Leeds Arts University

Professional Behaviours Framework

Academic Registry

Pilot Project

Project Report

September 2017

Originator: CPD Pilot Group

Date: September 2017

Approved by: Academic Registrar

Type: Report

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Executive Summary

Contents of this report	This report outlines the progress made by the CPD Pilot Group. It provides an overview of the consultation process, data, and recommendations on how the framework will be used to improve service.
Our mission statement	*"To apply the AUA framework to identify development needs and define the journey that registry staff will undertake to further improve upon the high level of service provided."*
We have adapted the AUA Framework	Behaviours have been considered against our needs. 'Engaging with the wider context' has been changed to 'institution-wide engagement'. This reflects the nature of roles within Registry. Externality remains embedded within behaviours.
Consultation	We have consulted with academic and business support colleagues on the framework, and have collected feedback on current service levels.
Proposed Implementation	The framework will be embedded in the recruitment, induction, probation and ongoing self-reflection team development activities.
Benefits for the University	Expected benefits include improved staff recruitment & retention, clarity on roles and expectations, and supporting personal development.

Figure 1 - The Professional Behaviours

The top 5 competencies for each of the Registry roles have been considered specifically in this framework. However, the nature of those roles means that all behaviours are demonstrated and will be developed. This will be especially relevant for staff wishing to progress within the University.

Figure 2 - HERA Competencies matched with Professional Behaviours

HERA Competency	Professional Behaviour
Communication	Working Together
	Delivering Excellent Service
Liaison and Networking	Institution Wide Engagement
	Working Together
Decision Making Processes and Outcomes	Finding solutions
	Achieving Results
	Managing Self and Personal Skills
Initiative and Problem Solving	Finding Solutions
	Embracing Change
	Using Resources Effectively
Sensory and Physical Demands	Using Resources Effectively
Pastoral Care and Welfare	Developing Self and Others
Team Work and Motivation	Working Together
	Institution Wide Engagement
	Developing Self and Others
Service Delivery	Delivering Excellent Service
Planning and Organising Resources	Managing Self and Personal Skills
	Using Resources Effectively
Analysis and Research	Finding Solutions
	Using Resources Effectively
Work Environment	Using Resources Effectively
Team Development	Developing Self and Others
Knowledge and Experience	Delivering Excellent Service
	Finding Solutions
Teaching and Learning Support	n/a

The Project

What was the brief?	To create a CPD framework which is tailored to Academic Registry staff. The framework should be adaptive and respond to organisational changes. Areas of good practice and areas for development should be identified and supported.
Why professional behaviours?	*Professional behaviours* are used nationally by HEIs. They are flexible and can be applied to all Academic Registry roles. The behaviours are easily understood by Academic Registry and academic colleagues.
How was the framework developed?	A briefing day with the AUA to outline purpose and generate ideas. Fortnightly meetings of the pilot group to progress the project with oversight from the Academic Registrar. Consultation with senior academics and heads of business support to identify service benchmarks and areas for consideration.
How will the framework be rolled out?	Pending SMT approval, roll out to Academic Registry staff. Briefing with Academic Registry managers to outline project and deal with queries; presentation to Academic Registry staff.
How will the pilot be evaluated?	The group has collected benchmark satisfaction during the consultation process. Further baseline data will be collected at the point of approval by running a registry survey, and collecting institutional data (from 2016-17 NSS / YSS / LSS / EOMs etc.). The consultation with senior academics and heads of business support will be repeated and available institutional data will be collected after 9 months to review the effectiveness of the framework. Data will be analysed by the working group and a report with recommendations will be presented to the Academic Registrar and the Pro Vice-Chancellor Assurance & Director of Finance.

1   The Pilot Group was established in February 2017 in response to the approval of the pilot project. Membership includes representation from all Registry departments.

2   We aim to rollout the framework in November 2017 following approval by SMT. The pilot will run for 9 months and we will review for effectiveness at the end of the pilot.

