

## Cardiff University – Leadership & Management Framework

### **Guidelines for getting the best from people with leadership & management responsibilities**

Successful universities are successful primarily because of their teaching and research, not because of their management, but good management provides the conditions in which teaching and research can flourish, just as, more usually, poor management can undermine teaching and research and precipitate institutional decline.

Managing Successful Universities – Michael Shattock (2003)

# Cardiff University – Leadership & Management Framework

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## What is the purpose of the framework?

The purpose of the Leadership and Management Framework is:

- To provide all staff who have leadership and management responsibilities with explicit guidelines on what key behaviours, skills and knowledge are required to sustain good leadership and management practice in the University.
- To support both the University Appraisal Scheme and the institution's leadership and management development activities so that there is guidance on how to review and discuss the key leadership and management demands that individuals face and identify how they can develop the necessary capability.
- To offer a clear framework that those who aspire to roles with leadership and management responsibilities can use to guide their personal development.
- To support ongoing pan-University initiatives, such as the Positive Working Environment project and the planned institutional liP assessment, that aim to ensure that good leadership and management practice is consistent across all areas of the institution.

## Who the framework is for

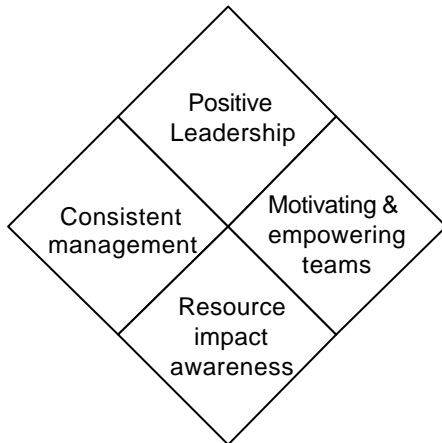
The framework can be used by:

- Those with existing leadership and management responsibilities to prepare for specific events, such as their annual appraisal or to guide them as they draw up an ongoing individual development plan.
- Those with line management or coaching responsibilities to guide and / or develop leadership and management capabilities in others.
- Appraisers to guide an appraisee's performance feedback and /or learning and development, when that appraisee has leadership and management responsibilities.
- Those staff aspiring to a future role which has leadership and management responsibilities, to use to guide and plan their own development or to initiate discussion with their line manager about their future development.

## Overview of the framework

The framework consists of key behaviours, skills and knowledge that are grouped into four inter-linked themes. Each theme covers a different aspect of what the University expects from its leaders and managers.

### Themes

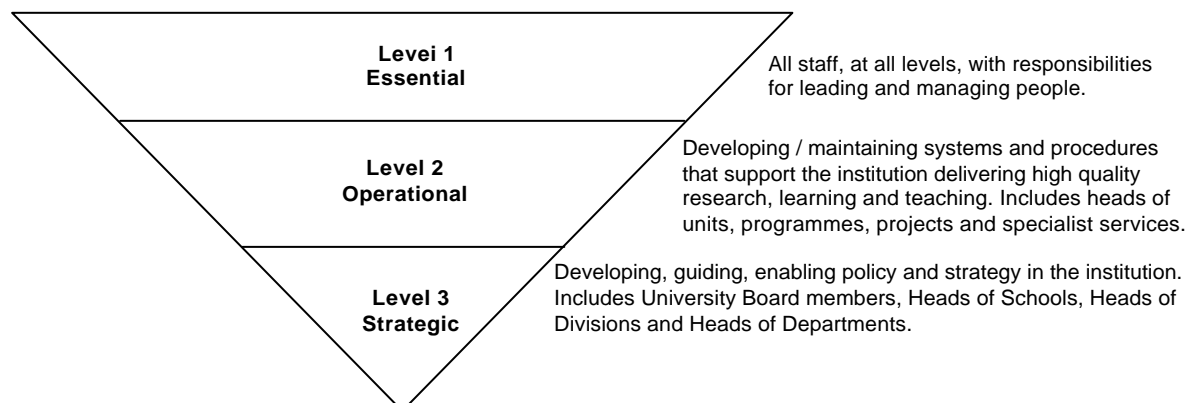


- Theme 1: Positive leadership      Leading from the front and motivating people.
- Theme 2: Motivating and empowering teams      Building and maintaining performing teams.
- Theme 3: Resource impact awareness      Being efficient and productive with resources.
- Theme 4: Consistent management      Good management practice which is consistent and fair.

