

Delegated Authorities

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Policy Owner and Approval

- The Owner of this policy is the Chief Executive.
- This Policy has been approved by the Board.
- The Committee responsible is the Audit, Risk and Compliance Committee

Review Date

October 2014

Effective Date

5 April 2012

Introduction

Purpose and Scope

The governance of Southern Response resides with the Board, which has statutory responsibility for managing the company's business and affairs.

To allow for effective day to day management of Southern Response, this Delegated Authorities Policy defines the terms on which:

- The Board delegates its authority, in part, to the CE to manage the company
- The Board authorises the CE to sub-delegate this authority to members of the senior management team, other company personnel and Arrow personnel.

The purpose of this Delegated Authorities Policy is to :

- Allow Southern Response personnel to undertake the company's day to day business activities through making decisions within an authority framework that is clear, auditable and efficient, and covers operating revenue and expenditure, capital expenditure and non-financial decision-making
- Ensure that decision-making is controlled and accountable.

In addition to general delegations under this Delegated Authorities Policy the Board may also grant specific delegations outside of this Policy; for example under the company's Treasury or HR Policies, for the approval of a particular transaction or series of transactions relating to a major capital project, and under Board Committees' Terms of Reference. The Board may also delegate to any other person or persons approved by the Responsible Minister (s73 Crown Entities Act 2004).

This Policy applies to all Southern Response activities that have actual or potential financial or material non-financial consequences.

The Policy covers the two distinct elements of delegated authority:

- Authority to commit Southern Response to a course of action, or to a liability or expenditure (including approval of a business cases, capital expenditure requests or contracts)
- Authority to disburse company's funds once a commitment to expenditure has been made.

The financial delegations give the authority to commit the company to future expenditure and cash outflows. A commitment is established when claims are approved or goods or services are ordered, and it is not necessary for such commitments to be in writing for a valid contract committing the company to have been established.

All Southern Responses personnel – employees and contractors – must comply with this policy. It is emphasised that with the delegation of authority there is a delegation of accountability and a requirement to act in a responsible and ethical manner.

This policy accords with the values and other core principles of Southern Response (the spirit of the policy).

Definitions

Personnel - Applies to all employees, Arrow personnel under the Project Management Service Agreement and other personnel providing services to Southern Response (e.g. independent contractors), together defined as "Southern Response Personnel".

Policy

Key Principles Authorities retained by the Shareholder and the Board are contained in Appendix 1 and 2.

Board approval is required for any action or transaction exceeding the limits delegated to the CE as specified in Appendix 2.

All delegated authorities are exercised on the Board's behalf and must be exercised in accordance with relevant Southern Response policies and procedures.

All delegations can be withdrawn or reduced at any time by formal Board resolution. Any changes to the delegations require Board approval.

All new ventures and major changes or policy or practice that are likely to significantly change how the company provides services to its customers or interacts with key stakeholders require Board approval.

With the exception of Court actions instigated in respect of normal claim processing, Board approval is required for any proposal that might attract significant adverse publicity or can, with reasonable foresight, be predicted to result in legal action against the company.

The Board has not delegated to any person the authority to raise capital or to specifically borrow money by any means whatsoever, nor enter into any derivative-based hedging activities, nor to give types of guarantees and indemnities. Any such activities are either prohibited or are subject to specific requirements under the Public Finance Act 1989 or the Crown Entities Act 2004.

The "One-Up Principle" applies to selected Human Resource matters (appointments, remuneration and disciplinary action) and the approval of staff related expenditure and reimbursements. In the case of the CE, the One-Up Manager is the Board Chair.

The Chief Executive will maintain a Register of Delegated Authorities in accordance with this Policy. The register will show what delegations are in effect and any conditions applying or financial limitations set.

All financial amounts in the Register of Delegated Authorities are exclusive of GST and are expressed in New Zealand dollars or the equivalent amount in foreign currency at the time the contractual commitment is made.

The financial amounts specify the maximum amount that can be authorised for a single transaction or the aggregate of a series of total transactions.

