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## Section 5: People Policies

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### Relevant standard, legislation or controls

- Refer to the Introduction for a full list foundation principles and standards.
- BENH Document Register
- Association Incorporation Reform Act 2012
- Fair Work Act 2009 (Cth)
- Fair Work Regulations 2009 (Cth)
- National Employment Standards
- Neighbourhood Houses & Adult Community Education Centres Collective Agreement 2017
- Labour Market Assistance Industry Award 2010
- Carer Recognition Act 2010
- Privacy Act 1988 (Cth)
- Long Service Benefits Portability Act 2019 (Act)
- Australian Health Management Plan for Pandemic Influenza (AHMPPI)
- Biosecurity Act 2015 (Commonwealth)
- Occupational Health and Safety (OHS) Act 2004

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### 5.1 Flexible Working Arrangements

VERSION NUMBER	2		
DATE RATIFIED	16/06/2021	DATE FOR REVIEW	

#### Policy Declaration

BENH recognises that greater flexibility for staff enables employees to provide a higher level of support to our organisation when it is most needed. Defined by the National Employment Standards (NES), Flexible Working Arrangements are valuable guidelines to support the best working relationship between BENH and its employees.

This policy gives effect to industrial obligations regarding Flexible Working Arrangements according the appropriate awards which support the employment of staff at BENH.

Employees may consider the following options for a flexible working agreement request:

- Job share
- Reduced hours
- Flexible hours
- Working from home
- Special leave
- Leave without pay

- Other arrangements to be specified

## Policy Description

### **Application:**

This policy makes provision for several options which are available for employees who wish to make flexible working arrangements to assist in accommodating an appropriate balance between work and personal life outside work. In particular, this policy is intended to assist the organisation to implement the requirements of the National Employment Standard (NES) regarding requests for flexible working arrangements for staff with at least 12 months' service who:

- are a parent or guardian of a child who is school age or younger.
- are a carer.
- have a disability.
- are 55 or older.
- are experiencing family or domestic violence.
- are caring for or supporting an immediate family or household member who requires care or support because of family or domestic violence.

### **Background:**

Under the NES, employees may request from their employer flexible working arrangements due to a change in their circumstances. A flexible working arrangement is designed to ensure that staff can achieve a good work/life balance. Casual staff have limited access to Flexible Working Arrangements under the NES.

### **Objectives:**

Prior to making application for or responding to a request of Flexible Working Hours BENH employees and Managers will read the information available on the Australian Fair Work Ombudsman website to ensure management of Flexible Working Arrangements are completed in accordance with the most recent rules. The NES will prevail in the event of any inconsistency.

Staff may elect, with the agreement of their Manager, to work additional hours as flexible hours. Time Off In Lieu (TOIL) accrued at the initiative of the employee as flexible hours is not Overtime. If not taken, such TOIL will be paid out on termination at ordinary hours' rates.

All Flexible Working Arrangements will be clearly articulated in a written agreement and kept on file with the employee's other employment documentation.

Flexible Working Arrangements are not required where staff work Overtime with the approval or at the request of their Manager. In this instance refer to the Overtime and Time Off in Lieu Policy. Flexible extra hours may only be worked within the ordinary span of hours prescribed by the relevant Award / Collective Agreement (for example, 6am to 8pm Mon to Fri). Flexible extra hours may only be worked to a maximum of 10 hours in a day.

Flexible Working Arrangements are available subject to operational requirements. As a consequence there may be some positions in the organisation where flexible working arrangements will not be available to staff.

#### **Related Policies and Procedures:**

- Code of Conduct Policy
- Code of Ethics Policy
- CoM Charter
- Rules of Association
- Continuous Improvement Policy
- Induction Policy
- Recruitment and Appointment of Staff Policy
- Overtime and Time off in Lieu Policy

### **5.1.1 Flexible Working Arrangement Procedures**

This information must align with the information in relevant Award/ Collective Agreement. The Award/ Collective Agreement will prevail in the instance of any inconsistency.

A staff member making a request for flexible arrangements will provide a written proposal using the Flexible Working Agreement Request Template DR-5.1.1.1 to the Manager.

When requesting any of the above flexible arrangements, the Manager will seriously consider the request and subject to operational requirements will not unreasonably withhold agreement. It is recognised that agreeing to such requests may require some reasonable accommodation and changes to usual arrangements to be made by the employer.

We also recognise consideration of a request may lead to some negotiation and modification of the staff member's original proposal.

In general, requests for flexible arrangements may only be refused on grounds of operational requirements where it can be demonstrated that the proposal will lead to significant adverse consequences for the organisation such as:

- the burden of additional costs.
- detrimental effect on the ability to meet customer demand.
- inability to reorganise work among existing staff.
- detrimental impact on quality.
- detrimental impact on performance.
- insufficiency of work during the periods the staff member proposes to work.
- planned structural changes.

Before responding in writing to a request for Flexible Working Arrangements the Manager will meet the staff member to explore any alternative arrangements that may work better, or if it is appropriate to trial the arrangement first.

BENH will respond to a written request using the Flexible Working Agreement Response Template DR-5.1.1.2 within 21 days, in accordance with the National Employment Standards.

Unless otherwise mutually agreed, the maximum amount of TOIL for flexible hours accrued must not exceed the equivalent of two (2) working weeks. Once a staff member's accrued TOIL exceeds this limit, their Manager may discuss with the staff member when the TOIL will be taken. If no agreement is able to be reached about when the staff member will use the accrued TOIL in excess of 50% of the TOIL hours, the staff member's Manager may direct that it be taken at a time of the Manager's choosing, or in exceptional circumstances may authorise that it be paid out. TOIL for flexible hours which is paid out will be at the ordinary time rate.

Where Flexible Working Arrangements are used, it is expected that staff will generally use TOIL rather than paid leave to cover minor absences such as appointments and to help manage peaks and troughs in workloads.

## 5.2 Overtime and Time off in Lieu (TOIL)

<b>VERSION NUMBER</b>	<b>2</b>		
<b>DATE RATIFIED</b>	16/06/2021	<b>DATE FOR REVIEW</b>	

### Policy Declaration

BENH recognises that greater flexibility for employees enables employees to provide a higher level of support to our organisation when it is most needed. The policy seeks to clearly distinguish between arrangements for overtime and flexible working arrangements to:

- Ensure all employees are treated consistently and Managers and staff are aware of the procedures for time of in lieu (TOIL).
- Give effect to industrial obligations regarding TOIL for overtime.

## Policy Description

### **Application:**

This policy affects all BENH employees. The policy sets the general parameters for managing TOIL and should be read in conjunction with any relevant Award or Collective Agreement. The Award / Collective Agreement will prevail to the extent of any inconsistency. Furthermore, the specific rostered hours set for each staff member will normally be set out in their contract of employment.

### **Background:**

From time to time employees may be required to work outside their rostered hours to accommodate a personal issue, pressing work issue, or attend meetings or training. The CoM recognises that in some circumstances Time Off In Lieu (TOIL) can provide a flexible way to balance both the needs of the service and the personal needs of the individual employee. TOIL needs to be managed in a way which is industrially fair and beneficial to staff and which is also operationally and financially sustainable for the Centre. This arrangement is designed to ensure that staff are not working excessive hours and to ensure work/life balance.

It is not expected that TOIL will be a standard or regular occurrence.

### **Objectives:**

Employees who work additional hours to their normal hours of employment may be entitled to TOIL under their relevant Award or Agreement, where the additional hours are overtime which has been approved in advance.

Employees may also work some additional hours as part of a flexible working arrangement, with the agreement of their Manager and accrue TOIL on a flexible basis subject to the Flexible Working Arrangement Policy.

Staff who work additional hours to their normal hours of employment may be entitled to TOIL provisions under the Agreement, where the additional hours are overtime which has been approved in advance.

An important objective of this policy is to ensure that staff do not carry an excessive amount of TOIL for greater than 12 months. The organisation reserves the right to review

and amend this policy if TOIL accruals across the organisation regularly exceed the limits set by this policy.

Records of TOIL hours, indicating whether for overtime or for flexible hours, are kept on the staff member's timesheet.

#### **Related Policies and Procedures:**

- Code of Conduct Policy
- Code of Ethics Policy
- CoM Charter
- Rules of Association
- Induction Policy
- Flexible Working Arrangements Policy

### **5.2.1 Overtime and Time Off In Lieu Procedures**

This information must align with the information in relevant awards/agreements. The Award will prevail in the instance of any inconsistency.

- Overtime may only be worked with the prior approval of the Manager or relevant Manager. It is intended that overtime will only rarely be required to be worked.
- A staff member who is required to work overtime may be granted TOIL for overtime subject to agreement between the staff member and their Manager. This should be determined before any overtime is approved.
- Approved TOIL for overtime accrues as detailed in the relevant award or collective agreement
- TOIL can be accrued and taken only with the prior approval of the Manager.
- If individuals choose to stay late to complete work, then that is their own choice and cannot be taken as TOIL.
- TOIL should be calculated in 15-minute intervals and can be claimed where the additional time worked exceeds 15 minutes, in the first instance.
- TOIL must be recorded on the staff timesheet and signed by the employee and Manager at the time it is accrued or taken.
- TOIL can only be accrued and taken in accordance with this policy.
- TOIL leave must be taken at a time approved by the staff member's direct Manager or Manager.
- TOIL should be redeemed as soon as possible after it has been accrued and all TOIL must be taken within 12 months of being accrued.

## 5.3 Performance Management

VERSION NUMBER	2		
DATE RATIFIED	16/06/2021	DATE FOR REVIEW	

### Policy Declaration

BENH's performance management approach is designed to provide a vital link between the BENH Business Plan, its vision and guiding principles and individual staff members. Our performance management approach supports great workplace culture and staff wellbeing by enabling clear communication, troubleshooting and goal setting to enable our staff and our organisation to achieve success. This policy ensures that performance management of staff is clearly defined and is applied consistently across the organisation.

### Policy Description

#### **Application:**

This policy applies to all BENH staff and any persons involved in conducting performance management activities at BENH. Volunteers who do not have an ongoing position (e.g. once-off event volunteers) may request to participate in a performance review in order to obtain feedback and experience regarding their position and performance.

#### **Background:**

BENH staff are our most vital resource. We strive to maintain our positive work culture, which reflects our Code of Ethics and Code of Conduct. We ensure our organisational goals are linked to the individual performance of our objectives of our staff, facilitating the flow of strategy into action.

#### **Objectives:**

In line with our Continuous Improvement Policy, BENH is committed to the growth and development of our organisation. We believe our staff are our most important asset and that investing in their professional development and workplace understanding is a direct investment in our community.

Performance management is part of the day to day responsibilities of the Chair, the Manager and our team leaders - encouragement, positive feedback and attention to detail is essential in supporting people to succeed.

BENH is also committed to an annual Performance Review Cycle, where deeper exchange of information, ideas and opportunities is enabled via the Manager. For this to occur, the Manager is responsible to ensure:

- All staff have access to the Performance Management Policy, included in the policy manual, at staff induction.
- During the first month of a person's commencement in a role their Manager will work with them to develop a Goal Performance Plan (GPP) DR-5.3.1.1, which will outline the person's goals and objectives and individual development priorities for a 12-month period, in line with their Position Description and the BENH Business Plan. Consideration should also be given to the individual's long-term career objectives. The GPP will be updated during the Financial Year Period.
- Annual Performance Review with each staff member will be completed within an established eight-week performance review period during each financial year using the Performance Review Template DR-5.3.1.2.
- Progress reviews or ongoing Feedback Appraisals may be conducted on an informal basis more frequently throughout the financial year.
- Periodic assessment and discussion of performance will be carried out throughout the course of the review period between the Manager and staff on an "as needed" basis.

The CoM is responsible to ensure a similar process is negotiated and implemented for the Manager.

Satisfactory completion of the annual performance review will determine the relevant level with the pay schedule appropriate to their award. Where employees have achieved satisfactory performance, they are eligible to be back paid the difference in wage to the anniversary of their commencement date.

Unsatisfactory performance at performance review may result in the following:

- Provision of professional development.
- Performance counselling.
- Agreement to address performance with a specified period.

If the person enters into an agreement to address performance and meets the requirements of the agreement within the agreed timeframe, they may be eligible to move up a level within their pay schedule. If the staff person does not enter into an agreement or does not meet the conditions of the agreement, then they are not eligible to move up a level within their pay schedule.

## **Related Policies and Procedures:**

- Code of Conduct Policy
- Code of Ethics Policy
- CoM Charter
- Rules of Association
- Continuous Improvement Policy
- Induction Policy
- Recruitment and Appointment of Staff Policy

### **5.3.1 Performance Management Procedures**

#### **Performance Review**

Performance reviews are intended to be a constructive process to support two-way communication about the achievement the individual's goals. Performance reviews should be seen as:

- an opportunity to recognise and celebrate the contribution of the staff member to the organisation.
- an opportunity to identify and address risks caused by under-resourcing, misaligned expectations, or skill gaps.
- Providing a healthy and supportive work environment

The information and documentation from performance review is confidential.

