

# POLICY

## 1.1 BOARD OF MANAGEMENT

Supporting Procedure:	N/A	
Other Related Documents:	Policy 1.8 Board Performance Policy 4.1 Code of Ethics Policy 4.2 Conflict of Interest Policy 4.3 Risk Management PHCC Constitution (2018) Delegations of Authority (2017) with modifications Risk Management Plan (2017) with modifications All legislation as listed in 2.2 (within)	
Category:	Board	
Type:	Strategic	Dates:
1st Review By:	Jane O'Malley and Patricia Sutton	09/02/2017
2nd Review By:	Jane O'Malley and Patricia Sutton	12/02/2018
3rd Review By:	Jane O'Malley and Patricia Sutton	10/04/2019
4th Review By:	Jane O'Malley and Patricia Sutton	30/01/2020
Approved By:	PHCC Board	
Distributed:	Chief Executive Officer	

### Introduction

A significant part of the Board structure and obligations of Board Members are dictated by various State and National Acts. The Board must operate within the provisions of the Associations Incorporation Act 2015 (WA), PHCC Delegations of Authority (2017, with amendments) and the PHCC Constitution (2018), which reflect both the legally required and unique processes by which PHCC have chosen to operate in accordance with the Act.

The Board also has a responsibility to undertake a number of tasks that provide strategic direction and oversight to the management of the organisation and contribute to the success of the organisation in achieving its objectives.

This Policy articulates legal obligations and structure of the Board and its Members.

### Definitions

For the purposes of this Policy:

**'Board of Management'** or **'Board'** means the Association Members of PHCC and has the same meaning as the word 'Council' in the Constitution

**'Board Member'** means a member of the PHCC Board of Management

## 1.1 BOARD OF MANAGEMENT

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### Policy Statement

#### 1 Board Structure, Operation and Responsibilities

- 1.1 The Board must maintain its membership structure in accordance with the PHCC Constitution (2018)
- 1.2 The Board must operate in accordance with the PHCC Constitution (2018) at all times including:
  - 1.2.1 Meeting regularly enough to monitor the performance of management and the organisation as a whole (minimum six meetings annually)
- 1.3 Board Members must understand and adhere to the policies of the organisation that apply to them
- 1.4 The Board must undertake and complete in a timely manner all tasks delegated to them as a Board, as individual Board Members, or during meeting processes including ensuring that:
  - 1.4.1 The organisation has an annual budget and short and long term business strategies in place and is effectively monitoring performance against them
  - 1.4.2 The organisation has a risk management strategy in place and is using it to protect people and assets
  - 1.4.3 The organisation produces an audited financial report that complies with all required legislation and provides that report in a timely manner to Members and other entities that require it
- 1.5 The Board must formally review its performance at least once per year as the basis for improving Board practices and quality assurance.

#### 2 Legal Obligations and Statutory Compliance

- 2.1 Board Members must be aware of the legal obligations of the PHCC in relation to the Acts listed at Item 2.2 of this policy and:
  - 2.1.1 Ensure that there are processes in place within the PHCC to meet the requirements of these Acts or their Regulations, and
  - 2.1.2 Monitor the organisation's compliance to those requirements
- 2.2 Legislation relevant to PHCC includes:
  - 2.2.1 The Associations Incorporation Act 2015 (WA), which governs the structure, and management processes required of an incorporated association in Western Australia
  - 2.2.2 The Australian Charities and Not for Profits Commission Act 2012 which sets framework for the registration and regulation of charities within Australia, and imposes requirements on charities in regard to financial reporting and accountability among other things
  - 2.2.3 Equal Employment Opportunity (Commonwealth Authorities) Act 1987
  - 2.2.4 Equal Employment Opportunity Act, 1984 (WA)
  - 2.2.5 Occupational Safety and Health Act 1984 (WA)
  - 2.2.6 Occupational Safety and Health Regulations 1996 (WA)
  - 2.2.7 Work Health and Safety Act 2011 (Cth)
  - 2.2.8 Superannuation Guarantee (Administration) Act 1992

## 1.1 BOARD OF MANAGEMENT

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2.2.9 Income Tax Assessment Act 1997 (Cth)

2.2.10 Corporations Act 2001 (Cth)

2.2.11 Australian Securities and Investments Commission Act 2001 (Cth)

2.2.12 The Australian Accounting Standards Board which is Australian Government agency under the Australian Securities and Investments Commission Act 2001.

### 3 Confidentiality

- 3.1 The Board shall decide from time to time whether any or all of its agendas, minutes or papers, or those of its sub-committees shall be made public. Where no express decision has been recorded, the assumption shall be that the material is not confidential
- 3.2 The Chairman or delegated representative:
- 3.2.1 Is authorised to make statements to the media in the name of the organisation
  - 3.2.2 May remove any observers from a Board meeting to maintain confidentiality
  - 3.2.3 Where appropriate, may remove information identifying individuals from material before its consideration by the Board
  - 3.2.4 Is responsible for ensuring that Board materials are appropriately classified as confidential or public
- 3.3 Board Members are authorised to release to any person any material other than confidential material obtained in the course of their service as a Board Member where such release is in accordance with the requirements of any applicable legislation
- 3.4 Board Members shall not, during or in perpetuity, after their service on the Board:
- 3.4.1 Disclose to any member of the public any confidential information acquired by virtue of their position as a Board Member
  - 3.4.2 Use any confidential information acquired by virtue of their position on the Board for their personal financial or other benefit or for that of any other person
  - 3.4.3 Make statements to the media in the name of the organisation except as authorised by the Chairman or their nominated representative
  - 3.4.4 Permit any unauthorised person to inspect or have access to any confidential documents or other information.

### 4 Expected Behaviours

Board Members are expected to adhere to Policy 4.1 Code of Ethics, Policy 4.2 Conflict of Interest and Policy 4.3 Risk Management

4.1 Board Members are also expected to:

- 4.1.1 Attend meetings regularly and devote sufficient time and diligence to preparation for meetings to allow for full and appropriate participation in the Board's decision-making
- 4.1.2 Be respectful of other Board Members, participate in discussion and allow for other discussion to ensure fair and full participation of all Board Members at meetings

## 1.1 BOARD OF MANAGEMENT

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4.1.3 In the event of not being in a position to suitably contribute to Board deliberations and decision-making, pursue training or assistance to improve performance, or resign from the Board

4.2 The Chairman shall:

4.2.1 Ensure there is an appropriate separation of duties and responsibilities between Board Members (including themselves) and senior management

4.2.2 Ensure that the independent views of Board Members are given due consideration and weight in deliberations, and that final decisions are acceptable to the Board Members.

# POLICY

## 1.2 BOARD INDUCTION



Supporting Procedure:	1.2.1 New Members' Induction Pack (Draft) 1.2.2 Accessing Members' Page – PHCC website (Draft)	
Other Related Documents:	Policy 1.1 Board of Management Policy 1.4 Board Recruitment Policy 1.7 Sub-Committees (Internal and External) PHCC Constitution (2018) PHCC Calendar of Meetings PHCC Board and Staff Contact Lists Strategic Plan NRM Strategy Annual Report Noongar Participation Plan Risk Management Plan 2017 (with modifications) The First Decade (PHCC website)	
Category:	Board	
Type:	Strategic	Dates:
1 <sup>st</sup> Review By:	Jane O'Malley and Patricia Sutton	1/2/2018
2 <sup>nd</sup> Review By:	Jane O'Malley and Patricia Sutton	10/04/2019
3 <sup>rd</sup> Review By:	Jane O'Malley and Patricia Sutton	30/04/2020
Approved By:	PHCC Board	
Issued By:	Chief Executive Officer	

### Introduction

The effective operation of any organisation relies on its Board, and the effective operation of the Board relies on all its members having a full command of the necessary information and expertise.

This Policy seeks to ensure that new members of the Board are provided with all the information and training necessary to enable them to contribute appropriately to the operations of the Board from the time of their appointment.

### Definitions

For the purposes of this Policy:

**'Board Member'** means a member of the PHCC Board of Management

**'Board of Management'** or **'Board'** means the Association Members of PHCC and has the same meaning as the word 'Council' in the Constitution.

## 1.2 BOARD INDUCTION

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### Policy Statement

New Board Members shall be provided with all the information and training necessary to enable them to contribute appropriately to the operations of the Board.

#### 1 Responsibilities

It shall be the responsibility of the Chief Executive Officer (CEO) to ensure that the procedures specified in this Policy are implemented appropriately.

#### 2 Initial Contact

As soon as possible after the Board has confirmed the appointment of a new member, the CEO shall make contact with the new Member to let them know the outcome. The CEO will write a letter of congratulations and welcome and process for induction.

#### 3 Board Manual

All new Members will be provided with a Board Manual. The manual will serve as an initial introduction to the PHCC as well as an ongoing reference. It will include, as a minimum:

- 3.1 Relevant organisational documents such as the Constitution, Strategic Plan, NRM Strategy, organisation chart, current financial reports, the most recent Annual Report and other relevant documents. The First Decade document, Noongar Participation Plan and Risk Management Plan are also to be provided.
- 3.2 Basic contact information for Board Members and staff
- 3.3 Meeting schedule and calendar of upcoming events
- 3.4 Procedure for accessing the Members Page (for information, Policies, Agenda's and Minutes)
- 3.5 Emergency contact sheet, to be returned to the CEO at the completion of the induction process
- 3.6 List of current Policies and how to access them.

#### 4 Briefing

The Chairman shall engage in a briefing session with the new Member that will:

- 4.1 Draw the new Member's attention to the roles and responsibilities of the Board in general, and the roles and responsibilities they will be expected to undertake as an individual member, including active involvement in Steering and Organisational Sub-Committees
- 4.2 Brief them on the issues the Board is dealing with at the moment or will be looking at in the future
- 4.3 Discuss any concerns and/or aspirations they may have as a PHCC Member.

#### 5 Induction

At the induction the CEO will provide:

- 5.1 An introduction to the organisation's operational and committee structure
- 5.2 Information about PHCC's meeting schedule and meeting format
- 5.3 Information about the Board and Board Members' roles and responsibilities



## 1.2 BOARD INDUCTION

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- 5.4 Arrange a briefing with the Finance Manager to give an overview of the organisation's financial reports
- 5.5 Access to PHCC's policies for the new Member to read and acknowledge they have read and understood them (noting Members must agree to abide by PHCC policies to retain membership)
- 5.6 Any other necessary background information.

### 6 Introductions

- 6.1 The Chairman shall introduce the new Member to other members of the Board and, as soon as possible after their appointment, seek to involve the Member in Board activities by inviting them to relevant events and meetings (advising the CEO of attendance to ensure coverage across events)
- 6.2 The Chairman shall seek to have an experienced member of the Board to act as mentor to the new Member
- 6.3 The CEO shall invite the new Board Member to take a tour of the organisation's office and introduce them to staff and volunteers.



# POLICY

## 1.3 BOARD MEETINGS



Supporting Procedure:	1.3.1 Board Meeting Procedure (Draft)	
Other Related Documents:	Policy 1.1 Board of Management Policy 1.7 Sub-Committees (Internal and External) Policy 4.2 Conflict of Interest PHCC Constitution (2018) PHCC Calendar of Meetings	
Category:	Board	
Type:	Strategic	Dates:
1st Review By:	Jane O'Malley and Patricia Sutton	19/09/2017
2 <sup>nd</sup> Review By:	Jane O'Malley and Patricia Sutton	10/04/2019
3 <sup>rd</sup> Review By:	Jane O'Malley and Patricia Sutton	30/04/2020
Approved By:	Board of Management	
Issued By:	Chief Executive Officer	

### Introduction

Regular attendance at Peel-Harvey Catchment Council (PHCC) Board Meetings is essential in order to maintain continuity and cohesion in the management and governance of the PHCC.

### Definitions

For the purposes of this Policy:

**'Board'** means Board of Management

**'Board of Management'** means the Association Members of PHCC and has the same meaning as the word 'Council' in the Constitution

**'Board Meeting'** means a regular meeting of the Association Members of PHCC, including the Annual General Meeting

**'Board Member'** means a member of the PHCC Board of Management

### Policy Statement

Board Members are expected to demonstrate their commitment to the organisation by unbroken attendance at Board Meetings except when prevented by unforeseeable events. Prospective members of the Board shall be issued with the Board Meetings Policy 1.3 and will be required to commit themselves to observing its terms, in accordance with the PHCC Constitution.

## 1 Board Meetings - General

1.1 There shall be a minimum of six meetings annually set yearly in advance by the Board



## 1.3 BOARD MEETINGS

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- 1.2 The CEO will endeavor to arrange for a minimum of three meetings per annum to be held at venues across the the Catchment (i.e. outside of the City of Mandurah)
- 1.3 The CEO (as delegated) must provide members not less than seven day's notice of a general meeting
- 1.4 The CEO (as delegated) shall forward a Notice of Meeting to members for forthcoming meetings no later than seven days before the set date of the meeting
- 1.5 The Notice of Meeting and Agenda will identify the matters to be considered at a general meeting of the Association
- 1.6 The CEO must provide a schedule of Board Meeting dates (PHCC Calendar of Meetings) for each calendar year before the start of that year
- 1.7 The Chairman shall preside at all meetings of the Board
  - 1.7.1 In the absence of the Chairman, the Deputy Chairman shall preside
  - 1.7.2 In the absence of both the Chairman and the Deputy Chairman a Member elected by the other Members present shall preside.

### 2 Annual General Meeting

The Annual Meeting shall be held in October of each year as defined and detailed in Section 9 of the Constitution.

### 3 Voting and Quorum

- 3.1 Each member attending is entitled to one vote, as defined and detailed in Section 13 of the Constitution
- 3.2 A quorum for any meeting shall be 50% of members plus one.

### 4 Minutes

- 4.1 Proper minutes of meetings will be recorded as defined and detailed in Section 13 of the Constitution.
- 4.2 Minutes of meetings, including financial records, will be made public via the PHCC website.

### 5 Attendance

- 5.1 Where Board Members are unable to attend any Board Meeting, they should notify the Chairman or the Chief Executive Officer of their intended absence
- 5.2 Where a meeting is arranged to be held either in the form of a teleconference or online, the CEO should notify members accordingly. Participation in these meetings shall be equivalent to attendance at a regular meeting
- 5.3 In accordance with Clause 6.1.7 of the Constitution of the PHCC, a Board Member shall cease to be a Board Member if absent for three consecutive meetings without obtaining leave of absence.

## 1.4 BOARD RECRUITMENT

Supporting Procedure:	1.4.1 Board Recruitment Procedure	
Other Related Documents:	PHCC Constitution (2018) Community Membership Nomination Form Local Government Representative Nomination Form	
Category:	Board	
Type:	Strategic	Dates:
1st Review By:	Steve Fisher and Patricia Sutton	08/08/2017
2 <sup>nd</sup> Review By:	Patricia Sutton and Jane O'Malley	16/04/2019
Approved By:	Board	
Issued By:	CEO	

### Introduction

This policy sets out the requirements for recruiting and inducting new Members (also known as Board Members) to Peel Harvey Catchment Council (PHCC).

These requirements are dictated in the Constitution of PHCC.

### Definitions

For the purposes of this Policy:

**'Board of Management'** means the Association Members of PHCC and has the same meaning as the word 'Council' in the Constitution

**'Board'** means Board of Management

**'Resolution'** means a decision

**'Community'** means any person in the broader community

**'Government Agencies'** or **'Agency'** or **'Government-owned Enterprise'** means any public sector organisation at local, state or federal level that has statutory responsibilities for agriculture, environment, water or planning that may affect the natural resource management of the Catchment. This includes the Peel Development Commission

**'Local Government'** means a local government authority that is fully or substantially located within the Peel Harvey catchment

**'Selection Committee'** is a standing Committee of the Board responsible for the Board Member selection process

### Policy Statement

#### 1 Profile of Board Membership

1.1 The Membership shall consist of the following categories, as defined in the PHCC Constitution (2018):

## 1.4 BOARD RECRUITMENT

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- Community Members (4 Year term)
- Agency Members (indefinite term)
- Local Government Members (2 Year term).

### 2 Recruiting Community Members

- 2.1 The term of Community membership shall be four (4) years after which the Community member is eligible to re-nominate for a further term
- 2.2 All Community members shall hold office in a private capacity
- 2.3 An invitation to nominate for Community membership shall be advertised prior to the AGM each year, with a requirement to meet one or more of the following skills
  - 2.3.1 An interest in natural resource management
  - 2.3.2 Knowledge of, or experience in, sustainable natural resource management practices
  - 2.3.3 Good local knowledge of social, economic and environmental issues in the Peel-Harvey catchment
  - 2.3.4 An ability to communicate and use community networks effectively
  - 2.3.5 An ability to work cooperatively across a wide range of complex issues
  - 2.3.6 Experience in coordinating and managing projects and/or business programs
- 2.4 If there are insufficient nominations to fill all required positions, then by resolution of the Board one or more individuals may be invited to become a member for a term not to exceed the next AGM
- 2.5 The Selection Committee shall assess all nominations and make a recommendation to the Board in regard to appointment of Community Members
- 2.6 Appointment of Members shall be confirmed through a resolution of the Board

### 3 Recruiting Agency Members

- 3.1 Any Agency, with natural resource management responsibilities, not already a member may be invited to nominate for membership prior to the AGM each year and nominate a representative to attend meetings
- 3.2 Membership will be confirmed through a resolution of the Board
- 3.3 All new and existing Agency Representatives will be confirmed through a resolution of the Board at the AGM
- 3.4 Agency membership is perpetual and Agency Members may nominate new representatives at any time

### 4 Recruiting Local Government Members

- 4.1 Local Government membership is for a term of two (2) years and Local Government Members may nominate new representatives at any time
- 4.2 All local Governments will be invited to nominate for membership every second year, or following a local government election

## 1.4 BOARD RECRUITMENT

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4.3 The Selection Committee shall assess all nominations and make a recommendation to the Board in regard to appointment of the Local Government Members with consideration to geographic representation of the coastal and the inland wheatbelt areas

4.4 Membership will be confirmed through a resolution of the Board.

# POLICY

## 1.5 BOARD REMUNERATION



Supporting Procedure:		
Other Related Documents:	Superannuation Guarantee (Administration) Act 1992 PAYG Withholding Tax System	
Category:	Board	
Type:	Strategic	Dates:
1 <sup>st</sup> Review By:	Jane O'Malley and Patricia Sutton	13/04/2017
2 <sup>nd</sup> Review By:	Jane O'Malley and Patricia Sutton	12/04/2018
3 <sup>rd</sup> Review By:	Jane O'Malley and Patricia Sutton	16/04/2019
4 <sup>th</sup> Review By:	Jane O'Malley and Patricia Sutton	14/05/2020
Approved By:	Board of Management	
Issued By:	Chief Executive Officer	

### Introduction

This Policy stipulates who, on the Board of Management, is eligible to receive remuneration, and the value and nature of that remuneration.