### Levels

There are three different levels of leadership and management responsibilities:

- Level 1: Essential leadership and management – behaviours, skills and knowledge required from all staff with roles that have responsibilities for leading and managing people.
- Level 2: Operational leadership and management – behaviours, skills and knowledge required from people who develop and/or maintain procedures, systems, projects, processes, programmes and/or services through leading and managing people.
- Level 3: Strategic leadership and management – behaviours, skills and knowledge required from people who develop and/or enable long-term policies and strategies to guide, lead and manage the institution.



## Leadership & Management Capability Map

Key areas where competence is required and the contributions made at each level:

	<b><i>Essential Leadership &amp; Management</i></b>	<b><i>Operational Leadership &amp; Management</i></b>	<b><i>Strategic Leadership &amp; Management</i></b>
<b><i>Relationship with staff</i></b>	Working in close proximity and directing daily activities	Co-ordination of activities, leadership of teams and individuals	Focussing purpose and long-term goals through vision, strategy, policy
<b><i>Leadership contribution to staff</i></b>	Know what to do, what is important and what not to do	Teams that are productive. Work that is motivating and challenging.	Ideas, insights, inspiration, challenge, solutions, stability
<b><i>What is important to this level</i></b>	<ul style="list-style-type: none"> <li>▪ Real time service delivery.</li> <li>▪ Managing performance of others.</li> <li>▪ Ensuring things stay on track and that quality is maintained of service delivery, processes and procedures</li> </ul>	<ul style="list-style-type: none"> <li>▪ Delegating, trusting and empowering people.</li> <li>▪ Helping integrate projects and people.</li> <li>▪ Building and maintaining systems and procedures.</li> <li>▪ Specialist / professional services and advice.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Communicating and influencing a wider circle of both external and internal stakeholders.</li> <li>▪ Forecasting, long-term planning, enabling and developing resources.</li> <li>▪ Creating synergies, over-coming silo boundaries.</li> </ul>
<b><i>Where leadership time should be spent</i></b>	Providing guidance, setting priorities, checking delivery quality, maintaining processes	Co-ordination of people, resources and projects.	Understanding HE environment, developing strategies, plans & relationships with stakeholders
<b><i>Leadership contribution to Institution</i></b>	Service, support, peace of mind	Flexible systems that work and professional recommendations	Safe hands and a future
<b><i>Key indicators of effectiveness</i></b>	Efficiency, accuracy, smooth running	Issues & problems resolved, working practices continuously improved	Inspired people, institutional health and growth
<b><i>Skills development focus when new to this level</i></b>	<ul style="list-style-type: none"> <li>▪ People skills - building and testing and appropriate range of face-to-face interpersonal skills.</li> <li>▪ Maintaining and monitoring management information.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Broadening understanding of the institution and drivers for decisions.</li> <li>▪ Creating synergies and motivating teams.</li> <li>▪ Becoming resilient and self-aware.</li> <li>▪ Developing the capability of others.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Developing the more subtle influencing skills of visioning, engaging and consulting.</li> <li>▪ Being objective, understanding technical and professional input.</li> <li>▪ Shaping resources to meet strategic goals.</li> </ul>
<b><i>What to let go of when first moving to this level</i></b>	<ul style="list-style-type: none"> <li>▪ Hands-on activities that are enjoyed simply because they demonstrate personal technical prowess.</li> <li>▪ Wanting to just be "one of the troops".</li> </ul>	<ul style="list-style-type: none"> <li>▪ The need to have all the information and plenty of time before making a decision.</li> <li>▪ Always consulting everybody before making decisions.</li> <li>▪ Checking everything.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Team allegiance based on common specialism.</li> <li>▪ Most hands-on work and analysis.</li> <li>▪ The need to be recognised as an academic or technical specialist.</li> </ul>

## Application of the Leadership & Management Framework

The Leadership and Management Framework is a tool to help guide and/or develop individual members of staff with their leadership and management responsibilities.

The levels in the Leadership & Management Framework do not equate directly with specific job roles and the boundaries between the levels are not rigid.

