SHIRE OF
DOWERIN
TIN DOG TERRITORY

AGENDA

Ordinary Council Meeting

To be held in Council Chambers
13 Cottrell Street, Dowerin WA 6461
Tuesday 26 November 2019
Commencing 2.00pm

NOTICE OF MEETING

Dear President and Councillors,

The next Ordinary Meeting of Council of the Shire of Dowerin will be held on Tuesday 26 November 2019 in the Shire of Dowerin Council Chambers, 13 Cottrell Street, Dowerin. The format of the day will be:

2.00pm	Council Meeting
Following conclusion of Council Meeting	Council Workshop

Rebecca McCall
Chief Executive Officer
25 November 2019

DISCLAIMER
Statements or decisions made at this meeting should not be relied or acted on by an applicant or any other person until they have received written notification from the Shire. Notice of all approvals, including planning and building approvals, will be given to applicants in writing. The Shire of Dowerin expressly disclaims liability for any loss or damages suffered by a person who relies or acts on statements or decisions made at a Council or Committee meeting before receiving written notification from the Shire.

The advice and information contained herein is given by and to Council without liability or responsibility for its accuracy. Before placing any reliance on this advice or information, a written inquiry should be made to Council giving entire reasons for seeking the advice or information and how it is proposed to be used.

It should be noted that the Attachment hyperlinks may not be functional from this document when sourced from the Shire of Dowerin's website. Attachment copies follow on from the end of the Council Agenda and Minutes.

Table of Contents

1.	Official Opening / Obituaries
2.	Record of Attendance / Apologies / Leave of Absence
3.	Public Question Time
4.	Disclosure of Interest
5.	Applications for Leave of Absence
6.	Petitions and Presentations
7.	Confirmation of Minutes of the Previous Meetings
7.1	Ordinary Council Meeting held on 22 October 2019
8.	Minutes of Committee Meetings to be Received
8.1	Audit & Risk Committee Meeting held on 22 October 2019
8.2	Local Emergency Management Committee Meeting held on 4 November 2019
9.	Announcements by the President Without Discussion
10.	Officer's Reports – Corporate and Community Services
10.1	Deferment of Financial Activity Statements
10.2	List of Accounts Paid
10.3	Recalcitrant Rates Debtors as at 31 October 2019
10.4	Dowerin Memorial Swimming Pool – Times of Opening – Infant Swimming
10.5	Integrated Planning and Reporting - Corporate Business Plan – Quarterly Monitoring Review – November 2019
11.	Officer's Reports – Governance and Compliance
11.1	Policy Manual Review - Risk Management Policy
11.2	Risk Management Framework Review
11.3	Risk Dashboard Quarterly Report – October 2019
11.4	2019 Financial Management Review
11.5	CEO's Review of Risk Management, Internal Control and Legislative Compliance and Risk Management Governance Framework
11.6	Local Emergency Management Arrangements 2019
11.7	Policy Manual Review – Proposed Regional Price Preference Policy
11.8	Reserve 33528 and Reserve 51705 – Request to Accept Management Orders
11.9	Policy Manual Review – 2007 Policy Manual, Current Policy Manual and Replacement of Plant & Vehicles Policy
11.10	Freedom of Information – Information Statement 2019/20
11.11	Lot 38 (No. 42) Stewart Street, Dowerin – Proposed Shed

11.12	*Litter Act 1979* and *Control of Vehicles (Off Road) Act 1978* - Appointment of Authorised Persons
12.	Officer's Reports – Works and Assets
12.1	Reallocation of 2019/20 Roads to Recovery Funding
12.2	Sale of Light Vehicles
13.	Urgent Business Approved by the Person Presiding or by Decision
14.	Elected Members' Motions
15.	Matters Behind Closed Doors
15.1	Staff – Chief Executive Officer – Performance Appraisal 2019
16.	Closure

Shire of Dowerin
Ordinary Council Meeting
2.00pm Tuesday 26 November 2019

1. Official Opening / Obituaries

In opening the meeting the President and Councillors will acknowledge the passing of Mr Les Ward, who served on Council from 1997-2011 including a period as Shire President from 2004-2007, Mrs Margaret Bartlett, and Mr Ray Sutherland.

2. Record of Attendance / Apologies / Leave of Absence

Councillors:

Cr DP Hudson	President
Cr JC Chatfield	
Cr LG Hagboom	
Cr LH Holberton	
Cr JC Sewell	
Cr RI Trepp	
Cr BA Ward	

Staff

Ms R McCall	Chief Executive Officer
Mr G Brigg	Manager Works & Assets
Ms C Delmage	Manager Corporate & Community Services
Ms V Green	Executive & Governance Officer

Members of the Public: Mr B Walsh

Apologies:

Approved Leave of Absence: Cr AJ Metcalf (CMRef 0059)

3. Public Question Time

4. Disclosure of Interest

Councillors are to complete a Disclosure of Interest Form for each item they are required to disclose an interest in. The Form should be given to the Presiding Member before the meeting commences. After the meeting, the Form is to be provided to the Executive & Governance Officer for inclusion in the Disclosures Register.

5. Applications for Leave of Absence

6. Petitions and Presentations

In accordance with Council's Recognising Council Service Policy a presentation will be made to Mr Brenton Walsh as official recognition of his service to the Shire of Dowerin as a Councillor for the period 2015-2017.

7. Confirmation of Minutes of the Previous Meeting(s)

7.1 Ordinary Council Meeting held on 22 October 2019

Attachment 7.1A

Voting Requirements	
■ Simple Majority	☐ Absolute Majority

Officer's Recommendation – 7.1

That, in accordance with Sections 5.22(2) and 3.18 of the *Local Government Act 1995*, Council confirms the Minutes of the Ordinary Council Meeting held on 22 October 2019, as presented in Attachment 7.1A, are a true and correct record of proceedings.

8. Minutes of Committee Meeting(s) to be Received

8.1 Audit & Risk Committee Meeting held on 22 October 2019

Attachment 8.1A

8.1 Local Emergency Management Committee Meeting held on 4 November 2019

Attachment 8.1B

Voting Requirements	
■ Simple Majority	☐ Absolute Majority

Officer's Recommendation – 8.1

That, in accordance with Sections 5.22(2) and 3.18 of the *Local Government Act 1995*, Council receives the Minutes of the:

1. Audit & Risk Committee Meeting (unconfirmed) held on 22 October 2019, as presented in Attachment 8.1A;
2. Local Emergency Management Committee Meeting (unconfirmed) held on 4 November 2019, as presented in Attachment 8.1B.

9. Announcements by the President Without Discussion

10. OFFICER'S REPORTS – CORPORATE AND COMMUNITY SERVICES

10.1 Deferment of Financial Activity Statements

Corporate & Community Services	
Date:	22 November 2019
Location:	Not Applicable
Responsible Officer:	Cherie Delmage, Manager Corporate & Community Services
Author:	Susan Fitchat, Senior Finance Officer
Legislation:	*Local Government Act 1995; Local Government (Financial Management) Regulations 1996*
SharePoint Reference:	Organisation/Financial Management/Reporting/Financial Statements/2019-2020 Monthly Financial Statements
Disclosure of Interest:	Nil
Attachments:	Nil

Purpose of Report

☐ Executive Decision ■ Legislative Requirement

Officer's Comment

In accordance with Regulation 34(4) of the *Local Government (Financial Management) Regulations 1996,* the Financial Activity Statement for the month of October 2019 will be presented to Council's December 2019 meeting.

The reasons for the deferment are due to the resignation of the Senior Finance Officer which adds an increased work burden to other Corporate Services staff, and to allow staff time to ensure that the finance systems are accurately reflecting what is presented to Council.

