



*Shire of*  
**Koorda**

*Drive in, stay awhile*

# MINUTES

## Ordinary Council Meeting

Held in Shire of Koorda Council Chambers

10 Haig Street, Koorda WA 6475

Wednesday 17 May 2023

Commencing 5.00pm

UNCONFIRMED

## NOTICE OF MEETING

Dear Elected Members,

Notice is hereby given that the next Ordinary Meeting of Council of the Shire of Koorda will be held on Wednesday, 17 May 2023 in the Shire of Koorda Council Chambers, 10 Haig Street, Koorda.

The format of the day will be:

5.00pm	Council Meeting
Following conclusion of Council Meeting	Council Forum

Lana Foote  
Acting Chief Executive Officer  
12 May 2023

## DISCLAIMER

No responsibility whatsoever is implied or accepted by the Shire of Koorda for any act, omission or statement or intimation occurring during Council or Committee meetings.

The Shire of Koorda disclaims any liability for any loss whatsoever and howsoever caused arising out of reliance by any person or legal entity on any such act, omission or statement or intimation occurring during Council or Committee meetings.

Any person or legal entity who acts or fails to act in reliance upon any statement, act or omission made in a Council or Committee meeting does so at that person's or legal entity's own risk.

In particular and without derogating in any way from the broad disclaimer above, in any discussion regarding any planning application or application for a license, and statement or intimation of approval made by a member or officer of the Shire of Koorda during the course of any meeting is not intended to be and is not to be taken as notice of approval from the Shire of Koorda.

The Shire of Koorda warns that anyone who has any application lodged with the Shire of Koorda must obtain and should only rely on **written confirmation** of the outcome of the application, and any conditions attaching to the decision made by the Shire of Koorda in respect of the application.

To be read aloud if any member of the public is present.

Signed



Darren Simmons  
Chief Executive Officer

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**Shire of Koorda  
Ordinary Council Meeting  
5.00pm, Wednesday 17 May 2023**



**1. Declaration of Opening**

The Presiding person welcomes those in attendance and declares the meeting open at 5.01pm.

**2. Record of Attendance, Apologies and Leave of Absence**

**Councillors:**

Cr JM Stratford	President
Cr BG Cooper	Deputy President
Cr GW Greaves	
Cr NJ Chandler	
Cr GL Boyne	
Cr LC Smith	

**Staff:**

Mr DJ Simmons	Chief Executive Officer
Miss L Foote	Deputy Chief Executive Officer

**Members of the Public:**

**Apologies:**

**Visitors:**

**Approved Leave of Absence:**

**3. Public Question Time**

Nil.

**4. Disclosure of Interest**

The following Councillors have disclosed an interest in item 13.1 – *Extension of Leasing Arrangements by CBH for Lots 402 and 32 Price Street, Koorda.*

Cr Jannah Stratford

Financial – A shareholder in CBH Ltd (CBH) (as grower member/farmer) who holds one share valued at \$2.00 in CBH, a non-distributing co-operative governed under the Co-operatives Act 2009, and which is also a registered charity.

Cr Gina Boyne

Financial – Closely associated (spouse) with a shareholder in CBH Ltd (CBH) (as grower member/farmer) who holds one share valued at \$2.00 in CBH, a non-distributing co-operative governed under the Co-operatives Act 2009, and which is also a registered charity.

Cr Nicholas Chandler

Financial – Employee of CBH.

Cr Gary Greaves

Financial - A shareholder in CBH Ltd (CBH) (as grower member/farmer) who holds one share valued at \$2.00 in CBH, a non-distributing co-operative governed under the Co-operatives Act 2009, and which is also a registered charity.

***Due to a potential loss of a quorum resulting from the above financial interest disclosures, the CEO has applied for statutory participation approval for Councillors Stratford, Boyne, and Greaves under s5.69(3) of the Local Government Act 1995 so that item 13.1 may be addressed at this meeting.***

Accordingly, approval has been granted to the following members to fully participate in the Ordinary Council Meeting, to be held on 17 May 2023 as follows:

**13.1 EXTENSION OF LEASING ARRANGEMENT BY CBH FOR LOTS 402 AND 32 PRICE STREET KOORDA**

Cr Gina Boyne, Cr Jannah Stratford and Cr Gary Greaves.

Conditions of the approval:

1. The approval is only valid for the 17 May 2023 Ordinary Council Meeting when agenda item 13.1 is considered;
2. The above-mentioned councillors must declare the nature and extent of their interests at the abovementioned meeting when the matter is considered, together with the approval provided;
3. The Chief Executive Officer (CEO) is to provide a copy of the Department of Local Government, Sport and Cultural Industries letter of approval to the abovementioned councillors;
4. The CEO is to ensure that the declarations, including the approval given and any conditions imposed, are recorded in the minutes of the abovementioned meeting, when the item is considered;
5. The CEO is to provide a copy of the confirmed minutes of the abovementioned meeting to DLGSC, to allow DLGSC to verify compliance with the conditions of this approval; and
6. The approval granted is based solely on the interests disclosed by the abovementioned councillors, made in accordance with the application. Should other interests be identified, these interests will not be included in this approval and the financial interest provisions of the Act will apply.

**5. Applications for Leave of Absence**

Nil.

**6. Petitions and Presentations**

Nil.

## 7. Confirmation of Minutes from Previous Meetings

### 7.1. Ordinary Council Meeting held on 19 April 2023

[Click here to view the previous minutes](#)

**Voting Requirements**     Simple Majority     Absolute Majority

**Officer Recommendation**  
**RESOLUTION 010523**

**Moved CR GW Greaves**

**Seconded CR GL Boyne**

That, in accordance with Sections 5.22(2) and 3.18 of the *Local Government Act 1995*, the Minutes of the Ordinary Council Meeting held 19 April 2023, as presented, be confirmed as a true and correct record of proceedings.

**CARRIED 6/0**

## 8. Minutes of Committee Meetings to be Received

### 8.1. GECZ Meeting Minutes for meeting held 17 April 2023

[Click here to view](#)

**Voting Requirements**     Simple Majority     Absolute Majority

**Officer Recommendation**  
**RESOLUTION 020523**

**Moved CR BG Cooper**

**Seconded CR LC Smith**

That, in accordance with Sections 5.22(2) and 3.18 of the *Local Government Act 1995*, Council receives the Minutes of the GECZ meeting held 17 April 2023, as tabled.

**CARRIED 6/0**

### 8.2. SRRG Meeting Minutes for meeting held 18 April 2023

[Click here to view](#)

**Voting Requirements**     Simple Majority     Absolute Majority

**Officer Recommendation**  
**RESOLUTION 030523**

**Moved CR NJ Chandler**

**Seconded CR GL Boyne**

That, in accordance with Sections 5.22(2) and 3.18 of the *Local Government Act 1995*, Council receives the Minutes of SRRG meeting held 18 April 2023, as tabled.

**CARRIED 6/0**

**8.3. NEWROC Council Meeting Minutes for meeting held 27 April 2023**

[Click here to view](#)

**Voting Requirements**     Simple Majority     Absolute Majority

**Officer Recommendation**  
**RESOLUTION 040523**

**Moved CR BG Cooper**

**Seconded CR NJ Chandler**

**That, in accordance with Sections 5.22(2) and 3.18 of the *Local Government Act 1995*, Council receives the Minutes of the NEWROC Council meeting held 27 April 2023, as tabled.**


**CARRIED 6/0**

UNCONFIRMED

## 9. Recommendations from Committee Meetings for Council Consideration

### 9.1. Audit Committee Meeting held on 17 May 2023

#### 9.1.1. Review of Financial Management, Risk Management, Legislative Compliance and Internal Controls

<b>Governance and Compliance</b>		
<b>Date</b>	10 May 2023	
<b>Location</b>	Not Applicable	
<b>Responsible Officer</b>	Darren Simmons Chief Executive Officer	
<b>Author</b>	Lana Foote, Deputy Chief Executive Officer	
<b>Legislation</b>	<i>Local Government Act 1995 Section 7.13 (i)</i> <i>Local Government (Audit) Regulations 1996 – Reg 13, 14 and 15</i>	
<b>Disclosure of Interest</b>	Nil	
<b>Purpose of Report</b>	<input type="checkbox"/> Executive Decision <input checked="" type="checkbox"/> Legislative Requirement <input type="checkbox"/> Information	
<b>Attachments</b>	<a href="#">Moore Australia Review Report - April 2023</a>	

#### **Background:**

Staff from Moore Australia were onsite on the 20<sup>th</sup> & 21<sup>st</sup> February 2023 and spent two days checking the appropriateness and effectiveness of our risk management, internal controls and legislative compliance systems and procedures.

The review process was necessary to comply with Local Government (Audit) Regulations 1996 and Local Government (Financial Management) Regulations 1996 which stipulate that both the Regulation 17 and Financial Management reports need to be completed every 3 years.

As raised during past audits and noted in the Compliance Audit Return, the review was overdue. As Council were made aware of the overdue nature of the review by the Executive Management Team, it was determined that with the implementation of a new Accounting System, a review would be more beneficial at this time. The next review process will be due again by the end of June 2026.

#### **Comment:**

The Review of Financial Management, Risk Management, Legislative Compliance and Internal Controls helps an organisation accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control, and governance.

Whilst the report is quite extensive and contains numerous recommendations staff will address the matters raised to ensure our risk is mitigated, and we comply with all relevant legislation. Further to the work being done on the Policy Manual with the Policy Review Committee, part 6.2 *Council Policies* of the report will be referred to when officers present policy reviews and updates. Other matters that were identified will require a body of work across all areas relate to document control and work process documentation.

It is recommended that Officers provide a report, on a quarterly basis (to align with the Integrated Planning scorecard reporting), to the Audit Committee to enable the Committee to monitor the progress



on each risk issue and improvement action, pursuant to Regulation 16 (d) of the Local Government (Audit) Regulations 1996.

This report has been presented to the audit committee as the committee has a role in supporting Council in fulfilling its governance and oversight responsibilities and provide the audit committee with the opportunity to raise any issues that the document has identified or ask any other questions, they may have in relation to our risk management and compliance activities.

### **Consultation:**

Darren Simmons, Chief Executive Officer

Moore Australia

All internal employees were involved in various aspects of the review which involved their day to day tasks.

### **Statutory Implications:**

Regulation 16 of the Local Government (Audit) Regulations 1996 prescribes the functions of an Audit Committee which includes;

*“16 (c) to review a report given to it by the CEO under regulation 17(3) and is to –*

- (i) Report to the council the results of that review; and*
- (ii) Give a copy of the CEO’s report to the council.”*

*“16 (d) to monitor and advise the CEO when the CEO is carrying out functions in relation to a review under –*

- (i) Regulations 17 (1); and*
- (ii) The Local Government (Financial Management) Regulations 1996 regulation 5(2)(c).”*

Regulation 17 of the Local Government (Audit) Regulations 1996 reads as follows;

*“(1) The CEO is to review the appropriateness and effectiveness of a local government’s systems and procedures in relation to —*

- a) risk management; and*
- b) internal control; and*
- c) legislative compliance.*

*(2) The review may relate to any or all of the matters referred to in sub regulation (1)(a), (b) and (c), but each of those matters is to be the subject of a review not less than once in every 3 financial years.*

*(3) The CEO is to report to the audit committee the results of that review.”*

Regulation 5 (2) (c) of the Local Government (Financial Management) Regulations 1996 states that - *“the CEO is to undertake reviews of the appropriateness and effectiveness of the financial management systems and procedures of the local government regularly (and not less than once in every 3 financial years) and report to the local government the results of those reviews.”*

### **Policy Implications:**

The review recommended some potential improvement opportunities to some of the Council’s policy.

### **Strategic Implications:**

Shire of Koorda Integrated Strategic Plan 2022

4.1.1 - Ensure the use of resources is effective, efficient and reported regularly. (e.g. Financial Management)

4.1.2 - Identify business improvement opportunities to enhance operational effectiveness.

**Financial Implications:**

Nil

**Voting Requirements:**     Simple Majority     Absolute Majority

**Committee Recommendation**  
**RESOLUTION 050523**

**Moved CR GW Greaves**

**Seconded CR BG Cooper**

**That Council:**

- 1. Receives Moore's Review of Financial Management, Risk Management, Legislative Compliance and Internal Controls report, dated April 2023 (Attachment A);**
- 2. Directs the CEO to provide a report, on a quarterly basis, to the Audit Committee to enable the Committee to monitor the Shire's progress in addressing the recommendations, pursuant to Regulation 16 (d) of the Local Government (Audit) Regulations 1996; and**
- 3. Directs the CEO at the first quarterly review to provide proposed actions, including expected completion dates, to the recommendations identified in the report.**

**CARRIED BY ABSOLUTE MAJORITY 6/0**


**10. Announcements by the President without Discussion**

**CEO decisions made under delegated authority since last Ordinary Meeting of Council**

<b>Applicant</b>	<b>Date received / Details of application</b>	<b>Address</b>	<b>Estimated project cost / Shire planning fee</b>	<b>Decision / Date</b>

## 11. OFFICER'S REPORTS – CORPORATE & COMMUNITY

### 11.1. Monthly Financial Statements

Corporate and Community		
<b>Date</b>	9 May 2023	
<b>Location</b>	Not Applicable	
<b>Responsible Officer</b>	Lana Foote, Deputy Chief Executive Officer	
<b>Author</b>	As above	
<b>Legislation</b>	<i>Local Government Act 1995; Local Government (Financial Management) Regulations 1996</i>	
<b>Disclosure of Interest</b>	Nil	
<b>Purpose of Report</b>	<input type="checkbox"/> Executive Decision <input checked="" type="checkbox"/> Legislative Requirement <input type="checkbox"/> Information	
<b>Attachments</b>	<a href="#">April 2023 Financial Activity Statement</a>	

#### Background:

This item presents the Statement of Financial Activity to Council for the period ending 30 April 2023.

Section 6.4 of the *Local Government Act 1995* requires a local government to prepare financial reports.

Regulations 34 and 35 of the *Local Government (Financial Management) Regulations 1996* set out the form and content of the financial reports, which have been prepared and presented to Council.

#### Comment:

In order to fulfil statutory reporting requirements and provide Council with a synopsis of the Shire of Koorda's overall financial performance on a year-to-date basis, the following financial information is included in the Attachment.

#### Statements of Financial Activity – Statutory Reports by Nature or Type

The Statement of Financial Activity provide details of the Shire's operating revenues and expenditures on a year-to-date basis. The reports further include details of non-cash adjustments and capital revenues and expenditures, to identify the Shire's net current position.

#### Note 1 – Statement of Financial Activity

Notes supporting the Statement of Financial Activity by Program and by Nature and Type.

#### Note 2 – Cash and Financial Assets

This note provides Council with the details of the actual amounts in the Shire's bank accounts and/or investment accounts as at the reporting date.

#### Note 3 – Receivables

This note provides Council with both Rates Receivables and General Receivables outstanding as at the reporting date. This report has been expanded to further break down the detail of General Receivables.

#### Note 4 – Other Current Assets

This note provides details of other current assets that the Shire may hold.

Note 5 – Payables

This note provides details of Shire payables unpaid as at the reporting date. This Note is new to the financial statements.

Note 6 – Disposal of Assets

This note gives details of the capital asset disposals during the year.

Note 7 – Capital Acquisitions

This note details the capital expenditure program for the year.

Note 8 – Reserve Accounts

This note provides summary details of transfers to and from reserve funds, and associated interest earnings on reserve funds, on a year-to-date basis.

Note 9 – Other Current Liabilities

This note outlines any provisions the Shire has on hand relative to other current liabilities.

Note 10– Operating Grants and Contributions Received

This note provides information on operating grants received.

Note 11 – Non-Operating Grants and Contributions

This note provides information on non-operating grants received.

Note 12 – Budget Amendments

This note provides detail of adopted budget amendments.

Note 13 – Explanation of Material Variances

Council adopted (in conjunction with the Annual Budget) a material reporting variance threshold of 10% and \$10,000. This note explains the reasons for any material variances identified in the Statements of Financial Activity at the end of the reporting period.

**Consultation:**

Darren Simmons, Chief Executive Officer.

**Statutory Implications:**

Council is required to adopt monthly statements of financial activity to comply with Regulation 34 of the *Local Government (Financial Management) Regulations 1996*.

**Policy Implications:**

Finances have been managed in accordance with the Shire of Koorda policies.

**Strategic Implications:**

Shire of Koorda Integrated Strategic Plan 2022

4.1.1 – Ensure the use of resources is effective, efficient and reported regularly.

**Financial Implications:**

Nil

**Voting Requirements:**  Simple Majority  Absolute Majority

**Officer Recommendation**  
**RESOLUTION 060523**

**Moved CR GL Boyne**


**Seconded CR NJ Chandler**

**That Council, by Simple Majority, pursuant to Regulation 34 of the *Local Government (Financial Management) Regulations 1996*, receives the statutory Financial Activity Statement report for the period ending 30 April 2023, as presented.**

**CARRIED 6/0**

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## 11.2. List of Accounts Paid

<b>Corporate and Community</b>		
<b>Date</b>	9 May 2023	
<b>Location</b>	Not Applicable	
<b>Responsible Officer</b>	Lana Foote, Deputy Chief Executive Officer	
<b>Author</b>	As above	
<b>Legislation</b>	<i>Local Government Act 1995; Local Government (Financial Management) Regulations 1996</i>	
<b>Disclosure of Interest</b>	Nil	
<b>Purpose of Report</b>	<input type="checkbox"/> Executive Decision <input checked="" type="checkbox"/> Legislative Requirement <input type="checkbox"/> Information	
<b>Attachments</b>	<a href="#">List of Accounts Paid</a>	

### Background:

This item presents the List of Accounts Paid, paid under delegated authority, for the period 13 April 2023 to 9 May 2023.

### Comment:

The List of Accounts Paid as presented has been reviewed by the Chief Executive Officer.

### Consultation:

Darren Simmons, Chief Executive Officer  
Finance Team

### Statutory Implications:

Regulation 12 and 13 of the *Local Government (Financial Management) Regulations 1996* requires that a separate list be prepared each month for adoption by Council showing creditors paid under delegate authority.

### Policy Implications:

Finances have been managed in accordance with the Shire of Koorda policies. Payments have been made under delegated authority.

### Strategic Implications:

Shire of Koorda Integrated Strategic Plan 2022

4.1.1 - Ensure the use of resources is effective, efficient and reported regularly. (e.g. Financial Management)

### Financial Implications:

Funds expended are in accordance with Council's adopted 2022/2023 Budget.

**Voting Requirements:**  Simple Majority  Absolute Majority

**Officer Recommendation  
RESOLUTION 070523**

**Moved CR GL Boyne**

**Seconded CR GW Greaves**

**That Council, by Simple Majority, pursuant to Section 6.8(1)(a) of the *Local Government Act 1995* and Regulation 12 & 13 of the *Local Government (Financial Management) Regulations 1996*, receives the report from the Chief Executive Officer on the exercise of delegated authority in relation to creditor payments from the Shire of Koorda Municipal Fund, as presented in the attachment, and as detailed below:**

**For the period 13 April 2023 to 9 May 2023**

**Municipal Voucher V555 to V599**

**Totalling \$ 352,490.51**

**Credit Card Transaction (V567 & V582)**

**Totalling \$ 1,009.23**


**Total \$ 353,499.74**

**CARRIED 6/0**

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## 12. OFFICER'S REPORTS – GOVERNANCE & COMPLIANCE

### 12.1 Council Resolutions Status Report

<b>Governance and Compliance</b>		
<b>Date</b>	9 May 2023	
<b>Location</b>	Not applicable	
<b>Responsible Officer</b>	Darren Simmons, Chief Executive Officer	
<b>Author</b>	As above	
<b>Legislation</b>	<i>Local Government Act 1995</i>	
<b>Disclosure of Interest</b>	Nil	
<b>Purpose of Report</b>	<input type="checkbox"/> Executive Decision <input type="checkbox"/> Legislative Requirement <input checked="" type="checkbox"/> Information	
<b>Attachments</b>	<a href="#">April 2023 Status Report</a>	

#### **Background:**

The Council resolutions status report (status report) is a register of Council resolutions that are allocated to Shire staff that require actioning. When staff have progressed or completed any action in relation to Council's decision, comments are provided until the process is completed or superseded by more recent Council resolutions.

#### **Comment:**

In the interest of increased transparency and communication with the community, the status report is provided for information. (As a new initiative, the status report period commences from October 2022 and will then follow a 'rolling' monthly cycle as Council agenda item 12.1).

#### **Consultation:**

Nil

#### **Statutory Implications:**

Nil

#### **Policy Implications:**

Nil

#### **Strategic Implications:**

Shire of Koorda Integrated Strategic Plan 2022  
4.1 - Open and Transparent Leadership

#### **Financial Implications:**

Nil



**Voting Requirements:**  Simple Majority  Absolute Majority

**Officer Recommendation**  
**RESOLUTION 080523**

**Moved CR GL Boyne**

**Seconded CR BG Cooper**


**That the Council Resolutions Status Report for April 2023 be received.**

**CARRIED 6/0**

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Item 12.2 Delegated Authorities Review 2022-2023 - Proposed New Delegations Register currently 'lays on the table' with an updated report provided below for Council consideration.

## 12.2 Delegated Authorities Review 2022-2023 – Proposed New Delegations Register

<b>Governance and Compliance</b>		
<b>Date</b>	13 April 2023 and updated 9 May 2023	
<b>Location</b>	Not applicable	
<b>Responsible Officer</b>	Darren Simmons, Chief Executive Officer	
<b>Author</b>	As above	
<b>Legislation</b>	<i>Local Government Act 1995</i>	
<b>Disclosure of Interest</b>	Nil	
<b>Purpose of Report</b>	<input type="checkbox"/> Executive Decision <input checked="" type="checkbox"/> Legislative Requirement <input type="checkbox"/> Information	
<b>Attachments</b>	<a href="#">Attachment A – Existing Delegations Register</a> <a href="#">Attachment B – New Draft Delegations Register</a>	

### Background:

Under the provisions of the Local Government Act 1995, it is necessary to review delegations at least annually, with Council completing its last review in April 2022.

However, rather than review the existing delegations, it was suggested that as the scope, style and presentation of these delegations were no longer fit-for-purpose, staff prepared and presented to the ordinary meeting of Council held on 19 April 2023, a new draft delegations register (Attachment B) for Council consideration.

On this basis, and to allow elected members time to review and seek any clarification in respect to the proposed new approach generally and each delegation specifically, Council subsequently resolved:

### Officer Recommendation

#### RESOLUTION 060423

Moved CR GL Boyne

Seconded CR GW Greaves

**That item 12.2 - Delegated Authorities Review 2022-2023 - Proposed New Delegations Register 'lay-on-the table' until the May 2023 ordinary meeting of Council to allow time for elected member review and clarification.**

**CARRIED 6/0**

### Comment:

A copy of Council's existing Delegations has been included as Attachment A and the proposed replacement delegations register as Attachment B.

Both the format and substance of each delegation has been based on WALGA templates and, unlike the broad nature of many of the existing delegations, are more prescriptive in nature, providing a more open and transparent approach.

In respect to the proposed approach, it is worth noting that the number of delegations contained within the new draft has increased when compared to the existing delegations.

With the expiry of the review period between the April and May Council meetings, the item is re-presented (i.e., to 'take off the table') for Council consideration.

Subject to any clarifications or changes raised at the meeting, staff have identified (and incorporated into Attachment B) the following amendments to the proposed delegations circulated in April 2023:

Proposed Delegation No.	Proposed original text	Proposed Amendment	Reasoning/ Explanation
1.1 Power of Entry	Sub-Delegate/s: Deputy Chief Executive Officer Works Supervisor Ranger Building Surveyor Environmental Health Officer	Sub-Delegate/s: Deputy Chief Executive Officer Works Supervisor (Assisted/working through by Contract Ranger, Building Surveyor, and/or Environmental Health Officer, as applicable)	Delegations can only be sub-delegated to Shire employees.
1.4 Disposal of Sick or Injured Animals	Sub-Delegate/s: Ranger	Sub-Delegate/s: Deputy Chief Executive Officer (Assisted/working through by Contract Ranger)	Delegations can only be sub-delegated to Shire employees.
4.1 Payments from the Municipal or Trust Funds	Sub-Delegate/s: Deputy Chief Executive Officer	Sub-Delegate/s: Deputy Chief Executive Officer Finance Officers	To reflect current payment processing arrangements.
4.2 Defer, Grant Discounts, Waive or Write Off Debts	a. A debt, other than a debt relating to a rate or service charge, may only be waived where the dollar amount does not exceed \$300 per individual debt. b. A debt relating to a rate or service charge may only be written off where the dollar value does not exceed \$100 per individual debt.	c. A debt, other than a debt relating to a rate or service charge, may only be waived where the dollar amount does not exceed \$1,500 per individual debt. d. A debt relating to a rate or service charge may only be written off where the dollar value does not exceed \$1,500 per individual debt.	To align with Council Resolution No. 61020 of 21 October 2020 which states in part:  "2) Delegates authority to the Chief Executive Officer to write off bad and doubtful debts for Rates and Sundry Debtors for amounts up to and including \$1,500 exc GST."
5. Building Act 2011 Delegations 5.1, 5.2, 5.3, 5.5, and 5.8	Sub-Delegate/s Building Surveyor	Sub-Delegate/s: Deputy Chief Executive Officer	Delegations can only be sub-delegated to Shire employees.
5.7 Referrals and Issuing Certificates	Sub-Delegate/s Building Surveyor	Sub-Delegate/s Deputy Chief Executive Officer Administration Officers	Delegations can only be sub-delegated to Shire employees and to reflect current processing arrangements.
7.1 Cat Registrations	Sub-Delegate/s: Ranger	Sub-Delegate/s Deputy Chief Executive Officer Administration Officers	Delegations can only be sub-delegated to Shire employees and to reflect current processing arrangements.
7.2 Cat Control Notices	Sub-Delegate/s: Ranger	Sub-Delegate/s Deputy Chief Executive Officer	Delegations can only be sub-delegated to Shire employees.

**Consultation:**

Lana Foote, Deputy Chief Executive Officer

**Statutory Implications:**

Section 5.46 of the *Local Government Act 1995* requires, at least once every financial year, delegations made under this Division are to be reviewed by the delegator.

**Policy Implications:**

Nil

**Strategic Implications:**

Shire of Koorda Integrated Strategic Plan 2022  
4.1 - Open and Transparent Leadership

**Financial Implications:**

Nil

**Voting Requirements:**

Simple Majority  Absolute Majority

**Officer Recommendation**

That, by Absolute Majority, in accordance with sections 5.42, 5.44 and 5.46 of the *Local Government Act 1995*, Council adopts the Shire of Koorda Delegations Register 2023 as presented in Attachment B.

**RESOLUTION 090523**

**Moved CR JM Stratford**

**Seconded CR NJ Chandler**

**That Council;**

- 1. Notes the staff alterations made to the Shire of Koorda Delegations Register 2023, since presentation at the April Council Meeting.**
- 2. That, by Absolute Majority, in accordance with sections 5.42, 5.44 and 5.46 of the Local Government Act 1995, as presented in Attachment B, adopts the Shire of Koorda Delegations Register 2023, subject to subsequent review of the Delegations Register Reporting Requirements at the November 2023 Council Meeting and inclusion of appropriate version control.**

**CARRIED BY ABSOLUTE MAJORITY 6/0**

Reason for change: Council wished to note the work done by staff since laying the item on the table at the meeting held 20 April 2023, further consider whether the monthly reporting requirements of delegations exercised causes undue workload issues for staff and to accept version control recording withing the delegations register template.

### 13. OFFICER'S REPORTS – WORKS & ASSETS

The following Councillors have disclosed an interest in item 13.1 – *Extension of Leasing Arrangements by CBH for Lots 402 and 32 Price Street, Koorda.*

Cr Jannah Stratford

Financial – A shareholder in CBH Ltd (CBH) (as grower member/farmer) who holds one share valued at \$2.00 in CBH, a non-distributing co-operative governed under the Co-operatives Act 2009, and which is also a registered charity.

Cr Gina Boyne

Financial – Closely associated (spouse) with a shareholder in CBH Ltd (CBH) (as grower member/farmer) who holds one share valued at \$2.00 in CBH, a non-distributing co-operative governed under the Co-operatives Act 2009, and which is also a registered charity.

Cr Nicholas Chandler

Financial – Employee of CBH.

Cr Gary Greaves

Financial - A shareholder in CBH Ltd (CBH) (as grower member/farmer) who holds one share valued at \$2.00 in CBH, a non-distributing co-operative governed under the Co-operatives Act 2009, and which is also a registered charity.

***Due to a potential loss of a quorum resulting from the above financial interest disclosures, the CEO has applied for statutory participation approval for Councillors Stratford, Boyne, and Greaves under s5.69(3) of the Local Government Act 1995 so that item 13.1 may be addressed at this meeting.***

Accordingly, approval has been granted to the following members to fully participate in the Ordinary Council Meeting, to be held on 17 May 2023 as follows:


#### **13.1 EXTENSION OF LEASING ARRANGEMENT BY CBH FOR LOTS 402 AND 32 PRICE STREET KOORDA**

Cr Gina Boyne, Cr Jannah Stratford and Cr Gary Greaves.

Conditions of the approval:

1. The approval is only valid for the 17 May 2023 Ordinary Council Meeting when agenda item 13.1 is considered;
2. The above-mentioned councillors must declare the nature and extent of their interests at the abovementioned meeting when the matter is considered, together with the approval provided;
3. The Chief Executive Officer (CEO) is to provide a copy of the Department of Local Government, Sport and Cultural Industries letter of approval to the abovementioned councillors;
4. The CEO is to ensure that the declarations, including the approval given and any conditions imposed, are recorded in the minutes of the abovementioned meeting, when the item is considered;
5. The CEO is to provide a copy of the confirmed minutes of the abovementioned meeting to DLGSC, to allow DLGSC to verify compliance with the conditions of this approval; and
6. The approval granted is based solely on the interests disclosed by the abovementioned councillors, made in accordance with the application. Should other interests be identified, these interests will not be included in this approval and the financial interest provisions of the Act will apply.

**13.1 Extension of Leasing Arrangements by CBH for Lots 402 and 32 Price Street, Koorda**

<b>Works and Assets</b>		
<b>Date</b>	9 May 2023	
<b>Location</b>	Not applicable	
<b>Responsible Officer</b>	Darren Simmons, Chief Executive Officer	
<b>Author</b>	As above	
<b>Legislation</b>	<i>Local Government Act 1995</i>	
<b>Disclosure of Interest</b>	Nil	
<b>Purpose of Report</b>	<input type="checkbox"/> Executive Decision <input checked="" type="checkbox"/> Legislative Requirement <input type="checkbox"/> Information	
<b>Attachments</b>	Proposed Lease Agreement (Confidential to Councillors only)	

**Background:**

At its special meeting held on 30 August 2021, Council resolved, inter alia:

**That Council:**

...

**4. Agrees to lease Lots 402 and 32 Price, Street, Koorda for emergency grain storage from 1 September 2021 to 30 April 2022 and authorises the Chief Executive Officer to sign the 'Agreement to Lease' document between the Shire of Koorda and Co-operative Bulk Handling Limited (CBH) on the condition that CBH supply the Shire with a traffic management plan to the satisfaction of the Chief Executive Officer.**

On 30 November 2021, a lease agreement was executed between CBH and the Shire, with the lots subsequently used for the 2021 harvest for emergency open bulkhead (OBH) grain storage.

At its meeting held on 15 June 2022, Council further resolved:

**Officer Recommendation**

**Resolution 090622**

**Moved CR GL Boyne**

**Seconded CR BG Cooper**

**That Council agrees to continue leasing Lots 402 and 32 Price Street, Koorda to Co-operative Bulk Handling Limited (CBH) for emergency grain storage from 1 May 2022 to 30 April 2023 and authorises the Chief Executive Officer to sign the 'Agreement to Lease' document between the Shire of Koorda and CBH on the condition that CBH supply the Shire with a traffic management plan to the satisfaction of the Chief Executive Officer.**

**CARRIED 5/0**

With grain is still being stored onsite with recent record harvest, likely to be for some time, CBH have again requested that the leasing of Lots 402 and 32 Price Street, Koorda continue until 30 April 2024 with an option for an additional 12-month term should CBH require such an extension.

**Comment:**

As grain is still being stored onsite and with Shire staff still unaware of any issues arising, it is recommended that Council agree to CBH's request to lease lots 402 and 32 Price Street, Koorda for both another year, and the 12-month option (as this will alleviate the need for statutory participation approvals for Councillors disclosing a financial interest).

**Consultation:**

Nicholas Michael – CBH Specialist, Property and Land.

**Statutory Implications:**

Section 3.58 of the Local Government Act. (As CBH is a registered charity, there is an exemption to the disposal of property provisions of section 3.58).

**Policy Implications:**

Nil.

**Strategic Implications:**

Shire of Koorda Integrated Strategic Plan 2022  
2.1 - Our local economy grows in a sustainable manner.

**Financial Implications:**

Annual lease consideration of \$7,000 exclusive of GST (An increase from the \$6,500 ex GST in the 2022 lease).

**Voting Requirements:**     Simple Majority     Absolute Majority

**Officer Recommendation**  
**RESOLUTION 100523**

**Moved CR GL Boyne**

**Seconded CR GW Greaves**

**That Council:**

- 1. Agrees to continue leasing Lots 402 and 32 Price, Street, Koorda to Co-operative Bulk Handling Limited (CBH) for emergency grain storage from 1 May 2023 to 30 April 2024 with an option for CBH to extend the lease term for an additional 12-months from 1 May 2024; and**
- 2. Authorises the Chief Executive Officer to sign the 'Agreement to Lease' document for and on behalf of the Shire of Koorda.**

**CARRIED 5/0**

At 6.02pm - Cr NJ Chandler re-joined the meeting and the Presiding person advised him of the outcome to item 13.1.

## 14. Urgent Business Approved by the Person Presiding or by Decision

Nil.

## 15. Elected Members' Motions

Nil.

## 16. Matters Behind Closed Doors

At 6.04pm, the CEO and DCEO left the meeting.

### Council Decision Resolution 110523


Moved CR GL Boyne

Seconded CR GW Greaves

That Council close the meeting to the public at 6.04pm in accordance with section 5.23 (2) (a) of the Local Government Act 1995 as the matter relates to an employee.

CARRIED 6/0

### 16.1 2023 CEO Performance Review Arrangements

Governance and Compliance		
Date	12 May 2023	
Location	Not applicable	
Responsible Officer	Cr Jannah Stratford, Shire President	
Author	As above	
Legislation	Local Government Act 1995	
Disclosure of Interest	Nil	
Purpose of Report	<input checked="" type="checkbox"/> Executive Decision <input checked="" type="checkbox"/> Legislative Requirement <input type="checkbox"/> Information	
Attachments	The Shire President circulated relevant confidential information to Councillors at the meeting.	

### Council Decision Resolution 120523

Moved CR NJ Chandler

Seconded CR BG Cooper

That Council, in accordance with the Shire of Koorda Standards for CEO Recruitment, Performance and Termination and clause 4.3 of the CEO's employment contract, resolves to accept the 'in-person' proposal from Dr Shayne Silcox of Strategic Leadership Consulting Group to facilitate the 2023 CEO performance review.

CARRIED 6/0



At 6.11pm. the CEO and DCEO returned to the meeting, and the Presiding person advised them of the resolution of *Item 16.1. 2023 CEO Performance Review Arrangements.*

**Council Decision**  
**Resolution 130523**

**Moved CR NJ Chandler**

**Seconded CR LC Smith**

**That Council re-open the meeting to the public at 6.11pm.**

**CARRIED 6/0**

**17. Closure**

The Presiding Person thanked those present for their attendance and declared the meeting closed at 6.12pm.

**Signed: \_\_\_\_\_**

**Presiding Person at the meeting at which the minutes were confirmed.**

**Date: 21 June 2023**



*Shire of*  
**Koorda**

*Drive in, stay awhile*

# MINUTES

## **Audit Committee Meeting**

Held in Shire of Koorda Council Chambers

10 Haig Street, Koorda WA 6475

Wednesday 17 May 2023

Commencing 4.00pm

UNCONFIRMED

## NOTICE OF MEETING

Dear Audit Committee Members,

The next Audit Committee Meeting of the Shire of Koorda will be held on Wednesday 17 May 2023 in the Shire of Koorda Council Chambers, 10 Haig Street, Koorda, commencing at 4.00pm.

Lana Foote  
Acting Chief Executive Officer  
12 May 2023

## DISCLAIMER

No responsibility whatsoever is implied or accepted by the Shire of Koorda for any act, omission or statement or intimation occurring during Council or Committee meetings.

The Shire of Koorda disclaims any liability for any loss whatsoever and howsoever caused arising out of reliance by any person or legal entity on any such act, omission or statement or intimation occurring during Council or Committee meetings.

Any person or legal entity who acts or fails to act in reliance upon any statement, act or omission made in a Council or Committee meeting does so at that person's or legal entity's own risk.

In particular and without derogating in any way from the broad disclaimer above, in any discussion regarding any planning application or application for a license, and statement or intimation of approval made by a member or officer of the Shire of Koorda during the course of any meeting is not intended to be and is not to be taken as notice of approval from the Shire of Koorda.

The Shire of Koorda warns that anyone who has any application lodged with the Shire of Koorda must obtain and should only rely on **written confirmation** of the outcome of the application, and any conditions attaching to the decision made by the Shire of Koorda in respect of the application.

To be read aloud if any member of the public is present.

Signed



Darren Simmons  
Chief Executive Officer

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**Shire of Koorda  
Audit Committee Meeting  
4.00pm, Wednesday 17 May 2023**



**1. Declaration of Opening**

The Chairperson welcomes those in attendance and declares the meeting open at 4.00pm.

**2. Record of Attendance, Apologies and Leave of Absence**

**Committee Members:**

Cr JM Stratford	President & Chair
Cr NJ Chandler	Member
Cr LC Smith	Member

**Staff:**

Mr DJ Simmons	Chief Executive Officer
Miss L Foote	Deputy Chief Executive Officer

**Visitors:**

Cr BG Cooper	Deputy Member - 4.02pm
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**Apologies:**

**Approved Leave of Absence:**

**3. Public Question Time**

Nil.

**4. Disclosure of Interest**

Nil.

**5. Confirmation of Minutes from Previous Meetings**

**5.1. Audit Committee Meeting held on 22 March 2023**

[Click here to view the previous minutes](#)

**Voting Requirements**

Simple Majority  Absolute Majority

**Officer Recommendation/Resolution**

**Moved CR LC Smith**

**Seconded CR NJ Chandler**

**That, in accordance with Sections 5.22(2) and 3.18 of the *Local Government Act 1995*, the Minutes of the Audit Committee Meeting held 22 March 2023, as presented, be confirmed as a true and correct record of proceedings.**

**CARRIED 3/0**


**6. Presentations**

Nil.

## 7. Officer's Reports

4.02pm - CR BG Cooper entered the meeting.

### 7.1. Review of Financial Management, Risk Management, Legislative Compliance and Internal Controls

<b>Governance and Compliance</b>		 Shire of <b>Koorda</b> <small>Drive in, stay awhile</small>
<b>Date</b>	10 May 2023	
<b>Location</b>	Not Applicable	
<b>Responsible Officer</b>	Darren Simmons Chief Executive Officer	
<b>Author</b>	Lana Foote, Deputy Chief Executive Officer	
<b>Legislation</b>	<i>Local Government Act 1995 Section 7.13 (i)</i> <i>Local Government (Audit) Regulations 1996 – Reg 13, 14 and 15</i>	
<b>Disclosure of Interest</b>	Nil	
<b>Purpose of Report</b>	<input type="checkbox"/> Executive Decision <input checked="" type="checkbox"/> Legislative Requirement <input type="checkbox"/> Information	
<b>Attachments</b>	<a href="#">Moore Australia Review Report - April 2023</a>	

#### Background:

Staff from Moore Australia were onsite on the 20<sup>th</sup> & 21<sup>st</sup> February 2023 and spent two days checking the appropriateness and effectiveness of our risk management, internal controls and legislative compliance systems and procedures.

The review process was necessary to comply with Local Government (Audit) Regulations 1996 and Local Government (Financial Management) Regulations 1996 which stipulate that both the Regulation 17 and Financial Management reports need to be completed every 3 years.

As raised during past audits and noted in the Compliance Audit Return, the review was overdue. As Council were made aware of the overdue nature of the review by the Executive Management Team, it was determined that with the implementation of a new Accounting System, a review would be more beneficial at this time. The next review process will be due again by the end of June 2026.

#### Comment:

The Review of Financial Management, Risk Management, Legislative Compliance and Internal Controls helps an organisation accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control, and governance.

Whilst the report is quite extensive and contains numerous recommendations staff will address the matters raised to ensure our risk is mitigated, and we comply with all relevant legislation. Further to the work being done on the Policy Manual with the Policy Review Committee, part 6.2 *Council Policies* of the report will be referred to when officers present policy reviews and updates. Other matters that were identified will require a body of work across all areas relate to document control and work process documentation.

It is recommended that Officers provide a report, on a quarterly basis (to align with the Integrated Planning scorecard reporting), to the Audit Committee to enable the Committee to monitor the progress

on each risk issue and improvement action, pursuant to Regulation 16 (d) of the Local Government (Audit) Regulations 1996.

This report has been presented to the audit committee as the committee has a role in supporting Council in fulfilling its governance and oversight responsibilities and provide the audit committee with the opportunity to raise any issues that the document has identified or ask any other questions, they may have in relation to our risk management and compliance activities.

### **Consultation:**

Darren Simmons, Chief Executive Officer  
Moore Australia

All internal employees were involved in various aspects of the review which involved their day to day tasks.

### **Statutory Implications:**

Regulation 16 of the Local Government (Audit) Regulations 1996 prescribes the functions of an Audit Committee which includes;

*“16 (c) to review a report given to it by the CEO under regulation 17(3) and is to –*

- (i) Report to the council the results of that review; and*
- (ii) Give a copy of the CEO’s report to the council.”*

*“16 (d) to monitor and advise the CEO when the CEO is carrying out functions in relation to a review under –*

- (i) Regulations 17 (1); and*
- (ii) The Local Government (Financial Management) Regulations 1996 regulation 5(2)(c).”*

Regulation 17 of the Local Government (Audit) Regulations 1996 reads as follows;

*“(1) The CEO is to review the appropriateness and effectiveness of a local government’s systems and procedures in relation to —*

- a) risk management; and*
- b) internal control; and*
- c) legislative compliance.*

*(2) The review may relate to any or all of the matters referred to in subregulation (1)(a), (b) and (c), but each of those matters is to be the subject of a review not less than once in every 3 financial years.*

*(3) The CEO is to report to the audit committee the results of that review.”*

Regulation 5 (2) (c) of the Local Government (Financial Management) Regulations 1996 states that -  
*“the CEO is to undertake reviews of the appropriateness and effectiveness of the financial management systems and procedures of the local government regularly (and not less than once in every 3 financial years) and report to the local government the results of those reviews.”*

### **Policy Implications:**

The review recommended some potential improvement opportunities to some of the Council’s policy.

### **Strategic Implications:**

Shire of Koorda Integrated Strategic Plan 2022

4.1.1 - Ensure the use of resources is effective, efficient and reported regularly. (e.g. Financial Management)

4.1.2 - Identify business improvement opportunities to enhance operational effectiveness.

**Financial Implications:**

Nil

**Voting Requirements:**     Simple Majority     Absolute Majority

**Officer Recommendation**

Moved CR NJ Chandler

Seconded CR LC Smith

That the Audit Committee recommends;

That Council:

1. Receives Moore's Review of Financial Management, Risk Management, Legislative Compliance and Internal Controls report, dated April 2023 (Attachment A);
2. Request the Shire's executive officers to provide a report, on a quarterly basis, to the Audit Committee to enable the Committee to monitor the Shire's progress in addressing the recommendations, pursuant to Regulation 16 (d) of the Local Government (Audit) Regulations 1996; and
3. Request the Shire's executive officers at the first quarterly review to provide proposed actions to the recommendations identified in the report.

Cr JM Stratford proposed the following amendment to the original motion.

**Amendment**

Moved Cr JM Stratford

Seconded Cr LC Smith

That the Audit Committee recommends;

That Council:

1. Receives Moore's Review of Financial Management, Risk Management, Legislative Compliance and Internal Controls report, dated April 2023 (Attachment A);
2. Directs the CEO to provide a report, on a quarterly basis, to the Audit Committee to enable the Committee to monitor the Shire's progress in addressing the recommendations, pursuant to Regulation 16 (d) of the Local Government (Audit) Regulations 1996; and
3. Directs the CEO at the first quarterly review to provide proposed actions, including expected completion dates, to the recommendations identified in the report.

CARRIED 3/0

As the amendment to the original motion was carried, it became the substantive motion as follows:



**Substantive motion/Committee Resolution**

**Moved Cr JM Stratford**

**Seconded Cr LC Smith**

**That the Audit Committee recommends;**

**That Council:**

- 1. Receives Moore's Review of Financial Management, Risk Management, Legislative Compliance and Internal Controls report, dated April 2023 (Attachment A);**
- 2. Directs the CEO to provide a report, on a quarterly basis, to the Audit Committee to enable the Committee to monitor the Shire's progress in addressing the recommendations, pursuant to Regulation 16 (d) of the Local Government (Audit) Regulations 1996; and**
- 3. Directs the CEO at the first quarterly review to provide proposed actions, including expected completion dates, to the recommendations identified in the report.**

**CARRIED 3/0**

Reason for change: The Committee felt it appropriate that local government reporting protocols be followed (i.e., tasking through the CEO) and more clearly outline task outcome requirements.

**8. Urgent Business Approved by the Person Presiding or by Decision**

Nil.

**9. Date of Next Meeting**

21<sup>st</sup> June 2023 - Quarterly Reporting

**10. Closure**

The Chairperson thanked everyone for their attendance and closed the meeting at 4.16pm.

UNCONFIRMED

## APPENDIX I – Terms of Reference

### Audit Committee Terms of Reference

#### 1. Establishment

The Audit Committee was re-established by the Council at the Special Meeting of Council on 23 March 2020 and this Terms of Reference sets out the membership, responsibilities, authority and operations of the Committee.

The Committee was created in recognition of the importance of, and legislative obligation for, the establishment and maintenance of an effective internal audit function, best practice governance systems, oversight of the risk management and governance frameworks and performance, and maintenance of strong financial management controls and processes.

#### 2. Objective of the Audit Committee

The primary objective of the Audit Committee (the Committee) is to accept responsibility for the annual external audit, liaise with the Shire's external auditor and provide review and oversight of internal audit process, including performance and independence of internal auditor, so that Council can be satisfied with the performance of the Shire in managing its financial affairs.

Reports from the Committee will assist Council in discharging its legislative responsibilities of controlling the Shire's affairs, determining the Shire's policies and overseeing the allocation of the Shire's finances and resources. The Committee will ensure openness in the Shire's financial reporting and will liaise with the CEO to ensure the effective and efficient management of the Shire's financial accounting systems and compliance with legislation.

The Committee is to facilitate:

- a) the enhancement of the credibility and objectivity of internal and external financial reporting;
- b) effective management of financial and other risks and the protection of Council assets;
- c) compliance with laws and regulations as well as use of best practice guidelines relative to audit, risk management, internal control and legislative compliance;
- d) the coordination of the internal audit function with the external audit;
- e) the provision of an effective means of communication between the external auditor, the CEO and the Council and
- f) the reduction of fraud, corruption and misconduct risk as a part of their oversight of financial reporting.

The Committee is to undertake its responsibilities cognisant of:

- a) requirements for meetings to fit in with requisites around the planning calendar and decisions at significant times in the Governance cycle (i.e. Compliance Audit Return, Interim Audit, End of year Audit and other reviews);
- b) obligations to have oversight of all matters that relate to the risk management framework of the Shire;
- c) obligations and good governance practices within the local government environment.

#### 3. Powers of the Audit Committee

- a) The Audit committee is to report to Council and provide appropriate advice and recommendations on matters relevant to its term of reference. This is in order to facilitate informed decision-making by Council in relation to the legislative functions and duties of the local government that have not been delegated to the CEO.
- b) The committee is a formally appointed committee of council and is responsible to that body.
- c) The committee does not have executive powers or authority to implement actions in areas over which the CEO has legislative responsibility and does not have any delegated financial responsibility.

- d) The committee does not have any management functions and cannot involve itself in management processes or procedures.

#### **4. Responsibilities of the Committee Chair**

The Audit Committee Chair has the following responsibilities:

- a) Reports to the Council on the actions of the Committee;
- b) Encourages broad participation from members in discussion;
- c) Summarises decisions and assignments at the conclusion of each meeting; and
- d) Signs off on minutes of meetings after they have been received by the Committee.

#### **5. Responsibilities of Audit and Governance Committee Members**

Individual Committee members have the following responsibilities:

- a) to execute the role, scope, and responsibilities of the Committee;
- b) to act on opportunities to communicate positively about the Shire's activities;
- c) to actively participate in meetings through attendance, discussion, and review of minutes, papers and Governance documents;
- d) to participate in professional development opportunities;
- e) To support open discussion and debate and encourage fellow Committee members to voice their insights.

#### **6. Membership**

The Committee will consist of three elected members, with a fourth elected member acting as a deputy.

All full members shall have full voting rights.

The CEO and employees are not members of the committee. The CEO or his/her nominee is to be available to attend meetings to provide advice and guidance to the Committee. The Shire shall provide secretarial and administrative support to the Committee.

#### **7. Quorum**

A quorum of two Committee members must be present at a Committee meeting to constitute a meeting.

#### **8. Frequency of Meetings**

The Committee shall meet at least twice once per calendar year. Additional meetings shall be convened at the discretion of the presiding person.

#### **9. Reporting**

Reports and recommendations of each Committee meeting shall be presented to the next ordinary meeting of the Council.

#### **10. Duties and Responsibilities**

The duties and responsibilities of the committee will be to:

- a) provide guidance and assistance to Council as to the carrying out the functions of the Shire in relation to audits;
- b) meet with the external auditor once in each year and provide a report to Council on the matters discussed and outcome of those discussions;
- c) liaise with the CEO to ensure that the Shire does everything in its power to:
  - assist the auditor to conduct the audit and carry out his or her other duties under the Local Government Act 1995 and associated Regulations; and
  - ensure that audits are conducted successfully and expeditiously;
- d) examine the reports of the auditor after receiving a report from the CEO on the matters to:
  - determine if any matters raised require action to be taken by the Shire; and

- ensure that appropriate action is taken in respect of those matters;
- e) review the report prepared by the CEO on any actions taken in respect of any matters raised in the report of the auditor and presenting the report to Council for adoption prior to the end of the next financial year or 6 months after the last report prepared by the auditor is received, whichever is the latest in time;
- f) review the Shire’s draft annual financial report, focusing on:
  - accounting policies and practices;
  - changes to accounting policies and practices;
  - the process used in making significant accounting estimates; iv. significant adjustments to the financial report (if any) arising from the audit process;
  - compliance with accounting standards and other reporting requirements; and
  - significant variances from prior years.
- g) address issues brought to the attention of the Committee, including responding to requests from Council for advice that are within the parameters of the committee’s terms of reference;
- h) seek information or obtain expert advice through the CEO on matters of concern within the scope of the committee’s terms of reference following authorisation from the Council;
- i) Review the annual Compliance Audit Return and report to the council the results of that review,
- j) Monitor the progress of the internal audit plan, review findings from internal and external audits, monitor the implementation of the recommendations; and
- k) Consider the CEO’s triennial reviews of the appropriateness and effectiveness of the Shire’s systems and procedures in regard to risk management, internal control and legislative compliance, required to be provided to the Committee, and report to the council the results of those reviews.

#### 11. Agendas, Minutes and Decision Papers

The responsibility for ensuring that Agendas and supporting materials are delivered to members in advance of meetings rests with the Chief Executive Officer. The agenda and associated attachments will be sent to Committee members and attendees at least 72 hours in advance of a Committee meeting.

#### 12. Conflicts of Interest

Committee Members and invited attendees at each meeting must:

- a) Declare any conflict of interest, potential conflict of interest or apparent conflict of interest in matters that might potentially be considered or, are proposed to be considered by the Committee;
- b) Provide a further declaration should any conflict of interest, potential conflict of interest or apparent conflict of interest arise after making a declaration; and
- c) Maintain confidential, all information provided to them in their role as a member or attendee. This includes all matters discussed, formally presented or tabled at meetings of the Committee or such matters associated with dealings of the Committee in carrying out its responsibilities.

#### 13. Review

The Terms of Reference shall be reviewed every two years when Council considers the re-establishment of the Committee to coincide with Local Government elections and any amendment to it require approval of Council.

#### Version Control

Version No.	Version Date	Prepared by	Reviewed by	Council Resolution No. and Date
1	09/09/2021	Lana Foote	Darren Simmons	RES: 060921 Date:15/09/2021



*Shire of*  
**Koorda**

*Drive in, stay awhile*

# MINUTES

## **Works Committee Meeting**

Held in Shire of Koorda Council Chambers

10 Haig Street, Koorda WA 6475

Tuesday 30 May 2023

Commencing 4.00pm

UNCONFIRMED

## NOTICE OF MEETING

Dear Works Committee Members,

The next Works Committee Meeting of the Shire of Koorda will be held on Tuesday 30 May 2023 in the Shire of Koorda Council Chambers, 10 Haig Street, Koorda, commencing at 4.00pm.

Darren Simmons  
Chief Executive Officer  
26 May 2023

## DISCLAIMER

No responsibility whatsoever is implied or accepted by the Shire of Koorda for any act, omission or statement or intimation occurring during Council or Committee meetings.

The Shire of Koorda disclaims any liability for any loss whatsoever and howsoever caused arising out of reliance by any person or legal entity on any such act, omission or statement or intimation occurring during Council or Committee meetings.

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The Shire of Koorda warns that anyone who has any application lodged with the Shire of Koorda must obtain and should only rely on **written confirmation** of the outcome of the application, and any conditions attaching to the decision made by the Shire of Koorda in respect of the application.

To be read aloud if any member of the public is present.

Signed



Darren Simmons  
Chief Executive Officer

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UNCONFIRMED



**Shire of Koorda  
Works Committee Meeting  
4.00pm, Tuesday 30 May 2023**



**1. Declaration of Opening**

The Chairperson welcomes those in attendance and declares the meeting open at 4.08pm.

**2. Record of Attendance, Apologies and Leave of Absence**

**Committee Members:**

Cr NJ Chandler (Member), Deputy Chairperson for meeting.  
Cr BG Cooper (Member)  
Cr JM Stratford (Deputy Member)

**Staff:**

Miss L Foote Deputy Chief Executive Officer  
Mr D West Works Supervisor

**Visitors:**

**Apologies:**

Mr DJ Simmons Chief Executive Officer  
Cr GW Greaves (Chairperson)

**Approved Leave of Absence:**

**3. Public Question Time**

Due to the unforeseen absence of the Presiding Member, Cr NJ Chandler was appointed presiding member for the meeting.

**4. Disclosure of Interest**

Nil.

**5. Confirmation of Minutes from Previous Meetings**

**5.1. Works Committee Meeting held on 9 March 2022**

[Click here to view the previous minutes](#)

**Voting Requirements**

Simple Majority  Absolute Majority

**Officer Recommendation**

**Moved CR JM Stratford**

**Seconded CR BG Cooper**

**That, in accordance with Sections 5.22(2) and 3.18 of the *Local Government Act 1995*, the Minutes of the Works Committee Meeting held 9 March 2022, as presented, be confirmed as a true and correct record of proceedings.**


**CARRIED 3/0**

## 6. Presentations

Nil.

## 7. Officer's Reports

### 7.1. Draft Budget 2023/24 Roadworks and Plant Replacement Programs

<b>Governance and Compliance</b>		
<b>Date</b>	26 May 2023	
<b>Location</b>	Not Applicable	
<b>Responsible Officer</b>	Darren Simmons Chief Executive Officer	
<b>Author</b>	Lana Foote, Deputy Chief Executive Officer	
<b>Legislation</b>	Nil	
<b>Disclosure of Interest</b>	Nil	
<b>Purpose of Report</b>	<input checked="" type="checkbox"/> Executive Decision <input type="checkbox"/> Legislative Requirement <input checked="" type="checkbox"/> Information	
<b>Attachments</b>	<a href="#">2023/2024 Draft Roadworks Program</a> <a href="#">2023/2033 Draft Plant Program</a>	

In line with current local government sector practice, the Shire follows a strategic approach in respect to its roadworks and plant replacement programme.

However, the respective 2023/2024 roadworks and plant replacement programs are provided as attachments to facilitate committee discussion and consideration.

**Voting Requirements:**  Simple Majority  Absolute Majority

#### Officer Recommendation

Moved CR BG Cooper

Seconded CR JM Stratford

For committee consideration.

**CARRIED 3/0**

**8. Urgent Business Approved by the Person Presiding or by Decision**

Nil.

**9. Date of Next Meeting**

As required.

**10. Closure**

The Chairperson thanked everyone for their attendance and closed the meeting at 4.26pm.

UNCONFIRMED



North Eastern Wheatbelt Regional Organisation of Councils

Dowerin | Koorda | Mt Marshall | Mukinbudin | Nungarin | Trayning | Wyalkatchem

# Executive Meeting

Tuesday 30 May 2023

Shire of Wyalkatchem Council Chambers

## MINUTES

1.30pm Light Lunch  
2pm Meeting

[www.newroc.com.au](http://www.newroc.com.au)

E caroline@newroc.com.au

## ANNUAL CALENDAR OF ACTIVITIES

MONTH	ACTIVITY	MEETING
January		Executive
February	<ul style="list-style-type: none"> <li>👉 Council refreshes itself on NEWROC Vision, Mission, Values (review Vision and Mission every other year)</li> <li>👉 Council reviews NEWROC project priorities / strategic plan</li> </ul>	Council
March	<ul style="list-style-type: none"> <li>👉 WDC attendance to respond to NEWROC project priorities</li> <li>👉 Submit priority projects to WDC, Regional Development and WA Planning</li> </ul>	Executive
April	👉 NEWROC Budget Preparation	Council
May	<ul style="list-style-type: none"> <li>👉 NEWROC Draft Budget Presented</li> <li>👉 NEWROC Executive Officer Contract/Hourly Rate Review (current contract expires June 2027)</li> <li>👉 Local Government Week agenda to be discussed at Executive meeting to determine if EA should attend</li> </ul>	Executive
June	👉 NEWROC Budget Adopted	Council
July		Executive
August	<ul style="list-style-type: none"> <li>👉 Information for Councillors pre-election</li> <li>👉 NEWROC Audit</li> </ul>	Council
September		Executive
October	<ul style="list-style-type: none"> <li>👉 NEWROC CEO and President Handover (every 2yrs)</li> <li>👉 NEWROC Dinner</li> </ul>	Council
November	<ul style="list-style-type: none"> <li>👉 NEWROC Induction of new Council representatives (every other year)</li> <li>👉 Review NEWROC MoU (every other year)</li> </ul>	Executive
December	👉 NEWROC Christmas / End of Year Drinks	Council

### **ONGOING ACTIVITIES**

Compliance

Media Releases

### **NEWROC Rotation**

Shire of Mt Marshall

Shire of Nungarin

Shire of Wyalkatchem

Shire of Koorda

Shire of Mukinbudin (Oct 2021 – Oct 2023)

Shire of Trayning

Shire of Dowerin

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## NORTH EASTERN WHEATBELT REGIONAL ORGANISATION OF COUNCILS

Minutes for the Executive Meeting held at the Shire of Wyalkatchem Council Chambers on 30 May 2023 commencing at 2pm

### MINUTES

#### 1. OPENING AND ANNOUNCEMENTS

NEWROC CEO welcomed everyone and opened the meeting at 2pm.

#### 2. RECORD OF ATTENDANCE AND APOLOGIES

##### 2.1. Attendance

Dirk Sellenger	CEO NEWROC, CEO Shire of Mukinbudin
Darren Simmons	CEO Shire of Koorda
Ben McKay	CEO, Shire of Mt Marshall
Rebecca McCall	CEO, Shire of Dowerin
Leanne Parola	CEO, Shire of Trayning
Peter Klein	CEO, Shire of Wyalkatchem

NEWROC Officer

Caroline Robinson Executive Officer, NEWROC

Guest

Alyce Ventris Wheatbelt Town Team Builder

##### 2.2. Apologies

Leonard Long CEO Shire of Nungarin

##### 2.3. Leave of Absence Approvals / Approved

Caroline Robinson – July Executive Meeting. Granted. Belinda Taylor will be asked to take minutes.

#### 3. Declarations of Interest and Delegations Register

##### 3.1. Delegation Register

Please find below a delegations register as per the new policy adopted in March 2017:

Description of Delegations	Delegatee	Delegated to	Approval
Records Management	CEO	NEWROC EO	Council
NEWROC Financial Management	CEO	NEWROC EO	Council Dec 2017
Bendigo Bank Signatory (NEWROC)	CEO	NEWROC EO	Council Dec 2017
Bendigo Bank Signatory (Shire of Mukinbudin)	Council	CEO	Council Dec 2017
NEWROC Website	CEO	NEWROC EO	Council June 2017

#### 4. Presentations

Alyce Ventris, Town Team Movement

- Update on activities since the last presentation: KTY Do-Over in 2022, Wyalkatchem inception dinner in late 2022, supported the recarpeting of the Mukinbudin Art Gallery
- During Feb to May 2023 Alyce has been reconnecting with teams
- Application submitted for FRRR Drought Resilience Funding: \$63K 'Wheatbelt Rising Program' – community projects, small infrastructure projects, community and resilience workshops
- Planning stage: Wheatbelt Ignite Program (partner with Curtin Uni and Act Belong Commit) for research into how town teams impacts positive mental health in our communities
- To do: funding applications for the Wyalkatchem Do Over, support for the Koorda Town Team, 11 June Wheatbelt Town Team meeting in Mukinbudin, Bencubbin Walkshop, Trayning Tractor Pull event
- TTM partnership with the Department of Local Government who are funding online placemaking courses
- 19 town teams in the region (122 in the movement)

## 5. MINUTES OF MEETINGS

Minutes of the Executive Meeting held on 28 March 2023 have previously been circulated.

### RESOLUTION

**That the Minutes of the Executive Meeting held on 28 March 2023 be received as a true and correct record of proceedings.**

**Moved R McCall**

**Seconded D Simmons**

**CARRIED 6/0**

Minutes of the meeting held by email on Friday 19 May 2023 are attached.

### RESOLUTION

**That the Minutes of the meeting held by email on Friday 19 May 2023 be received.**

**Moved L Parola**

**Seconded B McKay**

**CARRIED 6/0**

## 5.1. Business Arising

[Banking Submission](#) – No 480

[Letter to Minister for Agriculture regarding Live Sheep Trade by Sea Phase Out](#)

ERA Submission



## 6. FINANCIAL MATTERS

### 6.1. Income, Expenditure and Profit and Loss

<b>FILE REFERENCE:</b>	42-2 Finance Audit and Compliance
<b>REPORTING OFFICER:</b>	Caroline Robinson
<b>DISCLOSURE OF INTEREST:</b>	Nil
<b>DATE:</b>	26 May 2023
<b>ATTACHMENT NUMBER:</b>	#1P and L
<b>CONSULTATION:</b>	
<b>STATUTORY ENVIRONMENT:</b>	Nil
<b>VOTING REQUIREMENT:</b>	Simple Majority

#### COMMENT

Account transactions for the period 1 April to 30 April 2023.

Date	Description	Reference	Credit	Debit	Running Balance
<b>BB NEWROC Funds-5557</b>					
<b>Opening Balance</b>			<b>122,864.83</b>	<b>0.00</b>	<b>122,864.83</b>
01 Apr 2023	Bendigo Bank		0.00	1.20	122,863.63
03 Apr 2023	Xero Australia	XERO	0.00	56.05	122,807.58
05 Apr 2023	Payment: Alyce Ventris	2041	0.00	1,936.00	120,871.58
05 Apr 2023	Payment: 150Square	INV-0209	0.00	4,030.63	116,840.95
05 Apr 2023	Payment: Alyce Ventris	2043	0.00	2,030.38	114,810.57
22 Apr 2023	Payment: Town Team Movement	INV-0101	6,719.00	0.00	121,529.57
<b>Total BB NEWROC Funds-5557</b>			<b>6,719.00</b>	<b>8,054.26</b>	<b>121,529.57</b>
<b>Closing Balance</b>			<b>121,529.57</b>	<b>0.00</b>	<b>121,529.57</b>
<b>Total</b>			<b>6,719.00</b>	<b>8,054.26</b>	<b>(1,335.26)</b>

# Balance Sheet

North Eastern Wheatbelt Regional Organisation of Councils  
As at 30 April 2023

30 APR 2023

## Assets

### Bank

BB NEWROC Funds-5557	121,529.57
BB Term Deposit Account-1388	299,025.69
<b>Total Bank</b>	<b>420,555.26</b>

### Total Assets

420,555.26

## Liabilities

### Current Liabilities

GST	(4,269.74)
Rounding	0.02
<b>Total Current Liabilities</b>	<b>(4,269.72)</b>

### Total Liabilities

(4,269.72)

## Net Assets

424,824.98

## Equity

Current Year Earnings	71,862.45
Retained Earnings	352,962.53
<b>Total Equity</b>	<b>424,824.98</b>

## RESOLUTION

That the income and expenditure from 1 April 2023 to 30 April 2023, P and L and balance sheet be received.

Moved R McCall

Seconded L Parola

CARRIED 6/0

## 7. MATTERS FOR CONSIDERATION

### 7.1. ENERGY

<b>FILE REFERENCE:</b>	107-1 Power
<b>REPORTING OFFICER:</b>	Caroline Robinson
<b>DISCLOSURE OF INTEREST:</b>	Nil
<b>DATE:</b>	26 May 2023
<b>ATTACHMENT NUMBER:</b>	#2 ARENA Information and Summary #3 Empire C&E quote
<b>CONSULTATION:</b>	Cr Sachse, Liz Aitken, Ben McKay, Peter Klein
<b>STATUTORY ENVIRONMENT:</b>	Nil
<b>VOTING REQUIREMENT:</b>	Simple Majority

#### COMMENT

This resolution was passed at the NEWROC Council meeting in April.

#### MOTION

Council provides direction on the REDS Grant to the NEWROC EO as follows: convene a VPN meeting and subject to the outcome of that meeting the Council will consider the next step for the REDS grant

Moved Cr Sachse

Seconded Cr De Lacy

#### RESOLUTION

Council provides direction on the REDS Grant to the NEWROC EO as follows: convene a VPN meeting and subject to the outcome of that meeting we will move to the next step for the REDS grant.

Moved Cr Sachse

Seconded Cr De Lacy

CARRIED 6/0

The following email was distributed to the Energy Sub Committee on Thursday 25 May as a result of further investigation into the [ARENA Community Batteries Round 1](#) grant and attendance by the EO to their online information session.