The Policy applies to Board Members.

### Definitions

For the purposes of this Policy:

**'Board Member'** means a member of the PHCC Board of Management

**'Board of Management'** means the Association Members of PHCC

**'Honorarium'** is either an honorary reward for voluntary services, or a fee for professional services voluntarily performed. An honorarium may be paid in money or as property.

### Policy Statement

#### 1. Eligibility for Honorariums

- 1.1 The Chairperson, Deputy Chairperson, Treasurer and Secretary are eligible to receive an Honorarium
- 1.2 An Honorarium is paid for undertaking roles, duties and responsibilities rather than for a set number of meetings or hours worked
- 1.3 Honorariums commence from the acceptance by an individual of an eligible position and end on the resignation or suspension of an individual from an eligible position
- 1.4 Honorariums will be suspended for any and all of an approved leave of absence of an individual from a position.

## 1.5 BOARD REMUNERATION

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### 2. Payment of Honorariums

- 2.1 Honorariums are calculated and paid six monthly in arrears, in December and June of each financial year, unless by other arrangements as agreed by the CEO, direct to the bank account nominated by the payee
- 2.2 Honorariums may be paid on invoice or as a salary, and:
  - 2.2.1 Where Honorariums are invoiced by the payee, the Honorarium rate in Clause 2.3 is exclusive of GST where applicable
  - 2.2.2 Where Honorariums are paid as salary:
    - i. the Honorarium rate in Clause 2.3 is inclusive of superannuation, which is paid at the rate stipulated by the *Superannuation Guarantee (Administration) Act 1992*, and
    - ii. is subject to tax in accordance with the requirements of the PAYG Withholding Tax system
- 2.3 The Annual Honorarium rate for each position is:
  - 2.3.1 Chairperson - \$15,000
  - 2.3.2 Deputy Chairperson - \$5,000
  - 2.3.3 Treasurer - \$5,000
  - 2.3.4 Secretary - \$3,000
- 2.4 Honorarium rates may only be changed with the approval of the Board of Management through the Board meeting decision making processes
- 2.5 Honorarium Rates indicated in this policy may be updated from time to time to reflect decisions made by the Board of Management to alter them.

### 3. Legal Requirements for Payment

- 3.1 If Honorariums are paid on invoice then:
  - 3.1.1 The payee must supply a legal tax invoice for the payment
  - 3.1.2 Payment of the invoice will be made in accordance with PHCC's accounts payable procedures
- 3.2 If Honorariums are paid as a salary then:
  - 3.2.1 The person receiving the payment must supply all information required by PHCC as part of their employment systems
  - 3.2.2 A pay slip will be issued by email at the time of payment
  - 3.2.3 A payment summary will be issued annually for tax purposes.

# POLICY

## 1.6 GRIEVANCE RESOLUTION

Supporting Procedure:	1.6.1 Grievance Resolution Procedure (In Draft)	
Other Related Documents:	Policy 2.4 Discrimination, Bullying & Harassment Policy 4.14 Whistleblower PHCC Constitution (2018) Age Discrimination Act 2004 (Cth) Associations Incorporation Act 2015 (WA) Disability Discrimination Act 1992 (Cth) Disability Services Act 1993 (WA) Equal Opportunity Act 1984 (WA) Fair Work Act 2009 (Cth) Freedom of Information Act 1992 (WA) Human Rights Commission Act 2005 (Cth) Privacy Act 1988 (Cth) Racial Discrimination Act 1975 (Cth) Sex Discrimination Act 1984 (Cth) Workplace Gender Equality Act 2012 Cth)	
Category:	Board	
Type:	Strategic	Dates:
1st Review By:	Jane O'Malley and Patricia Sutton	19/09/2017
2 <sup>nd</sup> Review By:	Jane O'Malley and Patricia Sutton	16/04/2019
3 <sup>rd</sup> Review By:	Jane O'Malley and Patricia Sutton	14/05/2020
Approved By:	Board of Management	
Issued By:	Chief Executive Officer	

### Introduction

This Policy aims to assist Peel-Harvey Catchment Council (PHCC) to resolve disputes that may arise and provides a mechanism for handling Grievances in an efficient manner that affords natural justice to all parties. PHCC are committed to providing a fair and equitable organisational response to Grievances, and aims to minimise personal and organisational dysfunction arising from unresolved Grievances.

### Definitions

For the purposes of this Policy:

**'Board of Management' or 'Board'** means the Association Members of PHCC and has the same meaning as the word 'Council' in the Constitution

**'Complainant'** means the person making the complaint or grievance

**'Employee'** means all paid employed persons in PHCC

## 1.6 GRIEVANCE RESOLUTION

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**'Formal Grievance'** means a Grievance that has been presented by the Complainant formally in writing

**'Grievance'** means any real or perceived ground for complaint including perceived racial or sexual harassment, discrimination on the grounds of disability, race, religious belief, political viewpoint, sex, marital status or pregnancy; or any other unfair or improper treatment

**'Informal Grievance'** means a Grievance being voiced that has not proceeded to a Formal Grievance. The grievance may have been formed in writing, however the Complainant has not submitted it as, or under the intent of, a Formal Grievance

**'Mediator'** means a person independent of the PHCC, for example an Industrial Relations dispute consultant

**'Member'** means the Association Members of PHCC

**'Representative'** means Board Members, Employees, Volunteers and Interns.

### Policy Statement

PHCC is committed to resolving grievances wherever possible through mediation, consultation, cooperation and discussion. This Policy sets out rights and responsibilities pertaining to all parties in a grievance dispute.

As far as possible, grievances will be dealt with and resolved informally. The formal stage of the process should only be used when the informal stage has failed to resolve the issue or is not making progress at reasonable speed.

Representatives who breach this Policy may be subject to disciplinary action.

### General Principles

General principles are:

1. All grievances will be handled with utmost confidentiality. Only people directly involved will have access to information about the complaint
2. All procedures will be impartial. No assumptions will be made and no action will be taken until all relevant information has been collected, investigated and considered
3. PHCC are committed to ensuring that no repercussions or victimisation will occur against anyone who makes a complaint
4. Complaints will be dealt with in a timely manner
5. Seeking redress of a trivial or vexatious issue through a grievance procedure will not be tolerated.

### Rights

#### 1 Representatives Making a Complaint:

All Representatives have the right:



## 1.6 GRIEVANCE RESOLUTION

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- 1.1 To make a complaint to a person at an appropriate level within the organisation
- 1.2 To have their grievance considered fairly
- 1.3 To keep notes, copies of written documents or diary record of all other details
- 1.4 To seek advice or assistance from a union or professional association
- 1.5 To seek advice from, or complain to, an external body such as the Equal Opportunity Commission.

### **2 Representatives that are the Subject of a Complaint:**

A person who is the subject of a complaint has the right:

- 2.1 To be informed verbally or in writing of what behaviour they are being accused of
- 2.2 To respond to the allegations and cite witnesses if appropriate
- 2.3 To fair treatment and procedures
- 2.4 To be heard by an unbiased person.

### Responsibilities

#### **1 Chief Executive Officer:**

The Chief Executive Officer will:

- 1.1 Ensure that all Representatives are aware of the procedures set out in this policy
- 1.2 Be responsible for overseeing grievance resolution procedures in relation to the organisations operations.

#### **2 Chairperson and Deputy Chairperson of the Board of Management:**

- 2.1 The Chairperson of the Board of Management will:  
Investigate any grievance relating to the Chief Executive Officer or a member of the Board of Management.
- 2.2 The Deputy Chairperson will:  
Investigate any grievance relating to the Chairperson of the Board of Management.

# POLICY

## 1.7 SUB-COMMITTEES (Internal and External)



Supporting Procedure:	N/A	
Other Related Documents:	PHCC Constitution (2018) Project and Organisational Steering Committee Schedule External Committees Schedule Project/Program Steering Sub-Committee Terms of Reference Delegations of Authority	
Category:	Board	
Type:	Strategic	Dates:
1 <sup>st</sup> Review By:	Jane O'Malley and Patricia Sutton	19/09/2017
2 <sup>nd</sup> Review By:	Jane O'Malley and Patricia Sutton	16/04/2019
3 <sup>rd</sup> Review By:	Jane O'Malley and Patricia Sutton	04/05/2020
Approved By:	Board of Management	
Issued By:	Chief Executive Officer	

### Introduction

This Policy sets out the functions and governance requirements of internal Sub-Committees of Peel-Harvey Catchment Council (PHCC) and external committees that the PHCC is represented on.

### Definitions

For the purposes of this Policy:

**'Board of Management' or 'Board'** means the Association Members of PHCC and has the same meaning as the word 'Council' in the constitution

**'External Committee'** – is a committee, organisational Board, group or similar that the PHCC has nominated representation and/or membership, by resolution of the Board

**'Sub-Committee'** – is a sub-committee established by resolution of the PHCC to exercise such functions as specified in Delegations and Terms of Reference. This includes Project and Organisational Steering Committees

**'Resolution'** means a decision

**'Ratification'** means validation of a decision that has already been made by or under the delegation.

## 1.7 SUB-COMMITTEES (Internal and External)

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### Policy Statement

#### **1 Membership of Organisational or Project/Program Steering Committees:**

- 1.1 Must be endorsed by the Board and can be formed of Board Members, Employees and/or persons, as the Council thinks fit. The Sub-Committee may invite (on occasion) non-voting guests for specific skills and knowledge

#### **2 Representatives of the PHCC on External Committees (or similar):**

- 2.1 Must be endorsed by the Board and can be formed of Board Members and/or Employees as the Board thinks fit

#### **3 Project/Program Steering Committees:**

- 3.1 Are to provide sound governance and guide successful project/program development and delivery, in accordance with the PHCC NRM Strategy, Funding Guidelines and Agreements, and Steering Committee Terms of Reference

#### **4 Organisational Committees are either:**

- 4.1 A sub-committee formed of Board Members and Employees to oversee internal strategic projects and/or programs that may or may not be time dependent
- 4.2 A permanent sub-committee of the Board of Management to assist with the management of governance matters that are the responsibility of the Board (eg Finance and Audit Committee)
- 4.3 Are to provide sound governance and guide organisational matters, in accordance with their respective terms of reference.

#### **5 Sub-Committee Requirements**

- 5.1 The Board will review and endorse membership on an as needs basis and as a minimum, annually, at the PHCC AGM
- 5.2 Sub-Committees operate in accordance with this Policy and where additional details are required, their respective Terms of Reference
- 5.3 Other Sub-Committees may be formed if required, by a Resolution of the Board
- 5.4 The Board will maintain the following Organisational Sub-Committees:
  - 5.4.1 Executive Committee (as elected at AGM)
  - 5.4.2 Finance and Audit Steering Committee
  - 5.4.3 Governance Steering Committee
  - 5.4.4 Prioritisation Steering Committee (as required)
  - 5.4.5 Aboriginal Participation Steering Committee
  - 5.4.6 Selection Committee (Independent Panel for recommendation of PHCC Membership)
- 5.5 The Board will maintain the following Project/Program Sub-Committees:
  - 5.5.1 Hotham-Williams Steering Committee

## 1.7 SUB-COMMITTEES (Internal and External)

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5.5.2 Agriculture Steering Committee

5.5.3 Science Steering Committee

5.5.4 Waterways

5.5.5 Community Engagement

5.5.6 Land Conservation

5.5.7 Ramsar Technical Advisory Group

5.5.8 Lake Clifton Thrombolite Recovery Group (by agreement with Department of Biodiversity, Conservation and Attractions)

5.6 The PHCC will maintain representation on external Sub-Committees, as deemed appropriate and endorsed by PHCC.

### 6 Other Committees

6.1 The CEO may form and/or call ad-hoc sub-committees as required to meet service delivery or organisational improvement needs

6.1.1 Membership may consist of any number and combination of Board Members, Employees or external Stakeholders as required and appropriate to the work of the Sub-Committee.

# POLICY

## 1.8 BOARD PERFORMANCE REVIEW



Supporting Procedure:	1.8.1 Board Performance Review (In Draft)	
Other Related Documents:	Policy 1.1 Board of Management Policy 1.2 Board Meetings Policy 1.5 Board Remuneration Policy 4.1 Code of Ethics PHCC Constitution (2018) PHCC Board Evaluation Survey	
Category:	Board	
Type:	Strategic	Dates:
1 <sup>st</sup> Review By:	Jane O'Malley and Patricia Sutton	01/02/2018
2 <sup>nd</sup> Review By:	Jane O'Malley and Patricia Sutton	23/05/2019
3 <sup>rd</sup> Review By:	Jane O'Malley and Patricia Sutton	14/05/2020
Approved By:	Board of Management	
Issued By:	Chief Executive Officer	

### Introduction

The purpose of this Policy is to ensure that a consistent approach is followed for conducting Bi-Annual Board Performance Reviews, and that Board related skills and knowledge, and competencies and behaviours, are evaluated and compared against set standards and business objectives and meet the PHCC's legal obligations, and vision for the Peel-Harvey Catchment. The Review will also inform whether the CEO and operations team are providing the information and environment required for best Board performance.

Board Members, and nominated Agency and Corporation observers will complete a Bi-Annual Performance Review by way of a Board Evaluation Survey, with the results being presented to the Governance Steering Committee, and the Board to respond to the results of bi-annual reviews.

### Definitions

**'Board Member'** means a member of the PHCC Board of Management

**'CEO'** means Chief Executive Officer

**'Community'** means any person in the broader community

**'Observer'** a person who can attend a Board meeting and can participate in discussion, but is not permitted to vote

**'Stakeholder'** means any person or entity with which PHCC interacts

## 1.8 BOARD PERFORMANCE REVIEW

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### Policy Statement

#### 1 Board Performance Evaluation

The Board Performance Evaluation is part of the Australian Government's requirement under their Performance Expectation Framework "Regional NRM Organisation Governance", as shown below:

***The regional NRM organisation has a process in place for formally reviewing the performance and composition of the regional NRM organisation's board of directors.***

This expected practice aims to demonstrate that a regional NRM organisation has a board of directors that are fully conversant with their responsibility as directors of a statutory or incorporated organisation and are representative of the demography of the region.

#### **Documents and evidence requested**

- The various documents cited in the self-assessment for this expected practice.
- Evidence demonstrating that a board review process is in place and is regularly undertaken.
- Evidence demonstrating that recommendations from a board review process have been responded to and progress monitored.
- Evidence demonstrating that an induction process is in place for new directors.
- Evidence that the board of directors can demonstrate a full range of skills and knowledge that reflect the responsibilities of the regional NRM organisation and the interests of the local community.

#### 2 Evaluation Design/Content

The Board Performance Evaluation will be undertaken via an on-line survey process, incorporating the needs of the Australian Government, and the PHCC, as endorsed by the Governance Steering Committee, and the PHCC. Note that the evaluation only deals with reviewing performance, not composition of the Board and that this is managed via the application process.

The Evaluation (self-assessment) questions are categorised under the following eight sections:

- 2.1 Strategy and purpose
- 2.2 Structure (including committees)
- 2.3 People
- 2.4 Processes
- 2.5 Dynamics
- 2.6 Stakeholders
- 2.7 Accountability and Results
- 2.8 Compliance and Reporting

## 1.8 BOARD PERFORMANCE REVIEW

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Each of these topic areas are assessed by a seven-point Likert scale, ranging from one (strongly disagree with the particular statement) to seven (strongly agree).

In addition to the rating responses to each of the questions, for each of the eight categories there is a provision for open-ended, free text responses to provide an opportunity for Members and Observers to elaborate in their own words on performance in each area.

The intent of the review process, from the PHCC perspective is to ensure that:

- a. Members are clear on expectations of their role and they can measure performance against a Board Charter and Constitution
- b. PHCC have a high performing Board to add value to the organisation to achieve our vision
- c. PHCC attract active, skilled and experienced members
- d. Members are kept involved, where appropriate
- e. Members skills/knowledge is best used
- f. Members have a clear and consistent understanding of the organisation and industry knowledge
- g. Members have a sound and productive relationship with the operations team (CEO)
- h. Risk management is minimised and managed
- i. Members are aware of and meeting legal/other obligations of the PHCC.

### 3 Results Review and Action

The Board Performance Evaluation will be undertaken via an on-line survey process, incorporating relevant questions under the eight (8) defined sections. The evaluation will be undertaken on a bi-annual basis, with the process managed by the CEO.

The evaluation questions will be reviewed by the Governance Steering Committee and any recommended changes will be made prior to the survey being sent to the Board for completion.

Members (and Observers) will be given a reasonable, e.g. 2 week period, to complete the survey.

An aggregated summary of all responses will be provided to the Governance Steering Committee, who will develop a Board action plan or work plan to ensure continuous improvement. Responses, and the Action/Work Plan will be presented to the Board for their consideration and action.

# POLICY

## 3.2 BANKING and ACCOUNTS (with attachments)



Supporting Procedure:		
Other Related Documents:	Policy 3.3 Credit Facilities Policy 3.4 Investment Delegations of Authority PHCC Constitution Register of Approved Signatories Register of Financial Reports (Attachment 1 to this Policy) Register of Bank Accounts (Attachment 2 to this Policy)	
Category:	Finance	
Type:	Strategic	Dates:
1 <sup>st</sup> Review By:	Jane O'Malley and Karen Henderson	08/05/2019
2 <sup>nd</sup> Review By:	Jane O'Malley and Karen Henderson	04/06/2020
Approved By:	Board of Management	
Issued By:	Chief Executive Officer	

### Introduction

The purpose of this policy is to define PHCC banking needs to most efficiently manage banking for the running of the organisation and management of project delivery, while maintaining excellent governance standards.

### Definitions

For the purposes of this Policy:

**'Board Member'** means a member of the PHCC Board of Management

**'Board of Management'** or **'Board'** means the Association Members of PHCC and has the same meaning as the word 'Council' in the Constitution

**'Procedures'** are the documented practices that ensure alignment and compliance to policies

### Policy Statement

The Peel-Harvey Catchment Council Inc (PHCC) will maintain appropriate bank accounts for the efficient control of income and expenditure to facilitate reconciliation and delegation but without having so many accounts that cash management is impaired.

