CPHCE Workplace Protocols

Never Stand Still | Medicine | Centre for Primary Health Care and Equity

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Superseded documents:	Nil
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Related documents:	[CPHCE Website]

Contents

1. Purpose

This document summarises protocols for some core aspects of CPHCE operation.

2. Scope

This document applies to:

- All academic and professional and technical staff (incld. casuals) employed by the university
- All staff hired through the university but located elsewhere (i.e. CHETRE) -
- All staff working on projects administered through CPHCE.

3. Protocol statement

3.1 Project Management

The following sets out the stages in establishing a new project.

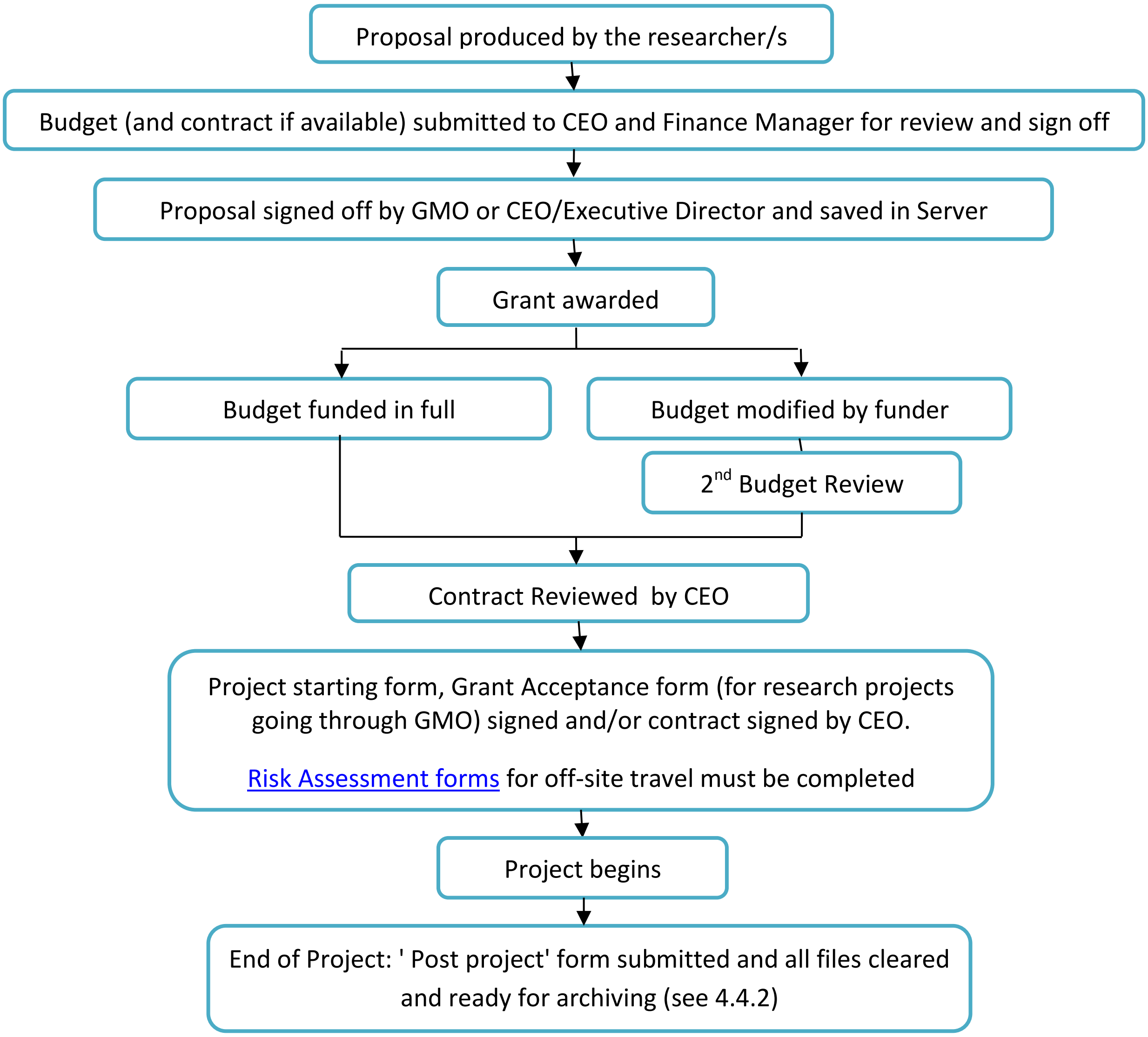

Figure 1. Project Management Process

There is a Budget Guide to help staff through this process, including suggestions for project planning, typical costings, and salary calculators. For non-Category 1 projects you must use the UNSW Research Pricing Tool to ensure that all UNSW levies are calculated correctly. Other staff may want to also use the research costing tool while developing their budget other project categories.

It is the Chief Investigator's responsibility to familiarise themselves with current policies and procedures, especially UNSW, NHMRC and ARC rules

3.1.1 Submit budget for review and sign off

The purpose of the budget check is to ensure that the costings are realistic and enough to cover all project costs; and to identify any risks/costs that may accrue to CPHCE. This involves a discussion of the project methods, activities and the costings, including the justifications of budget items. Staff should schedule a time for this with Gawaine Powell Davies and Sarah Ford, via phone or face-to-face, allowing enough time to make changes, and preferably 1 week prior to the date of submission. Where a standard contract is available, this can also be checked at this stage (not necessary for NHMRC or ARC grants).

3.1.2 Grant awarded: budget and contract review

All contracts and any budgets that have been modified by the funder will be reviewed a second time before the grant is finally accepted.

Budget

A second budget review is necessary when the funder has modified the budget to ensure that the project is still viable and that any financial risks to the centre are identified. This may involve revising the project and/or identifying other sources of funding. Where possible this should be done with the person who conducted the original review.

Contract

