



Quality Management System Manual

Version 1.0

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1 COMPANY QUALITY POLICY STATEMENT

Our Approach to Quality

Our approach to quality is based on the principles of;

- Client focus
- Leadership
- Involvement of our people
- Defined company processes
- Adherence to management systems
- Continual improvement
- Factual approach to decision making.

Our Commitment to Quality

- Quality management is an **integral** part of company design, planning and decision making.
- We **encourage** a positive work culture and **work collaboratively** with our clients
- **Our service** delivery aligns with our **clients expectations**
- We **comply** with applicable laws and regulations
- We have a strong commitment to **continuous improvement** at all levels across the company
- We establish clear, measurable and relevant **quality objectives**
- We regularly **monitor, audit, review and report** on the status, progress, and performance of our quality management procedures.

Quality oversight and governance is the responsibility of the Project Manager, Assistant Project Manager and Team Leaders.

Each employee has the responsibility to plan, coordinate, resource and deliver project requirements, to continually improve Hydro-Future's processes, comply with the specific requirements of AS/NZS ISO 9001:2008 and systematically verify performance with documentary evidence.

It is Company policy that the management system is continuously reviewed and techniques updated to reflect improved methodology when necessary.

The responsibility for Quality Management in our work rests personally with each individual Hydro-Future employee.

David Argent

Quality Assurance Manager

30 March 2015

2 COMPANY BACKGROUND

2.1 ABOUT US

Hydro-Future is a civil design and consulting company based in Adelaide with a developing worldwide presence. Our company provides services primarily throughout South Australia employing 28 people with a board range of professional and technical skills along with a wide range of graduate engineers with the promising expectancy for future business growth.

We have additionally provided services outside of Australia for previous private clients with great success showing positive outlook for the company's future.

2.2 HISTORY

Founded in 2013, Hydro-Future has grown from the original seven co-founders to 28 employees, quadrupling its staff in less than two years. The original scope involved mainly water systems design, however due to the employee's capabilities and expertise in combination with the current opportunities in the civil engineering sector we have broadened our overall scope. Though it stands true this company has a huge focus on water system design for a sustainable future.

Although as a company we may have only a short history it has been vastly successful, with a bright future seemingly ahead. Throughout the two years of operation we have progressed positively through multiple civil design projects for various governments, commercial and private clients and aim to continue this for many years to come.

2.3 OUR VISION

At Hydro-Future we see our clients and their desires as individuals just like all our employees, not generic companies and jobs. Each project we undertake is different and requires an individually personalised plan, ensuring every possible aspect is met to meet all our clients aspirations and hopes. Here at Hydro-Future we see a bright future in which we will be renowned for our excellent personalised services and ability to create liveable, sustainable and, most importantly, individually suitable solutions.

2.4 SERVICES PROVIDED

HYDROFUTURE Consulting offers a broad range of services to cater to the needs of our clients. A number of these services are listed below.

- Structural engineering
- Transport engineering
- Urban Planning
- Environmental engineering
- Geotechnical engineering
- Water engineering

3 QUALITY OBJECTIVES

Hydro-Future strives to meet the following quality objectives;

- To complete all projects to the satisfaction of the Clients.
- To train, develop and mentor all employees to promote continued knowledge progression to the best of each person's ability
- To continually monitor adherence to the Hydro-Future Quality Management system of all employees
- To continuously improve the Hydro-Future Quality Management system to reflect the needs of the company and best practice
- Standardised project processes and methodologies across the company

We aim to measure our performance against the quality objectives by;

- Regular client feedback questionnaires and analysis of feedback to identify the opportunity of repeat business
- Conducting an extensive internal audit program and establishment of a continuous quality improvement program
- Monitor and implement continuous improvement initiatives from employees, team leaders and project managers

Quality assurance scope is critical as it creates the foundation for deliverables and supports work activities for the project duration. Deficiency within the scope can result in cost and time overruns and may compromise project quality during implementation.

4 CORPORATE SYSTEM

Hydro-Future's Quality Management System is designed to meet the requirements of the following Quality, Health & Safety and Environmental Standards and State Regulations:

ISO 9001: Quality Systems – Model for quality assurance in design, Development, Production, Installation and Servicing;

AS/NZS 4801: OHS Management Systems – Specification with guidance for use;

ISO 14001: Environmental Management Systems – Specification with guidance for use.

Our Systems are currently independently certified to ISO9001.

