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Delegation Level 6 – Staff Designated by Level 2 to 5 Delegates

# with HR input \$ with Finance input ^ with input from Legal + with input from Procurement  
Input means that you must consult and consider advice/direction from the relevant department

Human Resources	Approve a new role	No
	Approve replacement of an existing role	Yes
	Approve a secondment	No
	Approve a temp/locum vacancy	No
	Approve outsourced personnel	No
	Approve leave	Yes
	Approve special paid leave and SMO CME	No
	Make and sign an offer of employment	Yes
	Vary individual employment agreement template	No
	May issue first and second warnings	Yes
	May dismiss an employee	Yes#
	May suspend an employee	Yes#
	Approve a redundancy	No
	Approve a gratuity/lump sum payment	No
	Approve expenses outside the applicable employment agreement	No
	Approve a timesheet/hours of work	Yes
	Approve a variation to hours of work or contracted FTE	Yes
	May approve an increase in salary: In the range	Yes
	Outside the range	No
	For an IEA	No
May approve tertiary education fees	No	
Contracts	May negotiate a clinical service contract	No
	May approve/sign a clinical service contract	No
	May terminate a clinical service contract	No
	May negotiate a revenue and funding contract	No
	May approve/sign/extend a revenue and funding contract	No
	May terminate a revenue and funding contract	No
	Approve inter-district funding	No
Capital Expenditure	May approve capital up to \$2,000	Yes – only where approved budget exists
	May approve capital over \$2,000 and up to \$19,999	No
	May approve capital over \$20,000 and up to \$499,999	No
	May approve capital over \$500,000 and under \$1million	No
Finance	May approve expenditure in line with budget	Yes
	Approve internal transfer of funds from one	No

Title:  
**Delegations of Authority**

 Type:  
**Policy**

 Version:  
**04**

Authorising initials:

	budget line to another	
	Raise credit notes	No
	Initiate debt recovery	No
	Alter provisions for doubtful debts	No
	Write off bad debts	No
	Approve new banking arrangements	No
	Rollover existing borrowing or investing arrangements	No
	Borrow or invest within existing arrangements	No
	Enter into a Guarantee or Indemnity	No
	Destroy financial records	No
	Acquire securities, shares or other interests	No
	Arrange new/agree variations/renewals of existing insurance policies	No
	Agree to insurance settlements	No
	Submit a claim for insurance	Yes
	Enter into a Finance Lease	No
	Approve transfer of funds between BPO sites	No
	Approve BPO contingency	No
	Approve BPO letters of intent and engagement	No
Property	Approve maintenance costs in own RC's	No
	Approve disposal of land including leases over 5 years	No
	Approve lease of land from other parties	No
	Approve purchase of land	No
	Approve tenancy agreements (for and from DHB)	No
	Approve lease of Waikato DHB land to other parties for periods up to 5 years	No
Legal	May initiate legal proceedings	No
	May sign other legally binding documents on behalf of Waikato DHB that are not otherwise specified in this document	No
	May approve joint ventures	No
	Sign documentation for the Registrar of Companies	No
Supplies and Services	May negotiate supplies and services	No
	May approve/sign a contract for supplies and services	No
	May terminate a contract for supplies and services	No
Research	May approve research proposal/funding	No
Administration	Respond to an Official Information Act request	No
	Respond to Ombudsman Request	No

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Respond to Health and Disability Commissioner requests	No
Respond to complaints/compliments	Yes
Initiate an CIMS emergency team	No
Seek and approve sponsorship	No
Release information to media	No
Be a media spokesperson	No
Approve gifts	Yes
Approve patient travel and accommodation	Yes

**Approved by  
Level 5  
manager**

Signature

Date \_\_\_\_\_

**Accepted by**

Signature

Date \_\_\_\_\_

The above delegations are effective from the date of this policy until either the delegation is withdrawn by the standing delegation holder or the recipient is no longer employed in the position shown below.

Delegation level 6 may sub-delegate all of the above standing delegations by recording this in writing.

When exercising delegations, the employee will ensure they have familiarised themselves with the Delegations of Authority Policy, understands they will be held accountable for their actions under the policy and as needed, will reference other appropriate related accountability processes/policy, committee approvals, and other relevant agreements.

RELEASED BY SSC UNDER OUR COMMITMENT TO OPEN GOVERNMENT

Ref No:  
**0440**Version:  
**02****Policy**

<b>Title:</b> Purchasing Card			
<b>Manual Classification:</b> <b>Finance</b>	<b>Effective Date:</b> <b>01 July 2015</b>	<b>Expiry Date:</b> <b>30 June 2018</b>	<b>Keywords:</b> (supply 5 keywords - search engine)
<b>Facilitator:</b> sign/date	<b>Sponsor:</b> sign/date	<b>Process Authorised:</b> sign/date	
9(2)(a) privacy			

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**1. Purpose and Scope:**

This policy provides the framework for the use of Waikato District Health Board (DHB) issued Purchasing cards (P Card) to allow for the efficient and timely processing of

- One-off and/or low value purchase of goods and services
- Online and/or overseas expenditure
- Corporate Travel & Accommodation activities

This policy is aligned to the office of Auditor General's good practice guide on controlling sensitive expenditure

**Accountability**

The Finance Manager – Financial Accounting is responsible and accountable for the policy

**Administration**

Accounts Payable Department are responsible for the administration of this policy and associated procedures

This policy applies to all employees of Waikato DHB and users of Waikato DHB P-Cards

**2. Policy**

The Waikato DHB policy for Purchasing Cards (P Card) is that all P-card expenditure must be for legitimate business purposes

All transactions made with a P-Cards are subject to

- This policy
- P-Card conditions of use
- The card limit
- Approval by the designated approver

In using a P-Card, all users must observe high standards of ethical behaviour and exercise high degrees of honesty, integrity and accountability

**3. Authorisation**

As signed above on behalf of the Chief Executive.

Title: **Purchasing Card**

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**Policy**

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Title: **Purchasing Card**Ref No:  
**0440**Version:  
**02****Policy****Appendix A****1. Procedure****1.1 Eligibility**

Business units with the requirement to purchase low value non catalogue items on a regular basis and DHB wide services (e.g. Travel) are eligible to apply to the Finance Manager – Financial Accounting for P-card/s to be issued

Accounts Payable will administer all applications for P-Card/s

- Individual transaction limits and monthly limits will be assigned to each card upon approval and can be reviewed on an ongoing basis
- Specific service types will be blocked from use to reduce the risk to custodians and Waikato DHB (e.g. betting agencies liquor outlets)

**1.2 New P-Cards**

The Waikato DHB Accounts Payable Department will manage the issuing of new / or amendments to P-Cards when the following have been completed:

For card custodians:

- Signed P-Card Custodian Agreement
- signatories to the Waikato DHB bank account
- Confirmation of the card custodian's position
- Confirm the transaction limit required

For card users

- Signed P-Card User Agreement

Pin Numbers will be assigned to all cards and should not be disclosed to people who have not signed the appropriate P-Card Agreement

**1.3 Cancellation/ Surrender of P-Cards**

P-Cards will be surrendered to Waikato DHB on termination of employment with Waikato DHB. The P-Card will then be returned to the P-Card administrator who will retain the position specific P-card for reissue or cancel the Person specific card with the Issuer

**1.4 Lost or Stolen P-Cards**

The card custodian shall report loss or theft of the P-card to the P-Card Administrator during normal business hours and directly to the Bank's P- card division out of normal business hours as soon as practicable

The hotline telephone number below will be given to each card custodian when receiving their card:

Administrator Phone	078398726 extn 97949
Bank Phone:	0800 888 111

Care must be taken by the card custodians to keep cards in a secure physical location

Title: **Purchasing Card**Ref No:  
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### 1.5 Valid Expenditure & Process

Accounts Payable are responsible for managing the number of cards and will keep a register of specific employee and/or department names as custodians of the cards

Card Users are responsible for ensuring the tax receipts for purchases are given to the card custodians immediately upon their return from making the purchase. Custodians are responsible for ensuring that all receipts/invoices are collated and sent with hardcopy of the monthly statement to Accounts Payable or scanned and attached to the SmartData online transaction. For DHB wide services the PCard Administrator may approve maintaining separate storage locations. Custodians must ensure completion of the online process is carried out and forwarded to an Approver as outlined in the P-Card Procedures. Approvers are responsible for ensuring that the online authorisation of charges is completed in a timely manner as outlined in the P-Card Procedures

**Card users must not use a P-card for:**

- Purchases where there is a preferred supplier arrangement in place
- Clinical Products
- Court costs or fines
- Payments for services attracting PAYE or withholding tax
- Petrol; where a Waikato DHB approved petrol charge card has been provided
- Gift vouchers
- Personal purchases
- Cash advances
- Expenses for services or materials that may be considered offensive, that could lead to damage, or have the potential to damage the reputation of Waikato DHB

In all cases, the user of a P-Card will be liable for the reimbursement to Waikato DHB of any inappropriate or unauthorised expenditure

Card users who act in breach of this Policy or the associated P-Card terms and conditions will be subject to disciplinary action which may include:

- cancellation of a P-Card
- Repayment of amounts determined to have been expended in breach of this policy, and
- Inappropriate expenditure may result in disciplinary action in accordance with the Waikato DHB Performance Management & Discipline Policy
- Fraudulent use may result in the instigation of legal proceedings and/or a report being filed with the Police

**Spend Splitting** of purchases to allow for payment of invoices that exceed the card custodian's transaction limit via the P-Card is not permissible and may result in the cancellation of the P-Card

Purchases exceeding the P-card limit need to be made via standard procurement procedures.