The contract should be reviewed with the CEO or the local Centre director before the grant is accepted. This will focus particularly on clauses relating to intellectual property and publication rights, and also on other relevant issues such as milestones, penalty/cancellation clauses and funding (e.g. GST). View the Contract Guide for suggestions.

3.1.3 Project starting form, Grant Acceptance Form or Contract signed by appropriate authority

Projects classified as research are managed through the Grants Management Office. Other projects (commercial activities and projects classed as 'educational' are managed through the Centre and the

Faculty. Note that the definitions these categories and arrangements for managing these projects vary from time to time.

Research projects (GMO Process)

The GMO process may change over time, so check the latest information at the Grants Management Office page. The 'Grant Acceptance Form' is pre-populated by the GMO and will be emailed to Chief Investigator once the grant has been awarded. The Chief Investigator fills this out, along with the 'Project Starting Form' which includes the information needed for the website and annual reports.

There will also be a form for allocating the HERDC credit between Chief Investigators: this will determine the split of indirect funding from the Government that will flow through via SPF02/4 funds with a 2-3 year time lag. All forms must be signed by the CEO or Executive Director on behalf of the Centre.

Non-research projects

Non-research projects are not submitted via the GMO. Contracts up to $120, 000 are signed by the CEO, those over $120,000 will be submitted to the Dean for signature. The 'Project Starting Form' must also be submitted with the contact.

3.1.4 End of project

At the end of all projects a 'Post Project Form' should be completed. This provides final details of the project, including information needed for the website updates, for the annual report and archiving. This is a good opportunity for project teams to review and discuss future possibilities arising from the finished project – this could be from valuable relationships, project outcomes/results etc.

At this stage project material should also be culled and archived. (see 4.4).

3.2 Orientation

Supervisors are responsible for orienting staff whom they will supervise, and any, visiting staff or students. All orientation information and forms can be found on the CPHCE website, including a checklist for supervisors and new staff/students. Supervisors must inform Sarah Ford or Sunny Chang and Gawaine Powell Davies of the arrival date of the new staff/visiting staff/student - see 5.2 for further information. It is important that supervisors are available when new staff start, or arrange for someone to deputise for them.

