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## Tier One policies – Code of Conduct Policy and Safety, Health and Wellbeing Policy

For decision:  For noting:

### Te tūtohunga / Recommendation

That the Auckland Transport Board (board):

- a) Approves the updated Code of Conduct Policy (Attachment 1) for adoption and implementation at Auckland Transport (AT).
- b) Approves the retirement of the (now redundant) Discipline and Dismissal Policy.
- c) Approves the updated Safety, Health and Wellbeing Policy (Attachment 2) for adoption and implementation at AT.

### Te whakarāpopototanga matua / Executive summary

1. The Code of Conduct Policy and Safety, Health and Wellbeing Policy (the Policies) have been updated as part of their normal review cycle under AT's Policy Development Framework. Changes were made to the policies to align them to changes in AT's operations, legislation, and external guidance and standards.

### Ngā tuhinga ō mua / Previous deliberations

2. There are no previous deliberations to be considered for this update. The Code of Conduct Policy was last reviewed by the board in November 2019, and the Health, Safety and Wellbeing Policy (to be renamed to the Safety, Health and Wellbeing Policy) was last reviewed by the board in October 2021.
3. The Policies were reviewed and discussed at the Finance and Assurance Committee held on 9 May 2023. The Committee endorsed both policies for board approval, subject to minor adjustments which have been made (see Discussion and Analysis section of this report).

### Te horopaki me te tīaroaro rautaki / Context and strategic alignment

4. AT regularly reviews and updates its policies to ensure that they reflect leading practice, address key risk areas in the organisation and align to Auckland Council direction. Policies that are strategic in nature, have reputational impact or provide direction on important operational activities have been classified as tier one policies. Tier one policies are approved by the board.

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5. The Code of Conduct Policy has been updated with consideration of (and alignment with) the recommendations that were made as part of the independent review of AT's Speak Up programme.

## Ngā matapakinga me ngā tātaritanga / Discussion and analysis

6. Below is a summary of the key changes made to the Code of Conduct and Safety, Health and Wellbeing policies since they were last approved by the board:

**a. Code of Conduct Policy**

- i. AT's values are now expressed in the policy.
- ii. Additional policy principles have been added regarding treating everyone fairly and with respect; compliance with AT policies and procedures; following a fair and reasonable process when investigating or taking action for misconduct or serious misconduct.
- iii. AT's Discipline and Dismissal policy has been incorporated into the policy, as it relates to breaches of the Code of Conduct policy and the principles are aligned. As part of this incorporation, definitions have been updated and made clearer.
- iv. Information has been added regarding raising concerns via Speak Up, the right to support and where to access it, and the investigation principles for investigating misconduct.
- v. Greater clarity is provided around misconduct occurring inside and outside the workplace and working hours.
- vi. Key responsibilities of staff and AT have been strengthened and made more explicit, including bullying and harassment; diversity and inclusion; safety; disciplinary processes.
- vii. Additional grounds for misconduct have been added and now include bringing AT into disrepute on social media; victimising anyone making a complaint or protected disclosure.
- viii. The document has been streamlined and rationalised to have less headings, hyperlinks source information, and updated legislation and policy references.

**b. Safety, Health and Wellbeing Policy**

- i. The policy has been renamed (formerly Health, Safety and Wellbeing Policy) to lead with 'Safety'.
- ii. The policy has been updated to simplify the document and align it Health & Safety Organisational Framework recently endorsed by the Safety Committee.
- iii. It has also been amended to assist with our alignment to ISO 45001:2018 Occupational Health and Safety Systems Standard.
- iv. The policy principles have been consolidated into simplified statements, to make the policy more practical and easier to understand.

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- v. A one-page summary of the policy has been created for display at all AT workplaces (refer to the policy appendix). This is useful as a tool for frontline workers to use as guidance, and it is also a requirement to align with ISO 45001. All three summaries in the appendix have the same content but different designs.
  - vi. Supporting information and documentation has been updated together with links to supporting documents and resources.
  - vii. A non-compliance statement has been added to the policy.
  - viii. Definitions for key terms have been updated to reflect the terminology used in the Health and Safety at Work Act 2015 (HSWA).
  - ix. Roles and responsibilities have been amended to align with requirements under the HSWA.
  - x. Terminology used has been updated to better reflect AT's safety strategy.
7. As noted above, the Code of Conduct policy now incorporates the Discipline and Dismissal policy. This means that the Discipline and Dismissal policy currently in effect at AT is no longer relevant or required. We are therefore recommending that the board approves the retirement of AT's Discipline and Dismissal policy.
8. It is proposed that, if approved by the board, the one-page summaries in the appendix of the Safety, Health and Wellbeing policy will be displayed with the signatures of the Chief Executive and board Chair on them.
9. Minor changes to the Policies were suggested at the Finance and Assurance Committee meeting of 9 May 2023. We have updated the policies based on this feedback:
- a. The Roles and Responsibilities section of the **Safety, Health and Wellbeing Policy** has been amended to include clearer reference to AT's wider safety procedures and standards, and the roles and responsibilities of People Leaders has been added.
  - b. Some of the language used in the Appendix to the **Code of Conduct Policy** to describe examples of misconduct and serious misconduct has been simplified

## Ngā tūraru matua / Key risks and mitigations

10. The updated Policies will help AT to manage and mitigate its key risks of safety, people, and reputation/trust and confidence.

## Ngā ritenga-ā-pūtea me ngā rauemi / Financial and resource impacts

11. Not applicable.

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## Ngā whaiwhakaaro ō te taiao me te panonitanga o te āhuarangi / Environment and climate change considerations

12. Not applicable.

## Ngā whakaaweawe me ngā whakaaro / Impacts and perspectives

### Mana whenua

13. Considered, where applicable.

### Ngā mema pōti / Elected members

14. Considered, where applicable.

### Ngā rōpū kei raro i te Kaunihera / Council Controlled Organisations

15. Considered, where applicable.

### Ngā kiritaki / Customers

16. Considered, where applicable.

## Ngā whaiwhakaaro haumaruru me ngā whaiwhakaaro hauora / Health, safety and wellbeing considerations

17. Considered, as applicable.

## Ā muri ake nei / Next steps


18. If approved by the board, the Code of Conduct and Safety, Health and Wellbeing policies will be published on AT's intranet site along with communications to our people.

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## Ngā whakapiringa / Attachments

Attachment number	Description
1	Code of Conduct Policy
1	Safety, Health and Wellbeing Policy

## Te pou whenua tuhinga / Document ownership

Submitted by	Ryan Marshall <b>Manager Compliance</b> 
Recommended for submission	Rodger Murphy <b>Executive General Manager Risk &amp; Assurance</b> 