

# **Employment resolutions and disciplinary policy and guidelines**

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## Policy statement

New Zealand Police (Police) is committed to making New Zealand the safest country in the world and strives to do this through exceptional policing. Our Code of Conduct (Our Code) sets the standard of behaviour that is expected of us all and helps guide us to live our core values every day.

To have the trust and confidence of New Zealanders, we need a robust, fair, and transparent process for dealing with situations where we have fallen short of the behaviour expected of us under Our Code. This ensures we are accountable and protects our integrity as an organisation. In addition to maintaining the public's trust and confidence in our policing, we must build and maintain internal trust and confidence in how we look after our own people. Our Employment Resolutions and Disciplinary Policy (the Policy) is an important part of this.

The approach and processes have been designed to be clear and transparent, and we are committed to reaching outcomes that are fair, proportionate, and timely.

The purpose of this policy and the supporting guidelines is to explain Police's unique approach and processes for responding to situations where there has been a potential breach of Our Code. This includes the guiding principles that underpin this policy and the restorative focus of our approach and processes.

This policy applies to all Police employees and will guide our expectations in relation to contractors and volunteers.

## **Ngā Mātāpono - Guiding Principles**

Police has been on a journey shifting away from a prescriptive rule-based organisation to one that is principles-based and defined by our core values. This is reflected in the following Guiding Principles (Ngā Mātāpono) which underpin our key decisions and actions. They sit alongside Our Values of Professionalism, Respect, Integrity, Commitment to Māori and the Treaty, Empathy and Valuing Diversity.

### **Te Pūtahi o te Tangata/People Centric**

Our people, their whānau and our communities are always at the centre of the process. Everyone is treated with Whakamanaakitanga (respect), Aroha (empathy, compassion and care) and will have the opportunity to be heard to tell their side of the story. The people involved and the specific circumstances of the situation will inform the appropriate resolution process to be followed and everyone will be offered appropriate support along the way.

### **Whakawhirinaki/Trusted**

Trust lies at the heart of everything we do. We need to trust each other, and we need to trust our processes. In order for the process to be trusted, we will ensure that it is fair, transparent, timely and consistent with our obligations of good faith. We will engage with the people involved early on and maintain good communication throughout the process.

### **Whaiwhakaaro/Responsive**

We will respond to matters quickly and proportionately to the behaviour of concern. The appropriate process will be carefully considered, taking into account the situation and the people involved. Our response will be thoughtful and reflective. The people involved will understand the next steps and where the process is at as we progress through to a resolution.

### **Tikanga Haumaruru/Safe**

We are committed to providing a safe and healthy work environment where everyone can be themselves and thrive. This means people feel safe and supported when raising concerns and when they are involved in a disciplinary process, which we know is inherently challenging. Confidentiality is an essential part of this, and we will ensure information is only shared on a need-to-know basis.

### **Noho Haepapa/Accountable**

We are all accountable for our behaviour and behaviour that falls short of what is expected of us will be addressed. We own up to our mistakes and remain committed to learning from them. We understand that mistakes happen, and we will back our people when they are facing challenging circumstances or decisions. But at the same time, we are all expected to show humility and insight into our own conduct.

### **Why**

Trust and confidence in the integrity and professionalism of Police by the community is essential to

successful policing. Any breaches of Our Code or Our Values are dealt with fairly, in good faith, in a timely way and with a view to improving conduct.

The restorative focus and guiding principles of this policy supports the Commissioner's first priority of "be first, then do". This is about focussing on the culture of our organisation - before we do, we need to take care of how we are, which is about our leadership, our team culture and the environment we create for our people. The Policy is an important part of this because how we look after our people when things are tough says a lot about who we are as an organisation.

## **What**

The Police Code of Conduct and Our Values help underpin the Policy. Our Code describes the standards of behaviour required of all Police employees. This policy and associated Guidelines describe the approach that will be taken for potential breaches of Our Code or Values.

## **How**

Police is committed to:

- taking a holistic and people-centric approach to resolving misconduct, complaints or any other issues that arise by our people;
- supporting the wellness and safety of our people;
- following a fair and consistent, responsive and transparent approach; and
- meeting our good faith obligations as an employer.

Police's approach to employment resolution is focused on appropriately addressing behaviours that have fallen short of Our Code and Our Values in a proportionate and meaningful way. This includes being able to restore relationships, set expectations, and repair harm. Where possible, this is best achieved by actively involving those affected in facilitated dialogue and decision-making about how to bring positive changes for everyone involved.

It will only be in the most serious cases where a person's conduct irreparably damages Police's trust and confidence to such a degree, that they can no longer be part of our organisation. In these rare cases, dismissal will be the appropriate outcome.

In most instances involving a breach of Our Code, the employment relationship will continue following an appropriate outcome. It is therefore essential that a process is followed that provides accountability, improves conduct, and restores relationships with a view to the future.

This policy and associated Guidelines below support adopting appropriate processes to restore relationships, keep everyone safe, and build a productive and enjoyable workplace so that we can continue our mission of providing New Zealand communities with the service they expect and deserve from us.

## **Further information**

For more information refer to:

Type	Title/Description
Legislation	<ul style="list-style-type: none"> <li>- Policing Act 2008</li> <li>- Employment Relations Act 2000</li> <li>- Independent Police Conduct Authority Act 1988</li> <li>- Human Rights Act 1993</li> <li>- New Zealand Bill of Rights Act 1990</li> <li>- Protected Disclosures (Protection of Whistleblowers) Act 2022</li> <li>- Privacy Act 2020</li> <li>- Health and Safety at Work Act 2015</li> </ul>
People & Capability Policies	<ul style="list-style-type: none"> <li>- Code of Conduct</li> <li>- Conflict of Interest</li> <li>- Early Intervention</li> <li>- Kia Tū</li> <li>- Effective Employment Relationships</li> <li>- Handling requests for information held by Police Integrity &amp; Conduct</li> </ul>
Police Employment Agreements	<ul style="list-style-type: none"> <li>- Constabulary Collective Employment Agreement 2021 - 2023 (Bands A-J)</li> <li>- Employee Collective Employment Agreement 2021 - 2023 (Bands A-J)</li> <li>- Constabulary Individual Employment Agreement 2021 - 2023 (Bands A-J)</li> <li>- Employee Individual Employment Agreement 2021 - 2023 (Bands A-J)</li> <li>- Employee Fixed term Individual Employment Agreement - Less Than Six Months</li> <li>- Employee Fixed term Individual Employment Agreement - Six Months or More</li> <li>- Recruit Fixed Term Employment Agreement</li> <li>- Individual-employment-agreement-2008-casual-employee</li> <li>- Managers CEA/IEA Update - 6 October 2022</li> <li>- Police Managers' Fixed Term IEA (Grades 20-24) Less Than Six Months.pdf</li> <li>- Police Managers' Fixed Term IEA (Grades 20-24) Six Months or More.</li> <li>- Memorandum of Understanding between the Independent Police Conduct Authority and the New Zealand Police</li> </ul>

<p>Te Ohu Manawanui</p>	<ul style="list-style-type: none"> <li>- <a href="#">Employment Resolutions and Disciplinary Process</a></li> <li>- <a href="#">Employment Resolutions Team / Te Ohu Manawanui</a></li> <li>- <a href="#">Manager Essentials - Employment Resolutions and Disciplinary Process</a></li> </ul> <p>If you need further information about Te Ohu Manawanui or Police’s approach to employment resolution and disciplinary matters, or the employment resolutions and disciplinary framework you can contact Te Ohu Manawanui at <a href="mailto:TeOhuManawanui@police.govt.nz">TeOhuManawanui@police.govt.nz</a> or your local Employment Resolutions Specialist (ERS).</p>
<p>Guidance</p>	<p><a href="#">Misuse of information - escalating sanctions guideline</a></p>

## Guidelines

These guidelines should be used in conjunction with advice obtained from your local Employment Resolutions Specialist (ERS) at any stage in the employment resolution and disciplinary process.

### Te Ohu Manawanui/Employment Resolutions Team

Te Ohu Manawanui / the Employment Resolutions Team sits within the Employment Relations team under the Leadership & Capability work group and is responsible for managing and resolving conduct related matters.

Te Ohu Manawanui is made up of:

- Employment Resolutions Specialists (ERS) who are responsible for advice and management of cases going through an employment resolution or disciplinary process.
- A dedicated pool of Employment Resolutions Investigators (ERI) who are responsible for undertaking preliminary and employment investigations.
- A leadership team that manages the Employment Resolution Specialists and Employment Resolutions Investigators and ensures employment resolution services are delivered in line with these guidelines and the Guiding Principles.

Refer to the [Employment Resolutions Team | Te Ohu Manawanui](#) page for further information about the team. Where specialised advice is needed, Te Ohu Manawanui will call on expertise in relation to restorative practices or alternative resolutions options, and prevention, training and education opportunities. Legal advice from [ER Legal](#) may also be sought throughout the process.

### Confidentiality

Confidentiality is important to give reassurance to those involved in the process that they will be treated fairly, equitably and with respect, and that the process will not unduly impact relationships with their colleagues or their career with Police. Police will start from a point of sharing information on a 'need to know' basis to those supporting the case or giving advice to the Te Ohu Manawanui team or decision makers, in accordance with the [Privacy Act 2020](#). Further guidance on Need to Know Information can be found here <https://tenone.police.govt.nz/pi/information-security-1>.

### Anonymous and confidential notifiers

- Anonymous notifiers - where Police does not know the identity of the person who raised the notification.
- Confidential notifiers - where Police knows the identity of the person who raised the notification, however for a range of circumstances their identity is not disclosed. Note: Usually it will be necessary to disclose the identity of the notifier, however in rare cases there may be justification for withholding the notifier's identity.

Under the duty of good faith and principle of natural justice, an employee is entitled to receive sufficient information about a concern to enable them to fairly respond to a complaint. In most cases this will

require disclosure of the identity of the notifier. If a notifier does not want their identity disclosed Police will consider this request on taking into account the relevant specific facts and circumstances.

If Police can verify the concerns raised by the anonymous or confidential notifier through other sources, then the behaviour can be addressed, without providing the identity of the initial notifier.

If the notifier is anonymous or their identity is confidential, then consideration will need to be given regarding whether there is enough evidence to proceed with an investigation or employment process without the information from that person.

## **Conflicts of interest**

Trust lies at the heart of everything we do. In order for the process to be trusted, it must be fair, transparent, timely and consistent with our obligations of good faith.

Anyone involved in the process (e.g., from decision maker to investigator) is responsible for declaring if they have any actual, perceived or potential conflict of interest with a case so that it can be assessed and managed appropriately. Conflicts of interest should be raised with your local Employment Resolutions Specialist who will help guide you through the process. For further information see the [Conflict of Interest Policy](#).

## **Support available**

Police is committed to supporting the wellness and safety of its people and creating a culture where safety and wellness are understood and valued. This extends to anyone who may be involved in an employment resolution or disciplinary process such as the notifier, subject employee, witness or their whānau.

Our people should feel empowered, supported and recognised for making safety and wellness an intrinsic part of what they do for themselves and part of this includes hearing what support they think they may need.

Support is available through:

- the employee's manager
- Police Wellness Advisor
- the Police Association or Police Leaders' Guild
- Employee Assistant Programme's (EAP) 24/7 confidential support services

The Wellness Hub also has a range of support resources which the employee and their whānau can access at <https://nzpolice.synergyhealthltd.com>. Access is also available via the app on the Police mobile devices.

There may be external or additional support an employee needs, they or their representative should discuss the matter with the employee's manager, Wellness Advisor or Employment Resolutions

Specialist.

Any employee aggrieved by any action taken in a disciplinary process should raise the issue with their supervisor or representative and may raise the issue as an employment relationship problem. For further information see the [Effective Employment Relationships Policy](#).

## The role of the Independent Police Conduct Authority (IPCA)

The Independent Police Conduct Authority (IPCA) has powers under the [Independent Police Conduct Authority Act 1988](#) which includes oversight of Police conduct matters to provide assurance for both the public and Police that allegations of misconduct or neglect of duty are properly dealt with.

Police and [IPCA](#) have a [Memorandum of Understanding](#) which describes how the two organisations will work together. The [MOU](#) also sets out the types of matters that are notifiable to the [IPCA](#). Where the matter is notified to the [IPCA](#), the [IPCA](#) will assess the matter and categorise it according to how they consider it should be managed.

If the [IPCA](#) categorises a matter as a Category A, the [IPCA](#) will conduct their own investigation; or as a Category B, the [IPCA](#) requires Police to look into the matter. The [IPCA](#) oversees the case and ensures that Police has appropriately looked into and resolved the issues identified. This may mean that employees involved in the employment resolutions or disciplinary process may also need to provide a response to the [IPCA](#) relating to the incident, and that the [IPCA](#) will be provided the opportunity to feedback on draft employment investigation reports or findings as part of this oversight.

Police has a statutory obligation to share information requested by the [IPCA](#) to fulfil their oversight role to ensure Police appropriately manages and addresses the matter raised. The [IPCA](#) is bound by the [Privacy Act 2020](#) and the Privacy Principles when releasing information or publicly commenting on Police's handling of a matter they are overseeing.

If the [IPCA](#) has oversight of a case, the employee and involved parties will be advised of this and any associated processes.

## The role of an employee's representative

If an employee is involved in an employment resolution or disciplinary process, they are encouraged to seek advice and/or be represented during the process. Representatives include:

- New Zealand Police Association
- New Zealand Police Leaders' Guild
- Employment lawyer or advocate.

If an employee chooses to be represented, then all correspondence with the employee should be through their representative, unless agreed otherwise with the employee.