## 1 Bank Accounts

- 1.1 Bank accounts are held, managed (including opening and closing accounts) and maintained in accordance the PHCC Delegations of Authority and are detailed in the PHCC Register of Bank Accounts (Attachment 2).



# POLICY

## 3.2 BANKING and ACCOUNTS (with attachments)

- 1.2 All bank accounts are to be business accounts set up in accordance with the requirements of the PHCCs Constitution and funding body agreements.
- 1.3 All bank accounts are to be opened only in the name of Peel-Harvey Catchment Council Inc. Only the Board of Management can approve the opening and/or closing of a bank account.
- 1.4 Appropriate bank accounts will be kept in line with grant conditions.
- 1.5 The PHCC receives the majority of its payments directly into the PHCC's Cheque / Operating Bank Account via direct deposit or EFT, some cheques and/or cash are received in the mail. Only the PHCC's Cheque / Operating Bank Account is to be used for receipting of all monies.
- 1.6 The PHCC makes payments from the PHCC Operating Bank Account via EFT, cheque or cash for Petty Cash purchases.
- 1.7 Bank accounts are to be reconciled monthly or in accordance with banking cycle defined by the Finance and Audit Sub Committee.
- 1.8 Bank Statements are to be signed by the Treasurer and presented to the Finance and Audit Committee, for report to the PHCC Board.

### 2 Approved Signatories – payment and account management

- 2.1 Signatories are defined in the PHCC Delegations of Authority to make payment of PHCC and Harvey River Restoration Taskforce payments.
- 2.2 Signatories are authorised persons for online access to, and payment of PHCC/HRRT accounts are defined in the PHCC Delegations of Authority.
- 2.3 Cheques are to be signed by the two of authorised signatories on the PHCC's accounts.

### 3 Finance Reports

Financial reports will be maintained and presented in accordance to the PHCC Register of Financial Reports (Attachment 1), as recommended by the Finance and Audit Committee, and endorsed by the PHCC Board of Management.

# ATTACHMENT 1

## POLICY 3.2 BANKING and ACCOUNTS

### Register of Financial Reports – as at 1 June 2020

#### Summary of PHCC Financial Reports and their circulation

	Report	PHCC*	F&A*	F&A**	CEO & Treasurer	Steering Committee	Project Officer & Program Manager
1	Balance Sheet (showing 2 years)	Bi-monthly	3 x p.a.	Monthly	Monthly		
2	Activity Sheet	Bi-monthly	3 x p.a.		Monthly	Quarterly	Monthly
3	Cash Flow Analysis	Bi-monthly	3 x p.a.	Bi-Monthly	Bi-Monthly		
4	Distribution of Unspent Funds – including Profit & Loss	Bi-monthly	3 x p.a.	Monthly	Monthly		
5	Whole of Project Balance Sheet				Bi-Monthly	Quarterly	Monthly
6	Reconciliation Report – Visa		3 x p.a.	Monthly	Monthly		
7	Reconciliation - Corporate Online Saver		Quarterly	Quarterly	Quarterly		
8	Reconciliation - Project Online Saver		Quarterly	Quarterly	Quarterly		
9	Term Deposits		On Maturity	On Maturity	On Maturity		
10	Accounts Receivable & Payable Reconciliation (summary)	Bi-Monthly	Monthly	Monthly	Monthly		

\* for ratification at formal meetings – only latest report (for latest month)

\*\*for ratification via out of session endorsement (Treasurer with Finance Manager)

# ATTACHMENT 2

## POLICY 3.2 BANKING and ACCOUNTS



### Register of Bank Accounts – as at 1 June 2020

Account Name	Shown on Statement	BSB	A/C No.	Statement Cycle	Details
<b>ANZ – Transaction Account</b>  <b>Cheque Account</b>  Holding a/c only for Paypal & MYOB Direct payments	Business Advantage Account	016 745	4637 83443	Monthly	<ul style="list-style-type: none"> <li>- All incoming monies from Paypal and MYOB Direct purchases will be paid into this account.</li> <li>- When funds received reach a limit, or on a regular basis, income received into this account will be transferred into the PHCC project cheque account.</li> </ul>
<b>ANZ - Corporate Online Saver</b>  Funds are held in this interest bearing account	Business Online Saver Statement	016 745	5272-85292	Quarterly	<ul style="list-style-type: none"> <li>- Funds held in this a/c are corporate funds that are not linked to specific contract agreements [projects] with current financial year delivery commitments</li> <li>- PHCC support (equity and running costs) are held in this account</li> <li>- Generally this account is reconciled annually to reflect the needs of the organisation, with PHCC support funds transferred as appropriate</li> <li>- Interest earned is reinvested into corporate needs</li> <li>- Pending cash flow funds from this may account may be transferred to term deposits to generate higher interest, as defined in the Delegations of Authority</li> </ul>
<b>Project Cheque Account</b>	Business Classic Statement	016 745	4942-31182	Monthly	<ul style="list-style-type: none"> <li>- All incoming monies (except Paypal and MYOB) are paid into this account then transferred to the Project</li> </ul>

# ATTACHMENT 2

## POLICY 3.2 BANKING and ACCOUNTS

<p>Holding a/c only – need to maintain a balance of \$15,000</p>					<p>Online Saver [to enable interest to be accumulated]</p> <ul style="list-style-type: none"> <li>- PHCC transfers monies as we need from project online a/c into this account to pay for project costs [note: cannot pay project costs directly from online saver</li> <li>- Generally project interest is required to be re-invested into the project from which it was generated</li> <li>- Pending cash flow funds from this may account may be transferred to term deposits to generate higher interest, as defined in the Delegations of Authority</li> </ul>
<p><b>ANZ - Project Online Saver</b></p> <p>Balance of project funds is held in interest bearing account</p>	<p>Business Online Saver Statement</p>	<p>016 745</p>	<p>7272-85559</p>	<p>Quarterly</p>	<ul style="list-style-type: none"> <li>- Funds held in this a/c are generally from funding received from service delivery arrangements (grants, contract agreements etc)</li> <li>- All interest is tracked monthly and allocated annually to PHCC internal Project Interest A/c. Then, dependent on project conditions:             <ul style="list-style-type: none"> <li>- Redistributed to the individual project interest a/c; or</li> <li>- Retained and reinvested into projects/corporate by decision (as per Delegations of Authority) (shown as other income against projects)</li> </ul> </li> <li>- Aim is to keep as much in this a/c as possible so that we are generating interest.</li> </ul>

# ATTACHMENT 2

## POLICY 3.2 BANKING and ACCOUNTS

					<p>Pending cash flow requirements the Finance Manager transfers from this a/c to the Project Cheque a/c as needed to ensure funds are available for upcoming invoices</p> <ul style="list-style-type: none"> <li>- Pending cash flow funds from this may account may be transferred to term deposits to generate higher interest, as defined in the Delegations of Authority</li> </ul>
<p><b>Westpac - Term Deposit</b></p> <p>Funds not immediately required are invested to gain greater interest rates</p>	Term Deposit	036 134	23-9580	At Maturity	<ul style="list-style-type: none"> <li>- Corporate and/or project funds not required during the period of the term deposit are transferred to a term deposit, in accordance with the Delegations of Authority</li> <li>- The intent is to gain as much interest as possible to reinvest into the organisation</li> </ul>
<p><b>ANZ - Term Deposit</b></p> <p>Funds not immediately required are invested to gain greater interest rates</p>	Term Deposit	016 745	9779 23298	At Maturity	<ul style="list-style-type: none"> <li>- Corporate and/or project funds not required during the period of the term deposit are transferred to a term deposit, pending approval of Executive (via recommendation of the Finance and Audit Committee);</li> <li>- The intent is to gain as much interest as possible to reinvest into the organisation</li> </ul>

# POLICY

## 3.3 CREDIT FACILITIES



Supporting Procedure:		
Other Related Documents:	Policy 3.1 Procurement Policy 3.2 Banking and Accounts Delegations of Authority Credit Card Register Organisational Credit Card Issue Form	
Category:	Finance	
Type:	Strategic	Date
1 <sup>st</sup> Review By:	Jane O'Malley and Karen Henderson	05/02/2019
2 <sup>nd</sup> Review By:	Jane O'Malley and Karen Henderson	04/06/2020
Approved By:	Board of Management	
Issued By:	Chief Executive Officer	

### Introduction

The PHCC provides authorised Employee credit cards to enable the PHCC to conduct its business as efficiently as possible, whilst minimizing financial risks to the organisation. This Policy sets out the requirements for setting credit facilities, issuing credit cards and managing credit card use.

### Definitions

For the purposes of this Policy:

**'Board of Management'** means the Association Members of PHCC and has the same meaning as the word 'Council' in the constitution

**'Board'** means Board of Management

**'Employee'** means all paid employed persons of PHCC

**'Credit Card'** is a card issued in the name of an individual holder and linked to a bank credit facility of Peel Harvey Catchment Council

**'Credit Facility'** is a line of credit issued by the bank to PHCC

### Policy Statement

#### 1 Credit Facility

- 1.1 Approval for the issue of a credit card, or credit card limit, must be undertaken as defined in the Delegations of Authority
- 1.2 The setting of credit facility limits (overall organisational limit), which may be provided through a master limit or combined card limits, must be undertaken as defined in the Delegations of Authority

## 3.3 CREDIT FACILITIES

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- 1.3 The Finance Manager is responsible for maintaining the Credit Card Register, which will be presented to the Finance and Audit Committee on an annual basis, or on request

### 2 Issue and Credit Limit of Credit Cards

- 2.1 When making recommendations for the issue and limit of credit cards, the following must be taken, into consideration:
  - 2.1.1 The operational need for that Employee to pay for goods and services via credit
  - 2.1.2 That the limit is appropriate to the purchasing requirements within a billing period
  - 2.1.3 The effect on the total credit facility of PHCC
- 2.2 Credit cards may be issued to Employees within their probation period, at the discretion of the Executive Committee and/or the CEO.

### 3 Management of Credit Card Facilities

- 3.1 The PHCC's online banking system will be used to monitor the credit card transactions
- 3.2 The financial management software of PHCC will be used to record and report on individual credit card transactions and to reconcile those transactions to the bank records at least once per month.

### 4 Cardholder's Responsibilities

- 4.1 The use of a credit card is a method of payment only, and does not preclude the requirement to undertake all purchases within Policy 3.1 Procurement
- 4.2 All cardholders must acknowledge Policy requirements prior to the credit card purchase
- 4.3 In regard to the card, the cardholder must follow the Credit Card Procedure and the information in the Organisational Credit Card Issue Form.

### 5 Credit Card Misconduct

- 5.1 Where a breach of this Policy and/or associated Procedures occurs, the CEO will assess the nature of the breach and, dependent on its severity, may:
  - 5.1.1 Issue a formal warning against the Employee
  - 5.1.2 Remove the credit card from use
  - 5.1.3 Terminate the Employee
  - 5.1.4 Notify police, should the breach be considered criminal in nature
- 5.2 In the event that misconduct involves personal purchases, PHCC has the right to recover the value of those purchases from the employee's salary prior to payment of the salary.

# POLICY

## 3.4 INVESTMENT



Supporting Procedure:	N/A	
Other Related Documents:	Policy 3.7 Fraud and Corruption Policy 4.1 Code of Ethics Policy 4.2 Conflict of Interest Finance and Audit Committee Terms of Reference	
Category:	Finance	
Type:	Strategic	Dates:
1 <sup>st</sup> Review By:	Jane O'Malley	24/1/2019
2 <sup>nd</sup> Review By:	Karen Henderson	16/06/2020
Approved By:	Board of Management	
Issued By:	Chief Executive Officer	

### Introduction

This Policy relates to the investment of PHCC funds, attitudes, philosophy, and accepted tolerance relating to such investments. The objective of this Policy is to guide the decision making of financial investment opportunities with the purpose of expanding the cash holdings of the organisation, allowing greater re-investment in NRM activities in the Peel-Harvey. The Finance and Audit Committee is tasked to investigate and provide advice to the Board of Management relating to Investments, in accordance with the PHCC Delegations of Authority.

### Definitions

For the purposes of this Policy:

**'Board of Management' or 'Board'** means the Association Members of PHCC and has the same meaning as the word 'Council' in the Constitution

**"Finance and Audit Committee"** means the Standing Committee that provides advice to the Board of Management on financial matters, undertaking duties as set out in its terms of reference

**"Finance Manager"** means the employee or service provider appointed who is responsible for administering the financial management system

**"Investments"** means any funds allocated to any activity for the sole purpose to expand the funds, such as a term deposit

**'Procedure'** is a documented process

**"Risk Tolerance"** means the accepted level of potential loss of funds from Investment.



## 3.4 INVESTMENT

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### Policy Statement

Financial Investments are to maximise income earning potential from the organisation's financial position and enable greater re-investment in NRM activities in the Peel-Harvey.

#### 1 Income

- 1.1 Income shall be applied solely towards the promotion of the objects of the PHCC and no part of that property or income may be paid or otherwise distributed, directly or indirectly, to Members or Associates except in good faith in the promotion of those objects, except for the payment of approved Stipends.
- 1.2 PHCC will act with honest transparency and integrity when engaging in financial investments.

#### 2 Declaration or speculation of conflict

- 2.1 Declaration of conflict or speculation of conflict in investment opportunities will be clearly noted and anyone with an actual or perceived conflict will be removed from any investment process/es.
- 2.2 Advice perceived as speculation in relation to recommending financial investment opportunities is managed in accordance with adequate due diligence.

#### 3 Risk

- 3.1 Financial risk tolerances for the organisation vary according to origin of funding and its intended use.
- 3.2 As a community based not-for-profit organisation predominately using government funding, the PHCC has a low tolerance for financial risk.

#### 4 Responsible Officers

- 4.1 The Chairperson of the Board of Management has been delegated the responsibility by the Board of Management or as otherwise delegated, for the operational compliance of the Finance and Audit Committee to this Policy
- 4.2 The Finance and Audit Committee members are responsible to act in accordance with this Policy and make recommendations for its improvement as required.

# POLICY

## 3.5 ASSET MANAGEMENT



Supporting Procedure:	TBA	
Other Related Documents:	Policy 2.11 Motor Vehicles Policy 3.1 Procurement Asset Register Delegations of Authority Register Drivers Licence Register Equipment Register Associations Incorporations Act 2015 Australian Accounting Standards	
Category:	Finance	
Type:	Strategic	Dates:
1 <sup>st</sup> Review By:	Karen Henderson, Jane O'Malley & Patricia Sutton	05/02/2019
1 <sup>st</sup> Review By:	Karen Henderson, Jane O'Malley & Patricia Sutton	04/06/2020
Approved By:	Board of Management	
Issued By:	Chief Executive Officer	

### Introduction

The purpose of this policy is to ensure Peel-Harvey Catchment Council (PHCC) makes responsible asset purchases, manages asset replacement, maintains accounts for assets and retains control over assets.

This Policy is designed to ensure that all Employees have the necessary and suitable equipment to perform their duties.

PHCC retains the ownership of assets provided to staff and volunteers. Staff and volunteers are responsible for exercising reasonable diligence to protect assets from theft or damage.

### Definitions

For the purposes of this Policy:

**'Asset'** is a tangible item with economic value. For this policy refers to physical items such as motor vehicles, office equipment, computers, communication system, furniture and equipment

**'Employee'** means all paid employed persons in PHCC

**'Board of Management'** or **'Board'** means the Association Members of PHCC and has the same meaning as the word **'Council'** in the Constitution

**'Volunteer'** means anyone providing unpaid assistance to PHCC

## 3.5 ASSET MANAGEMENT

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### Policy Statement

PHCC acquires, uses, maintains and replaces assets to assist the organisation to meet its objectives. All assets are to be appropriately cared for, insured and recorded on the Asset Register.

#### 1 Purchasing Assets

- 1.1 Purchase of an asset on behalf of PHCC must be undertaken in accordance with the Delegations of Authority Register.
- 1.2 Asset acquisition should be based on consideration of whether the asset:
  - 1.1.1 will provide significant, direct and tangible benefit to the organisation
  - 1.1.2 does not exist or could not be upgraded or adapted to meet the same purpose
  - 1.1.3 is appropriate and cost effective over its life
  - 1.1.4 is compatible with existing equipment and will not lead to unwarranted additional expenditure
  - 1.1.5 can be accommodated in existing space and facilities
  - 1.1.6 is the most suitable and appropriate type, brand, and model.
- 1.3 Purchase of an asset must be undertaken in accordance with the PHCC Policy 3.1 Procurement.

#### 2 Asset Register

- 2.1 An Asset Register of all capital purchases greater than \$6,500 in value is maintained by the Finance Manager. A separate Equipment Register is maintained by the Manager Corporate Services to ensure that all equipment available for use by the PHCC is registered
- 2.2 Assets are depreciated by class at a rate determined by asset life and the Australian Accounting Standards
- 2.3 Depreciation of assets used to support and develop the entire organisation is borne by the core administration cost centre
- 2.4 Acquisitions deem an asset less than \$6,500 in value will be also be recorded on the PHCC Asset Register to allow PHCC to determine the appropriate level of insurance cover.

#### 3 Asset Utilisation

- 3.1 Assets will be used by authorised personnel for the purposes for which they were acquired. Under-utilised and under-performing assets will be identified, reasons critically examined, and appropriate action taken (e.g. disposal, sale or gifting) by the approval of the CEO. Modification of assets will only occur by authorised and qualified persons.
- 3.2 Assets may, on occasion, be loaned to approved organisations / individuals, with the approval of the CEO.

#### 4 Asset Maintenance

- 4.1 Assets will be maintained through actions recommended in manufacturer's manuals. For each asset, efficient maintenance strategies will be implemented.

## 3.5 ASSET MANAGEMENT

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### 5 Asset Security

- 5.1 Staff, volunteers and people/organisations approved to loan assets are responsible for the security of assets under their control. Assets are to be safeguarded against theft and damage and removed from the premises only with approval.
- 5.2 Appropriate insurance will be held for asset replacement, if theft, damage or other occurrences.

### 6 Asset Disposal

- 6.1 Asset disposal may occur through auction, tender, private sale, destruction, donation and transfers to other organisations, at the CEO's discretion.
- 6.2 The method of asset disposal will be based on consideration of what offers the best return and best furthers PHCC's objectives, including support for e.g. Landcare Groups.

