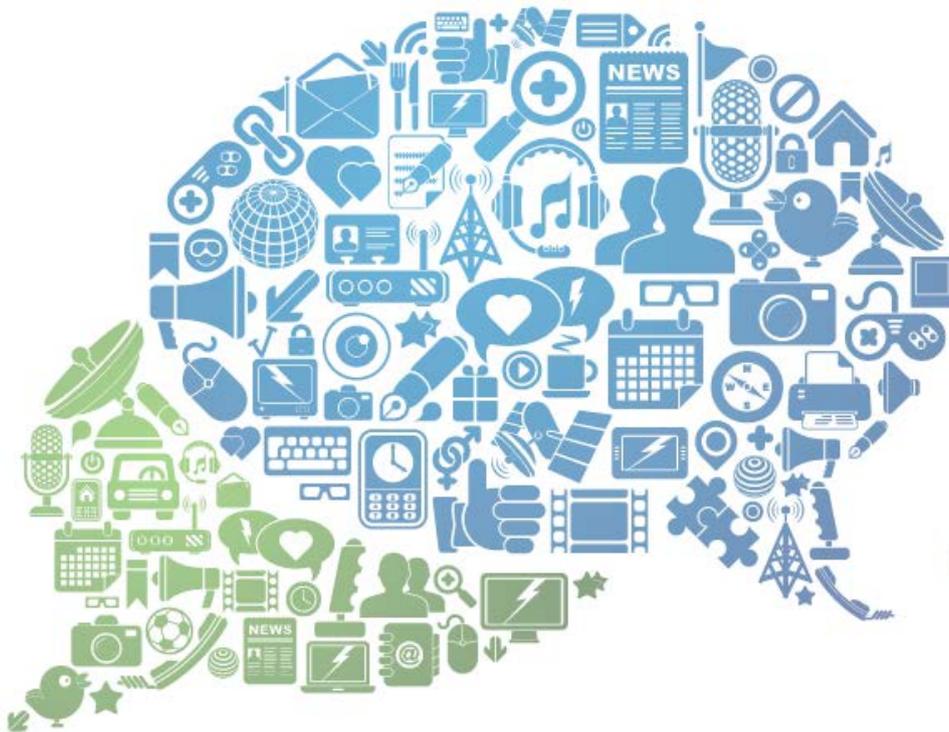




THE UNIVERSITY OF
NEWCASTLE
AUSTRALIA

CAPABILITY MATRIX FOR PROFESSIONAL STAFF

HANDBOOK



INTRODUCTION TO THE CAPABILITY MATRIX



This handbook is intended to help you understand the Capability Matrix and how it will be used at UoN. The Capability Matrix and this handbook are for all professional staff at the University.

WHAT IS THE CAPABILITY MATRIX?

The Capability Matrix forms part of the overarching Performance Expectations Framework for Professional Staff and describes the functional capabilities required to perform effectively as a higher education professional. The continuum describes the progression of skills and knowledge from transactional and operational capability through to tactical and strategic capability.

HOW WAS THE MATRIX DEVELOPED?

The Capability Matrix was developed through consultation and dialogue across the University and guided by literature, research and practice. It is built on the basis that the evolving and complex nature of professional work within the higher education sector creates a need for the development of new skills to enable connectedness, innovation and entrepreneurial activity in order to advance UoN's goals.

HOW TO READ THE CAPABILITY MATRIX

The Capability Matrix outlines the broad, but not exhaustive, range of examples of professional performance expectations and recognises that some roles may be more heavily focused on particular capabilities and/or require differing levels of capability.

There are five core capabilities with a descriptor for each. Each capability has four specific outcomes illustrated by a set of action statements that progress by HEW level.

HOW SHOULD THE MATRIX BE USED?

The Capability Matrix should be used to inform development for professional staff at UoN, and forms part of the overall Performance Review and Development (PRD) process. It is important that managers and supervisors exercise their judgement in applying the Capability Matrix as not every action statement will apply to an individual's role.