BENH performance reviews are:

- A consistent, clear and fair process for all staff.
- To be scheduled ahead of time to allow consideration and contribution by the individual staff member.
- To focus on results and outcomes, with a strong link between the staff person's goals, their position description and the BENH Business Plan.
- To confirm the goals and targets for the next 6-12 months, including training and development.
- To include a review of the staff person's position description and its accuracy and update if necessary.
- To provide an opportunity for the staff person to provide feedback to the Manager regarding the support they need to be effective in the workplace

Process:

1. Criteria for review are agreed on using the staff person's position description and areas of responsibility, as well as any all-of-staff criteria identified by the Manager. Usually these are established at the end of the performance review for the next period.
2. Measurements for review should also be identified and defined - simple is best, i.e. Exceeds Expectations, Satisfactory, Needs some improvement, Highly satisfactory.
3. Recognition of significant actions, duties or contributions the staff person has undertaken outside the previously identified GPP is included in the review discussion.
4. Concerns and difficulties should also be identified, as well as suggestions for training or possible improvements.
5. The staff member uses the criteria to review and appraise their own work.
6. The Manager Completes a review of the staff person's performance using the Performance Review Template DR-5.3.1.2
7. The staff member and Manager meet to discuss the results of the separate reviews. Discussion should unpack differences in assessment and identify successes as well as challenges. The results of the discussion will form the basis of the Goal Performance Plan DR-5.3.1.1 and appraisal criteria for the next 6-12 months.

## **Performance Counselling**

The purpose of performance counselling is for a prompt resolution of the issue when a person is not achieving appropriate or acceptable standards of performance.

The Manager is required to ensure staff perform competently and behave in a manner which complements the mission and values of BENH Code of Conduct and Code of Ethics.

Performance counselling is initiated in instances when performance and/or conduct have been identified as lacking. It is the first step in correcting performance and conduct related problems when they begin to cause concern and ensuring staff have every opportunity to succeed.

The Manager is required to engage in performance counselling with a person to:

- Find the cause of the conduct or performance problem.
- Work with the staff person to develop an action plan for improving the identified poor performance and/or conduct.

- Gain the staff person's commitment to the plan whereby the performance and/or conduct is improved.

Upon completion of the performance counselling session(s), the Manager must:

- Document the performance counselling session in writing with both parties signing a copy of the record to reflect a true and accurate reflection of the outcomes achieved in the session (In instances where the staff person refuses to sign a copy of the record, the reason for the refusal must be documented).
- Follow up the counselling session with an agreed date to review the staff person's progress.
- Place a copy of the performance counselling documentation on the staff person's file.
- Remove the documentation after period of 12 months, providing that the performance issue has been successfully resolved.

In instances where the counselling process does not achieve the desired results or when a staff person has clearly breached acceptable standards of BENH, disciplinary action is initiated.

### **Formal Disciplinary Action**

If it becomes clear that staff performance counselling has failed to correct a performance and/or conduct related issue, or where a person has clearly breached their obligations there is a requirement to undertake formal disciplinary processes.

When disciplinary procedures are employed, Managers must:

- Treat every case on its own merits.
- Seek advice and assistance from a relevant authority e.g. NH Assist or an independent consultant.
- Ensure the Manager or Manager has another person with them as a witness when meeting with or speaking to the person.
- Notify the CoM Chair of the commencement of formal disciplinary action and the reasons why.

To be certain that a fair and impartial process has been followed when disciplining a person, the following guidelines must be adhered to.

- The person must be given the opportunity to discuss and respond to performance issues.

- The person will be given appropriate support to resolve such performance problems, in accordance with BENH legislative requirements, in a prompt manner
- If a person’s performance does not improve to the required standards or the issue is not successfully resolved, then it is possible the outcome may be termination of employment.

Employee performance counselling and/or disciplinary action must take place prior to any decision regarding termination unless a serious breach of BENH policies occurs.

## 5.4 Professional Development

<b>VERSION NUMBER</b>	<b>2</b>		
<b>DATE RATIFIED</b>	16/06/2021	<b>DATE FOR REVIEW</b>	

### Policy Declaration

BENH is committed to providing a supportive and rewarding environment for staff and CoM members and recognises that the professionalism, capacity and commitment of our staff are linked to the ongoing development of their skills and competencies. This policy supports our staff and CoM members in their professional and career development and provides guidelines to ensure fairness and equity in the application of this principle.

### Policy Description

#### **Application:**

This policy applies to all BENH staff and members of BENH CoM.

Volunteers who do not have an ongoing position (e.g. once-off event volunteers) may request to participate in a professional development opportunity provided by BENH in order to obtain experience.

#### **Background:**

BENH recognises professional development is vital to workplace wellbeing, productivity, reward and recognition - whether you are an employee, volunteer or committee member. Professional development is critical to the achievement of the organisation's mission and continuous improvement in the quality of its programs and services.

#### **Objectives:**

All BENH staff and CoM Members receive professional development when they join our organisation. As per our Induction Policy, all BENH staff and CoM members must receive:

- Orientation to BENH
- Induction in BENH goals, policies and procedures, strategic plan and other key documents

Other professional development opportunities are encouraged to extend and enhance individual capabilities and capacity, potentially including:

- On-the-job training.
- Internal and external courses.
- Support for other educational studies.
- Attendance to conferences and seminars.
- Coaching and mentoring programs.
- Networking opportunities.

Staff are encouraged as part of the BENH performance review process, to take an active role in their own ongoing professional and career development and to apply their learning to its most effective use.

To achieve this, the CoM authorises an appropriate expenditure budget to facilitate appropriate professional development opportunities for staff.

The Manager is responsible for administering the annual professional development budget in a manner which is fair and equitable, in the best interests of the organisation and responsive to needs of individual members. Not all professional development will require a budget and other resources may need to be reallocated as is feasible. All professional development should be documented in the staff person's Goal Performance Plan and Annual Performance Review, as per the Performance Management Policy.

#### **Related Policies and Procedures:**

- Code of Conduct Policy
- Code of Ethics Policy
- Continuous Improvement Policy
- Induction Policy
- Performance Management Policy

## 5.4.1 Professional Development Procedures

### All Staff Professional Development

All staff professional development initiatives may be identified by the Manager and included in the annual professional development calendar and where required, budget.

Broadly, professional development initiatives might include:

- Training related to workplace health and safety.
- Sector orientation.
- Skill specific workshops, e.g. community development, volunteer management, etc.

Planning of professional development initiatives must ensure that staff will not be unreasonably impacted in their Goal Performance Plan delivery.

### Individual Staff Professional Development

This policy and other relevant information regarding professional development will be included in the staff induction procedure.

The budget for professional development will be allocated as part of the annual budget process and approved by the CoM.

The CoM is responsible for approving professional development opportunities for the Manager. The Manager is responsible for approving professional development opportunities for all staff.

Process:

After the budget has been established the Manager is responsible to ensure:

- Staff are advised of the opportunities and constraints related to professional development for the forthcoming year.
- Staff are provided with a copy of the Professional Development Policy and are made familiar with the procedures for applying for professional development.

An application for staff to complete professional development is required to be submitted for approval in writing to the Manager. The application should outline:

- Overview of the professional development program, including content, cost, time requirements, etc.

- How the program relates to the individual's goal performance plan, or other identified benefit to BENH.
- Whether position backfilling will be required and is available.

The Manager will consider all applications for feasibility, considering:

- Budget.
- Overall BENH training needs and priorities.
- Impact on the organisation.
- Equity in provision of professional development between employees.
- Whether changes to the individual's conditions of employment (hours of work, leave, use of equipment, etc.) are required and if so, are these achievable.

Where a professional development application is rejected by the Manager, an alternative recommendation should be offered to the person on how they may otherwise achieve their goal. If staff have a disagreement with the Manager over this, they can request the CoM Chair review their request.

Records of professional development will be maintained in the individual's personnel file.

The above procedure should be followed by the CoM in relation to the Manager.

### **CoM Professional Development**

This policy and other relevant information regarding professional development will be included in the CoM induction procedure.

CoM members interested in pursuing professional development related to their governance role should discuss the opportunity with the Chair and Manager.

The Chair, Manager and CoM member will review the opportunities to complete the professional development requested according to resources available, such as internal mentoring, pro-bono training or workshops by partners, coaching or training via Central Highlands Association of Neighbourhood Houses or Neighbourhood Houses Victoria, conferences or other training events.

Where possible, all professional development opportunities for CoM will be supported.

## 5.5 Recruitment and Appointment of Staff

VERSION NUMBER	2		
DATE RATIFIED	16/06/2021	DATE FOR REVIEW	

### Policy Declaration

BENH is committed to best practice recruitment strategies to attract the best person for a role in our organisation. As a workplace committed to inclusion and diversity our recruitment policy and procedures are efficient, logical, relevant and succinct. This policy defines the organisational requirements to achieve fair, transparent and effective recruitment practices, which reflect a commitment to diversity and inclusion in our workplace.

### Policy Description

#### **Application:**

This policy applies to the recruitment of all staff, including employees and volunteers, within BENH.

#### **Background:**

BENH is a community organisation, promoting and creating opportunities where people can participate, learn and connect. It is fundamental for our organisation to demonstrate strong commitment to inclusive recruitment practices to strengthen and grow our organisation.

#### **Objectives:**

BENH will ensure it attracts the best available people to guarantee an inclusive and diverse workforce by:

- Maintaining clear and succinct, up-to-date Position Descriptions (PDs), which identify and prioritise the most important tasks and capabilities required to perform the role. All PDs include an employee requirement for a Police Check and Working with Children Check Employee (WWC).
- All position descriptions include a clear commitment to child safety and an awareness of our social and legislative responsibilities to uphold child safety. The following statement will be included in all position descriptions: 'The Ballarat East Neighbourhood House is a child safe environment. Our Centre actively promotes the safety and wellbeing of all visitors and users and all staff are committed to protecting children from abuse or harm in our environment, in accordance with our legal obligations including child safe standards. Our Child Safety Policy is available in our Policy & Procedures Manual on our website'.

- Succession planning identifies timeframes, techniques and people who should be involved in making the appointment.
- Vacant positions are either advertised in a timely and appropriate manner, or where specific skill requirements are identified, individuals may be invited to apply. All vacant position information must accurately reflect the nature of the position and the values of our organisation and applicant screening requirements.
- Any potential bias will be removed from the application process by avoiding requesting information not relevant to the applicant's competency to undertake the role.
- Ensuring an appropriate staff selection framework is developed for all positions to ensure that objective means of selection are applied to all vacancies. Assessment will include the applicant's suitability to specific and objective key selection criteria which reliably measure and assess their ability to successfully perform the requirements of the position.
- Screening and vetting applicants to ensure applicants are a good fit for our organisation and can be entrusted with the duties of the position, as well as pass Police Check and Working with Children Check requirements.
- Maintaining confidentiality and the privacy of each applicant at all times.

The CoM is responsible for appointing the Manager. The Manager is responsible for all other appointments within the organisation. The Manager may seek assistance from CoM members or external independent people with the appointment process.

All recruitment and selection procedures and decisions will reflect BENH's commitment to provide equal opportunity by assessing all potential candidates according to their skills, knowledge, qualifications and capabilities.

#### **Related Policies and Procedures:**

- Code of Conduct Policy
- Code of Ethics Policy
- Induction Policy
- Privacy Policy

## **5.5.1 Recruitment and Appointment of Staff Procedures**

### **Succession Planning:**

- Planning for vacant positions by the Manager, or in the case of the Manager position, Chair, determines an appropriate selection process, which may or may not include a written application or formal qualifications.

- Ideally the selection panel will reflect the diversity of the community and include an independent panel member. The panel will be briefed against allowing unconscious bias to influence decision making.
- We actively encourage applications from Aboriginal peoples, people from culturally and linguistically diverse backgrounds and people with a disability.
- Where appropriate, diversity and skill set may be considered as a merit for recruitment purposes.

### **Selection:**

- Selection processes may incorporate a range of techniques for assessment of suitability, such as work simulation, group interviews, or written key selection response.
- An appropriate shortlisting methodology will be applied by the panel, according to the selection process. The shortlisting process will focus on individual aptitude and ability to complete tasks required.
- Unsuccessful applicants will be notified by letter/email no later than three weeks after the successful applicant has returned the signed Contract of Employment.
- Staff and volunteers should not be advised of the outcome of the selection process until the chosen applicant has accepted the position in writing.
- All personal documents of job applicants should be retained until probation period has been completed.

### **Offer of employment:**

- The offer of employment should be made first by telephone and, upon acceptance, in writing.
- The offer of employment should include:
  - a Police Check form or electronic link for completion.
  - Request for Working with Children Check Employee.
  - Contract of Employment which includes the starting date of employment, place of employment, hours of work, time in lieu, duties, salary award, dress code, confidentiality, probationary period, remuneration, superannuation and termination conditions.
  - Tax File Number Form.
  - Superannuation Choice Form.
  - Employee Details form.
  - Fair Work Statement.
  - Other relevant employment documentation.
- The Contract of Employment will become valid once:

- Contract has been signed by the approved applicant and returned and co-signed by the Manager.
- Copy of Police Check is provided or completed Police Check form has been submitted.
- Copy of Working With Children Check is provided, or completed Working With Children Check has been submitted.

### **Police Checks and Working with Children Checks:**

- Positions directly involved with working with children under 18 are required to have Police and Working With Children Checks prior to commencement.
- Other positions must obtain police checks as soon as possible; however, employment is subject to a satisfactory police check. Maintaining a great work environment, supported with great management and free from harassment and discrimination.
- BENH will pay for a staff police check if the new staff member does not have a current police check available.
- Police Checks must not be more than 12 months old to be considered current.
- Only the Manager will handle Police/WWC Checks and records will be in a secure location.
- The Manager is responsible for assessing the police check results and the suitability for that person to be employed at BENH and in what capacity, according to the DHHS Service Information Kit.
- Police/WWC checks must remain valid.
- The CoM has the right to request an updated police check from an individual at any time.

