



Transport Accident Investigation Commission
Te Komihana Tirotiro Aitua Waka

Statement of Intent 2018 – 2022

May 2018

Prepared and published in accordance with
the provisions of the Crown Entities Act 2004

Transport Accident Investigation Commission
Statement of Intent 2018–2022

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6 June 2018

Hon Phil Twyford
Minister of Transport
Executive Wing
Parliament Buildings
Wellington

Dear Minister

We have the honour to present to you this Statement of Intent (SOI) for the Transport Accident Investigation Commission (Commission) for the period 2018-2022, prepared in accordance with the provisions of the Crown Entities Act 2004.

This SOI updates and supersedes the 2015-2019 SOI.

Yours faithfully

Jane Meares
Chief Commissioner

Peter McKenzie CNZM QC
Deputy Chief Commissioner

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Chief Commissioner's overview

The Commission's statutory purpose is to determine the circumstances and causes of selected aviation, rail, and maritime accidents and incidents with a view to avoiding similar occurrences in the future, rather than to ascribe blame to any person. This purpose, unchanged since our inception, means we are uniquely placed to influence and contribute to keeping transport users and workers safe. Commissioners and staff are motivated by an inspirational goal of ensuring there are *No repeat accidents – ever!*

Although our legislative functions remain unchanged, the Commission's organisational emphasis has changed since our last statement of intent (2015-2019). Over the past three years our focus has been on applying the increase in baseline funding that we received from 2015/16 to build capacity and improve output levels after a period of stretched resources. The additional funds enabled us to recruit and train six extra investigators, and to increase corporate capacity in the areas of knowledge management, legal services, and communications. The additional capacity, combined with the supporting systems we put in place, has meant we have been successful in achieving a considerable improvement in our output levels. With a stabilised base, we now are in a stronger position to look ahead, and to build and maintain a resilient and responsive organisation.

The future is one of change and uncertainty for the transport system. The technological environment in which we operate is being transformed by the advent of intelligent systems and, increasingly, artificial intelligence. The increasing use and sophistication of these systems means that transformation will gather pace. We must not lose the benefits we have gained over the past three years; but if we are to continue to meet our statutory purpose we must prepare ourselves to respond and adapt to shifts in the ways we conduct investigations and gather evidence.

We are already experiencing the need to access vital evidence about accidents from electronic data sources, as well as the traditional sources of physical evidence to be found at accident sites. Capturing and analysing this electronic data requires skills that we will increasingly need. Our IT systems and analysis tools must also be fit for purpose. Our current systems are now ten years old, and nearing the end of their net book value. An early task for the Commission over the planning period is to review needs in analysis, software, hardware, and data management skills. Ensuring our human and IT capital is secure in the face of the challenges to come is matter of priority for the Commission.

In planning for the future, the Commission has adopted the notion of resilience as the guiding principle. Resilient organisations are ones that thrive in times of uncertainty and change. Resilience in the face of technological change, disruptions to our operating environment and to external shocks such as a major accident or natural disaster, is key to the Commission's organisational health and capability as we look ahead.

Our strategies over this planning period are also more focused on making sure the information and insights we gain from our inquiries are effectively transferred to those who can act to make a difference to transport safety. To be effective, we must be able to communicate our findings and transfer the knowledge we have gained.

The next few years will bring about exciting, and sometimes unforeseen, changes to the way the transport system works. Being ready for the challenges ahead is vital if we are to continue to help keep safe the users of, and workers within, the transport system.



Jane Meares
Chief Commissioner

1. The Transport Accident Investigation Commission

1.1. About the Commission: our nature and scope

We are a standing commission of inquiry and an independent Crown entity

- 1.1.1. The Transport Accident Investigation Commission (the Commission) is a standing commission of inquiry. The Commission's principal function is to investigate accidents and incidents. We undertake independent and impartial investigations into selected accidents and incidents in air, rail and maritime transport, and report our findings and recommendations.
- 1.1.2. The Commission's enabling legislation is the Transport Accident Investigation Commission Act 1990 (the Act). The Act gives the Commission powers and protections, and provides for accident investigation as a primary means of inquiry. We are also supported by the general powers and processes of the Commissions of Inquiry Act 1908, including the use of submission and hearing processes, and provisions to ensure natural justice is observed.
- 1.1.3. Under our mandate, the Commission can decide whether to open an inquiry into an aviation, maritime or rail occurrence that is notified to us. An inquiry must be opened when it is considered that the circumstances of an event are likely to have significant implications for transport safety, or the findings and recommendations are likely to lead to an increase in transport safety. In deciding whether an occurrence meets either of these tests, the Commission considers a range of factors, which are set out in a 'logic guide' and published on our website.¹ The Act provides for the Minister of Transport to direct the Commission to open an inquiry under certain circumstances. In every case, the Commission determines how it conducts its inquiries and is independent in its deliberations.
- 1.1.4. The Commission is an independent Crown entity under the Crown Entities Act 2004, fully Crown funded through Vote Transport. Although we operate independently of executive government and other government agencies, we foster 'no-surprises', collegial relationships with Ministers and agencies in the transport sector (and in other sectors) consistent with the Commission's mandate.

