



Human Resources Management Manual

Policies & Procedures

Revised March 2015

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Preface

Employees represent this organisation's greatest asset, with employees constituting the most significant financial outlay in the annual budget for the organisation. When our human resource is well deployed, their individual and combined skills build organisational capacity and enable the organisation to be competitive in the sector across our core business.

Therefore Katoomba Neighbourhood Centre adopts a strategic approach to human resource planning and management, enabling a strong link between the skills and capacities the organisation needs to achieve its strategic goals, and those the staff as an entity contributes.

The Human Resource Management policies and procedures in this Manual establish a structural framework and strategic focus for the planning, recruitment, selection, performance management and development of the organisation's human resources.

References

- Associations Incorporations Act (1981)
- Australian Standard (AS 8000-8004:2003) *Corporate Governance*
- Australian Standard (AS ISO 15489.1:2002) *Records Management*
- Australian Standard (AS/NZS 4360:2004) *Risk Management Standard*
- Compliance Programs (AS 3806: 1998)
- Corporations Act (2001)
- Disability Discrimination Act (1992)
- Freedom of Information Act (1982)
- Health Practitioner Regulation National Law Act (2009)
- Human Rights and Equal Opportunity Commission (HREOC) Act (1986)
- Industrial Relations Act and Regulations (1999)
- IR - Superannuation Guarantee Ruling SGR 94/4 (ATO 2008)
- Prevention of Workplace Harassment Advisory Standard (2004)
- Privacy Act (1988) The Privacy Amendment (Enhancing Privacy Protection) Bill 2012 and Australian Privacy Principles (2014)
- Sex Discrimination Act (1984)
- Work Cover Act (1996)
- Workers Compensation and Rehabilitation Act and Regulations (2010)
- Workplace Health and Safety Act (2011) and Workplace Health and Safety Regulations (2011)

Katoomba Neighbourhood Centre (KNC) Human Resource Management Policy & Procedure

Objectives

- To increase KNC efficiency and effectiveness through recognised human resource management practices
- To ensure a strategic focus to human resource planning
- To establish an internal culture where employees feel valued and their contributions are recognised
- To ensure the appropriate skills and competencies are developed
- To ensure clarity of roles, responsibilities and accountabilities

Performance Measures

- Job descriptions and job specifications are available for each position
- Key selection criteria are available for each position
- Selection procedures substantiate use of the merit principle to guide decision-making
- Annual performance appraisals are undertaken by all employees with individual performance and professional development priorities for the worker identified during this process for the next period
- Training and development records are documented in personnel files and in the Staff Training Register, and demonstrate strategic alignment
- An orientation and induction process is in place
- A system for staff recognition is developed
- Clear professional development opportunities are available for staff
- All staff and volunteers of the Organisation are criminal record checked and those working in KOOSH undergo working with children checked

Katoomba Neighbourhood Centre Evidence Guide

- Sample Forms
- Registers
- Applicant Short-listing Grid
- KNC Code of Conduct
- Employee Letter Appointment /Conditions
- In-service Training Course Development Framework
- In-service Training Plan
- Interview Scoring Grid
- Job Analysis Form
- Performance Appraisal and Development System Guide for Supervisors
- Performance Appraisal Form

- Performance Development Plan
- Position Description Form
- Induction Checklist
- Staff Satisfaction Survey
- Staff Satisfaction Survey Analysis Guide
- Statement of Volunteer Rights and Responsibilities
- Timesheet
- Training/Conference & Travel Request
- Training Evaluation
- Volunteer Application
- Document Control Register
- Records Register
- Staff Training Register
- Complaints Record Form
- Complaints Resolution Form
- Complaints Resolution Flow Chart

Human Resources Planning

Human Resource Management Policy # 1

References:

- KNC Constitution
- KNC Organisational Governance Policies & Procedures
- KNC WHS Policies & Procedures (including the KNC Risk Management Policy)
- Staff Position Descriptions and Job Specifications
- Katoomba Neighbourhood Centre's Strategic Plan

1.0 POLICY STATEMENT

Effective human resources management practices increase Katoomba Neighbourhood Centre's efficiency and effectiveness. KNC's approach to human resources planning is designed to support the implementation of the Organisations' strategic directions. It involves attracting, retaining and motivating employees with the required skills and capacities to undertake their designated tasks. Through planning and implementing training and development and mentoring programs, individual professional development and strategic goals can be aligned. Adopting a strategic focus to human resource planning facilitates achieving the goals of the Organisation. This is critical to all other human resource management functions.

2.0 SCOPE

This policy will be implemented across all permanent and temporary contract staff appointments.

3.0 DEFINITIONS

Key Selection Criteria (KSC) are defined as the most critical selection criteria defined for a position, against which all candidates will be measured.

Merit principle is defined as the capacity of an applicant to best perform the tasks and duties of a position, having regard to the stated KSC and assuming a fair and equitable process.

Selection predictors are the most important factors for success in this position.

4.0 PHILOSOPHY

Effective human resources planning means having the right people in the right jobs at the right time to facilitate the ability of the Organisation meet the strategic directions.

5.0 PROCEDURES

5.1 The Planning Process

HR planning and decision-making will be focused on Katoomba Neighbourhood Centre's strategic directions.

Information from the internal environment will be monitored, including strategic goals; evaluation of internal strengths and weaknesses; current human resource capacity and capabilities and the rates of turnover.

Information from KNC's external environment will also be monitored, including changes in government contract priorities; funding policies and priorities for service delivery; community demand for services; client focused approaches to care and service delivery; potential for strategic alliances and service level agreements; resource competition; regulatory changes, standards and compliance systems; and identified systems gaps.

Demand for particular skills and competencies to meet KNC development and expansion goals including appropriate succession planning for existing key positions will be forecasted to enable effective planning to take place.

KNC will operate with a current strategic plan covering a min 3 year maximum 5 year period outlining the Organisational strategic directions across the timeframe the plan is current, the key service priority directions and a business plan linked to the strategic plan. A standing key platform within the strategic plan is "Sustainability", which covers workforce growth & the development of an appropriately skilled and supported workforce.

5.2 Capacity Building

The present skills mix of staff will be enhanced through staff training and development opportunities. An organisational culture that resources and supports education, training and professional development opportunities for individuals and work groups, will be utilised to attract and retain skilled employees, and where deemed appropriate by the Board, incentives may also be considered in packages and benefits.

5.3 Structure

Analysis will be conducted for each position available in the Organisation or under development for implementation, to determine what skills and capacities are essential and/or desirable. Positions will be aligned to support Katoomba Neighbourhood Centre's strategic directions. Each position will have key selection criteria developed for each position.

Position descriptions will be reviewed each 3 years, against identified need or at the request of the Board, Management or staff member, in consultation and may be revised based on changing local and industry needs

Recruitment

Human Resource Management Policy #2

References:

Constitution

Organisational Governance Policies

KNC WHS Policies & Procedures (including the KNC Risk Management Policy)

Staff Position Descriptions and Job Specifications

Katoomba Neighbourhood Centre's Strategic Plan

1.0 POLICY STATEMENT

The intent of this policy is to ensure Katoomba Neighbourhood Centre has standard processes in place for recruitment of staff, and to ensure all applicants have access to a fair and equitable process.

2.0 SCOPE

This policy applies for all vacant positions and/or newly created positions in Katoomba Neighbourhood Centre.

3.0 DEFINITIONS

Key Selection Criteria (KSC) is defined as the most critical selection criteria defined for a position, against which all candidates will be measured.

Merit principle is defined as the capacity of an applicant to best perform the tasks and duties of a position, having regard to the stated KSC and assuming a fair and equitable process.

4.0 PHILOSOPHY

Recruitment and selection procedures will adhere to all legislative requirements in relation to Equal Employment Opportunities (EEO) and Anti-Discrimination.

5.0 PROCEDURES

5.1 Key Selection Criteria (KSC)

To ensure EEO legislative requirements are met, KSC will be developed for each position to provide a fair and equitable standard against which all candidates will be measured.

From the position planning and analysis process, the most important factors for success for each position will be identified. The required knowledge, skills, abilities, and qualifications

required for a candidate to successfully fill the position will be documented and form the essential criteria in each KNC Job Description and Specification form.

The KSC for a position becomes the standard against which each candidate for a position will be assessed. Open and fair competition in recruitment will be encouraged.

5.2 Recruitment Sources and Processes

Depending on the seniority of the position and its geographic priorities, a range of recruitment processes may be undertaken. This may include use of advertisements in local/regional/or state media; internet advertising; a direct approach to targeted individuals or a combination of these approaches.

The preferred recruitment approach for each particular position will be determined and the Board notified of the preferred approach by the KNC GM. The GM under standing instruction of the KNC Board will convene the employment subcommittee to then undertake the recruitment for the position. The KNC employment subcommittee will consist of 2 Board members whenever possible, with a minimum requirement of one Board member and the KNC GM. At least one KNC Board member will sit on the interview panel for all Coordinator positions and above.

Unless otherwise specified, all applicants must apply in writing to the GM or delegated person by the closing date. The application is to include a brief employment history or curriculum vitae, documentary evidence of any required qualifications, contact details of two referees, and responses to the key selection criteria outlined for that particular position description.

Applications will close two weeks (10 working days) after the advertisement is published. Applications must be received by close of business on the specified date, and may be submitted by mail or electronic means.

