

Policies and Procedures for Aotahi Limited

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Accident and Incident Register

The Accident and Incident Register will be maintained (in softcopy format) by the Health and Safety Officer, and shared with management. This register will contain all:

- Near misses
- Incidents
- Occupational illnesses (or signs of such illnesses)

Management will notify WorkSafe of any notifiable injury, illness, or incident as outlined in the *Health and Safety at Work Act 2015*. Notification must be made in accordance with the provisions of the *Health and Safety at Work Act 2015*.

The template for the register is below.

Accident and Incident Register Template

Subsequent Events					
Injuries (include potential)					
Description					
Time and Place					
Person(s) Involved					

Incident Type					
Date					

Business Continuity and Disaster Recovery Plan

There are three types of events that would affect the capacity of Aotahi Limited to operate.

1. Incapacity or death of staff members
2. Loss of equipment or data (such as in the case of a cyberattack)
3. Loss of premises or delivery site due to fire, natural event, etc.

Incapacity or Death of Staff Members

In the case of incapacity to key staff members, as a small business Aotahi would likely have to cease operations. However, Aotahi has the capacity to engage replacement instructors (drawn from its nationwide network of contractors) to complete any outstanding delivery tasks.

Loss of Equipment

Lost equipment will be replaced immediately.

All Aotahi data will be stored online using facilities such as Google Drive, Dropbox, MYOB, and Gmail so as to limit the threat of data loss.

Loss of Premises

If current sites become unavailable, office operations will be moved to 19 Rimu Street, Te Kūiti (home of Director - Naomi Hughes) until a suitable alternative location is identified.

Child Protection Policy

Applies to: all staff and any volunteers

To be read in conjunction with:

- Health and Safety Policy
- Recruitment Policy
- Privacy Policy
- Staff Code of Conduct
- Recordkeeping Policies and Procedures
- Induction Policy

Version 1.0 (2019)

Preamble

Aotahi Limited is a Māori business and financial education company. As part of its service offerings it offers educational workshops to high school age children. There is limited contact between Aotahi and these children, which only occurs in a class context.

The Designated Person for Child Protection is Naomi Hughes.

This policy is subject to continuous improvement. If a change is made to the scope of services delivered, this policy will be revised.

Policy Summary

This document outlines Aotahi's child protection policy. It includes measures taken to ensure that no Aotahi staff member or our programmes pose a threat to the security, safety, or wellbeing of children who attend our workshops. It also includes measures that will be taken if Aotahi staff receive any report of child abuse or have good reasons to suspect that child abuse has occurred, is occurring, or is likely to occur.

The policy is consistent with Child, Youth and Family and Police guidelines. Future revisions will be checked for consistency with these guidelines.

Purpose Statement

Aotahi is committed to securing the wellbeing of any and all children who attend our workshops and we are committed to doing what is within our power to aid the prevention of child abuse and neglect.

- We support the roles of the New Zealand Police and Oranga Tamariki in their role of countering child abuse and will report cases of abuse to these agencies.
- We support schools and other educational and social services in their purpose of securing and maintaining a safe and secure environment for children.
- We support whānau and the wider community in protecting children.
- We will provide safe, empowering and nurturing learning experiences for children, in an environment that is free from physical, emotional, verbal, and sexual abuse.

Scope Statement

This policy applies to all Aotahi staff, any contractors or guest speakers Aotahi may engage, and all children who come under the care of Aotahi as it conducts its educational workshops.

Principles and Values

The following principles and values inform our organisation's culture of child protection:

- The safety and security of children is paramount and therefore always overrides any other concern relevant to Aotahi's business, such as profit-making or public reputation.
- All children have a moral right to a safe and healthy environment free of abuse and neglect.
- The interests of children play a central role in any and every decision Aotahi makes that could affect the security and wellbeing of children.
- As a Māori business, Aotahi embeds in its practices the values of whanaungatanga, kaitiakitanga, and manaakitanga. We place particular value on te reo Māori and tikanga Māori and incorporate these into our business and educational practices where possible.
- Aotahi respects the diverse cultures and backgrounds of Aotearoa children and their whānau.
- Aotahi respects the privacy of everyone, including children.
- Aotahi commits to creating an environment where everyone feels free to raise concerns about anything that could negatively impact the welfare of children.
- Aotahi understands and abides by all existing laws and contractual obligations, including matters relating to employment.

Definitions

The following definitions are relevant to this policy:¹

- a. **Abuse** – the harming (whether physically, emotionally or sexually), ill-treatment, neglect or deprivation of any child.
- b. **Aotahi Staff** – employees of Aotahi Limited
- c. **Neglect** – the persistent failure to meet a child’s basic physical or psychological needs, leading to adverse or impaired physical or emotional functioning or development.
- d. **Child** – any child or young person aged 17 years or under, and who is not married or in a civil union.
- e. **Child protection** – activities carried out to ensure that children are safe in cases where there is suspected abuse or neglect or the risk of abuse or neglect.
- f. **Children’s services** – any organisation that provides services to children or to adults where contact with children may be part of the service.
- g. **Contractors** – any person who has a contract with Aotahi to provide services,
- h. **Designated person for child protection** – the manager/supervisor or designated person responsible for providing advice and support to staff where they have a concern about an individual child or who want advice about the child protection policy.
- i. **Disclosure** – information given to a staff member by the child, parent or caregiver or third party in relation to abuse or neglect.
- j. **Emotional abuse** – any act or omission that results in adverse or impaired psychological, social, intellectual and emotional functioning or development.
- k. **Neglect** – neglect is the most common form of abuse. Neglect can be:
 - Physical (not providing the necessities of life, like a warm place, food and clothing).
 - Emotional (not providing comfort, attention and love).
 - Neglectful supervision (leaving children without someone safe looking after them).
 - Medical neglect (not taking care of health needs).
 - Educational neglect (allowing chronic truancy, failure to enrol in education or inattention to education needs).
- l. **New Zealand Police** – the agency responsible for responding to situations where a child is in immediate danger and for working with Child, Youth and Family in child protection work, including investigating cases of abuse or neglect where an offence may have occurred.

¹ cf. Oranga Tamariki. (2015), *Safer Organisations Safer Children*. Retrieved August 5, 2019 from <https://www.orangatamariki.govt.nz/assets/Uploads/Safer-Organisations-safer-children.pdf>.

- m. **Oranga Tamariki** – the agency responsible for investigating and responding to suspected abuse and neglect and for providing a statutory response to children found to be in need of care and protection.
- n. **Physical abuse** – any acts that may result in the physical harm of a child or young person. It can be, but is not limited to: bruising, cutting, hitting, beating, biting, burning, causing abrasions, strangulation, suffocation, drowning, poisoning and fabricated or induced illness.
- o. **Safer recruitment** – following good practice processes for pre-employment checking which help manage the risk of unsuitable persons being in contact with children.
- p. **Sexual abuse** – any acts that involve forcing or enticing a child to take part in sexual activities, whether or not they are aware of what is happening. Sexual abuse includes both contact abuse and non-contact abuse.
- q. **Standard safety checking** – the process of safer recruitment that will be mandatory for organisations covered by the Vulnerable Children Act 2014.
- r. **Volunteer**: any person who provides services for Aotahi without payment.
- s. **Workforce restriction** – a restriction on the employment or engagement of people with certain specified convictions under the Vulnerable Children Act 2014.

Operational Policies

The following operational policies are divided into two parts:

1. Providing a safe learning environment for children.
2. Fulfilling obligations to report actual or suspected abuse or neglect of children who come under care.

1. Providing a Safe Learning Environment for Children

To provide a safe learning environment for children, the following policies apply:

- All Aotahi recruitment for staff who will have any contact with or responsibility for dealing with (construed as widely as possible) children will be subject to safer recruitment policies and standard safety checking as outlined in Sections 31-2 of the *Vulnerable Children Act 2014*. This includes:
 - Verifying the identity of the person.
 - Conducting reference checks (at least two).

- An interview.
- Vetting through the New Zealand Police. See Recruitment Policy for more details.
- NB: existing or returning staff who have not been vetted by Police in the last three years must be vetted.
- Any future contractors of Aotahi who will deliver services to children must first undergo successful vetting through the New Zealand Police.
- Visitors who have access to children should be monitored at all times by staff .
- Nobody shall have unsupervised access to children, or information held about children, unless they have been safety checked and the employer continues to have confidence in them.
- Where possible and feasible, more than one staff member should be present when services are delivered to children.
- No activity will require physical contact between staff and children (aside from greetings).
- Children who need special assistance (such as a child with a disability) should be identified ahead of time and the assistance planned for and provided. If assistance requires or is better with the involvement of outside agencies, then such agencies should be consulted.
- No-one must behave inappropriately around children. Any form of abuse or neglect is absolutely prohibited.
- Educational materials and topics delivered, as well as delivery, must be appropriate for children.
- The induction policy for staff includes the child protection policy and child protection practices. See Induction Policy.
- If children are to be taken from the designated premises, written consent must be obtained beforehand from a parent or caregiver.

2. Responding to Abuse/Suspected Abuse

Identifying Abuse/Neglect

All Aotahi staff who deliver services to children should become familiar with signs of abuse and neglect. Information detailing these signs is available on the Oranga Tamariki website (<https://www.orangatamariki.govt.nz/identify-abuse/>). In general, these signs include the following:

- Physical signs of abuse such bruises and other injuries
- Developmental delays
- Physical neglect
- Medical neglect

- Behavioural concerns such as depression or being withdrawn
- Child talking about things that indicate abuse (disclosure or accusation).

Note that many of these things can have other causes, so their presence is not necessarily an indicator of abuse. *NB: if a child makes a disclosure or accusation of abuse, it must be taken seriously.*

Responding to Suspected Abuse or Neglect

Whenever a staff member has concerns about a child being abused or there being a likelihood of abuse, it must immediately be reported to their manager and/or the Designated Person for Child Protection. Those persons must then immediately document the claim and make an action plan to deal with the claim.

Note that in all cases Aotahi must comply with directives made by statutory agencies, including Oranga Tamariki and the New Zealand Police.