New staff/visiting staff/students must be inducted into the building and introduced to other staff. The Orientation Checklist for New Staff should be given on arrival.

For Supervisors see the Orientation Checklist for Supervisors Only.

New Staff

New staff should complete the following:

- CPHCE_HS Induction Form01 (CPHCE_HS_IF01)
- New Staff Form
- Employee Acknowledgement Form
- Online Training Course: EO online Module 1 AND OH&S Awareness Training (Casual Staff doing under 7 hours per week or working for a maximum of two weeks do not apply to this)
- Health and Safety for Supervisors training (can enrol via myUNSW) - Supervisors ONLY
- Sal11 Form – only applicable to casuals who haven't received this from the Faculty of Medicine HR

Visiting staff

Visiting staff are only required to complete the Visitor Induction Form if they are visiting the centre for more than 3 days. All other visiting staff will be given a short induction by their supervisor.

Students

- CPHCE_HS Induction Form01 (CPHCE_HS_IF01)
- New ILP/PhD/Masters Student Form
- Online Training Course: EO online Module 1 AND OH&S Awareness Training (Students doing under 7 hours per week or working for a maximum of two weeks do not apply to this)

3.3 Office Space

The way you organise your office and manage your time can have an impact on how productive you are and how you enjoy working as well as health and safety. Resources on office organisation and time management can be borrowed from the office.

Sharing your office

When sharing an office, please be considerate by:

- Keeping noise level low – reduce the volume on your phone (landline and mobile). Where possible put your mobile phone on silent/vibration
- Using headphones to listen to videos, music, recordings, or finding a vacant workspace. – Contact the office if you need headphones
- Leaving the room for personal phone calls, or keeping them t as short as possible.
- Not eating strong smelling foods at the desk, or checking with co-workers if it is acceptable.
- Communicating with each other – designate work areas and file storage space and set out personal standards on housekeeping

If you have tasks which are difficult to carry out in a shared space, please discuss it with your supervisor.

3.4 Meeting areas

At Randwick CPHCE have a small meeting room (311) and a large meeting room that is shared with the Dementia Collaborative Research Centre. These can be booked through Sarah Ford. The couch area in the foyer can also be used for informal meetings.

Rooms may also be booked in the Faculty on level 2 and on the ground floor of the AGSM building. Ask Sarah Ford for help with booking these.

If you have visitors to meetings who are not familiar with the building, please orient them to the toilets, emergency exits and the kitchen.

3.5 Kitchen

The kitchen is shared with the Dementia Collaborative Research Centre. Please keep it clean and be respectful of others who are using the kitchen. In particular:

- Do not take other people's food without asking.
- Clean up – wash, dry and put away dishes, cutlery, glasses, and mugs after use.
- When using appliances, ensure they are left in a clean state.
- Label all food put in the fridge. If food has been left in the fridge for a prolonged time or past it's used by date, it will be thrown away.
- If you spill something, please clean it up immediately

3.6 File storage

Most staff will be working on shared projects, where others will need to access files. Please organise them so that they can be shared, and ensure that such material is on the server as well as on your computer. This is particularly important for people working on laptops.

Computer files
For consistency, the following folders are suggested for new projects:

- Administration
- Ethics, Grant approval, Contract
- Data Collection
- Reports
- Literature
- Meetings

Documents that are no longer current can be stored in an archive folder or deleted. Staff should refrain from storing personal notes, files etc. on the server unless they need to be shared with multiple people, it is suggested to keep them saved on your desktop computer.
If you are working on a laptop you may need to synchronise files with project folders on the website. Be careful not create doubles and/or delete any other files. If unsure of the best way to do this staff may want to contact the IT department. **Be sure also to back up your files regularly**

Maintaining computer files on the server is important for fluency, ease of access by others and cleaning and storing for archiving.