5.3 Jobs packages

An information kit will be accessible on the KNC website or forwarded to all persons interested in applying for an advertised position. The information kit is to include a copy of the position description, the key selection criteria, KNC organisational chart and a brief outline of the application process, including the closing date.

All potential candidates for the position will be advised that they should address the key selection criteria in their applications.

A record will be kept of all personnel to whom an information kit was forwarded. This information will be filed by the GM or delegated person once the position has been filled.

5.4 Process Evaluation

The type of recruitment strategy applied, and the number of candidates attracted to the position will be recorded as process evaluation of the success of the chosen recruitment process.

Selection

Human Resource Management Policy # 3

References:

Constitution

Corporate Governance Policies

Integrated Risk Management Policy

Staff Position Descriptions and Job Specifications

1.0 POLICY STATEMENT

This policy is designed to ensure Katoomba Neighbourhood Centre has standard processes in place for selection of staff which provides all applicants with access to a fair and equitable process based on merit.

2.0 SCOPE

This policy applies for all vacant positions and/or newly created positions in Katoomba Neighbourhood Centre.

3.0 DEFINITIONS

Key Selection Criteria (KSC) are defined as the most critical selection criteria defined for a position, against which all candidates will be measured.

Merit principle is defined as the capacity of an applicant to best perform the tasks and duties of a position, having regard to the stated KSC and assuming a fair and equitable process.

4.0 PHILOSOPHY

In line with Katoomba Neighbourhood Centre's core operating principles and commitment to transparent and accountable leadership and management, we support the adoption of standard processes for merit-based selection, to ensure appointment of the best candidate to the position.

5.0 PROCEDURES

5.1 Panel Composition

Evaluation of all applications is to be undertaken by a selection panel. The selection panel will be established and approved by the GM or Board, depending on the level of the position.

The selection panel for all senior or middle management positions will include at least one nominated representative from the Board, the GM, and the relevant line manager if applicable.

The selection panel for all junior or administrative positions will include the GM if relevant, and the respective line manager having supervisory responsibilities for the position.

Other individuals, including functional specialists or industry experts, may be approached to participate on a selection panel.

Some KSC may be weighted to acknowledge the comparative level of importance of a particular selection predictor in successfully filling the position.

5.2 Evaluation of Applicants

The panel is responsible for reviewing all applications received, and for short-listing potential applicants.

Short-listing and selection will be based on the principle of merit, abiding by EEO legislative requirements. The assessment of each applicant will consider the skills, knowledge and abilities as identified by the KSC, as well as the potential to develop these.

Each member of the panel will independently grade all applicants, using the Applicant Short-listing Grid. The members of the selection panel will then meet and short-list the top scoring candidates.

Interviews are to be offered to all short-listed candidates. This is usually done by a face to face interview, but may be by telephone interview or teleconference if the candidate is not from the local area.

All short-listed candidates will be contacted to arrange dates and times for interviews.

5.3 Interview Technique

Structured interviews will be used for selection of all employees. Interview questions will be developed in advance by the panel, based on the KSC for the position.

Questions will be designed to assess the candidates skills, knowledge, competencies and relevant past experience. Expected and/or desired responses to each question will be noted by the panel members.

The interviews are to be conducted in a consistent manner for all applicants.

Each applicant will be allowed the same amount of time for the interview, will be greeted in the same manner, and will be permitted to take notes if they wish. Paper and pens will be provided, and candidates will be permitted to refer to their application at any time during the interview.

All applicants are to be asked the same questions, in the same order. The applicants may be provided with a written copy of the interview questions for a designated time prior to the interview, if the selection panel members agree.

Selection panel members are to record notes outlining the responses of each candidate to each question. At the end of each interview, candidate's responses are to be scored in relation to each question, using the Interview Scoring Grid.

At interview, candidates will be informed of the terms and conditions of employment, and whether salary negotiation is possible.

5.4 Selection Process

Following all interviews, the selection panel will meet to discuss the candidates' responses and scores, and to reach a decision on the successful applicant.

Once the top scoring applicant has been decided, a member of the selection panel will contact the two referees nominated in the application, and the applicant's previous employer, and invite comment on the applicant's abilities in relation to the key selection criteria for the position.

The claimed qualifications of the successful applicant will be verified.

The successful applicant will then be telephoned and offered the position, and a recommendation forwarded to the Board.

All unsuccessful applicants who are not selected for interview will be notified in writing. All unsuccessful short listed interviewees will be phoned by the General Manager and formally notified in writing. A standard form letter will be used, thanking them for their application and informing them that a decision has been made and unfortunately they were not successful at this time.

Feedback will be provided to unsuccessful applicants, on their request, about their interview performance.

Successful applicants (paid and unpaid staff) are required to undergo a criminal record check as part of their employment process. Staff and volunteers working in the KOOSH service will be required to undertake a working with children check.

5.5 Appointment

The GM or delegated person will contact the successful applicant to negotiate a commencement date, and to discuss the terms and conditions of employment.

A formal letter of appointment will then be sent, confirming the commencement date and the terms of employment, and signed by the General Manager.

It will be standard practice for all appointees to be given a three-month probationary period prior to formalising the appointment. This is designed to provide the new incumbent in the position, and Katoomba Neighbourhood Centre, with an opportunity to ensure that both parties are satisfied with the appointment decision.

Strategic Performance Management

Human Resource Management Policy #4

References:

Constitution

Corporate Governance Policies

KNC WHS Policies & Procedures (including the KNC Risk Management Policy)

Staff Position Descriptions and Job Specifications

Katoomba Neighbourhood Centre's Strategic Plan

1.0 POLICY STATEMENT

This policy provides the framework for ensuring all KNC employees are included in a cyclic review process designed to develop the capacity of the agency to achieve its strategic goals, and to provide recognition, rewards and ongoing professional development opportunities for staff.

2.0 SCOPE

This policy applies for all employees.

3.0 ACRONYMS

PAS *Performance Appraisal System*

PDP *Performance Development Plan*

TA *Travel and Accommodation Allowances*

GM *General Manager*

4.0 PHILOSOPHY

We believe that by creating an internal culture within Katoomba Neighbourhood Centre which values the contributions of each member of staff, and by developing and valuing a team approach to organisational development and learning, we can create a strong, vibrant and viable organisation which has an increasing capacity to respond to opportunities that maximise our growth potential and enhance our responses to the community and their needs.

5.0 PROCEDURES

5.1 Clarity of Reporting

All employee positions in Katoomba Neighbourhood Centre will have clearly defined reporting and accountability requirements. All position descriptions will state to whom that position reports.

All employee positions and lines of accountability will be easily identified in the Katoomba Neighbourhood Centre organisational chart.

The GM is responsible for ensuring the organisational chart remains current, and that any changes are ratified by the Board.

5.2 Performance Appraisal System

A Performance Appraisal System (PAS) will be implemented to assist and guide employees in evaluating their own strengths and weaknesses, and identifying opportunities for ongoing professional development in areas that would make a positive contribution to attainment of Katoomba Neighbourhood Centre's organisational objectives.

The PAS is designed to provide employees with feedback and recognition of performance against required standards. The PAS will be utilised as the platform upon which award transitions and potential incentives and benefits will be based.

A nominated member of the Board will conduct the performance appraisal for the GM.

Annual performance appraisals will be conducted for all employees by their designated line manager or supervisor.

Performance indicators will be developed between the supervisor and employee, based on the roles and responsibilities and key tasks documented in the position description.

Individual employees will be advised prior to their performance appraisal of the date, the required documentation and a copy of their job description policy provided a week before their appraisal. Staff will be given the Performance Appraisal Guide outlining the process, and the Performance Appraisal form to undertake their initial reflections (see Performance Appraisal Form).

For KNC service coordinators, staff appraisal's will be rostered annually, and undertaken with the KNC GM.

Individual service coordinators will set the annual PAS date for each of their staff, in line with individual service priorities.

Notification before the performance appraisal and provision of the required documentation is designed to encourage open communication to inform discussion of the role, job description duties, responsibilities and overall work performance, and to assess and negotiate the employee's annual performance objectives and individual professional development plan.

The standard performance appraisal procedure will include identification of personal strengths and challenges experienced by the employee, against the identified performance indicators. This may occur prior to the appraisal meeting. The supervisor will give feedback in relation to the employee's responses.

The exception for annual performance appraisal & development process will be any Trainee within the Organisation where the term of the Traineeship is 12-15 months. For Trainees within the Organisation the performance appraisal mechanism will be ongoing against their learning milestones, with fortnightly reviews with their manager/service coordinator, allocated study and reflection time whilst on duty, and reviews of their Registered Training Organisation reports on progress. A Trainee who has a timeframe of 12-15 months will undergo appraisal against the first component of the process. Trainees with completion dates exceeding 15 months will be required to complete a performance appraisal & development process.

5.3 Performance Development Plan

An individual Performance Development Plan (PDP) will be developed from the individual performance appraisal. The PDP will establish the criteria for performance monitoring to be measured at the next review.

The PAS form and PDP will be completed and signed by both parties during the appraisal meeting.

The PAS/PDP is a confidential process. One copy of each will be placed with the Organisation's employee record in the personnel file, with the second copy given to the employee.

Katoomba Neighbourhood Centre is committed to providing individual employees with training and development opportunities to assist them in achieving their annual performance improvement goals.

5.4 Training and Professional Development

The success of a business depends primarily on its ability to develop and align its internal capacities with its strategic goals. Given financial resources available, staff training and development procedures and practices will be directed towards enhancing the skills, knowledge and abilities of staff to enable them to effectively contribute to achieving Katoomba Neighbourhood Centre's strategic goals and objectives.