Documenting the claim includes:

- Making a record of any disclosure made by the child
- Documenting the date, time, location and persons involved
- The facts that have led to the judgement that child abuse is or is likely to have occurred
- Any subsequent actions taken
- Keeping all records related to the claim confidential and secure (with heavily restricted access)
- Information collected must be done in accordance with the Privacy Policy and the *Privacy Act 1993*. Note that a serious risk to health and safety is grounds for disclosure.
- Any documentation must be stored as per Aotahi's Recordkeeping Policies and Procedures.

In a Clear Case of Abuse or Neglect

If there is clear evidence of child abuse or neglect, then:

- It must be immediately reported to a manager and/or the Designated Person for Child Protection.
- Aotahi must refer the case to Oranga Tamariki and/or the New Zealand Police (as appropriate).
- Aotahi must take any further action as advised by these agencies.
- Aotahi will only inform whānau about suspected abuse after discussion with these agencies.

Where there is Suspected Abuse or Neglect

If there is suspicion, but not clear evidence of child abuse or neglect, then:

- It must be immediately reported to a manager and/or the Designated Person for Child Protection.
- Heightened precautions to be taken (if possible).
- The school / agency with which the child is enrolled is informed (if applicable) and next steps are determined.
- If it is still felt that there is a strong likelihood of abuse, then contact Oranga Tamariki or the Police.

Allegations of Abuse Made Against Staff Members

When an allegation is made against a staff member, the above policies also apply. In addition:

- All such allegations will be taken extremely seriously.
- Oranga Tamariki and/or the New Zealand Police must be consulted before the staff member is advised of the allegation.
- The staff member must be told that they have a right to seek legal advice and given an opportunity to respond to the allegation.
- Existing disciplinary policies must be followed.
- Adhere to the principles of natural justice (procedural fairness).
- Aotahi will never be party to any agreement in which a staff member is allowed to resign in exchange for dropping the allegation, ceasing the investigation, and providing a future reference. Investigations must be completed.

3. Information and Resources

Information and resources will be provided to ensure that staff can carry out their roles in terms of this policy (the resources include this policy). Provision of this information will be part of the induction policy (see Induction Policy).

4. Privacy and Confidentiality

The *Privacy Act 1993* and the *Oranga Tamariki Act 1989* (formerly the *Children, Young Persons, and Their Families Act 1989*) allow information sharing to keep children safe and when suspected abuse is being reported or investigated.

Conflict and Mediation Policies and Procedures

Applies to: all staff

To be read in conjunction with:

- Staff Code of Conduct
- Discipline and Termination Policy
- Child Protection Policy
- Employment Agreement

Version 1.0 (2019)

Preamble

Although Aotahi seeks to maintain a friendly workplace, it is recognised that disputes can occur. The aim of this conflict and mediation policy is to set out rules that allow disputes to be resolved quickly and amicably with a minimum of effort and expense.

However, Aotahi recognises that some disputes may not be possible to solve quickly, and that more expansive means may be needed to resolve them.

Obligations in a Dispute

Good Faith

Everyone who is party to a dispute must act in good faith. For example:

- Parties must not act in a misleading or deceptive way.
- Parties must be responsive and communicative.
- Parties must raise issues in a fair and timely manner.

Note that the Employment Relations Authority or Employment Court may impose penalties to parties who do not act in good faith.

Fair Process

Everyone involved in a conflict or dispute must be treated according to the following principles:

- Fair and transparent procedure.
- Anyone who is party to a dispute may bring a support person to any dispute hearing or mediation.

- There must be sufficient reason to beginning the disputes process.
- Any decision made must be made for a good and fair reason.

Procedure

If the employee has any concerns about their employment, or how they are treated at work, whether by management or other employees, they should tell the employer as soon as possible so these can be resolved.

The first step is for the employee and employer to talk about the problem and try to find possible solutions.

If the problem cannot be resolved, the employee or the employer can seek help from an external party, such as one or more of the following:

- Employment Mediation Services, which offers free information and mediation to help employers and employees work together to resolve problems.
- a lawyer.

If the issue cannot be resolved at mediation, the employee or employer may proceed to the Employment Relations Authority or the Employment Court.

Personal Grievances

If an employee wishes to file a personal grievance, the employee has 90 days from the time the problem occurred, or became known by the employee, to raise the grievance with the employer.

For more information on the complaints that an employee can bring a personal grievance for, see:

- <https://www.employment.govt.nz/resolving-problems/steps-to-resolve/personal-grievance/what-is-a-personal-grievance/>.

Note that some of these steps or resources may come at a cost to the employee (such as hiring a lawyer).

The employee may invite a support person or representative to attend all steps in the process.

Note on Allegations Concerning Behaviour Around or Against Children

Aotahi has committed to a culture of child safety. If an employee is accused of improper behaviour around children, the allegations will be taken extremely seriously. See the Child Protection Policy for further detail.

Definition of 'Staff Member' and 'Volunteer'

For the purposes of all Aotahi policy documents, the following definitions are adopted:

Staff Member

A staff member is any current, contracted employee of Aotahi Limited, whether full-time, part-time, or casual.

Volunteer

A volunteer is defined a person who provides services for Aotahi, but does not receive or expect payment for doing so. However, a person may receive the following payments and still count as a volunteer:

- Reimbursements for the expenses they incurred when performing the volunteer work
- a koha or honorarium
- any personal satisfaction they may get from the work.²

² Employment NZ. (n.d.). *Volunteers*. Retrieved August 7, 2019 from <https://www.employment.govt.nz/starting-employment/who-is-an-employee/volunteers/>.

Discipline and Termination of Employment Policy

Applies to: all employees

To be read in conjunction with:

- Staff Code of Conduct
- Employment Agreement
- Conflict and Mediation Policy
- Child Protection Policy
- Health and Safety Policy
- Employment Agreement Template

Version 1.1 (2019)

Preamble

This policy covers the area of termination of employment, both voluntary and involuntary termination. This policy is intended to align with Aotahi's legal obligations under the *Employment Relations Act 2000*.

Policy

In any disciplinary process, Aotahi will behave in good faith, ensure a fair process, and not initiate the termination of any employee without good reason.³

Notice of Termination

In general, the employer and employee can give each other at least three weeks' notice of termination (or whatever time period is specified in the employee's employment agreement).

Redundancy

If a position is made redundant at least three weeks' notice must be given of the redundancy.

³ Employment NZ. (n.d.). *Employer and Employee Must Do's*. Retrieved August 7, 2019 from <https://www.employment.govt.nz/resolving-problems/employer-and-employee-must-dos/>.

Trial Period

If the employee is still subject to the 90-day trial period, as set out in their employment agreement, their employment may be terminated for any reason before the trial period ends.

Abandonment of employment

If an employee does not attend work for five days in a row without giving notice or getting permission, and the employer has made reasonable attempts to contact them, their employment may be terminated. Their last day of employment is deemed to be the last day on which they worked.

Serious Misconduct

If, after a fair and impartial investigation, it is found that an employee is guilty of serious misconduct, their employment may be terminated immediately.

Serious misconduct is behaviour that destroys or undermines the relationship of trust between employer and employee to such a degree that employment cannot continue.⁴

Serious misconduct includes, but is not limited to actions such as:

- Material breaches of the employment agreement or company policy
- Consuming alcohol on company premises without authorisation (such as would be given on a special occasion)
- Possession, consumption, selling, or buying of illegal drugs on work premises or during work activities
- Being intoxicated or high at work
- Gambling on work premises or during work hours
- Failing to disclose criminal convictions
- Failure to disclose any conflict of interest
- Providing false information on the employment application
- Disclosure of confidential or private information relevant to the business
- Unauthorised use of company or customer information
- Statements or behaviour that are likely to bring the company into disrepute
- Attempting to persuade a customer, client, supplier, or contractor to negatively alter their relationship with the company

⁴ Employment NZ. (n.d.). *Misconduct and Serious Misconduct*. Retrieved August 7, 2019 from <https://www.employment.govt.nz/resolving-problems/types-of-problems/misconduct-and-serious-misconduct/>.

- Sexual or other harassment
- Bullying
- Physical assault
- Verbal abuse
- Intimidation
- Refusal to carry out reasonable and lawful orders
- Serious breach of health and safety policies
- Dishonesty or theft
- Falsification of records/timesheets
- Damaging company property
- Gross negligence
- Excessive absence

Performance Issues and Misconduct

Misconduct

Misconduct is behaviour that is objectionable, but which on its own would not destroy the relationship of trust between employer and employee.⁵ Examples of misconduct include, but are not limited to, actions such as:

- Failure to work to acceptable standards
- Non-performance of work tasks
- Wasting time or materials
- Being AWOL
- Persistent foul language
- Misuse of internet
- Failing to turn up at agreed work times
- Failing to complete agreed hours of work
- Chronic tardiness
- Minor breaches of work rules
- Bad attitude, discourtesy

⁵ Ibid.

- Sending offensive messages, emails, or posting offensive writings or drawings
- Smoking or vaping on work premises or at places of delivery
- Failing to observe safety rules or working in an unsafe manner
- Failure to report a minor work-related accident

Performance Issues

This is when an employee fails to perform the tasks set out in their employment contract to an acceptable level.

Procedure for dealing with Misconduct and Performance Issues

In the case of poor performance or misconduct, the following procedure must be followed.

Step One

- The manager will explain the problem to the employee and give a verbal warning.
- This warning must be given in the presence of the employee.
- The employee will retain a written record of the verbal warning on the employee's file.

Step Two

- Following the second offence the manager will give a written warning.
- The warning will include:
 - A statement of the problem;
 - Identification of any rule that has been broken or of examples of tasks not performed well;
 - A description of any consequences which resulted from the breach;
 - Details of the corrective action required of the Employee;
 - The proposed action to be taken by the Employer, failing corrective action by the Employee; and
 - A reference to the previous verbal warning and the date given.

Step Three

- Following the third offence, the Employee will be called to a meeting.
- The Employee will be given the opportunity to have a representative present.
- The Employee will be provided with a real opportunity to refute the allegations or provide an explanation for the poor performance or breach(es).

- The explanation will be considered fully and investigated before a decision to dismiss is made.

Step Four

- A dismissal notice will be presented to the Employee in accordance with the conditions of the Employment Agreement.

The Employee will retain the right to invoke the personal grievance procedures referred to in the *Employment Relations Act 2000*.

