Implementation of the CPD Framework case study

Name of Institution:	**University of Bath**
Title of Project:	**Administrative Staff Continuing Professional Development Project**
Level:	**University-wide within a specific job family**
Date of Project:	**From November 2010**

1. The Project Brief and Context:

Identifying and developing the knowledge, skills and behaviours required to underpin the university's mission and provide effective support for its business, now and in the future.

This case study describes Phase One of an overall project and remains unfinished at the time of writing. Phase Two will begin in 2012 and is a 'Career Pathways' project - encouraging greater movement of administrative staff across all areas of the university.

1.1 A pre-requisite in the University's Corporate Plan, to the delivery of its goals, is the recruitment and retention of excellent staff who are supported, informed and equipped to contribute fully to the delivery of these goals. The administrative staff body of approximately 1000 people is a crucial part of our workforce (38%), who need to have the right skills to support the research agenda and student experience now and in the future. By identifying key knowledge, skills and behaviours; helping managers to encourage team and individual development and individuals benefiting from continuing professional development, the university will be best placed to deal with the future.

1.2 External Drivers: Proposed changes in HE government funding herald a more market-like environment and a period of uncertainty, financial constraints and possible volatility for the whole HE workforce. Volatile times demand flexibility, adaptability and emotional resilience to maintain an excellent level of service. We will need staff with transferable skills, able to find innovative solutions in challenging situations and to be 'change ready', which is difficult if they work in 'isolated teams' which create barriers to effective communication. Most of the target group of staff are in student-facing roles, crucial to a positive student experience and many will be at the forefront of meeting our strategic challenges.

1.3 Internal Drivers: Leaders and staff at all levels in the University have identified the need for a more comprehensive and consistent map of administrative capabilities across the institution, as a way of enabling a more flexible, responsive and motivated workforce.

1.4 Business Process Efficiency – Building upon the recent establishment of Faculty-focused administrative teams, there is now a need to focus on how individuals carry out their roles. This project aims to create a shared understanding and common language.

2.   Project Aims:

2.1 To develop a coherent framework describing the knowledge, skills behaviours (KSB) required in administrative roles, both in generic administrative and professional/specialist administrative roles. The model will also encourage individuals and managers to weight generic knowledge, skills and behaviours according to the role's priorities.

2.2 From the framework, develop tools for managers and individuals to evaluate strengths, gaps and areas for improvement.

2.3 To decide how the university can best support the development of these knowledge, skills and behaviours so that a culture of personal responsibility for learning is fostered and administrative staff can develop to their full potential.

3.   Desired outcomes and success criteria were identified early on in the scoping phase.

3.1   <u>Desired Outcomes:</u>

3.1.1 The role of administrative staff and their input to the university's mission will be clarified and demonstrate the professionalism they bring to the student experience and research agenda and therefore improve confidence and morale.

3.1.2 The KSB of administrative staff should be enhanced, leading to higher performance, increased effectiveness and consistency in the quality of support.

3.1.3 The Association of University Administrators (AUA) new 'Professional Behaviours Framework' was a potential model for adoption and might be used for workforce planning; recruitment; talent and succession planning; to structure conversations during Induction, Probation and Staff Development and Performance Review (SDPR).

3.1.4 Highlighting the common language and transferable skills will facilitate staff moving between units/departments/services and aid collaborative team working.

3.1.5 Managers will be equipped with tools, techniques and training to help them support the CPD of their staff and review their team 'profile'.

3.1.6 The information gathered in this project will clarify shared responsibility for training and development; help the various staff development functions prioritise, plan and evaluate more strategically with a clear line of sight to business priorities.

3.1.7 For individuals: this is a developmental framework, building on current capabilities, skills and knowledge and enhancing transferable skills. Staff will be able to identify their strengths and any gaps in knowledge, skills and behaviours (KSB) against a framework; see which KSB are needed to be successful in a particular role and what they can do and where they can go to develop themselves fully.

3.1.8 Expanding and developing new areas of capability, for an existing role or career development, should lead to increased motivation to learn, confidence and self-esteem.

3.2   <u>Success Criteria</u>

3.2.1 A coherent Framework will be in place which has been tested and found 'fit for purpose'. It will make sense to managers and individual staff in the context of their roles, the work they do and for the development of both individuals and teams.

3.2.2 In the pilot, using the Framework within their annual SDPR process, participants report significant improvements in some of the following:
The Framework and/or forms helped:
- Structure the conversation
- Provide a benchmark against which individuals/managers can assess performance/ progress/ development.
- Enhance the quality of discussions and feedback.
- Facilitate the identification of personal strengths and development needs and solutions.
- Provide a clearer, shared understanding of the university's expectations of the role.

3.2.3 The Framework is a flexible template, upon which a number of processes and situations which occur over an employee 'lifecycle' are built.

3.2.4 It will create a common language to facilitate conversations about individual and team performance and development.

3.2.5 It will be used regularly by relevant staff.

Some of the outcomes and criteria are currently being tested in the Pilot Evaluation (see section 5.10). They are regularly reviewed by the Project Team.

4. Project Participants:

The project encompassed all staff in grades 3 to 9 of the Management Specialist and Administrative (MSA) job family across the whole university - in Faculties, Professional Services and 'Operational' Depts., with equality of opportunity to engage in and benefit from CPD activities.

There was no pre-existing framework relating to the knowledge, skills and behaviours for this target group.

The Steering Group members and the HR Director championed the project.

5. Outline of approach taken

5.1 The idea to develop this project had been germinating within the Staff Development Unit (SDU) for some years. Serendipity led us to the AUA's CPD Framework and then to the Pilot Scheme. Our bid was successful in the summer of 2012 and we were allocated financial support in the form of an AUA consultant, Jan Shine, who became an integral part of the project team. The AUA kindly allocated one additional consultancy day in recognition of the scope and scale of the project and the University of Bath (UoB) paid for additional consultancy time on top of this.

5.2 <u>Project Planning and Set Up</u>
The project scoping was completed in November 2010, and set to last up to Christmas 2011. Key milestones were identified 1) Scoping 2) Establishing the Project Team and Steering Group 3) Consultation 4) Analysis of consultation outputs 5) Development of the University of Bath CPD Framework 6) Setting up and training Pilot Groups 7) Run pilot 8) Pilot Group Evaluation 9) Roll out decision taken.

During the discussions with key stakeholders prior to scoping, it became clear that as the project outcomes were aimed at staff from all areas of the university and at many levels, the main barrier to its success throughout would be a lack of engagement and that if the project was led and driven purely from Human Resources at 'the centre' this might exacerbate this. Also, understanding the issues, barriers and culture of the target group purely from the perspective of working in the centre would be impossible.

An action research approach was adopted, where the purpose is to guide inquiry and action into real problems, typically involving changing patterns of thinking and action that are already well established in individuals and groups. A central belief of this approach is the need to **understand a system before trying to change it**. Involving the staff who will be affected by the change (in this case both managers and their staff) in their own learning because they bring detailed knowledge and experience of the system produces both better learning for them, and more valid data about the system.

5.3 <u>Engagement</u>
The project group responsible for driving the project forward comprised the Project Sponsor - HR Director, the Project Leader – Staff Development Manager, AUA Consultant, and Project Coordinator – Staff Development Assistant. The Project Leader and Sponsor meet regularly to review progress against the Project plan and the Leader and Consultant had frequent meetings both face to face and by telephone.

To gain a wider range of engagement and information a Steering group was set up to act as advisors; to help raise awareness of the project; to champion the framework across the university and to make recommendations to address the university-wide people management issues identified. Terms of Reference are attached at Appendix A. A careful balance was achieved in the membership of the group by including staff from grades 3 to 9, representing as many areas of the university as possible. We felt it was also important to have employee trade union and Students' Union representatives as well as the University's AUA representative. The group was constituted by a combination of personal knowledge of individuals known to have a keen interest and by seeking nominations from senior managers in areas where there was no prior knowledge. The Group is chaired by the Director of Finance one of the most senior members of staff in the MSA job family.

5.4   Information and communications phase (Nov 2010 - end of Feb)
Various explanatory documents were written for different audiences and for the university intranet.

A paper was submitted to the Vice-Chancellor's Group (VCG) in late February who were asked to note progress of the implementation of the Administrative Staff CPD Project; consider the detail of the project plan; lend their active support to maximise staff engagement in the project and its outcomes and consider any other actions we might take to maximise the benefits of the project. The paper was warmly received and the project approach endorsed and praised by the Vice Chancellor who volunteered to write a message of support, published to all staff via the university intranet (see Appendix B) which was significant as she rarely makes this kind of public statement. The meeting was also successful in gathering volunteers to be interviewed in the subsequent consultation phase (see 5.5.2).

5.5 Consultation Phase (Jan - April 2011)
5.5.1   Focus Groups
Adopting the action research approach described above, it was important to create focus groups that were as representative1 as possible of the group of staff who would be affected by the project outcomes. We invited staff to book into one of three different constituent groups:
- Group A: administrative staff from grade 3 up to and including grade 9
- Group B: managers of administrative staff above grade 9 and academic/research leaders who are 'receivers' of the administrative services e.g. Directors of Study.
- Group C: Students, key external clients. It was later decided that gaining access to key external clients was problematic and so these groups were confined to students. A Steering Group member who works within the Students' Union recruited this group.