3.7 Archiving and Record Keeping

Currently, storage for Randwick is located in room 323 on Level 3, AGSM Building, UNSW. There are filing cabinets and boxes available for storage. If you notice a project archive has expired, please dispose of it in the correct manner or alert Sunny Chang.

What to archive

The Archive room is limited in space – please store only what is needed.

Keep:

- 1 hard copy of contracts, applications, ethics, memorandums of understandings, other legal documentations/agreements. Soft copies should also be on the server (J: drive)
- Client consent forms, withdrawal forms, letters sent etc. (1 copy only)
- Data: Surveys, interview transcripts, tapes etc. clearly labelled
- 1 copy of all data analysis
- 1 copy of all reports – progress, interim, final etc.– a copy should be saved on server
- 1 copy of promotional material (pamphlets, flyers, posters etc.)
- Emails relating to contracts/ ethics/ agreement discussions ONLY

Items NOT to keep

- Personal notes
- Multiple copies of letters, uncompleted surveys, consent forms, withdrawal forms etc.
- Emails that do not fall under the above category (a. vii.)
- Notes/ other material relating to other projects – store them elsewhere if necessary
- Printed journals used for referencing or support.
- Personal material (you can to retain at another location if required)

Storage protocol

- Check archive room for available space and free filing cabinets before storing in boxes
- To save space, remove documents from swing files (unless going into a filing cabinet). Please do not store documents in swing files within boxes.
- If possible, remove manila folders, as they take up a lot of space
- Group documents using elastic bands/string and label clearly the items included. Place bundles in boxes, ensuring all space available is used.
- Once boxes/filing cabinets are filled, label each cabinet clearly with the following

  Project Name

  Project Expiry Date - 7 years counting from the date of the last publication – if there are future publications please note 'publications are ongoing' and list a '*put in storage date'* (month and year is sufficient when applying dates)

  Contact name and email-this person must have a clear understanding of the project

  List of Contents- simple as possible

  How many boxes/ cabinets - i.e. Box 1 of 2, Box 2 of 2

Stack boxes carefully within the archive room in space available. Make sure boxes from the same project are kept together. If other boxes need moving please make sure projects are kept together.

It is the responsibility of the Chief Investigator to ensure that documents are appropriately archived when the project is finished. This includes material from staff offices to be stored together (see 3.8) for leaving workplace protocol. Dispose of any material that does not need to be archived, using the black bags for confidential waste.

3.8 Leaving the workplace

If you are leaving the Centre, please:

- Ensure anything that is stored on your computer is either deleted or moved to an appropriate place on the server – conversely anything you have saved on the server that is not needed, delete it.
- Ensure all computer documents/ folders are clearly named and saved where other staff can access them.
- Empty all draws, shelves and filing cabinets, pass documents onto other team members to store, or pack away in boxes ready to be archived, see 3.7
- Remove all personal belongings, including personal notes, note pads or diaries.
- Return any stationery to the stationery room.
- Ensure the office is left in a manner that staff would like to enter it in – neat, tidy and ready to be used.

If you are leaving during a project, have a handover make certain that other project team members have a clear understanding of where project documents can be found (server or filing).

3.9 CPHCE Health and Safety

All new staff must complete online Health and Safety Awareness Training and online Ergonomics Training. New staff members are automatically enrolled into this training and will receive an email with instructions when it is ready to access. Students, visitors and casual workers are not automatically enrolled, an email requesting enrollment with their zID should be sent to ohs@unsw.edu.au.

3.9.1 Office based work

All workers should complete the CPHCE_HS_IF01 with their supervisor and the Workstation Checklist for the desk-space they typically sit at, this is normally done at introduction (first arriving to work at CPHCE). If not please complete both as soon as possible. Relating documents can be found on the CPHCE website.

