



Connecting  
and developing  
HE professionals

# Using the AUA CPD Framework

A practical guide to success

---

Third edition

Revised and reissued 2017



# Using the AUA CPD Framework

---

- 1 **About this Guide**  
Introduction
- 2 **Background to the Framework**  
The Framework today
- 3 **Implementation of the Framework**
- 4 **Working with a behavioural framework**
- 5 **Working with the AUAs Framework**
- 8 **Using the Framework for your own personal and professional development**  
Activities and outcomes  
Practical exercises  
Hints and tips
- 16 **Greater than the sum of the parts: using the Framework with colleagues and with teams**  
Activities and outcomes  
Practical exercises  
Hints and tips
- 22 **Using the Framework at institutional level**  
Activities and outcomes  
Practical exercises  
Hints and tips
- 29 **Resources to support implementation at all levels**
- 31 **A final word**
- 32 **Appendix 1: PDP template**
- 33 **Appendix 2: Record of CPD activity**
- 34 **Appendix 3: CPD summary record**
- 34 **Appendix 4: Personal learning log**
- 35 **Appendix 5: Self-assessment template**
- 36 **Appendix 6: Ranking activity**

## About this Guide

The purpose of this guide is to provide sound, practical advice about how you can get the best from the AUA's Continuous Professional Development (CPD) Framework, whatever your role within higher education (HE). The focus is therefore on practical solutions rather than on theories and models. You may be a member of a professional service staff team seeking tips and pointers about how you can use the Framework or you may be responsible for a team of professional services staff looking for new and exciting ways to develop your services for the benefit of you, your colleagues, your customers and your institution alike. You may be reading this guide as a member of a senior team or have a human resources (HR) or organisational development (OD) remit and be seeking practical advice on how your institution could benefit from the Framework.

Whatever your aspirations for taking the time to read this Guide, we hope that it will inspire and motivate you to join the thriving and ever growing CPD Framework community of practice.

## Introduction

This guide has been developed to help you get the best from the AUA's CPD Framework. We start by explaining some of the history, and then outline what we mean by a behavioural framework, before we go on to demonstrate how it can be used in the workplace. Using real examples from projects undertaken in the higher education sector in the UK, we demonstrate how the CPD Framework can be used by the individual, as part of a team project or incorporated into institutional strategy.

# Background to the Framework

The original AUA CPD Framework of Professional Behaviours was the culmination of a two-year Hefce LGM-funded project involving extensive research and sector-wide consultation, with universities, professional bodies, members of professional services staff and unions. Endorsed by the HEA and LfHE, it represented a significant recognition of the professional development needs of professional services staff in higher education.

Since first launched in 2009, the Framework has provided the basis for a common approach to continuous professional development and career progression for professional services staff in UK higher education. The Framework has now been used in over 50 organisations and has had a significant impact on the HE administration and management community. Its inherent flexibility has lent itself to inspiring and innovative applications.

- The Framework works equally well at individual, team, departmental and institutional levels
- It works for staff at all stages in their career and across all roles in the sector
- It complements existing CPD requirements required for specialist roles
- Under licence it may be tailored by organisations to address specific organisational needs and priorities

Further LGM funding supported the implementation of the Framework by early adopters, and many other teams, departments and institutions adopted the Framework in innovative and locally-relevant ways. Feedback is extremely positive and demonstrates that the Framework and model of professional behaviours is a valuable staff and organisational development tool.

Project evaluations demonstrated that the Framework:

- Adds value along employee lifecycle processes and practices
- Provides a structure that enhances the effectiveness of performance appraisal and other workplace conversations
- Is highly adaptable and supports and complements other approaches

- Provides inspiring tools for professionals to take control of their development
- Creates an increased sense of professional identity and value for professional services staff
- Provides a common language which fosters partnership across the sector

Over time a range of supporting documentation, tools and case studies have been developed. Fully searchable resources from the original project are still freely available and accessible on [cpdframework.aua.ac.uk](http://cpdframework.aua.ac.uk).

## The Framework today

The professional behaviours were fully refreshed and updated in 2016. This second edition guide supports the updated version.

The CPD Framework is central to the AUA's ongoing strategy. The key areas of focus are:

- Embedding the Framework even more broadly and deeply across the sector supporting and sharing learning from those using the Framework
- Supporting institutions to achieve the Mark of Excellence, an award for HE institutions or parts of institutions to embed the Framework
- Encouraging and supporting new adopters
- Continuing to encourage and facilitate members to use the Framework for professional and career development and to gain professional recognition
- Regularly reviewing the professional behaviours

Through this guide and online, we are delighted to share with you some of the experiences of colleagues in using the Framework in a wide range of settings and contexts. We wish to acknowledge the significant part that project leaders, sponsors and champions in institutions played and continue to play in embedding and developing the Framework in the sector alongside sharing experiences and good practice, for the benefit of the entire sector.

# Implementation of the Framework

Further LGM funding supported the implementation of the Framework by early adopters, with over 50 projects across the sector between 2001-2014.

Evaluation of completed implementation projects highlighted that the Framework:

- Provides a unique way for colleagues to look at their development
- Creates an increased sense of professional identity and worth for professional services staff
- Provides a structure that can enhance the effectiveness of performance appraisal and other workplace conversations
- Is a highly adaptable Framework that complements and can be integrated with other frameworks
- Can add value across a wide range of employee lifecycle processes and practices
- Provides a common language which fosters partnership across the sector

The CPD Framework is underpinned by a model of professional behaviours together with a range of supporting documentation, tools and case studies to aid interpretation and implementation. These resources are freely available to everyone and can be downloaded from the AUA's website: [aua.ac.uk](http://aua.ac.uk)

As well as the 'formal' LGM-funded projects, many other teams, departments and institutions have adopted the Framework in a number of innovative and locally-relevant ways. Feedback from users is extremely positive and indicates that the CPD Framework and its model of professional behaviours is a valuable tool across a range of staffing and organisational issues.

Through this Guide, we are delighted to share with you some of the experiences of colleagues in using the Framework in a wide range of settings and contexts. We wish to acknowledge the significant part that project leaders, sponsors and champions in institutions and our CPD consultants continue to play in embedding the Framework in the sector and sharing experiences and good practice to inform its ongoing development and improvement.

