

# Guide to The University of Auckland Leadership Framework

A Framework for Leadership Development and Achievement

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# Letter from the Vice-Chancellor

At The University of Auckland we have an ambition and a strategy to be a genuinely outstanding organisation by international standards. Our challenge is to achieve this against a background of very low levels of investment and high demands by stakeholders for accountability. We have achieved a great deal in the past, but the current very demanding environment has made us acutely aware of how important leadership is across the organisation. By this I do not mean just people in leadership roles, but the need for all our staff, at all levels to contribute their leadership skills to taking the University forward.



In order to encourage, support and acknowledge leadership contributions, we have made this a feature of the Strategic Plan 2013-2020 and we have developed a Leadership Framework. This framework is intended to focus our attention on the key aspects of leadership and to help all of us – academics, professional staff, managers – and at all levels within the University, think about what leadership means, why it is important and how we can contribute to the future of our University through personal leadership. The core elements of the framework – our personal qualities, the way we understand the environment around us, the way we envisage and plan for the best possible future, and the way we support others to achieve that future – should be something we are all involved in.

The Leadership Framework provides clarity and a shared vision of what leadership looks like at The University of Auckland. Only through the demonstration of this shared vision can we truly compete for the best and brightest and attract competitive resources to ensure long-term sustainability of the University. In doing this the framework gives purpose and focus to the enhancement of leadership for all staff across the University.

The Leadership Framework deliberately avoids a high level of prescription. Rather it invites us to think about our own leadership capabilities and contributions. I hope that we will all engage actively with this process as we work together to build a great university.

Kind regards,

**STUART N. MCCUTCHEON**  
Vice-Chancellor

# What is The University of Auckland Leadership Framework?

Personal leadership is at the heart of every role within our organisation and is key to our success as a university. The Leadership Framework creates not only a shared vision but also clarity around what leadership looks like at The University of Auckland. The achievement of our strategic objectives requires the talent, commitment and leadership of all academic and professional staff. Acting as a guide to develop leadership capability, the framework creates the platform for an integrated leadership system for all staff.

## How was the framework developed?

Using feedback from academic and professional staff focus groups in 2009/10, the Leadership Framework was created in conjunction with a research-informed capability tool adapted to our University environment. Extensive research and consultation was undertaken to ensure the framework aligns with our Strategic Objectives and provides opportunity for success for all staff.

## How does it work?

Five high level leadership dimensions cascade into sets of capabilities and further behaviours that act as a guide to what successful performance looks like.

Not all behaviours are relevant to every role. How each behaviour is demonstrated at an individual level depends on the context and seniority of the role. This user guide and supporting documents provide a framework for individuals and their managers to help determine the most relevant capabilities for a given role.

The framework is designed to focus our attention on key aspects of leadership and help staff think about what leadership means, why it is important and how we can contribute to the future of our University through leadership.

The core elements relate to:

- our personal qualities
- the way we understand the environment around us
- the way we envisage and plan for the best possible future
- the way we support ourselves and others to achieve that future

The framework will help staff identify their leadership strengths and how they can make their unique contribution.

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All staff play a leadership role; leadership does not only relate to management positions.

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## What are the benefits of a Leadership Framework?

The framework provides a foundation for integrated people processes that will contribute to leadership capability and capacity. Over time this will mean that:

- all staff can plan and evaluate their career development in a way that is consistent with what leadership means at various career stages
- leaders and managers can use the framework and related resources to help support and guide the development of staff
- resources aligned with the framework will support the development of leadership capability at all career stages
- appointment and promotion processes will help recruit and retain people with desired leadership capabilities
- relevant leadership behaviours can be identified, recognised, rewarded and celebrated

# How can you use the framework?

The Leadership Framework provides a common language to integrate the University's people processes. This means that there is more clarity around the capabilities that are valued by the University and that these same capabilities are explicitly supported by resources such as those outlined below. While many of these people processes are under revision in 2013 to align with the framework, knowledge of the capabilities in the framework can exist with:

## Recruitment and Selection

**Careers landing page:** Candidates can access information about the Leadership Framework capabilities and aligned development and career opportunities via the careers landing page.

**Interview questions:** Hiring managers will be able to draw on a library of interview questions designed to assess how well a candidate will perform the capabilities outlined in the Leadership Framework relevant to the position applied for. This will help ensure the University employs people with the capabilities to succeed.

**Position descriptions:** The Leadership Framework will be incorporated into position descriptions during 2013/2014.

## Onboarding and Induction

As the Leadership Framework will form a basis for many people processes, new comers will have resources available in their induction and orientation to help them develop capabilities that are recognised and rewarded by the University.

