

STRATFORD DISTRICT COUNCIL



Building Control Quality Assurance Manual

Physical Address: Miranda Street
Stratford

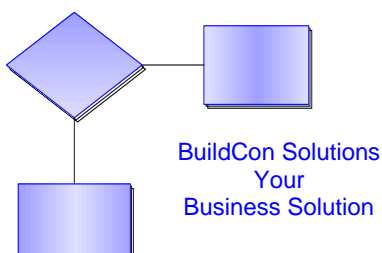
Postal Address: P O Box 320
Stratford

Telephone: 06 765 6099

Fax: 06 765 7500

Email: stratforddc@stratford.govt.nz

Web Site: www.stratford.govt.nz



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Revision History			
Revision No:	Description of Change	Author	Effective Date
	Initial Release	BuildCon Solutions	
1.	Accreditation Application Release	SDC	25/05/07
2.	Update Manual for CARs	BuildCon	7/13/07
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A1 General and Interpretation

Para	Content	Doc. Ref	Reg Ref	BCPM Ref
A1.1	<p>This QA Manual is divided into nine sections:</p> <ul style="list-style-type: none"> A General B Scope C Definitions and Interpretation D Building Control Processes E Staff and Contractor Resources F Organisational Structure and Support G Additional Requirements H Appendices I Forms (Document Register attached) 			
A1.2	<p>Updates to this manual will be made by re-issuing the entire relevant section of this manual and reissuing the table of contents if the page numbering and/or headings have changed.</p> <p>The Revision History page of the Master Copy shall be updated by the Quality Assistant with each update.</p> <p>Personal copies of the manual shall be updated by the person holding the manual. They shall also update the Revision History page of their manual.</p>			
A1.3	<p>Manual format – interpretation of column headings:</p> <p>Para - The sequential paragraph number of this manual</p> <p>Content - Details the specific requirements of the paragraph</p> <p>Document Number – Number given to document referred to in the document register. The absence of a reference number means that there is no corresponding or related paragraph</p> <p>BCPM Ref - The corresponding or related paragraph number of Stratford District Council’s Building Control Procedures Manual</p> <p>The absence of a reference number means that there is no corresponding or related paragraph</p>			
A1.4	<p>This quality manual documents the quality system and demonstrates Council’s ability to perform building consent processing and building inspections and to meet the regulatory requirements of the Building Act 2004 and all associated Building Regulations.</p>			
A1.5	<p>This quality manual establishes compliance with the relevant Department of Building and Housing requirements.</p>		1 5	
A1.6	<p>Unless otherwise stated, reference to <i>Council</i> throughout this manual shall mean Stratford District Council or Council’s building control unit, depending on context.</p>			

Para	Content	Doc. Ref	Reg Ref	BCPM Ref
A1.7	<p>Council's BCA manual system shall comprise three manuals. The hierarchical order of these manuals is:</p> <ol style="list-style-type: none"> i. Quality Assurance (QA) Manual ii. Procedures Manual incorporating a process manual (BCPM) with references to specific Management Policy 		7 5	
A1.8	<p>The QA Manual is primarily a management document comprising quality statements and requirements.</p> <p>The Procedures Manual is the working document detailing the procedures to be followed in undertaking the day to day functions of a BCA.</p> <p>The Management Policies contain guidance and documents that support both the QA, and Procedures Manual.</p> <p>In addition to the this is a forms register comprising the forms, template letters, check sheets, and the like used by Council.</p>		6	
A1.9	<p>The process of obtaining the detail included in this documentation was as follows:</p> <ul style="list-style-type: none"> • Record with individuals and groups the overall process used by Council to carry out its BCA functions. • Map this process onto a flowchart. • Break flowchart into small sections in order to obtain the detail around each task. • Each small section of the flowchart has the equivalent in a word page which includes more detail for undertaking each task. • This is reviewed by all members of staff relating to each task to ensure that the recorded information is exactly as the task is carried out by the relevant person or persons. • Any alterations required are updated. • A further review is undertaken annually by those persons carrying out their task or function. • Identify and forms or documents used in the process of the building control function. • Uniquely identify each form or document and register. • Final documents are prepared and given to all building control staff. • A review of these processes is undertaken by the Quality Administrator on regular basis. 		6	

B Scope**Version 1****B1 Scope This should be read in conjunction with the Management Policy Review of Contractors**

Para	Content	Doc. Ref.	Reg Ref	BCPM Ref
B1.1	<p>Building consent application processing and plan vetting by internal resources shall be limited to being within the limits of the Skills Matrix Appendix E. In general terms this includes industrial buildings not exceeding two storeys in height, housing and commercial buildings and other structures, but excluding those with an occupancy load greater than 100 or are in Fire Hazard Category 4, or in Purpose Groups WH or WF. Fire safety design checks for building within the scope shall be restricted to those buildings designed in accordance with the Compliance Documents.</p> <p>Work outside this scope shall be completed by contracted resources.</p>		9	
B1.2	Issuing of building consents shall be undertaken within the recommendations of the Skill Matrix Appendix E.	App E		
B1.3	<p>Inspection of building work under construction by internal resources shall be limited to buildings 3 storeys or less. However, complex engineering design, and specialist building elements such as lifts shall be excluded.</p> <p>Work outside this scope shall be completed by contracted resources.</p>			
B1.4	Issuing of code compliance certificates shall be unrestricted			
B1.5	Issuing of compliance schedules shall be unrestricted			
B1.6	Issuing of notices to fix shall be unrestricted			
B1.7	The functions and technical scope of activity are detailed in the Inspection Schedule attached as Appendix A . This schedule shall be publicly displayed in Council's offices.	App A		
B1.8	The scope of inspections for each building consent application shall be detailed in the inspection schedule issued with each building consent. Plan vetting required for the issue of a building consent shall cover all building work.			

C	Definitions and Interpretation	Version 1	31/05/04
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C1 Definitions and Interpretation

Para	Content	Doc Ref	Reg Ref	BCPM Ref
C.1	A table of defined terms and/or interpretations used in this quality manual appears below			C1

Term	Definition or Interpretation
Applicant	Means the building consent, or code compliance certificate, or compliance schedule applicant, dependant on the context of use.
Application	Means an application for a building consent or code compliance certificate, certificate of acceptance or compliance schedule, dependant on the context of use.
BCA	Building Consent Authority
BCO	Building Control Officer
BCPM	Council's Building Control Procedures Manual
Contracted Staff	Staff contracted to Council for building control functions. These contractors shall operate in accordance with this manual and the BCPM. For all intents and purposes – not unlike salaried staff.
DBH	Department of Building and Housing
Documents	Deemed to include all text and graphic documents
Inspection	Examination of building consent, and compliance schedule documents, and building work under construction to determine compliance with the New Zealand Building Code (NZBC)
Inspection Body	The body or organisation that undertakes building inspection
NZBC	New Zealand Building Code
Plan vetting	The process of inspection of building consent and compliance schedule documents
Signatory	A person approved by the Territorial Authority to sign statutory building control documents
Sub-Contractors	Professionals or bodies sub-contracted to Council for unique situations like an overflow of work or for specialist activity outside the capability of Council. These professionals or bodies shall be accredited to ISO 17020 or be able to demonstrate to Council that in fact they would meet the requirements of ISO 17020, or operate within Councils accreditation.
Technical Leader	Category 1 and Category 2 structures: Pat Moore Category 3 structures: Andrew Fraser (Red Jacket Consulting Engineers)
Quality Manager	Person who is appointed to ensure that all quality systems are undertaken and maintained. Mike Avery

D	Building Control Processes	Version 1	31/05/04
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**Building Consents- Read in conjunction with:
Alterations to existing buildings policy
Amendments to Building Consents**

Para	Content	Doc Ref	Reg Ref	BCPM Ref
D1.1	<p>A document entitled Guide PIM and/or Building Consent shall be always available at the public reception counter. In addition, this document shall always accompany building consent application forms provided to applicants.</p> <p>The document shall contain guidance information pertaining to submitting an application for consent and the subsequent processing of that consent.</p>	Guide BC-01 BC-02	7	PE1.1 to PE1.6
D1.2	The conditions of engagement upon which Council are engaged by the applicant, are listed in Appendix B .	AppB		
D1.3	Each building consent application shall be allocated, upon receipt, a unique application number generated automatically by Council's electronic building control system.		16	BC 1.2
D1.4	Each building consent application shall be linked directly to the applicable property using the unique property number held by Council's rating database.		16	
D1.5	<p>Immediately following the receipt of the building consent application and initial set up in Council's building control system, the application shall be referred to the BCO for an initial assessment in respect of in-house capability to undertake the review and to allocate staff and contractors as required. This will include identifying the need or otherwise for the application to be sent to the NZ Fire Service. Refer to Council's Procedures Manual for procedural details.</p> <p>Contractors employed by Council shall be first approved by Council as being appropriately qualified and experienced in the type of work and that they operate within the requirements of this manual and the BCPM.</p>		9	
D1.6	Each set of documents accompanying a building consent application shall be subjected to a vetting procedure to ensure that the proposed building work, if built in accordance with the documents supplied, will comply with the NZBC. The document vetting procedure shall be as detailed in the BCPM.		7	
D1.7	Building consent documentation shall be of adequate quality and contain all the information necessary to process the application. The BCPM details the procedure to be followed regarding assessing the adequacy of quality of building consent application documentation.		7	BC1.1 to BC 1.12

Para	Content	Doc Ref	Reg Ref	BCPM Ref
D1.8	Building consent documentation submitted with a building consent application shall be made up into a hard copy file to secure all the documents submitted and to provide protection to the documents from any physical damage. Once the file becomes inactive it shall be filed in the appropriate Council property file.		16	
D1.9	Each building consent project shall be subjected to site inspections during construction to ensure compliance with the compliance documents and/or the NZBC, and the approved building consent and building consent documents. The required building inspections for each building consent application shall be determined (but not limited to) using the Inspection Schedule attached to this manual as Appendix A		7	BI1.1 to BI 1.11
D1.10	Some building work will contain restricted work as defined by the Building Regulations 2005. Restricted building work shall be identified during the initial assessment of all building consent applications. People undertaking restricted building work shall be licensed building practitioners, or supervised by the appropriate licensed building practitioner, and shall be identified in Form BC-06 Application for a Project Information Memorandum or Building Consent. Licensed Building Practitioners shall be checked by Council to ensure that their current status is appropriate for the work in question.	BC-06		
D1.11	The BCPM details the measures to be taken to assure Council that the appropriate inspections have been identified and that the appropriate people will carry out or supervise any restricted building work.		7	BC1.9 to BI 1.11
D1.12	All decisions made during the plan review/vetting process shall be recorded immediately stating: * what decision was made * the basis for the decision * who made the decision * date of the decision * reference material used in making the decision * what if any certificates or reports were accepted to form the basis of the decision. The BCPM details the procedures for recording the plan vetting process.		6	BC 1.3
D1.13	All projects are categorized as A B and C for processing (Refer Skills Matrix p88). Following the vetting of the application the Planning & Regulatory Manager will identify which category the project falls into, 1, 2 or 3 (QM skills matrix) and allocate the application accordingly. The Building Control Officer shall know the categories	BC-67	7	BC 1.4

Para	Content	Doc Ref	Reg Ref	BCPM Ref
	<p>that are within his competence according to the skills matrix (QM). He will pull from that shelf the next available project file for which he has the competency to process. If the selected file has areas that are not within his scope of competency, the Technical Leader shall liaise with the contractor regarding the approval on this area.</p> <p>Upon completion of the plan checking process the building control staff shall undertake the appropriate checks and forward to the signatory for sign off and granting of the building consent. If further information is required while processing the clock is stopped/suspended until the complete information is received. Process clock is then restarted as the process continues. The time frame ends when the decision is made to grant the building consent.</p> <p>The BCPM details the procedure to be followed for granting a building consent.</p>			
D1.14	<p>In the event of there being insufficient information to enable plan processing staff to determine compliance with the NZBC, the application shall be suspended and the process clock stopped. The applicant shall be notified in writing the reason for the suspension and also advised what additional information is required.</p> <p>The BCPM details the procedure to be followed.</p>		7	BC 1.3
D1.15	<p>Upon receipt of all the necessary additional information the process clock shall be restarted and the plan process continued.</p>		7	BC 1.4
D1.16	<p>Upon satisfactory completion of the plan process and documentation the approved signatory shall undertake the appropriate checks and may counter sign off and grant the building consent.</p> <p>The BCPM details the procedure to be followed for granting a building consent.</p>		7	
D1.17	<p>Conditions in terms of the Building Act 2004 shall be attached by the signatory to and form part of the building consent document.</p>		7	
D1.18	<p>All special requirements and/or reminders in relation to building consents, to applicants, shall be in writing and attached to the applicant's copy of the approved building consent documentation.</p>		7	BC 1.9
D1.19	<p>The inspection schedule for each building consent project shall clearly show the types of inspection to be undertaken and what generally is to be inspected during each inspection.</p> <p>The schedule shall also include any special conditions and requirements the applicant should be aware of for each inspection.</p>		7	BC 1.8

D2 Site Inspections and code compliance certificates

This should be read in conjunction with Code Compliance Certificate Management Policy and Alternative solutions Management Policy

Para	Content	Doc Ref	Reg Ref	BCPM Ref
D2.1	As there is only one full time Building Control Officer the Manager assesses each application after which the building inspector assesses the application also in accordance with the outcome of the skills assessment and skills matrix and taking into account the allocation made under D1.13.		9	BC 1.8 and BI 1.1 to BI 1.11
D2.2	Site inspection procedures are detailed in the BCPM.			BI1.1 to BI 1.11
D2.3	Properties and building work being inspected shall be uniquely identifiable by the rate assessment number and building consent number respectively. The unique identifiers shall be allocated automatically by the rating database and building control systems respectively upon receipt of the application.		16	
D2.4	Site inspection data shall be recorded on the inspection checklist and inspection sheet and included in the hardcopy Building Consent file no later than one working day after the inspection was undertaken. The inspection data shall include but not be limited to: * the name of the inspector * date and time of the inspection * result of the inspection * details of decisions made * reasons for decisions * reference material used in making the decision * certificates and/or reports accepted in respect of the inspection * re-inspection required * copies or references to site instructions given * general notes regarding the inspection * any adverse weather conditions	BC-75 BC-38- BC-63	7	BI1.1 to BI 1.11
D2.5	All inspection records shall be searchable and retrievable at any time and shall be directly linked to the specific building consent. Each inspection record shall also be uniquely identifiable by a unique number on the Inspection Sheet.	BC-75	16	
D2.6	Corrections or amendments to inspection records shall be entered as a new record referenced to the record being altered or amended.		16	
D2.7	All site inspections shall be undertaken only by personnel that hold currant warrant for inspection.			

Para	Content	Doc Ref	Reg Ref	BCPM Ref
D2.8	<p>Code compliance certificates shall only be issued by a signatory. Prior to the issue of a code compliance certificate all consent conditions and/or reminders shall be checked for compliance and all previous inspection records shall be checked to ensure compliance and that all re-inspections were carried out.</p> <p>A code compliance certificate shall only be issued if:</p> <ul style="list-style-type: none"> * all previous inspections have passed or related re-inspections have passed. * all documentation accurately reflects what is actually built. * all Notices to Fix have been satisfied * there are no outstanding requisitions 	7	7	BC 1.8 to BI 1.11
D2.9	<p>Items to be inspected must conform to the consented documentation. Any deviations must be reconciled. Minor deviations may be recorded as part of the inspection record. However, major deviations will require an amendment to the building consent and documentation.</p> <p>Guidance as to the definition and acceptance of minor deviations can be found in the BCPM.</p>	7	7	BI 1.1 to BI 1.10

D3 Producer Statements

To be read in conjunction with Producer Statements and Alternative Solution Management Policies.

Para	Content	Doc Ref	Reg Ref	BCPM Ref
D3.1	Producer statements shall only be accepted from professionals that operate in accordance with Council's accreditation and have been approved by Council as appropriate professionals to issue Producer Statements.		7	
D3.2	The Policy Document provides guidance on the acceptance of Producer Statements.			
D3.3	Only staff with the appropriate competence and experience shall assess the validity of Producer Statements. Refer Management Policy - Producer Statements.			

D4 Review Processes / Complaints

Para	Content	Doc Ref	Reg Ref	BCPM Ref
D4.1	<p>Requests or complaints relating to technical matters shall be handled by the Building Control Officer.</p> <p>Other than minor matters all requests and complaints shall be subject to review by the complaints procedure.</p> <p>In the event of the matter in question not being able to be settled the matter shall be referred to the DBH for a Determination.</p>		7	
D4.2	Requests or complaints relating to other matters shall be handled in accordance with the enquiry section of the BCPM and the Complaints section of this document.		7	PE 1.1 to PE 1.6
D4.3	All requests or complaints, other than those minor in nature and are settled immediately, shall be recorded in accordance with the procedures detailed in the BCPM and the Complaints section of this manual.		7	
D4.4	Appeals against the results of inspections shall be handled in the same manner as requests or complaints detailed in D4.1 above.		7	
D4.5	The outcome of all requests or complaints shall be conveyed in writing to the complainant. The process of question or appeal shall also be included in the advice.		7	
D4.6	In the event that a technical matter or an issue in relation to the Building Act 2004 cannot be resolved by negotiation, the complainant, if a party in terms of section 176 of the Building Act 2004, shall be advised to apply to the DBH for the matter to be determined.		7	
D4.7	In reference to D4.6, if the person is not a party in terms of section 176 of the Building Act 2004 the matter shall be referred to mediation.		7	

D5 Design and Continuous Improvement of Building Control Processes

Para	Content	Doc Ref	Reg Ref	BCPM Ref
D5.1	<p>The BCPM shall be reviewed and amended annually so as to be consistent with current industry practices and legislative requirements.</p> <p>In the event of legislative change the BCPM shall be reviewed and amended to comply with the legislative change prior to the change coming into effect.</p> <p>In the event of significant change in the industry the BCPM shall be reviewed and amended immediately to reflect the change in the industry.</p> <p>The review may be undertaken by the Quality Manager or Quality Assistant or by an appropriate contractor qualified and experienced in building controls.</p>			
D5.2	<p>Where applicable guidance documents published or recommended by the DBH shall be used and form part of the BCPM. In the absence of such documents internally defined processes authorized by the technical manager shall be used. These processes shall also form part of the BCPM.</p> <p>All internally defined processes shall be reviewed annually or as defined in D5.1 above.</p>			
D5.3	<p>As part of the annual reviews described in D5.1 and D5.2 above, all instructions, checklists, reminders, reports, certificates, and other documentation shall also be reviewed to ensure that they remain relevant and current.</p>		17	
D5.4	<p>The BCPM and all associated documentation shall always be current and accessible to all staff.</p> <p>Council's document management system is attached as Appendix C</p>		17 17	
D5.5	<p>The BCPM shall be applied consistently by all staff and contractors.</p> <p>Consistent application shall be monitored by but not limited to:</p> <ul style="list-style-type: none"> * staff and contractors witnessed annually performing inspections (includes plan vetting) by an equally qualified and experienced (or better) peer. * training and briefing on changed procedures and/or policies * continuous professional development programmes * regular staff and contractor meetings (at least monthly) * internal audits * correct application of record keeping * individual training records and training programmes 			

Para	Content	Doc Ref	Reg Ref	BCPM Ref
D5.6	<p>Council shall collaborate with other BCAs, in sharing and adopting good practice methods and procedures.</p> <p>Council will participate in regional and national activities.</p>			
D5.7	<p>Council shall continually monitor the wider construction industry as well as building controls to identify risks and means of continuous improvement. This will be achieved by:</p> <ul style="list-style-type: none"> * receiving and reading copies of all relevant DBH publications * monitoring trends in construction methods and systems * monitoring trends in building control procedures and processes * keeping abreast of new materials and systems * keeping abreast of innovation within the industry * subscribing to key industry publications and ensuring staff are aware of the key content of these publications * responding to internal and external feedback 		17	
D5.8	<p>Staff or contractors shall be encouraged to notify the Planning and Regulatory manager of any specific trends, issues, or concerns that they identify which may not have necessarily been previously identified by Council.</p> <p>The continuous improvement form shall be used for this purpose. Refer to the Corrective and Preventive Action System attached as Appendix J</p>		17	

D6 Compliance Schedules

To be read in conjunction with the Code Compliance Certificate Management Practice.

Para	Content	Doc Ref	Reg Ref	BCPM Ref
D6.1	Buildings that require compliance schedules are defined in s100 of the Building Act 2004. The specified systems for compliance schedules are listed in <i>Building (Specified Systems, Change the Use, and Earthquake-prone Buildings) Regulations 2005</i> .	BC-31 BC-32	7	BI 1.1- BI 1.11
D6.2	Generally applications for a compliance schedule will be handled in conjunction with the application for a building consent. The systems and features covered by a compliance schedule are elements of a building and will be subject to a building consent – generally the building consent for the building. However, although the application for the compliance schedule is checked concurrently with the building consent the compliance schedule will only be issued with the code compliance certificate. Council needs to be satisfied that all systems and features, subject to the compliance schedule, are in proper working order at the time the compliance schedule is issued. Compliance Schedule Statement (BC-32) shall be issued by Council.		7	
D6.3	The quality statements, and procedures, in relation to compliance schedules are generally as described in D1 and D2 of this manual.			
D6.4	Application for a new compliance schedule shall be in the prescribed Form 10 of the Building Regulations 2004. Application for the amendment to a compliance schedule shall be in the prescribed Form 11 of the Building Regulations 2004.		7	TA 1.1 BI 1.8
D6.5	Annually, a minimum of 10% randomly selected buildings shall be audited to ensure that their respective compliance schedules accurately reflect the specified systems in the building and that the compliance schedule has been complied with. In addition the audit will include the auditing of the building warrant of fitness document also to ensure that it accurately reflects the specified systems in the building and that it is current and issued in accordance with s108 of the Building Act 2004.			

D 7 Notices to Fix

Para	Content	Doc Ref	Reg Ref	BCPM Ref
D7.1	A building consent applicant's or building practitioner's failure to comply with any verbal or written site instruction shall result in the issue of a Notice to Fix issued in terms of s164 of the Building Act 2004.	BC-15		TA 1.1A BI 1.4
D7.2	Notices to Fix shall only be issued by a signatory and be issued on BC-15 Notice to Fix.			
D7.3	The Notice to Fix shall clearly state what the contravention is and identify the relevant NZBC clause and/or Compliance Document or Building Act section. The notice shall also state what is required to remedy the contravention. However, the notice shall not specify or describe the design of the remedy required.			TA1.1A
D7.4	The applicant or building practitioner shall be given not less than 10 working days, or no more than 25 working days to comply with the Notice to Fix.			TA1.1A
D7.5	Should the recipient of a Notice to Fix require more than 25 working days to comply with a Notice to Fix they should apply to the BCO for an extension of time supported by documented reasons for requesting the additional time. Any reasonable request for additional time should not be refused. The outcome of any request for additional time shall be notified to the applicant in writing within 5 working days of receipt of the request.			
D7.6	The detailed procedure for Notices to Fix is detailed in the BCPM			B! 1.1 –B! 1.10
D7.7	If any Notice to Fix is not complied within the specified time limit the matter shall be referred by the technical manager to Council's enforcement staff to instigate enforcement measures.			TA1.9

D8 Building Warrants of Fitness

Para	Content	Doc Ref	Reg Ref	BCPM Ref
D8.1	Buildings that have been issued with a compliance schedule are required to have a building warrant of fitness (BWOFF) issued in terms of s108 of the Building Act 2004.		7	TA 1.1A
D8.2	<p>Upon the annual anniversary of the compliance schedule the building owner is required to supply to the TA a BWOFF stating that the compliance schedule has been complied with for the previous 12 months.</p> <p>The BWOFF shall be in the prescribed form – Form 12 of the Building Regulations 2004. This form should be accompanied by Form 12A the report from the IQP. (IQPs will be replaced by licenced building practitioners from 30 November 2009)</p>		7	
D8.3	One calendar month prior to annual anniversary of the compliance schedule a reminder and a blank WOF form (Form 12) and a blank report form (Form 12A) are sent to the building owner or building manager.		7	TA1.1A
D8.4	<p>BWOFF forms and associated documentation are checked for completeness and accuracy before filing on the property file.</p> <p>Any inaccuracies or incompleteness shall be referred back to the building owner or manager for rectification. 20 working days will be allowed to have all the documentation rectified and returned to Council</p>			TA1.1A
D8.5	The annual audit of BWOFF forms part of the audit for compliance schedules described in D6.5 of this manual.			
D8.6	The detailed procedure for Notices to Fix is detailed in the BCPM			TA 1.3
D8.7	If any Notice to Fix is not complied within the specified time limit the matter shall be referred by the technical administrator to Council's enforcement staff to instigate enforcement measures.			TA 1.9
D8.8	<p>Upon receiving notification that a Notice to Fix has not been complied with the Planning and Regulatory Manager shall investigate the matter fully prior to deciding what action shall be taken.</p> <p>Offenders shall be given a reasonable opportunity to explain their actions or inaction, or to comply with the Notice to Fix.</p>			TA 1.9
D8.9	<p>Any decision to prosecute offenders shall be first referred to the Planning and Regulatory Manager for approval to proceed.</p> <p>All available information shall be provided to the Planning and Regulatory Manager so that an informed decision can be made.</p>			TA 1.9

D8.10 All decisions to prosecute shall be passed to Council's solicitor to action. A copy of the instruction, to Council's solicitor, shall be forwarded to Council's Chief Executive.