Equal Employment Opportunity Policy

Applies to: All Staff

To be read in conjunction with:

- Recruitment Policy
- Staff Code of Conduct

Version 1.0 (2019)

Preamble

Aotahi Limited is committed to equality of opportunity in employment and to eliminating barriers that may contribute to inequality in employment.

Aotahi recognises its legal obligations under the *Human Rights Act 1993* and *Employment Relations Act 2000*.

Policy

Aotahi is committed to upholding its responsibilities as an Equal Employment Opportunities employer and to creating a workplace that attracts, retains, and values diversity. To these ends, Aotahi Limited will:

- Provide equal opportunities to all current and prospective employees regardless of gender, marital status, ethnicity, national origin, religious or ethical belief, age, political beliefs, employment status, sexual orientation, or family status.
- Maintain a workplace that values diversity while also respecting the bicultural framework implied by Te Tiriti o Waitangi.
- Foster an organisational culture based on respect for differences as well as our common humanity.
- Provide a supportive and safe environment to ensure the work and health of all employees.
- Take action to remove any known or unknown barriers that may frustrate the goal of equality of opportunity in employment.
- Not tolerate any wrongful discrimination on grounds of gender, marital status, ethnicity, national origin, religious or ethical belief, age, political beliefs, employment status, sexual orientation, or family status.
- Promote and stand for equality of opportunity in employment, both inside and outside the organisation.

- Promote staff education of diversity in order to deepen intercultural understanding.
- Be welcoming of gender diversity and gender-diverse persons.

Feedback and Complaints Policy and Procedure

Applies to: all staff

Version 1.0 (2019)

Preamble

Aotahi embraces client-centred practice as central to its organisation and delivery of its services. As such, Aotahi seeks continuous improvement in its organisation and in the delivery of its services. Feedback, both positive and negative, is therefore an important resource and must be managed appropriately and efficiently.

Policy

Organisational Culture

Aotahi will maintain an organisational culture that:

- Is receptive to and accepting of feedback, including complaints
- Engages with feedback rather than just responding to feedback
- Focuses on reinforcing good practices and resolving complaints in a timely manner
- Admits genuine error without prejudice towards the complainant
- Learns from feedback
- Respects cultural norms relating to feedback and complaints
- Takes appropriate concern for the safety and wellbeing of anyone who makes a complaint
- Is proactive in seeking feedback rather than just waiting to receive it

Procedure

The following procedures apply.

Receipt of feedback

Aotahi will accept feedback through any communication channel, including letters, texts, phone calls, emails, social media posts, messages, or comments, and verbal communication. Aotahi will also accept feedback through third parties (for example, if a school child wishes to submit confidential feedback via a teacher or representative at their school).

Any feedback or complaint must be directed to the appropriate person as soon as it is received. In most cases this will be management.

Documentation of feedback

Feedback must be documented. This may include, but is not limited to keeping or making copies of feedback that are then filed.

Engagement and Resolution

Feedback must be engaged with in a timely manner, usually within a week of receiving it, but otherwise as is reasonable given the circumstances.

- Feedback will be taken seriously unless there is good reason not to do so (such as a complaint being obviously frivolous or vexatious). Where there is some doubt as to the seriousness of feedback, Aotahi should fall on the side of treating it as genuine.
- Feedback received must be directed to the appropriate person.
- Management must be made aware of all feedback received.
- While a simple, one-time response may be appropriate in some situations, the preferred model of engagement shall consider the initial feedback to be the opening of a dialogue with the respondent that may involve several phases before the issue is resolved.
- While feedback is being dealt with, Aotahi must make reasonable efforts to keep the respondent informed of developments in the process, using a communication channel that is acceptable to the provider of feedback, up to and including face-to-face hui.
- If the issue is one that affects other stakeholders, those stakeholders must be informed and given an opportunity to participate in the process.
- When an issue is resolved, the resolution must be documented and proper notification given to the initial provider of feedback. In most cases this will be a formal letter outlining the issue raised, process followed, and steps taken to resolve the issue.
- Aotahi must document any resolution for its own files.
- Resolved issues must then be brought up at the next appropriate internal meeting and any lessons learned and actions that need to be taken to prevent future instances must be planned, documented, and initiated.

Escalation

While management must be informed of all feedback and complaints, they may not be involved in the resolution of minor issues. However, for anything other than minor issues, management must be involved in the process.

Aotahi understands that in rare cases, it may be necessary to engage a neutral third party, such as a professional mediation service, to adequately deal with a complaint. Depending on the

circumstances, the cost of engaging the third party may be shared between Aotahi and the complainant.

Proactive Measures

While Aotahi will gladly receive feedback and complaints, it will also actively seek feedback and provide structured opportunities for clients, customers, and stakeholders to provide feedback on services they receive from Aotahi.

All educational services Aotahi provides to clients will include a structured opportunity for feedback. In some cases this might be a hardcopy form or an invitation to complete an online survey. It must be stated clearly that Aotahi welcomes and values feedback.

Financial Policies and Procedures

Applies to: Management

To be understood in conjunction with:

- Privacy Policy
- Record Keeping Policies and Procedures

Version 1.0 (2019)

Preamble

Aotahi Limited will have processes in place to ensure:

- Management is aware at all times of the financial position of the company
- All creditors and employees are paid on a timely basis, and within the terms of any agreements
- The company's legal and tax obligations are met
- All financial decisions are made on a prudent basis
- Accurate financial records are maintained

Policy and Procedures

Management and Authorisation

The following policies apply:

- One of the company directors will be primarily responsible for the finances of the business (Finance Manager). This person is currently Naomi Hughes.
- Only the Finance Manager will be able to make payments from the Aotahi bank accounts, unless certain payments are delegated to another director (such as payments while the Finance Manager is on leave).
- If the company has any directors other than the Finance Manager, those directors will have 'view only' access to bank accounts, accounting software records, and tax invoices, and will also receive copies of bank statements and bank reconciliations.
- The Finance Manager will have full authorisation to make purchase / expenditure decisions provided they are in accordance with the budget.

- The Finance Manager may also delegate some purchase / expenditure decisions to a staff member to manage in accordance with a budget. At present, the Office Administrator has authority to manage the 'cleaning and toiletries', 'stationery', and 'kitchen supplies' items within the budget.

Budget

- The Finance Manager will prepare an annual budget (profit and loss) by the 31st of March each year, for approval by any other directors. This must be accompanied by a cashflow forecast.
- The budget (and cashflow forecast) will be updated (and provided to any other directors) on a monthly basis to reflect actual income and expenditure to date, and revised projections for the remainder of the financial year.
- All expenditure will be made in consideration of the annual budget. All directors must agree on any expenditure worth more than \$200 if this expenditure is not already provided within the budget.
- There must be unanimous consent amongst directors for any purchases of assets (items worth \$500 or more) which have not been included in the original annual cashflow forecast, and such purchasing decisions must be made in consideration of the annual budget and updated cashflow forecast.
- A budget must be developed for every project the company takes on during the year, and a job card set up in the accounting software. Income and expenditure must be allocated to the job card, and progress against the job's budget monitored on a monthly basis.

Annual Accounts

- Company financial statements will be produced on an annual basis by a Chartered Accountant.
- The Finance Manager must reconcile the draft financial statements produced by the Chartered Accountant against the financial statements produced by the company's accounting software, and query / correct or variances.
- The financial statements will only be signed as approved once they fully reconcile with the information held on the company's accounting software.

Payments

- All payments will be made by the Finance Manager, unless authority is delegated to another director.
- Payments will be made at least once a week on a Monday, but may be made more frequently, especially if the payment timeframes stated on the invoice require this.
- Payment will only be made on receipt of a valid tax invoice.
- All transactions will be recorded in accounting software.
- If invoices are received digitally, a digital file will be kept (filed by financial year, and in date order based on the date of payment, using the following format: YYYY-MM-DD). A hardcopy will also be printed and filed in date order.
- Bank reconciliations will occur monthly. At this time, hardcopy files will be checked to ensure a valid tax invoice is on file for each transaction, with these filed in date order.
- Most payments will be made within a week of receiving a valid invoice (and checking the services / goods outlined within the invoice have been received). However, large payments (for over \$2,000) may be set up to occur in the future, provided that payment is scheduled to occur before the due date for payment).

Petty Cash

- The company may maintain a petty cash system. The maximum amount to be held in petty cash at any time is \$150.
- The petty cash system may be delegated to any staff member to maintain.
- All petty cash transactions must be recorded in a spreadsheet, and at all times, the balance shown in the spreadsheet must reconcile with the cash on hand.
- A valid invoice or receipt must be kept for all petty cash transactions.
- Petty cash transactions must be entered into the main accounting software at least bi-monthly, to correspond with the GST period.

Purchases

- All purchases must be authorised by the Finance Manager, unless delegated to a particular staff member.
- On receipt of physical items, the items must be checked against the packing slip and against the original order.
- The packing slip must then be checked against the invoice before payment is made.

Taxation

- GST will be paid bi-monthly on a cash basis.
- GST returns will be filed through the accounting software.
- The Accounting Income Method will be used for provisional tax payments, with returns being filed through the accounting software on a bi-monthly basis.
- The company's accountant will be responsible for filing the income tax return on completion of the company's annual financial statements.
- It is the responsibility of the Finance Manager to ensure the company is not liable for fringe benefit tax.

Reimbursement of Employee Expenses

- If an employee is required to use their personal vehicle for business use, they will be reimbursed at the IRD approved mileage rate. The number of kilometres will be based on either the shortest direct route to the required destination or the route the employer instructs them to take. There will be no extra reimbursement for deviations from either of these routes for personal reasons.
- Whenever possible and practical, the company will directly pay for all work costs incurred by employees.
- If an employee needs to directly pay for a work-related expense, they must first get approval from a company director. A valid tax invoice must be obtained.
- Following receipt (by the Finance Manager) of tax Invoices and mileage claims, employees will be reimbursed no later than their next fortnightly pay (and may be included within the fortnightly pay, with the reimbursement amount shown separately).