**Note:** Questions regarding whether P-Card is the correct method of payment or whether the type of expenditure is suitable for P-Card should be referred to the P-Card Administrator

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**02****Policy****1.6 Reporting**

Monthly Reports are produced and reviewed by Accounts Payable and where appropriate referred to the card custodian's Manager (and/or as requested)

Reports include: (but are not restricted to)

- Card custodians who have exceeded their P-Card spending limits
- P-Card spend by vendor and card custodian
- New P-Card issues
- P-Cards purchases excluded from this policy
- Other Exception reports

Custodians and Reviewers have access to run specialised reports from the SmartData system on a monthly or ad-hoc basis

**1.7 Internal Control**

All P-card expenditure records will be reviewed by the Manager Payments & Revenue on a regular basis

Card owner/custodian's Managers will

- ensure all P-card users in their service are reminded at least annually of the requirements outlined in the P-card guidelines that were agreed to and the conditions of use stipulated in the P-card User Agreement.

Accounts Payable will

- Maintain a centralised card owners list
- Manage all administration of the online reporting and authorising process
- A separate storage area for P-Card statement and supporting documents will be maintained by Accounts Payable and will include a sign off process to indicate expenditure has been reviewed
- Ensure compliance with Audit and Tax Requirements
- Ensure proper procedures are maintained on issuing, cancelling, lost and/or stolen cards

The internal audit work programme will incorporate reviews of P-card expenditure and process on a periodic or as required basis e.g.

- Random inspection of card custodian purchases: and
- Assessment of compliance with the overall requirements of this policy.

All P-Card users must cooperate fully with any audit undertaken externally or internally

**2. Success indicators**

- All expenses by P-Card are accounted for, authorised and appropriate
- Clear records of controls and transactions will be maintained
- Exception reports provided on a regular basis and anomalies resolved
- Reports to appropriate departments on a regular basis and as requested
- A clear audit trail of documentation is maintained

Title: **Purchasing Card**Ref No:  
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**02****Policy****Appendix B****1. Definitions**

- P-Card** A MasterCard business credit card, which at the request of the account holder has been issued to a cardholder
- Spend Splitting** Splitting one purchasing transaction and or invoice (over the card custodians transaction limit into parts to allow for payment via the P-Card). Payment of various invoices from the same supplier dated on the same day at the same time. Separated at the point of sale
- Low cost** Low cost in relation to this policy = \$200 for general purchase against an existing oracle supplier and \$500 for a one off supplier purchase

**2. Legislative Requirements**

Waikato DHB must comply with the following legislation (this list is not exclusive):

- Human Rights Act 1993
- Privacy Act 1993
- Employee Relations Act 2000

**3. Associated Documents**

P-Card Procedures  
 Card custodian agreement  
 Waikato DHB Delegations of Authority Policy (Ref. 2175)  
 Waikato DHB Financial Accounting Policy (Ref. 1813)  
 Controller and Auditor General: Controlling sensitive expenditure – Guidelines for public entities  
 Credit card conditions of use  
 Waikato DHB Staff Travel and Accommodation Policy (Ref. 0016)  
 Waikato DHB Fraud Policy (Ref. 3274)  
 Waikato DHB Performance Management & Discipline Policy (5250)

		Type: <b>Policy</b>	Document reference: <b>0016</b>	Manual Classification: <b>Human Resources</b>
Title: <b>Staff travel and accommodation</b>			Effective date: <b>1 April 2013</b>	
Facilitator sign/date	Process authorised sign/date	Sponsor authorised sign/date		Version: <b>06</b>
9(2)(a) privacy			Page: <b>1 of 11</b>	
			Document expiry date: <b>1 April 2016</b>	

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## 1. Purpose and Scope

Waikato District Health Board (DHB) is committed to ensuring that optimal fares and prices are obtained for all staff travel and accommodation to ensure maximum cost benefit.

This policy covers travel and accommodation relating to education, development and training (including courses and conferences), and other Waikato DHB business-related activities.

Senior Medical Officers (SMOs) have the opportunity to make their own arrangements per their collective employment agreement, but are encouraged to process travel and accommodation through the Waikato DHB Staff Travel Office.

This policy applies to all staff of Waikato DHB.

## 2. Policy

The Waikato DHB policy for staff travel and accommodation is that:

- All staff travel and / or accommodation requirements must be relevant to the staff member's job.
- Where staff require travel and / or accommodation for a course, conference or business-related travel, the appropriate authorisations must be obtained prior to bookings being made.
- All overseas travel must be authorised in accordance with the Delegations of Authority policy prior to bookings being made.
- All staff (except SMOs for the purposes of continuing medical education or other personnel allocated with the responsibility of making their own travel, accommodation and rentals) must book travel, accommodation and rental cars via a Travel Coordinator (located in the Staff Travel Office, Level 3, Hockin). This is to ensure maximum benefits are obtained from Waikato DHB's central travel knowledge, contracts with its travel agent and with the preferred airlines and accommodation providers.

## 3. Authorisation

As signed above on behalf of the Chief Executive.

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## Appendix A Policy Processes

### 1. Principles

- Waikato DHB expenditure on travel, accommodation and associated activities must be able to withstand Parliamentary and public scrutiny regarding appropriate use of public funds.
- Waikato DHB expenditure incurred while travelling on Waikato DHB business must be reasonable and in accordance with this policy.
- In general, authorisation of staff travel and accommodation aligns within the limits of the Delegations of Authority policy. International travel for training purposes outside of New Zealand and Australia requires Level 3 (or delegate) authorisation.
- Waikato DHB shall only pay for items via the approved processes, including any items claimed via the staff expense claim process, unless authorised in writing by a Level 3 Manager.
- Waikato DHB shall not pay for any expenses relating to personal travel or accommodation.
- This policy does not cover the bookings or use of Waikato DHB vehicles by staff (refer Vehicle Usage policy).
- Waikato DHB in general will only pay for the following classes of flights:
  - economy class flights
  - where available premium economy class flights for long-haul (not including Australia or Pacific Islands)
  - accommodation and meals of a reasonable price as specified in Appendix B, Section 1.1.
- Accommodation is booked on a "room only" basis or "room plus breakfast" basis. The employee is responsible for the payment of all incidentals (e.g. telephone, internet, meals, mini-bar) upon vacating the room. This is not intended to limit expense claims for reasonable travel-related costs such as shuttles and meals.
- Waikato DHB will not pay for membership of airline lounges (e.g. Koru Club), unless authorised in writing by the CEO.

### 2. Responsibilities

- Managers are responsible for:
  - Their staff complying with this policy.
  - Any expenditure incurred and authorised on behalf of Waikato DHB being reasonable and meeting any relevant employment agreement and Waikato DHB policy requirements.

The authorisation of travel and expenses outside of this policy will be considered to be a breach of this policy and may result in disciplinary action in accordance with Waikato DHB's disciplinary procedure.
- Staff are responsible for ensuring that expenditure incurred while travelling on Waikato DHB business is conservative, reasonable and in accordance with this policy. Any claims submitted that attempt to claim travel and expenses outside of this policy may result in disciplinary action in accordance with Waikato DHB disciplinary procedure, unless approved by a Level 3 Manager or higher.
- The Staff Travel Office is responsible for administering travel and accommodation bookings in line with this policy.

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- Payroll is responsible for processing expense claims that have the required authorisations and are in accordance with this policy.

### 3. Procedures

#### 3.1. Expenditure quote collected

- If necessary a staff member can obtain quotes for airfares and accommodation from a Travel Coordinator by calling ext 97613 or ext 97982 or direct dial 07 834 3613, or by emailing [travelcoordinator@waikatodhb.health.nz](mailto:travelcoordinator@waikatodhb.health.nz)

#### 3.2. Application using Course and Conference Form (E1101HWF)

- Staff member must complete a Course and Conference Form, available from a Travel Coordinator or from the Intranet (under Staff Matters – Staff Travel - Course and Conference form), applying for all relevant expenditure, prior to travel.
- Staff member forwards the Course and Conference form, with all supporting documentation including completed registration forms to their immediate manager for authorisation.
- Application is authorised per requirements on the Course and Conference form and as required by the Delegations of Authority policy.  
*Note: If travel outside of Australia or New Zealand is involved, the application form must have final authorisation of a Level 3 manager or above, or their authorised delegate prior to travel being booked (with the exception of SMOs and Psychologists for the purposes of Continuing Medical Education).*
- If authorisation is granted then the Course and Conference form and all supporting documentation is forwarded to Staff Travel Office, Level 3, Hockin building. Where possible this should be completed:
  - a minimum of two weeks before commencement of the course, and
  - two weeks prior to any early registration discount date.
- Travel Coordinator processes all registration, travel and accommodation bookings, including booking and/or payment of course and conference registration fees where requested and rental cars. The Travel Coordinator shall liaise directly with the staff member where appropriate.
- Travel Coordinator advises staff member of all related booking details.
- Travel Coordinator shall arrange for tickets and accommodation to be sent electronically to the email address provided by the staff member.
- Travel Coordinator will file the booking details and all supporting documentation to ensure a clear audit trail of all bookings and their authorisations.

#### 3.3. Business-related travel and accommodation

- Staff member completes the Travel Request form, available from the Travel Coordinator or from the Intranet (under Staff Matters – Staff Travel - Reservation Request), prior to travel.
- Staff member forwards the Travel Request form with supporting documentation wherever applicable and available, to their immediate manager for authorisation.
- The Travel Request form is authorised by manager and any other manager as required by the Delegations of Authority policy.  
*Note: If travel outside of New Zealand or Australia is involved, the application form must have final authorisation of a Level 3 manager or above, or their authorised delegate prior to travel being booked.*
- If authorisation is granted the Travel Request form is forwarded to the

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Staff Travel Office, Level 3, Hockin building.

- Travel Coordinator processes all travel and accommodation bookings, and shall liaise directly with the staff member where appropriate.
- Travel Coordinator advises the staff member of all related booking details.
- Travel Coordinator shall arrange for tickets and accommodation to be sent electronically to the email address provided by the staff member.
- Travel Coordinator will file the booking details and all supporting documentation to ensure a clear audit trail of all bookings and their authorisations.