<b>Senior Management</b>		<i>Strategic Leadership &amp; Management</i>
<b>Middle Management</b>	<i>Essential Leadership &amp; Management</i>	<i>Operational Leadership &amp; Management</i>
<b>First Line Supervisors</b>		

It is expected that for example:

- First line, supervisory level managers would operate primarily at level 1 and 2 but would also need to be aware of the strategic goals of the University.
- Operational / middle managers, such as managers of services or heads of units would operate at levels 1 and 2, being aware of strategic issues. The more senior specialists sometimes also operating at level 3 making strategic recommendations and assisting in the development of strategy and policy.
- Although senior management would operate mainly at level 3, they will, in some cases be more hands-on at some aspects of level 2 behaviour where appropriate. In addition, they would be expected to model key Level 1 essential leadership and management behaviours as well.

## Using the framework

### Key Principles:

There are two key principles to consider when looking at a person's repertoire of leadership and management capability when deciding what they might need in the way of guidance or development.

- **I = Importance to the role** - It is the responsibilities of the person's job role that determine which of the elements of the leadership framework are most important for them.
- **N = Individual Development Needs** - It is the individual's specific circumstances and development needs that determine what sort of development is best to improve the individual's capability, experience, and confidence.

### The steps:

1. The first step is to reflect, discuss and agree with the individual his / her job role in the context of which of the key behaviours, skills and /or knowledge are relevant and important to their performance of that role. This may be different and unique for each individual.

*For example, whilst all the key behaviours, skills and knowledge in Theme 1 of Essential leadership and management are likely to apply to all staff at all levels. However, if the person under consideration is a project or specialist manager with no direct reports then certain key behaviours, skills and knowledge in Theme 2 such as : " Enables, where appropriate, learning and development opportunities to meet individual's development needs", might not be applicable and so would not be chosen.*

2. The next step is to identify which of those key behaviours, skills or knowledge, identified as important, are already done well by the individual under consideration. If a line manager or appraiser is doing this it is worth giving explicit feedback where these are not only relevant but actually done well, since this in itself is good leadership practice and reinforces positive behaviour.
3. Finally, those key behaviours, skills or knowledge that are important to the role, but that are lacking or inadequately done are identified and discussed with a view to agreeing how to develop capability in these areas.

## THEME 1: POSITIVE LEADERSHIP

Essential Leadership & Management			Operational Leadership & Management			Strategic Leadership & Management		
<i>Key behaviours, skills, knowledge</i>	<i>I</i>	<i>N</i>	<i>Key behaviours, skills, knowledge</i>	<i>I</i>	<i>N</i>	<i>Key behaviours, skills, knowledge</i>	<i>I</i>	<i>N</i>
<ul style="list-style-type: none"> <li>▪ Links own work area's priorities to the University's vision and key goals.</li> </ul>			<ul style="list-style-type: none"> <li>▪ Motivates people individually and in teams to achieve results that contribute to their School's / Directorate's performance.</li> </ul>			<ul style="list-style-type: none"> <li>▪ Understands the University's strategy and communicates this effectively to the School / Directorate, providing the context for the School / Directorate's direction.</li> </ul>		
<ul style="list-style-type: none"> <li>▪ Communicates to people individually as well as in teams the significance / value of their responsibilities / tasks.</li> </ul>			<ul style="list-style-type: none"> <li>▪ Develops / maintains procedures and systems that promote equal opportunities as well as dignity in the workplace.</li> </ul>			<ul style="list-style-type: none"> <li>▪ Leads in the development of a vision for the future and enables the strategies and plans to achieve it.</li> </ul>		
<ul style="list-style-type: none"> <li>▪ Treats all people fairly and actively encourages equality of opportunity in the workplace.</li> </ul>			<ul style="list-style-type: none"> <li>▪ Ensures the regular sharing of relevant information, through face to face briefings and meetings with people.</li> </ul>			<ul style="list-style-type: none"> <li>▪ Ensures that the vision and long-term strategies for the School / Directorate are communicated to teams as well as individuals.</li> </ul>		
<ul style="list-style-type: none"> <li>▪ Shares relevant information freely and regularly with people individually and in teams.</li> </ul>			<ul style="list-style-type: none"> <li>▪ Ensures successful, creative and innovative ideas in the workplace are shared and become embedded practice.</li> </ul>			<ul style="list-style-type: none"> <li>▪ Motivates individuals and teams to link their performance to the vision, key long-term strategies for own School / Directorate as well as to the strategic goals of the University.</li> </ul>		
<ul style="list-style-type: none"> <li>▪ Explains decisions and creates opportunities for people to ask questions and clarify information.</li> </ul>			<ul style="list-style-type: none"> <li>▪ Takes difficult decisions when necessary, communicates / explains them and ensures they are supported.</li> </ul>			<ul style="list-style-type: none"> <li>▪ Identifies and communicates to others key issues and long-term trends affecting the institution and how that might affect them.</li> </ul>		
<ul style="list-style-type: none"> <li>▪ Supports creative ideas and encourages suggestion as well as innovation in the workplace.</li> </ul>			<ul style="list-style-type: none"> <li>▪ Develops / maintains systematic and consistent ways of recognising the contribution of individuals as well as teams.</li> </ul>			<ul style="list-style-type: none"> <li>▪ Develops / maintains policies, systems, procedures and strategies for making the School / Directorate a motivating as well as empowering place to work.</li> </ul>		
<ul style="list-style-type: none"> <li>▪ Praises work well done, recognises individual and team contributions.</li> </ul>								
<ul style="list-style-type: none"> <li>▪ Leads by example and actively promotes as well as demonstrates the key values of the University.</li> </ul>								
<ul style="list-style-type: none"> <li>▪ Is polite and respectful in all communications with all people in all situations.</li> </ul>								