Travel Expense Limits

- If an employee or director needs to purchase a meal while travelling for work purposes, a maximum of \$30 inc GST will be available per meal, with a limit of \$75 inc GST per day. The employee must get pre-approval from a company director before purchasing meals
- When overnight accommodation is required, the maximum amount available per night is \$200 + GST, unless no other accommodation is available within a reasonable distance at a lower cost (in which case the cheapest option must be selected).

Hazard Identification Registers

Table 1: Rora St Hazard Register

Hazard	Potential Harm	Risk Level	Control/Monitoring/Responsibility
Back Stairs:	Steep stairs create falling risk, which could cause slight to serious injury.	Very low	Warning notice is posted at the top of the stairs. Risk included in induction process. Stairs regularly cleaned and checked for loose surfaces, breaks. Visitors (especially vulnerable visitors) and new employees warned about risk. All staff responsible.
Building disrepair	This is an old building and may suffer from minor to major structural failures such as leaks. Risk of minor to severe injury or illness.	Very low	Issues immediately reported to building owner. Affected areas off limits until issue is resolved. Everyone responsible for reporting issues to Health and Safety Officer and management and for informing others when necessary. Potential issues are also discussed at employee participation hui.
Building Work	Parts of the building are sometimes painted or renovated by the owners. Associated risk of chemicals, power tools, noise dust, etc.	Moderate	Workers must give appropriate warnings. Aotahi staff and clients must not enter work area unless authorised. Conditions may render workplace unusable, in which case staff will be directed to work at home. First aid kit available for minor injuries (see below on First Aid). See medical emergencies for more serious incidents.
Chemicals	The cleaning cupboard in the rear hall contains several caustic chemical cleaners	Low	Cupboard to be accessed on a needs only basis. Spills to be cleaned up promptly using appropriate safety gear. Children to be prohibited from entering space. Chemicals to be in a locked cupboard.
Electrical	Electric shock from appliances, computers, etc. Older building includes much old wiring. Risk of serious injury or death from electrocution or fire (see above).	Very low	All employees instructed and reminded about safe practices. Everyone to report any electrical hazards, which must be dealt with immediately. Severe electrical problems to be left for an electrician.
Employee Risk	If Aotahi works with children, Aotahi staff must not pose any criminal risk to clients who are minors.	Very Low	All staff members who have contact with children to undergo criminal background checks.
Fire and/or natural disasters	Injury/death	Extremely low	Please refer to Sections 9.0 Fire and 10.0 Natural and Other Disasters

Hazard	Potential Harm	Risk Level	Control/Monitoring/Responsibility
Floor hazards	Cords, left / dropped items, wet floors, rubbish. Tripping hazards. May cause a range of injuries such as sprains.	Low	Site cleaner to make sure floor is clean of rubbish and appropriately dry. Wet floor sign to be used where needed. Everyone responsible for not leaving objects lying around and making sure that electrical cords do not pose a tripping hazard.
Kitchen	Boiling water from zip and heated elements from sandwich maker and hot plate. Risk of mild to moderate burns.	Very low	Advertisement of risk. Risk included in induction process. First aid kit available for minor injuries (see below on First Aid). See medical emergencies for more serious incidents. All staff responsible for identifying and reporting unsafe practices. If something is left on, whoever sees it must turn it off.
Overwork	Staff may work too hard and compromise their mental health or develop stress related illnesses	Moderate	Workloads to be managed and appropriate. Management to keep eye on employee stress levels (and their own). Policy on work hours applies - particularly, employees may not accumulate more than two weeks' of additional hours.
OOS (Occupational Overuse Syndrome)	Moderate to serious long-term injury.	Variable	Risk included in induction process. New employees are checked to make sure that their workstations are ergonomically appropriate for them. All staff educated on good work practices. Self-monitoring and monitoring of fellow staff members. Encouragement of micro-pauses, breaks.
Sharp objects	There are several objects that are sharp and could cause small or moderate injury, such as scissors and tape spools.	Low	Risk included in induction process. Anything left lying around should be put away. First aid kit available for minor injuries (see below on First Aid). See medical emergencies for more serious incidents. All staff responsible for identifying and reporting unsafe practices.
Temperature	Office temperature either too hot or too cold. May cause discomfort or illness.	Low	Adequate heating and cooling devices available. Everyone to report issues as they occur. Management are responsible for resolving these issues. Staff may have to work at home until issues resolved.
Unauthorised Entry	Front door is open to the public during the day. Rear door is shared. Unauthorised persons may gain access to the building. Office door is unlocked during day. Risk of criminal threat.	Low	Staff members working alone are to ensure the main door at the top of the stairs is locked. Similarly any employees who work after-hours (regardless of how many present) should ensure that main door is locked by 5pm and at all times during weekends. Everyone to report intruders or suspicious persons or incidents to the police (see Section 7.0).

Table 2: Travel Hazards

Hazard	Potential Harm	Risk Level	Control/Monitoring/Responsibility
Automobile accident	Accident may case anything from mild injury to disablement or death to staff members or members of the public.	Very low	<p>All staff members who drive for work to maintain a current restricted or full driver's licence. Employees responsible for informing management if they lose their license.</p> <p>Only staff members with a current full drivers' license may transport clients.</p> <p>All drivers to drive with care and obey all road laws. All vehicles used for work to be registered and warranted, and all to be in a good state of repair and insured.</p> <p>Management responsible for ensuring that all staff comply with these rules.</p>
Harm to Clients being transported by Aotahi	Accident may case anything from mild injury to disablement or death to clients.	Very low	<p>The general preference is for clients to transport themselves or be transported by their own institution (e.g. school) to the place of delivery.</p> <p>Institutions remain responsible for the safe transportation of minors who are usually under their control (e.g. schools are responsible for transportation of their students) unless it is agreed that Aotahi is responsible for transportation. Any arrangements between institutions to transport minors are not the responsibility of Aotahi.</p> <p>All staff members who drive clients to maintain a current full driver's licence.</p> <p>All drivers to drive with care and obey all road laws. All vehicles used for work to be registered and warranted, and all to be in a good state of repair and insured.</p> <p>Permission slips to be obtained from parents for any clients who are minors if they are to be transported by Aotahi.</p> <p>If Aotahi contracts a third party to transport clients to the delivery site, the third party must supply Aotahi appropriate documents and licences demonstrating that they are legally able to do so.</p> <p>Management responsible for ensuring that all staff comply with these rules.</p>

Health and Safety Policy

Applies to: All Staff

To be read in conjunction with:

- Staff Code of Conduct
- Accident and Incident Register

Version 1.0 (2019)

Aotahi Limited (PCBU) is committed to providing and maintaining a safe and healthy environment for its whānau (family), kaimahi (worker/s), tauira (student/s), contractors and manuwhiri (visitors). Aotahi is also committed to the continual review and improvement of systems, practices, resourcing requirements and other means to achieve this.

Note that the Health and Safety Officer is currently **Ariana Te Huia**. Her contact details:

Ariana Te Huia
Level 1, 123 Rora St, Te Kūiti
Email: ariana@aotahi.com
Phone: 07 878 5005

This policy is intended to align with the *Health and Safety at Work Act 2015*. Aotahi recognises its legal obligations under this act.

This policy is subject to continuous improvement. Rather than having set periods of revision, the policy will be reviewed on a needs basis as and when hazards and risks are identified.

Note that Aotahi is a small business with only 5 full-time staff members. For this reason, the health and safety office may not always be present and staff members may have to manage hazards and events themselves. All staff must therefore be familiar with and prepared to act on this Health and Safety policy.

1.0 General Principles

Management will take all practicable steps to:

- Comply with all relevant health and safety legislation, standards, codes of practice and best practice guidelines;
- Apply and support Aotahi Health and Safety Policy and Procedures;

- Understand health and safety management systems relative to their responsibilities;
- Ensure all workplace incidents and accidents are reported promptly and accurately and that causes are investigated to prevent reoccurrence;
- Maintain a hazards register as well as an incident and accident register;
- Provide rehabilitation assistance to ensure the safe and early return to work of injured workers;
- Provide and maintain a safe working environment for employees and others in the workplace;
- Provide all necessary training and instructions to employees;
- Make sure machinery and equipment is safe;
- Make sure working arrangements are not hazardous;
- Make sure health and safety employee engagement and participation processes are in place; and
- Consult and cooperate with other businesses or involved parties as necessary to keep everyone safe and healthy. This includes businesses who share the premises.
- Notify WorkSafe of any notifiable injury, illness, or incident as outlined in the *Health and Safety at Work Act 2015*. Notification must be made in accordance with the provisions of the *Health and Safety at Work Act*.
- Provide prompt and written notification to any client, customer, or purchasing agency of an incident, hazard or risk concerning health and safety that would affect service delivery.

Employees are also expected to share the commitment to health and safety by:

- Taking responsibility to ensure their own safety and the safety of others;
- Following all Aotahi policies, safe work practices, rules and instructions;
- Reporting all incidents/near misses, accidents, hazards, or unsafe conditions immediately;
- Early reporting of any pain or discomfort;
- Exercising their right to refuse to do unsafe work;
- Actively participating in all health and safety activities and training;
- Taking reasonable care that their actions (or inactions) do not cause harm, or risk of harm, to themselves or others;
- Not going to work under the influence of alcohol or drugs that impair their performance or fitness for work; and
- Wearing all necessary personal protective equipment and clothing where and when required.

NB: Failure to follow reasonable health and safety rules may be considered serious misconduct.

2.0 Hazard and Risk Identification and Hazard Registers

A **hazard** is something that might cause harm. A **risk** is a combination of a hazard and the probability that the hazard will do actual harm. The purpose of this health and safety policy is to identify hazards and associated risks affecting Aotahi employees, clients, visitors and other relevant parties both at the main Aotahi worksite at 123 Rora St and at any site where Aotahi delivers services (these are treated separately).

Note that Aotahi staff members sometimes work from home. Aotahi cannot be held responsible for hazards and risks in these places. Staff members are directed to use their own initiative to deal with hazards and risks identified by them.

2.1 Hazard Identification and Reporting

All Aotahi employees and managers are required to promptly bring to the attention of the Health and Safety Officer and management any hazard or risk they identify. Likewise, management and the Health and Safety Officer must promptly bring any hazards or risk changes they identify to the attention of any relevant party. This relates to:

- Identification of new hazards (e.g. newly exposed electrical wiring; safety concerns at a new delivery site)
- Elimination of previously identified hazards (e.g. that wiring that was previously identified as exposed has been safely enclosed; that identified safety concerns have been eliminated)
- Changes in risk levels associated with hazards (e.g. caustic chemical cleaners pose a risk which increases if there is a spill).