*Cr Sachse, myself and Empire C&E caught up on Monday (22/5/23) to discuss the ARENA grant.*

*This is a brief summary of the meeting:*

- *Grant only for battery (100% of capex) not for the supply of energy (solar)*
- *This grant seeks to encourage residents and businesses to install solar panels to supply to a community battery*
- *Behind the metre (no charge from Western Power in theory)*
- *No transmission lines between the 5 batteries or one for every town (we could go for 9 batteries essentially)*
- *Minimum 50KW batteries in towns across the NEWROC. ARENA wants to work with partners who can gather data and insight for them, hence seeking batteries for different purposes in each town would be beneficial.*
- *Community battery 'owned' by the community. Community engagement process is important*
- *Ongoing Costs – data collection tools in the form that ARENA needs once the battery is installed, cost of solar panels to supply batteries. This could be a cost to local*

governments, residents or a cluster of businesses who already want to put on solar panels and this is an incentive.

- *Initial Costs – Liz' time to draw up the Project Plan, Financial Modelling for the EOI (\$15K) and in the future engineering line drawings, how do we encourage businesses / residents to uptake solar panels to 'soak' up power for the community batteries. Liz to complete the full application \$50K if we are successful to stage 2*
- *Main Risk – Western Power data access (we will highlight this in the EOI and engage with WP prior to the EOI)*
- ***Do all NEWROC members want to be part of this? Where do we want the batteries that will meet the objectives of ARENA? And what are the secondary benefits? Hopefully different for each location. Diversity of benefit. Any Shire's or businesses going to add solar panels to their facilities? Potential locations which need NEWROC discussion:***
  - *Dowerin - events focus with Field Days*
  - *Mukinbudin - business cluster*
  - *Townsite with a focus on emergency services and evac centre, telecommunications*

*I have spoken to Renee Manning at WDC and received the go ahead for the expenditure of the REDS grant on the business case for the ARENA grant.*

*The work Liz does can be used for other grant applications in the future, if we are not successful in this EOI.*

*The following resolutions endorse the expenditure of the REDS grant to progress the project:*

#### **COUNCIL June 29 2021**

***MOTION NEWROC 2021/22 Budget be adopted subject to the amendments discussed at the meeting Moved Cr Sachse Seconded Cr Shadbolt CARRIED 7/0***

*In this budget we approved \$27,500 budget expenditure towards the REDS grant and subsequently the Shire of Koorda (REDS lead organisation) invoiced the NEWROC and we paid our contribution.*

#### **COUNCIL April 27 2023**

***RESOLUTION Council provides direction on the REDS Grant to the NEWROC EO as follows: convene a VPN meeting and subject to the outcome of that meeting we will move to the next step for the REDS grant. Moved Cr Sachse Seconded Cr De Lacy CARRIED 6/0***

*I am therefore seeking the support of the energy sub committee to engage Liz to prepare the business case for the first step, an EOI at the cost of \$15K (please note Liz is completing some work as a pro bono).*

*Should we be successful in the EOI then Liz would complete the next stage for us as well at a cost of circa \$50K. We need to be prepared to do this as well.*

*Our total available funds for the business case using REDS and NEWROC matching funds is \$55K, so there may be a shortfall, however to get to stage two we need to complete the EOI.*

*Please can you reply to me at your earliest convenience regarding the engagement of Liz. We have a NEWROC Executive meeting next week where we can discuss the location of the batteries and then provide this information back to you and the other members for further consideration (noting the EOI deadline is 30 June 2023).*

*As at Monday 29 May Darren Simmons and Peter Klein, as members of the Energy Sub Committee have agreed in writing to progress with Empire C&E. Cr Sachse and Ben McKay verbal commitment subject to this item's discussion. Further advice to still come from Cr Trepp.*

NEWROC CEOs are asked to provide input into possible locations for the community batteries (minimum 5) with NEWROC seeking to put one battery in each community (8).

**MOTION**

Executive to recommends to revoke resolution from the NEWROC Council meeting on 27 April 2023: Council provides direction on the REDS Grant to the NEWROC EO as follows: convene a VPP meeting and subject to the outcome of that meeting we will move to the next step for the REDS grant. Moved Cr Sachse Seconded Cr De Lacy CARRIED 6/0

To

Council provides direction on the REDS Grant to the NEWROC EO as follows:

- a) engage Empire C&E to assist in the submission of an Expression of Interest to the ARENA Community Battery Program Round 1
- b) convene a meeting with Western Power to inform them of this submission and seek information on a VPP.

Moved L Parola

Seconded R McCall

Not carried

**RESOLUTION**

**Receive information and NEWROC move to the next step of the energy project**

**Moved D Simmons**

**Seconded B McKay**

**CARRIED 6/0**

**7.2. PLACE BASED CAPITAL PROGRAM**

**FILE REFERENCE:**  
**REPORTING OFFICER:** Caroline Robinson  
**DISCLOSURE OF INTEREST:**  
**DATE:** 22 March 2023  
**ATTACHMENT NUMBER:** #4 Ethical Fields Contract  
 #5 Ethical Fields Briefing Paper  
**CONSULTATION:** Meaghan Burkett  
**STATUTORY ENVIRONMENT:** Nil  
**VOTING REQUIREMENT:** Simple Majority

**COMMENT**

At the April Council meeting the following resolution was passed.

**RESOLUTION**

NEWROC to participate in the Place Based Capital Program at a once off cost of \$9,000.

Council requests the NEWROC EO to develop an EOI for the working group.

Moved Cr Sachse                      Seconded Cr Stratford                      CARRIED 6/0

Since the NEWROC April Council meeting Ethical Fields has made contact with the NEWROC EO discuss sponsorship of the program. Ethical Fields has been unable to secure partner funding for the program due to the original partner restructuring their business (international firm). Ethical Fields wanted to give all participants advance warning however felt confident they could secure private funding over the next 6 months. Ethical Fields are keen to progress and seeks the support of the NEWROC in doing so. They can deliver half the program over the next 6 months which gives them enough lead time to find funding. Ethical Fields feels confident participants will receive support and resources of value during the first 6 months.

The following schedule is an outline of the Program:

Milestone	Objective	Outputs	Anticipated Nominated Participants Tasks and Activities	Date
Stage 1 a. Project Inception & Places/Partners Onboarding/Preparation	Onboard and prepare all partners and participants	<ul style="list-style-type: none"> <li>Program Information Pack</li> <li>Collaboration Platform</li> <li>Launch, Q&amp;A Session</li> </ul>	Complete onboarding tasks	Start date + 1 month
Stage 1B. Capability Building for Participants	Build participant foundational knowledge in key program concepts	<ul style="list-style-type: none"> <li>Participant survey results pre and post capability building</li> <li>Capability Building Framework, Materials and Sessions</li> </ul>	Complete capability building sessions	Start date + 3 months

<p>Stage 2A. Local Capital Needs, Challenges &amp; Opportunities</p>	<p>Research, analyse and co-define the individual and common local capital needs, challenges and opportunities</p>	<ul style="list-style-type: none"> <li>• Research &amp; discovery methodology</li> <li>• Survey &amp; survey results</li> <li>• Workshop on local capital needs, challenges &amp; opportunities</li> <li>• Mini report on findings for local capital needs, challenges &amp; opportunities</li> <li>• Local capital needs framework</li> </ul>	<p>Gather local information, liaise with community groups, leaders, business and other stakeholders to determine local needs, challenges and opportunities. Participate in workshops, share outputs and opportunities with other members of the Program and your local stakeholders</p>	<p>Start date + 5 months</p>
<p>Stage 2B. Place Based Capital Case Studies</p>	<p>Research and analyse examples of place based capital (like) systems and structures from Australia and internationally</p>	<ul style="list-style-type: none"> <li>• Research &amp; discovery methodology</li> <li>• Mini report on findings for place based capital case studies including potential models for Stage 3 and elements for the enabling environment framework</li> </ul>	<p>Share knowledge of existing place based capital systems and structures. Review the mini report and provide feedback.</p>	

A contract is attached for review.

Additionally, Cr Trepp, Darren Simmons and the NEWROC EO participated in an online webinar hosted by Ethical Fields with Michael Schuman, entitled Building Community Wealth. This webinar was not part of the formal program but was offered to participants as an extra resource. A recording of the webinar is available here:

[Place Based Capital Program - Inspiration Series #1 with Michael Shuman - YouTube](#)

**RESOLUTION**

**NEWROC continue its participation in the Place Based Capital Program at a once off cost of \$9,000 and enter into a contract with Ethical Fields.**

**The NEWROC nominates the following:**

**NEWROC as the anchor organisation to lead and coordinate participation in the Program  
NEWROC EO to coordinate this participation on behalf of the member Councils and participants**

**NEWROC nominates Cr De Lacy, Cr Trepp, Peter Klein and Ben McKay (or EDO) as members of the nominated participants, with another 3 representatives sought (EOI to be shared).**

**Moved B McKay**

**Seconded L Parola**

**CARRIED 6/0**

**7.3. EMERGENCY SERVICES GRANT**

**FILE REFERENCE:**  
**REPORTING OFFICER:** Caroline Robinson  
**DISCLOSURE OF INTEREST:**  
**DATE:** 26 May 2023  
**ATTACHMENT NUMBER:** #6 Minutes of email meeting  
**CONSULTATION:**  
**STATUTORY ENVIRONMENT:** Nil  
**VOTING REQUIREMENT:** Simple Majority

**COMMENT**

Minutes of the meeting via email are attached.

The Executive is asked to contribute to the development of a scope of works for the project to include in the grant application.

**RESOLUTION**

**Members received the information**

**Moved R McCall**

**Seconded P Klein**

**CARRIED 6/0**



**7.4. GROWING REGIONS GRANT**

<b>FILE REFERENCE:</b>	
<b>REPORTING OFFICER:</b>	Caroline Robinson
<b>DISCLOSURE OF INTEREST:</b>	
<b>DATE:</b>	26 May 2023
<b>ATTACHMENT NUMBER:</b>	#7 Growing Regions - Waste Project
<b>CONSULTATION:</b>	Leanne Parola, Dirk Sellenger, Peter Klein
<b>STATUTORY ENVIRONMENT:</b>	Nil
<b>VOTING REQUIREMENT:</b>	Simple Majority

**COMMENT**

The [Growing Regions Program](#) provides grants of between \$500,000 and \$15 million to local government entities and not-for-profit organisations, for capital works projects that deliver community and economic infrastructure projects across regional and rural Australia.

The program is open competitive with grants awarded on a merit basis.

There will be a two-stage application process. Under Stage One, applicants will be required to submit Expressions of Interest which will be assessed to ensure projects meet eligibility requirements, project readiness and program suitability, and are aligned with regional priorities for the area.

Expressions of Interest that are assessed as meeting requirements and approved to proceed will be invited to submit a full application (Stage Two).

EOI's open on 5 July and close on 1 August 2023.

The waste project could be put forward for this funding. An assessment of the project against the grant criteria and guidelines is attached.

Members are asked to provide comment and whether an EOI should be completed this round or whether we should prepare further and apply in 2024.

**OFFICER RECOMMENDATION**

Members receive the information and discuss.

**Members discussed the item and there was no action or resolution**

## 8. GENERAL UPDATES

### Rail Trail (update from Leanne Parola)

- Trail alongside disused railway line
- Project meeting with consultant and key stakeholders was held

### Waste Project

- Ask Waste Management can help us identify a cleared piece of farmland, must meet criteria for tip and ideally 10ha with less than 500T, category 89 landfill (ideal situation)
- We need the lowest travel line as we are on a shared cost model
- \$4.5K Ask Waste Management to complete the work, agreed to proceed as waste has been allocated in the 2022/23 budget

## 9. 2023 MEETING SCHEDULE

27 June	Council	Shire of Koorda
25 July	Executive	Shire of Trayning
21 August	Council	Merredin (straight after GECZ)
26 September	Executive	Shire of Mukinbudin
31 October	Council	Shire of Mt Marshall
28 November	Council	Shire of Nungarin

## 10. CLOSURE

NEWROC CEO thanked everyone for attending and closed the meeting at 3.35pm

COMMUNITY PRIORITIES	COUNCIL ACTIONS	STATUS	COMMENTS
<b>1.1 - Local people feel safe, engaged, and enjoy a healthy and peaceful lifestyle.</b>	1.1.1 - Maintain strong working relationships with State Agencies. (e.g. WAPOL, Department of Education and WACHS)	Ongoing	<b>Working with the Health Centre to ensure equipment remains maintained and in working order. Repairs undertaken on blood spinner.</b> Jan/Feb CEO-Koorda Police liaison on various matters. WACHS nursing post staffing issues resulting in return to 2 clinic days resuming 07/03/2023. Significant degree of liaison with Koorda pool management. Shire-sponsored annual school book awards, numerous CEO meetings with Koorda Police, Koorda Health Centre long-term lease finalised
	1.1.2 - Advocate for continued improvements in medical, education and support services from other levels of government and the private sector that facilitates aging, living and learning within the Shire.	Ongoing	<b>Ongoing Liaison with Shire of Wyalkatchem for the future continued provision of GP services.</b> Partnered with Shire of Wyalkatchem to facilitate 6-month contract extension for local GP retention. New Doctor commenced practice at Koorda Health Centre (Nov 2022).
	1.1.3 - Facilitate and support events that promote the region and deliver a positive economic impact.	Ongoing	<b>Policy Review Committee investigated Community Grants and will work on the policy and framework to be roll them out in 2023/2024 Budget. (The guidelines look at supporting local events)</b> Supporting Festival of Small Halls concert for 05/05/2023. Assisted in developing 2023 drive screenings schedule and training of new volunteers. Supported 2022 Drive-in screenings
<b>1.2 - Local volunteer groups supported through initiatives that reduce volunteer fatigue and strengthen their resilience.</b>	1.2.1 - Recognise and support the value of our community volunteers and provide meaningful opportunities to contribute to Shire projects and improving local living.	Ongoing	<b>President &amp; CEO meet with CRC and local Town Teams volunteers to discuss future initiatives and funding application.</b> Assisted Koorda CRC with recruitment and training of volunteer projector operator. Supported Koorda Community Garden Group with Festival of Small Halls initiative. Partnered with Koorda CRC to seek volunteer expressions of interest to assist tidying gardens for people in need. Assisted with Koorda Community Garden water harvesting and reticulation.

COMMUNITY PRIORITIES	COUNCIL ACTIONS	STATUS	COMMENTS
	1.2.2 - Develop and implement a Community Grants Program.	25%	<p><b>Policy Review Committee investigated Community Grants and will work on the policy and framework to be roll them out in 2023/2024 Budget.</b></p> <p>Policy to be developed as part of Council's policy review project</p>
	1.2.3 - Make available a list of current grant opportunities to local businesses, clubs and community groups.	100%	<p>Local businesses, clubs and community groups may liaise directly the Koorda CRC (as the Shire's Contract Community Development Officer) for access to its GrantGuru subscription and assistance with any subsequent preparation of grant applications.</p> <p>Weblinks to free online grant directories (GrantGuru and wa.gov.au) also available on the Shire's website. Community to As Koorda CRC (the Shire's contract Community Development Officer) has a Grant Guru subscription, exploring how to make available to the community.</p>
<p><b>1.3 - Emergency services are supported with effective planning, risk mitigation, response, and recovery.</b></p>	1.3.1 - Work with emergency service stakeholders to ensure the Shire and Volunteers meet WHS standards.	Ongoing	<p><b>Kulja Brigade conducted a truck familiarisation day at the Golf Club and assisted with a controlled burn off.</b></p> <p><b>An MOU with GECZ Shires regarding shared resources during local emergency situations has been developed. NEWROC Shires working on scope to complete an Emergency Services/ Resources Audit.</b></p> <p>CEO attendance at DFES Total Fire Ban clarification session on 3 March 2023. CBFCO attendance at Northam DFES DOAC meeting on 14 March 2023. Koorda hosted DFES Regional Pre-season Bush fire Briefing on 19/10/2022. WHS information provided to Shire bush fire control officers as part of formal appointment processes.</p>
	1.3.2 - Conduct regular LEMC meetings and exercises.	Ongoing	<p><b>LEMC Meeting scheduled for 29/06/2023.</b></p> <p>Participation in NEWROC Emergency Management Day at Trayning on 15/03/2023 includes case study/exercise.</p> <p>Meeting held 24 November 2022. Bushfire based exercise scheduled for March 2023 (but now deferred due to NEWROC Emergency Management Day on 15/03/2023).</p>

COMMUNITY PRIORITIES	COUNCIL ACTIONS	STATUS	COMMENTS
	1.3.3 - Investigate regional emergency service arrangements. (Policies, procedures, risk management plans).	Ongoing	<p><b>An MOU with GECZ Shires regarding shared resources during local emergency situations has been developed. NEWROC Shires working on scope to complete an Emergency Services/ Resources Audit.</b></p> <p>NEWROC Emergency Management Day on 15/03/2023 arose from and part of NEWROC emergency management initiatives discussed at NEWROC meeting on 28/11/2022. LEMC endorsed changes on 24/11/2022. Bush Fire exercise scheduled for March 2023 (but now deferred due to NEWROC Emergency Management Day on 15/03/2023).</p>
<b>2.1 - Our local economy grows in a sustainable manner.</b>	2.1.1 - Ensure that our planning framework is modern and meets the needs of the relevant zoning stakeholders, such as industry, residential, small business and any emerging opportunities.	Ongoing	<p><b>Allocation in 2023/24 Draft Budget to update the Local Planning Scheme to allow for more than one dwelling on a rural land parcel.</b></p> <p>Telstra mobile telephone tower for Koorda townsite development approval (DA) granted 15/12/2022, CBH workers accommodation DA granted 13/02/2023, Drumin Tree Farm DA granted 01/03/2023 and CRISP Wireless internet tower for North Koorda granted 07/03/2023.</p> <p>Two development applications being presented to Council on 15/12/2022. Shire staff and planning consultant working with CBH on workers accommodation development application received November 2022.</p>
	2.1.2 - Advocate regionally to reduce economic barriers such as access and reliability of water, electricity, logistics infrastructure and telecommunications.	Ongoing	<p><b>STC Seroja Resilience Grant considered in 2023/24 Draft Budget to ensure reliable resources during natural disasters can be maintained. (Investigating battery back up for telecommunications and generators for back up power to Emergency Evacuation Centres. Guidelines still to be released)</b></p> <p>Telstra (Dec 2022) and CRISP Wireless (Mar 2023) infrastructure works approved (see 2.1.1 above). 275 kL non-potable emergency water tank installed Feb 2023 at Collier Dam.</p> <p>Involved with NEWROC energy project (CEO on NEWROC energy sub-committee) Shire partnering DWER for an emergency water tank at Collier Dam.</p>

COMMUNITY PRIORITIES	COUNCIL ACTIONS	STATUS	COMMENTS
	2.1.3 - Investigate the viability of a Business/Economy grant program.	On Hold	<b>Following the roll out of the Community Grants Scheme, and review after the first year, feedback will be sought to determine the appetite for any other such grants.</b> Policy to be developed as part of Council's policy review project
	2.1.4 - Promote business network development and collaboration. (e.g. CRC business after dark and Wheatbelt Business Network)	25%	Koorda CRC facilitated Backpacker sundowner function 03/04/2023. Townscape Plan Shire and CRC have met to discuss 'Meet and Greet' function early 2023.
	2.1.5 - Activate the town centre through community inspired street scaping and initiatives.	Ongoing	<b>Staff met with sign writers to look at options for Townsite stack signs and heavy vehicle parking. Allocation in the 2023/24 Draft Budget for street scaping projects.</b> Workshop held 20/02/2023 with Townscape Plan 'Business Buzz' businesses. Assisted with Koorda Community Garden water harvesting and reticulation.
<b>2.2 - Tourism helps to diversify and grow our local economy.</b>	2.2.1 - Contribute to regional tourism marketing campaigns. (e.g. NEWTRAVEL/Wheatbelt Way)	Ongoing	<b>Continuing support of NEWTRAVEL in 2023/24 Draft Budget.</b> NEWTRAVEL membership continued and meetings attended
	2.2.2 - Work towards a high standard of tourism assets and information. (Yalambee, Caravan Park & tourist information boards and brochures)	Ongoing	<b>Asphalt drive way completed at Yalambee Units.</b> Quotation received for Yalambee driveway asphalt received and cost included as a budget review item. Paving of Caravan Park ablution area planned for Mar/Apr 2023. Refurbishment works continued at Yalambee and caravan park. New brochures printed
<b>3.1 - Shire owned facilities are renewed and maintained in a strategic manner to meet community needs.</b>	3.1.1 - Manage Shire Assets sustainably using the Strategic Resourcing Plan.	Ongoing	<b>Allocation in the 2023/24 Draft Budget for the updating of the Strategic Resourcing Plan. Asset Revaluations have included condition reporting to ensure staff can monitor individual asset conditions when considering current and future updates and recommended replacement plans.</b> Significant degree of work on Rec Ground Pavilion upgrade. CWA Hall ceiling works completed and floor coverings now being replaced. 2022/23 Shire Budget adopted 29/06/2022 informed by Strategic Resourcing Plan
	3.1.2 - Develop and implement online user maintenance request system	Ongoing	<b>Continuing community education in the platform available to log requests.</b> Works requests via Shire website now available

COMMUNITY PRIORITIES	COUNCIL ACTIONS	STATUS	COMMENTS
<b>3.2 - Safe, efficient, and well maintained road, and footpath infrastructure.</b>	3.2.1 - Continue to improve the road and footpath network by maximising external funding sources and delivering infrastructure projects to a high standard.	Ongoing	<b>Construction of a new footpath on Haig Street. Allocation in 2023/24 Draft Budget for a new footpath on Greenham Street (North).</b> 100% of Regional Road Group recoups completed. Roads proposed for RAV network change undergoing MRWA for assessment. Works undertaken on Mulji and Koorda-Kulja Roads. Shire staff commenced a restricted access vehicle research project to assist Council review its existing RAV ratings for local roads. Regional Road Group-supported sealing works completed on Dowerin-Koorda Road and Burakin-Wialki Road.
	3.2.2 - Implement an effective, proactive road maintenance program that is sensitive to industry seasonality.	Ongoing	<b>WSFN Delivery Plan for 2023/2024 includes a budget allocation of \$100,000 for the Koorda-Wyalkatchem Road (slk: 11.14 – 17.30) to commence preparation works with clearing permits, road designs &amp; soil testing for future upgrades.</b> Maintenance grading undertaken as required subject to road construction requirements (as per 3.2.1). Urgent gravel road grading works prioritised during harvest 2022.
<b>3.3 - A high standard of sustainable waste services.</b>	3.3.1 - Develop and effectively implement Waste Management and Landfill Rehabilitation Project.	Ongoing	Wyalkatchem Landfill facility (probable NEWROC regional waste site) nearing completion of DWER clearing assessment. Staff currently reviewing draft Waste Management Strategy and Landfill Facility Closure Plan received July 2022
	3.3.2 - Continue to work towards a Regional Waste solution with NEWROC.	Ongoing	Wyalkatchem Landfill facility (probable NEWROC regional waste site) nearing completion of DWER clearing assessment. NEWROC waste project still under consideration. Council adopted a Waste Management Plan and Koorda Landfill Closure Management Plan in November 2022.
<b>3.4 - Conservation of our natural environment for future generations.</b>	3.4.1 - Support renewable energy initiatives and encourage further renewable industry development.	Ongoing	Proposed participation in NEWROC-wide electric vehicle (EV) included in Mar 2023 council budget review. Currently working through NEWROC on its energy project
	3.4.2 - Partner with Wheatbelt NRM and DWER for future grant and project opportunities.	Ongoing	Participated and promoted DPIRD pest parrot and cockatoo management strategy consultation. DWER and Shire collaborating to install water tank at Mt Collier Dam



COMMUNITY PRIORITIES	COUNCIL ACTIONS	STATUS	COMMENTS
	3.4.3 - Increase community awareness and preparedness for the impacts of climate change and its major local risks such as bush fires.	Ongoing	<p><b>Updates to Shire Website to ensure Fire &amp; Emergency Service information is easily accessible.</b></p> <p>Due to prevailing bush fire risk, prohibited burning period extended by two weeks. NEWROC emergency management day includes briefing and discussion on climate change impacts on NEWROC communities.</p> <p>Promotion of firebreak, total fire ban and harvest and movement ban requirements completed.</p>
<b>4.1 - Open and Transparent Leadership.</b>	4.1.1 - Ensure the use of resources is effective, efficient and reported regularly. (e.g. Financial Management)	Ongoing	<p><b>Interim Audit undertaken in May. Action Plan for improvements identified in Moore Australia FM &amp; Reg 17 Review to be tabled at Audit Committee and Council Meetings in June.</b></p> <p>Unqualified ('clean') 2021/22 external audit completed Dec 2022. Preparation for and site visit by Moore Australia on 21/02/2023-22/02/2023 undertaking combined financial management and Reg 17 reviews.</p> <p>Statutory financial reports presented monthly to Council. 2021/21 Audit due for completion December 2022.</p>
	4.1.2 - Identify business improvement opportunities to enhance operational effectiveness. (e.g. implement any recommended actions from audit/OAG reports)	Ongoing	<p><b>Utilising OAG reports and recommendations (Verifying Employee Identity &amp; Credentials) during procedure and policy creation.</b></p> <p>OAG management letter items referred to Shire administration Dec 2022. 2022 DLGSC Compliance Audit Return to 22/03/2023 Audit and Council meetings. Anticipating combined financial management and Reg 17 review report Apr 2023.</p> <p>New office hours implemented July 2022</p>
	4.1.3 - Develop and implement Customer Service Charter & External Stakeholder communication plan.	Ongoing	<p>Draft customer satisfaction survey to be presented to 22/03/2023 Council Forum.</p> <p>Staff research, including consultation with NEWROC and other Shire's commenced.</p>



COMMUNITY PRIORITIES	COUNCIL ACTIONS	STATUS	COMMENTS
<p><b>4.2 - Investment in the skills and capabilities of our elected members and staff.</b></p>	<p>4.2.1 - Promote continued professional development amongst elected members and staff.</p>	<p>Ongoing</p>	<p><b>An updated Continuing Professional Development for Elected Members has been endorsed by the Policy Review Committee and will be tabled at the June 2023 Council Meeting. Allocation in the 2023/24 Draft Budget for Staff training. Staff Training opportunities identified during annual performance reviews.</b>  President, Deputy President and CEO attended GECZ Conference in Merredin on 28/02/2023. 4 Councillors and 2 executives attended WALGA Convention in October 2022.</p>
	<p>4.2.2 - Progress 'Team Koorda' initiative. (e.g. Workforce Plan)</p>	<p>Ongoing</p>	<p>Majority of staff participated in corporate skin cancer screening program on 14/03/2023. From 01/01/2023 Shire now under WA Industrial Relations system. Staff encouraged to take recreational leave (in line with OAG audit and TeamKoorda principles). All staff meeting held 29/11/2022 to discuss transition to WA Industrial Relations system. Works team briefing on works prohibited during declared fire bans.</p>
<p><b>4.3 - Forward planning and delivery of services and facilities that achieve strategic priorities.</b></p>	<p>4.3.1 - Actively participate in regional collaboration initiatives. (e.g. NEWROC regional subsidiary)</p>	<p>Ongoing</p>	<p><b>President and CEO attended NEWROC Council meeting 27/04/2023 in Bencubbin.</b>  President and CEO attended NEWROC Council meeting in Dowerin on 20/02/2023. CEO participated in NEWROC Exec Teams meeting concerning local capital funding on 02/03/2023. NEWROC Regional Subsidiary Charter adopted. WALGA Great Eastern Country Zone and NEWROC meetings attended.</p>
	<p>4.3.2 - Regularly report on progress of strategic plan initiatives using a quarterly score card.</p>	<p>Ongoing</p>	<p><b>Forth Quarter report being tabled at June Audit and Council meeting.</b>  Third quarterly report to Audit and Council meetings on 22/03/2023. Second quarterly report emailed to Councillors 'out-of session' on 09/12/2022. First quarterly report adopted by Council and published in Narkal Notes and online.</p>

WORKFORCE OBJECTIVES	ACTIONS/DELIVERABLES	OWNER	DONE	STATUS	COMMENTS
<b>1 - Attracting and selecting the right people</b>	1.1 - Develop an employment brand for the Shire of Koorda.	DCEO	✓	100%	Completed 2021/2022.
	1.2 - Provide flexible work arrangements and promote the positive workplace.	EMT	✓	100%	Flexible arrangements in place
	1.3 - Develop an appropriate induction and orientation process.	EMT & Payroll	✓	100%	New employee packs developed and provided.
<b>2 - Developing a flexible, innovative and capable workforce</b>	2.1 - Encourage employees to identify professional development and training opportunities.	EMT & all employees	✓	100%	Part of annual performance reviews completed July 2022
	2.2 - Continually review and upgrade finance and administration systems to improve performance.	DCEO & Finance		75%	New finance system implementation progressing well. <b>Will monitor Audit Report and recommendations to determine if any improved modules are required in the future.</b>
	2.3 - Encourage all staff to contribute to a workplace culture that values safety and eliminates workplace injuries.	EMT & all employees		On Hold	To be considered as part of Code of Conduct consultations (see 4.1 below)
<b>3 - Retaining and engaging our valued workforce</b>	3.1 - Provide opportunities for staff to act in other roles that will support their development.	EMT	✓	100%	
	3.2 - Foster and value openness by encouraging effective communication throughout the shire.	EMT & all employees		On Hold	To be considered as part of Code of Conduct consultations (see 4.1 below)
	3.3 - Review current meeting structure and introduce meetings that improve performance.	EMT		Not Started	
	3.4 - Encourage participation in whole of organisation social activities.	EMT & all employees	✓	100%	Well attended and successful (based on comments received) Christmas function on 02/12/2022.
	3.5 - Review our performance management framework and create a simplified performance review process that aligns to our strategic objectives.	EMT & Payroll		25%	WALGA templates being considered by EMT early 2023
<b>4 - Developing a strategic workforce for improved performance</b>	4.1 - Develop an Employee Code of Conduct.	EMT		50%	Draft Code of Conduct developed for staff consultation. <b>Consultation process to be completed on 30 June 2023, for consideration and adoption of final Employee Code of Conduct.</b>
	4.2 - Develop position-based information that includes job task instructions, key contacts, and a calendar.	EMT		Not Started	Being considered as part of Council's policy review project
	4.3 - Develop succession plans for key roles.	EMT		25%	Recent vacancies and appointments have attracted a younger demographic
	4.4 - Develop a contemporary suite of human resource policies and procedures.	EMT & Payroll		25%	Being considered as part of Council's policy review project. <b>Policy manual split up to separate "Council" and "Organisational/Staff" policies. Once the Council Policy Review is complete, staff will undertake a review of the Organisation/Staff Policy Manual and use OAG Reports/Recommendations and WALGA Policy templates to ensure current policies are contemporary and compliant.</b>

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**KEY**

Completed
Almost Complete
Commenced
Yet to Commence

6.2.6 - Payments To Councillors Policy No: C3

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
DCEO	Yes	Yes	17/04/2023	Elected Member Entitlements Policy updated and endorsed by Policy Committee 17/04/23. To be tabled at Council on 28/06/23.

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Entity Wide	6.2	Payments To Councillors Policy No: C3	Policy to outline the support that will be provided to council members through the provision of equipment, payment of allowances, reimbursement of expenses incurred.	6.2.6

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Likely	Moderate	Moderate	Moderate	High	Prioritised action required

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
The policy sets out an allowance in lieu of reimbursement for information technology expenses. The amount set by the policy does not align with the amount set at the most recent review by Council, and does not align with the allowances paid to elected members for ICT expenses.	Invalid or Ineffective Policy, Compliance Breach	Review and update the policy, ensuring alignment is maintained with the provisions of the most recent determination published by the SAT. Consider limiting the level of detail within the policy to support the review of allowances, fees and payments to elected members as resolved by Council annually.

6.2.10 - Purchasing Policy No: F16

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
DCEO	Yes	Yes	12/06/2023	<p>Outdated policy supplied during review process.</p> <p>The updated Purchasing Policy which was adopted 16/09/22 included contract variations as per point two in the "Mitigation and Management Strategy."</p> <p>An updated Purchasing Policy Draft was endorsed by Policy Committee 12/06/23. To be tabled at Council on 28/06/23.</p>

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Entity Wide	6.2	Purchasing Policy No: F16	<p>Policy providing a best practice approach and procedures for purchasing. Ensure consistency for all purchasing activities that integrates with all operational areas.</p> <p>Requires compliance with the Local Government Act 1995 and Local Government (Functions and General) Regulations 1996.</p>	6.2.10

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Likely	Moderate	Moderate	Moderate	High	Prioritised action required

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
<p>Authorisation for a sole source of supply arrangement considered under the policy is not defined.</p> <p>The policy provides some direction regarding contract variations and extensions, however provides limited guidance where associated price changes change the purchase value threshold. The policy should ensure appropriate controls exist to minimise opportunities to circumvent purchasing threshold requirements through application of variations and extensions.</p> <p>Purchasing requirements for procurement of goods or services in accordance with the exemptions under Local Government (Functions and General) Regulations 1996 Regulation 11(2), are not consistent within the policy. The CEO is required to ensure controls exist for all purchases including those made using these exemptions. It is noted the practice of testing the market through sourcing multiple quotations when using the exemptions is often occurring, and the policy should be updated to reflect the expectation and requirement, regardless of whether the quotations are being sought from pre-qualified suppliers, WALGA Preferred Supply Contracts or other suppliers.</p> <p>The policy makes reference to pre-qualified suppliers and instances where pre-qualified suppliers are to be given priority for purchasing activities. This may cause confusion for users of the policy. The Shire do not have a policy</p>	<p>Failure to identify risks or adequately treat risks, Invalid or Ineffective Policy</p>	<p>Amend the policy to provide the following:</p> <ul style="list-style-type: none"> <li>Amend policy to require CEO approval under sole source of supply arrangements, and to reference the risks and control environment where considering these arrangements.</li> <li>Consideration to purchasing requirements for the issuing of contract variations and extensions should be included to circumstances where the contract value increase over a policy threshold level, due to the variation or extension.</li> <li>Amend purchasing requirements for procurement of goods or services to be consistent regardless of where the quotations are being sought from, including those made under the exemptions under Local Government (Functions and General) Regulations 1996 Regulation 11(2).</li> <li>If a separate prequalified supplier policy is not intended to be developed and adopted, references to pre-qualified suppliers should be removed from the policy to avoid confusion and non compliance in executing policy requirements.</li> <li>Publish the current, up to date purchasing policy on the official local government website as required by legislation.</li> </ul>

relating to pre-qualified suppliers, and entering into such an arrangement may not comply with legislation.  
The current policy is not published on the official local government website as required by legislation.



6.2.14 - Appointment of Acting Chief Executive Officer Policy E5.8

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
DCEO	No	Yes		New draft policy to incorporate recommendations. To be endorsed by policy review committee before going to Council for adoption.

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Entity Wide	6.2	Appointment of Acting Chief Executive Officer Policy E5.8	Policy to provide for the appointment of a suitably qualified Acting CEO during limited absences of the Chief Executive Officer, in accordance with the provisions of the <i>Local Government Act 1995</i> .	6.2.14

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Likely	Moderate	Moderate	Moderate	High	Prioritised action required

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
<p>The current policy provides for the appointment of an Acting CEO for period not exceeding six weeks. It does not address the following matters as required by legislation:</p> <ul style="list-style-type: none"> <li>• Scope to determine 'suitably qualified' persons to act as CEO;</li> <li>• Requirements in the event appointment of an Acting CEO will be required to exceed a term of four weeks; and</li> <li>• The amount of remuneration to be paid to an Acting CEO is not detailed within this policy. This presents a risk of legislative non-compliance due to a payment to an acting CEO not being in line with the salary bands set by the Salaries and Allowances Tribunal (SAT).</li> </ul>	Invalid or Ineffective Policy, Compliance Breach	Review and update the policy to sufficiently address compliance with section 5.39C of <i>the Local Government Act 1995</i> and publish on the Shire's website.

6.2.19 - Ongoing Elected Member Professional Development Policy

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
DCEO	Yes	Yes	12/06/2023	Continuing Professional Development Policy was endorsed by Policy Committee 12/06/23. To be tabled at Council on 28/06/23.

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Entity Wide	6.2	Ongoing Elected Member Professional Development Policy	A policy to ensure equitable access to ongoing professional development and training opportunities to enable elected members to fulfil their function and perform the duties required of them under the Local Government Act 1995.	6.2.19

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Likely	Moderate	Moderate	Moderate	High	Prioritised action required

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
At the time of our review, no policy on Ongoing Elected Member Professional Development had been adopted by Council.	Invalid or Ineffective Policy, Compliance Breach	Develop and adopt a policy for Ongoing Elected Member Professional Development to comply with section 5.128 of the Local Government Act 1995. Publish the policy on the Shire's website as required.



7.1.1 - Code of Conduct for Employees, Volunteers and Contractors

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
CEO	No - Employee Code of Conduct will be completed once consultation period finishes on 30 June 2023.	Yes	17/03/2021 - Elected Member Code of Conduct  30/03/2023 - Employee Code of Conduct	<ul style="list-style-type: none"> <li>The current version of the code of conduct for council members, committee members and candidates (as adopted by Council on 17 March 2021 as per Resolution No. 160321) was published to the Shire's website on 30 March 2023 and may be accessed on the Shire's website at <a href="https://www.koorda.wa.gov.au/council/council-policies-and-procedures/code-of-conduct.aspx">https://www.koorda.wa.gov.au/council/council-policies-and-procedures/code-of-conduct.aspx</a></li> <li>The preparation and implementation of an interim code of conduct to be observed by employees of the local government was completed on 30 March 2023 as evidenced by the attached copy of an email sent to all Shire employees. In addition, a copy of the Interim Shire of Koorda Code of Conduct for Employees was published on 30 March 2023 accessible at <a href="https://www.koorda.wa.gov.au/documents/20230/shire-of-koorda-interim-code-of-conduct-employees">https://www.koorda.wa.gov.au/documents/20230/shire-of-koorda-interim-code-of-conduct-employees</a></li> </ul> <p>The adoption of an interim Shire of Koorda Code of Conduct for Employees (the Code) was in the interests of fairness, transparency and particularly clauses 1.4 (Our Values) and 1.5 (Our Commitment to Each Other and Our Community) of the Code, on a 3-month basis (i.e., to 30 June 2023) to allow for employee consultation, comment, any amendment and leading to adoption (and subsequent website publication) of a final version from 1 July 2023.</p>

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Entity Wide	7.1	Code of Conduct for Employees, Volunteers and Contractors	To provide guidance to employees, of enforceable rules and requirements as prescribed in relevant legislation.	7.1.1

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Likely	Moderate	Moderate	Moderate	High	Prioritised action required

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
Regulations gazetted on the 3 February 2021 introduced minimum requirements for an Employee Code of Conduct and introduced a model Code of Conduct for Council Members. At the time of our review, the Code of Conduct for Employees had not been developed as required (by 3 May 2021), with the existing Code of Conduct still being utilised for employees.	Failure to identify risks or adequately treat identified risks. Compliance breach	Develop a new Code of Conduct for employees and contractors as required by legislation and undertake a re-induction with all employees. Ensure the updated Code of Conduct is published on the official local government website as required by section 5.51A of the Local Government Act 1995.

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
				To work with ICT Providers in drafting and implementing an ICT Strategic Plan.

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Entity Wide	7.1	ICT Strategic Plan	Plan to guide the future development and delivery of ICT services and address the handling of ICT disaster recovery.	7.1.4

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Likely	Moderate	Moderate	Moderate	High	Prioritised action required

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
An ICT Plan highlighting and addressing ICT risks and how they are to be addressed was not available for inspection. Presently a single consultant is engaged to provide IT support services and advice regarding security, etc. A high level of risk exists by engaging a single entity to provide all IT services.	Lack of strategic direction for implementation of internal controls.	Develop an ICT Strategic Plan, identifying and documenting key ICT risks, along with the treatments to reduce the risk to an acceptable level. Utilise the strategy to assist in considering the risks of utilising one single IT provider, and to assist in developing a scope to articulate service level agreements for a range of IT services to be potentially issued to different providers.  Consider implementation of routine review and verification of skills, competencies, qualifications and experience for IT service providers.

7.2.1 - Risk Management Procedures

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
EMT	No	Yes	Strategy - 31/05/23 Policy - 28/06/23 LGIS workshop - TBC	New Risk Management Policy to be adopted by Council 28/06/23. A Draft Risk Management Strategy has been prepared and adoption will be dependent on completion of LGIS Risk Management Workshop (to update the Risk Register) to ensure cohesion between all documents. (Policy, Strategy, Procedures and Risk Register)

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Entity Wide	7.2	Risk Management Procedures	Procedures and practices to set out a uniform approach to the identification, assessment, management, reporting and monitoring of risks.	7.2.1

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Likely	Moderate	Moderate	Moderate	High	Prioritised action required

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
Risk management activities currently undertaken are largely undocumented with existing procedures based on a superseded risk management standard. These activities are sometimes performed independently within individual departments which may not align with desired risk management practices	Failure to identify risks or adequately treat risks	Risk management procedures be updated, and a process developed in accordance with any update to the risk management policy to ensure procedures align to the policy.  Communicate throughout the organisation any updates to risk management procedures and processes to assist with routine and consistent applications in accordance with adopted policy. A key function of the Audit and Risk Committee should be to review updates to risk reports, as well as to monitor and evaluate risks, particularly where changes occur. Risk reports and updates should be routinely reported and reviewed by the Audit and Risk Committee.

7.2.12 - Electronic Banking Transactions

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
DCEO	Yes	Yes	15/06/2023	Further procedures have been created to ensure compliance with the 15-minute window between audit trail production and ABA upload to the bank. Additional receipt printed from banking transaction to show time stamps to marry up with the audit trail creation.

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Entity Wide	7.2	Electronic Banking Transactions	Process to reduce opportunity for fraudulent activity with electronic banking.	7.2.12

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Likely	Moderate	Moderate	Moderate	High	Prioritised action required

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
We noted access to the ABA file from the time of generation to the time of upload to the bank is not adequately restricted, with a limited verification process undertaken to ensure the ABA file is unmodified when uploaded to the bank. This presents a risk where fraudulent manipulation of the ABA file may occur.	Breakdown of internal controls, financial and fraud risk	Improve controls to minimise the risk of electronic banking details being fraudulently manipulated through secure storage of ABA banking files. Controls should exist to restrict access to these files, and to detect and prevent any unauthorised changes being made.

7.2.13 - Changes to Banking Details

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
DCEO & Finance Officers	Yes	Yes	01/05/2023	<p>Creditor Update and Application Form has been amended to include a call back to confirm bank details for new suppliers, and for any updates, a call back using phone details on record.</p> <p>Audit Trails are produced with each creditor pay run to confirm details of any changes and is reviewed by two officers.</p> <p>The DCEO produces an audit trail on a monthly basis as per end of month processes and verifies changes and details.</p>

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Entity Wide	7.2	Changes to Banking Details	Controls to validate banking change requests.	7.2.13

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Likely	Moderate	Moderate	Moderate	High	Prioritised action required

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
We identified weaknesses in the formal procedure to change employee and supplier banking details due to some limitations to segregation of duties.	<p>Breakdown of internal controls</p> <p>Controls reliant on the capability and honesty of staff, financial and fraud risk</p>	<p>Formal procedures relating to changes to banking details for employees and creditors should be updated to ensure sufficient controls exist in both substantiating the change request and the changes performed within the Shire's ERP system. Review and update procedures to ensure the following matters are appropriately considered, documented and controls are adequate to:</p> <ul style="list-style-type: none"> <li>• Validate the change request and its origin;</li> <li>• Authority exists for the change request; and</li> <li>• Validate and control the changes once completed.</li> </ul>

7.2.18 - Security Controls for Cash Handling

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
				<p>Cash handling procedures to be written.</p> <p>As per the planned Risk Workshop with LGIS, cash handling will be identified in the register for solutions to reduce/mitigate any likely risks.</p> <p>A draft Risk Management Strategy will be recommended for adoption to determine the likelihood, consequences and risk of various Council activities to assist staff in determine the correct level or risk management per activity.</p>

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Entity Wide	7.2	Security Controls for Cash Handling	Procedures and systems for the handling of cash at Shire facilities.	7.2.18

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Likely	Moderate	Moderate	Moderate	High	Prioritised action required

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
Security controls for cash held at various facilities are considered inadequate. Controls are not consistently documented to ensure appropriate review and authorisation processes occur in relation to the management and handling of cash by staff and contractors.	Breakdown of Internal Controls, Failure to identify risks or adequately treat identified risks, financial and fraud risk	Ensure access to any cash held is restricted only to authorised personnel through secure storage. Implement appropriate documented procedures and controls for cash maintained by staff and / or third parties (such as contractors). Processes should also include reference to insured amounts relating to cash, to ensure adequate insurance levels are maintained relating to cash.

7.2.24 - Record Keeping Practices

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
DCEO & Records				As part of the Policy Review, a review/update of the Record Keeping Policy will be undertaken and will flow through to the creation of admin procedures.

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Entity Wide	7.2	Record Keeping Practices	To demonstrate compliance of record keeping systems and practices with legislative requirements.	7.2.24

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Likely	Moderate	Moderate	Moderate	High	Prioritised action required

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
<p>Staff representations indicate electronic records are stored in various locations such as shared drives, rather than the Shire's electronic document and records management system (EDRMS). Where compliance with required record keeping controls is low, information may become compromised where deletions, loss and compromised security or confidentiality of records may occur.</p> <p>Based on our enquiries with staff, no regular refresher training for the use of the records system is currently in place to support and direct staff to the appropriate procedures to save records in accordance with the Shire's record keeping plans and policies. This may increase risks associated with compliance with required record keeping controls. Where compliance with required controls is low, information may become compromised in that deletions, loss and compromised security or confidentiality of records may occur.</p> <p>Control procedures within the EDRMS relating to record preservation and disposal of records are considered inadequate. Current controls are heavily reliant on staff awareness of errors within the EDRMS generated disposal dates, and application of manual system override and review to manage compliance.</p>	<p>Breakdown of internal controls, Failure to identify risks or adequately treat identified risks, compliance breach</p>	<p>Review, update and communicate procedures for the record keeping practices and enforce individual accountability for compliance with established procedures.</p> <p>Where compromised controls relate to software errors, enforcement of contract obligations and service delivery should be undertaken as a minimum. If the Shire's EDRMS is not correctly generating record disposals, urgent consideration should be given to alternative programs or controls to provide an appropriate level of review to detect errors and ensure compliance with disposal of vital records.</p>

7.3.1 - Employee Identity and Credentials

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
DCEO & Payroll	No	Yes		OAG & WALGA Guidelines downloaded. DCEO & Payroll Officer working to create new induction forms and checklists to ensure verification undertaken with new employees.  Areas identified as part of Workforce Plan 2022-2025 (1.3, 4.2 & 4.4)

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Entity Wide	7.3	Employee Identity and Credentials	Systems and controls for screening of new employees and monitoring existing employees for changes in their circumstances which may impact their employment.	7.3.1

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Likely	Moderate	Moderate	Moderate	High	Prioritised action required

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
Practices and procedures for verifying employee identity, right to work in Australia, verification of employment history and qualifications are not consistently applied or documented.	Breakdown of internal controls Controls reliant on the capability and honesty of staff	Develop, implement and maintain appropriate policies and procedures to reduce the risk of unqualified or unsuitable staff being employed by the Shire, in line with the Western Australian Auditor General's Report in June 2019 relating to Verifying Employee Identity and Credentials.



Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
				To explore contract registers and look at creating a register to track current contracts.

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Entity Wide	8.2	Contracts Register	Provide a record of contracts entered into by the Shire.	8.2.2

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Likely	Moderate	Moderate	Moderate	High	Prioritised action required

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
A contracts register was not available for our inspection detailing the status of contracts held by the Shire.	Failure to identify risks or adequately treat identified risks. Controls reliant on capability and honesty of staff.	Maintain a register to record details of all contracts (current and expired) and their status in a form to assist with ensuring contracts are monitored and actioned as required and reflecting the value of the contracts.

8.2.4 - Financial Interest Register

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
CEO/ DCEO/ Governance	Yes	Yes	01/06/203	Noted. Section highlighted to ensure it is not missed on form in the future. WALGA procedure template downloaded and will be followed for annual returns, and any primary returns required following the upcoming Council Election and delegation changes.

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Entity Wide	8.2	Financial Interest Register	Records details required under the Act relating to financial circumstances of relevant persons.	8.2.4

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Likely	Moderate	Moderate	Moderate	High	Prioritised action required

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
We noted primary returns were completed for three relevant persons where the returns did not record start dates. We were unable to verify the returns have been completed within three months of the documented start date.	Breakdown of internal controls, Compliance breach	Establish procedures to ensure all returns are properly completed at the time of providing acknowledgement of receipt of the returns.

8.2.5 - Delegation Register

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
CEO	Yes	Yes	17/05/2023	Delegations register was adopted by Council on 17/05/2023 as per Resolution 090523.

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Entity Wide	8.2	Delegation Register	Statutory register of delegations of authority.	8.2.5

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Likely	Moderate	Moderate	Moderate	High	Prioritised action required

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
<p>The review/amendment history recorded within the delegations register has not been updated to note most recent reviews.</p> <p>Our testing identified a number of issues with several delegations. We noted common occurrences where:</p> <ul style="list-style-type: none"> <li>• The delegation is suitable for 'acting through';</li> <li>• The delegation replicates existing policies (and detail within each may cause conflict between the delegation and the policy);</li> <li>• The delegation is not a decision or power of Council; and</li> <li>• The delegation contains information not aligned with relevant current legislation.</li> </ul> <p>Several CEO sub delegations are included to an officer. The individual currently performing the duties noted within the delegation is contracted, and is not an employee of the Shire, therefore cannot be delegated authority the Local Government Act 1995.</p> <p>The formatting and presentation of delegations is inconsistent and presented in alternative formats for some delegations. Maintaining a consistent format across all delegations allows for better controls for their review and maintenance.</p>	<p>Breakdown of internal controls, Failure to identify risks or adequately treat identified risks. Invalid Delegation</p>	<p>Following review of Delegations by Council, update the latest 'history' date on each delegation to provide an accurate record of when the delegation was reviewed, amended and adopted.</p> <p>Review and update the delegations register to ensure delegations are appropriate and consistent with relevant legislation. Amend and update to ensure delegation and policy limitations are aligned. Systems and procedures should be in place to ensure consistent alignment to policies and other external references is achieved during reviews.</p> <p>Review the register of delegations to ensure all delegations made to the CEO and employees are correctly recorded as required by section 5.46(1) of the Local Government Act 1995.</p> <p>Review and amend delegations to maintain a consistent format and structure across all delegations.</p>

6.2.1 - Policy Change and Review Policy No: A15

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
DCEO	Yes	Yes	12/06/2023	Policy Change and Review Policy endorsed by Policy Committee 12/06/2023. To be tabled at Council on 28/06/2023.

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Entity Wide	6.2	Policy Change and Review Policy No: A15	Routine review of Policies to help ensure they remain current.	6.2.1

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Possible	Moderate	Minor	Moderate	Medium	Planned action required

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
Policies are required to be reviewed biennially by Council, following each ordinary local government election, to help ensure they remain current. The policy manual has not undergone a review as required.	Invalid or Ineffective Policy, Compliance Breach	Following review of policies by Council, continue to maintain document control history on the policy to provide evidence and an accurate record of when the policy was reviewed, amended and adopted. Review systems and processes to ensure policy reviews occur as set out by the policy, and to maintain compliance with legislation for specific policies as required.

6.2.2 - CEO Performance Review Policy No: A21

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
DCEO	Yes	Yes	17/04/2023	CEO Performance Review Policy endorsed by Policy Committee 17/04/23. To be tabled at Council on 28/06/23.

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Entity Wide	6.2	CEO Performance Review Policy No: A21	Framework to provide effective communication between an employee and employer to measure performance, identify training needs and improve effectiveness and efficiency in the workplace.	6.2.2

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Possible	Moderate	Minor	Moderate	Medium	Planned action required

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
Linkages between the policy and adopted model standards relating to CEO performance reviews are not clear. It is noted the model standards were adopted in March 2021, however the policy has not been updated to align with the adopted model standards.	Invalid or Ineffective Policy, Compliance Breach	Review the policy to ensure alignment with adopted model standards. Alternatively, consider rescinding the policy if adopted model standards provide the required guidance.

6.2.3 - Public Question Time Policy No: A22

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
DCEO/ Policy Review Committee		Yes		<p>As per Resolution 041122 from the November 2022 Council Meeting, this action item will be incorporated as part of the Policy Review Progress.</p> <p>As Staff and Policy Review Committee are currently undertaking a full Policy Manual Review, all policies will be looked at, and recommendations from the FM &amp; Reg 17 Review Report will be considered when drafting policy amendments/changes.</p> <p>Policy mostly drafted for referral to Policy Review Committee.</p>

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Entity Wide	6.2	Public Question Time Policy No: A22	To provide a process which will address questions by the public in a timely manner.	6.2.3

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Possible	Moderate	Minor	Moderate	Medium	Planned action required

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
The process for public question time within the current policy (adopted 19 July 2000) does not align with all requirements of the Shire's Standing Orders Local Law 2017.	Invalid or Ineffective Policy, Compliance Breach	Update the policy to align with the Shire's Standing Orders Local Law 2017.

6.2.4 - IT Equipment Including Tablets, Smart Phones and Computers Policy No: A44

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
DCEO/ Policy Review Committee				<p>As per Resolution 041122 from the November 2022 Council Meeting, this action item will be incorporated as part of the Policy Review Progress.</p> <p>As Staff and Policy Review Committee are currently undertaking a full Policy Manual Review, all policies will be looked at, and recommendations from the FM &amp; Reg 17 Review Report will be considered when drafting policy amendments/changes.</p>

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Entity Wide	6.2	IT Equipment Including Tablets, Smart Phones and Computers Policy No: A44	Policy to guide the future delivery of ICT services and equipment needs.	6.2.4

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Possible	Moderate	Minor	Moderate	Medium	Planned action required

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
Policy content may be outdated and therefore not sufficient to address current ICT risks.	Failure to identify risks or adequately treat risks, Invalid or Ineffective Policy	Review and update policy content to align to risks, and future needs of the Shire's ICT environment. Development of an ICT Strategic Plan may assist to identify relevant policy inclusions.

6.2.5 - Email Use Policy No: A45

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
DCEO	Yes	Yes	17/04/2023	Internet, Email Usage and Access to IT System Policy endorsed by Policy Committee 17/04/23. To be tabled at Council on 28/06/23.

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Entity Wide	6.2	Email Use Policy No: A45	To ensure that the Shire's investment in computer hardware, software and services is used in the most productive manner to the greatest possible benefit of the Shire.	6.2.5

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Possible	Moderate	Minor	Moderate	Medium	Planned action required

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
Content of policy does not adequately consider current ICT risks and does not adequately provide for acknowledgement or acceptance of conditions of usage.	Failure to identify risks or adequately treat risks, Invalid or Ineffective Policy	Review and update the policy to a more general ICT usage policy and ensure all users agree to the usage terms and conditions. Systems and controls may be required to monitor policy acknowledgement / acceptance, and to integrate the policy into general operating procedures and record keeping requirements.



6.2.7 - Investments Policy No: F1

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
DCEO/ Policy Review Committee				<p>As per Resolution 041122 from the November 2022 Council Meeting, this action item will be incorporated as part of the Policy Review Progress.</p> <p>As Staff and Policy Review Committee are currently undertaking a full Policy Manual Review, all policies will be looked at, and recommendations from the FM &amp; Reg 17 Review Report will be considered when drafting policy amendments/changes.</p> <p>Policy mostly drafted for referral to Policy Review Committee.</p>

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Entity Wide	6.2	Investments Policy No: F1	To adopt a prudent approach to investments, in full compliance with all statutory requirements.	6.2.7

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Possible	Moderate	Minor	Moderate	<b>Medium</b>	<b>Planned action required</b>

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
The policy contains a reference to fair value accounting and asset valuations, and it is unclear what alignment the statement has to investments.	Invalid or Ineffective Policy, Compliance Breach	Review and update the policy to provide for investments to align with regulatory requirements, and to include appropriate considerations to monitor and support control procedures required by Regulation 19 of the Local Government (Financial Management) Regulations 1996.

6.2.8 - Asset Valuations in Accounts Policy No: No: F11

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
DCEO	Yes	Yes	28/06/2023	To propose rescind at Council on 28/06/2023

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Entity Wide	6.2	Asset Valuations in Accounts Policy No: No: F11	To ensure compliance with Fair Value Regulations while keeping costs at a minimum.	6.2.8

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Possible	Moderate	Minor	Moderate	Medium	Planned action required

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
Formalisation of policies relating to asset accounting may result in a conflict with the Australian Accounting Standards. To avoid conflict with the standards and legislation, the policy should not include legislative and standards requirements and should enhance these requirements or provide a policy decision where an accounting standard allows a policy choice.	Invalid or Ineffective Policy, Compliance Breach	Consider rescinding the policy and adopt accounting policies annually within the annual statutory budget.

6.2.9 - Review of Financial Management Systems Policy No: F15

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
DCEO	Yes	Yes	28/06/2023	To propose rescind at Council on 28/06/2023

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Entity Wide	6.2	Review of Financial Management Systems Policy No: F15	To keep abreast of technological change.	6.2.9

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Possible	Moderate	Minor	Moderate	Medium	Planned action required

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
The policy statement provides for the CEO to negotiate with Council's auditors to review financial management systems every four years. The review frequency required by legislation is every three years. To avoid conflict with legislation the policy should not restate legislative requirements, but rather should enhance these requirements.	Invalid or Ineffective Policy, Compliance Breach	Rescind the policy.

6.2.11 - Corporate Credit Card Use Policy No: F18

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
DCEO	Yes	Yes	12/06/2023	Corporate Purchasing Card Policy endorsed by Policy Committee 12/06/23. To be tabled at Council on 28/06/23.

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Entity Wide	6.2	Corporate Credit Card Use Policy No: F18	Policy to regulate the use of corporate credit cards issued to employees.	6.2.11

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Possible	Moderate	Minor	Moderate	Medium	Planned action required

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
<p>The limit stated within the policy relating to the CEO's credit card does not align with the card limit noted during our testing.</p> <p>Where appropriate invoices / receipts to support card transactions are not available, the policy sets out how income tax credits are to be managed relating to credit card transactions. The policy does not however set out how those purchases are to be substantiated, reported, reviewed and authorised where a valid tax invoice is not available.</p> <p>The policy contains a specific reference to a set monthly bank / credit card charge. Detailed reference of this nature within the policy may result in the policy becoming outdated and non-compliant as changes to bank fees occur.</p>	<p>Failure to identify risks or adequately treat risks, Invalid or Ineffective Policy</p>	<p>Amend the policy to ensure alignment with current practices. When reviewing the policy, consider the required level of detail to be specified within the policy to address relevant identified risks.</p> <p>Update the policy to include guidance to support purchases where a valid tax invoice is not available. This should include appropriate consideration to identify the purchase and provide for robust control and review processes prior to payments being deducted through automated bank payments.</p> <p>Review the policy to remove detailed references where appropriate, to minimise the risk of policy non-compliance and outdated references.</p>

6.2.12 - Risk Management Policy No: R4

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
DCEO	Yes	Yes	12/06/2023	Risk Management Policy endorsed by Policy Committee 12/06/23. To be tabled at Council on 28/06/23.

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Entity Wide	6.2	Risk Management Policy No: R4	Policy to set out the Shire's approach to articulate its commitment to Risk Management.	6.2.12

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Possible	Moderate	Minor	Moderate	<b>Medium</b>	<b>Planned action required</b>

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
The current policy is based on a superseded risk management standard AS/NZ ISO 31000:2009.	Failure to identify risks or adequately treat risks, Invalid or Ineffective Policy	Develop and adopt a risk management policy to align to Risk Management Standard ISO 31000:2018.

6.2.13 - Policy Publication

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
DCEO	Yes	Yes	28/06/2023	A new page on the Shire Website has been created for updated policies. Once the policies are updated and adopted, they will be uploaded to the website as per the below link. <a href="https://www.koorda.wa.gov.au/council/council-policies-and-procedures/policies.aspx">https://www.koorda.wa.gov.au/council/council-policies-and-procedures/policies.aspx</a>

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Entity Wide	6.2	Policy Publication	To provide access to current and consolidated policies of Council.	6.2.13

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Possible	Moderate	Minor	Moderate	Medium	Planned action required

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
Some adopted policies are maintained individually in a folder on a shared server drive, rather than in consolidated policy manual document. We also noted not all policies of Council are published on the official local government website as required by legislation. The formatting and presentation of policies is inconsistent and presented in alternative formats within different policies. Maintaining a consistent format across all policies allows for better controls for their review and maintenance.	Invalid or Ineffective Policy, Compliance Breach	To provide access to up to date policies of Council, improve the indexing of policies for better identification and access. Publish policies on the Shire's official website as required by regulation 29C (2)(c) of the Local Government (Administration) Regulations 1996. Review and amend policies to maintain a consistent format and structure across all policies.

6.2.15a - General Policy Actions

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
DCEO/ Policy Review Committee	No	Yes		As per Resolution 041122 from the November 2022 Council Meeting, this action item will be incorporated as part of the Policy Review Progress.  As Staff and Policy Review Committee are currently undertaking a full Policy Manual Review, all policies will be looked at, and recommendations from the FM & Reg 17 Review Report will be considered when drafting policy amendments/changes.

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Entity Wide	6.2	General Policy Actions	To set out parameters for the implementation of policies.	6.2.15a

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Possible	Moderate	Minor	Moderate	Medium	Planned action required

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
<p>We noted the content of several council policies which may be operational in nature. Council policies are not necessarily intended to provide direction on how different operational functions are to be executed as these are the responsibility of the CEO. Some policies where this may occur includes:</p> <ul style="list-style-type: none"> <li>• A1 Administrative Structure;</li> <li>• A2 Record Keeping;</li> <li>• A12 Sexual Harassment;</li> <li>• A32 Approval to the Use of Sale of Liquor;</li> <li>• A34 Car Rallies;</li> <li>• A36 Dog Control – Authorisations Under the Dog Act 1976;</li> <li>• A43 Plant, Equipment and Vehicle Purchases;</li> <li>• A44 IT Equipment Including tablets, smart phones and computers;</li> <li>• A45 Email use;</li> <li>• A46 Internet and WIFI/LAN use;</li> <li>• A48 Social Media Policy;</li> <li>• B2 Bush Fire Prosecutions;</li> <li>• B3 Bush Fire Courses;</li> <li>• B4 Bush Fire Permits;</li> <li>• B5 Fire Control Officers;</li> <li>• B6 Harvesting Ban Officers;</li> <li>• B7 Harvesting Ban Procedure;</li> <li>• B9 Extension of Burning Periods;</li> <li>• B10 Banning of Cooking and Campfires within the Shire of Koorda;</li> <li>• B11 Bush Fire – Burning to Protect Dwellings;</li> <li>• B12 Bush Fire Fighting Equipment – Financial Assistance;</li> </ul>	<p>Failure to identify risks or adequately treat risks, Invalid or Ineffective Policy</p>	<p>Review and update these policies to consider the appropriate separation of the roles of the council and the CEO. Consider review and update of policies to articulate the strategic direction of Council, particularly where legislation does not provide such direction.</p>

6.2.15b - General Policy Actions

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
DCEO/ Policy Review Committee	No	Yes		As per Resolution 041122 from the November 2022 Council Meeting, this action item will be incorporated as part of the Policy Review Progress.  As Staff and Policy Review Committee are currently undertaking a full Policy Manual Review, all policies will be looked at, and recommendations from the FM & Reg 17 Review Report will be considered when drafting policy amendments/changes.

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Entity Wide	6.2	General Policy Actions	To set out parameters for the implementation of policies.	6.2.15b

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Possible	Moderate	Minor	Moderate	Medium	Planned action required

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
<p>We noted the content of several council policies which may be operational in nature. Council policies are not necessarily intended to provide direction on how different operational functions are to be executed as these are the responsibility of the CEO. Some policies where this may occur includes:</p> <ul style="list-style-type: none"> <li>• B13 Bush Fire – Roadside Burning;</li> <li>• B14 Control of Fires – Forward Control Points;</li> <li>• B15 Bush Fire Radio and Call Out Networks;</li> <li>• C15 Annual Christmas Employee Functions;</li> <li>• E1 Police Clearance Checks;</li> <li>• E2 Medical Clearance Checks;</li> <li>• E3 Employee Incentives;</li> <li>• E4 Employee Use of Council Property;</li> <li>• E4a Employee Use of Council Property - DCEO/MoFA Administration Vehicle;</li> <li>• E5 Leave – Outside Workforce;</li> <li>• E6 Gratuitous Payments to Employees;</li> <li>• E7 Employee Annual Christmas Bonus;</li> <li>• E8 Employee Terms and conditions;</li> <li>• F2 Payments of Accounts;</li> <li>• F12 Provision for Long Service Leave and Sick Leave;</li> <li>• F14 Rates – Procedure of Collection;</li> <li>• P3 Conditions of Hire to be acknowledged;</li> <li>• P5 Swimming Pool Opening Times;</li> <li>• P10 Playground Equipment;</li> <li>• R1 Occupational Safety, Health and Welfare;</li> </ul>	<p>Failure to identify risks or adequately treat risks, Invalid or Ineffective Policy</p>	<p>Review and update these policies to consider the appropriate separation of the roles of the council and the CEO. Consider review and update of policies to articulate the strategic direction of Council, particularly where legislation does not provide such direction.</p>



6.2.15c - General Policy Actions

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
DCEO/ Policy Review Committee	No	Yes		As per Resolution 041122 from the November 2022 Council Meeting, this action item will be incorporated as part of the Policy Review Progress.  As Staff and Policy Review Committee are currently undertaking a full Policy Manual Review, all policies will be looked at, and recommendations from the FM & Reg 17 Review Report will be considered when drafting policy amendments/changes.

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Entity Wide	6.2	General Policy Actions	To set out parameters for the implementation of policies.	6.2.15c

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Possible	Moderate	Minor	Moderate	Medium	Planned action required

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
<p>We noted the content of several council policies which may be operational in nature. Council policies are not necessarily intended to provide direction on how different operational functions are to be executed as these are the responsibility of the CEO. Some policies where this may occur includes:</p> <ul style="list-style-type: none"> <li>• R3 Injury Management and Rehabilitation;</li> <li>• R5 Consultation and Communication;</li> <li>• R7 Contractor Management;</li> <li>• R8 Volunteer Management;</li> <li>• S1 Safety and Health;</li> <li>• S2 Personal Conduct;</li> <li>• S3 Personal Protective Equipment;</li> <li>• S4 Road Works;</li> <li>• S5 Plant and Equipment Responsibilities;</li> <li>• S6 Use of Equipment;</li> <li>• S7 Tree Pruning;</li> <li>• S8 Drugs and Alcohol;</li> <li>• W7 Private Works; and</li> <li>• W8 Private Works – Service/Sporting Clubs.</li> </ul>	<p>Failure to identify risks or adequately treat risks, Invalid or Ineffective Policy</p>	<p>Review and update these policies to consider the appropriate separation of the roles of the council and the CEO. Consider review and update of policies to articulate the strategic direction of Council, particularly where legislation does not provide such direction.</p>

6.2.16a - Policy Reference to Legislation and External Information

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
DCEO/ Policy Review Committee	No	Yes		As per Resolution 041122 from the November 2022 Council Meeting, this action item will be incorporated as part of the Policy Review Progress.  As Staff and Policy Review Committee are currently undertaking a full Policy Manual Review, all policies will be looked at, and recommendations from the FM & Reg 17 Review Report will be considered when drafting policy amendments/changes.