### **Probation**

- Successful applications will be employed with a probation period of three months, or six months for the Manager. At the end of the probation period the appointment will be reviewed.
- During the probation period either party can terminate the appointment to immediate effect.

## 5.6 Safe Workplace

VERSION NUMBER	2		
DATE RATIFIED	16/06/2021	DATE FOR REVIEW	

### Policy Declaration

BENH is committed to protecting the health, safety and welfare of staff and others at work. This policy supports BENH to be compliant with the OHS Act 2004 and supports everyone associated with the organisation to take reasonable care for maintaining their health and safety and for minimising the risk of harm at work.

### Policy Description

#### Application:

This policy applies to all BENH staff, tutors, contractors and members of BENH CoM.

#### Background:

Our organisation plays a vital role in supporting our community's members to grow and succeed. This can only be achieved in an environment where everybody feels safe and supported.

#### Objectives:

BENH has a moral and legal responsibility to provide a safe and healthy workplace. This policy outlines the actions BENH takes to ensure all staff, CoM members and BENH users are able to work in a physically and emotionally safe and supportive environment, through;

- Office environment management.
- Working alone protections.
- Intolerance of workplace bullying.
- Intolerance of sexual harassment.
- Avoiding work related stress.
- Intolerance of Occupational Violence and Aggression.

All staff and CoM members will be briefed on this policy in accordance with the Induction Policy and have a collective responsibility provide and maintain, so far as is practicable, a working environment that is safe and without risks to health.

#### Related Policies and Procedures:

- Code of Conduct Policy

- Code of Ethics Policy
- Induction Policy
- Privacy Policy

## 5.6.1 Safe Workplace Procedures

### **Office Environment Management**

The Manager will ensure that the physical environment at work is safe, healthy and regularly maintained.

The Manager is responsible to ensure that the office layout is safe and that all workers are provided with adequate seating, lighting, heating, ventilation, toilet and kitchen areas and space free from chemical and noise pollution.

Staff and CoM members will establish warning systems for the office, including verbal codes to alert others in the event of a high-risk event.

The Manager will ensure that there are well-maintained first aid kits available in a prominent location.

The local fire authority will be consulted by the Manager as necessary about fire safety measures – including extinguishers and fire blankets and instructions for their use.

All staff will ensure the safe use, handling and storage of any chemicals or cleaning products used by the organisation.

Staff and CoM Members will document any workplace accidents/incidents, first aid treatments and health/safety training sessions that are attended in the workplace/externally by workers and/or management.

### **Working Alone Protections**

The CoM discourages working alone at BENH but will ensure that appropriate safety arrangements are in place should any staff member need to work alone at any time.

Generally, there should be at least two people on duty at the BENH premises at any time.

When there is a specific need for only one worker to be in the BENH facility, the building must be secured in such a way as to prevent access by members of the public or unauthorised persons.

Outdoor and off-site activities, including meeting clients, should not be conducted in isolation. Staff should not visit client's homes alone making sure they take another staff member with them.

Where night time classes occur the staff person or tutor should ensure:

- They are parked in a well-lit spot.
- They have access to a BENH duress alarm.
- They exit the facility with a class member, coordinating activities and requesting support as required.
- Once safely in their own vehicle they witness the departure of students, offering appropriate and safe assistance if needed.

If a BENH user needs to be transported to another location by BENH staff, BENH staff should endeavour, for their own safety, to find transport options which will not require them to be alone in a vehicle with the BENH user.

### **Intolerance of Workplace Bullying**

In alignment with our Code of Conduct, workplace bullying and other forms of harassment will not be tolerated at BENH. Workplace bullying is characterised by persistent and repeated negative behaviour directed at an employee that creates a risk to health and safety.

Workplace bullying includes the persistent occurrence of:

- Verbal abuse.
- Intimidation and threats.
- Withholding information that is essential for someone to do their job.
- Excluding or isolating others.
- Interfering with someone's personal property or work equipment.

Anyone experiencing bullying should report the incident to the Manager immediately. The Manager will investigate the allegation as soon as practicable and where appropriate, develop recommendations for the resolution of the complaint. Resolution strategies could involve mediation and/or disciplining of the perpetrator.

All staff will have access to information and training about identifying, preventing and responding to workplace bullying.

### **Intolerance of Sexual Harassment**

BENH considers sexual harassment to be an unacceptable form of behaviour that will not be tolerated. We believe that all people have the right to an environment that is free of sexual harassment.

Sexual harassment means that someone is making unwelcome comments or advances of a sexual nature, or requesting unwanted sexual activity - and you believe that to refuse will lead you to being unfairly treated. It has nothing to do with mutual attraction or private consenting friendships, whether sexual or otherwise. Examples of sexual harassment include:

- persistent unwelcome demands, or even subtle pressures for sexual favours.
- leering, patting, pinching, touching, or unnecessary familiarity.
- jokes, messages or telephone calls of an offensive sexual nature.
- distribution or display of material which is offensive to another.
- sexual assault (also a criminal offence).

Sexual harassment is illegal under the Victorian Equal Opportunity Act (2010) and the Commonwealth Sex Discrimination Act (1984).

The CoM will ensure there is written information about sexual harassment and avenues for complaint and/or legal redress available to everyone attending BENH.

The Manager will ensure that all staff and BENH users are treated fairly and equitably, that they are not subject to harassment and that anyone who makes a complaint about sexual harassment is not victimised.

All reports of sexual harassment will be taken seriously, treated with empathy and investigated thoroughly and confidentially.

Disciplinary and/or legal action will be taken against any person found to be guilty of sexually harassing a BENH user, CoM member, staff member, contractor, volunteer or anyone else involved in programs and activities conducted by BENH.

### **Avoiding Work Related Stress**

BENH believes that the best way to prevent and deal with stress is to acknowledge the potential sources of stress in the total work environment and take action to stop them becoming actual causes of stress.

Some of the ingredients of a stress-reducing work environment are:

- agreeable working conditions.
- effective support systems.
- adequate professional supervision.
- clearly defined roles, positions, responsibilities and accountability structures.

- realistic workplans, workloads and timelines.
- seeking early professional intervention if difficulties arise and are ongoing.

BENH is therefore committed to providing these conditions in accordance with our Performance Management Policy as well as any others that may be required to prevent and/or manage stress.

The Manager will make available adequate information about a range of stress causes and preventative behaviours/structures, together with information about appropriate health and support services.

Staff members will be encouraged to attend training on health-related issues, including stress reduction, whenever possible.

### **Professional Boundaries**

Staff must recognise and understand they have a duty of care to BENH users and the rights and needs of users and communities are always to be respected

To protect staff and BENH users, BENH expects staff to interact with users safely and professionally in relation to the emotional, psychological, intellectual, social, physical and online space.

In no way does this detract from the need to establish rapport with a person in order to provide friendly and accessible services and support by the staff.

Therefore, BENH expects staff to observe professional boundaries in their relationships with users and their relatives, friends, visitors and representatives. The behaviour outside those boundaries should be regarded as potentially abusive, unsafe and a potential reason for disciplinary action.

BENH recognises it is often difficult to draw precise lines defining appropriate behaviour, so we encourage staff to be transparent in their dealings with BENH users and others and to discuss any difficulties which may arise with the Manager.

Any member of staff who feels a potentially inappropriate relationship is developing must discuss the situation with the Manager. The action to be taken may include:

- varying the staff member's duties in order to limit contact with that person.
- discussing the situation frankly with the person in order to re-establish appropriate boundaries.
- having a chaperone present whenever there is any contact.
- Changing the staff member's contact details e.g. new phone.

Where the overstepping of professional boundaries has resulted in harm to the BENH user, the staff member will be subject to a disciplinary investigation.

### **Intolerance of Occupational Violence and Aggression**

We all have the right to always feel safe – this means not being insulted, threatened or assaulted at any time.

By adhering to our Code of Conduct BENH aims to:

- restrict the escalation of violence or aggressive behaviour, with the objective of defusing the situation.
- protect the right of BENH users, staff and CoM members to feel safe at all times.
- provide support to people involved in a violent or potentially violent situation.
- encourage more acceptable behaviour.
- provide a consistent response to unacceptable behaviour in the workplace and wider community.

Unacceptable behaviour is all behaviour inside the work site/s, in close proximity, by telephone or other technology – that is threatening or discriminatory in any way and includes any threats, abuse or violence by BENH users or others (including CoM members or staff) towards anyone else.

Unacceptable behaviour includes physical violence/assault, threats of physical violence/assault and any behaviour that leads other people to feel unsafe (e.g. shouting, racist or sexist insults, attempts at self-harm, harassment, refusal to leave).

The environment of BENH will reflect standards expected by law within the general community. Offences of any nature that harm only the offending individual will be treated with the same flexibility and understanding that would be expected in the home or community environment.

Staff, contractors and others working here are encouraged to attend specific professional development and training in how to handle unacceptable behaviour.

The physical environment will be organised in such a way as to minimise frustrations and eliminate dangers. Services will be delivered with maximum efficiency and matched with

BENH users' needs. Dangerous objects and instruments will be kept in locations that prevent impulsive use of such items.

Violent behaviours will be dealt with in ways that focus on the management of the behaviour. Persistent behaviour of an unacceptable nature may result in temporary or permanent withdrawal of our service/s to the offending individual.

In situations of physical violence, the offending person will be asked to leave immediately, or the staff/BENH users should leave the situation as soon as possible. Other staff/BENH users must be alerted, either by use of a verbal or other code if an electronic alarm system is impractical. If the offending person refuses to leave, he/she will be informed that the police will be called. If the worker believes the situation is serious, then the police must be called immediately, before the situation escalates.

In situations where there are threats of violence, the person will be asked to stop the threats and to leave and come back when this unacceptable behaviour has stopped. If they refuse to leave, the staff member/BENH user should leave the room or building if possible or tell the person that the police may be called. Another worker must be informed as soon as possible.

In cases of other behaviour that leads people to feel unsafe, the person should be informed that conversation or service provision will not continue until the behaviour has stopped. The person may be asked to leave. If they refuse to do so, the staff member/BENH user should leave the situation as soon as possible and inform the person that the police may be called.

In accordance with our Incident Reporting and Response Policy, all the above incidents must be recorded by the staff member/BENH user on an Incident Report Form DR-3.9.1.1 and the Manager and Chair of the CoM informed as soon as possible.

The CoM and Manager will ensure that workers and others exposed to any such incidents have access to professional debriefing within 24 hours of its occurrence. Follow-up discussions and support will also take place both for staff members well-being and to make the necessary preventive changes at BENH. These will include but are not limited to a factual and restorative process for the staff i.e. things that may need discussion include who was involved, what actually happened and why, options open to the worker/s, what has taken place since and what more can be done and what can be learnt from a

particular incident. Staff will also have the option of counselling and other assistance if they require it.

### **Working from Home**

From time to time and with Manager approval staff maybe required to work from home. Before working from home staff must complete a Working from Home Safe Workplace Assessment DR-5.6.1.1 prior to the commencement of working from home.

## **5.7 Volunteers**

<b>VERSION NUMBER</b>	<b>2</b>		
<b>DATE RATIFIED</b>	16/06/2021	<b>DATE FOR REVIEW</b>	

### **Policy Declaration**

BENH recognises the value of volunteers through their contribution and commitment to BENH and the community we serve. BENH also recognises our duty of care to our volunteers and our responsibility to support and protect volunteers within our organisation. This policy ensures that volunteers at BENH are informed, protected and supported in our organisation.

### **Policy Description**

#### **Application:**

This policy applies to all BENH staff, including volunteers and employees engaging with volunteers in any capacity.

#### **Background:**

Many paths lead to volunteering; people may decide to volunteer for their personal interests and values, to meet work or study requirements, or to meet their agreement with the government or other agencies. Regardless of their original motivation, volunteers make a valued contribution to our organisation and the relationship between BENH and the volunteer should be managed in a way that is mutually respectful, safe and healthy.

#### **Objectives:**

Volunteers can come to BENH from a range of avenues, such as:

- Personal interest in making a short or long term contribution to the community or sharing their skills and passions.

- Developing work skills and experience to improve employment opportunities, including trainees.
- Students – individuals filling placement requirements for study to achieve learning objectives and work experience.
- Corporate – individuals or groups making short or long term community contribution through volunteering as part of their workplace's corporate responsibility policy or program.
- Mutual Obligation placement – individuals who receive benefits who are required to complete activities as part of their agreement.
- Community Based Orders – a person required to complete activities, which may include unpaid community-based work, under the supervision of a probation and parole officer.

BENH acknowledges that volunteer success is reliant on a range of factors which recognise, protect and support volunteers whilst also ensuring our organisation is a safe and responsible place for staff and members of the community. Whatever the reason for joining BENH, we treat all volunteers equally, acknowledging their time and contribution and striving to meet their needs and requirements.

Volunteers at BENH must understand that they play an important role in our organisation and that their behaviour and attitude is a reflection on our organisation. Volunteers should expect to be supported at BENH, but must also support the BENH purpose, values, policies and processes in order to have a successful experience in our organisation. Where individuals repeatedly demonstrate they cannot meet these requirements their volunteer role at BENH may be terminated.

To support volunteer success at BENH the following apply:

### **Volunteer Recruitment**

Appointing the right person to the job is essential. Recruitment of volunteers is directed by the Recruitment and Appointment of Staff Policy, including management of position descriptions, staff selection screening and probation.