All expenditure, irrespective of the Delegations contained herein, must conform to the requirements of other Southern Response Policies, in particular the Procurement Policy.

Conflicts of Interest and Personal Benefit

Any person to whom an authority has been delegated who has a conflict of interest in exercising that authority, must give the CE (or the Board in the case of the CE or a direct report to the CE) a statement in good faith disclosing the existing conflict and any potential future conflict. Any such statement will be recorded in the Interests Register which is held by the Executive Secretary.

Except with the prior approval of the CE (or the Board in the case of the CE or a direct report to the CE), no person may exercise a delegated power in relation to a transaction where he or she is interested in that transaction or has a conflict of interest.

No Southern Response person may approve any expenditure, sign any contract or generate any benefit that is to their personal gain either directly or indirectly. Any such proposed action is subject to prior approval by the person's manager, or if that manager is also a beneficiary of that approval, by the CE (or Board in the case of the CE).

Contracts

All contractual arrangements where the contract value is more than \$50,000 per annum, including (without limitation) heads of agreement, memorandums of understanding, arrangements offering an indemnity or limitation of liability, guarantees, confidentiality / non disclosure agreements, options and agreements, must also be reviewed by and receive formal sign off from Southern Response's legal advisors before any delegated authority committing the company is exercised.

Variation contracts under a master agreement require legal sign-off if the variation exceeds \$40,000 per annum.

Roll over of existing contracts at the end of each term should be renewed in accordance with the Procurement Policy and the Contract Approval Policy.

All contracts, prior to signing, must be reviewed by the relevant Senior Executive and the General Counsel (GC) in accordance with the Contracts Approval Policy.

Upon execution, contracts must be provided to the Executive Secretary for recording in the Executed Documents Register.

Contracts or other arrangements which have a committed term (without the right for Southern Response to terminate on convenience) greater than three years require Board approval. The "committed term" of a contract includes any period in respect of which the other party has a unilateral right to extend the term (e.g. by exercising an option). The approval of certain contracts is retained by the Board as specified in the Contracts Approval Policy and Appendix 2 to this Policy.

Emergency Situations

Expenditure in an emergency situation where there is a sudden unforeseen catastrophe which could result in loss of life or critical damage to property or infrastructure may exceed delegated authority limits.

In an Emergency Situation Southern Response is not required to follow routine procurement procedure where to do so would prevent Southern Response from delivering goods or services in time to bring effective relief.

In these circumstances, the process for expenditure approval is detailed in the Procurement Policy.

Delegations to the Chief Executive

The general delegation to the CE is to :

- Conduct Southern Response's activities in accordance with the Board-approved Statement of Intent, Business Plan and policies, specific Board approvals from time to time and in accordance with relevant legislation and contracts
- Submit to the Board annually a Statement of Intent and a Business Plan specifying proposed strategies and initiatives, forecast financial results and the financial resources required (both operating and capital expenditure) to achieve the forecast results and targets
- Implement and manage appropriate programmes to ensure compliance, including regular reporting to the Board on compliance matters.

The general financial authority delegated to the CE is to :

- Commit the resources specified in the approved Business Plan to deliver the approved forecast results and initiatives, except that the CE must obtain Board approval for any decision in excess of the financial delegations specified in Appendix 2.

The CE may put in place a temporary delegation to a senior manager as appropriate if the CE is going to be overseas, on leave or otherwise unable to exercise his or her delegation, and must notify the Chair of the Board of any such temporary full delegation.

Sub-delegations

Delegated authority is not automatically provided to anyone other than the CE.

The CE may sub-delegate authority to other Southern Response managers and personnel in accordance with this Policy and to the maximum delegation limits specified in Appendix 2.

Any further sub-delegations from the person the CE has delegated to, must be in accordance with the maximum delegation limits specified in Appendix 2.