Training activities attended by staff members must be in line with the needs of the organisation and be relevant to the job description of individual staff members, and/or form part of their agreed Performance Development Plan.

Staff competencies and deficiencies will be identified through the PAS. Employees will be entitled to a designated number of training days per year, in accordance with the relevant Award or Employee Agreement.

5.5 Training Leave Requests

Education leave will be available to all permanent employees who have served a minimum of twelve consecutive months, or for other employees where this is negotiated and agreed to by the Board.

When requesting education or conference leave, a Training/Conference & Travel Request is to be completed by the staff member and forwarded through the relevant line manager to the GM, at least 10 working days prior to the scheduled training or education program. Details of associated requests for TA (travel and accommodation allowances) must be included on the Training/Conference & Travel Request form.

No training requests will be considered by the GM without the prior approval of the relevant line manager or supervisor. Approvals are to consider the individual's PDP goals; relevance, quality and cost of the training activity; and equity of training/education opportunities across the whole staff team.

As a learning organisation, it is expected that staff will share new knowledge and skills gained with other members of the staff team. Employees attending external training/education, including conferences and seminars, are required to report to the staff meeting, and may be asked to facilitate in-service training.

Katoomba Neighbourhood Centre employees who are invited to present papers at national/state conferences and seminars will be encouraged to do so, with sponsorship negotiated where possible. Attendance at such conferences and seminars will be additional to any standard training leave entitlements.

5.6 Compensation, Benefits & Rewards

Staff incentives, benefits and rewards will be linked to performance, thus providing incentives for improving performance.

Progression to higher Award pay-point levels for employees will only be approved if the employee's annual performance supports movement to the next level. The employee's professional development plan can be utilised to support review.

Incentive strategies may include a salary increase, a bonus, attendance at a national or international conference, agency sponsorship (in part or in full) for enrolment in an accredited training or professional development course at a recognised educational institution.

Rewards for professional competence and performance will be consistent with the Katoomba Neighbourhood Centre's corporate culture of valuing excellence.

5.7 Staff Support Mechanisms

Katoomba Neighbourhood Centre supports implementation of quality human resource management practices, including recognition of the need for a range of staff support mechanisms relevant to their roles. Support mechanisms include the Katoomba Neighbourhood Centre induction program, mentoring, debriefing and professional supervision.

During induction, all new employees will be given written documentation/instruction on the following, and will be encouraged to request clarification on any issues they do not understand:

- Organisational structure and reporting procedures
- Mission, vision, and core values
- The strategic plan
- The code of conduct and ethics
- How to access documents (including policies and procedures).

All new staff will be placed on a three-month probationary period. All new employees will be informed of their rights and responsibilities, and of the grievance mechanisms available to them as employees of Katoomba Neighbourhood Centre.

Employees who are in need of personal, emotional or other assistance may approach the GM or their designated line manager/supervisor, who have the delegated authority to work with the employee to identify possible support options, which may be then recommended to the Board. All personal information will remain strictly confidential, and the GM and Board will strictly observe the Katoomba Neighbourhood Centre's Code of Conduct and Ethics and respect for employees' rights to confidentiality and privacy.

External supervision is supported by the Organisation and provided monthly by the retained consultant for staff members engaged in direct client care. Supervision is seen as part of the normal working hours and is additional to regular administrative meetings with the General Manager. Outside these arrangements access to an independent external professional supervisor may be made available on request. This supervisor may be nominated by the staff member, but must be approved by the GM and/or the Board.

5.8 Staff Evaluation

Considerable resources are expended by Katoomba Neighbourhood Centre on staff recruitment, induction and ongoing professional development. We therefore acknowledge it is in our best financial interests to have a high retention rate and a low turnover of staff. Employees who are happy and satisfied in their work are enabled to make a positive contribution to the organisation.

A staff satisfaction survey will be distributed annually, as part of our internal quality monitoring, to evaluate our employee's opinion of their work environment.

The staff satisfaction survey instrument will provide a series of questions requiring a rated response, as well as providing an opportunity for optional feedback and suggestions.

Response data is to be collated by the GM using the Staff Satisfaction Survey Analysis Guide, and presented to the Board for discussion and action planning.

5.9 Leadership, Continuity, Accountability & Succession Planning

Katoomba Neighbourhood Centre is committed to developing and sustaining a leadership team that will lead the organisation in achieving the organisation's goals, delivering outcomes to our clients and planning strategically for the future. Recruitment of workers who best enable the strategic priorities of the Organisation is a critical goal for the Organisation. To enable this goal to be met long term, it is necessary that the Organisation focus on developing leadership and management skills across the workforce.

The identified leadership team for KNC comprises the KNC Board, the Position of the General Manager, the Manager Finance & Resources and Community & Cultural Development Coordinator. Overall the leadership team is responsible for:

- developing the strategic plan for the organisation
- over sighting and monitoring operational plans and activities
- developing and modelling the values and culture of the organisation.

Ensuring continuity

The leadership team is responsible for ensuring the Organisation has the capability to sustain service and maintain the required levels quality in serviced delivery. The leadership team will assist the Organisation achieve this through ensuring service continuity and will:

- develop policies and procedures that ensure the organisation is flexible, adaptable and responsive to changing priorities and needs
- implement staff recruitment and development strategies that foster a highly competent and committed work team
- develop funding and resourcing strategies that ensure the long term viability of the organisation
- develop recruitment plans and internal professional development strategies that ensure continuity of effective leadership.

Accountability

The leadership team with the relevant Service Coordinators is responsible for:

- setting and achieving the organisation's key performance indicators

- ensuring the needs of clients are met
- managing the resources and finances of the organisation
- ensuring fair and equitable practices
- establishing effective communication with staff and clients.

Succession Planning

The leadership team is responsible for ensuring that succession planning for key positions within the Organisation is undertaken, as well as ensuring that there are professional development opportunities offered internally to staff within and across programs to work up in positions and increase their professional capabilities enabling them to be identified in service and succession plans.

Grievance, Warnings and Exit

Human Resource Management Policy # 5

References:

Constitution

Organisational Governance Policies

Integrated Risk Management Policy

Staff Position Descriptions and Job Specifications

Katoomba Neighbourhood Centre's Strategic Plan

Katoomba Neighbourhood Centre's Code of Conduct and Ethics

1.0 POLICY STATEMENT

This policy establishes the framework to ensure that all staff members have access to a fair and equitable hearing in the event of a grievance with the organisation and/or its management or employees.

2.0 SCOPE

This policy applies for all employees of Katoomba Neighbourhood Centre.

3.0 PHILOSOPHY

The Katoomba Neighbourhood Centre's Code of Conduct reflects our respect for individual rights, and requires all employees to behave at all times with honesty, integrity and professionalism in the performance of their duties.

4.0 PROCEDURES

4.1 Grievances

If an employee/contractor has a grievance with another employee or a member of the Board, he or she has the right to a fair and equitable hearing, and to initiate the grievance procedure without fear of retribution.

All employees and members of the Board involved in a grievance process are bound to maintain strict confidentiality in relation to that grievance, whilst the resolution process is in place.

In the first instance, when an employee believes he/she has a legitimate grievance with another employee, he/she is obliged to raise the issue/s with that employee on a one-to-one basis in confidence, in an attempt to resolve the issue.

When an employee believes that actions, circumstances or procedures are practiced in such a way as to discriminate, injure, harm or grievously affect employees or other persons, or

cause damage to the agency, he/she shall raise the matter in writing with the GM. If the GM is a party to the dispute, then the grievance must be raised in writing with a representative of the Board.

The matters raised by the grievance will be investigated by the appropriately authorised person, who will implement actions to rectify the matter. A report of the matter and remedial actions taken will be tabled with the Board at the next scheduled Board meeting.

Should all attempts at resolution fail, the aggrieved employee shall attempt to resolve the grievance with the full Board and shall be entitled to have a union representative or an advocate present.

Where any such attempt at resolution fails, or where the dispute or claim is of such a nature that direct discussion between the employee and his/her immediate supervisor or the Board would be inappropriate, the employee has the right to notify a duly authorised State representative of an appropriate Union or industrial relations agency, who may take the matter up with the employer on the employee's behalf.

Whilst the above conciliation process is being followed, work shall continue normally where this has been agreed by the parties to the dispute. In other cases work shall continue as instructed by the Board.

4.2 Warnings

When the Board believes an employee is guilty of an infraction (but not a legal cause for instant dismissal) the matter will be discussed with the employee and the GM, and the employee will be cautioned. A maximum of three such cautions, endorsed by the Board, will be issued prior to dismissal actions being implemented, as documented in the dismissal procedures.

Should an employee's actions be related to misconduct, bullying, dishonesty, drunkenness or insubordination, (legal causes for instant dismissal) the Board will seek legal advice prior to initiating dismissal procedures. Employees under investigation for such misconduct will be stood down on full pay until the matter is resolved.

Where an employee is guilty of an infraction of documented work practices, procedures, attendance or misbehaviour of lesser degrees and is subsequently cautioned, a written warning may be issued, with a file note being made on the member's personnel file as "Warning One". If it is necessary to caution or warn the same employee for a second infraction, then a written warning will again be issued, and the personnel file will be endorsed with "Warning Two".