AUA's strategy for the CPD Framework focuses on:

- Embedding the Framework more broadly and deeply across the sector, supporting a community of practice for those working with the Framework and sharing good practice
- Launching the Mark of Excellence, an award for HE institutions or parts of institutions committed to embedding the Framework
- Continuing to learn from those using the Framework
- Encouraging and supporting new adopters
- Continuing to encourage and facilitate professional recognition of members
- Regularly reviewing and refreshing the Professional Behaviours



# Working with a behavioural framework

A behavioural framework captures the behaviours that reflect how an individual approaches their role and not the content or individual performance of the role. It should not be confused with a competency framework, which sets out what it is that individuals are required to be able to do in order to perform their roles effectively (though competencies are often written in a 'behavioural' way to facilitate assessment of competency). Perhaps the most powerful aspect of the behavioural-based approach is the control and responsibility that it gives individuals over their own development.

In summary, the Framework provides a clear steer on key behaviours that exemplify the AUA's core values and ethos. It does not assume that the behaviours listed in the Framework are the only effective behaviours. No attempt has been made to define the effective behaviours required at different levels due to the diverse nature of the HE sector and of the needs of individual institutions within it. Several institutions have developed the Framework in this way for local use, thereby tailoring the levels and requirements to their own specific organisational structure, culture, environment and objectives. Relevant case studies and resources are available on the CPD Framework website.

It is important to remember that any one framework does not and cannot provide a complete picture. Rather, a framework of this nature should be considered alongside other information pertinent to its intended use. So, for example an individual using the Framework for personal and professional development planning would need to consider the Framework alongside some or all of the sources of relevant information identified in Figure 1.



Figure 1 Sources of information for identifying individual CPD needs

# Working with the AUA's Framework

The CPD Framework has been designed to support individuals to develop in their jobs and beyond and ultimately to deliver their organisation's strategic plan. The behaviours are easily understood because they have been developed within the HE sector and they are accessible to everyone.

The Framework comprises nine key behavioural groups, and each one has a descriptor which captures the essence of what each heading implies for professional services staff in HE:



## Managing self and personal skills

Being aware of own behaviour and mindful of how it impacts on others, enhancing personal skills to adapt professional practice accordingly.



## 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 solutions

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



## Embracing change

Being open to and engaging with new ideas and ways of working. Adjusting to unfamiliar situations, shifting demands and changing roles.



## Using resources effectively

Identifying and making the most productive use of resources including people, time, information, networks and budgets.



## Engaging with the wider context

Enhancing your contribution to the organisation through an understanding of the bigger picture and showing commitment to organisational values.



## Developing self and others

Showing commitment to own ongoing professional development. Supporting and encouraging others to develop their professional knowledge, skills and behaviours to enable them to reach their full potential.



## Working together

Working collaboratively with others in order to achieve objectives. Recognising and valuing the different contributions people bring to this process.



## Achieving results

Consistently meeting objectives and success criteria. Taking personal responsibility for getting things done.

What the Framework adds

The Framework provides additional information about a role that complements and enhances the traditional information that we are all familiar with, for example a job description and personal specification.

As a result, individuals, teams and institutions have a clearer idea of what is required of professional services staff in order to meet the organisation’s strategic objectives.

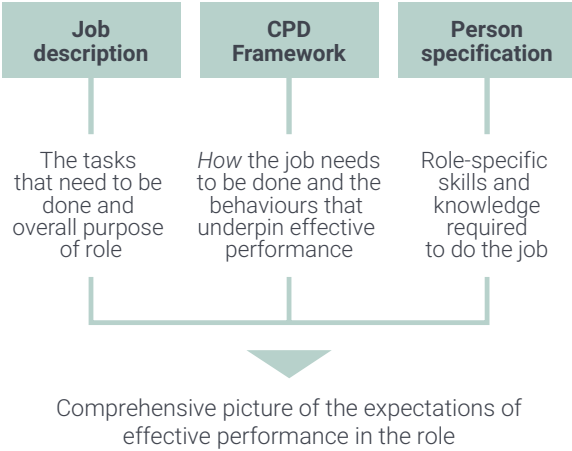


Figure 2 How the Framework fits with existing information about a role

The behaviours within the AUA’s Framework will be required to some extent in all roles, though some may be more important in some jobs than others. There are exemplar behaviours listed for each behavioural group and these are 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

All the exemplar behaviours listed in the category ‘self’ apply to all members of professional services staff no matter what their role. It is important to remember that most of the behaviours shown beside ‘others’ and ‘organisation’ are also relevant, even where jobs do not include management or leadership responsibilities. The organisation category involves representing the department at institutional level and/or representing the institution externally.

The Framework also identifies behaviours that may indicate a need for further development for each of the behavioural groups, which are shown at the bottom of each page.

Some common misconceptions about the Framework

Since its implementation we have collected feedback from institutions and CPD consultants about how the Framework is being used and how it is received by stakeholders. We have captured below some of the common misconceptions to look out for when working with the Framework.

Perception	Reality
The behaviours identified as those indicating a possible need for further development provide managers with ‘ammunition’ to facilitate disciplinary action.	The behaviours listed are a positive tool for self-assessment and reflection at individual or team level.  The Framework only applies to generalist administrative staff or those who identify with the term ‘administrator’.
The Framework doesn’t apply to senior administrators and managers.	The Framework applies to all professional services staff working in HE <sup>2</sup> as it can be tailored to the needs of the individual, whatever their role or level.
The Framework should not be used by staff who already have CPD requirements linked to professional registration (e.g. HR, finance, estates).	The Framework can complement other CPD requirements by providing the sector-specific perspective to create a comprehensive picture of CPD needs.
The Framework is designed to identify individual weaknesses.	The Framework is designed to identify both strengths and areas for development at individual, team, departmental and institutional levels. It is intended that, as well as objectives to meet their CPD needs, colleagues will set objectives in their personal development plan to maximise and build upon their strengths.
The behaviours listed under ‘others’ apply only to those who have line management responsibilities.	Many of the behaviours listed under ‘others’ will apply to all professional services staff because we all interact with and influence others on a daily basis regardless of whether our role carries line management responsibilities. However, there are one or two that are written specifically with line managers in mind and these are easily identifiable.
The behaviours listed under ‘organisation’ apply only to those who have leadership/management responsibilities or those who are in a strategic level role.	The behaviours listed under ‘organisation’ will apply in different ways to each individual’s role and this is not dependent upon a role having a strategic or leadership focus.