We have a role in New Zealand meeting its international treaty obligations

- 1.1.5. As part of the Commission's legislated function, we play a role in New Zealand meeting its international treaty obligations for transport safety. The Commission is the primary means by which New Zealand fulfils international aviation and maritime obligations to conduct independent safety and prevention-focused investigations.² These obligations require our inquiries to be separate from any investigations to determine blame or liability.

The Commission has up to five members who also act as the board

- 1.1.6. The Act allows up to five Commissioners to be appointed. The members are also the Commission's board for the purposes of the Crown Entities Act 2004. Two of the appointed members are designated Chief Commissioner/Chairperson and Deputy Chief Commissioner/Deputy Chairperson respectively. The Act requires the Commission to employ a Chief Executive to operate the Crown entity. The Chief Executive is not a member of the Commission. For the Commission to carry out its functions the Chief Executive employs staff in core roles (such as investigators and corporate functions), contracts specialist expertise as required, and ensures the efficient and effective management of the Commission as an independent Crown entity.

¹ <https://taic.org.nz/>

² Annex 13 to the charter of the International Civil Aviation Organization. Casualty Code of the International Maritime Organization.

1.2. The Commission's functions and operations

1.2.1. The Act prescribes the Commission's purpose. It is 'to determine the circumstances and causes of accidents and incidents with a view to avoiding similar occurrences in the future, rather than to ascribe blame to any person'.³ We pursue this purpose by building extensive information about the occurrences we inquire into and using our insights to contribute to bodies of knowledge about accidents and incidents, and influence the transport sector to improve safety. Our core activities are:

- conducting independent inquiries supported by factual investigations
- making and publishing findings and recommendations
- helping overseas accident investigation organisations when needed.

1.3. Our operating environment

The Commission has a small, but vital, role in advancing transport safety

1.3.1. The Commission has a significant role to play in advancing transport safety even though we are a small part of the transport system. Movements of people and freight within and beyond New Zealand support a wide range of economic activity. A safe transport system is vital if New Zealand is to grow its domestic economy and participate in global markets.

1.3.2. The international connectedness of the transport system means that safety issues and their resolution can have widespread implications. International conventions are one way that safety systems and standards concerning vehicle design, training, and investigative standards (as examples) are applied across signatory nations.

1.3.3. Safer operation of the transport system results from the complex interaction of many factors including: technology (such as the design and performance of vehicles), infrastructure, government policy and regulation, as well as human factors (people and their interactions with vehicles and the environment). All these factors and relationships change and evolve, sometimes at a rapid pace.

1.3.4. Many state, commercial, and community entities share responsibility for transport safety. A challenge for all agencies, including the Commission, is to maintain awareness of the changing operating environment and the implications for transport safety. The same is true for individual users of the transport systems, whether they are transport professionals, recreational transport users, passengers, or consignors of freight.

The Commission acts under, and is influenced by, domestic legislation and international treaties

1.3.5. The Commission's enabling legislation is the Transport Accident Investigation Commission Act 1990. Other key legislation influencing the Commission include the:

- Commissions of Inquiry Act 1908
- Civil Aviation Act 1990
- Maritime Transport Act 1994
- Railways Act 2005
- Coroners Act 2006

³ Section 4, Transport Accident Investigation Commission Act 1990.

- Crown Entities Act 2004

1.3.6. In addition, several international conventions influence the Commission’s functioning as an independent accident investigation organisation. The most relevant international conventions are the:

- Convention on International Civil Aviation
- Convention on the International Maritime Organization
- International Convention for the Safety of Life at Sea
- The International Convention on Standards of Training, Certification and Watchkeeping for Seafarers
- Convention on the International Regulations for Preventing Collisions at Sea.