## Summary of Employment Resolution and Disciplinary Process

Where there has been a potential breach of Our Code, Police will respond promptly and appropriately. The process that will be followed will be fair, consistent with Police's good faith obligations and guided by Ngā Mātāpono (our guiding principles). Generally, this will involve the following key stages:

<p><b>Receive notification</b></p>	<p>Notifications of potential misconduct are received and processed by Te Ohu Manawanui.</p> <p>If there is a concern about an employee in relation to their behaviour potentially not being aligned to the expectations in Our Code, you should contact your local Employment Resolutions Specialist (ERS) or Professional Conduct Manager (PCM) to raise the notification to be assessed.</p> <p><b>Note:</b> If you are unsure whether a matter should be raised, your <a href="#">ERS</a> or <a href="#">PCM</a> can advise you on whether it should go through the process or if it is more appropriate for it to be managed by the employee's manager (e.g., low-level matters).</p>
<p><b>Perform initial assessment</b></p>	<p>When a notification is raised about an employee in relation to their behaviour potentially not being aligned to the expectations in Our Code, an initial assessment is undertaken to assess whether the matter has met the threshold for being assessed by the National Assessment Team (NAT). If the matter has not met the threshold for going through the <a href="#">NAT</a> process it will be referred to the employee's manager to address with the employee(s) and resolve. (e.g., low-level matters).</p> <p>Further information may need to be gathered in order to determine if a notification should: continue through to the <a href="#">NAT</a>, determine if a notification should be notified to the <a href="#">IPCA</a>, or to assess a case.</p> <p><b>Note:</b> Gathering further information for initial assessment is not an investigation and anyone spoken to as part of the information gathering is not formally interviewed. Any information gathered is disclosable to the employee.</p>
<p><b>Perform case assessment</b></p>	<p>If it appears that on the face of it there are concerns about the employee's behaviour, the matter is referred to the <a href="#">NAT</a>. The purpose of the <a href="#">NAT</a> is to assess whether an employee's conduct could (if substantiated) constitute a breach of Our Code, Our Values, Police policies, or the relevant employment agreement (for employment) or the law (for criminal). The scope of matters assessed is:</p> <ul style="list-style-type: none"> <li>- any employment matter where the behaviour demonstrated could be in breach of Our Code, Our Values, Police policies or employment agreements, or</li> <li>- any case which is likely to be categorised by the <a href="#">IPCA</a> as a Category A or B complaint.</li> </ul>

<b>Recommend pathway</b>	<p>The matter is assessed by the <u>NAT</u> Panel facilitated by Te Ohu Manawanui. The primary responsibility of the <u>NAT</u> Panel is to assess potential criminal and/or employment matters and make recommendations for a decision maker on the most appropriate pathway to address the issues, taking into consideration national consistency, the local resolutions team's perspective and guiding principles.</p> <p>The <u>NAT</u> can recommend one of the following pathways once it has assessed a case:</p> <p><b>Where further information is required for case assessment</b></p> <ul style="list-style-type: none"><li>- Information request</li><li>- Preliminary investigation</li><li>- Incident investigation</li></ul> <p><b>Where there is enough information to recommend the most appropriate employment process</b></p> <ul style="list-style-type: none"><li>- No further action</li><li>- Early resolution</li><li>- Alternative (<i>to disciplinary process</i>)</li><li>- Disciplinary meeting</li><li>- Employment investigation</li></ul> <p><b>Where there is potential criminality</b></p> <ul style="list-style-type: none"><li>- Criminal investigation</li><li>- Dual (i.e., criminal investigation and an employment process)</li></ul>
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<b>Implement pathway</b>	<p>Once the decision maker has confirmed the pathway to be taken, the relevant steps will be undertaken to resolve the matter. Refer to the <a href="#">Pathways</a> section for further information regarding what is involved with each pathway.</p> <p><b>Making the decision</b></p> <p>Once the employment process is complete, and if misconduct or serious misconduct has been established, a preliminary decision needs to be reached about what outcome and/or sanction may apply. Full consideration should be given to all available information. The employee will be informed of the preliminary decision and be given the opportunity to comment accordingly either in person and/or in writing. Following consideration of any comments or submissions from the employee a final decision on outcome and/or sanction can be made. For further information see <a href="#">Making the Decision</a> section.</p> <p><b>Outcomes</b></p> <p>If misconduct or serious misconduct is established there are several outcomes or sanctions available for consideration by the decision maker depending on the circumstances and conclusions reached as part of any employment process. These could include a warning/final warning or dismissal and/or other appropriate outcomes that are not disciplinary sanctions, such as performance management, restorative practice processes, training, mentoring, counselling or learning or values conversations.</p> <p><b>Moving forward</b></p> <p>If an employee has gone through the employment resolutions or disciplinary process they may have been taken away from their usual routine or even away from the workplace during the process and could need support getting back to work. What this looks like will vary from person to person and should involve discussions between the employee and their supervisor to work out the best approach to moving forward.</p>
<b>Close case</b>	<p>The case will be closed when the final decision has been made and any associated activities have been completed. A record of the case will be retained by Police.</p>

If you are involved in the Employment Resolution and Disciplinary Process your local Employment Resolutions Specialist (ERS) will guide you through the process as it relates to the specific circumstances.

## Assessment

Notifications raised to the Employment Resolution and Disciplinary Process are assessed by the [NAT](#).

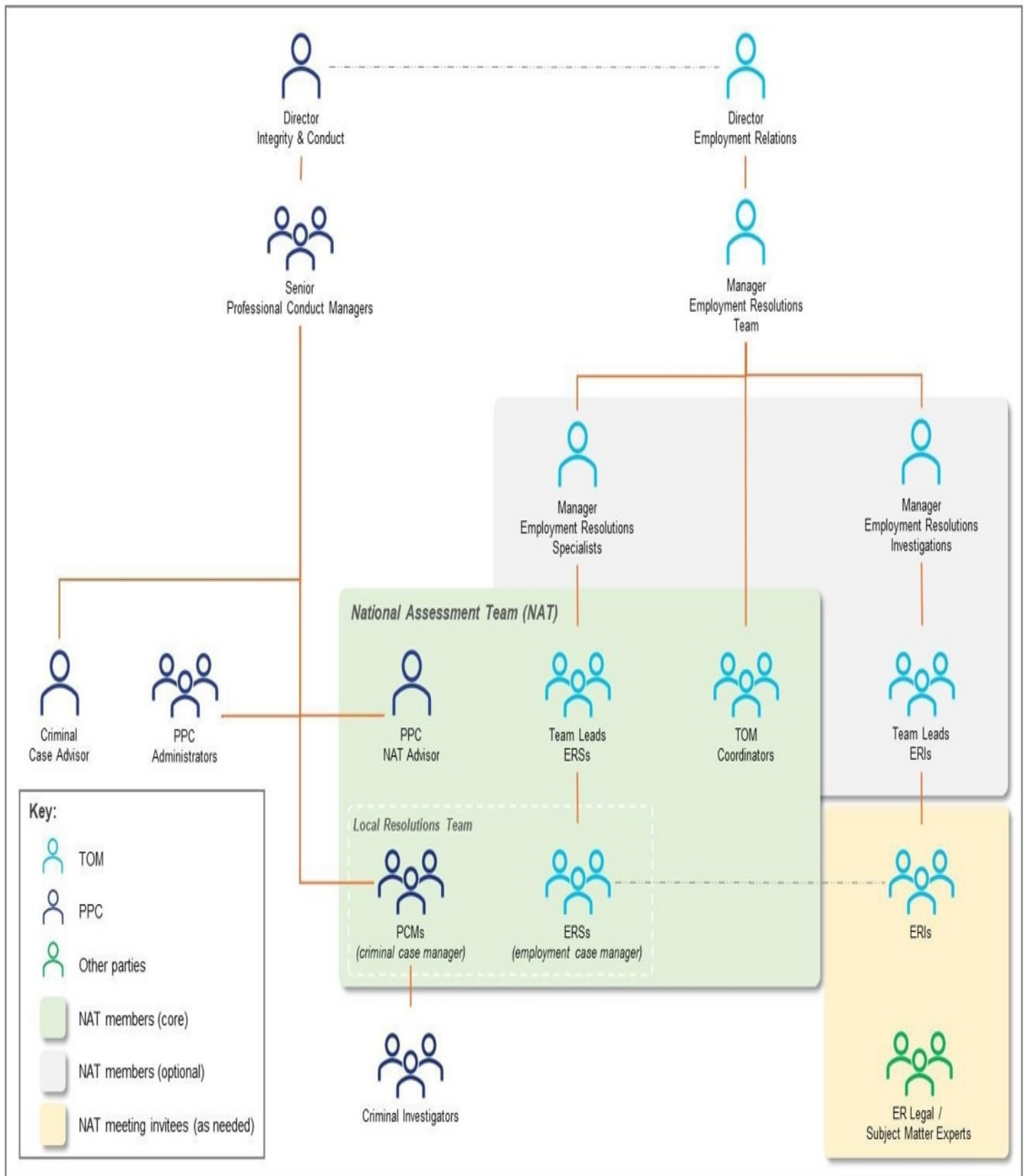
## Key responsibilities of the NAT

The NAT Panel will facilitate the assessment of a case and the identification of a recommended pathway based on the guiding principles. The Panel will:

- take a holistic approach to resolution i.e., try to identify and address the fundamental or underlying issues;
- consider the least punitive approach to resolution first;
- provide recommendations to the decision maker that are nationally consistent;
- consider other alternatives ahead of restricted duties or suspension when considering a change in duty status;
- call on the expertise of subject matter experts (SMEs) to ensure a proper understanding of the issues, e.g., such as an expert in for a fleeing driver or family harm situation;
- make a recommendation on a pathway that is fair, reasonable, and proportionate in the circumstances;
- notify the IPCA where required to do so under the IPCA Act 1988 and Memorandum of Understanding (responsibility of the PPC NAT Advisor);
- reassess or revisit a case and review pathway(s) as required; and
- ensure trends and lessons learnt are shared with appropriate parties to help inform future decision making.

## **Who is involved?**

The NAT panel is made up of dedicated team of specialists to ensure national consistency and that decision makers receive expert advice to achieve appropriate outcomes aligned to the guiding principles. The structure of the NAT Panel is below:



The NAT Panel membership comprises national and local members (i.e., local ERS and PCM) to ensure both national and local views inform the recommendation to the decision maker. Note: There may be times due to the sensitivity of a matter, either due to the personnel involved or the nature of the conduct being considered, when a Panel involving more senior practitioners might be appropriate.

Restorative processes may form part of any of the pathway recommendations. The Alternative pathway

can include any number of interventions from training, mentoring, coaching, health assessments or culture work as some examples.

## Pathways

A pathway is the approach taken to resolve a matter. The following table provides a high-level description of each of the pathways the NAT can recommend.

	Pathway	Description
<p><b>Where further information is required for case assessment</b></p> <p><i>Note: The results of each of these pathways will be considered by the <u>NAT</u> to help recommend next steps (if any)</i></p>	<p><b>Information Request</b></p>	<p>The purpose of an Information Request is to gain further information or clarification on a matter through a question or set of questions to the subject employee via their supervisor.</p> <p>An Information Request is likely to be made at the early stages of a case where Police does not have enough information to confirm if there is any basis for the concerns raised and it is used to try to resolve the matter in a timely way.</p> <p>An Information Request is not an investigation, and it is optional for the employee to respond to an Information Request.</p>
	<p><b>Preliminary Investigation</b></p>	<p>The purpose of a Preliminary Investigation is to gain further information or clarification as to whether there are any criminal and/or employment aspects that warrant further exploration for individual employees.</p> <p>A Preliminary Investigation is likely to be undertaken at the early stages of a case where Police does not have enough information to confirm if there are employment or criminal concerns and the matter is potentially serious. It is used to try to resolve the matter where a formal employment investigation may not be required.</p> <p>An employee will be offered the opportunity to participate in the Preliminary Investigation.</p>

<p><b>Incident Investigation</b></p>	<p>The purpose of an Incident Investigation is to establish the facts about what has happened regarding an incident that Police is concerned about or that has given rise to a complaint so that Police can determine whether the incident occurred, and/or whether the complaint is upheld, and identify any issues, lessons or prevention opportunities and identify if they have been properly considered and resolved.</p> <p>An Incident Investigation may be undertaken where there is no misconduct (i.e. breaches of Our Code) or criminality is currently identified with the matter, but there has been an outcome that Police or the <u>IPCA</u> has identified needs further exploration (e.g. particular complaints or incidents).</p> <p>If the Incident Investigation findings indicate there is a potential breach of Our Code or potential criminality, the findings will be considered by the <u>NAT</u> to help recommend next steps.</p>
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	Pathway	Description
<b>Where there is potential criminality</b>	<b>Criminal Investigation</b>	<p>The purpose of a Criminal Investigation is to determine whether the employee should be criminally charged and the appropriate charges (if any) taking into consideration the Solicitor General guidelines.</p> <p>The Criminal Investigation process is owned by the Police Professional Conduct team (PPC) and will be recommended by the <u>NAT</u> where there are clear criminal concerns identified with the matter.</p> <p>For criminal matters, the decision to charge is the responsibility of the AC Deployment within the Criminal Charging Advisory Panel (CCAP). For criminal traffic matters, the decision to charge is the responsibility of the National Road Policing Manager within the Driving Charging Advisor Panel (DCAP). Any decision to criminally charge an employee will be made in accordance with the Solicitor-General’s Prosecution Guidelines.</p> <p>All criminal investigations from this pathway will be referred to CCAP and equivalent DCAP for criminal traffic matters.</p>
	<b>Dual</b>	<p>The purpose of a dual process is to address matters that have both prima facie criminal and employment concerns.</p> <p>The criminal concerns will be addressed via a criminal process involving a criminal investigation and charging process as described in the Criminal Investigation pathway.</p> <p>The employment concerns will be addressed via one of the available employment pathways listed below.</p> <p><b>Note:</b> There can be times where the outcome and relevant information from the criminal process may be considered by the <u>NAT</u> to help inform the most appropriate employment process.</p>

	Pathway	Description

<b>Where there is enough information to recommend the most appropriate employment process</b>	<b>No Further Action</b>	The No Further Action pathway reflects that the <u>NAT</u> has assessed there are no employment concerns that need to be addressed and the case can be closed.
	<b>Early Resolution</b>	An Early Resolution is undertaken when there is enough information to understand the employment concern and the matter does not require a sanction or formal alternative resolution process.
	<b>Alternative (to disciplinary process)</b>	<p>An Alternative pathway is one where a different course of action from a formal disciplinary process has been agreed to be taken. This provides options for supporting a holistic approach to dealing with issues and should be considered ahead of more punitive options where appropriate. This approach may be taken where a matter requires a more formal process than an early resolution and involves the decision maker and employee agreeing to the alternative resolution.</p> <p>It can be appropriate to address serious matters using this pathway if the decision maker considers it more appropriate in the circumstances.</p>
	<b>Disciplinary process</b>	
	<b>Disciplinary Meeting</b>	<p>An employee may be invited straight to a Disciplinary Meeting when there is enough information for the decision maker to make a preliminary decision without further investigation being required and a sanction is proposed.</p> <p>The sanction may be a warning, a final warning or proposal to dismiss.</p> <p>In addition to a sanction of less than dismissal a decision maker and the employee can also agree to other outcomes to help address the behaviour of concern.</p>
	<b>Employment Investigation</b>	<p>The purpose of an Employment Investigation is to establish if the alleged conduct occurred regarding the employment concerns for an employee.</p> <p>An employment investigation is undertaken where the <u>NAT</u> has enough information to raise an allegation with an employee that they may be in breach of Our Code, Our Values or Police policies and/or practices.</p> <p>If the facts around the employment allegations are established, the decision maker will make a preliminary decision on a proposed sanction. The outcome may be a formal sanction and/or other outcomes to help address the behaviour of concern.</p>

As circumstances can change, cases will be reviewed throughout a pathway to identify if there is anything that may give cause to consider changing what is currently being undertaken, for example checking if the current pathway or level of support is still appropriate. If something arises that could affect this, the situation will be reviewed to determine if any changes are needed to ensure the most appropriate pathway, or activities are being advanced.

## **Investigations**

Where there are concerns relating to the alleged conduct of an employee, an investigation may be required. Investigations have a number of steps to be undertaken to inform decisions. As a good faith employer, there is a need to balance:

- fairly informing an employee that an allegation has been raised about their behaviour or conduct that we need to understand further;
- not unnecessarily raising something that may not be a real issue; and
- avoiding causing unnecessary stress to the employee.

Before taking any action or responding to a complaint made by an employee, as many facts as possible should be gathered. This can be done by means of either information gathering, an information request, preliminary investigation, or an incident investigation to make findings of fact. Once this process has been completed Police can determine next steps.

