



# Health Safety and Wellbeing Roles and Responsibilities Annex Policy (Tier 2)

Version 1.0

January 2022

# 1 Introduction

We believe that manaakitanga (We care...Full stop) and tiakitanga (Safe with us) are essential to ensure we are caring for our employees, AT Partners, and community as part of our everyday routine. It is important that we look out for one another and understand our safety practice roles and responsibilities.

Everyone has a duty of care to themselves and others. In some cases, individuals may hold more than one duty in our workplace. Regardless of whether you hold one or more duties, everyone has a role(s) in delivering Health, Safety and Wellbeing at AT to be healthy and safe in work, life and travel.

# 2 Purpose

The purpose of this policy is to ensure that all people involved with AT - whether a member of the Board, People Leader, AT Partner, Worker or Worker/Visitor - are provided with an understanding of AT safety practice roles and responsibilities. At AT we base these on the Health and Safety at Work Act 2015 (HSWA) and its related regulations across the AT integrated transport eco-system. These also have reference to the AT Health, Safety and Wellbeing Policy, and its Safety Management system (SMS) based on AS/NZ ISO45001 – Occupational health and safety management systems.

# 3 Scope

This policy applies to all entities and persons who hold duties under the HSWA 2015. The HSWA 2015 places duties onto four groups, who are considered duty holders. Each duty holder holds a defined responsibility for health and safety in the workplace.

Duty Holder	Duties
PCBUs	<p>The 'Person Conducting a Business or Undertaking (PCBU)' concept is a key change under the Act. A PCBU is usually an entity rather than an individual. There is a general duty on all PCBUs to ensure, so far as reasonably practicable, the health and safety of:</p> <ul style="list-style-type: none"> <li>• workers working for the PCBU, while the workers are at work in the business or undertaking; and</li> <li>• workers whose activities in carrying out work are influenced or directed by the PCBU while the workers are carrying out the work.</li> </ul> <p>PCBUs must also ensure, so far as reasonably practicable, that the health and safety of other people is not put at risk from work carried out as part of the PCBU's business.</p>
Officers	<p>An officer is a person who holds a very senior leadership position in the business and has the ability to significantly influence the management of a business or undertaking.</p> <p>Officers have a duty of due diligence to ensure their business understands and manages its key health and safety risks.</p> <p>For AT, the Board members as individuals, are all officers of the PCBU. Officers usually delegate the implementation of health and safety policy to the highest management position (Chief Executive), who is responsible for ensuring appropriate management and oversight for the implementation of procedures and practices to ensure obligations and expectations are met. The Board may delegate any of its functions or powers but can never delegate its accountability.</p>

Duty Holder	Duties
Workers	<p>A worker is an individual who carries out work in any capacity for a PCBU. All workers must take reasonable care to ensure the H&amp;S of themselves and others, comply with the PCBU's reasonable instructions, and cooperate with reasonable policies and procedures.</p> <p>For AT, this includes all AT employees and other person(s) conducting a business or undertaking (PCBU's) with overlapping duties as defined in the Health and Safety at Work 2015 Act, i.e. AT's supply chain and wider supply chain - our AT Partners (contractors, subcontractors and suppliers) and their employees.</p>
Other persons at work	<p>Other persons who come to the workplace, such as visitors, casual volunteers and other persons at work, must take reasonable care of themselves and not harm others in the workplace.</p>
Regulator(s)	<p>These include WorkSafe or another designated agency that has been appointed under the HSWA and its associated regulations. For AT, these are WorkSafe NZ, Civil Aviation Authority (Air), Waka Kotahi (Rail), Maritime NZ (Water).</p>

## 4 Policy Principles

AT has defined six key principles that support safety practice roles and responsibilities. One or more of these principles are applied to every individual's work role at AT. Our policy demonstrates how every individual contributes to the safety of everyday work activity.

### **AT delivers a safe system of work**

AT, as a PCBU, and its officers are responsible for ensuring safe systems. These roles facilitate adequate H&S resources, so far as is reasonably practicable, to create workplace conditions where the physical and psychological environments are optimal for Work as Done (WAD).

### **Safety is owned and led by the front line**

Safety management is led and owned at the front line. In our workplaces, safety risks are actively discussed, and Work as Done practices are reviewed regularly for the purposes of continuous improvement.