During an inquiry, the Commission engages with a range of organisations

1.3.7. On a day-to-day, case-by-case basis, the Commission engages with a range of organisations, including:

Civil Aviation Authority (CAA)	As the aviation regulator, the CAA has a statutory duty to notify the Commission of certain accidents and incidents, and to provide aviation-related information on request. The CAA may also conduct regulatory compliance or safety investigations, including health and safety compliance.
Coroners	Coroners are tasked with determining the circumstances and causes of death. In fatal accidents the Commission and coroner roles are distinct but with common concerns relating to evidence and witnesses.
Crown Law Office (CL)	As legal advisor to government agencies, CL assists the Commission in areas of international law and the scope of the Commission’s functions, particularly when the Commission is asked to assist other countries.
Maritime New Zealand (MNZ)	As the maritime regulator, MNZ has a statutory duty to notify the Commission of certain accidents and incidents, and to provide maritime-related information on request. MNZ may also conduct regulatory compliance or safety investigations, including health and safety compliance.
Ministry of Foreign Affairs and Trade (MFAT)	MFAT assists the Commission in enabling access to other jurisdictions where we are asked to assist in other countries’ accident investigations, or the Commission needs the assistance of other countries in our investigations.
Ministry of Transport	The Ministry of Transport is the Government’s principal advisor for transport policy, and the Minister’s monitor for the Commission’s performance as a Crown entity.
NZ Police	The NZ Police act largely as first responders to accidents, as Coroners’ agents, and are occasionally investigating potential criminal liability in relation to an accident.
NZ Transport Agency (NZTA)	As the rail regulator, NZTA has a statutory duty to notify the Commission of certain accidents and incidents, and to provide rail-

related information on request. NZTA also seeks regulatory compliance from licensed rail participants.

Other countries	The Commission's peer organisations overseas often assist us by providing expertise, information, and learning opportunities. The Commission has regular engagement with colleagues mainly from Australia, Canada, the United Kingdom, United States, and Singapore. The Commission also assists other jurisdictions' inquiries where New Zealand interests may be involved, or may help countries without a similar investigative capacity.
Transport sector operators and participants	The Commission draws upon operators, industry organisations and professional groups as key sources of specialist expertise, experience and information.
Victims and families	The Commission is committed to keeping victims and families informed about the purpose of our work, the laws we work under, general inquiry progress, and giving advance notice of major announcements.

Technology changes

- 1.3.8. The accelerating rate of technological change is a feature of our operating environment that is rapidly growing in importance. The increasing use and sophistication of intelligent systems and, increasingly, artificial intelligence means that the technological transformation of transport will only gather pace.
- 1.3.9. We must be able to respond by adapting and shifting the ways in which we conduct investigations and gather evidence. We are already experiencing the need to access vital evidence about accidents from electronic data sources, as well as the traditional sources of physical evidence to be found at accident sites.
- 1.3.10. Capturing and analysing this electronic data requires skills that we will increasingly need. We have already begun to meet this challenge with the appointment in 2015/16 of a forensic data recovery specialist and a more recent (May 2018) appointment of an assistant specialist (funded by holding a maritime investigator role open). These specialist roles enhance our capability in an environment where there is an ever-increasing amount of digitally recorded data we need to access as part of our investigations. Having two such roles allows for some redundancy and resilience in this area. In future, if demands on these specialist investigators grow as expected, the Commission will become increasingly challenged to balance our workforce between specialists and those with more traditional modal skills and experience.

1.4. Our structure and operating model

1.4.1. The Commission operates from a national office in Wellington. We are structured to facilitate inquiry and investigative processes while supporting the Commissioners' independence and decision-making. The Commission is a four-tiered organisation as illustrated in Figure 1 below. Employees fill core functional roles in the Commission. Additional expertise is bought in as required.

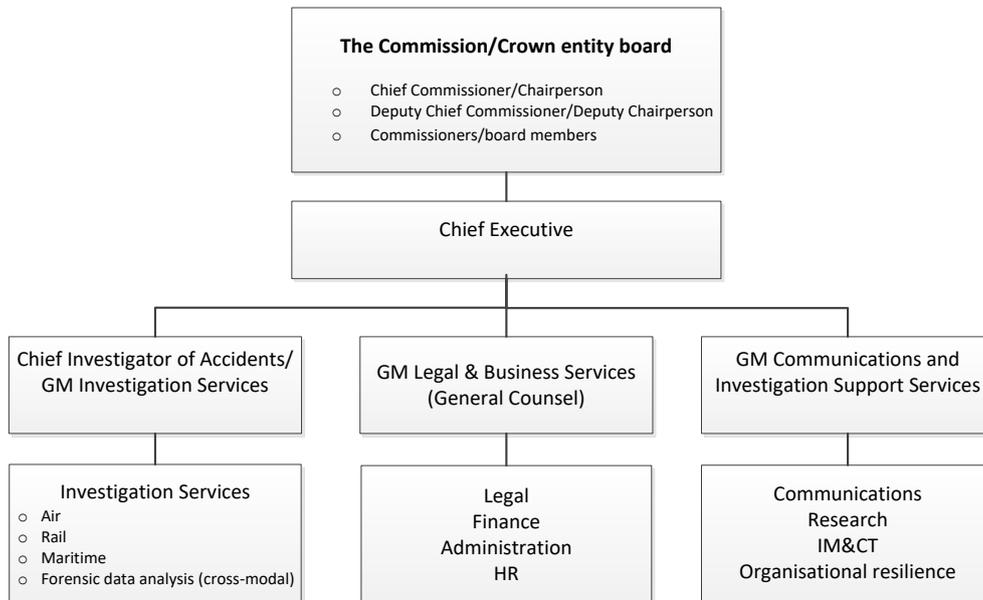


Figure 1: Organisational structure

2. Our strategic framework

2.1. Our vision and mission statement

- 2.1.1. The Commission's strategic direction is focused on achieving a specific outcome expressed as a visionary statement:

No repeat accidents—ever!