Should a third warning be required for an infraction, then a "Third and Final Warning" will be issued in writing to the employee, and duly recorded on the employment personnel file. Following the "third and final warning" the employee will be notified that any further infraction will result in dismissal. In some circumstances, serious breaches in conduct, after

decision of the Board, may result in only one Final Warning being issued. In this circumstance, the employee will be notified that any further infraction will result in dismissal.

4.3 Exemptions

Consistent with Industrial Relations law, no written warnings are required to be issued to casual staff, volunteers, or staff members employed on a contractual basis. If found to be guilty of an infraction, a casual staff member, volunteer, or staff member employed on a contractual basis will initially be cautioned by the GM/designated supervisor. Subsequent decisions on disciplinary action will be left to the discretion of the Board, dependent on the seriousness of the infraction.

4.4 Organisational Exit

On request, a reference will be provided for all employees who voluntarily resign from Katoomba Neighbourhood Centre.

Employees who are given notice of termination will only be provided with certificate of service, detailing their length of period of employment by Katoomba Neighbourhood Centre

Permanent employees are required to give Katoomba Neighbourhood Centre a minimum of two weeks' notice of resignation of employment. If a permanent employee fails to give notice, Katoomba Neighbourhood Centre reserves the right to withhold monies due to an amount equal to the ordinary time rate of pay for the period of the notice i.e. two weeks pay.

To ensure clients of Katoomba Neighbourhood Centre are not disadvantaged by staff resignations, casual and voluntary staff are requested to also provide two weeks' notice of termination to enable replacement staff to be appointed and continuity of service to be maintained.

4.5 Summary Dismissal

The Board of Katoomba Neighbourhood Centre reserves the right to summarily dismiss any employee without notice for misconduct which justifies instant dismissal, including dishonesty, drunkenness, substance impairment on duty, bullying or insubordination. In such cases, the wages shall be paid up to the time of dismissal only.

4.6 Redundancy

If as a result of financial loss, the agency decides to eliminate an employee position (or positions) and offer redundancy, the Board will hold discussions with the staff members directly affected. Severance pay rates will apply, as detailed in relevant Awards, and according to accepted industry practice.

4.7 Exit Interviews

An exit interview is to be conducted between all employees resigning from Katoomba Neighbourhood Centre and the relevant supervisor. The purpose of the exit interview is to gather constructive information and suggestions for improving the functioning of the position (e.g. skills, role, working relationships, internal communication processes), to inform ongoing human resource planning as part of our continuous improvement process.

Disciplinary Action

Human Resource Management Policy # 6

References:

Organisational Governance Policies

Integrated Risk Management Policy

Staff Position Descriptions and Job Specifications

Grievance, Warnings & Exit Policy

Katoomba Neighbourhood Centre's Code of Conduct and Ethics

1.0 POLICY STATEMENT

Katoomba Neighbourhood Centre is committed to a disciplinary process that respects the rights of staff as well as representing the interests of the organisation as a whole. This Policy aims to ensure that staff who are facing disciplinary action have an opportunity to improve their performance through training and trial periods. Katoomba Neighbourhood Centre will also ensure that any disciplinary action undertaken will adhere to the following:-

- Staff performance issues will be handled in accordance with Equal Employment Opportunity and Anti-Discrimination principles;
- Disciplinary action will be in accordance with the relevant award and the National Employment Standards;
- Disciplinary action will be handled competently, fairly and quickly, with an unbiased process of judgement;
- Staff involved will be fully informed of the disciplinary process;
- Staff involved will be given a fair hearing including adequate notice of what is alleged and a reasonable opportunity to respond to allegations;
- The focus will always relate to work issues;
- Staff involved may be assisted or represented in any disciplinary meeting by a support person of the employee's choice from the workplace, such as a colleague, or by a representative from the relevant union;
- While disciplinary procedures are being followed, work shall continue normally. No party shall be prejudiced as to the final settlement by the continuation of work;
- Confidentiality will be maintained.

KNC Management in consultation with the Board will determine whether a staff member will be dealt with under this policy or the Grievance, Warnings & Exit procedure, dependent on the nature of the misconduct or breach in protocols, implications for safety of services users and other staff. Nothing in this policy and procedures, however, shall restrict the organisation's right to summarily dismiss a staff member where gross misconduct (as defined above) has been proven.

2.0 SCOPE

This policy applies for all employees of Katoomba Neighbourhood Centre.

3.0 PHILOSOPHY

This policy establishes the framework to ensure that all staff member engaged in a disciplinary process have access to a fair and equitable procedure, timely and appropriate management of the disciplinary process.

4.0 DEFINITIONS

Gross Misconduct - includes serious breaches of organisational rules that can warrant the instant dismissal of an employee. Examples of gross misconduct include:-

- Assault (physical, sexual or emotional) of any employee, Board member, student, volunteer or client;
- Theft of property or funds from Katoomba Neighbourhood Centre, employees, Board members, volunteers, students or clients;
- Wilful or malicious damage to Katoomba Neighbourhood Centre's property, or the property of employees, Board members, volunteers, students or clients;
- Willfully or negligently endangering the safety of employees, Board members, volunteers, students, clients or the general public;
- Gross negligence in carrying out duties including serious breach of Katoomba Neighbourhood Centre's policies and procedures, including safety procedures;
- Intoxication through alcohol or other substances during working hours;
- Illegal or fraudulent acts while on duty Katoomba Neighbourhood Centre
- Falsification of the organisation's records for personal gain or on behalf of any other employee.

Misconduct - includes breaches of organisational rules that may either warrant instant dismissal or disciplinary action, depending on the severity of the breach. Examples of misconduct include:

- Verbal, physical or sexual harassment of any other employee, Board member, student, volunteer or client;
- The disclosure of confidential information regarding the organisation to any other party without prior permission;
- The disclosure of information concerning clients other than the information necessary to assist clients and to ensure their safety;
- Carrying on a private business from the organisation's premises, or using the service's resources or name for private business or personal gain;
- Failure to comply with the other aspects of Katoomba Neighbourhood Centre's Code of Conduct not already covered;

- Negligence in carrying out duties including serious breach of Katoomba Neighbourhood Centre and its various services policies and procedures, including safety procedures.

5.0 PROCEDURES

These Disciplinary Action Procedures include the following:-

- Dealing with unsatisfactory work performance;
- Dealing with gross misconduct.

5.1 Dealing with unsatisfactory work performance

The Manager, as part of her/his day to day management role, will hear, further investigate and seek solutions to work performance, attitudinal or other staffing issues. Minor performance issues should be dealt with by the relevant Service Coordinator or line manager on an informal basis, and through the regular formal performance appraisal process. Where issues arise involving a grievance or conflict between staff, Board members, students or volunteers, the Grievance, Warnings & Exit Policy should be referred to. In the event of an issue not being resolved in day to day management which has significant adverse consequences for the organisation, service users and or staff & volunteers, and where it concerns a staff member's performance of his/her duties, the following steps will be taken until satisfactory resolution is reached.

Step 1 Investigation

The relevant line manager/service coordinator will objectively investigate and identify performance concerns relating to the staff member. Before taking any action, and where appropriate, industrial relations advice should be obtained.

Where it is deemed that disciplinary action is warranted, the General Manager will advise the Board as soon as possible. The KNC General Manager has delegated authority to implement the disciplinary action process.

Step 2 Prior Notice of Initial Disciplinary Meeting

The General Manager will summarise the identified poor work performance issues with input from the relevant service coordinator (with examples where appropriate) in writing to the staff member, notify her/him that the disciplinary process has been initiated and of the intention to organise a disciplinary meeting. A copy of this Policy will be provided to the staff member. At least five days written notice of the meeting will be provided. The staff member involved will be advised he/she may attend the meeting (and any future disciplinary meetings) with an accredited representative of his/her relevant union or other

support person of his/her choice., and that the interview will be conducted by the KNC General manager and potentially a Board representative.

A copy of this written notice will be placed on the worker's personnel file and the Board will be formally notified that the process has been commenced at the next Board meeting.

Step 3 Disciplinary Meeting

At the formal disciplinary meeting, the General Manager will again provide detail of the performance concerns, as outlined in the notification letter (see Step 2), clarify the standard of performance required by the organisation and how the staff member must improve his/her performance. Opportunities must be provided for the staff member to respond to all issues raised during the course of the meeting. Where it is deemed necessary, the General Manager or their delegate may request separate documentation from the staff member involved outlining the issue from his/her perspective.

If the General Manager decides that concerns raised have been satisfactorily addressed at this meeting, there may be no need for further action, in this instance the staff member will be notified in writing that this is the case. A copy of this written notice will be placed on the worker's personnel file and the Board will be formally notified that the process has been concluded.

Step 4 First Written Warning

If the General Manager on consideration decides that concerns raised have not satisfactorily addressed in the disciplinary meeting, or that the issue under investigation is upheld and of such a nature that is demands formal warning , the GM will issue a written warning to the staff member. This warning will outline the nature of the issue and the standards or performance expected of the staff member. The warning shall also state the consequences of not meeting the required standards of performance such as further disciplinary action that could lead to termination of employment. This letter will need to be issued preferably the day after the meeting but no more than three working days after the meeting. A copy of this written warning will be placed on the worker's personnel file.

A work performance plan will also be prepared in consultation with the staff member and their line manager/service coordinator, which will include specific aims/tasks, a time frame, a review process, and identify who will carry out the review. A meeting date to review the staff member's performance will be set, if required. Any assistance needed by the staff member to improve his/her performance (additional training or mentoring) will be identified and provided, where possible.

