

3 July 2024

File Ref: OIAPR127402363-28355

By email: [REDACTED]

Tēnā koe [REDACTED]

Request for information 2024-121

I refer to your request for information dated 11 June 2024, which was received by Greater Wellington Regional Council (Greater Wellington) on 11 June 2024. You have requested the following:

“Could you please provide the following:

- 1. Could you please advise of any investigations and prosecutions by your council under the Maritime Transport Act 1994 in the last 10 years (or timeframe that doesn't invoke the too must work refusal clause).*
- 2. Your internal procedures/manuals and other documents in relation to whether you investigate and prosecute or Maritime New Zealand does.*
- 3. What is your understanding (any agreements or memorandum of understanding with Maritime New Zealand) on decisions and how those decisions are made as to whether you or Maritime NZ investigate recreational boating incidents.*
- 4. Please provide your standard operating procedures for investigating and prosecuting under the Maritime Transport Act 1994 (or general if not specific).*
- 5. Please provide the criteria used to determine if you investigate an recreation boating incident*
- 6. Please provide the code of conduct and conflict of interest policy in relation to your investigators. For example, if a victim and complainant in a recreational boat incident is a friend of one of your investigators or officers, and then they called your officer on a weekend, then went your officers house to complain about the incident and told your officer how angry they were about the other people on board, and their treatment etc...(when police and harbour master were already aware of the incident and choose not to act) would your officer then be able to*

recommend and lead an investigation into the accident including making recommendations to prosecute the people the officers friend was angry at? (This situation did not involve your council, or other councils, but was a situation with an officer from a govt department investigating an incident under the circumstances described). I am not trying to get an opinion, rather demonstrate the angle I am taking regards policies and documents that relate to this and would either allow or disallow that example to happen in your organisation.”

Greater Wellington’s response follows:

1. *Could you please advise of any investigations and prosecutions by your council under the Maritime Transport Act 1994 in the last 10 years (or timeframe that doesn’t invoke the too must work refusal clause).*

No prosecutions have been taken under the Maritime Transport Act 1994 (MTA).

2. *Your internal procedures/manuals and other documents in relation to whether you investigate and prosecute or Maritime New Zealand does.*

There is no formal arrangement in place regarding agreement to take action between ourselves and Maritime NZ. Therefore we are refusing this part of your request under section 17(e) of the Local Government Official Information and Meetings Act 1987 (the Act) on the basis that the document alleged to contain the information does not exist or, despite reasonable efforts, cannot be found.

When refusing a request under section 17(e) of the Act, we are required to first consider consulting you. In this instance, we believe that consulting you would not change the outcome of our decision.

3. *What is your understanding (any agreements or memorandum of understanding with Maritime New Zealand) on decisions and how those decisions are made as to whether you or Maritime NZ investigate recreational boating incidents.*

There is no memorandum of understanding of this decision making. Both organisations approach this in their own way.

4. *Please provide your standard operating procedures for investigating and prosecuting under the Maritime Transport Act 1994 (or general if not specific).*

Enforcement procedures (this document is overdue for updating) and Compliance model are attached (**Attachments 1 and 2**).

5. *Please provide the criteria used to determine if you investigate an recreation boating incident*

These are contained in **Attachments 1 and 2**.

6. *Please provide the code of conduct and conflict of interest policy in relation to your investigators*

The Council has investigation staff in relation to the Resource Management Act 1991 but no specialised investigators in relation to the MTA. Attached are Greater Wellington Conflict of Interest Policy and Staff Code of Conduct (**Attachments 3 and 4**).

You have provided a very specific set of circumstances that may not be addressed directly by the documents I have sent through. However, as a general rule, we would expect staff to be aware of conflicts such as those you have raised, and these would be reviewed by managers to remove any real or perceived bias or favouritism.

If you have any concerns with the decision(s) referred to in this letter, you have the right to request an investigation and review by the Ombudsman under section 27(3) of the Local Government Official Information and Meetings Act 1987.

Please note that it is our policy to proactively release our responses to official information requests where possible. Our response to your request will be published shortly on Greater Wellington's website with your personal information removed.

Nāku iti noa, nā



Lian Butcher

Kaiwhakahaere Matua Rōpū Taiao | Group Manager Environment



caring about you & your environment

Enforcement Procedures & Guidelines

Harbours Department

PROACTIVE RELEASE

Contents

Page

1.	Introduction	1
2.	Enforcement Principles	1
3.	Statutory Basis	2
3.2	Authority to Issue Infringement Notices	2
3.3	Legal Terms	2
4.	Enforcement Policy	3
4.1	Introduction	3
4.2	Overview of Enforcement Options	3
4.2.1	Informal Enforcement Options	3
4.2.2	Formal Enforcement Options	4
4.3	Enforcement Decision Process	4
4.3.1	Matters to be Assessed Before Taking Enforcement Action	6
4.4.2	Selecting an Enforcement Option	7
4.4.3	Guidelines for Formal Enforcement Action	9
4.4.4	Evaluating Effectiveness of Enforcement Action	9
4.5	Criteria for Recovering Costs Associated with Investigations which May Lead to Enforcement	9
4.5.1	Costs Awarded by the Courts	9
5.	General Enforcement Procedures	10
5.1	Using your Warrant of Appointment as an Enforcement Officer	10
5.2	Issuing Enforcement Documents to the Correct Party	10
5.3	Serving Enforcement Documents	12
5.5	Conduct when Carrying out Enforcement Action	12
6.	Infringement Notices	13
6.1	Statutory Grounds	13
6.2	Authority to Issue an Infringement Notice	13
6.3	Standard of Proof	14
6.4	Timeframes	14
6.5	Who to Issue an Infringement Notice to	14
6.6	Format and Content	15
6.10	Serving the Notice	15
6.11	Filing and Tracking	15
6.12	Payment of Infringement Fee	16
6.13	When the Infringement Fee is Not Paid	17
6.14	Challenges to Infringement Notices	18
6.15	When a Court Hearing is Requested	18
6.16	Defences Against Infringement Offences	19
7.	Prosecution	20
7.1	Statutory Grounds	20
7.2	Standard of Proof	20
7.3	Authority to Initiate Prosecution	20
7.4	Legal Advice	21
7.5	Timeframes	21
7.7	Awards of Costs	21
7.8	General Procedure Once a Decision to Prosecute is Made	22
8.	Defences	26
8.1	Defences under the Act	26

8.2	Other Defences	27
	Appendix 1. Legal Terms	28
	Appendix 2 – Formal Enforcement Guidelines	32
	Appendix 3 – Schedule of Infringement Offences and Fees	34
	Appendix 4 - Presenting Evidence in Proceedings	35

PROACTIVE RELEASE

1. Introduction

This document sets out, as far as is practicable, the manner in which Regional Council staff should act when implementing the enforcement provisions of the Local Government Act 1974. [the Act] with respect to the Wellington Regional Navigation and Safety Bylaws 2000. [the Bylaws]

These procedures and guidelines are intended to ensure staffs carry out their enforcement duties in a way that meets the requirements of the Act. As with all our work you are expected to use your judgement and common sense about what type of enforcement action may be appropriate given the circumstances of each case.

These procedures and guidelines will be updated as and when the need arises, for example, to reflect any internal or external procedural changes or any amendments to the Act or regulations. This document will be formally reviewed at any time the underlying legislation is materially altered.

2. Enforcement Principles

The principles behind our enforcement are:

- (1) Our enforcement action is consistent for similar activities and circumstances;
- (2) Our enforcement reflects the letter and intent of the Wellington Regional Navigation and Safety Bylaws 2000;
- (3) Our enforcement is fair and reasonable - We give everyone a fair go but no one gets a free ride;
- (4) Our enforcement process has “no surprises”, i.e., we keep people informed and forewarned where possible;
- (5) We use informal enforcement mechanisms, such as, education, consultation and negotiation where appropriate; and
- (6) Our choice of enforcement action takes into account the individual circumstances of each case.

3. Statutory Basis

3.1 Local Government Act 1974 - Offences and Legal Proceedings

Sections 699 and 699B of the Act set out the formal enforcement options available.

Where an offence has been committed a Harbourmaster or Enforcement Officer has the ability to lay charges for a prosecution or issue an infringement notice under section 699C of the Act. Under section 699A(2) the Governor General specifies which breaches of the Bylaws are infringement offences.

3.2 Authority to Issue Infringement Notices

Section 699C of the Act allows for a Harbourmaster or Enforcement Officer to issue an Infringement Notice.

These infringement offences and their associated fees are set out in Schedule 1 of the Local Government (Infringement Fees for Offences: Wellington Regional Navigation and Safety Bylaws) Regulations 2002.

The Harbourmaster, Deputy Harbourmaster have been appointed as Harbourmasters and the Harbour Rangers have been appointed as Harbourmasters and Enforcement Officers under sections 5.1.1 and 5.1.2 of the Bylaws and have been issued with a warrant of appointment. The Wellington Maritime Police Unit staff have been appointed as Enforcement Officers under sections 5.1.1 and 5.1.2. of the Bylaws. See chapter 5.1 of this manual for further information.

3.3 Legal Terms

Standard of Proof

On the balance of probabilities means that once both sides have presented their evidence, the Judge will find for the party who on the whole has a stronger case e.g.: the party whose evidence tips the balance of probability, however slight the edge may be.

Beyond reasonable doubt. A reasonable doubt is a doubt that would prevent a reasonable and just Judge or jury from coming to a conclusion. ...it has become usual to instruct juries that a reasonable doubt is such a doubt as would cause them hesitation in grave and important concerns of their own, but that a mere fanciful doubt is not to be considered a reasonable doubt. *Ministry of Pensions v Greer [1958] NI 156 at 162 per Black LJ.*

See Appendix 1 of this manual for a glossary of commonly used legal terms you may encounter in enforcement proceedings.

4. Enforcement Policy

4.1 Introduction

We have several options when considering a situation involving a breach or alleged breach of the bylaws. Education, verbal or written warnings, infringement notice or prosecution.

To ensure that our enforcement is consistent and fair you must work through the **Enforcement Decision Process** outlined in chapter 4.3 of this manual. To maximise our chances of enforcement action being successful you need to carefully follow enforcement procedures contained in this manual.