- 2.1.2. This overarching goal reflects the Commission's statutory purpose and task.
- 2.1.3. In addition, we are mindful of our business model as an independent Crown entity. The Commission is obliged to operate effectively and efficiently. We must provide value as a state sector organisation in terms of contributing to a safer transport system, and by making the best use of the resources available to us.
- 2.1.4. The Commission's mission statement focuses attention on what we are seeking to achieve in terms of our vision and how we do that.

Safer transport through investigation, learning and influence

2.2. How we contribute to a safer transport system

- 2.2.1. The Commission's strategic framework is shown in Figure 2. It shows our strategy has three strands, contributing to two strategic objectives. The framework also shows our impact and outcomes.

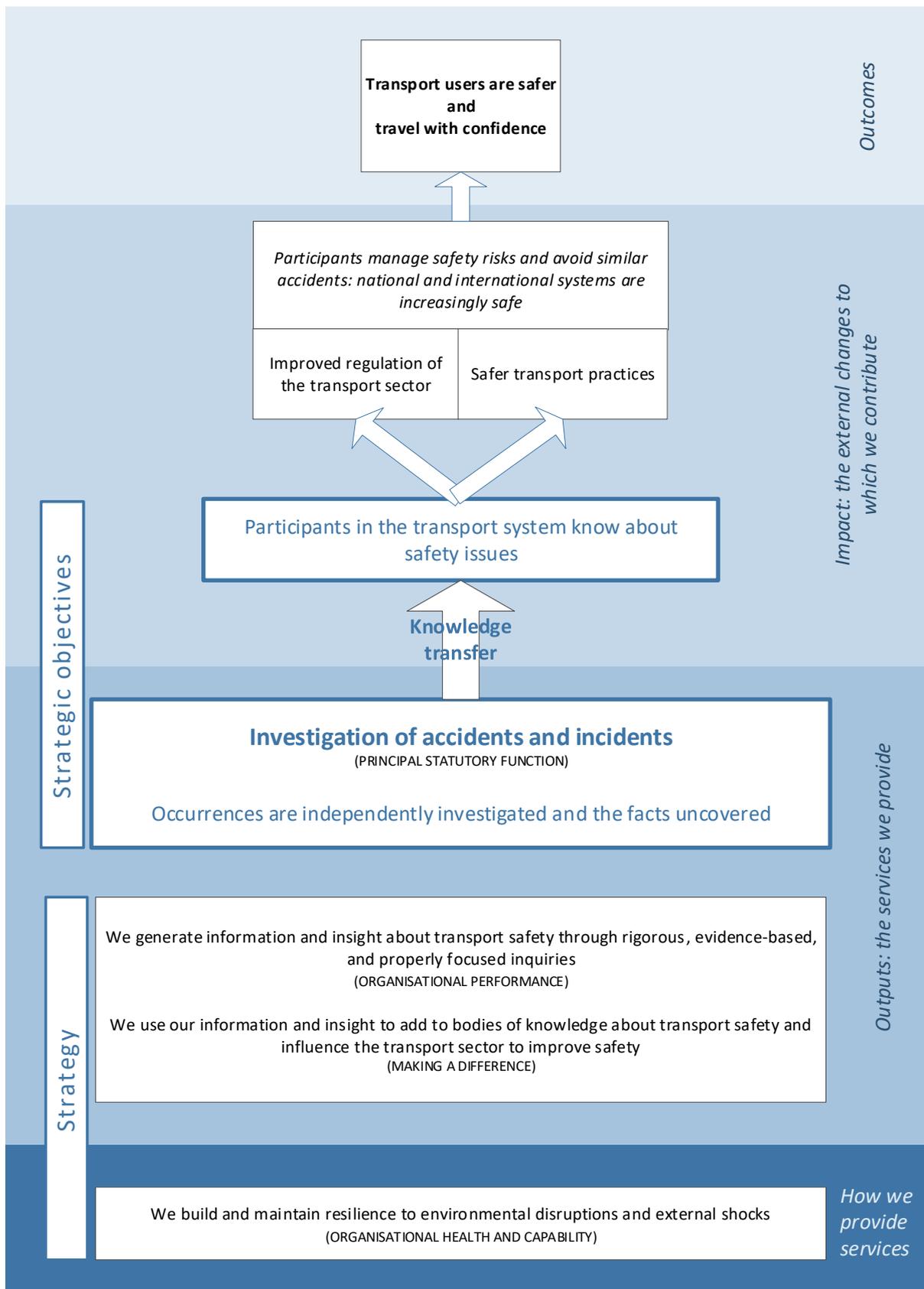


Figure 2: The Commission's strategic objectives and strategy

2.3. How we have developed our strategic objectives

Variants of the balanced scorecard approach guided the development of our strategic objectives