TA 1.9

D9 Certificate of Public Use

Para	Content	Doc Ref	Reg Ref	BCPM Ref
D9.1	An owner, occupier or controller of a building may apply to Council for a Certificate of Public Use, issued in terms of s363A of the Building Act 2004, for the building or a part of the building, if a building consent has been granted but no code compliance certificate has issued. The Council must be satisfied on reasonable grounds that members of the public can use the building or a specified part of the building safely. The certificate shall be in the prescribed form BC-18.	BC-18		TA 1.2
	Applications for a certificate of public use shall be in the prescribed form, Form BC-17.	BC-17		
D9.2	There is a 20 working day timeframe for Council to decide on the certificate, and Council can request further information if required. The provision of the certificate does not relieve the owner from applying for a code compliance certificate when the building work is complete.			TA 1.2
D9.3	In deciding whether to issue a certificate of public use public safety shall be paramount. As a further consideration it shall be determined if the use of the building or a specified part of the building is essential. Economics alone shall not be a determining factor. The prime factor shall be whether the service to the public is essential or of high priority.			TA 1.2
D9.4	Certificates of public use shall be prominently displayed at all times. The certificate may be displayed in more than one location. The certificate shall be displayed at each entry point to the building.			TA 1.2

D10 Illegal Building Work

Para	Content	Doc Ref	Reg Ref	BCPM Ref
D10.1	<p>Council is required to enforce the provisions of the Building Act 2004.</p> <p>Upon discovering building work undertaken without a current building consent Council must consider whether:</p> <p>a) The building concerned is dangerous, earthquake prone, or insanitary in terms of s121, s122, or s123 respectively, of the Building Act 2004 and</p> <p>b) If a prosecution should be brought under s40 of the Building Act 2004</p> <p>Under s 76(1) of the Local Government Act 1974, territorial authorities have powers to inspect buildings which they consider likely to be dangerous or insanitary in terms of s121 of the Building Act 2004.</p>			TA 1.3
D10.2	<p>The existence of illegal building work does not necessarily mean that the work does not comply with the Building Code.</p> <p>Council's objective is to ensure that all building work is safe and that there will not be any adverse effect on people's health or other property. In addition, where it would be unreasonable to have the building work demolished or removed it can be legitimized in some way – generally by the issue of a certificate of acceptance.</p>			TA 1.3
D10.3	<p>Illegal building work deemed dangerous, earthquake prone, or insanitary, shall be dealt with under the respective procedures detailed in the building control procedures manual.</p>			TA 1.6
D10.4	<p>Building owners whose illegal building work is not being dealt with under D10.3 shall be provided with reasonable time, being not less than 10 working days, to provide a solution agreeable by Council to the situation.</p>			TA 1.3 TA 1.4 TA 1.6
D10.5	<p>In the event of continued non-compliance or defiance prosecution proceedings shall be considered. Offenders shall be given notice of such action and given further reasonable opportunity to comply.</p>			TA 1.9 TA 1.10 TA 1.11

D11 Certificate of Acceptance.*To be read in conjunction with the Certificate of Acceptance Management Policy*

Para	Content	ISO 17020 Ref	Reg Ref	BCPM Ref
D11.1	Council may issue a Certificate of Acceptance for building work undertaken without a current building consent or for building work that has been refused a code compliance certificate from another building consent authority. The refusal of a code compliance certificate is deemed to include the situation where a code compliance certificate is unable to be issued by the other building consent authority because it has gone out of business.			TA 1.4
D11.2	A certificate of acceptance is very far from being equivalent to a code compliance certificate. It provides a limited assurance that the Council has inspected the completed building work and found no obvious defects. However, the plans and specifications for that work may have not been checked, and the Council may not have made any inspections during the course of construction			
D11.3	The test “to the best of its knowledge and belief and on reasonable grounds” implies that Council must make a reasonable decision as to what inspections or tests it will make, or require the applicant to make, and must make a reasonable decision on the results of such inspections or tests. The choice of inspections or tests is a matter of both cost and practicality. In making that choice, Council should not overlook the possibility that the building work concerned might be dangerous, earthquake-prone or insanitary in terms of sections 121, 122, and 123 of the Building Act 2004. Such situations shall be dealt with using the appropriate procedures described in the building control procedures manual			TA 1.6
D11.4	Council may issue a certificate of acceptance in respect of partially completed building work. The circumstances must be included in the criteria given in the Council Certificates of Acceptance Policy.			BC 1.0

D12 Dangerous, Earthquake Prone, or Insanitary Buildings

Para	Content	Doc Ref	Reg Ref	BCPM Ref
D12.1	If satisfied that a building is dangerous, earthquake prone, or insanitary, Council may attach a notice warning people not to approach the building, fence off access to the building, and give notice requiring work to be done, by the building owner, to reduce or remove the danger or to make the building sanitary.			TA 1.6
D12.2	The building owner shall be required to apply for a building consent for the building work required to remove the danger or to make the building sanitary. In the event the work is urgent in terms of s41 of the Building Act 2004, the work may proceed without first applying for a building consent. However, the building owner shall as soon as is practicable apply to Council for a certificate of acceptance for the work required to be undertaken urgently.			BC 1.0 TA 1.4
D12.3	The Chief Executive of Council may, by warrant issued under his signature cause any action to be taken that is necessary in his judgment to remove the danger or to fix the insanitary condition of the building in terms of s 129 of the Building Act 2004. Council must apply to the District Court for confirmation of the warrant in terms of s 130 of the Building Act 2004.			TA 1.6
D12.4	If an owner does not comply with a dangerous, earthquake prone, or insanitary building notice, Council, after giving notice of its intention to do so, may apply to the District Court for an order authorising Council to do the work itself and recover its costs from the owner. It is important that all proper procedures have been followed and that all delegations are in place when deciding to take such action.			TA 1.6

D13 Swimming Pools

Para	Content	Doc Ref	Reg Ref	BCPM Ref
D13.1	Section 10 of the Fencing of Swimming Pools Act 1987 requires Council to take all reasonable steps to ensure that that Act is complied with within the Council's district.			TA 1.8
D13.2	Council shall maintain a register of swimming pools within its district. Pools, prior to being entered into the register shall be inspected to check for compliance with the Fencing of Swimming Pools Act 1987. Any non-complying pools shall be dealt with as described in TA 1.8 of the building control procedures manual			TA 1.8
D13.3	A random selection of 10% of the pools entered in the register shall be audited annually to ensure continued compliance with the Act.			TA 1.8

D14 Prosecutions

Para	Content	Doc Ref	Reg Ref	BCPM Ref
D14.1	All offences committed under Acts or Regulations that come under the jurisdiction of Council shall be considered for prosecution. If it is chosen not to prosecute then the matter shall be resolved in some other appropriate way.			TA 1.11
D14.2	All prosecutions shall be approved by the Planning and Regulatory Manager in consultation with the Corporate Management Committee and the Chief Executive.			
D14.3	All prosecutions shall be prepared and prosecuted by Council's solicitor.			
D14.4	Notwithstanding any of the above all defendants shall be given reasonable opportunity to explain why they should not be prosecuted and/or to remedy the situation.			
D14.5	In the event of a matter being remedied part way through prosecution proceedings, consideration shall be given by Council to withdrawing the prosecution proceedings.			

E Staff and Contractor Resources

E1 Staff and Contractor Resources

Read in conjunction with Review of Contractors Policy

Para	Content	Doc Ref	Reg Ref	BCPM Ref
E1.1	<p>Council shall maintain sufficient technically competent staff and contractor levels with the range of expertise and experience necessary to carry out its normal building control functions.</p> <p>Staff members shall undergo an annual skills assessment in order for Council to determine what additional expertise will need to be employed or engaged as a contractor. The skill levels of staff shall be recorded in the skills matrix attached as <u>Appendix E</u>.</p> <p>In addition, current and prospective contractors shall also be required to undergo an annual skills assessment to ensure that the competency level of Council is sufficient to carry out its building control functions.</p> <p>The level of staffing resources is assessed by way of the reporting on the Stratford District Council Long Term Council Community Plan (LTCCP) performance indicators.</p> <p>These include an assessment of:</p> <ul style="list-style-type: none"> • Numbers of building consents being processed and inspected • Types and complexity of building consents being processed and inspected • Processing times • Trends over time in the indicators • External audit recommendations <p>Where LTCCP performance indicators are at risk of not being met then further assessments are made in regard to</p> <ul style="list-style-type: none"> • Use of existing back-up contracts • Other resources available in Taranaki • Any matters raised in Staff Performance Appraisals. <p>A decision will then be made as to whether or not further recruitment is required and the level at which that recruitment is required</p> <p>Sufficient staff levels shall take into account anticipated staff and contractor absences due to annual leave, sick leave, special leave, training days, and time allocated to public good. In addition allowance should also be made for staff members who are involved in the enforcement functions of building control as opposed to functions of a BCA.</p> <p>There should always be sufficient staff and contractors to meet statutory timeframes and to maintain the quality described in this manual and the BCPM. Staff numbers should also take into account workload fluctuations including seasonal activity. People fulfilling one off</p>		8	

Para	Content	Doc Ref	Reg Ref	BCPM Ref
	<p>specialist roles will be backed up in the event of absence or increased workload.</p> <p>Resource levels may be justified based on the following:</p> <ul style="list-style-type: none"> • recent and anticipated levels of construction activity • recent and expected changes to legislative requirements, compliance documents, and codes of practice • trends in building design and construction methods, and systems and products • current and expected numbers and type of building consent applications • the number and type of inspections currently and expected to be undertaken • results of internal and external audits and reviews 			
E1.2	<p>Prompt corrective action shall be taken when workload increases and either service quality or timeliness is at risk. Depending on the nature of the risk long or short term solutions may be put in place. Short term solutions will simply mean implementing back up provisions whereas long term solutions may mean the recruitment of additional resources. These resources may be as salaried staff or contractors. Either way the documented recruitment and induction procedures shall be used. Refer Appendix F</p>		8	
E1.3	<p>Internal audits and supervision shall continue throughout periods of peak workload so that service and work quality can be actively managed.</p>		17	
E1.4	<p>Council shall not only maintain staff and resource levels at the appropriate level but shall also maintain the appropriate skill base across all permanent staff and contractors and where possible only staff and contractors of the appropriate skills and experience should be recruited. However, this will not always be possible. Therefore, the appropriate training requirements will need to be identified and training availability verified prior to the appointment of new staff or contractors.</p>		8	
E1.5	<p>Council shall:</p> <ol style="list-style-type: none"> a) Authorise its building control officers to issue infringement notices under section 372 of the Building Act 2004; and b) If it grants an authorisation it must supply the enforcement officer with a warrant; and c) The warrant must clearly state the functions and powers that the enforcement officer has been authorised to carry out under the Building Act 2004 			TA 1.10

Para	Content	Doc Ref	Reg Ref	BCPM Ref
E1.6	Clause 32 of Schedule 7 of the Local Government Act 2002 applies, with all necessary modifications, in respect of powers conferred by this Act on a territorial authority and its officers.			
E1.7	If an officer of Council or other person is authorised by the Building Act 2004 Act or another enactment to enter private land on behalf of the Council, the Council shall provide a written warrant under the seal of the Council as evidence that the person is so authorised.			
	The production of a warrant issued under section 174 of the Local Government Act 2002 is sufficient proof of a person's authorisation.			
	An authorised person must, if requested, produce the warrant provided under section 174 of the Local Government Act 2002 before entering private land under the authority.			
E1.8	An authorised officer may not enter a household unit that is being used as a household unit without first obtaining the consent of the occupier of the household unit or by an order of a District Court made under section 227 of the Building Act 2004.			
	A District Court, on the application of an authorised officer, may make an order authorising the officer to enter a household unit.			
	This does not limit the power conferred by section 173 of the Local Government Act 2002 which allows Council entry into occupied land or buildings without prior notice in cases of an emergency.			
E1.9	An authorised officer must if they intend to apply for an order under section 227 of the Building Act 2004, give the occupier of the household unit to which that application relates not less than 10 days' written notice of their intention to do so and before they enter a household unit under the authority of an order under section 227, serve the order on the occupier of the household unit to which that order relates.			

E2 Building Officials on Staff

Para	Content	Doc Ref	Reg Ref	BCPM Ref
E2.1	<p>All building control technical staff from 30 November 2013 shall have an appropriate NZ qualification or a foreign qualification recognised as being equal or better than the equivalent NZ qualification.</p> <p>Until 30 November 2013 technical staff shall hold the appropriate trade or professional qualification and have the appropriate building experience.</p> <p>Each position affecting the quality of the functions undertaken by Council's BCA shall be described.</p> <p>The job descriptions shall include but not be limited to:</p> <ul style="list-style-type: none"> * Name the position * State the tenure of the position * Name the position that the position reports to * How many subordinates does the position have * Location of the position * Specific responsibilities * Strategic tasks * Functional relationships * Qualification requirements * Technical knowledge and experience required * Requirements for education and training <p>The job descriptions for each position are attached as Appendix D</p>		18 10	
E2.2	<p>Each employee and contractor shall be assessed to establish the scope of work and inspection appropriate to that individual. This assessment shall be documented by way of a skills matrix that is attached as Appendix E</p> <p>The matrix will show the individuals qualifications and experience in addition to the type of work appropriate to the individual.</p>		10 12	

Para	Content	Doc Ref	Reg Ref	BCPM Ref
E2.3	<p>Effective supervision shall be provided by technically competent people in the following manner:</p> <p>a) <u>Receipt of building consent applications</u> The Service Centre counter staff shall be monitored by Corporate Services manager or such person as agreed by Quality Manager in the receipt of building consent applications with an audit of a random sample of 2% of building consent applications received each month.</p> <p>b) <u>Building consent plan processing</u> The Planning and Regulatory Manager shall monitor the processing of building consent applications by undertaking a full audit of a random sample of 2% of building consent applications received each month.</p> <p>c) <u>Site Inspections</u></p> <p>i. All building officials undertaking inspections shall have completed the appropriate induction training for the types of inspection they will be undertaking</p> <p>ii. An audit of a random sample of 2% of inspections undertaken each month shall be completed by the Planning and Regulatory Manager.</p> <p>iv. Trainee officers shall be directly supervised (accompanied) by a signatory or Planning and Regulatory Manager for each of the inspections that they undertake during their first week of training. Thereafter it will be at the discretion of the signatory or Planning and Regulatory Manager as to which inspections they will accompany the trainee.</p>		10 11 17	
E2.4	<p>In addition to the direct supervision described in E2.3 above, the following shall also be effective supervision:</p> <ul style="list-style-type: none"> * discussions prior to and/or following inspections * reviewing and discussing inspection records * regular audits of files * Informal interviews with staff at strategic times of construction of specific projects. 		11 17	
E2.5	The induction and training scheme is attached as Appendix F			
E2.6	<p>All staff shall be required to participate in continuing professional development activities. A record of participation shall be shown on the staff member's training record.</p> <p>Details of continual professional development are provided in the induction and training scheme attached as Appendix F through the Annual Performance Building process</p>		11	
E2.7	All staff shall be assessed annually by people technically competent and experienced to undertake such		10	

Para	Content	Doc Ref	Reg Ref	BCPM Ref
E2.8	<p>assessments. The individual staff records shall be updated accordingly. The assessment will also identify areas where top up training may be desired or required.</p> <p>Details of the assessment process are in the induction and training scheme attached as Appendix E.</p> <p>Training and professional development shall be adequately funded as a separate budget item. The amount of budget shall be reviewed each year.</p> <p>To assist in budget planning, training and professional development should be planned a minimum of 12 months in advance.</p>		11	

E3 Contracted Building Officials to be read in conjunction with Review of Contractors Policy.

Para	Content	Doc Ref	Reg Ref	BCPM Ref
E3.1	<p>All building control contracted technical staff from 30 November 2013 shall have an appropriate NZ qualification or a foreign qualification recognized as being equal or better than the equivalent NZ qualification.</p> <p>Until 30 November 2013 contracted technical staff shall hold the appropriate trade or professional qualification and have the appropriate building experience.</p> <p>Additional staff shall be contracted by Council for routine plan processing and site inspection work that is outside the competence level of salaried staff. Although contracted to Council these people shall operate within this manual and the BCPM. For all intents and purpose they will be seen as if permanent full time staff.</p>		18	
E3.2	<p>Contracted staff may be used for the following building elements:</p> <p>Plan Processing:</p> <ul style="list-style-type: none"> • Structural engineering • Fire safety and design outside the scope of the Compliance Documents • Specialist building elements such as lifts <p>Site inspection:</p> <ul style="list-style-type: none"> • Complex structural engineering • Specialist building elements such as lifts 		8	
E3.3	<p>From time to time additional specialist professionals will need to be contracted for the less frequent building elements (lift installations for example). These professionals should either be accredited in their own right (perhaps another BCA), be able to demonstrate to Council that they meet the requirements of accreditation or will be engaged in accordance with the DBH rules for engaging specialist contractors.</p> <p>Engagement of specialists in this type of situation shall be in accordance with Council's "Procurement Policy" attached as <u>Appendix G</u></p>			
E3.4	<p>Contractors that do not work from the Council office shall provide records or reports that include all calculations, observations and decisions that are critical to the outcome of the plan vetting process.</p> <p>The Technical Manager shall assess these documents to ensure that they comply with the accreditation and performance requirements.</p>		8	

E4 Sub-Contractors

Para	Content	Doc Ref	Reg Ref	BCPM Ref
E4.1	<p>Council shall normally undertake all inspection work within its scope of accreditation. However, sub-contractors may be used by Council in the event of peak workload that cannot be adequately handled by normal resourcing.</p> <p>Sub-contracting of work shall apply to plan vetting only. Site inspections shall be undertaken by permanent staff or contractors as normal.</p> <p>In sub-contracting work the entire building consent application shall be handled by the sub-contractor. This is to eliminate the need to draw any demarcation lines and therefore remove any doubt as to who inspects what.</p> <p>Sub-contractors shall be accredited organisations (other BCAs) or have been assessed by Council as able to operate within Council's accreditation. Details of such assessment shall be retained by Council.</p> <p>Engagement of sub-contractors in this type of situation shall be in accordance with Council's "Procurement Policy" attached as Appendix G</p>		8 9	
E4.2	<p>The sub-contractor shall provide records or reports that include all calculations, observations and decisions that are critical to the outcome of the plan processing process.</p> <p>The Planning and Regulatory Manager shall assess these documents to ensure that they comply with the performance requirements.</p>			
E4.3	<p>Sub-contractors shall be accredited organisations (other BCAs) or have been assessed by Council as able to operate within Council's accreditation. Details of such assessment shall be retained by Council.</p>			

E5 Information Resources

Para	Content	Doc Ref	Reg Ref	BCPM Ref
E5.1	<p>Council shall maintain technical and compliance library of construction information. The Web based documents are the main source of reference. This information shall include but is not limited to:</p> <ul style="list-style-type: none"> * Building Acts 1991 and 2004 * Building Regulations 1992, 2004, and 2005 * NZBC * Compliance Documents * All relevant Standards, Codes of Practice, and technical literature * DBH guidance information and other publications * BOINZ Code of Practice <p>The technical library shall be maintained in accordance with Council's document control system attached as Appendix C.</p>		14	

E6 Facilities and Equipment

Para	Content	Doc Ref	Reg Ref	PM Ref
E6.1	<p>Council shall provide and maintain suitable and adequate facilities and equipment for all building control staff.</p> <p>Facilities include:</p> <ul style="list-style-type: none"> * Suitable and adequate office space * Computer, photocopying and fax facilities * Adequate supply of stationery <p>Equipment shall include:</p> <ul style="list-style-type: none"> * Suitable vehicles for rural and urban construction sites * Measuring equipment * Moisture meter * Safety equipment 		14	
E6.2	<p>Equipment used shall be managed in accordance with Council's equipment management policy attached as Appendix H</p>		14	

E7 Record Systems

Para	Content	Doc Ref	Reg Ref	BCPM Ref
E7.1	<p>Council's building control data management is electronic and is managed internally. This system is linked to Council's property database, to enable the unique identifiers (property number) of property to be used with building control data.</p> <p>Computer systems are backed up each night.</p> <p>Data, as hard copy, is filed in a building consent file and filed in the appropriate Council property file. These files are filed chronologically by property ID number order.</p>		16	
E7.2	<p>Council files are required to be continually live. Therefore, all electronic files are stored on built-in hard drives so as to be always accessible by staff with the appropriate security level access.</p> <p>Property files are generally retrievable using the valuation number and building consent files by using the building consent number. A search of other known data is also possible in order to retrieve the required information.</p>		16	
E7.3	<p>Existing plan vetting or inspection records are not permitted to be altered or amended in any way. Existing records need to be retained for historic reasons. If there is a justifiable reason to alter or amend a record, a new record shall be generated for the alteration or amendment referencing the record requiring to be altered.</p>		16	
E7.4	<p>All documents that form part of a building consent application shall be identifiable by the building consent number. The building consent number shall be written on the front sheet of each individual set of documents. The building consent unique identifier number is yy/aaa where 'y,y' is the year and 'aaa' is the consecutive number of the application for that year.</p>		16	
E7.5	<p>Reports and records supplied by contractors or sub-contractors shall also be identified by the building consent number and stored either electronically or as hardcopy (whatever the case may be) in Councils recording or filing system.</p>		16	

Para	Content	Doc Ref	Reg Ref	BCPM Ref
E7.6	<p>Building consent and inspection records shall include but not be limited to:</p> <ul style="list-style-type: none"> * consent application and plans * name of officer or contractor undertaking inspection * elements of the work being assessed * any additional information that was requested from the applicant * decisions made and the reasons or justification for those decisions * building stage, elements inspected, and date inspected * observation notes and/or photographs * any omissions shall be listed * equipment used * result of inspection * any other relevant information if applicable like adverse weather conditions for example. 			
E7.7	<p>All building consent records shall be retained for the life of the building and shall always be accessible (except elements that are confidential or intellectual property) by the public.</p> <p>Records of buildings which are destroyed or demolished shall be retained in the property file for historic purposes.</p>		16	
E7.8	<p>The Corporate Vision database has proven to be reliable and its integrity not compromised in any way.</p> <p>The system shall be maintained on site by a dedicated information technology (IT) person.</p> <p>Reading of routine management reports by the Planning and Regulatory Manager shall also double as a check on the integrity of the data recorded.</p>			
E7.9	<p>The Corporate Vision database has been rigorously tested and validated before use. Testing and validation data and information is available from the supplier.</p>			
E7.10	<p>The electronic system is backed up daily, kept in the administration fire proof safe.</p> <p>Monthly and yearly backups are carried out and stored in a fire proof safe off site at Prospero Place Stratford.</p>			

F Organisational Structure and Support

F1 Independence and Integrity

Para	Content	Doc Ref	Reg Ref	BCPM Ref
F1.1	<p>Staff shall be free from any commercial, financial, political, or other pressures that might affect their independence.</p> <p>In the event of any staff being subjected to any undue commercial, financial, political, or other pressures, which may affect their judgment they shall follow the following procedure:</p> <p>Refer complaints procedure within this manual.</p>			
F1.2	<p>Staff may consent Council owned buildings providing all consenting staff are independent of staff involved in the design, project management and construction of the building.</p> <p>Staff shall not be involved in consenting or inspecting any buildings that they, or their immediate family members have an interest in as designers, builders, owners or occupiers.</p> <p>If there is no other staff member that has the competence and authority to undertake the work, this may be undertaken but noted clearly on the file and countersigned by the staff member's manager. The work should be peer reviewed by another BCA.</p>			
F1.3	<p>The remuneration of staff shall not be dependant on the volume of work or outcome of consents and inspections completed by the individual staff member.</p>			

F2 Organisation and Management

Para	Content	Doc Ref	Reg Ref	BCPM Ref
F2.1	<p>Council is a statutory body established under the Local Government Act 2002. As a requirement under the Building Act 2004 Council is required to perform the functions of a building consent authority (BCA) within its district. To adequately perform those functions described in the Building Act 2004 Council will have arrangements in place or engage specialist contractors, as per this manual, to carry out on its behalf the inspections unable to be carried out using in-house expertise.</p> <p>Council shall co-operate fully with the local Regional Council in terms of section 14 of the Building Act 2004.</p>			
F2.2	<p>Appendix I contains an organisational chart that clearly defines the functions and lines of authority for staff and the relationship of the inspection body with the remainder of Council.</p>		15	
F2.3	<p>In the first instance the Planning and Regulatory Manager, assisted by the Building Control Officer, shall have the qualifications, experience, and current competence sufficient to manage the operation of the inspection body and has responsibility to ensure that all inspection activities are carried out in accordance with this quality manual and the BCPM.</p> <p>The technical leader's role shall be filled by Pat Moore (for Building Categories 1 and 2) and Andrew Fraser (Red Jacket Consulting Engineers) (for Building Category 3)</p>		13	
F2.4	<p>Athol Cheyne shall deputise in the absence of the technical leader</p>		13	
F2.5	<p>Attached as Appendix D are the job descriptions for each of the positions in Council's building control unit, including management, inspectorate and clerical staff.</p>		15	
F2.6	<p>Managers and supervisors shall be allocated sufficient time to devote to adequately fulfill their management duties. This time shall allow them to effectively and impartially manage their respective areas. In addition problems shall be promptly resolved, and improvements to service delivery made as necessary.</p>		13	
F2.7	<p>Council's building control unit shall have adequate administrative and support services for its typical workload. Technical staff should not normally be involved in administrative or support work. It shall be the responsibility of the respective managers to ensure that there are back up services available in the event of staff absences and leave. Suitably qualified persons are available within Taranaki to provide these.</p>		13	

Para	Content	Doc Ref	Reg Ref	BCPM Ref
F2.8	<p>Any service not provided by the building control unit shall be managed with a service level agreement or contract. The service level agreements or contracts shall contain but be limited to:</p> <ul style="list-style-type: none">* the service being provided* the role of the staff or organisation* the standards to be met* any training requirements and procedures* quality assurance measures* corrective action procedures* problem resolution procedures* time frames if applicable* contact personnel and details		12	

F3 Quality Systems

Para	Content	Doc Ref	Reg Ref	BCPM Ref
F3.1	<p>Council is committed to achieving a level of quality which meets or exceeds customer's expectations, complies with the Building (Accreditation of Building Consent Authorities) Regulations 2006, the Building Act 2004 and all relevant regulations and Compliance documents.</p> <p>Council shall ensure that it is understood and implemented by all staff through regular coaching under the direction of the Quality Manager.</p> <p>The quality objectives of Council are referred to in Staff Handbook (attached).</p>		17	
F3.2	<p>In support of the quality policy detailed in F3.1 Council shall operate an effective quality system appropriate to its building control functions and the volume of work undertaken by Council. Aspects of the quality system are described in this manual and the BCPM.</p>		17	
F3.3	<p>This quality assurance manual documents the quality system of Council. This manual is supported by Council's BCPM.</p> <p>This quality manual documents Council's quality and relevant Management policy statements and criteria for undertaking the functions of an inspection body. The BCPM describes the procedures and processes to be followed in undertaking these functions.</p>		17	
F3.4	<p>The Planning and Regulatory Consents Administration Officer shall be the quality assistant the BCA functions. The quality assistant shall have sufficient delegated authority to fulfill the role of quality assistant and shall take responsibility for the quality control of Council.</p> <p>The quality manager shall be the Planning and Regulatory Manager, Mike Avery. The organisational chart in Appendix I shows the relationship of the quality manager.</p>		13	
F3.5	<p>Council's quality system shall be maintained relevant and current by the quality manager.</p>		17	
F3.6	<p>Council shall maintain a system of control of all documentation in relation to the functions of a building consent authority. The document control system shall be documented and is attached as Appendix C.</p> <p>The document control system shall be always accessible by all staff.</p> <p>The system shall describe the authorization process for updating and replacing superseded documents, archiving documents, and notifying staff of the changes.</p>			
F3.7	<p>Prior to the anniversary of gaining accreditation Council</p>		17	

Para	Content	Doc Ref	Reg Ref	BCPM Ref
	<p>shall arrange an internal audit using an organisation or person independent of Council's building control functions. The internal audit shall be designed to confirm, but not limited to, the following:</p> <ul style="list-style-type: none"> * documented procedures have been implemented effectively * the validity and consistency of building consent and inspection decisions * compliance with accreditation * the overall effectiveness of the quality system <p>The Internal Audit System is attached as Appendix M</p> <p>The results of the audit shall be recorded and retained for a period of 10 years.</p>			
F3.8	<p>The audit shall be undertaken by people familiar with audit procedures especially those with a technical element. In addition, people undertaking the audits should be familiar with building controls.</p>		17	
F3.9	<p>Any corrective measures identified by the audit shall be implemented as soon as is reasonably practicable. This manual and the BCPM shall be amended if necessary.</p>		17	
F3.10	<p>Councils corrective and preventative action system is attached as Appendix J</p>		17	
F3.11	<p>Council's BCPM details the procedures and processes carried out by Council as a BCA. This includes quality system processes.</p>			
F3.12	<p>During the first year of the first accreditation cycle two management reviews shall be undertaken to assess the appropriateness and effectiveness of Council's performance, and quality system. Subsequent years shall be subject to annual management reviews unless advised differently by the accrediting body or DBH.</p> <p>The review can be undertaken at the same time as the internal audit.</p> <p>Management reviews shall include but not be limited to consideration of the following points:</p> <ul style="list-style-type: none"> * work volumes and service levels * staff availability * service levels achieved * summaries of quality audits * compliments and complaints * implementation of projects * corrective and preventive actions required * recruitment, induction, training and professional development * staff retention * analysis of the above data to identify trends or common causes of system failure * assess the effect of change in building designs and methods, consent volumes and changes to legislative requirements. 		17	

G Additional Requirements

G1 Additional Requirements

Para	Content	Doc Ref	Reg Ref	BCPM Ref
G1.1	Council is legally identifiable in terms of the Local Government Act 2002.			
G1.2	The building controls unit (the inspection body) is part of Council and is readily identifiable within the organisation. The LTCCP of Council clearly identifies the building controls unit. The organisational chart of Council is attached as Appendix I			
G1.3	The building controls unit's liability insurance is assumed by Council. Liability insurance cover is provided by Risk Pool. Details of the insurance cover are attached as Appendix K			
G1.4	The building control units accounts form part of the accounts of Council and are independently audited as part of the audited accounts of Council. Copies of the audited annual accounts are available in the Annual Report of Council.			