In principle, delegated authority can only be granted to Southern Response personnel. But in recognition of the personnel resourcing arrangements for Southern Response, this Policy permits limited delegated authority being granted to non Southern Response personnel as follows:

- Delegated authority can only be granted to consultants, contractors or personnel of contracting parties where those consultants, contractors or personnel of contracting parties are fulfilling an established Southern Response position, and the delegation is in writing
- Any other delegation to non Southern Response personnel requires the express approval of the Board,

Exercising Delegated Authority

In exercising a delegated authority, Southern Response personnel must :

- Have regard to the responsibilities of those with ultimate accountability for managing the company's business (i.e. the Board and the CE)
 - Operate with integrity
 - Ensure any commitment they make is covered by an approved Southern Response Business Plan and budget
 - Ensure any commitment is consistent with company policies
 - Take into account the intended maximum aggregate commitment (regardless of any termination rights which may reduce the term of the agreement) in determining whether a particular decision is within their delegated authority limit (e.g. committing the company to a 24-month contract at \$10k per month with a 2 month termination clause is to be treated as a \$240k commitment, irrespective of the fact that the contract can be terminated with 2 months notice)
 - Ask for assistance if they are unsure about the decision or their authority to make the decision.
-

Breaches of Policy

All identified breaches of this Delegated Authorities Policy must be escalated to the CE within 2 days of the breach, and the CE must, upon becoming aware of the breach, report the breach to the Audit and Risk Committee.

Breaches of this Policy include :

- Entering into a commitment that breaches the key principles of the Policy
- Entering into a commitment that exceeds the person's delegated authority limit
- Manipulating a commitment so that it appears to be within the person's delegated authority limit (e.g. splitting a transaction into several transactions when in reality it is a single transaction).

Breaches of this policy will be handled in accordance with the relevant Southern Response personnel policy, and may result in dismissal (which may be summary or on notice, depending on the severity of the breach).

Relevant Links

**Relevant
References and
Resources**

- Crown Entities Act 2004
- Public Finance Act 1989
- Public Audit Act 2001
- Constitution of Southern Response
- Southern Response's approved Statement of Intent
- Southern Response's approved Business Plan
- Register of Delegated Authorities

Expired Policy

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SOUTHERN RESPONSE EARTHQUAKE SERVICES LTD

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Statement of Delegated Authorities for [name] – [role], [location]

Introduction

This document defines the authority which is delegated to you from the Southern Response CEO, for activities conducted within Christchurch Operation. It should be read in conjunction with the Delegated Authority policy, and the Register of Delegated Authorities document which contains specific authorities for you (including definitions of terminology).

The following general principles apply:

- Delegated authorities will be subject to review on at least an annual basis, and immediately upon any change of an employee’s role.
- Authority is delegated with the proviso that there must be full compliance with Southern Response policy statements and with all relevant laws and regulations.
- Any proposed transaction or arrangement which is significant enough to constitute a change to Southern Response strategy and/or appears to create a precedent must be referred to the next higher authority, regardless of whether it would otherwise appear to fall within an individual’s delegated authority.
- Those delegating authority must ensure that there are adequate reporting and monitoring processes to allow them to exercise appropriate oversight and control over the actions of those to whom authority has been delegated.
- Delegated authorities are to be adhered to at all times. It will be treated as a serious breach of acceptable performance for a Southern Response employee, however senior, to exceed their authority. The Company’s formal disciplinary procedures will be invoked in such cases.
- It is emphasised that with the delegation of authority there is a delegation of accountability and a requirement to act in a responsible and ethical manner.
- All delegated authorities are exercised on the Board’s behalf and must be exercised in accordance with relevant Southern Response policies and procedures.
- The “One-Up Principle” applies to selected Human Resource matters (appointments, remuneration and disciplinary action). In the case of the CEO, the One-Up Manager is the Board Chair.
- All financial amounts in the Register of Delegated Authorities are exclusive of GST and are expressed in New Zealand dollars or the equivalent amount in foreign currency at the time the contractual commitment is made.
- The financial amounts specify the maximum amount that can be authorised for a single transaction or the aggregate of a series of total transactions.