2.3.1. The Commission used two strategic planning frameworks to guide the development of our strategic intentions. The frameworks are variants of the balanced scorecard approach: strategy mapping⁴ and the performance prism⁵. They help the Commission identify areas of priority as we chart our way forward. Particular attention is given to the requirements of stakeholders, and the assets we draw on to meet their expectations:

- human capital (competent staff and a workplace plan that ensures skill currency is maintained in the organisation)
- information capital (information and data, and the IT systems including digital forensic analysis tools needed to use and manage them; and how we communicate)
- organisational capital (culture and values).

2.3.2. The Investment Logic Mapping process gave additional guidance. This approach requires close examination of what is most salient in ensuring capability is maintained into the future; and that the best use is made of the organisation's assets.

Responding to technological change underpins our planning

2.3.3. In developing this SOI the Commission applied the above frameworks and approaches in the context of our purpose, our operating environment, and our current state. We recognised the need to react to developments in technology that, to date, we have not had to consider. More and more, the information we use in an investigation is digital, held in large data sets, and might not be part of the physical evidence found at the site of an occurrence. An example is cloud-based software and data used in navigation systems.

2.3.4. Our traditional tools and approaches to investigation, which have served us well, will probably endure. But, we need to be prepared to adapt traditional processes and skills as the digital environment evolves and disruptive technology, such as unmanned transport systems, become a reality.

2.3.5. The strategic focus for the period covered by this SOI is therefore on our human and information capital. Underpinning the objectives and strategy set out in section 3 is the need to ensure we have the workforce and IT systems, including digital forensic analysis tools, in place to continue to be effective in a rapidly changing operating environment. This means being resilient to disruptions to our operating environment due to technological change and to external shocks such as a major accident or natural disaster. We have set in place a resilience programme, which is discussed in more detail in Section 4.

⁴ Kaplan, R.S and Norton, D.P. (2004), *Strategy Maps Converting intangible assets into tangible outcomes*, Harvard Business Press.

⁵ Bourne, M. and Bourne, P. (2011), *Handbook of Corporate Performance Management*, John Wiley and Sons Ltd.

2.5. Organisational values

The Commission's external values reflect our statutory function as an inquiry entity

- 2.5.1. The Commission's external values apply to our interactions with external parties. They have been developed in the context of our role as a statutory inquiry entity, and are key to justice being done and being seen to be done throughout the inquiry process.
- 2.5.2. The Commission has adopted the International Framework for Court Excellence values, which were designed to improve the quality of justice and inquiry administration in such bodies internationally.
- Fairness
 - Impartiality
 - Independence
 - Competence
 - Integrity
 - Accessibility
 - Timeliness
 - Certainty

Commission staff work to a set of internal values

2.5.3. Commission staff work to a set of internal values, which are the foundation on which we build a high-performing organisation. These values reflect our desired organisational culture and guide behaviour as we interact with each other. The internal values complement the external behavioural values.

2.5.4. Our internal values are:

<i>One team</i>	We work as one to fulfil our purpose and we value everyone's contribution. We are greater than the sum of our parts bringing our unique skills together to achieve the Commission's goals.
<i>Pride in our professionalism</i>	We demonstrate our competence, quality, skills and appropriate behaviour at all times. Most importantly, we take ownership for our delivery.
<i>Respect for others</i>	We respect others, their points of view, and their accountabilities. We take ownership of how we act, treating each other with respect and dignity.

3. Our strategic objectives and strategies

3.1. Our strategic objectives

- 3.1.1. Everything the Commission does contributes to our goal of making national and international transport systems safer. Two strategic objectives help us achieve this goal.

Strategic objective: Occurrences are independently investigated and the facts are uncovered

- 3.1.2. The Commission's inquiries look at risk within the transport system, identifying safety issues and the conditions under which accidents and incidents happen. This is at the core of our contribution to making transport systems safer: finding out what needs to change to reduce the likelihood of a recurrence. The facts – determined without fear or favour – must be known, analysed and formed into key information: safety issues, findings and recommendations before the process of change can begin.

- 3.1.3. We know we are successful in achieving this objective when:

- Our investigation processes meet international standards
- Stakeholders consider our investigations fair and independent
- Our inquiries are not subject to successful judicial review

Strategic objective: Participants in the transport system know about safety issues

- 3.1.4. The process of change towards a safer transport system begins with the determination of the cause and circumstance of occurrences and the identification of safety issues. But once the Commission has identified a safety issue, it relies on others in the system to act to improve safety, either through safety actions taken during the course of an inquiry, or in response to recommendations. We must therefore make sure our work is trusted, our inquiry reports are compelling, and the recommendations we make are well-founded. We must also ensure that we transfer the knowledge we have gained. Our findings must be available for others so they know how to avoid a similar accident happening to them, and we can effectively contribute to the international body of knowledge on transport safety.

