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

Guide for staff

2009
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1. Introduction
AUA, in partnership with HEFCE, HEA and LFHE has developed a continuing professional development (CPD) framework. The framework is published at http://cpdframework.aua.ac.uk and is for all HEIs and people working in professional services roles in UK higher education.

This guide is published at the time of the launch of the CPD framework. It is presented as the first version of an evolving resource pack which will be enhanced and developed in light of feedback from Professional Services staff and from HEIs.

2. About this guide
This guide is one of a range of tools that will be produced to support HEIs, managers and staff to put the CPD framework into practice. It is intended to be used in conjunction with the other resources available on line, for example the model of professional behaviours and the CPD templates. It is suggested that readers dip into the sections of relevance to them, rather than viewing the guide as a resource that should be read from cover to cover.

The following diagram gives an overview of the framework and its supporting resources:

- CPD Framework
- Guidance for HEIs
- Framework Summary
- Guidance for Professional Services Staff
- Model of Professional Behaviours
- Exemplar career pathways
- CPD documentation

The tools can be adapted and they can be used flexibly to:
- clarify what CPD is
- support individuals to take control of their own development
- support individuals to assess their CPD needs
- support individuals to plan, review and record their personal and career development
- help to build on CPD processes and expertise that are already in place in HEIs
3. What is 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 regardless of whether they wish to seek further promotion or change of role, and covers all types of learning at all levels. It covers the whole of an individual’s career from recruitment, selection and induction onwards throughout the time that the individual remains in the organisation or in the HE sector. CPD includes induction to facilitate transitions into new roles and between roles. Engaging with CPD is key to making the most of your career in HE.

4. How do existing processes fit in?

Your HEI will already have policies and systems in place such as appraisal and personal development reviews to support individual development needs. Many HEIs will also have CPD processes, capability frameworks, organisational values or behaviours in place. The CPD framework reinforces, supports and builds upon this good practice, and provides the flexibility for HEIs to substitute their own processes and documentation for those offered within the framework. Section 5 of the framework document summarises the relationship of the CPD framework to other HR processes and to professional bodies’ CPD requirements.

5. What are the benefits of the CPD Framework?

The benefits of the CPD framework to the HE sector are:
- a shared understanding of CPD for professional services staff within the HE context
- a model for developing a consistent and coherent approach to CPD
- fosters consistency in the quality of support of the student experience
- enhanced 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
The CPD Framework may benefit Professional Services staff in the following ways:

- Transferable skills which are recognised and valued across all sectors
- Increased motivation to learn
- Common CPD language will facilitate movement between institutions
- Maximising strengths
- Building on current capabilities, skills and knowledge
- Increased confidence and self-esteem
- Developing new areas of capability
- Enhanced recognition in institution and in the sector
- Increased effectiveness in the workplace

Benefits of CPD Framework
6. How can HEIs implement the CPD Framework?

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 on-line resources to be developed further.

The ways in which HEIs can implement the framework include:

- using the framework to identify what is already in place and what needs to be developed further
- mapping the model of professional behaviours against existing staff development provision to identify any gaps in provision
- developing future learning and development activities aligned to the model of professional behaviours
- mapping the framework to organisational values / behaviours
- implementing effective CPD systems
- providing guidance on the expected level of CPD activity
- providing clarity about organisational strategy and vision

7. What if my institution is not implementing the framework at organisational level?

During the project which has led to this framework, considerable interest and support has been expressed by institutions across the sector. Whether or not your own institution is intending to implement the framework on a formal basis at organisational level, the flexibility inherent in the framework means that you and your team can still benefit. The following are some suggestions for ways that you could use the framework within your area of responsibility:

If you are a line manager:

- support individuals’ development through discussion of CPD needs
- provide learning and development opportunities to meet CPD needs
- engage in ongoing discussion and review of CPD
- ensure that individuals are taking responsibility for their own development and have a personal development plan (PDP) in place
- encourage individuals to use the behavioural framework to assess their CPD needs
- provide clarity about how individuals’ objectives fit with departmental and organisational objectives
- provide regular constructive feedback to individuals
If you are in a role heading up an area or function:

- use the framework to assess CPD needs at team level
- develop departmental learning & development plans based upon the professional behaviours or HEI-specific framework
- ensure that individuals have job descriptions and clear objectives
- ensure that departmental plans fit with organisational strategic objectives
- provide team or departmental learning and development events
- provide ‘managers as developers’ training