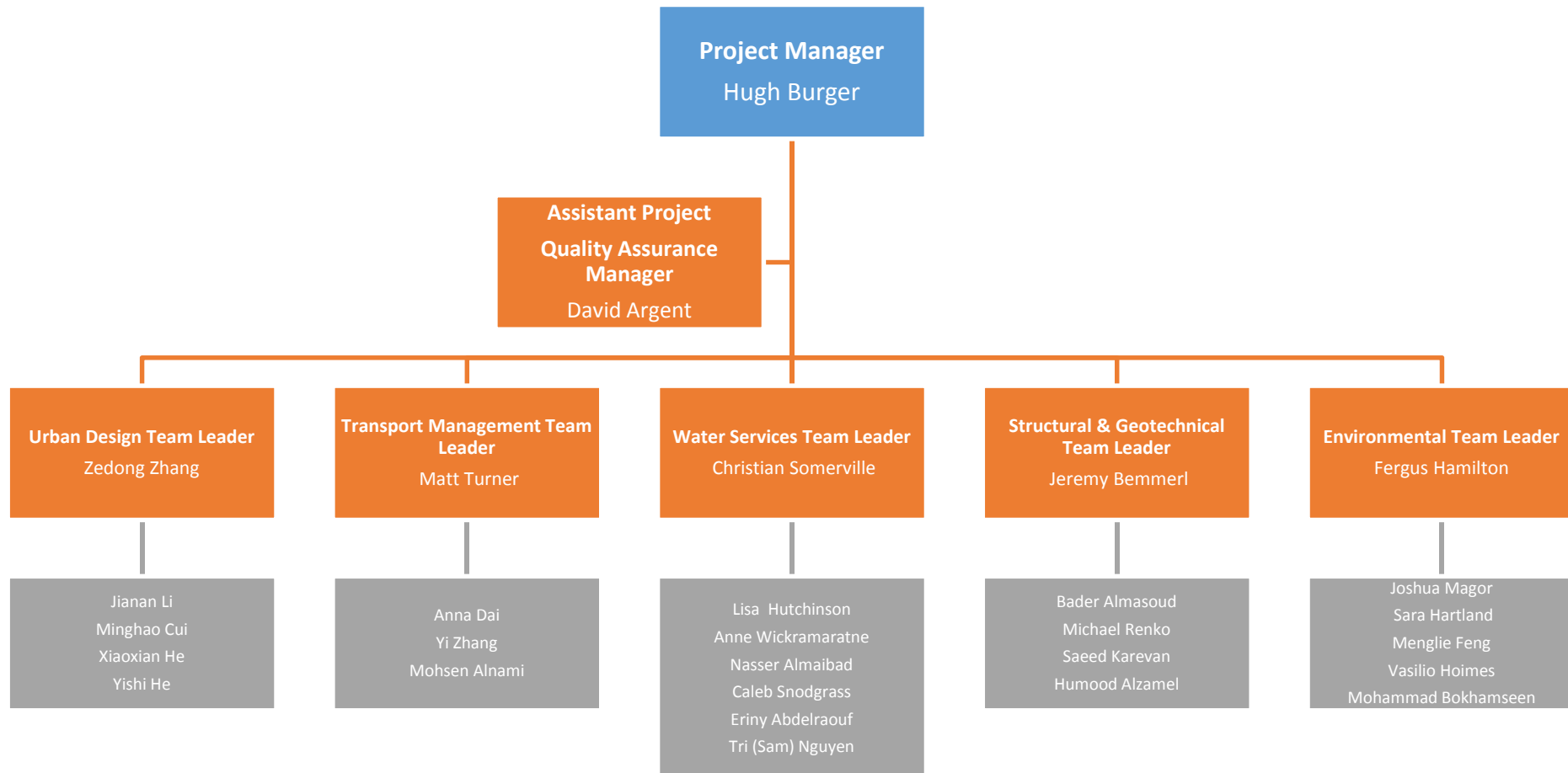
Reference has also been made to:

ISO 9004: 2000 Quality Management Systems – Guide lines for Performance Improvement.

ISO 4804: 2000 Occupational Health and Safety Management Systems –General Guidelines on principles, systems and supporting techniques.

ISO 1400:2000 Standard for environmental management, promotes sustainable development, and ensures proper environmental auditing, measurement of environmental performance, and environmental reporting.

5 COMPANY MANAGEMENT STRUCTURE



6 AUTHORITY AND RESPONSIBILITIES

Hydro-Future consists of 28 highly skilled engineers, with varying levels of responsibility. Our management structure incorporates 5 main departments; Urban Design, Transport Management, Water Services, Structural & Geotechnical and Environmental.

The department team leaders ensure their team is working according to the company's standards and procedures, whilst coordinating tasks required of their group. The management team's responsibilities are clearly defined in the next section and the project manager has the authority to delegate the responsibility of any particulars within the project scope as required.

6.1 RESPONSIBILITIES

6.1.1 Project Manager

- Approval of the Quality Management System
- Project Management
- Management Review
- Design Control
- Supplier Selection & Commissioning
- Contract Management & Control
- Training
- Client Contact

6.1.2 Quality Assurance/Assistant Project Manager

- Internal Auditing
- Documentation and Version Control
- Document Storage and Archiving
- Client Contact
- Quality Management
 - Planning
 - Implementation
 - Monitoring
 - Evaluation

6.1.3 Team Leaders

- Design Control
- Estimating
- Team Management
- Document and Version Control
- Planning, Organising and Communication
- Quality Compliance
- Client Contact

6.1.4 Team Members

- Operating within the Quality Management System
- Identifying and recording improvement measures
- Communication
- Deliverables
- Referencing and Plagiarism Standards (as per university policy)

7 PRODUCT REALISATION

Hydro-Future uses the term 'Product Realisation' to describe the process of developing and delivering the final product or service. We do this by determining;

- The quality objectives and requirements of the design
- The need to establish processes and documents, and to provide resources specific to the project
- The requirements of verification, validation, monitoring, measurement, testing, and inspection of all works
- The process of recording evidence

Our management team has the ability to determine the quality objectives and requirements for the design. Regular checks are carried out for verification, validation, monitoring, and inspection conducted by members of the Quality Team and Team Leaders. Documentation will be recorded for future reference via Dropbox™ and/or hard copy, where appropriate, with signed approval.

Product Realisation is ultimately successful through planning, defined Client related processes, design and development, verification and monitoring.

7.1 RESOURCE MANAGEMENT

Hydro-Future has a continuous quality improvement culture, to assist this we have identified the following resources needed to achieve this, in accordance with ISO 9001:2000, these include;

- Human Resources
- Competency and Training
- Communication
- Client Related Processes

7.1.1 Human Resources

All employees at Hydro-Future possess the ability to apply their knowledge and skill to problems on the basis of appropriate education, training and experience.

Each employee has their job responsibilities outlined in their job and person specification. These documents list the key performance indicators (KPIs) for each employee, along with other specific information relating to the requirement to meet objectives as they relate to their position. Hydro-Future gives every employee the ability and authority to act, as to prevent harm to themselves and others. Hydro-Future also gives employees the authority to take corrective action as to prevent harm to the reputation of the company.

