



**APONT**  
**Aboriginal Governance  
& Management Program**

Our Decisions | Our Actions | Our Future

# **Corporate policy templates, volume 1**

**May 2014**

Please contact the following Program staff if you would like any or all of these policy templates electronically:

David Jagger	ph: 8959 1701
Wes Miller	ph: 8944 6626
Sarah Lacy	ph: 8944 6639
Lola Susuico	ph: 8959 1700





# APONT

## Aboriginal Governance & Management Program

Our Decisions | Our Actions | Our Future

### Explanation of the approach taken to policy template development

The attached policies have been developed based on best practice principles and/or relevant legislation, and represent an initial response to a need identified by organisations to provide support in relation to policy development. While the policies included here do not make up a comprehensive suite of organisational policies, some key policy areas have been prioritised. These will require adaptation to suit particular organisational circumstances, and a number of guidelines or procedures may need to be developed to ensure appropriate implementation of each policy. Adaptation may include using plainer English language.

The *Overview of policies and related resources* groups the policies in this volume into four areas as follows;

- Human Resources
- Work Health and Safety
- Corporate Governance
- Communication

Associated resources are listed at the end of each policy and next to the policy name on the overview document. These include resources such as relevant legislation and best practice guides. Notably, the Fair Work Ombudsman's website link provides access to a number of templates relevant to the Human Resources area, providing further resources that organisations may wish to adapt to their own purposes. The documents highlighted in green on the overview document are sample proformas that may be useful in the implementation of some of the policy areas.

APO NT/the AGMP does not and cannot make the adoption and use of these documents mandatory. That is up to each organisation as it sees fit.



## Overview of policies and associated resources

Policy No. / group	Policy Name	Associated Resources and Sample Documents
1/Human Resources	Recruitment and Selection	<p>Information in relation to positions within the NT that require a Working with Children check to be undertaken can be found at the website below;  <a href="http://www.workingwithchildren.nt.gov.au/index.html">http://www.workingwithchildren.nt.gov.au/index.html</a></p> <p>Relevant recruitment and selection templates (as listed below) are available through the Fair Work Ombudsman's website;  <a href="http://www.fairwork.gov.au/resources/templates/pages/employing-staff">http://www.fairwork.gov.au/resources/templates/pages/employing-staff</a></p> <ul style="list-style-type: none"> <li>○ Job advertisement</li> <li>○ Job description</li> <li>○ Telephone screening</li> <li>○ Reference Checking form</li> <li>○ Letter of engagement – casual</li> <li>○ Letter of engagement – FT/PT</li> <li>○ Letter to unsuccessful applicants</li> </ul>
2/Human Resources	Induction and Probation	<p><i>The Sample Workplace Participant Code of Conduct may be relevant to your organisation in relation to this policy</i></p> <p>The Fair Work Ombudsman's website (link below) includes links to relevant legislation, information and resources.  <a href="http://www.fairwork.gov.au/">http://www.fairwork.gov.au/</a></p> <p>Relevant induction and probation templates (as listed below) are available through the Fair Work Ombudsman's website;  <a href="http://www.fairwork.gov.au/resources/templates/pages/employing-staff">http://www.fairwork.gov.au/resources/templates/pages/employing-staff</a></p> <ul style="list-style-type: none"> <li>○ Induction Checklist</li> <li>○ Letter of successful probation</li> <li>○ Letter of unsuccessful probation</li> </ul>
3/Human Resources	Staff Performance Management	<p>Relevant performance management templates (as listed below) are available through the Fair Work Ombudsman's websites;  <a href="http://www.fairwork.gov.au/resources/templates/pages/managing-and-ending-employment">http://www.fairwork.gov.au/resources/templates/pages/managing-and-ending-employment</a></p> <ul style="list-style-type: none"> <li>○ Letter of unsuccessful probation</li> <li>○ Performance agreement</li> </ul> <p><a href="http://www.fairwork.gov.au/resources/templates/pages/employing-staff">http://www.fairwork.gov.au/resources/templates/pages/employing-staff</a></p> <ul style="list-style-type: none"> <li>○ Letter of successful probation</li> </ul>
4/Human	Internal	The Fair Work Ombudsman's Best Practice guide to Effective Dispute Resolution can be found at the website below;

Resources	Dispute Resolution	<a href="http://www.fairwork.gov.au/ArticleDocuments/2213/10-Effective-dispute-resolution.pdf.aspx?Embed=Y">http://www.fairwork.gov.au/ArticleDocuments/2213/10-Effective-dispute-resolution.pdf.aspx?Embed=Y</a>
5/Human Resources	Staff Disciplinary	<p><i>The Sample Workplace Participant Code of Conduct</i> may be relevant to your organisation in relation to this policy</p> <p>The Fair Work Ombudsman's Best Practice Guide for Managing Underperformance can be found at the website link below;  <a href="http://www.fairwork.gov.au/Resources/best-practice-guides/Pages/managing-underperformance">http://www.fairwork.gov.au/Resources/best-practice-guides/Pages/managing-underperformance</a></p> <p>For information about Unfair Dismissal, the Fair Work Commission's website link is below;  <a href="http://www.fwc.gov.au/">http://www.fwc.gov.au/</a></p> <p>Relevant staff disciplinary templates (as listed below) are available through the Fair Work Ombudsman's website;  <a href="http://www.fairwork.gov.au/resources/templates/pages/managing-and-ending-employment">http://www.fairwork.gov.au/resources/templates/pages/managing-and-ending-employment</a></p> <ul style="list-style-type: none"> <li>○ Letter of first warning</li> <li>○ Letter of final warning</li> <li>○ Letter of termination of employment with notice</li> <li>○ Letter of termination of employment – serious misconduct/summary dismissal</li> <li>○ Recording meetings with employees</li> </ul>
1/Work Health and Safety	Work Health and Safety	<p>Work Health and Safety (National Uniform Legislation) Act 2011  <a href="http://notes.nt.gov.au/dcm/legislat/legislat.nsf/linkreference/work%20health%20and%20safety%20%28national%20uniform%20legislation%29%20act%202011?opendocument">http://notes.nt.gov.au/dcm/legislat/legislat.nsf/linkreference/work%20health%20and%20safety%20%28national%20uniform%20legislation%29%20act%202011?opendocument</a></p> <p>Guide to the Work Health and Safety Act  <a href="http://www.worksafe.nt.gov.au/Publications/Guides/guide_to_the_work_health_and_safety_act.pdf">http://www.worksafe.nt.gov.au/Publications/Guides/guide_to_the_work_health_and_safety_act.pdf</a></p> <p>NT Worksafe  <a href="http://www.worksafe.nt.gov.au/home.aspx">http://www.worksafe.nt.gov.au/home.aspx</a></p> <p>Codes of Practice are located at; <a href="http://www.worksafe.nt.gov.au/Publications/Code%20of%20Practice/Forms/AllItems.aspx">http://www.worksafe.nt.gov.au/Publications/Code%20of%20Practice/Forms/AllItems.aspx</a></p> <p>Safe Work Australia leads the development of national policy to improve work health and safety and worker's compensation arrangements across Australia;  <a href="http://www.safeworkaustralia.gov.au/sites/SWA">http://www.safeworkaustralia.gov.au/sites/SWA</a></p>
2/Work Health and Safety	Workplace Bullying	<p>Safe Work Australia's Guide for Preventing and Responding to Workplace Bullying can be found at the following website;  <a href="http://www.safeworkaustralia.gov.au/sites/swa/about/publications/pages/guide-workplace-bullying">http://www.safeworkaustralia.gov.au/sites/swa/about/publications/pages/guide-workplace-bullying</a></p>
1/Corporate Governance	Disclosure of Financial Interests and	<p><i>The Sample Register of Interests</i> document may be relevant to your organisation in relation to this policy.</p> <p>The Act under which an organisation is incorporated includes regulations in relation to disclosure of conflicts of interest. See</p>