Investigations will be conducted in accordance with all relevant legislation and will have regard for the wellness of all involved, including the employee being investigated, the notifier, and witnesses.

Matters undergoing investigation will be dealt with:

- proportionately;
- appropriately;
- in good faith;
- in accordance with procedural fairness;
- in a timely manner; and
- respecting the need for confidentiality.

## **Employment vs criminal investigations**

The key differences between employment and criminal investigations are covered below:

Employment Investigation	Criminal Investigation
<ul style="list-style-type: none"> <li>- Expectation that the employee will participate and both employer and employee will uphold good faith obligations.</li> <li>- Relevant information is disclosed, and the employee has time to consider it before commenting on it.</li> <li>- Test is balance of probabilities, is it more likely than not that the alleged conduct occurred?</li> <li>- The more serious the misconduct, or the possible consequences the stronger the supporting information and reasoning needs to be.</li> </ul>	<ul style="list-style-type: none"> <li>- Can decline to participate and have the right to silence.</li> <li>- Information is not necessarily disclosed and is provided in accordance with the criminal disclosure framework (<a href="#">Criminal Disclosure Act 2008</a>).</li> <li>- There is a need to prove any wrongdoing beyond reasonable doubt and require evidential sufficiency to meet that test.</li> </ul>

## Criminal investigation

Where a matter leads to a criminal investigation, and possible misconduct is identified, a separate employment investigation may be commenced. To ensure independence and fairness, the employment investigation will be undertaken by a different investigator, i.e., an Employment Resolutions Investigator (ERI). Where information gathered during the criminal investigation is relevant to the employment investigation, advice on what is appropriate to use in the employment investigation will be provided by another Te Ohu Manawanui team member who is not the assigned ERI.

## Employment Investigation

The purpose of an employment investigation is to establish and consider the facts of what happened and to assess whether the allegations against, or the complaint about, the employee are established or not. The investigation will assist the decision maker to determine whether an employee’s actions constitute a breach of Our Code, Police policies, Employment Agreements and Our Values.

Disclosure of relevant information is an ongoing obligation throughout the process. The appointed ERI will interview key people to the investigation including the employee under investigation for their response to the allegations, any witnesses to the behaviour, the complainant, and if relevant, subject matter experts.

An employee under investigation is invited to an investigation meeting and is entitled to bring a support person and/or representative to the meeting. An employee will be given sufficient time to prepare for this meeting following the release of disclosure. Once the ERI has all of the relevant information, they will provide a draft report to the employee for feedback, and the employee’s submissions will be considered. The final report will then be provided to a decision maker and where the facts of the allegations are established the decision maker will make a finding on the level of misconduct and appropriate outcome

or sanction.

Refer to the [Making the decision](#) section for further details of the decision-making process.

## Draft Employment Investigation Report

Where the IPCA has oversight of the matter the IPCA is required to review the draft employment investigation report. The employee will be advised if this is the case and will be kept updated on expected timeframes. If the IPCA has any comments they will provide them in a separate memo so that it is clear what their feedback is. Police will review any feedback from the IPCA and provide the employee with:

- a copy of the draft employment investigation report
- a copy of the IPCA's feedback (if any) or confirmation that the IPCA did not have any feedback
- where the IPCA has feedback, Police's view on each piece of feedback (e.g., accept/not accept).

The employee will be invited to provide submissions on the draft employment investigation report, and any feedback from the IPCA.

## Abeyance

Abeyance refers to Police (as the employer) agreeing not to progress an employment process where there is a related criminal process (a dual). An employee may make the request to Police to hold the employment process in abeyance while a criminal investigation or process is ongoing or has concluded. The employee can request abeyance and the criminal investigation and/or prosecution will take precedence if there is a risk of:

1. The criminal investigation or prosecution being compromised by simultaneously progressing the employment investigation, or
2. The employee being placed in an unfair position by having to participate in employment process simultaneously.

The default position is that employment and criminal investigations can progress simultaneously, up until the point that abeyance is requested by the employee.

## Decision to Grant Abeyance

The respective Directors of People Strategy and Integrity & Conduct jointly decide whether to grant abeyance considering the legal advice and recommendation from ER Legal. ER Legal facilitate the approval through the Directors and will provide the decision back to the ERS. ER Legal will also provide a copy of the Directors' decision letter to the employee and their representative.

In assessing whether an employment process should progress, the following factors from the Employment Court case of *Wackrow v Fonterra Co-operative Group Ltd* are balanced by ER Legal when providing their advice and recommendation to the Directors of People Strategy and Integrity & Conduct:

1. Likelihood of publicity of the employment process that might influence jurors.

2. The proximity of the criminal proceedings.
3. The possibility of a miscarriage of justice by disclosure of the defence, enabling fabrication of evidence or interference with a witness.
4. The burden of preparing for two proceedings.
5. The effect on the employer when considered and weighed against the effect on the defendant.
6. Whether the proceeding can be allowed to proceed to a certain stage before being stayed.

## **Factors to consider**

Requests for abeyance should be provided to the Employment Resolutions Specialist or other Te Ohu Manawanui team member who will assist and guide the consideration of the following factors prior to referring the matter to ER Legal for assessment and recommendation to the Directors for their decision.

## **Progressing the Employment Investigation**

The fact of a criminal offence, or a potential criminal offence, does not of itself prevent the employment process from commencing or continuing. The default position is that the employment and criminal processes can progress contemporaneously. The starting point will be that Police will progress the employment process unless and until the employee has made a request for the employment investigation to be held in abeyance.

The onus is on the employee to explain why the employment process should be held in abeyance. Police will then consider the reasons given.

## **Use of information obtained in a Criminal Investigation**

Police's process will be that if an employee is suspected of criminal activity, then Police will progress an initial criminal investigation and will inform the employee that any information obtained in the course of the criminal inquiry which is deemed relevant to the employment concerns, may be used in any employment process.

If the employee (or a witness) does not agree to provide information if it is to be used in the employment context, then Police will note this, and progress the criminal investigation regardless. Advice on what is appropriate to include will be provided by the Employment Resolutions Specialist.

## **No plea or prior to plea being entered**

It may be difficult for Police to advance the employment process further (i.e., beyond information gathering) if no plea has been entered. The employee may still be taking advice on the appropriate way forward. It may be fairer to hold the employment process in abeyance until such time as to allow the employee the opportunity to take advice in respect of a plea. It may also be beneficial for Police to know whether the facts of the case and the charge is to be refuted.

## **Employee pleads guilty**

If the employee pleads guilty, then Police should be able to advance the employment process on the basis of the facts to which guilt is pled (after weighing the other factors described above).

## **Employee pleads not guilty**

If the employee pleads not guilty, and exercises their right to remain silent, then it may be difficult for Police to advance the employment process without breaching that fundamental right to silence. On the other hand, if the employee provides a statement and pleads not guilty, then Police can consider the other relevant factors and assess whether the employment process can safely advance.

## **When to proceed with the employment process**

Aspects of the employment process which do not raise issues of self-incrimination and are established on the facts available may proceed where possible. By agreement with the employee and/or their representative, employment processes may be progressed up to the point of speaking to the subject employee i.e., other witness statements (which do not impact on the prosecution), and other information may be gathered. The ERS and PCM can assist with determining what information should be available to the employment process to maintain independence between the criminal and employment processes where appropriate. Advice may be sought from ER Legal in these cases.

## **Changes to Duty Status**

### **Purpose**

Duty status in this context, refers to an employee's ability to continue working in their substantive role during a criminal or employment process. In some cases, it may be necessary or appropriate to make changes to these duties to mitigate any real or perceived risks that may arise from the allegations. Options for consideration range from the most serious, being suspension, stand down, restricted duties, agreed alternative duties, or it may be that the risks can be managed in such a way that allows the employee to continue in their current role i.e., no change required.

The conduct of concern will be considered against the risk factors outlined below, and in the first instance, consideration will be given to options for the employee to remain in the workplace.

Where the alleged conduct is serious in nature and the risks are significant, and cannot be mitigated or minimised sufficiently, stand down or suspension may be justified.

The risk factors considered include:

- the risk to the health and safety of the employee and others;
- the risk that the employee will interfere with the investigation;
- the risk that the employee will interfere with Police operations or disrupt Police routines; and
- the nature or gravity of the alleged conduct may prejudice the public interest or potentially damage the reputation of Police.

### **Options**

Police may:

- allow the employee to remain in their current position, ensuring appropriate supervision is available;

- move the employee onto restricted duties or other alternatives;
- suspend the employee from duty;
- temporarily stand the employee down while an assessment of the situation is made; or
- identify another option to address the risk posed.

Unless there is an immediate and justifiable need to remove the employee from their current position in order to assess the risks arising from having them present in the workplace; moving an employee, restricting or changing their duties, or suspending them from duty should occur only after putting a proposal to the employee and seeking their feedback. There must be careful consideration of the employee's views before making a decision.

Where an employee has not been stood down or suspended, leave may be granted to the employee to allow them time away from the workplace to consider a proposal for Restricted Duties, seek advice and arrange any support they may require.

## **Suspension**

An employee who has been suspended will be on full pay unless:

- The employee is on leave without pay at the time of the suspension; or
- The employee refuses to engage with any employment process or otherwise obstructs the investigation process and is given an opportunity to make submissions on the proposal to suspend without pay before any decision is made.

## **Conditions Associated with a Change to Duty Status**

The decision maker will decide what conditions are needed in order to mitigate identified risks. Careful consideration will be given to ensure any conditions proposed are fair, reasonable and justifiable.

Depending on the circumstances, this may include:

- being unable to apply for or be considered for promotion, transfer or any Police advertised vacancy;
- not attending previously approved training;
- not being eligible for tertiary assistance;
- having any existing approvals for secondary employment reviewed; or
- ensuring the employee does not interfere with the investigation including speaking with any persons who might be interviewed;
- restricting access to Police applications such as NIA; and
- where the conduct is serious in nature it may be necessary for an employee to hand in their ID card, mobility devices and not be permitted to wear uniform or carry out any further police duty.

Employees on agreed alternative or restricted duties may apply to the Deputy Commissioner, Leadership and Capability, to consider making an exemption of any conditions on a case-by-case basis.

To ensure that the process is progressed in a timely manner, employees on restricted duties or

suspension need to make themselves available for meetings related to the employment resolutions and disciplinary process. Regular contact will be made through the employee’s manager or Safer People (Tiaki Tangata) for employees who are stood down or suspended to keep them informed of the process and ensure that appropriate support is put in place for their wellbeing. The obligation to maintain contact is reciprocal between Police and the employee.

## Reviewing Changes to Duty Status

Duty status will be regularly reviewed to assess if the risk factors initially identified are still relevant. Alternatively, if circumstances change or new information becomes available the arrangements may also be reviewed. The employee can also request a review of the decision at any time providing supporting reasons.

If a particular restriction is no longer required, an amended restricted duties notice will be provided to the employee, and the new restrictions outlined. The employee’s feedback will be sought if the request has not come from the employee for the alteration. Where restrictions no longer apply, the notice should be formally rescinded by letter and via a discussion led by the employee’s supervisor. The reasons for this will also be explained to the employee e.g., the criminal investigation has concluded with no charge recommended, and the employment concerns are not serious in nature and do not justify any restriction of duties.

## Delegations

Only those with delegated statutory authority can make the decision to suspend or dismiss an employee. Refer to <https://tenone.police.govt.nz/pi/delegations> for which roles hold the statutory delegation from the Commissioner conferring these powers.

## Making the decision

### Who makes the decision?

In most cases, the District Commander or Director of the work group will be the decision maker in relation to employment resolution outcomes. There may be times when the decision can be delegated to an Inspector within the District or work group, depending on the severity of the conduct. In addition to advice the decision maker may receive from the ERS, a decision maker may also wish to seek advice from ER Legal at points within this process. The ERS will present a recommendation or options to the decision maker which include the advice and considerations based on [Ngā Mātāpono \(guiding principles\)](#). The table below sets out the levels for decision makers:

Scenario	Decision maker	Notes

<p><b>Confirmation of pathway</b></p>	<p>District Commander, Service Centre Director, Director: Deployment (Tāmaki Makaurau), or Director: Partnerships (Tāmaki Makaurau) and above.</p>	<p>This may be delegated to Inspectors or equivalent level managers.</p> <p>Decisions are made in consultation with Employment Resolutions and where appropriate <u>ER</u> Legal.</p> <p>The <u>NAT</u> will make a recommendation on the pathway for the decision maker to consider.</p>
<p><b>Final decision - non-disciplinary outcome</b></p>	<p>District Commander, Service Centre Director, Director: Deployment (Tāmaki Makaurau), or Director: Partnerships (Tāmaki Makaurau) and above.</p>	<p>This may be delegated to Inspectors or equivalent level managers.</p>
<p><b>Decision to suspend</b></p>	<p>District Commander, Director: Assurance, Director: People Strategy, Director: Integrity &amp; Conduct, Director: <u>RNZPC</u>, Director: Service, Director: Emergency Communications Centres and Dispatch and AC/ED or Chief Information Officer and above.</p> <p><b>Note:</b> This decision maker also needs to hold a statutory delegation from the Commissioner conferring this power.</p> <p><i>Please check here:</i>  <a href="https://tenone.police.govt.nz/pi/delegations">https://tenone.police.govt.nz/pi/delegations</a>.</p>	<p>District Commanders, Director: <u>RNZPC</u>, Director: Service, Director: Emergency Communications Centres and Dispatch should consult with their manager and Employment Relations.</p>
<p><b>Final decision - disciplinary warning</b></p>	<p>District Commander, Service Centre Director, Director: Deployment (Tāmaki Makaurau), Director: Partnerships (Tāmaki Makaurau) and above for serious misconduct and warnings or more than 12 months.</p> <p>Inspectors or equivalent level managers for misconduct and warnings of 12 months or less.</p>	<p>Decisions are made in consultation with Employment Resolutions and where appropriate <u>ER</u> Legal.</p>

<p><b>Final decision - dismissal</b></p>	<p>District Commander, Director: Assurance, Director: People Strategy, Director: Integrity &amp; Conduct, Director: <u>RNZPC</u>, Director: Service, Director: Emergency Communications Centres and Dispatch and AC/ED or Chief Information Officer and above.</p> <p><b>Note:</b> This decision maker also needs to hold a statutory delegation from the Commissioner conferring this power.</p> <p><i>Please check here:</i>  <a href="https://tenone.police.govt.nz/pi/delegations">https://tenone.police.govt.nz/pi/delegations</a>.</p>	<p>District Commanders, Director: <u>RNZPC</u>, Director: Service, Director: Emergency Communications Centres and Dispatch should consult with their manager and Employment Relations.</p>
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**Note:** If the matter requires a criminal investigation, the matter will be referred to the Criminal Charging Advisory Panel (CCAP) where the decision to criminally charge an employee is made by the AC Districts supported by the CCAP. If the matter requires a criminal traffic investigation, the matter will be referred to the Driving Charging Advisor Panel (DCAP) where the decision to charge an employee is made by the National Road Policing Manager within the DCAP.