You are responsible for defining and documenting any authority which you subsequently delegate, in line with the principles set out above.

This document must be signed below to acknowledge the authorities which have been granted and received.

_____ [role], [location] _____ (Southern Response [approving manager]) Date : _____

Register of Delegated Authorities – Board and Management Delegations

Levels of delegation

- Level 1 Board and Board Committees
- Level 2 Chief Executive
- Level 3 General Counsel
- Level 4 Chief Financial Officer
- Level 5 Operational Managers and EQ Strategy Manager
- Level 6 HR Managers
- Level 7 All other Management

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Delegation of Authority

Approval	✓
Consultation	α

Financial Activities	Level 1 - Board	Level 2 – C.E	Level 3 - GC	Level 4 - CFO	Level 5 - SMT	Level 6 - HR	Level 7	References and comments
Approval of financial delegations	✓							
Treasury Policy								
Approval Treasury Policy and limits	✓							Board (via recommendation from Audit, Risk and Compliance Committee)
Implementation of Treasury Policy		✓						Delegations and sub-delegations as per Treasury Policy (repeated below)
Human Resources Policy								
Approval of Human Resources Policy	✓							
Implementation of Human Resources Policy		✓						Delegations and sub-delegations as per Human resources Policy (repeated below)
Approval of accounting policies	✓							

Financial Activities	Level 1 - Board	Level 2 – C.E	Level 3 - GC	Level 4 - CFO	Level 5 - SMT	Level 6 - HR	Level 7	References and comments
Approval of opening of bank accounts, operating authorities and authorisation of cheque etc signatories	✓							
Approval of Budget	✓							
Operating Expenditure								
Approval of operating expenditure within approved Budget where not dealt with specifically elsewhere in this Policy								
>\$250,000		✓						
<\$250,000			✓	✓				
<\$100,000					✓		Limited to	CMSD Manager <\$10,001 Team Leader Administration <\$1001 HR Manager <\$5001 HR related expenditure IT Manager <\$5001 IT related expenditure
Approval of operating expenditure outside approved Budget where not dealt with specifically elsewhere in this Policy								
>\$250,000	✓							
<\$250,000		✓						
<\$100,000			✓	✓				
Capital Expenditure								
Approval of capital expenditure programme	✓							
Approval of capital expenditure within approved capital expenditure programme								
>\$250,000		✓						
<\$250,000			✓	✓				

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Financial Activities	Level 1 - Board	Level 2 – C.E	Level 3 - GC	Level 4 - CFO	Level 5 - SMT	Level 6 - HR	Level 7	References and comments
<\$100,000					✓			
Approval of capital expenditure outside of approved capital expenditure programme								
>\$250,000	✓							
<\$250,000		✓						
<\$100,000			✓	✓				
Approval of capital asset disposal								
>\$250,000	✓							
<\$250,000		✓						
Approval of debt write-offs	Debt write off relates to invoiced amounts and debts relating to overpaid claim settlements. Accounting accruals, estimates or changes calculation of recoveries (refer apportionments below) are not affected by these delegations.							
>\$60,000	✓							
<\$60,000		✓						
<\$20,000			✓	✓				
<\$2,000					✓			
Approval of ex-gratia payments to employees, customers or suppliers								All payments reported to the Board
>\$50,000	✓							
<\$50,000		✓						
<\$10,000			✓					
<\$5,000				✓	✓			
Approval of staff travel, entertainment & other expenses								Staff expenses and reimbursements must not be authorised by the employee, their peers, or their subordinates; approval must be by next level up manager. See Sensitive Expenditure policy. CEO expenses must be approved by the Board Chair
>\$20,000		✓						
<\$20,000			✓	✓				
<\$3,000					✓		Limited to	CMSD Manager <\$3,001 Team Leader Administration

