This document (IMS) describes the quality, safety and environmental procedures including control mechanisms, policies, objectives, plans and the continuous improvement methodologies used by Hunter Rural Contracting Pty Ltd (Hunter Rail and Civil) to provide quality services and products and a working environment that is safe for workers and the environment. The practices described are fully compliant with ISO9001:2015; AS/NZS4801:2001 and ISO15001:2015 fully integrated into one management system.
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1 BUSINESS CONTEXT

Hunter Rural Contracting Pty Ltd (Hunter Rail and Civil) is Hunter Rail and Civil is a family owned and operated company that has a core focus on good client relationships. We are passionately driven to complete quality work, safely and in the most efficient, environmentally friendly and cost-effective way for our customers.

Our company’s strength lies in the experience of our team. Our highly motivated team is committed to creating a safe, professional culture of success on all our projects leading to high customer satisfaction and repeat business.

Director and company owner Nathan Parfoot started Hunter Rail and Civil in 2016. From a humble beginning, Nathan has grown the company into a preferred Civil & Engineering Contracting Company to a growing number of clients in the Hunter Valley and beyond.

Recently, Hunter Rail & Civil have grown into a Civil Project Management and Construction operations Company as opposed to just plant and labour hire. Our strengths lie in our variety of competent works which allow us to adapt to a variety of tasks and operate a variety of equipment; helping us to balance resources amongst sites. Growing into this progressive Company has allowed us to take on Projects such as:

- Toukley Opal Aged Care (Grindley Constructions)
- ARTC Track Reconditioning (Goldsprings)
- Redhead WGRACF (Woollams Constructions)
- Tarro Track Reconstruction (Goldspring Group)
- 86 Ingall Street, Mayfield (Koslow Properties)
- Industrial Subdivision, Mustang Dr, Rutherford (Mavid Group)
- Lingard Private Hospital (Woollam Constructions)
- Wybong Rd, Realignment (FKG Group)

Key services we can provide for your project include:

- Bulk Earthworks;
- Detailed excavation;
- Supervision & Management
- Survey, QA Documentation & WHS Compliance
- Consultation services;
- Road Construction
- Kerb, Asphalt
- Rail Earthworks;
- Subdivisions;
- Drainage works.

Hunter Rail and Civil works closely with companies such as Woollam Constructions, Grindley Construction, Daracon Group, and Goldspring Group providing the completion of Civil Works Packages to Projects with tight programs and constraints.

Services provided to these Companies include:

- Bulk Earthworks;
- Detailed excavation;
- Supervision & Management
- Survey, QA Documentation & WHS Compliance
- Consultation services;
- Road Construction
- Kerb, Asphalt
- Rail Earthworks;
- Subdivisions;
- Drainage works.
Hunter Rail and Civil is committed to evaluating risks and applying effective measures to ensure ongoing business progress and protect the interests of all stakeholders identified in the stakeholders table below (Table 1).

### Stakeholders Interests

<table>
<thead>
<tr>
<th>Internal</th>
<th>Area of Interest</th>
<th>Connected</th>
<th>Area of Interest</th>
<th>External</th>
<th>Area of Interest</th>
</tr>
</thead>
<tbody>
<tr>
<td>Director</td>
<td>Return on investment</td>
<td>Clients</td>
<td>Timely delivery</td>
<td>Federal, state government and Local agencies including ATO, Worksafe</td>
<td>Compliance with legislation and by-laws</td>
</tr>
<tr>
<td></td>
<td>Business growth</td>
<td></td>
<td>Price</td>
<td></td>
<td>Governance</td>
</tr>
<tr>
<td></td>
<td>Stability</td>
<td></td>
<td>Quality work</td>
<td></td>
<td>Payment of taxes and duties</td>
</tr>
<tr>
<td></td>
<td>Customer satisfaction</td>
<td></td>
<td>Within budget</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Safety of workers</td>
<td></td>
<td>Compliance to standards and legislation,</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Employee retention</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>and satisfaction</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Employees</td>
<td>Remuneration</td>
<td>Suppliers, including certification auditors</td>
<td>Business continuity</td>
<td>Certification auditors</td>
<td>Compliance with legislation and standards</td>
</tr>
<tr>
<td></td>
<td>Security</td>
<td></td>
<td>Growth</td>
<td></td>
<td>Ongoing certification</td>
</tr>
<tr>
<td></td>
<td>Experience / Work satisfaction</td>
<td></td>
<td>Timely payments</td>
<td></td>
<td>Payment of fees.</td>
</tr>
<tr>
<td></td>
<td>Safety</td>
<td></td>
<td>Stability</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Stability of employment</td>
<td></td>
<td></td>
<td></td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Competitors</td>
<td>Financial</td>
<td>Communities including community organisations</td>
<td>Environmental aspects and impacts</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Business continuity</td>
<td></td>
<td>Economic growth</td>
</tr>
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<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>Safety</td>
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</tbody>
</table>

Table 1: Interested Parties

**Interested Parties**

In summary, the needs of our interested parties can be interpreted as:

- Business stability, profitability and continuity;
- Healthy cash flow and economic growth;
- Quality services;
- A safe work environment and zero harm to all workers;
- Environmentally sustainable work practices;
- Compliance with legal obligations and relevant standards.

The needs of interested parties are encompassed within the quality safety and environmental management system policies, objectives and plans.

Risk management is intrinsic to all our business processes as outlined in the Integrated Management System (IMS). The SWOT (Strengths, Weaknesses, Opportunities and Threats) Analysis below is a summary of the findings in our recent business analysis.

The needs of interested parties shall be reviewed at least annually as a part of the overall quality, safety and environmental management system review (See section 4.1.2 Review of Non-Conformances and Continuous Improvement, 4.5 Internal Audits, 4.5 Communications, Knowledge).
The SWOT analysis in Figure 1 below is used to direct our activities and plans to ensure positive and negative risks are identified and managed.

Figure 1: SWOT Analysis

Risks are determined to prevent or reduce undesired effects, and to give assurance that quality management system can achieve its intended results.

Risk levels are evaluated using appropriate risk evaluation and analysis methods. When risk levels are high, appropriate risks reduction actions are implemented and integrated into quality system processes. Risk reduction actions are proportionate to the potential impact on the conformity of products and services.

An opportunity is a set of circumstances which makes it possible to do positive things, for example:

- Develop new products and services
- Develop new markets and/or increase market share
- Improve work environment
- Improve productivity
- Improve operational efficiency (reduction of resource use, reduction of waste, etc.)

Opportunities may be identified as positive effects of risks; as in a risk forcing implementation of a risk reduction measure that is beneficial in a broader context than just reducing this particular risk.
1.1 SCOPE

The quality, safety and environmental procedures outlined in this manual take into account the entire operations of Hunter Rail and Civil including its non-operational systems such as document management, non-conformance management, purchasing, records control, recruiting etc.

The scope of the Integrated Management System also includes our operations in the Hunter Region and parts of the Central West Region and Central Coast. Services included are:

- Earthmoving / bulk earthworks;
- Civil Construction – road and rail;

Hunter Rail & Civil does not currently engage in the area of Design and Development. This area isn’t engaged in due to its complexity; as well as the Company not possessing the appropriate and adequate staff, skills and/or resources. Hunter Rail & Civil currently does not have any plans to expand into this area.

1.2 RESPONSIBILITIES, LEADERSHIP

The Director takes personal responsibility for the development, implementation and maintenance of the management system. All staff are expected to follow suit and as outlined in the IMS. Responsibilities relating to the processes that fall within the scope of this manual are outlined in all sections of the IMS.

The primary responsibility for the implementation Management System lies with the Management Representative.

1.2.1 MANAGEMENT REPRESENTATIVE

The Management Representative role for the IMS is shared between the Project Administrator and the Civil Engineer.

The role of the Management Representative is to ensure the management system is developed, documented in the IMS and maintained, and to regularly report the effectiveness of the quality, safety and environmental Management system to Management. Among the roles of the Management Representative therefore are the achievement of all quality, safety and environmental Objectives and the management of Internal Audits and reporting audit results.

The Management Representative also is actively involved in the development of Quality, Safety and Environmental Policies.

1.2.2 ORGANISATIONAL CHART

---

**Hunter Rail and Civil**

- Director: Nathan Parfoot
- Admin Officer/Project Administrator: Mikayla Crebert
- Project Manager/Civil Engineer: Michael Budzon
- Site Supervisor: Nigel Shearer
- Leading Hand: Jared Spark
- Operators
- Labourers

---

Figure 2: Organisational Chart
1.3 POLICIES AND OBJECTIVES

1.3.1 QUALITY POLICY

Policy Statement

Hunter Rail and Civil are focused on project outcomes. The results of our work reflect the experience & dedication to detail of our staff focussing on customer satisfaction. Hunter Rail and Civil generate a high level of repeat business.

Our Company, through our established facilities, has a unique capacity to respond to client requirements, to provide a level of service & competence ahead of the competition. The development of this Integrated Management System is but one example of the commitment to excellence that is manifest in our works & client outcomes.

Strategies

The company is fully committed to quality and is pursuing a program to achieve best practice in all aspects of the business. Our commitments to quality include:

- Continual improvement in all aspects of our Integrated Management System through quality audits, and reviews to be conducted at least annually.
- Maintain objectives that are measurable, monitor performance against the objectives, review and analyse trends at least quarterly, and takes corrective or preventative measures as deemed necessary.
- Listening, understanding and responding to our client’s needs;
- Meeting the requirements of the client contract and specifications while operating to Australian and international standards including ISO9001:2015 and relevant legislation;
- Provide clear communication, procedures and safeguards to ensure continual high-quality outcomes;
- Ensure our staff are well trained and qualified for their duties;
- Provide safe and high-quality, well maintained plant and equipment for our staff to utilise;
- Provide adequate financial and staff resources to maintain and improve the quality management system;
- Controlling & implementing contract alterations as they occur;
- Requiring the same standards of our sub-contractors;

Proper adherence to this Policy Statement is required of all employees. All employees are encouraged to suggest process/procedure changes to improve quality. Quality is the responsibility of all employees.

Nathan Parfoot
Hunter Rail and Civil
(Director) Date: 21/11/2019
1.3.2 WORK, HEALTH & SAFETY POLICY

Policy Statement

Hunter Rail and Civil recognises its moral and legal responsibility to provide a safe and healthy work environment for workers, contractors and employees of contractors, clients and visitors to site. This commitment extends to ensuring that operations do not place the local community at risk of injury, illness or property damage.

