



Auckland Transport

HS07-01 Competency and Training

(Procedure uncontrolled when printing)

Relating to Standard: HS07 Competency and Training

December 2016



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1 Background and Purpose

The process set out in this procedure has been developed to determine and assess the required health and safety (H&S) competencies for all roles within Auckland Transport (AT). It is intended to identify the competencies anticipated for each role in AT, and provide a means for determining and prioritising training.

2 Scope

This procedure applies to all AT employees, and suppliers who undertake activities on behalf of AT.

3 Procedure

3.1 Competency

The competency review process has been designed to establish a system through which the competencies of individuals carrying out specified activities are determined, achieved, documented and recorded.

In order to achieve this, the competency process has the following objectives:

- To identify the competencies for all individuals involved in activities having health and safety implications;
- To add to each role description reference to the scope of this competency process;
- To match individuals' existing competencies to those defined through objective assessment of evidence, both direct and diverse;
- To maintain an accurate record of competencies, underpinned by evidence, available for audit; and
- To provide a basis to understand and prioritise training and development needs.

Where an individual's role has only a minor safety or technical content then the competency review may not be required or only involve a short review as part of the employee's role/job review.

3.1.1 Competency Process

The key steps needed to carry out the competency process are:

- Identification of those people requiring specific competency requirements to undertake their role;
- Competency assessment/consideration of evidence;
- Recording of the data;
- Gap action management training programme;
- Assessment review cycle; and
- Record keeping.

The competency of individuals is determined by four criteria: qualifications, experience, knowledge and skills, and is an ongoing process. Managers are required to identify if there is a competency requirement for all their roles and ensure this is captured in job descriptions.

Competency requirements can be assessed on initial employment and then periodically throughout the employee's employment as part of AT's performance development reviews. Any changes to competency are to be updated on the employee's job descriptions or performance development review reports.



Competency reviews can be undertaken through assessing the employee undertaking his/her role, gaining feedback from customers and reviewing overall performance.

Where there is a shortfall between the technical competencies possessed by the individual and the competencies required in this procedure, then the necessary training should be identified on the individual's training and development objectives (as part of the performance development process). H&S training will be provided by the H&S Manager.

3.1.2 Role Descriptions

The H&S sections of role descriptions are to reflect the H&S requirements for the work to be carried out. They are central to the process of assigning responsibilities to individuals and assessing the competency and training needs to discharge those responsibilities.

A role description is to be developed by the manager and individual employee with competencies and training requirements agreed and updated on the employee's job description/role profile.

3.1.3 Re-assessment

An individual's H&S competency shall be re-assessed should their role or responsibilities change and/or annually.

3.2 Training

3.2.1 General Training

AT shall ensure that all employees have the necessary skills and ability to perform work in a safe and competent manner by assessing the training needs of employees, and ensuring that appropriate training and instruction is provided.

Training courses identified by the company will have detailed specifications to learning outcome and levels of competency achieved by the course. Some courses will be mandatory for a specific role; others may be optional (see diagram below). Where a training course or skills group is identified as being mandatory, persons are not permitted to engage in the respective activity or role unless the relevant standard of training has been achieved.

| Competence Detail | Level of Competence |
|-------------------|--|
| Mandatory (M) | Mandatory to undertake this course in order to be competent to perform this role. This will give the ability to undertake the task unsupervised in accordance with required standards; has knowledge and understanding of all aspects to complete the task safely and consistently with standards of AT. |
| Optional (O) | This area of competence is optional, and should only be considered a required training course dependent upon roles and responsibilities e.g. driver awareness training will be undertaken if the driving risk assessment has identified the need. |

Table 1. Competency Training



AT maintains an H&S Training Matrix (accessible through H&S Sharepoint) that provides details of various activities performed by AT employees, and identifies training courses or skill sets required to perform project-specific work activities. These skills may be identified as mandatory or optional depending on the nature of the activity, and relevant legislative requirements.

An H&S training needs assessment should be conducted for all project works. This assessment should include a review of training requirements against the H&S training matrix, and attempt to recognise any additional training needs required.

3.2.2 Assessment of Training needs

A Training Needs Assessment should consider:

- Activities performed by the employee and the environment in which the activity is performed;
- The application and training needs identified in relevant AT H&S standards and procedures;
- Equipment operated by employee;
- Substances used by employee;
- Specific industry and workplace controller induction requirements; and
- Relevant legislative requirements for 'Prescribed Occupations/Certification of Competency'.

3.2.3 Provision of Training

All AT employees who are required to perform activities identified through training needs assessment shall receive the appropriate course of instruction to enable them to perform the activity in a competent manner.

AT supervisory staff shall not under any circumstances direct or ask a staff member to undertake a task which they know the person has not been trained in, or is not competent to perform safely. Employees must not engage in activities beyond their skills and competencies except when under the supervision of a suitably competent person.

All AT employees shall be provided with relevant information to enable them to fulfil specific work related responsibilities. This shall include:

- access to the AT H&S Management System and associated documents;
- all available information necessary to identify hazards, assess risks arising from those hazards, and eliminate or control those risks; and
- providing feedback or information to management regarding specific activities.

Health and safety related training courses (including induction training) developed by AT shall be:

- consistent with adult learning principals; and
- reviewed by a person(s) competent in workplace assessment and training development or similar.

