

Independent Review Recommendations – Implementation Update to Council, September 2021

**Prepared by the Group Director of People & Culture
Approved by Vice-Chancellor
17 September 2021**

Introduction

This report provides an update for Council on the implementation of the recommendations in the Report of the Independent Review into Harassment and Bullying at AUT that was received by Council in February this year. This report also appears on the AUTi website available to all staff.

The report is set out in five sections—a 6-month progress report (infographics and narrative), plus four tables:

- 1) Implementation status – showing whether a recommendation is completed, in progress, or still to do.
- 2) Project plan and timeframes – showing estimated start and completion dates for each of the recommendations and percentage progress to date.
- 3) Completed and current planning and action with each recommendation or set of recommendations – outlining all actions so far and highlighting new progress since last report.
- 4) Internal consultation and authorising groups and frameworks that are being used in the work of implementation.

The project team for the implementation of the independent review is led by Beth Bundy, Group Director People & Culture.

The project team makes recommendations to the Vice-Chancellor and Vice-Chancellor's Executive.

INDEPENDENT REVIEW RECOMMENDATIONS

6-MONTH PROGRESS REPORT: SEPTEMBER 2021

AUT



Managing@AUT

372

People Leaders trained
(since programme began)



Completed or
registered for Bystander
Intervention training

365

Managers trained or scheduled for training

Head of Employee Advisory
and Resolution Service (EARS)
Appointed



34

cases responded to by Interim
Employee Advisory and Resolution Service



Leadership
training 2021

79

People Leaders

246

Staff (completed)

14

Workshops (completed)



3

Policies reviewed
and updated

1

New policy drafted
and in consultation



15

People appointed to
Culture Change
Transition Group
(CCTG)

chnnl **123**

staff piloted confidential
mental wellbeing app.
Roll out in 2022.



61%

Of recommendations
completed

Six-month report of progress

The Independent Review report came out in February 2021, and the project team began its work in March. This September report to Council is an opportunity to reflect on our progress over the past six months. This section presents some highlights of our progress to date.

Culture Change Transition Group (CCTG) mahi underway

A diverse group of people from across AUT have joined forces to help guide our journey of culture change and are determined to make a difference.

Establishing a Culture Change Transition Group (CCTG) was a recommendation of the Independent Review, and the group has been appointed via a thorough process and with specific Terms of Reference.



Professor Judith McAra-Couper (Head of School, Clinical Science) accepted a request to lead this group, due to her commitment to being part of the change needed at AUT.

While the group membership is diverse, they are all committed to change, and are taking both a holistic view of the organisation as well as identifying what actions we can all take in our workday to day to reinforce good behaviour practices.

Judith says, “What culture change will feel like is greater trust, and a sense people can have constructive conversations when they see behaviour, they don't think is acceptable.”

The Culture Change Transition Group membership:

- Professor Judith McAra-Couper (Faculty of Health and Environmental Sciences)
- Katherine Dace (Strategy and Planning)
- Dr Julie Douglas (Faculty of Business, Economics and Law)
- Geraldine Hay (Library Learning Research Services)
- Professor Rhema Vaithianathan (Centre for Social Data Analytics)
- Dr Tago Mharapara (Faculty of Business, Economics and Law)
- Dr Yvonne Chan (Faculty of Design and Creative Technologies)
- Glenn Whitley (ICT Services)
- Audrey Hutcheson (Student Services and Administration)
- Jenni Tupu (Faculty of Design and Creative Technologies)
- Yoyo Fu (Estates)
- Wiremu Tipuna (Student Services and Administration)
- Catherine Redmond (Research and Innovation Office)
- Mapihi Opai (Brand and Marketing Services)
- Shayne Mathieson (Top Drawer Consulting)

Head of Employee Advisory and Resolution Service (EARS) now on board, office is set up and EARS website is live



The establishment of the new Employee Advisory and Resolution Service (EARS) at AUT marks a significant milestone in the University's journey to offer its employees tailored support through a three-tier advisory and resolution model.

As the new head of EARS, Wayne Marriott aims to maintain an independent, neutral presence to facilitate the resolution of a range of employee issues. Wayne has 21 years of experience as a conflict analyst and dispute resolution practitioner. He is a certified mediator and conflict coach with expertise in academic, commercial, government and not-for-profit sectors. As a restorative mediator, he assists people, and organisations overcome traumatic events, change processes, conflict and disputes. Wayne has a Master of Arts degree in Conflict Transformation from the Eastern Mennonite University (Virginia, US).

