



Grower Group Alliance

Policies & Procedures Guide

What are Policies & Procedures?

A **Policy** is a statement of agreed intent that clearly and unequivocally sets out an organisation's views with respect to a particular matter. It is a set of principles or rules that provide a definite direction for an organisation. Policies assist in defining what must be done.

Policies are:

- The description of the service's commitments to key determinants of quality;
- The guiding principles of an organisation;
- Broad guidelines to decision making;
- Not directives;
- The basis of the organisation's procedures and instructions.

Policies are the guiding principles of service. Unlike procedures, they do not tell the reader exactly how something will be done. Policies simply set the signposts.

A **Procedure** is a clear step-by-step method for implementing an organisation's policy or responsibility. Procedures describe a logical sequence of activities or processes that are to be followed to complete a task or function in a correct and consistent manner. Procedures can be produced in the form of: flowcharts; checklists; written; steps of the process.

Procedures are:

- Based on the organisation's policies;
- The recipe as to how things get done;
- Specific step by step directions.

Where policies provide the signposts or guidance, the procedures tell people how things will be done. A procedure specifies what will be done, when, and by whom and what records are to be kept. It is the 'recipe' by which the policies are enacted.

What goes into a policy manual?

The key determinants of quality for your organisation or service should appear in your policy manual.

A focus on the key determinants of quality will help contain your policy and procedure manuals to useful and manageable proportions.

How do you work out what these might be? What do your key stakeholders think? What does Government think, e.g. specific acts, regulations, related acts (OH&S) and industry standards?

What governs your organisation e.g. strategic plan, mission, vision, values, philosophy?

For each key determinant of quality write one policy. Remember these are sign posts and commitments to quality. Use a standard format.

Policies should be written to a standard format to comply with community standards and meet various accreditation requirements. To ensure consistency, currency, inclusion of all relevant pages, authorisations and appropriate timing of reviews, it is important that a standard header and footer¹ be used for all policies, procedures and work instructions.



The header must give:

- The name of the organisation;
- The name of the unit or service stream if the document is specific to one area;
- The title of the policy (or procedure or work instruction);
- Issue date and issue number (including if relevant, dates when the policy or procedure comes into force or terminates); and,
- Page number expressed as a part of that particular document (or procedure or work instruction).

The footer must:

- Give the name and title of the authorising officer; and
- Be signed and dated by the authorising officer.

The procedure is structured to provide details of:

- Purpose and scope: specifying purpose of procedure, the area covered, exclusions;
- Responsibility for implementing procedure: specifying who will implement the procedure;
- Procedure: listing (or depicting) sequentially exactly what must be done and noting exceptions;
- Documentation: listing documents to be used with the procedure and attaching examples of completed documentation, if appropriate;
- Records: listing any records created as a result of using the procedure, where they are stored and for how long; and,
- Authorisation and date: signed and dated by the person authorising the procedure.

What else is needed in a manual?

- *Title Page, specifying the organisation.*
- *Table of Contents, including page numbers.*
- *Amendment Records*
- *Confidentiality Specifications.* Organisations may choose to specify confidentiality and copyright restrictions. For example, 'This manual details policies and procedures relevant to the Grain Grower Group. Unauthorised copying or distribution is prohibited'.
- *Distribution List.* This section should specify:
 - Issue date and number;* that is, the date on which the manual was first issued, or on which a revised version was issued;
 - Number of manuals issued;*
 - Who holds copies of the manual.* To maintain currency, this should be specified by job title, not individual names; and,
 - The position of the staff member responsible for issuing revisions to the manual.*



Policy Review Process

A staff meeting or a Board/Management Committee meeting should include a review session once every 12 months. This should consider organisational manual and ask whether each policy in it is still relevant and appropriate. If not, a process would be followed to revise the existing policy or develop a new policy

Tip: In small organisations wanting to develop an organisational manual, consider the following:

- *Devote time at a staff meeting at least once a month to brainstorm issues related to one area of policy*
- *Review the draft of a policy that has been prepared as a result of previous brainstorming*
- *At every Board/Management Committee meeting, devote some time to reviewing a draft policy and making decisions on it.*

Developing your policies and procedures

The intention of this is to be a guide for groups developing their own policies and procedures. The DRAFT gives headings for each policy. Each topic then has a number of dot points the group may consider developing policy around – this is not exhaustive, nor are all dot points required to be included in a group's policy. It provides a starting point for a group to work through and develop their policy from. For more complex or operational policies, associated procedures may be developed (for example, record management).