If you are in any Professional Services role:

- talk to your line manager or head of area about the framework
- input your CPD reflections and achievements to your annual appraisal
- use the model of Professional Behaviours (section 8) to identify your CPD needs
- use the CPD cycle (section 9) to guide your development planning and activity
- use or adapt the template documents (section 11) to plan, record and review your CPD

NB: if your institution already has CPD processes, documentation and/or a capability or behavioural framework in place, these should be substituted for those contained within the CPD framework

8. Ways to use the Professional Behaviours

The following is a reminder of the nine key behavioural groups within the professional behaviours framework (the full professional behaviours framework can be accessed on the AUA website):
This model of professional behaviours highlights behaviour patterns that distinguish effective performance in HE professional services roles. The professional behaviours were developed through desk research, consultation questionnaires, workshops and focus groups which took place in 2008. A total of 96 professional services staff representing 48 HEIs were involved in generating the behaviours.

Ways in which Professional Services staff can use the professional behaviours include:

<table>
<thead>
<tr>
<th>Activity/Process</th>
<th>Purpose/Desired outcomes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Self assessment – assessing performance in current role</td>
<td>• To identify areas for development and to acknowledge strengths&lt;br&gt;• To develop a personal development plan (PDP)&lt;br&gt;• To focus choice of learning and development activities on individual PDPs&lt;br&gt;• To facilitate career planning</td>
</tr>
<tr>
<td>Career planning – identifying the behaviours appropriate for other roles</td>
<td>• To assess readiness for career moves&lt;br&gt;• To target development activities around the relevant strengths and areas for development&lt;br&gt;• To increase prospects for securing more senior roles</td>
</tr>
<tr>
<td>Recruitment and selection – using the professional behaviours as a framework to structure HE applications and CVs</td>
<td>• To focus on the behavioural requirements of the job in an objective and specific way&lt;br&gt;• To use common language within the sector</td>
</tr>
<tr>
<td>Induction</td>
<td>• To provide a comprehensive picture of role requirements, including job tasks, skills, knowledge, qualifications and behaviours&lt;br&gt;• To clarify the HEI’s expectations</td>
</tr>
<tr>
<td>Informal feedback – seeking feedback from or giving feedback to colleagues in a structured way</td>
<td>• To increase self awareness&lt;br&gt;• To identify strengths and areas for development&lt;br&gt;• To facilitate personal development planning&lt;br&gt;• To provide structured feedback to colleagues about their strengths and areas for development</td>
</tr>
<tr>
<td>Formal appraisal – asking your appraiser to provide feedback or to seek it from other colleagues structured around the professional behaviours/HEI framework</td>
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<tr>
<td>360° feedback(^1)</td>
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\(^1\) a process whereby feedback is sought from a range of colleagues, including those more senior, peers and colleagues who support the work that you do. There does not need to be a formal 360° feedback process in place in your institution; this is something that you or your appraiser could initiate on an informal basis.
9. What CPD processes are effective?
A large proportion of CPD activity is undertaken at work. The range and balance of CPD activities will vary according to the individual’s experience, level of role and career development, but the same process can be applied. By adopting a structured and systematic approach to CPD it is possible to plan which methods and activities are appropriate for the individual and for the organisation. The diagram below shows an example of an effective eight-stage CPD cycle. Table 1 identifies and links the CPD process with actions and suggests some examples of resources and activities that can be used at each stage.

The following diagram and Table 1 show an example of an effective CPD cycle (adapted from Skills for Care 2006):

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

* 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.
10. What learning methods are effective?

There are many methods that can be helpful in supporting learning. All institutions provide a range of in-house training courses and make use of external providers to deliver learning and development activities. Many HEIs support staff to undertake job-related qualifications. In addition to formal training programmes, many work activities can be used to support learning if time is taken for planning, recording and reflection. 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 respondent HEIs in the first stage consultation process.