Consultation

Rebecca McCall, Chief Executive Officer

Voting Requirements

■ Simple Majority ☐ Absolute Majority

Officer's Recommendation – 10.1

That, in accordance with Regulation 34(4) of the *Local Government (Financial Management) Regulations 1996*, Council defers the statutory Financial Activity Statements for the period ending 31 October 2019 to be presented to its December 2019 meeting.

10.2 List of Accounts Paid

Corporate & Community Services

Date:	21 November 2019
Location:	Not Applicable
Responsible Officer:	Cherie Delmage, Manager Corporate & Community Services
Author:	As above
Legislation:	*Local Government Act 1995; Local Government (Financial Management) Regulations 1996*
SharePoint Reference:	Organisation/Financial Management/Reporting/Financial Statements and Credit Cards
Disclosure of Interest:	Nil
Attachments:	Attachment 10.2A – List of Accounts Paid

Purpose of Report

☐ Executive Decision ■ Legislative Requirement

Summary

This Item presents the List of Accounts Paid, paid under delegated authority, for October 2019.

Background

Nil

Comment

The List as presented has been reviewed by the MCCS.

Consultation

Rebecca McCall, CEO

Cherie Delmage, MCCS

Kathy Brigg, Finance Officer

Policy Implications

The Shire of Dowerin has a comprehensive suite of financial management policies. Finances have been managed in accordance with these policies. Payments have been made under delegated authority.

Strategic Implications

Strategic Community Plan

Community Priority: Our Leaders

Objective: A thriving and progressive rural community enabled by innovation in leadership, a focus on continuous improvement and adaptability to evolving community needs

Outcome: 2 & 3

Reference: L3, L4 & L5

Asset Management Plan

Nil

Long Term Financial Plan

Nil

Statutory Implications

Regulation 12 & 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 delegated authority.

Risk Implications

Council would be contravening to the *Local Government Act 1995* and *Local Government (Financial Management) Regulations 1996* if this item was not presented.

Financial Implications

Funds expended are in accordance with Council's adopted 2019/20 Budget.

Voting Requirements

■ Simple Majority ☐ Absolute Majority

Officer's Recommendation – 10.2

That, in accordance with Regulation 12 & 13 of the *Local Government (Financial Management) Regulations 1996*, Council receives the report from the Chief Executive Officer on the exercise of delegated authority in relation to creditor payments from the Shire of Dowerin Municipal Fund, as presented in Attachment 10.2A, and as detailed below:

List of Accounts Paid – October 2019	
EFT7180 To EFT7243	$241,128.15
DD10747, DD10758 & DD10765; Superannuation	$19,145.84
Cheque 10732 to 10743	$21,846.48
DD10770; Loan Fees	$9,853.62
DD130858; Bank Fees	$1,281.62
DD10754; NAB Credit Card; October 2019	$2,725.20
DD10749; Puma Energy Fuel; October 2019	$2,003.95
Net Payroll; PPE 2 October 2019	$56,415.47
Net Payroll; PPE 16 October 2019	$56,410.01
Net Payroll; PPE 30 October 2019	$54,010.05
TOTAL	$464,820.39

10.3 Recalcitrant Rates Debtors as at 31 October 2019

Corporate & Community Services

Date:	4 November 2019
Location:	Various
Responsible Officer:	Cherie Delmage, Manager Corporate & Community Services
Author:	Louise Sequerah, Acting Rates Officer
Legislation:	*Local Government Act 1995; Local Government (Financial Management) Regulations 1996*
SharePoint Reference:	Organisation/Rates and Evaluations/Reporting/2019 Recalcitrant Rates Debtors
Disclosure of Interest:	Nil
Attachments:	Attachment 10.3A – Recalcitrant Rates Debtors

Purpose of Report

■ Executive Decision ☐ Legislative Requirement

Summary

This month's recalcitrant rates debtors report details:

1. Non-pensioner assessments;
2. Properties with a balance of than $100;
3. Properties that have arrears more than 1 year old; and
4. Properties not paying by instalments or under an arrangement.

The Rates Officer under the guidance of the Manager Corporate & Community Services has commenced debt recovery on assessments where the ratepayer has made no attempt to pay off rates and charges.

Background

It is best practice for Council to have less than 4% of the rates levied outstanding at the end of the financial year.

Comment

Debt recovery via a Debt Collection Agent is a time consuming and expensive process. In the 2018/19 financial year an aggressive approach was taken with debt recovery, to attempt to recover some long term overdue amounts.

This financial year a less aggressive approach is being taken, with staff contacting ratepayers to see if an agreement can be made on the outstanding balances. In most instances these balances are only one year old and of a value that does not warrant an Agent being involved.

It is hoped that by using this approach, Council's legal expenses will be less and ratepayers will be more responsive to an arrangement to pay off the overdue amounts.

Consultation

Louise Sequerah, Acting Rates Officer

Cherie Delmage, Manager Corporate & Community Services

Lauren Marsh, Senior Account Manager - AMPAC Debt Recovery

The above Officers have had ongoing consultation as to the process and Council's policy in relation to the recovery of outstanding rates and charges.

Policy Implications

Nil

Strategic Implications

Strategic Community Plan

Community Priority:	Our Leaders
Objective:	A thriving and progressive rural community enabled by innovation in leadership, a focus on continuous improvement and adaptability to evolving community needs
Outcome:	2 & 3
Reference:	L3, L4 & L5

Asset Management Plan

Nil

Long Term Financial Plan

Nil

Statutory Implications

Local Government Act 1995

Risk Implications

By actioning debt recovery, Council minimises the risk of future defaults and loss of income for the Shire. Associated costs are charged to the ratepayer's account.

Local governments have the power to have property re-vested if the debt remains unpaid for 3 years.

Financial Implications

It is best practice for Council to have less than 4% of the rates levied outstanding at the end of the financial year to minimise cash flow implications.

Voting Requirements

■ Simple Majority ☐ Absolute Majority

Officer's Recommendation – 10.3

That Council receives the report of Recalcitrant Rates Debtors, as presented in Attachment 10.3A.

10.4 Dowerin Memorial Swimming Pool – Times of Opening – Infant Swimming

Corporate & Community Services

Date:	5 November 2019
Location:	Not applicable
Responsible Officer:	Cherie Delmage, Manager Corporate & Community Services
Author:	Vanessa Green, Executive & Governance Officer
Legislation:	*Local Government Act 1995*
SharePoint Reference:	Community/Community Development/Community Programs/2019 Infant Swimming
Disclosure of Interest:	Nil
Attachments:	Attachment 10.4A - Correspondence

Purpose of Report

■ Executive Decision ☐ Legislative Requirement

Summary

This Item presents a request to Council to approve additional opening hours for the Dowerin Memorial Swimming Pool (DMSP) for the purpose of conducting infant swimming classes.

Background

The Shire of Dowerin has a contract with Contract Aquatic Services for the management and operation of the DMSP.

In agreement with Contract Aquatic Services the standard opening hours of the DMSP are to be 12pm to 7pm daily, except Tuesday and specified public holidays when the DMSP is closed. Clause 5.2 stipulates a charge of $50 per hour for any additional opening hours.

Ms Rebecca Windsor is a local provider of personal training/fitness instruction and an accredited Austswim Instructor. Ms Windsor has requested consideration for the DMSP to be opened early to enable her to conduct infant swimming classes for children aged 12 months to 5 years.