<sup>2</sup>Some institutions are also applying the Framework to other groups of staff (for example, academic and research staff), as well as professional services staff, and using the Framework to support the professional development of students on work placements.

# Using the Framework

for your own personal and professional development

## Activities and outcomes

The great news is that you can benefit from the Framework regardless of whether or not it is being used more widely in your institution. Here is a summary of some ideas about how you might use the Framework as an individual. This is by no means an exhaustive list and you will have your own ideas about other ways that you could use the Framework to meet your specific needs.

### Self-assessment

Reviewing performance in current role

#### Purpose/desired outcomes

- To acknowledge strengths and identify areas for development
- To focus choice of learning and development activities on CPD needs and organisational priorities
- To facilitate career planning

### Personal development planning

Using or adapting the template documents to plan, record and review your CPD

#### Purpose/desired outcomes

- To aid reflection and self-awareness
- To set personal and professional development objectives in a personal development plan (PDP)
- To take a structured and planned approach to CPD
- To focus and prioritise learning and development activity

### Discussion with line manager

On-going day-to-day interaction

Appraisal - input your self-assessment of strengths and areas for development against the Framework to your appraisal discussion

#### Purpose/desired outcomes

- To provide additional structure and depth to review of performance
- To recognise achievements and strengths
- To gain support for CPD activity to meet PDP objectives

### Career planning

Identifying the behaviours appropriate for other roles

#### Purpose/desired outcomes

- To assess readiness for career moves
- To focus thought and activity
- To increase prospects for securing more senior roles

### Recruitment and selection

As an applicant

As a recruitment panel member

#### Purpose/desired outcomes

- A framework to structure HE applications and CVs
- To focus on the behavioural requirements of a job in an objective and specific way
- To use common language within the sector

### Induction

As a new starter

#### Purpose/desired outcomes

- To gain a comprehensive picture of role requirements, including job tasks, skills, knowledge, qualifications and behaviours
- To understand the HEI's/department's expectations

### Feedback

Informal feedback – seeking feedback from or giving feedback to colleagues in a structured way

Formal feedback – asking your appraiser to provide feedback or to seek it from other colleagues structured around the professional behaviours Framework

#### Purpose/desired outcomes

- To increase self-awareness
- To identify strengths and areas for development
- To facilitate personal development planning
- To provide structured feedback to colleagues about their strengths and areas for development
- To improve communication and workplace relationships

### Professional recognition

Using the Framework to demonstrate professionalism

#### Purpose/desired outcomes

- To provide professional identity
- To gain AUA Accredited Member/Fellow status
- To role model excellence in HE administration and management

# Practical exercises to engage with the Framework

Whilst it is not possible to give step-by-step guidance for all of the activities listed above, the following are some examples of practical exercises that have been most widely and effectively used.

## The wheel self-assessment activity

This is the most widely used tool for self-assessment and it builds on the idea of the coaching wheel.

To complete this activity you require a copy of the Framework document, a blank wheel activity exercise sheet (both available on the CPD Framework website) and three different coloured pens or pencils.

First of all, read through the full descriptors of each of the nine behavioural groups found in the full CPD Framework document.

Consider how confident you feel in each of the nine areas on a scale of one to ten and put a mark along each axis, with the centre being zero (not at all confident) and the outer edge of the wheel being ten (extremely confident), that reflects your self-rating. Be honest with yourself, take a balanced view and you will end up with a good snapshot of your current strengths and areas for further development. Once you have all nine marks join them up so you have a footprint something like the illustration



Figure 3 First step of CPD wheel self-assessment activity

below.

Then consider how confident you would like to feel in each of the nine areas and using the same scale and process use a different colour pen to produce a second shape.

Lastly, consider where your organisation needs you to be bearing in mind its strategy and vision and what you know about likely future developments in the HE sector. In the same way as before, use a different colour pen again to produce a third shape.

**"Working with the CPD Framework has made me realise that I do not give myself enough credit for the skills that I have and the volume of work that I carry out."**



Figure 4 Final step of CPD wheel self-assessment activity

Your final wheel will look something like this (the red shape reflects how confident the person feels now, the blue shape reflects how confident the person would like to feel and the green shape reflects the organisation's needs):

You will then be able to see at a glance:

- Where your strengths lie
- Where you may have further development needs or future aspirations
- How your strengths and development needs map against the requirements of your role or the organisation

So, in the example above this person has key strengths in **delivering excellent service, managing self and personal skills, finding solutions** and **developing self and others**. An interesting point to note is that in the latter two areas the individual assesses their performance to be in excess of the requirements of the role. Development needs appear to be in the areas of achieving results, engaging with the wider context, embracing change and using resources effectively.

Beyond the initial activity described above, you can use the results to help you to think through your preferences and career aspirations in greater depth and reflect on whether your skills, knowledge and preferences are a good fit with your current role. For example, although this individual already assesses their performance in finding solutions to be in excess of that which is required of their role, they would still like to improve further. When using a tool of this sort, it is important to analyse why certain judgements are being made. You need to be honest with yourself: is the reason in this example because, although your current job does not demand it, your career aspirations for the next job move will require even greater skills in this area, or is it because you are already quite good at this, you like doing it and you think it would be easy and most enjoyable to undertake some further development in this area.

Other pertinent questions for self-reflection upon completion of the wheel activity include:

- How comfortable did you feel completing the activity?
- How often do you take the time to reflect on your role and your performance in this way?
- Were there any surprises?
- What are the implications if there are areas where your aspirations are above the organisational need for your role?
- Where does your interest lie, and what are the implications for your role, your team and your career?
- What information sources are you using to make your assessment?
- Is your assessment based upon facts or assumptions?
- Would you be happy to share your completed wheel activity? If so, with whom?

Once you have identified the behavioural groups where your strengths and areas for development lie, you can consider the specific behaviours listed within each of those areas to provide greater detail. These can then be translated into learning and development objectives and recorded in a personal development plan (PDP). See Appendix 1, and an exemplar PDP is available on the CPD Framework website.