Financial Activities	Level 1 - Board	Level 2 – C.E	Level 3 - GC	Level 4 - CFO	Level 5 - SMT	Level 6 - HR	Level 7	References and comments
								<\$1001 HR Manager <\$5001 HR related expenditure IT Manager <\$5001 IT related expenditure Claims Managers up to \$100

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Claims Approval	Level 1 - Board	Level 2 – C.E	Level 3 - Manager Over Cap	Level 7 – Authorising Officer, Contracts Manager	Level 7 – TRR, Claims Manager	Level 7 – Team Manager	Arrow Intn	References and comments
All costs stated in the Claims Approval delegations are net of the related EQC contribution								
Over Cap Claims								
<i>Damage and Repair Assessments Approval</i>								<ul style="list-style-type: none"> Authorising Officers are responsible for the substantive technical review of the claims file at the time of DRA approval (following a pre-check by Pod staff) and review of the Customer Decision Pack before release. This approval authorises subsequent Tender Analysis, Contract Approval, cash settlement and claim payments.
>\$800,000		✓					α	
<\$800,000			✓				α	
<\$600,000				✓			α	Special Projects Officer to have \$600,000 in relation to the shared property pilot
<\$250,000					✓		α	
<\$100,000						✓	α	
<i>Post Contract Variation</i>								
>\$100,000		✓					α	
<\$100,000					✓ *1		α	
<\$10,000						✓	α	This delegation is only exercised once per claim
<i>Cash Settlements</i>								All cash settlements in accordance with policy
>\$800,000		✓					α	
<\$800,000						✓*2	α	
*1 Authority is limited to the lower of: a) \$100,000, b) 10% of the settlement, c) the \$250,000 minus the initial DRA settlement amount minus the sum of cumulative variations *2 Restricted to the Operations Manager and the Claims Manager (peer reviewed by the Operations Manager)								

Out of Scope, Loss of Rent and Temporary Accommodation Claims	Level 2 – C.E	Level 5 – Auckland Manager	Level 7 – Authorising Officer	Level 7 – Unit Manager	Level 7 – Team Leaders	Level 7 – Senior Claims Officers	Level 7 – Qualified Claims Officers	Authority level is per item or commitment entered into
<i>Claim Approval</i>								
>\$60,000	✓							
<\$60,000		✓						
<\$40,000				✓				
<\$25,000			α		✓			
<\$10,000		α				✓		Specific authority given by the Auckland Operations Manager
<\$5,000							✓	Specific authority given by Unit Manager Long term \$600 per week Short term \$1400 per week
Contents Claims	Level 1 - Board	Level 2 – C.E	Level 3 - GC	Level 4 - CFO	Level 5 – Technical Review & Resolution Manager	Level 6 - HR	Level 7 – Authorising Officer	Authority level is per claim or commitment entered into
<i>Claim Approval</i>								
>\$60,000		✓						
<\$60,000					✓			

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Financial settlement of Claims (Payments of all approved claims falling within above claim delegations)	Level 1 - Board	Level 2 – C.E	Level 3 - GC	Level 4 - CFO	Any Cheque Signatory	Level 7 – Assistant Accountant	Arrow Intn	
	AMIGO payment authorisation is carried out by those with AUTH1 access based on the payment being authorised by the appropriate level authoriser as outlined in the delegation table above. AUTH1 access is granted by the CFO based on the experience and role of the staff member.							
<i>Cash Settlement payments</i>								
>\$400,000				✓				File review by the CFO
>\$200,000						✓		File review by Finance Team
<\$200,000								No file review
<i>Rebuild/Repair/Accommodation/Contents/cash settlement payments</i>							✓	Normal bank payment authorities apply

EQC apportionment adjustments	Level 1 - Board	Level 2 – C.E	Level 3 - GC	Level 7 - Technical Services Manager	Level 7 - EQC Liaison Manager	Level 7 - EQC Specialists	Level 7 - EQC Officers	Any negotiations involving a Deed of Assignment requires approval by the Technical Services Manager regardless of the \$
>\$165,000		✓	α	α				
<\$165,000			✓	✓	α			
<\$115,000			α	α	✓			
<\$50,000			α	α		✓		
<\$10,000			α	α			✓	

