INTEGRATED MANAGEMENT SYSTEM (IMS) MANUAL

OPERATIONS, QUALITY, HEALTH, SAFETY, ENVIRONMENT

&

SECURITY

As at 1 September 2015

This manual designates the purpose of work and specifies the steps to be taken while doing the work. It summarizes the standards associated both with the process and the result. Its objective is guide staff in the use of information available for the integrated and best practice management of operations, SHE, security and quality.

Contents

1. **General**

The Business, Products and Services

Truscott is a risk, security, emergency, crisis and business continuity management consultancy. Supporting work is in issue management, emergency response and safety management. The business operates globally in all sectors. The head office is in Perth with consultants in capital cities of Australia and other countries. Services are the preparation for, planning of, practice and execution of emergencies, crises and business outages, in anticipation of their occurrence and on occurrence. *Truscott* writes policy, contingency plans and procedures for all risks and issues, socializes management teams with these plans and practices companies in the application of their plans and procedures through simulations and exercises. Staff enable capability to develop and implement strategies and plans and deliver effective leadership under pressure.

Integrated Management System (IMS)

This IMS is based upon the international standard for quality ISO9001 and safety ISO45000. Our business is planned, managed and monitored by Crisis Practitioners, Continuity Planners and ER Professionals having the knowledge, skills and attitude to be able to advise on the management competencies at Annex A. Staff advise on good, legally binding practices and current international best practices. *Truscott* is in an unincorporated JV with Sustainability that maintains QA certification and which provides competency based training support as a RTO and also audit support.
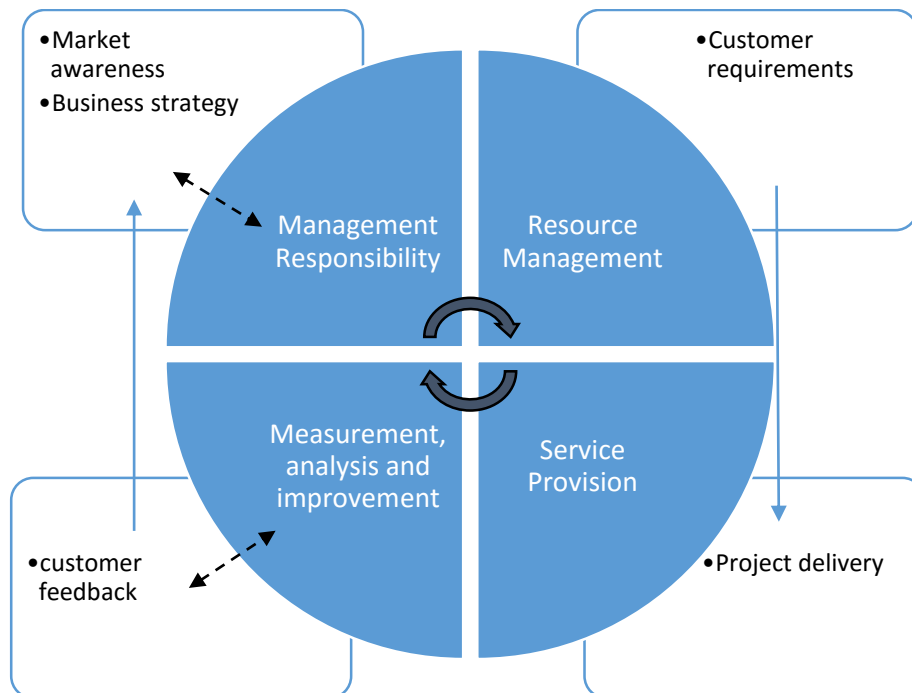
2. Planning

Policy, Standards and Authority Statement

Truscott is committed to meeting or exceeding client expectations through the reliable delivery of products and services. SHE policy is to comply in every respect with the client's policy, plans and procedures. *Truscott* seeks to minimize its carbon footprint in all activities. Staff are responsible for the quality of all projects under their control. *Truscott* is committed to operating its business with integrity and to high standards of disclosure and transparency using AS/NZS4801 Occupational Health & Safety Management Systems and ISO9001 Quality Management Systems to implement this IMS. *Truscott* is committed to these standards through the implementation and review of policies which are in effect at all times. Management is responsible for the release of all policies which are reviewed annually to ensure continued suitability.