Going into greater depth

Having undertaken the wheel activity, you may wish to explore the specific behaviours in more detail. There is a self-assessment form template available on the website and in Appendix 5 which provides space for you to note specific examples of your strengths and to note areas for development. This can be a very effective way of preparing for your appraisal as it can capture some achievements and examples that may otherwise not be acknowledged or recorded if they are not directly related to the objectives set in your last appraisal.

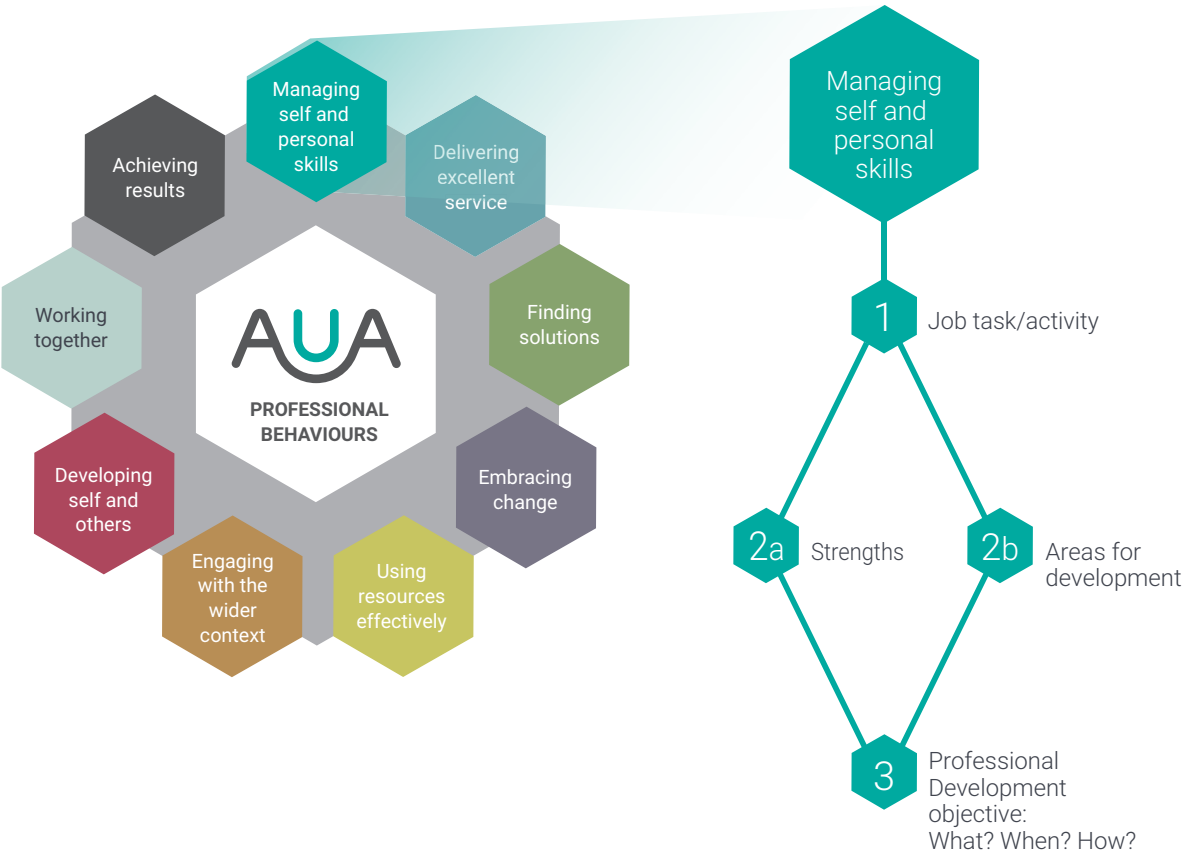
The Framework is very versatile and you can also use it to reflect on your role in greater depth. For example, you could map the tasks associated with your role to the Framework. You would do this by comparing your job description to the nine behavioural groups. Remember that each of the behaviours will apply to more than one area/task inherent in your role, so ensure that you have reflected on all aspects of your job. You could note the results visually in the following way:



Figure 5 Mapping role tasks against the behaviours

In this example, the role is that of a Teaching Administrator. (This example shows only a few tasks of the role to demonstrate the approach.) You could use this to identify which aspects of your role are most affected by your areas of strength and areas for development (as identified in the earlier wheel activity). Once you are more aware of that, you will be better able to look out for or create development opportunities that will maximise your strengths and fill in gaps or broaden and enhance your existing skills, knowledge and experience.

You can also take this activity one stage further to inform your PDP as highlighted here:



You can then add the planned actions from Step 3 to your PDP

Figure 6 Generating PDP goals using task-mapping

"I used the self-assessment form and it gave me an opportunity to look at strengths and areas for developing in more detail. It was helpful to relate my strengths to the professional behaviour groups. I also used the outcomes/development needs from my self-assessment form to help as a checklist when considering my work objectives."

"In considering my performance over the past year, my manager and I both completed the self-assessment form. It was useful to reflect on how my manager's perceptions compared with my own and it boosted my confidence to receive positive feedback. Also to see how my manager saw my role/skills developing in the future."

## Seeking feedback

The Framework lends itself very well to providing structure for eliciting feedback on your performance. There are several ways that you could do this, including:

- **Providing a copy of the Framework and asking colleagues for their feedback**
- **Providing extracts of those areas that are the key priorities for your role and asking for specific feedback around those behaviours**
- **Providing more structure to the request, for example asking a range of colleagues to identify one strength and two areas for development in each of the priority behavioural groups**

## Using the AUA CPD templates

The CPD Framework offers five templates related to planning, assessment and recording of CPD activities. These can all be found on the CPD Framework website or in the appendices:

- **Personal development plan (PDP)**
- **Record of CPD activity**  
(there is also the online ePD resource on the members' area of the AUA website to facilitate this process)
- **CPD summary record**
- **Personal learning log**
- **Self-assessment form**

Each template on the website is accompanied by a fictitious completed example. The templates may be downloaded from the CPD Framework website and used in their current format or adapted for use to meet your specific needs. If your institution already has equivalent CPD documentation you are encouraged to use those to support your use of the Framework.