Those who carry out office-based work on UNSW premises must follow the Office Safety Toolkit and associated CPHCE_HS_Office Work Risk Management (CPHCE_HS_OW 02). All UNSW staff and students carrying out UNSW work must follow UNSW Health and Safety policies and procedures. UNSW Facilities Management procedures must be followed in UNSW controlled premises.

3.9.2 Off-site Work

When work is carried out off UNSW premises (e.g. in community settings) risks must be assessed, taking account of the nature of the tasks, the people and the environment involved. It is the responsibility of project supervisors to assess the risks and fill out an 'Off-site Work Risk Management Form'. See 4.1 for further information in Supervisors Responsibilities.

Be aware that:

- clinical and community environments can be unpredictable, increasing risk.
- your presence can have an impact on risk levels
- you may need to leave if you perceive that you are unsafe
- you may need to be guided as to appropriate ways to behave safely in an unfamiliar environment.

Minimize risk by:

- Follow personal safety guidance (e.g., appropriate clothing and footware , safe storage of money or data, carrying a mobile phone for emergencies)
- Following any local policies and procedures and providing any documentation that is required, completing local orientation/induction and any local training that is required, being aware of the local emergency action plans (including first aid and fire evacuation arrangements).
- Reporting any incidents that occur off-UNSW-site using the local area reporting process and the UNSW incident reporting process.
- Identifying hazards as they arise developing strategies to control any risks.
- Ensuring that the UNSW supervisor and the contact at the research site are aware of the worker's movements
- Have a system set up for debriefing with the UNSW supervisor.
- Arranging meetings with the general public in work places, public areas (including cafes and restaurants).
- If visiting high risk environments, having a mobile phone and a 'buddy' system (see below)

The 'Buddy' System

- Work in pairs on any tasks that are assessed by supervisors as being high risk. Before travelling to the fieldwork, give a schedule and contact list to the project supervisor, another member in your project team or administrative staff (the 'Office Buddy')
    - Contact list should include: contact numbers of both staff members travelling and the address where the fieldwork is taking place - if meeting a non CPHCE/CHETRE staff during this field work, provide their contact details where possible
- In a high risk environment, staff must contact their 'Office Buddy' before and after their fieldwork. If running late or overtime, it is suggested to message/call/email their 'Office Buddy'.
- Upon entering a high risk environment, staff must do a 'Quick Scan' (look around) assessment of the environment they are entering to ensure there are no new potential risks and hazards that have not been taken into account. If the environment is deemed too high risk, staff must not enter.
- In the event that the "Buddy" cannot make contact with the off-site worker, they must start an emergency response appropriate for the situation (e.g. contact the supervisor of the project, contact other workers or members of the public involved in the visit, contact next-of-kin of the worker, have someone attend the site of the visit, inform emergency services).

3.9.3 Travel

If you are travelling to any country which is listed as DFAT level 2/3/4, or your travel involves higher than normal risk, you should complete an international travel risk management form (for the particular trip. In some instances approval may be required from the Centre's CEO or Executive Director or an Executive Team member. Advice can be sort from the Risk Management Unit

For domestic and/or low risk travel refer to the office safety toolkit and risk management form. You may also refer to the generic international travel risk management form (CPHCE_HS_IT01)

Workers must be aware of the UNSW Travel Procedure. In the event of a personal emergency always carry details of the UNSW insurance provider (ACE): Tel: +61 2 8907 5995 (reverse charge accepted); UNSW policy number: 01PP528908.

NOTE: All CPHCE travel is booked via SERKO.

3.9.4 Working from Home

Those who regularly work from home should complete the Working From Home Checklist and sign the Working from Home Risk Management Form.

3.9.5 CPHCE Randwick Health and Safety information

CPHCE Health and Safety Contacts

- General: Sarah Ford
- First aid: Prof Mark Harris. Alternatively, contact UNSW security on Ext. 56666.
- Floor wardens: Sarah Ford
- HS Coordinator of the Medicine Faculty: Blathnaid Farrell

CPHCE Health and Safety inspections

A safety inspection of the CPHCE AGSM offices is conducted annually by Sarah Ford and the Faculty Health and Safety Coordinator. All staff are encouraged to report any hazards in the workplace immediately (using the online reporting system in myUNSW).