### 7 Motor Vehicles

- 7.1 Motor vehicles are provided as shared pool vehicles for use by eligible staff, some of which may have commuter use. The decision to lease or purchase a vehicle is undertaken in accordance with the Delegations of Authority.
- 7.2 The Office Manager ensures that all vehicles are registered, are insured comprehensively and covered by a road service assistance program. The PHCC is responsible for the payment of insurance excess in the event of an accident unless the vehicle is not being used in accordance with Policy 2.11 Motor Vehicles, whereby the officer using the vehicle will be responsible for the payment of the excess.
- 7.3 All vehicles are to be maintained in accordance with their maintenance schedule and/or terms of their lease agreement with the maintenance expense borne by the Project cost centres. Maintenance is the responsibility of the Vehicles custodian, in accordance with Policy 2.11, Motor Vehicles.
- 7.4 All drivers of PHCC motor vehicles will have been given authorisation by the CEO and must hold a current WA Drivers Licence.

# POLICY

## 3.6 AUDIT



Supporting Procedure:	TBC	
Other Related Documents:	Associations Incorporations Act 2015 (WA) Australia Accounting Standards Board 101 (AASB) Australian Accounting Standards Australian Auditing and Assurance Standards Board Australian Charities and Not for Profit Commissions Act, 2012 Fringe Benefit Tax Assessment Act 1986 Income Tax Assessment Act 1997 (ITAA) PHCC Asset Register PHCC Constitution (2018) PHCC Delegations of Authority PHCC Loan Book Payroll Tax Assessment Act 2002 Professional Practices Framework of The Institute of Internal Auditors Taxation Administration Act 1953	
Category:	Finance	
Type:	Strategic	Dates:
1 <sup>st</sup> Review By:	Jane O'Malley and Karen Henderson	10/04/2019
2 <sup>nd</sup> Review By:	Jane O'Malley and Karen Henderson	06/06/2020
Approved By:	Board of Management	
Issued By:	Chief Executive Officer	

### Introduction

The Peel-Harvey Catchment Council (PHCC) undertakes external auditing processes to comply with the its legal requirements, as a not-for-profit entity, and ensure the organisation's financial reporting is free from material mis-statement, whether due to fraud or error.

The Finance and Audit Committee will support the Operations team to assist and provide advice to the Board of Management on the appropriateness and comprehensiveness of internal controls, compliance and risk management necessary for the effective and efficient operation of PHCC.

### Definitions

For the purposes of this Policy:

**'Accrual'** means a financial book transaction rather than a financial cash transaction. The economic event is measured regardless of when cash transactions occur

**'Asset (AASB)'** defined by the AASB is a resource controlled by PHCC as a result of past events; and from which future economic benefit are expected to flow to PHCC

## 3.6 AUDIT

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**'Cash Basis'** defined by the Australian Taxation Office is a major accounting method that recognises revenues and expenses at the time physical cash is actually received or paid out

**'Contingent Asset (AASB)'** defined by the AASB is a possible asset that arises from past events and whose existence will be confirmed only by the occurrence or non- occurrence of one or more uncertain future events not wholly within the control of the entity

**'Contingent Liability (AASB)'** defined by the AASB means a possible obligation from past events and whose existence will be confirmed only by the occurrence or non- occurrence of one or more uncertain future events not wholly within the control of the entity; or a present obligation that arises from past events but is not recognised because:

- a) it is not probably that an outflow of resources embodying economic benefits will be required to settle the obligation; or
- b) the amount of the obligation cannot be measured with sufficient reliability

**'Employee'** means all paid employed persons in PHCC

**'Financial Year'** means a period of twelve (12) months from 1 July to 30 June that defines the annual accounting period

**'Liability (AASB)'** defined by the AASB is a present obligation of the entity arising from past events, the settlement of which is expected to result in an outflow from the entity of resources embodying economic benefit

**'Not-for-profit' ('NFP')** means an organisation that does not operate for the profit, personal gain or other benefit of particular people, while the organisation is operating and if it winds down

**'NRM'** is Natural Resource Management

**'Procedure'** is a documented process

**'Recognised Asset'** means property which have an effective life greater than 12 months, and a procurement, or thereafter market value, greater than \$6,500 for the effect of Accounting depreciation

**'Representative'** means any Board Member, Employee, Volunteer, Contractor or any other person working for or representing PHCC

**'Special Purpose Financial Report' (SPFR)** means a statement that gives a true and fair view of the financial position and financial performance, of PHCC for the purpose of comprehensive independent financial audit and reporting to members.

## Policy Statement

### 1 Audit Function

- 1.1 Audit functions will be in accordance with the Professional Practices Framework of The Institute of Internal Auditors, and the Australian Auditing and Assurance Standards Board

## 3.6 AUDIT

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- 1.2 The Finance and Audit Committee is required to review the comprehensiveness and appropriateness of internal controls pertaining to PHCC's financial management and reporting practices.

### **2 Australian Charities and Not-for-Profit Commission Act, 2012**

- 2.1 The PHCC is recognised as a Tier 3, Large Charity with an Annual Income of \$1,000,000 or more. Under the Act, Large Charities must submit an Annual Information Statement. Since 2014, the Annual Information Statement has included financial questions and the PHCC is required to submit a financial report that is audited by a member of a professional accounting body, being a registered company auditor
- 2.2 Financial Statements must give a true and fair view of the financial position and performance of the PHCC and be prepared in accordance with Australian Accounting Standards.

### **3 Appointment of Auditor**

- 3.1 The Treasurer, on recommendation of the Finance and Audit Committee, will seek endorsement of the appointment of an auditor for the forthcoming year at the PHCC Annual General Meeting, in accordance with the PHCC Delegations of Authority and PHCC Constitution (2018)
- 3.2 Selection of a suitably qualified Auditor will consider relevant selection criteria (value for money, understanding of our business and similar), including the need to rotate the lead/signing auditor at least every five years, noting that the changing of lead/signing auditors does not necessitate a change of audit companies.

### **4 Project Audits**

- 4.1 PHCC Grants and/or service agreement financial reporting will be undertaken in accordance with the individual requirements of each grant and/or service agreement
- 4.2 All Grants and/or service agreements that the PHCC provide to external parties (e.g. Landcare groups or individual landholders) require a financial acquittal statement, with copies of project related invoices as evidence of expenditure
- 4.3 Larger grants and/or service agreements that the PHCC provide to external parties (e.g. Landcare groups, government agencies or others) may require an external audit signed by a professional accounting body, pending grant conditions and/or other requirements as deemed necessary by the PHCC, the cost of which should be included in the grant/service budget.

### **5 Not-For-Profit Organisation**

- 5.1 The PHCC is a not-for-profit organisation and its activities do not generate profit or losses for distribution to members
- 5.2 The PHCC is exempt from income tax under S50\_145 of the Income Tax Assessment Act 1997 (ITAA)

### **6 Special Purpose Financial Report (SPFR)**

- 6.1 PHCC is an individual entity, and is not a reporting entity under the definition of the AASB

## 3.6 AUDIT

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- 6.2 Annual audited financial statements are special purpose, prepared for the use by PHCC so as to satisfy the requirements of the PHCC Constitution and the Associations Incorporations Act 2015 (WA)
- 6.3 The SPFR is prepared in accordance with the Associations Incorporations Act 2015 (WA) and Australian Accounting Standards; on an accrual basis, based on historical cost modified by the revaluation of selected non-current assets, and financial assets and financial liabilities for which the fair value basis of accounting has been applied.

### 7 Assets and Liabilities

- 7.1 Assets will be recognised at fair value at a time when a resource from a past event from which future economic benefit is expected, and adequate provision is made for any permanent diminution in the value on non current assets
- 7.2 On an annual basis the PHCC will make an assessment of the PHCC's assets, in accordance with AASB136.9 to determine if any assets are deemed to be 'impaired', as defined in the Delegations of Authority

### 8 Income

- 8.1 The organisation's principal receipts are funds provided for specific projects and not available for general activities. Revenue is measured at the fair value of consideration received or receivable. Revenue is recognised from the major business activities as follows:
  - 8.1.1 Rendering of Service: Revenue is recognised on delivery of service or by reference to the stage of completion specified by the funder
  - 8.1.2 Interest: Revenue is recognised as the interest accrues
  - 8.1.3 Grants: Grants are recognised at fair value when the organisation is scheduled to apply this funding to project completion . The balances of grants are recognised as prepaid income until such time as it is scheduled for project completion. Matching of grant funding to planned project activity occurs at financial year end
  - 8.1.4 Donations: Donations that may be received for a specific purpose or the general operations of the PHCC, whether they are tax deductible or not.

### 9 Equipment and Recognised Assets

- 9.1 Depreciation of a Recognised Asset is on a straight line basis over the asset's useful life, commencing from the time of acquisition. The assets residual value and useful life are reviewed, and adjusted as appropriate , at each balance sheet date. Gains and losses on disposals are determined by comparing proceeds with the carrying amount. These gains and losses are included in the income statement
- 9.2 The PHCC will maintain a current Asset Register, listing all assets of \$6,500 or greater value
- 9.3 Effective from 1 July, 2012, the PHCC Finance and Audit Committee determined that assets costing \$6,500 or greater, are capitalised in the balance sheet. All other assets costing <\$6,500 are expensed when incurred



## 3.6 AUDIT

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- 9.4 The depreciable amount of plant and equipment, I.T., computer assets and furniture and fittings are depreciated over the useful lives of the assets to the organization commencing from the time the asset is held ready for use
- 9.5 Depreciation of an asset can be no greater than \$5,000 per annum
- 9.6 Equipment to be removed from the premises, or allocated to Representatives will be recorded in the Loan Book.

### **10 Cash and Cash Equivalent**

- 10.1 Cash and cash equivalents include cash on hand, deposits held at call with banks, including short term highly liquid investments.

### **11 Goods and Services Tax**

- 11.1 Revenues, expenses and assets are recognised net of the amount of GST. Receivables and payables in the balance sheet are shown inclusive of GST
- 11.2 The PHCC operates with GST concessions and on a cash basis for the purpose of GST reporting.

### **12 Cash Flows**

- 12.1 Cash Flows are presented in the cash flow statement on a gross basis, except for the GST component of investing and financing activities, which are disclosed as operating cash flows.

### **13 Employee Entitlements**

- 13.1 The provision for Employee benefits relates to the amount liable to be paid for the long service leave, annual leave and purchase leave resulting from the Employees' services provided to balance date
- 13.2 All entitlements are calculated at their nominal amounts using remuneration rates and expected to be settled within reasonable timeframes, as determined by the CEO, or where it pertains to the CEO, by the Chairman (on recommendation of the Finance and Audit Committee)
- 13.3 All provisions are calculated based on the capability of being measured reliably in respect of probable future economic settlement, appropriate consideration to current organisation provision values, and workforce plan
- 13.4 No allowance has been made for future pay rate and thus discounting present value of future cash outflows, due to inherent uncertainty in determining the appropriate valuation rates.

### **14 Retained Earnings**

- 14.1 Retained earnings represent income received over time that is not specifically allocated to a project, and can be used in the future for projects or initiatives at the organisations discretion.

### **15 Consolidated Funds**

- 15.1. Consolidated funds represent income received that is specifically allocated to project outcomes and can only be used for the purposes described in the contractual agreements for the delivery of NRM services and organisational operation. During times of funding

## 3.6 AUDIT

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discontinuity, consolidated funds are provisional for ongoing essential NRM work , through organisational continuity .

### 16 Tax Concessions and Endorsements

#### 16.1 Income Tax Exemption

16.1.1 PHCC NRM is a not for profit organisation and thus exempt from income tax liability by virtue of the Income Tax Assessment Act 1997 (ITAA)

#### 16.2 Tax Concession Charity

16.2.1 Under the Fringe Benefit Tax Assessment Act 1986, and the Taxation Administration Act 1953, tax concession charity endorsement has been granted to PHCC as a charitable institution

#### 16.3 Payroll Tax Exemption

16.3.1 For the purpose of the Payroll Tax Assessment Act 2002, and the Taxation Administration Act 2003 , PHCC is granted exemption from payroll tax for the purpose of section 40 (2)(n) of the Act effective 2007 financial year.

# POLICY

## 3.7 FRAUD AND CORRUPTION



Supporting Procedure:	N/A	
Other Related Documents:	Policy 2.5 Whistleblower Policy 3.3 Credit Facilities Policy 4.1 Code of Ethics Associations Incorporation Act 2015 (Western Australia) Australian Standard on Fraud and Corruption Control AS8001-2008	
Category:	Finance	
Type:	Strategic	Dates:
1 <sup>st</sup> Review By:	Jane O'Malley	24/01/2019
2 <sup>nd</sup> Review By:	Jane O'Malley	16/06/2020
Approved By:	Board of Management	
Issued By:	Chief Executive Officer	

### Introduction

The purpose of this Policy is to protect the assets, interests and reputation of Peel-Harvey Catchment Council (PHCC) by identifying fraudulent and corrupt activity and establishing controls for prevention and detection of these activities, reinforce the requirement for all Representatives to refrain from corrupt and fraudulent conduct, provide a framework for investigation of suspected fraudulent and corrupt activity; and assign responsibility for control measures.

For the purpose of clarity, fraudulent and/or corrupt behaviour with respect to PHCC may include, but is not limited to:

- false accounting
- the acceptance or provision of bribes in exchange for business
- failure to declare a conflict of interest
- the undeclared use of a PHCC credit card for personal expenses
- the falsification of data
- disclosure of confidential information for other than a proper business purpose
- improperly exercising a delegated power
- misappropriation of funds, including the use of assets for private purposes

Fraud may lead to criminal conviction and PHCC is obligated to report any unlawful act of its Representatives.

Representatives who breach this Policy may be subject to disciplinary action. The Whistleblowers Policy should be followed to identify the mechanisms for Representatives to report incidents of fraud or corruption.

## 3.7 FRAUD AND CORRUPTION

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### Definitions

For the purposes of this Policy:

**'Board of Management'** or **'Board'** means the Association Members of PHCC and has the same meaning as the word 'Council' in the Constitution

**'Corruption'** means dishonest activity in which Representatives act contrary to the interests of the entity and abuse their position of trust in order to achieve some personal gain or advantage for themselves or for another person or entity

**'Fraud'** means dishonest activity causing actual or potential financial loss to any person or entity including theft of moneys or property by Representatives or persons external to PHCC and whether or not deception is used at the time, immediately before or immediately following the activity. This also includes deliberate falsification, concealment, destruction or use of falsified documentation used, or intended for use, for a normal business purpose or the improper use of information or position.

**'Procedure'** is a documented process

**'Representative'** means any Board Member, Employee, Volunteer, Contractor or any other person working for or representing PHCC

**'Whistleblower'** means the person performing the Whistleblowing

**'Whistleblowing'** means the deliberate, voluntary disclosure of individual or organisational Wrongdoing; by a person who has or had privileged access to data, events or information about an actual, suspected or anticipated Wrongdoing; within or by, PHCC or Other Related Parties

**'Wrongdoing'** means any conduct that:

- is dishonest, fraudulent or corrupt; or
- is illegal, such as theft, drug sale or use, violence, harassment, criminal damage to property or other breaches of State or Australian legislation; or
- is unethical, such as dishonestly altering organisational records or engaging in questionable accounting practices or willfully breaching PHCC's Code of Ethics or other ethical statements; or
- is potentially damaging to PHCC or its personnel, such as unsafe work practices or substantial wasting of resources; or
- may cause financial loss to PHCC or damage its reputation or be otherwise detrimental to PHCC's interests; or
- involves any other kind of serious impropriety.

### Policy Statement

PHCC requires all Representatives at all times to act honestly and with integrity and to safeguard PHCC resources for which they are responsible.

PHCC is committed to protecting all revenue, expenditure and assets from any attempt to gain illegal financial or other benefits.

## 3.7 FRAUD AND CORRUPTION

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### 1 Disciplinary Action

Any fraud or corruption committed against PHCC is a major concern and as a consequence all cases will be thoroughly investigated and appropriate disciplinary action will be taken against any Representative who is found guilty of corrupt or fraudulent conduct. This may include referral to the appropriate law enforcement or regulatory agencies for independent investigation.

### 2 Reporting

It is the responsibility of all Representatives to report all suspected, attempted or actual fraud and corruption incidents. The Whistleblower Policy identifies reporting mechanisms.

### 3 Investigation

The Finance and Audit Committee will fully investigate any reported allegation of fraudulent or corrupt conduct, unless allegations include any member/s of the Finance and Audit Committee. The outcome will be reported to the Board of Management. The Board of Management will make any decisions required concerning the outcome of the Finance and Audit Committee's report.

- 3.1 PHCC is committed to protecting and respecting the rights of a person who reports Wrongdoing in good faith. PHCC will not tolerate any retaliatory action or threats of retaliatory action to such a person, or to that person's colleagues, employer (if a contractor) or relatives. Any such retaliatory action or victimisation in reprisal for a report being made under this Policy may be treated as serious misconduct and may result in dismissal or other disciplinary action. If the person who has made a report believes retaliatory action or victimisation has occurred or been threatened, the person who made the report has the right to make a submission to the Chief Executive Officer or to the Board of Management, or otherwise to apply the grievance process
- 3.2 PHCC recognises that individuals against who a report is made must also be supported during the handling and investigations of a report and will take reasonable steps to treat the person fairly. It will give its full support to a person who is the subject of a report where allegations contained in a report are clearly wrong
- 3.3 If preliminary enquiries determine that a suspected Wrongdoing is baseless or unfounded and that no formal investigation is warranted then the Chief Executive Officer or Chairperson will decide whether or not the person named in the suspicion should be informed that a suspicion had been raised and found to be baseless upon preliminary review. This decision will be based on a desire to preserve the integrity of the person so named, to enable workplace harmony to continue unfettered and to protect the Whistleblower if it was a bona fide disclosure.
- 3.4 The Chief Executive Officer or Chairperson will be responsible for:
  - 3.4.1 Safeguarding the interests of the person who reports Wrongdoing, and person who is suspected of Wrongdoing
  - 3.4.2 Appointing an investigator to enquire into the substance of reports if appropriate
  - 3.4.3 Determining whether to refer reports for further action or to refute them
  - 3.4.4 Keeping all respective persons informed of the outcomes of the enquiry or investigation, subject to the considerations of privacy of those against whom the allegations are made; and

## 3.7 FRAUD AND CORRUPTION

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3.4.5 Formally recording the report of Wrongdoing.

### 4 Responsible Officers

- 4.1 The Chief Executive Officer is responsible for the operational compliance of the organisation to this Policy
- 4.2 Representatives have an individual responsibility to act appropriately in their roles and to report any observed or suspected fraudulent or corrupt behaviour.