Para	Content	Doc Ref	Reg Ref	BCPM Ref
G1.5	<p>Council and its employees and contractors shall comply with the following requirements regarding confidentiality:</p> <ul style="list-style-type: none"> • Employees and contractors shall not disclose to any person, or make use of, any information or material regarding personal details of any employee or contractor that has been obtained during the course of their employment or engagement with Council. • Employees or contractors shall not remove or copy any confidential, or commercially sensitive and commercially valuable information, including client / customer information, from Council's premises without the consent of Council. • The restrictions contained in the preceding two clauses do not apply to: <ul style="list-style-type: none"> i. The use or disclosure of such information in the normal course of the employee's or contractor's duties; and ii. Information which has already become public knowledge other than as a result of a breach of this clause by the employee or contractor. • Employees or contractors shall not at any time or for any reason, whether during the term of their engagement or after its termination, use or disclose to any person any confidential information relating to information, or trade secrets of Council except so far as may be reasonably necessary to enable the employee or contractor to fulfill their obligations under their engagement. • Employees or contractors shall not use any confidential information relating to Council's business, or information gained through their engagement, to their own benefit, as distinct from the benefit of Council. <p>Employees or contractors shall not use or attempt to use any confidential information in any manner, which may injure or cause loss whether directly or indirectly to Council.</p>	5.0		
G1.6	<p>Council shall provide guidance for the conduct of staff and contractors. Council's code of conduct is attached as Appendix L</p>	8.5		

Appendix A**Inspection Schedule**

Inspection Schedule for Stratford District Council			
Address: Miranda Street P O Box 320 Stratford Telephone: 06 765 6099 Fax: 06 765 7500 Email: stratforddc@stratford.govt.nz		Contact Person: Mike Avery Planning and Regulatory Manager Type of Inspection Body: C	
Field of Inspection	What is Inspected	Stage of Inspections	Conformance Specification
Plans and specifications in respect of all building consent applications	All plans and specifications associated with all building consent applications	Inspection undertaken prior to the granting and issue of a building consent or amendment to a building consent	Inspections are to determine compliance with the New Zealand Building Code (NZBC). In many instances the inspection will be to determine compliance with the Compliance documents which are deemed to comply with the NZBC.
On site building inspections	All building work prior to the permanent covering up or closing in of any— (i) Drainage, plumbing, gasfitting, or electrical work; (ii) Excavation for a foundation; (iii) Reinforcing steel for all concrete work; (iv) Timber required to have a specified moisture content; (v) Final inspection (vi) Any other building work in respect of which such notice is required as a condition of the building consent.	Prior to the permanent covering up or closing in of any building work required to be inspected. In addition a final inspection of completed building work shall be undertaken to determine final code compliance.	Inspections are to determine compliance with the NZBC. In many instances the inspection will be to determine compliance with the Compliance documents which are deemed to comply with the NZBC.
Compliance Schedules	All information required and provided in respect of a compliance schedule to be issued in terms of s102 of the Building Act 2004	Information inspected at the time the building consent application is processed or when an amendment to a compliance schedule is received. The compliance schedule shall be issued with the code compliance certificate	Inspections are to determine compliance with building consent approved documents
Notice to Fix	A Notice to Fix shall be issued for all significant non-compliance with the NZBC or Building Act 2004	Issued upon the discovery of non-compliance with the NZBC or Building Act 2004	Notices to Fix shall be issued using Form 13 from the Building Regulations 2004 in accordance with s164 of the Building Act 2004

Appendix B

Conditions of Engagement

Building Consent Applications

1. The following conditions of engagement shall apply:
 - i. Each building consent application shall be on the prescribed *Application for a Project Information Memorandum or Building Consent* (either BC-04, BC-05, BC-06 or BC-36, depending on what the application pertains to)
 - ii. Two copies of all documentation shall accompany each building consent application
 - iii. The documentation shall comprise:
 - * Full plans, drawn to acceptable scales, and specifications including adequate information for all applicable systems and features
 - * Design calculations
 - * Notification of Licensed Building Practitioners where applicable
 - * Copy of PIM if issued
 - * Any other documentation required by s45-47 of the Building Act 2004
 - iv. A copy of the certificate of title or sale and purchase agreement or other approved documentation (to prove ownership or impending ownership of the land) shall accompany each building consent application
 - v. A deposit in accordance with Council fee schedule as published in the LTCCP and Fees and charges Directory shall be payable with each building consent application at the time of lodging the application
 - vi. Council shall grant a project information memorandum (PIM) within 20 working days. However, should additional information be required in order to issue the PIM the time shall be suspended. Once the additional information is received the PIM shall be issued within 10 working days of receipt of the additional information.
 - vii. Council shall grant the building consent within 20 working days commencing from the time the application complies with section 45 of the Building Act 2004.

On Site Building Inspections

1. The following conditions of engagement shall apply:
 - i. Payments for inspections shall be prepaid upon uplifting the building consent. Prepaid inspections not undertaken shall be refunded and any additional inspections shall be invoiced upon completion of the inspection
 - ii. Safe and reasonable access shall be provided to the site including the provision of ladders and the like where applicable
 - iii. The owner or their representative shall be on site for the duration of the inspection
 - iv. Copies of the consented documents shall be available on site
 - v. All building work shall be ready for the specific inspection and any test equipment normally provided by the owner or trades person shall be on site ready for use (eg pressure gauge to test water pressure)

- vi. Where appropriate all building work to be inspected shall be protected from adverse weather conditions

Notifications for re-inspections shall be provided in the same manner as if a new inspection.

Appendix C

Document Management System

1. Purpose

- 1.1. To provide defined procedures for the control of all controlled documents and data that relate to the operation of Council as a building consent authority.
- 1.2. The document management system shall address:
 - 1.2.1. Controlled documents
 - 1.2.2. Approval process for new or modified documents
 - 1.2.3. The distribution of documents
 - 1.2.4. The changes, updating, and archiving of documents
 - 1.2.5. Notifying staff of updates and changes

2. Responsibility and Authority

- 2.1. The quality manager shall have overall responsibility for the review, distribution, updating and archiving, and notifying staff of the updates and changes to documents.
- 2.2. The quality manager shall also have the responsibility for the maintenance of the document management system.

3. Controlled Documents

- 3.1. All controlled documents shall be recorded in Form BC-64 Documents Register. The data to be recorded is:
 - 3.1.1. Name of document
 - 3.1.2. Unique identifier of the document
 - 3.1.3. Issue/version number
 - 3.1.4. Date updated or revised
 - 3.1.5. Date archived
- 3.2. All controlled documents shall be issued with a unique identifier which shall be recorded in the document register and on the footer on each page of the document. The unique identifier shall be prefixed by the group number.
- 3.3. The controlled documents shall comprise six groups of documents as set out in the following table:

Group No:	Group Name	Document	Description/Example/Where Held
1	Quality Manuals		
		Quality Assurance (QA) Manual	Planning & Regulatory Manager Office
		BCPM	Planning & Regulatory Manager Office
2	Quality Records	Purchase orders, training records, consent records, property files	Council file storage
3	Management Charts/Records		
		Controlled Document Register	Executive Administration Officer
		Organisation Chart	QA Manual
		Skill Matrix	QA Manual
		Position Descriptions	QA Manual
4	Contract Documents		
		Conditions of Engagement	QA Manual
		Inspection Schedule	QA Manual
5	Office Documents	Memos, Enquiry Notes, Letters, Faxes, Emails, Purchase orders	Council file storage
6	External Documents		
		Compliance Documents	Building Control Office
		Standards	Building Control Office
		Technical Books/Manuals	Building Control Office

4. Approval Process for New and Modification of Documents

- 4.1. The attached flow chart details the process for the approval of new documents or the modification of existing documents.

5. Distribution of Controlled Documents

5.1. Masters of all documents shall be held by the quality manager.

Group	Distribution
1	Minimum of 1 copy of all documents to be available in each work area
2	Minimum of 1 copy of all documents to be available in each work area plus a ready supply of working documents shall be made available in each area
3	One copy of each to be held by the quality manager
4	One copy of each to be held by the quality manager
5	Readily available to staff as required to reasonably fulfill their respective duties
6	Technical documents readily available to all technical staff. Other documents in this group kept in the Building Control Office

No master documents shall be removed from the custody of the respective office where they are held.

6. The Changes, Updating, and Archiving of Documents

- 6.1. All changes, updating and archiving of documents shall be undertaken by the quality manager.
- 6.2. All changes, updating and archiving of documents shall be recorded in the documents register. Documents that have a revision or updating sheet shall also have this updated and signed by the quality manager

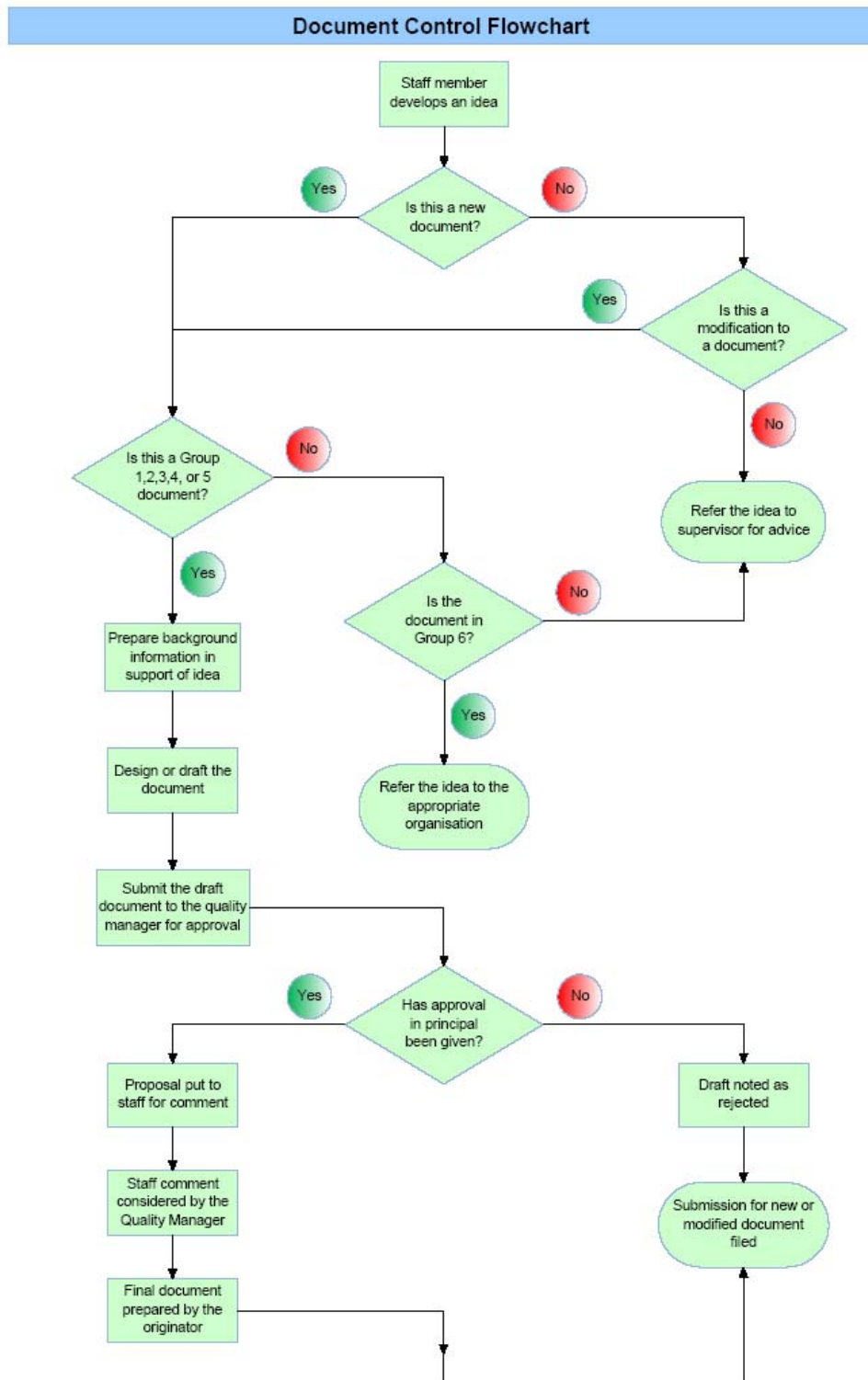
7. Notifying Staff of Updates and Changes

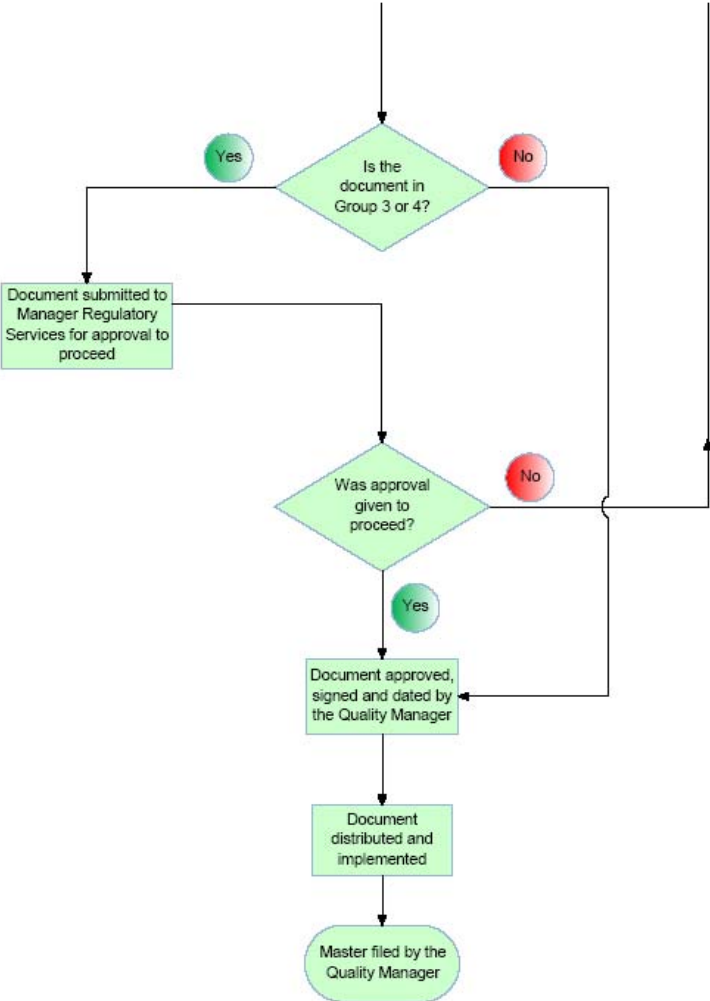
- 7.1. All changes shall be notified to staff by the quality manager.
- 7.2. Notification of changes can be by email stating what the change is and the relevant reference numbers, such as revision numbers and unique identifiers.

8. Superseded Documents

- 8.1. Superseded documents shall be removed from service and libraries within five working days after the date they became superseded.
- 8.2. Group 4, 5, and 6 documents shall be filed for future historical reference. Group 1, 2, and 3 documents shall be filed for a period of 5 years and may then be destroyed.

Document Control System Flowchart





Technical Library Management System

9. Purpose

- 9.1. To provide defined procedures for the control of the technical library that relate to the operation of Council as a building consent authority.
- 9.2. The technical library management system shall address:
 - 9.2.1. Approval process for new or modified documents
 - 9.2.2. The distribution of documents
 - 9.2.3. The changes, updating, and archiving of documents
 - 9.2.4. Notifying staff of updates and changes

10. Responsibility and Authority

- 10.1. The Planning & Regulatory Consents Administration Officer shall have responsibility for the updating, archiving, and notifying staff of the updates and changes to the contents of the library.
- 10.2. The Stratford District Council Librarian shall have responsibility for maintaining the Technical Library Register.
- 10.3. The Building Control Officer shall have responsibility for reviewing and assessing the relevance and completeness of the contents of the library.

11. The Changes, Updating, and Archiving of Documents

- 11.1. All changes, updating and archiving of the contents of the Technical Library shall be undertaken by the Planning & Regulatory Consents Administration Officer.
- 11.2. All new documents or modifications to documents for inclusion in the Technical Library shall be reviewed and signed off by the Building Control Officer prior to being processed by the Planning & Regulatory Consents Administration Officer.
- 11.3. When any document is to be added to the Technical Library, the following actions are required to be carried out by the Planning & Regulatory Consents Administration Officer:
 - 11.3.1. Photocopy the cover and title page (if any) of the document
 - 11.3.2. Process document as appropriate (e.g., sticker on spine, numbering on folder etc)
 - 11.3.3. Annotate photocopy of cover with date of receipt of document, source of document and location of document.
 - 11.3.4. Either fax, hand deliver or deliver the photocopied cover by internal mail, as appropriate, to the Stratford District Council Librarian.
- 11.4. When any document in the Technical Library is to be updated, the following actions are required to be carried out by the Planning & Regulatory Consents Administration Officer:

- 11.4.1. Process the update as appropriate (e.g., replace pages in document etc)
 - 11.4.2. Annotate cover of document with date of receipt of update.
 - 11.4.3. Email notification of update, including the identification of the updated document and the date of receipt of the update, to the Stratford District Council Librarian.
- 11.5 The Stratford District Council Librarian shall update the BCA Technical Library Register on the Stratford District Library Management System (Liberty 3).
- 11.6 Reports from the register as required by the Planning & Regulatory Consents Administration Officer shall be printed out and the hardcopy kept in the BCA Library.

12. Notifying Staff of Updates and Changes

- 12.1. All changes shall be notified to the Building Control Officer(s) by the Planning & Regulatory Consents Administration Officer
- 12.2. Notification of changes can be by email stating what the change is and the relevant reference numbers, such as revision numbers and unique identifiers.

13. Superseded Documents

- 13.1. Superseded or deleted documents are to be dealt with as stated in 8 above.

14. Use of Technical Library

- 14.1 No documents or material held within the Technical Library are permitted to be taken out of the Library except as required for photocopying within the limits authorised by the publisher of the relevant document. In such cases the copying shall be carried out by either the Building Control Officer, the Planning & Regulatory Consents Administration Officer or the respective back-up staff.

Appendix D - Position Descriptions - Three

STRATFORD DISTRICT COUNCIL

APPENDIX 1

JOB DESCRIPTION

1. **JOB TITLE**

PLANNING AND REGULATORY MANAGER

2. **RESPONSIBLE TO**

Chief Executive

3. **DIRECTLY SUPERVISING**

Senior Building Inspector
Compliance Officer
Administration Officer
External Contracts
- Resource Management
- After-hours call-outs

4. **RELATIONSHIPS**

1. Corporate Services Manager
 2. Operations Manager
-

5. PURPOSE OF THE POSITION

1. To professionally and efficiently discharge the duties and key tasks of the position of Planning & Regulatory Manager.
 2. To be responsible for the overall management of the Planning and Regulatory Department in accordance with Council policy, goals, objectives and the directives of the Chief Executive.
 3. To be a member of the Corporate Management Team, (chaired by the Chief Executive) and to contribute positively and enthusiastically to the overall management, control and leadership of the Stratford District Council.
-

6. PRIMARY OBJECTIVES

To provide for the effective and efficient administration of all regulatory functions including the Resource Management Act.

7. AUTHORITY LIMITS

1. The Planning & Regulatory Manager has delegated authority to manage the Planning & Regulatory Department operations in accordance with general policies adopted by Council.
 2. The Planning & Regulatory Manager has delegated authority to:
 - (a) recommend to the Chief Executive the recruitment/appointment of staff.
 - (b) recommend to the Chief Executive, staff promotions and remuneration reviews.
 - (c) recommend to the Chief Executive the dismissal of staff.
 3. The Planning & Regulatory Manager has delegated authority to commit expenditure in accordance with the approved budget for the Planning & Regulatory Department to the extent authorised by Council pursuant to:
 - (a) the provisions of the Public Bodies Contract Act (1959), and the
 - (b) delegations approved by Council as contained in its Policy Manual (Appendix 15C, Section 3, subsection 2(b)).
 4. Delegations for items 1., 2. and 3. above are given by the Chief Executive pursuant to Section 716 of the Local Government Act 1974.
-

8. KEY TASKS

No.	KEY RESULT AREAS	EXPECTED OUTCOMES
1	Activity Management Plans	Review completed for LTCCP by 31 August each year.
2	Annual Business Implementation Plan	Information to Chief Executive by 31 July each year.
3	LTCCP - Annual Plan Development	Budgets for next year by 31 October prior.
4	Annual Report measures of performance	Completed by 20 July each year.
5	Staff Appraisals	Completed by 30 June each year.
6	Keep Council informed of departmental activities	Monthly and other decision/information reports to Council as required.
7	Staff Management	Ensure that staff comply with the conditions of their individual employment agreements.
8	Staff Performance	Quarterly review of staff KRA's.
9	Project Participation	Complete projects as directed by the Chief Executive.
10	Participate in the CMC Team.	Positive and enthusiastic contribution.
11.	Good Public Relations	Well informed public and minimal complaints concerning service delivery.

9. **JOB SCHEDULE**

1. Staff supervision.
2. Attending Committee and Council meetings as required by the Chief Executive.
3. Preparation of departmental monthly reports.

4. Staff employment.
 5. Staff control.
 6. Preparation of statistical data.
 7. Engage relevant consultants as required.
 8. Observation of Bylaws, Acts and Regulations including Building, Health, Sale of Liquor, Forest and Rural Fires, Dangerous Goods and Reserves Acts.
 9. Preparation of Reserves Plans etc.
 10. Liaise with Chief Executive and Departmental Managers.
 11. Initiate and review departmental policies.
 12. Civil Defence Alternate Controller.
 13. Carry out other duties as maybe required by the Chief Executive.
-

10. **PERSON SPECIFICATION**

The position calls for:

1. Management and leadership skills of a high level to ensure the effective management of Council's staff and resources.
2. A good working knowledge of legislation applicable to Local Government.
3. A high level of communication skills and good presentation.
4. A person with a tertiary qualification and skills in planning, policy development, resource management and regulatory functions. However, those with suitable experience and the appropriate skills may also apply.
5. A person with eight to ten years relevant post-graduate experience.
6. Current motor vehicle drivers licence.

