

Authority Complaints Policy

1. Purpose

The purpose of this policy is to set out the requirements for the Civil Aviation Authority (CAA) to manage and resolve standard complaints to ensure a consistent and direct approach is applied.

2. Scope

2.1 This policy applies to all complaints received by the CAA relating directly or indirectly to its role as a Crown entity, its statutory functions under the Civil Aviation Act 2023, the regulations made under that Act, and the Civil Aviation Rules. This includes:

- Engagement Charter (formerly Service Charter) complaints
- Complaints from members of the public about the provision of Aviation Security Services (AvSec);
- Complaints about invoices issued by the CAA;
- Complaints about regulatory decisions that have been made by the Director of Civil Aviation or his/her delegates; and
- Complaints about the conduct of staff members to the extent that they do not prima facie indicate a breach of the Code of Conduct and/or the Anti-Harassment policy.

2.2 This policy does not apply to Aviation Related Concerns (ARC). ARCs are dealt with by the Assessment, Triage and Coordination team triage@caa.govt.nz.

2.3 Any other complaints that aren't for the CAA, such as complaints about airline customer service or air fares and refunds, will be dealt with by the Advisor System Recommendations and Complaints. This will involve directing the complainant to the appropriate organisation, such as the Commerce Commission in relation to flight refunds.

2.4 There is the potential for crossover between this policy (and its associated procedures) and the Code of Conduct and the Addressing Workplace Bullying, Harassment and Discrimination Policy. There may also be crossover with the Diversity and Inclusion Policy and the Employment Relationship Problems Policy. In some cases, complaints alleging behaviour from staff that fall below the standard required in the Code of Conduct (including bullying or harassment) have the potential to lead to employment action being taken under the

Employment Relationship Problems Policy, if the complaint is upheld.

- 2.5 Complaints alleging a breach of privacy fall outside the scope of this policy and must be referred to the Chief Legal Counsel as Privacy Officer. The Chief Legal Counsel is responsible for ensuring that all such complaints are appropriately investigated.

3. Key responsibilities

Manager Resolutions: is responsible for the delegation of the recording, acknowledging and the general processing of complaints. Most of the complaints will come through the complaint's webpage on the CAA website. The Manager Resolutions will delegate to their advisors who will coordinate with relevant staff a response to a complaint. Where necessary, they will also be able to provide reports to executive management. They will deal with more complex complaints that exceeds the capability of their Advisors.

Chief Legal Counsel: will mainly be responsible for complex complaints and those of a legal nature as expressed throughout this document.

Head of Assurance and Governance: has overall responsibility of the Complaints Policy. They will deal with more complex complaints that exceeds the capability of Manager Resolutions.

Deputy Chief Executive, People and Capability: will be responsible for Human Resources related complaints. In relation to complex complaints the Head of People Operations and the Chief Legal Counsel will collaborate and plan to address the complaint and provide a response.

4. Definitions

Simple complaint: are standard complaints requiring a standard response. These types of complaints need no more than 10 working days to provide a response.

Moderate complaint: are similar to simple complaints but require a little more triaging and require more staff involved to provide a response. These types of complaints need no more than 15 working days to provide a response.

Complex complaint: requires a lot more triaging and more staff involved to provide a response. These types of complaints need no more than 20 working days to provide a response.

5. Requirements

- 5.1 All complaints will be administered in accordance with section 5 of the Complaints Procedure.

6. Measure of effectiveness

The effectiveness of this policy will be measured by:

- All complaints are effectively managed, discussed with the appropriate personnel and complainants responded to within appropriate time frames.
- All received complaints are recorded through the appropriate CAA or AvSec channel.