EMPLOYEE ADVISORY AND
RESOLUTIONS SERVICE
[EARS]

[WHAT WE DO](#) [CONTACT EARS](#) [RESPECT IN ACTION NETWORK](#) [MORE](#) ▼



Also, the new, independent EARS website (<https://earsaut.org>) is now live, with key information including how to reach out to EARS or AUT's Respect in Action advisors (additional content to come).

The Independent review project team, composed of a small group of managers from People & Culture, Strategy & Planning, and Brand and Marketing Services, and led by Beth Bundy, Group Director P&C, has made significant progress since its inception six months ago.



The team swiftly identified actions required in order to progress the QC's 36 recommendations, and systematically went through the process of updating AUT policies, developing and delivering staff training, implementing a 3-tier advisory and response structure, and setting up CCTG as a means of progressing culture change, all while openly sharing progress and consulting a range of stakeholders.

1.

AUT leaders stand up against bullying and harassment

As soon as the Independent Review report came out, AUT's senior leaders including Vice Chancellor Derek McCormack, the SLT and AUT's Council, took decisive action, committing to implement the QC's recommendations and to making AUT a safe and welcoming place to work and learn. Shayne Mathieson of Top Drawer Consulting was also brought on board to usher in this change.

¹ Note, work will carry on across the University in terms of training, culture change and delivering the new 3-tier advisory once the project team has concluded its contribution.



Ove the past six months, the VC has socialised AUT's commitment to change through a range of mediums including Town Hall meetings, all staff emails, reports to Council, conversations, and AUTi page content.

To facilitate recognition of AUT communications about the Independent Review, AUT's Brand team also created "brand assets" such as the one below.



Table 1. Review Recommendations Key - showing implementation status and the location of the recommendation in the detailed reporting table following (Table 3).

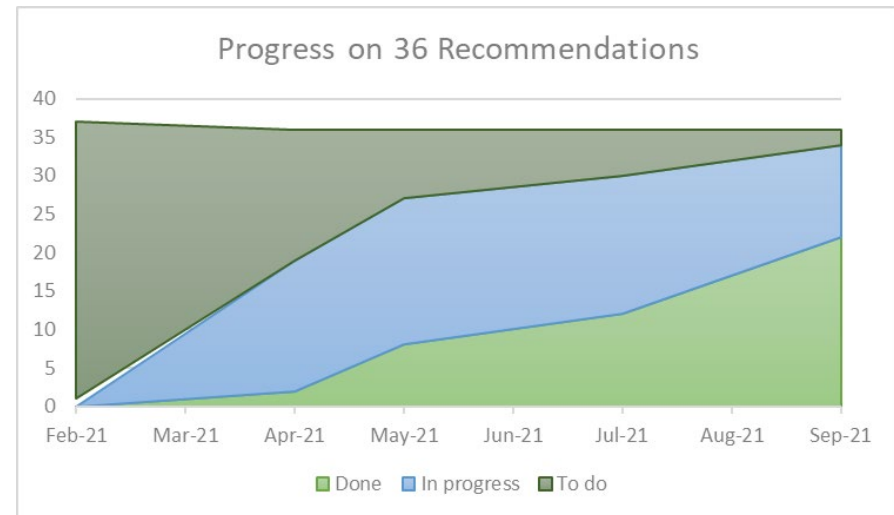
Recommendation #	Theme/Cluster	Done	In Progress	To do/ Under consideration
1	Monitoring and Reporting	Done		
2	Monitoring and Reporting	Done		
3	Monitoring and Reporting	Done		
4	Policy Review	Done		
5	Policy Review	Done		
6	Policy Review		In Progress	
7	Policy Review	Done		
8	Monitoring and Reporting	Done		
9	Three-tier complaints process	Done		
10	Three-tier complaints process	Done		
11	Three-tier complaints process	Done		
12	Three-tier complaints process	Done		
13	Three-tier complaints process	Done		
14	Three-tier complaints process	Done		
15	Three-tier complaints process	Done		
16	Three-tier complaints process	Done		
17	Monitoring and Reporting		In Progress	
18	Three-tier complaints process		In Progress	