Demolition Costs	Level 1 - Board	Level 2 – C.E	Level 3 - GC	Level 7 - Technical Services Manager	Level 7 - EQC Liaison Manager	Level 7 - EQC Specialists	Level 7 - EQC Officers	Authorisation of demolition costs in excess of the PMSA with Arrow are managed by the Technical Services team
>\$165,000		✓						
<\$165,000			✓	✓				
<\$115,000					✓			

Contracts	Level 1 - Board	Level 2 - C.E	Level 3 - GC	Level 4 - CFO	Level 5 - SMT	Level 6 - HR	Level 7	References and comments
Approval of contracts for 3 years or more, or > \$1,000,000 annualised.	✓							
<\$1,000,000 annualised,		✓						
<\$500,000 annualised,			✓	✓				
<\$100,000 annualised					✓			
Warranties provided to third parties								
>\$200,000	✓							
<\$200,000		✓	✓		✓			Warranties given to EQC by Technical Support Team attesting that consent to assignment of a claim has been received from the relevant financially interested party are deemed to fall within this limit.

Risk Management	Level 1 - Board	Level 2 - C.E	Level 3 - GC	Level 4 - CFO	Level 5 - SMT	Level 6 - HR	Level 7	References and comments
Approval of annual insurance programme	✓							
Approval of Compliance Policy	✓							
Implementation of Compliance Policy			✓					

Legal	Level 1 - Board	Level 2 - C.E	Level 3 - GC	Level 4 - CFO	Level 5 - SMT	Level 6 - HR	Level 7	References and comments
Approval to commence legal action where a significant policy issue is involved and/or significant shareholder or media interest is likely	✓							
Approval to initiate legal proceedings not being matters reserved for the Board		✓	✓					

Approval to defend legal proceedings relating to claims							✓	Technical Review and Resolution Team
Approval to commence legal proceeding to recover overpaid claims				✓			α	Authorisation upon recommendation from Technical Support Manager
Approval of settlement of a disputed amount under a claim where no precedent is created								
>\$60,000		✓						
< \$60,000					✓			Technical Review & Resolution Manager
Approval of settlement of a disputed amount under a claim where a precedent is created		✓						
Court Settlements								Settlement authorities within court negotiation proceedings (<i>Over Cap, Temporary Accommodation, Loss of Rents, Contents Claim variations</i>)
>\$60,000		✓						
<\$60,000					✓			Technical Review and Resolution Manager
Approval of settlement of all other legal disputes								
>\$50,000	✓							
< \$50,000		✓						

Public Relations	Level 1 - Board	Level 2 – C.E	Level 3 - GC	Level 4 - CFO	Level 5 - SMT	Level 6 - HR	Level 7	References and comments
Policy approval of Public Relations / Media protocols	✓							
Comment to media on policy issues and governance	✓							
Comment to media on operational issues		✓			✓			Level 5 SMT member is the Communications Manager

Human Resources – CEO & Direct Reports	Level 1 - Board	Level 2 – C.E	Level 3 - GC	Level 4 - CFO	Level 5 - SMT	Level 6 - HR	Level 7	References and comments
Approval of appointment (including terms and conditions of employment) and dismissal								
CEO	✓							
CEO's direct reports	✓	α						CEO makes recommendation to Board
Approval of remuneration, including At Risk portion / bonuses								
CEO	✓							
CEO's direct reports	✓	α						CEO makes recommendation to Board