### **Safety practice is embedded by Leadership**

AT Leadership (at all levels) ensures all operational processes use a safety lens to understand Work as Done. Leaders reinforce and support learning and improvement in business activities on a day-to-day basis. They empower workers to apply principles, frameworks and processes that proactively uncover what has led to success.

### **Working constructively and communicating with AT Partners is constant**

The AT safety eco-system is an organic and complex system where overlapping duty roles and responsibilities should be discussed up front and continually with AT Partners. A continual understanding of overlapping duties and how AT co-operates, consults, and co-ordinates is required.

### **Functional support teams provide coaching and guidance**

Functional teams across AT (e.g. Safety, Culture & Transformation, Risk, Procurement, Governance) support and guideline-led teams to implement best practice procedures and support operational Safety at the front line.

### Accountabilities are clearly defined

All elements of the Safety management system have outlined and defined accountabilities for all levels across the AT eco-system of work. These appear in job descriptions, safety documents and contracts with AT partners. AT identifies specific duties to facilitate compliance requirements or meet legislative requirements. These include the governance mechanisms in place at AT.

## 5 Roles and Responsibilities

Role	Responsibility
AT as a PCBU	<p>Must meet the Duties of the Health and Safety at Work Act (2015) under Section 36 Primary duty of care. AT must ensure so far as is reasonably practicable, the health and safety of its workers and any other workers it influences or directors.</p>
	<p>AT is required to ensure a focus on ‘so far as is reasonably practicable’. In the HSWA and in relation to a duty of a PCBU, ‘reasonably practicable’ means that which is, or was at a particular time, reasonably able to be done in relation to ensuring health and safety, taking into account and weighing up all relevant matters including Section 22 of HSWA:</p> <ul style="list-style-type: none"> <li>(a) The likelihood of the hazard or the risk concerned occurring; and</li> <li>(b) The degree of harm that might result from the hazard or risk; and</li> <li>(c) What the person concerned knows, or ought reasonably to know, about - <ul style="list-style-type: none"> <li>(i) The hazard or risk; and</li> <li>(ii) The ways of eliminating or minimising the risk; and</li> </ul> </li> <li>(d) The availability and suitability of ways to eliminate or minimise the risk; and</li> <li>(e) After assessing the extent of the risk and the available ways of eliminating or minimising the risk, the cost associated with available ways of eliminating or minimising the risk, including whether the cost is grossly disproportionate to the risk.</li> </ul>
	<p>In carrying out the primary duty, AT must ensure at a minimum, so far as is reasonably practicable:</p> <ul style="list-style-type: none"> <li>• the provision and maintenance of a work environment which is without risks to health and safety,</li> <li>• the provision and maintenance of safe plant and structures, and systems of work,</li> <li>• the provision of adequate facilities for the welfare at work of workers while they carry out work for the PCBU including access to those facilities,</li> <li>• the provision of any information, training, instruction or supervision necessary to protect all persons from risks to their health and safety arising from work carried out as part of the conduct of the PCBU, and</li> <li>• that the health of workers and conditions at the workplace are monitored for the purpose of preventing injuring or illness of workers arising from the conduct of the PCBU.</li> </ul>
Officer/Director	<p>Officers of a company are required to:</p> <ul style="list-style-type: none"> <li>• Exercise due diligence to ensure the PCBU complies with its primary duty. Due diligence includes taking reasonable steps to: <ul style="list-style-type: none"> <li>○ acquire and keep up-to-date knowledge of health and safety matters for the PCBU,</li> <li>○ understand the nature of the PCBU’s operations and of the associated hazards and risks,</li> </ul> </li> </ul>