3   Subject to a successful pilot, we recommend that the framework be formally adopted by Academic Registry.

Project Timeline

AUA Briefing	• Developing initial proposal • Defining staff and student journey • Developing mission statement
Development	• Review of professional behaviours • Defining consultation process
Consultation	• Business support and academic consultation • Review and analysis of data • Benchmarking
Agree implementation	• Identify how benchmark data will be used • Agree implementation timeline
Finalise Proposal	• Approval from Academic Registrar • Approval from HR & SMT
Rollout	• Finalise information for Academic Registry managers and staff • Presentation to Academic Registry managers and staff • Provide advice and support during pilot rollout
Review	• Consultation with Academic Registry staff • Consultation with senior academics and heads of business support • Data Analysis • Ongoing review of effectiveness • Adapt framework as necessary

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Consultation

4   This section outlines the consultation process which underpins our recommendations and proposals.

5   The aim of the consultation was two-fold:
- To provide a benchmark of current levels of service within Academic Registry
- To identify strengths and areas for development within our current service provision.

The Consultation Process

6   Programme Directors and the Head of FE were consulted as academic representatives with oversight of their directorates; the heads of department were consulted within business support.

7   For academic staff, the consultation involved a face-to-face briefing on the framework, and a pro-forma questionnaire. For business support, consultation involved an email briefing and link to an online survey platform. 3 of 5 academics and 12 of 16 business support departments responded to the consultation.

8   Respondents were encouraged to think holistically of their experience overall with each department rather than with individual members of staff, and had the opportunity to provide comment feedback.

9   Respondents were asked to score each department through the lenses of the professional behaviours, using a scale of 1-10 (appendix 1).

Evaluation of the consultation process

10   The response rates to the consultations were 71.42%, which is good considering this is the first consultation in a new process. Staff were supportive of the project and welcomed the focus on continual development.

11   Consultations were timed around the March Principal's briefing, which meant that all academic staff were able to attend. The academic staff asked to take the survey away for consultation with their own teams. This improved the validity of responses received as they provided a more holistic overview, but reduced the response rate as some consultations were not returned. When the consultations are run again, we will ask the Programme Directors/Head of FE to pre-populate the survey pro-forma and bring this with their comments to the consultation session. This will allow for a focus on analysis of data and collection of verbal feedback.

12   The majority of responses were open and honest, but there are issues to consider moving forward. One respondent gave a '5' for all questions in all departments, which may have been due to a misunderstanding of the process. This may have also been caused by a reluctance to provide feedback, or an unawareness of the roles within Academic Registry.

13   We identified the lack of 'scoring descriptors' as a potential issue within the consultation, as one respondent's '7' may be another's '5'. To alleviate this moving forward, we have developed grading descriptors which will be provided in future consultations (see appendix 3).

14   One of the aims of the pilot project is to clarify roles and expectations, and the data we have collected may reflect the confusion that some members of staff experience. For that reason, we agreed that all data should be included for analysis, as this provides an accurate snapshot of our current situation.

How the framework will be used

15   The data presented in appendix 1 shows the level of satisfaction by department and an overall average for Registry. From the data, we conclude that we are starting from a strong overall position with good perceptions of our service.

16   Average satisfaction in all areas is between 6.86 and 7.88 out of 10. This shows a general satisfaction with the service, but clearly demonstrates that there are areas for development as there are no departments showing 'excellent' scores.