The General Manager will report on the process and the outcome of the First Written Warning at the next Board meeting. The staff member will be advised that they have the right to present a written appeal to the full Board, with a union or other representative of their choice present.

Step 5 Review

KNC performance management plan processes run across a minimum 3 month timeframe, with clear parameters identified that the staff member must meet during this period. The staff members direct line manager/service coordinator will monitor the staff member's work performance against the performance management plan and record appropriate information objectively and accurately. They will meet with the General Manager to review progress at set intervals agreed to between all parties when the performance management plan is developed (see Step 4). The staff member involved will be advised he/she may attend the review meetings with a representative of his/her choice. All outcomes of the review meetings will be documented on the performance management plan. If all concerns have been satisfactorily addressed at the end of the performance management period, the staff member will be advised that the disciplinary action that resulted in performance management has ended.

The General Manager & relevant Service Coordinator will record notes of all disciplinary meetings and or performance management plan review meetings, and store all documentation in the worker's personal file.

Step 6 Second Written Warning

If the review process or at the conclusion of the performance management process, that the staff member's performance is still unsatisfactory, the issue will be referred to the Board for consideration of the staff members ongoing employment. In the event the issue for which the staff member received a previous written warning re-occurs during the following twelve months, the issue will be referred to the Board. Under these circumstances the General Manager will be re-initiate and repeat the procedures outlined in Steps 2 to 5. The disciplinary meeting and subsequent letter outlined in these steps will constitute a second written warning. Advice should be sought from the Fair Work Ombudsman, the relevant union, and/or the relevant employer association, where necessary.

Step 7 Decision whether to Terminate Employment

If the second review indicates that the staff member's performance is still unsatisfactory or if the issue for which the staff member received previous written warnings persists or re-occurs, the Board will need to consider further action on the recommendations of the General Manager and on review of all documentation related to the staff members' performance during the management period. The Fair Work Ombudsman, relevant union,

and/or relevant employer association should be consulted if any industrial, legal or ethical issues require further clarification. After investigation, the GM may make a recommendation to the Board to either terminate the employment of the staff member concerned or initiate a further warning. The decision to terminate the employment of a staff member must be made by a majority vote of the whole Board.

Nothing in this procedure, however, shall prevent the General Manager and or the Board from conducting further disciplinary meetings where the particular circumstances require it.

Step 8 Appeal

If the employment of the staff member is terminated, he/she will have the right to present a written appeal to the full Board, or ask to address the Board Executive with a union or other representative of their choice present. Either party may also refer the matter to:-

- Fair Work Australia - Ph: 1300 799 675
- Fair Work Ombudsman - Ph: 13 13 94

Step 9 Termination

The staff member being terminated will be sent a termination letter that includes reasons for the termination of employment and provides details of notice or pay in lieu arrangements. All arrangements for the termination of the employment of a staff member will follow the procedures as per the National Employment Standards and the relevant Award.

5.2 Dealing with gross misconduct

The following steps should be followed in cases where there are allegations of gross misconduct against a staff member.

Step 1 Investigation

The General Manager will collect all relevant material, objectively investigate and identify gross misconduct allegations relating to the staff member. Before taking any action, the Fair Work Ombudsman, the relevant union, and/or the relevant employer association must be contacted and consulted. Matters of a criminal nature must be reported to the Police.

Step 2 Notifying the Board

The General Manager will then notify the Board of the issue as soon as possible. Where the situation involves gross misconduct and requires immediate action, the Executive (office bearers) of the Board will have the authority to suspend the staff member, on full pay, from attendance at any premises or activity conducted by Katoomba

Neighbourhood Centre for up to twenty one (21) days whilst following the following procedures.

Step 3 Prior Notice of Initial Disciplinary Meeting

The General Manager on behalf of the Board Executive will prepare and forward a letter detailing the allegations of gross misconduct to the staff member, notify him/her that the disciplinary process has been initiated and of its intention to organise a full Board meeting for the purpose of discussing the reasons for the suspension and confirming or lifting the suspension. This letter must be given to the staff member concerned within 48 hours of the suspension. The staff member shall be given at least fourteen (14) days written notice of the date, venue and time of this Board meeting. He/she will also have the right to provide a written statement for distribution to the members of the Board prior to the meeting and to attend and speak at the meeting and to have an accredited representative of the relevant union or other representative of his/her choice present to speak on his/her behalf.

Step 4 Full Board Meeting

At this meeting, the Executive will outline the misconduct allegations, as identified in the notification letter (see Step 3). Opportunities must be provided for the staff member to respond to all issues raised during the course of the meeting. Detailed notes on responses to each issue or allegation will be recorded. The meeting may be recorded with the permission of all present. At the end of the meeting the staff member will be advised that the Board will need to consider the staff member's explanation and indicate a time-frame for when the staff member can expect a response.

Step 5 Further Investigation

The Board (or its delegated representatives) will then thoroughly investigate any matter which was raised in the meeting in defense of the staff member and about which they are not clear.

If it is decided that the allegations do not warrant dismissal the Board should refer to the Procedures for Dealing with Unsatisfactory Work Performance (at the beginning of this policy) and initiate a First Written Warning (See Step 4 of those Procedures).

Step 6 Termination

If the allegations of misconduct are proven and summary dismissal is warranted, the final decision must be made by a majority vote of members of the Board. The staff member will be advised of the Board's decision to terminate his/her employment and will be sent a termination letter that includes reasons for the termination of employment. All arrangements for the employment termination will follow the procedures as outlined in the

Award and the National Employment Standards. Please note:- no notice period is paid in the case of a summary dismissal.

Step 7 Appeal

The staff member will have the right to present a written appeal to the full Board, or ask to address the Board Executive with a union or other representative of their choice present. The Executive will consider the appeal, and may wish to further consult the full Board. The Executive will indicate a time-frame for when the staff member can expect a response. The staff member will receive a formal written notification of the outcome of the appeal. Either party may also refer the matter to:-

- Fair Work Australia - Ph: 1300 799 675;
- Fair Work Ombudsman - Ph: 13 13 94.

Complaints Management & Resolution

Human Resource Management Policy # 7

References:

Constitution

Corporate Governance Policies

Integrated Risk Management Policy

Quality Policy

Katoomba Neighbourhood Centre's Strategic Plan

Katoomba Neighbourhood Centre's Code of Conduct and Ethics

1.0 POLICY STATEMENT

This policy refers to complaints received by Katoomba Neighbourhood Centre from users of the service. It may refer to services provided by staff, use of facilities and resources or matters concerning the Katoomba Neighbourhood Centre Board. Where complaints, grievances or disputes arise that are initiated by staff or Board members or volunteers, this is dealt with separately under the Grievance, Warnings & Exit Policy (KNC Human Resource Policy #5) For the purposes of this policy, the person making the complaint will be referred to as *'the complainant'*.

Please note this policy does not cover situations where a complaint involves abuse or is of a criminal nature. In these situations, the relevant authorities are to be notified immediately.

2.0 SCOPE

This policy applies for all services, employees, volunteers and service users of Katoomba Neighbourhood Centre.

3.0 PHILOSOPHY

Katoomba Neighbourhood Centre and its services are committed to encouraging clients, service users, partners and community members to speak up when they have a concern or complaint. We respect their right to make a complaint without fear of retribution, and use complaints to review and improve service as appropriate. All complainants can expect to have their complaint dealt with by the service in a prompt, fair and equitable manner. Accordingly, when a complaint has been made, all efforts will be made to resolve the issue in a manner that:-

- Is timely, with it being dealt with at the time it arises, or as soon as possible thereafter.
- Is clear, so that complainants have access to and understand how the process works;
- Is flexible, with informal and formal, internal and external options of resolution offered;
- Is accessible, acknowledging that some complainants may need support, such as advocacy, to help them assert their rights.
- Acknowledges the rights of complainants to access external complaints' mechanisms. Complainants will be provided with information on the NSW Ombudsman and other relevant agencies;
- Ensures that the views of all involved are seen as having equal validity, unless proven otherwise;
- Ensures the process is non-discriminatory;
- Ensures the complainant feels comfortable to continue to access the service after making a complaint;
- Ensures the complainant can nominate the KNC staff person they wish to have as the key contact regarding the complaint (where the staff members agrees). The staff member nominated by the client as the key contact may not be the person carrying out the full investigation of the complaint, but they will have access to all relevant information and processes to be able to work with the client or their nominated advocate around the complaints investigation & resolution process. Where the client nominated staff person is considered to be part of the investigation of the complaint then the client will be given assistance to select another key contact;
- Respects the confidentiality of the complainant and all involved parties, other members of staff, management and other relevant parties;
- Acknowledges that the outcome of resolving a complaint is the improvement of service systems, and relationships between people and thus an improvement in the service.

In order for the above to occur, Katoomba Neighbourhood Centre will ensure staff are supported in dealing with complaints effectively.