<table>
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<tr>
<th>360° feedback</th>
<th>Peer review/support</th>
<th>Planned reading</th>
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<tbody>
<tr>
<td>Action learning</td>
<td>Policy development</td>
<td>Presentations</td>
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<tr>
<td>Benchmarking</td>
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<td>Project team membership</td>
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<td>Briefings</td>
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<td>Psychometric tools</td>
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<td>Coaching</td>
<td></td>
<td>Questioning</td>
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<td>Committee membership</td>
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<td>Reflective learning</td>
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<td>Conferences</td>
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<td>Research</td>
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<td>Consulting</td>
<td></td>
<td>Role modelling</td>
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<td>Contributing to consultation and feedback</td>
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<td>Secondments</td>
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<td>Delegation</td>
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<td>Shadowing</td>
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<td>Development centres</td>
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<td>Special interest groups</td>
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<tr>
<td>Dialogue and discussion</td>
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<td>Video feedback</td>
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<tr>
<td>Distance learning</td>
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<td>Visits</td>
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<td>E-learning</td>
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<td>Volunteering</td>
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<td>Job rotation</td>
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<td>Workshops</td>
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<td>Job swaps</td>
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<td>Writing reports, articles etc.</td>
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<tr>
<td>Mentoring</td>
<td></td>
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<tr>
<td>Networking groups</td>
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<tr>
<td>Observing and listening</td>
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The choice and combination of methods will be influenced by:

- those that will occur or are planned to occur in the workplace anyway, such as meetings, briefings and visits
- the time available for learning
- the resources available for learning
- learning needs identified in an individual’s personal development plan
- organisational and team learning priorities, based on strategic plans
- individual learning styles

Many of the work-based learning activities listed above can be provided in the workplace at minimal cost by having a more structured approach to CPD and using day-to-day
opportunities more effectively. In the first instance, you should discuss your CPD needs and your ideas about methods to meet those needs with your line manager.

11. Recording CPD

Recording and documenting CPD are essential processes to ensure optimum effectiveness of development activity undertaken.

If your institution does not already have an agreed format for recording and documenting CPD activities, the following templates that you may adapt to suit your specific needs are provided on the AUA website:
- Personal Development Plan (PDP)
- Record of CPD activity
- CPD summary record
- Personal learning log
- Professional behaviours self assessment form

Individuals may also use a variety of other tools to record and monitor their learning and achievements:
- tools that are part of the development processes for achieving qualifications
- tools provided or required by professional bodies
- evaluation processes

12. Feedback about the CPD framework

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 on-line resources to be developed further.

Ongoing feedback from Professional Services staff is welcomed via the AUA website.

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Appendix 1: Further information

Useful websites:
Learning & Development providers:
AUA:  www.aua.ac.uk
HEA:  www.heacademy.ac.uk
LFHE: www.lfhe.ac.uk
SEDA:  http://www.seda.ac.uk/pdf/..%5Cindex.htm
The Training Gateway:  www.thetraininggateway.com

Professional bodies:
Association of Graduate Career Advisory Services (AGCAS):  http://www.agcas.org.uk/
Association of Heads of University Administration (AHUA):  http://www.ahua.ac.uk
Association of Managers of Student Services in Higher Education (AMOSSHE):
http://www.amosshe.org.uk/content.asp?ContentID=1
Academic Registrars Council (ARC):  http://www.arc.ac.uk/
Association for Research Managers & Administrators (ARMA):  http://www.arma.ac.uk/
Association of University Directors of Estates (AUDE):  http://www.aude.ac.uk/home
Association for University Research & Industry Links (AURIL):
http://www.auril.org.uk/pages/home.php
British Universities Finance Directors Group (BUFDG):  http://www.bufdg.ac.uk/
Chartered Institute of Management Accountants (CIMA):
Chartered Institute of Personnel and Development (CIPD):  http://www.cipd.co.uk/default.cipd
College and University Business Officers (CUBO):  http://www.cubo.org.uk/
Guild of Higher Education (GuildHE):  http://www.guildhe.ac.uk/
Higher Education and Technicians Education and Development (HEaTED), part of Institute of Science & Technology (IST):  http://www.istonline.org.uk/HEATED/heated.htm
Higher Education Academy (HEA):  http://www.heacademy.ac.uk/
Institute of Chartered Secretaries and Administrators (ICSA):  http://www.icsa.org.uk/home?c=1
Institute of Leadership & Management (ILM):  http://www.i-l-m.com/
Universities Personnel Association (UPA):  http://www.upa.ac.uk/

Others:
Management Standards Centre:
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