Role	Responsibility
	<ul style="list-style-type: none"> <li>○ ensure the PCBU has appropriate resources and processes to eliminate or minimise risks to health and safety,</li> <li>○ ensure that the PCBU has appropriate processes for receiving and considering information regarding incidents, hazards, and risks and for responding in a timely way to that information,</li> <li>○ ensure that the PCBU has, and implements, processes for complying with any duty or obligation, and</li> <li>○ verify the provision and use of the above resources and processes through reviews and audits. When determining the extent of the due diligence that an officer is required to undertake, the nature of the business or undertaking, the position of officer, and the nature of the responsibilities undertaken by the officer will be taken into account.</li> </ul> <ul style="list-style-type: none"> <li>● Ensure effective governance processes to lead and resource safety at AT adequately.</li> <li>● Approve and monitor the progress of the Safety and Wellbeing strategy.</li> </ul>
Executive Leadership team	<ul style="list-style-type: none"> <li>● Lead and champion safety practices in own teams.</li> <li>● Participate as required in the development, design and implementation of the AT Safety and Wellbeing strategy.</li> <li>● Endorse the AT Safety and Wellbeing strategy for approval by the Board.</li> <li>● Develop Business unit-specific annual plans to implement safe systems of work based on the AT Safety and Wellbeing Strategy.</li> <li>● Ensure progress of safety plans and provide adequate resources (in particular, for people) leadership focus and financial funding to achieve effective implementation of safety in own area.</li> <li>● Understand Work as Done vs Work as Imagined through observation and learning sessions with the front line.</li> </ul> <p>The Executive Leadership team is required to:</p> <ul style="list-style-type: none"> <li>● Review and agree own business unit safety risk profile and critical risks with workers and ensure assurance reviews; continually be curious and discuss safety critical risks and controls of own business unit.</li> <li>● Remove barriers to implement worker-generated solutions.</li> <li>● Monitor and ask for learnings from both retrospective and successful events. Understand and champion insights that can be shared across AT.</li> <li>● Ensure there is frameworks to enable working constructively with AT Partners.</li> <li>● Attain a level of knowledge of (and keep up-to-date with) safety practice requirements and legislation.</li> <li>● Be aware of statutory requirements to ensure changes in process comply with legal requirements.</li> <li>● If deemed an officer, carry out responsibilities as required.</li> </ul>
AT Leaders	<p>AT Leaders are required to:</p> <ul style="list-style-type: none"> <li>● Lead by example, modelling the safety practices and actively discussing everyday work.</li> <li>● Understand the team’s risk profile, critical safety risks and relevant controls for the workplace, and ensure the integration and establishment of learning</li> </ul>

Role	Responsibility
	<p>reviews in the team.</p> <ul style="list-style-type: none"> <li>• Implement the requirements of the safety operational plan in their workplace, including ensuring the annual review of controls or a review of controls after an event, and providing input into the formation of the annual operational plan.</li> <li>• Ensure all events, unsafe practices, conditions and hazards are reported.</li> <li>• Take accountability for learning from events that negatively impact the HSW of their workers and teams. Where applicable, involve relevant SME from relevant functional support teams.</li> <li>• Facilitate everyday learning reviews to learn from successful work, and understand where Work as Imagined processes restrict safe and adaptive Work as Done practices.</li> <li>• Champion change and workers' views where learnings show that processes restrict safe and adaptive work practice.</li> <li>• Support workers' concerns about worker safety and effectiveness of current controls in place.</li> <li>• Empower workers to own safety practices and speak up.</li> <li>• Involve AT partners where there are overlapping duties for safety.</li> <li>• Participate in and attend identified training as directed.</li> </ul>
AT Partners	<p>AT Partners are expected to:</p> <ul style="list-style-type: none"> <li>• Work with AT to ensure ongoing identification of overlapping duties and define how to consult, co-ordinate and co-operate in the H&amp;S relationship.</li> <li>• Keep themselves, their own workers and others safe in the workplace when performing work for AT or on AT premises.</li> <li>• Actively participate in safety conversations on joint hazard identification and risk management processes and assist in identifying better joint or AT controls to work safely.</li> <li>• Speak up about unsafe practices, conditions and hazards, including what AT processes restrict or inhibit safety outcomes.</li> <li>• Be involved in everyday learning reviews to identify success factors and understand where Work as Imagined processes restrict safe and adaptive Work as Done practices.</li> <li>• Communicate safety insights with AT and other PCBU's which can be shared.</li> </ul>
AT Workers	<p>AT Workers are required to:</p> <ul style="list-style-type: none"> <li>• Keep themselves and others safe in the workplace/when performing work.</li> <li>• Actively participate in safety conversations on hazard identification and risk management process and assist in identifying better controls to work safely.</li> <li>• Participate in the delivery of the safety operational plan.</li> <li>• Be involved in everyday learning reviews to identify success factors and understand where Work as Imagined processes restrict safe and adaptive Work as Done practices.</li> <li>• Speak up about unsafe practices, conditions and hazards, what processes restrict or inhibit safety, including safety for AT's partners.</li> <li>• Report HSW events, unsafe practices, conditions and hazards using the defined tools in the workplace.</li> <li>• Keep themselves aware of emergency procedures for any work environment.</li> <li>• Participate in training to develop required skills and competencies.</li> </ul>