- 3.1.5. We know we are successful in achieving this objective when:

- National and international stakeholders look to our findings for information
- Users find the information they are looking for from our website and reports

3.2. The three strands to our strategy

We have three strands to our strategy related to organisational performance, impact, and organisational capability

- 3.2.1. We have three strands to our strategy to achieve our objectives. They relate to organisational performance (what we do), impact (how we make a difference), and organisational capability (how we sustain ourselves into the future).

3.2.2. The three strands to our strategy are:

<i>Organisational performance</i>	We generate information and insight about transport safety through rigorous, evidence-based, and properly focused investigations.
<i>Making a difference</i>	We use information and insight to add to bodies of knowledge about transport safety and influence others in the transport system to improve safety, nationally and internationally.
<i>Organisational health and capability</i>	We build and maintain resilience to environmental disruptions and external shocks.

We generate information and insight about transport safety through rigorous, evidence-based, and properly focused inquiries

3.2.3. As an organisation we must meet high professional standards. Our purpose is to determine the circumstances and causes of occurrences to gain a deep understanding of safety issues in the transport system. We can achieve this only by adhering to good investigative practice. Findings and recommendations emerging from inquiry processes must be robust and credible, and provide confidence as to their veracity.

3.2.4. The first strand of our strategy is to develop knowledge and insight about transport safety through rigorous and evidence-based investigations that are focused where we can make the most difference to transport safety. We will do this by:

- Maintaining our investigation and inquiry processes at international standards.
- Maintaining national and international relationships to help us stay attuned to emerging safety issues, and to maintain professional standards.
- Looking for patterns in occurrence data and in our inquiry findings.
- Using the Commission's resources to best effect.

We use information and insight to add to bodies of knowledge about transport safety and influence others in the transport system to improve safety, nationally and internationally

3.2.5. We are effective only to the degree we can influence participants in the transport system to act. Our findings and recommendations improve safety only if others know about them, accept them, and act to resolve the safety issues we have identified.

3.2.6. The second strand of our strategy is to use our knowledge and insight to influence the transport sector to improve safety. We will do this by:

- Safeguarding our independence and national and international reputation as a credible voice in transport safety.
- Demonstrating our corporate values in our dealings with people and maintaining effective stakeholder relationships.
- Effectively communicating our findings and making them easily accessible.

We build and maintain resilience to environmental disruptions and external shocks

3.2.7. Maintaining our professional standards into the future will be a challenge. The transport system is evolving rapidly and in significant ways, driven by advancing technology. We must continue to be capable of meeting our statutory purpose even as new technologies result in different types of accidents, and demand different investigative techniques. We must always

be ready to manage sudden shocks such as a large-scale investigation or to continue on-going investigations even when a natural disaster occurs.

3.2.8. The third strand of our strategy is to build and maintain resilience to environmental disruptions and external shocks. We will do this by:

- Continually building our resilience programme, emphasising different aspects over time, as circumstances require.
- Regularly assessing our workforce plan to ensure we have staff with the right skills, including research and analysis capability, to support investigations into intelligent systems.
- Monitoring staff engagement.
- Assessing our IT systems and investigative forensic analysis tools to ensure they support investigation of intelligent systems, and analysis of themes and trends in transport safety.

3.2.9. Section 4 discusses further sustaining organisational capability through building organisational resilience.

3.3. How we will measure achievement

3.3.1. We will set out measures of our performance against our strategic objectives in our annual Statement of Performance Expectations, which can be found here on our website: <https://taic.org.nz/about-taic/accountability-documents>.