We advertised the groups through targeted emails, the intranet and Steering Group members. To create a representative mix within each focus group, staff were asked to complete a nomination form and then were slotted into suitable sessions running Feb – March 2011. All nominations were accepted. To encourage inclusion from traditionally under-represented groups, targeted emails were sent by various Equality and Diversity representatives and groups. A total of 82 staff took part in the Groups (see Appendix C).

5.5.2   One-to-One Interviews
To identify what the organisation values and needs in the changing HE climate in terms of the knowledge, skills, and behaviours of its administrative staff, it was crucial to gain the strategic views of top management through one-to-one interviews, conducted between February and April 2011 with the Deputy Vice-Chancellor (DVC), Pro Vice-Chancellors, two Deans, Academic Registrar and Senior Librarian. The questions posed can be found at

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1 That is, groups should represent different roles and areas; have diverse backgrounds (i.e. previous work experience, entry points to HE etc.); have a mix of length of service; and of course in terms of gender, age, pay grades.

Appendix D). Apart from the Deans, all were keen to participate. It took three different approaches and some determination to gain the Deans' input to the consultation (see 7.3).

The outputs of the interviews were so insightful and forward-focussed that the summary of the outputs may be circulated them more widely as they describe desired behaviours to which 'the university' would like all staff to aspire and might inform other initiatives. The effective behaviours can be clustered into four key themes:

a) Understanding the business/core mission and how the university works, including outside one's own department; gaining a sense of interconnectedness i.e. that what one does here will affect Y.
b) Innovation, feeling able to challenge, ask questions.
c) A 'can do' proactive attitude.
d) Coping effectively with change and novelty.

5.6 Analysis of consultation outputs

Following the focus groups and interviews, summaries were produced that capture the outputs from each of the separate constituency groups structured around the exercises within the focus groups and standard questions used in the interviews. Following analysis and identification of duplications, the separate summaries were then amalgamated into one document that summarises the outputs of the consultation, split into key themes to ease interpretation.

This document provides a wealth of information totalling 37 pages which could be used on an ongoing basis to feed into strategic decision making. The summary of the consultation outputs was presented to the Steering Group in May 2011 as part of a full report of the consultation process.

Following consultation with the Steering Group, the AUA's framework was adapted for use by the University of Bath (UoB) in the following ways:

- substitution of 'customer' for 'client' throughout the document
- the addition of indicative skills/attributes and underpinning knowledge for each area of the framework based on the outputs of the consultation
- substitution of 'The University' or 'University of Bath' for 'the organisation' throughout the document
- customisation of the diagram on the front cover:
  - use of Bath corporate colours
  - use of the attributes statement from the UoB Corporation Plan in the centre of the circles diagram
  - link to the UoB People Strategy included on the front page

5.7   Development of the University of Bath Framework

A draft UoB framework incorporating these changes was presented to the Steering Group which approved recommendations for some further work:
- introduction/guidance notes at the beginning of the document
- adaptation of various AUA templates for use within the pilot
- change of title of behaviour group from the AUA's 'Providing Direction' to 'Engaging with the Big Picture'
- clarifying what is meant by 'customer' in the descriptor for 'Delivering Excellent Service'
- rewording of some of the specific behaviours in the AUA framework to reflect the actual words used in the consultation
- the addition of some new behaviours identified in the consultation and deletion of some of the AUA's behaviours that did not seem essential for the University of Bath version

The final UoB version of the framework was produced in June 2011 and permissions statements were approved by the AUA (Appendix E). The document was approved by the Chair of the Steering Group prior to its use in the pilot.

5.8 <u>Implications for Staff Development (May and ongoing)</u>
In May 2011, the SDU met to consider the implications of key consultation outputs upon their training and development provision and priorities for this staff group (see desired outcomes 3.1.6). It was decided that the most significant part of the consultation outputs for this function were the desired effective behaviours (see 5.6) as they gave a strategic steer. As a result:
- Both in-house and all regular external trainers have been told about the importance of these four areas and have been asked to incorporate the key themes into future delivery of learning and development events.
- Descriptions of effective Professional behaviours will be included when communicating learning outcomes for relevant courses.
- We plan to present and discuss key findings at a future Staff Development Strategy Group which includes representatives from various internal training and development providers.

5.9 <u>Pilot Phase</u>
The consultation phase showed us that the AUA's Framework itself was 'fit for purpose' at Bath and the next stage was to test the effectiveness of the UoB version when used in conjunction with a 'people process'. We decided to use the annual Staff Development and Performance Review (SDPR) to pilot the Framework. Tools were created which helped incorporate the framework into the existing SDPR process (see section 6 Materials used). The staff involved in the pilot used the new Framework and tools within their annual SDPR meeting which took place between July-Oct.

To provide a representative sample we felt we needed one whole Professional Service department and one Faculty and then some smaller teams covering other types of work and cultures. Feedback in the focus groups suggested we should also try to cover teams in situations where individuals might find using the Framework within SDPR more challenging i.e. disaffected staff or teams in a period of transition. Having identified a number of departments and teams which might fit these criteria, the Staff Development Manager (SDM) approached and then met the managers during March/April 2011. The pilot involved approximately 145 staff (114 Reviewees and 29 Reviewers) from eight department/teams2.

The SDM and the consultant then prepared the materials and workshops and staff booked into a session. Over June and July all Reviewees attended a 90 minute briefing and Reviewers also attended a three hour workshop (see Appendices F and G). A few small group sessions were run for staff who were unable to attend these sessions. Feedback was gathered at the end of each session, which enabled us to improve the sessions as we went along.

The evaluation of pilot participants' experience of using the Framework and tools within SDPR is underway in the form of online questionnaires with separate versions for Reviewees and Reviewers. From late October, we will run focus groups to gather qualitative data. We hope to have collated and analysed the data in November. This will then be reported to the Project Sponsor and the Steering Group and any subsequent recommendations should begin to be planned or implemented early in 2012.

5.10 <u>Roll Out Decision</u>

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2 The Pilot Groups were administrative staff in the Faculty of Humanities and Social Sciences and the Human Resources Department plus teams from the Sports Development Dept.; an e-learning technologist team; a team of middle managers in the Estates Dept; two teams from the Library and the International Student Support team.

Recommendations for a full roll out of the Framework will be made once the pilot evaluation is completed. At this stage, if there is a rollout, the options appear to be:

- Use the UoB Framework within the SDPR process with all administrative staff across the university.
- Use the UoB Framework in some stages/processes within the 'employee lifecycle'
- Use the UoB Framework in all stages/processes of the 'cycle.'

Another separate question is whether to extend the Staff group to include others e.g. technical, research, academics, manual staff.

The SDM has initiated discussions at an HR Manager's Meeting (24.08.2011) to gauge whether there is an appetite for further development. HR staff are familiar with the Framework as they were one of the Pilot Groups and the HR Director is the Project Sponsor. As a result of this meeting, the following actions are being undertaken:

- The Framework and possible roll out to processes other than SDPR will be discussed in an HR Leadership Team meeting.
- The SDM will report back to the HR Manager's Meeting after the pilot evaluation in November.
- Before that meeting, HR Managers will consider how they might like to see the framework implemented.
- The Framework will be used when writing the person specification for the forthcoming HR Advisor post.

6.   Materials.
The following AUA materials were used in the project:
Consultation:
- professional behaviours framework
- framework postcards
- framework posters

Pilot:
- professional behaviours wheel activity sheet
- professional behaviours ranking sheet (adapted)
- self-assessment form (adapted)
- exemplar self-assessment form (adapted)

The following UoB materials were used:
- Corporate Plan
- People Strategy
- SDPR (appraisal) form

The following materials were developed:
- UoB CPD Framework (Appendix E)
- SDPR pilot guidance notes (Appendix H)
- SDPR pilot flowchart (Appendix I)
- Ideas for Development Opportunities (Appendix J)
- Definitions sheet (CPD, Training and Development) (Appendix K)

7. Observations and learning points
Resources
7.1   The main barrier encountered has been the lack of internal resource to lead and drive such a strategic project affecting a large staff group. The SDM leads this project alongside a full workload and it is estimated that to date, she has worked full time on the project for three months and approximately 50% of her time was required for the remaining seven months. The only way to cope with this was to work excessive hours, despite the release of further funds beyond the original budget to secure more consultancy time.

This has implications both for the possible roll out of the current project and for Phase two. In "shrinking times", we cannot actually do more with less so we have to draw a line and say

we will do less with less, but with perhaps more focus. We did not pose ourselves this question during the project which was an error, in hindsight.

Discussions are underway within the HR Department to see how the load might be shared for the roll out and with Phase two, the start will be delayed and the project length extended.

7.2 The workload of the SDM was undoubtedly helped by applying established project management tools and techniques such as charts, databases and email distribution lists which also kept the project on track and provided the Coordinator with the information needed to develop communication channels and answer most queries.

7.3 The Project Coordinator also played a crucial role supporting the Steering Group, the focus groups and the training sessions.

