



**PCAS 15 (2012/2013)**

**Supervised Project Report (ANTA604)**

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***A Proposed People Capability Framework for Antarctica  
New Zealand***

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**Executive Summary:**

Antarctica New Zealand's purpose is to further New Zealand's strategic interests in the Antarctic and the Southern Ocean. In late 2012 the Senior Management Team at Antarctica New Zealand identified the need to extend their existing Learning and Development system and adopt a sustainable framework for development of all staff across the organisation, with a particular focus on developing leadership capability. Developing employee capability creates a win-win situation where the organisation benefits from a more skilled, knowledgeable and capable employee, while the staff member gains additional skills, personal growth and enhanced career prospects. The proposed People Capability Framework is intended to structure how learning opportunities are identified and delivered to all staff across Antarctica New Zealand. The proposed Framework is drawn from recent research in the field of leadership capability, and reflects models of leadership development undertaken by Antarctica New Zealand in the past. Objectives for the proposed Framework include; providing a framework for objectively assessing and developing people across Antarctica New Zealand, managing talent and developing people to reach their full potential, and where possible, identifying possible career development pathways within Antarctica New Zealand.



*Antarctica and the Southern Ocean  
- valued, protected, understood*



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## **Acknowledgements**

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This project contains references to internal policy and procedure documents, which have been reproduced by permission of Antarctica New Zealand. Please contact the author before publishing or circulating this report.

## Antarctica New Zealand – an Introduction

Antarctica New Zealand's purpose is to further New Zealand's strategic interests in the Antarctic and the Southern Ocean. Following the signing of the Antarctic Treaty in 1959 the Antarctica Act (1960) ratified the Antarctic Treaty into New Zealand law. Antarctica New Zealand is the Crown Entity responsible for developing, managing and executing New Zealand activities in Antarctica and the Southern Ocean, in particular the Ross Dependency.

Antarctica New Zealand manages Scott Base, New Zealand's Antarctic research station, and has its main headquarters in Christchurch. Key activities include supporting scientific research, conserving the intrinsic values of Antarctica and the Southern Ocean, and raising public awareness of the international significance of the continent.

Corporate Services Manager Peter Smith describes Antarctica New Zealand's journey in terms of organisational development over recent years as shifting the culture from a 'power' based culture, to an 'accountability' based culture. Accountability relies on the use of judgement, rather proscribed rules, as an aid to decision making.

In speaking with Antarctica New Zealand managers' and staff I found they clearly articulated that sustainability, continuous improvement and health, safety and environment are core values of Antarctica New Zealand. For Antarctica New Zealand, environmental sustainability means taking account of the impact of our footprint on the resilience and adaptability of the physical environment in Antarctica. Economic sustainability means creating sufficient value to maintain the financial resources needed to meet the purpose of the organisation. The current economic environment requires that the organisation continuously improves efficiency and value in all the work done. The work of Antarctica New Zealand is dominated by seasonal cycles, which impacts all the annual cycle of human resources and business planning processes.

To support its purpose, Antarctica New Zealand developed a learning and development system in 2009 for evaluating and developing seasonal staff at Scott Base. As part of that process, the induction programme for new Scott Base staff was completely revised, and became the Antarctica New Zealand Awareness Programme. As a priority for 2013, Antarctica New Zealand identified the need to adopt a sustainable framework for development of all staff across the organisation, with a particular focus on developing leadership capability.

## Project Scope

The scope of this PCAS project involved reviewing the human resources learning and development tools and policies currently in place in Antarctica New Zealand, and reflecting on current research and best practice, to develop a framework to support learning and development across all Antarctica New Zealand staff. The project involved seeking feedback from a diverse set of senior managers, encompassing a range of values and approaches to leadership and capability.

The purpose of this project was create a framework to support Antarctica New Zealand's Senior Management Team to create and support a continuous learning culture which strengthens leadership capability, cultural and organisational values and core skills and competencies necessary to perform a particular role.

The proposed People Capability Framework is intended to structure how learning opportunities are identified and delivered to all staff across Antarctica New Zealand.

Objectives for the People Capability Framework include:

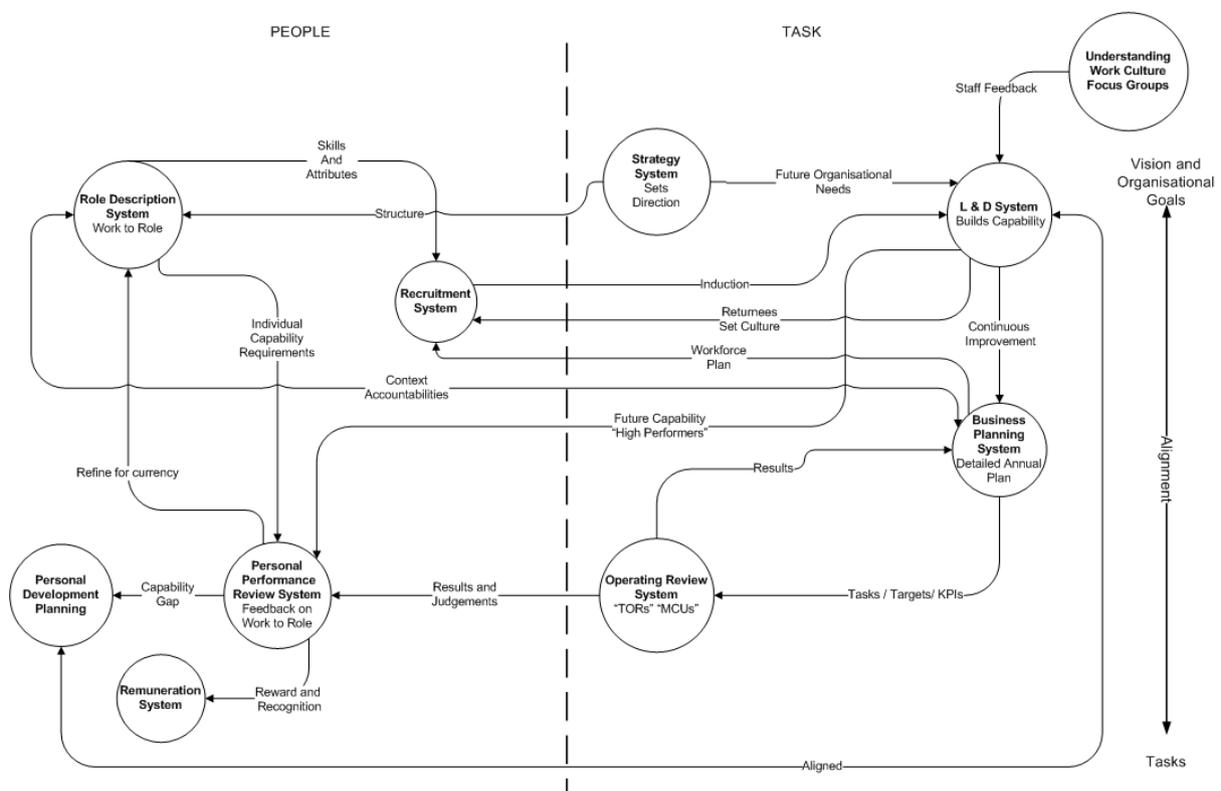
- Providing a framework for objectively assessing and developing people across Antarctica New Zealand
- Managing talent and developing people to reach their full potential
- Identifying possible career development pathways within Antarctica New Zealand
- Another tool to assess and develop performance.

This project also signposts opportunities for process improvement across a number of linked Human Resource processes and tools.

## Antarctica New Zealand – overview of current policies and processes

As a small organisation with a large seasonal turnover where a group of staff work in a remote and often complex location, Antarctica New Zealand has developed a remarkably robust series of Human Resources policies and processes. These include comprehensive Role Descriptions, a full Recruitment process for permanent and fixed term staff, the Personal Performance Review (PPR) process and a Learning and Development System. More importantly, managers reported regarding these tools as important when measuring and developing organisational performance, and also in encouraging a shift in values towards a sustainable, accountability based culture.