Our WHS policy is to actively work towards elimination of injuries and fatalities.

Strategies

Management are committed to:

- Integrating WHS into all aspects of Hunter Rail and Civil operations;
- Compliance with legislative requirements, current industry WHS standard AS4801:2001 and co-operation with Regulatory bodies, as far as is reasonably practicable;
- Identifying any hazards in the workplace that may be a risk to health and safety and eliminating or controlling those hazards;
- Measurable targets to ensure continued improvement reflected in accountability/key performance indicators at all levels;
- Provision and maintenance of a work environment that is safe and without risks to health;
- Consultation with employees and other parties to improve decision-making on WHS matters;
- Information, training and supervision to workers contractors, clients and visitors to ensure safety;
- Support and assist employees in effective injury management and rehabilitation;
- The annual review and assessment of WHS policies, and the effectiveness of the Integrated Management System;
- Plant and Equipment maintained in a safe condition.

Nathan Parfoot
Hunter Rail and Civil (Director) Date: 21/11/2019
1.3.3 ENVIRONMENTAL POLICY

Policy Statement

Hunter Rail and Civil is committed to conducting our business in an environmentally aware and responsible manner. We seek the co-operation of our workers and business partners in ensuring our organisational practices are conducted with minimal environmental impact.

We will engage with workers, contractors, visitors and business partners to achieve compatibility between economic development and the maintenance of the environment to minimise harm.

Hunter Rail and Civil will endeavour to minimise impact on the following:

- Atmospheric emissions
- Site contamination and spills
- Noise Emission
- Damage to flora and fauna
- Storm water management
- Unnecessary energy consumption

Strategies

To fulfil this commitment, Hunter Rail and Civil, will observe all environment laws and promote environmental awareness among all workers to increase understanding of environmental matters.

Hunter Rail and Civil will:

- Establish measurable objectives aimed at continual improvement and review our performance at least quarterly;
- Identify waste streams and options for effective waste management;
- Improve purchasing (buy recycled materials, reduce waste, use less harmful/volatile chemicals);
- Improve storage (reduce quantity, waste and spills, reduce odours by keeping containers closed);
- Conserve energy (eco-friendly lights, turn lights off, emergency efficient equipment, greener fuel sources – such as LPG and methane);
- Conserve water (install water saving accessories, repair leaks);
- Preserve waterways (clearly mark and protect storm water drains);
- Emergency planning and spill response;
- Seek appropriate licenses/permits from State Environmental Protection Agencies and other relevant Authorities;
- Improve education/awareness by communicating with all persons working with or for the company;
- Is available to the public;
- Review the effectiveness of the Integrated Management System and the Environmental Policy at least annually in consultation with relevant stakeholders.

Nathan Parfoot
Hunter Rail and Civil
(Director) Date: 21/11/2019
1.3.4 QUALITY, SAFETY AND ENVIRONMENTAL OBJECTIVES

The Quality, safety and environmental objectives listed below are deemed to be the highest priority at the time of publication of the IMS. The list is based on the SWOT analysis and needs of stakeholders and is not intended to be exhaustive. Our approach is to focus the high priority items and review and reset objectives as deemed necessary but at least annually.

Hunter Rail and Civil is committed to consistently achieving its 2019 calendar year objectives as stated below:

Quality

1. Implement a certified quality management system;
2. Client feedback score of 3 or greater;
3. All projects will be completed within the agreed timeframe(s) – excluding client-initiated variations;

Safety

4. Zero Lost Time Injuries (LTI);
5. Zero medically treated injuries;
6. Every site will have a minimum of one qualified first aider;

Environmental

7. All sites will be rehabilitated based on Client requirements;
8. Zero non-conformances with the environmental requirements in the Development Application / Construction Certificate.

Achieving our objectives is the responsibility of all Staff. Training on Hunter Rail and Civil quality, safety and environmental objectives is provided to Staff in regular Toolbox meetings and expectations are outlined in the induction training for all new employees. The Management Representative monitors any deviations from our objectives through the Non-Conformance and Continuous Improvement system described in Section 4.1. Corrective actions are to be implemented whenever exceptions or improvement opportunities are reported as outlined in Section 4.1 and 4.2.

Strategies to achieve our objectives:

<table>
<thead>
<tr>
<th>#</th>
<th>Strategy</th>
<th>By Whom</th>
<th>By When</th>
<th>Evaluation Criteria</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>• Engage a third-party consultancy firm to assist with developing a</td>
<td>Director</td>
<td>Engage Stage 1 before end of 2019</td>
<td>• Improved management practices</td>
</tr>
<tr>
<td></td>
<td>compliant Integrated Management System</td>
<td></td>
<td></td>
<td>• Increased sales</td>
</tr>
<tr>
<td>2</td>
<td>• Develop a Client Feedback questionnaire</td>
<td>Director</td>
<td>December 2019</td>
<td>• Greater customer satisfaction</td>
</tr>
<tr>
<td></td>
<td>• All jobs will be surveyed using Client Feedback Questionnaire</td>
<td></td>
<td></td>
<td>• Increased repeat business</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>• More referrals</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>• Improved business processes</td>
</tr>
<tr>
<td>3</td>
<td>• Review the quoting process quarterly</td>
<td>Engineer /</td>
<td>January 2020</td>
<td>• All jobs delivered on time</td>
</tr>
<tr>
<td></td>
<td>• Monitor tender process looking for improvement opportunities</td>
<td>Director</td>
<td></td>
<td>• Increased customer satisfaction</td>
</tr>
<tr>
<td>4</td>
<td>• Daily Toolbox training and site risk assessments</td>
<td>Site Supervisor</td>
<td>On-going</td>
<td>• Zero LTIs and reduced MTIs</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td>• Increased safety</td>
</tr>
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### Table 2: Objective Strategies

<table>
<thead>
<tr>
<th>Objective Strategies</th>
<th>Responsible Officer</th>
<th>Timeframe</th>
<th>Benefits</th>
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<tbody>
<tr>
<td>• Plant inspections daily</td>
<td></td>
<td></td>
<td>• All plant will have Plant Risk Assessments</td>
</tr>
<tr>
<td>• All plant will have Plant Risk Assessments</td>
<td>Site Supervisor</td>
<td>On-Going</td>
<td>• Zero LTIs and reduced MTIs</td>
</tr>
<tr>
<td>• Plant inspections daily</td>
<td></td>
<td></td>
<td>• Increased safety awareness</td>
</tr>
<tr>
<td>• All plant will have Plant Risk Assessments</td>
<td></td>
<td></td>
<td>• Attitude improvement</td>
</tr>
<tr>
<td>5</td>
<td>Daily Toolbox training and site risk assessments</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Plant inspections daily</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• All plant will have Plant Risk Assessments</td>
<td>Site Supervisor</td>
<td>On-Going</td>
<td>• Objective achieved</td>
</tr>
<tr>
<td>• Daily Toolbox training and site risk assessments</td>
<td></td>
<td></td>
<td>• Increased employee satisfaction</td>
</tr>
<tr>
<td>• Plant inspections daily</td>
<td></td>
<td></td>
<td>• Reduced risk</td>
</tr>
<tr>
<td>• All plant will have Plant Risk Assessments</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6</td>
<td>Develop and use a Training Matrix</td>
<td>December 2019</td>
<td>Objective achieved</td>
</tr>
<tr>
<td>• Add all qualifications into the Training Matrix</td>
<td>Project Administrator</td>
<td></td>
<td>Increased employee satisfaction</td>
</tr>
<tr>
<td>• Identify 1st Aiders and potential for additional training</td>
<td></td>
<td></td>
<td>Reduced risk</td>
</tr>
<tr>
<td>• Monitor training expiry dates</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7</td>
<td>Add environmental issues to all SWMS ensuring the aspects are linked to the work activities</td>
<td></td>
<td>Contractual requirements met</td>
</tr>
<tr>
<td>• Add environmental checks to the ITP</td>
<td>Project Manager</td>
<td>January 2020</td>
<td>Reduced environmental impact</td>
</tr>
<tr>
<td>• Add environmental issues to all SWMS ensuring the aspects are linked to the work activities</td>
<td>Site Supervisor</td>
<td>January 2020</td>
<td>Increased environmental awareness</td>
</tr>
<tr>
<td>• Add environmental issues to all SWMS ensuring the aspects are linked to the work activities</td>
<td></td>
<td></td>
<td>Reduced risk</td>
</tr>
<tr>
<td>8</td>
<td>Toolbox training to cover environmental requirements associated with the DA / Construction Certificate</td>
<td></td>
<td>Contractual requirements met</td>
</tr>
<tr>
<td>• Toolbox training to cover environmental requirements associated with the DA / Construction Certificate</td>
<td>Site Supervisor</td>
<td>January 2020</td>
<td>Reduced environmental impact</td>
</tr>
<tr>
<td>• Toolbox training to cover environmental requirements associated with the DA / Construction Certificate</td>
<td></td>
<td></td>
<td>Increased environmental awareness</td>
</tr>
<tr>
<td>• Toolbox training to cover environmental requirements associated with the DA / Construction Certificate</td>
<td></td>
<td></td>
<td>Reduced risk</td>
</tr>
<tr>
<td>• Toolbox training to cover environmental requirements associated with the DA / Construction Certificate</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
### 1.4 INTRODUCTION TO THE IMS