4.2 Overview of Enforcement Options

4.2.1 Informal Enforcement Options

In most situations, we can ensure compliance with Bylaws without using any of the formal enforcement measures available. Informal enforcement action, such as outlined below, is often the first step in the enforcement process.

Education

Ignorance is no defence when an offence is committed against the Bylaws. However, in certain circumstances it may be more appropriate to educate the person responsible for the non-compliance to ensure that they understand how the Bylaws apply to their activity and how they can comply.

The Harbours Department has boat packs and plain copies of the bylaws. These may be used to make people aware of their responsibilities under the Bylaws and of the consequences of not complying with the Bylaws.

Verbal Warnings

A verbal warning will be sufficient where there is no immediate danger to other water users and the party concerned seems compliant and indicate that they will ensure that the re-offending will not reoccur. You should always note in your incident report when a verbal warning has been given. This may also be an appropriate time to give out a copy of the Bylaws or a boating safety pack.

Written warnings

A written warnings is used in situations where the action is more serious, but not yet an immediate danger to themselves or other users, or to someone already given one or more verbal warnings. You should give the person responsible a written warning either by using the written warning form or by letter later.

The purpose of this warning is to ensure that our enforcement process has “no surprises”, i.e., we keep people informed and forewarned where possible. Draw their attention to the bottom of the Offence Warning Notice where it outlines the risk of further non-compliance. Such warnings also mean that if the offence happens again we have stronger grounds for taking formal enforcement action.

4.2.2 Formal Enforcement Options

Infringement Notice

Harbourmasters or Enforcement officers may issue infringement notices for some breaches of the Bylaws as set out in the Local Government (Infringement fees for offences: Wellington Regional Navigation and Safety Bylaws) Regulations 2002. The Regulations provide a schedule of fines, of either \$100 or \$200 depending on the nature of the offence. Infringement notices may be challenged in which case a District Court hears the charge. The onus is on the Regional Council to prove *beyond reasonable doubt* that an offence occurred if a Court hearing is held.

The purpose of an infringement notice is to punish and deter others.

See chapter 6 of this manual for further information.

Prosecution

We can seek a prosecution for an offence against the Bylaws as set out in section 699 or 683. A prosecution is a criminal proceeding and we must prove *beyond reasonable doubt* that an offence has occurred and the person accused is responsible. Prosecution is punitive and may serve as a deterrent to others. Prosecutions are usually expensive and time consuming.

The purpose of a prosecution is to punish, publicise the breach and the bylaws and deter others.

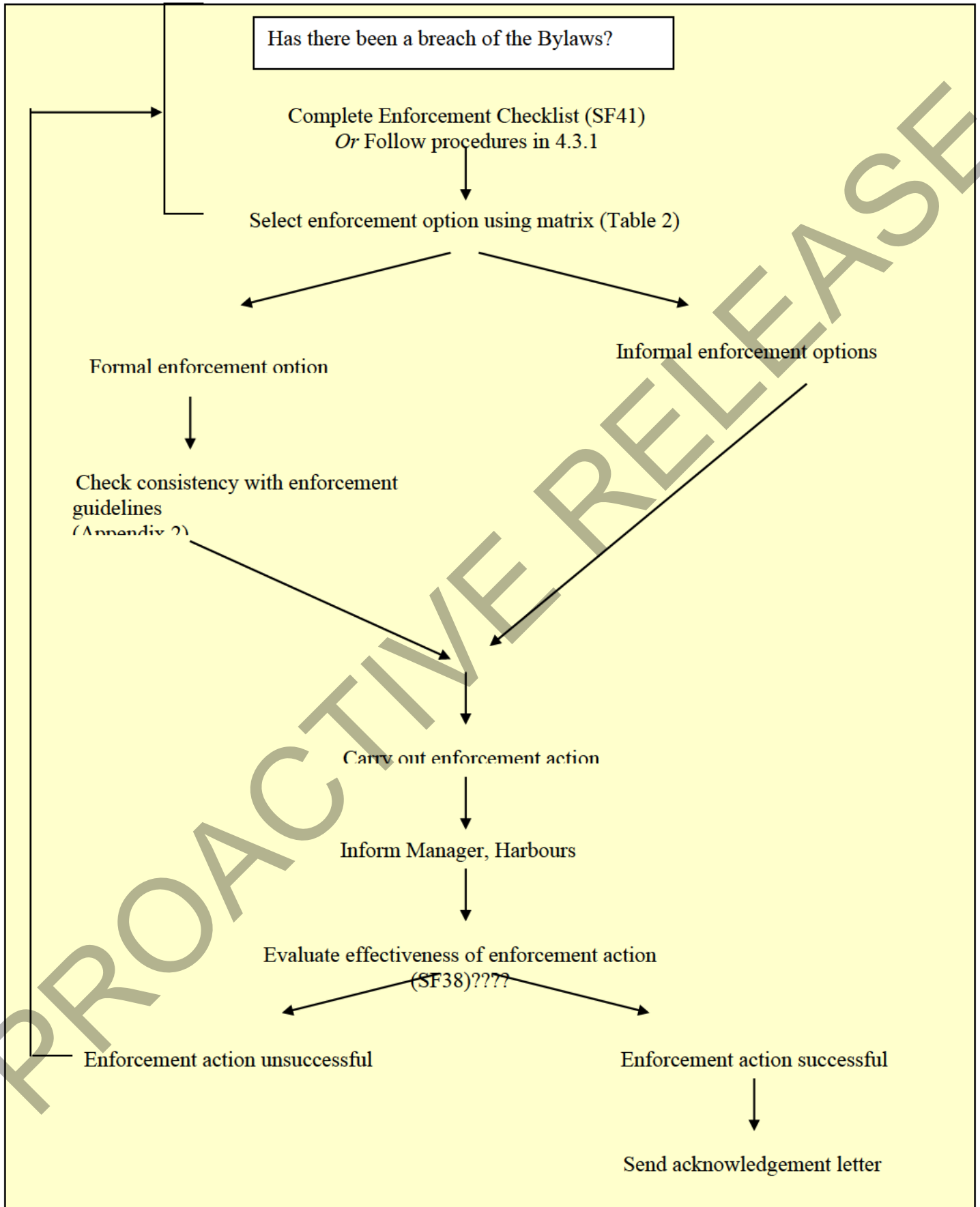
See chapter 10 of this manual for further information.

4.3 Enforcement Decision Process

So that we can meet our enforcement principles outlined in chapter 2 of this manual we follow a series of steps before initiating enforcement action. These enforcement steps are summarised in Figure 1. **Summary of Enforcement Decision Process.**

Because of the potential for enforcement to escalate, you should go through this enforcement process with each successive enforcement tool used, where initial efforts have failed to bring about compliance.

Figure 1. Summary of Enforcement Decision Process



4.3.1 Matters to be Assessed Before Taking Enforcement Action

The following matters must be considered before you decide which enforcement option (formal or informal), if any, should be used.

(1) **Circumstances**

- (a) The significance of the actual and potential effects of the breach. i.e., no effects, minor effects, moderate effects, or significant effects.

- (b) Level of responsibility for the non-compliance.

Consider deliberateness of actions; was there flagrant disregard of the Bylaws or previous warnings; was the person ignorant of the Bylaws; are there any mitigating factors?

- (c) Previous history of non-compliance

Have there been previous similar instances of non-compliance?; has there been a failure to act on previous warnings or previous enforcement action?

- (d) Attitude of the party responsible for non-compliance.

Are they willing to comply; are they denying responsibility?; do they have a 'couldn't care less' or cavalier attitude or are they taking the matter seriously?; Are they co-operative or obstructive.

- (e) Likelihood of incident or non-compliance happening again

Was the incident an isolated event? How confident are you that the situation will not happen again?

(2) **Legal issues**

- (a) Clear breach of the Bylaw?

- (b) Evidence of breach of bylaw/s? Any witnesses?

- (c) What standard of proof can be met – *on balance of probabilities* or *beyond reasonable doubt*?

- (d) When did we first become aware of the breach? Section 338(4) of the Act provides that any charges for a prosecution must be laid within twelve months from the date the Regional Council first knew (or should have known) that an offence had been committed.

(3) **Desired outcome of enforcement action**

(a) Specify.

e.g., compliance with Bylaws, educate, deter others, punish.

4.4.2 Selecting an Enforcement Option

Once you have completed the Enforcement Checklist (SF41) use Table 2 Enforcement Option Matrix to help you choose an appropriate enforcement option. The matrix provides a broad overview to help enforcement officers achieve consistency in their initial choice of enforcement option.

These are guidelines, that, while put in place to assist in decision making, do not restrict the ability of the officer attending the incident to make a judgement on which enforcement option to use based on the particular factors in that incident.

PROACTIVE RELEASE

Table 2. Enforcement Option Matrix

<i>Nature of incident</i>	<i>Example</i>	<i>Verbal warning; Education material</i>	<i>Written warning; Education material</i>	<i>Infringement notice</i>	<i>Prosecution</i>
Minor breach	Unlikely to interfere with other water uses and/or unlikely to pose a risk to life or property. Offence that is not directly dangerous.	<ul style="list-style-type: none"> • First offence; • Ignorance of the Bylaws • Unlikely to happen again; • Voluntary compliance likely or undertaken. 	<ul style="list-style-type: none"> • Second offence; • May happen again; • Voluntary compliance likely. 	<ul style="list-style-type: none"> • non-compliance with written warning. • Poor attitude towards previous instruction 	
Moderately serious breach.	Likely to be a nuisance to other water users and/ or pose a risk to life or property.		<ul style="list-style-type: none"> • First offence; • Unlikely to happen again; • Voluntary compliance likely or undertaken. 	<ul style="list-style-type: none"> • Non-compliance with previous warning. • Poor attitude towards previous instruction 	
Serious breach	Is causing a significant risk to life or damage property.			<ul style="list-style-type: none"> • endangerment of other water users 	<ul style="list-style-type: none"> • failure to act on previous warnings; • endangerment of other water users
Very serious	Injury and/or loss of life and/or substantial damage to property				<ul style="list-style-type: none"> • deliberate or negligent action.

4.4.3 Guidelines for Formal Enforcement Action

When you select a formal enforcement option check it for consistency with the guidelines for formal enforcement action. See Appendix 2 (Page XX) of this manual for these guidelines.

