

Institution: University of Bristol
Unit of Assessment: 19 – Business and Management
Title of case study: Professionalisation of professional bodies and their members: improving governance and continuing professional development (CPD) policies
1. Summary of the impact (indicative maximum 100 words) Research directed by Andy Friedman (Management), has had impact through the Professional Associations Research Network (PARN) which was established at the University in 1998. This encouraged professional bodies to adopt: <ol style="list-style-type: none"> a) new governance structures and processes facilitating strategic decision-making; b) CPD policies, to make them mandatory and measure them by outputs, thereby raising competency and evidence for it among millions of professionals. Early adopters from 2001 contributed to benchmark data produced through PARN, adding to the subsequent research impact by encouraging further adopters. For post-2008 impacts and adopters see sources [b], [c], [d], [f], [j] for governance changes and [c], [h], [i].for CPD.
2. Underpinning research (indicative maximum 500 words) Research was carried out under the direction of Andy Friedman, Chair in Management and Economics at the University of Bristol, supported by the following research assistants: Ming Ming Chan (12/2001-3/2002); Judith Croston (8/2001); Catherine Durkin (1/1999-3/2001); Nicola Hurran (1/1999-11/1999); Jane Mason (4/2001-7/2004); Mary Phillips (1/2000-12/2003); David Watts (1/2000-12/2003). Research was also supported by Hannah Kirk, Susannah Woodhead, Christina Williams and William Hanson employed at PARN. Mary Phillips is now Senior Lecturer in Management at University of Bristol.
<p>The research covers many areas including professional ethics, standards and regulation, access to the professions, member relations and strategic management, but the most developed have been Continuing Professional Development (CPD) and governance. In these two areas 9 books (2002 – 2011) and 6 articles (2002 – 2008) in peer reviewed journals have been published.</p> <p>Governance research was first undertaken in 2000/01 and involved collecting foundation documents and interviews with high level staff, officers and ordinary members of Councils in eleven professional bodies, including five who funded the work for £25,000. This followed a conference organised by PARN (November 2000) and attended by 35 professional body representatives where widespread support for review and possibly radical reform of governance was expressed [6].</p> <p>From this the Cupped Hands Model was developed. It proposes a dual structure to support strategic development and democratic ambitions of the membership. This was in contrast to the traditional large representative Councils which were not conducive to strategic decision making, and to private sector corporate governance models based on a single small Board; regarded as deficient in democratic influence on policy by members as critical stakeholders. Particular attention was given to communication between the two groups and to recommending supporting structures such as separate committees for nominations, audit and remuneration [6] based on principles of accountability and transparency. In addition recommendations were made as to the balance of selected and elected members (particularly to introduce selected members based on competencies), the bases for elections to include other than geographical constituencies, induction of new members, peer review of individuals and collective reflection on performance of the governing body. Since then research in specific professional bodies has been undertaken including [e], [f] and [g].</p>

The research on CPD began in 1998-2000 with three grants from the then Department for Education and Employment, funding from consortiums of professional bodies [4, 5] and a grant from the International Federation of Accountants [2]. In the research, compulsory CPD and measuring by outputs have been evaluated based on analysis of professional body foundation documents, interviews and surveys as well as discussions at conferences organised by PARN. PARN has been encouraging introduction of CPD programmes, compulsory policies and measurement of participation based on outputs rather than inputs.

PARN conducts triennial International Benchmarking Surveys (2003/06/09/12). The 2003 survey was of professional bodies in the UK and Ireland. Canadian and Australian professional bodies were included in later surveys. Information from these surveys is imparted to the professional body sector in a range of publications covering almost all the subjects of PARN research.