<table>
<thead>
<tr>
<th>Section name</th>
<th>Brief Description</th>
<th>Section headings</th>
<th>Persons relevant to</th>
</tr>
</thead>
</table>
| 1.0 INTRODUCTION            | This section provides supporting information for the IMS in compliance with the     | 1. Business Context  
1.1 Scope  
1.2 Responsibilities and Leadership  
1.3 Policies and Objectives  
1.4 Introduction to the IMS  
1.5 Process Flow Chart      | Relevant to all Staff and Management. This section is introductory only.          |
| 2.0 OPERATIONAL PROCEDURES | This section is relevant to all Hunter Rail and Civil protective services staff.    | 2.1 Initial Contact  
2.2 Tender  
2.3 Acceptance  
2.4 Pre-Works  
2.5 Commencement  
2.6 Completion  
2.7 Defects Liability Period | Relevant to all Staff and Senior Management                                    |
| 3.0 RISK MANAGEMENT         | This section is relevant to the safety management of the business and includes legal | 3.1 Preparation of the SWMS  
3.2 Hazard identification risk register  
3.3 Environmental Aspects  
3.4 Consultation and Communication  
3.5 Accident or Incident Response  
3.6 Emergency Management  
3.7 Monitoring and Measurement | Relevant to all staff and Management, but mainly Management                     |
| 4.0 MANAGEMENT SYSTEM       | This section covers Hunter Rail and Civil procedures in compliance with the        | 4.1 Non-conformances and continuous improvement  
4.2 Documented Information  
4.3 Human Resources  
4.4 Purchasing and Sub-Contracting  
4.5 Internal Audits  
4.6 Communications, Knowledge | Mainly relevant to Senior Management and the Management Representative. Reporting non-conformances is relevant to all Staff and Management. |
| 5.0 MAINTENANCE             | This section refers to the processes carried out to maintain vehicles, plant and    | 5.1 Vehicles, Plant and Equipment  
5.2 Inspections. Testing and Tagging  
5.2 Calibration of Instruments | Relevant to all Staff who operate vehicles, use plant or Hunter Rail and Civil equipment. |

*Table 2: Introduction to the IMS*
1.5 PROCESS FLOW CHART

Throughout the operational processes the following non-operational processes take place:

- Safety and environmental risks are managed as per Section 3.0 Risk Management
- Actual or potential non-conformances are identified. Corrective/preventive action is determined as per Section 4.1 Non-conformances and Continuous Improvement
- Management of internal and external documentation is as per Section 4.2 Documented Information
- Staff are selected, recruited, and trained as per section 4.3 Human Resources
- Procurement takes place as per section 4.4 Purchasing
- The IMS is audited at least once annually as per Section 4.5 Internal Audits
- Internal meetings are held as per Section 4.6 Communications, Knowledge.
- Maintenance is carried out as per Section 5 Maintenance

Figure 2: Process flowchart
2 OPERATIONAL PROCEDURES

2.1 INITIAL CONTACT

Upon initial contact, Hunter Rail & Civil staff will determine whether the Scope of Works is Plant Hire or Contracted works. Once this has been determined, the appropriate process below is followed.

2.2 TENDER

Responsibility: Director, Civil Engineer, Project Administrator

In preparing a tender response the following steps are followed:

1. Hunter rail and civil subscribes to a tender search portal. New opportunities may be by receipt of an email notification from the tender portal or by direct tender invitation from an existing contact;
   a. Word of mouth referrals via clients or business contacts may also result in opportunities to tender;
2. The Director or Project Manager will download the tender documents and adds them to a One Drive folder Tender folder;
3. The Civil Engineer will review the plans and Scope of Works outlined in the tender;
   a. A written summary of the tender is created;
4. Opportunities are revaluated for risk by the Director and/or the Civil Engineer based on the following:
   • The type of client is considered prior to downloading the document;
   • Our capability;
   • Current capacity;
   • Location of the job;
   • Timeframe;
   • Level of Sub-Contractor work required;
   • Potential profitability;
   • Environmental requirements of the tender.
5. The Director and Civil Engineer goes to the site and checks out specifications against Scope of Works.
6. Where applicable, the Director and/or Civil Engineer reviews and creates a Dilapidation Report;
7. Geotech Reports are also reviewed, if applicable;
8. Tender specifications are checked based on drawings and Scope of Works/Bill of quantities;
9. The Civil Engineer adds relevant details to the tender estimating program including machines required, updated rates and labour information and any other critical items that may come up during tender stage;
10. The Director or Civil Engineer determines the Sub-Contractor requirements and materials needed and invites the Project Administrator to organise quotes;
11. Quotes are received and filed in the Quotes folders and assessed. Once assessed they are also added into the tender estimating program;
12. The Director reviews the tender response and adds details of the timeframe and labour costs based on experience;

13. The responses are double checked by both the Engineer and the Director;

14. The Engineer writes a Letter of Offer with inclusions, exclusions and provisions and submits the tender response;

15. The response is added to the Submitted folder;

16. The Client responds with clarification requests by email and is responded to by the Director and/or the Engineer;

17. Adjustments to the tender submission are made based on clarification requests, as required.

2.3 WET/DRY HIRE

Responsibility: Director, Civil Engineer, Project Administrator

Wet & Dry hire jobs may be received from clients who have previously been provided with pricelists.

The initial contact for a wet hire customer will usually be a verbal contact or email.

The staff member taking the call clarifies the customer requirements by confirming the Scope of Works, location timeframe, equipment required etc.

Wet & Dry hire jobs are not tendered.

2.4 ACCEPTANCE

Responsibility: Director, Civil Engineer, Project Administrator

For Contracted Works:

Hunter Rail and Civil does not commit direct expense resources to a project without a written acceptance.

The following process takes place:

1. A notification of acceptance is received;

2. A Contractors Meeting is called to go through to contract, construction program, review equipment, safety and environmental issues as well as permit requirements;

3. Tender responses are modified, as agreed to be necessary.

2.4.1 WET & DRY HIRE

Responsibility: Director, Civil Engineer, Project Administrator

A purchase order or email is received as notification that wet or dry hire offer has been accepted.
2.5 PRE-WORKS

Responsibility: Director, Project Manager, Project Administrator, Civil Engineer

The following steps take place in preparation for the service contract work to commence:

1. Sub-Contractors are notified of acceptance of their quotes;

2. A pre-work meeting is held involving the Civil Engineer, Project Manager and Site Supervisor in which the following items are reviewed:
   - The timeframe;
   - Site layout;
   - Expectations based on a construction program;
   - Resources and suppliers;
   - Materials lists.

3. The Project Manager undertakes a site risk assessment using the Hazard Identification & Risk Assessment Form.

4. The Project Manager ensures all SWMS cover expected/planned work activities.

5. The Project Manager organises machinery hire and carries out a review of the current work schedule for plant and labour movements;

6. The Project Manager assigns work to various Operators, Labourers and the Site Supervisor;

7. The Engineer or Site Supervisor goes to the site and carries out the following:
   - Site access and egress is reviewed and a road is created, if necessary;
   - Based on the erosion/sediment plan, the appropriate environmental controls are established e.g. sediment fencing, sandbags, hay bale drain protections are put into place;

8. The Project Administrator organises demountable buildings, if required;

9. The Project Manager arranges for a float to collect machinery and mobilise to the site, if applicable;

2.6 COMMENCEMENT

Responsibility: Site Supervisors, Operators, Labourers

Operational processes continue with staff providing services as per the relevant standards, legislation and Hunter Rail and Civil procedures as follows:

1. Client site inductions are carried out for all site staff;
   a. Safe Work Method Statements are reviewed and signed by all site staff;
   b. The Safe Work Method Statement is also reviewed periodically on site by the Site Supervisor;

2. Hunter Rail and Civil inductions are also carried out using the Project Induction Form;

3. Pre-Start plant inspections are carried out daily via the Assignar App;

4. Work commences and is carried out as per standard operating procedures;
5. The Site Supervisor keeps records of site activities in the **Day Diary** and **Hire Dockets** are completed daily.

### 2.6.1 INSPECTIONS

**Responsibility: Site Supervisor**

Inspections of work are carried out following the methodology outlined in the **Inspection Test Plan**.

All works are inspected by the operators during construction.

### 2.7 COMPLETION

**Responsibility: Project Manager, Site Supervisor, Operators, Labourers, Project Administrator.**

- Machinery is removed from the site as the job winds down until a skeleton crew remains.
- Final handover meeting takes place and the job is signed off after a site walk is carried out with the client representative and the Hunter Rail and Civil Project manager.
- If necessary, a crew will be dispatched to return to the site and rectify any works not having been completed correctly.
- The **Inspection Test Plan** is signed off at the final stage,
- The site is restored to its original condition in the reverse order of the initial setup. Buildings are removed and the site is rehabilitated to the agreed standard.

### 2.7.1 CLIENT SATISFACTION

**Responsibility: Site Supervisor, Project Manager**

Our primary measure of client satisfaction is the level of repeat business we receive.

Client satisfaction is also determined at various stages along the project path as the ITP is signed off by the client. The ITP is a secondary measure of Client Satisfaction.

In addition, the low level of reworks required during the Defects Liability Period is an indicator.

### 2.8 DEFECTS LIABILITY PERIOD

**Responsibility: Project Manager**

During the Defects Liability Period, the following process will take place on the event of a non-conforming product or service:

1. The Project Manager will verify that the customer complaint is valid e.g. by reviewing the site or photos of the site;
2. The Project Manager carries out an investigation where the issue is seen to be of product non-conformance or faulty workmanship:
   a. Resources are allocated to the job as per Section 2.4;
   b. The issue is rectified;
   c. The Project Manager verifies with the customer that the work is acceptable;
   d. A Non Conformance Report is completed and the process outlined in section 4.1.1 is followed;
3. Alternatively, a quote is produced for the job and the work continues as per Section 2.5.
3 RISK MANAGEMENT

Scope
The section applies to general risk management, environmental and safety aspects of Hunter Rail and Civil site operations as well as the office and yard.

Purpose
It is the intention of this Section of the IMS to outline the environmental, safety and general risk management procedures followed by Hunter Rail and Civil in order to comply with client contractual requirements, our legal requirements as well as AS/NZS 4801:2001, ISO14001:2015.

Introduction
Risk based thinking is intrinsic to all Hunter Rail and Civil processes with considerations being applied to the context of the business as described in Section 1.0.

Risk in general is managed as described below in the Risk Management Flowchart below describes the overall Risk management process adapted for use in all Hunter Rail and Civil processes.

Figure 3: Risk Management Process

Hunter Rail and Civil complies with the general business legislation, Work Health & Safety Act, the federal Environment Acts, the supporting regulations, all relevant state legislation, local authority by-laws and the appropriate Codes of Practice and Australian Standards for the management of risks and hazards in the workplace.
The following diagram outlines the relationship between the various instruments used to manage risk in the workplace.

![Diagram of Document Hierarchy]

**Figure 4: Document Hierarchy**

Hunter Rail and Civil will identify and manage risks and hazards using main instruments as listed below:

  - The Work, Health, Safety and Environmental Management Plan (WHSEMP). Hunter Rail and Civil complies with the WHSEMP of the Client, where applicable or will provide a site specific WHSEMP to manage safety and environmental issues on a site, if necessary.

