

# CAA Organisational Culture Review 31 Recommendations Status Report

Recommendation Number	Recommendation	Status at January 2021	Actions	Status as at June 2021	Current Status as at 30 June 2021		
					Completed	Under action	Not started
<b>Theme: Leadership and management</b>							
<b>Recommendation 1</b>	<p>The Board, Chief Executive and ALT acknowledge past failings to consistently identify and respond to poor workplace culture and the negative impact these failings have had on former and current staff, the organisation and the industry and stakeholders.</p> <p>This should include an acknowledgement that statements made about the culture being good and questioning the motives of complainants whilst made in good faith are not accurate and had the effect of further eroding the trust staff had in the Board and senior management of the CAA.</p>	When the Ministerial Review Report was released the Authority Board Chair acknowledged past failings in a media statement and in videos to staff.	1.1	When the Ministerial Review Report was released the Authority Board Chair acknowledged past failings in a media statement and in videos to staff.	✓		
		The Acting Chief Executive (A/CE) acknowledged past failings to current and former staff via videos, emails, commentary in the Annual Report, meetings with current and former staff, and at various meetings with industry in Auckland, Wellington, Christchurch, Queenstown and Palmerston North.	1.2	The Acting Chief Executive (A/CE) acknowledged past failings to current and former staff via videos, emails, commentary in the Annual Report, meetings with current and former staff and at various meetings with industry in Auckland, Wellington, Christchurch, Queenstown, Palmerston North.	✓		
<b>Recommendation 2</b>	<p>The Board determine whether the organisation's leadership is operating effectively to deliver the culture change desired and where this is not the case, the Board should implement changes in order to do so.</p> <p>The Board should set clear expectations for the Chief Executive to implement changes to achieve the desired levels of leadership cohesion and performance across all levels of the CAA and request regular reporting from the Chief Executive to ensure delivery.</p>	The Authority Board Chair has been clear in the Acting CE's performance expectations in relation to implementing changes and developing a cohesive leadership team.	2.1	The Authority Board Chair has been clear in the CE's performance expectations in relation to implementing changes and developing a cohesive leadership team.	✓ <i>Ongoing</i>		
		A Board Committee overseeing the Authority's Culture change programme was established in July 2020. Its primary objective is to assist the Board to fulfil its governance responsibilities relating to the CAA Culture Change Programme. The Committee is also the conduit for direct communication between staff and the Board via the Te Kākano Taskforce.	2.2	A Board Committee overseeing the Authority's Culture Change Programme was established in July 2020. Its primary objective is to assist the Authority Board to fulfil its governance responsibilities relating to the Culture Change Programme. The Committee is also the conduit for direct communication between staff and the Authority Board via the Te Kākano Taskforce.	✓ <i>Ongoing</i>		
		The Acting CE provides regular progress updates to the full Board in the monthly Acting CE's Board report.	2.3	The CE provides regular progress updates to the Authority in the monthly CE's Board report.	✓ <i>Ongoing</i>		
		The Authority provides quarterly reporting to the Ministry of Transport and the Minister of Transport on programme progress.	2.4	The Authority provides quarterly reporting to the Ministry of Transport and the Minister of Transport on programme progress.	✓ <i>Ongoing</i>		

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Recommendation 3	The Board review and revise its health and safety strategy to expressly recognise bullying, harassment and discrimination as a significant health and safety risk and set out the Board's zero-tolerance policy to the Chief Executive and ALT to ensure they consistently and proportionately respond to every occasion where standards have not been met and request regular reporting from the Chief Executive to ensure delivery.	<p>The 'Addressing workplace bullying, harassment and discrimination' policy was approved in December and was released in January 2021. The release of the policy sets clear expectations of behaviour and increased accountability for leaders and our people.</p> <p>Regular weekly reporting provided to the Acting CE on current complaints (including harassment, bullying, and discrimination).</p> <p>The Health, Safety and Wellbeing Strategy is under action and will be drafted by mid-February. The final document will be agreed and completed by the end of March ready for the Health and Safety Board Committee meeting on 15 April 2021. A new Health, Safety and Wellbeing monthly dashboard is currently being developed and is due for discussion to ALT in late February/early March. It is scheduled for Board discussion in April 2021.</p> <p>Acting CE has followed up on every reported incident reported to her office, relating to potential inappropriate behaviour.</p>	3.1	<p>The vision of what the Authority will be in 2026, talks to a broader outcome (building the sustainable framework of systems, processes, indicators, measures, knowledge, skills and behaviours), which includes all health and safety risks such as bullying, harassment and discrimination. It describes- what people will experience of our HSW culture and how we move from current to our ideal future state:</p> <p><i>'We are a place where everyone feels safe, valued, respected and included; where people are well supported themselves and look out for each other'.</i></p>		✓	
			3.2	<p>The 'Addressing workplace bullying, harassment and discrimination' policy was approved in December and released in January 2021. The release of the policy sets clear expectations of behaviour and increased accountability for leaders and our people and states that it is seeking to prevent bullying, harassment and discrimination by making it clear that unacceptable or unwelcome behaviour will not be tolerated and clarifying what unacceptable or unwelcome behaviour looks like.</p>	✓		
			3.3	<p>There is regular reporting from the DCE – OD&amp;S to the Chief Executive on current complaints via both the Employment Relations Lead and the Te Kākano Programme (this includes complaints relating to harassment, bullying, and discrimination and all current investigations) via:</p> <ul style="list-style-type: none"> <li>Complaints raised within the Authority through to the People Team are reported by the Employment Relations Lead, and</li> <li>Complaints raised with Humankind (an external Human Resource and Employment Relations consultancy) are reported by the Te Kākano Programme to the Te Kākano Steering Group, Te Kākano Board Committee and the Authority Board.</li> </ul>	✓ Ongoing		
			3.4	<p>A manual process is currently in place to assist the reporting of complaints and status updates. To mitigate any risk in relation to manual reporting, work is underway to explore options for the capture and reporting of Sensitive Events to be incorporated in the Health, Safety and Wellbeing Management System and this work is planned to be part of the future roadmap with a time horizon of 18 to 24 months.</p>		✓	