Human Resources - Staff	Level 1 - Board	Level 2 – C.E	Level 3 - SSM	Level 4 - CFO	Level 5 - SMT	Level 6 - HR	Level 7	References and comments
								<i>'one-up approval' refers to approval being given by the next highest delegated holder</i>
Organisational Development & Design								
Approve creation of new positions		✓						With advice from HR Manager
Approve proposal for change e.g. Restructuring		✓						With advice from HR Manager
Approve salary bands for new positions		✓						With advice from HR Manager
Recruitment and Selection								
Approve request to recruit staff (fixed term and permanent)		✓						With advice from HR Manager
Approve request to recruit casual staff			✓	✓	✓			
Authorise recruitment expenditure (agency, advertising, testing, travel expenses)			✓	✓	✓			In accordance with financial delegations
Approve appointment of staff (fixed term and permanent)			✓	✓	✓			'One up approval' required
Approve appointment of casual staff			✓	✓	✓			
Approve a fixed term extension			✓	✓	✓			'One up approval' required
Approve contractor to take on work normally undertaken by an employee			✓	✓	✓			'One up approval' required, with advice from HR Manager. Note risks in respect of proper status contractor vs. Employee.

Human Resources - Staff	Level 1 - Board	Level 2 – C.E	Level 3 - SSM	Level 4 - CFO	Level 5 - SMT	Level 6 - HR	Level 7	References and comments <i>'one-up approval' refers to approval being given by the next highest delegated holder</i>
Secondments								
Approve internal secondment appointment			✓	✓	✓			'One up approval' required, with advice from HR Manager.
Approve extension of internal secondment			✓	✓	✓			'One up approval' required, with advice from HR Manager.
Terms and Conditions of Employment								
Approve non-standard IEA conditions		✓						With advice from HR Manager
Approve use of pool vehicle for travel to and from work and corresponding salary deduction		✓						With advice from HR Manager
Remuneration								
Approve salary increases		✓						With advice from HR Manager
Approve out of cycle salary increases		✓						With advice from HR Manager
Approve temporary allowances (e.g. higher duties)		✓						With advice from HR Manager
Hours of Work								
Approve for flexible working arrangements (pursuant to legislation)			✓	✓	✓		✓	'One up approval' required, with advice from HR Manager.
Approve other applications to vary hours of work			✓	✓	✓		✓	'One up approval' required, with advice from HR Manager.
Certify timesheets and/or attendance records			✓	✓	✓	✓	✓	
Authorise time off-in lieu in accordance with policy			✓	✓	✓		✓	
Specify times for morning and afternoon tea breaks			✓	✓	✓	✓	✓	
Leave								
Approval of leave within entitlement: ▪ Annual ▪ Bereavement ▪ Parental			✓	✓	✓	✓	✓	With advice from HR Manager
Approval of anticipated leave			✓	✓	✓		✓	
Approval of special leave above the employees legal or contractual entitlements		✓						With advice from HR Manager

Human Resources - Staff	Level 1 - Board	Level 2 – C.E	Level 3 - SSM	Level 4 - CFO	Level 5 - SMT	Level 6 - HR	Level 7	References and comments
Direct employee to take leave			✓	✓	✓		✓	'one-up approval' refers to approval being given by the next highest delegated holder One up approval' required, with advice from HR Manager.
Approve adjustments to leave entitlement			✓	✓	✓	✓	✓	With advice from HR Manager – may apply when sickness or bereavement occurs during planned annual leave
Request certificates/reports to support special leave or return to work			✓	✓	✓		✓	With advice from HR Manager
Approve Leave Without Pay (LWOP)			✓	✓	✓		✓	One up approval' required, with advice from HR Manager. Requests for more than two weeks require CE approval.
Approve extension of parental leave (not exceeding 52 weeks entitlement or early return to work)			✓	✓	✓		✓	With advice from HR Manager
Jury Service Leave			✓	✓	✓	✓	✓	
Study Assistance								
Approve reimbursement of external study fees		✓						With advice from HR Manager in accordance with Policy.
Approve leave to sit exams and paid study leave			✓	✓	✓	✓	✓	With advice from HR Manager in accordance with Policy.
Performance Development and Review								
Agree objectives and learning and development plans			✓	✓	✓	✓	✓	
Conduct performance and development reviews			✓	✓	✓	✓	✓	
Make final decision if performance review disputed		✓						
Health Safety and Wellbeing								
Agree return to work component of rehabilitation plan			✓	✓	✓	✓	✓	With advice from HR Manager
Approve and offer alternative or transitional duties for injured employees in accordance with rehabilitation plan guidelines			✓	✓	✓		✓	With advice from HR Manager
Employment Relations								
Conduct informal/preliminary			✓	✓	✓		✓	With advice from HR Manager