Role	Responsibility
	<ul style="list-style-type: none"> <li>• Ensure visitors are responsible for their own safe evacuation.</li> </ul>
AT Safety function	<p>The AT Safety function will:</p> <ul style="list-style-type: none"> <li>• Establish and maintain the overarching HSW policy, standards and supporting procedures and tools that form the Safety Management System (SMS).</li> <li>• Coach, guide and monitor progress of the SMS development, implementation and continued improvement across AT eco-system.</li> <li>• Support line-led co-design processes to develop pragmatic safety practices for front line people.</li> </ul>
AT Procurement function	<p>The AT Procurement function will:</p> <ul style="list-style-type: none"> <li>• Establish and guide teams through the operational safety requirements of the Working with PCBU framework throughout the procurement life-cycle.</li> </ul>
AT Governance function	<p>The AT Governance function will:</p> <ul style="list-style-type: none"> <li>• Establish appropriate forums and governance mechanisms to enable visibility of AT's safe system of work.</li> <li>• Provide channels and forums for Officers to perform due diligence requirements as outlined by the HSWA.</li> <li>• Establish a programme to monitor and learn from outcomes of implemented safety practices across the AT eco-system.</li> <li>• Report on and provide assurance reporting at all levels on AT's Safety risk profile, and its agreed critical risks and controls.</li> <li>• Maintain and create a framework to report on how AT as a PCBU meets its obligations under the HSWA.</li> </ul>
AT Risk and Assurance function	<p>The AT Risk and Assurance function will:</p> <ul style="list-style-type: none"> <li>• Ensure assurance and review of the Safety management system in line with HSWA and best practice guidance as the 3<sup>rd</sup> line of defence.</li> <li>• Where appropriate provide framework, advice and assistance to Safety function and AT business units to fulfil their safety role and responsibilities.</li> </ul>
AT Facilities function	<p>The AT Facilities function will:</p> <ul style="list-style-type: none"> <li>• Establish and implement the operational safety requirements of contractor management, delivery of essential services and maintenance of building assets as defined by the HSWA its regulations, and other related legislation, including property or emergency legislation.</li> </ul>
Health and Safety Champions	<p>Health and Safety Champions will:</p> <ul style="list-style-type: none"> <li>• Be a contact point for workers' feedback or issues by championing Work as Done vs Work as Imagined and other safety practices.</li> <li>• Undertake required training to perform role.</li> <li>• Work with people leaders to help engage workers in participating in the delivery of the H&amp;S operational plan and be involved in learning reviews.</li> <li>• Participate in safety forums.</li> </ul>

Role	Responsibility
	<ul style="list-style-type: none"> <li>Assist with assurance and assist with learning reviews where applicable.</li> </ul>
Building/Fire Wardens, First aiders and other Emergency roles	<p>Building/Fire wardens and other emergency roles will:</p> <ul style="list-style-type: none"> <li>Perform roles as defined in local emergency management plan(s), if appropriately trained, or deliver first aid when own personal safety permits.</li> </ul>

## 6 Definitions

Term	Definition
Health and Safety At Work Act 2015 (HSWA)	<p>The HSWA is the work health and safety legislation in New Zealand. All work and workplaces are covered by HSWA unless specifically excluded. Part 3 of HSWA covers worker engagement, participation and representation.</p> <p>Note: Worker engagement, participation and representation section of HSWA does not apply to volunteer workers.</p>
Person conducting a Business or Undertaking (PCBU)	<p>A PCBU is any entity doing business of any sort in New Zealand. PCBUs are required to ensure, so far as reasonably practicable, the health and safety of workers employed, engaged, influenced, or directed by the PCBU, and the safety of any other person who may be put at risk by work done by the PCBUs. One aspect of this is to get workers involved in the process of risk identification and control.</p>
Officer	<p>An officer is a person who holds a very senior leadership position and has the ability to significantly influence the management of a PCBU. Organisations can have more than one officer.</p>
Overlapping duties	<p>PCBUs that work together will likely share health and safety duties in relation to the same matter. These are known as overlapping duties. This might happen in a shared place of work or contracting chain.</p>
Site/Worksite/Workplace	<p>This means anywhere that workers (employees and non-employees) are working for or on behalf of AT.</p>
Worker	<p>A worker is an individual who carries out work in any capacity for a PCBU. A worker may be an employee, a contractor or sub-contractor, an employee of a contractor or sub-contractor, an employee of a labour hire company, an outworker (including a homemaker), an apprentice or a trainee, a person gaining work experience or on a work trial, or a volunteer worker. Workers can be at any level (e.g. managers are workers too).</p> <p>Note: Worker engagement, participation and representation section of HSWA does not apply to volunteer workers.</p>
Work Group	<p>Work groups are formed to enable workers to elect Health and Safety representatives to represent them on health and safety matters.</p>