## The Role of the Decision Maker

The role of the decision maker is to carefully consider all of the relevant information gathered in respect of the conduct concerns and make a decision from the organisation's perspective, to consider whether misconduct has occurred in relation to the guidance in Our Code and decide on an appropriate outcome or sanction in order to address any harm caused and to prevent the behaviour occurring again. As outlined in Our Code the factors to consider are:

- The nature of the conduct and the circumstances.
- Intent - did the employee knowingly make decisions or act out of line with Our Code, Our Values and policies?
- Their position, duties and responsibilities.
- Their ability to fulfil their duties and responsibilities given the conduct.
- The impact on the organisation and relationships.
- The impact on the trust and confidence Police has in the employee.
- Their relevant prior conduct.
- How similar behaviour has been treated in the past.

A decision must be made without any pre-determination. Any information the decision maker has relied on to make their decision will be disclosed to the employee.

The decision maker considers the most appropriate resolution for dealing with the conduct given its nature and severity.

The more serious the allegation(s) and likely outcome for the employee, the more closely the procedural aspects of the employment resolutions or disciplinary process may be scrutinised if reviewed in the future. The decision maker needs to be sure about what has occurred. The decision maker should seek advice and guidance from their Employment Resolutions Specialist regarding coming to an appropriate resolution.

## **Two Stages to Making the Decision**

### **1. Preliminary decision**

In coming to a preliminary decision, the decision maker should make the information available to the employee which may include:

- An investigation report (e.g., Preliminary or Employment), witness statements and other information,
- Information brought over from the criminal investigation (if relevant),
- The meeting notes from the subject employee and their explanation regarding the conduct,
- Any available information on how similar matters have been treated. The ERS can provide advice and guidance on this, and
- Performance appraisals and history i.e., Concise Officer History - considered in relation to sanction, where past conduct is similar in nature to the current conduct.

Once the decision maker has reviewed the information and considered an appropriate outcome, the employee needs to be notified of the preliminary decision and the reasons for it. Any alternative resolutions or remedial actions are clearly outlined and provided in the preliminary decision, so the employee has a full opportunity to comment on the full outcome including any sanction being proposed.

If the preliminary decision is that the employee be dismissed from their employment, ER Legal must be consulted for matters where dismissal is a possible sanction.

### **2. Final decision**

Before a final decision is made, the employee is entitled to respond to the preliminary decision either in person and/or in writing.

The decision maker needs to:

- consider any submissions from the employee or their representative on the preliminary decision, including any alternatives proposed;
- make further enquiries if needed or consider any new information that may have come to light; and
- show how they have taken the employee's comments into account by recording this in the final

decision.

After all the above is completed, a final decision can be made. The final decision must be in writing to the employee. The employee should be consulted on the best way to deliver key documents to them as it may be advisable to work through a representative and/or support person, or personal email if the employee does not have access to their work emails.

## Outcomes

The decision maker will base their decision on the seriousness of the conduct, having regard to all of the circumstance of the matter. This may include a formal sanction, or the decision maker may decide that the best way to ensure behaviour is modified in the future is not to issue a disciplinary sanction, but to address the concerns in some other way. Police's [Misuse of information - Escalating sanction guideline](#) outlines the possible consequences of breaches of the Code of Conduct related to access to or use of information.

Some examples of outcomes include:

Scenario	Description
<b>No further action</b>	Where allegations are not upheld, or behaviour is found to be aligned to the Code of Conduct, Our Values or Police policies.
<b>Facilitated conversation</b>	A conference or conversation that is facilitated by an external third party using a restorative approach or practice. See the <a href="#">Restorative practices approach</a> section for further information.
<b>Learning conversation</b>	<p>The purpose of a learning conversation is to remedy a gap in an employee's knowledge or capability regarding systems, processes or policy through education or training.</p> <p><b>Note:</b> This could also be a genuine gap where the employee is not at fault and the organisation may also need to implement changes to resolve the gap. If more substantive learning is required, refer to <i>Training or mentoring</i> below. Coaching may also be considered to support the employee with any learnings.</p>
<b>Values conversation</b>	The purpose of a values conversation is to informally set the organisation's expectations of the employee in relation to attitude/behaviour/professional interactions where a formal expectations setting is not required. Coaching may also be considered to support the employee with meeting expectations.

Scenario	Description
<b>Expectation setting conversation</b>	These conversations are a formal outcome to an employment resolutions or disciplinary process, however they are not a disciplinary sanction. They are used to formally set the organisation's expectations of the employee. Expectations are documented in a letter to the employee, and clearly identifies the areas of concern, areas for improvement and expected behaviours going forward, as well as what could occur if further instances of the behaviour or actions occur. Coaching should also be considered to support the employee with meeting expectations.
<b>Performance management</b>	This is not a formal disciplinary outcome and is about seeking the improvement of performance through dialogue. The areas for improvement are identified and once agreed are recorded in a Performance Improvement Plan (PIP). The employee is provided with any support, training or coaching that is required in order to succeed against the agreed key result areas.  <b>Note:</b> Performance management will be undertaken by HR Advisory.
<b>Training or mentoring</b>	Depending on what is identified, the employee's supervisor or the Professional Conduct Manager might arrange this. It could be something organised via the <a href="#">RNZPC</a> , a specific training package delivered in District or a training module that already exists.
<b>Debriefs</b>	This will likely be led by the Professional Conduct Manager or a leader from the workgroup where an incident has occurred e.g., Custody Senior Sergeant may lead a debrief with involved staff in a custody incident, including AOs, Constables and other staff who were present, or an Area Commander may lead a Fleeing Driver incident debrief.
<b>Medical interventions or support services</b>	Where an intervention is identified as an outcome, this will always be done with the employee's consent. The employee or their representative may have requested it themselves whilst going through the process, or it may be recommended by the decision maker or their delegate.
<b>Culture activity</b>	This may involve a workgroup coming together to discuss any ongoing issues or how they want to operate as a group and the types of behaviours they will accept and expect from each other. This is likely best covered off within a <a href="#">PHPF</a> culture session, which may be facilitated by an independent party to the workgroup or a facilitated or restorative conversation which may involve an external provider. A culture review may also be an outcome which is potentially wider in scope.
<b>Warning</b>	A formal disciplinary sanction, given to an employee for a defined period, for a breach of Our Code, Our Values or Police policies or practices. See the <a href="#">Warnings</a> section below for further information.

Scenario	Description
<b>Dismissal</b>	This will be the result where a decision maker has irreparably lost trust and confidence in the subject employee, and that, alongside the severity of the conduct, means they can no longer be employed. See the <a href="#">Dismissal</a> section below for further information.

Learnings and insights from cases will be provided back to the organisation to help inform improvement and prevention opportunities and a record of the matter will be retained.

## Restorative Practices Approach

Alternatively, a decision maker may decide that the best way to ensure behaviour is modified in the future, is not to issue a disciplinary sanction, but to address the concerns in some other way. For example, they may want to ask the employee to seek support from a medical professional for an issue identified, undertake further training, and/or apologise to another party.

Note a Restorative Process is voluntary and requires agreement of the participating parties. It is important that positive action steps (such as medical intervention or restorative processes) are not issued as a sanction. They may sit alongside a sanction (if one is issued) and are not intended to punish a subject employee, but rather to assist in addressing issues identified, modify future conduct, repair harm and help the employee as needed.

## Warnings

A warning should reflect the conversations that have been had with the employee during the disciplinary process, outlining the conduct that Police finds unacceptable and clarifying the level of conduct expected in the future. There are two levels of warning - warning and final warning.

Warning	Final Warning
<ul style="list-style-type: none"> <li>- Also known as written warning.</li> <li>- Generally issued for misconduct.</li> </ul>	<ul style="list-style-type: none"> <li>- Also known as Final written warning.</li> <li>- Generally issued for serious misconduct matters (note a prior warning does not have to have been issued) or where previous warnings have already been issued for similar behaviour.</li> <li>- A final warning is a step away from dismissal and could be considered a last chance for an employee to demonstrate the expectations of Police.</li> </ul>

A warning must always be recorded in writing, it is effective from the date set out in the letter issued to the employee, and should:

- Specify the duration of the warning;
- Detail actions or behaviours expected;
- Include any other elements considered appropriate as mentioned above; and

- Be placed on the employee's file and remains active for the period specified within the warning. Once a warning has expired, it remains on the employee's file, and is only relevant if repeated conduct of a similar nature occurs.

## Dismissal

Once all the information has been reviewed, following advice sought from their manager, the Employment Resolutions Specialist and ER Legal, the decision maker may decide that dismissal is an appropriate outcome. This is appropriate when the conduct is assessed as such that the trust and confidence in the employee is irreparably eroded, for example in instances such as where:

- Repeated relevant misconduct has occurred while the subject employee was on a current final warning,
- A finding of serious misconduct warranting dismissal following an investigation, and/or
- Criminal offending which has been prosecuted and proven.

Before deciding to dismiss an employee, the decision maker must genuinely consider any alternatives to dismissal, including any alternative proposed by the employee.

## Summary dismissal

Summary dismissal is when an employee is dismissed without notice. This will be in exceptional circumstances where the conduct that deeply impairs or is destructive of the relationship of trust and confidence.

This means they are not:

- able to work out their notice period
- paid out for their notice period.

Police will still follow proper process, including fact finding, and ensuring the employee is provided an opportunity to give submissions on the proposal to summarily dismiss.

## Resigning during the process

Where an employee decides to resign from the Organisation while they are subject to an employment resolution process (e.g., disciplinary process, employment investigation etc), next steps will be considered based on the circumstances of matter. This will include ensuring the process adheres to the Public Service obligations.

Refer to the Exit section of the [Te Kawa Mataaho Public Service Commission Workforce Assurance Model Standards](#) for further guidance.

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Printed on : 13/05/2026

Printed from : <https://tenone.police.govt.nz/pi/police-manual/d-f/employment-resolutions-and->

[disciplinary-policy-and-guidelines](#)

## **Unacceptable behaviour – Kia Tū policy and guidelines**

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## Policy statement

New Zealand Police aims to be a great place to work, where all our people have a strong sense of belonging, feel safe and valued and are high performing. Our purpose is to ensure everybody can be safe and feel safe. That starts with our own people. To perform at our best, our workplace culture needs to be positive, safe and healthy. Unacceptable behaviour stops us from achieving our purpose and priorities. Prevention requires everyone in the organisation to be reflective, compassionate, bring fairness to their work and, most importantly, 'be prepared to take a stand.' This is best captured by the statement 'Kia Tū'; standing for what is right, taking a stand for others, doing the right thing, being seen and heard, and being proud of who you are.

The purpose of this policy is to:

- prevent and resolve harmful behaviour at work by enabling anyone to speak up about concerns at work, be heard, and have their confidentiality protected and situation resolved promptly
- provide guidance on how to identify different types of unacceptable behaviour, address and resolve it and provide advice on how to access support
- achieve a shared understanding of what is and is not unacceptable behaviour in the workplace
- explain our process for raising concerns about unacceptable behaviour at work
- outline types of support available for everyone involved
- explain our restorative approach to resolve unacceptable behaviour, repair harm, rebuild trust and restore relationships
- define our roles and responsibilities to maintain a safe, inclusive workplace.

This policy applies to everyone working at Police, including contractors, secondees, volunteers and visitors to Police worksites. It also includes work events held at locations outside workplaces where there is a link between the behaviour and the employee's job. Questions to assist in considering a link include:

- does the behaviour bring Police into disrepute?
- is the conduct compatible with the job the employee does?
- is there an impact on other employees?

# Principles

The following principles underpin this policy.

## - Te PÛtahi o te Tangata/People centric

- Our people, their whānau and our communities are always at the centre of the process. Everyone is treated with whakamanaakitanga (respect) and aroha (empathy, compassion and care), and will have the opportunity to be heard to tell their side of the story. The people involved and the specific circumstances of the situation will inform the appropriate resolution process to be followed and everyone will be offered appropriate support along the way.

## - Whakawhirinaki/Trusted

- Trust lies at the heart of everything we do. We need to trust each other and our processes. In order for the process to be trusted, we will ensure that it is fair, transparent, timely and consistent with our obligations of good faith. We will engage with the people involved early on and maintain good communication throughout the process.

## - Whaiwhakaaro/Responsive

- We will respond to matters quickly and proportionately to the behaviour of concern. The appropriate process will be carefully considered, taking into account the situation and the people involved. Our response will be thoughtful and reflective. The people involved will understand the next steps and where the process is at as we progress through to a resolution.

## - Tikanga Haumaruru/Safe

- We are committed to providing a safe and healthy work environment where everyone can be themselves and thrive. This means people feel safe and supported when raising concerns and when they are involved in the process. Confidentiality is an essential part of this and we will ensure information is only shared on a need-to-know basis.

## - Noho Haepapa/Accountable

- We are all accountable for our behaviour, and behaviour that falls short of what is expected of us will be addressed. We own up to our mistakes and remain committed to learning from them. We understand that mistakes happen, and we will back our people when they are facing challenging circumstances or decisions. At the same time, we are all expected to show humility and insight into our own conduct.

## - Mana Taurite/Equity

- We are committed to applying our processes fairly and without discrimination, ensuring equal access to support and resolution regardless of ethnicity, gender, disability, or other protected characteristics.

## Why

Unacceptable behaviour is harmful to our people, our performance and our workplace culture. This policy is designed to foster a workplace where everyone feels confident to raise concerns about unacceptable behaviour.

## How

In implementing this policy, we:

- define inappropriate behaviour and what it looks like
- provide clear information and guidance on the options and channels for addressing concerns confidentially
- act promptly, maintaining mana and repairing harm
- provide clear communication and regular updates, treating all parties fairly and impartially when concerns are raised and resolved
- tailor support plans for those affected by harmful or unacceptable behaviour
- evaluate our progress and outcomes to identify how we can continue to achieve and maintain a great workplace.

## What

The Unacceptable behaviour - Kia Tū policy prevents and resolves instances of unacceptable and harmful behaviour at work so we can continue to build a safe, inclusive workplace where people feel valued, safe and able to be their best. This is achieved through setting clear expectations, providing guidance and support, having safe, easy and confidential ways to raise concerns, and a restorative justice approach to address problems, restore relationships and hold people accountable.

## Further information

Type	Title/Description
<b>Other related documents</b>	<ul style="list-style-type: none"> <li>- <a href="#">Code of Conduct</a></li> <li>- <a href="#">Disciplinary Policy</a></li> <li>- <a href="#">Our Values</a></li> <li>- <a href="#">Protected Disclosures Policy</a></li> <li>- <a href="#">Trauma Support Policy</a></li> <li>- <a href="#">Wellness Policy</a></li> </ul>
<b>Legislation</b>	<ul style="list-style-type: none"> <li>- <a href="#">Employment Relations Act 2000</a></li> <li>- <a href="#">Crimes Act 1961</a></li> <li>- <a href="#">Harmful Digital Communications Act 2015</a></li> <li>- <a href="#">Harassment Act 1997</a></li> <li>- <a href="#">Health &amp; Disability Act 2000</a></li> <li>- <a href="#">Health and Safety at Work Act 2015</a></li> <li>- <a href="#">Human Rights Act 1993</a></li> <li>- <a href="#">NZ Bill of Rights Act 1990</a></li> <li>- <a href="#">Privacy Act 2020</a></li> </ul>

# Unacceptable behaviour - Kia Tū guidelines

## 1. Our standards

Our standards derive from Our [Code of Conduct](#) and [Our Values](#), which combine to shape our workplace culture at Police. In addition, all of 'Our People' have a duty to perform their role in ways that promote the highest level of public trust and confidence.