APPENDIX

Stratford District Council

Job Description

Position:	Building Control Officer	Department:	Planning & Regulatory
Date:	November 2007	Location:	Stratford

Functional Relationships		
External:	Internal:	Committees/Groups/ Professional Affiliations:
Public	Planning & Regulatory Consents Officer Environmental Health Officer Compliance Officer Operations Manager Chief Executive Service Centre	Building Officials Institute of New Zealand (BOINZ)

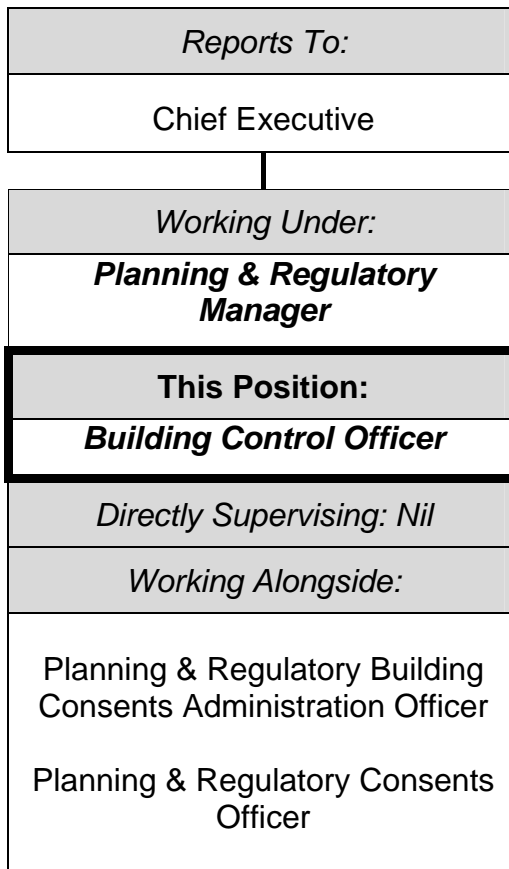
Planning & Regulatory Department

This department is to function as the Council's delivery arm for planning and regulatory services such as: the District Plan, Development Control (Resource Consents), Building Control, Environmental Health, Liquor Licensing, Dog Control, Bylaws' Enforcement, Rural Fires Control and Emergency Management.

Main Purpose of the Job

- To establish procedures, administer and enforce Council's responsibilities under the Building Act 2004 and its regulations.
- Supervision of building consenting and monitoring processes.
- To perform duties associated with the management of information within the Planning & Regulatory Department.

Organisational Context



Authority Limits

The Building Control Officer has delegated authority limit of \$500 to commit expenditure.

KEY ACCOUNTABILITY AREAS (KAA)	KEY RESULT AREAS (KRA)
<i>Building Control</i>	
<p>Administer and Enforce Building Act 2004.</p> <p>Establish and maintain procedures for administering the Building Act 2004.</p> <p>Public Relations.</p> <p>General Enforcement Duties.</p> <p>Monitoring.</p> <p>Building Consent Authority information requirements.</p> <p>Amusement Devices</p> <p>Swimming Pool Inspections</p>	<p>To process all consents, certificates, etc. in the required time and note in a monthly report to Planning & Regulatory Manager.</p> <p>The procedures for administering the Building Act 2004 are adhered to as directed. Processing of building consents and related inspections in compliance with procedures documentation.</p> <p>To project a good public image.</p> <p>To process all building and other complaints quickly and efficiently.</p> <p>To ensure that all areas of building and planning are monitored.</p> <p>To provide technical direction for the maintenance of information relevant to functions carried out by the Building Consent Authority.</p> <p>To administer, inspect, issue licences and implement any necessary requirements pursuant to legislation relating to Amusement Devices.</p> <p>To perform swimming pool inspections and maintain a database of records.</p>
<i>Stratford District Council Bylaws</i>	
Fully conversant with all Council Bylaws.	Enforcement of bylaws as required.
<i>Civil Defence</i>	
Undertake Civil Defence training and duties as required.	Civil Defence procedures and responsibilities clearly understood and Civil Defence duties effectively completed as/when required.
<i>Other</i>	
Any other duties that may be required from time to time.	All other duties are completed as required.

Stratford District Council

Person Specification

Key: E = Essential; D = Desirable

Personal Focus	
E	Demonstrated ability to embrace the goals and objectives of the entity and in being dedicated and self-motivated towards achieving them.
E	Demonstrated record of excellence in achievement.
E	Demonstrated capability to develop and implement innovative solutions.
E	Demonstrable ability to maintain focus and objectiveness and to continue to perform effectively in stressful situations.
E	Demonstrated record of participation and achievement in a team environment.
E	Demonstrated willingness to speak your own mind in discussion but also to follow and champion direction once given.
E	Demonstrated willingness to embrace the responsibilities and accountabilities that are inherent in the role.
Customer Focus	
E	At all times applies excellent customer service principles in dealing with internal and external customers and staff.
Job Knowledge	
E	Has knowledge of the Building Consent Authority - Quality Requirements.
D	Has a relevant qualification.
D	Has recent relevant experience in Building Consent Authority.
E	Has relevant computer skills. Is competent with current Microsoft Office suite programmes. Is competent with a wide range of electronic reference tools.
Organising for Quality Results	
E	Demonstrates strong time management skills.
E	Undertakes sound research using sound methodologies.

Organising for Quality Results	
E	Develops and implements innovative and cost-effective solutions.
D	Identifies and embraces opportunities for continual improvement.
Teamwork	
D	Leads teams by engendering support, provides motivation and has the knowledge to obtain the best from team members.
E	Demonstrates an ability to work well in a team.
D	Champions beneficial change and constantly reinforces the merits to team members.
Communication	
E	Communicates clearly and concisely when seeking or providing information <i>eg. with senior management or public groups.</i>
E	Produces clearly written, well-formatted reports, which have clear recommendations for action.
E	Maintains confidentiality.
E	Operates within the organisation in a non-discriminatory manner by respecting the rights of others.
E	Has an understanding of and is capable of empathising with the needs of others.
E	Demonstrates excellent listening and verbal communication skills.
D	Manages diversity, and encourages and assists others in this.
D	Understands the Treaty of Waitangi and its implications for local authorities.
Coaching and Development	
D	Willingly embraces opportunities to undertake ongoing management development.
Health	
E	Has no previous or current medical conditions, which would affect the ability to effectively and efficiently perform the duties described in this job description.

Circumstances	
E	Is willing to work on-call should this be required.
Testing and Verification	
E	Can verify authenticity of qualifications.
E	Holds a current full driver's licence.

STRATFORD DISTRICT COUNCIL

APPENDIX

JOB DESCRIPTION

1. **JOB TITLE**

Consents Administration Officer

2. **RESPONSIBLE TO**

Planning & Regulatory Manager

3. **PRIMARY OBJECTIVES**

To provide administration for consenting and quality management

4. **RELATIONSHIPS**

1. Building Control Officer
 2. Environmental Health Officer
 3. Service Centre staff
 4. Operations staff
 5. Corporate Services staff
 6. Chief Executive
-

5. **KEY TASKS**

No.	KEY RESULT AREA	EXPECTED OUTCOMES
1	Building Control Administration	Building Consents administration
2	LIMs	Processing, co-ordination and issuing of LIMs
3	Documentation control	Ensuring that all reference and standard documentation held within the Planning & Regulatory Department is maintained, reviewed and updated
4	Process documentation	Ensuring process documentation aligns with requirements of the SOLGM Legal Compliance Project
5	Records	Maintaining and updating outcomes databases
6	Backup Administration	Provide backup administration for Planning and Regulatory activities

6. **JOB SCHEDULE**

1. Co-ordinating administration of Building Consent applications.
2. Input of LIM / PIM / Consent applications into relevant database modules.
3. Monitoring of processing of LIM / PIM / Consent applications to ensure compliance with required timeframes.
4. Preparation of LIMs / PIMs / Building Consents.
5. Co-ordination of Planning and Regulatory Department Monthly and Quarterly Reports.

6. Co-ordination of process documentation in compliance with the SOLGM Legal Compliance Project.
 7. Provide back-up administration for other Planning & Regulatory Department activities.
 8. Provide backup assistance for dog and animal control and general bylaw duties.
 9. Such other duties as may be required from time to time.
-

7. **PERSON SPECIFICATION**

The position calls for:

1. A person with a bright and outgoing personality.
 2. A person who is a team player.
 3. Excellent communication and organisational skills.
 4. A high degree of confidentiality
 5. Computer literacy skills.
 6. Qualifications - Sixth Form Certificate
 7. A current motor vehicle drivers licence.
-

STRATFORD DISTRICT COUNCIL

Appendix E

SECTION: DELEGATIONS	
POLICY: <u>BUILDING CONTROL</u>	
RESPONSIBILITY: [Click here]	REVIEW DATE: April 2008
VERSION: 1	APPROVED DATE: April 2005
FILE NUMBER: 16069	
DELEGATIONS REGISTER NO: 1	

1. DELEGATION AUTHORITY

The delegations listed below are made pursuant to Schedule 7, Clause 32(1) of the Local Government Act 2002 and Section 232 of the Building Act 2004. All section references are to the Building Act 2004 unless stated otherwise.

The Stratford District Council makes the following delegations and authorisations.

2. AUTHORISED OFFICERS

Section 222 – The following Officers are authorised to carry out all of the functions and powers of an authorised officer, including the authority to enter private land pursuant to Section 174 of the Local Government Act 2002.

- Senior Building Control Officer
- Building Control Officer
- Project Engineer

3. ENFORCEMENT OFFICERS

Section 229 - The following Officers are authorised as enforcement officers to carry out all of the functions and powers of an enforcement officer, including the issue of infringement notices.

- Senior Building Control Officer
- Building Control Officer
- Project Engineer

4. GENERAL DELEGATION

Section 12(2) - The Stratford District Council delegates to the Chief Executive Officer, or any officer appointed by him, all of the functions, duties and powers listed, thereby enabling Council to carry out its legislated role as a Building Consent Authority, except that the following powers, duties and functions are not delegated.

- Section 131 – Policy on dangerous, earthquake prone and insanitary buildings
- Section 213 – make arrangements for any other Building Consent Authority to perform any of Council’s functions as a Building Consent Authority
- Section 219(1)(a) – impose any fee or charge

- Section 233 – transfer any of Council’s functions, duties or powers to another territorial authority

Section 233 – accept the transfer of any functions, duties or powers to Council from another territorial a

Stratford District Council

STAFF AUTHORITY AND SKILLS MATRIX TABLES

Staff Authority Table

Name of staff member	Determination of building category	Sign building consent	Sign code compliance certificates	Issue notices to fix	Sign compliance schedule statements	Supervised officer	Trainee officer
Salaried Technical Staff							
Pat Moore	√	√	√	√	√	-	-
Vacant							√
Contracted Technical Staff							
Athol Cheyne	√	√	√	-	-	-	-
Back-up Technical Staff							
Greg Jeffares	-	-	-	-	-	-	-
Administration Staff							
Rachael Otter	-	-	-	-	-	-	-
Stacey Paton	-	-	-	-	-	-	-
Brenda Dutton	-	-	-	-	-	-	-
Mike Avery	√	-	-	√	-	-	-
Diane Sewell	-	-	-	-	-	-	-
Cloe Wang	-	-	-	-	-	-	-
Janice Caldwell	-	-	-	-	-	-	-

Name of Organisation: Stratford District Council

Senior Building Control Officer: Pat Moore

**Technical Leaders: Pat Moore (Categories 1 & 2)
Andrew Fraser (Category 3)**

Quality Manager: Mike Avery

Completed By: Neil Gerrish

Date Completed: 22 March 2007

Checked By: Mike Avery

Date Checked: 21 September 2007

Revision Due: 22 March 2008

Staff Qualifications

Staff Member	Highest Trade Qualification/s	Building Category	Building Category
Technical Staff			
Pat Moore	Second Qualifying Carpentry (Residential and Commercial)	1	2
Athol Cheyne	Second Qualifying Carpentry	1	2
Greg Jeffares	Nil	-	1*
Administration Staff			
Rachael Otter	6th Form certificate		
Stacey Paton	6th Form certificate		
Brenda Dutton	School Certificate (3 subjects)		
Mike Avery			
Diane Sewell			
Cloe Wang	Bachelor of Applied Information Systems		
Janice Caldwell	Sustainable Development Massey University		

Colour key to building category

Plan Checking

Site Inspections

Directions – Skills Matrix Tables

1. List all staff members and contractors under general and those used in the plan checking and site inspection function of building control.
2. Under the general sections (Administration and technical) rate officers on a 1 - 5 scale – 1 being exceptional, 3 acceptable, and 5 an unacceptable level requiring extensive training, or a grading for new staff members yet to be trained in the area.
3. In the cell under the relevant skill or Building Code clause place the numeric code that best represents the building category the staff member, contractor, or other BCA is experienced and competent to check or inspect. In addition please show code clauses that can be undertaken as supervised or as a trainee.

Categorisation of buildings

For the purposes of this skills matrix buildings shall be categorised as per the Schedule of the Building (Designation of Building Work Licence Classes) Order 2007. However, included in each category shall be ancillary buildings and outbuildings as determined by the remaining regulation criteria. Categories shall be coded 1 to 3 as in the Regulation.

Category codes suffixed with an * indicate that the officer dealing with that particular clause can do so provided they are indirectly supervised¹. Codes suffixed with two ** may be only dealt with under direct supervision. These are generally reserved for officers undergoing training.

= Not tested

- = Not Applicable

Analysis colour coding:

Green – Competent to assess

Amber – Limited capacity to assess – monitoring required

Red – No capacity or capability to assess

¹ Means receiving instructions or advice prior to the inspection and/or perhaps receiving a post-inspection review

General – All building control administration staff members

Name of Staff Member	How an application for a building consent is made	How an application for a building consent is processed	How building work is inspected	How building work is certified	Receiving building consent applications	Checking for compliance with section 45 of the Building Act 2004	Entering the application into Council's system	Issuing a receipt for any money received	Issuing a building consent	Issuing a code compliance certificate and compliance schedule	Ability to communicate with internal and external personnel	Ability to comply with the BCA's policies, procedures, and systems
Rachel Otter	1	2	2	3	2	2	-	1	-	-	1	1
Stacey Paton	2	2	2	2	2	2	1	-	2	2	1	1
Brenda Dutton	2	2	2	3	2	2	-	1	-	-	2	1
Mike Avery	1	1	1	1	2	-	-	-	2	2	1	1
Diane Sewell	3	3	-	-	3	-	-	-	-	-	3	3
Cloe Wang	4	4	-	-	4	4	-	-	-	-	4	4
Janice Caldwell	2	2	2	2	2	2	2	3	2	2	1	1
Median Score	2	2	2	2	2	2	2	2	2	2	2	2

General – All building control technical staff members

Name of staff member, contractor, or other BCA	Understanding of the philosophy and principles of design and construction	Understanding and knowledge of building products and methods	Knowledge and skill in applying the Act, and Regulations	Ability to process applications for building consents	Ability to inspect building work	Ability to certify building work	Ability to communicate with internal and external personnel	Ability to comply with the BCA's policies, procedures, and systems
Staff members								
Pat Moore	3	2	2	2	2	2	3	3
Athol Cheyne	3	3	2	2	2	2	3	3
Greg Jeffares	4	3	3	-	3	-	-	3
Median Score	3	3	2	2	2	2	3	3

Plan Checking – All plan processing staff members including contractors and consultants

Name of staff member, contractor, or other BCA	A1 Classified uses	B1 Structure V/M	B1 Structure A/S	B2 Durability	C1 Outbreak of Fire	C2 Means of Escape	C3 Spread of Fire	C4 Structural Stability	D1 Access Routes	D2 Mechanical Installations for Access	E1 Surface Water	E2 External Moisture	E3 Internal Moisture	F1 Hazardous Agents on Site	F2 Hazardous Building Materials	F3 Hazardous Substances and Processes	F4 Safety from Falling	F5 Construction and Demolition Hazards	F6 Lighting for Emergency	F7 Warning Systems	F8 Signs
Staff members																					
Pat Moore	-	-	2	2	2	1	1	1	1	-	2	2	1	-	2	-	2	1	1	1	1
Athol Cheyne	-	-	2	2	2	1	1	1	1	-	2	1	1	-	2	-	2	2	1	2	2
Analysis																					
Category 1 buildings	-	2	2	2	2	2	2	2	2	-	2	2	2	-	2	-	2	2	2	2	
Category 2 Buildings	-	2	2	2	-	-	-	-	-	-	2	1	-	-	2	-	2	1	-	1	
Category 3 Buildings	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	

Plan Checking – All plan processing staff members including contractors and consultants

Name of staff member, contractor, or other BCA	G1 Personal Hygiene	G2 Laundry	G3 Food preparation & Prevention of Contamination	G4 Ventilation	G5 Interior Environment	G6 Airborne and Impact Sound	G7 Natural Light	G8 Artificial Light	G9 Electricity	G10 Piped services	G11 Gas as an Energy source	G12 Water Supply	G13 Foul Water	G14 Industrial Liquid Waste	G15 Solid Waste	H1 Energy Efficiency
Staff members																
Pat Moore	1	1	1	1	-	1	-	-	-	-	-	2	2	1	-	2
Athol Cheyne	1	1	1	2	1	1	1	-	-	-	-	2	2	1	-	1
Analysis																
Category 1 buildings	2	2	3	2	1	2	1	-	-	-	-	2	2	2	-	2
Category 2 Buildings	-	-	-	1	-	-	-	-	-	-	-	2	2	-	-	1
Category 3 Buildings	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-

Site Inspection – All inspecting staff members including contractors and consultants

Name of staff member, contractor, or other BCA	B1 Structure V/M	B1 Structure A/S	B2 Durability	C1 Outbreak of Fire	C2 Means of Escape	C3 Spread of Fire	C4 Structural Stability	D1 Access Routes	D2 Mechanical Installations for Access	E1 Surface Water	E2 External Moisture	E3 Internal Moisture	F1 Hazardous Agents on Site	F2 Hazardous Building Materials	F3 Hazardous Substances and Processes	F4 Safety from Falling	F5 Construction and Demolition Hazards	F6 Lighting for Emergency	F7 Warning Systems	F8 Signs
Staff members																				
Pat Moore	2	3	2	2	2	2	2	2	-	2	2	2	-	2	-	2	2	2	2	3
Athol Cheyne	2	3	2	2	2	2	2	2	-	2	2	2	-	2	-	2	2	2	2	3
Greg Jeffares	1*	1*	1*	1*	-	-	-	-	-	-	1*	1*	-	1*	-	1*	1*	-	-	1*
Analysis																				
Category 1 buildings	3	3	3	3	2	2	2	2	3	2	3	3	-	3	-	3	3	2	2	3
Category 2 Buildings	2	2	2	2	2	2	2	2	-	2	2	2	-	2	-	2	2	2	2	3
Category 3 Buildings	-	2	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	3

Site Inspection – All inspecting staff members including contractors and consultants

Name of staff member, contractor, or other BCA	G1 Personal Hygiene	G2 Laundry	G3 Food preparation & Prevention of Contamination	G4 Ventilation	G5 Interior Environment	G6 Airborne and Impact Sound	G7 Natural Light	G8 Artificial Light	G9 Electricity	G10 Piped services	G11 Gas as an Energy source	G12 Water Supply	G13 Foul Water	G14 Industrial Liquid Waste	G15 Solid Waste	H1 Energy Efficiency
Staff member																
Pat Moore	2	2	2	2	-	2	-	-	-	-	-	2	2	2	-	2
Athol Cheyne	2	2	2	2	2	2	2	-	-	-	-	2	2	2	-	2
Greg Jeffares	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	1*
Analysis																
Category 1 buildings	2	2	2	2	1	2	1	-	-	-	-	2	2	2	-	3
Category 2 Buildings	2	2	2	2	1	2	1	-	-	-	-	2	2	2	-	2
Category 3 Buildings	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-

Colour key to building category

Plan Checking

Site Inspections

Appendix F

Induction and Training Programme

1. Purpose

- 1.1 To ensure that new staff members have the appropriate induction training to their new position to ensure that the quality of service provided meets client expectations.
- 1.2 To provide on-going training and continual professional development (CPD) to ensure that the quality of service provided meets client expectations.
- 1.3 To ensure staff skills are regularly assessed and the technical skills matrix (Appendix E) is current.

2. Responsibility and Authority

- 2.1 The Quality Manager has the overall and day to day responsibility and authority to ensure that this programme is adhered to.
- 2.2 The building officials have the responsibility to ensure that they do not operate outside the technical skills matrix (Appendix E) and that work referred to others is within their respective scope of work shown in the skills matrix.

3. Induction

- 3.1 During the employee's first week the employee shall receive guidance and training from their allocated mentor and complete the tasks and training as covered in the Staff Employment Handbook.

4. Staff Training and Development

- 4.1 Employees are encouraged to further their education and experience appropriate to their role within the organization
- 4.2 The Planning and Regulatory Manager will organise job training to ensure the necessary skills are in place to ensure staff have the capability to undertake the tasks of their respective positions
- 4.3 The QA Manual shall form the basis for staff training and CPD alongside annual performance appraisals.

5. Assessment of Training Needs

- 5.1 The skills matrix shall form the basis for staff skills assessment against each clause of the NZ Building Code for each of the building categories defined in the skills matrix.
- 5.2 All staff and contractors shall be listed on the skills matrix.
- 5.3 All staff and contractors shall be reassessed annually by the Planning and Regulatory Manager, (or appropriate consultant) and the skills matrix amended accordingly.

- 5.4 The skills matrix shall be reviewed at 6 monthly intervals to ensure that it remains current. Any necessary amendments shall be made upon completion of the review.
- 5.5 The skills matrix shall also be used to identify those people that are capable of providing training to other staff in specific areas. These people will be identified as described in the skills matrix
- 5.6 The staff skill assessment process will be used to determine any staff training needs

6. Training Records

- 6.1 Each employee Performance Building folder shall contain records of all relevant qualifications, experience, and records of training.
- 6.2 Prior to attending formal training identified in the Performance Building Review, staff shall complete a Training Request form (BC-91) and gain approval for the training from their Manager.
- 6.3 As soon as possible after completion of the training staff shall complete a Course / Training Evaluation form (BC-86) which shall also be reviewed by their Manager.
- 6.4 Within one calendar month of the training being completed an internal audit (using form BC-85) shall be conducted of an activity related to the training received.
- 6.5 Training records shall be kept and maintained by Council's Executive Administration Officer on each individual staff Performance Building Folder. These records shall include copies of the Internal Audit / Peer Review Reports (BC-85).

7. Skills Matrix

- 7.1 The skills matrix shall be accessible to all staff.
- 7.2 All staff have a personal responsibility to ensure that they work within the skills matrix

8. Technical Training Programme

- 8.1 The Planning and Regulatory Manager shall maintain a training programme spreadsheet to ensure that identified training needs are addressed in a planned way. Training Programme shall be maintained as part of the annual Performance Appraisal.

9. Performance Review

- 9.1 Performance reviews shall be conducted annually for all staff by the Planning and Regulatory Manager. The performance review shall be treated as part of the skills assessment process.
- 9.2 The review shall be based on the job description reflecting the key result indicators and tasks described in the job description
- 9.3 Reviews should be planned in advance and objectives clearly stated so that the employee has ample opportunity to prepare for the review and if necessary prepare for what they may wish to discuss.
- 9.4 In closing the review the agreed goals for the next review shall be documented and signed by both parties

- 9.5 Key details of the review shall be recorded in accordance with Council protocol.
- 9.6 Any agreed follow-up on the review shall be completed, as agreed, in a timely manner.

Appendix G**Policy and Procedure for the Engagement of Specialist Consultants****Purpose STRATFORD DISTRICT COUNCIL**

SECTION:	FINANCIAL	
POLICY: PROCUREMENT		
RESPONSIBILITY:	Corporate Services	REVIEW DATE: July 2008
VERSION:	1	APPROVED DATE: July 2005
FILE NUMBER:	16043	
DELEGATIONS REGISTER NO:	[Click here]	

INTRODUCTION

It is Council's policy when procuring goods, works or services to:

- Achieve the right outcomes and value for money.
- Manage risk while allowing staff to exercise business judgment and be innovative.
- Be able to demonstrate fairness.
- Reflect best management practice.
- Have a local procurement policy applying to works with a monetary value up to a limit prescribed by the Council.

NOTE: This policy shall not be applied to invalidate Land Transport New Zealand's Competitive Pricing Procedure when applied to roads maintenance and construction.

USE OF A WRITTEN FORM OF CONTRACT

All goods and services are to be purchased with a written contract. Where the monetary value is low and the goods or services are readily available, the contract is recorded on the standard Purchase Order Form. Where the monetary value is high and/or the goods or services are not readily available, a contract is to be prepared.

AUTHORITY TO ENTER INTO A CONTRACT

All goods and services are to be purchased within the Annual Budget or specifically approved budget approvals and within delegated authorities.

PREPARING A PURCHASE ORDER

The request for goods or services must be recorded on a Purchase Order appropriately approved, unless the purchase is being undertaken under the contracting procedures. After identifying suppliers, the official order to be communicated to any supplier is the Purchase Order.

COMPETITIVE TENDERING

All purchases of goods or services greater than \$10,000 will be subject to competitive tendering, through:

- the preferred supplier list, or

- a minimum of three invited and recorded verbal quotations, or
- a minimum of three invited and recorded written quotations, or
- by public tender.

SPECIALIST SUPPLIERS

Where specialist equipment is to be maintained or serviced, the supplier or agent for the equipment shall be used without the need to obtain a competitive price.

PETTY CASH

Petty cash is used when money is needed in advance for small purchases of unknown amounts with approval of the voucher within delegated authorities.

CONFLICT OF INTEREST

Conflict of interest occurs when someone who is involved in making a decision that affects the interest of someone else, has competing:

- Professional or personal obligations and/or
- Personal interests and/or
- Financial interests and
- this would make it difficult to fulfil their duties fairly.

Conflicts of interest can arise at any time during the contracting process, but the most common occur during the planning and invitation to tender stages when people are able to influence the requirements, the evaluation criteria or the way that the selection is made.