The evolving processes and systems present in Antarctica New Zealand are summarised in Figure 1 below.



**Figure 1: Interrelationships between systems and processes in Antarctica New Zealand (reproduced by permission).**

The PPR process is a straightforward performance and development review process and involves developing a Professional Development Plan (PDP) for each staff member based on the Role Description and the individual’s particular needs, (a sample Role Description is provided in the Appendix). Performance reviews reveal competency gaps which can be built into development plans, and also reveal personal growth goals and ambitions which give the organisation the opportunity to build greater alignment with people by supporting them

develop. The PPR process is described in Figure 2 below, and process reviews and improvements are conducted by the Human Resources Advisor, as necessary.

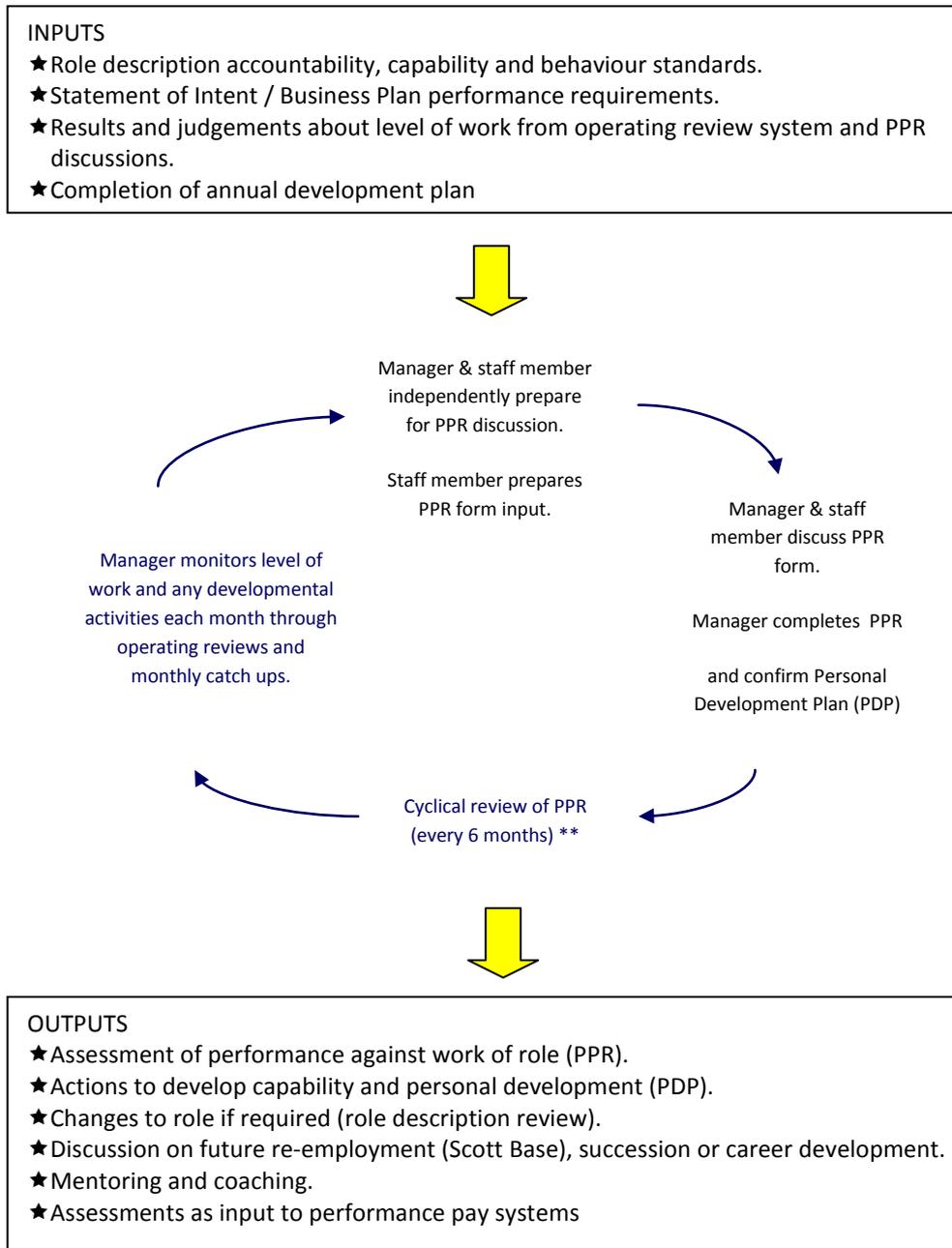


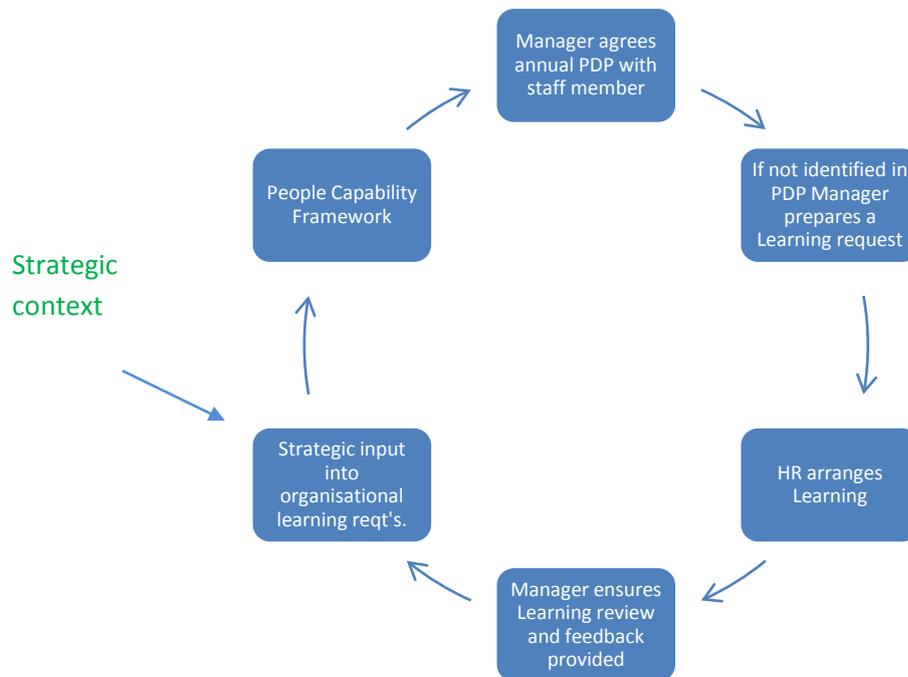
Figure 2: Antarctica New Zealand Planning and Performance Review cycle (reproduced by permission).

Senior managers reflected that areas of development identified for individuals in PDPs were addressed in different ways by different managers, and a variety of tools and methodologies were used to assess learning needs. Managers expressed an interest in developing a common understanding of competencies or capabilities across the organisation, which linked directly to a common set of tools or opportunities for development and retention of existing staff, and also link to recruitment of new staff. The proposed People Capability Framework fits into the existing PPR process, as described in Figure 3 below.

## System overview

### Inputs:

- Strategic context
- People Capability Framework
- Development needs analysis (Personal Performance Review system)
- Development needs addressed through Personal Development Plan



### Outputs

- Continuous learning culture

Figure 3: Fit between PPR process and proposed People Capability Framework

In advance of examining the organisational development literature, we reflected on the nature of roles to be developed within Antarctica New Zealand. Learning needs exist across segments and across the organisation as a whole. The main segments are; Leadership (e.g. managers, team leaders and aspiring leaders), Functional segments (e.g. finance, IT) and other team/role groups (e.g. core competencies such as planning, project management).

Given the structure of Antarctica New Zealand and feedback from managers on the importance of developing leadership capability within the organisation, a particular focus was given to examining the research devoted to leadership development. As the research discussed in the next section demonstrates, we considered it most effective to develop a capability framework to be applied across the whole organisation.