4. Roles and responsibilities

4.1 Health and Safety

Supervisors must be trained in Health and Safety to be able to identify work related hazards and eliminate or control these. They must complete Health and Safety Training for Supervisors. Staff can enroll through myUNSW (check your training history in myUNSW for a list of training your have already completed).

Off-site Work

When a project calls for off-site work tasks (see 3.9.2 for more), project supervisors must produce an 'Off-site Work' Risk Management form. Supervisors are provided with a guide form to start them off; however they are required to assess each project individually to ensure all risks have been identified and complete the form to best suit the type of environment staff will be entering. Once this form has been carefully completed, all staff within the Supervisors' project team that will be doing off-site work must read and sign it. Supervisors can contact Blathnaid Farrell from Medicine Health and Safety for guidance or a final review of the Risk Management form

International Travel

When staffs are required to travel internationally, Supervisors should check the DFAT website to ascertain what risk level the destination country stands at. If the country is labelled by the DFAT as a level 2/3/4, then an 'International Travel Risk Management' form needs to be completed. Supervisors can refer to the smartraveller Website for information regarding risks, risk control suggestions and more. See 3.9.3 for more.

4.1.1 Filling out Risk management forms

Supervisors are responsible for filling out the Risk Management forms. This is covered in the 'HS for Supervisors' training, which qualifies supervisors to complete these forms. Supervisors can refer to the University's Risk Management Procedure for more guidance. Please ensure the following:

- Supervisors should be completing the 'Off-site Risk Management' forms during the Project application process.
- At the start of the 'Off-site Risk management' form and the 'International Travel Risk Management' form there is a section called 'HS Form Number'. Label these as:
    - HS_CPHCE_OSW_(insert project Number) for 'Off-site Risk Management'
    - HS_CPHCE_IT_(inset project number and travellers initials) for 'International Travel Risk Management'
- Both the 'Off-site Risk Management' and the 'International Travel Risk Management' forms are guides for supervisors. They have common tasks and associated risks already listed. You can add, edit or delete as required. There are suggestion bubbles for some hints and links which can be deleted so it can be used as a template. Only one 'Off-site Risk Management' Form is required per project, with all relevant staff signing. The 'International Travel Risk Management' form must be completed for each individual traveller.

It is highly encourage that Supervisors and staff share Health and Safety information. For example, using the same risk management forms from similar projects and adapting them.

4.2 Supervisors role in Orientation

All supervisors are responsible for the induction of the new staff/student/visiting staff they hire. They should be present on the day of arrival. If not possible, notify the administrative staff (currently Sarah Ford and Sunny Chang) in advance and give the following details:

- Name
- Office location/directions on where to go
- Casual/permanent (contract)/ visiting
- Any instructions for work that needs to be completed

Although Sarah Ford or Sunny Chang will introduce the new staff member into the building (the fourth step on the Supervisors Checklist), it is the Supervisors responsibility to run through all the induction forms, myunsw, email/zpass check and HS Forms. Supervisors should be familiarised with all previously mentioned tasks.

Supervisors should follow the 'Supervisors Checklist for Orientation' and ensure they cover all items listed. It is the Supervisors responsibility to ensure that all forms are completed and returned to Sarah Ford.

Visitors/ meetings

Visitors who will be in the building for some time (i.e. meeting, seminar etc.) should be made aware of:

- Location of fire exits, toilets and kitchen
- Emergency procedure - exit building in an orderly manner and follow instructions to the meeting area

This can be done at the start as a quick introduction.

Visitors that will be staying for longer than 3 days must complete the Visitor Induction Form and be properly inducted into the building as per the 'Supervisors Checklist for Orientation'.