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Entity Wide	6.2	Policy Reference to Legislation and External Information	To support the link between Council policy, legislation and other information sources.	6.2.16a

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Possible	Moderate	Minor	Moderate	Medium	Planned action required

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
<p>We noted several policies contain specific detail relating to legislation and other external references, including:</p> <ul style="list-style-type: none"> <li>• A2 Record Keeping;</li> <li>• A13 Media Statements/Interviews;</li> <li>• A14 Instruments of Delegation;</li> <li>• A15 Policy Change and Review;</li> <li>• A21 CEO Performance Review;</li> <li>• A24 Electors Meeting Date;</li> <li>• A35 Permit Vehicle Approvals;</li> <li>• A39 CEO to Enforce Act;</li> <li>• A40 Exercise Powers Under Part 3;</li> <li>• A47 Meeting attendance – CEO Matters;</li> <li>• B8 Burning Periods;</li> <li>• B9 Extension of Burning Periods;</li> <li>• B15 Bush Fire Radio and Call Out Networks;</li> <li>• C1 Councillor Information Requirements;</li> <li>• E8 Employee Terms and conditions;</li> <li>• F2 Payments of Accounts;</li> <li>• F3 Amending the Rate Record;</li> <li>• F9 Community Recreation Facilities Funding;</li> <li>• F15 Review of Financial Management Systems;</li> <li>• F16 Purchasing Policy;</li> </ul> <p>This practice may result in conflict between the policy and legislation or guidance in the instance of a change in legislation, guidance, or other external references. We noted a number of policy references are currently outdated in their current policy format.</p>	Invalid or Ineffective Policy, Compliance Breach	Update policies to remove specific and / or detailed references to legislation and other external references to assist with appropriate alignment and consistency in Council policies is maintained.

6.2.17 - Legislative Compliance Policy

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
DCEO	Yes	Yes	12/06/2023	Legislative Compliance Policy endorsed by Policy Committee 12/06/23. To be tabled at Council on 28/06/23.

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Entity Wide	6.2	Legislative Compliance Policy	A policy to evidence Council's commitment to balancing the cost of legislative compliance with the extent of compliance requirements, and its importance to the organisation.	6.2.17

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Possible	Moderate	Minor	Moderate	Medium	Planned action required

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
Currently, no policy on internal legislative compliance has been adopted by Council.	Failure to identify risks or adequately treat risks, Invalid or Ineffective Policy	Development and adoption of a legislative compliance policy may help formalise Council's commitment and approach to legislative compliance.

6.2.18 - Internal Control Policy

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
DCEO/ Policy Review Committee	No	Yes		As per Resolution 041122 from the November 2022 Council Meeting, this action item will be incorporated as part of the Policy Review Progress.  As Staff and Policy Review Committee are currently undertaking a full Policy Manual Review, all policies will be looked at, and recommendations from the FM & Reg 17 Review Report will be considered when drafting policy amendments/changes.

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Entity Wide	6.2	Internal Control Policy	A policy to evidence Council's commitment to balancing the cost of internal controls with the extent of the control environment and their importance to the organisation.	6.2.18

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Possible	Moderate	Minor	Moderate	Medium	Planned action required

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
Currently, no policy on internal controls has been adopted by Council.	Failure to identify risks or adequately treat risks, Invalid or Ineffective Policy	We suggest an internal control policy be formulated and adopted to formalise Council's commitment and approach to internal controls, based on a risk management process.

7.1.2 - Business Continuity Disaster Recovery Plan

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
				Following the LGIS Risk Workshop and the development of a risk register, risk strategy and risk ratings, the EMT will investigate a business continuity disaster recovery plan based off the identified risks.

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Entity Wide	7.1	Business Continuity Disaster Recovery Plan	Plan to facilitate organised decision-making in the event of a major incident impacting the Shire's ability to continue normal operations.	7.1.2

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Possible	Moderate	Minor	Moderate	Medium	Planned action required

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
A Business Continuity Plan was not available for our review. A Disaster Recovery Plan has been developed, primarily focussed on ICT systems. Although ICT systems are an important element to business recovery in the event of a major business disruption, it is only one element to be considered within business continuity planning.	Failure to adequately manage a business disruption event Failure to identify risks or adequately treat risks	Develop a Business Continuity Plan to include business continuity considerations other than ICT systems. The plan should facilitate organised decision making in the event of any major disruption impacting the Shire's ability to continue normal operations, with testing involving relevant and key personnel to ensure validity of the identified risks and treatments within the plan.

7.1.3 - ICT Disaster Recovery Plan

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
				To work with IT providers, once the Risk Management Policy is adopted and risk ratings have been set, to ensure plan is up to date and considers the current risks. Once updated, investigate testing of the plan to ensure validity.

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Entity Wide	7.1	ICT Disaster Recovery Plan	Plan to address the handling of ICT disaster recovery.	7.1.3

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Possible	Moderate	Minor	Moderate	Medium	Planned action required

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
An ICT Disaster Recovery Plan has been prepared and was last reviewed in August 2020. At the time of this review, the plan had not yet been tested. The risk assessment within the plan identifies several risks. It is not evident from the plan what risk management framework was utilised for the assessment of the risks. Risk treatment plans to reduce risk levels are considered in the plan, however there is no evidence to indicate that these actions have been undertaken or progressed further.	Failure to adequately manage a business disruption event Failure to identify risks or adequately treat risks	Review and update content of the Disaster Recovery Plan to ensure relevancy and currency to the Shire. Maintain, review and test the plan to ensure validity. The plan should also align with the Shire's adopted risk management policy.

7.2.2 - Operational Procedures

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
				Fairly comprehensive procedures and checklists already exist for tasks and practices. To review following policy review process to ensure compliance with policies and delegations.

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Functional	7.2	Operational Procedures	To provide direction to staff in the delivery of day-to-day operational tasks, as well as guidance for expected processes, systems, and controls to be maintained.	7.2.2

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Possible	Moderate	Minor	Moderate	Medium	Planned action required

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
Procedures are not formalised for some key operational functions throughout the Shire. Workflow process diagrams and checklists may assist to create a visual representation of a process, clearly identifying key points of control and responsibility to be evidenced and independently reviewed. Where appropriate, these may be complemented by clearly articulated descriptive documented procedures.	Lack of strategic direction for implementation of internal controls	Undertake a review of existing operational procedures, and where required develop and implement additional procedures, to provide operational guidance aligned with adopted Council policies and legislation. Procedures should provide for activities not necessarily covered by legislation to communicate expected standards to staff from management. Development of documented procedures and checklists, and / or workflow process diagrams may assist in clearly identifying controls and processes to be followed.

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
				To investigate suppliers who can undertake a comprehensive and independent IT Security review.

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Functional	7.2	ICT Security	Procedures and practices to ensure the security of IT information, systems and data.	7.2.3

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Possible	Moderate	Minor	Moderate	Medium	Planned action required

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
We noted limited controls in relation to the access to IT systems, including physical access to hardware. Some levels of permissions have been established to control network access to software and data, however this is largely undocumented.	Failure to identify risks or adequately treat identified risks. Controls reliant on the capability and honesty of staff	Undertake a comprehensive independent IT security review, document current policies and practices, and implement findings of the review. This review should be undertaken by those with the appropriate expertise, skills, qualifications and credentials. Consider implementation of routine review and verification of skills, competencies, qualifications and experience for IT service providers.



Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
				Work with IT providers to assist with an ICT Risk Evaluation.

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Functional	7.2	ICT Risk Evaluation	The evaluation of risk in the overall security policy, general ICT and applications.	7.2.4

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Possible	Moderate	Minor	Moderate	Medium	Planned action required

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
No formal evaluation process of the risks associated with the overall security procedures, general ICT and application controls is in place. We also noted formal risk treatment plans do not appear to be in place in relation to risks associated with changes to the IT systems.	Failure to identify risks or adequately treat identified risks. Controls reliant on the capability and honesty of staff	Develop evaluation systems and registers to evaluate, monitor and resolve risks related to the Shire's ICT environment. Controls should appropriately manage changes to the ICT system to ensure continuous and uninterrupted functionality of the ICT environment.

7.2.5 - Access to Shire Facilities

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
				Item included in 2023/24 Budget for Auto Gates at the Depot. Risks and their treatment plans to be included in the risk register once workshop undertaken with LGIS. To ensure they communicate the risk, aligned to the Shire's adopted risk management policy and framework.

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Functional	7.2	Access to Shire Facilities	Ensure access to Shire is restricted to only personnel who are authorised.	7.2.5

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Possible	Moderate	Minor	Moderate	Medium	Planned action required

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
We noted limited physical access security measures to some Shire facilities. The risk associated with this is not documented, measured or recorded appropriately to verify whether treatment plans have reduced the perceived level of risk to the Shire.	Failure to identify risks or adequately treat risks	Ensure adequate physical access security measures to prevent unauthorised individuals from accessing facilities are appropriately documented. Risks and their treatment plans should be recorded in a risk register to communicate the risk, aligned to the Shire's adopted risk management policy and framework.

7.2.6 - Segregation of Duties and Internal Controls

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
				As per recommendation to endorse an Internal Control Policy, and the Fraud and Corruption Policy being tabled at Council on 28/06/2023, EMT will continue work on ensuring policies and procedures are relevant and up to date to mitigate the risks with regard to segregation of duties.

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Functional	7.2	Segregation of Duties and Internal Controls	Controls to minimise opportunities for collusion or fraud to occur, reduce the risk of errors and improve oversight and compliance with adopted policies and procedures.	7.2.6

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Possible	Moderate	Minor	Moderate	Medium	Planned action required

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
We note segregation of duties occurs for a number of key roles, however we observed through our testing instances where resource constraints prevented these controls being consistently applied. Where a single individual is responsible for or involved in multiple stages of various processes, there is an increased risk and opportunity for error or misconduct.	Breakdown of internal controls, financial and fraud risk. Failure to identify risks or adequately treat identified risks. Controls reliant on capability of staff.	Interventions should be available at various stages for a number of operational functions, including routine independent reviews of controls to ensure they are being observed and maintained as required. Where resourcing constraints exist, other considerations should be applied such as training and engaging officers within the organisation who may not normally be involved in these processes, to assist with checks and controls, or engaging independent parties to provide sufficient levels of oversight. These controls should also be reflected in adopted policies and approved procedures.

7.2.7 - End of Month Processes

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
CEO/DCEO	No	Yes		End of month processes are being prepared by the DCEO and reviewed by the CEO. To implement a system to show evidence the reviews taking place.

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Functional	7.2	End of Month Processes	Processes for the completion of tasks and evidencing key points of control.	7.2.7

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Possible	Moderate	Minor	Moderate	Medium	Planned action required

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
End of month processes appear to exist and from staff representations are routinely performed, however there was no evidence of procedures or review by an authorised officer independent of preparing/collating documentation.	Breakdown of internal controls, Controls reliant on capability of staff.	Review of reports prepared each month is a useful mechanism to detect and rectify errors or anomalies which may exist. It also provides an opportunity to ensure staff are performing and reporting duties as required. Management are strongly encouraged to continue with the development of documented checklists and procedures to demonstrate appropriate controls and reviews are in place.

7.2.8 - Outstanding Purchase Orders

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
DCEO/Finance	Yes	Yes	01/05/2023	Part of end of month procedure to produce outstanding PO report and review and investigate any anomalies.

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Functional	7.2	Outstanding Purchase Orders	Process to ensure invoices are being processed in a timely manner and in accordance with the purchasing policy.	7.2.8

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Possible	Moderate	Minor	Moderate	Medium	Planned action required

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
We did not observe any formal procedures relating to the routine monitoring of and clearance of outstanding purchase orders. Regular review of outstanding purchase orders should be undertaken to assist with monitoring the value of and status of associated liabilities.	Breakdown of internal controls, financial risk	Update procedures to include review of the status of outstanding purchase orders as part of end of month processes. Ensure any controls developed are routinely and consistently applied.

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
DCEO	Yes	Yes	12/06/2023	It is anticipated this item will be resolved as a flow on from the updated Purchasing Policy taken to the Policy Review Committee on 12/06/23 and recommended for Council endorsement on 28/06/2023.

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Functional	7.2	Procurement	Procedures for the procurement of goods or services.	7.2.9

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Possible	Moderate	Minor	Moderate	Medium	Planned action required

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
Our testing identified a contractor providing services to the Shire on an ongoing basis, resulting in non-compliance between procurement thresholds and purchasing requirements in accordance with Council policy. Although a 'unique nature of supply' provision is included within the purchasing policy, the services do not appear to comply with the policy provisions.	Breakdown of Internal Controls, Failure to identify risks or adequately treat identified risks, financial risk	All procurement of goods or services should be undertaken in accordance with legislative requirements and the purchasing policy. A review of the purchasing policy may be required to ensure the policy is practical and addresses identified procurement risks.

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
				EMT to investigate procurement assessment checklists to formalise the assessment process already taking place.

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Functional	7.2	Procurement Assessment	Procedures to provide probity for the assessment of procurement options received.	7.2.10

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Possible	Moderate	Minor	Moderate	<b>Medium</b>	<b>Planned action required</b>

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
<p>Documented formal requirements when undertaking assessments of responses to requests for quotations have not been established for high value purchases.</p> <p>Documented procedures are not in place to require declarations of interest and confidentiality to be signed prior to assessments being undertaken for high value purchases.</p>	<p>Breakdown of Internal Controls, Failure to identify risks or adequately treat identified risks, financial and fraud risk</p>	<p>To help ensure probity and fairness when assessing high value procurement, at least three persons should assess the procurement responses independently of each other. Documented processes should require a higher level of probity and due diligence for higher value or higher risk purchases.</p> <p>Persons assessing any significant procurement should be required to declare any matters which may impact or be perceived to impact on their independence. Procedures for the declaration of interests prior to procurement assessments being undertaken should also be documented for high value purchases and tenders.</p>

7.2.11 - Credit Cards

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
DCEO	Yes	Yes	12/06/2023	It is anticipated this item will be resolved as a flow on from the updated Purchasing Policy taken to the Policy Review Committee on 12/06/23 and recommended for Council endorsement on 28/06/2023.

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Functional	7.2	Credit Cards	Systems and processes to control use of Corporate Credit Cards held.	7.2.11

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Possible	Moderate	Minor	Moderate	Medium	Planned action required

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
Agreements signed by credit card holders setting out cardholder responsibilities and legal obligations when using Shire credit cards were not available for our inspection or maintained on employee files.	Breakdown of Internal Controls, Failure to identify risks or adequately treat identified risks, financial and fraud risk	Review systems and procedures to ensure all credit card holders have acknowledged and signed documentation setting out cardholder responsibilities and legal obligations when using Shire credit cards. Ensure credit cards are issued only after this has occurred and documentation has been appropriately filed as required.



7.2.14 - General Journals

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
CEO/DCEO	No	Yes		<p>Current practice is that the DCEO raises and approves the journals when required, and the CEO reviews/approves the journals after they have been updated. Recommendation to review prior to updating.</p> <p>DCEO to investigate Altus Financial suite to see if module is available, and seek a quote, to see if the general journal creation and approval can be automated online (similar to Bank Reconciliations) to ensure segregation of duty and evidence of reviews taking place.</p>

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Functional	7.2	General Journals	Processed general journals are independently reviewed and approved.	7.2.14

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Possible	Moderate	Minor	Moderate	Medium	Planned action required

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
There are limited documented internal control procedures for general journals. We noted review and evidence of review of journals after posting appears to be consistently maintained. Best practice is to authorise journals prior to posting, however this may be impractical in all situations. No general journal audit trail is currently produced to ensure only authorised journals have been posted.	Breakdown of internal controls, financial and fraud risk	Document internal controls to ensure processes to support approvals/authorisations for journal requests are maintained prior to posting by an appropriate officer. The practice of independent review should be continued to be maintained, and evidence of review consistently applied. A monthly journal audit trail report should be produced and independently reviewed prior to preparation of the monthly statement of financial activity.

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
				Noted. To investigate further.

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Functional	7.2	Grants Management	Controls for the effective management of grants, compliance with conditions imposed by funding bodies and compliance with AASB standards.	7.2.15

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Possible	Moderate	Minor	Moderate	Medium	Planned action required

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
<p>We noted limited procedures exist to support processes and controls in respect to:</p> <ul style="list-style-type: none"> <li>• Application of grants;</li> <li>• Acquittal of grants;</li> <li>• Compliance with grant conditions; and</li> <li>• Grant governance and administration arrangements.</li> </ul> <p>Where grants are not effectively managed, there is a risk funds may be returned due to poor performance or missed opportunities in the future. In circumstances where controls are not effective for grant application processes, unbudgeted and unauthorised financial commitments may be undertaken on behalf of the Shire.</p>	Lack of strategic direction for implementation of internal controls	<p>Document and implement procedures to consider the need for grant programs, whether relevant factors and risks are thoroughly analysed and assessed and appropriate options for delivery are considered prior to applying for grants to ensure grant objectives are clearly defined. Systems should include controls for the monitoring of grants with funding conditions, acquittal processes and recording of liabilities in line with the AASB standards. Incomplete consideration of these factors may result in non-compliance with accounting standards and effective delivery of the Shire's grant programs. Maintain a register of grants to evidence the routine review of status, compliance and performance of grants being managed by the Shire.</p>

7.2.16 - Revenue Controls at Shire Facilities

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
				To be reviewed with regard to risk implications, likelihood and consequences once risk policy, strategy and register finalised.

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Functional	7.2	Revenue Controls at Shire Facilities	Procedures and systems for the collection of revenue and handling of cash at Shire facilities.	7.2.16

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Possible	Moderate	Minor	Moderate	Medium	Planned action required

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
Revenue controls for the collection of fees and charges as well as the provision of services at some Shire facilities are considered inadequate. We noted limited controls to validate and support the accuracy of revenue collected.	Breakdown of internal controls Controls reliant on the capability and honesty of staff, financial and fraud risk	A review of procedures and controls is required to determine practical procedures, documentation and controls for the receipt and reconciliation of revenue across all facilities. Procedures should ensure compliance with associated regulatory requirements under the Local Government Act 1995 and associated regulations.

7.2.17 - Petty Cash

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
CEO/DCEO	No	Yes	30/06/2023	The need for petty cash has lessened in past years. Management have looked at the possibility of rescinding the petty cash float which will remove the risk and need for procedures.

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Functional	7.2	Petty Cash	Systems and processes to ensure controls are maintained around petty cash.	7.2.17

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Possible	Moderate	Minor	Moderate	Medium	Planned action required

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
We did not observe any formal procedures relating to petty cash systems and controls. Controls are not routinely documented to ensure appropriate review and authorisation processes occur in relation to the storage, management and handling of cash by staff.	Breakdown of internal controls Controls reliant on the capability and honesty of staff, financial and fraud risk	Undertake a review of systems and processes relating to petty cash, to ensure adequate controls exist relating to security of cash held, as well as maintaining and processing of petty cash transactions.

7.2.19 - Rates

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
CEO/DCEO				To test procedure for independent review and verification of rating matrices for accuracy for annual rating processes during 2023/24 rating period.  To ensure evidence of review is documented thoroughly.

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Functional	7.2	Rates	Rates are correctly imposed and rate system is properly maintained.	7.2.19

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Possible	Moderate	Minor	Moderate	Medium	Planned action required

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
Limited reviews are undertaken of routine annual rating functions performed. Although established procedures guide this process, we did not observe evidence of independent review and verification of rating matrices for accuracy for annual rating processes. Evidence of routine reviews of rate exempt properties as defined by section 6.26(2)(g) of the Local Government Act 1995 was not available for our inspection.	Failure to identify risks or adequately treat identified risks. Controls reliant on capability of staff.	Update existing systems and procedures to demonstrate appropriate controls and authorisations exist for routine rating functions, including interim rating processes and annual rates billing. Develop and maintain systems and processes, in accordance with any adopted Council policy, whereby routine reviews are undertaken of rate exempt properties within the Shire, confirming these properties are used exclusively for rate exempt purpose.

7.2.20 - Overhead and Administration Allocations

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
DCEO	No	Yes		DCEO currently reviewing as part of the 2023/24 Budget preparation. Routine review and monitoring of indirect costs are part of end of month procedures.

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Functional	7.2	Overhead and Administration Allocations	To allocate indirect costs in a practical and efficient manner.	7.2.20

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Possible	Moderate	Minor	Moderate	Medium	Planned action required

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
A documented process to determine the allocation of indirect costs was not available for our review. From staff representations, current plant allocation rates are currently based on historical estimates. We noted management are currently periodically monitoring unallocated indirect costs to undertake corrective adjustments where required, with a review of these rates intended to be undertaken in the near future.	Failure to identify risks or adequately treat identified risks. Controls reliant on capability of staff.	Undertake a review of activity based costings to support calculation of overhead and administration allocations. Routine review and monitoring of indirect costs should be maintained for accuracy and compliance in financial reporting of works programs.

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
				Noted. To investigate further.

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Functional	7.2	Contract Management	To provide clear documentation of key contract / agreement information entered into with third parties by the Shire.	7.2.21

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Possible	Moderate	Minor	Moderate	Medium	Planned action required

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
We noted a number functions are outsourced to external parties for a variety of professional services. Systems, procedures and contract provisions may not adequately address risks to ensure qualifications are maintained for contractors engaged. The absence of controls in relation to project and/or compliance management also imposes limitations to legislative compliance in relation to currency of specific qualifications required to perform professional duties.	Breakdown of Internal Controls, Failure to identify risks or adequately treat identified risks	Review and update systems and processes to provide for higher level controls and oversight of contracts entered into with third parties by the Shire. Agreements should be dually executed to ensure contract obligations are met by both parties.

7.2.22 - Stock Controls

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
				Security/Access will be addressed as per item 7.2.5 - Access to Shire Facilities. Continually investigating ways to improve procedures to ensure they are both effective and efficient.

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Functional	7.2	Stock Controls	Process to ensure stock is correctly allocated, as well as to reduce the potential for theft or misappropriation.	7.2.22

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Possible	Moderate	Minor	Moderate	Medium	Planned action required

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
Limited controls are in place to monitor potential erroneous allocations or misuse of stock. Stock allocations are entered and reviewed for reasonableness by management, but not independently reviewed for accuracy at periodic intervals, nor mechanisms to detect where excess stock (including fuels, oils, materials etc) may be allocated inappropriately or erroneously.	Breakdown of internal controls Controls reliant on the capability and honesty of staff, financial and fraud risk	Review security and access to stock held. Develop and implement procedures for the monitoring of stock on hand in an effort to improve opportunities to detect any issues or potential misuse with fuel allocations in a timely manner.



7.2.23 - Information Required to be Published on Official Local Government Website

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
CEO/ DCEO/ Admin	No	Yes		<ul style="list-style-type: none"> <li>• Confirmed minutes of Committee meetings; - Available on website</li> <li>• Minutes of annual meeting of electors; - Available on website</li> <li>• Notice papers, agenda, reports and other documents presented at Council and committee meetings; - Available on website</li> <li>• Tender register; - Available on website</li> <li>• Up to date version of each policy of the local government; and - Will be available on website once updated policies are endorsed by Council.</li> <li>• Adopted model standards relating to CEO recruitment, performance review and termination. - Will be available on website once updated policies are endorsed by Council.</li> <li>• Copies of all local laws; - Currently working on Local Law review, will upload once complete and available</li> </ul>

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Functional	7.2	Information Required to be Published on Official Local Government Website	Ensure information is published for public information as required by legislation.	7.2.23

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Possible	Moderate	Minor	Moderate	Medium	Planned action required

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
<p>At the time of our review, we noted the following information (in addition to other matters noted throughout this report) has not been published on the Shire's official website as required by legislation:</p> <ul style="list-style-type: none"> <li>• Confirmed minutes of Committee meetings;</li> <li>• Minutes of annual meeting of electors;</li> <li>• Notice papers, agenda, reports and other documents presented at Council and committee meetings;</li> <li>• Copies of all local laws;</li> <li>• Tender register;</li> <li>• Up to date version of each policy of the local government; and</li> <li>• Adopted model standards relating to CEO recruitment, performance review and termination.</li> </ul>	Breakdown of internal controls, compliance Breach	Ensure information is published on the Shire's official website as required by section 5.96A of the Local Government Act 1995 and any other relevant section of the Act.

7.3.2 - Employee Appointment Procedures

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
DCEO & Payroll	No	Yes		OAG & WALGA Guidelines downloaded. DCEO & Payroll Officer working to create new induction forms and checklists to ensure all details are correct and appropriate when appointing new employees.  Areas identified as part of Workforce Plan 2022-2025 (1.3, 4.2 & 4.4)

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Functional	7.3	Employee Appointment Procedures	Procedures to ensure appointment of staff are appropriately authorised, and onboarding processes are consistently and routinely applied.	7.3.2

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Possible	Moderate	Minor	Moderate	Medium	Planned action required

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
Staff inductions are inconsistently applied throughout the Shire, and induction processes do not consistently communicate to staff required expectations and requirements when performing local government functions.	Breakdown of Internal Controls, Failure to identify risks or adequately treat identified risks	Develop and implement procedures to ensure all new staff are appropriately inducted and aware of the parameters of their employment responsibilities and obligations including: <ul style="list-style-type: none"> <li>• WH&amp;S;</li> <li>• Duties and responsibilities;</li> <li>• Security;</li> <li>• Code of Conduct;</li> <li>• HR Policies and Procedures;</li> <li>• Legislative Compliance;</li> <li>• Risk Management; and</li> <li>• Other relevant and required topics.</li> </ul>

7.3.3 - Personnel Records

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
				Following on from Record Keeping Policy and Procedure Update, to review security controls around electronic records and look to implement access levels.

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Functional	7.3	Personnel Records	Ensure employee records are securely stored to prevent unauthorised access.	7.3.3

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Possible	Moderate	Minor	Moderate	Medium	Planned action required

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
Hard copy personnel records are securely locked in a cabinet, however electronic records are not adequately restricted. Management representations indicate efforts are being undertaken to improve access restrictions through the EDRMS.	Breakdown of internal controls Controls reliant on the capability and honesty of staff	Secure electronic personnel records by restricting access and limiting permissions to share drives only to officers who are appropriately authorised to access these records or an appropriate alternate security control.

7.3.4 - Staff Contracts and Employee Files

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
				To implement a procedure/checklist during 2023/24 payroll updates with regard to mandatory superannuation increases and any pay policy changes following performance reviews and the determination of wage increases in modern awards.

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Functional	7.3	Staff Contracts and Employee Files	To provide a documented record of the terms and conditions of each employee's contract of employment.	7.3.4

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Possible	Moderate	Minor	Moderate	Medium	Planned action required

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
Through our limited testing, we noted an instance where evidence of correspondence on an employee file to support an allowance applied through the payroll was not available.	Breakdown of Internal Controls, Failure to identify risks or adequately treat identified risks	Update systems and procedures to evidence controls for the application and review of employee conditions within the payroll master file. Interventions should be available at various stages for a number of operational functions, including routine independent reviews of controls to ensure they are being maintained as required. Undertake a review of all personnel files to reconcile documentation relating to conditions of employment, remuneration, roles and responsibilities with payments being made.

7.3.5 - Staff Training

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
				Noted. To be investigated further.

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Functional	7.3	Staff Training	To ensure staff have access to ongoing and appropriate training.	7.3.5

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Possible	Moderate	Minor	Moderate	Medium	Planned action required

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
Planned and required staff training needs for employees are currently identified and recorded in a central training register. Further value from this initiative can be added through refining the current matrix toward a more formal required staff training structure, applied throughout the organisation.	Failure to identify risks or adequately treat identified risks. Controls reliant on capability of staff.	Refine the current staff training register to identify staff training needs relevant to each role, ensuring it is co-ordinated across the organisation and monitors currency of required licences and qualifications.

7.3.6 - Payroll Exception Reporting

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
DCEO & Payroll	Yes	Yes	21/06/2023	<p>Fortnightly comparison (as at 21/06/2023) and audit summary reports (since implementation of system) being produced during the review of each pay period to ensure any major anomalies in payroll are picked up and looked into/verified.</p> <p>The audit trial reports on; hired employees, terminated employees, shared bank accounts and organisation; leave policy changes, pay policy changes and provision policy changes. As well as employee; bank changes, project changes, role changes, department changes, pay calendar changes, pay policy changes, leave policy changes, tax declaration changes, tax variation changes, superannuation account changes, superannuation contribution changes, addition or deduction changes, work schedule changes, compliance changes.</p> <p>Any changes to detail, the authorising officer will confirm details of changes on a form signed by the employee.</p>

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Functional	7.3	Payroll Exception Reporting	Procedures to assist with accurate processing of employee entitlements.	7.3.6

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Possible	Moderate	Minor	Moderate	Medium	Planned action required

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
The officers responsible for processing and reviewing payroll are tasked with review and capture of employee entitlements, allowances, deductions, etc. Staff have advised more formal documentation / checklists are intended to be created to assist with payroll processing, review and authorisation.	Failure to identify risks or adequately treat identified risks. Controls reliant on capability of staff.	Review procedures and controls to define systems documentation and controls for the accurate processing of payroll each fortnight. Details for each employee should be reviewed against individual employment contracts to capture allowances, deductions, entitlements etc, into a master list, with appropriate review and authorisation for changes. Payroll exception reporting and review of audit trails should be undertaken to capture anomalies or unauthorised changes.

7.4.1 - Contractor Insurance

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
DCEO & Finance	No	Yes		Finance Officers working to update Creditor Application/Update form to capture Contractor Insurance and a prompt to seek updated certificates on expiry.

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Functional	7.4	Contractor Insurance	Insurance cover maintained by contractors for damage caused when undertaking works for the Shire.	7.4.1

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Possible	Moderate	Minor	Moderate	<b>Medium</b>	<b>Planned action required</b>

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
Contractors' insurances are not always assessed prior to award of contracts in all cases. Reliance is placed on contract managers to ensure copies of insurances are provided.	Breakdown of Internal Controls, Failure to identify risks or adequately treat identified risks	To help ensure all contractors have the relevant licences and have adequate insurance cover for the works they undertake for the Shire, procedures should be developed, and records maintained to ensure copies of contractor's insurances are obtained and held on file prior to award of contracts.

8.1.1 - Council and Committee Minutes

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
DCEO/ Governance	No	Yes		Attachments are linked within the agenda and minutes items, not inserted into the document. Unfortunately, links have an expiry, so staff are investigating the best way to include the attachments on the website.

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Functional	8.1	Council and Committee Minutes	Official record of proceedings and decisions.	8.1.1

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Possible	Moderate	Minor	Moderate	<b>Medium</b>	<b>Planned action required</b>

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
Attachments (monthly statement of financial activity, accounts for payment list etc) are not published in the minutes on the official local government website to support the decisions made, including where the decision refers to the officer report or an attachment.	Failure to identify risks or adequately treat risks. Internal control or compliance breach	Ensure all documents supporting Council / Committee decisions are included in the official minutes, and all minutes are also published on the official local government website as required by legislation. Review procedures for recording of official minutes to ensure all detail, decisions and proceedings required to be recorded by legislation are captured.



Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
EMT	No	No		Once the LGIS Risk Workshop has been undertaken to develop a risk register, a risk implication will be added to agenda item templates to ensure risk is considered with each item to be considered at Council and Audit Committee Meetings.

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Functional	8.1	Council and Audit Risk Committee	Monitoring and consideration of risks when making strategic decisions.	8.1.2

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Possible	Moderate	Minor	Moderate	<b>Medium</b>	<b>Planned action required</b>

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
Identified risks are not consistently included within agenda items for elected member consideration for recording in the risk register.	Breakdown of Internal Controls, Failure to identify risks or adequately treat identified risks	Identified risks relating to a Council and / or Committee decision should be consistently communicated within the agenda item, to enable elected members to be fully informed of the identified risks when making decisions. Risks should also be appropriately recorded in a risk register.

8.1.3 - Audit Committee

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
DCEO	Yes	Yes	30/05/2023	Have made changes to the "Council Meeting" Module on the website to categories Meetings (Council, Special, Audit, Electors) to clearly separate meetings to ensure compliance. Have uploaded Audit Minutes back to 2021 in this category, with the rest being available for inspection at the Shire Office if required.

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Functional	8.1	Audit Committee	To provide oversight in monitoring compliance with legislation, performance, risk and internal controls, internal audit, liaising with external auditors and reporting to Council.	8.1.3

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Possible	Moderate	Minor	Moderate	Medium	Planned action required

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
Minutes of all Audit Committee meetings were not published on the official local government website at the time of our review.	Failure to identify risks or adequately treat risks. Internal control or compliance breach	Ensure all Committee minutes are published on the official local government website as required by legislation.

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
EMT	No	No		<p>LGIS Risk Workshop to be re-scheduled to work through the updated Risk Register.</p> <p>A new Risk Management Policy is to be adopted by Council 28/06/23. A Draft Risk Management Strategy has been prepared and adoption will be dependent on completion of LGIS Risk Management Workshop (to update the Risk Register) to ensure cohesion between all documents. (Policy, Strategy, Procedures and Risk Register)</p>

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Functional	8.2	Risk Register	Provide a record of risk breaches and remedial action taken.	8.2.1

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Possible	Moderate	Minor	Moderate	Medium	Planned action required

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
A risk register was not available for our inspection to reflect identified risks, and if they have been adequately treated.	Failure to identify risks or adequately treat risks Breakdown of internal controls	Maintaining risk registers for all identified risks is important to help ensure appropriate recording and communication of high rated risks, along with providing a record to enable the verification of whether treatment plans have appropriately reduced the risk. Routine (at least quarterly) review of the risk register is required to assist in ensuring identified risks are adequately treated.

8.2.3 - Register of Hazardous Materials

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
EMT	No	No		A register of hazardous materials was not requested upon site visit. A Register exists, staff to ensure contents are applicable and up to date.

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Functional	8.2	Register of Hazardous Materials	Provide a record of properties under the Shire's control containing hazardous materials.	8.2.3

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Possible	Moderate	Minor	Moderate	<b>Medium</b>	<b>Planned action required</b>

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
A register of hazardous materials was not available for our inspection, to reflect properties under the control of the Shire which may contain hazardous materials such as asbestos, and if associated risks have been adequately treated.	Failure to identify risks or adequately treat identified risks. Controls reliant on capability and honesty of staff.	Develop and maintain a register to record details of hazardous materials, such as asbestos, for properties under the control of the Shire.

8.2.6 - Swimming Pool Inspection Register

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
				<p>Due to the discontinuation in NEWHEALTH, the handover and requirement to inspect private swimming pools was delayed.</p> <p>A swimming pool inspection register exists and has been updated to provide details of the last inspection and next inspection date.</p> <p>Outstanding pool inspection was due to resident not residing full time at the Koorda Property, and the EHO working remotely. To liaise with EHO regarding overdue inspection.</p>

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Functional	8.2	Swimming Pool Inspection Register	Register of inspections undertaken.	8.2.6

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Possible	Moderate	Minor	Moderate	Medium	Planned action required

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
A register of inspections of private swimming pools within the district is currently maintained, although it was noted some routine inspections were not performed in the required timeframe, with one inspection remaining overdue. Management representations indicate additional resources were allocated in December 2022 to undertake the backlog of inspections, and to maintain the frequency of inspections.	Failure to identify risks or adequately treat identified risks. Controls reliant on capability and honesty of staff.	Update systems and processes to ensure routine monitoring and review of the register occurs for future private swimming pool inspections to be undertaken within required timeframes.

8.2.7 - Development Applications and Building Permits Register

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
CEO				As per the 2023 Delegation Register, (Section 5 Building Act 2011 Delegations and Section 12 Planning and Development Act 2005 Delegations) - the adopted reporting requirements seek "Delegations exercised are to be reported to Council monthly." A register, whether part of the report to Council, or separate, to include date of application, due date of decision and date of decision.

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Functional	8.2	Development Applications and Building Permits Register	Provide a record of the receipt and status of applications received.	8.2.7

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Possible	Moderate	Minor	Moderate	Medium	Planned action required

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
A register to record and track applications for building permits and development applications is not currently maintained. Reliance for compliance with statutory processing timeframes of applications received remains with only one officer, with no independent oversight, monitoring or reporting being undertaken.	Failure to identify risks or adequately treat identified risks. Controls reliant on capability and honesty of staff, compliance breach	Create and maintain a register to record the details and status of applications for building permits and development, to assist with ensuring applications are processed within mandated timeframes.

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
DCEO/ Policy Review Committee	No	No		As the DCEO/Policy Review Committee undertake the updating of the Complaints Policy in the full Policy Manual Review, the Policy will filter through to a procedure to cover this item.

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Functional	8.4	Community Complaints Procedures	Procedures for the recording handling and resolution of community complaints.	8.4.1

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Possible	Moderate	Minor	Moderate	<b>Medium</b>	<b>Planned action required</b>

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
A customer complaints register is not currently maintained to follow up and ensure all complaints are adequately addressed. This type of register may assist with alignment to the requirements of the complaints handling policy.	Failure to identify risks or adequately treat risks	To help ensure all complaints are adequately monitored, reported and resolved, a register of customer complaints received should be maintained and systems and processes should ensure staff are aware of their obligations in accordance with adopted policies.

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
CEO				Noted. To investigate further.

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Functional	8.5	Internal Audit	Internal audit monitors the level of compliance with internal procedures and process along with assessing the appropriateness of these procedures.	8.5.1

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Possible	Moderate	Minor	Moderate	Medium	Planned action required

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
Currently, no internal auditors have been appointed, and limited internal audit functions have been undertaken.	Failure to identify risks or adequately treat risks	We suggest as the level of documented procedures increases, an expanded internal audit function to confirm adherence to documented policies and procedures may be required as recommended by the OAG in their report to Parliament on the Audit Results Report – Annual 2017-18 Financial Audits of Local Government Entities.



8.6.1 - Audit Regulation 17 Review

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
CEO	No	Yes	28/06/2023	Note in budget to prompt allocation for FMR & Reg 17 review. Policy "Legislative Compliance" recommended to be endorsed at Council on 28/06/2023 includes a prompt as per excerpt below.  <i>Regulation 17 of the Local Government (Audit) Regulations 1996 requires the CEO to review of the appropriateness and effectiveness of systems and procedures in relation to risk management, internal control and legislative compliance not less than once in every 3 financial years and report to the Audit Committee the results of that review.</i>

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Functional	8.6	Audit Regulation 17 Review	CEO's review of the appropriateness and effectiveness of systems and procedures for Risk Management, Internal Controls and Legislative Compliance in accordance with Regulation 17 of Local Government (Audit) Regulations 1996.	8.6.1

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Possible	Moderate	Minor	Moderate	<b>Medium</b>	<b>Planned action required</b>

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
A review was last undertaken in 2018 which is outside of the time period as required by Regulation 17 of Local Government (Audit) Regulations 1996. The previous review made no recommendations in relation to the appropriateness and effectiveness of risk management, legislative compliance and internal controls.	Breakdown of internal controls, Compliance breach	Ensure the next review is undertaken within the time period as required by Regulation 17 of Local Government (Audit) Regulations 1996. Ensure future reviews identifies operational and financial risk, control weaknesses and compliance weaknesses.

8.6.2 - Financial Management Review

Responsible Officer	Completed - Yes/No	Action Taken	Date Action Taken	Comment
CEO	No	Yes	28/06/2023	<p>Note in budget to prompt allocation for FMR &amp; Reg 17 review. Policy "Legislative Compliance" recommended to be endorsed at Council on 28/06/2023 includes a prompt as per excerpt below.</p> <p><i>Regulation 5(2)(c) of the Local Government (Financial Management) Regulations 1996 also requires the CEO to undertake reviews of the appropriateness and effectiveness of the financial management systems and procedures of the local government regularly (and not less than once in every 3 financial years) and report to the local government the results of those reviews.</i></p>

Context of assessment	Report Section	Component	Purpose/Goal	Risk Number
Functional	8.6	Financial Management Review	Review of the appropriateness and effectiveness of the Financial Management systems and procedures of the local government, required to be undertaken every three years by Regulation 5(2) of Local Government (Financial Management) Regulations 1996.	8.6.2

Date of initial risk identification	Likelihood	Strategic Consequences	Operational Consequences	Combined Consequence	Risk Category	Action Required
Feb-23	Possible	Moderate	Minor	Moderate	<b>Medium</b>	<b>Planned action required</b>

Risk Issue and Failure Modes	Risk Identified	Mitigation and Management Strategy (Possible Future Controls)
A review was last finalised in 2016, with the next review being undertaken in February 2022 which is outside of the time period as required by Regulation 5(2) of Local Government (Financial Management) Regulations 1996.	Breakdown of internal controls, Compliance breach	Ensure the next review is undertaken within the time period as required by Regulation 5(2) of Local Government (Financial Management) Regulations 1996

**MONTHLY FINANCIAL REPORT**  
**(Containing the Statement of Financial Activity)**  
**For the period ending 31 May 2023**

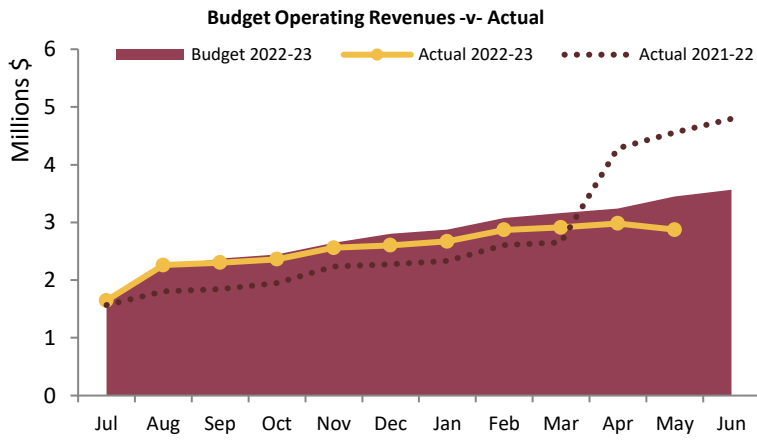
*LOCAL GOVERNMENT ACT 1995*  
*LOCAL GOVERNMENT (FINANCIAL MANAGEMENT) REGULATIONS 1996*

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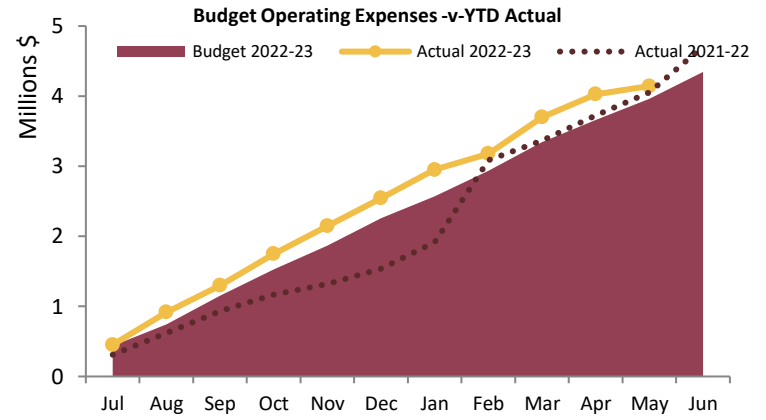
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OPERATING ACTIVITIES

OPERATING REVENUE

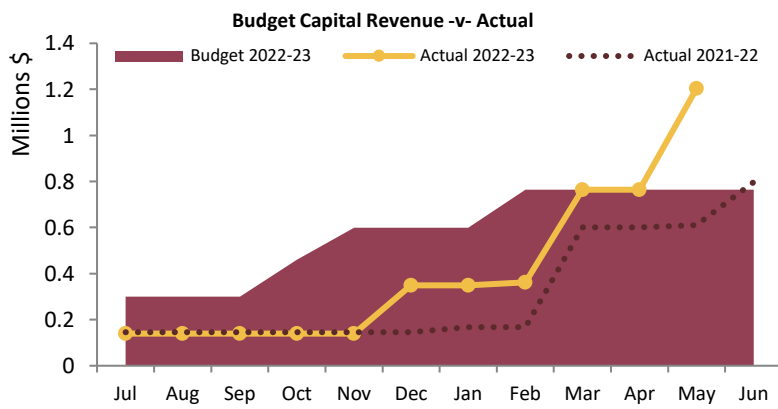


OPERATING EXPENSES

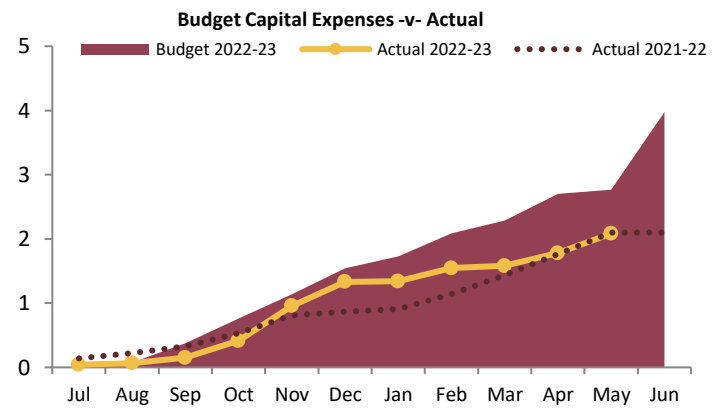


INVESTING ACTIVITIES

CAPITAL REVENUE



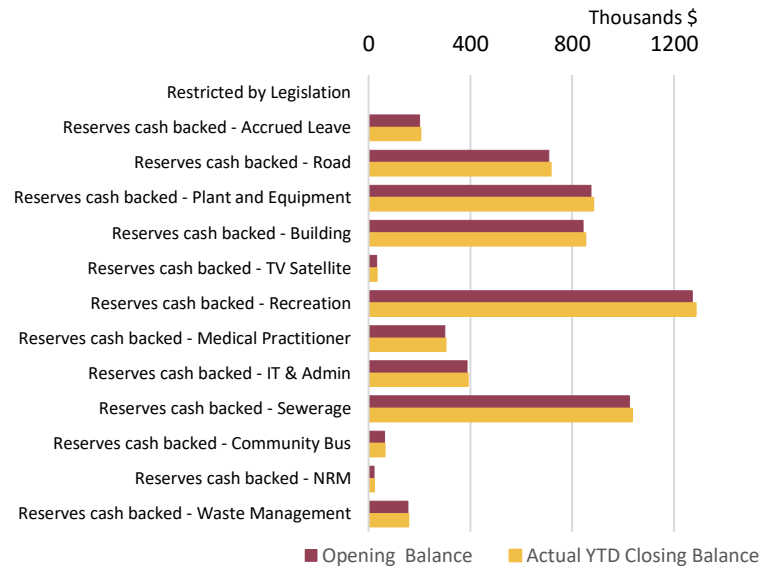
CAPITAL EXPENSES



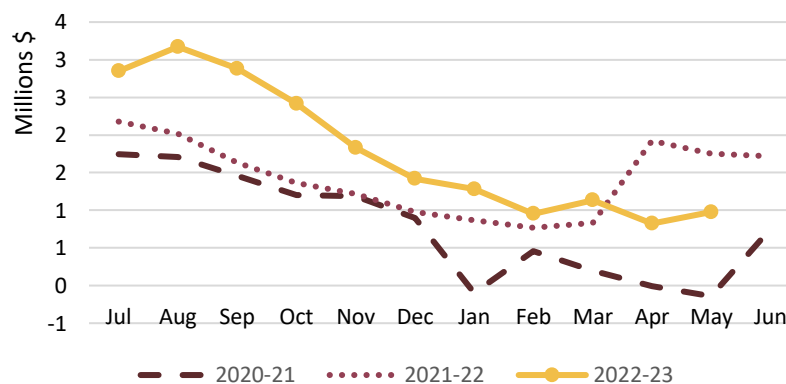
FINANCING ACTIVITIES

BORROWINGS

RESERVES



Closing funding surplus / (deficit)



This information is to be read in conjunction with the accompanying Financial Statements and Notes.

Funding surplus / (deficit) Components

Funding surplus / (deficit)				
	Amended Budget	YTD Budget (a)	YTD Actual (b)	Var. \$ (b)-(a)
Opening	\$1.33 M	\$1.33 M	\$1.33 M	(\$0.00 M)
Closing	\$0.00 M	\$1.39 M	\$0.98 M	(\$0.42 M)

Refer to Statement of Financial Activity

Cash and cash equivalents		
	\$	% of total
Unrestricted Cash	\$0.96 M	13.9%
Restricted Cash	\$5.94 M	86.1%

Refer to Note 2 - Cash and Financial Assets

Payables		
	\$	% Outstanding
Trade Payables	\$0.06 M	
0 to 30 Days		99.2%
Over 30 Days		0.8%
Over 90 Days		0%

Refer to Note 5 - Payables

Receivables		
	\$	% Collected
Rates Receivable	\$0.05 M	95.6%
Trade Receivable	\$0.00 M	% Outstanding
Over 30 Days		17.6%
Over 90 Days		17.6%

Refer to Note 3 - Receivables

Key Operating Activities

Amount attributable to operating activities			
Amended Budget	YTD Budget (a)	YTD Actual (b)	Var. \$ (b)-(a)
\$0.85 M	\$1.04 M	\$0.32 M	(\$0.72 M)

Refer to Statement of Financial Activity

Rates Revenue		
	\$	% Variance
YTD Actual	\$1.18 M	
YTD Budget	\$1.17 M	0.3%

Refer to Statement of Financial Activity

Operating Grants and Contributions		
	\$	% Variance
YTD Actual	\$0.85 M	
YTD Budget	\$1.52 M	(44.3%)

Refer to Note 10 - Operating Grants and Contributions

Fees and Charges		
	\$	% Variance
YTD Actual	\$0.57 M	
YTD Budget	\$0.54 M	5.9%

Refer to Statement of Financial Activity

Key Investing Activities

Amount attributable to investing activities			
Amended Budget	YTD Budget (a)	YTD Actual (b)	Var. \$ (b)-(a)
(\$2.77 M)	(\$1.56 M)	(\$0.62 M)	\$0.94 M

Refer to Statement of Financial Activity

Proceeds on sale		
	\$	%
YTD Actual	\$0.26 M	
Amended Budget	\$0.44 M	(40.9%)

Refer to Note 6 - Disposal of Assets

Asset Acquisition		
	\$	% Spent
YTD Actual	\$2.08 M	
Amended Budget	\$3.97 M	(47.6%)

Refer to Note 7 - Capital Acquisitions

Capital Grants		
	\$	% Received
YTD Actual	\$1.20 M	
Amended Budget	\$0.76 M	57.5%

Refer to Note 7 - Capital Acquisitions

Key Financing Activities

Amount attributable to financing activities			
Amended Budget	YTD Budget (a)	YTD Actual (b)	Var. \$ (b)-(a)
\$0.58 M	\$0.58 M	(\$0.06 M)	(\$0.64 M)

Refer to Statement of Financial Activity

Borrowings	
Principal repayments	\$0.00 M
Interest expense	\$0.00 M
Principal due	\$0.00 M

Refer to Note 7 - Borrowings

Reserves	
Reserves balance	\$5.94 M
Interest earned	\$0.06 M

Refer to Note 8 - Cash Reserves

This information is to be read in conjunction with the accompanying Financial Statements and notes.

## KEY TERMS AND DESCRIPTIONS FOR THE PERIOD ENDED 31 MAY 2023

### REVENUE

#### RATES

All rates levied under the *Local Government Act 1995*. Includes general, differential, specified area rates, minimum rates, interim rates, back rates, ex-gratia rates, less discounts and concessions offered. Excludes administration fees, interest on instalments, interest on arrears, service charges and sewerage rates.

#### OPERATING GRANTS, SUBSIDIES AND CONTRIBUTIONS

Refers to all amounts received as grants, subsidies and contributions that are not non-operating grants.

#### NON-OPERATING GRANTS, SUBSIDIES AND CONTRIBUTIONS

Amounts received specifically for the acquisition, construction of new or the upgrading of identifiable non financial assets paid to a local government, irrespective of whether these amounts are received as capital grants, subsidies, contributions or donations.

#### REVENUE FROM CONTRACTS WITH CUSTOMERS

Revenue from contracts with customers is recognised when the local government satisfies its performance obligations under the contract.

#### FEES AND CHARGES

Revenues (other than service charges) from the use of facilities and charges made for local government services, sewerage rates, rentals, hire charges, fee for service, photocopying charges, licences, sale of goods or information, fines, penalties and administration fees. Local governments may wish to disclose more detail such as rubbish collection fees, rental of property, fines and penalties, and other fees and charges.

#### SERVICE CHARGES

Service charges imposed under *Division 6 of Part 6 of the Local Government Act 1995*. *Regulation 54 of the Local Government (Financial Management) Regulations 1996* identifies these as television and radio broadcasting, underground electricity and neighbourhood surveillance services. Exclude rubbish removal charges.

#### INTEREST EARNINGS

Interest and other items of a similar nature received from bank and investment accounts, interest on rate instalments, interest on rate arrears and interest on debtors.

#### OTHER REVENUE / INCOME

Other revenue, which can not be classified under the above headings, includes dividends, discounts, rebates, reimbursements etc.

#### PROFIT ON ASSET DISPOSAL

Excess of assets received over the net book value for assets on their disposal.

## NATURE OR TYPE DESCRIPTIONS

### EXPENSES

#### EMPLOYEE COSTS

All costs associated with the employment of person such as salaries, wages, allowances, benefits such as vehicle and housing, superannuation, employment expenses, removal expenses, relocation expenses, worker's compensation insurance, training costs, conferences, safety expenses, medical examinations, fringe benefit tax, etc.

#### MATERIALS AND CONTRACTS

All expenditures on materials, supplies and contracts not classified under other headings. These include supply of goods and materials, legal expenses, maintenance agreements, communication expenses, advertising expenses, membership, periodicals, publications, hire expenses, rental, postage and freight etc. Local governments may wish to disclose more detail such as contract services, consultancy, information technology, rental or lease expenditures.

#### UTILITIES (GAS, ELECTRICITY, WATER)

Expenditures made to the respective agencies for the provision of power, gas or water. Exclude expenditures incurred for the reinstatement of roadwork on behalf of these agencies.

#### INSURANCE

All insurance other than worker's compensation and health benefit insurance included as a cost of employment.

#### LOSS ON ASSET DISPOSAL

Shortfall between the value of assets received over the net book value for assets on their disposal.

#### DEPRECIATION ON NON-CURRENT ASSETS

Depreciation expense raised on all classes of assets. Excluding Land.

#### INTEREST EXPENSES

Interest and other costs of finance paid, including costs of finance for loan debentures, overdraft accommodation and refinancing expenses.

#### OTHER EXPENDITURE

Statutory fees, taxes, allowance for impairment of assets, member's fees or State taxes. Donations and subsidies made to community groups.

**STATEMENT OF FINANCIAL ACTIVITY  
FOR THE PERIOD ENDED 31 MAY 2023**

**BY NATURE OR TYPE**

	Ref	Amended Budget	YTD Budget	YTD Actual	Forecast 30 June 2023	Variance \$	Variance %	Var.
	Note	(a)	(b)	(c)	(a)-(b)+(c)	(c) - (b)	((c) - (b))/(b)	
		\$	\$	\$	\$	\$	%	
<b>Opening funding surplus / (deficit)</b>	1(d)	1,334,638	1,334,638	1,334,637	1,334,637	(1)	(0.00%)	
<b>Revenue from operating activities</b>								
Rates		1,174,278	1,174,278	1,178,085	1,178,085	3,807	0.32%	
Operating grants, subsidies and contributions	10	1,565,917	1,519,527	846,528	892,918	(672,999)	(44.29%)	▼
Fees and charges		570,510	536,168	567,610	601,952	31,442	5.86%	
Interest earnings		142,000	107,500	137,409	171,909	29,909	27.82%	▲
Other revenue		22,400	19,200	17,705	20,905	(1,495)	(7.79%)	
Profit on disposal of assets	6	90,600	90,600	127,522	127,522	36,922	40.75%	▲
		<b>3,565,705</b>	<b>3,447,273</b>	<b>2,874,859</b>	<b>2,993,291</b>	<b>(572,414)</b>	<b>(16.60%)</b>	
<b>Expenditure from operating activities</b>								
Employee costs		(1,487,645)	(1,364,375)	(1,251,154)	(1,374,424)	113,221	8.30%	
Materials and contracts		(569,853)	(494,196)	(779,722)	(855,379)	(285,526)	(57.78%)	▼
Utility charges		(230,900)	(211,658)	(190,302)	(209,544)	21,356	10.09%	▲
Depreciation on non-current assets		(1,777,500)	(1,629,375)	(1,720,922)	(1,869,047)	(91,547)	(5.62%)	
Insurance expenses		(167,880)	(167,880)	(171,606)	(171,606)	(3,726)	(2.22%)	
Other expenditure		(99,025)	(79,017)	(30,029)	(50,037)	48,988	62.00%	▲
Loss on disposal of assets	6	(13,000)	(13,000)	0	0	13,000	100.00%	▲
		<b>(4,345,803)</b>	<b>(3,959,501)</b>	<b>(4,143,735)</b>	<b>(4,530,037)</b>	<b>(184,234)</b>	<b>4.65%</b>	
Non-cash amounts excluded from operating activities	1(a)	1,634,517	1,551,775	1,592,768	1,675,510	40,993	2.64%	
<b>Amount attributable to operating activities</b>		<b>854,419</b>	<b>1,039,547</b>	<b>323,892</b>	<b>138,764</b>	<b>(715,655)</b>	<b>(68.84%)</b>	
<b>Investing activities</b>								
Proceeds from non-operating grants, subsidies and contributions	11	764,408	764,408	1,204,115	1,204,115	439,707	57.52%	▲
Proceeds from disposal of assets	6	440,400	440,400	260,117	260,117	(180,283)	(40.94%)	▼
Proceeds on community loans		5,000	0	0	5,000	0	0.00%	
Payments for property, plant and equipment and infrastructure	7	(3,973,360)	(2,766,725)	(2,084,007)	(3,290,642)	682,718	24.68%	▲
		<b>(2,763,552)</b>	<b>(1,561,917)</b>	<b>(619,775)</b>	<b>(1,821,410)</b>	<b>942,142</b>	<b>(60.32%)</b>	
Non-cash amounts excluded from investing activities	1(b)	(5,000)	0	0	(5,000)	0	0.00%	
<b>Amount attributable to investing activities</b>		<b>(2,768,552)</b>	<b>(1,561,917)</b>	<b>(619,775)</b>	<b>(1,826,410)</b>	<b>942,142</b>	<b>(60.32%)</b>	
<b>Financing Activities</b>								
Transfer from reserves	8	957,221	957,221	0	0	(957,221)	(100.00%)	▼
Transfer to reserves	8	(377,726)	(377,726)	(62,321)	(62,321)	315,405	83.50%	▲
<b>Amount attributable to financing activities</b>		<b>579,495</b>	<b>579,495</b>	<b>(62,321)</b>	<b>(62,321)</b>	<b>(641,816)</b>	<b>(110.75%)</b>	
<b>Closing funding surplus / (deficit)</b>	1(d)	<b>0</b>	<b>1,391,763</b>	<b>976,434</b>	<b>(415,329)</b>	<b>(415,329)</b>	<b>29.84%</b>	<b>▼</b>

**KEY INFORMATION**

▲ ▼ Indicates a variance between Year to Date (YTD) Budget and YTD Actual data as per the adopted materiality threshold.

Refer to Note 13 for an explanation of the reasons for the variance.

This statement is to be read in conjunction with the accompanying Financial Statements and Notes.

## **BASIS OF PREPARATION**

The financial report has been prepared in accordance with Australian Accounting Standards (as they apply to local governments and not-for-profit entities) and interpretations of the Australian Accounting Standards Board, and the *Local Government Act 1995* and accompanying Regulations.

The *Local Government Act 1995* and accompanying Regulations take precedence over Australian Accounting Standards where they are inconsistent.

The *Local Government (Financial Management) Regulations 1996* specify that vested land is a right-of-use asset to be measured at cost, and is considered a zero cost concessionary lease. All right-of-use assets under zero cost concessionary leases are measured at zero cost rather than at fair value, except for vested improvements on concessionary land leases such as roads, buildings or other infrastructure which continue to be reported at fair value, as opposed to the vested land which is measured at zero cost. The measurement of vested improvements at fair value is a departure from AASB 16 which would have required the Shire to measure any vested improvements at zero cost.

Accounting policies which have been adopted in the preparation of this financial report have been consistently applied unless stated otherwise. Except for cash flow and rate setting information, the financial report has been prepared on the accrual basis and is based on historical costs, modified, where applicable, by the measurement at fair value of selected non-current assets, financial assets and liabilities.

### **THE LOCAL GOVERNMENT REPORTING ENTITY**

All funds through which the Shire controls resources to carry on its functions have been included in the financial statements forming part of this financial report.

All monies held in the Trust Fund are excluded from the financial statements.

## **SIGNIFICANT ACCOUNTING POLICES**

### **CRITICAL ACCOUNTING ESTIMATES**

The preparation of a financial report in conformity with Australian Accounting Standards requires management to make judgements, estimates and assumptions that effect the application of policies and reported amounts of assets and liabilities, income and expenses.

The estimates and associated assumptions are based on historical experience and various other factors believed to be reasonable under the circumstances; the results of which form the basis of making the judgements about carrying values of assets and liabilities not readily apparent from other sources. Actual results may differ from these estimates.

The balances, transactions and disclosures impacted by accounting estimates are as follows:

- estimation of fair values of certain financial assets
- estimation of fair values of fixed assets shown at fair value
- impairment of financial assets

### **GOODS AND SERVICES TAX**

Revenues, expenses and assets are recognised net of the amount of GST, except where the amount of GST incurred is not recoverable from the Australian Taxation Office (ATO). Receivables and payables are stated inclusive of GST receivable or payable. The net amount of GST recoverable from, or payable to, the ATO is included with receivables or payables in the statement of financial position. Cash flows are presented on a gross basis. The GST components of cash flows arising from investing or financing activities which are recoverable from, or payable to, the ATO are presented as operating cash flows.

### **ROUNDING OFF FIGURES**

All figures shown in this statement are rounded to the nearest dollar.

### **PREPARATION TIMING AND REVIEW**

Date prepared: All known transactions up to 20 May 2023



(a) Non-cash items excluded from operating activities

The following non-cash revenue and expenditure has been excluded from operating activities within the Statement of Financial Activity in accordance with *Financial Management Regulation 32*.

	Notes	Amended Budget	YTD Budget (a)	YTD Actual (b)	Forecast 30 June 2023 Closing
		\$	\$	\$	
<b>Non-cash items excluded from operating activities</b>					
<b>Adjustments to operating activities</b>					
Less: Profit on asset disposals	6	(90,600)	(90,600)	(127,522)	(127,522)
Less: Fair value adjustments to financial assets (House Trust)				(2,764)	(2,764)
Movement in employee benefit provisions (non-current)		522		2,132	2,654
Movement in contract liabilities (non-current)		(65,905)		0	(65,905)
Add: Loss on asset disposals	6	13,000	13,000	0	0
Add: Depreciation on assets		1,777,500	1,629,375	1,720,922	1,869,047
<b>Total non-cash items excluded from operating activities</b>		<b>1,634,517</b>	<b>1,551,775</b>	<b>1,592,768</b>	<b>1,675,510</b>

(b) Non-cash items excluded from investing activities

The following non-cash revenue and expenditure has been excluded from investing activities within the Statement of Financial Activity in accordance with *Financial Management Regulation 32*.

**Adjustments to investing activities**

Movement in non current liabilities for transfers to acquire or construct non-financial assets to be controlled by the entity

		(5,000)			(5,000)
<b>Total non-cash amounts excluded from investing activities</b>		<b>(5,000)</b>	<b>0</b>	<b>0</b>	<b>(5,000)</b>

(c) Adjustments to net current assets in the Statement of Financial Activity

The following current assets and liabilities have been excluded from the net current assets used in the Statement of Financial Activity in accordance with *Financial Management Regulation 32* to agree to the surplus/(deficit) after imposition of general rates.

		Amended Budget Opening 30 June 2022	Last Year Closing 30 June 2022	Year to Date 31 May 2023
<b>Adjustments to net current assets</b>				
Less: Reserves - restricted cash	8	(5,877,725)	(5,877,725)	(5,940,046)
Add: Provisions employee related provisions	9	245,392	201,087	202,902
<b>Total adjustments to net current assets</b>		<b>(5,632,333)</b>	<b>(5,676,638)</b>	<b>(5,737,144)</b>

(d) Net current assets used in the Statement of Financial Activity

**Current assets**

Cash and cash equivalents	2	7,311,591	7,311,591	956,741
Financial assets at amortised cost	2		0	5,940,045
Rates receivables	3	68,852	68,852	54,442
Receivables	3	(11,969)	(11,969)	4,884
Other current assets	4	27,851	27,851	48,748
<b>Less: Current liabilities</b>				
Payables	5	(123,513)	(123,513)	(45,889)
Contract liabilities	9	(16,145)	(16,145)	0
Provisions	9	(245,392)	(245,392)	(245,392)
<b>Less: Total adjustments to net current assets</b>	1(c)	<b>(5,632,333)</b>	<b>(5,676,638)</b>	<b>(5,737,144)</b>
<b>Closing funding surplus / (deficit)</b>		<b>1,378,942</b>	<b>1,334,637</b>	<b>976,435</b>

**CURRENT AND NON-CURRENT CLASSIFICATION**

In the determination of whether an asset or liability is current or non-current, consideration is given to the time when each asset or liability is expected to be settled. Unless otherwise stated assets or liabilities are classified as current if expected to be settled within the next 12 months, being the Council's operational cycle.

Description	Classification	Unrestricted \$	Restricted \$	Total Cash \$	Trust \$	Institution	Interest Rate	Maturity Date
Municipal Account	Cash and cash equivalents	20,809		20,809		Bendigo	Variable	Nil
Municipal Account	Cash and cash equivalents	863,366		863,366		BWA	Variable	Nil
Licensing Account	Cash and cash equivalents	13,990		13,990		BWA	Variable	Nil
ATM Control Account	Cash and cash equivalents	28,840		28,840		BWA	Nil	Nil
ATM Cash Account	Cash and cash equivalents	27,440		27,440		BWA	Nil	Nil
Cash on Hand	Cash and cash equivalents	1,772		1,772		Cash on Hand	Nil	Nil
Term Deposit XXX1	Financial assets at amortised cost	0	4,494,906	4,494,906		Bankwest	3.20%	30/06/2023
Term Deposit XXX2	Financial assets at amortised cost	0	1,445,139	1,445,139		Bankwest	3.45%	30/06/2023
<b>Total</b>		<b>956,218</b>	<b>5,940,045</b>	<b>6,896,263</b>	<b>0</b>			
<b>Comprising</b>								
Cash and cash equivalents		956,218	0	956,218	0			
Financial assets at amortised cost		0	5,940,045	5,940,045	0			
		<b>956,218</b>	<b>5,940,045</b>	<b>6,896,263</b>	<b>0</b>			

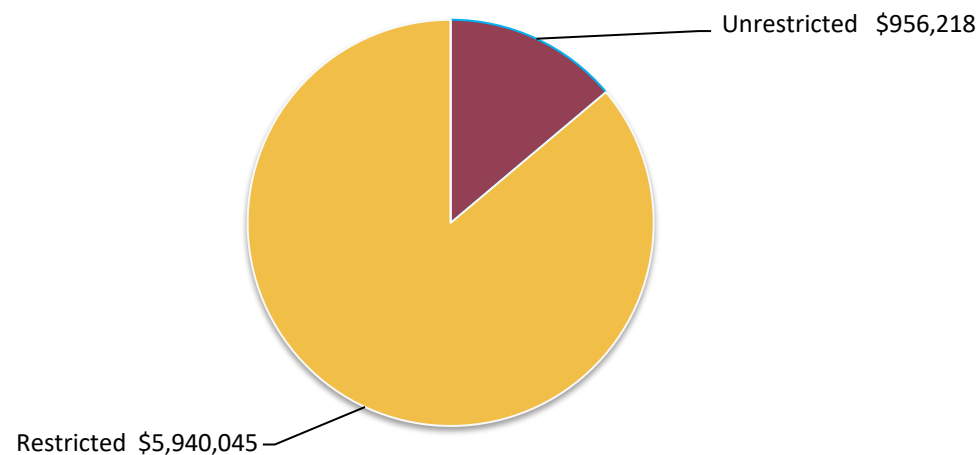
**KEY INFORMATION**

Cash and cash equivalents include cash on hand, cash at bank, deposits available on demand with banks and other short term highly liquid investments with original maturities of three months or less that are readily convertible to known amounts of cash and which are subject to an insignificant risk of changes in value. Bank overdrafts are reported as short term borrowings in current liabilities in the statement of net current assets.