4.0 PROCEDURES

As an overarching principle, Katoomba Neighbourhood Centre will endeavour to deal effectively with complaints at the time the complaint is made or the issue is outlined, or as soon as possible thereafter. Katoomba Neighbourhood Centre will aim to resolve complaints within a 3 week time frame, as far as possible, with review time frames included

in any agreements reached. Katoomba Neighbourhood Centre will acknowledge receipt of complaints wherever possible and practical in writing, or by phone, within 4 working days of the complaint being made. Procedures for complaints resolution are as follows:

4.1 Provision of information to clients about making a complaint

Clients are made aware of their right to make a complaint and how to do so by the following practices:-

- Clients, parents, service users are given information on the complaints process at the time of entry to the service or as close to entry as possible;
- Written information is provided directly to clients (e.g. included in individual service client/parent handbooks, client agreements) and displayed at the offices of Katoomba Neighbourhood Centre (see Complaints Resolution Flow Chart);
- Clients can elect to nominate the KNC staff member they wish to be the key contact regarding the complaint and the complaints process (where the staff members agrees and it is considered appropriate by KNC Management);
- Clients are informed of their right to access external complaints' mechanisms. Complainants will be provided with information on the NSW Ombudsman and other relevant agencies;
- Ongoing contact and reviews with clients includes encouragement of feedback about the service including complaints, clients and service users are encouraged to complete our Have Your Say feedback form;
- Clients are advised of their rights to have an advocate and that advocates can provide support if they wish to make a complaint);
- A copy of this policy and attached flow chart is available for any client, parent, service user and any other interested party at any time. The policy can be accessed in hard copy on request or publicly on the Katoomba Neighbourhood Centre website www.kncinc.org.au
- For clients accessing Katoomba Neighbourhood Centre in person or by phone to raise a general complaint, the volunteer receptionist will take the details of the complaint on the verbal complaint form and ensure the complainant is aware that the verbal report will be forwarded to the General Manager or relevant Service Coordinator to be followed up and that they will be contacted within 5 working days. Where the complaint involves a particular service or is related to a service being received, the complainant will be transferred to the relevant service Coordinator or

the rostered KNC back up staff member to deal with the initial process of taking the complaint.

4.2 Implementing the Complaints Resolution Procedure

Step 1 Informal procedure relating to facilities or resources - If the complaint relates to maintenance of facilities or resources, details of the complaint are taken by the staff member receiving it using the Verbal Complaints Form and either resolved immediately or referred to the Manager for follow-up action.

Step 2 Informal procedure for other easily resolvable matters - Where a complaint is seen to be able to be resolved quickly and informally by discussion between the client, service user, parent and the relevant staff member, then this is to be done in the first instance. Where the complaint involves other parties, the staff member will arrange discussions with these people promptly (at the latest within one week of receiving the complaint). If there is no breach of duty of care or breaches of Katoomba Neighbourhood Centre's policies, the staff member will explore options for resolution of the complaint with the complainant. This could involve provision of information, changes in service routines or procedures, mediation, or other options, depending on the nature of the complaint. Details of the complaint and its resolution are to be noted on the Complaints Resolution Check List and the electronic Complaints Register, with a copy of the complaint placed in the client's/families file .

If the complaint involves a member of staff, the person concerned is to continue to work in their normal position, at the discretion of the General Manager/Service Coordinator and depending on the nature of the complaint, whilst the resolution procedure is followed. Where a breach of duty of care is established directly involving staff, this is to be immediately referred for Disciplinary Action (complaints directly involving staff).

Step 3 Formal Procedure - If the complaint is not resolved to the satisfaction of all concerned in Step 1 or 2 or the complainant requests to go directly to making a formal complaint, the complainant will be encouraged to write down and sign the complaint. The complainant will be offered a copy of this policy and the Complaints Process Flow Chart, if this has not already been done.

The complainant will be advised they can either write a letter or use the Complaints Record Form. They should be advised to send it to:-

Attention: General Manager,
Katoomba Neighbourhood Centre
PO Box 197
Katoomba NSW 2780

If it appears that the complainant will have difficulty in putting the complaint in writing, they shall be assisted to do so with a staff member allocated to complete the Complaints Records form with the complainant, or assisted to find an appropriate advocate. The complainant can nominate the KNC staff person they wish to have as the key contact regarding the complaint (where the staff members agrees). Complainants will also be informed that in any of the following procedures, they are entitled to access an advocate or other support person of their choice. They should also be advised of alternative external complaints services such as the NSW Ombudsman, contactable on 1800 451 524, Aged Care Complaints Scheme on 1800 550 552, or Aged Care Advocacy on 1800 700 600, Commonwealth Ombudsman on 1300 362 072.

Step 4 All complaints in the first instance will be referred to the General Manager (and/or Katoomba Neighbourhood Centre Board if the complaint refers to the General Manager). All complaints will be acknowledged in writing or by phone in the event that no address is supplied but a contact number given. On receiving the complaint, the General Manager (or delegated Board member if the General Manager is directly involved in complaint) will:-

- Clarify the complaint;
- Identify what the complainant wants;
- Investigate the information received;
- Interview and confidentially the information with relevant staff
- Develop strategies for action;
- Ensure regular communication is maintained with the client.

All agreements reached should be written down on, or attached to the Complaints Record Form. This should include a plan of action and review process with time frames. All parties are requested to sign the agreement, to acknowledge their participation and acceptance.

Step 5 If it does not appear that the complaint can be resolved through discussion between the General Manager and people involved with the complaint, the matter should be referred to the Board.

The Board may establish a formal structure to review and convene a meeting within fourteen days with the complainant and/or their representative and all other parties involved in the complaint. All members must agree to confidentiality. A copy of the written complaint must be available to all parties engaged in the meeting.

Step 6 The Board structure will work towards a mutually-acceptable resolution of the problem. They may decide to:-

- Schedule more than one meeting to resolve the matter;
- Employ a mediator to assist in the resolution of the matter;
- Refer the matter to the full Board for resolution;
- Seek legal advice if appropriate. The full Board will be consulted before any legal action is taken.

All meetings must be minuted and these minutes must be tabled at the following Board meeting. The minutes must list the names of all present, the purpose of the meeting and the outcome. All proceedings of the meeting must be kept confidential unless agreed otherwise by those attending the meeting.

Step 7 If a person on the Board and/or any sub-committee puts in a formal complaint regarding the Organisation, they will stand down from that committee until the complaint has been finalised.

Step 8 If no resolution to the satisfaction of all parties has been reached, the complainant will be provided with information on how to access external complaints mechanisms (see contact details of the NSW Ombudsman in the Complaints Resolution Flow Chart).

Step 9 All details of the complaint are to remain confidential, unless a breach of duty of care is involved. The complainant's permission should be obtained prior to any information being given to other parties, including those people whose involvement may be desirable in order to resolve the complaint.

Step 10 All documentation relating to the complaint (including the Complaints Record Form and minutes of any meetings) must be filed appropriately (in a locked cabinet or password & permission protected if kept electronically), to ensure confidentiality is maintained. Copies of the documentation will also be held securely in the appropriate client/family file.

Staff Induction

Human Resource Management Policy # 8

References:

Constitution

Corporate Governance Policies

Integrated Risk Management Policy

Staff Position Descriptions and Job Specifications

Katoomba Neighbourhood Centre's Strategic Plan

Staff Training Register

Attachments:

Induction Checklist

Katoomba Neighbourhood Centre's Code of Conduct and Ethics

1.0 POLICY STATEMENT

This policy establishes a framework for ensuring all Katoomba Neighbourhood Centre's employees have clarification regarding their roles and responsibilities and are made aware of the key functions and strategic priorities of the agency, and of our internal quality control processes.

2.0 SCOPE

This policy applies for all employees, as well as volunteers or students on placement.

3.0 PHILOSOPHY

Induction of new members of the staff team will enable them to understand the internal culture and operational priorities of Katoomba Neighbourhood Centre and to orient themselves to their new role.

4.0 PROCEDURES

4.1 Induction Timeframes

The letter of appointment from the Board will confirm the commencing date for the successful candidate's induction, and will nominate the person designated to oversee the induction process.

All new appointees to Katoomba Neighbourhood Centre will commence induction during the first week of taking up their position, and will complete an Induction Checklist as verification of completion.

4.2 Induction Responsibilities

The GM or the employees direct line manager will officially welcome all new employees/volunteers/students on placement and introduce them to the members of the staff team.

The nominated mentor/supervisor will be responsible for facilitating the induction process, and for ensuring the new member understands his/her roles and responsibilities, reporting relationships, terms and conditions, staff entitlements, and standard operating procedures, and that he/she is familiar with the processes for accessing all controlled documents, including policies and procedures.

The nominated mentor/supervisor will also be responsible for ensuring mandatory workplace health and safety and fire safety training is completed during the induction period.

4.3 Confirmation of Completion

Orientation must be completed by the end of the three-month probationary period. The Induction Checklist must then be completed and signed by the incumbent. A copy of the signed Induction Checklist will be held in the employee's personnel file, as verification of completion of all induction requirements.

All employees/volunteers are required to sign the **Katoomba Neighbourhood Centre** Code of Ethics and Conduct during their induction, to confirm their acceptance of and commitment to the Code. A copy of the signed Code of Ethics and Conduct will be held in that member's personnel file, with the original returned to the employee/volunteer.

4.4 Records

The relevant mentor/supervisor is responsible for ensuring the signed Induction Checklist and Code of Ethics and Conduct are filed in accordance with this documented procedure.

The designated mentor/supervisor is also responsible for entering the dates of completion of the Induction program and mandatory training elements in the Staff personnel record.