# POLICY



## 4.1 CODE OF ETHICS

Supporting Procedure:	N/A	
Other Related Documents:	1.1 Board of Management 4.2 Conflict of Interest 4.4 Gifts and Benefits	
Category:	Organisation	Dates:
1 <sup>st</sup> Review By:	Exec Committee, Patricia Sutton and Jane O'Malley	13/07/2017
2 <sup>nd</sup> Review By:	Jane O'Malley and Patricia Sutton	21/05/2019
3 <sup>rd</sup> Review By:	Jane O'Malley and Patricia Sutton	14/05/2020
Approved By:	Board of Management	17/08/2017
Issued By:	CEO	

### Introduction

Peel-Harvey Catchment Council (PHCC) is committed to ethical conduct. The Board and Employees of PHCC have a legal and moral responsibility to manage the organisation in the best interests of the community it serves. This policy indicates PHCC's position on ethics and proper practice and the standards and conduct expected of the Board, Employees and Volunteers of PHCC.

The *Board of Management* Policy 1.1 includes additional expectations of Board Members specifically relating to the conduct of their duties on the Board.

### Definitions

For the purposes of this Policy:

**'Board of Management'** means the Association Members of PHCC

**'Employee'** means all paid employed persons of PHCC

**'Volunteer'** means anyone providing unpaid assistance to PHCC

**'Stakeholder'** means any person or entity with which PHCC interacts

**'Others'** means Board, Employees, Volunteers and Stakeholders

**'Workplace'** means any site, office, vehicle or place at or in which you conduct your work

**'Integrity'** is the quality of being honest and having strong moral principles

**'Reflective Practice'** is the ability to reflect on one's actions to engage in a process of continuous learning

**'Courage'** means the mental or moral strength to venture into, persevere with or withstand fear or difficulty

## 4.1 CODE OF ETHICS

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### Policy Statement

PHCC expects Board Members, Employees and Volunteers to be guided by the values of the organisation and the principles of professional practice in conducting themselves, undertaking their work and interacting with stakeholders. Those values and principles are:

#### Values:

Respect  
Open Communication  
Trust  
Reflective Practice  
Courage (see Definitions)  
Integrity

#### Principles of Professional Practice:

Commitment to Excellence  
Evidence based decision making  
Involving people with the most relevant knowledge and experience when setting priorities  
Demonstrating credibility  
Accountability and transparency

### Values

#### 1 Have Respect for others and for the Organisation

We will positively support the organisation and its work at all times in public and private communications, and be considerate of the rights, feelings or wishes of others in all interactions and decisions regarding projects, property and work practices.

#### 2 Encourage and Practice Open Communication

We will actively encourage feedback and suggestions from others to continually develop and improve on delivery of the objectives of the organisation.

#### 3 Have Trust in others and be Trustworthy

We will be transparent in our actions, and will maintain confidentiality regarding any information gained through our work.

#### 4 Utilise Reflective Practice to learn and grow

We will encourage and undertake reflective practice in day to day activities, and utilise the principles of adaptive management in our work.

#### 5 Demonstrate Integrity

We will, within any leadership role, set clear expectations of honest and ethical behaviour for others, and will at all times act honestly and in good faith in the interests of the organisation.



## 4.1 CODE OF ETHICS

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### Principles of Professional Practice

#### **1 Commitment to Excellence**

We will persistently create better ways of doing the things we do. We will build on our accomplishments in our personal and professional journey to be the best we can, and set new standards in our industry. We will expect more of ourselves than our community do. We will endeavour to exceed expectations in every project.

#### **2 Evidence-based decision-making**

We will ensure that the development of any program, practice, or policy is grounded in the best available research evidence and informed by experiences in the field and relevant background evidence.

#### **3 Involving people with the most relevant knowledge and experience when setting priorities**

We will ensure that we involve a wide range of stakeholders within the community when we determine what work we undertake. We will seek to consider local experience and the technical, physical or intellectual knowledge available to us and relevant to our region when making natural resource management (NRM) decisions.

#### **4 Demonstrating credibility**

We will be trustworthy and consistent in our behavior and actions. We will be competent in what we do and demonstrate sound judgment. We will demonstrate a willingness to listen and work in the best interest of others.

#### **5 Accountability and transparency**

We will individually, and as an organisation, take responsibility for our decisions and actions. We will set objectives and report on our achievements against those objectives. We will maintain accurate and reliable records as required by relevant legislation and policies and keep them in such a way as to ensure their security and availability for scrutiny when required. We will communicate openly across the organisation and with stakeholders about the planning and delivery of our work.

# POLICY

## 4.2 CONFLICT OF INTEREST



Supporting Procedure:		
Other Related Documents:	Policy 1.1 Board of Management Policy 1.2 Board Recruitment Policy 4.1 Code of Ethics Policy 4.3 Risk Management Policy 4.4 Gifts and Benefits Conflict of Interest Register Gifts and Benefits Register	
Category:	Organisation	
Type:	Strategic	Dates:
1 <sup>st</sup> Review By:	Jane O'Malley and Patricia Sutton	10/4/2017
2 <sup>nd</sup> Review By:	Jane O'Malley and Patricia Sutton	21/05/2019
3 <sup>rd</sup> Review By:	Jane O'Malley and Patricia Sutton	04/06/2020
Approved By:	Board of Management	
Issued By:	Chief Executive Officer	

### Introduction

Peel Harvey Catchment Council (PHCC) considers that raising awareness around conflict of interest helps to build organisational and individual capacity to manage work effectively and strengthens public perception and confidence.

PHCC acknowledges that it is not wrong or unethical to have a conflict of interest, but that it is important to identify and appropriately manage it where it cannot be avoided.

The objective of this policy is to provide a framework to identify and measure the level of risk posed by conflicts of interest and determine a consistent protocol for resolving concerns.

This policy provides guidance for Board, Employees and Volunteers in cases where tangible, apparent or potential conflicts of interest arise that may compromise their ability to maintain organisational transparency and/or personal integrity.

### Definitions

For the purposes of this Policy:

**'Board of Management' or 'Board'** means the Association Members of PHCC and has the same meaning as the word 'Council' in the Constitution

**'Conflict of Interest'** is a situation arising from conflict between the performance of public or professional responsibility and private or personal interest where someone is in a position to derive personal benefit from actions or decisions made in their official capacity. It is an action, omission or situation that may, or may appear, to compromise the objectivity or integrity of a person's decision or action. Conflicts can be

## 4.2 CONFLICT OF INTEREST

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personal, financial or material and may be immediately apparent or have potential to occur based on forecasted risk

**'Employee'** means all paid employed persons of PHCC

**'Representative'** means any Board Member, Employee, Volunteer, Contractor or any other person working for or representing PHCC

**'Volunteer'** means anyone providing unpaid assistance to PHCC

### Policy Statement

#### 1 Expectations of Representatives

- 1.1 Representatives of PHCC are required to demonstrate integrity and impartiality and act in the best interests of the organisation and the community it serves by:
  - 1.1.1 Adhering to the Code of Ethics
  - 1.1.2 Serving the public interest
  - 1.1.3 Using authority responsibly
  - 1.1.4 Proactively contributing to the identification and resolution of conflicts

#### 2 Behaviours of Representatives

Representatives must not:

- 2.1 Participate in making decisions
  - 2.1.1 From which they could benefit personally, financially or materially (including proximity to property)
  - 2.1.2 That may, or may appear to, compromise the integrity or objectivity of their decision
- 2.2 Use their position, or information, data or material obtained thereof, to provide professional, personal or financial advantage to themselves
- 2.3 Abuse their position of authority to derive unfair professional, personal or financial advantage from other Representatives or the public
- 2.4 Represent anyone other than PHCC in any matter in which they are representing a PHCC interest
- 2.5 Promote any of their own interests when at PHCC events or meetings
- 2.6 Take any action that could create an appearance of impropriety, or could cause an impartial observer to believe their actions demonstrate bias or favouritism
- 2.7 Participate in activities that are inherently incompatible with the responsibilities of their position at PHCC and PHCC's Code of Ethics
- 2.8 Have a financial interest in a contract with PHCC unless:
  - 2.8.1 they meet all specified criteria of the contract
  - 2.8.2 the contract is awarded through a transparent public procurement process, and
  - 2.8.3 they publicly disclose their financial interest

## 4.2 CONFLICT OF INTEREST

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### 3 Acceptance of a Conflict of Interest Risk

The natural resource management community is relatively small and specialised, so the potential for conflict of interest is significant. Situations may arise where limited availability or choice of specialist skills and knowledge means that absolute disqualification of a person or activity to completely avoid the potential for conflict of interest may not be practical or in the best interests of PHCC.

Common activities or functions where this may occur include (but are not limited to):

- Procurement of Goods or Services
- Grant and/or sponsorship funding receipt and allocation
- Recruitment of Board, Contractors and Volunteers who have other Board, Committee, volunteering, contract or employment obligations
- Project partnerships (financial, in-kind and shared outcome)
- Gifts or bequests offered
- Hospitality (using another organisation's facilities)

#### 3.1 Acceptance of circumstances where a conflict of interest exists must:

- 3.1.1 Have utilised any and all processes in place to ensure transparency and equity (for example grant guidelines, consultation with stakeholders, steering groups, procurement processes)
- 3.1.2 be approved by the CEO, and
- 3.1.3 Be declared or notified in accordance with this policy or any other policies of PHCC relating to the activity

### 4 Declaring, Reporting and Managing Conflicts of Interest

- 4.1 Any Conflict of Interest that has been declared or recognised must be recorded on the Conflict of Interest Register and
  - 4.1.1 The Conflict of Interest Register must be reviewed annually by the Board of Management and in relation to the risk management strategies of the organisation
- 4.2 Representatives are expected to declare actual or potential conflicts of interest as soon as they become aware of them, and
  - 4.2.1 Declarations of a conflict of interest should be made to the persons identified in section 4.4, or,
  - 4.2.2 Where the conflict of interest arises at a meeting in relation to matters being discussed, the conflict must be declared at that meeting and recorded in any minutes to the meeting
- 4.3 In relation to the recruitment of Board Members, Contractors, Employees and Volunteers:
  - 4.3.1 Potential Representatives must declare all relevant interests, financial or otherwise, during the recruitment process
  - 4.3.2 Any identified conflict must be recorded on the Conflict of Interest Register
- 4.4 Outside of a specific meeting requirements, if an individual wishes to declare or discuss a tangible, apparent or potential conflict of interest of their own, or of another Representative of PHCC, the following protocols apply:

## 4.2 CONFLICT OF INTEREST

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- 4.4.1 Employees would consult with their immediate Manager or if the matter concerned that Manager, then the next person in authority
- 4.4.2 Managers would consult with the CEO, or
  - 4.4.2.1 if the matter concerned the CEO, then they would consult with the Chairperson or
  - 4.4.2.2 If the matter concerned the CEO and the Chairperson, then they would consult with the Deputy Chairperson
- 4.4.3 The CEO would consult with the Chairperson, or
  - 4.4.3.1 If the matter concerned the Chairperson, then they would consult with the deputy Chairperson, or
  - 4.4.3.2 If the matter concerned the Chairperson and deputy Chairperson, or the entire Board of Management, they would consult with PHCC's legal advisors
- 4.5 Unmanaged conflict of interest matters may be referred for independent review by the Board of Management to determine the circumstances and legal implications
- 4.6 Any conflict of interest that is acted upon will be managed by PHCC within the legal frameworks in which it has occurred or relates (for example to the legal expectations of a contract, employment agreement, or Board ).

# POLICY

## 4.3 RISK MANAGEMENT



Supporting Procedure:	4.3.1 Risk Assessment	
Other Related Documents:	PHCC Risk Management Plan 2017 (and updates) Risk Assessment Form (JSEA)	
Category:	Organisation	
Type:	Strategic	Dates:
1st Review By:	Jane O'Malley and Patricia Sutton	09/02/2017
2 <sup>nd</sup> Review By:	Jane O'Malley and Patricia Sutton	12/04/2018
3 <sup>rd</sup> Review By:	Jane O'Malley and Patricia Sutton	04/06/2020
Approved By:	Board of Management	
Issued By:	Chief Executive Officer	

### Introduction

PHCC recognises that risk management is an integral part of good management practice. Risk management is an essential element in achieving strategic objectives.

By understanding and managing its risks, PHCC can provide greater certainty and security for its internal and external stakeholders. PHCC will be better informed, more decisive and function with increased confidence to achieve its purpose.

The purpose of this policy is to define the risk management principles and methodology for PHCC, provide details of the structures and processes in regards to the management of risk within the organisation and ensure consistent application of risk management processes to all activities undertaken.

### Definitions

For the purposes of this Policy:

**'Risk'** is the chance of something happening that will have an impact upon objectives. It is measured in terms of consequences and likelihood. Risk arises out of uncertainty. Risk is the exposure to the possibility of such occurrences as economic or financial loss or gain, physical damage, injury or delay, as a consequence of pursuing or not pursuing a particular course of action. The concept of risk has three elements:

- The perception that something could happen
- The likelihood of something happening, and
- The consequence if it happens

**'Risk Management'** is the coordinated activities which come together to optimise the management of potential opportunities and adverse effects. While it is not possible to have a totally risk-free environment, it may be possible to treat risk by avoiding, reducing, transferring, or accepting the risks

**'Risk Management Plan'** is the PHCC document that contains the methodology to assess risk (Matrix), the risk register and planned improvements or initiatives to respond to risk (the Risk Treatment Strategies)

**'CEO'** means Chief Executive Officer

## 4.3 RISK MANAGEMENT

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**'Board'** means the Association Members of PHCC

**'Employee'** means all paid employed persons of PHCC

**'Stakeholder'** means any person or entity with which PHCC interacts

**'Volunteer'** means anyone providing unpaid assistance to PHCC

### Policy Statement

#### 1 Risk Approach

- 1.1. PHCC will adopt a structured and consistent approach to assess and treat all types of risk, at all levels and for all activities in the organisation
- 1.2. Our approach to risk management will be consistent with this policy and procedures
- 1.3. We will accept risk in order to achieve or exceed our objectives, provided that we first understand the risks and have modified those risks as necessary so that they are within our risk criteria
- 1.4. We will assess and treat risk as part of planning, delivery and decision making at all levels of the organisation
- 1.5. To provide consistency and confidence, we will undertake these risk management activities in accordance with our internal standards
- 1.6. We will ensure we have the resources, delegations and organisational arrangements to make this possible, and we will establish an assurance program in line with Section 2 to confirm that this has been achieved.

#### 2 Responsibility

- 2.1. The Board is responsible for the establishment, implementation, review and approval of the risk management plan and process, including determining our risk criteria
- 2.2. The Governance Steering Committee is responsible for overseeing the risk management system and ensuring its adequacy and will report to the Board annually
- 2.3. The CEO is responsible for monitoring and reviewing the risk register at least once per year for completeness, continued relevance of risk assessment, effectiveness of risk management plan and timeliness of implementation of risk treatment strategies, taking into account changing circumstances
- 2.4. The CEO will report to the Board of Management at least once per year that the organisation's risk management and internal compliance and control system is operating efficiently and effectively in all material respects
- 2.5. The CEO is also responsible for:
  - 2.5.1. Successfully promoting, sponsoring and coordinating the development of a risk management culture throughout the organisation, including incorporating into induction process for all
  - 2.5.2. Guiding the inclusion of risk management in all strategic and operational decision making

## 4.3 RISK MANAGEMENT

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- 2.5.3. Understanding the major risks within their area of control incorporating both opportunity and negative risks
- 2.5.4. Managing risks to meet PHCC's strategic objectives
- 2.5.5. Developing and maintaining risk management standards, providing technical risk management support and associated tools and practices
- 2.6. All Employees are responsible for applying our standards to assessing and treating risks in their business areas, and monitoring the correct functioning and ongoing applicability of controls.

### **3 Stakeholders**

- 3.1. We recognise the legitimate interests, knowledge and experience of our internal and external stakeholders, and will regularly communicate and consult with them with respect to risks which may impact on them.

### **4 Assurance and Improvement**

- 4.1. We recognise that the internal and external environment in which we operate is constantly changing, and that we must recognise and adapt to those changes, improving wherever possible
- 4.2. Accordingly we will monitor and review all aspects of our risk management using risk-based assurance processes, and improve whenever we can.



# POLICY

## 4.4 GIFTS AND BENEFITS



Supporting Procedure:		
Other Related Documents:	4.1 Code of Ethics 4.2 Conflict of Interest Gift Register	
Category:	Organisation	Dates:
1 <sup>st</sup> Review By:	Jane O'Malley and Patricia Sutton	01/02/2018
2 <sup>nd</sup> Review By:	Jane O'Malley and Patricia Sutton	04/06/2020
Approved By:	PHCC Board	
Issued By:	Chief Executive Officer	

### Introduction

The Peel Harvey Catchment Council (PHCC) recognises that the giving of a gift or benefit may be undertaken with the intent of influencing the behaviour of the recipient, which breaches PHCC's Code of Ethics and may also have legal implications for the organisation or the individuals involved.

Even without the intent of influence, the giving or receipt of gifts or benefits may involve a conflict of interest, or the perception of a conflict of interest, which can affect the reputation of PHCC and the individuals involved.

This Policy provides guidance in regard to the expected behaviours of Board, Employees and Volunteers, to protect themselves from compromising situations and mitigate the risk of real or perceived misconduct or conflict of interest.

This Policy stipulates the considerations and requirements that apply to all Board, Employees and Volunteers of PHCC when receiving a gift or benefit in the course of their duties.

### Definitions

For the purposes of this Policy:

**'Benefit'** is anything believed to be, or could be perceived to be of value to the recipient (for example, memberships, discounts, access to events, lavish meals, preferential employment treatment)

**'Board'** means the Association Members of PHCC

**'Employee'** means all paid employed persons of PHCC

**'Gift'** is any item, reward or other benefit received (for example, cash, gift vouchers, tickets, furniture or equipment) (refer 'Intangible' and 'Tangible')

**'Gift of Appreciation'** is a gift of low monetary value (under \$150) given to express appreciation to an individual for performing well in a specific task (for example, movie tickets, flowers, wine or food stuffs)

**'Gift Register'** is a register of all gifts or benefits received with a value of > \$20 and their use

## 4.4 GIFTS AND BENEFITS

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**'Giver'** means the individual making an offer of a gift or giving a gift

**'Intangible'** gift or benefit means a gift or benefit that does not have any lasting value and cannot be considered the property of PHCC (for example, event tickets or transport, meal or accommodation offers)

**'Recipient'** means the individual receiving an offer of a gift or receiving a gift

**'Tangible'** gift or benefit means a gift or benefit that has lasting value (for example, cash, gift vouchers or physical items of art, furniture or equipment, or lottery tickets with proceeds)

**'Volunteer'** means anyone providing unpaid assistance to PHCC.

### Policy Statement

Any and all Gifts and/or Benefits received by PHCC Board members, Employees and Volunteers, regardless of value, will be declared within 5 working days of receipt or promise of receipt of a gift and/or benefit, to the CEO. Gifts or benefits valued at > \$20 will be recorded via the PHCC gift register. Gifts and/or benefits may be refused. Board, Employees and Volunteers are responsible for declaring the receipt or promise of receipt of a gift within five working days, to the CEO, in writing.