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Recommendation 4	<p>The Board review what information and reports it receives regarding the health, safety and wellbeing of staff to ensure it has access to timely, accurate and appropriate levels of information about staff wellbeing.</p> <p>This should be included as a specific item on the Board's Health and Safety Committee agenda.</p>	<p>The Authority Board receives monthly reporting on health, safety and wellbeing issues and an update on trends.</p> <p>The Te Kāhano Board Committee receives monthly reporting on concerns and complaints raised through Humankind.</p> <p>The Board has received a full briefing on the Pulse Survey findings and results of the 'Your View' 2020 staff engagement survey including aspects of health, safety and wellbeing.</p> <p>The Board has noted the Authority's areas of focus.</p> <p>There will be updated reporting to the Health, Safety and Wellbeing Board sub-committee in early 2021 as noted above.</p>	4.1	<p>The Authority Board receives monthly reporting on health, safety and wellbeing issues and an update on trends.</p> <p>The Te Kāhano Board Committee receives reporting monthly reporting on concerns and complaints raised through Humankind.</p> <p>A quarterly People Dashboard is provided to the Authority Board which includes an Employee Relations update from CAA.</p> <p>The Authority Board receives full briefings on Pulse surveys and Engagement surveys results.</p> <p>These briefings include insights and information to aspects of health safety and wellbeing of staff.</p>	✓ Ongoing		
			4.2	<p>As part of the proposed annual workplan for the Health Safety and Wellbeing Framework, the following will be developed:</p> <ul style="list-style-type: none"> <li>a reporting dashboard and measures will be put in place to assess indicators</li> <li>linking features to the design of automating data measures when Health Safety and Wellbeing System options are scoped.</li> </ul> <p>People Unit reporting will be incorporated into the proposed Health Safety and Wellbeing Management System</p>			✓
Recommendation 5	<p>The Board require the ALT to systematically report to it on conduct issues and complaints and any health and safety risks associated with them. Similarly, the CAA's ALT and Executive Management Team should also be receiving systematic and full reporting and advice on open complaints in relation to bullying and harassment, including sexual harassment or sexual assault.</p>	<p>The Board receives reporting on conduct issues, complaints and any associated Health and Safety risks via board papers and Te Kāhano Board Committee meetings.</p> <p>ALT receives reporting on current issues and complaints reported through to Humankind. This includes types of complaints, number of complaints and location of an incident.</p> <p>Weekly Employment Relations reporting is provided to the Acting CE.</p>	5.1	<p>The Authority Board receives reporting on conduct issues, complaints and any associated Health and Safety risks via board papers and Te Kāhano Board Committee meetings.</p>	✓ Ongoing		
			5.2	<p>The Authority Leadership Team receives reporting on current issues and complaints reported through to Humankind. This includes: the type of complaints, the number of complaints and the location of incidents.</p> <p>An interim complaints process has been implemented in collaboration with Humankind and has been agreed by the Authority Leadership Team. As part of this, Humankind provides regular status and update reporting to ALT.</p>	✓ Ongoing		
			5.3	<p>Health Safety and Wellbeing Management System:</p> <p>As part of the proposed annual workplan there will be the development of:</p> <ul style="list-style-type: none"> <li>a reporting dashboard and measures to assess indicators, with links to design of automated data measures when Health Safety and Management System options are scoped</li> <li>People Unit reporting will be incorporated into the proposed Health Safety and Wellbeing Management System.</li> </ul>			✓

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<b>Recommendation 6</b>	<p>The Board, ALT and the unions formalise their commitment to eliminating bullying and harassment from the CAA and commit to adopting a partnership approach to working together.</p> <p>This approach should be taken in working together to review complaints about bullying and harassment, the review of policies and procedures for managing complaints and a review of the code of conduct.</p>	<p>The new 'Addressing workplace bullying, harassment &amp; discrimination' policy was agreed, in consultation with the unions.</p> <p>Data is provided to ALT and the Authority Board, and union leadership on the number of complaints and resolutions.</p> <p>The Acting CE attends quarterly meetings with union delegates to discuss any issues relating to complaints, to provide them with an update on the culture change programme, and ongoing initiatives to improve our workplace culture.</p> <p>The Te Kākano Taskforce (comprising staff and union participants) was established to ensure a partnership approach is taken to culture change. The Authority's Values were developed by the Te Kākano Taskforce.</p> <p>The Code of Conduct is currently under review.</p> <p>Aggregated data will be provided to Unions quarterly with effect from February 2021 for discussion, to provide reassurance that the policies and procedures for managing complaints are working.</p>	6.1	The new 'Addressing workplace bullying, harassment & discrimination' policy was agreed, in consultation with the unions.	✓ <i>Ongoing</i>		
			6.2	<p>A minor amendment has been approved to the Commitment Statement contained in the Health Safety and Wellbeing Strategy which formalises the Authority Board, Authority Leadership Team and Union commitment to eliminating bullying and harassment and commitment to adopting a partnership approach.</p> <p>The Authority regularly engages with the Unions at all levels of the organisation, both formally and informally which includes updates and feedback on the culture change programme:</p> <ul style="list-style-type: none"> <li>CAA: Monthly meetings with PSA and PSA delegates</li> <li>Avsec: Fortnightly meetings with NUPE, E tū and PSA</li> <li>CAA and Avsec: Quarterly meetings with NUPE, E tū and PSA with the Chief Executive</li> <li>Avsec: local forums with all unions set up, or being set up, at each station.</li> </ul>	✓ <i>Ongoing</i>		
			6.3	<p>Staff can raise complaints via Humankind and reporting is provided to the Board and ALT on a monthly basis.</p> <p>A summary report is made available to all staff on the intranet.</p> <p>Complaints received directly by People Team are reported to both the Authority Leadership Team and to the Unions.</p>	✓ <i>Ongoing</i>		
			6.4	<p>There is a requirement in the June 2021 revised Te Kākano Taskforce Group Terms of Reference (endorsed by the Authority Board) for union representatives to keep their union informed of Taskforce group activities.</p> <p>Additionally, programme updates are provided to union representatives and delegates by the Te Kākano Programme Manager at monthly meetings.</p>	✓ <i>Ongoing</i>		
			6.5	The planned Health, Safety and Wellbeing Management system will include the capability to capture data and information relating to Sensitive Events, and the management and reporting of these events.			✓
			6.6	<p>An Interim Complaints Process (ICP) has been established in collaboration with Humankind for staff to raise concerns.</p> <p>Recently it was identified that there were some barriers that prevented staff from proceeding with raising a concern or making a complaint. Options to improve this process are being considered to reduce the barriers for staff raising concerns through Humankind where other channels are not suited.</p>		✓	