7.1.2 Competency and Training

Each employee possesses the skills related to each activity they perform. To ensure that Hydro-Future utilises its workforce to the best of their abilities, we list all employee skills in employment records. We also provide adequate and ongoing training to all our employees, as to provide greater job satisfaction, as well as making them more aware of the relevance and importance of their role. Hydro-Future promotes a learning environment and allows for additional training and development to employees looking to progress their knowledge for the benefit of both the company and employee.

7.2 COMMUNICATION

7.2.1 Internal Communication

Communication at Hydro-Future is a two-way process, to facilitate effective communication between management and staff the following occurs;

- Regular employee meetings (in person, via telephone, email or online technologies) where employees are encouraged to report concerns relative to the quality of the service we provide;
- Immediate and direct reporting of issues or events to management staff, which may impact upon our commitment to our staff or policy objectives, and;
- Initiation of opportunity for improvement reports by all employees, as to allow management to review, prioritise, plan and implement control measures related to identified business risks.

Information that is considered of importance to employees is delivered to employees via induction, memos and on-going meetings. All staff are encouraged to seek assistance from their immediate supervisor if they are unsure of any issues relating to their job performance.

Information gained via internal communication methods is reviewed during management meetings at pre-determined intervals. Information that requires immediate review or remedial action (especially health and safety related) is brought to the attention of a supervisor. Upon notification, supervisors will initiate necessary action, with evaluation occurring at the next scheduled management review.

7.2.2 External Communication

Any document, comment or complaint initiated from a source external to Hydro-Future will be reviewed by the Project Manager or his delegate prior to any further action being initiated on behalf of Hydro-Future.

Only the Project Manager or his delegate (as appointed from time to time) is approved to discuss any issue with or provide any statement to persons outside Hydro-Future, including any Requests for Information (RFI).

7.3 INFRASTRUCTURE

Hydro-Future has extensive infrastructure as to allow all employees the tools to undertake their work, this includes;

- Meeting Boardrooms
- Computing Hardware and Software
- Internet Access
- Printing/Scanning Facilities
- Cloud Storage
- External Experts relative to their discipline.

7.4 CLIENT-RELATED PROCESSES

7.4.1 Determination of Requirements

Hydro-Future's Management works with the client to determine the particular requirements of the respective projects, allowing us to meet all statutory and regulatory requirements. It also allows the identification of other requirements not listed by the client, but are necessary for project completion

7.4.2 Review of Requirements

Reviewing requirements is a common practice at Hydro-Future to guarantee they are continually met. These requirements shall be well defined prior works via email, facsimile and verbal instructions. Meetings at junctions will be held to review and reemphasise requirements and any amendments throughout the project will be passed throughout using the means of communication mentioned above.

7.4.3 Client Communication

The project manager, or delegate, is responsible for all documents, comments and/or complaints that are provided by the client. The project manager, or delegate, is the only member of Hydro-Future that is able to make contact with the Client, such as relevant transfers of documents, contract, amendments and feedback.

8 DESIGN AND DEVELOPMENT

8.1 PLANNING

At Hydro-Future we thoroughly plan and develop the processes required for product realisation. In this stage we identify the;

- Quality objectives and requirements of the project;
- Requirement to establish processes and documents, and to provide resources specific to the project
- Verification, validation, and evaluation specific to the project to ensure acceptance
- Recording methods needed as to provide evidence that the realisation process and resulting design meets project requirements.

8.2 INPUTS

Hydro-Future maintains a high standard of work through appropriate input criteria. The inputs relate to the specific demands of the tender, client requirements, key stakeholder requirements and any other defined criteria required of the project, these include;

- Function and performance requirements
- Applicable statutory and regulatory requirements
- Appropriate skill requirements
- Dependability requirements
- Future demands
- Documentation and data relevant to the project area
- Contracted requirements
- Maintenance and delivery requirements
- Other requirements essential for design and development

The inputs shall be reviewed for sufficiency, with the requirements being complete, unambiguous and not in conflict with each other.

8.3 OUTPUTS

The design outputs utilises inputs to provide up-to-date and relevant information to the client and are monitored and evaluated by senior management. Prior to design release the Project Manager and Quality Manager verifies outputs to ensure that they;

- meet the input requirements for design and development
- provide appropriate information;
- Contain acceptance criteria that specifies that the design meets essential safety and constructability requirements.

8.4 REVIEW

At suitable stages, systematic reviews of design and development shall be performed. Hydro-Future reviews the design and development documentation between departments, to identify any conflicts or problems and propose necessary actions.

8.5 VERIFICATION AND VALIDATION

Verification of design work is an essential step in ensuring that all design tasks have been completed in accordance with the requirements of the tender specification, or other design input documents, and that they are carried out in accordance with appropriate standards and methods, and take into account all statutory requirements applicable to the task.

This step is performed prior to the delivery of the product to the client and is performed by the Project Manager and Assistant Project Manager.

9 MEASUREMENT AND EVALUATION

Hydro-Future reviews its Quality Management System **every month** to ensure continuing suitability, adequacy and effectiveness. The review includes improvement opportunities and identifies any need for changes to the system, including the Quality Policy.

Management shall review input by comparing results of audits, customer feedback, process performance and conformity, incidents, corrective actions, follow-up actions and improvement recommendations.

Similarly for the review of outputs, management shall consider any decisions and actions related to the improvement of the effectiveness of the Quality Management System and its processes, as well as the improvement of product related to customer requirements and resource needs.