To assist everyone working for Police to recognise behaviour that is inconsistent with our standards and in some cases unlawful, [unacceptable behaviour is defined](#) in this chapter. This ranges from the most serious behaviour, such as bullying and harassment to less serious instances that may still make those affected feel uncomfortable in the workplace.

## 2. Our behaviour

Police seeks to create a culture where all employees in our diverse workforce feel valued, safe and able to be their best. It is expected that all our interactions will reflect Our Code, Our Values and our workplace culture. Our behaviour needs to reflect the nature of policing, which is team-based, safety conscious and promotes diversity. We look out for each other and stand strong together.

## 3. Our shared responsibilities

We all play a role in ensuring our workplace culture is safe, healthy and positive, and in reinforcing behavioural standards. This shared responsibility and common understanding is essential for building a healthy, safe and inclusive workplace culture where harmful behaviours are never tolerated.

<b>Commissioner and Executive</b>	<ul style="list-style-type: none"> <li>- Instil a healthy, safe, inclusive workplace culture by modelling appropriate behaviour, providing guidance and training on the standards of behaviour expected of all and taking appropriate action to prevent and respond promptly to bullying, harassment and discrimination.</li> <li>- Provide explicit guidance on the nature of unacceptable behaviour.</li> <li>- Regularly review our workplace culture via employee surveys and apply the outcomes to make improvements.</li> </ul>
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<p><b>Our People Leaders</b></p>	<ul style="list-style-type: none"> <li>- Monitor your work environments to identify any factors contributing to unacceptable behaviour.</li> <li>- Address any concerns of unacceptable behaviour before it escalates.</li> <li>- Promote a culture that enables team members to resolve concerns at the lowest level.</li> <li>- Formally report any serious concerns of unacceptable behaviour.</li> <li>- Ensure team members are aware of this policy, the process and support available.</li> <li>- Ensure support is provided to all people involved during consideration of concerns.</li> <li>- Ensure culturally responsive approaches are used when addressing concerns, including offering Māori, Pacific, and other cultural support options where appropriate.</li> <li>- Assess and make adjustments to reporting lines or the work location as required.</li> <li>- Assign responsibility to another manager where there is a conflict of interest or perceived conflict of interest.</li> <li>- Provide support when a formal concern has been raised by ensuring everyone involved:             <ul style="list-style-type: none"> <li>- receives a fair hearing</li> <li>- is kept fully informed during the process</li> <li>- has a support person present at meetings if they wish</li> <li>- is provided with information being relied on by Police</li> <li>- is encouraged to access Support Services.</li> </ul> </li> </ul>
<p><b>Human Resources Advisors/Employment Relations Advisors/Police Professional Conduct</b></p>	<ul style="list-style-type: none"> <li>- Provide advice and support to People Leaders and employees to enable them to understand their options, rights and responsibilities under this policy.</li> <li>- Ensure that all advice and processes comply with Police’s human rights obligations and avoid any bias or discriminatory impact.</li> <li>- Record and investigate assigned cases confidentially and fairly or support independent investigators to ensure a fair timely process for the resolution of concerns.</li> <li>- Act in accordance with the Privacy Act 2020.</li> </ul>

<b>Kia Tū Triage Panel</b>	<ul style="list-style-type: none"> <li>- Consider concerns of unacceptable behaviour formally reported, recommend the best pathway for resolution and ensure Our People get access to appropriate support.</li> <li>- Monitor the progress of active Kia Tū cases to ensure appropriate and timely management.</li> <li>- Oversee the closure of Kia Tū cases to ensure appropriate resolution and complete and accurate record-keeping.</li> <li>- Consider any information received confidentiality and in accordance with the Privacy Act 2020.</li> </ul>
<b>Our People</b>	<ul style="list-style-type: none"> <li>- Be familiar with Our Code, Our Values, Police policy, process and available support options.</li> <li>- Take responsibility for personal and cultural safety needs and be aware of the needs of colleagues.</li> <li>- Stand up to and raise any instances of potential or actual unacceptable behaviour in a prompt and constructive way.</li> </ul>

## 4. Unacceptable behaviour defined

Police does not want to see any of our people experiencing harm due to another person's behaviour at work. Harm is not only physical harm but includes serious emotional distress. Some types of harmful behaviour are not only unacceptable at Police, but also unlawful. This includes bullying, harassment and discrimination. Unacceptable behaviour includes any conduct that breaches human rights standards or Police's Code of Conduct. This includes behaviour that undermines dignity, equality, and cultural safety.

Behaviour	Definition	Further information
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<b>Bullying</b>	<p>Workplace bullying is repeated and unreasonable behaviour directed towards a worker or group of workers that can lead to physical or psychological harm.</p> <p>Repeated means that the behaviour is persistent (rather than a one-off) and can involve a range of different actions over time. A single incident will not be considered bullying, but this can escalate if it is ignored and not addressed.</p> <p>Unreasonable behaviour means actions that a reasonable person in the same circumstances would see as unreasonable. It includes victimising, humiliating, intimidating or threatening a person.</p> <p>Bullying can also include harassment, discrimination or violence.</p> <p>Bullying does not include a one-off instance of rudeness or reasonable performance management or directions by a supervisor.</p>	<p>Whilst bullying is not defined in statute, the definition adopted in New Zealand has been provided by WorkSafe NZ.</p> <p>Since bullying can lead to harm, both employers and employees have legal obligations under the <a href="#">Health and Safety at Work Act 2015</a> to prevent it.</p> <p>See <a href="http://www.worksafe.govt.nz">www.worksafe.govt.nz</a> for detailed guidance.</p>
<b>Cyberbullying</b>	<p>Bullying can take on new forms in the world of social media. The <a href="#">Harmful Digital Communications Act 2015</a> deals with any instances of harm caused to individuals due to digital communications. Harm is defined as serious emotional distress.</p> <p>Harmful communications could include using phones to send threatening or offensive messages, publishing threatening or offensive messages online, spreading damaging or degrading rumours and publishing invasive or distressing photographs or videos.</p>	<p><a href="#">Harmful Digital Communications Act 2015</a></p> <p>See <a href="http://www.netsafe.org.nz">www.netsafe.org.nz</a> for further guidance on cyberbullying and online harassment.</p>

<b>Discrimination</b>	<p>Discrimination occurs when a person is treated unfairly or less favourably than another person in the same or similar circumstances on one or more of the following grounds:</p> <ul style="list-style-type: none"> <li>- sex and gender</li> <li>- marital status</li> <li>- religious belief</li> <li>- ethical belief</li> <li>- colour, race or ethnic or national origins</li> <li>- disability</li> <li>- age</li> <li>- political opinion</li> <li>- employment status</li> <li>- family status</li> <li>- sexual orientation.</li> </ul> <p>Unlawful types of discrimination include:</p> <ul style="list-style-type: none"> <li>- racial harassment</li> <li>- sexual harassment</li> <li>- indirect discrimination</li> <li>- victimisation</li> <li>- adverse treatment of employees affected by family violence</li> <li>- conversion practices</li> </ul> <p>Some of these terms are also defined in this table.</p>	<ul style="list-style-type: none"> <li>- <a href="#">Human Rights Act 1993 (HRA)</a></li> <li>- <a href="#">New Zealand Bill of Rights Act 1990 (NZBORA)</a></li> </ul> <p>The grounds of discrimination are further defined in s 21 of HRA.</p> <p>Discrimination on any of those grounds is unacceptable at Police. When done in relation to certain employment matters, it is unlawful under the HRA. When done by Police or a person performing a public function, it is unlawful under the NZBORA.</p> <p>See <a href="http://www.hrc.co.nz">www.hrc.co.nz</a> for more guidance.</p>
<b>Harassment</b>	<p>Harassment takes place when someone engages in behaviour that is directed against another person which explicitly or implicitly intimidates, humiliates, and causes them to fear for their safety. This can include watching, loitering, following, accosting and interfering with another person’s property and/or acting in ways that causes the person to be fearful. Harassment can be a part of bullying and may be a criminal offence in certain circumstances.</p>	<p><a href="#">Harassment Act 1997</a></p>

<b>Sexual harassment</b>	<p>Sexual harassment is any unwelcome or offensive sexual behaviour that is:</p> <ul style="list-style-type: none"> <li>- repeated; or</li> <li>- serious enough to have a harmful effect; or</li> <li>- which contains an implied or overt promise of preferential treatment; or</li> <li>- an implied or overt threat of detrimental treatment.</li> </ul> <p>This can include:</p> <ul style="list-style-type: none"> <li>- using language or visual material of a sexual nature</li> <li>- intrusive questions about someone’s sex life</li> <li>- physical behaviour of a sexual nature including unwelcome touching, patting or pinching</li> <li>- persistent and unwelcome social invitations or contact</li> <li>- implied or overt threats of being overlooked for work opportunities or promotions if you decline sexual invitations.</li> </ul> <p>Sexual harassment can happen to someone of any sex or gender identity and can involve subtle or more overt actions.</p>	<ul style="list-style-type: none"> <li>- <a href="#">Harassment Act 1997</a></li> <li>- <a href="#">Employment Relations Act 2000</a></li> </ul> <p>For more guidance, see</p> <ul style="list-style-type: none"> <li>- <a href="http://www.hrc.co.nz">www.hrc.co.nz</a></li> <li>- <a href="http://www.employment.govt.nz">www.employment.govt.nz</a></li> <li>- <a href="http://www.worksafe.govt.nz">www.worksafe.govt.nz</a></li> </ul>
<b>Racial harassment</b>	<p>Racial harassment is any language, visual material or physical action that:</p> <ul style="list-style-type: none"> <li>- expresses hostility against, or brings into contempt or ridicule, any other person on the ground of the colour, race, or ethnic or national origins of that person; and</li> <li>- is hurtful or offensive to that person; and</li> <li>- is either repeated or serious enough to have a harmful effect on that person and/or a detrimental effect on that person’s employment, job performance or job satisfaction.</li> </ul>	<p><a href="#">Harassment Act 1997</a></p> <p><a href="#">Employment Relations Act 2000</a></p> <p>See <a href="http://www.hrc.co.nz">www.hrc.co.nz</a>, <a href="http://www.employment.govt.nz">www.employment.govt.nz</a> or <a href="http://www.worksafe.govt.nz">www.worksafe.govt.nz</a> for more guidance.</p>
<b>Indecent assault</b>	<p>An assault with a clear sexual overtone that consists of or is accompanied by an act of indecency or carried out in circumstances of indecency.</p>	

<b>Sexual violation</b>	An indecent assault becomes a sexual violation where there is sexual connection or attempted sexual connection without consent.	
<b>What is NOT unacceptable behaviour</b>	<ul style="list-style-type: none"> <li>- Differences of opinion.</li> <li>- Legitimate leadership action to improve performance and insistence on high standards of performance, cooperative team working, punctuality and attendance.</li> <li>- An isolated incident of abruptness.</li> </ul>	

In some cases, you might not be sure whether the behaviour you have experienced or observed falls into one of the categories above, but you may nevertheless feel upset or distressed by it. If this is the case, you can contact a Wellness Advisor to discuss your concerns on a confidential, impartial basis.

## 5. Our Procedures: Responding to unacceptable behaviour

Our procedures are designed to enable our people to feel safe and confident to raise concerns about behaviour that is not aligned with Police Code of Conduct, Our Values and culture and that is potentially harmful. This could be behaviour that is affecting you personally, or that is negatively impacting another person. Everyone plays a part in shaping an honest, inclusive, safe and respectful environment. There are four ways to respond depending on the nature of the concern and/or relationships involved. We aim to resolve concerns promptly at the lowest level, in proportion to the harm caused or seriousness of the behaviour.

### 5.1 Address it yourself

In some cases, especially for low level incidents or one-off comments, raising a concern immediately can be an effective response. Examples include:

- using language that is sexist or racist
- talking to someone in a group of people in a demeaning way
- a joke that is at someone else's expense.

'On the spot' responses need to be respectful, polite and focus on the behaviour not the person. If the behaviour persists or the situation escalates, discontinue this approach.

If the workplace environment or other circumstances make it inappropriate to raise your concerns immediately, consider whether you feel safe to raise it with the person directly at another time. Arrange to meet with the person and explain how their behaviour made you feel. This allows the other person the opportunity to hear your perspective, reflect and provide a response. If you do not feel comfortable addressing it with the person directly, consider the other options explained below.

When addressing concerns directly, ensure the approach is respectful and culturally appropriate. Avoid

language or actions that could escalate harm or infringe on rights.

## 5.2 Address it with support

This is likely to apply where you consider that the unacceptable behaviour would be better addressed in a less immediate way, while being supported by a trusted friend or colleague who may attend a meeting with you and the other person to discuss the issue and find a way to resolve it. This option still enables you to address the behaviour in an informal way.

## 5.3 Address it with a manager

If you don't feel safe or confident to raise your concern by yourself, you can raise it with your own or another manager. The manager will provide you with support to address the behaviour with those concerned. If the behaviour is serious, the manager, with your consent, may formally report the concern on your behalf. If the concern raises a risk of harm to yourself or any others, the manager may be required to report it. The manager is also responsible for ensuring you have access to impartial and confidential advice, guidance and support.

## 5.4 Report it confidentially

In some situations, identifying a problem and dealing with it immediately through an informal conversation won't be appropriate. Where the behaviour is serious or your attempts to deal with it informally have not resolved the problem, you can formally report your concerns.

To formally report your concern, call 0800 254 288 (0800 2 Kia Tu), or complete this [online form](#). All information received will be treated with strict confidence and in accordance with the [Privacy Act 2020](#). Police will also ensure compliance with NZBORA rights to natural justice and fair process when managing reports.

Your concern will be assessed by an independent triage panel to recommend the best pathway for resolution. The triage panel's terms of reference can be found [here](#). You will be kept informed on progress, actions taken and the outcome.

## Support during the process

Raising a concern about unacceptable behaviour in the workplace can be stressful for everyone involved. Support services have a key role in assisting to restore relationships, mana and an improved working environment.

The following are support services available to employees.