4.4.4 Evaluating Effectiveness of Enforcement Action

Once you have carried out enforcement action you should evaluate the response to effectiveness of the enforcement action taken.

When enforcement action was unsuccessful in achieving compliance

Where the enforcement action has not been successful in achieving compliance you should consider whether further enforcement action is necessary.

When enforcement action was successful in achieving compliance

Where a third party brought the offence to our attention, for example through a complaint, feedback should be sent to the third party.

Note – the copy sent should be a blind copy, i.e., the person who has complied should not know the identity of the original complainant unless they have given their permission.

4.5 Criteria for Recovering Costs Associated with Investigations which May Lead to Enforcement

While we cannot recover most of the costs associated with enforcement we may charge for staff time and costs incurred in carrying out initial investigations or inspections before any formal enforcement action is taken.

4.5.1 Costs Awarded by the Courts

The Court may award costs in enforcement proceedings for prosecutions. An order for costs is not a penalty against the unsuccessful party, but compensation for the successful party. Costs may be awarded in favour of the Regional Council or against the Regional Council where enforcement proceedings are unsuccessful.

See chapter 10.7 of this manual for information on award of costs associated with prosecutions.

5. General Enforcement Procedures

5.1 Using your Warrant of Appointment as an Enforcement Officer

Section 710 of the Act requires Council to supply every enforcement officer with a warrant that clearly states the functions and powers the enforcement officer has been authorised to carry out and exercise.

The Warrant of Appointment must be carried at all times by the enforcement officer and produced, together with identification (e.g., photographed ID card), upon entry to any property, whether requested or not (and at any further reasonable request).

You must show your warrant even if you know the person well.

Section 710(3) requires you to surrender your warrant on termination of employment.

5.2 Issuing Enforcement Documents to the Correct Party

It is important that infringement notices correctly identify the party the notice is being issued to. Below is some guidance on the different types of entities you may encounter.

A person

This means an individual acting on their own. When issuing a document to an individual make sure you check spelling carefully. It is not necessary to use their full name though.

A Company

A company is a separate legal being – that is distinct from the owners (the shareholders). The Directors are responsible for the affairs of a company and may or may not be shareholders. The advantage of a company as a form of business is that liability is limited to the assets of the company. An outsider must look to the company and not the owner, director nor the officer for amends, unless the owner or director has entered into a personal guarantee or allowed the company to trade recklessly.

Where you issue an enforcement document against a company use the full name, e.g., Trolley Transport Ltd not just Trolley Transport. If you are unsure carry out a company search on the internet <http://www.companies.govt.nz/search/cad>

The search is free and will give you the registered office address for the company plus the name of two company directors.

Trading Name

Similarly, some businesses prefer to use a trading name that sets them apart from others and usually employed as part of a marketing or brand strategy. That name has no significance in law. In these instances we need to determine what the entity really is – a person, a partnership, a company, etc. For example, *First Electric* is the trading name used by Mighty River Power Limited. In this case, the enforcement notice would be issued against Mighty River Power Limited.

Partnerships

A partnership is formed when two or more individuals formalise their business arrangements, for example lawyers or accountants often form partnerships. From such an agreement the partners' activities are combined all subsequent dealings are completed jointly. Those individuals are jointly and severally liable for the partnership's liabilities. In essence partnerships enjoy the same status as an individual. There is no opportunity to separate or avoid the liabilities of the business.

Enforcement documents should be issued in the name of the partnership and served on the individual partner(s).

Public Authorities

These businesses are set up by statute for example territorial authorities look to the Local Government Act 1974 (as amended in 1989 and 1996) as the empowering legislation. That legislation prescribes what activities and ultimate authority that local authority has. Another example is a state owned enterprise that is also created by statute.

The Crown

Presently under section 4(5) of the Act, no enforcement order, abatement notice, excessive noise direction or information may be issued against the Crown. Case law indicates that this exception also extends to Crown Agencies, for example a school board of trustees is deemed by statute to be an agent of the Crown. However, Crown Agencies are not exempt when they are an incorporated body.

A Trust

A trust is an arrangement by which one or more persons (called a trustee) hold and manage the trust assets on behalf of a group of other people (called beneficiaries).

You cannot issue enforcement proceedings against a trust unless the trust is an incorporated body (i.e., registered as a company – you can find this out by carrying out a company search on the internet). You can however, issue an enforcement notice against individuals who make up the trust, i.e., the trustees. You can find out who trustees are by checking the property title (where land is involved). This may entail carrying out a title search of the property concerned. This can be done through Land Information NZ (there is a charge for this service).

5.3 Serving Enforcement Documents

NEED PROCEDURE OF FOR POSECUTION SERVING OF PAPERS

Personal service

Infringements notices will generally be delivered at the time of the incident and in person. Personal service is always desirable, as it cannot be disputed.

Where possible, two enforcement officers should be present during personal service both to act as a witness and to ensure personal safety.

While it is not always a legal requirement, good practice suggests that when serving papers you (and any other enforcement officer present) should always show your warrant (whether you know the recipient or not) and explain clearly what the notice is being served for, what it requires them to do, and their legal rights. You should also explain to them that what they say can be used in evidence and note their comments and questions.

Record details of personal service in your incident notebook or as a contemporaneous file note. Staff should put a note on the Incident Database to state where details of service are recorded.

Postal service

When personal service is not possible you may send infringement notice by prepaid post addressed to the person at the usual or last known place of residence or business of the person.

Where a notice or other document is sent by post to a person it shall be deemed, in the absence of proof to the contrary, to be received by the person at the time at which the letter would have been delivered in the ordinary course of the post.

Note: a document is considered to be posted when it is placed in an official Post Box. For correct service all infringement notices should be delivered in person to the nearest Post Office.

Record details of postal service in your field notebook or on the Incident Database.

Other methods of service

If personal or postal service is not possible then you may deliver enforcement documents to the usual or last known place of residence or business of the person either by facsimile or leaving it in the letterbox.

Retain fax confirmation sheet as proof of delivery. Record details of service in your field notebook or as a contemporaneous file note.

5.5 Conduct when Carrying out Enforcement Action

Enforcement action is a serious business. You should always ensure that all parties involved in enforcement action are treated fairly, decently and in accordance with the principles of natural justice.

Where there is the potential for enforcement action, you should inform parties involved that that any information provided may be used in evidence.

You should also avoid giving assurances to parties involved (e.g., complainants or alleged offenders) as to what enforcement action we may or may not take before the enforcement option has been approved by the Department Manager.

When invoking enforcement action correct procedure is essential.

If we do not use correct procedures we run the risk of having the Courts reject our evidence. In most cases lawyers for parties who are the subject of enforcement action will carefully look at our procedure to see if we have made a mistake that they can use to get the courts to dismiss our action (a technical knock out). This approach is far easier than defending a case on the facts.

A good way for you to look at enforcement action is that if we are 95% right and the person we are taking enforcement action against is 5% right then we could struggle to get the Courts to accept our view. While that can be frustrating it is useful to remember that the same system protects us from overzealous enforcement agencies.

6. Infringement Notices

6.1 Statutory Grounds

s699A of the Act gives local authorities the ability to issue an infringement notice instead of seeking a prosecution to deal with breaches of specific provisions of the Bylaws..

Local Government (Infringement Fees for Offences: Wellington Regional Navigation and Safety Bylaws) Regulations 2002 sets out breaches of the Bylaws that an infringement notice can be issued for and the prescribed fee.

The schedule of infringement offences and fees is attached as Appendix 3 of this manual.

Section 21 of the Summary Proceedings Act 1957 (SPA) sets out the various options for initiating infringement notice proceedings and specifies the steps that may be taken once an infringement notice is issued. An infringement offence does not result in a conviction.

Refer to LGNZ Enforcement Manual for a detailed overview of the infringement notice mechanism.

6.2 Authority to Issue an Infringement Notice

Harbourmasters and Enforcement officers have the power to prepare and serve infringement notices. (s699C(1) of the Act) Department or Divisional Managers are authorised to consider and decide on any requests for District Court hearings from persons issued with infringement notices.

6.3 Standard of Proof

We can serve an infringement notice where we observe a person committing an infringement offence or have *reasonable cause* to believe such an offence has been committed by that person. (s699C(1))

When a person receiving an infringement notice denies liability and where a Court hearing is subsequently held - we must prove the infringement offence *beyond reasonable doubt* i.e., the same standard required for a prosecution. The standard of proof required by the defendant to establish a defence is *on the balance of probabilities*.

Therefore the investigation and collection of evidence relating to an infringement offence, where possible, should be carried out to meet the *beyond reasonable doubt* standard of proof.

Where the evidence does not meet the *beyond reasonable doubt* standard of proof we may still proceed with issuing an infringement notice but may decide not to take the matter any further if the person issued with an infringement notice denies liability.

6.4 Timeframes

The infringement notice should be issued as promptly as is reasonable in the circumstances after the infringement offence is discovered.

Note – any unpaid reminder notices relating to an infringement notice must be filed with the District Court within six months of the infringement offence being committed or six months from when we first became aware or should have reasonably known that an infringement offence was committed.

6.5 Who to Issue an Infringement Notice to

The infringement notice must be issued to the party responsible for causing the infringement offence. When a number of people are responsible for the activity, a separate infringement notice can be issued to each person who has caused the offence. The responsible party can include the following:

- A person
- A company
- An incorporated body
- A public authority

An infringement notice cannot be issued against a Trust unless the Trust is an incorporated body.

See chapter 5.2 of this manual for further information.

6.6 Format and Content

The infringement notice must be on the standard Infringement Notice form as detailed by s699C(3) of the Act and Schedule 2 of the Local Government (Infringement Fees for Offences: Wellington Regional Navigation and Safety Bylaws) Regulations 2002.

6.7 Completing the Infringement Notice

The person receiving the infringement notice is given the white and pink copies, the pink copy is to be returned with payment.

Each offence detailed must be numbered, the pre-printed offences must be numbered where appropriate in the boxes provided.

6.10 Serving the Notice

The infringement notice must either be delivered in person or posted to the usual or to the last known place of business or residence. This requirement is specified in section 699C(2) of the Act.

Any enforcement officer (not necessarily the officer who issued the notice) may deliver the infringement notice.