If you identify a hazard or associated risk change, you must:

- For minor issues: Verbally contact the Health and Safety Office with details.
- For anything other than minor issues:
 - Contact the Health and Safety Officer and/or management with details immediately.
 - Refrain from trying to fix the issue if doing so would create even more risk to yourself or others.
- Let anyone who may be affected know about the issue.

Once a hazard has been identified, it must be dealt with by the responsible party:

- For hazards that are the responsibility of Aotahi to manage, these shall be managed by the Health and Safety Officer in consultation with management.

- For hazards that are the responsibility of a third party (such as building owners), these shall be managed by the appropriate party, with Aotahi having reasonable responsibility for informing and protecting Aotahi staff and stakeholders from the effects of identified hazards.
- All hazards shall be added by the Health and Safety Officer to the applicable hazard register in this document.
- For hazards that are the responsibility of third parties, such as the building owner, Aotahi shall report the issue to that party and then take any remedial action needed to protect Aotahi staff, clients, or other relevant parties from the associated risk.

For all non-minor issues:

- A written record of the issue, it's reporting, and resolution must be kept in the register.

2.2 The Rora St Offices

The main Aotahi worksite is the office at 123 Rora St. The main offices are in a building leased from Te Kūiti Historical Society. It is the responsibility of Te Kūiti Historical Society to maintain the building warrant of fitness. It is the responsibility of the Health and Safety Officer to make sure that the building has a current warrant of fitness and to make sure that they are informed of anything that could jeopardise the building's current warrant of fitness.

Work done at this site almost entirely consists of office work, and occasional meetings with clients. As such, the level of overall risk is low compared to workplaces where hazardous substances or machinery are used.

Nevertheless, the Aotahi workplace does contain several hazards and associated risks. These are outlined in the Hazard Identification Registers.

2.2 Travel Risks and Hazards

Occasionally, Aotahi staff members may travel on behalf of the business or to transport clients: this creates additional risks, which are also shown in the Hazard Identification Registers.

2.3 Offsite Hazards

When Aotahi delivers services away from the main office, this may create additional hazards to Aotahi staff and stakeholders. Aotahi is responsible for making sure that any building it uses to deliver services is safe and free from undue risks to health and safety. This includes finding out the health and safety procedures which relate to the site (where appropriate) and any identified risks and hazards, and also completing an assessment of risks within the part(s) of the site to be used by Aotahi.

If delivering services to minors away from a main delivery site, minors are to be accompanied by an appropriate number of adults. For minors aged 13 years and older, the minimum ratio of adults to minors is 1:5.

3.0 Health and Safety Education

All new employees will be given health and safety instruction when inducted (see induction policy). A hardcopy of the current health and safety policy will be located by the first aid kit, and a softcopy will be held in a shared drive accessible by all employees. Policy and procedures will also be discussed at quarterly Employee Health and Safety Hui.

4.0 Worker Engagement

All staff are encouraged to participate in workplace health and safety discussion and planning. Issues may be raised:

- Informally with management and the Health and Safety Officer
- More formally in the weekly meeting or in writing.
- At the scheduled quarterly Employee Health and Safety Hui.

Management and the Health and Safety Officer have a duty to listen and consult with other staff about health and safety issues.

5.0 Accident Reporting Procedure

All accidents or near misses must be reported to the Health and Safety Officer who must enter these into the Accident and Incident Register and notify management. The register must include details of:

- The incident, its place, and time
- What happened
- Persons involved
- Any injuries suffered or potential injuries that might have occurred

The Accident and Incident Register will be held in softcopy in a shared drive accessible by the Health and Safety Officer and management.

In the instance of any notifiable injury, illness or incident (as defined in the Health and Safety at Work Act 2015), notification to WorkSafe New Zealand must be made in accordance with the provisions of the Health and Safety at Work Act 2015. Management and the Health and Safety Officer are responsible for notification.

Aotahi must also provide prompt and written notification to any client, customer, or purchasing agency of an incident, hazard or risk concerning health and safety that would affect service delivery.

6.0 Medical Events and Emergencies

6.1 Incidents Requiring First Aid

In the event of a minor medical issue requiring first aid, the first aid kit is located under the packing bench in the main office. The Health and Safety (H&S) Officer is responsible for maintaining and checking the kit. The H&S Officer (Ariana Te Huia) must hold a First Aid Level 1 Certificate (minimum), and assist any person requiring assistance in administering First Aid, provided they are on site at the time. A copy of the H&S Officer's First Aid Certificate must be displayed on site.

6.2 Incidents Requiring Professional Medical Assistance

For more serious medical events, staff are required to provide whatever assistance they can, and to seek professional medical assistance as soon as possible. The nearest GP to the Aotahi offices and to the TWoA Maniapoto campus is:

Maniapoto Whānau Ora Centre
23 Taupiri St,
Te Kuiti
Ph: (07) 878 3680
Hours: 8:30am–5pm weekdays

The nearest hospital to the main office and the TWoA Taupiri St campus is:

Te Kūiti Hospital
24 Ailsa St,
Te Kuiti
Ph: (07) 878 7333
Hours: Open 24 Hours, 7 days

If anyone suffering a medical issue or event requires transport or escort to a medical facility, this will be arranged by management or staff present at the time. If necessary, an ambulance will be called.

6.3 Medical Emergencies

In the event of a medical emergency, staff are to immediately call 111 and request an ambulance. They may then provide whatever assistance they are capable of (such as CPR) until the ambulance arrives.

7.0 Incidents Requiring Police Assistance

All criminal acts occurring in a work situation are to be reported to the New Zealand Police. The contact information for the nearest police station is:

New Zealand Police – Te Kūiti
62 Carroll Street,
Te Kuiti
Ph: (07) 878 1450

7.1 Police Emergencies

In the event of any police emergency, an Aotahi staff member is to dial 111 and request police.

7.2 Criminal Threats

In the event of any criminal threat or perceived criminal threat, Aotahi staff members are directed to see to the welfare of those in their care (such as students or children) before themselves. If possible, staff are to lock doors to create a secure space or evacuate the building by the nearest safe entrance (Rora St or Taupiri St carpark – see the evacuation plan below).

8.0 Evacuation Plan

At the main Aotahi office, there are two exits: the front exit onto Rora St and the rear exit into the Taupiri St car park. Evacuees are to take the closest and safest exit available to them.

If an evacuation is ordered (or the fire alarm sounds):

- Leave the building immediately via the nearest, safest exit.
- Obey any additional instructions given by the Health and Safety Officer.
- Proceed to the assembly point (for the Aotahi office this is the opposite side of Rora St by the Millenium Pavilion).
- Do not re-enter the building until the all clear is given.

9.0 Fire

The Fire Warden is the Health and Safety Officer.

In the event of a fire:

1. Raise the alarm immediately by operating the nearest Fire Alarm. In the main Aotahi office, alarms are located at the top of the entry stairs on the Rora St side and at the top of the back stairs on the Taupiri St side.
2. If needed, there are two fire extinguishers, one at each end of the main corridor.
3. Leave the building immediately by your nearest, safe escape route. In the main office there are only two fire exits to the building: the back stairs to the Taupiri St car park (see the evacuation plan below) and the front stairs to Rora St.
4. Assemble at the assembly area identified in the evacuation plan (for the main office this is the opposite side of Rora St for the main office). The Health and Safety Officer will conduct a head count.
5. Do not attempt to re-enter the building until the Fire Service have given the “all clear”.

If you hear the fire alarm while in the building, take steps 3-6.

10.0 Natural or Other Disaster

In the event of an earthquake, follow the Drop, Cover and Hold On process:

- Drop where you are, onto your hands and knees
- Cover your head and neck with your arms. If a sturdy table or desk is nearby, crawl underneath it. If no shelter is nearby, crawl next to an interior wall (away from windows). Crawl only if you can reach better cover without going through an area with more debris. Stay on your knees; bend over to protect vital organs.
- Hold On: If you are under a table or desk, hold onto it with one hand and be ready to move with it if it moves. If you can't find a table or desk, hold on to your head with both arms and hands.

Do not:

- Run outside
- Get in a doorway

Other points:

- If you are in a vehicle, pull over and stop. Set your parking brake.
- If you are outdoors, say outdoors and away from buildings.

- If the building is damaged during the earthquake, when the earthquake is finished, go outside and quickly proceed to the assembly point (on the other side of Rora Street by the Millenium Pavilion).
- If you are trapped, protect your mouth, nose and eyes from dust. Send a text or bang on a wall to let rescuers locate you (instead of shouting).

In the event of any other natural disaster, follow instructions given by the Health and Safety Officer.

Hours and Wages Policy

Applies to: all employees

To be read in conjunction with:

- Employment Agreement Template

Version 1.1 (2019)

Policy

Standard Work Hours

The normal work hours for a full-time employee of Aotahi are from 9am to 5pm, Monday to Friday. There is some flexibility in regards to start and finish times, but this must be agreed with the employer in advance. However, at times, additional hours may be required and from time to time, employees may wish to take time off.

Breaks

The employee is entitled to two paid rest breaks of 15 minutes and one meal break of 30 minutes (if they work over 5 ½ hours in a day).

The meal break may be taken at any time during the 8-hour day. Although employees are encouraged to take their meal break in the middle of the day, the employee may choose to take their meal break at the start or end of their work day, meaning that they start work later or finish work earlier.

Whilst there is flexibility in the scheduling of rest breaks, they must not be combined without the prior permission of the Employer.

Additional Hours: Nights and Weekend Work

At times, employees may be required to work some hours at nights or on weekends. This is most likely to occur if there is an important deadline to be met or the employee is involved in tutor training or programme review sessions which are likely to be delivered on weekends.

These hours are to be included within the normal 40 hours per week. If the time spent working per week exceeds 40 hours, some accumulation of hours is possible (see below). However, there may also be times when an employee *chooses* to work some hours at nights or on weekends. In such cases, the employee must consult one of the Aotahi directors for approval prior to engaging in this work.