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			6.7	<p>There will be an ongoing need to provide multiple channels for staff to raise concerns.</p> <p>These long-term channels will be developed over the next period with a focus on continuous improvement in collaboration with the People Team, Te Kāhano and Humankind.</p> <p>Next steps will also include an assessment of all current channels including whether the Interim Complaints Process is fit for purpose long-term, and how it might fit into business as usual as the culture change programme transitions to the People Team in February 2022.</p>			✓
			6.8	<p>The Taskforce Group is working with the Te Kāhano Programme team to develop a refreshed Code of Conduct which will be launched this calendar year.</p> <p>The review is being informed by the results of the staff survey and includes members of staff being directly involved in the drafting of the Code of Conduct and its associated products.</p> <p>The process is guided by a set of principles as follows:</p> <ul style="list-style-type: none"> <li>• Set out clear guidelines of what's expected of our people</li> <li>• Support us to live our new Values every day</li> <li>• Be accessible to all staff and available in a range of both paper and digital formats</li> <li>• Be more positive and inclusive in tone, style and language</li> <li>• Clearly articulate the above and below the line behaviours</li> <li>• Comply with the Public Service Act requirements</li> <li>• Enshrine our commitment to Te Tiriti o Waitangi</li> <li>• Be modernised, including guidance on things like social media use.</li> </ul>		✓	
<b>Recommendation 7</b>	The Board develop an engagement plan to ensure it has a direct line of communication to staff and unions in order to assure itself that it is appropriately aware of the state of the culture and any health and safety risks in relation to workplace practices/behaviours.	The Te Kāhano Principal Communications Advisor is to develop a longer-term engagement plan in February 2021.	7.1	<p>The Authority Board agreed engagement with the Te Kāhano Taskforce at the monthly Te Kāhano Board Committee meetings will continue, to be reviewed in February 2022.</p> <p>This enables the Board Committee to ensure that direct staff/union communication with the Authority Board can occur on a regular basis.</p>	✓ <i>Ongoing</i>		
			7.2	<p>The ongoing engagement of the Te Kāhano Board Committee with the Taskforce Group provides the opportunity for the Taskforce Group to raise issues with the Authority Board to make them aware of the current state of culture and health, safety and wellbeing practices and behaviours.</p>	✓ <i>Ongoing</i>		
			7.3	<p>The Authority Leadership Team is represented by DCE OD&amp;S at Taskforce Group meetings where members can openly raise issues directly but also take the opportunity to engage with staff during station visits.</p>	✓ <i>Ongoing</i>		

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<b>Recommendation 8</b>	Using the results of this report the ALT initiate an organisation-wide culture change programme.  This programme should be jointly designed and led by management, staff, and the unions, supported by appropriate experts. The Board should approve this programme and monitor progress against expected milestones.	An organisation wide culture change programme was established in June, with a Programme Team, a Board Committee and a staff and union taskforce.  The Te Kāhano Board Committee meets monthly to review progress, with additional updates on the programme provided at Authority Board meetings. The Programme Manager provides a monthly status report.  A Taskforce comprising of staff and union representatives has also been established and both groups work to a programme plan approved by the Board.	8.1	An organisation wide culture change programme was established in June 2020 to run until the end of February 2022. To assist in the facilitation of culture change at the Authority a Programme Team, Board Committee and a staff and union taskforce group were established.	✓ <i>Ongoing</i>		
			8.2	The Te Kāhano Programme Manager provides monthly programme status updates to the Authority Board, Authority Leadership and Board Committee.	✓ <i>Ongoing</i>		
			8.3	A Te Kāhano Reference Group has been established and will support the development of a proposed Future Culture Change Activities Roadmap this calendar year. This will inform the ongoing work programme for culture change within the Authority to be managed as business as usual activities from February 2022.		✓	
			8.4	Culture change at the Authority is much wider than the Te Kāhano programme. The Authority has developed several strategies in the past year which collectively provide an integrated approach to culture change across the Authority.  These strategies include: <ul style="list-style-type: none"> <li>February 2020 – Horizon 2030 Strategy (Avsec)</li> <li>November 2020 – People Strategy</li> <li>March 2021 – Leadership Strategy</li> <li>March 2021 - Diversity &amp; Inclusion Strategy 2021 – 2026</li> <li>June 2021 - Health, Safety and Wellbeing Strategy.</li> </ul>	✓ <i>Ongoing</i>		
<b>Recommendation 9</b>	The Board work with the ALT to refresh the CAA's values and behaviours and ensure these are aligned to the culture the Board expects to see operating within the CAA as a result of the culture change programme.	Authority Values with clear corresponding behaviours were launched on 1 December 2020.  Further embedding of the values will start in 2021, in discussion with staff and management to set expectations.  A plan to embed the values will be developed and subsequently implemented across the Authority.	9.1	The Authority developed and released a new set of Values on 1 December 2020.  These were staff-led and developed by the Te Kāhano Taskforce Group and included consultation with broader staff.	✓ <i>Ongoing</i>		
			9.2	There is work underway to embed the values across the Authority, through Taskforce Group led engagement activities with their peers and input from the People Team - supporting managers to have team conversations, as well as policies and processes being reviewed to embed the values.		✓	
			9.3	The Authority Values and expected behaviours will be incorporated into the refreshed Code of Conduct being launched this calendar year.		✓	
			9.4	Respect and Inclusion workshops included reinforcing the Authority Values and related expected behaviours.  All staff were provided the opportunity to participate in the workshops and reflect on their own behaviour and the way they deal with issues at work.  These sessions have built a shared understanding of what is acceptable in a modern public service workforce, equipped our people to deal with issues in a common language and explained what support and complaint options are available.	✓		