7.4 Without the additional support of the AUA consultant who worked tirelessly, the project might have faltered. In addition to the significant outputs generated by the consultant, she played a vital role providing moral support to the SDM particularly during the more challenging phases e.g. when trying to build engagement and when running a large number of training events.

Approach

7.5 The choice of an action research approach (see 5.2) was judged to be successful as it helped to build engagement with those most affected by the project. Administrative staff in the focus groups and the Steering group remain keen to participate. Some members of staff reported that taking part in a focus group had been a CPD event in itself.

7.6 The Chair of the Steering Group is the Director of Finance which means that she is a member of VCG and has a strategic viewpoint. She gave valuable personal advice to the SDM on how best to approach the VCG meeting and the most salient points which needed to be covered. She has also championed the project whenever possible.

It was a conscious decision to have the Director of Finance as Chair of the Steering Group rather than the HR Director who indirectly commissioned this project and became the Project Sponsor. In this way, the SDM could count on the support of two key influential figures, rather than one.

7.7 As there was no universally accepted and understood term for the target group of staff, the project adopted the term 'administrative staff'. To avoid misunderstandings, in every committee paper, webpage, focus group, interview and training session, we explained what this meant but it took several attempts and some further explanations before we gained any kind of acceptance. The term was misunderstood both by the managers of these staff, staff in other groups and some of the participants themselves. Our final explanation was: '*staff in the MSA Job family who before the HERA job evaluation exercise, were described as clerical, administrative and academic-related*'.

7.8 The inclusion of the student focus group provided some useful insight into stakeholders' perspectives that we may otherwise have missed.

Engagement

7.9 Gaining Deans' input to the one-to-one interviews was problematic and although ultimately successful, three different approaches were required. Emailing an outline of the objectives and why their views were important proved unconvincing, as was asking one of their colleagues to intercede. The successful approach was to speak with their Personal Assistants. This suggests that for an Organisational Developer, success can often hinge less

on one's place in the hierarchy and more on the quality and extent of relationships developed across a wide spectrum of staff.

The reasons given for the Deans' reticence were:
a) Excessive workload (but this could be said for all the other consultation participants).
b) An insistence that all people matters concerning administrative staff should now be passed to the new Directors of Administration. In some ways this was understandable, as at that time, there had been a degree of frustration with central departments seemingly ignoring these managers and communicating as if the new structure was not now in place. However, it also implies that the message about why the Deans' different perspective was valid and important had not been heard or understood.

It was equally difficult to secure the attendance of academic staff at the focus groups set up specifically for them. Again some suggestions from one of the Dean's Personal Assistants enabled us to attract a small number.

The SDM believes that the above difficulties in engaging academics in this project are caused in part by a 'divide' between the academic and 'the centre' (i.e. professional services depts.). Anecdotal evidence emerged during the focus groups which confirmed that a 'them and us' attitude continues to pervade.

7.10 In some of the one- to-one interviews and the focus groups, academic staff struggled to answer:

- If the University's administrative service was operating at optimum levels of effectiveness and efficiency, what would you observe and experience?
- Which generic knowledge, skills and behaviours will the university require from its administrative staff to underpin its mission, values and strategy? And provide effective support to the university's business, now and in the future?

As they do not usually line manage administrative staff, academic colleagues may never have been asked to articulate what effective behaviours might look like in these staff, but on the other hand, they are frequently exposed to these effective and less effective behaviours as 'customers'. Perhaps administrative staff would struggle in a similar way if asked the same questions about academic staff? In which case, this is another example of staff working in 'silos' which was frequently cited as an ineffective behaviour in the consultation.

7.11 Including HR department staff in steering and focus groups as well as being one of the eight pilot groups was essential as they will be key to any further roll out of the scheme so it was important to have them involved at an early stage. It also provided an excellent opportunity to test out the framework with a group of specialist staff with pre-existing professional body CPD requirements.

7.12 The SDM was confident that a number of managers would agree on behalf of their teams to take part in the pilot but the degree of enthusiasm for the project aims and desired outcomes was unexpected and highly valued. The SDM tried to maintain this energy throughout the pilot by face-t- face conversations and emailing answers to frequently asked questions.

Communication
7.13 The Project Leader and Coordinator devoted a lot of time and effort to keeping the Intranet site updated with progress reports and targeted emails to key stakeholders and received anecdotal evidence that this was welcomed.

Moving forward
7.14 In an HR Business Partner Meeting, it was suggested that the new Framework originally called 'The University of Bath CPD Framework' be **renamed 'The University of Bath Professional**

Behaviours Framework' as the former implies it is used exclusively for developing staff, whereas it is hoped it might be adopted in a variety of 'people processes and stages' along the whole 'employee lifecycle'. The new name will be discussed and agreed at the next HR Manager's Meeting and the Steering Group.

7.15   If the pilot evaluation endorses the roll out of the Framework, and the decision is then confirmed with relevant stakeholders, the challenge will be to engage with staff who are further away from the keen 'early adopters' in the pilot phase. It is envisaged that we will start with engaging those who took part in focus groups and then gradually spread the net wider. There will also be a need to update many groups on progress, benefits realised and lessons learned.

7.16   It has become clear that a roll out cannot be driven by the current Project team alone, it would need a wider group including key HR staff and other key stakeholders outside of HR. This will involve further stages in the project to be scoped and resourced.

7.17   Delaying the start of phase two is essential in terms of managing workloads and resource but as many individuals have identified the desired outcomes of this phase to be very important, there is danger that they will not feel direct benefits until this begins and the overall project could lose momentum and support. This will need to be mitigated with targeted, ongoing communications.

8.   Evaluation
Consultation - We were pleased with the response to the invitation to take part and with the high level of active participation and contribution within the focus groups. Although we did not ask formally for feedback about the focus group workshops, anecdotal feedback suggests that for some participants attending a focus group was in itself a valuable CPD activity and that the opportunity to share experiences with colleagues from other parts of the university was particularly valued.

Pilot training – We used evaluation forms to gather feedback about the Reviewees' briefing sessions and the workshops for reviewers. There were 127 and 28 respondents respectively. The feedback was overwhelmingly positive:
- Reviewees briefings – overall average rating 4.23 (maximum rating 5)
- Reviewers' workshops – overall average rating 4.30 (maximum rating 5)

This section will be expanded once the evaluation of the pilot is completed.

9   Conclusion
This section will be completed once the report of the evaluation of the pilot is completed and the Steering Group has met to determine next steps and to close the project.

Steering Group - Terms of Reference

1. To advise the Project Team; raise awareness of the project and champion the KSB framework across the university and within the sector.

2. To help identify
   - The generic KSB the university requires from its administrative staff to underpin its mission and strategy and provide effective support to the university's business, now and in the future.
   - KSB strengths and areas for development amongst administrative staff and to develop tools and resources to equip individuals and their managers to maximise strengths and meet development needs at individual, team, department and university levels.

3. To help to create a shared understanding, common language and administrative knowledge, skills and behaviours (KSB) framework for all areas of the university.

4. To advise:
   - How the university can best support the development of these KSB so that administrative staff can develop to their full potential.
   - How the university can foster a culture of personal responsibility for learning and collaborative team working.

5. To make recommendations to address the university-wide people management issues identified by the above.

Appendix B

A Message from the Vice-Chancellor

The University's vision is *'to be recognised as an international centre of research and teaching excellence, achieving global impact through our alumni, research and strategic partnerships'* and we recognise that this excellence can only be achieved through the hard work and commitment of **all** our staff.

The role of administrative staff and their professional dedication are both vital in supporting the student experience and research agenda. The administrative staff body of approximately 1000 people, is a crucial part of our workforce (38%), and the Administrative Staff Continuing Professional Development Project is an important step in supporting teams and individuals to develop to their full potential.

By identifying key knowledge, skills and behaviours; helping managers to encourage team and individual development and individuals benefiting from continuing professional development, the university will be best placed to deal with an ever-changing future

ADMINISTRATIVE STAFF CONTINUING PROFESSIONAL DEVELOPMENT PROJECT <u>Summary of consultation process</u>

The consultation phase of the project was undertaken during February to April 2011 in line with the proposals approved by the Group at its last meeting. The table below summarises the various components of the consultation.

Stakeholder constituency	Type of consultation	Number of participants
Administrative staff	Focus Groups (4)	56
Leaders and Managers[3]	Focus Groups (3)	19
	1:1 interviews	5
Students	Focus Group	7
VCG members	1:1 interviews	2
Total		**89**

An example of the programme for the focus **Programme:**

9.45	*Refreshments available on arrival*
10.00	Welcome and introductions
10.15	Context of project
10.25	Whole group activity - the characteristics of excellent administrative service
10.40	The AUA's CPD Framework
11.00	Refreshment break
11.10	Activity in small groups - the generic knowledge, skills and behaviours required of administrative staff
12.05	Whole group activity - embedding the framework
12.25	Feedback and discussion Next steps
12.30	Workshop close

Facilitators: Angie Allcock, Staff Development Unit; Jan Shine, AUA Project Consultant

<u>Areas of the University represented in consultation</u>

Professional Services areas	Academic areas
Academic Registry	Department for Lifelong Learning
Accommodation and Hospitality	Faculty of Engineering and Design
Computing Services	Faculty of Humanities and Social Sciences
Estates	Faculty of Science
Finance	School of Management
Human Resources	VC's Office
Institute of Contemporary and Interdisciplinary Arts	
Library	
Learning and Teaching Enhancement Office	
Office of University Secretary	
Research Development and Support Office	
Sports Development and Recreation	
Student Support Services	
Students' Union	
UKOLN	

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[3] includes members of academic and research staff who do not have line management responsibility for administrative staff (for example, directors of studies)

One to one interviews

I hope to identify what the organisation values and needs in the changing HE climate in terms of the knowledge, skills, and behaviours of its administrative staff.