### Interpretation of Policy

#### 1 Considering the Acceptance of a Gift or Benefit

1.1 For any offer of a gift or benefit, the intended recipient must:

- 1.1.1 Consider if the giver has an expectation of something in return, in which case the gift or benefit must not be accepted
- 1.1.2 Consider if there is a real or perceived conflict of interest in accepting the gift or benefit. The relationship between the recipient and giver or their organisation, or the value or frequency of giving can influence perceptions, and careful consideration needs to be given to all circumstances
- 1.1.3 Seek assistance from your supervisor or the CEO in determining an appropriate response, should they be unsure, and
- 1.1.4 Where a gift or benefit is rejected, record the event in the Gift Register, bringing to the attention of the CEO, in writing (email or other) within 5 working days.

#### 2 Accepting and Managing Gifts or Benefits

- 2.1 Any gift or benefit accepted and received is considered the property of PHCC, and the person who receives the gift must declare it in writing within 5 working days, to the CEO. The CEO is then responsible to ensure that gifts valued at more than \$20 are recorded on the Gift Register. The recipient is responsible for physically providing the gift to the CEO within 5 working days (or as approved)
- 2.2 The CEO has the discretion to determine how to deal with gifts and benefits received including:
  - 2.2.1 Distributing intangible items for use
  - 2.2.2 Using within the organisation, converting to cash, donating or distributing physical tangible assets

## 4.4 GIFTS AND BENEFITS

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- 2.3 The details of the use of any gift or benefit valued at more than \$20 must be recorded on the gift register
- 2.4 The details of the use of any gift or benefit valued at less than \$20 may be recorded on the gift register, at the CEO's discretion
- 2.5 The receipt and use of all gifts and benefits more than \$20 must be reported to the Governance Steering Committee annually.

# POLICY

## 4.5 POLICY FRAMEWORK



Supporting Procedure:		
Other Related Documents:	All PHCC Policies	
Category:	Organisation	
Type:	Strategic	Dates:
1 <sup>st</sup> Review By:	Jane O'Malley and Patricia Sutton	08/02/2017
2 <sup>nd</sup> Review By:	Jane O'Malley and Patricia Sutton	01/02/2018
3 <sup>rd</sup> Review By:	Jane O'Malley and Patricia Sutton	04/06/2020
Approved By:	PHCC Board	
Issued By:	Chief Executive Officer	

### Introduction

Policies and procedures instil organisational values that allow people to work safely, confidently and to contribute to the overall culture of the workplace.

Policies ensure that the principles guiding work practices are clearly expressed, inclusive, appropriate and consistent.

They also provide consistency of operation and establish boundaries for acceptable behaviour. When operating within the parameters of the policies and procedures Board, Employees and Volunteers can rely on the full support of the organisation.

This Policy dictates how policies and their supporting documents are developed, reviewed and published and applies to all Board, Employees and Volunteers.

### Definitions

For the purposes of this Policy:

**'CEO'** means Chief Executive Officer

**'Board'** means the Association Members of PHCC

**'Documents'** are other written material that provide information to support policies and procedures

**'Employee'** means all paid employed persons in PHCC

**'Forms'** are other written documents that are used to record information in a standard manner and to comply with policies and procedures

**'Policies'** are the rules under which PHCC require all Board, Employees and Volunteers to operate

**'Procedures'** are the documented practices that ensure alignment and compliance to policies

**'Volunteer'** means anyone providing unpaid assistance to PHCC (registered or under letter of arrangement)

## 4.5 POLICY FRAMEWORK

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### Policy Statement

#### 1 Policy and Procedure Approval

- 1.1 Policies must be categorised as one of two types, Strategic or Operational, and the categorisation of the policy must be approved by the Board
- 1.2 Strategic Policies must be approved by the Board
- 1.3 Operational Policies must be approved by the CEO
- 1.4 Approval of policies by the Board must be recorded in the minutes of a Board meeting
- 1.5 Once approved by the Board, revised/new policy must be formally distributed to Employees and Volunteers
- 1.6 Interim policies of any kind can be distributed to the Employees and Volunteers by the CEO, pending approval by the Board
- 1.7 All procedures, documents and forms must be approved by the CEO.

#### 2 Accessibility

- 2.1 Policies must be made digitally accessible to all Board Members, Employees and Volunteers and they must be formally informed of any policy changes and approvals
- 2.2 PHCC policies are copyright but can be made available to external parties on request

#### 3 Review or Creation

- 3.1 The policy or procedure review process can be directed by the CEO or requested by any Board Member or Employee who identifies a deficiency
- 3.2 A request for policy/document creation or review must be accompanied by a written justification and submitted to the CEO
- 3.3 All interested Board Members and Employees may contribute to the creation or review process in consultation with the CEO
- 3.4 If consultation is warranted, the CEO may decide to schedule policy or procedure review for discussion at an Employee Meeting. Otherwise, the review process can be assigned to relevant individuals as directed by the CEO

#### 4 Key Responsibilities

- 4.1 The CEO is responsible for ensuring that approved policies are effectively disseminated to Members, Employees and Volunteers and implemented throughout the organisation including any training deemed necessary to ensure compliance
- 4.2 Individual Board Members, Employees and Volunteers are responsible for reading and observing policies as a requirement of their appointment
- 4.3 It is the responsibility of the CEO, or their delegate, to monitor the policy maintenance schedule
- 4.4 The Board must annually review their compliance and effectiveness against governance policies

## 4.5 POLICY FRAMEWORK

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### 5 Registered Documents

- 5.1 In order to maintain consistent instruction for users, all Policies, Procedures, Documents and Forms must be registered (classified and numbered) and tracked through a maintenance register
- 5.2 The Maintenance Registers must be actively managed by the CEO, or their delegate, to keep policies, procedures and forms current and in alignment with the strategic direction of the organisation
- 5.3 A review rotation time period of 12, 24 or 36 months must be allocated to all policies, with the length of time being dependent on how rapidly the activities that they govern evolve
- 5.4 At any given time, the register must reflect the current status of all policies and procedures, including the last approved date, and provide an accurate forecast of when policies will fall due for review

### 6 Format

- 6.1 All policies, procedures, forms and reference documents should be written in concise, plain English and definitions provided where necessary
- 6.2 Standard templates must be used when generating new policies, procedures, forms and reference documents
- 6.3 These documents can be drafted by any Employee, however the CEO, or their delegate, should manage the approval and registering process

### 7 Storage and Management of Policy Documents

- 7.1 The naming and electronic location of all policies and their related procedures, forms and reference documents must follow a documented convention and protocol that protects and manages approved versions
- 7.2 All policies that are superseded by a new policy must be moved from the location of current policies to an electronic location specifically for superseded policies, and using a naming convention that identifies them as superseded

# POLICY

## 4.6 INSURANCE

Supporting Procedure:		
Other Related Documents:	Policy 2.3 Workplace Health and Safety Policy 2.14 Volunteers Policy 2.11 Motor Vehicles Policy 4.3 Risk Management Insurance Policy Register	
Category:	Organisation	
Type:	Strategic	Dates:
1st Review By:	Jane OMalley and Patricia Sutton	19/09/2017
2 <sup>nd</sup> Review By:	Jane O'Malley and Patricia Sutton	21/05/2019
3 <sup>rd</sup> Review By:	Jane O'Malley and Patricia Sutton	04/06/2020
Approved By:	Board of Management	
Issued By:	Chief Executive Officer	

### Introduction

Insurance is a key method to mitigate the financial impacts of risks that Peel-Harvey Catchment Council (PHCC) is exposed to and protect PHCC Members, Staff, Volunteers and others associated with PHCC work. This Policy dictates the types of insurance that must be held by PHCC to fulfil its own requirements and the minimum requirement of external stakeholders in the course of delivering services.

### Definitions

For the purposes of this Policy:

**'Additional Increased Cost of Working (AICOW)'** means increased costs incurred after a property damage loss, specifically to limit any reduction in turnover or revenue, and to maintain normal business operations

**'Association Liability (Professional Indemnity Insurance)'** covers legal costs and expenses incurred in your defence, as well as any damages or costs that may be awarded, if you are alleged to have provided inadequate advice or services that have resulted in a loss for that person or entity

**'Board'** means Association Members of PHCC and has the same meaning as the word 'Council' in the Constitution

**'Board Member'** means a member of the PHCC Board of Management

**'Business Package (Contents) Insurance'** is insurance cover for contents in the event of theft, property damage and business interruption, including IT equipment breakdown

**'Employee'** means all paid employed persons in PHCC

**'Insurance'** is an arrangement by which an authorised entity undertakes to provide a guarantee of compensation for specified loss, damage, illness, or death in return for payment of a specified premium

**'Journey Insurance'** provides cover for wages for Staff that suffer injuries while travelling to and from work. It does not cover medical costs. Cover is provided when it cannot be claimed under Workers' Compensation or the Traffic Accidents Act or equivalent

## 4.6 INSURANCE

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**'Motor Vehicle Insurance'** covers the risk of any loss the owner or operator of a vehicle may incur through damage to property or persons as the result of an accident involving the vehicle

**'Public and Products Liability Insurance'** protects the policy holder against claims of personal injury or property damage that a third party suffered as a result of the policy holder's business activities

**'Travel Insurance'** is insurance that is intended to cover medical expenses, trip cancellation, lost luggage, flight accident and other losses incurred while travelling, either internationally or domestically

**'Volunteer'** means anyone providing unpaid assistance to PHCC

**'Workers Compensation Insurance'** is a compulsory insurance for all employers in every state and territory in Australia and provides protection to workers if they suffer a work-related injury or disease

### Policy Statement

#### 1 Insurance Requirements

- 1.1 PHCC will use an insurance broker to arrange all insurances on their behalf in order to receive independent expert advice in regard to the most appropriate and adequate products for the organisation
- 1.2 PHCC must ensure that the following insurance policies are in place at all times:
  - 1.2.1 **Business Package (Contents) Insurance** for appropriate staff number and values, including contents, theft and business interruption 12 month indemnity with additional increased cost of working of \$50,000
  - 1.2.2 **Public and Products Liability (Including Voluntary Workers) Insurance** and that includes any Employee, Board Member or Volunteer - \$20,000,000 limit
  - 1.2.3 **Association Liability (Professional Indemnity)** - \$5,000,000 single claim limit and \$10,000,000 aggregate claim limit
  - 1.2.4 **Journey** - \$1,000,000 limit and \$100,000 benefit
  - 1.2.5 **Comprehensive Motor Vehicle** for the listed value of each vehicle owned or leased - \$20,000,000 limit
  - 1.2.6 **Workers Compensation** related to the value of the salaries paid - \$5,000,000 any one event; and
  - 1.2.7 **Travel Insurance** related to PHCC business where flights are involved
  - 1.2.8 Any other insurance that may be required due to specific roles or activities
- 1.3 Each policy's inclusions, coverage and pricing must be reviewed annually to ensure it remains adequate and appropriate to current activities, and be presented to the Governance Steering Committee
- 1.4 A certificate of currency of each policy must be maintained and available to Staff for use as required (e.g. grant application requirements)

#### 2. Insurance Claims

- 2.1 All insurance claims must be managed by the CEO
- 2.2 The Board must be notified of any significant insurance claim and updated on its progress.



# POLICY

## 4.7 TRAVEL



Supporting Procedure:		
Other Related Documents:	Policy 4.6 Insurance Travel Request Template PHCC Expense Reimbursement form Individual Contracts of Employment and Conditions of Service	
Category:	Organisation	
Type:	Strategic	Dates:
1 <sup>st</sup> Review By:	Jane O'Malley and Patricia Sutton	29/01/2019
2 <sup>nd</sup> Review By:	Jane O'Malley and Patricia Sutton	
Approved By:	Board of Management	
Issued By:	Chief Executive Officer	

### Introduction

All travel in relation to Peel-Harvey Catchment Council (PHCC) business must be arranged in accordance with this Policy.

This Policy documents the conditions under which all travel by PHCC Employees and Board Members should be approved and booked. It applies to all travel on behalf of the PHCC and all travel arrangements, including domestic and international travel.

The purpose of this Policy is to ensure that Board Members and Employees have a clear understanding of the requirements of this Policy in relation to travel protocols and administration and to maximise the ability to negotiate discounted rates with preferred suppliers with the best available service at the lowest possible costs.

### Definitions

For the purposes of this Policy:

**'Board Member'** means a member of the PHCC Board of Management

**'Business Expenses'** means reasonable business expenses incurred by staff in the course of performing their duties on behalf of PHCC, including travel, meals, accommodation, hospitality, etc

**'Business Travel'** is travel required for PHCC business, including conferences and professional development

**'Domestic Travel'** refers to travel within Australia

**'Employee'** means all paid employed persons in PHCC

**'Ground Travel'** refers to travel by road or rail

**'International Travel'** refers to travel to countries outside Australia

## 4.7 TRAVEL

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**'Preferred Supplier'** is a supplier who is listed on the Preferred Supplier Register and who meets the criteria in Clause 9 of Policy 3.1 Procurement

**'SmartRider Card'** is a contactless electronic ticketing card issued by the Public Transport Authority of Western Australia. PHCC purchases these card for Employee and Board Member use when travelling to meetings in Perth

**'Traveller'** is a person undertaking travel.

### Policy Statement

#### 1 Travel Approval

All travel (with the exception of local rail, bus and road travel to meetings) and associated expenses must be approved in accordance with an approved budget, and in advance by:

- 1.1 Chairperson in consultation with the CEO, in respect to the **CEO and Board Members**
- 1.2 Executive Group, in consultation with the CEO in respect to the **Chairperson**
- 1.3 Direct Supervisors, in consultation with the CEO, in respect to **Employees**

Where possible travel costs will be paid in advance, however, meals and out of pocket expenses may need to be reimbursed on return, if the Employee does not hold a PHCC credit card with authorization for expenses associated with the travel. It is unreasonable for the PHCC to expect an Employee or Member to pay out of pocket expenses if this will put people into financial hardship.

#### 2 Travel Bookings

All travel bookings, including flights, accommodation, hire cars and parking (with the exception of local rail and road travel to meetings), must be booked by the Office Manager, or their delegate, using Preferred Suppliers wherever possible.

#### 3 Exclusions

Travel excluded from this Policy is:

- Personal travel
- Travel on behalf of other organisations
- Any travel not approved by the PHCC.

#### 4 Guidelines

Guidelines for Meals and Accommodation are detailed in the travel procedure. Any variance to the guidelines must be approved by an authorised officer or in case of the CEO or Board Member, by the Chairperson.

Alcohol is not an allowable expense and will not be paid for or reimbursed.

##### 4.1 Ground Travel

- 4.1.1 Travel between home or office and airport and other local business locations should be conducted by public transport, car or taxi

## 4.7 TRAVEL

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4.1.2 Wherever practical, Travellers should use the train to travel between Mandurah and Perth for meetings, using a SmartRider card provided by PHCC

4.1.3 Taxis or Uber should only be used for business journeys where

- Large, heavy or bulky baggage is being transported
- A journey by public transport is either not practical or significantly slower
- Several people are travelling together and using public transport is more expensive per head
- To ensure personal safety or wellbeing
- The combined cost of fuel and parking at an airport exceeds the taxi costs
- There is a valid business reason and pre-arranged approval by the Supervisor

4.1.4 The use of chauffeured luxury vehicles should be avoided and can only be approved by the CEO. In instances where this type of transport is used, additional justification must be provided to show why it was necessary and represented value for money to the organization.

### 4.2 Parking

The cost of parking whilst on business related travel is reimbursable, refer to Procedure for details

### 4.3 Hire Cars

Hire cars should only be booked when other means of transport are unavailable, more costly or impractical (refer to procedure)

### 4.4 Air Travel

All Air Travel arrangements must be pre-approved and arranged via the Office Manager (refer procedure)

### 4.5 Traveller's Responsibilities

It is a Traveller's responsibility to check the itinerary to ensure the booking is correctly made and allow appropriate time to transfer to and from the airport to catch a flight and attend meetings. If a Traveller misses a flight or similar it will be at the CEO's discretion as to whether the additional costs incurred will be borne by the Traveller, or the PHCC

### 4.6 Baggage Loss

If an airline loses the Traveller's baggage, it is the responsibility of the Traveller to contact the airline directly

### 4.7 Travel Combining Business and Pleasure / Spouse or Accompanied Travel

Travellers may choose to extend a business trip to incorporate personal time in their travel arrangements. The supervisor authorising the travel is to consider and look favourably to enable this if the extended travel does not detrimentally impact on the PHCC. The Traveller may choose to take a partner/spouse or similar to all or part of the travel. This will be supported as long as the Traveller undertakes all aspects of business associated with the approved travel, and does not impact on their business interactions. Any difference in fare and any costs associated with an extended length of travel and/or inclusion of a partner/spouse or similar must be borne by the Traveller

## 4.7 TRAVEL

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### 4.8 Award Point Programs

Individuals may retain award points and utilise the rewards for personal purposes. Eg Qantas Frequent Flyer Program. Frequent Flyer details should be provided to the Office Manager when requesting travel bookings.

### 4.9 Telecommunications and Equipment

The Traveller is responsible for appropriate use of telecommunications in accordance with the Procedure. The PHCC will make available suitable I.T. equipment for the purposes of the travel

## 5 Reimbursement of Expenses

Reimbursement of appropriate out of pocket expenses will be provided, including parking, tolls, laundry etc as detailed in the Procedure

## 6 Insurance

PHCC must provide adequate Travel Insurance for Travellers. This will be arranged by the Office Manager.