Where individuals have student placement requirements, the agreements negotiated around role and responsibilities may be used in place of BENH documentation.

Where users of BENH programs complete their course and continue to volunteer in the organisation, they must be transitioned to a volunteer role via the appropriate documentation and induction processes.

## **Volunteer Induction**

Volunteers working for a short period of time (less than three days), under the close supervision of a BENH Team Leader, such as for an event or short-term task, should receive a short induction outlining:

- Site orientation
- BENH Code of Conduct and Code of Ethics
- Volunteer Policy
- Information about BENH Policies
- Any other relevant details identified by the Team Leader

Any other volunteer should be inducted as per the Induction Policy and are required to attend Volunteer Induction Training provided by BENH.

## **Volunteer Management**

As a community organisation, all volunteers are required to understand the responsibility of representing BENH. Management of volunteers is guided by the Performance Management Policy. This includes processes for performance review, performance counselling and disciplinary procedures.

Where volunteers require feedback or to sign off for their workplace, educational institution or other agency, the Team Leader or Manager will plan to accommodate these as required.

## **Volunteer Culture**

Volunteers at BENH are required to be committed to our organisational Code of Ethics and Code of Conduct. BENH has a zero tolerance towards bullying, gossiping, physical violence and aggression, requiring all volunteers to share the BENH values and to respect each other. The volunteer's acknowledgement and signing of the code during their induction signals agreement of the code of conduct.

## **Volunteer Safety**

Under Victorian Health and Safety Laws volunteers are entitled to and must comply with the same legal rights and protections as staff. Volunteers at BENH are included in the BENH Safe Workplace Policy, Appropriate Use of Technology Policy, Feedback and Grievance Policy, Incident Reporting and Response Policy and First Aid Policy, with the same protections as employees. These will be covered in detail in the Volunteer Induction Training or can be discussed further with the Manager.

## **Volunteers Working Alone**

Team Leaders and volunteers must avoid situations where it is necessary for a volunteer to work in isolation. Any person working in isolation is at risk of issues caused by injury,

illness, environment, or other people. This should be avoided through forward planning and discussion, using tactics such as:

- Shared program times, e.g. scheduling times and dates for a community bags sewing group.
- Pairing volunteers for tasks, e.g. always have two people go to set up signage and flags for an event.
- Support by friends or family e.g. take a friend when watering the community garden on the weekend – or don't risk going.
- If working in isolation is the only option, then a Risk Management Plan must be approved by the Manager to ensure safety.

#### **Related Policies and Procedures:**

- Code of Conduct Policy
- Code of Ethics Policy
- Safe Workplace Policy
- Appropriate Use of Technology Policy
- Feedback and Grievance Policy
- Incident Reporting and Response Policy
- First Aid Policy
- Recruitment and Appointment of Staff Policy
- Performance Management Policy
- Privacy Policy
- Induction Policy.
- Volunteer Position Descriptions
- Goal Performance Plan (GPP) DR-5.3.1.1
- Volunteer Induction Manual
- Volunteer Program
- Feedback & Complaints Form
- Volunteer Exit Interview

### **5.7.1 Volunteer Procedures**

BENH is a member of the Ballarat Volunteer Network – Coordinators Network and Volunteering Victoria, to ensure we have up-to-date advice and information to support volunteers.

Employees and volunteers are encouraged to review information found on [volunteeringvictoria.org.au](http://volunteeringvictoria.org.au) and to contribute ideas and improvements to the BENH volunteer program.

## **Volunteer Teams**

All volunteers at BENH are assigned a Team Leader who is responsible for their wellbeing, safety and management in the workplace. This Team Leader may be:

- The Manager
- A Program Facilitator
- The Volunteer Coordinator
- An Administration Officer
- A Tutor or Trainer

BENH ensures the Team Leader has enough time to review Not-For-Profit Law's National Volunteer Guide and assess and implement processes and activities to meet key legal obligations for managing volunteers.

## **Volunteer Appointment**

Volunteers at BENH are required to:

- Apply for volunteer position as per the Recruitment and Appointment or Staff Processes, or by approaching BENH directly or through a third party (such as a university or other agency), or by transitioning from a BENH program.
- Complete selection and screening requirements in a timely manner.
- Acknowledge and adhere to BENH Code of Ethics, Code of Conduct and relevant Policies.
- Complete a Volunteer Agreement (unless other placement related material fulfils this function).
- Complete any other processes defined by BENH or a third party for volunteer placement (WWC/Police check)

Volunteers at BENH receive:

- Copy of their Volunteer Agreement and all other relevant documentation as per Induction Policy.
- Opportunity to discuss and plan for their needs and interests for volunteering.
- Position Description, outlining skills and qualifications required for the role (unless other placement related material fulfils this function).
- Welcome Letter.
- Appropriate Induction and Orientation by Team Leader when they commence their role.
- Appropriate Volunteer Induction Manual, providing organisational overview, outlining volunteer's roles and responsibilities, contact details for BENH, out of hours and emergencies and other key information.
- Recognition, through feedback and acknowledgement, such as through media and special events as mutually agreed between BENH and volunteers.

- Opportunity to provide feedback to improve BENH’s Volunteer Program.
- Supervision, performance review and other performance management, if required or requested.
- Inclusion in professional development opportunities provided by BENH, including-on-the-job training, as appropriate.

### **Termination of Volunteer Arrangement**

Any volunteer arrangement can be ended at any time by either party. However, it is in the best interests of our organisation and our volunteers that individuals who cease volunteering provide feedback to the Manager in an exit interview. The Manager will ensure the volunteer receives a thank you letter and a certificate of appreciation.

## **5.8 Travel**

<b>VERSION NUMBER</b>	<b>2</b>		
<b>DATE RATIFIED</b>	16/06/2021	<b>DATE FOR REVIEW</b>	

### **Policy Declaration**

BENH recognises staff will need to travel to attend meetings, events and other activities in our community. The purpose of this policy is to outline the requirements, obligations and responsibilities of staff when travelling for work purposes.

### **Policy Description**

#### **Application:**

This policy applies to all BENH staff and members of BENH CoM.

#### **Background:**

BENH staff may be required to travel for a range of reasons, including, but not limited to:

- Attending or providing professional development opportunities.
- Attending meetings.
- Participating in events.
- General BENH business.
- Meeting BENH users.

#### **Objectives:**

The Manager is required to authorise any travel which is out of the ordinary or when staff travel outside of Ballarat.

In the first instance, BENH staff should use the organisation's vehicle, subject to availability, or public transport, as BENH has a commitment to environmental sustainability.

BENH requires:

- Travel costs are kept to a minimum (e.g. economy fares and booking flights in advance to benefit from discounted rates, etc.).
- Where travel by public transport is not practicable staff are permitted limited use of a private vehicle, at the discretion of the Manager.
- When a private vehicle is used, staff are encouraged to carpool if possible.

Staff are expected to act in a manner consistent with the Worksafe and Occupational Health and Safety Regulations which extends to use of private vehicles for BENH purposes.

It is the responsibility of the staff member driving a motor vehicle for business purposes to ensure the following conditions are adhered to:

- The driver has a current Victorian (or interstate) Driver's License.
- The driver maintains a zero drug and blood alcohol level whilst driving the vehicle with passengers or maintains a legal drug and blood alcohol level whilst driving the vehicle without passengers.
- The vehicle must have a minimum of Third-Party insurance.
- The vehicle must have current Victorian registration and be roadworthy.

BENH will not accept any liability arising out of the use of a vehicle for business purposes. Any fines or infringement notices incurred during use of a vehicle for business purposes will remain the responsibility of the driver.

The conditions and the level of the travel allowance are to be in accordance with the staff allowances and Private Vehicle Reimbursement Rates contained in the relevant award or collective agreement.

Employees are responsible for expenses associated with the renewal of their Driver's License and private vehicle maintenance. When using a vehicle on company business, the employee must comply with motor traffic and vehicle laws.

#### **Related Policies and Procedures:**

- Delegation of Authority Policy
- Financial Management Policy

## 5.8.1 Travel Procedures

Staff travel is negotiated at the time of employment, as per the position description and relevant Award for each role. When staff are travelling and are out of the office for work purposes, they are required to advise office staff when they leave and return. For safety purposes another member of staff should know the location of the meeting.

Travel allowances are claimed on the Travel Reimbursement Form DR-5.8.1.1 in the fortnightly payroll process and are attached to staff timesheets, which are approved by the Manager.

Public transport or other travel tickets may be purchased by the BENH Debit Card, from petty cash, or purchased by staff and claimed for reimbursements. As per the Delegation of Authority procedure, all purchases should be approved by the appropriate Team Leader or the Manager in advance.

## 5.9 Epidemic/Pandemic Policy

<b>VERSION NUMBER</b>	<b>2</b>		
<b>DATE RATIFIED</b>	16/06/2021	<b>DATE FOR REVIEW</b>	

### Policy Declaration

The purpose of this policy is to outline the strategies and actions BENH intends to take to prevent the transmission of infectious diseases that are declared epidemics or pandemics and control the transmission of infectious diseases when a case/s is identified.

### Policy Description

#### **Application:**

This policy applies to all BENH staff, tutors, volunteers, contractors and BENH CoM members.

#### **Background:**

From time to time infectious diseases develop into epidemics or pandemics and create increased risks for the community. These occasions require specific policies targeted at the particular disease in question and general efforts at preparedness.

BENH will:

- Act as far as possible to protect its clients, its staff, its volunteers and the general public from infection or contagion by epidemics and/or pandemics.
- Facilitate, through its policies and procedures, strategies designed to reduce risks to its clients, its staff, its volunteers and the general public.
- Comply with all directions from authorised public health officers and recognised medical authorities in relation to the epidemic or pandemic.

### **Objectives:**

BENH will as far as possible, plan for and make advance preparations for the possibility that its operations will be affected by an epidemic or pandemic.

In the event of an epidemic or pandemic, BENH will, as far as possible:

1. Assist its clients, staff, volunteers and others, as relevant, to minimise their exposure to the illness concerned.
2. Encourage and assist those who have reason to believe that they are at risk of contracting the epidemic or pandemic to obtain a diagnosis.
3. Support staff, volunteers, contractors and clients to take reasonable precautions to prevent infection or contagion.
4. Provide standard precautions such as personal protective equipment (e.g. masks, soap and gloves) where needed.
5. Maintain its services and operations throughout the period of concern, subject to health directives to close.

In the event of an infectious disease being declared an epidemic or pandemic BENH requires people covered by this Policy to take the following precautions

1. Regularly and thoroughly clean your hands with an alcohol-based hand rub or wash them with soap and water.
2. Maintain at least 1.5 metres distance between yourself and anyone else.
3. Avoid touching your eyes, nose and mouth, or shaking hands with others.
4. Make sure you follow good hygiene and encourage others to do the same. This means covering your mouth and nose with your bent elbow or tissue when you cough or sneeze and disposing of used tissues immediately.
5. Stay home if you feel unwell. If you are well enough to work but would like to minimise the risk of infecting others, ask your [Manager/ supervisor] whether you can temporarily work from home.
6. Keep up to date on the latest hotspots (cities or local areas where the pandemic or epidemic is spreading widely). If possible, avoid traveling to places - especially if you are more at risk.

7. If you are or are likely to be contagious, notify the Manager as soon as possible. It may be possible or necessary for you to self-isolate by staying at home until you recover.
8. Seek medical advice promptly and follow the directions of your local health authority.
9. Follow any additional instructions from the Manager as legally required for each specific epidemic or pandemic.
10. When possible work from home.

### **Leave and Flexibility**

BENH recognises staff may request or require paid and unpaid leave when they are unwell, at risk of or vulnerable to infection and at risk of infecting others.

Workers may make use of leave consistent with BENH leave policy, relevant industrial instruments and the National Employment Standards (including access to unpaid leave).

BENH may, at its discretion, direct those affected or reasonably at risk of being affected by the pandemic or epidemic, to remain away from the workplace or work remotely.

Where possible during an epidemic or pandemic, BENH will aim to provide workers with flexibility to work remotely and to attend medical appointments.

### **Related Policies and Procedures:**

- Safe Workplace Policy
- Flexible Working Arrangements Policy
- Overtime and Time off in Lieu Policy

## **5.9.1 Epidemic/Pandemic Procedures**

In carrying out the procedures listed below, BENH will be guided by the information and directions provided by local health authorities and the World Health Organisation and its occupational health and safety obligations.

### **Responsibilities**

The Manager will be the Epidemic Officer, or if the Manager is absent, the Manager will appoint an Epidemic Officer.

The Epidemic Officer is responsible for:

- Ensuring the organisation’s Leave and Safe Workplace policies are consistent with the intention of the Epidemic Policy.
- Assessing the organisation’s vulnerabilities, in the light of the epidemic or pandemic, to human resources, suppliers of goods and services and facilities
- Preparing a comprehensive Business Continuity Plan and other required health plan.
- In the event of an epidemic or pandemic,
  - Giving notice to staff, volunteers, clients and any persons likely to be affected that epidemic or pandemic procedures are in effect.
  - Bringing into operation the epidemic or pandemic management procedures specified below.
  - Instituting any administrative measures necessary to reduce the impact of the vulnerabilities detailed above.
  - The Epidemic Officer shall familiarise staff/volunteers and others, as relevant, with recommended procedures on epidemic avoidance guidelines (e.g. handwashing, soap, sneezing policy) as appropriate.
  - Working with all sectors of the organisation to identify mission-critical staff and functions.