## Prioritising development needs

Once you have identified your strengths and areas for development, it can be good to see a long list of strengths, but daunting to find that you have quite a few areas for development on your list. You may need to decide on priorities and time frames for meeting your development needs. This can be achieved by talking it through with your line manager or mentor, and/or by assessing the relative importance of the nine behaviour groups within your specific role. There is a ranking activity sheet available on the website and in appendix 6 to support this process. Once you have decided the relative importance, you could then decide to focus on, say, the top two or three behaviour groups (i.e. those with the highest importance rating) and write your PDP around your strengths and areas for development in those areas. Returning to our example in the wheel activity above (page 10), there are potentially four areas to focus on. It is tempting to assume that 'achieving results' and 'embracing the wider context' would be the highest priorities for focusing development activity as the gap between the self-assessment and the organisation's requirements is the greatest (both with a difference of three in the respective ratings), but this may not necessarily be the case. It could be that for this individual's particular role or at this particular point in time that 'embracing change' and/or using 'resources effectively' (where the difference is two in the respective ratings) are of higher importance which would imply that these areas would be the highest priorities for focusing development activity.

If you are unsure about where the priority areas are for your role, the best person to talk this through with is your line manager. It is important to review the ranking activity regularly as institutional and role requirements change.

# Hints and tips

For getting the most from the Framework for your own personal and professional development

- **Ensure** that you have familiarised yourself with the Framework and are clear about why you are using it
- **Engage with the Framework** in the context of your role, your institution and the wider sector
- **Consider the Framework alongside other information** you have about your role
- When writing a PDP make sure that you consider the results of your self-assessment alongside other sources of information about your development needs (see Figure 1)
- **Be realistic** about the development objectives you set for your development (for example, how much time will you have to devote to learning and development activities, which areas of the Framework are of highest importance in your role, how committed you are to the objectives you set)
- **Set learning and development objectives** to maximise and enhance your strengths as well as those to meet development needs (you can access some fictitious examples in the exemplar PDP available on the CPD Framework website)
- **Set success criteria** for each of your learning and development objectives – i.e. how will you know when you've been successful? (You can access some fictitious examples in the exemplar PDP available on the CPD Framework website)
- **Consider whether you wish to discuss the outcomes** of your self-assessment reflection with anyone else. For example, it can be really helpful to input this to your appraisal
- **Keep up to date** with learning and development opportunities in your organisation and beyond
- Read the case studies on the CPD Framework website to **deepen your understanding** of the Framework and learn how colleagues have used it in other institutions
- Read the articles available on the CPD Framework website about each area of the behaviours framework to **spark ideas about how you could build on strengths** and develop in the areas you have identified
- If you are a team leader, consider how you could use the Framework with colleagues to **develop the team's performance and profile** (the next section of this Guide focuses on using the Framework in a team context)
- If you find self-assessment difficult **ask a trusted friend or colleague** who you know will give open and constructive feedback for their opinion
- You will get the most benefit from engaging with the Framework if you are **honest** with yourself in your self-assessment
- **Share your experience** of using the Framework with others

**"I asked new staff members on secondment to complete the self-assessment form and personal development plan as part of their induction activities. My aim was to encourage reflection on their behaviours, skills and development needs from the start so that I could help them with their development during their time with us."**

Greater than the sum of the parts

# Using the Framework

with colleagues and with teams

## Activities and outcomes

If you would like to use the Framework to develop your team and others with whom you work, there are numerous ways in which it can support you. Below are a few examples:

### Team development planning

Using or adapting the template documents to assess your team's performance and to plan, record and review your team's CPD

#### Purpose/desired outcomes

- To identify the team's strengths and areas for development
- To take a structured approach to team CPD
- To guide team learning and development activity and use of staff development resources
- To enhance team performance

### Discussion with colleagues

Using or adapting the template documents to assess your team's performance and to plan, record and review your team's CPD

#### Purpose/desired outcomes

- To raise awareness of the Framework
- To provide additional structure and depth to on-going review of performance
- To recognise achievements and strengths
- To provide support to enable colleagues to meet PDP objectives

### Managing change

Planning and implementing change

#### Purpose/desired outcomes

- To provide vision and clarity about the future needs of the organisation
- To refocus the team's activities
- To identify transferable skills, knowledge and experience
- To support colleagues through periods of change

### Appraisal

Reviewing performance, setting objectives and discussion of career development/aspirations

#### Purpose/desired outcomes

- To capture achievements and strengths that may otherwise be overlooked
- To identify priority development areas for the next review period
- To provide a structure for appraisal discussions
- To provide feedback to colleagues in a structured way

### Recruitment and selection

Writing job descriptions and person specifications

Framing interview questions

#### Purpose/desired outcomes

- To focus on the behavioural requirements of a job in an objective and specific way
- To use common language within the sector

### Induction

As line manager of new team members

As someone who contributes to induction for new starters in other areas

#### Purpose/desired outcomes

- To provide a comprehensive picture of role requirements, including job tasks, skills, knowledge, qualifications and behaviours
- To clarify the HEI's expectations

### Informal feedback

Providing informal feedback to colleagues in a structured way

Eliciting feedback from team members

#### Purpose/desired outcomes

- To increase own and others' self-awareness
- To provide structured feedback to colleagues about their strengths and areas for development
- To enable and support colleagues to provide feedback on your own performance as a line manager
- To improve communication and workplace relationships

### Professional recognition

Using the Framework to demonstrate professionalism

#### Purpose/desired outcomes

- To foster professional identity
- To encourage colleagues to join the AUA and/or to gain AUA Accredited Member/Fellow status
- To role model professionalism in HE administration and management

# Practical exercises

## Creating a team profile

An Excel tool is available on the website to facilitate the development of a team profile.

This is completed in the following way:

1. The team leader explains the purpose of the exercise and gains everyone's agreement to proceed. It is helpful to get everyone's agreement at the outset to share their results with the person who is completing the spreadsheet.

2. Each team member completes their own self-assessment wheel activity (page 10, Figure 3)

3. One person inputs the individual results from each team member into the Excel spreadsheet.

4. The team profile is produced via the Excel tool.

5. The team profile is circulated to all members of the team and an appropriate forum identified for the team to consider and discuss it, perhaps in a regular team meeting or as part of a team away day.