	Conflict of Interest	<p>links below;</p> <p>CATSI Act 2006  <a href="http://www.comlaw.gov.au/Series/C2006A00124">http://www.comlaw.gov.au/Series/C2006A00124</a></p> <p>NT Associations Act 2012  <a href="http://notes.nt.gov.au/dcm/legislat/legislat.nsf/linkreference/ASSOCIATIONS%20ACT?opendocument">http://notes.nt.gov.au/dcm/legislat/legislat.nsf/linkreference/ASSOCIATIONS%20ACT?opendocument</a></p>
1/Communication	Complaints	<p><i>The Sample Complaints Register and Sample Complaints Form may be relevant to your organisation in relation to this policy.</i></p> <p>Program specific obligations in relation to responding to complaints is generally made clear in contractual documentation. Information and support in relation to complaints processes involving NT Health and Community Services programs (health, aged and disability programs) may be found at;  <a href="http://www.hcsc.nt.gov.au/resources/legislation-code/">http://www.hcsc.nt.gov.au/resources/legislation-code/</a></p>





Despite making every effort to ensure the quality of its resources, the AGMP cannot guarantee and assumes no legal liability for the accuracy, currency or completeness of this policy. It is your responsibility to check with the AGMP or obtain other appropriate professional advice to ensure that your policies are up to date and meet any relevant legislative requirements.

## RECRUITMENT AND SELECTION POLICY

### Policy Number

Version	Date adopted	Description of Change

### Background

Best practice recruitment and selection processes are open, transparent and equitable, and facilitate diversity within an organisation's human resources.

### Policy Statement

All available positions are filled with the best available candidate on the basis of merit, and in accordance with legal requirements and contractual obligations, in a timely and cost effective manner.

Indigenous identified positions are filled by the best available Indigenous candidate on the basis of merit.

There is a position description for each of the positions within the organisation which clearly outlines the responsibilities of the position, and the knowledge, skills and attributes required for the position.

Positions of more than six months duration are advertised within the organisation, ie. internally, and externally. Positions of six months or less in duration may be advertised internally only.

The selection process is confidential and clearly documented.

Where local Indigenous candidates possess the knowledge, skills and attributes required for the position, the position should be filled by a such a person, considering their local knowledge is a significant attribute in the context.

### Summary of Strategies and Practices

- Should a position become vacant, the position description including selection criteria is reviewed; and the organisation's budget is reviewed prior to re-recruitment to ensure funds remain available for the position.
- Should funding for a new position become available, a position description including selection criteria is developed prior to the commencement of the recruitment process.
- The position description clearly outlines the documentation in relation to any police checks, working with children checks, licences or other qualifications that must be supplied prior to a contract of employment being signed.

Despite making every effort to ensure the quality of its resources, the AGMP cannot guarantee and assumes no legal liability for the accuracy, currency or completeness of this policy. It is your responsibility to check with the AGMP or obtain other appropriate professional advice to ensure that your policies are up to date and meet any relevant legislative requirements.

- Position advertising may be undertaken through community noticeboards, as well as through relevant print and/or electronic media.
- A selection panel is convened for all positions of six months or more duration.
- For positions between 6 weeks and 6 months duration, an open, transparent and documented selection process is undertaken consistent with this policy. However, it is not necessary to convene a selection panel.
- Appointments to positions of six weeks duration or less may be made directly by the CEO. No competitive selection process is required.
- A selection panel has a minimum of two and a maximum of four members. For CEO recruitment, they are all or a majority members of the organisation's board.
- Otherwise, where possible, the selection panel includes a supervisor for the position and/or a person who has worked in the position and is familiar with the role, and someone who can provide information about work conditions.
- Where possible, the selection panel has a balance of men and women and a balance of Indigenous and non Indigenous people. It must have at least one Aboriginal person.
- The selection panel documents their review of all applications against the selection criteria, prepares a short list of applicants for interview, develops questions, conducts and documents all interviews, and collectively assesses all applicants interviewed, ranking them in order of suitability.
- Work-related referees of the most suitable applicant are contacted to gain information regarding their prior work performance and suitability against key selection criteria. The responses of referees are documented. Should referees be satisfactory, the applicant is offered the position.
- Should the first ranked applicant be found unsuitable upon referee checks, or does not accept the job offer, the next ranked applicant is offered the position and so on.
- Should none of the applicants be found to be suitable, or suitable applicants do not accept the job offer, then the position is not filled at this time. The matter is referred to more senior staff for review.
- The successful applicant is provided a letter of offer or engagement setting out:
  - proposed salary, as advertised to the dollar or within the advertised salary range
  - term of the contract
  - core conditions, and requirements (eg. full/part time, hours of work)
  - commencement date
- The successful applicant accepts the offer or negotiates with an appropriate representative of the organisation on the salary and conditions.
- The applicant is sent a contract setting out all details of the employment, including those agreed in negotiations over the letter of offer, signed in duplicate and retained by both parties.
- Once the successful applicant has accepted the offer of the position, unsuccessful applicants are contacted in writing to inform them they were unsuccessful.
- All documentation in relation to the selection process is filed with Human Resources.