### 3.4. Expense claims (A3153HWF)

- Expense claim forms may be downloaded from intranet (Staff Matters - Payroll - Payroll Forms).
- Submitted claims must be originals. Photocopied claims or claims with photocopied signatures, receipts or invoices are not acceptable.
- The Expense claim form must be signed by the employee and authorised by a manager of the person claiming the expenses in accordance with the Delegations of Authority policy.
- Claim forms and all supporting documentation (original invoices) are to be sent for processing to Payroll, Level 2, Hockin.
- For expense claims relating to course or conference travel a copy of the pre-approved Course and Conference form should be part of the supporting documentation.
- Payroll services shall process the claim in time for the staff member's next salary payment (where the form is received within Payroll's expense claim processing timelines); however urgent payment may be requested from the payroll department if required.
- Waikato DHB shall reimburse the employee for the reasonable and actual expenses necessarily incurred by the employee on behalf of the organisation as a direct result of the approved travel such as shuttle/taxi fares and airport parking.
- Details of limits on meal expense claims that will be reimbursed are provided in Appendix B, Section 1.1.
- Details of specific expenses that will not be reimbursed are provided in Appendix B, Section 2.6.

### 3.5. Travel insurance

- The Waikato DHB has an insurance policy for staff that are required to travel for approved Waikato DHB business purposes. Any additional cover taken by the employee shall not be refunded.
- For staff travelling overseas, insurance details shall be issued by the Travel Coordinator for the duration of the travel. The details of this policy are available upon request.  
*Note: Any claim made under the Waikato DHB insurance policy for injury or illness must be notified to the Health & Safety department (refer to the Management of Employee Health & Rehabilitation policy).*
- Staff who are taking authorised annual leave in conjunction with their business travel, or who are taking their spouse / partner are covered under the Waikato DHB travel insurance agreement for overseas travel. Waikato DHB reserves the right to charge an employee for insurance relating to personal or accompanied travel.
- SMOs who are required to travel overseas as part of approved continuing medical education, and who have not utilised the services of the Staff Travel Office, are still entitled to Waikato DHB insurance cover. A copy of their approved Course and Conference form must be

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sent to the Travel Co-ordinator for this.

### 3.6. Non-business travel and stopovers

- All flights paid by Waikato DHB will be booked at the best price and route available at the time of booking. The extra cost of any stopover paid by Waikato DHB must have a clear business purpose or reduced cost and be pre-approved on the booking request that is sent to the Staff Travel Office.
- Waikato DHB can organise but will not pay for any personal travel or accommodation which is incurred in conjunction with a business trip. Any expenses incurred during any period of annual leave taken in conjunction with a business trip are the personal responsibility of the staff member.
- Waikato DHB can organise but will not pay for any travel or accommodation for any person accompanying a staff member on a business trip (this includes but is not limited to friends and family members).

*If personal/accompanied travel or accommodation is requested to be booked as part of a business-related trip then the employee must provide a form of payment for the personal expenses with the travel request such as details of a personal credit card to charge the personal expenses before finalisation of the travel arrangements will occur..*

### 3.7. Airline loyalty schemes

- Membership of an airline loyalty scheme does not entitle staff to specify a particular airline for their travel in order to accumulate travel benefits. In each case the most cost effective travel option for Waikato DHB will be used.
- Where staff receive benefits from airline loyalty schemes, Waikato DHB will not influence how they are used.

### 3.8. Cancellations

- Waikato DHB Travel Co-ordinators must be contracted to make any alterations or cancellations between 8am and 4pm, and to ensure all applicable refunds are received (Email: TravelCo-Ordinator@waikatodhb.health.nz or Phone: 07 839 8899 ext 97982 or 07 834 3613).
- If alterations/cancellations to flights are required to be made outside of the Staff Travel Office hours (8am to 4pm weekdays) please contact Waikato DHB's Travel Management Company (Tandem Travel) directly on 0800 247 027. Ensure you obtain a cancellation/reference number to avoid the possibility of disputes later.
- If alterations/cancellations to accommodation are required to be made outside of the Staff Travel Office standard hours (8am to 4pm weekdays) please contact the accommodation provider directly within the alteration/cancellation terms on the booking confirmation where possible. Refund terms and accommodation contact details are provided to staff with all accommodation bookings completed.

## 4. Success indicators

- All travel, accommodation and rental cars is booked via the Travel and Registration Coordinator, except Senior Medical Officers for the purposes of continuing medical education or other personnel allocated with the responsibility of making their own travel.
- A clear audit trail of all travel bookings made by Waikato DHB Travel

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Coordinators is present.

- Travel is booked at optimal fares, as monitored by information and benchmarking reports provided by Waikato DHB's Corporate Travel Management Company.

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## Appendix B Claimable expense guidelines

### 1. Meals

#### 1.1 Meal expense reimbursement rates

Meal expense reimbursements will be no greater than:

- Travel in the United States
  - US\$25 for breakfast
  - US\$25 for lunch
  - US\$45 for dinner
- Travel in Europe
  - €20 for breakfast
  - €20 for lunch
  - €35 for dinner
- Travel in the United Kingdom
  - £17 for breakfast
  - £17 for lunch
  - £30 for dinner
- All other travel
  - NZ\$25 for breakfast
  - NZ\$25 for lunch
  - NZ\$45 for dinner

### 2. Other costs

#### 2.1 Documentation for travel

- Waikato DHB will not cover the cost of a passport as this is considered a personal expense.
- Waikato DHB will meet the cost of any visas required to undertake any business related travel excluding New Zealand visas.

*Note: Staff are responsible for ensuring they have all relevant documentation for their overseas travel, including passport, visas and re-entry permits where required.*

#### 2.2 Inoculations

- Waikato DHB will meet the costs of inoculations prior to travel to particular countries for business or continuing education purposes if they are recommended by a registered medical practitioner.

#### 2.3 Staying privately while on Waikato DHB business

- Staff who choose to stay privately while travelling on DHB business will not be reimbursed a nightly accommodation allowance.

#### 2.4 Air points or similar schemes

- Costs of joining or maintaining airline point memberships will not be reimbursed
- Claims where employees have used air points to procure travel on behalf of Waikato DHB will not be reimbursed.

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**2.5 Excess baggage charges**

- Staff must obtain prior written authorisation from their manager for any excess baggage charges which may be incurred as a result of carrying particular materials or equipment relevant to their business purpose of travel.

**2.6 Personal expenses**

- Examples of expenses that **are not** reimbursed by Waikato DHB unless otherwise specifically provided for in this policy or other Waikato DHB policies includes, but is not limited to:
  - Costs of entertainment and optional recreational activities associated with a conference
  - Personal expenses incurred as a result of being away on Waikato DHB business e.g. additional child care, lawn care, care of pets
  - Hairdressing and barber services
  - Luggage carriers, briefcases, toiletries and clothing
  - Health club and gymnasium fees
  - Clothing hire costs
  - Dry cleaning costs
  - Movies and mini bar expenses
  - Tipping (**except** in overseas locations where reasonable tipping is the usual practice as agreed in advance with your manager)
  - 'Across the counter' pharmacy medicines
  - Personal mobile phone and internet usage
  - Breakfast, lunch and dinner costs where the staff member is not required to stay in accommodation overnight.
  - Beverage costs such as bottled water, coffee and alcohol
  - Meal and beverage costs incurred in entertaining suppliers or promoting other business relationships.
  - Drivers license issuance and renewal fees
  - Taxis (**except** for official travel, and where it is not practicable to use public transport or airport shuttle services)
  - Traffic fines, parking fines and towing fees
  - Costs related to operating a motor vehicle illegally

**2.7 Private Vehicle Use**

- Private vehicles used for business purposes will be reimbursed at the applicable IRD rate or collective employment contract rate (77c per km at date of policy update), up to a maximum of \$70 per day.
- Reimbursement of other private vehicle use (such as airplanes) will not be reimbursed.

**2.8 Emergency circumstances**

- In emergency circumstances staff may take corrective action and claim through expense reimbursement procedures. This would apply when a staff member is stranded at an airport due to weather and needs to hire a rental car to return to their home destination.

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## Appendix C Associated Information

### 1. Definitions

<b>Accommodation</b>	Any accommodation authorised by a manager as necessary for the purposes of attending any Waikato DHB business-related activity or for the purpose of education, training, or development.
<b>Staff</b>	Employees, contractors or externally paid employees where Waikato DHB is funding travel and / or accommodation for training and / or business purposes.
<b>Staff expenses</b>	Course registration fees and other expenses agreed to by the final authorising manager in accordance with the Delegations of Authority policy.
<b>Travel</b>	Any travel authorised by a manager for the purpose of any Waikato DHB business-related activity or for the purpose of education, training, or development.
<b>Travel Coordinator</b>	Any Waikato DHB employee with the position or role of 'Travel Coordinator', responsible for the administration of bookings in accordance with this policy.
<b>Overseas travel</b>	All travel outside New Zealand

### 2. Legislative Requirements

Waikato DHB must comply with the following legislation (this list is not exclusive):

- Health and Safety in Employment Act 1992
- Human Rights Act 1993
- Privacy Act 1993
- Employee Relations Act 2000
- Treaty of Waitangi Act 1992