3. References to the research (indicative maximum of six references)

- [1] Friedman A. L. (2011) *Continuing Professional Development: Lifelong Learning of Millions*, Routledge, London ISBN 978-0-415-67791-2 cited by 3 including Lindsay H. (2012) "Patterns of Learning in the Accountancy Profession Under an Output-Based Continuing Professional Development Scheme" *Accounting Education*, 21/6, 615-630.
- [2] Friedman A. and Woodhead S. (2008) *Approaches to Continuing Professional Development (CPD) Measurement*, International Federation of Accountants (IFAC): New York, 176pp ISBN 978-1-934779-37-8 cited by 7 including Bailey, M. (2011) "Policy, professionalism, professionalism and the development of HR practitioners in the UK", *Journal of European Industrial Training*, 35/5, pp.487 – 501.
- [3] Friedman A. and Phillips M. (2005) "Balancing strategy and accountability: A model for the governance of professional associations" *Nonprofit Management & Leadership*, 15/2, Winter, 187-204 DOI: 10.1002/nml.61 cited by 34 including Kreutzer, K. (2009), Nonprofit governance during organizational transition in voluntary associations. *Nonprofit Management and Leadership*, 20/1: 117–133. Marlin, D., Ritchie, W. J. and Geiger, S. W. (2009), Strategic group membership and nonprofit organization performance. *Nonprofit Management and Leadership*, 20/1: 23–39.
- [4] Friedman A and Phillips M (2004) 'Continuing professional development: developing a vision' *Journal of Education and Work*, 17/3, Sept 2004, 361-376 DOI: 10.1080/1363908042000267432 cited by 87 including Karseth, B. and Merland M. (2007) 'Building Professionalism in a Knowledge Society: Examining Discourses of Knowledge in Four Professional Associations' *Journal of Education and Work*, 20/4 pp335-355.
- [5] Friedman A.L. and Phillips M. (2002) "The role of mentoring in the CPD programmes of professional associations," *International Journal of Lifelong Education*, 21/3, 269-84 DOI: 10.1080/02601370210127864 cited by 22 including Peel D. (2005) 'Dual professionalism: facing the challenges of continuing professional development in the workplace?' *Reflective Practice* 6/1: pp.123-140.
- [6] Friedman A., Phillips M. and Chan M.M. (2002) *Governance of Professional Associations: The Structure and Role of the Governing Body* PARN: Bristol ISBN: 0-953-8347-3-5.

4. Details of the impact (indicative maximum 750 words)

PARN research on governance was undertaken when most professional bodies were governed by large representative Councils. Getting them to give up sovereign power in favour of a smaller strategic Board usually requires more than logical argument in print, it requires evidence of what others are doing and in many cases explanation in person. This was achieved through the triennial benchmarking surveys and by presentation of the results and the Cupped Hands Model at PARN conferences and at Council meetings [b, c, e, f, g]. Often years and several reform proposals intervene from research awareness to changing governance structures. PARN is not alone in suggesting governance reform, though most recommend simply cutting down the existing Council size. Many Councils recognise the need to change from their own experiences.

However PARN has provided a clear way ahead and, according to one professional body representative, a combination of 'reassurance, reinforcement and inspiration' [a].

Two of five participating in the original research project adopted the Cupped Hands Model:

- *Association of Business Recovery Professionals (R3)* adopted in 2003 [a].
- *Chartered Institute of Purchasing and Supply* is switching to cupped hands in November 2013. In 2012 other PARN recommendations were implemented: Nominations Committee and Remunerations Committee. 'We made bigger changes because of [PARN's] recommendations.' [b]

Many others have adopted a dual structure as suggested by the Cupped Hands Model. In 2003, PARN estimated from a survey of 119 UK professional bodies that 15% had adopted this structure. This had risen to 25% by the 2012 survey. Among those reporting to have been influenced by PARN in their governance reforms are:

- *Institute for Archaeologists* attributed the idea of changing governance structures to PARN publications, conferences and consultancy. Cupped hands will be presented for membership approval in October 2013. – 'We wouldn't be doing this without PARN.' [c]
- *Institution of Occupational Safety and Health* [d] adopted 2005, continued with peer reviews 2006, 2009, 2010 and use of Lay Member Register 2008, 2011 and 2012.
- *Nautical Institute* [j] adopted 2012/13.

