

# About the Leadership Capability Framework

## What is a Capability Framework?

A capability framework is a means by which a professional workforce communicates the behaviours, skills and knowledge required to be effective at different levels and in different roles in that workforce. The Leadership Capability Framework sets the foundation for the design of the Response and Recovery Leadership Programme (RRLP), for assessment and eventually, for supporting the accreditation process.

The current target audience for the Framework is Response Controllers, Recovery Managers and Response Managers. There is a related capability framework for Function Managers and Function Leads.

Capabilities can be defined as a description of core skills and behaviours, which combined with technical and professional knowledge, enable individuals to be effective performers in a specific role or roles. Capabilities define the expected areas and levels of performance, but do not determine what tasks the jobholder carries out, or what accountabilities they have in the way a job description does.

A capability framework should be a useful tool that covers the priority areas of capability needed to be an effective performer, but not at a level of detail that is prescriptive. If a framework is too detailed, it becomes long, bureaucratic and hard to use. If a framework is too general or too summarised, it can be meaningless and doesn't get used.

## Who is the Framework for?

- **For our leaders in Response and Recovery:** for Controllers, Recovery Managers and Response Managers, the Capability Framework gives an overview of the capabilities required to be effective in their roles and in specific situations. It helps individual leaders understand where their gaps may be and where development can be directed.
- **For training providers:** the capabilities set the baseline for course content, and a framework for qualification development.
- **For accreditation:** the capabilities will give a comprehensive framework of what is required to achieve professional standards at various levels and in various roles.
- **For Continuing Professional Development (CPD):** the capabilities determine the focus of CPD for individuals

## Current version of the Framework

This version of the Framework has been developed from the original draft developed by RRANZ. Work that has been done since has been to:

- integrate information on capabilities from the sector role profile workshops (held in May/June 2019), and consultation with CDEM Controllers and Agency response and recovery SMEs (carried out February/March 2020).
- align the framework more closely with the classification matrix in the CIMS 3<sup>rd</sup> edition
- incorporate a stronger Recovery focus
- build in some new capability domains that will be important in our future

## How is the Framework organised?

The Framework is organised into six capability "domains" or areas of capability for leaders. One further knowledge-based domain of Hazard and technical understanding (shown in the centre) is covered in another document.

Each domain has a number of sub domains which provide more in-depth information on different aspects of the domain. Each domain and subdomain has a description and these run down the left hand column on each page. Each domain has a number of "sub domains" which provide more in-depth information on different aspects of the capability - these run down the left hand column on each page. The Framework includes behavioural "indicators" - as the name suggests an "indicator" is not comprehensive but focuses on key behaviours that indicate effectiveness. The main domains are:



### Capability 1: Setting Direction

You think, analyse and set direction with long term objectives in mind, making sound decisions based on complex information where there is uncertainty, ambiguity and significant consequences.

### Capability 2: Leading People

You build effective, capable, leaders and teams, bring out the best in your people and create a strong positive culture, shared direction and high performance.

### Capability 3: Managing relationships

You inspire confidence and build strong trust relationships with stakeholders, engaging to identify needs, influence actions, negotiate solutions, and jointly deliver on response/recovery goals and plans

### Capability 4: Managing self

You are self-aware and actively manage your skills, qualities, attitudes, and emotional state. You maintain effectiveness, momentum, and stability for yourself and others when facing stress and challenges. You know your capability strengths and gaps and learn from every situation you are in.

### Capability 5: Engagement and partnering with iwi and Māori

You build the mana, knowledge and capability to engage with iwi and Māori in an effective and valued way. You understand your role and responsibilities in relation to the Treaty of Waitangi and actively partner with whānau, hapū and iwi in Response and Recovery.

### Capability 6: Delivering results

You translate strategy and decisions into action and plan effectively to make sure the right things happen. You focus on getting things done with and through others to co-ordinate activities and create change and benefits to meet community needs.

## Order and Priorities

While the capability areas are numbered, this is just for organisation purposes. At this point in time there is no intended hierarchy and the capabilities are not prioritised or weighted in any way. While framework focuses on core leader capabilities, the importance of each area may vary according to role and job requirements. We will have the opportunity to refine this further as the design of the accreditation process gets underway.

## Context and levels for capability

Across the top of each page, there are summary points on the specific context where that level of capability is likely to be used. This draws on work the Capability team is undertaking to map the capability expectations in the Framework to the matrix of incident classification and response levels contained in the CIMS 3<sup>rd</sup> edition.

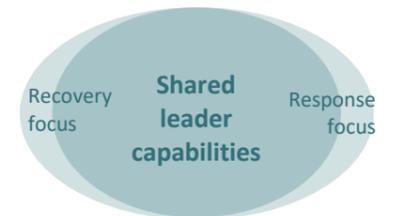
Under each domain or area of capability you will see there are four different levels; Developing, Competent, Highly competent, Advanced. Each of these levels has behavioural indicators that highlight how a leader would demonstrate the capability at that level. This will enable us to identify expectations for leaders at different levels and complexity of response.

The levels reflect the variances in complexity, scope and responsibility across jobs as well as the complexity and challenge of the context in which the capabilities are used. The levels are cumulative; for example, a leader at Highly Competent would be expected to also have acquired and demonstrated the behaviours at Developing and Competent. Derailers at the bottom of each column identify some of the adverse indicators at each level.

Having levels in the Framework also enables individual leaders to see how expectations change at each level, and the capability pathway to increase their skills and develop their potential.

## Response and Recovery

The focus on leadership means that most of the capabilities identified are relevant to both Response and Recovery leaders. Additional capability information from a workshop with Recovery Managers has been added into the original framework. Where the operating context is different and different capabilities are required, we will continue to ensure that both specific Recovery and Response related content is incorporated into the Framework.



## Capability framework – Next steps

- Given how much change there is in the sector, there will be ongoing updating of the Framework to reflect new challenges and demands
- As the accreditation process is designed, the Framework will be reviewed in order to ensure that it meets the requirements for the accreditation process
- The references to the Leadership Success Profile (LSP) and Hogan are to provide links to cross reference to capability areas that these different capability models have in common.

## Hazard and technical knowledge

Hazard and technical knowledge is covered in a separate document. This outlines key areas of knowledge and understanding for Controllers, Recovery Managers and Response Managers. The importance of each area may vary according to response classification, role and job requirements. The key areas covered in Hazard and technical knowledge are outlined below.