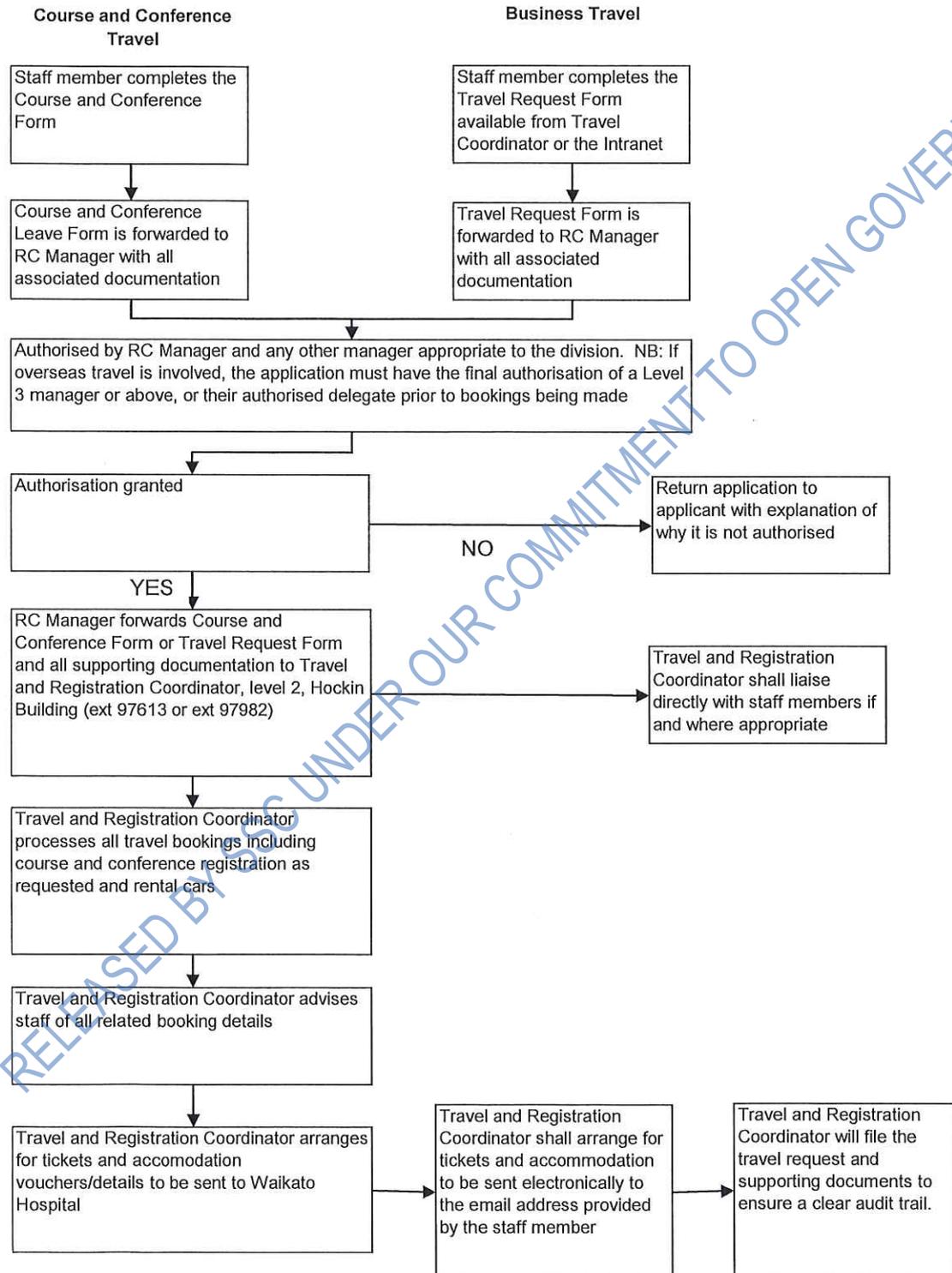
### 3. Associated Documents

- Controller and Auditor-General: Controlling sensitive expenditure - Guidelines for public entities
- Waikato DHB Delegations of Authority policy 2175
- Waikato DHB Learning and Development policy 2169
- Waikato DHB Leave policy 0009
- Waikato DHB Vehicles Usage policy 0112
- Waikato DHB Management of Employee Health and Rehabilitation policy 0188

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## Appendix D

### Course and Conference or business-related travel and accommodation - New Zealand and overseas process flowchart



		Type: <b>Policy</b>	Document reference: <b>0006</b>	Manual Classification: <b>Human Resources</b>
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Facilitator <small>sig/date</small>	Process authorised <small>sig/date</small>	Sponsor authorised <small>sig/date</small>		Version: <b>06</b>
9(2)(a) privacy			Page: <b>1 of 10</b>	Document expiry date: <b>01 May 2016</b>

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## 1. Purpose and Scope

The purpose of this policy is to ensure that:

- Conflicts of interest, or the perception of, occur as seldom as possible.
- Where an actual or potential conflict of interest exists, or the perception of, it does not affect the ability of a Waikato District Health Board (DHB) employee to perform their duties efficiently and effectively.
- Conflicts, are identified to the Waikato DHB, and steps are taken to protect the interests of Waikato DHB.

This policy applies to all Waikato DHB employees and external personnel.

## 2. Policy

The Waikato DHB Policy for Conflict of Interest is that:

- Employees comply with their duty of fidelity to Waikato DHB and endeavour to avoid conflicts of interest.
- Secondary employment or the occupation of external positions of influence (e.g. directorship, contractor, trustee etc) must not affect the employee's availability or impair their effectiveness in their position at Waikato DHB. Waikato DHB activities must take precedence.
- Where the prior authority of Waikato DHB is required to undertake secondary employment or the occupation of any other external position of influence, it must not be authorised where there is a possibility that an actual, potential or perceived conflict of interest, may arise as a result.
- A person shall not be appointed to a position that requires him or her to report directly or indirectly to a person whom they have a material relationship or to be directly responsible for a person whom they have a material relationship with.
- A person will not be appointed to a position if that appointment may give rise to a conflict of interest, or the perception thereof.
- Employees must complete a declaration relating to actual or potential conflicts of interest, or the perception thereof, every year or when any new conflict of interest that occurs through the year.
- Potential service providers must disclose actual or potential conflicts of interest, or the perception thereof, in any Request for Proposal (RFP) submitted to Waikato DHB.

## 3. Authorisation

As signed above on behalf of the Chief Executive.

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## Appendix A

### 1. Declaration of possible conflicts of interest and employment

#### 1.1 Employees

- New employees must complete and sign a Conflict of Interest Declaration Form (G1460HWF) with regard to conflicts of interest thereof, that could affect their employment relationship with the Waikato DHB;
- Existing employees must declare to their manager any actual or potential conflicts of interest they have, or the perception thereof;
- Existing employees must declare if they have a relative within the organisation where the employment relationship with such person might cause an actual or potential conflict of interest or the perception thereof. The employee must also declare the reasons why such a perception or conflict may exist.
- The declaration of the actual, suspected, potential conflict of interest, or appearance thereof, must cover:
  - secondary employment including private clinical practice or business consulting roles
  - business or financial interest in another agency or activity
  - directorships, trusteeships and other positions of influence in external organisations
  - other relationships where there is an actual or potential conflict of interest or the perception thereof.
- Apart from the annual return, employees should declare actual or perceived conflicts to their line managers, using the Conflict of Interest Declaration form (G1460HWF), as soon as reasonably practical after they arise or may be reasonably perceived as arising.

#### 1.2. Manager Responsibilities

- The declarations must be updated from direct reports each year every year. The Conflict of Interest Declaration form (G1460HWF) shall be completed during the employee's annual performance review. The completed declaration form shall be forwarded to HR by the employee's manager.

#### 1.3. Human Resources Responsibilities

- Human Resources Consultants will record the Conflict of Interest information on the HRIS and the Conflict of Interest Declaration form (G1460HWF) shall be filed in the employee file.

#### 1.4. Clinicians

Clinicians who hold formal positions, or positions of influence, with external organisations (whether by way of employment, directorship, contractor, trustee or other) must declare and record them to the organisation through their direct line manager using the Conflict of Interest Declaration form (G1460HWF). Affected individuals must take all practical steps to ensure they are not put in the position of referring patients to that organisation in a way which could be viewed as an inappropriate personal or organisational advantage.

Clinicians shall not refer patients to organisations where there could be an actual or perceived conflict of interest. This includes organisations where the clinicians may have family or relatives working or holding a proprietary interest.

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## 2. Declaration of possible conflicts of interest and potential service providers

- Any potential service provider to Waikato DHB must declare any actual, potential or perceived conflict of interest, to Waikato DHB when submitting their RFP for consideration.
- The Provider Selection Evaluation Panel must consider the actual, potential or perceived conflicts of interest, declared in the RFP provided prior to recommending the preferred Service Provider and prior to an agreement being negotiated.
- The evaluation panel shall not have members with a declared conflict of interest on it.
- Throughout Provider Selection, processes shall be managed to ensure there is transparency and to minimise actual and potential conflict of interest or unfair advantage or perception thereof. This is an inherent component of all significant stages of the process including specification development and the role of the evaluation panel. Prior to these components of work being undertaken, the involved parties shall be asked to identify and record actual, potential or perceived conflicts of interest. The relevant Manager shall be advised of any actual or potential conflict of interest, or the perception thereof, and shall determine whether the involvement of any particular party is appropriate.
- For each person who has significant influence over the Waikato DHB or who is a member of the key management personnel of Waikato DHB (such as a Board members and Executives), *New Zealand International Accounting Standard 24 - Related Party Disclosures* requires Waikato DHB to report (in its annual report) for any related entities the value of transactions over the time period being reported and outstanding balances owing or owed at the date of the annual report.

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### 3. Secondary employment

- All employees who wish to undertake secondary employment with another organisation must ensure such employment does not result in a conflict of interest.
- Depending upon the terms of the employee's employment agreement, prior to taking up secondary employment, consulting roles or other sources of secondary employment, an employee (whether full or part time) must seek approval to do so from the direct line manager, as per the Waikato DHB Delegations Policy.
- The employee must declare the hours of work and any potential impacts the position may have on their current position with the Waikato DHB.
- The Waikato DHB reserves the right to review authorised secondary employment should the employer deem such work is impacting on the employee's substantive role.
- It is the employee's responsibility to ensure that they are fully rested prior to undertaking their substantive role with the Waikato DHB.
- Should the employer have reason to believe that an employee's secondary employment is impacting on their performance in their substantive role with the employer then the Waikato DHB reserves the right to review and/or remedy the situation.