Despite making every effort to ensure the quality of its resources, the AGMP cannot guarantee and assumes no legal liability for the accuracy, currency or completeness of this policy. It is your responsibility to check with the AGMP or obtain other appropriate professional advice to ensure that your policies are up to date and meet any relevant legislative requirements.

### **Associated Resources**

- Information in relation to positions within the NT that require a Working with Children check to be undertaken can be found at the website;

<http://www.workingwithchildren.nt.gov.au/index.html>

- Relevant recruitment and selection templates (as listed below) are available through the Fair Work Ombudsman's website;

<http://www.fairwork.gov.au/resources/templates/pages/employing-staff>

- Job advertisement
- Job description
- Telephone screening
- Reference checking form
- Letter of engagement – casual
- Letter of engagement – FT/PT
- Letter to unsuccessful applicants



Despite making every effort to ensure the quality of its resources, the AGMP cannot guarantee and assumes no legal liability for the accuracy, currency or completeness of this policy. It is your responsibility to check with the AGMP or obtain other appropriate professional advice to ensure that your policies are up to date and meet any relevant legislative requirements.

## INDUCTION AND PROBATION POLICY

### Policy Number

Version	Date adopted	Description of Change

### Background

Sound induction processes enable new staff members to gain an understanding of the goals of the organisation and their role in achieving these goals. The provision of regular opportunities for constructive feedback throughout the staff member's probationary period enables any issues or problems in relation to the new staff member's work to be identified and addressed prior to a decision being made as to their ongoing suitability for the position.

### Policy Statement

- All new staff members participate in an induction process that introduces them to the workplace and their role within it, provides information in relation to workplace policies, processes and sources of support, and clearly communicates expectations and standards to be met.
- All new staff members, or existing staff members commencing a new position, undergo a six month\* period of probationary employment. This period is used for the continuing evaluation and assessment of a staff member's performance and suitability in their newly appointed position, and to assess a number of factors including adherence to standards and the 'fit' of the staff member to the culture of the organisation.
- Probation enables the new staff member and his/her supervisor to identify both strengths and weaknesses in conduct and work performance and to take any necessary remedial action, or indeed to build on the strengths. It allows the supervisor to review and adapt training for the new staff member if necessary.
- A decision to terminate employment may be made at any time during the probationary period. If the decision is made to terminate the staff member's contract of employment, the staff member is advised of their termination and the reason. They are given the appropriate written notice (the period required in the staff member's contract) or payment in lieu of this notice; payment of all accrued entitlements; a separation certificate and a certificate of service (stating the duties the staff member performed in the job) upon request.

Despite making every effort to ensure the quality of its resources, the AGMP cannot guarantee and assumes no legal liability for the accuracy, currency or completeness of this policy. It is your responsibility to check with the AGMP or obtain other appropriate professional advice to ensure that your policies are up to date and meet any relevant legislative requirements.

## Summary of Strategies and Practices

- A new staff member begins the induction process on their first day of work and it is completed as soon as practicable following commencement. The process for all staff should include:
  - Introduction to other staff members and an explanation of the organisational structure
  - Tour of workplace including toilets and amenities
  - Information regarding emergency procedures, and responsibilities and procedures for reporting hazards and accidents
  - Advice re hours of work and any arrangements for recording these
  - Advice re workplace access and security
  - Provision of information relating to the history and culture of the organisation
  - Provision and discussion of the staff code of conduct
  - Provision of the Fair Work Information Statement
  - Introduction to workplace information and communication technology
  - Clarification of the job description
  - Provision of information on probationary and staff performance management processes
  - Location of organisational policies and procedures
  - Participation in cross cultural training
  - Position specific induction (eg. Provision of personal protective equipment, introduction to safety checklists, and participation in work health and safety training)
- Staff members are provided with constructive feedback on their performance throughout the probationary period. Ideally this feedback is made up of informal feedback and formal meetings. A formal performance appraisal is undertaken within 3 months\* of commencement and as required throughout the remainder of the probationary period as outlined in the Staff Performance Management Policy.

## Associated Resources

- The Fair Work Ombudsman's website (link below) includes links to relevant legislation, information and resources.

<http://www.fairwork.gov.au/>

- Relevant induction and probation templates in particular are available through the Fair Work Ombudsman's website;

<http://www.fairwork.gov.au/resources/templates/pages/employing-staff>

- Induction Checklist
- Letter of successful probation

Despite making every effort to ensure the quality of its resources, the AGMP cannot guarantee and assumes no legal liability for the accuracy, currency or completeness of this policy. It is your responsibility to check with the AGMP or obtain other appropriate professional advice to ensure that your policies are up to date and meet any relevant legislative requirements.

- Letter of unsuccessful probation

\*Under the Fair Work Act 2009, the probation period cannot be extended beyond six months from the date of commencement (or twelve months for small business employers, with fewer than fifteen staff). During the probationary period, the new employee cannot make an application for unfair dismissal.

This policy suggests a six month probationary period but the organisation may choose a shorter probationary period, or if it is an organisation of fewer than fifteen staff, a longer probationary period of up to twelve months.

The above policy suggests that formal performance appraisal processes begin within 3 months of commencement of new staff to enable the staff member to receive feedback prior to the end of the probationary period. Note that this is a suggested time frame only.





Despite making every effort to ensure the quality of its resources, the AGMP cannot guarantee and assumes no legal liability for the accuracy, currency or completeness of this policy. It is your responsibility to check with the AGMP or obtain other appropriate professional advice to ensure that your policies are up to date and meet any relevant legislative requirements.

## STAFF PERFORMANCE MANAGEMENT POLICY

### Policy Number

Version	Date adopted	Description of Change

### Background

Sound performance management processes build on strengths and value the diversity of the organisation's human resources, such that employees are able to perform to their full potential in line with the goals of the organisation.

### Policy Statement

\_\_\_\_\_ is committed to ensuring that all staff members are able to perform the duties of their position to their full potential. To this end, staff performance processes are implemented with each staff member to achieve;

- a shared understanding of the goals of the organisation and how each staff member contributes to these goals,
- a shared commitment to the standard expected of staff members in the performance of their duties, and
- a shared understanding of the staff development support required to better enable staff members to perform the duties of their position.

The performance management process provides staff with constructive feedback about their work performance and identifies areas and opportunities for staff development which align with the goals of the organisation.