- **Plant Risk Assessments** are carried out by a third-party certified assessor on all high-risk plant and machinery to determine the requirements for safe operation of the equipment. Risks and the control measures associated with specific plant are added to the SWMS.
  - Plant pre-start checklists have also been developed to ensure all plant is in good working condition and to further safeguard operators of plant and equipment. These Plant pre-start checklists are completed on the Assignar app.
  - The Assignar app is used to keep records of Pre-Start risk assessments.
  - Toolbox talks take place daily in which all site staff will review safety and environmental issues and, if necessary, new hazards are added to the SWMS with the appropriate control measures.

- **Safe Work Method Statements** (SWMS) are used as required i.e. in case of high-risk work activities, or in compliance with contractual obligations, to control the safety and environmental risks associated with the standard set of work activities.
  
  Staff are required to abide by the control measures specified in the Hunter Rail and Civil SWMS documents. The generic SWMS documents are prepared by the Project Manager and the cover page modified to suit the specific site.
  
  The SWMS is also used as a risk assessment tool to be used on site to identify variable, site specific hazards and risks. Site specific hazards and risks are need to be added to the Safe Work Method Statement as required. Staff should use the SWMS as a checklist of safety and environmental issues that should be observed and controlled. The SWMS is reviewed anytime there are changes to conditions such as moving to new sites, or weather changes or night work.

- The **Safety and Environmental Risk Register** is an important tool used to implement control measures over static safety or environmental issues that may occur around the office, storage yard or at any static site where carrying out any business activity.

- **Safety Data Sheets** (SDS) are maintained to document control measures over hazardous substances.
3.1 SITE SPECIFIC SAFE WORK METHOD STATEMENTS

Responsibility: Project Manager, Site Supervisor, Crews

The Project Manager will decide upon the appropriate SWMS based on the tasks to be performed on site prior to mobilising and completes the job specific details on the front page of the SWMS and ensures the SWMS (and SDS, if relevant) are in the available to all site staff.

The SWMS is laid out in a logical sequence to make preparation easy. It also serves as a risk assessment by for our standard activities.

3.1.1 PREPARATION OF THE SWMS

In preparing the initial SWMS the following process takes place:

1. All page one site specific details are completed including identifying hazards and risks;
2. Relevant activities / environmental aspects are identified and recorded in sequential order of performance on the SWMS and each step of the job is assigned a number in the first column;
3. Safety and environmental hazards and risks/environmental impacts associated with the task are identified and recorded on the SWMS in the hazards, aspects column;
4. The current risk level is determined and data is entered into Risk Rating column based on the following Risk Calculator in Tables 4, 5 and 6:

HAZARD IDENTIFICATION RISK MANAGEMENT CALCULATOR

CONSEQUENCE LEGEND

<table>
<thead>
<tr>
<th>Impact band</th>
<th>Health and safety</th>
<th>Environment and Heritage</th>
<th>Reputation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Substantial</td>
<td>Class 1 (Fatal incident)</td>
<td>Permanent widespread ecological damage</td>
<td>International negative media. Loss of business from key sector</td>
</tr>
<tr>
<td>Major</td>
<td>Class 1 (Permanent injury)</td>
<td>Heavy ecological damage, costly restoration</td>
<td>Sustained national negative media coverage. Loss of long-term key client</td>
</tr>
<tr>
<td>Moderate</td>
<td>Class 2 (Lost time injury)</td>
<td>Major but recoverable ecological damage</td>
<td>Regional/short term negative media coverage. Loss of client/project</td>
</tr>
<tr>
<td>Minor</td>
<td>Class 2 (Minor injury, Medical treatment)</td>
<td>Limited but medium-term damage</td>
<td>Local negative media coverage. Site or project problem</td>
</tr>
<tr>
<td>Negligible</td>
<td>Class 3 (Slight injury, First-aid)</td>
<td>Short term damage</td>
<td>Brief local negative media coverage</td>
</tr>
</tbody>
</table>

Table 3: Consequence Legend

LIKELIHOOD LEGEND

<table>
<thead>
<tr>
<th>Probability Band</th>
<th>Description</th>
<th>Guide</th>
</tr>
</thead>
<tbody>
<tr>
<td>Almost certain</td>
<td>The threat can be expected to happen</td>
<td>75% – 95%</td>
</tr>
<tr>
<td>Likely</td>
<td>The threat will quite commonly occur</td>
<td>50% – 75%</td>
</tr>
<tr>
<td>Possible</td>
<td>The threat may occur occasionally</td>
<td>25% – 50%</td>
</tr>
<tr>
<td>Unlikely</td>
<td>The threat could infrequently occur</td>
<td>10% – 25%</td>
</tr>
<tr>
<td>Rare</td>
<td>The threat may occur in exceptional circumstances</td>
<td>0% – 10%</td>
</tr>
</tbody>
</table>

Table 4: Probability Table
### RISK MATRIX

<table>
<thead>
<tr>
<th>Probability</th>
<th>Risk Matrix</th>
<th>Impact</th>
<th>Negligible</th>
<th>Minor</th>
<th>Moderate</th>
<th>Major</th>
<th>Substantial</th>
</tr>
</thead>
<tbody>
<tr>
<td>Almost certain</td>
<td>Low (5)</td>
<td>Moderate (10)</td>
<td>Very high (18)</td>
<td>Extreme (23)</td>
<td>Extreme (25)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Likely</td>
<td>Low (4)</td>
<td>Moderate (9)</td>
<td>Very high (17)</td>
<td>Very high (20)</td>
<td>Extreme (24)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Possible</td>
<td>Low (3)</td>
<td>Moderate (8)</td>
<td>High (13)</td>
<td>Very high (19)</td>
<td>Very high (22)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Unlikely</td>
<td>Low (2)</td>
<td>Low (7)</td>
<td>High (12)</td>
<td>High (15)</td>
<td>Very high (21)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Rare</td>
<td>Low (1)</td>
<td>Low (6)</td>
<td>Moderate (11)</td>
<td>High (14)</td>
<td>High (16)</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

#### Table 5: Risk Matrix

5. Controls measures will be considered based on the Risk Control Hierarchy in Table 7 below. Consideration will be for the higher levels of control e.g. Elimination of the hazard before considering the lower levels of control e.g. personal protective equipment:

### Risk Control Hierarchy

<table>
<thead>
<tr>
<th></th>
<th>Elimination</th>
<th>Substitution</th>
<th>Engineering Control</th>
<th>Administrative Control</th>
<th>Protective Equipment for Personnel</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Elimination</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Substitution</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Engineering Control</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Administrative Control</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Protective Equipment for Personnel</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

#### Table 6: Hierarchy of Controls

6. Control measures will be recorded in the Control Measures column of the SWMS to help reduce risk to the lowest possible level;

7. The residual risk score is determined by the controls implemented as per point 5 above using the Hazard Identification Risk Calculator above and entered into the appropriate column on the SWMS;

   a. If after applying the control measures the risk rating is still considered to be unacceptable based on the Risk Class table below, additional control measures must be applied or actions taken until the risk is reduced to as low as reasonably practicable (ALARP);

### RISK CLASS TABLE

<table>
<thead>
<tr>
<th></th>
<th>1 - Extreme</th>
<th>2 – Very High</th>
<th>3 - High</th>
<th>4 - Moderate</th>
<th>5 - Low</th>
</tr>
</thead>
<tbody>
<tr>
<td>STOP THE JOB</td>
<td>STOP Work reassess &amp; find better way to work if the residual risk remains as &quot;High&quot; your manager must authorise works to start</td>
<td>Control risk &amp; monitor to ensure controls work</td>
<td>Monitor work to ensure risk remains Moderate to Low</td>
<td>Continue Work</td>
<td></td>
</tr>
</tbody>
</table>

#### Table 7: Risk Class table

8. The completed SWMS are available for all staff on site in electronic and hard copy format;

9. Prior to commencing the activity, the SWMS is reviewed by staff involved in the activity and signed off in the appropriate place;

10. If any changes are needed:

   a. Changes will be assessed based on issues identified in the SWMS or Docket Book and handwritten on to the SWMS, if necessary;

   b. As above, all staff involved in the activity will review and sign the changed SWMS;

11. The Site Supervisor ensures that control measures have been implemented through monitoring;
12. Potential environmental impacts associated with the aspect of the project are identified in the SWMS and potential safeguards are added based on legal and contractual requirements and the industry best practice to reduce the risk to an acceptable level.

Note: Hazardous substance risk assessments have been done previously and are recorded on Safety Data Sheets (SDS) for each hazardous substance and available on site.

### 3.1.2 REVIEW OF SWMS

**Responsibility:** Director, Project Manager, Project Administrator, Civil Engineer

The SWMS documents i.e. the template layout and format, are **reviewed at least annually** in accordance with the document review strategy (see Section 4.2.1 Internal Documents).

The generic SWMS content, e.g. identified tasks, hazards and control measures etc., **will be also reviewed annually** following the process outlined above and as otherwise needed, e.g. immediately after a serious incident has been reported, in consultation with at least one other Hunter Rail and Civil worker.

Site Implemented SWMS are **reviewed monthly** to accommodate changes and scope of work and to match against regular risk assessment review findings.

In addition, the Project Administrator / Civil Engineer follows the system outlined in 4.1.2 Review of Non-Conformances and Continual Improvement to produce **statistical reports** on the data collected for review in the quarterly Improvement Meeting. Where targets are not being met, the SWMS content will be subject to review.

The review procedure of the SWMS will be as per the relevant parts of section 3.1.1 Preparation of the SWMS and section 4.1 Non-conformances and Continuous Improvement.

If a need to change the SWMS or other documents arises e.g. after an incident, changed legislation, new equipment, additional hazards identified, etc., the relevant parts of the above process will be repeated including sign off by the crew. Changes to the document will take place as per Section 4.2.1 Internal Documents.

Employees will be notified by email, site noticeboard (where applicable); verbally in Toolbox Meetings as changes occur.

Note: Hunter Rail and Civil will comply with the customer’s site-specific Work Health, Safety and Environmental Management Plan, and SWMS where required.

### 3.2 HAZARD IDENTIFICATION & RISK ASSESSMENT

**Responsibility:** Director, Project Manager, Project Administrator, Civil Engineer

Scope: this section is relevant to the hazards from the office as well as the Yard/Workshop area.

The Project Manager and at least one other employee in the area being assessed will perform the following activities:

1. **Potential Hazards, Risks / Environmental Impacts** are identified from the office and the Yard/Workshop. The Hazard is added to the Hazard Identification & Risk Assessment Form.