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#### 4. Material Relationships - Employment or promotion of relatives

- Section 32 (Exception in Relation to Family Status) of the Human Rights Act 1993 allows for an employer to impose restrictions in the following situations:
  - (a) *On the employment of any person who is married to, or living in a relationship in the nature of marriage with, or who is a relative of, another employee if –*
    - (i) *There would be a reporting relationship between them; or*
    - (ii) *There is a risk of collusion between them to the detriment of the employer; or*
  - (b) *On the employment of any person who is married to, or living in a relationship in the nature of marriage with, or who is a relative of, an employee of another employer if there is a risk of collusion between them to the detriment of that person's employer.*
- Every manager recruiting staff must ascertain whether the appointment of a person may create a conflict of interest.
- The appointment or promotion of a person where an actual or potential conflict of interest, or a perception thereof, may arise as a consequence due to a personal relationship (as defined s.2(1)(c) Human Rights Act 1993) may only occur with the written approval of the Chief Executive (CE).
- In the event that, subsequent to commencing employment, employees enter into a relationship that causes a conflict of interest, or a perception thereof, the employee shall inform their line manager who shall seek the written approval of the CE.
- In the event that, subsequent to commencing employment, employees enter into a material relationship that may arise in a conflict of interest, Waikato DHB may require one or either of the affected employees to transfer to another section, department, or division. If the opportunity to move is not a realistic option at the time that such a situation occurs, the line manager must ensure every effort is made to effect such a transfer when it is reasonably possible to do so and shall ensure that all viable steps are taken to remove the actual or potential conflict of interest or the perception thereof (refer to Recruitment Policy for Secondment and Re-deployment).
- Where a direct reporting or indirect reporting situation exists for people in a material relationships any performance review process, or action such as a proposal for promotion, increase of salary or granting or declining any other monetary or non-monetary payment (including education), must be done by the next level of line management who does not have a conflict of interest in conjunction with the General Manager Human Resources (GMHR).

#### 5. Authorisation and revocation where a conflict of interest exists

- The CE, in consultation with the GMHR, may conditionally authorise employment where there is a conflict of interest.
- Where the conditions of authorisation of employment are breached, the CE may require the circumstances of their employment be altered to ensure that the opportunity for a conflict of interest no longer exists.

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## 6. Issues of Non-Compliance

Any breaches of the Conflict of Interest Policy shall be dealt with as a formal process which may include the use of the Waikato DHB Performance Management and Discipline Policy.

## 7. Success Indicators

- New employees will declare actual or potential conflicts of interest or the perception thereof.
- In the event that the CE has authorised a situation where a conflict of interest has been established, relatives of a staff member must not be promoted, have their salary increased or receive other monetary or non-monetary payments by or from the staff member unless this has been endorsed by the General Manager Human Resources and the relevant Manager as per the Delegations of Authority.
- Waikato DHB Human Resources must record each case where a Conflict of Interest Declaration has been made on the HRIS.
- The original hard copy of the Conflict of Interest Declaration must be retained in the employee's centrally-held personnel file.

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## Appendix B

### Definitions

#### Affinity

For the purposes of this policy affinity includes any non-family personal or business relationship with another person or organisation – including close friendship, cultural tie and/or sharing of common interest or purpose.

#### Conflict of Interest

A conflict of interest is a set of circumstances that creates a risk that an employee's or contractor judgment or actions regarding the performance of their duties will be unduly influenced by an external interest.

The fact that the employee or contractor may be resolute in not allowing the external interest to influence their performance of actions does not negate that there a conflict of interest exists.

Examples of external interest may include, but is not limited, the following

- Personal relationship
- Pecuniary (financial) interest, whether that of the employee or that of the employee's relative or partner
- Secondary employment that has the potential to compromises an employee's ability to perform their duties due to the inability to maintain proper rest and relaxation
- Direct or Indirect reporting relationship with another employee with whom the employee has a material relationship including being a partner of or a relative of the other employee.

#### Employee

For the terms of this policy only, includes a contractor who may be required to exercise delegations on behalf of Waikato DHB.

#### Indirect Report

Is a situation where an employee "A" reports to a person who in turn reports to a Manager/Team Leader who themselves reports to a relative of the original employee "A".

#### Material Relationship

Is a situation where the employee is: in a sexual relationship with; partner of, or relative of another employee.

#### Pecuniary (Financial) Interest

Where the employee has a financial interest in a company / partnership / organisation (including a directorship, self-employment, contract or being a trustee) that operates in the health sector in competition (including potential) to Waikato DHB or supplies any goods or services to the Waikato DHB.

Such interest not being a shareholding of less than 5% in a company listed on the New Zealand or an International stock exchange.

Where the employee may receive a commission or gratuity from an external party as a result of obtaining a contract with or in competition to Waikato DHB.

In either of the above situations where the phrase "relative of the employee" is substituted for the employee.

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**Position of Influence** A position of influence is defined as being one or more of the following: a member of a board, director, trustee, secretary, or partner; of any incorporated society, charitable trust, registered company, legal partnership, or other trading organisation.

**Partner** For the purposes of this policy **partner** means a person that the employee has a personal level of connection, association, interaction or interdependence with any other person who may or may not be a life partner, blood relative or member of the same household.

**Perceived Conflict of Interest** Employees have a duty not to undermine the mutual trust and confidence required of an employment relationship, as such matters not directly covered by this policy that are similar in nature should be referred to either their manager or Human Resources for guidance.

**Relative** For the purposes of this policy a relative means any other person who:

- 1) *is related by blood, marriage (whether legal or de facto), affinity, or adoption;*
- or
- 1) *is wholly or mainly dependent upon the employee; or*
- is a member of the employee's household.*

s.2(1)(c) Human Rights Act 1993.

#### **Legislative Requirements**

Waikato DHB must comply with the following legislation (this list is not exclusive):

- New Zealand Public Health and Disability Act 2000
- New Zealand Human Rights Act 1993
- New Zealand Nursing Council – HBCA, Professional Code of Ethics

#### **Associated Documents**

- Waikato DHB Delegations of Authority Policy (2175)
- Waikato DHB Equal Employment Opportunities Policy (0197)
- Waikato DHB Purchasing and Contracts Policy (0170)
- Waikato DHB Recruitment Policy (0021)
- Performance Management and Discipline Policy (5250)
- Receiving and Giving of Gifts Policy (1829)
- Collective Employment Agreements
- Waikato DHB Conflict of Interest Declaration Form (G1460HWF)



# Conflict of Interest Declaration Form

The supply of this information is a requirement of the Waikato District Health Board (Waikato DHB) and is a condition of your employment and is in accordance with the Waikato DHB conflict of interest including secondary employment policy or any policy that supersedes this. You have the right and obligation to access this information and correct when necessary.

The purpose of this information is to ensure that Waikato DHB is aware of any actual or potential conflict of interest or perception thereof that could compromise the performance of your role and duty of fidelity to the Waikato DHB.

This includes:

<ul style="list-style-type: none"> <li>• <b>Secondary employment and non-investment income</b></li> </ul>	You must declare any work or income that you receive that derives from an Organisation of interest.* Alternatively, you must declare any hours and roles worked for an organisation other than the Waikato DHB.
<ul style="list-style-type: none"> <li>• <b>Position of influence in an organisation of interest*</b></li> </ul>	A position of influence is defined as being one or more of the following: a member of a board, director, trustee, secretary, or partner; of any incorporated society, charitable trust, registered company, legal partnership, or other trading organisation.
<ul style="list-style-type: none"> <li>• <b>Pecuniary (financial) interest an organisation of interest*</b></li> </ul>	Being a financial interest such interest <b>not</b> being a shareholding of less than 5% in a company listed on the New Zealand or an International stock exchange.
<ul style="list-style-type: none"> <li>• <b>Direct or indirect reporting to relatives in the workplace</b></li> </ul>	Means any other person who – (a) Is related by blood, marriage (whether legal or defacto), affinity, or adoption; or (b) Is wholly or mainly dependent on the employee; or (c) Is a member of the employee's household.

*\*Organisation of interest is defined as a company / partnership / organisation that operates in the health field or supplies any goods or services to the Waikato DHB.*

Employee name: (please print) \_\_\_\_\_ ID number: \_\_\_\_\_

Area/department of employee: \_\_\_\_\_

Do you have any known conflict of interest (as defined above)? Yes  No

If yes, please complete the section below.

Please be advised that I hold the following position(s) of influence, and/or have the following financial interest, and/or have the following Waikato DHB working relationships with the (identified) relative(s):

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

My manager is aware I hold this/these position(s) Yes  No

Employee signature: \_\_\_\_\_ Date: \_\_\_\_\_

Manager's name and signature: \_\_\_\_\_ Date: \_\_\_\_\_  
*(Please complete when conflict of interest is declared)*

The information on this form shall be entered on Peoplesoft and the signed form shall be kept on the employee file,

		Type: <b>Policy</b>	Document reference: <b>1829</b>	Manual Classification: <b>Administration and Clinical</b>
Title: <b>Receiving and Giving of Gifts</b>			Effective date: <b>15 February 2016</b>	
Facilitator sign/date	Process authorised sign/date	Sponsor authorised sign/date		Version: <b>4.1</b>
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## 1. PURPOSE AND SCOPE

This policy on the Receiving and Giving of Gifts sets the standards for dealing with gifts within Waikato District Health Board (Waikato DHB) and defines what is, and what is not, a gift.

The policy is intended to protect employees by assisting them to comply with their ethical obligations reducing the risk of perceived influence that may be associated with accepting, or giving of gifts.

This policy applies to all Waikato DHB staff.

## 2. POLICY

The Waikato DHB Policy for Receiving and Giving of Gifts is that:

Waikato DHB employees shall avoid creating a perception that they have been, or are able to be, influenced by external parties and, as a general rule, shall not accept gifts (as defined in Appendix B) from external parties.

The giving of tokens of appreciation paid for by Waikato DHB is permissible in certain circumstances.

During a procurement process (including early discussions about a possible project), the Waikato DHB Procurement and Contracts Policy applies to the receipt of gifts, hospitality and sponsorship.

## 3. AUTHORISATION

As signed above on behalf of the Chief Executive

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## 1. STANDARDS FOR RECEIVING GIFTS

### 1.1. Gifts intended to directly or indirectly influence

No Waikato DHB employee shall accept any gift for their personal benefit from any external party where the employee is able to directly influence the allocation of the DHB's resources, or otherwise cause Waikato DHB to act in any way to benefit the external party.

A direct influence includes, for instance, any involvement in the:

- management of operational and/or capital expenditure;
- purchase of goods or services;
- priority to be accorded to particular patients or services.