Because serving the infringement notice is a potentially confrontational situation, the enforcement officer serving the notice should be accompanied, where possible, by a colleague. The details of how and where and when the infringement notice was served should be recorded in the officer's incident notebook or contemporaneously (i.e., made within 24 hours of service while event is fresh in your memory) as a file note.

When an infringement notice is served in person the issuing officer should:

- show their warrant;
- describe what the infringement notice is;
- draw the person's attention to their rights, which are included in the infringement notice;

If the infringement notice is served by mail, then a covering letter should be enclosed which outlines the points above. Use Standard Letter (SL49).

See chapter 5.3 of this manual for more information on serving enforcement documents.

6.11 Filing and Tracking

Each infringement notice is assigned a unique notice number, prefixed with H for Harbours Department. The Administration Officer who records the date of issue of the notice, the recipient, the issuing officer and the due date for payment of the fee on a spreadsheet. Staff have read-only access to the spreadsheet on the Regional Council Intranet.

The Administration Officer informs the issuing officer on the day that the payment of the infringement fee is due, so that if payment has not already been received a reminder notice can be issued.

After issuing the infringement notice, if you decide to take no further action, then you must inform the Administration Officer who will update the infringement notice tracking system.

The Administration Officer maintains a file containing a copy of all infringement notices issued.

An Enforcement Officer who is a member of Police Maritime Unit will pass on the file copy of the Infringement Notice to the WRC Harbours Department as soon as practicable after it has been issued. Any decisions affecting that notice will be made in discussion between the Harbourmaster and the Officer-In-Charge of the Police Maritime Unit. The WRC Harbours will take responsibility for the tracking and follow up of the notice.

6.12 Payment of Infringement Fee

Payment of infringement fee

The person issued with an infringement notice has 28 days from the date of service to pay the infringement fee or request a Court hearing.

If the fee is paid within the 28 days then no further action can be taken against the person regarding the incident leading to the issue of the infringement notice.

When payment is personally delivered

If the person issued with the infringement notice pays in person at the Council then they must be issued with a receipt. A receipt book is kept at the Environment Help Desk. Change is available from the Secretary CMD & RID. Remove the payment slip on the bottom of the infringement notice. Cheques and cash should be immediately delivered in person to the Accountant, Environment Division. The Accountant will sign the duplicate copy of the receipt (retained in the receipt book) to show that the monies have been received. Attach the duplicate copy of the receipt to the filed copy of the infringement notice.

The Accountant, Environment Division will generate an invoice for the infringement fee and deliver the invoice and monies received to the Finance Section.

The Administration Officer at Harbours must be informed when payment is received so that the tracking system can be updated.

When payment is received by post

Where the person issued with the infringement notice posts payment to the Regional Council, the cheque and tear off portion of the notice (which identifies the particular infringement notice number) will be sent directly to the Finance Section by Information Services, who receive all incoming Regional Council mail.

Information Services will photocopy the cheque and accompanying tear off portion and forward it to the Manager, Harbours. The Manager will give the photocopied information to the Administration Officer so that the tracking system can be updated. The Administration Officer will inform the officer who issued the notice that payment has been received. The copy of the cheque and tear off portion are then attached to the filed copy of the infringement notice.

Part payments

No amount less than the full infringement fee will generally be accepted as full and final settlement. If the person issued with the infringement notice wishes to pay by instalment (and a reminder notice has not already been filed with the Court) you should discuss the matter with the Department Manager and the Accountant, Environment Division.

Waiver for compliance

For some breaches of the bylaws the officer may offer to waive the infringement fee upon proof of compliance. eg proof of purchase of lifejackets as grounds for a waiver of a breach of section 2.1.1.

If this occurs then make a note on the file copy and take no further action.

6.13 When the Infringement Fee is Not Paid

Reminder notices for unpaid infringement notices

If the person issued with an infringement notice has not paid the fee or requested a Court hearing within the 28 days of the date of service of the infringement notice then we may:

- issue a reminder notice; or
- take no further action.

However, it is our policy to automatically issue a reminder notice in this situation. Once a reminder notice is issued, the recipient is termed the 'defendant'.

The infringement reminder notice must be prepared using the Standard Regional Council Infringement Offence Reminder Notice template (L50) which is based on Form 10 in the First Schedule of the Summary Proceedings Regulations 1958. The reminder notice must contain the same information as contained in the infringement notice.

Payment of reminder infringement notice

The person issued with an infringement reminder notice has 28 days from the date of service of the reminder notice to pay the infringement fee or to request a Court hearing.

When the reminder notice fails to prompt payment of infringement fee

If the person issued with the infringement reminder notice has not paid the fee or requested a Court hearing within the 28 days of the service of the reminder notice then we may:

- take no further action; or
- file a copy of the reminder notice in the District Court.

A copy of the reminder notice must be filed with the District Court within six months of the date of the original infringement offence or when we first became aware or should have reasonably known that an infringement offence had been committed. At this point an order is deemed to have been made that the person issued with the infringement reminder notice must pay a fine equal to the amount of the infringement fee plus costs. The Department for Courts is now responsible for collecting the fine.

The decision to file an unpaid reminder notice with the District Court must be approved by the Departmental Manager.

6.14 Challenges to Infringement Notices

A person receiving an infringement notice may raise “any matter relating to circumstances” of the offence in writing within 28 days of receiving the infringement notice. We have the discretion to accept the circumstances raised and take no further action or to continue with the infringement process by issuing a reminder notice.

Any decision to take no further action must be approved by the Department Manager. Where we decide to take no further action the defendant should be notified in writing as a matter of courtesy.

6.15 When a Court Hearing is Requested

Request for a Court hearing

A Court hearing can only be requested by the person issued with an infringement notice. The request must be in writing and signed by the person who was served with the infringement notice.

If a Court hearing is requested, we may:

- take no further action (i.e., cancel the infringement notice); or
- start the court proceedings by filing a notice of hearing in Court together with the letter from the person admitting or denying liability.

Liability admitted

A person receiving an infringement notice can admit liability and request a District Court hearing before or within 28 days of receiving a reminder notice. The person receiving the

infringement notice will include a written submission asking the Judge to consider reducing the infringement fee.

In this situation, we may either:

- take no further action; or
- file a notice of hearing with the Court.

We do not need to serve a copy of the notice of hearing on the defendant. The Court decides the case without oral submissions from the local authority or defendant.

Liability denied

A person receiving an infringement notice may deny liability and seek a Court hearing before or within 28 days of receiving a reminder notice.

In this situation, we may either:

- take no further action; or
- file a notice of hearing with the Court. We must serve a copy of the notice of hearing on the defendant.

The defendant is required to present their case to the Court. However, if the defendant does not turn up to the hearing then we still need to present evidence to prove the case.

Decision to take no further action

Any decision to either take no further action or proceed with a Court hearing must be approved by your Department Manager. Where we decide to take no further action the defendant should be notified in writing as a matter of courtesy.

Don't forget to give a copy of the cancellation notice to the Administration Officer so that the infringement notice tracking system can be updated.

Decision to proceed with Court hearing

Prepare the notice of hearing in respect of the infringement offence using the standard Regional Council Notice of Hearing template (L51) which is based on Form 10A in the First Schedule of the Summary Proceedings Regulations 1958.

An infringement notice hearing under the Local Government Act 1974 will be heard in the District Court before District Court Judge.

6.16 Defences Against Infringement Offences

The following defences are set out in Schedule 2 of the Local Government (Infringement Fees for Offences: Wellington Regional Navigation and Safety Bylaws) Regulations 2002(a) that the fee has been paid in full, or

7. Prosecution

7.1 Statutory Grounds

Section 650g + 699 (breach of bylaws) specifies offences against the Act and section 683 specifies the penalties for the offences. Refer to Table 1 of this manual for further information.

7.2 Standard of Proof

The standard of proof for a prosecution is the criminal standard, i.e., *beyond reasonable doubt*. The burden of proof is on the prosecution to prove every element of the offence, including proving the chain of events leading to the offence and that the defendant was responsible for the offence.

A prosecution must prove, by evidence which is admissible in Court, the following elements:

- What happened?
- When did it happen?
- Where did it happen?
- How did it happen?
- Who was involved?
- That there was an offence.
- A connection between the defendant and the incident giving rise to the offence.

Prosecutions for offences under section 699 must be laid in the District Court. Where the offence is a *summary offence*, i.e., punishable by a term of imprisonment exceeding three months, the defendant can elect trial by jury and the case will be heard in the District Court by a District Court Judge.

Rules of law about evidence exist for *hearsay*, *opinion*, documenting evidence and producing evidence in the District Court.

Strict liability

In any prosecution for an offence of contravening or permitting a contravention of any of sections ??? of the Act, it is not necessary to prove that the defendant intended to commit the offence [s 314(1)]. However, there must be a causal connection or a link between the defendant and the events giving rise to the offence. ???

7.3 Authority to Initiate Prosecution

The final decision about whether to *lay an information* will be made by a Department or Divisional Manager.

7.4 Legal Advice

Legal advice must be obtained to determine:

- If the evidence is robust enough to meet the standard of proof *beyond reasonable doubt*;
- That correct charges are laid against the correct persons;
- The likelihood of success; and
- The validity of the rule or condition where the prosecution is for a breach of a rule in a plan or a resource consent condition.

Before seeking legal advice you must have the approval of your Department Manager. A purchase order must be completed before legal advice is sought.

Project charge codes for legal costs associated with the enforcement proceedings:

-
-

The request for legal advice should be in writing and specify in detail the scope of the advice required and outline the steps we want counsel to take on our behalf. The letter requesting advice should be checked and signed by the Department Manager.

7.5 Timeframes

The time limit for laying an information relating to an offence is twelve months from the time when the contravention was first discovered or ought to have been discovered by the Regional Council. The clock starts when the officer has sufficient information which shows that it is likely that an offence has occurred and to justify an investigation into the matter.

Where the offence charged is a continuing offence, the time runs from each and every day the offence continues.

7.7 Awards of Costs

Successful prosecutions

Under the Costs in Criminal Cases Act 1967 the Court may also order the defendant to pay a sum to the Council towards the cost of bringing the prosecution, i.e., legal costs. The amount able to be awarded is restricted except in complex cases. In practice only a small proportion of legal costs are usually recoverable. There is no provision for recovering cost of staff time and their expenses in preparing for the prosecution.

