



## **THREE STRIKES POLICY**

Revision 1 - 2025



## Document Revision History

Revision Number	Revision Date	Reviewed By	Revision Type	Pages Reviewed
0	2019?	Northport Management	New Document	All
1	March 2025	Calvin Hicks – H & S Manager	All Document	All

## Distribution List

Number	Recipient	Date
1	Master Record	
2	Shed 3 Operations Office	
3	Administration Building	
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5	Cargo Operations	

## Document Location

K:\Procedures & Policy Manual\17 - Northport Administrative Policies\Current Policies - 2024\11. Three Strikes Policy

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## 1. Executive Summary

This document provides to all personnel that are on the Northport premises of the behaviour expected of them, and for companies that undertake their business activity occurring on Northport Ltd property, Ralph Trimmer Drive and land owned by Marsden Maritime Holdings Ltd.

### 1.1. Purpose and Scope of this Policy

Northport Ltd. has the goal of achieving Zero Harm across all its controlled facilities. The purpose of Northport Ltd.'s cumulative Three Strikes Policy is to reinforce the expected behaviours of all people on Northport as agreed by Northport Ltd.

### 1.2. Confidentiality

The information contained in this document is the property of Northport Limited and should not be provided in any form to external persons or groups without the explicit approval of the CEO of Northport or their designated deputy.

This Policy is not to be shared outside the NPL without prior approval. If a copy is required, this must be obtained from the document controller and stamped UNCONTROLLED COPY.

## 2. Roles and Responsibilities

### 2.1. Health and Safety Manager

That all persons follow all reasonable instructions given by NPL when required to manage hazards/risk including the requirement to wear appropriate PPE.

STARR - Stop, Think, Act, Review, Report any issues, near misses or incidents via the Northport VAULT. <https://northport.co.nz/>

## 3. Administration

Strikes will be recorded on a central register in a Microsoft Excel format that will be administered by Northport Ltd. All specific data relating to an individual are confidential and will only be released to a senior manager of that individual's organisation upon written request. General data may be used by Northport Ltd. to identify/demonstrate trends and communicate these with relevant parties.

Port access will be regulated by Northport Ltd. via its Cardex system in accordance with the processes outlined above.

### 3.1. CCTV recorded footage.

There are currently **54** Northport cameras recording constantly 24/7/365 days per year. Recorded footage maybe used to show the action or offense as described in the issuing of a Three Strikes Notice.

### 3.2. Northport CCTV Information Release

The recording is released by Northport Limited on the condition that it is viewed only by the recipient (Company) and persons relevant to the investigation or its intended purpose. This information cannot be released/copied to any third party without approval from Northport Limited.

## 4. How the Three Strikes System works

### 4.1. Registering a Strike

All incidents reported by Port Security, or a port worker will be reviewed by Northport Ltd.'s Security and/or Health and Safety team. If consensus is reached that the reported incident has indeed occurred and is of severity to warrant a strike, a strike will be formally issued against the offender's name which will remain active for six months. Where practicable, the offender will immediately be stopped and informed of their specific breach.

### 4.2. Accumulation of Strikes

If no further strikes are received within the six-month timeframe on the recipient of the strike, the strike will be deactivated but will remain on the individual's file. Northport Ltd. will notify the offender's employer in writing of each strike issued. If a second strike is recorded against the individual within six months of the original, the individual will begin a second six-month probationary period with the individual resuming on strike two.

Should an offender receive a third strike whilst on strike two, their access to the port will be suspended until consensus is reached about the type and duration of any sanctions imposed by Northport Ltd. and/or the offender's employer. The evaluation of any offences and sanctions will ideally be agreed by Northport Ltd. and the offender's employer, however, the final outcome is at the sole discretion of Northport Ltd.

### 4.3. Subsequent to Sanctions

When the offender has completed their sanctions, they will be re-issued access to the port and will resume their employment with a clean slate following refreshment of their Northport Ltd. Health and Safety Induction. Should any offender reach three strikes on a second occasion, they will be permanently prohibited from accessing the port in any capacity for any organisation. Should any offender be found in breach of any sanctions imposed by the Three Strike Policy, they will be trespassed from the port indefinitely.

### 4.4. Addendum

One strike will generally be incurred by an individual for each separate breach of health and safety related policy. In some instances, several strikes may be warranted for a particularly serious offence and this will be at Northport Ltd.'s discretion in consultation with the offender's employer. For example:

- Speed limit breach of < 10kph = 1 Strike.
- Speed limit breach of 11-15kph = 2 Strikes.
- Speed limit breach of > 15kph = 3 Strikes.

Northport Ltd.'s Three Strike Policy is separate to and does not prohibit any disciplinary procedures that might run concurrently relating to the same or a separate matter.

## 5. Appeal Process

### 5.1. To lodge an Appeal

All appeals must be lodged in writing to Northport Ltd. via the offender's manager. All appeals must be received by Northport Ltd. in writing and within five working days of the strike being formally notified by Northport Ltd.

### 5.2. Appeal Process

A written appeal submission must be provided to Northport Ltd. within five working days of Northport Ltd. formally advising the offender and/or their manager of the strike being lodged. The appeal submission must outline in point format, the reason for the appeal, the offender's version of events, why the strike is not justified, and what (if any) sanctions are appropriate.

Upon receipt of the written appeal submission, Northport Ltd. will initiate a review of the circumstances culminating in the placement of the strike. The review will consist of at least one member of Northport Ltd.'s Health and Safety team, the appellant, a representative for the appellant (at the appellant's discretion), and a neutral party who will attend from an uninvolved port user company.

### 5.3. Following the Appeal

The decision from the appeal process is final and no further correspondence will be entered into following culmination of the appeal hearing. A decision letter will be provided to the appellant and their manager within 3 working days of the appeal hearing.

## 6. Initial Focus Behaviours

The following is a sample of behaviours required by all whilst on site.

- Speed limit breaches.
- Failure to stop at compulsory stop signs.
- Use of Mobile phones/personal electronic devices whilst driving or operating a machine.
- Using a mobile phone in an operational area.
- Driving with an unsecured load in breach of Northport Ltd. rules or company SOP's.
- Inappropriate use of ID cards.
- Unfastened seatbelts.
- Unsafe practices when working at heights.
- Inappropriate parking.
- Operating on Northport without the compulsory PPE.
- Entering areas without the required access permit.
- Carrying unauthorised passengers in a vehicle.
- Tailgating through security gates.
- Dangerous driving.
- Intimidation to another Port User/Visitor.
- Harassment.
- Verbal and /or physical abuse.
- Intentional damage to infrastructure.
- Failure to meet legal requirements.
- Failure to comply with Northport Ltd.'s "Port Facility: Health and Safety Requirements".
- Failure to comply with the rule in Northport Ltd.'s "Port User Company Operating Rules".
- Any other behaviour deemed serious enough to warrant this action.





## Northport Ltd. Three Strikes Policy

I have read and understand the Northport Ltd Three Strikes Policy, Revision 1. I understand if I do not comply with the policy, I may face legal or disciplinary action according to applicable laws or company policy.

I therefore, now agree to abide by this policy.

**Name** \_\_\_\_\_

(PLEASE PRINT)

**Signature** \_\_\_\_\_

**Position** \_\_\_\_\_

**Date** \_\_\_\_\_