



Code of Conduct

Tier 1 Policy

May 2023

DRAFT



1. Policy Statement

AT embraces its values of Tiakitanga – Safe with us, Manaakitanga – We care... Full stop, Auahatanga - Better, bolder together and Whanauungatanga - We connect. These values guide how everyone working at Auckland Transport (AT) behaves towards each other, our communities and our partners. They are at the heart of our culture – who we are as an organisation, and how we serve Aucklanders.

This Code of Conduct (Policy) helps us meet the high standards of integrity, professionalism and ethical conduct that are expected of us. AT aims to provide a safe, enjoyable work environment for all staff (which in this Policy means all employees, People Leaders, contractors and volunteers).

2. Purpose

The purpose of this Policy is to guide behaviour and expectations for the way that we as employees and representatives of AT conduct ourselves whenever we are performing work-related duties, inside or outside normal working hours.

3. Scope

This Policy applies to:

- All AT employees
- AT representatives including:
 - Contractors and consultants
 - Agency temps (in accordance with the terms of their supplier agreement with AT)
 - Staff on secondment from other organisations / agencies
 - Volunteers
- AT Directors

In this Policy, all of the above are referred to as "AT staff"

All agreements for/with all agency staff, seconded personnel, contractors and consultants must contain an express obligation to comply with this Policy.

This Policy applies to the following situations, whether they occur inside or outside of normal working hours/premises (which are not exhaustive):

- When exercising all employment related duties and functions
- When exercising all statutory authorities
- When attending work-related activities, such as events, meetings, or conferences as an AT staff member
- Where an AT staff member represents, or could be perceived to represent AT
- Any activity which could be perceived to negatively affect:
 - the staff member's ability to do their work
 - the reputation of AT or its business dealings with others
 - interpersonal relationships in the workplace



4. Policy Principles

AT staff must:

- Treat everyone fairly and with respect
- Fulfil their obligations with the highest standards of professionalism, safety, impartiality, ethics and integrity
- Perform their duties honestly, faithfully, and efficiently, respecting the rights of the community and colleagues
- Be accountable and trustworthy, and be responsible custodians of Auckland's assets and funds
- Practice and promote AT values to inspire and build trust with the community and colleagues
- Comply with all AT policies and procedures

Whether a breach of this Policy amounts to [misconduct](#) or [serious misconduct](#) depends on the circumstances of each case. AT will follow a fair and reasonable process when investigating and taking [disciplinary action](#) for misconduct or serious misconduct, including giving the staff member the opportunity to respond to the allegations and those responses be considered before making any decision.

Responsibilities and Expectations of AT Staff

All AT staff are expected to:

- Act with the highest standards of honesty, integrity and ethical conduct while on AT business, at off-site locations where AT business is being conducted, at social events or at any other place where AT is being represented
- Familiarise themselves with and comply with all applicable laws, regulations, and AT policies and processes
- Be courteous and professional - treat colleagues and the public with respect and honesty
- Give the highest possible standard of service to all customers and make timely service delivery their main priority
- Always work in the best interests of AT and the community it serves
- Do nothing which results in AT (or any other public authority) being denied revenue to which it is entitled
- Make decisions that AT can and intends to keep
- Ensure supply contracts meet AT's operating and financial requirements and not accept inferior substitute material or equipment solely on the basis that it is commercially or administratively expedient
- Remain impartial and objective when selecting potential employees, particular suppliers, products or services, using judgement based on the best fit for AT's business needs, ensuring that personal bias does not influence the decision
- Declare and manage any actual, potential or perceived conflicts of interest (see [Declarations of Interest Policy](#))
- Not undertake activities (including secondary employment), which could directly or indirectly compromise or negatively affect the performance of their professional responsibilities to AT. (Any secondary employment request should be made through Pa Mai)



- Decline and declare gifts and hospitality in accordance with AT's [Gifts and Hospitality Policy](#)
- Not act in a manner which could potentially bring AT into disrepute, whether outside of the workplace or outside of working hours. This includes acting on behalf of AT or voicing opinions which could be perceived as AT's view, and which undermine public confidence in them as AT employees
- Ensure personal hygiene, habits and dress do not cause offence to others and comply with any health and safety procedures and guidelines
- Avoid behaviour which is rude, threatening, unwelcome or offensive (see [Bullying and Harassment Policy](#))
- Ensure that workplace relationships do not adversely affect the performance of official duties
- Respecting the privacy of individuals when dealing with personal information and maintaining confidentiality
- Not discriminate against any person because of their gender, age, marital status, colour, race, ethnic or national origins, employment status, family status, sexual orientation, ethnicity, disability, religious, political or ethical belief, or union membership
- Be respectful and inclusive of the diverse groups at AT (including the ethnicity, age, gender, experiences, sexual orientation and thinking styles of our colleagues and customers)
- Have due regard for the safety of themselves and others in the use of workplace property and resources

This is not an exhaustive list.