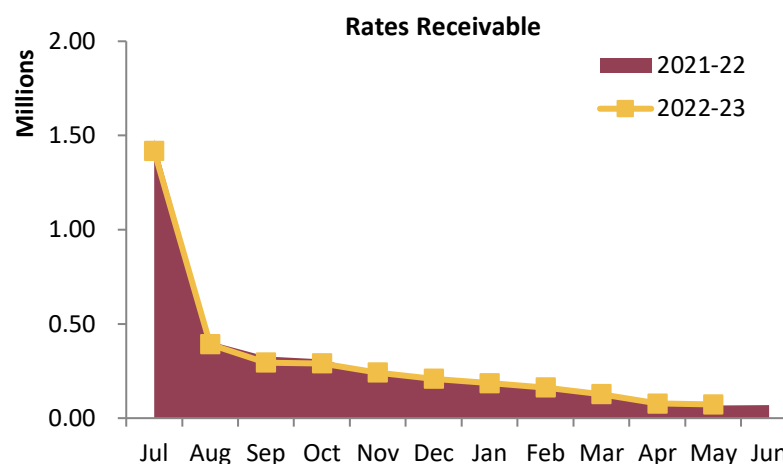
The local government classifies financial assets at amortised cost if both of the following criteria are met:

- the asset is held within a business model whose objective is to collect the contractual cashflows, and
- the contractual terms give rise to cash flows that are solely payments of principal and interest.

Financial assets at amortised cost held with registered financial institutions are listed in this note other financial assets at amortised cost are provided in Note 4 - Other assets.



Rates receivable	30 June 2022	31 May 2023
	\$	\$
Opening arrears previous years	70,096	68,852
Levied this year	1,145,170	1,178,085
Less - collections to date	(1,146,414)	(1,192,495)
Gross rates collectable	<b>68,852</b>	<b>54,442</b>
<b>Net rates collectable</b>	<b>68,852</b>	<b>54,442</b>
% Collected	94.3%	95.6%



Receivables - general	Credit	Current	30 Days	60 Days	90+ Days	Total
	\$	\$	\$	\$	\$	\$
Receivables - general	0	3,540	0	0	755	4,295
Percentage	0.0%	82.4%	0%	0%	17.6%	
<b>Balance per trial balance</b>						
Sundry receivable						6,353
GST receivable						(71,806)
Interest Receivable						67,837
Sports club loan						2,500
<b>Total receivables general outstanding</b>						<b>4,884</b>

Amounts shown above include GST (where applicable)

**KEY INFORMATION**

Trade and other receivables include amounts due from ratepayers for unpaid rates and service charges and other amounts due from third parties for goods sold and services performed in the ordinary course of business.

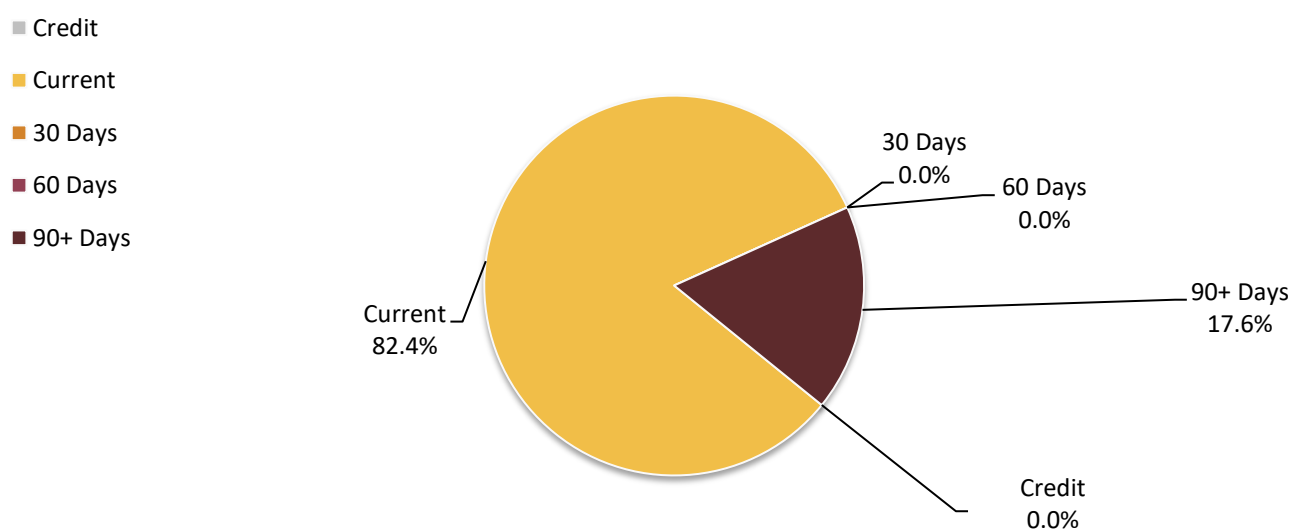
Trade receivables are recognised at original invoice amount less any allowances for uncollectable amounts (i.e. impairment). The carrying amount of net trade receivables is equivalent to fair value as it is due for settlement within 30 days.

**Classification and subsequent measurement**

Receivables which are generally due for settlement within 30 days except rates receivables which are expected to be collected within 12 months are classified as current assets. All other receivables such as, deferred pensioner rates receivable after the end of the reporting period are classified as non-current assets.

Trade and other receivables are held with the objective to collect the contractual cashflows and therefore the Shire measures them subsequently at amortised cost using the effective interest rate method.

**Accounts Receivable (non-rates)**



Other current assets	Opening Balance 1 July 2022	Asset Increase	Asset Reduction	Closing Balance 31 May 2023
	\$	\$	\$	\$
<b>Inventory</b>				
Stock on Hand	27,851	211,694	(190,797)	48,748
<b>Total other current assets</b>	<b>27,851</b>	<b>211,694</b>	<b>(190,797)</b>	<b>48,748</b>
<b>Amounts shown above include GST (where applicable)</b>				

**KEY INFORMATION**

**Inventory**

Inventories are measured at the lower of cost and net realisable value.

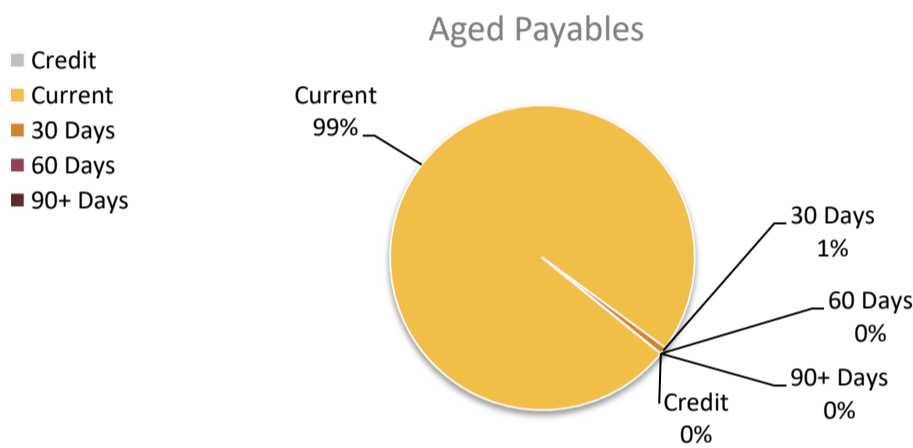
Net realisable value is the estimated selling price in the ordinary course of business less the estimated costs of completion and the estimated costs necessary to make the sale.

Payables - general	Credit	Current	30 Days	60 Days	90+ Days	Total
	\$	\$	\$	\$	\$	\$
Payables - general	0	55,076	428	0	0	55,505
Percentage	0%	99.2%	0.8%	0%	0%	
<b>Balance per trial balance</b>						
Sundry creditors						55,505
Other Payables						17,553
GST Payable						(47,669)
PAYG Payables						20,500
<b>Total payables general outstanding</b>						<b>45,889</b>

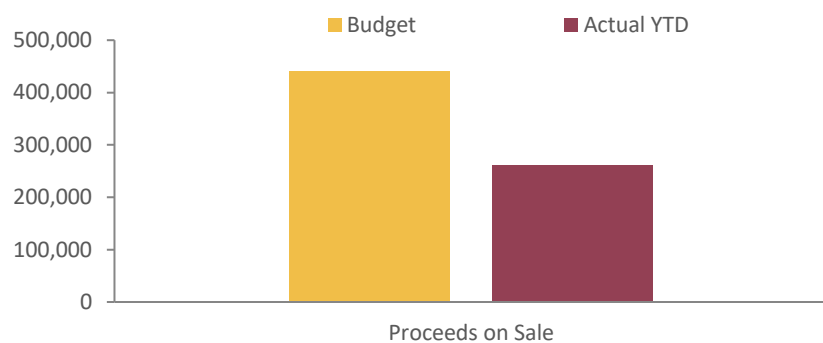
Amounts shown above include GST (where applicable)

**KEY INFORMATION**

Trade and other payables represent liabilities for goods and services provided to the Shire prior to the end of the period that are unpaid and arise when the Shire becomes obliged to make future payments in respect of the purchase of these goods and services. The amounts are unsecured, are recognised as a current liability and are normally paid within 30 days of recognition. The carrying amounts of trade and other payables are considered to be the same as their fair values, due to their short-term nature.



Asset Ref.	Asset description	Budget				YTD Actual			
		Net Book Value	Proceeds	Profit	(Loss)	Net Book Value	Proceeds	Profit	(Loss)
		\$	\$	\$	\$	\$	\$	\$	\$
	<b>Land</b>								
10218	L28 P88510 (36 Allenby St)	10,900	10,900	0	0	6,000	10,922	4,922	0
	<b>Plant and equipment</b>								
	<b>Transport</b>								
PE0051	P05: Ute (Building Maintenance)	15,000	15,000	0	0			0	0
PE0061	P06: Tipper Truck	42,500	42,500	0	0	0	43,994	43,994	0
PE0361	P36: Loader	5,000	40,000	35,000	0	0	51,007	51,007	0
PE0581	P58: Ute (Patching/Gardener)	5,900	12,500	6,600	0			0	0
PE0641	P55: Ute (Team Leader)	35,000	30,000	0	(5,000)	37,904	48,582	10,678	0
PE0651	P65: Prime Mover	31,000	80,000	49,000	0			0	0
PE0661	P66: Ute (Works Crew)	35,000	27,000	0	(8,000)			0	0
PE2001	P200: WS Vehicle (000KD)	40,000	40,000	0	0	33,633	38,454	4,821	0
	Cherry Picker	22,500	22,500	0	0	0	9,869	9,869	0
	<b>Other property and services</b>								
PE1001	P100: CEO Vehicle 1 (0KD)	62,500	62,500	0	0			0	0
PE3001	P300: DCEO Vehicle 1 (00KD)	57,500	57,500	0	0	55,059	57,289	2,230	0
		<b>362,800</b>	<b>440,400</b>	<b>90,600</b>	<b>(13,000)</b>	<b>132,595</b>	<b>260,117</b>	<b>127,521</b>	<b>0</b>



Capital acquisitions	Amended		YTD Actual	Forecast 30 June Closing	YTD Actual Variance
	Budget	YTD Budget			
	\$	\$	\$		\$
Buildings	1,261,635	115,000	105,644	1,252,279	(9,356)
Plant and equipment	1,080,725	1,080,725	591,754	591,754	(488,971)
Infrastructure - roads	1,541,000	1,481,000	1,361,557	1,421,557	(119,443)
Infrastructure - other	90,000	90,000	25,052	25,052	(64,948)
<b>Payments for Capital Acquisitions</b>	<b>3,973,360</b>	<b>2,766,725</b>	<b>2,084,007</b>	<b>3,290,642</b>	<b>(682,718)</b>
<b>Capital Acquisitions Funded By:</b>					
	\$	\$	\$		\$
Capital grants and contributions	764,408	764,408	1,204,115	1,204,115	439,707
Other (disposals & C/Fwd)	440,400	440,400	260,117	260,117	(180,283)
Cash backed reserves					
Reserves cash backed - Plant and Equipment	(445,000)		0	(445,000)	0
Reserves cash backed - Building	(115,000)		0	(115,000)	0
Reserves cash backed - Recreation	(397,221)		0	(397,221)	0
Contribution - operations	3,725,773	1,561,917	619,775	2,783,631	(942,142)
<b>Capital funding total</b>	<b>3,973,360</b>	<b>2,766,725</b>	<b>2,084,007</b>	<b>3,290,642</b>	<b>(682,718)</b>

#### SIGNIFICANT ACCOUNTING POLICIES

Each class of fixed assets within either plant and equipment or infrastructure, is carried at cost or fair value as indicated less, where applicable, any accumulated depreciation and impairment losses.

Assets for which the fair value as at the date of acquisition is under \$5,000 are not recognised as an asset in accordance with *Financial Management Regulation 17A (5)*. These assets are expensed immediately.

Where multiple individual low value assets are purchased together as part of a larger asset or collectively forming a larger asset exceeding the threshold, the individual assets are recognised as one asset and capitalised.

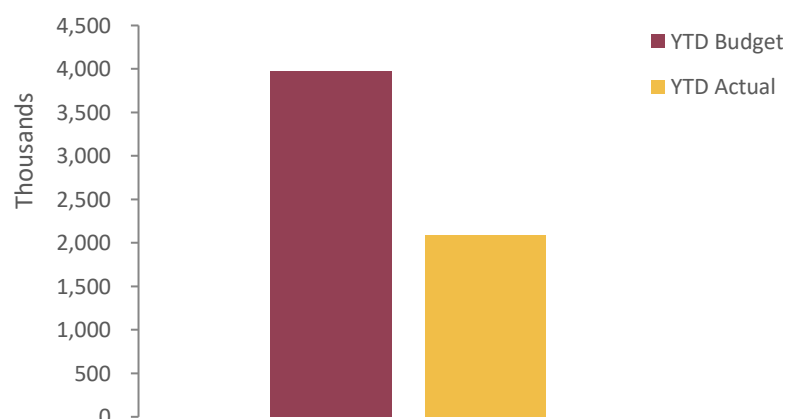
#### Initial recognition and measurement for assets held at cost

Plant and equipment including furniture and equipment is recognised at cost on acquisition in accordance with *Financial Management Regulation 17A*. Where acquired at no cost the asset is initially recognise at fair value. Assets held at cost are depreciated and assessed for impairment annually.

#### Initial recognition and measurement between mandatory revaluation dates for assets held at fair value

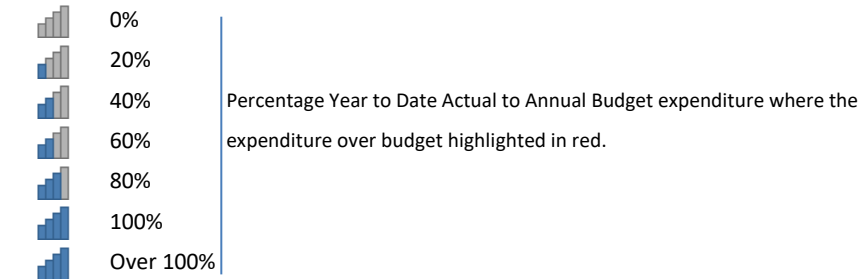
In relation to this initial measurement, cost is determined as the fair value of the assets given as consideration plus costs incidental to the acquisition. For assets acquired at zero cost or otherwise significantly less than fair value, cost is determined as fair value at the date of acquisition. The cost of non-current assets constructed by the Shire includes the cost of all materials used in construction, direct labour on the project and an appropriate proportion of variable and fixed overheads.

Payments for Capital Acquisitions



Capital expenditure total



















Level of completion indicators



Level of completion indicator, please see table at the end of this note for further de

Account Description		Amended		YTD Actual	Variance (Under)/Over	Comment
		Budget	YTD Budget			
		\$	\$	\$	\$	
<b>Building and Improvements</b>						
	BC001	L253 Haig (Admin Office - Painting & Gardens)	30,000	30,000	0	(30,000) Likely to become a carry forward in the 2023/24 budget.
	BC012	L06 Railway (CWA - Roof & Ceiling)	50,000	50,000	20,700	(29,300) Roof restoration and wooden flooring complete. Quotes being sought for new carpets.
	BC014	L99-110 Greenham (Yalabee - Driveway)	35,000	35,000	58,304	23,304 Completed.
	BC015	L267 Caravan Park	0	0	10,119	10,119
	BC016	L20135 Scott (Recreation Pavilion Extension & Upgrade)	1,146,635	0	16,522	16,522 Will become a carry forward in the 2023/24 budget. Advised by builders that project not anticipated to start until Aug/Sept. Dept of Infrastructure advised of extensions for LRIC Programs 1, 2 and 3.
<b>TOTAL - Building and Improvements</b>		<b>1,261,635</b>	<b>115,000</b>	<b>105,644</b>		(9,356)
<b>Plant &amp; Equipment</b>						
	PE0051	P05: Ute (Building Maintenance)	40,000	40,000	0	(40,000) Ordered. Waiting on confirmation of ETA.
	PE0061	P06: Tipper Truck	66,225	66,225	66,225	0 Completed.
	PE0361	P36: Loader	330,000	330,000	296,000	(34,000) Completed.
	PE0531	P53: Slasher/Mower	25,000	25,000	20,600	(4,400) Completed.
	PE0581	P58: Ute (Patching/Gardener)	48,000	48,000	0	(48,000) Ordered. Pick up before end of June.
	PE0641	P55: Ute (Team Leader)	48,000	48,000	54,622	6,622 Completed.
	PE0651	P65: Prime Mover	265,000	265,000	0	(265,000) Ordered. ETA August.
	PE0661	P66: Ute (Works Crew)	45,000	45,000	0	(45,000) Ordered. 2 months away.
	PE1001	P100: CEO Vehicle 1 (OKD)	65,000	65,000	0	(65,000) Ordered. Waiting for supply. Carry forward to 2023/24.
	PE2001	P200: WS Vehicle (000KD)	55,000	55,000	59,725	4,725 Completed.
	PE3001	P300: DCEO Vehicle 1 (00KD)	60,000	60,000	61,087	1,087 Completed.
	PE0671	Misc - Moveable Traffic Lights	33,500	33,500	33,495	(5) Completed.
<b>TOTAL - Plant &amp; Equipment</b>		<b>1,080,725</b>	<b>1,080,725</b>	<b>591,754</b>		(488,971)



Roads						
	RRG003	Koorda Dowerin Reseal	150,000	150,000	174,410	24,410 Completed.
	RRG140	Burakin Wialki Full Recon	219,000	219,000	378,011	159,011 Completed.
	RRG140B	Burakin Wialki Reseal	150,000	150,000	192,633	42,633 Completed.
	R2R006	Kulja Kalannie Full Recon	130,000	130,000	148,534	18,534 Completed. Minor failed sections to be fixed when Staff resources available. Expected Actual expenditure around \$210k.
	R2R004	Koorda Kulja Full Recon 23.50-25.00	150,000	150,000	64,864	(85,136) Seal complete with failed sections. Second seal applied 22/06. Expected Actual expenditure around \$210k.
	R2R004B	Koorda Kulja Reseal	122,000	122,000	126,677	4,677 Completed.
	R2R004C	Koorda Kulja Full Recon 2.50-3.50	250,000	250,000	170,911	(79,089) Completed. Expected Actual expenditure at around \$200k. \$50k can be transferred to R2R004.
	RC016	Mulji Ref/Sheet	60,000	40,000	31,997	(8,003) Completed.
	RC010	Mollerin Rock South Ref/Sheet	90,000	70,000	16,279	(53,721) Will commence after the two full recon projects are complete. To continue works in 2023/24.
	RC009	Koorda North West Ref/Sheet	60,000	40,000	11,021	(28,979) Working on at the moment. Should be complete before end of June.
	RC011	Dukin West Ref/Sheet	90,000	90,000	12,278	(77,722) Preliminary works done, will fully commence after the two full recon projects are complete. To continue works in 2023/24.
	RC004	Koorda Kulja Widen Seal	70,000	70,000	33,942	(36,058) Seal complete with failed sections. Second seal applied 22/06. Expected Actual expenditure around \$130k.
	<b>TOTAL - Roads</b>		<b>1,541,000</b>	<b>1,481,000</b>	<b>1,361,557</b>	<b>(119,443)</b>
<b>Other Infrastructure</b>						
	BC001	L253 Haig (Admin Office - Carpark)	50,000	50,000	0	(50,000) Carry forward in the 2023/24 budget.
		Kerbing	20,000	20,000	0	(20,000) None planned for this year. Will transfer allocation to Yalabee Project.
	FC138	Footpaths	20,000	20,000	25,052	5,052 Completed.
	<b>TOTAL - Other Infrastructure</b>		<b>90,000</b>	<b>90,000</b>	<b>25,052</b>	<b>(64,948)</b>
			<b>3,973,360</b>	<b>2,766,725</b>	<b>2,084,007</b>	<b>(682,718)</b>

**NOTES TO THE STATEMENT OF FINANCIAL ACTIVITY  
FOR THE PERIOD ENDED 31 MAY 2023**

**OPERATING ACTIVITIES  
NOTE 8  
RESERVE ACCOUNTS**

**Reserve accounts**

<b>Reserve name</b>	<b>Opening Balance</b>	<b>Budget Interest Earned</b>	<b>Actual Interest Earned</b>	<b>Budget Transfers In (+)</b>	<b>Actual Transfers In (+)</b>	<b>Budget Transfers Out (-)</b>	<b>Actual Transfers Out (-)</b>	<b>Budget Closing Balance</b>	<b>Actual YTD Closing Balance</b>
	\$	\$	\$	\$	\$	\$	\$	\$	\$
<b>Restricted by Legislation</b>									
Reserves cash backed - Accrued Leave	201,087	523	2,132	83,580				285,190	203,219
Reserves cash backed - Road	707,677	1,838	7,503	40,000				749,515	715,180
Reserves cash backed - Plant and Equipment	873,267	2,165	9,259	82,822		(445,000)		513,254	882,526
Reserves cash backed - Building	842,671	2,189	8,935			(115,000)		729,860	851,606
Reserves cash backed - TV Satellite	31,982	83	339					32,065	32,321
Reserves cash backed - Recreation	1,271,844	3,302	13,485			(397,221)		877,925	1,285,329
Reserves cash backed - Medical Practitioner	299,029	776	3,171					299,805	302,200
Reserves cash backed - IT & Admin	386,311	1,003	4,096					387,314	390,407
Reserves cash backed - Sewerage	1,024,632	2,500	10,864	60,000				1,087,132	1,035,496
Reserves cash backed - Community Bus	62,927	163	667					63,090	63,594
Reserves cash backed - NRM	22,105	58	234					22,163	22,339
Reserves cash backed - Waste Management	154,193	400	1,635	96,324				250,917	155,828
	<b>5,877,725</b>	<b>15,000</b>	<b>62,321</b>	<b>362,726</b>	<b>0</b>	<b>(957,221)</b>	<b>0</b>	<b>5,298,230</b>	<b>5,940,046</b>

	Note	Opening Balance 1 July 2022	Liability transferred from/(to) non current	Liability Increase	Liability Reduction	Closing Balance 31 May 2023
		\$		\$	\$	\$
<b>Other current liabilities</b>						
<b>Other liabilities</b>						
- Contract liabilities		16,145	0		(16,145)	0
<b>Total other liabilities</b>		16,145	0	0	(16,145)	0
<b>Employee Related Provisions</b>						
Annual leave		137,668	0			137,668
Long service leave		107,724	0			107,724
<b>Total Employee Related Provisions</b>		245,392	0	0	0	245,392
<b>Total other current assets</b>		<b>261,537</b>	<b>0</b>	<b>0</b>	<b>(16,145)</b>	<b>245,392</b>
<b>Amounts shown above include GST (where applicable)</b>						

A breakdown of contract liabilities and associated movements is provided on the following pages at Note 10

#### KEY INFORMATION

##### Provisions

Provisions are recognised when the Shire has a present legal or constructive obligation, as a result of past events, for which it is probable that an outflow of economic benefits will result and that outflow can be reliably measured.

Provisions are measured using the best estimate of the amounts required to settle the obligation at the end of the reporting period.

##### Employee Related Provisions

###### Short-term employee benefits

Provision is made for the Shire's obligations for short-term employee benefits. Short-term employee benefits are benefits (other than termination benefits) that are expected to be settled wholly before 12 months after the end of the annual reporting period in which the employees render the related service, including wages, salaries and sick leave. Short-term employee benefits are measured at the (undiscounted) amounts expected to be paid when the obligation is settled.

The Shire's obligations for short-term employee benefits such as wages, salaries and sick leave are recognised as a part of current trade and other payables in the calculation of net current assets.

###### Other long-term employee benefits

The Shire's obligations for employees' annual leave and long service leave entitlements are recognised as employee related provisions in the statement of financial position.

Long-term employee benefits are measured at the present value of the expected future payments to be made to employees. Expected future payments incorporate anticipated future wage and salary levels, durations of service and employee departures and are discounted at rates determined by reference to market yields at the end of the reporting period on government bonds that have maturity dates that approximate the terms of the obligations. Any remeasurements for changes in assumptions of obligations for other long-term employee benefits are recognised in profit or loss in the periods in which the changes occur. The Shire's obligations for long-term employee benefits are presented as non-current provisions in its statement of financial position, except where the Shire does not have an unconditional right to defer settlement for at least 12 months after the end of the reporting period, in which case the obligations are presented as current provisions.

##### Contract liabilities

An entity's obligation to transfer goods or services to a customer for which the entity has received consideration (or the amount is due) from the customer.

##### Capital grant/contribution liabilities

Grants to acquire or construct recognisable non-financial assets to identified specifications be constructed to be controlled by the Shire are recognised as a liability until such time as the Shire satisfies its obligations under the agreement.

Provider	Unspent operating grant, subsidies and contributions liability					Operating grants, subsidies and contributions revenue			
	Liability	Increase in Liability	Decrease in Liability	Liability	Current Liability	Amended Budget Revenue	YTD Budget	YTD Revenue Actual	Forecast 30 June Closing
	1 July 2022		(As revenue)	31 May 2023	31 May 2023				
	\$	\$	\$	\$	\$	\$	\$	\$	
<b>Operating grants and subsidies</b>									
<b>Governance</b>									
OTH GOV - Grant - WDN WSFN				0		82,504	38,114	16,145	60,535
<b>General purpose funding</b>									
GEN PUR - Financial Assistance Grant - General				0		290,000	517,000	444,889	217,889
GEN PUR - Financial Assistance Grant - Roads				0		60,000	167,000	151,984	44,984
GEN PUR - Other Grants (LRICI)				0		574,820	574,820	0	0
<b>Law, order, public safety</b>									
ESL BFB - Operating Grant				0		21,420	21,420	22,824	22,824
<b>Recreation and culture</b>									
Library - Technology and Digital Inclusion Grant				0				4,276	4,276
<b>Transport</b>									
ROADM - Direct Road Grant (MRWA)				0		179,173	179,173	183,027	183,027
<b>Other property and services</b>									
POC - Fuel Tax Credits Grant Scheme				0		0	22,000	23,382	1,382
	0	0	0	0	0	1,207,917	1,519,527	846,527	534,917

Provider	Capital grant/contribution liabilities					Non operating grants, subsidies and contributions revenue			
	Liability 1 July 2022	Increase in Liability	Decrease in Liability (As revenue)	Liability 31 May 2023	Current Liability 31 May 2023	Amended Budget Revenue	YTD Budget	YTD Revenue Actual	Forecast 30 June Closing
	\$	\$	\$	\$	\$	\$	\$	\$	\$
<b>Non-operating grants and subsidies</b>									
<b>General purpose funding</b>									
GEN PUR - Other Grants (LRCl)				0				439,707	439,707
<b>Transport</b>									
ROADC - Regional Road Group Grants (MRWA)				0		361,518	361,518	361,518	361,518
ROADC - Roads to Recovery Grant				0		402,890	402,890	402,890	402,890
	0	0	0	0	0	764,408	764,408	1,204,115	1,204,115

**NOTES TO THE STATEMENT OF FINANCIAL ACTIVITY  
FOR THE PERIOD ENDED 31 MAY 2023**

**NOTE 12  
BUDGET AMENDMENTS**

Amendments to original budget since budget adoption. Surplus/(Deficit)

GL Code	Description	Council Resolution	Classification	Non Cash Adjustment	Increase in Available Cash	Decrease in Available Cash	Amended Budget Running Balance
				\$	\$	\$	\$
	<b>Budget adoption</b>		Opening Surplus(Deficit)			(380,469)	(380,469)
3030210.31	GEN PUR - Financial Assistance Grant - General		Operating Revenue		227,000		(153,469)
3030211.31	GEN PUR - Financial Assistance Grant - Roads		Operating Revenue		107,000		(46,469)
3030245.36	GEN PUR - Interest Earned - Reserve Funds		Operating Revenue		121,000		74,531
3100620.34	PLAN - Planning Application Fees		Operating Revenue		10,000		84,531
3120110.58	ROADC - Regional Road Group Grants (MRWA)		Capital Revenue		15,518		100,049
3130221.34	TOUR - Caravan Park Fees		Operating Revenue		10,000		110,049
3130222.34	TOUR - Yalambee Fees		Operating Revenue		25,000		135,049
3140410.31	POC - Fuel Tax Credits Grant Scheme		Capital Revenue		24,000		159,049
	Proceeds from Disposal of Assets		Non Cash Item			(11,600)	147,449
	Plant Purchases		Operating Expenses			(57,725)	89,724
BC016	Increased Scope to Recreation Upgrade	121222	Capital Expenses			(146,635)	(56,911)
	Transfer from Reserve (Recreation)	121222	Capital Revenue		146,635		89,724
	Transfer to Waste Management					(51,324)	38,400
	Transfer to Plant Reserve					(38,400)	0
				<b>0</b>	<b>686,153</b>	<b>(686,153)</b>	<b>0</b>

The material variance thresholds are adopted annually by Council as an indicator of whether the actual expenditure or revenue varies from the year to date Actual materially.

The material variance adopted by Council for the 2022-23 year is \$10,000 and 10.00%.


Nature or type	Var. \$	Var. %	Explanation of positive variances		Explanation of negative variances	
			Timing	Permanent	Timing	Permanent
	\$	%				
<b>Revenue from operating activities</b>						
Operating grants, subsidies and contributions	(672,999)	(44.29%) ▼				Reallocation of LRCI Grant from Operating to Non-Operating. (\$439k received, and 135k expected). WSFN final expenditure was less than budgeted which is reflected in the income. FAGs received slightly under anticipated budget.
Interest earnings	29,909	27.82% ▲	Budget Review worked off 3.20 & 2.62%. Interest locked in at 3.20 & 3.45% until 30 June 2023.			
Profit on disposal of assets	36,922	40.75% ▲		Plant disposals resulted in a book "profit" over the anticipated amount estimated at Budget time. Some plant disposals still to take place. Refer to Note 6 for further details.		
<b>Expenditure from operating activities</b>						
Materials and contracts	(285,526)	(57.78%) ▼	Annual Invoice for Doctor Contribution received in June (75k). \$80k townscaping not expended. Waiting on invoice for Road Revaluations \$25k. Pool & TV/Radio \$18k underspent to date.	WSFN expenditure \$44k under due to higher expenditure in previous years. Grant finalised and acquitted.		External Parts and Repairs \$80k, and Fuels \$35k higher than anticipated. Maintenance undertaken on gravel roads higher than anticipated budget, so allocation of PWOH & POC was allocated to Road Maintenance over Construction.
Utility charges	21,356	10.09% ▲	Rec Ground Utilities \$8.5k, Staff housing \$4.8k and Street Lighting \$6.6k lower than anticipated at this point in the budget.			
Other expenditure	48,988	62.00% ▲	\$16k under expended in Governance. Club Support Fund \$20k framework not created yet. Emergency Services allocation of \$12k not used.			
Loss on disposal of assets	13,000	100.00% ▲		No "book" loss on P55 disposal as anticipated at budget time. P66 disposal yet to occur. Refer to Note 6 for further details.		
<b>Investing activities</b>						
Proceeds from non-operating grants, subsidies and contributions	439,707	57.52% ▲		Reallocation of LRCI Grant from Operating to Non-Operating		
Proceeds from disposal of assets	(180,283)	(40.94%) ▼				Shows annual budget, not YTD. Four plant disposals remain outstanding. Refer to Note 6 for further details.

Payments for property, plant and equipment and infrastructure	682,718	24.68%	▲ Building \$9k (Rec Ground moved to June for carry forward), Roads \$119k, Other Infra \$64k (Admin Building Works) and Plant \$489k behind anticipated budget forecast. As mentioned at the 23/24 Budget workshop, multiple items will be carry forwards to next year.
<b>Financing activities</b>			
Transfer from reserves	(957,221)	(100.00%)	▼ Shows annual budget, not YTD. Reserve movements made at year end.
Transfer to reserves	315,405	83.50%	▲ Shows annual budget, not YTD. Reserve movements made at year end.
<b>Closing funding surplus / (deficit)</b>	<b>(415,329)</b>	<b>29.84%</b>	▼ Shows expected closing surplus(deficit), does not include reserve transfers.



**Monthly Report - List of Accounts Paid  
Submitted to Council 28 June 2023**

The following list of accounts has been paid under delegation, by the Chief Executive Officer, since the previous list of accounts. Municipal vouchers numbered from V600 to V675 and direct bank transactions totalling \$385,962.30 submitted to each member of the Council, on Wednesday the 28 June 2023, have been checked and are fully supported by vouchers and duly certified invoices with checks being carried out as to prices, computations and costing.

  
Lana Foote  
Acting Chief Executive Officer

No.	Payment Date	Supplier Name	Description of Purchase	Payment made by delegated authority
V600	10/05/2023	Shire of Koorda	Employee Wages	\$ 37,276.02
V601	10/05/2023	Beam Superannuation	Employee Super Payment	\$ 15,698.97
V602	12/05/2023	Agri Stock	Retic Supplies	\$ 128.96
V603	12/05/2023	Brooks Hire Service Pty Ltd	160 Hours Multi Roller Hire	\$ 7,032.96
V604	12/05/2023	Forpark Australia	Replacement Strap String Seat	\$ 100.10
V605	12/05/2023	Koorda Community CRC	ATM Rebate Feb - April	\$ 42.00
V606	12/05/2023	KTY Electrical Services	Memorial Hall - Replace Faulty RCD	\$ 527.45
V607	12/05/2023	Linfox Armaguard Pty Ltd	ATM Top Up 12/04/2023	\$ 242.79
V608	12/05/2023	Moore Australia (WA) Pty Ltd	Final Billing - Review Risk Management, Internal Controls & Legislative Compliance	\$ 4,950.00
V609	18/05/2023	Agri-Stock	Dutch Hoe	\$ 29.15
V610	18/05/2023	Avon Waste	April Refuse and Recycling Collection	\$ 4,982.77
V611	18/05/2023	Baileys Fertilisers	50 Bags Baileys Brilliance Fertiliser	\$ 1,815.00
V612	18/05/2023	CW Plumbing & Contracting	L203 Sink, L77A Taps, L13 U2 Replace Pipe	\$ 639.22
V613	18/05/2023	Dave's Tree Services	Trimming Street Trees Under Powerlines	\$ 12,144.00
V614	18/05/2023	Koorda MM & Garden Centre	Main Street Various Plants	\$ 600.26
V615	18/05/2023	Koorda Sports Club	Council Reception	\$ 213.00
V616	18/05/2023	Koorda Supermarket	Tea Coffee Talon Milk Water Council Reception	\$ 129.33
V617	18/05/2023	KTY Electrical Services	Replace Oval Light L203 Repair Reception & Power, L267 Replace Exhaust Fan	\$ 1,083.76
V618	18/05/2023	Landgate	Consolidated Mining Tenement Roll	\$ 286.50
V619	18/05/2023	RDA Wheatbelt Inc	Subscription Wheatbelt and Midwest Gascoyne GrantGuru	\$ 550.00
V620	18/05/2023	Synergy	Yalambee \$582.82, Gym \$752.14	\$ 1,334.96
V621	18/05/2023	Team Global Express	Freight - Parts, Drive-In Library	\$ 287.51
V622	18/05/2023	WA Contract Ranger Service	Ranger Services Including Travel 4/5 & 8/5/23	\$ 627.00
V623	23/05/2023	Synergy	Bulk Accounts	\$ 6,684.82
V624	24/05/2023	Shire of Koorda	Employee Wages	\$ 38,528.89
V625	24/05/2023	Beam Superannuation	Employee Super Payment	\$ 7,931.65
<b>V626</b>	<b>26/05/2023</b>	<b>Bankwest Credit Card</b>	<b>See Summary Below</b>	<b>\$ 2,780.68</b>
V627	29/05/2023	Avon Valley Toyota	P05 42,000km Service	\$ 679.68
V628	29/05/2023	Bitutek PTY LTD	Supply & Lay Asphalt Yalambee Units	\$ 38,595.15
V629	29/05/2023	CEA	P63 Various Parts	\$ 2,823.56
V630	29/05/2023	Central Wheatbelt Plumbing	Replace Hot Water System L164C Lodge Street	\$ 2,855.38
V631	29/05/2023	Central Carpet Cleaning	Carpet Cleaning L274 Lodge & L550 UA Smith	\$ 345.00
V632	29/05/2023	Harcher Wheatbelt	Bulk Cleaning Supplies	\$ 1,452.50
V633	29/05/2023	ITR	Grader Blades	\$ 2,178.00
V634	29/05/2023	Koorda Hotel	Council Reception	\$ 227.98
V635	29/05/2023	KTY Electrical Services	L164 Wiring for Heat Pump	\$ 198.00
V636	29/05/2023	Landgate	Rural UV General Revaluation 2022/2023	\$ 4,863.65
			<b>Subtotal</b>	<b>\$ 200,866.65</b>



Description	Notes	Account	Fee & Charge 2022/23	Fee & Charge 2023/24	GST	Statutory or Council Fee	Act or Regulation
<b>Housing</b>							
Staff Housing; Employee Rent	Per Week	3090120	\$ 65.00	\$ 70.00	N	C	LG ACT 1995 Section 6.16
Lot 95 Greenham (3)	Per Week	3090220	\$ 140.00	\$ 150.00	N	C	LG ACT 1995 Section 6.16
Lot 98 Greenham	Per Week	3090220	\$ 150.00	\$ 160.00	N	C	LG ACT 1995 Section 6.16
Lot 550 DEF Smith (3)	Per Week	3090220	\$ 110.00	\$ 120.00	N	C	LG ACT 1995 Section 6.16
Lot 164C Lodge (GROH Lease)	Per Week	3090221	Negotiated	Negotiated	N	C	LG ACT 1995 Section 6.16
Lot 204 Pearman (GROH Lease)	Per Week	3090221	Negotiated	Negotiated	N	C	LG ACT 1995 Section 6.16
Community Housing; Lot 13 Smith (3)	Per Week	3090320	\$ 130.00	\$ 135.00	N	C	LG ACT 1995 Section 6.16
Community Housing; Lot 291 Smith (3)	Per Week	3090320	\$ 110.00	\$ 120.00	N	C	LG ACT 1995 Section 6.16
Community Housing; 550 ABC Smith (3)	Per Week	3090320	\$ 110.00	\$ 120.00	N	C	LG ACT 1995 Section 6.16
Housing Bond; Four Weeks Rent and \$150 Pet Bond if Applicable					N	C	LG ACT 1995 Section 6.16
<b>Short Term Accommodation - Yalabee</b>							
1 Bedroom Unit	Per Night	3130222	\$ 110.00	\$ 120.00	Y	C	LG ACT 1995 Section 6.16
1 Bedroom Unit	Per Week	3130222	\$ 385.00	\$ 400.00	Y	C	LG ACT 1995 Section 6.16
2 Bedroom Unit	Per Night	3130222	\$ 135.00	\$ 145.00	Y	C	LG ACT 1995 Section 6.16
2 Bedroom Unit	Per Week	3130222	\$ 475.00	\$ 500.00	Y	C	LG ACT 1995 Section 6.16
Cleaning Fee - If Required (Includes Staff Time & Materials)	Cost Recovery	3130222		Cost Recovery	Y	C	LG ACT 1995 Section 6.16
<b>Short Term Accommodation - Caravan Park (PAY 2, STAY 3)</b>							
Powered Site	Per Night	3130221	\$ 25.00	\$ 30.00	Y	C	LG ACT 1995 Section 6.16
Powered Site	Per Week	3130221	\$ 110.00	\$ 140.00	Y	C	LG ACT 1995 Section 6.16
Non-Powered/Unoccupied Van	Per Night	3130221	\$ 10.00	\$ 15.00	Y	C	LG ACT 1995 Section 6.16
Non-Powered/Unoccupied Van	Per Week	3130221	\$ 45.00	\$ 50.00	Y	C	LG ACT 1995 Section 6.16
Tent Site	Per Night	3130221	\$ 5.00	\$ 5.00	Y	C	LG ACT 1995 Section 6.16
Tent Site	Per Week	3130221	\$ 20.00	\$ 20.00	Y	C	LG ACT 1995 Section 6.16
Showers; Non Park Resident	Per Use	3130221	\$ 5.00	\$ 5.00	Y	C	LG ACT 1995 Section 6.16
Washing Machine	Per Cycle	3130221	\$ 3.00	\$ 3.00	Y	C	LG ACT 1995 Section 6.16
Clothes Dryer	Per Cycle	3130221	\$ 4.00	\$ 4.00	Y	C	LG ACT 1995 Section 6.16
RV Parking Fee; Not in Caravan Park	Per Night	3130221	\$ 5.00	\$ 5.00	Y	C	LG ACT 1995 Section 6.16

**CHIEF EXECUTIVE OFFICER – DARREN SIMMONS**

REF	DECISION	STATUS	COMMENT	ESTIMATED COMPLETION																								
<p>November 2022 Item 12.1 Resolution 041122</p>	<p><b>That Council;</b></p> <p><b>1. By Absolute Majority, pursuant to Section 5.8 of the Local Government Act 1995, establish a Policy Committee and pursuant to Section 5.10, appoints Cr JM Stratford, Cr GL Boyne and Cr LC Smith as members and Cr NJ Chandler deputy member; and</b></p> <p><b>2. Adopts the 5-stage Policy Review Process and Schedule as outline below:</b></p> <table border="1" data-bbox="306 571 1247 911"> <thead> <tr> <th>Stage</th> <th>Month</th> <th>Task/Objective</th> <th>Responsibility</th> </tr> </thead> <tbody> <tr> <td>1</td> <td>December 2022/January 2023</td> <td>Policy-by-policy assessment (Amend/Repeal/Replace/New)</td> <td>Staff</td> </tr> <tr> <td>2</td> <td>February 2023</td> <td>Staff repeal and amend/replace/new prioritisation recommendations considered</td> <td>Policy Committee</td> </tr> <tr> <td>3</td> <td>March 2023</td> <td>Policy Committee repeal and amend/replace/new prioritisation recommendations considered</td> <td>Council</td> </tr> <tr> <td>4</td> <td>June 2023</td> <td>Amend/replace/new polices developed/considered for recommendation to Council</td> <td>Staff/Policy Committee</td> </tr> <tr> <td>5</td> <td>July 2023</td> <td>Amend/replace/new polices considered</td> <td>Council</td> </tr> </tbody> </table>	Stage	Month	Task/Objective	Responsibility	1	December 2022/January 2023	Policy-by-policy assessment (Amend/Repeal/Replace/New)	Staff	2	February 2023	Staff repeal and amend/replace/new prioritisation recommendations considered	Policy Committee	3	March 2023	Policy Committee repeal and amend/replace/new prioritisation recommendations considered	Council	4	June 2023	Amend/replace/new polices developed/considered for recommendation to Council	Staff/Policy Committee	5	July 2023	Amend/replace/new polices considered	Council	<p>In Progress</p>	<p>Initial staff assessment emailed to Councillors 18/11/2022 for review/comment.</p> <p>DCEO emailed policy review methodology and draft policies on 03/04/2023 and 11/04/2023.</p> <p>Policy Review Committee workshop held on 19/04/2023 where several draft policies were reviewed.</p> <p>Following presentation and assessment of Financial Management Review (FMR) report, a further workshop/ meeting to be arranged to complete review of remaining draft policies.</p> <p>Policy Review Committee workshop held 12/06/2023 where additional draft policies were reviewed. To be tabled for Council consideration at June 2023 Council meeting.</p> <p>To continue with Policy Review as per recommended updates identified in FMR.</p>	<p>July 2023</p>
Stage	Month	Task/Objective	Responsibility																									
1	December 2022/January 2023	Policy-by-policy assessment (Amend/Repeal/Replace/New)	Staff																									
2	February 2023	Staff repeal and amend/replace/new prioritisation recommendations considered	Policy Committee																									
3	March 2023	Policy Committee repeal and amend/replace/new prioritisation recommendations considered	Council																									
4	June 2023	Amend/replace/new polices developed/considered for recommendation to Council	Staff/Policy Committee																									
5	July 2023	Amend/replace/new polices considered	Council																									



## Council Resolutions Register Outcomes

Item 9.1 Resolution 050523	<p><b>That Council:</b></p> <ol style="list-style-type: none"> <li>1. Receives Moore's Review of Financial Management, Risk Management, Legislative Compliance and Internal Controls report, dated April 2023 (Attachment A);</li> <li>2. Directs the CEO to provide a report, on a quarterly basis, to the Audit Committee to enable the Committee to monitor the Shire's progress in addressing the recommendations, pursuant to Regulation 16 (d) of the Local Government (Audit) Regulations 1996; and</li> <li>3. Directs the CEO at the first quarterly review to provide proposed actions, including expected completion dates, to the recommendations identified in the report.</li> </ol>	In Progress	DCEO has provided a first draft report for any completed items and any future proposed actions. To be reviewed by CEO for final draft and expected completion dates.	
Item 12.2 Resolution 090523	<p><b>That Council;</b></p> <ol style="list-style-type: none"> <li>1. Notes the staff alterations made to the Shire of Koorda Delegations Register 2023, since presentation at the April Council Meeting.</li> <li>2. That, by Absolute Majority, in accordance with sections 5.42, 5.44 and 5.46 of the Local Government Act 1995, as presented in Attachment B, adopts the Shire of Koorda Delegations Register 2023, subject to subsequent review of the Delegations Register Reporting Requirements at the November 2023 Council Meeting and inclusion of appropriate version control.</li> </ol>	Completed	Delegations Register Adopted at May 2023 Council meeting as per RES 090523. Uploaded onto Website.	May 2023
		In Progress	To review reporting requirements at November 2023 Council meeting.	November 2023
Item 13.1 Resolution 100523	<p><b>That Council:</b></p> <ol style="list-style-type: none"> <li>1. Agrees to continue leasing Lots 402 and 32 Price, Street, Koorda to Co-operative Bulk Handling Limited (CBH) for emergency grain storage from 1 May 2023 to 30 April 2024 with an option for CBH to extend the lease term for an additional 12-months from 1 May 2024; and</li> <li>2. Authorises the Chief Executive Officer to sign the 'Agreement to Lease' document for and on behalf of the Shire of Koorda.</li> </ol>	In Progress	DCEO was on leave to act as a witness to the lease. To complete and send off once CEO signs & DCEO witnesses.	June 2023
Item 16.1 Resolution 120523	<p><b>That Council, in accordance with the Shire of Koorda Standards for CEO Recruitment, Performance and Termination and clause 4.3 of the CEO's employment contract, resolves to accept the 'in-person' proposal from Dr Shayne Silcox of Strategic Leadership Consulting Group to facilitate the 2023 CEO performance review.</b></p>	Completed	Purchase order 719 issued to Strategic Leadership Consulting on 29/05/2023.	May 2023

# Administration

## Annual Council Christmas Function

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### Objective

To provide direction, clarity and consistency on the arrangement for the Shire of Koorda's ("the Shire's") annual Christmas function.

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### Policy

Council will provide a Christmas Function for Councillors, Staff and their partners/spouses and children.

The invitation list is to include:

- Current Councillors, partner/spouse and children;
- Former Councillors, partner/spouse and children, who retired at the last elections;
- All current employees, partner/spouse and children;
- Former employees, partner/spouse and children, who have left within the past 12 months;
- Any other person at the discretion of the President.

When considering the provision of refreshments at the function, a restricted bar tab will be provided and determined at the discretion of the CEO who will take into consideration available funds and the event.

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### Related Documents (Legislation/Local Law/Policy/Procedure/Delegation)

Local Government Act 1995

Local Government (Rules of Conduct) Regulations 2007

Code of Conduct (Elected Member & Employee)

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### Review History

Date	Council Resolution	Description of review/amendment
28/06/2023		Update policy wording.
<b>Former Policy No: C15 Annual Christmas Employee Functions</b>		
19/07/2000		Adoption of Policy

# **COUNCIL AND COMMUNITY**

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## **ANNUAL CHRISTMAS EMPLOYEE FUNCTIONS**

**Policy No: C15 Adopted 19.7.00**

**File Reference: ADM 0323**

### **POLICY STATEMENT**

The following people will be invited to attend:

- All current employees, Councillors and their dependents;
- Former Councillors and their dependents; who retired at the last elections.
- Former employees and their dependents, who have left within the past 12 months;
- Any other person at the discretion of the President.

### **PURPOSE**

To state the annual Christmas function invitation list.

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# Administration

## Bereavement Policy (including flying of Koorda Flag at half-mast)

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### Objective

To recognise deceased persons who have been closely associated with the Shire of Koorda (“**the Shire**”) and its history, by acknowledging the contribution they have made to the district as a mark of respect on behalf of the community of the Shire of Koorda.

---

### Policy

#### **Bereavement recognition**

Where notified, the following may be provided:

Death Notice in "West Australian" along with an “Announcement by the President” in the following Council Meeting Minutes for:

- Current elected members;
- Past elected members;
- Current employees; and
- Identities of the Shire as agreed by the Shire President and the Chief Executive Officer.

#### **An example notice:**

*The Shire of Koorda extend their condolences to the <SURNAME> family on the passing of <FIRST NAME>. <FIRST NAME> was a past/current Shire Councillor/employee (years of service) and Shire President (years of service).*

#### **Flying of Shire Flag**

Where notified, the Shire flag shall be flown at half mast, on the day of the funeral\*, as a mark of respect for present or past residents of the Shire of Koorda.

*\*note: day of funeral is more easily ascertained than day of death.*

---

### Related Documents (Legislation/Local Law/Policy/Procedure/Delegation)

Nil.

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### Review History

Date	Council Resolution	Description of review/amendment
28/06/2023		Update policy and add bereavement guide.
<b>Former Policy No: C13 Flag - Flown for Funerals</b>		
19/07/2000		Adoption of Policy (C13)



## **COUNCIL AND COMMUNITY**

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### **FLAG – FLOWN FOR FUNERALS**

**Policy No:** C13 **Adopted 19.7.00**

**File Reference:** ADM 0323

#### **POLICY STATEMENT**

Amend to indicate that the Shire flag be flown at half mast at the Shire Office as a mark of respect for present or past residents of the Shire of Koorda, on the day of the funeral.

*Note: Day of funeral is more easily ascertained than day of death.*

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# Administration

## Chief Executive Officer Performance Review Policy

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### **Objective**

To ensure compliance with the Local Government (Administration) Amendment Regulations 2021 (**CEO Standard Regulations**) which requires the Shire of Koorda (“**the Shire**”) and the Chief Executive Officer (**CEO**) to agree and set out in a written document the process by which the CEO’s performance will be reviewed.

This Policy is to set out the CEO performance review process in a consistent, transparent manner and to provide overall guidance for process.

This Policy is applicable to the review of the CEO’s performance in accordance with section 5.38 of the Local Government Act 1995 and the CEO Standards.

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### **Policy**

#### **Performance Review Panel**

The Council authorises the Shire’s CEO Performance Review Committee to have oversight of the Annual CEO Performance Review Process. The CEO Review Committee will consist of the President, Deputy President and an elected Member authorised by Council.

The primary functions of the CEO Performance Review Committee are:

- Review the results of the performance review process and remuneration review and provide a recommendation to Council on these; and,
- Discuss possible KPIs and measurements with the consultant and the CEO for reporting to Council.

#### **Appointment of Consultant**

The consultant shall be a suitably qualified and experienced consultant to assist with the conduct of the performance review process in an independent manner.

To ensure the review process is commenced in a timely manner, the decision to appoint a consultant should be no later than May/June to allow the review to be finalised by July/August of the same year.

The appointed consultant shall, as a minimum, undertake the following as part of the performance review process:

- Prepare and distribute an electronic questionnaire to all current Elected Members to provide feedback on the extent to which the CEO is considered to have achieved the KPI’s and measurements that applied during the review period;
- Prepare and distribute an electronic questionnaire to the CEO to provide a self-assessment on the extent to which they have achieved the KPI’s and measurements that applied during the review period;
- Ensure the CEO’s response of their perceptions of performance (an acquittal) shall be provided along with the electronic survey instrument to Elected Members.
- Conduct an interview (preferably in-person) with each elected member to determine, but not limited to, the following:
  - the CEO’s responsibilities during the review period;
  - the extent to which the CEO has modelled the Shire’s values and Code of Conduct during the review period;
  - the organisation’s performance during the review period; and
  - suggested KPI’s for the upcoming review period.
- Conduct a review of the CEO’s remuneration package in line with the Salaries and Allowance Tribunal (SAT) determinations;

- Conduct a review of the CEO’s remuneration package in line with the Salaries and Allowance Tribunal (SAT) determinations;
- Convene and attend at least one meeting between the consultant and the CEO to discuss the feedback received;
- Convene and attend at least one meeting between the consultant and the President to discuss the feedback received;
- Provide to the President and the CEO an Annual Performance Review report incorporating the results of the review exercise; and
- Conduct a review of the CEO’s KPI’s and recommend draft KPI’s and measurements for the upcoming review period in discussion with the CEO and the President.

**Administrative support**

Administrative support for the process will be provided as necessary.

**Performance Review Outcomes**

Within one month of the conclusion of the performance review process, the performance review findings and recommendations will be presented as a confidential report (in accordance with section 5.23 of the Act) for endorsement by Council.

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**Related Documents (Legislation/Local Law/Policy/Procedure/Delegation)**

Local Government Act 1995, section 5.38

Local Government (Administration) Amendment Regulations 2021 (CEO Standard Regulations)

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**Review History**

<b>Date</b>	<b>Council Resolution</b>	<b>Description of review/amendment</b>
28/06/2023		Re-branded with major policy review and update.
30/08/2022	RES: 110822	Re-written as per CEO Standard Regulations.
<b>Former Policy No: A21 CEO Performance Review</b>		
19/07/2000		Adoption of policy (C21)
15/06/2011	RES: 110611	Amended

## **ADMINISTRATIVE MATTERS**

### **CEO PERFORMANCE REVIEW**

**Policy No:** A21 **Adopted 19.7.00**  
*Amended :15 June 2011 - 110611*

**File Reference:** ADM 0323

#### **POLICY STATEMENT**

1. That the performance of the CEO be reviewed in July each year using the performance criteria determined by Council and the CEO and subject to agreement between the parties on an annual basis.
2. That part of the ordinary Council meeting prior to a review in June be closed to enable all councillors to have input into the review of the CEO's performance.
3. That the performance review be carried out by the Management Review Committee in a closed meeting with the CEO or as agreed by Council and CEO
4. That a review of delegations from Council to the CEO be part of the review process.
5. That a record of proceedings be prepared by the CEO and when confirmed by the Management Review Committee, be provided to all Council members on a confidential basis.

#### **PURPOSE**

To establish an effective process for the conduct of the CEO performance review.

#### **COMPLEMENTARY LEGISLATION / GUIDANCE NOTES**

Local Government Act –

S.5.38 : The performance of each employee who is employed for a term of more than one year, including the CEO and each senior employee, is to be reviewed at least once in relation to every year of the employment.

S.5.46 (2) : At least once every financial year, delegations made under this Division are to be reviewed by the delegator.

Note (1) A variation of this policy is to have each Council member complete the Performance Criteria form in the Appendix and provide all forms to a consultant to collate the group assessment. The group assessment can then be discussed with the CEO during the Performance Review and this together with Councillor comments arising during the closed council meeting can be used to identify both strengths and weaknesses in the CEO's performance. The CEO may also complete a form by way of self-assessment.

(2) There is a useful article titled "Evaluating The Performance of the Chief Executive Officer" in the Councillor's Manual.

*Note: May need to amend due to Act amendments*

# Administration

## Elected Member, Chief Executive Officer and Employee Attendance at Events Policy

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### Objective

The Shire of Koorda (the “**Shire**”) is required under the Local Government Act 1995 to approve and report on attendance at events for Elected Members and the Chief Executive Officer. The purpose of this policy is to outline the process associated with attendance at an event.

This policy addresses attendance at any events, including concerts, functions or sporting events, whether free of charge, part of a sponsorship agreement, or paid by the Shire. The purpose of the policy is to provide transparency about the attendance at events of Council members, the Chief Executive Officer (CEO) and other employees.

Attendance at an event in accordance with this policy will exclude the gift holder from the requirement to disclose a potential conflict of interest if the ticket is above \$300 (inclusive of GST) and the donor has a matter before Council. Any gift received that is \$300 or less (either one gift or cumulative over 12 months from the same donor) also does not need to be disclosed as an interest.

Notewell:

1. If an Elected Member receives a ticket in their name, in their role as an Elected Member, of \$300 or greater value, they are still required to comply with normal gift disclosure requirements.
2. In their role with the Shire, the Chief Executive Officer and all other employees are prohibited from accepting any gift greater than \$300, unless from the Shire as the organiser of the event or as a gift pursuant to Section 5.50 of the Local Government Act 1995 (gratuity on termination).
3. If the Chief Executive Officer or an employee receives a ticket in their name, in their role as an employee, of between \$50 and \$300, they are required to comply with normal gift disclosure requirements and the Code of Conduct re notifiable and prohibited gifts.

### Definitions

Elected Members includes the Shire President and all Elected Members.

In accordance with Section 5.90A of the Local Government Act 1995 an event is defined as a:

- Concert
- Conference
- Function
- Sporting event
- Occasions prescribed by the Local Government (Administration) Regulations 1996.

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### Policy

This policy applies to Elected Members, the Chief Executive Officer and all employees of the Shire in their capacity as an Elected Member or employee of the Shire of Koorda.

Elected Members, the Chief Executive Officer and employees occasionally receive tickets or invitations to attend events to represent the Shire to fulfil their leadership roles in the community. The event may be a paid event, or a ticket/invitation may be gifted in kind, or indeed it may be to a free / open invitation event for the community in general.

### Pre-Approved Events

In order to meet the policy requirements tickets and invitations to events must be received by the Shire (as opposed to in the name of a specific person in their role with the Shire).

Notewell: Individual tickets and associated hospitality with a dollar value above \$500 (inclusive of GST and if relevant, travel) provided to the Shire are to be referred to Council for determination.

The Shire approves attendance at the following events by Elected Members, the Chief Executive Officer and employees of the Shire:

- Advocacy lobbying or Ministerial briefings (Elected Members, the Chief Executive Officer and Executive Management only);
- Meetings of clubs or organisations within the Shire of Koorda;
- Any free event held within the Shire of Koorda;
- Australian or West Australian Local Government events;
- Events hosted by Clubs or Not for Profit Organisations within the Shire of Koorda to which the Shire President, Elected Member, Chief Executive Officer or employee has been officially invited;
- Shire hosted ceremonies and functions;
- Shire hosted events with employees;
- Shire run tournaments or events;
- Shire sponsored functions or events;
- Community art exhibitions;
- Cultural events/festivals;
- Events run by a Local, State or Federal Government;
- Events run by schools or child care services within the Shire;
- Major professional bodies associated with local government at a local, state and federal level;
- Opening or launch of an event or facility within the Shire;
- Recognition of Service event's
- RSL events;
- Arts and Cultural events within the Shire; and
- Where Shire President, Elected Member or Chief Executive Officer representation has been formally requested.

All Elected Members, the Chief Executive Officer and employees are entitled to attend a pre-approved event.

If there is a fee associated with a pre-approved event, the fee, including the attendance of a partner, will be paid for by the Shire out of the Shire's budget by way of reimbursement, unless the event is a conference which is dealt with under clause 5 of this policy.

In addition to the above pre-approved events, Elected Members may also attend a paid event held within the Shire of Koorda, with the funds to be paid for out of Members Receptions budgets by way of reimbursement, other than the following events:

- Party political events and fundraisers.
- Social events.
- Entertainment events with no link to the Shire of Koorda.
- Events that primarily benefit Elected Members in a personal capacity or in a role other than their role at the Shire of Koorda.

If there are more Elected Members than tickets provided, then the Shire President shall allocate the tickets.

### **Approval Process**

Where an invitation is received to an event that is not pre-approved, it may be submitted for approval prior to the event for approval as follows:

- Events for the Shire President may be approved by the Deputy Shire President;
- Events for Councillors may be approved by the Shire President;



- Events for the Chief Executive Officer may be approved by the Shire President; and
- Events for employees may be approved by the Chief Executive Officer.

Considerations for approval of the event include:

- Any justification provided by the applicant when the event is submitted for approval.
- The benefit to the Shire of the person attending.
- Alignment to the Shire's Strategic Objectives.
- The number of Shire representatives already approved to attend.

Where an Elected Member has an event approved through this process and there is a fee associated with the event, then the cost of the event, including for attendance of a partner, is to be paid out of the Members Receptions budgets.

Where the Chief Executive Officer or employee has an event approved through this process and there is a fee associated with the event, then the cost of the event is to be paid for out of the Shire's relevant budget line.

### **Non-Approved Events**

Any event that is not pre-approved, is not submitted through an approval process, or is received personally is considered a non-approved event.

- If the event is a free event to the public then no action is required.
- If the event is ticketed and the Elected Member or Chief Executive Officer pays the full ticketed price and does not seek reimbursement then no action is required.
- If the event is ticketed and the Elected Member or Chief Executive Officer pays a discounted rate, or is provided with a free ticket(s), then the recipient must disclose receipt of the tickets (and any other associated hospitality) within 10 days.

### **Conference Registration, Bookings, Payment and Expenses**

Shall be dealt with in accordance with Council Policy "Continuing Professional Development - Elected Members."

### **Dispute Resolution**

All disputes regarding the approval of attendance at events are to be resolved by the Shire President in relation to Elected Members and the Chief Executive Officer and the Chief Executive Officer in relation to other employees.

### **Procedures**

Organisations that desire attendance at an event by a particular person(s), such as the President, Deputy President, Elected Member, Chief Executive Officer or particular officer of the Shire, should clearly indicate that on the offer, together what is expected of that individual, should they be available, and whether the ticket is transferable to another Shire representative.

Tickets that are provided to the Shire without denotation as to who they are for, will be provided to the Chief Executive Officer and attendance determined by the Chief Executive Officer in liaison with the Shire President, based on relative benefit to the organisation in attending the event, the overall cost in attending the event in inclusive of travel or accommodation, availability of representatives, and the expected role of the relevant Elected Member or employee.

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### **Related Documents (Legislation/Local Law/Policy/Procedure/Delegation)**

#### **Related Documentation**

A Declaration of Gifts/Contributions to Travel Form is required to be completed and lodged with the Chief Executive Officer if the gift is provided to the Elected Member, Chief Executive Officer or employee in their name due to or as part of their role with the Shire of Koorda.

## Related Legislation/Local Law/Policy/Procedure

Local Government Act 1995 –

Section 5.90A – requirement to prepare and adopt a policy

Local Government (Administration) Regulations 1996 –

r.34B – required code of conduct contents about gifts to employees

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## Review History

Date	Council Resolution	Description of review/amendment
		Minor wording and formatting updates.
<b>Former Policy: A26 - Elected Member, CEO and Employee Attendance at Events</b>		
18/03/2020	RES: 060320	Adoption of Policy (A26)





# A - Administrative Matters

## A.26 Elected Member, Chief Executive Officer and Employee Attendance at Events Policy

<b>Policy Owner</b>	Chief Executive Officer
<b>Distribution</b>	???
<b>Responsible Officer</b>	???
<b>Date Adopted</b>	DD MM YYYY (Item NO – YYYY)
<b>File Reference</b>	ADM

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### Objective

The Shire of Koorda is required under the Local Government Act 1995 to approve and report on attendance at events for Elected Members and the Chief Executive Officer. The purpose of this policy is to outline the process associated with attendance at an event.

This policy addresses attendance at any events, including concerts, functions or sporting events, whether free of charge, part of a sponsorship agreement, or paid by the local government. The purpose of the policy is to provide transparency about the attendance at events of Council members, the Chief Executive Officer (CEO) and other employees.

Attendance at an event in accordance with this policy will exclude the gift holder from the requirement to disclose a potential conflict of interest if the ticket is above \$300 (inclusive of GST) and the donor has a matter before Council. Any gift received that is \$300 or less (either one gift or cumulative over 12 months from the same donor) also does not need to be disclosed as an interest.

1. Notewell:
2. If an Elected Member receives a ticket in their name, in their role as an Elected Member, of \$300 or greater value, they are still required to comply with normal gift disclosure requirements.
3. In their role with the Shire, the Chief Executive Officer and all other employees are prohibited from accepting any gift greater than \$300, unless from the Shire as the organiser of the event or as a gift pursuant to Section 5.50 of the Local Government Act 1995 (gratuity on termination).
4. If the Chief Executive Officer or an employee receives a ticket in their name, in their role as an employee, of between \$50 and \$300, they are required to comply with normal gift disclosure requirements and the Code of Conduct re notifiable and prohibited gifts.

## Definitions

Elected Members includes the Shire President and all Councillors.

In accordance with Section 5.90A of the Local Government Act 1995 an event is defined as a:

- Concert
  - Conference
  - Function
  - Sporting event
  - Occasions prescribed by the Local Government (Administration) Regulations 1996.
- 

## **Policy**

This policy applies to Elected Members, the Chief Executive Officer and all employees of the Shire of Koorda (the Shire) in their capacity as an Elected Member or employee of the Shire.

Elected Members, the Chief Executive Officer and employees occasionally receive tickets or invitations to attend events to represent the Shire to fulfil their leadership roles in the community. The event may be a paid event, or a ticket/invitation may be gifted in kind, or indeed it may be to a free / open invitation event for the community in general.