## Leadership capability development – an overview of the literature

Research has found that quality development planning builds engagement and retention of employees as well as helps them develop their capability. Early work exploring human capability examined matching persons to jobs in work settings, and how matrices and other measures could assess task and team performance (Dunette, 1982). More recent research suggests developing employee capability creates a win-win situation where the organisation benefits from a more skilled, knowledgeable and capable employee, while the staff member gains additional skills, personal growth and enhanced career prospects. In their book Systems Leadership: Creating Positive Organisations MacDonald, Burke & Stewart (2012) emphasise that a positive organisation is one where each persons' skills and abilities match the work they are required to do.

Research relating to organisational capability often relates to strategic level resourcing of organisations, and the capacity of organisations to respond to change. Teece, Pisano & Shuen (1997) defined dynamic capabilities as "the firm's ability to integrate, build and reconfigure internal and external competencies to address rapidly changing environments" (p. 517). Building on the research base, Helfat, Finkelstein, Mitchell, Peteraf, Singh, Teece & Winter (2007) described dynamic capabilities as "the capacity of an organisation to purposely create, extend or modify its resource base." (p.4). Helfat et al (2007) provided a discussion of how creating, adapting to and exploiting change is essential to organisational growth and survival, and how dynamic capabilities of organisations relate to strategic management theories.

Strategic leadership development literature takes the perspective that leadership development is an ongoing process, with the advantage of having learning and development occur every day rather than only when programmes or other kinds of events or interventions are scheduled (Vicere & Fulmer, 1998). To make development sustainable and not just rely on an episodic or programme-focused approach, managers need support to take advantage of the all important on-the-job learning, rather than being left alone to try and integrate learning from leadership development programmes into a personal development plan (Day, 2011).

To be effective, succession planning needs to go beyond merely identifying potential future leaders to also understanding the developmental needs of individuals and arranging the appropriate experiences to help them learn and develop (Day 2011). Antarctica New Zealand has some tools in place to identify high performers in the seasonal Scott Base staff, and the existing PPR process and small size of the organisation makes it possible for Senior Managers to quickly identify key roles across the organisation. Without a sound link to on-going leader development, initiatives that exist at present could more closely resemble "replacement planning" (Berke, 2005).

The adoption of a development framework makes it more likely that promotion opportunities can be identified for which individuals are properly prepared (Day, 2011). A whole of organisation approach which is linked to the performance review process will also

increase the chances of a new organisational development framework being successful (Vicere & Fulmer, 1998).

The Learning and Development Roundtable on the job learning survey shows that on-the-job learning has a learning impact three times higher than formal training programmes (Learning and Roundtable, 2009). Howard & Wellins, (2008) found that the most crucial element of on the job learning is feedback. Antarctica New Zealand has reflected this research by encouraging staff to be more aware of their own development needs and how the experiences they are having every day can provide opportunities for development.

Examples provided by Antarctica New Zealand managers of opportunities for “stretch tasks” which enhance on-the job learning include; increased job scope expansion (stretch assignments, job rotations), challenging relationships (working with difficult people, working with people with contradictory views), change and adversity (handling a problem or crisis at work), persuading and teaching (teaching colleagues about an aspect of their work or role), decision making (making decisions outside immediate area of expertise).

While it is beyond the scope of this project to go into detail on the cultural context of leadership and capability, it is helpful to reflect on the cultural context of much of the research and how this could relate to organisations in the wider State sector in New Zealand. Chemers (1984) summarised contemporary leadership theory up until the early 80s, making the comment that much of the research had reflected studies done in European and North American samples, and that cross-cultural research on leadership had been characterised by weaker methodologies and difficulties in exploring relationships between organisational policy, structure and culture. From a New Zealand perspective, Orams (2009) provided an engaging account of how great kiwi leaders have influenced and shaped how we think of capability and success. Orams (2009) describes how Sir Edmund Hilary has almost become a stereotypical kiwi leader, someone with a humble background, a person who was adventurous, practical, physically strong and incredibly modest. Orams’ (2009) reflections on the importance of success and humility in our leaders today has some resonance for developing a leadership capability framework for Antarctic New Zealand given Sir Ed’s pioneering role in the Antarctic in the late 1950s.

MacDonald et al (2012) discuss in detail the importance of *social process* in creating, improving and sustaining successful organisations. Social process skills are those skills that give the ability to read social situations, understand the underlying social processes, and to influence those processes effectively. It is as important to understand social processes in detail as it is to understand the detail of technical processes, and this understanding is crucial to effective leadership.

Managers and leaders, particularly across the wider state sector, need to produce and influence change in areas not just within their authority, but also in areas outside their control (Middleton, 2007). Citing that a measure of a person’s power is that their circle of influence is greater than their circle of control, the key message in this text reflects that of other authors, that social process is a key capability in developing individuals within an organisational context (Middleton, 2007).

Drawing upon the structure provided by MacDonald et al (2012) we examined the five *capabilities* or critical elements required to select and develop a person into a role:

- Knowledge
  - What people collectively, and individually know
- Technical Skills
  - Proficiency in a person's use of knowledge
- Social Process skills
  - Skills that give the ability for a person to read social situations, understand underlying social processes and influence those processes productively
- Mental Processing Ability
  - Ability of a person to take information, analyse it, put it together, reorganise it, judge and reason and draw conclusions (Jaques, 1989).
- Application
  - The effort and energy that a person puts into applying the other elements of capability to their work.

MacDonald et al's (2012) critical elements, or capabilities fit well with models used in previous leadership development work done by the Senior Management Team at Antarctica New Zealand. Arising in part from Jacques & Carson's (1994) book Human Capability the critical elements proposed by MacDonald et al (2012) are more straightforward, and have the advantage of separating skills from knowledge. MacDonald et al's (2012) work also separates the concept of capability from popular "building blocks" such as competency and experience; both highly relevant terms which are necessary to perform different skills.

MacDonald et al (2012) acknowledge the role of *nature vs. nurture* and there is strong evidence that knowledge, technical skills and social process skills can be learned. It appears that mental processing and application are more likely to be "hardwired" and so identifying learning and development opportunities will be less relevant. For this reason, we adopted the capabilities Knowledge, Technical Skills and Social Process Skills for our proposed framework. It is important to note that capabilities are designed to support the performance of roles across the organisation. Just as when we are considering competencies or accountabilities in a role description, we need to separate the person from the role they are performing (MacDonald et al, 2012).

Evaluation of leadership development can be complex, as we seek to understand whether investment is worthwhile, whether initiatives have been successful, what works best and how can initiatives and improvements be sustained (Hannum, Martineau & Reinelt, 2007). Day (2011) acknowledges that the research into effective and practical evaluative strategies appear not to have improved in the last decade, and provides some pointers for more successful evaluation. A system-wide approach, taking into account a range organisational factors and including not just leadership roles is most successful (Day, 2011). We will further consider aspects of evaluation referred to in Hannum et al (2007) later in this report.

## Methodology

The project involved working with senior managers to develop a capability framework to describe the attributes; skills, knowledge and behaviours that may be expressed through attitudes, traits and motives required by particular roles at different levels of the organisation. Senior managers involved in the project were tier 2 managers (those who directly report to the Chief Executive) and the Chief Executive. An organisational chart can be found in the Appendix.

In the initial meeting with managers, the project was outlined and the context in terms of existing tools and scope was provided. Examples of competency and capability frameworks in large State Sector organisations in Christchurch were provided as examples, and strengths and weaknesses of these models were discussed.

Working closely with Peter Smith, the Corporate Services Manager a proposed capability framework was developed, incorporated existing tools outlined by the Human Resources Advisor to address development gaps and linked to competencies required in role descriptions.