17   The data is a useful benchmark which can be used to drill down into behaviour and set development objectives. An example process, adapted from the AUA, is below:
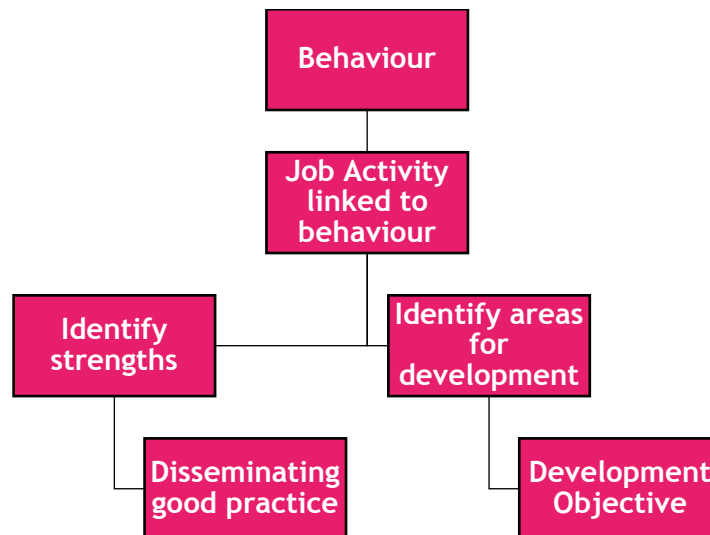
18   This process can be used on both an individual and a team level, and it is anticipated that both are used as part of the ongoing process of reflection and development.

19   As an example, of note within the data is the lower average score for all departments for the 'using resources effectively' behaviour. This may be identified as an area for development which will be developed using the framework. The benchmarking exercise has identified that FE Administration scored higher in this behaviour than other departments. As a result there will be further exploration of this and sharing of good practice.

20   On an individual level, using a Programme Administrator as an example, something like the below may be reached. The professional behaviour and job activity have been linked to the HERA competencies. This demonstrates that both frameworks complement each other in supporting and developing Registry staff.
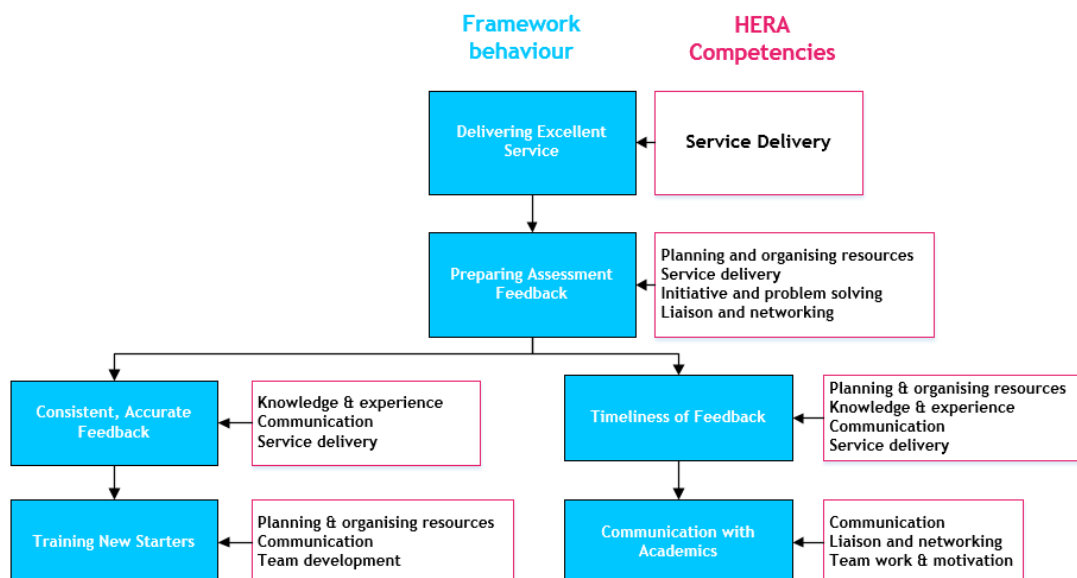
Proposed Implementation

21   The CPD Framework will be embedded in the staff journey from recruitment through to ongoing feedback and for self- reflection before APRs. We recommend that the framework is embedded in the following:

ONGOING REFLECTION AND DEVELOPMENT	**Recruitment**	Including professional behaviours in job descriptions and providing further information in the advertised vacancy. This will assist in identifying suitable candidates. Essential and desirable criteria can be mapped to behaviours to inform interview questions. Example interview questions: • Tell me about a time when you have delivered excellent service. • At the Institution, we strive to deliver excellent service by developing relationships with colleagues and customers. Tell me about a time when you have developed a relationship with a customer and how this has impacted on the service they received. • We have a culture of collaborative working within the wider Registry department. Tell me about a time when you have worked on a project with colleagues, what was your input, what went well, what didn't etc.
	Staff inductions /introductions	Further tailoring of inductions to new starters to involve specific guidance and outlining how the departments involved interact. New starters would also be given a briefing of any specific key behaviours. The focus of the inductions will be on the technical aspects of the role, as well as the behaviours expected. Refresher inductions at the 6 month point which focus on relationships between departments and allow questions to be asked.
	APR /Probationary Reviews	The professional behaviours and wheel is not a replacement for the APR process but is to be used as a tool for self-assessment and professional development planning, identifying strengths and areas for growth within a role. This will be used as a self-reflective tool with the results discussed with line managers to assist in planning future personal and professional development and by managers in assessing the development of the teams. The framework will also be used for reviewing current performance and encouraging development of competencies not essential for the role.
	Feedback Postcards	Celebrate and recognise success and outstanding behaviours in Academic Registry staff. Postcards designs will feature student's artwork on one side (12 different designs, one for each month) with behaviours wheel and space to add comments on the reverse. Academic Registry staff highlight the behaviour they would like to celebrate and add a message.
	Supporting Staff Development	Using the framework, Professional Behaviours wheel and AUA online resources to identify staff development needs and support development requests. Working with Training and Development to identify opportunities for growth.

Expected Outcomes and Benefits

22   We have identified a number of expected benefits through implementation of the framework:

Benefit	Measure of Success
Attracting and retaining staff with University values	Staff retention figures
Improving staff experience	Staff consultation
Clarification of role expectations	Staff consultation
Celebrating and recognising excellence in service	celebrating success postcards
Improving student experience and retention	NSS/YSS/LSS/EOM, Student withdrawal figures
Improving service delivery and efficiency	Consistently meeting deadlines, streamlining processes
Improving communication/teamwork as an institution	Consultation, implement refresher inductions

Measuring Success

23   Baseline data will be collected - from the consultation, a registry survey, and institutional data at the point of approval. This will be compared against data collected at the 9-month review point.

24   The Registry consultation will be agreed with the Academic Registrar on approval of the pilot. The survey will focus on areas relating to the behaviours and will be presented as a Likert scale with opportunities for comment, e.g. 'to what extent do you feel that Registry departments communicate and work well as a team?', 'to what extent do you understand the expectations of your role?', 'to what extent do you understand how your role relates to the wider Registry area?'. This survey will be re-run at the end of the pilot to compare responses.

25   Institutional data relating to Registry, e.g. organisation and management scores from NSS/YSS/LSS, will be collated from 2016-17. This will be compared against available data at the end of the 9-month period.

26   Where processes are improved, either through redesign or production of a handbook / guide, this will be recorded by the pilot group and the impact of this examined.

27   Deadlines will be tracked by each Registry department over the 9-month period to ensure we are consistently meeting these. This may include module tracking, the periodic review /approval calendar, the deliberative committee cycle, UCAS deadlines, summative feedback deadlines etc. as appropriate for the department.

28   The adoption of the celebrating success postcards will be monitored and evaluated by the pilot group.

Next Steps

29   Subject to the approval of the framework, our next steps will involve briefing Academic Registry managers on the framework and proposed implementation.

30   We will present and introduce the framework to the remainder of the Academic Registry departments at a briefing session. During this briefing, we will be able to discuss further the proposed implementation and activities involved; this will also provide an opportunity for staff members to approach the Pilot Group with any queries they may have about the framework and how it will be implemented.

31   After the initial first nine months of the framework being trialled, we will reconvene to discuss and evaluate the success of the framework. We will re-consult with Programme Directors/Head of FE and Business Support heads of departments to track developments and progress since implementation. Consultations will be held with Academic Registry staff for feedback. At this stage, we will amend the framework if and as required to ensure that it is still fit for purpose.