## Capability 1 Setting direction

**You think, analyse and set direction with long term objectives in mind, making sound decisions based on complex information where there is uncertainty, ambiguity and significant consequences.**

### Information and opportunity

Takes an intelligence-driven approach to sense-making, situation development analysis, and decision-making, creates and maximises opportunity through collaborative use of information

### Strategic thinking

Sets and adjusts strategic direction in a dynamic environment to determine wider goals

### Problem-solving and judgement

Makes effective decisions in appropriate timeframes with the right tools

### Agility and innovation

Generates and adapts to new approaches, flexible to shift focus and actions, works with pace

### Links to Leadership Success Profile

- Leading strategically
- Leading with influence
- Curious

### Links to Hogan

# Leader Behaviours for Controllers, Recovery Managers and Response Managers

## Context for Setting direction

- Competing demands
- Mainly operational response
- Known territory and higher level of predictability
- Short time frames
- More familiar decisions

### Developing - Indicator Behaviours

#### Information and Opportunity

- Applies straightforward existing models and tools to gather and analyse the information required to understand a situation
- Gets as much information as possible from a wide range of sources – keeps on top of changes
- Understands how to weigh up information through triage and priority setting
- Keeps a focus on intelligence to identify and respond to new issues as they arise

#### Strategic thinking

- Keeps an open mind on issues – doesn't jump to conclusions
- Recognises cause and effect relationships
- Defines the issues and determines broad direction
- Forward looking - balances focus between the immediate situation, and anticipating what's coming up

#### Problem-solving and judgment

- Applies deliberate and structured approaches to solving problems and making decisions
- Acts promptly and with confidence when a situation requires a quick decision
- Breaks down solution into immediate actions
- Sets priorities for actions based a sound rationale
- Makes the right "call" given what is known at the time
- Ensures decisions are consistent with statutory powers, legislation and relevant policies and procedures

#### Agility and innovation

- Open to new information and modifies approach to deal with changes
- Generates better solutions through adjusting or fine-tuning what already exists

### Developing – Potential derailers

- Values practical action over strategy
- Uncomfortable with uncertainty
- Doesn't appreciate the need to constantly scan for information
- Discounts information that doesn't line up with their existing picture
- Loses focus on purpose and goals

- Increasingly unpredictable and ambiguous context
- Increasing amounts of information
- More tactical and longer timeframes
- Wider range of stakeholders to be considered
- Governance established at varying levels of formality

### Competent - Indicator Behaviours

#### Information and Opportunity

- Chooses and uses analytical concepts or methods to (e.g. holistic consequence analysis, systems thinking)
- Identifies the intelligence required and sees patterns, trends or missing pieces
- Systematic about informing self - seeks out input and information from diverse sources internally and externally
- Relates situational information to the wider context
- Makes sound inferences from available information and draws logical conclusions

#### Strategic thinking

- Forms a clear direction - explains how that was reached and how future actions will achieve it
- Comfortable and quick to move between detail and the big picture
- Sees crucial differences between the current situation and things that have happened before

#### Problem-solving and judgment

- Applies understanding of cognitive and other biases in decision-making
- Balances different points of view and interests in making decisions
- Accurately assesses the likely consequences of decisions against direction (both short term action and long-term goals)
- Makes reasoned decisions even when faced with incomplete or conflicting information
- Ensures all consequences (including those not immediately evident) are considered

#### Agility and innovation

- Encourages new ideas and perspectives on issues
- Ready to try different approaches for new or changed situations

### Competent – Potential derailers

- Does not value information and analysis
- Doesn't see implications, make connections between disparate information, or relate it to a wider context
- Dismissive of information with no immediate application so misses opportunities
- Avoids making decisions, or is reactive and haphazard in their decision-making
- Doesn't handle complexity or ambiguity well
- Misjudges timescales and situational demands and makes decisions too swiftly or too slowly
- Shuts down different points of view

- Significant scale and complexity of problems
- Strategic focus increasing, with tactical decisions required on prioritisation of resources, alignment between levels of response
- More complex and formalised governance arrangements
- Less clarity – more conflicting views and advice

### Highly competent - Indicator Behaviours

#### Information and Opportunity

- Selectively absorbs a large amount of diverse or complex information to identify both the central and underlying issues of a situation
- Identifies discrepancies, trends, and inter-relationships in unfamiliar or unrelated information

#### Strategic thinking

- Broadens others' strategic view and input across response or recovery, and with agencies, partners and other stakeholders
- Identifies issues not immediately obvious to others, and not learned from previous experience
- Creates heightened awareness of the changing landscape for teams, and possible impacts for direction and execution
- Gets complex analysis, views and ideas into concepts or analogies others can understand without dumbing it down
- Thinks beyond the issues and balances multiple perspectives when setting direction or reaching conclusions
- Thinks critically about broader trends (e.g., industry, international, iwi, scientific, political, stakeholders, etc.) and their implications

#### Problem-solving and judgment

- Thinks beyond immediate issues and balances multiple perspectives when setting direction or reaching conclusions
- Develops and implements forward-looking plans and strategies based on a clear vision for the future in complex, evolving circumstances
- Identifies the implications and risks of alternative courses of action, looking beyond current solutions or boundaries
- Balances intelligence, wisdom, experience, and different perspectives when making decisions

#### Agility and innovation

- Thinks in strategic terms about new solutions and/or emerging needs
- Manages problem-solving and decision-making to enable others to generate breakthrough ideas, fresh perspectives and new opportunities

### Highly competent – Potential derailers

- Lets own or others personal insights or opinions take precedence over intelligence
- Sets unrealistic goals
- Too reliant on past experience, old models and precedent when addressing complex issues
- Lacks understanding about where to be strategic, and where to be tactical in their approach
- Filters out divergent thinking

- Strong strategic focus
- Problems are novel, or intractable, without existing solutions or the solutions applied may have failed
- High stakes political interest and stakeholder involvement
- Significant resourcing issues and decisions

### Advanced - Indicator Behaviours

#### Information and Opportunity

- Evaluates complex, unfamiliar and conflicting analysis and advice to identify the critical and underlying issues in new situations
- Astutely identifies trends and makes linkages between intelligence and potential challenges and opportunities that are not obvious to others