Antarctica New Zealand have considered how best to maximise value from their small Learning & Development budget, and seek to align learning goals with the most effective teaching methods. We considered existing approaches and new opportunities, and an example is provided below:

<b>Generic Learning Goal</b>	<b>Teaching method</b>
Information acquisition	Predominantly information transfer – books, periodicals, on-line sources. Self-study options.
Skills development	Some information transfer (as above) plus demonstrations, exercises, hands-on practice.
Behaviour change	Largely face-to-face instruction and feedback, discussion groups, and facilitation.

In reviewing the available options, we sought a particular framework which integrated well with previous leadership development work done by the Antarctica New Zealand Senior Management Team. We incorporated feedback from managers into the design.

We presented the draft framework to the Senior Management Team for their feedback (see Appendix for a copy of the presentation).

The proposed People Capability Framework is provided in draft form in the Appendix. Next steps include the Antarctica New Zealand HR Advisor working with managers to finalise the framework, and update other Human Resources tools, policies and procedures as necessary.

## Proposed People Capability Framework

The proposed Framework adopts the capabilities described by MacDonald et al (2012); Knowledge, Technical Skills and Social Process Skills to structure learning and development opportunities for people working for Antarctica New Zealand.

The proposed Framework has been prepared in order to encourage all staff, and particularly those based in Christchurch to take up learning opportunities and show how they link into Antarctica New Zealand's learning strategies.

By developing capabilities across Antarctica New Zealand, we outline our expectations for each position in line with structured opportunities for learning and development. As a result Antarctica New Zealand will have a comprehensive understanding of what is needed from staff across the organisation – and how they can be developed.

An outcome statement from adoption of the proposed Framework is given below:

“As staff and managers, we will be able to confidently describe expectations for positions, recruit new people with the right skill level for the right job, review performance against clearly articulated standards for our positions, confidently identify our success and developmental needs and work on development plans to close any gaps and up skill our workforce for the future.”

The proposed Framework outlines development opportunities available to advise people on the range of potential opportunities available and how they can best support their individual personal development plans. It does not include stretch task opportunities which will be very specific to individual staff members and their respective roles. The proposed Framework plan will cater to individual learning style preferences wherever possible.

The proposed Framework identifies and structures learning needs across the organisation, drawing together feedback from the Senior Management Team in relation to strategy setting and planning, workforce planning and the skills and capabilities necessary to meet future business requirements. The proposed Framework has integrated existing organisation-wide learning needs such as:

- New staff induction (e.g. awareness training)
- Organisational models, values and behaviours (e.g. zero harm)
- Organisational core competencies (e.g. team work, continuous improvement)
- Microsoft Office tools, Sharepoint.

The proposed Framework also provides new opportunities for Antarctica New Zealand to explore new opportunities to develop Learning and Development interventions. Sharing information across the organisation about standard interventions so individuals can develop an understanding of a common methodology will be possible. Linking to development opportunities at the University of Canterbury is also something to consider down the track. A summary of the Knowledge section of the framework is provided below in Figure 4.

Capability	Competency (linked to Role Description)	Tool/Opportunity
<b>Knowledge</b>  What people collectively, and individually know	Knowledge of Antarctica New Zealand	Induction
		First Aid Training
		Environmental Code of Conduct
		Scott Base In brief on arrival Antarctic Field Skills
	Consider areas of Accountability listed in the Role Description	Discuss possible interventions with HR Advisor

Figure 4: Knowledge capability section of the proposed People Capability Framework

The Technical Skills capability has many of the competencies already contained in the Role Descriptions, and reflects the detailed and extensive training already offered by Antarctica New Zealand, particularly to Scott Base staff. By including this in the proposed Framework, managers will make opportunities to participate in these opportunities more available to Christchurch staff who would benefit from attending.

Capability	Competency (linked to Role Description)	Tool/Opportunity
<b>Technical Skills</b> Proficiency in a person's use of knowledge	Health, Safety and Environment	Health and Safety Awareness training (part of induction for all new staff) See also Environmental Code of Conduct, above.
		Fire training
		SAR
		Incident Command System (ICS)
	Continuous improvement	Microsoft Office Suite/Sharepoint
	Consider areas of Accountability listed in the Role Description	Discuss possible interventions with HR Advisor

Figure 5: Technical Skills capability section of the proposed People Capability Framework

Social Process skills is the most important capability to be developed across Antarctica New Zealand, and for this reason this particular part of the proposed Framework will benefit from further work in house. Managers were interested in seeing the relationships between various competencies listed in Role Descriptions, with the in house and external opportunities available.

Capability	Competency	Tool/Opportunity
<b>Social Process Skills</b>  Skills that give the ability for a person to read social situations, understand underlying social processes and influence those processes productively	Leadership	A variety of Leadership Interventions
	Coaching	Option of collaboration with UC
	Cultural appropriateness	Tikanga Maori
	Working as part of a team	Work collaboratively with others, developing partnerships and networks to support attainment of operational goals.
	Translating thinking into action in support of the strategic objectives set by Antarctica New Zealand	Personal ability to appreciate own strengths and weaknesses and effectively relate to peers, employees and others in a manner that promotes collaboration and goal attainment.  Project Management and Planning
Consider areas of Accountability listed in the Role Description	Discuss possible interventions with HR Advisor	

Figure 6: Social Process Skills capability section of the proposed People Capability Framework

## Conclusion and next steps

The proposed Framework reflects current research and best practice and also reflects feedback from Antarctica New Zealand managers about what will work for them. The proposed Framework will link directly to learning and development opportunities within the Canterbury region, with a specific focus on developing leadership capability across the team at Antarctica New Zealand. The proposed Framework is presented in draft form as the next stage involves staff within the organisation completing aspects of the Framework to ensure it is fit for purpose, and updating and integrating existing policies and procedures as required.

Next steps for Antarctica New Zealand to consider in further developing the proposed Framework include:

1. Further populating competencies, to ensure that the full range of requirements from Antarctica New Zealand Role Descriptions are included.
2. Further populating the development opportunities listed in the framework to reflect current practice across Antarctica New Zealand and new opportunities.
3. Consider whether language and definitions need to shift slightly across Antarctica New Zealand Human Resources policy and process documents (with a particular focus on Role Descriptions and the PPR cycle).
4. Consider whether further development opportunities can be explored with the University of Canterbury and other providers.
5. Foreshadow the introduction of the Framework with staff and managers in the short term.
6. Take managers through a “how to” session on using the Framework in the second quarter of 2013.
7. Roll the framework out to staff as part of the mid-year PPR cycle.
8. Consider the Framework as a “living” document which is constantly updated by the HR Advisor.
9. Include the Framework in the suite of tools, policies and processes audited as part of Antarctica New Zealand’s commitment to continuous improvement.

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## **Appendix**

- A: Sample Role Description
- B: Antarctica New Zealand Leadership Structure
- D: Presentation to Managers as part of feedback process
- E: DRAFT People Capability Framework



## ROLE DESCRIPTION

Date of Last Review: September 2012

<b>Title</b>	Accountant		
<b>Incumbent</b>		<b>Role Stratum</b>	II

### LOCATION

<b>Branch and Section</b>	Corporate Services Team	<b>Geographical Location</b>	Christchurch
<b>Manager's Title</b>	Manager Corporate Services	<b>Manager Once Removed Title</b>	Chief Executive

### CONTEXT

Antarctica New Zealand is a Crown Entity established on 1 July 1996 under the New Zealand Antarctic Institute Act to develop, manage and execute New Zealand's activities in respect of Antarctica and the Southern Ocean.

Our purpose is to further New Zealand's strategic influence and interests in relation to Antarctica and the Southern Ocean. Our highest priority is to ensure the health and safety of all people involved in the Antarctic programme.

The driving goal of the Government is to grow the New Zealand economy in order to deliver greater prosperity, security and opportunities to all New Zealanders. In particular it is seeking a more focused, efficient and productive state sector that delivers services differently and more cost effectively.