The Capability Matrix should be used in conjunction with individual goals driven by Faculty/Divisional Corporate Plans and Position Descriptions as well as the Leadership Framework.

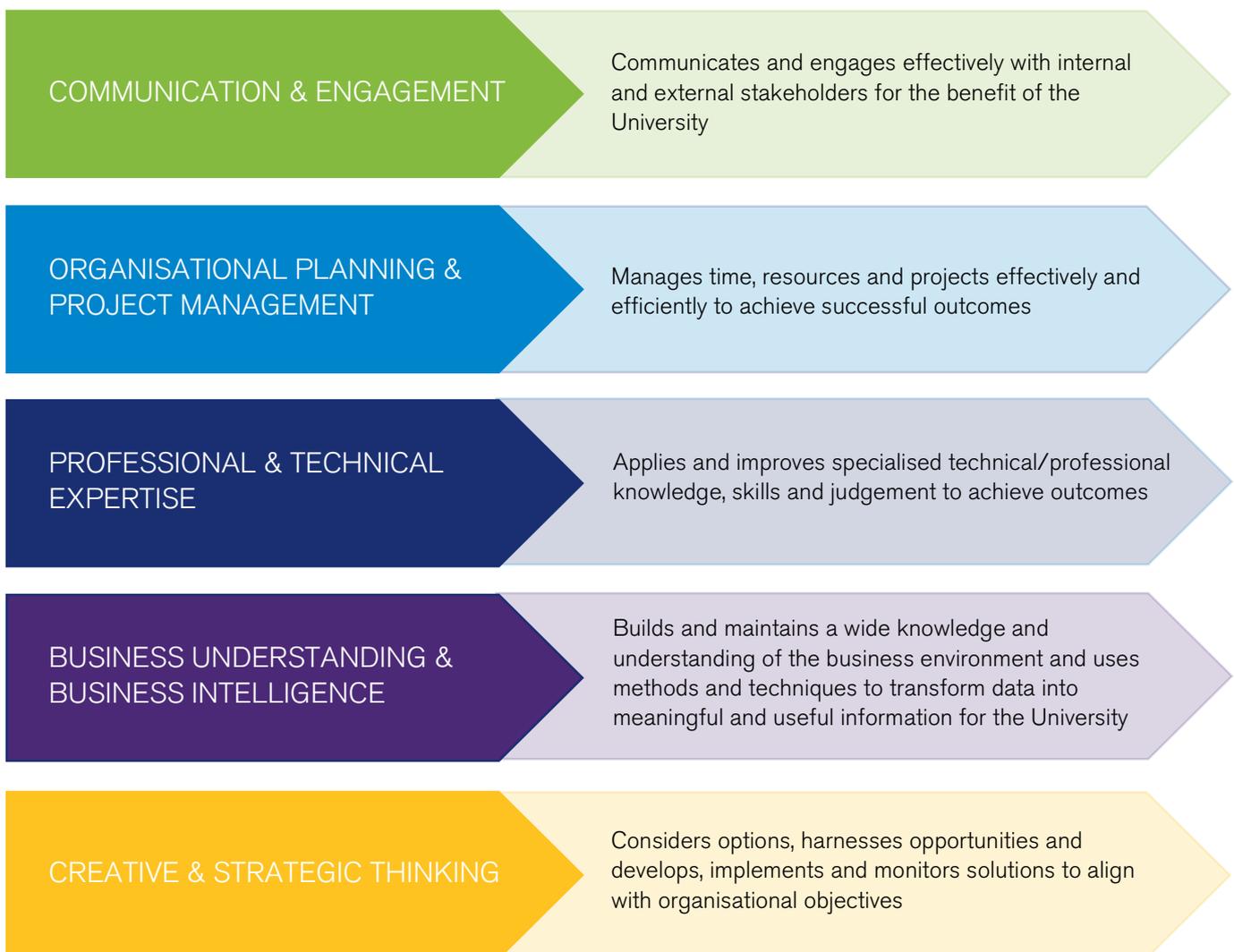
WHAT ARE PROFESSIONAL CAPABILITIES?