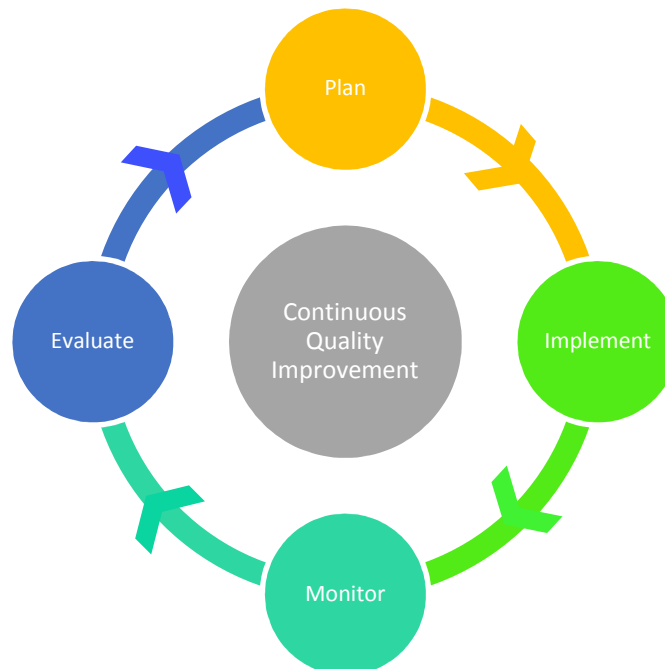
10 CONTINUOUS QUALITY IMPROVEMENT

Hydro-Future is committed to meeting the quality standards expected by our clients in the delivery of the services that we supply to them and continually looking for ways to improve our service.

Our quality objectives are to:

- Provide quality engineering and project management services
- Maintain management systems that are responsive to the needs of clients, staff and stakeholders
- To continuously improve client services by collecting, analysing and acting on relevant data

To implement this policy we focus on the needs of our business with particular reference to consistently meeting our client's requirements and statutory obligations. Our quality system provides mechanisms for detecting system shortfalls and for instigating continuous improvements. We use a continual process as shown in the diagram below;



This is a continual cycle that isn't solely reliant on direct feedback from clients, rather we seek a proactive approach to continuous improvement, as opposed to a reactive one.

In the planning phase we;

- Collect and analyse relevant data;
- Identify potential issues or problems;
- Create innovative solutions;
- Clarify the outcomes of the solutions
- Develop strategies for implementation

In the implementation phase we;

- Assign key tasks to the appropriate team members
- Monitor the improvements
- Collect and analyse data

In the Monitor Phase we;

- Identify if the solution is working
- Uncover any unintentional consequences of improvements
- Collect and analyse data

In the evaluation phase we;

- Analyse whether the improvements worked
- If they didn't, why not
- Identify any new areas for improvement

This is a process that is in the forefront of the minds of all our employees, not just the management team. It is an ongoing process and is inbuilt into Hydro-Future's culture as to be able to change and adapt to the needs of our clients.

Our employees have access to provide information on opportunities for improvement using the form shown in Appendix A.

11 WORK, HEALTH AND SAFETY (WHS) POLICY

Hydro-Future is committed to protecting the workplace health and safety (WHS) of our people, our contractors and the environment, in all the places in which we work, by putting WHS first, above all else.

Our commitment is to

- Strive to operate injury and incident free
- Be compliant with applicable Work, Health & Safety laws, regulations and statutory obligations
- Assign work, health and safety accountabilities and responsibilities for all Hydro-Future Employees, and to drive individual performance and behaviour through regular review
- Train our people to be competent in safely undertaking their work activities
- Maintain project specific Safe Work Instructions (SWI) and Job Safety and Environmental Assessments (JSEA's) for all project tasks
- Identify, assess and manage hazards and risks before commencing and during any work or operational activity including, where applicable, consideration of safety in design principles
- Intervene immediately (stop work where required) and report any work practices, hazards, equipment, or conditions that threaten the health and safety of any person or the environment
- Maintain healthy, safe and secure working conditions
- Maintain a documented Work, Health and Safety Management System and ensure performance and compliance is assured through regular monitoring, auditing, reporting and review for continuous improvement
- Communicate and consult on Work, Health and Safety initiatives and issues

Our leaders shall

- Be accountable for health, safety, security and environment compliance within their area of authority
- Lead by example by demonstrating and supporting a positive behavioural commitment from our people to be work, health and safety conscious
- Consult, seek contributions and communicate regularly with our people on matters affecting work, health and safety
- Objectively investigate all reported incidents and implement corrective actions in a timely manner, and not tolerate incidents involving wilful negligence, criminal intent, or use of illicit substances.

Oversight and compliance

Oversight and governance for Hydro-Future Work, Health and Safety is the responsibility of the project management team. The project management team will regularly review this policy for continuing suitability.

Compliance with and performance against this Policy is the responsibility of all Hydro-Future staff.

11.1 WORK, HEALTH AND SAFETY IMPLEMENTATION

The successful implementation of the Hydro-Future's WHS Policy is reliant on a number of factors including;

- Commitment, accountability and responsibility from all employees;
- Managerial leadership and demonstration;
- Consultation, motivation and awareness;
- Communication;
- Training and competency;
- Adequate and clear documentation; and
- Enforcement of compliance.

11.2 OBLIGATIONS AND RESPONSIBILITIES

There is a duty of care for employers, so far as reasonably practicable, to provide and maintain a working environment that is safe and without risks to health or the environment. These obligations in relation to work health and safety apply not only to employees of the company, but also to all other persons (e.g. visitors) involved in a project.

A WHS responsible workplace is reliant on the safe behaviours and decisions of management and employees in following instructions and meeting requirements. WHS is the responsibility of everyone as WHS is built on the principle that we are all responsible for our own behaviour and its effect on others and ultimately the company.

Hydro-Future employees shall be responsible to:

- Participate in safety training and discussions;
- Comply with Hydro-Future's safety policies, standards and procedures;
- Be aware of and comply with relevant statutory obligations;
- Identify, report and mitigate safety risks and hazards;
- Keep healthy and safe, and intervene to support people in distress;
- Ensure the wellbeing, safety and fitness for work of our people is our highest priority, and;
- Insist on a healthy and safe work environment for themselves and their co-workers.