To achieve our organisational purpose in the long term and meet the Government's productivity priorities we have adopted a sustainability focus (in social, environmental, and economic terms). We have also introduced the philosophy of *lean* with tools and techniques such as continuous improvement to help drive performance within tight fiscal constraints.

The Government has signalled that cost pressures must be managed over the medium term and it expects Crown Entities to maintain a thorough understanding of business cost drivers. Current work in progress includes the roll out of a new costing model to demonstrate this and to move the organisation to a higher level of financial management. Antarctica New Zealand's activities are conducted from two permanent locations - Christchurch NZ and Scott Base in Antarctica. Our work is dominated by seasonal cycles, which impacts all the annual cycle of processes.

The Crown Entities Act 2004 was implemented to improve Crown Entity governance and accountability, and to better integrate Crown Entities with the rest of the State Services. Our financial statements are audited by Audit New Zealand who reports its findings to the Office of the Auditor General. These reports are also tabled annually as part of the Select Committee's financial review process.

As well as maintaining its own financial records Antarctica New Zealand also maintains the books of the ANDRILL joint venture (currently in a semi dormant state awaiting selection of a new drill site and commitment of joint venture parties to both the science and the logistics costs) and the New Zealand Antarctic Research Institute -NZARI(a charitable trust established in March 2012 for the purpose of supporting Antarctic scientific research with funding provided by philanthropists).

Corporate Services (comprising HR, Finance, Information Services (IS) and Administration) provide the support services necessary for operational teams to achieve organisational goals.

The Accountant and the Corporate Services Manager are the only accounting specialists in Antarctica NZ. The Administration team provides accounting assistance for Accounts Payable and the Accountant is supporting the development of the Administration Officer's finance knowledge.

## WORK ENVIRONMENT

### Critical Work Environment Issues

#### Christchurch

This role is office based and is predominantly computer based. This environment will require attention to health and safety issues that emerge through the heavy use of computers.

## ROLE PURPOSE

The purpose of the Accountant is to provide specialist accounting services and advice to managers and staff in Antarctica New Zealand and various third parties (eg Treasury, MFAT).

## ROLE TYPE

Service

## ROLE ACCOUNTABILITIES

Areas of Accountability	Typical Behaviours which demonstrate work at the appropriate level	Performance Indicators which may be a result of the incumbent working at the right level
<b>Health, Safety and Environment (HSE)</b> Ensure the health and safety of people and the protection of the environment	Incidents are promptly reported and incident report documentation is completed.	Participates in incident investigations
		Challenges the unsafe acts of others
	Hazards are identified, promptly reported and hazard identification documentation is completed.	Demonstrates awareness of work area hazards and associated control plans
		Actively participates in HSE discussions
	All work promotes a culture of environmental stewardship and awareness of reducing impacts in NZ and Antarctica.	Makes HSE improvement suggestions
		PPE is worn at all times when required
<b>Business Plan Development and Implementation</b> Contribute to the annual planning process	Contributes to the annual planning process with particular focus on Accounting and Finance.	The annual finance plan and budget is completed on time.
		Finance Service Level Agreement is reviewed on an annual basis
	Implements the Finance Service Level Agreement	Planned objectives are achieved
<b>Finance Systems</b> Contribute to the development of organisational systems	Contributes to the design of finance systems and controls. Monitor and review their	Monitors compliance with finance systems, policies and procedures.

Areas of Accountability	Typical Behaviours which demonstrate work at the appropriate level	Performance Indicators which may be a result of the incumbent working at the right level
	<p>implementation in order to meet organisational goals. Systems include:</p> <ul style="list-style-type: none"> <li>• Budgeting &amp; forecasting</li> <li>• Payroll</li> <li>• Purchasing</li> <li>• Costing</li> <li>• Cash management and investment</li> <li>• Financial Management Information Systems</li> <li>• Statutory compliance</li> </ul> <p>Provides advice to the Manager Corporate Services about the improvement of systems.</p>	<p>The annual budget, monthly reforecasts, 4-year forecasts and statutory financial statements are approved by the Management Team and/or Board.</p> <p>Financial management information systems deliver appropriate information to support effective decision-making and legislative compliance.</p> <p>Finance systems are considered fit for purpose by the external auditors.</p> <p>Audit ratings are maintained at Very Good levels.</p> <p>Finance risks are identified and managed.</p>
<p><b>Provision of Advice</b> Assist Budget Managers to meet their financial management accountabilities</p>	<p>Provides appropriate accounting services and advice to managers and staff in order to meet organisational goals.</p>	<p>Accounting services provided to standards specified in the Service Level Agreement.</p> <p>Financial reports meet the needs of budget holders.</p>
<p><b>ANDRILL Joint Venture</b> Accounting services</p>	<p>Provides appropriate accounting systems and services to the Manager Operations and Infrastructure and joint venture parties in order to meet requirements of all participants.</p>	<p>ANDRILL finance systems are considered fit for purpose by the external auditors.</p> <p>ANDRILL financial statements receive an unqualified audit opinion.</p>
<p><b>NZARI Accounting services</b></p>	<p>Provides appropriate accounting systems and services to the NZARI Board and Director.</p>	<p>To the satisfaction of the NZARI Board and Director.</p> <p>NZARI taxation and Charities Commission compliance obligations are met.</p> <p>NZARI financial statements receive an unqualified audit opinion.</p>
<p><b>Team Membership</b> Contribute to high performing functional and cross functional teams.</p>	<p>Contributes as a team member to creating a high performing team and supports others to do their work of role.</p>	<p>Participates in discussions with team members in order to add value to their work.</p> <p>Acknowledged by team members as a valuable contributor to the success of the team.</p>

Areas of Accountability	Typical Behaviours which demonstrate work at the appropriate level	Performance Indicators which may be a result of the incumbent working at the right level
	Behaves consistently with Antarctica New Zealand's values and State Services Code of Conduct.	Feedback to Manager.  Shows courage in challenging the behaviour of colleagues that does not align with Antarctica New Zealand's values and State Services Code of Conduct.
<b>Learning &amp; Continuous Improvement (Kaizen)</b> Continually seeking ways to improve personal and organisational performance.	Participates in performance conversations, coaching and professional development.	Planned coaching and professional development actions are carried out. Training evaluations are completed and discussed with Manager or Team Leader.
	Contributes to knowledge sharing by creating and maintaining information in SharePoint.	Work related documents are stored and managed in SharePoint.  Personal paper copy records are minimised.
	Continuous improvement - Identifies ways to eliminate waste and improve performance, in a measurable way.	Incremental improvements are regularly implemented.  Improvements are logged into Kaizen initiatives database.
	Demonstrates a high standard of professionalism.	Commitments are honoured.  High quality work is performed.  Work environment is well organised and tidy.

## ROLE AUTHORITIES

ROLE	AUTHORITY
<b>Team member</b>	Access to work of other team members
	Initiate task review
	Seek review of team leader's decision
	Initiate review of fair treatment

## MINIMUM CAPABILITY NECESSARY TO WORK TO ROLE

CAPABILITY AREA	DESCRIPTION
Cognitive Power	<ul style="list-style-type: none"> <li>Capable of seeking context within operating environment, seeing implications for the future, sees connections between different processes, and understands consequences of decisions over a 1-3 year</li> </ul>