1) If the University's administrative service was operating at optimum levels of effectiveness and efficiency, what would you observe and experience?

2) Which generic knowledge, skills and behaviours will the university require from its administrative staff to underpin its mission, values and strategy?

3) And provide effective support to the university's business, now and in the future? For example:
- to meet the expectations of our students/'customers'

- Ensure consistency in the quality of support of the student experience/research 'agenda'?

- Meet the changing requirements of the sector?

- Achieve excellence in HE administration and management at Bath?

- Enable us to compete with other providers?

4) How can the university best encourage the development of these knowledge, skills and behaviours in administrative staff so that they can develop to their full potential?

APPENDIX E − The University of Bath CPD Framework

UNIVERSITY OF BATH

AUA — *Celebrating HE Professionalism since 1961*

CONTINUING PROFESSIONAL DEVELOPMENT FRAMEWORK FOR ADMINISTRATIVE STAFF

- Achieving results
- Managing self and personal skills
- Working with people
- Delivering excellent service
- Finding innovative solutions
- Developing staff and others
- Engaging with the big picture
- Using resources
- Embracing change

The University prizes the following attributes in all staff:
- The determination to excel
- An enterprising approach
- An international perspective
- A supportive culture
- A collaborative style of working

University of Bath People Strategy − 2011-2014

The CPD Framework is part of the University's drive to realise three key strategic goals for its people.

We aim to develop, recognise and value:

1. An engaged, diverse and high quality workforce, who are led and supported to realise their potential and achieve the highest standards.

2. Our capacity for adaptability to change and ongoing improvement.

3. High quality leadership and management.

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Introduction and background

This framework highlights behaviour patterns that distinguish effective performance in administrative roles at the University of Bath, together with the generic skills and knowledge that underpin those behaviour patterns. The behaviours are not the tasks associated with a particular job. They identify *how* an individual does the job. The behaviours are universal across all administrative roles at Grades 3-9, though some are very much more important in some jobs than others. The framework has been designed to clarify what individuals can do to develop in their jobs and beyond – and ultimately to deliver the University's corporate plan. The framework does not assume that these are the only effective behaviours, but rather provides a clear steer on key behaviours valued within the University of Bath.

The framework has been adapted from the AUA's model of professional behaviours following extensive consultation across the University involving members of administrative staff at all levels, managers, leaders, members of Vice-Chancellor's Group and customers including students and academic colleagues. With the permission of the AUA, we have adapted some of the wording of the AUA framework to reflect the language used in the outputs from the University of Bath consultation.

The behavioural groups - The framework is divided into nine key behavioural groups:

- **Managing self and personal skills**
  Willing and able to assess and apply own skills, abilities and experience. Being aware of own behaviour and how it impacts on others.

- **Delivering excellent service**
  Providing the best quality service to all internal customers e.g. students, staff and to external customers e.g. clients, suppliers. Building genuine and open long-term relationships in order to drive up service standards.

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

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

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

- **Engaging with the big picture**
  Seeing the work that you do in the context of the bigger picture e.g. in the context of what the university/other departments are striving to achieve and taking a long-term view. Communicating vision clearly and enthusiastically to inspire and motivate others.

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

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

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

Each behavioural group has been divided into three aspects:
Self: behaviours that may be observed whatever the working situation
Others: behaviours that may be observed when interacting with and influencing others, or when managing colleagues
Organisation: behaviours that may be observed when influencing at University level or when representing the University

Although the framework applies to roles that include line management and/or strategic responsibilities, most of the behaviours shown under 'others' and 'organisation' are also relevant to roles that do not include management or leadership responsibilities.

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

How the framework can be used
Perhaps the most powerful aspect of the behavioural-based approach is the control that it gives individuals over their own development. The framework is accessible and easily understood because it has been developed by the University based upon a model derived from extensive research and good practice within the HE sector.

The framework can help individuals to:
❖ identify the behaviours that are relevant to their job
❖ identify their personal CPD needs
❖ develop those behaviours and improve performance
❖ identify ways to build upon and maximise existing strengths
❖ seek structured feedback from others
❖ provide structured feedback to colleagues

The framework can help the University to:
❖ take a consistent and coherent approach to administrative staff CPD
❖ provide clarity about expectations of administrative staff
❖ focus human resources
❖ plan and prioritise staff development provision
❖ increase effectiveness and consistency in the quality of administrative service

Some other ways in which the framework can be used include:
❖ for individual self-assessment of potential and in career planning
❖ for developing a team or departmental profile of strengths and areas for development
❖ as a basis for the design of specific learning and development activities – to improve individual and organisational performance
❖ for recruiting and selecting – to focus on the behavioural requirements of the job in an objective and specific way
❖ for succession planning – to develop staff within the University to prepare them to compete for more senior roles

MANAGING SELF AND PERSONAL SKILLS

Willing and able to assess and apply own skills, abilities and experience. Being aware of own behaviour and how it impacts on others.

Behaviours that demonstrate effective performance

Self	Others	Organisation
• Managing workload and making effective use of time • Being well prepared for meetings and presentations • Demonstrating an awareness of own values, motivations, emotions and limitations. • Keeping up to date with what is happening in professional area • Having an enthusiastic and positive 'can-do' approach • Maintaining a healthy life balance • Speaking and writing by using clear succinct language • Showing consistency between words and actions • Being self motivated • Accepting and demonstrating personal responsibility for health and safety, data protection and other compliance areas	• Giving and receiving constructive feedback as part of normal day-to-day work activity • Developing and maintaining personal networks of contacts • Ensuring own behaviour, words and actions support a commitment to equality of opportunity and diversity • Getting the best from others through effective communication • Managing own response when faced with challenging situations • Influencing through own behaviour • Seeking exposure to new people/ environments	• Taking an active interest in what is happening more widely in the University • Keeping up to date with what is happening in wider HE environment

Indicative skills and attributes

		Underpinning knowledge	
• Organisational skills • Listening skills • Self-awareness	• Communication skills • Reflective practice • Time management skills	• HE environment • Policies and procedures relevant to own role/department	• Self assessment tools/models and their application • University of Bath

Examples of behaviours that may indicate a need for further development

• Talking or writing at inappropriate length • Focusing almost exclusively on own job or own department • Being consistently late for meetings	• Missing deadlines • Reacting defensively to constructive criticism • Hiding behind excuses

DELIVERING EXCELLENT SERVICE

Providing the best quality service to all internal customers e.g. students, staff and to external customers e.g. clients, suppliers. Building genuine and open long-term relationships in order to drive up service standards.

Behaviours that demonstrate effective performance

Self	Others	Organisation
- Resolving problems quickly in a cheerful, friendly manner - Ensuring systems and processes are kept up to date - Setting appropriate boundaries and managing expectations - Being clear about where you can be flexible and where you cannot and why - Being up to date with best customer service practice in the sector - Engaging positively with quality assessment processes - Taking ownership of issues and seeing them through from start to finish	- Seeing things from your customers' viewpoint - Listening, questioning and clarifying in order to understand your customers' needs - Seeking and using feedback to develop best practice - Tailoring communication to meet customers' needs - Fostering a continuous improvement philosophy - Delivering consistent service standards - Connecting one request/idea to others to provide a range of services to a customer	- Defining excellent service - Interpreting rules and regulations flexibly to balance customer and organisational needs - Consistently giving positive messages about the University of Bath - Building and maintaining relationships with external customers - Providing specialist advice to other parts of the University in a language they understand

Indicative skills and attributes | Underpinning knowledge

Indicative skills and attributes		Underpinning knowledge	
- Listening skills - Interpersonal skills - Empathy	- Problem solving - Analytical skills - Communication skills	- Understanding of the University's customers and their expectations - Customer service good practice	- The University's complaints policy and procedures - Setting service standards

Examples of behaviours that may indicate a need for further development

- Using too much organisational jargon
- Adopting a 'one size fits all' approach
- Promising things you can't deliver

- Hiding behind rules and regulations
- Displaying a 'more than my job's worth' attitude

FINDING INNOVATIVE SOLUTIONS

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

Behaviours that demonstrate effective performance

Self	Others	Organisation
• Taking time to understand and diagnose problems by considering the whole picture • Recognising the need to go for the less-than-perfect solution at times in order to achieve objectives • Spotting an opportunity and taking action to do something about it • Identifying novel ways of resolving issues using own initiative • Suggesting and trying out new approaches • Identifying risks and considering consequences of failure in advance • Balancing new ideas with tried and tested solutions • Working proactively and taking initiatives • Making decisions and taking responsibility for them	• Supporting others to find their own solutions rather than giving all the answers • Fostering a culture which encourages people to take acceptable risks in pursuing innovation • Sharing learning and experience to facilitate others' decision making • Seeking input from others to develop team solutions • Valuing all opinions and giving recognition • Encouraging and developing the creativity of others • Giving people the space and freedom to be creative • Encouraging others to question and re-think role and procedures	• Being open to and applying good practice and fresh ideas from inside and outside the University • Exercising judgement in line with the University's strategy and priorities • Actively seeking new ideas and approaches from outside the University of Bath • Identifying and pursuing opportunities to work in partnership with external organisations to generate and develop ideas