### 1. Pre-Approved Events

In order to meet the policy requirements tickets and invitations to events must be received by the Shire (as opposed to in the name of a specific person in their role with the Shire).

Notewell: Individual tickets and associated hospitality with a dollar value above \$500 (inclusive of GST and if relevant, travel) provided to the Shire are to be referred to Council for determination.

The Shire approves attendance at the following events by Elected Members, the Chief Executive Officer and employees of the Shire:

- (a) Advocacy lobbying or Ministerial briefings (Elected Members, the Chief Executive Officer and Executive Management only);
- (b) Meetings of clubs or organisations within the Shire of Koorda;
- (c) Any free event held within the Shire of Koorda;
- (d) Australian or West Australian Local Government events;
- (e) Events hosted by Clubs or Not for Profit Organisations within the Shire of Koorda to which the Shire President, Elected Member, Chief Executive Officer or employee has been officially invited;
- (f) Shire hosted ceremonies and functions;
- (g) Shire hosted events with employees;
- (h) Shire run tournaments or events;
- (i) Shire sponsored functions or events;
- (j) Community art exhibitions;
- (k) Cultural events/festivals;

- (l) Events run by a Local, State or Federal Government;
- (m) Events run by schools or child care services within the Shire of Koorda;
- (n) Major professional bodies associated with local government at a local, state and federal level;
- (o) Opening or launch of an event or facility within the Shire of Koorda;
- (p) Recognition of Service event's
- (q) RSL events;
- (r) Arts and Cultural events within the Shire of Koorda; and
- (s) Where Shire President, Elected Member or Chief Executive Officer representation has been formally requested.

All Elected Members, the Chief Executive Officer and employees are entitled to attend a pre-approved event.

If there is a fee associated with a pre-approved event, the fee, including the attendance of a partner, will be paid for by the Shire out of the Shire's budget by way of reimbursement, unless the event is a conference which is dealt with under clause 5 of this policy.

In addition to the above pre-approved events, Elected Members may also attend a paid event held within the Shire of Koorda, with the funds to be paid for out of Members Receptions budgets by way of reimbursement,

other than the following events:

- Party political events and fundraisers.
- Social events.
- Entertainment events with no link to the Shire of Koorda.
- Events that primarily benefit Elected Members in a personal capacity or in a role other than their role at the Shire of Koorda.

If there are more Elected Members than tickets provided, then the Shire President shall allocate the tickets.

## 2. Approval Process

Where an invitation is received to an event that is not pre-approved, it may be submitted for approval prior to the event for approval as follows:

- Events for the Shire President may be approved by the Deputy Shire President;
- Events for Councillors may be approved by the Shire President;
- Events for the Chief Executive Officer may be approved by the Shire President; and
- Events for employees may be approved by the Chief Executive Officer.

Considerations for approval of the event include:

- Any justification provided by the applicant when the event is submitted for approval.
- The benefit to the Shire of the person attending.
- Alignment to the Shire's Strategic Objectives.
- The number of Shire representatives already approved to attend.

Where an Elected Member has an event approved through this process and there is a fee associated with the event, then the cost of the event, including for attendance of a partner, is to be paid out of the Members Receptions budgets.

Where the Chief Executive Officer or employee has an event approved through this process and there is a fee associated with the event, then the cost of the event is to be paid for out of the Shire's relevant budget line.

### 3. Non-Approved Events

Any event that is not pre-approved, is not submitted through an approval process, or is received personally is considered a non-approved event.

- If the event is a free event to the public then no action is required.
- If the event is ticketed and the Elected Member or Chief Executive Officer pays the full ticketed price and does not seek reimbursement then no action is required.
- If the event is ticketed and the Elected Member or Chief Executive Officer pays a discounted rate, or is provided with a free ticket(s), then the recipient must disclose receipt of the tickets (and any other associated hospitality) within 10 days.

### 4. Conference Registration, Bookings, Payment and Expenses

Shal be dealt with in avoidance with Council Policies:

- 1.8 Elected Members – Conference, Training, Travel and out of pocket Expenses
- 8.13 Training, Study and Education

### 5. Dispute Resolution

All disputes regarding the approval of attendance at events are to be resolved by the Shire President in relation to Elected Members and the Chief Executive Officer and the Chief Executive Officer in relation to other employees.

### **Procedures**

5. Organisations that desire attendance at an event by a particular person(s), such as the President, Deputy President, Elected Member, Chief Executive Officer or particular officer of the Shire, should clearly indicate that on the offer, together what is expected of that individual, should they be available, and whether the ticket is transferable to another Shire representative.

6. Tickets that are provided to the Shire without denotation as to who they are for, will be provided to the Chief Executive Officer and attendance determined by the Chief Executive Officer in liaison with the Shire President, based on relative benefit to the organisation in attending the event, the overall cost in attending the event in inclusive of travel or accommodation, availability of representatives, and the expected role of the relevant Elected Member or employee.

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## **Roles and Responsibilities**

Chief Executive Officer

## **Related Documentation**

A Declaration of Gifts/Contributions to Travel Form is required to be completed and lodged with the Chief Executive Officer if the gift is provided to the Elected Member, Chief Executive Officer or employee in their name due to or as part of their role with the Shire of Koorda.

## **Related Legislation/Local Law/Policy/Procedure**

Local Government Act 1995 –

- Section 5.90A – requirement to prepare and adopt a policy

Local Government (Administration) Regulations 1996 –

- r.34B – required code of conduct contents about gifts to employees

## **Related Delegation**

Nil.

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## **Review History**

# Administration

## Freeman of the Shire of Koorda – Guidelines for Appointments

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### Objective

The objective of this policy is to establish the circumstances under which the Shire of Koorda (“**the Shire**”) may bestow the title of “Honorary Freeman of the Shire of Koorda” upon individuals who have made an outstanding and exceptional contribution to the community and to ensure the status of the honour should be protected over time.

This Policy sets out the method by which Council may assess and grant the honour of Freeman of the Municipality in recognition of a person’s contribution to the community of Koorda. This policy establishes how the nomination of a candidate is to be made, the eligibility and selection criteria against which nominations are to be considered.

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### Policy

From time-to-time members of the Koorda community may demonstrate outstanding commitment and contribution to the Shire or community and it is recognised that this contribution should be acknowledged. The Council will do this by, in special circumstances that meet the criteria of this policy, awarding to an individual the title of “Honorary Freeman of the Shire of Koorda”. The Council will recognise, under appropriate circumstances, individuals who have demonstrated an outstanding contribution. It is the highest honour available to the Shire.

### General

- The conferring of the honour of the Freeman of the Shire of Koorda will occur only in rare and exceptional circumstances to maintain both the significance and prestige of the title.
- The nominee must have given extensive and distinguished service to the Shire or community in a largely voluntary capacity. The nominee must have made an outstanding contribution to the Shire or community such that the nominee’s contribution can be seen to stand above the contributions made by most other people.
- Bestowing the title of Honorary Freeman of the Shire will only be by an absolute majority decision of the Council and in accordance with this policy.

### Eligibility and Selection Criteria

In making a determination, Council is to give consideration of the following selection criteria (%) and eligibility criteria (grouped under each selection criteria). It shall be taken into account when consideration is being given to the conferring of the title of Honorary Freeman of the Shire of Koorda:

- The title shall not be bestowed on anyone who is holding the office of Council Member of the Shire of Koorda.
- Level of commitment to their field of activity. (20 per cent)
  - The nominee must have lived in, worked or served the Shire of Koorda for a significant number of years.
  - The nominee must have identifiable and long-standing connections with the community in the Shire of Koorda.
  - Preference shall be given to a person who performs in a voluntary capacity, but this should not preclude the honour being awarded to a person whose dedication and contribution is significantly above that expected from their occupation.
- Outstanding personal leadership qualities and personal integrity. (20 per cent)
  - The nominee must have demonstrated both outstanding leadership and personal integrity.
- Benefits to the community of the district. (40 per cent)
  - The nominee must have provided long and distinguished service to the local community.

- The nominee's endeavours must have clearly benefited the Shire of Koorda community.
- The contribution to the welfare of the community must involve one or more of the following factors:
  - significant contribution of the nominee's time in serving members of the Community for the improvement of their welfare.
  - the promotion, achievement and/or delivery of community services in which a real personal role and contribution is made.
  - while difficult to define, the contribution must be outstanding in that it can be seen to stand above the contributions of most other persons.
- Special achievements of the nominee. (20 per cent)
- The nominee's exceptional service must be recognised as a matter of public record.

### **Nomination Procedure**

- Formal nominations for the honour may only be made by a Councillor of the Shire of Koorda. A Councillor may make a nomination on his or her own cognisance or act as a sponsor for a wider community desire to honour a person.
- A nomination for the honour may be submitted at any time provided that the nomination is in writing and clearly addresses the nomination criteria.
- Nominations must be made in the strictest confidence without the nominee's knowledge and be sponsored by a Councillor and supported in writing by at least two other Councillors.
- The nominating Councillor must provide supporting information/documentation for inclusion in the report to enable an assessment of the eligibility and selection criteria.
- Nominations are to be submitted to the Chief Executive Officer. The Chief Executive Officer will submit a confidential report to a Council Meeting with details of the nomination. The confidential report for the Council Meeting shall be delivered at least two weeks prior to the meeting date to all Councillors.
- The Officer's report will make comment regarding eligibility of the nominee. The report will also include the Assessment Sheet provided for in Appendix 1. Councillors should complete the Assessment Sheet and return to Officers for collation prior to the publication of the report. The assessment sheets are anonymous.
- A pass mark of at least 85% is required for the nomination to proceed.
- If a Councillor expresses an objection to the nomination, that Councillor must give their reasons for the objection in writing to the Chief Executive Officer, at least one week before the Council Meeting. The Chief Executive Officer shall submit all objections (together with any other relevant information) to the Council Meeting.
- Deliberations on the matter will take place behind closed doors. No record of the nominee's name shall be recorded in the Minutes of the Council Meeting, whether supported or not by the Council.
- In the event Council approves the nomination, it shall be by an Absolute Majority decision.
- Once Council has accepted the nomination, the nominee shall be contacted by the Chief Executive Officer on a confidential basis to determine whether the award will be accepted. Should a nominee decline to accept the award, all Elected Members will be informed, and the matter will lapse.
- On confirmation of the acceptance all Elected Members will be informed and a suitable media statement shall be prepared for release under the President's name; and
- Conferral of the title shall be carried out at a Council meeting or other formal Council function.

### **Entitlements**

Any person declared an Honorary Freeman of the Shire of Koorda:

- May designate themselves as an "Honorary Freeman of the Shire of Koorda";
- Will be invited to all civic events and functions and be acknowledged as a dignitary;
- Will have their photograph and certificate hung in the Shire's Council Chambers;
- Will be provided with a plaque to commemorate receipt of their Award; and

- Will be conferred at an appropriate civic ceremony for the purpose hosted by the Shire of Koorda.

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**Related Documents (Legislation/Local Law/Policy/Procedure/Delegation)**

Nil.

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**Review History**

Date	Council Resolution	Description of review/amendment
28/06/2023		Review and updating of policy. Addition of further nomination criteria, nomination procedure and assessment sheet.
<b>Former Policy No: C11 Freeman of the Shire of Koorda - Guidelines for Appointments</b>		
19/07/2000		Adoption of Policy





## APPENDIX 1 - Freeman of the Shire of Koorda - Assessment Sheet

### Eligibility and Selection Criteria

- The nominee is not currently holding the office of Council Member of the Shire of Koorda.

#### **Level of commitment to their field of activity (20 per cent)**

- The nominee has have lived in, worked and/or served the Shire of Koorda for a significant number of years.
- The nominee has identifiable and long-standing connections with the community in the Shire of Koorda.
- Preference has been given to a person who performs in a voluntary capacity, but has not precluded the honour being awarded to a person whose dedication and contribution is significantly above that expected from their occupation.

#### **Outstanding personal leadership qualities and personal integrity (20 per cent)**

- The nominee has demonstrated both outstanding leadership and personal integrity.

#### **Benefits to the community of the district (40 per cent)**

- The nominee has provided long and distinguished service to the local community.
- The nominee's endeavours have clearly benefited the Shire of Koorda community.
- The contribution to the welfare of the community has involved one or more of the following factors:
  - significant contribution of the nominee's time in serving members of the Community for the improvement of their welfare.
  - the promotion, achievement and/or delivery of community services in which a real personal role and contribution is made.
  - while difficult to define, the contribution has been outstanding in that it can be seen to stand above the contributions of most other persons.

#### **Special achievements of the nominee (20 per cent)**

- The nominee's exceptional service has been recognised as a matter of public record.

### Assessment

Each criterion to be scored out of five (whole numbers only)

<b>Councillor</b>	<b>Level of commitment to their field of activity (20 per cent)</b>	<b>Outstanding personal leadership qualities and personal integrity (20 per cent)</b>	<b>Benefits to the community of the district (40 per cent)</b>	<b>Special achievements of the nominee (20 per cent)</b>
1				
2				
3				
4				
5				
6				
7				

## **COUNCIL AND COMMUNITY**

### **FREEMAN OF THE SHIRE OF KOORDA – GUIDELINES FOR APPOINTMENTS**

**Policy No:** C11 **Adopted 19.7.00**  
**File Reference:** ADM 0323 *Amended: 17 October 2007 59.1.1-2008*

#### **POLICY STATEMENT**

- (i) The award of Freeman is intended to recognise outstanding community service over a significant period of time and in a diversity of activities within the Shire of Koorda.
- (ii) The award would not usually be presented for excellent service in only one activity.
- (iii) The award is intended to recognise service within the local community.
- (iv) The award of Freeman is to be seen as independent of any other award.
- (v) The award is to be recognised as the highest honour that the local community, through its elected Council, can confer on one of its citizens. It therefore follows that the award will be conferred sparingly.
- (vi) It is not seen as desirable that the award of Freeman be presented to a sitting member of Council.

#### **PURPOSE**

To establish guidelines which preserve and enhance the award of Freeman as the highest civic honour.

# Administration

## Internet, Email Usage and Access to IT Systems Policy

### Objective

This policy sets out the conditions for acceptable use of the Shire of Koorda's ("the Shire's") corporate information and communication technology (ICT) facilities. The Shire's ICT facilities include but are not limited to the Shire's network, computer systems, access to the internet and email, corporate systems and corporate hardware.

The purpose of this policy is to:

- regulate and provide guidelines on the proper use of the Shire's ICT facilities for their intended purposes without infringing legal requirements or creating unnecessary business risk, and
- protect against the risk of virus/malware attacks, theft and disclosure of information, and disruption of network systems and services.

### Policy

#### Application

This policy applies to all employees, elected members, contractors, visitors and volunteers (collectively referred to as **authorised users** in this policy) engaged or appointed by the Shire while on the Shire's premises or while engaged in Shire related activities.

#### Definitions

TERM	DEFINITION
<b>Authorised User</b>	Any person that has been granted authorised access to the Shire's ICT facilities.
<b>Email</b>	The Shire provided Microsoft Outlook, Outlook Web Access, or any Shire email system that is synchronised to a PC or mobile device, whether the mobile device is provided by and remains the property of the Shire, or owned by an Authorised User.
<b>ICT</b>	Information, Communications, and Technology. This includes but is not limited to mail, telephones, mobile phones, voice mail, SMS, email, intranet, computers, tablets, printers, multi-functional devices, scanners and other electronic devices owned by the Shire
<b>Malware</b>	An abbreviation of 'malicious software' and means software programs designed to cause damage and other unwanted actions on a computer system. Examples of malware include spyware, worms, viruses and Trojans.
<b>Network Access</b>	Includes connectivity from any device to Shire managed ICT infrastructure connecting both local and remote network servers.
<b>Prohibited Material</b>	Content which: <ul style="list-style-type: none"><li>• could be reasonably regarded as pornographic;</li><li>• contains offensive language, cruelty or violence;</li><li>• is illegal, defamatory or discriminatory;</li><li>• breaches copyright;</li><li>• promotes terrorism or encourages terrorist acts; and</li><li>• contravenes the Shire's values and policies.</li></ul>

## **General use of ICT equipment**

Data created and stored on the corporate systems remain the property of the Shire. Because of the need to protect the Shire's network, the confidentiality of personal (non-work-related) information stored on any network device belonging to the Shire cannot be guaranteed.

For security and network maintenance purposes, authorised members of the Executive or the ICT Department within the Shire may monitor equipment, systems, network traffic and emails at any time, according to the specific nature and requirements of their roles.

The Shire reserves the right to audit networks and systems periodically to ensure system integrity and compliance with this policy.

## **Personal use**

A degree of reasonable personal use of the Shire's ICT assets is allowed on the Shire's equipment/devices/systems.

Employees should exercise conservative judgment regarding the reasonableness of personal use and be guided by the following principles:

- Personal use should be undertaken either before or after contracted hours of work or during authorised breaks.
- Personal use should be limited and brief, avoiding excessive download or transmission. An example of acceptable personal use would be conducting brief transactions through internet banking.
- If there is any uncertainty regarding acceptable personal use then employees should consult their supervisor or line manager for guidance.

## **Security and proprietary information**

All information stored on the Shire's corporate systems should be regarded as confidential and care must be exercised before sharing or distributing any information. If there is any uncertainty regarding the level of confidentiality involved then employees should consult their line manager for guidance.

Passwords and accounts must be kept secure and must not be shared. Authorised Users are responsible for the security of their passwords and accounts. Passwords should be changed in accordance with advice from the ICT team.

All devices connected to the Shire's computing systems/networks, regardless of ownership, must be running approved and up to date virus-scanning software. Employees must be attentive to emails they receive from outside parties and use caution when opening files received from unknown senders. The IT manager must be advised of any warning received by employees to determine if it is appropriate to advise all staff of the warning.

## **Email and communication activities**

All emails sent by Authorised Users should include the 'signature' and disclaimer at the foot of the body of the email, in the format specified by the Shire's style guide or as otherwise advised by the Deputy Chief Executive Officer.

The following activities are not permitted when using a Shire email address:

- except in the course of normal business notifications, sending or forwarding unsolicited electronic messages, including the sending of 'junk mail' or other advertising material, jokes, or chain communication to individuals who did not specifically request such material
- any form of harassment via electronic/ICT means
- use of any of the Shire's network or systems for the purpose of generating unsolicited communications
- sending any confidential Shire information to parties outside Shire or to personal email addresses

- communicating in a manner that could adversely affect the reputation or public image of the Shire, and
- communicating in a manner that could be construed as making statements or representations on behalf of the Shire without the Shire's express permission to do so.

The use of personal email accounts (e.g. Gmail, Hotmail, Yahoo Mail, etc.) is not permitted for the conduct of Shire business.

### **Remote access**

Users with remote access are reminded that when connected to the Shire's network, their devices are an extension of that network and as such are subject to the same rules and regulations that apply to the Shire's corporate equipment and systems.

The device that is connected remotely to the Shire's corporate network must be secure from access by external non-Shire parties and should be under the complete control of the user.

All devices (whether personal or corporate) connected to the Shire's networks via remote access technologies should have up-to-date anti-Malware software.

Where possible, users should avoid using public access terminals to establish a remote connection.

### **Unacceptable use**

Under no circumstances is any user authorised to engage in any activity that is illegal under Local, State, Federal or International law while connected to or utilising Shire ICT systems or resources.

#### **a) Prohibited material**

Employees must not distribute emails, phone messages or documents (electronic or otherwise) under any circumstances that include information or activities which relate to Prohibited Material.

#### **b) System and network activities**

The following activities are not permitted:

- Violations of the rights of any person or company/organisation protected by copyright, trade secret, patent or other intellectual property, or similar laws or regulations, including, but not limited to, the duplication, installation or distribution of 'pirated' or other software products that are not appropriately licensed for use by the Shire or the end user.
- Unauthorised copying or digitising of copyrighted material and the installation of any copyrighted software for which the Shire or the end user does not have an active license.
- Exporting software, technical information, encryption software or technology, in violation of international or regional export control laws.
- Introduction of Malware or code into the network or onto devices connected to the network.
- Revealing your account password to others or allowing use of your account by others.
- The Shire's equipment is not be used to download or distribute any material that could be considered offensive or Prohibited Material. If a user receives such material they should notify their line manager.
- Making fraudulent offers of products, items, or services, or undertaking private work via any Shire equipment, device or account.

The following activities are not permitted unless they are within the scope of regular responsibilities for an expressly authorised role:



- Effecting security breaches or disruptions of network communication. Security breaches include, but are not limited to, accessing data of which the user is not an intended recipient or logging into a server or account that the user is not expressly authorised to access.
- Executing any form of network monitoring which will intercept data not intended for the user's host.
- Attempting to avoid or bypass the Shire's network security measures.
- Interfering with any other user's account, by whatever means.
- Using the system in a way that could damage or affect the performance of the network.

### **Provision and use of mobile phones and electronic devices**

Some employees may be provided with a mobile phone, tablet and/or other electronic devices if it is deemed necessary to their position. All electronic devices supplied remain the property of the Shire and users of these devices must comply with this policy.

### **Consequences of breaching this policy**

This policy constitutes a lawful instruction to employees. Any breach of this policy may lead to disciplinary action including, but not limited to, termination of employment.

In addition to disciplinary action, the Shire reserves the right to temporarily block or remove email, internet and Network Access for employees in breach of this policy.

### **Variation to this policy**

This policy may be cancelled or varied from time to time. The Shire's employees will be notified of any variation to this procedure by the normal correspondence method.

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### **Related Documents (Legislation/Local Law/Policy/Procedure/Delegation)**

Code of Conduct  
Disciplinary Policy  
Social Media Policy

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### **Review History**

<b>Date</b>	<b>Council Resolution</b>	<b>Description of review/amendment</b>
28/06/2023		Re-write and merge old policies (A45 & A46) as per WALGA template.
<b>Former Policy No: A45 E-mail Use &amp; A46 Internet and WI-FI/LAN Use</b>		
16/10/2013	RES: 051013	Adoption of Policy (A46)
16/10/2013	RES: 151013	Adoption of Policy (A45)

# **ADMINISTRATIVE MATTERS**

## **E-MAIL USE**

**Policy No: A45 Adopted: 16 October 2013 - 151013**

**File Reference: ADM 0319**

### **POLICY STATEMENT**

**The use of electronic mail as a medium for communication continues to grow in importance. There is a legal responsibility upon any business organisation to inform its employees on the guidelines for using this communication tool.**

**This document details the e-mail (electronic mail) policy for the Shire of Koorda. It sets out guidelines for e-mail usage by all Shire employees and elected representatives. It clearly identifies those areas where commonsense is required (e.g., personal e-mails in the case of a family emergency), as well as those areas where there is no leeway, (e.g. pornography).**

### **Overview**

**The Shire of Koorda's e-mail system is a corporate resource and is to be used for corporate business as a vehicle for business-to-business and business to customer transactions. It should be viewed in a similar manner to the Shire's telephone system in that personal usage should be kept to an absolute minimum. For example, if all exchange lines were in use for personal business, the Shire would not be able to function. The following policies are to ensure that the Shire's e-mail system is used almost exclusively for Shire of Koorda business. To this end, all e-mails sent or received by a Shire employee are the property of the Shire. There is no concept in the Shire of Koorda e-mail system of "personal" e-mails.**

### **Conditions of Use**

- 1. All e-mails sent or received via the Shire of Koorda e-mail system are the property of the Shire of Koorda.**
- 2. Employees may give their Shire of Koorda e-mail address to people and organisations that are business partners of the Shire.**
- 3. Employees should be careful about distributing their Shire of Koorda e-mail address to friends, relatives or personal associates.**
- 4. All employees must ensure that the latest update of the Shire's anti-virus software is running on their PC. No attachment can be opened unless the latest version is installed and operational.**
- 5. The transmission and receipt of personal e-mail messages should be kept to a minimum. This is especially the case with attachments that can congest the network.**
- 6. No employee may send or distribute questionable e-mails containing expletives or pornography.**

- 7. No employee may send or distribute e-mail containing derogatory, inflammatory, racially offensive, discriminatory or libellous information about any other person or organisation.**
- 8. No Shire of Koorda employee may conduct business (whether personal or professional) via the Shire's e-mail system other than legitimate Shire of Koorda business.**
- 9. Any Shire of Koorda employee receiving questionable material (as described in conditions 6 and 7) should immediately delete all such material and all local copies.**
- 10. Employees personal equipment (smart phones, tablets) are not to receive Shire emails unless authorised by the CEO.**

### **Monitoring e-mails**

**The Shire does reserves the right to monitor all e-mail messages. Therefore, there is an expectation that the Shire's employees will act professionally and use its electronic resources responsibly.**

### **Consequences of Abuse of this Policy**

**Any Shire of Koorda employee found to be acting in contravention of the above policies will be warned by the appropriate manager and asked not to re-offend. Employees who continue to disregard the above policies may face dismissal if the offence is considered to be of a serious nature. Note that any offence associated with pornography (condition 6) or libellous behaviour (condition 7) will be automatically classified as being of a serious nature and may result in immediate dismissal.**

### **POLICY OBJECTIVE**

- 1. To make all employees aware of the Shire of Koorda's e-mail policy.**
- 2. To ensure that the Shire's investment in computer hardware, software and services is used in the most productive manner to the greatest possible benefit of the Shire.**
- 3. To ensure that all the Shire's business e-mails are preserved and shared as corporate knowledge.**



# **ADMINISTRATIVE MATTERS**

## **INTERNET AND WI-FI/LAN USE**

**Policy No: A46**

**Adopted: 16 October 2013- 051013**

**File Reference: ADM 0319**

### **POLICY STATEMENT**

All IT Equipment including PC's Laptops, Tablets and Smart Phones within the Shire of Koorda network have the ability to access the Internet and Wi-Fi (Wireless Connection) or LAN (Local Area Connection). There is a legal responsibility upon any business organisation to inform its employees on the guidelines for using this information and communication tool.

This document details the Internet usage policy for the Shire of Koorda. It sets out the conditions of use to be followed by all Shire employees. It clearly identifies those areas where commonsense is required (e.g., personal usage at lunchtime or after hours), as well as those areas where there is no leeway, (e.g. pornography).

### **Overview**

The Shire of Koorda's Internet connection is a corporate resource and is to be used primarily for corporate business. It should be viewed in a similar manner to the Shire's e-mail system in that personal usage should be kept to an absolute minimum. The following conditions of use are to ensure that the Shire's Internet connection is used almost exclusively for Shire of Koorda's business.

### **Monitoring Internet Traffic**

The Shire of Koorda reserves the right to monitor and record all Internet traffic. Therefore no employee should have any expectation of privacy as to his or her Internet usage. There is an expectation that the Shire employees will act professionally and use its electronic resources responsibly.

### **Conditions of Use**

- 1. All Shire of Koorda policies relating to employee conduct apply to Internet, Wifi and LAN usage. This includes especially (but not exclusively) those that deal with intellectual property protection, privacy, sexual or racial harassment, information security and confidentiality. These are detailed in the following conditions.**
  - 1.1. Any software or files downloaded via the Internet into the Shire network become the property of the Shire. No employee may use Shire facilities to download or distribute pirated software or data.**
  - 1.2. All employees will accept that there is no expectation of privacy with Internet usage. Management reserves the right to monitor and record**

each World Wide Web site visit, each chat or newsgroup message and each file transfer.

- 1.3. The display or distribution of any sexually explicit or racially discriminatory information is a violation of the Shire policies. Any such illegal activity is grounds for immediate dismissal.
  - 1.4. Any file that is downloaded must be scanned for viruses before it is run or accessed.
  - 1.5. The Internet is not a secure communications medium. Any employee who obtains from the Shire a password or ID for an Internet resource must keep that password confidential. Similarly any files containing sensitive Shire of Koorda data that are transferred in any way must be encrypted.
  - 1.6. Files retained in the Shire of Koorda server are the property of the Shire of Koorda and may be monitored and viewed.
  - 1.7. No employees private equipment is to be connected to the Shire of Koorda WiFi or LAN services.
2. Employees may use the Internet for minimal non-business research or browsing during lunchtime or after hours provided all other conditions are followed.

#### **Consequences of Abuse of this Policy**

Any Shire of Koorda employee found to be acting in contravention of this policy will be warned or be limited to restricted access and asked not to re-offend by the appropriate manager or in serious matters, dismissed immediately. Employees who continue to disregard the policy may face dismissal if the offence is considered to be of a serious nature. (NB: any offence associated with pornography or libellous behaviour will be automatically classified as being of a serious nature).

#### **POLICY OBJECTIVE**

1. To make all employees aware of the Shire of Koorda's policy on Internet, WiFi and LAN usage.
2. To ensure that the Shire's investment in computer networks and services is used in the most productive manner to the greatest possible benefit of the Shire.

# Elected Members

## Continuing Professional Development – Elected Members

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### Objective

To ensure that Elected Members of the Shire of Koorda (“**the Shire**”) meet and comply with the prescribed professional development requirements under the *Local Government Act 1995*, and to further encourage participation in other conferences and training specifically designed to enhance skills and knowledge relating to roles and responsibilities, as an Elected Member of the Shire.

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### Policy

The Shire recognises the importance of providing Elected Members with the knowledge and resources that will enable them to fulfil their role in accordance with statutory compliance and community expectations and make educated and informed decisions.

### Compulsory Elected Member Training

Pursuant to the Local Government (Administration) Regulations 1996, Elected Members must complete “Council Member Essentials” course consisting of give modules:

- a) Understanding Local Government;
- b) Conflicts of Interest;
- c) Serving on Council;
- d) Meeting Procedures and Debating; and
- e) Understanding Financial Report and Budgets.

All units and associated costs will be paid for by the Shire and must be completed by 30 June in the year immediately following the elected Member’s election. The training is valid for a period of five years.

It is Council’s preference that the training is undertaken via the eLearning method which is the more cost-efficient form of delivery. It is acknowledged however that there may be Elected Members who prefer to receive training face-to-face and/or opportunities to attend training which is being delivered in the region or in the Perth metropolitan area.

### Exemptions

A Councillor is exempt from the requirement in Section 5.126(1) of the *Local Government Act 1995* if;

- The Councillor passed either of the following courses within the period of five years ending immediately before the day on which the Councillor is elected:
  - Council Member Essentials;
  - 52756WA Diploma of Local Government (Elected Member); or
- The Councillor passed the course titled LGASS00002 Elected Member Skill Set before 1 July 2019 and within a period of five years ending immediately before the day on which the Councillor is elected.

### Continuing Professional Development

The professional development of Elected Members is an important activity of the Shire to ensure that its decision making is of the highest standard and is the product of informed and ethical debate by well trained and committed Elected Members acting in the best interest of all of the community.

Elected Members are encouraged to nominate to attend other conferences or training opportunities to enhance and broaden their knowledge of local government issues to support the community.

## **Eligible Formal Training Events**

The formal training events to which this policy applies is limited to those conducted by, or organised by, any of the following organisations or individuals:

- The West Australian Local Government Association (WALGA);
- Local Government Professionals WA;
- Accredited training organisations offering training which directly related to the role and responsibilities of Elected Members;
- Information sessions organised by the Department of Local Government, Sport and Cultural Industries; or
- Seminars, training and/or information sessions provided by individuals with a demonstrably strong knowledge of local government in Western Australia.

The following are examples of other conferences or training opportunities as described above:

- National General Assembly of Local Government;
- WA Local Government Week;
- Special “one off” conferences sponsored by WALGA or the Department of Local Government, Sport and Cultural Industries on important local government issues;
- Annual conferences of major professions of local government;
- The Annual Road Congress;
- Conferences which advance the development of Elected Members in their role as Councillors; or
- Conferences of organisations on which an Elected Member has been elected or appointed as a delegate.

## **Procedures**

### **Approval of Professional Development**

Considerations for approval of the training or professional development activity include:

- The costs of attendance including registration, travel and accommodation, if required;
- The Budget provisions allowed and the uncommitted or unspent funds remaining;
- Any justification provided by the applicant when the training is submitted for approval;
- The benefits to the Shire of the person attending;
- Identified skills gaps of elected members both individually and has a collective;
- Alignment to the Shire’s Strategic Objectives; and
- The number of Shire representatives already approved to attend.

Consideration of attendance at training or professional development courses, other than the online Council Member Essentials, which are deemed to be approved, are to be assessed as follows:

- Events for the Shire President must be approved by the Deputy Shire President, in conjunction with the CEO; and
- Events for Councillors must be approved by either the Council or the Shire President, in conjunction with the CEO.

### **Travel Arrangements**

All booking arrangements for other conferences and training for Elected Members are coordinated through the Chief Executive’s Office. Elected Members should note that the *Local Government Act 1995* precludes an Elected Member to pre-spend Shire funds.

Any airline travel for an Elected Member is to be booked at economy level and booking arrangements are to be reviewed upon any improved discount offer being identified. Any upgrade to Business Class is permissible provided the Council member funds the difference in cost.

Other than to amend departure times, tickets provided to representatives of the Shire shall not be exchanged, downgraded or rebated. Tickets or bookings may not be altered to include personal travel that is not part of the scheduled conference itinerary.

The proposed duration of another conference or training attendance together with travel time and planned supplementary pre or post conference activities relevant to the Shire will be notified to Council or the Chief Executive Officer for confirmation and/or amendment prior to the delegate's departure for the other conference or training.

### **Expenses**

Expenses relating to other conferences and training as approved, will be paid direct by the Shire.

Expenses may include the following items:

- Air fare;
- Travel insurance;
- Conference registration;
- Copy of conference proceedings;
- Room accommodation; and
- Meals in the hotel where registered if these are not provided during the course of the conference.

Incidental expenses include:

- Travel to and from the conference venue; and
- Travel to and from all airport destinations.

### **General Conditions**

Accommodation will be booked, where practicable, at the associated venue or, if unavailable, at premises in close proximity to the venue. Depending on the commencement time of the training/professional development bookings will include accommodation the night before. Except in extenuating circumstances, accommodation will not generally be provided the night following the training/professional development. Such instances will require the approval of the President and/or Chief Executive Officer.

If a Councillor attending training/professional development extends the period of time away or deviates from the travel arrangements for private purposes the Councillor will be responsible for the full cost associated with that extended stay and/or variation to travel arrangements for private purposes.

Attendance by Councillors at interstate or international training and professional development opportunities that incurs any cost to the Shire requires a resolution of Council.

No more than two Councillors may attend the same interstate training and development opportunity unless the training is mandatory or universal to the functions of a Councillor.

Attendance at an interstate training and development opportunity is not permitted within three months of the date of expiry of a Councillor's current term of office.

Nothing in this Policy prevents Council from approving additional funding for Councillor Training & Continuing Professional Development, subject to a resolution of Council.

### **Reporting and Publishing**

All Elected Members attending any other conference or training are expected to report to Council on the benefits achieved by attending and should make the conference papers available to other Councillors.

A record of conferences or other training attended by Elected Members will be maintained by the Chief Executive Officer.

The Chief Executive Officer is to prepare a report each financial year on prescribed professional development training completed by Elected Members in the financial year.

This report is to be published on the Shire official website within 1 month after the end of the financial year to which the report relates.

#### **Ability to recoup non-refundable costs**

If an Elected Member doesn't attend a pre-booked training/professional development opportunity, in which the Shire are unable to apply for a refund, the Shire may recoup the associated costs incurred from the Elected Member.

Associated costs could be, but are not limited to, training/conference bookings, accommodation or travel.

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#### **Related Documents (Legislation/Local Law/Policy/Procedure/Delegation)**

Local Government Act 1995, ss 5.126, 5.127 and 5.128

Local Government (Administration) Regulations 1996, rr.35 and 36

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#### **Review History**

<b>Date</b>	<b>Council Resolution</b>	<b>Description of review/amendment</b>
28/06/2023		Separated Compulsory Elected Members Training and Continuing Professional Development and added additional guidance and procedures.
<b>Former Policy No: A26 Continuing Professional Development – Elected Members, A42 Conference, Seminar and Forum Attendance &amp; C4 Councillor - Training</b>		
18/03/2020	RES: 070320	Adoption of Policy (A26)
15/06/2011	RES: 110611	Adoption of Policy (A42)
19/03/2014	RES: 130314	Amended
19/07/2000		Adoption of Policy (C4)
19/03/2014	RES: 130314	Amended



# Elected Members

## Elected Member Entitlements

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### Objective

The Shire of Koorda's ("the Shire's") Elected Members are required to carry out certain functions and responsibilities under the *Local Government Act 1995* (the Act). In order to assist in the facilitation of their roles there are entitlements that they must/or may be provided with in order to be effective in their role.

The objective of this policy is to provide a clear outline and guidance for the support and payment of all entitlements, including meeting/attendance fees, allowances, and conference and training expenses to elected members.

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### Policy

In recognition of the complexity and demands on Elected Members in undertaking their role, the Shire is committed to ensuring adequate funding is included in the Annual Budget so that elected members are provided with appropriate facilities, equipment, material and information to support them in performing their duties of office and to enable attendance at Conferences or Professional Development training that has relevance to that role.

### Payment of Fees and Allowances

To detail the amount of fees and allowances to be paid to Elected Members and the conditions under which those fees and allowances shall be paid. The following points apply to sections 1.1, 1.2 and 1.3;

- The amount to be paid will be set by Council as part of the adoption of the Annual Budget.
- Payments will be made in three equal instalments on completion of each four-month term. (July – October, November – February and March – June).
- Any taxation liability arising from the payment of meeting allowances is the responsibility of each elected member.

#### **1.1. Annual Meeting Attendance Fees in lieu of Council Meeting and Committee Meeting Attendance Fees:**

In lieu of paying the President and Councillors a meeting attendance fee for each prescribed meeting, the Shire will pay an amount within the range set by the Salaries and Allowances Tribunal through a determination published in the *Government Gazette* from time to time that may be paid annually for Meeting Attendance Fees for the President and Councillors.

#### **1.2. Annual Local Government Allowances – President and Deputy:**

The Shire will pay an Annual Allowance within the range set by the Salaries and Allowances Tribunal through a determination published in the *Government Gazette* from time to time that may be paid to the President and Deputy President.

#### **1.3. Annual Allowance for ICT Expenses:**

The Shire will pay an Annual Allowance for ICT expenses as set by the Salaries and Allowances Tribunal through a determination published in the *Government Gazette* from time to time that may be paid to Elected Members.

**Note: ICT expenses means –**

- (i) rental charges in relation to one telephone and one facsimile machine, as prescribed by regulation 31(1)(a) of the *Local Government (Administration) Regulations 1996* (Regulations); or
- (ii) any other expenses that relate to information and communications technology (for example, telephone call charges and internet service provider fees) and that are a kind of expense prescribed by regulation 32(1) of the Regulations.

## **Reimbursement of Expenses**

Reimbursement of reasonable meal expenses will be processed monthly upon receipt of the claim form and receipts. Expense claims must be on a Travel Expenses Claim Form and submitted to the CEO or Deputy CEO for approval.

### **2.1. Travel Costs**

Elected members attending meetings or representing the Shire at meetings or events outside of the Shire of Koorda are encouraged to use a Shire vehicle.

Reimbursement of travel costs are subject to the costs being adequately evidenced by providing the CEO or Deputy CEO with the reason for travel, date, mileage, from and to locations, an appropriate receipt, and (if required) evidence that the CEO or Council has approved the attendance.

Elected members who incur travel costs while using their privately owned vehicle, pursuant to Regulation 31(1)(b) of the *Local Government (Administration) Regulations 1996*, are entitled to be reimbursed for travel expenses incurred because of the member's attendance a Council meeting, or a meeting of a committee of which they are a member.

The extent to which an Elected Member can be reimbursed for reasonable travel costs is as determined by the Salaries and Allowances Tribunal. This is particularly relevant if an Elected Members resides or works outside of the Shire area.

In accordance with Regulation 32(1) of the Local Government (Administration) Regulations, the Council has approved the additional circumstances for when reasonable travel costs incurred may be reimbursed.

- Attendance at meetings, briefings, workshops, presentations, deputations, ceremonies, functions, training, on-site inspections in connection with Elected Members duties or as an authorised Council representative.

Subject to any requirements under Council's "*Attendance at Events*" or "*Continuing Professional Development - Elected Members*" Policies.

Travel costs incurred are to be calculated in accordance with the Salaries and Allowances Tribunal determination.

For the purposes of this policy *travel costs* include parking fees (not parking fines).

All claims are to be entered onto the Shire's register.

### **2.2. Meals**

Occasionally Councillors may attend meetings, training or conferences outside the Shire of Koorda and, depending on the distance and time of day, may require overnight accommodation and meals.

Accommodation and registrations must be pre-approved by the CEO and booked through the Administration Office.

### **2.3. Child Care Costs**

Elected Members who incur child care costs are entitled to be reimbursed if the expense is incurred by a council member in performing a function under the express authority of the Council or in his or her capacity of an Elected Member, pursuant to Regulation 31(1)(b) of the *Local Government (Administration) Regulations 1996*.



Reimbursement will be in accordance with the Salaries and Allowances Tribunal determination.

For the purpose of this section the number of hours claimed shall be limited to the actual length of the meeting, with a nominal time allowance for networking opportunities and travel to and from the place of care.

Reimbursement of child care costs will be processed upon receipt of the claim form and receipts which must include detail of the date, number of hours, rate and function/meeting attended.

Child care costs will only be paid upon evidence of out-of-pocket expenses.

## **Access to the Shire Administration Centre, Administration Support and Equipment**

### **3.1. Access to Administration Centre**

Elected Members may have access to a suitable space within the Administration Centre area as allocated by the CEO.

### **3.2. Access to Administration Support**

The Shire President may have access to secretarial support including photocopying, drafting official Shire business related responses and for following up on outstanding matters with the CEO.

Elected Members will have access to;

- Office space during business hours when available.
- Internet and telephone facilities within the Administration Office area.

### **3.3. Equipment**

All elected members following their election will be issued with a computer device as determined most appropriate by the CEO, Deputy CEO and the Shire's ICT department at the commencement of their initial term. Elected Members are to utilise their Shire provided device for Shire purposes only.

A Councillor email address will be created in the form of [Councillor.Name@koorda.wa.gov.au](mailto:Councillor.Name@koorda.wa.gov.au). All emails received and sent through the [Councillor.Name@koorda.wa.gov.au](mailto:Councillor.Name@koorda.wa.gov.au) email accounts are captured in the Shire's Email Archive System and all information on Shire issued equipment is subject to Freedom of Information requests.

Elected members should refer to Council Policy "*Internet, Email Usage and Access to IT Systems*" which sets out the conditions for acceptable use of the Shire's information and communication technology facilities. The Shire's ICT facilities include but are not limited to the Shire's network, computer systems, access to the internet and email, corporate systems and corporate hardware.

The Shire will purchase and install antivirus software and any other program considered necessary to assist elected members in performing their functions as an elected member. Any costs associated with upgrades or additional requirements over and above the standard equipment being offered should be met by the Elected Member.

The device will remain the property of, and be insured by, the Shire. Maintenance and support for the device will be provided by the Shire's ICT department. All requests for assistance are to be directed to Administration Office in the first

instance. All devices will be reviewed four years after their date of purchase to determine if/when replacement is required.

In the event of damage or loss, elected members are to mitigate against any further damage and notify the Shire as soon as possible.

Pending operational requirements, elected members may have the option to purchase their device at the end of their term.

If an elected member resigns mid-term, they must hand back their device to the Shire.

Prior to retention, the device is to be provided to the Shire's ICT Officer to erase, update and remove Shire related information and management systems.

#### **3.4. Stationery and Other Items**

- Name Badge. (Two for the President)
- Business Cards.
- Shire of Koorda branded shirt.

#### **3.5. Documentation**

Access to the following publications will be provided to Elected Members either via the website hub or online publications (printed copies only available on request):

- Primary Return (newly elected Council Members – to be lodged within three months of the start day)
- Annual Return and Related Party Disclosure (to be lodged by Elected Members no later than 31 August in any year)
- Integrated Strategic Plan (Incorporating Strategic Community & Corporate Business Plan), Workforce Plan and associated documents.
- Strategic Resourcing Plan (Combined Long Term Financial & Asset Management Plans)
- Shire of Koorda Annual Report
- Shire of Koorda Local Laws (including Meeting Procedures)
- Standing Orders
- Local Planning Scheme
- Policy Manual
- Register of Delegations of Power or Duty
- Elected Member Code of Conduct
- Council Agendas and Minutes
- Councillor's Manual by WA Local Government Association (WALGA)
- Annual Budget

#### **Elected Member Insurance**

The Shire may take out Insurance Policies that cover Elected Members. For more detail on the Annual Insurance scope and cover relevant to Elected Members, please contact the CEO.

An example of Insurance cover that may relate to Elected Members is included below;

- Professional Indemnity; and
- Personal Accident.

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#### **Related Documents (Legislation/Local Law/Policy/Procedure/Delegation)**

Local Government Act 1995, Division 8

Local Government (Administration) Regulations, Part 8

Western Australia Salaries and Allowances Act 1975, Determination for Local Government

Chief Executive Officers and Elected Members

Annual Insurance Certificate

## Review History

Date	Council Resolution	Description of review/amendment
28/06/2023		Merged and re-wrote old policies.
<b>Former Policy No: C1 Councillor Information Requirements, C2 Presidential Allowance, C2(1) Deputy Presidential Allowance &amp; C3 Payments to Councillors.</b>		
19/07/2000		Adoption of Policy (C1)
16/05/2007	159.1.1-2007	Amended
19/03/2014	RES: 130314	Amended
19/07/2000		Adoption of Policy (C2)
20/10/2010	RES: 191010	Amended
19/10/2005		Adoption of Policy (C2{1})
16/05/2007	159.1.1-2007	Amended
21/05/2008	154.1.2-2008	Amended
20/05/2009	RES: 040509	Amended
20/10/2010	RES: 191010	Amended
20/04/2011	RES: 110411	Amended
19/07/2000		Adoption of Policy (C3)
16/05/2007	159.1.1-2007	Amended
21/05/2008	154.2.5(&6)-2008	Amended
20/05/2009	RES: 13(&14)0509	Amended
21/04/2010	RES: 170410	Amended
20/04/2011	RES: 160410	Amended
15/06/2011	RES: 110611	Amended
18/03/2015	RES: 1303015	Amended

## **COUNCIL AND COMMUNITY**

### **COUNCILLOR INFORMATION REQUIREMENTS**

**Policy No:** C1 **Adopted 19.7.00**  
*Amended: 16 May 2007 - 159.1.1-2007*  
*Amended: 19 March 2014 - 130314*

**File Reference:** ADM 0323

#### **POLICY STATEMENT**

- (1) That newly elected council members be provided with the following information prior to attendance at a council meeting -
  - (a) Code of Conduct
  - (b) Policy Manual
  - (c) Register of Delegations
  - (d) WALGA's publication "Councillor's Manual"
  - (e) Strategic Community Plan
  - (f) Annual Report
  - (g) Current Budget
  - (h) Standing Orders
  - (i) Financial Interest Handbook – DLG
  - (j) Corporate Business Plan
  - (k) Long Term Financial Plan
  - (l) Workforce Plan
  
- (2) That a copy of the Complete Guide to the Local Government Act be kept available for perusal in the Council Chamber Building.

#### **PURPOSE**

To provide critical reference material to assist Council members in their role.

#### **COMPLEMENTARY LEGISLATION / AGENCIES**

#### **SPECIAL NOTE**

## **COUNCIL AND COMMUNITY**

### **PRESIDENTIAL ALLOWANCE**

**Policy No:** C2 **Adopted 19.7.00**  
**Amended 20.10.10 Res 191010**

**File Reference:** ADM 0323

#### **POLICY STATEMENT**

That the Presidential allowance contained in a year's financial budget be paid in three equal instalments to the President on completion of each 4 month term.  
(i.e. October, February, June)

#### **PURPOSE**

To set down the basis on which the Presidential allowance is to be paid.

### **DEPUTY PRESIDENTIAL ALLOWANCE**

**Policy No:** C2 (1) **Adopted: October 2005**  
**Amended: 16 May 2007** *159.1.1-2007*  
**Reviewed: 21 May 2008** *154.1.2-2008*  
**Amended: 20 May 2009** *040509*  
**Amended: 20 October 2010, Res 191010**  
**Reviewed: 20 April 2011, Res 110411**

**File Reference:** ADM 0323

#### **POLICY STATEMENT**

That the Deputy Presidential allowance determined by Council and contained in a year's financial budget be paid in three equal instalments to the Deputy President on completion of each 4 month term.  
(i.e. October, February, June)

#### **PURPOSE**

To set down the basis on which the Deputy Presidential allowance is to be paid.

# COUNCIL AND COMMUNITY

## PAYMENTS TO COUNCILLORS

**Policy No: C3**

**Adopted 19.7.00**

**Amended: 16 May 2007 159.1.1-2007**

**Amended: 21 May 2008 154.2.5-2008 & 154.2.6-2008**

**Amended: 20 May 2009 130509 & 140509**

**Amended: 21 April 2010 170410**

**Reviewed: 20 April 2011, Res160411**

**Amended: 15 June 2011 -110611**

**Reviewed/Updated 18 March 2015 – 130315**

**File Reference: ADM 0323**

### **POLICY STATEMENT**

Council has adopted the following as a matter of policy concerning the payment of Councillors' expenses:-

- (1) It is the policy of council to pay to Councillors travelling expenses for attending ordinary and special meetings of council and for attending meetings of committees in the capacity of a member of that committee, in accordance with the provisions of the Local Government Act 1995, as well as travel expenses for attendance at Annual, Special and General Meetings of Electors, officially called civic receptions, visits by Ministers of the Crown, Council inspection tours, Council authorised meetings with Government agencies and other council called meetings of Councillors and Staff.

The expenses are to be paid only on receipt of a formal claim from a Councillor and is to be calculated on the number of kilometres between the Councillor's principal place of residence or work within the Shire to the meeting venue and back, and paid in Tri-annual Instalments.

A suitable claim form for this purpose will be provided by the Chief Executive Officer, to all Councillors and will contain a declaration to the effect that the travel expense was incurred.

- (2) In addition to the reimbursement of the actual rental charge for one telephone and one facsimile machine as provided for in the Local Government (Administration) Regulations No. 31(1)(a), the Council will reimburse each Councillor with the actual amount of any communication (including telephone and electronic, i.e. email, etc) by a Councillor while performing a function in his/her capacity as a Council member up to a maximum, of \$1,000 per annum.

- (3) Council will determine annually the sitting fees for members attending meetings as prescribed by the determination of the Salaries Allowances Tribunal.
- (4) Council will pay actual expenses reasonably incurred as the result of attendance at meetings, (other than Council and committee meetings) conferences or other activities when such attendance is requested or authorised by Council, and in the case of WALGA conferences this includes reasonable accommodation and related expenses of partners.
- (5) Allowance in lieu of reimbursement of information technology expenses. Council will pay an annual allowance for information technology expenses, up to a maximum of \$250.

**PURPOSE**

To provide the basis on which Councillors are to be remunerated and reimbursed their expenses.

**COMPLEMENTARY LEGISLATION**

Local Government Act, S.5.98(1) & (2) –

- “(1) A council member who attends a council or committee meeting is entitled to be paid –
  - (a) the prescribed minimum fee for attending a council or committee meeting; or
  - (b) where the local government has set a fee within the prescribed range for Council or committee meeting attendance fees, that fee.
- (2) A Council member who incurs an expense of a kind prescribed as being an expense -
  - (a) to be reimbursed by all local governments; or
  - (b) which may be approved by any local government for reimbursement by the local government and which has been approved by the local government for reimbursement, is entitled to be reimbursed for the expense in accordance with subsection (3).

(3) – (7) .....

Local Government (Admin) Reg 31 –

Extract from Practice Notes –

“For the purposes of this section the kinds of expenses that are to be reimbursed by all local governments are –

- rental charges incurred by a council member in relation to one telephone and one facsimile machine; and
- child care and travel costs incurred by a council member because of the member's attendance at a council meeting or a meeting of a committee of which he or she is also a member."

### Meeting Attendance Fees

Admin Reg 30 –

Council to determine annually prior to adoption of Budget

Section 5.99 covers the option which is available to Councils to pay an annual fee for Council members instead of fees for attending meetings.



# Elected Members

## Elected Member Service Recognition

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### Objective

To provide a framework to recognise service and commitment to the Shire of Koorda by Elected Members.

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### Policy

#### Definitions

TERM	DEFINITION
Retiring	Not being re-elected or standing down from public office.

#### Retiring Elected Members – Certificate and Gift

Elected Members who have served the community for at least one full four-year term of office, as determined by the Chief Executive Officer in conjunction with the President will receive;

- A certificate of service; and
- A gift.

#### Gifts:

- The value of the gift may be up to \$100 per year of service to a maximum of \$1,000 (for 10 or more years of service) as prescribed.
- The gift may be given as a store/service voucher or as an item, as preferred by the Elected Member.
- Cash may not be given as a gift.
- An Elected Member may decline such a gift and should advise the Chief Executive Officer or President at the earliest convenience.

#### Presentation of certificates, plaques and gifts:

- The gift may be presented at a suitable occasion as agreed with the Elected Member.
- The occasion will be at the discretion of Council who will give due consideration to each occasion on individual merit.
- It may occur at an ordinary meeting of Council as soon as practical following conclusion of a Councillor's term where it will be recorded in the minutes of the meeting under the President's Presentations.

#### Disqualified Councillors

Any Councillor who is disqualified from office under the Local Government Act 1995 shall not be eligible for recognition.

#### Additional Recognition

If an Elected Member's service is 12 or more years, a request shall be forwarded to the Western Australian Local Government Association (WALGA), for additional recognition of service.

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#### Related Documents (Legislation/Local Law/Policy/Procedure/Delegation)

Local Government (Administration) Regulations 1996, Regulation 34AC  
Code of Conduct for Elected Member

## Review History

Date	Council Resolution	Description of review/amendment
28/06/2023		Re-written with addition of gift as per allowance in Local Government (Administration) Regulations 1996
<b>Former Policy: C5 Certificate of Service</b>		
19/07/2000		Adoption of policy (C5)



## **COUNCIL AND COMMUNITY**

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### **CERTIFICATE OF SERVICE**

**Policy No:** C5 **Adopted 19.7.00**

**File Reference:** ADM 0323

#### **POLICY STATEMENT**

That a “Certificate of Service” or plaque showing details of service be presented to all Councillors on their retirement.

#### **PURPOSE**

As a form of recognition that can be preserved.

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# Elected Members

## Elected Member Social Media and Communications

### Objective

This policy details legislative obligations and establishes protocols for the Shire of Koorda's ("the Shire") official communications with our community, to ensure the Shire is professionally and accurately represented and to maximise a positive public perception of the Shire.

### Policy

#### Application

This policy applies to:

- Communications initiated or responded to by the Shire with our community; and
- Council Members when making comment in either their Shire of Koorda role or in a personal capacity about matters relevant to the Shire.

### Definitions

TERM	DEFINITION
<b>Act</b>	The <i>Local Government Act 1995</i> .
<b>Code of Conduct</b>	The Shire of Koorda Code of Conduct: Employees and/or the Code of Conduct for Council Members, Committee Members and Candidates.
<b>Council</b>	The Council of the Shire of Koorda.
<b>Council Member</b>	A person who is currently serving a term of office as an elected member of the Council in accordance with the Act.
<b>Employee</b>	A person employed by the Shire of Koorda, including contractors engaged under a contract of service.
<b>Media</b>	A media or news organisation including print, broadcast or online.
<b>Official communications</b>	Communication that has been prepared to share information via broad communication channels which may include website, social media, newsletters, advertising or media release.
<b>Social media</b>	A social networking channel that enables users to create and share information.
<b>Website</b>	A website managed by the Shire including sites to promote a particular service or function.

### Official Communications

The purposes of the Shire's official communications include:

- Sharing information required by law to be publicly available.
- Sharing information that is of interest and benefit to the Community.
- Promoting Shire events and services.
- Promoting Public Notices and community consultation / engagement opportunities.
- Answering questions and responding to requests for information relevant to the role of the Shire.
- Receiving and responding to community feedback, ideas, comments, compliments and complaints.

The Shire's official communications will be consistent with relevant legislation, policies, standards and the positions adopted by the Council. Our communications will always be respectful and professional.

The Shire will use a combination of different communication modes to suit the type of information to be communicated and the requirements of the community or specific audience, including:

- Website;
- Advertising and promotional materials;
- Media releases prepared for the Shire President to promote specific Shire positions;
- Social media; and
- Community newsletters, letter drops and other modes of communications undertaken by the Shire's Administration at the discretion of the CEO.

### **Speaking on behalf of the Shire**

The Shire President is the official spokesperson for the Shire, representing the Local Government in official communications, including; speeches, comment, print, electronic and social media.

Where the Shire President is unavailable, the Deputy President may act as the spokesperson.

The CEO may speak on behalf of the Shire, where authorised to do so by the Shire President.

The provisions of the *Local Government Act 1995* essentially direct that only the Shire President or the CEO if authorised, may speak on behalf of the Local Government. It is respectful and courteous to the office of Shire President to refrain from commenting publicly, particularly on recent decisions or contemporary issues, until such time as the Shire President has had opportunity to speak on behalf of the Shire.

Communications by Council Members and employees, whether undertaken in an authorised official capacity or as a personal communication, must not:

- bring the Shire into disrepute,
- compromise the person's effectiveness in their role with the Shire,
- imply the Shire's endorsement of personal views,
- imply the Council Member or employee is speaking on behalf of the Shire, unless authorised to do so, or
- disclose, without authorisation, confidential information.

Social media accounts or unsecured website forums must not be used to transact meetings which relate to the official business of the Shire.

Council member communications must comply with the Code of Conduct and the *Local Government (Rules of Conduct) Regulations 2007*.

### **Responding to Media Enquiries**

All enquiries from the Media for an official Shire of Koorda comment, whether made to an individual Council Member or Employee, must be directed to the CEO or a person authorised by the CEO.

Information will be coordinated to support the Shire President or CEO (where authorised) to make an official response on behalf of the Shire.

Council Members may make comments to the media in a personal capacity – refer to clause ***"Council Member Statements on Shire Matters"*** below.

### **Website**

The Shire will maintain an official website, as our community's on-line resource to access to the Shire's official communications.

## **Social Media**

The Shire uses Social Media to facilitate interactive information sharing and to provide responsive feedback to our community. Social Media will not however, be used by the Shire to communicate or respond to matters that are complex or relate to a person's or entity's private affairs.

Social media means websites and applications whereby users create or participate in online communities to share information, ideas, personal messages, photos, videos and other content.

Examples of social media platforms include:

- Social networks such as Facebook, LinkedIn and Twitter
- Media sharing networks such as Instagram, YouTube and Snapchat
- Discussion forums such as Reddit
- Content curating networks such as Pinterest
- Consumer review networks such as TripAdvisor and Yelp
- Blogging and publishing networks such as WordPress and Tumblr

The Shire may also post and contribute to Social Media hosted by others, so as to ensure that the Shire's strategic objectives are appropriately represented and promoted.

The Shire actively seeks ideas, questions and feedback from our community however, we expect participants to behave in a respectful manner. The Shire will moderate its Social Media accounts to address and where necessary delete content deemed to be:

- Offensive, abusive, defamatory, objectionable, inaccurate, false or misleading;
- Promotional, soliciting or commercial in nature;
- Unlawful or incites others to break the law;
- Information which may compromise individual or community safety or security;
- Repetitive material copied and pasted or duplicated;
- Content that promotes or opposes any person campaigning for election to the Council, appointment to official office, or any ballot;
- Content that violates intellectual property rights or the legal ownership of interests or another party; and
- Any other inappropriate content or comments at the discretion of the Shire.

Where a third party contributor to a Shire's social media account is identified as posting content which is deleted in accordance with the above, the Shire may at its complete discretion block that contributor for a specific period of time or permanently.

### **Shire President Social Media Official Accounts**

The Shire supports the Shire President in using official social media account/s to assist the Shire President in fulfilling their role under section 2.8 of the *Local Government Act*, to speak on behalf of the Local Government. The content will be administered and moderated in accordance with this policy.

These official Shire accounts must not be used by the Shire President for personal communications.

### **Use of Social Media in Emergency Management and Response**

The Shire will use the following channels to communicate and advise our community regarding Emergency Management:

- Social media;
- Website;
- Advertising;
- Media releases or media statements;
- Community newsletters including email newsletters;



- SMS messaging; and
- Letter drops and other modes of communications at the direction of the CEO.

### **Record Keeping and Freedom of Information**

Official communications undertaken on behalf of the Shire, including on the Shire's Social Media accounts and third party social media accounts must be created and retained as local government records in accordance with the Shire's Record Keeping Plan and the *State Records Act 2000*. These records are also subject to the *Freedom of Information Act 1992*.

Council Member communications that relate to their role as a Council Member are subject to the requirements of the Shire's Record Keeping Plan and the *State Records Act 2000*. Council Members are responsible for transferring these records to the Shire's administration. Council Member records are also subject to the *Freedom of Information Act 1992*.

### **Personal Communications**

Personal communications and statements made privately; in conversation, written, recorded, emailed, texted or posted in personal social media, have the potential to be made public, whether intended or not.

On the basis that personal or private communications may be shared or become public at some point in the future, Council Members should ensure that their personal or private communications do not breach the requirements of this policy, the Code of Conduct and the *Local Government (Rules of Conduct) Regulations 2007*.

### **Council Member Statements on Shire Matters**

A Council Member may choose to make a personal statement publicly on a matter related to the business of the Shire.

Any public statement made by a Council Member, whether made in a personal capacity or in their Local Government representative capacity, must:

- Clearly state that the comment or content is a personal view only, which does not necessarily represent the views of Shire.
- Be made with reasonable care and diligence
- Be lawful, including avoiding contravention of; copyright, defamation, discrimination or harassment laws;
- Be factually correct
- Avoid damage to the reputation of the local government [*Rules of Conduct Reg.3(d)*];
- Not reflect adversely on a decision of the Council
- Not reflect adversely on the character or actions of another Council Member or Employee
- Maintain a respectful and positive tone and not use offensive or objectionable expressions in reference to any Council Member, Employee or community member

A Council Member who is approached by the media for a personal statement may request the assistance of the CEO.

Comments which become public and which breach this policy, the Code of Conduct or the *Local Government (Rules of Conduct) Regulations 2007*, may constitute a minor breach of the *Local Government Act 1995* [refer s.5.105] and may be referred for investigation.

On the basis that personal or private communications may be shared or become public at some point in the future, Council Members should ensure that their personal or private communications do not breach the requirements of this policy, the Code of Conduct and the *Local Government (Model Code of Conduct) Regulations 2021*.

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**Related Documents (Legislation/Local Law/Policy/Procedure/Delegation)**

Local Government Act 1995

Elected Member Code of Conduct

Local Government (Rules of Conduct) Regulations 2007

Freedom of Information Act 1992

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**Review History**

<b>Date</b>	<b>Council Resolution</b>	<b>Description of review/amendment</b>
28/06/2023		Re-write and merge old policies (A13 & A48) as per WALGA template.
<b>Former Policy No: A13 Media Statements/Interviews &amp; A48 Social Media Policy</b>		
19/07/2000		Adoption of Policy (A13)
15/06/2011	RES: 110611	Reviewed and Amended
21/05/2014		Adoption of Policy (A48)







to this effect, which would be reported to the Council so that there are no misunderstandings.

# ADMINISTRATIVE MATTERS

## SOCIAL MEDIA POLICY

**Policy No:** A48

**Adopted:** 21 May 2014

**File Reference:** ADM 0

### **POLICY STATEMENT**

Social media such as Twitter, Facebook, Google+, YouTube and blogging represent a growing form of communication for not-for-profit organisations, allowing them to engage their members and the wider public more easily than ever before.

It is also an area in which rules and boundaries are constantly being tested. This policy acts in conjunction with the Shire of Koorda's Email & Internet and WiFi/Lan Use Policies in order to maximise our social media reach while protecting our public reputation.

#### **Purpose**

The Shire of Koorda may choose to engage in social media such as:

- Twitter
- Facebook
- Google+
- WordPress/Blogger
- YouTube/Vimeo
- iTunes/Podcasting

The Shire of Koorda seeks to encourage information and link-sharing amongst its members and staff, and seeks to utilise the expertise of its employees in generating appropriate social media content.

Social media posts should be in keeping with the image that the Shire of Koorda wishes to present to the public, and posts made through its social media channels should not damage the organisation's reputation in any way.

Due to the fast-moving nature of social media and the constant development of new social media programs, it is important that this policy and its procedures be reviewed at regular intervals.

#### **Policy Objective**

The Shire of Koorda social media use shall be consistent with the following;

- **Integrity:** The Shire of Koorda will not knowingly post incorrect, defamatory or misleading information about its own work, the work of other organisations, or individuals. In addition, it will post in accordance with the organisation's Copyright and Privacy policies.
- **Professionalism:** The Shire of Koorda social media represents the organisation as a whole and should seek to maintain a professional and uniform tone. Staff may, from time to time and as appropriate, post on behalf of the Shire of Koorda using its online profiles, but the impression should remain one of a singular organisation rather than a group of individuals.

- **Information Sharing:** The Shire of Koorda encourages the sharing and reposting of online information that is relevant, appropriate to its aims, and of interest to the community.

The Shire of Koorda should seek to grow its social media base and use this to engage with the community, whilst maintaining a professional balance which avoids placing the organisation's reputation at risk.

### social media Procedures

Procedures number	SM1404/2	Version	2
Drafted by	Kim Storer	Approved by Chair on	14 <sup>th</sup> May 2014
Responsible person	Kim Storer	Scheduled review date	15 <sup>th</sup> May 2015

#### **Responsibilities**

The Board shall nominate a Communications Officer to co-ordinate the Koorda Community Resource Centre's social media management.

The Communications Officer will oversee expansion of social media and help to develop the Social Media Strategy in line with the organisation's Media Relations Policy.

Staff and volunteers may, from time to time and where appropriate, post on behalf of the Koorda Community Resource Centre using the organisation's online social media profiles. This is to be done only with the express knowledge and authorisation of the Communications Officer.

The Communications Officer has ultimate responsibility for:

- Ensuring that all posts are in keeping with the Koorda Community Resource Centre's core Social Media Policy.
- Ensuring appropriate and timely action is taken to correct or remove inappropriate posts (including defamatory and/or illegal content) and in minimising the risk of a repeat incident.
- Ensuring that appropriate and timely action is taken in repairing relations with any persons or organisations offended by an inappropriate post.
- Moderating and monitoring public response to social media, such as blog comments and Facebook replies, to ensure that trolling and spamming does not occur, to remove offensive or inappropriate replies, or caution offensive posters, and to reply to any further requests for information generated by the post topic.

It is important to maintain the balance between encouraging discussion and information sharing, and maintaining a professional and appropriate online presence.

#### **Delegation**

Social media is often a 24/7 occupation; as such, such responsibilities as outlined above may be delegated by the Communications Officer to another appropriate staff member/volunteer.

## **Processes**

### **Posting to social media**

Before social media posts are made, volunteers and staff should ask themselves the following questions:

- Is the information I am posting, or reposting, likely to be of interest to the Koorda Community Resource Centre's members and stakeholders?
- Is the information in keeping with the interests of the organisation and its constituted aims?
- Could the post be construed as an attack on another individual, organisation or project?
- Would Koorda Community Resource Centre's donors be happy to read the post?
- If there is a link attached to the post, does the link work, and have I read the information it links to and judged it to be an appropriate source?
- If reposting information, is the original poster an individual or organisation that the Koorda Community Resource Centre would be happy to associate itself with?
- Are the tone and the content of the post in keeping with other posts made by the Koorda Community Resource Centre? Does it maintain the organisation's overall tone?