Truscott is committed to not only fulfilling our obligations, but also ensuring continual improvement of the Integrated Management System by:

- setting measurable objectives and targets and reviewing progress to measure the system
- complying with ISO 9001, ISO 14001, AS/NZS 4801 and ISO 31000, all applicable legislation, regulations and other requirements to which the organisation subscribes
- preventing pollution and protecting the environment
- preventing injury and illness to all to whom we owe a duty of care
- supplying our internal and external customers with quality products and services conforming to their requirements
- anticipating future changes, assessing risks and taking measures to prevent or minimise risks.

We will maintain organisational excellence by reviewing and improving the system regularly and in response to an event or a change in circumstances.

Legal and Regulatory Requirements

The identification and recognition of all legal requirements relevant to operations is performed in accordance with this legislation review procedure. The CEO and CFO constantly monitor all changes to regulations.

All legal requirements are listed within the IT system. At the discretion of the CEO, in the absence of a suitable Australian Standard, an appropriate standard may be adopted. Due care of all staff is monitored by the CEO.

Risk Management

Risk information is captured and communicated using ISO31000. Risk identification tools include workplace discussions and meetings, job risk assessments, audits, observations, continued monitoring and inspection, incident reporting and investigation and management reviews.

Key OHS risks are travel, arrangements at client sites and ergonomics in virtual offices. All of these risks are mitigated through travel procedures, job risk assessments and office working awareness.

In the preparation of new projects and works, a job execution plan is completed in accordance with project management procedures. The job execution plan requires the identification of components of the job, outlines how each component will be completed, as well as giving information on intended resourcing, order of priority and

anticipated completion dates. Constraints that may affect job completion are noted as risks to the completion of agreed upon outcomes with the client.

Before any work commences on a new or changed project, a risk assessment is completed where the consequence and likelihood of a risk is assessed to determine its significance level. The assessment must be completed by the Project Manager and at least one other team member. Where the project is a single consultant task the CEO assists. Completion of the risk assessment includes control measures to reduce risk ratings. Where risks are assigned a moderate or high rating after control measures have been applied the project must be reviewed by the CEO. For all risks that are considered unacceptable further controls are required to eliminate, substitute, transfer, engineer, isolate, administrate and protect. All significant risks are entered into the Order Book.

Planning

Truscott is committed to the achievement of business excellence through continual improvement, reduction in pollution, not hurting people, commitment to legislative compliance, a framework for setting objectives and solicitation of feedback. To ensure this commitment staff regularly (at least bi-annually) review policies governing activities and commitments to all stakeholders. The *Truscott* business plan set out targets for each area of quality and safety. Management and staff verify performance standards for compliance with all policy commitments; maintain operations and quality procedures in soft, hard and an IT system to address identified obstacles to the achievement of high standards of client satisfaction. Management and staff rectify any areas of policy non-compliance, foster a culture of continuous improvement and international benchmarking of performance in sales and servicing.

3. Do - Implementation and Operation

Organizational Structure http://crisisleaders.com/contact-us

All staff are required to accept and appreciate the requirements of their working relationship in individual agreements and it is the responsibility of management to live-up to the agreements. Management regularly reviews the procedures and tools identified for the management of staff and communicates with staff regarding any proposed changes prior to implementation.

Job Descriptions

All Staff and Contractors. Recognize and appreciate the importance of all company policies, objectives and targets; follow OHS instructions and report all hazards; adhere to and enforce all system controls and procedures; participate in development and implementation of the IMS; monitor and update regulatory requirements and changes in best practice management.

Chief Executive Officer. Director and duty of care responsibility in accordance with ASIC requirements; overall responsibility of SHE, security and quality performance; manage risk and maintain insurance cover; communicate with contractors in the protection of SHE and quality; authorize communication with external parties such as clients and regulatory bodies; facilitate the operation of the IMS; communicate with all other management; lead any Emergency Response or nominate another member to be available; ensure adequacy and suitability of internal training; create the energy by which staff produce the most effective results; maintain the Order Book; manage teaming partners and client relationships including the biannual Crisis Foresight; Collect debt; provide IP, brand value and administrative support for franchises.

<u>Chief Innovation Officer</u>. Participate as a member of management to innovate, quantify and orchestrate *Truscott* values and be the philosophical bedrock of commercial interaction; operate CRISISLAB© app known as *Truscott* University; coach staff in how to sell and service and to discuss *Truscott's* limits, weaknesses and strengths in hard, soft and the IT systems such as ezines; push through an information glutted society and provide a source for learning, creativity and expanding beyond self-imposed limits.