MANAGING CONFLICT OF INTEREST

To avoid any conflict of interest where an officer is contemplating any transaction, tender or contract which may involve either a relative, a personal friend or a business associate, then that officer will advise their supervisor and remove themselves from the process of obtaining prices and letting any contract.

This process will be carried out by another Council Officer who is not connected with the supplier.

CONTRACTS WITH ELECTED MEMBERS

An Elected Member is liable to disqualification from the Council if involved in contracts with Council in which payments to the member exceeds \$25,000 in any financial year without prior written approval of the Audit Office.

While compliance with this requirement is entirely the responsibility of the Elected Member, should staff become aware of a potential breach of their requirement, the matter should at once be reported to the Chief Executive.

Elected members cannot, by law, purchase items through the Council's purchasing system.

LOCAL PROCUREMENT POLICY

The principles of the local procurement policy are:

- To encourage business activity by local rate paying firms, where they are competitive suppliers in respect of price and quality.
- To minimise transport costs and their environmental effects through measures which provide for Council to buy from local sources where competitive.

GUIDELINE ON LOCAL PROCUREMENT**Policy**

First consideration will be given to selecting local providers only where the estimated value of the work is less than \$50,000.

“Local” shall mean businesses with either their head office or a branch office located somewhere within the district. It is, however, considered desirable that three tenders be received for most work with value greater than \$10,000 and less than \$50,000 to ensure competitive pricing. A single price for work less than \$10,000 is administratively more cost effective than seeking several prices.

If there are less than three suitable providers within the district, then other providers may be considered for the work to make up the number to three tenders. The requirement for three tenders could be dispensed with in certain circumstances (eg. where immediate response is required or only one suitable provider is readily available).

Local suppliers list

A list of supplier’s database will be developed.

Appendix H

Equipment Management

1. Purpose

- 1.1. To ensure inspection, measuring and test equipment used to demonstrate the conformance of products or systems to specified requirements is controlled, calibrated and maintained appropriately.

2. Responsibility and Authority

- 2.1. The Technical Manager has the overall responsibility and authority to ensure this policy and procedure is implemented and maintained.

3. Identification and Records

- 3.1. All new and current inspection, measuring, and test equipment shall carry a unique identifying number which is clearly and durably marked on the equipment.
- 3.2. All equipment shall be registered on the equipment register (Form BC-65).
- 3.3. A record of all calibrations and/or maintenance undertaken shall be recorded against the specific item of equipment in the equipment register
- 3.4. All equipment records, including external calibration certificates shall be kept in the appropriate equipment file for up to 12 months following the withdrawal of the specific item of equipment from service.

4. Compliance Measurements

- 4.1 The following measurements are required to assess compliance:

Measurement	Requirement	Required Accuracy Limits	Equipment
Temperature	NZBC G12 6.14	Unspecified	Thermometer
Moisture	NZBC E2 11.2	Unspecified	Moisture meter
Lintel Sizes	NZS 3604:1999	Unspecified	Measuring tape
Foundation Bearing		Unspecified	Manual Prodder
Drain levels		Unspecified	Level
Wood burner clearances	NZS 7421 / NZBC C1.2	Unspecified	Measuring tape
Boundary Distances	Stratford District Plan	Unspecified	Measuring tape

5. Calibration/Equipment Accuracy Checks

- 5.1 Measuring tapes or rules, prodders and spirit levels are mechanical devices unsuited to technical calibration. Given the lack of required tolerance limits on the measurements made, the accuracy of the measurements can be appropriately determined provided that such equipment has retained its structural integrity.
- 5.2 The structural integrity of mechanical measuring tools shall be determined by physical checks being made of the equipment. A check on each tool shall be made quarterly.

- 5.3 Accuracy checks and calibration adjustments of moisture meters and thermometers shall be carried out by the Technical Manager. Calibration records shall be updated upon completion of the calibration check.
- 5.4 If a calibration adjustment is required it shall be carried out by the authorized agent for the equipment.
- 5.5 Testing and accuracy checks shall be carried out quarterly for moisture meter and thermometer calibration checks shall be annually for the moisture meter and thermometer.
- 5.6 The calibration and accuracy status of all equipment shall be recorded in the equipment register.
- 5.7 Calibration and equipment accuracy checks of inspection, measuring, and test equipment shall be carried out against standards which can be traced to National Standards. Calibration certificates are to state from what National Standard the calibration has been made from.

6. Equipment Selection and Care

- 6.1. Inspection measuring and test equipment shall be selected on the basis of capability to perform with the required accuracy and precision.
- 6.2. Equipment is to be handled, transported, preserved and stored to ensure that accuracy and fitness for use are maintained.
- 6.3. Equipment is to be safeguarded where appropriate from adjustments which could invalidate the calibration and/or accuracy setting.

7. Suspect or Faulty Equipment

- 7.1. Suspect or faulty equipment shall be withdrawn from service immediately.
- 7.2. Such equipment shall be immediately identified as being faulty and shall not be used.
- 7.3. The Technical Officer shall be informed that the equipment is faulty and has been withdrawn from service. The Technical Officer shall immediately assess whether the withdrawal from service warrants the need to arrange for backup equipment to be obtained. If backup equipment is obtained the latest calibration or check certificate shall be sighted and be validated prior to putting the replacement equipment into service.
- 7.4. Measurements already taken by the faulty equipment shall be repeated with equipment that has had its calibration or check certificate validated or with equipment known to be in proper working order.
- 7.5. Faulty equipment shall be repaired or replaced. Repaired equipment shall be recalibrated or an accuracy check completed prior to going back into service.
- 7.6. The equipment maintenance register BC-65 shall be updated to accurately reflect the maintenance or checking undertaken.

7. Specific Requirements Concerning Thermometers

7.1 Overview

With all new homes and buildings and in all renovations that include plumbing alterations the temperature of the water coming out of taps must be at a “Safe operating Temperature”.

This temperature is determined by **NZBC G12/AS1**, water supplies, as being 55° C for all buildings other than Early Childhood Centres, aged care homes, institutions for people with psychiatric disorders, and Hospitals in which cases the maximum temperature is 45°C.

7.2 Equipment

A thermometer listed in the Equipment Register that has been checked as being accurate in accordance with the testing and calibration processes below and in accordance with the Equipment Management Policy.

7.3 Testing Procedure

- The thermometer is pointed at a piece of wet tissue overlaid with ice sludge. The displayed temperature reading should be 0°C
- A second reading should be taken with the thermometer pointed at boiling water in a suitably sized container, taking care not to allow the lens to be obscured by steam. The displayed temperature reading should be 100°C
- In the event that the displayed temperature is not within 3°C of the expected result, the thermometer shall be returned to the manufacturer for calibration.

7.4 Calibration Procedure

Thermometers used by the BCA shall be sent to the manufacturer for the purpose of calibration

7.5 Use

When the hot water cylinder has been in operation for not less than 24 hours.

- A hot tap is turned on and allowed to run for 1 minute.
- The thermometer is directed towards the running stream of water from a distance of not more than 50mm and held for 30 seconds.
- The average temperature shown after that 30 seconds is recorded as the temperature.

If the temperature is too high (if above 47/57°C) then the thermostat on the HWC must be turned down and a repeat test run no less than 2 hours later.

8. Specific Requirements Concerning Moisture Meters

8.1 Overview

- New Zealand Standard 3602:2003 Table 1 *specifies the moisture content for wood-based components to achieve a 50-year durability performance.*
- As part of compliance inspection, moisture meters used to perform the test shall be calibrated as per the instructions and procedure below.

8.2 Equipment

A moisture meter listed in the Equipment Register that has been checked as being accurate in accordance with the testing and calibration processes below and in accordance with the Equipment Management Policy.

8.3 Testing Procedure

- Switch on meter and press the two electrodes against the exposed wires of the device.
- If the reading is outside of the range from 17 to 19 the meter should be returned for calibration.

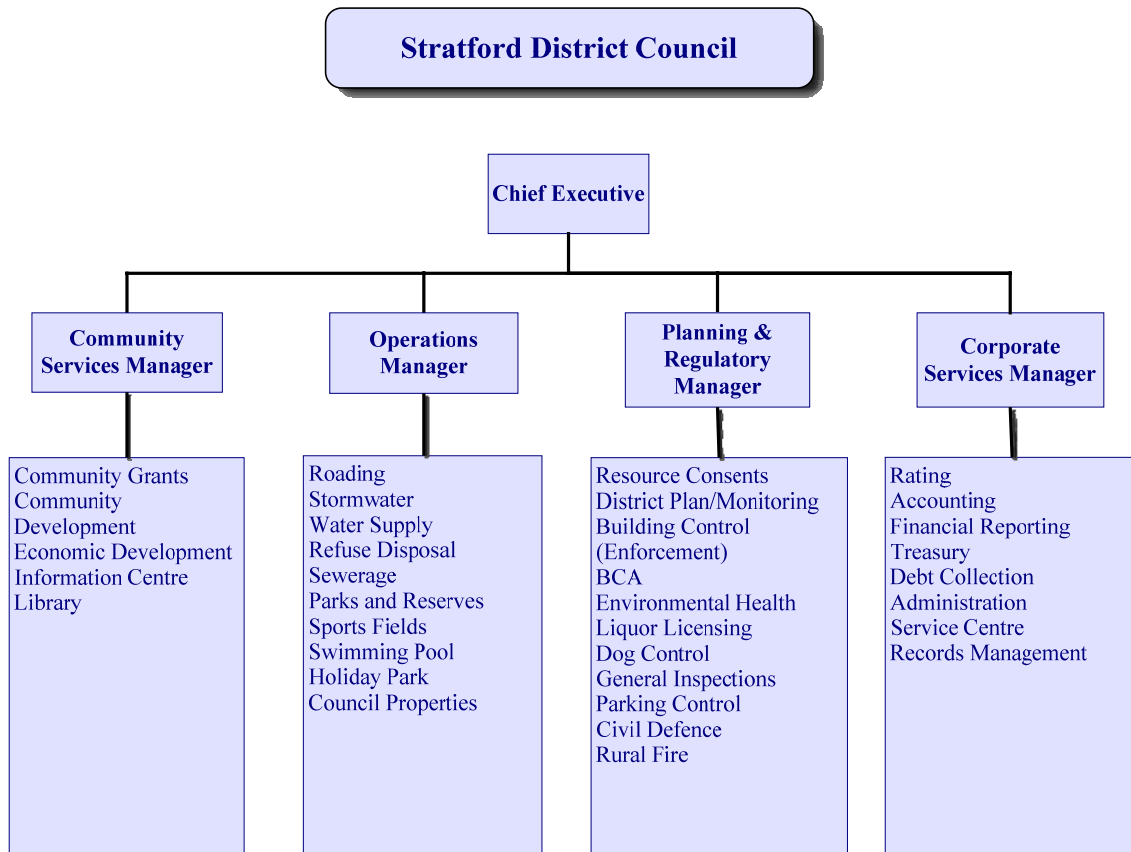
8.4 Calibration Procedure

Moisture Meters used by the BCA shall be sent to the agent nominated by the manufacturer for the purpose of calibration

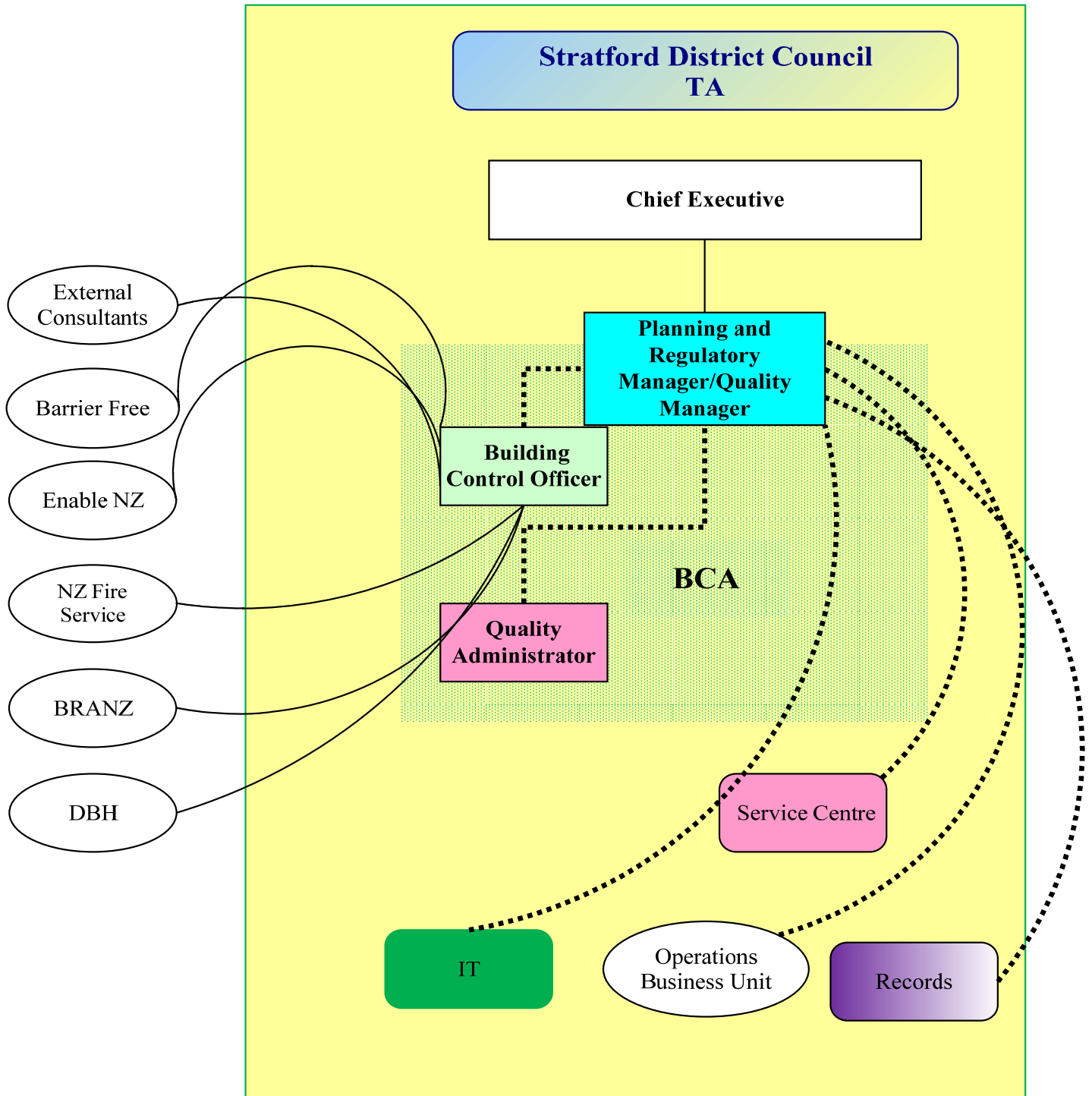
Appendix I

Organisation Charts

Council Chart



BCA Chart



Appendix J

Corrective and Preventive Action System

1. Purpose

- 1.1. To ensure that feedback and complaints are followed up and the appropriate corrective and preventive action is taken in a timely manner.

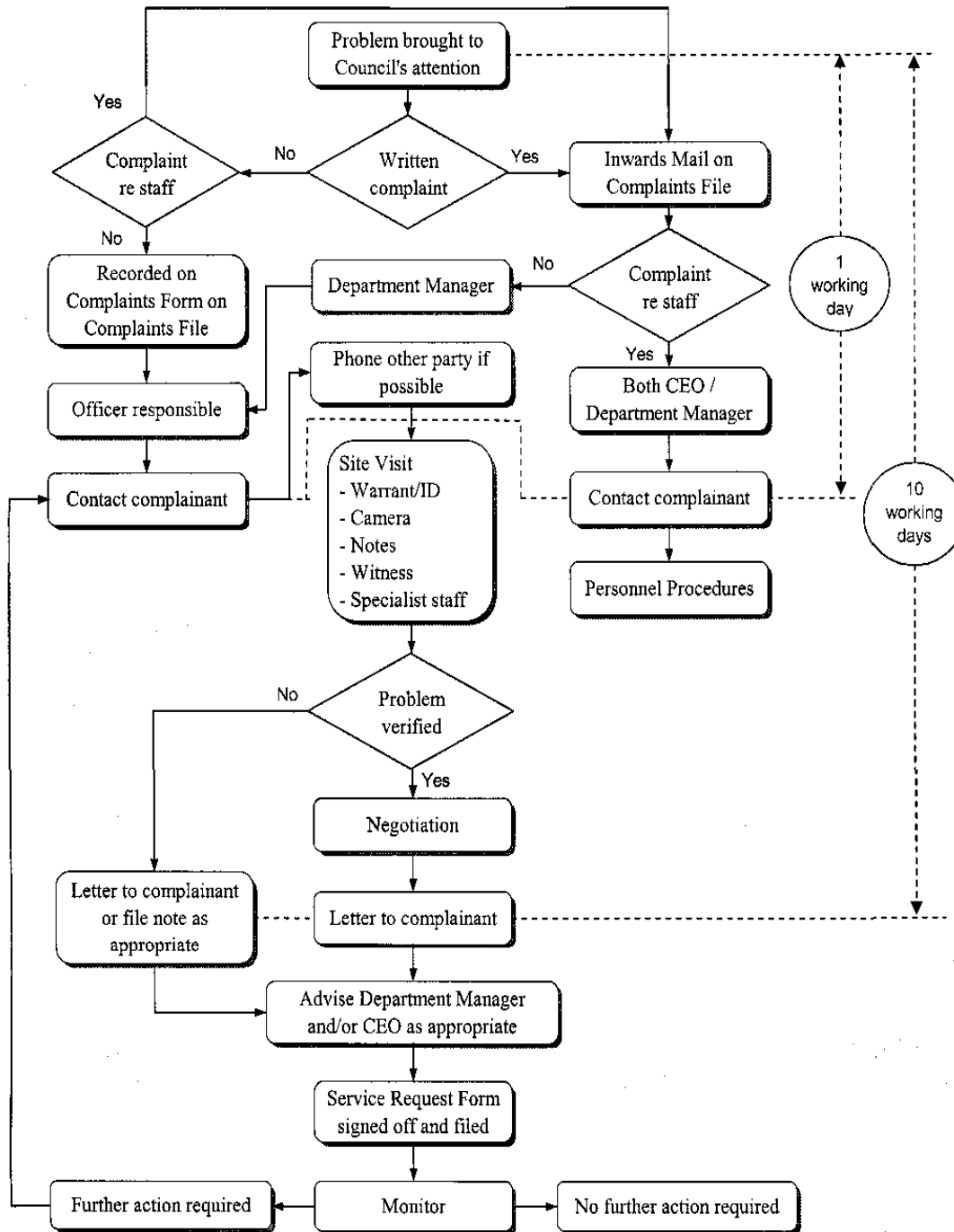
2. Responsibility and Authority

- 2.1. The Quality Manager has the overall responsibility and authority to ensure this policy and procedure is implemented and maintained.

3. Continuous Improvement

- 3.1. The Complaints Procedures flowchart can be seen on the following page. This procedure may trigger a need for continuous improvement.
- 3.2. Any staff person may initiate a suggested improvement by way of filling out the top two sections of the Continuous Improvement Form (BC-89).
- 3.3. The form is to be given to the Quality Manager. Any decision on the suggested improvement will only be made in consultation with any other staff members who may be involved in the process affected.
- 3.4. Where any suggested improvements potentially involve staff who are within other Council Departments as affected parties, the proposal shall be put before the Corporate Management Committee for approval. The Corporate Management Committee, after consideration of the proposal, may either reject, modify or support the proposal.
- 3.5. Subject to the Corporate Management Committee decision, the Quality Manager is responsible for either approving, rejecting or modifying the proposal. This decision is recorded on the Continuous Improvement Form (BC-89). A copy of the completed form, together with the relevant Minute(s) from the Corporate Management Committee Meeting(s), is returned to the originator of the suggestion.
- 3.6. The Continuous Improvement Form Register (BC-90) shall be updated by the Quality Manager. This register shall be updated by the Quality Manager and is to be kept in the front pocket of the master copy of the Quality Manual (as held in the Planning & Regulatory Manager's office).

Complaints Standard Operating Procedure



Review Sign-off: *Signed copy on file*

Date:

SERVICE REQUEST/COMPLAINTS

1. All requests for service, including all complaints must be responded to within 24 hours of receipt of the request or complaint.
2. All requests for service, including all complaints must be investigated to either the point of a written response to the initiatory person(s) or to their satisfaction within 10 working days of receipt of the request or complaint.
3. All complaints shall follow the Complaints Standard Operating Procedure unless a more appropriate action is recommended by a Manager for a particular case.

CMC (04 Feb 03)

Appendix K



QBE INSURANCE

EMPLOYERS LIABILITY POLICY SCHEDULE

Policy Number:	80 - 0012188 - PUL	
Insured:	Stratford District Council	
Business:	Local Authority	
Broker:	Jardine Lloyd Thompson Limited P O Box 11-145 WELLINGTON	
Policy Wording:	ELC 0899	
Period of Insurance:	FROM: 1 July 2006	
	TO: 1 July 2007	both days at 4pm
Retroactive Date:	8 December 1994	
Limit of Indemnity:	NZ\$ 500,000	any one claim and in the aggregate any one Period of Insurance / costs inclusive
Excess:	NZ\$ 5,000	any one claim / costs inclusive
Premium:	As agreed	
Endorsements:	Terrorism Exclusion Asbestos Exclusion Health & Safety Extension - Limit \$250,000 / Excess \$5,000	

Issued and signed by QBE's authorised representative

Signed by:

Dated:

31 July 2006



Stratford District Council 2006.doc

QBE Insurance (International) Limited has an A+ claims paying rating by Standard Poor's (Australia) Ltd on 5th December 2005. The Rating Scale is
 AAA (Superior) BBB (Adequate) CCC (Extremely Vulnerable)
 AA (Excellent) BB (May be Adequate) R (Regulatory Action)
 A (Good) B (Vulnerable)
 The Ratings from "AA" to "B" may be modified by the addition of a "+" or "-" to show relative standing within the major rating categories.

CODE OF CONDUCT FOR STRATFORD DISTRICT COUNCIL EMPLOYEES

STRATFORD DISTRICT COUNCIL

**EMPLOYEES'
HANDBOOK**

**Authorised and Issued by
The Chief Executive**

Michael Freeman

1 July 2007

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Draft

INTRODUCTION

This Handbook is intended to be a useful reference for all employees, whether you have just joined the Stratford District Council or have been employed for a long time.

It contains general information on Council's employment practices and expected standards of behaviour for all employees, as well as practical information about day-to-day internal procedures.

It comes into effect on **1 July 2007** and where appropriate supersedes previous policies from the management policy manual. If any contradiction exists between this document and individual employment contracts, the employment contract takes precedence.

YOU AND THE PUBLIC

The Stratford District Council is an organisation paid for by the people of Stratford District. Its purpose is to serve them, and the Council is committed to providing the highest quality of service.

The public perception of the District Council is most directly influenced by those who have jobs with direct public contact, or who work in the public view. However all staff who provide information and service to the public, answer letters, telephones and make decisions which impact on people's lives contribute to the public's impression of the Stratford District Council, and everyone has a role to play in ensuring that Council delivers the highest quality of service to the people of Stratford District.

Remember:

**WHEN YOU ARE AT WORK, YOU ARE THE STRATFORD
DISTRICT COUNCIL**

STRATFORD DISTRICT COUNCIL CORPORATE VALUES

Integrity – Be loyal to the organisation and trustworthy, honest and courteous with everyone we deal with.

Teamwork – Work together in the same direction, assist each other and have respect for others. Maintain a positive attitude and encourage teamwork.

Excellence – Be effective in everything we do using our experience and knowledge. Do the right thing at the right time. Be efficient by being cost effective and ensure prudent management of public money and assets.

Pride – Take pride in our performance and our organisation.

Commitment – Have commitment and respect for each other, our business and our customers.

Innovation – Examine alternatives, challenge the obvious and have a flexible attitude.

MISSION OF STRATFORD DISTRICT COUNCIL EMPLOYEES

1. To deliver a consistently excellent service to the Stratford District Community, in all areas of Council activities, in a prompt, courteous and efficient manner, ensuring maximum customer satisfaction.
2. To implement Council's policies and decisions faithfully and professionally, ensuring Council's resources and assets are efficiently managed, competently administered, and used wisely.
3. Where appropriate, to provide Council's elected members (Mayor and Councillors) with timely, thorough and impartial information and quality professional advice, including advice on Council's statutory obligations.

STRATFORD DISTRICT COUNCIL EMPLOYMENT PRINCIPLES

THE STRATFORD DISTRICT COUNCIL UPHOLDS THE PRINCIPLES OF BEING A GOOD EMPLOYER:

1. All employees will be treated fairly and consistently, with respect and dignity, regardless of the position they occupy within the organisation.
2. The Council will be culturally sensitive, and will acknowledge the various customs and cultural aspirations of all staff.
3. Appointments will be made on merit, in accordance with Equal Employment Opportunities principles.
4. Employees will be remunerated fairly for the work they do.
5. The Council is committed to providing a healthy and safe working environment for all employees.
6. Training and personal development is considered important, to allow employees to reach their potential and perform their best.
7. The Council endeavours to be a “family friendly” workplace, being aware of employees’ family commitments, and is willing to consider reasonably practicable arrangements wherever possible, to ensure that employees continue to perform at their best.

THE STRATFORD DISTRICT COUNCIL PLACES A HIGH VALUE on the following personal qualities and behaviours for all employees:

- ✓ Commitment to excellence
- ✓ Positive attitude
- ✓ Cooperative attitude
- ✓ Honesty and integrity
- ✓ Objectivity
- ✓ Enthusiasm
- ✓ Initiative
- ✓ Fairness
- ✓ Perseverance
- ✓ Loyalty

- ✓ Treating others with courtesy and respect
- ✓ Giving others positive feed back, support and encouragement
- ✓ Taking responsibility for own actions, being accountable
- ✓ Thinking how own actions impact on others
- ✓ Communicating clearly and openly
- ✓ Having an open mind
- ✓ Being open to change
- ✓ Using safe work practices

WHAT ARE THE ROLES OF THE MAYOR, COUNCILLORS, CHIEF EXECUTIVE, AND STAFF?