Professional Capabilities are a combination of knowledge, skills, behaviours and specialist expertise required to perform at a particular level. The ability of UoN to achieve its strategic goals relies on the capability and performance of its staff.

The Capability Matrix describes five professional capabilities that provide a common language and focus for all professional staff in performing their roles effectively. The matrix does not attempt to provide a comprehensive list of every capability necessary in the University. Many roles will have specialised skill sets that are unique to that role and these should also be considered alongside the Leadership Framework and the Faculty/Divisional Corporate Plans.

A headline definition of each of the five Professional Capabilities is provided below and describes in brief the behaviours and characteristics expected of a professional staff member. As a guide, staff should aim to align their capabilities within the HEW ranges specified however the overlap in range is designed to encourage staff to aspire to performance outcomes outside their expected range.



1. COMMUNICATION & ENGAGEMENT

Communicates and engages effectively with internal and external stakeholders for the benefit of the University.

	HEW 1-3	HEW 3-5	HEW 5-7	HEW 7-8	HEW 9-10
1.1 Communicates effectively	<p>Speaks clearly and respectfully and actively listens to others</p> <p>Prepares standard correspondence using clear, concise and grammatically correct language</p> <p>Treats sensitive information appropriately</p>	<p>Clearly presents views and information and checks for understanding</p> <p>Prepares emails, meeting minutes and simple or routine reports</p> <p>Ensures appropriate content in all communications</p>	<p>Modifies verbal delivery depending on the audience and the setting</p> <p>Prepares documents and reports based on work-related knowledge</p> <p>Utilises a good understanding of GIPA and privacy obligations when drafting correspondence and reports</p>	<p>Clearly presents views to a range of audiences on specific projects and initiatives</p> <p>Prepares written advice and clear recommendations on complex issues for area of responsibility</p> <p>Reviews written work of others and ensures documents contain necessary information and meet audience needs</p>	<p>Effectively discusses complex concepts with other expert stakeholders</p> <p>Develop high level reports and planning documents to meet business needs</p> <p>Prepares briefs on highly complex issues, and authoritative technical reports and advice to senior levels of the University and external stakeholders</p>
1.2 Presents and facilitates	<p>Presents information to team members</p>	<p>Understands the basic principles of effective presentations</p> <p>Uses graphic and other visual aids such as PowerPoint and handouts to convey information</p>	<p>Innovatively creates presentations using a variety of delivery methods</p> <p>Constructs information to promote a particular viewpoint and lead audience to a shared conclusion</p> <p>Gathers and accurately summarises audience views during the presentation</p>	<p>Presents in a persuasive and credible manner and holds audience attention</p> <p>Effectively manages consultative processes in a group or forum</p> <p>Anticipates and confidently deals with criticism or dissent and provides effective rebuttals to objections</p>	<p>Delivers influential presentations to a senior stakeholder audience holding competing priorities and views</p> <p>Facilitates audience dialogue and gathers and synthesises audience views to provoke further discussion</p> <p>Confidently changes tactics mid-presentation based on perceived audience reception</p>