### Summary of Strategies and Practices

- Staff who supervise the work of other staff members conduct an annual performance appraisal with each of the staff members whose work they supervise and this is documented using the applicable performance agreement template.
- The performance agreement template is designed to facilitate a process which provides opportunities for the staff member to reflect upon their own performance and for the supervisor to provide constructive feedback as to the staff member's performance in accordance with their position description. It provides an opportunity to discuss and make

Despite making every effort to ensure the quality of its resources, the AGMP cannot guarantee and assumes no legal liability for the accuracy, currency or completeness of this policy. It is your responsibility to check with the AGMP or obtain other appropriate professional advice to ensure that your policies are up to date and meet any relevant legislative requirements.

recommendations for review of the position description. It identifies areas for staff development and makes recommendations as to how these areas should be addressed.

- Staff who supervise the work of new staff members who are on probation conduct a performance appraisal with these staff members within three months\* of commencement and as required throughout the remainder of the probationary period, such that new staff receive appropriate support and feedback as to their performance prior to completion of the probationary period.
- The performance management process is confidential and documentation in relation to performance management is kept on the staff member's file.
- All staff members are required to participate in staff development opportunities as negotiated with their supervisor and approved by the CEO.
- Human Resources is advised of all staff development activities undertaken and a record of this is kept on the staff member's personnel file.

## Associated Resources

- Relevant performance management templates (as listed below) are available through the Fair Work Ombudsman's websites;

<http://www.fairwork.gov.au/resources/templates/pages/managing-and-ending-employment>

- Letter of unsuccessful probation
- Performance agreement

<http://www.fairwork.gov.au/resources/templates/pages/employing-staff>

- Letter of successful probation

\*The above policy suggests that formal performance appraisal processes begin within 3 months of commencement of new staff to enable the staff member to receive feedback prior to the end of the probationary period. Note that this is a suggested time frame only.

Refer to the Induction and Probation policy for information in relation to length of probationary periods.

Despite making every effort to ensure the quality of its resources, the AGMP cannot guarantee and assumes no legal liability for the accuracy, currency or completeness of this policy. It is your responsibility to check with the AGMP or obtain other appropriate professional advice to ensure that your policies are up to date and meet any relevant legislative requirements.

## INTERNAL DISPUTE RESOLUTION POLICY

### Policy Number

Version	Date adopted	Description of Change

Organisations should abide by the dispute resolution procedure as outlined in the applicable enterprise agreement. Where there is no enterprise agreement in the workplace or an enterprise agreement does not cover the employees involved in the dispute, the procedure outlined in the modern award that applies to the employer and employee should be followed.

Where no modern awards, enterprise agreements or other industrial instruments apply at a particular workplace, best practice employers implement dispute resolution procedures in employees' contracts of employment or in the organisation's policy documents.

The following policy could be used when no other dispute resolution process applies. It draws on the Fair Work Ombudsman's Best Practice Guide to Effective Dispute Resolution.

### Background

Disputes occur within workplaces from time to time. Best practice dispute resolution processes deal with disputes simply, quickly, fairly, sensitively, confidentially and transparently and do not interfere with the continued operation of the business of the organisation.

### Policy Statement

\_\_\_\_\_ works towards solving internal disputes and maintaining healthy working relationships.

Dispute resolution may occur through

- a negotiated outcome, where parties concerned resolve things themselves,
- a mediated outcome, where the parties use the services of an independent conciliator or mediator to help them arrive at their own resolution,
- an arbitrated or adjudicated outcome, where an independent arbitrator or court determines how the dispute is to be resolved and makes a binding order to this effect.

Wherever possible, \_\_\_\_\_ seeks to resolve disputes at the workplace in a negotiated outcome.

Dispute resolution processes are actioned quickly, and all relevant parties are consulted. Where possible the consultations are confidential, while the overall process is transparent.

Despite making every effort to ensure the quality of its resources, the AGMP cannot guarantee and assumes no legal liability for the accuracy, currency or completeness of this policy. It is your responsibility to check with the AGMP or obtain other appropriate professional advice to ensure that your policies are up to date and meet any relevant legislative requirements.

All staff members are informed of the dispute resolution process.

Dispute resolution processes and outcomes are documented and filed on the staff members' personnel files.

### **Summary of Strategies and Practices**

- Should a staff member be unable to resolve a dispute informally, the staff member and/or their representative meets with the staff member's direct supervisor to discuss the problem.
- The supervisor listens carefully to the staff member(s) (and/or their representative) and together they try to resolve the dispute. If the supervisor and staff member are unable to resolve the dispute or it is not appropriate that the supervisor deal with it, the matter is referred to senior management.
- A senior manager listens to the staff member (and/or their representative) and attempts to resolve the dispute. It is either resolved or referred to an independent body.
- An independent conciliator or mediator (for example the Fair Work Commission) assists to resolve the dispute, or failing this refers it to arbitration/adjudication

### **Definitions**

Dispute resolution and resolving a dispute means to do so to the mutual and permanent satisfaction of the parties.

### **Associated Resources**

- The Fair Work Ombudsman's Best Practice Guide to Effective Dispute Resolution can be found at the website below;

<http://www.fairwork.gov.au/ArticleDocuments/2213/10-Effective-dispute-resolution.pdf.aspx?Embed=Y>

Despite making every effort to ensure the quality of its resources, the AGMP cannot guarantee and assumes no legal liability for the accuracy, currency or completeness of this policy. It is your responsibility to check with the AGMP or obtain other appropriate professional advice to ensure that your policies are up to date and meet any relevant legislative requirements.

## STAFF DISCIPLINARY POLICY

### Policy Number

Version	Date adopted	Description of Change

### Background

Staff disciplinary processes assist in upholding the standards required by a workplace. Other than in situations where immediate dismissal is appropriate, staff disciplinary processes provide a staff member with an opportunity to correct unacceptable performance or conduct.

### Policy Statement

\_\_\_\_\_ staff are made aware of standards to be upheld and expectations in relation to their performance and conduct through the staff code of conduct, induction, performance management and other staff information and feedback processes.

Should an issue arise with a staff member's performance or conduct which is not resolved through normal performance management processes, the staff member is informed and given an opportunity to respond to the issue at hand. If required, action is taken in relation to the staff member's performance or conduct. This may include counselling and/or a warning, or dismissal. This process is documented and kept on the staff member's personnel file.

A staff member who participates in any discussion which may result in dismissal, may choose a support person or agency to attend.

In the case of clear serious misconduct, a staff member may be dismissed immediately.

