



Australian Government

**Australian Building and
Construction Commission**

AIMS

User manual

Release date: 25 October 2013

Amended: 14 December 2016

Change History

Date	Nature of Change
11 March 2014	Addition of the process to issue subcontractor resources following site visits
9 May 2014	The following sections have been altered: Enquiries – Updated selection for Issues Identified/Other Issues Identified – both can be selected if appropriate and list of Other Issues Identified - OHS includes Safety Cards (White/Red cards) Presentations – Updated presentation definition and removed Meeting reference Site Visit – Updated how to create a Site Visit from Site entity and link all parties including subcontractors to Site entity. Removed reference to linking subcontractors to each site visit. Only Organisations Present during the site visit need to be linked. Investigations – Updated investigation definitions as per 14 April 2014 Executive Board minute
16 May 2014	Removal of Issues Identified from Enquiry entity. Addition of Enquiry Topic and Enquiry Topic Detail to Enquiry entity.
18 July 2014	Minor changes to site visit procedure to align manual with procedures.
16 October 2014	Removed references to targeted audits and wages & entitlements, removed FWO referrals tab section from Enquiry, updated titles in line with AIMS updates.
5 November 2014	Updated AIMS changes – Opening AIMS logon change and grey screen path. Enquiry entity updated. Actions updated. Compliance Powers updated. Investigations – allegation, anticipated action and action taken fields updated. Building Code VAA document added.
16 December 2014	Updated AIMS changes – Information entity Removed references to DM Formatting changes
24 December 2014	Updated Section 3 – Investigations, Section 4 – Formal Referrals, Section 5 – File Notes, Section 6 - Actions
2 January 2015	Updated formatting, images and hyperlinks throughout.
26 March 2015	Updated all content in line with AIMS updates. Added field-specific information against each entity. Replaced Queries and Browsers section.
15 April 2015	Added Compliance Visit chapter
27 April 2015	Formatting updates, new DC Doc ID
6 May 2015	Added an Organisation and Person role type to Compliance Visit chapter. Added lawyer option to automatic creation of legal matters under Actions chapter.
20 May 2015	Update Information section Building Code. Investigation name protocol, Incident Date field, Outcome of visit, Site section and Legal fields changed to mandatory.
25 May 2015	Added process for s512 recording in AIMS.
27 May 2015	Change to the Investigation choose your state description
6 July 2015	Added updated Purpose of Visit definitions
27 October 2015	Updated to include the new onsite activity
22 February 2016	Updated to include the new referral entity & update to Compliance Visit Audit
12 May 2016	Added Building Code – Assessment Entity
25 November 2016	Added new Organisation structure and EA section
6 December 2016	Updated to reflect change in name to ABCC
14 December 2016	Updated to reflect new stakeholder engagement replacement for presentation & activity based costing.

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Section 1 – Introduction to AIMS

Statement from the Director - Nigel Hadgkiss

Becoming intelligence led is a priority for ABCC. We have already made some progress in the creation of this function but it is an area of key focus for further development. As an intelligence led agency we will gather, analyse and utilise information from a range of sources to form solid conclusions that inform and support ABCC's strategic direction. It will result in a greatly increased capability to:

- identify key trends in the industry, and develop strategies to address those trends;
- detect and address gaps in both ABCC and industry knowledge;
- recognise opportunities that might be exploited by ABCC to counter potential detrimental activities of industry participants; and
- improve ABCC's education activities by establishing the information needs of our various audiences.

One of the key sources of information in this regard is the data captured in AIMS. It is therefore vital that this information is collected and recorded in an accurate and timely manner. Knowledge about projects and companies involved in construction should be comprehensively recorded in AIMS. This information informs our operational planning process and the allocation of resources through site visits, inspections and audits. The process is cyclical in that the information and observations from these site-based activities will then be recorded in AIMS and further feeds our intelligence capability. All staff at ABCC can contribute to our goal becoming an intelligence led agency, and this will in turn support the agency through all of its business activities.

Opening AIMS

AIMS can be accessed from the ABCC inSite home page.

The screenshot shows the ABCC inSite home page. The navigation menu at the top includes: Home, HR Services, Supporting Services, Operations & Legal Resources, Other Team Resources, and Document Centre. The main content area is divided into several sections: 'News & announcements' with multiple news items, 'Policy & procedure changes' with links to 'Workplace Terms & Conditions' and 'Update to Local Industry Working System', and 'Hot off the presses' with a link to 'AIMS is effective & site delegates begin law 28th this on site 24th 0 days'. On the right side, there is a 'Contacts & registers' section and a 'Business systems' section. The 'Business systems' section contains a list of links: Resources, User Guides, AIMS, AIMS (vdy), News Centre, Connect, CW Training, User News, IT Help, Spend, and TRM. The 'AIMS' and 'AIMS (vdy)' links are highlighted with a red box.

When connected to your docking station, select the **AIMS** link.

In the Windows Logon screen, select **Other User** and enter your user name and LAN password.

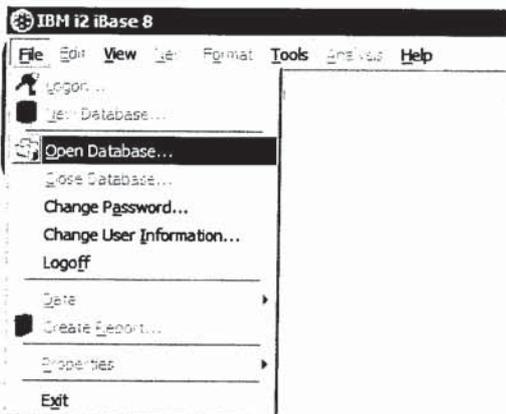


When outside the office, or connected via Wifi, select the **AIMS (wifi)** link and enter your user name and LAN password.

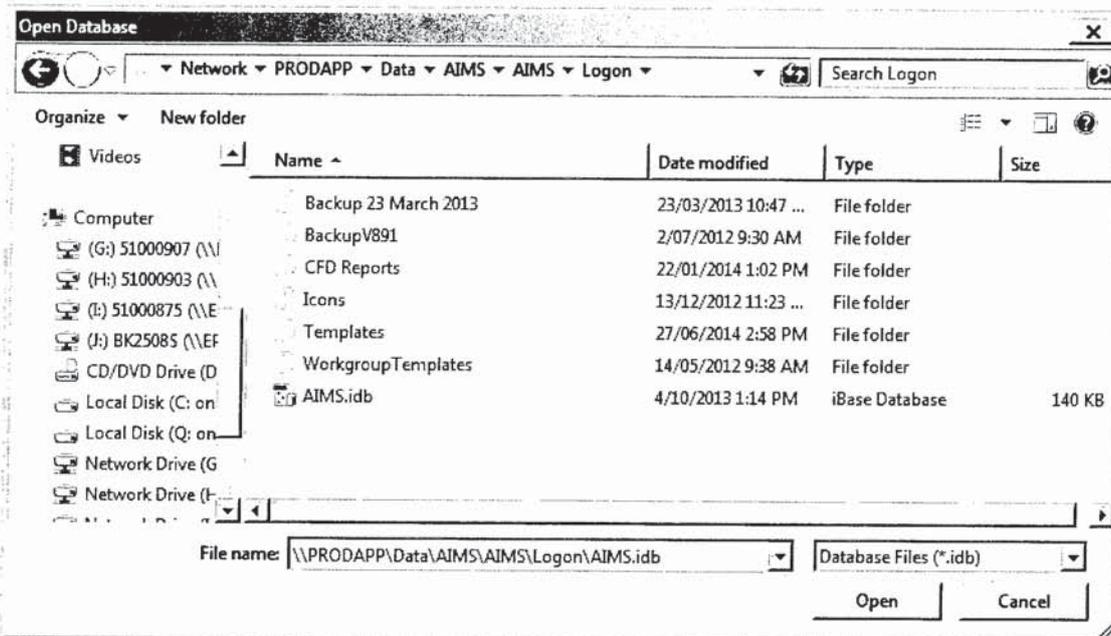


How to open AIMS when you have a grey screen

Select File > Open Database



In the File name box enter `\\prodapp\data\AIMS\AIMS\Logon\AIMS.idb` and click **Open**.



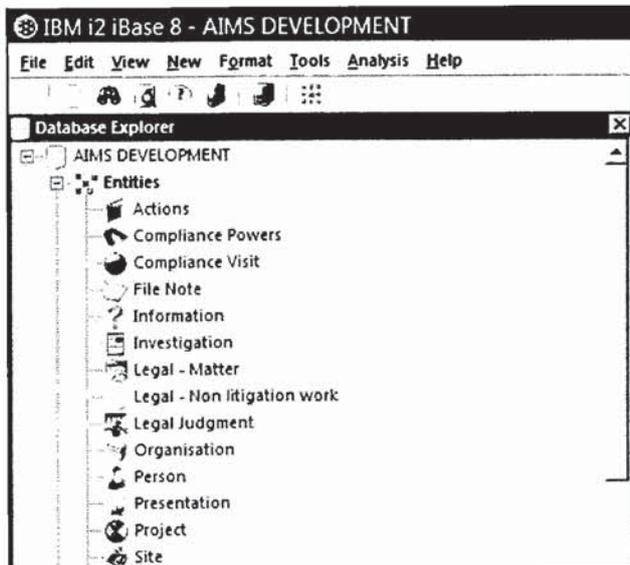
AIMS Resource page

The Planning & Performance team have created a [Resource page](#) to communicate with users on how to get the most out of AIMS. It has links to reference guides, checklists and tips on how to use AIMS correctly. Any suggested updates and improvements to the system can be emailed to the Planning & Performance Group mailbox

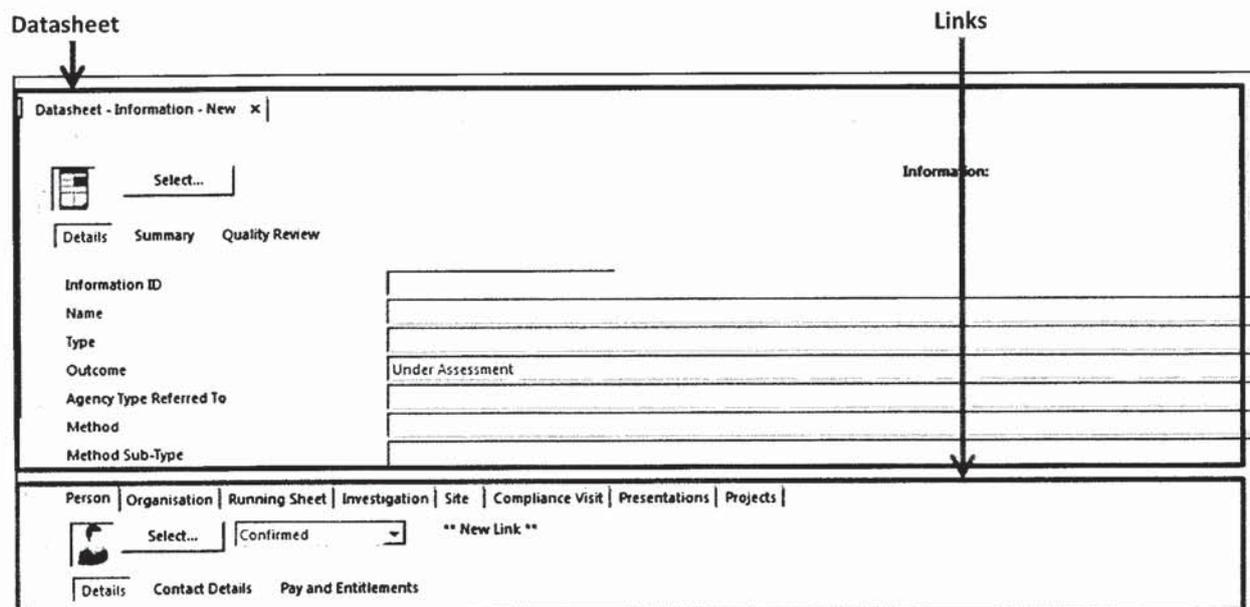
AIMS Entities

Data is recorded in "Entities". Entities categorise the data by type. The full list of Entities will be displayed when you click the + beside the Entities icon.

The information recorded in each entity is displayed on a datasheet. The data sheet forms the record in AIMS. New records can be created and existing records can be searched and edited. Each record has a unique identifier – a combination of letters (to identify the Entity) and numbers for each datasheet.



Each AIMS entity displays in two sections – the datasheet displays at the top and links display in the bottom. The datasheet consists of one or more tabs; the main tab relates to the details of the record, other tabs record additional specific information. The links section contains tabs for different entities that can be linked directly to the record.



Find Function

You can search for an existing record in AIMS using the "Find" function. To do this, right-click the icon of the entity you want to search for and select "Find". You can use any of the available fields to narrow your search options. You can also use wildcards to replace unknown text, for example to locate an Investigation called "Right of Entry - Fred Smith - Multiplex site - ABC St Brisbane" you could search for "*Fred Smith* *Multiplex* *Brisbane*" in the "Investigation Name" field.

Find - Investigation x

Investigation

Investigation Id

Investigation Name

Status

Category

Main Allegation

Allegation

Anticipated Action

Indexed fields only

Find

Label

No records

AIMS also has a powerful "query" function that can be used to build browsers, reports, or sets. See [Section 16](#) for more information.

Show Record

A record can be viewed as a single page by selecting the Show Record option of the Show with option. Use the "find" function and when the records are shown in the lower half of the screen, right-click on the selected record and choose 'Show With', then 'Show Record'. All fields will then appear as a single page.

The Datasheet view will be displayed by default when a record is opened. This view breaks the Entity fields into tabs and shows the linked entities. The view for linked Entities can be switched from a list view to records view by clicking on the switch button:

Enquiry | Running Sheet | Site Visits | Presentations | Actions | People | Sites | Organisations

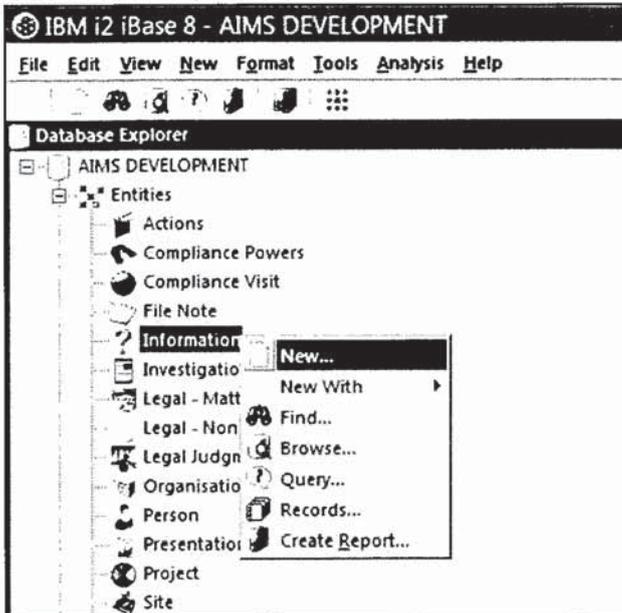
Label

No records

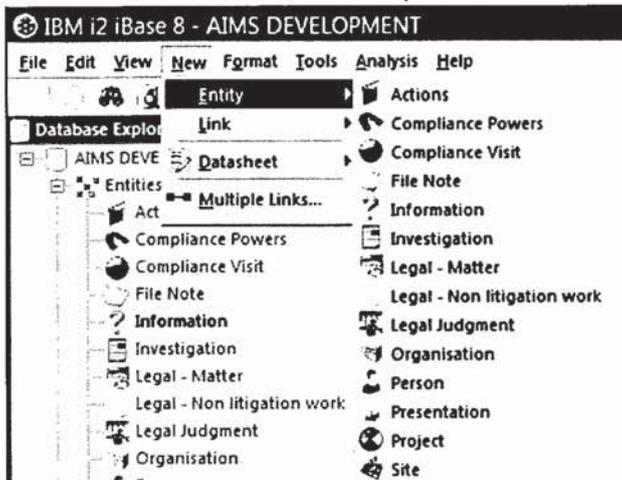
Data Entry

A new datasheet can be created by one of the following methods:

1. Double click on the Entity icon
2. Right-click on the Entity icon and select "New":



3. Use the "New" menu to create a new Entity datasheet:



4.

Search Function

There is a search function built into each new Entity in the form of a "Select" button:



Before creating a new record, always use this function to search for a datasheet that may already exist in AIMS to prevent a duplication of records. Use wildcards - particularly before and after the search term. Only create a new datasheet if you have not been able to find one that matches your information.

Remember:

- Search for possible variations in spelling or possible common spelling or typing errors;
- Include (or omit) full stops, apostrophes or hyphens;
- Do not search for an overly specific name, as the name you know the entity by may not be its official name. Use the first few letters only to widen the search; and
- Use wildcards.

Enter the data in the fields as appropriate for each Entity. All field names in **blue** are mandatory and the datasheet can't be saved until all mandatory fields are completed. Similarly, when linking an entity, the data for the entity to be linked can't be entered until all mandatory fields have been completed in the entity that was initially opened.

An Entity's datasheet may have more than one tab on which to enter data. Ensure that the information on each tab is completed as there may be mandatory fields on those other tabs.

Do:

- search for existing entities before creating a new record (remember to use the wildcards);
- save your work regularly; and
- enter telephone numbers as a string of digits (no spaces, parentheses, hyphens, or any other kind of punctuation).

Do not:

- enter large amounts of text in comments boxes (if you have more than 4 or 5 lines of text, create a document and attach that as a file note instead);
- use hard returns (press the enter key), tab stops (press the tab key) or bullet points in comments fields ; or
- use the \$ symbol for amounts of moneys recovered (or spaces, commas, or words to represent numbers).

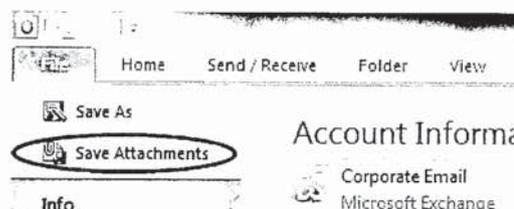
Pick Lists

These are pre-populated fields from which to make a selection. The button with three dots at the end of the field brings up the box with all available selections for that field:



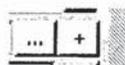
Attaching documents

Scan any documents received and save them to Document Centre. You can do this by using the File > Save attachments option in Outlook. Save the attachment (not the email) to a folder on your J drive and then import the document to Document Centre:



For assistance with Document Centre refer to the [Document Centre page](#) on inSite.

Documents can be attached to the datasheet in hyperlink fields. These are usually called "Document" or "Link to Document" fields. Documents are attached using the DOC-ID number. For links to documents in Document Centre, right-click on the Document ID and select "Copy shortcut". Paste this into the field. You can link more than one document by clicking on the + button at the end of the field:



Linking entities

AIMS has the function of showing relationships between entities. These relationships are known as “links”. Links are a specific type of datasheet and contain information about the connection between entities. A link is created by adding the datasheet for one entity to another.

AIMS has been designed around the ability to link entities. When an entity’s datasheet is opened, the entities that can be linked are shown in the lower half of the window. Information entered in these windows is automatically linked to the entity that was opened. Different types of Entities can be linked to one another and these links can be explored for reporting and analysis.

Linking to an existing record

Before creating a new record to be linked to the current Entity in the upper half of AIMS, use the “Select” button to search for existing records.

Select...

Creating a new link record

If there is already an entity linked and you want to add another one, click on the “New” button in the lower right hand corner. The field to the left of this button shows the number of datasheets linked:

New

Once the information has been entered in this part of the Entity, you will then need to open that datasheet so that it appears in the upper half of the screen and you will then be able to complete editing the remaining fields. Only selected information of the records can be viewed, edited or entered when the entity is in the lower half of AIMS.

Automatic linking of entities

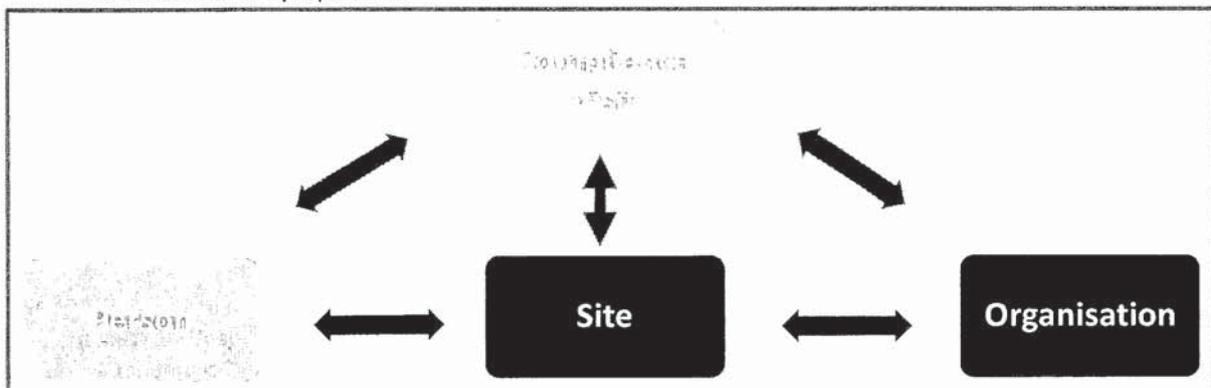
When a Compliance Visit is linked to a Site, Person and Organisation(s), AIMS will automatically create links between the Person, Organisation and Site entities. This is to reduce the double-handling of information by investigators and ensure that correct links are made. In order for this to occur, the process below needs to be followed:

The Site visited must exist on AIMS. Search for the site using a wildcard search. If the site cannot be found, create the Site (see [Section 9](#)). Create a new Compliance Visit record (see [Section 10](#)) and link the Site and the relevant Organisations and people (e.g. Head contractor/sub-contractor) to this record. Remember to use the Select button first and then specify the role the person or organisation had to site.

AIMS will then automatically create links between the Site, the People and the Organisations that you have linked to the Compliance Visit record.

This is demonstrated in the image below:

- Users create the orange links.
- AIMS creates the purple links.



Analysis and Reporting

The information recorded in AIMS is used as supporting evidence of ABCC core business activities, investigations and litigation.

AIMS data is analysed and provides statistical reports on the performance of the agency.