#### Strategic thinking

- Demonstrates high levels of intellectual agility in response to complex or novel problems
- Creates new models or approaches for complex issues
- Integrates relevant concepts/models into a complete vision or solution for which there may be no previous experience or road map
- Prepared to adjust direction and strategy with significant consequences for scope/ pace /outcomes/people/deliverables

#### Problem-solving and judgment

- Develops others' decision making capabilities and confidence
- In exceptional circumstances, makes reasoned judgments outside statutory powers, legislation, and policies and procedures

#### Agility and innovation

- Develops innovative solutions based on research, consultation and analysis and encourages agility in others
- Develops creative solutions for which there are few or no precedents
- Shifts paradigms; starts a new lines of thought

### Advanced – Potential derailers

- Slow to challenge or adjust strategy once determined to deliver better results (tried and true, complacent)
- Too operational and tends to get lost in the detail and micromanage

# Leader Behaviours for Controllers, Recovery Managers and Response Managers

## Context for Leading people

**You build effective, capable, leaders and teams, bring out the best in your people and create a strong positive culture, shared direction and high performance.**

### Achieve through others

Delegates and maintains oversight of work responsibilities and leverages the capability of Recovery/Response Management Team, governance, peers and partner organisations, to deliver outcomes for communities

### Empowerment

Enables others to act on initiative and develop and to improve their performance

### Building culture

Shapes, influences and models a culture that empowers everyone to deliver

### Diversity

Ensures the workforce reflects the diversity of people and develops diversity of perspectives

### Lift team and individual performance

Builds cohesive and high performing teams and brings out the best in direct reports and their people to deliver collective results that are more than the sum of individual efforts

### Develop talent

Coaches and develops diverse talent to build the people capability required to deliver outcomes

### Links to Leadership Success Profile

- Enhancing people performance
- Developing talent
- Enhancing team performance
- Achieving through others

### Links to Hogan

- Leaders will be doing as well as leading
- Shorter timeframes mean less opportunity for developing people
- There is more likely to be a shared understanding of goals and what "good" performance looks like

### Developing - Indicator Behaviours

#### Achieve through others

- Identifies people's strengths and capabilities and delegates responsibilities based on these
- Understands that people may use different approaches to achieve the same results
- Keeps leaders and teams focused on people, impacts and results

#### Empowerment

- Gives their people latitude to get the job done
- Gets people collaborating to use different strengths

#### Building culture

- Responsive to people's issues and problems
- Builds trust and respect with and between people
- Pursues their work with energy and drive, and motivates others to do the same
- Ensures shift, rest, and rotation planning is developed, maintained, and adhered to

#### Diversity

- Works well with people who are different from themselves
- Recognizes and addresses own filters/biases, and cultural preference

#### Lift team and individual performance

- Develops teams (different agencies, multi-disciplinary) into a coherent and integrated work unit
- Sets clear expectations and holds people to account
- Recognises good performance and deals with poor performance constructively
- Ensures the practical needs of the team are met

#### Develop talent

- Continually acquires and applies new knowledge and learning to improve job performance
- Actively shares knowledge among peers or offers advice to less experienced colleagues.

### Developing – Potential derailers

- Gets caught up in doing rather than managing people
- Tries to do it all themselves without delegating effectively
- Vague or contradictory in their expectations of others
- Not a team player and finds it hard to encourage this
- Lacks confidence in providing direction or giving constructive feedback
- Prefers familiar people and relationships and struggles with difference and diversity

- More formal team structures
- Team members may have limited response experience
- Setting the culture and tone becomes important
- Requires judgment around delegation and what teams are able to achieve
- More political influence increases exposure and risk
- Monitoring performance becomes more critical
- Getting teams functional quickly is a priority

### Competent - Indicator Behaviours

#### Achieve through others

- Develops, communicates and reinforces a vision to keep people moving in the right direction
- Delegates and supports their leaders/teams to deliver by giving guidance, resources and boundaries

#### Empowerment

- Resists the instinct to take over (e.g. when delegating, when mistakes have been made, when collaborating)
- Gives credit where it is due

#### Building culture

- Shapes, promotes and models desired culture
- Visibly recognises the contribution and achievements of others

#### Diversity

- Understands different cultural frameworks, values, and norms as well as general principles for working with diversity
- Listens to, understands, respects and accepts the value of different views, ideas and ways of working
- Confronts and deals promptly with dysfunctional language or behaviours, including bullying, harassment or marginalising

#### Lift team and individual performance

- Ensures people have the training they need to do the work
- Builds cohesiveness and unity of approach across teams, maintaining morale and motivation
- Monitors performance in context of response/recovery performance and deals with issues
- Demonstrates courage to have difficult conversations and learn from mistakes

#### Develop talent

- Encourages others to take on new responsibilities in order to support professional development.
- Provides feedback and learning after difficulties or failures

### Competent – Potential derailers

- Works around people problems rather than dealing to them
- Does not learn from feedback or see implications of lessons learned for their own leadership
- More concerned with relationships than getting the job done
- Lacks focus on getting the best from their people
- Doesn't think from the perspective of their people
- Standards which are unrealistically high or low
- Creates boundary or resource tensions between different teams or functions

- Leaders may be leading leaders
- People are working to capacity
- Ensuring the right capabilities are there is more critical
- There may be a shortage of the right resource
- Membership of teams may change continuously/ frequently
- Poor performance many have critical impacts
- Networked hierarchy of teams means lateral and vertical leadership

### Highly competent - Indicator Behaviours

#### Achieve through others

- Changes own leadership approach to get different results and supports others to adapt to that
- Anticipates capability requirements needed to deliver on future objectives and manages resources to meet these

#### Empowerment

- Addresses silo mentalities, builds more collaborative ways of working
- Balances control with autonomy to get the best from their people
- Builds teams of teams that can collaborate and coordinate without centralised control

#### Building culture

- Tracks the health of both formal and informal culture across leaders and teams
- Engages both the minds and hearts of their people
- Understands how culture needs to shift as the demands of the response or recovery change

#### Diversity

- Seeks out diversity and leverages what it can bring to the work
- Role model for inclusive leadership behaviour

#### Lift team and individual performance

- Thinks about performance of the group as a whole and develops solutions that address
- Diagnoses problems across teams with potential to compromise performance and acts on this