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<b>Theme: Keeping staff engaged and safe</b>							
<b>Recommendation 10</b>	<p>The ALT will undertake a staff engagement survey as a matter of urgency and report the results and proposed action plan to the Board, staff and unions.</p> <p>Following which the ALT should implement regular pulse surveys to assess progress against the baseline survey and take appropriate corrective action to ensure the culture continues to move to the desired state.</p>	<p>A Pulse survey to capture positive workplace behaviours was completed in July 2020.</p> <p>A full Culture, Performance and Engagement survey was completed in October 2020. Actions plans were developed by teams across the Authority, following the release of the results.</p> <p>Organisation focus areas were agreed by ALT and included leadership, behaviours &amp; performance.</p> <p>Presentations were made to the ALT, the unions, and to all staff via an online town hall session. Organisation wide results were also made available on the intranet Te Kūaha. The Acting CE and the Board were briefed in detail.</p> <p>Team action planning is due end February 2021.</p>	10.1	Annual Staff Engagement Surveys (YourView) now in place with the capability to undertake 'pulse' surveys to gauge engagement for specific focus areas.	✓ <i>Ongoing</i>		
			10.2	A Culture Change Pulse Survey was run in June 2021. The purpose was to measure the progress of change across the Authority as we work to build a safe, respectful and inclusive workplace.	✓		
			10.3	The results will be reported back to the Authority Board, Authority Leadership Team, and staff from late-July 2021.		✓	
			10.4	The next 'YourView' survey is planned for October 2021.			✓
			10.5	Following the release of the YourView 2020 results, managers eligible for team reports were also provided with information and resources in order to turn the survey insights into meaningful actions. We called this process <i>Action Planning</i> . Managers across the Authority were responsible for developing action plans in discussion with their teams.	✓		
			10.6	A process is being developed to ensure actions plans are in place and implemented for all teams in the Authority.		✓	
<b>Recommendation 11</b>	<p>The ALT make clear again to all staff its zero-tolerance policy for inappropriate behaviours and ensures staff consistently and proportionately respond to every occasion where standards have not been met and that any inappropriate behaviour is reported to the ALT for oversight.</p>	<p>The A/CE has made it clear to all People Managers, reinforced at regular management meetings and at the Respect and Inclusion Workshops that inappropriate behaviours will not be tolerated.</p> <p>Developing regular communications messages to reinforce positive behaviours.</p>	11.1	The CE has made it clear to all People Managers, reinforced at regular management meetings and at the Respect and Inclusion workshops that inappropriate behaviours will not be tolerated.	✓ <i>Ongoing</i>		
			11.2	<p>The DCE OD&amp;S and People Leaders have included and will continue to include messages about safe, healthy and appropriate behaviours at the Authority – by example, by expectation and by encouragement - from all leaders and all employees.</p> <p>For example:</p> <ul style="list-style-type: none"> <li>• Our overall goal is to preserve the mana of everyone we encounter to show by our language and behaviour that we value and respect everyone</li> <li>• We will offer feedback that focuses on issues and processes, not people and personalities – we will seek to be truthful, kind and useful in our collaboration and feedback</li> <li>• We seek support and speak out where we have concerns about ourselves or others.</li> </ul>	✓ <i>Ongoing</i>		
			11.3	Reporting of inappropriate behaviour is made either via the People Team, to a Senior Manager or Humankind - an independent provider which provides a process for staff who wish to have their complaint handled independently.	✓ <i>Ongoing</i>		

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			11.4	Monitoring of the interim complaints process identified barriers for staff in raising concerns. To address these barriers, Te Kāhano programme is working collaboratively with Humankind and the People Team to develop options for improving the interim complaints process.		✓	
			11.5	The planned Health, Safety and Wellbeing Management system will include the capability to capture data and information relating to concerns raised by staff such as bullying, and the management and reporting of these events.			✓
Recommendation 12	<p>The ALT establish a peer support network consisting of trained staff at all levels of the organisation to assist with the reporting of issues, and the mentoring and support of staff going through the process.</p> <p>Staff involved should be trained in all aspects of complaints procedures, privacy and confidentiality issues, and support mechanisms to be able to adequately support and mentor those who approach them.</p> <p>The ALT consider the introduction of a welfare manager to its staff complement for the foreseeable future.</p>	<p>The People Team have developed a plan and are awaiting signoff of roll-out plan and costs. Requirements for a Peer Support Network will be scoped by end February 2021.</p> <p>The introduction of the Health, Safety and Wellbeing Manager role encompasses welfare within the wellbeing focus and responsibilities of this function with links across the People Team.</p> <p>Wellbeing development and support is a key focus area of the Health, Safety and Wellbeing strategy being drafted.</p>	12.1	The Manager of Health, Safety and Wellbeing has been in place since October 2020 and has led the development of the Health, Safety and Wellbeing Strategy which provides an outline of the peer support network with links to culture change and Te Kāhano.	✓		
			12.2	<p>The peer support network will be developed and established as part of the Wellbeing Framework and will include the following:</p> <ul style="list-style-type: none"> <li>• identification of high-risk wellbeing work activities/teams/functions</li> <li>• professional supervision needs for identified roles</li> <li>• design of wellbeing workshops for leaders/high risk teams/all staff</li> <li>• a range of tiered preventive and responsive support options such as: <ul style="list-style-type: none"> <li>- self-referral – employees, contractors, families</li> <li>- a trained and coordinated peer support team network</li> <li>- clinical psychology, on-site Kaiāwhina &amp; extended support</li> </ul> </li> <li>• pre-employment wellbeing checks and options for ongoing checks.</li> </ul> <p>The paper with proposal and costs will be prepared for approval this calendar year.</p>			✓
Recommendation 13	<p>The ALT review how it can promote healthy conversations (including about specific incidents where appropriate and whilst maintaining privacy and confidentiality) to encourage staff to discuss what being treated with dignity and respect means in order to promote a culture that is open and truly diverse and inclusive.</p>	<p>The Centre for Vision and Leadership workshops were held with ALT in June/ July 2020. Respect and Inclusion workshops were provided to staff to highlight appropriate behaviour, how to address unacceptable behaviour, and what support is available to our people. The Acting CE opens each staff workshop to demonstrate the importance of the culture change programme and to set clear expectations. All current staff are to be trained by the end March 2021. The People team is currently investigating what training will be available to our people in-house after March 2021.</p>	13.1	All staff have been provided the opportunity to participate in the Respect and Inclusion workshops which have been developed for staff to reflect on our behaviour and the way we deal with issues at work. These workshops have built a shared understanding of what is and is not acceptable in a modern public service workforce, helped to equip our people to deal with issues in a common language and explain what support and complaint options are available.	✓		
			13.2	The Diversity and Inclusion Strategy and Health, Safety and Wellbeing Strategy reinforce our values and promote a culture that is truly open, diverse and inclusive.	✓		
			13.3	Wellbeing workshops are being developed this calendar year with a planned roll out of 2022.			✓