The Planning & Performance Team undertake regular audits of the information contained in AIMS to ensure the accuracy and relevance of the reports presented to Industry Stakeholders, Media, Managers and Senior Executives.

The Professional Standards Unit assesses the content of the records in AIMS against business processes and standards for investigations and litigation.

All data recorded in AIMS must be accurate, timely, relevant and complete.

Section 2 – Information

The Information entity in AIMS is used as a single entry point for information received by the agency.

Type

The information received by ABCC is categorised into three types:

- **Enquiries** – are requests for information or advice that can be provided by an investigator on the activities or purpose of ABCC, or matters that are outside of ABCC’s jurisdiction and are referred to another agency. Enquiries should be completed within 3 working days and should **not** be upgraded to an investigation. If it is determined that an enquiry should be upgraded to an investigation, the *type* field must be changed from *Enquiry* to *Complaint*.
- **Complaints** – are matters that require further assessment to establish if (i) there is evidence that a breach of a relevant law may have been committed and (ii) this falls within the jurisdiction of ABCC (Core Business). The outcome of a complaint can be either **UPGRADED** to an investigation or **CLOSED**. Complaints **must** be upgraded or closed in 7 working days.
- **Information** – are matters where information is obtained from the Fair Work Commission notification schedule (permit applications or matters ABCC may wish to intervene in), notifications received from unions or site visits as per s.508 BCIP Act orders, s.19 & s.22 Building Code Notifications, or other sources where the information obtained is relevant to the agency’s core business such as monitoring of social media sites. The outcome of the information provided can be **UPGRADED** to an investigation or **CLOSED**.

ABCC Information records are created by investigators and legal staff. The staff member taking the call or receiving the information is responsible for creating the Information in AIMS. Investigators are responsible for monitoring the 1800 hotline and recording all calls received on AIMS.

Referring Enquiries and Complaints to other State or Territory offices

If an enquiry or complaint relates to another State or Territory the Investigator should record as much information as possible in the initial stages of assessment by providing the appropriate advice, information, or referral. The Investigator receiving the enquiry or complaint is responsible for entering it into AIMS and providing the caller with the relevant ENQ number.

If the matter cannot be finalised by the Investigator who received the call it should be referred to the relevant State or Territory office. The Investigator who received the call should assign the complaint to the relevant State Manager. The State Manager will then assign the complaint to an investigator in their state to resolve. The assigned investigator’s team leader QR’s the complaint.

Referring matters to other agencies at the Information stage

Enquiries received that are outside ABCC’s jurisdiction should be referred to the appropriate agency as per the ABCC Operations Guide. Specifically, enquiries determined to be outside of the jurisdiction of ABCC should be resolved by:

- providing the enquirer with the contact details of the relevant agency having jurisdiction;
- recording this action in AIMS; and
- closing the enquiry with the relevant outcome.

Obtaining relevant details from the source

All relevant details should be obtained from callers or complainants. If they wish to remain anonymous then this should be recorded as “source wished to remain anonymous” along with their reason/s for requiring anonymity.

Creating a new Information Entity Record

Datasheet - Information

The datasheet has three tabs across the top, Details, Summary and Quality Review. These tabs separate the fields for ease of use.

The user entering the information will primarily use the Details and Summary tabs. Team Leaders and State Managers will use the Quality Review tab to record when they have reviewed the entry, the date the review was undertaken and any relevant notes. This process is completed once the enquiry/complaint/information has been resolved and closed or upgraded.

Details Tab

All the mandatory fields are **HIGHLIGHTED IN BLUE** and must be completed.

Information ID This unique record ID will be generated automatically by AIMS. e.g.ENQ123

Name Create the name of the record and follow the naming convention of recording the method/method sub-type, breach, complainant/site and location. For example: *Phone call - Industrial action - Grocon site - Perth*

1800 hotline calls should always be prefixed with "1800 call" for example:
1800 call - Right of Entry - F Smith - Multiplex site - Brisbane; or 1800 call - Domestic enquiry - Victorian Building Commission

Type Select the appropriate option from the drop-down list for Enquiry, Complaint or Information (refer to [section 2 - Type](#))

Outcome Select the resolution outcome from the drop down list as below:
When choosing your **OUTCOME** from your information entity it is important to ensure you are selecting the **correct outcome**. We report on the outcomes of our Enquiries & Complaints

Outcome	When to use?
Information Provided	Information or advice has been provided to the source. The general nature of the information/advice should be included in the Outcome Comments. If further or more specific information needs to be recorded, attach a file note to the record. All correspondence should be saved into DC and linked to the record
Information Recorded – No further action	This is ONLY to be used when the type is Information (for example, s.418 applications) have been received and entered in AIMS, and no further action is required.
Presentation Requested	When the Enquiry results in a Presentation. Remember to link the Presentation.
Referred to other Agency	When the enquiry is referred to a non-government Agency. When this option is selected the Investigator must also select the correct agency category from the "Agency Type Referred To" drop-down.
Referred to Relevant Federal Agency	When the enquiry is referred to FWO, FWC, DIAC etc. the Investigator should clearly state in the outcome comments what agency the enquiry has been referred to. When this option is selected the Investigator must also select the correct agency category from the "Agency Type Referred To" drop-down.
Referred to Relevant State Agency	When the enquiry is referred to State Government Agency etc. the Investigator should clearly state in the outcome comments what agency the enquiry has been referred to. When this option is selected the Investigator must also select the correct agency category from the "Agency Type Referred To" drop-down.
Unable to Provide Assistance	If this option is chosen, the reason why it was not possible to provide assistance should be clearly described in the Outcome Comments, for example when a call drops out before assistance has been provided and the caller's contact details have not been captured.
Under Assessment	This is the default option and should remain selected until an Outcome is determined.
Upgrade to Code Activity	When the information, enquiry or complaint leads to a Building Code Activity.
Upgrade to Investigation	When the complaint or information has been upgraded to an Investigation (including a Building Code-related investigation).
Upgrade to Legal	Where the State Manager Legal determines that a Fair Work Commission notification warrants applications or submissions to be drafted by ABCC Legal.

Agency Type Referred to You must select the agency you have referred the source to if in the outcome field above you have selected "Referred to other Agency", "Referred to Relevant State Agency" or "Referred to Relevant Federal Agency".

Method Select the overarching method of contact (see table in Method Sub-Type below)

Method Sub-Type Select the specific method of contact as per the table below:

Method	Method Sub-Type
Hotline	1800 Call
Direct	Bargaining Letter
	Fax
	In Person
	Letter
	Phone Call
	Presentation
Online	Site Visit
	Code reporting inbox (ss. 19 & 22)
	Email
	Online Enquiry
	Code Web Enquiry
Referral	Research
	Dept. Employment
	Fair Work Commission
	FWO
	Government Department
	Media
Other	Ministerial
	Other

Notifying as per s.19 or s.22 Building Code?

Select Yes in the drop down if under s.19 of the Building Code a building contractor or building industry participant is reporting actual or threaten industrial action; or if a contractor or industry participant is notify the Director of a breach or suspected breach of the Code under s.22 of the Building Code. Stakeholders should be directed to use the Code Reporting mailbox to make their official Building Code Report.

Description Enter a succinct description of the enquiry/complaint or information by recording the alleged breach, relevant site/s, complainants, suspects and key pieces of information. If the description is more than 5 sentences long, create a file note in Word, save it to Document Centre and link it to the Information entity – see the [attaching documents](#) section above. Summarise the key points in the document in the description field.

Source Type Select the broad category of the source of the enquiry/complaint/information. Select the classification of the organisation/person the source is representing – not necessarily the classification of the source themselves. For example, if a Site Manager is calling on behalf of the Head-Contractor they are employed by, select Building Industry Participant > Head-contractor. See table in Source Sub-Type below.

Source Sub-Type Select the specific category of the source. If you are unsure on the classification of the source, seek guidance from your team leader, a super user or Planning & Performance Officer.

Source Type	Source Sub-Type
Building Industry Participant	Employee
	Employer
	Employer Association
	Head-contractor
	Independent Contractor
	Individual
	Sub-contractor
	Trade Union
Employer / Employee Association	MBA
	NECA
	Union
	CCF
	AMCA
Government	ABCC
	FWC
	ATO
	DIBP
	FWO
	Government Department
	OH&S Agency
	Construction Code Compliance Unit
Law Enforcement	AFP
	State Police
	ACC
	ICAC
	NCA
Other	Home Owner
	Legal
	Media
	Other
	Domestic Builder

Contact Person, Position and Phone Number

Enter the source's name, position (e.g. director, site manager, plasterer) and phone number or email address. If the person wants to remain anonymous, enter 'source wished to remain anonymous' in this field. **Note:** When entering phone numbers (fixed or mobile), there should be no parentheses, spaces, hyphens or other symbols. For example, (03) 1234-5678 should be entered as 0312345678

State Select the state or territory from where the complaint/enquiry/information originated.

Alleged Offence Date Enter the relevant dates of the alleged breach if applicable.

Date Received Enter the date ABCC first received this enquiry/complaint/information. This date is used as the commencement date for all future performance and responsive measures in agency reporting, in particular agency KPI "Number of enquiries responded to in one working day."

Time Record the time the enquiry/complaint/information was received. This assists ABCC to monitor responsiveness to requests for assistance in the industry.

Response Date Enter the date you responded to or acknowledged the enquiry/complaint/information. This date is used in conjunction with the "Date Received" to measure agency KPI "Number of enquiries responded to in one working day". Please ensure the Response Date field is completed. This defaults to the date the AIMS datasheet was created.

Topic Select the overarching topic classification. Where multiple topics are discussed, the most important issue should be selected.

Topic	When to use
Workplace Laws - ABCC core business	All categories of information that relate to ABCC investigate as core business.
Workplace Laws - Other	All categories of information related to workplace laws that ABCC does not investigate as core business e.g. pay and entitlements.
Code	All categories of information related to the Building Code, including our interaction with state based Codes.
ABCC Information and Activities	All categories of information that relate to any requests for information about the agency or activities e.g. media requests, website requests, annual report, other reporting etc.
Other Laws	All categories of information related to laws other than workplace laws, including criminal matters.
Not relevant to building industry	All categories of information that do not relate to the building industry or any other Topics, including nuisance calls

Topic Detail

Select the detail of the topic based on the selection in the Topic above. If you cannot find what you are looking for try changing the topic selected above.

Topic	Topic Detail	When to use
Workplace Laws - ABCC core business	Coercion	Coercive elements, including adverse action and other similar general protections.
	Freedom of Association	Freedom of association issues or situations where it is implied that Union membership is not a choice.
	Unlawful Industrial Action	All reports of potential industrial action or work stoppages, requests for advice during work stoppages and other industrial action enquiries (other than strike pay).
	Right of Entry	All enquiries related to entry rights of officials, union conduct when entering a site without following process. Do not use for specific requests regarding trespasses.
	Strike Pay	All enquiries regarding the payment of, or request to pay, strike pay.
	Wages & Entitlements	All enquiries regarding W&E in the building industry
	Independent Contractor / Sham Contracting	Elements relating to potential misclassification of contractors or sham contracting arrangements .
Workplace Laws - Other	Agreements	Issues relating to agreement making process, and other agreement related questions relevant to FWC.
	Unfair dismissal / Unlawful termination	Elements relating to unfair dismissal or unlawful termination to be handled by FWO and FWC.
Code	General Code Information	Requests about the Code and its operation on site.
	Notice of Code Breach	Notifications made by contractors or client agencies about potential Code breaches, as required in the Code.
	Code Assessment	Questions about companies Code Assessment application/process.
	State Code Information	Questions about State Government Construction Codes.
ABCC Information and activities	General ABCC Information	Requests relating to the agency (including staff information), its activities and performance.
	Media	Information obtained via media including social media scanning.
Other Laws	Domestic Building	Disputes involving domestic building work.
	Licensing / Permits	Enquiries regarding validity of building licenses and permits.
	WHS	Enquiries regarding OHS incidents and legislation.
	Tax	Enquiries regarding taxation matters.
	Immigration Laws / Visas	Enquiries regarding immigration matters, including 457 visas.
	Competition Law	Enquiries relating to competition law as regulated by ASIC.
	Contractual Disputes	Enquiries related to disputes between contractors, Including Security of Payment legislation
	Superannuation	Enquiries related to superannuation law.
	Criminal - Trespass	Enquiries related to criminal trespasses. Do not use for general right of entry requests.
	Criminal - Other	Enquiries related to any other potential breach of criminal law including threats, assault, bribery, fraud etc.
	National Building/Plumbing Codes and Standards	Enquiries related to NBP code and standards
Not relevant to building industry	Seeking ABCC Staff Contact	Caller who wants to talk to specific staff or area of the ABCC
	Wrong number/contact	Callers who have contacted ABCC in error.
	Abusive Caller	Any abusive or nuisance call received.

Received By Select your name from the drop down.

Team Select your team from the drop down.

Summary Tab

Status Select the appropriate status from the drop down.

Enquiries should be closed within 3 working days. Complaints should be upgraded or closed within 7 working days. Complaints and Information can be upgraded to an Investigation.

Select CLOSED status if:

- information or advice has been provided;
- the matter has been referred to another agency (State or Federal);
- you have been unable to provide assistance; or
- a Presentation has been arranged.

Resolved By You must select the name of the officer (either yourself or a colleague) who is in the process of resolving the enquiry, complaint or information before you can save your record. The Resolved by field allows you to see which enquiries, complaints or information you are in the process of resolving or have resolved. This is particularly important when, for example, a call is received by one office and referred interstate, or a call is received and the investigator who takes the call is unable to provide the necessary information in the first instance so they refer it to a colleague with greater knowledge on the subject matter for resolution.

Date Upgraded/Closed Tick box and enter the date when the Complaint was upgraded or closed, or the Enquiry or Information was closed.

Action Taken Record the steps you have taken to resolve the enquiry or complaint. You also have the ability to link file notes in the running sheet.

Outcome Comments Record the outcome of how you resolved the enquiry, complaint or information. The comments should cover any information you provided to the source, how the enquiry, complaint or information was finalised and, if applicable, whether the complaint was upgraded to an investigation.

If the outcome is more than 5 sentences long, create a file note in Word, save it to Document Centre and link it to the Information – see the [attaching documents](#) section above. Summarise the key points in the document in the Outcome field.

Do not insert line or paragraph breaks or dot/bullet points into the text box. Text should be entered as one continuous paragraph. This will prevent the text from being corrupted when reports are created or the text is exported to Word or Excel.

Document Link Link any relevant documents e.g. file notes, emails, faxes or other correspondence. Any advice provided in emails or letters must be attached. If the Information was received through an online enquiry, email, etc. link the whole document rather than using copy and paste into the Information description field.

Quality Review Tab

This tab is restricted to certain user groups and can only be edited by a Team Leader or State Manager. A Team Leader should not create and review the same record. The aim of quality review is to ensure the information recorded in AIMS is accurate and key fields are completed. Quality Review should be completed by another Team Leader listed in the 'Quality Review By' list. This should be done ideally within 7 days.

Quality Review By Team Leaders select their name from the code list drop down.

Date of Review Tick box and enter the date when the record was reviewed.

Possible misuse of safety to access site?

Investigators are to discuss spurious safety issues with their Team Leader. Only Team Leaders and P&P can tick the "Possible misuse of safety by union to gain right of entry?" box.

Notes

Team Leaders can record notes relating to the record, for example if the enquiry is unique or doesn't follow the standard business practice. Team Leaders can also make a note here to provide context for the record if they have referred the enquiry, complaint or information to another state office.

Create Investigation?

Team Leaders tick this box when they agree that the complaint or information warrants investigation. By ticking this box AIMS will automatically create the investigation record and link it to the information/complaint record. Any persons, organisations, sites or running sheet entries linked to the complaint or information will be linked to the investigation record as well.

This process should happen within 30 minutes of the Assistant Director completing the Quality Review and ticking the "create investigation" box.

An Action to 'Initiate Investigation' must still be linked to the Investigation. See Initiate Investigation in [Section 6](#) of this User Guide for further information about creating and actioning a request to initiate an investigation. The Record of Decision to Investigate must be attached to this Action entity.

Information Record Links

Links can be created by clicking on the relevant tab on the lower half the screen. See [Section 1](#) of this guide on how to link between entities.

Best Practice Tip: Remember to search for existing records in AIMS before creating new entries. If you start typing in the fields in the lower half of the screen you will create new records. Use the Select button to search first. If the record you are looking for doesn't exist, create it in the entity FIRST and then link it to your investigation. Smart tips for searching including using wild card tools by enclosing search terms in asterisks (*) or percentage (%) signs.

Use the button to link existing Persons, Sites or Organisations that are relevant to your Investigation.

If the outcome is *Presentation Requested*, the Information entity must be linked to the Presentation.

Person

If the source has made a request to remain anonymous, DO NOT create a linked person record. Link the complainant and relevant persons such as potential suspects or witnesses to the record. You must specify the link type after selecting the person. See [Section 8](#) for more information.

Organisations

Link any relevant organisations as either a complainant or potential suspect or witness to the record. You must specify the link type after selecting the organisation. See [Section 7](#) for more information.

Running Sheet

This tab lists all the linked File Note entity records you have created. File notes can be created by directly entering information into the lower half of the screen. This is where you record all general file notes, correspondence, phone calls, documents etc. relevant to the investigation. See [Section 4](#) for more information.

Investigation

This link will automatically be created if it is decided that a complaint or information should be upgraded. **Do not** create links to investigations through this tab. See [Section 3](#) for more information.

Sites

Link the relevant site or sites using the select feature. See [Section 9](#) for more information.

Compliance Visit

This link will be completed when you create a Compliance Visit record. **Do not** create links to the Compliance Visit entity through this tab.

Stakeholder Engagement Link any Stakeholder Engagement relevant to the record using the Select feature. All Stakeholder Engagement must be created through the Presentation entity. See [Section 12](#) for more information.

Projects This link will be completed when you create a Project record. **Do not** create links to Project records through this tab. See [Section 17](#) for more information.

Code Breach Link any code breach relevant to the record.

Creating a s512 Permit Application

This process defines the business rules and AIMS requirements for recording assessments of s.512 permit applications.

The legal officer creates a new Information record in AIMS to record s.512 permit applications

The legal officer links the organisation and person applying for the permit and the email from the FWC with a copy of the application

The legal officer selects an Regional/State Manager Ops (NT, TAS and WA only) in the “resolved by” field so the s.512 application appears on their browser.

The legal officer emails the Regional/State Manager Ops with the ENQ number to ensure they are aware of it. In this email the legal officer will note if the person applying for the permit is a current respondent in any ABCC matters or is a past respondent with a note on the outcome of those past proceedings/applications or submissions.

The Regional/State Manager Ops & Regional Manager Legal commence discussions to determine if submissions are warranted. The Regional Manager Legal provides advice to the Operations State Manager/Assistant Director on whether to proceed to submissions or not.

The Regional Manager Legal will provide copies of all correspondence, including the advice, to the legal officer who created the permit application record.

The legal office will link all correspondence via file notes or the document links in the information record in AIMS.

The legal officer will update the outcome of the information based on the advice received from the Regional Manager Legal. The legal officer will email the Regional Manager Legal when this has been completed.

The Regional Manager Legal undertakes the quality review of the information record, ensuring the information recorded is a true reflection of the discussions and outcome agreed with the Regional/State Manager Ops.

Section 3 - Investigations

An Investigation is created when it is determined that an allegation, complaint or incident is within the agency's jurisdiction and involves the possible breach of a workplace law or instrument.

Investigation definitions

Where a number of related incidents occur, whether they are recorded as one investigation in AIMS or a number of separate investigations depends on the particular circumstances of the incidents being investigated and the nature of the relationship between them. The following factors might be considered:

- the union and union organisers involved and the commonality between them;
- the site and head contractor location and identity;
- date/s when the issue occurred;
- the commonality of the circumstances leading to the industrial relations issue; and
- whether it is apparent that there is an organised course of conduct tying these factors together.

It is difficult to clearly state a rule that would apply in all circumstances. Investigators need to consider the individual circumstances that exist and apply a degree of common sense. Where Investigators are unsure as to how such related matters should be recorded they should seek the guidance of their Team Leader.

For example – where a number of subcontractors on one site are involved as the victims of suspected unlawful industrial action, then only one UIA investigation should be recorded in AIMS. In this circumstance there is likely to be a single underlying cause of the UIA and one course of conduct by the union officials involved. On the contrary, when an individual union organiser breaches the right of entry provisions at a number of non-related sites, then the alleged breaches at each of the sites should be recorded as separate Investigations in AIMS. In this case the causes of each incident are likely to be different and the circumstances and witnesses will be different.

Where it is apparent that one court case only is likely to result from an investigation or a series of related inquiries, then only one investigation should be created.

It is difficult to clearly state a rule that would apply in all circumstances. Inspectors need to consider the individual circumstances that exist and apply a degree of common sense. Where inspectors are unsure as to how such related matters should be recorded they should seek the guidance of their Regional/State Managers.

If multiple Investigations have been created and it is later determined that only one Investigation is required, Planning & Performance can merge two or more Investigations into a single entity while preserving all links.

Initiating investigations

Investigations are automatically generated from the Information entity. When an Team Leader agrees with an investigator that the information entity record should be upgraded to an investigation, the Team Leader will complete the Quality Review for the record and tick the "create investigation?" box under the Quality Review tab. AIMS will automatically create the investigation record.

When the new investigation record has been created by AIMS, the system will complete the linking process automatically. As well as linking the complaint to the investigation it includes any people, organisations, sites and running sheet entries linked to the originating complaint. This process should happen within 30 minutes of the Assistant Director completing the Quality Review and ticking the "create investigation?" box.

For a linked complaint the *Outcome* must be "Upgrade to Investigation" and the *Status* must be "Upgraded". An Action to 'Initiate Investigation' must be linked to the Investigation. See [Initiate Investigation](#) in Section 5 of this User Guide for further information about creating and actioning a request to initiate an investigation. The Record of Decision to Investigate must be attached to this Action entity.

Creating an investigation entity

The automatic creation of an Investigation from a Complaint will import key links and fields from the original Complaint to minimise duplication of effort. Investigators should check each imported field and update if necessary.