Travel Time and Overnight Trips

From time to time employees may be required to work away from the Te Kūiti office, sometimes overnight (or for more than one night). Examples of such situations may include tutor training sessions, programme reviews, and visits to TWoA regions. In such cases, the time spent travelling to and from the place of work is to be included in the 40-hours work per week. However, if an employee is required to stay overnight, hours from the time you finish work for the day until you start work again on the following day are not included in the 40 hours of work per week.

For example, if you depart Te Kūiti at 6am on a Saturday morning to attend a training session that commences in Auckland at 9am, finishes at 5:30pm, and then commences at 9am the following morning, finishes at 12pm and you arrive back in Te Kūiti at 3pm, the total number of work hours will be 17.5.

Accumulation of Hours

Employees are to maintain a record of any extra hours they work each day as well as any time off they have. This is to be submitted every fortnight.

- **Additional Hours:** These hours may accumulate to a maximum of two weeks' worth (80 hours for a full-time employee). If the requirements of the position are likely to involve an employee accumulating hours beyond this amount, they must meet with the Aotahi directors to discuss options such as the reduction of workload, payment of extra hours, and/or time off. Alternatively, instead of accumulating hours, if offered by management, employees may choose to be paid for these hours at the usual hourly rate.
- **Time Off:** Permission must be sought from the Aotahi directors for time off. This time off can be used to offset or balance any additional hours that you may have worked. This provision provides for employees to have time off due to sickness or health reasons when they do not have any sick leave available. These hours may only accumulate to a maximum of the number of hours owing to an employee in annual leave. For example, if an employee has 65 hours of annual leave owing, they may either accumulate up to 65 hours in time off or actually take the time off as annual leave. Unless the Aotahi directors consider that special circumstances apply, any additional time off beyond this amount will be taken as unpaid leave.

Wages Policy

Employee will be paid fortnightly, on the day specified in the employee's employment agreement, into the employee's nominated NZ bank account. A direct credit to a bank account is the only accepted means of payment. The employer may change when the employee is paid, and will issue a variation to the employment agreement for this purpose.

Induction and Training Policy

Applies to: all new employees

To be read in conjunction with

- Hours and Wages Policy
- Staff Code of Conduct
- Employment Agreement
- Health and Safety Policy

Version 1.0 (2019)

Preamble

All new employees and/or contractors must complete the induction process. Note that there is some flexibility to alter processes depending on current employee and organisation needs and status.

Induction

The induction process will be conducted by Naomi Hughes and/or Erin Gray. The following plan is the basis for all employee inductions to Aotahi Limited.

1. Whakatauranga

New employees must gather with all available Aotahi staff in the meeting room for welcoming to the company. This has the following parts:

- **Whakawhanaungatanga:** all existing Aotahi staff members introduce themselves, state their role with the company and how long they have been employed at Aotahi. They may also offer personal or family information if they wish to (this is encouraged). Ensure the Health & Safety Officer is identified.
- **Explanation of the role and vision of the company.** Aotahi is a Māori business education company, specialising in small business and personal financial education.
 - The vision of Aotahi is “to ignite the entrepreneurial mind”.
 - Aotahi was founded in 2003 by Naomi Hughes and Miriana Stephens to develop and manage small business programmes (predominately for Te Wānanga o Aotearoa). The company is now owned by Directors, Naomi Hughes and Erin Gray.
 - Briefly outline major past contracts.

2. Current Workplans and Current Contracts

Explain the current status of the company, including all current contracts (e.g. Pakihi; TWoA; MYD) and the work planned for the foreseeable future. Detail current employees workplans. Explain how new employees and their roles fit into these workplans and contracts.

3. Workplace Tour

A brief tour of the Aotahi premises:

- Main office
- Library / storage room
- Stationery
- First aid equipment
- Kitchen and tea-making facilities
- Meeting room
- Fire exits, alarms, and extinguishers
- Lavatories
- Cleaning cupboard and cleaning supplies
- Locks and PIN codes (distribute keys as needed)

4. Required Employee Information

Any required information that has not yet been supplied – for example, in the employee’s job application—should now be requested and obtained. This will include any changes to information previously supplied due to change of circumstance. If the employee has not yet had an employee file created, arrange this now.

Information needed includes, but is not limited to, the following:

- Inland Revenue Tax Code
- Bank account number for payroll deposit
- Home address and contact details
- Next of kin
- Any special medical needs or conditions. Inform Health and Safety Officer of any H & S issues (employees may wait to give this information in private)

- Cultural/religious needs (employees may want to give this information in private)
- Copy of drivers licence

5. Workstation and Equipment

- Computer, internet accounts, and email
- Software (MS Office; Google Drive; Trello).
- Phone (explain how this works)
- Desk
- Check hazards and fit of workstation and work equipment. Take action to remedy any problems. See Health and Safety Policy for more information.
- Organise further training if needed (see below).

6. Work Times

Employees are expected to work their assigned hours each week. For full time employees, this is 40 hours. This is subject to the following rules.

- You are allowed to take two 15 minute (non-consecutive) breaks during the work day.
- You are also entitled to a 30 minute paid lunch break if you work over 5 ½ hours in a day. Whilst all employees are encouraged to take their lunch break in the middle of their working day, they may choose to forgo this break, and instead finish 30 minutes early (and still record 8 hours on their timesheet).
- Work hours are usually flexible. Generally speaking, it is expected that you will be in the office between 9 and 5. However, alternative hours may often be arranged.
- There is a timesheet in the office for you to record your hours. A template for the timesheet, should you need to print one, is located in the shared drive.
- You may work more hours on one day and then work less on another day. If you do not take this time off, it will be added to your overall timesheet for you to take later. However, the timesheet must not accumulate more than 2 weeks' work (maximum 80 hours for a full-time employee) and, if requested, you must agree to take time off to reduce hours accumulated on the spreadsheet.
- At some point you may be given permission to work at home on some days (this may also occur if you have family reasons to stay at home such as a sick child or if the weather prevents a safe commute to Te Kūiti). If you do so, you must work during those hours and be contactable by telephone or text message during working hours.

7. Policies and Rules that Might Apply

Show where to find Aotahi policy documents (physical copy and copy in the shared drive).

- **Staff Code of Conduct.** Introduce main themes.
- **Payment dates.** Wages are processed fortnightly following the pay period on the day of the week stated in the employment agreement.
- **Pay review.** To be conducted informally with management.
- **Benefits.** If your birthday falls on a week day which you normally work, you must take it as a paid holiday. This is in addition to your standard entitlement to 20 days paid holiday and statutory holidays. The birthday holiday cannot be taken on another day.
- **Holidays.** You may take holidays as you accrue them (rather than waiting a whole year to receive the yearly holidays). In some cases you may get permission from management to take holidays in advance. See the Hours and Wages Policy for more detail.
- **Christmas Shutdown.** The business typically shuts down for two weeks over the Christmas holidays. You are expected to take holiday time over this period, although in some cases you will be allowed to work if you need to (consult management).
- **Who to go to if you need information.** In most cases, Naomi, Erin, or Ariana.
- **Health and Safety Policy.** In shared drive, with hardcopy located next to the First Aid kit. Note that Ariana is the H & S Officer. Also note that all staff members have a duty to report hazards and incidents and detail the means by which each of these is done (see Health and Safety policy).
- **Child Protection Policy.** As Aotahi sometimes provides services to children, all inductees must be advised of the contents of this policy and their obligations under it. You will be directed to information required to help you understand and apply this policy.
- **Performance review and schedule.** If a 90 day trial period applies, there will be a formal performance review at the end of that period.
- **Professional development.** In some cases the company may agree to allow an employee to complete qualifications that are relevant to the business on company time.
- **First aid training.** Employees may be required to complete first aid training. This will be at the expense of the company and carried out during working hours.
- **Feedback.** This is done informally at Aotahi and will often take place in the weekly meeting or on a needs basis.
- **Work Issues.** If you have issues with your work, a co-worker, or manager, you are expected bring it up with them in a friendly and non-confrontational manner. The custom at Aotahi is

to talk through our problems immediately to make sure that they do not become long standing issues. If you feel unable to talk to the person concerned, you may raise the issue in confidence with Naomi or Erin. For more details, see the Conflicts and Mediation Policy.

- **Disciplinary Processes.** These are outlined in the Discipline and Termination of Employment Policy.
- **Travel; Mileage.** If you are asked to use your own vehicle to travel to a work site away from the main office in Te Kūiti, and you have to travel over 20km to do so, you will be paid mileage for the use of your vehicle at standard IRD rates. Note that this does not apply to your usual commute, travel to work functions such as the Christmas party, or if the travel is a reasonable deviation from your normal commute (for example, if you commute to Hamilton and are asked to drop something off at TWoA head office in Te Awamutu on your way home—this would not be 20km out of your way).

8. Work Schedule

- If you are offered flexible work hours, and are collaborating with others, you may need to schedule work at times that are manageable for everyone.
- If you require specific quiet times to work in the office, please inform Naomi or Erin.
- Staff hui are held on Monday mornings at 10am. All employees are expected to attend. At these hui, staff members report on their work so that everyone else is kept informed of what is happening in the business and with our various projects and contracts.
- If your work team is using a project management tool to schedule, such as Trello, you will need to adapt your schedule to the deadlines set out for you in that tool.
- Current Work Plan (week or month). Set out what the new employee will be doing in this and the following weeks.

9. Assess Other Needs

Some new employees might have additional training needs such as training with software that they are unfamiliar with.

At the end of the induction, conduct an assessment with the employee about where they feel there are gaps in their knowledge and skill set. Create an action plan to remedy these as soon as is reasonably practicable. For instance, if a new hire needs instruction on using software, assign a current staff member to introduce and guide them.

10. Moving Forward

There may be elements of the induction which cannot be completed on the first day. For example, Aotahi may wish to introduce the employee to important clients or contractors who are not present on the first day. A plan should be made to accomplish this as soon as is reasonably practical.

Privacy Policy

Applies to: all staff

Version 1.0 (2019)

Preamble

As a company, Aotahi Limited recognises its legal obligations under the *Privacy Act 1993*.

Privacy Officer

The appointed Privacy Officer for Aotahi is Naomi Hughes.