Staff/volunteers are responsible for abiding by the epidemic procedures specified below, when informed by authorised staff that epidemic or pandemic procedures are in effect.

The following procedures apply in the event of the Manager giving notice that epidemic or pandemic procedures are in effect.

### **Events**

The Manager will consider on a continuing basis whether any events involving the attendance of staff or members of the public should be changed, rescheduled or cancelled to minimise the risk of infection.

### **Work procedures**

The Manager will consider on a continuing basis whether:

- It is necessary or appropriate for nominated staff/volunteers to work from home.
- Travel, (or other activities that may cause staff to come into contact with other people in Australia or overseas) should be modified or terminated.
- Arrangements for staff/volunteers who work with clients or the public should be modified to minimise risks for all parties.

The Manager may require any member of staff to not attend the workplace and/or to work from home, or, if this is not feasible or appropriate, to take leave as per the Leave Policies.

The Manager may require any member of staff to provide satisfactory evidence that they are fit to return to work.

### **Contractors and suppliers**

The Manager will consider on a continuing basis whether arrangements with existing contractors and suppliers need to be modified or supplemented to ensure uninterrupted service delivery.

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## Section 6: Finance Policies

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### Relevant standard, legislation or controls

- Refer to the Introduction for a full list foundation principles and standards.
- BENH Document Register
- Association Incorporation Reform Act 2012
- Australian Accounting Standards
- Superannuation Act 2005 (Cth)
- Privacy Act 1988 (Cth)
- Australian Consumer Law and Fair Trading Act 2012
- Long Service Benefits Portability Act 2019 (Act)

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## 6.1 Audit

VERSION NUMBER	2		
DATE RATIFIED	16/06/2021	DATE FOR REVIEW	

### Policy Declaration

BENH is committed to providing an independent, objective assurance approach to evaluate and improve the effectiveness of risk management, finance, control and governance processes.

### Policy Description

#### Application:

This policy applies to internal and external audits completed for any compliance purposes.

#### Background:

BENH audit processes ensure BENH will meet its statutory audit and compliance requirements at all times. In addition, the CoM, Treasurer, or Manager may undertake internal audits designed to add value and improve BENH's operations.

#### Objectives:

Audits ensure we accomplish our objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of BENH processes. Strong fraud prevention processes will help increase the confidence of CoM members and other funding stakeholders have in BENH's systems and processes.

The CoM can authorize an internal audit at any time. When conducting an internal audit consideration should be given to the effectiveness of the organisation's internal controls.

The financial statements of BENH are subject to an annual external audit. External audit is conducted by a registered auditor to comply with the relevant statutory requirements, the requirements set out in the BENH Rules and any other relevant requirements.

Any additional audit opinion specifically required by a funder is to be provided by the same registered auditor unless there are extenuating circumstances such as previously documented and agreed contractual obligations or government regulations.

#### **Related Policies and Procedures:**

- Financial Management Policy
- Code of Ethics Policy
- Asset Management Policy
- Facility Management Policy
- Strategy, Business and Risk Policy
- Delegation of Authority Policy
- Continuous Improvement Policy

### **6.1.1. Internal Audit Procedures**

An internal audit may be conducted by the Treasurer or an appointed suitably qualified individual. The internal audit will:

- Examine to what extent BENH has implemented procedures designed to deter and detect financial risk or fraud.
- Undertake a financial risk management review.
- Implement a process for investigating financially related incidents or complaints in a timely manner.
- Monitor the compliance to the Code of Ethics, Finance Policies and Fraud Policy.
- Determine if the BENH culture and work environment promotes ethical behaviour and encourages all staff to communicate any known or suspected wrongdoing to the appropriate person.

A typical review conducted by internal audit involves a detailed review of a process or function to test processes, systems and controls to ensure they are working as desired. This testing can be conducted in a variety of ways, including:

- Observation of procedures in place.
- Review of Documentation.
- Re-performance of an operation.

- Compliance Testing of Transactions.
- Substantive Testing of Transactions.

The results of the internal audit process will be presented to the CoM for action. Any plans for resolution or corrective action of identified risk areas should be completed in a timely manner and compliance should be measured.

## 6.1.2. External Audit Procedures

The CoM is responsible for appointing and monitoring the performance of the external Auditor annually at the Annual General Meeting, in accordance with the Association Incorporation Reform Act 2012 (Act). To maintain independence, the same Auditor may be appointed year to year however no auditor will be appointed for more than five years in a row. An Auditor may not be reappointed until two years after their last appointment.

The external audit period is established in the annual CoM Calendar, in accordance with the reporting timeframes required for compliance purposes. Three months prior to the audit period the CoM (or appointed subcommittee) will review the previous year's audit report, review the terms of engagement of the external Auditors, the scope of the audit and any additional services and monitor external Auditor independence.

If a new Auditor is required, the CoM will determine an appropriate process, in accordance with the Act. The external Auditor is precluded from providing any services that may threaten the independence or present a conflict of interest with their compliance and assurance role.

The following process is undertaken for an external audit:

- The external audit must be planned and executed in order to present results to the CoM for review at the March CoM meeting and for adoption at the AGM. Once adopted the Audit report must be submitted via the Service Agreement Management System (SAMS) the Funded Agency Channel (FAC) and to Australian Charities and Not-For-Profit Commission (ACNC) and Consumer Affairs Victoria (CAV) as required.
- The Manager is responsible for booking the Auditor annually in November.
- At the request of the Auditor, the Bookkeeper, in consultation with the Manager and the Treasurer, will make all documents and information available to the auditor in order to conduct an audit of the financial affairs of BENH.
- The Bookkeeper will negotiate a mutually agreeable time for the Auditor to conduct the audit at a time the Bookkeeper is available to assist in the audit

process and follow up on any questions regarding financial management. The Treasurer may participate in the audit as the representative of the CoM.

- The appointment of the Auditor for the following year will take place at the Annual General Meeting, unless the CoM is required to appoint a new Auditor.
- The CoM will appoint another Auditor, in accordance with the Act, if for any reason the Auditor is unable to perform the duties required.
- The CoM will recommend the appointment of an alternative Auditor if the Manager, in consultation with the Treasurer, determines that the Auditor's performance of their duties is not satisfactory or not appropriately priced; or if the CoM determines that financial probity would be improved by the appointment of an alternative Auditor.

## 6.2 Budget Development and Management

VERSION NUMBER	2		
DATE RATIFIED	16/06/2021	DATE FOR REVIEW	

### Policy Declaration

BENH's budget supports the delivery of Strategic Plan vision and goals. The CoM is responsible for adopting and monitoring the budget of the organisation each year as part of its annual business planning. This policy outlines BENH's approach to planning and managing resources efficiently and effectively.

### Policy Description

#### Application:

BENH is committed to effective management and monitoring of BENH's funds and resources. Budget development and management is done in collaboration with BENH staff, the Manager, the Bookkeeper and the Treasurer on behalf of the CoM.

#### Background:

A formal budgeting process is the foundation for good business management, growth and development. Organisations focused on their strategy and plan know exactly where they want to spend their resources and have a plan to keep them from spending money in areas that do not line up with the vision (what we are trying to do) and mission (why we are doing it).

#### Objectives:

#### Annual Budget Development

BENH receives operating funds through a range of grants, funding contracts, donations, sponsors, delivery of fee for services programs and social enterprise activities. Grants are a primary source of funding for BENH with contracts of different amounts and delivery duration.

The Manager will ensure the budget clearly identifies:

- the different funding sources and their related project budgets.
- recurrent funding and expenditure.
- funding received in advance for projects delivered over multiple years.

To ensure BENH maximises its funding opportunities, the Manager will implement an ongoing program of funding submissions. As a result, income projections may change during a year and impact the CoM's adopted budget. Thus, BENH operates under a budget which is flexible in responding to unforeseen events including possible challenges in cash flow.

### **Annual Budget Monitoring**

The Manager will be responsible for the monitoring of expenditure, reviewing actual against budgeted expenditure. The Manager will include, in the CoM reports, any other matters which may impact on the financial operations of BENH or unplanned crisis.

The CoM shall be responsible for:

- Adopting financial reports presented to the CoM.
- Any variance against budgeted ongoing expenses e.g. rent, wages, etc.
- Retaining the right to amend or remove any authority for ongoing payments.
- Grant authority for any purchases not already approved at budget level or under delegation.

### **Long term financial responsibility**

In formulating BENH's long-term financial budgets and plans the CoM will undertake a review of its financial management strategies and principles as well as financial management policies and procedures. The CoM should consider investment strategies such as:

- Minimum and maximum levels of retained earnings.
- Capacity of the facilities to meet BENH's strategic goals.
- Amount of funds required to meet the ongoing operational needs of BENH.

### **Related Policies and Procedures:**

- Delegation of Authority Policy
- Financial Management Policy

- Program Fees and Charges Policy
- Strategy, Business and Risk Policy

## 6.2.1 Budget Development and Management Procedures

The CoM will:

- Have an Annual Calendar defining the timeframes for the draft budget to ensure it is available in December each year.
- Deliver a position description for the Treasurer Role clearly outlining all responsibilities and requirements of the position which will be reviewed and updated on an annual basis.
- Include Financial Reports as a standing agenda item at all CoM meetings.
- Provide committee members with information on appointment and where requested, mentoring or training to ensure they are confident to interpret and monitor BENH finances in a financially sound manner.

### **Annual Budget Development**

When drafting an annual budget, the Manager and Treasurer will consider:

- The goals and objectives outlined in the strategic plan and business plan as the budget provides the financial resources to achieve the BENH vision.
- The legal and financial requirements of funding bodies and other accounting requirements.
- Revenue projections based on historical financial performance, as well as projected contract revenues and grant submissions.
- Fixed and variable operational costs, including expected cost increases and past operational costs.
- National Wage Review increments for salaries or relevant wage increases, revisions to the Agreement, awards, contracts, etc.
- Goal related projects identified in the budget.
- Consideration of the current year financial situation.

The draft budget will be presented to the BENH CoM no later than December of the preceding financial year unless otherwise agreed by the CoM or its representatives. The CoM may accept the tabled Budget or may request variations within the context of the Strategic Plan goals and objectives. If adjustments are required, the new budget will be presented for consideration at the following meeting or via email if requested by the CoM.

Once adopted by the CoM, this becomes the official operating budget for BENH for the stated year and all CoM members and employees must endeavour to work within the financial limits stated or implied by this document.

### **Grant Acquittals and Carry Forward Amounts**

The Manager is responsible for all grants and their acquittals; and will keep a record of the status of all current grants, including funding contracts.

The Manager will ensure all awarded income is spent in accordance with the grant agreements and contracts and that expenditure is in line with the broad structure of the proposed project cost detailed in the proposal or any revised budget.

Where unspent funds are identified during the preparation of the acquittal and or budget the Manager will either

- carry forward unspent funds at the end of the year to continue the project, or
- before the end of the final day of the project liaise with the funding body to determine how these funds are to be spent or returned to the funding body or if they can be kept as retained earnings.

The Manager will provide a regular update to the CoM on the status, including risks of non-delivery, of all current grants.

### **Funding Submissions**

When a funding submission is successful and has a significant impact on the BENH budget or staffing implications, the CoM may request the annual budget be amended to reflect this change.

In the first instance, new funding submissions requiring CoM authorisation are to be signed by the Chair and/or Treasurer, or delegated CoM member. The Manager will provide a report on the budget implications for all active funding submissions and grants at CoM meetings.

### **Annual Budget Monitoring**

Written financial progress reports will be provided to the CoM bi-monthly by the Treasurer, with support from the Manager. The Treasurer's report to the CoM will include the following:

- Budget to Actual Report.
- Bank Statements as at the end of the previous month.
- Previous month's bank reconciliation.

- Balance Sheet.
- Profit and Loss Statements.
- Accounts payable.
- Accounts receivable.
- Staff leave entitlements.
- Other financial related documents requested by the CoM.

The bi-monthly reports will show monthly and year to date expenditure and any variance expenses. The Treasurer will provide a written analysis explaining any reasons for any materials differences in projected income or expenditure and the possible effect these variances may have on the financial operations of BENH.

Twice a year, mid-year and at the end of the year, the Treasurer will develop a report for the CoM to consider the progress of BENH's financial status against the strategic plan and budget. This report will cover the review of financial matters, recommendations for change or improvement, as statement of the current financial status of BENH and an opinion as to its financial sustainability.

## 6.3 Financial Management

<b>VERSION NUMBER</b>	<b>2</b>		
<b>DATE RATIFIED</b>	16/06/2021	<b>DATE FOR REVIEW</b>	

### Policy Declaration

BENH manages a range of financial systems and processes which support the effective and efficient management of BENH resources. BENH will ensure financial management is transparent and appropriately recorded and monitored to minimise its exposure to the risk of theft or fraud. This policy is intended to guide and direct BENH financial management practices.

### Policy Description

#### **Application:**

This Policy applies to the CoM, the Manager, Bookkeeper and any other staff member authorised to handle or manage financial transactions on behalf of BENH.

#### **Background:**

BENH receives a range of funds to fulfil its mission. In carrying out activities to support its mission, BENH must comply with specific financial administration, accounting, control, management, audit and reporting requirements as specified in legislation and by various government agencies.

**Objectives:**

BENH uses Financial Management for planning, organising, directing and controlling the financial activities such as the utilisation of funds of the enterprise. BENH will apply general management principles to financial resources of the enterprise.