<p>1.3 Influences and negotiates</p>	<p>Uses skills to reach agreement on own work priorities with colleagues and supervisor</p>	<p>Negotiates work completion timelines with stakeholders and supervisor</p> <p>Uses facts, knowledge and experience to support recommendations</p>	<p>Influences others of the appropriate course of action based on knowledge and experience</p> <p>Outlines benefits and drawbacks of particular courses of action based on rules, guidelines and facts</p>	<p>Plans, negotiates and implements a course of action to achieve a specific outcome</p> <p>Understands stakeholder issues and develops persuasive evidence based arguments and recommendations to effectively negotiate with stakeholders</p>	<p>Negotiates firmly and tactically in sensitive or contentious situations to resolve differences and achieve outcomes</p> <p>Communicates the University's vision and gains support from relevant stakeholders through consultation and negotiation</p> <p>Understands the requirements of contract negotiation and the associated constraints and provides inputs to facilitate the negotiation process</p>
<p>1.4 Engages with internal and external stakeholders*</p>	<p>Liases with colleagues to understand how they operate and how this affects own tasks</p> <p>Attends and actively participates in meetings</p> <p>Contributes to meeting stakeholder needs</p>	<p>Contacts colleagues in other areas to gain their perspective and expertise</p> <p>Contributes to Faculty/Division through active participation in team and Unit meetings</p> <p>Displays a sound understanding of the service offered by their work area and the value add provided to stakeholders</p> <p>Builds trust with stakeholders by regularly providing progress updates</p>	<p>Demonstrates an understanding of the interaction of own work area with other areas across the University</p> <p>Gathers knowledge from networks, assesses activities in other areas and looks for linkages to support own work area</p> <p>Keeps up-to-date with business issues and initiatives and strives to value add to core UoN activities</p> <p>Consults and works with stakeholders to improve their outcomes and plans effectively for their delivery</p> <p>Makes self fully available during critical periods, in</p>	<p>Actively seeks to understand the priorities and interests of other areas and individuals in order to leverage projects</p> <p>Leads or actively participates in cross-unit initiatives to share experiences and promote good practice</p> <p>Seeks out value added services to exceed stakeholder expectations</p> <p>Demonstrates an awareness of market trends and seeks to differentiate and improve service to stakeholders accordingly</p> <p>Understands organisational limits and opportunities, and</p>	<p>Identifies emerging stakeholders that will have a significant impact on the organisation and forms partnerships for the long term benefit of the organisation</p> <p>Understands the value of strong relationships at peer and senior levels to gain commitment for ideas and cross-organisational initiatives</p> <p>Identifies longer term stakeholder needs and recommends strategic options for service delivery</p> <p>Develops, recommends and implements policy, procedures and standards to</p>

			order to ensure high quality service	<p>aims to remove or reduce obstacles to service delivery</p> <p>Contributes to external engagement initiatives at the Faculty/Divisional level and through membership of professional associations</p>	<p>ensure a quality stakeholder focus at the organisational level</p> <p>Builds confidence in UoN's services to the broader community</p> <p>Uses external commercial and philanthropic networks to position the organisation favourably</p>
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* Stakeholders are our staff and students, international, national and regional communities, our conjoints, alumni, friends and benefactors.

2. ORGANISATIONAL PLANNING & PROJECT MANAGEMENT

Manages time, resources and projects effectively and efficiently to achieve successful outcomes.

	HEW 1-3	HEW 3-5	HEW 5-7	HEW 7-8	HEW 9-10
2.1 Plans and organises	Performs work under established guidelines and procedures and seeks clarification as required	Appropriately organises workload and considers impact on others to achieve results Efficiently locates and accesses information as required	Prioritises effectively and achieves defined targets Gathers and assesses information and develops recommendations as part of the longer term planning process	Takes a flexible approach to planning in order to meet unforeseen circumstances Determines staff priorities and considers the impact of work across other areas	Demonstrates an advanced knowledge of planning and organisational methodologies Makes a strong contribution to the development of operational and business plans for Faculty/Division
2.2 Implements plans	Contributes to achieving team work objectives	Regularly tracks progress on work tasks Uses past experience to implement efficiencies and reduce the likelihood of particular problems recurring	Develops and implements procedures to plan and organise own and/or team's performance Anticipates and addresses barriers to work plans	Implements approved plans, communicates objectives and monitors and reports on progress Mitigates anticipated and actual barriers to achievement of goals and delegates tasks effectively	Communicates with key stakeholders in overseeing the implementation of plans Ensures the availability of resources and adapts plans and/or resource allocations in response to changing organisational priorities
2.3 Initiates and plans projects	Actively contributes to and supports the project and project team	Contributes to the development of project schedules and plans	Checks project and deliverable details prior to commencing work to ensure clarity of purpose Adjusts priorities in response to changing circumstances and minimises last minute emergencies Provides clear communication to key stakeholders on project accountabilities, goals,	Develops project plans, schedules and budgets, clearly defines tasks and resource allocation Identifies project deliverables, constraints and outcomes Contributes to the development of a strategic planning process for projects	Coordinates internal and external environments to ensure successful project outcomes Directs project scope, budget and communications and determines project risk Builds a project management culture, bringing together, motivating and successfully