All the fields that are **blue** are mandatory fields and must be filled in:

Details tab

Investigation Name The Investigation Name should include the main allegation, date of incident/s, the site, the person or organisation being investigated and the complainant's name.

Use the following naming convention and order:

Breach Acronym – Incident Date (DD/MM/YY) – Site – Suspect – Complainant.

If the alleged conduct occurs over a long period time or on multiple dates, or on various sites, use the following name convention and order:

Breach Acronym – Incident Date (DD/MM/YY) or First Incident Date (DD/MM/YY) Multiple Dates – Site or Various Sites – Suspect – Complainant.

For example:

[REDACTED]

Breach Acronyms:

ROE – Right of Entry

UIA – Unlawful Industrial Action (also used for Industrial Action)

COE – Coercion

FOA – Freedom of Association

SP – Strike Pay

DIS – Discrimination

CODE – Building Code

Sham – Sham Contracting

P&E – Pay & Entitlements

Status This will automatically populate when you create an investigation, it can be changed when changing the status of your investigation to Closed.

Main Allegation Select the main issue identified from the allegations or the most serious breach being investigated. For example: if you are investigating a Freedom of Association matter with Right of Entry breaches, the main allegation would be "Freedom of Association".

Investigation Subject Select the drop down code list the group classification that the suspects fall into. See below:

Respondent type	When to use
Employer	The suspect is a person or business employing one or more people as per the definition of 'building employer' in the relevant legislation.
Employee	The suspect is a person engaged to perform work by another person or business as per the definition of 'building employee' in relevant legislation.

Union / Union Official	Unions and/or; Union officials who are acting in their capacity as a union organiser or delegate.
Union / Union Official and Employer	Unions and/or; Union officials who are acting in their capacity as a union organiser or delegate; and Employers
Union / Union Official and Employee	Unions and/or; Union officials who are acting in their capacity as a union organiser or delegate; and Employees
Union / Union Official and Employer and Employee	Unions and/or; Union officials who are acting in their capacity as a union organiser or delegate; and Employers ; and Employees
Employer and Employee	Employers ; and Employees (as per the definitions of 'building employer' and 'building employee' in the relevant legislation.)
Other/ Government	The suspect is a government department, agency or person employed by a government department or agency to act in their capacity as a government employee or The suspect does not fit into any of the preceding classification types. Please consult your team leader if you think this classification should be selected.

Allegation The Allegation field should succinctly summarise the case, not simply list the breaches under investigation. Relevant dates and the names and roles of the complainant and suspect/s should be included.

Possible misuse of safety to access site?

Investigators are to discuss spurious safety issues with their Team Leader. Only Team Leaders and P&P can tick the "Possible misuse of safety by union to gain right of entry?" box.

Best Practice Tip: The Action Taken and Anticipated Action fields are important reflections on what you have done to progress the investigation to date. They are used by multiple business groups to provide information on current status of investigation. They also appear on regular reports to the Executive including Director.

Anticipated Action The Anticipated Action field should reflect the action planned for the next month. It should be updated at least weekly, or when new action is planned. Details should be clear and concise. Use a narrative style when describing your course of action.

Do not use dot or bullet points. **Do not** use line or paragraph breaks. Items should be removed from the Anticipated Action field once that action has been completed. Completed actions should be moved into the Action Taken field.

Action Taken The Action Taken field should reflect what has happened with the case in the past month. It should be updated at least weekly, or when new action has been taken. Details should be clear and concise. Use a narrative style when describing your course of action.

Do not use dot or bullet points. **Do not** use line or paragraph breaks. Action taken items should be removed after four weeks. All action taken should be recorded in the Running Sheet as an appropriate entry type; e.g. File Note, General Correspondence, Witness Statement etc.

Case Officer 1 Select your name from the drop down code list. Type the first letter of your last name as a shortcut to that section of the alphabet in the drop down list.

Case Officer 2 Select the name of the second investigator assigned to the investigation from the drop down code list.

Team Leader Select the name of your team leader from the drop down code list.

Team Select the name of your team from the drop down code list.

State/Territory Select the state the investigation relates to from the drop down list.

Lawyer Select the name of the lawyer from the drop down code list if they have provided preliminary advice on the investigation.

Legal Guidance Record the preliminary advice obtained from the lawyer. This should only be preliminary and **does not replace the formal referral to legal for any briefs of evidence**. This field records any advice sought to provide clarity and/or direction during the course of the investigation. Remember to record requests for legal advice and the advice received in the Running Sheet. If a brief of evidence has been referred to Legal for consideration this should be recorded as an Action request in the Action tab. For further information on referring briefs to legal see [Section 6](#).

Agency Name This field defaults to ABCC. It is used to differentiate between old Building Industry Taskforce, ABCC 2005- 2011, FWBC and ABCC matters in the system. You do not need to change this field.

Administration Tab

File Number Enter the TRIM file number in the correct format, for example *ABCC14/001*.

Investigation Plan Create the link to the DC version of your investigation plan. Multiple documents can be linked by clicking on the plus button to the right of the field.

Evidence Matrix Create the link to the DC version of your evidence matrix. Multiple documents can be linked by clicking on the plus button to the right of the field.

Incident Date Enter the date/s of the alleged incident/s. If the alleged conduct occurs over a long period of time the first date should be entered in the following format: DD/MM/YY - multiple dates*. Enter the final date of conduct if it is known. Once the final date is known, the incident dates should be updated. *Only use the term 'multiple dates' where there are multiple dates within multiple periods. In the absence of a known date/s it is okay to record a month and year MMMYY or a period of time such as BTW MAR15 & APR15.

Complaint Date Enter the date of the earliest linked upgraded complaint or information.

Compulsory Examination Powers Exercised During an investigation if the compulsory powers are exercised, the investigator will need to tick this box

Days since complaint The system automatically generates this field. It calculates the number of days between the current date and the complaint date and can be used as a tool to monitor the number of days as this is a requirement for Portfolio Budget Statement KPI 2.

Closed no further action Select the date of the action to close the investigation, once this has been approved by the team leader.

Reason finalised Select from the code list drop down the overarching reason the investigation has been finalised. Make sure the individual breaches selected have also been update from suspected to finalised.

Finalisation Comments Record the reasons for finalisation in a narrative style.

Breaches Tabs

There are five tabs for breaches. The first being the Building and Construction Industry (Improving Productivity) Act, the second is the Fair Work Act and the third relates to other breaches that may be found during the course of the investigation. There is also Wage and Entitlements Breaches and Building Construction Act.

All investigations **must** have at least one suspected breach when the initiate investigation action is completed. As the investigation progresses additional breaches can be selected as suspected. During the course of the investigation, if a particular line of enquiry has been finalised, update the breach with the relevant outcome from the drop down code list. **Do not** change the drop down from Suspected to blank. All suspected breaches should be updated when the investigation is closed to reflect the correct outcome of each one individually. Breaches being investigated are reported on a regular basis so it is important that they are kept up to date.

For information on when to select particular breaches refer to the Operations Manual on the intranet.

Investigation Linked Entities

There are at least five key records that **must** be linked to every investigation:

1. The upgraded complaint or information in the Information entity;
2. At least one suspect as either a person or organisation;
3. A complainant as either a person or organisation;
4. One approved action to Initiate Investigation; and
5. A site

Links can be created by clicking on the relevant tab on the lower half the screen. See [Section 1](#) of this guide on how to link between entities.

Best Practice Tip: Remember to search for existing records in AIMS before creating new entries. If you start typing in the fields in the lower half of the screen you will create new records. Use the Select button to search first. If the record you are looking for doesn't exist, create it in the entity FIRST and then link it to your investigation. Smart tips for searching including using wild card tools by enclosing search terms in asterisks (*) or percentage (%) signs.

Use the button to link existing Persons, Sites or Organisations that are relevant to your Investigation.

Information	There should be one complaint or information record that the system has linked automatically to create this investigation record. Manually link any other relevant information entity records to this investigation. See Section 2 for more information.
Running Sheet	This tab lists all the linked File Note entity records you have created. File notes can be created by directly entering information into the lower half of the screen. This is where you record all general file notes, correspondence, phone calls, documents etc. relevant to the investigation. See Section 4 for more information.
Onsite Activity	When updating your investigation record after taking statement, serving a notice or collecting documents ON SITE , you complete an on-site activity record via the on-site activity tab. See Section 5
Actions	Create actions to mark milestones and approvals during an Investigation. All investigations must have an Initiate Investigation and Close Investigation action linked. If an investigation is referred to Legal it must also have a Refer Brief to Legal and Return Brief to Ops action linked. See Section 6 for more information.
Sites	Link the relevant site or sites using the select feature. See Section 9 for more information.
People	Link all suspects, complainants and witnesses to the investigation. You must specify the link type after selecting the person. If you have a very long list of people to link to the investigation enter the information into the Link Person to Investigation template and send this to Planning & Performance who will complete a batch import. This will save you time and ensure comprehensive and accurate linking. See Section 8 for more information.
Organisations	Link all suspects, complainants and witnesses to the investigation. You must specify the link type after selecting the organisation. If you have a very long list of organisations to link to the investigation contact the Planning & Performance team to organise a batch import. This will save you time and ensure comprehensive and accurate linking. See Section 7 for more information.
Stakeholder Engagment	Link any Stakeholder Engagment relevant to the investigation using the Select feature. All Stakeholder Engagment must be created through the Stakeholder Engagment entity. See Section 12 for more information.
Compliance Visit	Link to any compliance visit activities (site visits, business visits, code inspections or code audits). This will show any compliance visit activities where an investigation was an outcome. See Section 10 for more information.

Close an Investigation

When a decision has been made to close an investigation the following procedures must be completed in AIMS. Investigators will also need to complete any procedural requirements as specified in the Ops Manual.

Best Practice Tip: Investigations referred to Legal can only be closed when a "Return Brief to Ops" action has been approved. There must be at least one suspect and one complainant linked to the investigation.

On the investigation record update:

Details Tab

- Status** Change to 'Closed investigation' if the investigation has no litigation outcome. Change to "Closed – Legal" if there has been a court outcome.
- Action Taken** Update text to reflect the closed status of the investigation.
- Anticipated Action** Remove all text and leave blank.

Administration Tab

- Closed No Further Action Date** Tick the date box
- Reasons Finalised** Select the overarching reason the investigation has been finalised from the drop down code list. If the investigation has a court outcome, select the relevant overarching court outcome. Consult the Legal group for guidance if you are unsure.
- Finalisation Comments** Record the reasons for your decision to close the investigation as a brief summary of the final CDR.

Breaches Tabs

Ensure each breach that has been selected as "Suspected" has been updated with the reason finalised. For investigations that **have not progressed** to litigation select from the group prefixed 'Finalised...'. Each breach must be updated individually. For investigations that **have progressed** to litigation select from the group prefixed "Court...". This information will be available in the judgment handed down in the court.

Linked Entities

- Running Sheet** Ensure that all entries are updated in the running sheet as this is printed off and placed on the TRIM file.
- Actions** Ensure there is an approved "Initiate Investigation" action linked as well as create the "Close Investigation" action when you have updated all the information and links to the investigation.
- People** Ensure links to all complainants, suspects and witnesses are correct and the link type is reflective of the final relationship the person has to the investigation.
- Organisations** Ensure links to all complainants, suspects and witnesses are correct and the link type is reflective of the final relationship the person has to the investigation.

Review the Information, Compliance Visit, Site and Stakeholder Engagement links and ensure these are all up to date before closing the investigation

Section 4 - File Notes

File Notes allow for activity to be recorded against each entity within AIMS. File notes are used to record specific and detailed information about decisions, correspondence, communication and events. Documents saved into DC or a shared drive can be linked to file notes.

File notes are in a parent/child grouping which is similar to what you use in the Information entity for Source, method and topic. This allows us to filter the available options and makes it quicker for you to find the file note type that you need.

There are four groups within the business group drop down list – **Generic, Ops, Code and Legal**. Your selection for this field will filter the list available in the Entry Type field.

Additional File Note Linking

By entering in the relevant record ID's on the file note, we will be able to build a more focused understanding of what is occurring in the industry from a site and contractor perspective.

How it works

When you enter the record ID in the relevant field on a file note, P&P have set up a once a day scheduled export to complete the linking process for you. This reduces the need for you to duplicate information or create multiple links which can be time consuming.

It is important that the following contraventions are followed to ensure correct linking between files notes and people, organisations, sites, compliance visits or investigations. The easiest method is to copy and paste from existing links within your investigation or Code audit.

If you prefer to type the ID's in manually you must NOT use spaces or dashes. The alphanumerical code must be entered as a single string of characters i.e.

- BUI12345, PER22222, INV1234, COM17000, ORG12234

For more specific information on recording activity base costing within a file note please see [AIMS tip](#)

Best Practice Tip: Creating File Notes should only be completed as a link to another entity record, not via the File Note entity icon in the entity tree.

All the fields that are **blue** are mandatory fields and must be filled in:

Details tab

Business Group	Choose the business group you are wanting to put the file notes under e.g. Legal, Ops etc
Entry Type	Select from the code list drop down the type of entry. Most of the entry types are self-explanatory e.g. Investigation Plan, Evidence Matrix, Case Decision Records etc.
Entry Sub- Type	This is used by Building code group ONLY
Date	Check the box to select the date you want to show as the relevant file note date.
Officer	Select your name from the code list drop down.
Anticipated Action	Select <i>Pending</i> if the file note action is scheduled for a future date, or <i>Completed</i> if the action has already occurred.
Details	Record a description of what the file note relates to. This can be a summary of the contents of the document or a record of a decision making process. This field can also be used to record phone calls where voicemail messages have been left.
Duration: Hours	Record here the time it takes to undertake a task associated with an activity you are working on.
Duration : Mintues	Record here the time in mintues to undertake a task assicate with an acitivity (please note for activities ending in 0-4 mintues round down; 5-9 mintues round up)

Linked Investigation ID Copy and paste the INV number in this field

Linked Organisation ID Copy and paste the ORG from the existing link

Linked Person ID Copy and paste the PER from the existing link

Linked Compliance Visit ID
Copy and paste from the existing link

Document tab

Document Title Enter the title of the saved document

Link to Document Create the link to the saved document in DC or local drive. Ensure the DC link ends with the DOCID number.

Document Summary Enter a summary of the document that is linked.

Section 5 – Onsite Activity

Site visits undertaken during Investigations or Code Audits will be recorded as an “On Site Activity” through the primary activity record.

Site Visit definition includes any activities that involve visits to a building and construction site.

- Serving a notice
- Taking a statement
- Collection of documents
- Code Audit follow up outside an actual audit
- Sub-contractor interviews

Investigation

When updating your investigation record after taking a statement, serving a notice, collection documents or following up lines of inquiry ON SITE, you complete and onsite activity record via the onsite activity tab.

You need to create the on-site activity **FIRST** to obtain the record ID. You will need this to copy into the file note.

All the fields that are **blue** are mandatory fields and must be filled in:

On-Site Activity Details

Compliance Visit ID	This will be pre populated you will need to copy this into your file note.
Site Name	Copy and Paste the Site name from the linked Site.
Head Contractor	Copy and Paste the Head Contractor name from the linked Organisation.
Type of Visit	Choose the type of visit from the drop down.
Date on Site	This is the date you are on site, tick the box and select the date.
Case Officer 1	Select your name from the drop down code list. Type the first letter of your last name as a shortcut to that section of the alphabet in the drop down list.
Case Officer 2	Select the name of the second investigator assigned to the investigation from the drop down code list.
Team Leader	Select the name of your team leader from the drop down code list.
State/Territory	Select the state the investigation relates to from the drop down list.

Code Audit

When updating your code audit record after taking sub contractor interviews or following up a code audit **ON SITE**, you complete an on-site activity record via the on-site activity tab.

On-Site Activity Details

Compliance Visit ID	This will be pre populated you will need to copy this into your file note.
Site Name	Copy and Paste the Site name from the linked Site.
Head Contractor	Copy and Paste the Head Contractor name from the linked Organisation.
Type of Visit	Choose the type of visit from the drop down.
Date on Site	This is the date you are on site, tick the box and select the date.
Case Officer 1	Select your name from the drop down code list. Type the first letter of your last name as a shortcut to that section of the alphabet in the drop down list.
Case Officer 2	Select the name of the second investigator assigned to the investigation from the drop down code list.
Team Leader	Select the name of your team leader from the drop down code list.
State/Territory	Select the state the investigation relates to from the drop down list.

Section 6 - Actions

Actions mark milestones in Investigations, Legal matters and Code and act as a record of when decisions were made and by whom. The following table shows each action type along with why the action is created, who requests the action, and who approves the action. Follow the hyperlinks to see a detailed explanation of how to create and approve each action type.

Type	Why	Requesting Officer	Approving Officer
Initiate Investigation	Investigators create this action when commencing an investigation. Team Leaders approve these actions.	Investigator	Team Leader
Refer Brief to Internal Legal	Used when a Brief of Evidence has been reviewed and approved for referral to Internal Legal. This action must be completed for any brief of evidence sent to internal Legal for advice. This action can also be used from any briefs of evidence compiled during a Code Audit.	State Manager Ops	Regional Manager Legal
Return Brief to Ops for Further Investigation	Only used once during the life cycle of the investigation when the lawyer cannot progress the brief any further based on the information currently to hand	Regional Manager Legal	State/Regional Manager Ops
Return Brief to Legal following further investigation	Only used once during the life cycle of the investigation when investigator has provided further evidence to support the initial brief	State/Regional Manager Ops	Regional Manager Legal
Initiate Litigation	Used when the Chief Counsel has approved commencing litigation	Lawyer	Regional Manager Legal
Return Brief to Ops	Only used when the legal stages have concluded (either internally after assessment or following the conclusion of the litigation process) and the brief is to be returned to Operations for closure	Lawyer	State/Regional Manager Ops
Close Investigation	Investigations can be closed without being referred to Legal however investigations that have been referred to legal can only be closed when a return brief to Ops action has been approved by a State Manager Operations.	Investigator	Team Leader
Close Legal Matter	Used when a brief has been assessed as progressing to litigation and is finalised with internal legal	Lawyer	Regional Manager Legal
Close Litigation	Used when the external litigation process has concluded and a decision has been handed down	Lawyer	Regional Manager Legal
Refer Audit to BCG Legal	Used when an Audit has been reviewed by Code Ops Manager to send to BCG Lawyer.	Code Operations Manager	Manager Legal – Building Code
Refer Audit from BCG to Contractor Communications	Used when the BCG Lawyer has reviewed the audit report and a decision has been made that rectification is an appropriate outcome.	BCG Lawyer	Code Operations Manager
Return Audit to Ops	Used when the Audit is completed (post contractor communications) Code Ops Manager will send back to State Manager for finalisation.	Code Operations Manager	State Manager

Initiate Investigation

Investigators create this action when commencing an investigation. Team Leaders approve these actions. Every investigation must have an action to initiate that has been approved. If the investigation doesn't have an initiate investigation action it will not be counted as an investigation.

PERSON RESPONSIBLE	FIELD	INFORMATION TO RECORD
Investigator	ACTION DETAILS TAB	
	Action Requested	Initiate Investigation
	Requested by	Select your name from the drop down list
	Date Requested	Tick the date box for the current date
	Due Date	Select a date five days in the future
	Details	Record the specifics of the request along with any information that is important to communicate to the approver so they can make an informed decision.
	Team Leader	Select your team leader from the drop down code list
	DOCUMENTS TAB	
	Document Title	Enter in the name of any documents you wish to attach.
	Description	Enter a short description about what the document contains
Link to Document	Create the link to the saved document in DC or a shared drive	
Team Leader	ACTION DETAILS TAB	
	Date Actioned	Tick the date box and ensure it reflects the date of your decision to approve or deny the action.
	Status	Select from the drop down code list "approved" or "denied"

Refer Brief to Internal Legal

This action is created by the State Manager Operations when a Brief of Evidence has been reviewed and approved for referral to Internal Legal. This action must be completed for any brief of evidence sent to internal Legal for advice.

Best Practice Tip: There must be a formal brief of evidence for this action to be used. This action should **not** be used when requesting preliminary advice from Legal during the course of an investigation.

Legal have seven days to assess the brief of evidence before making a decision on whether to approve or deny a referral from Ops.

PERSON RESPONSIBLE	FIELD	INFORMATION TO RECORD
State/Regional Manager Ops	ACTION DETAILS TAB	
	Action Requested	Refer Brief to Internal Legal
	Requested by	Select your name from the drop down list
	Date Requested	Tick the date box for the current date
	Due Date	Select a date seven days in the future
	Details	Record the specifics of the request along with any information that is important to communicate to the approver so they can make an informed decision.
	Team Leader	Select the State Manager Legal from the drop down code list
	DOCUMENTS TAB	
	Document Title	Enter in the name of the Brief of Evidence
	Description	Enter a short description about what the document contains
	Link to Document	Create the link to the saved brief of evidence document in DC or a shared drive
	Regional Manager Legal	ACTION DETAILS TAB
Date Actioned		Tick the date box and ensure it reflects the date of your decision to approve or deny the action.
Status		Select from the drop down code list "approved" or "denied"
INVESTIGATION TAB - Details		
Status		Change the status from "Investigation" to "Legal"
Lawyer		Select the lawyer you are allocating the brief to from the drop down code list
Create Legal Matter?	Tick the box	

Return Brief to Ops for Further Investigation

This action is created by the State Manager Legal and approved by the State Manager Operations within seven days.

Best Practice Tip: This action can only be used **once** during the life cycle of the investigation and must only be used when the lawyer cannot progress the brief any further based on the information currently to hand.

It is the responsibility of the State Manager Operations to link this action to the investigation and change the status from "Legal" to "Investigation".