	<p>timeframe.</p> <ul style="list-style-type: none"> <li>• Ability to diagnose issues / trends / emerging problems and see future implications for current operating environment.</li> </ul>
Knowledge and Skills	<ul style="list-style-type: none"> <li>• A tertiary accounting qualification or equivalent</li> <li>• A minimum of five years in a similar role is required with proven successful experience in providing accounting support to managers</li> <li>• Proven skills in leading and performance management of staff</li> <li>• Computer literacy including: <ul style="list-style-type: none"> <li>• Payroll systems</li> <li>• Financial Systems experience</li> </ul> </li> <li>• Microsoft packages, especially Excel. Sound technical knowledge, as demonstrated by relevant training and development e.g. membership of (or currently working towards), a professional accounting body.</li> <li>• Strong communication skills and ability to build sound working relationships both internally and externally.</li> </ul>
<b>CAPABILITY AREA</b>	<b>DESCRIPTION</b>
Emotional Intelligence (Judgement, temperament and influence)	<ul style="list-style-type: none"> <li>• Demonstrates ability to learn, even from difficult situations.</li> <li>• Able to earn respect of peers and staff.</li> <li>• Is aware of effect of own self on others.</li> <li>• Effective interpersonal and communication leadership skills.</li> <li>• Politically astute, especially with complex international dimensions.</li> <li>• Ability to make difficult decisions.</li> </ul>
Valuing Work of Role	<ul style="list-style-type: none"> <li>• Commitment and passion for New Zealand’s work in Antarctica.</li> <li>• Values providing service to customers as a key focus.</li> <li>• Values building and maintaining strong relationships with stakeholders</li> <li>• Values capability building practices</li> <li>• Recognises the value of success of the New Zealand Antarctic Programme as a whole.</li> <li>• Values planning and organisation</li> <li>• Values collaboration with peers to achieve organisational goals.</li> <li>• Values organisational leadership (ie working on the organisation to achieve improved performance).</li> </ul>

## ROLE RELATIONSHIPS

### Internal

#### a) Has delegated authority:

WITH:	SCOPE
Budget Managers	Service authority in relation to budgeting and reporting.
	Advisory authority in relation to the provision of financial advice.
All Staff	Monitoring authority in relation to delegated authorities and financial systems.
	Prescribe authority in relation to the operation of Antarctica New Zealand’s safety system.

**b) Accountable for recognising others' delegated authority:**

<b>WITH:</b>	<b>SCOPE</b>
Manager Corporate Services	Audit authority for corporate systems and statutory compliance. Coordinative authority in relation to business planning.
Manager Environment	Audit authority in relation to environmental management systems. Prescribe authority in relation to environmental permitting requirements in Antarctica.
IT Administrator	Audit authority in relation to IT systems security.

**External**

**a) Accountable for achieving stakeholder relationship outcomes:**

<b>WITH:</b>	<b>SCOPE</b>
MFAT	Collateral authority in relation to SOI/SSP/Budget Initiatives
Audit NZ/Compliance Committee	Collateral authority with respect to Financial Systems
Treasury	Collateral authority in relation to Budget Initiatives

**ROLE AUTHORISATIONS**

I confirm that this Role Description accurately describes the work of the Accountant:

\_\_\_\_\_  
Chief Executive

\_\_\_\_\_  
Date

I accept this Role Description accurately describes the work of the role for which I am accountable:

\_\_\_\_\_  
Brad Phillips

\_\_\_\_\_  
Date

## FINANCE Service Level Agreement FOR Antarctica New Zealand

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### Reporting

- Standard month end reports issued to budget managers within 10 working days of month end
- Ad hoc financial reports to budget managers by agreement (target within 2 working days)
- Board financial reports issued to Administration Team Leader prior to Board meeting report deadlines
- Four-monthly Ministerial Reports against Statement of Intent issued prior to deadlines
- Statutory Compliance reporting completed and issued prior to due dates (eg GST, PAYE, FBT, KiwiSaver)

### Policies, procedures & documentation

- New project/capex codes issued within one working day
- Tasks & procedures documentation is up to date
- Financial policies and forms reviewed annually

### Purchasing

- Outstanding purchase orders will be reviewed monthly with Procurement Officer, with overdue items actioned accordingly.

### Payments to Suppliers

- Approved employee expense claims received by Thursday will be paid the following day
- Approved supplier invoices received by 15<sup>th</sup> of the month will be paid no later than 20<sup>th</sup> of the month. A weekly payment run will be made each Friday for invoices received after 15<sup>th</sup> and for 7-day accounts.
- Manual (urgent) cheques will be issued on the day of request

### Payroll

- Salaries will be paid fortnightly by direct credit in accordance with employment agreements
- Final pays will be paid on the last day of employment, as advised by the HR Advisor
- Standard payroll will be processed by the backup person every three months
- Payroll queries will be responded to within 48 hours
- Access to HRSS is given to new employees and new passwords issued within 24 hours of request
- Annual Leave and Sick Leave spreadsheets will be completed for the CEO on a fortnightly basis in conjunction with payroll
- Staff Turnover spreadsheet will be completed on a monthly basis

### Invoices to Customers

- Sundry invoices will be raised within 48 hours of request

- Annual Event invoices will be raised within 10 working days from the date of receipt of billing information from the Logistics Team Leader
- Shadow costings will be completed annually by 30 June
- All Credit Notes will be approved by the Manager Corporate Services

### **Cash management & credit control**

- Bank accounts will be maintained in credit at all times
- Cheques and cash received will be banked weekly
- Term deposits will be in accordance with investment policy
- All debts greater than 60 days will be followed up and a call log initiated

### **General ledger**

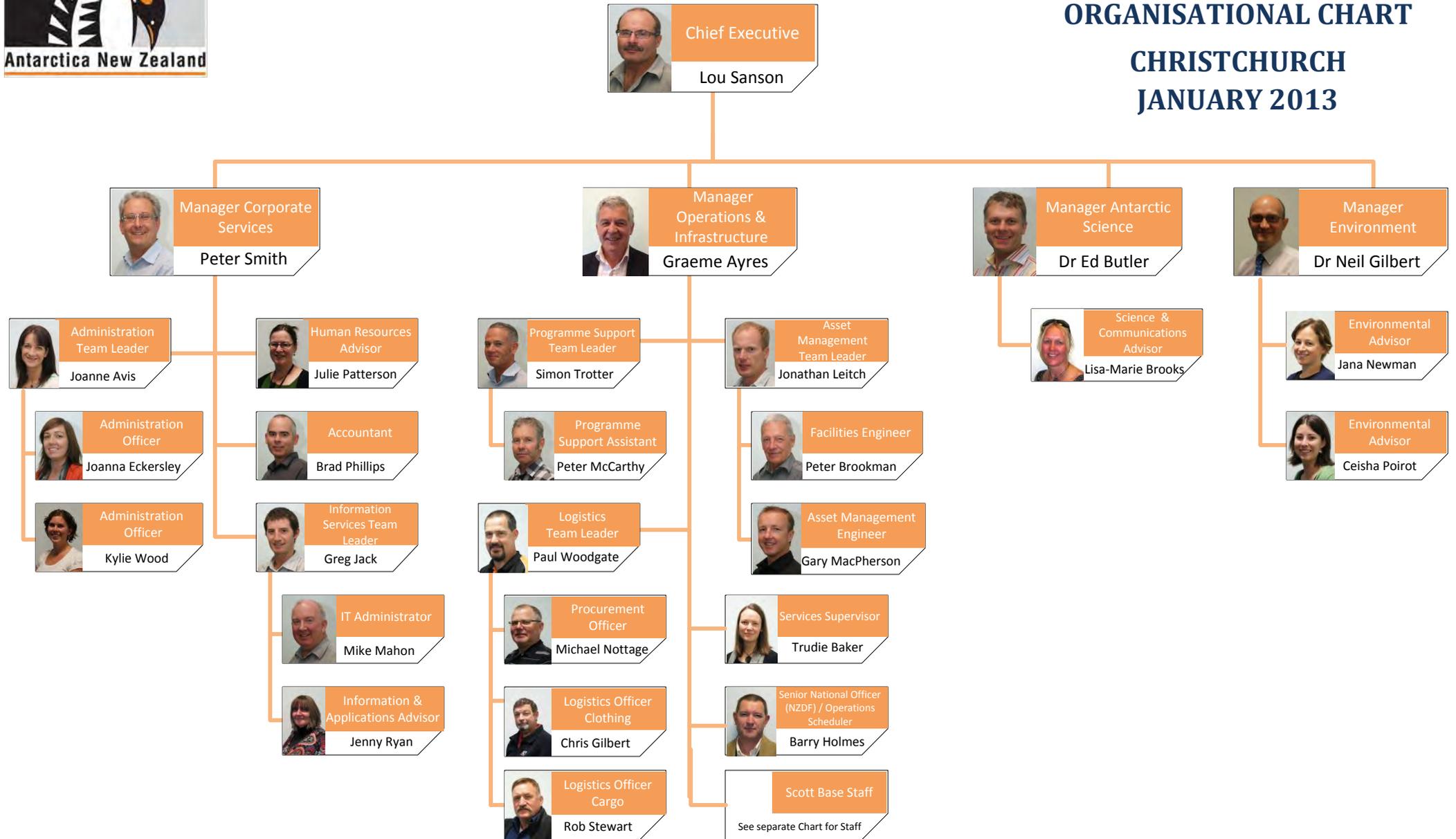
- All balance sheet accounts will be reconciled by the end of the month following the period end