This document is a guide only, and is intended to provide a basis for drafting policy which meets the needs of a grower group in developing policies and procedures relevant to their group. It should be considered open for modification. These examples are by no means exhaustive, and should be considered in conjunction with group strategies and operations. The Grower Group Alliance accepts no legal responsibility in relation to the application of these policies and procedures. Grower groups are advised to seek independent, qualified professional assistance to compile or review significant or legally sensitive policies or procedures, particularly those where legislation applies, such as those pertaining to governance, staff engagement, employee conditions, financial management, O H & S etc.



DRAFT PAGE

Title:

Policy number:

Purpose:

Scope:

Policy Statement:

Guiding Principles:

Delegations:

Related Policies:

Dates:

Procedures: Guidelines for Implementing the Policy

Structural: Who does the responsibility lie with?

Operational:

Maintenance:

Review:



Topics Guide

Overview

- Organisational structure/chart
- Organisational values
- Mission and/or Vision
- Strategic plan

Corporate governance

- Group corporate governance
- Delegations
- Roles & responsibility of employees and board/committee
- Code of Conduct for employees and board/committee
- Performance indicators for board/management committee members
- Accountability
- Conflict of Interest disclosure & management
- Managing non-compliance
- Risk management
- Financial management, including; delegations; audit requirements; reporting
- Conditions of employment, including:
 - o Position descriptions (duties)
 - o Work hours (minimum & maximum hrs/day and week)
 - o Overtime and Time in Lieu
 - o Leave conditions (sick leave, bereavement leave, leave without pay, annual leave, long service leave, parental leave, personal leave, emergency services volunteer roles, jury duty)
 - o Timesheets
 - o Staff travel
 - o Meal, accommodation and incidental allowances/reimbursement
 - o Corporate credit card usage
 - o Working from home
 - o Vehicle usage (corporate and private vehicles)
 - o FBT

- o Other equipment usage (eg. use of tools, equipment or facilities for private benefit)
- o Requirements for working in remote locations and/or on private property
- o Dress standards

Occupational safety and health

- Occupational health & safety management
- Workplace Health & Safety Act 1995 and Amendments
- OHS checklist
- Workplace incident/accident reporting and investigation procedures
- OHS Incident Register
- Injury/Insurance Record
- OHS Communication
- Risk management procedure
- Manual handling procedures
- Workplace health & safety representative
- Fire control and evacuation procedure
- Furniture & equipment
- Visual Display Units and Eye Strain
- Motor vehicle safety
- Personal protective equipment and clothing
- Stress
- Smoking, alcohol and other drug use
- Noise
- Dust
- Pandemic
- Permit to work - confined spaces, hot work, dangerous materials/operations
- Storage and handling of poisons; location of MSD sheets
- Bullying and harassment
- Children in the workplace
- Mandatory rest/meal breaks
- First Aid Station/kits (location, currency of contents (expiry dates), procedure for restocking)



- Workers Compensation and injury management
- Volunteer Personal Accident Insurance

Employee performance, training and development

- Staff reporting procedures and formats
- Staff supervision
- Performance development & training
- Mentoring and coaching
- Team meetings
- Performance appraisals
- Staff performance dispute and grievance procedure
- Employee exit procedure
- Exit interview record

Recruitment, selection and induction of employees and board/committee

- Policy & Processes for recruitment of staff, including: advertisements for staff positions; short listing; interview panel; interview processes; standard interview questions
 - o Equal Employment Opportunity/Workplace Harassment Policies
 - o Anti-Discrimination Laws, Federal Racial discrimination Act 1975, Federal Sex Discrimination Act 1984, Federal Disability Discrimination Act 1992
- Recruitment and selection for new Board members
- Position description forms
- Appointments & Contracts
- Job Sharing
- Suitability checks/police checks for employees
- Procedure for starting a new member of staff or contractor
 - o Orientation
 - o Appropriate induction training/kit
 - o Buddy/mentor systems