2. The **Risk Ranking** is determined based on the Risk Calculator in Section 3.1.1 Preparation of the SWMS. If the risk rating is Intolerable, work cannot continue in the assessed area / location without control measures;

3. **Control measures** will be identified and added to the register in consideration of the following hierarchical list of control measures listed below in Table 8. (Consider the higher levels of control e.g. eliminate the hazard before considering the lower levels of control mentioned):
Risk Control Hierarchy

<table>
<thead>
<tr>
<th></th>
<th>Description</th>
<th>Most effective</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Elimination - eliminate the work practice, material, plant equipment responsible for the hazard</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>Substitution - substitute the work practice, materials, plant, equipment for a safer alternative</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>Engineering Control - re-design the work practice use of materials, plant or equipment to attain a safer alternative</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>Administrative Control - changing the deployment of personnel to reduce exposure (job rotation, training, etc.)</td>
<td></td>
</tr>
<tr>
<td>5</td>
<td>Protective Equipment for Personnel - select appropriate equipment/apparel to reduce risk/exposure</td>
<td>Least effective</td>
</tr>
</tbody>
</table>

4. The revised or **Residual Risk** have put into effect, will be identified and recorded on the register;

5. The **person responsible** for monitoring compliance with the identified controls measures is recorded on the Register;

6. If any of the listed control measures require further action, it is dealt with as per section 4.1 Non-Conformances and Continuous Improvement.

The Hazard Identification & Risk Assessment Form will be included as part of the induction for new employees and, if appropriate, Sub-Contractors.

If a need to change the Hazard Identification & Risk Assessment Form template arises e.g. after an incident, changed legislation, new equipment, additional hazards identified, etc., the relevant parts of the above process will be repeated. Changes to the Register will be made in accordance with section 4.2.1 Internal Document Control.

As per section 4.2.1, relevant staff and management will be notified of relevant changes to the Hazard Identification & Risk Assessment Form in Toolbox Meetings.

Furthermore, the content of the Hazard Identification & Risk Assessment Form as well as the form will be **reviewed annually** by the Project Administrator, Civil Engineer and at least one employee. Any changes to the Hazard Identification & Risk Assessment Form will be managed as per the above processes.

### 3.3 ENVIRONMENTAL ASPECTS

**Responsibility:** Director, Project Manager, Project Administrator, Civil Engineer.

**Implementation and operation**

The **Environmental Aspects, Impacts and Safeguards** document establishes the environmental issues over which the Hunter Rail & Civil can exercise control or influence. All workers will be suitably trained in the environment, will be aware of their responsibilities and competent to carry out the work. The environmental requirements will be explained to employees during the site induction and ongoing training via **toolbox talks**.

**Communication and Reporting**

Internal communication methods include the following as applicable:

- Site meetings
- Project reports and reviews
- Audit reports
- Non-conformance reports
- Employee induction, training and toolbox talks (as required)

External communications methods include:

- Community consultation
- Discussions with adjoining landowners, neighbours who may be affected by the project
- Handling of complaints
Emergency Preparedness and Response

Environmental emergencies shall be handled in accordance with the appropriate Emergency Response Procedure. The Client and relevant statutory and regulatory authorities shall be informed of major non-conforming environmental incidents or pollution events. Information on the handling of hazardous materials are contained in the MSDS. Emergency Services contact numbers are to be displayed in main site offices.

Environmental Benefits of Complying with Environment Management

The site induction process is designed to improve site personnel awareness of the impact of construction works on the local community and environment and what they can do to minimise these impacts. The benefit of site personnel adhering to environmental requirements is that construction works will have minimal impact on the local community and the environment. The site environment may actually be enhanced through restoration works.

Potential Consequences of Departure from Specified Environmental Management

Consequences of departure from specified operating procedures could have the potential to impact in the following ways:

- Detrimental impacts on the environment.
- Liability under environment protection legislation;
- Personal fines and imprisonment
- Loss of company reputation

Monitoring and Management

Operations and activities that have a significant impact on the environment shall be regularly monitored and measured. This shall include:

- recording of information to track performance
- monitoring operational controls
- level of conformance with objectives and targets

Monitoring and measuring equipment shall be calibrated, maintained and controlled in accordance with the equipment specifications. Compliance with relevant Environmental Legislation, Regulations and other controls shall be periodically evaluated during audits, site inspections and management reviews of the system.

Non-conformance, Improvement Suggestions, corrective action and preventative action

All non-conformances identified other than environmental incident/pollution events are to be documented, investigated and addressed in accordance with system procedure. All environmental incidents/pollution events shall be managed in the following ways:

- Reported (using NCR Report or Improvement Form)
- Logged into a register
- Investigated and actioned to correct the problem and prevent a recurrence

Environmental incidents/pollution events shall be classified as either major or minor as follows:

**Major (Any one of the points listed)**

- Significant adverse effect on health and safety of personnel
- Breaches of approval licences, government regulations, policies etc with risk of penalties, fines or notices being issued
- Effects may be irreversible or costly to fix
- Significant level of valid public or client complaints
- Public image of the contractor or client adversely affected
- Rare, endangered or protected species destroyed
Minor

- Effects are easily reversible
- Health and safety of personnel not placed at significant risk
- Minor irritation or nuisance
- Public image of contractor or client unaffected

*Minor* environmental incidents/pollution events are normally handled by the Site Supervisor who is responsible for that section of work and are to be reported to the Project Manager.

*Major* environmental incidents/pollution events must be referred to the Project Manager on site who shall advise the Director of Operations and take appropriate action.

Corrective and preventative action shall be taken to avoid recurrence of an environmental incident/pollution event or potential environmental incident/pollution events

**Complaints**

The Site Supervisor and/or Project Manager shall be notified of all complaints. All complaints received (either written or verbal) must be documented on the *Complain Report* form to contain the following information:

- The nature and extent of the complaint
- The method by which the complaint was made
- The name and position of the person lodging the complaint
- Details of location, dates, times and effects of the complaint
- The action taken to address the complaint including follow up contact with the complainant

The Project Manager, or his/her nominee, shall investigate and determine appropriate corrective/preventive actions to be taken to address all Complaints. The complainant shall be informed in writing the results of the investigation and action to be taken by the contractor to rectify or address the matter(s). Where no action is taken the reason/s why are to be recorded. The Register of Complaints shall be maintained by the Project Administrator.

**Records**

Environmental records shall be:

- kept as objective evidence of compliance with environmental requirements
- filed in the appropriate area at Hunter Rail & Civil Head Office
- Video record and photographic record of site activities
- Prior to, during and on completion of works, a photographic record of the current condition will be undertaken in accordance with current heritage

### 3.4 CONSULTATION AND COMMUNICATION

**Responsibility:** Director, Project Manager, Project Administrator, Civil Engineer, all Staff

**Policies**

The Project Administrator will *email* Staff regarding the Work, Health & Safety Policy annually to invite comments as the policy review takes place to ensure they are involved/have a voice in their own safety. Constructive feedback received from staff and management will be *added to the Policy* and implemented accordingly.

Furthermore, staff and management may request changes to any Policy whenever they feel a change is needed. Changes to the Policy will be handled in accordance with section 4.2.1 Internal Documents and all staff and management will be notified by e-mail or in *Toolbox Meetings*.

To ensure our Quality; Work, Health & Safety and Environmental Policies are known, Hunter Rail and Civil have posted them to our web site.
Integrated Management System

Risk Assessments

Staff and/or Sub-Contractors are invited to participate in the risk assessment process using Docket Books and when creating and reviewing the SWMS and SERR for identification of hazards and implementation of implementation of control measures etc. and are consulted in Toolbox Meetings regarding their on-going confidence in the safety management system. (See also Section 4.6 Communications, Knowledge)

Communication

Communication takes place as described in the previous paragraphs and as outlined in Section 4.6 Communications, Knowledge. When changes to documents and processes occur, staff are required to acknowledge the change using the Sign-Off Sheet.

Communications from the public regarding the Environmental Policy will be dealt with as Customer Feedback following the standard protocol outlined in Section 4.1.1 Non-Conformances and Continuous Improvement.

3.5 ACCIDENT OR INCIDENT RESPONSE

Responsibility: Director, Project Manager, Project Administrator, Civil Engineer, all Staff

In the event of a safety or environmental incident / injury / near miss / breach of controls etc., the relevant parts of the following process must be implemented as soon as possible:

1. Attend to the incident and ensuring the following steps take place:
   a. In medical emergencies, apply the DRS ABCD principal to the patient:
      i. Ensure all persons are safe and any further impact to the environment is minimised;
      ii. Relevant emergency services are notified, as needed;
      iii. Provide adequate first aid to any injured persons. Note that staff must not administer first aid beyond their capability;

2. The Project Manager or Site Supervisor will complete the Incident Report Form and follow the procedure outlined in section 4.1 Non-Conformance and Continuous Improvement;

3. Project Manager will forward the completed report to both the Project Administrator and Director within 24 hours;

4. Where appropriate, the Director will report the incident to WorkCover and / or EPA as soon as possible after the incident (i.e. for serious injury);

5. If medical help is required:
   a. The Project Manager or Site Supervisor on site will get the appropriate medical help and assist the injured person as much as needed;
   b. The Project Manager should attend the medical assessment and liaise with the medical practitioner and the worker regarding work restrictions if possible, unless the worker specifically requested otherwise;
      iv. Alternatively, the Project Manager will liaise with the medical practitioner after the event;
   c. A copy of the Doctor’s Medical Certificate will be handed to the Project Manager (if supplied);
d. Where relevant i.e. incidents requiring treatment beyond first-aid where lost time injury is likely, the Project Administrator completes the relevant WorkCover Claim forms within 48 hours for the incident if an insurance claim is likely to be made;

6. A light duties/return to work plan between the employee and the management is put in place by the Project Manager or Director, if practicable.

Note: For a significant incident, do not tamper with the scene unless approved by a WorkCover or the police unless modification of the incident scene is required to prevent suffering or to make the area safe.

### 3.6 EMERGENCY MANAGEMENT

#### 3.6.1 EMERGENCY MANAGEMENT

**Responsibility:** Director, Project Manager, Project Administrator, Civil Engineer, All Staff

The Hunter Rail and Civil Evacuation Plan will be placed in a prominent location in the office/yard area for all personnel and visitors to refer to. The Emergency Management Plan documentation including the Evacuation Plan will also be reviewed by new employees as part of the induction.