BENH will develop and document financial management practices and controls necessary to meet statutory regulations and legislation which will ensure:

1. No BENH funds may be committed or expended except by Manager approval or a staff member with documented authority to approve, in accordance with BENH Delegation of Authority Policy and Conflict of Interest Policy.
2. BENH funds will only be expended on goods and services for approved BENH purposes. Funds from external sources tied to particular purposes, such as grant funds, must be used only for the specified purposes.
3. All items purchased from BENH funds are the property of BENH, unless there is an agreement in writing to the contrary associated with a particular grant or contract.
4. All BENH assets, however acquired, must be prudently managed and properly documented to meet accounting, regulatory, reporting and compliance requirements and properly accounted for, in approved asset registers, where required by the Asset Management Procedure.
5. All financial transactions must be properly documented and accurately recorded in a timely manner and in accordance with BENH policies, procedures and business processes. All members of BENH community are to act in an ethical and honest manner in all aspects of procurement and financial expenditure involving BENH funds.
6. All users of BENH property must:
  - treat BENH property with care and consideration, in accordance with accepted community standards.
  - use BENH property for BENH purposes only and in accordance with manufacturers' instructions, safe work practices and any relevant BENH procedures.
  - ensure BENH property is appropriately secure from damage, theft or misappropriation.

7. All members of the BENH community are required to comply with this policy and related BENH procedures and business processes. Failure to do so may result in disciplinary action and/or the withdrawal of BENH privileges, services and facilities.

**Related Policies and Procedures:**

- Delegation of Authority Policy
- Financial Management Policy
- Fraud Policy
- Asset Management Policy
- Conflict of Interest Policy
- Code of Ethics Policy
- Travel Policy
- Budget Development and Management Policy
- Debt Recovery Policy

### 6.3.1 Financial Management Procedures

The CoM approves the annual budget which sets the parameters for annual expenditure. All expenditure must be approved by the appropriate delegated person or Manager as per the Delegation of Authority Policy.

The Manager is responsible for the oversight of bank reconciliation, accounts receivable and accounts payable, which are managed by the Bookkeeper.

New financial systems must be authorised by the CoM and appropriate procedures developed prior to implementation. The CoM will only consider using a new financial system once a reasonable understanding of its risks and benefits are gained and provided the organisation has the necessary procedures and expertise to manage it.

Financial records will be kept according to the Australian Accounting Standards and will be maintained in the following manner:

- Transactions will be recorded electronically using accounting software approved by CoM.
- Electronic entry of transactions will be done by the Bookkeeper.
- Accounts are reconciled monthly by the Bookkeeper.
- The Chart of Accounts will be managed by the Bookkeeper in conjunction with Manager and the Treasurer.
- Where necessary, hard copy primary records will be maintained by the Bookkeeper.
- Financial records will be archived for a period of 7 years.
- All accounts will be dealt with promptly and within specified time frames.

BENH has the following systems and procedures to process financial transactions (sales, purchases, receipts and payments) made using common payment / receipt methods.

### 6.3.1.1 Cash and Cheque Procedures

Authorised office staff process all incoming payments from customers made by cash, EFTPOS, or credit card by receipting and recording income in the Point of Sale System. The Bookkeeper records all monies received in the General Ledger. Staff receipting money will be trained in receiving and recording cash, cheque and EFTPOS payments.

#### **EFTPOS**

BENH uses an Electronic Funds Transfer at Point Of Sale (EFTPOS) machine as a method of payment for goods and services. This enables BENH to use an electronic device to transfer funds from a customer's bank account to the BENH bank account.

BENH's preferred method of payment is by EFTPOS which minimises cash on hand.

Office Staff will ensure:

- all payments to BENH received by payment card are processed on the EFTPOS machine in accordance with the invoicing and cash receipting procedures.
- procedures are in place for all EFTPOS machines to ensure they are not tampered with.
- machines are stored securely when not in use (e.g. when unattended or overnight).
- if payments are made when the card is present (i.e. usually because the cardholder is present in person), process the payment directly on an EFTPOS machine and not via any other mechanism.
- if payments are made via telephone without the physical card, key the cardholder data received (expiry date and CCV) directly into the EFTPOS machine and do not write it down. If the data is written down, or captured in any form of voice recording, destroy or delete it without delay when the transaction is processed.
- physical access to the EFTPOS machine must be restricted to staff authorised to use the machine.
- BENH do not accept or transmit payment details via an email, an instant message, a fax on a multifunction device, or a VoIP fax, as these forms of transmission are not secure.
- the EFTPOS machine is settled daily
- all EFTPOS transactions are recorded on the Daily Banking Form DR-?and the settlement slip is attached to this form.

- All EFTPOS refunds must be approved by the Manager or a delegated staff member.

## **Cheques**

- All Personal Cheques must be approved by the Manager before they are accepted as payment for goods or services.
- Business Cheques are receipted by the office staff or by the Bookkeeper.
- All cheques are processed by the Bookkeeper as a standard procedure.
- All BENH cheques must be signed by two authorised signatories.

When dishonoured cheques become apparent:

- The Bookkeeper will contact the customer to advise that the cheque has been dishonoured and request the bill be settled by electronic funds transfer or credit card.
- If no contact can be made or replacement funds are not received, the Manager will be notified and will review the next step as per the Debt Recovery Policy.

## **Cash and Petty Cash**

BENH keeps all cash received for payment of goods and services in a Cash Drawer which is also used for Petty Cash reimbursements and small purchases.

Staff requiring cash from the Cash Drawer for any reason must complete the Expense Authorisation Form DR-6.3.1.1.1, have it authorised by the Manager and then request a delegated office staff member to provide them with the cash.

Under no circumstances are unauthorised staff to take money from the Cash Drawer. Only delegated office staff, the Bookkeeper and Manager are permitted to access the cash in the Cash Drawer. Any staff member taking money from the Cash Drawer without the correct authorisation may be subject to disciplinary actions, including, in the extreme circumstance, dismissal.

The Cash Drawer:

- Is kept in a secure location in the main BENH office.
- Has a cash float up to \$200, which maybe increased to \$300 without CoM approval.
- Is replenished by the Bookkeeper as needed.
- Can be used for purchases, which must be authorised by the Manager or their delegate via the Expense Authorisation Form DR-6.3.1.1.1.
- Can be used for staff reimbursements, which are authorised by the Manager or their delegate via the Expense Reimbursement Form DR-6.3.1.1.2.

- Is reconciled daily by a delegated staff member. Any discrepancies in the cash balance are reported to the Manager immediately.
- Is reconciled daily and banked weekly, except where the money held exceeds the float plus \$200, in which case banking should be completed on the day.
- Float is banked on the last working day of the calendar year before the Christmas close. The float will be replenished on the first working day of the new calendar year via a BENH Cheque from the Manager or Bookkeeper.
- Cash should not under any circumstances be used for:
  - Salaries or wages.
  - Loans to staff members.
  - Personal expenses.
  - Recurrent expenses.

### 6.3.1.2 Bank Account Procedures

BENH maintains bank accounts with reputable and ethical financial institutions. The choice of financial institution is made by the CoM. Wherever possible the organisation's banking is to be conducted online. BENH currently banks with Bendigo Bank, ANZ and CBA.

#### **Opening Bank Accounts**

- A new BENH bank account must have the authorisation of the CoM and be recorded in the minutes of the CoM meeting.
- The Manager will organise with the Bank to open the account.
- For each new bank account opened, the financial system must be updated and the bank account registered by the Bookkeeper.

#### **Bank Account Authorisation**

- For monies withdrawn from any bank account, whether by cheque, EFT or other online payment method, two persons must authorise each payment as per the Delegation of Authority Policy.
- The authorised persons for bank account payments are nominated committee members, the Treasurer, the Bookkeeper and the Manager.
- Each payment made must be supported by an invoice, receipt, or other appropriate documentation and the authorisations must be attached to this documentation prior to payment.

#### **Variations to Bank Account Terms and Conditions**

- Any variations to banking arrangements can be made or varied by the Manager.
- The Bookkeeper is responsible for updating the financial system and/or bank account register with the new information.

## **Closing Bank Accounts**

- Closing a BENH bank account must have the authorisation of the CoM and be recorded in the minutes of the CoM meeting.
- The Manager will organise with the Bank to close the account.
- The Bookkeeper will then finalise all transactions, meet the bank's requirements with respect to account closure and update the financial system and bank account register.

## **Bank Account Transactions**

Office staff will:

- Daily count all monies received
- Deposit all money received in the Transaction Account as per BENH Rules.

The Bookkeeper will:

- Investigate unallocated direct deposits or withdrawals of more than one month to determine the source. Where the source cannot be identified, the deposit or withdrawal will be allocated to a suspense account to keep these funds separate and identifiable.
- Notify the Manager of any unauthorised withdrawals as soon as discovered.
- Ensure all expenditure is made in accordance with the current BENH Delegation of Authority Policy.

The Manager will:

- Invest excess BENH funds in a Term Deposit to maximise interest revenue.
- Ensure funds are transferred between the Transaction Account and the Term Deposit Account to meet financial requirements as they arise while also maximising interest revenue.
- Receive delegation to transfer these funds and ensure details are recorded in the finance papers at the CoM Meeting.

## **Online Banking**

- The Manager and the Bookkeeper are the only personnel permitted to complete Online Banking.
- Invoices for payment must be approved by the Manager, or authorised staff member, in writing prior to any payment transaction.
- The Bookkeeper can only complete payment transactions once the Manager, or authorised staff member, has approved invoices.

- Bank transfers are monitored by the Bookkeeper. The Bookkeeper is responsible for reconciling and receipting all bank transfers.

### 6.3.1.3 Accounts Receivable and Payable Procedures

#### **Accounts Receivable**

Some forms of BENH income arise from the sale of goods or services by BENH to a third party (e.g. surplus assets, student enrolments, social enterprise sales, etc.).

The Bookkeeper will manage all accounts receivable and:

- send out invoices on a monthly basis.
- process payments received and bank deposits.
- maintain documentation.

The Manager will ensure all accounts receivable documentation, including funding contracts and grant agreements, is provided to the Bookkeeper.

When engaging with a customer, supporting documentation must be provided to the Bookkeeper in order to create an invoice to bill a customer. Each customer must have their own customer account in the system through which their invoices will be processed.

Goods and services must not be provided to previous BENH customers where there is doubt regarding their payment capacity.

A BENH Invoice must be created for all transactions involving the sale of BENH goods or services including when a payment is received in advance, paid directly to a BENH staff member on behalf of BENH or in accordance with a contractual undertaking or other mutual agreement. Point of sale transactions which are managed through another process are exempt from this.

BENH's payment terms are 30 days, the Manager can consider a request from a customer for alternative payment terms.

To ensure correct invoicing, the staff member engaging with the customer, must have:

- Written confirmation of what has been agreed between parties e.g. terms of agreement / service contract including total amount and GST treatment.
- Customers' correct address (displayed on a letter, email or written communication).
- Department / school / area if applicable.

- Confirmation of Australian Business Number (ABN).
- Email address of recipient of bill or contact details of Accounts Payable Department.

A credit note is created for the purpose of making an adjustment to an existing invoice e.g. when an error has been made which differs from the agreement in place or customer expectation, or when further detail like a purchase order number is required to be placed on the invoice.

The Manager must approve all credit notes. The staff member requesting a credit note must ensure the Manager and Bookkeeper have all the relevant to support the credit note and the new invoice is attached. Credit notes must not be created when a debt is no longer recoverable and needs to be written off.

The Manager and Bookkeeper are responsible for debt recovery for BENH as per the Debt Recovery Policy.

### **Accounts payable**

The Bookkeeper will manage all accounts payable and:

- ensure all purchases have the necessary approval before processing.
- process payments to creditors either by cheque or electronic funds transfer (EFT).
- issue a remittance advice to a creditor when an EFT payment is made.

As per the Financial Management Policy, payment authorisation requires two signatures from authorised BENH personnel to be completed, unless a financial delegation has been made for use of a BENH debit card, as per the Delegation of Authority Policy. The Manager must be one of the authorising signatures for the payment.

For any payment completed on behalf of BENH a receipt or invoice must be provided to the Bookkeeper for reconciliation and/or reimbursement within one month of completing the transaction. If a receipt or tax invoice is missing the person responsible for the transaction should:

- Request a replacement from the vendor.
- OR, if the above is not possible, complete a Receipt Declaration Form DR-6.3.1.3.1.

Repeated instances of receipts being lost or not received will be viewed as failure to comply with this policy, which may lead to loss of financial delegation or permission and potentially reimbursement of payment to BENH.

### 6.3.1.4 Debit Card Procedures

BENH uses Debit Cards for purchasing goods and services. The CoM is responsible to approve the number of debit cards and the maximum debit card limit.

- Debit Cards are held in the name of the authorised staff member.
- A new card holder will return a signed copy of this policy to the Manager (or Chair, as appropriate), as acknowledgment they have read and agree to abide by the policy.
- From time to time, BENH staff may be delegated to use a BENH Debit Card not in their name. When this occurs, the staff member must sign the Debit Card Register of Use DR-6.3.1.4.1 located in the main BENH office.
- No personal expenditure is permitted on a BENH Debit Card.
- The card holder must not obtain cash advances.
- The card holder must ensure the security of their Debit Card at all times. A card holder will, at all times, be held accountable for any and all transactions incurred on their Debit Card unless they have notified the Bank lost/stolen Card area and the Manager if the card is lost or stolen.
- The card holder must seek authorisation from the Manager, or in the case of the Manager the Chair, to complete expenditure beyond the amount delegated by the CoM.