Appendices

Appendix 1 – Registry Profile

	Admissions	Further Education Administration	Higher Education Administration	Planning and Management Information	Quality	Registry Average
Managing Self and Personal Skills	7.36	7.78	7.08	7.18	7.00	**7.28**
Delivering Excellent Service	7.57	7.67	7.31	7.25	7.64	**7.49**
Finding Solutions	7.62	7.38	7.25	7.56	7.18	**7.40**
Embracing Change	7.14	7.44	7.25	7.10	7.40	**7.27**
Using Resources Effectively	6.83	7.38	6.92	6.90	6.78	**6.96**
Institution-wide Engagement	7.38	7.33	7.33	7.50	7.78	**7.47**
Developing Self and Others	7.15	7.11	6.55	7.55	7.44	**7.16**
Working Together	7.79	7.67	6.92	7.91	7.45	**7.55**
Achieving Results	7.93	7.89	7.67	8.00	8.09	**7.92**

Appendix 2 – Registry Profile (Radar)

Registry Profile - Professional Behaviours

Managing Self and Personal Skills — 7.28
Delivering Excellent Service — 7.49
Finding Solutions — 7.40
Embracing Change — 7.27
Using Resources Effectively — 6.96
Institution-wide Engagement — 7.47
Developing Self and Others — 7.16
Working Together — 7.55
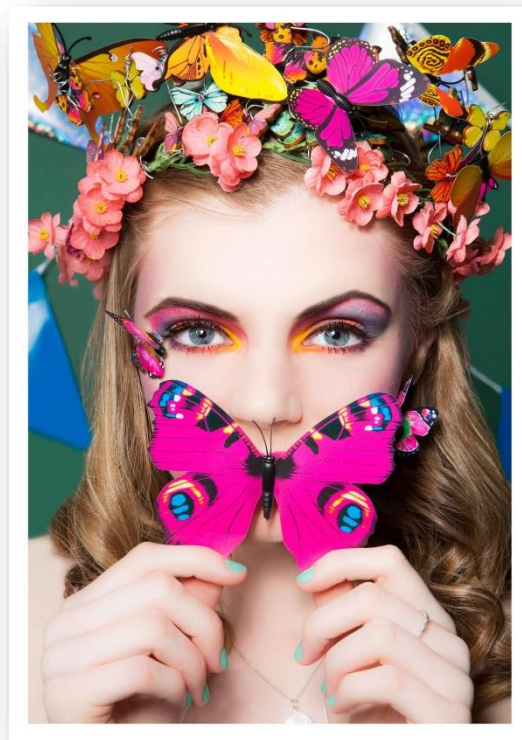Achieving Results — 7.92

Appendix 3 – Grading Descriptors

In order to assist staff to reflect on their professional behaviours a points gradient (1 – 10) with descriptions is identified below. This will be used in support of both individual staff and team development to provide indicators of professional behaviours. This is used in conjunction with the radar wheel (Appendix 2) for developmental use only.

In reflecting on behaviours, individuals and managers should consider the impact of their behaviour on students, team members and colleagues in wider teams. Academic Registry staff will be able to identify professional behaviours that need immediate attention through to those behaviours that can be shared across Academic Registry as good practice.

Score	Descriptor	Action
1	Unsatisfactory Performance requires immediate improvement	Discussion needed regarding behaviour / training
2	Unsatisfactory Performance requires major improvement	
3	Unsatisfactory Performance requires some improvement	
4	Slightly Below Average	Generally meets behavioural expectations but some areas for development identified
5	Average	
6	Slightly Above Average	
7	Good	Performing well / mostly exceeding expectations but opportunities for further personal development / sharing good practice could be explored
8	Very Good	
9	Excellent	
10	Exceptional	

Appendix 4 – Celebrating Success Postcard Draft

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