11.3 HAZARD IDENTIFICATION AND RISK MANAGEMENT

The hazard identification and risk management process comprises of four stages; hazard identification, risk assessment, risk control and risk reporting, monitoring & review. To ensure the effectiveness of the process and to allow for appropriate risk control actions to be defined, it is important to identify the context in which the work activity will be undertaken.

The people involved in the risk assessment shall be determined by the degree of risk exposure, but as a minimum should include, competent and experienced people that have knowledge of the activity to be undertaken and the environment in which it is to be carried out.

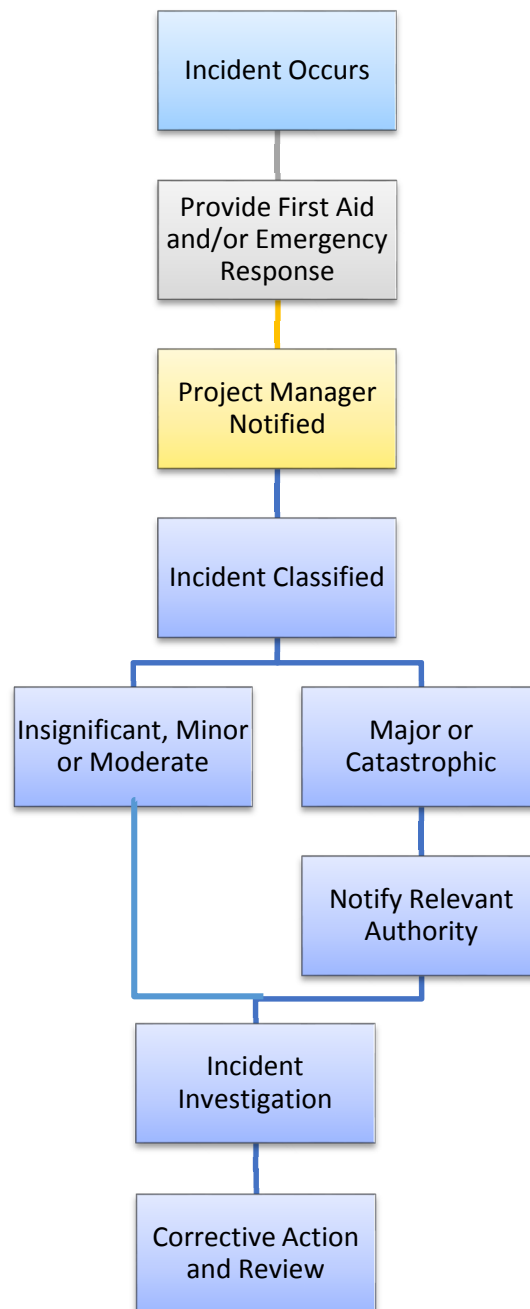
The three steps used to manage health and safety include:

1. Spot the Hazard (Hazard Identification)
2. Assess the Risk (Risk Assessment)
3. Make the Changes (Risk Control)

Risk assessment is carried out using a risk assessment matrix;

Likelihood	CONSEQUENCE				
	Insignificant (no injury)	Minor (First Aid)	Moderate (medical treatment)	Major (extensive injuries)	Catastrophic
Almost Certain	Medium	High	Extreme	Extreme	Extreme
Likely	Low	Medium	High	Extreme	Extreme
Possible	Low	Low	Medium	High	Extreme
Unlikely	Very Low	Low	Low	Medium	High
Rare	Very Low	Very Low	Low	Low	Medium

11.4 INCIDENT REPORT FLOWCHART



12 KEY STAKEHOLDER POLICY

As a company, Hydro-Future is committed to addressing the concerns and interest of all stakeholders during all projects we are associated with. We show our commitment through our policy by;

- Communicating regularly with stakeholders and key interest groups to develop, deliver and review policies and programs;
- Understand stakeholder concerns and offer key information to clarify their needs and identify any potential issues.
- Ensure that all interactions with stakeholders are managed professionally and ethically
- Acknowledge and actively monitor the concerns of legitimate stakeholders, and take their interests into account in decision-making and operations
- Conduct regular information sessions to highlight elements for ethical management with stakeholders to find solutions to any problems or risks associated with our works.

13 ENVIRONMENTAL POLICY

Hydro-Future's vision is 'reducing our environmental footprint'. All environmental issues and risks are taken seriously to ensure that we preserve the environment we interact with. The company has its own Environmental Management Systems to ensure that the all environmental matters are managed with zero tolerance to any impacts that can damage the environment. Our Environmental Management Systems ensure that the business is compliant with ISO 14000 standards and Environmental Protection Act (EPA)-1993

Environmental Policy Key Points:

- All activities undertaken by Hydro-Future complies with the relevant environmental legislations and policies.
- Any environmental impacts must be identified, assessed and mitigated in all phases of the project (initiation, design, management, construction, operation and maintenance)
- Hydro-Future's Environmental Advisers are to be consulted regarding all the environmental matters, including any changes to the agreed Environmental Management Plans (EMPs).
- All staff is to be inducted to EMP, as well as the relevant legislations before commencing any work on site.
- Regular auditing by environmental advisers is to be undertaken, to ensure conformance to the agreed EMP (Environmental Management Plan) and to identify any possible risk and manage them as soon as reasonably practicable.
- Hydro-Future's Environmental scorecards are to be evaluated annually to asses our environmental footprint and identify all opportunities for improvement.
- Adopt and promote energy and resource efficiency in all activities undertaken.
- All environmentally innovative ideas to be encourage though an annual internal Environmental award.