- Probation and termination

Security

- Workplace security and procedures
- Confidentiality
- Documentation and files
- Passwords
- Incident reporting

Project management

- Responsibility and reporting
- Reporting structure and frequency
- Link to business/strategic plan
- Project development and innovation, procedure for development
- Project scheduling, output scheduling and contracts
- Contract management plans
- Project budgets and cash flows
- Milestones

Procurement & quotations

- Competitive procurement process
- Quotation requirements in accordance with dollar values
- Criteria for assessment
- Committee for assessment
- Notification of successful/unsuccessful applicants
- Engagement and management of casual staff or sub-contractors

Intellectual property

- Use of group resources
- Registration of IP
- Acknowledgement of documents, items, presentations, resources, pre-existing IP etc
- Inclusion in contracts
- IP disputes



Privacy and confidentiality

- Collection, use and disclosure of information
- Committee/board confidentiality
- Staff confidentiality
- Responding to board/management committee or Freedom of Information requests

Records information management

- Content and extent of records and information management
- Accessibility and storage
- Employee responsibility
- Correspondence management

- Archiving
- Insurance
- Insurance register (what policies will be included/obtained by the group; certificates of currency)

Disclaimer

- Electronic communication
- Published and unpublished documents

Technology & Media

- Computer usage
- Telephone usage
- Social media & internet usage
- Software licensing
- Communication with the media



Title: Corporate Governance

Policy number: Grain Grower Group Policy 1 (GGGP1)

Purpose: The purpose of the Corporate Governance Policy is to provide the Grain Grower Group Board and Executive Manager with guidance in relation to their responsibility and accountability, in accordance with good governance principles and guidelines.

Scope: GGG Board, Executive Manager and all employees

Policy Statement: GGG will use good governance principles to provide the Board and employees with a framework for effective accountability, to achieve the GGG objectives.

Guiding Principles:

- Corporate governance is the system by which Grain Grower Group is managed, and sets the precedent to how objectives and strategies are set and achieved, how risk and performance are managed.
- Board meetings will be undertaken according to good governance principles, with transparent decision making and recording, and confidentiality maintained where required.
- GGG will comply with regulatory reporting and disclosure requirements, and maintain clearly defined, robust relationships with stakeholders.
- GGG will maintain and manage an appropriate risk management strategy.
- GGG will comply with ethical standards, maintain a defined Code of Conduct for board and employees, and maintain an Ethics Committee which is active as required.
- GGG will adhere to the strategic plan, and undergo regular budgeting and monitoring.
- Board and committees will have a charter with clearly defined roles and responsibilities
- Employees will have a defined relationship with management, and clear roles and responsibilities.

Delegations: Nil

Related Policies: All

Dates: Created June 2013

Procedures: Guidelines for Implementing the Policy

Structural: Board, Executive Manager

Operational:

- Delegations: the Board can delegate authority to the Executive Manager in a written document to be exercised to the benefit of Grain Grower Group, within specified limits and items. The Executive Manager can delegate authority to employees as appropriate.
- Roles & responsibility of employees and board/committee are clearly defined within Position Description Forms and each will be reviewed as required, or at a minimum, biennially
- Code of Conduct for employees and board/committee: A Code of Conduct will be developed and agreed to by the Board, and adhered to by all Board members and employees. This covers all aspects of Grain Grower Group operations. This will ensure the Grain Grower Group is accountable and transparent, and the group's business is conducted openly and in accordance with good governance. *(The Code of Conduct should be included following this policy and procedure.)*
- Recruitment and selection of staff and board: recruitment and selection will be carried out in accordance with the associated policy and procedures, and legal requirements.
- Conditions of employment (including leave conditions, computer and telephone usage, working from home, leave without pay)

Maintenance: On-going by board

Review: Annually



Good Governance Self-Assessment

Adapted from ASX Corporate Governance Principles and Recommendations 2nd Edition ASX Corporate Governance Council (2007).

Use this assessment to document how your organisation currently conducts each activity and note any actions that may be required to meet each principle.