The Emergency Plan will be tested and reviewed quarterly. Records of the test will be made on the Improvement Report and the Emergency Evacuation Plan by the Management Representative. Where any non-conformances occur, the Management uses the Improvement Report to ensure the review will form part of the Management Review Meeting (section 4.6 Meetings). Any revisions to the emergency plan and procedures will be managed as per the Internal Document Control Procedure (section 4.2.1).

In case of an actual emergency situation, the Emergency Management Plan will also be reviewed and revised as necessary.

The main office emergency plan will be retained on file and tested periodically. The Emergency Plan for the main office is also the family emergency management plan for the Director and the Project Manager.

#### 3.6.2 SITE EMERGENCY MANAGEMENT

**Responsibility:** Client, Director, Project Manager, Project Administrator, Civil Engineer

The procedure for managing emergencies on the Client site is covered in the Client Induction. Where a client has not provided a site Emergency Management Plan, the standard Hunter Rails and Civil template will be adjusted and used for the site.

### 3.7 MONITORING AND MEASUREMENT

**Responsibility:** Director, Project Manager, Project Administrator, Civil Engineer, all Staff

#### 3.7.1 COMPLIANCE MONITORING

Compliance monitoring is the responsibility of all Staff. The Project Manager and Site Supervisors ensure all work is being performed in accordance with the designated control measures from the SWMS / Hazard Identification & Risk Assessment Form.

The Management Representative produces a Statistical Reports through a data sort of the Improvement Register for review at the quarterly Improvement Meeting.

There are 3 other ways compliance monitoring is performed at Hunter Rail and Civil:

1. Monitoring

   The Site Supervisors are responsible for daily inspections to constantly monitor safety and environmental hazards, assess risks and implement controls as necessary. Breaches of controls will be actioned by the responsible persons as per the Non-Conformance procedures outlined in Section 4.1;

The Project Administrator or Civil Engineer will:

a. Performs an annual assessment on Hunter Rail and Civil premises (office and yard) using Hazard Identification & Risk Assessment Form in conjunction with the annual Internal Audit (See section 4.5 Internal Audit). Records of the assessment will be on a copy of the Hazard Identification & Risk Assessment Form; the register will then be updated as per Section 4.2.1 Internal Documents and any issues / recommendations will be recorded in Improvement Register as per Section 4.1.1;

3. Internal Audits of the Integrated Management System will be carried out annually as per Section 4.5 Internal Audits.

3.7.2 HEALTH SURVEILLANCE

Responsibility: Director, Project Administrator

Hunter Rail and Civil recognises the need to monitor the health of all workers who may be exposed to conditions that have a serious ongoing health impact.

Rail Projects

Workers who will be employed in Rail projects are required to undergo a Category 3 employment medical.

Coal mining Projects

Workers who will be employed in Mine Site projects are required to undergo a Coal Board Medical under Order 43 which will include a chest X-Ray and hearing test. The Worker is reassessed every 5 years.

Workers on coal mine sites will undergo an annual black lung test, if applicable.

For medical examinations:

1. An external service provider / competent person will be selected and engaged;

2. Regular check-ups will be scheduled by the Project Administrator for the worker, as required;

3. After results have been received, relevant action is considered and undertaken e.g. making changes to the SWMS or other internal documentation and work processes, if deemed necessary.

Access to health surveillance records will be limited to the appropriate Manager, Management Representative, and the individual that was undergoing testing.
4.1 NON-CONFORMANCES AND CONTINUOUS IMPROVEMENT

A non-conformance is where, a policy or procedure has been breached or not followed and the end result has jeopardised Hunter Rail and Civil’ compliance with the quality, safety or environmental requirements of the standards, rules, codes of conduct, legislation or as otherwise outlined by Hunter Rail and Civil procedure documents and this IMS. Evidence of a non-conformance may result in a safety or environmental hazard having been identified.

Opportunities for Improvement are considered to be:

- Any issue (including safety and environmental) or issue that may contribute to not achieving the Hunter Rail and Civil objectives listed in the IMS section 1.3.4;
- Potential safety and environmental hazards;
- Suggestions to more closely comply with standards or legislation;
- Needs for reconciling written and practiced procedures / streamlining business processes etc.;
- Potential issues;
- General suggestions.

The Non-Conformance Report is used to report all Quality, Safety or Environmental non-conformance issues.

Any kind of changes required within the company can be managed via the Non-Conformance process.

4.1.1 ACTION AND REPORTING

Responsibility: Director, Project Manager, Project Administrator, Site Supervisor, Civil Engineer, all Staff

Noteworthy non-conformances and continuous improvement opportunities are reported and measured for continuous improvement and progress towards our stated objectives as illustrated in Figure 6.

The process for managing non-conformances and opportunities for improvement is as follows:

1. Identify the issue / opportunity.

   Quality, Safety or Environmental issues are identified e.g. supplier issue, internal / procedural non-conformance, Customer complaint, potential issue / non-conformance, noteworthy defects/product non-conformances, etc. The type of issue / opportunity will determine the actions and Staff required to correct or improve the situation.

2. Take action.

   Actions should be taken ASAP with the following decision-making criteria in mind:

   - The issue should be corrected as soon as possible, preferably immediately, at the lowest possible level and in accordance with the staff member's level of authority. Higher authority should be obtained as necessary;
   - Actions to be taken should be treated differently based on the level of urgency. Some actions should be considered as urgent and action taken immediately e.g. treatment of safety or environmental hazards or incidents. Other actions may be identified as less than urgent based on the nature of the issue. Actions may take minutes or months to complete;
   - The decision on the action should be an attempt to address the root cause of the issue / opportunity;
   - When correcting any issue care should be taken to apply a solution that balances the need for a long-term resolution and short-term continuity of operations.
3. **Keep records.**
   All issues, corrected or otherwise, are reported to the Management Representative ASAP as follows:
   
a. Complete an **Non Conformance Report** or **Improvement Report** and get it to Management Representative (Project Administrator), via the Site Supervisor, Project Manager or in person in hard copy or email format;

b. Alternatively, report verbally in meetings via a Site Supervisor, the Project Manager or in person;
   
i. A written Non Conformance Report is completed by the Site Supervisor or Project Manager and sent to the Management Representative.

4. **Filing the Report.**
   The Management Representative will:
   
a. File the hard copy in the **Non Conformance** or **Improvement Reports** section of the **Quality Assurance Forms/Registers** folder;

b. Enter the issue and immediate actions taken into the **Improvement** or **Non-Conformance Register**

c. Relevant data is added to the register in the appropriate row on the appropriate sheet.

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### 4.1.2 REVIEW OF NON-CONFORMANCES AND CONTINUOUS IMPROVEMENT

**Responsibility:** Project Manager, Civil Engineer, Project Administrator

The NCR, Improvement and Incident Register’s will be reviewed by the Management team in fortnightly Management Team meetings. The Management Representative produces a **statistical report** from the Non-Conformance, Improvement and Incident Register’s to monitor trends and compare performance against stated objectives. The annual review includes the effectiveness of the entire quality, safety and environmental management system as per Section 4.6 Communications, Knowledge.

The review of the Improvement Register takes place as follows:

1. **Identify Root Cause.**
   The **root cause of the issue/error** will be reviewed/determined based on trends identified from statistics produced by the Project Administrator.

2. **Record results**
   The results of the action are recorded in the ‘action’ section of the Improvement Report e.g. “There has been no further recurrence of the issue”. The action is **closed out** on the form and **Date of resolution** is entered when the management team are confident the likelihood for occurrence / re-occurrence of the issue has been reduced enough or if the issue has been resolved.

3. **Close**
   The Improvement report is closed out when ‘action’ section of the Improvement Report has been dated as closed.

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**Non-Conformances and Continuous Improvement Process**

![Non-conformances and Continuous Improvement Process Diagram](image-url)

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*Figure 5: Non-conformances and Continuous Improvement Process*
4.2 DOCUMENTED INFORMATION

Responsibility: Director, Project Manager, Civil Engineer, Project Administrator, all Staff

Hunter Rail and Civil recognises the need to maintain control over documented information for compliance to legislation and good management practices as per ISO standards.

The term documented information refers to internal and external documents including records. Records are considered to be documents relating to historical events or transactions.

The following paragraphs outline the document and data control systems to be followed by all Hunter Rail and Civil Staff to protect information from loss or misuse.

Data input forms contained within third party applications requiring technical assistance to make modifications to the form are considered to be beyond the scope of this policy.

4.2.1 INTERNAL DOCUMENTS

Internal documents are considered to be those created and controlled by Hunter Rail and Civil Staff and management including policies, procedures, forms, contracts, web pages etc.

4.2.1.1 REVIEW, APPROVAL, CHANGES

All new documents or changes to existing documents are to be reviewed and approved prior to use by the Director in consultation with the relevant stakeholders.

Existing documents are reviewed at least annually prior to the annual external quality, safety and environmental audit or, for safety documents, after a serious safety incident.

When any master document needs to be changed or created the following procedure shall be observed:

1. The originator discusses the change with the Director / other stakeholders and obtains approval in principal;
2. The Project Administrator or Civil Engineer creates a draft and once relevant all stakeholders have had input the Director approves the document change or new document;
3. The Project Administrator of Civil Engineer will update the master document;
   a. The document is updated along with the new “Revised” date and the Document Amendment Register;
4. The revised master document is saved with the appropriate filename and the old document is moved to the Superseded folder;
5. All relevant personnel are notified of the changes by email or in Toolbox Meetings etc. and training is provided on how to use new documents, if deemed necessary;
6. New hard copy documents are printed, as necessary and distributed to the point of use via the Project Manager, or Site Supervisor as applicable;
7. As new changes occur the same process is followed every time for re-approval.
4.2.1.2 IDENTIFICATION, CONTROL, VERSIONS

Hunter Rail and Civil operates with predetermined naming and filing conventions to ensure ease of retrieval for all documents and records. All staff are to ensure the standard document identification conventions are followed as illustrated in Figure 7 below:

Figure 6: Document Identification

Version control is maintained by adding a Revised date to all documents as new revisions are issued and removing obsolete documents from circulation.

4.2.1.3 OBSOLETE DOCUMENTS

Obsolete hard copy documents are disposed of into rubbish bins for recycling. Old electronic documents moved to the Superseded folder during the document change process or document review to prevent unintended use.