Recommendation #	Theme/Cluster	Done	In Progress	To do/ Under consideration
19	Training		In Progress	
20	Training	Done		
21	Culture change	Done		
22	Culture change		In Progress	
23	Culture change	Done		
24	Culture change	Done		
25	Culture change		In Progress	
26	Culture change		In Progress	
27	Training	Done		
28	Training		In Progress	
29	Policy Review	Done		
30	Monitoring and Reporting	Done		
31	Three-tier complaints process		In Progress	
32	Monitoring and Reporting		In Progress	
33	Monitoring and Reporting			To do/ Under consideration
34	Monitoring and Reporting			To do/ Under consideration
35	Other matters		In Progress	
36	Other matters		In Progress	

Note to Table 1: Progress on numbered recommendations since the last report to Council (July to September 2021):

Moved from *To Do* to *In Progress*: Recommendations 17, 18, 25, 31, 35

- Recommendation 17: EARS to publish data about complaints and their resolution. Wayne Marriott, Head of EARS, has started gathering data for reporting.
- Recommendation 18: AUT to set up a phone number where staff who are harassed can obtain support. Wayne has set up a phone number and email where staff can reach out for support—to be promoted.
- Recommendation 25: Employee conduct and behaviour to be a part of the eMAP review. P&C has begun to investigate the best way to reflect this in the staff eMAP template.
- Recommendation 31: P&C to follow up with staff to ensure complaints have been resolved. P&C is looking into their process now to ensure they follow up on all complaints.
- Recommendation 35: Consider whether there is sexism at AUT, and if so, how to address it. Wayne is beginning to look into this issue at AUT.



Moved from *In Progress* to *Done*: Recommendations 3, 9-16, 20

- Recommendation 3: VC to report to Council at 6 months. This report serves to achieve this recommendation.
- Recommendations 9-16 (OCR): These recommendations all relate to setting up the EARS office and the 3-tiered advisory structure, hiring staff for these offices, and setting terms for their operation. These are all in place now.
- Recommendation 20: AUT should emphasize training of leadership and management skills. This has been achieved, with several training programmes being delivered to AUT people managers and leaders.

Table 2. Project plan and timeframes

		Feb 2021												Mar 2021							Apr 2021							May 2021							Jun 2021							July 2021							Aug 2021							Sep 2021							Oct 2021							Nov 2021							Dec 2021																																																																													
		1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29
Independent Review Recommendations Implementation																																																																																																																																																										
Beth Bundy, Group Director P&C, AUT																																																																																																																																																										
TASK	PROGRESS																																																																																																																																																									
3-Tier Advisory and Complaints Service																																																																																																																																																										
EARS service charter- draft & approve	100%																																																																																																																																																									
Appoint interim Advisory & Resolution Lead (Je	100%																																																																																																																																																									
Set up EARS office space	100%																																																																																																																																																									
Appoint EARS Director	100%																																																																																																																																																									
Set up new PIA network	50%																																																																																																																																																									
Recruit EARS Coordinator	20%																																																																																																																																																									
Set up EARS phone number	100%																																																																																																																																																									
Policy Review																																																																																																																																																										
Sexual Harassment Policy- draft, consult, app	100%																																																																																																																																																									
Conflict of Interest Policy- review	100%																																																																																																																																																									
Safety in Supervision Policy- draft, consult, app	100%																																																																																																																																																									
Recruitment Policy- review	100%																																																																																																																																																									
Director P&C to join VC Executive	100%																																																																																																																																																									
Develop a tool to assess staff conduct	50%																																																																																																																																																									
Training																																																																																																																																																										
SLT Training	100%																																																																																																																																																									
Bystander intervention Mgr Training	70%																																																																																																																																																									
Catalyst programme for SLT reports (28 ppl)	60%																																																																																																																																																									
Student consent training- develop programme	50%																																																																																																																																																									
People leaders essentials (ongoing)	70%																																																																																																																																																									
Monitoring & Reporting																																																																																																																																																										
VC All Staff comms (ongoing)	100%																																																																																																																																																									
Appoint external advisor (Shayne)	100%																																																																																																																																																									
AUTi site- set up and update (ongoing)	100%																																																																																																																																																									
Council Progress reports (ongoing)	100%																																																																																																																																																									
P&C to track and act on leave & retention trends	80%																																																																																																																																																									
Use Chnml to track staff engagement (pilot)	100%																																																																																																																																																									
Determine whether to use Chnml across AUT	100%																																																																																																																																																									
P&C to follow up, ensure all complaints are clos	30%																																																																																																																																																									
P&C to report on complaints resolved	To do																																																																																																																																																									
Culture Change																																																																																																																																																										
CCTG ToR- Draft and confirm	100%																																																																																																																																																									
EQI & Appoint CCTG	100%																																																																																																																																																									
Recognise excellent behaviour with Values Pin	100%																																																																																																																																																									
Add Employee conduct to eMAP	50%																																																																																																																																																									
Mentoring programme for early academics	40%																																																																																																																																																									
Team Dynamics sessions- develop and deliver	100%																																																																																																																																																									
CCTG to monitor progress & give recommendal	20%																																																																																																																																																									
Other Matters																																																																																																																																																										
Hui with Māori & Pasifika staff and embed Te T	60%																																																																																																																																																									
Investigate whether sexism is an issue at AUT	To do																																																																																																																																																									