It is important to maintain a clear record of time spent by officers investigating the incident. These non-legal costs will need to be itemised in a letter from the Accountant, Environment Division. Staff time is charged at salary rates rather than at charge out rates.

Unsuccessful prosecutions

Under the Costs in Criminal Cases Act 1967 defendants can claim costs against the Council where prosecutions have been unsuccessful. The defendant can apply for costs when a prosecution is withdrawn by the Regional Council before a hearing.

7.8 General Procedure Once a Decision to Prosecute is Made

Preparing charges

Our legal counsel will prepare the appropriate charges. Usually multiple charges will be involved. Parameters include:

- Which parties to prosecute (principal, agent, employee);
- Offence committed; and
- Direct liability or vicarious liability (liability of a principal for acts of an agent or employee).

Laying charges against the defendant

Prosecutions are dealt with by the District Court. Once a decision has been made to prosecute we submit through our legal counsel a document to the District Court which states the offence the person is being charged with. This process is termed the *laying of the information*. The information must fairly inform the defendant of the substance of the offence with which they are charged. The information must be signed and witnessed by Departmental or Divisional Manager.

Serving summons on the defendant

The District Court will prepare the summons for the defendant, which consists of a copy of the information and the date and time of the hearing. The summons will be sent to the Regional Council or to our legal counsel so we can arrange to serve the summons on the defendant in a way that meets the requirement of the Act and the Summary Proceedings Act 1957.

If the Regional Council is going to serve the summons a council officer must be expressly authorised by the Court Registrar in accordance with the Summary Proceedings Act 1957. The summons can be served in person or by way of registered post. The service address must be checked against the address on the valuation/electoral roll. The method of service of a summons on the defendant is set out in section 24 of the Summary Proceedings Act 1957. An affidavit of service will then need to be prepared by the person who has carried out the service.

Collation of evidence

All material relating to the offence should be put into one file. The following documents should be collated (from all Departments):

- Correspondence (e.g., warning letters, explanations etc.)
- Telephone logs
- Field note book entries
- Witness statements
- Investigation reports (including database printouts)
- Photographs
- Chain of custody documents
- Sample analyses

Prepare a report addressed to legal counsel (so as to ensure legal privilege) which outlines all the above information. Where relevant, prepare a plan showing each of the sample points and photograph points and include this in the report to legal counsel.

Summary of facts

Once charges have been laid a summary of facts is prepared by our legal counsel. The summary of facts is a concise account of the essential elements of the offence which can be proven if necessary. This is presented to the defendant. If the defendant agrees with the summary of facts and enters a guilty plea then the summary of facts is used by the Judge for sentencing purposes. The initial objective of a summary of facts is to try and achieve a guilty plea which may involve some degree of bargaining to reach an agreed summary of facts.

Guilty plea

If a guilty plea is entered, the Regional Council's legal counsel will read out the summary of facts to the Court. The solicitor representing the defendant will then present evidence in mitigation. These submissions assist the Judge to set an appropriate penalty.

Defended hearing

If the defendant pleads not guilty then a defended hearing is held. A full brief of evidence needs to be prepared.

Preparing brief of evidence

You will need to prepare a written brief of evidence. See Appendix 4 of this manual for information on how to do this.

Agreement on evidence

Before any defended hearing, our legal counsel will endeavour to reach agreement with the defendant's counsel, as to an agreed bundle of documents. These documents can then be submitted to the Court by agreement rather than formally proven. Our legal counsel will also endeavour to reach agreement that statements of evidence can be read by the witness concerned.

When evidence is not agreed upon

If neither documents nor statements of evidence of evidence can be agreed upon then evidence will all be led orally. See Appendix 4 of this manual for further information.

Circulating evidence before the Court hearing

If prosecution is to proceed, four copies of the evidence are required. One copy each for our records, our legal counsel, the defendant and the Judge.

Discovery of evidence

Most, if not all, defendants will seek *discovery* which means that they are entitled to copies of all our documents except advice from our legal counsel (which is legally privileged). When a defendant asks to see our records you must ensure that you provide everything that they are legally entitled to. Failure to do so may result in an unsuccessful action (technical knock out).

As well as providing a full copy of the file (minus legal advice) you should also give them photocopies of hand written notes, copies of photos, printouts from databases, handwritten notes from your telephone log, field note book, lab analyses, and any video or audio tapes.

Order of Court proceedings

The normal order of proceedings is as follows:

- (1) Legal counsel acting for the Regional Council (informant) gives an opening address.
- (2) The Regional Council's evidence is presented.
 - (a) Legal counsel acting for the defendant may *cross-examine* any of the Regional Council witness's evidence. This gives the defendant's Legal counsel an opportunity to scrutinise and test the evidence of the Regional Council witness.
 - (b) Legal counsel acting for the Regional Council may *re-examine* the Regional Council witness's evidence.
- (3) Legal counsel acting for the defendant gives an opening address.
- (4) The defendant's evidence is presented.
 - (a) Legal counsel acting for the Regional Council may *cross-examine* any of the defendants witness's evidence.
 - (b) Legal counsel acting for the defendant may *re-examine* the defendants witness's evidence.
- (5) Legal counsel acting for the defendant gives a closing address.
- (6) Legal counsel acting for the Regional Council gives a closing address.

Cross-examination during a Court hearing

The purpose of cross-examination is to give legal counsel for the defendant an opportunity to scrutinise and test the evidence presented by the Regional Council. Re-examination of the Regional Council evidence by the Regional Council's legal counsel is also allowed to address any matters that have arisen during cross-examination.

See Appendix 4 of this manual for further information.

Sentencing

Refer to Chapter 8.8 of the LGNZ Resource Management Enforcement Manual for a discussion of sentencing factors relevant in ??? prosecutions taken under the Act.

PROACTIVE RELEASE

8. Defences

Where a prosecution is being undertaken or contemplated you must be aware of the following defences available to the defendant.

8.1 Defences under the Act

Section ??? of the Act

Section states that for any prosecution for an offence it is not necessary to prove that the defendant intended to commit an offence – this is termed *strict liability*. However, there must be a causal connection or link between the defendant and the events giving rise to the offence.

To have a defence under section the defendant needs to prove *on the balance of probabilities* that:

- Their action was necessary to protect life, property from serious damage, or to prevent an adverse effect of the environment; and
- Their conduct was reasonable; and
- The effects have been adequately remedied or mitigated.

Or

- Their action was due to an event beyond their control, such as natural disaster, mechanical failure, or sabotage and this could not have been reasonably been foreseen or provided against and the effects have been adequately remedied or mitigated.

This defence under section is essentially a codification of the common law of due diligence.

The defendant is obliged to file a notice stating their intention to rely on the defences in section of the Act and to state the facts which support their defence within seven days after the service of the summons.

Liability of principals - section ??? of the Act

Where a principal is a natural person and is charged with an offence carried out by their agent they have a defence if they can prove that they did not know nor could reasonably be expected to have known that the offence was to be or was being committed; or that they took all reasonable steps to prevent the commission of the offence; and took all reasonable steps to remedy any effects of the act or omission giving rise to the offence.

Where a principal is a body corporate and is charged with an offence carried out by their agent they have a defence if they can prove that neither the directors nor any person concerned in the management of the body corporate knew or could reasonably be expected to have known that the offence was to be or was being committed; or took all reasonable

steps to prevent the commission of the offence; and took all reasonable steps to remedy any effects of the act or omission giving rise to the offence.

8.2 Other Defences

No case to answer

The defence will succeed if the prosecution fails to prove any essential part of the case or the facts proved by the prosecution do not amount in law to any offence. For example, the defendant may state that they are not responsible for the offence, i.e., the offence committed by someone else.

Case not established beyond reasonable doubt

The defendant may present evidence which creates doubt in the mind of the Judge and/or jury as to whether all essential elements of the charge exist. For example, a failure by the prosecution to eliminate other potential sources of contamination.

Defective rule in bylaws

The defence may argue that the bylaws in the plan is invalid or *ultra vires*. This means that the rule is not within the power of the council to make or it does not have enough certainty to be valid.

Technical knock out

This may occur when some area of procedure required under the Act was not followed, for instance service not effected correctly or failure to show warrant.

Appendix 1. Legal Terms

[mostly taken from Canadian web site Duhaime's Law Dictionary www.duhaime.org/dict-a.htm]

Agent

A person who has received the power to act on behalf of another, binding that other person as if he or she were themselves making the decisions. The person who is being represented by the agent is referred to as the "principal".

Affidavit

A statement which before being signed, the person signing takes an oath that the contents are, to the best of their knowledge, true. It is also signed by a notary or some other judicial officer that can administer oaths, to the effect that the person signing the affidavit was under oath when doing so. These documents carry great weight in Courts to the extent that judges frequently accept an affidavit instead of the testimony of the witness.

Applicant

The person who brings a case to court, also called informant. The person being taken to court is generally called the defendant or the respondent.

Contempt of court

An act of defiance of court authority or dignity. Contempt of court can be direct (swearing at a judge or violence against a court officer) or constructive (disobeying a court order). The punishment for contempt is a fine or a brief stay in prison (i.e., overnight). Section 282 of the Resource Management Act 1991 has provisions for contempt of court.

Cross-examination

In trials, each party calls witnesses. Each party may also question the other's witness(es). When you ask questions of the other party's witness(es), it is called a "cross-examination" and you are allowed considerably more latitude in cross-examination than when you question your own witnesses (called an examination-in-chief). For example, you are not allowed to ask leading questions to your own witness whereas you can in cross-examination.

Defendant

The person, company or organisation who defends a legal action initiated by an informant, i.e., a prosecution. The person receiving an infringement reminder notice is also known as the defendant.

Evidence

Proof of fact(s) presented at a trial. The best and most common method is by oral testimony; where you have an eye-witness swear to tell the truth and to then relate to the court (or jury) their experience. Evidence is essential in convincing the judge or jury of your facts as the judge (or jury) is expected to start off with a blank slate; no preconceived idea or knowledge of the facts. So it is up to the opposing parties to prove (by providing evidence), to the satisfaction of the court (or jury), the facts needed to support their case. Besides oral testimony, an object can be deposited with the court (e.g. a signed contract).