PERSON RESPONSIBLE	FIELD	INFORMATION TO RECORD
Regional Manager Legal	ACTION DETAILS TAB	
	Action Requested	Return Brief to Ops for Further Investigation
	Requested by	Select your name from the drop down list
	Date Requested	Tick the date box for the current date
	Due Date	Select a date seven days in the future
	Details	Record the specifics of the request along with any information that is important to communicate to the approver so they can make an informed decision.
	Team Leader	Select the State Manager Operations from the drop down code list
	DOCUMENTS TAB	
	Document Title	Enter in the name of the advice
	Description	Enter a short description about what the document contains
Link to Document	Create the link to the saved advice in DC or a shared drive	
State/Regional Manager Ops	ACTION DETAILS TAB	
	Date Actioned	Tick the date box and ensure it reflects the date of your decision to approve or deny the action.
	Status	Select from the drop down code list "approved" or "denied"

Return Brief to Legal Following Further Investigation

This action is created by the State Manager Operations and approved by the State Manager Legal within seven days.

Best Practice Tip: This action can only be used **once** during the life cycle of the investigation and must only be used when investigator has provided further evidence to support the initial brief.

It is the responsibility of the State Manager Operations to link this action to the investigation and change the status from "Investigation" to "Legal". The State Manager Legal must link this action to the relevant Legal Matter record.

PERSON RESPONSIBLE	FIELD	INFORMATION TO RECORD
State/Regional Manager Ops	ACTION DETAILS TAB	
	Action Requested	Return Brief to Legal following Further Investigation
	Requested by	Select your name from the drop down list
	Date Requested	Tick the date box for the current date
	Due Date	Select a date seven days in the future
	Details	Record the specifics of the request along with any information that is important to communicate to the approver so they can make an informed decision.
	Team Leader	Select the State Manager Legal from the drop down code list
	DOCUMENTS TAB	
	Document Title	Enter in the name of the supporting evidence document
	Description	Enter a short description about what the document contains
	Link to Document	Create the link to the saved document in DC or a shared drive
Regional Manager Legal	ACTION DETAILS TAB	
	Date Actioned	Tick the date box and ensure it reflects the date of your decision to approve or deny the action.
	Status	Select from the drop down code list "approved" or "denied"

Return Brief to Ops

This action is used when the legal stage of an investigation has concluded (either internally after assessment or following the conclusion of the litigation process) and the brief is to be returned to Operations for finalisation and closure of the file.

Lawyers create this action and they are approved by the relevant State Manager Operations.

The State Manager Operations is responsible for communicating to the relevant investigator that this action has been approved and the investigator can commence closing the file. See [Section 3](#) – Investigations on how to close an investigation for more information.

The Lawyer is responsible for ensuring the Legal Matter records are closed correctly. See [Section 13](#) for more information.

PERSON RESPONSIBLE	FIELD	INFORMATION TO RECORD
Lawyer	ACTION DETAILS TAB	
	Action Requested	Return Brief to Ops
	Requested by	Select your name from the drop down list
	Date Requested	Tick the date box for the current date
	Due Date	Select a date seven days in the future
	Details	Record the specifics of the request along with any information that is important to communicate to the approver so they can make an informed decision.
	Team Leader	Select the State Manager Operations from the drop down code list
	DOCUMENTS TAB	
	Document Title	Enter in the name of the advice or judgment
	Description	Enter a short description about what the document contains
	Link to Document	Create the link to the saved advice or judgement in DC or a shared drive
State/Regional Manager Ops	ACTION DETAILS TAB	
	Date Actioned	Tick the date box and ensure it reflects the date of your decision to approve or deny the action.
	Status	Select from the drop down code list "approved" or "denied"

Close Investigation

This action is created by the Investigator and approved by their Team Leader.

Best Practice Tip: Investigations can be closed without being referred to Legal however investigations that have been referred to legal can only be closed when a return brief to Ops action has been approved by a State Manager Operations.

Investigators must ensure they have completed all the steps in [Section 3](#) – Investigations on how to close an investigation record before requesting a close investigation action. Team Leaders should ensure that all steps have been taken to close the investigation record before approving the close investigation action.

PERSON RESPONSIBLE	FIELD	INFORMATION TO RECORD
Investigator	ACTION DETAILS TAB	
	Action Requested	Close Investigation
	Requested by	Select your name from the drop down list
	Date Requested	Tick the date box for the current date
	Due Date	Select a date five days in the future
	Details	Record the specifics of the request along with any information that is important to communicate to the approver so they can make an informed decision.
	Team Leader	Select your team leader from the drop down code list
	DOCUMENTS TAB	
	Document Title	Enter in the name of the investigation closure checklist and the case decision record
	Description	Enter a short description about what the document contains
Link to Document	Create the links to the documents in DC or a shared drive	
Team Leader	ACTION DETAILS TAB	
	Date Actioned	Tick the date box and ensure it reflects the date of your decision to approve or deny the action.
	Status	Select from the drop down code list "approved" or "denied"

Initiate Litigation

The lawyer uses this action when the Chief Counsel has approved a request to commence litigation.

Best Practice Tip: Lawyers should attach the litigation advisory committee minute they have prepared to the action along with the approval received from the Chief Counsel and/or Director to commence litigation

PERSON RESPONSIBLE	FIELD	INFORMATION TO RECORD
Lawyer	ACTION DETAILS TAB	
	Action Requested	Initiate Litigation
	Requested by	Select your name from the drop down list
	Date Requested	Tick the date box for the current date
	Due Date	Select a date five days in the future
	Details	Record the specifics of the request along with any information that is important to communicate to the approver so they can make an informed decision.
	Team Leader	Select your State Manager from the drop down code list
	DOCUMENTS TAB	
	Document Title	Enter in the name of the LAC Minute
	Description	Enter a short description about what the document contains
	Link to Document	Create the link to the approved LAC Minute in DC or a shared drive
Regional Manager Legal	ACTION DETAILS TAB	
	Date Actioned	Tick the date box and ensure it reflects the date of your decision to approve or deny the action.
	Status	Select from the drop down code list "approved" or "denied"

Close Legal Matter

The lawyer uses this action to close a legal matter when the assessment has been made that no litigation will be commenced.

Best Practice Tip: Lawyers should attach their final advice on the brief of evidence to the action as a record of the decision.

PERSON RESPONSIBLE	FIELD	INFORMATION TO RECORD
Lawyer	ACTION DETAILS TAB	
	Action Requested	Close legal matter
	Requested by	Select your name from the drop down list
	Date Requested	Tick the date box for the current date
	Due Date	Select a date five days in the future
	Details	Record the specifics of the request along with any information that is important to communicate to the approver so they can make an informed decision.
	Team Leader	Select your State Manager from the drop down code list
	DOCUMENTS TAB	
	Document Title	Enter in the name of the advice
	Description	Enter a short description about what the document contains
	Link to Document	Create the link to the advice in DC or a shared drive
Regional Manager Legal	ACTION DETAILS TAB	
	Date Actioned	Tick the date box and ensure it reflects the date of your decision to approve or deny the action.
	Status	Select from the drop down code list "approved" or "denied"

Close Litigation

The lawyer uses this action to close a legal matter when it has progressed through the litigation stage and a final decision has been handed down by the court or tribunal.

Best Practice Tip: Lawyers should attach the judgment and any relevant decisions to the action. This action should only be used once the appeal period has expired.

PERSON RESPONSIBLE	FIELD	INFORMATION TO RECORD
Lawyer	ACTION DETAILS TAB	
	Action Requested	Close litigation
	Requested by	Select your name from the drop down list
	Date Requested	Tick the date box for the current date
	Due Date	Select a date five days in the future
	Details	Record the specifics of the request along with any information that is important to communicate to the approver so they can make an informed decision.
	Team Leader	Select your State Manager from the drop down code list
	DOCUMENTS TAB	
	Document Title	Enter in the name of the judgment and/or any relevant decisions
	Description	Enter a short description about what the document contains
Link to Document	Create the link to the judgment and or decisions in DC or a shared drive	
Regional Manager Legal	ACTION DETAILS TAB	
	Date Actioned	Tick the date box and ensure it reflects the date of your decision to approve or deny the action.
	Status	Select from the drop down code list "approved" or "denied"

Refer Audit to Building Code Group Legal

This action is created by the **Code Operations Manager** when an Audit has been reviewed and approved for referral to BCG Legal. Code Operations Manager will use this action once they are satisfied the report is sufficient and requires legal input. This action must be completed for any audit going to BCG.

Best Practice Tip: There must be an Audit Report for this action to be used.

BCG has 7 days to assess the Audit report before making a decision on whether to approve or deny a referral from Ops.

PERSON RESPONSIBLE	FIELD	INFORMATION TO RECORD
Code Operations Manager	ACTION DETAILS TAB	
	Action Requested	Refer Audit to BCG
	Requested by	Select your name from the drop down list
	Date Requested	Tick the date box for the current date
	Due Date	Select a date 7 days in the future
	Details	Record the specifics of the request along with any information that is important to communicate to the approver so they can make an informed decision.
	Team Leader	Select the Manager Legal – Building Code from the drop down code list
	DOCUMENTS TAB	
	Document Title	Enter in the name of the Audit Report
	Description	Enter a short description about what the document contains
	Link to Document	Create the link to the saved Audit Report in DC or a shared drive
Manager Legal – Building Code	ACTION DETAILS TAB	
	Date Actioned	Tick the date box and ensure it reflects the date of your decision to approve or deny the action.
	Status	Select from the drop down code list “approved” or “denied”

Refer Audit from BCG to Contractor Communications.

This action is created by the **BCG Lawyer** when an Audit Report has been reviewed, breaches identified and rectification is sought from the Contractor. BCG will use this action a decision has been made that rectification is an appropriate outcome as opposed to the recommendation of sanction.

PERSON RESPONSIBLE	FIELD	INFORMATION TO RECORD
BCG Lawyer	ACTION DETAILS TAB	
	Action Requested	Refer Audit to Contractor communication
	Requested by	Select your name from the drop down list
	Date Requested	Tick the date box for the current date
	Due Date	Select a date 3 days in the future
	Details	Record the specifics of the request along with any information that is important to communicate to the approver so they can make an informed decision.
	Team Leader	Select the Code Operations Manager from the drop down code list
	DOCUMENTS TAB -	
	Document Title	Enter in the name of the Audit Outcome Letter
	Description	Enter a short description about what the document contains
	Link to Document	Create the link to the saved Audit Outcome Letter in DC or a shared drive
Code Operations Manager	ACTION DETAILS TAB	
	Date Actioned	Tick the date box and ensure it reflects the date of your decision to approve or deny the action.
	Status	Select from the drop down code list “approved” or “denied”

Return Audit to Ops

This action is created by the **Code Operations Manager** when the BCG stage of an Audit has concluded (post contractor communication) and the audit is to be returned to Operations for finalisation and closure of the file.

Code Operations Manager creates this action and they are approved by the relevant Team Leader.

PERSON RESPONSIBLE	FIELD	INFORMATION TO RECORD
Code Operations Manager	ACTION DETAILS TAB	
	Action Requested	Return Audit to Ops
	Requested by	Select your name from the drop down list
	Date Requested	Tick the date box for the current date
	Due Date	Select a date three days in the future
	Details	Record the specifics of the request along with any information that is important to communicate to the approver so they can make an informed decision.
	Team Leader	Select the Team Leader from the drop down code list
	DOCUMENTS TAB	
	Document Title	Enter in the name of the Final letter to Contractor
	Description	Enter a short description about what the document contains
Link to Document	Create the link to the saved letter in DC or a shared drive	
State Manager	ACTION DETAILS TAB	
	Date Actioned	Tick the date box and ensure it reflects the date of your decision to approve or deny the action.
	Status	Select from the drop down code list "approved" or "denied"

Section 7 – Organisations

Organisations that we have contact with can be classified by type as follows:

Type	Description
Head Contractor	Main contractor engaged to be responsible for the majority of work on a building site
Sub-Contractor	a firm or person that carries out work for a company as part of a larger project
Federal Government Department	A Commonwealth government department or agency
State Government Department	A state government department
Client Developer	The organisation funding the project
Consortium	A association of companies formed for one particular purpose
Labour Hire Company	A company that outsources skilled and unskilled workers hired for short- or long-term positions.
Employer	A person who operates his or her own unincorporated economic enterprise or engages independently in a profession or trade, and hires one or more employees.
Supplier	An organisation or person whose business is to supply a particular service or commodity
Managing Contractor	A firm appointed in the pre-construction stage by the project owner to work alongside and coordinate the activities of architects, engineers, inspectors, sub-contractors, etc.
Trade Union	An organised association of workers in a trade, group of trades, or profession, formed to protect and further their rights and interests.
Employer Association	A body of employers, usually from the same sector of the economy, associated to further the interests of member companies by conducting negotiations with trade unions, providing advice, making representations to other bodies,
Employee	A person who works for another in return for financial or other compensation
Other	Anything that doesn't fit one of the above categories

Creating a New Organisation

Details tab

Organisation ID	Shows the system generated record identification number.
Organisation Name	Enter the proper name of the entity in full.
Organisation Type	Select from the drop down code list the type of organisation as per the table above
ABN	Enter the Australian Business Number in numerals only, if you cannot find the ABN number please enter 11 7's in this field the P&P will do audits to pick these ones up.
ACN	Enter the Australian Company Number in numerals only
Other Names by.	This will be read only field but will list any other names this organisation has been known by.
Business Industry	This is a read only field it categories the company into different groups based on data from ABR
State/Territory	Select from the drop down code list
Country	Select from the drop down code list
Website	Enter the website for the organisation
Email address	Enter the generic email address for the organisation
Comments	Free text field you can enter any comments about the organisation. Do not delete any pre-existing comments
457 Sponsor Client ID	Enter the Sponsor client ID number with no spaces
Number of 457 Visa Holders	Enter the number of visa holders on site

Building Code Tab

The information on this tab is used to identify those businesses that have been engaged to work on Projects that were subject to the Building Code for the Construction Industry. The **Building Code Organisation** field is completed by the Planning & Performance Team.

ABR / ASCI

The information on this tab is data pulled from the ABR database and used by the Planning and Performance team all the fields on this tab are read only. Any further information required about any of these fields please contact P&P.

Linked Entities

Address	Shows you all the state offices for the organisation. When entering a new organisation you need to make sure you add the address's for the office via this tab.
File Notes	Shows all linked file notes which relate to this organisation
Related Entity	Link any related entities such as state offices
Sites	Sites and organisations should be linked via the Site entity
Person	Link people associated with the organisation and remember to specify the link type
Permit	Create the permit link to a person here. Ensure you have the correct information by either using the Fair Work Commission website or the information contained on the permit
Business Card	Do not create the link to a business card via the organisation. This link is visible for your information only. To create the business card link do so via the Person record.
Information	Shows the links between information records and the organisation. This is for reference purposes only.
Investigation	Shows the links between investigations and the organisation. This is for reference purposes only.
Compliance Visit	Shows the links between compliance visit activities and the organisation. This is for reference purposes only.
Agreement	Shows the links to Agreements linked to the organisation. This is for reference purposes only.

Section 8 – Person

All the information you capture on the Person form can be entered into the appropriate places on the AIMS Person datasheet. Navigate through the tabs on the top half of the datasheet to fill in all parts of the form, bearing in mind the following details for each tab:

Details tab

Record ID	Shows the unique person record identification number generated by the system
Title	Select the title from the drop down code list
Last Name	Enter the person's surname
Given Name	The person's given name/s
Birth Date	Tick the Date box and adjust the date to record the date of birth
Age	This will automatically populate once the Birth Date is selected.
Category	Choose the category the person belongs to refer to Section 7 for definition of the categories. Remember to select the category based on the person's relationship to the organisation i.e. if the person works for a Head Contractor select Head Contractor NOT employee
Comments	Record any extra information about the person in this section.
Occupation	Select appropriate classification from the drop down.
Visa Holder	Select from the drop down code list
Visa Type	Select the appropriate Visa Type from the drop down code list
Refer to Team Leader	Tick this box if there is any risk associated with the person you are entering
Interpreter	Select from the drop down
Language	Select appropriate language if required
National Industry Indigenous Database	Select this box if the Person wants to be include on this database

Contact Details tab

Best Practice Tip: Remember when entering numbers into AIMS do not use spaces or punctuation.

Mobile Number	Enter the mobile number
Office Phone Number	Enter the office phone number
Fax Number	Enter fax number
Email address	Enter the generic email address for the organisation
Residential Street Address	Enter the street address for the
Town/city	Select from the drop down code list
Post Code	Enter the post code for the town/city selected above
State/Territory	Select from the drop down code list

Postal Address	Enter the postal address for the Person
Postal Town/city	Select from the drop down code list
Postal Post Code	Enter the post code for the town/city selected above
Postal State/Territory	Select from the drop down code list
Last Updated	Select the tick box and select the date when the record was updated
Last Updated by	Choose the name from the drop down list.

Pay and Entitlement

Record in this section any P&E recoveries that are made for the specific person.

Linked Entities

File Notes	Shows all links between a person and a file note. This will shows letters sent to individuals
Aliases	Link an alias to this record if this person has it
Organisation	Link the organisation/s that the person is related to
Permit	Create the link between the permit holder and the organisation here. You MUST select the organisation first. You cannot link permit documentation that has been obtained under notice. The information you record on the permit must be publically available information only. Enter the Permit Type, Dates and Number and record any conditions that apply. If there is a decision available relating to the permit, link it in the hyperlink field
Business Card	Record the information contained within the business card here. <ol style="list-style-type: none"> 1. Select the organisation FIRST and then enter the information found on the business card. 2. If the person is new – create their record before creating the business card link. 3. Record the contact details as per the information on the card and whether the card was obtained voluntarily or under s.712 on the link itself. 4. Update the telephone on the link and on the person record so that the current contact number is available. 5. Scan the business card, save into DC and link it in AIMS via the hyperlink field.

The key outcome for recording this information is that we are now able to clearly show how ABCC obtained the business card, when it was obtained and from whom. This change will provide evidentiary support when linking persons to an organisation and verifying contact details. It also allows for historical phone numbers and contact details to be kept on the system.

Site	Link the site/s that the person is related to
Information	Shows the links between a person and any information records
Compliance Visit	Shows the links between a person and any compliance visit activities
Investigation	Link the relevant investigation that the person relates to

Section 9 – Site

This entity records information relating to building sites in Australia. Site records can be created from the tender stage and are updated throughout the construction process. Information is sourced from third party data sets as well as by investigators on the ground. All sites must be recorded in AIMS – no separate spreadsheets recording site information are to be kept.

Site Details

Site ID	Shows the unique site record identification number generated by the system
Site Name	Record the name of the site as per the naming convention - Project Name, Scope/Stage and Town/City e.g. <i>Royal Children's Hosp. Cancer Wing, Westmead</i>
Project Stage	Select the relevant stage from the drop down code list
Head Contractor Name	Enter the name of the head contractor
Client Agency/Developer	Enter the name of the Client Agency/Developer
Project Type	This shows the funding arrangements for the site. Building Code Admin and Planning & Performance are the only teams who can update this field
Project Sub Type	This shows the type of funding arrangement in place for indirect projects. You will only be able to select a project sub-type when the project has been deemed to have indirect funding. Building Code Admin and Planning & Performance should be the only teams who can update this field Types: BOO Build, Own, Operate, BOOT Build, Own, Operate, Transfer PFI Private Funding Initiative PPP Public Private Partnership PCL Pre Commitment Lease
Building Code Site	This field shows if the site is a building code site. Building Code Admin and Planning & Performance are the only teams who can update this field
Site Description	Enter the description of the contracted building works.
Scheduled Start Date	Tick the box and adjust accordingly to record the <i>scheduled</i> start date
Actual Start Date	Tick the box and adjust accordingly to record the <i>actual</i> start date
Scheduled Completion Date	Tick the box and adjust accordingly to record the <i>scheduled</i> completion date
Actual Completion Date	Tick the box and adjust accordingly to record the <i>actual</i> completion date
Scheduled Construction Duration	This is an automatically calculated field and displays the scheduled construction duration in years
Actual Construction Duration	This is an automatically calculated field and displays the actual construction duration in years
Estimated Cost of Project	Enter the estimated cost of the project
Actual Cost	Enter the actual cost of the project once the project is completed.
Site Comments	Enter any information that is specific to the site such as general site contacts (the site manager or project manager should be linked through the person entity once the site is in construction),

reasons for changes in completion or start dates and finally, record any research comments here. Do not delete any pre-existing comments.

Section 45 FW(BI) Act 2012 powers apply?

This field is defaulted to Yes.

Section 45 FW(BI) Act 2012 determination date

Tick the box for the date for the section 45 determination date

Location

It is important that the correct site address is recorded in the database. Fields on this tab are completely dependent on the information you enter into the address fields.

- Site Address** Enter the street address for the site
- Town/City** Select the town/city from the code list drop down
- Post Code** Enter the post code for the town/city above
- State/Territory** Select the state/territory from the drop down code list
- Region** This field shows the region the site is located in and is populated by the system based on the address information above
- Sub-Region** This field shows the sub region the site is located in and is populated by the system based on the address information above
- Location Type** This field shows whether the site is a CBD, Metro or regional geographical area and is populated by the system based on the address information
- Site Category** This field shows the overarching type of building under construction. This information is recorded when the site is first entered into the database
- Site Sub-Category** This field shows the specific type of building under construction. This information is recorded when the site is first entered into the database

Building Code

If the site has been identified as a building code site all the fields below must be completed.

Drug and Alcohol Policy Applies

Tick the box if it applies to this site

Building Code Select the relevant code guidelines from the code list drop down

Commonwealth Funding Value

Enter the amount of funding the Commonwealth is contributing to the project

Commonwealth Funding percentage

The system calculates the percentage based on the amount of Commonwealth funding in the total project value

Commonwealth funding verification

Enter the web address or link to a DC document evidence of commonwealth funding so this can be reviewed at a later stage if necessary

Funding Verification Comments

Comments in relation to funding verification research. For example, Website information identified Commonwealth funding, no notification received to date should be entered in this free text field.

EOI publish date Tick the box to enter the date the EOI was published

EOI close date Tick the box to enter the date the EOI was closed

Tender called Tick the box to enter the date the tender was called

Tender closed Tick the box to enter the date the tender was closed

Tender/Contract documents

Enter the DC link to the tender documents

Entity Notificaiton Choose from the notification type from the drop down

Identification

Master Project If this box is ticked, this will be the overarching project for multiple sites. This site will be excluded from the number of sites in construction and the overall project cost.

Primary Source Select from the drop down code list the primary source for the site information. Either, BCI, Cordell, Deloitte or other. You will need to enter the unique project id number in the source specific project ID fields.