Confidentiality and Information Security

AT staff may have access to information related to AT which is not known to the public or others within our organisation.

All AT staff are expected to comply with the obligations of confidentiality set out in their employment agreements with AT. Examples of the types of information that are likely to constitute confidential information may be set out in employment agreements or contracts. (Please note that any examples given are not exhaustive).

AT staff must take proper care with the accessing, use, exchange, storage and release of any information (whether written or electronically recorded), to ensure that it always remains secure and confidential and is only used for the intended purpose. Any breach of confidentiality will be treated as potentially serious misconduct.

AT staff are personally responsible for safeguarding AT's information assets, in all its forms (including hard copy or electronic form), from loss, inappropriate modification and disclosure to anyone without appropriate authority to access it.

If you are unsure about what an information asset is, or confidential information, or how to treat a document, piece of information or have a query about information generally, you should refer to AT's [Information Security Policy](#) and [Acceptable Use Policy](#), as well as your agreement with AT, and/or seek guidance from the information or data owner, your People Leader or General Counsel.



Use of AT Property

All AT staff are expected to be responsible custodians of AT assets and funds. This means that we take good care of the property or funds that have been entrusted to us.

AT property also means items such as AT motor vehicles, plant and equipment, documents, business information, customer information, AT manuals and processes, office supplies, taxi chits, HOP cards, cash securities, information systems and technology.

All precautions should be taken to ensure that all material and equipment is safe from theft and damage. AT property must not be loaned, borrowed, sold, disposed of or destroyed without express authorisation from a Group Manager or ELT Member.

Any building access card, PIN, key, alarm code, or access to any other security device must be kept secure and not shared with anyone else.

Misappropriating or failing to take reasonable care of AT property, funds, and supplies may result in disciplinary action being taken against employees, up to and including [dismissal](#), or the termination of a representative's agreement with AT.

5. Discipline and Dismissal

Failure to comply with this Policy is considered misconduct and may result in disciplinary action against employees, up to and including dismissal, or the termination of a representative's agreement.

Where an AT representative commits a breach of this Policy, AT may immediately terminate the representative's contract or agreement with AT.

In respect of AT employees, in determining whether behaviour constitutes a breach of this Policy, the following factors will be considered:

- the nature and circumstances of the activity
- the position, duties, and responsibility of the individual
- the consequences of the activity on the ability of the individual to fulfil his or her duties and responsibilities
- the effect of the activity or its consequences on internal or external relationships
- the way similar behaviour has been treated by AT under this Policy
- the effect of the behaviour on AT's trust and confidence in the individual.

Breaches will fall under the heading **misconduct** or **serious misconduct**, depending on the particular circumstances i.e. on an assessment of the facts and the degree of the breach. Behaviour listed in the Appendix as misconduct can be treated as serious misconduct, and vice versa.

Finding Misconduct and Serious Misconduct

AT staff should be aware of the types of behaviour that can constitute misconduct and serious misconduct. Non-exhaustive examples are contained in the Appendices.

All AT staff will be given reasonable notice of any misconduct or performance related meetings. A full opportunity will be given to review information and seek advice and representation at any stage of the disciplinary process.



The People Leader of the staff member, or other authorised person, will work with Culture and Transformation to undertake any disciplinary action. Repeated misconduct (whether of a similar or different nature) is likely to result in escalated disciplinary action.

All disciplinary matters will be:

- Investigated and decided efficiently and promptly (including a decision to [suspend](#))
- Unbiased and impartial, giving the employee a full opportunity to participate in every stage of the disciplinary process

Raising concerns (Speaking Up)

AT is committed to building a respectful work environment where employees feel empowered to speak up. People Leaders must ensure feedback is treated respectfully and appropriately and that information provided to them is shared appropriately.