4. Organisational health and capability

4.1. The Commission as a resilient organisation

2016/17 marked a change in emphasis for our planning

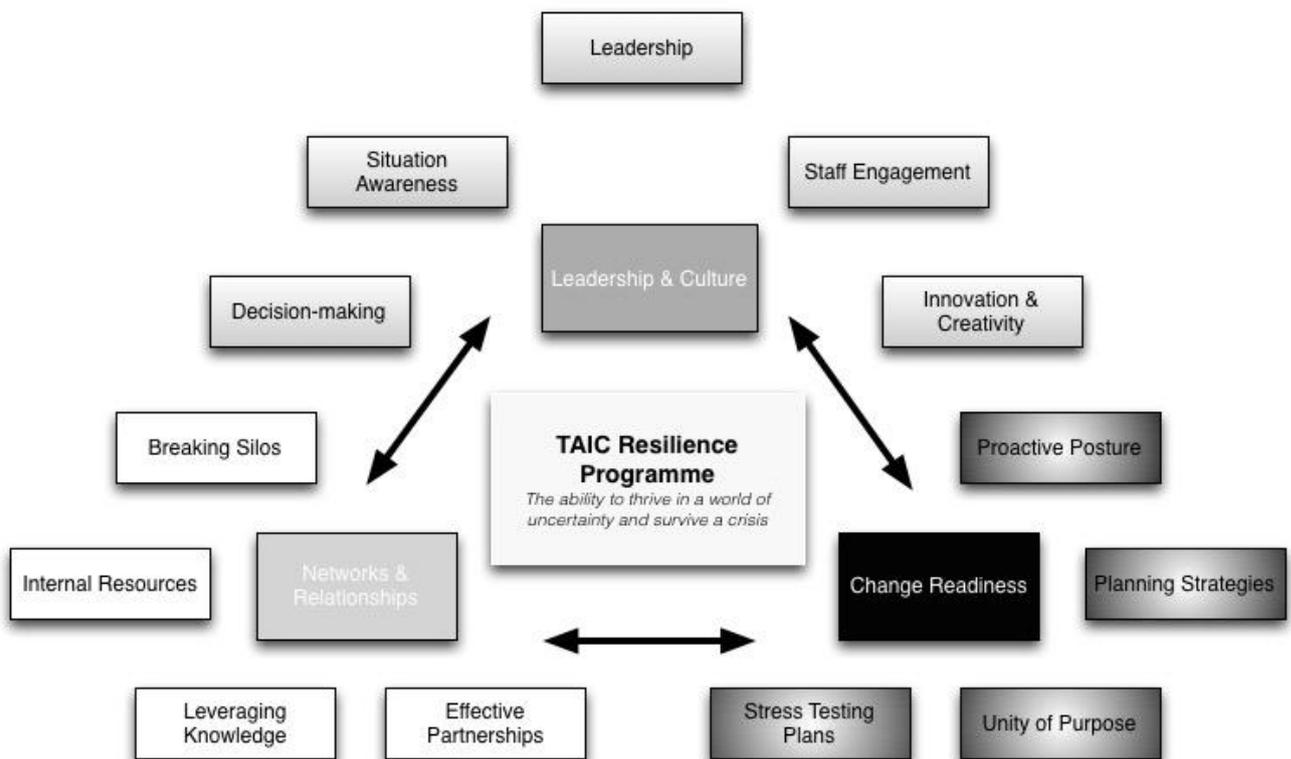
- 4.1.1. The Commission received an increase in baseline funding in 2015/16. The aim of the investment was to allow us to employ more staff and enable us to be more effective in delivering accident investigations that meet the Government and international expectations.
- 4.1.2. The following two years (2015/16 and 2016/17) involved intensive change for the organisation. We focussed on applying the extra funding effectively, and consolidating benefits, including a return to agreed levels of outputs in terms of number of inquiries completed and their timeliness. A change programme had ensured the funds were effectively applied. Some projects begun under the programme have now been brought into the Commission's ongoing operations (such as the workforce plan); other projects were specific tasks related to the new funding, and have been completed (for example, recruitment of new staff).
- 4.1.3. The Commission can now look to the future from a strengthened base and with greater readiness for the next phase of our development. While continuing to ensure we maintain the benefits gained from the 2015/16 funding increase, including delivery of agreed levels of output, the Commission's efforts can now progress to equipping the organisation for the future. How we might achieve this was the planning focus for 2017/18.

Looking ahead, resilience is key to the Commission's organisational health and capability

- 4.1.4. The Commission's overarching aspirational goal is for there to be *No repeat accidents—ever!* supporting the outcome of safer transport. The most significant strategic pressure on the Commission is the technological transformation of the transport system – a transformation that will increase in pace. If we are to continue to meet our purpose, we must adapt and respond, and ensure we have the skills and resources to meet the challenges transformation will bring.
- 4.1.5. Underpinning the need to adapt and respond to changing circumstances is the notion of resilience, a key question for the Commission as we look ahead. This notion of resilience is the precept that has shaped the Commission's strategic plan for the next four years.
- 4.1.6. Critical to developing organisational resilience is having a workforce with the technical and professional abilities required to meet the demands of technological change. But as an organisation we must also have the range of diverse skills and perspectives we need to enact our external and internal values. The Commission strives to be a good employer by meeting our obligations of trust, confidence, and fair dealing in our staff relations; and to have regard for developing diversity in our workforce through our recruitment processes.
- 4.1.7. As set out in this SOI, the Commission's strategic plan for the next four years is to pursue our aspirational goal by working to ensure we:
 - are able to adapt to changes in the transport system
 - are resilient as an organisation
 - can properly identify safety issues
 - can transfer our knowledge and communicate our findings in a way that influences others to act.