<u>Chief Financial Officer</u>. Prepare financial statements and taxation returns and monitor legislative changes

<u>Country and Regional Managers and Principals</u>. Geographic and project coordination responsibilities; achieve sales with existing clients and cold contacts above the minimum target; satisfy all projects with frequent out of hour's domestic and international travel; maintain a weekly client and new contact diary; demonstrate self-development at own expense in the sales and servicing processes.

<u>Crisis Practitioners, Continuity Planners and ER Professionals</u>. Sell and service; maintain individual work and travel insurances; maintain tools of trade; advise clients through preparation, planning and practice through written and oral advice; submit invoices immediately with draft reports for payment by the project; and sell MissionMode and Smartlog© when appropriate.

<u>Practice Manager</u>. Operate virtually and be a point of contact for coordination of team members when the CEO is not accessible; operate with flexible hours but phone accessible at all times; perform rigorous and fast QA on documentation; draft proposals and tenders; assist with virtual marketing of services; recover debt in unison with the Office Manager; monitor and report the progress of improvement plans; ensure all processes required by all standards are established and maintained; manage all complaints and incident investigations; communicate to management and staff the importance of quality; and participate as a member of any Emergency Response.

<u>Office Manager</u>. Administer the head office and maintain accounts payable and receivable.

Training

Skills, qualifications, competencies, position titles, training requirements for jobs and clients, and a catalogue of the available training is maintained in the IT system. All staff participate in training as required and an assessment of competency is completed prior to recognition of skills. Client feedback forms may be at the completion of training. All training developed and conducted by *Truscott* maybe competency based or familiarization only. Contractors are required to maintain the skills and certifications required for the safe, legal and effective completion of their activities. Where reasonable, personnel will be trained as soon as possible following the identification of any unsatisfied training need.

Induction and Awareness

Inductions are conducted for all staff by the CEO covering policies, commitments and goals, people, management and communication, products and services' this manual, risk management; emergency preparedness, environmental awareness, OHS, information management, and personal code of conduct. Visitors to Truscott controlled locations are also given safety briefings.

Communications

The CEO is responsible for the authorization and release of information to external parties. It is the responsibility of the Practice Manager to support and assist in communicating information throughout the company. Internal communications of SHE

and quality matters is facilitated throughout the workplace in meetings, situation reports and communiqués.

Management Meetings, Reports, Confidentiality and Media

Meetings are held regularly to address ongoing sales and servicing in accordance with is manual. All staff working off-site contact the CEO at least weekly to confirm continued activity by phone or email. All staff complete reports to clients in accordance with the job execution plan. Truscott complies with the Commonwealth Privacy Act 1988, and no information is released to the media without CEO approval.

Control and Coordination

Control of all activities is through direct reporting by the tasked staff to the project leader. Staff coordinate travel through Corporate Traveller and the CEO retains authority for all ticketing. Staff maintain a personal 30 day credit card for out of pocket expenses. Staff report safe arrival in any new work location and then as determined by the project duration. Should any accident or emergency occur or medical evacuation be required, staff advise head office which leads on engagement with the client, government and consular authorities. Travel insurance is used should return travel be required to be varied for whatever medical reason.

Marketing and Sales Procedures

Sales are centrally controlled by the CEO to de-conflict approaches by all staff. All staff maintain contact reports using email headers with contact or company name as the client management. Soft and hard copy promotional material are used.

Pre, During and Post Delivery Procedures

There is a deliberate process to ensure that the requirements of clients are prepared, delivered and accepted including:

- Preparation is coordinated by the project leader. Staff comply with the documentation controls used by the client;

- Backup of documentation is carried out on separate computer storage devices and also in the cloud;

- Checking and approval of deliverables is performed by the supporting staff member if allocated or from head office if it is a single person task;

- Staff comply with the client's governance and audit criteria in all respects;

- Staff maintain confidentiality at all times and the highest ethical standards in dealings with each other and with clients;

- Staff maintain consistent slide presentations, report formats, email and signature font;

- Staff provide written and oral advice in accordance with contract requirements;

- Staff conduct research and plan writing which are thin and process orientated;

- Staff prepare and deliver training using IP handouts as appropriate and prepare and deliver exercises. Exercise instructions are for live participants and counter players using carbon log pads and SmartLog©;

- Staff facilitate hot verbal debriefs and prepare client capability reports; and

- Certificates of attendance and statements of attainment are issued through the head office and Sustainability as Registered Training Organization.