Indicative skills and attributes / Underpinning knowledge

Indicative skills and attributes		Underpinning knowledge	
• Creativity • Persuasive • Pro-active • Networking skills	• Broad perspective • Resourcefulness • Inquisitive • Analytical skills	• Other areas of the University • University's strategy and objectives • HE environment	• Risk assessment • Coaching techniques

Examples of behaviours that may indicate a need for further development

• Working to the letter of the job description • Doing things the way they have always been done without reviewing them	• Overlooking the potential repercussions of setting precedents • Putting obstacles in the way of innovation • Going for the 'easy' solution

EMBRACING CHANGE

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

Behaviours that demonstrate effective performance

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

Indicative skills and attributes | ## Underpinning knowledge

Indicative skills and attributes		Underpinning knowledge	
• Questioning skills • Flexibility • Adaptability • Positive	• Open mindedness • Forward thinking • Influencing skills	• HE environment • Diversity of motivations and reactions to change	• Process of change at individual and organisational levels

Examples of behaviours that may indicate a need for further development

• Unable to move beyond negative reaction to uncertainty • Consistently blocking change and failing to build on others' ideas for change • Changing things for own personal agenda	• Generating numerous ideas but not following any of them through • Complaining instead of doing something about it • Staying within own comfort zones • Sabotaging change (actively or passively)

USING RESOURCES

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

Behaviours that demonstrate effective performance

Self	Others	Organisation
• Using resources in ways that are efficient and minimise any adverse impact on the environment • Using informal systems and channels of communication to inform and support objectives • Influencing outcomes when bidding or negotiating for resources • Aggregating, utilising and interpreting management information • Considering cost benefit analysis implications of decisions • Making use of information and resources gained through personal networks • Recognising that time is cost and adjusting behaviour accordingly	• Liaising with external bodies, suppliers and other HE bodies • Identifying the information and knowledge people need and why they need it • Drawing on others' knowledge, skills and experience • Liaising outside of immediate work area to maximise use of resources within the University • Deploying human resources efficiently, at the right levels and in appropriate ways • Delegating appropriately • Considering costs as part of the equation when planning a development • Recognising and negotiating time and deadlines with others	• Sharing good practice with other parts of the University • Being mindful of responsibility to the University of Bath and funders in using resources • Developing cross-service collaboration and being willing to share resources • Identifying ways in which resources can be used flexibly and imaginatively for the benefit of the whole University

Indicative skills and attributes / Underpinning knowledge

Indicative skills and attributes		Underpinning knowledge	
• Organisational skills • Creativity • Networking skills • Numeracy	• Delegation • Research skills • Analytical skills • Flexibility	• HE funding and financial aspects of the University of Bath • New developments in Bath and wider HE • Resources available within Bath	• Awareness of environmental issues • Others' skills and strengths • Financial appraisal techniques

Examples of behaviours that may indicate a need for further development

• Disregarding time as a resource • Re-inventing the wheel • Spending budget inappropriately just to use it up	• Always going for the highest quality solution regardless of cost implications • Being protective of budget/people/space

ENGAGING WITH THE BIG PICTURE

Seeing the work that you do in the context of the bigger picture e.g. in the context of what the University/other departments are striving to achieve and taking a long-term view. Communicating vision clearly and enthusiastically to inspire and motivate others.

Behaviours that demonstrate effective performance

Self	Others	Organisation
- Creating and articulating a vision for own area of responsibility - Standing by considered decisions even if they prove unpopular - Understanding the bigger picture and being clear about how own role fits in - Adapting approach to respond to likely future trends/scenarios - Recognising and sharing positive outcomes of own work - Seeing the value of own work and team tasks to the University's overall mission	- Making links between individual, team, department and University objectives clear for others - Giving team members support and advice when they need it, especially during periods of setback and change - Empowering others to take personal responsibility - Providing clarity about responsibilities and accountabilities - Creating momentum and enthusiasm about what needs to be done - Articulating to others how the bigger picture might affect the team/department/ University in the future - Seeking input from whole team when developing departmental objectives - Helping people understand how they fit in the overall picture	- Ensuring plans are consistent with the objectives of the University - Not losing sight of the vision in dealing with day-to-day pressures - Breaking down 'silo' thinking and encouraging a University-wide perspective - Being aware of the political/economic environment and its impact on the University's work

Indicative skills and attributes		Underpinning knowledge	
- Enthusiasm - Communication skills - Broad perspective	- Outward looking - Forward thinking	- University strategy and objectives - University structures - HE sector	Strategy and objectives of own department

Examples of behaviours that may indicate a need for further development

- Dictatorial or controlling - Being too internally focused - Focusing on the short-term view	- Getting bogged down in detail – unable to see the wood for the trees - Hoarding knowledge and information to boost own power/status

DEVELOPING SELF AND OTHERS

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

Behaviours that demonstrate effective performance

Self	Others	Organisation
- Using all situations as potential learning opportunities - Being a role model by devoting time to own development - Engaging in formal and informal learning and development activities - Updating professional/specialist skills - Engaging positively with the SDPR process - Seeking, accepting and acting upon feedback, and learning from it - Recognising that outside stimulation is required for own development and growth - Utilising own strengths to the full - Recognising and demonstrating impact of own learning	- Giving praise for work well done - Making time to think about the development of colleagues - Providing constructive feedback to colleagues at all levels - Ensuring equal access to development opportunities for all - Using delegation as an opportunity to develop others - Providing creative work opportunities to stretch and develop colleagues - Encouraging others to learn from mistakes without blame - Accepting that developed staff may leave and recognising this as a positive outcome - Coaching and mentoring others	- Supporting succession planning by identifying and developing colleagues with high potential - Supporting others to undertake alternative duties, short-term secondments etc - Encouraging others to contribute to institutional-level activity - Identifying the changing needs of the University and incorporating these into own and others' development plans - Focusing on retaining talent within the University

Indicative skills and attributes

- Communication skills - Delegation - Opportunistic - Supportive	- Openness - Desire to learn - Institutional perspective

Underpinning knowledge

- Learning styles and their application - Self awareness - AUA/Bath CPD framework - Work-based learning	- Internal and external training and development provision - Developments in own professional area

Examples of behaviours that may indicate a need for further development

- Just 'doing' CPD without genuine engagement or commitment - Being intolerant of mistakes and apportioning blame - Believing that 'development' equals 'training' and not engaging with informal development methods	- Focusing on others' weaknesses rather than their strengths - Thinking that you can't learn from someone in a different role/someone younger/someone outside Bath or HE

WORKING WITH PEOPLE

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

Behaviours that demonstrate effective performance

Self	Others	Organisation
- Demonstrating that you value differences - Monitoring and reviewing the effectiveness of working relationships - Having a good grasp of where your responsibility ends and that of others begins - Establishing rapport - Asking for and accepting help when needed - Being proactive and responsive in working relationships - Displaying dignity and respect for others - Being open and honest in workplace communication	- Co-operating willingly to support the achievement of team goals - Using understanding of other people's perspectives to help reach agreement - Sharing information and keeping others informed - Recognising and respecting the roles, responsibilities, interests and concerns of colleagues and stakeholders - Proposing and negotiating win-win solutions - Giving constructive feedback - Surfacing conflicts early so that they may be addressed - Ensuring that working arrangements, resources and processes respond to different needs, abilities, values and ways of working	- Working across boundaries to develop relationships with other teams - Challenging inappropriate or exclusive practices/behaviour - Reflecting the University's values in dealing with people and conducting business

Indicative skills and attributes		Underpinning knowledge	
- Communication skills - Interpersonal skills - Diplomacy - Collegial	- Empathy - Negotiation skills - Collaborative - Respectful	- HE and Bath culture - University's Dignity and Respect policy - Understanding of learning styles	Understanding of different perspectives, working practices and motivations

Examples of behaviours that may indicate a need for further development

- Interrupting when others are speaking 'Guarding' information - Discouraging debate	- Giving priority to own personal goals - Presenting other people's ideas as your own - Working in isolation

ACHIEVING RESULTS

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

Behaviours that demonstrate effective performance

Self	Others	Organisation
• Taking personal responsibility for getting things done • Maintaining a high standard of work even when under pressure • Incorporating flexibility into plans and adjusting them in light of developments • Keeping track of a number of projects running simultaneously • Distinguishing between important and urgent tasks and prioritising effectively, even from apparently equal demands • Proactively negotiating time and deadlines • Meeting deadlines	• Taking time to celebrate successes • Winning support of key colleagues and other stakeholders • Sharing the credit with others • Being effective in gaining buy-in without having any direct authority • Monitoring progress and providing regular updates • Recognising others' contribution to the achievement of objectives • Setting clear team objectives and expectations	• Saying 'no' to activities that are less important or do not fit with the University's priorities • Evaluating the success of projects and disseminating lessons that can be learned • Taking an holistic perspective of the University and influences within it