# POLICY

## 4.8 MEDIA



Supporting Procedure:	4.8.1 Media and Media Releases	
Other Related Documents:		
Category:	Organisation	
Type:	Strategic	Dates:
1 <sup>st</sup> Review By:	Jane O'Malley and Patricia Sutton	01/02/2018
2 <sup>nd</sup> Review By:	Jane O'Malley and Patricia Sutton	04/06/2020
Approved By:	PHCC Board	
Issued By:	Chief Executive Officer	

### Introduction

The Peel-Harvey Catchment Council (PHCC) recognises the value in actively and regularly promoting the activities of the Peel-Harvey Catchment Council via all appropriate forms of media.

Frequent, quality media articles are required to highlight projects and/or partnerships and raise awareness of issues relevant to the PHCC and its community, across the Catchment. The PHCC will maintain a chronological historical record of media produced by, referencing, or relevant to the PHCC or Peel-Harvey Catchment.

### Definitions

For the purposes of this Policy:

**'Board Member'** means a member of the PHCC Board of Management

**'Employee'** means all paid employed persons in PHCC

**'Volunteer'** means anyone providing unpaid assistance to PHCC

### Purpose

The purpose of this Policy is to ensure that all Employees, Volunteers and Board Members understand their obligations to advocate for the Peel-Harvey Catchment re various media sources, and that all contact with the media (interviews, questions, discussions on or off record) must come via approval of the Chairman, or their delegate (e.g. Deputy Chairman or Chief Executive Officer [CEO]).

### Policy Statement

The Peel-Harvey Catchment Council will actively initiate regular media opportunities, including social media.

## 4.8 MEDIA

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All media releases, comments, quotes or discussions must be approved by the Chair via the CEO. Employees, Volunteers and Board members are not authorised to make verbal or written comment on behalf of, or as a Representative of the PHCC without permission of the Chairman (via the CEO).

Social media postings are delegated to individual officers, via approval of the CEO. Delegation may be restricted if warranted at the discretion of the CEO.

Simple, project based media releases are delegated to the approval of the CEO. The CEO will seek support, quotes, input from the Chairman when relevant. All complex or opinion based media releases are to be authorised by the Chairman (or nominated delegated representative in their absence).

### **1 Member Responsibilities – Social Media**

Members are encouraged to actively follow the PHCC's social media, including Facebook and Twitter accounts (of the organisation and staff) in order to keep across the activities and events of the PHCC.

### **2 Staff Responsibilities – Social Media**

Staff will promote their projects and all other aspects relevant to their positions, via traditional and social media. Relevant staff, will hold and regularly use a Twitter and/or other social media account, as a way to interact within their profession and community. Promotion of project delivery is a key performance indicator for staff, as defined in the PHCC Community Engagement and Communication Plan.

# POLICY

## 4.9 COMMUNITY ENGAGEMENT & PARTICIPATION



**PHCC** Working Together  
Peel-Harvey Catchment Council

Supporting Procedure:	TBC	
Other Related Documents:	Policy 4.8 Media Policy 4.10 Noongar Participation Policy 4.13 Communications Community Engagement & Communication Plan (Template) Community Participation Plan Communications Plan Event Planner (Template) Event Registration Form – workshop (Template) Event Registration Form – on-ground (Template) Noongar Participation Plan PHCC NRM Strategy PHCC Strategic Directions Volunteer Registration Form (Template) Volunteer Medical Declaration (Template)	
Category:	Organisation	
Type:	Strategic	Dates:
1 <sup>st</sup> Review By:	Jane O’Malley and Patricia Sutton	05/02/2019
2 <sup>nd</sup> Review By:	Jane O’Malley and Patricia Sutton	04/06/2020
Approved By:	Board of Management	
Issued By:	Chief Executive Officer	

### Introduction

The Peel-Harvey Catchment Council recognises, acknowledges and values the role our community play in NRM in the Peel-Harvey. The PHCC is committed to supporting effective and respectful engagement and participation with our community in accordance with the PHCC’s Strategic Directions, NRM Strategy and Community Participation Plan.

The purpose of this policy is to ensure consistency and efficiency for community engagement and participation across our operations, ensuring the safety and welfare of those involved.

This policy must be read in conjunction with Policy 4.13 Communications.

### Definitions

For the purposes of this Policy:

**‘Board of Management’ or ‘Board’** means the Association Members of PHCC and has the same meaning as the word ‘Council’ in the Constitution

**‘Board Member’ or ‘Member’** means a member of the PHCC Board of Management

**‘Employee’** means all paid employed persons in PHCC

# POLICY

## 4.9 COMMUNITY ENGAGEMENT & PARTICIPATION

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'NRM' is Natural Resource Management

'Organisational Steering Committees (see 'Sub-Committee' definition below)

'Sub-Committee' – is a sub-committee established by resolution of the PHCC to exercise such functions as specified in Delegations and Terms of Reference. This includes **Project and Organisational Steering Committees**.

### Policy Statement

The PHCC Strategic Directions Goal 6 “Engaging and Enabling Individuals and Communities”, states:

- “.....The PHCC will have empowered the community to be effective catchment managers and instilled in them the confidence and courage to be champions for their environment; and
- “We will empower and assist individuals and our local community groups to improve skills in catchment management and increase participation in NRM”.

The PHCC Community Participation Plan guides the PHCC’s actions with respect to community engagement and participation, to provide a consistent approach, meeting our community’s needs and providing guidance for the Operations Employees and Board.

Consideration of community engagement and participation and associated communication strategies will be included in all PHCC project planning processes.

### Responsibilities

PHCC Employees have a responsibility to:

- prepare and implement a Community Participation Plan for relevant projects, using the Community Engagement and Communication Plan, and toolkit; and
- use the PHCC Event Planner and associated registration and declaration forms provided in the implementation of the delivery of their Community Participation Plans.

*\*A single Community Engagement and Communications Plan will be produced for each relevant project, and will provide the basis for the Community Participation Plan and the Communications Plan (required under Policy 4.13 Communications.)*

Employees will ensure that actions and activities are undertaken in accordance with the Community Participation Plan. This requirement will be linked to all induction processes for Employees and Members, and compliance reviewed as part of individual Employee Development Agreements and Board Performance Reviews.

Organisational Steering Committees will ensure that they support and guide the Employees to undertake their responsibilities as defined within the Community Participation Plan.

Training will be provided to all relevant Employees and all must undertake training and updates as guided by the CEO.



# POLICY

## 4.9 COMMUNITY ENGAGEMENT & PARTICIPATION

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### **Community Participation Plan & Community Engagement and Communications Plan**

The PHCC will maintain a current and relevant Community Participation Plan. The Participation Plan will provide the framework to support the preparation and implementation of the Community Engagement and Communication Plan. The Community Engagement and Communication Plan will include, but may not be limited to, the following sections:

- Objectives of community engagement within the project/program
- History and context, including cultural heritage
- Identifying internal and external audience we want to reach and level of engagement (inform, consult, involve, collaborate, empower)
- Appropriate activities for different stakeholders
- Identifying potential gaps to engagement/participation
- Identify how capacity of the community will be developed
- Review of engagement process undertaken.

# POLICY

## 4.10 NOONGAR PARTICIPATION

Supporting Procedure:	N/A	
Other Related Documents:	Policy 3.1 Procurement Aboriginal Affairs Planning Authority Act 1972 (AAPA Act) Aboriginal Heritage Act 1972 (AHA Act) Indigenous Land Use Agreements (ILUA) Native Title Act 1993 Native Title Agreement (when complete) Native Title Amended Act 1998 PHCC Agreed Fee Schedule (confidential) PHCC Binjareb Boodja Landscapes 2025 – A Strategy for NRM in the Peel-Harvey Region PHCC Noongar Participation Plan	
Category:	Organisation	
Type:	Strategic	Dates:
1 <sup>st</sup> Review By:	Jane O'Malley and Patricia Sutton	08/05/2019
2 <sup>nd</sup> Review By:	Jane O'Malley and Patricia Sutton	04/06/2020
Approved By:	Board of Management	
Issued By:	Chief Executive Officer	

### Introduction

The Peel-Harvey Catchment Council (PHCC) recognises, acknowledges and respects Noongar People as the Traditional Custodians of lands within the South-West of Western Australia.

The PHCC is committed to effective and respectful consultation and engagement with our Noongar communities and all our actions will be undertaken in accordance with the PHCC's Noongar Participation Plan.

### Definitions

For the purposes of this Policy:

**'Board Member'** means a member of the PHCC Board of Management

**'Board of Management'** or **'Board'** means the Association Members of PHCC and has the same meaning as the word 'Council' in the Constitution

**'Employee'** means all paid employed persons in PHCC

**'NRM'** is Natural Resource Management

**'Project and Organisational Steering Committees'** (see definition for **'Sub-Committee'** below)

**'Representative'** means any Board Member, Employee, Volunteer, Contractor or any other person working for or representing PHCC

**'Sub-Committee'** – is a sub-committee established by resolution of the PHCC to exercise such functions as specified in Delegations and Terms of Reference. This includes **Project and Organisational Steering Committees**.

## 4.10 NOONGAR PARTICIPATION

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### Policy Statement

The PHCC will continue to work closely with our local Noongar communities to develop, monitor, evaluate and improve all consultation, engagement and participation protocols and procedures.

The PHCC Noongar Participation Plan guides the PHCC's actions with and for our Noongar Communities, to provide a consistent approach, meeting our ethical and legal responsibilities.

We will respect Traditional Lore and Government Legislation when developing and undertaking all projects.

We will continue to build on our relationships with respect while developing opportunities for increased and improved consultation, engagement and participation in all aspects of NRM.

### Responsibilities

The Employees of the PHCC will ensure that all actions and activities are undertaken in accordance with the Noongar Participation Plan and under the Acts. This requirement will be linked to all induction processes for Employees and Members, and compliance reviewed as part of individual Employee Development Agreements and Board Performance Reviews.

Steering Committees will ensure that they support and guide the Employees to undertake their responsibilities as defined within the Noongar Participation Plan and under the Acts.

Cultural Training will be provided to all Employees and Members and all must undertake training, and updates as guided by the CEO, or Chairman (in respect to Members).

### Noongar Participation Plan

The PHCC will maintain a current and relevant Noongar Participation Plan, developed and maintained with our local Noongar community, to ensure it meets our ethical and statutory requirements. The Participation Plan will include, but may not be limited to, the following sections:

- Geographical scope
- Vision and Guiding Principles
- Cultural Heritage and Values
- Consultation
- Engagement
- Capacity Building
- Leadership
- Advocacy for Cultural Sites and Value
- Procurement
- Process for Consultation
- Legal and Ethical Responsibilities
- Traditional Lore
- Legislation
- Due Diligence
- Protocols and Procedures
- Measure of Success
- References

# POLICY

## 4.11 PRIVACY



Supporting Procedure:		
Other Related Documents:	Policy 1.6 Grievance Resolution Policy 4.1 Code of Ethics Privacy Act 1988 (Cth)	
Category:	Organisation	
Type:	Strategic	Dates:
1 <sup>st</sup> Review By:	Jane O'Malley and Patricia Sutton	11/09/2018
2 <sup>nd</sup> Review By:	Jane O'Malley and Patricia Sutton	04/06/2020
Approved By:	Board of Management	
Issued By:	Chief Executive Officer	

### Introduction

The Peel-Harvey Catchment Council (PHCC) is committed to protecting the privacy of personal information which the organisation collects, holds and administers. The purpose of this document is to provide a framework for PHCC in dealing with privacy considerations.

This Policy relates to the management and administrative practices of collection and use of Personal Data about Representatives, Members, suppliers or clients and information that would be considered Confidential Information. PHCC is committed to ensuring restricted access, privacy and security of Personal Data and the protection and use of Confidential Information.

All Representatives are required to comply with this Policy.

For clarification purposes, the Freedom of Information Act 1992 (Western Australia) only applies to Government entities, and therefore it is not applicable to PHCC.

Representatives who breach this Policy may be subject to disciplinary action.

### Definitions

**'Confidential Information'** means PHCC information that is not approved for public disclosure, that may include, but is not restricted to, propriety data, reports, plans, results, research, trade secrets, policies, procedures, processes, intellectual and industrial property, documented expertise, market information, financial information, and staff and client details, whether stored in hard copy or electronically

**'Board of Management'** or **'Board'** means the Association Members of PHCC and has the same meaning as the word 'Council' in the Constitution

**'Board Member'** means a member of the PHCC Board of Management

**'Personal data'** is information which directly or indirectly identifies a person

## 4.11 PRIVACY

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**'Representative'** means any Board Member, Employee, Volunteer, Contractor or any other person working for or representing PHCC.

### Policy Statement

In the case of reporting a suspected inappropriate privacy or confidentiality disclosure matter, the Grievance Resolution Policy (Policy No. 1.6) will be followed.

#### 1 Personal Data

Only Personal Data that can be shown to be directly relevant to PHCC's effective service delivery and appropriate for retention will be collected.

- 1.1 Personal Data that is collected will be lawful and reasonable
- 1.2 Permission for the collection and storage of Personal Data will be given by the individual prior to obtaining Personal Data from any other source
- 1.3 The purpose for the use of Personal Data will be explained when it is collected
- 1.4 Written consent of individuals will be sought prior to releasing any Personal Data to a third party
- 1.5 Personal Data will be stored securely and protected from misuse, interference and loss as well as from unauthorised access and disclosure
- 1.6 Only Representatives that require access to Personal Data will be granted access, and that right is only granted for appropriate use as required for business purposes
- 1.7 Individuals have the right to view their Personal Data on file
- 1.8 All contracts where Confidential Information or Personal Data is being used or created will state the obligations on all parties regarding this information.

#### 2 Confidential Information

- 2.1 Confidential Information will be kept confidential to PHCC at all times.
- 2.2 During employment and after the termination of employment, an employee will hold all Confidential Information in trust and confidence, and will only use, access, store, or disclose Confidential Information, directly or indirectly, as appropriate in the performance of the employee's duties or as required by law
- 2.3 An employee will not remove materials or property containing Confidential Information from the organisation unless it is necessary in the performance of the person's job duties
- 2.4 Confidential Information will not be used for any purpose other than for the use and benefit of PHCC
- 2.5 Written consent of PHCC will be sought before Confidential Information is disclosed to any third party, or otherwise in accordance with the authority of the role of the individual.

#### 3 Responsible Officers

- 3.1 The Board, as part of its governance authority, is responsible for the approval and publication of this Policy, including the approval of any subsequent changes.

## 4.11 PRIVACY

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- 3.2 The Chief Executive Officer is responsible for reviewing this Policy prior to Board approval, and ensuring the scheduled review of this Policy
- 3.3 The Chief Executive Officer is responsible for the operational compliance of the organisation to this Policy
- 3.4 Representatives will ensure they take all responsible actions to protect Confidential Information from inappropriate access or disclosure. This includes their personal view of the appropriateness of Personal Data being collected.

# POLICY

## 4.12 DEVOLVED GRANTS PROGRAMS



Supporting Procedure:	4.12 Devolved Grants Program	
Other Related Documents:	Policy 2.3 Workplace Health and Safety Policy 4.2 Conflict of Interest Policy 4.3 Risk Management Policy 4.6 Insurance Delegations of Authority Agreement Variation Application Checklist (internal tracking sheet for each application) Application Guidelines Application Form Final Report and Financial acquittal Form Funding Agreement Job Safety and Environmental Assessments (JSEA)	
Category:	Organisation	
Type:	Strategic	Dates:
1 <sup>st</sup> Review By:	Andrew Del Marco	21/11/2018
2 <sup>nd</sup> Review By:	Andrew Del Marco	15/4/2019
3 <sup>rd</sup> Review By:	Jane O'Malley	04/06/2020
Approved By:	Board of Management	
Issued By:	Chief Executive Officer	

### Introduction

Policy to inform the delivery and administration of devolved grants programs to the community, such as the Community Environment Grants program.

The contracting of third parties to deliver services to the PHCC outside of devolved grants processes are not covered under this policy.

### Definitions

For the purposes of this Policy:

**'Activities'** are the items that are funded through a devolved grants program

**'Applicant'** means the individual landholder or group applying for the devolved grant from the PHCC

**'Application'** is the application prepared by the individual landholder or group requesting grant funding. Applications are lodged on an application form provided by the PHCC

**'Board Member'** means a member of the PHCC Board of Management

**'Board of Management'** or **'Board'** means the Association Members of PHCC and has the same meaning as the word 'Council' in the Constitution

## 4.12 DEVOLVED GRANTS PROGRAMS

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**'Guidelines'** are the document prepared by the PHCC and released to potential applicants at the commencement of the grants program. Provides details that assist the applicant to fill out the application form

**'Independent assessment panel'** is the group of Project Steering Committee members convened to assess applications for funding and recommend successful applicants to the PHCC; informed by the project officer responsible for delivery the grants

**'NRM'** is Natural Resource Management

**'Procedures'** are the documented practices that ensure alignment and compliance to policies

**'Program'** is the devolved grants program

**'Project'** is the PHCC project which is using a devolved grants program to achieve the project's objectives or outcomes

**'Public liability'** is a landowner/managers liability if a third party is injured or suffers damages due to landowner/manager's negligence or failure to provide a duty of care. Specific insurance policies can be obtained to protect landowners against public liability claims

**'Staff'** means all paid employed persons in PHCC

**'Volunteer'** is considered to be a person providing unpaid services to PHCC.

### Policy Statement

#### 1 Establishment and Delivery of Devolved Grants Programs

- 1.1 Devolved grants programs (programs) are used by the PHCC to achieve clearly stated project outcomes, implement the Peel-Harvey Regional NRM Strategy, and encourage and maintain community-based natural resource management and landcare in the Catchment
  - 1.1.1 Programs shall be implemented following the devolved grants Procedure 4.12 and based on use of templates documents for:
    - 1.1.1.1. Application Checklist (internal tracking sheet for each application)
    - 1.1.1.2. Application Guidelines
    - 1.1.1.3. Application Form
    - 1.1.1.4. Funding Agreement
    - 1.1.1.5. Agreement Variation
    - 1.1.1.6. Final Report and Financial acquittal Form.
- 1.2 Each program shall have specific eligibility criteria and be required to comply with all requirements published in Application Guidelines (Guidelines)
- 1.3 All applications shall be assessed by an Independent Assessment Panel (Panel) using a common set of criteria based on eligibility criteria, assessment criteria published in the Guidelines and any other relevant criteria agreed to by the Panel
- 1.4 The Panel shall rank all applications and recommend those applications that are to be funded (in full or part) and those that are not to be funded. Applicants shall be provided feedback by the Panel, as appropriate, to guide project delivery (successful applicants) or provide an explanation of the Panel's decision (unsuccessful applications)



## 4.12 DEVOLVED GRANTS PROGRAMS

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- 1.5 There is an expectation that all applicants will contribute at least 50% of the total project value
- 1.6 Final decisions on all applications shall be made under Delegated Authority by the responsible officer
- 1.7 All applicants shall be informed of the PHCC's decision related to their application
- 1.8 Grant payments to applicants shall be structured so as to reduce risks to PHCC.