#### Develop talent

- Assists others to grow through feedback and coaching, even when under pressure
- Encourages their leaders to develop their people
- Addresses practices that do not align with culture by coaching the individuals involved
- Gives feedback that is constructive and precise based on facts and behavioural patterns observed, and gives individualised suggestions for improvement

### Highly competent – Potential derailers

- Does not understand the capabilities they need
- Allows silos and narrow ways of working to emerge
- Allows performance issues to go unaddressed
- Plays favourites and allows cliques and clubs to develop
- Doesn't see developing people as a key responsibility of their role
- Misses opportunities to lift performance through collaboration

### Advanced - Indicator Behaviours

#### Achieve through others

- Understands the value that specific capabilities provide to the response/recovery and how these are obtained and used to best effect

#### Empowerment

- Trusts the knowledge, insights and skills of their leaders
- Works with their leaders to build teams that are more goal-driven and self-managing

#### Building culture

- Drives a diverse and collaborative working culture which encourages transparency and open communication in difficult and pressured situations
- Challenges assumptions, calls out outdated ways of doing things, models new behaviours and approaches

#### Diversity

- Gains leadership involvement and ownership from other leaders for inclusive behaviour

#### Lift team and individual performance

- Balances control with encouraging initiative and latitude to get the best from skilled and diverse people

#### Develop talent

- Coaches and mentors to provide critical feedback and support other leaders within the response or recovery context
- Encourages individuals to extend the influence of their skills and capabilities

### Advanced – Potential derailers

- Too directive, inhibiting the creativity and empowerment of others
- Chooses to only develop individuals who reflect styles, beliefs and strengths similar to their own
- Does not prioritise availability to their leadership team, communicates infrequently with their people
- Takes credit for team achievements
- Resistant to promoting change and new ways of thinking
- Advises rather than coaching and acting as a sounding board

You inspire confidence and build strong trust relationships with stakeholders, engaging to identify needs, influence actions, negotiate solutions, and jointly deliver on response/recovery goals and plans

**Engage with communities**

Appreciates, partners and supports communities.

Represents response/recovery effectively and positively in community contexts

**Multi agency collaboration**

Works collaboratively with lead, partner and support organisations at all times

**Lead at the political interface**

Engages and represents within and between government, public sector, iwi, private sector and community leaders to shape, negotiate and implement national, regional, local and community priorities

**Communicate with influence**

Connects with people to build trust and be a leader that people want to work with and for. Communicates in a clear and impactful way, listens and responds with respect. Convinces others to embrace change and take action

**Social and Cultural Intelligence**

Applies understanding of social and cultural dynamics and communities of interest. Understands how these factors impact on and support approaches to planning for, responding to, and recovering from incidents and their consequences

**Develop networks**

Establishes and maintains connections which benefit performance

**Links to Leadership Success Profile**

- Leading with influence
- Engaging others
- Leading at the political interface

Leader Behaviours for Controllers, Recovery Managers and Response Managers

Context for Managing relationships

- Multi-agency coordination
- Known organisations and individuals
- Less likely to be formal governance
- Past history and common purpose

**Developing - Indicator Behaviours**

**Engage with communities**

- Continually anticipates/identifies the impacts of actions on different parts of the communities and how these will be addressed
- Determines the relationships necessary and involves the right people at the right time
- Sets up relationships with clear and shared purpose and goals

**Multi agency collaboration**

- Establishes effective liaison/connection for information-sharing and co-ordination
- Collaborates to make decisions on individual and joint responsibility for specific actions

**Lead at the political interface**

- Aware of potential areas of interest for local and national political representatives, keeps informed when necessary

**Communicate with influence**

- Actively listens, reads people and situations accurately, and adjusts own tone accordingly
- Communicates factual information in the right language and tone for different settings and people (e.g. succinct, matter of fact, sensitive)
- Creates a climate where others feel they can raise concerns and issues - personally open and approachable
- Takes and responds constructively to feedback and different points of view
- Maintains communication style under pressure - calm, non-defensive, clear, direct, responsive

**Social and Cultural Intelligence**

- Develops reliable local information sources
- Aware of different dynamics (e.g. local politics, business, community, cultural, faith-based) and impact on relationships
- Accepts and respects that every person has their own cultural perspective and world view
- Understands the value and contribution of culturally distinct ways of addressing situations

**Develop networks**

- Actively nurtures relationships with other agencies
- Build two-way trust in dealing with contacts

**Developing – Potential derailers**

- Over-reliance on gut instinct, past experience, or guess work to read people and understand different perspectives
- Lack of confidence in relationship building
- Limits communication to a small circle
- Not convinced of the importance of community and stakeholder involvement
- “One size fits all” approach

- Increasingly unpredictable and ambiguous context
- Diverse communities and stakeholders
- High stress, escalated, emotional contexts
- More political influence increases exposure and risk

**Competent - Indicator Behaviours**

**Engage with communities**

- Uses a range of different models for engagement, to get the right people and groups working together
- Inclusive approach to community engagement and involvement at different levels of response/recovery (e.g. vision-building, information-sharing, consultation, decision-making)

**Multi agency collaboration**

- Understands and works across a range of different, conflicting agency stakeholder agendas
- Brings key players together, builds trust, identifies and works towards shared goals

**Lead at the political interface**

- Navigates political issues sensitively and effectively to manage response or recovery reputation

**Communicate with influence**

- Represents the recovery or response - displays presence, confidence and credibility with governance, team, local communities, stakeholders, media and local politicians
- Presents complex and conflicting information with clarity, adjusting for different audiences and managing ad hoc interactions with limited preparation
- Communicates issues and goals/intentions to build trust and maintain goodwill in a context of change and risk
- Se-escalate situations and deploy skills in negotiation, mediation and conflict resolution when required

**Social and Cultural Intelligence**

- Builds a social and cultural map of stakeholders and communities of interest and understands the dynamics in and between these
- Understands and responds to diversity within a larger group (e.g. diverse needs and issues within a community) and where selective advocacy is necessary for communities without a voice
- Ensures their team understand this, the dynamics and implications
- Sets the expectation that response or recovery will respond to diverse needs and issues within a community
- Ensures that new vulnerabilities in communities are not built through actions

**Develop networks**

- Supports others in their team to initiate and maintain meaningful relationships needed to do their job well