## THEME 2: MOTIVATING AND EMPOWERING TEAMS

Essential Leadership & Management			Operational Leadership & Management			Strategic Leadership & Management		
<i>Key behaviours, skills, knowledge</i>	<i>I</i>	<i>N</i>	<i>Key behaviours, skills, knowledge</i>	<i>I</i>	<i>N</i>	<i>Key behaviours, skills, knowledge</i>	<i>I</i>	<i>N</i>
<ul style="list-style-type: none"> <li>▪ Consults and listens the needs of the team and takes these into account when planning and organising work.</li> </ul>			<ul style="list-style-type: none"> <li>▪ Develops / maintains systems for regular team consultation, collaborative problem-solving, planning and organising work.</li> </ul>			<ul style="list-style-type: none"> <li>▪ Develops / maintains strategies and policies for effective communication, consultation and collaborative working.</li> </ul>		
<ul style="list-style-type: none"> <li>▪ Consults and agrees the team's goals and responsibilities and ensures these fit with the University's strategic goals.</li> </ul>			<ul style="list-style-type: none"> <li>▪ Motivates, empowers and supports the team and individuals within the team to set more challenging goals.</li> </ul>			<ul style="list-style-type: none"> <li>▪ Motivates, empowers and supports all teams within the School / Directorate to achieve more challenging goals.</li> </ul>		
<ul style="list-style-type: none"> <li>▪ Develops / maintains team harmony and the commitment of the team to work-related goals and to supporting each other.</li> </ul>			<ul style="list-style-type: none"> <li>▪ Develops / maintains systematic team review of the way work is done and how the team can become more effective.</li> </ul>			<ul style="list-style-type: none"> <li>▪ Develops / maintains strategies &amp; policies to promote and ensure the quality and safety of the work environment and stress levels.</li> </ul>		
<ul style="list-style-type: none"> <li>▪ Motivates and empowers the team and individuals within the team to improve the way work is done as a team.</li> </ul>			<ul style="list-style-type: none"> <li>▪ Consults and collaborates with the team to regularly audit the quality and safety of the work environment and stress levels.</li> </ul>			<ul style="list-style-type: none"> <li>▪ Communicates the vision for change, explains the rationale, consults all levels of staff and facilitates the change process.</li> </ul>		
<ul style="list-style-type: none"> <li>▪ Promotes and maintains a healthy, safe work environment and monitors staff stress levels.</li> </ul>			<ul style="list-style-type: none"> <li>▪ Consults and collaborates with the team to improve work conditions as well as team harmony and motivation.</li> </ul>					
<ul style="list-style-type: none"> <li>▪ Discusses and agrees ideas with the team to help achieve goals of the unit / department / division / Directorate / School.</li> </ul>			<ul style="list-style-type: none"> <li>▪ Consults and collaborates with the team once change is introduced to find the most effective way to implement it.</li> </ul>					
<ul style="list-style-type: none"> <li>▪ Explains when change is introduced, why it is necessary, who will be affected and what the time scale will be.</li> </ul>								
<ul style="list-style-type: none"> <li>▪ Offers advice, facilitates or arranges help and support where needed by team members as individuals or as a team.</li> </ul>								