Policy

When Aotahi Limited collects personal information, it will:

- Collect only the personal information that it needs to conduct its lawful business activities.
- Collect the information from the person concerned where possible, unless this would frustrate the purpose of collecting the information or the information is publicly available or when collection is done with the individual's consent.
- Take reasonable steps to inform people when their personal information is being collected and why (see the Privacy Statement below).
- Collect information lawfully, fairly, and in a way that is non-intrusive.

When Aotahi stores personal information, it will:

- Take reasonable steps to make sure that the information is held securely by either restricting access behind passwords or providing secure, physical storage.
- Confirm that it does hold personal information, if requested by the person.
- Allow people access to the personal information we hold within 20 days of receiving a request unless for reasons detailed in Section 4 of the *Privacy Act 1993*.
- Ensure as far as is reasonably practicable that the information held is accurate, up-to-date, complete, relevant, and not misleading.
- Allow people to correct personal information if it is mistaken and hold a record of the request to correct if it is judged that the original information is accurate.

When Aotahi no longer has a legitimate use for personal information, it will:

- No longer keep the information
- Securely dispose of the information

While Aotahi possesses personal information, it will:

- Only ever use that information for the purpose it was acquired for.
- Restrict access to the information only to staff members who have a legitimate reason to see it.
- Only disclose the information for a good reason, when consented to by the person, or when required by law.

Professional Development Policy

Applies to: all permanent staff members

Version 1.0 (2019)

Preamble

Aotahi Limited is committed to the professional development of its staff members. The modern work environment is always changing, so staff members will often have to learn new skills and new knowledge. Professional development benefits both Aotahi Limited and staff members.

Professional development includes, but is not limited to:

- Acquisition of formal qualifications
- Formal training sessions (individual or corporate)
- Employee Coaching and Mentoring
- Participating in conferences
- Attendance at seminars (such as those hosted by the Waikato Chamber of Commerce)
- On-the-job training
- Job shadowing
- Job rotation

As Aotahi is a small business, we do not have formal internal training programmes like many large corporations. In some cases Aotahi will hire external contractors to provide necessary instruction and training.

1.0 Need Identification

The first step is identifying a need for professional development. Management will continuously assess the need for such training in consultation with employees where necessary. To that end:

- All staff members should work to understand their own strengths and weaknesses and their personal needs for professional development.
- Managers and Team Leaders must continuously assess relevant staff to determine when there is a need for professional development.

- Managers must continuously assess organisational needs against the current organisational skill set.
- Everyone should look out for opportunities for professional development, such as upcoming seminars, conferences, talks, etc.

2.0 Obligations

Whenever Aotahi engages in formal workplace training, all required employees must attend the sessions and complete the requisite training tasks. Sometimes this may require staff members to travel away from the office.

In addition, Aotahi may request or allow staff members to engage in professional development through external entities. This may include, but is not limited to:

- Aotahi requiring a staff member to complete a recognised qualification through a recognised external provider. In general, the staff member will be given work time to complete any work required to complete the qualification and Aotahi will pay any fees expenses, or charges required to complete the qualification.
- Aotahi requiring a staff member to attend a professional development session or conference. In general, Aotahi will bear the cost of accommodation, attendance, and expenses directly related to the session.
- Aotahi requiring a staff member to engage in informal research and upskilling as part of their regular work duties. This is to be completed on work time.
- Aotahi requiring a staff member to engage in informal research and upskilling with a view to sharing that knowledge with other staff members in the future. Again, such research will be within work time.

While staff members may engage in professional development on their own time, if they want to do so during work time or using work resources or have the costs paid by the company, they must obtain permission from management beforehand.

3.0 Procedure

This procedure should be followed when employees want to attend external training sessions, enrol in a qualification or attend conferences:

1. Employees or team leaders identify the need for training.
2. Employees and team leaders discuss potential training and come up with suggestions.
3. Employees or team leaders contact management and present their proposal.

4. Management considers the proposal, with attention to budget and training content.
5. Management approves or rejects the proposal.
6. If the proposal is approved, management will make arrangements for dates, accommodation, reserving places, etc. This task may be delegated to the staff member undertaking training.
7. Where possible, the company will pay for training directly. In cases where the company doesn't pay for the training directly, employees will pay and send invoices or receipts to management to be reimbursed.
8. If an employee decides to drop or cancel a training event, they must tell management immediately. The employee must reimburse the company and cover any cancellation fees (unless they are cancelling due to illness or situations agreed as being reasonably by management).
9. When training involves assessment, employees are obliged to submit the final results to management.

Record Keeping Policies and Procedures

Applies to: all staff

To be understood in conjunction with:

- Privacy Policy
- Induction and Training Policy
- Health and Safety Policy
- Child Protection Policy

Version 1.0 (2019)

Preamble

Aotahi Limited is committed to keeping accurate, complete, and clear records of all its dealings. The records will provide reliable, complete, and authentic evidence of business transactions. The records kept include, but are not limited to:

- Financial records
- Employee records
- Academic records
- Feedback and complaints
- Contracts
- Customer and client details
- Accident and hazard registers

These records will be kept and managed in accordance with legal requirements and kept safe from loss, damage, corruption, and misuse.

Keeping accurate records allows Aotahi to better:

- Improve decision-making
- Comply with legal requirements
- Maintain a healthy and safe working environment
- Evaluate performance

Policy

General Principles

All Aotahi staff members will:

- Ensure to the best of their ability that any information is accurate and complete
- Store all records in appropriate media
- Ensure that records can easily be found, by using efficient categorisation
- Understand who is authorised to access records and when authorisation must be sought

General Obligations

- Aotahi recognises and will abide by all its legal and contractual obligations to keep records.
- All relevant records are subject to Aotahi's Privacy Policy.

Authorisation

In general, records may only be accessed by staff members and only for a legitimate work reasons.

Records may have different levels of authorisation. At Aotahi, the following records have high authorisation level and can only be accessed by management or persons specifically authorised to do so by management:

- Employee files, including job applicant details and disciplinary records
- Confidential financial data
- Commercially sensitive material
- Company contracts
- Details of sensitive complaints
- Records that pertain to allegations of child abuse or neglect

Storage

Storage is mixed. Hardcopy files relating to any of the above topics (see Authorisation) are stored in locked filing cabinets in the main office. Softcopy files relating to these topics are kept on management computer drives, shared management drives (not accessible by other staff), or in the cloud through third party services (e.g. MYOB).

Most electronic documents are stored in the shared Google Drive. These must be:

- Accurately categorised and labelled
- Stored in the appropriate folders

- Saved in file formats that are readily accessible by those who need to access them. Files in obsolete formats should be converted as needed to maintain accessibility.

Security

The following security measures apply to all records:

- Never allow access to unauthorised persons.
- Never leave highly confidential papers lying around or on the printer.
- The filing cabinet must be locked whenever it is not being accessed.
- Don't leave your computer unlocked and unattended outside of the office.
- Aotahi shall take steps to make sure that all staff computers are free from malicious software that could compromise security.
- If your smartphone allows access to Aotahi records or documents, secure it against unauthorised access.
- Employee access to the shared Google Drive is to be restricted and monitored. Employees are allowed access to only those folders which they have a legitimate work need to access. They must be restricted from accessing all other folders.
- For additional security staff members may password protect extremely sensitive documents in addition to the measures described above.
- Documents that no longer require keeping must be securely deleted (if electronic) or shredded immediately (not placed in a shredding pile).

Retention

Aotahi will retain all records for as long as it is legally obliged to. Personal information will be kept for as long as needed and then removed (see Privacy Policy). All other records Aotahi will keep for a minimum of five years.

Records that are no longer required will be disposed of by secure deletion or shredding. They must never be disposed of in a way that could allow an outside party to recover the information.

Recruitment Policy and Procedure

Applies to: management

To be read in conjunction with:

- Equal Employment Opportunity Policy
- Employment Agreement Template
- Child Protection Policy
- Induction and Training Policy

Version 1.1 (2019)

Preamble

From time to time Aotahi will need to hire new employees. This document outlines the policies and procedures to be followed when recruiting.

Authorisation to Recruit

Any new positions must be authorised by the directors, Naomi Hughes and Erin Gray, before the recruitment process proper can begin.

Recruitment Team

Naomi Hughes and/or Erin Gray will be responsible for conducting the recruitment process, although they may delegate to other members of staff or an external entity (such as a personnel agency).

Legal Obligations

This policy is intended to align with Aotahi's legal obligations under the *Human Rights Act 1993* and the *Fair Trading Act 1986*.

Recruitment Process

Advertisement of the Position

The job advertisement must include:

- The name of the company
- The company's branding (if advertisement has graphical elements)
- The location of employment

- The job title and an outline of the main purpose and duties of the position. The job title must accurately reflect the nature of the position
- A brief summary of the skills, experience, and qualifications required to do the job (full details will be available in the Person Specification, which will be provided to potential applicants)
- Where applicable, an indication that Aotahi is committed to safer recruiting practices and that the successful applicant must undergo police vetting
- Contact details and instructions on how to obtain a person specification and apply
- The application closing date

Specific details of the advertisement and its placement are left to the discretion of the recruitment team.

The advertisement must not be misleading so that it meets Aotahi's legal obligations under the *Fair Trading Act 1986*.

Application Closing Date

This is a soft deadline. Applications received after the closing date may be considered at the discretion of the recruitment team.

Equal Employment Opportunity Policy

The provisions of the Equal Employment Opportunity Policy and Aotahi's legal obligation to refrain from discrimination under the *Human Rights Act 1993* apply to all stages of the recruitment process.

Application Requirements

Applications and supporting documentation should be emailed to the specified email address prior to 6pm on the application closing date. The recruitment team may decide (in advance) that hardcopy applications will not be accepted.

Each application must include the following:

- An up-to-date CV.
- Permission to contact at least two referees (and the contact details for those referees).

- A cover letter outlining how the applicant meets the requirements listed in the Person Specification.

Notification of Short-List and Scheduling of Interviews

All applicants must be notified in a timely manner by email or phone as to whether they have been short-listed for the position.

Those who have been short-listed must then be given the dates on which interviews will be conducted and asked to select a time. The recruitment team may choose to be flexible about the date of interviews.