**Competent – Potential derailers**

- Does not respond to diversity within communities
- Not concerned about building the trust of communities
- Makes assumptions about stakeholder and community world views, needs and capacity
- Tends to “do” response or recovery to communities
- Over-reliance on statutory roles or personal networks
- Underestimates importance of navigating political issues

- Multi-level relationships
- Relationships outside usual sphere of influence
- Forming relationships with stakeholders who may be unknown

**Highly competent - Indicator Behaviours**

**Engage with communities**

- Uses deliberate strategies to build the capability of communities/partners/stakeholders so they can contribute with impact

**Multi agency collaboration**

- Manages an extended range of relationships, lateral and vertical, internal and external, multi-level
- Builds cases to gain support, framing issues, identifying opportunities, benefits and trade-offs
- Resolves escalated relationship issues. mediates difficult interactions with and between key stakeholders (conflict, stand-off, push-back, no-show)

**Lead at the political interface**

- Works constructively with political representatives, navigates political situations and reputation issues
- Identifies and utilises points of political leverage and influence in support of specific goal
- Recognises importance of informal and tacit influences - what is or is not possible in situations

**Communicate with influence**

- Deals effectively with inherently difficult client or stakeholder relationships using a range of approaches
- Understands the symbolic value of their own and others communication, messages and actions
- Mediates difficult planned and ad hoc interactions with and between key stakeholders (conflict, stand-off, push-back, no-show)
- Uses a range of negotiation styles and adapts on the basis of counterparts and context

**Social and Cultural Intelligence**

- Undertakes direct learning about other cultures and build cultural explanations of behaviour
- Employs knowledge of social structures, cultures and belief systems in order to see issues through different lenses and engage better
- Understanding of social licence and how this is developed and maintained
- Overcomes challenges to engagement for different communities of interest

**Develop networks**

- Extends own personal networks, understands where purpose-built relationships/networks are needed to get a result and creates these

**Highly competent – Potential derailers**

- Over-reliant on one or two key influencing or negotiation approaches
- Focuses on own-agency priorities, needs, and resources
- Avoids inclusion of unfamiliar partner and support agencies
- Impatient when there is no immediate or obvious benefit from relationship activities

- High stakes political interest and stakeholder involvement
- Political dynamics are influential in most/all decisions
- Strongly conflicting agendas
- International relationships

**Advanced - Indicator Behaviours**

**Engage with communities**

- Ensures community engagement and dialogue and identification of needs are built into all functions

**Multi agency collaboration**

- Engages CEs, political representatives, and a range of national and community stakeholders in developing long-term strategy and approach
- Uses complex strategies to influence at a systems level (context of strongly conflicting agendas, significant resources, serious risks and consequences)
- Understands collective impact and builds support for goals through coalitions - increasing value for all parties
- Develops formal partnerships to advance goals (iwi, inter-organisation, inter-sectoral, international) and facilitates formal partnership agreements

**Lead at the political interface**

- Trusted senior advisor to political representatives (understands Government concerns and priorities, shapes relationships, informs, advises and influences on diverse and sensitive issues, navigates between different political interests)
- Provides direction and guidance to other leaders and stakeholders on influencing in political situations
- Understands the problems, opportunities and political dynamics underlying a particular situation, at local, national and international levels as appropriate
- Anticipates likely outcomes, based on understanding of decision-making processes and political dynamics

**Communicate with influence**

- Handles very difficult and sensitive subjects effectively in highly exposed situations
- Highly developed ability to read a group’s emotional dynamics and power relationships

**Social and Cultural Intelligence**

- Employs knowledge of New Zealand’s role internationally, key opportunities and risks across a range of issues and relationships with other countries

**Develop networks**

- Actively and continuously expands own networks at senior levels to provide trusted relationships, build personal credibility and increase influence in key forums

**Advanced – Potential derailers**

- Frustration when politics and stakeholder issues impact or slow decisions
- Resistant to taking advice – “knows best”
- Over-concerned with own reputation and “fronting” – reluctant to step back, “look bad” or lose face

# Leader Behaviours for Response Controllers and Recovery Managers

## Context for Managing self

- Visible results
- Clearer roles and expectations
- High time pressure and risk  
Interactions require high clarity
- Limited opportunity for reflection
- Stressful, emotional, distressing context

- Conflicting priorities and less clear-cut decisions
- Increasing pressure and scrutiny
- Lack of concrete information
- Political considerations become more important
- Less tangible or visible results

- Increasing number of formalised roles and relationships
- Potential for conflicting interests
- Emerging and unpredictable challenges
- Higher risk of failures and mistakes
- Decisions become more difficult
- Greater impacts for and on people

- Results achieved over a longer term and less visible
- High pressure and public scrutiny
- Multiple and diffuse accountabilities
- Leading across a system
- Political considerations are critical

### Developing - Indicator Behaviours

#### Self aware

- Understands own capability gaps and seeks to extend own knowledge, skills and experience
- Demonstrates empathy - can relate to other people and their situation

#### Curious and open-minded

- Encourages feedback and input on decisions and actions
- Listens to alternatives

#### Honest and courageous

- Readily takes action on challenges (steps up)
- Asks for help and support when out of their depth

#### Emotional control

- Manages own responses and reactions carefully when faced with demanding situations
- Understands own pressure points and implements techniques for managing stress and negative emotions when needed
- Attentive to others' emotional cues and prepared to respond

#### Resilient

- Maintains a high level of personal energy, motivation and self-discipline under pressure
- Able to juggle multiple priorities

#### Ethics and integrity

- Understands and works within policy and procedures
- Behaviour, actions and outcomes are honest, fair and open to account

### Developing – Potential derailers

- Limited understanding of how their emotional responses can impact on their own and others actions
- Uncomfortable with acknowledging their development areas and asking for feedback
- Finds it hard to prioritise and decide what not to do
- Finds it hard to discipline themselves to focus on work most critical to achieving objectives (rather than what they are comfortable with or see as personally important)
- Does not deal well with stressful environments
- Gets overwhelmed easily

### Competent - Indicator Behaviours

#### Self aware

- Shows commitment to self-development and developing others
- Understands and makes significant changes to their leadership style and approach when needed to meet situational demands
- Uses understanding of self and awareness of other people to ensure positive communication, especially in difficult circumstances
- Increases own effort and focus when the situation calls for this - knows when to change gears

#### Curious and open-minded

- Seeks feedback and input from others – tests ideas and assumptions and is influenceable - takes other's thinking on board