### Summary of Strategies and Practices

- The code of conduct is read and discussed during the induction process and a signed copy is kept on the staff member's personnel file. Upon introduction of a new or varied code of conduct, this code is discussed, a copy signed by each staff member, and the signed copies kept on their personnel files.
- Staff participate in probationary, performance appraisal and staff development processes during which they are provided with feedback in relation to their performance and provided with opportunities to discuss work related issues and to address areas of concern.
- Should a concern be raised in relation to the conduct or performance of a staff member which is not resolved through normal performance management processes, the staff member is advised of the concern and requested to attend a meeting with their supervisor in the first instance.

Despite making every effort to ensure the quality of its resources, the AGMP cannot guarantee and assumes no legal liability for the accuracy, currency or completeness of this policy. It is your responsibility to check with the AGMP or obtain other appropriate professional advice to ensure that your policies are up to date and meet any relevant legislative requirements.

Where dismissal is a possible result, the staff member is advised that they may choose a support person or agency to attend the meeting.

- During the meeting, the concerns in relation to the conduct or performance of the staff member are raised, and the staff member is provided with the opportunity to respond. The meeting is documented and this documentation is kept on the staff member's personnel file.
- If it is decided that action should be taken in relation to the conduct or performance of the staff member, this may be in the form of counselling, warning, or dismissal. If applicable, the staff member is warned that failure to address unsatisfactory performance may lead to dismissal. Where applicable, the staff member is allowed a reasonable period to remedy performance or conduct and may be offered supports to do so. Any warning includes a date for review. Documentation relating to the action taken, and in particular to any warnings issued, is kept on the staff member's personnel file.
- In the case of serious misconduct, a staff member may be dismissed immediately. Documentation as to the seriousness of the misconduct, and any supporting evidence in relation to it, is kept on the staff member's personnel file. Serious misconduct may include conduct that causes serious risk to the health and safety of a person, or the reputation, viability or profitability of the employer's business or service. It may include work related theft, fraud or assault, or the staff member being intoxicated at work. It may also include the staff member refusing to carry out a lawful and reasonable instruction that is consistent with their contract of employment.

## Associated Resources

- The Fair Work Ombudsman's Best Practice Guide for Managing Underperformance can be found at the website link;

<http://www.fairwork.gov.au/Resources/best-practice-guides/Pages/managing-underperformance>

- For information about unfair dismissal, the Fair Work Commission's website link is ;

<http://www.fwc.gov.au/>

- Relevant staff disciplinary templates (as listed below) are available through the Fair Work Ombudsman's website;

<http://www.fairwork.gov.au/resources/templates/pages/managing-and-ending-employment>

- Letter of first warning
- Letter of final warning
- Letter of termination of employment with notice
- Letter of termination of employment – serious misconduct/summary dismissal
- Recording meetings with employees

Despite making every effort to ensure the quality of its resources, the AGMP cannot guarantee and assumes no legal liability for the accuracy, currency or completeness of this policy. It is your responsibility to check with the AGMP or obtain other appropriate professional advice to ensure that your policies are up to date and meet any relevant legislative requirements.

## WORK HEALTH AND SAFETY POLICY

### Policy Number

Version	Date adopted	Description of Change

### Background

A safe and healthy working environment enhances work effectiveness, productivity and performance; and is essential for worker wellbeing and morale. Work health and safety is the responsibility of all in the workplace and risks to health and safety are controlled through the engagement of all stakeholders in a culture of safety.

### Policy Statement

\_\_\_\_\_ complies with the Work Health and Safety (National Uniform Legislation) Act 2011.

\_\_\_\_\_ ensures as far as is reasonably practicable the health and safety of workers and stakeholders involved in its service delivery or business. It ensures as far as reasonably practicable;

- the provision and maintenance of a work environment without risks to health and safety
- the provision and maintenance of safe plant and structures
- the provision and maintenance of safe systems of work
- the safe use, handling and storage of plant, structures and substances
- the provision of and access to adequate facilities for the welfare at work of its workers
- the provision of any information, training, instruction or supervision that is necessary to protect all persons from risks to their health and safety arising from work carried out as part of the organization
- the health of workers and the conditions at the workplace are monitored for the purpose of preventing work related illness or injury

\_\_\_\_\_ strives for best practice work health and safety processes through;

- Risk management – risks that could be dangerous to the health and safety of workers and stakeholders are identified, assessed and well-managed
- Learning and development – induction, professional development and information processes are in place to support all in the workplace to participate in a safe and healthy manner. This includes education about relevant laws and regulations.

Despite making every effort to ensure the quality of its resources, the AGMP cannot guarantee and assumes no legal liability for the accuracy, currency or completeness of this policy. It is your responsibility to check with the AGMP or obtain other appropriate professional advice to ensure that your policies are up to date and meet any relevant legislative requirements.

- Communication and consultation – there are agreed consultation arrangements to discuss safety issues and develop workplace health and safety systems
- Continuous improvement – processes exist to improve health and safety practices

### Summary of Strategies and Practices

- \_\_\_\_\_ implements required workplace health and safety processes and accesses relevant codes of practice and expertise for guidance as required.
- \_\_\_\_\_ so far as reasonably practicable, consults with workers who are, or are likely to be, directly affected by a matter relating to health and safety. This includes giving workers a reasonable opportunity to express their views or raise issues about work health and safety at the workplace. This may include the election of a health and safety representative if workers wish to be represented by one. Workers may request the formation of a health and safety committee and this will be considered.
- Risk management processes are documented and implemented in consultation with workers and stakeholders including, where applicable, work health and safety representatives. The risk management processes include hazard identification, risk assessment, implementation of effective controls and review of control measures.
- Induction processes are documented and implemented and include work health and safety information and procedures. These in turn include information as to the responsibilities of workers to take reasonable care for their own health and safety and that of others who may be affected by their actions or omissions, consistent with \_\_\_\_\_ work health and safety processes and this policy.
- Relevant staff development in relation to work health and safety is provided to staff members as required and this is documented and regularly reviewed.
- Accident and incident reporting procedures, and measures to review practices to minimise risk of recurrence of incidents are in place. The Regulator (the Work Health Authority and its administrative arm, NT Worksafe) is notified as soon as \_\_\_\_\_ becomes aware of a death, serious or dangerous incident that occurs within the workplace or through the conduct of \_\_\_\_\_ business or service provision. Documentation relating to serious incidents is kept for a minimum of five years.
- Adequate numbers of workers are trained to administer first aid at the workplace or workers have ready access to an adequate number of other people who have been trained to administer first aid.
- An emergency plan is prepared that provides procedures to respond effectively in an emergency.