4.2.1.4 DISTRIBUTION TO POINT OF USE

On site documents are usually in hard copy format and in electronic format accessible via a tablet with internet access to the shared One Drive folder.

4.2.1.5 STORAGE, RETENTION, DISPOSITION

Hunter Rail and Civil retains hard copy records in Lever Arch Folders and filing cabinets with suspension files in protective manila folders indefinitely.

Old hard copy records are archived into plastic crates as deemed necessary by space constraints. Archive boxes are labelled with details of the contents for ease of retrieval.

Electronic documents and records are retained indefinitely in active service. Electronic records and documents, email and other data is stored on a multiple PCs as well as One Drive accessible by staff with the appropriate security profile.

Back up is unnecessary due to the nature of synchronisation between One Drive and the PCs.

PCs are protected with firewall, anti-virus and malware systems.

4.2.2 EXTERNAL DOCUMENT CONTROL

Responsibility: Director, Project Manager, Civil Engineer

External documents are those documents which are created by a third party and which are required for the effective and compliant operations of the business, e.g. legislation, standards, manuals etc.

Hunter Rail and Civil recognises the need to remain informed of changes to all external documents that may have an effect on compliance and policies and procedures.
4.2.2.1 TRACKING CHANGES

Updates to legislation and standards etc. are provided through the Civil Engineer checking all the relevant websites six monthly for information relating to changes in standards and legislation that are deemed as applicable to Hunter Rail & Civil.

All changes having the potential to affect the business are checked and the Director notified if changes have occurred that could impact Hunter Rail and Civil. When details of the change are understood the Director takes corrective actions as outlined in the process for non-conformance and continuous Improvement Section 4.1.1. and 4.1.2, if deemed necessary.

When amendments occur that may require new or changed procedures:

1. The amended document is downloaded or otherwise acquired, if necessary and the changes reviewed;
2. The Civil Engineer creates an Improvement Report and follows the procedure outlined in section 4.1.1;
3. The report is reviewed in the as soon as deemed necessary depending on the level of urgency as per section 4.1.2;
4. If further action is required, steps are taken to change processes or documents as appropriate as per section 4.1.2;
5. Staff are notified of changes by memo, email, briefing meetings, induction training etc.;
6. The process changes relevant to Hunter Rail and Civil are implemented including making changes to internal documentation as per 4.2.1 above where appropriate.

Amendments and addendums are attached to or saved with the corresponding documents, where appropriate.

4.3 HUMAN RESOURCES

4.3.1 RECRUITMENT AND SELECTION

Responsibility: Director, Project Administrator, Site Supervisor

Hunter Rail and Civil recognises the need for ensuring competence of all staff members. All stages of the recruitment and selection process must be in accordance with Hunter Rail and Civil approved policies and procedures as per current applicable award and/or current legislation.

4.3.1.1 RECRUITMENT AND SELECTION

The Director and Project Manager ensures that all positions are filled using a predefined selection criterion following the process below:

1. New workers are generally sourced through and advertisement in SEEK / INDEED or Social Media portal. Occasionally, Hunter Rail & Civil request the help of a recruitment agency.

   The Project Administrator will create an advertisement, if required outlining the selection criteria as follows:
   - Skills, qualifications, certificates;
   - Experiences;
   - Location;
   - Availability;

2. Resumes are received and reviewed by the Project Administrator and the Director;
3. The Director arranges interviews, preferably on site where the candidate can demonstrate their skills. Alternatively, a meeting takes place at the office and the candidate’s skills are discussed based on specific scenarios. Record of the interview and its contents are made on the Interview Notes Form;

4. The candidate is advised of their successful application and the Project Administrator prepares a Letter of Offer / Employment Agreement to be sent for review and signature;

5. The Project Administrator gathers all pre-Employment information and adds them to the newly created Personnel file. Information includes:
   - Bank Details form;
   - Tax File Declaration form;
   - Super Choice form;
   - Copies of licences and qualifications/certificates are taken and added to the file;

6. New employees may be required to undergo an employment medical assessment appropriate for the client site;
   a. Records of employment medicals are retained on file

7. The Project Administrator will ensure that the new employee is given, either physically or via email, a copy of Hunter Rail & Civil’s Policy Manual and Integrated Management System. The new employee must sign off on agreeing to both of these before they can commence work.

4.3.2 TRAINING

Hunter Rail and Civil recognises the need to continually monitor competence and the effectiveness of all training provided.

- Competency in general is monitored through on-the-job supervision by Hunter Rail and Civil Management.
  o The Site Supervisor will observe the work skills of the new worker to verify competency when first on site and ongoing;
  o Customer feedback is our guide to determining the level of competence of our staff in the field. Issues related to competence of Staff and corrective actions are taken as outlined in Section 4.1.

- Additional training may be provided for selected Staff on the following:
  o HR Licence;
  o Rail courses, as needed;
  o Machinery courses, as required;

- The Project Manager or Supervisor will observe the new work skills the new worker after has been provided to verify competency;

- Where additional training has been provided has been less than effective, corrective actions are taken as outlined in Section 4.1.
  o Corrective actions may include moving the person to a new assignment or changing training providers as per section 4.4.3.

- Based on upcoming works, Hunter Rail & Civil will review whether it is essential for workers to obtain additional skills and training to complete the work needed.
4.4 PURCHASING/SUB-CONTRACTING

Hunter Rail and Civil recognises that all purchasing for equipment should be safe to use, environmentally friendly and meets with our specifications / Client requirements to ensure a quality outcome.

Purchases that have no direct impact on quality, safety or environmental outcomes e.g. stationery are not regarded as being within the scope of Section 4.4.

4.4.1 COMMUNICATION

Responsibility: Directors, Project Manager, Site Supervisor

When a communicating supply requirement the following process takes place:

1. The products or services are ordered by the Project Manager, Site Supervisor or Director in person or verbally by phone;

2. All orders should communicate all relevant information in an unambiguous manner including, quantities, description, unit price, total price, delivery instructions etc.

3. Supplier/Sub-Contractor communications should include all necessary details for the purchase including, where applicable:
   a. Special instructions:
      - Scope of work;
      - Location;
      - Type of job;
      - Cubic / Linear Metre requirements;
      - ITP requirements;
   b. Hunter Rail and Civil approval process e.g. trial period for critical equipment / competency verification;
   c. Qualifications or skills required of any outsourced services;
   d. The level of quality, safety and environmental assurance or certified standards compliance required for the product/service;

4. Sub-Contractors shall be engaged by contract specifying all requirements. All Subcontractor invoices must be accompanied by a Subcontractors Statement along with their Certificate of Currency’s to help us go back to back with client contracts.

4.4.2 EVALUATION

Responsibility: Director, Project Manager, Civil Engineer, Project Administrator

Clients will be asked to evaluate Hunter Rail & Civil annually using the Client Feedback Form to ensure a high standard of quality assurance and our best chances of repeat business is maintained. Any time Hunter Rail & Civil begins work with a new client, an Evaluation using the Client Evaluation Form should be carried out by the Civil Engineer or Project Administrator. Records shall be retained of all client evaluations.
4.4.3 GOODS INWARDS

Responsibility: All Staff

Hunter Rail and Civil recognises the need to control the quality goods received.

The receiving officer shall carry out the following when a delivery is received or picked up:

1. Check the order against the delivery docket / invoice / packing slip;

2. Alternatively, when collecting an order, a check should be made before leaving the suppliers premises;

3. Machinery is checked by the Director prior to placing an order and again when first on site;

4. Where there has been any non-conformance of product to the required standard:
   a. Take a photo of the damaged or incorrect product;
   b. The receiving officer arranges for a replacement or notifies the Project Manager or the Director who will phone or email the supplier and arrange for a replacement or a concession.
      
      Note: Photographic evidence may be required to support the claim;

      Goods are to be quarantined if needed i.e. where there is a possibility of inadvertently using it and jeopardising the quality of the services we provide;

   c. The receiving officer creates an Non-Conformance Report as per section 4.1 Non-Conformance and Continuous Improvement;

   d. A new supplier may be sought following the guidelines outlined in Section 4.4.2 Evaluation if necessary;

5. If the order is correct, the receiving officer accepts the delivery and the product is despatched to the site.
4.4.4 CUSTOMER PROPERTY

Where the Customer has supplied parts or materials etc. and there is any chance of incorrectly identifying it as Hunter Rail and Civil ordered parts or materials:

The receiving officer will:

- Accept the goods as above;
- Set the product aside, if deemed necessary, so that it can be distinguished from Hunter Rail and Civil materials.

In the event of non-conforming Customer supplied product, the same procedures outlined in section 4.4.3 Goods Inwards are followed except that the supplier to be contacted is the Customer.

Damage to client property which has occurred as a result of Hunter Rail and Civil negligence will be rectified at no cost to the Customer. The Director will investigate to determine where the fault lies prior to making a decision regarding compensation.

4.5 INTERNAL AUDITS

Responsibility: Project Administrator/Civil Engineer (Management Representative)

Internal audits of the complete Management System will be performed annually prior to the annual external Quality, Safety and Environmental Audit at the times noted in the Internal Audit Schedule. Each element of the IMS is ranked by importance based on the target percentage of compliance indicated in the Internal Audit Schedule.

Any non-conformances will be dealt with as per section 4.1 Non-Conformance and Continuous Improvement and the audit results reviewed in the Management Review Meeting.

When auditing the QMS, Audit Worksheets are prepared by printing each page of the IMS and/or supporting policies and procedures 2 pages to 1 (Shrinks each page of the Manual to the left side of an A4 page to allow room on the right side of the page for notes).