			progress and measurable business impact		managing multi-functional project teams
2.4 Controls, monitors and evaluates projects	Brings potential problems to the attention of the project leader in a timely manner	Identifies areas for improvement after project close	<p>Is responsible for meeting time, budget and quality requirements on parts of the project</p> <p>Encourages feedback after project close and participates in the evaluation of outcomes</p> <p>Drafts recommendations for process change</p>	<p>Manages project delivery and reporting</p> <p>Controls and monitors human and financial resources, planning and risk management activities</p> <p>Takes corrective action when projects are at risk and contributes to the continuous improvement process</p>	<p>Implement systems for monitoring and evaluating effective management of resources</p> <p>Ensures that project risks are managed effectively and appropriate strategies are in place to respond to variance</p> <p>Recognises when a project is flawed and should not proceed further and argues the case convincingly</p> <p>Ensures project is integrated and consistent with other projects; does not work in isolation</p>

3. PROFESSIONAL & TECHNICAL EXPERTISE

Applies and improves specialised technical/profesional knowledge, skills and judgment to achieve outcomes.

	HEW 1-3	HEW 3-5	HEW 5-7	HEW 7-8	HEW 9-10
3.1 Knows role and organisation	Demonstrates an understanding of what is expected of them in their role and how their role contributes to team objectives	Demonstrates an understanding of their role and expectations in the context of their area and the university Demonstrates and consistently applies policies and procedures required to ensure efficient delivery Understands technical/procedural aspects of own job	Uses knowledge of own area to contribute to thinking on future organisational direction Understands and consistently applies professional and technical standards and University policy and procedures Uses understanding of the operating environment to organise work	Demonstrates a good understanding of all aspects of the University business, the higher education sector and seeks links with own role Guides the application of relevant legislation, regulations, policy and procedures in the workplace Uses knowledge of UoN governance effectively and explains relevant legislation, regulations, policy and procedures to others	Has a detailed understanding of the higher education sector and updates self on sector initiatives Monitors and ensures compliance with legislative, regulatory, policy and procedural requirements in the work area Accurately assesses the evolving institutional climate and accordingly develops business plans and activities
3.2 Develops and maintains capabilities	Demonstrates interest and willingness to learn and develop skills	Actively seeks learning and development opportunities	Continuously builds knowledge, keeping up to date on the professional, technical or procedural aspects of the job Demonstrates reflective practice that contributes to a positive impact on the quality of work outcomes	Identifies opportunities for own and colleagues development Models reflective and analytical practice and encourages staff to improve the quality of work outcomes	Adopts a continuous learning approach to developing their leadership capability and management competencies Maintains professional accreditations Encourages staff to interact with fellow professionals and professional associations
3.3 Develops and reviews policy	Understands and utilises instructions, procedures and	Remains up to date with policy and procedural changes	Demonstrates knowledge and acceptance of standards, legislation, policies and	Ensures compliance with, and role models behaviours relating to legislation, standards, regulations,	Maintains awareness of the potential impact of external regulatory and compliance requirements that may affect