Council considered a similar request at its November 2018 meeting resolving (Item 10.1.1):

"That Council, by Absolute Majority, in accordance with Section 3.18 of the Local Government Act 1995 resolves to open the Dowerin Memorial Swimming Pool at 10am to accommodate infant swimming lessons for the following dates:

2018	*2019*
Sunday 2 December 2018	*Sunday 10 February 2019*
Friday 7 December 2018	*Friday 15 February 2019*
Sunday 9 December 2018	*Sunday 17 February 2019*
Friday 14 December 2018	*Friday 22 February 2019*
	Sunday 24 February 2019
	Friday 1 March 2019"

Comment

Given the success of the program in recent years, Ms Windsor has again requested that the DMSP be opened 1 hour earlier (i.e. from 11am) to enable exclusive use of the DMSP to conduct the classes.

The proposed dates are as follows:

Block 1 - 2019	Block 2 - 2020
Friday 6 December 2019	Friday 31 January 2020
Sunday 8 December 2019	Sunday 2 February 2020
Friday 13 December 2019	Sunday 9 February 2020
Sunday 15 December 2019	Sunday 16 February 2020
Friday 20 December 2019	
Sunday 22 December 2019	

While registrations for the above 2019/20 classes have not yet opened, high numbers of participants are anticipated.

Teaching children, particularly young children, to swim and have confidence in the water is an important life skill, with the implications of a child not being able to swim often having tragic and devastating consequences. As it is therefore considered an important community safety initiative, the Officer's Recommendation is that Council supports the proposal.

Consultation

Rebecca Windsor, Austswim Instructor

Mat Mildwaters, Contract Aquatic Services

Rebecca McCall, CEO

Policy Implications

Nil

Strategic Implications

Strategic Community Plan

Community Priority: Our Lifestyle

Objective: A safe, friendly and engaged community with diverse education and employment opportunities and services that meet the needs of all generations.

Outcome: 1

Reference: C1

Asset Management Plan

Nil

Long Term Financial Plan

Nil

Statutory Implications

Local Government Act 1995

Risk Implications

Nil

Financial Implications

The additional cost to open the DMSP early to accommodate infant swimming lessons can be absorbed through the existing 2019/20 Budget allocation under GL 20431 – Members Donations.

Additional Hours	Days	Number of Days	Rate per Hour	Total Cost
1 hour (11am-12pm)	Friday & Sunday	10	$50	$500

As an alternative, Council does have the option to charge Ms Windsor this fee, as opposed to absorbing the cost itself. However, the implications of that may be that the classes are not run.

Voting Requirements

☐ Simple Majority ■ Absolute Majority

Officer's Recommendation – 10.4

That, in accordance with Section 6.12 of the *Local Government Act 1995,* Council resolves to:

1. Open the Dowerin Memorial Swimming Pool one hour earlier, at 11am, to enable exclusive use of the premises for infant swimming classes to be conducted on the following dates:

Block 1 - 2019	Block 2 - 2020
Friday 6 December 2019	Friday 31 January 2020
Sunday 8 December 2019	Sunday 2 February 2020
Friday 13 December 2019	Sunday 9 February 2020
Sunday 15 December 2019	Sunday 16 February 2020
Friday 20 December 2019	
Sunday 22 December 2019	

and:

2. Waive the charge of $500, allocating the cost to GL 20431 – Member Donations.

10.5 Integrated Planning and Reporting - Corporate Business Plan – Quarterly Monitoring Review – November 2019

Corporate & Community Services

Date:	7 November 2019
Location:	Not Applicable
Responsible Officer:	Rebecca McCall, CEO
Author:	As Above
Legislation:	*Local Government Act 1995*
SharePoint Reference:	Corporate Management/Reporting/Integrated Planning & Reporting Quarterly Monitoring Review
Disclosure of Interest:	Nil
Attachments:	Attachment 10.5A – Corporate Business Plan - Quarterly Monitoring Review – November 2019

Purpose of Report

■ Executive Decision ☐ Legislative Requirement

Summary

This Item presents to Council the Integrated Planning & Reporting (IPR) Corporate Business Plan Quarterly Monitoring Review for November 2019.

Background

In 2013 the Shire of Dowerin prepared three components of its first suite of plans to meet the requirements of Western Australia's IPR framework.

Council has the responsibility to make strategic decisions, set policy and direction, provide oversight, and monitoring to ensure the adopted plans are achieved on behalf of its community. The CEO and the Administration's IPR responsibilities are to support Council through:

1. the design of the planning and monitoring processes;
2. providing Council with the best available information to make decisions;
3. following through to implement plans with the allocated resources; and
4. tracking performance and reporting progress to Council.

The IPR planning and monitoring cycle is continuous. The planning cycle requires all local governments to undertake a major strategic review every four years. This meant the Shire of Dowerin's first Strategic Review was undertaken in 2017/18. Council IPR Suite of Plans includes:

Name of Plan	Month Adopted
Reviewed Strategic Community Plan	Adopted March 2018
Asset Management Plan	Adopted May 2018

Long Term Financial Plan	Adopted May 2018
Reviewed Corporate Business Plan	Adopted March 2019
Reviewed Workforce Plan	Adopted May 2019

Comment

With the implementation of the IPR Suite of Plans, monitoring is undertaken through the IPR Framework Process Plan outlining Dowerin's Baseline Report to include:

1. Theme;
2. Objective;
3. Outcome;
4. Strategy; and
5. Key Actions.

The Corporate Business Plan Quarterly Monitoring Review – November 2019 is presented to Council for its perusal.

Consultation

Nil

Policy Implications

Nil

Statutory Implications

Section 5.56(1) of the *Local Government Act 1995* requires all local governments to produce plans for the future. The IPR Framework was introduced in Western Australia as part of the State Government's Local Government Reform Program.

Strategic Implications

Strategic Community Plan

Community Priority: Our Leaders

Objective: A thriving and progressive rural community enabled by innovation in leadership, a focus on continuous improvement and adaptability on involving community needs.

Outcome: 3

Reference: L6.2

Asset Management Plan

Identified strategies and key actions will impact on the Asset Management Plan. Annual reviews of the Asset Management Plan will accommodate aligned strategies and key actions.

Long Term Financial Plan

Identified strategies and key actions will impact on the Long Term Financial Plan. Annual reviews of the Long-Term Financial Plan will accommodate aligned strategies and key actions.

Risk Implications

The adoption, implementation and monitoring of the IPR Suite of Plans provides a mechanism to:

1. Deliver accountable and measurable outcomes; and
2. Deliver services and manage assets that can sustain the community.

Management of systems with the rigour of process and integrity of data to accurately reflect asset management costs.

Financial Implications

There are financial implications to Council in relation to this item as the IPR Suite of Plans recognise outcomes. Identified outcomes from the IPR Suite of Plans are factored into the Council's Strategic Resource Plan 2018-2028.

Voting Requirements

■ Simple Majority ☐ Absolute Majority

Officer's Recommendation – 10.5

That, in accordance with Section 5.56(1) of the *Local Government Act 1995*, Council receives the Corporate Business Plan - Quarterly Monitoring Review – November 2019, as presented in Attachment 10.5A.

11. OFFICER'S REPORTS – GOVERNANCE AND COMPLIANCE

11.1 Policy Manual Review - Risk Management Policy

Governance & Compliance	
Date:	7 October 2019
Location:	Not applicable
Responsible Officer:	Rebecca McCall, Chief Executive Officer
Author:	Vanessa Green, Executive & Governance Officer
Legislation:	*Local Government Act 1995; Local Government (Audit) Regulations 1996*
SharePoint Reference:	Organisation/Governance/Council Policies/Policy Manual
Disclosure of Interest:	Nil
Attachments:	Attachment 11.1A – Reviewed Risk Management Policy Attachment 11.1B – Risk Management Policy (adopted May 2017)

Purpose of Report

☐ Executive Decision ■ Legislative Requirement

Summary

This Item presents the Risk Management Policy to Council for consideration and, if satisfactory, adoption.