### 6.3.1.5 Reimbursement Procedures

The BENH Debit Card is the preferred method of payment by staff for BENH purchases. Where staff require reimbursement for expenses incurred on behalf of BENH they must submit to the Manager an Expense Reimbursement Form DR-6.3.1.1.2.

- Staff are reimbursed when spending personal money to purchase authorised goods or services for reasonable and lawful BENH purposes.
- Reimbursement for use of private motor vehicles by staff on BENH business must be claimed as a Motor Vehicle Allowance, refer to the Travel Policy.
- Amounts under \$100 will be reimbursed in cash, larger amounts will be reimbursed by the Bookkeeper via Direct Debit to the staff member's bank account.
- Staff should gain authorisation from the Manager, or their delegate, prior to completing a transaction which requires reimbursement.
- BENH recognises authorisation is not always possible, however failure to seek authorisation may result in the claim being declined.
- Where staff are expected to claim significant reimbursements, for instance, on meal allowances whilst away for training purposes, a cash advance may be authorised.

- BENH will not reimburse payment for:
  - Expenses claimed by an employee as a tax deduction, such as subscription to a professional journal or laundering uniforms.
  - Expenses normally recoverable from a third party.
  - Expenses that are not incurred for business purposes.
  - Traffic fines and penalties.

Reimbursement for expenses incurred on behalf of BENH by people who are not staff may only be reimbursed by way of an invoice to BENH.

## 6.4 Fraud

<b>VERSION NUMBER</b>	<b>2</b>		
<b>DATE RATIFIED</b>	16/06/2021	<b>DATE FOR REVIEW</b>	

### Policy Declaration

The CoM has ultimate responsibility for the prevention and detection of fraud and is responsible for ensuring appropriate and effective internal and external control systems are in place. This policy ensures BENH internal and external controls are in place to prevent fraud.

### Policy Description

#### **Application:**

This policy applies to any irregularity, or suspected irregularity, involving staff as well as CoM members, BENH users, consultants, vendors, contractors, outside agencies doing business with employees of such agencies and/or any other parties with a business relationship with BENH. All staff and CoM members share in the responsibility for the prevention and detection of fraud in their areas of responsibility.

#### **Background:**

The BENH fraud policy is established to facilitate the development of controls which will aid in the detection and prevention of fraud against BENH. It is the intent of BENH to promote consistent organisational behaviour by providing guidelines and assigning responsibility for the development of controls and conduct of investigations. Any investigative activity required will be conducted without regard to the suspected wrongdoer's length of service, position/title, or relationship to BENH.

#### **Objectives:**

Fraud is defined as the intentional, false representation or concealment of a material fact for the purpose of inducing another to act upon their injury.

The CoM is responsible for the detection and prevention of fraud, misappropriations and other irregularities. The CoM, Manager and Bookkeeper will be familiar with the types of improprieties which might occur within their area of responsibility and be alert for any indication of irregularity.

Actions consisting of fraud, including the terms defalcation, misappropriation and other fiscal irregularities refer to, but are not limited to:

- Any dishonest or fraudulent act,
- Misappropriation of funds, securities, supplies, or other assets,
- Impropriety in the handling or reporting of money or financial transactions,
- Falsifying timesheets or travel claims by not working actual hours submitted, not working rostered hours or claiming travel not undertaken.
- Profiteering as a result of insider knowledge of BENH activities.
- Disclosing confidential and proprietary information to outside parties.
- Disclosing to someone else securities, activities, engaged in or contemplated by BENH.
- Accepting or seeking anything of material value from contractors, vendors, or persons providing services/materials to BENH.
- Destruction, removal, or inappropriate use of records, furniture, fixtures and equipment.
- Any similar or related irregularity.

Irregularities concerning an employee's moral, ethical, or behavioural conduct should be resolved by the Manager. Any fraud by any staff member shall constitute grounds for dismissal and if deemed appropriate may lead to criminal or civil proceedings.

#### **Related Policies and Procedures:**

- Financial Management Policy
- Audit Policy
- Recruitment and Appointment of Staff
- COM Recruitment and Appointment Policy
- Performance Management and Dismissal Policy
- Facility Management Policy
- Asset Management Policy
- Strategy, Business and Risk Policy
- Travel Policy

## 6.4.1 Fraud Procedures

The CoM shall adopt finance strategies and risk management strategies (detailed in the BENH Risk Register) designed to encourage fraud prevention including:

- Monthly reconciliation of all bank accounts and other accounts.
- Presentation of financial reports to CoM at every meeting, including the provision of bank statements.
- Surprise internal audits.
- Conducting an annual external audit.
- Appropriate procedure for accountable sign off for electronic or cheque payments.
- Implementing and monitoring processes for secure cash handling and reconciliation.
- Maintaining control over access to BENH resources, such as technology, equipment and stationery.
- Ensuring keys are managed and stored in an appropriate manner.
- Ensuring the building is never left unlocked without staff members on site.
- Protection and regular updating of access codes to the building and any code protected secure areas (including online spaces).

The Manager will ensure there are mechanisms in place within their area of control to:

- Assess the risk of Fraud, including an assessment criterion on the Risk Register, for business management and project management risk areas.
- Educate staff about fraud prevention and detection, with Fraud Prevention training offered as needed.
- Facilitate the reporting of suspected fraudulent activities.

Recruitment strategies for CoM and Staff shall incorporate fraud prevention via:

- Ensuring applicants undergo police checks where required by the duties of the position.
- Where appropriate, contacting previous employers and referees.
- Including fraud prevention and detection issues in relevant development and induction activities.

### **Confidentiality**

Any irregularity detected or suspected must be reported immediately to the Manager, or if the Manager is suspected of being involved in the fraud, the CoM Chair, who coordinates all investigations both internal and external. The complainant may remain anonymous. The Manager will treat all information received confidentially. Any person who suspects dishonest or fraudulent activity should not attempt to personally conduct investigations or interviews/interrogations related to any suspected fraudulent act.

Investigation results will not be disclosed or discussed with anyone other than those who have a legitimate need to know. This is important in order to avoid damaging the reputation of persons suspected but subsequently found innocent of wrongful conduct and to protect BENH from potential civil liability.

### **Fraud Investigation**

The Manager, with the CoM Chair, has the primary responsibility for the investigation of all suspected fraudulent acts as defined in the policy. If the investigation substantiates the occurrence of fraudulent activities, the Manager will issue reports to the CoM. Decisions to prosecute or refer the examination results to the appropriate law enforcement and/or regulatory agencies for independent investigation will be made in conjunction with the CoM, as will final decisions on disposition of the case.

The Investigator, whether the Manager, CoM Chair or an external investigator will have:

- Free and unrestricted access to all BENH records and premises, whether owned or rented.
- The authority to examine, copy and/or remove all or any portion of the contents of files, desks, cabinets and other storage facilities on the premises without prior knowledge or consent of any individual who might use or have custody of any such items or facilities when it is within the scope of their investigation.

Great care must be taken in the investigation of suspected improprieties or irregularities to avoid mistaken accusations or alerting suspected individuals an investigation is under way.

All inquiries concerning the activity under investigation from the suspected individual, their attorney or representative, or any other inquirer should be directed to the CoM Chair. No information concerning the status of an investigation will be given out. The proper response to any inquiries is: "I am not at liberty to discuss this matter." Under no circumstances should any reference be made to "the allegation," "the crime," "the fraud," "the forgery," "the misappropriation," or any other specific reference.

The reporting individual should be informed of the following:

- Do not contact the suspected individual in an effort to determine facts or demand restitution.
- Do not discuss the case, facts, suspicions, or allegations with anyone unless specifically asked to do so by the CoM Chair.

Where an investigation of fraud has been established the matter will be referred to police. Any action taken by police will be pursued independently of any employment-related investigation by BENH.

If an investigation results in a recommendation to terminate an individual, the recommendation will be reviewed for approval by the CoM Chair, if necessary, by outside counsel, before any such action is taken. The decision to terminate a staff member is made by the BENH Manager and CoM Chair.

## 6.5 Program Fees and Charges

<b>VERSION NUMBER</b>	<b>2</b>		
<b>DATE RATIFIED</b>	16/06/2021	<b>DATE FOR REVIEW</b>	

### Policy Declaration

BENH ensures fees and charges are established in accordance with current legislation, funding agreements and regulations. This policy outlines the basis on which BENH collects fees from students, provides services to partners and operates its community and social enterprise activities.

### Policy Description

#### **Application:**

This policy applies to all BENH staff who must know BENH program fees and charges and the processes for administering these fees, including refunds of fees.

#### **Background:**

BENH provides a range of service activities and operates a social enterprise. Whilst many BENH activities are free, BENH endeavours to recover costs from the sale of goods and services to BENH users where possible.

#### **Objectives:**

The Manager is responsible for setting program fees and charges, reviewing them as part of the annual budget development process. The CoM authorises program fees and charges when it adopts the annual budget.

Fees and Charges are categorised as:

- Adult, Community and Further Education (ACFE) and Training fees.
- Provision of community goods and services eg photocopying; laminating.
- Project activities eg social enterprise catering, produce sales.
- Fee for Service activities eg project staff on secondment, third party accredited training, BENH third party project delivery partnerships.

### **Adult, Community and Further Education and Training**

BENH delivers ACFE and training to students who are required to complete an enrolment form before undertaking any course. Unless otherwise nominated on the enrolment form and agreed to by the third party, the student is liable for payment of the nominated course fee.

In circumstances where a third party is paying the fee, the third party must previously have nominated they agree to incur the expense, preferably via a purchase order, signing the enrolment form, or other written authority. It is the responsibility of the student to gain the financial support of the third party. In the absence of a signed authority from the employer, the student will be invoiced.

BENH can set ACFE course fees and charge for additional costs, such as for materials and administration, however there is a maximum fee limit regulated by the Department of Education (DET). This information is located in the DET Preaccredited Guidelines on the Learn Local website.

BENH acknowledges, in certain circumstances, a participant may seek full or partial refund of fees paid. We will ensure refund applications are handled in a timely manner and in accordance with the Financial Management Policy.

If BENH cancels a course after a student has paid, we will offer the student:

- Deferral to a later course.
- A refund of the course fee.

### **Related Policies and Procedures:**

- Delegation of Authority Policy
- Financial Management Policy
- Budget Development and Management Policy.
- Feedback and Grievance Policy
- Debt Recovery Policy

## 6.5.1 Program Fees and Charges

### 6.5.1.1 Program Fees and Charges Procedures

The Manager uses informed discretion in setting the price of goods or services, bearing in mind the overarching responsibility to ensure BENH's resources are appropriately applied. To ensure BENH improves customer relations and maintains a reputation as a business which deals fairly with customers, competitors and suppliers alike BENH complies with the Australian Consumer Law and Fair Trading Act 2012.

When setting a fee or charge, consideration is given to:

- if the goods or service attract GST.
- direct costs of the goods and services (materials and staff time).
- indirect costs (BENH overheads such as utility costs and rent).
- sound commercial principles, including market forces.
- factors that might support a price that is less than the cost of producing the goods or services, including:
  - whether the person accessing the goods or services does not have the capacity to pay.
  - whether the transaction is non-routine and immaterial in amount.
  - whether the ongoing administrative costs of charging and revenue collection exceed the expected revenue benefits.
- being clear and fair, meaning there is a healthy balance between BENH and the consumer.
- providing Itemised receipts for all cash payments.

We also ensure refunds and exchanges are offered if BENH goods:

- are faulty.
- don't match the product description.
- are unfit for their intended purpose.

## 6.5.1.2 ACFE and Training Fee Procedure

### Schedule of Course Fees

- BENH fees will be payable by a student as set out in a Schedule of Fees which will be reviewed annually and be published online and in relevant publications. The Schedule of Fees will be published prior to the opening of enrolments.
- The administration of fees payable as specified in the Schedule of Fees is the responsibility of the Manager who will determine:
  - the method of advice of fees payable.
  - the date for payment of fees.
  - the circumstances in which a fee may be waived or deferred by way of a payment plan, if appropriate.
  - a student's eligibility for a refund or waiver of the whole or portion of the fees paid.
  - administrative and miscellaneous charges.
- BENH may set out charges for goods and services for:
  - equipment or items which become the physical property of the student and are not consumed during the program of study (i.e. 'tools of the trade').
  - food, transport and accommodation costs associated with the provision of field trips that form part of the course or program.
- BENH may set student services and amenities fees.
- Students may incur costs associated with their own personal professional accreditation, including, for example, an accredited training course.
- Office staff will determine from the enrolment form how the student will pay for their course.
- The Manager has discretion to waive the fee and/or the payment terms where the student would otherwise be prevented from participating.
- Office staff and Bookkeeper will take cash payments and raise invoices for student enrolment in accordance with the requirements of the Financial Management Policy

### Refunds

The Manager or delegated staff member may refund relevant fees to a student in accordance with this policy.

- A student excluded, suspended, or expelled under a BENH policy or procedure is not entitled to a refund (except where any Commonwealth or State legislation or code of practice provides otherwise).
- Fee refunds are not automatic and must be applied for in writing unless BENH cancels the class.
- Approved fee refunds are only processed after the fees have been cleared through the bank account.