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Recommendation 14	<p>The ALT strengthen an early intervention/de-escalation approach with processes to deal with less serious issues by initiating appropriate bullying and harassment complaints management training for all managers. This training is to be recorded and refreshed regularly.</p> <p>Managers should also have access to skilled facilitators either internally or externally through a specialist dispute resolution unit established internally.</p>	<p>Following signoff of 'Addressing workplace bullying, harassment and discrimination' policy, toolbox sessions for managers will be developed and launched by March 2021. This will include education about the complaints process and what to do if a complaint is received.</p> <p>The Employment Relations Lead will provide access to skilled facilitators.</p>	14.1	To support complaints training, an E-module on 'Addressing workplace bullying, harassment and discrimination' will be available from October 2021 to assist staff to understand and deal with less serious issues.		✓	
			14.2	<p>The following has either been rolled out or is planned to be rolled out to assist in strengthening early intervention:</p> <ul style="list-style-type: none"> <li>• Leadership Strategy - May 2021</li> <li>• Management Skills Development Programme – May 2021</li> <li>• Management Matters Programme – Four 2 x day workshops</li> <li>• Leadership Capability Framework – October 2021</li> <li>• Leadership Development Framework – December 2021</li> <li>• Wellbeing Workshops – 2022 calendar year.</li> </ul>		✓	
			14.3	<p>In addition, the Authority regularly uses the mediation service that MBIE provide, which enables a confidential forum for the parties to discuss and resolve issues. The Authority has found mediations to be effective for this purpose, particularly given the experience of mediators and the diverse backgrounds they offer.</p> <p>Once a complaint is received, the People Team undertakes an assessment to better understand the requirements and to identify next steps and whether to engage an internal or external a skilled facilitator.</p>	✓ <i>Ongoing</i>		
Recommendation 15	<p>The ALT improve the support it provides to participants going through the complaints process.</p> <p>This should include improved communication with participants on timelines and progress, consistent advice and support from HR and advice on the outcomes of such an investigation.</p> <p>It should also continue to include the provision of specialist services beyond EAP to those who request or need such services and ensure support is provided by suitably trained people through the complaints process.</p> <p>This should include regular follow-ups with the participant to ensure concerns are addressed.</p>	<p>A new employee assistance programme has been contracted with Instep, in place from May 2020. Staff were advised about ways to access support.</p> <p>Additional psychological support resource will be provided to staff.</p> <p>A wider wellbeing framework will be a key pillar of the Health, Safety and Wellbeing Strategy being developed.</p> <p>Humankind Ltd (external provider) was contracted for staff to use as a safe place to raise concerns or receive support to lodge formal complaints.</p> <p>The development of a Health, Safety and Wellbeing Management System as a central repository of all Health, Safety and Wellbeing data and information across the Authority will include a sensitive reporting area, where people can raise confidential concerns particularly around wellbeing issues.</p>	15.1	A new confidential counselling service for staff was set up. Our trusted independent provider for confidential advice and counselling work-related or personal issues is now Instep – replacing EAP Limited.	✓ <i>Ongoing</i>		
			15.2	Humankind supports staff through the complaints process and provides regular follow ups.	✓ <i>Ongoing</i>		
			15.3	<p>Additional support beyond EAP services will be considered for inclusion in the wellbeing framework, including but not limited to:</p> <ul style="list-style-type: none"> <li>• wellbeing workshops for leaders/high risk teams/all staff</li> <li>• establishment of a trained and coordinated peer support network</li> <li>• direct referral to clinical psychology support</li> <li>• self-referral by employees, contractors and families</li> <li>• on-site Kaiāwhina (clinical psychologist) access at all Authority sites</li> <li>• pre-employment and ongoing wellbeing assessments.</li> </ul>			✓
			15.4	The planned Health, Safety and Wellbeing Management system will include the capability to capture data and information relating to sensitive events, and the management and reporting of these events.			✓