<b>Wellness Advisors</b>	<ul style="list-style-type: none"> <li>- Provide impartial, confidential support and advice to leaders and employees from qualified and experienced health and social care practitioners.</li> <li>- Additional support may also be provided through the '<a href="#">Trauma Support</a>' Policy.</li> <li>- For more information see the <a href="#">Wellness Hub</a>.</li> </ul>
<b>District and Service Centre Early Intervention Leads</b>	<ul style="list-style-type: none"> <li>- Provide confidential advice to employees facing professional and personal difficulties.</li> <li>- A range of support services can be tailored to individual needs and circumstances.</li> </ul>
<b>Employee Assistance Programme (EAP)</b>	<ul style="list-style-type: none"> <li>- The Employee Assistance Programme provides free counselling or professional/specialist assistance to Police employees on a wide range of issues that may affect their work performance or impact on their health and wellbeing.</li> <li>- The programme is designed to encourage employees to take responsibility for their own health and wellbeing and ensures that employees at all levels in Police can obtain independent professional help in an atmosphere of privacy and confidentiality.</li> <li>- Police will meet the cost of up to three counselling sessions per employee, per year. In some circumstances additional sessions may be approved.</li> </ul>
<b>Mate to Mate</b>	<ul style="list-style-type: none"> <li>- Mate to Mate is a police initiative which encourages making a supportive connection with a colleague where it is safe to have in depth conversations in an informal environment and seek help when needed. Refer to the <a href="#">Wellness Policy</a> for further information on this initiative.</li> </ul>
<b>Chaplaincy Service</b>	<ul style="list-style-type: none"> <li>- The Chaplaincy Service is an integral part of the New Zealand Police support structure contributing to the wellness of employees. It is an independent body but operates with awareness of other support options.</li> <li>- It provides spiritual guidance, support, encouragement and assistance to all our people and their immediate families.</li> <li>- The Service is available for relationship counselling and provide support in times of crisis.</li> </ul>

## Respondents

If you are the person about whom a concern is raised, Police will:

- advise you of the concern and provide as much information as possible about the nature of the concerns and supporting information, where applicable
- ensure you are provided with appropriate assistance and support
- explain the process and how your confidentiality can be protected
- provide you the opportunity to respond to the concerns in writing and/or through an interview.

## False notification

Notifiers may be subject to a disciplinary process, if:

- a reported concern is unsubstantiated and determined to be intentionally false
- an employee persists in pursuing a concern which has already been investigated, without providing any new information
- the notification concerns trivial matters.

Police will ensure that any action taken in relation to false notifications is proportionate, evidence-based, and consistent with natural justice principles.

## Other options

Police should be the first point of contact for any concerns you have about unacceptable behaviour at work so it can be addressed promptly and our workplaces made safe, inclusive, enjoyable and productive. In some cases, you may want or need to discuss your concerns with an external agency. There are several different options available which are set out in the following table.

Organisation	Description	Contact
<b>Police Association</b>	Employee union dealing with workplace issues and can provide advice and representation if you are a member.	0800 500 122 (04) 496 6800 <a href="mailto:enquiries@policeassn.org.nz">enquiries@policeassn.org.nz</a> Police Network number: 44446 Fax: (04) 496 6819
<b>Police Leaders' Guild</b>	Employee union focused on advocating on behalf of Police leaders and aspiring leaders. Can provide advice and representation for workplace issues if you are a member.	Executive Officer 022 694 5056 <a href="http://nzplg.org.nz/contact/">nzplg.org.nz/contact/</a>
<b>Public Service Association</b>	Employee union dealing with workplace issues and can provide advice and representation if you are a member.	Freephone 0508 367 772 <a href="http://www.psa.org.nz/">www.psa.org.nz/</a> <a href="mailto:enquiries@psa.org.nz">enquiries@psa.org.nz</a>

<b>Independent Police Conduct Authority (IPCA)</b>	Independent oversight body which investigates complaints made against the Police. You can find out more information about what kind of complaints the IPCA looks into by visiting: <a href="http://www.ipca.govt.nz">www.ipca.govt.nz</a>	0800 503 728 (04) 499 2050 <a href="mailto:info@ipca.govt.nz">info@ipca.govt.nz</a>
<b>WorkSafe NZ Mahi Haumaru Aotearoa</b>	New Zealand’s primary workplace health and safety regulator, with a mandate to improve New Zealand’s health and safety performance.	0800 030 040 <a href="http://www.worksafe.govt.nz/notify-worksafe/">www.worksafe.govt.nz/notify-worksafe/</a>
<b>Employment New Zealand Mediation Services Ministry of Business Innovation &amp; Employment Hikina Whakatutuki</b>	Employment Mediation Services within the Ministry of Business, Innovation and Employment (MBIE) provides a free mediation service to any employee or employer with an employment relationship problem. The independent mediator’s role is to help the parties to identify the main issues and find potential solutions in a semi-formal and confidential environment.	<a href="http://www.employment.govt.nz/about/contact-us/">www.employment.govt.nz/about/contact-us/</a> Auckland (09) 970 1550 <a href="mailto:aucklandera@era.govt.nz">aucklandera@era.govt.nz</a> Wellington (04) 915 9550 <a href="mailto:wellingtonera@era.govt.nz">wellingtonera@era.govt.nz</a> Christchurch (09) 970 1550 <a href="mailto:christchurchera@era.govt.nz">christchurchera@era.govt.nz</a>

<p><b>Employment Relations Authority</b></p>	<p>The Employment Relations Authority is an independent body set up under the <a href="#">Employment Relations Act 2000</a> to help resolve employment relationship problems when the parties have been unable to resolve the problem by formal mediation.</p> <p>Either you or Police can go to the Employment Relations Authority. You need to fill out a form called a “Statement of problem”, explaining what the problem is and how you’d like it resolved. You lodge your application by sending the completed form to the Authority.</p> <p>The case will then usually go to an investigation meeting about your dispute. The Authority’s recommendation will then become a final and legally binding decision on a date agreed to by you and your employer, unless you or Police objects to the Authority about the recommendation.</p>	<p>Auckland (09) 970 1550 <a href="mailto:aucklandera@era.govt.nz">aucklandera@era.govt.nz</a></p> <p>Wellington (04) 915 9550 <a href="mailto:wellingtonera@era.govt.nz">wellingtonera@era.govt.nz</a></p> <p>Christchurch (09) 970 1550 <a href="mailto:christchurchera@era.govt.nz">christchurchera@era.govt.nz</a></p> <p><b>Note:</b> Same email contacts as Mediation Services.</p>
<p><b>Public Service Commission</b></p> <p><b>Te Kawa Mataaho</b></p>	<p>The role of Public Service Commission is to provide leadership and over-sight of the public service and ensure the purpose of the Public Service Act is carried out.</p> <p>The Commission upholds long-held public service principles that guide the work of public servants: politically neutral, free and frank advice, merit-based appointments, open government and stewardship.</p> <p>The Commissioner promotes integrity, accountability and transparency across the public service, including setting standards and issuing guidance. The Commissioner is responsible for appointing public service chief executives, issuing a code of conduct for public servants and investigating poor performance in the public sector.</p>	<p>Wellington (04) 495 6600 <a href="mailto:commission@publicservice.govt.nz">commission@publicservice.govt.nz</a></p>

<p><b>Human Rights Commission (HRC)</b></p> <p><b>Te Kahui Tika Tangata</b></p>	<p>The HRC works across New Zealand to increase human rights standards in law, policy and practice. It works for a free, fair, safe and just New Zealand, where diversity is valued and human dignity and rights are respected.</p> <p>The HRC offers a free, informal enquiries and complaints service to deal with unlawful discrimination and racial and sexual harassment issues.</p> <p>If you think you have faced unlawful discrimination, you can make a complaint to the HRC and receive help with advice, information and, if necessary, mediating your complaint.</p>	<p>0800 496 877</p> <p><a href="http://www.hrc.co.nz/about/contact">www.hrc.co.nz/about/contact</a></p> <p><a href="mailto:info@hrc.co.nz">info@hrc.co.nz</a></p>
<p><b>Netsafe</b></p>	<p>Netsafe is an independent, non-profit NZ organisation focussed on online safety. They help people stay safe online by providing online safety education, advice and support. They can provide information and advice about using digital technology safely, and about managing online challenges like harassment, bullying and abuse.</p>	<p><a href="http://www.netsafe.org.nz">www.netsafe.org.nz</a></p> <p>0508 NET SAFE (0508 638 723)</p> <p><a href="mailto:Help@netsafe.org.nz">Help@netsafe.org.nz</a></p>

Printed on : 13/05/2026

Printed from : <https://tenone.police.govt.nz/pi/police-manual/s-u/unacceptable-behaviour-kia-tu-policy-and-guidelines>

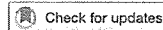
# SELF CHECK

**Would your decision pass the SELF CHECK?**

When there isn't an obvious course of action or you're not sure about the best choice, use the **SELF CHECK** to guide your thinking.

<p>Would it withstand</p> <h2>Scrutiny</h2>	<ul style="list-style-type: none"><li>Community</li><li>Police service</li><li>Media and online</li></ul>
<p>Is it in line with our</p> <h2>Ethics</h2>	<ul style="list-style-type: none"><li>Our Code</li><li>Our Values</li><li>High-integrity culture</li></ul>
<p>Is the decision</p> <h2>Lawful</h2>	<ul style="list-style-type: none"><li>Laws</li><li>Regulations</li><li>Policies and guidelines</li></ul>
<p>Is the decision</p> <h2>Fair to all</h2>	<ul style="list-style-type: none"><li>Community</li><li>Colleagues and whānau</li><li>People's individual circumstances</li></ul>





## Happy ever after? Making sense of narrative in creating police values

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### ABSTRACT

This paper explores how New Zealand Police used story-telling as a crucial driver of co-creation in order to affect a major culture change. Using evidence from over 240 semi-structured interviews, our research challenges current thinking about police cultures and shows how allowing members of an agency to develop and share reflective narratives can promote attachment to new cultural values, through sense-making. In so doing it extends current literature on co-creation and co-production, and the impact of story-telling on power relationships in organizational culture. It suggests that the crafting and sharing of stories enables value-attribution in a co-creative environment.

**KEYWORDS** Co-creation; storytelling; police culture; narrative; sensemaking

### Once upon a time

In 2004 the *Dominion Post* newspaper and TVNZ reported allegations that police officers had been involved in the ‘pack rape’ of a teenage girl in the town of Rotorua, New Zealand. Within a matter of days of the 2004 media reports the government announced a Commission of Inquiry (CoI) into the events surrounding the original allegations of sexual assault and the subsequent investigations. Over a period of several years, the Inquiry took evidence from a wide range of witnesses and victims, investigated case files, and heard expert testimony from oversight agencies, and criminal justice practitioners. The CoI report identified organizational, managerial, and cultural problems that had contributed to an environment that precipitated the abuse of vulnerable people and inhibited effective oversight and investigation of malpractice.

In 2007 the CoI into Police Conduct made 60 recommendations for change, and New Zealand Police (NZP) had responsibility for 47 of those. A 10-year time frame was set in which to embed the recommendations, during which the Office of the Auditor General (OAG) periodically reported to Parliament on progress.

The decade of oversight concluded in 2017 and in anticipation of a final audit by the Office of the Auditor General, NZP commissioned the authors of this paper to review progress. The central remit of the research was to consider, in broad terms, the extent to which NZP had met the ‘spirit and intent’ of the CoI report and recommendations,

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which was understood to apply to two broad (and somewhat related) themes: adult sexual assault investigations, and culture change within police.

In terms of adult sexual assault investigations, reforms relating to improved training, more robust supervision of investigations, and more appropriate communications with complainants, were identified as central to providing a more professional response that more effectively meets the interests of victims (Rowe and Macaulay 2019). In relation to the culture of NZP, the CoI identified significant problems stemming from, among other things, a prevailing macho culture that had a negative impact on women within policing. This was combined with a lack of effective management, policy and process to respond to inappropriate behaviour, and a lack of progress in terms of recruiting a diverse workforce. For the purposes of this paper, it is the overarching need to develop cultural change that is the key focus.

Our research question, then, is 'to what extent has the use of narrative techniques helped in the co-creation of police values'? We argue that one of the key mechanisms for culture change was the creation of new organisational values, which was achieved through the deliberate use of story-telling and narrative in a co-creative process. We do not suggest that this has definitively achieved significant change, as such change is an ongoing process and will require ongoing evaluation, but we argue that significant progress can be identified. Furthermore, we suggest that our research answers a specific gap in the literature on value creation in terms of charting the efficacy of narrative as a sensemaking process in which to embed culture change. In so doing we hope to advance discussion around the use of narrative in value creation, as well as sensemaking in police organisations.

### **Literature review: sensemaking, storytelling and value creation**

Sensemaking, defined literally as the 'making of sense' (Weick 1995, 4) is a well-known area of organizational psychology that has been used to explore a range of different research questions. Weick (1993, 1995) has used sensemaking to chart both managerial decisions and organizational restructuring. It has been used as a framework to explore a range of organizational issues (see, for example, Kauer 2008 or O'Connell and Weick 1998) as well as a number of normative perspectives: including ethical decision-making (Thiel et al. 2012); trust building (Fugslang and Jagd 2015); and organizational justice (Lametz 2002). As Maitlis, Vogus, and Lawrence (2013) show there is a strong emotional underpinning to sensemaking, not only in the individual emotions of those involved (whether positive or negative) but in mediating the likelihood of sensemaking being a solitary or collective endeavour. Emotion is argued to be the 'fuel' that feeds the sensemaking process, arguments that have also been extended to moral sensemaking (see Haidt et al. 2003).

Maitlis et al.'s work is particularly important as sensemaking has long been identified as a social activity, which Weick (1995) argues is one of its seven key characteristics. Although sensemaking is ultimately retrospective it is an ongoing activity that values plausibility over accuracy and 'enacts sensible environments' (Weick 1995). That is, sensemaking is a tool for which to create a sense of order in a complex or chaotic environment (Weick 1993, 629). It can also be used to develop a sense of collective identity and organizational membership (Lametz 2002) through the extraction of experiential 'cues' from those who are involved in such activity.

There has been a small but interesting literature exploring sensemaking in relation to police forces. Lindberg, Rantatalo, and Hällgren (2017) apply a sensemaking frame to managerial decisions during the restructuring of the Swedish police. Others have adapted sensemaking in order to investigate various forms of co-ordinated police activity, either with civilians (Giebels et al. 2017; or between various police agencies (Schakel et al. 2016). In addition, there have been a limited number of studies on specific incidents, including two articles on the sensemaking that evolved following the shooting of Jean Charles de Menezes by British anti-terrorist police in 2008 (Cornelissen, Mantere, and Vaara 2014; Colville, Pye, and Carter 2013).

Strongly aligned with sensemaking is the notion of story-telling and narrative, which is well established as a crucial component of organizational culture development, from Schein's (2010) framing of organizational culture as *artefacts* (symbols, language, processes), *espoused values* (strategies, codes of conduct) and *underlying assumptions* (tacit knowledge, implicit beliefs), through to Johnson and Scholes' (2016) *cultural web*.

Narrative and the use of stories have long been recognised in public policy and management. They have even been used in research on the police, for example Van Hulst's (2013) work on the ways on which stories of police work help officers to make sense of their roles and even their professional identity. The idea of narrative as sense-making is very much in line with that of Bevir and Rhodes' (2006) radical interpretivist view of public policy as constructed (and often) competing narratives. Story-telling is crucial into framing histories of an organization, along with projected futures for how an organization can be. Kaye (1995) argues that the ability to tell convincing stories is crucial to the perceived credibility of a leader, whilst others argue that it is a crucial way of mediating power relations within organizations (Smith and Keyton 2001).