Indicative skills and attributes / Underpinning knowledge

Indicative skills and attributes		Underpinning knowledge	
• Project management • Negotiation skills • Communication skills • Resilience	• Prioritising • Goal setting • Pro-active approach • Time management skills	• Project management tools and their application • University structures	• University systems • Key colleagues who will influence the work you do

Examples of behaviours that may indicate a need for further development

• Believing that talking about things is the same as action • Being disorganised • Relying on a fire-fighting approach	• Failing to see things through • Over-committing and not delivering

Appendix F - BRIEFING FOR PILOT PARTICIPANTS JUNE/JULY 2011

11.00	Welcome and introductions SDPR – what's in it for me? What is CPD?
11.30	The CPD framework How it was developed/what's in it Using the framework in practice This year's SDPR – how it will work, what will be different Making a start
12.15	Meeting development needs
12.25	Getting the most from the pilot Next steps
12.30	*Session close*

Appendix G WORKSHOP FOR REVIEWERS JULY 2011

1.30	Welcome and introductions Objectives of the workshop
1.45	Managers as developers The business case for CPD
2.00	The role of reviewer in the pilot A systematic approach to identifying development needs The skills of effective developers
2.35	Skills practice
	Refreshments available during skills practice
3.35	How people learn Setting learning objectives
4.10	The bigger picture Using the framework at team level
4.25	Conclusion
4.30	*Session close*

Appendix H
Piloting the new University of Bath Administrative Staff CPD Framework 2011
<u>Guidance Notes</u>

Background

The Staff Development Unit was tasked with a project to identify and develop the knowledge, skills and behaviours required to underpin the university's mission and provide effective support for its business, now and in the future.

The project covers all levels of administrative staff from grades 3 to 9 of the Management, Specialist and Administrative job family, in Faculties, Professional Services and 'Operational' Departments, with equality of opportunity to engage in and benefit from CPD activities.

1.1   Project Aims:
- To develop a coherent framework describing the knowledge, skills and behaviours required in generic administrative and professional/specialist administrative roles.
- From the framework, develop tools for managers and individuals to evaluate strengths, gaps and areas for improvement.
- To decide how the university can best support the development of these knowledge, skills and behaviours so that a culture of personal responsibility for learning is fostered and administrative staff can develop to their full potential.

2   The University of Bath CPD Framework

This framework highlights behaviour patterns that distinguish effective performance in administrative roles at the University of Bath, together with the generic skills and knowledge that underpin those behaviour patterns. The behaviours are not the tasks associated with a particular job. They identify how an individual does the job. The behaviours are universal across all administrative roles at Grades 3-9, though some are very much more important in some jobs than others. The framework has been designed to clarify what individuals can do to develop in their jobs and beyond – and ultimately to deliver the University's corporate plan. The framework does not assume that these are the only effective behaviours, but rather provides a clear steer on key behaviours valued within the University of Bath.

3   How the framework can be used

If the pilot proves successful, the aim is to encourage the use of the new CPD Framework in various situations e.g. for workforce planning; recruitment; talent and   succession planning; to structure conversations during Induction, Probation and Staff Development and Performance Review (SDPR).

4   The Pilot

Having developed tools and templates to support the use of the Framework, we are now testing the robustness of the Framework with pilot groups drawn from across the University.

The Pilot Groups comprise all administrative staff in the:
- Faculty of Humanities and Social Sciences (approximately 65 staff)
- Human Resources Department (31)

And smaller teams within the:
- Estates Department (10)
- Learning and Teaching Enhancement Office (9)
- Sports Development (4)
- Library (11)
- Student Support Services (5)

The Framework will be piloted within the SDPR process in the summer of 2011.

5.   The SDPR Process

The guidance given below should be read in conjunction with the University's general principles governing the SDPR process, set out in the SDPR Guidance document, covering purpose; links to other policies; assigning Reviewers; scrutiny and oversight; setting objectives; conducting the meeting and confidentiality. This document can be found at:

5.1   A flowchart showing the SDPR process can be seen in Appendix 1.

6   The SDPR Form
6.1   Section A – Review of Last Year's Objectives
In this section both parties review and discuss the Reviewee's objectives set at their previous SDPR meeting. They will comment on what progress has been made against   them, and outline any additional achievements, duties or responsibilities that s/he may wish to highlight.

If this is the Reviewee's first review meeting, any previously agreed objectives, such as those agreed at the end of probation meeting, might be discussed. The Reviewee's job description could also be used as the basis for discussion.

On the request of the Reviewee, the Reviewer may seek feedback from other colleagues about the Reviewee's performance and behaviour during the review period. This may be particularly useful for staff who report to more than one line manager.

6.2   Section B – Planning ahead – Next year's objectives.

Before the meeting, both parties should give some thought to what might be included in this section. It is important that these objectives are defined in such a way that they can be measured the following year. Therefore, we recommend that they are written as   SMART objectives. Go to the Development Toolkit and type 'SMART' into the search box for guidance on how to write objectives. The toolkit can be found at:

Objectives can include a Learning objective e.g. representing the department/ Faculty/University in the wider community.

7   Review of Performance against the CPD Framework
Before completing section C, you will now review professional behaviours, skills and   knowledge using the new Framework.

7.1   Guidance for Reviewees (pre review meeting)
Having reviewed last year's objectives and thought about next year's goals (see 6.1 and 6.2 above), the next section explains how you can review your role, performance and development against the Framework before the meeting and complete the self-assessment form. NB SEE EXAMPLES OF COMPLETED FORMS IN APPENDIX 2.

 a) Ranking
In preparation for the review meeting you should carry out a self-assessment against the CPD Framework and rank the nine behaviour groups in order of importance for your job role (1=highest importance and 9=lowest importance). To do this, you will need to read the short descriptors for each area.

For example, if you think *Delivering Excellent Service* is the most important aspect of your role and *Using Resources* is the next most important, these behaviour groups would be ranked 1 and 2 respectively. Your ranking should be reflected in the second column of the Self-Assessment form.

 b) Aspects
For each of the professional behaviour groups, there are three levels at which the behaviour might be observed. The aspects relate to the requirements of the role and are described below**:**
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

Identify which aspects are required for your role and write this in column 3, and be ready to give some examples as explanation.

 c) Strengths
Next you should identify your strengths in relation to each of the behavioural groups and note these in column 4. You should aim to give real life examples of your effective working against each of the behavioural groups.

d) Development Needs
Finally, you should note areas where you feel you would like to develop further, learn more, improve skills in the fifth column next to the relevant behaviour area.

7.2   Guidance for Reviewers (pre review meeting)
Having given some thought to next year's objectives (see 6.2 above), this section explains how you can help the Reviewee to explore the requirements of their role, and review performance and development against the Framework. NB SEE EXAMPLES OF COMPLETED FORMS IN APPENDIX 2.

a) Ranking
In preparation for the review meeting, Reviewers should consider the nine professional behaviour groups and rank them in order of importance for the Reviewee's role. You could record the ranking in column 1 of a blank self assessment form or on the 'Ranking Template' form.

The Reviewer will give the Reviewee their feedback on each professional behaviour:
b) Consider which **aspects** of each group are required for the Reviewee's role.
c) Identify some of the Reviewee's **strengths** and any examples of this being demonstrated.
d) Consider whether your Reviewee has any specific development need(s).

Again you may find it easiest to record the above on a blank self assessment form.

7.3   Summary - for Reviewees and Reviewers
When both parties have discussed the separate rankings, aspects, strengths, development needs against the nine professional behaviour groups, they should now be ready to agree on what will be **noted on the final form.**

7.4   Section C – Your professional development needs.
You should now be able to complete this section which requires you to note any training and/or development needs. It is up to the Reviewee and Reviewer to agree the number of development needs to include in relation to the professional behaviour groups. As a guide this would normally cover those ranked 1-3.

7.5   Section D – Additional comments
This final section concludes the review and enables the Reviewee to raise other issues or highlight any specific issues they wish to bring to the attention of their Head of Department.

8   Final Steps
When all sections of the SDPR form have been completed, the form should be passed to the Head of Department or their nominated Senior Reviewer for endorsement. After this, the Reviewer **emails the final copy** to the Human Resources Dept at:xxx. Reviewer, Reviewee and HoD/Senior Reviewer should be copied into the message.

Submission of the form implies confirmation that Reviewer, Reviewee and Senior Reviewer have seen this version and agree that it accurately reflects the SDPR meeting.

The HR Dept will register the completion of the process on the HR database, and store the file securely.

Heads of Department will make arrangements to collate the development plans arising out of SDPR within their department, to feed into their annual planning process.

9   Project Evaluation
As part of the project evaluation a report on the effectiveness of the Framework when used within SDPR will be produced, using information gathered from post pilot questionnaires and focus groups. This will be presented in a collated format and no individual will be identified during the process.

Angie Allcock, Staff Development Manager
Jan Shine AUA Consultant
June 2011

Key
Part of standard SDPR Process
Pilot Only

Head of Dept draws up list of staff eligible for SDPR summer 2011 and agrees **SDPR schedule**.