- Where the student ceases training of their own volition prior to the midway point of the program (defined as midway through unit completion, or midway through time period of course, whichever is the earlier), the maximum fee refund will be 50% of the total fee payment.
- Where the student ceases training of their own volition after the midway point of the program as defined above, no refund is payable.
- Actual attendance in class by the student will not be considered when assessing a refund request.
- Refunds will not be issued after course commencement except in exceptional circumstances or where funding guidelines stipulate this requirement.
- In exceptional circumstances a participant may apply in writing for special consideration of a refund for the following:
  - bereavement
  - hospitalisation and/or unexpectedly having to assume carer's responsibilities.
- BENH will not issue refunds for:
  - a change in working hours.
  - inconvenient travel.
  - moving interstate.
  - job change.
  - change of career direction or change of mind.

## Grievances

A student may seek a review of a decision to refuse a refund of student fees in whole or part under the BENH Feedback and Grievance Policy.

## 6.6 Debt Recovery

<b>VERSION NUMBER</b>	<b>2</b>		
<b>DATE RATIFIED</b>	16/06/2021	<b>DATE FOR REVIEW</b>	

### Policy Declaration

BENH will treat debtors and third parties with fairness, respect and courtesy. We will not harass or coerce them, treat them unconscionably, or mislead them about the nature of their debt, their legal obligations, or any possible outcomes if the debt is not paid. BENH will not pursue a person for a debt unless we have reasonable grounds for believing the person is liable for the debt. The purpose of this policy is to ensure the efficient and effective recovery of outstanding debts while maintaining a quality customer service.

### Policy Description

**Application:**

This policy applies to all BENH debtors for outstanding charges and other accounts receivable owed to BENH. BENH may, at its sole discretion, on a case by case basis, alter the way the process outlined in this Policy is conducted to ensure it suits the particular circumstances of the outstanding debt.

**Background:**

BENH clients experience high levels of socioeconomic disadvantage so BENH will endeavour to give clients access to our goods and services at fair and reasonable prices. We will commence a debt recovery escalation process with a friendly conversation and reminder with our debtors and if required only then follow through to a letter of demand and bad debt collection for an outstanding payment.

**Objectives:**

The key objective of the Debt Recovery Policy is to:

- ensure a fair, consistent and accountable approach to BENH's debt management and collection practices.
- recognise the importance debt recovery has on the capacity of BENH to deliver services.
- maximise the collection of outstanding debts.
- establish timelines of communications and debt collection itself, which will deliver consistency of service.
- maximise the cost effectiveness of collection processes.

The Manager is responsible for overseeing Debtor Management. Early intervention is a primary goal with outstanding debts reviewed on a regular basis by the Bookkeeper, Manager and Treasurer. Decisions will be made as to the most appropriate debt recovery action after this review. This can include:

- Issue of regular reminders.
- Personal contact with the debtor.
- Referral of matter to debt recovery agents.

Accounts statements and/or copies of outstanding invoices are to be sent to all debtors on a monthly basis.

A clear collection procedure is to be used for the timely and efficient administration of debtors. An invoice will be issued as soon as practicable in accordance with contract conditions or other arrangements.

## **Related Policies and Procedures:**

- Delegation of Authority Policy
- Financial Management Policy
- Feedback and Grievance Policy

### **6.6.1 Debt Recovery Procedures**

The following procedures will be followed to recover outstanding amounts:

- Debts due and payable. Normal payment terms will be 30 days from the invoice date
- Debts 30 days and over. If a debt is unpaid at month end and still outstanding after a further 30 days, another copy of the invoice will be sent with a reminder sticker for the debtor to pay within 14 days.
- Debts 60 Days or over. If the reminder invoice is unsuccessful and the debt is still outstanding after 60 days, a second invoice is to be sent with the credit terms sticker on it, stating the rules of credit.
- Debts 90 Days or over. If the second reminder invoice is unsuccessful and the debt is still outstanding, a third invoice is sent out with a Final Notice sticker (“Final Notice! Payment within 7 days or legal action will be taken”). A Debt Collection Agency Letterhead with warning letter is to be sent with invoice.

#### **Debt Collection Agency**

If the final letter does not produce settlement, the debt will be referred to the Debt Collection Agency as appointed by the Manager for recovery action. Prior to this action, it should be determined whether it is uneconomic to finalise recovery action due to the relatively small value of the debt. If so, the debt should be written off.

#### **Dispute Settlement**

Where payment of an outstanding debt is being disputed by a debtor, the Manager will consult with the CoM Treasurer and may then attempt to mediate a solution or alternatively proceed to recommend write-off of the debt. The Manager may accept a reasonable request for the payment of an outstanding amount by instalments, provided that a reasonable progress payment is made promptly within a specified date.

Any instalment repayment program is to be documented in writing and agreed by both the debtor and the Manager. An explicit term of any such arrangement is that the failure by the debtor to pay any instalment on or before the due date will render the full amount of the debt then outstanding, immediately due and payable.

#### **Writing Off Debts**

Before a debt may be regarded as irrecoverable, one of the following conditions must be satisfied:

- The debtor cannot be located.
- It is uneconomic to finalise recovery action due to the relatively small value of the debt.
- The medical, financial, or domestic circumstances of a particular debtor at that time does not warrant the taking of recovery action or further recovery action.
- Legal proceedings through the courts have proved, or on legal advice or advice from Debt Collection Agency, would prove unsuccessful.

When, in the opinion of the Manager, a debt is considered irrecoverable, the matter is to be referred to the Treasure for write-off.

When a debt has been written off, the Bookkeeper is to make all necessary entries in the accounting system. Details of written off debts are to be held on file.

On no account will a debtor be informed that an outstanding debt has been written off. If the circumstances of a debtor change, then further action to recover the debt should be taken if it is considered financially viable to do so.

## 6.7 Purchasing and Procurement

VERSION NUMBER	2		
DATE RATIFIED	16/06/2021	DATE FOR REVIEW	

### Policy Declaration

BENH requires the procurement of goods and services to support activities and deliver services to the BENH community. The purpose of this policy is to ensure all procurement decisions and consequential processes must be made in accordance with BENH's Policies and Procedures regardless of the funding for the procurement.

### Policy Description

#### Application:

This policy applies to any person with authority to spend or approve spend of BENH funds through purchasing or procurement activities. It is important all staff who commit to expenditure are aware of the obligations under this Policy.

**Background:**

Effective internal control procedures must be implemented and maintained by BENH to ensure all purchasing and procurement activities of BENH are authorised in accordance with the delegated authorities and business requirements within a documented process.

**Objectives:**

The Manager is responsible for BENH purchasing and procurement as per the Delegation of Authority Policy.

A purchase can only be approved and committed following approval of funds expenditure from the appropriate delegate.

Goods and services must only be purchased to support a BENH activity and not for the benefit of individual staff members or external entities.

When purchasing items BENH will ensure goods and services:

- are obtained expeditiously and economically, considering compatibility with existing equipment and facilities and the ongoing asset maintenance and storage requirements.
- represent good value for BENH and are in keeping with BENH purpose.
- comply with any regulatory or other obligations.
- are able to be funded.
- are obtained by a process that treats suppliers equitably and fairly and provides a clear audit trail.

Procurement of goods and services should be through a Purchase Order or on a BENH Debit Card, where applicable.

Examples of goods and / or services items include:

- the supply of a specified quantity of tangible materials (e.g. milk, stationery, consumables) at a set time or at periodic intervals.
- the supply of a less tangible commodity or service, such as advertising placement.
- the maintenance of property and equipment.
- the leasing of equipment.
- assets as defined in the Asset Management Policy.

The only exceptions are:

- Goods which are more efficiently acquired through petty cash (maximum value of \$100 excluding GST) as per petty cash procedures.

- Goods or services which are initially purchased at staff member's own expense and for which reimbursement is sought as per reimbursement procedures.
- Direct invoice procedures have been put in place as part of lease, MOU, or contract arrangements (energy insurance, advertising and other services).
- Legal, Professional and Human Resource services.
- Internal 'trading', i.e. where goods and services are acquired from within BENH and payments are transferred between one area of BENH as per journal procedures.

This policy applies to payments that are not strictly, for goods and services provided by third parties as BENH requires an invoice in order to generate a payment to them for system, regulatory and audit reasons. These items include:

- a cost contribution by BENH to a partner organisation in respect of a shared endeavour
- a donation by BENH to a third party.

Payments to contractors and consultants can only be made if they are a bona fide contractor and no Superannuation or Payroll Tax obligations would arise as a result of the payment.

### **Preferred Suppliers**

The Manager will maintain a list of preferred suppliers, who:

- Provide best value for money based on price, reliability, transaction costs, risk and ongoing support.
- Where possible are local businesses, or businesses who have local content, in order to support the Ballarat 'Buy Local' campaign.

Nothing in this policy prevents the Manager or other delegated staff from negotiating with a supplier to obtain a more favourable price or service for a purchase.

### **Related Policies and Procedures:**

- Delegation of Authority Policy
- Financial Management Policy
- Asset Management Policy
- Conflict of Interest Policy
- Audit Policy
- Fraud Policy
- Code of Ethics Policy

- Budget Development and Management Policy

## 6.7.1 Purchasing and Procurement Procedures

When purchasing an item for BENH, the staff member will:

1. Determine how much money is available to purchase the item.  
Project staff will use their project budget to determine their purchase funding. Staff without an expenditure delegation authority must have Manager approval for their purchase prior to making the purchase. Under no circumstances are staff to split a purchase into two or more purchases to avoid a Delegation of Authority expenditure threshold.
2. Identify the preferred supplier.  
When there is no preferred supplier, or there is a good reason not to use the preferred supplier, staff must seek an exemption from the Manager.
3. Negotiate with the supplier  
Evaluate the purchase with the following principles:
  - Value for money: This goes to fitness for purpose, price and quality and includes whole-of-life costs such as installation, operation, maintenance and disposal.
  - Supplier reputation and reliability: This is important for managing risk and may be important for matters such as quality, delivery and fixing faulty products. Suppliers must be able to supply the goods/services within the required timelines.
  - Warranties: What type of warranties are offered? Does the warranty extend for a reasonable period beyond the delivery time?
  - Support and maintenance: What type of ongoing support and/or maintenance is offered, at what cost and over what period?
4. Obtain a single documented price for the goods or service required.  
Suppliers must provide valid tax invoices which comply with the Australian Tax Office (ATO) requirements. These must have a description of the items and may be a quote, copy of a catalogue, internet price, or past receipt or invoice.
5. Determine how the purchase will be made.  
Confirm the above steps have been completed before making the purchase either by:
  - Debit Card or Petty Cash as per the Financial Management Policy

- Invoice.
6. Create a Purchase Order for the supplier when purchasing with an Invoice.  
Staff are required to create a purchase order for the purchase of all goods and services, apart from goods and services exempt in this policy. Staff will:
    - Complete the Purchase Order.
    - Provide the Manager with a copy of the Purchase Order and all relevant documents
    - The Manager will approve the purchase, when a staff member does not have an Expenditure Delegation
  7. Receive and check goods and service ordered.  
Once goods and services are received the staff member will confirm the quantity, quality, condition and compliance with order specification.
  8. Partially received goods and services.  
The staff member will follow up the supplier regarding undelivered or partially delivered goods and services. If goods are returned, the staff member will ensure there is a receipt or other evidence the items have been returned. If the goods and services have been paid for a credit or credit note must be received.
  9. Paying Supplier Invoices.  
Once the staff member has confirmed the goods and services are received as ordered they refer the invoice to the Manager who will authorise the Bookkeeper to pay. The Bookkeeper must receive a copy of any credit or credit note received.

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# Register of Documents

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Note: Document numbers mentioned in the main body of this Manual begin with 'DR-'

1. Conflict of Interest Register Form 2.4.1.1
2. Register of Conflicts of Interest 2.4.1.2
3. Register of Gifts 2.4.1.3
4. Event Checklist 3.3.1.1
5. Event Evaluation Template 3.3.1.2
6. Facilities Hire Agreement 3.4.1.1
7. Purchase a New Asset 3.5.1.1
8. Change of Asset Status 3.5.1.2
9. Equipment Hire Agreement 3.5.1.3
10. Feedback Register 3.6.1.1
11. Feedback & Complaints Form 3.6.1.2
12. First Aid Kit List 3.7.1.1
13. Critical Incident Reporting Form 3.9.1
14. Incident Report 3.9.1.1
15. Incident Register 3.9.1.2
16. Volunteer Information Sheet 3.10.1.1
17. Induction Checklist 3.10.1.2
18. Leave Application Form 3.11.1.1
19. Purchased Leave Form 3.11.1.2
20. BENH Style Guide 3.12.1.1
21. BENH CoM Charter 3.13.1
22. CoM Form 4.1.1.1
23. CoM Skills Audit Form 4.1.1.2
24. Chart of Delegations 4.2.1.1.
25. Flexible Working Agreement Request Template 5.1.1.1
26. Flexible Working Agreement Response Template 5.1.1.2
27. Goal Performance Plan (GPP) 5.3.1.1
28. Performance Review Template 5.3.1.2
29. Working from Home Safe Workplace Assessment 5.6.1.1
30. Travel Reimbursement Form 5.8.1.1
31. Expense Authorisation Form 6.3.1.1.1
32. Expense Reimbursement Form 6.3.1.1.2
33. Receipt Declaration Form 6.3.1.3.1
34. Debit Card Register of Use 6.3.1.4.1
35. Independent Trainer Agreement
36. Pandemic Emergency Management Plan Template 5.9.1.1