*Note:* A decision to select a particular product (pharmaceutical, device, diagnostic procedure, or other) for individual patients will not constitute a direct influence of Waikato DHB resources for the purposes of this policy. However, clinicians should take care to avoid the "wrong" appearance and ensure that prescribing and other clinical decision making is not able to be influenced by "sweeteners" (items and/or services provided) by pharmaceutical companies or other vested interests.

### 1.2. Gifts to Clinical Staff from patients/service users

As a general rule, staff should not accept personal gifts from patients. This includes gifts which may appear to be of low financial value. Small items such as chocolates, flowers or food, may be accepted if it would be offensive to reject it. However, such gifts should not be accepted on an ongoing basis from the same patient or their family.

Clinical Staff should have regard to the following when considering acceptance of a gift:

- Right 2 of the Health & Disability Commissioner's Code of Health and Disability Services Consumers' Rights – Right to Freedom from Discrimination, Coercion, Harassment and Exploitation.
- Relevant ethical codes of practice from their professional body.
- Particular care should be taken when gifts are offered by vulnerable patients including the elderly, young patients and palliative care patients.

### 1.3. Monetary Gifts

Staff should not (in any circumstances) accept monetary gifts. Such gifts must be refused and the patient asked if they would like to make a donation to the Waikato DHB, or an appropriate charity.

Bequests in the wills of deceased patients are considered 'monetary gifts' for the purpose of this policy.

If a bequest, or monetary gift, cannot be refused (regardless of value) it must be listed on the central register or the Waikato Health Trust for this purpose. The person presenting the gift shall be made aware of this. The monetary gift should be passed onto the Chief of Staff for banking in the DHB's bank account.

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#### 1.4. Gifts from Commercial Organisations

Accepting gifts from commercial organisations can be problematic and as a general rule is discouraged unless it is for the benefit of Waikato DHB and its patients collectively.

Service managers who have a working relationship with suppliers that offer them gifts ought to consider asking for a donation to be given to an appropriate charity rather than giving gifts to employees.

A benefit includes any decision made by the Waikato DHB intended to advantage the external party; for instance, not 'opposing' a liquor licence or a resource consent.

#### 1.5. Other Gifts

A gift that is given for the benefit of Waikato DHB employees or patients collectively, or for the benefit of the organisation at large, rather than for individual benefit, is permissible.

Where the giver of the gift has specified the purpose for which the gift is to be used, it shall be used for this purpose.

Donated equipment shall be managed in accordance with the safety requirements of the Waikato DHB Procurement and Contracts policy.

The receipt of any gifts for a corrupt purpose may be an offence as set out in the Secret Commissions Act 1910 and may be dealt with accordingly.

Where gifts are accepted by employees of Waikato DHB under this policy, certain principles shall apply as follows:

- Consistently receiving benefits from a particular external party is not acceptable.
- Perceptions of influence shall be avoided.
- No employee shall solicit such items.

Departments, such as the Building Programme Office (BPO), Information Services (IS), and Property and Infrastructure (P & I) that receive large numbers of offers from external parties must establish a formal process by which these offers are recorded along with the department's response to them.

Anyone who wishes to deviate from this policy must specify the reason and get the permission from the Director of Board Governance who is a member of the Waikato DHB Executive Group.

#### 1.6. Gifts during and after the Procurement process

When a procurement process is in progress (including early discussions about a possible project), staff involved in the process (governance, management, operational staff and DHB Board members) may not accept any gifts, hospitality or sponsorship, from any current, or potential suppliers, who are participating in the procurement process, or are likely to participate.

After the conclusion of the procurement process, staff involved in the process may not

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accept any gifts, hospitality or sponsorship, from the successful supplier which create the perception of bias in the evaluation of the successful supplier and/or the recommendation and decision to award the contract to that supplier.

The Waikato DHB Procurement and Contracts Policy applies to the receipt of gifts, hospitality or sponsorship, during a procurement process. Please refer to that policy for information.

## 2. Standards for giving gifts or tokens of appreciation

This section applies only to tokens of appreciation proposed to be given by staff of Waikato DHB.

The giving of tokens of appreciation by staff of the Waikato DHB to persons within, or outside, the organisation shall be deemed to be extraordinary expenditure that would not normally be expected to occur.

Any employee who considers that a token of appreciation is appropriate or necessary, shall discuss the proposal with their immediate manager who may authorise expenditure up to \$100. Authorisation of larger amounts may only be made by the immediate manager's general manager.

All tokens of appreciation provided by Waikato DHB to staff are subject to Fringe Benefit Tax (FBT). To ensure taxation obligations are met, the following details are to be emailed to [treasury@waikatodhb.health.nz](mailto:treasury@waikatodhb.health.nz):

- name of recipient
- amount/value of token of appreciation
- date token of appreciation is given to staff member
- details of token of appreciation (e.g. supermarket voucher)

## 3. Gifts Register

All gifts are required to be registered. The register is to be regularly maintained centrally for the DHB and it will form part of the DHB's audit process to be reviewed by auditors periodically. The auditors will deal with any anomalies.

Information on how to register a gift can be found on the Waikato DHB intranet or email the following details to [giftregister@waikatodhb.health.nz](mailto:giftregister@waikatodhb.health.nz):

- Date the gift was given
- The recipient of the gift
- Who the gift was from
- Who was the gift intended to be used for (i.e. individual - personal, individual - work related, department, service, Waikato DHB, Community)
- Description of the gift

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- Approximation of value
- The relationship between gifter and recipient
- Has the person gifted to the recipient before
- Additional comments

## APPENDIX A

### 1. Definitions

#### 1.1. Gifts

Subject to the exclusions below, "gift" in this policy generally means goods, services, or other tangible benefit received without anything of value being formally given in exchange.

A gift is not:

- Any item of an apparent value of less than \$100 given in direct celebration of Christmas or any other festival.
- Business hospitality involving the provision of meals and/or access to sporting or cultural events unless inappropriate or excessive. Complimentary air travel and accommodation constitutes a gift and must not be accepted.
- Tokens such as promotional calendars, diaries, stationery or samples, of an apparent value of less than \$50.
- Chocolates, flowers or other items, typically given to a group of staff to express thanks for health or disability services received, that have an apparent value of less than \$100, and may be excluded at the managers discretion.

*Note:* Any items that are provided by way of a formal sponsorship arrangement should be approved in accordance with the Delegations of Authority.

This definition does not apply during a procurement process, during which there is a complete prohibition on the receipt by staff involved in the procurement process of gifts, hospitality or sponsorship, from any current or potential suppliers who are participating in the procurement process, or are likely to participate (see section 3.5 for details).

#### 1.2. Legislative Requirements

Waikato DHB must comply with the following legislation (this list is not exclusive):

- Contracts (Privity) Act 1982
- Fair Trading Act 1986
- Secret Commissions Act 1910

#### 1.3. Associated Documents

- Waikato DHB Delegations of Authority Manual
- Waikato DHB Procurement and Contracts Policy (0170)

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- Waikato DHB Sponsorship Policy (0122)
- Medical Council's Policy with Respect to Gifts
- Medical Technology Association of New Zealand - "*Code of Practice*"
- The Royal Australasian College of Physicians - "*Guidelines for ethical relationships between physicians and industry*"
- Cole's Medical Practice in New Zealand 2013

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## Code of Conduct

### Policy Responsibilities and Authorisation

Department Responsible for Policy	People and Performance
Position Responsible for Policy	Director People and Performance
Document Owner Name	9(2)(a) privacy
Sponsor Title	Executive Director, Corporate Services
Sponsor Name	9(2)(a) privacy
Target Audience	9(2)(a) privacy
Committee Approved	Policy Committee
Date Approved	3 November 2016
Committee Endorsed	
Date Endorsed	
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### Policy Review History

Version	Updated by	Date Updated	Summary of Changes
01	9(2)(a) privacy	October 2016	New policy – content extracted from appendix of Performance Management and Discipline policy (Ref. 5250)

## Code of Conduct

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**Code of Conduct**

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**1. Introduction**

This code applies to all employees of the Waikato District Health Board (Waikato DHB). It does not apply to contractors or volunteers. The State Services Commissioner has issued Standards of Integrity & Conduct. In addition to complying with Waikato DHB's Code of Conduct, employees of Waikato DHB must comply with the State Sector code which entails in part that an employee "must act with a spirit of service to the community and meet the same high standards of integrity and conduct in everything we do" (Ref: [www.ssc.govt.nz/code](http://www.ssc.govt.nz/code)).

**2. Purpose**

The purpose of this code is to:

- Ensure that the Waikato DHB operates efficiently and effectively and that staff are treated fairly and equitably.
- Give guidance to all Waikato DHB staff on the standards of conduct required by Waikato DHB.
- Waikato DHB is constantly striving to achieve the highest standards of employer/employee behaviour that reflects our core values:
  - People at heart – Te iwi Ngakaunui
  - Give and earn respect - Whakamana
  - Listen to me; talk to me – Whakarongo
  - Fair play – Mauri Pai
  - Growing the good – Whakapakari
  - Stronger together – Kotahitanga

**3. Roles and responsibilities****3.1 Staff**

- All staff must comply with the Waikato DHB Code of Conduct

**3.2 Managers**

- Managers must ensure their staff comply with the Waikato DHB Code of Conduct

**4. Relevant documents**

This code should be read in conjunction with the relevant Waikato DHB employment agreements, Waikato DHB policies, the professional standards published by professional bodies, and the Employment Relations Act 2000 and its amendments.

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**Code of Conduct**

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**5. Standards of conduct****5.1 Professionalism of duties**

All employees are expected to carry out their duties in a professional manner by:

- meeting the requirements of the relevant position description;
- complying with the terms of the relevant employment agreement;
- complying with all Waikato DHB policies, procedures and practices;
- maintaining currency of all required qualifications and relevant industry experience (including registration and practising certificates) necessary for the performance of their duties;
- informing appropriate colleagues of any relevant matters which may impinge on the performance of their duties;
- exercising responsible care with all Waikato DHB resources;
- ensuring the safe use of Waikato DHB equipment;
- complying with the code of conduct for relevant professional regulating bodies, where applicable;
- complying with the Code of Health and Disability Services Consumers' Rights;
- reflecting professional standards of presentation and demeanour at all times;
- acting in a way that does not damage, or have the potential to damage, the reputation of the Waikato DHB; and
- assisting colleagues where appropriate and in particular acting as mentors towards junior colleagues.