The Commission has developed an organisational resilience programme

- 4.1.8. Resilient organisations thrive in a world of uncertainty. They are able to operate even when circumstances place them under stress. The Commission has adopted the framework developed by Resilient Organisations Ltd⁶ as a structure for developing our organisational resilience programme (refer to Figure 3).
- 4.1.9. The framework is centred on three interdependent attributes that build ‘business-as-usual’ effectiveness: leadership and culture, networks and relationships, and change readiness. Associated with each attribute are several indicators, 13 in total. This framework has guided our approach to planning over the period of this SOI, as set out in section 2.3.



Adapted from Resilient Organisations Ltd
<https://www.resorgs.org.nz/about-us/what-is-organisational-resilience/>

Figure 3: The Commission's resilience programme

⁶ Resilient Organisations is a research and consulting group working with organisations, industries, and economies to build resilience.

4.2. Preparing to put our strategic plan into action

In 2017/18 we began working on the first steps in putting our strategic plan into action

- 4.2.1. In 2017/18, as noted, the Commission established the notion of resilience as the foundation of our planning for the period of this SOI. In addition, we took initial steps to give effect to the plan. This included putting in place a Major Accident, Business Continuity and Organisational Resilience Policy. The policy requires a supporting business continuity and major accident resilience work programme to be maintained and delivered. Work on this programme has begun.
- 4.2.2. In anticipation of the expected changes in skill requirements, the Commission has employed a second data recovery specialist (refer to paragraph 1.3.10). We took the first steps towards having all IT services provided from cloud-based platforms.

We have identified the main areas of organisational risk as we face future challenges

- 4.2.3. During strategic planning the Commission identified, at a high level, the challenges posed by the process of adaption and change. These challenges are:
- **Workforce risks in investigation services.** The risk related to investigation skills is that we no longer have the capability to deal with the demands of capturing and analysing evidence in the form of electronic data from intelligent systems. These systems are becoming increasingly common and sophisticated. The Commission has some capability in this area, but capacity is likely to be insufficient.
 - **Workforce risks in research services.** This risk relates to the Commission's ability to monitor and interrogate transport system trend data and indicators. Capability in quantitative analysis would have two main benefits. It would allow us to better direct our resources (that is, to analyse the data to properly identify the most pressing safety issues); and it would allow us to better assess the impact of the Commission's work. The requirement for quantitative capability was identified in the Commission's previous two budget bids, but was not funded. The requirement is now acute.
 - **IT system risks.** The Commission's main IT system is now ten years old and close to being fully depreciated. Replacement systems must be fit-for-purpose and accommodate the demands on the organisation for skills in data capture and analysis.

4.3. Building and maintaining resilience over the next four years

Our priorities for 2018/19 are a review of our workforce plan, and a strategic analysis of our IT systems

- 4.3.1. In the first year of this SOI, 2018/19, the Commission's focus will be on assessing priority areas for strengthening resilience.
- **A review of the workforce plan.** This review will include an assessment of the skills we need to meet the demands of a data-driven and technologically changing environment (including investigation skills and quantitative research skills). We will also consider the skills we need for governance and management of the growing number of requests for assistance under international conventions where we are required to enter into service contracts. The review will consider how gaps in capability are most effectively procured (whether by employment, or contract for services, for example).
 - **A strategic analysis of our information capital and associated assets.** This analysis will review the end-to-end knowledge transfer system for the Commission. It will

include assessing the required hardware and software for holding data and managing it, and changes to related systems and processes; and the skills required for governance and management of service contracts (as it likely the Commission will continue to outsource IT services).

- 4.3.2. Performance measures for these priority areas are included in the Commission's *Statement of Performance Expectations 2018/19*.

The outcome of the assessments in 2018/19 will determine actions for following years

- 4.3.3. In October 2018, the Commission will submit an investment bid to support our strategic direction as outlined in this SOI. This relates to improving information assets and capability to support the improvements in investigation capacity and capability made since 2015. Should the investment bid be accepted, it would take effect from 2019/20.
- 4.3.4. The Commission's strategic direction will remain unchanged after 2018/19, regardless of the outcome of the investment bid; but the specific actions we take to put the plan into effect — and associated performance measures — will depend on the resources available. Accordingly, performance measures will be included in the Commission's annual statements of performance expectations.
- 4.3.5. In broad terms, we will know we have achieved our strategic objectives when:
- we have access to the skills we need to identify and analyse all the critical evidence in an inquiry.
 - the 13 indicators of our resilience programme (see Figure 3) show that the organisation is becoming more resilient. We will concentrate on those areas where attention is most needed. By the nature of the framework, maturity will evolve and be an ongoing process of development.
 - our IT systems are capable of supporting research requirements in terms of data interrogation and analysis, and data holding and management requirements.

TAIC Statement of Intent 2018–2022

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