This is sometimes called "real evidence." In other rarer cases, evidence can be circumstantial.

Exhibit

A document or object shown to the court as evidence. Exhibits are each given a number or letter by the court clerk as they are introduced for future reference during the trial. For example, weapons are frequently given as exhibits in criminal trials. Except with special permission of the court, exhibits are locked up in court custody until the trial is over. An example of an exhibit in a resource management prosecution is a sample of contaminated water or a photo.

Hearsay

Any evidence that is offered by a witness of which they do not have direct knowledge but, rather, their testimony is based on what others have said to them. For example, if Bob heard from Susan about an accident that Susan witnessed but that Bob had not, and Bob attempted to repeat Susan's story in court, it could be objected to as "hearsay". The basic rule, when testifying in court, is that you can only provide information of which you have direct knowledge. In other words, hearsay evidence is not allowed. Hearsay evidence is also referred to as "second-hand evidence" or as "rumour". You are able to tell a court what you heard, to repeat the rumour, and testify that, in fact, the story you heard was told to you, but under the hearsay rule, your testimony would not be evidence of the actual facts of the story but only that you heard those words spoken.

Indictable offence

An offence that is more serious than those which can proceed by summary conviction. Murder is an example of a crime which would be an indictable offence.

Interim order

A temporary court order; intended to be of limited duration, usually just until the court has had an opportunity of hearing the full case and make a final order.

Judicial review

When a court decision is appealed, it is known as an "appeal". But there are many administrative agencies or tribunals which make decisions or deliver government services of one sort or another (for example, the Regional Council), the decisions of which can also be "appealed". In many cases, the "appeal" from administrative agencies is known as "judicial review" which is essentially a process where a court of law is asked to rule on the appropriateness of the administrative agency or tribunal's decision. Judicial review is a fundamental principle of administrative law. A distinctive feature of judicial review is that the "appeal" is not usually limited to errors in law but may be based on alleged errors on the part of the administrative agency on findings of fact.

Leading question

A question which suggests an answer; usually answerable by "yes" or "no". For example: "Did you see David at 3 p.m.?" These are forbidden to ensure that the witness is not coached by their lawyer through his or her testimony. The proper form would be: "At what time did you see David?" Leading questions are only acceptable in cross-examination or where a witness is declared hostile.

Legal privilege

Relates to discussions or correspondence between a lawyer and the person who is being represented by the lawyer. Such discussions and documents remain confidential between the lawyer and client and do not need to be disclosed to the Court or any other third party.

Natural justice

A word used to refer to situations where *audi alteram partem* (the right to be heard) and *nemo iudex in parte sua* (no person may judge their own case) apply. The principles of natural justice were derived from the Romans who believed that some legal principles were "natural" or self-evident and did not require a statutory basis. These two basic legal safeguards govern all decisions by judges or government officials when they take quasi-judicial or judicial decisions.

Prima facie

(Latin) A legal presumption which means "on the face of it" or "at first sight". Law-makers will often use this device to establish that if a certain set of facts are proven, then another fact is established prima facie. For example, proof of mailing a letter is *prima facie* proof that it was received by the person to whom it was addressed and will be accepted as such by a court unless proven otherwise. Other situations may require a *prima facie* case before proceeding to another step in the judicial process so that you would have to at least prove then that at first glance, there appears to be a case.

Principal

An agent's master; the person for whom an agent has received instruction and to whose benefit the agent is expected to perform and make decisions.

Respondent

The party that "responds to" an application for an order filed in the court against them by an applicant. Also the party that "responds" to someone that has appealed a court decision (i.e., an appellant).

Strict liability

There is no need for the prosecution to prove intent, negligence or fault (*mens rea* = wrongful intention); as long as you can prove that the defendant committed the offence (*actus rea*). The defence of due diligence (reasonable care) is available for a strict liability offence. The defences in section 341(2) of the Resource Management Act 1991 are a codification of the common law defence of due diligence.

Subjudice

While a matter is under judicial consideration (before the Court) media comment on the case is prohibited because the Court is still debating the matter.

Summary conviction offence

In NZ, a less serious offence than indictable offences for which both the procedure and punishment tends to be less onerous. A summary offence is one that you are "summoned" and must appear before a court. A summary offence is one that is punishable by a term in prison of more than three months.

Ultra vires

(Latin) Without authority. An act which is beyond the powers or authority of the person or organisation which took it.

Vicarious liability

When a person is held responsible for the liability of another even though the person being held responsible may not have done anything wrong. This is often the case with employers who are held vicariously liable for the damages caused by their employees.

Without prejudice

A statements set onto a written document which qualifies the signatory as exempted from it's content to the extent that they may be interpreted as containing admissions or other interpretations which could later be used against the person signing; or as otherwise affecting any legal rights of the person signing. A lawyer will often send a letter "without prejudice" in case the letter makes admissions which could later prove inconvenient to the client.

Witness

The regular definition of this word is a person who perceives an event (by seeing, hearing, smelling or other sensory perception). The legal definition refers to the court-supervised recital of that sensory experience, in writing (deposition) or verbally (testimony).

Appendix 2 – Formal Enforcement Guidelines

Infringement Notice Guidelines

May be appropriate where the incident is:

- A first offence where the effects are serious or significant;
-
- A breach of written warning where the effects are no more than minor.

May be appropriate where:

- You are confident that the case would stand up in court (i.e., the case can be proven beyond reasonable doubt);
- You are certain that you will not want to prosecute for the offence at a later stage;
- You consider that the use of an infringement notice is likely to be a viable deterrent;
- You believe that the fine incurred from the infringement notice is sufficient for the severity of the offence committed;
- An instant penalty is considered to be desirable;

May not be appropriate where:

- The non-compliance is ongoing and not within the alleged offender's capacity to remedy quickly;
- You consider the penalty prescribed on the notice would be inadequate for the severity of the offence;
- The evidence collected is insufficient or not robust, so that if it were to go to a court hearing it would be unlikely to succeed;
- Multiple non-compliance has occurred;

Prosecution Guidelines

May be appropriate where the incident:

- Involves serious or significant threat to the well being of other water users and/or significant damage to property;
-
- Was a result of deliberate action or non-action, i.e., involves intentional or reckless breach of the Bylaws;
- Was foreseeable and not prevented against;
-
- Is a repeat serious offence.

May be appropriate where:

- A prosecution will act as a deterrent to others and/or punish the offender;
- A prosecution is in the public interest;

- Charges can be formally laid within six months of the Regional Council first becoming aware of the offence;
- Other enforcement measures have failed (infringement notices)
- The offender is uncooperative;
- The offender has failed to act on prior requests or instructions from the Regional Council;
- Legal advice indicates that all elements of the offence can be proven beyond reasonable doubt, including causation and who is responsible for the offence.

May not be appropriate where:

- Defendant has a defences;
- Regional Council is not able to prove all elements of the offence beyond reasonable doubt.



PROACTIVE RELEASE

Appendix 3 – Schedule of Infringement Offences and Fees

PROACTIVE RELEASE

Appendix 4 - Presenting Evidence in Proceedings

1. Affidavits

Evidence may be given in the form of a sworn affidavit. This is a written statement that you sign in the presence of a solicitor from a firm other than that which is representing you in the Court proceedings. Where affidavit evidence is given in the Environment Court, you do not need to attend the Court unless the opposing parties wish to cross-examine you. In the District Court rules about the use of affidavits are less flexible; an affidavit can only be used in relation to particular facts and will not be allowed where a party wishes to cross-examine the person giving the evidence. The affidavit must be expressed in the first person, must include the witnesses' full name, occupation and place of residence. It must be signed and confined to matters that would be admissible if given in oral testimony.

Affidavits should:

- identify witnesses with first-hand evidence;
- qualify the Council officer as an expert;
- outline the officer's duties relevant to proceedings;
- include a site description – local street map, zoning maps, physical description;
- include relevant activity standards, if any;
- provide background material;
- outline the current situation;
- explain technical information in non-technical terms addressed to a lay person; and
- be limited to relevant information but tell the full story (don't try to be brief).

2. Written Brief of Evidence

In the District Court parties will have a copy of your written brief in front of them. As far as possible you should keep to the written brief. You will normally be able to correct any errors as you go and sometimes add in the occasional comment or explanation. You should however discuss any departures from your written brief of evidence with counsel before giving evidence.

Briefs of evidence should:

- Show that the offence occurred and who was responsible;
- Show that the relevant Bylaws or Maritime Rules does not authorise the activity in question (NB the Bylaw which is relevant is the plan as it was at the time of the offence, not including any subsequent amendments);
- Show that the offence occurred within the jurisdiction of a the Wellington Regional Navigation and Safety Bylaws;
- Prove ownership of the property (certified copy of title), if applicable; and
- Contain numbered photographs, keyed to a plan and put into a booklet, if photographs are to be submitted as evidence.

Briefs of evidence cannot include:

- *Hearsay* (e.g., details as to what a complainant told you when that complainant is not providing evidence); and
- Matters of opinion unless you are qualified to offer those opinions, i.e., an expert witness. An expert has formal qualifications and/or has gained experience in the area, e.g., a professional planner.

3. Oral Testimony

In the District Court you will usually be required to give oral (*viva voce*) evidence. Counsel will ask you questions based on your written brief of evidence prepared before the hearing (Counsel has a copy of your brief of evidence in front of them). You cannot give evidence in the District Court by reading from a prepared statement. You may, in some instances, with the consent of the Judge be able to refer to field notes or reports to refresh your memory.

In general examining counsel are not allowed to ask ‘leading questions’, i.e., those that suggest an answer. You will be instead asked ‘open ended’ questions intended to prompt you to give the relevant part of your evidence. These type of open-ended questions often begin with when, where, how, why, what etc. With this type of questioning it is important that you are familiar with your brief of evidence. It is also important to think about the purpose of the questions counsel is asking you. Usually counsel will have taken you through questions before the hearing. You must listen carefully to what is being asked and make a considered response.

4. Cross-examination

Witnesses may be cross-examined by opposing legal counsel. Although cross-examination is an opportunity for other parties to cast doubt upon your evidence, it also gives you an opportunity to reiterate some points. Your cross-examiner will try to give you little opportunity to further strengthen your evidence. Prior to the hearing our own legal counsel will identify the types of questions likely to be asked so that you are ready to deal with them.