**5.2 Respect for the rights of others**

All employees are expected to respect and contribute to the rights of the colleagues, patients and the community they serve by:

- avoiding behaviour which might cause distress to or disruption of the Waikato DHB;
- refraining from all forms of discrimination, intimidation, sexual and racial harassment;
- respecting the privacy of individuals at all times and ensuring personal and confidential information is used only for the purposes for which it was intended; and
- fostering collegiality amongst members of the Waikato DHB.

**5.3 Fair, responsible, trustworthy and lawful**

All employees are expected to act in a fair, responsible, trustworthy and lawful manner by:

- treating everyone fairly and with respect;
- being professional and responsive;
- acting lawfully;
- not utilising Waikato DHB property or resources for personal use;
- advising their line manager promptly of any matter that is likely to adversely impact on their performance of their duties; and
- being prepared to act appropriately and constructively where a colleague's behaviour is clearly in breach of this code.

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**Code of Conduct**

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**5.4 Honesty and impartiality**

All employees are expected to perform their duties honestly with impartiality and to avoid situations which may compromise their professional integrity or lead to conflicts of interest.

All employees have a professional responsibility to act in good faith in all employment dealings and to avoid conflicts of interest.

**6. Audit****6.1 Audit Indicators**

The audit shows reference to the Code of Conduct in any performance matter.

New staff receive a copy of the Code of Conduct as part of the on-boarding process.

A copy of the Code of Conduct is included in the information pack for new staff.

**7. References**

- [Code of Conduct for the State Services](#)

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133 Molesworth Street  
PO Box 5013  
Wellington 6140  
New Zealand  
T+64 4 496 2000

22 December 2017

John Ombler QSO  
John.ombler@gmail.com

Dear John

I refer to your letter 20 December 2017.

Attached are the agendas for the last two board inductions. In 2017, the State Services Commission attended and discussed Governing in the Public Sector and the Role of a Board which was presented by senior officials including their Chief Legal Counsel

When Bob Simcock became Chair, the Director-General met with Bob in person to discuss the challenges for Governance and Management of the District Health Board. A separate briefing from senior Ministry officials, as part of an induction process, briefed him on performance issues which led to a special review of the District Health Board.

When Nigel Murray was appointed senior Ministry officials spent time with him as part of an induction process. These conversations centred on the operational aspects of the role and the findings of the review. We have no record of these conversations, but it is likely the concerns raised publicly and privately about Nigel's appointment would have been discussed.

Please let me know if we can be of further assistance.

Yours sincerely



Chai Chuah  
Director-General of Health  
Ministry of Health



STATE SERVICES COMMISSION  
Te Komihana O Ngā Tari Kāwanatanga

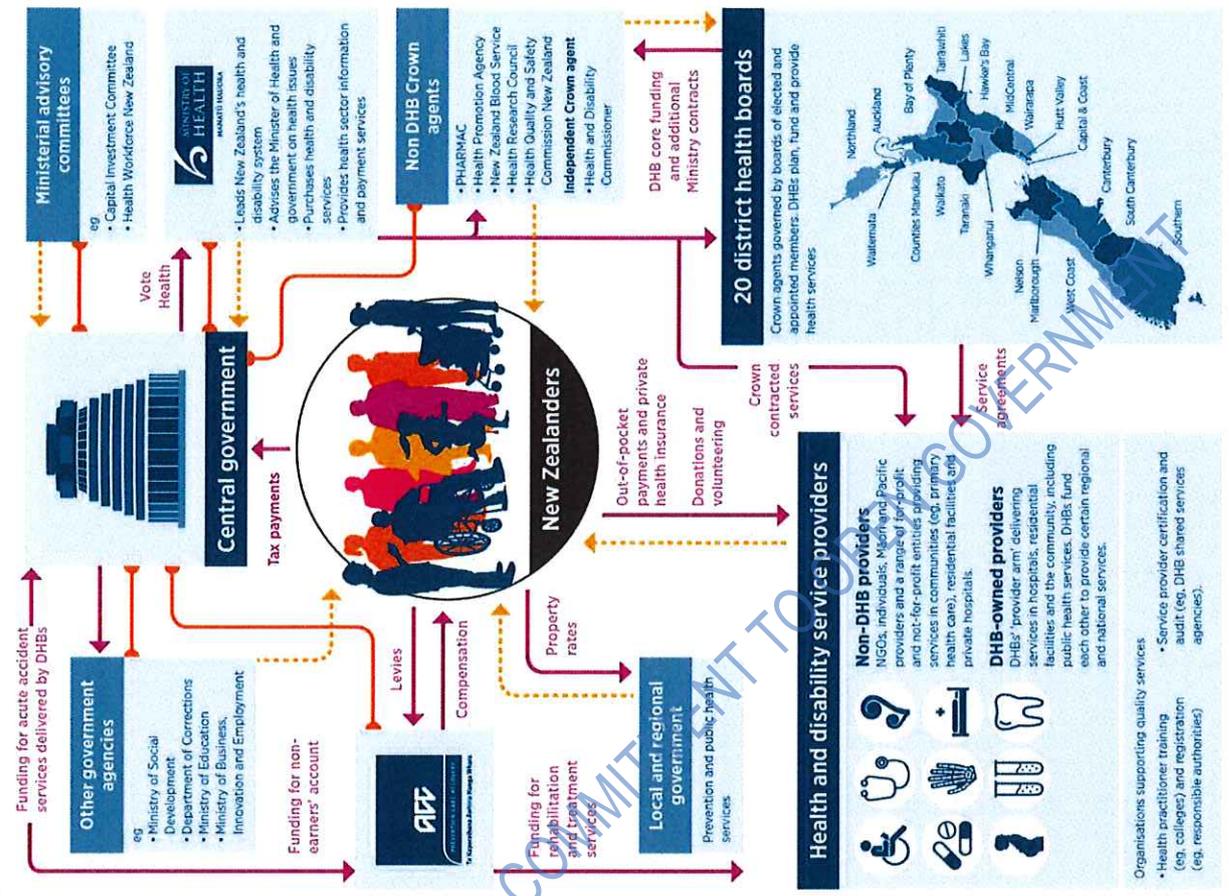


# Induction Day – District Health Boards

Debbie Power – Deputy State Services Commissioner  
Geoff Short – Assistant Commissioner  
Andrew Royle – Chief Legal Counsel



# Context – NZ Health and Disability System



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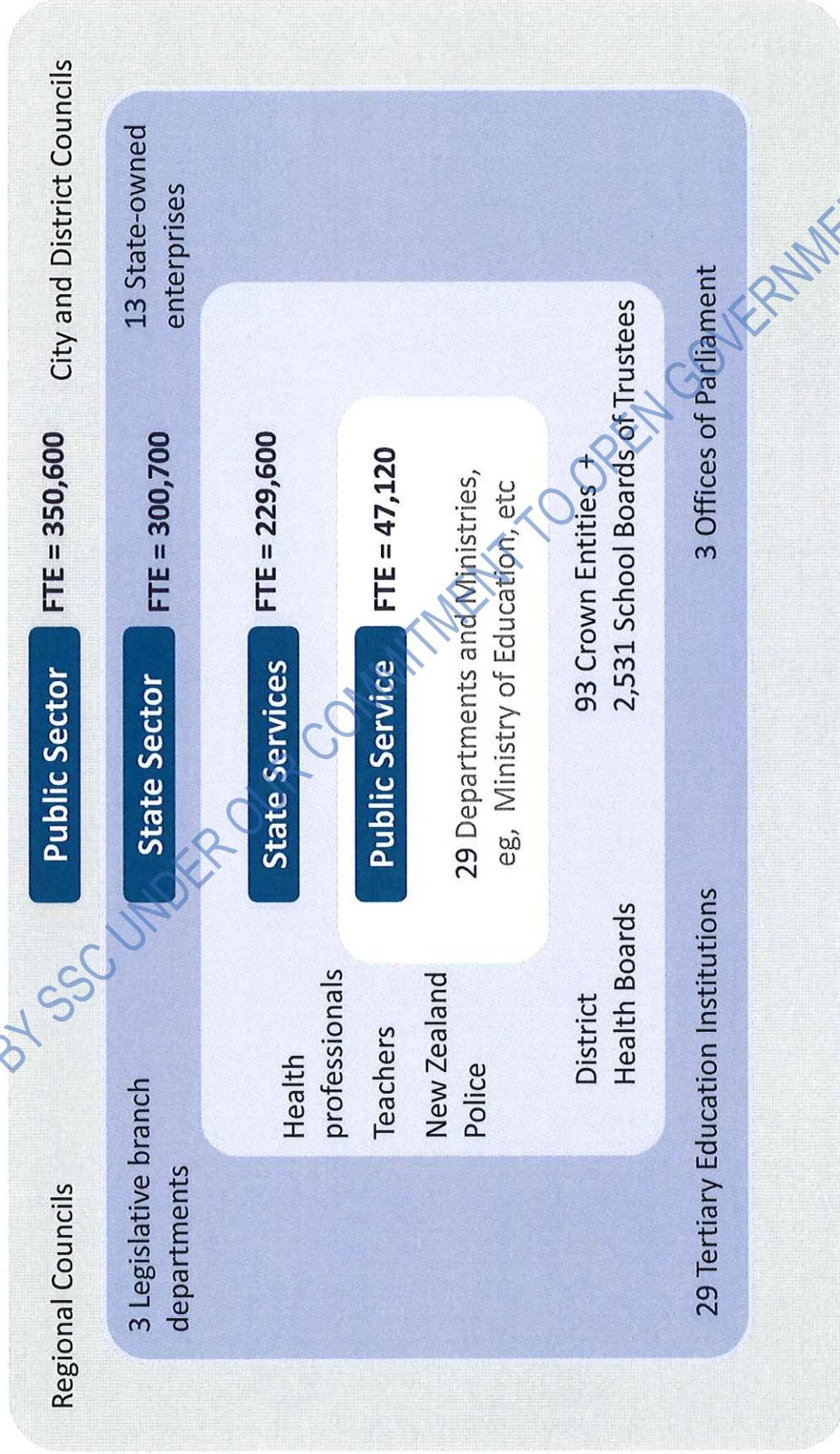
# Context – Expenditure \$77 billion