Training- Reviewer and Reviewees attend Briefing session; Reviewer attends Reviewer's Workshop.

Evaluation of Process within Faculty/Service.

Reviewer books SDPR meetings with team, clarifies purpose and process and ensures Reviewees have:

- copy of last year's SDPR form; Job Description; SDPR Guidance* ; SDPR form*

*Download from web (www.bath.ac.uk/staff-development/appraisal/index.html)

Interim Meeting - (midway through cycle)**.** Action points checked by both parties.

Plus Pilot Guidance Notes, Self-Review Form and Ranking Sheet.

Action points and any identified training and development needs are followed up by both parties.

Pilot Evaluation – Both parties complete Post - Pilot Questionnaire and may volunteer to join a Focus Group.

Preparation - both Reviewees and Reviewers might include:
- Job Description, consider ways in which it could or should be updated.
- Previous SDPR form – review to compare objectives with actual outcomes.

When endorsed, Reviewer **emails the final copy of the SDPR form only** to the Human Resources Dept at sdpr@bath.ac.uk. (See Section E of form for details). Reviewer, Reviewee and HoD/Senior Reviewer are copied in. Submission is a confirmation that all 3 parties have seen this version and agree that it accurately reflects the SDPR meeting.
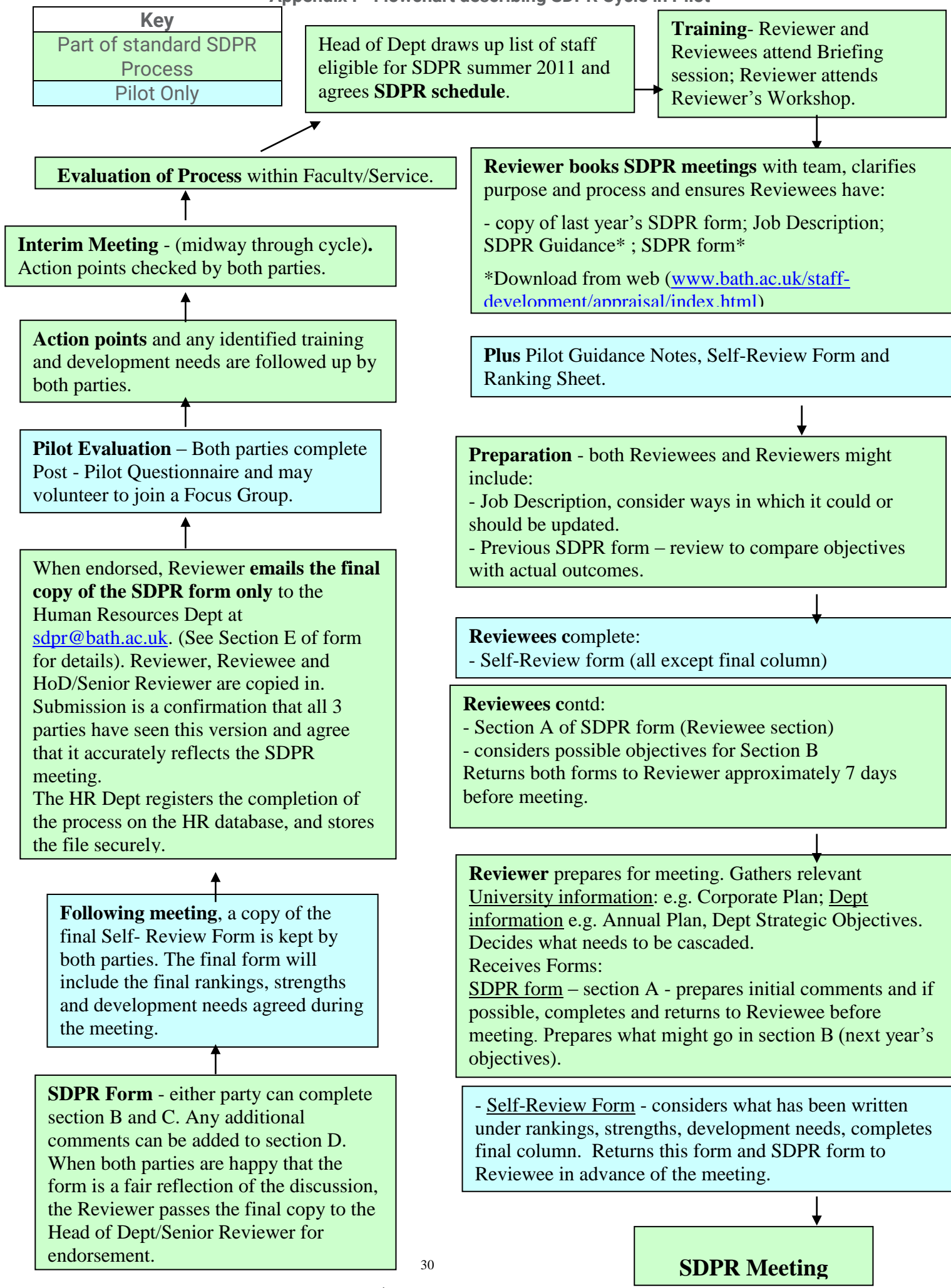The HR Dept registers the completion of the process on the HR database, and stores the file securely.

Reviewees complete:
- Self-Review form (all except final column)

Reviewees contd:
- Section A of SDPR form (Reviewee section)
- considers possible objectives for Section B
Returns both forms to Reviewer approximately 7 days before meeting.

Following meeting, a copy of the final Self- Review Form is kept by both parties. The final form will include the final rankings, strengths and development needs agreed during the meeting.

Reviewer prepares for meeting. Gathers relevant University information: e.g. Corporate Plan; Dept information e.g. Annual Plan, Dept Strategic Objectives. Decides what needs to be cascaded.
Receives Forms:
SDPR form – section A - prepares initial comments and if possible, completes and returns to Reviewee before meeting. Prepares what might go in section B (next year's objectives).

SDPR Form - either party can complete section B and C. Any additional comments can be added to section D. When both parties are happy that the form is a fair reflection of the discussion, the Reviewer passes the final copy to the Head of Dept/Senior Reviewer for endorsement.

- Self-Review Form - considers what has been written under rankings, strengths, development needs, completes final column. Returns this form and SDPR form to Reviewee in advance of the meeting.

SDPR Meeting

EXEMPLARS OF COMPLETED SELF- REVIEW USING THE CPD FRAMEWORK - FICTITIOUS EXAMPLE A – Sam, Receptionist

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PROFESSIONAL BEHAVIOUR GROUP	RANKING in role (1-9)	ASPECTS (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	REVIEWER'S FEEDBACK
Managing Self and Personal Skills	2	Self

Others | 1. Writing in clear and succinct language

2. Accepting and demonstrating personal responsibility for health and safety | 1. Feedback from Head of A on how well I complete my Health and Safety incident forms – 'clear, concise but thorough'.
2. Went on a 'Lifting and Carrying' course and then made suggestions to manager about buying better trolleys for carrying exam papers. | Managing my workload

Dealing with difficult customers calmly | Sam has definite strengths in the areas he has listed. I think the second example is also evidence of a 'Can do' attitude which is valued by me, the team and customers. |
| Delivering Excellent Service | 1 | Self
Others
Organisation | 1. Seeing things from your customers' viewpoint
2. Ensuring systems and processes are kept up to date | 1. Positive feedback in an email (attached) from a customer using a wheelchair that I had sent useful access information before her visit and helped her find the best route.
2. After attending the Excel course, I have designed an activity calendar which everyone in the team now uses to let me know what they are doing so I can inform customers & callers. | I am finding it hard sometimes to know where I can make my own decisions and where I need to refer the matter to my manager | Sam creates a friendly and professional welcome in our reception area. He has good listening skills so he establishes good relationship with our customers. However, when Sam gets suggestions on our 'Comments Cards', I'd like him to ensure the customer knows what is happening next and inform customer of eventual outcome. |
| Finding Innovative Solutions | 3 | Self
Organisation | Recognising I need to go for a less than perfect solution in order to achieve objectives | 1. I have reduced our budget spend on stationery this year by going with another supplier. | Finding out about good practice from other receptionists at the university | Sam has plenty of good ideas and now needs to build confidence to share them with me, the team and other receptionists more often |

PROFESSIONAL BEHAVIOUR GROUP	RANKING in role (1-9)	ASPECTS (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	REVIEWER'S FEEDBACK
Embracing Change	5	Self	Demonstrating a willingness to do things differently	See above re. reducing our stationery budget spend.	I need to explain the purpose of changes to others. I avoided explaining to the team why we were going for lower quality stationery. This meant they grumbled for ages.	I gave Sam responsibility for the stationery budget, ordering and keeping an eye on costs. He found this easy but is uneasy about reducing the quality.
Using Resources	7	Self Others Organisation	Drawing on others' knowledge, skills and experience	1. This year I have asked Doreen for her help more often. I know understand better the new department X policy and how it affects my work.	Aggregating, utilising and interpreting management information	Sam is about to input all our evaluation results into the system. I look forward to seeing his report at the end of the process.
Engaging with the big picture	8	Self	Recognising and sharing positive outcomes of work	When we receive positive feedback from customers who visit the department I send this round to colleagues	Find out more about the work our dept does	I agree with Sam's self assessment of strengths.
Developing Self and Others	6	Self	Engaging with formal and informal learning and development activities	See the list of courses that I've attended this year. I've also used some on-line resources to practise what I learnt on the Excel course.	Updating professional/ specialist skills	Sam can sometimes react defensively initially when faced with constructive criticism
Working with People	1	Self Others Organisation.	1. Displaying dignity and respect for people 2. Reflecting the University's values in dealing with people and conducting business.	1. I meet a wide range of people in our reception area from different backgrounds, languages and some have disabilities and I treat everyone with equal respect 2. Customers regularly tell me that I create a friendly and welcoming atmosphere in the reception area.	Working across the university to develop relationships with other teams.	Sam works hard to develop positive working relationships with customers and his team. He now needs to network more widely in the university.