If you are at all uncertain about whether the post is suitable, do not post it until you have discussed it with the Communications Officer. A few moments spent checking can save the organisation big problems in the future.

### **Damage limitation**

In the event of a damaging or misleading post being made, the Communications Officer should be notified as soon as possible, and the following actions should occur:

- The offending post should be removed.
- Where necessary an apology should be issued, either publicly or to the individual or organisation involved.
- The origin of the offending post should be explored and steps taken to prevent a similar incident occurring in the future.

If the mistake seems set to grow, or to cause significant damage to the organisation's reputation, revert to the Media Relations Policy and the Our Community helpsheet: [What to do in a Media Crisis](#).

### **Moderating social media**

The reputation of the Koorda Community Resource Centre is first and foremost, and this involves maintaining a safe and friendly environment for its members.

From time to time social media forums may be hijacked by trolls or spammers, or attract people who attack other posters or the organisation aggressively. In order to maintain a pleasant environment for everybody, these posts need to be moderated.

Freedom of speech is to be encouraged, but if posts contain one or more of the following, it is time to act:

- Excessive or inappropriate use of swearing
- Defamatory, slanderous or aggressive attacks on the Koorda Community Resource Centre, other individuals, organisations, projects or public figures

- Breach of copyrighted material not within reasonable use, in the public domain, or available under Creative Commons license
- Breach of data protection or privacy laws
- Repetitive advertisements
- Topics which fall outside the realms of interest to members and stakeholders, and which do not appear to be within the context of a legitimate discussion or enquiry.

If a post appears only once:

- Remove the post as soon as possible
- If possible/appropriate, contact the poster privately to explain why you have removed the post and highlighting the Koorda Community Resource Centre's posting guidelines.

If a poster continues to post inappropriate content, or if the post can be considered spam:

- Remove the post as soon as possible
- Ban or block the poster to prevent them from posting again.

Banning and blocking should be used as a last resort only, and only when it is clear that the poster intends to continue to contribute inappropriate content. However, if that is the case, action must be taken swiftly to maintain the welfare of other social media users.

The decision to block, ban and remove posts ultimately lies with the Communication Officer, but may, at their discretion, be delegated to responsible staff and volunteers.

### **Related Documents**

- [What to do in a Media Crisis](#) (Our Community help sheet)
- Media Relations Policy
- Privacy Policy
- Copyright Policy

### **Authorisation**

<Signature of Chairperson>

<Name of Chairperson>

<Date>

# Finance

## Corporate Purchasing Cards

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### Objective

The objective of this policy is to:

- Provide guidance in the issue and use of corporate credit cards and purchasing cards (“**Corporate Cards**”) in order to ensure good governance.
- Reduce the risk of fraud and misuse of Corporate Cards and minimise the Shire’s financial and reputational risk.
- Fulfil all statutory requirements of the Local Government Act with respect to the use of Corporate Cards.
- Adopt best practice in developing a clear and comprehensive policy on the use of Corporate Cards.

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### Policy

The requirements of this policy covers all Shire employees that are issued with and/or use Corporate Cards.

This policy does not extend to Elected Members, as the Local Government Act does not make any provision for Elected Members to incur a debt, which would be the case with a Corporate Card. A Local Government can only pay allowances or reimburse expenses to a Councillor.

### Advantages of Corporate Cards

The use of Corporate Cards shall only be approved if there is a demonstrated need and advantage to the Shire. These include:

- eliminating or reducing time spent on paper-based ordering and payments;
- reduction of administrative costs;
- reducing the number of payments per month;
- provision of a useful resource in an emergency situation; and
- reducing the need to carry cash on the premises.

### Register

A register shall be maintained by the Deputy Chief Executive Officer of all Corporate Cards issued and kept in a secure location. The register shall include:

- Date of approval by Chief Executive Officer;
- Name of card holder;
- Card number and expiry date;
- Conditions of use of the card; and
- A review date for continuing use of the card, not exceeding 24 months.

### Corporate Credit Card Authorised Users and Limits

The Shire of Koorda has one (1) credit card facility, with three (3) individually identifiable purchase cards attached.

Credit Cards are held by:

1. Chief Executive Officer,
2. Deputy Chief Executive Officer, and
3. Works Supervisor.

The Shire’s corporate credit card facility shall not exceed \$10,000. This overall limit can only be increased by Council Resolution.

## **Financial Institution**

The Shire's Corporate Credit Cards are to be issued by its financial institution once approved by the Chief Executive Officer.

The Financial Institution will verify the card user by requiring identification as per banking legislation policy prior to issue of the card.

## **Fuel Cards & Purchasing Cards**

### **Fuel Cards**

The requirement for corporate fuel cards will be determined on a case-by-case basis and approved by the Chief Executive Officer.

Fuel cards will only be used for purchasing fuel for the Shire vehicle (or hire vehicle where appropriate) to which the application relates.

All fuel card expenditure gets billed monthly on the Great Southern Fuel Supplies invoice and will be reported to Council within the list of monthly creditors payments.

### **Other Purchase Cards**

The requirement for other purchase cards (eg; Bunnings) will be determined on a case-by-case basis and approved by the Chief Executive Officer.

Purchase Cards will only be used for purchasing items for the Shire.

All expenditure is to be reported to Council within the list of monthly creditors payments.

## **Policies and Procedures governing the use of Corporate Cards**

The following shall be compiled with for controlling the use of Corporate Cards issued:

- An agreement shall be signed by the cardholder which sets out the cardholder's responsibilities and legal obligations when using the corporate purchasing and credit cards.
- A secure register managed by the Deputy Chief Executive Officer of all current cardholders should be kept which includes card number and expiry date of the card. Details of goods and services the cardholder has authority to purchase are outlined in the cardholder agreement.
- All new and existing cardholders shall be provided with a copy of the policies and procedures relating to the use of corporate purchasing and credit cards and shall formally sign the register to acknowledge that they have read and understood the requirements of the policy.
- When an employee misplaces their Corporate Card, they shall promptly report the matter to the Deputy Chief Executive Officer who shall immediately cancel the card.
- Corporate Cards shall not be transferred to other users.
- Use of the reward schemes, such as Fly Buys and Frequent Flyers, will not be permitted for personal gain.
- All surrendered Corporate Cards shall be destroyed by the Deputy Chief Executive Officer in the presence of another employee.
- In the event that a cardholder fails to comply with the policy's requirements, the Chief Executive Officer shall withdraw the use of the Corporate Card and take appropriate disciplinary action. All criminal/illegal acts of alleged misuse shall be reported to the Police and other relevant authorities.
- The use of Corporate Cards for any personal use whatsoever is strictly prohibited.
- Use of the Corporate Cards for purchases over the internet should be restricted to trusted secure sites.

For Fringe Benefits Tax purposes, any expenditure for entertainment must include the reason for the function, the number of people who were in attendance and the full names of any Shire staff.



## **Purchasing**

- Corporate Cards shall only be used for purchasing goods and services on behalf of the Shire and in circumstances when the issue of a Purchase Order Number from the Shire is not accepted, appropriate or convenient.
- Fuel Cards will be issued to employees where applicable and must only be used when purchasing fuel for Shire vehicles.
- Personal expenditure is strictly prohibited.
- A Credit Card shall not be used for cash withdrawals.
- Purchases by facsimile, telephone or over the internet shall be authorised by the person and all paperwork shall be kept and verified.
- The nominated fuel card should be used in preference to a Credit Card when purchasing fuel unless it is not accepted by the retailer and then the vehicle odometer reading and fuel receipt are to be recorded at the time of purchase.
- Corporate Card purchases are to comply with the Procurement Policy for acquiring of goods and services.
- The purchase of meals in Koorda with the Corporate Credit Card is limited to hosting visiting dignitaries, Council functions and other purposes authorised in advance by the Chief Executive Officer following consultation with the Shire President.
- Meals purchased while away from Koorda are to comply with the limit value approved from year to year by Council during the budget process.

## **Payments and Acquittals**

- The cardholder will be responsible for providing appropriate and sufficient documentary evidence of all charges, as required, on a monthly basis. Information should include a copy of the GST invoice, account number for costing purposes and an explanation as to why the expense was incurred.
- Time frames for all payment of accounts shall be monitored by the Deputy Chief Executive Officer to ensure that credit charges are minimised, and accounts are paid so as not incur a penalty or interest.
- Cardholders cannot approve expenditure incurred on their own cards, unless an approved recurring direct debit, these will be referred to the Chief Executive Officer for approval, with the Chief Executive Officer expenditure being referred to the President for approval.
- All transactions requested by Officers other than the cardholder must complete the Credit Card Authority Form, which is approved by the Chief Executive Officer.
- The signed corporate credit card statement and all supporting documentation are to be given to the Chief Executive Officer for certification, with the Chief Executive Officer Statement being referred to the President for certification.
- All transactions on Corporate Credit Cards are to be listed and form part of the monthly financial reports to Council in accordance with the requirements of *Local Government (Financial Management) Regulation 13*.

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## **Related Documents (Legislation/Local Law/Policy/Procedure/Delegation)**

Local Government Act 1995 – Section 2.7 (2)(a) and (b)

Local Government Act 1995 – Section 6.5(a)

Local Government (Financial Management) Regulations 1996 –11

Local Government (Financial Management) Regulations 1996 – 13

## Review History

Date	Council Resolution	Description of review/amendment
28/06/2023		Re-write policy and include additional corporate purchasing cards.
<b>Former Policy: F18 Corporate Credit Card Use</b>		
17/08/2016	RES: 050816	Adoption of Policy (F18)



## Corporate Credit Card Use

**Policy No:** F18 **Adopted** 17 August 2016

**File Reference:** ADM 0323

### **POLICY STATEMENT**

#### Definitions

***Credit Cards*** – Is defined as a facility allowing the card holder to pay for goods and services on credit.

***Business Expenses*** – Is defined as any expense necessary to the conduct of the business or is allowed under terms of the employee's contract of employment.

***Personal Expense*** – Is defined as any expense not of a business nature.

#### Corporate Credit Card Purchasing

- The Chief Executive Officer is only to use the corporate credit cards for purchasing goods and services on behalf of the Shire of Koorda or in association with the employee's contract.
- The corporate credit card credit limit for each card will be set by Council and reviewed at least once a year at the time all policies and procedures are reviewed.
- The current limit on the Shire of Koorda corporate card is \$5,000 for the Chief Executive Officer.
- Personal expenditure on Shire of Koorda's corporate credit cards is strictly prohibited.
- All purchases by the Shire of Koorda's corporate credit card must be accompanied by an appropriate tax invoice/receipt to ensure the Shire is able to claim all input tax credits in accordance with the requirements of the Australian Taxation Office.
- In the event individual invoices/receipts are not available then the corporate credit card statement of expenditure is to be utilised to claim income tax credits under the condition that this statement complies with the Australian Taxation Office requirements.
- Prior to transferring funds to the credit card account any debits appearing on the bank statement need to be verified with an invoice or receipt to ensure that the charge legitimate and for Shire use not personal use. There is a \$4 monthly bank charge which does not have an invoice or receipt for verification only the line item on the bank statement,
- The payment transfer to the credit card account is to be authorised by 2 officers other than the CEO unless the payment is urgent and no other officer is available to be authorise payment.
- If the CEO is a signatory to the fund transfer, another officer, other than the 2 officers authorising the payment, is to review and sign off on the payment, so as to ensure the charges are legitimate Shire business.

### Reporting Requirements

- The Shire of Koorda corporate credit card statement of expenditure is to be endorsed by the Officer in whose name the card is issued as all expenditure items listed of the statement being authorised and undertaken by him/her.
- Each credit card transaction is included in the list of payments for the month as part of the financial report in the agenda for the Ordinary Meeting of Council.

### General Conditions

- Officers must surrender their Shire of Koorda corporate credit card upon termination of his/her services within the Shire of Koorda or when resolved to do so by Council.
- All Corporate credit card incentives (e.g. fly buys) are not to be acquired or accumulated by the Officer for his/her personal use or gain. Any such credit card incentives associated with the Shire of Koorda corporate credit cards are to be utilised for the benefit of the Shire of Koorda's business expense operations only.
- All expired Shire of Koorda corporate credit cards are to be destroyed by the Chief Executive Officer upon receipt of a new or replacement card.

Any breach of this policy is to be reported to Council for information and action if deemed necessary.

### **PURPOSE**

To outline the issue of corporate credit cards to the Chief Executive Officer of the Shire of Koorda used to expedite authorised business expenditures on behalf of the Shire, therefore improving administrative practices and the effective cash management of the Shire.

# Finance

## Donations and Requests to Waiver fees

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### Objective

For good public relations and to be selective about which requests are debated in Council.

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### Policy

Council make the following donations or subscriptions on an annual basis if requested;

- \$1,000 – Koorda P&C Christmas Tree Function
- \$500 – Koorda & Districts Agricultural Society (Acquisition Prize)
- \$50 – Koorda Primary School Annual Book Award
- \$50 – Cadoux Primary School Annual Book Award
- \$50 – Kalannie Primary School Annual Book Award
- \$50 – Wyalkatchem Senior High School Annual Book Award
- Seniors Function – Council to host a luncheon or similar function every year (around WA Seniors' Week or Christmas) as decided
- Australia Day – Council to host an annual “Meet & Greet” combined with Australia Day Breakfast and Citizen Awards Ceremony
- Other as Council determines

Council set aside a financial allocation in their annual budget estimates to fund requests for donations within parameters to be determined and review their “donation list” annually.

The following groups or functions are allowed in Shire Public Buildings/Equipment on a donation/waiver basis:

- Koorda P&C – Halloween Ball at the Koorda Memorial Hall
- Koorda Ag Society – Annual Agricultural Show at the Koorda Recreation Ground
- Koorda Primary School – Koorda Community Bus for arranged school activities for up to 1000km per financial year as their contribution towards community bus hire.

*Note: hirer to meet fuel costs.*

Community groups which seek a donation in excess of \$500 must make a submission to Council prior to 30 March to ensure their application is considered in the draft budget.

As per delegation 4.2 *Defer, Grant Discounts, Waive or Write off Debts*, the CEO may authorise a discount or waiver charges on venue hire fees as listed in the Schedule of Fees & Charges.

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### Related Documents (Legislation/Local Law/Policy/Procedure/Delegation)

Local Government Act s6.12

Shire of Koorda Delegation 4.2 Defer, Grant Discounts, Waive or Write off Debts

## Review History

Date	Council Resolution	Description of review/amendment
28/06/2023		Merge policy F8 and P12 and update.
<b>Former Policy: F8 Donations/Requests/Waivers and P12 Community Bus</b>		
31/07/2000		Adoption of Policy (F8)
16/05/2007	159.1.1-2007	Amended
17/12/2007	91.8.1-2008	Amended
21/07/2010	RES: 090710	Amended
15/06/2011	RES: 110611	Amended
20/03/2013	RES: 080313	Amended
19/03/2014	RES: 130314	Amended
18/03/2015	RES: 130315	Amended
20/07/2005		Adoption of Policy (P12)
20/02/2008	110.11.1-2008	Amended
15/06/2011	RES: 110611	Amended



## FINANCE

### DONATIONS / REQUESTS/ WAIVERS

**Policy No:** F8 **Adopted 31.7.00**  
**Amended: 16 May 2007 159.1.1-2007**  
**Amended: 17 December 2007 91.8.1-2008**  
**Amended: 21 July 2010 Res.090710**  
**Amended: 15 June 2011 – 110611**  
**Amended: 20 March 2013 – 080313**  
**Amended 19 March 2014 – 130314**  
**Reviewed/Updated 18 March 2015 - 130315**

**File Reference:** ADM 0323

### POLICY STATEMENT

- (1) Community groups which seek a donation in excess of \$1000 must make a submission to Council prior to 30 March to ensure their application is considered in the draft Budget.
- (2) That an annual budget allocation be made for lesser donations with the CEO being authorised to approve any donations or waiver of charges requests for amounts less than \$500 while funds are available.
- (3) Council make the following donations or subscriptions on an annual basis if requested
  - Eastern Districts Agricultural Display - \$400.00
  - Koorda & Districts Agricultural Society - \$500.00
  - Koorda Kulja Bush Fire Brigade - \$250.00
  - Koorda Primary School Christmas Tree Party - \$1000.00
  - Koorda Primary School Annual Book Awards - \$50.00
  - Cadoux Primary School Annual Book Awards - \$50.00
  - Kalannie Primary School Annual Book Awards - \$50.00
  - Koorda Tennis Club – that Council make up to \$800 donation on an annual request basis for the Junior Tennis Coaching Programme (if requested)
  - Wyalkatchem Senior High School Annual Book Awards - \$50.00
  - Merredin Visitors Centre – that Council make a donation on an annual request, basis.- Budget 2011/12 \$2,000
  - Seniors Functions – Council to host a luncheon or similar function every year WA seniors’ week or Christmas as decided
  - Australia Day – Shire to host an annual “Meet & Greet” combined with Australia Day Breakfast.
  - Other as Council Determines

Council set aside a financial allocation in their annual budget estimates to fund requests for donations, within parameters to be determined and review their ‘Donations List’ annually.
- (4) The following groups or functions are allowed in Shire Public Building on a donation/ waiver basis:

- (i) Churches and religious groups for provision of services including funerals.
- (ii) Koorda Primary School – during school hours subject to availability.

## **PURPOSE**

For good public relations and to be selective about which requests are debated in Council.

## **COMPLEMENTARY LEGISLATION**

Local Government Act –  
S.6.12 allows a local government to waive or grant concessions in relation to any amount of money other than rates and service charges.



# PROPERTIES

## KOORDA COMMUNITY BUS

**Policy No:** P12

**Adopted:** 20 07 05

**Reviewed:** 20 February 2008 *110.11.1-2008*

*Amended:15 June 2011 - 110611*

**File Reference:** ADM 0323

### **POLICY STATEMENT**

That the Koorda Leisure Group be allowed up to 1000km free hire of the Koorda Community Bus per annum. *Note group to meet fuel costs.*

That Council donate to the Koorda Primary School, for arranged school children activities, the sum of five hundred dollars (\$500.00) per annum as their contribution towards Community Bus hire.

### **PURPOSE**

To clarify use and costs for that use, as Council considers that they should support these bodies, however the Bus must be booked.

# Finance

## Purchasing Policy

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### Objective

The Shire of Koorda (**“the Shire”**) is committed to applying the objectives, principles and practices outlined in this Policy, to all purchasing activity and to ensuring alignment with the Shire’s strategic and operational objectives.

The Shire’s purchasing activities will:

- Achieve best value for money that considers sustainable benefits, such as; environmental, social and local economic factors;
- Foster economic development by maximising participation of local businesses in the delivery of goods and services;
- Use consistent, efficient and accountable purchasing processes and decision-making, including; competitive quotation processes, assessment of best value for money and sustainable procurement outcomes for all purchasing activity, including tender exempt arrangements;
- Apply fair and equitable competitive purchasing processes that engage potential suppliers impartially, honestly and consistently;
- Commit to probity and integrity, including the avoidance of bias and of perceived and actual conflicts of interest;
- Comply with the *Local Government Act 1995*, *Local Government (Functions and General Regulations 1996*, other relevant legislation, Codes of Practice, Standards and the Shire’s Policies and procedures;
- Ensure purchasing outcomes contribute to efficiencies (time and resources) for the Shire;
- Identify and manage risks arising from purchasing processes and purchasing outcomes in accordance with the Shire’s Risk Management framework;
- Ensure records evidence purchasing activities in accordance with the *State Records Act 2000* and the Shire’s Record Keeping Plan;
- Ensure confidentiality that protects commercial-in-confidence information and only releases information where appropriately approved.

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### Policy

This policy applies to all Officers purchasing goods or services on behalf of the Shire and/or using Shire funds. It documents the responsibilities attached to the making purchases on behalf of the Shire.

### Ethics and Integrity

All officers shall observe the highest standards of ethics and integrity in undertaking purchasing activities and act in an honest and professional manner that supports the standing of the Shire.

The Shire’s Code of Conduct apply when undertaking purchasing and decision-making.

Any actual or perceived conflicts of interest are to be identified, disclosed and appropriately managed.

### Value for Money

Value for money shall be the overarching principle governing purchasing and is determined through consideration of price, risk, qualitative and other factors to determine the most advantageous outcome to be achieved for the Shire. The Shire acknowledges that the lowest price may not always provide the best value for money.

An assessment of the best value for money outcome for any purchasing process should consider the following:

- All relevant whole of lifecycle/contract costs and benefits including; transaction costs associated with acquisition, delivery, distribution, and other costs such as, but not limited to; holding costs, consumables, deployment, training, maintenance and disposal;
- The technical merits of the goods or services being offered in terms of compliance with specifications, contractual terms and conditions and any relevant methods of assuring quality. This includes but is not limited to an assessment of compliances, the supplier's resource availability, capacity and capability, value-adds offered, warranties, guarantees, repair and replacement policies and response times, ease of inspection and maintenance, ease of after sales service, ease of communications, etc.
- The supplier's financial viability and capacity to supply without the risk of default, including the competency of the prospective suppliers in terms of managerial and technical capabilities and compliance history;
- A strong element of competition by obtaining a sufficient number of competitive quotations consistent with this Policy, where practicable;
- The safety requirements and standards associated with both the product design and the specification offered by suppliers and the evaluation of risk arising from the supply, operation and maintenance;
- Providing opportunities for local/NEWROC businesses to quote for providing goods and services;
- The environmental, economic and social benefits arising from the goods, services or works required, including consideration of these benefits in regard to the supplier's operations, in accordance with this Policy and any other relevant Shire Policy including Local Economic Benefit; and
- Analysis and management of risks and opportunities that may be associated with the purchasing activity, potential supplier/s and the goods or services required.

### **Authorised Officer Limits**

The following Officers are authorised to sign orders on behalf of Council within the limits stated provided such proposed purchases are contained within the Budget and are within the Officer's area of activity.

<b>Position</b>	<b>Amount</b>
Chief Executive Officer	Unlimited
Deputy Chief Executive Officer	\$75,000
Works Supervisor	\$75,000
Finance Officers	\$5,000

### **Defining the Purchasing Value**

The Shire will apply reasonable and consistent methodologies to assess and determine Purchasing Values, which ensure:

- The appropriate purchasing threshold and practice is applied in all purchasing activities; and
- Wherever possible, purchasing activity for the same category of supply is aggregated into single contract arrangements to achieve best value and efficiency in future purchasing activities where the requirements are able to be provided by a single supplier.

A *category of supply* can be defined as groupings of similar goods or services with common: supply and demand drivers; market characteristics; or suppliers.

### **Strategic Purchasing Value Assessments**

The Local Government will periodically review recent past purchasing activity across its operations to identify categories of supply for which the Shire will have continuing need and which can be aggregated into single contract arrangements in order to achieve best value for money and efficiency in future purchasing activity.

The assessment of aggregated expenditure for the same category of supply capable of being supplied by a single supplier will determine the Purchasing Value threshold applicable to future purchasing activity.

### **Individual Purchasing Value Assessments**

In any case, where there is no relevant current contract, each purchasing activity is to assess the Purchasing Value based upon the following considerations:

- Exclusive of Goods and Services Tax (GST); and
- The estimated total expenditure for the proposed supply including the value of all contract extension options and where applicable, the total cost of ownership considerations.
- The appropriate length of a contract is to be determined based on market volatility, ongoing nature of supply, historical purchasing evidence and estimated future purchasing requirements.
- Requirements must not be split to avoid purchasing or tendering thresholds [F&G Reg. 12].

The calculated estimated Purchasing Value will determine the applicable threshold and purchasing practice to be undertaken.

### **Table of Purchasing Thresholds and Practices**

#### **Supplier Order of Priority**

The Shire will consider and apply, where applicable, the following Supplier Order of Priority:

Priority 1	<b>Existing Contract</b> Current contracts, including a Panel of Prequalified Suppliers (if applicable) or contracted supplier, must be used where the Shire's supply requirements can be met through the existing contract.
Priority 2	<b>Local Suppliers</b> Where the Purchasing Value does not exceed the tender threshold and a relevant local supplier is capable of providing the required supply, the Shire will ensure that wherever possible quotations are obtained from local suppliers permanently located within the Shire/NEWROC area.
Priority 3	<b>Regional Suppliers</b> Where the expected contract value does not exceed the tender threshold and a supplier located within the Wheatbelt region is capable of providing the required goods or services, the Shire shall ensure that wherever possible and appropriate, quotations are obtained from such suppliers.
Priority 4	<b>Other Suppliers</b> Where no existing contract are in place and or suitable local suppliers are identified, the Shire shall consider other suppliers – including those included on a WALGA Preferred Supplier Program (PSP), WA State Government Common Use Arrangement (CUA), other tender-exempt arrangements, and other suppliers.

## Purchasing Thresholds

The following purchasing thresholds apply:

Purchase Value (ex GST)	Purchasing Requirements
Up to \$1,000	A purchase order or quotation are not required for purchases under the threshold for day to day maintenance and supplies from a suitable supplier in accordance with the Supplier Order of Priority detailed in the prior section. Staff are to use professional judgement and discretion to determine if prices or rates are value for money.
From \$1,001 and up to \$5,000	No quotation is required for purchases under the threshold for day to day maintenance and supplies from a suitable supplier in accordance with the Supplier Order of Priority detailed in the prior section. Staff are to use professional judgement and discretion to determine if prices or rates are value for money.
From \$5,001 and up to \$20,000	Obtain at least one (1) written quotation from a suitable supplier in accordance with the Supplier Order of Priority detailed in the prior section.
From \$20,001 and up to \$75,000	Seek at least two (2) written quotations from suitable suppliers in accordance with the Supplier Order of Priority detailed in the prior section.  If purchasing from a tender exempt arrangement, such as a WALGA PSA or State CUA, a minimum of one (1) written quotation is to be obtained.
From \$75,001 and up to \$250,000	Seek at least three (3) written quotations from suitable suppliers by invitation under a formal Request for Quotation in accordance with the Supplier Order of Priority detailed in the prior section.
Over \$250,000	<p><b>Tender Exempt</b> arrangements (i.e. WALGA PSA, CUA or other tender exemption under <i>F&amp;G Reg.11(2)</i>) require at least three (3) written responses from suppliers by invitation under a formal Request for Quotation in accordance with the Supplier Order of Priority detailed in the prior section.</p> <p>OR</p> <p><b>Public Tender</b> undertaken in accordance with the <i>Local Government Act 1995</i> and relevant Shire Policy and procedures.</p> <p>The Tender Exempt or Public Tender purchasing decision is to be based on the supplier's response to:</p> <ul style="list-style-type: none"> <li>• A detailed specification; and</li> <li>• Pre-determined selection criteria that assesses all best and sustainable value considerations.</li> </ul> <p>The purchasing decision is to be evidenced using the Evaluation Report template retained in accordance with the Shire's Record Keeping Plan.</p>



Purchasing Thresholds continued..

Purchase Value (ex GST)	Purchasing Requirements
<p>Emergency Purchases (<i>Within Budget</i>) Refer to Clause 1.4.3</p>	<p>Where goods or services are required for an emergency response and are within scope of an existing contract or established Panel of Pre-qualified Supplier (if applicable), the emergency supply must be obtained from the Panel or existing contract using relevant unallocated budgeted funds.</p> <p>If there is no existing Panel or contract, then Supplier Order of Priority will apply wherever practicable.</p> <p>However, where due to the urgency of the situation; a contracted or tender exempt supplier is unable to provide the emergency supply OR compliance with this Purchasing Policy would cause unreasonable delay, the supply may be obtained from any supplier capable of providing the emergency supply. However, an emergency supply is only to be obtained to the extent necessary to facilitate the urgent emergency response and must be subject to due consideration of best value and sustainable practice.</p> <p>The rationale for policy non-compliance and the purchasing decision must be evidenced in accordance with the Shire's Record Keeping Plan.</p>
<p>Emergency Purchases (<i>No budget allocation available</i>) Refer for Clause 1.4.3</p>	<p>Where no relevant budget allocation is available for an emergency purchasing activity then, in accordance with s.6.8 of the <i>Local Government Act 1995</i>, the President must authorise, in writing, the necessary budget adjustment prior to the expense being incurred.</p> <p>The CEO is responsible for ensuring that an authorised emergency expenditure under s.6.8 is reported to the next ordinary Council Meeting.</p> <p>The Purchasing Practices prescribed for Emergency Purchases (within budget) above, then apply.</p>
<p>LGIS Services Section 9.58(6)(b) Local Government Act</p>	<p>The suite of LGIS insurances are established in accordance with s.9.58(6)(b) of the <i>Local Government Act 1995</i> and are provided as part of a mutual, where WALGA Member Local Governments are the owners of LGIS. Therefore, obtaining LGIS insurance services is available as a member-base service and is not defined as a purchasing activity subject to this Policy.</p> <p>Should Council resolve to seek quotations from alternative insurance suppliers, compliance with this Policy is required.</p>

**Other Purchasing Exemptions**

In addition to the regulatory Tender exemptions for purchasing as set out in Regulation 11(2) of the of the Functions and General Regulations, the following are further exemptions where the Shire is not required to undertake a competitive purchasing process;

- Advance/Prior Payment of Services (for example: accommodation, travel services, entertainment, conferences, seminars, training courses);
- Annual Memberships/Subscriptions;
- Annual Service/Software licensing and Maintenance/Support Fees;
- Employment of temporary staff through temporary personnel service agencies (CEO approval required for any contract exceeding or extended beyond three (3) months);
- Insurance excess;

- Motor vehicle licensing and registration;
- Postage;
- Pre-employment medicals and staff medical services (for example: Annual flu immunisation program)
- Purchases from Original Equipment Manufacture (OEM's) and where warranty provisions may be voided;
- Talent acts for community events;
- Purchasing as required and determined by the CEO providing the approval is provided in writing prior to the purchase and attached to the requisition.

### **Emergency Purchases**

Emergency purchases are defined as the supply of goods or services associated with:

- A local emergency and the expenditure is required (within existing budget allocations) to respond to an imminent risk to public safety, or to protect or make safe property or infrastructure assets; OR
- A local emergency and the expenditure is required (with no relevant available budget allocation) to respond to an imminent risk to public safety, or to protect or make safe property or infrastructure assets in accordance with s.6.8 of the Local Government Act 1995 and Functions and General Regulation 11(2)(a); OR
- A State of Emergency declared under the Emergency Management Act 2005 and therefore, Functions and General Regulations 11(2)(aa), (ja) and (3) apply to vary the application of this policy.

Time constraints, administrative omissions and errors do not qualify for definition as an emergency purchase. Instead, every effort must be made to research and anticipate purchasing requirements in advance and to allow sufficient time for planning and scoping proposed purchases and to then obtain quotes or tenders, as applicable.

### **Inviting Tenders though no required to do so**

The Shire may determine to invite Public Tenders, despite the estimated Purchase Value being less than the \$250,000 prescribed tender threshold, but only where an assessment determines that the purchasing requirement cannot be met through a tender exempt arrangement and the use of a public tender process will enhance; value for money, efficiency, risk mitigation and sustainable procurement benefits.

In such cases, the tender process must comply with the legislative requirements and the Shire's tendering procedures [F&G Reg.13]

### **Expressions of Interest**

Expressions of Interest (EOI) will be considered as a prerequisite to a tender process [F&G Reg.21] where the required supply evidences one or more of the following criteria:

- Unable to sufficiently scope or specify the requirement;
- There is significant variability for how the requirement may be met;
- There is potential for suppliers to offer unique solutions and / or multiple options for how the purchasing requirement may be obtained, specified, created or delivered;
- Subject to a creative element; or
- Provides a procurement methodology that allows for the assessment of a significant number of potential tenderers leading to a shortlisting process based on non-price assessment.

All EOI processes will be based upon qualitative and other non-price information only.

### **Unique Nature of Supply (Sole Supplier)**

The Chief Executive Officer can make an arrangement with a supplier based on the unique nature of the goods or services required or for any other reason, where it is unlikely that there is more than one potential supplier may only be approved where the:

- purchasing value is estimated to be over \$20,000; and
- purchasing requirement has been documented in a detailed specification; and
- specification has been extensively market tested and only one potential supplier has been identified as being capable of meeting the specified purchase requirement; and
- market testing process and outcomes of supplier assessments have been evidenced in records, inclusive of a rationale for why the supply is determined as unique and why quotations / tenders cannot be sourced through more than one potential supplier.

An arrangement of this nature will only be approved for a period not exceeding three (3) years. For any continuing purchasing requirement, the approval must be re-assessed before expiry, to evidence that only one potential supplier still genuinely exists.

### **Anti-Avoidance**

The Shire will not conduct multiple purchasing activities with the intent (inadvertent or otherwise) of "splitting" the purchase value or the contract value, so that the effect is to avoid a particular purchasing threshold or the need to call a Public Tender. This includes the creation of two or more contracts or creating multiple purchase order transactions of a similar nature.

### **Contract Renewals, Extensions and Variations**

Where a contract has been entered into as the result of a publicly invited tender process, then Functions and General Regulation 21A applies. For any other contract, the contract must not be varied unless

- The variation is necessary in order for the goods or services to be supplied and does not change the scope of the contract; or
- The variation is a renewal or extension of the term of the contract where the extension or renewal options were included in the original contract.

Upon expiry of the original contract, and after any options for renewal or extension included in the original contract have been exercised, the Shire is required to review the purchasing requirements and commence a new competitive purchasing process in accordance with this Policy.

### **Sustainable Procurement**

The Shire is committed to implementing sustainable procurement by providing a preference to suppliers that demonstrate sustainable business practices (social advancement, environmental protection and local economic benefits).

The Shire will apply Sustainable Procurement criteria as part of the value for money assessment to ensure that wherever possible our suppliers demonstrate outcomes which contribute to improved environmental, social and local economic outcomes.

Sustainable Procurement can be demonstrated as being internally focussed (i.e. operational environmental efficiencies or employment opportunities and benefits relating to special needs), or externally focussed (i.e. initiatives such as corporate philanthropy).

Requests for Quotation and Tenders will include a request for Suppliers to provide information regarding their sustainable practices and/or demonstrate that their product or service offers enhanced sustainable benefits.



## **Local Economic Benefit**

The Shire promotes economic development through the encouragement of competitive participation in the delivery of goods and services by local suppliers permanently located Shire/NEWROC first, and secondly, those permanently located within the Wheatbelt region. As much as practicable, the Shire will:

- consider buying practices, procedures and specifications that encourage the inclusion of local businesses and the employment of local residents;
- consider indirect benefits that have flow on benefits for local suppliers (i.e. servicing and support);
- ensure that procurement plans, and analysis is undertaken prior to develop Requests to understand local business capability and local content availability where components of goods or services may be sourced from within the District for inclusion in selection criteria;
- explore the capability of local businesses to meet requirements and ensure that Requests for Quotation and Tenders are designed to accommodate the capabilities of local businesses;
- avoid bias in the design and specifications for Requests for Quotation and Tenders – all Requests must be structured to encourage local businesses to bid;
- consider the adoption of Key Performance Indicators (KPIs) within contractual documentation that require successful Contractors to increase the number of employees from the District first; and
- provide adequate and consistent information to local suppliers.

To this extent, a weighted qualitative criterion will be included in the selection criteria for Requests for Quotation and Tenders where suppliers are located within the boundaries of the Shire, or substantially demonstrate a benefit or contribution to the local economy.

The Shire has adopted a Regional Price Preference Policy, which will be applied when undertaking all purchasing activities.

## **Socially Sustainable Procurement**

The Shire will support the purchasing of requirements from socially sustainable suppliers such as Australian Disability Enterprises and Aboriginal businesses wherever a value for money assessment demonstrates benefit towards achieving the Shire's strategic and operational objectives.

A qualitative weighting will be used in the evaluation of Requests for Quotes and Tenders to provide advantages to socially sustainable suppliers in instances where the below tender exemptions are not exercised.

### **Aboriginal Businesses**

*Functions and General Regulation 11(2)(h)* provides a tender exemption if the goods or services are supplied by a person on the Aboriginal Business Directory WA published by the Chamber of Commerce and Industry of Western Australia, or Australian Indigenous Minority Supplier Office Limited (trading as Supply Nation), where the consideration under contract is \$250,000 or less, or worth \$250,000 or less.

The Shire will first consider undertaking a quotation process with other suppliers (which may include other registered Aboriginal Businesses as noted in *F&G Reg.11(2)(h)*) to determine overall value for money for the Shire.

Where the Shire makes a determination to contract directly with an Aboriginal Business for any amount up to and including \$250,000 (ex GST), it must be satisfied through alternative means that the offer truly represents value for money.

If the contract value exceeds \$50,000 (ex GST), a formal Request for Quotation will be issued to the relevant Aboriginal business. The rationale for making the purchasing decision must be recorded in accordance with the Shire's Record Keeping Plan.

### **Australian Disability Enterprises**

*Functions and General Regulation 11(2)(i)* provides a tender exemption if the goods or services are supplied by an Australian Disability Enterprise.

The Shire will first consider undertaking a quotation process with other suppliers (which may include other Australian Disability Enterprises) to determine overall value for money for the Shire.

Where the Shire makes a determination to contract directly with an Australian Disability Enterprise for any amount, including an amount over the Tender threshold of \$250,000 (ex GST), it must be satisfied through alternative means that the offer truly represents value for money.

If the contract value exceeds \$50,000 (ex GST), a formal Request for Quotation will be issued to the relevant Aboriginal business. The rationale for making the purchasing decision must be recorded in accordance with the Shire's Record Keeping Plan.

### **Environmentally Sustainable Procurement**

The Shire will support the purchasing of recycled and environmentally sustainable products whenever a value for money assessment demonstrates benefit toward achieving the Shire's strategic and operational objectives.

Qualitative weighted selection criteria will be used in the evaluation of Requests for Quote and Tenders to provide advantages to suppliers which:

- demonstrate policies and practices that have been implemented by the business as part of its operations;
- generate less waste material by reviewing how supplies, materials and equipment are manufactured, purchased, packaged, delivered, used, and disposed; and
- encourage waste prevention, recycling, market development and use of recycled/recyclable materials.

### **Records Management**

Records of all tenders, quotations, panels and any relevant exemptions must be retained in compliance with the *State Records Act 2000* and the Shire's internal Records Management Policy.

All records and documents associated with the tender, quotation or panel process must be recorded and retained as defined within the *State Records Act 2000* and the Shire's Records Management Policy.

This includes:

- Tender, quotation and panel documentation
- Internal documentation
- Evaluation documentation
- Enquiry and response documentation
- Approval and award documentation
- Order forms and requisitions.

All records and documents associated with Request for Tender or Request for Quotation processes must be reviewed for completeness prior to recording on the Shire's electronic document management system.

## **Purchasing Policy Non-Compliance**

The Purchasing Policy is mandated under the *Local Government Act 1995* and Regulation 11A of the *Local Government (Functions and General) Regulations 1996* and therefore the policy forms part of the legislative framework in which the Local Government is required to conduct business.

Where legislative or policy compliance is not reasonably able to be achieved, records must evidence the rationale and decision making processes that substantiate the non-compliance.

Purchasing activities are subject to internal and external financial and performance audits, which examine compliance with legislative requirements and the Shire's policies and procedures.

If non-compliance with; legislation, this Purchasing Policy or the Code of Conduct, is identified it must be reported to the Chief Executive Officer.

A failure to comply with legislation or policy requirements, including compliance with the Code of Conduct when undertaking purchasing activities, may be subject to investigation, with findings to be considered in context of the responsible person's training, experience, seniority and reasonable expectations for performance of their role.

Where a breach is substantiated it may be treated as:

- an opportunity for additional training to be provided;
- a disciplinary matter, which may or may not be subject to reporting requirements under the *Public Sector Management Act 1994*; or
- where the breach is also identified as potentially serious misconduct, the matter will be reported in accordance with the *Corruption, Crime and Misconduct Act 2003*.

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### **Related Documents (Legislation/Local Law/Policy/Procedure/Delegation)**

*Local Government Act 1995*

*Local Government (Functions and General) Regulations 1996 – Part 4*

*State Records Act 2000*

Delegations Register

Code of Conduct

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### **Review History**

<b>Date</b>	<b>Council Resolution</b>	<b>Description of review/amendment</b>
28/06/2023		Updating of Purchasing Thresholds, Authorised Officer Limits, Sole Supplier Limit. Removal of Pre-qualified Supplier Panels (do not currently use).
<b>Former Policy: F16 Purchasing Policy</b>		
20/03/2007	127.1.1-2007	Adoption of Policy (F16)
20/03/2013	RES: 080313	Amended
18/11/2015	RES: 051115	Amended
15/06/2016	RES: 050616	Amended
16/09/2020	RES: 050920	Re-written based on WALGA Template.



# Purchasing Policy

Adopted 16/09/2020 Resolution No. 050920

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# 1. Purchasing

The Shire of Koorda (the “Shire”) is committed to applying the objectives, principles and practices outlined in this Policy, to all purchasing activity and to ensuring alignment with the Shire’s strategic and operational objectives.

## 1.1 OBJECTIVES

The Shire’s purchasing activities will:

- (a) Achieve best value for money that considers sustainable benefits, such as; environmental, social and local economic factors;
- (b) Foster economic development by maximising participation of local businesses in the delivery of goods and services;
- (c) Use consistent, efficient and accountable purchasing processes and decision-making, including; competitive quotation processes, assessment of best value for money and sustainable procurement outcomes for all purchasing activity, including tender exempt arrangements;
- (d) Apply fair and equitable competitive purchasing processes that engage potential suppliers impartially, honestly and consistently;
- (e) Commit to probity and integrity, including the avoidance of bias and of perceived and actual conflicts of interest;
- (f) Comply with the *Local Government Act 1995*, *Local Government (Functions and General Regulations) 1996*, other relevant legislation, Codes of Practice, Standards and the Shire’s Policies and procedures;
- (g) Ensure purchasing outcomes contribute to efficiencies (time and resources) for the Shire;
- (h) Identify and manage risks arising from purchasing processes and purchasing outcomes in accordance with the Shire’s Risk Management framework;
- (i) Ensure records evidence purchasing activities in accordance with the *State Records Act 2000* and the Shire’s Record Keeping Plan;
- (j) Ensure confidentiality that protects commercial-in-confidence information and only releases information where appropriately approved.

## 1.2 ETHICS & INTEGRITY

The Shire’s Code of Conduct applies when undertaking purchasing activities and decision making, requiring Council Members and employees to observe the highest standards of ethics and integrity and always act in an honest and professional manner.

## 1.3 VALUE FOR MONEY

The Shire will apply value for money principles in critically assessing purchasing decisions and acknowledges that the lowest price may not always be the most advantageous.



### 1.3.1 Assessing Value for Money

Value for money assessment will consider:

- (a) All relevant Total Costs of Ownership (TCO) and benefits including; transaction costs associated with acquisition, delivery, distribution, and other costs such as, but not limited to; holding costs, consumables, deployment, training, maintenance and disposal;
- (b) The technical merits of the goods or services being offered in terms of compliance with specifications, contractual terms and conditions and any relevant methods of assuring quality. This includes but is not limited to an assessment of compliances, the supplier's resource availability, capacity and capability, value-adds offered, warranties, guarantees, repair and replacement policies and response times, ease of inspection and maintenance, ease of after sales service, ease of communications, etc.
- (c) The supplier's financial viability and capacity to supply without the risk of default, including the competency of the prospective suppliers in terms of managerial and technical capabilities and compliance history;
- (d) A strong element of competition by obtaining a sufficient number of competitive quotations consistent with this Policy, where practicable;
- (e) The safety requirements and standards associated with both the product design and the specification offered by suppliers and the evaluation of risk arising from the supply, operation and maintenance;
- (f) The environmental, economic and social benefits arising from the goods, services or works required, including consideration of these benefits in regard to the supplier's operations, in accordance with this Policy and any other relevant Shire Policy including Local Economic Benefit; and
- (g) Analysis and management of risks and opportunities that may be associated with the purchasing activity, potential supplier/s and the goods or services required.

## 1.4 PURCHASING THRESHOLDS AND PRACTICES

### 1.4.1. Defining the Purchasing Value

The Shire will apply reasonable and consistent methodologies to assess and determine Purchasing Values, which ensure:

- (a) The appropriate purchasing threshold and practice is applied in all purchasing activities; and
- (b) Wherever possible, purchasing activity for the same category of supply is aggregated into single contract arrangements to achieve best value and efficiency in future purchasing activities where the requirements are able to be provided by a single supplier.

A **category of supply** can be defined as groupings of similar goods or services with common: supply and demand drivers; market characteristics; or suppliers.

#### 1. Strategic Purchasing Value Assessments

The Shire will periodically review recent past purchasing activity across its operations to identify categories of supply for which the Shire will have continuing need and which can be

aggregated into single contract arrangements in order to achieve best value for money and efficiency in future purchasing activity.

The assessment of aggregated expenditure for the same category of supply capable of being supplied by a single supplier will determine the Purchasing Value threshold applicable to future purchasing activity.

## 2. Individual Purchasing Value Assessments

In any case, where there is no relevant current contract, each purchasing activity is to assess the Purchasing Value based upon the following considerations:

- (a) Exclusive of Goods and Services Tax (GST); and
- (b) The estimated total expenditure for the proposed supply including the value of all contract extension options and where applicable, the total cost of ownership considerations.
- (c) The appropriate length of a contract is to be determined based on market volatility, ongoing nature of supply, historical purchasing evidence and estimated future purchasing requirements.
- (d) Requirements must not be split to avoid purchasing or tendering thresholds [F&G Reg. 12].

The calculated estimated Purchasing Value will determine the applicable threshold and purchasing practice to be undertaken.

### 1.4.2. Table of Purchasing Thresholds and Practices

#### (1) Supplier Order of Priority

The Shire will consider and apply, where applicable, the following Supplier Order of Priority:

<b>Priority 1:</b>	<b>Existing Prequalified Supplier Panel or other Contract</b>  Current contracts, including a Panel of Prequalified Suppliers or contracted supplier, must be used where the Shire's supply requirements can be met through the existing contract.  If the Shire does not have a current contract relevant to the required supply, then a relevant WALGA PSA is to be used.
<b>Priority 2:</b>	<b>Local Suppliers</b>  Where the Purchasing Value does not exceed the tender threshold and a relevant local supplier is capable of providing the required supply, the Shire will ensure that wherever possible quotations are obtained from local suppliers permanently located within the District as a first priority, and those permanently located within surrounding Districts as the second priority.



	<p>If no relevant local supplier is available, then a relevant WALGA PSA may be used.</p>
<b>Priority 3:</b>	<p><b>Tender Exempt - WALGA Preferred Supplier Arrangement (PSA)</b></p> <p>Use a relevant WALGA PSA regardless of whether or not the Purchasing Value will exceed the tender threshold.</p> <p>However, if a relevant PSA exists but an alternative supplier is considered to provide best value, then the CEO, or an officer authorised by the CEO, must approve the alternative supplier. Reasons for not using a PSA may include:</p> <ol style="list-style-type: none"> <li>i. Local supplier availability (that are not within the PSA); or,</li> <li>ii. Social procurement – preference to use Aboriginal business or Disability Enterprise.</li> </ol> <p>If no relevant WALGA PSA is available, then a relevant State Government CUA may be used.</p>
<b>Priority 4:</b>	<p><b>Tender Exempt - WA State Government Common Use Arrangement (CUA)</b></p> <p>Use a relevant CUA regardless of whether or not the Purchasing Value will exceed the tender threshold.</p> <p>However, if a relevant CUA exists, but an alternative supplier is considered to provide best value for money, then the proposed alternative supplier must be approved by the CEO, or an officer authorised by the CEO.</p> <p>If no relevant CUA is available, then a Tender Exempt <i>[F&amp;G Reg.11(2)]</i> arrangement may be used.</p>
<b>Priority 5:</b>	<p><b>Other Tender Exempt arrangement <i>[F&amp;G Reg. 11(2)]</i></b></p> <p>Regardless of whether or not the Purchasing Value will exceed the tender threshold, the Shire will investigate and seek quotations from tender exempt suppliers, and will specifically ensure that wherever possible quotations are obtained from a WA Disability Enterprise and / or an Aboriginal Owned Business that is capable of providing the required supply.</p>

<b>Priority 6:</b>	<p><b><u>Other Suppliers</u></b></p> <p>Where there is no relevant existing contract or tender exempt arrangement available, purchasing activity from any other supplier is to be in accordance with relevant Purchasing Value Threshold and Purchasing Practice specified in the table below.</p>
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## (2) Purchasing Practice Purchasing Value Thresholds

The Purchasing Value, assessed in accordance with clause 1.4.1, determines the Purchasing Practice to be applied to the Shire's purchasing activities.

<b>Purchase Value Threshold (ex GST)</b>	<b>Purchasing Practice</b>
Up to \$5,000 (ex GST)	<p>Obtain at least one (1) verbal or written quotation from a suitable supplier in accordance with the Supplier Order of Priority detailed in clause 1.4.2(1).</p> <p>The purchasing decision is to be evidenced in accordance with the Shire's Record Keeping Plan.</p>
From \$5,001 and up to \$20,000 (ex GST)	<p>Seek at least three (3) verbal or written quotations from suitable suppliers in accordance with the Supplier Order of Priority detailed in clause 1.4.2(1).</p> <p>If purchasing from a WALGA PSA, CUA or other tender exempt arrangement, a minimum of one (1) written quotation is to be obtained.</p> <p>The purchasing decision is to be based upon assessment of the supplier's response to:</p> <ul style="list-style-type: none"> <li>• a brief outline of the specified requirement for the goods; services or works required; and</li> <li>• Value for Money criteria, not necessarily the lowest price.</li> </ul> <p>The purchasing decision is to be evidenced using the Brief Evaluation Report Template retained in accordance with the Shire's Record Keeping Plan.</p>
From \$20,001 and up to \$50,000 (ex GST)	<p>Seek at least three (3) written quotations from suitable suppliers in accordance with the Supplier Order of Priority detailed in clause 1.4.2(1) except if purchasing from a WALGA PSA, CUA or other tender exempt arrangement, where a minimum of one (1) written quotation is to be obtained.</p> <p>The purchasing decision is to be based upon assessment of the suppliers' responses to:</p> <ul style="list-style-type: none"> <li>• a brief outline of the specified requirement for the goods; services or works required; and</li> <li>• Value for Money criteria, not necessarily the lowest quote.</li> </ul>

<b>Purchase Value Threshold</b> <i>(ex GST)</i>	<b>Purchasing Practice</b>
	<p>The purchasing decision is to be evidenced using the Brief Evaluation Report Template retained in accordance with the Shire's Record Keeping Plan.</p>
<p>From \$50,001 and up to \$250,000 <i>(ex GST)</i></p>	<p>Seek at least three (3) written responses from suppliers by invitation under a formal Request for Quotation in accordance with the Supplier Order of Priority detailed in clause 1.4.2(1).</p> <p>The purchasing decision is to be based upon assessment of the supplier's response to:</p> <ul style="list-style-type: none"> <li>• a detailed written specification for the goods, services or works required; and</li> <li>• pre-determined selection criteria that assesses all best and sustainable value considerations.</li> </ul> <p>The procurement decision is to be evidenced using the Evaluation Report template retained in accordance with the Shire's Record Keeping Plan.</p>
<p>Over \$250,000 <i>(ex GST)</i></p>	<p><b>Tender Exempt</b> arrangements (i.e. WALGA PSA, CUA or other tender exemption under <i>F&amp;G Reg.11(2)</i>) require at least three (3) written responses from suppliers by invitation under a formal Request for Quotation in accordance with the Supplier Order of Priority detailed in clause 1.4.2(1).</p> <p><u>OR</u></p> <p><b>Public Tender</b> undertaken in accordance with the <i>Local Government Act 1995</i> and relevant Shire Policy and procedures.</p> <p>The Tender Exempt or Public Tender purchasing decision is to be based on the supplier's response to:</p> <ul style="list-style-type: none"> <li>• A detailed specification; and</li> <li>• Pre-determined selection criteria that assesses all best and sustainable value considerations.</li> </ul> <p>The purchasing decision is to be evidenced using the Evaluation Report template retained in accordance with the Shire's Record Keeping Plan.</p>
<p>Emergency Purchases <i>(Within Budget)</i></p> <p>Refer to Clause 1.4.3</p>	<p>Where goods or services are required for an emergency response and are within scope of an established Panel of Pre-qualified Supplier or existing contract, the emergency supply must be obtained from the Panel or existing contract using relevant unallocated budgeted funds.</p> <p>If there is no existing Panel or contract, then clause 1.4.2(1) Supplier Order of Priority will apply wherever practicable.</p> <p>However, where due to the urgency of the situation; a contracted or tender exempt supplier is unable to provide the emergency supply <u>OR</u> compliance with this Purchasing Policy would cause unreasonable delay, the supply may be obtained from any supplier capable of providing the emergency supply. However, an emergency supply is only to be obtained to the extent necessary to facilitate the urgent emergency response and must be subject to due consideration of best value and sustainable practice.</p>

Purchase Value Threshold (ex GST)	Purchasing Practice
	The rationale for policy non-compliance and the purchasing decision must be evidenced in accordance with the Shire's Record Keeping Plan.
Emergency Purchases (No budget allocation available)  Refer for Clause 1.4.3	Where no relevant budget allocation is available for an emergency purchasing activity then, in accordance with s.6.8 of the <i>Local Government Act 1995</i> , the President must authorise, in writing, the necessary budget adjustment prior to the expense being incurred.  The CEO is responsible for ensuring that an authorised emergency expenditure under s.6.8 is reported to the next ordinary Council Meeting.  The Purchasing Practices prescribed for Emergency Purchases (within budget) above, then apply.
LGIS Services  Section 9.58(6)(b)  Local Government Act	The suite of LGIS insurances are established in accordance with s.9.58(6)(b) of the <i>Local Government Act 1995</i> and are provided as part of a mutual, where WALGA Member Local Governments are the owners of LGIS. Therefore, obtaining LGIS insurance services is available as a member-base service and is not defined as a purchasing activity subject to this Policy.  Should Council resolve to seek quotations from alternative insurance suppliers, compliance with this Policy is required.

### 1.4.3. Emergency Purchases

Emergency purchases are defined as the supply of goods or services associated with:

- (a) A local emergency and the expenditure is required (within existing budget allocations) to respond to an imminent risk to public safety, or to protect or make safe property or infrastructure assets; OR
- (b) A local emergency and the expenditure is required (with no relevant available budget allocation) to respond to an imminent risk to public safety, or to protect or make safe property or infrastructure assets in accordance with s.6.8 of the *Local Government Act 1995* and Functions and General Regulation 11(2)(a); OR
- (c) A State of Emergency declared under the *Emergency Management Act 2005* and therefore, Functions and General Regulations 11(2)(aa), (ja) and (3) apply to vary the application of this policy.

Time constraints, administrative omissions and errors do not qualify for definition as an emergency purchase. Instead, every effort must be made to research and anticipate purchasing requirements in advance and to allow sufficient time for planning and scoping proposed purchases and to then obtain quotes or tenders, as applicable.

### 1.4.4. Inviting Tenders Though not Required to do so

The Shire may determine to invite Public Tenders, despite the estimated Purchase Value being less than the \$250,000 prescribed tender threshold, but only where an assessment

determines that the purchasing requirement cannot be met through a tender exempt arrangement and the use of a public tender process will enhance; value for money, efficiency, risk mitigation and sustainable procurement benefits.

In such cases, the tender process must comply with the legislative requirements and the Shire's tendering procedures [F&G Reg.13].

#### **1.4.5. Expressions of Interest**

Expressions of Interest (EOI) will be considered as a prerequisite to a tender process [F&G Reg.21] where the required supply evidences one or more of the following criteria:

- (a) Unable to sufficiently scope or specify the requirement;
- (b) There is significant variability for how the requirement may be met;
- (c) There is potential for suppliers to offer unique solutions and / or multiple options for how the purchasing requirement may be obtained, specified, created or delivered;
- (d) Subject to a creative element; or
- (e) Provides a procurement methodology that allows for the assessment of a significant number of potential tenderers leading to a shortlisting process based on non-price assessment.

All EOI processes will be based upon qualitative and other non-price information only.

#### **1.4.6. Unique Nature of Supply (Sole Supplier)**

An arrangement with a supplier based on the unique nature of the goods or services required or for any other reason, where it is unlikely that there is more than one potential supplier may only be approved where the:

- (a) purchasing value is estimated to be over \$5,000; and
- (b) purchasing requirement has been documented in a detailed specification; and
- (c) specification has been extensively market tested and only one potential supplier has been identified as being capable of meeting the specified purchase requirement; and
- (d) market testing process and outcomes of supplier assessments have been evidenced in records, inclusive of a rationale for why the supply is determined as unique and why quotations / tenders cannot be sourced through more than one potential supplier.

An arrangement of this nature will only be approved for a period not exceeding one (1) year. For any continuing purchasing requirement, the approval must be re-assessed before expiry, to evidence that only one potential supplier still genuinely exists.

#### **1.4.7. Anti-Avoidance**

The Shire will not conduct multiple purchasing activities with the intent (inadvertent or otherwise) of "splitting" the purchase value or the contract value, so that the effect is to avoid a particular purchasing threshold or the need to call a Public Tender. This includes the creation of two or more contracts or creating multiple purchase order transactions of a similar nature.

### **1.4.8. Contract Renewals, Extensions and Variations**

Where a contract has been entered into as the result of a publicly invited tender process, then *Functions and General Regulation 21A* applies.

For any other contract, the contract must not be varied unless

- (a) The variation is necessary in order for the goods or services to be supplied and does not change the scope of the contract; or
- (b) The variation is a renewal or extension of the term of the contract where the extension or renewal options were included in the original contract.

Upon expiry of the original contract, and after any options for renewal or extension included in the original contract have been exercised, the Shire is required to review the purchasing requirements and commence a new competitive purchasing process in accordance with this Policy.

## **2. Sustainable Procurement**

The Shire is committed to implementing sustainable procurement by providing a preference to suppliers that demonstrate sustainable business practices (social advancement, environmental protection and local economic benefits).

The Shire will apply Sustainable Procurement criteria as part of the value for money assessment to ensure that wherever possible our suppliers demonstrate outcomes which contribute to improved environmental, social and local economic outcomes.

Sustainable Procurement can be demonstrated as being internally focussed (i.e. operational environmental efficiencies or employment opportunities and benefits relating to special needs), or externally focussed (i.e. initiatives such as corporate philanthropy).

Requests for Quotation and Tenders will include a request for Suppliers to provide information regarding their sustainable practices and/or demonstrate that their product or service offers enhanced sustainable benefits.

### **2.1. LOCAL ECONOMIC BENEFIT**

The Shire promotes economic development through the encouragement of competitive participation in the delivery of goods and services by local suppliers permanently located within its District first, and secondly, those permanently located within its broader region. As much as practicable, the Shire will:

- (a) consider buying practices, procedures and specifications that encourage the inclusion of local businesses and the employment of local residents;
- (b) consider indirect benefits that have flow on benefits for local suppliers (i.e. servicing and support);
- (c) ensure that procurement plans, and analysis is undertaken prior to develop Requests to understand local business capability and local content availability where components of goods or services may be sourced from within the District for inclusion in selection criteria;

- (d) explore the capability of local businesses to meet requirements and ensure that Requests for Quotation and Tenders are designed to accommodate the capabilities of local businesses;
- (e) avoid bias in the design and specifications for Requests for Quotation and Tenders – all Requests must be structured to encourage local businesses to bid;
- (f) consider the adoption of Key Performance Indicators (KPIs) within contractual documentation that require successful Contractors to increase the number of employees from the District first; and
- (g) provide adequate and consistent information to local suppliers.

To this extent, a weighted qualitative criterion will be included in the selection criteria for Requests for Quotation and Tenders where suppliers are located within the boundaries of the Shire, or substantially demonstrate a benefit or contribution to the local economy.

The Shire has adopted a Regional Price Preference Policy, which will be applied when undertaking all purchasing activities.

## **2.2. SOCIALLY SUSTAINABLE PROCUREMENT**

The Shire will support the purchasing of requirements from socially sustainable suppliers such as Australian Disability Enterprises and Aboriginal businesses wherever a value for money assessment demonstrates benefit towards achieving the Shire's strategic and operational objectives.

A qualitative weighting will be used in the evaluation of Requests for Quotes and Tenders to provide advantages to socially sustainable suppliers in instances where the below tender exemptions are not exercised.

### **(1) Aboriginal Businesses**

*Functions and General Regulation 11(2)(h)* provides a tender exemption if the goods or services are supplied by a person on the Aboriginal Business Directory WA published by the Chamber of Commerce and Industry of Western Australia, or Australian Indigenous Minority Supplier Office Limited (trading as Supply Nation), where the consideration under contract is \$250,000 or less, or worth \$250,000 or less.

The Shire will first consider undertaking a quotation process with other suppliers (which may include other registered Aboriginal Businesses as noted in *F&G Reg.11(2)(h)*) to determine overall value for money for the Shire.

Where the Shire makes a determination to contract directly with an Aboriginal Business for any amount up to and including \$250,000 (ex GST), it must be satisfied through alternative means that the offer truly represents value for money.

If the contract value exceeds \$50,000 (ex GST), a formal Request for Quotation will be issued to the relevant Aboriginal business. The rationale for making the purchasing decision must be recorded in accordance with the Shire's Record Keeping Plan.

## **(2) Australian Disability Enterprises**

*Functions and General Regulation 11(2)(i)* provides a tender exemption if the goods or services are supplied by an Australian Disability Enterprise.

The Shire will first consider undertaking a quotation process with other suppliers (which may include other Australian Disability Enterprises) to determine overall value for money for the Shire.

Where the Shire makes a determination to contract directly with an Australian Disability Enterprise for any amount, including an amount over the Tender threshold of \$250,000 (ex GST), it must be satisfied through alternative means that the offer truly represents value for money.

If the contract value exceeds \$50,000 (ex GST), a formal Request for Quotation will be issued to the relevant Aboriginal business. The rationale for making the purchasing decision must be recorded in accordance with the Shire's Record Keeping Plan.

## **2.3. ENVIRONMENTALLY SUSTAINABLE PROCUREMENT**

The Shire will support the purchasing of recycled and environmentally sustainable products whenever a value for money assessment demonstrates benefit toward achieving the Shire's strategic and operational objectives.

Qualitative weighted selection criteria will be used in the evaluation of Requests for Quote and Tenders to provide advantages to suppliers which:

- (a) demonstrate policies and practices that have been implemented by the business as part of its operations;
- (b) generate less waste material by reviewing how supplies, materials and equipment are manufactured, purchased, packaged, delivered, used, and disposed; and
- (c) encourage waste prevention, recycling, market development and use of recycled/recyclable materials.

# **3. Panels of Pre-qualified Suppliers**

## **3.1. OBJECTIVES**

The Shire will consider creating a Panel of Pre-qualified Suppliers ("Panel") when a range of similar goods and services are required to be purchased on a continuing and regular basis.

Part of the consideration of establishing a panel includes:

- (a) there are numerous potential suppliers in the local and regional procurement related market sector(s) that satisfy the test of 'value for money';
- (b) the Panel will streamline and will improve procurement processes; and
- (c) the Shire has the capability to establish a Panel and manage the risks and achieve the benefits expected of the proposed Panel through a Contract Management Plan.



## 3.2. ESTABLISHING AND MANAGING A PANEL

If the Shire decides that a Panel is to be created, it will establish the panel in accordance with the Regulations.

Panels will be established for one supply requirement, or a number of similar supply requirements under defined categories. This will be undertaken through an invitation procurement process advertised via a state-wide notice.

Panels may be established for a maximum of three (3) years. The length of time of a Local Panel is decided with the approval of the CEO/ Executive Director.

Evaluation criteria will be determined and communicated in the application process by which applications will be assessed and accepted.

In each invitation to apply to become a pre-qualified supplier, the Shire will state the expected number of suppliers it intends to put on the panel.

If a Panel member leaves the Panel, the Shire will consider replacing that organisation with the next ranked supplier that meets/exceeds the requirements in the value for money assessment – subject to that supplier agreeing. The Shire will disclose this approach in the detailed information when establishing the Panel.

A Panel contract arrangement needs to be managed to ensure that the performance of the Panel Contract and the Panel members under the contract are monitored and managed. This will ensure that risks are managed and expected benefits are achieved. A Contract Management Plan should be established that outlines the requirements for the Panel Contract and how it will be managed.

## 3.3. DISTRIBUTING WORK AMONGST PANEL MEMBERS

To satisfy Regulation 24AD(5) of the Regulations, when establishing a Panel of pre-qualified suppliers, the detailed information associated with each invitation to apply to join the Panel will prescribe one of the following as to whether the Shire intends to:

- (a) obtain quotations from each pre-qualified supplier on the Panel with respect to all discreet purchases; or
- (b) purchase goods and services exclusively from any pre-qualified supplier appointed to that Panel, and under what circumstances; or
- (c) develop a ranking system for selection to the Panel, with work awarded in accordance with the Regulations.

In considering the distribution of work among Panel members, the detailed information will also prescribe whether:

- (a) each Panel member will have the opportunity to bid for each item of work under the Panel, with pre-determined evaluation criteria forming part of the invitation to quote to assess the suitability of the supplier for particular items of work. Contracts under the pre-qualified panel will be awarded on the basis of value for money in every instance; or
- (b) work will be awarded on a ranked basis, which is to be stipulated in the detailed information set out under *Functions and General Regulation 24AD(5)(f)* when establishing the Panel.

- i. The Shire will invite the highest ranked Panel member, who is to give written notice as to whether to accept the offer for the work to be undertaken.
- ii. Should the offer be declined, an invitation to the next ranked Panel member is to be made and so forth until a Panel member accepts a Contract.
- iii. Should the list of Panel members invited be exhausted with no Panel member accepting the offer to provide goods/services under the Panel, the Shire may then invite suppliers that are not pre-qualified under the Panel, in accordance with the Purchasing Thresholds stated in clause 1.4.2(2) of this Policy.
- iv. When a ranking system is established, the Panel will not operate for a period exceeding 12 months.

In every instance, a contract must not be formed with a pre-qualified supplier for an item of work beyond 12 months, which includes options to extend the contract.

### **3.4. PURCHASING FROM THE PANEL**

The invitation to apply to be considered to join a panel of pre-qualified suppliers must state whether quotations are either to be invited to every Panel member (within each category, if applicable) of the Panel for each purchasing requirement, whether a ranking system is to be established, or otherwise.

### **3.5. COMMUNICATIONS WITH PANEL MEMBERS**

The Shire will ensure clear, consistent and regular communication with Panel Members.

Each quotation process, including the invitation to quote, communications with Panel members, quotations received, evaluation of quotes and notification of award communications must all be captured in accordance with the Shire's Record Keeping Plan. A separate file is to be maintained for each quotation process made under each Panel that captures all communications between the Shire and Panel members.

## **4. Record Keeping**

All Local Government purchasing activity, communications and transactions must be evidenced and retained as local government records in accordance with the *State Records Act 2000* and the Shire's Record Keeping Plan.

In addition, the Shire must consider and will include in each contract for the provision of works or services, the contractor's obligations for creating, maintaining and where necessary the transferral of records to the Shire relevant to the performance of the contract.