Background

The Shire of Dowerin's Risk Management Policy and Framework sets out the Shire's approach to the identification, assessment, management, reporting and monitoring of risks.

The previous Risk Management Policy, adopted in January 2008 and reviewed in May 2017, has been reviewed and is included as an Attachment. Also included as an Attachment is the policy adopted in May 2017 for comparison.

Comment

The 2019 review has expanded the Policy to include Risk Assessment and Acceptance Criteria and also a Monitor and Review process. In addition, the Roles and Responsibilities have been expanded to clearly define the CEO's responsibilities relating to risk management.

Other changes are considered minor, mainly to make the wording more reader-friendly and understandable, while not affecting the intent of the Policy.

Consultation

Audit & Risk Committee Meeting 22 October 2019

Senior Management Group

Policy Implications

If adopted, the Policy Manual will be updated with the reviewed policy.

Strategic Implications

Strategic Community Plan

Community Priority: Our Leaders

Objective: A thriving and progressive rural community enabled by innovation in leadership, a focus on continuous improvement and adaptability to evolving community needs

Outcome: 3

Reference: L5

Asset Management Plan

Nil

Long Term Financial Plan

Nil

Statutory Implications

Section 2.7 of the *Local Government Act 1995* stipulates that the role of Council is to determine policies.

Risk Implications

The Shire of Dowerin has a Risk Management Governance Framework which includes a policy and procedure. The Framework provides tools to monitor the Shire's risk profile on a quarterly basis. With the implementation of regular monitoring and review risk implications are considered low.

Financial Implications

Nil

Voting Requirements

■ Simple Majority ☐ Absolute Majority

Committee's Resolution

Moved: Mr Whiteaker Seconded: Cr Ward

0051 That, by Simple Majority in accordance with Regulations 16 and 17 of the *Local Government (Audit) Regulations 1996*, the Audit & Risk Committee receives the reviewed Risk Management Policy, as presented in Attachment 7.2A and as amended, and recommends to Council that it adopts the reviewed and amended Risk Management Policy.

CARRIED 3/0

Committee's Comment

The Committee suggested further changes to the Policy being:

1. The inclusion of 'point 10 – Operational Management' under Policy; and
2. A reduction in the Financial Impact for Major and Catastrophic Ratings to $500,000.

These changes have been incorporated in the document as presented in Attachment 11.1A.

Officer's Recommendation – 11.1

That, in accordance with Regulations 16 and 17 of the *Local Government (Audit) Regulations 1996*, Council adopts the reviewed Risk Management Policy, as presented in Attachment 11.1A.

11.2 Risk Management Framework Review

Governance & Compliance	
Date:	7 October 2019
Location:	Not applicable
Responsible Officer:	Rebecca McCall, Chief Executive Officer
Author:	As above; Vanessa Green, Executive & Governance Officer
Legislation:	*Local Government Act 1995; Local Government (Audit) Regulations 1996*
SharePoint Reference:	Compliance/Risk Management/Planning/Risk Management Framework
Disclosure of Interest:	Nil
Attachments:	Attachment 11.2A – Risk Management Framework

Purpose of Report

☐ Executive Decision ■ Legislative Requirement

Summary

This Item presents the Risk Management Framework to Council for consideration and, if satisfactory, adoption.

Background

The Shire of Dowerin's Risk Management Policy and Framework sets out the Shire's approach to the identification, assessment, management, reporting and monitoring of risks. All components of the Risk Management Framework are based on AS/NZS ISO 31000:2018 Risk Management - Guidelines.

It is essential that all areas of the Shire adopt these procedures to ensure:

1. Strong corporate governance;
2. Compliance with relevant legislation, regulations and internal policies;
3. Integrated Planning and Reporting requirements are met; and
4. Uncertainty and its effects on objectives is understood.

The Risk Management Framework aims to balance a documented, structured and systematic process with the current size and complexity of the Shire along with existing time, resource and workload pressures.

Appropriate governance of risk management within the Shire provides:

1. Transparency of decision making;
2. Clear identification of the roles and responsibilities of the risk management functions; and
3. An effective Governance Structure to support the Risk Framework.

The Risk Management Framework is to be reviewed for appropriateness and effectiveness at least every two years, hence a review has been undertaken and the reviewed Risk Management Framework is included as an Attachment.

Comment

The Shire has adopted a "Three Lines of Defence" model for the management of risk. This model ensures roles, responsibilities and accountabilities for decision making are structured to demonstrate effective governance and assurance. By operating within the approved risk appetite and framework, Council, management and the community will have assurance that risks are managed effectively to support the delivery of the Strategic, Corporate and Operational Plans.

All work areas of the Shire are required to assess and manage the risk profiles on an ongoing basis. Each Manager, in conjunction with the CEO, are accountable for ensuring that risk profiles are:

1. Reflective of the material risk landscape of the Shire;
2. Reviewed on at least a six-monthly basis, unless there has been a material restructure or change in the risk and control environment; and
3. Maintained in the standard format.

This process is supported using key data inputs, workshops and ongoing business engagement.

The risk management process is standardised across all areas of the Shire. It is essential to monitor and review the management of risks as changing circumstances may result in some risks increasing or decreasing in significance. By regularly reviewing the effectiveness and efficiency of controls and the appropriateness of treatment / action options selected, it can be determined if the organisation's resources are being put to the best use possible. During the quarterly reporting process, management are required to review any risks within their area and follow up on controls and treatments/action that are mitigating those risks.

Consultation

Audit & Risk Committee Meeting 22 October 2019

Rebecca McCall, Chief Executive Officer

Policy Implications

Council's Risk Management Policy is applicable.

Strategic Implications

Strategic Community Plan

Community Priority:	Our Leaders
Objective:	A thriving and progressive rural community enabled by innovation in leadership, a focus on continuous improvement and adaptability to evolving community needs
Outcome:	2 & 3
Reference:	L3, L4 & L5

Asset Management Plan

Nil

Long Term Financial Plan

Nil

Statutory Implications

The *Local Government Act 1995* and Regulation 17 of the *Local Government (Audit) Regulations* are applicable.

Risk Implications

The Shire of Dowerin has a Risk Management Governance Framework which includes a policy and procedure. The framework provides tools to monitor the Shire's risk profile on a quarterly basis. With the implementation of regular monitoring and review risk implications are considered low.

Financial Implications

Nil

Voting Requirements

■ Simple Majority ☐ Absolute Majority

Committee Resolution

Moved: Mr Whiteaker Seconded: Cr Ward

0052 That, by Simple Majority in accordance with Regulations 16 and 17 of the *Local Government (Audit) Regulations 1996*, the Audit & Risk Committee:

1. receives the Risk Management Framework, as presented in Attachment 7.3A and as amended;
2. acknowledges that implementation of the Risk Management Framework will occur over a period of time, with the progress of implementation and the achievement of milestones to be reviewed and reported quarterly to the Audit & Risk Committee and Council; and
3. recommends to Council that it adopts the amended Risk Management Framework.

CARRIED 3/0

Committee Comment

The Committee suggested further changes to the Framework, which have been incorporated into the document presented to Council. Additionally, the Committee wished to acknowledge that implementation of the Framework would be ongoing with regular updates on the progress of the implementation being provided to the Committee and Council.