PROFESSIONAL BEHAVIOUR GROUP	RANKING in role (1-9)	ASPECTS (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	REVIEWER'S FEEDBACK
Achieving Results	4	Self Others	Distinguishing between important and urgent tasks	Since my SDPR last year, I have got better at prioritising dealing first with customers. I leave the paperwork till the end of the day when it is not so busy.	Taking time to celebrate successes	Sam's ability to prioritise his tasks has improved this year. He alerts me early on if there are any difficulties

FICTITIOUS EXAMPLE B - Chris, Teaching Administrator © *Adapted from the AUA's CPD Framework, 2009 for non-commercial use within the University of Bath by kind permission of the AUA*

PROFESSIONAL BEHAVIOUR GROUP	RANKING in role (1-9)	ASPECTS (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	REVIEWER'S FEEDBACK
Managing Self and Personal Skills	2	Self Others Organisation	1. Writing in clear and succinct language 2. Developing and maintaining personal networks of contacts 3. Managing own responses to challenging situations	1. Minutes of Teaching & Curriculum Committee March 2011 – feedback from the Chair 2. Membership of the special interest group led to contacts in xx and yy departments – enabled me to make suggestions for changes in our area 3. Dealt with a complaint in professional manner and successfully defused the anger expressed by the customer	Chairing meetings more effectively Keeping up to date with what is happening in wider HE environment	Chris has definite strengths in the areas she has listed, and I'd particularly highlight the standard of written work. The input as a result of contacts in xx and yy were very useful – helped us to improve our admissions admin.
Delivering Excellent Service	1	Self Others Organisation	1. Being clear about where you can be flexible and where you cannot and why 2. Consistently giving positive messages about the organisation	1. I have a good grasp of the university's policies and understand where I can use my own judgement and apply this openly and consistently. 2. I take an 'ambassadorial' approach in all my dealings with clients and other contacts outside of UoB	Using client feedback to drive improvements	Chris consistently delivers outstanding customer service. She has good listening skills which enable her to quickly understand the client's needs
Finding Innovative Solutions	5	Self Organisation	Being open to and applying good practice and fresh ideas from inside and outside the organisation	See 2. under Managing Self and Personal Skills	Recognising the need to go for the less-than-perfect solution at times Spotting an opportunity and taking action to do something about it	Chris has plenty of good ideas and now needs to build her confidence to share them with me / the rest of the team more often
Embracing Change	7	Self	Displaying open mindedness to new ideas and proposals	I can usually see the benefits of proposals even if they do not directly affect the work I do in a positive way. The xyz initiative is a good example of this.	Challenging the status quo in a constructive way	I can always rely on Chris to respond positively to new ideas and she is a good role model for the team
Using Resources	9	Self Others Organisation	Recognising that time is cost and adjusting behaviour accordingly	Reviewed all meetings that I regularly attend and reduced the number as a result. Kept log of time for 4 weeks and have reduced non-work distractions.	Aggregating, utilising and interpreting management information	I have been impressed with Chris's review of time spent and am encouraging others to take a similar approach

PROFESSIONAL BEHAVIOUR GROUP	RANKING in role (1-9)	ASPECTS (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	REVIEWER'S FEEDBACK
Engaging with the big picture	4	Self	Understanding the bigger picture and being clear about how own role fits in	I view my job and my personal work objectives in the context of the overall aims of the team / department / UoB		I agree with Chris's self assessment of strengths
Developing Self and Others	8	Self	1. Engaging positively with SDPR processes 2. Using all situations as potential learning opportunities	1. I prepare thoroughly for SDPR and view it as a positive opportunity 2. If mistakes are made I ask 'what can I/we do differently next time'	Updating professional/ specialist skills	Chris can sometimes react defensively initially when faced with constructive criticism
Working with People	5	Self Others Organisation	Establishing rapport	Positive feedback from Dr X about our working relationship and from Prof Y about how much she values my advice (e-mails attached)	Surfacing conflicts early so that they may be addressed	Chris works hard to develop positive working relationships and is able to work effectively with staff at all levels. She has a tendency to avoid conflict situations
Achieving Results	2	Self Others	1. Meeting deadlines 2. Maintaining a high standard of work even when under pressure	1. I use to do lists and Outlook Notes facility effectively to keep track of progress towards meeting deadlines 2. High level of performance sustained during 2010 despite being two members of staff short on the team	Taking time to celebrate successes	Organisational skills are one of Chris's key strengths. She plans ahead, consults about priorities and alerts me early on if there are any difficulties

Appendix J - IDEAS ABOUT DEVELOPMENT OPPORTUNITIES GENERATED BY VARIOUS GROUPS OF ADMINISTRATIVE STAFF IN HE

On-the-job development
- Secondments
- Placements
- Shadowing
- Job swaps
- Stop gap (eg. temporary cover for vacancies)
- Volunteer when beneficial
- Volunteering for extra duties
- Volunteering internally & externally
- Volunteer for projects
- Project responsibility
- Professional body membership
- Mentoring (either as mentee or mentor)
- Extra-curricular activities – esp. voluntary work that supports the role, eg school governor / JP etc
- Make use of university resources (documents, intranet, library)
- Serving on committees
- Being part of a cross-boundary project
- Working groups – both departmental and pan-University
- Learning from role models (good and bad)
- Use colleagues' knowledge

Training & development programmes
- Courses
- Studying, eg distance education, AUA PGCert
- Training, eg in-house workshops
- Conferences/workshops
- Training others
- Keep up to date with workplace training opportunities

Personal skills
- Have clear goals and objectives
- Long/short-term objectives (and review)
- Personal Development Plan
- Self development
- Planning career path
- Look at career guidance on university website
- Positive attitude
- Self belief
- Taking responsibility
- Being innovative
- Become yes person
- Self motivate
- Seek objective feedback
- Investigate/identify personal strengths and weaknesses
- Sharing personal objectives with colleagues
- Demonstrate your ongoing development to others
- Keep evidence of experience/achievements
- Portfolio of development
- Learning log
- Develop system for keeping CV up to date

- Make time to address these issues – schedule time for personal development activity into workload plans
- Positive working relationships with colleagues
- Positive input to appraisal – make the process work for you; don't be passive; take the initiative:
  - opportunity for self promotion
  - evidence – quote from appraisal report in applications and/or interviews
  - testimonials – seek feedback from others even if your line manager doesn't initiate this
- Follow what you are interested in
- Set SMART objectives
- *Carpe Diem*: Seize the Day
- Trust yourself
- No excuses → just do it
- If you care, it matters; if you don't , it doesn't
- Know yourself and forgive yourself

Securing a new role
- Read job adverts and person specifications to analyse skills required
- Look at jobs and job descriptions
- Talk to people in roles you would like to do
- Keep applying for jobs
- Staff placement scheme
- Short-term secondments
- External secondments
- Move sideways to other areas to broaden experience
- Learn from interview experience and feedback if unsuccessful
- Keep searching for the ideal job

Networking
- Informal networking
- Networking and skills sharing (internal & external)
- Set up your own network group if nothing useful exists
- External networks (eg AUA)
- External focus
- On-line forums
- Sign up for mailing lists
- Collaborate (internal & external)
- Extending network beyond structures – eg socialising with colleagues / coffee mornings
- Enhance image
- Increase exposure

1. What is continuing professional development (CPD)?

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

Source: AUA CPD framework, 2009

2. What's the difference between Training and Development?

"Training is any learning activity targeted towards the acquisition of specific knowledge or skills for carrying out a job or task."

Examples - completing a computer-based module on managing budgets in order to improve the way you manage your project finances; shadowing or observing a colleague to learn how to operate a till so that you can serve customers; attending a presentation skills course in order to improve your ability to present proposals to others.

"Development is a continuous, general and dynamic expansion of skills and knowledge, and is aimed at long-term career growth rather than immediate performance. "

The transfer of learning is non-specific as it involves learning general skills rather than how to perform particular tasks, and the setting in which the learning takes place is often quite different from the setting in which it is applied.

Some examples: going on an influencing and negotiation skills course to help you manage customer expectations more effectively; attending a teambuilding event to improve the way you and your colleagues work together; finding a mentor within your organisation to introduce you to the structure and culture at senior levels in your organisation and give you more exposure to senior management.

Source: University of Bath – Development Toolkit