Cordell Project ID Enter the specific Cordell ID number

BCI Project ID Enter the specific BCI ID number

Deloitte Project ID Enter the specific Deloitte project ID number

NICS Reference If applicable, enter the web address (URL) for the project as specified on the NICS (National Infrastructure Construction Schedule) website.

OFSC ID OFSC (Office of Federal Safety Commissioner)

Site Contact, position, phone number

Enter the name, position and phone number (no spaces or symbols) for the site contact. Link them via People if they will be the ongoing site contact.

Reason for Completion Date

For historical purposes only

AusTender ID Reference Enter AusTender ID number

Othere Tender Authority ID References

Enter in the free text field any other references that maybe applicable to the tender

Linked Entities

Best Practice Tip: Always use the Search function to find existing records in AIMS before creating them. Use the "Select" button in the link tabs to do this.

Organisations When the site is first entered into the system the Head Contractor and/or the client agency will need to be linked. Once site visits are conducted on site, the system will copy the organisations linked to the site visit, to the site. See [Section 7](#) for more information.

People When the site is first entered into the system a site contact will need to be linked. This can be either the project manager, site manager or other person who can provide updated information on the site. Once site visits are conducted on site, the system will copy the people linked to the site visit, to the site. See [Section 8](#) for more information.

Investigations This is where you will see links to investigations relating to the site. See [Section 3](#) for more information.

Compliance Visit This is where you will see links to compliance visit activities relating to the site. See [Section 10](#) for more information.

Stakeholder Engagement This is where you will see links to Stakeholder Engagment relating to the site. See [Section 12](#) for more information.

Information This is where you will see links to information records relating to the site. See [Section 2](#) for more information.

Section 10 – Compliance Visit

Definition of a compliance visit

Best Practice Tip: Investigators will need to be familiar with the [ABCC Operations Guide](#). In particular Investigators should make decisions based on the information contained within the [Engagement](#) and [Building Code 2013](#) sections, and refer to the [Site Visit Best Practice Guide](#) before entering information into AIMS.

There are three activities recorded within the Compliance Visit entity. They can be defined as:

Visits

Site Visit definition includes any activities that involve visits to a building and construction site.

- Serving a notice
- Taking a statement
- Collection of documents
- Code Audit follow up outside an actual audit
- Sub-contractor interviews

An important purpose of site visit activities is to raise the profile of ABCC within the building and construction industry. Site visits are for either **education** or **compliance**. By way of example and clarification, the following circumstances are examples of what must be recorded as a site visit.

- ABCC investigators attend a site where industrial action is occurring. They oversee the activities at the site and liaise/ provide guidance or information to the site occupiers. This would be recorded as a **site visit**.
- ABCC investigators attend a site to gather evidence by way of statements from industry participants employed at the site. This would be recorded as a site visit. Where more than one team of investigators attends the same site on the same occasion – then this would be recorded as **ONE** site visit only – not two or three.
- ABCC Investigators attend the yard of ABC Plumbing to speak to the proprietor of the company about his history/experience on building and construction sites and to explain his rights and obligations. This would be recorded as a **business visit**

Visits to corporate offices of major construction companies or to the offices of industry associations **will not** be recorded as a business or site visits.

Site visits can be undertaken as either stand-alone via the Compliance Visit entity as the process currently stands or arising out of a primary activity such as an investigation or Code audit. Site visits undertaken during Investigations or Code Audits will be recorded as an “On Site Activity” through the primary activity record. Please refer to primary activity links for more details.

Business Visit

Are similar in nature and type to site visits. They are conducted on the business premises of subcontractors in an effort to increase the knowledge and understanding of ABCC, its role in the industry and to increase the subcontractors’ knowledge of their roles and responsibilities under the BCIP Act

Code Inspection

A site inspection is a more detailed and in depth process involving walking around the site, making observations, having conversations with sub-contractors, etc.

The conduct of a site inspection is similar to the conduct of any site or business visit. However there will be added emphasis and focus on onsite behaviours and practices to ascertain whether the contractor or subcontractors are maintaining an appropriate level of compliance.

Code Audit

An audit is a more formal, in depth activity usually taking around half a day on site to complete.

Projects will be selected for audit primarily based on issues identified during Code site inspections and information obtained from industry.

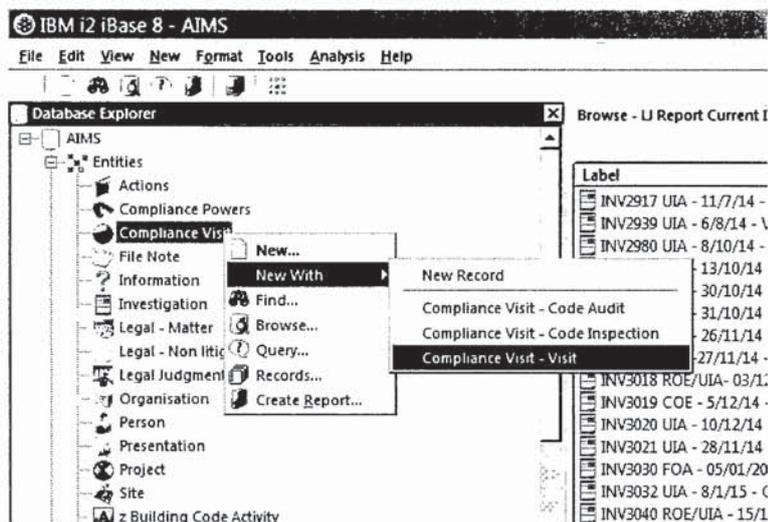
Best Practice Tip: When conducting compliance visit activities the expectation is that Investigators will confirm the Scheduled Completion Date, Actual Start Date, Actual Cost and Project Stage and update these on the linked Site Record.

Datasheet Views

Each activity has its own datasheet view. The default view when double clicking on the entity name is the Compliance Visit – Visits datasheet. **You will need to remember** how to view each type of activity depending on whether or not it is a new or existing record.

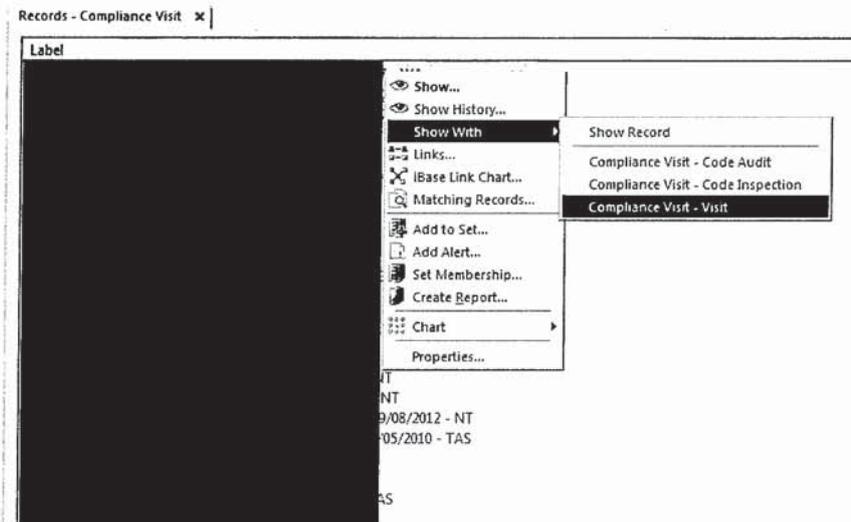
Best Practice Tip: When viewing records in a browser the label will specify site name, compliance activity type, on-site date and state. This will let you know which view to select to see the record.

New Records



1. Right click on Compliance Visit in the entity tree
2. Select New With and choose either:
 - a. Compliance Visit – Code Audit;
 - b. Compliance Visit – Code Inspection; or
 - c. Compliance Visit – Visit

Existing Records



1. Right click on the record in a browser or Find window and click on *Show With*
2. Select *Show With* and choose either:
 - a. Compliance Visit – Code Audit
 - b. Compliance Visit – Code Inspection
 - c. Compliance Visit – Visit

Creating a New Site or Business Visit Record

Remember to refer to the definitions for site and business visits before creating your records.

All **blue** fields are mandatory and must be filled in before the record can be saved.

The first step in creating a new compliance visit record is to link the site. Use the Select button to search for the site first.

Details

Compliance Visit ID	Shows the unique compliance visit record number generated by the system
Site Name	Enter the site name as it appears on the linked site record.
Head Contractor Name	Enter the name of the Head Contractor on the site
Date on Site	Tick the box and record the date you will be or have been on site or business premises
Case Officer 1	Select the name of Case Officer 1 from the drop down code list
Case Officer 2	Select the name of Case Officer 2 from the drop down code list
Team Leader	Select the name of the team leader from the drop down code list
Team	Select the relevant team from the drop down code list
State	Select the state the visit will be conducted in from the drop down code list
Status – Comments	Enter any relevant comments about the progress of the visit. These comments are used to inform management on the progress of your activities in their reports. More details would be recorded for Inspections and Audits.

Possible misuse of safety to access site?

Investigators are to discuss spurious safety issues with their Team Leader. Only Team Leaders and P&P can tick the “Possible misuse of safety by union to gain right of entry?” box.

Quality Review by	Team Leaders will select their name from the dropdown list.
Quality Review Date	Team Leaders will tick the box to record the date the reviewed the visit.
Agency Name	Shows which agency the activity was undertaken by.

Findings

Best Practice Tip: The expectation is that all fields on this tab will be completed with meaningful information. All Comments fields should be utilised to record all of the Inspector’s observations and comments on site – simple entries such as ‘N/A’ are strongly discouraged and Team Leaders will be reviewing the quality of these entries before a review can be completed.

The Findings tab has been developed in line with the [Site Visit Best Practice Guide](#).

A series of subject headings have been identified to guide Investigators to make sufficient notes to allow them to complete the appropriate AIMS entries.

Subject headings are:

- Induction
- Right of Entry
- Freedom of association
- Unlawful industrial action
- Other issues
- 457 Visa Monitoring

The expectation is that if you select “no” for any of the above you are able to qualify that statement with further information as to why that has not been an issue on the site.

Additional fields to be completed

Is the project running on time and budget?

Select either yes or no from the drop down code list.

457 Visa Monitoring Conducted?

Tick the box if this has been undertaken

Number of 457 visa holders on site

Record the number of visa holders on site

Site Progress Comments Enter any comments about the site which may inform future activity on the site or be of interest to the agency. If you selected “No” to the question of whether the site was running on time or budget enter some details as to why it is over budget or delayed. Do not delete any pre-existing comments.

Visit

Type of Visit

Select from the drop down either business visit or site visit.

Definition:

Site Visits are visits to construction sites where building works are in progress

Business Visits are conducted at the registered office of a subcontractor.

Status

Select from the drop down code list:

Planned visits pre-emptively entered into AIMS

Active visits are underway

Finalised visits that have been completed

Visit to

Select either Site or Business from the drop down code list. This should match your selection on the details tab about the type of visit

Required to be Code Compliant?

Reference the *Building Code Site?* Field on the linked Site or the *Building Code Organisation* field on the Organisation linked as the Head Contractor. If you are not sure contact Planning & Performance for further information.

Purpose

Education - to inform and educate industry participants; to add to ABCC’s knowledge of the building and construction industry (supports the Intelligence function)

Compliance - to assess compliance with the Fair Work Act and/or the Building Code

Visibility - to raise ABCC’s profile and visibility within the industry

All of the above - Site visit conducted whereby a combination of the above has been predetermined to be the purpose of undertaking the activity.

Outcome

Select from the drop down code list the outcome of the visit:

- Continued Monitoring
- Code Inspection
- Code Audit
- Investigation
- Presentation
- No future monitoring

Comments

Enter any comments about the outcome selected or any other information you think is important to record

Linked Entities

Best Practice Tip: Always use the Search function to find existing records in AIMS before creating them. Use the "Select" button in the link tabs to do this.

Site	Link the relevant site and update the scheduled completion date if necessary. See Section 9 for more information.
People	Create the links to the people you met with on site or at the business premises. See Section 8 for more information. Remember to use the Select button first and then specify the role the person had to site.
Organisation	Create the links to the organisations on site. For a business visit, link the organisation you met with. Remember to use the Select button first and then specify the role the organisation had to site. If the list of organisations is greater than 15, contact Planning & Performance to import the list from the import template. You will need to make sure all the values in the spreadsheet match the options in AIMS exactly. See Section 7 for more information.
File Notes	Link any file notes that have been obtained as part of the site visit. See Section 4 for more information.
Compliance Visit	Shows the links between all related compliance visits such as site visits, code inspections or code audits. See Section 10 for more information.
Stakeholder Engagment	Link any Stakeholder Engagment given which were relevant to this site visit. See Section 12 for more information.
Information	Link any Information entities that have arisen as part of the site visit. See Section 2 for more information.
Investigation	Shows the link to any investigations resulting from the compliance visit activity. See Section 3 for more information.
Project	Shows any linked projects to the compliance visit activity. See Section 13 for more information.

Creating a Code Inspection Record

A Code Inspection is a more detailed and in depth process involving walking around the site, making observations, having conversations with sub-contractors, etc. The conduct of a site inspection is similar to the conduct of any site or business visit. However there will be added emphasis and focus on onsite behaviours and practices to ascertain whether the contractor or subcontractors are maintaining an appropriate level of compliance.

The outcome of site inspections will be used to identify potential targets for future Code audits. Issues or potential breaches identified at a site inspection could result in the conduct of an immediate audit or future audit on that site or contractor. Where it is apparent that breaches of the Fair Work Act may have occurred it may be appropriate to commence an investigation. It is essential that the results of the site visit or inspection is comprehensively recorded in AIMS to enable State Managers and the Building Code team to properly identify targets for future building Code activities.

All **blue** fields are mandatory and must be filled in before the record can be saved.

The first step in creating a new Compliance Visit Code Inspection record is to link the Site. Use the Select button to search for the site first.

Details

Compliance Visit ID	Shows the unique compliance visit record number generated by the system
Site Name	Enter the site name as it appears on the linked site record.
Head Contractor Name	Enter the name of the Head Contractor on the site
Date on Site	Tick the box and record the date you will be or have been on site
Case Officer 1	Select the name of Case Officer 1 from the drop down code list
Case Officer 2	Select the name of Case Officer 2 from the drop down code list
Team Leader	Select the name of the team leader from the drop down code list
Team	select the relevant team from the drop down code list
State	Select the state the Code Inspection will be conducted in from the drop down code list
Status – Comments	Enter any relevant comments about the progress of the Code Inspection if the record has been created pre-emptively. These comments are used to inform management on the progress of your activities in their reports.
Possible misuse of safety to access site?	Investigators are to discuss spurious safety issues with their Team Leader. Only Team Leaders and P&P can tick the “Possible misuse of safety by union to gain right of entry?” box.
Quality Review by	Select the team leaders name who will conduct the entry review from the drop down code list. Only team leaders can update this field
Quality Review Date	Tick the box and record the date the review was conducted. Only team leaders can update this field
Agency Name	Shows which agency the activity was undertaken by. This field is read only and defaults to ABCC
TRIM File Number	Enter the TRIM File Number

Findings

Best Practice Tip: The expectation is that all fields on this tab will be completed with meaningful information. All Comments fields should be utilised to record all of the Inspector's observations and comments on site – simple entries such as 'N/A' are strongly discouraged and Team Leaders will be reviewing the quality of these entries before a review can be completed.

The Findings tab has been developed in line with the Compliance Visit Best Practice Guide and Building Code 2013 published on the intranet.

A series of subject headings have been identified to guide Investigators to make sufficient notes to allow them to complete the appropriate AIMS entries.

Subject headings are:

- Induction
- Right of Entry
- Freedom of association
- Unlawful industrial action
- Other issues

The expectation is that if you select "no" for any of the above you are able to qualify that statement with further information as to why that has not been an issue on the site. Similarly if you select "yes" for any of the above you will qualify that statement with information as to what the issues are.

Additional fields to be completed

Is the project running on time and budget?

Select either yes or no from the drop down code list.

457 Visa Monitoring Conducted?

Tick the box if this has been undertaken

Number of 457 visa holders on site

Record the number of visa holders on site

Site Progress Comments Enter any comments about the site which may inform future activity on the site or be of interest to the agency. If you selected "No" to the question of whether the site was running on time or budget enter some details as to why it is over budget or delayed. Do not delete any pre-existing comments.

Code Inspection

Status

Select from the drop down code list:

- Planning** Code Inspection you have pre-emptively entered into AIMS
- Active** Code Inspections underway
- Finalised** Code Inspections that have been completed

Type of Visit

Select Code Inspection from the drop down code list

Proactive/Reactive

Select from the drop down –

Proactive - Inspection activities that are proactive will be strategically planned and will follow the processes that are outlined in the Audit Guide.

Reactive – Inspection activities that are reactive are either in response to a complaint or are potential Code issues found during the course of a Fair Work Act investigation.

Assessment

Select either No Issues or Potential Issues from the drop down code list. This is your assessment based on the activity you have undertaken on the site.

Code Activity Result

Select the result from the drop down code list. Refer to the [ABCC Operations Guide – Section 4 Building Code](#) for more details on the result.

No Issues	
Continued Monitoring	Site is deemed compliant for this activity however due to duration or other reason it has been determined that continued monitoring may occur. This is at the discretion of the relevant Assistant or State Manager.
No Further Action	The site is deemed compliant for this activity and due to location, completion date or previous assessment as compliant no further activity will occur. This is at the discretion of the relevant Assistant or State Manager.

Potential Issues	
Minor Issues Letter	Minor issues identified that can be rectified on site or result in an audit
Potential Issues Identified	Potential breaches identified of the Code at a site inspection could result in the conduct of an immediate audit or future audit on that site or contractor. Where it is apparent that breaches of the <i>Fair Work Act</i> may have occurred it may be appropriate to commence an investigation.

Code Activity Outcome

Select the Outcome from the drop down code list bearing in mind this will be at the discretion of the Assistant Director or State Manager. Refer to the [ABCC Operations Guide – Section 4 Building Code](#) for more detail on the outcome options.

Result	Outcome
Minor Issue	Rectification
	Audit
Potential Issues Identified	Investigation
	Audit
	Investigation And Audit

Comments

Enter any comments about the outcome selected or any other information you think is important to record

Linked Entities

Best Practice Tip: Always use the Search function to find existing records in AIMS before creating them. Use the "Select" button in the link tabs to do this.

Site	Link the relevant site and update the scheduled completion date if necessary See Section 9 for more information.
Person	Create the links to the people you met with on site or at the business premises. See Section 8 for more information. Remember to use the Select button first and then specify the role the person had to site.
Organisation	Create the links to the organisations on site. For a business visit, link the organisation you met with. Remember to use the Select button first and then specify the role the organisation had to site. If the list of organisations is greater than 15, contact Planning & Performance to import the list from the import template. You will need to make sure all the values in the spreadsheet match the options in AIMS exactly. See Section 7 for more information.
File Notes	Link any file notes that have been obtained as part of the site visit. See Section 4 for more information.
Compliance Visit	Shows the links between all related compliance visits such as site visits, code inspections or code audits. See Section 10 for more information.
Investigation	Shows the link to any investigations resulting from the compliance visit activity. See Section 3 for more information.
Information	Link any Information entities that have arisen as part of the site visit. See Section 2 for more information.
Stakeholder Engagment	Link any Stakeholder Engagment given which were relevant to this site visit. See Section 12 for more information.
Project	Shows any linked projects to the compliance visit activity. See Section 13 for more information.

Creating a Code Audit Record

An audit is a more formal, in depth activity usually taking around half a day on site to complete.

Projects will be selected for audit primarily based on issues identified during Code site inspections and information obtained from industry. The audit process usually follows the following form:

- Contact with contractor to advise of audit and obtain list of subcontractors;
- Contact a number subcontractors for telephone interview – this process should give indications of non-compliance prior to the site attendance;
- On site audit – this will include an examination of documents, policies and practices employed at the site and will include a conversation with a senior site representative of the principal contractor focused on code obligations;
- Post site activity interviews with subcontractors – these should be used to corroborate or confirm the information obtained during the previous subcontractor interviews and the on-site audit activities;
- Preparation of report.

Further guidance on the conduct of audits is available through the [Building Code Audit Process Checklist](#).

All **blue** fields are mandatory and must be filled in before the record can be saved.

The first step in creating a new Compliance Visit Code Audit record is to link the Site. Use the Select button to search for the site first.

Details

Compliance Visit ID	Shows the unique compliance visit record number generated by the system
Site Name	Enter the site name as it appears on the linked site record.
Head Contractor Name	Enter the name of the Head Contractor on the site as it appears on the organisation record
Date on Site	Tick the box and record the date you will be or have been on site
Case Officer 1	Select the name of Case Officer 1 from the drop down code list
Case Officer 2	Select the name of Case Officer 2 from the drop down code list
Team Leader	Select the name of the team leader from the drop down code list
Team	Select the relevant team from the drop down code list
State	Select the state the Code Audit will be conducted in from the drop down code list
Status – Comments	Enter any relevant comments about the progress of the Code Audit. These comments are used to inform management on the progress of your activities in their reports.
Possible misuse of safety to access site?	Investigators are to discuss spurious safety issues with their Team Leader. Only Team Leaders and P&P can tick the “Possible misuse of safety by union to gain right of entry?” box.
Quality Review by	Select the team leaders name who will conduct the entry review from the drop down code list. Only team leaders can update this field
Quality Review Date	Tick the box and record the date the review was conducted. Only team leaders can update this field
Agency Name	Shows which agency the activity was undertaken by. This field is read only and defaults to ABCC
TRIM File Number	Enter the TRIM File Number

Findings

Best Practice Tip: The expectation is that all fields on this tab will be completed with meaningful information. All Comments fields should be utilised to record all of the Inspector's observations and comments on site – simple entries such as 'N/A' are strongly discouraged and Team Leaders will be reviewing the quality of the information before a review can be completed.

The Findings tab has been developed in line with the Compliance Visit Best Practice Guide and Building Code 2013 published on the intranet.

A series of subject headings have been identified to guide Investigators to make sufficient notes to allow them to complete the appropriate AIMS entries.