To perform an internal audit:

1. Audit Worksheets are allocated to staff that are competent to audit and independent of the process being audited, where possible;
   a. To ensure staff competence, the auditor(s) will receive training by a competent third party;

2. To perform the audit:
   a. Each Auditor determines compliance with the manual by asking questions and looking for evidence of compliance by sighting records. Information sighted and discussed is recorded on the Audit Worksheet using either the matrix or the sentence method. (Note: In each section of the manual, potential audit criteria / questions have been bolded as a guide);
   b. Any non-conformances with or potential updates to the manual are also noted on the Audit Worksheet (changes to internal documents must be performed in compliance with Section 4.2.1);
   c. A copy of the Audit Worksheet is provided to the auditee for corrective actions to be carried out;
   d. At the conclusion of the audit, the completed worksheets are returned to the Director;

3. The Auditor enters any non-conformances from the audit into the Non-Conformance Report and the relevant Staff are notified of the improvements required by providing them with a copy of the audit relevant worksheet;

4. Upon completion of the corrective actions, the results are reported back to the Auditor. The “Immediate Actions” section of the Improvement Report is updated with the action taken;

5. The overall results of the internal audit are reviewed in the Management Review Meeting (See section 4.6). Any further corrective actions are recorded in the meeting as per section 4.1.2.
4.6 COMMUNICATIONS, KNOWLEDGE

Internal communication is an important aspect of any organization. Information should be allowed to flow in all directions, from all employees back to senior management. The following methods are used:

- If there was a need to communicate a change, the relevant procedure will be followed e.g. changes through Non-Conformance and Continuous Improvement (4.1) system or the document changes system (4.2.1);
- All employees are empowered to communicate with management where they see a need to improve or correct issues or processes;
- Any necessary communications from the meetings e.g. a change or other communications, will flow down from the meeting attendees to the relevant personnel as per Table 11 below.

### Communications Matrix

<table>
<thead>
<tr>
<th>Meeting</th>
<th>Frequency</th>
<th>Attendees</th>
<th>Agenda/ purpose</th>
<th>Evidence</th>
</tr>
</thead>
</table>
| Toolbox Meeting          | Daily     | All site Staff                                              | • Site specific OHS/Environmental issues  
• Improvement reports and actions  
• Daily duties                                                             | Toolbox Minutes        |
| Management Team Meeting  | Fortnightly| Director, Project Manager, Project Administrator, Site Supervisor, Leading Hand | • Project Updates & Reviews  
• Tenders – Currently Tendering, Submitted Tenders & Feedback  
• Suppliers & Subcontractors – Issues? Accounts  
• Safety – Any incidents?  
• Internal – Management Issues NCR’s or Improvement Requests or Suggestions? Open floor | Meeting Minutes        |

Superseding the original Annual Management Review & Quarterly Improvement Meetings, Hunter Rail & Civil have alternatively decided to split the Agenda from these meeting’s up over the course of a year in our Fortnightly Management Team Meetings. The Agenda and purposes that will be discussed as part of this Management Review include:

- The status of actions from previous management reviews.
- Changes in external and internal issues that are relevant to the quality management system.
- Information on the performance and effectiveness of the quality management system, including trends in:
  - Customer satisfaction and feedback / complaints from relevant interested parties;
  - The extent to which quality, safety and environmental objectives have been met;
  - Process performance and conformity of products and services;
  - Nonconformities and corrective actions;
  - Monitoring and measurement results;
  - Audit results;
  - The performance of external providers including subcontractors;
  - Safety related issues /environmental impacts;
  - Risks and opportunities.
- The adequacy of resources.
- The effectiveness of actions taken to address risks and opportunities.
- Opportunities for improvement.
- Results of review of all documents
- The status of actions from previous reviews.
- New Improvement reports and actions taken
- Early signs of trends

Table 8: Communications Matrix
4.6.1 KNOWLEDGE MANAGEMENT

Definition:

Organizational knowledge is knowledge specific to the organization; it is generally gained by experience. It is the information that is used and shared to achieve the organization’s objectives. Sources of organizational knowledge can be:

- Internal: intellectual property, knowledge gained from experience, lessons learned from failures and successful projects, capturing and sharing undocumented knowledge and experience, the results of improvements and processes, products and services;
- External: standards, academia, conferences, knowledge from clients or vendors.

(Source: ISO 9001:2015)

Obtaining knowledge

Primary repositories of organizational knowledge can be found in the IMS Manual and associated policies, procedures, and records.

Organizational knowledge will be identified and gained in the following ways:

- Training is provided as per Section 4.3.2;
- Minutes of management and other meetings shall be kept and any confidentiality items redacted from the minutes;
- Information required to carry out our work is freely available on You Tube;
- Knowledge of competitor activity is obtained by asking questions of industry contacts and existing or prospective clients.

Protecting knowledge

Knowledge is protected as follows:

- Corporate logo on all documents;
- Data security is managed as outlined in section 4.2.1.5.
5 RESOURCES

Hunter Rail and Civil recognises the need to maintain and inspect equipment to provide safety for our employees and efficiency in completing the work. The management of resources is a critical component to the management activities of Hunter Rail and Civil. Resources include:

- Plant;
- Equipment;
- Facilities (work environment, buildings, grounds, etc.);
- Utilities (electricity, gas, water, etc.);
- Personnel (staff requirements, training status, social, psychological, physical, etc.);
- Support services (internet connectivity, third party services, etc.).

The primary methods for determining the adequacy, safety and approving of resources are:

1. Equipment maintenance and inspection records;
2. Monitoring staffing needs through work in progress and upcoming work;
3. Review of the Improvement Register;
4. Discussion during meetings;
5. Review of monitoring and measurement data.

Site Supervisors wishing to gain extra resources for their area of responsibility will present their situation and justification in the to the Director as needed. Approval of resources must include consideration of the capabilities and constraints on existing internal resources and what needs to be obtained from external providers if appropriate.

The following sections describe the maintenance activity the routine preventative maintenance, unplanned maintenance i.e. repair work, test and tag etc.

5.1 VEHICLE MAINTENANCE

Responsibility: All Staff with company vehicles, Project Administrator

Drivers of company vehicles are responsible to ensure that vehicles are serviced in accordance with manufacturer’s requirements as noted in the vehicle Log Book or the odometer reading on the sticker in the vehicle for the next service.

In addition, vehicle Pre-Starts are required to be carried out every week using the Weekly Vehicle Pre-Start-Up Checklist. Drivers are required to inspect vehicles weekly and top up fluid levels, replace light bulbs etc. preserve the life and reliability of the vehicle and maintain roadworthiness. Drivers are also responsible for monitoring and logging their fuel intake and outtake.

When vehicles are due for a service or repairs are required, the driver notifies the Project Administrator. The Project Administrator books the vehicle in to have the work done by a qualified third party.
5.2 PLANT AND EQUIPMENT

Responsibility: Director, Site Supervisors

Site Supervisors and the Project Manager are responsible to ensure planned and unplanned maintenance takes place on all applicable plant and equipment to minimise the disruption to ongoing business and maximise the safety of all Staff.

- Plant and equipment are to be maintained in accordance with the manufacturer’s specification as follows:
  - Plant are to be serviced every 250 hours by a third-party qualified professional. Records are retained by the third-party for new plant still under warranty.;
    - A third-party Service Report is provided and retained on file;
    - If Plant is serviced by Hunter Rail & Civil staff, a Service & Maintenance Log is submitted via the Assignar app.
    - Records are also retained of services for older plant in the Equipment folder electronically.
  - Visual inspections are carried out on pumps used for fuel every time it is used. The operator is required to check on the condition of the hoses i.e. signs of perishing, leaks or abrasions.
    - Operators should also check pump vehicles for the state of the onboard fire extinguisher.

5.3 INSPECTION, TESTING AND TAGGING

Responsibility: Director, Site Supervisor, Project Administrator

Equipment requiring regular inspection, testing and/or tagged by accredited parties includes the following:

- Fire extinguishers;
- Battery chargers for power tools;
- Extension cords;
- Corded power tools and equipment used in the workshop or the field;
- Office equipment;
- Lifting equipment

Equipment requiring regular electrical test and tagging is carried out by an accredited party as per the schedule below in Figure 8. The Director or Civil Engineer ensures that all testing and tagging is up to date.
Electrical Equipment

Test and Tag Intervals as per AS/NZS3760:2010

<table>
<thead>
<tr>
<th>Type of environment and/or equipment (a)</th>
<th>Equipment including Class I and Class II equipment, cord sets, cord extension sets and DCEPS (b)</th>
<th>Residual current devices (RCD’s)</th>
<th>Push button test - by user</th>
<th>Operating time and push button test</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Rotatable (c)</td>
<td>Fixed (c)</td>
<td>Portable (c)</td>
<td>Fixed (c)</td>
</tr>
<tr>
<td>1. Factories, workshops, places of work or repair, manufacturing, assembly, maintenance or fabrication.</td>
<td>6 months</td>
<td>Daily, or before every use, whichever is the longer</td>
<td>6 months</td>
<td>12 months</td>
</tr>
<tr>
<td>2. Environment where the equipment is subject to moisture or is in a hazardous environment</td>
<td>12 months</td>
<td>3 months</td>
<td>6 months</td>
<td>12 months</td>
</tr>
<tr>
<td>3. Environment where the equipment is subject to moisture or is in a hazardous environment</td>
<td>5 years</td>
<td>3 months</td>
<td>6 months</td>
<td>2 years</td>
</tr>
<tr>
<td>6. Residential type areas: hotels, residential institutions, motels, boarding houses, halls, hostel accommodation houses, and the like</td>
<td>2 years</td>
<td>6 months</td>
<td>6 months</td>
<td>2 years</td>
</tr>
<tr>
<td>5. Equipment used for commercial cleansing</td>
<td>6 months</td>
<td>Daily, or before every use, whichever is the longer</td>
<td>N/A</td>
<td>6 months</td>
</tr>
<tr>
<td>4. MRE equipment: Inspection</td>
<td>Prior to hire</td>
<td>Including push button test by hire prior to hire</td>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td>7. Repaired, serviced and second-hand equipment</td>
<td>N/A</td>
<td>N/A</td>
<td>3 months</td>
<td>12 months</td>
</tr>
</tbody>
</table>

Figure 7: Test and Tag Matrix

Fire Extinguishers

Fire Extinguishers are **inspected every 6 months** by an accredited third party and **inspection tags** are checked as visible evidence of the inspection having been carried out.

**Lifting slings, chains**

Slings are inspected and tagged every 3 months by an experienced operator;

Chains and shackles are tested every 12 months by a NATA accredited third party.

**Flashback Arrestors**

Flashback Arrestors are independently tested / certified by Apragaz laboratory (Europe), and this is clearly indicated on the FBA itself.

### 5.4 CALIBRATION OF INSTRUMENTS

**Responsibility: Director**

Hunter Rail and Civil ensures measuring instruments that have an impact on the accuracy of the work we perform are calibrated in accordance with manufacturer’s specifications.

The Rotating Laser 2D is calibrated annually or at any time after a receiving a reasonable knock by a NATA accredited third party testing company.

The GPS used in earthworks is also calibrated in accordance with manufacturer’s specification before each use. The calibration is performed by the Operator by following the calibration instructions.