Points to remember

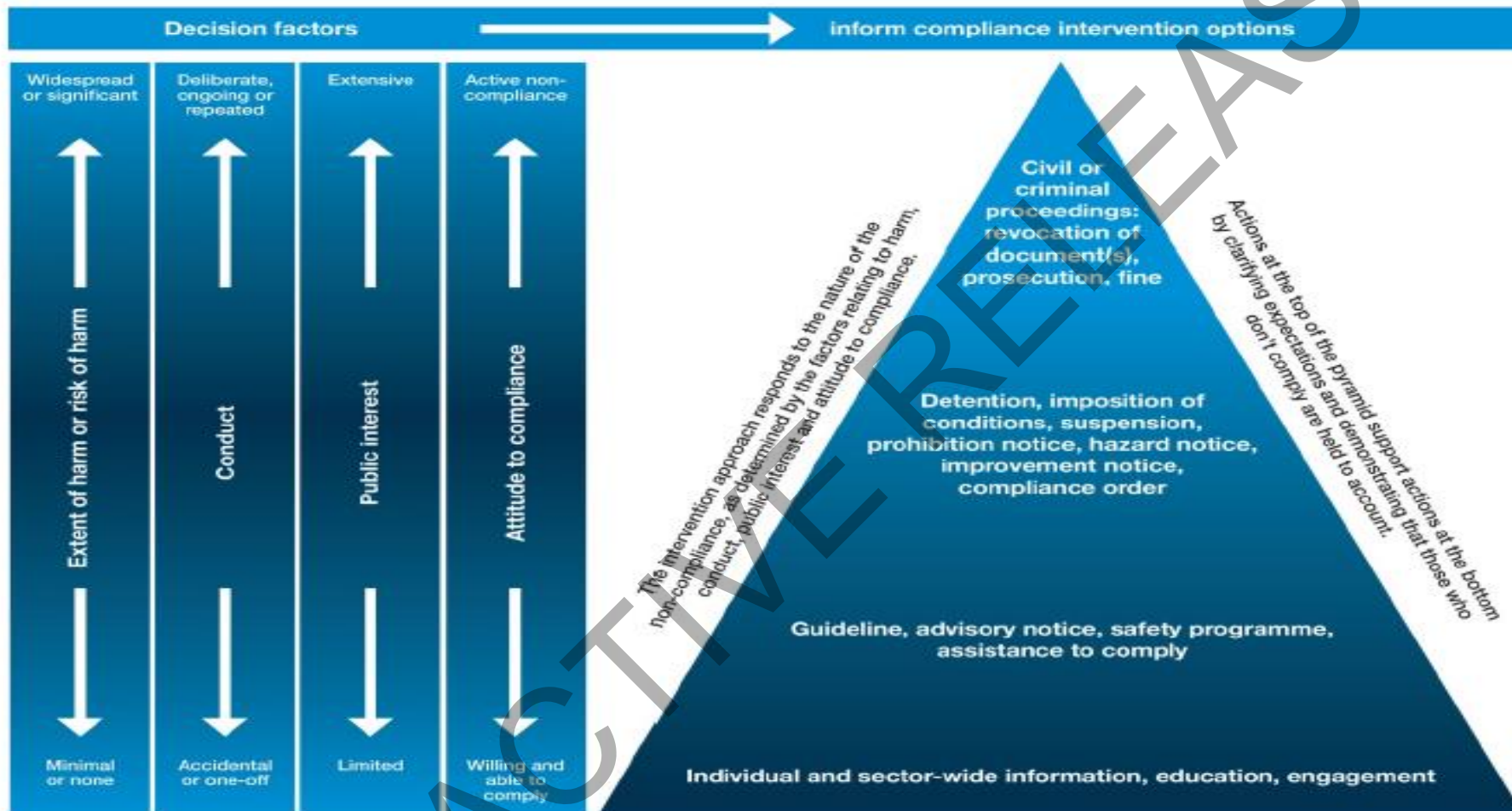
- Think about the question and take your time. Do not answer a question unless you understand it. If you do not understand the question or it is unclear, ask for clarification.
- Avoid the temptation to enter into a debate with cross-examining counsel or Judge. Always be courteous.
- Direct, positive answers are desirable. Avoid saying “possibly” or “I think”. Answer yes or no and then qualify an answer. Never guess at answers and if you do not know or cannot remember something then say so.
- Speak clearly and slowly when answering questions; do not allow the cross-examiner to cut off your reply.
- Admit mistakes; correct and if possible explain mistakes.
- Do not back down merely to avoid confrontation; defend your opinions so long as you honestly believe they are defensible.

- Avoid emotional involvement, arrogance or defensiveness.
- Watch your body language. Do not slouch or fidget. Direct long answers to the Judge rather than the cross-examiner. Try to establish eye contact. Pause or slow down if it appears that the Judge does not understand your response.
- Ask to see documents referred to in cross-examination to make sure you positively identify the document as one you have seen previously.
- Avoid talking to your legal counsel during breaks.

Note – information for this appendix largely taken from “How to be an effective expert witness” a presentation to the NZ Planning Institute by Duncan Laing and Philip Milne (Simpson Grierson Law) on 9 October 1997.

PROACTIVE RELEASE

Intervention Decision Guide



Key points:

- The approach chosen should be one that best deals with the matters being addressed – **education need not necessarily occur prior to enforcement**
- **More than one action might be appropriate** - it might be appropriate to prosecute an individual operator and undertake an education campaign in the relevant sector. The prosecution will reinforce the education campaign
- In all cases, **lessons learned should be identified** for use in publications to support improvement in safety, security and environmental protection.

Conflict of Interest Policy

Greater Wellington Regional Council (“GWRC”) policy to govern identification and management of conflicts of interest for employees and job applicants.

Policy owner	Group Manager, People & Customer
Role administering this policy	Head of Human Resources
Date policy comes into effect	The first working day following the date of approval by the Chief Executive
Related policies and legislation	Human Rights Act 1993 Privacy Act 2020 Local Government Act 2002 Local Authorities (Members’ Interest) Act 1968 Code of Conduct GWRC Collective Employment Agreement and Individual Employment Agreements GWRC Policy for employees wishing to make personal submission to GWRC Recruitment and selection policy GWRC Procurement guidelines
Policy Review date	By 31 December 2024
Policy history	


Chief Executive

Date: 31 May 2023

1 Introduction

GWRC relies upon the professionalism and integrity of its employees to make decisions on proper grounds, for legitimate reasons and without bias.

Employees may have a personal interest or obligation that may affect or conflict with their professional job duties or responsibilities.

A conflict may mean that the employee's objectivity or impartiality can be called into question without anyone being at fault. Such conflicts are inevitable in a small country, and with GWRC's functions so broad and far reaching into our community. This is not necessarily a problem if they are identified and managed properly.

Most often, what needs to be managed, and be seen to be managed, is the risk of adverse public perception that could arise from overlapping interests. Poorly managed 'perceived' conflicts of interest can be just as damaging as poorly managed 'actual' conflicts of interest.

2 Purpose

This policy provides definitions and a process to identify and manage conflicts of interest with employees and job applicants.

Generally, while employed as a staff member of GWRC, you have the same rights as a member of the public; however it is important that in exercising these rights you act consistently with these guidelines to manage any real or perceived risk of a conflict of interest.

3 Definitions and key concepts

The current GWRC employment agreements notes that "any employee who:

- (i) engages in any activity that adversely affects, or may adversely affect, an Employee's ability to carry out responsibilities toward the Employer, or
- (ii) engages, or proposes to engage, in business involving the Employer and any organisation in which the Employee or their immediate family has a pecuniary interest

is considered to have a conflict of interest or a potential conflict of interest."

A conflict of interest can be *actual* (it exists), *potential* (where the conflict is about to happen or could happen) or *perceived*, where other people might reasonably think that a person has been compromised by their interests. This can occur whenever a person's duties or responsibilities as an employee overlap with their other roles and responsibilities.

A conflict of interest usually falls into one or more of these categories:

- **personal** - an opportunity for an individual employee to gain advantage or benefit or to make a statement about or doing something that conflicts with GWRC's position or policy.

Examples include protesting (including activity on social media) about an issue associated with strongly held personal or political views e.g.1080, seeking preference for a hunting ballot, interviewing a job applicant when that person is known to you or working directly with someone whom you have a personal relationship;

- **family** - pressure for an individual employee to assist or provide an advantage or benefit to family or friends. Examples include employees managing a tender or vendor process who are offered gifts or inducements by the vendor (who is a relative) that could be perceived as influencing their decision e.g. free food, travel or accommodation. Another example is where an employee is involved in a GWRC procurement process who owns shares or has another financial interest in a company that is tendering for that business;
- **community** - an opportunity or pressure for an employee to provide an advantage or benefit to a community or stakeholder group. Examples include seeking priority access to councillor forums as a member of a charitable trust, club or association or private company, or not remaining politically neutral on an issue that relates to the employee's role in GWRC. Other examples include processing a consent relating to a community group you are engaged with, or pressure from a community group to move a bus stop.

4 Risks

Employees should manage their interests to avoid a conflict of interest situation arising as this could undermine trust and confidence in GWRC as well as the employee. It is not enough that an employee is honest or ethical, they must be seen to be so. Despite careful management, some actions just might look bad. The risk of negative public perception is more significant when the person concerned is in a senior position and responsible for providing advice to elected members and leading staff.

Pre-existing or inevitable conflicts, such as those that arise from connections or existing interests, are slightly different from a conflict created by pursuing an opportunity while in a position. An employee who wishes to pursue a private interest that might conflict with their role needs to consider the risk of adverse public perception of their actions as this type of conflict is likely to be perceived less favourably, e.g. a private financial interest.

5 Compliance

Employees will comply with the GWRC's Code of Conduct and their employment agreement. When a conflict of interest has been ignored, improperly acted on or influenced actions or

decision-making, the conduct (not the conflict itself) can be seen as misconduct, abuse of office or even corruption.

The Code of Conduct notes that employees will act in a politically neutral manner by “ensuring individual comments do not compromise GWRC e.g. by stating or implying that your personal view on an issue is the view of GWRC or putting yourself in a situation where there is an actual or potential conflict of interest”, and “ensuring your participation in political matters does not bring you into conflict or the appearance of conflict with your duty to act in a politically neutral manner”.