Subject headings are:

- Induction
- Right of Entry
- Freedom of association
- Unlawful industrial action
- Drug & Alcohol Policy
- Other issues

The expectation is that if you select "no" for any of the above you are able to qualify that statement with further information as to why that has not been an issue on the site. Similarly if you select "yes" for any of the above you will qualify that statement with information as to what the issues are.

Additional fields to be completed

Is the project running on time and budget?

Select either yes or no from the drop down code list.

457 Visa Monitoring Conducted?

Tick the box if this has been undertaken

Number of 457 visa holders on site

Record the number of visa holders on site

Site Progress Comments Enter any comments about the site which may inform future activity on the site or be of interest to the agency. If you selected "No" to the question of whether the site was running on time or budget enter some details as to why it is over budget or delayed. Do not delete any pre-existing comments.

Code Audit

Status

This field must reflect the most recent information about the status of the compliance visit. Your status – comments are used to inform management on the progress of your activities in their reports.

Stages

Code Audits now have the following Stages in AIMS; select from the drop down code list:

Stage	Description	Person Responsible for updating Audit record
Planning	Scheduled audits prior to the notification of upcoming audit being sent to the contractor	Investigator
Active	Audits are active from the notification of upcoming audit date until the Code Report is submitted to Building Code Group (Code Legal)	Investigator
Code Legal	BCG in the process of reviewing the Code Report and drafting the audit outcome letter	Code Lawyer
Contractor Communications	The Audit outcome letter has been sent to the contractor and any subsequent correspondence from the contractor which may include a "rectification response".	Code Lawyer
Finalised	The code breaches have been updated with an outcome and the outcome comments and date audit finalised have been completed.	Investigator

Investigators can move their audits from Active into the Code Legal stage as soon as the Code Report is submitted to the Building Code Group. The BCG will move the code audit from Code Legal to Contractor Communications once the letter is sent to the contractor.

BCG will look after the audit in AIMS through the Code Legal and Contractor Communications stages, namely:

- Updating status comments
- Adding correspondence to AIMS
- Updating the status stage

BCG will advise the investigator when the audit is ready for the investigator to close in AIMS

Type of Visit	Select <i>Code Audit</i> from the drop down code list
Proactive/Reactive	Select from the drop down – Proactive - Audit activities that are proactive will be strategically planned and will follow the processes that are outlined in the Audit Guide. Reactive – Audit activities that are reactive are either in response to a complaint or are potential Code issues found during the course of a Fair Work Act investigation.
Assessment	Select either Compliant or Non-Compliant from the drop down code list. This is your assessment based on the activity you have undertaken on the site. The selection here filters the available options for the Code Activity result and Code Activity Outcome fields.
Audit Plan	Link to the Audit Plan you have developed. Multiple documents can be linked here

Building Code Group

Investigators will select the Assistant Director - Building Code Unit as the BCG Member reviewing the audit. Investigators will also ensure the date and link to code report fields here are updated. BCG will update the remainder of the fields until the audit is completed.

BCG Member Select the Name of the Building Code Group member who will review the audit

Date Code Report sent to BCG

Enter the date the Code Report was sent to the Building Code Group

Code Report

Link a copy of the Code Report submitted to the Building Code Group

Code Audit Outcome Letter Date

Enter the date the Code Audit Outcome Letter was sent to the Contractor

Code Audit Outcome Letter Document

Link a copy of the Code Report submitted to the Building Code Group

ABCC Final Letter to Contractor Date

Enter the date of the final ABCC letter to the contractor. This should be the same date as the audit completed date if there was ongoing correspondence with the contractor.

ABCC Final Letter to Contractor Document

Link a copy of the final letter from ABCC to the contractor following the audit.

Code Activity Result

Select the result from the drop down code list.

Refer to the [ABCC Operations Guide – Section 4 Building Code](#) for more details on the result.

No Issues	
Continued Monitoring	Site is deemed compliant for this activity however due to duration or other reason it has been determined that continued monitoring may occur. This is at the discretion of the relevant Assistant or State Manager.
No Further Action	The site is deemed compliant for this activity and due to location, completion date or previous assessment as compliant no further activity will occur. This is at the discretion of the relevant Assistant or State Manager.

Potential Issues	
Minor Issues Letter	Minor issues identified that can be rectified or result in an audit
Issues Letter	Issues at a site inspection could result in the conduct of an immediate audit or future audit on that site or contractor.
Potential Issues Identified	Potential breaches identified of the Code at a site inspection could result in the conduct of an immediate audit or future audit on that site or contractor. Where it is apparent that breaches of the Fair Work Act may have occurred it may be appropriate to commence an investigation.

Code Activity Outcome

Select the Outcome from the drop down code list bearing in mind this will be at the discretion of the Assistant Director or State Manager. Refer to the [ABCC Operations Guide – Section 4 Building Code](#) for more detail on the outcome options. Your options for this drop down are dependent on what you have selected in the Assessment and Code Activity Result fields.

Result	Outcome
Minor Issues Letter sent	Rectification
	Recommend Sanction
Issues Letter	Rectification
	Recommend Sanction
Potential Issues Identified	Investigations

BCG Outcome Comments Enter comments about the outcome selected

Date Audit Completed

Enter the date final discussions between ABCC and the organisations are complete about the report findings. Update the status on the Details tab to *Finalised*

Linked Entities

Best Practice Tip: Always use the Search function to find existing records in AIMS before creating them. Use the "Select" button in the link tabs to do this.

Site	Link the relevant site and update the scheduled completion date if necessary. See Section 9 for more information.
File Note	<p>Code Audits MUST have the following file notes linked to them. These file notes are used to populate internal management reports, workload summaries and monitor the audit stages, timeframes and responses from industry.</p> <p>The file notes below must be linked to every audit:</p> <ul style="list-style-type: none">CODE – Notification of upcoming auditCODE – Subcontractor Interview (one for each subbie you contact)CODE – Subcontractor Contact ListCODE – Contractor Response to Code Outcome Letter <p>Other file notes such as CODE – Rectification Response and CODE – Undertaking of Compliance may be needed depending on the outcome of the Audit and previous records for the Head Contractor. In order to ensure that we are accurately monitoring our activities and contractor response times, please ensure that the file notes accurately reflect the activities undertaken and the dates on which they occur.</p>
Onsite Activity	When updating your code audit record after taking sub contractor interviews or following up a code audit ON SITE , you complete an on-site activity record via the on-site activity tab. See Section 5 for more information
Actions	<p>Code Operations Manager will use the Actions to move audits from Operations to Code Legal. Actions will come back to Ops for the file to be closed.</p> <p>If a brief of evidence is prepared after an audit, the State Manager Operations creates a refer brief to internal Legal Action and selects Legal Manager Building Code as the team leader.</p> <p>- See Section 6 for more information.</p>
Code Breaches	All audits must have a link here to show the outcome of the audit. You MUST search for the Organisation and select before applying the breach. This step must be done for each breach that is applied to the audit. See Section 7 for more information.
Compliance Visit	Shows the links between all related compliance visits such as site visits, code inspections or code audits. See Section 10 for more information.
Person	Create the links to the people you met with during the Code Audit, including the sub-contractor contacts you interviewed. Remember to use the Select button first and then specify the role the person had to site. See Section 8 for more information.
Organisation	Create the links to the organisations involved in the Code Audit. Remember to use the Select button first and then specify the role the organisation had to site. If the list of organisations is greater than 15, contact Planning & Performance to import the list from the import template. You will need to make sure all the values in the spreadsheet match the options in AIMS exactly. See Section 7 for more information.
Investigation	Shows the link to any investigations resulting from the compliance visit activity. See Section 3 for more information.
Information	Link any Information entities that have arisen as part of the site visit. See Section 2 for more information.
Stakeholder Engagment	Link any Stakeholder Engagment given which were relevant to this site visit. See Section 12 for more information.
Sanction	Shows the outcome of approved sanctions against an organisation. The Legal Manager Code completes this link.
Project	Shows any linked projects to the compliance visit activity. See Section 13 for more information.

Section 11 – Referral

Formal referrals occur when ABCC obtains information or evidence, from any source, regarding laws within the jurisdiction of another agency and ABCC provides that information to that agency

This may include:

- information obtained during the course of an investigation or audit
- 457 visa monitoring outcomes
- information obtained or provided under a MOU
- information provided to another agency, at that agency's request

For further information investigators should refer to the Investigator Guide

Best Practice Tip: When referring evidence or information to more than one agency you will need to create a referral record for each agency. If you are referring multiple pieces of information or evidence to the same agency you will only need to create one referral record.

Creating a referral

Once you have had discussion with your team leader about the referral you can create the referral entry.

To create a new referral you need to Right click on the record in a browser or Find window and click on *Show With*
Select *Show With* and choose: - Referral

Details tab

Referral ID This number is generated by the system automatically and should be used as your unique record identifier.

Referral Type Select from the drop down the type of referral

Type of Referral	Description
Breach Referral	Select this drop down when you obtain evidence which may indicate a SUSPECTED breach of laws within the jurisdiction of another agency. Select this when undertaking 457visa monitoring and there are visa holders onsite and you have identified suspected breaches.
Information Referral	Select this drop down when you are providing information to another agency that ABCC has an MOU with. Select this when undertaking 457visa monitoring and there are visa holder's onsite however there are NO suspected breaches.
Security Incident	The Agency Security Advisor will select this when ABCC is reporting an incident.
Police Report	The Agency Security Advisor will select this when ABCC is reporting an incident to Police.
CDPP Referral	Select this when Legal have confirmed a referral has been made to the Commonwealth Department of Public Prosecutions.

Restrictions: Record Available to

Records can be restricted when they are maybe politically sensitive, arouse media interest or need to be restricted based on content (Police reports and Security Incidents). The majority of records will have *ALL STAFF* selected here. Once "*RESTRICTED*" is selected only State Managers will be able to view these records.

Referral Name Enter the name of the Site, affected Organisation/Person, and main issue
Example; Barangaroo South, Boral, Secondary Boycott

Details Enter a succinct description of the referral by recording the alleged breach/information being shared, relevant site/s (if any), information source, suspects (if known). If the description is more than 5 sentences long, create a file note in Word, save it to Document Centre and link it to the Referral entity – see the [attaching documents](#) section above. Summarise the key points in the document in this details field. Sufficient information should be recorded to adequately

identify why the referral is being made, what the referral relates to and how ABCC obtained this information or evidence. Users should NOT record any sensitive or confidential information in this field.

Issue Identified	Select the main Issue identified in the referral from the drop down code list. If there is more than one issue this information needs to be recorded in the details field above. If your main issue is not available in the list, please contact Planning and Performance to update the list.
Referral To	Select the agency you are making the referral to from the drop down list. If you are referring evidence or information to more than one agency you will need to create a referral record for each agency. If you are referring multiple pieces of information or evidence to the same agency you will only need to create one referral record. If the external agency is not available in the list, please contact Planning and Performance to update the list.
Date of Referral	Enter the date the information/evidence was sent to the external agency. This should not be completed until a Team Leader or above have approved the referral.
State	Enter the state or territory where the referral is being made.
Agency Contact	Select your name from the drop down list. If the record is deemed restricted select the relevant State/Regional Manager.
Team	Select your team from the drop down list.
Reference	Enter the AIMS record ID if the referral is being made out of an Investigation(INV1234), Code Audit, Compliance Visit (COM1345), Information (ENQ1234), Legal Matter (LE1234)or Examination.
Summary	
Status	Select either open or closed from the drop down list. Only close referrals when the referral has been made to the external agency and; a) we know feedback will NOT be obtained (e.g. ATO) or b) the external agency has made a final decision on the referred information or evidence. It will be the responsibility of the agency contact to update the progress summary on the referral. Refer to any MOU or protocol guides in the operations manual to check who the nominated agency contact is before seeking feedback.
External Agency Reference Number	Enter the reference number the external agency has assigned to your referral.
External Agency Contact	Enter the external agency contact's name, position and phone number or email address. Note: When entering phone numbers (fixed or mobile), there should be no parentheses, spaces, hyphens or other symbols. For example, (03) 1234-5678 should be entered as 0312345678
Progress Summary	Record the last milestone or decision for the referral. The progress summary should be written in a narrative style and should reference specific dates. The use of personal pronouns should be avoided, people should be referred to in the third person. DO NOT use hard returns, bullets or any other formatting.
Feedback Date	Enter the date that feedback was received.
Document	Use this document hyperlink field to attach any referral documents that you do not wish to create a file note for.
TRIM File	Enter the TRIM File Number if applicable

Approval

Only Team Leaders and State/Regional Manager can edit the fields on this tab. If a referral record has been created and the Team Leaders and State/Regional Manager denies the referral the Team Leaders and State/Regional Manager needs to contact P&P to delete the record. Only approved referrals will be reported on to the Executive.

Approved by The Team Leader or State/Regional Manager will select their name from this list when approving the referral.

Date of Approval Enter the date that you approved the referral.

Comments This field is available to Team Leaders or State/Regional Managers to record any comments relating to the approval of the referral.

Linked Entities

Best Practice Tip: Always use the Search function to find existing records in AIMS before creating them. Use the "Select" button in the link tabs to do this.

File Note File notes should be used in the same way as the running sheet in an investigation to record relevant communications and decisions about the referral. Users are reminded that any sensitive or confidential information that may identify individuals or not be fit for public knowledge should NOT be referred in any free text field in the referral entity or linked records. Users should record this information in linked documents and ensure the document permissions are locked to certain users.

Organisation Link any suspect or affected party organisations to the referral.

Person Only suspects should be linked to the referral.

Compliance Visit Link the compliance visit (code audit, site visit, business visit or code inspection) if the information or evidence was obtained during one of those activities.

Investigation Link the investigation if the information or evidence was obtained during this activity.

Section 12 – Stakeholder Engagement

Stakeholder engagement includes:

Presentations to industry

- A presentation is targeted at a particular audience with the intention of providing advice, information, policy or education. Engagement should be categorised as a presentation if it was the staff member's intention, prior to attending a site, to deliver a pre-prepared talk to industry participants. The provision of impromptu advice or information is not to be included.

Meetings with industry participants

- Only meetings where the primary purpose is to provide generic advice, information, policy or education should be reported. Interactions with industry participants that occur through the course of day-to-day work, or site visits where specific advice is provided to stakeholders during the course of an investigation or audit, are not to be included.

Creating a Stakeholder Engagement

Enter the details for the stakeholder engagement once you have completed your meeting or if you are scheduling a presentation the *Status* allows for the scheduling of presentations.

Details tab

Type	Select form the drop down Presentation or Meeting
Reason	Select from the drop down reason for your Stakeholder Engagement, you an add more details to the details free text field.
Date	Tick the box for the date this date can be the date of the presentation or if you are using the scheduling you can put the future scheduled date.
Time	Tick the box to record the time. If you are using the scheduling you can put the future time.
Title	Enter the name of the Presentation. Including the name of the organisation and topic.
Presenter	Select the name of the investigator from the drop down code list
Presenter 2	Select the name of the investigator from the drop down code list
Presenter 3	Select the name of the investigator from the drop down code list
Team	The team of the presenter.
Number of attendees	Enter the number of people in the audience. This does not include the Presenter/s.
Hyperlink to Presentation	Enter the link to the saved copy of the presentation
Status	Select either completed or scheduled from the drop down code list
Details	Enter any relevant details about the presentation here including any feedback or requests for more information or published materials
Street Address	Enter the address at which the presentation occurred.
Town/City	Select the suburb from the drop down code list
Post Code	Enter the post code for the suburb where the presentation occurred
State/Territory	Enter the state or territory where the presentation occurred
Contact Person, Position, and Phone Number	The details of the contact person arranging/instigating the stakeholder engagement

Outcomes The outcomes of your engagement can be entered in this free text field, in this field any outcomes from your meeting or presentations, particularly any proposed or agreed actions.

Follow up Enter any follow up information from the engagement in this free text field, in this field any information that you need to follow up on out of your presentations, the date of the next meeting or specific next steps to progress the stakeholder relationship

Type of Audience Tab

Tick all the relevant boxes for the type of audience members.

Topics Covered Tab

Tick all the relevant boxes for the topics covered.

Feedback Tab

This tab is completed by Team Leaders or State Managers. The information contained within this tab is used to support our rating for Portfolio Budget Statement Key Performance Indicator Three.

Feedback Forms Completed Tick the box when feedback forms have been received

Feedback Forms Received Enter the link to the saved copies of the feedback form

Feedback Date Tick the box to select the date the feedback was obtained

Feedback Satisfaction Select the overall rating from the drop down code list

Feedback Document Enter the link to the saved copy of the feedback response

Comments Record any comments relating to the feedback obtained about the presentation.

Linked Entities

Organisations Link the organisation/s that the presentation was delivered to

Site Link the site/s that the presentation was delivered at (if relevant)

Information Link the enquiry (if the outcome on the enquiry was presentation requested)

Investigation Link the relevant investigation

Compliance Visit Link the relevant compliance visit information

Section 13 - Projects

This entity has been created to allow a central point of reference for activities which cover multiple entity types. Projects can be used for situations outside the boundaries of a normal investigation, and can be used as a central area to link compliance visits, presentations, file notes, people and organisations.

An example of this is where a trade union, under orders from a court or the Fair Work Commission must notify ABCC of their intention to exercise a Right of Entry to a site or sites managed by a particular head contractor. Using the project entity, Investigators are able to link all relevant sites, people, organisations, documents, enquiries/information, Stakeholder Engagement and site visits. If a breach occurs, the investigation can be linked and all the relevant historical records are easily accessible in the system.

Another example may be where a presentation strategy has been implemented to communicate major changes in legislation. All Stakeholder Engagement, organisations and people can be linked to the main project entity record.

Contact Planning & Performance if you need assistance.

Linked Entities

Remember to use the select button when creating links between the project record and other records in AIMS. **Do not** create new records via the project datasheet.

Section 14 - Legal Matter Entity

Creating a new Legal - Matter

All legal matters will be created **automatically** once the lawyer approves the pending action "refer brief to internal legal" is approved.

Follow the process below to allow the system to create legal matters automatically. Open the **action from your browser**.

Date Actioned	Tick the Date Actioned box
Status	Change the Status from Requested to Approved
Linked Investigation	Click on the Investigation Tab and change the Status from Investigation to Legal & tick the Create Legal Matter? Box & click Save

The automatic creation of the Legal Matter in the System will take up to 2 hours, once it is created you can open it and fill in the details below.

Details Tab

All blue field names are mandatory fields and must be completed otherwise the entry cannot be saved.

Matter Number	This number is generated automatically by the system to give each record a unique number. You don't need to worry about this or use it
Matter Name	This is the name the matter will be referred to as. You must enter the Investigation number along with the site name, location and main allegation. For example "INV123 – Spirit Power Station – Kununurra – UIA"
Legal Officer	Select your name from the drop down code list
State	Select the state the matter is currently occurring in
Matter Type	This refers to the kind of matter the record is: a <i>Matter</i> , an <i>Intervention – Court</i> , or a <i>Submission – FWA</i> . Legal Proceedings are Matters.
Litigation Stages	Select the current litigation stage for the matter. This field will need to be updated as the matter progresses. For more detailed information on what the different stages are refer to the appendix in this document Litigation Stage – Reference Note .
Date of Incident(s)	This is the date of the original incident. This date can be found under the related investigation. If the investigation refers to a series of incidents on several dates, enter the date of the first incident.
Complaint Date	This is the date the date the complainant contacted the Australian Government. You can find the complaint date on the Information entry linked to the investigation. (NB: The date may be different to the incident date).
Site Name	Enter the name of the site or sites the alleged breaches occurred at.
Possible misuse of safety to access site?	Investigators are to discuss spurious safety issues with their Team Leader. Only Team Leaders and P&P can tick the "Possible misuse of safety by union to gain right of entry?" box.
Date Referred to Legal	Record the date Operations referred the matter to Legal. In the case of matters that have been referred directly to Legal without an investigation, enter the date Legal were first given the matter.

Days Since Complaint This field automatically calculates the number of days between the complaint date and the current date. This field is to assist you in meeting the Portfolio Budget Statement KPI of 75% of matters being filed in court within 18 months of a complaint being received.

Days Since Referral This field automatically calculates the number of days between the referral date and the current date.

Main Allegation This field describes the overarching allegation in the matter. For example, if a matter involves multiple contraventions relating to coercion and one contravention relating to right of entry, you will select coercion. You must select a main allegation for all matters, including interventions and penalty proceedings.

TRIM File Number Each time you create a new Matter record you will need to order a TRIM File. As the matter progresses to litigation a new part to the TRIM file should be ordered.

Agency Name This field defaults to ABCC. It is used to differentiate between old Building Industry Taskforce, ABCC 2005 – 2011, FWBC and ABCC matters in the system. **Do not** change this field.

Matter Tab Allegations Enter succinctly the allegations relating to the matter. Keep in mind the golden rule of 25 words or less as this information appears on regular reports to the Executive Board and internal senior management.

Matter **Contraventions Identified**
Enter the contraventions you identify in the brief. It is important to cite the specific sections of legislation in this format: s.35 BCIP Act; s.767 FW Act. Each section should be separated by a semi-colon.

Matter Progress Summary
Concisely record details on any action you have taken to progress the matter within the last 4 to 6 week period. Entries must begin with a date and specify due dates for any action. Ensure Counsel's full name is entered. There should be no references to simply "Counsel". This will avoid inevitable questions about who "Counsel" refers to. The information recorded in this field appears on all many internal and external reports so it is vital it is updated regularly and is succinct. Save this information as a file note for historical reference and so the field only contains the most recent information

Date finalised no litigation commenced
Select the date management made the decision not to litigate this matter. You will also need to **complete two actions** "Return Brief to Ops" and "Close Legal Matter"

Reason matter finalised
Select the reason the matter was finalised without litigation being commenced.

Ext Solicitors Select the panel law firm or internal solicitor engaged to act on behalf of the agency

Counsel Enter the names of all counsel briefed on the matter. This information is reported to the OLSC.

Penalty Proceeding Tab

Proceeding - Case Name Enter the Case name as it appears on the Application, prefixed with the INV number

Proceedings Commenced

Select the date the application was filed with the Court

Months from Complaint to Filing date

This field automatically calculates the number of months from the complaint date to the date the application was filed in the court.