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# State Sector Workforce



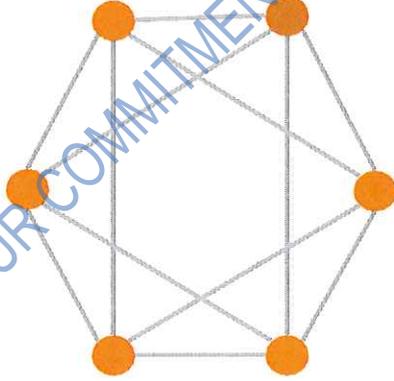
**Public sector workforce total of 350,600**



# SSC Role

**Results**

**Executive  
Management**



**System Risk and  
Assurance**

**Continuous  
performance  
improvement**

**Four-year plans**

**Workforce and  
Leadership**

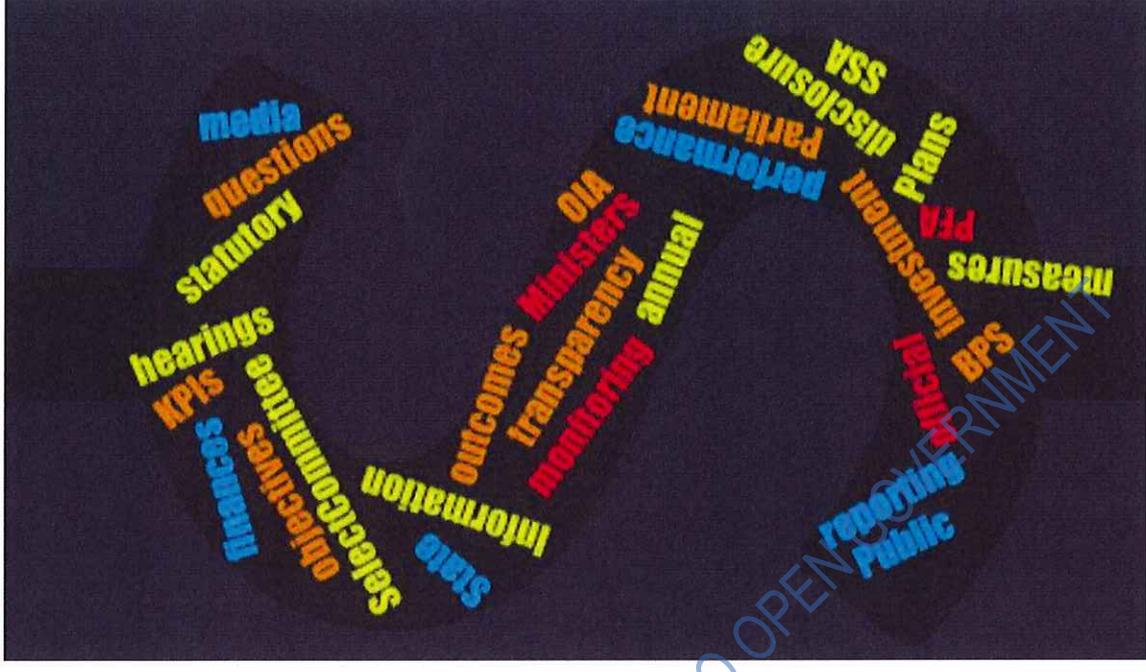


## **SSC Role in relation DHBs**

- **CE and Board appointment support**
- **Workforce matters**
- **Conduct and Integrity**
- **Better Public Services**
- **Leadership and Talent support**

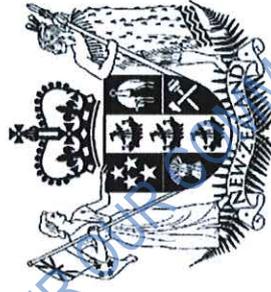
# Public Accountability

- Statements of Intent
- Annual reports
- Reporting to Ministers
- Monitoring  
Departments
- Select Committees
- Official Information Act  
requests





STATE SERVICES COMMISSION  
Te Komihana o Ngā Tari Kāwanatanga



# Questions?

Debbie Power – Deputy State Services Commissioner  
Geoff Short – Assistant Commissioner  
Andrew Royle – Chief Legal Counsel

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## DHB Board Induction Day

Thursday 9 February 2017

Shed 6, Queens Wharf, Wellington

Time	Activity	Presenter(s)
8.30am	Registration Refreshments on arrival	
9.00am	Mihi and karakia	Hingatu Thompson Manager, Māori Health Improvement Service
9.05am	Welcome, housekeeping	Ali Tocker, facilitator
9.10am	The Government's priorities for health	Hon Dr Jonathan Coleman Minister of Health
9.40am	Setting the scene: the health environment and NZ Health Strategy – what this means for DHB boards 30 min presentation 20 min Q & A	Chai Chuah Director General Ministry of Health
<b>10.30am</b>	<b>Morning tea</b>	
10.50am	Governing in the Public Sector / the role and function of a Board	Geoff Short & Debbie Power State Services Commission
11.40am	Social investment Working across government	Dorothy Adams Social Investment Unit
<b>12.30pm</b>	<b>Lunch</b>	
1.00pm	Open Space Technology: Priority Topics determined by participants	DHB Chairs ELT DHB members
2.55pm	Concluding remarks	Ali Tocker, facilitator
<b>3.00pm</b>	<b>Close</b>	

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## New Member Induction Session: Agenda

**Date:** Monday, 17 February 2014 – Tuesday, 18 February 2014  
**Location:** Lambton Rooms, InterContinental Hotel Wellington, 2 Grey Street, Wellington 6011  
**Facilitator:** Marion McLauchlan, Board Development Manager, Ministry of Health

TIME	DAY 1: DAY SESSION	SPEAKER
0800	<i>Early arrivals from 8am – tea and coffee / networking until start (9.45am)</i>	
0815		
0830		
0845		
0900		
0915		
0930		
0945		
1000	<b>Looking ahead:</b> The Government's priorities for health – Challenges and opportunities	<b>Hon Tony Ryall</b> Minister of Health
1015		
1030	<b>First impressions:</b> Table discussions of board experiences to date, from members' observations journals	<b>Facilitator</b>
1045		
1100	<i>Morning tea / networking</i>	
1115		
1130	<b>Governing in the public sector:</b> The public sector environment, frameworks and collaborative working	<b>Liz Anderson</b> Deputy Commissioner, State Services Commission
1145		
1200		
1215		
1230	<i>Lunch / networking</i>	
1245		
1300		
1315	<b>Driving continuous improvement:</b> Better decision-making through high quality information	<b>Sally Webb</b> Chair, Bay of Plenty DHB
1330		
1345		
1400		
1415	<b>Strategic leadership:</b> Creating high-performing organisations	<b>Chai Chuah</b> Acting Director-General of Health
1430		
1445		
1500		
1515	<i>Afternoon tea / networking</i>	
1530		
1545	<b>Being a board member:</b> Expectations, duties, responsiveness and collective accountability	<b>Lee Mathias</b> Chair, Counties Manukau DHB Deputy Chair, Auckland DHB
1600		
1615		
1630		
1645	<b>Open forum:</b> Panel discussion and reflections with Speakers, and discussion of 'parking bay' items	<b>Facilitator / Speaker Panel</b>
1700		
1715	<i>End of day session – free time until evening session (commences 6.45pm)</i>	
1730		
1745		
1800		
1815		
1830		

(Day 1 continues overleaf)

TIME	DAY 1: EVENING SESSION	SPEAKER
1845	<i>Dinner / networking</i>	
1900		
1915		
1930		
1945	<b>Evening session: Leadership in action</b>	<b>Lester Levy</b> Chair, Waitemata and Auckland DHBs
2000		
2015		
2030		
2045	<b>Reflections on the day</b>	<b>Dot McKinnon</b> Chair, Whanganui DHB
2100	<i>End of Day 1</i>	

TIME	DAY 2: 'FOCUS ON FINANCES'	SPEAKER
0815	<i>Arrival – tea and coffee / networking</i>	
0830		
0845	<b>Welcome to Day 2</b>	<b>Facilitator</b>
0900	<b>Funding flows: The big picture and how the money moves</b>	<b>Michael Hundleby</b> Acting National Director, NHB
0915		
0930	<b>Approaching your board's finances: A 'how to' guide</b>	<b>Deryck Shaw &amp; Alan Mountfort</b> Chair / Chief Financial Officer, Lakes DHB
0945		
1000		
1015	<i>Morning tea / networking</i>	
1030		
1045	<b>Table exercise: Dissecting a real set of DHB financials</b>	<b>Deryck Shaw &amp; Alan Mountfort</b>
1100		
1115		
1130	Debrief from table exercise	
1145		
1200	<b>Group discussion: How to get the most from your CFO, asking the right questions and keeping on track</b>	<b>Deryck Shaw &amp; Alan Mountfort</b>
1215		
1230	<b>Farewell / Poroporoaki</b>	<b>Facilitator / Kaumātua</b>
1245	<i>Lunch / networking</i>	
1300		
1315		
1330		
1345	<i>End of Day 2</i>	

The **New Member Induction Session** forms an important part of the **DHB Board Development Programme**.

The Programme aims to lift the skills, knowledge and experience of all DHB board members through a variety of development activities.

Thank you for your attendance and participation at this event. We look forward to hearing your feedback on the Session and to working with you over the coming term.

## BOARD MEMBER SKILLS AND QUALITIES

*Board development activities will focus on improving these skills and qualities*

Acting with **honesty and integrity**



Acting with **reasonable care, diligence and skill**