Recommendation Number	Recommendation	Status at January 2021	Actions	Status as at June 2021	Current Status as at 30 June 2021		
					Completed	Under action	Not started
Recommendation 16	The ALT implement a “safe space” protocol whereby, while a complaint of bullying or harassment is being investigated, complainants and respondents are not in proximity to each other either physically or in their reporting lines.	The People Team has implemented this by updating the Investigation Terms of Reference template to include this requirement.  This action will be picked up in each investigation.	16.1	The safe space protocol is part of an investigation terms of reference. This is considered at the outset of each investigation that CAA is leading.	✓ <i>Ongoing</i>		
			16.2	Currently, capturing of and reporting of the application of the safe space protocol is done manually by the People team.		✓	
			16.3	The planned Health, Safety and Wellbeing Management System will also include a sensitive and confidential reporting area as identified above.			✓
Recommendation 17	The ALT ensure that all persons who have responsibility for receiving and resolving complaints of bullying and harassment receive adequate information or training in the delivery of the CAA procedures and practices and that their competency to manage complaints is appropriately and regularly assessed, at a minimum annually.	Inhouse training - will be developed and rolled out in February/March 2021	17.1	To support complaints training, an E-module on ‘Addressing workplace bullying, harassment and discrimination’ will be available from October 2021 to assist staff to understand and deal with less serious issues.		✓	
			17.2	The Authority ensures that people managing and investigating complaints are appropriately skilled and competent to do so by: <ul style="list-style-type: none"> <li>Ensuring leaders can access advice and support from those who are experienced, skilled and able to provide advice. This includes People Team professionals with extensive ER experience and lawyers. Having advice and support available in real time ensures processes are appropriately managed</li> <li>Having a detailed Addressing Bullying, Harassment and Discrimination Policy which provides information for leaders at any time</li> <li>Leaders will undertake an e-module on Addressing Bullying and Harassment</li> <li>Leaders will then be able to access the Addressing Bullying and Harassment e-module again in real time when they need it.</li> </ul>		✓	
			17.3	Ensuring only qualified or experienced investigators are appointed to investigate complaints. For external investigators that means only those who are either a lawyer or who hold a practising certificate. For internal investigators, that means lawyers or those who have extensive investigation experience, i.e. they have been trained.	✓ <i>Ongoing</i>		
Recommendation 18	The ALT has a policy that only people who are experienced in carrying out investigations can be appointed to undertake investigations and that conflicts of interest are declared and, if needed, managed such as the appointment of a new Manager to undertake the investigation.	The People Team to complete by March 2021. The Employment Relations Lead will provide access to a panel of qualified investigators.	18	This is part of the current investigation standard practice and people who are experienced in carrying out investigations are appointed as per the Terms of Reference.  Only those who are appropriately trained, skilled and experienced, can carry out investigations.	✓ <i>Ongoing</i>		

Recommendation Number	Recommendation	Status at January 2021	Actions	Status as at June 2021	Current Status as at 30 June 2021		
					Completed	Under action	Not started
Recommendation 19	Where appropriate, the ALT consider undertaking facilitated restorative sessions with participants following the resolution of investigations to support the normalisation of relationships where possible. This may require the use of skilled external facilitators.	This action will be completed on a case-by-case basis, advice to be provided by the People Team.	19	A restorative justice process is used where participants agree, and this has already been utilised as an option by participants.	✓ Ongoing		
Recommendation 20	The Board and ALT undertake a review and consider whether the Spot tool can be an effective channel for making a complaint and consider alternative options such as an external hotline or an externally hosted helpline staffed by independent professionals able to provide initial advice and guidance to staff.	Given the feedback received about the Spot tool, advice was taken from other organisations and the Spot tool, as a way for staff to raise a complaint, was decommissioned.  An external provider – Humankind, was engaged.  The new arrangement has been in place since 1 July 2020 and will continue until a long-term solution is developed and implemented.  A new process determined as part of the development of the new Health, Safety Management System.	20.1	The Spot tool was reviewed and decommissioned, following previous feedback that had been received about the suitability of the Spot tool as the way for staff to raise a complaint. We engaged an external provider – Humankind (an external service provider) and a new arrangement has been in place since 1 July 2020. This will continue until an enduring solution is put in place.	✓		
			20.2	The planned Health, Safety and Wellbeing Management system will include the capability to capture data and information relating to sensitive events, and the management and reporting of these events.			✓
Recommendation 21	The ALT ensure there is effective worker and union consultation, participation and engagement when updating any policy, processes or systems relating to bullying or harassment.	The Te Kāhano Taskforce and Unions are used as reference groups. The Taskforce and Unions were involved in the revamp of the 'Addressing workplace bullying, harassment and discrimination' policy.  Staff and unions will be involved in the development of the 'refreshed' Code of Conduct.	21.1	A minor amendment to the Commitment Statement has been approved within the Health, Safety and Wellbeing Statement which formalises Board/ALT and Union commitment to eliminating bullying and harassment, and the commitment to adopting a partnership approach together.	✓		
			21.2	The Authority regularly engages with the Unions at all levels of the organisation, both formally and informally which includes updates and feedback on the culture change programme: <ul style="list-style-type: none"> <li>CAA: Monthly meetings with PSA and PSA delegates</li> <li>Avsec: Fortnightly meetings with NUPE, E tū and PSA</li> <li>CAA and Avsec: Quarterly meetings with NUPE, E tū and PSA with the Chief Executive</li> <li>Avsec: local forums with all unions set up, or being set up, at each station.</li> </ul>	✓ Ongoing		
			21.3	Worker and union members are offered the opportunity to review policy and strategy updates relating to bullying or harassment. This is currently undertaken via the Te Kāhano Taskforce Group.	✓ Ongoing		
			21.4	A refreshed Code of Conduct will be launched this calendar year: <ul style="list-style-type: none"> <li>This will be staff led by the Taskforce Group which includes union reps</li> <li>The review is being informed by the results of the staff survey. Staff have been involved in the drafting of the Code of Conduct and its associated products</li> <li>Launch of refreshed Code of Conduct and the associated products will be launched on 30 September 2021.</li> </ul>		✓	