Like sensemaking, narrative has also been linked with *ethical* culture as it allows for individual and collective *reflection*. Kaptein (2008) demonstrates that 'discussability', the capacity to share narratives openly, is a key component of ethical culture. Kaptein (2011) further found that reflective cultures are closely aligned with positive experiences in people speaking up in organizations. Reflection has also been closely aligned to ethical leadership and culture. Pennycock et al. (2017) argue that an inability (or unwillingness) to reflect is linked to the cognitive bias known as the Dunning–Kruger effect, under which people over-estimate their own abilities and achievements. At the organizational level, a lack of reflection brings up cultural barriers, which can create toxicity. An unreflective organization encourages silos and distrust within its internal structures, and an antipathy towards external views: frequently portrayed as 'us versus them'. This is widely noted within the literature on police occupational culture. Police work requires officers to perform roles that Skolnick (1966) argued are characterised by 'authority', 'danger' and 'pressure for efficiency', and these shape a perception among frontline staff that they are the 'thin blue line' separating mainstream society from threats of crime and disorder (Cockcroft 2013; Chan 1997). Previous work identifies that co-creating narratives and stories can build innovation and sustainability into organizations (Snyder et al. 2017) and it can also develop adherence to shared values (Lawton and Macaulay 2014).

The literature on sensemaking and narrative is much more lacking, however, in the extensive fields of co-creation and co-production, particularly in the police context, despite some valuable work into the co-production of knowledge in police

settings (e.g. Crawford 2017) and the 'new pragmatism' of the police (O'Neill and McCarthy 2014) as a negotiated construct.

Co-production, 'currently one of cornerstones of public policy reform across the globe' (Osborne et al. 2016), is intrinsically linked to theories old and new from the public value (e.g. Alford and O'Flynn 2012) to public service-dominant logic (Osborne, et al. 2016). Indeed, many commentators view co-production as an inevitable aspect of much public management (e.g. Vargo and Lusch 2004), even though it is argued that '[the] number of citizens, politicians, and professionals [who] willingly embracing coproduction practice is still small' (Bovaird et al. 2017, 364). There is a sense, therefore, in which co-production is partly aspirational, and is regarded as something public managers, and others, should still be collectively striving to achieve (Alford 2016), rather than just being part of accepted practice.

Co-production is, of course, multi-dimensional. Harris and Boyle's (2009) highlighted *co-delivery* as a key component. Voorberg et al. (2015) identified 122 different studies on co-production and *co-creation*. Bovaird's (2007, 847) seminal discussion on co-production argues two axes of co-production: *design* and *implementation*. Using a series of case studies Bovaird showed that the extent to which citizens and professionals are involved in both delineates the extent of co-production. His work developed a framework of nine different degrees of co-production (Bovaird 2007, 848).

Recently, Loeffler and Bovaird (2016, 1009) have prescribed six specific forms of co-production all of which are underpinned by mutual participation in the process. More broadly, Bryson et al. (2017, 649) suggested that many questions around co-creation of public value remain open and requires 'an understanding of the differences actors, levels, spheres, sectors and logics make'. In particular, they advocate continued research into the conditions needed for actors to (a) agree on what value can be co-created; (b) map out spheres of legitimacy and authorisation; and, (c) develop capacity for co-production. We found, and discuss further below, that police officers, staff and other internal and external stakeholders were mutual participants, with senior police leaders, in developing a new cultural model in NZP.

Loeffler and Martin (2015) further distinguish between co-production and public *consultation* due to the intensive nature of the former and the more one-way approach of the latter. Loeffler and Bovaird (2016, 1007) further argue that co-production should be regarded as distinct from generalised forms of partnership and collaboration 'since these terms, in themselves, capture such behaviours quite adequately, so the phrase 'co-production' is superfluous'. Similarly, co-production is much more than self-help activities or self-organising community work, as these omit the public sector side of design and delivery. Their assertion that 'public consultation involves mainly listening' (Loeffler and Martin 2015) is challenged, however, by Nabatchi (2012) who identifies public participation as a spectrum ranging from 'thin' variations of simple one-way communication and information-sharing; to 'thick' forms of consultation and participation that involve deep reflection and decision-making.

Within this spectrum there is little (if any) exploration of sensemaking and narrative, despite attempts to explain the phenomena of value creation within co-productive activity. Osborne et al.'s (2016) 'service management' view of co-production, for example, posits that all interactions between services and service users are essentially co-productive. No matter how the service user chooses to engage (or not) with a particular service, they are always essentially involved an act of co-production through the ascription of *value*:

Service users do not choose to co-produce or otherwise – it occurs whether they choose to or not, whether they are aware of it or not, and whether the public service encounter is coerced or not. Indeed, resistance to service delivery, especially in the more coercive areas of public services such as the criminal justice system or mental health, is as much a form of co-production as a voluntary and conscious willingness to co-produce (Osborne et al. 2016, 641).

This view is challenging, particularly the notion that co-production could actually be through a coercive act. An example could be fairly benevolent, such as children in a school classroom, who have no choice in having to attend school, and (for the purposes of this example) very little say in what is being taught in a particular lesson. Despite this homogeneity in service delivery, though, each child will potentially find a different level of value to the lesson. This value could manifest itself in enjoyment and enthusiasm, or the revelation of new knowledge, etc. But it is the child who ascribes value and, in so doing, co-produces the value of that service to her or him. Alford and O’Flynn (2012) identify the role of the citizen here as one of *obligatee*, a person who has no choice in having to receive the service but who definitely exercises a judgement in how valuable they find it.

Osborne et al.’s (2016) work presents many possible avenues for research, not least of which is what mechanisms can be used to develop a non-coercive sense of co-created value?

Sensemaking is itself a creative activity being the ‘invention that precedes interpretation ... a higher level of engagement by the actor’ (Weick 1995, 14). The remainder of this paper, therefore, will attempt to explore the gap between sensemaking and co-production, through exploring the use of narrative-creation in the development of police values. It will chart the current state of NZ police organizational culture, and will not how that, too, extends to Weick’s seven-fold characteristics of sensemaking. As stated in the introduction we are not making any definitive conclusion about culture as a static, end point: there is no such state. We do suggest, however, that current sensemaking suggests a shift in how NZ police culture is evolving, and that this was partly due to the development of the narrative.

## Methodology

Our research consists of a single organization case study, New Zealand Police, which draws on a long lineage of similar case-based explorations of organizational cultures, in the police and across multiple sectors. Our goal was partly to unearth new discoveries (Jensen and Rodgers 2001) but also to help to extend and build theory (Siggelkow 2007; Eisenhardt and Graebner, 2007; Eisenhardt 1989).

Our case utilized a mixed methods approach to create the ‘chain of evidence’ needed for a suitable case study (Yin 2009). Most of the findings are taken from a series of semi-structured interviews with key informants from NZP staff in a wide range of positions in terms of both the rank hierarchy of the organization as well as in relation to various specialists and general roles. These have been supplemented with interviews with those from external agencies across New Zealand. More than 240 unstructured interviews with police officers, civilian staff, victim advocates, Crown Prosecutors, defence lawyers, doctors and staff from victim specialist support agencies were conducted between June and September 2016. A total of 215 of these involved police officers and staff in their workplace, most often they were informal and naturalistic conversations, akin to what Westmarland (2011) describes as ‘ethnographic conversations’. These interviews were

held in nine of the 12 police districts across NZ and included a broad range of metropolitan and rural areas: from large urban policing environments to very small police stations in rural locations.

Time was a limiting factor in our study, and we could not engage in longitudinal research but taking the lead from a number of authors (e.g. Huby, Harries, and Grant 2011; Wond and Macaulay 2011; more recently Cappellaro 2017), we extended the ethnographic approach. During a 6-week period of fieldwork, the first-named author was immersed in the policing environment and was able to observe extensive interactions among police officers and staff and between them and the public and other professional colleagues. This provided rich opportunities for appreciative enquiry of the working culture and environment of policing and to better understand the dynamics of the workplace. These were incorporated into the fieldwork notes alongside the content of the unstructured interviews. In addition, extensive documentary analysis has been undertaken, including a review of policy and management information, background papers, procedural models, and a range of relevant data.

The selection of staff combined purposive and opportunist sampling methods. Some participants were selected based on their specific roles (e.g. district crime managers, specialist investigators, diversity managers, or professional conduct staff). Others were recruited randomly as the researchers visited police stations and recruited participants on an opportunist ad hoc basis. Purposive recruitment was used for interviews with external agencies and informants, some of which were conducted via phone.

The researchers were also slightly constrained in that we were not able to conduct primary quantitative research. Given the nature of the subject matter and its emotive origins, however, we suggest that qualitative work is far more useful anyway to be able to probe the nuance of the issues engulfing NZP. Conducting research with police requires particular skills and experience, particularly in relation to sensitive topics (see Bacon 2016; Brunger, Tong, and Martin 2016). Furthermore, the exploratory nature of this study makes qualitative data far more preferable in order for us to attempt to build theory for future testing.

Inevitably it is not possible to discount that participants might have been keen to present accounts of police culture that they felt were 'acceptable' or reflected the 'company line'. This risk was minimised by including a large number of participants from different points of the vertical hierarchy (from new recruits to the Commissioner) and across the horizontal structure: from highly metropolitan urban Auckland to isolated one-person rural stations. The interviews were not recorded, largely for practical reasons and for fear that this might make participants less forthcoming. Instead, substantial fieldnotes were generated and subsequently subject to thematic analysis, discussion and review between the two authors through open coding. Adopting Emmerson et al.'s (1995) techniques, it began with the careful reading and re-reading of fieldnotes to create a wide range of coded categories, which led to the collaborative creation of integrated categories and the development of themes that are linked to the overarching concepts relating to the field of study.

We selected our sample, therefore, in a bid to best retain theoretical flexibility, rather than choose randomly. We have also embraced Eisenhardt's (1989) suggestion to utilize opportunistic methods to enable an exploration of emergent data. That this might not create an objective set of results that could not have been interpreted in other ways is a reflection of the messy subjectivities of the lived realities explored in this paper. In his powerful advocacy of ethnographic approaches, Willis and

Trondman (2000, 116) addressed the centrality of the difficulty of writing and analysis and noted that ‘reality itself, in the life world of agents, is composed of the fluid relation between representations, practices, juxtaposition of expressive forms, circumstances, and experiences – there is hardly a “solid original” to reflect!’.

## Findings

Cultural change within NZP was identified by many respondents as being fundamental and irreversible. The findings below focus on how cultural change had been approached and the sensemaking that participants have engaged in around its impact.

### *Using narrative to create value*

Police executives suggested that key to their strategy of cultural change was the promotion of a clear set of organizational values,<sup>1</sup> something that the Commissioner noted had never previously been codified or articulated within the organization. Since 2015, when two new organizational values (empathy, and valuing diversity) were given formal recognition, NZ Police’s values have been denoted by the acronym PRIMED: Professionalism, Respect, Integrity, commitment to Māori and the Treaty, Empathy, and valuing Diversity.

These organizational values were created through telling stories and developing narratives. Workshops were established to try and create a new understanding of values, but instead of open discussions these were run as writing workshops. Eight groups, including Area Commanders, were created. Each participant was asked to tell the others a true story about an incident in their lives which had profoundly affected them, and to name a particular value that they had taken from that incident. Each group then chose one particular narrative to relay back to the others, all of which were collected and collated to help inform the final values. Participants were encouraged to tell stories about any aspects of their lives, not just their professional careers, and importance was placed on being able to contextualise the value within the narrative. From these workshops and the resulting discussions, the PRIMED values were codified.

Even superficially it is clear that these values signal a shift away from a more traditional view of policing to one that focused on helping victims of crime. The two newly-minted values of ‘empathy’ and ‘valuing diversity’ were seen as especially important in order to change mind-sets towards a more caring view: ‘shifting from an offender focus to victim-centric’. In creating narratives there is a sense of embodiment: sharing stories and contextualising values foster a sense of empathy, and the emphasis on non-professional incidents diversified the pool of stories. The creation of PRIMED was thus one driver of cultural change but, equally, the result of a cultural shift in the use of narrative.

Importantly the use of narratives extends beyond the creation of PRIMED values towards the broader public. TV recruitment advertising had been changed to reflect the values, using a scenario with members of the public stepping over homeless people on the street, with the strap-line ‘do you care enough to be a cop?’ This replaced the previous campaign that used highly action-orientated portrayal of policing as crime-fighter and a slogan ‘get better work stories’. In effect it tells a story of what the police do, but how they are an organization equally involved in social care as they are with law enforcement.

This shaped the presentation of police values and culture to the wider public and putative entrants.

At other levels, police leaders were encouraged to communicate to their staff in language that drew on the transformational PRIMED values: in essence to tell new stories. A civilian staff member interviewed recalled that he had received an email from his line manager praising him for taking action when off-duty to help a member of the public in distress in the street. His manager had told him that his intervention demonstrated commitment to the values of empathy and being victim-focused: which, he suggested, made him think that the inspector 'walked the talk'. Similarly, a District Commander reported that 'promotion [of values] has to be authentic, I have to be genuine. I try and link low-level feedback to staff to our values when I promote good news stories'. At a rung lower on the hierarchy, an Area Commander was wary that:

having to "sell the values" might be seen as gimmicky crap, but we got staff talking about them . . . in the past they wouldn't even have known what the values were. I try and subtly insert the values into professional conversations, and I've seen that moving down the line management chain.

This quote indicates again the importance of narrative approaches in creating an emotional bond to encourage sincerity and authentic reflection. Not only was it evident that officers and staff could identify and understand the values promoted within NZP, it was also apparent that these were frequently linked to positive cultural change within the organization. Crucially when we asked about the broader impacts of change, respondents phrased responses that demonstrated the key characteristics of sensemaking.

#### *Creating new narratives? Sensemaking and cultural change*

For example, many respondents discussed culture change in terms of creating a new police identity (Weick 1995; Lametz 2002). The traditional identity – hierarchical, authoritarian, masculine – which was identified as problematic in the CoI report, was widely perceived to be changing into a more open, diverse and reflective approach. Crucially the old identity has not yet been wholly replaced. A group of women officers, for example, spoke of instances of sexist talk and cited examples of poor practice. However, they still made it clear such behaviour stood out as being outside of normative standards, unlike – some longer-standing members of the group noted – earlier periods when it was common and largely unquestioned and unchallenged.

Traditional macho, sexist, police cultural identity identified by the CoI report was often linked to a drinking culture, which our respondents also suggested was eroding with the demise of police bars. An Area Commander reported that:

You can't compare the culture with that of 10 years ago. The banter around women – even from 5 years ago – would be completely unacceptable. Policing have done a good job [sic], but part of that is the same as society. Same with alcohol. We still have the police bar upstairs and it would have been packed on a Friday night – the jug session – but it is hardly used now. We would get more profit from a coffee machine. It's a cultural shift.

Another male officer, from a different district, observed similar changes and noted that there has been a deliberate move away from the traditional (again often regarded as typically male) drinking culture to try and develop a healthier working

environment. His perspective illustrates how tackling a problematic culture is intertwined with a more diverse working environment:

I've been in the old police culture that led to the CoI. The lack of bars and canteens is a positive thing, there's been a remarkable improvement in drinking culture. The binge drinking, work hard/play hard environment [has gone]. People are not prepared to dedicate their whole life to the job, now there's a life and family focus, leave the cell phone at work and switch off. There needs to be a balance. Police bars were like nightclubs. I was treasurer of the police club in [..], we took \$108k in a year and it was packed from 4pm until the early hours. I'm very glad all that culture's changed – I hated it, it was an unhealthy culture. Young women in those bars were perhaps groupies for police. It resulted in marriage break-ups. That bonding process among police can be problematic.