### THEME 3: RESOURCE IMPACT AWARENESS

Essential Leadership & Management			Operational Leadership & Management			Strategic Leadership & Management		
<i>Key behaviours, skills, knowledge</i>	<i>I</i>	<i>N</i>	<i>Key behaviours, skills, knowledge</i>	<i>I</i>	<i>N</i>	<i>Key behaviours, skills, knowledge</i>	<i>I</i>	<i>N</i>
<ul style="list-style-type: none"> <li>▪ Adheres to key University financial policies and procedures related to own areas of responsibility.</li> </ul>			<ul style="list-style-type: none"> <li>▪ Promotes and maintains adherence to key University financial policies and procedures in the workteam.</li> </ul>			<ul style="list-style-type: none"> <li>▪ Monitors important long-term issues and trends likely to affect the institution in the future.</li> </ul>		
<ul style="list-style-type: none"> <li>▪ Maintains and uses appropriate management information effectively to plan, monitor funds and resources deployed.</li> </ul>			<ul style="list-style-type: none"> <li>▪ Consults own team as well as other appropriate staff when planning and utilising funds and resources.</li> </ul>			<ul style="list-style-type: none"> <li>▪ Monitors and assesses the future impact and opportunities of changes outside and inside the institution.</li> </ul>		
<ul style="list-style-type: none"> <li>▪ Ensures cost-efficient utilisation of and deployment of resources to ensure value for money.</li> </ul>			<ul style="list-style-type: none"> <li>▪ Communicates, explains and ensures commitment to financial decisions taken / resource allocation.</li> </ul>			<ul style="list-style-type: none"> <li>▪ Prepares for future possible financial and resource availability challenges.</li> </ul>		
<ul style="list-style-type: none"> <li>▪ Conserves energy, promotes recycling and monitors / reduces waste.</li> </ul>			<ul style="list-style-type: none"> <li>▪ Promotes, develops and supports LEAN working practices to reduce waste and increase efficiency.</li> </ul>			<ul style="list-style-type: none"> <li>▪ Develops / maintains policies and strategies to ensure effective maintenance and use of management information.</li> </ul>		
			<ul style="list-style-type: none"> <li>▪ Develops a well-researched and coherent business case when seeking additional resources or funds.</li> </ul>			<ul style="list-style-type: none"> <li>▪ Develops / maintains policies and strategies to ensure effective and sound management of funds and resources.</li> </ul>		
			<ul style="list-style-type: none"> <li>▪ Researches and rigorously analyses value for money / resource allocation options before undertaking projects.</li> </ul>			<ul style="list-style-type: none"> <li>▪ Ensures development / maintenance of adequate funds / resources to support the School / Directorate.</li> </ul>		
			<ul style="list-style-type: none"> <li>▪ Develops / maintains effective management information systems to monitor and manage key staff-related issues, funds and resources.</li> </ul>			<ul style="list-style-type: none"> <li>▪ Develops / maintains policies and strategies to ensure School / Directorate meets its legislative obligations.</li> </ul>		
			<ul style="list-style-type: none"> <li>▪ Researches and rigorously analyses pricing of services / programmes offered in terms of full economic costing.</li> </ul>			<ul style="list-style-type: none"> <li>▪ Develops / maintains policies and strategies to conserve energy, promote recycling and reduce waste.</li> </ul>		
			<ul style="list-style-type: none"> <li>▪ Researches and rigorously analyses potential markets / needs for services / programmes offered.</li> </ul>					
			<ul style="list-style-type: none"> <li>▪ Develops / maintains procedures to conserve energy, promote recycling and reduce waste.</li> </ul>					
			<ul style="list-style-type: none"> <li>▪ Undertakes and encourages collaboration on joint-funded projects with outside bodies where appropriate.</li> </ul>					