Recommendation Number	Recommendation	Status at January 2021	Actions	Status as at June 2021	Current Status as at 30 June 2021		
					Completed	Under action	Not started
<b>Theme: Keeping staff engaged and safe</b>							
<b>Recommendation 22</b>	The ALT ensure that the Code of Conduct, and its articulated values, and the CAA's 'Just Culture' approach be referenced and included in job descriptions, recruitment documents, training materials, employment agreements, and in the performance framework as individual accountability.	The review of the Code of Conduct is underway.  The People Team has included referencing of the Values and behaviours in the People Strategy.  This work will flow through to all recruitment and training documentation.	22.1	A refreshed Code of Conduct will be launched this calendar year. The code will include the Authority Values.		✓	
			22.2	The CAA Values will be referenced in the following materials: <ul style="list-style-type: none"> <li>• Job descriptions</li> <li>• Recruitment documents</li> <li>• Training materials</li> <li>• Employment agreements</li> <li>• Performance framework.</li> </ul> This is a work in progress and documentation is and will be updated as it comes up for renewal.		✓	
			22.3	Values are also referenced in key Authority documentation including the following: <ul style="list-style-type: none"> <li>• Statement of Intent (2021-2026)</li> <li>• Statement of Performance Expectations (2021-2022)</li> <li>• Regulatory Strategy (2021-2026)</li> <li>• Leadership Strategy (2021-2026).</li> </ul>	✓		
<b>Recommendation 23</b>	The ALT review and amend all performance agreements to ensure the requirement to promote a healthy culture to respond to inappropriate behaviours is a core accountability requirement.	The People Team will update the Performance Agreement template by May 2021 in preparation for the next performance review year.	23.1	The Performance Objectives for 2021/22 references the Authority Values and behaviours.	✓		
			23.2	The People Team are currenting looking at an opportunity to build upon Nga Tahī (the current Learning management System (LMS)) to include the Performance Agreement template.		✓	
			23.3	The review and refresh of the Performance Framework to reference the Wellness Framework and the proposed Health, Safety and Wellbeing Management System is ongoing.		✓	
<b>Recommendation 24</b>	The ALT ensure that all references are removed in policies or other documents to having to inform one's manager first if raising an issue.  Any employee should be able to go straight to Human Resources, a member of the peer support network recommended above to be established, or to another senior manager, they trust with an issue or a complaint and know it will be dealt with consistently and with adequate support.	A range of channels for staff to raise concerns is included in the new 'Addressing workplace bullying, harassment & discrimination' policy.	24.1	All references in policies and/or other documents to having to inform one's manager first if raising an issue have been removed.	✓		
			24.2	There are a range of channels for staff to raise concerns, including the People Team, Managers and Humankind.	✓ <i>Ongoing</i>		
			24.3	The development of the Wellbeing Framework will inform the setup of the peer support network.			✓
			24.4	Development of Health, Safety and Wellbeing (HSW) policy and its related processes, will inform the design and agreed implementation of an extended HSW governance structure.			✓

Recommendation Number	Recommendation	Status at January 2021	Actions	Status as at June 2021	Current Status as at 30 June 2021		
					Completed	Under action	Not started
Recommendation 25	The ALT implement a policy that when a complaint or report of bullying and harassment proceeds to a formal investigation when the seriousness of the complaint warrants this elevation in response, the investigation is conducted by an external investigator, with no input from the CAA, except for the participation in interviews, document gathering, and communications regarding timelines and progress of the investigation.	The Employment Relations Lead has initiated this action. A panel of qualified investigators will be available to use by March 2021.	25	Qualified investigators are utilised for all CAA led investigations. A risk assessment is undertaken as part of the investigation process, and relevant circumstances are considered. A mix of both internal and external investigators are available as and when needed.	✓ Ongoing		
Recommendation 26	The ALT ensure that the Terms of Reference for external investigations into bullying and harassment issues include deadlines for undertaking the investigation as well as timelines for providing both complainants and respondents with progress updates.  Further that the ALT ensures there is standardisation in approaches through the development and mandatory use of templates in this regard.	Indicative deadlines for undertaking investigations as well as timelines for providing parties to the complaint with progress updates have been included in the Terms of Reference template.	26.1	We continue to improve how we work with external investigators who may undertake investigations into potential bullying and harassment issues.  Our external provider Humankind liaises with the complainant while the People Team or a relevant Senior Manager will liaise with the respondent.		✓	
			26.2	Appropriate templates have been developed and are being utilised. A full review of Employee Relations templates is currently being undertaken.		✓	
Recommendation 27	The ALT ensure the bullying and harassment policies and guidelines are easily locatable and accessible to all staff, including Avsec operational staff.  Training on these policies should be a core part of induction for all new staff.  Training should be refreshed on a regular basis and at least annually.  The training must include education in what constitutes bullying, harassment and discrimination, the risks to health and safety of bullying and harassment, having difficult conversations, bystander intervention training, conflict de-escalation and resolution, privacy and confidentiality principles, unconscious bias training, and what employment law classifies as misconduct and serious misconduct.	Respect and Inclusion workshops will be provided to all staff by March 2021 through the Ripples Project.  Assurance of training at induction will be managed through the implementation of a Learning Management System – People Team.  This training will be ancillary to recommendation 14.  All staff have been advised about the new 'Addressing workplace bullying, harassment & discrimination' policy and where to find it on the intranet. An all staff email together with link to the policy was also sent in January 2021.	27.1	The new 'Addressing workplace bullying harassment and discrimination' policy was launched on 28 January 2021 and is available on the intranet. Printed versions have been distributed out to all Avsec stations.	✓		
			27.2	An E-module on 'Addressing workplace bullying, harassment and discrimination' is being developed for all staff to assist them to understand and deal with less serious bullying issues.		✓	
			27.3	A facilitated training module is included in the Avsec Basic Training Courses (BTCs) based on Respect and Inclusion Workshop outcomes and will be made available for those staff who were unable to attend the R&I workshops.		✓	
			27.4	A plan is also being developed to put communications in place to make policies readily accessible.  There is a plan to create a single intranet page space for all information regarding Bullying, Harassment and Discrimination (this will include policies/modules/complaints etc).		✓	
			27.5	A suite of modules to be used at induction and as refresher training is yet to be developed and will include: <ul style="list-style-type: none"> <li>having difficult conversations.</li> <li>bystander intervention training.</li> <li>conflict de-escalation and resolution.</li> <li>privacy and confidentiality principles.</li> <li>unconscious bias training.</li> <li>employment law background on misconduct and serious misconduct.</li> </ul>			✓