Volunteer Management

Human Resource Management Policy # 9

References:

Human Resource Management Policy #7

Staff Induction

Workplace Safety Policy # 005.1 Duty of Care

Workplace Safety Policy # 005.8 Workplace Discrimination and Harassment

Attachments:

Induction Checklist

Katoomba Neighbourhood Centre's Code of Conduct and Ethics

Volunteer Application

Statement of Volunteer Rights and Responsibilities

Staff Training Register

1.0 POLICY STATEMENT

Volunteering is an integral part of our national culture and social mores. It offers the satisfaction of doing something worthwhile whilst at the same time contributing to the life of the community. Whilst we acknowledge that volunteers donate their time and energy for a variety of personal reasons, their combined voluntary labour makes an enormous economic contribution to the nation, and their efforts have a profound effect on the quality of life we all enjoy. Our volunteer workers provide a valuable source of additional human resources for Katoomba Neighbourhood Centre, thus increasing our capacity to attain our organisational goals. Volunteers have an accepted role to play as members of our staff team, and as such are entitled to the same conditions and considerations provided for paid staff.

KNC has a commitment to best practice in volunteer management. We strive to build and attain fair and equitable treatment of volunteers working in our Organisation. Volunteers should be managed in a manner that is collaborative and inclusive. KNC acknowledges volunteer rights, including the need to ensure respect and dignity at all times are afforded to our volunteer workforce.

2.0 SCOPE

This policy has application for all volunteers of Katoomba Neighbourhood Centre, including those offering their services as students on placement, and to their direct line supervisors and other members of the staff team.

3.0 DEFINITIONS

A *volunteer* is defined as an unpaid member of our staff team. All policies and procedures, forms and documents making reference to “staff” or “workers” or “KNC representatives” are to be interpreted as inclusive of all members of our team, both paid and unpaid.

4.0 PHILOSOPHY

We acknowledge that volunteering is a legitimate way in which residents to participate in the activities of their community, and contribute to improved wellbeing for community members. Their purpose in choosing to volunteer their time and abilities for community benefit aligns well with our commitment to the principles of community development and capacity building. We therefore enthusiastically support the volunteering movement. Volunteers are accepted as a valued part of our staff team, and their individual and collective contributions are acknowledged. KNC is a signatory to the Statement of Principles for the recognition of Volunteers, adopted in NSW in 2014. Our Organisation upholds these principles of care, respect and dignity for all our people:-

- KNC demonstrates a commitment to best practice in volunteer management and all our people respect and support this commitment
- KNC volunteers and involved in the life of the Organisation and are included in decisions that affect them
- KNC provides volunteers with clarity about their roles and is clear about expectations and policies that impact on their roles
- KNC volunteers respect the roles of everyone in the Organisation
- KNC recognises and celebrates the contribution of volunteers
- KNC volunteers are provided with training and professional development for their roles
- KNC provides all our people the opportunity to resolve disputes with respect and dignity
- KNC volunteers uphold the rights and responsibilities of clients

5.0 PROCEDURES

5.1 Clarity of Role

Volunteers are not substitutes for paid staff. Their role is one of support and supplementation, enabling us to expand our capacity in administration and client activities through maximising the chosen contribution of each volunteer.

A climate of mutual respect and confidence will at all times be engendered between paid and unpaid members of the staff team, with all staff being given appropriate levels of support, training, education, supervision and debriefing.

All volunteers of Katoomba Neighbourhood Centre will be provided with a position description and or volunteer rights responsibilities and conditions of service relevant to the

specific KNC area of volunteering (volunteers are required to sign the Volunteer Rights & Responsibilities/Conditions of Service and the KNC Code of Conduct and return them to the relevant service Coordinator – see Volunteer Rights & Responsibilities/Condition of Service Form). All volunteers accepted into the Organisation are placed within roles specific to their individual skills and qualifications, preferred work area, and availability, as indicated by them in their Volunteer Registration of Interest (KNC General reception, support services, KOOSH, CCD & Vale St), or in the service specific Volunteer Application in the case of Volunteer Home Visitors and Community Visitors Scheme.

5.2 Engagement and Induction

Once a Volunteer Registration of Interest or a service specific Volunteer Application form has been received, the relevant service coordinator reviews the application against available volunteer vacancies and their identified preferences. All volunteers expressing interest are placed on a central register. Volunteers who have indicated their preference as community visiting, will be forwarded to the relevant Volunteer Home Visitor, Community Visitors Scheme of HACC Program Coordinator for review, contact and recruitment. For the general volunteer pool (reception, KOOSH, Vale St), the Service Support Coordinator will review the available current opportunities, if there is a suitable opening, they are contacted and requested to attend a face to face interview with the Coordinator. If there are no openings, volunteers receive a courtesy call to notify them that there are no available openings and that they are being placed on a register. They will be followed up and updated quarterly, or as an appropriate vacancy arises.

For all volunteers, when an appropriate vacancy/opportunity is available the relevant Coordinator will conduct an initial interview with the prospective volunteer, to discuss his/her expectations, their individual skills and how they can best be aligned with the tasks to be performed. For the home/community visiting programs the volunteers are also assessed against their potential to be matched to a specific community client based on skills, experience, interests and hobbies. Volunteer rights and responsibilities will be provided, discussed and explained, and the volunteer will be also be provided with a copy of the Katoomba Neighbourhood Centre Code of Conduct, and their obligations to comply with our codes of ethical practice discussed.

Rostered days and hours of work will be negotiated based on the agreed duties and tasks to be performed, and on the individual's availability.

All volunteers will be provided with the same induction program offered to paid staff. Information will be provided on our organisational goals, mission, policies and procedures, workplace safety guidelines and instructions, reimbursement practices and grievance mechanisms. The Induction Checklist is to be signed on completion of the induction program.

A three-month probationary period applies for all appointments within Katoomba Neighbourhood Centre. At the end of this period the volunteer will meet with his/her Coordinator to discuss satisfaction levels for both parties. At this point, a change of role may be negotiated.

5.3 Unsuccessful Volunteer Applications

Katoomba Neighbourhood Centre acknowledges the good will shown by persons expressing an interest in volunteering with the Organisation. However, not all potential volunteers can be placed due to vacancy or appropriateness for the tasks involved. In this instance the prospective volunteer will be informed in writing that they are unsuccessful at this time and that they will be placed on a register for a period of 6 months. If they have not been placed after this period they will be removed from the register.

5.4 Statement of Volunteer Rights and Responsibilities/Conditions of Service

All Katoomba Neighbourhood Centre volunteers are required to sign the *Statement of Volunteer Rights and Responsibilities/Conditions of Service* as confirmation of their understanding and agreement. One copy is to be retained by the volunteer for their own records. The other is to be retained by the relevant Coordinator in their personnel/service file.

The *Statement of Volunteer Rights and Responsibilities/Conditions of Service* includes an explanation of the rights of clients of Katoomba Neighbourhood Centre, and of the expectation that as members of the staff team, volunteers will acknowledge, respect and support clients in exercising their rights.

5.5 Code of Conduct

All Katoomba Neighbourhood Centre volunteers are required to sign the *Code of Conduct* as confirmation of their understanding and agreement to comply with our standards of ethical conduct and practice. One copy is to be retained by the volunteer for their own records. The other is to be retained by the relevant Coordinator in their personnel/service file.

The *Code of Conduct* includes the confidentiality obligations owed by all staff to Katoomba Neighbourhood Centre and its clients, and is a requirement of engagement in any role within Katoomba Neighbourhood Centre. Volunteers are also required to understand and abide by the KNC Privacy Policy and the Access to Confidential Information Policy, contained within the KNC Information & Records Management Policy Manual.

5.6 Supervision, Support and Training

Our aim is to offer a satisfying work experience for our volunteers. Each volunteer will be allocated to a Service Coordinator, whose role is to guide, mentor and support the volunteer in his/her role, and to provide training on aspects of their role in specific services and on our standard operating procedures.

Volunteers are encouraged to attend all in-service training programs offered to paid staff, as well as service specific volunteer training opportunities offered within specific services. It is expected that all volunteers will participate in mandatory annual training on workplace safety and fire safety, and first aid training each three years, in compliance with our regulatory obligations.

Volunteers will be given feedback on their work performance by their Coordinators formally and informally, and will have an opportunity to discuss with them any individual training or skills relevant to their role that may assist them. Volunteer training is included in the budget allocations in each service utilising volunteers for this purpose (refer to *Statement of Volunteer Rights and Responsibilities*).

5.7 Volunteer Protection

All volunteers are protected by public liability and personal accident insurance cover whilst undertaking their volunteer role.

All staff, both paid and unpaid, will be protected from any form of discrimination, intimidation, abuse or harassment in the workplace, in accordance with our documented policies and procedures for Workplace Safety. Volunteers who feel that they are experiencing any form of discrimination, intimidation, abuse or harassment in the workplace are required to inform their Coordinator and utilise the KNC Grievance procedure if it involved another member of staff or Board. If the Coordinator is identified as part of the issue, the Volunteer is to notify the KNC General Manager, who will then also follow the required KNC policies and procedures.

5.8 Volunteer Participation

As valued members of our staff team, volunteers are actively encouraged to attend staff meetings and to participate in continuous quality improvement activities. Suggestions for improving systems and operating procedures are welcomed, and may be submitted at any time by completing a Tell Us What You Think Feedback Form.

5.9 Recognition

Annual events are undertaken to celebrate and recognise our volunteer workforce. Routine events are conducted in Neighbourhood Centre week, Seniors week, Volunteers Week, Carers Week and at Christmas. Individual volunteers may be nominated for appropriate regional recognition awards e.g. seniors week. Celebrations of volunteer contributions will be marked during annual Volunteers' Day.

Katoomba Neighbourhood Centre will give public acknowledgement of the contributions made by our volunteers, in the Annual General Report with all volunteers appearing in the Honour Roll. The Annual General Report is distributed to Members, funding bodies, and stakeholders.