Project Management

All projects are registered in the Order Book along with other work opportunities and concepts for possible development. At each stage, the details of the project are kept up to date to track progress and to identify operational activity.

A job execution plan is used to plan how a project will be completed, including SHE risks, as well as to note changes that occur once the job is in progress. A job execution plan is not required for jobs estimated to be completed in less than 5 days. However, where the project is the delivery of training, a job execution plan must always be completed.

Where a proposal is submitted to win a job, a job execution plan is included in the proposal. Procedures consist of designing and planning, controlling, reviewing and approving. Proposals include scoping, quoting, structuring, communicating, contracting, and reviewing. Management includes communicating, activity managing, delivering, reviewing, management tools, monitoring, trouble-shooting and closure.

Project specific KPI relating to budget, milestones, OHS, environment, supplier performance, communications and team participation are set for each project. Projects of short duration or low cost impact may require no more than a key delivery date or cost achievement. KPI specific to the project must be clearly defined and recorded in either the proposal or tender, job execution plan, contract or agreement, confirmation of services or emails used to establish the brief for the project with the client.

Reports are used to monitor progress of project specific KPI and as a minimum include activities specific to the project that have been completed as well as planned. Progress is checked against project objectives in relation to budget, project deliverables, safety and environment. Any risks to SHE and quality that have arisen or are foreseeable are always reported.

Non-Conformance Management

Breaches of commitments or failures to comply with operating procedures are classified as either an incident or a non-conformance and are reported to allow an investigation to be conducted and a corrective action plan.

All staff may suggest improvements for inclusion.

Management may agree a proposal if there is a requirement to correct an element of the operation, to prevent future recurrence of negative events, a requirement to prevent the occurrence of a potentially negative event, or an opportunity to take advantage of a viable means to improve performance. Approval may be delayed to the next management meeting if the item is non-urgent.

Internal Emergency & Business Continuity Management

In the event of an emergency, staff are required to abide by Emergency Response Procedures or the procedures adopted and enforced by external parties if the individual is operating off site.

In the event that procedures adopted by the external party are deemed inadequate, in gross conflict with *Truscott* Emergency Response procedures, or are believed to be in breach of any known legislation or standards, individuals are required to abide by *Truscott* Emergency Response procedures for travel, medical and evacuation.

The adequacy of emergency preparedness of a site where staff will work, is assessed in a job risk assessment prior to the commencement of work on that site. In the event of an accident or personnel suffering an injury during the course of their work, a procedure is followed for the management of processes after the accident or injury, the claims process, injury management, rehabilitation and return to work.

Management is responsible for emergency preparedness and staff are trained in all aspects of preparedness and response during induction. Nominated emergency contacts are maintained on the IT system and updated by the CEO or Office Manager.

The IT Disaster Recovery plan provides for the re-establishment of operations in the event of a significant disruption.

Information & Records Management

Staff are trained in the IT system by the IT Manager and CEO to ensure integrity of records. The IT system is a database of controlled documents for management and operations. Staff use the IT system to identify the version of the document that is currently approved for use.

The IT system is an information registry and filing system in the cloud. Information is managed within an electronic directory, and hard-copy information is maintained at the head office in cabinets. Staff have access to electronic information via the IT system. Some documents have access rights assigned to restrict access to unauthorized personnel members.

Hard-copy information is also subject to access restrictions. Where access to the network is unavailable or unreliable, an electronic copy is used. Information owners are responsible for the overall management of information and project managers are responsible for the storage of documents relating to particular projects. All staff maintain records to ensure the protection of financial, legal and other rights, as well as clients and other people affected by actions and decisions.

4. Monitoring and Measurement

It is the CEO's responsibility to notify staff of scheduled activities, and to provide necessary support and assistance. The Order Book provides a calendar of all performance monitoring activities undertaken with the exception of lower-level project monitoring, which is monitored by project managers in accordance with the project procedure.