14 CODE OF CONDUCT

Hydro-Future is a complex organisation, which involves a diversity of relationships. These relationships may be defined by differences in power, status, cultural diversity and organisational structures. It is essential that all staff recognise and respect not only their own right and responsibilities but also the rights and responsibilities of other members of the community and those of Hydro-Future.

Personal and Professional Behaviour

You should not behave in a way that has the intent or effect of offending or embarrassing others. When carrying out your duties you will;

- Obey any lawful direction from a person who has the authority to give the direction;
- Appeal to your team leader or project managers if you have a dispute about carrying out a direction you consider not to be lawful or in accord with Hydro-Future behaviours;
- Behave honestly and with integrity. You will avoid behaviour that could suggest that you are not following these principles. This will include a duty to report other Staff who are behaving dishonestly;
- Carry out your work efficiently, economically and effectively, ensuring that the standard of your work reflects favourably on yourself and the company;
- Follow the policies of the company in all aspects of work;
- Treat Staff, clients and stakeholders with respect;
- Maintain individuals' rights to privacy and undertake to keep personal information in confidence;
- Not use, possess or distribute pornographic or offensive materials;
- Use social media tools responsibly and respectfully, and;
- Comply with all national and international laws

Discrimination, Harassment and Workplace Bullying

Employees must not harass, unlawfully discriminate, or support others who harass and unlawfully discriminate against colleagues or members of the public on the grounds of sex, pregnancy, marital status, age, race (including their colour, nationality, descent, ethnic or religious background), physical or intellectual impairment, homosexuality or transgender. Staff also must not participate in any form of workplace bullying or support others who do so.

14.1 DRUG AND ALCOHOL POLICY

All staff must ensure that their actions are safe and contribute to creating a safe working environment.

Drug Policy

All Hydro-Future employees are required to be drug free whilst at work. "Drug free" means any level of drug less than the cut off levels stipulated by the Australian Standard AS/NZS 4308 or AS 4760. Employees are not permitted to be in possession of prohibited drugs or prohibited plants or any item or equipment for use in the administration of a prohibited drug or plant whilst at work. Employees taking prescription drugs must inform their team leader or manager.

Alcohol Policy

All employees are required to be alcohol free whilst at work, unless under the following circumstances;

- **Work Functions**
Moderate and responsible consumption of alcohol may be permitted in social functions. However, employees must abstain from carrying out any work until they are alcohol free.
- **Staff social events**
Moderate and responsible consumption of alcohol may be permitted at employee social events, whether such events are formally or informally organised, subject to approval of a manager responsible for the event. However, employees must abstain from carrying out any work until they are alcohol free.

“Alcohol free” means any level below 0.02% blood alcohol concentration. Employees are reminded that compliance with the law and relevant standards is each individual staff member’s responsibility. Not complying with any legal obligation relating to alcohol consumption will be considered a breach of this policy.

Employees may be asked to submit to a breath analyser test whilst at work, while they have a right to refuse this, it may be considered an admission of intoxication

Breaches of this policy

Breaches of this policy will be considered to be serious misconduct, which may result in disciplinary action, including up to termination of employment. Where a staff member is found in breach of this policy, the following will be considered to be aggravating circumstances:

- If the staff member operates machinery and/or drives a vehicle in connection with their work.
- If the staff member’s role involves being in contact with machinery or in a place where their work is subject to safety regulations which require a particular degree of diligence from them.
- If the staff member holds a supervisory/management role

If any of these or other aggravating circumstances are present, a first breach may be considered as warranting immediate termination.

14.2 COMPLAINTS POLICY

Complaint Definition;

Any expression of dissatisfaction with Hydro-Future Employees, Methods or Work

Hydro-Future's policy is to deal with all complaints fairly. To achieve this;

- All complaints are recorded in writing on our complaints form, including, date, name, and the nature of the complaint.
- We investigate all complaints properly and fairly
- All complaints are responded to within a period of 3 working days
- If any work is required or action needed to resolve the complaint then such works or actions will be undertaken in the shortest possible time.
- When it is not possible to resolve the complaint to the satisfaction of the complainant. We politely state the reasons why no further action will be taken in the matter.

The aim of our complaints procedure is to avoid disputes escalating by providing a mechanism in which to quickly and fairly establish when someone has a justifiable complaint and to provide a solution.

The opportunity for improvement/complaint form is provided in Appendix A

15 AUDIT PROCEDURES AND MANAGEMENT REVIEW

Hydro-Future undertakes auditing and internal reviews of all work procedures to ensure compliance with the company's high standard of work. The Quality Manager is responsible for performing internal audits throughout the project lifecycle. Typically a formal auditing procedure takes place at the completion of the design phase and construction phase.

The objectives of management review are to;

- Maintain high standards of work, to ensure client satisfaction
- Exposure irregularities or defects within the system, identify weaknesses and evaluate appropriate improvements
- Review the effectiveness of previous corrective actions
- Review the adequacy and suitability of the Management System for current and future operations of the company
- Review feedback received, identify any issues and recommend corrective actions where required
- Identification of potential improvement areas

Extensive Internal audits of the Quality System are undertaken annually to ensure compliance with the company's objectives. They are undertaken by a trained team of auditors that work on behalf of management, but maintain independence. Non-compliant areas and processes that are observed are reported to management to enable corrective action to be applied.

15.1 AUDIT OBJECTIVES

The purpose of the audit is to provide independent assurance that the company's risk management, management structure and internal control processes are operating effectively. The auditors are committed to;

- Independence
- Integrity
- Accountability

The objectives of the audit include;

- Determine the efficiency/effectiveness of operations
- Reliability of management reporting
- Compliance with laws and regulations
- Safeguarding of assets
- Ensure independence of work (e.g. no plagiarism)

15.2 AUDITING PROCESS

Typically two types of audits will be undertaken for each stage of the project, an internal and external audit. The internal audit is undertaken by the Quality Manager and the external audit is undertaken by the University of South Australia.