Employee Work Supports

Human Resource Management Policy # 10

References:

KNC Code of Conduct

Staff Induction

Organisational Governance – Code of Conduct

Work Health Safety – Motor Vehicles

Attachments:

Induction Checklist

Katoomba Neighbourhood Centre’s Code of Conduct

1.0 POLICY STATEMENT

Katoomba Neighbourhood Centre acknowledges the changing nature of service delivery and to that end endeavours to support its staff by enabling access to the appropriate technology and physical resources to enable them to practice effectively in a community context.

2.0 SCOPE

This policy has application for all staff of Katoomba Neighbourhood Centre, including those students and volunteers.

3.0 DEFINITIONS

A *volunteer* is defined as an unpaid member of our staff team. All policies and procedures, forms and documents making reference to “staff” are to be interpreted as inclusive of all members of our team, both paid and unpaid.

Employee Work Supports in this context refers to those technical, electronic and alternative modes of communication that are supplied to staff to assist them perform their duties

4.0 PHILOSOPHY

We acknowledge that in delivering a diverse range of service within the community context it is increasingly necessary to support staff through the provision of technologies that assist them in their roles and become an integrated part of daily work practice. Staff will be assisted to embrace new ways of working including the required education and training to enable use of new technologies to assist in their work.

5.0 PROCEDURES

5.1 Access to and use of resources

KNC will endeavour to provide staff access to effective mobile technology that enables them to access all KNC information management systems and client document systems when they

are providing service off site, within the community and in people's homes. This is designed to assist staff work with clients and provide service in real time and reduce duplication and handling data multiple times.

5.2 Wireless Broadband Capable Tablets and Lap top Computer Access

KNC will have available to staff a pool of IT equipment, mobile phones and portable wireless dongles to enable them to operate safely and in a paperless model when providing service off site. This will also enable a more interactive environment for clients who can see the plans being developed with the staff member, maintain connection with the main site and email communication system and improve overall efficiency as data is not being double handled to enter into the system. Staff will book the equipment required on the day required; log the equipment out of the pool using the tracking system and back into the equipment pool on return to the main site. All KNC representatives will take due care in maintaining and ensuring all KNC provided equipment is treated, handled, stored and carried responsibly to minimise loss and theft. The equipment is for authorised purposes only and all KNC representatives will take responsible steps to prevent misuse by others.

5.3 Mobile Phones

The General Manager, all Service Coordinators, the Blue Mountains Home Modification & Maintenance permanent field staff will be issued with work mobile smart phones.

Staff are required to ensure that due care will be taken in maintaining and ensuring all KNC provided equipment and that it is treated, handled, stored and carried responsibly to minimise damage, loss and theft. Use of the mobile phones, internet, social media networks and other associated technologies will be work/role related and are not for regular personal use, however Management acknowledges that at times staff need to access these resources for personal use. All KNC mobile phones will be placed on an appropriate plan supporting the specific work activity of the position. Monthly bills will be distributed to the relevant staff member and they will be asked to indicate on the bill which calls are personal use. If the monthly calls exceed the plan cap the staff member is required to reimburse the Organisation for their personal calls in that period. Random audits of all KNC mobile technology are undertaken by Management. Where staff are identified as misusing KNC resources or their work related time, they may face formal warning or disciplinary action.

5.4 Internet and Email

KNC staff and volunteers are provided with Internet access and email for legitimate business purposes only. Reasonable personal use is permitted in non work time e.g. lunch time, subject to the limitations set out below.

- KNC reserves the right to monitor (log) email and internet use in order to maintain the standards set out in this policy and the security of KNC's computer system. The

General Manager & Manager Finance & Resources or their delegate has the right to access information so logged.

- Employees must report to their immediate supervisor the receipt of inappropriate material through electronic media. Inappropriate material is to be viewed by the immediate supervisor and/or Service Coordinator or the General Manager as a matter of urgency. Relevant details are to be recorded appropriately.
- Access by KNC staff to inappropriate sites may result in notification to the relevant authorities for external investigation

5.5 Use of KNC Vehicles

KNC does have a fleet car accessible to staff for work related use e.g. home visiting. The car is booked using the car booking calendar in the KNC electronic calendar system, collected from the KNC staff car park and returned there for the next working day. Overnight garaging at a staff members home overnight due to the schedule of visits is acceptable with permission required by the General Manager. Use of KNC's vehicles is conditional upon the respective driver holding a current C Class NSW Driver's License. Staff must supply Roads and Maritime certificate of their driving record prior to being granted permission to access the general fleet car. The BMHMMS trades staff are individually allocated a KNC vehicle, purpose fitted for their requirements. During periods of leave the trade vehicles will be garaged at the BMHMMS workshop. These vehicles may be accessed by other KNC staff on authorisation of the General Manager. Smoking is not permitted in KNC vehicles. Private use of KNC vehicles is not permitted.

5.6 Use of Private Vehicles for KNC Purposes

To enable staff to undertake their community activities, KNC allows the use of staff member's private vehicles for work related purposes. KNC reimburses the staff member on a per km rate. Use and approval is subject to the following conditions being met in respect of insurance coverage:

- the vehicle being used must be comprehensively insured (for volunteers the vehicle must cover third party insurance)
- the insurer must have been informed that the vehicle may be used for business purposes in order that individual policies may be suitably endorsed.

EEO Equity and Diversity

Human Resource Management Policy # 11

References:

Commonwealth Racial Discrimination Act 1975,
Commonwealth Sex Discrimination Act 1984,
Australian Human Rights Commission Act 1986 (Cth),
Commonwealth Disability Discrimination Act 1992 and
Commonwealth Age Discrimination Act 2004,
Commonwealth Equal Opportunity for Women in the Workplace Act 1999 (Cth)
KNC Code of Conduct
Staff Induction
Organisational Governance – Code of Conduct
Attachments:
Induction Checklist
Katoomba Neighbourhood Centre’s Code of Conduct

1.0 POLICY STATEMENT

This policy outlines the responsibilities that Katoomba Neighbourhood Centre and its staff have to:

- providing equal employment opportunity (EEO) to all prospective and current staff
- promoting a fair and equitable work environment
- complying with all relevant anti-discrimination legislation
- creating and maintaining an environment in which diversity is valued, human dignity respected and people treated with equity and tolerance
- ensuring staff and visitors are free from any forms of discrimination, harassment or victimisation.

This policy recognises that EEO is an employment obligation and a legal responsibility. All decisions relating to employment opportunities, including recruitment and promotion, will be based on merit. These principles will be applied to situations including but not limited to the following:

- recruitment and selection
- promotion or temporary higher duties
- decisions on flexible work conditions such as working hours
- supervision and discipline
- reimbursement or compensation
- access to benefits
- access to professional development and training.

2.0 SCOPE

This policy has application for all staff of Katoomba Neighbourhood Centre.

3.0 DEFINITIONS

EEO refers to Equal Employment Opportunities. EEO means that all peoples regardless of gender, race, colour, age, marital or parental status, sexual preference, disability or religious belief have the right to be given fair consideration for a job or other job related benefits such as staff training and development.

4.0 PHILOSOPHY

KNC recognises that EEO is an employment obligation and a legal responsibility. All decisions relating to employment opportunities, including recruitment and promotion, will be based on merit. No individual will be discriminated against based on gender, race, colour, age, marital or parental status, sexual preference, disability or religious belief have the right to be given fair consideration for a job

5.0 PROCEDURES

5.1 Equal Employment Opportunity (EEO)

Katoomba neighbourhood Centre will apply the principles of Equal Employment Opportunity (EEO) to all employment related decisions and treat all employees fairly and equitably with regard to individual circumstances or attributes defined by:

- race
- ethno-religious background
- nationality, ethnic or national origin
- gender
- marital status
- pregnancy
- family or carer responsibilities
- breast feeding
- disability (physical, intellectual, psychiatric)
- HIV/AIDS status
- political or religious conviction
- age
- sexual preference
- transgender status
- trade union activity

These principles will be applied to situations including but not limited to the following:

- recruitment and selection
- promotion or temporary higher duties
- decisions on flexible work conditions such as working hours
- supervision and discipline
- reimbursement or compensation

- access to benefits
- access to professional development and training.

5.2 Anti-discrimination

In addition to the application of EEO in employment, all staff must ensure that the workplace is free of any form of direct or indirect discrimination related to any of the individual circumstances or attributes listed above. This includes the following:

- Harassment: any form of behaviour that is not wanted, not asked for, and that humiliates someone, offends them or intimidates them.
- Vilification: any public act that is likely to incite hatred, serious contempt or severe ridicule for a person or a group of people.
- Victimization: when someone is treated unfairly because they have made a complaint about discrimination, or helped someone else make one.

Staff who believe that they are subject to any form of discrimination outlined above or who are aware of the incidence of such behaviour should follow Katoomba Neighbourhood Centre Grievance Procedure. Staff may also seek assistance from an external body such as [State Anti-Discrimination Board or EEO Commission].

5.3 Exemptions from Anti-Discrimination Legislation

If there is a need to establish a staff position targeted to a particular group in order to promote equal employment opportunity, Katoomba Neighbourhood Centre may apply for an exemption under the relevant section of State Anti-Discrimination legislation.

Katoomba Neighbourhood Centre may establish a position targeted to a particular group where the attribute of that group is a genuine occupational qualification under section 14 of the Anti-Discrimination Act, without applying for a formal exemption.