## Learning and Development

Many of the University's comprehensive Staff Development offerings are aligned to support individuals and teams in the development of the Leadership Framework capabilities. A good starting point is [www.auckland.ac.nz/careerdevelopment](http://www.auckland.ac.nz/careerdevelopment).

## Development and Performance Review

The University's performance review system for professional staff, EVOLVE, will align with the Leadership Framework from 2014. Academic Performance Reviews can also include conversations around capabilities contained in the Leadership Framework. This means many staff are assessed and developed on the same behaviours as those supported by the University's staff development opportunities.

More information about how the Leadership Framework maps to EVOLVE and how capabilities apply to professional staff roles will be available in 2013.

## Reward and Remuneration

Demonstration of capabilities outlined in the Leadership Framework can be supported by individual and team recognition and/or rewards.

## Succession Planning

The Framework provides a common leadership language between all roles, academic and professional, at The University of Auckland. The appropriate combination and importance of framework capabilities by seniority, responsibility, scope, context and impact can help provide clarity around succession planning processes (see page 12). This can include, for example, identifying the requirements and development needs of potential successors.

As many of these resources and processes are being reviewed or developed in 2013/14 please contact your HR Manager or [sodu@auckland.ac.nz](mailto:sodu@auckland.ac.nz) for more information.

# The Leadership Framework

Personal leadership is at the heart of our organisation and is key to the achievement of our aspirations and strategic objectives.

Leadership is not just a management position or a title; all staff play a leadership role. The Leadership Framework reflects and encourages a culture of distributed leadership for all staff.

The Leadership Framework helps us create not only a shared vision but also clarity around what leadership looks like at The University of Auckland.

How each of the five leadership dimensions and cascading sets of capabilities are demonstrated depends on the role and context in which each person operates.

Acting as a guide to develop leadership capability, the framework creates an integrated leadership system for all staff to help enable excellence in teaching, learning, research, service and administration.

[More information](#)



## Enabling People

Hāpai

Developing self, others and teams so they can realise the University's strategy and values

- Scholarship/professional development
- Valuing equity or Championing equity
- Coaching and developing others
- Leading teams
- Building talent and engagement



## Exhibiting Personal Leadership

Rangatiratanga

Role modelling leadership behaviours to engage others and support the University's values and aspirations

- Personal attributes
- Interpersonal effectiveness



## Achieving Results

Whai hua

Accepting accountability for making decisions and taking action to deliver the University's strategy and deliver excellent results

- Decision making
- Delivering results or Implementing strategy

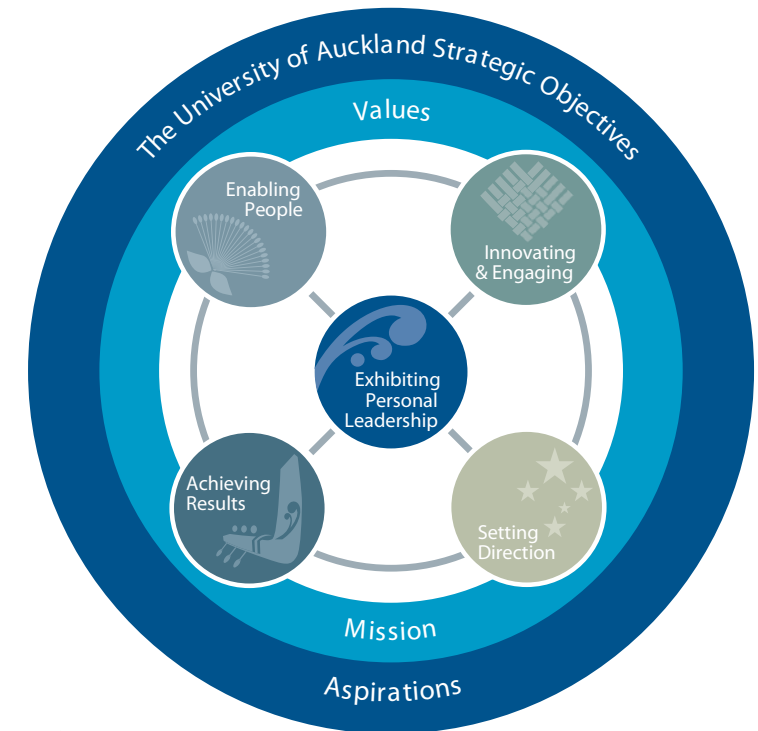


## Innovating and Engaging

Whakamatāra

Identifying, creating and responding to relationships and opportunities to improve and progress the University

- Relationship building or Building strategic partnerships
- Facilitating change and innovation



## Setting Direction

Mana Tohu

Establishing and committing to plans and activities that will deliver the University's strategy

- University awareness or Global and commercial acumen
- Planning and organising or Establishing strategic direction
- Stakeholder service

# The University of Auckland Leadership Framework Capabilities and Key Behaviours

The central dimension upon which the other leadership dimensions and capabilities are based is 'Exhibiting Personal Leadership' as represented by the inner circle of the Leadership Framework.