Officer's Recommendation – 11.2

That, in accordance with Regulations 16 and 17 of the *Local Government (Audit) Regulations 1996*, Council:

1. Adopts the Risk Management Framework, as presented in Attachment 11.2A and;
2. Acknowledges that implementation of the Risk Management Framework will occur over a period of time, with the progress of implementation and the achievement of milestones to be reviewed and reported quarterly to the Audit & Risk Committee and Council.

11.3 Risk Dashboard Quarterly Report – October 2019

Governance & Compliance	
Date:	16 October 2019
Location:	Not Applicable
Responsible Officer:	Rebecca McCall, CEO
Author:	As Above
Legislation:	*Local Government Act 1995*
SharePoint Reference:	Compliance/Risk Management/Reporting
Disclosure of Interest:	Nil
Attachments:	Attachment 11.3A - Risk Dashboard Quarterly Report – October 2019 Attachment 11.3B – Reviewed Dashboard

Purpose of Report

■ Executive Decision ☐ Legislative Requirement

Summary

This Item presents the Risk Dashboard Quarterly Review to Council for consideration and, if satisfactory, adoption.

Background

The Shire of Dowerin's Risk Management Policy in conjunction with the Risk Management Framework sets out the Shire's approach to the identification, assessment, management and monitoring of risks.

Appropriate governance of risk management within the Shire provides:

1. Transparency of decision making;
2. Clear identification of the roles and responsibilities of the risk management functions; and
3. An effective governance structure to support the Risk Management Framework.

The Audit & Risk Committee has a role to play and its responsibilities include:

1. Regular review of the appropriate and effectiveness of the Risk Management Framework;
2. Supporting Council to provide effective corporate governance;
3. Oversight of all matters that relate to the conduct of external audits; and
4. Being independent, objective and autonomous in deliberations.

It is essential to monitor and review the management of risks as changing circumstances may result in some risks increasing or decreasing in significance. By regularly reviewing the effectiveness and efficiency of controls and appropriateness of treatment/action options selected, it can be determined if the organisation's resources are being put to the best use possible. During the quarterly reporting process, Management are required to review any risks within their area and follow up controls and treatments/actions that are mitigating those risks.

Comment

The Risk Dashboard, as presented to the Audit & Risk Committee is included as an Attachment.

Also included as an Attachment is the three reviewed Dashboard Risk Themes for Errors, Omissions & Delays; IT & Communication System & Infrastructure, and Misconduct. These reviewed Dashboards take into consideration the comments of the Committee. As can be seen, when listing the main individual key controls, an overall rating of Adequate is achieved for each Theme.

Consultation

Audit & Risk Committee Meeting 22 October 2019

Michael Sparks, Senior Risk Consultant - Risk and Governance Services, LGIS

Rebecca McCall, Chief Executive Officer

Cherie Delmage, Manager Corporate & Community Services

Vanessa Green, Executive & Governance Officer

Policy Implications

The Risk Management Policy is applicable.

Strategic Implications

Strategic Community Plan

Community Priority:	Our Leaders
Objective:	A thriving and progressive rural community enabled by innovation in leadership, a focus on continuous improvement and adaptability to evolving community needs
Outcome:	3
Reference:	L5

Asset Management Plan

Identified key controls and actions associated with asset management are factored into the Asset Management Plan.

Long Term Financial Plan

Identified key controls and actions associated with financial management are factored into the Long-Term Financial Plan.

Statutory Implications

The *Local Government Act 1995* and Regulation 17 of the *Local Government (Audit) Regulations* are applicable.

Risk Implications

The Shire of Dowerin has adopted a 'Three Lines of Defence' model for the management of risk. This model ensures roles, responsibilities and accountabilities for decision making are structured to demonstrate effective governance and assurance. By operating within the approved risk appetite and framework, Council, Management and the community will have assurance that risks are managed effectively to support the delivery of the Strategic, Corporate and Operational Plans.

Financial Implications

Many of the actions required to manage the risks identified will require resourcing and are being progressed within the current budget allocations.

Committee Comment

The Committee discussed the Dashboard and its implications in detail, with the main points of the discussion as follows:

CEO Comment – General

The CEO and Management Team aims for continuous improvement with the aim to achieve best practice. It is acknowledged that due to restricted resources it will take time to implement identified actions to achieve the desired outcome.

Dashboard

Main Discussion Points

- There is a preference to adopt a pragmatic approach towards managing risk and ensuring the Risk Dashboard and Profiling (Risk Register) is a workable document for the organisation.

Risk Theme – Asset Management Practices

Main Discussion Points

- Do identified actions adequately treat the listed not rated and inadequate key controls?

CEO Comment

The CEO acknowledged that the listed actions were unclear. The actions will be reviewed by the Management Team as a priority and re-presented to the Audit & Risk Committee and Council.

Risk Theme – Business & Community Disruption

Main Discussion Points

- There is not the need for the organisation to have a Business Continuity Framework in place, a straightforward Business Continuity Plan will meet the needs of the Shire of Dowerin.

CEO Comment

The Business Continuity Plan is in draft. The document is complex and requires refinement prior to presenting to the Audit & Risk Committee and Council.

Risk Theme – Failure to Fulfil Compliance Requirements

Main Discussion Points

- Key Control Governance Management Framework was not rated.
- Rather than identify the overarching Key Control Governance Management Framework, list the main individual controls that make up the Framework.

CEO Comment

It is planned to document an overarching Governance Management Framework to integrate the individual key controls. The individual key controls are in place and adequate, however the Framework aligning the controls is yet to be developed.

Risk Theme – Errors, Omissions & Delays

Main Discussion Points

- There are no key controls addressing the risk context regarding building, development, health and environment.

CEO Comment

The Management Team will review the risk context and take into consideration existing key controls and treatment actions.

Risk Theme – IT & Communication System & Infrastructure

Main Discussion Points

- There is a need to focus on this risk theme to achieve an adequate rating.

CEO Comment

Treatment actions will be included in the priority action list with the aim to achieve an adequate rating.

Risk Theme – Misconduct

Main Discussion Points

- The Committee raised specific concerns in relation to the Misconduct Risk and the rating of key controls as being inadequate, particularly in the context of past occurrences of misconduct within the organization. Additionally, the Committee queried the overall risk rating as being low, particularly if the controls were assessed as inadequate.
- The Committee requested that Management review this risk category as a priority, listing the key controls in place to manage the misconduct risk and report back to the next Audit & Risk Committee Meeting.

CEO Comment

The CEO acknowledged that the rating was not reflective of the reality around controls in place to mitigate misconduct, as the rating merely reflected the adequacy of the controls listed. The CEO is confident the organisation is not at risk, with examples of existing controls in place including Regulation 17 Review, Delegations, Segregation of Duties, Primary and Annual Returns, and Declarations.

It is acknowledged that there is a lack of control documentation and internal controls are not centralised. However, continuous improvement is the focus, and it is the aim of the CEO to develop overarching frameworks to integrate existing key controls. As part of the development of the framework current controls will be reviewed, documented and centralised.

Frameworks include:

1. Governance Management;
2. Financial Management;
3. Human Resource Management; and
4. IT & Communications.

Risk Theme – Supplier/Contract Management

Main Discussion Points

- Consideration to review key controls to add Procurement Policy.

CEO Comment

The Management Team will review the existing key controls and actions.

Profiling Template – Control Assurance

Main Discussion Points

- This component of the template is a good management tool, however there is not a need to include it in the reports presented to the Audit & Risk Committee and Council in the future.

Indicators

Main Discussion Points

- Are identified indicators achievable, relevant, tracked, data recorded, measurable and do they add value to the organisation?

