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Tier One Policies

For decision:

For noting:

Te tūtohunga / Recommendation

That the Auckland Transport Board (board):

- a) Reviews and approves the updated Fraud and Protected Disclosures Policies for adoption and implementation at Auckland Transport.
- b) Approves the change in classification of the Revenue Generating Advertising Policy from a Tier One (Board approved) policy to a Tier Two (Chief Executive) approved policy.

Te whakarāpopototanga matua / Executive summary

1. The Fraud Policy, Protected Disclosures Policy and Revenue Generating Advertising Policy were recently updated as part of their normal review cycle under Auckland Transport's (AT's) Policy Development Framework. Changes were made to these policies to align them to changes in legislation, changes in external guidance and standards and to also simplify language to make the policies easier to read and understand.
2. A recommendation has also been made to change the Revenue Generating Advertising Policy from a Tier One policy to a Tier Two policy because the content of the policy is not of a strategic nature and does not warrant Board review.

Ngā tuhinga ō mua / Previous deliberations

3. The updated draft policies were reviewed and discussed at the Finance and Assurance Committee meeting of 3 February 2021. The Committee endorsed the Fraud and Protected Disclosure Policies for board approval and have endorsed the recommendation to change the Revenue Generating Advertising Policy from a Tier One policy to a Tier Two policy.

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Te horopaki me te tīaroaro rautaki / Context and strategic alignment

4. AT is reviewing and updating all AT 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 will be approved by the board.

Ngā matapakinga me ngā tātaritanga / Discussion and analysis

5. Below is a summary of the key changes made to the policies as a result of the recent update:

- **Fraud Policy**

- The language of the policy has been simplified to make the document easier to read and understand.

- **Protected Disclosures Policy**

- The policy principles have been updated to incorporate guidance from the Ombudsman's **Protected Disclosures – Guidance on Internal Policies and Procedure** document which was issued in August 2019;
- A policy statement from the Chief Executive has been added to the policy to reinforce AT's commitment to promoting a safe and healthy environment where employees can make disclosures in accordance with this policy.
- The definition of serious wrongdoing has been clarified.
- A new section has been added to outline the protections employees would receive when disclosing serious wrongdoings.

- **Revenue Generating Advertising Policy**

- Adverts banned from being displayed on AT's infrastructure, facilities and services have been expanded to include:
 - Adverts which depict direct or immediate gun violence to anyone shown in the advertisement. This aligns AT's policy to government legislation around assault rifles;
 - E-cigarettes and vaping devices;
- A principle to confirm AT's support of industry standards prohibiting adverts of products containing high sugar or saturated fats within 300 meters of primary or intermediate schools has been added; and
- The policy language has been simplified and streamlined where possible to make the policy easier to read and understand.

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Ngā tūraru matua / Key risks and mitigations

6. These policies will help AT to mitigate fraud and reputation risks across the organisation.

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

7. Implementation of these policies will not require any additional resources.

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

8. N/A.

Ngā reo o mana whenua rātou ko ngā mema pooti, ko ngā roopu kei raro i te maru o te Kaunihera, ko ngā hāpori katoa / Voice of mana whenua, elected members, Council Controlled Organisations, customer and community

9. Please refer to attached policies.

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

10. Please refer to attached policies.

Ā muri ake nei / Next steps



11. The approved policies will be published on AT's intranet and communicated to staff through internal communication channels in due course.

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Te whakapiringa / Attachment

Attachment number	Description
1	Fraud Policy
2	Protected Disclosures Policy
3	Revenue Generating Advertising Policy

Te pou whenua tuhinga / Document ownership

Submitted by	Thembi Nyathi Manager Internal Audit	
Recommended by	Rodger Murphy Executive General Manager Risk & Assurance	
Approved for submission	Shane Ellison Chief Executive	