Proceeding: Court File Number

Enter the court file number as specified by the Court

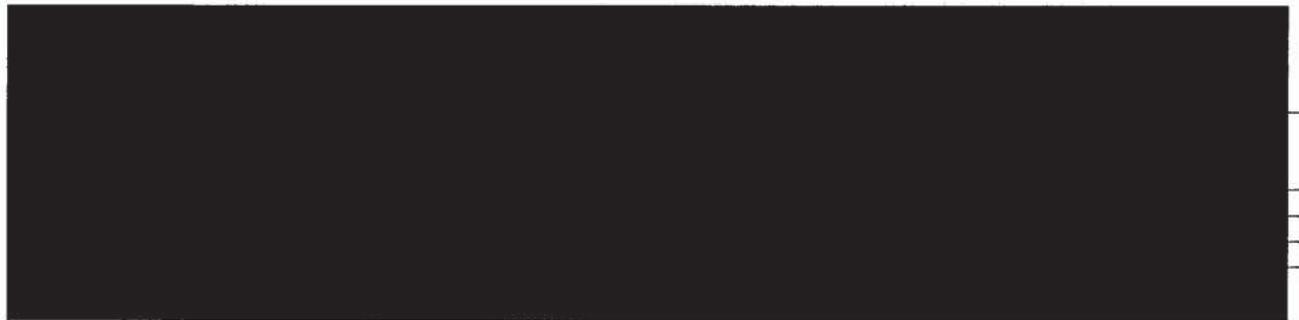
Proceeding: Jurisdiction Select the Court in which the matter is being heard

Proceeding: Presiding Select the member hearing the matter in the Court

Proceeding: Contraventions Identified

Enter the contraventions identified in the statement of claim

This information should be recorded under the **Penalty Proceeding tab**, in the **Proceeding: Contraventions Identified** field.



Proceeding: Summary Concisely record the steps taken during the Court process. It is important to include hearing dates, due dates for any action etc. Save this information **regularly** as a file note for historical reference and so the field contains only current information

Date Heard Select the date the matter was last heard in the Court

Next day in Court Select the date of the next hearing

Respondent Type Select the classification of the respondent/s from the drop down menu. The information is used to generate statistics and comply with reporting requirements. There are nine classifications available in the drop down selection box:

Respondent type	When to use
Employer	The respondent is a person or business employing one or more people as per the definition of <i>'building employer'</i> in the BCII Act.
Employee	The respondent is a person engaged to perform work by another person or business as per the definition of <i>'building employee'</i> in the BCII Act.
Union / Union Official	Unions and/or; Union officials who are acting in their capacity as a union organiser or delegate.
Union / Union Official and Employer	Unions and/or; Union officials who are acting in their capacity as a union organiser or delegate; and Employers
Union / Union Official and	Unions and/or;

Employee	Union officials who are acting in their capacity as a union organiser or delegate; and Employees
Union / Union Official and Employer and Employee	Unions and/or; Union officials who are acting in their capacity as a union organiser or delegate; and Employers ; and Employees
Employer and Employee	Employers ; and Employees (as per the definitions of 'building employer' and 'building employee' in the BCII Act.)
Government	The respondent is a government department or agency or person employed by a government department or agency to act in their capacity as a government employee.
Other	The respondent does not fit into any of the preceding classification types. Please see your regions Legal manager for clarification before using this classification.

Area This is the location the incident occurred at. This information is used for generating statistics and reporting requirements.

Legislation Select the legislation (BCII Act, BCIP Act, WR Act, IC Act or a combination) the alleged contraventions fall under

Settlement Reached? Select either yes or no depending on whether or not there has been an admission to contravention or agreement to penalty.

Type of Settlement Reached

If 'yes' was selected in the Settlement Reached field above, select either 'Admission of Contraventions', 'Agreement to Penalties' or "Admission of Contraventions and agreement to penalties".

Results

Select from the four drop down selections:
- **Successful** – the court found in favour of the ABCC
- **Unsuccessful** – the court did not find in favour of the ABCC
- **Discontinued** – The proceeding was discontinued or withdrawn.
- **Ongoing** – the matter is still before the court or tribunal.

Result Type

If 'successful' is selected in the 'Result' field above, specify the outcome, either 'penalties', 'suspension of permit' or 'declarations'.

Date Final Decision Handed Down

Enter the date the judgement was handed down. If there is a penalty judgment, use that date, if there is no penalty judgment, use the liability judgment date. You will need to complete two actions, "Return Brief to Ops" and "Close Litigation"

Intervention / Submissions / Applications Tab

Remember to update both the DETAILS and MATTER tabs when creating and updating an intervention/submission record

Intervention / Submission: Case Name

Enter the name of the case as it appears on the application

Notice of Intervention / Submission Date

Enter the date the notice was filed with the tribunal or Court

Intervention / Submission: Court File Number

Enter the court file number as specified by the tribunal or court

Intervention / Submission: Jurisdiction

Select the court or tribunal the matter is being conducted in

Intervention / Submission: Presiding

Enter the name of the presiding member hearing the matter

Intervention/Submission: Contraventions identified

Record the alleged contraventions of the matter as identified in the statement of claim

Intervention/Submission: Summary

Concisely record the steps taken during the court or tribunal process. It is important to include hearing dates, due dates for any action etc. Save this information regularly as a file note for historical reference and so the field contains only current information

Outcome of Right of Entry Permit Submission or Application

P&P select from the drop down code list the outcome of the permit application or submission to revoke, restrict or suspend a current permit.

Intervention/Submission Date Final Decision Handed Down

Enter the date the intervention/submission proceeding was finalised with the Court or Tribunal.

Appeal Tab

Remember to update both the DETAILS and MATTER tabs when creating and updating an Appeal record

Appeal: Case Name

Enter the name of the matter before the court. Be sure to include all respondents.

Date Appeal Lodged

Enter the date the appeal was entered

Appeal: Court File Number

This is the number allocated by the Court

Appeal: Jurisdiction

This is the court or tribunal where the case will be heard

Appeal: Presiding

Enter the name of the member of the tribunal or court conducting the hearing.

Nature of Appeal

Enter the key points for the appeal being lodged

Appeal: Summary

This field is to record information on developments in the appeal. Entries should always begin with a date. Details on milestone dates detailed in orders issued by the court should be updated on an ongoing basis, such as hearing dates and due dates. Keep in mind that the entry should be kept as brief as possible as the text will show up on the reports to the Executive Committee.

Appeal – Date Final Decision Handed Down

Enter the date the Appeal proceeding was finalised in the Court

Penalties and Costs Tab

Penalties Awarded? Select either yes or no depending on whether penalties were awarded.

Total Penalties Awarded Enter the total penalty amount as a number only, no punctuation.

Total Penalties Suspended

Enter the total penalty amount suspended as a number only, no punctuation.

Total Penalties Paid to Date

Enter the amount of penalties paid to date. This is used to record where multiple respondents have to pay penalties so we can keep track of what is owing to the courts.

Penalty Details

Enter in the penalty details of the decision including a total and details of penalties for each respondent.

Contravention Break down of penalties awarded

Record the amounts of penalties awarded by contravention in the fields below. Calculate the total awarded for each contravention based on the overarching category i.e. s.497 and s.500 would both be totalled and recorded in Right of entry penalties. Penalty amounts should be recorded as numbers only – no punctuation needed.

The totals of all these fields should sum to the total penalties awarded amount recorded above.

If you record an amount in “**Other Penalties**” you must specify the type in the field below called “Other Penalty Type”.

Penalties to be paid by Enter the date in which penalties must be paid by

Status of Penalties Select either ‘*penalties paid*’ or ‘*penalties to be paid*’

Date Penalties Paid Enter the date the penalties were paid on

Costs Awarded? Select either yes or no depending on whether costs were awarded.

Total Costs Awarded Enter the total amount awarded for costs (including multiple costs orders)

Date Penalties Awarded Enter the date penalties awarded

Estimated Date for Costs to be paid by

Enter the date in which costs are to be paid by

Costs Details Enter in the costs details relevant to the proceeding.

Status of Costs Select either ‘*Costs paid*’ or ‘*Costs to be paid*’

Date Costs Paid Enter the date the Costs were paid on.

Compensation awarded? Select from the drop down code list

Total Compensation Awarded

Enter the amount of compensation that has been awarded as a number with no punctuation

Compensation Details Enter the details of the compensation order

Date Compensation awarded

Enter the date of the compensation order

Date Compensation becomes payable

Enter the date the compensation should be paid by

Status of Compensation Select from the drop down code list

Date Compensation Paid Enter the date the compensation was paid.

Linked Entities

Information Link the information entity record to the Legal matter – this is important for submissions or applications in FWC matters as the ENQ number will be used for invoices.

Investigation Link the investigation if this legal matter is the result of a formal brief referral from Ops

File Notes File notes will allow you to save the previous status updates from your legal matters as well as links to counsel's advice, correspondence, orders and decisions.

Below is a list of some of the document types you are able to choose from:

- File note
- Briefing paper
- Evidence matrix
- General correspondence
- Show cause letter
- Legal – Additional advice
- Legal – Advice
- Legal - Direction
- Legal – external advice
- Legal – past summary status
- Caution letter
- Indemnity letter
- Witness statement
- s.52(c)
- Compliance powers s.52 (d)
- Compliance powers s.52 (e)
- Legal – Statement of claim
- Legal - Application
- Legal – Affidavit
- Legal – Notice of Intervention

Actions Some actions will be created within the Legal – Advice record and some within the Investigation record. A refer brief to legal action must be linked to **ALL** legal matters that have been referred from Ops. See [Section 6](#) for more information.

Person Link all suspects/respondents to the legal matter here. ALL respondents **MUST** be linked to each matter before the courts

Organisation Link all suspects/respondents to the legal matter here. ALL respondents **MUST** be linked to each matter before the courts

Legal Matter Link to other legal matters if they are relevant to this legal matter.

Legal Advice Link to any legal advice – non litigation work records that relate to this legal matter

Compliance Powers This linking is completed by the Examinations Coordinator

Site Link to the relevant site that the alleged offence occurred at, if relevant.

Section 15 - Compliance Powers

Entries to the Compliance Powers entity should be completed once a notice has been issued. Records are created and reviewed by the Hearings Coordinator.

Creating a new record

To create a new compliance powers record, right-click on Compliance Powers in the entity list and select new.

The information recorded in AIMS accurately records the details in the application, affidavit and notice. A new record is created for each notice even if the witness is the same.

There are five mandatory fields highlighted in **blue** that must be completed before the record can be saved.

Details Tab

Provision	Select the provision under which the notice has been issued. This Information is listed on the notice.
Notice Number	This number assigned to each witness by the Hearings Coordinator. The number is a combination of agency abbreviation, calendar year and sequential number of notices issued
Investigation Name	Enter the name of the investigation, ensuring it is prefixed with the INV number. The name should match that of the linked investigation.
State	Select the state of the investigation. This may or may not be the same as the location of the examination.
Witness Name	Enter the name of the witness as it appears on the notice.
Witness Classification	Select from the code list drop down the classification of the witness. Witnesses who hold positions classified as management should not be classified as employees.
Company Name	Enter the name of the company
Commonwealth Ombudsman Notified of Examination?	Select 'yes' once the Commonwealth Ombudsman has been notified that a notice has been issued. Notification to Commonwealth Ombudsman Enter the link to the letter notifying the Commonwealth Ombudsman that a notice has been issued.
AAT Presidential Member	Enter in the name of the Presidential Member who issued the notice
Notice Issued	Select the date the notice was signed. It is not the examination or production date. The tick box must be selected before the date can be changed.
Notice Served	Enter the date as found on the Record of Service completed by the investigator who served the notice.
Case Officer	Select from the code list drop down the name of the investigator assigned the investigation.
Legal Officer	Select from the code list drop down the name of the lawyer assigned to the investigation
File Number	Enter the number at the top of the TRIM file beside the barcode. Each use of the compulsory powers requires a separate TRIM file. This TRIM file is ordered by the Hearings Coordinator.

Examinations Tab

Examination Location	Select from the code list drop down the location the examination will be conducted at, as specified on the notice. This may or may not be the same location the investigation is being conducted in. If the location is not in the list contact Planning & Performance in the first instance to remedy.
Examination Address	Enter the address as specified on the notice.
Examination Date	Enter the date the examination is to be held on as per the notice.
Examination Time	Enter the time of the examination as per the notice.
Examination Conducted	Select from the code list drop down whether or not the examination was conducted. It is very important that this information is recorded as soon as practicable after the examination commenced. Reason Examination NOT conducted. If the examination does not proceed, select from the code list drop down the reason why. If the reason is not reflected in the code list options contact Planning & Performance in the first instance to remedy.
Presiding	Select the presiding officer from the code list drop down.
Investigator Present	Select the investigator present at the examination from the code list drop down.
Legal Officer Present	Select the ABCC legal office present at the examination from the code list drop down.
Counsel Assisting	Enter the name of Counsel assisting ABCC with the examination. They must be the counsel attending the examination on behalf of ABCC, not the legal representative of the witness.
Legal Representative	Select from the code list drop down whether or not the witness had their own legal representation.
Legal Representative Details	Enter the name of the witness' legal representative and include any contact details such as law firm name and address
Interpreter Used	Select from the code list drop down whether or not an interpreter was used during the examination.
Language of Interpreter	If an interpreter was used, enter the language spoken by the witness and interpreter.
Duration of Interpreter Use	If an interpreter was used, enter the approximate duration the interpreter was engaged for. This information is used when approving expenses relating to the examination.
Link to video recording	Insert the DC link to the saved recording.
Comments	Any comments entered into this text field will show up on the Compliance Powers report. Comments about notices being re-issued; if a witness was unable to be served etc. are acceptable.

Documents / Information Tab

Production Date Enter the date specified in the notice that the documents need to be produced by.

Production Location Enter the address where the documents will be produced by the specified date.

Date information to be provided by

Record the date the information needs to be provided by as per the notice.

Date documents to be produced by

Record the date the documents need to be provided by as per the notice.

Certified copies of documents supplied?

Select from the code list drop down whether or not certified copies of the documents were provided.

Certified copy of documents

Insert the DC link to the scanned documents provided.

Letter of Receipt Provided

Enter the date of the letter confirming receipt of the documents provided.

Certified Copies Provided If certified copies were provided tick the box. If certified copies were not provided leave the box blank.

Notes Enter any commentary or information relating to the production of documents or information in this field.

Compliance Administration Tab

Status Select from the code list drop down the current status of the examination. The options are:

Upcoming The examination has been scheduled but not yet conducted;

Adjourned The examination has been adjourned to a date to be fixed;

Discharged The examination has been conducted but the investigation is still ongoing;

Concluded The examination has been conducted and the investigation has either been closed or proceedings have commenced;

Withdrawn The notice has been withdrawn.

Outcome Select from the code list drop down the current outcome of the examination. The options are:

Investigation Ongoing The investigation is current or the brief of evidence is being assessed for litigation prospects;

Investigation closed with no proceedings issued

The investigation has been closed and no litigation commenced.

Proceedings commenced, case currently before the courts

The matter has been filed in court. The Legal Matter is at litigation stage 04, 05 or 08;

Proceedings finalised The matter has been finalised in the court. The Legal Matter is at litigation stage 06, 07 or 09;

Referred to External Agency

The investigation has been formally referred to an external agency;

No further action There is no further action required on this examination

Notice Insert the DC link to the scanned notice.

- Covering Letter** Insert the link to the scanned covering letter.
- Report sent to Commonwealth Ombudsman?**
Select from the code list drop down whether or not the report has been sent to the Commonwealth Ombudsman. This is a very important part of exercising the compliance powers.
- Report to Commonwealth Ombudsman**
Insert the DC link to the report sent to the Commonwealth Ombudsman.
- Link to Transcript** Insert the DC link to the transcript once it has been reviewed by the investigator and lawyer present during the examination.
- Transcript Provided** Enter the date the witness and their legal representative (if they had one) were sent a copy of the transcript.
- Transcript Verified** Enter the date that the final version of the transcript was accepted by the witness and/or their legal representative.
- Expenses paid?** Select from the code list drop down whether or not any expenses were reimbursed for by ABCC on behalf of the witness.
- Details of expenses paid** Record the details of all expenses reimbursed by ABCC by individual expense and cost.
- Legal Matter Name** If the investigation is referred to legal, enter the matter name as it appears on the linked legal matter record in AIMS. This information is vital for statistical and reporting functions. Be sure to prefix with the correct INV number.
- Legal Proceeding Name** If litigation is commenced from the legal matter, record the proceeding name as it appears in the Penalty Proceeding: Case name field in the linked legal matter record. This information is vital for statistical and reporting functions. Be sure to prefix with the correct INV number.

Links to Compliance Powers Records

It is very important that the linking between a compliance powers record and the investigation/legal matter is completed. This information is requested frequently for senate estimates and is used in the Annual Report. Linking the investigation to the compliance powers records is a mandatory link and must be completed prior to the record being saved.

- Related Investigation** Click on the Select button and find the relevant investigation using the INV number. Once found in the list click ok and the records will be linked.
- Legal – Advice** This link is only used when the lawyer has created a legal – non litigation work record. As above click on Select, find the relevant non-litigation work record and click ok. The records will be linked together
- Legal Matter** Click on the Select button and find the relevant legal matter using the INV number in the Matter Name field. Once found in the list click ok and the records will be linked.

Section 16 - Legal – Non Litigation Work Entity

The Legal – Non Litigation Work entity has been created to record all non-litigation and pre-referral work such as preliminary requests for advice, freedom of information requests, briefs relating to legislation changes, official correspondence, and guidance notes etc.

Formal brief referrals from Operations to Legal are recorded as a Legal – Matter not as Legal - Non Litigation Work.

Adding a new Legal – Non Litigation Work

The Advice Tab

Advice Name	This is where you record the name of your advice. Keep the name short and simple. You won't need to refer to who the request has come from as this information is recorded further down
Status	Lawyers can now have the option to select Open or Closed
Legal Officer	Select your name from the drop down code list
Investigation Team	Select the team you are undertaking the pre brief work with.
Date Requested	Select the date you received the request
Final Submission Date	This is the date the finished advice was sent to the requesting officer.
Requesting Officer	Select the requesting officer's name from the list. If the person does not appear on the list contact the Performance Analysis Unit to have the list amended. You won't need to fill this in if it is a FOI request
Source	Select the requesting officer's business group. You don't need to fill this in if it is a FOI request
Summary	This field you can updated the status of the pre brief work
Comments	This is where you can record your progress on the advice and a brief summary of what the advice is about. You are able to record more detailed notes as a File Note if you choose to.
Documented Advice	This field allows you to link to the saved document in DC.

The FOI Tab

The FOI Tab Number	Enter the number of the FOI Request in this format FOI10/2011
Name of FOI Matter	Enter the name of the FOI request
State	Select the state the FOI Request originates from
Date Request Received	Enter the date the request was received by the ABCC
Requested By	Enter the name of the person or organisation making the request
Documented Request	Scan the original FOI letter, save it into DC and link to it here
Acknowledging Request Correspondence	Scan the original correspondence signed by the ABCC FOI officer, save it into DC and link to it here
Associated Parties in relation to information	Record the details of any associated parties to the request
Period of Consideration	Enter the date range the request must be actioned within. This can be amended if an extension is granted

Status	Once the request has been actioned, select the outcome from the drop down
Date Request Actioned	If applicable; enter the date the request was actioned by
Date Request Withdrawn	If applicable; enter the date the request was withdrawn
Date Request Refused	If applicable; enter the date the request was refused
Documented Response	Scan the documented response, save it into DC and link to it here
Date Documents release	If applicable, enter the date the documents were released
Charges	This field will default to no charge as per the change to the FOI Act. Old FOI requests will have information relating to the fees charged at the time
FOI External Solicitors	If applicable, select the law firm with carriage of the FOI matter on behalf of the ABCC
Original Decision Affirmed	If applicable, select whether the original decision was affirmed or not
Addressed by Internal Review	Select yes or no from the drop down
Addressed by Information Director	Select yes or no from the drop down
Addressed by Commonwealth Ombudsman	Select yes or no from the drop down
Addressed by Administrative Appeals Tribunal	Select yes or no from the drop down
Other Relevant Information	Record any other relevant information you think necessary
FOI Comments	This field is append only – whatever you enter cannot be deleted or edited. Record all milestone events on progressing the FOI matter and any decisions made.
Linked Entities	
File Note	Use file notes to record pieces of correspondence, phone calls or links to decisions and advices.
Investigation	Link to the relevant Investigation remembering to use the Select button
Legal – Matter	Link to the Legal Matter record if the advice relates to either a formal brief referral from Ops or submissions or applications in the Commission.
Organisation	Link to the relevant Organisation remembering to use the Select button.
Person	Link to the relevant Person remembering to use the Select button.
Compliance Powers	This linking is usually completed by the Examinations Coordinator

Section 17 Building Code Group – Agreement Entity

The Agreement entity is used exclusively by the Building Code Group to record enterprise agreement assessments for industry. Once the enterprise agreement is received by ABCC and it will need to be logged in AIMS.

Agreement will be submitted via online form, all the details in the contact tab will be pre populated from the online form. BGC support/Admin to check all fields to ensure correctly imported.

Contact Details tab

If the online form import is not working these fields will need to be filled in.

Date Received	Tick the box and enter the date ABCC received the enterprise agreement to assess
Title	Enter the name of the agreement to be assessed
Name	Enter the name of the person requesting the assessment
Position	Enter the position title held by the person requesting the assessment
Email Address	Enter the email of the person requesting the assessment
Telephone	Enter the telephone number of the person requesting the assessment – numerals only
Mobile	Enter the mobile number of the person requesting the assessment – numerals only
Fax	Enter the fax number of the person requesting the assessment – numerals only
Postal Address	Enter the street address supplied by the person requesting the assessment
Town/City	Select the postal address suburb from the drop down code list
State	Select the postal address state from the drop down code list
Postcode	Enter the postcode for the postal address – numerals only
Entity Name	Enter the entity name of the organization requesting the assessment
Business Name	Enter the business name requesting the agreement assessment
Trading Name	Enter the name the business trades under for the business requesting the assessment
ABN	Enter the ABN for the business requesting the assessment – numerals only

Application tab

Type of Assessment

Select the type of assessment from the drop down; draft agreements will not have a nominal expiry date, agreement number or agreement made date

Type of Assessment	When to choose the type
Draft Agreement Assessment	draft agreements will not have a nominal expiry date, agreement number or agreement made date. If the agreement is a variation of a registered agreement but the variation itself has not been approved this should be classified as a draft agreement.
Registered Agreement Assessment	Includes registered agreements and registered variations.
Pre 18 May 2016 Agreement	Where the date of approved prior to 18 May 2016.