Expired Policy

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Human Resources - Staff	Level 1 - Board	Level 2 – C.E	Level 3 - SSM	Level 4 - CFO	Level 5 - SMT	Level 6 - HR	Level 7	References and comments <i>'one-up approval' refers to approval being given by the next highest delegated holder</i>
<i>investigation – misconduct or performance issues</i>								
<i>Conduct formal investigation – misconduct or performance issues</i>			✓	✓	✓		✓	<i>With advice from HR Manager</i>
<i>Approve formal outcome – warnings, suspensions dismissal</i>		✓						<i>With advice from HR Manager</i>
<i>Approve exit agreement or special terms as a result of employment concerns or dispute</i>		✓						<i>With advice from HR Manager</i>
Ending Employment Relationship								
<i>Resignation acceptance</i>			✓	✓	✓		✓	<i>Exception is resignation during formal issue investigation which requires CE approval</i>
<i>Approve termination on medical grounds</i>		✓						<i>With advice from HR Manager</i>
<i>Approve termination of employment on grounds of redundancy</i>		✓						<i>With advice from HR Manager</i>
<i>Approve redundancy payment within policy and employment agreement provisions</i>		✓						<i>With advice from HR Manager</i>
<i>Authorise expenditure for counselling and outplacement services outside of the EAP contractual service provision</i>		✓						<i>With advice from HR Manager</i>
<i>Authorise employee to exit during notice period, with notice paid or unpaid</i>			✓	✓	✓			<i>With advice from HR Manager</i>
Miscellaneous								
<i>Approve request for personal use of official documents for example for use in thesis for external study</i>			✓	✓	✓			Such information request must be in accordance with Southern Response's privacy obligations
<i>Attendance at training courses/external workshops</i>			✓	✓	✓	✓	✓	All training must be in accordance with the SR Training Policy
<i>Approve a relocation allowance</i>		✓						<i>With advice from HR Manager</i>
<i>Approve other allowances outside employment agreement</i>		✓						<i>With advice from HR Manager</i>

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Treasury Delegations	Shareholder	Level 1 - Board	Level 2 – C.E	Level 3 - GC	Level 4 - CFO	Level 7	References and comments
Approve treasury transactions outside of Policy	✓						Delegation is at Board (except where Ministers' approval required).
Expired Policy							
Funding Facilities ** note 1							
Approve any amendments to the Crown Support Deed		✓					
Approve submission of request to the Treasury for draw-down under the Crown Support Deed		✓					
Approve funding facilities	✓						All borrowings require the joint approval of the Responsible Minister and Minister of Finance per s162 of Crown Entities Act
Approve acquisition of securities (excluding those noted under the Treasury Policy) within investment management policy directed by the Crown from time to time		✓					S161 of Crown Entities Act applies
Bank Accounts							
Approve the opening of NZD accounts with a bank/building society that satisfies a credit-rating test, specified in either regulation 7 of the Financial Powers Regulations, or that is notified in the Gazette	✓						All other bank account openings require the approval of the Minister of Finance per s158 of Crown Entities Act and compliance with any conditions of the Minister's approval
Approve the opening of foreign currency bank accounts, including accounts held at a bank outside of NZ, that are authorised by the Financial Powers Regulations (regulations 6 and 8)		✓					All other bank account openings require the approval of the Minister of Finance per s158 of Crown Entities Act and compliance with any conditions of the Minister's approval
Approve lists of authorised		✓					

signatories of approved bank accounts							
Paying funds to third parties from any Southern Response bank account							As per the Delegated Authorities Policy
Transfers between Southern Response bank accounts				Expired Policy	✓	✓	All finance Staff

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