6 Managing the conflict

Employees need to know what a conflict of interest is, comply with the management process and encourage and support their colleagues to do the same.

The GWRC Employment Agreement and Code of Conduct note that employees will discuss the situation and “gain the manager’s approval before commencing any activity, business interest or employment that has the potential to conflict with GWRC activities”.

The GWRC Employment Agreement also notes that “While the conflict or potential conflict continues, the Employee may be stood down on annual leave or leave without pay. A conflict of interest, which is deliberate or pursued knowingly, is regarded as serious misconduct and may result in summary dismissal.”

An employee should consider the effect of choosing to pursue a private or financial interest, where that interest creates a conflict with their ability to perform their job. This requires thinking through possible scenarios, including whether the conflict might affect other areas of responsibility in the future. Their manager should also think through the implications and agree any plan to manage those implications.

6.1 Process and decision factors

The process for identifying and managing conflicts of interest is:

- i. GWRC will provide information for employees on how to identify and manage conflicts of interest. Human Resources will maintain a confidential register of all conflicts of interest and remind employees of the need to declare or update conflicts at least annually.
- ii. Job applicants will answer questions about any relevant conflict/s of interest on GWRC’s vacancy application form. If they are appointed to the position they will transfer information on any conflict noted on the application form to the interests register using the [online form](#).
- iii. The employee will declare or update the conflict of interest (actual, potential or perceived) as soon as it arises or they become aware of it, by discussing it with their manager and by recording it on the [online form](#). If unsure it is safer for the employee to disclose the interest in writing and to raise concerns as early as they become aware of a potential or perceived interest or duty that may conflict with a GW interest. An

interest may also be declared at a meeting or to the meeting chairperson and updated in the conflict of interests register. In the rare case that an employee is aware of an undisclosed interest of another employee, this should be discussed with Human Resources.

- iv. On receipt of the [online form](#), Human Resources will ensure that the manager of the employee and the relevant HR partner are aware of the declaration.
- v. The employee's manager (or other GWRC representatives such as a Group Manager, Manager HR Advisory Services, Head of HR and the CE) will consider the seriousness of the conflict and all available options to manage it. This includes any failure to disclose a conflict and any false or misleading declaration.

They will balance an employee's right to hold outside interests against GWRC's obligation to ensure its affairs are conducted with integrity and transparency. They will also consider the ethical and legal dimensions of the interest.

In weighting up the seriousness, the following factors may be considered

- the seriousness of the connection between the interests¹
- the risk that GWRC's capacity to make decisions lawfully and fairly may be compromised; and
- the risk that GWRC's reputation may be damaged i.e. "Does the employee's interest create an incentive (or risk of disadvantage) for them to act in a way that may not be in the best interests of GWRC?"

Other factors to consider include:

- do those involved have an undue advantage in any way?
- how transparent were any processes involved?
- what other options were considered, if any?
- How far within the organisation does the conflict extend (i.e. within one team, department, group, organisation wide?)

In deciding how to manage a conflict that could include the closeness of a relationship, the interests of any relative living with the employee are treated as being effectively the same as the interest of the employee.

Options to avoid or mitigate the effects of the conflict of interest include:

- No further action
- Requesting consent from affected parties for the employee's continued involvement
- Restricting the employee's involvement in an activity, access to information or removing them from an area of their work that conflicts with the interest

¹ Seriousness includes the type or size of the interest, the nature or significance of the decision or activity being carried out, the extent to which the interest could affect or be affected by GWRC's decision or activity and the nature and extent of the employee's current or intended involvement in GWRC's decision or activity.

- Recruiting another party to oversee part or all of the area of work that conflicts with the interest
 - Requesting that the employee to relinquish the interest that is causing the conflict
 - Redeployment or disciplinary action (which could include dismissal) may be considered as a last resort. This option would not be considered a last resort if the Code of Conduct had been breached.
- vi. The manager or GWRC representative (e.g. Group Manager) will decide on the best course of action after discussing it with the employee. They may also seek advice from their manager and/or Human Resources. They will also put the management plan into action and make sure it is effective and update the interests register noting the factors considered and action taken.
- vii. The employee will update or add any conflicts (actual, potential, perceived) into the GWRC conflicts of interests register at least annually. Register themes will be monitored by Human Resources and reported to ELT annually.



Greater Wellington Regional Council

Code of Conduct

November 2015

I acknowledge that I have read and understood the Code of Conduct and that I agree to abide by it.

Signed Date

Please return your acknowledgement slip to Human Resource at or prior to the commencement of your employment.



PROACTIVE RELEASE



greater WELLINGTON
REGIONAL COUNCIL

Greater Wellington Regional Council

Code of Conduct

November 2015

PROACTIVE RELEASE



Introduction

This is your personal copy of Greater Wellington's Code of Conduct.

This Code gives guidance on issues of particular importance to Greater Wellington. It is designed to support and reinforce Greater Wellington's values of focusing on 'positive, durable relationships', 'innovation', and 'delivering on our promises and commitments'.

Greater Wellington's strength relies upon the professionalism and integrity of our employees. For this reason, it is important that we define the standards of behaviour expected of employees and ensure that you are aware of those standards. The way you conduct yourself reflects on you, your colleagues and Greater Wellington as a whole.

As local government employees, our actions have the capacity to affect the lives of many people. Therefore, we must carry out our functions in a transparent manner and be accountable to our stakeholders, which include members of the public. We must be able to withstand public scrutiny and be prudent in the way we manage our business.

It is important that everyone who works at Greater Wellington meets these standards of behaviour when carrying out their duties at work. It is not my intention to expect everyone to be perfect and not make the occasional mistake. Mistakes can help us improve and develop. What is important is the manner in which we deal with mistakes. I expect everybody to acknowledge a mistake, take responsibility and work to resolve the mistake.

Please read this Code of Conduct carefully and continue to refer to it in your work. Discuss it with your manager and colleagues – it may have specific implications for your area of work.


Greg Campbell

Chief Executive

November 2015



Greater Wellington's expectations of all employees

Greater Wellington employees are expected to exercise sound judgement when determining their actions. It is important to be aware that our actions, internally and externally, need to be able to withstand public scrutiny.

As an employee you are expected to:

1. Act with integrity in all aspects of your employment by:

- Being fair, impartial, responsible and trustworthy.

2. Treat others with respect by:

- Being courteous, sensitive to others' needs and prepared to listen.
- Not discriminating, harassing or intimidating colleagues or members of the public.
- Valuing equality and diversity by understanding our differences.
- Respecting the cultural background of colleagues and members of the public.
- Having proper regard for the safety of others.
- Being open and honest in our communications.

3. Perform your duties to the best of your abilities by:

- Being professional and responsive.
- Showing commitment to producing high quality work and striving for continuous improvement.
- Demonstrating initiative and being creative in resolving problems. Seeking improved solutions.
- Making decisions appropriate to your role and being responsible for those decisions and their outcomes.
- Being supportive of your colleagues and accepting your responsibilities as a team member.



- Ensuring that you are not in possession of, or under the influence of illegal substances while performing work for Greater Wellington.
- Avoiding behaviour that would impair your work performance. This includes consuming alcohol at your place of work without the approval of your Department/General manager. Social Club events are deemed to have this approval. At all times you are expected to act in a socially acceptable and mature manner.
- Complying with the code of any professional body that you are affiliated with where this impacts upon your work with Greater Wellington.

4. Uphold the reputation and standing of Greater Wellington by:

- Being positive and proactive in your customer service (e.g. by ensuring that customers get the information they need in the timeframes agreed).
- Obtaining your manager's approval before commencing any activity, business interest or employment that has the potential to conflict with Greater Wellington activities.
- Maintaining the same standard of behaviour, as when you are at work, when travelling on Greater Wellington business or in situations where you could be perceived as a representative of Greater Wellington.
- Complying with Greater Wellington's media policy by ensuring all media contacts are notified to General Managers and the Communications Department.
- Having a neat and tidy standard of dress appropriate to your duties.
- Behaving in a manner that will not bring Greater Wellington into disrepute.
- Complying with all Greater Wellington policies, processes, standards and values.

5. Act in a politically neutral manner by:

- Ensuring that advice given and actions taken are impartial and maintain public confidence.
- Ensuring your individual comments do not compromise Greater Wellington (e.g. by stating or implying that your personal view on an issue is the view of Greater Wellington or putting yourself in a situation where there is an actual or potential conflict of interest).
- Ensuring that your activities and contribution to any public debate or discussion are consistent with the need for you to be politically neutral in your work.



- Ensuring that you do not publicly criticise Greater Wellington in the performance of its statutory responsibilities.
- Ensuring your participation in political matters does not bring you into conflict or the appearance of conflict with your duty to act in a politically neutral manner.
- Ensuring that you do not let your personal beliefs or commitments adversely affect your ability to carry out your functions at Greater Wellington.

6. Use Greater Wellington information and property appropriately by:

- Being responsible for the security of confidential information that you gain during your employment with Greater Wellington. Using all information gathered by Greater Wellington, and your knowledge of systems and processes, to perform Greater Wellington's business only.
- Treating all Greater Wellington's assets with care and respect.

7. Act within the law and all relevant legislation

- Ensuring that you act in accordance with the law generally and all legislation which impacts upon your work at Greater Wellington, in particular.

Additional expectations of managers

There are additional expectations of managers who lead teams.

As a manager you are expected to:

- Guide employees in accordance with Greater Wellington policies, processes, standards and systems that are in place to support you in your role as a manager (e.g. training and development programmes, performance management processes).
- Lead by example. Model the standard of behaviour expected of all employees.
- Represent Greater Wellington when interacting with your staff.
- Take final responsibility for the quality of work performed and the decisions made by your employees while performing work for your Department.



Consequence of behaviour in breach of the Code of Conduct

Behaviour or actions that are investigated and found to be in breach of the Code of Conduct may result in disciplinary action. The action taken will depend on the severity of the breach. In all instances you will have an opportunity to provide an explanation of your conduct and have the right to be represented by your Union or another representative.

Details of the disciplinary process and procedure can be found in the Collective Employment Agreement and Individual Employment Agreements and any applicable policies.

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