### 2 WHS, Risk Management and Insurances

#### 2.1 PHCC Staff and Volunteers

- 2.1.1 PHCC Staff carrying out their normal work duties on a site related to the delivery of a devolved grants program are covered under the PHCC Worker's Compensation Insurance Policy
- 2.1.2 PHCC Volunteers carrying out their Volunteer duties related to the delivery of a devolved grants program are covered under the PHCC Voluntary Worker's Policy
- 2.1.3 Staff and/or Volunteers shall not assist with the implementation of a grant funded project unless specifically approved by their supervisor
- 2.1.4 In addition to an assessment of applicant's insurance cover, PHCC Staff shall use WHS policies and procedures, such as Job Safety and Environmental Assessments (JSEA) to assess and manage risks associated with all aspects of devolved grants program delivery. This includes real-time risk assessments associated with devolved grant program delivery (e.g. site visits and entering private properties).

#### 2.2 Public Liability

- 2.2.1 The PHCC considers it best practice that funded recipients have public liability cover. The PHCC will generally not fund projects where the applicant does not have public liability cover. Public liability cover protects the interests of the group/individual, and by association, the PHCC throughout the delivery of the project where there may be cases of injury or damages attributed to negligence or failure to provide a duty of care.
- 2.2.2 The PHCC's expectation that applicants have public liability cover shall be made known to applicants at the earliest possible time, usually in the Application Guidelines
- 2.2.3 The lack of public liability cover shall not be a barrier to applicants receiving a site visit or other assistance from PHCC Staff prior to the lodgement of a grant application
- 2.2.4 Where an applicant does not have public liability cover, then the PHCC's Independent Assessment Panel shall consider the relative merits and risks of funding the proposed activities in the absence of public liability cover, and shall take into consideration the following:
  - 2.2.4.1. The extent to which PHCC Staff or Volunteers are assisting with the proposed activities. Staff should generally not be involved in delivery, and are covered for normal work duties.
  - 2.2.4.2. The involvement of third parties in proposed activities (e.g. fencing contractors). Third parties should hold worker's compensation and public liability cover.
  - 2.2.4.3. The presence of buildings on the site which may increase the likelihood of a public liability claim.

## 4.12 DEVOLVED GRANTS PROGRAMS

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- 2.2.4.4. Any pre-existing public liability claims against the landowner.
- 2.2.4.5. Where an application has significant merit, and the Panel considers public liability cover to be an important part of overall risk management, then consideration may be given to the provision of funding of public liability cover as part of grant funding.

### 2.3 Other insurances

The PHCC shall ensure during the application and grant assessment process that applicants have all other necessary insurances as appropriate to cover the delivery of their projects. This includes cover of Volunteers (where Volunteers are involved in delivery of the project) and worker's compensation (where the applicant employs Staff).

## 3 ABN, GST and Statement by a Supplier

- 3.1 The PHCC expects that applicants shall have an ABN and are registered for GST
- 3.2 In cases where an applicant has an ABN but is not registered for GST, the PHCC may consider their application on a case-by-case basis. Where the PHCC resolves to fund applicants with an ABN but not registered for GST because of the project's significant NRM outcome or other reason, the PHCC will fund the full value (dollar cost) of eligible activities within the project, not differentiating GST. In such cases, the PHCC will cover the cost of the 10% GST amount within the grant
- 3.3 In cases where an individual landholder has neither an ABN or is registered for GST, the PHCC may consider their application on a case-by-case basis. Where the PHCC resolves to fund individuals with no ABN and not-registered for GST, then the PHCC will make grant payments on receipt of a Statement by a Supplier form (available from the Australian Taxation Office) provided to the PHCC with the return of the Funding Agreement. In these circumstances the PHCC makes the grant payment to the individual landholder on the basis that the 'supply is made by an individual or partnership without a reasonable expectation of profit or gain'. In these cases the PHCC may fund the full value (dollar cost) of eligible activities within the project, not differentiating GST, and cover the cost of the 10% GST amount within the grant
- 3.4 Where a potential grant recipient does not provide a Statement by a Supplier form, no funding will be provided
- 3.5 Where a community group is a potential grant applicant and has neither an ABN nor is registered for GST, then they will require a sponsor organisation through which they can lodge an application. Community groups with neither an ABN or GST-registration are not eligible to directly receive devolved grants. The sponsor organisation must have an ABN and may/may not be registered for GST. Where the sponsor organisation is not registered for GST, the PHCC may fund the full value (dollar cost) of eligible activities within the project, not differentiating GST, and cover the cost of the 10% GST amount within the grant
- 3.6 It is the responsibility of the grant recipients to declare any grant funding received when completing annual tax returns.

## 4 Quotes, Financial Reporting and Variations

- 4.1 For all goods and services requested to be funded via the grant, the application must include at least one quote for each item

## 4.12 DEVOLVED GRANTS PROGRAMS

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- 4.2 Grant recipients shall be required to provide the following financial documentation as part of the Final Report and Acquittal Statement:
- 4.2.1 for grants up to \$50,000 grant recipients must provide copies of all receipts.
  - 4.2.2 for grants \$50,000 and over, the grant recipient must provide an audit report as part of the Final Report and Acquittal Statement
- 4.3 Requirements to present receipts or conduct audits shall be made clear to grant recipients as a condition of the Funding Agreement
- 4.4 Where a grant recipient has successfully carried out the agreed project activities and has remaining unspent grant funds, then it is the PHCC's preference that an Agreement Variation be entered into between the PHCC and recipient as early as possible, to document how remaining funds will be spent to further project outputs or outcomes. Should an Agreement not be reached, then grant funds are to be returned to the PHCC.

### 5 Eligibility of Staff and Board Members

- 5.1 Staff and Board Members of the PHCC are not generally eligible to apply for devolved grants funding. However, where an exceptional NRM outcome will be achieved via the provision of a grant for land owned in part or whole by a Staff or Board Member, a grant may be provided, by majority resolution of the Board, if recommended by the Independent Assessment Panel.

### 6 Standard of works

- 6.1 Works standards shall be set for specific activities, such as fencing and weed control, and detailed in the Guidelines.

### 7 Standard subsidies

- 7.1 The PHCC reserves the right to set standard funding amounts for specific activities or items, such as fencing materials and seedlings, to ensure minimum standards. These set funding amounts shall be publicised to applicants in the Guidelines.

# POLICY

## 4.13 COMMUNICATIONS



Supporting Procedure:	Social Media Procedure Funding Acknowledgement Guidelines	
Other Related Documents:	Policy 4.8 Media Policy 4.9 Community Engagement & Participation Policy 4.10 Noongar Participation PHCC Case Study (Template) PHCC Community Participation Plan PHCC Noongar Participation Plan PHCC Communications Plan PHCC Community Engagement & Communication Plan (Template) PHCC Media and Communications Campaign (Template) PHCC Media Release (Template) PHCC NRM Strategy PHCC Project Summary (Template) PHCC Strategic Directions	
Category:	Organisation	
Type:	Strategic	Dates:
1 <sup>st</sup> Review By:	Jane O'Malley and Patricia Sutton	07/05/2019
2 <sup>nd</sup> Review By:	Jane O'Malley and Patricia Sutton	04/06/2020
Approved By:	Board of Management	
Issued By:	Chief Executive Officer	

### Introduction

The Peel-Harvey Catchment Council (PHCC) recognises, acknowledges and values the role our community play in NRM in the Peel-Harvey. The PHCC is committed to communicating effectively with our community in accordance with the PHCC's Strategic Directions, NRM Strategy and Communications Plan.

The purpose of this policy is to ensure consistency and efficiency for communications.

This policy must be read in conjunction with Policy 4.9 Community Engagement & Participation and Policy 4.8 Media.

### Definitions

For the purposes of this Policy:

**'Board of Management' or 'Board'** means the Association Members of PHCC and has the same meaning as the word 'Council' in the Constitution

**'Board Member' or "Member'** means a member of the PHCC Board of Management

**'Employee'** means all paid employed persons in PHCC

**'NRM'** is Natural Resource Management

## 4.13 COMMUNICATIONS

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**'Organisational Steering Committees'** (see **'Sub-Committee'** definition below)

**'Sub-Committee'** – is a sub-committee established by resolution of the PHCC to exercise such functions as specified in Delegations and Terms of Reference. This includes **Project and Organisational Steering Committees**

### Policy Statement

The PHCC Communications Plan guides the PHCC's actions with respect to our communications, to provide a consistent approach, meeting our community's needs and providing guidance for Employees and Board.

Consideration of communication strategies will be included in all PHCC project planning processes.

### Responsibilities

PHCC Employees have a responsibility to:

- prepare and implement a Communications Plan for relevant projects, using the Community Engagement and Communication Plan\*; and
- use the PHCC Media and Communications Campaign and associated templates, including project summary, case study and media release, in the implementation of their Communications Plans.

*\*A single Community engagement and Communications Plan will be produced for each relevant project, and will provide the basis for the Communications Plan and the Community Engagement and Participation Plan.*

Employees will ensure that communications are undertaken in accordance with the Communications Plan. This requirement will be linked to all induction processes for Employees and Board Members, and compliance reviewed as part of individual Employee Development Agreements and Board Performance Reviews.

Organisational Steering Committees will ensure that they support and guide Employees to undertake their responsibilities as defined within the Communications Plan.

Training will be provided to all relevant Employees and all must undertake training and updates as guided by the CEO.

### Communications Plan & Community Engagement and Communications Plan

The PHCC will maintain a current and relevant Communications Plan. The Communications Plan will provide the framework to support the preparation and implementation of the Community Engagement and Communication Plan. The Community Engagement and Communication Plan will include, but may not be limited to, the following sections:

- Identifying the role of the PHCC in the project/program
- Acknowledgement of funding partners and approval processes
- The role of communications in regard to the project (i.e. raise awareness, call for participation, funding announcements, promote projects/events, seek support etc)
- Identification of stakeholders/target audiences/communities

## 4.13 COMMUNICATIONS

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- Determination of the communication methods/activities - taking into consideration those directly affected by the CE process and the broader community (digital, audio, social media, print and electronic media, interactive activities)
- Frequency of communication methods/activities
- Project budget
- Consideration of a media events.

# POLICY

## 4.14 WHISTLEBLOWER



Supporting Procedure:	Induction Procedure	
Other Related Documents:	Fraud Control Plan Policy 1.6 Grievance Resolution Policy 4.1 Code of Ethics Policy 4.11 Privacy Privacy Act 1988 (Cth)	
Category:	Organisation	
Type:	Strategic	Dates:
1 <sup>st</sup> Review By:	Jane O'Malley and Patricia Sutton	05/02/2019
2 <sup>nd</sup> Review By:	Jane O'Malley and Patricia Sutton	04/06/2020
Approved By:	Board of Management	
Issued By:	Chief Executive Officer	

### Introduction

This Policy relates to the commitment of Peel-Harvey Catchment Council (PHCC) to provide an environment in which Representatives are able to report, without fear of retaliation, concerns about any serious instances or suspicions of Wrongdoing that they believe may be occurring in the name of, or in relation to, PHCC.

This Policy is not intended to replace other reporting mechanisms such as those for grievances, equal opportunity, discrimination, harassment or bullying, however, it does provide an alternative way of reporting alleged or suspected Wrongdoing when the normal reporting and communication channels within PHCC appear to have failed or may be inappropriate. This Policy is intended to apply to reports of alleged or suspected Wrongdoing which are serious in nature and generally as being in the public interest.

Representatives who breach this Policy may be subject to disciplinary action.

### Definitions

For the purposes of this Policy:

**'Board Member'** means a member of the PHCC Board of Management

**'Board of Management'** or **'Board'** means the Association Members of PHCC and has the same meaning as the word 'Council' in the Constitution

**'Other Related Parties'** means an individual organisation involved in PHCC other than Representatives, that would include a Member or partner

**'Procedure'** is a documented process

**'Representative'** means any Board Member, Employee, Volunteer, Contractor or any other person working for or representing PHCC

**'Supervisor'** is an employee who is the direct report of another employee

## 4.14 WHISTLEBLOWER

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**'Whistleblower'** means the person performing the Whistleblowing

**'Whistleblower Protection Officer'** see Clause 1.2 for responsibilities

**'Whistleblowing'** means the deliberate, voluntary disclosure of individual or organisational Wrongdoing by a person who has or had privileged access to data, events or information about an actual, suspected or anticipated Wrongdoing, within or by, PHCC or Other Related Parties

**'Wrongdoing'** means any conduct that:

- is dishonest, fraudulent or corrupt; or
- is illegal, such as theft, drug sale or use, violence, harassment, criminal damage to property or other breaches of State or Australian legislation; or
- is unethical, such as dishonestly altering organisational records or engaging in questionable accounting practices or willfully breaching PHCC's Code of Ethics or other ethical statements; or
- is potentially damaging to PHCC or its personnel, such as unsafe work practices or substantial wasting of resources; or
- may cause financial loss to PHCC or damage its reputation or be otherwise detrimental to PHCC's interests; or
- involves any other kind of serious impropriety.

### Policy Statement

#### 1 Responsibilities

- 1.1 Representatives who detect or have reasonable grounds for suspecting Wrongdoing are encouraged to initially raise any concerns with their immediate Supervisor, with the exception where:
  - 1.1.1 The Supervisor is involved in the suspected Wrongdoing, the Representative can then approach the next Supervisor; or
  - 1.1.2 The Supervisor is the Chief Executive Officer who is suspected of Wrongdoing, the Representative can then approach the Chairperson of the Board of Management; or
  - 1.1.3 The Representative is the Chief Executive Officer and the Chairperson is the person suspected of Wrongdoing, the Representative can then approach the Deputy Chairperson;
  - 1.1.4 The Representative is a Board Member, the Representative can then approach the Chairperson or Deputy Chairperson; or
  - 1.1.5 The Representative is an independent Chair of a standing committee, the Representative can then approach the Chairperson of the Board of Management.
- 1.2 The Chief Executive Officer or Chairperson will be allocated the Whistleblower Protection Officer role and will be responsible for:
  - 1.2.1 Safeguarding the interests of the Whistleblower
  - 1.2.2 Appointing an investigator to enquire into the substance of reports if appropriate
  - 1.2.3 Determining whether to refer reports for further action or to refute them
  - 1.2.4 Keeping the Whistleblower informed of the outcomes of the enquiry or investigation, subject to the considerations of privacy of those against whom the allegations are made; and
  - 1.2.5 Formally recording the report of Wrongdoing.



## 4.14 WHISTLEBLOWER

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- 1.3 The Representative is encouraged and is required to provide a written report of the alleged or suspected Wrongdoing to enable a full investigation.
- 1.4 If a person makes a written report of alleged or suspected Wrongdoing, PHCC will endeavor to protect the person's identity from disclosure. Generally a person's identity will not be disclosed unless:
  - 1.4.1 The person consents to the disclosure
  - 1.4.2 The disclosure is required or authorised by law; or
  - 1.4.3 The disclosure is necessary to further the investigation.
- 1.5 Written reports of Wrongdoing should be formally recorded by a Supervisor, the Chief Executive Officer or Chairperson whom receives the report.
- 1.6 If a report concerns alleged or suspected breach of legislation, the Board of Management will be made aware and may seek legal advice in managing the process.
- 1.7 Generally, reports will be treated with confidentiality. When the allegations are investigated it may be necessary to reveal the report's substance to various parties. It may be necessary to disclose the fact and the substance of the report to the person who is the subject of the report. Although confidentiality is maintained, the source of the reported issue may be obvious to a person who is the subject of a report.
- 1.8 All reports of alleged or suspected Wrongdoing made under this Policy will be properly assessed, and if appropriate, independently investigated with the objective of locating evidence that either substantiates or refutes the claims made by the Whistleblower. Investigations should be independent from the business area concerned, the Whistleblower and any person who is the subject of the report.
- 1.9 The person carrying out any investigation is responsible for ensuring that the person who is subject of any report that is investigated:
  - 1.9.1 Is informed as to the substance of the allegations
  - 1.9.2 Is given the opportunity to answer allegations before any investigation is finalised
  - 1.9.3 Is informed about the substance of any adverse comments that may be included in any report arising from the investigation before it is finalised; and
  - 1.9.4 Is formally advised of the outcome of the investigation.

They are also responsible for keeping the designated Whistleblower Protection Officer informed of the progress of the investigation.
- 1.10 Where it is shown that a person purporting to be a Whistleblower has knowingly made a false report of Wrongdoing, then that conduct itself will be considered a serious matter and that person may be subject to dismissal or other disciplinary action.
- 1.11 PHCC will take reasonable precautions to store any records relating to a report of Wrongdoing securely and to permit access to records to authorised personnel only.
- 1.12 Unauthorised disclosure of information relating to a report, the identity of a person who has made a report of Wrongdoing or information from which the identity of the reporting person could be inferred will be regarded seriously and may result in disciplinary action.

## 4.14 WHISTLEBLOWER

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- 1.13 PHCC is committed to protecting and respecting the rights of a person who reports Wrongdoing in good faith. PHCC will not tolerate any retaliatory action or threats of retaliatory action to such a person, or to that person's colleagues, employer (if a contractor) or relatives. Any such retaliatory action or victimisation in reprisal for a report being made under this Policy may be treated as serious misconduct and may result in dismissal or other disciplinary action. If the person who has made a report believes retaliatory action or victimisation has occurred or been threatened, the person who made the report has the right to make a submission to the Chief Executive Officer or to the Board of Management, or otherwise to apply the grievance process.
- 1.14 PHCC recognises that individuals against whom a report is made must also be supported during the handling and investigations of a report and will take reasonable steps to treat the person fairly. It will give its full support to a person who is the subject of a report where allegations contained in a report are clearly wrong.
- 1.15 If preliminary enquiries determine that a suspected Wrongdoing is baseless or unfounded and that no formal investigation is warranted then the Chief Executive Officer or Chairperson will decide whether or not the person named in the suspicion should be informed that a suspicion had been raised and found to be baseless upon preliminary review. This decision will be based on a desire to preserve the integrity of the person so named, to enable workplace harmony to continue unfettered and to protect the Whistleblower if it was a bona fide disclosure.

### 2 Responsible Officers

- 2.1 The Chief Executive Officer is responsible for the operational compliance of this Policy.