The end result does not identify individual responses, and will look something like this:

## How you can use a team profile

- Discuss the individual and average self-assessment scores across the team and share issues/learning points that arise
- Consider and discuss what this reveals about the team's strengths, aspirations and areas of development in light of what you know about the organisation's future needs
- Discuss the surprises, anomalies and set objectives for maximising strengths and meeting development needs

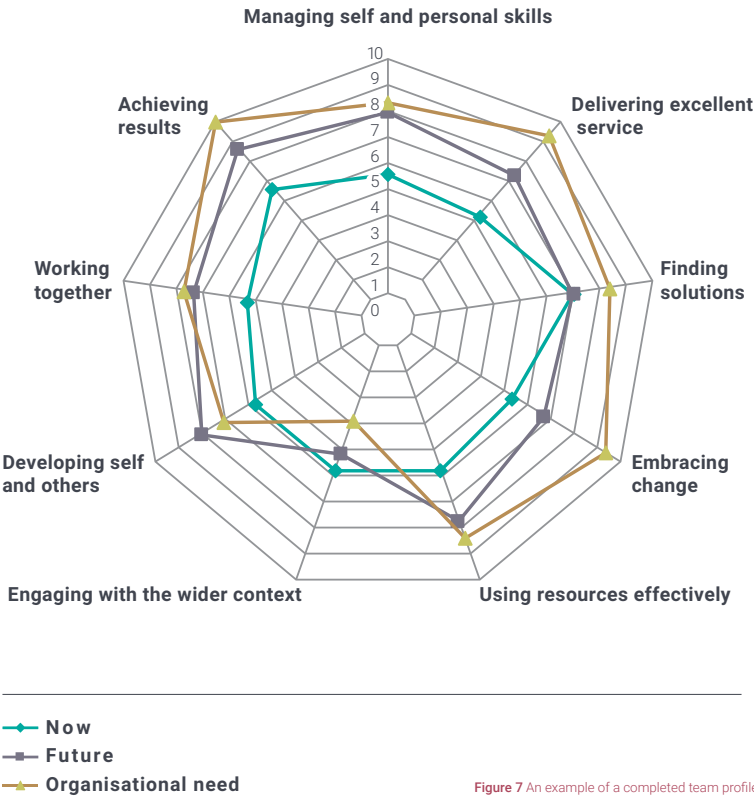


Figure 7 An example of a completed team profile

## Other ways to use the Framework with your team

The ranking exercise (Appendix 6) can be a very useful activity at team level to establish team priorities and to determine where to focus staff development energies and resources.

You can also map a team's function to the Framework in the same way described above for an individual role (Figure 5).

Another way in which teams have used the Framework is to take a step backwards when a vacancy arises to reconsider strengths, development needs and career aspirations across the whole team. The team meets to discuss the role that has become vacant and to map its tasks against the Framework. Team members are then invited to highlight any areas where they have interest and/or where they have identified a need for further development or a need to maximise strengths. You could do this visually via post-it notes.

This approach works very effectively for temporary vacancies, for example a maternity leave cover or sickness absence cover.



Figure 8 Mapping team development opportunities



## Hints and tips

for using the Framework to enhance team performance

- **Acknowledge** that working with a behavioural framework may be unfamiliar to many colleagues and that some colleagues may feel 'under the spotlight' or exposed
- **Provide a briefing session** about the Framework to ensure that all members of the team are starting from the same knowledge base
- **Be open** about your own self-assessment
- Set the use of the Framework within the **wider context** of the department/institution/sector
- **Build enthusiasm** for the Framework by sharing your vision for what you are trying to achieve by applying the Framework within the team
- **Focus on the positive benefits** to the individuals
- Recognise that **colleagues who find self-assessment difficult may require more support** than others
- **Reassure colleagues** about confidentiality
- **Be transparent** about how any collected data will be used
- Use the Framework to highlight key strengths that the team has and to **provide feedback** on the collective value of those strengths
- **Be creative** in identifying and creating development opportunities within the team's day-to-day work
- **Ensure that you are well informed** about learning and development opportunities in your organisation and beyond
- Read the case studies available on the CPD Framework website to **deepen your understanding** of the Framework and learn how teams have used it in other institutions
- Read the articles about each area of the behaviours framework to **generate ideas** about how the team could build on strengths and develop in the areas you have identified
- **Share your experiences** of using the Framework with:
  - Your line manager/head of department or unit
  - Peers and other teams within your department/institution
  - Your institutional AUA Advocate
  - HR/OD/staff development
  - Peers and other contacts in your HE networks outside of your institution
- **Disseminate learning** across the sector, for example by writing an article, producing a case study or presenting at a conference

**"I used the professional behaviours as a basis for discussions at our team away day. Members completed the self-assessment forms in advance and on the day I focused on how we could more effectively work together as a team."**

# Using the Framework

at institutional level

## Issues to consider

The first important step in using the Framework at institutional level is to determine whether it is 'fit for purpose' for your organisation. There are various ways that you might approach this. Some institutions simply decide through discussion within HR and the senior management team. Others consult more widely across the organisation and some embark on a full consultation exercise.

The purpose of the consultation would be to assess whether the Framework works within the context of the organisation and to explore its relationship to any existing processes and frameworks. It can be invaluable to use such a consultation exercise as an opportunity to identify barriers to implementation and to elicit ideas about how best to implement and embed the Framework within the institution. If the organisation decides that it is ready to embed the AUA Statement of Values and Behaviours Framework into its organisational development provision, it may be time to work towards the Mark of Excellence.

As a starting point when considering the potential value of the professional behaviours, HEIs might consider the following relationships:



**Here are some suggested questions to consider when embarking on use of the CPD Framework at institutional level, or working towards the Mark of Excellence.**

- What is the organisational issue that you are trying to address by using the Framework?
- What are you trying to achieve?
- What's the scope of the project, for example how many staff/areas of the university will it affect?
- What is the time frame for implementation?
- Is there any internal consultation that needs to take place?
- Who are the key stakeholders, and how will you gain buy-in?
- What will the success criteria be for implementation?
- What are the potential barriers to success, and how can you minimise them?
- What resources will you need?
- Is the Framework fit for purpose in its original form or does it need some adaptation for your institution?
- Do you need to set up a project team and/or steering group to oversee the project?
- How will the CPD Framework fit with any pre-existing institutional frameworks?
- What is the current level of awareness of the AUA's Framework in your institution?
- How will you promote/market/communicate the Framework internally?
- How will you access/engage the relevant staff and stakeholders?
- Is it most appropriate to implement the Framework across the institution at the outset, or to run a few smaller scale pilots first?
- Would it be helpful to talk to a colleague in another institution that has implemented the Framework for a similar purpose?
- Would some additional support, for example AUA Consultancy or informal mentoring, be of value?