Knowing the respective roles and responsibilities of the Mayor and Councillors, Chief Executive, and staff, will help you better understand your own role as an employee of the Council:

- **The Mayor and Councillors are elected**, every three years. The Mayor's role is to chair the Council, and lead the Council in developing and determining policy. The Mayor also represents Council in ceremonial and representative situations.

The Mayor and Councillors must ensure that all statutory obligations of the Council are met, and that policies are developed which meet Council's mission, goals and objectives, reflecting the Stratford District Community.

- **The Chief Executive is directly appointed by the Council.** All other staff are appointed by the Chief Executive, who is deemed to be the legal "employer", and who negotiates staff's conditions of employment on Council's behalf. The Chief Executive's role is to implement the policies and decisions of Council, through the actions of all staff, and to provide information and professional advice to the elected Council, to assist them in determining future policy. It is the Chief Executive's responsibility to ensure the effective, efficient and economic management of all activities of the Council.
- **Council staff are employed by the Chief Executive** to assist in the implementation of Council policies and decisions; to manage and administer Council's assets and resources; operate Council's various activities; and to provide a wide range of services to the Stratford District Community on behalf of the Council.
- A copy of the Code of Conduct for Stratford District Council Councillors is available from your manager, and may provide further clarification of the roles.

Where an Elected Member (Mayor or Councillor) seeks specific information from a Council employee, you need to use judgement in your response. If unsure, the request would normally be expected to be channelled through the Chief Executive or a Head of Department, (unless it is information already in the public domain and available to any member of the public, in which case you may provide the information directly).

PART ONE

STRATFORD DISTRICT COUNCIL EMPLOYMENT POLICIES AND PROCEDURES

1. EQUAL EMPLOYMENT OPPORTUNITY (EEO)

The Stratford District Council is committed to the principle of equal opportunities in the recruitment, employment, training and promotion of its employees.

Equal Employment opportunities are promoted and provided within the organisation by:

- 1.1 Developing, implementing and reviewing an appropriate Equal Employment Opportunity Programme.
- 1.2 Fostering a positive climate in the workplace, which appreciates a diversity of background and individual contribution, and encourages employees to develop their potential.
- 1.3 Selecting the best person for the job on the basis of the job requirements and the ability of that person to perform the job.
- 1.4 Ensuring that all HR (Human Resources ie. Personnel) policies, procedures and activities reflect the fundamental principles of the Equal Employment Opportunity Policy, in the recruitment, employment, training and promotion of its employees.
- 1.5 Identifying and providing appropriate training programmes to enable employees to best meet the requirements of their current jobs and to develop additional skills with a view to future promotion opportunities.
- 1.6 Promoting employees on the basis of performance (past, present and potential), and the willingness of the employee to accept greater responsibility.
- 1.7 Maintain a workplace free of discrimination and harassment on the basis of race, colour, ethnic or national origin, gender, religion, marital status, family responsibilities, sexual orientation, disability or age.

All managers have a responsibility to ensure that the principles of Equal Employment Opportunity are upheld when recruiting staff, when selecting staff for training or promotion, and all dealings with staff.

2. TRAINING

Regular training is an essential part of today's working environment, which places increasing demands on people, and requires them to adapt to constant change. Council is committed to supporting its employees' increased efficiency and performance through a variety of training opportunities and programmes; these include:

- **Induction For New Employees**

One-to-one "on the job" training is crucial for new employees, and, depending on circumstances, may take place over several weeks or even months.

Where appropriate, managers should prepare a training plan, including specific targets to be achieved within certain time frames. Managers should closely monitor new employees' progress, and provide appropriate resources, and assistance, in a positive and supportive manner.

If you experience difficulties with your new job, please do not hesitate to discuss these with your supervisor or manager: Every reasonable effort will be made to help you become competent in all aspects of your job.

- Various short courses or seminars, held either in-house or externally.
- Using a variety of training materials (books, videos etc...).
- On-going study towards a qualification (see "Personal Study" paragraph below).
- One-to-one mentoring with another staff member, or supervisor or manager, or, if appropriate, a person outside Stratford District Council.

Your increased efficiency and performance will improve your job satisfaction, and enhanced skill levels will benefit your career development. You are encouraged to actively participate in all training opportunities that are offered to you, and to discuss openly your training needs with your supervisor or manager.

Please contact your Manager for more information on training.

- **Personal Study**

Council encourages and supports employees who undertake additional personal study.

If you are considering embarking on a course of study, privately, please contact your manager prior to starting the course, to discuss whether Council may be able to provide you some financial assistance.

Broadly, Council's policy on study is as follows:

- If a course of study to obtain a specific qualification is a requirement of your job and a condition of your appointment, Council will reimburse course fees and expenses, and will grant appropriate time off to attend courses and exams.

- If you voluntarily undertake a private course of study, which you think may indirectly benefit Council, you may apply to be reimbursed for some of the course fees, and some limited time off for study and exam.

3. **HEALTH AND SAFETY**

The Stratford District Council is committed to providing a safe and healthy working environment to all its employees. The Health & Safety in Employment legislation places obligations and responsibilities on both the Employer and the employees, to ensure the safety of employees while at work, and the safety of the public.

3.1 **Managers Responsibilities for their Staff**

Individual managers are responsible for the Health & Safety of their own staff. Managers are required to develop, document and regularly review appropriate systems and procedures, to ensure that all practicable steps are taken to provide a healthy and safe working environment for their staff. This includes:

- (a) Establish procedures to systematically identify and assess hazards (existing – potential – new).
- (b) Develop an action plan to eliminate, isolate or minimise these hazards.
- (c) Ensure that staff are effectively informed of these hazards (keep a record).
- (d) Ensure that all staff (new and existing) are adequately trained about safe work practices, and have sufficient knowledge and experience of the work, machinery, or substances, or that they are closely supervised by someone who has. A record must be kept of all safety training provided, showing the name of the employee, nature of training, and date.
- (e) Ensure that staff are involved in the development and review of safety procedures.
- (f) Where appropriate, regularly monitor (and document) the health of staff in relation to exposure to hazards.
- (g) Ensure that all work related accidents are systematically recorded in Council's Register, and, that the Occupational Safety and Health Service is promptly informed when a "serious harm" situation has occurred.

(Definition of "serious harm": permanent or temporary severe loss of bodily function, amputation, severe burns, loss of consciousness, or any harm causing over 48 hours hospitalisation).

3.2 **Your Duties And Responsibilities For Health And Safety**

- (a) You are required to take all reasonably practicable steps to ensure that actions at work (yours or someone else's) do not cause harm to yourself or to others, or to members of public.

- (b) You are required to wear protective clothing, use protective equipment where appropriate, and follow safety procedures as directed. Failure to do so will lead to disciplinary action.
- (c) You have a duty to report immediately to your manager any hazards and dangerous situations you come across. Forms are available from the Pay Office. These “Hazard Identification” forms will be followed up by Management and the Health and Safety Committee. Any practical suggestion you may have for improvement is welcome and will be given due consideration. Council relies on you to have an active input, so that your working environment is a safer place for everyone.
- (d) You are required to report accidents, near misses and injuries to yourself, others, or council assets as soon as possible. Accident Report forms are available from Pay Office staff. Disciplinary action will be taken when an employee fails to report an accident or injury (refer also to the ACC paragraph below).
- (e) Should you observe a clearly dangerous situation at work, presenting an imminent risk of injury to yourself or others, you are expected to respond immediately and take whatever corrective action you think is appropriate in the circumstances in order to prevent injury from occurring. *(Refer also to (c) and(d) above.)*

3.3 ACC

If you are unable to work due to an accident or injury (whether it occurred at work or not), you must notify your supervisor as soon as possible. Your ACC claim must indicate clearly, whether the accident/injury was work related or not. ACC will seek confirmation of the work related accident/injury details from Council.

You should provide your supervisor with a copy of the ACC form, medical certificates and other documentary evidence of your continued eligibility to ACC if your absence is prolonged.

You are required to keep your supervisor informed of progress and of an estimated date for your return to work.

If the accident/injury is work-related, the employer will pay you your normal weekly earnings for the first week of absence. ACC pays thereafter (at 80%).

If the accident is not work related, ACC starts paying you (at 80%) after your first week of absence. You may use your sick leave entitlement to cover the first week.

You may use your sick leave entitlement to cover the 20% shortfall in compensation after the first week.

3.4 Health and Safety Committee

The new Health & Safety Legislation (2003) makes it mandatory for employers to develop a system of employee participation in the on-going management and improvement of work safety. This must be achieved in good faith and in co-operation with the employer, elected employees, and union representatives.

Council operates a Health and Safety Committee, with delegates representing employees from various areas of Council operations, meeting on a regular basis. You are encouraged to take an active interest in all Health and Safety matters, and liaise with your delegate. Your input and contribution are essential.

For further information, contact the Operations Manager, who acts as co-ordinator of the Health and Safety Committee.

3.5 **Health Matters**

All employees will have access, at no cost to the employee, to an annual inoculation for influenza. This will be provided through a Council appointed local medical practitioner.

Staff who regularly work with computer screens for periods totalling three hours per day or more, are encouraged to have their eyes tested, in accordance with the Code of Practice issued by the Department of Labour. These tests will be at the employees expense.

3.6 **First Aid Kits and Fire Extinguishers**

First Aid kits and fire extinguishers are located in various work areas and in some work vehicles. Your supervisor will advise you where the nearest one is.

Please report any insufficient supplies and shortages to your supervisor, and the Health and Safety Committee delegate.

Any abuse or misuse of the First Aid kit or fire extinguishers will lead to disciplinary action.

3.7 **Emergency Procedures/Evacuation Plans**

Notices outlining action in the event of an emergency or evacuation are prominently displayed throughout the premises, and you are expected to familiarise yourself with these procedures.

When you hear fire alarms you must leave the building as quickly as possible and assemble outside by the nearest available exit. Once outside, remain in your designated assembly point and do not leave the area unless specifically instructed to do so. Do not re-enter the building until instructed to do so.

A number of Fire drills are carried out each year, to ensure all staff are familiar with the procedures.

Managers and supervisors have a duty to inform all new employees about emergency procedures and exits for their work area, as well as the location of fire extinguishers, First Aid Kits, and panic buttons where appropriate.

If, at the time an emergency strikes (ie. fire, earthquake, armed robbery or other attack etc ...) you happen to be in a place other than your usual work area, you must make contact urgently in order to establish that you are safe.

FIRE***In the event of a fire (or a supposed fire):***

- 1. Remove yourself and others from immediate danger.***
- 2. Activate nearest fire alarm (where fitted) and/or dial 111 (FIRE)***
- 3. Contain fire and smoke by closing doors and windows between you and the fire.***
- 4. Extinguish fire IF SAFE TO DO SO.***
- 5. Follow evacuation procedure.***

3.8 Civil Defence

The Council has a statutory responsibility to plan for and manage the response to a Civil Defence Emergency. Any such emergency will place a considerable extra workload on most areas of the Council's operations. Therefore, all Council employees will have a role to play in an emergency in meeting the increased workload in those areas worst affected by the emergency.

For Council to achieve this leadership and response role all employees are expected to take appropriate measures to ensure that their families are safe and able to cope, thus allowing the employee to work. These measures may include a household evacuation plan, family emergency plan, a survival kit, belonging to a Neighbourhood Support Group and anything else you feel may be necessary.

4. SMOKEFREE WORKPLACE

4.1 Smoking is totally prohibited in all Stratford District Council workplaces. This includes:

- All buildings, offices, corridors, toilets, cafeteria and staff rooms.
- All Council vehicles.

4.2 Two exceptions exist to the above:

- The Administration Building cafeteria will be totally smokefree only during office hours 7.30 am – 5.00 pm daily.
- Smoking may be permitted in Council vehicles that are assigned to an individual staff member, with the prior consent of the Chief Executive, passengers in the vehicle and the driver.

4.3 Repeated failure by an employee to abide by this Smokefree Workplace Policy, will lead to disciplinary action.

5. DRIVING COUNCIL VEHICLES

You may be in a job where you are required to drive a Council vehicle, either regularly or occasionally.

- It is your responsibility to ensure that you have a valid Drivers Licence for the specific type of vehicle, and that you carry your Licence with you whenever you drive. You are required to take due care of the vehicle, and to drive safely.
- If you are the nominated driver of a Council vehicle, you are responsible for:
 - regularly checking water, oil, tyres and registration.
 - ensuring that the vehicle is adequately maintained and serviced by the Council's workshop.
 - keeping the vehicle clean and tidy.
 - adequately housing the vehicle overnight in an off the road situation.
- If you become disqualified from driving, and would normally drive a Council vehicle, you must notify your manager immediately. Driving a Council vehicle while disqualified will be considered serious misconduct, and is likely to result in dismissal.
- Any fines or penalties you incur while driving a Council vehicle are your responsibility to pay.

6. LEAVE

This section covers the following types of Leave:

- Annual Leave (or annual Holiday)
- Days in lieu, time in lieu
- Sick Leave/Domestic Leave
- Bereavement Leave
- Leave Without Pay
- Study Leave and Examination Leave
- Leave for Defence Force Volunteers ("Territorials")
- Jury Service
- Parental Leave
- Anticipated Leave

It is a fundamental principle of employment that any Leave taken by an employee must be duly authorised by an appropriate manager.

Any unauthorised absence is a serious breach of your obligations as an employee, and may result in dismissal.

A Leave form duly signed by an appropriate manager is evidence that the Leave has been formally authorised.

6.1 Annual Leave

Your exact Annual Leave entitlement is prescribed in your employment agreement. You become entitled to your Annual Leave when you have completed each year of service. Some Leave may be granted before the completion of the first year, on a pro-rata basis, but this is at the discretion of Council and any payment for Annual Leave will not exceed the amount of holiday pay accrued to date.

Annual Leave should be taken at a time or times mutually agreed in advance between you and your supervisor or manager. Reasonable efforts will be made to accommodate your wishes regarding the timing of your leave, unless it unreasonably interferes with work programmes. Should your leave be declined, you should discuss a mutually acceptable alternative time with your supervisor or manager. Therefore, to avoid disappointment, Annual Leave should be applied for well in advance.

Once your Leave has been approved in principle, you should obtain a Leave form and hand it in to your supervisor, who must authorise it before forwarding it to the Pay Office. Please indicate clearly whether you wish to receive your holiday pay *in advance*.

It is not acceptable for an employee to simply take Annual Leave, without prior approval from his/her supervisor. This would be considered unauthorised absence, constituting misconduct, and may result in dismissal.

REMEMBER:

1. Plan your Leave as far in advance as possible.
2. Contact Pay Office to check whether you have sufficient Leave available.
3. Discuss your plans with your manager. If your Leave is agreed in principle:
4. Fill in a Leave form and get it signed by your manager before your Leave starts, and send to Pay Office.
5. Unauthorised absence is serious misconduct and may result in dismissal.

STRATFORD DISTRICT COUNCIL'S FORMAL POLICY ON ANNUAL LEAVE IS:

Stratford District Council Annual Leave Policy

Ideally, employees should take their annual leave entitlement (ie. four weeks/20 days) in the year following completion of each 12 months continuous employment, at a time or times mutually agreed in advance with their manager. Requests to take annual leave must not be unreasonably withheld, and employees are entitled by law to take at least two consecutive whole weeks off, if they so wish.

Excessive accumulation of annual leave is not acceptable, firstly because it is not healthy for employees to work too long without time off, and secondly because it creates an unacceptable financial liability for the employer.

- *For these reasons, Stratford District Council employees are required to plan and use their annual leave, so that they do not carry more than a total of two years entitlement on their anniversary date (ie. eight weeks), except with the written authorisation of the Chief Executive. (The number of annual leave days accumulated to the last anniversary date is shown on payslips.)*
- *Where an employee has an excessive accumulation of annual leave on their anniversary date, management will instruct the employee to take leave, at a time and dates determined by the employer, giving the employee a minimum of 14 days notice (Holidays Act, section 19).*
- *Accrued Days-in-Lieu (after working on a public holiday) and Time-in-Lieu-of-Overtime (if this is covered by the employment agreement) must be used up before using available annual leave.*
- *Some long serving employees receive the three working days that fall between 26 December and 1 January as additional annual leave. Where an employee receiving these additional days is required to work on any of these days, he/she shall be reimbursed with equivalent time-in-lieu.*
- *Employees who do not receive these additional leave days are expected to work as usual, or may use their normal annual leave entitlement. Note that the Administration building doors are closed to the public during these three days.*

6.2 Days in Lieu and Time in Lieu

- Any employee who works on a Statutory Holiday is entitled by law to an alternative day off on pay. This is called Day-in-lieu of a Statutory Holiday.

If, with your manager's approval, you work on a Statutory Holiday, you must record the hours worked on a Time Sheet, signed by your manager and forward it to the Pay Office, in order to record your entitlement to a Day-in-lieu.

Any application to take a Day-in-lieu must be supported by a standard Leave Form, clearly stating Day-in-lieu, signed in the usual manner by your manager and forwarded to the Pay Office.

If you are applying for annual leave, and you have a recorded credit of Days-in-lieu, these will be automatically used up before using your available annual leave.

- Depending on your specific Employment Agreement, you may, if you are eligible, request to be granted Time off in lieu, if your manager agrees.

You must record the hours worked on a Time Sheet, signed by your manager and forward it to the Pay Office, in order to record your entitlement to time-in-lieu.

Any application to take time-in-lieu must be supported by a standard Leave Form, clearly stating time-in-lieu, signed in the usual manner by your manager and forwarded to the Pay Office.

All accrued Time-in-lieu must be used up before using your available annual leave.

6.3 Sick Leave

Your exact entitlement to paid Sick Leave is specified in your Employment Agreement.

- **Please note:** Sick Leave is not to be treated as additional paid holiday. It is to be used strictly for its intended purpose. Any proven misuse of Sick Leave will be considered misconduct and may result in dismissal.

If you are sick and are unable to work:

- Contact your supervisor or manager as soon as possible on the first morning of absence, preferably before your usual start time, or at least no later than half an hour after your usual start time.
- Ask someone else to do it for you if you are too sick yourself.
- Obtain a medical certificate if your absence exceeds the number of days stated in your Employment Agreement (usually two or three days), and send it to your supervisor or manager.
- Contact your supervisor regularly to let him/her know how you are progressing and when you are likely to return to work.

On return, fill in a Sick Leave form.

- **Leave Without Pay** may be approved if you have run out of Sick Leave. This will be at the discretion of Council, having regard to individual circumstances. With your authorisation, Council may seek an opinion from your doctor as to the likely time frame for your return to full duties.
- Council may, in some circumstances, require you to undergo a medical examination, at Council's expense. Details of these circumstances are specified in your Employment Agreement.

6.4 Domestic Leave

Domestic Leave is when you may use your own Sick Leave entitlement in order to care for an immediate member of your family who is ill.

Your exact Domestic Leave entitlement is specified in your Employment Agreement.

The procedure for Domestic Leave is the same as for your own Sick Leave:

- Contact your supervisor or manager immediately.
- Provide medical certificates as required.
- Keep your supervisor informed of progress and likely return date.
- Fill in a Leave form on your return.

6.5 **Bereavement Leave**

Your Bereavement Leave entitlement is specified in your Employment Agreement.

If you suffer a Bereavement and wish to take time off work, here is what you should do:

- Contact your supervisor immediately, and state how much time off you are requesting.
- Your supervisor will notify your Head of Department, who is able to authorise up to 3 days off on Bereavement Leave.
- If, due to your personal circumstances, you anticipate that you will need more than 3 days away from work, you may contact the Chief Executive (or forward your request through your Head of Department).
- You may be able to extend the length of time off, beyond your actual Bereavement Leave, by using your Annual Leave or Domestic Leave entitlements, or applying for Leave Without Pay.
- A Bereavement Leave form must be signed when you return.

6.6 **Leave Without Pay**

This is not an automatic entitlement, and is entirely at the discretion of the employer, applying in exceptional circumstances only.

Council's formal policy for Leave Without Pay is as follows:

The Chief Executive has discretion to approve applications for Leave Without Pay, having regard to the following:

- a. The circumstances of the case*
- b. Is the proposed time away convenient for Council?*
- c. Can the work of the employee continue to be done in his/her absence at no extra cost to the Council, taking into account savings in wage or salary?*
- d. Has the employee used up all his/her appropriate Leave entitlements?*

- e. *Length of service.*
- f. *Personal work performance.*
- g. *Exceptionally, instead of granting Leave Without Pay, the Chief Executive may authorise an employee to take Annual Leave in Advance (ie. in excess of Leave accrued to date) on the following conditions:*
 - *The excess Leave will be deducted from future Leave entitlement accrual.*
 - *The employee agrees in writing that, should he/she terminate employment before the excess Leave has actually been accrued, he/she will be required to repay Council for any overpayment of Holiday Pay received in advance.*

If you wish to apply for Leave Without Pay, here is what you should do:

- Discuss your circumstances with your manager, as early as possible before hand, stating clearly the length of time off you wish to apply for.
- Your application must be approved by the Chief Executive.
- Once your Leave is approved in principle, you must fill in a Leave form and present it to the Pay Office, duly signed.

6.7 **Study Leave and Examination Leave**

Please refer each case to the Chief Executive.

6.8 **Leave for Defence Force Volunteers (“Territorials”)**

You are legally entitled to take Leave to do voluntary training in the armed forces:

- Full time training - maximum 3 months per year.
- Part time training - maximum 3 weeks per year.

You must give Council at least two weeks notice. It is UNPAID leave.

Your job is protected (continuous service).

Council can apply for a postponement on grounds of hardship (unreasonable disruption to work, etc).

6.9 **Jury Service**

If you are called for Jury Service, here is what you should do:

- Notify your manager immediately, specifying the dates.
- In exceptional circumstances, where your attending Jury Service would cause unreasonable hardship and disruption to your work, a written request may be made to the court for dispensation
- Council will pay you at your ordinary pay rate while you are serving on Jury. This will be considered as special leave, and not impact your entitlements to other forms of leave.

- You are required to hand over to the Pay Office any reimbursement that you will receive from the Court, to offset the cost of your salary or wages. Please forward all documents you receive to the Pay Office.
- If you are called up for Jury Service, but you are not selected, you are required to return to work as soon as possible.

6.10 Parental Leave

The Parental Leave and Employment Protection Act 1987 provides that employees can take up to 52 weeks Leave and have their job back at the end of the Leave period, without loss of conditions. You may apply for Parental Leave if:

- you are pregnant.
- your partner is pregnant.
- you are adopting a child under 5; and
- you have worked for the Council for at least 12 months for an average minimum of 10 hours per week, including at least one hour per week or 40 hours per month.

From 1 July 2002, Paid Parental Leave is available. This is a tax funded scheme, and you must send your application to the Inland Revenue Department who administer the scheme. Parental Leave beyond 14 weeks is unpaid.

Please contact Pay Office for more detailed information about your entitlements and obligations regarding Parental Leave.

6.11 Anticipated Leave

It is noted that current employment contracts do not provide for anticipated leave. However, in special circumstances, anticipated leave may be granted at the discretion of the Chief Executive.

However, it is noted that anticipated leave will only be granted in cases that are unlikely to cause a precedent.

7. PROTECTED DISCLOSURES INTERNAL POLICY FOR COUNCIL EMPLOYEES

The Protected Disclosures Act 2000 offers protection to employees who disclose “serious wrongdoing” happening (or having happened) in their workplace.

You may wish to disclose information under the protection of this legislation if you believe that “serious wrongdoing” (see definition below) is occurring, or has occurred, at the Stratford District Council, and you believe it is true, or likely to be true, and you believe that the wrong doing should be formally investigated.

Provided that you follow the internal procedure set out below, you will be protected from any potential retaliation or disadvantage caused by your making the disclosure

(ie. discrimination, lack of promotion, disciplinary action, dismissal). Your identity will remain confidential, unless you agree otherwise, or unless revealing your identity is essential to the investigation, or to prevent a risk to public safety, or for reasons of natural justice.

Please note that the law does not provide any protection to employees who make malicious, vexatious, or knowingly false disclosures.

7.1 Definition of “Serious Wrongdoing”

- Unlawful, corrupt use of public funds or resources.
- Serious risk to public health, safety or the environment.
- Serious risk to the maintenance of the law.
- An offence against the law.
- Gross mismanagement/gross negligence by a public official.

7.2 Procedure to Follow if You Wish to Make a Disclosure

- You may make a disclosure verbally, but the person who receives your information may request it in writing prior to taking action.
- **You must make your disclosure to the following people, in this order:**
 1. First instance: Any Head of Department
 2. Failing satisfaction: Chief Executive
 3. Failing satisfaction: Mayor
 4. Failing satisfaction: The Ombudsman, or other appropriate Authorities, such as: Commissioner of Police, Auditor General, Director of Serious Fraud Office, Solicitor General, Minister of the Crown. (For further information, contact the Office of the Ombudsman).
- **Your disclosure should provide detailed information including:**
 - The nature of the wrongdoing.
 - The name(s) of the person(s) involved.
 - Relevant surrounding facts, time, place etc.
 - That you wish your disclosure to be protected.
- **You may bypass one or all of the first three internal steps if you believe that:**
 - The person receiving the information is involved in the “serious wrongdoing”; or
 - The person receiving the information has a close association with the person suspected of the “serious wrongdoing”; or

- Immediate reference to an external authority is justified by reason of urgency.
- You may escalate to the next step if there has been no action within 20 working days.
- You must not contact the person suspected of serious wrongdoing.
- You must not personally conduct investigations or interviews in relation to the suspected serious wrongdoing.