Such changes also reflect Weick's understanding that sensemaking is social and ongoing; altering the social environment results in new sense environments (Weick 1995).

Some respondents suggested that previous environments had been characterised by the development of group loyalties that promoted the cover-up of malfeasance. A small number of those interviewed had some direct experience of working with the group of officers whose behaviour had led to the CoI in the first instance. In separate interviews, they recalled a working environment characterised by bullying and intimidation, such that misconduct was widely known about but could not be challenged. One of those officers was described as an 'officious crude bully, he split the station and you were either a sycophant or an outsider. I would hope that couldn't happen again, with an increasing emphasis on organizational values'. This capacity to challenge unacceptable behaviour has obvious implications in terms of confronting corrupt and criminal activity but cultural change to question senior colleagues was more commonly discussed in more routine terms of operational decision-making.

Arguably this leads to new extracted cues being developed (Weick 1995) as experiences evolve, Evidence for this can be found in changes to language that is used and found acceptable. A long-serving detective, who managed a specialist squad investigating adult sexual assaults in an urban area argued that:

There's no tolerance of poor language ... 'prostitute', 'false allegation', 'piece of shit' ... it seeps out to junior officers, its contrary to our values and is just not acceptable. There's been a huge cultural shift in terms of breaking down hierarchy and the culture of deference. Now, 'challenge and contribute' [is the norm].

It is worth noting, perhaps, the detective explicitly drew a direct link back to the PRIMED values here, which suggests that they have become embedded in the sensemaking around culture change.

The decline in the command-and-control hierarchy was seen by several respondents as redolent of broader societal trends. Certainly, more experienced officers often contrasted the contemporary environment sharply with that they had encountered when more junior in career, which corresponds to Weick's framework of retrospective sensemaking (1995). An officer in charge of a small rural station identified operational benefits from a transformed culture, describing how when he started as a junior constable, the ...

... Station senior [sergeant] ruled the roost – you would do what you were told, more military rank-oriented. Now all are encouraged to participate and have input. We get better decisions and outputs.

NZP is thus becoming more inclusive and collaborative in terms of leadership. Crucially this extends beyond the police as well, to highlight a more broadly co-creative approach. In another part of the country, the District Commander identified similar changes and suggested that part of the transformation stemmed from police working more closely with external partner organizations: 'the new professional model encourages critical reflection, and we are much more attuned to community perspectives'.

A more external focus is not new in police forces, of course, which has occurred across many other countries, and some key NZ informants identified continuing gaps in terms of the provision of collaborative services that met the needs of victims. Some noted a lack of continuity in police personnel hampered communications, alongside problems of inconsistent support and funding for partnerships. In terms of police culture, however, there was a very wide-spread consensus that positive changes had occurred. Some of those interviewed had been supporting victims of rape and sexual assault for long periods and clearly identified changes in police values, culture and attitudes. When asked to identify the most significant changes in recent times, staff from victim services noted improvements in the organization and management of investigations but also huge cultural shifts such that attending officers were more empathetic and victim-focused rather than concentrating only on the forensic investigation of the offence. Some of those interviewed noted that victims the agencies worked with often said that they had been pleasantly surprised by the quality of their encounters with police.

Improvements in inter-agency communication reflected internal changes in reducing barriers not only in terms of the hierarchical rank structure but also between civilian staff and support officers. The comments reported below, from an officer with over 20 years' service, are significant given that diversity of policing can be understood not only in terms of the demographic profile of staff but also in terms of the multiplicity of roles important to contemporary police work:

You can question and discuss, but we need some military hierarchy to make decisions in pressure situations. You can talk about it back at the station. There used to be some reluctance to seek advice, but now the invisible boundary between uniform and non-uniform has been removed. Lines are blurred between departments, it's less sectional and more approachable

As well as creating an organizational culture conducive to more effective decision-making it was apparent that the move away from a command-and-control hierarchy also promoted innovation and managed risk-taking among staff. Fear of disciplinary 'comeback' or 'being put on paper' is a common feature identified in much of the literature on police culture that notes that avoiding 'in-the-job trouble' is a major priority for officers (Young 1991, 1993). The Commissioner of NZP spoke of the need to ensure that officers were supported in their decisions and actions even if they had unintended or unwanted outcomes, providing the individual had acted in accordance with the PRIMED values. Those interviewed who were responsible for professional conduct similarly spoke in terms of promoting a culture of learning from error (Shane 2013) as part of a culture of continual improvement. Inevitably, it is difficult to gauge the extent to which this principle was understood and embraced more widely but officers and staff spoke of their willingness to innovate. A female officer with around 15 years' experience noted considerable progress in recent years in terms of promoting gender inclusivity and commented more widely that 'the current period is one open to

change and innovation – more so than ever before. It’s an exciting period of my career’. Another officer, with similar length of service, working on his own in a single-crewed station offered a concrete illustration of his innovative practice, and linked this to his understanding of the organizational values. He also noted continuities in police work:

the longer you are in [the job], the more new challenges you discover. I set up a programme to educate the Chinese community around water safety [there had been a series of drownings across the greater Auckland area]. We had TV campaigns, signage at waterways in Chinese and Taiwanese. The force philosophy of prevention opened the gateway for me to do it ... We were the ambulance at the bottom of the cliff [in earlier days]. Without the prevention model I probably wouldn’t have got permission. Earlier in my career I’d have been hesitant to show innovation like that. We spent more time catching criminals – this still has a place. One guy here keeps reverting back to criminal ways. I got him a job at the mill, but he’s gone back. We need to keep the balance between prevention and enforcement

The findings reported above suggest that NZP has had some success in developing a values-based organizational culture, at least in the sense that staff and officers were aware of the PRIMED code of values and were able to relate those to the operational requirements of routine policing. It was widely perceived that this had led to a transition away from a hierarchical and deferential culture of command and control towards a more open environment. The capacity and willingness of staff and officers to reflect upon their roles, to question decisions, and to innovate emerged from many of the fieldwork interviews. This cultural transformation was enabled, in part at least, by consistent leadership at many levels of the service, by articulating organizational values in terms of operational police work, and through engaging staff in the creation of those values in the first instance. It is not claimed that the cultural transformation has been complete or that problematic forms and expressions have been completely eliminated; and it is not possible to measure changes in objective or quantitative terms.

### **Discussion: the co-creation of value?**

In exploring the NZ Police experience, our findings challenge two inter-related theoretical perspectives: (1) the place of narrative in helping to co-create organizational values; and (2) the way that sensemaking has framed on an ongoing culture change. Our data suggest that the two are closely aligned.

Participants reflected that values co-creation was an important element in NZPs transformation from a culture characterised by deference and hierarchical authority to one based on challenge, professionalism and innovation. In characterising the change in culture in this way it is important to recognise that it is not monolithic and that there has not been a complete move from one model to another. Instead, there is a continuum between the two poles, and elements of the ‘original’ form continue. This transformation is not complete, of course, and thus the need for continuing sensemaking is not likely to abate.

This sensemaking aspect becomes even more important when we appreciate that most previous police research on organizational change management offer many examples of programmes of change developed by senior executives that have foundered on the rocks of cultural resistance from more junior staff (Haake, Rantatalo, and Lindberg 2015; Latta 2015).

While the chair of the CoI reported that she had deliberately imposed a lengthy timeframe for change, as a strategic way of avoiding superficial quick-fixes to deeply seated problems, it was recognised by many interviewees that this had meant that progress over the decade had gone through distinct phases. Inevitably, political and institutional priorities around policing had shifted at times. Many interviewees pointed to particular periods under certain senior officers during which progress had faltered or, in the opposite direction, when new motivation had been brought to the programme. Sometimes the influence of external agencies (such as when the OAG published an interim report highlighting considerable progress was still outstanding) or the intervention of key individuals (such as high-profile victim advocates) was identified by senior staff as important instigators that pushed the CoI reforms back up the police agenda. Again, this reflects wider literature suggesting that cultural change can be driven by external actors (Wood, Fleming, and Marks 2008; Charman and Corcoran 2015).

Perhaps in recognition of that, embedding a co-creation approach (even in part) within the programme of cultural change developed in NZP appears to have aided reinforcement and integration at all levels within the organization. Multi-faceted leadership of cultural change was evident at various levels within NZP, which reflects Sherman's (2015) view that powerful advocates are needed for reform to succeed, and Wood, Fleming, and Marks (2008) finding that rank-and-file staff need to be nurtured as agents of change. Through the sensemaking capability of narrative, NZP staff continue to be involved in interpreting and embedding cultural change.

It may be argued that the use of narrative was not a true co-creation activity in the way that the literature portrays because it did not utilise members of the public. While that is true it was nevertheless perceived as at the very least a collaborative activity and was a key mechanism among broader, more traditional co-productive approaches. As mentioned previously NZP engaged with the public in a number of different initiatives and continue to do so. It should also be noted that the creation of new values was only one aspect of the culture change programme: we have not had time to discuss new training and development initiatives, for example, nor delve too deeply into recruitment processes.

Perhaps more importantly, however, our research offers insights into Osborne et al.'s (2016) work on the value co-creation through interaction whereby *any* service user is essentially a co-creator of the value of interactions with the public service. As their service-dominant logic suggests, the way in which a person interacts with a service is a judgement of the value in which she ascribes to it; and that ascription is ultimately something that is a co-creation of (a) the existence of the service; and (b) the engagement with it. Value is only realised at that specific point of creation; until then it remains potential and unrealised value.

Our findings hopefully extend this notion by showing how narrative ascribes to the characteristics (Weick 1995) and emotional pull (Maitlis, Vogus, and Lawrence 2013) of sensemaking. The story-telling workshops allowed for a voluntary, and meaningful, sense of value to be created. It was a social activity that used both retrospection and extracted cues to develop a new sense environment. The new environment, as we have seen, permeated throughout respondents' views of the evolution of NZP culture so that story-telling co-created the value that establishes a new sense of identity and membership to the organisation (Lametz 2002).

The workshops had a substantial impact. First, the story-telling techniques used by NZ Police broke down traditional power structures through self-reflection that covered

professional and non-professional aspects of people's lives. The workshops essentially stripped participants of their rank and status, at least for their duration. Second, the use of narrative changed the language of the organization, which is also known to be both a crucial component of organizational culture and also a key mediator of power. Sexist language has not been exorcized completely but our findings show it has become marginalized where once it was central; people are literally telling each other different stories. Third, these narratives have become outward facing with a significant emphasis on empathy and social care in terms of public facing work. Finally, the use of story-telling has helped to inculcate a significant emotional attachment to the values of the police; not in the surface level of acceptance but in terms of behaviour and lived actions.

Through using narrative, NZP enabled co-creation that allowed the attribution of value to be developed voluntarily from multiple perspectives, in an iterative way. We welcome further research in this area across different agencies.

### **Conclusion: happy ever after?**

For all of the reasons above, we suggest that our research shows the importance of narrative as a co-creative device for value creation and ongoing sensemaking. Crucial to the success of narrative for culture change is that it both utilises and encourages a more reflective approach, which opens up culture to new perspectives and moves it away from traditional conceptions. For NZP story-telling was at the heart of co-creating new organisational values and continues to be so in terms of embedding and interpreting these values.

Value-attribution is itself not a standalone event, of course, and is an ongoing act of sensemaking. People can ascribe different value to experiences at different points in their life, both quantitatively and qualitatively. What may have been useful to us as youths may not quite be so in older age. It seems apparent, therefore, that co-production is ascribed principally to the value ascribed a service, then there will be an iterative process that determines the relative success of failure of that co-production activity. Again our findings show that ongoing cultural change demonstrates a commitment to iteration and the ongoing evolution of value.

In making these arguments, we also hope that our research adds to the small body of literature on sensemaking in police agencies, but more importantly adds depth to current ideas on co-creation of value and value attribution. In addition, our work also affirms Kaye's (1995) findings on credibility, and also Kaptein's (2008) promotion of the value of discussion for organizational cultures as well as strengthening Smith and Keyton's (2001) discussion on power relations in police culture. Finally, the research adds to discussions on police practice and culture in Australasia (Brough et al. 2016; Rowe 2009; Bradley and Nixon 2009). Future research is needed, to see how effectively these co-creative aspects can be in positively affecting cultural change in other organizations.

Our work also speaks directly to the three questions that Bryson et al. (2017) framed for research into multi-actor co-creation activities. The deliberate use of narrative and story-telling built agreement over both *what* was to be co-created in NZP as well as *how*; the process legitimised the values that were ultimately adopted. The use of story-telling workshops also demonstrated how NZP developed the capacity and capability for co-creation.

Charting cultural change in any organization is inherently challenging and we acknowledge that this study has limitations in this regard. There is no single model of that culture that respondents could identify with, for example, and moreover, no quantitative measure of change was possible since there was no pre-intervention data available from a decade or more earlier. Relatedly, as was noted above, the programme of reform was deliberately developed over a period of a decade and many participants explicitly noted that they had not been part of the police service prior to the CoI (in fact the researchers occasionally had to provide a background sketch to participants). For all of these reasons it is noted that the findings outlined here reflect respondents subjective perceptions of cultural change in NZP; it cannot be claimed that they represent a definitive picture or that alternative views have no validity. They are, themselves, stories.

In closing, we note that the events surrounding the NZ Police Commission of Inquiry have now been turned into literal stories; several books have been published around the case and the leading campaigner and survivor of the events has had a television movie made about her life. We feel that this is somewhat apposite. The NZ Police used story-telling to co-create values, to help change the culture. This has been reinforced by story-telling approaches in recruitment and in training and development. It seems consistent to translate that now into stories by which the public can more readily co-create the value of their service.

## Methodological Note

The fieldwork was conducted in two stages. Initially, the researchers met with a series of 'key informants' who had been directly involved in the process of police reform during the period of nearly 10 years since the Commission of Inquiry report was published. These included senior police officers and staff, campaigners, political leaders, medical and legal stakeholders, and others professionally engaged (for example, from the Police Complaints Authority, the Office of the Auditor General, and the NZ Police Association). Combined with reading of background policy, news media and academic articles this initial round led to the development of a series of topics around which the second round of fieldwork was focused. That round of fieldwork included unstructured interviews and 'ethnographic conversations' with more than 240 individuals from police, legal, health, and related fields.

The schedule of topics included:

- The extent to which developments in policy and practice in relation to ASA investigations have been implemented consistently across NZ
- The extent to which expressed organisational values are understood by staff and form a basis for service delivery
- Perspectives on change in police organisation and culture over time
- Perspectives on police service for ASA victims from support, counselling, and similar organisations
- The effectiveness of training provisions (in all forms) in the improvement of ASA training and the development of organisational values
- The status and views of women and Maori, PI, Asian and other minorities within NZ police and related challenges to the promotion of diversity among workforce
- The extent to which other agencies within CJS operate to provide an appropriate response to ASA victims, and the effectiveness of relationships with NZ police

## Note

1. Accessible online from: <http://www.police.govt.nz/sites/default/files/publications/our-values.pdf>.

## Disclosure statement

No potential conflict of interest was reported by the authors.

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