Despite making every effort to ensure the quality of its resources, the AGMP cannot guarantee and assumes no legal liability for the accuracy, currency or completeness of this policy. It is your responsibility to check with the AGMP or obtain other appropriate professional advice to ensure that your policies are up to date and meet any relevant legislative requirements.

## Definitions

Worker – any person who carries out work for the organisation, including work as an employee, contractor, subcontractor, apprentice or trainee, work experience student, employee of a labour hire company placed with the organisation and volunteers.

Workplace – any place where a worker goes or is likely to be while work is carried out for a service or business. This may include, but is not limited to, offices, shops, workshops, garages, equipment, plant and material compounds and warehouses, construction sites, vehicles, boats and aircraft.

Serious or dangerous incident

- A work related injury or illness that results in;
  - Immediate hospital treatment as an in-patient
  - Immediate treatment for serious injuries (for example, but not limited to, spinal injury, serious laceration and burns, head injury or eye injury)
  - Medical treatment within 48 hours of exposure to a substance
- Any infection to which the carrying out of work is a significant contributing factor
- Any incident that exposes a person to a serious health or safety risk from immediate or imminent exposure to;
  - The uncontrolled escape, spillage or leakage of a substance, including gas and steam
  - An uncontrolled implosion, explosion or fire
  - An electric shock
  - The fall or release from height of any plant, substance or thing
  - The collapse, overturning, dangerous failure or malfunction of, or damage to, plant equipment and structures

## Associated Resources

Work Health and Safety (National Uniform Legislation) Act 2011

<http://notes.nt.gov.au/dcm/legislat/legislat.nsf/linkreference/work%20health%20and%20safety%20%28national%20uniform%20legislation%29%20act%202011?opendocument>

Guide to the Work Health and Safety Act

[http://www.worksafe.nt.gov.au/Publications/Guides/guide\\_to\\_the\\_work\\_health\\_and\\_safety\\_act.pdf](http://www.worksafe.nt.gov.au/Publications/Guides/guide_to_the_work_health_and_safety_act.pdf)

NT Worksafe

<http://www.worksafe.nt.gov.au/home.aspx>

Codes of Practice are located at;

<http://www.worksafe.nt.gov.au/Publications/Code%20of%20Practice/Forms/AllItems.aspx>

Safe Work Australia leads the development of national policy to improve work health and safety and worker's compensation arrangements across Australia;

<http://www.safeworkaustralia.gov.au/sites/SWA>



Despite making every effort to ensure the quality of its resources, the AGMP cannot guarantee and assumes no legal liability for the accuracy, currency or completeness of this policy. It is your responsibility to check with the AGMP or obtain other appropriate professional advice to ensure that your policies are up to date and meet any relevant legislative requirements.

## WORKPLACE BULLYING POLICY

### Policy Number

Version	Date adopted	Description of Change

### Background

Workplace bullying is a risk to individual health and safety and the normal operations of an organization. It can occur wherever people work together. Everyone at the workplace has a work health and safety duty and can help to ensure workplace bullying does not occur.

### Policy Statement

\_\_\_\_\_ is committed to preventing workplace bullying as part of providing a safe, healthy and productive work environment.

\_\_\_\_\_ expects its employees, contractors, clients and the general public to;

- Behave in a responsible and professional manner,
- Treat all in the workplace with courtesy and respect,
- Listen and respond appropriately to the views and concerns of others,
- Be fair and honest in their dealings with others.

Workers are protected by this policy whether they feel bullied by a supervisor, another worker, client, contractor or member of the public.

This policy applies to behaviours that occur;

- In connection with work, even if it occurs outside normal working hours,
- During work activities,
- At work-related events, for example conferences and work-related social functions,
- On social media where workers interact with colleagues or clients.

Reports of workplace bullying are treated seriously and the response is prompt, impartial and confidential.

This policy is made available to all workers including contractors.

Despite making every effort to ensure the quality of its resources, the AGMP cannot guarantee and assumes no legal liability for the accuracy, currency or completeness of this policy. It is your responsibility to check with the AGMP or obtain other appropriate professional advice to ensure that your policies are up to date and meet any relevant legislative requirements.

## **Summary of Strategies and Practices**

- Should a worker feel they are being bullied and have felt unable to deal with the problem informally or their attempts to do so have not been successful, the worker reports the issue to their supervisor, health and safety representative, union delegate or other manager. If reported to a health and safety representative or union delegate, they bring it to the attention of the appropriate manager as soon as possible. The appropriate manager may be the CEO.
- Should a worker witness unreasonable behaviour, they bring this to the attention of their manager as a matter of urgency.
- The responsible supervisor or manager speaks to the parties involved as soon as possible, gathers information and seeks a resolution to satisfactorily address the issue for all parties.
- If the issue cannot be resolved, or the unreasonable behaviour is considered to be of a sufficiently serious nature, an appropriately experienced, impartial person is appointed by the manager to investigate. Both sides have an opportunity to state their case and relevant information is collected, considered and documented by this person before a decision is made by the manager on the basis of this information.
- Appropriate disciplinary action is taken against employees found to have participated in workplace bullying, or those found to have made a complaint maliciously or in bad faith, as per \_\_\_\_\_'s Staff Disciplinary Policy.
- Similarly, referrals are made to relevant outside authorities as action against those culpably involved from the organisation's contractors, clients or the general public.
- Should the investigation find that bullying has not occurred or cannot be substantiated, actions may still be implemented to address any workplace issues leading to the report.

## **Definitions**

Workplace bullying – repeated and unreasonable behaviour directed towards a worker or a group of workers that creates a risk to health and safety and normal workplace operations; behavior that a reasonable person, having considered the circumstances, would see as unreasonable, including behavior that is victimizing, humiliating, intimidating or threatening.

## **Associated Resources**

Safe Work Australia's Guide for Preventing and Responding to Workplace Bullying can be found at the following website;

<http://www.safeworkaustralia.gov.au/sites/swa/about/publications/pages/guide-workplace-bullying>

Note that, consistent with the Work Health and Safety Act, workers should have input into developing policies and procedures for workplace bullying that are best suited to the needs of the business or undertaking.

Despite making every effort to ensure the quality of its resources, the AGMP cannot guarantee and assumes no legal liability for the accuracy, currency or completeness of this policy. It is your responsibility to check with the AGMP or obtain other appropriate professional advice to ensure that your policies are up to date and meet any relevant legislative requirements.

## DISCLOSURE OF FINANCIAL INTERESTS AND CONFLICT OF INTEREST POLICY

### Policy Number

Version	Date adopted	Description of Change

### Background

Open and transparent decision making and implementation processes are fundamental to best practice corporate governance.