Reasonably Practicable	‘Reasonably practicable’ means that which is, or was at a particular time, reasonably able to be done in relation to ensuring HSW, taking into account and weighing up all relevant matters, including likelihood, degree of harm, what is known or ought to be reasonably known about the hazard/risk and ways of eliminating and minimising that risk, the availability and suitability of the elimination/minimisation method and the cost associated.
Regulator	The Regulator is WorkSafe or another designated agency. WorkSafe NZ is the primary health and safety regulator. WorkSafe has a focus to embed and promote good workplace health and safety. WorkSafe carries out workplace assessments, receives and responds to notifications and reported risk or harm, and conducts investigations and prosecutions. Under the HSWA, PCBUs have a legal duty to notify WorkSafe of any notifiable event arising from work.
Designated Agency	These are the government agencies, other than WorkSafe, which have been designated to carry out certain health and safety functions under the Health and Safety at Work Act 2015 (HSWA). The Civil Aviation Authority (CAA), Maritime New Zealand and Waka Kotahi NZ Transport Agency are examples of designated agencies that are part of the AT Safety eco-system.
H&S Resources	<p>There are five types of H&amp;S resources identified at AT:</p> <ul style="list-style-type: none"> <li>• People – focus to understand worker’s psychological, physical and technical capacity to work safely.</li> <li>• Processes – focus to understand the appropriateness of process within the organisation, with regard to current risks, the work and the worker.</li> <li>• Equipment and assets – focus to understand the suitability, sufficiency and fitness of equipment and assets that enable workers to work safely.</li> <li>• Financial resourcing – to understand the impact of financial resourcing on H&amp;S outcomes.</li> <li>• Organisational capability – focus to understand the capability of the organisation to develop greater H&amp;S outcomes.</li> </ul>

## 7 Supporting Documentation

<p><b>Legislative Compliance</b></p>	<p>This Policy supports Auckland Transport’s compliance with the following legislation:</p> <ul style="list-style-type: none"> <li>• Health and Safety at Work Act 2015 and associated regulations</li> <li>• Railways Act 2005</li> <li>• Maritime Transport Act 1994</li> <li>• Civil Aviation Act 1990.</li> </ul>
<p><b>Supporting documents</b></p> <p><i>These are Procedures, Standards and Guidelines that directly support this Policy.</i></p>	<ul style="list-style-type: none"> <li>• Health, Safety and Wellbeing Policy – Tier 1 (July 2021)</li> <li>• HS1002 Health, Safety and Wellbeing Standards (TBC 2022)</li> <li>• HS4000 Working with PCBUs Policy – Tier 2 (Dec 2021)</li> <li>• HS3000 Magnify participation of worker engagement and representation (MPOWER) Policy – Tier 2(TBC 2022).</li> </ul>
<p><b>Related documents</b></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>	<ul style="list-style-type: none"> <li>• AS/NZS ISO 45001:2018 Occupational Health and Safety Management Systems – Requirements with guidance for use.</li> <li>• Health and Safety Guide: Good governance for Directors - IOD</li> <li>• Health and Safety: Indicators and Measures Knowledge Bank – Government Health and Safety Lead (2019)</li> <li>• Health and Safety at Work: Quick reference guide – WorkSafe/ACC (2016)</li> <li>• PCBUs working together: Advice when contracting – WorkSafe (2019).</li> </ul>

## 8 Approval and Review

**Policy Owner:**  
Executive General Manager Safety

**Policy Contact:**  
Head of Safety Design

**Approved by:**



Chief Executive

**Approval date:** 17 January 2022

**Next review date:** January 2023

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

Version	Owner	Reason for Change	Approver	Date Approved
1.0	EGM Safety	New Policy for updated SMS framework. Supersedes H&S Roles and responsibilities (Dec 2016)	Chief Executive	17 Jan 2022

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