Interviews may take place before the closing date.

Examples of Work; Exercises

For some positions, applicants who are short-listed may be required to complete an exercise and / or submit an example of their work if they wish to proceed with their application. These must be submitted before the interviews. Where exercises are required, these must not involve unpaid work trials.

Interviews

In some instances, video conference and telephone interviews are allowed, but not preferred. The interview script is to be prepared by the recruitment team and at least one member of the team must conduct the interview.

Qualification Checks

Applicants will be required to provide evidence of their qualifications at the interview. This includes, but is not limited to, original academic diplomas, copies of official transcripts, and any other evidence that Aotahi may require.

If additional checking must be made, such as contacting a qualification granting institution for confirmation, this will be completed by Aotahi before the application is allowed to proceed.

Second Short List

Two or three preferred applicants are selected to continue in the process. Unsuccessful candidates will be notified that their applications will not continue.

Referee Checks

Two referee checks will be made. The recruitment team must decide in advance what type of referees must be provided. In most instances this will include at least one referee who can attest to the quality of their work and work ethic and who was in a senior position to them (e.g. manager or employer) or was a customer (if the applicant is a contractor).

The applicants must be notified that the checks will be made and asked for permission to continue with the checks. If they do not give permission, their application will not continue.

Note that due to legal requirements and Safer Recruitment Practices, the referee checks must assess whether the applicant would pose a risk to children and the nature and extent of any such risk.

Selection

The recruitment team make their selection and notify successful and unsuccessful candidates.

Safer Recruitment Practices

In accordance with Safer Recruitment Practices and as part of Aotahi's Child Protection Policy, all applicants for positions involving working with children (or with information about children) must undergo police vetting in accordance with the *Vulnerable Children Act 2004* and Section 6 of the *Children's (Requirements for Safety Checks of Children's Workers) Regulations 2015*.

1. Aotahi must verify the identity of the applicant using the criteria outlined in Section 5 of the *Children's (Requirements for Safety Checks of Children's Workers) Regulations 2015*.

In practice, this means a Primary Identity Document (typically a passport, birth certificate or firearms licence) and a Secondary Identity Document (a drivers licence, CS Card, utility bill, or IRD number). At least one of the identify documents must have a photograph of the applicant.

2. Aotahi must arrange a Police vet of the applicant detailing any previous criminal convictions or their absence. If an applicant has been convicted of any offence in the list of specified offences in the *Children's Act 2014*, their application will not continue unless they hold a [Core Worker Exemption](#). In general, being convicted of one of these offences means that their application cannot continue.
3. Two referee checks where the applicant's risk to children is assessed (see above).
4. Aotahi must undertake a risk assessment based on information gathered to assess whether the applicant poses an undue risk to children. If it is judged that they do pose such a risk, their application will not continue and they will be advised of the outcome of the assessment.

5. The process described in 1-4 must be documented and held on file, no matter the outcome.

When the Selected Applicant Cannot be Appointed

If for any reason (including a failed criminal background check) no remaining applicants can be appointed, the recruitment team may choose to either start the recruitment process again or revisit the short list and request permission from one or more previously eliminated applicants to restart their applications.

Notification and Appointment

Successful candidates must be notified of the outcome and offered the position. If they accept, they must then be sent a copy of the proposed employment agreement as well as any other necessary documents (such as tax forms, KiwiSaver forms, etc.).

Employment Agreement

The employment agreement will be prepared using the latest version of the Employment Agreement Builder located online as a template, currently located on the business.govt.nz website. The employment agreement will contain a clause providing for a paid day leave each year that the employee's birthday falls on a normal working day.

Preparation for Induction

The new employee must have a start date set and preparations for their induction must be made in accordance with the Induction and Training Policy.

Staff Code of Conduct

Applies to: All Aotahi staff

To be read in conjunction with:

- Health and Safety Policy
- Conflict and Mediation Policy
- Discipline and Termination of Employee Policy

- Child Protection Policy
- Conflict and Mediation Policy
- Employment Agreement

Version 1.0 (2019)

Preamble

Aotahi's organisational culture is based on the idea of mutual respect, reasonable behaviour, and tolerance. At all times staff members must behave in a way that respects others as persons and values their dignity.

Aotahi recognises its legal obligations under the *Human Rights Act 1993* and *Employment Relations Act 2000*. Staff must also recognise their obligations under these acts and any other applicable laws.

All staff must know and adhere to the following code of conduct. Staff members who violate the code may be subject to disciplinary procedures. Note that this document is subject to change without notice.

Policy

1. Behavioural Standards

The following standards of behaviour are expected of all staff at all times:

- Treat other people with respect.
- Be honest in word and deed.
- Respect human rights.
- Respect diversity, especially cultural diversity – be responsive to other people's ethnic, cultural and spiritual values and beliefs, as well as their physical needs.
- Take special care when dealing with vulnerable persons.
- Observe common courtesy.
- Have appropriate respect for Aotearoa as a bi-cultural partnership as outlined in the Treaty of Waitangi.
- Be reasonable in word and deed.
- Maintain high ethical standards.

- Act so as to further and not frustrate the mission/vision of Aotahi Limited (“to ignite the entrepreneurial mind”).
- Be forthcoming with important information.
- Take pride in the organisation and its accomplishments.
- Obey the law.
- Do not act in such a way that would bring the business, stakeholders, or fellow staff into disrepute.

Staff must also maintain the following personal standards:

All staff are required to:

- Maintain standards of dress and behaviour appropriate to the workplace and/or specific work activities. Unless otherwise directed, you may wear casual attire to the office as long as it is clean, inoffensive, and in good repair.
- From time to time staff may be required to attend formal events with or without stakeholders. Staff will be advised ahead of time of required dress standards.
- Staff must maintain any professional requirements related to their position, such as a drivers’ licence or specific qualification. Staff have a duty to inform management of any relevant changes to their accreditation (such as a suspended licence).

Performance of duties

All staff are required to:

- Perform their assigned duties to the best of their abilities.
- Perform any other duties required, unless it would be clearly unreasonable or dangerous to do so.
- Help staff members who require assistance, where reasonably practicable to do so.
- Comply with all company policies and procedures.
- Abide by their contracted hours of employment, including agreed rest breaks.
- Maintain professional relationships with other staff and stakeholders.
- Be friendly and open-minded with other staff.
- Admit and take responsibility for any and all errors you make.

Health and Safety

All staff are required to observe the company health and safety policy (see elsewhere in this document). This includes but is not limited to:

- Maintaining a safe environment for all stakeholders.
- Taking appropriate caution around hazards.
- Identifying hazards and bringing them to the attention of the company, as outlined in the Health and Safety policy.
- Participating in Employee Health and Safety hui.
- Minimising the introduction of new hazards into the work environment.
- Not be under the influence of alcohol or illegal drugs at work.
- Advise relevant parties when you are unable to perform your duties safely.
- Inform the company about any medical or physical condition that could compromise your safety or that of other people and/or which might affect your ability to perform your assigned duties.

Child Protection

Aotahi has committed to a culture of child safety. When the interests of children are involved, staff members must place the security and wellbeing of children above all other concerns. See the Child Protection Policy.

Sexual Harassment and Racial Harassment

As per the *Employment Relations Act 2000* sexual and racial harassment are prohibited and constitute serious misconduct (see Section 2 below).

Smoking and Vaping

Aotahi is a smoke free workplace. Both smoking and vaping is prohibited while at work. Smoking and vaping may only occur outside work premises at break times. The Aotahi premises and all places of delivery must remain smoke free at all times.

Privacy and Confidentiality

All staff must:

- Respect the confidentiality of information they might become privy to during their work.
- Refrain from disclosures that might bring the business into disrepute or adversely affect the business, unless required to do so by law.
- Abide by the company Privacy Policy (see elsewhere in this document).

Property

All staff must:

- Show appropriate respect for company property as well as the property of other staff members and stakeholders.
- Refrain from using company property for unauthorised purposes, unless explicitly given permission to do so.
- Inform management of any fault or breakages of company property immediately.

Private Activities

All staff must:

- Refrain from activities in their private lives which negatively impact on their capacity to fulfil the terms of their employment agreement, unless agreed in advance with management.
- Not do any non-company work on company time, unless authorised to do so by management.

2. Serious Misconduct

Serious misconduct is conduct that can lead to immediate termination. Such conduct includes, but is not limited to:

- Material breaches of the employment agreement or company policy
- Consuming alcohol on company premises without authorisation (such as would be given on a special occasion)
- Possession, consumption, selling, or buying of illegal drugs on work premises or during work activities
- Being intoxicated or high at work
- Gambling on work premises or during work hours
- Failing to disclose criminal convictions
- Failure to disclose any conflict of interest
- Providing false information on the employment application

- Disclosure of confidential or private information relevant to the business
- Unauthorised use of company or customer information
- Statements or behaviour that are likely to bring the company into disrepute
- Attempting to persuade a customer, client, supplier, or contractor to negatively alter their relationship with the company
- Sexual or other harassment
- Bullying
- Physical assault
- Verbal abuse
- Intimidation
- Refusal to carry out reasonable and lawful orders
- Serious breach of health and safety policies
- Dishonesty or theft
- Falsification of records/timesheets
- Damaging company property
- Gross negligence
- Excessive absence

3. Misconduct

Misconduct is behaviour that would lead to warnings that might lead to dismissal. It includes, but is not limited to:

- Failure to work to acceptable standards
- Non-performance of work tasks
- Wasting time or materials
- Being AWOL
- Persistent foul language
- Misuse of internet
- Failing to turn up at agreed work times
- Failing to complete agreed hours of work
- Chronic tardiness

- Minor breaches of work rules
- Bad attitude, discourtesy
- Sending offensive messages, emails, or posting offensive writings or drawings
- Smoking or vaping on work premises or at places of delivery
- Failing to observe safety rules or working in an unsafe manner
- Failure to report a minor work-related accident

4. Breaches and Discipline

All breaches of this code of conduct will be taken seriously. Disciplinary procedures are located in the Discipline and Termination of Employment Policy.

Vetting Service Request and Consent Form

Available from the NZ Police website at:

- <https://www.police.govt.nz/sites/default/files/publications/pvs-vetting-request-and-consent-form.pdf>