## **5. Purchasing Policy Non-Compliance**

The Purchasing Policy is mandated under the *Local Government Act 1995* and Regulation 11A of the *Local Government (Functions and General) Regulations 1996* and therefore the policy forms part of the legislative framework in which the Local Government is required to conduct business.

Where legislative or policy compliance is not reasonably able to be achieved, records must evidence the rationale and decision making processes that substantiate the non-compliance.

Purchasing activities are subject to internal and external financial and performance audits, which examine compliance with legislative requirements and the Shire's policies and procedures.

If non-compliance with; legislation, this Purchasing Policy or the Code of Conduct, is identified it must be reported to the Chief Executive Officer.

A failure to comply with legislation or policy requirements, including compliance with the Code of Conduct when undertaking purchasing activities, may be subject to investigation, with findings to be considered in context of the responsible person's training, experience, seniority and reasonable expectations for performance of their role.

Where a breach is substantiated it may be treated as:

- (a) an opportunity for additional training to be provided;
- (b) a disciplinary matter, which may or may not be subject to reporting requirements under the *Public Sector Management Act 1994*; or
- (c) where the breach is also identified as potentially serious misconduct, the matter will be reported in accordance with the *Corruption, Crime and Misconduct Act 2003*.

# Governance & Compliance

## Development, Review and Amendment of Policies

### Objective

- To ensure with regular reviews that policies remain up to date and relevant and that new policies or changes to existing policies are correctly recorded and approved.
- To enable the effective and efficient management of Council resources, and to assist staff and Council to achieve an equitable decision-making process.
- To enable the community to be aware of the reasoning behind administrative and Council decisions; and to be familiar with the philosophy behind individual decisions.

### Policy

#### Definitions

TERM	DEFINITION
<b>Policy</b>	<p>A principle or value which represents Council's view on a matter and determines the way in which a matter is dealt with.</p> <p>Policies will generally only be developed if they will further the achievement of the Shire's strategic goals or contribute to the fulfilment of mandatory obligations. They are intended to give guidance to staff on what is permissible when dealing with certain matters. They guide the discretionary part of Council's decision making and form an essential step in the delegation of the Shire's powers and duties.</p>
<b>Management Practice</b>	<p>A series of actions conducted in a certain order or manner to perform a task.</p> <p>Management practices represent the strategies and actions by which a policy is implemented and may detail the steps and processes to be observed by staff.</p> <p>Management practices are a function of management and are subject to review at any time according to circumstances, to ensure that policies are being implemented in a correct, efficient and effective manner.</p>

#### Policy Manual overview

Users should be mindful of the fact that, in simple terms:

- Policy provides what can be done;
- Procedures provide for how to do it;
- Delegation provides for who can do it.

It is important to note that the Shire's adopted policies have been made to facilitate:

- Consistency and equity in decision making;
- Promptness in responding to customer needs; and
- Operational efficiency.

Policies are determined by Council and may be amended or waived according to circumstances.

This power is conveyed to Council in section 2.7(2)(b) of the *Local Government Act 1995*. Policies cannot be made in relation to those powers and duties given directly to the CEO by the Act.

The objectives of the Council's Policy Manual are:

- to provide Council with a formal written record of all policy decisions;
- to provide the staff with clear direction to enable them to respond to issues and act in accordance with Council's general direction;
- to enable Councillors to adequately handle enquiries from electors without undue reference to the staff or the Shire;
- to enable Council to maintain a continual review of Council policy decisions and to ensure they are in keeping with community expectations, current trends and circumstances;
- to enable electors to obtain immediate advice on matters of Council Policy.
- Policies are to relate to issues of an on-going nature; policy decisions on single issues are not to be recorded in the manual.

Policies should not be confused with management practices or operational procedures, which are determined by the CEO, as a mechanism for good management, and implementation of council policies.

### **Policy Manual Changes**

Policies should be developed, reviewed or amended to ensure community expectations, current trends and circumstances have been considered.

At a minimum, Council will conduct a complete review of all policies at least every two years. It is suggested the review takes place in the March, following each October election year.

A copy of the Policy Manual, together with details of variations as they occur, shall be distributed to all Councillors and appropriate staff. The manuals are to remain the property of the Shire.

Changes to Council Policy shall be made only on;

- The outcome of the scheduled review; or
- An agenda item clearly setting out details of the proposed amendment.

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### **Related Documents (Legislation/Local Law/Policy/Procedure/Delegation)**

Local Government Act 1995, s2.7(2)(b)

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### **Review History**

<b>Date</b>	<b>Council Resolution</b>	<b>Description of review/amendment</b>
28/06/2023		Policy amended to include further back ground and definition between policies, procedures and delegations.
<b>Former Policy: A15 Policy Change and Review</b>		
19/07/2000		Adoption of Policy (A15)
15/06/2011	RES: 110611	Amended
19/03/2016	RES: 130314	Amended



# Governance & Compliance

## Fraud and Corruption Control

### Objective

To articulate the Shire of Koorda's ("the Shire's") commitment to a zero-tolerance attitude to fraud and corrupt conduct in the performance of its functions.

### Policy

This policy applies to –

- elected members, external committee members and employees of the Shire, including volunteers and trainees;
- contractors, consultants and suppliers who provide goods or services to the Shire; and
- members of the public who may have business or other dealings with the Shire.

### Definitions

TERM	DEFINITION
<b>Fraud</b>	<p>Dishonest activity causing actual or potential financial loss to any person or entity, including theft of monies or other property by elected members, employees or persons external to the entity and where deception is used at the time immediately before or immediately following the activity Page 2 of 5 (<i>Australian Standard AS8001 – 2008 Fraud and Corruption Control</i>).</p> <p>Fraud can include –</p> <ul style="list-style-type: none"><li>• Deliberate falsification, concealment, destruction or use of falsified documentation;</li><li>• Improper use of information or abuse of position for personal financial benefit;</li><li>• Misappropriation of assets;</li><li>• Manipulation of financial reporting.</li></ul>
<b>Corruption</b>	<p>Dishonest activity in which an elected member, employee or contractor of the entity acts contrary to the interests of the entity and abuses their position of trust in order to achieve personal gain or advantage for themselves or for another person or organisation. The concept of "corruption" can also involve corrupt conduct by the entity, or a person purporting to act on behalf of and in the interests of the entity, in order to secure some form of improper advantage for the entity (<i>Australian Standard AS8001 – 2008 Fraud and Corruption Control</i>).</p> <p>Corruption is any deliberate or intentional wrongdoing that is improper, dishonest and fraudulent and may include –</p> <ul style="list-style-type: none"><li>• Concealed or undisclosed conflict of interest;</li><li>• Failure to disclose acceptance of gifts or hospitality;</li><li>• Acceptance of a bribe;</li><li>• Misuse of internet or email;</li><li>• Release of confidential information or intellectual property.</li></ul>

The Shire of Koorda is committed to an organisational culture that promotes a high standard of ethical and professional behaviour, consistent with its Code of Conduct.



The Shire takes a zero-tolerance approach to fraudulent and corrupt conduct.

Any reported or suspected acts of fraud or corruption will be thoroughly investigated. An objective and impartial investigation will be conducted regardless of the position, title, length of service or standing of any person who becomes the subject of such investigation.

In all circumstances where the Shire's investigation indicates that serious fraudulent or corrupt activity may have occurred, the matter will be reported to the appropriate authority: Public Sector Commission, Corruption and Crime Commission and/or WA Police.

Any person who detects suspected or actual fraud or corruption is strongly encouraged to report such conduct. No detrimental action will be taken against a person acting in good faith, unless that person is also involved in the fraudulent or corrupt activity.

### **Fraud and Corruption Control**

This policy details the Shire's approach fraud and corruption prevention, detection and response.

#### **Roles and responsibilities**

<b>Role</b>	<b>Responsibility</b>
<b>Council</b>	<ul style="list-style-type: none"> <li>• Adopts the Fraud and Corruption policy.</li> <li>• Adheres to the Fraud and Corruption policy.</li> </ul>
<b>Chief Executive Officer</b>	<ul style="list-style-type: none"> <li>• Legislated responsibility to exercise authority on behalf of the Shire.</li> <li>• Overall accountability for prevention and detection of fraud and corruption in the workplace.</li> <li>• Ensures integrity and accountability in the performance of the Shire's functions.</li> <li>• Responsibility for the effective and efficient use of the Shire's resources.</li> <li>• Promotes continuous evaluation and improvement of the Shire's management practices.</li> <li>• Notifies the Corruption and Crime Commission or Public Sector Commission if misconduct is suspected.</li> <li>• Provides accurate and timely advice to the Audit and Risk Committee on fraud and corruption matters.</li> <li>• Ensures training and awareness programs are designed to assist employees and contractors to identify, prevent, detect and report fraud and corruption.</li> <li>• Ensures the policy is reviewed biennially.</li> <li>• Investigate disclosures under the <i>Public Interest Disclosure Act 2003</i>.</li> </ul>
<b>Executive Management Team</b>	<ul style="list-style-type: none"> <li>• Oversees implementation and continued monitoring of the fraud and corruption policy.</li> <li>• Encourage and maintain a culture and working environment that fosters personal responsibility, integrity and accountability.</li> <li>• Model the highest standards of integrity and ethical behaviour, consistent with the Code of Conduct.</li> <li>• Ensure effective employee communication about the process for identifying and reporting potential fraudulent and corrupt activities.</li> </ul>
<b>Audit and Risk Committee</b>	<ul style="list-style-type: none"> <li>• Oversight of risk management, including fraud and corruption control.</li> <li>• Review governance processes to ensure all matters</li> </ul>



	<p>relating to alleged fraud and corruption or unethical conduct are managed appropriately.</p> <ul style="list-style-type: none"> <li>• Review the Shire's risk dashboard for identifying, monitoring and managing business risk, including risks associated with fraud and corruption.</li> <li>• Review the Internal Audit Plan annually to ensure it covers fraud and corruption risks.</li> </ul>
<b>All Employees</b>	<ul style="list-style-type: none"> <li>• Understand responsibilities associated with performing their official duties and commit to acting ethically and with integrity in accordance with the Shire's Code of Conduct and relevant policies and procedures.</li> <li>• Undertake awareness training and education.</li> <li>• Report all suspected or actual incidents of fraud and corruption that they may be aware of to a line manager and/or director.</li> </ul>

### Prevention

Robust internal controls and systems are a prime defence mechanism against fraud and corruption. The Shire of Koorda demonstrates these by –

- Adopting a Code of Conduct, which reinforces a commitment to a high standard of integrity and accountability by demonstrating professional behaviours consistent with the Shire's values. The Code of Conduct covers fraud and corruption.
- A commitment from the Executive Leadership Team to be role models and demonstrate ethical and accountable behaviour in their actions.
- Ensuring effective management of conflicts of interest in accordance with the Shire's Conflict of Interest Guidelines.
- Establishing effective reporting mechanisms and protection for employees making disclosures about fraud and corruption activities.
- Promoting, practicing and adhering to risk management policies and procedures, ensuring risk assessments are conducted and regularly reviewed and controls developed to address identified risks as required.
- Pre-employment screening to verify qualifications, suitability and experience of a potential candidate for employment.
- Thorough screening of suppliers to verify credentials and stringent assessment of grant recipients.

### Detection

The Shire of Koorda has the following measures in place to identify and detect incidents of fraud and/or corruption –

- Risk management system to identify, analyse, evaluate and treat risk, including corruption and fraud;
- Segregation of duties in high risk areas (finance, procurement, contract management, regulatory functions etc.);
- Regular reviews and checks to detect irregularities in high risk areas;
- Reconciliations (payroll, accounts payable);
- Analysis of management accounts and financial statements;
- Delegations manual;
- IT system controls (access restrictions, strong passwords etc.);
- Internal audit plan covers high risk fraud areas (procurement, credit cards etc.); and
- Public Interest Disclosure.

### Response

- All reports of suspected fraud or corruption will be investigated by the Chief Executive Officer.

- Immediate action will be taken to preserve relevant evidence from theft, removal, alteration or destruction. Evidence includes but is not limited to documents and IT (computers, laptops, portable devices, system access etc.).
- Appropriate action will be taken, which may include disciplinary action and/or referral to an external agency (CCC, Public Sector Commission or Police).
- Confidentiality will be maintained throughout this process.
- In each instance where fraud or corruption is detected, the Chief Executive Officer will instruct the Deputy CEO to reassess the adequacy of internal control systems, particularly those directly relating to the fraud and corruption incident and recommend improvements where necessary.

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**Related Documents (Legislation/Local Law/Policy/Procedure/Delegation)**

*Local Government Act 1995*

*Local Government (Rules of Conduct) Regulations 2007*

*Public Interest Disclosure Act 2003*

*Corruption Crime and Misconduct Act 2003*

Elected Members Code of Conduct

Employee Code of Conduct

Risk Management Policy

Purchasing Policy

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**Review History**

<b>Date</b>	<b>Council Resolution</b>	<b>Description of review/amendment</b>
28/06/2023		Adoption of Policy following release of OAG Report "Fraud Prevention in Local Government."



# Governance & Compliance

## Legislative Compliance

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### Objective

To ensure that the Shire of Koorda (“**the Shire**”) upholds its commitment to meet a high level of compliance with legislative requirements applying to local government and takes any necessary action to rectify any breach as soon as reasonably possible.

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### Policy

#### Background

Many principles of good governance make reference to ensuring appropriate policies, procedures and processes are in place for local governments to comply with both the letter and the spirit of the law.

The Shire has an obligation to ensure that legislative requirements are complied with. The community and those working at the Shire have an expectation that the Shire will comply with applicable legislation and that the Shire will take all appropriate measures to ensure that expectation is met.

Regulation 14 of the *Local Government (Audit) Regulations 1996* requires local governments to carry out a compliance audit for the period 1 January to 31 December in each year. The Compliance Audit is structured by the Department of Local Government, Sport and Cultural Industries (DLGSC) and relates to key provisions of the Local Government Act 1995.

Regulation 17 of the *Local Government (Audit) Regulations 1996* requires the CEO to review of the appropriateness and effectiveness of systems and procedures in relation to risk management, internal control and legislative compliance not less than once in every 3 financial years and report to the Audit Committee the results of that review.

Regulation 5(2)(c) of the *Local Government (Financial Management) Regulations 1996* also requires the CEO to undertake reviews of the appropriateness and effectiveness of the financial management systems and procedures of the local government regularly (and not less than once in every 3 financial years) and report to the local government the results of those reviews.

#### Policy Statement

The Shire will have appropriate processes and structures in place to ensure that legislative requirements are achievable and are integrated into the operations of the local government.

These processes and structures will aim to:

- Develop and maintain a system for identifying legislation applicable to the Local Government’s activities;
- Assign responsibilities for ensuring that regulatory obligations are fully considered and implemented;
- Provide relevant and appropriate training for staff, elected members, volunteers and other applicable people in the legislative and regulatory requirements affecting them;
- Provide necessary resources to identify and remain up-to-date with new legislation;
- Establish a mechanism for recording and reporting non-compliance;
- Review instances where there may have been non-compliance and report through risk management processes to mitigate against future occurrences;
- Review audit reports, incident reports, complaints and other information to assess how the systems of compliance can be improved;
- Ensure audits are performed to assess compliance;

- Requires necessary action to rectify any identified breach as soon as reasonably possible; and
- Establish an internal audit function to provide an independent and objective evaluation of the Local Government's internal procedures and controls.

## **Roles and Responsibilities**

### **Elected Members and Committee Members**

Councillors and Committee members have a responsibility to be aware of and to abide by legislation applicable to their role.

### **Executive Management Team**

The Executive Management Team should ensure that directions relating to compliance are clear, unambiguous and applicable legal requirements for each activity they are responsible for administering are identified. All staff are to be given the opportunity to be regularly informed, briefed, updated and/or trained about key legal requirements relative to their position description, utilising available resources to accomplish this.

### **Employees**

Employees have a duty to seek information and guidance on legislative requirements applicable to their area of work and to comply with the legislation. Employees shall report through their supervisors to Senior Management any areas of non-compliance they become aware of.

### **Implementation of Legislation**

The Local Government will have procedures in place to ensure that when legislation changes, steps are taken to ensure future actions comply with the amended legislation and changes are appropriately communicated to all required personnel.

### **Legislation Compliance Procedures**

- **Identifying current legislation**
  - Electronic versions of legislation  
The Shire accesses up to date electronic versions of legislation through the Western Australian State Law Publisher website at [www.slp.wa.gov.au](http://www.slp.wa.gov.au).
- **Identifying new or amended legislation**
  - Western Australian Government Gazette  
The Shire accesses the Government Gazette via the State Law Publisher website.
  - Department of Local Government, Sport and Cultural Industries  
The Shire receives regular circulars from the DLGSC on any new or amended legislation. Such advice is received and processed through the Shire's Records Department and is distributed to relevant Shire officers.
  - Department of Planning  
The Shire receives Planning Bulletins from the Department of Planning regarding any new or amended legislation. Such advice is received and processed through the Shire's Records Department and is distributed to the relevant Shire officers for implementation.
  - Australian Local Governments Association (ALGA)  
The Shire receives regular issues of the ALGA News. Such information is received and processed through the Shire's Records Department and distributed by Records staff to the relevant Shire officers for information.
  - Western Australian Local Government Association (WALGA)  
The Shire receives regular issues of the Local Government News from WALGA. Such information is received and processed through the Shire's Records Department and distributed to the relevant Shire officers for information.



- **Obtaining advice on legislative provisions**

The Shire will obtain advice on matters of legislation and compliance where necessary. Contact can be made with the DLGSC, WALGA or the relevant initiating government department for advice.

- **Informing Council of legislative changes**

If appropriate, the Chief Executive Officer will, on receipt of advice of legislative amendments, advise the Council on new or amended legislation.

The Shire's format for all reports to Council meetings provides that all reports have headings "**Statutory Implications**" and "**Policy Implications**" which shall detail the current sections of any Act, Regulation or other legislation and any current Policy that is relevant to the report before Council.

- **Review of incidents of complaints of non-compliance**

The Shire shall review all incidents and complaints of non-compliance in accordance with Council Policies and Documents. (Code of Conducts, Complaints Policy/Procedure, and where applicable Public Interest Disclosure)

Such reviews will assess compliance with legislation, standards, policies and procedures that are applicable.

- **Reporting of non-compliance**

All instances of non-compliance shall be reported immediately to the relevant Supervisor/Manager. The Supervisor/Manager shall determine the appropriate response and, if necessary, report the matter to the Chief Executive Officer.

The Chief Executive Officer may investigate any reports of significant non-compliance and if necessary, report the non-compliance to the Council and/or the DLGSC.

The Chief Executive Officer will then take the necessary steps to improve compliance systems.

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### **Related Documents (Legislation/Local Law/Policy/Procedure/Delegation)**

*Local Government (Audit) Regulations 1996*

*Local Government (Financial Management) Regulations 1996*

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### **Review History**

<b>Date</b>	<b>Council Resolution</b>	<b>Description of review/amendment</b>
28/06/2023		Adoption of Policy following recommendation from 2023 Review of Financial Management, Risk Management, Legislative Compliance and Internal Controls.

# Governance & Compliance

## Risk Management

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### Objective

The objective of this Policy is to state the Shire of Koorda's ("the Shire's") intention to identify potential risks before they occur so that impacts can be minimised or opportunities realised; ensuring that the Shire achieves its strategic and corporate objectives efficiently, effectively and within good corporate governance principles.

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### Policy

#### Definitions

TERM	DEFINITION
<b>Risk</b>	Effect of uncertainty on objectives.  <i>Note 1: An effect is a deviation from the expected – positive or negative.</i> <i>Note 2: Objectives can have different aspects (such as financial, health and safety and environmental goals) and can apply at different levels (such as strategic, organisation-wide, project, product or process).</i>
<b>Risk Management</b>	Coordinated activities to direct and control an organisation with regard to risk.
<b>Risk Management Process</b>	Systematic application of management policies, procedures and practices to the activities of communicating, consulting, establishing the context, and identifying, analysing, evaluating, treating, monitoring and reviewing risk.

#### Policy Statement

It is the Shire's Policy to achieve best practice (aligned with AS/NZS ISO 31000:2018 Risk management – Guidelines), in the management of all risks that may affect the Shire meeting its objectives.

Risk management functions will be resourced appropriately to match the size and scale of the Shire's operations and will form part of the Strategic, Operational, and Project responsibilities and be incorporated within the Shire's Integrated Planning Framework.

This policy applies to Council Members, the Executive Management team and all employees and contractors involved in any Shire operations.

#### Policy Details

The following points provide detail on the objective specifics:

- Aligns with and assists the implementation of all Shire policies.
- Optimises the achievement of the Shire's vision, mission, strategies, goals and objectives.
- Provides transparent and formal oversight of the risk and control environment enabling effective decision-making.
- Enhances risk versus return within the Shire's risk appetite.
- Embeds appropriate and effective controls to mitigate risk.
- Achieves effective corporate governance and adherence to relevant statutory, regulatory and compliance obligations.
- Enhances organisational resilience.
- Identifies and provides for the continuity of critical operations.

## **Roles and Responsibilities**

The CEO is responsible for the:

- Implementation of this Policy.
- Measurement and reporting on the performance of risk management.
- Review and improvement of this Policy and the Shire's Risk Management Framework at least biennially, or in response to a material event or change in circumstances.

The Shire's Risk Management Framework outlines in detail all roles and responsibilities associated with managing risks within the Shire.

## **Risk Assessment and Acceptance Criteria**

The Shire quantified its broad risk appetite through the development and endorsement of the Shire's Risk Assessment and Acceptance Criteria. The criteria are included within the Risk Management Framework and as a component of this policy.

All organisational risks are to be assessed according to the Shire's Risk Assessment and Acceptance Criteria to allow consistency and informed decision making. For operational requirements such as projects or to satisfy external stakeholder requirements, alternative risk assessment criteria may be utilised, however these cannot exceed the organisations appetite and are to be noted within the individual risk assessment.

## **Monitor and Review**

The Shire will implement and integrate a monitor and review process to report on the achievement of the Risk Management Objectives, the management of individual risks and the ongoing identification of issues and trends.

This policy will be kept under review by the Shire's Executive Management Team and its employees. It will be formally reviewed biennially.

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## **Related Documents (Legislation/Local Law/Policy/Procedure/Delegation)**

AS/NZS ISO 31000:2018

Risk Management Strategy

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## **Review History**

<b>Date</b>	<b>Council Resolution</b>	<b>Description of review/amendment</b>
28/06/2023		Re-write policy following recommendations from 2023 Review of Financial Management, Risk Management, Legislative Compliance and Internal Controls.
<b>Former Policy No: R4 Risk Management</b>		
16/05/2007	159.1.1-2007	Adoption of Policy (R4)
21/03/2018	RES: 050318	Re-written

# **RISK MANAGEMENT**

## **RISK MANAGEMENT**

**Policy No:** R4 **Adopted:** 16 May 2007 *159.1.1-2007*  
**Re-written:** 21 March 2018 - 050318

**File Reference:** ADM 0323

### **POLICY STATEMENT**

#### **INTENT**

The Shire of Koorda is committed to organisation-wide risk management principles, systems and processes that ensure consistent, efficient, and effective assessment of risk in all planning, decision making and operational processes.

#### **DEFINITION OF "RISK":**

AS/NZS/ISO 3100:2009 defines risk as "the effect of uncertainty on objectives". A risk is often specified in terms of an event or circumstance and the consequences that may flow from it. An effect may be positive, negative, or a deviation from the expected. An objective may be financial, related to health and safety, or defined in other terms.

#### **DEFINITION OF "RISK MANAGEMENT":**

Co-ordinated activities to direct and control an organisation with regard to risk. (ISO Guide 73).

#### **PRINCIPLES:**

The Shire of Koorda considers risk management to be an essential management function in its operations.

They recognise that the risk management responsibility for managing specific risks lies with the person who has the responsibility for the function, service or activity that gives rise to that risk.

Council is committed to the principles of managing risk as outlined in AS/NZS/ISO 3100:2009 The Shire of Koorda will manage risks continuously using a process involving the identification, analysis, evaluation, treatment, monitoring and review of risks. It will be applied to decision making through all levels of the Organisation in relation to planning or executing any function, service or activity.

In particular it will be applied to:

- Strategic planning
- Expenditure of large amounts of money
- New strategies and procedures
- Managing projects
- Introducing significant change and
- The management of sensitive issues



## **RISK MANAGEMENT OBJECTIVES**

- The achievement of Organisational Goals and Objectives
- The ongoing health and safety of all employees at the workplace
- Ensuring public safety within the Council's jurisdiction is not compromised
- Limited loss or damage to property and other assets
- Limited interruption to business continuity
- Positive public perception of Council
- Application of Equal Opportunity principles in the workforce and the community

## **RESPONSIBILITIES**

- Executive, managers and supervisors have the responsibility and accountability for ensuring that all staff manage risks within their own work areas. In each of these areas, risks should be anticipated and reasonable protective measures taken.
- All managers will encourage openness and honesty in the reporting and escalation of risks. All staff will be encouraged to alert management to the risks that exist within their area, without fear of recrimination.
- All staff will, after appropriate training adopt the principles of risk management and comply with all policies, procedures and practices relating to risk management.
- All staff and employees will, as required, conduct risk assessments during the performance of their daily duties. The level of sophistication of the risk assessment will be commensurate with the scope of the task and the associated level of risk identified.
- Failure by staff to observe reasonable directions from supervisors regarding the management of risks and/or failure of staff to take reasonable care in identifying and treating risks in the workplace may result in disciplinary action.
- It is the responsibility of every department to observe and implement this policy in accordance with procedures and initiatives that are developed by management from time to time.
- Council is committed morally and financially to the concept and resourcing of risk management.

## **MONITOR AND REVIEW**

The Shire of Koorda will implement a robust reporting and recording system that will be regularly monitored to ensure closeout of risks and identification of ongoing issues and trends.

Risk management key performance indicators, relating to both Organisational and Personal performance will be developed, implemented and monitored, by the Shire of Koorda.

# Governance & Compliance

## Shire of Koorda Dress Code for Australian Citizenship Ceremonies

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### Objective

This Policy outlines the Shire of Koorda's dress code expectations for conferees and guests attending Shire of Koorda Australian Citizenship Ceremonies.

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### Policy

Citizenship Ceremonies are an important event where conferees publicly declare their commitment to Australia.

Therefore, it is expected that the Councillors and staff will dress in formal or smart casual attire.

It is also recommended that conferees and their guests are dressed in formal or smart casual clothing to reflect the significance of the ceremony.

National or traditional costume is also acceptable.

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### Related Documents (Legislation/Local Law/Policy/Procedure/Delegation)

Australian Citizenship Act 2007  
Australian Citizenship Regulation 2016  
Australian Citizenship Ceremonies Code

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### Review History

Date	Council Resolution	Description of review/amendment
28/06/2023		Re-branded with major policy review and update.
18/03/2020	RES: 090320	Adoption of Policy

# A - Administrative Matters

## A.?? Shire of Koorda Dress Code for Australian Citizenship Ceremonies

<b>Policy Owner</b>	Chief Executive Officer
<b>Distribution</b>	???
<b>Responsible Officer</b>	Chief Executive Officer
<b>Date Adopted</b>	18 July 2007 (11.1.2 – 2008)
<b>File Reference</b>	ADM ???

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### Roles and Responsibilities

Chief Executive Officer

### Related Documentation

Nil

### Related Legislation/Local Law/Policy/Procedure

Australian Citizenship Act 2007

Australian Citizenship Regulation 2016

Australian Citizenship Ceremonies Code

### Related Delegation

Nil

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## Review History

# Governance & Compliance

## Use of the Shire of Koorda Common Seal/Executing of Legal Documents

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### Objective

To satisfy the legal requirements regarding the execution and validation of documents and Contracts in accordance with section (s.) 9.49A and 9.49B of the *Local Government Act 1995*.

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### Policy

The Shire President (**President**) and Chief Executive Officer (**CEO**) are authorised to sign and/or affix the common seal to the following documents, where such documents result from the following transactions:

- Where land is disposed of pursuant to s. 3.58 of the Local Government Act 1995 (as amended);
- Where land is acquired pursuant to s. 3.55 and s. 3.59 of the Local Government Act 1995 (as amended);
- In respect of leases of land and licence to occupy municipal property where approved by Council;
- In respect of leases for the purchase of plant and equipment approved by Council;
- In respect of borrowings approved by Council;
- In respect of easements and legal agreements over land for the purpose of drainage or conditions arising from subdivision of land and planning approvals;
- In respect of withdrawal of caveats and surrender of easements where the CEO considers that Council's interests have been satisfied;
- In respect of contracts of employment approved by Council;
- In respect of documents of a ceremonial nature, where the affixing of the common seal is for prosperity and not a legal requirement;
- In respect of agreements required for funding of Council works and services considered with the resolution of Council or requiring renewal of the agreement for funding currently provided;
- In respect of the adoption of local laws; and
- Any document stating that the common seal of the Shire is to be affixed.

In relation to the above, in the absence of the President and/or CEO, as the case may be, the Deputy President and the Acting or Deputy CEO are authorised to affix the common seal.

The procedure to be adopted for the use of the common seal is as follows:

- The CEO is responsible for the security and proper use of the common seal.
- The common seal is not to be affixed to any documents except as authorised by Council.
- The common seal is to be affixed to a document in the presence of:
  - The Shire President, or in his/her absence, the Deputy President; and
  - The CEO or Acting/Deputy CEO, as the case may be;
- Each of whom is to sign the document to attest that the common seal was so affixed.
- Details of all transactions where the common seal has been affixed must be recorded in a register kept by the CEO.
- The register is to record:
  - The date on which the common seal was affixed;
  - The nature of the document; and
  - The parties to any agreement to which the common seal was affixed.

The wording to accompany the application of the common seal to be as follows:

- "The common seal of the Shire of Koorda was hereto affixed by the Authority of Council."; or
- "The common seal of the Shire of Koorda was affixed by authority of a resolution of Council in the presence of the Shire President and the Chief Executive Officer."

Authority is provided to the CEO or the person acting in the position of CEO to sign contracts, deeds and other documents that do not require the affixing of the common seal.

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### Related Documents (Legislation/Local Law/Policy/Procedure/Delegation)

Local Government Act 1995, s9.49A and s9.49B

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### Review History

Date	Council Resolution	Description of review/amendment
28/06/2023		Re-branded with major policy review and update.
22/06/2021	RES: 020621	Adoption of Policy



## ADMINISTRATIVE MATTERS

### SEXUAL HARASSMENT

**Policy No:** A12 **Adopted 19.7.00**

**File Reference:** ADM 0323

#### **POLICY STATEMENT**

That the CEO include in a Procedures Manual readily accessible to employees the Complaints and Grievance Procedure to be followed where allegations of sexual harassment arise.

#### **PURPOSE**

To ensure compliance with the provisions of the Equal Opportunity Act 1984 and minimise the vicarious liability of the local government.

#### **COMPLEMENTARY LEGISLATION / AGENCIES**

*Local Government Act 1995 :-*

“ **S. 5.40** The following principles apply to a local government in respect of its employees –

- (d) there is to be no unlawful discrimination against employees or persons seeking employment by a local government on a ground referred to in the *Equal Opportunity Act 1984* or on any other ground”.

*Equal Opportunity Act 1984 –*

#### **“Vicarious liability**

**S.161** (1) Subject to subsection (2), where an employee or agent of a person does, in connection with the employment of the employee or with the duties of the agent as an agent –

- (a) an act that would, if it were done by the person, be unlawful under this Act (whether or not the act done by the employee or agent is unlawful under this Act); or

- (b) an act that is unlawful under this act,



this Act applies in relation to that person as if that person had also done the act.

- (2) Subsection (1) does not apply in relation to an act of a kind referred to in paragraph (a) or (b) of that subsection done by an employee or agent of a person if it is established that the person took all reasonable steps to prevent the employee or agent from doing acts of the kind referred to in that paragraph.”

Commissioner of Equal Opportunity

Department of Equal Employment Opportunity



# **EMPLOYEE TERMS AND CONDITIONS**

## **MEDICAL CLEARANCE CHECKS**

**Policy No:** E2 **Adopted:** October 2005

**File Reference:** ADM 0323

### **POLICY STATEMENT**

- (1) All employees are required to undergo a pre employment medical conducted by a Medical Practitioner at the Council's expense. The results of such a medical will be taken into account when determining an individual's suitability to safely carry out the duties described in the relevant form.

### **PURPOSE**

To safeguard and ensure the health of all Shire employees.

# EMPLOYEE TERMS AND CONDITIONS

## EMPLOYEE INCENTIVES

**Policy No:** E3 **Adopted 19.7.00**  
**File Reference:** ADM 0323 *Amended: 17 October 2007 59.1.1-2008*  
*Amended:15 June 2011 - 110611*

### **POLICY STATEMENT**

#### **(1) Relocation Expenses**

- (a) Relocation expenses for employees other than the CEO will be paid by Council subject to the employee remaining in Council employ for a minimum of two years otherwise the cost to be refunded to council on a pro rata basis, unless otherwise negotiated.
- (b) Chief Executive Officer as negotiable on appointment

#### **(2) Staff Housing - Rental**

Rentals for staff housing will be

- nominal rather than economic;
- reviewed annually at the time of preparation of the budget.

#### **(3) Employee Houses - Allowance**

Council to pay to fulltime employees residing in accommodation other than Council owned or provided, an allowance to be indexed annually upwards; in accordance with annual CPI movements.'

### **PURPOSE**

In order to attract and maintain staff.

# EMPLOYEE TERMS AND CONDITIONS

## EMPLOYEE USE OF COUNCIL PROPERTY

**Policy No:** E4 **Adopted 19.7.00**  
*Amended: 15 June 2011 -110611*  
*Amended: 20 March 2013- 080313*  
*Reviewed/Updated: 21 March 2018 -050318*

**File Reference:** ADM 0323

### POLICY STATEMENT

#### (1) Telephone Use in Staff and Council Houses

Shire will pay costs in relation to telephone expenses, as negotiated with a particular staff member.

#### (2) Shire Vehicles Use

**Works Supervisor** –Available for After Hours callouts and private use as negotiated.

Suitable vehicle available for work and private use within Western Australia. Spouse/Partner allowed to drive and any other authorised Shire staff or Councillors. Note: Chief Executive Officer or Deputy Chief Executive Officer/Manager of Finance and Administration or Works Supervisor authorise other use.

Employee to ensure scheduled maintenance services are carried out and that the vehicle is maintained in a clean and tidy condition.

**Service Person/Mechanic** – Commuting use of Vehicle.

#### **Town/Gardener/Sewerage/Maintenance Man and Handyman**

Use of Vehicle for commuting to and from work and other occasional use as approved by the Chief Executive Officer, in recognition of their need to be available for after hour callouts.

- (ii) The CEO in consultation with the Shire President has the right to revoke and reinstate commuting rights of the, Mechanic, Town Gardener/Sewerage/ Maintenance Man or handy man

#### (3) Employee Plant/Equipment Use

Employees may be granted limited and conditional use of Shire plant items, by the CEO or Works Supervisor. Charges will be at normal hire rates less wages component, or in lieu of overtime wages claimed, use is to be strictly limited and controlled.

### PURPOSE

To clarify use conditions

## **EMPLOYEE TERMS AND CONDITIONS**

### **EMPLOYEE USE OF COUNCIL PROPERTY - DCEO/MoFA Administration Vehicle**

**Policy No:** E4a **Adopted 15 June 2011**  
*Amended 20 March 2013 - 080313*  
*Reviewed/Updated 21 March 2018 - 050318*

**File Reference:** ADM 0323

#### **POLICY STATEMENT**

- Vehicle use is generally within Western Australia subject to that if the vehicle is to be taken north of the 26<sup>th</sup> parallel the Chief Executive Officer's permission be sought and if it required for the use out of state, Council permission is sought.
- Ensure the vehicle is maintained in clean and tidy condition
- Ensure vehicle is serviced as required – time or kilometres.
- Partner is authorised to drive the vehicle
- Vehicle to be generally available as a Shire Administration vehicle, when not required for your use, but with conditional use.
- Other persons as authorised ie staff and councillors allowed to drive the vehicle for Shire/Council purposes. DCEO/MoFA to authorise as the person responsible for the vehicle

#### **PURPOSE**

To clarify use conditions as the intent is to compensate for additional hours worked, responsibility and recognition of the role within the Shire Management Team.

## **LEAVE – OUTSIDE WORKFORCE**

**Policy No:** E5 **Adopted 19.7.00**  
*Amended:15 June 2011-110611*

**File Reference:** ADM 0323

### **POLICY STATEMENT**

That Council adopt a partial Christmas shut down of its outside workforce, wherein, workforce members take leave over a period – approximately between mid December and late February.

Gardening Staff – Ensure sufficient staff is available to cover Christmas/New-year period.

### **PURPOSE**

So that supervisory and other staff will generally be absent at the same time and plant most effectively used during working periods and to ensure key staff are available at all times.

(i.e. Sewerage, Parks and Gardens and Emergency callouts)

# EMPLOYEE TERMS AND CONDITIONS

## GRATUITOUS PAYMENTS TO EMPLOYEES

**Policy No:** E6 **Adopted 19.7.00**  
*Amended:15 June2011 -110611*

**File Reference:** ADM 0323

### POLICY STATEMENT

- (1) that for the purpose of section 5.50 (1) of the Act, the following approximate amounts be spent on a presentation gift to employees who retire or resign after a period of satisfactory service -

5 – 10 years	\$600	15 – 20 years	\$1,500
10 – 15 years	\$1000	20 years plus	\$2,000

- (2) The CEO may at his/her discretion make a presentation gift where an employee leaves prior to 5 years service, at a value not exceeding \$60 for each year of service.
- (3) The Council reserves the right to pay an additional amount to that set out in this policy, where it considers circumstances warrant, in which event local public notice will be given.

### PURPOSE

To show appreciation to valued employees, who are leaving council's employ and to comply with section 5.50 (1) of the Local Government Act 1995.

### COMPLEMENTARY LEGISLATION

Local Government Act S. 5.50 (Extract from Practice Notes) –

#### **“Payments To Employees In Addition To Contract Or Award**

A local government is to prepare a policy in relation to employees whose employment with the local government is finishing, setting out –

- the circumstances in which the local government will pay an employee an amount in addition to any amount to which the employee is entitled under a contract of employment or award relating to the employee; and
- the manner of assessment of the additional amount, and cause local public notice to be given in relation to the policy.

Adoption of such a policy is a prerequisite to making any such payment.

A local government may make a payment –



- to an employee whose employment with the local government is finishing;  
and
- that is more than the additional amount set out in the policy adopted, but local public notice is to be given in relation to the payment.

(see proforma Notices/Advertisements – P5.36-5.51 A & B)

The value of a payment is not to exceed such amount as prescribed or provided for by regulations. A ‘payment’ includes the disposition of property in favour of, or the conferral of any other financial benefit on, the person.”

## **EMPLOYEE TERMS AND CONDITIONS**

### **EMPLOYEE ANNUAL CHRISTMAS BONUS**

**Policy No:** E7 **Adopted 18 December 2006 95.1.2-2007**  
**Reviewed: 18 June 2008 169.1.3-2008**  
**Amended: 15 June 2011- 110611**

**File Reference:** ADM 0323

#### **POLICY STATEMENT**

That Council adopt a Policy to pay employees an annual Christmas Bonus; equivalent in value to five dollars (\$6.00) per week; (maximum \$300.00) employment with the Shire”.

#### **PURPOSE**

To ensure the bonus paid reflects the period of employment with the Shire over the preceding twelve (12) month period.

## **EMPLOYEE TERMS AND CONDITIONS**

**Policy No: E8**

*Adopted: 16 June 2010 Res. 110610  
Amended: 15 June 2011- 110611  
Reviewed/Updated: 18 March 2015 130315  
Reviewed/Updated: 21 March 2018 050318*

**File Reference: ADM 0323**

### **POLICY STATEMENT**

That council provide the additional over award conditions of employment for employees with this Shire:

- 2 days additional annual leave in lieu of Tuesday after Easter and 2<sup>nd</sup> January to be taken when convenient to both parties
- Morning tea break, a 15min tea break be allowed between 10am and 10.30 am during working hours
- Rates of pay – level to be as negotiated with the CEO plus an over award payment.
- Additional flexibility with regard work hours as negotiated
- Adverse conditions allowance - a payment per week be made to all outside employees
- Service pay - as negotiated and determined annually
- Sewerage allowance – a payment per day for those maintaining councils gravity sewerage system
- Leading Hand or Team Leader Allowance- a payment per week as per award
- Tool Allowance - a payment per week to employees who supply their own tools as negotiated
- Additional Skills Allowance – a payment per week to employees with additional skills
- Telephone – Deputy Chief Executive Officer & Works Supervisor free phone home & mobile. Provide team ‘Leader Works Crew’ with a mobile phone for work use.
  - Clothing Allowance – per annum
  - Chief Executive Officer – as per contract
  - Deputy Chief Executive Officer/Manager of Finance and Administration – \$400
  - Administration Staff – \$350
  - Works Supervisor – \$250 plus “protective clothing”
  - Outside Staff – “Protective clothing” including 2 shirts, 2 trousers and safety boots as necessary
- Water – as per policy P4.

***Note: Please also refer to delegation 12***

**PURPOSE**

To ensure that the existing terms and conditions of employment over and above the Local Government Industry Award 2010 as at 1 July 2010, are retained.

# **RISK MANAGEMENT**

## **OCCUPATIONAL SAFETY, HEALTH AND WELFARE**

**Policy No:** R1 **Adopted:** 16 May 2007 *159.1.1-2007*  
**Re-written:** 21 March 2018 - 050318

**File Reference:** ADM 0323

### **POLICY STATEMENT**

The Shire of Koorda seeks to efficiently provide a wide range of vital services to residents and visitors to our region. We are an equal opportunity employer committed to providing a safe and healthy workplace for all employees and those who may be affected by our work operations. This commitment is consistently demonstrated through the behaviours of our management and employees at the workplace.

Responsibilities for addressing safety, health concerns are shared by everyone at the Shire of Koorda. Our management representatives acknowledge specific responsibility for providing and maintaining a legislatively compliant working environment where persons at the workplace are not exposed to hazards and are provided with adequate resources, education and training to meet our safety, health obligations. Employees assist our management team to fulfil obligations through actively ensuring their own safety and that of others in the workplace.

All workers engaged with the Shire of Koorda are required to report in a timely manner any incident, hazard or issues that are identified as posing a risk to health, safety. These are promptly managed in accordance with the hierarchy of risk controls and accepted risk management principles.

We are proud of our excellent workplace safety record and are committed to continuously improving our workplace safety and health performance aimed at the elimination of workplace injury through the achievement of the specific targets and objectives which are documented in our Safety, Health Management Plan.

Our Safety, Health Management Plan is supported by a procedural framework intended to guide our employees and subcontractors to work safely conscious manner including, but not limited to, compliance with all applicable legislative regulatory requirements, relevant Australian Standards and with all other requirements to which our organisation subscribes.

This Safety, Health Policy and our supporting management systems documentation are regularly reviewed in line with continual improvement and occupational health and safety management system recommendations.

# **RISK MANAGEMENT**

## **EQUAL EMPLOYMENT OPPORTUNITY**

**Policy No:** R2 **Adopted:** 16 May 2007 *159.1.1-2007*

**File Reference:** ADM 0323

### **POLICY STATEMENT**

The Shire of Koorda shall comply with the WA Equal Employment and Opportunity Act (1984).

The Shire of Koorda recognizes that the WA Equal Employment Opportunity Act (1984) is concerned with:

- The recognition and acceptance of the equality of all persons regardless of gender, race, religious or political convictions, impairments or ages.
- The elimination of discrimination on the basis of the grounds covered in the Act.

### **SCOPE**

This applies to whole organisation.

### **RESPONSIBILITY**

#### **CEO**

The Shire of Koorda has the responsibility to protect employees against harassment and discrimination in the workplace and to effectively manage breaches of policy in a fair and equitable manner.

#### **Employees**

All employees are subject to relevant state and federal laws governing Equal Employment Opportunity (EEO).

It is unlawful for a person to subject or threaten to subject another person to any detriment where that person has made a complaint or proposes to make a complaint under the Act.

#### **Supervisors Responsibility**

Supervisors must:

- Handle complaints and grievances consistent with the policy objectives
- Take prompt action re these issues
- Seek advice where appropriate
- Ensure confidentiality
- Monitor issues / resolutions
- Assist with access to counseling where appropriate.



# **RISK MANAGEMENT**

## **CONSULTATION AND COMMUNICATION**

**Policy No:** R5 **Adopted: 16 May 2007** *159.1.1-2007*

**File Reference:** ADM 0323

### **POLICY STATEMENT**

The Shire of Koorda is committed to communicating and consulting with all internal and external stakeholders. The organisation welcomes all feedback from stakeholders. Any negative feedback, or constructive criticism is perceived as valuable information and will be addressed under the continuous improvement programme of Shire of Koorda. The internal stakeholders will be consulted on their feedback and they will form part of the improvement teams to address any of the negative issues identified.

The Shire of Koorda will also celebrate the positive feedback from internal and external stakeholders and will celebrate individual staff achievements and any performance awards that they receive.

External stakeholder will be actively consulted on all major decisions of the Shire of Koorda, their input and perceptions will be included in the decision-making processes.

The Shire of Koorda will actively promote the values of whole organisation and where appropriate will encourage outlying staff to participate on organisational committees or continuous improvement teams. Likewise Shire of Koorda is committed to building strong partnerships with the community and government agencies.

The Shire of Koorda will comply with the requirement of the relevant Acts in its communications with the community and the external stakeholders as well as the consultation and communications requirements of the Occupational Safety and Health Act and Regulations.

### **SCOPE**

This Policy applies to whole of organisation and all external stakeholders.

### **REFERENCES**

- Occupational Safety and Health Act, 1984 (Act)
- Occupational Safety and Health Regulations 1996, and 2005 amendments (Regulations)
- AS/NZS 4360: 2004 Risk Management
- Local Government Act



## **RESPONSIBILITIES**

### **CEO is responsible for:**

- Ensuring that there is active communications both up and down the organisation.
- Ensuring response to perceived issues, and ensuring that they are addressed in a timely manner
- Ensuring communications with all external stakeholders and taking action where appropriate.
- Ensuring response to customer complaints in a timely manner.
- Building strong relationships with communities and government agencies.

### **Senior Officers/Supervisors are responsible for:**

- Communicating organisational issues to their staff on a regular basis
- Responding to staff issues
- Responding to customer complaints
- Building strong relationships with internal and external customers.

### **Employees are responsible for:**

Reporting any hazards, complaints and risks associated with their workplace.

### **OSH Committee membership is responsible for:**

Bringing to the attention of management all issues that employees have brought to the notice to the committee members.

### **Risk Management Committee is responsible for:**

Ensuring consultation both internal and external stakeholders on their perceived risks associated with the operations of Shire of Koorda or in new business enterprises.

## **APPLICATION**

The following communications and consultative processes will be adopted throughout Shire of Koorda:

### **Internal communication and consultation systems:**

- Schedule of all organisational meetings displayed.
- Fully documented meeting minutes that can be accessed by all staff as approved by management.
- Email communications to staff.
- Specific council debriefing to all staff.
- Toolbox talks to engineering and works staff.
- Induction Manuals for all new staff and contractors.
- Organisational Charts display the chain of command in the organisation.
- Specific staff meetings; Internal staff quarterly or as required meetings, Depot quarterly or as required meetings. All of organisation staff meetings as required; all meetings will be documented and staff have access to all minutes.
- Internal audit schedule for OSH and Risk Management program.

- Electronic access to all organisation policies and procedures.
- Position descriptions and annual performance appraisal feedback for all staff.
- Occupational Health and Safety Committee access through safety officers and management.
- Internal and on the job training programs.
- Internal Newsletter or equivalent with Risk Management News section.
- Organisational wide Planning documents
- Staff workshops for risk identification, and organisational planning process.
- Continuous Improvement Teams to work on risk treatment options.
- Ensuring EEO options English as a second language, communicating for those employees with disabilities.
- Presentations to Council – reports and monthly management information reports, access to all staff.
- Social Events.

### **External Communication Consultation Options**

- Ensure Council Elections-information is approved complying with the Local Government Act
- Council Meetings
- Public access to meetings
- Minutes of all Council meetings and their sub committees, all minutes are available for public access.
- Advertising of council meetings, Tenders, Positions, Expressions of interest and public notices.
- Central Emails to and from Community Groups.
- Community forums.
- Community Focus Groups.
- Internet Website.
- Customer service and complaint register.
- Special Public meetings
- Community surveys
- Supplier surveys
- Community Service Liaison staff
- Government grant application assistance to community groups
- Government partnerships
- Tendering process and transparency
- Customer Service Charter
- Newsletters
- Letter drops
- Availability of plans for Public comment
- Input into the Strategic Planning process
- Published Plans and Reports for access by community
- Published Financial Statements/ Annual Reports

# **RISK MANAGEMENT**

## **TRAINING AND DEVELOPMENT**

**Policy No:** R6 **Adopted:** 16 May 2007 *159.1.1-2007*

**File Reference:** ADM 0323

### **POLICY STATEMENT**

People are the major asset of the Shire of Koorda and Training Policy aims to invest in your development to ensure the continuing success of the business.

The Shire of Koorda Training Policy is founded on the following principles:

- You have a major role in determining your specific training and development needs
- Your supervisor has a primary responsibility for ensuring your training is directly linked to the Shire of Koorda business objectives and plans.
- There will be a Training Co-ordinator to oversee training activities to ensure implementation of training plans and maintain training records.
- A performance review system operates to ensure your training and development needs are discussed annually to ensure your skills are kept up to date.
- A comprehensive training system operates, which is reviewed annually using internal and external trainers.
- To encourage you to become professionally qualified, there is appropriate financial assistance and study leave (see section on Educational Expenses).

### **Induction:**

As a new employee you will be taken through an induction programme. The aim of the programme is to introduce you to the structure of the Shire of Koorda, where you sit within it and take you through all the basic things you need to know about life in your new position.

If for any reason you do not get taken through all the sections on the induction in your first few days do not be afraid to ask your Supervisor to complete the process.

### **Employee Development Plan:**

When you get towards the end of your probationary period your Manager will take you through your final Progress Review. An important part of the Progress Review is the "Employee Development Plan". The purpose of this is to identify areas of training, either to build on your strengths or to cover those elements of your job that you may have limited experience. The training needs will be put in writing and will form the basis of your individual training plan for the period until your next review.

Your next review will be your annual Performance Appraisal and it will also have an "Employee Development Plan" for the next 12 months.

The Shire of Koorda is committed to creating a “learning culture”. The Shire of Koorda will continue to succeed because we recognise that the business environment is constantly changing and that we need to acquire knowledge and expertise to keep us ahead of the game.

**Training Co-ordinators:**

The role of your Training Co-ordinator is to initiate and co-ordinate training. He/she will also be able to advise you on the type of training available and any assistance the Shire of Koorda provides to help you with your career development. The Training Coordinator is responsible for maintaining your training records on an electronic or manual training register.

**Professional/Vocational Qualifications:**

The Shire of Koorda recognises that there are many professional skills required to ensure that the Shire of Koorda is successful. Graduate and professional qualifications in such areas as Occupational Health and Safety, Risk Management, Accountancy, Information Technology and Human Resources are valued.

*Subject to prior agreement with the CEO, the fees for relevant professional education will be met or subsidised by the Shire of Koorda.*

**Proviso:**

Reimbursement of fees for non-obligatory courses is on the proviso that you undertake to remain with the Shire of Koorda for a period of at least one year from successful completion of the course. You will be asked to sign an undertaking to repay fees should you leave within 12 months, including giving the Shire of Koorda the right to deduct such monies from final salary and outstanding holiday pay.

Having regard to changing Government policy on student contribution towards the cost of study, the Shire of Koorda will keep its policy on reimbursement of educational expenses under review.

**Study Leave:**

It is the Policy of the Shire of Koorda to encourage staff to undertake external courses of study relevant to their vocation. If it is necessary for staff to have time off to attend classes and/or examinations they may do so, provided the study is considered of benefit to the staff member in their career with the Shire of Koorda. Approval for such absence must be obtained from the Supervisor and/or CEO.

Normally staff are allowed half a day study leave in the week prior to an exam and half a day for each exam. Any need for extended study leave should be discussed with your Supervisor in conjunction with the CEO.

**Professional and Representative Bodies:**

If you are a member of an appropriate professional body which is recognised by the Shire of Koorda, your subscription fee will be reimbursed.



# **RISK MANAGEMENT**

## **VOLUNTEER MANAGEMENT**

**Policy No:** R8 **Adopted:** 16 May 2007 *159.1.1-2007*

**File Reference:** ADM 0323

### **POLICY STATEMENT**

#### **1.0 INTRODUCTION**

The Shire of Koorda recognises the responsibility to ensure that the following points apply to the management of volunteers in the organisation. The Shire of Koorda will maintain a register of volunteers to ensure they are covered by the organisation's insurance policy.

The Council will comply with the national standards for volunteer involvement which represent and explain the tenets of best practice in the management of volunteers.

The following points identify policy considerations for volunteering involving organisations and can be addressed as part of the process to implement the national standards.

- interview and employ volunteer staff in accordance with anti discrimination and equal opportunity legislation;
- provide volunteer staff with orientation and training;
- provide volunteer staff with a healthy and safe workplace;
- provide appropriate and adequate insurance coverage for volunteer staff;
- not place volunteer staff in roles that were previously held by paid staff or have been identified as paid jobs;
- differentiate between paid and unpaid roles;
- define volunteer roles and develop clear job descriptions;
- provide appropriate levels of support and management for volunteer staff;
- provide volunteers with a copy of policies pertaining to volunteer staff;
- ensure volunteers are not required to take up additional work during Industrial disputes or paid staff shortage;
- provide all volunteers with information on grievance and disciplinary policies and procedures;
- acknowledge the rights of volunteer staff;
- ensure that the work of volunteer staff complements but does not undermine the work of paid staff;
- offer volunteer staff the opportunity for professional development;

- reimburse volunteer staff for out of pocket expenses incurred on behalf of the organisation;
- treat volunteer staff as valuable team members, and advise them of the opportunities to participate in agency decisions;
- acknowledge the contributions of volunteer staff.

## **2.0 SCOPE**

This policy applies to all management, employees, councillors and volunteers working on Shire activities or official Shire committees.

## **3.0 VOLUNTEER REGISTER**

A register will be kept. Volunteers between the ages of 16 and 80 are covered for personal accident insurance. If volunteers are outside this age group, contact will be made with Local Government Insurance Services to seek approval for insurance cover.







# **COUNCIL POLICIES**

## **SECTION S**

### **Policies Relating to Staff**

This section deals with the protection and safety of employees,  
particularly staff that work outdoors

# **STAFF RELATED**

## **SAFETY AND HEALTH**

**Policy No:** S1 **Adopted: 16 May 2007** 159.1.1-2007

**File Reference:** ADM 0323

### **POLICY STATEMENT**

This policy recognises that the safety and health of all employees within the Shire of Koorda is the responsibility of council management. In fulfilling this responsibility, management has a duty to provide and maintain, so far as is practicable, a working environment in which employees are not exposed to hazards:

- providing and maintaining safe plant and systems of work;
- making and monitoring arrangements for the safe use, handling, storage, disposal and transport of plant and substances;
- maintaining the workplace in a safe and healthy condition;
- providing information, training and supervision for all employees enabling them to work in a safe and healthy manner.

The Chief Executive Officer is responsible for the implementation and monitoring of this policy.

### ***DELEGATION OF AUTHORITY***

The Works Supervisor is assigned the authority to act as the Safety Coordinator and is responsible for initiating and driving all safety and health strategies on behalf of the Chief Executive Officer.

The safety and health duties of management at all levels will be detailed where it is shown a hazard exists and council procedures for training and back-up support should be followed. In fulfilling the objectives of this policy, management is committed to regular consultation with employees to ensure that the policy operates effectively and that safety and health issues are regularly reviewed.

### **Duties**

Recognising the potential risks associated with hazards that may be present, the Shire of Koorda will take all practicable steps to provide and maintain a safe and healthy work environment for all employees.

### **Management Will:**

- be responsible for the effective implementation of the council safety and health policy;

- Observe, implement and fulfil its responsibilities under the Acts and Regulations which apply to Local Government;
- Ensure that the agreed procedures for regular consultation between management and those with designated and elected safety and health responsibilities are followed;
- Undertake regular assessments of safety and health performance and resources in co-operation with those with designated and elected safety and health functions;
- Review all specific policies operating within the council; eg fire and evacuation, purchasing, training, first aid and systems of work, and ensure all consistent with council safety and health objectives;
- Provide information, training and supervision for all employees in the correct use of plant, equipment and substances used throughout the council;
- Require that information of incidents and accidents occurring on council premises or to council employees are reported so that safety and health performance can be accurately gauged.

**Employees Must:**

- Accept a duty to take all the care for which they are capable, for their own safety and health and of others affected by their actions at work;
- Comply with the safety procedures and directions agreed between management and employees with nominated or elected safety and health functions;
- Not wilfully interfere with or misuse items or facilities provided in the interests of safety, health and welfare of council employees;
- Ensure council procedures for accident and incident reporting, report potential and actual hazards and accidents/incidents are reported to their elected safety and health representatives.

This policy will be regularly reviewed in the light of legislation and council changes. Management seeks cooperation from all employees in realising our safety and health objectives and creating a safe work environment.

**All employees** will be advised, in writing, of agreed changes and arrangements for their implementation.

## **SHIRE OF KOORDA**

### **SAFETY AND HEALTH POLICY STATEMENT**

**The Shire of Koorda is committed to providing a safe and healthy working environment for all employees by conforming with current legislation, regulations, codes of practice and appropriate national standards.**

**The objectives of this policy are to;**

- **avoid, eliminate and control workplace hazards;**
- **provide employees with safety information, supervision and training appropriate to the hazards they are likely to encounter;**
- **continuously improve the standard of occupational safety and health for all employees.**

**The responsibility for implementing this policy rests with the Chief Executive Officer.**

**Safety and health issues will be dealt with in consultation with employees through the elected safety and health representative. The council will provide the time and resources necessary to implement this policy and will identify hazards, assess risks and develop the necessary plans and procedures to improve all aspects of workplace safety and health.**

**This policy will be kept under continuous review by the council and employees and will be formally reviewed every two years.**

### **SAFETY INDUCTION PROCEDURE**

New employees may be at a greater risk of injury as their knowledge and experience may be limited until they become familiar with the specific tasks they are required to perform. To minimise this risk, all employees of the Shire of Koorda will participate in an appropriate safety induction as part of the overall induction process. On completion of this induction; the relevant documentation will be signed and dated by the employee and the Supervisor. This record will then be placed on the employee's personal file for future reference.

## **Subjects**

- overview of the Occupational Safety and Health Legislation
- duties of employers
- duties of employees
- role of the Safety and Health Representative
- legislation, codes of practice, guidance notes, Australian Standards and safety policies relevant to the Shire of Koorda
- definition and identification and control of hazards and reporting procedure
- resolution of issue procedure
- accident/incident reporting procedure
- emergency procedures
- safety and health manual
- Areas of Common need - position specifics
- occupational safety and health policy

## **GENERAL SAFETY RULES**

In order to help you to ensure your own safety, you must become familiar with the following general safety rules which you are required to observe at all times.

- follow instructions. If you do not know or are unsure, ask for help from your supervisor
- report immediately to your supervisor any condition or practice you think might cause injuries to employees, the public or damage to equipment
- store everything you use or handle in its proper place.
- do not relax your attention as you become familiar with your job
- stay alert

## **STAFF RELATED**

### **PERSONAL CONDUCT**

**Policy No:** S2

**Adopted:** 16 May 2007 *159.1.1-2007*

**Amended:** 20 March 2013 -080313

**File Reference:** ADM 0323

#### **POLICY STATEMENT**

The manner in which people conduct themselves in the workplace is an important element in the elimination of work hazards. The following details the conduct that will not be tolerated as they have the potential to affect the safety and health of everyone in the workplace and members of the public.

#### Drugs and Alcohol in the Workplace

- See Drug and Alcohol Policy S8
- consumption of alcohol will not be permitted in the workplace unless the Chief Executive Officer waives this requirement where circumstances warrant, for example:- When Council sponsor a social event, such as a Christmas party or official farewell
- persons believed to be under the influence of alcohol or drugs will not be permitted to work under any circumstances
- drugs of any type will only be accepted if a prescription from a medical practitioner can be produced to support its use
- The use of drugs or alcohol in the workplace including, Council premises, Parks, Reserves, Vehicles, Plant/Equipment or other Council buildings or facilities during working hours is prohibited.
- Drug and Alcohol testing may occur at intermittent times during the course of any particular day

The focus of this policy is drug and alcohol dependence, which affects the individuals, work performance

#### Workplace behaviour

- horseplay, fighting, practical jokes throwing of materials or objects can lead to injury and will not be tolerated
- Wear no loose or ragged clothing or non approved neat appearance

## **SEXUAL HARASSMENT**

Appropriate disciplinary action will be taken against any individual found to be engaging in such conduct.

Any complaints of sexual harassment made against another person associated with the Council will be viewed seriously, treated confidentially and thoroughly investigated by appropriately trained persons.

Any person making a claim of sexual harassment will be protected at all times.

Complaints should be lodged with the Chief Executive Officer.

## **PRE EMPLOYMENT MEDICAL**

All employees are required to undergo a pre employment medical conducted by a Medical Practitioner at the Council's expense. The results of such a medical will be taken into account when determining your suitability to safely carry out the duties described in the relevant form.



## STAFF RELATED

### PERSONAL PROTECTIVE EQUIPMENT

**Policy No:** S3 **Adopted:** 16 May 2007 *159.1.1-2007*

**File Reference:** ADM 0323

#### **POLICY STATEMENT**

The Shire of Koorda is required to provide all employees with personal protective equipment, (PPE), and instructions in its use, at no cost to the employee, where hazards exist and cannot be eliminated.

Employees are responsible for and are required to use any PPE issued.

Only PPE issued by the Shire of Koorda will be used and employees are not to provide or use any PPE not issued or approved by the Chief Executive Officer.

You can be injured if you do not wear the proper clothing. Loose clothing can get caught in machinery. Wear protective clothing to suit the job.

Examples are; a hard hat, safety shoes, safety glasses, overalls, hearing and respiratory protection and gloves. Do not wear ties or scarves and keep long hair restrained, shoe laces are required to be tied.

**Approved high visibility clothing must be worn by all employees whenever working out doors in situations such as on roads, road verges or where vehicle movement could be a risk.**

At all times, take care and stay alert, always be careful and alert for hazards.

#### **EYE PROTECTION**

##### **Reason**

Your eyes can be damaged easily by flying debris or splashes. Damage to the eyes is generally permanent.

##### **Action**

Safety glasses and face shields must be used in areas where there is a possibility of a piece of debris or chemical substance entering the eye. Your supervisor or leading hand will advise you. Eg. whipper snipper, Chlorine, Acid at swimming pool.

If prescription glasses are worn; safety glasses incorporating the prescription, or other methods, will be supplied on request.

Sun glasses; when worn working outdoors; will be considered as eye protection, providing temple protection is attached and sunglasses are prescription.

## **HEARING PROTECTION**

### **Reason**

If the human ear is subjected to prolonged exposure to excessive noise an irreversible and disabling condition known as noise induced hearing loss can occur.

### **Action**

Employees must wear the hearing protection made available when working in areas where noise has been identified as a hazard.

Employees must observe any noise warning signs.

Hearing conservation studies of the workplace are undertaken every five years. All new equipment is purchased with noise levels beneath the required action levels where possible.

## **RESPIRATORY EQUIPMENT**

### **Reason**

The lungs are a very vulnerable organ of the body. If you breathe in harmful contaminants they may also enter the bloodstream and be transported to almost every vital organ including the kidneys, liver, spleen, heart, reproductive organs and the brain.

Irritants injure the body by inflaming the tissues at the point of contact. An irritant may be a gas, liquid or fine particulate matter

Particulate matter, such as dust, may be inert and harmless in itself.

### **Action**

Respiratory equipment applicable to the task must be worn. This may be a disposable paper mask or a full face air fed respirator depending on the task at the time.

All respiratory equipment must be used and stored in accordance with the manufacturers instructions.

**When using chemicals or hazardous substances, comply with the instructions on the material safety data sheet. If the material safety data sheet is not available check with your supervisor.**

Respiratory equipment must be worn where required by Regulation 3.41 of the Occupational Safety and Health Regulations and in particular during chlorine gas cylinder replacement.

Dust Respirators must be worn when cutting concrete, working in dusty environments and where damage to the respiratory system is likely.

## **GLOVES**

### **Reason**

There are many items used frequently in the workplace which may cause skin rash such as dermatitis. These items include diesel, petrol, kerosene, solvents, acids, alkalis, adhesives and sealants. Use a suitable barrier cream and gloves when handling any substance likely to be a hazard.

### **Action**

Always wear suitable gloves to protect your hands when handling rough splintery or sharp objects and when handling chemicals and solvents.

## **HEAD PROTECTION**

### **Action**

Safety helmets must be worn when working in designated areas. A helmet must be worn when working;

- on any construction site
- within 6 metres of a backhoe or elevating plant
- with suspended loads
- in trenches and confined spaces
- where there is a risk of head injury

**When working outdoors in situations other than those as above, a wide brimmed hat must be worn to protect from radiation from the sun in accordance with the Outdoor Clothing Policy.**

## **OUTDOOR CLOTHING POLICY**

The council has adopted the following clothing policy for all outdoor employees.

### **Introduction**

With the growing weight of evidence linking skin cancer to exposure to ultra-violet light, the Council, in order to meet its legal and moral responsibilities, requires a formal policy document covering worker clothing. To this end, the following information is provided.

The aim of the policy is to arrive at a dress code which will;

- protect the employee from ultra-violet light
- protect the employee from physical injury, such as cuts and abrasions
- as far as is practicable, ensure that the clothing makes the person easy to see when working on or near roads, access-ways and mobile equipment
- comply with relevant Statutes and Australian Standards, ( in particular Section 19 of the OSHA-WA)
- prescribe clothing which will be comfortable and acceptable to the majority of the workers
- promote a team spirit and personal pride in the workers with respect to their appearance

## **CLOTHING POLICY RECOMMENDATION**

### **Standard Dress**

The minimum clothing requirements for outdoor employees shall be a long sleeve shirt and long trousers. However, to help prevent the adverse effects of hot weather, for the months of November to March inclusive, outdoor employees may be permitted to wear long shorts ie to just above the knee. The exemption for long shorts will only apply in these months and for locations where the Mean Daily Maximum December temperature is 30° C or more. Unless there are safety related reasons, shirt sleeves must not be rolled up.

The basic dress code will apply all year round. (Exemptions may apply based upon written medical advice).

Except for the months of May, June, July and August, a broad brimmed (8cm to 14cm) hat shall be worn. Other types of hats may be permitted so long as they provide good protection to the face, ears and neck.

This may include a peak cap with non-detachable neck flap. Baseball type caps with no ear or neck protection would not be acceptable.

Hats, long sleeve shirts and trousers appropriate for the nature of work will be supplied by Council. Shorts will not be provided by Council. Wherever practicable, the Ultra-violet Protection Factor (UPF) of clothing fabric will be 30 or better.