The auditing process is of an analytical nature to identify any issues that may affect the quality of Hydro-Future’s work. Auditing determines the effectiveness of the Management System to evaluate whether the company’s procedures are being followed.

15.3 EXTERNAL AUDITS

An External auditor will undertake audits annually to confirm that Hydro-Future adheres to the company’s procedures and regulations. A comprehensive audit program is conducted at least a year in advance. However, at the discretion of Quality Assurance Manager, the frequency of audits may be increased if particular needs be identified.

The external audits are undertaken by quality-accredited organisations that are not directly responsible for the functions being audited within Hydro-Future. At the beginning of each audit, Hydro-Future’s Management will review the terms of engagement with the external auditor, including the proposed audit scope. After the completion of the audit, the external auditor will be invited to attend a management meeting to discuss their audit results and consider any other pertinent matters associated with external audit function. Problems are brought to the attention of Management and corrective actions are enforced to ensure full rectification and enhance the Quality Management System of Hydro-Future.

15.4 INTERNAL AUDIT

The internal audit will provide a detailed analysis on the status of the project and is requested by senior management to be conducted on an agreed date. The date is prior to final submission of any document to the client. It addresses the following criteria;

- Adequate scope of the project
- Correct skills and resources in place
- Accuracy of time scheduling
- Budgetary compliance
- Appropriate end use expectation of design product
- Adequate communication processes
- Identification and addressing of all possible risks
- Provide recommendations for improvement

An example of the an internal audit checklist is provided in APPENDIX B

16 ADMINISTRATION PROCEDURES

Hydro-Future Consulting operates in an ever changing environment. To do this, it requires robust administrative procedures to support the pursuit of our objectives;

- To provide a sensible, transparent and co-ordinated approach in the creation of documents, seeing them through the development, review and submission life cycle;
- To allow all team members to continuously access documents that affect them;
- To deliver consistency, standardisation and predictability through the project life-cycle, ensuring only current versions are modified, and;
- To support Quality Assurance and Continuous Improvement

The administration procedures framework provides the rules and tools by which all contributions are developed, documented, approved, controlled and reviewed.

16.1 DOCUMENT CONTROL

Hydro-Future utilises an online file hosting, or cloud based service. This allows real-time editing of documents, with date, time and person editing information being available to management, team leaders and engineers alike. A back-up of all work uploaded to the cloud based service is available on personal hard-drives. To ensure consistency across the business **version control** must be applied to all documents uploaded to the cloud.

- Each team is responsible for management of their own cloud based service;
- Each member of the team is responsible for version control of their documents;
 - e.g. enviro(josh)0.1, enviro(sara)0.1
- The team leader controls the master copy of the document they are preparing for submission
 - E.g. enviro(master)1.0, struc/geo(master)1.0, water(master)1.0

The following process is applied for document submission;



Each document should be;

- Uniquely identified by a title and should be dated and traceable to the originator and maintained in an orderly manner;
- Numbered accordingly with total number of pages displayed (e.g. 'Page 3 of 12');

Where there is a need for issuing hardcopies of documents (excluding documents circulated for information purposes only), the documents shall be identified as controlled. When a new version is released, all existing hardcopies of the previous version shall be removed from use and the hardcopy owner suitably notified by the person distributing the updated version.

Documents that are distributed electronically shall be clearly identified with the following statement (or similar) "Uncontrolled when Printed". When a revision is made to electronically distributed documents, the intended document audience should be suitably notified, for example by using email, change notice or verbal update during team meetings.

16.2 VERSION CONTROL

To ensure that different drafts and versions of documents are managed appropriately, a version control system is used to track changes to a series of draft documents, culminating in a final version. This provides an audit trail for the revision and update of these finalised versions.

It allows you to retain and identify the draft documents that were submitted to the team for comment, versions that went back and forth for further comment, and the final version that was endorsed by the team leader prior to submission to the project manager.

This allows clear identification of what changes have been made by different individuals at different times. This will highlight the development of the document, whilst also assisting in providing proper identification of the contribution of each individual.

16.2.1 Version Control Method

Version control consists of a number of steps. These are;

1. Create a file title (e.g. Environmental Management Plan, Transport Management Plan, WSUD Options)
2. Add a number at the end of the file title
 - a. 0.1, 0.2, 0.3... until a finalised version is complete
 - b. Becomes 1.0, if revised drafts become 1.1, 1.2
3. The version number also appears in the document's;
 - a. version control table
4. When uploading the document to 'Dropbox' or similar it should be saved as Read-Only
 - a. Should changes occur, the author will be prompted to save the file with a new title.

The version control table is located on the first page after the cover page, or if no cover page is used on the first page of the document. The version control table (see example below) must be updated each time a change is made to the document. It details;

- New version number;
- Purpose of the change;
- Person making the change;
- Date of the Change.

Version Number	Purpose/Change	Author	Date
0.1	For Comment	D Argent	18/03/2015
0.2	Addition of Environmental Management Plan	D Argent	21/03/2015
0.3	Addition of Geotechnical Parameters	D Argent	21/03/2015
0.4	Traffic Management Plan	D Argent	22/03/2015
0.5	For Comment	D Argent	22/03/2015
1.0	Distributed to Project Manager	D Argent	25/03/2015

16.3 MEETINGS

16.3.1 Responsibility

Meeting responsibility includes calling, conducting and chairing the meeting. Responsibilities of meetings shall be as follows;

Type of Meeting	Responsibility of
Client	Project Manager
Quality	Quality/Assistant Project Manager
Senior Management	Project Manager
Team	Team Leader

16.3.2 Purpose

16.3.2.1 Client Meetings

Meetings with the client allow for the discussion of project progress, which is only initiated by the Project Manager or their delegate. In this meeting, the client has the opportunity to identify any issues of concern, as well as gain information about the design options.