#### Honest and courageous

- Accepts accountability for own decisions and actions
- Role models the behaviours they ask of others

#### Emotional control

- Self manages emotions even when under pressure
- Responds constructively to stress, anxiety or fear in others – maintains a positive outlook and supports people

#### Resilient

- Deals with setbacks and negative feedback well – reflects and moves on
- Readily tries new approaches appropriate for new or changed situations, does not persist with ineffective behaviours

#### Ethics and integrity

- Models ethical practices to their people
- Balances competing interests and priorities ethically in making decisions
- Manages political relationships to maintain neutrality, objectivity and independence

### Competent – Potential derailers

- Pessimistic or over-confident in their abilities
- Limited adaptive skills
- Unsure of their own judgements - avoids hard calls
- “Patch” mentality – doesn't see their themselves as being part of a larger system
- Doesn't step back and consider issues through ethical/values lenses
- Actively or passively resists involvement of higher levels of leadership in response or recovery
- Interpret setbacks and criticism overly personally – intolerant or “prickly”
- Doesn't take time out to 'look after themselves'
- Daunted by risk
- Persists with ineffective behaviours
- Struggles to address low morale or de-motivation in others

### Highly competent - Indicator Behaviours

#### Self aware

- Views challenges as opportunities for growth and development and encourages others to do the same
- Knows own strengths and limitations, gets the right expertise and support around them

#### Curious and open-minded

- Encourages active exploration of issues
- Actively seeks out new experiences and information

#### Honest and courageous

- Prepared to “speak truth” to those above them
- Acknowledges where they don't know

#### Emotional control

- Recognises how their own and colleague's performance is affected by their level of emotional control
- Maintains clarity of thinking and perceptions under emotional pressure

#### Resilient

- Expects the unexpected
- Looks for opportunities and manages changes in direction or approach without undue fuss or drama
- Uses setbacks in a constructive way - remains decisive, analyses and learns from mistakes
- Stays energized, enthusiastic and confident and maintains high performance in self and others in very difficult or prolonged situations
- Thrives in diverse, challenging and ambiguous environments

#### Ethics and integrity

- Uses their leadership team and other relationships to build shared values and extend the influence of leadership values, culture and ethics

### Highly competent – Potential derailers

- Doesn't want to make the potential career sacrifices which could come from championing an unpopular point of view – self interested
- Not prepared to admit they were wrong
- Doesn't “pace” themselves well
- Wants to be the smartest person in the room
- Doesn't know when to step back and when to step forward
- Too focused on rules
- Over-invested in own point of view and opinions
- Loss of credibility through perception of political alignment

### Advanced - Indicator Behaviours

#### Self aware

- High capacity for self-reflection; looks back at setbacks and/or failures, insightful about key learnings for self and others and puts these learnings into action

#### Curious and open-minded

- Has a high level of comfort leading in situations they don't fully understand
- Comfortable with novel ideas and approaches

#### Honest and courageous

- Adapts approach when the situation requires (including changes in direction or tactics) without feeling as though it's a backtrack, compromise, or damaging to personal mana and credibility
- Shows moral courage in making hard decisions with significant risks or consequences for people
- Knows when to stand firm and when to accommodate, particularly when there is a power differential

#### Emotional control

- Maintains their calm and composure even under the most extreme circumstances
- Quick to influence others to shift their emotional responses as required by changing circumstances

#### Resilient

- Continues to exercise sound judgement, consider values and ethics and make sound decisions in extreme situations
- Draws upon own resilience and self-control to manage the emotions of others during adverse times

#### Ethics and integrity

- Prepared to confront unethical actions in others
- Takes principled stands, even when these are unpopular

### Advanced – Potential derailers

- Personally confident, but does not build confidence in others
- High personal standards and exacting about others performance – negative response to failure and does not use opportunities for others to develop
- Gets over-invested in their own point of view
- Does not narrow their focus unduly when under pressure
- Feels that making mistakes or changing tack makes them less of a leader

#### Self aware

Leverages self-awareness to improve skills and adapt approach quickly.

#### Curious and open-minded

Shows curiosity, flexibility and openness in analysing and integrating ideas, information and differing perspectives

#### Honest and courageous

Delivers hard messages and makes unpopular decisions to advance the best interests of people and communities

#### Emotional control

Manages own emotional state under pressure and sets the tone for others. Helps others maintain optimism and focus.

#### Resilient

Shows composure, grit and a sense of perspective when the going gets tough.

#### Ethics and integrity

Holds themselves accountable for their actions. Respects democratic, professional, ethical and people values. Builds respectful, diverse and inclusive workplaces

#### Links to Leadership Success Profile

- Honest and courageous
- Self-aware and agile
- Curious
- Resilient

#### Links to Hogan

## Capability 5

# Engagement and partnering with iwi and Māori

**You build the mana, knowledge and capability to engage with Māori in an effective and valued way. You understand your role and responsibilities in relation to the Treaty of Waitangi and actively partner with whānau, hapū and iwi in Response and Recovery.**

### Partnership under the Treaty of Waitangi

As a leader, understands and promotes the importance and relevance of the Treaty of Waitangi for response and recovery, and partnership obligations under the Treaty

### Understanding of Te Ao Māori

Develops and uses personal understanding of te reo Māori and tikanga Māori as a leader in range of informal and formal settings

### Engagement with Māori

Engages and builds meaningful, enduring relationships with Māori at iwi, hapū or whānau level (relevant to the situation) that shape joint decisions and actions

### Links to Leadership Success Profile

- Engaging others
- Leading with influence
- Leading strategically
- Enhancing organisational and system performance

### Links to Hogan

## Leader Behaviours for Controllers, Recovery Managers and Response Managers

### Context for Engagement and partnering with iwi and Māori

- Maori interests in the event are limited and/or iwi/Māori are not affected in any specific way
- Consultation may be needed to determine or verify any impacts or effects
- Targeted communication through different channels may be important

### Developing - Indicator Behaviours

#### Partnership under the Treaty of Waitangi

- Identifies response/recovery issues that may have a specific or disproportionate impact on Māori and how they need to be involved in developing the solutions