Table 3. Progress towards implementing recommendations (highlighted text identifies updated areas):

Theme/Cluster	Done/Ongoing (showing numbered recommendations)	In Progress (showing numbered recommendations)	Planning and Action	To do/Under consideration (showing numbered recommendations)
Preliminary matters	<p>Appointed an independent expert advisor</p> <p>Established a project team and identified the priority work and agreed timeframes</p> <p>Consultation frameworks have been confirmed</p> <p>Reporting and information arrangements established</p>		<p>Shayne Mathieson of <i>Top Drawer</i> Consultants was appointed as independent advisor – a nationally and internationally recognised expert on the type of issues highlighted by the review.</p> <p>Beth Bundy Group Director of People & Culture is the project lead for all this work, reporting with recommendations to the VC and the VC Executive Team. The aim is to complete the implementation of all recommendations during 2021 – insofar as possible.</p> <p>Priority work was assessed by its potential impact on the issues highlighted in the review and its do-ability – priority has been considered by SLT and this has guided decisions. Most significant for early work has been training, the Culture Change Transition Group, and the three tier complaints resolution system. Several policy areas are relatively quick to deal with and these have been progressed.</p> <p>Consultation frameworks are SLT, Academic Board, and for relevant matters identity groups such as Women on Campus, and the CCTG - see Table 4 below for more detail.</p> <p>Reporting – the full review’s report is on the AUT website and staff intranet. There is a progress indicator on the intranet. In addition, the fortnightly VC all staff emails contain an update on activity in response to the review recommendations. Reports to Council are being made at every meeting by the VC.</p>	

Table 3. Progress towards implementing recommendations CONTD:

Theme/Cluster	Done/Ongoing (showing numbered recommendations)	In Progress (showing numbered recommendations)	Planning and Action	To do/Under consideration (showing numbered recommendations)
<p>Three-tier complaints response structure</p>	<p>9. Implement a 3-tiered complaints procedure</p> <p>10. Respect in Action (RiA) programme to be within Employee Advisory and Response Service (EARS)</p> <p>11. RiA Co-ordinator to be a full-time role.</p> <p>12. Establish a mid-tier complaints body (EARS)</p> <p>13. Staff the EARS office</p> <p>14. EARS to enable staff to move forward with their jobs and lives</p> <p>15. EARS to focus on fair and effective resolution</p> <p>16. EARS to report to VC and DVC every 6 months</p>	<p>18. Set up phone number to support and advise staff</p> <p>31. P&C to follow up with all complainants after 3-6 months to ensure issues are resolved</p>	<p><i>First Tier – informal confidential discussion and advice:</i> Maintaining the Respect in Action service in a revised form. Overseen by Head of EARS (see below) with a co-ordinator, trained contact people who are selected for diversity and spread of location on campuses and maintaining regular reporting of volumes and trends in issues. Several experienced RiA contact people have been retained and their contracts are being updated. Further RiA selection and training are progressing now by the new Head of EARS, Wayne Marriott.</p> <p><i>Second Tier – formal but restorative approach to resolution by an independent body:</i> Investigated and revised the Victoria model of EARS (Employee Advisory and Resolution Service). Consulted with SLT and Academic Board on the proposed AUT model and the VC Executive adopted it. The Head of EARS, Wayne Marriott has now been appointed and is setting up the EARS office and website.</p> <p>EARS is now being established, following an interim phase with Jenni Broome at the helm. During the interim period, Jenni , with support and advice from P&C and Shayne Mathieson, advised and resolved complaints from 34 staff members from across the university.</p> <p><i>Third Tier – formal process according to legislation and employment agreements:</i> Managed as now by Employment Relations team in People and Culture division.</p>	