# Activities and outcomes

Some of the potential ways in which the professional behaviours can be used at institutional level include:

## Organisational Development

Using the Framework to support restructuring

Mapping existing skills, knowledge and behaviours to future needs and organisational strategy

### Purpose/desired outcomes

- To support managers in implementing change
- To support staff through periods of transition
- To facilitate culture change
- To encourage cross-boundary thinking and working
- To encourage movement of staff within the organisation
- To provide organisational definition of excellence in professional services

## Learning and Development

Mapping of existing provision against the professional behaviours

Design of learning and development activities aligned to professional behaviours

To support the development of an institutional CPD strategy/policy for PSS

### Purpose/desired outcomes

- To identify gaps in provision
- To focus staff development resources on filling those gaps
- To provide clarity for staff about the relevance of in-house courses and other learning and development opportunities to the professional behaviours
- To facilitate personal development and career planning
- To gain the AUA Mark of Excellence
- To improve individual and organisational performance
- To increase employee engagement

## Recruitment, selection and induction

Job descriptions and person specifications

Further particulars for applicants

Selection processes

### Purpose/desired outcomes

- To focus on the behavioural requirements of roles in an objective and specific way
- To provide a comprehensive picture of role requirements, including job tasks, skills, knowledge, qualifications and behaviours
- To enhance existing processes
- To provide a sector benchmark for recruitment between institutions
- To provide more clarity to applicants and new starters about the expectations of professional services roles

## Succession planning

Developing staff within the organisation to prepare them to compete for more senior roles

### Purpose/desired outcomes

- To maximise the skills and knowledge of existing staff
- To attract and retain valued staff
- To increase motivation
- To contribute to talent management

## Professional recognition

### Purpose/desired outcomes

- To foster an increased sense of professional identity for professional services staff
- To provide equity of CPD opportunities with those offered to other categories of staff
- To support those applying for AUA Accredited Member or Fellow status

# Adapting the Framework

Whilst the principles of the CPD Framework may be commonly accepted and welcomed, sometimes you might want to use agreed terms used by your own institution. The most common adaptations which institutions have made are summarised below and examples may be accessed via the case studies available on the CPD Framework website.

## Language

The terminology within the Framework is intended to be generic across the sector, but inevitably there are variations. For example, the title given to an institution’s performance review scheme could replace the word ‘appraisal’. Some institutions use the term ‘customer’ or ‘students and other customers’ instead of ‘client’.

## Titles of behavioural groups

Some institutions have adapted the titles and/or descriptors for one or two of the nine behavioural groups. Some examples include ‘working with vision’ in place of ‘engaging with the wider context’ and ‘working flexibly’ in place of ‘embracing change’.

## Knowledge/Skills

Some institutions have expanded the Framework to include a summary of the knowledge and skills required to underpin the exemplar behaviours in each of the nine behavioural groups.

## Title

Some institutions have retained the terminology of ‘Professional Behaviours Framework’ or ‘CPD Framework’ to describe their adapted version of the AUA’s Framework, whilst others have chosen an alternative title. Some examples include ‘Professional Development Framework’, ‘Effective Behaviours Framework’, ‘Professional Services Framework’ and ‘Realising your Potential’.

## Providing flexibility to users within the institution

Some institutions have found it helpful to offer flexibility to departments/units to adapt the AUA Framework (or the agreed adapted version being used within the institution) to meet specific local needs. For example, relationships with suppliers may be a significant feature of professional services in one or two areas of the university and these departments may incorporate additional specific behaviours or adjust terminology etc.

## Front page

Some institutions have developed a revised version of the professional behaviours logo to incorporate an institution-specific statement. For example, extracts from a mission statement, HR strategy or values statement.

## Levels

For some institutions it is important to be able to articulate the professional behaviours that exemplify excellence at various levels of professional services roles.

## Formatting

Some institutions have adjusted the Framework formatting to reflect house style and corporate colours.

All proposed adaptations of the Framework must be approved by the AUA and the final version to be used within the institution must carry appropriate acknowledgement of the source (Institutions should contact the AUA Office to seek approval of adaptations to the Framework and to obtain the specific acknowledgement wording to be used).

## Supporting documentation

The AUA provides templates to support the institution in implementing the CPD Framework, however, institutions are not required to use this supporting documentation if they have existing resources which have proved to be effective and have the advantage of familiarity for most staff members. For those wishing to review or refresh their CPD documentation, the AUA’s templates can be adapted to meet organisational needs. Institutions are required to acknowledge the AUA as the source of the document in the same way as noted above.

## An example of how one institution has embedded the professional behaviours into a training and events programme

The Staff Training and Development Unit used the professional behaviours to shape the content of a training and events programme and to provide an overarching ‘theme’ for those wanting to take a number of CPD activities.

For each existing course we mapped the content to the Framework and used the coloured ‘buttons’ to clearly identify to delegates which behaviours the course most closely aligned with.

For new courses we embedded the Framework into the content of these from the start. We also provided delegates with the Record of CPD Activity form with the post-course questionnaire to encourage them to reflect on their learning.



## Hints and tips

for successful implementation at institutional level

- **Be clear** about the purpose and desired outcomes of using the Framework. You should be able to articulate this in two or three sentences.
- Set the success criteria and evaluation methodologies **at the outset**.
- Some organisations have found that using the term 'behaviours' has not been right for their organisation, so **think carefully** about how you present the Framework internally.
- Ensure that those using the Framework for the first time are **well informed** about the Framework itself and the purpose of using it.
- **Provide briefing and training** for all users.
- **Ensure** that you have sufficient learning and development opportunities in place to meet the varying CPD needs and learning styles of staff using the Framework.
- **Consider budget implications** as part of the planning stage.
- **Review** existing learning and development provision and supporting materials to incorporate reference to the Framework.
- **Brief** any external learning and development providers about the Framework and require them to refer to it in the sessions/materials they deliver.
- **Consult** your institutional AUA Advocate(s) and union representatives at the outset and update them on progress.
- **Gain the support** of a member of the senior management team to champion the Framework.
- **Build on the experience and knowledge** gained by other institutions that have engaged with the CPD Framework.
- **Celebrate successes** as you go along to build momentum.
- **Plan for longer-term embedding**, not just for implementation.
- Apply to be awarded the **Mark of Excellence** and join the community of practice.