#### Understanding of Te Ao Māori

- Understanding of Māori place-based and social structures and values (e.g. mana whenua) and where Māori are best placed to make decisions
- Encourages others to understand and respect Māori cultural perspectives, values and beliefs
- Thinks about what they and others do in terms of equity and freedom from bias – understands the negative side of this and where practices are “one size fits all or discriminatory
- Acknowledges own knowledge and skill gaps in this area – knows what they don’t know

#### Engagement with iwi and Māori

- Confidence engaging with individual Māori representatives
- With advice, follows best practice for engagement that reflects Māori perspectives and cultural values/ local tikanga and kawa
- Designs and manages engagement so that expectations and solutions can be clarified and debated

### Developing – Potential derailers

- Does not acknowledge, or expresses negative opinions on the identity, language and culture of Māori.
- Makes assumptions on the resources and capacity iwi and Māori communities can contribute to response or recovery without engaging with them or responding to their needs and concerns
- Makes no attempt at correct pronunciation of common words and place names in te reo Māori

- Iwi/Māori interests will need to be taken into account (within a wider context) in some or many decisions and actions
- Feedback and input is sought from Māori community and/or iwi representatives at informal to more formal levels

### Competent - Indicator Behaviours

#### Partnership under the Treaty of Waitangi

- Understands their role and responsibilities as a Treaty partner
- Establishes partnerships and relationships that will meaningfully involve Māori at iwi/hapū/whānau level (relevant to the situation)
- Supports Māori expectations and aspirations to promote the wellbeing of Māori and the wider community
- Understands where statutory regimes require active consideration of the principles of the Treaty of Waitangi, including formalised consultation or engagement

#### Understanding of Te Ao Māori

- Uses greetings in te reo Māori, pronounces Māori words correctly
- Aware of the tikanga Māori they will encounter in more formal or marae-based settings, and their role in this
- Demonstrates an understanding of core Maori values such as mana whenua, manaakitanga, kaitiakitanga, rangatiratanga
- Understands the importance of local context and local iwi and community in response and recovery and engages with people who hold that knowledge

#### Engagement with iwi and Māori

- Leads so the response/recovery as a whole has clear processes for Māori consultation and decision-making is informed by Māori perspectives
- Works to timeframes that allow for engagement to be effective
- Designs and manages engagement so that expectations and intent can be clarified and debated

### Competent – Potential derailers

- Does not recognise the need to get and use Māori advice to support their engagement
- Resistant to the idea of doing things “differently” for Māori
- Seeks Māori input, but does not take account of this in decision-making, or leaves it too late
- Exhibits a lack of commitment to increase their knowledge of any culture other than their own
- Tolerant of low competence in engaging with Māori in their teams

- Iwi/Māori interests need to be taken into account (within a wider context) in many or all decisions and actions
- There is likelihood of specific impacts on iwi/Māori and joint problem-solving takes place for critical decisions
- Maori community and/or iwi representatives are actively involved in communications

### Highly competent - Indicator Behaviours

#### Partnership under the Treaty of Waitangi

- Looks for opportunities to define and focus on shared outcomes with iwi and Māori partners
- Leads others to ensure that obligations of the Crown in relation to the Treaty of Waitangi are reflected in their leadership and met in their outputs

#### Understanding of Te Ao Māori

- Opens up cultural issues for discussion with the team – leads discussion on underlying assumptions, divergent values and their impacts on the work
- Recognises and responds to different dynamics within and between iwi, hapū, and marae
- Knowledgeable about Treaty settlements and commitments in a given area, and how these impact on capabilities, resourcing, relationships and structures

#### Engagement with iwi and Māori

- Ensures all their team understand the needs and perspectives of Māori and have the right skills, competencies and advice to engage effectively
- Knows the landscape of key Māori organisations, their roles and relationships, and how to engage

### Highly competent – Potential derailers

- Attends situations where tikanga Māori is observed but demonstrates no active knowledge or understanding
- Engagement with Māori and iwi organisations is ad hoc, reactive, or superficial - does not reflect the ethos of partnership

- Māori interests are affected/there are potentially significant or overwhelming impacts for iwi/Māori
- Formal engagement and/or partnership is in place, and may be reflected in different functions, or at different levels
- Many or all decisions are taken in partnership, or by iwi/Māori for implementation

### Advanced - Indicator Behaviours

#### Partnership under the Treaty of Waitangi

- Motivates, supports, leads, and mentors others to engage effectively and appropriately through a partnership approach with Māori
- Co-designs partnerships and activities with Māori to ensure the best solutions for Māori
- Develops, implements, innovates and uses resources to achieve equitable outcomes for Māori and leads others to do the same

#### Understanding of Te Ao Māori

- Confidently uses basic te reo Māori and comfort with tikanga Māori in a range of informal and formal settings

#### Engagement with iwi and Māori

- Develops engagement processes that fully integrate Māori perspectives and cultural values
- Can draw on established networks with leadership in local or national iwi and Māori organisations

### Advanced – Potential derailers

- Assumes they know what is best without engaging
- Frustration when cultural considerations or issues delay actions or impact decisions

## Leader Behaviours for Controllers, Recovery Managers and Response Managers

### Context for Delivering results

- Known territory and higher level of predictability
- May be based on SOPs, pre-planning and other procedures
- Action focus and may be informal, or contributing to a larger plan
- Roles and responsibilities are more likely to be well-defined
- Deliverables may be clearer

#### Developing - Indicator Behaviours

##### Achieving ambitious outcomes

- Maintains a clear focus on goal achievement, anticipating and dealing with problems, conflicts and obstacles
- Works to standards (formal and documented)

##### Organisation and system performance

- Makes changes in systems and methods to improve effectiveness and performance for self and others

##### Leading change through people

- Builds others' understanding of the expectations and purpose of objectives allocated to them
- Ensures coordination between teams to achieve common goals
- Purposeful about where they invest their own and others' time and energies

##### Managing work priorities/Programme management

- Understands the vision and the goals they are working to
- Translates goals into achievable objectives
- Sets priorities for actions, given guidance
- Develops plans aligned with objectives, in collaboration with others
- Delegates responsibility and accountability for actions within and beyond their team
- Prioritises and manages people, time and resources to ensure that work is completed effectively and to timeframes
- Deals with conflicts in sequencing and priorities in consultation with others – decides on best approach
- Puts processes in place to check on progress against plans
- Finds ways around obstacles with minimal guidance

##### Resource management

- Determines resources necessary and co-ordinates their provision
- Allocates and controls resources within own area of responsibility/ scope of assignment.