How each leadership capability is demonstrated depends on the role and context in which each person operates.

Unshaded capabilities are applicable to all staff with shaded capabilities only for senior leaders.



## Leadership Dimension: Exhibiting Personal Leadership

Role modelling leadership behaviours to engage others and support the University's values and aspirations.

### Leadership Capabilities:

- Personal Attributes
- Interpersonal Effectiveness

Personal Attributes	Interpersonal Effectiveness
<p>Displays integrity, professionalism, adaptability and courage, accurately perceiving and interpreting own and others' emotions and behaviours in the context of the situation to effectively manage own responses, reactions and relationships.</p> <p>The personal attributes of a leader include:</p> <ul style="list-style-type: none"><li>• Displays integrity and professionalism</li><li>• Builds and demonstrates self-insight</li><li>• Adapts to change</li><li>• Shows personal courage</li><li>• Demonstrates university citizenship</li></ul>	<p>Communicates with clarity, using constructive interpersonal behaviours and interactions to influence others, resolves conflict and inspires cooperation and achievement.</p> <p>The behaviours of a leader who demonstrates interpersonal effectiveness are:</p> <ul style="list-style-type: none"><li>• Communicates with clarity</li><li>• Influences and interacts with others constructively</li><li>• Resolves conflict with empathy</li><li>• Inspires cooperation and achievement</li></ul>



# Leadership Dimension: Setting Direction

Establishing and committing to plans and activities that will deliver the University's strategy.

## Leadership Capabilities:

- University Awareness or Global and Commercial Acumen
- Planning and Organising or Establishing Strategic Direction
- Stakeholder Service

OR		OR		
University Awareness	Global and Commercial Acumen	Planning and Organising	Establishing Strategic Direction	Stakeholder Service
<p>Displays an understanding of the international and commercial context in which the University operates and how the University works to successfully achieve results.</p> <p>The behaviours of a leader who demonstrates university awareness are:</p> <ul style="list-style-type: none"> <li>• Develops understanding of the University context</li> <li>• Demonstrates understanding of how the University is structured</li> <li>• Navigates across the University successfully</li> </ul>	<p>Demonstrates an understanding of the competitive global environment and key market drivers, as well as an awareness of economic, social and political trends that impact the University's strategy, and uses this understanding to create and seize opportunities, expand into new markets and deliver programmes, teaching and learning, research and service.</p> <p>The behaviours of a leader who demonstrates global and commercial acumen are:</p> <ul style="list-style-type: none"> <li>• Develops in-depth understanding of the University and tertiary sector</li> <li>• Pursues discipline/market/professional skill set information and maintains global awareness</li> <li>• Recognises impact and opportunity of national and global trends</li> <li>• Leads and inspires innovation</li> <li>• Pursues ambitious ventures</li> </ul>	<p>Establishes courses of action for self/and others to ensure that work is completed efficiently, while building/contributing to a successful work/project/research team.</p> <p>The behaviours of a leader who demonstrates planning and organising are:</p> <ul style="list-style-type: none"> <li>• Sets priorities</li> <li>• Determines tasks and resources</li> <li>• Schedules work</li> <li>• Leverages resources</li> <li>• Stays focused</li> <li>• Manages research/projects</li> </ul>	<p>Establishes and commits to a strategic direction for the Faculty/Service and University based on an analysis of information, internal/external drivers, consideration of resources, and organisational values to clearly communicate a compelling view of the future.</p> <p>The behaviours of a leader who establishes strategic direction are:</p> <ul style="list-style-type: none"> <li>• Gathers information – local and global</li> <li>• Analyses information and risk</li> <li>• Determines strategic priorities</li> <li>• Outlines plans for the future and allocates resources</li> <li>• Advocates and clearly articulates the University's aspirations, objectives and values</li> </ul>	<p>Ensures that the service provided to stakeholders is a driving force behind decisions and activities; crafts and/or implements service practices that meet the needs of stakeholders (as well students and staff) and the University, including a safe and healthy environment.</p> <p>The behaviours of a leader who demonstrates stakeholder service are:</p> <ul style="list-style-type: none"> <li>• Contributes to a service strategy</li> <li>• Seeks to understand customers/stakeholders</li> <li>• Identifies service issues</li> <li>• Creates service-focused practices</li> <li>• Assures service satisfaction</li> <li>• Ensures a safe and healthy work environment</li> </ul>





# Leadership Dimension: Innovating and Engaging

Identifying, creating and responding to relationships and opportunities to improve and progress the University.