### **Petty cash**

- Petty cash to be reconciled and replenished (monthly or when float falls below \$60) to a balance of \$500
- No more than \$100 petty cash to be advanced for any one purchase and receipts to be held for all purchases (where receipts are available)



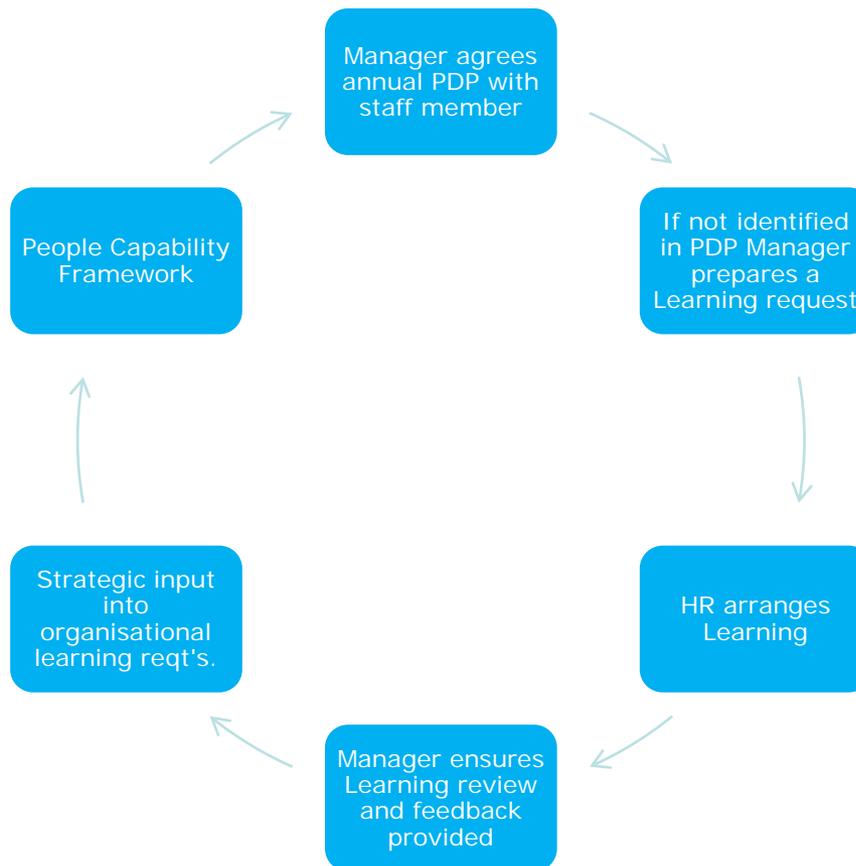
# ANTARCTICA NEW ZEALAND ORGANISATIONAL CHART CHRISTCHURCH JANUARY 2013





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## System Overview



## Proposed Learning and Development Framework

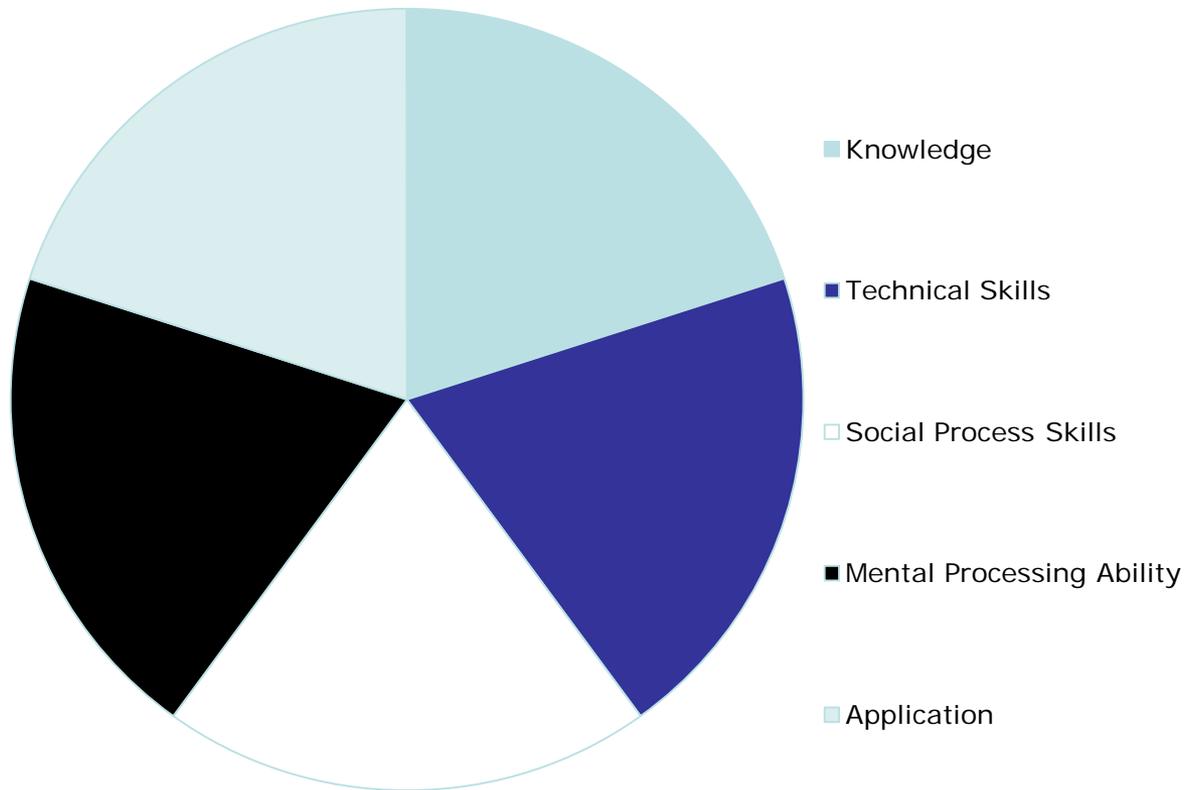
- Following on from previous work, we know there are key capabilities across our organisation we need to develop.
- While this will apply to the whole organisation, we are focusing on Christchurch staff.



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## Capabilities



## Capability

- Systems Leadership: Creating Positive Organisations  
MacDonald, Burke & Stewart (2012)
- Critical elements required to select and develop a person into a role
- Related to the role, not the person
- “Nature vs Nurture”
- Our People Capability Framework



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## Capabilities – more details from MacDonald et al (2012)

### **Knowledge**

What people collectively, and individually know.

### **Technical Skills**

Proficiency in a person's use of knowledge.

### **Social Process skills**

Skills that give the ability for a person to read social situations, understand underlying social processes and influence those processes productively.

### **Mental Processing Ability**

Ability of a person to take information, analyse it, put it together, reorganise it, judge and reason and draw conclusions (Jaques, 1989).

### **Application**

The effort and energy that a person puts into applying the other elements of capability to their work.

## Antarctica New Zealand

- How might capabilities work across our organisation?

- We will look at :

Knowledge

Technical Skills

Social Process Skills

in terms of our People Capability Framework.





