

**Reprint
as at 12 March 2015**



**Employment Relations Authority
Regulations 2000
(SR 2000/186)**

Michael Hardie Boys, Governor-General

Order in Council

At Wellington this 18th day of September 2000

Present:
His Excellency the Governor-General in Council

Pursuant to section 237 of the Employment Relations Act 2000, His Excellency the Governor-General, acting on the advice and with the consent of the Executive Council, makes the following regulations.

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Note

Changes authorised by subpart 2 of Part 2 of the Legislation Act 2012 have been made in this official reprint.

Note 4 at the end of this reprint provides a list of the amendments incorporated.

These regulations are administered by the Ministry of Business, Innovation, and Employment.

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Regulations

- 1 Title**
These regulations are the Employment Relations Authority Regulations 2000.
- 2 Commencement**
These regulations come into force on 2 October 2000.
- 3 Interpretation**
- (1) In these regulations, unless the context otherwise requires,—
- Act** means the Employment Relations Act 2000
- address for service**, in relation to any party, means the address from time to time given by or on behalf of that party in accordance with regulation 15
- Authority** means the Employment Relations Authority established by section 156 of the Act
- court** means the Employment Court established by section 186 of the Act
- officer of the Authority** means any employee of the department designated by the chief executive under section 185 of the Act to act as an officer of the Authority

overseas party means a party—

- (a) who is to be served out of New Zealand; or
- (b) who has been served out of New Zealand

registered post includes any postal service providing a system of recorded delivery, whether provided by New Zealand Post Limited or not.

- (2) In these regulations, unless the context otherwise requires,—
 - (a) a word or expression defined in the Act has the same meaning as it has in the Act;
 - (b) a reference to a numbered form is a reference to the form so numbered in Schedule 1.

Compare: SR 1991/227 r 2

Regulation 3(1) **overseas party**: inserted, on 10 December 2004, by regulation 3 of the Employment Relations Authority Amendment Regulations 2004 (SR 2004/423).

4 Application

- (1) These regulations are not to be strictly interpreted or applied, but are to be interpreted and applied in a way that best enables the Authority—
 - (a) to support successful employment relationships and the good faith obligations that underpin them; and
 - (b) to determine the substantial merits of any case, without regard to technicalities; and
 - (c) to deliver speedy, informal, and practical justice to the parties to any matter before it.

- (2) Subclause (1) does not limit the power of the Authority to give, in relation to any case before it, any directions that are necessary or expedient in the circumstances of the case.

Compare: SR 1991/227 r 3

Commencement of proceedings

5 Commencement of proceedings

- (1) Any person may commence proceedings before the Authority if that person wishes the Authority to resolve any matter, being—
 - (a) an employment relationship problem; or
 - (b) any other matter in respect of which the Authority has jurisdiction.

- (2) A person commences proceedings by lodging with an officer of the Authority 2 copies of an application that complies with these regulations.
- (3) Except as provided in regulations 9A, 10, and 12, the application must be in form 1.

Regulation 5(3): amended, on 12 March 2015, by regulation 4 of the Employment Relations Authority Amendment Regulations 2015 (LI 2015/13).

6 Statement of problem or matter

- (1) The application must—
 - (a) include a statement of the problem or matter to which the application relates; and
 - (b) be accompanied by the prescribed fee.
- (2) The statement may deal with more than 1 problem or matter.

7 Undertaking in relation to application for interim reinstatement

- (1) If an employee applies, under section 127(1) of the Act, for an order for the interim reinstatement of the employee, the employee must, at the time of lodging the application, file 2 copies of a signed undertaking that the employee will abide by any order made by the Authority in respect of damages—
 - (a) that are sustained by the other party through the granting of the order for interim reinstatement; and
 - (b) that the Authority decides that the employee ought to pay.
- (2) the undertaking must be in form 2.

Statement in reply

8 Statement in reply

- (1) Subject to any directions given by the Authority in relation to any particular case, a party who has been served with an application lodged under regulation 5 or regulation 10 or regulation 12 and who intends to reply or respond to the application must, within 14 days after the date of the service of the application on that party, lodge with an officer of the Authority 2 copies of a statement in reply.
- (2) The statement in reply must be—

- (a) in form 5 if it relates to an application for a determination as to whether bargaining has concluded:
 - (b) in form 3 in any other case.
- (3) If a party fails to lodge a statement in reply within the time specified in subclause (1), that party is entitled to reply or respond to the application only with the leave of the Authority.
- (4) Leave may be granted on such terms and conditions as the Authority thinks fit.
- (5) In subclause (1), **days** does not include any day in the period beginning with 25 December in any year and ending with 5 January in the following year.

Regulation 8(2): replaced, on 12 March 2015, by regulation 5 of the Employment Relations Authority Amendment Regulations 2015 (LI 2015/13).

9 Commencement of investigation

The Authority may, in a particular case, if it considers it appropriate, commence investigating a matter, or hold an investigation meeting, whether or not—

- (a) a statement in reply has been lodged under regulation 8(1); or
- (b) the period of time specified in regulation 8(1) for the lodging of a statement in reply has still to expire.

Regulation 9(a): amended, on 10 December 2004, by regulation 4 of the Employment Relations Authority Amendment Regulations 2004 (SR 2004/423).

Determination as to whether collective bargaining has concluded

Heading: inserted, on 12 March 2015, by regulation 6 of the Employment Relations Authority Amendment Regulations 2015 (LI 2015/13).

9A Determination as to whether bargaining has concluded

Every application under section 50K of the Act for a determination as to whether bargaining has concluded must—

- (a) be lodged with an officer of the Authority; and
- (b) be in form 4; and
- (c) be accompanied by the prescribed fee.

Regulation 9A: inserted, on 12 March 2015, by regulation 6 of the Employment Relations Authority Amendment Regulations 2015 (LI 2015/13).

Reopening investigation

10 Application to Authority to reopen investigation

Every application under clause 4 of Schedule 2 of the Act to reopen an investigation must—

- (a) be lodged with an officer of the Authority; and
- (b) be in form 6; and
- (c) be accompanied by the prescribed fee.

Regulation 10(b): amended, on 12 March 2015, by regulation 7 of the Employment Relations Authority Amendment Regulations 2015 (LI 2015/13).

Referral of question of law

11 Referral of question of law to court

If, under section 177 of the Act, the Authority refers a question of law to the court for its opinion, the reference must—

- (a) state fully but concisely the material facts of the problem or matter to which the question of law relates; and
- (b) state fully but concisely the question of law; and
- (c) be signed by the relevant member of the Authority.

Compare: SR 1991/227 r 22

Removal of matters

12 Removal of matters to court

Every application under section 178 of the Act for the removal of a matter, or part of a matter, to the court must—

- (a) be lodged with an officer of the Authority; and
- (b) be in form 7; and
- (c) be accompanied by the prescribed fee.

Compare: SR 1991/227 r 23

Regulation 12(b): amended, on 12 March 2015, by regulation 8 of the Employment Relations Authority Amendment Regulations 2015 (LI 2015/13).

Place for lodging documents

13 Place for lodging originating document

- (1) Every application or other originating document lodged with an officer of the Authority must be lodged in such office of the Authority (being an office in Auckland, Wellington, or Christchurch)—

- (a) as the person lodging the application or other originating document considers to be nearest by the most convenient route to the place at which the events that gave rise to the problem occurred; or
 - (b) as is agreed on by the parties and noted on the application or other originating document.
- (2) An officer of the Authority or member of the Authority may, of his or her own motion, or upon application, direct the transfer of any proceedings from any office of the Authority to any other office of the Authority.

Compare: SR 1991/227 r 33

14 Place for lodging other documents

Every document to be lodged in proceedings that have been commenced must be lodged—

- (a) in the office of the Authority in which the originating document in the proceedings is lodged; or
- (b) if those proceedings have, pursuant to a direction under regulation 13(2), been transferred from one office of the Authority to another, in the office of the Authority to which the proceedings have been transferred.

Compare: SR 1991/227 r 35(1)

Service

15 Address for service

- (1) Every document lodged with an officer of the Authority must contain at its foot a memorandum stating by whom the document was lodged and, if lodged on behalf of any person, the name of that person.
- (2) The memorandum must also state an address for service, being an address at which any document may be left for, or sent to, the party lodging the memorandum.
- (3) Any party may change that party's address for service by—
 - (a) lodging with an officer of the Authority a notice of the change showing the new address for service; and
 - (b) serving a copy of the notice on the opposing party.

- (4) Every memorandum or notice giving an address for service must set out a sufficient address for service, which must be the full postal address of either—
 - (a) a place in New Zealand; or
 - (b) a postal box provided in New Zealand by New Zealand Post Limited or some other provider of a postal service.
- (5) Every memorandum or notice may, in addition to giving the full postal address required by subclause (4), give—
 - (a) a facsimile number for service; and
 - (b) a document exchange number for service; and
 - (c) an email address for service; and
 - (d) a telephone number of the person by whom or on whose behalf the document is lodged.

Compare: SR 1991/227 r 38

16 Service of notices and documents

- (1) Except where the Authority or an officer of the Authority otherwise orders, every notice, order, or other document which is required to be served under the Act or these regulations must be served—
 - (a) by an officer of the Authority; or
 - (b) by an authorised agent of the Authority; or
 - (c) with the consent of an officer of the Authority, by any party to the proceedings before the Authority.
- (2) If a party lodges a document under any provision of regulations 5, 10, and 12, a copy of that document must, as soon as practicable after the lodging of that document, be served on the other party to the proceedings.
- (3) Except where an Act, or these regulations, prescribes a particular or exclusive mode of service, service of a notice, order, or other document required to be served by the Act or these regulations may be effected,—
 - (a) if the person to be served has not given an address for service,—
 - (i) by leaving the notice, order, or document with the person to be served or, if that person does not accept it, by putting it down in that person's presence and bringing it to that person's notice; or

- (ii) by sending the notice, order, or document by registered post to the last known residence or place of business of the person to be served; or
 - (iii) if the person to be served is a company or an organisation (including a union), by sending the notice, order, or document by registered post to the registered office of that company or organisation or to any postal box held in New Zealand by that company or organisation and provided by New Zealand Post Limited or some other provider of a postal service; or
 - (iv) in such other manner as the Authority or an officer of the Authority directs:
- (b) if the person to be served has given an address for service,—
- (i) by leaving the notice, order, or document with the person to be served or, if that person does not accept it, by putting it down in that person's presence and bringing it to that person's notice; or
 - (ii) by leaving the notice, order, or document at that address for service at any time between 9 am and 5 pm; or
 - (iii) if the person to be served has given a facsimile number for service, by transmitting the notice, order, or document to that facsimile number; or
 - (iv) if the person to be served is the holder of a document exchange box, by sending the notice, order, or document to that document exchange box; or
 - (v) if the person to be served has given an email address for service, by sending the notice, order, or document to that email address; or
 - (vi) by sending the notice, order, or document by registered post, ordinary post, or courier to that address for service; or
 - (vii) if a person, being a barrister, solicitor, or other representative, represents in writing that that person is authorised to accept service of any notice, order, or document on behalf of the person to be

served, by serving the notice, order, or document on that barrister, solicitor, or other representative in accordance with subparagraphs (i) to (vi); or (viii) in such other manner as the Authority or an officer of the Authority directs.

- (4) Nothing in this regulation applies to the service of a witness summons.

Compare: SR 1991/227 r 39

17 Service on New Zealand corporations

- (1) Service of a notice, order, or other document required to be served by the Act or these regulations may be effected on a corporation incorporated in New Zealand (including a union)—
- (a) by service in accordance with regulation 16(3)(a)(i) or regulation 16(3)(b)(i) on—
 - (i) the mayor, chairperson, president, principal administrative officer, managing director, secretary, treasurer, or other similar officer of the corporation; or
 - (ii) any member, officer, or employee of the corporation at the corporation's head office or principal place of business; or
 - (b) by leaving the notice, order, or document at the corporation's registered office; or
 - (c) by serving the notice, order, or document on a member, officer, or employee of the corporation in such manner as the Authority or an officer of the Authority directs.
- (2) Subclause (1) is in addition to any provision made by or under any Act or these regulations for service of a notice, order, or other document on a corporation unless the provision so made is expressed to be exclusive of any other mode of service.

Compare: SR 1991/227 r 40

18 Service on unincorporated societies

- (1) Service of a notice, order, or other document required to be served by the Act or these regulations may be effected on an unincorporated society by service in accordance with regulation 16(3)(a)(i) or regulation 16(3)(b)(i) on the president, chairperson, or secretary or any similar officer of the society.

- (2) Subclause (1) is in addition to any provision made by or under any Act or these regulations for service of a notice, order, or other document on an unincorporated society unless the provision so made is expressed to be exclusive of any other mode of service.

Compare: SR 1991/227 r 41

19 Service on partnership or apparent partnership

- (1) Service of a notice, order, or other document required to be served by the Act or these regulations on a partnership or on a person carrying on business in the name of a firm apparently consisting of more than 1 person may be effected by service in accordance with regulation 16(3)(a)(i) or regulation 16(3)(b)(i)—

- (a) on any partner or on any such person; or
(b) at the principal place in New Zealand of the business of the partnership or apparent partnership, on any person appearing to have control of the business there.

- (2) Subclause (1) is in addition to any provision made by or under any Act or these regulations for service of a notice, order, or other document on a partnership or on a person carrying on business in the name of a firm apparently consisting of more than 1 person unless the provision so made is expressed to be exclusive of any other mode of service.

Compare: SR 1991/227 r 42

19A Service outside New Zealand

- (1) This regulation applies when the Authority gives an applicant leave under clause 4A(a) of Schedule 2 of the Act to serve an application on an overseas party.
- (2) The overseas party may lodge and serve—
- (a) an objection to the Authority's jurisdiction in the proceedings; or
(b) a statement in reply.
- (3) An overseas party lodging and serving under subclause (2) must do so within one of the following times:
- (a) for a party served within the Commonwealth of Australia, 30 clear days after the date of service on the party;
or

- (b) for a party served elsewhere, 50 clear days after the date of service on the party; or
 - (c) wherever the party is served, the time specified by the Authority in an order made under subclause (4).
- (4) The Authority may make an order varying the time for an overseas party to lodge an objection or a statement.
 - (5) An application that the Authority has given leave to serve on the overseas party must be accompanied when served by a notice in form 10.
 - (6) Regulations 15 to 19 apply to service on the overseas party, with any necessary modifications.

Regulation 19A: inserted, on 10 December 2004, by regulation 5 of the Employment Relations Authority Amendment Regulations 2004 (SR 2004/423).

Regulation 19A(5): amended, on 12 March 2015, by regulation 9 of the Employment Relations Authority Amendment Regulations 2015 (LI 2015/13).

19B Authority may decline jurisdiction

- (1) The Authority may decline to hear and determine proceedings in which there is an overseas party if it is satisfied that—
 - (a) it is more appropriate for the matter to be resolved in a place outside New Zealand; and
 - (b) the applicant will have a fair opportunity in the place to make the applicant's case; and
 - (c) the applicant will receive proper justice in the place; and
 - (d) the respondent will suffer unfair disadvantage if the proceedings are heard in New Zealand.
- (2) This regulation does not limit any rule of law.

Regulation 19B: inserted, on 10 December 2004, by regulation 5 of the Employment Relations Authority Amendment Regulations 2004 (SR 2004/423).

Investigation meeting or interview

20 Place of investigation meeting or interview

Every investigation meeting or interview must be held at such place as the Authority considers appropriate.

21 Notice of investigation meeting

- (1) If the Authority is to hold an investigation meeting, an officer of the Authority must, unless the parties to the proceedings

otherwise agree or the Authority otherwise orders, give at least 7 clear days' notice to those parties of the investigation meeting.

- (2) The notice must be in form 8.

Regulation 21(2): amended, on 12 March 2015, by regulation 10 of the Employment Relations Authority Amendment Regulations 2015 (LI 2015/13).

Witness summons

22 Witness summons

- (1) A summons issued under clause 5 of Schedule 2 of the Act (being a summons to a person to appear and give evidence before the Authority) must be in form 9.
- (2) The summons must be in triplicate in respect of each person on whom it is to be served.
- (3) Each copy need contain only the name and address of the person on whom it is to be served.
- (4) An officer of the Authority must—
- (a) sign the summons and the 2 copies; and
 - (b) seal them with the seal of the Authority.
- (5) If the Authority is issuing the summons of its own volition, the officer of the Authority who signs the summons must retain both copies and arrange for service of the summons.
- (6) If the summons is being issued on the application of a party to the proceedings, the officer of the Authority who signs the summons must retain 1 copy and issue the summons and the other copy to the applicant for service.

Compare: SR 1991/227 r 43

Regulation 22(1): amended, on 12 March 2015, by regulation 11 of the Employment Relations Authority Amendment Regulations 2015 (LI 2015/13).

23 Service of witness summons

- (1) A summons issued under clause 5 of Schedule 2 of the Act must be served—
- (a) by the applicant for the summons or the applicant's authorised agent; or
 - (b) if the Authority issues the summons of its own volition, by an officer of the Authority or by an authorised agent of an officer of the Authority.

- (2) A summons is served by leaving it with the person to be served or, if that person does not accept it, by putting it down in that person's presence and bringing it to that person's notice.
- (3) If a summons is served on a person within 3 clear days of the date fixed for the investigation meeting, the person who is served with the summons may apply, orally or in writing, to an officer of the Authority to be discharged from attending the investigation meeting.

Compare: SR 1991/227 r 44

24 Witnesses' expenses

At the time of the service of a summons in form 9, or at some other reasonable time before the date on which the witness is required to attend, there must be paid or tendered to the witness the sum fixed under clause 6(3) of Schedule 2 of the Act.

Compare: SR 1991/227 r 45

Regulation 24: amended, on 12 March 2015, by regulation 12 of the Employment Relations Authority Amendment Regulations 2015 (LI 2015/13).

Disbursements and witnesses' expenses

25 Power of officer to fix disbursements and witnesses' expenses

An officer of the Authority, upon being directed to do so by the Authority, may fix the amount of any—

- (a) disbursements; and
- (b) witnesses' expenses—

that are payable by any party to any proceedings to any other party to those proceedings or are payable by the department to any witness.

Certificate of determination

26 Power of officer to issue certificate of determination

- (1) Where the Authority makes, in any proceedings properly brought before it, a determination or order requiring the payment of a sum of money, an officer of the Authority may issue a certificate of determination in relation to that determination or order.

- (2) Every certificate of determination issued must be sealed with the seal of the Authority.
- (3) The certificate of determination may be filed in any District Court, and the determination or order to which the certificate relates is then enforceable on the basis of that certificate in the same manner as an order made or judgment given by a District Court.

Compare: SR 1991/227 r 50

Miscellaneous provisions

27 Fees

- (1) The fees specified in Schedule 2 are payable to an officer of the Authority for the matters set out in that schedule.
- (2) Every fee prescribed by these regulations is payable by the person commencing the proceeding in respect of which the fee is payable.
- (3) The fees prescribed by these regulations are inclusive of goods and service tax payable under the Goods and Services Tax Act 1985.

Compare: SR 1997/122 rr 3(1), 4, 5

28 Revocations and saving

- (1) The following regulations are revoked:
 - (a) Employment Tribunal Regulations 1991 (SR 1991/227):
 - (b) regulation 3, regulation 6(2), and Schedule 2 of the Employment Court and Employment Tribunal (Fees) Regulations 1997 (SR 1997/122).
- (2) Despite subclause (1), the Employment Tribunal Regulations 1991 and the Employment Court and Employment Tribunal (Fees) Regulations 1997 continue to apply as if they had not been revoked to—
 - (a) any proceedings in respect of which the Employment Tribunal continues to have jurisdiction under any provision of sections 242 to 252 of the Act; and
 - (b) any proceedings in respect of which the Authority may, under section 252 of the Act, exercise, in the name of

the Employment Tribunal, any jurisdiction or powers of
the Employment Tribunal.

**Schedule 1
Forms**

r 3(2)(b)

Schedule 1: replaced, on 12 March 2015, by regulation 13 of the Employment Relations Authority Amendment Regulations 2015 (LI 2015/13).

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Form 1

rr 5, 6

Application to Authority

Section 158, Employment Relations Act 2000

Between [*full name, address, telephone number, email address*]

(applicant)

And [*full name, address, telephone number, email address*]

(respondent)

To the Employment Relations Authority

and

To the respondent

Statement of problem or matter

1 The problem or matter that I wish the Authority to resolve is:
[*state details fully, fairly, and clearly*].

2 The facts that have given rise to the problem or matter are:
[*state details fully, fairly, and clearly*].

3 I would like the problem or matter to be resolved in the following way: [*state details fully, fairly, and clearly*].*

*Please include reference to any specific remedy (being a remedy under any enactment or rule of law) that you are seeking. If the applicant is an employee who is seeking, by this application, an order, under section 127(1) of the Employment Relations Act 2000, for the employee's interim reinstatement, the applicant must, at the time of lodging this application, file a signed undertaking in form 2.

4 I attach a copy of the applicable employment agreement and the following documents that I think are relevant to the problem or matter:*

*List all the documents or letters that you wish to rely on, or documents required under other legislation, etc.

Mediation

5 Have the parties tried to resolve this problem or matter by using mediation services provided by the Ministry of Business, Innovation, and Employment? Yes/No*

*Select one.

If the answer to this question is "Yes", please provide the date or dates of the mediation: [*date(s)*].

Form 1—*continued*

- 6 Have the parties tried to resolve this problem or matter by using mediation services provided by someone other than the Ministry of Business, Innovation, and Employment? Yes/No*
*Select one.
- 7 If you, the applicant, have answered “No” to both the question in paragraph 5 and the question in paragraph 6, please indicate why you have not used mediation services to try to resolve the problem or matter: [*state details fully but concisely*].
- 8 Have you, the applicant, taken any other steps of any kind to resolve the problem or matter? Yes/No*
*Select one.

If the answer to this question is “Yes”, specify the other steps taken: [*state details fully but concisely*].

Prescribed fee

- 9 This application is accompanied by the prescribed fee.

Address for service

- 10 This application is lodged by [*full name of applicant*]/[*name of representative*] on behalf of [*full name of applicant*]*.
*Select one.
- 11 The applicant’s address for service is [*full physical or postal address to which any document may be sent*], telephone number is [*telephone number*], fax number for service is [*fax number*], document exchange number for service is [*document exchange number*], and email address for service is [*email address*].*

*Although a full address must always be supplied, the supply of a telephone number and a fax number, a document exchange number, or an email address is optional.

Date:

Signature:

Form 1—*continued*

(applicant)

Notice to respondent

- 1 If you intend to respond to this application, you must, within 14 days after the date of the service of this application on you, lodge 2 copies of a statement in reply with an officer of the Employment Relations Authority at [*place*].
- 2 The term **days** does not include any day in the period beginning with 25 December in any year and ending with 5 January in the following year.
- 3 You will be notified of the place, date, and time at which the Authority will conduct any investigation meeting in respect of this application.

Date:

Signature:

(Officer of the Employment Relations Authority)

Schedule 1 form 1: replaced, on 12 March 2015, by regulation 13 of the Employment Relations Authority Amendment Regulations 2015 (LI 2015/13).

Form 2

r 7

Undertaking in relation to application for
interim reinstatement*Section 127(2), Employment Relations Act 2000*Between [*full name, address, telephone number, email address*]
(applicant)And [*full name, address, telephone number, email address*]
(respondent)

- 1 I, [*full name*], am, by an application lodged at the same time as this undertaking, applying for an order under section 127(1) of the Employment Relations Act 2000 for interim reinstatement with my employer, [*full name of employer*], in the position of [*job title*].
- 2 I raised the grievance with my employer on [*date*].
- 3 I agree that I will abide by any order that the Employment Relations Authority may make in respect of damages—
 - (a) that are sustained by the respondent through the granting of the order for interim reinstatement; and
 - (b) that the Employment Relations Authority decides that I ought to pay.

Date:

Signature:

(applicant)

Schedule 1 form 2: replaced, on 12 March 2015, by regulation 13 of the Employment Relations Authority Amendment Regulations 2015 (LI 2015/13).

Form 3

r 8

Statement in reply

Employment Relations Act 2000

Between [*full name, address, telephone number, email address*]

(applicant)

And [*full name, address, telephone number, email address*]

(respondent)

To the applicant

and

To the Employment Relations Authority

- 1 The respondent's view in relation to the problem or matter specified in the application is: [*state details fully, fairly, and clearly*].
- 2 The respondent's account of the relevant facts is: [*state details fully, fairly, and clearly*].
- 3 The respondent makes the following comments and supplies the following further information: [*state details fully, fairly, and clearly*].
- 4 I attach copies of the applicable employment agreement and the following documents that I think are relevant to the problem or matter:*

*List all the documents or letters that you wish to rely on, or documents required under other legislation, etc.

Mediation

- 5 Have the parties tried to resolve this problem or matter by using mediation services provided by the Ministry of Business, Innovation, and Employment? Yes/No*
*Select one.
- 6 Have the parties tried to resolve this problem or matter by using mediation services provided by someone other than the Ministry of Business, Innovation, and Employment? Yes/No*
*Select one.
- 7 Have you, the respondent, taken any other steps of any kind to resolve the problem or matter? Yes/No*

Form 3—*continued*

*Select one.

If the answer to this question is “Yes”, specify the other steps taken: [*state details fully but concisely*].

- 8 If you, the respondent, have answered “No” to both the question in paragraph 5 and the question in paragraph 6, please indicate why you have not used mediation to try to resolve the problem or matter: [*state details fully but concisely*].

Address for service

- 9 This statement in reply is lodged by [*full name of respondent*]/[*name of representative*] on behalf of [*full name of respondent*]*.

*Select one.

- 10 The respondent’s address for service is [*full physical or postal address to which any document may be sent*], telephone number is [*telephone number*], fax number for service is [*fax number*], document exchange number for service is [*document exchange number*], and email address for service is [*email address*].*

*Although a full address must always be supplied, the supply of a telephone number and a fax number, a document exchange number, or an email address is optional.

Date:

Signature:

(respondent)

Schedule 1 form 3: replaced, on 12 March 2015, by regulation 13 of the Employment Relations Authority Amendment Regulations 2015 (LI 2015/13).

Form 4

r 9A

Application for determination as to whether
bargaining has concluded

Section 50K, Employment Relations Act 2000

Between [*full name, address, telephone number, email address*]

(applicant)

And [*full name, address, telephone number, email address*]

(respondent)

To the Employment Relations Authority

and

To the respondent

Problem or matter arising in collective bargaining

1 The problem or matter that has arisen during collective bargaining is: [*state details fully, fairly, and clearly*].

2 The facts that have given rise to this problem or matter are: [*state details fully, fairly, and clearly*].

3 I would like the problem or matter to be resolved by a declaration that bargaining has/has not* concluded.

*Select one.

4 I attach the following documents that I think are relevant to the problem or matter.*

*List all the documents or letters that you wish to rely on, or documents required under other legislation, etc, including, if applicable, the current or expired collective agreement.

Mediation

5 Have the parties tried to resolve this problem or matter by using mediation services provided by the Ministry of Business, Innovation, and Employment? Yes/No*

*Select one.

If the answer to this question is “Yes”, please provide the date or dates of the mediation: [*date(s)*].

6 Have the parties tried to resolve this problem or matter by using mediation services provided by someone other than the Ministry of Business, Innovation, and Employment? Yes/No*

Form 4—*continued*

*Select one.

Facilitation

- 7 If you, the applicant, have answered “No” to both the question in paragraph 5 and the question in paragraph 6, have you resolved the problem or matter by facilitation? Yes/No*

*Select one.

- 8 If you, the applicant, have answered “No” to the question in paragraph 7, please indicate why you have not used facilitation to try to resolve the problem or matter: [*state details fully but concisely*].

- 9 Have you, the applicant, taken any other steps of any kind to resolve the problem or matter? Yes/No*

*Select one.

If the answer to this question is “Yes”, specify the other steps taken: [*state details fully but concisely*].

Prescribed fee

- 10 This application is accompanied by the prescribed fee.

Address for service

- 11 This application is lodged by [*full name of applicant*]/[*name of representative*] on behalf of [*full name of applicant*]*.

*Select one.

- 12 The applicant’s address for service is [*full physical or postal address to which any document may be sent*], telephone number is [*telephone number*], fax number for service is [*fax number*], document exchange number for service is [*document exchange number*], and email address for service is [*email address*].*

*Although a full address must always be supplied, the supply of a telephone number and a fax number, a document exchange number, or an email address is optional.

Form 4—*continued*

Date:

Signature:
(applicant)

Notice to respondent

- 1 If you intend to respond to this application, you must, within 14 days after the date of the service of this application on you, lodge 2 copies of a statement in reply with an officer of the Employment Relations Authority at [*place*].
- 2 The term **days** does not include any day in the period beginning with 25 December in any year and ending with 5 January in the following year.
- 3 You will be notified of the place, date, and time at which the Authority will conduct any investigation meeting in respect of this application.

Date:

Signature:
(Officer of the Employment Relations Authority)

Schedule 1 form 4: replaced, on 12 March 2015, by regulation 13 of the Employment Relations Authority Amendment Regulations 2015 (LI 2015/13).

Form 5

r 8

Statement in reply in relation to application
for determination as to whether bargaining has
concluded*Section 50K, Employment Relations Act 2000*Between [*full name, address, telephone number, email address*]

(applicant)

And [*full name, address, telephone number, email address*]

(respondent)

To the applicant

and

To the Employment Relations Authority

- 1 The respondent's view in relation to the problem or matter that has arisen during collective bargaining is: [*state details fully, fairly, and clearly*].
- 2 The respondent's account of the relevant facts is: [*state details fully, fairly, and clearly*].
- 3 The respondent makes the following comments and supplies the following further information: [*state details fully, fairly, and clearly*].
- 4 I attach the following documents that I think are relevant to the problem or matter:*

*List all the documents or letters that you wish to rely on, or documents required under other legislation, etc, including, if applicable, the current or expired collective agreement.

Mediation

- 5 Have the parties tried to resolve this problem or matter by using mediation services provided by the Ministry of Business, Innovation, and Employment? Yes/No*
*Select one.
- 6 Have the parties tried to resolve this problem or matter by using mediation provided by someone other than the Ministry of Business, Innovation, and Employment? Yes/No*
*Select one.

Form 5—*continued*

- 7 If you, the respondent, have answered “No” to both the question in paragraph 5 and the question in paragraph 6, please indicate why you have not used mediation to try to resolve the problem or matter: [*state details fully but concisely*].

Facilitation

- 8 If you, the respondent, have answered “No” to both the question in paragraph 5 and the question in paragraph 6, have you resolved the problem or matter by facilitation? Yes/No*

*Select one.

- 9 If you, the respondent, have answered “No” to the question in paragraph 8, please indicate why you have not used facilitation to try to resolve the problem or matter: [*state details fully but concisely*].

- 10 Have you, the respondent, taken any other steps of any kind to resolve the problem or matter? Yes/No*

*Select one.

If the answer to this question is “Yes”, specify the other steps taken: [*state details fully but concisely*].

Address for service

- 11 This application is lodged by [*full name of respondent*]/[*name of representative*] on behalf of [*full name of respondent*]*.

*Select one.

- 12 The respondent’s address for service is [*full physical or postal address to which any document may be sent*], telephone number is [*telephone number*], fax number for service is [*fax number*], document exchange number for service is [*document exchange number*], and email address for service is [*email address*].*

*Although a full address must always be supplied, the supply of a telephone number and a fax number, a document exchange number, or an email address is optional.

Form 5—*continued*

Date:

Signature:

(respondent)

Schedule 1 form 5: replaced, on 12 March 2015, by regulation 13 of the Employment Relations Authority Amendment Regulations 2015 (LI 2015/13).

Form 6

r 10

Application for investigation to be reopened

Schedule 2, clause 4, Employment Relations Act 2000

Between [*full name, address, telephone number, email address*]

(applicant)

And [*full name, address, telephone number, email address*]

(respondent)

To the applicant/respondent*

and

To the Employment Relations Authority

*Select one.

1 I apply to the Employment Relations Authority at [*place*] for the reopening of the investigation to which the Authority's determination/order* of [*date*] relates.

*Select one.

2 The file number of the Authority's determination/order* is [*number*].

*Select one.

3 A copy of the Authority's determination/order* is attached to this application.

*Select one.

Grounds

4 This application is made on the following grounds: [*state grounds fully but concisely*].

Prescribed fee

5 This application is accompanied by the prescribed fee.

Address for service

6 This application is lodged by [*full name of applicant/respondent**]/[*name of representative*] on behalf of [*full name of applicant/respondent**]*.

*Select one.

Form 6—*continued*

- 7 The [*full name of applicant/respondent**] address for service is [*full physical or postal address to which any document may be sent*], telephone number is [*telephone number*], fax number for service is [*fax number*], document exchange number for service is [*document exchange number*], and email address for service is [*email address*].†

*Select one.

†Although a full address must always be supplied, the supply of a telephone number and a fax number, a document exchange number, or an email address is optional.

Date:

Signature:

(applicant/respondent*)

*Select one.

Notice to other party

- 1 If you intend to oppose the application for the reopening of the investigation, you must, within 14 days after the date of the service of this notice on you, lodge 2 copies of a statement in reply with an officer of the Employment Relations Authority at [*place*].
- 2 The term **days** does not include any day in the period beginning with 25 December in any year and ending with 5 January in the following year.
- 3 You will be notified of the place, date, and time at which this application will be considered.

Date:

Signature:

(Officer of the Employment Relations Authority)

Schedule 1 form 6: replaced, on 12 March 2015, by regulation 13 of the Employment Relations Authority Amendment Regulations 2015 (LI 2015/13).

Form 7

r 12

Application for removal of matter to
Employment Court

Section 178, Employment Relations Act 2000

Between [*full name, address, telephone number, email address*]

(applicant)

And [*full name, address, telephone number, email address*]

(respondent)

To the respondent/applicant*

and

To the Employment Relations Authority

*Select one.

- 1 I apply to the Employment Relations Authority at [*place*] for the removal to the Employment Court at [*place*] for hearing and determination of the following matter/following part of the following matter* lodged under [*file number*].

*Select one.

Grounds

- 2 This application is made on the following grounds: [*state grounds fully but concisely*].

Prescribed fee

- 3 This application is accompanied by the prescribed fee.

Address for service

- 4 This application is lodged by [*full name of applicant/respondent**]/[*name of representative*] on behalf of [*full name of applicant/respondent**]*.

*Select one.

- 5 The [*full name of applicant/respondent**] address for service is [*full physical or postal address to which any document may be sent*], telephone number is [*telephone number*], fax number for service is [*fax number*], document exchange number for

Form 7—*continued*

service is [*document exchange number*], and email address for service is [*email address*].†

*Select one.

†Although a full address must always be supplied, the supply of a telephone number and a fax number, a document exchange number, or an email address is optional.

Date:

Signature:

(applicant/respondent*)

*Select one.

Notice to other party

- 1 If you intend to defend the application for removal, you must, within 14 days after the date of the service of this application on you, lodge 2 copies of a statement in reply with an officer of the Employment Relations Authority at [*place*].
- 2 The term **days** does not include any day in the period beginning with 25 December in any year and ending with 5 January in the following year.
- 3 You will be notified of the place, date, and time at which this application for removal will be considered.

Date:

Signature:

(Officer of the Employment Relations Authority)

Schedule 1 form 7: replaced, on 12 March 2015, by regulation 13 of the Employment Relations Authority Amendment Regulations 2015 (LI 2015/13).

Form 8
Notice of investigation meeting
Employment Relations Act 2000

r 21

File No:

Between [*full name, address, telephone number, email address*]
(applicant)

And [*full name, address, telephone number, email address*]
(respondent)

To the applicant
and

To the respondent

Take notice that the Employment Relations Authority will hold an investigation meeting in relation to the problem or matter of [*describe problem or matter*] at [*address, date, time*].

Notes

- 1 If the applicant does not attend the investigation meeting, the matter may be dismissed and costs may be awarded against the applicant.
- 2 If the respondent does not attend the investigation meeting, the Authority may, without hearing evidence from the respondent, issue a determination in favour of the applicant.
- 3 Hearing fees may be payable. The first day is free. For the second and any subsequent day, hearing fees of [*fee*] per half day are payable by the party who started the proceedings.
- 4 Any legal costs incurred by the other party may be awarded should you not be successful in bringing or defending the claim.
- 5 If in doubt, contact an officer of the Employment Relations Authority at [*address*], [*telephone number*], or [*email address*] immediately.

Date:

Signature:

Form 8—*continued*

(Officer of the Employment Relations Authority)

Schedule 1 form 8: replaced, on 12 March 2015, by regulation 13 of the Employment Relations Authority Amendment Regulations 2015 (LI 2015/13).

Form 9

r 22

Witness summons

Schedule 2, clause 5, Employment Relations Act 2000

Between [*full name, address, telephone number, email address*]
(applicant)

And [*full name, address, telephone number, email address*]
(respondent)

To [*name, address*]

- 1 You are required to attend before the Employment Relations Authority at [*place, date, time*] and from then until you are no longer required to attend, to give evidence in relation to a matter before the Authority.
- 2 And you are ordered to bring with you and produce at the same time and place [*state details of the books, papers, documents, records, or things, in the person's possession or under the person's control, to be produced*].
- 3 This summons is issued by the Employment Relations Authority at [*place*] on the application of [*full name*], the [*party*]/of its own volition* under the seal of the Employment Relations Authority at [*place, date*].

*Select one.

Date:

Signature:

(Officer of the Employment Relations Authority)

Schedule 1 form 9: inserted, on 12 March 2015, by regulation 13 of the Employment Relations Authority Amendment Regulations 2015 (LI 2015/13).

Form 10

r 19A

Notice accompanying application served outside
New Zealand*Schedule 2, clause 4A, Employment Relations Act 2000*

- 1 The applicant named in the attached application has commenced proceedings against you by making an application to the Employment Relations Authority.
- 2 Even though you are outside New Zealand, the Authority may hear and determine these proceedings. It may do so if the proceedings come within its jurisdiction. The grounds on which the applicant says that the proceedings come within the Authority's jurisdiction are set out in the application.
- 3 Even if the proceedings come within the Authority's jurisdiction, it may decide not to hear and determine them. It may do so if it is satisfied that it is more appropriate for the matter to be resolved in a place outside New Zealand, that the applicant will have a fair opportunity in that place to make the applicant's case, that the applicant will receive proper justice in that place, and that the respondent will suffer unfair disadvantage if the proceedings are heard in New Zealand.
- 4 The notice to you on the application tells you that, if you want to respond to the application, you must lodge 2 copies of a statement in reply within 30/50/[*insert number if the Authority has varied the time*]* days after the date of the service of the application on you.
*Select one.
- 5 However, you may want to say that the proceedings do not come within the Authority's jurisdiction or that, even if they do, the Authority should decide not to hear and determine them. If so, do not lodge a statement in reply. Instead, lodge an objection to the Authority's jurisdiction. You must do this within 30/50/[*insert number if the Authority has varied the time*]* days after the date of the service of the application on you.
*Select one.

Schedule 1 form 10: inserted, on 12 March 2015, by regulation 13 of the Employment Relations Authority Amendment Regulations 2015 (LI 2015/13).

Schedule 2

r 27

Fees

		\$
1	Lodging application under regulation 5	70
1A	Lodging application for determination as to whether bargaining has concluded	70
2	Lodging application for investigation to be reopened	150
3	Lodging application for removal of a matter, or part of a matter, to the Employment Court	150
4	Investigation meeting fee, for each half day or part thereof after the first day	150

Schedule 2 item 1A: inserted, on 12 March 2015, by regulation 14 of the Employment Relations Authority Amendment Regulations 2015 (LI 2015/13).

Martin Bell,
for Clerk of the Executive Council.

Issued under the authority of the Legislation Act 2012.
Date of notification in *Gazette*: 21 September 2000.

Reprints notes

1 *General*

This is a reprint of the Employment Relations Authority Regulations 2000 that incorporates all the amendments to those regulations as at the date of the last amendment to them.

2 *Legal status*

Reprints are presumed to correctly state, as at the date of the reprint, the law enacted by the principal enactment and by any amendments to that enactment. Section 18 of the Legislation Act 2012 provides that this reprint, published in electronic form, has the status of an official version under section 17 of that Act. A printed version of the reprint produced directly from this official electronic version also has official status.

3 *Editorial and format changes*

Editorial and format changes to reprints are made using the powers under sections 24 to 26 of the Legislation Act 2012. See also <http://www.pco.parliament.govt.nz/editorial-conventions/>.

4 *Amendments incorporated in this reprint*

Employment Relations Authority Amendment Regulations 2015 (LI 2015/13)
Employment Relations Authority Amendment Regulations 2004 (SR 2004/423)