#### Developing – Potential derailers

- Gets caught in reactive mode (firefighting) rather than identifying better ways of doing things)
- Makes limited effort to create clarity or alignment for others around strategy or purpose
- Does not understand the impacts of change or how to plan in a change context
- Spreads efforts too thinly, dilutes own/others' impact by focusing on too many/wrong priorities

- Immediate to medium term timeframes (day to a week)
- Input from and consultation with stakeholders and communities
- Focus is operational, but longer-term and strategic considerations and planning are increasingly important
- Planning is likely involve governance
- Increasing input from and consultation with stakeholders and communities

#### Competent - Indicator Behaviours

##### Achieving ambitious outcomes

- Sets specific objectives from strategic intentions and establishes concrete plans from identified (but incompletely defined) opportunities

##### Organisation and system performance

- Looks to achieve improved performance across a large team
- Understands how different parts of the system fit together and the pathways to get things done

##### Leading change through people

- Understands models for change management and how best to align the work programme with these
- Identifies and manages resistance to change
- Maintains momentum of change initiatives
- Resolves competing input and advice on needs, problems and opportunities for implementation of change

##### Programme management

- Pulls a range of activities into an aligned programme of work with clear priorities
- Determines the structures and capabilities needed to support delivery
- Tracks and reports on progress and outcomes across the programme of work – “what really matters”
- Assesses and weighs up risk exposure
- Builds adaptive capacity into planning processes to meet changing demands
- Ensures that project outcomes are sustainable and deliver benefits

##### Resource management

- Identifies and manages resources so these are available, invested at the right time, and focused on priority objectives
- Responsibly allocates, monitors and accounts for the use of resources, following best practice
- Develops practical solutions to address resource issues

#### Competent – Potential derailers

- Struggles to build a concrete plan of action once strategy or direction is set
- Focuses on short-term issues and immediate results to the detriment of longer-term objectives
- Doesn't see building contribution and capability to deliver (e.g. in communities) as an expectation of their role
- Limited understanding of change leadership
- Operates on a project by project basis, rather than across the programme of work

- Focus is medium to longer term and more strategic
- Increasing scale and complexity for planning and delivery
- More emphasis on leading change
- Multi-level and multi-functional – alignment becomes more important
- High levels of community and stakeholder engagement and involvement are integral to planning and delivery

#### Highly competent - Indicator Behaviours

##### Achieving ambitious outcomes

- Understands where to adapt strategy (and objectives flowing from this) when unexpected paths and opportunities emerge
- Sets challenging goals for self and others and works to meet these

##### Organisation and system performance

- Prepared to challenge existing practices to increase effectiveness
- Works to achieve improved performance across different levels and teams
- Looks for system solutions and delivery options built through collaboration across the system (i.e. third party providers, government, non-government, iwi, business, community)
- Builds a continuous improvement culture in own and partner organisations

##### Leading change through people

- Facilitates agreement between groups with conflicting priorities on how to coordinate common efforts
- Knows when and how to push stakeholders to consider difficult issues they are avoiding

##### Programme management

- Makes reasoned decisions between methods, systems or procedures to manage and prioritise the work programme where there is limited guidance or precedent
- Integrates and aligns efforts across multiple projects that impact common groups of stakeholders
- Ensures long-term value creation underpins short-term reactive problem solving

##### Resource management

- Evaluates the financial and resource impact of decisions and develops strategies to address financial and resource issues

#### Highly competent – Potential derailers

- Not aware of the frameworks they can use to increase performance and effectiveness
- Focuses on what is visible when designing the work programme – does not address underlying and unexpressed needs
- Not highly motivated to achieve more than is expected
- Focused on sticking to the plan and misses opportunities
- Directs and drives change when they should consult and engage (or vice versa)

- Focus is longer term
- Significant and unpredictable obstacles and risks to the achievement of goals
- Context requires design and implementation of change with little or no precedent
- High stakes political interest and stakeholder involvement
- Work programme alignment with other agencies, partners, and stakeholders

#### Advanced - Indicator Behaviours

##### Achieving ambitious outcomes

- Takes calculated risks in the face of obstacles to reach goals
- Generates unorthodox but workable and useful solutions to difficult problems (particularly where more orthodox options have failed) to get better results
- Demonstrates courage around implementing innovative approaches at scale and takes a safe to fail approach to risk management

##### Organisation and system performance

- Works to lift performance across a wider system, including partners and stakeholders
- Provides expert advice on options for operating models, co-ordination/partnership structures and other mechanisms for supporting goal achievement
- Creative in how they set up structures - understands how reducing hierarchies and functional boundaries can increase innovation and potential for change
- Identifies where policies or legislation may need to change to enable delivery and gets this underway

##### Leading change through people

- Builds a guiding coalition among key organisations and a stakeholders to set direction and implement
- Achieves progress through a disciplined approach to managing directed activities (which may run counter to stakeholder input) and participatory environments that support effective co-design with stakeholders

##### Programme management

- Uses good business and political acumen to anticipate risks, protect interests and make tough, defensible decisions on trade-offs

##### Resource management

- Knows when and how they need to influence politicians, stakeholders and government leaders on how policies are set and decisions are made to unlock and allocate resources

#### Advanced – Potential derailers

- Inhibiting creativity and empowerment of leaders, and team members
- Prefers the 'tried and true' based on past experience
- Focused on hierarchy/command structures as the “best way” for every situation

**You translate strategy and decisions into action and plan effectively to make sure the right things happen. You focus on getting things done with and through others to co-ordinate activities and create change and progress to meet community needs.**

#### Achieving ambitious outcomes

Demonstrates achievement drive, ambition, optimism, and delivery focus; to make things happen and achieve results for communities

#### Organisation and system performance

Works collectively across system boundaries - levels of response and recovery, communities, stakeholders, elected officials, government agencies, business and partners to deliver sustainable improvements to system and community outcomes

#### Leading change through people

Chooses and applies the right change management approaches to the context to support successful change for communities

#### Programme management

Translates strategy into action through managing across projects and change activities to deliver on short, medium and long-term and create community benefits

#### Resource management

Secures and makes the best possible use of resources, capabilities and assets to deliver on

#### Links to Leadership Success Profile

- Achieving ambitious goals
- Managing work priorities
- Enhancing organisational performance
- Enhancing system performance

#### Links to Hogan