## Leadership Capabilities:

- Relationship Building or Building Strategic Partnerships
- Facilitating Change and Innovation

OR		
Relationship Building	Building Strategic Partnerships	Facilitating Change and Innovation
<p>Establishes and maintains effective working relationships with stakeholders inside and outside the University, using an appropriate interpersonal style to advance the University's objectives.</p> <p>The behaviours of a leader who demonstrates relationship building are:</p> <ul style="list-style-type: none"> <li>• Identifies relationship opportunities</li> <li>• Establishes constructive and collaborative relationships</li> <li>• Helps others have personal success</li> <li>• Reinforces others' self-worth</li> <li>• Demonstrates trustworthiness</li> </ul>	<p>Identifies opportunities and takes action to build strategic relationships with stakeholders inside and outside the University to help achieve strategic aspirations and objectives.</p> <p>The behaviours of a leader who builds strategic partnerships are:</p> <ul style="list-style-type: none"> <li>• Identifies strategic partnership opportunities</li> <li>• Explores and initiates partnership opportunities</li> <li>• Formulates action plans</li> <li>• Leverages own area's expertise to add value elsewhere in the University</li> <li>• Monitors partnership initiatives</li> </ul>	<p>Facilitates and supports University changes needed to adapt to changing external/market demands, technology, and internal initiatives; initiates new approaches to improve results by transforming University culture, systems, or programmes/services.</p> <p>The behaviours of a leader who facilitates change and innovation are:</p> <ul style="list-style-type: none"> <li>• Identifies innovation and change opportunities</li> <li>• Challenges existing thinking and practices</li> <li>• Facilitates change and innovation</li> <li>• Addresses barriers and resistance</li> </ul>



# Leadership Dimension: Enabling People

Developing self, others and teams so they can realise the University's strategy and values.

## Leadership Capabilities:

- Scholarship/Professional Development
- Valuing Equity or Championing Equity
- Coaching and Developing Others
- Leading Teams
- Building Talent and Engagement

	OR				
Scholarship/Professional Development	Valuing Equity	Championing Equity	Coaching and Developing Others	Leading Teams	Building Talent and Engagement
<p>Engages in discovering, integrating, applying and disseminating the knowledge and professional skills necessary to be successful in current and future roles; promotes collegiality and actively pursues development experiences to improve personal impact and that of the University.</p> <p>The behaviours of a leader who demonstrates scholarship/professional development are:</p> <ul style="list-style-type: none"> <li>• Maintains professional knowledge, skills and conduct in teaching and learning, research, service and administration</li> <li>• Promotes collegiality, knowledge sharing and development</li> <li>• Pursues career planning and development opportunities</li> <li>• Displays learning agility by applying learning to new challenges</li> <li>• Undertakes research and/or professional development</li> <li>• Integrates research with teaching and learning</li> </ul>	<p>Works effectively to support the University's commitment to Māori, Te Tiriti o Waitangi and equity; values the capabilities and insights of individuals (both inside and outside the organisation) with diverse backgrounds, styles, abilities, and motivation.</p> <p>The behaviours of a leader who demonstrates the value of equity and diversity are:</p> <ul style="list-style-type: none"> <li>• Seeks to understand others</li> <li>• Conveys respect</li> <li>• Values an inclusive way of working</li> </ul>	<p>Leads strategic decision making and implementation for Te Tiriti o Waitangi and equity objectives, and values the capabilities and insights of those with diverse backgrounds, styles, abilities, and motivation.</p> <p>The behaviours of a leader who champions equity and diversity are:</p> <ul style="list-style-type: none"> <li>• Champions equity in strategic initiatives</li> <li>• Advocates the value of inclusiveness</li> <li>• Conveys respect</li> </ul>	<p>Provides feedback, instruction and development guidance to help others (individuals and teams) excel in their current or future responsibilities; plans and supports the development of individual/team skills and abilities.</p> <p>The behaviours of a leader who coaches and develops others are:</p> <ul style="list-style-type: none"> <li>• Clarifies understanding of current achievements and aspirations</li> <li>• Provides timely feedback</li> <li>• Conveys performance expectations and implications</li> <li>• Evaluates strengths and skill gaps</li> <li>• Guides and supports development</li> <li>• Fosters developmental relationships</li> </ul>	<p>Uses appropriate methods and interpersonal styles to develop, motivate, and guide the work/project/research team to attain successful outcomes and objectives.</p> <p>The behaviours of a team leader are:</p> <ul style="list-style-type: none"> <li>• Creates shared purpose</li> <li>• Promotes team processes</li> <li>• Chooses appropriate talent</li> <li>• Delegates appropriately</li> <li>• Facilitates meetings</li> <li>• Celebrates success</li> <li>• Monitors progress</li> </ul>	<p>Establishes systems and processes to attract, select, develop, engage, and retain talented individuals; creates a work environment where people can realise their full potential, thus allowing the University to meet current and future challenges; coaches and develops others to excel in their current or future position; drives a culture of collaboration and engagement.</p> <p>The behaviours of a leader who builds talent and engagement are:</p> <ul style="list-style-type: none"> <li>• Creates a culture of engagement</li> <li>• Determines talent needs and gaps</li> <li>• Champions talent recruitment and development</li> <li>• Recognises and rewards achievements</li> <li>• Emphasises engagement and retention</li> </ul>