CEO Comment

The Management Team will review the indicators across the risk themes to ensure the indicators are achievable, relevant, data recorded, measurable and add value to the organisation.

Voting Requirements	
■ Simple Majority	☐ Absolute Majority

Committee Resolution			
Moved:	Cr Ward	Seconded:	Cr Hudson

0053 That, by Simple Majority in accordance with Regulations 16 and 17 of the *Local Government (Audit) Regulations 1996*, the Audit & Risk Committee:

1. Receives the quarterly Risk Dashboard Quarterly Report – October 2019, as presented and amended in Attachment 7.4A;
2. Notes the progress of staff actions to identify risks, track treatments and manage risks within identified outcomes; and
3. Recommends to Council that it receives the quarterly Risk Dashboard Quarterly Report – October 2019.

CARRIED 3/0

Officer's Recommendation – 11.3

That, in accordance with Regulations 16 and 17 of the *Local Government (Audit) Regulations 1996*, Council:

1. Receives the Risk Dashboard Quarterly Report – October 2019, as presented in Attachment 11.3A;
2. Notes the reviewed Risk Themes for Errors, Omissions & Delays; IT & Communication System & Infrastructure, and Misconduct from the Risk Dashboard Quarterly Report – October 2019, as presented in Attachment 11.3B; and
3. Notes the progress of staff actions to identify risks, track treatments and manage risks within identified outcomes.

11.4 2019 Financial Management Review

Governance & Compliance	
Date:	7 October 2019
Location:	Not applicable
Responsible Officer:	Rebecca McCall, Chief Executive Officer
Author:	As above; Vanessa Green, Executive & Governance Officer
Legislation:	*Local Government Act 1995; Local Government (Audit) Regulations 1996*
SharePoint Reference:	Organisation/Financial Management/Reporting
Disclosure of Interest:	Nil
Attachments:	Attachment 11.4A – Financial Management Review Report

Purpose of Report

☐ Executive Decision ■ Legislative Requirement

Summary

This Item presents the 2019 Financial Management (FM) Review to Council for consideration and, if satisfactory, adoption.

Background

The CEO is responsible for implementing policies, procedures and controls which are designed to ensure the effective and efficient management of the Shire's resources. In accordance with Regulation 5(2)(c) of the *Local Government (Financial Management) Regulations 1996* the CEO is to undertake reviews of the appropriateness and effectiveness of the financial management systems and procedures. At least once in every three financial years the CEO is to report the results of those reviews to Council.

The last FM Review was conducted in 2016 by Mr Ron Back.

The CEO sought quotes from 3 external consultants to undertake the FM Review, with the quote from Mr Gary Martin considered the best value for money and therefore Mr Martin was appointed to undertake the FM Review.

The FM Review entailed an examination of various financial systems and procedures including (but not limited to):

1. Bank Reconciliations and Petty Cash;
2. Trust Funds;
3. Receipts and Receivables;
4. Rates;
5. Fees and Charges;
6. Purchases, Payments and Payables (Including Purchase Orders);
7. Salaries and Wages;
8. Credit Card Procedures;

9. Fixed Assets (Including Acquisition and Disposal of Property);
10. Cost and Administration Overhead Allocations;
11. Minutes and Meetings;
12. Budget;
13. Financial Reports;
14. Registers (Including Annual and Primary Returns);
15. Delegations;
16. Audit & Risk Committee;
17. Insurance;
18. Storage of Documents/Record Keeping; and
19. Integrated Planning.

The FM Review did not entail an examination of compliance with all provisions of the *Local Government Act 1995* or all Regulations (apart from the *Local Government (Financial Management) Regulations 1996*), which did not impact on the key functions mentioned above. Emphasis was placed on internal controls and management oversight of the various functions mentioned as well as the matters raised in the recent external interim and annual audits.

The FM Review was conducted during the week commencing Monday 2 September 2019 onsite at the Shire Administration Office. The FM Review Report completed by Mr Martin is provided as an Attachment.

Comment

The two Key Report Findings are detailed below:

1. *"The systems and processes associated with the Shire's financial management function are generally efficient and effective and suitable for a Shire such as Dowerin. The various activities required to meet its obligations are taking place and are subject to continuous improvement. The CEO and the recently appointed employees are focussed on process improvement and best practice.*
2. *The key finding is a lack of documented internal controls. The "controls" in place are generally a result of existing practice and not a precise and purpose driven direction from the CEO that specifies what control measures are required. For example, most reconciliations are subject to a preparing Officer (name or a signature) and a checking Officer (name or signature) but without any formal written direction specifying what is required and how."*

The identification and improvement in management processes since 2016 has required significant time and effort to develop and implement, even though this has taken place in an environment which has not provided the clear air to achieve all that is required. It is recognised that ideally, a period of some weeks or months dedicated solely to process improvement development and implementation is required, however this is both unachievable and unrealistic. Therefore the "completion" of reviewing and implementing a robust governance/internal control/compliance/risk regime will be on-going for the immediate future.

The FM Review noted there has been significant improvement across the various management functions, and that this is continuing on an almost daily basis. It is relevant that these changes are taking place in conjunction with the induction and settling in of at least four new employees, who all have their own normal duties and backlog to deal with.

The FM Review identified the Council has a significant role and responsibility to play in recognising the situation that exists, as well as the pitfalls and the efforts being made to achieve a solid best practice environment. While a strong management environment is the expectation it is unrealistic in the current circumstances, particularly considering the recent history of the Shire's management.

Funding, human resources, time and competing demands (particularly community expectations and normal day to day operations) all compete with the work and effort required to achieve the high standard management regime expected and which is also required.

In summary, the 2019 FM Review found that the existing systems and procedures are adequate and working, however they require tightening to improve control and be fully effective.

It is the intent of Management to develop a prioritised action list to address the recommendations identified in Mr Martin's report.

Staff may provide further comment on the FM Review at the meeting.

Consultation

Audit & Risk Committee 22 October 2019

Mr Gary Martin

Senior Management Group

Policy Implications

It is noted that Policies are being reviewed as part of the continual improvements. These reviewed policies will be considered separately by Council at the completion of the review process. Comments made in the FM Review relating to specific policies will be taken on-board as part of the review process.

Strategic Implications

Strategic Community Plan

Community Priority:	Our Leaders
Objective:	A thriving and progressive rural community enabled by innovation in leadership, a focus on continuous improvement and adaptability to evolving community needs
Outcome:	3
Reference:	L5

Asset Management Plan

Nil

Long Term Financial Plan

Nil

Statutory Implications

Regulation 5(2) of the *Local Government (Financial Management) Regulations 1996* states:

"(2) The CEO is to –

a) *ensure that the resources of the local government are effectively and efficiently managed; and*

b) *(b) assist the council to undertake reviews of fees and charges regularly (and not less than once in every financial year); and*

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 3 financial years) and report to the local government the results of those reviews."*

The FM Review has been undertaken in accordance with this Regulation.

Risk Implications

The risks associated with matters in this report are:

1. Misconduct;
2. External Theft and Fraud;
3. Errors, Omissions and Delays;
4. Failure to fulfil Statutory, Regulatory or Compliance Requirements; and
5. Ineffective Employment Practices.

The impact of the risk is Financial, Non-Compliance and Reputational. The consequences of these risks are considered to be extreme. Mitigation includes contracting an independent consultant to undertake the FM Review.

Financial Implications

The 2019/20 Budget contains an allocation for the costs associated with undertaking the FM Review, provided at GL 20552 GOV Other Consultants – Regulation and Compliance.