An “outdoor employee” for the purpose of this document, is defined as a person whose regular daily duties require them to be in direct sunlight for more than 1 hour/day on a cumulative basis.

The following outdoor employees because of the nature of their activities will be subject to their particular dress requirements as nominated.

- Pool Manager (Long pants may hinder a pool rescue and are not recommended)

- Building Workers

Where there is an obvious risk of immediate physical damage to the skin, the option to wear long shorts in certain geographical areas will not apply to:

- Mechanics, fitters and welders
- operators of brush cutters, concrete/bitumen saws and chainsaws
- people handling chemicals ie pesticides, herbicides and cleaning agents

These workers must wear trousers and long sleeve shirts or overalls.

### **Use of Sunscreen Cream**

All workers will be supplied with sunscreen cream which should be applied to their uncovered skin in accordance with the manufacturers directions. Information, instruction and supervision will be provided in the use of sunscreens. (Note Section 19(1)(b) of the OSHA-WA) In particular, this refers to their face, ears, necks and backs of hands, and legs if relevant. The cream provided will be registered under Australian Standards and be of the SPF 50+ Broad Spectrum Type.

It is recommended that sun screen be used on the face, neck and ears all year round.

Exemptions may apply based on written medical advice.

### **Other People Who Work Outdoors**

Those people who work in direct sunlight for more than thirty (30) minutes (but less than one (1) hour) per day on a daily basis are also required to wear a broad brimmed hat (or equivalent) and sunscreen, both of which Council will supply.

### **High Visibility Clothing**

Because of the requirement for Council workers to be easily seen by vehicle users, high visibility clothing of some description must be worn by workers while within the road reserve or near vehicle access ways.

Should over garments (eg jumpers and parkers) be needed then the overlay garment must be worn over jumpers etc.

Since the above clothing policy has the implication of making workers less comfortable in hot conditions, the selection and use of high visibility overlay garments assumes greater importance.

For this reason, an open weave poncho or singlet style high visibility overlay is recommended to minimise heat insulation and maximise air flow around the wearer's body.

***Note:*** *High visibility vests that velcro up the front will not be purchased for use on road reserves, because they are often found unfastened at the front, thus are less efficient at ensuring visibility.*

### **Action**

Employees to wear high visibility single piece pullover vests when working within the road reserve or near vehicle access ways.

### **Supply and Use of Sun Glasses**

All staff working outdoor shall, when practicable, wear general purpose sun protection glasses which comply with AS 1337(1992) and AS 1067(1990) as appropriate. These will be made available to relevant staff as part of the standard personnel protective equipment issue.

While these policy guidelines are essentially about the type of garments worn, the implications to the wearer with respect to comfort and overheating problems are worthy of further mention.

The key factors which may promote bodily overheating problems are the:

- a) ambient and radiant temperature;
- b) extent of air movement (wind)
- c) pace and physical demand of work;
- d) adequacy of water replacement required by sweating
- e) humidity
- f) person's clothing

**Note:** Actual temperatures experienced by workers will differ considerably dependant on their workplace. Working in a well treed park will be vastly different to working on an open bitumen road.

Thus some steps which should be taken include:

1. All relevant staff should have ample supplies of fresh cool water
2. Exploiting the use of natural shade
3. The erection of temporary shade where practicable
4. Rescheduling of particularly heavy work outdoors the period 10:00am to 2:00pm where practicable
5. Consideration of temporary cessation from physically demanding work for the time when severe heat related conditions are experienced.

It is readily apparent that heavy work, particularly in hot weather; is not efficient work without frequent stops, at least for drinks and possibly self-dousing with water.

Lastly, staff should be encouraged to report immediately to their supervisor any significant symptoms of bodily overheating. Suitable education sessions should be conducted to ensure that staff are aware of what these symptoms are and the effects of exposure to ultraviolet radiation.

The Council realises that the type of clothing worn in the field is of considerable importance to outdoor employees and hence these people or their representatives will be consulted with respect to changes in style, type and fabric of clothing as issued, in accordance with good management practices. (Note also, Section 3.5 (1)c) of the OSHA-WA).

Wherever practicable, the Council, having adopted a clothing policy, will ensure that the style and fabric of garments is acceptable and appropriate to the relevant workforce.

## **STAFF RELATED**

### **ROADWORKS**

**Policy No:** S4 **Adopted:** 16 May 2007 *159.1.1-2007*

**File Reference:** ADM 0323

#### **POLICY STATEMENT**

**High visibility clothing must be worn at all times when working on roads.**

Appropriate Warning signs must be erected to warn road users of the movement of heavy equipment or road maintenance works.

All road signs shall be erected in accordance with the Main Roads Code of Practice entitled "Traffic Management for Road Works" and the accompanying Field Guide. Check with the supervisor if you are unsure of the appropriate signs.

All road workers are required to undertake an Accredited Training Course in Traffic Management for Road Works.

#### **HAZARD IDENTIFICATION AND ASSESSMENT**

The Occupational Safety and Health Regulations require an employer to identify, assess and consider control measures by which hazards can be removed from the workplace. This requires the cooperation and assistance of all employees in conjunction with the management to ensure all hazards are identified and where possible removed.

#### **Action**

All hazards will be reported to the supervisor for assessment.

#### **ACCIDENT, INCIDENT AND HAZARD REPORTING**

Identifying and managing the hazards associated with the workplace is not only a legislative requirement it is the basis of the whole safety management system.

The reporting of accidents, incidents and hazards is not used to apportion blame but to enable corrective action to be taken to prevent any recurrences. It can be a valuable method in the reduction of injuries and to improve safe working procedures.

It is therefore important to report any incidences and hazards to your supervisor so that corrective action can be taken.

Report any accident, incident or hazard no matter how trivial it may appear. It could prevent someone from being injured.



Such reports should be made on the relevant form so that a record is kept for future reference.

### **Action**

Any accident or incident will be reported to the supervisor on forms available from the Depot.

## **CHEMICALS AND HAZARDOUS SUBSTANCES**

All chemicals and hazardous substances will be approved and purchased by the Senior Administration Officer through direction of the CEO and will be accompanied by a Material Safety Data Sheet.

This procedure is to control the use and type of chemicals and hazardous substances in use within the council.

A chemical and hazardous substances register will be established and only substances approved by the CEO will be used.

Use of non approved or substances not contained within the register will not be tolerated.

## **MATERIAL SAFETY DATA SHEETS**

Material Safety Data Sheets, (MSDS's), will be made available to all employees handling chemicals and hazardous substances.

The Works Supervisor will retain the original data sheets.

Training will be provided to all employees handling any such substances and employees are required to ensure that they study the MSDS's and follow any instructions on the handling, use, first aid and personal protective equipment that may be required.

### **Administrative and Other Controls**

While this policy is essentially about the type of garments worn, the implications to the wearer with respect to comfort and overheating problems are worthy of further mention.

The key factors which may promote bodily overheating problems are the:

- a) ambient and radiant temperature;
- b) extent of air movement (wind);
- c) pace and physical demand of the work;
- d) adequacy of water replacement required by sweating;

e) humidity;

f) person's clothing

**Note:** Actual temperatures experienced by workers will differ considerably dependant on their workplace. Working in a well treed park will be vastly different to working on an open bitumen road.

Thus some steps which will be taken include:

1. All relevant staff should have ample supplies of fresh cool water. Where mains water is unavailable then jugged water with a minimum capacity of 5 litres per person shall be provided.
2. Exploiting the use of natural shade.
3. Consideration of temporary cessation from physically demanding work for the time when severe heat related conditions are experienced.

It is readily apparent that heavy work, particularly in hot weather, is not efficient work without frequent stops, at least for drinks and possibly self-dousing with water.

Lastly, staff should be encouraged to report immediately to their supervisor any significant symptoms of bodily overheating. Suitable education sessions should be conducted to ensure that staff are aware of what these symptoms are and the effects of exposure to ultraviolet radiation.

### **Consultation**

The Council realises that the type of clothing worn in the field is of considerable importance to outdoor employees and hence these people or their representatives will be consulted with respect to changes in style, type and fabric of clothing as issued, in accordance with good management practise. (Note also, Section 35(1)(c) of the OSHA-WA.)

Wherever practicable, the Council, having adopted this policy will ensure that the style and fabric of garments is acceptable and appropriate to the relevant workforce.

## STAFF RELATED

### PLANT AND EQUIPMENT RESPONSIBILITIES

**Policy No:** S5 **Adopted:** 16 May 2007 *159.1.1-2007*

**File Reference:** ADM 0323

#### **POLICY STATEMENT**

It is the responsibility of operators and users to ensure that any plant and equipment which they operate is in a safe and mechanically sound condition. Operators are to carry out an inspection of each item of plant immediately prior to its use to ensure that oil levels, pressures, coolant level, battery water levels etc are correct.

This procedure is to include all drivers and operators of not only plant and equipment, but also drivers of council vehicles.

Operators assigned to equipment are also required to carry out the daily servicing of the equipment as set out in the Manufacturer's Handbook or as directed.

All defects or irregularities are to be reported to the Mechanic in the first instance and the operator is also to complete a defects report. The Mechanic shall submit the defects report to the Works Supervisor for acknowledgment and recommended action. Where the Works Supervisor and the mechanic; in consultation, consider that there is a safety risk or that permanent damage will result from using an item of plant, the Works Supervisor will direct that the plant be stood down until repairs are made.

Operators will assist with the care and maintenance of plant, especially the larger items which have the same operator each day.

**No new parts are to be fitted or adjustments made without the knowledge and agreement of both the mechanic and the Works Supervisor.**

The mechanic has a duty to keep detailed records of the repairs and maintenance to all plant and equipment.

A maintenance programme for all plant and equipment will be submitted by the mechanic on a monthly basis to the Works Supervisor.

No employee is to operate any items of plant or equipment until they have been certified as competent to operate that equipment. A record of employee's competency and abilities to operate plant and equipment will be kept by the Works Supervisor.

It is the responsibility of the employee to inform the Work Supervisor or CEO of any limitations that may affect the safe operation of any piece of plant or equipment.

The interiors of all council vehicles and plant must be kept clean and free from all loose objects. These are hazards in themselves to the safe operation of any piece of equipment which can become lethal in the event of an accident.

## **Maintenance of Plant and Equipment**

### **Daily Check**

- engine oil
- water
- lights
- tyres
- battery

Ensure any defects are reported.

### **Weekly**

- grease all lube fittings
- check wheel studs and nuts
- check all V belts
- check radiator hoses
- check and clean air cleaner. Where electronic indicators are provided in machinery the maintenance manual shall be complied with.
- clean out cab

## **PLANT OPERATION**

Only trained and authorised employees may drive or operate plant.

It is the responsibility of plant operators to ensure that the equipment is checked daily and any faults reported to the mechanic in writing. Daily check includes oil, fuel, water, moving parts, hydraulics, brakes, lubrication and tyres.

The daily check should also include the interior of any plant which should be kept clean and clear of any tools and equipment.

All council vehicles and plant are equipped with first aid kits which should be regularly maintained with appropriate medical supplies. It is the responsibility of the operator to report any deficiencies.

If the equipment is fitted with a fire extinguisher, ensure it is well maintained and accessible.

If there is any doubt as to the safety of the plant or equipment, do not operate until the fault has been rectified.

Steps/ladders are to be used where fitted. Operators shall not jump from the plant to the ground.

### **Front End Loader / Backhoe and Skid Steer Loader**

- check the vehicle prior to use
- observe all traffic rules when operating on or near designated roads
- observe the safe working load of the equipment
- do not allow passengers if seats are not available
- ensure all safety equipment is operational including warning lights and reversing alarms
- do not travel with the bucket fully extended
- be alert when raising or lowering any loads
- always switch off the engine, apply the handbrake and lower all hydraulic equipment to the ground when leaving the equipment unattended.
- do not smoke when refuelling

### **Graders**

- prior to use, carry out daily maintenance check and report any faults
- if there is any doubt as to the safe use of the grader, do not use and report to the supervisor
- when operating on designated roads observe all road rules
- do not allow passengers unless the grader is equipped to do so
- when travelling ensure the blade is in its correct position
- ensure all safety equipment is operational and used

- if the grader is unattended ensure the motor is switched off, all equipment lowered to the floor and handbrake applied
- do not smoke when refuelling
- grader blades are to be changed by a minimum of two persons where blade is over 150mm wide and 2135mm long.

### **CONFINED SPACES (OSH Regulation 3.82 and AS 2865)**

The OSH Regulations define a confined space as meaning an enclosed or partially enclosed space which -

- (a) is not intended or designed primarily as a workplace;
- (b) is at atmospheric pressure during occupancy; and
- (c) has restricted means for entry and exit, and which either -
- (d) has an atmosphere containing potentially harmful levels of contaminant;
- (e) has an unsafe oxygen level; or
- (f) is of a nature that could contribute to a person in the space being overwhelmed by an unsafe atmosphere.

It is a requirement of the Regulations that the employer must ensure that the provisions of AS 2865 are complied with in relation to work done in a confined space.

A confined space can include pipes, tanks, boilers, sewers and pressure vessels.

There are two sites within the council that have been identified as confined spaces, these being working in the sewers and the high pressure sand filters at the swimming pool. Others may exist that have not been identified. If there is any doubt, check with your supervisor.

### **Training**

Training shall be conducted by persons knowledgeable and suitably qualified to conduct training in relevant aspects of confined space entry, hazard recognition, and use of safety equipment and methods of rescue.

Each selected person shall be trained to an acceptable standard of competence, appropriate to the task to be performed.

Details of training and the names of the personnel trained shall be recorded at each local site. The person in charge of the work is responsible for maintaining this record and ensuring compliance.

Training shall include, where appropriate, the following;

- emergency entry and exit procedures
- use of appropriate respiratory protective equipment
- first aid including CPR
- use of safety equipment
- rescue drills
- fire protection/fire fighting
- communication
- evaluation of the aptitude and fitness of individuals for entry and/or work in a confined space
- recognition of any hazards specific to the operation/activity
- the use of atmospheric monitoring equipment
- isolation procedures as required for selected personnel

Refresher training shall be carried out on an annual basis.

### **Rescue and First Aid**

The need for rescue personnel from a confined space and the provision of first aid, either in the confined space or after rescue from the space, may arise. Rescue and first aid procedures shall be regularly rehearsed by all persons who may be involved with rescue from a confined space.

When there is a casualty in a confined space, no one should attempt to render assistance without first taking appropriate action to ensure that they do not jeopardise their own safety and the safety of the person that they are attempting to rescue.

In particular, where a person has collapsed without apparent cause, then no one shall enter the confined space to effect a rescue unless they are wearing Self Contained Breathing Apparatus (SCUBA) or other supplied air breathing apparatus.

### **Entry**

The person in charge should consider whether the work proposed can be taken from outside the confined space, ie whether entry of persons to the confined space is necessary. If it is decided that such work can be undertaken from outside, then precautions shall be taken to prohibit entry to the confined space.

If entry to the confined space is deemed necessary, the employer or the responsible person shall review at least the general guidelines as follows.

- evaluate all proposed operations and work procedures, particularly those that may cause a change in the conditions, especially atmosphere in the confined space. eg welding.
- consider the soundness and security of the overall structure and the need for illumination
- consider the identity and nature of the product or products last contained in the confined space
- where appropriate, consider the steps needed to bring the confined space to atmospheric pressure
- consider the atmospheric testing to be undertaken and the parameters to be assessed before the entry permit is issued and/or if continuous monitoring or retesting is necessary
- consider all hazards which may be encountered
- confirm the status of the training of those persons intending to enter the confined space
- ensure adequate instruction of those persons in any unusual or non-typical work procedure required, including the use of any personal protective equipment and mechanical equipment to be used
- ensure the availability and adequacy of personal protective equipment, protective clothing and rescue equipment for all persons likely to enter the confined space for work or rescue purposes
- ensure signposting and where necessary barricading at each entry to the confined space. Signs shall;
  - a) comply with AS 1319
  - b) indicate that entry is permissible only after signing the entry permit
- the need for additional protective measures. Eg
  - a) prohibition of hot work in adjacent areas;
  - b) prohibition of smoking and other naked flames within the confined space and adjacent areas;
  - c) provision of suitable means of communication with and between persons inside the confined space;
  - d) avoidance of contamination of breathing atmosphere from operations or sources outside the confined space.



- arrangements for rescue which shall take into account;
  - a) the shape and size of the confined space;
  - b) the nature of the task to be performed;
  - c) obstacles within the space and the size and position of the means of entry to and exit from the space;
  - d) the number of persons occupying the space;
  - e) the number of persons required outside the space to maintain equipment essential for the confined space tasks;
  - f) to ensure adequate communication with and observation of the persons within the confined space;
  - g) to properly initiate rescue procedures if required.

### **Safety of the Atmosphere**

No person shall enter a confined space until it is free from any explosion hazard and either;

- the person entering the confined space is equipped with an appropriate supplied air respiratory protective device and appropriate protective clothing, or
- precautions have been taken to establish and maintain a safe atmosphere within the confined space for the duration of occupancy

Where it is preferred not to use supplied air respiratory protective devices, the precautions/actions which shall be implemented to establish and maintain a safe breathing atmosphere in a confined space are as follows;

- those specified in the remainder of this section, or
- where the work in the confined space is covered by documented standing orders approved by the regulatory authority and the proposed procedures are considered to represent a minimum of hazard, the precautions/actions specified in such standing orders.

### **Initial Cleaning**

Where practicable, all solids and liquids, which are liable to present a hazard to persons inside the confined space shall be removed from the confined space prior to entry.

### **Purging**

Where necessary, the confined space shall be cleared of contaminants by use of a suitable purging agent.

## **Evaluation of the Atmosphere**

Entry into a confined space shall not be permitted until its atmosphere has been evaluated to determine whether there is a hazard from;

- oxygen deficiency (ie < 18%) or excess.

**NOTE:** A level of 18% is considered the absolute minimum for entry where little or no physical work is undertaken. Where heavier works is to be undertaken eg average work 19.5% and hard work, 20% of oxygen is required

- contaminants in the atmosphere above the relevant TLV
- any flammable or combustible contaminant in the atmosphere above 5% of its LEL; and
- extremes of temperature

The evaluation of the atmosphere and a survey of other hazards shall be performed once the area adjacent to the point of entry has been made safe.

## **Retest and/or Monitoring**

Where considered necessary, arrangements shall be made to monitor or retest the atmosphere within the confined space.

## **Ventilation**

Where persons entering a confined space are not wearing supplied-air respiratory protective devices, the confined space shall be ventilated by natural or mechanical means to establish and maintain a safe work environment. The ventilation shall be continued throughout the period of occupancy as a safeguard against the unexpected release of contaminants. For example manholes either side of the blocked sewer shall be opened to create a flow through ventilation.

Where the maintenance of a safe working environment in a confined space is dependant on mechanical ventilation equipment, it shall;

- be continuously monitored while the confined space is occupied; and
- have the controls clearly identified and tagged to guard against unauthorised interference.

Exhaust facilities shall be arranged to ensure that any contaminated air exhausted from the confined space does not present a hazard to other persons or equipment.

Oxygen shall not be used to ventilate a confined space.

## **Personal Protective Equipment**

### **Respiratory Protective Devices**

Suitable supplied-air respiratory protective devices complying with AS 1716 shall be worn in the following circumstances;

- **where the precautions/actions specified in initial cleaning to ventilation inclusive have not been implemented**
- where the results of the evaluation specified in respiratory protective devices indicate that a safe breathing environment cannot be established or may not be maintained; or
- where the nature of the work procedure within the confined space is likely to degrade or contaminate the atmosphere in the confined space.

**NOTE:** Mechanical ventilation equipment may not be adequate or sufficiently reliable to maintain a safe atmosphere in the operator's breathing zone; particularly during operations likely to generate toxic contaminants. The selection and use of respiratory protective devices shall be in accordance with AS 1715 and shall take account of the hazards likely to be encountered.(eg the need to guard against damage to the protective device by any contaminants). The respiratory protective device shall be stored, maintained and inspected in accordance with the requirements of AS 1715.

### **Safety Belts, Harnesses and Lines**

Suitable safety belts, harnesses and safety lines and/or rescue lines complying with AS 1891 should be worn where-

- there is a hazard of falling during ascent or descent; and
- rescue by a vertical or horizontal route is practicable.

### **Notes**

1. It is not always practicable or desirable to specify wearing a safety harness or safety line and/or rescue line. When considering specifying the wearing of such equipment, care should be exercised to ensure that such equipment would not introduce a hazard or unnecessarily hinder free movement within a confined space.
2. Removal of unconscious people from confined spaces is extremely difficult. The use of hand-operated lifting equipment should be considered and where appropriate be on site before entry to the confined space is permitted.
3. The selection of the type of safety belt, harness or safety line or rescue line should be in accordance with AS 2626 and should take into account of the possible

hazards/rescue arrangements. The equipment should be stirred, maintained and inspected in accordance with the requirements of AS 2626.

## **SEWER/DRAIN CLEANING**

It will be necessary to ensure that the procedures for confined spaces are complied with prior to the commencement of work.

Personal protective equipment such as safety footwear, safety glasses, gloves and hearing protection are worn during the operation.

Take appropriate action to protect members of the public.

Check the machine to ensure it is good condition, all guards are in place, all fluid levels are correct and ensure no smoking during the operation.

The operation will require three operators;

- one to operate the machine
- one to hold the rods midway from the machine to the manhole
- one to feed rods into the manhole.

Rods must be held at full arms length from the body to minimise the possibility of clothing catching in rods.

## **NO LOOSE CLOTHING TO BE WORN.**

Instructions for start/stop operation are from the operator at the manhole to the operator at the machine.

The machine must be turned off whenever it left unattended or moved from one working area to another.

## **SWIMMING POOL FILTERS**

It will be necessary to ensure that the procedures for confined spaces are complied with prior to the commencement of work.

All unnecessary plant and equipment shall be shut down and tagged or locked out to prevent accidental start ups.

### **Personal Protective Equipment**

Before entering the filters to remove and replace the mineral sand, it will be necessary to consult and comply with the manufacturer's material safety data sheet.

This will stipulate the type of protective clothing and respiratory equipment that must be worn. It is essential that these requirements are fully understood and complied with.

The material safety data sheet will also stipulate first aid requirements which should be readily available.

### **Manual Handling**

Working in such an area, manual handling during the removal of the sand and the replacement by handling the bags, exposes employees to possible injury.

Employees should be fully trained in manual handling techniques and be fully aware of the possible hazards with such an operation.

### **Entry**

Cleaning of the filters or entry into the filters shall not occur unless two qualified SCBA and Chlorine gas employees are present and spare O<sub>2</sub> bottles are available on site.

## **EMERGENCY PROCEDURES**

Regulation 3.10 of the Occupational Safety and Health Regulations 1996, requires an employer to have an emergency evacuation procedure to be followed in the event of fire or other emergency.

This procedure is to be prominently displayed and practiced at regular intervals.

The council is required to establish emergency procedures for all of its buildings, including the Administration Building, Depot, Recreation Centre and Swimming Pool.

Such a procedure will cover not only fire but also armed holdup, disruptive persons, earthquakes, chlorine leaks, serious accidents and other such emergencies as may be identified.

Council will provide all employees with the necessary training as and when such procedures are developed and implemented.

## **COMMUNICATION WITH ISOLATED EMPLOYEES**

The Shire of Koorda often has employees working in isolation.

It is a requirement of Regulation 3.3 to have a procedure in place to ensure the safety and health of any such employees. It is not enough to rely on the two way communication on an ad hoc basis therefore the following procedure will be adhered to;

- Any employee working in isolation will be required to have a form of communication readily available, be it a mobile phone, two way radio or some other means of communication.
- If some form of communication is not available, employees will not be required to work in isolation.

- Isolation in the OSH Regulations is considered to be when an employee is isolated from other persons because of the time, location or nature of work.

An employee working in isolation will contact the Works Supervisor prior to the commencement of work and then on a two hourly basis (ie. 8:00am, 10:00am etc) report to the Chief Executive or Deputy Chief Executive Officer within the office on their status and location. This may be achieved as a minimum by radio contact.

The Chief Executive or Deputy Chief Executive Officer within the Administration office will record the time, status and location of the worker. The Works Supervisor will record and advise the Administration Office of employees working in isolation

If the employee working in isolation does not report in at the nominated time, then the Chief Executive or Deputy Chief Executive Officer will attempt to contact the isolated employee within five minutes of the nominated time.

If there is no response, the Chief Executive or Deputy Chief Executive Officer shall inform the Works Supervisor who shall attempt to establish contact either via radio or by physically attending the last known location.

If contact is not established, the following procedure will be adopted;

1. Contact is to be made with either the Works Supervisor or CEO.
2. It will be the responsibility of either to then proceed or have someone to the last known area of the isolated worker to establish contact.
3. On contact being made, take the necessary action as may be required.
4. While the preceding is taking place, the Chief Executive or Deputy Chief Executive Officer should continue to attempt to establish contact with the isolated worker.

This procedure is in addition to any personal communication/visits by a supervisor or other employees.

## **CHLORINE**

### **Procedure for changing chlorine drums**

It is essential to refer to the material safety data sheet prior to changing drums.

All employees involved with the handling of chlorine must be fully conversant with the contents of the material safety data sheet.

Chlorine is toxic by inhalation, irritating to the eyes, respiratory system and skin.

Two experienced operators must be present at all times and only authorised personnel are to handle and change drums.

## **Personal Protection**

Overalls, safety shoes, face shield or air mask, gloves.

Avoid skin and eye contact and inhalation of gas/vapour. Wear overalls, chemical goggles and impervious gloves. If inhalation risk exists wear an air supplied mask.

## **Removal**

1. ensure cylinder valve is closed
2. remove pigtail coupling
3. check for any leaks
4. if no leaks , replace outlet cap-nut
5. replace valve protection cap
6. store in a secure area in an upright position

## **Connection**

1. remove valve protection cap
2. ensure old washer is removed from pigtail and a new washer is used
3. connect pigtail to cylinder
4. open and then close the cylinder valve. Once valve is closed check coupling and line for leaks with ammonia
5. if no leaks are present, reopen cylinder and open valve to injector if chlorine is present;

(a) from line- leave cylinder valve closed and obtain a new pigtail

OR

(b) from coupling-ensure the coupling is tight.

In the event of a leak, evacuate all personnel from the immediate area, alert the Administration Office who will then initiate the emergency procedures.

## **STAFF RELATED**

### **USE OF EQUIPMENT**

**Policy No:** S6 **Adopted:** 16 May 2007 *159.1.1-2007*

**File Reference:** ADM 0323

#### **POLICY STATEMENT**

##### **Chainsaw Safety**

Chainsaws have the potential to inflict injuries and/or create hazardous situations. The major causes of accidents are ignorance of the hazards and lack of training in the correct handling and safety procedures.

Only trained and qualified personnel are to use chainsaws.

##### **Personal Protective Equipment (PPE)**

The following PPE is to be worn at all times when using a chainsaw.

- hard hat to protect from falling material and to reduce kickback injuries.
- hearing protection in the form of ear plugs or ear muffs must be worn by the operator and any assistants in the immediate area that may be subjected to any noise above the exposure level.
- eye protection such as safety glasses, goggles, mesh or perspex to protect the eyes from debris.
- leg protection in the form of specific chainsaw trousers such as chaps. These reduce the possibility of leg injuries.
- foot protection such as steel cap safety boots which should have non slip tread soles.
- hand protection in the form of gloves.

##### **Chainsaw Operation**

Before attempting to do anything with the chainsaw all operators must read the manual.

- ensure all safety features are fitted and operational before using the saw.



- the chainsaw is to be started and operated in accordance with the manufactures instruction manual.
- when crosscutting or pruning, check if any branches are under tension before cutting.
- check that the saw is correctly adjusted and that the blade is sharp, oiled and correctly tensioned.
- when refuelling, stop the engine, place in a clear area, allow cooling off, wipe saw dust away from filler caps, using a funnel with filter. **DO NOT SMOKE**
- seek advice and training in the use of the chainsaw.
- always wear the recommended protective clothing.

### **Nail Guns And Explosive Powered Tools (Regulations 4.50 and 4.51)**

It is essential that before using any nail guns or explosive power tools that you have been fully trained and are competent in their use. If there is any doubt do not attempt to use such equipment.

When using a nail gun at a workplace, warning signs bearing the words “**WARNING - NAIL GUN IN USE - KEEP CLEAR**” must be prominently displayed.

### **Lock Outs and Danger Tags**

Operating, servicing or maintenance work is often carried out on or close to mechanical and electrical equipment or processes.

Lockouts and danger tags are designed to protect employees from injury and the accidental use of machinery that requires attention or is being repaired.

A lock out system is the most effective method of preventing machinery becoming operational during maintenance. Its effectiveness lies in the one key per lock, one per person procedure.

Danger tags are used where it is not practicable to use the lockout system.

Danger tags are black, white and red and are designed to protect persons from life threatening injuries.

Out of Service Tags are yellow and black and signifies caution.

Should you come across any piece of equipment with any of these tags attached, **DO NOT REMOVE THEM UNDER ANY CIRCUMSTANCES OR ATTEMPT TO USE THE PIECE OF EQUIPMENT.**

The lockouts and tags can only be removed by the person who has placed them on the equipment.

### **Electrical Equipment** (Regulation 3.58)

It is now a legislative requirement that each connection on all flexible cords installed or renewed are of the moulded one part non rewirable or transparent type.

All hand held or portable electrical equipment must be protected by a residual current device either at the power point, by a portable residual current device or through current residual current devices fitted to the main switchboard.

If there is any doubt report to your supervisor.

Prior to the use of any electrical equipment always inspect and report any faults.

### **Fire Prevention**

**To reduce any codes, information documents and the Act and Regulations.**

## **STAFF RELATED**

### **TREE PRUNING**

**Policy No:** S7 **Adopted: 16 May 2007** 159.1.1-2007

**File Reference:** ADM 0323

#### **POLICY STATEMENT**

Tree pruning will only be carried out by authorised trained personnel.

Any tree pruning carried out near power lines will be in accordance with the Code Of Practice entitled “Personal Electrical Safety for Vegetation Control Work Near Live Powerlines.”

The following procedures will be followed;

- every employee working in the gang will be trained in tree pruning operations including the use of chainsaws, elevated work platforms and other plant that may be in use such as mulchers.  
Every employee shall comply with statutory distances and shall be trained in the observation of tree pruning activities.
- appropriate protective equipment must be worn at all times. See PPE, eg hearing protection, eye protection, chainsaw safety.
- check all tools and equipment to ensure all are in a safe working order
- ensure the site is kept clear of unnecessary equipment and personnel
- ensure public protection and traffic management control procedures are in place.
- the Works Supervisor will detail works to be carried out in writing

#### **ELEVATED WORK PLATFORMS**

All personnel using elevated work platforms must be fully trained in their use.

Personnel using elevated work platforms in the vicinity of powerlines must have passed the relevant Western Power training course and comply with the Code of Practice entitled “Personal Electrical Safety for Vegetation Control Work near Live Powerlines.”

No one must work closer than 3 metres to powerlines up to 33kv, 6 metres to powerlines above 33kv, or work above any powerlines without specific training.

Prior to the use of the elevated work platform ensure the machine is in good working order in accordance with the manufacturers specifications and all pre-operational checks are carried out. A deadman switch is to be fitted to the platform to prevent accidental movement.

All safety equipment must be used including a suitable means of preventing a person from falling, such as a safety harness.

The Platform must not be moved while in an elevated position. Ensure all stabilisers are on a sound footing and warning signs and barriers have been placed in appropriate positions to protect the public. Earth rods are to be used where fitted and must penetrate the earth no less than 300mm.

The elevated work platform must only be moved with the boom lowered.

### **PREVENTION OF FALLS (Regulation 3.49.)**

The OSH Regulations require the Council to provide protection to employees if there is a risk of falling from a height.

This can include the use of scaffolding, work platforms, ladders and fall-arrest systems.

If you are required to work at a height or in a position where there is a risk of falling, consult with your supervisor on the best prevention method to be used.

The Code of Practice entitled “Prevention of Falls at Workplaces” should be consulted to assist with the identification, assessment and control of the risk.

A copy of the Code of Practice is available from the CEO.

### **Scaffolding**

If it is found necessary to use scaffolding to prevent exposure to a possible fall from heights, it may be necessary to have any such scaffolding erected by a certified scaffolder if the height exceeds 4 metres.

# **STAFF RELATED**

## **DRUGS AND ALCOHOL**

**Policy No:** S8

**Adopted:** 17 October 2007 59.1.1-2008

**Reviewed:** 20 December 2017

**File Reference:** ADM 0323

### **POLICY STATEMENT**

To ensure a safe workplace free from the affects of drugs and alcohol.

### **RATIONALE**

Employees are obliged to present themselves for work in a fit state so that in carrying out normal work activities they do not expose themselves, their co-workers or the public to unnecessary risks to safety and health.

Although disciplinary action may be required, this policy focuses on preventative measures directed at ensuring the safety and health of both the individual and other persons.

WorkSafe (WA) states that because of privacy issues, drug and alcohol testing in the workplace should only be carried out if an identified risk exists for the employee and/or other persons, and this risk is associated with drug or alcohol use.

### **APPLICABILITY**

This policy applies to all employees.

**PREAMBLE** The Shire of Koorda is committed to a zero tolerance of alcohol and drugs in the workplace and will conduct random drug and alcohol screening to ensure compliance.

**OBJECTIVE** The objectives of the policy are to:

- Provide a safe working environment free from occupational health and safety hazards associated with inappropriate use of drugs and/or alcohol;
- Set out the Council's requirements in relation to the abuse of drugs and alcohol so that everybody is aware of what is expected of them and how they can expect to be treated;
- Use the policy as a deterrent for employees considering alcohol/drug use that may affect their work performance and compromise safety;
- Provide assistance through a range of preventative, educational, and rehabilitative measures to overcome alcohol and other drug problems that could affect individual performance or fitness for work;

- Provide a working environment which is conducive to productivity and to the achievement of business objectives by minimising the potentially harmful impact of alcohol and other drug consumption;
- Ensure that people who are deemed unfit for work as a result of alcohol or other drug misuse are dealt with in a fair and constructive manner;
- Ensure that the Shire of Koorda meets its obligations to employees, contractors and the general public to carry out its operations safely in accordance with relevant legislation.

**DEFINITIONS** For the purposes of the Alcohol and Other Drugs Policy the following definitions apply:

“Authorised person” means a person who has been trained and authorised by the CEO.

"Authorised testing centre" means an accredited laboratory in accordance with Australian Standard 4308 and/or 4760 and as approved by the Council.

"Confirmatory test" means a test conducted following the return of a positive screening test result to identify and quantitate the specific drug from the class of drug detected in the screening test.

"Council" means Shire of Koorda.

"Cut-off level" in relation to alcohol and other drugs is a value at or above which the test result is considered to be positive and below which the test result is considered to be negative.

"Employee" means any person employed by the Shire of Koorda.

"Employer" means the Shire of Koorda.

"Invalid sample" is a urine sample which is adulterated and/or which does not conform to the requirements of Australian Standard 4308.

"Negative confirmatory test result" means a result indicating the presence of no drugs or the presence of drugs below the cut-off levels prescribed in this Policy.

"Negative screening test result" means a result indicating the presence of no class of drugs or the presence of a class of drugs below the cut-off levels prescribed in this Policy.

"Other person in the workplace" means any person who performs work for or on behalf of the Shire of Koorda or any person who performs work on the premises or property of the Shire of Koorda.

"Policy" means the Shire of Koorda Fit to Work Policy as amended from time to time.

"Positive confirmatory test result" means a result indicating the presence of drugs at or above the cut-off levels prescribed in this Policy and/or a test result and/or an action that is deemed by the Policy to be a positive confirmatory test result.

"Positive screening test result" means a result indicating the presence of a class of drugs at or above the cut-off levels prescribed in this Policy.

"Screening test" means an initial test to identify the presence of a class of drugs as prescribed in this Policy.

"Valid sample" means an unadulterated urine sample that conforms to the requirements of Australian Standard 4308.

## **POLICY**

Both the Council and individual employees have obligations under the Duty of Care responsibilities in Occupational Safety and Health Legislation and at Common Law.

As an employer the Council is obliged to provide a safe workplace so that employees are not subject to unnecessary hazards. Part of this duty to take reasonable care relates to taking reasonable steps to ensure employees are in a fit state to work safely and to minimise risks to both themselves and their work mates.

Employees and other persons in the workplace have a corresponding duty under legislation to take reasonable care so as not to expose themselves or their fellow employees to unnecessary risks.

Employees have an obligation to advise the employer if they:

- Are unfit to perform work as a result of alcohol or drugs
- Are taking any medication that might affect their work performance
- Believe another employee or person in the workplace is unfit to perform work as a result of alcohol or drugs.

## **APPLICATION**

The Alcohol and Other Drugs Policy applies to all the Shire of Koorda employees or other persons performing work upon the premises or property of the Shire of Koorda.

## **MISUSE OF ALCOHOL AND OTHER DRUGS**

Everybody performing duties at the Shire of Koorda is expected to act in a responsible manner and present themselves for work in a fit state. Accordingly, a person adversely affected by alcohol or drugs is not permitted on the premises.

Any person whose alcohol or other drugs test results exceed the limits set out in this Policy will be deemed unfit for work.

This Policy does not apply to prescription drugs which are used for their intended purposes as currently prescribed for the person using them and where use of such drugs does not adversely affect the person's ability to perform work in a safe and productive manner. All personnel who use prescribed drugs must report this to their manager and must also make the manager aware of any possible side effects.

There may be occasions where alcohol may be included as part of a work function or other recognised work event. Where management has properly approved the consumption of alcohol, employees must continue to behave in a sensible and responsible manner with due care for their own and other people's safety and wellbeing. Failure to behave in a sensible and responsible manner with due care, or any failure to follow any directions given by management with regard to the consumption of alcohol may result in disciplinary action. It is a condition of the Shire of Koorda that employees make alternative arrangements to get home. The Shire of Koorda accepts no responsibility for employees during travel to and from the function.

#### *COMPULSORY DRUG AND ALCOHOL TESTING*

Employees and other persons in the workplace are required to undertake alcohol and drug testing when, where and as required. This will include:

- Random testing
- Extraordinary testing
- Incident testing
- Fitness for Work testing
- Pre-Employment testing

Valid samples for the purposes of drug screening will comply with the requirements of Australian Standard 4308 for the collection, detection and quantitation of drugs of abuse in urine or Australian Standard 4760 for oral fluid testing.

A screening test to identify the presence of alcohol will be conducted by breath analysing equipment that meets the requirements of Australian Standard 3547 and the procedure used will be as recommended by the manufacturer of the device.

All drug testing shall be conducted at a Council approved testing facility for urine testing or by authorised and trained persons at the workplace for oral testing. Authorised and trained persons will conduct all alcohol testing at the workplace.

Where an employee or other person in the workplace returns a positive screening test result a confirmatory test will be conducted.

A person who returns a positive screening test will not be permitted to remain in or return to the workplace pending the receipt by the employer of the confirmatory test result. Where a person is so required to leave the Council's premises or property the Council will ensure that it is in a safe and responsible manner.

A positive confirmatory test result will be dealt with in accordance with the "Action in Relation to Test Results" provisions as contained in this Policy.

A person who returns a negative confirmatory test result will be permitted to return to the workplace.

#### ***Random Testing***

All employees and other persons in the workplace may be required to provide a sample for testing as a result of a random selection process. The Council reserves the right to amend and adjust the random selection process from time to time as appropriate.



All employees will be tested at least once in every twelve months.

### ***Extraordinary Testing***

An employee once found to have obtained a positive result in either drug or alcohol testing shall be required to undergo further urine testing at the rate of three extraordinary tests over six months not including normal selection for random testing.

The Council's Chief Executive Officer shall determine when extraordinary testing is to take place.

### ***Incident Testing***

Employees involved in significant incidents may be tested. Significant incidents may include, but are not limited to:

- Vehicle accidents
- Injuries treated by a medical practitioner
- Property/equipment damage
- Reportable near misses

Persons involved in such incidents will be tested for alcohol and/or drugs as per the procedures under this policy. They will not be permitted to commence work until a negative test result is returned and they are considered to be fit for work.

A person who is required to provide a post-incident sample will be on full pay until the testing process is completed at which time they will either return to work or be dealt with in accordance with the "Action in Relation to Test Results" provisions as contained in this Policy.

### ***Fitness for Work Testing***

Any employee who has reason to believe that another employee, a contractor's employee, or a visitor is under the influence of drugs or alcohol must report their suspicions to their supervisor/manager. If the supervisor/manager agrees that there is cause for suspicion they must arrange for the person to be removed from the workplace and undertake to provide a urine or breathalyser test. The employee reporting the suspicion will also be tested.

The person will not be permitted to commence work until a negative test result is returned and they are considered to be fit for work. The persons who are required to provide the sample will be on full pay until the testing process is completed at which time they will either return to work or be dealt with in accordance with the "Action in Relation to Test Results" provisions as contained in this Policy.

Employees have the opportunity to voluntarily self-test "without prejudice" at least 10 minutes prior to the commencement of work if they are in doubt of their fitness for work. An employee who removes themselves from the workplace prior to any incident or disciplinary action will do so either on annual or unpaid leave. Repeated events will be treated as a performance matter.

### ***Pre Employment Testing***

All prospective employees shall be required to provide a urine sample that will be analysed for traces of prohibited or restricted drugs in accordance with Australian

Standard 4308 as a pre-requisite for employment with the Council.

The prospective employee will be requested to declare to the person administering the test whether they are taking any medication, including prescription and/or non-prescription over the counter drugs.

#### REFUSAL TO UNDERTAKE A TEST

Refusal by an employee to submit to or cooperate fully with the administration of a drug and alcohol test will be deemed to be the same as a First Positive result and the employee will be sent home on either earned annual leave or unpaid leave at the employee's choice.

The employee will be given a verbal warning. This will be performed in accordance with the relevant Council procedure which requires a record to be kept including the full details of the misconduct, time and date of warning, and names of witnesses.

The employee will present themselves at an authorised testing centre within 24 hours of the first refusal and undergo a test. If the employee continues to refuse to take a test, it will be treated as a Second Positive result and the employee will be sent home on either earned annual leave or unpaid leave at the employee's choice. The employee will be given a final written warning assuming there are no mitigating circumstances.

The employee will present themselves for another test within 24 hours of the second refusal and undergo a test. If the employee continues to refuse to take a test, it will be treated as a Third Positive result. Formal disciplinary procedures will be invoked to ascertain if any mitigating circumstances exist and to allow the employee to state their case. Unless there are convincing arguments to the contrary, the individual may be dismissed without notice.

#### PROVISION OF AN INVALID SAMPLE OR INABILITY TO PROVIDE A SAMPLE

An employee or other person in the workplace who provides an invalid sample for testing will be required to provide a valid sample for testing within 24 hours at an authorised testing centre and to comply with the instructions of the authorised testing centre to ensure the provision of a valid sample. In the absence of a medical explanation acceptable to the employer for the provision of an invalid sample, the provision of a second consecutive invalid sample will be treated as a Positive result for the purposes of this Policy.

Where an employee or other person in the workplace asserts that they are unable to provide a sample for testing, in the absence of an explanation acceptable to the employer and when given a reasonable timeframe, the person will be deemed to have returned a positive confirmatory test result for the purposes of this Policy.

#### REQUIREMENT TO DECLARE USE OF DRUGS PRIOR TO TESTING

As part of the drug testing process where Staff are on certain medication or prescriptions they are to provide a photocopy of same in a sealed envelope which is placed in the employees file and only opened if a positive reading is registered.

Where a positive test result is returned indicating the presence of a class of drugs consistent with the declared prescription and/or over the counter drugs no further action will be taken pending receipt of the confirmatory test results and provided the person is fit

for work. If the confirmatory test result is consistent with the proper and/or prescribed use of the declared prescription and/or non-prescription over the counter drugs it will not be considered a Positive result for the purposes of this Policy and no further action will be taken, provided that the person is fit for work.

Where the confirmatory test result is not consistent with the proper and/or prescribed use of the declared prescription and/or non-prescription over the counter drugs or where the use of prescription and/or non-prescription over the counter drugs has not been declared it will be considered a Positive result for the purposes of this Policy.

TESTING LEVELS

**ALCOHOL**

**Range zero to less than 0.02%**

Where an individual, after the 20 minute break, records a BAC greater than zero and up to and including 0.02% they will be stood down and provided with safe transport off site. Time off is to be taken as annual/unpaid leave.

For the first offence of a positive recording between zero and 0.02% the employee will be given a verbal warning by their supervisor.

Any subsequent positive test will result in formal disciplinary action being taken and a letter of warning issued.

**Range 0.02% to 0.10%**

Where an individual, after the 20 minute break, records a BAC greater than 0.02% and up to and including 0.10% they will be stood down and provided with safe transport off site. Time off is to be taken as annual/unpaid leave.

A formal written warning will be issued.

**Range greater than 0.10%**

A positive result greater than 0.10% will be stood down for 24 hours immediately with a view to termination of their employment at the discretion of the Chief Executive Officer.

**OTHER DRUGS**

The screening test cut-off levels for urine tests are:

<b>Class of Drug</b>	<b>Cut-off Level</b>
Methylamphetamine and Amphetamine	300 ug/l
Cannabis metabolites	50 ug/l
Cocaine metabolites	300 ug/l
Benzodiazepines	200 ug/l
Opiates	300 ug/l

The screening test cut-off levels for oral tests are:

<b>Class of Drug</b>	<b>Cut-off Level</b>
Methylamphetamine and Amphetamine	50 ng/ml
Cannabis metabolites	25 ng/ml
Cocaine metabolites	50 ng/ml
Opiates	50 ng/ml

The confirmatory test cut-off levels are:

<b>Class of Drug</b>	<b>Cut-off Level</b>
Opiates*	300
Codeine	300
Amphetamine	300
Methylamphetamine	300
Methylenedioxymethylamphetamine	300
Phentermine	500
Ephedrine	500
Pseudoephedrine	500
11-nor- $\Delta^9$ -tetrahydrocannabinol-9-carboxylic acid	15
Benzoyllecgonine	150
Ecgonine methyl ester	150
Oxazepam	200
Temazepam	200
Diazepam	200
Nordiazepam	200
7-amino-clonazepam	200
7-amino-flunitrazepam	200
7-amino-nitrazepam	200

As part of the drug testing process where Staff are on certain medication or prescriptions they are to provide a photocopy of same in a sealed envelope which is placed in the employees file and only opened if a positive reading is registered.

Where a positive test result is returned indicating the presence of a class of drugs consistent with the declared prescription and/or over the counter drugs no further action will be taken pending receipt of the confirmatory test results and provided the person is fit for work.

If the confirmatory test result is consistent with the proper and/or prescribed use of the declared prescription and/or non-prescription over the counter drugs it will not be considered a Positive result for the purposes of this Policy and no further action will be taken, provided that the person is fit for work.

Where the confirmatory test result is not consistent with the proper and/or prescribed use of the declared prescription and/or non-prescription over the counter drugs or where the use of prescription and/or non-prescription over the counter drugs has not been declared it will be considered a Positive result for the purposes of this Policy.

#### **ACTION IN RELATION TO TEST RESULTS**

##### **First Positive**

If an employee or other person in the workplace returns a positive confirmatory test result for the first time for other drugs then the following will apply:

- (i) They will be provided with a copy of the laboratory drug and alcohol test results.
- (ii) The employee will be sent home on either annual leave or unpaid leave at the employee's choice and given a verbal warning. This will be performed in

accordance with the Council's relevant disciplinary procedure which requires a record to be kept including the full details of the misconduct, time and date of warning, and names of witnesses.

- (iii) The employee shall enter into discussions with their manager and the CEO regarding the positive result. The employee may request a representative to be present in a purely observatory capacity.
- (iv) The Council will recommend to the employee that they seek medical and/or counselling help.

In the event of the positive result being for drugs other than cannabis, the employee will present themselves within 48 hours at an authorised testing centre and undergo a further test. If the test is positive, it will be treated as a Second Positive.

Only if the test is negative will the employee be able to resume their normal duties. In the event of the positive result being for cannabis, the employee shall undertake weekly drug testing at an authorised testing centre. The employee will not be permitted to commence work until a negative result is achieved. This may continue for a maximum period of up to six weeks.

The cost of testing to provide a negative result shall be at the employee's own expense.

The employer will consider failure to undertake weekly drug testing as required and to return a test result that indicates a decline in the level of the drug which was found to be at or above the cut-off level prescribed in this Policy or to return a test result which indicates the presence of any other drug at or above the cut-off level prescribed in this Policy as evidence of the employee's intention not to return to work and may terminate the contract of employment accordingly.

In the case of any other person in the workplace they will be removed from Council premises and will not be permitted to perform work for or with the Council or to enter Council premises until a negative result is achieved. The cost of testing to provide a negative result shall be at the person's own cost and shall be conducted by an authorised testing centre approved by the Council.

On return to work the employee or other person in the workplace will be subject to extraordinary testing in addition to the usual testing programme. Further contravention of this Policy will result in disciplinary action up to and including termination of employment.

Disputed results will be dealt with in accordance with Australian Standard 4308 and at the employee's own cost. The referee sample will be made available for testing by an authorised testing centre and all records of the original test made available for re-examination. Due to possible degradation of sample over time, re-testing need only detect the presence of the drug or metabolite using mass spectrometry.

### **Second Positive**

If an employee or other person in the workplace records a positive confirmatory test result for the second time for alcohol or drugs then the following will apply:

- (i) They will be provided with a copy of the laboratory drug and alcohol test results.
- (ii) The employee will be sent home on either annual leave or unpaid leave at the employee's choice and given a final written warning.
- (iii) The employee shall present themselves as soon as possible to a panel consisting of;
  - Direct Manager
  - Chief Executive Officer, and
  - Health and Safety Representative (employee's choice)

The objective of the panel is to discuss;

- Source of problem
- Explain the repercussions of a Third Positive test
- Reinforce the Fit to Work Policy
- Organise counselling and/or medical help

The employee shall undertake counselling and provide some proof or display an undertaking as to a change in lifestyle. The Counsellor shall decide when such proof or display is sufficient and when enforced counselling is over. Failure to complete enforced counselling or to provide sufficient proof of a change in lifestyle will result in disciplinary action up to and including termination of employment.

In the event of the positive result being for alcohol and drugs other than cannabis, the employee will present themselves within 48 hours at an authorised testing centre and undergo a further urine or breath test. If the test is positive, it will be treated as a Third Positive.

Only if the test is negative will the employee be able to resume their normal duties.

In the event of the positive result being for cannabis, the employee shall undertake weekly drug testing at an authorised testing centre. The employee will not be permitted to commence work until a negative result is achieved. This may continue for a maximum period of up to six weeks.

The cost of testing to provide a negative result shall be at the employee's own expense.

The employer will consider failure to undertake weekly drug testing as required and to return a test result that indicates a decline in the level of the drug which was found to be at or above the cut-off level prescribed in this Policy or to return a test result which indicates the presence of any other drug at or above the cut-off level prescribed in this Policy as evidence of the employee's intention not to return to work and may terminate the contract of employment accordingly.

In the case of any other person in the workplace they will be removed from Council premises and will not be permitted to perform work for or with the Council or to enter Council premises until a negative result is achieved. The cost of testing to provide a negative result shall be at the person's own cost and shall be conducted by an authorised testing centre approved by the Council.

On return to work the employee or other person in the workplace will be subject to extraordinary testing in addition to the usual testing programme. Further contravention of this Policy will result in disciplinary action up to and including termination of

employment.

Disputed results will be dealt with in accordance with Australian Standard 4308 and at the employee's own cost. The referee sample will be made available for testing by an authorised testing centre and all records of the original test made available for re-examination. Due to possible degradation of sample over time, re-testing need only detect the presence of the drug or metabolite using mass spectrometry.

### **Third Positive**

The employee will be immediately suspended from work without pay pending an investigation of the incident or occurrence. Formal disciplinary procedures will be invoked to ascertain if any mitigating circumstances exist and to allow the employee to state their case.

Unless there are convincing arguments to the contrary, the individual may be dismissed without notice. Where a person in the workplace other than an employee returns a positive confirmatory test result for the third time The Shire of Koorda may refuse to permit the person to perform work for or on behalf of the Council or to perform work on the premises or property of the Council.

### **DISCIPLINARY RECORD**

Where an employee has not breached this Policy for a period of not less than 24 months the individual will be regarded as successfully rehabilitated and any future incident or occurrence will be treated as a First Positive.

### **MISCONDUCT**

The following behaviours shall be deemed gross misconduct and will be subject to instant dismissal:

- The possession, cultivation, distribution, sale, purchase, or consumption of illegal substances;
- The unauthorised consumption, sale or supply of alcohol;
- The possession, sale, distribution or consumption of prescription drugs except as properly prescribed;
- The use of alcohol or any other drug such that a person's work performance or ability to work safety may be jeopardised;
- Breaches of confidentiality;
- Tampering with an alcohol or drug test sample.

### **COUNSELLING AND REHABILITATION**

All personnel will be offered the opportunity to seek appropriate counselling and rehabilitation services where the need arises. The Council intends in appropriate circumstances to help employees with problems associated with the abuse of drugs and alcohol and to encourage their rehabilitation.

However no part of this Policy or any related procedures is intended to affect the Council's right to manage its workplace and discipline its employees or to offer employment or continued employment, nor to make the Council liable for the costs associated with counselling and rehabilitation.

If an employee feels they require assistance with a substance abuse or dependence related

issue they may bring this to the attention of their Safety Representative, Supervisor or CEO. No disciplinary action will result from such a request, even if it is obvious that the Policy must have been previously breached, provided that the request is made well in advance of and not as a result of a drug and alcohol test.

Counselling and Rehabilitation, if required, can be arranged on a strictly confidential basis. This may be arranged through other agencies as listed below:

<b>Service Provider</b>	<b>Metro No.</b>	<b>Toll Free</b>
Occupational Services (WA)	9225 4522	1800 198 191
Alcohol and Drug Information Service (24hrs)	9442 5000	1800 198 024
Alcoholics Anonymous (24 hrs)	9325 3566	
Narcotics Anonymous	9227 8361	
Parents Alcohol and Drug Information Service	9442 5050	1800 653 203

#### ENSURING CONFIDENTIALITY

All employee information generated as a result of the implementation of this Policy will be safeguarded according to normal requirements for confidential human resource and medical information.

The information will only be provided to those people in the Council who have a legitimate need to know to ensure safety, health, or performance. No information relating to this Policy and identifying a particular individual will be released to any third party except with the individual's consent or to obtain professional or legal advice or if required by law.

Statistics will be compiled from time to time and made available to all staff. Any published statistics will not identify individuals.

Breaches of confidentiality shall result in the termination of employment.

#### COUNCIL PREMISES

Alcohol is allowed on Council owned residential property or accommodation units that constitute an employee's private accommodation.

To monitor compliance with this Policy the Council reserves the right to conduct searches, inspections and tests on Council premises in accordance with applicable law and without prior notice of the clothing, personal effects, lockers, toolboxes, baggage, vehicles and quarters of any person subject to this Policy.

If it is intended to conduct such a search the person/s concerned will be informed of the reason and be allowed to have another person present. The person conducting the search should request another supervisor/manager to be present and all details must be fully documented.

Where any employee or other person in the workplace refuses to submit to a search, inspection or test the incident will be referred to the local authorities. Where any employee is found to be in possession of a prohibited item they will be subject to disciplinary action up to and including termination of employment. Any other person in



the workplace found to be in possession of a prohibited item will not be permitted to perform work for or with the Council or to enter or remain on Council premises.

The possession, cultivation, distribution, sale, purchase or consumption of illegal substances on Council property or while otherwise on Council business will be considered a criminal matter and be referred to the appropriate authorities. Such matters will be dealt with in accordance with the relevant Council procedure.

#### CLIENT'S SITES

Council employees on other clients' sites are required to abide by and cooperate with the requirements of the client's drug and alcohol policy and procedures. This includes, where required, undertaking alcohol and other drug screening and submitting to searches and inspections so long as they are conducted in accordance with applicable law.

In the event of an employee testing positive in these circumstances or being found in possession of a prohibited item, the employee should immediately contact their manager who will undertake to arrange safe transport of the employee to an appropriate location. The employee's manager should immediately contact the Council's Occupational Health and Safety representative. Council employees testing positive to alcohol or drugs on clients' sites will also be shown as a positive result on their drug and alcohol records at the Shire of Koorda and the provisions of this Policy will apply.

#### ACCOUNTABILITIES

##### **Chief Executive Officer and Executives**

The Chief Executive Officer and Executives are accountable for ensuring the successful implementation and operation of the Alcohol & Other Drugs Policy. This will ensure that all employees understand and support the Policy and adequate resources are provided for appropriate education, training, counselling, and other requirements of the Policy.

##### **Managers and Supervisors**

Managers and Supervisors are accountable for ensuring that all individuals are aware of and comply with the provisions of this Policy and that the Policy is applied fairly and consistently to everybody in their areas of responsibility. This includes the provision of training, education, and other support programmes and periodic review of the implementation, application, and effectiveness of the Policy.

Managers and Supervisors also have responsibility for determining the fitness for work of individuals under their control and for taking prompt and appropriate action to address declining safety or work performance as a result of alcohol or other drug misuse. Failure to apply and enforce the Policy in a timely and effective manner will be treated as a performance matter.

All Managers and Supervisors will be appropriately trained to ensure their competency in handling these matters.

##### **All Individuals**

Everybody is accountable for:

- Ensuring that they are not in an unfit state for any reason, including the adverse effects of alcohol or other drugs;

- Raising any concerns about their own fitness for work;
- Raising any concerns about another person's fitness for work with their Manager or Supervisor;

Notifying their Supervisor or Manager of any situation in which this Policy may have been breached. This includes unauthorised possession or consumption of alcohol or other drugs on site or during work and failure to provide details of prescription medication and associated limitations to carry out normal duties. Medical confidentiality will be maintained as appropriate.

**HEAD OF POWER** Local Government Act 1995  
Local Government (Rules of Conduct) Regulations 2007 r.3

(1)(h)

Occupational Safety and Health Act 1984  
Occupational Safety and Health Regulations 1996

# **COUNCIL POLICIES**

## **SECTION W**

### **Policies Relating to Works**

This section deals with works of an operational nature.

# **WORKS**

## **PRIVATE WORKS**

**Policy No:** W7

**Adopted:**19.9.01

**Amended:** 16 May 2007 *159.1.1-2007*

**File Reference:** ADM 0323

### **POLICY STATEMENT**

That private works only be carried out of normal works staff working hours and;

- (a) the Works and maintenance program will not be adversely affected unless the advantages of carrying out the private works justifies some reassessment of the works programme;
- (b) full costs including supervision and administration costs are recovered through private works charge rates to be set annually in the Schedule of Rates and Charges;
- (c) agreements for private works are made in writing and signed by the person requesting the works, the agreement to make the applicant responsible for –
  - (i) marking out and general supervision of the work;
  - (ii) damage to property, foundations, cables, etc., which results from work carried out at the client's instructions;
  - (iii) any expense incurred through breakdown or delay.
- (d) the cost estimate is paid in advance, at the discretion of the CEO.

### **PURPOSE**

To set the parameters under which private works may be undertaken.

# **WORKS**

## **PRIVATE WORKS – SERVICE / SPORTING CLUBS**

**Policy No:** W8 **Adopted:19.9.01**

**File Reference:** ADM 0323

### **POLICY STATEMENT**

- (1) That the CEO at his discretion allow Council equipment to be used free of charge to carry out works under the control of a service or sporting club or church group outside normal working hours, where the plant and a council operator are available.
- (2) The plant must be operated by Council staff.
- (3) The borrowers are required to arrange remuneration of the operator if required.
- (4) The value of the council in-kind donation of plant (plant hire) be accounted for in the usual way and charged to donations.

### **PURPOSE**

To make plant available for projects which will be of benefit to the community.

# ADMINISTRATIVE MATTERS

## DOG CONTROL

### AUTHORISATIONS UNDER THE DOG ACT 1976

**Policy No:**                **A36**                                **Adopted 19.7.00**  
*Amended:15 June 2011 – 110611*  
*Reviewed/Updated 20 March 2013 080313*  
*Reviewed/Updated 18 March 2015 130315*  
*Reviewed/Updated 21 March 2018 050318*

**File Reference:**        **ADM 0323**

### **POLICY STATEMENT**

- (1) That CEO, Deputy Chief Executive Officer/Manager of Finance and Administration, and the Ranger contracted by the Shire of Koorda be authorised to exercise any power conferred on an authorised person by section 29(1) of the Dog Act 1976.
- (2) That the CEO, Deputy Chief Executive Officer/Manager of Finance and Administration, and the Ranger contracted by the Shire of Koorda be authorised to take enforcement proceedings under section 44(2) of the Dog Act 1976, including the retaining of legal advice if considered desirable by the CEO.

### **PURPOSE**

To put in place authorisations under the Dog Act so that the Dog Control function can be effectively managed.

### **COMPLEMENTARY LEGISLATION / AGENCIES**

Dog Act S 29 –

- (1) ..... a person authorised for the purpose by the council, may exercise any power conferred on an authorised person by this section.

He can –

- (3) seize and detain dogs in breach of written law;
- (5a) detain a dog which has bitten somebody under warrant issued by a JP pending the determination of an application for an order for the destruction of the dog;
- (10) cause a dog to be destroyed where unclaimed;

- (12) cause a dog to be destroyed upon the written authority of a registered vet or health surveyor;
- (13) cause a dangerous or evasive dog which cannot be captured to be destroyed.

S44(2) –

“Any proceedings under this Act, whether civil or penal, may be taken –

- (a) by an officer of the council authorised in that behalf by the council, in the name of the council .....

Local Government Department.

Barkline, c/- RSPCA.

## ADMINISTRATIVE MATTERS

### CEO TO ENFORCE ACT

**Policy No:** A39 **Adopted 19.7.00**

**File Reference:** ADM 0323

#### **POLICY STATEMENT**

That the CEO be appointed in writing to be authorised for the purpose of performing all the functions contained in Division 2 (Enforcement and legal proceedings) of Part 9 of the Local Government Act 1995 except the issue of infringement notices.

#### **PURPOSE**

To enable the powers in Division 2 of Part 9 of the Act to be given effect.

#### **COMPLEMENTARY LEGISLATION**

LGA section 9.10 –

##### **“Appointment of authorised persons**

- 9.10 (1) The local government may, in writing, appoint persons or classes of persons to be authorised for the purposes of performing particular functions.
- (2) The local government is to issue to each person so authorised a certificate stating that the person is so authorised, and the person is to produce the certificate whenever required to do so by a person who has been or is about to be affected by any exercise of authority by the authorised person.”

The particular functions are:-

- 9.11 to demand an offender’s name and place of residence and arrest a person who fails to comply, examine a vehicle involved in a suspected offence and ask the person in charge the person’s name and address, the name and address of the owner and whether the vehicle is licensed.
- 9.13(1) to give notice shifting the onus of proof onto the owner (of a motor vehicle).
- 9.16 to issue infringement notices for an alleged offence against a regulation or local law. (Note excluded so as not to conflict with an authorisation under ss9.17, 9.19 and 9.20)
- 9.17 to receive payment of the modified penalty under an infringement notice. Such person/s cannot be the one who issued the infringement notice.
- 9.19 to extend the time of payment of a modified penalty. Such person/s cannot be the one who issued the infringement notice.
- 9.20 to withdraw an infringement notice. Such person/s cannot be the one who issued the infringement notice.



## **ADMINISTRATIVE MATTERS**

### **EXERCISING POWERS UNDER PART 3**

**Policy No:** A40 **Adopted 19.7.00**

**File Reference:** ADM 0323

#### **POLICY STATEMENT**

That the CEO be appointed an authorised person for the purpose of exercising the following powers under Part 3 of the Act.

#### **PURPOSE**

To put in place appropriate authorisations to ensure that powers contained in Part 3 of the Act can be exercised promptly as occasion requires.

#### **COMPLEMENTARY LEGISLATION**

The powers concerned are identified below –

(1) **“Part 3 – Div 3, Subdivision 2 – Certain Provisions about Land**

S3.24 The powers given to a local government by this subdivision can only be exercised on behalf of the local government by a person expressly authorised by it to exercise those powers.

The powers concerned deal with:

1. the giving of notices under section 3.25 to owners/occupiers requiring them to do certain things on their land e.g. to make safe a tree on the land that endangers any person or thing on adjoining land;
2. doing things under section 3.27 on private land that is not Local Government property e.g. taking gravel for road works.

(2) **Part 3 – Div 3, Subdivision 3 – Powers of Entry**

Exercise powers of entry, where entry is required to perform a function under the Act, other than under a local law.

(3) **Part 3 – Div 3, Subdivision 4 – Impounding Goods involved in Certain Contraventions (s.3.39(1))**

Remove and impound any goods involved in a contravention that can lead to impounding.



## **BUSH FIRE CONTROL**

### **FIRE CONTROL OFFICERS**

**Policy No: B5**

**Adopted 19.7.00**

***Amended:15 June 2011 -110611***

**File Reference: ADM 0323**

#### **POLICY STATEMENT**

That the fire control officers be appointed annually (September) for the Shire of Koorda and any dual control officers (adjoining shires)

The Chief Bushfire Control Officer and his Deputy will be appointed by Council. It is the responsibility of the individual brigades to nominate Fire Control Officers for their brigade area.

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## **COUNCIL AND COMMUNITY**

### **DISTRICT - GROUP PHOTOGRAPHS**

**Policy No:** C14 **Adopted 19.7.00**

**File Reference:** ADM 0323

#### **POLICY STATEMENT**

Photographs – Any photograph taken by or given to Council to show sufficient detail to identify the person(s), feature or area. Endeavours to be made to ensure existing photographs have necessary detail obtained.

#### **PURPOSE**

To enhance the value of photographs kept by the Shire for historical purposes.

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## **FINANCE**

### **ASSET VALUATIONS IN ACCOUNTS**

**Policy No:** F11

**Adopted 31.7.00**  
*Amended August 17 2016 - 050816*

**File Reference:** ADM 0323

#### **POLICY STATEMENT**

To ensure compliance with Fair Value Regulations, asset valuations are to be assessed by:

- in the case of plant, external equipment and engineering works, and all other assets, valuations are assessed by a method chosen by the Chief Executive Officer and approved by the Shire Auditors keeping in mind the cost of professional assistance;
- in the case of buildings by a method using an approved building Valuer to the satisfaction of the Auditor
- In the case of material stocks, valuations are at cost.

#### **PURPOSE**

To ensure compliance with Fair Value Regulations while keeping costs at a minimum.

# FINANCE

## REVIEW OF FINANCIAL MANAGEMENT SYSTEMS

**Policy No:** F15 **Adopted** 31.7.00  
*Amended:15 June 2011 -110611*  
**File Reference:** ADM 0323

### **POLICY STATEMENT**

That the CEO negotiate with the Council's auditors to carry out a review of Council's financial management systems and procedures in every fourth year and report the results to the Council.

### **PURPOSE**

To keep abreast of technological change.

### **COMPLEMENTARY LEGISLATION**

Local Government (Financial Management) Regulations –

- 5(2) The CEO is to –
- (a) .....
  - (b) .....
  - (c) undertake reviews of the appropriateness and effectiveness of the financial management systems and procedures of the local government regularly (and not less than once in every 4 financial years) and report to the local government the results of those reviews.