Prior to the meeting, the Project Manager will submit an agenda to all invited attendees. This will be made available electronically (via email), with sufficient time allowed for notification of additions to be made. Minutes are made available electronically to all parties involved, within 24 hours of meeting completion. An agenda template is shown in Appendix C and a minutes template is shown in Appendix D

16.3.2.2 Quality Meetings

These meetings are for the Quality Manager to inform relevant parties about any project/quality issues. It is also a chance for the Quality Manager to receive feedback from Team Members on the state of compliance within each team with respect to the Quality Management System's controls and procedures.

Prior to the meeting, the Quality Manager will submit an agenda to all invited attendees. This will be made available electronically (via email), with sufficient time allowed for notification of additions to be made. Minutes are made available electronically to all parties involved, within 24 hours of meeting completion.

16.3.2.3 Senior Management Meetings

Held weekly, these meetings allow discussion and coordination of the project in general and are conducted between the Project Manager, Quality Manager, and all Team Leaders.

Prior to the meeting, the Project Manager will submit an agenda to all invited attendees. This will be made available electronically (via email), with sufficient time allowed for notification of additions to

be made. Minutes are made available electronically to all parties involved, within 24 hours of meeting completion.

16.3.2.4 Team Meetings

Team meetings are for individual teams to discuss the status of each individual's task and allows for collaboration amongst the team to work through any issues and discuss potential design options.

Prior to the meeting, the Team Leader will submit an agenda to all invited attendees. This will be made available electronically (via email), with sufficient time allowed for notification of additions to be made. Minutes are made available electronically to all parties involved, within 24 hours of meeting completion.

16.3.3 Meeting minutes

Prior to the start of every meeting a nominated minute recorder will be responsible for compiling minutes for that meeting. Minutes shall be typed, using the template available on the company's cloud, and forwarded to the Chairperson for that meeting. It is the Chairperson's responsibility to forward a copy to all attendees and to file an electronic copy on the cloud.

Minutes from any meeting shall be forwarded to the Chairperson with sufficient time for the Chair to make them available to all relevant parties within 24 hours of the meeting. The Chairperson will then email the Quality Manager the meeting minutes, and these will be recorded on a meeting register. Appendix A shows the meeting minute template to be used.

16.3.4 Conduct of Meetings

Each meeting shall follow the same layout as follows;

- Open Meeting, Record Date and Time of Start
- Attendees and Apologies
- Confirmation of Previous Minutes
- Matters arising from Minutes
- Agenda
- Any other matters
- Next Meeting
- Close of meeting, record time of finish.

16.3.5 Timekeeping

Each individual needs to keep track of their progress through a reflective journal. In addition, each individual is responsible for completing a timesheet, which is located on the cloud as well as through email distribution. It will be used to record time spent working on the project, with an electronic version emailed to the respective senior manager every Monday morning. The Team Leaders will send through a team summary to the Project Manager. The timesheets will be filed on management cloud. Timesheet templates are attached in Appendix E.

Appendix A – Opportunity for Improvement Form

Opportunity for Improvement Form

Name:

Would you like to provide : Complaint Opportunity for Improvement

Date and Time Issue Arose:

Location

Persons or Process Involved

Brief Description of Issue/Concerns

Signed:

Contact Details

Management will respond within 3 business days
We thank you for your time taken in lodging this information

Appendix B – Internal Audit Checklist

Date	Project

Project Manager	Quality Manager

Team

Tasks	Y/N	Comments	Actions
Attendance			
Timesheets			
Meeting Agendas			
Meeting Minutes			
Document Control			
Version Control			
Communication Processes			
Referencing			
Relevant Standards Adhered to			
Calculations/Resources available			
Deliverables Met			

Management to address the following issues:

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Approval

This internal quality audit has been completed and the project manager informed or recommended improvements to ensure the quality of the project is maintained

Quality Manager	Project Manager
Date:	Date:

Appendix C – Example Agenda Template

Agenda



[Meeting Agenda Title]			
Meeting Room			
Date			
Time			
Chairperson			
Attendees			
Meeting Objective			
Today's Agenda			
S. No.	Topics	Owner	Time
1			
2			
3			
4			
5			
6			

Appendix D – Example Minutes Template

Minutes



[Meeting Title]			
[Pick the date]		[Meeting Time]	[Meeting Location]
Meeting called by			
Type of meeting			
Chairperson			
Minute Recorder			
Timekeeper			
Attendees			
[Agenda Topic]			
[Time allotted]	[Presenter]		
Discussion			
Conclusions			
Action Items	Person Responsible	Deadline	
[Agenda Topic]			
[Time allotted]	[Presenter]		
Discussion			
Conclusions			
Action Items	Person Responsible	Deadline	
[Agenda Topic]			
[Time allotted]	[Presenter]		
Discussion			
Conclusions			
Action Items	Person Responsible	Deadline	

Next Meeting Will be Held on [Date] at [Time] at [Location]
 Meeting Closed at [Time]

Appendix E – Timesheet Template

HYDRO



FUTURE
CONSULTING

Hydro-Future Consulting – Timesheet for Confirmation of Services

Employee Name			
Week Ending	Sunday ___ / ____ /2015		
Team			
Day	Date	Description of Duties	Round to the Nearest Quarter Hours
Monday			
Tuesday			
Wednesday			
Thursday			
Friday			
Saturday			
Sunday			
Total Hours			
Declaration: By Signing this timesheet you are confirming your hours of work and that services provided are in accordance with the project objectives			
Date			
Signature			
Please Email Completed Timesheets to your Team Leader by 10am Monday Each Week			

Appendix F – Design Calculation Worksheet

Client		Date
Project		Sheet no:
Subject		By