Internal training courses presented by AT will be delivered by persons who are competent in training small groups and workplace assessment and training development, or similar.

This does not include Visitor or Site Specific Induction training courses.

3.2.4 Training Providers

All training providers used by AT shall be experienced, competent, knowledgeable in the topic of training, and capable of providing an industry/organisation specific course. Basic checks are to be undertaken by organisers of training to ensure appropriate trainers are used.

3.2.5 Training Records

Records of participant attendance, competency assessments, and certification (where applicable) for H&S related training shall be maintained by the relevant employee line manager.



3.2.6 Project Specific Training Requirements

Specific induction, training and competency requirements with respect to project works must be specified within Project H&S Plans, and shall be maintained with project documentation, and all records of training/competency must be maintained by suppliers for review by AT or their authorised representative upon request.

Any supplier(s) working on behalf of AT are required to have training and competency levels that are:

- equivalent to that required by an AT employee to do the task (where relevant);
- as per legislative requirements; and
- proportionate with the tasks they are to undertake.

Suppliers must provide evidence of their competency and any training/qualification certificates or proof of attendance to courses prior to undertaking work with AT.

3.2.7 Employee Inductions

All AT employees shall complete the following AT inductions prior to the person(s) commencing work, or as soon as practicable after they enter the AT work area:

- an AT "Employee Induction"; and
- a site or workplace specific induction for each AT workplace in which the person is required to work (as required).

Induction training refreshers shall be provided for all AT employees at intervals not exceeding 2 years.

AT employees may also be required to complete the statutory/industry inductions to access customer/third party sites.

3.2.8 Supplier Temporary (Temp) Worker Induction

Supplier/Temps inductions will be provided to the same level as those for AT employees.

Visitors must sign in to all workplaces and complete an induction prior to accessing the site.

All visitors to AT facilities (excluding AT physical work sites) will be required to:

- Document movements in and out of the work area by completing the Visitor Register;
- Comply with all reasonable instructions issued by AT employees whilst on site; and
- Comply with any site-specific requirements (i.e. wearing of a "Visitor" Badge while on site).

A formal "Site Specific Induction" is required where a Visitor will not remain under the direct supervision of an AT representative throughout the duration of their stay on site.



3.2.9 Induction Records

Records of all induction training shall be maintained in accordance with Table 2.

| Person and Induction Type | Responsible for Co-ordinating Induction Training | Records of Induction to be maintained by |
|--|--|---|
| AT Employee - General Employee Induction | Human Resources | AT training record system |
| AT Employee – Site Specific Induction | Manager / Project Manager | AT training record system |
| Supplier Employee | Supplier/Partner | Records to be maintained by Supplier/Partner and made available to AT representative on request |
| Subcontractor Employee | Supplier/Partner | Subcontractor/Supplier |
| Visitors | Responsible Manager / Person Visiting | On Visitor Register |

Table 2. Description of Induction recording requirements

3.2.10 Prescribed Occupations

All persons undertaking work for which a particular certificate is required must hold the relevant certificate for that occupation.

Any person found performing such work without the relevant certificate of competency will be directed to cease the scheduled work immediately.

A Trainee involved in such work must be directly supervised at all times by a competent supervisor in accordance with statutory requirements.

3.2.11 Suppliers performing work in Prescribed Occupations

All Suppliers performing work for which a particular certificate is required must make their certificate of qualification (or suitable verification of the certificate) available to an AT representative upon request. If the person is unable to produce verification, they are to cease such work until verification of the certificate is provided.



4 Responsibilities

Chief Executive

- Accountable for the organisation's compliance with H&S Policies, Standards and Procedures.
- Allocating resources and accountabilities across the organisation to meet the requirements set out in this procedure.

Divisional Managers

- Ensures competency reviews are undertaken for all roles within their area of responsibility, in particular, those with high risk activity or workplaces are involved.
- Ensures that the technical and safety competence of employees is assessed and gaps identified, addressed and regularly reviewed.
- Provides adequate resource to develop, implement and maintain all employee, contractor and visitor H&S training.
- Implements the requirements of this procedure for their areas of responsibility.
- Allocates sufficient budget to cover all training requirements.

Group Health and Safety

- Advises on the provision of appropriate training and sources of training.
- Reviews and engages H&S training specialists, i.e. advanced driver training providers.
- Communicates details of the training providers and competent training assessors to all employees through a public place, i.e. Sharepoint.
- Maintains the H&S Training matrix, ensures it is reviewed regularly and communicated to all relevant managers.

Managers

- Adheres to and meets all guidelines and objectives stated within this procedure, in particular, undertakes competency and training assessments.
- Ensure employees are competent for their 'at work' activities and tasks.
- All employees are to have a training needs analysis undertaken.
- All employees are to attend the training they require in order to perform their job tasks safely.

Human Resources

- Responsible for maintaining training records.

Workers

- Read, understand and adhere to all requirements set out within this procedure.
- Attend all training identified through assessments or as part of their role.
- Undertake an induction training course within the first week of employment.
- Inform their line manager if they are unable to perform their job tasks due to lack of training, knowledge or competency.
- Cooperate in competency assessments and undertake any agreed actions to fill gaps identified.



5 Other Information

- H&S Definitions (HS01-01-01).
- Full table of Procedures (HS01-01-02).
- Competency and Training Standard (HS07).

6 Document Control

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