### Policy Statement

From time to time, issues may arise as a part of Governing Committee members' and staff members' dealings with \_\_\_\_\_ whereby they hold an actual or potential conflicted personal and/or financial interest. The Governing Committee member or staff member is required to declare and register their personal and/or financial interests in any dealing in which they are involved or that they can influence where \_\_\_\_\_ as an organization also has an interest.

### Summary of Strategies and Practices

- At the beginning of every meeting of the Governing Committee, members disclose any direct or indirect financial or personal interest in any matters being considered by the Governing Committee at the meeting. Following disclosure of the nature of the interest, the Governing Committee member does not take part in any decision of the Governing Committee related to the matter, nor do they influence the decision of another Committee member in relation to the matter.
- Governing Committee and staff members do not become involved in the promotion or endorsement of products and/or services where they have a personal or financial interest unless this has been approved in line with \_\_\_\_\_ policies and practices.
- If a Governing Committee member enters into a personal or business relationship with another Committee member or staff member that could result in a conflict of interest, then this relationship is reported to the Chairperson and Chief Executive Officer. A file note is made and recorded on the relevant Register of Interests.
- If a staff member enters into a personal or business relationship with a Governing Committee member or another staff member that could result in a conflict of interest, then this relationship is reported to their manager. A file note is made and recorded on the staff members' confidential personnel file.

Despite making every effort to ensure the quality of its resources, the AGMP cannot guarantee and assumes no legal liability for the accuracy, currency or completeness of this policy. It is your responsibility to check with the AGMP or obtain other appropriate professional advice to ensure that your policies are up to date and meet any relevant legislative requirements.

- Staff members undertaking or seeking second employment or seeking to enter into a business undertaking, gain the approval of the Chief Executive Officer, which may or may not be given based on conflicts/potential conflicts of interest that may arise, and also on its potential to affect the ability of \_\_\_\_\_ to achieve its objectives. If approved, details of second employment/business undertaking is disclosed on the Register of Interests.
- Where a conflict of interest may exist, details of Governing Committee and staff members' interests and the nature of those interests are recorded in the Register of Interests to be held in the office of the Chief Executive Officer. Where relevant, these may include but are not restricted to;
  - Membership of other corporations or organisations
  - A beneficial interest in an associated family or business trust
  - Details of real estate in which they have an interest potentially overlapping with those of \_\_\_\_\_
  - Significant debts or liabilities
  - Shares and similar investments in which they have an interest potentially overlapping with those of \_\_\_\_\_
  - Membership of political parties, or professional, business or like associations
  - Details of current/second employment

### **Associated Resources**

The Act under which an organisation is incorporated includes regulations in relation to disclosure of conflicts of interest.

CATSI Act 2006

<http://www.comlaw.gov.au/Series/C2006A00124>

NT Associations Act 2012

<http://notes.nt.gov.au/dcm/legislat/legislat.nsf/linkreference/ASSOCIATIONS%20ACT?opendocument>

Despite making every effort to ensure the quality of its resources, the AGMP cannot guarantee and assumes no legal liability for the accuracy, currency or completeness of this policy. It is your responsibility to check with the AGMP or obtain other appropriate professional advice to ensure that your policies are up to date and meet any relevant legislative requirements.

## COMPLAINTS POLICY

### Policy Number

Version	Date adopted	Description of Change

### Background

Complaints processes can be a valuable tool for continuous improvement within an organisation when they are viewed as an opportunity to improve service delivery.

### Policy Statement

\_\_\_\_\_ informs clients and stakeholders of its complaints processes and how to make a complaint. \_\_\_\_\_ also informs clients and stakeholders of relevant complaint resolution mechanisms and/or advocates that exist in addition to its own complaints processes.

Complaints are dealt with in an open, impartial, equitable, effective and prompt manner, and without reprisal or penalty.

Details of complaints received are not divulged to third parties without the written consent of the person making the complaint.

All complaints are recorded in \_\_\_\_\_'s Complaints Register, and any associated documentation is filed.

Each complaint is investigated and recommendations made as a result.

The person who makes the complaint is informed of the outcome of the complaints process and of further actions they may take should they not be satisfied with the outcome.

### Summary of Strategies and Practices

- \_\_\_\_\_'s clients and stakeholders are informed of complaints processes and how to make a complaint upon becoming clients and/or stakeholders of the organisation.
- Upon receipt of a complaint, the staff member documents the complaint immediately on the Complaints Register and ensures that relevant staff members are informed.
- An investigation into the complaint is undertaken and documented on the Complaints Register, and the outcome of the investigation is recorded there within one week or as soon as practicable following receipt of the complaint.
- Recommendations arising from the complaints process are documented there and, where applicable, action taken to adjust organisational practices and processes as required.

Despite making every effort to ensure the quality of its resources, the AGMP cannot guarantee and assumes no legal liability for the accuracy, currency or completeness of this policy. It is your responsibility to check with the AGMP or obtain other appropriate professional advice to ensure that your policies are up to date and meet any relevant legislative requirements.

- Should the outcome result in the need to implement disciplinary processes, these are undertaken in accordance with the Staff Disciplinary Policy.
- The person who made the complaint is informed of progress in relation to the complaint, and contacted in relation to the outcome of the complaints process as soon as practicable following its completion, and informed of further actions they may take should they not be satisfied with the outcome.
- The Complaints Register is completed and any documentation in relation to the complaint is filed.

## **Definitions**

Complaint – Any expression of dissatisfaction or grievance made to the organisation by a client or stakeholder in relation to the services the organisation delivers; the performance, behaviour or conduct of staff; or the complaints handling process itself.

## **Associated Resources**

- Program specific obligations in relation to responding to complaints is generally made clear in contractual documentation.  
Information and support in relation to complaints processes involving NT Health and Community Services programs (health, aged and disability programs) may be found at;  
<http://www.hcsc.nt.gov.au/resources/legislation-code/>



## SAMPLE WORKPLACE PARTICIPANT CODE OF CONDUCT

The \_\_\_\_\_ Code of Conduct was adopted on .....(date). This code applies to all employees, agents, contractors (including temporary contractors) and members of \_\_\_\_\_, referred to in this policy as 'workplace participants'.

### 1. Purpose

1.1 \_\_\_\_\_ recognises the importance of a work environment that actively promotes best practice. The purpose of this Code of Conduct is to set out the standards of behaviour and conduct expected from \_\_\_\_\_'s workplace participants in their dealings with suppliers, clients, co-workers, co-members, management and the general public. Compliance with this code is expected and non-compliance may result in disciplinary action.