Committee Meeting Comment

The CEO advised that a prioritised action list on the outcomes identified in the Review would be presented to the Audit & Risk Committee at its December 2019 meeting. In accordance with the CEO's comment at the meeting, the Committee believed it was appropriate for updates on the progress of implementing the corrective actions recommended in the Review to be reported to the Committee.

Voting Requirements

■ Simple Majority ☐ Absolute Majority

Committee Resolution

Moved: Mr Whiteaker Seconded: Cr Ward

0054 That, by Simply Majority in accordance with Regulation 5(2) of the *Local Government (Financial Management) Regulations 1996*, the Audit & Risk Committee receives the 2019 Financial Management Review, as presented in Attachment 7.5A, noting that a prioritised action list detailing progress and achieved milestones will be reported to future Audit & Risk Committee meetings, and recommends to Council that it endorses the 2019 Financial Management Review.

CARRIED 3/0

Officer's Recommendation – 11.4

That, in accordance with Regulation 5(2) of the *Local Government (Financial Management) Regulations 1996*, Council receives the 2019 Financial Management Review, as presented in Attachment 11.4A, noting that a prioritised action list detailing progress and achieved milestones will be reported to future Audit & Risk Committee and Council meetings.

11.5 CEO's Review of Risk Management, Internal Control and Legislative Compliance and Risk Management Governance Framework

Governance & Compliance	
Date:	7 October 2019
Location:	Not applicable
Responsible Officer:	Rebecca McCall, Chief Executive Officer
Author:	Vanessa Green, Executive & Governance Officer
Legislation:	*Local Government Act 1995; Local Government (Audit) Regulations 1996*
SharePoint Reference:	Organisation/Compliance/Risk Management/Reporting
Disclosure of Interest:	Nil
Attachments:	Attachment 11.5A – Regulation 17 Review Report

Purpose of Report

☐ Executive Decision ■ Legislative Requirement

Summary

This Item presents the external consultant's report undertaken as supporting documentation to the CEO's Report required under Regulation 17 of the *Local Government (Audit) Regulations 1996*, to Council for noting.

Background

Regulation 17 of the *Local Government (Audit) Regulations 1996* requires the CEO at least once every 2 calendar years to review the appropriateness and effectiveness of the local government's systems and procedures in relation to risk management, internal control and legislative compliance. The CEO is to report to the Audit & Risk Committee and Council the results of that review.

To assist in developing the report, the CEO sought quotes from 3 external consultants to undertake an initial review of the Shire's systems and procedures, with the quote from Mr Gary Martin considered the best value for money. Therefore, Mr Martin was appointed to undertake the review.

The review was conducted onsite at the Shire Administration Office during the week commencing Monday 2 September 2019. Mr Martin's report is provided as an Attachment.

Comment

The appointment of an external consultant to conduct such a review enables an independent viewpoint on the status of the Shire's systems and procedures and also enables Council to have an added level of confidence in the outcomes.

The previous Regulation 17 review was conducted in 2017 and includes reference to the lack of internal controls which had existed at the Shire previously.

The 2019 review has identified the Shire has made significant positive improvements relating to risk management since 2017 despite the changeover of CEOs, and these changes are continuing.

However, the current CEO reported to the Audit & Risk Committee in March 2019 that with the loss of key personnel during 2018, quarterly monitoring and reporting of the risk profiling tool did not take place. Also, that upon the commencement of the current CEO in late August 2018, there was an immediate need to concentrate on operational priorities. Although quarterly monitoring or reporting did not occur, there has been an emphasis on reviewing identified policies and procedures to ensure the necessary controls are in place.

The CEO acknowledges the delay in further implementing the risk management process and is now actively pursuing that objective. This includes developing an internal Governance Calendar and implementing the Risk Dashboard (refer Item 11.3). The Dashboard will be reviewed quarterly in February, May, August and November of each calendar year and reported to the Audit & Risk Committee every six months (suggested as June and December).

A Risk Management standing item is also to be included for review in Senior Management action lists for discussion at Senior Staff meetings.

It is the intent of Management to develop a prioritised action list to address the recommendations identified in Mr Martin's review report, which will be presented to the Audit & Risk Committee and Council in December 2019 with the full report on the CEO's Review of Risk Management, Internal Control and Legislative Compliance and Risk Management Governance Framework.

It is then anticipated that the report on the CEO's Review of Risk Management, Internal Control and Legislative Compliance and Risk Management Governance Framework will be reviewed and presented to the Audit & Risk Committee and Council on an annual basis (in December each calendar year).

Consultation

Audit & Risk Committee Meeting 22 October 2019

Mr Gary Martin

Senior Management Group

Policy Implications

Council's Risk Management Policy applies.

Strategic Implications

Strategic Community Plan

Community Priority:	Our Leaders
Objective:	A thriving and progressive rural community enabled by innovation in leadership, a focus on continuous improvement and adaptability to evolving community needs
Outcome:	3
Reference:	L5

Asset Management Plan

Nil

Long Term Financial Plan

Nil

Statutory Implications

Regulation 17 of the *Local Government (Audit) Regulations 1996* states:

"17. CEO to review certain systems and procedures

(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 & Risk Committee the results of that review."

Risk Implications

The Shire of Dowerin has a Risk Management Governance Framework which includes a policy and procedure. The framework provides tools to monitor the Shire's risk profile on a quarterly basis. With the implementation of regular monitoring and review risk implications are considered low.

Financial Implications

The 2019/20 Budget contains an allocation for the costs associated with undertaking the initial Regulation 17 Review, provided at GL 20552 GOV Other Consultants – Regulation and Compliance.

Voting Requirements

■ Simple Majority ☐ Absolute Majority

Committee Resolution

Moved: Mr Whiteaker Seconded: Cr Ward

0055 That, by Simple Majority in accordance with Regulations 16 and 17 of the *Local Government (Audit) Regulations 1996*, the Audit & Risk Committee:

1. receives the Audit Regulation 17 Review report from Mr Gary Martin, as presented in Attachment 7.6A;
2. notes the Audit Regulation 17 Review report from Mr Gary Martin is a supporting document to the CEO's Review of Risk Management, Internal Control and Legislative Compliance and Risk Management Governance Framework which is anticipated to be presented to the Audit & Risk Committee in December 2019; and
3. recommends to Council that it receives the Audit Regulation 17 Review report from Mr Gary Martin.

CARRIED 3/0

Officer's Recommendation – 11.5

That, in accordance with Regulations 16 and 17 of the *Local Government (Audit) Regulations 1996*, Council:

1. Receives the Audit Regulation 17 Review report from Mr Gary Martin, as presented in Attachment 11.5A;
2. Notes the Audit Regulation 17 Review report from Mr Gary Martin is a supporting document to the CEO's Review of Risk Management, Internal Control and Legislative Compliance and Risk Management Governance Framework which is expected to be presented to the Audit & Risk Committee and Council in December 2019.

11.6 Local Emergency Management Arrangements 2019

Governance & Compliance	
Date:	5 November 2019
Location:	Not applicable
Responsible Officer:	Rebecca McCall, Chief Executive Officer
Author:	Vanessa Green, Executive & Governance Officer
Legislation:	*Emergency Management Act 2005*
SharePoint Reference:	Organisation/Risk Management/Planning/Local Emergency Management Arrangements
Disclosure of Interest:	Nil
Attachments:	Attachment 11.6A – Local Emergency Management Arrangements

Purpose of Report

☐ Executive Decision ■ Legislative Requirement

Summary

This Item presents the revised Local Emergency Management Arrangements (LEMA) to Council for consideration and, if satisfactory, adoption.

Background

The Shire of Dowerin's LEMA is to ensure the community is prepared to deal with emergencies should they arise and details the Shire's capacity to provide resources in support of an emergency, while still maintaining business continuity.