## THEME 4: CONSISTENT MANAGEMENT

Essential Leadership & Management			Operational Leadership & Management			Strategic Leadership & Management		
<i>Key behaviours, skills, knowledge</i>	<i>I</i>	<i>N</i>	<i>Key behaviours, skills, knowledge</i>	<i>I</i>	<i>N</i>	<i>Key behaviours, skills, knowledge</i>	<i>I</i>	<i>N</i>
<ul style="list-style-type: none"> <li>▪ Monitors and manages own levels of stress to work effectively and avoid stress-related problems.</li> </ul>			<ul style="list-style-type: none"> <li>▪ Sets and commits to high standards for own work and encourages others to do the same.</li> </ul>			<ul style="list-style-type: none"> <li>▪ Develops / maintains and ensures commitment to policies and strategies which support good performance as well as encourage continuous improvement.</li> </ul>		
<ul style="list-style-type: none"> <li>▪ Organises and manages own work and demands on own time efficiently and effectively.</li> </ul>			<ul style="list-style-type: none"> <li>▪ Motivates individuals to commit to challenging work objectives and provides the support needed.</li> </ul>			<ul style="list-style-type: none"> <li>▪ Develops / maintains a communication strategy that ensures all staff are informed on key issues and that they can discuss the significance of these issues to their work.</li> </ul>		
<ul style="list-style-type: none"> <li>▪ Readily makes commitments to support and develop people and is reliable as well as dependable in keeping to them.</li> </ul>			<ul style="list-style-type: none"> <li>▪ Introduces / maintains systems to continuously improve the quality of induction and performance reviews.</li> </ul>			<ul style="list-style-type: none"> <li>▪ Develops / maintains leadership and management capability development for people with management responsibilities to the highest and most consistent standard.</li> </ul>		
<ul style="list-style-type: none"> <li>▪ Communicates clear criteria defining good performance and sets / defines clear work procedures and standards.</li> </ul>			<ul style="list-style-type: none"> <li>▪ Develops / maintains systematic monitoring and impact assessment of individual learning and development activities.</li> </ul>			<ul style="list-style-type: none"> <li>▪ Develops / maintains effective staff development in the School / Directorate to ensure that is equitable and relevant to the work that people have responsibility for.</li> </ul>		
<ul style="list-style-type: none"> <li>▪ Adheres to the University's guidance and policy on inducting new staff and giving regular performance reviews to others.</li> </ul>			<ul style="list-style-type: none"> <li>▪ Continuously monitors individual working conditions and finds ways to improve both their work conditions and outcomes of their work.</li> </ul>			<ul style="list-style-type: none"> <li>▪ Develops / maintains the quality of working conditions in the School / Directorate so that the impact on staff morale and performance are continuously monitored and improved.</li> </ul>		
<ul style="list-style-type: none"> <li>▪ Motivates individuals to maintain good performance and to improve their performance to the highest possible level.</li> </ul>			<ul style="list-style-type: none"> <li>▪ Aware of where to get specialist help advice on all aspects of management and willing to act positively on it.</li> </ul>					
<ul style="list-style-type: none"> <li>▪ Gives regular feedback to individuals on their performance and, where necessary, discusses / explains what needs to be improved or to be done differently.</li> </ul>								
<ul style="list-style-type: none"> <li>▪ Provides one-to-one guidance, whenever appropriate, to help individuals develop or improve their job-required skills.</li> </ul>								
<ul style="list-style-type: none"> <li>▪ Enables, individual learning and development opportunities to ensure that each individual has the support and development to do their job role well.</li> </ul>								

## Individual Development Plan Template

<i>Key behaviours, skills &amp; /or knowledge for development</i>	Learning & Development activities agreed	By when	Support needed

### Some suggested leadership and management development activities:

- Self-development, self-study – for someone who simply needs to know more about a topic and can improve their knowledge by reading up on it.
- Discussion and advice – for those people that are prepared to discuss issues and are amenable to advice on how to develop facility in particular behaviours or skills or knowledge.
- Guidance – for those people who need to be shown what to do, guided in how to do it the correct way and supervised while they apply the new skills and knowledge.
- Coaching - helping people overcome the barriers that prevent them from working to their full potential.
- Mentoring – appropriate for someone with ideas about what they want to do and how to do it and are prepared to share their ideas or use an experienced and trusted person (who is not their line manager) as a sounding board.
- Secondment, job-shadowing – where a model already exists within the institution because someone with a similar role is already experienced and can act as an exemplar for a set of key behaviours, skills and knowledge.
- Training course or programme – for those people who need structured learning activities as well as an opportunity to think, reflect and interact with other participants with similar interests or issues that they need a range of skills and knowledge to deal with.