If any AT staff member believes that the expected standards of conduct, ethics or integrity as outlined in this Policy are not being met, they are encouraged to speak up to their People Leader. However, if an employee is not comfortable to do so, there are several alternative channels in AT's [Speak Up Hub](#), including:

- People Experience Advisors, Culture & Transformation
- Health, Safety & Wellbeing Representatives and Synergi
- Investigations team, Risk & Assurance
- AT's confidential Whistleblower hotline

Support and advice about raising a workplace concern or complaint is readily available via Speak Up (from AT's Wellbeing Consultants and/or external providers)

5. Definitions

Term	Definition
Disciplinary Action	Disciplinary action can take many forms, including verbal, or written warnings, or dismissal. Action short of dismissal should be seen primarily as a corrective measure, aimed at preventing further misconduct or poor performance.
Dismissal	Dismissal occurs when the employment relationship is terminated by AT.
Misconduct and Serious Misconduct	Misconduct refers to a breach of this Code of Conduct Policy and can lead to disciplinary action as defined above. Serious misconduct on the other hand refers to more severe or extreme misconduct that can justify dismissal. These types of misconduct are considered so serious that they undermine the confidence and trust essential to the employment relationship. Examples of misconduct and serious misconduct can be found in Appendix 1 to this Policy.
Summary Dismissal	Summary dismissal is where a person's employment is terminated immediately (i.e., without notice) due to serious misconduct as defined above.



Term	Definition
Suspend / Suspension	Where an employee is required to stay away from work, including to allow AT to investigate allegations of misconduct or serious misconduct where there may be a risk of interference with the investigation or where the employee poses a risk to health and safety. Suspension will generally be on pay unless the suspension is extended due to matters outside AT's control (such as a Police investigation into the employee's conduct) and in general, in consultation with the employee.

6. Roles and Responsibilities

Role	Responsibility
All Employees and Representatives	<ul style="list-style-type: none"> Adherence and compliance with this Policy, and any related procedures and guidelines.
All Group & Department People Leaders and Executive Leaders	<ul style="list-style-type: none"> Promote the principles of this Policy Notify applicable personnel of the requirements of the Policy, procedures and guidelines Ensure that agreements for seconded staff, agency temps, contractors and consultants contain a requirement on them to comply with this Policy
Policy Owner, Culture & Transformation	<ul style="list-style-type: none"> Develop, consult, seek approval of, and implement Policy and aligned processes for the development conduct and integrity guidelines for AT Guide/approve system development to support Policy/process Administer requirements of Policy/process relating to conduct and integrity in conjunction with Risk and Assurance Monitoring and updating of this Policy, procedure, guidelines and rules

AT reserves the right to review, amend or add to this Policy at any time upon reasonable notice to AT staff.



7. Supporting Information

<p>Legislative compliance</p>	<p>This Policy supports Auckland Transport’s compliance with the following legislation:</p> <ul style="list-style-type: none"> • Employment Relations Act 2000 • Health and Safety at Work Act 2015 • Human Rights Act 1993 • Harassment Act 1997 • Local Government Act 2002 • Local Government Information and Meetings Act 1987 • Protected Disclosures (Protection of Whistleblowers) Act 2022
<p>Supporting documents</p> <p><i>These are Procedures, Standards and Guidelines that directly support this Policy.</i></p>	<p>Nil</p>
<p>Related documents</p> <p><i>These are documents that relate to, but do not directly support, this Policy. This may include other Auckland Transport Policies, Procedures and Guidelines, or external materials such as regulatory codes and standards.</i></p>	<p>All AT Policy documents are related to the Code of Conduct Policy, including (but not limited to):</p> <ul style="list-style-type: none"> • Acceptable Use Policy • AT Delegations Manual and Policy • Bullying and Harassment Policy • Diversity & Inclusion Policy • Declaration of Interest Policy • Expenditure Policy • Fraud Policy • Gifts and Inducements Policy • Health, Safety and Wellbeing Policy • Information and Records Management Policy • Information Security Policy • Procurement Policy • Privacy Policy • Project Management Policy

8. Approval & Review Details

Policy Owner:
Executive General Manager
Culture & Transformation

Policy Contact:
People Experience Manager, Operations

Endorsed by:

Approved by:

Chief Executive

Auckland Transport Board

Effective date:

Next review date:

AT reserves the right to review, amend or add to this Policy at any time upon reasonable notice to employees and representatives.



Appendix 1: Examples of Misconduct and Serious Misconduct

This Policy specifies the ethical and professional standards expected of AT staff. To help illustrate these standards the following list provides some examples of behaviours that are not acceptable. This list is not exhaustive. The fact that a certain unsatisfactory behaviour or action is not listed does not mean it is condoned or acceptable.

The seriousness and consequences of any breach of the Policy depends on the circumstances in which it occurs and the impact of the conduct. Breaches will generally fall under the heading misconduct or serious misconduct, the latter being sufficient to justify [summary dismissal](#). However, depending on an assessment of the facts and the degree of the breach, behaviour listed as misconduct can be treated as serious misconduct, and vice versa.