Several professional bodies were influenced by other aspects of the governance research:

- Changing election procedures by introducing selection rather than relying solely on election. This led to bringing in 'some extremely influential executives from across the industry ... which improved our credibility considerably' and introducing special interest groups in addition to branches at *Institute of the Motor Industry*; [e] adopted 2001, 2006; continued strategic reviews 2010, 2013.
- Changing election procedures and having committees to support governance rather than to match staff functions including nominations committee 2009. Peer review 2011- *British Institute of Facilities Management* [f].
- Appointments committee and wider constituencies for election and to 'balance the elected members of the Council with some nominated and selected members'- *Institute of Hospitality* [g] 2006.
- Creation of Nominations committee and Assurance committee – *Nautical Institute* [j] 2012/13

PARN has encouraged professional bodies to take up or improve CPD programmes, to make CPD compulsory with associated monitoring and sanctions for non-compliance, and to measure participation by outputs rather than inputs. Associated with these outcomes, PARN has benchmarked how professional bodies have been supporting CPD by guidance notes, templates for reflection and planning, mentoring schemes, as well as audit and assessment. Between 2003 and 2012, adoption of compulsory CPD increased from 13% to 28% amongst UK professional bodies and output based CPD from 15% to 31%.

PARN has influenced CPD by:

- Encouraging setting up a CPD programme in 2002 at *Institute of the Motor Industry* [e]
- Providing evidence on the importance of CPD and of making it compulsory which was adopted in 2009 by *Institute for Archaeologists*; [c]
- Moving to widening CPD activities and concentrating on reflection rather than counting hours at *Association of Accounting Technicians* who referred to [2]; [i] 2007/8
- Helping to resist reverting to the recommended FSA measure of 35 hours and continuing to measure by outputs at *Chartered Insurance Institute* who referred to [2] in a consultation exercise to its members [h] 2009.

The impact of PARN research and networking activities can be regarded as far wider than changes in professional body policies for which direct evidence is provided. Impact on members or registrants at professional bodies benefiting from more strategic professional bodies and availability of evidence of their efforts at CPD is harder to identify, but could be generated by surveying them. More important is the derived impact of PARN on the competence of professionals benefiting clients, patients and employers by receiving more up-to-date and competent professional services.

5. Sources to corroborate the impact (indicative maximum of 10 references)

- [a] Approved case study *Association of Business Recovery Professionals (R3)* – Primary interviewee Mike Stancombe, Chief Operating Officer (includes note that R3 purchased 50 copies of [6] to distribute to all Council members leading to adopting the Cupped Hands Model).
- [b] Approved case study from *Chartered Institute of Purchasing and Supply* - primary interviewee Margaret West-Burnham, Head of Governance.
- [c] Approved case study from the *Institute for Archaeologists* – primary interviewee Peter Hinton, CEO
- [d] Approved case study from the *Institution Occupational Safety and Health* - primary interviewee Rob Strange former CEO
- [e] Approved case study from the *Institute of the Motor Industry* – primary interviewee Allan Tyrer, formerly Company Secretary and Finance Director.
- [f] Approved case study from the *British Institute of Facilities Management* – primary interviewee Stephen Bennett, formerly Strategy Director and Knowledge Manager.
- [g] Approved case study from the *Institute of Hospitality* – primary interviewee Ann Corrigan, Deputy Chief Executive.
- [h] Approved case study from the *Chartered Insurance Institute* – primary interviewee David Thomson, Director of Policy and Public Affairs referring to [2] in consultation to CII members see CII (2009) *Beyond Box-Ticking: CPD and the 21st Century Professional*.
<http://www.cii.co.uk/knowledge/resources/articles/cii-papers-in-professionalism-4-beyond-box-ticking-cpd-and-the-21st-century-professional/10008>
- [i] Approved case study from the *Association of Accounting Technicians* – primary interviewee Adam Harper, Director of Professional Development.
- [j] Case study from the *Nautical Institute* – primary interviewee Philip Wake, CEO