Staff are notified of monitoring and audit activities through the Order Book and progress towards completion is reviewed at management meetings. Data is collected to determine the suitability and effectiveness of this IMS by way of client satisfaction, project conformity, characteristics, trends of processes and projects. Data providing description of the influences of suppliers upon quality is reviewed at management meetings. Insert Dave Hunt diagram for monitoring performance

The process, for monitoring organizational KPI is to identify the monitoring event or subject and relevant KPI to measure against including safety and budget control; and to determine the performance of the organization through assessing the completion of activities in accordance with the pre-determined plans, procedures and arrangements including completion of tasks and management of information; and annual review of the business plan. Sustainability, JVP in HSE matters is used for formal audits.

Performance Assurance System

Staff are selected who demonstrate prior expertise with a professional response agency involved with crisis and emergency management; who demonstrate an ability to bridge the strategic through to the tactical in problem-solving and decision-making; who show commercial acumen particularly with respect to the resource sectors, if they can show cultural sensitivity in mixed expatriate and national audiences and an ability to work in multi-national companies with multiple languages. Staff development is achieved by attendance at industry conferences and on the job training. Monitoring, inspections and audits are scheduled throughout the year and include the evaluation of the IMS and ability to meet set requirements and objectives, organizational

performance against objectives and targets, individual evaluation of staff and performance in specifically delivering quality services.

5. Management Review

Management meetings discuss on-going management, operational performance, client feedback as well as to routinely review the IMS. This procedure provides management with clear instructions for the successful completion of management reviews to enable objectives to be achieved.

6. Management Competencies (the basis of staff selection)

	Consultant Knowledge	Consultant Skills	Consultant Attitudes
Crisis Avoidance Futures driven	Understand conceptual information.	Adaptive thinking. Conduct business intelligence gathering.	Ability to provocate.
Crisis Management Issues driven	Demonstrate an understanding of strategic business issues. State the relevant international and/or national environment. Understand industry wide HR and SHE issues. Demonstrate understanding of image and reputation issues.	Evaluate strategic preparedness. Produce estimates (identify and evaluate corporate issues, design strategies, develop and implement plans). Provide vision. Conduct a business and media campaign. Participate in a 'Situation Room'.	Be creative. Use power. Handle stress at corporate/government level. Demonstrate a strategic focus.
Emergency & Business Continuity Management Event driven	Understand operational issues, including supporting issues, business units and consortiums/joint ventures. Understand corporate HR, HSE and contractor issues. Articulate differences between line management, leadership and control/coordination systems.	Apply Risk Management and Business Impact Analysis (BIA) processes. Apply and/or design contingency plans and procedures. Design and implement response plans. Plan and conduct training and exercises. Communicate with media. Manage operational information and conduct operational decision-making. Participate in an 'Operations Room'. Manage support requirements including logistics. Identify strategic issues. Provide technical support and advice.	Be a lateral thinker. Handle stress in a head office and multi-cultural environment. Provide leadership and be able to drive a disparate group with different perspectives. Demonstrate a supporting focus.
Incident Management Task driven	Understand tactical issues, usually multiple in nature Understand emergency services.	Contribute to the preparation of higher plans and procedure. Plan and conduct exercises. Escort media. Conduct field assessments and audits. Source and supply information. Implement aspects of plans or responses. Conduct response activities.	Be able to brainstorm issues Handle stress in a field office environment Coordinate and lead teams.
Incident Control Task Focused	Understand tactical issues, usually single in nature.	Implement specific plans and procedures. Practice and carryout drills. Take charge of a team. Conduct hazard assessments.	Handle stress in difficult working conditions. Direct people and equipment.
Risk Management	Understand hazards and outrage in the applicable Sector or across sectors. Understand Insurance options.	Apply qualitative and quantitative risk assessment processes. Apply appropriate regulatory standards (e.g. ISO 31000) Integrate processes into organizational culture.	Take advice. Display an open mind. Be able to use society's value judgements to determine risk criteria.

Safety Management	Understand community and industrial norms in the applicable Sector or across Sectors. Understand goal-setting and legislative objectives.	Apply the systems approach. Produce and apply Safety Cases. Apply appropriate regulatory standards (e.g. ISO31000)	Demonstrate risk-adverse attitude to life, property and environment.
Security Management	Understand the law and community relations in the applicable country. Understand security technology.	Conduct a threat assessment. Apply asset management. Develop and implement security plans. Conduct business investigations and competitive intelligence gathering.	Be able to apply the rule of law and natural justice. Display a problem solving attitude.