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Capability	Competency (linked to Role Description)	Tool/Opportunity
<b>Technical Skills</b> Proficiency in a person's use of knowledge	Health, Safety and Environment	Health and Safety Awareness training (part of induction for all new staff) See also Environmental Code of Conduct, above. Fire training  SAR  Incident Command System (ICS)
	Continuous improvement	Microsoft Office Suite/Sharepoint
	Consider areas of Accountability listed in the Role Description	Discuss possible interventions with HR Advisor

- Your feedback is very important !
- How can we make this framework work for managers and staff?
- What have we missed?
- Strengths of the framework?



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Capability	Competency	Tool/Opportunity
<p><b>Social Process Skills</b></p> <p>Skills that give the ability for a person to read social situations, understand underlying social processes and influence those processes productively</p>	<p>Leadership</p> <p>Coaching</p> <p>Cultural appropriateness</p> <p>Working as part of a team</p> <p>Translating thinking into action in support of the strategic objectives set by Antarctica New Zealand</p> <p>Consider areas of Accountability listed in the Role Description</p>	<p>A variety of Leadership Interventions</p> <p>Option of collaboration with UC</p> <p>Tikanga Maori</p> <p>Work collaboratively with others, developing partnerships and networks to support attainment of operational goals.</p> <p>Personal ability to appreciate own strengths and weaknesses and effectively relate to peers, employees and others in a manner that promotes collaboration and goal attainment.</p> <p>Project Management and Planning</p> <p>Discuss possible interventions with HR Advisor</p>

- Your feedback is very important !
- How can we make this framework work for managers and staff?
- What have we missed?
- Strengths of the framework?



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## Critical Issues

- What if the timeliness of the L&D project initiative is compromised by new AD initiative?
- How to integrate current L&D project with AD leadership training and planned L&D system review and update?
  - How to roll out to staff?
  - How to communicate to all staff?
  - How to communicate to leaders attending the March AD workshop?
- How to gather strategic level input into organisational learning requirements -

## Timeframe and where to from here...

## Next steps:

- Address critical issues
- Communicate to staff
- Consider roll out in full during July PPR process for 2013/14 personal development plans.

## DRAFT People Capability Framework 2013

Capability	Competency (linked to Role Description)	Tool/Opportunity	Objective	Delivery	Outcome
<b>Knowledge</b>  What people collectively, and individually know	Knowledge of Antarctica New Zealand	Induction	Prepare Scott Base staff to live and work safely in Antarctica. Provide a clear and consistent introduction to new Christchurch based staff	Antarctica New Zealand Awareness Programme (ANZAP) delivered in-house in Sept for all Scott Base staff. Christchurch based staff attend as required. Christchurch based staff induction prepared by their Team Leader.	Completed for new staff upon appointment and ANZAP completed for for all current Scott Base staff.
		First Aid Training	Disseminate information/advice on health related matters. (Flu prevention/  Melanoma screening)	Horizons Unlimited  June	Must be completed by all staff travelling to Antarctica the following season – must include at least one person from the Admin Team and one warehouse based staff member
		Environmental Code of Conduct	Provide understanding and improve compliance in requirements outlined by the Code.	eLearning training provided in house.	Required for all new staff.
		Scott Base In brief on arrival  Antarctic Field Skills	Full course or refresher, may include  Vehicle driving licences.	Training delivered in-house, by SBLT. AFT and mechanics as required.	People are appropriately trained for their role and level of responsibility.

Capability	Competency (linked to Role Description)	Tool/Opportunity	Objective	Delivery	Outcome
	Consider areas of Accountability listed in the Role Description	Discuss possible interventions with HR Advisor	Through Personal Performance Review (PPR) Identify the skills and knowledge required to lead and continuously improve the standard of delivery in a particular role.	Consider whether an internal or external solution would be best, eLearning materials are available for a variety of concepts	Report on progress as part of the PPR process.
<b>Technical Skills</b>  Proficiency in a person's use of knowledge	Health, Safety and Environment	Health and Safety Awareness training (part of induction for all new staff)  See also Environmental Code of Conduct, above.	Antarctica New Zealand is committed to maintaining the health and safety of all employees and participants in the Antarctic Programme and has set a goal of zero harm.	Delivered in house	All employees completed this course
		Fire training	Provide appropriate training as required by role for Scott Base staff.	September plus on-site support at Scott Base during October	Scott Base has fully trained and functional fire team.
		SAR	On-going training delivered in-house by the PSTL and SAR leaders.	September plus on-going exercises throughout the season	Scott Base staff contribute to the joint SAR programme as required.

Capability	Competency (linked to Role Description)	Tool/Opportunity	Objective	Delivery	Outcome
		Incident Command System (ICS)	Describe, provide and encourage understanding and implementation of the ICS.	Delivered mid-winter and linked to fire training for Scott Base staff. Christchurch staff may engage in a desktop exercise.	Scott Base and Christchurch based staff use the ICS where appropriate.
	Continuous improvement	Microsoft Office Suite/Sharepoint	Build capability in the use of MS office and sharepoint to meet individual user requirements	One-on-one support to meet immediate learning requirements.  On line eLearning course available for all MS application at varying skill levels.	All users will continue to be individually supported by the Information and Applications Advisor.  Individuals will be competent and up to date with MS required by their role.
	Consider areas of Accountability listed in the Role Description	Discuss possible interventions with HR Advisor	Through Personal Performance Review (PPR) Identify the skills and knowledge required to lead and continuously improve the standard of delivery in a particular role.	Consider whether an internal or external solution would be best, eLearning materials are available for a variety of concepts	Report on progress as part of the PPR process.
			Define objective of learning/development opportunity		
<b>Social Process Skills</b>	Leadership	A variety of Leadership	Develop ability to lead and	Leadership in Practice	All current managers have

<b>Capability</b>	<b>Competency (linked to Role Description)</b>	<b>Tool/Opportunity</b>	<b>Objective</b>	<b>Delivery</b>	<b>Outcome</b>
Skills that give the ability for a person to read social situations, understand underlying social processes and influence those processes productively		interventions.	think strategically – the personal ability to draw professional and strategic implications and conclusions within a highly complex environment of competing policy, community and economic trends and requirements.	A Public Sector leadership programme for managers and aspiring Public Sector leaders, offered by the Leadership Development Centre.  Every 6 months .	completed this course, which provides a common set of leadership tools, Action Learning Group experience and delivery of agreed projects.
	Coaching	Consider Coaching from Antarctica New Zealand’s perspective		Coaching Programme – UC  One on one coaching arrangement for Scott Base winter leader and others	
	Cultural appropriateness	Tikanga Maori	Ensure staff have appropriate level of te reo and tikanga Maori and use these skills in their role	Externally sourced, as required.	
	Working as part of a team	Work collaboratively with others, developing partnerships and networks to support attainment of operational goals.	Contribute to high performing functional and cross functional teams.	TBA	Contributes as a team member to create a high performing team and supports others to do their work of role.

Capability	Competency (linked to Role Description)	Tool/Opportunity	Objective	Delivery	Outcome
		Personal ability to appreciate own strengths and weaknesses and effectively relate to peers, employees and others in a manner that promotes collaboration and goal attainment.	Able to give and receive feedback to develop work of role, participating positively in performance conversations, coaching and professional development.	TBA	The outcome means people are confident in their personal capacity, a drive to improve professional performance, and commitment to uphold the organisation's values and ethics
	Translating thinking into action in support of the strategic objectives set by Antarctica New Zealand	Project Management and Planning	A common understanding of how to manage projects.	TBA	Projects are planned and managed using consistent methodology across Antarctica New Zealand.
	Consider areas of Accountability listed in the Role Description	Discuss possible interventions with HR Advisor	Through Personal Performance Review (PPR) Identify the skills and knowledge required to lead and continuously improve the standard of delivery in a particular role.	Consider whether an internal or external solution would be best, eLearning materials are available for a variety of concepts	Report on progress as part of the PPR process.