1.2 \_\_\_\_\_ expects all workplace participants to conduct themselves well, both at work and as part of the community. Workplace participants are expected to act at all times in accordance with the law, and at work in accordance with \_\_\_\_\_ policies and the trust placed in them by \_\_\_\_\_ and its key stakeholders.

### 2. This means:

- i. Respecting each others' differences and not discriminating against others, or the opinions of others, on the ground of their cultural or family background, gender, national or ethnic origin, language, marital status, health status (Including HIV/AIDS status), age, disability, religion, political conviction, appearance or sexual orientation.
- ii. Not behaving in a manner that is harmful or offensive to \_\_\_\_\_ workplace participants, clients or members, other organisations and stakeholders or their property. Offensive behaviour includes but is not limited to the use of abusive language, violence, bullying and intimidation.
- iii. Acting with courtesy towards other workplace participants, members, clients, stakeholders, other organisations and members of the public.
- iv. Acting with reasonable care and diligence, and not being under the influence of alcohol or illegal drugs at work or when representing \_\_\_\_\_.
- v. Acting honestly and with integrity in performing official duties.
- vi. Taking responsibility for professional performance and care of \_\_\_\_\_ property; and carefully accounting for use of \_\_\_\_\_ resources at all times.
- vii. Not disclosing confidential \_\_\_\_\_ matters or information accessed through work to people outside the organisation either during or after employment, unless required to by law. Never using confidential information obtained through work at \_\_\_\_\_ to cause harm to \_\_\_\_\_, to another person or for personal or family gain. Confidential information includes, but is not limited to:
  - All \_\_\_\_\_ information that is designated by \_\_\_\_\_ as confidential
  - Information or data belonging to \_\_\_\_\_ that is confidential by its nature

- Information or data that is sensitive or that if released, would compromise \_\_\_\_\_ and/or its clients in a commercial, cultural, ceremonial, financial or policy context.
- viii. Contributing to the aims of \_\_\_\_\_ and working towards delivering the best possible standards of service to the community.
  - ix. Providing clients with accurate information about the \_\_\_\_\_ services available to them, and their rights and any implications regarding these services.
  - x. Working co-operatively with other staff and members, following \_\_\_\_\_ policies and procedures and satisfying any relevant legal, industrial and administrative requirements.
  - xi. Undertaking professional development and training as required by \_\_\_\_\_.
  - xii. Never acting, speaking or writing on behalf of \_\_\_\_\_ without relevant higher authority within the organisation to do so.
  - xiii. Declaring any gifts or benefits received from an existing or potential client or customer, supplier or other person with an interest in \_\_\_\_\_ with a total or combined value of \$50 or greater from a single source.
  - xiv. Disclosing any potential or actual conflicts of interest. This could be:
    - Personal beliefs or attitudes that influence advice given or delivery of service.
    - Close relationships with any person, company or organisation standing to substantially gain from \_\_\_\_\_.
    - Party political activities that affect \_\_\_\_\_ work.
  - xv. Complying with laws prohibiting consumption and supply of any alcohol or illicit drugs on Aboriginal Land or in Aboriginal communities. Where \_\_\_\_\_ provides housing to workplace participants on Aboriginal Land and/or in Aboriginal communities, the workplace participants *and* their family members and visitors must comply with these laws. Any breach may result in dismissal.
  - xvi. Reporting actual or possible breaches of the Code of Conduct to \_\_\_\_\_'s Chief Executive Officer.
3. \_\_\_\_\_ will counsel or appropriately discipline any workplace participant that breaches the Code of Conduct. This may include dismissal.

### **New Workplace Participant Code of Conduct Agreement**

I, \_\_\_\_\_ have read and understand the \_\_\_\_\_ Code of Conduct, and agree to act in accordance with the clauses it sets out.

\_\_\_\_\_  
Signature (Employee)

\_\_\_\_\_  
Date

\_\_\_\_\_  
Signature (Witness)

\_\_\_\_\_  
Print Name (Witness)

\_\_\_\_\_ **Register of Interests**  
**Governing Committee and Staff Members**

**Full Name of Committee or Staff Member** \_\_\_\_\_

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

This is a register detailing where an actual or potential conflicted personal and/or financial interest may exist between your own interests and those of the Corporation. Only complete those sections below if/where an actual or potential conflict of interest exists. (For example, there is no need to disclose details of real estate in which you have an interest unless this interest potentially overlaps with expansion, development, building etc plans of the Corporation) **Note that if a staff member is employed elsewhere, or is involved in a business undertaking, then this must be declared below.**

**A. INTERESTS AND POSITIONS IN OTHER CORPORATIONS**

Name/address of each corporation	Nature of Interest	Your position in the organisation (if applicable)

**B. MEMBERSHIP OF POLITICAL PARTIES, OR PROFESSIONAL, BUSINESS OR LIKE ASSOCIATIONS**

Name of organisation	Description of Position

**C. REAL ESTATE**

Address of property in which I have an interest	Nature of the Interest

**D. OTHER EMPLOYMENT AND/OR BUSINESS INTERESTS**

Description of position or business interest	Name and contact details of Employer or Business

**E. OTHER SOURCES OF INCOME (eg. investments, shares, trusts)**

Description of other sources of income	
--	--

**F. DEBTS OR LIABILITIES**

Nature of Debts and/or Liabilities	
------------------------------------	--

**G. ANY OTHER RELEVANT DISCLOSURE (eg. close relationships with persons, companies or organisations standing to substantially gain from this Corporation)**

Description	
-------------	--

Signature of Person Making Disclosure \_\_\_\_\_

Date \_\_\_\_\_

# COMPLAINTS FORM

Ref No. \_\_\_\_\_ Date \_\_\_\_\_ Site/Location \_\_\_\_\_

Name of Person Making Complaint: \_\_\_\_\_

Phone Number: \_\_\_\_\_ email: \_\_\_\_\_

Address: \_\_\_\_\_

How was complaint received? (Please tick as applicable):

In person	
By telephone	
By email	
In writing	
Other	

Nature of complaint (if received in writing please attach):

SAMPLE

1. Complaint investigation plan
2. Outcomes of investigation
3. Recommendations
4. Has the person who made the complaint been contacted in relation to the outcome of the complaint? If so, please provide details
5. List any evidence attached

Entered in Register by \_\_\_\_\_ Date: \_\_\_\_\_

CEO Signature: \_\_\_\_\_ Date: \_\_\_\_\_

## Sample Complaints Register

[illegible]