# Leadership Dimension: Achieving Results

Accepting accountability for making decisions and taking action to deliver the University's strategy and deliver excellent results.

## Leadership Capabilities:

- Decision Making
- Delivering Results or Implementing Strategy

Decision Making	OR	
	Delivering Results	Implementing Strategy
<p>Identifies and understands issues, problems, and opportunities; compares data from different sources to draw conclusions and uses effective approaches for choosing a course of action or developing appropriate solutions; takes action that is consistent with available facts, constraints, and probable consequences.</p> <p>The behaviours of a leader who makes effective decisions are:</p> <ul style="list-style-type: none"> <li>• Identifies issues, problems, and opportunities</li> <li>• Gathers and interprets information and calculates risk</li> <li>• Generates alternatives, chooses and takes appropriate action</li> <li>• Involves others where appropriate</li> <li>• Negotiates persuasively</li> </ul>	<p>Sets high objectives for personal/group accomplishment; uses measurement methods to monitor progress toward goals; tenaciously works to meet or exceed goals managing resources responsibly; seeks continuous improvements.</p> <p>The behaviours of a leader who delivers results are:</p> <ul style="list-style-type: none"> <li>• Identifies and targets opportunities</li> <li>• Establishes stretch objectives/goals</li> <li>• Achieves objectives/goals</li> <li>• Manages resources effectively</li> <li>• Stays focused</li> <li>• Models commitment</li> </ul>	<p>Translates strategic priorities into operational reality and drives high standards for own and others accomplishment; creates alignment to ensure activities produce measurable and sustainable results; tenaciously works to meet or exceed challenging objectives; maintains fiscal responsibilities and seeks continuous improvement for all levels.</p> <p>The behaviours of a leader implementing strategy are:</p> <ul style="list-style-type: none"> <li>• Translates initiatives into actions</li> <li>• Implements communication strategy</li> <li>• Creates, accepts and exhibits accountability</li> <li>• Ensures skills and readiness for delivering results</li> <li>• Aligns policies, systems and process</li> <li>• Creates measurement discipline</li> <li>• Persists to completion</li> </ul>

# Context of Leadership Behaviours

Part two of the Leadership Framework Guide describes the Leadership Framework capabilities and behaviours in more detail. How these are demonstrated will depend on the context and seniority of the role. The table below is an example of how positions may differ with increasing seniority in terms of responsibility, scope, context and impact.

	Personal Leadership	Leader of Others	Leader of Leaders
	Individual Contributor	Leader of Teams	Leader of Department/Units
			Senior Leader
Responsibility	Relatively discreet responsibility primarily directed at tasks, directly relevant to positions, discipline & department	Responsibility shifts towards contributing to faculty/service division, with increasing consideration of broader University context.	Responsibilities increasingly focussed on the University, with an emphasis on ensuring organisational sustainability and success
Scope	Emphasis is on own responsibilities, and the long term implications of own work and actions for self and the department	Focus now includes concern for supporting the future needs and plans of the faculty / service division.	Focus is on engaging self and others in activities that align with, and facilitate achievement of, the University's long-term plans.
Contact	Interactions are primarily with department colleagues, peers and within relevant immediate community context.	Increasing faculty/service division interactions. Research has achieved a national context in tandem with a developing international context.	Interactions are across faculties and service divisions, and support cooperation. Research is multidisciplinary and within an international context.
Impact	Impact is primarily on one's self and on colleagues in the department	Impact is on the faculty/service division, with concern for supporting effectiveness and service.	Impacts shifts to the greater University, with increasing involvement in defining, driving and enabling organisational achievement.



NEW ZEALAND

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