Examples of Misconduct:

Any allegations of potential misconduct may be investigated and could result in disciplinary action being taken, up to and including dismissal. Misconduct may include, but is not limited to:

- Failure to comply with, or any breach of AT's policies, procedures and practices.
- Failure to adhere to protocols or internal housekeeping requirements as stipulated by Team Leaders/People Leaders from time to time.
- Failure to advise (without good reason) as soon as practicable or within two hours of the normal starting time of any lateness or absence for which prior permission has not been obtained.
- Poor timekeeping.
- Failure to be at an assigned workplace during working hours or leaving an assigned workplace without good reason or permission.
- Smoking in a designated non-smoking area.
- Lack of care in the performance of duties
- Refusal to perform a reasonable request to work or follow instructions.
- Failure to report any minor accident or personal injury at work or during work time.
- Failure to report minor damage to AT property or damage caused while on AT business.
- Failure to follow required product handling procedures.
- Dress which is inappropriate to the employee's working environment.
- Failure to maintain reasonable standards of grooming and hygiene.
- Being discourteous to other employees, customers, clients or suppliers.
- Disorderly, aggressive or argumentative behaviour.
- Failure to comply with AT's information technology and communication policies, including unauthorised or inappropriate use of e-mail, internet and mobile phones or excessive personal photocopying or printing.
- Inappropriate conduct in a public place or personal behaviour outside of work which adversely affects AT in its business dealings or reputation.
- Using social media in a way that may damage AT's reputation or image.



Examples of Serious Misconduct:

Any allegations of potential serious misconduct may be investigated and could result in disciplinary action being taken, up to and including dismissal. Serious misconduct may include, but is not limited to:

- Failure to comply with, or any breach of, AT's policies, procedures and practices.
- Harassment, bullying and discrimination (see the Bullying and Harassment Policy). This includes victimising anyone making, supporting, or participating in a process to investigate a complaint or protected disclosure (see the Protected Disclosures Policy).
- Failure to comply with AT's health and safety policies and procedures including notification of hazards, reporting of injuries, wearing and use of safety protection equipment or protective clothing, and failing to follow lawful instructions regarding health and safety.
- Any act or omission that causes injury or damage or adversely affects quality or productivity, including irresponsible use of fire or safety equipment.
- Failure to disclose a work-related accident or near miss incident that had significant potential to cause serious harm to any person.
- Taking, selling, distributing, transferring or being in possession of illegal drugs while at work, on AT premises, or when the employee can otherwise be identified as an AT employee.
- The consumption of alcohol on AT premises (including AT vehicles) or client property during and outside of working hours without management consent.
- Being impaired by alcohol and/or drugs while at work or at a work-related function/activity and/or while operating AT work vehicles or equipment regardless of whether the alcohol use occurred at work or off the job.
- Publishing defamatory statements via public forums
- Leaving an assigned workplace without authority or due cause where safety or security is then put at risk.
- Accessing confidential information for personal gain or personal interest.
- Coercing any AT employee, representative, or supplier to act outside of AT's policies or procedures.
- Unauthorised possession of firearms/dangerous weapons/ instruments or any other illegal item on AT/client/ customer premise/property.
- Disclosure, destruction or unauthorised use of confidential information or work processes, designs or other material produced or published by AT.
- Conduct (including that outside of normal working hours) that brings (or has the potential to bring) the image or reputation of AT into disrepute.
- Misrepresenting authority to act or speak on behalf of AT.
- Accepting or soliciting bribes for the gain or profit of anyone (including personal gain).
- Failure to follow standard cash handling or finance policies and procedures, unauthorised use or handling of funds or AT resources.
- Actions or inaction that puts the operation or security of AT's computer networks at risk.
- Viewing, accessing, downloading, saving, printing and/or forwarding of inappropriate email/internet material such as pornography.
- Unauthorised possession of, use, lending, removal or deliberate damage to the property of AT, other employees, clients or customers.
- Fraudulent behaviour including theft, dishonesty, or being party to fraudulent behaviour by others. See AT's [Fraud Policy](#) for more examples of fraudulent behaviour.
- Failure to notify possible conflicts of interest, secondary employment, personal or third-party relationships which may have an impact on your impartiality, collusion or breaches of confidentiality.
- Non-disclosure of criminal history/convictions as requested on job application forms or falsification or non-disclosure of relevant information on pre-employment information.