Table 3. Progress towards implementing recommendations CONTD:

Theme/Cluster	Done/Ongoing (showing numbered recommendations)	In Progress (showing numbered recommendations)	Planning and Action	To do/Under consideration (showing numbered recommendations)
<p>Policy review</p>	<p>4. Review and redraft AUT policies, including developing a standalone Sexual Harassment Policy and Code of Conduct</p> <p>5. Review employment and appointment processes</p> <p>7. Review Conflicts of Interest policy</p> <p>29. P&C Director to be AVC and report to VC</p>	<p>6. Develop a tool to assess staff performance including conduct</p>	<p>Many policies have been reviewed, consulted and updated. Key policies have been identified in addition to those related to resolution of complaints and discipline policies - they are:</p> <p><i>Conflict of interest</i> policy – now reviewed</p> <p>Standalone <i>sexual harassment</i> policy – done, consulted on and agreed. Awaiting CCTG approval.</p> <p>Workload allocation for academics – in development.</p> <p><i>Code of Conduct for Graduate Research Supervision</i> – completed and adopted by Academic Board.</p> <p>Staff appointment processes are being conducted according to the requirements of the governing legislation which requires suitable advertising of vacancies to allow qualified people to apply – either internal expressions of interest or external searches depending on the nature of the position. This is managed by People & Culture who are giving extra attention to compliance and proper onboarding.</p> <p>The structural change for position of the Director of P&C – the role is now part of the VC Executive of ten and continues to have a direct line to the VC on all employment matters – further changes are dependent on other structural shifts and are under consideration.</p> <p>AUT uses the eMAP to provide all staff with feedback on performance. Additional tools are being developed to support managers to cover conduct as an additional element.</p>	

Table 3. Progress towards implementing recommendations CONTD:

Theme/Cluster	Done/Ongoing (showing numbered recommendations)	In Progress (showing numbered recommendations)	Planning and Action	To do/Under consideration (showing numbered recommendations)
Training	<p>20. Teach leadership/ management skills to AUT leaders</p> <p>27. Intensive period of anti-bullying training, starting with managers</p>	<p>19. Compulsory student training on consent</p> <p>28. All managers to take training on management and leadership</p>	<p>We already have a general management training programme, Managing@AUT, which 372 managers have been through, with the aim of every manager completing refreshers every three years. The programme, which began as a pilot in 2018, was interrupted by COVID in 2020. It has undergone review and evolution as it has been running. Following the comments in the independent review about management training, we have adopted a revised curriculum and delivery model proposed by P&C and approved by the VC Executive.</p> <p>Shayne Mathieson has been appointed as our trainer for bullying and harassment for this year.</p> <p>Training for staff on bullying and harassment has been set up and several sessions run. So far 246 staff have been through a session.</p> <p>Training on bullying and harassment for all 365 people managers will be completed during this year. All 365 people managers have either been through the course (163) or are scheduled for upcoming training sessions (202).</p> <p>The Group Director Student Services is organising consent training for all students in AUT accommodation, to begin Semester 1, 2022.</p>	

Table 3. Progress towards implementing recommendations CONTD:

Theme/Cluster	Done/Ongoing (showing numbered recommendations)	In Progress (showing numbered recommendations)	Planning and Action	To do/Under consideration (showing numbered recommendations)
<p>Monitoring and reporting</p>	<p>1. VC to acknowledge AUT failings in this area</p> <p>2. AUT to inform stakeholders of recommendations</p> <p>3. VC to report to Council and Uni on progress 6-monthly</p> <p>8. Ensure staff leave is recorded and taken</p> <p>30. P&C to track and identify leave and retention trends to enable action</p>	<p>17. EARS to report on the resolution of complaints</p> <p>32. Use Chnnl [a real time feedback app] to track staff engagement and identify issues</p>	<p>The VC communicated with all staff by video with a text version via email, on the website and staff intranet, highlighting the main areas of concern raised by the review. The full report of the review with all its recommendations was immediately posted on the website and staff intranet. This has been followed up with several Teams Live events for staff to ask questions.</p> <p>Information was sent to stakeholders by letter in the first week after the review was received.</p> <p>Staff leave is recorded in our HR System and P&C provide reporting on trends and variations by Faculty / Directorate. Staff are regularly prompted to use leave according to their entitlements and high accumulated leave totals or low use rates are routinely reported to managers by P&C.</p> <p>The Chnnl wellbeing app was piloted by 123 staff across the University. It has proven useful at identifying staff feeling and engagement as well as problems and concerns. Chnnl will be rolled out across the University in 2022.</p> <p>Regular reporting of progress is underway to Council at each meeting and to all staff via email and the staff intranet with fortnightly updates.</p> <p>This report constitutes the six-monthly report of progress from the VC to Council.</p>	<p>33 & 34. P&C to report to staff and Council on the nature and resolution of complaints (anonymised)</p>