Recommendation Number	Recommendation	Status at January 2021	Actions	Status as at June 2021	Current Status as at 30 June 2021		
					Completed	Under action	Not started
<b>Recommendation 28</b>	<p>The Board and ALT conduct regular and scheduled reviews, with the engagement of unions, to ensure complaint management training is effective in supporting the desired culture.</p> <p>To support this, reporting will be mandatory to the Board and ALT for all bullying and harassment complaints.</p>	<p>Reporting of complaints to the Board and ALT is occurring monthly.</p> <p>Once training is rolled out, the People Team will include union engagement with level 3 evaluation, which will focus on what the learner has done differently since attending a course.</p> <p>The focus will be on how our staff have changed their behaviour/applied the learning/increased their awareness.</p>	28.1	An E-module on 'Addressing workplace bullying, harassment and discrimination' is being developed for all staff to assist them to understand and deal with less serious bullying issues.		✓	
			28.2	<p>A suite of modules that are yet to be proposed and signed off will be incorporated into the Leadership Management System.</p> <p>Modules will be developed in the following areas:</p> <ul style="list-style-type: none"> <li>• skill based components and conflict management tools for staff.</li> <li>• having difficult conversations.</li> <li>• bystander intervention training.</li> <li>• conflict de-escalation and resolution.</li> <li>• privacy and confidentiality principles.</li> <li>• unconscious bias training.</li> <li>• employment law backgrounder on misconduct and serious misconduct.</li> </ul>			✓
			28.3	<p>Staff can raise complaints via Humankind and reporting is provided to the Board and ALT on a monthly basis. A summary report is made available to all staff on the intranet.</p> <p>Complaints received directly by People Team are reported to both the Authority Leadership Team and to Unions.</p>		✓	
			28.4	The planned Health, Safety and Wellbeing Management System will include the capability to capture data and information relating to Sensitive Events, and the management and reporting of these events.			✓
			28.5	A review process to ensure complaint management training is effective will be developed alongside the development of modules referenced in action 28.2 above.			✓
			<b>Recommendation 29</b>	<p>The ALT ensure exit interviews are undertaken for all departing staff (where they agree), where appropriate using an independent party and that the information from these interviews is collated, examined for themes and used as part of a continuous improvement approach to culture building.</p>	<p>Exit interviews are offered to all departing employees. If employees choose to take up the offer, exit information is collated. The People Team will build this into the monthly reporting to be developed in early 2021.</p> <p>From 1 July 2020 to date, 34.2% of employees completed exit interviews. 10 of those employees also chose to do a face-to-face exit interview with a member of the People Team.</p>	29.1	Exit interviews are offered to all departing employees. If employees choose to take up the offer, exit information is collated.
29.2	Exit interview information is reported to the Authority Leadership Team on a regular basis.	✓ <i>Ongoing</i>					
29.3	CAA is currently looking into the use of a centralised system which will in part manage the onboarding/offboarding process, including the capturing of all exit interview information.					✓	

Recommendation Number	Recommendation	Status at January 2021	Actions	Status as at June 2021	Current Status as at 30 June 2021		
					Completed	Under action	Not started
<b>Theme: General</b>							
<b>Recommendation 30</b>	We recommend that the Board and ALT undertake effective management, staff, union and sector consultation, participation and engagement prior to implementing the above recommendations, as appropriate.	<p>The Acting CE has engaged with the sector at public meetings and through the Director's Briefings, outlining the importance of our culture change programme and ALT's and the Board's commitment to it.</p> <p>The Te Kākano Taskforce approach involves staff level and union participation.</p> <p>The Te Kākano Taskforce has direct communications to the Authority Board on a monthly basis.</p>	30.1	The CE has engaged with the sector at public meetings and through the Director's Briefings, outlining the importance of our culture change programme and ALT's and the Board's commitment to it.	✓		
			30.2	The Te Kākano Taskforce approach involves staff level and union participation, and regular updates are provided to the unions.	✓ <i>Ongoing</i>		
			30.3	The Te Kākano Taskforce has direct communications to the Authority Board on a monthly basis.	✓ <i>Ongoing</i>		
<b>Recommendation 31</b>	In implementing these recommendations, the Board should ensure change management plans take account of the different nature of the roles performed by Avsec and the regulatory part of the CAA and that the leadership and engagement approaches used are tailored to the different workforce profiles to ensure change is effectively embedded across all parts of the CAA. A one size fits all approach will not be effective.	<p>The Te Kākano Taskforce comprises staff at different sites in different roles ensuring input from a range of roles/views.</p> <p>The Respect and Inclusion workshops have been tailored to the issues within each Avsec station location and Asteron House through reviewing data provided in our pulse survey and themes emerging from the Queen's Counsel investigations.</p>	31	<p>In designing and delivering engagement approaches we consider the different nature of the roles performed by Avsec and the regulatory part of CAA and tailor our approach to the needs of each workforce so that they are 'fit for purpose'.</p> <p>This includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>Changes to the Terms of Reference for the Taskforce Group, where the committee meeting style approach is being replaced by a change champions model leading engagement and culture change activities and supporting managers to undertake these with their staff.</li> <li>Different means of delivering products out to staff e.g. Code of Conduct, e-modules.</li> <li>Providing a range of products in multiple ways to meet the different needs of staff.</li> <li>Multiple channels for communication across all areas of the Authority.</li> </ul>		✓	



### Our values

- |                                      |   |                                  |
|--------------------------------------|---|----------------------------------|
| <b>Collaboration</b><br>Me mahi tahi | <b>Transparency</b><br>Me mahi pono           | <b>Integrity</b><br>Me mahi tika |
| <b>Respect</b><br>Me manaaki         | <b>Professionalism</b><br>Kia tū rangatira ai |                                  |