7.3 **Actions Required In Response To Your Disclosure**

- The person who formally receives your disclosure will record the date and details of your disclosure, and provide you with information and guidance about your rights under the Protected Disclosure legislation, including your right to take the matter further, to a Minister of the Crown or an Ombudsman.
- The person will conduct a thorough investigation. Every effort will be made to protect your identity.
- The person will advise you within 20 days on how the matter has been dealt with.
- The person will advise the Chief Executive if the matter is being taken to a Minister of the Crown or an Ombudsman.
- In the Chief Executive's absence: matters should be referred to the Acting Chief Executive (if one has been appointed), or, failing that, the Corporate Services Manager, or, ultimately, any other Head of Department.
- In the event that the Chief Executive is allegedly implicated in the "serious wrongdoing", all the above actions will be required by the person to whom your disclosure has been escalated (Mayor, or Ombudsman, or Minister of the Crown).

8. **EMAIL, E-COMMERCE AND INTERNET POLICY**

Individual staff's access to e-mail, e-commerce and the Internet on Council computers must be approved by the Head of Department.

Approval is only granted where the use of the facilities is appropriate to the work of the individual staff. In general terms, private or recreational use of Council's email or Internet are not authorised. Material received and sent is considered corporate property, and not private to the individual staff member. Misuse of email or internet by staff is likely to lead to disciplinary action.

9. **PROVISION OF TELEPHONES**

Where it is deemed necessary as part of the requirements of the job that an employee is contactable after hours, then the employee will either be provided with

a mobile phone, useable as per the use of telephone policy; or have 50% of the monthly standard line charge for a home telephone reimbursed as an expense claim.

10. CHANGE OF ADDRESS

It is important that we have your current address and contact phone number, so that we can contact you in case of emergency, or send you formal documents if necessary.

- Please let Pay Office know if you change your address or phone number.
- Please let us know if there is a change of personal circumstances affecting your “next of kin”.
- This personal information will be treated as confidential, and will be kept secure. It will not be released to unauthorised persons.

11. EXPENSES

- All authorised actual and reasonable expenses you incur while carrying out your Council duties will be reimbursed by Council. You are required to produce receipts for all expenses claimed. If in doubt, check with your manager before incurring expenses. The reimbursement must be approved by your direct supervisor or manager (if he/she has financial delegation), or alternatively by your Head of Department.
- The following are some general guidelines in regard to some of the more common types of expenditure. These are general and from time to time there may be good reason to go outside them. However it would be wise wherever possible to clear your intended actions with your Manager beforehand if possible.

Travel

This would normally be by air. In such cases the staff member is expected to take the cheapest option unless flexibility in travel times or dates is required. Also the sooner travel is booked, the more likely a lower fare will be available. There is no particular restriction on which airline to use, the overriding factors being the cost and the convenience of the airlines’ schedules.

On occasions travel by car will be more appropriate or in fact the only way to go. In such cases pooling should always be considered (if a number are travelling to the same destination or event) and use of Council owned vehicles (rather than rentals) will generally be more economic.

Overseas travel must always be approved by the Chief Executive beforehand. Economy fares are to be taken in all cases. Where a flight is for the Mayor, Councillors or Chief Executive and is for more than eight hours, Business Class fares may be used. In no circumstances are First Class fares permitted. There is no particular restriction on which airline to use, the overriding factors being the cost and convenience of the airlines’ schedules.

Parking And Traffic Fines

Council staff are expected to obey all parking and speeding rules and laws. Consequently any fines of this nature will not be paid for or reimbursed by the Council.

Airpoints

When flights are paid for by the Council any airpoints that are earned may be credited to staffs' accounts provided that no additional expense is incurred by the Council in taking flights for which airpoints apply. In other words a "super thrifty" fare with no airpoints attached should be taken if available rather than request a full fare with airpoints "because the Council is paying for it".

Accommodation

Accommodation should be booked in a safe, clean facility that does not exceed the mid-range pricing for that location. Factors such as availability, cost and time of transport in relation to the location being visited and the location of the accommodation should also be considered. Considering the answer to the following two questions will help in making a decision:

- Could the expenditure be justified to a ratepayer?
- If the expenditure was made public would you feel comfortable?

Reimbursement of privately arranged accommodation will not exceed \$50.00 per night.

Meals

When travelling on Council business, depending on the time away from Stratford, staff may have breakfast, lunch and an evening meal provided.

The costs of such meals should not be excessive. As a general rule breakfasts should not cost more than \$25.00, lunch not more than \$20.00 and an evening meal not more than \$50.00.

Coffee and/or tea mid morning and afternoon is appropriate and will be reimbursed but in between meals such as cakes/muffins etc. at morning or afternoon teas are considered a personal expense and will not be paid for or reimbursed.

Alcohol

The consumption of alcohol with meals is accepted practice although considerable moderation is expected during the working day. After hours drinking is permitted with meals and on other appropriate occasions such as at Council functions, conferences and entertaining clients and guests.

Again moderation is expected not only as to the quantity consumed but also the cost of alcohol. Except in special circumstance no more than one glass of wine or one beer or one nip of spirits per person should be consumed at the Council's expense.

There is of course no limit on consumption if you are paying personally (although you are expected to conduct yourself appropriately when representing the Council).

The use of mini bars for either drinks or snacks will not be paid for or reimbursed. Generally these will be consumed when one is on ones own and hence is considered a personal expense.

Tipping

Tipping is not a recognised practice or requirement in New Zealand or Australia. If made it will be regarded as a personal expense and will not be paid for or reimbursed.

In the USA and Europe tipping is accepted and expected. In such circumstance tipping will be accepted as a legitimate expense but again only in moderation (guidance in this matter can usually be obtained from the Travel Agent arranging your travel).

In other countries local customs should be followed.

Koru Club Membership

Generally this is not appropriate and will not be paid for by the Council.

- The use of private vehicles for Council business is not encouraged and all staff must make use of the available Council pool vehicles in the first instance. Where this is not possible and you use your private vehicle (with your manager's approval), mileage reimbursement is available for travel within the Taranaki area. Where, with prior approval from your Head of Department, you use your private vehicle to travel outside the Taranaki area on Council business, the rate of reimbursement will be the equivalent public land transport rate (air, bus or rail), or mileage reimbursement, whichever is the lesser. You are required to keep a detailed log of distance covered, dates, and reasons for the trip. Log forms are available from Finance and must be signed by your manager before being sent to Finance to action reimbursement.

12. GIFTS TO STAFF - (from companies or individual members of the public)

It is important to avoid any suggestion of potential bribe or inducement arising from the acceptance of gifts to staff from companies or individuals. Public office has a level of accountability that is different from the private sector.

Generally, gifts beyond the value of \$60.00 should be returned with courtesy and the comment that employment in public office causes difficulties in accepting such gifts. In no case should a gift of cash of any amount be accepted.

Where the gift relates to the perceived performance of a Department or a Team of staff, it is best if it can be shared amongst everyone (simple if it is consumable!) There is no difficulty in accepting gifts such as calendars, diaries, appointment books, etc.

In all cases where gifts are accepted, the person making the gift should be acknowledged and thanked in writing within a week. A copy of the acknowledgment should be given to your supervisor.

13. COUNCIL INSURANCE

Council's insurance covers employees for a variety of situations, including:

- **Professional Indemnity Insurance:** to cover professional staff against potential allegations of negligence during the course of their duties.
- **Public Liability Insurance:** to cover employees against accidental damage caused to a third party property during the course of their duties.
- **Motor Vehicle Insurance:** to cover employees duly authorised to use a Council vehicle.
- **Travel Insurance:** to cover Elected Members, Executives and Employees against:
 - Personal accident
 - Medical and additional expenses
 - Baggage/Business property

while they travel **outside of New Zealand** on Council business.

- **Material Damage Insurance:** provides cover for employees' personal effects in certain circumstances.

Please note:

1. Reckless behaviour or deliberate acts by an employee outside the terms of the Council Insurance Cover may result in the insurance cover being voided, leaving the Council or the employee without insurance. This may lead to disciplinary action being taken.
2. Be careful about admitting liability or promising recompense on behalf of the Council. You should advise and consult the Insurance Officer at the earliest opportunity if there is, or is likely to be, an insurance claim.

*For further information on Council Insurance,
please contact the Corporate Services Manager*

14. **EMPLOYMENT**

INTRODUCTION

This policy outlines the procedures for recruiting and deploying staff for the Stratford District Council.

PURPOSE

The purpose of this policy is to ensure consistency throughout the organisation and to minimise the risk of litigation in terms of the Employment Contracts Act.

EMPLOYMENT ENQUIRIES

Enquiries received in regard to employment with Council are to be directed to the Executive Administration Officer. They will consult with the appropriate Departmental Manager and reply to the enquiry accordingly.

Curriculum Vitae from employment enquiries are not held on file for future reference.

RECRUITMENT PRINCIPLES

- If a position is advertised, it will always be advertised internally. In addition, it may be advertised externally.
- Internal and external advertisements to be placed on staff notice boards.
- Recruitment to take into account Council's Equal Employment Opportunity Policy.
- Best person for the position; not "the best of a bad bunch". If applications are not suitable other options to be investigated ie. re-advertise position.
- Prospective employees to be made fully aware of their roles, functions, responsibilities and rewards.
- New employees to be team players and to be part of the Stratford District Council team.

ADVERTISEMENTS

All advertisements will be co-ordinated by the Executive Administration Officer after approval by the Chief Executive.

Positions will be advertised in the Stratford Press and Daily News and Council website. They may also be advertised in other suitable media if warranted.

The vacancy notice will include:

- Stratford District Council logo.

- Position title.
- A summary of the primary objectives and key tasks.
- Qualifications required.
- Part-time positions to show Council's preferred hours of work.
- Call for submission of Curriculum Vitae from interested parties.
- The closing date will be at least ten days after the first advertisement appears; closing time will be 4.30 pm on specified date.
- **Note** job description and respective contract will be forwarded to those selected for an interview.
- Who applications are to be addressed to.
- **Note** Stratford District Council is an Equal Employment Opportunity Employer.

JOB DESCRIPTION AND CONTRACT PACKAGE

This package will be co-ordinated by the Executive Administration Officer and forwarded to those applicants selected for an interview as soon as possible.

A summary sheet will front the job description and contract package, and will include a brief description of the Stratford District, a summary of the position, qualifications, experience and salary.

The job description will be compiled by the Departmental Manager and approved by the Chief Executive.

In general, Council's current employment contract template is to be used for the employment of all staff.

APPLICATIONS

- Applications will be acknowledged by the Executive Administration Officer as they are received.
- Following closing date, the Departmental Manager will peruse the applications received and construct a short list for interview. The Chief Executive is to be advised of the short list.
- The Executive Administration Officer, in liaison with the Departmental Manager, will arrange interviews and letters (return of CVs) to unsuccessful applicants.

INTERVIEWS

- The interview panel will consist of a minimum of two Council staff.
- In accordance with Council's Equal Employment Opportunity Policy, gender representation will be a consideration for interviews.
- The interview is to determine the applicant's skills, expertise, experience, qualifications, etc.
- The interview panel will make a recommendation to the Chief Executive.

- Following the conclusion of the necessary discussions and negotiations, the successful applicant is to sign the employment contract before commencing work.

INTERVIEW TRAVEL EXPENSES PROCEDURES

1. Interviewees who reside in the Taranaki region do not qualify for expense claims for attending interviews.
2. Interviewees who reside outside the Taranaki region qualify for travel expenses to be reimbursed. These expenses will be limited to the appropriate airfare or current public service vehicle allowance mileage rates, whichever is the lesser.

All claims for travel expense reimbursement in terms of the above shall be submitted on Council's Interview Expenses Claim Form and will be co-ordinated by the Executive Administration Officer during the interview process.

15. **RESIGNATION**

The minimum notice of resignation you are required to give is stated in your letter of appointment, or your employment agreement. However, an earlier notification would be very helpful, if at all possible.

Your resignation should be submitted to your supervisor or manager, preferably in writing, stating clearly the date you will be terminating.

You will be provided with written details of your final pay, and a Certificate of Service as evidence of your employment with the Stratford District Council.

You are required to return all Council property, tools and equipment, Work Identity Cards, keys, uniforms, etc ... prior to your departure.

If you would like an exit interview as an opportunity to provide useful feedback to the organisation, you can request such an interview with either the Chief Executive or your Departmental Manager.

16. **RETIREMENT**

It is unlawful for employers to impose retirement on employees at a specified age.

Many employees choose to retire around the time they become eligible for National Superannuation, and that is entirely their choice.

If you intend to retire in the next year or so, it would be appreciated if you informed your manager as early as possible, to allow forward planning for your succession.

SEMINARS

It is desirable to assist employees to plan for their retirement. Employees who have reached the age of 45 and have a minimum of five years service are eligible to attend one employer approved subsidised retirement planning seminar. The subsidy will meet 50% of the course attendance fee for the employee and his/her

partner. Time will be granted to attend the seminar without affecting leave entitlements.

17. **PERSONNEL FILE ACCESS**

The Stratford District Council as part of its employment function maintains employee personnel files. These files are kept in a secure environment with restricted access.

Files, and the security thereof, are maintained by the Executive Administration Officer, with a subset maintained by the Accountant for payroll purposes.

AVAILABILITY OF FILES

- The Chief Executive has access to all files.
- The acting Chief Executive has access to all files in the absence of the Chief Executive.
- Departmental Managers have access to the files of the staff responsible to them.
- Individual employees have access to their own file.

All files may be perused only in the presence of the Chief Executive, or the Executive Administration Officer, or the Accountant. In the case of the latter two, if they are perusing their own file, then one of the other two must also be present.

ERRORS AND/OR OMISSIONS

Any errors and/or omissions must be brought to the attention of the Executive Administration Officer and the Chief Executive. If an error and/or omission is proven in fact, it must be corrected by the Executive Administration Officer.

18. **POLICY CHANGES**

Existing policies may be amended from time to time, or new policies introduced. These changes will be carried out in accordance with the policy on policy development.

PART TWO

EXPECTED STANDARDS OF BEHAVIOUR FOR ALL STRATFORD DISTRICT COUNCIL EMPLOYEES

In the employment relationship, both the employer and the employee have obligations towards each other, as well as legitimate expectations of each other:

- The Stratford District Council's obligation towards its employees is to be a good employer.
- In return, employees also have obligations towards their employer. These obligations extend beyond the basic carrying out of specific tasks, and include personal behaviour in the workplace. Employees' personal behaviour must meet reasonable standards, and the Council has a duty to clearly communicate these standards to its employees.

The purpose of this section is to establish clear guidelines about the standards of behaviour expected from all Stratford District Council employees, in all work-related circumstances.

1. WORK PERFORMANCE

In order to fulfil your side of the Employment Agreement, you are expected to meet the requirements of the job you have been appointed to do, after appropriate training. The length of time needed to reach full competence level will of course vary depending on the complexity of the job and your previous experience. Your manager has a responsibility to clearly explain what you are expected to do, and the standards required. He/she must inform you of any improvements required of you, and provide appropriate guidance and training to enable you to fully meet the requirements of the job within a reasonable timeframe.

Consistent failure to meet the job requirements over time, and in spite of reasonable remedial training, is likely to ultimately result in dismissal.

2. WORKING WITH OTHERS

- It is essential to maintain effective working relationships with the people you work with, whether they be co-workers, managers, supervisors, or subordinates, as well as members of the public. Where there is a problem, you are expected to take the initiative to help to solve the problem.
- The pressure of work may at times cause tension or frustration, but this is no excuse for being discourteous or inconsiderate. The way you behave at work affects everyone around you; a negative and uncooperative attitude does not solve anything. An amicable discussion is much more likely to lead to a practical solution to any problem you have.

- Offensive language and confrontational behaviour or shouting at other employees or the public is totally unacceptable, and disciplinary action will be taken where this occurs.
- Consistently uncooperative or obstructive behaviour is unacceptable, and will result in disciplinary action.

3. **PUNCTUALITY**

- You are required to observe strictly the hours of work stated in your Employment Agreement, and specifically agreed between yourself and your manager. It is your responsibility to make arrangements to be at work on time. If for any reason you are delayed, you should notify your supervisor within half an hour of your usual starting time. Punctuality is also expected when you take your lunch and tea breaks. If there is a departure from the standard hours, this must be agreed with your supervisor, and not simply assumed to be acceptable.
- Repeated breaches of punctuality may lead to disciplinary action.
- If your personal circumstances mean that you are experiencing difficulties being at work on time, please discuss the matter – in confidence – with your manager to explore options and possible solutions.

4. **PERSONAL PRESENTATION**

The specific standard of dress required for your job is determined by your manager, and will of course depend on your occupation, and the occasion. For example, if you are required to appear in court as a witness for the Council, you may be expected to dress more formally than you would for your day-to-day work.

As a general rule, you are required to observe a reasonable and acceptable standard of dress appropriate to the type of work you do and the people you deal with. For example:

- Front Desk, administrative, and professional staff are expected to wear business-like clothing and project a professional image.
- Staff working outside are highly visible and clearly recognised by the public as “the Council”. It is therefore important to be clean and tidy at the start of the working day and wear appropriate work clothes – where safety or protective clothing is provided, it must be worn, as directed by your manager or supervisor. Failure to do so may result in disciplinary action.
- Where a uniform is provided, employees are required to wear it and take proper care of it.

Managers and supervisors will monitor their staff’s personal presentation and take corrective action if necessary.

5. **USAGE OF TELEPHONES**

- It must be remembered that a large proportion of Council's internal and external business is transacted by telephone, which places a heavy demand on the system and the telephonists. Council pays commercial rates for all telephones. Telephones are a work tool.
- However, Council acknowledges that many staff have family responsibilities, and accepts the need for short personal local calls to and from children and/or family members.
- Should you, in any emergency, need to make a national or international toll call during working hours, you are required to use the private pin number procedure, and you will receive an account for the cost of the call.
- Any abuse of the Council telephones for private calls is viewed seriously by Council, and is likely to incur disciplinary action.
- Council's computerised system records the telephone number, duration, time, and date of all outgoing calls from each telephone. This will provide evidence in cases of suspected abuse.

MOBILE TELEPHONES

- The use of Council mobile phones is for work-related purposes only, both within and outside working hours. General private use is not permitted, except to contact family out of hours and in justifiable emergencies. Misuse or abuse is likely to lead to disciplinary action.

Calls to and from mobile telephones are expensive, and represent a significant cost to Council. Wherever practicable, you should use a landline/desk telephone if there is one nearby. Where mobile calls are necessary they should be kept as short as possible.

When calling from a desk telephone, always try to contact the person you want on their landline number before trying their mobile number – landline calls are much cheaper!

- If you bring your own mobile phone to work, please insure it is not disruptive to your work and others. You should avoid using it (personal calls, text messages, etc...) during working hours, except in justifiable emergencies.

6. **PERSONAL PROBLEMS**

If you have personal problems, this may effect your concentration and your overall work performance. It is important to inform your manager (in confidence, you need not disclose details) so appropriate measures can be taken to assist you in your work if necessary. You may, if you prefer, contact the Chief Executive, who may liaise between you and your supervisor, and may also provide you with information on support and assistance available, in addition to the Workplace Support service.

Remember: We cannot help you unless you inform us of your circumstances and how they affect your work.

7. **PRIVACY OF PERSONAL INFORMATION**

The Privacy Act's objective is to provide protection for individual privacy in relation to the collection, use, access, correction and disclosure of personal information held by an employer, or a public sector agency.

General principles include:

- Any personal information must be obtained directly from you, or with your authorisation (unless the information is already publicly available).
- Your personal information will be kept secure and not be disclosed to unauthorised persons.
- You are entitled to have access to your personal file, check it, and if you think necessary, request correction.
- Council will take reasonable steps to ensure that, before using any personal information, that information is accurate, up to date, complete, relevant and not misleading.
- Information collected for one purpose will not be used for any other purpose. Specific exceptions are provided in the legislation, for example – the person gives agreement, or for public health and safety reasons, or for the purpose of law enforcement.

Council is committed to uphold these principles, in relation to all its employees, and to members of the public and private citizens using Council's services.

As an employee of Council, you are expected to abide by these principles, in your day to day work, in relation to your fellow employees, and, if you are a supervisor or manager, in relation to your subordinate staff.

These principles also apply to personal information relating to members of the public. It is vitally important that, unless personal information is publicly available (ie. electoral roll, telephone book, or any other public document), Council's customers be assured of the privacy of their personal information, in accordance with the Privacy Act.

To assist with the correct application of the Privacy Act, members of staff have been appointed as Stratford District Council's Privacy Officers:

- | | |
|--|---|
| ➤ Chief Executive:
Employees | Re Privacy matters concerning |
| ➤ Chief Executive:
public | Re Privacy matters arising from
Council meetings. |
| ➤ Corporate Services Manager:
general | Re Privacy matters concerning
Council information. |

8. **CONFIDENTIALITY OF INFORMATION**

- Apart from information which is in the public domain (ie. has been released in Council and Committee meetings open to the public, or is legally required to be open to the public), much of what you hear or read during your work is confidential.
- Do not discuss confidential matters with others, including staff unless it is their business to know these things, and never discuss them off the job.
- Never give out the names, private addresses or home phone numbers of colleagues, or members of the public, except where this is legitimately required for work purposes. Ensure that any personal details are kept secure and are not accessible to anyone who is not authorised.
- The Local Government Official Information and Meetings Act provides grounds for Council to exclude the public from some Council meetings (eg. to protect a person's privacy or to carry out commercial activities without prejudice or disadvantage). The release by an employee of information which has expressly been excluded from the public domain will be deemed to be serious misconduct and may result in dismissal.
- Any request for information under the Local Government Official Information and Meetings Act should be referred to the Chief Executive for reply.

9. **MEDIA RELEASES**

Releases to the Press and other Media are restricted to authorised staff:

- If you are approached by a reporter seeking information about Council, make no comment, and refer him/her to your Head of Department.
- Where you are authorised to comment on Council's behalf, restrict your statement to straightforward and factual information.
- Do not make personal comments. It is not acceptable to use the situation as an opportunity to vent your personal and private opinions on Council policies, or to pass comments which could bring Council into disrepute.
- If you feel unsure about the extent to which you may release information, or uncomfortable about being questioned, make no comment and refer the matter to your manager.
- Politically sensitive matters must always be referred to your Head of Department or to the Chief Executive.

10. **OUTSIDE EMPLOYMENT/OTHER COUNCIL ACTIVITIES**

- Any employment you undertake outside must be secondary to your main employment with the Stratford District Council. The Stratford District Council has first call on your services.
- Any other employment or out-of-work activities you undertake must not be of a nature which would conflict with or impair the performance of your Council duty.

- You must inform your manager, on a confidential basis, of any employment or other activities you undertake outside Council if there is a possibility that such employment or activities could conflict with or impair your performance of your Council duties.
- No Council premises, materials, tools, equipment or work-time can be used in connection with non-Council employment.
- The Local Government Act 2002 prescribes [Section 41 (5)] that any employee of a Local Authority who is elected to be a member of a Local Authority, must resign from his/her position as an employee before taking up his/her position as an Elected Member. 11.

CONFLICTS OF INTEREST

It is a reasonable expectation, from any employer, that employees do not deliberately undermine the employer's business, or bring it into disrepute, or deliberately act against the employer's legitimate interest.

As a Council employee, you represent "the Council" in the eyes of the public, even outside working hours. It is important that you conduct yourself in public in a manner which does not undermine Council's reputation, or which conflicts with Council's legitimate function.

In particular, staff who have an advisory role in the formulation of policies, as part of their job, and may have advance "inside knowledge" of potential changes, should be very careful not to be perceived to personally profit (financially or otherwise) from the implementation of the policies or changes.

This does not mean that Council employees cannot have their own opinion. Where there is a formal "Submission" process, staff are entitled to voice their opinion through the appropriate channels, like any other citizen.

It is however unacceptable for an employee of Council to take a public stance or carry out a public campaign against Council.

12. DISCRIMINATION

The Human Rights Act prohibits discrimination in relation to employment, including selection, conditions of employment, benefits, opportunities for training, promotion and transfer. It is unlawful to dismiss an employee because he or she comes within one of the categories of prohibited discrimination, or treat an employee in some detrimental way, where other similarly employed are not dismissed or treated in that way.

The prohibited grounds of discrimination are:

- Sex (gender), (including pregnancy and childbirth).
- Marital status.
- Religious beliefs.
- Ethical belief.

- Colour.
- Race.
- Ethnic or national origins (including nationality or citizenship).
- Disability (including physical disability or impairment, and the presence in the body of organisms capable of causing illness eg. HIV virus).
- Age.
- Political opinion.
- Employment status (ie. being unemployed, or receiving any kind of social security benefit or accident compensation).
- Family status.
- Sexual orientation.

The requirements of this legislation apply to the Council as the employer, and to all Council employees. You are therefore expected to abide by these principles, and avoid any discriminatory behaviour or language towards persons in the above categories. This includes members of the public as well as other employees of Council.

13. **SEXUAL HARASSMENT**

Sexual harassment will not be tolerated, and Council will take all necessary steps to prevent it and stop it. It may result in the dismissal of the perpetrator.

Sexual harassment can be any or all of the following:

1. When a person in authority (ie. supervisor, manager) makes a request of a subordinate employee for sexual intercourse, sexual contact, or other form of sexual activity, which contains:
 - (a) an implied or overt promise of preferential treatment,
 - (b) an implied or overt threat of detrimental treatment,
 - (c) an implied or overt threat about the present or future employment of the subordinate employee.
2. Sexual harassment may be by the use of words (written or spoken) of a sexual nature.
3. Physical behaviour of a sexual nature, towards another person, which is unwelcome or offensive, and which is either repeated or of such a significant nature that it has a detrimental effect on this person's employment, job performance or job satisfaction.

General Comments

It is important to understand that different people have different perceptions of what is acceptable or offensive. What is perceived by one as harmless fun or a joke can be perceived by another as deeply offensive and distressing.

Remarks containing sexual innuendoes should be avoided.

Any kind of touching of another person is best avoided as it could be misinterpreted.

If you feel uncomfortable with someone's language or behaviour (even if it is a person in authority) you should say so clearly (examples: "I find this sort of language offensive", or "please don't put your arm around my shoulder, it makes me feel uncomfortable").

If the behaviour persists you should discuss the matter with your supervisor, or if you prefer, contact the Chief Executive. The facts will be fully investigated (with the utmost confidentiality) and corrective measures will be put into place.