<p>ASX Governance Principle 1: Lay solid foundations for management and oversight</p>
<p>Description <i>Organisations should establish and disclose the respective roles and responsibilities of board and management</i></p>
<p>Practices</p> <ul style="list-style-type: none"> - Enable the board to provide strategic guidance for the company and effective oversight of management - Clarify the respective roles and responsibilities of board members and senior executives in order to facilitate board and senior executives accountability to both the company and its stakeholders - Ensure a balance of authority so that no single individual has unfettered powers
<p>ASX Governance Principle 2: Structure the board to add value</p>
<p>Description <i>Organisations should have a board of an effective composition, size and commitment to adequately discharge its responsibilities and duties</i></p>
<p>Practices</p> <p>An effective board is one that facilitates the effective discharge of the duties imposed by law on the directors and adds value in a way that is appropriate to the particular company's circumstances. The board should be structured in such a way that it:</p> <ul style="list-style-type: none"> - Has a proper understanding of, and competence to deal with, the current and emerging issues of the business - Exercises independent judgement - Encourages enhanced performance of the company - Can effectively review and challenge the performance of management
<p>ASX Governance Principle 3: Promote ethical and responsible decision-making</p>
<p>Description <i>Organisations should actively promote ethical and responsible decision-making</i></p>
<p>Practices</p> <p>To make ethical and responsible decisions, companies should not only comply with their legal obligations, but should also consider the reasonable expectations of their stakeholders, employees, customers, suppliers, creditors, consumers and the broader community in which they operate. It is a matter for the board to consider and assess what is appropriate in each company's circumstances. It is important for companies to demonstrate their commitment to appropriate corporate practices and decision making.</p> <p>Companies should:</p> <ul style="list-style-type: none"> - Clarify the standards of ethical behaviour required of the board, senior executives and all employees and encourage the observance of those standards - Comply with their legal obligations and have regard to the reasonable expectations of their stakeholders
<p>ASX Governance Principle 4: Safeguard integrity in financial reporting</p>
<p>Description <i>Organisations should have a structure to independently verify and safeguard the integrity of their financial reporting</i></p>



<p>Practices</p> <p>This requires organisations to put in place a structure of review and authorisation designed to ensure the truthful and factual presentation of the organisation’s financial position. The structure would include, for example:</p> <ul style="list-style-type: none"> - Review and consideration of the financial statements by the audit committee - A process to ensure the independence and competence of the organisation’s external auditors - Such a structure does not diminish the ultimate responsibility of the board to ensure the integrity of the organisation’s financial reporting

<p>ASX Governance Principle 5: Make timely and balanced disclosure</p>
<p>Description</p> <p><i>Organisations should promote timely and balanced disclosure of all material matters concerning the company</i></p>
<p>Practices</p> <ul style="list-style-type: none"> - When required stakeholders have equal and timely access to material information concerning the organisation – including its financial position, performance, ownership and governance - Information provided to stakeholders is factual and presented in a clear and balanced way. “Balance” requires disclosure of both positive and negative information

<p>ASX Governance Principle 6: Respect the rights of stakeholders</p>
<p>Description</p> <p><i>Organisations should respect the rights of stakeholders and facilitate the effective exercise of those rights</i></p>
<p>Practices</p> <p>Organisations should empower their stakeholders by:</p> <ul style="list-style-type: none"> - Communicating effectively with them - Giving them ready access to balanced and understandable information about the company - Making it easy for them to participate in general meetings

<p>ASX Governance Principle 7: Recognise and manage risk</p>
<p>Description</p> <p><i>Organisations should establish a sound system of risk oversight and management and internal control</i></p>
<p>Practices</p> <p>Risk management is the culture, processes and structures that are directed towards taking advantage of potential opportunities while managing potential adverse effects.</p> <p>Risk management should be designed to:</p> <ul style="list-style-type: none"> - Identify, assess, monitor and manage risk - Identify material changes to the organisation’s risk profile

<p>ASX Governance Principle 8: Remunerate fairly and responsibly</p>
<p>Description</p> <p><i>Organisations should ensure that the level and composition of remuneration is sufficient and reasonable and that its relationship to performance is clear</i></p>
<p>Practices</p> <p>The awarding of remuneration is a key area of focus for stakeholders. When setting the level and structure of remuneration, an organisation needs to balance its desire to attract and retain senior executives and directors against its interest in not paying excessive remuneration. It is important that there be a clear relationship between performance and remuneration, and that the policy underlying executive remuneration be understood by appropriate stakeholders</p>