## Resources

As well as being an exciting prospect, the idea of implementing a CPD Framework may seem a little daunting. The following resources are available to support you, you can access any or all of them at any time during your work with the Framework, depending on your needs and those of your institution.

### **AUA website [aua.ac.uk](http://aua.ac.uk)**

As well as the website dedicated to the CPD Framework, the main AUA website provides other useful resources to support personal and professional development, for example:

- **Information about the Accredited Member and Fellow schemes which provide the opportunity to have CPD activity and engagement with the behaviours formally recognised by the Association**
- **Information about the institutional endorsement scheme**
- **Details of national and regional conferences, networks and learning and development events which are labelled to indicate the specific professional behaviours they are relevant to**
- **The members only ePD area contains online templates and tools for planning and recording professional development**

### **CPD Framework website**

You can access the framework document and all supporting templates, tools, case studies and articles on the AUA website: [aua.ac.uk](http://aua.ac.uk)

### **Consultancy support**

A number of consultants are available to assist you. You can request the support of a consultant by contacting the Professional Development team at the AUA Office.

### **Informal mentoring**

This might be achieved through contacts with LGM project leaders or other Framework users. If you are interested, contact the Professional Development team at the AUA Office.

### **Mark of Excellence**

Provides a national benchmark for CPD and professionalism in HE professional services and includes advice and support in reviewing the institution's current activities and preparing for assessment. Contact the Professional Development team at the AUA Office.

## A final word

This Guide has been written to help you implement the AUA CPD Framework. How and where you use it will differ according to your own circumstances and those of your colleagues and institution. The great strength of the Framework, as we have seen, lies in its flexibility. However, we have observed one area of commonality across the institutions and individuals who have engaged with the Framework and that is that using and adapting the AUA's CPD Framework has proved immensely beneficial to the professional development experiences of the groups and individuals involved. We very much hope you will be inspired to follow their example and embed the CPD Framework in your own professional practice and to raise the profile of professional services within your institution.

Appendix 1: Exemplar Personal Development Plan (PDP)

Name:

Date:

Objectives What do I want to be able to do or do better?	Success criteria How will I recognise success? How will I review and measure my improvement?	Actions What methods will I use to achieve my learning objectives?	Implementation How will I practise and apply what I learn?

Appendix 2: Record of CPD Activity

Date	Learning and development activity	Evidence	Learning outcomes	Relevance	Time spent
Plans for applying the learning:					
Further development needs in this area:					
Evaluation of the learning and development activity:					

Appendix 3: CPD Summary Record

Date of review and period covered	Summary of CPD activity for the year	Planned CPD time in workload plan	Actual time invested in CPD for the year	Notes

Appendix 4: Personal Learning Log

Date	What I did and why	What I learned from it	How I will use or have used it

Appendix 5: AUA CPD Framework professional behaviours self-assessment template

Professional behaviour group	Aspect (self, others, organisation) required for role	Strengths	Evidence of effective working (real examples that demonstrate listed behaviours for this aspect of the professional behaviour group)	Development needs
Managing self and Personal skills				
Delivering excellent service				
Finding solutions				
Embracing change				
Using resources effectively				
Engaging with the wider context				
Developing self and others				
Working together				
Achieving results				

Appendix 6: Ranking activity  
The AUA CPD Framework professional behaviours for professional services staff

Ranking	Behaviour group	Descriptor
	Managing self and personal skills	Being aware of own behaviour and mindful of how it impacts on others, enhancing personal skills to adapt professional practice accordingly.
	Delivering excellent service	Providing the best quality service to external and internal customers. Building genuine and open long-term relationships in order to drive up customer service standards.
	Finding 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	Being open to and engaging with new ideas and ways of working. Adjusting to unfamiliar situations, shifting demands and changing roles.
	Using resources effectively	Identifying and making the most productive use of resources including people, time, information, networks and budgets.
	Engaging with the wider context	Enhancing your contribution to the organisation through an understanding of the bigger picture and showing commitment to organisational values.
	Developing self and others	Showing commitment to own ongoing professional development. Supporting and encouraging others to develop their professional knowledge, skills and behaviours to enable them to reach their full potential.
	Working together	Working collaboratively with others in order to achieve objectives. Recognising and valuing the different contributions people bring to this process.
	Achieving results	Consistently meeting agreed objectives and success criteria. Taking personal responsibility for getting things done.

Sincere thanks are extended to all the pilot groups who worked with us on the HEFCE-funded CPD Framework implementation project and since. Without their dedication, enthusiasm and tenacity, the project would not have succeeded. Their outputs, including case studies and supporting materials can be found at: [aua.ac.uk](http://aua.ac.uk)

This guide was written by Jan Shine, Rachel Birds and Catherine Lillie and first published in 2013. Second edition reviewed and amended by Jan Shine, John Ryan and Amanda Shilton Godwin and published in 2016.

Design and layout: [coppermedia.co.uk](http://coppermedia.co.uk)

The participating organisations and HEIs are listed below;

- ARMA  
Aston University  
Buckinghamshire New University  
Canterbury Christ Church University  
Durham University  
Edge Hill University  
Edinburgh Napier University  
Goldsmiths, University of London  
Keele University  
Liverpool John Moores University  
National University of Ireland Maynooth  
Oxford Brookes University  
Plymouth University  
Royal Veterinary College  
Sheffield Hallam University  
Staffordshire University  
St George’s, University of London  
UCL  
UNISON  
University College Dublin  
University of Bath  
University of Bedfordshire  
University of Brighton  
University of Bristol  
University of Chichester  
University of Cumbria  
University of Essex  
University of Greenwich  
University of Kent  
University of Leeds  
University of Leicester  
University of Nottingham  
University of Salford  
University of Sheffield  
University of Southampton  
University of Stirling  
University of the West of England  
University of Ulster  
Vitae