	<p>documentation in own area to meet expected standards</p> <p>Clarifies responsibilities in relation to policy implementation</p>	<p>Assesses the application of policy in the workplace and reports observations to their supervisor</p>	<p>procedures relevant to the role</p> <p>Utilises an understanding of external trends to provide suggestions for improvements in organisational policy and procedures</p>	<p>policies and procedures that apply to their work</p> <p>Ensures ongoing review and refinement of policy in response to changing circumstances</p>	<p>the University and factors those impacts into decision making, planning and delivery</p> <p>Effectively delivers institutional policy messages and provides guidance and expert advice to others in the development and review of policy</p>
<p>3.4 Technical knowledge</p>	<p>Identifies and selects the most appropriate technology for assigned tasks</p> <p>Identifies new technologies and reports findings to supervisor</p>	<p>Applies sound knowledge of technology applications relevant to role</p> <p>Identifies opportunities to use new technology and reports to supervisor</p>	<p>Provides suggestions in regards to technology enhancements and updates</p> <p>Develops policy and procedural documentation for use of the technology in the work area</p>	<p>Identifies ways to leverage the value of technology and achieve work efficiencies, using the workplaces' existing technology</p> <p>Guides and supports the implementation of technology in their area of work</p>	<p>Maintains a level of currency regarding emerging technologies and how they might be applied to support organisational outcomes</p> <p>Evaluates and makes recommendations on technology solutions to improve the efficiency and effectiveness of the University</p>

4. BUSINESS UNDERSTANDING & BUSINESS INTELLIGENCE

Builds and maintains a wide knowledge and understanding of the business environment and uses methods and techniques to transform data into meaningful and useful information for the University.

	HEW 1-3	HEW 3-5	HEW 5-7	HEW 7-8	HEW 9-10
4.1 Understands and applies business basics and financial knowledge	<p>Displays an understanding of basic business functions, terminology and processes</p> <p>Ensures accuracy in calculating and recording financial data</p> <p>Understands obligations relating to use of resources</p>	<p>Considers costs and efficiency when using resources</p> <p>Demonstrates awareness of financial delegation principles and processes</p> <p>Actively seeks efficient and cost effective ways to do things</p>	<p>Considers financial and budgetary implications during planning and decision-making</p> <p>Demonstrates basic proficiency in analysing financial reports and advanced skills in drawing inferences</p> <p>Correctly defines resourcing requirements for a specific task</p>	<p>Considers impact of funding allocations on planning and budgeting</p> <p>Demonstrates competence in financial analysis and reporting to identify and critically analyse trends for work area</p> <p>Maintains an awareness of university sector, government and economic influences</p>	<p>Uses knowledge of budgeting, financial planning and performance tracking to provide tactical direction to contribute to the University's financial goals</p> <p>Identifies key business drivers and market competitors and demonstrates agility in responding to market trends and demands</p> <p>Considers the broader, long-term implications of actions including the impact on governance, finance and technology as well as social and environmental considerations</p>
4.2 Manages risk	<p>Recognises their role and responsibilities in contributing to a safe work environment</p>	<p>Identifies and documents problems and offers possible solutions to ensure a safe work environment</p> <p>Understands the risk and liability factors associated with their role and the team</p>	<p>Demonstrates an understanding and application of relevant health and safety principles</p> <p>Monitors progress of all new initiatives with a view to avoid mistakes and limit risks</p>	<p>Exercise due diligence to ensure work health and safety risks are addressed</p> <p>Understands the operational risks and liabilities for the area and is able to</p>	<p>Monitors and ensures compliance with health and safety policy at the institutional level</p> <p>Exhibits a sophisticated understanding of various risks and liabilities and</p>

			Implements quality and risk management processes	recommend pre-emptive or corrective action Applies a strong knowledge of quality and risk management techniques	appropriate strategic mitigation practices Manages risk, benefits and priorities of the organisation to deliver results against corporate objectives
4.3 Undertakes analysis	Assists with basic data collection Builds knowledge and awareness of information sources to aid research and analysis	Employs a methodical, logical approach when analysing basic data and ensures accuracy Considers data from numerous sources to make informed conclusions and recommendations	Applies expertise in analysing and interpreting data Recognises patterns and trends and draws out key information from complex data	Demonstrates sound knowledge of information and data analysis techniques Interprets data to make multiple causal links and considers consequences of actions	Adds value to the analytical process through the compilation, evaluation and analysis of information and professional input Uses several analytical techniques to identify possible solutions, and evaluates the value and benefits of each solution
4.4 Undertakes benchmarking	Identifies emerging trends and reports information to supervisor	Under the guidance of supervisor, benchmarks activities to support organisational objectives	Analyses trends and issues within the sector and wider community to support organisational objectives	Actively develops a wide range of contacts with Universities and external agencies for conducting benchmarking activities	Understands the strategic consequences of emergent trends and developments and applies this understanding to create an effective organisational response

5. CREATIVE & STRATEGIC THINKING

Considers options, harnesses opportunities and develops, implements and monitors solutions to align with organisational objectives.