Table 3. Progress towards implementing recommendations CONTD:

Theme/Cluster	Done/Ongoing (showing numbered recommendations)	In Progress (showing numbered recommendations)	Planning and Action	To do/Under consideration (showing numbered recommendations)
Culture change	<p>21. Values pin for excellent behaviour</p> <p>23. SLT to plan and implement culture change</p> <p>24. Establish a culture change transition group (CCTG)</p>	<p>22. All junior staff mentored by a more senior staff member</p> <p>25. Employee conduct as part of eMAP</p> <p>26. Foster collegiality and team spirit</p>	<p>All staff currently have the option to have an internal mentor or a coach, though this is not extensively used. The Integrated Academic Practice Group are now working on how to enhance mentoring for Early Career Academics.</p> <p>SLT planned and began implementation of the culture change through the following actions. They spent a one-day retreat on the recommendations and identified priorities with the most impact on culture and dealing with individual distress. They also had a session with Shayne Mathieson on responding to the review report and attended a special training session with her.</p> <p>The terms of reference for the CCTG and the composition and person specifications for membership were determined by a sub-group of the VC Executive. CCTG Members have now been appointed and they began their fortnightly meetings in July. They are an engaged group of 14 academic and professional staff from across the University, all committed to changing the culture of AUT into a place where all staff feel heard, respected, and accountable, and behave in accordance with the values: tika, pono, aroha. Shayne Mathieson will be an ex officio member/advisor for the first year.</p> <p>AUT uses the eMAP to provide all staff with feedback on performance. Additional tools are being developed to support managers to cover conduct as an additional element.</p> <p>P&C have developed a Team Dynamics programme of facilitated sessions and tools which are offered to all teams covering a range of elements to build effective teams.</p>	
Other matters (for future consideration)		<p>35. Investigate whether sexism is an issue at AUT</p> <p>36. Hui with Māori and Pasifika staff and embed Te Tiriti at AUT</p>	<p>Responding to guidelines recently promulgated by Te Kahui Amokura (the joint Māori committee of the 8 universities) the PVC Māori is working on an approach for AUT.</p> <p>At the same time, Wayne Marriott is looking into whether sexism is an issue at AUT, and how we can support staff who have experienced harassment.</p>	

Table 4. Organisation Engagement for Policy Review & Development

AUT has a wide community of stakeholders to engage with to successfully implement the recommendations from the review. As noted in other large and complex organisations where cultural change programmes have been required in response to concerns of this nature, consideration of appropriate frameworks and opportunities for consultation are critical.

Internal Groups & Forum		External Groups	
Vice Chancellors Executive	Meets weekly and has reviewed and confirmed the Three Tier Complaints Process, the Terms of Reference & EOI process for the CCTG. The group has reviewed the draft Sexual Harassment Policy.	TEU & TIASA	Under our collective employment agreement, we are required to consult with our union partners on any significant revision and creation of new policies. Typically, these consultation processes take around 6 weeks. They have provided feedback on the Sexual Harassment Policy.
Senior Leadership Team	Meets Monthly. Feedback sought into the Terms of Reference for the CCTG.	AUTSA	Where changes in our employment policies or practice will impact our students, we also engage with AUTSA to seek input from the student voice. They were invited to provide feedback on the Sexual Harassment Policy.
Academic Board	Meets Monthly. Update on the Three Tier Complaints Process and feedback sought on the Sexual Harassment Policy.	Women on Campus / Other staff associations / network groups	Where changes in our employment policies or practice are relevant to any specific staff group, we also engage with them directly to seek their feedback.
Cultural Change Transition Group	Established in July 2021, currently meeting twice a month as they establish their priorities. This group will be provided with the opportunity to review and comment on all work to date, including the Draft Sexual Harassment Policy.		
Other Academic Committees	Other relevant committees will be consulted with as required. For example, the Safety in Supervision Policy has been reviewed by the Postgraduate Research Committee prior to Academic Board.		