Any harassment of an employee by a member of the public, or vice-versa, is also totally unacceptable, and corrective measures will be taken by Council as soon as an incident has been reported.

14. ILLEGAL DRUGS AND ALCOHOL

Bringing illegal drugs or using such drugs on Council premises is not permitted. Alcohol should not be consumed on Council premises except for authorised or after-hours social functions. Being under the influence of alcohol or illegal drugs while at work is not acceptable. Abuse is considered serious misconduct and will result in disciplinary action.

15. COUNCIL PROPERTY

You are responsible for the proper care and safekeeping of Council property (including vehicles, protective clothing, tools, materials, equipment, etc) issued to you and under your control, and you are required to report any loss, defect or malfunction to your supervisor or manager. Materials, equipment and tools must not be taken home, and must not be used for purposes other than Council work, except with your manager's prior expressed permission.

PART THREE

DISCIPLINARY PROCEDURE FOR UNACCEPTABLE CONDUCT BY STRATFORD DISTRICT COUNCIL EMPLOYEES

- **Employers have a legitimate entitlement to set reasonable standards of work and appropriate behaviour applicable to their workplace.** They have a duty to inform their employees of the likely consequences of unacceptable standards of work, and/or unacceptable behaviour (ie. “misconduct”).

Any employment relationship has to be based on trust in order to be effective. Repeated occurrences of unacceptable work performance, or unacceptable behaviour by an employee, are likely to erode the employer’s trust towards that employee.

Where the trust placed by the employer on an individual employee is destroyed beyond repair, making a further working relationship impossible, (either through a gradual erosion over time, or following a single occurrence of very serious misconduct), the employer has a legitimate entitlement to terminate the employment relationship, and dismiss the employee through a formal disciplinary procedure.

- In any case of alleged misconduct (including unacceptable performance and unacceptable behaviour), employees have a legitimate entitlement to a fair and equitable disciplinary procedure which respects the principles of natural justice.

The purpose of this chapter is to illustrate the types of actions and behaviour which are unacceptable from Stratford District Council employees, and explain the likely consequences.

This chapter also explains the Stratford District Council formal Disciplinary Procedure.

EXAMPLES OF MISCONDUCT

1. SERIOUS MISCONDUCT

Serious misconduct is an action by an employee which is deemed to be so serious that the employer’s trust is destroyed, making a further working relationship impossible. The outcome (following the formal disciplinary procedure outlined) is likely to be **dismissal**.

The following examples of Serious Misconduct are indicative only. Actions not listed below may be deemed to be equally serious and also result in dismissal.

- 1.1 Fraud, theft, or acts of dishonesty against the Council.
- 1.2 Acts of gross negligence of duties.
- 1.3 Wilful damage against Council property, or against property belonging to another employee or a member of the public, during the course of your work.
- 1.4 Repeated or on-going failure to meet the required standards of work performance, after reasonable and appropriate training has been provided.
- 1.5 Deliberate acts to bring the Stratford District Council into disrepute or to undermine Council's legitimate business.
- 1.6 Deliberate acts constituting a serious conflict of interest.
- 1.7
 - (a) Refusal to carry out work assigned by a manager or supervisor.
 - (b) Walking off the job.
- 1.8 Using Council's confidential "inside information" for personal profit or financial gain.
- 1.9 Serious breach of confidentiality, resulting in the release of Council information deemed to be "confidential".
- 1.10 Being absent from work without authorised leave or notification to Council, or without good cause.
- 1.11 Grossly inappropriate and/or unethical use of Council's electronic communications, including Email and Internet.
- 1.12 Serious misuse or abuse of radio communications equipment, mobile telephones, etc.
- 1.13 Deliberate falsification of documents or records (including application forms, CVs, timesheets, medical records, expenses claims, Driver's Licence etc.)
- 1.14 Serious breaches of Health and Safety in the workplace, including:
 - Failure to take appropriate corrective action when a serious hazard has been clearly identified.
 - Failure to report an accident or injury resulting in serious harm.
 - Deliberate acts to adversely affect work quality or work safety.
 - Irresponsible behaviour resulting in the injury of a fellow worker.
 - Irresponsible use of fire protection or safety equipment.
 - Driving a Council vehicle, or operating Council machinery while under the influence of alcohol or illegal drugs.
 - Repeated failure to use/wear safety equipment after being previously warned about it.
- 1.15 Extremely abusive and/or offensive behaviour or language directed at another employee, supervisor or member of the public, in work related circumstances.

- 1.16 Physical violence against any other person on Council premises or while at work.
- 1.17 Sexual harassment of a serious nature.
- 1.18 Possession of Council property without proper authorisation, or taking property from Council premises without authorisation.
- 1.19 Possession of another employee's personal property without that employee's consent.
- 1.20 Driving a Council vehicle without an appropriate licence, or while disqualified.
- 1.21 Bringing, consuming or selling illegal drugs onto a Council workplace.
- 1.22 Consuming alcohol during working hours at the workplace, except where specifically authorised for after-hours functions. (Working hours include tea breaks, but do not include the mid-day lunch hour.)
- 1.23 Deliberate or reckless actions which void the Council's insurance cover.

2. **OTHER MISCONDUCT (LIKELY TO RESULT IN DISCIPLINARY ACTION)**

Misconduct is defined as unacceptable action or behaviour by an employee, which warrants formal disciplinary action, but not to a degree where dismissal would be justified on the first occurrence. However, repeated occurrences, in situations where formal warnings have previously been issued, may ultimately result in the employee's dismissal.

The following examples of misconduct are indicative only. Actions of misconduct not listed below may also result in disciplinary action.

- 2.1 Unsatisfactory performance, and failure to meet the required work standards, as set out in the Job Description or as directed by your supervisor or manager.
- 2.2 Failure to follow established safety standards and procedures, or failure to use protective equipment, or to wear protective clothing as directed by your supervisor or manager.
- 2.3 Failure to report potential hazards and dangerous work practices.
- 2.4 Failure to report accidents or injuries, even if they do not require medical treatment or time off work.
- 2.5 Deliberate misuse of tools, equipment, or any Council property, including vehicles, first aid kits, telephones, etc.
- 2.6 Failure to report the loss or defect of tools and equipment that are assigned to you.
- 2.7 Failure to report damage caused by yourself or another employee to any Council property, including tools, equipment, vehicles, etc.
- 2.8 Leaving your place or work without authorisation other than for tea and lunch breaks.
- 2.9 Inappropriate, disruptive or uncooperative behaviour, including inappropriate language and inappropriate dress.

- 2.10 Consistently poor motivation and lack of commitment, resulting in poor performance.
- 2.11 Waste of time or materials while at work.
- 2.12 Misuse of email or Internet.
- 2.13 Repeated lateness, or failing to work the agreed number of hours per day or per week (without leave).
- 2.14 Reporting to work whilst under the influence of alcohol or drugs, so that performance is impaired. Any repeat occurrence is likely to result in dismissal.
- 2.15 Failure to abide by the no smoking policy.
- 2.16 Failure, without good reason, to notify your supervisor or manager that you are unable to be at work at your usual time, because of illness or other reason.
- 2.17 Driving a Council vehicle outside work hours while under the influence of alcohol or illegal drugs.
- 2.18 Engaging in secondary employment which impairs or conflicts with the proper performance of your Council duties.

STRATFORD DISTRICT COUNCIL DISCIPLINARY PROCEDURE

The Stratford District Council is committed to follow fair and equitable procedures in all cases of alleged misconduct, including serious misconduct, which may result in disciplinary action or, in extreme cases, the dismissal of an employee.

Any disciplinary procedure involving the possibility of dismissal must be referred to the Chief Executive, and the decision to dismiss is limited to the Chief Executive.

Any manager intending to initiate a formal disciplinary procedure is required to inform his/her Head of Department before proceeding. The Head of Department will keep the Chief Executive informed.

1. INVESTIGATION OF THE FACTS

In all cases of alleged misconduct, the employer has a duty to establish the full facts of the case and the circumstances, prior to disciplinary action.

Where the misconduct is serious enough to potentially warrant dismissal, a formal investigation will be undertaken, including: cross checking of factual details, previous records, interviewing witnesses where appropriate, establishing mitigating circumstance, etc.

The investigation will be thorough, and detailed notes kept by the employer.

To ensure consistency, all formal investigations of serious misconduct will be undertaken by the Chief Executive.

In rare cases, it may be necessary to suspend an employee to allow a full and fair investigation. Such suspension will be on pay.

2. MEETING WITH THE EMPLOYEE

The employee will be formally notified in writing of the specific allegation(s) of misconduct, and instructed to attend a meeting to discuss the matters of concern. The employee must be informed of his/her entitlement to have a support person present at the meeting (workmate, family member, union representative, etc).

The meeting must be conducted in a calm and reasonable manner. The employee will be given an opportunity to respond fully to each allegation, and explain his/her side of the story, including possible mitigating circumstances.

Detailed notes will be taken by the employer, recording what is said by each person attending the meeting.

No final decision regarding disciplinary action should be made at this meeting in cases of serious misconduct.

3. **WEIGHING UP THE FACTS**

Following the meeting, the employer will weigh up all the facts, and give due consideration to the employee's explanation. If new facts have emerged during the meeting, they may require confirmation or further investigation.

A fair decision can then be reached as to what follow-up action is appropriate in the circumstances. Options include: further training, counselling, reallocation of duties, further monitoring, formal written warning, suspension, dismissal.

4. **FOLLOW-UP MEETING AND EMPLOYER'S DECISION**

The employee will be instructed to attend a follow-up meeting, to be informed of the decision. The employee is encouraged to have a support person present. The employee will be given the opportunity to comment on the investigation findings, and on the remedial action decided by the employer.

The substance of the decision will then be formally confirmed in writing, and a copy placed on the employee's personal file.

Please note:

Where, in a situation other than serious misconduct, an employee readily admits that he/she has acted inappropriately, suitable remedial action may be finalised between the parties at the first meeting (refer clause 2. above), and confirmed to the employee in writing soon after. A summary of the meeting and the required follow-up improvements will be placed on the employee's personal file.

5. **FORMAL WARNINGS**

The purpose of a warning is to clearly convey to an employee how he/she has acted in an unacceptable manner, so that he/she has an opportunity to improve. The warning should also clearly convey the future consequences of repeating or continuing the unacceptable behaviour.

Formal warnings resulting from the disciplinary procedure prescribed above must be in writing and must include:

- a statement describing the specific problem or the unacceptable behaviour
- a reminder of the standard expected
- the corrective action or behaviour required, and time frame if appropriate
- Management's decision
- the consequences of further misconduct or poor performance
- reference to prior warnings if applicable.

A copy of this written warning will be placed on the employee's Personal File.

The formal warning process may comprise the following steps:

1st Occasion – discuss and counsel employee, and ensure they understand the issue at question.

1st Offence – discuss the whole matter with the employee, advise that he/she is receiving a verbal warning, confirmed in writing, and that failure to heed the warning will result in further disciplinary steps.

2nd Offence - discuss the whole matter with the employee, advise that he/she is receiving a written warning, valid for 12 months, and that failure to heed the warning will result in dismissal.

3rd Offence (within 12 months of 2nd) Dismissal.

6. **DISMISSAL**

As stated earlier, the decision to dismiss an employee is limited to the Chief Executive only. No employee will be dismissed for misconduct without a formal disciplinary process having been conducted.

Dismissal will only occur in situations where the misconduct is so serious, or repeated formal warnings have occurred as outlined above, that, in the employer's opinion, a further working relationship with the individual employee has become impossible.

PART FOUR

GENERAL INFORMATION FOR ALL STRATFORD DISTRICT COUNCIL EMPLOYEES

1. SALARIES AND WAGES

Salaries and wages are direct credited to your nominated account. There are no options for payment in cash or by cheque, except in one-off circumstances approved by the Chief Executive.

- Salaries and Wages are paid weekly. Each pay week starts on a Monday and ends on a Sunday. (Usually your pay reaches your bank account by a Wednesday night or Thursday morning, depending upon which trading bank you use).

You will receive a payslip each pay day, showing details of hours worked, allowances and deductions, tax, etc. Your payslip also shows your annual leave entitlement as at your last anniversary date. Details of annual leave accrued since that date, and any other queries regarding your pay should be directed to the Pay Office.

With your written authorisation, the following deductions can be arranged, directly from your pay:

- Union Fees, to the Union of your choice.
- Stratford District Council rates.
- Superannuation and Medical Insurance contributions to Council approved group schemes.
- Social Club Membership Fees.

*For enquiries regarding pay, deductions or leave entitlements, please
contact the Pay Office*

2. UNION MEMBERSHIP

You are entitled to join the Union of your choice. Whether you do or not is entirely your decision. Union fees will be deducted from your pay only with your written authorisation.

Under the Employment Relations Act 2000, only Unions are able to negotiate Collective Employment Agreements with employers. Each Collective Agreement must specify the categories of work it covers, and which Union is a party to the Agreement. All employees who are members of that Union and are employed in these

categories of work are automatically covered by the terms and conditions of the Collective Agreement.

If you are not a Union member, you may choose to appoint some other person as your authorised representative (colleague, friend, family member, lawyer ...) or you may prefer to act for yourself.

3. **SUPERANNUATION AND MEDICAL INSURANCE**

The Stratford District Council does not subsidise Superannuation for new employees.

However, a number of Group Schemes, with low fees, are available to Stratford District Council employees for Superannuation and Medical Insurance, and are administered by Pay Office staff.

*For details on Superannuation or Medical Insurance,
please contact the Pay Office.*

4. **WORKPLACE SUPPORT**

The role of the “Workplace Support” organisation is to provide an independent support network to employees.

It can help people facing personal difficulties, illness, bereavement, alcohol or drug dependency, family violence, marriage break-up, family problems, stress, loneliness, etc. Workplace Support staff can provide counselling or assistance, or arrange contact with specialist organisations. They may visit you at home or at hospital, and provide a valuable “listening ear”.

Workplace Support staff are bound by a strict code of ethics and code of practice, requiring confidentiality and utmost discretion. They do not judge, and do not impose themselves where they are not wanted.

They can be contacted at home, and are available 24 hours a day, seven days a week in a crisis or emergency.

• *Madhu Rai: Phone 06-7575745*

Important Note: The Stratford District Council has a zero tolerance to family violence and general violence. The Council respects your right, as an employee, to feel safe not only at work but also in your home environment.

If you are experiencing family violence issues and you need support, Council have brochures and contact numbers you can access – confidentiality is assured.

5. **CAFETERIA**

A cafeteria facility is provided at your workplace.

Tea, coffee, sugar and milk are provided to staff free of charge.

6. **SOCIAL CLUB**

There is an active Social Club. It is run entirely by the staff for the staff; functions and outings are regularly organised for staff and their families. Your regular patronage is encouraged for the club to remain financially viable. Please be mindful of your alcohol consumption if you intend to drive home afterwards.

7. **CAR PARKS**

Car park facilities for Council staff are available in the car park area adjacent to the Administration Building.

8. **SHOWER FACILITIES**

Showers are available in the following areas:

- Administration Building.

9. **ACCESS TO ADMINISTRATION BUILDING**

After-hours access to the Administration Building is available for approved staff. Please contact your Head of Department for further information and formal application.

10. **NOTICE BOARDS**

Notice boards are provided in strategic positions and you should check them regularly for information which may be of interest to you. Notice boards may also be used to display personal notices, provided that you have your supervisor's authorisation.

11. **STAFF NEWSLETTER**

A staff newsletter is produced every week, and distributed to every employee of the Council by email. It is produced by staff for staff, and is a mix of useful information and light-hearted entertainment.

Staff in all areas of Council operations make regular contributions, informing everyone else about what they have been doing. The newsletter also informs everyone about new appointments, and who has left. This is interesting information which keeps everyone informed about the "comings and goings" in our organisation.

12. **BUILDING GUIDELINES**

Over the years a set of guidelines have developed for each Council building to help make each place a safe and enjoyable place to work.

Administration Building

1. Each person is responsible to turn off their lights, computer and secure windows before they leave work for the day.
2. The last person out should ensure that all lights are off, windows secured, and alarm is set.
3. Garage doors are to be locked.

Library Building

Percy Thomson Complex

STRATFORD DISTRICT COUNCIL EMPLOYEES HANDBOOK

PLEASE SIGN

AND

RETURN TO THE

CHIEF EXECUTIVE

(To be kept on your personnel file)



NAME OF EMPLOYEE: _____
(please print)

DEPARTMENT:

I acknowledge receipt of the Stratford District Council Handbook which forms a portion of the policies of the Stratford District Council.

■ **I received the Handbook on:**

(date)

PERSONNEL ENTRY/EXIT

INTRODUCTION

This policy outlines the procedures for recruiting and deploying staff for the Stratford District Council.

PURPOSE

The purpose of this policy is to ensure consistency throughout the organisation and to minimise the risk of litigation in terms of the Employment Contracts Act.

EMPLOYMENT ENQUIRIES

Enquiries received in regard to employment with Council are to be directed to the Personal Assistant. The Personal Assistant will consult with the appropriate Departmental Manager and reply to the enquiry accordingly.

Curriculum Vitae from employment enquiries are not held on file for future reference.

RECRUITMENT PRINCIPLES

- Staff vacancies may be advertised internally and/or externally at the discretion of the Departmental Manager.
- Internal and external advertisements to be placed on staff noticeboards.
- Recruitment to take into account Council's Equal Employment Opportunity Policy.
- Best person for the position; not "the best of a bad bunch". If applications are not suitable other options to be investigated, ie. readvertise position.
- Prospective employees to be made fully aware of their roles, functions, responsibilities and rewards.
- New employees to be team players and to be part of the Stratford District Council team.

GENERAL

Council engages the Watson Wyatt Company to establish position grades. Entry is based on a percentage of the established grade as determined/negotiated.

ADVERTISEMENTS

In conjunction with the Departmental Manager all positions will be co-ordinated by the Personal Assistant.

Positions up to Grade 12 will be advertised in both the Stratford Press and Daily News.

Positions from Grade 13 will be advertised in the Stratford Press and Daily News. They may also be advertised in the New Zealand Herald, Dominion and the Local Government Employment Circular (at the discretion of the Departmental Manager).

The vacancy notice will include:

- Stratford District Council logo.
- Position title.
- A summary of the primary objectives and key tasks.
- Salary range or ceiling, ie. “up to \$.....”.
- Qualifications required.
- Part-time positions to show Council’s preferred hours of work.
- Call for submission of Curriculum Vitae from interested parties.
- The closing date will be at least ten days after the first advertisement appears; closing time will be 4.30 pm on specified date.
- **Note** job description and respective contract will be forwarded to those selected for an interview.
- Applications will be addressed to: The Personal Assistant and clearly marked “POSITION TITLE”.
- **Note** Stratford District Council is an Equal Employment Opportunity Employer.

JOB DESCRIPTION AND CONTRACT PACKAGE

This package will be co-ordinated by the Personal Assistant and forwarded to those applicants selected for an interview as soon as possible.

A summary sheet will front the job description and contract package, and will include a brief description of the Stratford District, a summary of the position, qualifications, experience and salary.

The job description will be compiled by the Departmental Manager.

In general, Council’s current Collective Employment Contract is to be used for the employment of all staff with the exception of the following:

- Departmental Managers shall be employed on individual contracts.
- Temporary employees shall be employed on individual contracts.
- In the employment of professional and specialist staff who possess skills, expertise and experience which are at a premium, the use of an individual employment

contract may be used subject to the prior approval of the General Manager. It is anticipated that the skills and experience being sought are unlikely to be gained on in-house training.

APPLICATIONS

- Applications will be addressed to and acknowledged by the Personal Assistant as they are received.
- Following closing date, the Departmental Manager will peruse the applications received and construct a short list for interview.
- The General Manager is to be advised of short list and preferred applicant.
- The Personal Assistant, in liaison with the Departmental Manager, will arrange interviews and letters (return of CVs) to unsuccessful applicants.

INTERVIEWS

- The interview panel will consist of a minimum of two Council staff.
- In accordance with Council's Equal Employment Opportunity Policy, gender representation will be a consideration for interviews.
- The first interview is to determine the applicant's skills, expertise, experience, qualifications, etc. Brief discussion is to be held on the job description, contract and remuneration.
- The second interview is to include full discussion on Council's total employment package, ie.
 - job description.
 - contract.
 - remuneration.
- The successful applicant is to be offered the position based on the total remuneration package and contract.
- Following the conclusion of the necessary discussions and negotiations, the successful applicant is to sign the employment contract before commencing work.

INTERVIEW TRAVEL EXPENSES PROCEDURES

1. Interviewees who reside in the Taranaki region do not qualify for expense claims for attending interviews.
2. Interviewees who reside outside the Taranaki region qualify for travel expenses to be reimbursed. These expenses will be limited to the appropriate airfare or current public service vehicle allowance mileage rates, whichever is the lesser.

All claims for travel expense reimbursement in terms of the above shall be submitted on Council's Interview Expenses Claim Form and will be co-ordinated by the Personal Assistant during the interview process.

INDUCTION PROCEDURES

Permanent Staff Members

- On the new employee's first day, the Personal Assistant will carry out the induction process (requiring up to two hours). This will include:
 - Ensuring employment contract is completed.
 - Familiarisation of Council's house rules.
 - Issue of: Induction Manual, Annual Plan, *Strategic Plan*, *Annual Report*, Building Evacuation Procedures, Smoke Free Policy, Responsibility Directory, Charges Manual *and other relevant* documents.
 - Arrange and issue of items required by Departmental Managers, ie. protective clothing, boots, ID cards, Civil Defence card, business cards, order book, keys, warrants, etc. (An Entry/Exit form will be completed accordingly by the Personal Assistant and employee. The form will be kept on the employee's personnel file to be maintained by the Departmental Manager during the course of employment.)
 - A tour of immediate work area, other departments, work areas and Council and other facilities.

Also included in the tour may be Pensioner Units (Oswald Place and Page Street), Council Farm/Aerodrome, SercoWorks Depot, Kopuatama Cemetery, Taranaki Regional Council, Victoria/King Edward Parks.
 - Lockers (female staff).
 - Introduction to staff.
 - Payroll - to complete necessary forms.
 - Introduction to desk and stationery requirements, etc.
- Following the induction process the Personal Assistant will leave the new employee with his/her immediate Supervisor or Departmental Manager.

Temporary/Work Experience Staff Members

- On the new employee's first day the Personal Assistant will carry out the induction process requiring up to 30 minutes.
 - Ensure employment contract is complete. Familiarise employee with Council's House Rules.

- Issue of Induction Manual and any other documents relevant to the position.
 - Arrange and issue items required by Departmental Managers, ie. protective clothing, boots, ID cards, key, warrants, etc. (An Entry/Exit Form will be kept on the employee's personnel file to be maintained by the Departmental Manager during the course of employment).
 - A tour of the immediate work area and other departments.
 - Introduction to staff.
 - Payroll - to complete necessary forms.
 - Introduction to desk.
- Following the induction process the Personal Assistant will leave the new employee with his/her immediate Supervisor or Departmental Manager.

EXIT PROCEDURES

Exit Interview

The Personal Assistant will conduct an exit interview with all employees leaving Council employment.

The purpose of the exit interview is to provide the opportunity for the staff member to comment on and/or make suggestions in regard to Council policies and general conditions of work. Of particular interest is:

- The reason for leaving Council employment.
- Areas of concern.
- Council strengths and weaknesses.

Payroll - Entry/Exit Form

The Departmental Manager is to notify payroll staff that a staff member is leaving as soon as possible, but no later than five working days prior to the employee's final day.

Failure to do so will cause payment to be delayed until the next payroll run.

Payroll staff will then forward the Entry/Exit Form to the Personal Assistant for completion.

In liaison with the Departmental Manager the Personal Assistant will ensure all keys, equipment, etc. which have been issued to the employee are returned and that the Entry/Exit Form is completed and signed off accordingly.

Following the Entry/Exit Form being signed off the employee will receive their final pay from payroll at the conclusion of their last day.

Appendix M

Internal Audit System

1. Purpose

- 1.1. To ensure that regular audits (at least annually) are carried out on Council's activities to ensure that all procedures, inspections and records are correctly maintained.
- 1.2. To ensure that improvements to the quality system are identified and implemented.

2. Responsibility and Authority

- 2.1. The Quality Manager has the overall responsibility and authority to ensure that this system is implemented and maintained.
- 2.2. The Quality Manager has the day to day responsibility and authority to schedule and implement Council's internal audit system requirements
- 2.3. Internal audits shall be carried out by appropriately experienced personnel

3. Procedure

- 3.1. Audits are scheduled by the Quality Manager at least annually and prior to any audit by the accrediting agency.
- 3.2. The Quality Manager shall write an audit plan that shall include (but not limited to):
 - 3.2.1. The procedures or systems to be audited
 - 3.2.2. A list of points to be checked for each procedure or system
- 3.3. Inform the appropriate staff when the audit will be undertaken
- 3.4. Hold a pre-audit meeting with the staff to inform them of what will be audited and the audit procedures
- 3.5. Complete the audit using the audit plan
- 3.6. Hold a post-audit meeting with staff to make them aware of the audit results. This meeting shall also be used to enable staff the opportunity to comment and contribute to solutions and/or improvement opportunities identified by the audit.
- 3.7. All evidence of conformance and non-conformance shall be recorded and improvement recommendations noted. Internal Audit Report Form (BC-85) shall be used to record the audit results.

- 3.8. The audit report shall be filed by the Quality Manager in a separate internal audit file filed by the Quality Manager held in file strong room.

4. Follow-up Audits

- 4.1. If discrepancies are found then a follow-up audit of the specific procedure or system will be required, following the corrective and preventive action taken.
- 4.2. Follow-up audits shall be conducted in the same manner as the originating audit.
- 4.3. Details of follow-up audits shall be recorded and added to the originating audit records.

The following tables are to record the distribution of updates and shall be kept with the master copy of this quality manual

Distribution List

Manual No:	Version No:	Date:	Location	Position Responsible

Manual Update Distribution Record

Update No:	Date:	Manual No:	Location	Received By: