Indigenous Business Prequalification Toolkit

Australian Government

Indigenous Business Australia

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1.1 Acknowledgements

The Indigenous Prequalification Toolkit has been developed at the request of Indigenous Business Australia. The project has been facilitated through consultation with representatives of a range of stakeholders including mining companies, oil and gas companies, Indigenous businesses, government agencies and peak bodies.

1.2 Definitions

In this Toolkit:

Accountant is the person who looks after the financial records of the business.

Accounts payable is that part of the business that makes sure that everything bought by the business is paid for, and paid for on time.

Accounts receivable is that part of the business that makes sure that the customers pay the right amount, and chase them up if they are late paying.

Asset is something that is owned by the business that can be converted to cash.

Asset management is the system that monitors and maintains the assets of the business.

Audit is a review of a system with the aim of giving an opinion as to whether the system is working.

Authorisation is to give permission for something to happen.

Balance sheet is the part of year-end financial accounts that show the funding of the business and how these funds have been used.

Benchmark is a standard of performance against which similar things must be measured or judged.

Buddy system is where a new employee is paired with an experienced employee so as to show him around, answer questions and explain how things are done.

Budget is a written estimate of income and expenses during a given period, usually the coming year.

Business capacity is what a business can do, including the skills of the staff, number of staff, past work experiences, how well the business finances are managed and how well the business is managed.

Capital expenditure is the money spent on assets that will have a useful life of more than 12 months (i.e. assets such as buildings or plant and equipment).

Cash flow is the timing of when you get cash in and out of the business.

Cash flow management is how you plan ahead to have enough future cash to avoid having problems making your payments.

Company is a legal body created usually to conduct business.

Contractor is a person who agrees to supply something to, or perform some work for somebody else, at a certain price or rate.

Contract is the legal written agreement between two or more parties to do a specified thing.

Corporate governance is a system of legal rules and internal procedures that directors and management need to follow to make sure that the company is run in an appropriate manner.

Creditors are people you owe money or services to.

Current assets are the assets that can be converted to cash to pay or used to pay current liabilities within 12 months.

Current liabilities are the debts that you have to pay, or services you have to provide, within 12 months.

Debtors are the people who owe money or services to you.

Depreciation *is an accounting process that charges the cost of an asset over its lifetime (e.g. 5 years) to reflect the decrease in the assets value over that period.*

Discrimination *means treating someone worse than you would treat everyone else because that person belongs to a particular group or category of people.*

Document management control *means keeping track of, and securely storing your documents, and also keeping track of different versions of the same document.*

External audit *is an independent review by someone outside of your business, usually looking at your financial statements*

Financial statements *are the formal record of the financial activities of a company during the year.*

Fixed assets *are also known as non-current assets, and these are the assets that cannot easily be converted into cash, and will be used for a period more than 12 months.*

Fraud *is the intentional deception of other people for personal gain (in a business this usually involves the theft of money, information or equipment).*

Goods and services *are the actual physical goods you buy or sell, and the work that you perform.*

GST *is the tax on all goods and services bought and sold.*

Harassment *means the intentional, repetitive behaviour intended to threaten, disturb or upset someone.*

Health and Safety committee *is a meeting of workers and managers to develop and review health and safety policies and procedures in the workplace.*

Human Resources *are the individuals who make up the workforce of an organisation.*

HSE (Health, Safety and Environment) *is how we look at protecting the safety, health and welfare of staff.*

Implementation *means putting an idea into practice.*

Incident management *is how we identify, analyse and correct hazards to prevent something happening again.*

Incorporation *is the forming of a new company.*

Indigenous business *is where at least 50% of the ownership of the business is of Aboriginal and / or Torres Strait Islander descent.*

Induction training *is the type of training given when someone initially takes on a new job.*

Internal audit *is an independent review by someone who works within your business, appraising the risk management, internal controls, corporate governance and fraud prevention.*

Internal controls *are the methods and procedures in a business to protect its assets, ensure its financial information is correct, makes sure it complies with the rules and helps it to achieve its objectives.*

Invoice *is a bill sent to someone to tell them how much they owe you.*

Job description *is the list of tasks, duties and responsibilities of a position.*

Job hazard analysis *is a technique that focuses on job tasks as a way to identify hazards before the happen. It focuses on the relationship between the worker, the task, the tools and the work environment.*

Job safety analysis *means to identify potential hazards in each step of the job and to recommend the*

safest way to do the job.

Joint venture *is when separate companies agree to develop a new entity for a specific task or business opportunity.*

Liabilities *represent a present obligation arising from past events, resulting in the payment of cash or services in the future.*

Legislation *means laws.*

Long term liabilities *are liabilities where the repayment of cash or service will happen more than 12 months in the future.*

Loss *is when the revenue from a business activity is less than the cost of that activity.*

Management reports *are periodic reports that management receive that tell them how the business is operating.*

Management information system *is the system whereby information is provided to managers so that they can make informed decisions.*

Mentoring *is where a specialised employee with counselling and support skills who helps new-starters when they run into difficulties.*

Operational plan *means a written plan covering the activities and budgets for each part of the business for the next 1-3 years.*

Organisational structure *is how the organisation is built, showing different allocation of responsibilities for different functions and processes to different entities such as branches, departments, workgroups and individuals.*

Organisational chart *is a diagram showing the organisational structure of the organisation.*

Partnership *is an arrangement between parties to carry on business in common to make a profit.*

PAYG *stands for 'pay as you go', being the system for withholding tax from employees in their regular payments from employers.*

Payroll *is the amount of salary, wages, bonuses and deductions paid to employees.*

Physical access controls *are the physical barriers preventing unauthorised access, such as locks, security alarms, and surveillance cameras.*

Policy *means a principle or a rule to guide behaviour to achieve an outcome.*

PPE *stands for personal protective equipment.*

Procedures *are a written step by step guide to undertaking a task.*

Prequalification process *are the steps you have to take, controls you have to put in place, documents you have to write, in order to be allowed to apply for tenders with the Resource Sector.*

Procurement department *is the part of the business that goes out and buys things.*

Profit *is when the revenue from a business activity is more than the cost of that activity.*

Profit and loss account, *also known as an income statement, is one of the financial statements and shows the company's income and expenses during the year.*

Purchases *are the things, goods and services that you buy.*

Quality Assurance is the system for measuring something, comparing it to a standard or benchmark and feeding back the resulting information to make improvements.

Reconciliation is when you compare two sets of records to make sure that they agree.

Revenue expenditure is the spending related to doing business on a day to day basis.

Risk management is the process of identifying all risks facing the organisation, assessing how likely they are to happen, what the impact will be if they do happen, and how reduce the impact or the likelihood that they do occur.

Risk mitigation means to reduce the impact of a risk happening, and / or the likelihood of it happening.

Risk register is the document containing all the risks that you have identified.

Safety culture represents the attitudes, beliefs and values that employees share in relation to safety.

Safety toolbox meeting is a brief safety talk or meeting at the beginning of a shift.

Sales are the things, goods and services that you sell.

Separation of duties is an internal control designed to prevent fraud or error, where you do not have more than one person in performing the entire process from beginning to end.

Shareholding means owning the shares of the company.

Sole trader is the simplest form of business structure where there is no division of ownership between business assets and personal assets.

Strategic plan is the high level plan to achieve the business's objectives over the next 3-5 years.

Stock / inventory are goods and materials held for resale or for use in the business.

Superannuation are the funds saved during your working life that are available for you in retirement.

Tenders are the formal, written offers to supply products or services.

Transaction is an agreement carried out between a buyer and seller to exchange an asset, usually money, in payment for a service.

Work shadowing is where an inexperienced employee works one-on-one with an experienced employee, watching, learning and repeating the key tasks of the role

1 Introduction

The IBA Indigenous Prequalification Toolkit is designed to help Indigenous businesses seeking to prequalify as contractors in the Australian resources sector. This Toolkit may be used by:

- individual businesses themselves to help develop or refine their internal systems and procedures;

- Indigenous business owners attending IBA's Prequalification Workshops; or

- business mentors who are assisting Indigenous businesses seeking prequalification in the resource sector[1].

The need for the Toolkit and business mentoring support was established following a scoping review undertaken in 2012 which sought to confirm, through consultation with Indigenous businesses and resource companies, how IBA could be more effective in supporting Indigenous businesses seeking to work in the resource sector.

The Toolkit has been produced in consultation with representatives of a number of mining and oil and gas companies, Indigenous businesses, peak bodies and government agencies.

The Toolkit is focussed on small and medium sized Indigenous businesses that are seeking to work in the resource sector.

If you are not sure what prequalification is and how it all works, start here, this section is for you.

This section covers basic ideas and questions that people have about contracting for Resource Companies, including prequalification and HSE management systems. We cover:

a. Why is it so hard to get and keep contracts with Resource Companies?

b. What is safety culture?

c. What is prequalification?

d. Does my business have to prequalify?

e. What are management systems?

f. How do management systems work?

g. What do I have to do to prequalify?

h. How do I use this kit?

i. Where can I get more help?

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[1] See www.iba.gov.au for more information on business mentoring support and prequalification workshops.

1.1 Why is it so hard to get and keep contracts with Resource Companies?

Working in the mining and resources sector can be dangerous. Mining and resource projects can involve the use of heavy moving equipment like haul trucks, dozers and excavators. There is also fixed plant – crushers, beneficiation plants and conveyors. Working underground has many more risks such as the build-up of dangerous gases, heat, poor ventilation, rock falls etc. These issues allied to the fact that these mines are often located in remote (and often very hot) parts of the country means that there are significant health and safety considerations associated with working on such projects.

One bad contractor on a mine-site can undo years of work spent building the reputation and standards of a mining business. This is why Resource Companies look long and hard at the contractors and sub-contractors who want to work for them.

In the past, there have been a number of incidents on mining projects which have resulted in some mine employees and contractors being killed or injured whilst doing their job. These incidents in the past meant that, for a time, the mining and resource industry had a bad reputation, which made it hard to keep good workers and created difficulties with trade unions and the government.

The resource industry has worked very hard to make working in mining safer and overcome the safety problems of the past. The industry has developed a strong *safety culture*, safety policies and ways of working that have greatly reduced the number of people killed or injured at work.

Resource Companies and mine managers are legally responsible for the safety of employees and contractors who work on their mine sites. If you are a contractor for a Resource Company, that company will want to make sure that your business also works in a way that keeps everyone safe.

Most Resource Companies expect all of their contractors to demonstrate that they have a strong safety culture and safety practices before they can work on site.

It is not just about safety. Resource Companies have also:

- worked hard to improve the way they look after country and the environment;

- made sure that working at a mine does not damage the long term health of employees;

- improved the way they work with Indigenous people and look after Indigenous heritage; and

- brought in policies that comply with legislation aimed at preventing discrimination, bullying and harassment and making sure people are treated fairly at work.

Resource Companies expect their contractors to meet the same standards.

1.2 What is a Safety Culture?

To give you an idea of what Resource Companies mean by *Safety Culture*, here are examples of two businesses, one with a safety culture and systems, and one without.

Dave owns and runs a mechanical workshop called *Dave's Diesels*:

> ***Example of a business that does not have a strong safety culture***
>
> *"I employ three mechanics and one apprentice. One of them has been off work for two weeks because he tripped over a tail-shaft that was left on the floor near his hoist. He tore some ligaments when his knee smacked another bit of gear on the way down. Stupid bugger should have looked where he was going. They are a good bunch of blokes though, always having a laugh and playing practical jokes. A couple of weeks back Joe dropped a hot stud down the back of Clint's overalls - had him jumping around like a rabbit!*
>
> *I'm thinking about prequalifying to try and pick up some work with a local mine that has just started up. Been trying to get the boys to wear safety glasses when they are under a vehicle, but only the apprentice puts them on and he has been copping it from the others for being a suck-up."*

Alan owns a mechanical workshop called *Alan's Engines*:

> ***Example of a business that does have a safety culture with supporting systems***
>
> *"I employ three mechanics and one apprentice. The other day, they had a near miss in the workshop. In our 'incident investigation' it turned out that one of the boys tripped over a clutch that had been left in a walkway by the apprentice. Luckily, the walkway was clear (in line with our workshop safety policy) except for the clutch and he fell into smooth concrete. No harm done, but it could have been very different. I got them all together at our daily Toolbox Meeting and told them about the time when I was an apprentice and a mate of mine tripped and fell on a bloke in the next bay who had an oxy in his hand. The oxy took off two fingers. No gloves in those days. I was the bloke who left the tools in the road.*
>
> *The apprentice looked like I was going to shoot him, but I sat him down and we walked through the job and the importance of our HSE procedures. I could see he didn't have a place to properly stash the parts from the job – comes back to me after he has undertaken a risk assessment to get some more racks in that bay or find some other space for those spares. He promised to let me know about any other problems with the bay in the future and not just make do. I let them know that nothing was more important to me that seeing everyone go home in one piece.*
>
> *I noted it all down in my incident book for next time. No accidents in the last year, only two near misses - a big improvement on the year before! I'm thinking about prequalifying with the local mine. They tell me I have a good chance."*

Although these stories relate to safety, Resource Companies will look for their contractors to have strong procedures in place to look after the environment, managing people, delivering quality services and the company's finances.

1.3 What is Prequalification?

Prequalification, or *contractor prequalification*, are the requirements that a Resource Company puts in place to make sure that a contractor will operate to the same high safety, environmental, risk and management standards as the resource company itself.

> *Prequalification is not easy. It may require a big investment and big changes in the way you run your business.*

In most Resource Companies, these requirements are set by the *Procurement Department* as part of a *prequalification process*.

The Procurement (or Supply) Department is the part of the Resource Company that is responsible for buying the goods and services that the company needs to do its work. For example, if a Resource Company needs to buy 1000 tyres for its light vehicles, it is the Procurement Department that finds the best deal for these tyres and gets them to the mine site. Or, if a Resource Company needs an electrical contractor to install a new power-line to a pump, it is the Procurement Department that finds the right contractor for the job.

It is also the Procurement Department's job to make sure that all the contractors working for the company meet the standards of the company and the industry in which it operates. The Procurement Department achieves this by making new contractors go through the *prequalification process*.

The main benefit for an Indigenous business getting through a Resource Company's prequalification process is that your company can then put in tenders for contracts with that Resource Company. Almost without exception, Resource Companies will not accept tenders from contractors who are not prequalified.

> *Getting prequalified is the first important step in getting long term work with a Resource Company. But just because your company is prequalified does not mean that it will subsequently get any work.*
>
> *Your company will still have to win a tender by competing against other prequalified companies on price and quality*!

Prequalification just means that you are allowed to tender, <u>it does not come with any guarantees about subsequently getting work</u>.

And one more thing – just because you are prequalified with one Resource Company does not mean that you are prequalified with other Resource Companies. Each company has its own prequalification standards and your business will need to show that it can meet these standards with each company it wants to work for.

That said, the standards are similar, and once your business is prequalified with one company, the next one should be a lot easier. The key is making sure that proper processes are in place within your business to address the key issues required by prequalification at any Resource Company. <u>Prequalification is not a one-off event, it requires that your business establishes and implements effective management systems on an on-going basis.</u>

Some Resource Companies don't require prequalification for particular areas of their business however if you were to gain a contract it would still be necessary to have similar processes and systems in place.

1.4 Does my business have to prequalify?

Not all businesses that have contracts with Resource Companies have to prequalify. For example, consultants who spend time in offices talking and writing reports generally don't have to prequalify. Training companies that train mine workers don't always need to prequalify. A company that sells tyres or oil to a Resource Company does not have to prequalify.

These businesses do not generally have to prequalify because their employees may never set foot on a company mine site, or if they do, they don't set foot in a dangerous operational area. For example, the training company may run all its training at training rooms in the city, not at the mine.

Prequalification is mainly concerned with making sure that the contractors *who are at most risk on site* can follow company standards.

If a worker in a tyre company that sells tyres to a Resource Company has an accident in his workshop in Perth and breaks his arm - that is not the responsibility of the Resource Company. It is the tyre company's responsibility.

But if a worker fitting tyres at a mine site breaks his arm that is the Resource Company's problem, because the Resource Company is responsible for the safety of people on their mine sites. This is called a 'duty of care'.

If your business sells services or goods to Resource Companies, but your people never or rarely need to spend time on the mine site, then your business probably does not have to prequalify. It is important to check with each Resource Company on whether your business needs to prequalify before you start doing the work.

1.5 Is my business ready to work in the Resource sector?

There are many good reasons why Indigenous companies seek to work in the Resource Sector such as:

- many work opportunities in remote parts of Australia;

- potential to get large profitable contracts; and

- potential to grow quickly and generate wealth for employees and shareholders.

Although there may be big benefits, contracting in the mining business also has some big challenges. You should think about these challenges before you decide to chase prequalification. Potential drawbacks include:

- The prequalification process can be time-consuming and expensive;

- Mining is an industry that has ups and downs. This means that companies that only work in the Resource Sector can be left without enough work in times when the mining goes through a downturn;

- Resource Companies will always try to get the best price for their goods and services. This means that contractors hoping to supply these services can sometimes end up with contracts that are not as profitable as they would like;

- Resource Companies have very high expectations of the quality of goods and services. Some small or inexperienced businesses may have difficulty meeting these expectations;

- Large Resource Companies often issue very large contracts during the construction phase of mining projects. Small and medium sized companies may find it difficult to win these jobs because they are too small to deliver such large contracts; and

- Resource Companies do not always pay invoices quickly. Often invoices take over 2 months to be paid from the day they are submitted. This can cause big cash-flow problems for businesses that don't have a lot of money in the bank.

Therefore, before your business decides to start the prequalification process you need to carefully consider whether your business is ready to work in the Resource Sector.

You can reduce the chances of things working out badly by taking the following steps:

- *'Don't put all your eggs in one basket':* A business that has a range of customers across different industries faces fewer risks than a business that has all of its customers in mining. If your business has contracts with government and other industry sectors it will be better placed to ride out a downturn in mining.

- *Understand your minimum price*: Your minimum price must be based on what it costs to deliver the service plus a minimum profit margin. Be prepared to walk away from a contract if negotiations push you below that price.

- *Negotiate hard*: Resource Companies and their contractors will often negotiate hard to get the best deal for their company. It is ok for Indigenous businesses to do the same.

- *Discuss the scale of contracts with your mining customers:* Talk to the representatives of Resource Companies before starting prequalification to understand the types and size of the contracts they put out to tender. If a company only issues very large contracts then there may not be much point in smaller Indigenous businesses investing in prequalification with that company. Some mining businesses adjust the way tenders are split up to give smaller businesses a chance.

- *Start small*: Before trying for a big contract with a Resource Company, it may be best for a new Indigenous business to start with smaller pieces of work with the local shire or Aboriginal Corporation. These contracts often require a more basic form of prequalification that can be used as a stepping stone for prequalification in the Resource Sector. Smaller contracts are also be good for training staff, gaining experience and learning about new equipment. These smaller contracts provide a track record that you can point to later on when looking to win work in the Resource Sector.

- *Plan your cash flow*: To avoid cash-flow problems make sure you understand the invoicing conditions of your customer - when you can invoice, how much and when they will pay. You should look at how much you will need to spend before then and talk to

your bank or other lender to ensure you have the funds to get through periods when your cash reserves are thin.

1.6 What are Management Systems?

To understand what Resource Companies are looking for in the prequalification process, you first need to know about *management systems*.

In a small family business, health, safety, fairness and environment are looked after (almost) automatically. This is because all the people that work in the business share the same office, talk to each other every day and support each other. If everyone is working together in a small office they will automatically tell each other about a health or safety issue as soon as it happens. For example, if the toilet stops working, everyone will know about this straightaway and the boss will immediately call the plumber because it is his toilet too.

Most mining businesses are not small businesses. They employ hundreds or thousands of people working on different shifts across a wide area and the company needs to make sure that everyone works in a safe manner.

If there is a fault with a piece of equipment or a vehicle at a mine site and there is no system in place to deal with a problem then people will be left to address it in their own way. This could lead to all sorts of problems since different people will solve a problem in different ways and some people may not do anything to resolve the fault. This could result in a much higher risk of injury or fatalities as a result of the faulty equipment/vehicle.

Resource Companies require their contractors to have a clear process for all people working on the mine site to ensure that such a fault is reported and fixed. A management system is a comprehensive way of making sure that everyone at a mine site:

- gets the training they need to safely do their job;
- knows who to communicate with so information gets to the right place and decisions get made by people with the right experience or qualifications;
- knows who is responsible and qualified to do different parts of a job;
- knows how to handle dangerous or rare situations; and
- uses the safest methods available to get a job done.

Management systems are also intended to:

- identify the causes of problems and make sure those problems are fixed in the same way;
- produce reports about safety and other issues so that managers, workers and shareholders can be sure that things are being properly managed; and
- create a workplace culture that keeps everyone safe and healthy.

Although the examples we have given in this section focus on safety, to get through prequalification your business will also need management systems that cover:

- Health

- Environment

- Human Resources

- Quality Assurance; and

- Finance

Some companies might also ask you for systems covering community relations and heritage, depending on the type of contracting you do.

1.7   How do Management Systems work?

In big Resource Companies a management system is usually made up of a many documents:

Policy documents: A policy document says what the company is trying to achieve and what it wants its' workers to do to help it reach that goal. For example a policy document on safety might say:

> *"Our company aims to send our workers home to their families safely - every day of the year, 24/7.*
>
> *To achieve this goal, we will all:*
>
> - *look after each other at work;*
>
> - *report any risks or hazards we see; and*
>
> - *follow the company's safe work procedures"*

Risk Registers: The next part of a management system is usually a document called a 'risk register'. A safety risk register tries to list all the things that might hurt someone or affect the health of workers. A safety risk register may also outline the things that the company is doing (or plans to do) to reduce these risks. These are called *mitigations*. Here is an example of a simple risk register:

Risk	Risk Rating	Mitigation
Falls resulting from working at heights	Very High	- Develop a 'Safe Working at Heights' procedure. - Ensure that all workers who work at heights are trained in the procedure. - Ensure that working at heights equipment is maintained and checked. - Ensure that all workers are wearing the required PPE. - Report and track incidents according to incident management procedure.

Lung problems due to dust in heavy equipment operations	High	• Monitor dust exposure. • Ensure that vehicle air-conditioners filter dust. • Require the use of PPE (such as dust-masks) for certain tasks.

In environmental management, the risk register lists all the things that the company does that might damage the environment. In human resources (where risk registers are used less often) a risk register might list all the things that could damage good working relationships in a team, or open the company up to court cases on areas like discrimination or unfair dismissal.

Procedures: *A procedure* is a step by step process for doing a job. Many of the mitigations listed in the risk register are procedures that say how a job can be done properly and safely. For example, a 'Safe Working at Heights' procedure will outline what sort of equipment can be used to work at a particular height for a certain job, any PPE that may be needed and the training that people working at heights must have. The procedure will say what must be done to prepare for the job, which team members can do which parts of a job and what must be done to leave the job safely.

Another example of a very important safety procedure is the *incident reporting procedure.* An incident reporting procedure says what must be done if someone is hurt or has a near miss. This procedure will say what must be done immediately after something happens (e.g. Call 000!); who the incident must be reported to; and how the details of the incident must be recorded so that the causes can be identified.

Training: People need to be trained to understand policies, risks and safe work procedures and processes. Training systems are a very important part of any management system. Most management systems contain many documents outlining how the business plans to train its workers to use the right procedures, identify risks and work together safely and productively.

Accountabilities and responsibilities: A person is *accountable* for something when it is their job to make sure something happens properly. For example, a General Manager, Environment is ultimately accountable to make sure a mine does not damage the environment more than is permitted. Overall accountability lies with the General Manager, however, the General Manager also has managers and superintendents working for him/her who are *responsible* to make sure that certain jobs get done. If all of these staff carry-out their duties correctly then the General Manager's accountability for environment will be properly delivered.

An important part of any management system is a statement of who is accountable and responsible for each part of the system. When no one is made accountable for completing a task, it rarely gets done.

Reporting, auditing and improvement: Most management systems also produce reports that allow managers, workers and shareholders to understand how a company is performing. For example, most Resource Companies will produce reports about:

• the types of safety incidents that have happened, their causes and how they can be avoided in the future;

- environmental incidents such as oil spills, dust or unauthorised land clearing; and

- personnel issues, such as complaints, strikes and terminations.

Most companies will also have an independent *auditing process*. *Auditing* is where someone from outside comes in to investigate whether the company is following its own rules and doing a good job at safety, environment, people management and money management.

Most management systems will also have documents that say how the whole system is reviewed and can be improved over time.

Of course, writing about how things *should work* in respect of safety and the environment is one thing, but actually getting them to work that way is where management systems become very challenging.

1.8   What do I have to do to prequalify?

To prequalify, your business will need to show two key things:

1. **Management System documents:** Your business will need to show that it has all the management systems paperwork for the area of work you are involved in. For example, if your business fixes pumps on a mine site, you will

> *Writing a suitable set of management systems is a difficult task. But implementation - making those systems work in practice - is far harder and takes more time. Implementation is about changing the way people think and work in your business.*

need to show that you have written policies and procedures for managing high pressure water, spills and leaks, isolation and other things connected with pumps. But if your employees never work at heights, then there is no need for you to have a *Working at Heights policy and procedure*.

2. **Implementation:** Implementation means *putting an idea into practice*. For many of the larger Resource Companies, it will not be enough that you have all the right ideas written down in your paperwork. They will also want to know that your company is actually working according to the principles and procedures outlined in your management systems documents.

For example, if your management systems paperwork says that you record safety incidents in an incident book - the Resource Company will want to see that the system is actually understood by employees and is being used. If someone from the Resource Company's Procurement Department looks in your safety incident book (or computer systems) and finds that nothing has been written there since 2008, you probably won't prequalify.

If your management systems documents say you are training people to *work at heights* or *isolate* machinery, you may have to show who you have trained, when and where. Someone from the Resource Company's Procurement Department may want to meet some of your employees to check if they really understood the training.

For these reasons, some Resource Companies will only prequalify businesses that have been

> *Starting from scratch, you should allow at least a year to develop your management systems and implement them in your business.*

operating for a number of years (e.g. 2 years). This is to make sure that the business has properly implemented its management systems.

Let's be straight – **nobody thinks prequalification is easy**. Through prequalification, Resource Companies demand very high standards from each contractor. Many businesses fail at their first attempt, whether they are Indigenous or non-Indigenous.

This Toolkit will only get you so far. If you are starting from scratch, you will also need to:

- Allow time and money to develop your management systems documents. This could take up to a month of full time work to get the documents just right. It will also take time in the years ahead to keep them updated. You need to have the cash reserves to take time away from money-making work to develop this paperwork, or you need to have the money to pay someone from the outside (e.g. a consultant) to help.

- Allow at least one year to bed these systems down depending on the number of people in your business and the time and money you invest. If you and your staff have never run an incident management system before, or done risk assessments, it will take time to develop the habits of a strong mining safety culture.

1.9   How do I use this Toolkit?

This Toolkit contains examples of many of the management systems documents you will need to prequalify. Each section of the kit has an overview of the subject-area (Organisational capacity, HSE, HR etc.). Each section also has examples or templates of the kinds of documents you might need.

You will need to:

1. Talk to the Resource Company that you want to prequalify with and get a copy of their prequalification forms, questionnaire or checklist. This will tell you what they want to see.

2. Next, review the risks associated with your business operations and decide which of the example documents included in this Toolkit need to be part of your management systems. This will depend on the kind of business that you have and what you find out in step 1.

3. Develop the policies and procedures (based on the example documents included in this Toolkit) relevant to the needs of your business and the specific requirements of the Resource Company concerned. This will include:

   a. Adding your business name and logos at the right places in the documents;

   b. Changing wording and adding or deleting sections from the templates to reflect the way you do things (or plan to do things) in your business;

   c. Adding document control features, like version numbers, review dates and responsibilities to each one; and

   d. Adjusting procedures to meet the requirements of the company you want to work with.

1.10 Getting Help

How long all this takes will also depend on the help and support you can get from others.

There are many places you can get help:

- You may have friends, colleagues or business associates who have experience in this area and can lend you a hand. Most valuable of all, if you are inexperienced, is the chance to spend time in a business that has prequalified and see how it all works.

- Most Resource Company procurement departments offer support and assistance for Indigenous businesses seeking to prequalify. Talk to the Procurement Department representatives at the Resource Company you are seeking prequalification with.

- Your business may qualify for the **Indigenous Business Australia** (IBA) Prequalification Mentoring program which involves a series of tailored workshops to explain the concepts set out in the Toolkit as well as the provision of business mentoring support. This program will team up your business with a business mentor to help you work through the issues involved in prequalification. **Please visit www.iba.gov.au or call IBA on 1800 107 107** to find out about getting help through this program.

- Other sources of support could be Enterprise Connect (www.enterpriseconnect.gov.au) or your local Small Business Development Centre

    - www.smallbusiness.wa.gov.au
    - www.dob.nt.gov.au/business
    - www.smallbusinesssolutions.qld.gov.au/content/sbs-standard.asp
    - www.smallbiz.nsw.gov.au/Pages/default.aspx
    - www.sbc.vic.gov.au
    - www.business.vic.gov.au
    - www.dmitre.sa.gov.au/small_business_home
    - www.mentors.org.au
    - www.business.tas.gov.au

1.11 A final word

For many people new to management systems, and HSE management systems in particular, it can all seem bureaucratic and a long way from the reality of day to day work.

The management systems you will develop through this toolkit are meant to reflect all the good things that you and your employees are doing to look after each other, your business, the quality of services and the environment. It will take creativity and leadership to ensure that your systems reflect and reinforce your good practice rather than being seen by your employees as a burden.

2 About this toolkit

2.1 Background

The *IBA Indigenous Prequalification Toolkit* is designed to help Indigenous businesses seeking to prequalify as contractors in the Australian resources or Resource Sector.

The Toolkit has been produced in consultation with representatives of a number of mining and oil and gas companies, Indigenous businesses, peak bodies and government agencies.

The first version of the Toolkit was produced in April 2013, with a revised version produced in February 2014.

The templates and guidance materials are provided as examples that can be adapted to the workplace or organisation, but are not the only means by which compliance with national standards or best practice can be achieved.

Some terms in the Toolkit are different from the language used in the Occupational *Safety and Health Act 1984* and the *Occupational Safety and Health Regulations 1996*. It is important that the Toolkit is used along with the relevant legislation and regulations in each State or territory.

For example, more information on occupational safety and health in Western Australia can be found at www.worksafe.wa.gov.au. Similarly, more information on injury management and workers compensation in Western Australia can be found at www.workcover.wa.gov.au.

2.2 Disclaimer

IBA expressly disclaims any and all liability and responsibility to any person in respect of anything, or the consequence of anything, done or omitted by any person in reliance, whether wholly or partially, upon the contents of this document.

2.3 Duty of Care

The information in the Toolkit is intended to be general in nature. The user of the Toolkit therefore has a strict duty to review the area(s) at which the work is to be carried out and the nature of the activities that will be carried out or performed to ensure that any additional legislative or regulatory requirements are identified and incorporated into the organisation's policies and procedures.

This Toolkit is not intended to substitute for specific legal or specialist advice, but rather is intended to provide guidance to enable Indigenous businesses to develop internal systems and procedures in a systematic manner that will help meet the requirements of vendor prequalification in the Resource Sector.

Additional information may need to be developed taking account of the specific prequalification requirements of each Resource Company. The systems and procedures that are developed by each Indigenous business will therefore need to be tailored to best meet the needs of the industry,

location and size of the business concerned. Each business will need to consider how to make best use of the templates provided in this kit and how to implement them.

All documents relating to HSE should be regularly reviewed and updated to reflect changes or updates to legislation, codes, standards and organisational policy and procedures.

3   Organisational Structure and Capacity

Resource Companies usually ask their contractors for general information on their business so that they can judge if the contractor will be a reliable service provider.

Most Resource Companies will want to know how big your business is and how it is organised. They want to make sure that someone is accountable to manage things like safety, environment, finance and human resources. They will also want to understand what your business can do – its capacity. Capacity includes the skills of your staff, how many staff you have, the kinds of jobs your company has been able to do in the past and how well managed your company finances are.

Outlining your company's organisational structure and capacity is usually in the first part of any prequalification questionnaire.

<u>**What are the Resource Company prequalification requirements**</u>

Prequalification forms usually include questions about *Organisational Structure and Capacity*:

- <u>Company ownership and structure</u> – You may be asked for :
    - o   Postal address;
    - o   Website address;
    - o   The way your business is set up - whether the business is a *sole trader*, *partnership*, *company*, *trust or joint venture*;
    - o   Constitution; and
    - o   Company shareholding (including a breakdown of who owns the shares).

- <u>Management structure</u> –You may be asked for an 'organisational chart' that shows the number of employees, their positions in the business and who is responsible for what.

- <u>Indigenous ownership and participation</u> – Many Resource Companies prefer to use Indigenous businesses where they can. You will be asked for information that confirms whether your business meets their definition of an Indigenous business.

- <u>Memberships and Associations</u> – One way to gauge an organisation's experience in delivering trade or other services is to find out if it is a member of the relevant peak body (e.g. The Master Plumbers and Mechanical Services Association)

- <u>Business skills, capacity and staff qualifications</u> – You may be asked for an overview of the strategy and objectives of the business (a summary of your business plan), a list of the skills of key staff, previous experience and the areas in which your business prefers to work.

<u>**Purpose**</u>

The sections below provide more information on each of these matters with links to examples in the appendices.

3.1 Company Ownership

An Example Company Details Template is set out at ***Appendix A1*.** This template can be used to pull together the types of general company information that Resource Companies may ask for as part of the prequalification process.

Nature of incorporation – This concerns the way your business was set up. The main options are:

- Sole trader – the business is owned by one person, and often run in that person's name e.g. *Dave Jones Electrical*;

- Partnership – the business is owned by two people e.g. *Dave and Barry's Electrical*;

- Company – the business is an incorporated company with shareholders; or

- Joint venture – the business is a partnership between two companies.

If you are not sure about how your business is set up, ask your accountant. They will know.

Shareholding– If your business is an incorporated company with shareholders, the Resource Company may ask who these shareholders are. This may be to:

- Make sure that there are no conflicts of interest in doing business with this company - a common conflict is where an employee of a Resource Company also owns a business that does work for the Resource Company;

- Make sure that none of the Resource Company's competitors own parts of your business; and

- Check that your business really is an Indigenous business.

If you are asked to outline the shareholders in your company, you will need to provide:

- names of major shareholders;

- number of shares held; and

- class of shares held.

Constitution – Resource companies may ask to see a copy of your businesses constitution. A constitution is the written set of rules that govern the conduct of a business and its board of directors.

3.2 Organisational or management structure

An organisational chart is the best way to show how your business is structured.

An **Organisational Chart** is a diagram which sets out the job titles of the various people that work in the company and who they are responsible to. This usually involves the CEO or Directors sitting at the top of the diagram, the most junior staff at the bottom and the other staff in between depending on their seniority.

If you don't have an organisational chart, you can develop one using programs like Microsoft Word or Microsoft Visio. An example Organisational Chart is set out at **Appendix A2.**

3.3 Indigenous ownership and participation

Some Resource Companies prefer to work with local companies, Indigenous companies or even companies that are owned by specific Traditional Owner groups. Because of this, a Resource Company may ask:

- Percentage of Indigenous ownership of the business;

- Names of Indigenous share owners and the number of shares held;

- Number of Indigenous employees;

- Percentage of the total workforce that is Indigenous; and

- Business location.

See example Share Ownership Register at **Appendix A3.**

3.4 Business skills and capability, financial capacity and staff qualifications

Resource Companies may ask you for:

- a current business plan (see www.iba.gov.au)

- a list of plant and equipment owned by the business (See example Fixed Assets Register at **Appendix A4**)

- a record of the various skills, trades and licenses held by the management and employees of the business (See example License / Qualifications Register at **Appendix A5**)

- Previous experience – As part prequalification (indeed any tendering process) Indigenous businesses will often be asked to demonstrate their experience in undertaking similar projects in the past. Your list of project should outline:

  - Contract value;

  - Who you did the work for – the client

  - Nature of project

  - Start and end dates

  - Project referee – a client's employee who can say how your business did.

  See example Project Register at **Appendix A6.**

- A list of current projects -This list should show:

  - Contract value;

  - Who you are doing the work for – the client

  - Nature of project

  - Start and end dates

  - Project referee contact details

See example Project Register at **Appendix A6**.

- a list of the different insurance policies that your company holds. This list should cover:
    - Name of insurer;
    - Type of insurance
    - Policy number
    - Expiry date
    - State or territory policy covers
    - Amount of cover
    - Any specific conditions

There are four main types of insurance cover that Resource Companies will ask for. These are:

- o <u>Workers Compensation Insurance</u> – Employers are required by law to hold this type of insurance to cover their employees in case they are injured or become sick through a work related incident.

- o <u>Professional Indemnity Insurance</u> – Professional Indemnity insurance covers some of the costs if your company is taken to court because of something it may have done wrong. For example, a customer might take Joe's Electrical Company to court to claim damages because they believe that Joe's electrical work was the cause of an electrical fire that burnt down their offices. If Joe's Electrical has Professional Indemnity Insurance, the insurance will pay court costs and damages that may be awarded against Joe.

- o <u>Public Liability Insurance</u> - Public liability insurance covers your business when a member of the public claims to have suffered injury or losses because of your business. For example, if a member of public trips on a loose floor tile in reception and breaks their wrist, Public Liability insurance is designed to pay compensation to the injured person and the costs of defending your business in court.

- o <u>Motor Vehicle Insurance</u> – Resource Companies will often also ask for the details of any motor vehicle insurance held by your company. This is to ensure that your employees and any other people or property are insured in case of accidents while driving company cars.

See example Insurance Register at **Appendix A7**.

- 3 years of audited financial statements (profit and loss and balance sheet).

4 Health, Safety and Environment (HSE)

What are the Resource Company prequalification requirements?

Most Resource Companies are looking for the following things in your HSE management system:

1. HSE policy;
2. A system of HSE risk identification and management;
3. Safe work procedures and standards;
4. A system of incident management;
5. HSE training and safety awareness;
6. Clear accountability for aspects of the HSE management system;
7. HSE auditing and reporting; and
8. HSE document control.

Purpose

This section provides more information on each of these matters with links to examples and templates in the appendices.

There are many different systems and terms for HSE management. Each company has its own methods and ways of doing things and approaches differ between industries and government. There are many different tools, diagrams, checklists and procedures, each one tuned to the needs of a specific industry or business.

Some of the terms you will hear include:

- **OH&S Management systems:** OH&S stands for *Occupational Health and Safety*. This term is very common outside the Resource Industry. It covers management systems focussed on workplace health and safety.

- **OHS&E:** As above with Environment included. Not a common term in the Resource Industry, but widely used elsewhere.

- **HSE Management systems:** HSE stands for *Health, Safety and Environment*. This term is more common in mining. The three areas are often bundled together under the heading *Sustainability*.

- **HSEC Management systems:** The C is added for Community Relations, an area which is slowly developing its own management systems.

The important thing to remember in all this complexity is that all these different approaches are trying to do the same basic things:

- create workplace culture that cares for health, safety and the environment;
- identify risks;

- demonstrate how those risks will be managed;

- ensure that employees understand these risks and how to work with them; and

- find ways to continuously improve the way the company deals with HSE.

In this section we will explain the basics from a mining perspective and point to a range of simple example documents that can be used by an Indigenous business to build their HSE systems and capacity. The Resource Company you are dealing with also may give you examples.

More information on the legislation and regulations associated with occupational health and safety can be found on the websites of government agencies such as:

- www.commerce.wa.gov.au/worksafe;

- www.deir.qld.gov.au/workplace/index.htm;

- www.workcover.nsw.gov.au;

- www.worksafe.vic.gov.au/laws-and-regulations/occupational-health-and-safety;

- www.safework.sa.gov.au;

- www.worksafe.nt.gov.au;

It is the responsibility of the business owner to ensure that they comply with the requirements of occupational health and safety legislation. **While the information contained in this toolkit may provide some guidance on setting up management systems to assist with this compliance process, it is management's responsibility to be aware of their business's HSE risks and legislative requirements and make sure that whatever policies and procedures they establish are fully compliant with the relevant laws and regulations.**

4.1   HSE Policy

What does it mean?

A *HSE Policy Statement* is a document that outlines your company's aims and commitments to the health and safety of your employees (and the public in some cases) as well as care for the environment. A HSE policy statement may also contain information on *how* those aims and commitments will be achieved by describing a set of principles and strategies.

A HSE Policy statement is a *high-level* document – that is, it is a document that describes the overall aims and values of your business, when it comes to health, safety and the environment. The actual procedures and activities that managers and employees undertake are all about achieving your HSE aims and put your values into practice.

HSE policy statements are generally short - only one or two pages long. The HSE Policy is often displayed in a public places like lunch rooms or reception areas to remind everyone of the business's commitment to HSE.

4.1.1 Policy Aims

HSE policy aims or commitments are generally short and to the point. Here are some examples:

- *We aim to send our employees home safe and well at the end of each working day.*
- *We aim for zero-impact on the environment.*
- *Our aim is zero injuries or fatalities.*

4.1.2 Policy Principles

HSE Policies often include *policy principles* that guide how the employees of the company will behave. Here are some examples of policy principles:

- *Safety is our first priority.*
- *We will work from a duty of care and concern for our workmates.*
- *We have a commitment to prevent incidents that may lead to injuries, illnesses, pollution, property and environmental damage.*
- *We will comply with all HSE laws and regulations.*
- *We will seek continuous improvement in our HSE performance.*
- *We will leave the environment in a better state than we found it.*

4.1.3 Strategies

The *strategy* section of a HSE policy shows how the aims and principles of the company will be put into practice. Some examples of HSE strategies are listed below:

We will achieve our Health, Safety and Environmental goals through:

- *a supportive HSE culture with visible leadership with clear accountability;*
- *programs and procedures that ensure full and consistent implementation of HSE policies;*
- *regular audits with follow up to ensure compliance with the laws, and internal policies and procedures;*
- *the development, testing and maintenance of safe work and emergency procedures to help prevent HSE incidents; and*
- *regular reporting on our HSE performance*

An example of a HSE Policy can be found at **Appendix B1.1.**

4.1.4 Other HSE Policies

In addition to the main HSE policy discussed above, businesses working in the Resource Sector will often also develop policies to cover key activities that are thought to be particularly dangerous for staff to undertake. Some examples of these other HSE policies can be found at **Appendix B1**. These include

- Example Vehicle Driving Policy **(Appendix B1.2)**

- Example Personal Protective Equipment Policy (PPE) (**Appendix B1.3**)

- Example Alcohol and Other Drugs Policy (only applicable to some companies) (**Appendix B1.4**)

- Example Working at Heights Policy (**Appendix B1.5**)

- Example Aggression in the Workplace Policy (Appendix B1.6)

- Example Working in High Temperatures Policy (**Appendix B1.7**)

- Example Working with Hazardous Substances Policy (**Appendix B1.8**)

- Example Working Alone Policy (**Appendix B1.9**)

- Example Grievance Policy (**Appendix B1.10**)

- Example Equal Opportunities Policy (**Appendix B1.11**)

4.2   Risk Identification and management

Your business will be expected to show that it has identified the risks to the health and safety of your employees and considered ways to minimize these risks.

The most common document that describes these risks (or hazards) and how they will be managed or mitigated is called a *HSE Risk Register*. An example of a HSE Risk Register can be found at **Appendix B2.2**.   More detailed examples of risk registers including a Hazardous Substance Risk Register can be found at **Appendix B2.11** and a Noise Hazards HSE Checklist can be found at **Appendix B2.9**.

Using these templates you should aim to list **ALL** of the risks that that your employees may encounter, and what you plan to do about them. This is no small task.

4.2.1   Involving your employees in risk identification and management

It is unlikely that one person will be able to think of all the risks that might exist in your workplace. Also, risks change over time and equipment, products, buildings and people change. For these reasons it is vital to involve your employees in the development and maintenance of your risk register – and all other aspects of your HSE management. There is an example of a HSE Employee Consultation Policy at **Appendix D2**.

The active involvement of everyone in the workplace is essential for the success of any HSE management program, and helps to develop a 'safety culture'. As your employees are doing the work, they are the ones mostly likely to spot risks and suggest solutions. For example, employees will have first-hand knowledge of:

- problems with work practices and procedures;

- faults with machinery, plant or furniture;

- difficulties caused by the design or layout of work equipment;

- the type, frequency and seriousness of incidents or near-misses;

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- the safety implications of any short cuts or new ideas; and

- HSE training programs and their effectiveness.

The 1994 *OHS Act* requires that all employees take all "*reasonably practicable steps, whilst at work, to ensure that their actions or omissions don't create risks or increase existing risks to the health and safety of themselves or others*". This means that employees must work with their employer in matters of health and safety, and use any equipment properly and safely.

But beyond the legal requirements – employees who have been involved in developing safety systems are much more likely to understand and support those systems than employees who get a pile of safety paperwork dropped in their laps with a note saying "COMPLY". For all these reasons it is likely that the company that you are dealing with will want to see evidence of how you involve your employees in identifying risks and finding ways to manage those risks.

Some businesses have involved their employees in HSE management through:

- **Health and Safety Committees:** Setting up a health and safety committee with employee representatives is one way to involve your employees in HSE management. The minutes of these meetings provide good evidence of the involvement of your employees in HSE management and will contribute to the risks listed in your risk register. See example Health and Safety Committee Agenda and Minutes templates at **Appendix B6.3** and **Appendix B6.4**.

- **Safety Toolbox Meetings:** these are meetings, typically at the start of the day where the work of the day is discussed and safety issues raised. Once again, the records of these meetings help to demonstrate the involvement of your employees and may identify risks that have not yet been addressed in your risk register. Example templates of a Toolbox Safety Meeting Agenda and Toolbox Safety Meeting Minutes can be found at **Appendix B6.1** and **Appendix B6.2** respectively.

- **Job Hazard Analysis and Job Safety Analysis forms**: Another way for employees to identifying risks is through the regular completion of *Job Hazard Analysis* (JHA) and *Job Safety Analysis* (JSA) documents. In JHA's and JSA's employees look at the risks in a specific task – surveying a bush track for example – and describe ways to manage these risks and complete the task safely. Examples of a JSA document a JHA document are included at **Appendix B7.1** and **Appendix B7.2**.

4.2.2 HSE Checklists

The appendices contain a range of checklists used in different businesses, and different parts of a business to help identify and address risks. Some of these may be useful in your business. These include:

- *HSE Risk Assessment Checklist* – This checklist can be used by supervisors to assess the potential impact and likelihood of risks within their workplace. An example of an HSE Risk Assessment Checklist is set out at **Appendix B2.3**. This tool can be used for a 'whole of organisation' risk assessment.

- *Workshop HSE Checklist* – This checklist helps leaders risk assess industrial workshops. The checklist can be found at **Appendix B2.4** of the appendices.

- *Activity level Risk Assessment Checklists* – These checklists can help you assess the risks connected with particular activities. They include:
  - ✓ *Manual handling* (See Example Manual Handling Risk Assessment Checklist at **Appendix B2.5**);
  - ✓ *Vehicle use* – (See Example Vehicle Use Risk Assessment Checklist at **Appendix B2.6**);
  - ✓ *Use of Field Equipment* – (See Example Field Work Equipment Checklist at **Appendix B2.7**)
  - ✓ *Vehicle Trailer use* – (See Example Vehicle and Trailer Inspection Checklist at **Appendix B2.8**);
  - ✓ *Noise Hazards* – (See Example Noise Hazards HSE Checklist at **Appendix B2.9**)
  - ✓ *Purchasing* – (See Example Safe Purchasing Checklist at **Appendix B2.10**)
  - ✓ *Hazardous Substances* – (See Example Hazardous Substance Register and Risk Assessment at **Appendix B2.11**)

4.2.3 Rating Risks

Most risk registers rate the risks according to how serious they are. A risk rating or level is useful because it allows you to prioritise work on the most dangerous risks.

Risks are generally rated according to how likely they are to happen (**Likelihood**), and how serious the consequences will be if they occur (**Impact**). Something that happens all the time and has serious consequences (like a death, or many deaths) is very serious. This might get a *Critical* rating. Something that is very rare and only leads to minor discomfort for some employees is far less serious and might get a *Low* rating.

The following table is useful in assessing the likelihood and consequence of a particular action and assigning a risk rating. Obviously, if the likelihood and consequences of an action will result in high levels risk, then the action should be avoided as much as possible. Some resource companies use different types of risk rating tables and it is advisable that Indigenous businesses contact the relevant officer at the company they are dealing with the make sure that the risk matrix used in prequalification documentation matches that company's requirements.

Figure 1 – Risk rating table

		Likelihood			
		Very Likely	Likely	Unlikely	Highly Unlikely
Impact	Death(s); lasting environmental damage to important assets (e.g. water source)	Critical	Critical	High	Medium
	Major injuries requiring hospitalisation; short term damage to important environmental assets	Critical	High	Medium	Medium
	Minor Injuries requiring medical treatment; local environmental damage	High	Medium	Medium	Low
	Negligible injuries;	Medium	Medium	Medium	Low

Risks in a workplace should be removed or reduced by taking steps to reduce the likelihood of them occurring or reduce the consequences if the risk turns into reality. If a serious risk cannot be removed, then the activity that involves that risk should not be undertaken.

HSE risks can be reduced or removed by introducing *risk controls, control measures or mitigations*.

4.2.4 Risk Controls, Control Measures or Mitigations

Each of these terms mean much the same thing – what are you going to do to make sure the risks you have identified in your business don't happen?

Not all control measures are equal. For example, suppose your business uses a pesticide that is also very dangerous to people. You could reduce this risk by ensuring your people wear gloves and masks. But it would be far better if you could *substitute* this pesticide with one that is not harmful to people, but still does the job. Substitution is a far better control measure than personal protective equipment (PPE) because PPE depends on everyone wearing the right PPE at all times. If the dangerous pesticide is not there, the risk is gone, and it doesn't depend on anyone remembering to change the filter in their breathing apparatus.

Control measures are classified according to the list below. The best measures are at the top of the list and the least effective are at the bottom:

- Elimination – Eliminate the hazard from the workplace altogether. For example, get rid of unwanted chemicals, remove hazardous machines or processes and repair damaged equipment promptly.

- Substitution - If a risk cannot be eliminated, try to substitute it with something that has a lower risk. For example, substitute a hazardous chemical with a less dangerous one.

- Isolation - Isolate the problem from people - this is often done by the use of separate purpose-built rooms, barricades, or sound barriers. For example, keep dangerous chemicals in a locked room.

- Engineering controls - Re-design equipment, work processes or tools to reduce or eliminate the risk. For example, a company may install proper machine guarding to reduce risks of injury.

- Administrative controls – Administrative controls include appropriate training, written work procedures, adequate supervision, signage, maintenance of plant and equipment, or limitation of exposure time. See Appendices **B2.12** and **B2.13** for examples of Registers for 'plant and equipment' and 'electrical' equipment.

- Personal protective equipment - Provide adequate personal protective equipment to staff undertaking high risk activities. PPE is the least effective method of dealing with a hazard.

4.3 Safe work procedures and standards

In spite of your efforts to eliminate, substitute, isolate or engineer out risks there will still be many activities that remain significant risks. For example, if your employees must drive in remote areas there are risks connected with this activity that cannot be eliminated, substituted or isolated - Driving itself is inherently risky.

The only options left to manage these risks are administrative controls and PPE. Your people have to *behave* in a way that keeps them safe. There are many similar types of work where risks cannot be wholly eliminated:

- Working at heights

- Working in confined spaces

- Manual handling (e.g. lifting heavy objects)

- Working with hazardous substances

- Heaving equipment operation

- Light vehicle driving

- Travel

- Emergency response (e.g. cyclone, civil disturbance, fire etc)

- Dust and heat exposure

- Fatigue

If you have these types of risks in your business, you will be expected put in place the safe work procedures that make sure your employees can perform these tasks safely.

The appendices in this toolkit contain many examples of safe work procedures, standards and other supporting documents that will help you develop your own set of safe work procedures and standards. **Appendix B5** contains 19 different procedures you can draw on.

4.4 Incident management

Even though your business may have done a great job eliminating risks and training your staff in safe work procedures, it is unlikely that all injuries, environmental issues and health impacts will disappear from your workplace overnight.

It is essential that you have a system for reporting, recording and understanding the issues that may continue to occur within your business.

Outside of the mining and resources industry people often refer to events where someone is hurt or the environment is damaged as *accidents*. But within the mining and resources industries, the preferred term is *incident*. This is because *accident* suggests that injuries are just the result of random chance and there is nothing that can be done to eliminate them.

A basic assumption of a safety culture is that all incidents can be eliminated if enough care is taken.

> A HSE **incident** is an event that led – or could have led - to unnecessary harm or damage.

Your incident reporting and investigation system should describe clear procedures for identifying, reporting, recording, investigating and responding to incidents. A number of example forms, procedures and diagrams have been included in the appendices to the Toolkit to help you develop this system.

- *Example Incident Reporting Flowchart* – This document contains a flowchart outlining how incidents should be reported (**Appendix B3.2**).

- *Example Incident Investigation Procedures* – This document shows how a company can setup procedures for investigating incidents (**Appendix B5.2**)

- *Example Incident Report Form* –This document could be used by employees involved in an incident to make a report (**Appendix B3.3**).

- *Example Incident Investigation Form* –In line with the example Incident Investigation Procedures, this document can be used as part of an incident investigation (**Appendix B3.1**).

- *Example Guidelines to Reporting of work injuries and disease to Worksafe / WorkCover* – These guidelines can be used by a company to make reports of injury or disease to the relevant state government agency (Worksafe / Workcover) (**Appendix B5.19**).

- *Example Notification of Injury Form* –This form can be used by a company to notify Workcover / Worksafe of an injury occurrence (**Appendix B3.4**).

4.4.1 Emergency Management

Another important part of incident management is *Emergency Response*. Effective emergency management means that your business must develop clear and widely understood procedures for responding to emergencies.

An **emergency** is any unplanned event with serious consequences. These consequences may be:

- death or significant injuries to employees, contractors or the public;

- shutting down your business or seriously disrupting operations;

- major environmental damage;

- destroying your company's financial standing or public image.

Your business should aim to have:

An Emergency Management Plan – An Emergency Management Plan says what you will do in response to different kinds of emergencies and how you will return to business as usual. In the north of Australia most large businesses have an Emergency Management Plan that says how they will respond to a cyclone.

An Emergency Management Plan:

- o Clearly describes when the plan, or parts of the plan, will be triggered (e.g. when a Cyclone Watch is issued by the Bureau of Meteorology)

- o Identifies who is responsible for particular tasks in the emergency response (e.g. Manager of Operations will contact by phone all outlying sites and direct them to shut down operations);

- o Outlines how business decision making will occur and emergency communications systems; and

- o Coordinates the response of your business with your customers and community members.

An Example Emergency Management Plan is set out at **Appendix B4.1**.

- *Emergency Management Procedures* – An Emergency Management Procedure is a more specific document that may cover a single building or workplace. It may describe:

  - o The emergency evacuation process;

  - o How a building or plant should be shut down and made safe;

  - o When employees should be sent home;

  - o How assets should be made secure – how files and data stored in computers should be protected; and

  - o How a particular site communicates with the rest of the business about its preparations or requirements.

> o How to practice drills and tests to make sure the business is ready for an emergency.

Example Emergency Management Procedures are set out at **Appendix B5.1**.

- *Workplace Emergency Notices* – These are staff awareness notices (usually in the form of posters) that can be posted around the workplace to make sure that employees know what to do in case of an emergency. Some example Emergency notices for fire and personal injury are set out at **Appendix B4.2** and **Appendix B4.3**.

4.5 Environmental Management

An increasingly important part of any HSE system or framework is an Environmental Management System. This is the part of the HSE system that sets out how a company makes sure that its employees act in accordance with the relevant environmental laws and regulations and operate in a manner that minimises any negative impact on the environment. Some example documents that relate to environmental management can be found at **Appendix B8** of this Toolkit.

4.6 HSE Training and safety awareness

The 1994 *OHS Act* requires an employer to provide *"to employees, in appropriate languages, the information, instruction, training and supervision necessary to enable them to perform their work in a manner that is safe and without risk to their health."* [Subsection 16 (2) (e)]. Part of this duty is to give your employees the proper training they need to do their job safely and effectively. This includes training in:

- safe methods for carrying out tasks;
- safe use of equipment or substances;
- use personal protective equipment (PPE);
- reporting and emergency procedures; and
- their responsibilities for health and safety.

Your business will need to consider a number of factors to decide what training is needed by your employees:

- the nature of the task;
- the experience, language and literacy of the employees;
- the plant and substances used;
- hazards identified and risk assessments conducted; and
- the views of your employees on appropriate training support.

Mining businesses have developed a range of different types of training to meet the needs of their employees. These include:

- **Induction Training:** Induction training is given to all new employees so that they are aware of the major risks in the workplace, how they are managed and how they can keep safe. Induction training introduces the new employee to the business and their workplace. Induction training typically contains:

  - ✓ Information on the rights and obligations of employees under the OHS Act and company policy;

  - ✓ Information on the major risks at the worksite;

  - ✓ HSE policy and safety rules;

  - ✓ Health and safety procedures; and

  - ✓ Emergency response procedures.

  An Example Induction Checklist is set out at **Appendix D10**.

- **On the Job Training:** On-the-job training is supervised by a leader or an experienced co-worker.

- **Refresher Training:** Refresher training is typically a short training course designed to remind employees about an issue or let them know about changes in safety systems. For example, employees may attend refresher training when an important safe work procedure is changed. Regular refresher training helps to keep staff informed of operating procedures, corporate policies, and changes to systems/methods of work.

- **HSE Training:** Many companies also offer more detailed training in safety systems for elected health and safety representatives and employees involved in organisational health and safety committees.

- **Information sharing:** In addition to formal training, most businesses with a strong HSE culture share safety and other information widely through regular email updates on HSE performance, hazards and incidents or changes in policies or procedures. There may also be posters and charts on walls, safety awards and innovations, *safety shares* prior to meetings and many more.

- **Leadership:** A vital element in the development of safety culture is clear messages from a business's senior leaders that HSE is important. Frequent communication from senior leaders on their expectations and values around safety raise awareness of safety issues and frame the conversation about safety in the workplace. Some of the best leaders in HSE develop a safety culture in their business simply by finding ways to express care and concern for their employees.

A major challenge in safety training is keeping the training fresh, interesting and relevant. Poorly designed training can cause your employees switch off to safety messages and start to see safety practice as a burden. This kind of training may stand in the way of a strong safety culture.

4.6.1 HSE Training Records

It is very important that accessible records are kept of the training that each person does. These records demonstrate that your business is giving its people the training they need to stay safe and minimise health and environmental impacts.

These records are typically kept in a training matrix which allows your company to demonstrate that employees are trained and competent for their work, and that the training is up to date. An Example Training Matrix is shown at **Appendix D13**.

4.7 HSE Control, Reporting and Auditing

4.7.1 Reporting

In Section 2.4 we highlighted the need to make sure that every incident is reported, investigated and recorded. Over time, these incident records may number in the thousands. Your business will need to store these records so that you can make good use of this valuable information. In smaller businesses, incidents might be recorded in a hardcopy file, a spreadsheet or small database. However, most large organisations require a specialised *HSE Information management system* to help them use this information to understand and address the safety issues.

Whatever the scale of your business, you will need a way to create reports and summaries about your HSE performance. A good report system can help you:

- identify trends or patterns in the kinds of incidents that are occurring;

- demonstrate that your organisation complies with the law and the requirements of your major clients; and

- decide if the control measures you put in place are having the desired effect – i.e. reducing the number of incidents.

Your HSE reporting system will need to cover:

- <u>Investigations</u> – The findings and progress of any investigations into incidents (see Example Incident Investigation Form at **Appendix B3.1**).

- <u>Incident reporting</u> – Any incidents that have been reported should be recorded in the system (see Example Incident Report Form at **Appendix B3.3**).

- <u>Hazard reporting</u> - Any hazards or risks that have been reported should be entered into the system (See Example Job Hazard Report Form at **Appendix B3.5**).

- <u>Create management reports</u> - Produce reports to help assess the company's HSE performance and enable leaders to review progress.

- <u>Formal safety reporting</u> – Most mining businesses require their client to regularly report their safety performance. These are normally one page summaries showing:

  ✓ The time period covered by the report;

  ✓ The total person hours worked;

✓ Number of fatalities during that time period;

✓ Number of first aid injuries during that time period;

✓ Number of medical treated injuries during that time period; and

✓ Number of days lost time due to injuries during that time period.

See Example Contractor HSE Performance Report at **Appendix B3.6**.

4.7.2 Auditing

An audit is a check, usually by an independent person, to make sure that a company's HSE policies and procedures are being followed. Smaller audits or inspections may be internal, where a manager from one part of the business checks on another part of the business.

External audits may be done by a specialist consulting organisation and will look into every aspect of HSE in your business. Many larger businesses conduct an annual *HSE Management Systems Audit* to provide independent evidence about the company's HSE performance. Auditing allows the company to compare their HSE systems with best practice and identify any gaps in controls. The prospect of an audit can also focus the energy of employees on filling gaps in their HSE systems.

If your business commissions an audit, the auditors will want to see evidence of how your HSE system is working. One important type of evidence is the reports and records from your HSE management systems.

An example of a Workplace HSE Management Systems Audit can be found at **Appendix B2.1**.

4.8 HSE Accountability

An important lesson learnt early in the development of large modern businesses is that if no one is made accountable for something, it is not likely to get done. This principle also applies to developing and maintaining a safety culture and HSE systems.

Every aspect of your HSE management needs to be linked to an accountable person. For example:

- A senior leader needs to be accountable for the review and update of the HSE policy

- A safety specialist needs to be responsible for the review and update of the overall business risk register. Other specialists may need to be made accountable for specific risk registers, say in chemicals or electrical safety.

- Key personnel need to be made accountable for the maintenance and update of specific safety procedures and standards.

- Leaders need to be made accountable for the safety of the people in their teams. Leaders must be accountable to make sure that their people are given time to participate in training and discuss safety, health and environmental risks.

- An individual (e.g. a Training Manager) should be accountable for ensuring that adequate safety training is provided.

It does not matter if your business is a small and only one person is accountable for many aspects of safety – accountability still needs to be clearly allocated.

Who is accountable for aspects of the HSE management may be outlined in an overarching accountability document, or identified separately on each individual document that makes up the overall HSE management system.

The senior leaders in your business will need to spend some time allocating accountability and making sure that each employee with responsibilities understands. Senior leaders will also need to ensure that accountabilities are clearly described and do not overlap, otherwise confusion might occur at critical times.

4.9   HSE document control

From everything that we have covered so far it is clear that a HSE management system contains many, many documents.   You will need a way of keeping track of all the documents that together, make up your HSE management system.   You will need a find a way to:

- List all the documents that are part of your HSE management system, what version they are up to and who is responsible to review and update them.

- Keep track of which is the latest or master version of a document, and get rid of all older versions. Most businesses do this by ensuring that every document has a version number, a reference number, a review date and a person responsible for updating the document.

- Make all documents accessible to your employees – perhaps through a website or hardcopy folders at key locations.

- Store old or archived information.

- Review and update documents.

Larger businesses use sophisticated and expensive document management systems, purpose built HSE management information systems or intranets to maintain their HSE documents.   In contrast, document control can be achieved in smaller businesses through the use of indexes and careful administration.   What is common across all businesses is that the maintenance of HSE systems and documentation takes a lot of effort, can cost a lot of money and takes a lot of time. Businesses that are seeking to work in the resource sector need to understand this fact.

5 Quality Assurance

Quality assurance is the actions taken by a company to prevent quality problems from occurring in whether products or services they produce or provide. This usually involved the development of processes and systems for carrying out tasks which make sure that product/service quality remains high.

An example of a quality assurance system at a light-bulb manufacturing company may be to document each of the steps involved in producing the light-bulbs to make sure that the same process is followed by staff regardless of who is working on that day. Companies often also employ a quality assurance (QA) officer whose job it is to check the company has the right standards and procedures in place to cover the work that it does and that the quality of goods and services stays at the level required by Management. The QA officer will make sure that proper accountability is allocated for these standards and procedures; that careful planning is taking place and that there are systems to monitor how the company is performing.

There are a number of global standards for quality assurance that describe everything that a company should be doing to be given a *Quality Assured* label. These standards include International Standards Organisation (ISO) 14001 for environmental management systems and ISO 9000 for the customer relationship.

The advantages of an organisation having effective quality assurance processes in place is that such a process should reduce:

- the number of errors in the production/service delivery process;
- the number of complaints from customers in respect of faulty goods or poor services;
- waste of time and materials associated with errors;
- the number of problems to fix ;
- the time spent on giving day-to-day instructions; and
- the time needed to improve processes and systems.

Quality Assurance - What are the Resource Company prequalification requirements?

Not all mining businesses ask about quality assurance as part of prequalification, and many will accept that a full QA management system is beyond the reach of smaller businesses because of the cost and complexity. However, if QA is a part of prequalification requirements, you may be asked:

a) To show evidence of a quality management system;

b) About who is responsible for quality assurance in your business and whether you have a QA officer; and

c) To show evidence of assessment against quality standards.

Purpose

This section contains more information on each of these requirements and links to a variety of quality assurance documents and templates.

5.1 Evidence of a Quality Management System

If your company must demonstrate progress towards Quality Assurance as part of prequalification, you will need to show evidence of a Quality Assurance management plan. This plan will describe all the procedures, people and activities your business does to meet a quality assurance standard.

An example template for a Quality Management Process can be found at **Appendix C1**.

5.2 Quality Assurance Officer

You may be asked, as part of prequalification, whether you have given responsibility for Quality Assurance to a specific person in your business. If you have not already done so, you should consider creating the role of *Quality Monitoring Officer* to oversee the organisation's quality assurance process since this is sometimes a prequalification requirement even for small companies.

If you are a small or medium-sized business, you can add responsibility for quality assurance to the role of an existing employee. For example, you might add quality assurance to the role of Operations Manager, rather than create a new position.

Whether the person responsible for QA is a full time QA officer, or it is a part time aspect of their role, they will need to make sure that the main aspects of a quality assurance process are in place.

5.3 Evidence of assessment against quality standards

There are two ways that your business can provide evidence that it is following a QA system.

- Your business regularly assesses itself against quality standards (sometimes called 'quality benchmarks').

- Your business uses specialised independent standards companies to help with this assessment of quality.

Most businesses that are aiming to be Quality Assured companies do both, however, an external assessment or audit is perhaps the strongest type of evidence your company can offer to your customers and shareholders.

Specialist standards companies will work with your business to develop your quality assurance policies and procedures. Once you have had the chance to work with these procedures, they will return to conduct an audit. The aim of this audit is to see whether your business is meeting the QA standards and give your business a rating. For example, the standards company may give your business a star rating – e.g. three-star or four-star – to indicate how well your business is

doing in quality assurance. Companies who achieve a good rating will use it as a marketing tool so that their customers know that they have strong quality assurance procedures in place and can therefore offer a high quality service. These specialist standards exist because many large organisations will not buy from suppliers who cannot give them assurance that they have systems which support quality.

A **Quality Audit** is a series of checks by an external assessment organisation of the products or services provided by the organisation. The result of these audits is then used to drive improvements in service delivery and improve the quality of goods and services provided by the company.

If your business has worked with a standards rating organisation, you will probably already be familiar with most of the ideas explained here. As part of your prequalification you should provide:

- Name of quality standard (e.g. ISO 14001);
- Assessment organisation (e.g. NOSA);
- Rating;
- Registration number;
- Approval date; and
- Expiry date.

6 Human Resource (HR) Management

Human Resources – or HR - is the term used for the systems and procedures that companies have in place to manage their employees. How does your company recruit employees? What policies does your company have in place to stop bullying and discrimination? How does your company make sure that it follows these policies? All of these things are part of human resources management.

6.1 Employee records

One of the first things you will be asked (under Organisational structure and capacity) is how many employees you have and how they are organised. To answer this question you will need a system in place to keep accurate records of your employees. This system will need to record things like:

- Employee details – name, date of birth, gender etc.;

- The date their employment started;

- Whether they are part time, full time, permanent etc.;

- Their job title;

- Their contract of employment; and

- Information about performance or disciplinary issues.

This system should also be able to produce reports summarising the number of employees you have, their average length of service, the number of males and females etc.

For small companies could be done in a book or spreadsheet of some type. But larger companies will need an employee database or personnel system.

6.2   Evidence of strong recruitment and retention processes

As part of prequalification, you may be asked to describe aspects of your recruitment process including:

- Reference checks;

- Employment history checks;

- Checks on minimum qualifications for supervisors and managers;

- Interviewing candidates – See Example of Interview Evaluation Form at **Appendix D11**;

- Fitness for work medical checks:

  o Pre-work placement medical checks (see example Pre-Employment Medical Form at **Appendix D8**);

  o Existence of random drug and alcohol testing of employees;

  o Provision of medical treatment where required;

  o Substance abuse monitoring; and

  o Hearing conservation program.

Mining and Resource Companies are interested in these matters because they want to make sure that they people you are bringing onto their mine site are able to do the job and are not a risk to anyone.

6.3   Indigenous Employment Strategy

Many major Resource Companies have made strong commitments to employ Indigenous people. These same companies also want to know how their contractors are contributing to Indigenous employment. As an Indigenous business, you will be a in a better position than most to employ Indigenous people, but you may still asked to outline your *Indigenous Employment Strategy*

An Indigenous Employment Strategy Checklist is set out at **Appendix D3** of the Toolkit. This checklist will provide a framework around which a business can develop its own tailored Indigenous Employment Strategy.

6.4   Job descriptions and accountabilities for management and employees

It is important that each employee in the business has a clear job description. The job description will say what each employee must do in their job.   This gives a structure and clear accountabilities for people who work for your business. Job descriptions are also used for setting

wages and assessing how employees are performing. A Role or Job Description will normally include:

- duties;

- responsibilities and accountabilities of the role;

- most important contributions and outcomes needed from a position;

- required qualifications and experience of candidates; and

- reporting relationships to managers and co-workers.

An Example Job Description Form (JDF) can be found at **Appendix D9**.

6.5   Training policy and systems

Making sure your people are properly trained is an essential part of running a good business and keeping your employees safe and productive. You may be asked to show evidence of a system that ensures your employees get the training they need to do their jobs.

You may be asked for documents that show the actual training and competency assessments that employees have undertaken over a set period (e.g. the last year). You might also be asked to outline the training that is planned for the coming year. Some of documents you could provide include:

- A Training policy

- Career Development policy

- Contracts with training organisations

- A training matrix. See Example Training Matrix at **Appendix D13**.

6.6   Coverage of training programs

See **Section 2.5**.

6.7   Induction and HSE Training

See **Section 2.5**.

6.8   Consultation with staff on HSE

See **Section 2.5**.

See HSE Employee Consultation Policy at **Appendix D2**.

6.9   Industrial relations

You may need to provide details of any industrial awards or agreements. It is good practice for a company to maintain records that confirm:

- Agreement name;

- Parties to the agreement ;

- Date certified;

- Expiry date;

- Whether the agreement had Federal or State coverage; and

- Details on any other relevant 'agreements' that the business has in place with trade unions or other representative bodies.

6.9.1 Minimum Employment Standards

The Commonwealth Government has recently introduced 10 entitlements under Fair Work Australia's 'National Employment Standards'. Employers[2] are expected to provide these entitlements for their employees. The 10 Entitlements are as follows:

1. **Fair Work Information Statement** - employers have to give the Fair Work Information Statement to all new employees (see **Appendix D14**).

2. **Maximum weekly hours of work** - 38 hours per week, plus reasonable additional hours.

3. **Requests for flexible working arrangements** - parents and carers can ask for a change in working arrangements to care for young children under school age or children under 18 with a disability.

4. **Parental leave and related entitlements** - up to 12 months unpaid leave, the right to ask for an extra 12 months unpaid leave and other types of maternity, paternity and adoption leave.

5. **Annual leave** - 4 weeks paid leave per year, plus an extra week for some shift workers.

6. **Personal / carer's leave and compassionate leave** - 10 days paid personal (sick) / carer's leave, 2 days unpaid carer's leave and 2 days compassionate leave (unpaid for casuals) as needed.

7. **Community service leave** - up to 10 days paid leave for jury service (after 10 days is unpaid) and unpaid leave for voluntary emergency work.

8. **Long service leave** - entitlements are carried over from pre-modern awards or from state legislation. For details, see the Long Service Leave and the National Employment Standards fact sheet.

9. **Public holidays** - paid days off on public holidays unless it's reasonable to ask the employee to work.

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[2]The National Employment Standards cover: people employed by a constitutional corporation (Pty Ltd or Ltd companies); people employed in Victoria, the Northern Territory or the ACT; people employed by the Commonwealth or a Commonwealth authority; waterside employees, maritime employees or flight crew officers employed in connection with interstate or overseas trade or commerce; people employed by sole traders, partnerships, other unincorporated entities and non-trading corporations in New South Wales, Queensland, South Australia and Tasmania (from 1 January 2010).

10. **Notice of termination and redundancy pay** - up to 4 weeks' notice of termination (5 weeks if the employee is over 45 and has been in the job for at least 2 years) and up to 16 weeks redundancy pay.

6.10 Equal opportunity policy

All employers in Australia must comply with equal opportunities legislation. This legislation aims to ensure that everyone is treated fairly in the workplace and there is no discrimination because of gender, race, nationality or religion.

Key elements in an equal opportunities policy include:

- a statement of intent, including aim and objective of the policy;

- who the policy applies to (scope);

- outline of specific commitments / actions which will be undertaken;

- how the policy will be implemented and who is responsible;

- monitoring and review; and

- how complaints will be dealt with.

An Example Equal Opportunities Policy is set out at **Appendix B1.10**.

6.11 Evidence of processes and systems to manage subcontractors

If your business uses subcontractors you will need to show policies and procedures that say how you make sure that the employees of your subcontractors work in line with your company policies and procedures. This is your prequalification system for your contractors. Mining and Resource Companies want to make sure that any people you bring onto their site know how to work safely there. This includes the employees of your subcontractors. You may need to show how you:

- Recruit and assess subcontractors;

- Train and develop subcontractor employees;

- Communicate with subcontractors about the needs of your client; and

- How you supervise and manage subcontractor employees.

An Example Management of Subcontractors Procedures is set out at **Appendix D12**.

6.12 Mentoring programs are available to new / inexperienced employees

You may be asked as part of prequalification to outline how your business looks after new and inexperienced employees. There are significant risks for inexperienced employees while they learn about the work environment and safe work methods. Some companies have additional support for new employees including:

- **Buddy system:** In a buddy system a new employee is paired with an experienced employee during their first months in the workplace. The buddy is there to show the new employee around, answer questions and explain how things work.

- **Work shadowing:** Extra supervision or work-shadowing can be put in place before an employee works on their own. Work-shadowing is where an inexperienced employee works one-on-one with an experienced employee, watching, learning and repeating the key tasks of the role.

- **Mentoring:** A mentor is typically a specialised employee with counselling and support skills who helps new-starters when they run into difficulties. For example, a mentor may help resolve a conflict with a team member or help an employee talk to their leader about personal issues that could affect their work.

6.13 Human Resources - Example Documents

The following templates and example documents can be found in **Appendix D**. (It is important to note that not all of these documents will be required for every business).

- **Appendix D1**   Example Consultation in the Workplace procedures

- **Appendix D2**   Example HSE Employee Consultation Policy

- **Appendix D3**   Example Indigenous Employment Checklist

- **Appendix D4**   Example Roles and Responsibilities Document

- **Appendix D5**   Example Competency Observation Checklist

- **Appendix D6**   Example Employee Details Sheet

- **Appendix D7**   Example Application for Employment

- **Appendix D8**   Example Work Expectations Pre-employment Medical document

- **Appendix D9**   Example Job Description Form – IT Support Engineer

- **Appendix D10**   Example Induction Checklist

- **Appendix D11**   Example Interview Evaluation Form

- **Appendix D12**   Example Subcontractor Management Procedures

- **Appendix D13**   Example Training Matrix

- **Appendix D14**   Example Fair Work Information Statement

- **Appendix D15**   Long service leave and the National Employment Standards
  Factsheet

7 Financial policies and procedures

> **Financial Policies and Procedures - What are the Resource Company prequalification requirements?**
>
> Some Resource Companies require evidence of strong '*Financial Policies and Procedures*' as part of prequalification. They are seeking reassurance that their contractors are not likely to go out of business overnight due to fraud or mismanagement of the company finances.
>
> Mining and resources companies may ask for the following types of documents as evidence of a business that is well run, financially:
>
> - Risk management plan;
> - Policies on good governance and financial management;
> - Copies of audited financial statements;
> - Evidence of experience of key finance staff;
> - Financial budget;
> - Cash flow projections; and
> - Existence of written financial procedures for finance staff.
>
> It is good practice for all businesses to have strong controls around the use of finances.
>
> **Purpose**
>
> This section explains what is needed for strong financial management and contains links to templates of the kind of documents you may need to provide in prequalification.

7.1   Risk Management Plan

> What does it mean?
>
> '*Risk management*' is the process of identifying, describing and managing the risks that an organisation faces

Risk management is an important part of a business's internal financial control framework and in reducing the risks of fraud and irregularity.

The process of risk management involves:

- understanding organisational objectives;
- identifying the risks associated with achieving or not achieving them and assessing the likelihood and potential impact of particular risks;
- developing programs to address the identified risks; and
- monitoring and evaluating the risks and the arrangements in place to address them.

Risk may affect many areas of activity, such as strategy, operations, finance, technology and environment. Specifically, it may include, for example, loss of key staff, substantial reductions in financial and other resources, severe disruptions to the flow of information and communications, fires or other physical disasters, leading to interruptions of business and / or loss of records. More generally, risk also includes issues such as fraud, waste, abuse and mismanagement.

As part of the effective overview of the company, the Board and senior management should:

- consider what are the significant risks and assess how they have been identified, evaluated and managed;

- assess the effectiveness of the related system of internal control in managing the significant risks, having regard, in particular, to any significant failings or weaknesses in internal control that have been reported;

- consider whether necessary actions are being taken promptly to remedy any significant failings or weaknesses; and

- consider whether the findings indicate a need for more extensive monitoring of the system of internal control.

Appendix E7 includes a list of typical risks that a business faces. This listing is not exhaustive, and is not industry specific. Indigenous businesses seeking prequalification in the resource sector need to understand what their main business risks are and be able to demonstrate that they have taken steps to manage and minimise the impact of these risks.

7.2   What are financial policies and procedures?

The main objective of a successful business is to generate a profit. It is crucial that your business has a way to allow you to track how the business is performing during the year and make sure it can:

- Pay staff

- Pay suppliers

- Collect debts

- Keep track of assets (e.g. vehicles and plant)

- Monitor actual performance against budget

Most businesses maintain their own financial accounting system (e.g. for smaller enterprises MYOB, Quickbooks or similar) or will hire the services of a bookkeeper or accountant who look after "the books" on their behalf.

The purpose of a financial accounting system is to record all of the income and expenditure for the business during the financial year. The system also records the number and value of the assets (e.g. property, plant and equipment) and liabilities (e.g. bank loans, overdrafts) of the business.

At the end of the financial year, this information can then be used by an accountant to produce a set of financial statements for the business. These statements will set out the business's profit or loss during that year as well as the overall financial position (balance sheet).

For all of this to work, the information that is entered into the financial accounting system must be correct. Many businesses set up a range of procedures to make sure that the books reflect the actual position of the business; procedures for cash handling, banking and accounts payable among others. Many businesses also develop financial procedures for activities such as payroll, preparing financial statements, and invoicing which provide guidance to staff on how to carry out their job.

These procedures provide confidence to the management and board of a business that the main financial risks facing the business are being managed in an effective way.

7.3   Examples of key internal financial procedures

This section of the Toolkit contains examples of internal financial procedures that are commonly used by small and medium-sized businesses:

- •   Financial statements and management reporting;

- •   Sales and accounts receivable;

- •   Purchases and accounts payable;

- •   Cash receipts, disbursements and bank accounts;

- •   Payroll, and

- •   Non-current assets.

7.3.1   Financial statements and management reporting procedures

What does it mean?

'Financial statements' are the annual financial reports that most businesses produce each year to summarise business income and expenditure. These reports show if the business was profitable during that period and describe the underlying financial position of the business when assets and liabilities are taken into account. These statements are often used by external organisations to assess the financial health of a business.

'Management reports' are the monthly financial reports that are provided to the managers and owners of a business to track the financial health of the business during the year. These reports often track actual income and expenditure and compare these to what was budgeted. These reports are only used by people inside the business.

All companies must maintain accurate and complete records of their financial transactions. These financial records are importing for reporting purposes (e.g. financial statements) and allow business leaders to make informed business decisions.

The use of documents such as budgets, strategic and operational plans and monthly financial reports enables a business's managers and owners to plan ahead. The long-term financial health

of a business therefore depends on reliable and timely reporting of financial information (both good news and bad) to key decision makers. Internal financial controls ensure that the financial information provided to managers and the board is accurate so that they can take the correct action to meet the business's objectives (See example Budget Reporting Template at **Appendix E8**).

See **AppendixE1** for examples of financial procedures for financial statements and reporting.

7.3.2 Sales and accounts receivables

> What does it mean?
>
> '*Sales*' refers to the number and volume of goods and services that a company has sold to customers during a month or a year (e.g. they may have made 12 sales during a month generating total revenues of $20,000).
>
> '*Accounts receivable*' is the system set up by a business to keep track of whether the customers that have purchased goods and services during the year have actually paid for them.

Accurate sales figures are important for a business to correctly record sales revenues and stock. Managers will also need quick and reliable feedback on sales trends so that they can respond quickly to changing circumstances (for example, if there has been a steep decline in sales activity in one month then management may need to investigate the reasons before taking action such as reducing price, reducing costs or investing in additional marketing or promotion).

Business leaders should establish internal procedures to cover all aspects of cash receipting (where cash payments have been received for sales) and accounts receivable (where payments from customers are received through bank transfers, cheques, credit card or EFTPOS). These procedures must:

- Separate the job of checking and authorising transactions from the handling of funds. For example, the person who receives cash payments should not be the same person who banks those payments;

- accurately recording sales;

- reconcile sales records with the revenues received in the bank; and

- maintaining accurate records of expenditure.

Accounts receivable is an important aspect of business. Delays, or failure to collect money owed to your business, can result in cash flow shortages or serious losses. All transactions should be recorded in good time, and the funds received deposited within specified timescales.

See **Appendix E2** for examples of procedures in respect of Sales and Accounts Receivable.

7.3.3 Purchases and accounts payable

> What does it mean?
>
> '*Purchases*' refers to the supplies, goods and services that a business has bought during a year to enable them to do business. These purchases could be things like stationery, spare parts, raw

materials, tools, fuel, power etc.

'Accounts payable' is the system that makes sure that everything purchased by the business have been paid for correctly and on time.

Purchasing procedures ensure that the physical assets of your business – like stock - are protected. These procedures also ensure that goods purchased are properly paid and accounted for.

Many businesses, large and small, have found that mistakes made in their purchasing and accounts payable can be very costly to the business. Losses can happen through the same goods being paid for twice, fraud and the theft of goods purchased. Therefore, this is an area that deserves careful attention and effective internal procedures should be set up to identify and prevent errors or fraud.

Such procedures could include:

- Separation of duties - To ensure proper separation of duties, assign related buying functions to different people. For example, different people should be responsible for ordering goods, receiving goods and paying for goods. With proper separation between these activities it is difficult for any of the people involved to get away with fraud unnoticed.

- Reconciliation controls - Supplier invoices should be reviewed for accuracy by comparing charges to purchase orders. Also staff should verify that the goods and services purchased have been received. Management should oversee monthly reconciliations of purchases made against expenses shown on the bank statement to ensure accuracy and timeliness of expenses.

See **Appendix E3** for example procedures that an Indigenous business can use to manage Purchases and Accounts Payable.

7.3.4 Cash receipts and bank accounts

What does it mean?

'Cash receipts' are the monies that a business receives in cash form (i.e. bank notes and coins) rather than in cheques or payments directly to a bank account.

'Bank accounts' in this context relates to the specific bank accounts set up by a company to receive sales revenues and pay expenses (e.g. wages, purchases etc.)

Depending on the type of services that a business provides it may receive payment from customers through cheques, bank transfers, EFTPOS or cash. Businesses that deal mainly with cash often fall victim to fraud or loss since cash is easy to steal, especially in a small business where internal financial controls are weak.

Separation of duties - One of the most important steps a business can take to protect cash is to share cash handling duties among different people. This means that no single person has control over the entire cash process. Best practice is to have different people:

- receiving cash at the business premises and depositing cash in the bank, and

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- recording cash payments in cash book and reconciling cash receipts to deposits / general ledger.

Authorisation – In a small business the separation of duties may not be possible so managers should undertake regular authorisation checks on the risky areas. For example, managers should regularly check that cash receipts reconcile with money in the bank account.

See **Appendix E4** for example procedures to help manage cash and bank accounts.

7.3.5 Payroll

What does it mean?

'Payroll' is the process and systems that businesses have in place to pay wages and salaries to directors and employees.

Payroll Systems

Each company will need to set up a system called a 'Payroll' for its employees. In the past, this system may have been paper-based but in recent decades it is usually an automated system that is linked to the financial accounting system (e.g. MYOB). Larger companies may be use an external company to manage their payroll.

The importance of paying employees on time

Paying employees correctly and on-time is one of the most important things that any company can do. Employees do not get paid on time are likely to get upset or look for the fastest way to leave your company. Ensuring that the company has enough money in the bank account to pay wages each fortnight is therefore a very important activity.

Business managers are responsible to make sure that there is always sufficient money in the bank to pay staff on time. This will requires careful long term planning of the amount of money that the business has available to it at any time. This is called 'cash flow management'.

PAYG

It is the responsibility of companies to deduct, collect and pay PAYG ('pay as you go') tax on behalf of their employees. This means that each company will need to establish procedures:

- to correctly calculate how much tax is to be paid by each employee;

- to retain the tax withheld by the company on behalf of the Australian Taxation Office (ATO);

- to record how much the employee was paid and the amount of PAYG retained; and

- to correctly forward the tax retained to the ATO each quarter (or whatever period is agreed with ATO) on behalf of each individual employee. The ATO allocates a Tax File Number for each employee that the company should use in all correspondence with the ATO.

Many businesses will either employ an experienced payroll clerk to manage their payroll, or will use an external payroll company. Advice for employers on which tax rates they should use in paying their employees PAYG can be found at:

http://www.ato.gov.au/Rates/Tax-tables/ Superannuation

Superannuation is a regular payment made into a fund by an employee and an employer towards a future retirement pension. Under Australian law all employers must pay superannuation contributions for their employees, at a minimum rate of 9% of their ordinary time wages.

Employers have to pay super for an employee if they're between 18 and 69 years old and they are paid $450 or more (before tax) in salary or wages in a month. It doesn't matter whether the employee is full time, part time or casual. Employees who are under 18 years old must work at least 30 hours per week to be entitled to superannuation.

Employers must pay contributions for each employee into a complying super fund and pass on your employee's tax file number (TFN) to their super fund where you are required to do so. Employers have to make superannuation payments at least four times a year. The cut-off dates are 28 days after the end of each quarter.

All companies must therefore keep superannuation records that show:

- the amount of super paid for each employee and how it was calculated.
- that you have offered your eligible employees a choice of super fund.
- how you calculated any reportable employer super contributions.

Further information on superannuation can be found at:

http://www.ato.gov.au/Business/Employers-super/Records-you-need-to-keep/Super-guarantee-reporting-requirements/ What are key Payroll controls?

Many payrolls, even small ones, are now automated, so it is easier to commit fraud or errors if the internal controls are not set or followed. Key payroll controls are as follows:

Separation of duties - A major step business owners can take to ensure proper payroll processing is to have different people performing key payroll duties. For example, employees should not process or approve actions affecting their own pay.

Best practice is to have different people:

- prepare and update payroll and personnel data;
- approve payroll actions;
- review monthly payroll expense reports;
- review and reconcile payroll records on a monthly basis; and
- distribute the payroll.

Management controls - The role of managers in a small business environment is to authorise and review payroll entries and ensure that personnel follow policy. Managers should review monthly payroll costing reports, compare actual payroll costs to estimated costs and identify and explain differences.

Privacy – Businesses should maintain data confidentiality by giving access to payroll and personnel information only to authorised individuals.

Reconciliation - Payroll costs may represent the largest cost component of a business's budget. Monthly reconciliation activities ensure that the right people are being paid at the correct rates.

See **Appendix E5** for example payroll procedures.

7.3.6 Fixed assets

<u>What does it mean?</u>

'Fixed assets' (also referred to as *'non-current assets'*) refers to goods such as land, buildings, vehicles or equipment that with a useful life of more than 12 months. Since these assets have a useful life that is longer than 12 months (i.e. an asset such as a building will usually be used for a number of years before it needs to be replaced) they are classed as 'capital expenditure' and the costs are charged to a business's accounts over the lifetime of the asset (e.g. 15 years depreciation for a building), rather than simply in the year it was purchased. This is to ensure that the financial statements of the business provide an accurate picture of the financial health of the business.

Management of these fixed assets is an important part of any business, but especially those that have a big investment in plant and equipment, as many suppliers to the Resource Sector do.

Some physical assets can be lost or stolen, if not kept secure. Assets can be taken from within the business by employees or by external visitors to the business or by someone passing on the street. Each business will therefore need to consider the types of procedures that it needs to protect and maintain the fixed assets that they own. For example businesses that have a number of portable Information Technology assets (e.g. laptops) may have different controls in place than those which have a fleet of vehicles to manage.

<u>Separation of duties</u> - One of the most important things a business can do to protect its equipment is to separate asset management duties so that no individual has control over the entire asset management process. Best practice is to have different people purchase items, approve invoices for payment, classify equipment and record changes, perform periodic / annual physical stock checks, maintain custody and dispose of property and reconcile equipment purchases to financial records.

See **Appendix E6** for example of procedures that can help you manage your fixed assets.

7.4 Fraud

> **What does it mean?**
>
> '*Fraud*' is the wrongful or criminal deception by an individual intended to result in financial or personal gain. In a business context, this may involve directors, managers or employees of an organisation stealing cash, goods or assets, misusing assets, falsifying records or overpaying wages or salary.

Millions of dollars are lost every day in all business environments due to fraud in businesses where financial procedures are not strong enough.

Fraud tends to happen where fraudsters think that it is possible to commit fraud and avoid being caught. An effective internal financial control environment may not fully eliminate the possibility of fraud, but will greatly reduce the likelihood of it occurring undetected.

A variety of basic financial procedures exist in a typical system of internal financial controls. The most relevant basic controls are grouped into three categories:

- physical access
- job descriptions
- accounting reconciliations and / analyses.

7.4.1 Physical access controls

> **What does it mean?**
>
> '*Physical access controls'* manage how staff, customers and members of the public can gain physical access to the assets of a business.

Measures to control physical access can include locking doors, desks and filing cabinets and the use of electronic surveillance systems such as CCTV or computerised security systems (key cards or pin-number access).

Businesses can also use passwords and IT controls to restrict access to IT systems or bank accounts.

As a general rule, organisations should limit physical access to those who need it to do their job. Controlling physical access in this way will not eliminate the risk of fraud, however, it will reduce the risks significantly.

7.4.2 Job descriptions

> **What does it mean?**
>
> '*Job descriptions'* are written statements that describe the:
>
> - duties,
> - responsibilities,

- most important contributions and outcomes needed from a position,

- required qualifications of candidates, and

- reporting relationship to managers and co-workers.

Formal, specific job descriptions are a very effective fraud prevention tool. These descriptions should spell out exactly what is expected of each employee and should make clear that employees should not perform duties outside their job description.

A business should create job descriptions that reflect the important principle of separation of duties. For example, employees with physical control over an asset should not also keep the records relating to that asset (as this will only make it easier for them to cover up the fraud). Segregate all other especially sensitive duties (e.g. purchasing and cheque signing).

An example Job Description Form can be found at **Appendix D9**.

7.4.3 Accounting reconciliations and analyses

What does it mean?

'*Reconciliation' means* checking your business's financial records against another source of information. For example, a financial ledger can be reconciled to the bank account, or cash deposits can be reconciled to the cash book. This means that each time the business makes a withdrawal from a bank account, the finance officer keeps a record of the transaction. Account reconciliation involves making sure that the records of the finance officer match the records of the bank. Account reconciliation helps avoid, or at least reduce, such problems as duplicate payments, bank errors and fraud.

'*Analysis controls*' relates to regular high level checks by managers and directors of key income and expenditure categories against budgets to make sure that actual results match expectations. Unexpected differences are identified and investigated.

An essential ingredient of a successful fraud is being able to hide it. Regular, appropriately performed accounting reconciliations and analyses make hiding fraud difficult or impossible.

All businesses should perform accounting reconciliations regularly (e.g. weekly or monthly), including bank reconciliations for all accounts, accounts receivable reconciliations, and accounts payable reconciliations.

The exact nature of the accounting analyses performed depends on the nature of the organisation's operations. Analyses relevant for most organisations include analysis of income and expenditure against budget and prior year, payroll and detailed sales and major expense analyses (e.g. by product line or territory).

Appendix A – Organisational Structure and Capacity templates

A1   Example Company Details Form

A.2   Example Organisational Chart

A3   Example Share Ownership Register

A4   Example Asset Register

A5   Example License / Qualifications Register

A6   Example Project Register

A7   Example Insurance Register

A8   Example Legislative Compliance Register

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A1   Example Company Details Form

What is this form used for?

This form enables your business to record all of the basic information that a Resource Company may request as part of the prequalification process.

Name of Legal Entity:	xxxxx
ACN (if a company)	12345678
Registered address or address of principal place of business:	....
Business Name:	xxxxx
ABN	12345678...
Contact Person:	xxxxx...
Contact Person Position Title:	Director ....
Email:	xxxxx@xxxxx.com.au ....
Telephone:	08 1234 5678......................................
Facsimile:	08 765 4321 ....

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A2   Example Organisational Chart

Use drawing or personnel management software to create a similar diagram for your organization. You can use the drawing capabilities of a word processor to create a small organizational chart. Specialised diagramming programs like Microsoft Visio or SmartDraw are able to manage larger charts.

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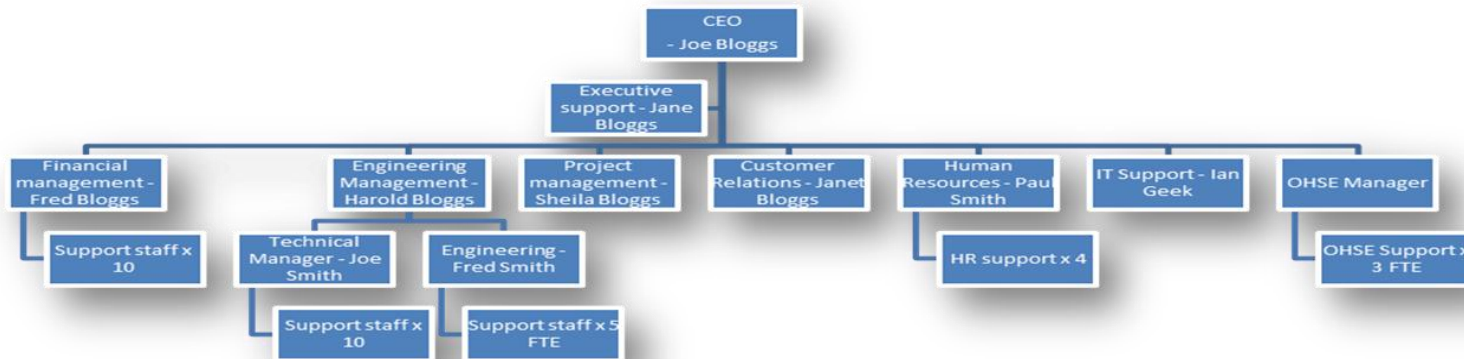
A3   Example Share Ownership Register

How to use this template

Use this template to record the details of all shares held in your company (if the structure of the company involves share ownership by different people). Where the company is a joint venture (JV) between an Indigenous business and a non-Indigenous business then the Resource companies may want details on exactly what the details of the JV are (e.g. share ownership) and how the capacity of the Indigenous partner is being developed.

Note – the types of shares included in the table below are merely examples. This template will need to be tailored to fit the shares structure of your business.

Share Owner (Individual/ company)	Number of shares held	Type of shares held (e.g. ordinary shares, preference shares, options etc.)	Is the individual an employee or director of the company? (if so, provide details)

A4 Example Asset Register

How to use this template?

Use this template to record in all of the information relating to any assets (e.g. land, buildings, plant and equipment) that are owned by your business with a value of over a minimum level (e.g. $500 or $1,000). The suggested steps in using this template are as follows:

1. *Finance staff should work with operational staff to draw up a list of all potential assets.*

2. *One person should be chosen to travel around the worksite to find each of these assets and confirm that they exist and are in good condition. If so, they should be entered onto the register.*

3. *The location of the asset should be recorded on the register.*

4. *An asset number should be allocated to each asset. This is normally attached to the physical asset with a sticker.*

5. *Your finance staff or your accountant should keep track of the net book value of the assets by allocating an annual depreciation charge.*

6. *Responsibility for keeping the register up-to-date for any purchases or asset sales should be allocated to an individual.*

7. *Annual checks should be made to confirm that the assets still exist and are still located as per the information held on the register. This check should be undertaken by a different person than is normally responsible for keeping the asset register updated to minimise the risk of fraud or theft.*

Asset Register

Organisation -   xxxxx   Month - xxxx   Year - xxxx

Asset number	Description of asset	Current location	Purchase date	Purchase price $	Depreciation to date $	Net book value $ (purchase price less depreciation)	Date last verified
123456	*Toyota Landcruiser, Rego ABC 123*	*Office*	*12/11/13*	*$65,000*	*$10,000*	*$55,000*	*12/01/12*
123456	*xxxxxxx*	*Xxxxx*	*12/11/13*	*$xxx*			*12/01/12*
123456	*xxxxxxx*	*Xxxxx*	*12/11/13*	*$xxx*			*12/01/12*
123456	*xxxxxxx*	*Xxxxx*	*12/11/13*	*$xxx*			*12/01/12*

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A5 Example License / Qualifications Register

License / Qualifications Register

Organisation - xxxxx   Year - xxxx

Individual / Organisation holding qualification	Qualification	Organisation issuing qualification license	Date issued	Date expires
Joe Bloggs	*Cert IV Environmental officer*	*Pilbara College*	*12/07/2011*	*N/A*
Jane Smith	*Degree in Accounting*	*University of Western Australia*	*12/06/2006*	*N/A*
Alan Davies	*Degree in Mine Engineering*	*Curtin School of Mines*	*12/11/11*	*12/11/13*
Nancy Parker	*Operators certification in Dozer operations*		*Xx/xx/xxx*	*Xx/xx/xxx*

A6   Example Project Register

How to use this template

Use this template to record the details of any previous projects undertaken by your company.

Given the nature of the information requested this should be a task initially completed by a manager. Ongoing responsibility for keeping it updated could be delegated to support or administrative staff.

Client	Contract name and description	Contract value	Completion date	Project referee and contact details
X Resourcing and Mining Co.	*Earthworks on mine entrance - This was a project to provide earthworks and landscaping services to company x for a period of xx weeks to assist in creating a new mine entrance and entry road.*	*$247,000*	*12/06/2012*	*Fred Jones, Resourcing and Resource Company.* *Tel – 0123456789* *Email – fredjones@xxxx.com.au*

A7   Example Insurance Register

Type of Coverage	Name of Insurer	Policy Number	Expiry date	State / territory covered	Amount of Cover	Any conditions
Public Liability	X Insurance PLC	123456	12/12/13	WA	$20,000,000	None
Workers Compensation	Y Insurance PLC	345678	11/11/13	WA	$200,000 per claim	None
Professional Indemnity	X Insurance PLC	123456	12/12/13	WA	$5 Million	None
Vehicle Insurance	Y Insurance PLC	345678	11/11/13	National	xxxx	Named driver only

A8 Example Legislative Compliance Register

Title:	Legislative Compliance Register	Doc No	

Purpose
The purpose of the register is to assist [Your Company] to comply with its legal obligations, thus maximising the likelihood of the Company's Management, staff and contractors complying with the law.

Act	Regulations	Relevance to [Your Company]	Reference to relevant Policies and Procedures
Health and Safety			
Occupational Safety and Health Act 1984 (WA)	Occupational Safety and Health Regulations 1996	Employers and employees duties in respect of maintaining a safe workplace.	
Work Health and Safety Act 2011 (Cth) (WHS Act)	Work Health and Safety Regulations 2011	Persons Conducting a Business or Undertaking (PCBU) have a primary duty to manage risks to health and safety. This duty is placed on employers, the self-employed, principal contractors, persons with management or control of a workplace, and designers, manufacturers, importers and suppliers of plant, substances or structures that are used for work.	
Workers' Compensation and Injury Management Act 1981 (WA)	Workers' Compensation and Injury Management Regulations 1981	[Your Company] needs to maintain workers compensation insurance for its staff and needs to comply with requirements for injury management, return to work and employee rehabilitation.	

Act	Regulations	Relevance to [Your Company]	Reference to relevant Policies and Procedures
Equal Opportunities			
Age Discrimination Act 2004		[Your Company] must not discriminate against older or younger employees on the basis of their age.	
Disability Discrimination Act 1992		[Your Company] must not discriminate against any employees on the basis of any disability.	
Racial Discrimination Act 1975		[Your Company] must not discriminate against any employees on the basis of their race, colour, descent or nationality or ethnic origin.	
Sex Discrimination Act 1984		[Your Company] must not discriminate against any employees on the basis of their gender.	
Western Australia Equal Opportunity Act 1984 (WA)	Western Australia Equal Opportunity Regulations 1984	[Your Company] must not discriminate against employees on the basis of their sex, sexual orientation, marital status, pregnancy, race, religious or political conviction, age, racial harassment, impairment, family responsibility or family status, gender history.	
Environmental Protection			
Environment Protection and Biodiversity Conservation Act 1999		[Your Company] must not undertake activities that damage the environment and local biodiversity.	
Environmental Protection Act 1986 (WA)	Environmental Protection Regulations 1987 (WA)	[Your Company] must not undertake activities that damage the environment and local biodiversity.	

Act	Regulations	Relevance to [Your Company]	Reference to relevant Policies and Procedures
Industrial Relations			
Fair Work Act 2009 (Cth)	Fair Work Regulations 2009	[Your Company] must comply with the state and commonwealth laws and regulations in its employment of staff.	
Industrial Relations Act 1979 (WA)	Industrial Relations Regulations	[Your Company] must comply with the state and commonwealth laws and regulations in its employment of staff.	
Minimum Conditions of Employment Act 1993 (WA)	Minimum conditions or employment regulations	[Your Company] must comply with the state and commonwealth laws and regulations in its employment of staff.	
Long Service Leave Act 1958 (WA)	Long service leave regulations	Requires [Your Company] to record and pay employees long service leave in line with Act and regulations.	
Others			
Health Act 1911	Health Pesticides Regulations 1956	These regulations cover the use, storage and transport of pesticides in Western Australia.	
Mines Safety and Inspection Act 1994 (WA)	Mines Safety and Inspection Regulations 1995 (WA)	Some key requirements of the Act are that: 1) An employer must, so far as is practicable, provide and maintain at a mine a working environment in which that employer's employees are not exposed to hazards and, in particular, but without limiting the generality of that general obligation, an employer must — • provide and maintain workplaces, plant, and systems of work of a kind that, so far as is	

Act	Regulations	Relevance to [Your Company]	Reference to relevant Policies and Procedures
		practicable, the employer's employees are not exposed to hazards; and	
		• provide such information, instructions and training to and supervision of employees as is necessary to enable them to perform their work in such a manner that they are not exposed to hazards; and	
		• consult and co-operate with safety and health representatives, if any, and other employees at the mine where that employer's employees work, regarding occupational safety and health at the mine; and	
		• where it is not practicable to avoid the presence of hazards at the mine, provide employees with, or otherwise provide for the employees to have, such adequate personal protective clothing and equipment as is practicable to protect them against those hazards, without any cost to the employees; and	
		• make arrangements for ensuring, so far as is practicable, that —	
		° the use, cleaning, maintenance, transportation, and disposal of plant; and	
		° the use, handling, processing, storage, transportation, and disposal of substances	
		at the mine is carried out in such a manner that that	

Act	Regulations	Relevance to [Your Company]	Reference to relevant Policies and Procedures
		employer's employees are not exposed to hazards. 2) In determining the training required to be provided in accordance with subsection (1) (b), regard must be had to the functions performed by employees and the capacities in which they are employed.	

Appendix B1 – Example HSE Policies

This section of the toolkit contains the example documents that may help you develop strong HSE management systems in your workplace.

- B1.1   Example HSE Policy

- B1.2   Example Vehicle Driving Policy

- B1.3   Example Personal Protective Equipment Policy (PPE)

- B1.4   Example Alcohol and Other Drugs Policy

- B1.5   Example Working at Heights Policy

- B1.6   Example Aggression in the Workplace Policy

- B1.7   Example Working in High Temperatures Policy

- B1.8   Example Working with Hazardous Substances Policy

- B1.9   Example Working Alone Policy

- B1.10   Example Change Management Policy

- B1.11   Example Legislative Compliance Policy

- B1.12   Example Excavation Policy

B1.1 Example HSE Policy

How to use this template
This is an example of a high level HSE policy used to communicate an overall approach to HSE management to company employees. This policy may not necessarily meet the needs of all businesses and management should undertake a review of the specific needs of their business before developing such a policy document.

At COMPANY X, a commitment to occupational health, safety and the environment (HSE) is part of our approach to doing business. Safety is a core value and a major priority. The health and safety of everyone who works for our company is of paramount importance and strenuous efforts are made to improve safety performance each year with the ultimate goal of zero harm.

This is achieved through:

- complying with statutory HSE requirements, codes, standards and guidelines;

- evaluating HSE risks and taking appropriate action to minimise potential risks

- setting up objectives and targets with the aim of reducing and eliminating work related incidents; and

- defining clear roles and responsibilities for HSE across all management and staff across the company. HSE is everyone's responsibility!

HSE strategies include:

- a commitment to the prevention of incidents that may lead to injuries, illnesses, pollution, property and environmental damage;

- ensuring HSE management principles are included in all organisational planning activities;

- providing ongoing education and training to all of our employees to ensure that all employees are able to undertake their duties in a safe manner;

- consulting with employees and other parties to improve decision-making on HSE matters;

- safe behaviour being a condition of employment

- ensuring all HSE incidents are investigated and lessons are learnt within the organisation;

- conducting regular HSE audits to evaluate compliance with HSE laws and company HSE policies

- distributing HSE information, including this policy, to all employees and interested parties;

- providing enough resources to ensure occupational health, safety and environment is a central part of the organisation; and

- ensuring effective injury management and rehabilitation is provided to all employees.

- our managers demonstrating visible felt leadership and commitment to safety, and excellent safety results are always recognised.

Director /

Date

Xx/xx/xx

B1.2   Example: Vehicle Driving Policy

How to use this template

This is an example of a Vehicle Driving Policy used to set expectations about the use of company vehicles. This policy may not necessarily meet the needs of all businesses and management should undertake a review of the specific needs of their business before developing such a policy document.

This policy has been implemented to help ensure your safety and the safety of others whilst driving.

1. All [Company] employees must complete the basic driver awareness course within 6 months of their start date.

2. All employees who use company vehicles must have a current drivers licence recognised within Western Australia. Each employee must be licensed to drive the class of vehicle being driven.

3. Employees should be aware of and comply with the Road Traffic Act and the [Insert Company] Alcohol and Other Drugs Policy.

4. Seat belts will be worn at all times in moving vehicles.

5. Employees must obey speed limit signs and be aware that signs indicate the **maximum** allowable speed on that particular section of road under ideal conditions. You must consider the condition of the road, visibility, local hazards expected, weather conditions and reduce your speed accordingly.

6. All Company station wagon type vehicles will be fitted with a cargo barrier or an approved cargo restraint. Loose articles on seats or dashboards should be stored in the approved storage area or restrained by an appropriate method.

7. Vehicle faults should be reported as soon as possible. Any damage to a company vehicle must be reported using the standard company accident / incident form.

8. Drivers will, prior to commencing a journey of more than 20km will conduct vehicle pre-start and safety checks.

9. Drivers travelling in remote areas must comply with the Driving in Remote Areas Procedures, and use the Work-related Travel Plan and Reporting procedure to ensure the business is aware of their location at all times.

10. Drinking water and an approved first aid kit are to be maintained in all vehicles.

11. Drivers and passengers must be able to identify the symptoms of fatigue. You must stop and rest for at least 10 minutes after every two hours of driving. You may not drive for more than 5 hours per day. Avoid driving at night or after completing a shift. Share driving responsibilities with a second person if available. Do not drive into the sunrise or sunset. Reduce speed and avoid overtaking on unsealed roads.

12. A mobile or satellite phone can only be used when driving by utilising a 'hands free' system. Stop the vehicle before making a call.

13. A satellite navigation device should be maintained and used for all journeys.

Persons who breach this policy, or drive without due care and attention should expect disciplinary action to be taken.

_____
[Insert Director Name and Sign]

Doc Control – Revision No: ___
Next Revision Due Date:_____

See related Example Procedures at **Appendix B5**.

B1.3   Example Personal Protective Equipment Policy (PPE)

How to use this template

This is an example of a Personal Protective Equipment Policy used to communicate company expectations about the use of PPE. This policy may not necessarily meet the needs of all businesses.

The Company recognises our safety responsibility to employees, contractors and visitors. We provide a range of PPE for employees, suitable to their role and location.

RESPONSIBILITIES

Managers will ensure that:

- o   PPE is supplied for the protection of employees, where this protection will reduce the risk of injury or harm.
- o   PPE purchases and standards are made following an assessment of;
    - ▪   the purpose and use of the particular PPE
    - ▪   the suitability of an item of PPE for the required application
    - ▪   the ability of the PPE to meet the required Australian standard
    - ▪   the quality of the item of PPE and
    - ▪   the price and cost effectiveness of the PPE.

- o   employees are consulted at each stage of the selection of PPE to be used in the [companies] workplace
- o   persons using PPE are instructed in the correct methods of fitting, use, servicing and storage of that PPE
- o   facilities for the storage of PPE are provided; and
- o   signs be erected indicating the type of PPE to be worn when performing a task or in a particular location.

Employees will ensure that they:

- •   use appropriate PPE where and when indicated or required
- •   participate in the selection and evaluation of PPE to be used in the workplace
- •   correctly fit, use, service and store PPE
- •   report to their leader and the Health and Safety Committee, whenever they believe that authorized PPE is no long suitable to a task or location.

_____
[Insert Director Name and Sign]

Doc Control – Revision No: ___
Next Revision Due Date:_____

See related Example Procedures at **Appendix B5**.

B1.4   Example Alcohol and Other Drugs Policy

1. **Consumption or use of alcohol and / or drugs and other substances**

   1.1   The consumption of alcohol or drugs can impair an employee's ability to safely perform his or her job. Employees must not place themselves or others at risk due to the consumption of alcohol or use of drugs or other substances.

   1.2   Subject to paragraph 5 of this policy regarding prescription or non-prescription medication, an employee MUST NOT:

      1.2.1   Commence or return to work while under the influence of alcohol, drugs or other substances.

      1.2.2   Consume or distribute alcohol, drugs or other substances on site, except to the extent authorised from time to time by the company.

      1.2.3   Operate or use machinery while under the influence of alcohol, drugs or other substances.

      1.2.4   Drive company vehicles while under the influence of alcohol, drugs or other substances.

      1.2.5   Use or abuse alcohol, drugs or other substances in any way which affects to a worker's ability to safely perform their job.

   1.3   The company will not accept any liability for any damage to a company vehicle, injury to any person, or damage or injury to any third party, incurred while the driver of a company vehicle is in breach of this policy or the law. All liabilities shall rest with the driver concerned.

   1.4   All employees may be subject to random drug and alcohol testing or they may be tested if a manager has reason to believe that they are under the influence of alcohol or another drug.

   1.5   If an employee returns a positive drug or alcohol test they may be subject to the disciplinary procedure detailed in paragraphs 6 and 7 of this policy.

2   **PRESCRIPTION AND NON-PRESCRIPTION MEDICATION**

   2.1   Work performance and behaviour can be affected by the use of prescription and non-prescription medication for either a short term or ongoing condition.

2.2   Employees must advise the company if they are using prescription or non-prescription medication that may impair their ability to operate machinery or otherwise perform their duties.

2.3   If an employee is using prescription or non-prescription medication that may impair their ability to operate machinery or otherwise perform their duties the company may require that the employee provide a medical certificate confirming their fitness to perform their normal duties.

2.4   If any dispute exists about an employee's fitness to perform their normal duties then they may be required to submit to an examination by a recognised medical practitioner nominated by the company whose decision about their fitness will be final.

2.5   Subsequent reviews will be conducted as seen fit by the company.

2.6   If an employee is unfit for work due to impairment caused by prescription or non-prescription medication the company may require that employee not to attend work until such time as they are no longer impaired.

3   DRUG AND ALCOHOL TESTING PROCEDURE

3.1   The Company has the right to test employees and contractors for drugs and alcohol.

3.2   Drug and Alcohol testing may be either random or targeted.

Random Testing

3.3   Random testing is obligatory and a positive test for alcohol, drugs or other substances may lead to disciplinary action which may include termination of employment.

3.4   The Company may, in its absolute discretion, arrange for an appropriately qualified individual or agency to attend on site and conduct tests of all employees for alcohol, drugs or other substances.

3.5   A positive test is defined as any non-zero reading for drugs and alcohol. Refusal to submit to testing will be regarded as a positive test.

3.6   In the event that an employee tests positive the following procedure will be followed:

i.   The employee will be counselled in relation to their positive test, this policy, and their obligations under this policy.

ii.   In the event the employee is tested positive for drugs such as cocaine, amphetamines, heroin, morphine, in other words those drugs commonly described as "hard drugs". The penalty will be instant dismissal

iii.   The employee will be given the opportunity to explain why they have tested positive.

iv.   If the company is not satisfied, in its absolute discretion, with the explanation given, the employee will be stood down without pay and required to submit to a further test before commencing their next shift. The employee will be given a written warning that a further positive test may result in dismissal.

v.   If the employee returns a positive result to the follow up test they will again be given the opportunity to explain why they have tested positive.

vi.   If the company is still not satisfied, in its absolute discretion, with the explanation given, the employee will be given a second written warning.

vii.   The employee's employment may then be terminated for breach of this policy.

Targeted testing

3.7   Targeted testing is obligatory and a positive test to alcohol, drugs or other substances may lead to disciplinary action which may include termination of employment.

3.8   If the Company suspects, in its absolute discretion, that an employee may be under the influence of alcohol, drugs or other substances it may require that the employee submit to a drug and/or alcohol test. Refusal to submit to testing will be regarded as a positive test.

3.9   The testing may, at the Company absolute discretion, be conducted on or off site. If the testing is to be done off-site the Company will be responsible for conveying the employee to and from the test.

3.10   In the event that an employee tests positive to a targeted test the following procedure will be followed:

3.10.1   The employee will be counselled in relation to their positive test, this policy, and their obligations under this policy.

3.10.2   The employee will be given the opportunity to explain why they have tested positive.

3.10.3   If the company is not satisfied, in its absolute discretion, with the explanation given, the employee will be stood down with pay and required to submit to a further test before commencing their next shift. The employee will be given a written warning that a further positive test may result in dismissal.

3.10.4   If the employee returns a positive result to the follow up test they will again be given the opportunity to explain why they have tested positive.

3.10.5   If the company is still not satisfied, in its absolute discretion, with the explanation given, the employee will be given a second written warning.

3.10.6   The employee's employment may then be terminated for breach of this policy.

Refusal to submit to a drug and/or alcohol test

3.11   Drug and / or alcohol testing is obligatory and constitutes a reasonable request by the Company.

3.12   Refusal to submit to a drug and / or alcohol test may result in disciplinary action which may include termination of employment.

3.13   If an employee refuses to submit to a drug and / or alcohol test the following procedure will be followed:

3.14   The employee will be counselled in relation to this policy and their obligations under this policy.

3.15   The employee will be given the opportunity to explain why they are refusing to submit to the test.

3.16   If the Company, in its absolute discretion, is not satisfied with the explanation a written warning will be given that refusal to submit to the test may result in dismissal.

3.17   The employee will be given until the commencement of their next shift to submit to the test.

3.18   If at the commencement of their next shift the employee still refuses to submit to the test their employment may be terminated for failing to comply with a reasonable direction from their employer.

4   CONSEQUENCES OF BREACH OF THIS POLICY

4.1   The Company takes its responsibility to provide a safe work environment very seriously. This policy forms a key part of that responsibility.

4.2   A breach of this policy may have serious consequences.

4.3   A breach of this policy may result in termination of employment.

4.4   The following forms of disciplinary action may also be taken:

i.   An interview with the employee conducted by the relevant supervisor and, if requested, in the presence of a witness.

ii.   Formal written warning.

iii.   Referral to the appropriate authorities.

_____
[Insert Director Name and Sign]

Doc Control – Revision No: ___
Next Revision Due Date: _____

See related Example Procedures at **Appendix B5**.

B1.5   Example Working at Heights Policy

This is an example of a Working at Heights Policy used to set expectations about the use of company vehicles. This policy may not necessarily meet the needs of all businesses and management should undertake a review of the specific needs of their business before developing such a policy document.

Falls from height are a major cause of work related fatalities and injuries in Australia and consequently have specific regulations relating to the management of the risk. Every time an employee climbs up on a ladder or through some other method, works above the ground, they are placing themselves at risk of falling from a height. Even falls from a low height have the potential to cause serious injury and the risks must therefore be managed. In workplaces there are a number of tasks that may involve working at heights. Examples of such tasks could include erecting signage or working on scaffolding.

The risk of injury from a fall from steps or scaffolding increases with tasks that involve:

- The use of power tools;
- Uneven surfaces;
- Noisy working environments;
- Windy and wet weather; and
- Over-head structures.

Tasks at heights under 2 metres should require safe work procedures to be developed and implemented to minimise the risks associated with these activities. Tasks that involve working from a height of 2 metres or more are considered high risk. These tasks must be identified and have controls put in place. As much of the task as possible should be completed on the ground prior to working at height.

It is important to note that ladder use should be subject to risk assessment, safe work procedures and training. When not in use, ladders should be stored securely and horizontally.

Where/when would these issues be relevant?

Working at height risks may be relevant when:

- Working on roofs (including contractor works);
- Working on scaffolding;
- Working with ladders;
- Erecting signage around a mine-site;
- Hanging posters;
- Accessing high shelving; and

- During construction work.

What do I need to do?

- Identify work activities where a fall hazard may exist; and
- Where a fall hazard is identified, develop and implement management strategies according to the hierarchy of control.

For falls of <u>less than two metres</u>:

- Develop and document safe work procedures (SWPs) to outline the way in which the hazard will be managed; and
- Provide training to employees to provide them with the skills and knowledge to do their work safely

If there is a risk of a fall of <u>more than two metres</u>, specific duties apply:

- Perform the task on the ground if possible;
- Use a work positioning system to ensure employees work within a safe area;
- Install a fall arrest system to limit the risk of injuries in the event of a fall;
- Use a fixed or portable ladder incorporating a risk assessment, safe work procedures and training; and if you are not able to work on the ground or on a solid construction prior to working at height then;
- Establish emergency procedures and First Aid provision prior to undertaking the task;
- Review documented safe systems of work for contractors who are required to work at height;
- Make sure ladders are well maintained and safe; and
- Monitor the work at height practices of all employees and contractors

B1.6 Example Aggression in the Workplace Policy

How to use this template

This is an example of an Aggression in the Workplace Policy used to set expectations about the use of company vehicles. This policy may not necessarily meet the needs of all businesses and management should undertake a review of the specific needs of their business before developing such a policy document.

[*Insert Company Name*] is committed to providing a positive, safe and healthy workplace environment for our employees. Aggressive behaviour by staff members in any form is <u>not</u> acceptable.

Aggression is defined as including:

- verbal abuse or threats directed against an employee, their property, family or friends;

- physical violence against a fellow employee or contractor such as; hitting, slapping, spitting, scratching, pinching, kicking and threats of violence;

- physical violence against objects, such as;

    o   deliberately breaking or damaging property;

    o   kicking or throwing property; or

    o   abuse of equipment.

Where employees are found to have demonstrated aggressive behaviour the incident will be treated as a breach of workplace health and safety requirements. This means that the employee involved will be given a formal warning. If the unacceptable behaviour continues, they may have their employment terminated, at the discretion of their manager

Some forms of aggressive behaviour can also be considered to be assault. If the company believes that an employee has committed an assault while on Company property they will be instantly dismissed from their employment and, where appropriate, police intervention will be sought.

_____
[Insert Director Name and Sign]

Doc Control – Revision No: ___
Next Revision Due Date:_____

See related Example Procedures at **Appendix B5**.

B1.7   Example Working in High Temperatures Policy

In [Insert name of State/Territory], given the hot summers, the nature of our work and the need to work in remote parts of the State, our field staff will sometimes need to work in relatively high temperatures. This Policy sets out the Company's approach to ensuring the health and safety of our staff when they are required to work in such an environment.

High temperatures may come from;

- Hot weather conditions;

- Work processes that involve use of heating tools or equipment (e.g. welding, hot air etc.)

- Physically demanding work in moderately hot conditions;

- Radiant heat from surrounding climate conditions;

- Work where heavy protective clothing must be worn; and / or

- Any combination of these factors.

[Insert Company Name] will implement a range of controls to reduce the risks to our employees. These include:

- Provision of fans and/or air-conditioning in workshops to improve air-flow and reduce temperatures;

- Outdoor tasks should be undertaken in the morning or evening when the temperatures are lower;

- Protective clothing (e.g. hats and long-sleeved shirts) will be available to staff working outdoors;

- Cool drinking water will be available to all employees and contractors; and

- Employees will be trained to identify hazards associated with heat stress through First Aid courses and Tool Box meetings.

- No outside physical work will take place when the ambient temperature exceeds 40 degrees unless the temperature at the worksite can be reduced by the use of fans, shade, sprays or other suitable cooling equipment.

_____
[Insert Director Name and Sign]

See related Example Procedures at **Appendix B5**.

Doc Control – Revision No: ___
Next Revision Due Date:_____

B1.8   Example Working with Hazardous Substances Policy

Policy Statement

[Insert Company Name] is committed to providing a positive, safe and healthy workplace environment for our employees. We are also committed to protecting the community and the environment by controlling the risks associated with the purchase, storage, use and disposal of hazardous substances used in our operation.

Our company is committed to:

- Managing all risks associated with hazardous substances used in the workplace and involving employees in this process;
- Eliminating risks or where not reasonably practicable, controlling risks associated with hazardous chemicals and substances;
- Ensuring Material Safety Data Sheets (MSDS's) are kept for all hazardous chemicals and substances used at the workplace and that the register is readily accessible to all employees who may be exposed to hazardous chemicals and substances whilst at work;
- Keeping and maintaining a register of hazardous chemicals and substances that is readily accessible to all relevant employees;
- Ensuring that all legislative requirements are met with respect to record keeping and providing information including in relation to risk assessments and controls;
- Ensuring that all hazardous chemicals and substances used in the workplace are appropriately labelled, used, stored transported and disposed of in accordance with legislative requirements and guidelines including providing employees with the appropriate Personal Protective Equipment;
- Providing training in hazardous chemicals and substances including induction training and hazard specific training as appropriate and as required in accordance with workplace needs;
- Providing health surveillance for each employee who is exposed to hazardous chemicals and substances if there is a risk to their health and safety;
- Providing monitoring in high risk areas where required;
- Maintaining a manifest specifically for emergency services use.

The use of hazardous substances shall be subjected to continuous review, with the aim of eliminating their use or their substitution by less hazardous substances.

_____
[Insert Director Name and Sign]

Doc Control – Revision No: ___
Next Revision Due Date:_____

See related Example Procedures at **Appendix B5**.

B1.9 Example Working Alone Policy

How to use this template

This is an example of a Working Alone Policy used to set expectations about the use of company vehicles. This policy may not necessarily meet the needs of all businesses and management should undertake a review of the specific needs of their business before developing such a policy document.

[Insert Company Name] recognises the risk to employees, when working alone whether on site or at the workshop. [Insert Company Name] will ensure that all persons undertaking work in such circumstances are made aware of the hazards and where available, of the associated safe working procedures.

Management Responsibilities

Management will ensure that:

- all people working alone are made aware of the hazards and associated risks;

- people understand and comply fully with safe work procedures when working alone;

- management or a nominated competent person, supervises all such work;

- no person works alone without first advising management of the location, duties and expected time of completion;

- where possible, all employees will have access to radio communications; and

- supervisors will, before absenting themselves from the workshop / site area, advice management of any return times of employees who are currently working alone.

Employee Responsibilities

Employees, when working alone will ensure that:

- they practice safe work procedures at all times;

- they have access, as a priority, to radio communications; and

- on completion of the task, they immediately advise management or the nominated responsible person.

_____
[Insert Director Name and Sign]

Doc Control – Revision No: ___
Next Revision Due Date:_____

See related Example Procedures at **Appendix B5.**

B1.10 Change Management Process

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1. Introduction

This policy outlines [Your Company]'s approach to managing change within the organisation. **All changes in strategy, activities and processes could result in changes in HSE risks.** These risks need to be identified and assessed as part of the change management process.

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2. Definition of Change Management

Change management means defining and adopting corporate strategies, structures, procedures and technologies to deal with changes in external conditions and the business environment.

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3. Examples of Change Management

All organisations need to deal with change events. Successful organisations are able to manage change in a coherent manner and are able to generate the most benefit from changes and improvements to the way they do business.

A company such as [Your Company] is likely to deal with a number of different types of change events. These could include:

- **Changes in scale** – Where [Your Company] wins a large contract or opens a new business line there will be a need to change the way the business works due to the increasing size of the organisation (e.g. increases in employees, need for new premises, need for additional vehicles, changes in management structures etc.)

- **Changes in personnel** – A more common change event that all organisations will face from time to time is the need to adapt to changes in the personnel in key positions within the business. For example, a change in supervisor may change team dynamics whilst a change in accountant could include the risk of losing significant corporate knowledge.

- **Changes in technology** – Where there have been improvements in technology (e.g. communications, IT or equipment) there will be a need for [Your Company] to update their systems and train their employees to effectively manage the change.

- **Changes in service offerings** – In circumstances where [Your Company] was to change the business lines that we service then there will be a need to manage a change process through training existing staff, recruiting additional staff, updating the business plan and potentially investing in new equipment and marketing literature.

- **Legislative change** – Changes in laws and regulations could have a significant impact on how [Your Company] goes about undertaking its work.

4. HSE implications of organisational change

All changes in scale, personnel, technology, strategy and processes could result in changes in HSE risks. These risks need to be identified and assessed as part of the change management process. Some examples of how change may impact risk are outlined below:

- **HSE risks - Changes in scale** – Where there will be a need to change the way the [Your Company] works due to the increasing size of the organisation there may be additional HSE risks that need to be considered due to recruitment and induction of additional staff, conducting operations in new premises; use of new vehicles or equipment or changes in management structures or reporting lines.

- **HSE Risks - Changes in Personnel** – Where there are changes in personnel there may be HSE risks associated with a lack of knowledge of the new staff of the correct safety procedures and protocols. Indeed, there may even be risks associated with the safety culture that these new employees may bring with them.

- **HSE Risks - Changes in technology** – Investment in new processes or equipment can bring HSE risks where personnel are not trained or experienced in the use of the new equipment / technology.

- **HSE Risks – Service Offerings** – Changes in the range and nature of services offered by [Your Company] would bring additional HSE risks due to the new activities that staff must undertake so as to provide these services.

Process for assessing HSE risks associated with Change Management

The control process for assessing and mitigating risks associated with Change Management are the same as those in place for other workplace HSE risks. These are as follows:

- **Eliminate** the hazard from the workplace altogether.

- If a risk cannot be eliminated, try to **substitute it** with something that has a lower risk.

- **Isolate the problem** - this is often done by the use of separate purpose-built rooms, barricades, or sound barriers.

- **Re-design** equipment, work processes or tools to reduce or eliminate the risk.

- **Administrative controls** include appropriate training, written work procedures, adequate supervision, signage, maintenance of plant and equipment, or limitation of exposure time.

5. Key elements in successful Change Management

The key elements in [Your Company]'s approach to change management include:

- **Planning**: developing and documenting the objectives to be achieved by any change and the means to achieve it.

- **Defined Governance**: establishing appropriate organisational structures, roles, and responsibilities for the change that engage stakeholders and support the change effort.

- **Committed Leadership**: ongoing commitment from the leadership of [Your

Company] and across the organisation to guide organisational behaviour, and lead by example.

- **Informed Stakeholders**: encouraging stakeholder participation and commitment to the change, by employing open and consultative communication approaches to create awareness and understanding of the change throughout [Your Company].

- **Aligned Workforce**: identifying the human impacts of the change, and developing plans to align the [Your Company] workforce to support the changing organisation.

The extent to which each of these five factors is exhibited in successful change projects will vary depending on the nature of the change involved. Clearly where large whole of organisation change (e.g. business relocation) is involved the complexities will be increased and each of the factors outlined will require fuller consideration. In the case of a small, more localised change (e.g. change in finance system), the need may be less significant.

6. Responsibility for identifying, assessing and addressing HSE risks

The responsibility for identifying, assessing and mitigating HSE risks lies initially with the *Change Agent.* The Change Agent is responsible for managing the overall day to day change management process and implementation, including coordination of any different work streams that may be required. In some circumstances this will be one of the [Your Company] Supervisors or could also be the Managing Director.

It is however important to note that all members of [Your Company]'s workforce will continue to be responsible for hazard identification and in completing incident reports where incidents or near misses occur.

6.1 HSE Continuous Improvement

[Your Company] is committed to continuous improvement of our HSE performance through learning lessons from the way in which specific change events are managed and implemented. As part of this process we will:

- Report – on any hazards, incidents or near misses that occur in respect of the change event;

- Investigate – any incidents and near misses to better understand the reasons for the incident and how it can be better mitigated in future.

- Improve – work processes and redesign systems to eliminate or reduce any HSE risks resulting from the change event.

7. Change Management

7.1 - Planning

There are a number of steps in planning for change. These are as follows:

Planning Context

Critical to successful change is good planning. Successfully managing the complexity of change is virtually impossible without a robust plan that is supported by strong project management. A change management plan should be developed by [Your Company] for each

change event. Such a plan is important to help the organisation to:

- o Take stock of their current position;
- o Identify what is to be achieved, and what the future position following the change is expected to be;
- o Detail precisely the who, what, when, where, why and how of achieving and implementing the change objectives;
- o Assess the impact of the change on the organisation and the people within it, as well as other stakeholders (**Health Safety and Environment**); and
- o Ensure alignment with the organisation's wider business model/strategy

A good change planning process involves:

- o Setting a clear vision for the change which is aligned with the organisation's vision and mission
- o Documenting the case for change, and
- o Developing the change plan.

7.2 - Clear Vision

The starting point and focus of successful change planning is having a clear vision about what the scope and impacts of the future changed state will be. If the change vision is not clear or shared, commitment is unlikely, and change efforts will be short-lived at best and will likely fizzle out. Further, without a clear vision, change efforts can easily dissolve into a list of confusing tasks, directives and sometimes incompatible projects that can take the organisation in the wrong direction or nowhere at all. The vision should provide the direction, which ties everything together, showing where individual projects and initiatives fit into the big picture.

7.3 - Document the Case for Change and the Vision

To ensure clarity about the change (and to provide a clearer picture of the magnitude and complexity of what is involved) the officers responsible for managing each change event (Change Manager) should document:

- o Why the initiative is being undertaken - What are the business drivers?
- o What outcomes and objectives the change is seeking to achieve, and
- o How the change will benefit stakeholders, the organisation and the [Your Company] overall

7.4 - Develop Change Plan and Measures

The [Your Company] Change Manager should develop a Change Plan for each event that should state:

- o The objectives to be achieved by the change;
- o The proposed new direction, core business, structure and staffing arrangements to accommodate the change (if applicable);

- o How the change is to be implemented, including how the change will be communicated to the workforce and other stakeholders;

- o The resources to be used, and the timelines;

- o The potential **HSE impacts and ris**ks;

- o The relevant human resources principles and policies to be applied, particularly in relation to staffing issues; and

- o The means by which performance in the changed environment will be assessed in relation to the stated objectives; i.e. how the organisation will know when it has achieved the desired change (Performance indicators and measures).

8. Defined Governance

Strong governance and associated reporting arrangements need to be established to drive and monitor change. Change management governance involves establishing appropriate roles, responsibilities and a structure within the organisation to ensure a successful change. While each change process will adopt a governance structure suitable to its specific context and goals, the following basic change governance roles should be used by [Your Company] when establishing a change governance structure.

- Steering Committee. The Steering Committee provides overall oversight for the change process, setting the direction and providing leadership. It also ensures that the change process remains aligned with the organisation's strategic vision and direction (this will only be employed in more significant change events).

- Change Sponsor. The Change Sponsor has ultimate responsibility for the change and for building commitment for the change, particularly from leaders across the organisation. This would usually be the [Your Company] Managing Director.

- Change Agent. The Change Agent is responsible for managing the overall day to day change management process and implementation, including coordination of any different work streams that may be required. In some circumstances this will be one of the [Your Company] Supervisors or could also be a Director).

9. Committed Leadership

9.1 Role

The role of leadership in any change management effort cannot be underestimated, and is the number one contributor to change success.

9.2 Visible Support - Setting the Example

Successful change management requires a large commitment from the [Your Company] CEO, regardless of whether the change is occurring in one section or across the whole organisation. Change is inherently unsettling for people, and when it is happening all eyes turn to the organisation's leaders for support and direction.

9.3   Continuous Engagement

A key role of the Change Sponsor is to ensure that the organisation's employees continue to be involved throughout the change. Their engagement is necessary throughout the full change project life cycle, as acceptance of the change must be evident in each phase, from initiation and planning through to implementation, with leaders exhibiting stamina and patience throughout the project to continuously engage with stakeholders. Key responsibilities for an organisation's leaders throughout the change process are to:

- Assess readiness and make adjustments.

- Take action to resolve issues.

10. Informed Stakeholders

10.1   Communication

It is [Your Company]'s workforce that will make change happen - nothing moves forward without engaged, motivated employees. To do that, [Your Company] Management will need to provide employees with an explanation for the reasons why the change is happening and its benefits. Employees also need to have an opportunity to express their views and contribute their own ideas about how it might be implemented.

10.2   The Purpose of Change Communication

One of the most challenging and demanding aspects of any change project is communication. To achieve effective communication requires a deliberate plan for determining who needs to understand the what, why, when and how of the change. Good communication forms a significant part of the Change Plan.

10.3   Change Communication Fundamentals

While there is no one perfect way to communicate change, and [Your Company] should incorporate the following elements in its communication approach:

- Clearly communicate the change vision and do it early

- Outline the benefits and impacts of the change.

- Ensuring that any changes in HSE policy and procedures are highlighted.

- Ensure the CEO actively communicates throughout the change process.

- Provide opportunities for dialogue.

- Repeat change messages often.

- Monitor and measure the effectiveness of communications.

11. Aligned Workforce

11.1 People Impacts

It is essential to identify the human capital impacts of a change effort on the workforce. Management should develop a workforce plan that ensures that the organisation has an adequately skilled workforce to support its post-change needs.

11.2 Organisational Needs Assessment

A first step in the workforce planning process is for [Your Company] Management to conduct an organisational needs assessment. This will involve the following issues:

- Future resource roles and needs:
    - What new roles are needed?
    - What are the responsibilities assigned to each role?
    - What are the HSE implications?
    - How many people are required in each of these roles?
    - Are work location changes required?
    - Is there an adequate supply of people for the new roles?
- Skills and Competencies:
    - What new competencies will be required for the roles?
    - What skills, education, knowledge, or work experiences should the resources have for each identified competency?

After determining the organisation's workforce needs in the changed environment, Management should determine the competencies of the organisation's current workforce, and identify and address the gaps between future needs and current workforce competencies.

11.3 Workforce Development

[Your Company] management should seek to address any gaps between the existing capacity of the workforce and the anticipated future requirements through initiatives such as:

- performance management;
- creating individual development plans; or
- training and education.

Sign Off			Revision 12/12 to be revised 12/13
	Managing Director	Date	

B1.11   Legislative Compliance Policy

Title:	**Legislative Compliance Policy**	**Doc No**	**PRO 13**

1. Purpose

The purpose of the policy is to assist [Your Company] to comply with its legal obligations, thus maximising the likelihood of the Company's Management, staff and contractors complying with the law.

2. Scope

This is policy covers all managers and staff and applies to all activities at governance, management and operational levels.

The Company is under a general obligation to comply with all Australian state and Commonwealth laws and regulations, and all employees have a responsibility to ensure that their activities on behalf of [Your Company] comply with applicable law.

There are many pieces of legislation which impact on [Your Company], and represent differing levels of risk. Adherence to this policy will minimise the company's risk exposure. The legislative compliance issues of particular relevance are those specific to the environmental services sector, or to the health and safety of our people.

3. Policy Content

3.1 Compliance

Legislative compliance supports [Your Company]'s HSE system, and compliance has also been integrated into day to day management by delegating responsibilities into the appropriate operational areas.

To further facilitate legal compliance, and to allow employees to have confidence that they are acting within the law, [Your Company]'s compliance register lists the key legislation with which the company and all its employees must comply.

[Your Company]'s Managing Director is ultimately responsible for:

   a. Maintaining the Compliance Register;

   b. Liaising with the relevant staff members on any new requirements;

   c. Recommending changes to the HSE System, in accordance with changes to legislation, or to its interpretation by the Courts or enforcement authorities;

   d. Arranging audits to provide assurance on compliance

3.2 Non-compliance

Non-compliance could expose [Your Company] to:

   a. A risk of a financial penalty

b. Loss of income

c. An inability to fulfill administrative, or business goals

d. Negative publicity or reduced public regard

e. Legal action arising from non-compliance

3.3 Reporting

A legislative compliance programme is an ongoing process. During the financial year non-compliance occurrences will be reported, as part of [Your Company]'s overall attempt to comply with legislative requirements. Non-compliance is identified 'by omission', and by building on existing practices, i.e. using internal audit, policy guidelines, careful monitoring, reviews, administrative and other risk assessment processes to identify areas of non-compliance.

3.4 Responding to Non-Compliance

[Your Company] assigns ownership and accountability for any non-compliance, thus ensuring action is taken. Should non-compliance be identified:

a. non-compliance is brought to 'owner's' attention (a manager or a policy sponsor)

b. root cause of non-compliance is analysed

c. rectification through system changes or training

d. annual reporting to Managing Director of steps taken to address any instances of non-compliance

These activities are intended to provide reasonable assurance to Management that [Your Company] is complying with relevant legislation.

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B1.12 Excavation Policy

1. Site Supervisor

Each excavation site will have a site supervisor whenever employees are at work on in the excavation. The site supervisor:

- Performs and documents the "Excavation Safety Checklist" at least daily and as needed.

- Must assure that the location of underground installations or utilities have been properly located.

- Must identify and ensure the use of adequate protective systems, work methods and personal protective equipment (PPE) on the excavation site.

- Oversees all other aspects of site safety

2. Excavation Risk Assessment

Prior to each excavation, the site supervisor will lead a risk assessment of the activity and agree a work plan that addresses the key risks in the work.

For example, on any excavation where depth is expected to exceed four feet or where unstable soil is likely to be encountered, shoring or shielding equipment that will be used shall be on the site before any excavation actually begins.

If there is a need for employees to enter the excavation, the site supervisor will assess whether this constitutes *Working in a Confined space* and the requirements to enter the excavation safely.

The site supervisor, in collaboration with the work team, will assess any other risks including hazards from traffic, risks to pedestrians, animals or the environment.

3. Underground Installations

Prior to starting any excavation work, all underground utilities will be marked as clearly as possible in order to identify potentially dangerous situations.

The supervisor or competent person will contact the "Dial Before You Dig" number so that nearby public utilities can be located and marked. If the project is on private land, the supervisor will discuss the location of pipes, power-lines or other infrastructure with the landowner

4. Surface Obstructions

All surface obstructions such as slopes, fences, power-lines or trees that may create a hazard to employees shall be identified, taped-off, removed or supported, as necessary, to safeguard employees. The plan of work may need to be adjusted to allow for obstructions that cannot be moved.

5. Barricades and Warnings

Excavations must be isolated from general access by a substantial physical barrier. High visibility mesh barricades, lighting and signage shall be installed as appropriate prior to the start of excavation operations.

In high traffic areas such as near roads or walkways fencing shall be placed around the excavation in such a way as to provide maximum protection. The site supervisor must inspect barriers prior to the start of each day to ensure that they are in good order.

Employees exposed to vehicle traffic shall be provided with, and shall wear warning vests or other suitable clothing marked with or made of reflective or high-visibility material.

6. Communications

A radio-equipped truck, portable two-way radio or cellular phone shall be on the site at all times when work is in progress.

7. Excavation

A competent ticketed operator on a machine deemed suitable to the task will conduct digging work.

Other employees will not enter the work zone when the machine is running.

Excavated material shall be stored at least two feet from the edge of the excavation.

8. Entering Excavations

No one shall enter an excavation of four feet or more in depth without having an adequate protective system in place. A stairway, ladder, ramp or other safe means of egress shall be located in trench excavations that are 4 feet or more in depth so as to require no more than 25 feet of lateral travel for employees.

No one shall enter an excavation of less than four feet without a protective system in place unless authorized by a competent person. Excavations less than four feet in depth may not require this degree of protection if examination of the ground by a competent person provides no indication of a potential risk.

Hard hats will be worn by all workers at the site when work is in progress and when entering an excavation.

9. Inspections

Daily inspections of excavations, the adjacent areas, and protective systems shall be made by the site supervisor for evidence of a situation that could result in possible cave-ins, indications of failure of protective systems, hazardous atmospheres, or other conditions.

 Inspections shall also be made after every rainstorm or other event that may change ground or site conditions.

If the site supervisor finds evidence of a situation that could result in additional risk, exposed employees shall be removed from the hazardous area until the necessary precautions have been taken to ensure their safety.

10. Closure

All temporary excavations shall be backfilled as soon as possible.

The surface of the ground will be made safe for foot and vehicle traffic including any compaction necessary to avoid the risk of the ground subsiding

Barriers will be removed and any rubbish, refuse or other material introduced to the site will be removed and stored appropriately.

Appendix B2   HSE Checklists

This section of the toolkit contains the following example documents that may be relevant to establishing strong HSE arrangements in the workplace.

- B2.1   Example HSE Management Systems Audit

- B2.2   Example HSE Risk Register

- B2.3   Example HSE Risk Assessment Checklist

- B2.4   Workshop HSE – Example Checklist

- B2.5   Example Manual Handling Risk Assessment Checklist

- B2.6   Example Vehicle Risk Assessment/Pre-Start Checklist

- B2.7   Example Field-work Equipment Checklist

- B2.8   Vehicle and Trailer Inspection – Example Checklist

- B2.9   Example Noise Hazards HSE Checklist

- B2.10 Example Safe Purchasing Checklist

- B2.11 Example Hazardous Substance Risk Register

- B2.12 Example Plant and Equipment Register

- B2.13 Example Electrical Equipment Register

- B2.14 Excavation Safety Checklist

B2.1 Example HSE Management Systems Audit

OHS AUDIT CONDUCTED BY: ………………………………… **DATE :**……../………./**20**……

	REQUIREMENT	COMMENTS/ACTION	DUE DATE
1	A copy of the relevant legislation (e.g. *Occupational Safety and Health Act 1984)* and regulations are available on site and updated with amendments as they become available.		
2	Leaders (Managers and Supervisors) are aware of their role under the Act and Regulations e.g. safe working procedures.		
3	Managers, supervisors, and staff regularly consult on issues affecting safe work practices on site		
OHSE Resources			
4	A copy of the company's **"HSE Manual**" is available on site.		
5	A copy of the company's "**Induction Manual"** is available on site.		
6	Copies of plans identifying the layout and locations of the specific sites buildings, including emergency exits, fire prevention equipment and muster points are available for the use of employees.		
7	A copy of a suitable First Aid Manual is available on site.		
Emergency Procedures and Equipment			
8	Emergency exits are clearly identified, and exits, smoke and fire doors and passages leading to them are clear of obstacles.		
9	Muster points are clearly sign-posted, and shown on site plans.		

REQUIREMENT	COMMENTS/ACTION	DUE DATE
10	Emergency equipment is properly stored and maintained.		
11	Emergency procedures are regularly reviewed and systems updated as necessary. Staff are regularly trained in emergency procedures (through practice drills) and are familiar with the emergency procedures and their role in the event of an emergency.		
12	First aid kits are available and a percentage of personnel are trained in Senior First Aid.		
13	Hazardous substances are stored and labelled in an appropriate and secure facility. Hazardous chemicals are kept in locked cupboards and clear manufacturers labels are applied to containers. All containers are undamaged.		
14	The appropriate agencies and departments are notified of worker's sustaining notifiable injuries. Records of notification are maintained on site.		
Hazardous Substance Storage			
15	A hazardous substances register containing Material Safety Data Sheets (MSDS) for all site chemicals is maintained on site.		
16	Staff are aware of the procedures surrounding the safe storage of hazardous substances through tool-box meetings and signage.		
Privacy			
17	Confidential records are securely maintained, including staff details. Access to these records is restricted to authorised staff.		
OHSE Responsibilities of management and staff are clearly defined			
18	Job descriptions clearly define the HSE responsibilities of each employee.		
19	A system is in place for staff to notify management of identified hazards in the work place. Staff are made aware of this process through induction and toolbox meetings.		
20	Contractors are aware of their HSE requirements and emergency procedures.		

REQUIREMENT	COMMENTS/ACTION	DUE DATE
21	Systems are in place to ensure that poor HSE performance is highlighted and appropriate remedial actions are taken.		
22	Experienced personnel are available to staff and managers to assist in the development of HSE strategies, systems and processes as required.		
OHSE Training			
23	HSE training is conducted for all staff, and recorded in the training register / matrix.		
24	New staff members receive HSE instruction during their induction.		
25	HSE training reflects management / employee needs. An HSE training needs analysis has been conducted and the company's HSE training program reflects the needs identified in the analysis.		
26	Managers, supervisors and key personnel are trained in accident investigation.		
27	Over 15% of staff members receive training in emergency First Aid procedures annually.		
28	Manual handling training is conducted on site.		
OHSE Audits / Surveys			
29	Hazard analysis audits are conducted to identify priority areas for risk control, and identified priority risk areas are assessed and recommendations for risk control are actioned by management.		
30	Regular safety audits are conducted by leaders to ensure a safe workplace and environment is maintained.		
Workplace Incident / Accident Investigation and Reporting			
31	Workplace accidents and incidents are documented.		
32	Investigations are conducted to determine the root cause(s) of workplace incidents. Results of investigations are circulated to appropriate personnel and actioned in order to prevent further occurrences.		

REQUIREMENT	COMMENTS/ACTION	DUE DATE
OHSE Policy and Procedures		
33	A HSE Manual has been developed in accordance with the company's HSE obligations.		
34	An appropriate staff member, on site, is accountable for maintaining the HSE manual and ensuring that it is continually updated.		
35	Safe work procedures are developed in consultation with employees, and once developed; these procedures are documented and posted in the workplace.		
36	Return to Work procedures are in place which reflect the company's philosophy of enabling injured employees to return to duties as soon as they are safely able to do so following injury. The return to work process includes the provision of alternative duties where these are necessary. These procedures should be provided to any employees that suffer an injury.		
39	Policies and procedures are produced and are regularly reviewed so that system changes or new equipment result in changes to the policies and procedures.		

B2.2   Example HSE Risk Register

How to use this template
This is an example of a HSE Risk Register that Management can use to identify the various HSE risks that their business faces. Management should where possible seek to implement mitigation strategies that reduce the risk to as low a level as possible. It is the responsibility of companies to design and implement risk management strategies that best meet the needs of their business circumstances.

Note that the risks identified below are merely examples of how such a register can be used.

ID	Risk	Risk Rating	Specific risk	Mitigation strategies	Remaining risk
1	Hazardous Chemicals	Very High	• Burns from contact with corrosive chemicals	• Chemical handling and storage procedures. • Training for employees who have contact with chemicals. • Inclusion of chemical emergency procedures in the Emergency Management plan.	Low
2	Fire	High	• Workshop fire	• Ensure that all vehicles and buildings are equipped with fire suppression equipment. • Ensure that appropriate fire response is included in the Emergency response procedure. • Ensure that all employees are trained in the appropriate emergency response and use of fire suppression equipment.	Low
3	Working at Heights	Medium	• Falls from work platforms	• Develop a safe working at heights procedure. • Ensure that all workers who work at heights are trained in the procedure. • Ensure that working at heights equipment is maintained and checked.	Low

ID	Risk	Risk Rating	Specific risk	Mitigation strategies	Remaining risk
				• Report and track incidents according to incident management procedure.	
4	Dust	Low	• Eye damage due to dust	• Monitor dust exposure • Ensure that vehicle air-conditioners filter dust • Require the use of dust-masks for certain tasks	Low
5	Light Vehicles	Very High	• Injury from light vehicle collisions	• Ensure that all site drivers have current driver's licences • Ensure that appropriate procedures for the interaction of light and heavy vehicles is part of mine driving rules • Ensure that all mine drivers have mine driving qualifications • Separation of pedestrian walkways	Low

B2.3   Example HSE Site–Specific Risk Assessment Checklist

How to use this template

This document is an example of a checklist that can be used by management to assess the HSE risks that may exist at specific work sites. This type of checklist may be used by management when their team first start work at a location, or on a regular basis (e.g. quarterly).

Note - This document is an example and may not be appropriate for all businesses.

SCOPE OF WORKS		
DATE		
SITE ADDRESS		
PERSON COMPLETING THIS ASSESSMENT		SIGNATURE

	Site-specific work activity – risk assessment	Yes	No	N/A
	Contractor assessment			
1	Have all employees completed HSE training (general, site induction and work-specific tasks)?	☐	☐	☐
2	Have all employees been instructed on safe working practices (e.g. manual handling)?	☐	☐	☐
3	Have all employees read and understood the [Your Company]'s HSE Policy and is it accessible on site?	☐	☐	☐
4	Is the correct type of first aid kit in place, and is it stocked and accessible for use?	☐	☐	☐
5	Have all employees been trained in the safe use of power tools?	☐	☐	☐
6	Specify the PPE	☐ Hard hat protection ☐ Safety boots ☐ Eye protection ☐ Hearing			

7	Is the hazardous substance register on site and are all relevant persons trained in using and handling the substances safely?	☐	☐	☐
8	Is the appropriate fire-fighting equipment on site for flammable substances or hot works?	☐	☐	☐
9	Have all employees reviewed the site safety signage and muster point locations before commencing work?	☐	☐	☐

	Equipment assessment			
10	Has all the electrical equipment been tagged and tested, and is the electrical tagging register on site?	☐	☐	☐
11	Are all electric outlets (generator, meter box, etc.) protected by RCD	☐	☐	☐
12	Are all tools and equipment serviced and in good working order?	☐	☐	☐
13	Are all plant and tools inspected and fit for purpose?	☐	☐	☐
14	Are all ladders used on site inspected and fit for purpose?	☐	☐	☐
15	Is there guarding on all machinery, covering all moving parts?	☐	☐	☐

	Site assessment			
16	Is site safety/security fencing intact (with no gaps or missing fencing panels) and are gates chained and padlocked?	☐	☐	☐
17	Is the work area clear of rubbish and debris, and is an area provided for debris?	☐	☐	☐
18	Are materials delivered and stored in a safe and responsible manner in each work area?	☐	☐	☐
19	Are the public and other workers protected during work activities?	☐	☐	☐

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20	Are amenities on site clean and accessible for use?	☐	☐	☐
21	Are working at heights and confined spaces marked and protected?	☐	☐	☐
22	Have all safety systems (e.g. edge protection, scaffolding and guard railing) been inspected and are they safe to use?	☐	☐	☐
23	Has stairwell and open penetrations protection system been installed?	☐	☐	☐
24	Is there a safe path of travel to all work areas and have all trip hazards been identified?	☐	☐	☐
25	Have all trenches and excavations been backfilled, covered or barricaded?	☐	☐	☐
HAVE YOU ELIMINATED ALL POTENTIAL RISKS FROM ANY OTHER HAZARDS IDENTIFIED ON SITE THAT MAY AFFECT YOUR WORK TASK?		☐	☐	☐

*If you answer **No** to any of the items above – **you must complete the risk assessment table below and consult with all employees and subcontractors before commencing any work.** If you cannot remove or control the hazard, please contact your supervisor for advice before starting any work.*

Identify below any hazard (plant or substance or process) that could be a risk to OHS, and list the controls taken.

Hazard identified	Risk (1-6)	Controls implemented	Risk (4-6)	By whom

Risk rating score 1-6

POSSIBLE RISK	Very likely	Likely	Unlikely	Very unlikely
Death or permanent disability	1	1	2	3
Long term illness or serious	1	2	3	4
Medical attention or days off	2	3	4	5
First aid needed	3	4	5	6

B2.4   Workshop HSE – Example Checklist

How to use this template

This document is an example of a checklist that can be used by management to assess the HSE risks that may exist at one of the company's workshop .This type of checklist may be used by management when their team first start work at a workshop, or on a regular basis (e.g. quarterly).

Note - This document is an example and may not be appropriate for all businesses.

	Description	Satisfactory / Action required?	Risk Level	Description of action required	Person Responsible	Completion Date
Structural						
1	Are all emergency exit doors operational and kept clear?					
2	Is access to the workshop restricted to authorised persons?					
3	Are there hazard and safety warning signs in place within the workshop?					
4	Is there adequate space and lighting provided around each separate workstation?					
5	Are floor surfaces, including stairs and ramps properly marked and free of trip hazards, including tools, materials and rubbish and in good condition?					
6	Have staff been instructed on the use of tools and equipment that may					

	Description	Satisfactory / Action required?	Risk Level	Description of action required	Person Responsible	Completion Date
	represent a fire hazard?					
7	Is there No Smoking signage in the workplace?					
9	Are gutters and areas around buildings cleared on a regular basis?					
General Work Environment						
10	Is a fully stocked first-aid kit accessible to all workers and are they aware of its location?					
11	Are there suitably qualified persons trained in emergency first-aid available in the workplace to render assistance?					
12	Are there sufficient numbers of appropriate fire extinguishers (suitable for electrical, and / or liquid, and / or other types of fires) available in the workshop?					
13	Has an authorised person checked and tagged all fire extinguishers within the past 6 months and do *they remain* fully charged?					
14	Is adequate PPE and training for its use provided for the various operations					

	Description	Satisfactory / Action required?	Risk Level	Description of action required	Person Responsible	Completion Date
	conducted in this workshop?					
15	Is the workshop free from dangerous materials that should be stored in other locations (e.g. chemicals)					
16	Are trolleys, jacks, cranes and hoists present to reduce lifting where possible? Are cranes and lifting equipment tested and appropriately tagged?					
Electrical Tools and Power Supply						
17	Is the electrical circuit board indoors or protected by a weatherproof cabinet?					
18	Are the workshop power circuits protected by installation of residual current devices (RCD) to prevent electrical shock?					
19	Are portable RCD units available for use with electrical equipment when such equipment is not being used on a protected outlet?					
20	Are electrical switches and General Power Outlets undamaged and in proper worker order?					

	Description	Satisfactory / Action required?	Risk Level	Description of action required	Person Responsible	Completion Date
21	Are all electrical appliances and power tools used in the workshop inspected, tagged and placed out of service if faulty?					
22	Are portable power tools unplugged or switched off when not in use?					
23	Are all extension leads suspended clear of work situations where they cross any passageway / access-way or where fluids may affect them?					
24	Are underground electrical cables clearly marked?					
25	Are overhead power lines clearly marked and located clear of moving equipment / machinery?					
26	Are there any wet or damp areas that may pose an electrical hazard in or around the workshop area?					
	Bench and Angle Grinders and Cut Off Saws					
27	Are the appropriate guards, both wheel and operator, installed and kept clean on all machines?					

	Description	Satisfactory / Action required?	Risk Level	Description of action required	Person Responsible	Completion Date
28	Are fixed grinders located in suitable positions?					
	Welding Processes and related work					
29	Is correct PPE provided for welding work?					
30	Is a suitable fire extinguisher in close proximity to all welding operational areas used for cutting and heating?					
31	Are welding cables fully insulated throughout their entire length and electrode holders in good repair?					
32	Are welding machine terminals and cable connections clean and tight?					
33	Are all LPG, oxy acetylene and other compressed gas cylinders secured in a vertical position?					
34	Are pressure gauges on all compressed gas cylinder regulators in working order and well maintained?					
35	Are all gas / oxy-acetylene hoses and fittings in sound order with no detectable gas leaks?					

	Description	Satisfactory / Action required?	Risk Level	Description of action required	Person Responsible	Completion Date
36	Are staff trained in the correct procedures for lighting up and closing down oxy-acetylene processes?					
	Use of compressed air					
37	Are all workers made aware of the hazards of working with compressed air?					
38	Are compressed air couplings and hoses in sound condition with no evident leaks?					
39	Are accurate pressure gauges available for the correct inflation of tyres and other applications?					
40	Is PPE provided and used when using compressed air to blowdown machinery?					
41	Are suitable tyre inflation cages for the safe inflation of the tyre sizes currently used?					

B2.5 Example Manual Handling Risk Assessment Checklist

How to use this template

This document is an example of a checklist that can be used by a supervisor to assess the HSE risks that may exist in relation to manual handling. This type of checklist may be used by supervisors to assess the manual handling HSE risks associated with any tasks that employees are being asked to undertake.

Note - This document is an example and may not be appropriate for all businesses.

Question	Yes / No	Risk	Control
Is there frequent or prolonged bending down where the hands pass below mid-thigh height?			
Is there frequent or prolonged reaching above the shoulder?			
Is there frequent or prolonged bending due to extended reach forward?			
Is there frequent or prolonged twisting of the back?			
Are awkward postures assumed frequently or over prolonged periods, that is, postures that are not forward facing and upright?			
Is manual handling performed frequently or for long time periods by the employee(s)?			
Are loads moved or carried over long distances?			
Is the weight of objects being carried: A. More than 4.5kg and handled from a seated position? B. More than 16kg and handled in a working posture rather than seated? C. More than 55kg?			
For pushing, pulling or other application of forces, are large push / pull forces involved?			

B2.6   Example Vehicle Risk Assessment/Pre-Start Checklist

How to use this template
This document is an example of a checklist that can be used by a supervisor to assess the risks that may exist in relation to the use of a company vehicle. This type of checklist may be used by staff to confirm that a vehicle is safe to use before they commence on a journey.

Note - This document is an example and may not be appropriate for all businesses.

Vehicle type:	
Registration No:	
Odometer Reading:	

Check list

1. General

☐ Vehicle has a current registration certificate.

☐ Hand brake and foot brake operate correctly.

☐ Doors, boot and bonnet lock securely.

☐ Horn works.

☐ Heater and air conditioning works.

☐ Windows can be opened and closed.

☐ There is a First-aid kit.

2. Lights are working correctly

☐ Brake lights.

☐ Indicators

☐ Head lights.

☐ Tail lights.

☐ Hazard lights.

☐ Reversing.

☐ Interior.

□ Fog / spot lights.

3. **Tyres**

□ Tread depth indicator has not been surpassed.

□ Pressure is per manufacturer's advice.

□ Spare is present and ready for use.

□ Tyre changing equipment is present and functional.

4. **Wind Screen – front and rear**

□ Screen is clean with no damage.

□ Wipers and washers work correctly.

□ Demister functions properly.

□ Sun visors work effectively.

5. **Gauges are working properly:**

□ Fuel.

□ Oil.

□ Temperature.

□ Speedometer.

□ Odometer.

6. **Fluid levels:**

□ Fuel.

□ Water.

□ Oil.

□ Brake.

□ Battery.

□ Power steering.

Note: If working or travelling remotely do you require two spare tyres, 20 litres of water, and sat phone / radio in vehicle?

List actions or maintenance required to use the vehicle:

	Name	**Signature**	**Date**
Employee			
Supervisor			
School/Unit			

B2.7 Example Field-work Equipment Checklist

How to use this template

This document is an example of a checklist that can be used by a supervisor to assess the risks that may exist in relation to the use of a company vehicle on a work-related field trip. This type of checklist may be used by staff to confirm that all necessary equipment is in place before commencing on a field trip.

Note this list is an example and may not be appropriate for all businesses.

ITEM	✓ / X	ITEM	✓ / X
Essential Items			
Vehicle Handbook		Fire extinguisher	
Maps and compass		Trouble lamp	
First-aid kit		Portable warning signs	
Items that may be required for travel in remote areas (may not be required on all field trips)			
Wheel chains		Workshop manual	
Jerry cans		Flares	
Satellite phone		GPS	
Spade		EPIRB	
Radiator blind or tarpaulin		Survival book	
		Survival kit	
Examples of miscellaneous repair items (may not be required on all trips)			
Spare nuts, bolts, washers etc.		Silicone adhesive	
Gasket cement		Araldite, Plastibond etc.	
PVC fuel hose		Radiator stop leak	
Radiator stop leak		Dewatering fluid (e.g. CRC)	
Examples of Recovery Equipment (Important)			
Tape		Rope	
High lift jack		Winch (including wire rope and handles)	

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Leather gloves		Shovel	
Snatch strap		Snatch block	
Vehicle repair items (may not all be required on each field trip)			
Drive belts		Light Globes	
Radiator and heater hoses		Oil seals for input / output shafts	
Oil filter		Wheel bearings	
Fuel filter		Tyres and tubes	
Brake fluid		Valves for tubes	
Wire		Tyre / tube patches, glue etc.	
Additional Items Required for Petrol Engines			
Ignition coil		Rotor arm	
Condenser		High tension leads	
Distributor cap		Fuel pump repair kit	
Spark Plugs		Points	
Examples of tools that could be required (may not all be required on each trip)			
Wheel brace		Drill - hand and set of drill bits	
Comprehensive tool kit		Safety Triangles and rotating beacon	
Jack and base plate		Tyre levers	
Jumper leads		Rubber mallet	
Tyre pump		Wire brush	
Tyre pressure gauge		Electrical circuit tester	
Hacksaw and blades		Tyre changing safety harness	
G Clamp			
Lubricants etc.			
Engine oil		Water	
Transmission oil			

B2.8   Vehicle and Trailer Inspection – Example Checklist

Inspector: Date:

UTE / CAR / VAN / TRUCK			
Vehicle:		Mileage:	
	OK	REPAIR	COMMENTS
Tires, including wear and air pressure	☐	☐	
Engine fluid levels	☐	☐	
Fuel, coolant and oil leaks	☐	☐	
Belts and hoses	☐	☐	
Brakes	☐	☐	
Lights including turn signals/brakes	☐	☐	
Horn, gauges and controls	☐	☐	
Steering	☐	☐	
Windshield, wipers, side and rear view	☐	☐	
Seat belts	☐	☐	
Fire extinguisher and First Aid Kit	☐	☐	

TRAILER			
Trailer:			
	OK	REPAIR	COMMENTS
Pin securing ball mount to receiver is intact	☐	☐	
Hitch coupler is secured	☐	☐	
Spring bar hinges and safety clips in place	☐	☐	
Safety chains properly attached	☐	☐	
Electrical wiring and plugs in good condition	☐	☐	
Reflectors and required signs in good condition	☐	☐	
Brake, signal and plate lights work	☐	☐	
Tires, including wear, air pressure and lug nuts	☐	☐	
Trailer in overall good condition	☐	☐	
Load is secured and weight even	☐	☐	

Check visibility in tow vehicle mirrors	☐	☐	
Know weight, height and width limits for load	☐	☐	

B2.9   Example Noise Hazards HSE Checklist

Description	OK Action Reqd.	Risk Level	Problem and Action Required	Person Responsible	Completion Date
Is a raised voice needed to communicate with someone that is only close by (e.g. 1-2 metres away)					
When interviewing staff, do they say that there are times when they can't hear instructions from supervisors or hear warning signals / alarms?					
Have workers reported hearing complaints such as: (a) ringing in the ears (tinnitus) (b) the same sound having a different tone in each ear (c) blurred hearing					
Are any of the long-term workers hard of hearing? Are workers able to undertake hearing tests?					
Are personal hearing protectors provided?					
Does prominent signage exist in the workshop indicating the need to wear personal hearing protectors?					
Is there noise testing undertaken to confirm that noise does not exceed 85 decibels?					

B2.10   Example Safe Purchasing Checklist

How to use this template

This document is an example of a checklist that can be used by a supervisor to assess any HSE risks that may exist in relation to the purchasing of goods or services. This type of checklist may be used by staff to confirm that any adverse risks associated with such a purchase are managed in an appropriate manner.

Note this list is an example and may not be appropriate for all businesses

Question	Finding
1. What is the item that is to be purchased?	
2. What safety information is there been about the item?	
3. How are the company's employees and work processes affected by the purchase?	
4. Have affected employees been consulted? When?	
5. What are the HSE risks relevant to the purchase?	
6. How will the purchase help manage these risks?	
7. What will be needed to be done to ensure the safe use, storage and transport of the purchase?	
8. What change will need to be made to any of the company's Safe Work Procedures or HSE manuals?	
9. What training will be required before the item is used?	

B2.11   Example Hazardous Substance Risk Register

How to use this template

This template should be used by an Indigenous business to record the details of any hazardous substances that are stored or used by the company. Key elements in effectively using this register are as follows:

- *Allocate responsibility for maintaining the register to an individual;*

- *Provide training to all relevant staff on what a hazardous substance is and how the register should be completed;*

- *The risks associated with each substance should be assessed (1-6) according to the risk matrix below;*

- *Specific controls should be developed for each hazardous substance depending on the risk rating. These controls would be more robust for substances with a higher risk ranking; and*

- *Responsibility for implementing these controls should be given to a specific person.*

Note - This list is an example and may not be appropriate for all businesses.

Product name	Is the Product labelled?	MSDS date of issue	Risk rating (1–6)	Controls to be implemented to manage the risks associated with	Responsible individual

POSSIBLE RISK	Very likely	Likely	Unlikely	Very unlikely
Death or permanent disability	1	1	2	3
Long term illness or serious	1	2	3	4
Medical attention or days off	2	3	4	5
First aid needed	3	4	5	6

B2.12 Example Plant and Equipment Register

This template should be used by an Indigenous business to record the maintenance requirements and history for all plant and equipment used by the company. Key elements in effectively using this register are as follows:

- *Allocate responsibility for maintaining the register to an individual;*

- *Provide training to all relevant staff on how the register should be completed;*

Note - This register is an example and may not be appropriate for all businesses.

Plant type	Serial number	Make/model	Is the plant/equipment registered with government authority?	Authority Registration date	Date of last service	Required maintenance frequency (e.g. weekly/monthly /annually)	Does log Book exist?	Responsible individual
Water cart	*123456*	*Nissan xxx123*	*Yes*	*12//11/13*	*12/11/12*	*Monthly*	*Yes*	*John Stein*

B2.13   Example Electrical Equipment Register

How to use this template

This template should be used by an Indigenous business to record the maintenance requirements and history for all electrical equipment brought on-site by the company.

Note - This register is an example and may not be appropriate for all businesses.

Equipment description	Serial number	Date of last inspection/test	Results for earth leakage device	Authority Registration date	Date of next inspection	Qualified electrician's signature	Licence / registration number

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B2.14 Excavation Safety Checklist

How to use this template

This is an example of an Excavation Safety Checklist that can be used on a daily basis to confirm the ongoing safety of trenches or other earthworks.

DATE:_____

WORK ORDER NUMBER:_____

Project name:_____

Site Supervisor:_____

Location:_____

Weather Conditions:_____

Rainfall amounts 24 hrs. previous:_____

I hereby attest that the following conditions existed and that the following items were checked or reviewed during this inspection: (circle appropriate response)

1. Open trench was inspected. Y N

2. All excavated material located proper distance from toe of slopes Y N

3. Were any tension cracks observed along top of any slopes? Y N

4. Were slopes cut at design angle of repose? Y N

5. Was any water seepage noted in trench walls or trench bottom? Y N

6. Was bracing system installed in accordance with design? Y N

7. Was there evidence of shrinkage cracks in trench walls? Y N

8. Was there any evidence of caving or sloughing of soil since the last field inspection? Y N

9. All short-term trench(s) covered within 24 hours? Y N

10. Trench box(s) certified? Y N

11. Type of shoring being used: _____

12. Did shoring plan include adequate safety factor to allow for equipment actually being used? Y N

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13. Barricade, signage and lighting are in good order? Y N

14. Traffic in area adequately away from trenching operations with barricades? Y N

15. Trees, boulders or other hazards in area. Y N

16. Vibrations from equipment or traffic too close to trenching operation? Y N

_____ _____

Site Supervisor Signature Date

Appendix B3 Incidents – Example Documents

This section of the toolkit contains the following example documents that may be relevant to Indigenous business in the management and reporting of incidents in the workplace.

- B3.1   Example Incident Investigation Form

- B3.2   Example Incident Reporting Flowchart

- B3.3   Example Incident Report Form

- B3.4   Example Notification of Injury Form

- B3.5   Example Job Hazard Identification and Reporting Form

- B3.6   Example Contractor HSE Performance Report

B3.1   Example Incident Investigation Form

1) Details of Injured Person.	
Employee Name:	

2) Location of Incident / Accident	

3) Description of Injury?	
What parts of the body are affected by the injury? (e.g. head, right hand, left foot etc.)	
Type of Injury (i.e. cuts, bruises, sprain, break, dislocated, foreign body)	

4) Describe what happened. (Use the back of the sheet if necessary)	
What day of the shift was it? *i.e.; day 4 of 7 day shift*	
What time of the shift was it?	
How many hours had the person been working?	

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5) What was the cause of the Incident / Accident?	
Tick the box(es) of the items you feel may have helped to cause the Incident / Accident	
□ Not working to Procedures / as JSA	□ Work Practises or Procedures
□ Equipment	□ Behaviour of person injured
□ Environment	□ Time of shift
□ Health of Injured person before injury	□ Outside / external factors

Please explain why you think these factors helped cause the accident.	

6) Hazard / Procedure Identification. (please tick the boxes you feel may be relevant)	
□ This hazard that has been identified in the job JSA.	□ The Safe Work Procedures in place **should have** prevented this accident
□ The existing controls failed	□ Employees need to be retrained to carry out this task.
□ Procedures in place need to be changed to prevent this happening again.	□ New hazard has been identified. *Fill out Hazard Identification Form*

7) Please explain why you think these factors may have relevance to the accident.	
Name of person investigating accident: Position held in company: Date investigation carried out:	

Notes:

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B3.2   Example Incident Reporting Flowchart

How to use this template

This example flowchart should be used by management within an Indigenous business to document the process that should be followed within the organisation when reporting an Incident. This flowchart should be supported by procedural instructions and communicated to relevant staff (e.g. HSE committee representatives and HSE officer).
Note - This document is an example and may not be appropriate for all businesses.

Incident

Make Area Safe

No

Yes

Is the Injury Serious?

Call ambulance or get injured person to Hospital.
Make sure the hospital is notified if they are Employees.
We should receive copies of all documents.

Incident Report filled out

Notify Manager

Is this a Notifiable Accident?
(Follow Procedure for Notifiable Incidents)

First medical certificate is to be provided from injured person.

Incident report given to Manager

No

Manager to Investigate the Incident

Yes
ONLY the Manager is to notify WorkSafe or Mines Dept.

Workers Compensation form to be completed and sent to insurer within three days of first medical certificate.

Follow hazard identification and control procedures

Medical certificates should be kept and filed. These will indicate when the employee will be able to return to work.

Implement the required controls to prevent Incident recurring

Notify WorkSafe WA on **1800 678 198**

A return to work program should be initiated.

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B3.3   Example Incident Report Form

How to use this template

This template should be used by an employee within an Indigenous business to record the details of an HSE incident in the workplace.
Note - This document is an example and may not be appropriate for all businesses

Name of Person Injured/Involved	
☐☐Employee ☐☐Contractor ☐☐Visitor	
Date and estimated time of incident:	
Location Of incident:	
Did the incident occur whilst at work?	
Did the incident occur on company premises?	
Was any machinery, equipment or vehicle involved?	

Type of injury:	
Time since shift started:	
Injured part of body (e.g. head, left hand, right foot etc.)	
Date and time when reported	

Was First Aid Given? Yes No	(If yes) by whom:
Was further medical treatment sought? Yes No	If Yes: Where?
Was there working time lost as a consequence of the Incident? Yes No	
Name of Doctor that treated the injured employee (if relevant)	

Witnesses:	Names	Contact Number
1		
2		
3		

Describe What Happened (use other side of page if required):

Do you think there are actions that could be taken to prevent this from occurring again (to you or anyone else)?

Completed By: _____   Date: _____

B3.4   Example Notification of Injury Form

How to use this template

This template is an example of a document that could be used by an Indigenous business to notify the relevant authorities of an HSE incident (a 'notifiable incident') in the workplace. It is important to note that some reportable incidents may be reportable to the State Government Mines Department while others are reportable to Worksafe (or equivalent agency).

Indigenous businesses should therefore seek to confirm with the relevant authorities exactly what the reporting requirements are in their state/territory prior to formalising their own procedures.

WorkSafe Western Australia Commissioner
PO Box 294
WEST PERTH WA 6872
Email: safety@commerce.wa.gov.au

INJURY REPORTING TELEPHONES:
1800 678 198

Section 1: Employer Details

Legal name:			
Trading name:		**ABN / ACN:**	
Type of workplace:		**ANZIC:**	
Street address:			
Suburb/Town:		**Postcode:**	
Phone:		**Fax:**	
Email:			

Section 2: Details of Injured Person

Surname:		**Sex: Male ☐ Female ☐**
Given names:		
Occupation:		
Date of birth: / / Age:		**Days unable to work:**

Section 3: Details of Injury

Date of injury:	/ /	**Time of injury:**	☐am ☐pm
WorkCover number:			
Nature of injury:			
Injury code			
Brief description of how injury occurred:			
Address of the workplace where injury occurred:	**Street address:**		
	Suburb/Town:		
	Postcode:		
Area of workplace the injury occurred:			
Person removed to:			
Person reporting injury:	**First name:**		**Surname:**
	Position:		**Phone:**
Person for liaison:	**First name:**		**Surname:**
	Position:		**Phone:**

Injury Codes

Body Location	
Skull	A
Chest	B
Arm	C
Leg	D
Digit (finger/toe)	E
Pelvis	F
Spine	G
Eye	H
Ankle/Foot	I

Injury Type	
Amputation	1
Fracture	2
Laceration	3
Loss of sight	4
Other 10 days +	5
Fatality	6

Examples:
1. Head fracture would be an A2
2. Arm amputation would be a C1
3. Toe amputation would be an E1

B3.5 Example Job Hazard Identification and Reporting Form

This template should be used by an employee within an Indigenous business to record the details of an HSE hazard in the workplace.
Note - This document is an example and may not be appropriate for all businesses

1. IDENTIFIED HAZARD   -

	Date Hazard Identified

Hazard scenario *(describe the hazard & what is likely to happen)*

Risk Management Team:

2. RISK ASSESSMENT

Likelihood of Occurrence	Likely Outcome or Consequence	Risk Priority

3. CONTROL METHOD *(Elimination; Substitution; Engineering; Isolation; Procedure or PPE.)*

What controls are in place now?	Are present controls adequate? YES / NO If NO, indicate what additional controls are needed	Action by *(name)*	by When *(date)*	Sign off & date

4. REVIEW of Corrective & Preventive Action

Date of Review	Name of person reviewing	Corrective Action Implemented & Effective? YES / NO	Is further Corrective Action required? YES / NO	Action by *(name)*	By when *(date)*	Sign off & date

When completed the report should be handed to the manager or shift boss

B3.6 Example Contractor HSE Performance Report

This template should be used by an Indigenous business to report on their performance against key HSE targets and indicators.
Note - This document is an example and may not be appropriate for all businesses

Summary HSE Performance Report	
Contract Name:	
Contract Number:	Prepared by:
Contractor:	Date:
Performance Indicators	
Indicator	Total
Number of lost time injuries:	
Working days lost due to injury:	
Number of deaths:	
Number of hazard inspections conducted:	
Number of non-conformance reports issued:	
Comments on Contractor HSE Performance	
Contract HSE Structure and System:	
Contract induction and safety training:	
Safe work practices and procedures:	
Risk assessment:	
Workplace health and safety inspections:	
Emergency procedures:	
Incident recording and investigation:	
Health and safety performance monitoring:	
Contractor Representative:	
Signature: Date:	

Appendix B4   Emergency Management Example Documents

This section of the toolkit contains the following example documents that may be relevant to Indigenous business in the effective management of emergency situations in the workplace.

- Appendix B4.1   Example Emergency Management Plan

- Appendix B4.2   Example Fire Emergency Notice (Workshop)

- Appendix B4.3   Example Personal Injury Emergency Notice

B4.1   Example Emergency Management Plan

How to use this template

This document is an example of a plan that an Indigenous business may wish to develop and tailor for its own purposes to facilitate the safety of their employees in the event of an emergency. Before developing such a plan, management should consider the different risks that their business faces and the most likely emergency scenarios which could occur. The subsequent Emergency Management Plan should reflect those risks.

Note - This document is an example and may not be appropriate for all businesses

Purpose
An emergency management plan is a strategy developed by a business to reduce the damage of potential events that could endanger an organisation's ability to function. The principal function of the Emergency Management Plan is to ensure the safety of employees, contractors and members of the public. The Emergency Management Plan considers any special processes undertaken in buildings (e.g. workshop welding, field operations, etc.) and provides processes in the event of an emergency.
Once an emergency situation has been resolved, an organisation can move on to disaster recovery efforts to deal with any damage and / or restoration of normal business operations.
General Information
An emergency can develop from a number of causes such as major accident (death/serious injury), fire and / or explosion, chemical spills, gas leakage, or structural fault.
A prompt and organised response by management and employees in such an emergency is essential for the welfare of employees, the preservation of assets, and the timely continuity of business operations.
Implementation of Emergency Management Plan
In order for the Emergency Management Plan to be effectively implemented employees must:
• have access to the Emergency Management Plan;

- understand the Emergency Management Plan (for example through undertaking emergency management evacuation scenarios);

- have an emergency evacuation plan displayed in prominent positions in each area of each building;

- undergo specific training (fire fighting, first aid);

- undertake emergency evacuation drills at least annually;

- have the support of sufficient staff to fulfil emergency roles for the Emergency Management Plan;

In order that a business is able to establish an effective plan, they will need to:

- provide sufficient financial resources to implement the Plan

- maintain all records of emergency activities, including fire safety training, drills, incidents and investigations

- provide a register of hazardous substances used in each workplace

General Responsibilities

Directors, Managers and Supervisors have an overall collective responsibility for the implementation of the Emergency Management Plan: These responsibilities include:

Management

- ensure a level of preparedness within the workplace to deal with an emergency, including out of hours considerations;

- appoint wardens and first aid officers for buildings/field locations under their control; and

- develop area action plans relevant to the risks, such as fire, hazardous substance spill, and personal injuries.

Training of employees

- ensure that employees have emergency training appropriate to the risks to which they are exposed; and

- ensure that employees are familiar with emergency management procedures.

General

- ensure clear access and egress at all times;
- ensure emergency evacuation plans are current; and
- ensure hazardous materials are stored appropriately and where necessary disposed of promptly and according to disposal procedures.

Specific Responsibilities

Emergency warden

Management should appoint an 'Emergency Warden'. The Emergency warden will:

- Assume overall management responsibility for the Emergency;

- Declare the boundaries of the emergency zone, limit or refuse access and evacuate as required;

- Assess the extent of the emergency and the action to be taken;

- Co-ordinate and control all functional services within the emergency zone;

- Establish and maintain contact with other emergency organisations as appropriate to the emergency;

- Consult with management and staff; and

- Plan recovery.

Depending on the size of the organisation, emergency teams may be nominated to respond to requests for maintenance and repair action, clearing of obstacles, clean-up operations and to assist as required by the Emergency Warden.

First Aid Officers will respond to emergencies providing support to Emergency Wardens for medical assistance.

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B4.2   Example Fire Emergency Notice (Workshop)

How to use this template

This document is an example of a notice that an Indigenous business may wish to develop and tailor for its own purposes to communicate key messages on what to do in the event of a fire in a workshop or shed.

Before developing such a notice, business owners should consider;

- *the key fire risks,*
- *where the notice should be placed*
- *who the emergency warden at the company is; and*
- *which emergency service numbers should be included in the notice.*

Note - This document is an example and may not be appropriate for all businesses

FIRE IN THE WORKPLACE – What to do?

The first person at the scene should:

1) Stay Calm

2) Check for Immediate Danger

3) Assess the Situation

If it's a small fire, extinguish it with the appropriate fire extinguisher or fire fighting equipment.

IF YOU CANNOT EXTINGUISH THE FIRE THEN:

a)   CLEAR all staff from the area

b)   RETREAT safely from the area

c)   CONTACT the Emergency Warden on Tel. xxxxxxxxx-- --- --- (xxx xxxx is Emergency Warden in all serious emergencies)

d)   CALL 000 or -------- SHIRE ON xxx xxxxx

Be aware of the location and nature of all flammable chemicals and fuel stored in the area.

Prepare a list of the hazards in the area so you can notify the Emergency Response Team when they arrive.

B4.3   Example Personal Injury Emergency Notice

How to use this template

This document is an example of a notice that an Indigenous business may wish to develop and tailor for its own purposes to communicate key messages on what to do in the event of a personal injury in the workplace.

Before developing such a notice, business owners should consider;

- *The extent of first aid training provided to employees ,*
- *where the notice should be placed*
- *who the emergency warden at the company is; and*
- *which emergency service numbers should be included in the notice.*

Note - This document is an example and may not be appropriate for all businesses

WORKPLACE INJURY

The first person at the scene should:

1) Stay Calm

2) Check for Immediate Danger

3) Assess the Situation

Assess the Injury – Remember your First Aid training

D- anger
R-esponse
A-irway
B-reathing
C-irculation

Administer appropriate first aid
If the injury is serious call 000

NOTIFY Manager XXXXX on 04123 456 789, or Emergency Warden on xxxxx

Begin preparing an incident report as soon as possible, including separated witness statements. You are then in a position to pass this information to the Emergency Warden.

Appendix B5   Example HSE Procedural Instructions

This section of the toolkit contains the following example documents that may be relevant to the HSE in the workplace.

- B5.1   Example Emergency Management Procedure

- B5.2   Example Incident Investigation Procedure

- B5.3   Example Return to Work Procedure (Management Responsibility)

- B5.4   Example Return to Work Procedure (Employee Responsibility)

- B5.5   Example Basic Employee Health Procedures

- B5.6   Example Aggression in the Workplace Procedures

- B5.7   Example Sexual Harassment Procedures

- B5.8   Example Fatigue Management Procedures

- B5.9   Example Hazardous Substance Procedures (Purchasing , Use and Disposal)

- B5.10 Example Waste Management Procedures

- B5.11 Example Working in Confined Spaces Procedures

- B5.12 Example Working Near Railways Procedures

- B5.13 Example Working on (or Near) Water Procedures

- B5.14 Example Work-related travel plan and report

- B5.15 Example Driving in Remote Areas Procedures

- B5.16 Example Annual Driving Review Checklist

- B5.17 Example Danger Tags Procedures

- B5.18 Example Isolation Procedures

- B5.19 Example Out Of Service Tags Procedures

- B5.20 Example Hazard Identification and Audit Procedure

- B5.21 Example procedures - Reporting of work injuries and diseases to WorkSafe

B5.1   Example Emergency Management Procedure

1)   What is the purpose of the Emergency Management Procedures?

To save life and property by:

- assigning responsibilities for the management of emergencies covering:
    - emergency and evacuation planning;
    - response to emergencies; and
    - recovery from emergencies.

- providing the models and guidance required to prepare adequately for field emergencies; and

- defining the minimum evacuation practice requirements for each building.

2)   Who / what is covered by Emergency Management procedures?

The following procedure applies to all staff and to all emergencies arising:

- on any premises or facility owned, occupied or managed by the company or

- in the course of, or as a result of, any occupational, commercial, endorsed activity, whatever its location.

3)   What is an Emergency?

In this context an **Emergency** means any sudden danger that requires immediate action to prevent severe injury, illness, damage or distress. Examples include:

- uncontrolled fires or floods;

- life threatening injuries and illnesses, and the threat of such injuries and illnesses;

- serious spillages or releases of dangerous goods.

4) What are the General Emergency Instructions?

If first at the scene of an emergency, Employees should remember the key steps **AAACE**:

1. **Assess** the situation for immediate dangers to your safety and take appropriate steps
2. **Alert** personnel around you, Call 000 if applicable
3. **Assist** any person in immediate danger **if safe to do so**
4. **Contain** or combat the emergency **only if safe to do so**
5. **Evacuate** to Emergency Assembly Point between front gates on verge

5) What are the Building Evacuation Instructions?

For all staff, contractors and visitors, if you are instructed to evacuate a building by manual alarm or by verbal order:

1. make all equipment safe;
2. evacuate promptly from the building, closing doors behind you if practical ; and
3. assemble at the allocated Emergency Assembly Point and await instructions.

6) What actions should Emergency Wardens take?

(i) Initiate an immediate evacuation of your area in the following cases:

- automatic evacuation alarm (not preceded by a verbal announcement to disregard it); or
- instruction to evacuate given by the Warden or by Emergency Services personnel.

(ii) Investigate the emergency and decide on the need for evacuation in the following cases:

- verbal report of an emergency by staff, visitors, etc.; or
- other indication of incident or problem.

(iii) In case an evacuation is required:

1. follow Local Emergency Instructions to initiate an evacuation ;
2. proceed to the Designated Assembly Point;
3. determine whether the Designated Assembly Point is safe and take appropriate action if not;
4. ascertain whether anybody appears to be missing;
5. report to the Senior Emergency Warden (if applicable) or Emergency Services officer-in-charge the result of your area search and head count; and
6. if necessary, take steps to prevent unauthorised persons from entering the building.

7) What should be Reported?

All emergencies must be reported to management and/or the relevant authorities.

8) Who is responsible for what tasks in the event of an Emergency?

During emergencies, the Emergency Warden or First Aid Officer must assume responsibility.

All other staff, contractors and visitors must comply with the instructions given by the Emergency Warden and Emergency Services personnel.

In a more general sense, all employees must be familiar with the relevant requirements of this procedure through:

- Training (including the induction of new staff) is organised and conducted for the implementation of the Emergency Instructions;

- Emergency Plans being kept up-to-date in their Area;

- A minimum of one evacuation drill per year is conducted;

- The HSE Officer is responsible for:

  - developing and maintaining this procedure and related documents;

  - developing and conducting training sessions for the implementation of this procedure;

  - Advising Supervisors and Managers in the implementation of this procedure; and

  - monitoring the implementation of the procedure and reporting yearly to Management on the implementation, with suggestions for improvements.

B5.2 Example Incident Investigation Procedure

How to use this template

This document is an example of the types of procedures that an Indigenous business could implement to guide investigation of an HSE workplace Incident.

Note - This document is an example and may not be appropriate for all businesses.

What is the purpose of the Incident Investigation Procedure?
The purpose of this procedure is to establish an effective workplace incident investigation and reporting system that ensures that further risks of workplace incidents are reduced and then eliminated.
What is an incident?
An HSE 'Incident' for the purposes of this procedure includes: ▪ Any workplace event that results in injury, disease or environmental damage no matter how minor; ▪ Any dangerous workplace occurrence - this term includes near misses - any event that endangers the health or safety of a person; and ▪ Any workplace event that results in death.
What are the Incident Reporting Procedures?
1. Where an employee witnesses or is involved in an incident, they must complete Incident Investigation Form (See **Appendix B3.1**) and report to management within 24 hours. The responsible manager will report any injury to the company's insurer and enforcing authority (if applicable) within the statutory reporting timeframes (see Example Incident Report Form at **Appendix B3.3** and Example Notification of Injury Form at **Appendix B3.4**). 2. Management, in consultation with employees, will ensure required immediate action is taken to minimise workplace risk. 3. Manager should investigate each incident and consider any concerns raised. The scale of the investigation will be determined at this stage.

4. The responsible manager (or investigation team) will carry out necessary interviews and review documentation.

5. The responsible manager will complete the final Appendix of the Incident Investigation Form (see **Appendix B3.1**).

6. The responsible manager will complete the necessary risk management documentation i.e. Example HSE Risk Register (See **Appendix B2.2**).

7. Corrective actions will be implemented according to the risk action plan.

8. All documentation must be kept on file for easy access and retrieval, if required.

9. All incidents will be reviewed by management and health and safety representatives on a regular basis.

How to determine the cause of an HSE Incident?

All incidents, including near misses, must be reported within 24 hours of the occurrence and an investigation undertaken by management. The scale of this investigation should be tailored to the risks and consequences of the incident (e.g. incidents with high potential impact and consequence should be investigated more thoroughly than more minor incidents).

There are two key reasons for undertaking incident investigations, these are:

- To understand how the incident happened, and
- To prevent the event occurring again.

Causes of Incidents

Identifying the cause of an incident may be a simple or complex process depending on the nature of the specific case in question. In that there may be a combination of more than one factor resulting in the incident or may be a straightforward single cause.

How to investigate workplace incidents?

An effective investigation process requires accurate, clear and complete information. The purpose of investigating incidents is not to allocate blame. If attempts are made to apportion blame, people who might otherwise provide useful information and guidance on remedial action needed, will simply become defensive.

The investigation team must remain impartial and objective if all of the causes are to be established.

Details which should be recorded and included in any incident investigation report are:-

- A description of the sequence of events leading to the incident

- the work process that was in place;
- any procedural instructions in place for undertaking the work;
- any differences between actual work processes and the procedural instructions or safe work systems;
- relevant workplace conditions such as lighting, floor surfaces, stair ways, signage, temperature and weather (if the incident occurred outside);
- the exact location of the incident;
- the materials in use or being handled; and
- the type of equipment being used.
- Correct identification of all factors that led to the incident, such as:-
  - summary of basic facts associated with the incident:
  - the people directly involved in the incident
  - the tools, equipment, materials and fixtures involved in the incident; and
  - the time the incident occurred
- A summary of events immediately after the incident – relevant facts from events which occurred immediately after the incident may include:-
  - the injuries or damage resulting directly from the incident
  - the events leading to consequential injury or damage
  - the people involved, including those rendering aid; and
  - any problems in dealing with the injuries, such as the lack of a process for releasing a trapped person, presence of a faulty extinguisher etc.
- Any actions already taken to reduce the risks of the incident re-occurring
- Further recommendations action; and
- Review and sign-off by senior management

Which factors to consider in undertaking investigations?

In the investigation of the events leading up to an incident, there will be a number of basic factors to consider in working out what the cause of the incident was. In conducting an effective incident investigation, it is essential to look for all of the factors that led to the

incident and not just any single cause. The types of factors that could have contributed to the incident include:

- **Dangerous work process** – poor work process design may result in employees being exposed to hazards such as unguarded dangerous parts of machinery, dangerous chemicals, heavy-lifting or fire hazards.

- **Safety culture** – The working environment can have a direct effect on safety behaviour. This means that how employees behave in the workplace is often driven by what they experience in it. For example, if productivity is seen as being more important than safety within a workplace then employees may be more likely to flout important HSE procedures and controls.

- **Employee behaviour** – Poor employee behaviour can also result in exposure to hazards. Examples of behavioural factors are the failure to observe safeguards, misusing tools and equipment, ignoring safety notices, failure to wear PPE and misuse of dangerous chemicals.

The reasons that lie behind the disregard for accepted safe systems of work and safety practices, procedures or rules need to be examined. Such behaviour is not accepted within the organisation. Managers should look at improved communication, further training, supervision, counselling or modification of controls before disciplinary procedures are to be initiated

How detailed should the investigation be?

Some incidents may require more detailed investigation and analysis, management should consider the potential impact and likelihood of the incident reoccurring as a gauge of how complex the investigation should be (e.g. high impact and likelihood = detailed investigation, low impact and low likelihood = less detailed investigation). Use of a risk assessment approach can assist management in better judging when a more detailed investigation utilising a group investigation technique should be used.

The size and make-up of the investigation team will be driven by how serious the incident is treated and the size of the organisation. In a smaller business an investigation may be undertaken by a member of the management team or supervisor, supported by the HSE representative and other experts. In a more complex investigation, the investigation team should involve a more senior member of management and some external specialist consultants and a representative of Worksafe or Workcover.

How should an incident be reported to Statutory Authorities

Note – The statutory reporting requirements may vary across States and Territories so Indigenous businesses should confirm the requirements for their State/Territory before finalising their own reporting procedures.

The organisation will comply with all the statutory reporting requirements. These arrangements oblige the organisation to report the details of certain incidents to the relevant enforcing authority. The types of incidents which must be reported are usually:-

- Incidents resulting in loss of life (which must be reported immediately)

- Incidents resulting in a worker taking a number of days off work due to injury; and

- Incidents involving damage or potential damage to dangerous items of plant

Refer to the Enforcing Authority website for up-to-date reporting timeframes and procedure.

See Example Notification of Injury Form at **Appendix B3.4**, Example Incident Reporting Flowchart at **Appendix B3.2** and Example Incident Report Form at **Appendix B3.3**.

How should management take action to prevent incidents reoccurring?

Following completion of an incident investigation the responsible manager will review the information gained and consider what action (s) need to be taken to stop such an incident reoccurring. An important element in this is the completion of an Incident Report Form (see **Appendix B3.3**) since this form requires management to set out the actions that need to be carried out to eliminate or minimise the chance of the incident occurring again. Management should:

- Provide senior management endorsement for each action to be implemented.

- Allocate responsibility to specific individuals for implementing each action along with a specified timeframe. The individuals concerned should be aware that they will be held accountable for implementation of the relevant actions within the agreed timeframe.

- Ensure all employees concerned have received sufficient training, or arrange for retraining, as deemed necessary by the findings of the investigation.

- Where a specific task or process has caused the incident, a job safety and environmental analysis will be undertaken in order to re-assess the risks associated within the area.

- Once all actions have been implemented, Management should undertake a review after an agreed period (e.g. 6 months) to ensure that the additional controls have not caused any further hazards, and that they are in fact appropriate to reducing the likelihood of a recurrence of the incident.

Risk Identification , Assessment and Control

The organisation shall identify and assess all hazards that have caused incidents using the following risk management methods:

- Defining the scope of the activity that is to be assessed.
- Identifying the risks.
- Assessing the risks.
- Controlling the risks.
- Monitoring and reviewing the process.

The organisation shall implement all controls using the following hierarchy of hazard control:

- Eliminating the hazard.
- Substituting the hazard.
- Modifying the process.
- Isolating the hazard.
- Implementing engineering controls.
- Using a combination of controls.
- Using back up controls, such as personal protective equipment.

See Example HSE Risk Register at **Appendix B2.2**.

Which Incident Performance Indicators should be used?

The organisation will use the information gained from incident statistics to measure trends over a period of time so that the organisation has an indication of whether it is improving, stable or deteriorating with regards to HSE performance.

The organisation will measure "Average Lost Time Rate" and the 'Average time lost per occurrence of injury or disease'. These indicators are an indication of the severity of occurrences being experience by employees over a period of time.

B5.3 Example HSE Return to Work Procedure (Management Responsibility)

How to use this template

This document is an example of the types of procedures that an Indigenous business could implement to support the safe return to work of an injured employee.

In developing and tailoring such procedures, a company's management should consider:

- *What is practical given the size of the business?*

- *The nature of the individual's injury.*

- *The requirements of (and support available from) the regulatory authority in their jurisdiction (e.g. Workcover).*

Note - This document is an example and may not be appropriate for all businesses.

What are the Return to Work Objectives?
1. To assist an employee with the early and safe return to meaningful and productive work following a work related injury or illness. 2. To ensure that employee rehabilitation commences at the time of injury, or when treatment is first started, whichever is the most practical 3. To ensure that support is provided to injured employees from medical practitioners and other rehabilitation specialists. 4. To make clear that all employees have the right to occupational rehabilitation and that it will be the normal course of action following injury or illness.
What is the Employee Rehabilitation Plan?
Line Manager An employee's line-manager is a key person in the occupational rehabilitation process. The line-manager operates as a link between the various stakeholders in the return to work process (e.g. the injured employee, trade unions, supervisor, doctor, rehabilitation specialist etc.) The role of the line-manager is to coordinate and monitor the HSE Return to Work Policy and individual rehabilitation programs by: 1. Keeping in contact with the injured employee following the incident. 2. Ensuring the injured employee has access to appropriate information and resources. 3. Ensuring that the injured employee's supervisor and senior management are fully aware of status of the case. 4. Keeping in contact with doctors and other health care professionals 5. Liaising with doctors to enable the referral to rehabilitation professionals such as rehabilitation counsellors, occupational therapists, physiotherapists, etc. 6. Keeping accurate and secure records of rehabilitation cases. **Workplace Supervisors** The immediate supervisors of an injured employee have a central role in ensuring the success of any rehabilitation program. They are to: 1. Notify the Line-Manager of any workplace injuries or illnesses immediately

2. Maintain contact with the injured employee during their absences from work to;

- identify current and alternative duties
- determine an appropriate return to work program
- provide support in the implementation of the return to work program
- monitor job performance and progress

3. Advise co-workers of the injured person's capacity to undertake specific duties at each stage of the injured employee's recovery.

4. Negotiate any changes in work processes or equipment in advance of the employees return to work.

5. Keep Management up-to-date with the progress of the employee's return to work.

How are claims to be processed?

Following a workplace injury, a claim will ordinarily be placed with the relevant insuring authority (e.g. Workcover) for workers compensation payments. In processing this claim, management and employee must cooperate effectively to ensure that any documentation required by the Insurer is provided on a timely basis.

How can co-workers support the successful return to work?

Management should encourage co-workers within the workplace to keep in touch with an injured employee and be supportive of their attempts to return to work.

What are the rights and responsibilities of Management?

Management has the right to:

1. Be kept informed of medical status and rehabilitation programs; and
2. Participate in the Return to Work plan and be involved in all decisions relating to the rehabilitation plan where possible.

Management has the responsibility to:

1. Support the rehabilitation and return to work process and communicate this to employees.
2. Provide appropriate work at the same or equivalent level where an employee cannot return to their pre-injury illness position.
3. Assist ill/injured employees with relocation or training.
4. Support injured employees to complete forms and to ensure workers are aware of their rights and responsibilities.
5. Identify and implement strategies that prevent similar injuries to other workers.
6. Monitor and review the return to work of the worker.

B5.4 Example Return to Work Procedure (Employee Responsibility)

What are the Responsibilities of an Injured Employee?

Injured employees are to actively participate in any return to work programs established by their employer in order to resume their normal duties in the workplace as soon as practicable after injury or illness. They are to:

1. Seek immediate medical treatment following injury or illness, and to request a Compensation Medical Certificate where a work-related injury or illness has been incurred.

2. Advise their treating medical practitioner or rehabilitation provider of the availability of their employer's Return to Work program.

3. Work with their medical practitioners to complete the required documentation in respect of any Selected or Light Duties Advice.

4. Work constructively with management to negotiate a Rehabilitation Plan.

5. Provide regular feedback to the Manager and Supervisor to enable an accurate evaluation of any agreed plan.

What are the Responsibilities of Medical Practitioners?

The treating Medical Practitioner has responsibility for the overall management of injured persons but may delegate some of the routine rehabilitation management to the Manager.

The injured worker has the right to consult a doctor of his or her own choice for treatment. Other Medical Professions may be used where appropriate i.e. Physiotherapists, Dentists etc.

What are Selected Duties?

Employees should not perform any duties or tasks which have not been recommended or sanctioned by the rehabilitation provider and treating doctor.

Alternative duties are to be specified in writing on a Rehabilitation Plan that is to include:

- The objective of the plan as defined by the injured employee;
- Details of the job currently undertaken by the employee and the tasks which can safely be undertaken as part of the return to work;
- The hours that the employee can safely work as part of the Rehabilitation Plan;
- Details of any additional training that the employee may require as part of their Rehabilitation Plan;
- Remuneration that is to be paid to the employee during the rehabilitation period; and
- The estimated time frame of the implementation of the Rehabilitation Plan.

In all cases the duties should be meaningful and contribute to the self-esteem of the injured worker.

How should employees returning to work be remunerated?
On the advice of a Medical Practitioner, if an injured employee is assessed as fit to return to work on a graduated return to work program, the company will pay normal remuneration to that person (including allowances) for the period of the program
If an injured person is assessed as not fit for duty then normal Sick Leave provisions will apply.
How can an injured employee be retrained?
Where on the advice of a medical practitioner an injured employee cannot return to their previous duties the employer should provide the training necessary to enable them to undertake alternative duties. If there is no appropriate activities available with the organisation, assistance shall be given in seeking alternative employment.
All vocational assessments and retraining of workers for work-related injuries are to be coordinated by the Manager in consultation with the injured worker

B5.5 Example Basic Employee Health Procedures

What are the Employer's Responsibilities for Employee Health?

Management will undertake basic precautions when it comes to the health of all employees, Contractors and visitors by encouraging and assisting staff to monitor basic health functions such as eyesight, lung capacity, hearing, diabetic status and blood pressure through provision of health checks and provision of advice to employees on key health subjects through signage and other methods of communication.

Management will provide regular and clear advice to employees to ensure that they are aware of the health risks associated with the long term exposure to factors such as;

- o Exposure to direct sunlight
- o Dust exposure
- o Noise exposure
- o Smoking of tobacco
- o Alcohol
- o Drug abuse

Management will establish and communicate an effective emergency evacuation procedure that is developed in consultation with staff.

What are the Employee's Responsibilities for their health?

In addition to the responsibilities of Management in relation to employee health, employees also need to take steps to ensure that they maintain strong health. These steps include:

- Getting enough sleep;

- Reporting to their Line Manager any illness that may have long-term effects on themselves or on others;

- Maintain basic hygiene at work (e.g. washing regularly, washing hands before meals etc.);

- Provide accurate information to doctors when undergoing a regular medical examination;

- Attend any training sessions that Management provide in respect of basic personal health;

- Keep track of their own health through basic health indicators such as eyesight, lung capacity, hearing, diabetic status and blood pressure;

- Store personal medications appropriately;

- Report, to their Line Manager any injury or illness that involves injury to the head or neck, shoulders, arms or hands, back, groin area and legs or feet;

- Actively participate in any Return to Work plan and be involved in decisions relating to any rehabilitation plan where work related illness or injury has made this necessary.

B5.6 Example Aggression in the Workplace Procedures

How to use this template

This document is an example of the types of procedures that an Indigenous business could implement to clarify employers and employees relative responsibilities in respect of aggression in the workplace.

Note - This document is an example and may not be appropriate for all businesses.

What is aggression in the workplace?

Occupational aggression is defined as any incident where an employee is abused, threatened or assaulted in circumstances arising out of, or in the course of their employment.

Aggressive behaviour can include:

- Verbal, physical or psychological abuse (including bullying);

- Threats or other intimidating behaviours (e.g. spitting, gesticulating);

- Intentional physical attack (e.g. hitting, pinching, biting or scratching);

- Threats or attacks with weapons or objects; and

- Any form of indecent physical contact, including sexual harassment or sexual assault.

These procedures apply to all employees (including labour hire/agency staff) and to independent contractors and their employees who carry out work under the control of this organisation.

What are the Employer's Responsibilities in Preventing Aggression in the Workplace?

Senior Management are responsible for ensuring that appropriate risk controls for the prevention and management of aggression are in place and followed.

Line-Managers are responsible for:

- Ensuring that employees are aware of the organisational approach to managing aggression

- Encouraging a team approach towards aggression management.

- Investigate incidents involving aggression and take appropriate preventative action.

- Debrief employees who are involved in an aggressive incident and ensure that follow-up action is taken.

- Apply appropriate disciplinary procedures if applicable.

What are the Employees Responsibilities in Preventing Aggression in the Workplace?

Employees are required to take care of themselves and others in the workplace. Employees must:

- Report all aggression-related incidents on the Incident Report Form at **Appendix B3.3**.

- Actively participate in procedures and initiatives aimed at preventing and

managing aggression.

- Report all incidents involving aggression.
- Not act overtly aggressive towards other persons.

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CONSULTING

B5.7   Example Sexual Harassment Procedures

How to use this template

This document is an example of the types of procedures that an Indigenous business could implement to clarify employers and employees relative responsibilities in respect of sexual harrasment in the workplace.

Note - This document is an example and may not be appropriate for all businesses.

1)   What is Sexual Harassment?

Sexual harassment is the collective term for any form of unwanted or unwelcome sexual behaviour which may an employee feel offended, humiliated or intimidated.

Employees should not have to suffer or put up with sexual harassment or discrimination in the workplace.   The *Equal Opportunity Act (2010)* makes employers responsible for eliminating (where possible) sexual harassment and victimisation in the workplace.   Under the 2010 Act, employers are legally liable for acts of sexual harassment against employees unless they can prove they took reasonable measures to prevent them.   These responsibilities extend to all employers regardless of size of business or industry.   These protections also apply to all employees and volunteers.

Examples of Sexual Harassment include the following:

- Unwelcome touching, fondling or hugging.
- Repeated unwanted requests.
- Sending sexually explicit texts, emails or posts on social websites.
- Sexually suggestive behaviour.
- Comments about an employee's personal life or appearance.

2)   How should an employee make a complaint in respect of sexual harassment?

Anyone who is sexually harassed has the right to make a complaint.   In some circumstances it may be appropriate, and more effective, for the person to direct their complaint directly to the alleged harasser.   However, if the concerns cannot be resolved in this direct way, or it doesn't seem appropriate to proceed this way, the person may make a complaint directly to the complaints officers for complaints (complaints officer).

3)   What are the procedures for progressing a sexual harassment complaint?

Initially the Complaints Officer will:

1. Identify the nature of the complaint;
2. discuss a possible course of action with the complainant to resolve the matter (if that is possible);
3. determine *(in consultation with the complainant)* whether the matter ought to be dealt with through formal or informal procedures; and
4. keep a record of the discussions.

a) What is the process for progressing a sexual harassment complaint through informal means?

If the matter can be resolved through informal means:

- The complaints officer, after identifying the nature of the complaint, will put the allegations to the alleged harasser in an informal interview;

- The alleged harasser will have an opportunity to respond;

- Depending on outcomes of these discussions, the complaints officer may choose to conduct further interviews with the complainant or to interview witnesses;

- Following on from these discussions, the complaints officer will conclude on whether the complaint is upheld; and

- The complaints officer will then decide, in consultation with Management, the appropriate action to take.

b) What is the process for progressing a sexual harassment complaint through formal means?

If the matter can only be resolved through formal means, the complaints officer will:

- compile a set of statements that accurately reflect the complaint of sexual harassment; the complainant must countersign the statements (if they agree with the content); the allegations will then be given to the alleged harasser in writing.

- inform the alleged harasser about their rights to legal representation and about the possible outcomes, if the allegations are substantiated.

- conduct interviews with witnesses.

- advise the alleged harasser of their right to nominate witnesses to give information to the complaints officers (the complaints officer will only be obliged to interview those witnesses if they decide that the witnesses can comment directly on the alleged acts of harassment).

- take steps to maintain the confidentiality of the alleged harasser and the complainant and minimise disruption to work and work relationships after hearing all the available evidence.

- in consultation with Management, will consider the allegations, and if substantiated, determine the appropriate response.

c) What are the responses that Management should take to a substantiated sexual harassment claim?

If a sexual harassment claim is found to be valid, the complaints officer and Management must decide on the appropriate response.

The response to a substantiated sexual harassment claim may include:

1. Formal reprimand of the harasser;

2. Provision of counselling to the harasser;

3. Provision of training to the harasser;

4. Changing the working relationships or work responsibilities of both the harasser and complainant;

5. Prohibiting certain actions or practices;

6. Issuing the harasser with a formal warning and indicate that any repeat of the same or similar offence will result in more severe disciplinary action; or

7. Terminating the harasser's employment and report the matter to the appropriate authorities if warranted.

In the event that allegations are not substantiated, the complaints officers will endeavour to resolve outstanding difficulties between the complainant and the alleged harasser.

B5.8   Example Fatigue Management Procedures

How to use this template

This document is an example of the types of procedures that an Indigenous business could implement to manage employee fatigue in undertaking their workplace duties.

Note - This document is an example and may not be appropriate for all businesses.

What is fatigue management?
Fatigue is a physical condition that stems from when an individual's physical or mental capacity to undertake basic tasks is reduced as a result of physical exertion, mental exertion or inadequate or disturbed sleep. Fatigue can also lead to long term health problems. Managing fatigue is a key elements of an overall approach to maintaining a safe and healthy workplace. [INSERT COMPANY] has established a range of policies and procedures which are designed to provide our employees with a safe working environment. As part of that approach to maintaining a safe workplace, we have established procedures to reduce the risks of employee's experiencing fatigue whilst undertaking their duties.

What are the objectives of the fatigue management policy?
This procedure aims to provide an overview of [INSERT COMPANY NAME]'s process for managing the occupational risks associated with fatigue. The objectives of this procedure are to ensure: - Employees understand the need to be fit for work.   - The maintenance of a safe working environment and operations by minimising hazards associated with fatigue.   - Staff are provided with education and training to help them manage fatigue and related issues.   - Informed decisions are made in relation to [INSERT COMPANY NAME]'s working hours guidelines.   - Ongoing risk assessment and hazard monitoring takes place.   - Employees who are deemed consistently unfit for work as a result of fatigue are dealt with consistently and fairly in accordance with this procedure.

What are the normal working hours of employees?	**Different shifts (e.g. busy season or weekend working)**
Insert the number of hours worked in a standard employee shift (e.g. 8 or 12 hours per day) *Provide details of any breaks that employees are due to receive during this shift* *If different classes of employees work*	*Insert the number of hours worked in any different or alternative shifts worked by employees (e.g.at weekends or during busy periods of the year)* *Provide details of any breaks that employees are due to receive during*

different shifts then provide details of each class of employee separately.	*this shift.* • *If different classes of employees work different shifts then provide details of each class of employee separately.*

What are the principles governing working hours?

Note – Each business should tailor their working hours guidelines to the norms of their industries and the requirements of their business – whilst complying with HSE laws and regulations.

It is recommended that the maximum hours to be worked should not exceed the following, except in emergency situations;

- Planned hours of work should not exceed 12 hours per every 24 hours;

- Planned hours of work should be less than xx hours/week;

- Maximum xxx hours over 3 months;

- Maximum of xx consecutive night shifts;

- Maximum of xx consecutive 12-hour shifts;

- Maximum xx hours' work per day (including overtime) except in emergency circumstances; and

- During a block of work employees can't work 12 days straight without having two individual or concurrent days' rest. The employee not to be on call during this time.

What are the minimum rest periods between shifts?

Employees are guaranteed a minimum of xx hours rest between shifts.

How should instances where employees need to work abnormal working hours be approved?

Instances where an employee is required to work beyond the specified maximum working hours should be approved formally by their Line Manager.

In circumstances where an employee is required to work over the maximum working hours the following steps should be undertaken:

- The individual completes a risk assessment and assesses their fitness to continue working;

- The individual discusses the results with their manager/peer to determine whether they should continue working;

- Should the employee appear to be unfit for work then they should contact their manager to conduct a written risk assessment on the employee and assess their fitness for work; and

- Individual completes a fatigue (fitness for work) assessment at any stage during the shift.

Where an employee has worked more than 4 hours over the maximum specified working hours the Manager should:

- Arrange for the employees transportation home or provision of suitable accommodation if the person has to travel longer than 60 minutes to place of accommodation/home and/or if the person is not capable of driving due to fatigue; and

- Employee must be released from duty for a minimum of 10 hours (unless on stand-by / availability, in that case a minimum of 8 hours to be observed).

What steps can be taken by employees to minimise impact of fatigue?

- Employees should try and get sufficient rest before commencing work, particularly before commencing shift work.

- During work, employees should go for a walk, spend time outside to get fresh air where the conditions allow.

- Employees should drink plenty water to keep them hydrated.

- Employees should be aware of the danger of Deep Vein Thrombosis when sitting for long lengths of time.

- Where employees have a job that involves sitting at a desk or in a vehicle, they should go for a walk before leaving work. This is to enable them to relax, work the joints and muscles allowing the body to normalise after mainly sitting for 10 hours.

- Employees should eat main meals in the middle of the day, light meals in the evening if on day shift. Avoid 'sugary' or fast food.

- Avoid drinking caffeine or alcohol 3-4 hours before sleep.

- If an employee is on night shift the main meal should be taken during first break. Employees should have light meals with adequate liquids during other breaks.

- Employees should try for at least 6 hours sleep each day.

B5.9 Example Hazardous Substance Procedures (Purchasing, Use and Disposal)

How to use this template

This document is an example of the types of procedures that an Indigenous business could implement to manage the risks associated with the purchase, use and disposal of hazardous substances.

Note - This document is an example and may not be appropriate for all businesses.

What is a Hazardous Substance?

Exposure to hazardous substances in the workplace can lead to a variety of health effects, including poisoning, skin rashes and diseases of the lung, liver or kidney.

Many industrial, agricultural and medical organisations use hazardous substances. The degree of hazard depends on the concentration of the chemical.

Common hazardous substances in the workplace include:

- Acids

- Caustic substances

- Disinfectants

- Glues

- Heavy metals, including mercury, lead, cadmium and aluminium

- Paint

- Pesticides

- Petroleum products

- Solvents.

What is a Material Safety Data Sheet?

Manufacturers and importers of hazardous substances are legally obliged to include warning labels and Material Safety Data Sheets (MSDS) with their products. This information offers advice on safe handling practices.

All employees should read the MSDS before using, handling or storing their products

What is a hazardous substance register?

Under the *OSH regulations 1996*, the company must keep a current register of each hazardous substance used at the workplace.

A 'hazardous substance register' must have as a minimum:

- a list of all the 'hazardous substances' stored and used in the workplace; and

- the material safety data sheets (MSDS) (see above) for all those 'hazardous

substances'.

A 'hazardous substance register' also has to:

- confirm whether a risk assessment has been completed in respect of each 'hazardous substance'; and

- be readily available to all workers potentially exposed to the 'hazardous substances', including emergency services.

What are the responsibilities of Management in purchasing, use and disposal of hazardous substances?

The Management of [Insert Company Name] will;

- Monitor the use of hazardous substances to minimise HSE risks.
- Provide training and awareness sessions (via toolbox meetings) to employees to ensure that they are aware of the risks in the use of hazardous substances and the precautions to be observed in their handling and storage.
- Provide accredited training for all employees responsible for using or handling hazardous substances.
- Ensure that clearly visible signage is in place in key positions to highlight the risks associated with the use and storage of hazardous substances.
- Establish and maintain a "Hazardous Substances Register".
- Obtain "Material Safety Data Sheets" (MSDS) for all hazardous substances used and make such information readily available to all employees.
- Ensure that hazardous substances are stored in a properly constructed, lockable storage area.
- Supply and maintain in good and clean condition any personal protective clothing and equipment as may be appropriate or necessary to protect employees.
- Provide adequate first aid facilities appropriate for the nature of the hazard.
- Dispose of unwanted chemical containers and contaminated materials according to the appropriate MSDS and as per state regulation.

What are the responsibilities of Employees in purchasing, use and disposal of hazardous substances?

The Employees of [Insert Company Name] will;

- read the appropriate MSDS for the use and application of any hazardous substance being used or stored;

- carefully follow the instructions on the container label and the MSDS in order to safely handle hazardous substances; and

- use the appropriate protective clothing and equipment (PPE).

What procedures should be followed in purchasing hazardous chemicals?

- Management shall obtain a Material Safety Data Sheet (MSDS) and any other relevant

material from the supplier or manufacturer prior to any hazardous substance being brought onto company premises.

- A Hazardous Substance Risk Assessment will be carried out on each substance with a Risk Register updated (See **AppendixB2_11.**)

- On the basis of the Hazardous Substance Risk Assessment management will either approve or reject the use of the substance.

- The approval or rejection of a substance shall be evidenced by the writing of the word *'Approved'* or *'Rejected'* in the top right hand corner of the first page of the MSDS together with date and the signature of the Manager. This original MSDS to be held on file to support the "Hazardous Substances Register".

- The MSDS for approved substances shall be copied and that copy placed in plain view in the enclosure with the hazardous substance and such location brought to the attention of all employees involved. A substance may be approved for trial with a time frame stipulated for review, and in such cases it shall be the responsibility of management to ensure such evaluation takes place and the findings documented and actioned to note the final approval or rejection of the substance.

What procedures should be followed in the use of hazardous substances?

- Before any hazardous substance is used, any employee who may be expected to use or handle the substance shall be advised of all risks and precautions necessary for its use and disposal, including actions to be taken in the event of a spill, leak or other unplanned release;

- Employees have the right to inspect all information, available to management in relation to the substance, especially the MSDS and Risk Assessment, at any time;

- Management will ensure sufficient information, instruction, training and supervision is provided to all appropriate employees, including those expected to provide First Aid treatments.

What procedures are to be followed in the disposal of hazardous substances?

- Whenever it becomes necessary to dispose of a hazardous substance or any contaminated material and containers, the MSDS shall be examined to identify the correct method of disposal. If appropriate, the supplier may be consulted in order to verify the methods of disposal.

- In some circumstances it may be necessary to deliver the substance to an approved collection site or to advise a waste collection agency of the need to collect the substance.

B5.10 Example Waste Management Procedures

How to use this template

This document is an example of the types of procedures that an Indigenous business could implement to manage the risks associated with the management of waste.

Note - This document is an example and may not be appropriate for all businesses.

Overview of waste management procedures
This procedure is a guide for staff in the disposal, removal and management of waste from [Insert Company Name] premises. The types of waste that are covered by these procedures include: • general waste; • paper and cardboard; • mobile phones and toner; • ink printer cartridges; and • tyres. All staff are responsible for complying with this procedure to ensure the safe and effective management of waste.

Procedure Steps

Cardboard and paper
Waste paper and cardboard is to be deposited in bins located within each office. Individual staff members will also have smaller waste paper baskets at their desks. These can be emptied into the main bin when prior to collection on [INSERT DAY OF THE WEEK]. Confidential or sensitive documentation is to be shredded. A paper shredder is located in the [INSERT LOCATION] office. When the shredder bin is full it may be emptied into the main office bin**.**

General Waste
Rubbish bins for waste other than paper and cardboard are provided on the premises. Rubbish bins in the kitchen are used for food waste. General Waste is collected on [INSERT DAY OF THE WEEK]

Bulky goods
Bulky goods such as obsolete equipment, broken furniture and faulty white goods are to be placed at [INSERT STORAGE LOCATION] for safe disposal to the tip or collection as agreed with the local Shire.

Mobile Phones
Broken mobile phones are recycled. This recycling is undertaken via a satchel collected from Australia Post. The phone with the battery connected is placed in one section of the satchel

and accessories in another section. The satchel is mailed or dropped off to Australia Post prior to forwarding on to the recycling organisation.

Photocopier Toner and Printer Ink Cartridges

In replacing toner cartridges, staff should follow manufacturer's instructions supplied with the toner cartridges for the replacement, storage and disposal of used cartridges.

All used toners are placed in the bin at the side of the workshop. The toner supplier collects used cartridges for recycling when delivering new cartridges.

Used printer ink cartridges will be deposited in the relevant bin in the printing room. This will be emptied on a [Weekly / Monthly] basis and the content will be collected for recycling on arrangement with [INSERT RECYCLING AGENT].

Used Tyres

Where ever possible they are kept by the replacement tyre company. When tyres are changed at the premises the used tyres are kept till a load is collected then taken to the local Council Tip.

B5.11   Example Working in Confined Spaces Procedures

How to use this template

This document is an example of the types of procedures that an Indigenous business could implement to manage the risks associated with working in confined spaces.

Note - This document is an example and may not be appropriate for all businesses.

Safe Working Procedure (SWP) **Working in Confined Spaces**			
AUTHORISATION			
Authorising Officer:			
Position:			
Author(s)' Name:			
Position:			
AMENDMENTS			
Issue	**Page**	**Date**	**Details**
2.0	All	25/11/12	

Overview
Confined spaces pose dangers because they are usually not designed to be areas where people work. Confined spaces often have poor ventilation which allows hazardous atmospheres to quickly develop, especially if the space is small. The hazards are not always obvious and may change from one entry into the confined space to the next.   The risks of working in confined spaces include: • loss of consciousness, impairment, injury or death due to the immediate effects of airborne contaminants;   • fire or explosion from the ignition of flammable contaminants;   • difficulty rescuing and treating an injured or unconscious person; and   • asphyxiation resulting from oxygen deficiency or immersion in a free-flowing material, such as grain, sand, fertiliser, water or other liquids.
PURPOSE
To set out the requirements of working in Confined Spaces to ensure [Your Company] meets its moral and legal obligations towards employees as per Safe Work Australia's Confined Spaces Code Of Practice (2011) (http://www.safeworkaustralia.gov.au/sites/SWA/about/Publications/Documents/634/Confined_Spaces.pdf)
SCOPE
This procedure applies to all relevant field operations under [Your Company]'s operational control.
SIGNAGE / IDENTIFYING CONFINED SPACE
As all Confined Space work is carried out in remote locations signage is not usually marked by signage therefore it is important all personnel understand what constitutes a confined space;   "when a person's head, breathing space and upper body is within the boundary of the vessel, it is considered a Confined Space entry".
WHAT IS NOT A CONFINED SPACE FOR THE PURPOSES OF THE WHS

REGULATIONS?

A confined space does not include a mine shaft or the workings of a mine.

The following kinds of workplaces are also generally not confined spaces for the purposes of the WHS Regulations:

- places that are intended for human occupancy and have adequate ventilation, lighting and safe means of entry and exit, such as offices and workshops.
- some enclosed or partially enclosed spaces that at particular times have harmful airborne contaminants but are designed for a person to occupy, for example abrasive blasting or spray painting booths.
- enclosed or partially enclosed spaces that are designed to be occasionally occupied by a person if the space has a readily and conveniently accessible means of entry and exit via a doorway at ground level.

TRAINING

No person with activities related to a confined space shall enter that confined space unless trained and assessed as competent to perform those activities. The competency shall be valid for two years.

ATMOSPHERIC TESTING

Atmospheric testing shall be carried out immediately prior to entry to the confined space if it is an enclosed space which has been unopened for more than 10 days. Entry to the confined space can only proceed when the atmospheric testing indicates it is safe to do so. The safe levels of atmosphere are as per Safe Work Australia's Confined Spaces Code Of Practice (2011).

The atmospheric testing shall be carried out with an approved gas monitoring device that is in calibration.

Atmospheric monitoring shall be carried out during occupancy of the Confined Space.

The atmospheric level readings shall be recorded prior to entry and re-entry to a Confined Space.

Should atmospheric testing indicate an unsafe atmosphere:

- Entry is not to be permitted

- If already in the Confined Space immediate evacuation from the Confined Space shall be carried out.

PPE

PPE appropriate for the confined space shall be worn. Head protection may also include the use of bump caps.

STAND BY PERSON

A person shall be nominated to fulfil the role of Stand-by Person on the Confined Space Entry Permit.

DEFINITIONS

Workplace Hazard Register - Contains a list of all hazardous areas (including confined spaces), hazardous substances and control measures identified through a risk assessment.

Entry (to a confined space) - When a person's head. I.e. the breathing zone or upper body is within the boundary of the confined space. NOTE: Inserting an arm for the purpose of atmospheric testing is not considered an entry to a confined space.

Hot Work - Works such as welding, thermal or oxygen cutting, heating, and other fire-producing or spark producing operations that may increase the risk of fire or explosion.

Personal Protective Equipment (PPE) - Any equipment, device or clothing worn by a person to protect against all variety of hazards which may be found in worksites such as water, noise, chemicals, falls, lack of oxygen, presence of harmful gases/substances etc.

Responsible Officer - The person appointed as the responsible officer under the Section 10 of Workplace Health and Safety Act 1995.

Stand-by Person - A competent person assigned to remain on the outside of, and in close proximity to, the confined space and capable of being in continuous communication with and, if practical, to observe those inside. In addition, where necessary, initiate emergency response procedures and monitor equipment used to ensure safety during entry and work in the confined space.

Authorisation			**Revision 12/13 to be revised 12/14**
	Managing Director	**Date**	

B5.12   Example Working Near Railways Procedures

Safe Working Procedure (SWP) **Working on (or near) Railways**			
AUTHORISATION			
Authorizing Officer:			
Position:			
Author(s)' Name:			
Position:			
AMENDMENTS			
Issue	**Page**	**Date**	**Details**
2.0	All	25/04/12	

1. Introduction

The purpose of this Safe Work Procedure (SWP) is to set out the procedures and guide the behaviour of [Your Company] employees when working on, or near, railways when they are undertaking their work on behalf of [Your Company].

2. Awareness of Train Movement

[Your Company]'s personnel shall be alert to train movement. Unless protected by a Railway flag-person, [Your Company]'s personnel shall expect the movement of trains, engines, cars, or other moveable equipment at any time, on any track, and in either direction, even cars on sidings that appear to be stationary or in storage. [Your Company] employees shall stay at least 15 meters away from the ends of stationary train cars when crossing the track, and never climb on, under or between cars. To cross tracks, [Your Company] employees shall look both ways, and if the tracks are clear, walk at a right angle to them.

3. Safety Responsibility

[Your Company]'s personnel are fully responsible for watching for train movement and should never rely on others to protect them from train movement, unless while working under the direct supervision of a Railway flagperson.

4. Crossing the Tracks

[Your Company]'s personnel shall:

· not stand on the track in front of an approaching engine, car or other equipment.
· be aware of the location of structures or obstructions where clearances are close.
· never stand or walk on railroad tracks, either between the rails or on the ends of ties unless absolutely necessary.

No work is allowed within 15 meters of the track centerline while trains are passing through the work site. [Your Company]'s personnel shall always stand as far back as possible to prevent injury from flying debris or loose rigging. Also, personnel shall observe the train as it passes and be prepared to take evasive action in the event of an emergency.

5. Use of vehicles near train-lines

[Your Company]'s personnel shall not remain in a vehicle that is within 15 meters of a passing train, and shall not drive near moving trains. Personnel shall move vehicles away from the tracks at least 15 meters, or park the vehicle away from the tracks and walk to a safe distance whenever trains pass.

6. Conduct close to rail lines

[Your Company]'s personnel shall not walk, stand or sit on the rails. Personnel shall step over rails when crossing tracks and shall stay away from track switches. Personnel shall also stay away from any other railway devices they are unsure of.

7. Moving equipment across Tracks

[Your Company]'s personnel shall not move equipment across the tracks except at established road crossings or unless under the protection of a Railway flagperson and only if the job site has been properly prepared for such a move. Tracked equipment will require the supervision of a Railway flagperson any time railroad tracks are crossed.

[Your Company]'s personnel shall not move equipment across railroad bridges or through tunnels, unless under the direct supervision of a Railway flagperson and only under specific Railway instructions.

Issue No: 2.0	HSE Management System	
Issue Date: 25/10/2013	Reference: Working near rail lines	

B5.13   Example Working above or near water Procedures

Safe Work Procedure (SWP) **Working above (or near) Water**	
AUTHORISATION	
Authorizing Officer:	
Position:	
Author(s)' Name:	
Position:	
AMENDMENTS	

Issue	Page	Date	Details
2.0	All	25/10/13	

8. INTRODUCTION

1.1   This document outlines the requirements for working on, over or near water. For the purpose of this document, "near" water is defined as working in close proximity to water where there is a reasonable likelihood of falling in.

9. SCOPE

2.1   This procedure applies to:

[Your Company] employees at all times and in all work locations; and

·   Sub-contractors undertaking work under the control of [Your Company].

10. BACKGROUND

3.1   The major hazards associated with working, on, over or near water are: falling into the water, slips/trips falls and environmental/climatic conditions.

11. GENERAL REQUIREMENTS

4.1   A personal flotation device (PFD) must be worn where there is a risk of falling into the water. Where the risks associated with wearing a PFD outweigh the risks of not wearing one, alternate measures can be implemented in lieu of wearing a PFD provided the person is not working alone. This must be approved by the supervisor or manager and documented, for example in a JHA.

4.2   For brief visual inspections near the wharf edge, where there is little to no risk of falling into the water, a PFD is not required, provided the person is not working alone.

4.3   A rescue buoy (life ring) should be available not more than 25m from the location of work. Other appropriate equipment to facilitate water retrieval is to be available based on the risks of the job and the location.

4.4   Where maintenance work is conducted over water, the following hierarchy of controls applies:

- Where possible, the risk of falling into the water is to be eliminated or at least minimised by conducting the work on land and then installing in position over water.
- Where work must proceed on or near water edge, fall protection will be used where possible.
- Work from a work basket where scaffolding is not feasible or the task is of a short duration.
- Personal protective equipment such as fall restraint/ fall arrest and PFD, giving consideration to individual risks associated with the task being performed

4.7   When working where there is a risk of falling into the water:

- Job planning is required e.g. procedure, JHA etc.
- A sentry should be present where possible.
- A suitable method of communication (verbal/radio) between personnel working near the edge and personnel working away from the edge.
- Consider environmental conditions prior to commencing work; where possible work on or near water should not be conducted in windy or wet conditions, or .if there is significant swell/surge (if near ocean).

12. EMERGENCY RESPONSE

In the event of person/s falling into the water:

- Make sure that the person is conscious and that their PFD has inflated.
- If conscious assist the person to the nearest man overboard ladder and/or throw them a life buoy if required.
- If unconscious consider having someone enter the water to provide assistance (ensure the rescuer has a PFD on and is a capable swimmer).
- Consider deploying dinghy or similar to assist.
- Provide first aid assistance and if necessary call for ambulance on 000.
- Raise the alarm verbally, by radio or port emergency number as necessary.
- Report the incident to the Harbour Master or coast-guard (if appropriate).

13. REFERENCES

- Occupational Safety and Health Act 1984
- Occupational Safety and Health Regulations 1996
- Mines Safety and Inspection Act 2005
- Mines Safety and Inspection Regulations 2005
- WA Marine (Certificates of Competency and Safety Manning) Regulations 1983
- WA Marine (Life Saving Applicants, Fire Appliances and Miscellaneous Equipment) Regulations1983
- WA Marine (Surveys and Certificates of Survey) Regulations 1983
- National Standard for Commercial Vessels – Part B General Requirements

B5.14   Example Work-related travel plan and report

How to use this template

This document is an example of the types of procedures that an Indigenous business could implement to manage the risks associated with work related travel.

Note - This document is an example and may not be appropriate for all businesses.

Date (today)			
Details of Person Responsible for Scheduled Calls			
Name			
Depart/Team/Company			
Office Number		**Extension**	
Mobile Number		**Home Number**	
Names of other People Travelling on this Trip			
Company Employees			
Consultant/s / Others			
Traditional Owners			
Communication Details			
Vehicle Number			
UHF Radio			
HF Radio			
Sat Phone			
Project Manager			
Office Number		**Extension**	
Mobile Number		**Home Number**	
Accommodation Details			
Accommodation (name)			
Phone Number			
Trip Details (including routes, stop-off points, destination, work area etc. Maps of remote work area *must* be provided to Contact)			
Reporting Details			
Name of Person Reporting to			
If other than Scheduled Call Contact:			
Phone number/s		**Mobile number**	
Date out		**ETD**	**ETA**
Date in		**ETD**	**ETA**
Comments			
Trip Report Form Prepared by (please print name)			

B5.15   Example Driving in Remote Areas Procedures

How to use this template

This document is an example of the types of procedures that an Indigenous business could implement to manage the risks associated with driving in remote areas.

Note - This document is an example and may not be appropriate for all businesses.

Introduction
Employees who drive in remote locations must be aware that they place themselves in a situation where they are exposed to higher than normal levels of risk. These procedures establish administrative and Health and Safety arrangements for the conduct of driving in locations classified as "remote" and for the driving of vehicles over long distances or off road.

Definitions
For the purpose of these procedures, the following definitions apply:

Remote Work: defined both in terms of distance and inaccessibility as any work carried out which entails:

    a. working more than 10km from a frequently trafficked road, farmhouse or other facility with telephone or radio communications; and

    b. off-road in areas including river, inland waterways and estuarine locations where very little traffic is likely or where topographic features would make it difficult to summon help either from a farm or town.

Off Road: any location other than a major or minor formed road.

Management Responsibilities
The responsibilities of company Management in respect of driving in remote areas are to ensure:

- The driver has an appropriate and current driver's license.
- The driver has completed an accredited course for off-road driving.
- That the cost of any overnight accommodation for employees, in cases which require valid additional or unscheduled overnight stops, is covered.
- Each vehicle has a log book which is completed by the driver for every trip.
- Vehicle users are aware of the procedures for working in remote locations, prior to departure on any trip.
- The roadworthiness of all vehicles at all times

Driver's Responsibilities
The driver holds a current driver's license for the type and class of vehicle.

The capacity for driving time of up 12 hours maximum with 10 min breaks every 3 hours.

The driver is totally responsible for all aspects of preparation, maintenance of vehicle and equipment.

The driver must drive to conditions (e.g. driving at night, in dust or in floods will require driving with more caution).

A check of the vehicle and any towed appliances e.g. trailer for roadworthiness shall be made prior to departure and then a daily check is to be carried out for:

- tyres (visual inspection of inflation and tread conditions);

- radiator (water level);

- oil level; and

- battery condition.

Obtaining as much information as possible about the conditions that are likely to be encountered during the trip and making provision for them.

In all cases where the driver is going to be in an off-road situation or remote location, to inform a third party (e.g. company head office or local police) of the planned driving regime. Regular call-in schedules may be appropriate and should be set up in advance in consultation with the third parties.

Suitability of vehicles

An appropriate type of vehicle is to be supplied for field work:

- normal sedans and station wagons are only suitable for bitumen and all weather dirt roads;

- 4-wheel drive vehicles should be used for all off-road situations including mountainous terrain and desert areas.

All 4-wheel drive vehicles used for field work should be equipped with the following

- diesel engine;

- a steel bull-bar capable of being used as a jacking point and of supporting at least 2/3rds of the weight of the vehicle;

- a rear bumper bar capable of being used in a similar manner to the bull-bar;

- air-conditioning; and

- long range water and fuel tanks.

Where vehicles are to be used off road or in remote locations appropriate spare parts, tools recovery equipment and adequate supplies of emergency rations and water must also be carried.

Communications

All vehicles for remote field work must be fitted with a 2-way radio or satellite phone which enables the driver to report an emergency situation or call in regular call-in's.

All personnel undertaking remote work will be trained in the use of the communication equipment.

Driving for extended periods

Where this type of driving is to be undertaken, the following will be observed:

No more than 12 hours in a 24 hour period should be taken up with driving. The total time spent travelling, inclusive of breaks, should not exceed 12 hours, even where the driving is shared.

A rest period of 10 minutes should be taken on completion of each 3 hour period of driving, or as required.

Where driving is shared, each driver shall drive for no longer than 3 hours in succession.

Ordinary duty (which does not involve driving duty) combined with driving duty shall not exceed 12 hours in any period of 24 hours

Alcohol shall not be consumed or prescription drugs which may affect the ability to drive safely,

8 hours prior to working or during the period of the journey by any person involved with driving duties.

The distance which can reasonably be covered during the space of a day's driving will be governed by:

- driver fatigue;
- legal speed limits;
- climatic conditions & weather;
- type of vehicle used.

The general well-being of the driver, in particular fatigue, is paramount and takes precedence over agreed guidelines particularly when the driver is subject to fatigue.

The time at which the journey is to be undertaken, its duration and the distance to be covered shall be reasonable in the circumstances and be planned in advance.

Wherever practicable more than one driver shall travel in vehicles, especially where all or part of the journey is to be undertaken in isolated areas or under arduous climatic conditions.

B5.16   Example Annual Driving Review Checklist

Purpose of checklist   Reinforce the need to always follow correct driving technique and review current practices

Date/s of review

Site   _____   _____

Make and model of equipment

Details of Employee
The person being reviewed should fill out the following.

Name		
Team		
Immediate Manager	**Signature**	

Acknowledge valid driver's licence or authorisation from manager to drive on site	Reviewer to initial	

Expiry Status of Review   **1 year**

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Element 1	Identifies and manages all safety requirements before driving the vehicle to a destination.			
		Yes	No	Comment
Assessment Criteria	Checks oil levels and responds if low.			
	Checks water level and responds if low.			
	Checks condition of tyres and rims for inflation and wear.			
	Checks vehicle has a first aid kit and drinking water if applicable.			
	Notifies correct personnel of destination if applicable.			
	Demonstrates understanding of company driving policy.			
Element 2	Arranges seat, mirrors and safety devices for safe and easy operation of vehicle			
		Yes	No	Comments
Review Criteria	Adjusts seating position for personal comfort.			
	Adjust all mirrors for visibility.			
	Fits seat belt appropriately.			
	Identifies potential hazards of journey.			
Element 3	Drives vehicle safely using correct techniques			
		Yes	No	Comment
Review Criteria	Reverses using side and rear vision mirrors.			
	Signals using horn if applicable.			
	Positions hands correctly while driving (two hand when possible and thumbs outside steering wheel if applicable, 10 & 2 position of hands).			
	Maintains correct speed according to conditions.			
	Demonstrates awareness of other traffic.			
	Maintains concentration while driving.			

		Yes	No	Comments
	Refrains from answering mobiles phone or eating while driving.			
	Stops at appropriate signs.			
	Indicates at appropriate times.			
	Uses beacon when necessary.			
	Identifies a process for dealing with fatigue.			
	Identifies hazards associated with driving in the Pilbara: glare, fauna, isolation, tyre blow outs.			
	Continually reviews gauges on dash board.			
Element 4	**Parks vehicle safely**			
		Yes	**No**	**Comments**
Review Criteria	Drives into parking area at safe speed.			
	Observes all signage when parking.			
	Turns ignition off			
	Leaves vehicle in gear with handbrake on.			

Reviewer's Acknowledgement

I acknowledge that (*name of employee*)_____ has driven safely using correct driving techniques

Date:_____ Reviewers Name:_____

Manager or Nominees Signature:_____

Employee   *Signature:_____*

B5.17   Example Danger Tags Procedures

How to use this template

This document is an example of the types of procedures that an Indigenous business could implement to manage the risks associated with the use and interpretation of danger tags on company equipment.

Note - This document is an example and may not be appropriate for all businesses.

Reason for Danger Tags Procedure
Danger Tags are used to control risks arising from situations where equipment is undergoing maintenance, is under repair or, is being constructed or tested. The purpose of which is to ensure equipment is not operated by employees in order to prevent injury to those working on or operating the equipment and to also prevent damage to the equipment.

What does a Danger Tag look like?

Danger Tags Procedure

1. Only those employees authorised to carry out repairs may attach a Personal Danger Tag.
2. **All** persons working on a piece of equipment must attach their own Personal Danger Tags, they must ensure that all relevant details are completed the tag, including their name, contact telephone number, date and reason for attaching tag.
3. Only the person whose name appears on the tag may remove it.
4. Never operate any switch, control or valve which has a Personal Danger Tags attached.
5. If you think the tag is no longer in effect, contact the person whose name appears on the tag. If they are not available, then contact the manager.
6. Only when it has been cleared for safe operation may the tag be removed by the manager only.

As operating a switch that has a Personal Danger Tags attached may endanger, injure or even kill another worker, the penalty for turning on a machine, switch or valve that has a Tag may lead to <u>instant dismissal</u>.

B5.18   Example Isolation Procedures

How to use this template

This document is an example of the types of procedures that an Indigenous business could implement to manage the risks associated with the isolation of equipment regarded as unsafe.

Note - This document is an example and may not be appropriate for all businesses.

Reason for Isolation Procedure:
Prior to commencement of work on any plant that is required to be isolated, and prior to removal from service of any equipment regarded as unsafe, isolation is to be carried out.

What does a lockout padlock look like?

Isolation procedure

Whichever method of isolation is used whether it is dedicated clamps for pump valves or a padlock on a switch, the following procedure MUST be followed.

1. Check if the locking off of an area affects the work or safety of other workers.
2. Check no one else is operating any part of the plant to be isolated.
3. Once all is clear, make sure all switches, valves etc. are turned off.
4. Attach isolating clamp/padlock.
5. Attach Danger Tag with details written on it.
6. Carry out required work.
7. BEFORE unclamping and removing your Tags, make sure the areas affected by the 'system' (electrical/ water etc.) are clear of other workers so when you turn it on you don't endanger anyone else.
8. Remove Danger Tags and destroy.
9. Remove lockout clamp or padlock.

B5.19   Example Out Of Service Tags Procedures

How to use this template

This document is an example of the types of procedures that an Indigenous business could implement to manage the risks associated with the use and interpretation of out of service tafs on company equipment.

Note - This document is an example and may not be appropriate for all businesses.

Reason for 'Out of Service' Tag Procedure:
Whenever equipment is found to be faulty, inoperable or unsafe and the operation or use of that equipment would cause further damage or create hazards, then the equipment must be tagged "Out of Service".
What does an 'Out of Service' Tag Look Like?
Out of Service Tag Procedure
1. If you find a piece of equipment that is faulty, you must isolate the equipment, attach an Out of Service Tag to the point of isolation (i.e. plug, switch etc.) and contact the manager to repair or decommission the equipment. 2. Those persons attaching the tag must include their name, contact number, date and reason for attaching the tag. Any worker may attach an Out of Service Tag. 3. Only persons authorised to carry out the repairs or the manager may remove an Out of Service Tag when it has been determined that the equipment is safe to operate. **Never operate any equipment, switch or valve that has an Out of Service Tag attached.**

B5.20   Example Hazard Identification and Audit Procedure

How to use this template

This document is an example of the types of procedures that an Indigenous business could implement to continually improve its hazard identification and reporting procedures.

Note - This document is an example and may not be appropriate for all businesses.

Purpose of Procedure
The Company will conduct regular workplace health and safety inspections with a view to ensure that the Company meets its responsibilities under legislation and regulation and achieves continuous improvement in its workplace health and safety capability.

Delegation
Management may delegate the task of conducting the inspection, but shall remain responsible, for its findings and the implementing of corrective actions.

Inspection Process
The area inspected may be part of, or the whole of the workplace. The inspection should follow an agreed route through the whole area subject to inspection, and each item on the checklist considered.

In classifying each inspection Item the following guide is provided:

ACT NOW	Do something about these risks immediately. Stop task until the hazard is controlled and the risk managed.
ACT ASAP	Act as soon as possible. Do something to manage these risks as soon as possible
OK	OK for now. Review if any work methods, procedures etc. change.
Recommended Action	List any recommendations or actions that may allow the risk to be managed.
N/A	This is recorded if the item is not applicable.

Methodology
1. Auditors inspect each item on the checklist as they move through the area and make notes in the "Recommended Action" section;
2. The Manager allocates a risk classification to each hazard encountered. It may be necessary to interview staff members to establish facts, before allocating a status to a particular item. Decisions are also reached on who will be responsible for improvements and a time frame for the completion of any corrective action; and
3. The checklist may be referred to the HSE Committee for their input and suggestion before completion.
The completed document should be permanently retained

Summary of Responsibilities

Management

1. To ensure audits are conducted at agreed frequencies.
2. To participate, where required, in any inspection, in the company of one or more staff members, all acting as auditors.
3. To decide the Action Plan, with the auditors and the HSE Committee.
4. To ensure corrective action is undertaken.

Auditors

1. To apply consistent interpretation of status across all sections being inspected.
2. To consider what is reasonably practicable to manage the hazards and make recommendations to the HSE Committee and Management.

Employees

1. To undertake an active role in the conduct of workplace safety audits, in association with management, to establish workplace hazard listings and to assist with risk management procedures.
2. To undertake actions that benefits the continuous improvement process.

B5.21 Example procedures - Reporting of work injuries and diseases to WorkSafe

This template is an example of a procedure that could be used by an Indigenous business to guide their reporting of workplace injuries and diseases to the relevant authorities. It is important to note that some reportable incidents may be reportable to the State Government Mines Department while others are reportable to Worksafe (or equivalent agency).
Indigenous businesses should therefore seek to confirm with the relevant authorities exactly what the reporting requirements are in their state/territory prior to formalising their own procedures.

Information on legal requirements for the reporting of incidents
All deaths and certain types of injury or disease, in connection with work, must be reported to WorkSafe. Failure to report notifiable incidents could lead to prosecution.
Reporting by Employers
Reporting must be undertaken by the 'relevant employer' of the individual injured in a workplace incident. In some cases, WorkSafe will require notification of the same reportable death, injury or disease by different 'relevant employers'. For example, if a company hired a self-employed contractor whose work caused a reportable injury at the company's workplace, a report would be required from both the company and the self-employed person.
Reporting by Employees
Reporting is also required for employees who suffer injury/disease at work or at employer-provided residential premises.
Types of reportable injuries
Types of injuries that must be reported: • A fracture of the skull, spine, pelvis, any bone in the arm (other than in the wrists or hand), or in the leg (other than a bone in the ankle or foot). • An amputation of an arm, a hand, finger, finger joint, leg, foot, toe or toe joint. • The loss of sight of an eye. • Any injury other than those referred to above which, in the opinion of a medical practitioner, is likely to prevent the employee from being able to work within 10 days of the day on which the injury occurred.
Example of the types of diseases that must be reported
Infectious diseases: tuberculosis, viral hepatitis, legionnaire's disease and HIV where these diseases are contracted during work involving exposure to human blood products, body secretions, excretions or other material which may be a source of infection. (Businesses should check with their State Regulator on exactly what types of disease must be reported)

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How to report
Notification will be accepted either in person, in writing, by fax, by telephone or email. Print copies of the forms are available from WorkSafe 1800 678 198.

Appendix B6   Example HSE Meeting documents

This section of the toolkit contains the following example documents that may be relevant to the management of health and safety in the workplace.

B6.1   Example Toolbox Safety Meeting Agenda

TOOLBOX SAFETY MEETING
AGENDA

Time: --
Place: --

AGENDA

1.
2.
3.
4.

Open forum.
Any issues that require discussion or are of concern.

B6.2 Example Toolbox Safety Meeting Minutes

Location:

Date: **Commenced**   **Finished**

Present			
Item	**Discussion**	**Delegated to**	**Completion Date**
1			
2			
3			
4			
5			
6			
7			
8			

Meetings will commence at 9.00am promptly and will finish at 10.00am

Please bring any items you want included in the agenda to manager by   so it can be included for the next day's meeting.

Next Meeting   Commencing   Location

B6.3   Example Health and Safety Committee Meeting Agenda

How to use this template

This document is an example of the types of meeting agenda that an Indigenous business could implement as part of the regular Health and Safety Committee meetings.

Note - This document is an example and may not be appropriate for all businesses.

Attendees

Management representatives

-
-

Employee representatives,

-
-

Contractors

-

Specialists

- Company doctor,
- Health and safety adviser
- Other specialists.

Apologies

-

AGENDA

Standing items

1) Statistics on accident records, ill health, sickness absence;

2) Accident investigations and subsequent action;

3) Inspections of the workplace by enforcing authorities, management or employee health and safety representatives;

4) Risk assessments;

5) Health and safety training;

6) Emergency procedures; and

7) Any changes in the workplace affecting the health, safety and welfare of employees.

Additional items

8) Any issues that require discussion or are of concern.

keogh bay
CONSULTING

B6.4 Example Health and Safety Committee Meeting Minutes

List of attendees

-

-

-

-

Date: **Commenced**   **Finished**

Present			
Item	**Discussion**	**Delegated to**	**Completion Date**
1			
2			
3			
4			
5			
6			
7			
8			

Meetings will commence at 9.00am promptly and will finish at 10.00am

Please bring any items you want included in the agenda to manager by   so it can be included for the next day's meeting.

Next Meeting   **Commencing**   **Location**

Appendix B7   Example Job Hazard and Job Safety Analysis Forms

This section of the toolkit contains the following example documents that may be relevant to the management of health and safety in the workplace.

- Appendix B7.1   Example Job Safety Analysis Form

- Appendix B7.2   Example Job Hazard Analysis Form

B7.1   Example Job Safety Analysis Form

TASK		Date	HAVE YOU THOUGHT ABOUT THESE HAZARDS?
JSA TEAM NAMES			☐ Falls & Trips ☐ Noise ☐ Weather ☐ Fire ☐ Manual handling
TASK BREAKDOWN	**IDENTIFIED HAZARDS**	**RISK LEVEL**	**CONTROL METHOD**
Step 1 – xxxx		**M**		☐ Vibration ☐ Chemicals
Step 2 – xxxx		**H**		☐ Poor housekeeping ☐ Confined spaces
Step 3 – xxxx		**H**		☐ Electricity ☐ Machinery operating nearby
Step 4 – xxxxxx				☐ Fragile surfaces ☐ Temperature ☐ Isolation ☐ Other workers nearby ☐ Inexperienced workers ☐ Protective clothing and equipment
EVERY PERSON INVOLVED IN THE TASK <u>MUST</u> READ THE ABOVE INFORMATION AND INITIAL / DATE BELOW				
Workers Initials					
Date					

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B7.2 Example Job Hazard Analysis Form
Preliminaries

Project name	Project location	Date

Description of the task to be undertaken

Tick if any of the following permits are required
☐ Confined space   ☐ Hot Work   ☐ Working at heights   ☐ Excavation/Dig
☐ Other
_____

Personnel

Primary contact/Team leader (Name and Personnel ID)	Contact Telephone	Signature

Team member (Name and Personnel ID)	Contact Telephone	Signature

Note: by signing the above, personnel are indicating that they understand their role on the team, the nature of the task being undertaken and the controls that have been put in place to manage the potential hazards that have been identified.

The task

The task should be broken up into a logical sequence of sub-tasks. Each sub-task should be separately assessed by the team to identify potential hazards, and controls to be put in place to prevent harm occurring. The team member responsible for the control should be identified.

No.	Description of sub-task	Identification of potential hazards

Potential impact on self, team or environment	Controls that will be put in place to prevent harm

No.	Description of sub-task	Identification of potential hazards

Potential impact on self, team or environment	Controls that will be put in place to prevent harm

No.	Description of sub-task	Identification of potential hazards

Potential impact on self, team or environment	Controls that will be put in place to prevent harm

No.	Description of sub-task	Identification of potential hazards

Potential impact on self, team or environment	Controls that will be put in place to prevent harm

Additional personnel

If additional members are brought on to the team during the task, they must read the JHA and sign below before commencing any duties.

Team member (Name and Personnel ID)	Contact Telephone	Signature

Note: by signing the above, personnel are indicating that they understand their role on the team, the nature of the task being undertaken and the controls that have been put in place to manage the potential hazards that have been identified.

Types of hazards

Hazard Type	Hazard	Hazard Type	Hazard
Climatic / Natural Events	Wind, hail, rain, lightning, muddy, fog/mist, extreme weather conditions (cyclone, drought), events (flood, landslide, bushfire)	Pressure	Hydraulic, hydrostatic / steam, mechanical / sprung, pneumatic / air, wind blast, ground / ground water (artesian)
Electrical / Magnetic	Low / high voltage, AC voltage, DC voltage, loss of power,	Radiation	Electromagnetic, infrared, laser, radioactive (gauges, minerals, radon, thoron and decay

Hazard Type	Hazard	Hazard Type	Hazard
	magnetic fields, static electricity, control systems, DC earth leakage		products), radio frequency, microwave, ultraviolet, welding flash, x ray
Biological	Legionella, infection (viral, bacterial), bites (animal, insect), fauna, flora, marine life	Sound / Vibration	Continuous / impact noise , community issue noise / vibration
Ergonomics	Lifting, pushing / pulling, bending / twisting, whole body / hand & arm vibration, work area design, hand tool use, awkward / sustained postures, repetitive motion actions	Social / Cultural	Cultural heritage, economic, legal systems, stakeholder expectations, resource utilization, license requirements, relationships (media / government / NGO / community), land & infrastructure access
Gravity	Stability (bench / dump / high wall / low wall / slope / underground strata), fall (at level / from height / into depth), falling object / material / load, roll away, roll over	Work Environment	Confined spaces, remote activities / isolation, travel health, ventilation, slippery conditions, uneven or broken ground, pedestrians / people in work area, use of ladders / scaffolding
Personal / Behavioural	Fatigue, shift work, fitness for work (medication effects, reduced physical / mental capacity to work)	Substances	Chemicals, hydrocarbons, raw materials, products, gases, fumes, fibres, minerals, dust, explosives, flammables, Acid Rock Drainage (ARD), suspended solids
External Threat	Unauthorised entry, sabotage / arson, emergency situation (notification & evacuation)	Thermal/Fire/ Explosion	Ambient / radiant heat, cold stress, heat stress, contact (cold, hot), explosion, extreme cold / heat, fire, molten materials
Lighting	Low / high level, glare	Waste	Pollution, waste creation / disposal / recycling, spill
Mechanical	Pinching / crushing / cutting / severing, grinding / scraping, impact, puncturing, moving / rotating equipment, projectile, stored energy, roll-over, vacuum, mass & stability / velocity, mechanical strength	Vehicles/ transportation	Vehicles (heavy, light, medium), motorcycles, bicycle / cyclist, marine vessels / water craft, cranes, earthmoving equipment, mining equipment, draglines, stackers / reclaimers, remote controlled equipment, aircraft, trains
Land use	Water use, vegetation clearing, rehabilitation, topsoil		

Appendix B8   Environmental Systems

This section of the toolkit contains the following example documents that may be relevant to the management the environment.

- Appendix B8.1   Environmental Management System
- Appendix B8.2   Environmental Policy
- Appendix B8.3   Environmental Risk Assessment
- Appendix B8.4   Environmental Risk Register
- Appendix B8.5   Land Disturbance Procedures
- Appendix B8.6   Water Management procedures
- Appendix B8.7   Waste Minimisation and Management Procedures
- Appendix B8.8   Flora and Fauna management
- Appendix B8.9   Heritage management
- Appendix B8.10   Discovery of Skeletal remains

B8.1 Environmental Management System

1. Introduction

The intent of this document is to outline the structure of the Environmental Management System (EMS), as it relates to [Your Company]'s operations, and provide details of the documents that that together make up the EMS.

An EMS establishes what an organisation needs to do to manage itself in order to meet its environmental, economic and sustainable development goals. The EMS is a framework around which the organisation's environmental goals, policies and strategies for implementation can be described. The EMS will also create the necessary links between environmental risks, the economic/budget considerations and how the business will respond.

The elements of the [Your Company]'s EMS are:

1. Policy
2. Risk Assessment
3. Training
4. Procedural instructions
5. Accountability and Authority
6. Monitoring, assessment and reporting
7. Emergency Planning
8. Incident reporting
9. Auditing

Each of these elements is described in more detail below.

2. Policy

The [Your Company] environmental policy provides general guidance on the environmental direction for our company's activities.

3. Environmental Risk Assessment

Environmental Risks are identified, considered, analysed and mitigated through [Your Company]'s Risk Management register and risk management procedures (See Risk Register).

The aim of our environmental risk management strategies is to reduce all significant risks to the environment to acceptable levels.

Suggested measures

· Develop an action plan to manage all significant risks to the environment.

· Implement, wherever possible, risk management measures at the planning stage of projects.

· Select risk management options, in order of preference, based on avoiding risk, reducing risk and controlling risk.

· Install controls as close to the source of the problem as possible.

4. Training

Training is required for all [Your Company] employees and contractors. The extent and nature of the training will be determined by the specific tasks and accountabilities for each employee and contractor.

Broadly, training may be divided in to three categories:

- Induction training;

- Core training; and

- Task-specific training.

The Induction Training consists of General and Area-Specific Inductions and includes the responsibility of employees and contractors to report incidents. The Core Training consists of training related to the EMS and Procedures. The Induction Training and Core Training are designed to provide general awareness and understanding of legislation and responsibilities.

Task-Specific Training requirements are identified in the Training Matrix for the employee's specific role.

Some of these training requirements are specific to a particular task and apply only to individuals performing such tasks (e.g. entry into confined spaces) while others apply to all personnel on site (e.g. emergency response).

5. Procedures and Standard Work Instructions

Procedures and Standard Work Instructions may be developed to assist the employees at [Your Company] in implementing the actions outlined in the Management Plan.

Environmental related documents and procedures will be controlled via the [Your Company] Document Control System.

All Environmental Documentation and Registers must contain a revision number and a revision date, such that the current revision of the document is readily obtainable. This information must be recorded whenever a document is issued to another party external to the Environmental Team. The Environmental Team will hold the Master copy of all environmental documentation.

The sections in all Procedures have been arranged in a consistent format, as follows:

- Intent (aim or purpose, scope, applicability, etc.);

- Accountability (WHO is accountable for WHAT);

- Requirements (defining the MINIMUM STANDARD);

- Definitions - only if necessary (clarifying the meaning of words);

- Related Documents (including other relevant procedures, regulations and Australian Standards, [Your Company] standard documents, guidelines, attachments to the procedure and training materials); and

- Appendices (containing current programs, examples or related information).

The Procedures will be revised to reflect:

- Changes in legal requirements;

- Changes in applicable codes of practice;

- Changes to incorporate relevant better practices;

- Technological innovations and advancements; and

- Improvements originating from the continual improvement process and specialist audits of the EMS.

The updating of Procedures to incorporate improvements and best practice to keep abreast of changes in the operating environment will be coordinated by the appropriate sponsor of the procedure. A list of Procedures for the [Your Company] is included in Appendix X.

6. Accountability and Authority

The Policies and Procedures have been developed and are issued with the authority of the Project Manager of [Your Company].

All appointments of persons with accountabilities relating to Safety, Health and Environment protection shall be in writing. In addition, the Job Description of such persons shall include a detailed description of their accountabilities, particularly as they relate to the environmental procedures.

7. Monitoring, Assessment and Reporting

The EMS includes measuring and monitoring procedures, designed to address the requirements of legislative frameworks and, where relevant, Australian Standards. These procedures aim not only to provide information for effective environmental management, but also enable periodic evaluation of compliance with relevant environmental legislation and regulations.

Environmental monitoring procedures cover land, air, water, water quality, seepage, sediment, tailings dams, noise, flora and fauna. The requirements for intervals and detail of the monitoring programs are addressed in the relevant Procedures (Appendix X).

Data collected during monitoring will be analysed and used to determine environmental management, assess environmental impacts, annual environmental reporting requirements and statutory requirements and to produce environmental reports.

Systems shall be established to ensure that relevant information is available to employees, contractors, customers and the public concerning the effects of [Your Company's] materials, products and activities on the safety and health of people and of the environment.

All Departments shall have arrangements for reporting Safety, Health and Environmental performance and for investigating and recording accidents, incidents and public complaints - and for taking appropriate corrective action to prevent recurrence. Records shall be maintained and information and statistics reported to the [Your Company] Managing Director.

8. Emergency Planning

[Your Company] has in place an Emergency Response Plan appropriate to the level of risk. If there is any doubt as to whether a hazardous situation constitutes an emergency, it will be treated as an emergency.

Objectives that will be incorporated into Emergency Response Plans include;

- Control - to control, reduce or stop the cause of any emergency;
- Damage - minimise any secondary damage and prevent the propagation of damage;
- Rescue and first aid - check the area, prioritise the response and commence rescue;
- Communications - simple standard procedures, frequent training, testing and retraining;
- Time - the Plan is based on likely event of emergency occurring at any time; and
- Stages - of a planned emergency response (containment, clean up, prevention etc.).

An emergency will be terminated once the requirements for clean-up, safe storage and the disposal of all contaminated material have been met.

9. Incident reporting

A system will be utilised for reporting, recording and managing the corrective actions for:

- Environmental incidents;
- Environmental related complaints; and
- Non-compliance and non-conformances identified as a result of inspections, monitoring and/or audits.

All staff, including contractors and sub-contracting staff, are responsible for identifying and recording incidents, complaints and non-conformances.

Copies of all reports raised must be forwarded to the Environmental Coordinator, whether the non-conformance occurred on or off the site.

A summary of the reports raised and progress of actions will be discussed at the Weekly Management Meeting.

The documentation that will be used for reporting and investigating environmental incidents are the same as those that will be used for reporting and investigating OHS incidents.

10. Auditing

Auditing is an essential feature of the EMS. Auditing will be conducted at an <u>internal</u> level on an ongoing basis and on an <u>external</u> basis where specific projects require external auditing of environmental compliance.

<u>Internal audits</u> include two elements:

- System Audits, which consist of:

    * an examination of the legislative requirements and the principles of the Environmental Management System; and

    * an examination of Environmental Management Procedures to determine whether they comply with the legislative requirements.

- Compliance Audits, which consist of the examination and evaluation of actual operational practices to determine whether they comply with the Procedures.

The frequency of audits shall be as follows:

- Internal Audits - twice a year; and

- External Management Review Audits – As required by external clients.

11. Exemptions

Exemptions from procedures or parts of Procedures may be obtained by means of the following process:

- applications shall be made by the Supervisor;

- applications shall be specific and shall include the reason for seeking the exemption;

- the application shall be considered by the Managing Director; and

- where required, a recommendation from relevant experts or specialists shall be sought.

B8.2 Environmental Management Policy

All activities, products and services of [Your Company] can cause impact on the environment. In addition to complying with all applicable environmental legal requirements, we are committed to reducing, minimizing or preventing pollution or other negative impact its business can have on the environment. This commitment must be balanced with all other components of [Your Company]'s programs for sustainable success.

 [Your Company] has implemented the following programs related to environmental issues:

- We will establish, document, implement, maintain and continuously improve an environmental management system. At all times, we will comply with or exceed all applicable environmental legal requirements.

- We will develop and maintain environmental monitoring to support and document a meaningful program of continuous improvement with respect to [Your Company]'s impact on the environment.

- We will publish reports regarding the status of our program to reduce, minimize or prevent pollution or other negative impacts our business can have on the environment.

- [Your Company]'s environmental policy will be communicated to all people who work for or on behalf of the company. This policy also will be made available to the public.

B8.3 Environmental Risk Management

Risk Identification and management

Risk management is a process to identify and characterise environmental risks, to assess the likelihood of them occurring, to quantify their impact if they do occur, to identify ways to control or mitigate the risks and to prioritise the management of the risks. This prioritization process results in risks with the greatest loss (or impact) and the greatest likelihood of occurring being handled first, and risks with lower probability of occurrence and lower loss being handled in descending order.

We rate risks according to how likely they are to happen (**Likelihood**), and how serious the consequences will be if they occur (**Impact**). Something that happens all the time and has serious consequences (like an oil spill or damage to heritage sites) is very serious. This gets a *Critical* rating. Something that is very rare and only leads to minor environmental impact is far less serious and results in a *Low* rating.

The following table is used in assessing the likelihood and consequence of a particular action and assigning a risk rating. If the likelihood and consequences of an action will result in high levels risk, then the action must be avoided as much as possible.

Figure 1 – Risk rating table

		Likelihood			
		Very Likely	Likely	Unlikely	Highly Unlikely
Impact	Lasting environmental damage to important assets (e.g. water source)	Critical	Critical	High	Medium
	Short term damage to important environmental assets	Critical	High	Medium	Medium
	Local environmental damage	High	Medium	Medium	Low
	Negligible environmental impact	Medium	Medium	Medium	Low

Risks in the work of [Your Company] are to be removed or reduced by taking steps to reduce the likelihood of them occurring or reduce the consequences if the risk turns into reality. If a serious risk cannot be removed, then the activity that involves that risk is not be undertaken.

It is unlikely that one person will be able to think of all the potential risks that might exist in the workplace. Also, risks change over time and equipment, products, buildings and people change.

For these reasons we seek to involve our employees in the development and maintenance of the risk register. As in all aspects of our Environmental management program, the active involvement of everyone in the workplace is essential for its success and helps to develop a 'safety culture'.

We involve our employees in Environmental management through participation in HSE Committees, by completion of Job Hazard Analysis forms and Job Safety Analysis forms.

Our business has undergone such an exercise to identify the risks to environment and consider ways to minimize these risks. The results of this exercise can be seen in the [Your Company] Environmental Risk Register.

Environmental risks can be reduced or removed by introducing risk controls, control measures or mitigations. Risks in [Your Company's] operations should be removed or reduced by taking steps to reduce the likelihood of them occurring or reduce the consequences if the risk turns into reality. If a serious risk cannot be removed, then the activity that results in the risk should not be undertaken.

Our control measures are classified according to the list below. The best measures are at the top of the list and the least effective are at the bottom:

- **Eliminate** the hazard from the workplace altogether.

- If a risk cannot be eliminated, try to **substitute** it with something that has a lower risk.

- **Isolate** the problem - this is often done by the use of separate purpose-built rooms, barricades, or sound barriers.

- **Re-design** equipment, work processes or tools to reduce or eliminate the risk.

- **Administrative controls** include appropriate training, written work procedures, adequate supervision, signage, maintenance of plant and equipment, or limitation of exposure time.

Our policies set the framework within which the detailed procedures are operated. Documents such as checklists ensure that risks are managed at individual job/process level. Among others, our policies cover such topics as heritage management procedures, water management procedures, waste management procedures and flora and fauna management procedures.

Even though our business may have done a great job eliminating risks and training our staff in safe work procedures, we recognise that it is unlikely that all incidents will be eliminated from our workplace overnight.

Our incident reporting and investigation system describes clear procedures for identifying, reporting, recording, investigating and responding to environmental incidents. .

Our commitment to Environmental Risk Management reflects our commitment to environmental management as part of our everyday way of doing business.

B8.4 Environmental Risk Register - Example

ID	Risk	Risk Rating	Specific risk	Mitigation strategies	Links to Policies and Procedures	Remaining risk
1	Disturbing heritage sites	Critical	Employees disturb or damage sensitive heritage sites	• Identify location of heritage sites prior to starting work; • Establishing a temporary exclusion zone around the site using flagging or other barriers and signage. • Using toolbox meetings to notify work crews of the significance of the site and management measures to be applied. • Restricting access to area during work; • Restricting vehicle and machinery use and keeping to designated access tracks.	See Heritage Management Procedure	Low
2	Land Disturbance	High	[Your Company] work could lead to soil erosion.	• Keeping land clearance to a minimum. • Avoid wherever possible clearing areas of highly erodible soils and steep slopes which are prone to water and wind erosion. • Revegetate and mulch progressively as each section of works is completed. • Coordinate work schedules so that disturbed land does not remain non-stabilised. • Keep vehicles to well-defined haul roads. • Keep haul roads off sloping terrain wherever practical.	See Land Disturbance Procedures	Low
3	Risk of polluting waterways	High	[Your Company] activities may result in pollution of waterways	• Plan in-stream works so that the contact time is minimised. • Establish special practices so that impacts on the waterway and disturbance of its banks are minimised. • Stabilise banks and in stream structure so that they do	See Water Management Procedures	Low

ID	Risk	Risk Rating	Specific risk	Mitigation strategies	Links to Policies and Procedures	Remaining risk
				not contribute to the sediment load. • Maintain minimum flows to ensure the viability of aquatic communities. • Avoid times of the year when environmental damage is expected to be highest. • Construct in-stream crossings during low flows, designed to be stable under expected vehicle loads and flow regimes, that do not contribute to the sediment load in the stream. • Design crossings so that drainage off the crossing does not contribute sediment load to the stream. • Prepare a contingency plan for high-rain events. • Prepare a reinstatement plan if work in a stream is planned or the structure of a waterway		
4	Collection and disposal of waste	Moderate	Littering or damage to environment due to failure to collect and dispose of waste.	• Carry out a waste minimisation assessment which examines opportunities for waste avoidance reduction, reuse and recycling. • Reduce wastes by selecting, in order of preference, avoidance, reduction, reuse and recycling. • Incorporate waste minimisation targets and measures into the environmental management plan. • Staff should ensure that materials are not left where they can be washed or blown away to become litter. • Management will provide bins for workers and staff at	See Waste Management Procedures	Low

ID	Risk	Risk Rating	Specific risk	Mitigation strategies	Links to Policies and Procedures	Remaining risk
				• locations where they consume food. • Conduct ongoing awareness with staff of the need to avoid littering.		
5	Risks to local flora and fauna	High	Negative impacts on flora and fauna of [Your Company] projects.	• All personnel will be inducted on the significance of flora and fauna in the project area and management actions established to reduce impacts. • Ensure barriers to native fauna movement are kept to a minimum. • Where [YOUR COMPANY] staff has dug trenches that are open for longer than 24 hours, staff must check them within 2 hours of sunrise and remove any trapped fauna. Record number and type of relocated fauna; • Keep to speed limits on mine-sites; • [YOUR COMPANY] staff must not intentionally capture or harm any flora or fauna; • [YOUR COMPANY] staff must not feed any animals. • Prior to undertaking clearing activities a clearing permit form must be completed (if applicable). • All personnel are to be inducted on the importance of minimising clearing and disturbance. • Persons undertaking clearing activity and the site supervisor will walk the area to verify the area to be cleared and any exclusion zones to be avoided. • Exclusion areas are to be flagged in the field prior to any clearing.	See Flora and Fauna Management Procedures	Low

Environmental Management Procedures (EMP) **Land Disturbance Procedures**

AUTHORISATION	
Authorizing Officer:	
Position:	
Author(s)' Name:	
Position:	

AMENDMENTS			
Issue	**Page**	**Date**	**Details**
1.0	All		

Purpose

This procedure is to guide [Your company] staff on the correct procedures to be followed on projects that involve land development and disturbance.

Land disturbance

Large projects often involve extensive land disturbance, involving removing vegetation and reshaping topography. Such activities make the soil vulnerable to erosion. Soil removed by erosion may become airborne and create a dust problem or be carried by water into natural waterways and pollute them.

Soil Erosion

When considering land disturbance and its consequences, priority should be given to preventative rather than treatment measures. To develop effective erosion controls it is necessary to obtain information on the erosion potential of the site where soil disturbance is planned. Erosion potential is determined by the type and structure of the soil (type and structure), vegetative cover, topography, climate (rainfall and wind), and the nature of land-clearing.

Erosion potential will also be affected by the type, nature and intensity of earthwork. Information on predicted soil losses from land disturbance should be used to plan and engineer control solutions.

Ground cover provides the most effective means of preventing erosion. Consequently, sediment run-off and dust controls depend on retaining existing vegetation or re-vegetating and mulching disturbed areas as soon as possible.

Procedural Instructions

Procedures to be followed by [Your company] employees to minimise soil erosion include:

- Keeping land clearance to a minimum.
- Avoid wherever possible clearing areas of highly erodible soils and steep slopes

which are prone to water and wind erosion.

- Re-vegetate and mulch progressively as each section of works is completed. The interval between clearing and re-vegetation should be kept to an absolute minimum.

- Coordinate work schedules - if there are other contractors working on a site - so that there are no delays in construction activities resulting in disturbed land remaining non-stabilised.

- Program work activities so that the area of exposed soil is minimised during times of the year when the potential for erosion is high, for example during summer when intense rainstorms are common.

- Stabilise the site and install and maintain erosion controls so that they remain effective during any pause in construction. This is particularly important if a project stops during the wetter months.

- Keep vehicles to well-defined roads.

- Avoid making tracks or roads on sloping terrain wherever practical.

- Design any slopes and cuts to minimise the angle of incline.

Procedures to minimise dust

Objective - To ensure there is no health risk or loss of amenity due to emission of dust to the environment.

Suggested measures

- Implement a dust prevention strategy, developed at the project planning stage.
- Take dust suppression measures, such as promptly watering exposed areas when visible dust is observed.
- Install wind fences wherever appropriate.

Environmental Management Procedures (EMP) **Water Management Procedures**

AUTHORISATION	
Authorizing Officer:	
Position:	
Author(s)' Name:	
Position:	

AMENDMENTS			
Issue	**Page**	**Date**	**Details**
1.0	All		

Purpose

This procedure is to guide [Your Company] staff on the correct procedures to be followed on projects where there is the possibility of water contamination or disturbance to a stream or riverine environment.

Water management

It is important to have accurate information about on-site drainage for each micro-catchment so that control devices are adequately designed for the expected flow and load. Such information should be available for each change in landform that affects a micro-catchment. Specifications for diversion drains and temporary storm water controls to reduce on-site volumes should be included in the plan

Procedures for working in a waterway

Objective - To minimise stress on water environment when working in a waterway.

Suggested measures

- Plan in-stream works so that the contact time is minimised.

- Establish special practices so that impacts on the waterway and disturbance of its banks are minimised.

- Stabilise banks and in stream structure so that they do not contribute to the sediment load.

- Maintain minimum flows to ensure the viability of aquatic communities and ensure that there are no barriers to the passage of fish up and downstream.

- Avoid times of the year when environmental damage is expected to be highest.

- Construct in-stream crossings during low flows, designed to be stable under expected vehicle loads and flow regimes, that do not contribute to the sediment load in the stream.

- Design crossings so that water run-off from the crossing does not contribute sediment load to the stream.

- Prepare a contingency plan for high-rain events.

- Prepare a reinstatement plan if work in a stream is planned or the structure of a

waterway will be altered.

Procedures to minimise negative impact of storm-water

Objective

To minimise the generation of contaminated stormwater.

Suggested measures

- Minimise the quantity of uncontaminated stormwater entering cleared areas.
- Establish cut-off or intercept drains to redirect stormwater away from cleared areas and slopes to stable (vegetated) areas or effective treatment installations.
- Reduce water velocities.

Procedures to minimise impact of contaminated stormwater

Suggested Measures

- Install erosion and sediment control measures, if possible before construction commences.
- Identify drainage lines and install control measures to handle predicted stormwater and sediment loads generated in the mini-catchment.
- Design and install appropriate erosion and sediment run-off control measures appropriate to site conditions to handle a one-in-two-year storm event (two-year ARI with intensity of six hours), for temporary structures, and a one-in-fifty year storm event, for permanent structures.
- Establish an adequate inspection, maintenance and cleaning program for sediment run-off control structures.
- Ensure that contingency plans are in place for unusual storm events.
- Continually assess the effectiveness of sediment control measures and make necessary improvements.

DE-WATERING WORK SITES

Objective - To ensure that de-watering operations do not result in turbid water entering natural waterways.

Suggested measures:

- Treat contaminated water pumped into the stormwater system or a natural waterway to remove sediment.
- Ensure that the level of suspended solids in waters pumped into natural waterways never exceeds the regulatory water quality standard.
- De-water by pumping water, wherever practical, on to vegetated area of sufficient width to remove suspended soil, or to sediment control devices.
- Supervise all pumping and implement precautions to ensure that turbidity of pumped water is minimised.
- Monitor every hour during a pumping operation the turbidity of water pumped

directly to a natural waterway or a drainage system discharging to a natural waterway.

Issue No: 2.0	HSE Management System	
Issue Date: 25/10/2013	Reference: Water Management Procedures	

Environmental Management Procedures (EMP) **Waste Minimisation and Management Procedures**	
AUTHORISATION	
Authorizing Officer:	
Position:	
Author(s)' Name:	
Position:	

AMENDMENTS			
Issue	**Page**	**Date**	**Details**
1.0	All		

Purpose

This procedure is to guide [Your Company] staff on the correct procedures to be followed on projects that involve generation and disposal of waste.

Procedures for minimising Waste

Objective - To minimise the waste load discharged to the environment.

Suggested measures

- Carry out a waste minimisation assessment which examines opportunities for waste avoidance reduction, reuse and recycling.
- Reduce wastes by selecting, in order of preference, avoidance, reduction, reuse and recycling.
- Incorporate waste minimisation targets and measures into the environmental management plan.

Procedures to manage contaminated material and waste

Objective - To ensure that all contaminated material uncovered on a construction site are excavated and disposed of in an environmentally responsible manner.

Suggested measures

- Analyse material uncovered on-site prior to disposal. If the wastes include potentially dangerous or contaminating wastes, then contact the Site Supervisor or [YOUR COMPANY] Managing Director for further Guidance.
- Excavate material in a manner which avoids off-site environmental problems.
- Seal remaining contaminated material or wastes, where only part of the tip has been excavated, to ensure that there is no off-site effect now or in the future.
- Transport odorous wastes in covered vehicles.
- Dispose of contaminated material in a landfill licensed to take the type of contaminated material or wastes uncovered.

Procedures for Storing Fuel and Chemicals

Objective - To ensure that fuel and chemical storage is safe, and that any materials that escape do not cause environmental damage.

Suggested measures:

· Minimise fuels and chemicals stored onsite.

· Install bunds and take other precautions to reduce the risk of spills.

· Implement a contingency plan to handle spills, so that environmental damage is avoided.

Procedures for minimising and disposing of litter

Objective - To ensure that all litter is disposed of in a responsible manner, and is not released into the environment.

Suggested measures

· [YOUR COMPANY] staff should ensure that materials are not left where they can be washed or blown away to become litter.

· [YOUR COMPANY] Management will provide bins for workers and staff at locations where they consume food.

· Conduct ongoing awareness with staff of the need to avoid littering.

Issue No: 2.0	HSE Management System	
Issue Date: 25/10/2013	Reference: Waste Management Procedure	

Environmental Management Procedures (EMP) **Flora and Fauna Management Procedures**	
AUTHORISATION	
Authorizing Officer:	
Position:	
Author(s)' Name:	
Position:	

AMENDMENTS			
Issue	**Page**	**Date**	**Details**
1.0	All		

Purpose

This procedure is to guide [Your Company] staff on the correct procedures to be followed in managing our impact on flora and fauna.

The objectives for flora and fauna management are:

- Minimise potential impacts of site activities on flora and fauna species.
- Minimise potential impacts to species of conservation significance (including terrestrial and subterranean flora and fauna).

Potential impacts on flora and fauna

It is acknowledged that some flora and fauna will be disturbed as a result of [Your Company] activities. It is anticipated that, due to the relatively localised nature of most [Your Company] project activities, impacts to flora and fauna will also be localised. Potential impacts could include:

- Habitat loss through clearing, excavation and vegetation degradation

- Direct impact on flora and fauna.

- Indirect impacts such as barriers to movement, groundwater changes etc.

General Flora and Fauna Management Procedures

Objective - To minimise the impact of [Your Company] activities on the local Flora and Fauna.

Suggested measures

- All personnel will be inducted on the significance of flora and fauna in the project area and management actions established to reduce impacts.

- Ensure barriers to native fauna movement are kept to a minimum.

- Where [Your Company] staff have dug trenches that are open for longer than 24 hours, staff must check them within 2 hours of sunrise and remove any trapped fauna. Record number and type of relocated fauna;

- Keep to speed limits on mine-sites;

- [Your Company] staff must not intentionally capture or harm any flora or fauna; and

- [Your Company] staff must not feed any animals.

Procedures for Clearing of Vegetation

<u>Purpose</u>

This procedure provides generic information to be implemented during clearing activities. For other information relating to vegetation clearing, refer to the vegetation management procedure and clearing permit conditions.

<u>Risks</u>

The key risks for unplanned disturbance of native vegetation are:

- Insufficient planning to avoid environmentally significant areas.

- Failure to identify and communicate access tracks, gridlines, work area and exclusion zones.

- Insufficient planning to avoid indirect impacts by such things as changing drainage patterns.

- Introduction or spread of weeds.

<u>Procedure</u>

To ensure vegetation clearing is conducted in a responsible manner and to avoid unacceptable environmental impacts, the following procedure must be followed both during the planning of clearing and during clearing activities. This is outlined below.

Prior to Clearing

- Prior to undertaking clearing activities a clearing permit form must be completed (if applicable).

- All personnel are to be inducted on the importance of minimising clearing and disturbance.

- Persons undertaking clearing activity and the site supervisor will walk the area to verify the area to be cleared and any exclusion zones to be avoided.

- Exclusion areas are to be flagged in the field prior to any clearing.

- Salvage of seed, timber etc. is to be scheduled. These activities are to be confined to the clearing area.

- No clearing is to commence until personnel implementing the clearing have been provided with a map (drawings) that indicate:

    - Designated locations to be avoided, which include;

        - Declared Rare Flora or Priority species and any associated buffer.

        - Nominated mature trees.

        - Significant fauna habitats and any associated buffer (see Fauna Management for specific details).

        - The location of heritage sites.

- Any other identified feature.
- The location of access tracks.
- The extent of the clearing area.
- The location of drill pads, gridlines and associated infrastructure.

During Clearing

- All clearing will be supervised by the Site Supervisor.

- Where practicable, clearing will be undertaken with either a raised blade or scrub rake (to minimise soil disturbance and preserve seed stock).

- Cleared vegetation is to be stockpiled adjacent to the area it was cleared from for use during rehabilitation.

- All vegetation and topsoils stockpiles will be positioned away from any watercourses and drainage paths. Stockpiles are to be no higher than 2 m.

- Vehicles and machinery will only use designated roads, tracks and gridlines. Off-road traversing into bush areas is to be minimised.

- No burning of cleared vegetation is permitted.

Monitoring

- The Supervisor will monitor the clearing activities to ensure compliance with requirements.

Reporting

- If unauthorised clearing occurs, the incident must be reported to the Supervisor within 24-hours of the incident occurring using the Accident Incident report form.

- Any weed populations identified must be reported to the Supervisor within 24-hours of the sighting occurring using the Hazard Register.

Issue No: 1.0	HSE Management System	
Issue Date: 25/10/2013	Reference: Flora and Fauna Management Procedure	

Environmental Management Procedures (EMP)
Heritage Management Procedures

AUTHORISATION	
Authorizing Officer:	
Position:	
Author(s)' Name:	
Position:	

AMENDMENTS			
Issue	**Page**	**Date**	**Details**
1.0	All		

Purpose

This procedure is to guide [Your Company] staff on the correct procedures to be followed in working close to cultural heritage sites.

Cultural heritage sites are of value to the community and particularly the Aboriginal community. Such sites may comprise areas or items of archaeological, anthropological or ethnographic significance.

Cultural heritage sites are protected by a range of Commonwealth and State legislation. As an Aboriginal business [Your Company] is committed to preserving and respecting the cultural heritage of Aboriginal communities wherever we encounter it.

Heritage Site protection

It is acknowledged that some heritage sites may be encountered during [Your Company] projects. In these circumstances the following procedures should be followed:

Procedures

- NEVER disturb a known cultural heritage sites unless written approval has been granted by the relevant authorities. These authorities must include the State and the manager of the land in consultation with Traditional Owners.
- Prior to conducting any ground disturbance activity (including driving on and in the vicinity of the easement), consult with the client to identify known heritage sites and management considerations connected with these sites.
- If a heritage site is located close to the work area, the site is to be protected by:
  - ° Establishing a temporary exclusion zone around the site using flagging or other barriers and signage.
  - ° Using toolbox meetings to notify work crews of the significance of the site and management measures to be applied.
  - ° Restricting unnecessary activities such as excavations, grading or clearing, vehicle and walking access
- Where activities are required close to the heritage site, discuss with the client options for the use of a heritage monitor to oversee activities.
- Take a photograph of the cultural heritage site prior to commencing the activity and following completion of the activity to demonstrate that [your company activities] have not affected the restricted area.

- Remove any barriers and signage following completion of maintenance activities.
- Report any third party interference of cultural heritage sites to the Land Access and Approvals Coordinator, to notify the relevant state department.

Discovery of new Aboriginal sites

Objective – To describe the appropriate steps if [Your company] employees believe that they have encountered a previously unknown heritage site.

Suggested measures

During morning Toolbox meetings provide employees with information on the types of heritage sites and artefacts that may be found in the area to help them recognise heritage items when they encounter them.

If an employee believes that they have encountered a heritage site or item:

- **Step 1** - Mark the possible site and exclude from operations pending further investigation.

- **Step 2** – Contact [Your Company] site supervisor. Site supervisor to contact the appropriate client representative (e.g. Community Relations officer) for advice. Supervisor to log incident in the [your company] incident reporting system.

- **Step 3** – Modify the work-plan in consultation with the client representative while appropriate investigations and consultations are pursued.

- **Step 4** – Once investigations are completed, modify the work plan in the light of findings, in consultation with client representative.

Discovery of human remains

Objective: To avoid damage or disturbance of human remains encountered during [Your company] work activities, and refer discovery to the appropriate authorities.

Where a [your company] employee believes that they have encountered human skeletal or other remains follow the procedure below:

- Immediately stop work and protect the site from further disturbance. Do not touch or otherwise interfere with the remains. Create a no-work zone and notify the [Your company] site supervisor
- Site supervisor to notify the client representative.
- Modify the work-plan in consultation with the client representative while appropriate investigations and consultations are pursued.
- The Site Supervisor or Land Manager will engage an expert, such as an archaeologist, doctor or veterinarian to determine if the remains are of human origin.
- If determined to be of animal origin return to the original work plan.
- If the expert believes that the remains may be of human origin the site supervisor or client representative must contact the Police and or State Coroner's office to notify of the discovery.
- If the remains are suspected of being historical Aboriginal origin, the site supervisor or site representative must contact the relevant state government department and relevant community members.
- The client representative will engage an archaeologist and/or anthropologist

acceptable to stakeholder groups to professionally assess the area.

- Required work may re-commence and continue at an agreed distance away from the 'no work zone' unless otherwise advised by the Police or other authorities.

Discovery of Artefacts or other potential heritage items

Objective: To avoid damage or disturbance of artefacts or other heritage items encountered during [Your company] work activities, and refer discovery to the appropriate authorities.

Where heritage artefacts have been discovered by [Your Company] staff the following procedure should be followed. Heritage artefacts may be such items as stone tool scatters, grindstone, rock paintings, marked trees or other tools and implements.

- Immediately stop work and protect the location from further disturbance. Do not touch or otherwise interfere with the remains. Create a no-work zone and contact the Site Supervisor.
- Provide the GPS coordinates of the cultural site location to site supervisor.
- Supervisor to advise the client representative of the find and its location
- Modify the work-plan in consultation with the client representative while appropriate investigations and consultations are pursued.
- Client representative to contact the relevant state government department and stakeholders to initiate an archaeological evaluation of the material.
- Required work may re-commence at an agreed distance away from the 'no work zone'. If cultural material is still evident at the site where work has recommenced, repeat steps above until no cultural heritage material is encountered.

Issue No: 1.0	HSE Management System	
Issue Date: 25/10/2013	Reference: Heritage Management Procedure	

B8.10 Discovery of Skeletal remains (Western Australia)

In this procedure, your company would be the discoverer
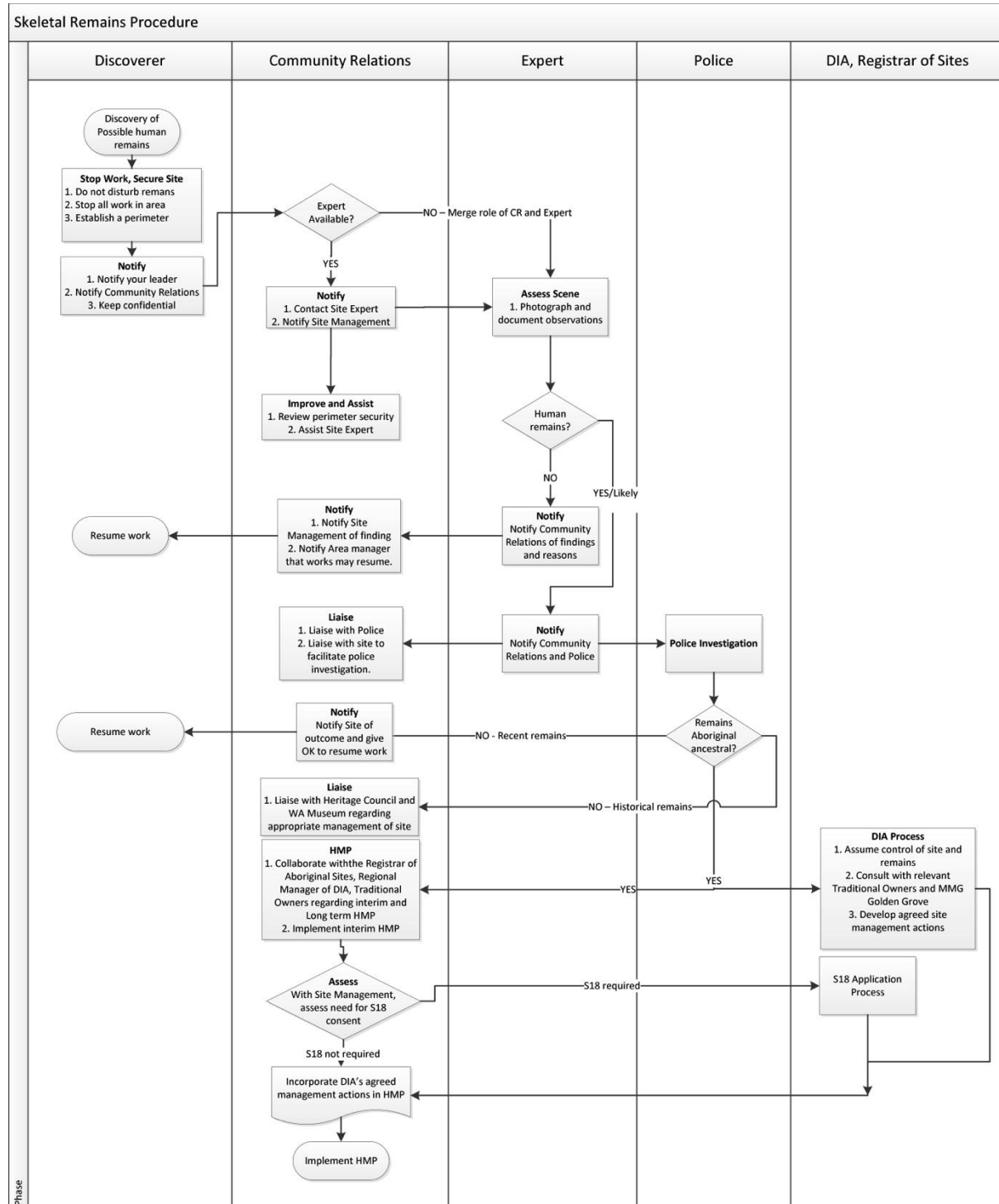
Appendix C   Quality Assurance – Example Documents

This section of the toolkit contains the following example documents that may be relevant to establishing strong quality assurance systems in the workplace.

- [Appendix C1](#) Example Quality Management Plan

[Your Company]'s Quality Management System

AUTHORISATION	
Authorizing Officer:	
Position:	
Author(s)' Name:	
Position:	

AMENDMENTS			
Issue	Page	Date	Details
1.0	All		

[Your Company]'s Quality Management System - Overview

The diagram below sets out [Your Company]'s approach to Quality Management.
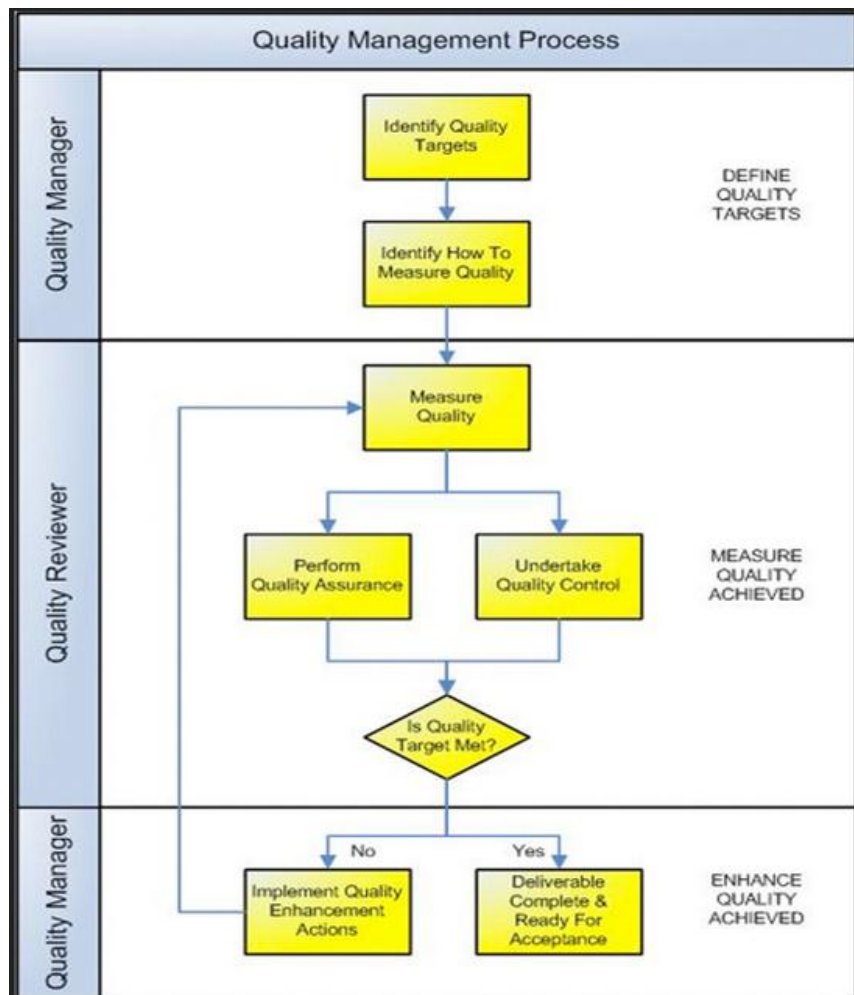
Setting Quality Targets

Quality targets are established throughout the organisation to implement the quality policy, to meet requirements for products and processes, and to improve quality system and quality performance.

Monitoring of achievement of quality targets is achieved through the quality assurance reviews that are undertaken by the [YOUR COMPANY] Quality Management Officer on an ongoing basis. Quality targets define the direction and priorities for continual improvement.

Measuring Quality Performance

[Your Company] will get information on the quality of the services provided to clients through a number of means such as:

- Client feedback on performance – The [YOUR COMPANY] Quality Management Officer will actively seek feedback on client perception with [YOUR COMPANY] performance on completion of each job. This feedback will come in the form of a questionnaire submitted to each client project manager which will seek feedback on [YOUR COMPANY] performance against key performance criteria. Where performance falls short of client expectations the Quality Management Officer will follow up to understand the nature of the problem and how it can be addressed (e.g. through training or changes in service delivery processes).

- Delivery of services in line with budgets and project plans – An important indicator of compliance with quality management standards is the completion of projects in line with the agreed project budget and plan. Where there has been significant variance from the plans in terms of completion dates and financial budgets the Quality Management Officer will investigate to understand the root cause of the problem and assess whether there are quality management implications.

- Performance against Quality Management Targets

- Quality Reviews – [YOUR COMPANY]'s Quality Management Officer will undertake random quality management reviews to confirm that the services are being delivered in line with the procedural instructions and that the quality of services is in line with the quality targets.

The QA information produced through each initiative will be fed back to the Quality Management Committee. Updates and summaries will also be provided through team meetings.

Quality System Planning

Quality system processes are planned to ensure that the system is appropriate for its intended purpose, and that it is effective and efficient. The purpose of the quality system is to:

- Achieve the quality policy;
- Ensure and demonstrate our ability to provide Environmental and Land Management Services that consistently meet customer requirements and applicable regulatory requirements;
- Ensure high level of customer satisfaction;
- Facilitate continual improvement; and
- Comply with requirements of the client service delivery requirements.

Changes to the quality system are planned within the framework of management reviews. These changes may be in response to changing circumstances, such as product, process, capacity, or other operational or organisational changes; or to improve the effectiveness and efficiency of the quality system.

Quality System Communication

Internal Communication

Internal communication regarding the quality system flows two ways:

- The management communicates to the organisation the quality policy and objectives; customer and regulatory requirements; product and process specifications; verification and validation requirements; and instructions on how to implement and use the quality system.
- The organisation communicates to the management information and data regarding quality performance, the effectiveness of the quality system, customer satisfaction, and opportunities for improvement.

The information is communicated through:

- Paper or electronic documents, such as manuals, procedures, instructions, drawings, specifications, quality records, reports, etc.;
- E-mails, memos, and meetings;
- Training and awareness programs; and
- Employee suggestions, surveys and feedback.

Team meetings have a special role in ensuring proper communication between the management and the staff. The meeting provides the framework for the organisation to report on the status of quality-related issues and activities, and for the management to formulate and communicate policies and directives to change and/or improve the quality system.

The Quality Management Officer has the overall responsibility for ensuring that all pertinent documents, reports and records are distributed to appropriate departments and functions, and that information and data about quality performance and the effectiveness of the quality system are reported to the management.

Ongoing Assessment of Quality Management Performance

The findings of the Quality Management activity will be fed back to the Quality Management Committee by the Quality Management Officer. The meetings of the Quality Management Committee will be held quarterly. The Quality Management Officer will update the Managing Director of [Your Company] on an ongoing basis on Quality Management issues between these meetings.

Implement Service Enhancement Actions

On the basis of the findings of the quality management information provided at each quarterly meeting, management may seek to improve the quality of service delivery through factors such as:

- Training;
- Staff Performance Development activity;
- Changes in staffing establishment;

- Process redesign;
- Replacement of equipment; or
- Investment in new technology.

Such investments / actions should not be undertaken without clear evidence that there will be a beneficial impact on quality management performance.

Management review of Quality System

Management reviews of the quality management system are conducted at least once a year. More frequent reviews are scheduled in periods when organisational, technological, product, or other changes require increased attention and input from the management.

The purpose of management reviews is to:

- Evaluate the suitability, adequacy and effectiveness of the quality system;
- Consider changes to the quality management system and to the quality policy and quality objectives; and
- Identify opportunities for improvement of the quality system, processes and products.

Management reviews are chaired by the Managing Director of [Your Company] and are attended by other staff responsible for, and/or affected by the quality management system.

Issue No: 1.0	Quality Management System	
Issue Date: 25/10/2013	Reference: [YOUR COMPANY] – Quality Management Policy	

Appendix D – Human Resources – Example Documents

This section of the toolkit contains the following example documents that may be relevant to establishing a strong human resources capacity in the workplace.

- Appendix D1   Example Grievance Policy
- Appendix D2   Example Equal Opportunity Policy
- Appendix D3   Example Consultation in the Workplace procedures
- Appendix D4   Example HSE Employee Consultation Policy
- Appendix D5   Example Indigenous Employment Checklist
- Appendix D6   Example Roles and Responsibilities Document
- Appendix D7   Example Competency Observation Checklist
- Appendix D8   Example Employee Details Sheet
- Appendix D9   Example Application for Employment
- Appendix D10   Example Work Expectations Pre-employment Medical
- Appendix D11   Example Job Description Form – IT Support Engineer
- Appendix D12   Example Induction Checklist
- Appendix D13   Example Interview Evaluation Form
- Appendix D14   Example Subcontractor Management Procedures
- Appendix D15   Example Training Matrix
- Appendix D16   Example Fair Work Information Statement
- Appendix D17   Long service leave factsheet

D1 Example Grievance Policy

How to use this template

This is an example of a Grievance Policy which outlines how employees should go about resolving serious concerns or problems encountered in the workplace. This policy may not necessarily meet the needs of all businesses and management should undertake a review of the specific needs of their business before developing such a policy document.

[INSERT COMPANY NAME] aims to resolve problems and grievances fairly and promptly. If any employee believes that they have been treated inappropriately at work, they are encouraged to report the issue as outlined under this policy. Inappropriate treatment may include harassment, bullying, racial discrimination, unwanted sexual advances among other things.

The policy aims to resolve an issue raised by an employee through discussions among those immediately concerned. However, if this is not possible the matter may be escalated to senior leaders removed from the situation for mediation and adjudication.

Statement of General Principles

- The grievance may be lodged with an immediate supervisor OR a supervisor one level up from the immediate supervisor OR a HR officer at supervisor level or above.

- Complaints must be fully described by the person with the grievance. Where possible, provide documentary evidence, such as diary notes or emails in support of a grievance.

- The person(s) should be given the full details of the allegation(s) against them.

- The person(s) against whom the grievance/complaint is made should have the opportunity and be given a reasonable time to put their side of the story before resolution is attempted.

- Proceedings should be conducted honestly, fairly and without bias.

- Proceedings should not be unduly delayed.

PROCEDURES

The following is a four level process:

1. The Employee attempts to resolve the complaint as close to the source as possible. This level is quite informal and verbal.

2. If the matter is not resolved, the Employee notifies the relevant Supervisor (in writing or otherwise) as to the substance of the grievance and states the remedy sought. Discussion should be held between employee and any other relevant party. This level will usually be informal, but either party may request written statements and agreements. If the matter is not resolved within 5 business days, then it may escalated to level 3.

3. If the matter is not resolved, the Supervisor must refer the matter to the HR Manager (or Board of Directors if applicable). The employee and, if appropriate, their Supervisor, will forward to the HR Manager any additional information thought relevant. The HR Manager or a delegate will investigate the grievance and provide a written response to the Employee and any other concerned parties. This level should not exceed one week following the next scheduled meeting.

4. If the matter is not resolved, the Employee will be advised of his / her rights to pursue the matter with external authorities if they so wish.

_____

[Insert Director Name and Sign]

Doc Control – Revision No: ___
Next Revision Due Date:_____

D2 Example Equal Opportunities Policy

3) Our Policy

[INSERT COMPANY NAME] aims to provide a welcoming, supportive, and emotionally and physically secure working environment for every employee.

[INSERT COMPANY NAME] recognises and promotes human rights, and values the diversity of culture, beliefs, practices, customs, physical and intellectual abilities and life experience of all employees.

4) Our Commitment

[INSERT COMPANY NAME] aims to create an inclusive working culture that fosters acceptance and respect for diversity. In doing so, we seek to deepen understanding and knowledge, promote employee wellbeing and help everyone achieve their full potential. This company is enriched by and celebrates the diversity of our workforce.

That is why discrimination, harassment, vilification, bullying and victimisation will not be tolerated at [INSERT COMPANY NAME] under any circumstances.

[INSERT COMPANY NAME] is committed to ensuring that the working environment is free from discrimination, harassment, bullying, vilification and victimisation.

This Company acknowledges that in society some people are treated unfairly or unfavourably because of irrelevant personal characteristics such as their sex or race. It is against the law to discriminate against any employee, because of factors such as:

- age

- race

- religious belief or activity

- sex

- carer status

- disability/impairment

- gender identity

- industrial activity

- lawful sexual activity

- marital status

- parental status

- physical features

- political belief or activity

- pregnancy

- sexual orientation

Discrimination is unacceptable at [INSERT COMPANY NAME]. Discrimination may be direct or indirect – both are against the law.

<u>Direct discrimination</u> means treating someone unfairly or less favourably because of one of the personal characteristics listed above or because of their association with someone identified with one of those characteristics.

Examples: refusing to promote an employee because of his or her sexual orientation.

<u>Indirect discrimination</u> happens when a rule, policy or requirement unnecessarily or unreasonably disadvantages a person or group of people because of a protected personal characteristic they share.

Example: Imposing a requirement that all employees take notes from the whiteboard during a training session without assistance may unreasonably disadvantage a worker with vision impairment.

Harassment is unacceptable at [INSERT COMPANY NAME]

Harassment is behaviour (through words or actions) based on the personal characteristics listed above that are unwanted, unasked for, unreturned and likely to make the workplace an unfriendly or uncomfortable environment by:

- humiliating (putting someone down);

- seriously embarrassing;

- offending (hurting someone's feelings); or

- intimidating (threatening someone so they behave in a certain way).

Examples: name calling, stereotyping jokes and offensive comments.

Sexual harassment is an unwelcome sexual advance; request for sex or any other sexual behaviour that a reasonable person would know or expect would offend, humiliate, seriously embarrass or humiliate another.

Examples: unwanted touching, unwelcome sexual innuendo or jokes, displaying sexually explicit material (posters, emails, internet sites).

Racial and religious vilification is unacceptable at [INSERT COMPANY NAME]

Vilification is behaviour (through words or actions) that incites hatred, serious contempt or ridicule of another person or group of people because of their race or religious belief.

Examples: public threats of harm, encouraging others to hate someone because of their religion, racist statements made in a public meeting, racist graffiti

Bullying is unacceptable at [INSERT COMPANY NAME]

Bullying is unreasonable behaviour that is intimidating, threatening or humiliating and repeated over time or occurring as part of a pattern of behaviour. Bullying can be physical, verbal or indirect, and creates an unfriendly, threatening or offensive environment.

Examples: taking or damaging other people's property, excluding or isolating someone, subjecting someone to homophobic abuse, deliberately withholding information so as to affect their work performance, threatening not to renew an employment contract.

Victimising someone who makes an EO complaint is unacceptable at [INSERT COMPANY NAME]

Victimisation means treating someone unfairly or otherwise disadvantaging them because they have made an EO complaint or might do so in the future.

[INSERT COMPANY NAME] will take action to prevent discrimination, harassment, vilification, bullying and victimisation and to promote a safe and inclusive workplace.

[INSERT COMPANY NAME] will take immediate and appropriate action to address and resolve EO issues and complaints.

5) Who and what this procedure covers?

This procedure covers the whole workforce, including directors, staff, contractors and volunteers.

6) Rights and Responsibilities

Under this policy, every member of the [INSERT COMPANY NAME] has the right to work in a safe and inclusive environment free of discrimination, harassment, bullying, vilification and victimisation. Along with this right comes the responsibility to respect and promote human rights and responsibilities by behaving according to this policy.

The CEO of [INSERT COMPANY NAME] is accountable for implementation of this policy.

The CEO of [INSERT COMPANY NAME] may appoint an EO and Anti-Harassment Co-ordinator to support implementation of this policy.

7) Complaints procedures

The [INSERT COMPANY NAME] encourages all employees to attempt to resolve complaints and concerns through the framework provided.

All complaints will be treated confidentially, fairly and consistently, and resolved as speedily as possible.

Any employee who raises an issue of discrimination, harassment, bullying or vilification in good faith will not be victimised or otherwise unfairly treated or disadvantaged. All complaints of victimisation will be taken seriously, investigated and acted upon as quickly as possible.

Complaints procedures exist to provide an avenue to address unacceptable behaviour. Complaints procedures are designed to explain what to do if you believe you have been discriminated against, harassed, sexually harassed, bullied, vilified or victimised as explained earlier in this policy and your complaint is about your employment at [INSERT COMPANY NAME].

In some circumstances it may be appropriate, and more effective, for the person to direct their complaint directly to the alleged harasser. However, if the concerns cannot be resolved in this direct way, or it doesn't seem appropriate to proceed this way, the person may make a complaint directly to the Complaints Officer.

Initially the Complaints Officer will:

1. Identify the nature of the complaint;

2. Discuss a possible course of action with the complainant to resolve the matter;

3. Determine *(in consultation with the complainant)* whether the matter ought to be dealt with through formal or informal procedures; and

4. Keep a record of the discussions.

8)	What is the process for progressing an equal opportunities complaint through informal means?

If the matter can be resolved through informal means:

- The complaints officer, after identifying the nature of the complaint, will put the allegations to the alleged offender in an informal interview;

- The alleged offender will have an opportunity to respond;

- Depending on outcomes of these discussions, the complaints officer may choose to conduct further interviews with the complainant or to interview witnesses;

- Following on from these discussions, the complaints officer will conclude on whether the complaint is upheld; and

- The complaints officer will then decide, in consultation with Management, the appropriate action to take.

9)	What is the process for progressing an equal opportunities complaint through formal means?

If the matter can only be resolved through formal means, the complaints officer will:

- compile a set of statements that accurately reflect the complaint; the complainant must countersign the statements (if they agree with the content); the allegations will then be given to the alleged harasser in writing.

- inform the alleged offender about their rights to legal representation and about the possible outcomes, if the allegations are substantiated.

- conduct interviews with witnesses.

- advise the alleged offender of their right to nominate witnesses to give information to the complaints officers (the complaints officer will only be obliged to interview those witnesses if they decide that the witnesses can comment directly on the alleged acts of harassment).

- take steps to maintain the confidentiality of the alleged offender and the complainant and minimise disruption to work and work relationships after hearing all the available evidence.

- in consultation with Management, will consider the allegations, and if substantiated, determine the appropriate response.

10)	What are the responses that Management should take to a substantiated equal

If an equal opportunities claim is found to be valid, the complaints officer and Management must decide on the appropriate response.

The response to a substantiated claim may include:

1. Review of existing policies and procedures that resulted in the substantiated claim;

2. Revision of policies and procedures to ensure that the incident does not reoccur;

3. Formal reprimand, counselling or training of any staff whose behaviour contributed to the incident (if appropriate);

4. Prohibiting certain actions or practices;

5. Issuing the offending staff member's with a formal warning and indicate that any repeat of the same or similar offence will result in more severe disciplinary action; or

6. Terminating the offending staff member's employment and report the matter to the appropriate authorities if warranted.

D3   Example Consultation in the Workplace procedures

How to use this template

This document is an example of the types of procedures that an Indigenous business could implement to establish strong procedures for consulting with their employees on HSE issues.

Note - This document is an example and may not be appropriate for all businesses.

Definition of consultation
Consultation is a process that involves open communication between you and your employees. Meaningful and effective consultation involves using the knowledge, experience and ideas of employees and encouraging their participation and input to improve health and safety in the workplace. Workplace consultation and cooperation is part of good management. It is also a means by which employers, employees and elected representatives of employees work together to improve their work environment and make it safer for all.

Legislative requirement
There is a legislative requirement in some States to formally establish consultation arrangements either through a Health and Safety Committee, Health and Safety Representative, Workplace Health and Safety Officer or other agreed arrangements.

What does workplace consultation involve?
Consultation with employees should not be considered a difficult task. It could range from face to face discussions with employees to having health and safety as an agenda item at staff meetings. Direct discussions may involve: • encouraging employees to raise any HSE issues they may have; • discussing with employees any planned changes to work practices or the working environment; • discussing with employees new hazards and control measures to be implemented; • conducting regular workplace inspections; and • benefit for employers.

When to consult with employees on HSE?

Consultation is required:
 	
• when identifying hazards and risks and deciding how to control risks.
 	
• when making decisions regarding facilities related to welfare, e.g. toilets, first aid.
 	
• during development of HSE procedures and systems.
 	
• when changes are proposed to:
 	
   - the workplace, e.g. new buildings, alterations to existing buildings, renovations, maintenance, repairs and minor modifications;
 	
   - machinery/equipment, substances, processes and other things used in the workplace; and
 	
   - the work/study performed that may affect the health and safety of staff.

Who to consult with?

Staff - Supervisors and managers must consult, so far as reasonably practicable, with staff who are, or are likely to be, directly affected by the HSE issue.

Contractors - Consultation must include independent contractors and any employees of the independent contractor/s who perform work over which the supervisor/manager has control. This includes staff hired through labour-hire firms.

Health & safety representatives - In designated workgroups with an elected health & safety representative, the health & safety representative must be involved in consultation (with or without the involvement of the staff directly). It is expected that the HSE representative will consult with staff.

Advantages of workplace consultation

An organisation can benefit from its employees' knowledge, skills and experience by putting into place an effective consultative process. Employees are in the best position to understand the risks involved in their work.

A workplace environment where employees are actively consulted on matters of safety can engender a 'safety culture' within that workplace.

Additionally, an environment where employees feel that they are listened to by their managers and that their welfare is being looked after, promotes employee enthusiasm for a safe workplace culture. This can have a positive effect on morale resulting in lower incidents of absenteeism and lower staff turnover.

Consultation Mechanisms

Refer to the Consultation Mechanisms Table to determine what consultation method your organisation needs to establish.

Discuss which method to use

Discuss with employees the type of consultation method that best suits, or is required of your organisation.

Decide

Determine and / or agree on a form of HSE Consultation with your employees – see 'Consultation Mechanisms table' below.

HSE Consultation Statement

Preparing a HSE Consultation Statement allows you to record your consultation arrangements. It details:

- commitment to consultation in the workplace

- the HSE consultation arrangements chosen

- how employees will be consulted

- a procedure for resolving HSE problems

- when and how consultation arrangements will be reviewed

The Consultation Statement should be endorsed and signed by the CEO / General Manager and made available to all employees. Review your consultation arrangement on a regular basis to ensure it is meaningful and effective.

Meeting Agenda and Minutes

Use the Meeting Agenda Template (**Appendix B6.3**) and Meeting Minutes Template (**Appendix B6.4**) to document your HSE consultation meetings.

The chairperson of the safety meeting should plan a draft agenda for the proposed meeting.

In developing the agenda it is important to review the minutes from the last meeting and check the status of outstanding issues. Members of staff should be consulted to determine if there are any issues that need to be included on the agenda.

An agenda also provides adequate notice to staff about when and where the meeting will be held.

Issues that are discussed and outcomes agreed from the meeting should be documented through the Meeting Minutes. The minutes should outline HSE issues, establish action items and responsibilities.

Once the minutes are written up, they should be distributed to all employees.

Resolve HSE problems

Attempts to resolve matters that may pose a risk to health and safety should be resolved through a procedure established in agreement between management and employees

The procedure outlined in this flowchart is as follows:

- An employee should initially report an HSE problem to their respective Supervisor/Manager.
- The employer must consider the matter and respond in a timely manner
- If the matter is not resolved within this timeframe, management or the employee can request an investigation by the HSE Statutory Authority.

The Resolution of a HSE Problem Flowchart outlines the steps to take for resolving a HSE matter. This flowchart should be readily available to all employees and displayed in the workplace.

Review and adapt the Resolution of a HSE Problem Flowchart for your organisation

Consultation Mechanisms Table

	Effective Consultation	Ineffective Consultation
Timing of consultation	Conducted early, before agenda is set and decisions are made	Conducted after the employer has made decisions
Employer's role	Interested in and values employees' perspectives	No recognition or appreciation of employee viewpoints
Employees' role	Proactive about suggesting ideas	Reactive at best, or no opportunity to input
Interaction style	Planned, genuine, collaborative sense of ownership	Directionless, token, sporadic, uninvolved
Attitude toward each other	Trust, mutual respect	Mistrust, alternative viewpoints not valued

	Effective Consultation	**Ineffective Consultation**
Process	Allows for employee participation	Restricts employee participation
Communication	Opportunities for one-to-one communication with employees; clear and regular feedback	No direct communication with employees; no feedback
Safety outcomes	Improvements to systems, procedures, etc.	No improvement or change

You should consult your employees and agree on the nature and timing of reviews of the consultative arrangements.

D4   Example HSE Employee Consultation Policy

Company commitment
The organisation is committed to protecting the health and safety of all our employees, clients, visitors and contractors. It is committed to achieving the highest standards and performance in occupational health and safety. In doing so, the organisation will consult with their employees and contractors in implementing safety practices and systems that will ensure the health, safety and welfare of all persons at the workplace. An Agreed Arrangement will be established to consult on health and safety in the workplace.
Face to face consultation
Employees should raise any HSE issues or concerns directly with their Manager. When a HSE issue is raised by any number of employees, the Manager and Senior Manager / Managing Director / CEO will discuss the issue with the employee/s and determine an appropriate solution or corrective action to address the issue.
How Employees will be consulted about HSE
Employees must report to their Supervisor any health and safety concerns that they have about the workplace so any issues can be promptly addressed.
Establishment of consultation arrangements
The organisation discussed consultation arrangements with its employees in [insert date]. A memo was sent out to all employees outlining the consultation arrangements required by legislation to consult on health and safety issues.
Review of consultation arrangements
In agreement with the organisation and their employees consultation arrangements will be monitored and reviewed annually to ensure that consultation with all employees is effective and that all safety issues are being addressed.

SIGNED: _____

DATE: _____

D5 Example Indigenous Employment Checklist

How to use this template

This checklist provides an overview to good practice in Indigenous Employment that an Indigenous business could use to develop its own Indigenous Employment Strategy. The checklist below assumes that the business concerned is sufficiently large to require a detailed employment strategy. As such, smaller businesses may not necessarily need to address all of these areas to fulfil their Indigenous employment requirements.

Note - This document is an example and may not be appropriate for all businesses.

Reference	Indigenous Employment Checklist
1.	**Employment Preparation and Pathway Development**
1.1	Understand the capacity of local communities: Companies investing in long-term Indigenous employment should understand the employment capacity of the local communities to ensure that any employment and pre-employment training programs reflect needs of this group.
1.2	Pathways: A good employment preparation program has a clear set of pathways allowing diverse individuals in a target group to systematically eliminate barriers to their employment.
1.3	Partnerships: Increasingly, employment preparation programs require partnerships with organisations that can assist participants with serious personal, health and other issues.
1.4	Trainers: Employment preparation is as much personal development as skills transfer. Skilled trainers with a strong personal commitment to the success of trainees, a good local knowledge and effective pedagogy are essential.
1.5	Quality and business ownership: Quality employment preparation is rarely outsourced. It depends on strong ownership by the business
2.	**Recruitment and Support Services**
2.1	Keep it local: Centralised recruitment systems and standard processes do not work. Effective Indigenous employment depends on a strong local focus - knowledge, skills and relationships. Using local recruitment staff can lead to effective communication with applicants and improved decision making.
2.2	Indigenous employment preference and fair assessment: Establishing an Indigenous preference in recruitment, where Indigenous people who can do the job are given the job is critical. So is adapting assessment processes to remove cultural biases and focus on the success criteria for a role.
2.3	Support Services: Support personnel with detailed local knowledge, knowledge of the business and its systems and the ability to work closely with operational leaders are essential.
2.4	Leadership: No amount of support services can substitute for well trained and

Reference	Indigenous Employment Checklist
	incentivised leaders who understand Indigenous employment issues and practical techniques to manage them.
3.	**Human Resources**
3.1	Leadership: Strong corporate leadership is necessary to drive the Indigenous Employment Strategy and clear any blockages which exist in implementation.
3.2	Collaboration: Human resources must co-manage Indigenous employment strategy and implementation with other parts of the business – particularly Community Relations and Corporate or External Affairs
3.3	Innovation: The business must be prepared to try new policies, practices and approaches. If business as usual worked, there would be no need for a strategy.
3.4	Local Focus: A locally focused HR team must be established to coordinate local Indigenous recruitment, employee support and performance issues. This team must have strong local knowledge and relationships.
3.5	Leading and working in diverse teams: A critical function of HR, in collaboration with other parts of the business, is to provide practical, locally-oriented training to help leaders and team members work together in culturally diverse teams.
4.	**Social Investment: Education and Capacity Building**
4.1	Long term social investments: Best practice businesses will often make short, medium and long term investments that endure in the community, and are not simply focused on short-term results.
4.2	Investments in local communities: Effective social investment should start with issues which can realistically be addressed and target local gaps in wellbeing and educational achievement. This will in turn over time support an increase in Indigenous transition from education into company employment pathways.
4.3	Corporate /Community Partnerships: Frequent and structured school engagement is critical to identifying potential employees and keeping strong links with the local school. Similarly, Corporate/community partnership should be focused on direct achievable deliverables.
4.4	Cultural Diversity: Mainstream education disadvantages many Indigenous children by failing to address linguistic and cultural differences and generational disengagement with formal education. Effective education and capacity building programs need to account for cultural differences such as language and parental experience of education.

D6   Example Roles and Responsibilities Document

The roles and responsibilities of employees within regarding HSE are below.

What is the role of the Managing Director in HSE?

The Managing Director is responsible for HSE at the workplace and duties include:

- implementing the HSE Management Plan;
- introducing the necessary controls to minimise HSE risks;
- establishing communication protocols with contractors to reduce risks;
- deciding when training on HSE is required;
- promoting sound HSE practices and emphasising the importance of HSE to employees;
- ensuring safe equipment and plant is provided and maintained;
- reviewing HSE reports and inspections, and following up on recommendations;
- coordinating incident investigations and reporting to the controller of the workplace and relevant authorities, as required;
- coordinating HSE meetings and programs;
- monitoring compliance with the HSE Management Plan; and
- assisting injured employees to return to their pre-injury duties as soon as practicable after a work related injury.

What is the role of the Supervisor(s) in HSE?

A Supervisor responsible for HSE at the workplace and duties include:

- implementing the HSE Management Plan;
- observing all HSE rules and regulations;
- making sure that work activities are carried out in a safe and environmentally sound manner;
- planning to do all work safely;
- providing advice and assistance on HSE matters to employees;
- recommending when training on HSE is required;
- actioning HSE reports and carrying out workplace inspections;
- setting up HSE meetings and programs;
- helping to prepare Safe Work Procedures for the organisation's work activities;
- investigating hazard reports and ensuring that they are completed and corrective actions undertaken;
- carrying out project inductions and Toolbox meetings;
- being a part of incident investigations;
- leading by example and promoting sound HSE practices;
- undertaking inspection of the contracted or planned works to ensure that HSE control

measures are implemented and effective; and
- other HSE duties as directed by their Line-Manager.

What is the role of the HSE Coordinator?

The HSE Coordinator is responsible for HSE at the workplace and duties include:
- assisting the Works Supervisor to develop and implement the HSE Plan;
- providing advice on HSE to all employees;
- determining HSE legal requirements for the work activity or trade;
- making sure HSE work procedures are followed;
- coordinating injury management / return to work for injured employees;
- reviewing HSE reports and inspections;
- setting up and being a part of HSE meetings and programs;
- setting up Toolbox Meetings on a regular basis;
- insisting on sound HSE practices at all times;
- setting up and conducting HSE inductions;
- conducting incident investigations;
- communicating with the Manager/ Supervisors on HSE matters;
- making sure records are kept under these guidelines;
- being part of inspections and ensuring recommendations are completed;
- other HSE duties as directed by the Manager; and
- communicating HSE performance to the Manager.

What is the role of the Injury Management Coordinator?

The Injury Management Coordinator is responsible for the management of injuries at the workplace and duties include:
- assisting injured employees to return to their pre-injury duties as soon as practicable after a work-related injury;
- ensuring that, where appropriate, the injured employee is given access to occupational rehabilitation services;
- liaising with any rehabilitation or medical specialists;
- monitoring the progress of the injured employee's capacity to work;
- taking steps to prevent recurrence or aggravation of the relevant injury upon the injured employee's return to work; and
- providing assistance to meet all legal requirements regarding injury management and return to work.

All Employees

Are responsible for the following:
- working in a safe manner without risk to themselves, others or the environment;
- complying with the HSE Management Plan including all Safe Work Procedures;
- reporting all incidents to their Supervisor;
- reporting all injuries and illnesses to the designated First Aid Officer;

- reporting any HSE hazards to their Supervisor;
- reporting any faulty tools or plant to the Supervisor;
- complying with site rules;
- correctly using all personal protective equipment; and
- complying with emergency and evacuation procedures.

D7   Example Competency Observation Checklist

How to use this template

This document is an example of the type of document that an Indigenous business could use to assess the competency of an individual against key competency criteria to assess their capacity to undertake a task or operate a machine / item of equipment.

Note - This document is an example and may not be appropriate for all businesses.

Candidate's Name	
Assessor or Observer's Name	
Equipment / Task / Machine	
Date of Assessment	
Location	
Demonstration Tasks	

Tasks to be observed	*Yes/No*	*Comment*

The candidate's performance was	Not Satisfactory	Satisfactory
Feedback to candidate:		
Candidate signature:		
Assessor/Observer signature:		

D8   Example Employee Details Sheet

Name (First / Middle / Last)	
Employee Number / Payroll Number	
Date of Birth	
Home Address	
Postal Address (if different)	
Emergency contact details (Provide details of a person(s) to be contacted in the event of an emergency. (Name / Address / Phone Number)	
Tax File Number	
Bank Details: (BSB / Account Number)	
Would you like to use our default superannuation provider?	Yes □ No □
If no, please provide superannuation fund details	Superannuation Provider:_____ ABN:_____ Member number_____

I declare that the details above are true and correct:

_____   _____ / _____ / _____

D9   Example Application for Employment

Position applied for:			
Surname:		**First names:**	
Address:			
Phone:	**Home:** **Mobile:**		
Date of birth:		**Age:**	
In case of an emergency notify:			
Name and Address:		**Phone**	**home:** **mob:**

Physical/Health History

IMPORTANT

Section 79 of the Workers Compensation and Rehabilitation Act 1981

"Where it is proved that the worker has, at the time of seeking or entering employment in respect of which he/she claims compensation for a disability, wilfully and falsely represented themselves as not having previously suffered from a disability, a dispute resolution body may in its discretion refuse to award compensation which otherwise would be payable."

Worker to complete: (please circle your answer, these may be discussed further)			If Yes, please explain
Are you required to take medication which may affect your work performance?	Yes	No	
Are you required to take medication which may affect your attendance at work?	Yes	No	
Are you willing to take a medical examination?	Yes	No	

Are you willing to take random alcohol and other drugs test?	Yes	No	
Have you had time off work in the last year for illness or injury?	Yes	No	
Are you currently being treated by a doctor for any illness or injury?	Yes	No	
Have you had injury or illness which may impact on your ability to do the job?	Yes	No	
Have you a current Workers Compensation claim?	Yes	No	
Do you or have you ever had back, neck, shoulder, knee or joint problems?	Yes	No	
Is there any reason why you cannot wear safety or protective equipment?	Yes	No	
Have you had a Tetanus injection in the last ten years?	Yes	No	
Have you ever been refused life insurance, disability insurance, employment or military service?	Yes	No	
Are you affected by heights or confined spaces?	Yes	No	
Do you have any known allergies: (e.g. medications / foods / other, please specify)	Yes	No	

Place an X in the box beside each activity with which you have difficulty

☐ Running 100 metres ☐ Crouching ☐ Standing for two hours ☐ Gripping firmly with both hands ☐ Hearing a normal conversation ☐ Understanding English	☐ Climbing a ladder ☐ Kneeling ☐ Lifting or bending ☐ Using hand tools ☐ Reading ordinary print	☐ Walking on rough ground ☐ Sitting for two hours ☐ Turning your head rapidly ☐ Repetitive movements of the hands or arms ☐ Concentrating on what you are doing

Please comment on those marked with an X

Have you had any exposure to the following in your past jobs?

If Yes please give details

Loud noise/explosives/gunfire	Yes	No	
Asbestos	Yes	No	

Chemicals	Yes	No	
Radiation	Yes	No	
Dust	Yes	No	

Details of previous employers

Dates	Company	Position	Duties	Reason for leaving
Have you been previously employed by this company?			Yes ☐ No ☐	

List three professional referees:

Name	Company	Address	Position	Phone

Driver's License No		State		Class		Expiry date	

Please list any certificates or training you have or are undertaking on the back of this sheet.

Declaration

I solemnly declare that the information provided above is true to the best of my knowledge and belief. I understand that any false or misleading information may result in termination of employment. I understand that I may also be required to undergo health tests on commencement and termination of employment.

Applicant's signature:		**Date:**	

D10   Example Work Expectations Pre-employment Medical document

Dear Doctor

Mr/Ms/Mrs/Miss _____

has applied for a position as a [INSERT POSITION**]** at [INSERT COMPANY] on a Full-time / Part time employment basis.

The Conditions set out below are for work with [INSERT COMPANY].

In order to ensure their health and fitness for the position we would appreciate it if you would conduct a pre-employment medical assessment. A brief outline of the position requirements are identified below.

Job Description

(Insert brief description of job requirements)

Attach Copy of Job Specification

WORK ORGANISATION		PHYSICAL DEMANDS	
Average hours worked per week		Frequent manual handling	
Shift-work Rotating		Weight range in KG	
Distance driving/passenger		Repetitive tasks	
Working Alone		Repetitive hand movements	
Hours spent driving		Shovelling / sweeping pens	
Night driving		Standing	
		Sitting	

WORKING ENVIRONMENT		HAZARDOUS SUBSTANCES _____	
Confined Space Work		Working with chemicals. List any hazardous substances below:	
Walking on uneven ground			
Work in hot/cold environments			
Noise			

EQUIPMENT OPERATION

PERSONAL PROTECTIVE EQUIPMENT

Operation of machinery	
Use of hand tools (describe tools)	
Driving-type of vehicle	

Wearing safety glasses required	
Use of dust mask/respirator	
Wearing ear plugs/muffs	
Wearing safety shoes	

It would be appreciated if you could assess our prospective employee's fitness for the position given the information provided above. Thank you for your time.

Please provide the assessment results to, or obtain further information from:

NAME: **POSITION**:   **TELEPHONE**:

D11   Example Job Description Form – IT Support Engineer

[INSERT COMPANY NAME] **Job Description Form – [INSERT POSITION]**	
Job title: IT Support Engineer	
Work Location: Port Hedland	
Division/Department: IT Section	
Reports to: Reports to the Manager of Customer Service Technical Support	
■ **Full-time** ☐ **Part-time**	

Essential Duties and Responsibilities:

IT Support Engineer for [INSERT COMPANY NAME]'s Western Australian operations. Candidate will possess a broad technical knowledge of analogue, digital and VoIP voice services; IP networking; and data service provision. Candidate will be highly experienced in providing excellent customer service and problem escalation/resolution.

Primary Job Functions:

Provide IT support to xxx company employees. Provide troubleshooting and technical support via phone, web based tools and email. Advise employees and contractors regarding the product's proper use and address specific user issues.

Required Skills:

- Strong understanding of xxxx applications and xxxx configuration.

- Strong technical and analytical skills.

- Solid experience in problem analysis and resolution of software problems.

- Proven ability to function in a self-directed environment.

- Must excel in a fast-paced, agile environment where critical thinking and strong problem solving skills are required for success.

- Innovative thinker who is positive, proactive, and readily embraces change.

- Ability to handle clients professionally during all interfaces.

- Sales support to help resellers and end users select, optimal installation configurations in a complex network environment.

- Strong written and verbal communication skills.

Desired Skills:

Experience in troubleshooting and IT support.

Experience:

2+ years of Telecom and Networking experience in a technical support/help desk environment.

Education and/or Work Experience Requirements:

- Excellent verbal and written communication skills, including ability to effectively communicate with internal and external customers

- IT degree qualification

- Must be able to work under pressure and meet deadlines, while maintaining a positive attitude and providing exemplary customer service

- Ability to work independently and to carry out assignments to completion within parameters of instructions given, prescribed routines, and standard accepted practices

Financial delegations

[*List any financial delegations that are associated with the post (e.g. if they have purchasing authorisation up to a certain $ limit)*]

Physical Requirements:

What is physically required to perform the daily tasks and job duties? Be specific. Some examples are:

- *Ability to safely and successfully perform the essential job functions consistent with state and local standards, including meeting qualitative and/or quantitative productivity standards.*

- *Ability to maintain regular, punctual attendance consistent with the state and local standards*

- *Must be able to lift and carry up to 25 KG*

- *Must be able to talk, listen and speak clearly on telephone*

Print Employee Name: Joe Bloggs

Employee signature: **Date:**

D12   Example Induction Checklist

Employee Name	
Employment Date	
Position/Job	
Manager/Supervisor	
Department	
Section	

Stage One: General induction on first day
Induction: (example)   o   Nature and structure of the business   o   Roles of key people in the organisation
Employment Conditions: (example)   o   Job description and responsibilities   o   Work times and meal breaks   o   Time recording procedures   o   Leave entitlements   o   Notification of sick leave or absences   o   Out of hours enquiries and emergency procedures
Work Environment: (show)   o   Dining facilities   o   Wash and toilet facilities   o   Locker and change rooms
Payroll: (explain)

Stage One: General induction on first day

- o Rates of pay and allowances
- o Pay arrangement
- o Taxation (including completion of the required forms)
- o Superannuation and any other deductions
- o Union (membership) and award condition

Health & Safety: (explain)

- o HSE policy and procedures
- o Roles and responsibilities for health and safety
- o Health and safety consultative and communication processes
- o Incident reporting procedures
- o Workers compensation claims process and rehabilitation

Other Issues

- o Security procedures
- o Quality management policy and procedures
- o Environmental management policy and procedures
- o Equal employment opportunity
- o Sexual harassment

Conducted by:

 (name)   (sign)   Date: / /

Employee's signature: Date: /   /

Stage Two: On the job induction(to be conducted by Supervisor)

Orientation: (tour of premises)

Stage Two: On the job induction(to be conducted by Supervisor)
o   Work area/s – tools, machinery and equipment used for the job.   o   Wash and toilet facilities.   o   Dining facilities.   o   Location of first aid facilities such as the first aid box/room.   o   Location of emergency exits and fire extinguishers.
Meet key people: (introduce the new start to):   o   Health and Safety Representative   o   Union delegate   o   First aider and emergency warden   o   Payroll officers / human resource staff   o   Team members
Health & Safety: (explain key issues to new start)   o   Roles and responsibilities for health and safety   o   Information on hazards present in the workplace and controls   o   Roles of the Health & Safety Representative/health & safety committee   o   Health and safety consultation and communication process   o   Incident reporting procedures, including the location of forms that need to be completed   o   Emergency procedures, including emergency exits and equipment   o   safe use and storage of hazardous substances, including material safety data sheets   o   worker compensation and rehabilitation procedures and forms
Security   o   Building/s   o   Personal and security of personal belongings   o   Cash
Training

Stage Two: On the job induction(to be conducted by Supervisor)
o On-the-job training in safe work procedures   o First aid, fire safety and emergency procedures training   o Hazard specific training e.g. Manual handling, hazardous substances and plant   o Training specific to the job, such as if a license or permit is required e.g. Forklift driving
Review: (start follow-up after one week)   o Review work practices and procedures with the worker   o Answer and ask questions   o Repeat any training required to provide additional training if needed
Conducted by: (name)   (sign)   Date: /   /   Employee's signature: Date: /   /

D13   Example Interview Evaluation Form

Position Title: _____

Job Number_____

Interviewer(s): _____

Date of Interview _____

KEY	PURPOSE
NS: Not Satisfactory S: Satisfactory VS: Very Satisfactory NA: Not Relevant	This evaluation is to standardize the recording of information collected during the review of application materials or interview and assist in evaluating and comparing different applicants when interviews are completed. This sheet is to be attached for each applicant interviewed and when the recommended applicant's name is submitted. Please attach additional sheets, if needed.

	NA	S	VS	NS	COMMENTS
EXPERIENCE: (as it relates to the position)					
EDUCATION/ TRAINING: (relevant to position)					
COMMUNICATION ABILITY (written and verbal)					
INTEREST IN POSITION AND COMPANY					
PRESENTATION: (Promptness, neatness of resume/application, appearance)					
PROBLEM SOLVING SKILLS:					
COMPUTER SKILLS: (are skills consistent with					

those required to perform the duties of the position)					
JOB STABILITY:					

INTERVIEW EVALUATION FOR: _____

Interview Date: _____

1. The applicant has the knowledge, skills, and abilities to perform the duties of this position:

Strongly Agree / Agree / Disagree / Could not determine

2. The applicant views this position with excitement and enthusiasm:

Strongly Agree / Agree / Disagree / Could not determine

3. The applicant has the appropriate level of experience necessary for this position:

Strongly Agree / Agree / Disagree / Could not determine

4. The applicant has the knowledge, skills, and abilities to handle the administrative tasks of this position which includes selection, orientation and development of the staff:

Strongly Agree / Agree / Disagree / Could not determine

5. The applicant displayed the ability to motivate and lead the staff:

Strongly Agree / Agree / Disagree / Could not determine

6. The applicant displayed ability to communicate well with all levels within the institution and if applicable, with the local community:

Strongly Agree / Agree / Disagree / Could not determine

7. The applicant should be included in the final list of recommended applicants:

Strongly Agree / Agree / Disagree / Could not determine

8. Please provide any comments you have about this candidate:

_____
_____
_____
_____
_____
_____
_____

Completed by: _____

Date_____

D14   Example Subcontractor Management Procedures

How to use this template

This document is an example of the procedures that an Indigenous business could introduce to assist in the management of its subcontractors. It is important to note that the subjects covered in a subcontractor management policy may vary depending on the extent of subcontracting in the business and the size of the subcontracts that exist (e.g. if an Indigenous business only has one subcontractor in place for a relatively small piece of short-term work then they may not need to implement all of these procedures). However, this template provides an example that a company can then tailor to their own needs.

Note - This document is an example and may not be appropriate for all businesses.

1   Management practices

Successful projects that involve subcontractors all exhibit similar characteristics.

- They all have clear and unambiguous subcontracts established that include a Statement of Work.

- The efforts of all subcontractors are integrated into a cohesive project plan with all subcontractors understanding where their efforts fit into the overall picture.

- The formal and informal interfaces between the prime contractor and the subcontractors, as well as among the subcontractors, are documented.

- Before starting specific work, the subcontractors are granted authorisation to proceed.

- A formal team building process is established and implemented.

These practices all contribute to reducing the risk of misunderstandings or isolationism

2   Establishing clear subcontracts

Each subcontractor will have a legally binding, written contract that defines the following items.

a. The legal names of the parties involved in the contract will be specified.

b. The scope of the contracted work (contained in an attached Statement of Work), will be described in terms of:

    i. the responsibilities and authorities of each party to the contract,

    ii. a clear definition of the deliverables and minimum content to be provided by the subcontractor,

    iii. a clear definition of the services to be provided by the subcontractor,

    iv. any and all constraints imposed on the subcontractor by the prime contractor, such as schedule constraints, budget constraints, specific tools to be used, and

    v. a clear statement of requirements for quality of deliverables and services including the requirement to allow independent quality inspections of materials and processes.

c. Appropriate terms and conditions which will be imposed on both the prime contractor and the subcontractor will be identified.

d. The acceptance process will be clearly identified.

3 Work effort integration

The work of all subcontractors should be coordinated by the prime contractor to assure that the efforts of all parties are integrated into a cohesive whole through the processes of concurrent engineering and top-down project control.

4 Interfaces between prime contractor and subcontractors

Each subcontractor organisation will have a single point of contact with the prime contractor for contractual matters. The subcontractors are expected to identify their own single point of contact for contractual matters. On a day-to-day basis, all subcontractor personnel will be free to interact with any prime contractor personnel as needed to fulfil the subcontract.

5 Work authorisation

Before starting to undertake work, the subcontractor must first receive a signed Work Authorisation Form. The Work Authorisation Form will authorize the start of work, will identify the deliverable(s) of the activity, will identify budget and schedule constraints, will identify the responsible manager, and will identify the reviewers and acceptors of the products or services. When the authorised work is complete, the Work Authorisation Form will be closed, and the authorization withdrawn.

6 Progress reporting

The contractors must keep [INSERT COMPANY NAME] aware of the progress of their project work on a regular basis. The subcontractors will report progress on a weekly or monthly basis as required by the contract manager.

Format of progress reports

The progress reports submitted by subcontractors to the [INSERT COMPANY NAME] project team will be in the form of a weekly progress report or monthly progress report. The report will identify:

a. authorised work that was scheduled to be performed during the period,

b. progress made against that authorised work presented as:

1. a textual description of progress,

2. a list of internal milestones attained,

3. an accounting of the hours billed against that job by all subcontractor personnel, and

4. an assessment of the time (in hours) remaining to complete the activities,

c. a list of unplanned, but authorised work that was conducted, identifying the

number of hours spent,

d. authorised work that is scheduled to be performed during the next week, including any internal milestones expected to be reached, and

e. a brief description of any problems encountered in performing the activities of the Cost Account or warnings of schedule slippage.

The Progress Reports will be reviewed by their contract manager. Variance reports will be provided to Project Managers should the variance exceed the acceptable thresholds.

6.1 Contractor Issues Meetings

The Contract Manager will meet with the subcontractor on a regular basis (e.g. weekly or fortnightly) to discuss issues of concern to either party. The subcontractor delegate is usually a senior employee of the subcontractor who is not directly involved in the delivery of products or services. These meetings exist to facilitate the project and to remove any roadblocks to success.

6.2 Milestone Reviews

At key contractual milestones, a formal review will be conducted to assess the extent to which the subcontractor has delivered against their contracted KPI's and targets. Topics covered depend on the milestone but could include such items as:

a. where we are in the overall project schedule,

b. an overview presentation of the key points contained in the project deliverables that comprise that milestone,

c. a briefing on the quality of work achieved to date,

d. a briefing on the budget and schedule status with major variances clearly highlighted and plans for corrective action presented, and

e. discussion of any concerns and areas of poor contractor performance.

D15   Example HSE Training Matrix

Training Courses (date completed)

Employee Name	Working at Heights	Confined Spaces	Emergency Management	First Aid	Hazard Identification	HSE Risk Management	Off-road driving	Isolation	Hazardous substances
Joe Bloggs	11/11/11		02/02/09		15/12/11			16/03/08	
Henrik Larsson									
Chris Sutton		11/11/11		02/02/09		15/12/11			16/03/08
Jimmy Johnstone									
Kenny Dalglish	11/11/11		02/02/09		15/12/11				
Paul McStay					11/11/11		02/02/09		15/12/11
Roy Aitken			11/11/11		02/02/09		15/12/11		
Frank McGarvey				11/11/11		02/02/09		15/12/11	
Tommy Burns		11/11/11		02/02/09		15/12/11			

D16   Example Fair Work Information Statement

From 1 January 2010, this Fair Work Information Statement is to be provided to all new employees by their employer as soon as possible after the commencement of employment. The Statement provides basic information on matters that will affect your employment. If you require further information, you can contact the **Fair Work Infoline** on **13 13 94** or visit **www.fairwork.gov.au**.

►The National Employment Standards

The *Fair Work Act 2009* provides you with a safety net of minimum terms and conditions of employment through the National Employment Standards (NES).

There are 10 minimum workplace entitlements in the NES:

1. A maximum standard working week of 38 hours for full-time employees, plus 'reasonable' additional hours.

2. A right to request flexible working arrangements to care for a child under school age, or a child (under 18) with a disability.

3. Parental and adoption leave of 12 months (unpaid), with a right to request an additional 12 months.

4. Four weeks paid annual leave each year (pro rata).

5. Ten days paid personal/carer's leave each year (pro rata), two days paid compassionate leave for each permissible occasion, and two days unpaid carer's leave for each permissible occasion.

6. Community service leave for jury service or activities dealing with certain emergencies or natural disasters. This leave is unpaid except for jury service.

7. Long service leave.

8. Public holidays and the entitlement to be paid for ordinary hours on those days.

9. Notice of termination and redundancy pay.

10. The right for new employees to receive the Fair Work Information Statement.

A complete copy of the NES can be accessed at **www.fairwork.gov.au**. Please note that some conditions or limitations may apply to your entitlement to the NES. For instance, there are some exclusions for casual employees.

If you work for an employer who sells or transfers their business to a new owner, some of your NES entitlements may carry over to the new employer. Some NES entitlements which may carry over include personal/carer's leave, parental leave, and your right to request flexible working arrangements.

► Modern awards

In addition to the NES, you may be covered by a modern award. These awards cover an industry or occupation and provide additional enforceable minimum employment standards. There is also a Miscellaneous Award that may cover employees who are not covered by any other modern award.

Modern awards may contain terms about minimum wages, penalty rates, types of employment, flexible working arrangements, hours of work, rest breaks, classifications, allowances, leave and leave loading, superannuation, and procedures for consultation, representation, and dispute settlement. They may also contain terms about industry specific redundancy entitlements.

If you are a manager or a high income employee, the modern award that covers your industry or occupation may not apply to you. For example, where your employer guarantees in writing that you will earn more than the high income threshold, currently set at $123,300 per annum and indexed annually, a modern award will not apply, but the NES will.

Transitional arrangements to introduce the modern award system may affect your coverage or entitlements under a modern award.

► Agreement making

You may be involved in an enterprise bargaining process where your employer, you or your representative (such as a union or other bargaining representative) negotiate for an enterprise agreement. Once approved by the Fair Work Commission, an enterprise agreement is enforceable and provides for changes in the terms and conditions of employment that apply at your workplace.

There are specific rules relating to the enterprise bargaining process. These rules are about negotiation, voting, matters that can and cannot be included in an enterprise agreement, and how the agreement can be approved by the Fair Work Commission.

You and your employer have the right to be represented by a bargaining representative and must bargain in good faith when negotiating an enterprise agreement. There are also strict rules for taking industrial action. If you have enquiries about making, varying, or terminating enterprise agreements, you should contact the Fair Work Commission on 1300 799 675.

► Individual flexibility arrangements

Your modern award or enterprise agreement must include a flexibility term. This term allows you and your employer to agree to an Individual Flexibility Arrangement (IFA), which varies the effect of certain terms of your modern award or enterprise agreement. IFAs are designed to meet the needs of both you and your employer. You cannot be forced to make an IFA, however, if you choose to make an IFA, you must be better off overall. IFAs are to be in writing, and if you are under 18 years of age, your IFA must also be signed by your parent or guardian.

► Freedom of association and workplace rights (general protections)

The law not only provides you with rights, it ensures you can enforce them. It is unlawful for your employer to take adverse action against you because you have a workplace right. Adverse action could include dismissing you, refusing to employ you, negatively altering your position, or treating you differently for discriminatory reasons. Some of your workplace rights include the right to freedom of association (including the right to become or not to become a member of a union), and the right to be free from unlawful discrimination, undue influence and pressure.

If you have experienced adverse action by your employer, you can seek assistance from the Fair Work Ombudsman or the Fair Work Commission (applications relating to general protections where you have been dismissed must be lodged with the Fair Work Commission within 21 days).

► Termination of employment

Termination of employment can occur for a number of reasons, including redundancy, resignation and dismissal. When your employment relationship ends, you are entitled to receive any outstanding employment entitlements. This may include outstanding wages, payment in lieu of notice, payment for accrued annual leave and long service leave, and any applicable redundancy payments.

Your employer should not dismiss you in a manner that is 'harsh, unjust or unreasonable'. If this occurs, this may constitute unfair dismissal and you may be eligible to make an application to the Fair Work Commission for assistance. It is important to note that applications must be lodged within 21 days of dismissal. Special provisions apply to small businesses, including the Small Business Fair Dismissal

Code. For further information on this code, please visit http://www.fairwork.gov.au/Pages/default.aspx

► Right of entry

Right of entry refers to the rights and obligations of permit holders (generally a union official) to enter work premises. A permit holder must have a valid and current entry permit from the Fair Work Commission and, generally, must provide 24 hours notice of their intention to enter the premises. Entry may be for discussion purposes, or to investigate suspected contraventions of workplace laws that affect a member of the permit holder's organisation or occupational health and safety matters. A permit holder can inspect or copy certain documents, however, strict privacy restrictions apply to the permit holder, their organisation, and your employer.

► The Fair Work Ombudsman and the Fair Work Commission

The **Fair Work Ombudsman** is an independent statutory agency created under the *Fair Work Act 2009*, and is responsible for promoting harmonious, productive and cooperative Australian workplaces. The Fair Work Ombudsman educates employers and employees about workplace rights and obligations to ensure compliance with workplace laws. Where appropriate, the Fair Work Ombudsman will commence proceedings against employers, employees, and/or their representatives who breach workplace laws.

If you require further information from the Fair Work Ombudsman, you can contact the **Fair Work Infoline** on **13 13 94** or visit http://www.fairwork.gov.au/Pages/default.aspx

The Fair Work Commission is the national workplace relations tribunal established under the *Fair Work Act 2009*. The Fair Work Commission is an independent body with the authority to carry out a range of functions relating to the safety net of minimum wages and employment conditions, enterprise bargaining, industrial action, dispute resolution, termination of employment, and other workplace matters.

If you require further information, you can contact the **Fair Work Commission** on **1300 799 675** or visit **www.fwc.gov.au**.

The Fair Work Information Statement is prepared and published by the Fair Work Ombudsman in accordance with section 124 of the *Fair Work Act 2009*.

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D17 Example of a Long Service Leave Policy

How to use this template

This document is an example of the type of document that an Indigenous business could use to base its long service leave policy.

Note - This document is an example and may not be appropriate for all businesses.

POLICY	Long Service Leave	Doc No	POL 14 Rev 1 (01/14)

Definitions

"Accrual Period" means a designated period of time in which leave accrues. The period of time is dependent on the leave type.

"Continuous Service" is given in accordance with the contract of employment.

"Employee" means a person employed by [your company] who has an ongoing or fixed term contract.

"Excess Leave" means an annual leave accrual of more than eight weeks.

"FTE" means full time equivalent. For example an FTE of 1.0 means an employee is equivalent to full-time, while an FTE of 0.5 means the employee works half-time.

"Full Long Service Leave Entitlement" means actual leave accrued that an employee is entitled to, having completed a full accrual period.

"Pro Rata Leave" means the portion of leave that an employee has accrued prior to a full accrual period.

"Supervisor" means the person who is responsible for day-to-day supervision of the employee.

Policy statement

[Your Company] encourages employees to establish a balance between their working and personal lives. The purpose of long service leave (LSL) is to provide rest and recreation and to reward employees who have worked for [Your Company] for a long period of time.

Effective leave management is critical to the operation of [Your Company]. Supervisors are accountable for their employees' leave and are required to have leave management plans in place.

The provisions of this policy do not apply to casual employees.

1 Entitlements

1.1) Employees are entitled to 13 weeks LSL on full pay on completion of the first period of ten years continuous service.

1.2) Employees are entitled to an additional 13 weeks LSL on full pay on completion of subsequent periods of seven years continuous service. For the purposes of determining an employee's entitlement, 'continuous service' will include any period during which an

employee is absent on full or part pay,

1.3) For the purposes of determining an employee's entitlement, 'continuous service' will NOT include -

- Any period greater than two weeks leave without pay.
- Any period between the granting of a deferment and the date the employee retires or clears a full entitlement, if the employee does not retire on the date nominated,
- Any period of service that was taken into account in ascertaining the amount of lump sum payment in lieu of LSL.
- Any period of service between the date of an extension of this policy and the date the employee clears the LSL when the employee does not clear the LSL by the agreed extension date.

2. Pro-Rata

2.1) Employees may access their pro-rata LSL entitlement after seven years in the first and subsequent qualifying periods.

2.2) Employees may access their pro-rata LSL entitlement after seven years in the first qualifying period and each three and a half years of second and subsequent qualifying periods.

2.3) Employees with excess annual leave should reduce their annual leave before accessing pro-rata LSL.

2.4) Employees who have accessed pro-rata LSL are not required on resignation to repay any monies representing the pro-rata leave.

3. Notice to Apply

3.1) Notice of More Than Six Months - When notice is submitted more than six months before commencement of LSL, the timing will be at the employee's choosing. In exceptional circumstances, when arrangements cannot reasonably be put in place, [Your Company] may not approve this leave.

3.2) Notice of Less Than Six Months - When notice is submitted less than six months before the anticipated commencement of LSL, consideration by [Your Company] for approval will be considered subject to the operational requirements of [Your Company]. Approval of leave shall not be unreasonably withheld.

4. Clearance of Leave

4.1) Employees are expected to clear actual LSL entitlements as soon as possible and within five years of the entitlement becoming due.

4.2) Employees who do not clear the full LSL entitlement within five years will cease to accrue any further LSL until the entitlement is cleared.

5. Extension/Deferment to Clearance of Leave

5.1) When LSL is denied on the basis of this policy, the employee is deemed to have approval to defer taking long service leave. Alternative arrangements for clearing leave are to be agreed within one month of the leave being denied, and at the employee's convenience.

5.2) In exceptional circumstances operational requirements of a work area may prevent an

employee from clearing their LSL within five years of the entitlement becoming due. In these circumstances [Your Company] will approve an extension mutually agreed between [Your Company] and the employee.

6. Conditions of Payment

6.1) Employees may apply for LSL at:

- full pay, or
- double the period of entitlement on half pay, or
- half the period of entitlement on double pay, or
- any combination of the above.

6.2) Employees who had variations in hours or whose hours during the accrual period were less than their ordinary working hours at the commencement of LSL, may elect to take a lesser period of LSL calculated on the average full time equivalent (FTE).

6.3) Long service leave is calculated at the rate of salary of an employee at the date of retirement, resignation or death.

7. Illness While On Long Service Leave

7.1) Where an employee is ill for a period of time during LSL, refer to leave provisions contained within the Personal Leave policy.

8. End of Year Closedown and Public Holidays

8.1) Public holidays observed by [Your Company] (including end of year closedown period) that occur during an employee's LSL absence will not be debited from the employee's leave balance.

8.2) Public holidays not observed by [Your Company] that occur during an employee's LSL absence will be debited from the employee's leave balance.

9. Termination/Retirement

9.1) Accrued Long Service Leave - Employees whose appointment ceases for any reason will be paid any accrued LSL (excluding pro-rata) as at the termination date.

9.2) Pro-rata Long Service Leave - Employees who are not resigning or expiring from [Your Company] will receive a lump sum payment for pro-rata LSL where:

- an employee genuinely retires. This would be where the employee qualifies for the Aged Pension or qualifies to access a superannuation benefit and the employee intends to leave the paid workforce prior to the date of retirement.
- an employee is retired for ill health or any other cause and the employee has completed at least three years continuous service prior to the date of retirement,

- employment has been terminated by [Your Company] for any reason other than serious misconduct and the employee has served a minimum continuous period of employment for five years,
- an employee who has died has completed at least 12 months continuous service prior to the date of death, with the payment being made to an estate or other nominated person approved by [Your Company].

9.3) Employees are not obliged to take long service leave within 24 months of the intended date of retirement.

D18 Long service leave and the National Employment Standards Factsheet

Australia's new workplace relations system

From 1 July 2009, most Australian workplaces are governed by a new system created by the *Fair Work Act 2009*.

The Fair Work Ombudsman helps employees, employers, contractors and the community to understand and comply with the new system. We provide education, information and advice, investigate workplace complaints, and enforce relevant Commonwealth workplace laws.

Long service leave forms part of the National Employment Standards (NES). As of 1 January 2010, the NES apply to all employees covered by the national workplace relations system, regardless of the applicable industrial instrument or contract of employment.

Terms in awards, agreements and employment contracts cannot exclude or provide for an entitlement less than the NES, and those that do have no effect. An employer must not contravene a provision of the NES. A contravention of a provision of the NES may result in penalties of up to $10,200 for an individual and $51,000 for a corporation.

In addition to the NES, an employee's terms and conditions of employment generally come from an award or agreement. All references to an award or agreement in this fact sheet includes modern awards, enterprise agreements, and award or agreement-based transitional instruments.

Overview

The NES set out the entitlement to long service leave. This entitlement is a transitional entitlement pending the development of a uniform national long service standard.

What entitlements to long service leave will apply?

Under the NES, an employee is entitled to long service leave in accordance with their applicable pre-modernised award. Modern awards (from 1 January 2010) cannot include terms dealing with long service leave.

However, an employee's long service leave entitlement derived from a pre-modernised award does not apply where:

- a collective agreement, an Australian Workplace Agreement (AWA) made after 26 March 2006, or an Individual Transitional Employment Agreement (ITEA) came into operation before the commencement of the NES, and applies to the employee *or*

- one of the following kinds of instruments came into operation before the commencement of the NES, applies to the employee, and expressly deals with long service leave:

- an enterprise agreement – agreements made after 1 July 2009 and approved by the Fair Work Commission

- a preserved State agreement – an agreement made in the State system before 26 March 2006

- a workplace determination – made by the Fair Work Commission

- a certified agreement – an agreement made before 26 March 2006

- an AWA – made before 26 March 2006

- a section 170MX award – an award made by the Australian Industrial Relations Commission (AIRC) before 26 March 2006 after terminating a bargaining period

- an old IR agreement – an agreement approved by the AIRC before December 1996.

When one of the above specified instruments ceases to operate, an employee is entitled to long service leave in accordance with an applicable pre-modernised award.

Interaction between State and Territory long service leave laws and enterprise agreements

The content of an enterprise agreement made during the period 1 July 2009 – 31 December 2009 will prevail over State or Territory long service leave laws.

From 1 January 2010, if a pre-modernised award does not apply to an employee, any entitlement to long service leave will be derived from applicable State or Territory long service leave laws. The State or Territory long service leave laws generally prevail over any provisions in an enterprise agreement to the extent that they are inconsistent with those laws.

Agreement-derived long service leave entitlements

In some circumstances, the Fair Work Commission can make an order which preserves long service leave entitlements contained in a collectively bargained agreement (such as enterprise agreements, collective agreements, pre-reform certified agreements and old IR agreements). In this instance, the agreement terms prevail over the State or Territory long service leave laws.

This can occur where:

- the agreement came into operation prior to 1 January 2010

- the agreement has terms dealing with long service leave

- the agreement applies to employees in more than one State or Territory

- the agreement provides entitlements which are equal to or greater than the relevant State or Territory long service leave laws

- there are no applicable long service leave entitlements derived from a pre-modernised award which applies to the employees.

What if there are no applicable award or agreement-derived long service leave entitlements?

If there are no award or agreement terms regarding long service leave as set out above, the entitlement to long service leave comes from State and Territory laws. These laws are subject to the interaction with any transitional instrument that applies to the employees. Generally, these transitional instruments prevail to the extent of any inconsistency over any State or Territory long service leave laws.

What are the minimum long service leave entitlements?

Depending on the relevant State/Territory law or industrial instrument (such as an award or agreement), an employee may be entitled to long service leave after a period of continuous service ranging from seven to fifteen years with the same or a related employer.

Untaken long service leave is usually paid on termination, although this can depend on the circumstances of termination. Depending on the relevant law or instrument, an employee may be eligible for a pro-rata payment on termination after a minimum period of five years continuous service.

Can an enterprise agreement discount periods of service for long service leave?

Where an enterprise agreement replaces a collective or individual agreement or other specified instrument (such as a workplace determination) that operated before the commencement of the NES, and stated the

employee was not entitled to long service leave, an employee's service under the former agreement can be discounted for the purpose of long service leave.

The enterprise agreement may include terms that an employee's service with the employer during a specified period does not count as service for determining long service leave entitlements under either the NES or a State or Territory law. The period is some or all of the period when an employee was covered by the collective or individual agreement or other specified instrument (such as a workplace determination).

If the enterprise agreement includes terms excluding prior service, it does not count as service for determining long service leave entitlements under either the NES or a State or Territory law. However, the period for long service leave entitlement purposes can be reinstated by a later agreement, either through an enterprise agreement or a contract of employment.

Further Information

The Fair Work Ombudsman has published a fact sheet on each NES entitlement. For further information on a specific NES entitlement, please see the relevant fact sheets at http://www.fairwork.gov.au/Pages/default.aspx

The Fair Work website also provides templates for long service leave application forms and an employee leave records template.

Long service leave is provided for by section 113 of the *Fair Work Act 2009*.

For further information, visit http://www.fairwork.gov.au/Pages/default.aspxor contact the Fair Work Infoline on **131394**.

Related publications

Introduction to the NES Maximum weekly hours and the NES Requests for flexible working arrangements and the NES Parental leave and related entitlements and the NES Annual leave and the NES Personal/carer's leave and compassionate leave and the NES Community service leave and the NES Public holidays and the NES Notice of termination and redundancy pay and the NES Fair Work Information Statement and the NES

D19   Example Recruitment Procedure

How to use this template

This document is an example of the type of document that an Indigenous business could use to base its own recruitment process.

Note - This document is an example and may not be appropriate for all businesses.

1.   Introduction

1.1   The aim of this procedure is to ensure that a fair, consistent, non-discriminatory and effective practice is adopted in all areas and at all stages of the organisation's recruitment process. This policy applies to the recruitment of permanent, fixed term and seasonal staff.

2.   Establishment of a vacancy/authority to recruit

2.1   A vacancy may arise from either the resignation/dismissal of an employee in an established post or, the creation of a new post approved by the [Your Company] CEO.

2.2   Where the vacant post is a previously established post and the CEO wishes to recruit to the vacancy, (it is not automatically assumed that 'like for like' recruitment is to immediately follow a resignation, there may be operational reasons for a delay; the opportunity to make changes to the post). The CEO will progress the vacancy or give approval for this to go ahead – recruitment advertising; putting together the recruitment pack; arranging the short-listing panel, advising upon interview questions etc. This is to ensure a consistent approach to recruitment is maintained.

2.3   Where a need has arisen for a new post to be created a development appraisal will be developed by [Your Company] management, outlining the request for a new post and why it is required. This appraisal requires details of the strategic and financial implications of the post, any funding that may be available, the length of time for which the post is required (permanent or temporary) and any conditions it is dependent upon – e.g. winning a contract. The development appraisal will include a job description and person specification.

3.   Recruitment advertising

3.1   All vacant posts will be advertised internally initially and where a suitable member of staff is not available internally then posts will be advertised externally.

3.2   All advertisements will carry a statement of equal opportunities and will state a closing date. The wording currently used is '[Your Company] is committed to a policy of equal opportunities and positively welcomes applications from all sections of the community'.

3.3   Advertisements will be placed in appropriate newspapers, websites and journals.

3.4   Care will be taken that nothing in any advertisement has the effect, albeit inadvertent, of discriminating against either sex or against any section of the population.

3.5   Copies of job advertisements will also be sent to other community organisations, where appropriate.

4.   Use of recruitment agencies and consultants

4.1   In exceptional cases, it may be found necessary to use recruitment agencies or consultants to fill a particular post.

5.   Application forms

5.1   [Your Company] will use a standard application form for all posts.

5.2   As a general principle, only relevant information will be requested on the application form.

5.3   The application form is designed in such a way as to preclude Equal Opportunities information, name, address, age etc from the short-listing process. The EOP information supplied with the application form is used for monitoring purposes only.

6.   Information to applicants

6.1   All persons enquiring about a particular post will be supplied with an application form, job description, person specification and any appropriate additional general information about [Your Company] and its areas of work.

7.   Person specification

7.1   The CEO will draw up a person specification outlining the essential qualities and capabilities of the person needed for the job and other desirable attributes.

7.2   The person specification and relative scores for the required qualities shall be agreed by the CEO before interviewing takes place.

8.   Shortlisting

8.1   Initial shortlisting will be carried out on the basis of the candidates demonstrating on the completed application forms that they meet the essential requirements in the person specification for the post. The interview panel will shortlist applications using standard score sheets (attached at appendix B).

8.2   Persons carrying out shortlisting shall pay particular attention to the person specification and to applying consistent criteria to all applicants.

9.   Selection interviews

9.1   Selection interviews will be conducted for all posts.

9.2   The interview process may be one-stage or two-stage, depending on the type of post and number of applicants. In the case of senior posts, there will normally be an informal meeting with the CEO at the final interview stage.

9.3   All interview panel members must be involved in all stages of recruitment, and, wherever possible the same people should be involved in both the short listing and the interviewing process.

10.   Nature of interviews

10.1   In the first instance, the CEO will draw up a list of questions to be asked. As interviews will be structured, the questions will be planned and discussed in advance with each member of the panel covering specific, agreed areas. The interview process will be chaired by the CEO.

10.2   Attention shall be paid to covering the same ground in each interview so to ensure as much consistency of judgement as possible.

10.3   As a general principle, interview questions and techniques shall be geared to assessing a candidate's competence and experience to do the job in question.

10.4 The panel will take written notes during the interview of each candidate's response to questions for consideration at the end of the interview process. A standard format is attached.

10.5 Interview panels will be fully briefed in interviewing procedures prior to the commencement of the interviews.

10.6 The basis for scoring is established by the candidate having given either a full, adequate or inadequate response to questions. The panel would normally appoint a candidate who has achieved the highest score.

11. Internal candidates

11.1 Internal candidates will be short-listed and interviewed on the same basis as external applicants. No member of staff may participate in the short-listing for any post for which he/she has applied.

11.2 Internal candidates who wish to be considered for a vacancy do not need to complete an application form provided it is not more than one grade above the one you are. Should you wish to be considered for a vacancy please advise the CEO who will make sure your name is added to the list of applicants. If the post for which you have expressed an interest is either the same grade as your current post or the next grade up then you will be guaranteed an interview.

12. Reference checks

12.1 [Your Company] will contact previous employers to confirm the experience and qualifications of each applicant on the short-list. Where the response of the referee is negative or where the referee does not confirm the experience and qualifications of the applicant then that individual should not be included on the short-list.

13. Appointments

13.1 The interviewing panel will have absolute discretion whether or not to make an appointment. They will record their reasons for appointing or not appointing each candidate interviewed. If a consensus cannot be reached, the CEO's view will prevail.

13.2 The interviewing panel has the responsibility to come to a decision and re-interviews will not be held except in very exceptional circumstances.

13.3 [Your Company] should be prepared to give constructive feedback to unsuccessful candidates.

14. Written offer of appointment

14.1 A formal offer of appointment will be made to the successful candidate by [Your Company] following the selection process. This will be subject to completion of a pre-employment medical check, receipt of satisfactory references and, where appropriate, to the verification of any qualifications.

14.2 A minimum of two and maximum of three references are required from all employers for the previous three years, If the successful candidate is unemployed, the previous two employers.

14.3 The letter of appointment will be accompanied by a current job description and written statement of terms and conditions of employment.

15. Pre-Employment Medical Check

12.1 [Your Company] will require the successful candidate to attend a pre-employment medical check where a qualified GP will provide an assessment of the individual's capacity to undertake the role. The GP will be asked to complete the standard [Your Company] Pre-Employment Medical Check form which will be updated in advance of the check-up to provide the GP with information on the likely demands of the position concerned.

16. Probationary period

16.1 All appointments will be subject to a probationary period of six months. After the first three months of a person's employment with the organisation the CEO will complete a three month probationary report highlighting any areas for concern, which will have been discussed with the employee, for example poor sickness record, poor time keeping, unsatisfactory performance. At the end of the six months probationary period a further probation report will be completed to include the recommendation of one of the following courses of action:

- Recommending that the appointment be confirmed

- Recommending that the probationary period should be extended for a further period (of not usually more than three months) in order to allow the new employee to improve performance

- Recommending that the new employee should not be confirmed in post

17. Unsuccessful candidates

17.1 All unsuccessful candidates will be informed in writing of the outcome of their application. Where the response to advertisements is expected to be high, it may be appropriate to include a paragraph in the initial enquiry response letter stating that, "if an applicant has not been contacted to attend an interview by (date) they should assume that they have been unsuccessful on this occasion". If requested, feedback can be given to unsuccessful applicants.

18. Confidentiality

18.1 All application forms, assessment sheets and all written reports will be treated as strictly confidential and not divulged or discussed, except by shortlisting and interviewing panels.

19. Temporary & Sessional staff

19.1 In the event that existing staff are planning or known to be absent from work for periods longer than eight weeks, e.g. maternity leave or long term sickness, it may be necessary to recruit temporary/sessional staff to fill the vacancy.

19.2 Recruitment of sessional staff will follow the same procedures as that of permanent staff, though the process may be speeded up considerably. In particular, this will involve obtaining references prior to interview and In place of the formal notice period there will be a letter sent to the sessional worker to confirm the end of contract, this will be sent one month prior to the end date.

D20   Example Workers Compensation Policy

POLICY	Workers Compensation	Doc No	POL xx Rev date

1. LEGISLATION/ENTERPRISE AGREEMENTS/POLICY SUPPORTED

- Workers' Compensation and Injury Management Act 1981 (WA)
- Disability Discrimination Act 1992
- Disability Services Act 1993 (WA)
- Equal Opportunity Act 1984 (WA)
- Occupational Safety and Health Act 1984 (WA)

2. IMPLEMENTATION PRINCIPLES

- [Your Company] must comply with the requirements of the Workers' Compensation and Injury Management Act 1981 (WA), Disability Discrimination Act 1992, Equal Opportunity Act 1984 (WA), the Disability Services Act 1993 (WA) and Occupational Safety and Health Act 1984 (WA).

- [Your Company] will purchase and maintain workers' compensation insurance, provide timely claims management for workers' compensation claims and ensure an injury management system is available for staff.

3. PROCEDURAL DETAILS

(a) The following staff (workers) are entitled to lodge a claim for Workers' Compensation:

- those who suffer a personal injury by accident arising out of, or in the course of employment, or while acting on the employer's instruction;

- those who suffer a disabling disease; and

- those who suffer a disease contracted in the course of employment, or the recurrence or aggravation of a pre-existing disease where the employment contributed to a significant degree.

(b) [Your Company] will lodge completed claims for Workers' Compensation in accordance with the Workers' Compensation and Injury Management Act 1981 (WA).

(c) [Your Company]'s Workers' Compensation Insurer will assess and determine liability for a claim and advise both [Your Company] and staff member of their

decision, in writing, within 14 days of receiving the claim.

(d) Where medical restrictions are identified by a medical practitioner, Injury Management Services will adopt a case management approach with regards to claims management and the provision of injury management.

4. **RESPONSIBILITIES**

a) The Managing Director is responsible for the purchase and maintenance of Workers' Compensation Insurance.

b) Line Managers are responsible for:

- ensuring injured or ill staff attend appropriate first aid/medical treatment as soon as practicable for a work related illness injury;

- notifying [Your Company]'s Managing Director of any work related injury/illness where a First Medical Certificate is received;

- participating in the development and monitoring of a staff member's return to work program;

- completing any claims correspondence related to 'the employer'; and

- All staff employed by [Your Company] who are considered 'workers' as defined by the Workers' Compensation and Injury Management Act 1981 (WA)

a) Staff who are injured or ill, as described in section 3.1, are responsible for:

- immediately seeking first aid and reporting the injury/illness to their line manager;

- undertaking a review with a medical doctor as soon as possible and, where applicable, receiving a First Medical Certificate;

- reporting the incident via [Your Company]'s incident reporting system;

- completing a workers' compensation claim form available through [Your Company]'s Admin Office, and lodging both the claim form and the First Medical Certificate with Management;

- participating in any agreed return to work program;

- attending regular medical reviews; and

- advising Management, of any change in fitness for work status for the duration of any medical restrictions.

b) [Your Company]'s Management are responsible for:

- lodging workers' compensation claims with [Your Company]'s Workers' Compensation Insurer within 5 days of receipt of all necessary forms;

- providing case management for claims for the duration of the claim; and

- where appropriate, commencement of injury management.
- calculating workers' compensation rates of pay and the provision of advice.

Authorisation	Managing Director	Date	Revision 01/14

D21 Example Probationary Period Reports

All appointments are subject to a probationary period of six months, during which a probation report is requested upon the completion of three and six months' employment. The following employee has now completed three months' service.

Employee name:

…………………………………………………………………………………………..

Position: Date commenced employment:

…………………………………………...   ……………...

Three months' report

1. Are you satisfied with the employee's performance so far (taking into consideration length of service, training and development needs, sickness absence)? YES/NO

2. If NO please state why and outline actions to be taken to address the issue (e.g. further training).

3. If current performance is maintained would you expect to be able to recommend permanent employment at the end of the six month probation period? YES/NO

4. If NO please state why and outline actions to be taken to address the situation.

5. Have you had to reprimand or discipline the employee? YES/NO

6. If YES please state why.

7. The employee has had …….. days uncertified sickness absence and ………days certified sickness absence, and …….unauthorised days absence. Do you consider this to be acceptable? YES/NO

Signatures:

Line manager: Title: Date:

………………….....…   …………………………………….   ………..………...

Employee: Title: Date:

,,   …………………………………….   ………..………...

Six months' report

1. Are you satisfied with the employee's performance so far (taking into consideration length of service, training and development needs, sickness absence)? YES/NO

2. If NO please state why.

3. Have you had to reprimand or discipline the employee? YES/NO

4. If yes please state why.

5. The employee has had …….. days uncertified sickness absence and ………days certified sickness absence, and …….unauthorised days absence. Do you consider this to be acceptable? YES/NO

Please recommend one of the following courses of action:

- that the appointment is confirmed
- that the probationary period should be extended for a further period (of not usually more than three months) in order to allow the new employee to improve performance
- that the new employee should not be confirmed in post. (Where this concerns departmental managers, the Chief Executive will refer the matter to the Chair of the Management Committee.)

Signatures:

Line manager: Title: Date:
…………………..…   ……………………………….   ………..……...

Employee: Title: Date:
„„„„„„„„„„„„„„„„„„„„„„„„   ……………………………….   ………..……...

Recommendation endorsed:
Manager's signature: Date:
…………………………………………………………..   ………..……...

Appendix E –Example Financial Procedures

This section of the toolkit contains the following example documents that may be relevant to an Indigenous business developing strong internal financial controls.

- Appendix E1   Example Financial Statements and Reporting

- Appendix E2   Example Sales and Accounts Receivable Procedures

- Appendix E3   Example Purchases and Accounts Payable Procedures

- Appendix E4   Example Cash Management Procedures

- Appendix E5   Example Payroll Procedures

- Appendix E6   Example Asset Management Procedures

- Appendix E7   Example Business Risks

- Appendix E8   Example Budget Reporting Template

These example documents are merely an indication of the types of procedures that businesses can implement to manage their financial risks. The financial procedures that are appropriate for each business will depend on the size of the business, the size and capacity of the finance team and the type of goods/services that the business produces / delivers. It is therefore very important that business owners consult with their accountants and auditors when establishing financial procedures to make sure that they are appropriate to the needs of that particular business.

E1   Example Financial Procedures - Financial statements and reporting

Financial Statements and Reporting Procedures - Financial Environment
1) Training of Board / directors in understanding financial statements

1.1)   The directors of the board should be provided with the necessary training to enable them to understand the form and contents of the financial statements. This should enable at least a basic understanding of key elements of the financial statements such as:

- Balance sheet;

- Profit and loss statement; and

- Cash flow statement.

2) Performance against the Annual Financial Budget

Prior to the start of the financial year

2.1) Management should submit a draft annual financial budget to the company directors / board one month in advance of the start of a new financial year.

2.2) This annual financial budget should be accompanied by a written and verbal explanation from the CEO of how this budget supports the objectives of the operational and strategic plans of the business and how it will impact on the financial viability of the business.

2.3) The CEO should also highlight any risks that may significantly impact on the company delivering against this budget during the upcoming financial year and any steps that Management will undertake to mitigate these risks.

During the financial year

2.4) Management should produce detailed management accounts that track progress against the annual financial budget at cost centre level. These are for use by management rather than for submission to the Board.

2.5) Management should provide a monthly budget report to the board/directors which provides a summarised comparison of actual income and expenditure against the approved budget. Management should ensure that variances from budget are reported and explained, and corrective action taken if required.

2.6) At the end of the financial year, Management should provide the board/directors with a year-end comparison of actual income and expenditure and the approved budget. Management should provide written and verbal explanations of any significant variations and consideration should be given to any likely impact that the factors causing these

variations will have on the next year's budget.

3) Adequacy of finance function

3.1) The Board should satisfy themselves that the company maintains an adequate and properly qualified finance function. In reviewing the financial budget prior to the start of the financial year, board members should seek assurances that adequate finances are made available to support an effective finance function.

3.2) If the business is not big enough to maintain its own finance function, it should consider the purchase of regular accounting services from a qualified local accounting or bookkeeping business. If this is the case, the board should require that a representative of that company attends board meetings to answer any questions that board members or management have in respect of the finances of the company.

4) Financial Statements Audit

4.1) Management should ensure that an independent audit is carried out on the company's financial statements and that the Audit report and audited financial is submitted to the board/directors for consideration.

4.2) The Auditor should attend the board/ director meeting to answer any questions about the audit and to enable the Auditor to raise any concerns they have in respect of the financial statements or financial affairs of the business (e.g. any concerns about error or potential fraud) directly. The CEO should not be in attendance at that meeting.

5) Presentation of financial statements

5.1) The financial statements should be presented in a way that enables comparison between the current year's financial information and the comparative prior year figures.

6) Security of financial information

6.1) Management should ensure that access to accounting records is restricted where appropriate to senior staff or finance staff. This should be done using passwords for entry to the financial systems (such as financial ledger, payroll, accounts payable/receivable etc.

6.2) Management should ensure that there is a records retention system in place so that financial records are filed securely for the appropriate length of time (in accordance with relevant regulations and legislation).

Financial Statements and Reporting Procedures – Accuracy of financial information

1) Basic financial checks and controls

1.1) Finance staff should use sequentially numbered business forms (such as on cheques, sales orders, invoices etc.) to ensure that Management can keep track of any payments or receipts and can check the amount banked to the relevant documentation if required.

1.2) The company should establish automated controls such as valid date ranges (e.g. cheque payments must be less than 6 months old) or dollar value limits (e.g. payments over $5,000 require approval by a board member) to control high risk financial transactions such as payments or payroll.

1.3) Management should produce detailed management accounts that track progress against the annual financial budget at cost centre level as well as cash flow projections for the company as a whole.

2) Reconciliation controls

2.1) Management should establish regular reconciliation controls for key financial systems such as:

- Between bank account and financial ledger;
- Between financial ledger and payroll system;
- Between financial ledger and purchase ledger; and
- Between financial ledger and sales ledger.

3) Separation of duties

3.1) Management should take great care in allocating the duties associated with high risk activities such as ordering, recording and paying for purchases. Whether possible key activities should be undertaken by different people: For example:

- an employee who receives goods does not also order goods,
- the person who receives cash income does not also bank the income or reconcile the banking to the cash book;
- the person who manages the payroll does not approve the payments to staff; or
- the employee who manages account payables does not also issue payments.

3.2) Where the small size of a business means that it is not possible to achieve this separation of key duties, then management will need to introduce a range of authorisation controls to ensure that fraud and error risks are minimised.

3.3) Another way of reducing risks of fraud and error risks in smaller organisations is to rotate the responsibilities for key financial activities e.g. payroll, petty cash and receipting. This means that any fraud or error on the part of the incumbent will be likely to be uncovered by the next person to undertake the role.

3.4) Management should ensure that finance staff take their allocated annual leave. This means that another employee will be undertaking those tasks during the period of leave and any systemic fraud or error would be uncovered by the person deputising in that role.

4) Authorisation controls

4.1)	Managers and supervisors should be required to authorise and approve key financial controls such as bank reconciliations, large cash receipts, large payments, weekly payroll, addition of new employees to payroll, addition of new vendors to accounts payable system.
4.2)	Management and supervisors should also undertake spot checks of financial records at certain times during the year to gain assurance over the accuracy of transactions but also to make staff aware that their work will be checked.
4.3)	Staff should be given clear delegations on exactly what level of transactions they are authorised to make (e.g. junior staff may have no delegation, supervisors may have a $2,000 delegation and managers may have a $5,000 delegation).

5) Exception reporting

5.1)   Management should establish exception reports from their financial system that flag unusual transactions such as large payments to employees, large payments to vendors, payments to new vendors and payments to new employees.

6) Adequacy of financial records

6.1) The company should maintain financial records that are up-to-date and balanced.

6.2) Management should ensure that there is a records retention system in place so that financial records are filed securely for the appropriate length of time (in accordance with relevant regulations and legislation).

E2 Example Financial Procedures - Sales and Accounts Receivable Procedures

Example Financial Procedures – Sales
1) Basic financial procedures (*depending on the nature of the goods/services provided by the business some of these procedures may not be relevant*).

1.1) Sales staff should ensure that all sales orders are recorded on pre-numbered forms and that all numbers are accounted for. The relevant Manager should review the order forms on a routine basis to confirm that all numbers have been accounted for (i.e. to make sure that sales order forms have not been taken out of the book and are unaccounted for).
1.2) Sales staff should use numbers for each bill issued to customers (e.g. invoice numbers). Managers should review a listing of the invoices raised on a routine basis to ensure that all numbers are accounted for and that no duplicate or fraudulent invoices have been issued.
1.3) The goods despatch staff or service delivery staff should ensure that any goods / service despatch notes are matched to a copy of the customer invoice, require evidence of delivery and record orders on pre-numbered forms.
1.4) Finance staff should enter all sales invoices in the financial ledger and accounts receivable ledger (if not part of same system) on a timely basis.
1.5) Separate the accounts receivable function and cash receipting so that the same person is not raising invoices and receiving cash.

2) Reconciliation controls

2.1) Check sales figures from their individual source, such as invoices.
2.2) Reconcile sales register with cash takings and credit card receipts.
2.3) If sales staff work on commission then finance staff should check any reported sales to invoices and other source material to confirm that the reported sales figures are valid and that commissions are not paid until sales funds are received.
2.4) Finance staff should conduct stock-takes regularly and reconcile the results to accounting information (i.e. if the financial system states that $100,000 worth of goods are held in stock, does a physical check of the stock room confirm that these goods actually exist?)

3) Procedures for provision of credit to customers (if applicable)

3.1) The company should develop and document a credit approval/balance limit policy, including information on who must authorise new applications. For example:

New customers should not be provided with credit except where authorised by the CEO (or delegate). Detailed credit checks should be undertaken on all new companies requesting some form of credit.

Customers are able to apply for credit once they have been on the approved vendor list for a period of xx months. Initial credit limits will be capped at $xxxx and all new credit applications must be approved by the [INSERT DELEGATE] Manager.

Monthly reports should be provided to the Sales Manager and Finance Manager on a monthly basis that track the levels of credit provided to customers and any deviation from agreed repayment terms.

3.2) Credit files for all customers should be maintained and kept up-to-date.

3.3) All credit purchases by customers should be recorded as soon as the transaction occurs.

3.4) Ensure that credit notes are pre-numbered, accounted for and approved.

3.5) Review credit balances on a regular basis.

4) Pricing and discounts

4.1) Management should develop and document a pricing and discounting policy including authorisation to vary rules.

4.2) Management should ensure that sales orders are approved in terms of price, terms and conditions, credit and account balance limits before the sale is agreed and the invoice is issued to the customer.

5) Returns and Complaints

5.1) Make sure your staff know how to handle returns and deal with customer complaints.

5.2) Have customer complaints handled independently of the sales department.

6) Aged debtors and bad debts

6.1) A list of outstanding invoices should be prepared monthly which shows the customer name, the amount of the invoice and how many days the invoice have been outstanding for. This list should be reviewed by senior management to identify any potential bad debts and any apparent anomalies.

6.2) Finance staff should chase up overdue accounts in lines with the credit policies.

6.3) Finance staff should be aware of and (where appropriate) implement any conditions associated with early payment discounts and penalties on overdue accounts.

6.4) Ensure that write-offs and other adjustments (including cash back) to customer accounts are authorised and reported on and reviewed.

E3   Example Financial Procedures – Purchases and Accounts Payable
Procedures

Example Financial Procedures – Purchases
1) Basic financial procedures (*depending on the nature of the goods/services purchased by the business some of these procedures may not be relevant*).
1.1)   Finance staff should ensure that that all purchases are based on signed agreements, contract terms, and pre-numbered purchase orders.
1.2)   Ensure that Goods Receipt Notes (GRN's) are used and are prepared promptly. GRN's should be: • Pre-numbered and accounted for the sequence of all numbers, • Copied promptly provided to those who perform the purchasing and accounts payable function, and • Controlled so that liability may be determined for materials received but not yet invoiced.
1.3)   Receiving staff (i.e. store staff or reception staff) should ensure that all materials are inspected for condition and independently counted, measured or weighed when received. Receiving staff should check actual goods received against any packing slips and purchase orders.
1.4)   Ensure that supplier invoices are : • matched with applicable purchasing orders, • matched with applicable receiving reports, and • reviewed for correctness.
1.5)   Having checked goods on receipt and it is found that ordered goods have only been partially received or are damaged, receiving staff should carefully record the variance between the goods received and the purchase order and should pass on to the purchasing team to follow up by telephone with the supplier. No payment should be made against the invoice until the query has been satisfactorily been resolved.
1.6)   Ensure that there is written evidence that invoices have been processed properly before

payment (e.g. stamped or signed as approved). Write on them that they have been paid - this will also help to avoid double payments.

| 1.7) | Ensure that all available discounts have been taken. |
| 1.8) | Pass approved invoices promptly to accounts for payment. |

2) Reconciliation

| 2.1) | Verify that the trial balance of accounts payable agrees with the general ledger purchases account. |

3) Authorisation limits

| 3.1) | The Company should set clear purchase authorisation levels for different positions within the company so that only certain people can commit the firm to certain amounts (such as those over $1000) and all employees are aware of their limit and the penalties for exceeding this limit. |

4) Procedures to prevent fraudulent payments

4.1)	The Finance Manager should be provided with a daily exception report which lists all pending payments over a certain amount (e.g. $1,000 in a small company or $5,000 in a larger business). This will ensure that any high value fraudulent, duplicate or incorrect payments can be identified before payment has been made from the bank.
4.2)	Ensure payments are on original invoices only – not copies or faxes, otherwise they may be paid more than once.
4.3)	Check invoices from suspect sources, e.g. with only a post-office box address.
4.4)	Check invoices with company names consisting only of initials.
4.5)	Check unfamiliar vendors are in the phone book or check their ABN on the internet athttps://abr.gov.au/ .
4.6)	Check rapidly increasing purchases from one vendor.
4.7)	Check vendor addresses against employee addresses.
4.8)	Look out for large billings broken into multiple smaller invoices, each of which is for an amount that would not attract attention.

5) Separation of duties

| 5.1) | Separate the duties of handling refund cheques from suppliers from invoicing duties. |
| 5.2) | Separate the duties of approving new suppliers from responsibility for payment of their invoices. |

6) Expenses

6.1) Ensure that expenses reimbursement requests are:

- submitted properly,

- adequately supported, and

- approved before payment.

E4   Example Financial Procedures – Cash Management Procedures

How to use this template

This document is an example of the procedures that an Indigenous business could introduce to assist in the managing cash receipts. It is important to note that the nature and complexity of such financial procedures may vary depending on the specific financial risks in the business and the size of the company concerned. However, this template procedure provides an example that a company can then tailor to their own needs.

Note - This document is an example and may not be appropriate for all businesses.

Example Financial Procedures – Cash Management
1) Cheque management
1.1)   Responsibility for management of cheques should be allocated to a specific person within the finance office.
1.2)   All chequebooks should be stored securely in a safe or locked secure box kept in a locked drawer.
1.3)   All cheques should be pre-numbered and should only be used in sequential order.
1.4)   Cheques payee and amount details should be written in pen and in a way that prevents easy alteration.
1.5)   Finance staff should maintain a cheques register and review cheques against it regularly but at varying (unpredictable) intervals.
1.6)   Finance staff should cut up any voided cheques before disposing of them.
2) Cash management
2.1) Responsibility for the various cash management functions should be clearly allocated to different members of the finance team.
2.2) Sales staff should maintain a cash register to keep a record of cash sales. Cash registers should be balanced on a daily basis or at the end of each shift, if another employee is taking over transactions.
2.3) Finance staff should enter cash receipts onto the financial ledger as soon as possible and pay into the company's bank account on a timely basis to minimise the amount of cash held on the premises.
2.4) Finance staff should reconcile bank accounts monthly and the bank reconciliation should be reviewed and approved by the Finance Manager.
2.5) Key functions within the cash management process should be separated e.g. reconciliation, cheques authorisation, mail opening, writing deposit slips and banking, cash disbursement and purchases.
2.6) Senior Finance staff should undertake cash management audits on a varying (unpredictable)

schedule and do not warn employees of the date. These should cover checking the petty cash till against the cash book, checking receipts against bank deposits etc.
2.7) Management should set a limit on the amount of petty cash held and the money value limit of petty cash purchases.
2.8) All cash should be stored in a secure location such as a safe or a locked strong box held in a locked desk drawer.
2.9) All petty cash payments should require the approval of a second signatory. For payments over a specific limit (e.g. $200) payments should require finance manager sign-off.

E5   Example Financial Procedures – Payroll Procedures

How to use this template

This document is an example of the procedures that an Indigenous business could introduce to assist in the managing its payroll. It is important to note that the nature and complexity of such financial procedures may vary depending on the specific financial risks in the business and the size of the company concerned. However, this template procedure provides an example that a company can then tailor to their own needs.

Note - This document is an example and may not be appropriate for all businesses.

Procedural Instructions - Payroll
1) Payroll Security
1.1) All payroll staff should maintain security over payroll system passwords and the finance manager should change them regularly (e.g. monthly or quarterly).
1.2) Maintain security over personnel data and files. Lock in secure cabinets.
2) Basic Payroll Procedures
2.1) Payroll staff should liaise with HR to maintain accurate employee attendance, pay scale and bank account records.
2.2) The Payroll Manager / Supervisor should undertake regular reviews of the pay scales of employees to ensure that they are correct and that fraud and error are eliminated.
2.3) Payroll staff should ensure that the time records for hourly-paid employees are approved by a supervisor prior to their being passed for payment.
2.4) Payroll staff should maintain complete and accurate payroll records for holiday and sick leave entitlements and leave used.
2.5) HR should ensure that staff are aware of the process for requesting and approving holiday or sick leave. Payroll staff should be provided with up to date and accurate information to enable them to ensure that payroll system properly reflects all employee absences.
2.6) The Payroll Manager / Supervisor should review and authorise the payroll report in advance of payment being made to ensure that any errors, duplicate payments or omissions are corrected.
2.7) Where possible, payroll staff should make salary / wage payments to staff through direct bank deposits rather than cash or cheques. These bank transfers should be set up using the bank BDB and account number provided by new employees to the HR department on commencement of employment.
2.8) In circumstances where cheques are issued to employees rather than bank transfers, any

payroll cheques will be approved, signed and distributed by a designated manager.

2.9) Payroll staff should investigate the reasons why any payroll cheques are unclaimed. The reasons should be reported to the Payroll Manager / Supervisor.

2.10) The Payroll Manager / Supervisor should review all bank account deposits to ensure that each pay goes to a different bank account.

2.11) The Payroll Manager / Supervisor should check the budgeted figure against payroll actual figure and investigate variations. Any significant instances of fraud or error should be reported to the CFO immediately.

3) Reconciliation procedures

3.1) The payroll system should be reconciled to the financial ledger on a weekly basis. Any variations should be investigated and the reasons reported to the CFO. The reconciliation report should be reviewed and signed off by the Payroll Manager.

4) Procedures to prevent payroll fraud

4.1) The CFO should ensure that training has provided to different finance staff to ensure that more than one person can process the payroll. This will provide cover for holidays or sick leave for the primary payroll clerk, but will also enable job rotation which reduces risks of fraud.

4.2) The Payroll Manager should seek to separate payroll preparation, payment and authorisation duties. In smaller organisations where this is not practical, the payroll report should be reviewed and authorised by the Finance Manager prior to payment being made.

4.3) The same staff members should not perform the duties of personnel records management and payroll.

4.4) The Finance Manager should on a bi-monthly basis review the payroll register against actual employees to confirm that no '*phantom*' employees are being paid.

4.5) Where sales staff are paid on a commission basis, the payroll staff should check any sales activity claimed by sales staff against the records of sales. Care should also be taken to ensure that sales staff are not claiming more than once against a sale transaction.

4.6) Weekly payroll reports should be provided to the Finance Manager or CEO which highlight any payments made to new employees or any payroll payments over a specific limit (e.g. $2,000).

E6   Example Financial Procedures – Asset Management Procedures

How to use this template

This document is an example of the procedures that an Indigenous business could introduce to assist in the managing its fixed assets. It is important to note that the nature and complexity of such financial procedures may vary depending on the specific financial risks in the business and the size of the company concerned. However, this template procedure provides an example that a company can then tailor to their own needs.

Note - This document is an example and may not be appropriate for all businesses.

Procedural Instructions –Asset Management
1) Basic Asset Management Procedures
1.1)   Management should allocate responsibility for the management of assets to an individual finance clerk overseen by a supervisor. The fixed asset clerk should not be the person who undertakes any asset reconciliations or verification checks.
1.2)   Management should develop or purchase an asset register (a small company may use a spreadsheet while a larger company may wish to purchase bespoke asset management software) that records basic information such as: • Asset description;   • Asset number;   • Asset location;   • Purchase date;   • Purchase price;   • Depreciation; and   • Net book value.
1.3)   Sequential asset identification numbers should be allocated to each asset. Where possible this number should be physically attached to the asset through an asset sticker / tag.
1.4)   The fixed assets clerk should not make general ledger entries in respect of any asset additions and disposals.
2) Purchase of assets
2.1)   Staff should complete a 'New Asset Form' which records key information in respect of the new asset such as, asset description, purchase price, purchase date, useful life, depreciation rate, asset location etc.
2.2)   All new assets should be tagged when received.

Procedural Instructions –Asset Management
2.3) The new asset should be entered onto the Asset Register on a timely basis.
2.4) Finance staff should ensure that all asset additions are properly valued.
2.5) Ensure that all capital asset purchases are authorised prior to addition to the asset register.
3) Disposal of assets
3.1) Where an asset is to be sold or disposed of, the fixed asset clerk should complete an asset disposal form that is signed off by the Finance Manager.
3.2) Where an asset has been sold or disposed of, the asset register should be updated by the fixed asset clerk. Following disposal, the fixed asset clerk should liaise with the finance staff responsible for general ledger entries to ensure that the correct entries are passed to the general ledger.
3.3) Any funds received as a result of asset disposal should be banked on a timely basis. The member of staff receiving the funds should not be the fixed asset clerk.
4) Reconciliations
4.1) The Finance Manager should oversee the regular (e.g. Monthly) reconciliation of the Fixed Asset Register and the General Ledger. This reconciliation should not be undertaken by the fixed asset clerk.
4.2) Physical checks of assets against the asset register should be performed on regular basis (e.g. quarterly). The physical asset check should be undertaken by an officer that has not been involved in the asset management process during the period under review.
4.3) A physical check of assets against the asset register will be performed when a new person takes over the position of fixed asset clerk.
4.4) Any missing assets that are identified as a result of the physical asset check should be logged in a 'missing asset log'. These missing assets should be followed up and located on a timely basis. The follow up work should not be undertaken by the fixed asset clerk.
5) Asset Security
5.1) Assets should be protected through use of physical security protection measures such as locks on premises, the use of security cameras and retaining a security service.
5.2) The Company should take out insurance to cover the potential loss or damage to their fixed asset portfolio. This insurance coverage should be reviewed each year for its continued appropriateness.

Procedural Instructions –Asset Management
5.3)   Small items that have significant value should be kept in a safe or locked cupboard where possible. Where this is not possible (e.g. laptops) the assets should be secured to the desk.

E7   Example Business Risks

This table shows some of the types of risks that may need to be considered, but this list should not be regarded as exhaustive and it is not industry specific.

Example Business Risks
• Wrong business strategy • Competitive pressure on price / market share • General / regional economic problems • Industry sector in decline • Political risks / Adverse government policy • Inattention to information technology (IT) aspects of strategy and implementation • Obsolescence of technology • Substitute products • Takeover target • Inability to obtain further capital • Bad acquisition • Too slow to innovate and reengineer • Too slow to respond to demands from market and customers
Example Financial Risks
• Market risk • Credit risk • Currency risk • Liquidity risk • High cost of capital • Misuse of financial resources • Going concern problems • Fraud • Breakdown of accounting system • Unreliable accounting records • Unrecorded liabilities • Penetration and attack of IT systems by hackers • Decisions based on incomplete or faulty information • Too much data and not enough analysis • Unfulfilled promises/pledges to investors

Example Financial Risks

- Breach of Listing Rules
- Breach of financial regulations
- Breach of Companies Ordinance requirements
- Breach of competition regulations
- Breach of other regulations and laws
- Litigation risk
- Tax problems
- Health and safety risks
- Environmental problems

Example Operational Risks

- Inefficient / ineffective management process
- Business processes not aligned to customer / market demand and strategic goals
- Loss of entrepreneurial spirit
- Missed or ignored business opportunities
- Poor brand management
- Failure of major change initiative
- Inability to implement change
- Stock-out of raw materials
- Skills shortage
- Physical disasters (e.g., fire and explosion)
- Computer viruses or other system malfunctions
- Failure to create and exploit intangible assets
- Loss of intangible assets
- Loss of physical assets
- Loss of key people
- Loss of key contracts
- Lack of orders
- Lack of business continuity
- Succession problems
- Inability to reduce cost base
- Over-reliance on key suppliers or customers
- Onerous contract obligations imposed by major customers
- Failure of new products or services
- Failure to satisfy customers

- Poor service levels
- Quality problems
- Product liability
- Failure of major projects
- Failure of big technology related projects
- Failure of outsource providers to deliver
- Lack of employee motivation or efficiency
- Industrial action
- Problems arising from exploiting employees in developing countries
- Inefficient / ineffective processing of documents
- Breach of confidentiality

E8   Example Budget Reporting Template

Company	INSERT COMPANY NAME
Division	INSERT DIVISION/DEPT NAME
Month	INSERT MONTH
Financial Year	INSERT FINANCIAL YEAR

Company X Budget Month	Budget amount $	Actual Amount $	Variance $	Variance %	Explanation for variance
Income					
Sales					
Interest					
Other Income					
Total Income					
Expenditure					
Staff costs					
- Wages and Salaries					
- PAYG					
- Workers Comp					
Non-Staff Costs					

Company X Budget Month	Budget amount $	Actual Amount $	Variance $	Variance %	Explanation for variance
- Materials					
- Parts and equipment					
- Power					
- Rent and Rates					
- Depreciation					
- Interest					
- Internet					
- Telephone					
- Insurance					
- Etc.					
Total Expenditure					
Net Profit / (Loss)					