	HEW 1-3	HEW 3-5	HEW 5-7	HEW 7-8	HEW 9-10
5.1 Uses initiative	Contributes to team initiatives to improve efficiency and effectiveness	Identifies opportunities to improve efficiency and effectiveness of team processes or team outputs Contributes ideas and perspectives to unit planning	Identifies tasks to be undertaken and takes appropriate action Thinks beyond the apparent limitations of the situation to consider more effective ways of operating	Anticipates obstacles and promotes opportunities to effect business improvements or provide market advantage Designs innovative practices, processes and procedures which minimise negative flow-throughs	Adopts a long-term view of the University strengths and weaknesses and diagnoses trends, obstacles and opportunities in the internal and external environment Promotes a culture which encourages the creation of innovative approaches and solutions, and values business improvement
5.2 Solves problems	Contributes to team initiatives to resolve problems and notifies supervisor of problems as they arise	Uses experience and knowledge of work area to assist in the development of solutions for day-to-day problems Refers problems on that remain unresolved and makes recommendations	Monitors activities and identifies, analyses and considers multiple options when resolving work problems Develops a range of solutions and tests likely outcomes	Evaluates solutions pre and post implementation based on likely institutional impact and advises on alternative actions accordingly Instructs and guides others in the process of resolving problems	Consults widely and encourages joint ownership in solutions developed Considers contingency plans to problem solving initiatives
5.3 Aligns actions with strategic direction	Actively participates in PRD process through reflecting on performance, and prompts discussions and offers suggestions to improve outcomes with supervisor	Aligns PRD goals with UoN strategic goals and modifies own work to ensure it aligns with work unit objectives Negotiates clear performance standards and monitors own progress	Identifies team goals linked to strategic objectives and develops individual PRD goals required to meet these objectives Consults with team members to establish a shared	Considers the University's long-term strategic objectives when translating the Faculty/Division's strategy into meaningful individual PRD objectives and targets	Role models and champions use of the PRD as a tool to manage staff performance, drive development of institutional capability and undertake succession planning

		against performance goals on an ongoing basis	understanding of roles and responsibilities within the team	<p>Defines and clearly communicates roles and responsibilities to achieve team/unit outcomes</p> <p>Develops team/unit plans that take into account team capability, strengths and opportunities for development</p> <p>Provides regular constructive feedback to build on strengths and achieve results</p> <p>Addresses and resolves team and individual performance issues, including unsatisfactory performance in a timely and effective way</p>	<p>Refines roles and responsibilities over time to achieve better business outcomes</p> <p>Implements effective approaches to identify and develop talent within unit/division and across the institution</p> <p>Coaches and mentors staff and encourages professional development and continuous learning</p> <p>Creates a vision of the institution and its future that directs and inspires the workforce</p> <p>Develops strategic initiatives that impact on programs or major functional areas</p>
5.4 Proactively responds to change	Adapts skills and knowledge to new situations	Actively seeks to broaden skills, shows initiative in suggesting changes and improvements to own work and the broader work area	Actively seeks to understand the need for change, engenders staff support and motivates team to consider and suggest new ideas	<p>Recommends and implements change and develops strategies to overcome resistance to change</p> <p>Actively communicates and consults with staff affected by change</p>	<p>Plans and monitors the change process, and ensures clarity in relation to desired outcomes</p> <p>Allocates appropriate resources to the change process</p>

Acknowledgements: *Victoria University – A Guide to Support the Development of Leadership Management Capability at Victoria University and NSW Public Sector Capability Framework*