Reference Code	This is a prepopulated field
Agreement Name	The agreement name comes across from the imported form; this can be amended to give the agreement a unique identifier
Nominal Expiry Date	Enter the nominal expiry date listed in the agreement (if applicable)
FWC Agreement Number	Enter the Agreement number issued by the Fair Work Commission or its predecessor tribunals or related state entities
If not draft, date agreement made	This date comes across from the imported form.

BCG Triage tab

The screenshot shows a software interface for 'BCG Triage'. On the left is a sidebar with a 'Select...' dropdown and a list of fields: BCG Member, Status, Reassessment, Triage Performed, Expedited, Priority, Priority Override, Triage Comments, Task Size, Pattern Agreement, and Pattern Conformity Comments. The main area has a large blacked-out box covering the top half, with several horizontal lines below it, and a few more lines at the bottom.

- BCG Member** This will be automatically allocated to Matt Scholz, the triage officer will reallocate the BCG member after completing the triage of the agreement.
- Status** This defaults to Open and should be updated to closed once the Building Code Legal Manager has approved the Assessment outcome action.
- Reassessment** This will default to No, if a reassessment of the agreement select the number.
- Triage Performed** After the triage officer has assessed the task size, pattern and priority of the agreement, and identified any similar agreements, they will tick this box.
- Expedited** If the triage officer agrees to expedite an agreement this box will be checked.
- Priority** This will be automatically filled from other information entered into AIMS.
- Priority override** If the agreement’s urgency does not correspond with its automatically allocated priority (e.g. it is currently priority 4, however the triage officer thinks it ought to be done before all other agreements, and thus be assigned priority 1) then the ‘priority override’ box may be ticked. This will allow the priority to be manually allocated.
- Triage Comments** Triage officer will explain any decisions (e.g. to expedite, or to override the priority) or note any comments relevant to the assessor in this box.
- Task Size** From the drop down select the size based on the size of the assessment task (e.g. non-pattern, longer, lack of similar agreements will suggests a larger task size).
- Pattern Agreement** From the drop down select the appropriate pattern (if relevant). If the pattern agreement is not in the drop down email P&P.
- Pattern Conformity Comments** At the end of a pattern assessment the assessor should note the key ways in which it departed from the pattern agreement that they used. E.g. “Clauses 13, 17, and 21 contained different wording from CFMEU QLD General Building and Construction Pattern as seen in AGR2: however, this did not change compliance outcome”.

Assessment

Assessment	When to choose the assessment
Compliant	No non-compliant clauses found
Non - Compliant	Non-compliant clauses were found
Compliant – Implementation Only	Only implementation (and compliant) clauses were found
Agreement was made prior to 18 May 2016	Not assessed

Date Final Correspondence Sent Enter the date the final correspondence was sent to the person requesting the assessment

Linked Entities

Organisation and Site Select existing organisations and sites that will either be party to the agreement or covered by the agreement. Remember to Click on Select FIRST, then search for the existing record

File Notes Use file notes to link the enterprise agreement for assessment, record any correspondence, decisions, directions or notes you have made during the assessment of the agreement. File notes within an agreement are used from Entry Type then choose an entry sub type.

Drop-down category	Description
Incoming	Emails from external stakeholders regarding the agreement.
Enterprise Agreement	The actual agreement file, saved in Document Centre. Adobe Acrobat Pro used to recognise text prior to saving if it is a scanned file.
Request for Assessment	The email or smart form containing the agreement details.
Request to Expedite	Communications requesting expedition.
General Enquiry	Communications that do not fit into other categories.
Status Request	Communications requesting a status update (i.e. when will the agreement be finished?) If pressure is being exerted to accelerate the agreement, instead categorise this as a request to expedite. If the email is threatening legal action due to the assessment time, categorise this as legal correspondence.
Submissions	Communications contesting the merits of the assessment. If the submission isn't accompanied with changed clauses, the submission can be attached to the existing AGR. If, however, there are changes, a new AGR entity should be created, with the communication containing arguments about the merit of the assessment attached as a submission and a note in the triage box that there are submissions on certain clauses for the consideration of the assessor.
Outgoing	
Assessment	The initial assessment issued to the stakeholder should be attached here. The email with (if relevant) the assessment table and letter of compliance attached to it is sufficient.
Review	A <i>review</i> is where the assessment changes in response to a submission. This category should not be used if the submission is altogether denied.
Rectification	A <i>rectification</i> is where the agency internally, or as a

	result of communications with a different stakeholder, decides to change its approach to a particular clause and so issues an email advising of a change in the assessment. This should not be used for a response to a submission.
Other Response	Other response should be used for all other correspondence, not limited to responses to submissions where denied; status requests; general enquiries; and requests to expedite (regardless of outcome).

Clauses

The Clause tab allows you to record all clauses within the enterprise agreement which are inconsistent with the Building Code. Using this correctly will populate the Inconsistencies table which is provided to the recipient to detail which clauses are inconsistent with the Code and why. You will need to select a new for each clause within the agreement which has been deemed inconsistent.

HOW

1. Click on the *Clauses* tab
2. Select the Organisation first by clicking on the **Select** button and using the Find dialogue to search for the correct Organisation
3. Clause Assessment select from the drop down the relevant assessment.
4. On the Clause details tab enter the **Clause Number** within the enterprise agreement
5. Copy and paste the **Clause Title** from the enterprise agreement
6. Copy and paste the **Clause Wording** from the enterprise agreement
7. In the Comments field specify why the clause is inconsistent with the Building Code. Use the library of clause responses stored on the BCG intranet page if appropriate
8. Click on the **Building Code Section** sub tab
9. Tick the boxes (you can tick multiple boxes) for any of the relevant clauses within the Building Code where the enterprise agreement clause is deemed to be inconsistent
10. Click on **NEW** for EACH NEW INCONSISTENT ENTERPRISE AGREEMENT CLAUSE
11. Remember to click on Save frequently to preserve your work

Action Actions are used within the Enterprise Agreement Entity to monitor the progress of the assessment. Below are the 4 Actions that can be used.

Enterprise Agreement – Assess

The junior assessor *self-allocates* based on the priority and size of the task. However, for record-keeping purposes, they enter in the 'triage officer' as the requester. The junior assessor must check the triage comments, pattern details, and the file notes to ensure that no pertinent information exists there. The junior assessor approves these actions when they have finished their assessment.

PERSON RESPONSIBLE	FIELD	INFORMATION TO RECORD
Junior Assessor	ACTION DETAILS TAB	
	Action Requested	Enterprise Agreement - Assess
	Requested by	Select the triage officer's name from the drop-down list.
	Date Requested	Tick the date box for the current date
	Due Date	Select a date 6 weeks in the future
	Details	Type in any relevant details to assessment. If these are in triage box, perhaps just write 'see triage box'.
	Team Leader	Select the name of the junior assessor from the drop down code list
	DOCUMENTS TAB	
	Document Title	No documents should need to be linked – they are linked to the agreement.
	Description	
Link to Document		
Junior Assessor	ACTION DETAILS TAB	
	Date Actioned	Tick the date box and ensure it reflects the date of that you finished the assessment.
	Status	Select from the drop down code list "approved".

Enterprise Agreement – Review

Junior Assessor creates this action when they have finished their assessment. The senior assessor will approve these actions when they have finished reviewing the assessments.

PERSON RESPONSIBLE	FIELD	INFORMATION TO RECORD
Junior Assessor	ACTION DETAILS TAB	
	Action Requested	Enterprise Agreement - Review
	Requested by	Select your name from the drop down list
	Date Requested	Tick the date box for the current date
	Due Date	Select a date 6 weeks in the future
	Details	Type in any relevant details to the review. Particularly, comments about clauses that the junior assessor is uncertain about, etc.
	Team Leader	Select the name of senior assess from the drop down code list
	DOCUMENTS TAB	
	Document Title	Enter the title of the document you are linking (e.g. AGRXXX – Agreement Assessment)
	Description	Enter a short description about what the document contains. You may also note how you have communicated any concerns about the agreement or assessment (e.g. I am uncertain about the assessment of five slightly new clauses however have attempted an assessment. Please refer to my reasoning and alternative clause assessments in the comments bar.)
Link to Document	Create the link to the saved document in DC.	
Senior Assessor	ACTION DETAILS TAB	
	Date Actioned	Tick the date box and ensure it reflects the date of that you finished the review. The action should only be approved after the reviewer is ready to action to the TO or AAM, and therefore all necessary revisions should have been made by the junior assessor (alternatively, the senior assessor may prefer to append their own comments onto the junior assessor's comments.
	Status	Select from the drop down code list "approved".

Enterprise Agreement – Second Review

Junior Assessor creates this action when they have finished their review and the junior assessor has made all necessary amendments. The Triage Officer/Agreement Assessments Manager will approve these actions when they have finished reviewing the assessments.

PERSON RESPONSIBLE	FIELD	INFORMATION TO RECORD
Junior Assessor	ACTION DETAILS TAB	
	Action Requested	Enterprise Agreement - Review
	Requested by	Select your name from the drop down list
	Date Requested	Tick the date box for the current date
	Due Date	Select a date 6 weeks in the future
	Details	Type in any relevant details to the review. Particularly, comments about clauses that the senior assessor is uncertain about, etc.
	Team Leader	Select the name of triage officer/agreement assessments manager from the drop down code list
	DOCUMENTS TAB	
	Document Title	If you so choose (e.g. assessors are in different states, or prefer to use electronic copies of the assessments), enter the title of the document you are linking.
	Description	Enter a short description about what the document contains
Link to Document	Create the link to the saved document in DC or a shared drive	
Triage Officer/Agreement Assessments Manager	ACTION DETAILS TAB	
	Date Actioned	Tick the date box and ensure it reflects the date of that you finished the review. The action should only be approved after the reviewer is ready to action to the Legal Manager, and therefore all necessary revisions should have been made by the junior assessor.
	Status	Select from the drop down code list "approved".

Enterprise Agreement – Finalise

Junior Assessor creates this action when they have finished their review and the junior assessor has made all necessary amendments. The Triage Officer/Agreement Assessments Manager will approve these actions when they have finished reviewing the assessments.

PERSON RESPONSIBLE	FIELD	INFORMATION TO RECORD
Legal Manager Assessments	ACTION DETAILS TAB	
	Action Requested	Enterprise Agreement - Review
	Requested by	Select your name from the drop down list
	Date Requested	Tick the date box for the current date
	Due Date	Select a date 6 weeks in the future
	Details	Type in any relevant details to the review. Particularly, comments about clauses that the junior assessor is uncertain about, etc.
	Team Leader	Select the name of senior assess from the drop down code list
	DOCUMENTS TAB	
	Document Title	Enter the title of the document you are linking
	Description	Enter a short description about what the document contains
Link to Document	Create the link to the saved document in DC or a shared drive	
Agreement Assessments Manager/Legal Manager	ACTION DETAILS TAB	
	Date Actioned	Tick the date box and ensure it reflects the date of that you finalised the assessment. This should only be performed after any necessary correspondence with the junior assessor to change the content. The junior assessor will update the "Assessments" folder in the Draft folder of the Agreement Assessments inbox accordingly. After you are satisfied with these changes, send the email and approve the action.
	Status	Select from the drop down code list "approved".

Agreement

You have the ability to link related agreements together by using Select and finding the existing Agreement record. Two common types of related agreements are represented in the drop down 'Enterprise Agreement Link: Relationship'. Reassessment should be used between reassessments, including from the original assessment to the reassessment. Similar clauses denote agreements with similar content that are not patterns.

Section 18 Links and Link Charts

Links

To search for the links between entities in AIMS click on the Links symbol in the top left corner of the entity:



This button will show the links in a table form with the summary information in the upper half of the screen and the details of the link in the bottom half.

In the upper half of the screen, there are three separate windows: Links Summary; Link End Summary; and Link End Details. A link has two ends – the first end is the entity in which you clicked on the button, the end link details appear in the far right window.

The Links Summary gives the various types of links that have been created to the entity initially selected. The Link End Summary provides the information for the links of the selected link in the Links Summary window.

The Link End Details are then provided for the link that is selected in the middle window.

By clicking on the eye at right of the Link End Details, AIMS will display the datasheet for that end link entity.

Links Summary:	Link End Summary:	Link End Details:																											
<table border="1"> <thead> <tr> <th>Link Type</th> </tr> </thead> <tbody> <tr> <td>Investigation Actions</td> </tr> <tr> <td>Investigation Link</td> </tr> <tr> <td>Investigation to Orga</td> </tr> <tr> <td>Investigation to Persc</td> </tr> </tbody> </table>	Link Type	Investigation Actions	Investigation Link	Investigation to Orga	Investigation to Persc	<table border="1"> <thead> <tr> <th>Link End</th> <th>Count</th> </tr> </thead> <tbody> <tr><td> </td><td> </td></tr> </tbody> </table>	Link End	Count																					<div style="text-align: right;"> </div>
Link Type																													
Investigation Actions																													
Investigation Link																													
Investigation to Orga																													
Investigation to Persc																													
Link End	Count																												

Click on the eye to show the record again.

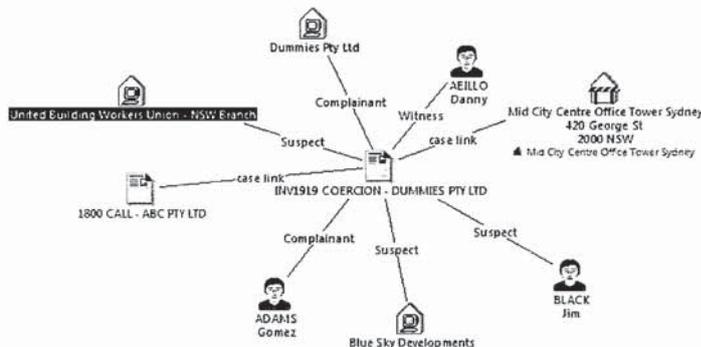


iBase Link Chart

Create a Link Chart by clicking on the chart symbol:



This gives a graphic representation of the direct links to the chosen entity. Planning & Performance have access to software which can provide reports on these links which can be included in reports and briefs of evidence. Contact Planning & Performance to access this information.



Section 19 Queries & Browsers

Queries

If you want to filter records in the database, build reports or extract data for analysis you first need to create a query.

To create a new query, right-click on either the icon of the entity you wish to build the query on, or on the query icon. If you selected the icon of the entity you wish to build the query on, that icon will appear in the lower part of the query screen, otherwise you will need to drag the icon of the entity onto the white part of the screen in the lower part of the main window.

A simple query can display all investigations where you have been allocated as either Case Officer 1 or Case Officer 2.

The Investigation entity icon should be placed in the lower half of the screen and the criteria entered into the top half of the screen. In this example, 'OR' has been used between the lines because you might be allocated an investigation as the primary or secondary officer.

	Field	Operator	Value 1	Value 2
	Case Officer 1	equal to	[redacted]	
OR	Case Officer 2	equal to	[redacted]	

Buttons: Insert, Delete, Repeat, ↑, ↓

Structure window: Information, Investigation, Legal - Matter. Workspace contains 'Investigation 1' icon.

Buttons: Results >, Close, Help

Click on Results to return all the investigations where it is true that your name appears in either of the Case Officer 1 or Case Officer 2 fields.

This query is the basis for your browser to show all your investigations.

If you want to further filter the list to show only current investigations, add a new line in the query which specifies the status of the investigation.

	Field	Operator	Value 1	Value 2
	Case Officer 1	equal to	[redacted]	
OR	Case Officer 2	equal to	[redacted]	
AND	Status	equal to	INVESTIGATION	

Buttons: Insert, Delete, Repeat, ↑, ↓

Structure window: Information, Investigation, Legal - Matter. Workspace contains 'Investigation 1' icon.

Buttons: Results >, Close, Help

You can save your query under the Query entity. Each AIMS user has their own query folder.

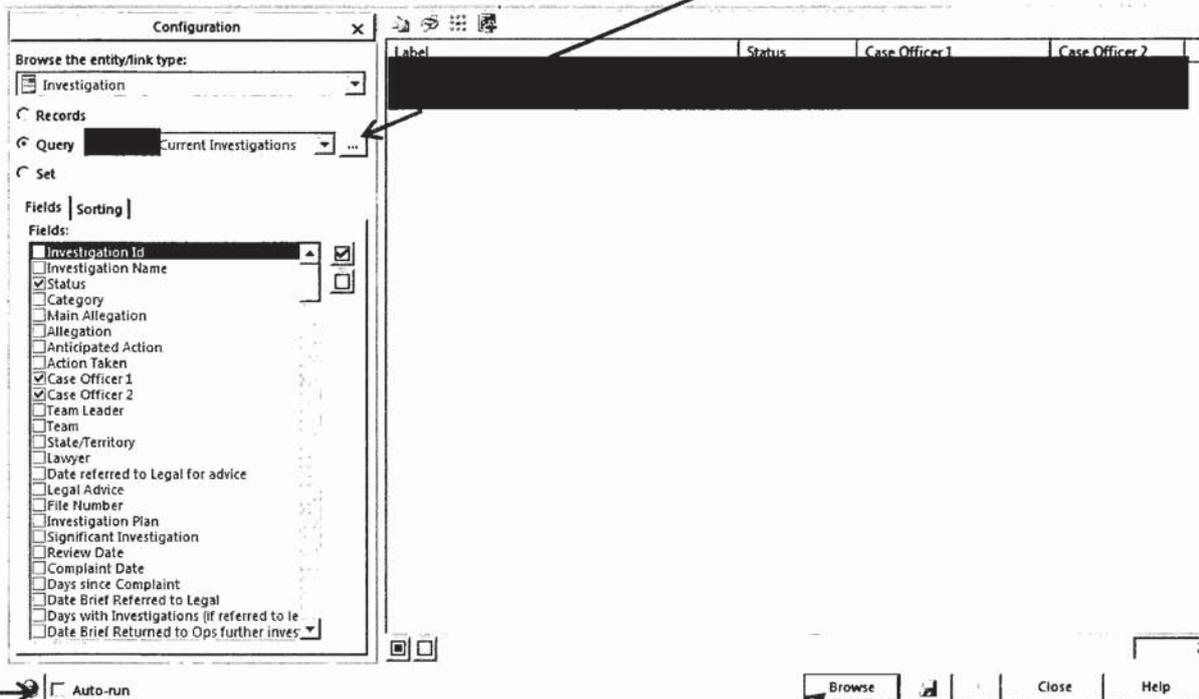
For more complex queries please see Planning & Performance.

Browsers

Browsers are used to display the results of a query, to show all records within an entity or display records within a set.

Once a query or set has been created, a Browse Definition can be created.

Create a new browse definition by right-clicking on the Entity icon (in this example "Investigation") and select "new". Select the query for that entity that you saved previously by clicking on the 3 dot button and locating the query in your folder.



Select the fields you want to display in the browser and click on Browse.

If you want the definition to run every time AIMS is opened, tick the Auto-run box. Be aware that selecting numerous definitions to run at the start will slow AIMS considerably when starting up.

If you require assistance setting up browsers please contact Planning & Performance.

Appendix

Legal Litigation Stages Reference Guide

Stage 00 - ABCC Litigation file referred back to Fair Work Building Industry Inspector.

You have requested the Fair Work Building Industry Inspector undertake further work which until provided prevents you from progressing the matter. Complete action "Return Brief to Operations – further evidence required" must be completed by you and approved by your State Manager.

Stage 01 - Potential ABCC Litigation Being Assessed

You are assessing the potential litigation and completing the steps necessary to send the matter out to prospects.

Stage 02 - Potential ABCC Litigation sent out for Prospects

You have sought and await advice from an external legal provider regarding the likely prospects of success.

Stage 03 - ABCC Litigation Pending (where prospects positive)

You are drafting or have submitted a minute on the matter to the LAC for consideration.

Stage three matters include:

- Approved - you are completing the necessary steps to filing the litigation matter in court, complete an action "Initiate Litigation"
- Approved for Litigation however negotiations are underway to resolve the matter prior to litigation, if negotiations fail the matter will proceed to litigation, complete an action "Initiate Litigation"
- Non-approved proceedings either because of insufficient evidence etc. OR a letter of caution, mediation or an undertaking is being pursued - complete the actions "Close Matter" and "Return Brief to Ops".

Stage 04 - ABCC Litigation in Court (Non appeal, including liability and penalty decisions)

Your litigation matter is currently before the relevant court, either for the liability hearing or the penalty hearing.

Stage 05 - ABCC Litigation In Court, waiting on final decision (liability and penalty decisions)

The substantive part of your litigation matter is over (i.e. filing documents and attending hearings) and you await the courts' decision.

Stage 06 - ABCC Litigation Finalised (> 2 months, penalties in process of being paid)

You have recently received the court's decision and await compliance with the court's orders.

Stage 07 - ABCC Litigation Penalties Outstanding

Penalties in your litigation matter remain outstanding and you are taking steps to enforce the court's orders.

Stage 08 - ABCC Litigation Matters Under Appeal

The ABCC, or the other party, has appealed the court's decision.

Stage 09 – ABCC Litigation File Closed

Your litigation matter is closed. The written reasons for the decision have been received and penalties have been paid. Complete the actions "Close litigation" and "Return Brief to Ops".

Stage 10 - Litigation File Finalised – No litigation commenced

The purpose of this phase is to indicate that the matter did not progress to litigation. The matter is to be referred back to the Fair Work Building Industry Inspector who is responsible for finalising the investigation and/or referring it for an alternate enforcement option (i.e. letter of caution, mediation or undertaking). All appropriate steps should be taken to archive documents as per requirements. Complete actions "Close Legal Matter" and 'Return Brief to Ops"