The LEMA serves as a guide to be used at the local level and should be read in conjunction with the *Emergency Management Act 2005* and the State Emergency Management Plans (WESTPLAN), State Hazard Plans, State Emergency Management Policy Statements and the Department of Communities' Local Emergency Management Plan for the Provision of Welfare Support.

The LEMA's purpose is to set out:

1. The Shire of Dowerin's policies for emergency management;
2. The roles and responsibilities for public authorities and other persons involved in emergency management;
3. Provisions about the coordination of the emergency operations performed by the public authorities and other persons;
4. Description of emergencies likely to occur within the Shire of Dowerin;
5. Strategies and priorities for emergency management in the district; and
6. Other matters about emergency management in the Shire of Dowerin that the Shire considers appropriate.

Comment

The LEMA should be reviewed in accordance with the State Emergency Management Preparedness Procedures (the Procedures) and amended or replaced whenever the local government considers it appropriate.

According to the Procedures, the LEMA are to be reviewed and amended as follows:

1. Contact lists are reviewed and updated quarterly;
2. A review is conducted after training that exercises the LEMA;
3. An entire review is undertaken every five years, as risks might vary due to climate, environment and population changes; and
4. Circumstances may require more frequent reviews.

In accordance with point 3 above, the Shire's LEMA has undergone its 5 year review. This review was undertaken in consultation with the Shire of Dowerin's Local Emergency Management Committee (LEMC) and representatives from the Department of Fire & Emergency Services (DFES).

The LEMA review was discussed at a workshop following the LEMC's May 2019 meeting with further discussion and review at the LEMC's August 2019 meeting. The final LEMA, as included as an Attachment, was endorsed by the LEMC at its November 2019 meeting.

Consultation

LEMC Meetings 7 May 2019, 6 August 2019 & 4 November 2019

Yvette Grigg, District Emergency Management Advisor, Wheatbelt and Goldfields-Esperance Districts, Department of Fire & Emergency Services

Policy Implications

Nil, as Council currently has no specific local government policies pertaining to emergency management.

Strategic Implications

Strategic Community Plan

Community Priority: Our Leaders

Objective: A thriving and progressive rural community enabled by innovation in leadership, a focus on continuous improvement and adaptability to evolving community needs.

Outcome: 2

Reference: L4

Asset Management Plan

Nil

Long Term Financial Plan

Nil

Statutory Implications

Division 2 of the *Emergency Management Act 2005* states:

"41. Emergency management arrangements in local government district

(1) A local government is to ensure that arrangements (local emergency management arrangements) for emergency management in the local government's district are prepared.

(2) The local emergency management arrangements are to set out —

(a) the local government's policies for emergency management; and

(b) the roles and responsibilities of public authorities and other persons involved in emergency management in the local government district; and

(c) provisions about the coordination of emergency operations and activities relating to emergency management performed by the persons mentioned in paragraph (b); and

(d) a description of emergencies that are likely to occur in the local government district; and

(e) strategies and priorities for emergency management in the local government district; and

(f) other matters about emergency management in the local government district prescribed by the regulations; and

(g) other matters about emergency management in the local government district the local government considers appropriate.

(3) Local emergency management arrangements are to be consistent with the State emergency management policies and State emergency management plans.

(4) Local emergency management arrangements are to include a recovery plan and the nomination of a local recovery coordinator.

(5) A local government is to deliver a copy of its local emergency management arrangements, and any amendment to the arrangements, to the SEMC as soon as is practicable after they are prepared.

42. Reviewing and renewing local emergency management arrangements

(1) A local government is to ensure that its local emergency management arrangements are reviewed in accordance with the procedures established by the SEMC.

(2) Local emergency management arrangements may be amended or replaced whenever the local government considers it appropriate.

43. Local emergency management arrangements to be available for inspection

(1) A local government is to keep a copy of its local emergency management arrangements at the offices of the local government.

(2) The arrangements are to be available for inspection, free of charge, by members of the public during office hours.

(3) The arrangements may be made available in written or electronic form."

Risk Implications

Council would be contravening the *Emergency Management Act 2005* if the LEMA were not developed and reviewed.

Financial Implications

There is an obligation on Council to finance and resource the LEMC and the recovery of an emergency situation.

Voting Requirements

■ Simple Majority ☐ Absolute Majority

Officer's Recommendation – 11.6

That, in accordance with Division 2 of the *Emergency Management Act 2005*, Council:

1. Endorses the Local Emergency Management Arrangements (LEMA), as presented in Attachment 11.6A; and
2. Authorises the Chief Executive Officer to update any contact and/or resource information within the LEMA as required.

11.7 Policy Manual Review – Proposed Regional Price Preference Policy

Governance & Compliance

Date:	15 November 2019
Location:	Not applicable
Responsible Officer:	Rebecca McCall, Chief Executive Officer
Author:	Vanessa Green, Executive & Governance Officer
Legislation:	*Local Government Act 1995; Local Government (Functions & General) Regulations 1996*
SharePoint Reference:	Organisation/Governance/Council Policies/Policy Manual
Disclosure of Interest:	Nil
Attachments:	Attachment 11.7A – Proposed Regional Price Preference Policy

Purpose of Report

☐ Executive Decision ■ Legislative Requirement

Summary

This Item brings the proposed Regional Price Preference Policy before Council for consideration and, if satisfactory, adoption.

Background

The *Local Government (Functions and General) Regulations 1996* allow for non-metropolitan local governments to offer a price preference to local and regional suppliers when assessing quotations or tenders for goods and/or services.

The intent of providing a price preference consideration to local and regional suppliers is to stimulate economic activity and growth within the region by ensuring that local businesses are able to remain competitive when supplying goods and/or services.

A Policy was developed and presented to Council's September 2019 meeting where it resolved (CMRef 0042):

"That Council, by Simple Majority in accordance with Sections 2.7(2)(b) and 5.41 of the Local Government Act 1995 and Part 4A of the Local Government (Functions and General) Regulations 1996, authorises the Chief Executive Officer to provide Statewide notice seeking public submissions on the proposed Regional Price Preference Policy, as presented in Attachment 11.1A, for a period of not less than 4 weeks, noting the policy can only become operative after Council considers any submissions received and provides Statewide notice of the policy's adoption."

The Policy was subsequently advertised in the West Australian on Wednesday 16 October 2019 and in the Despatch on Thursday 17 October 2019, with submissions closing on Thursday 14 November 2019.

No submissions were received.

Comment

Adherence to the Shire of Dowerin's Purchasing Policy is still essential and informs all purchasing activities. The proposed Policy does not automatically allow for any regional or local organisation to be appointed regardless of whether the quotation or tender supplied becomes the lowest quote after the price preference has been applied.

Standard assessment, including all relevant and application selection criteria, will be taken into account when determining the final appointment of any provider.

The Shire of Dowerin recognises the following two regions for price preferences:

Region 1 - defined as a business or industry located within the district of the Shire of Dowerin; and

Region 2 – defined as a business or industry located within the districts of the Shire of Cunderdin, Shire of Goomalling, Shire of Koorda, Shire of Wongan-Ballidu and Shire of Wyalkatchem.

The proposed Policy will provide guidance to Elected Members, staff, contractors and businesses in respect to the provision of a preference to local suppliers when purchasing decisions are made.

Further, the proposed Policy will allow a quoted or tendered price from either a 'Local' or 'Regional' provider to be reduced for the purposes of comparison, with submissions outside the defined 'Local' or 'Regional' boundaries.

In accordance with Regulation 24G of the *Local Government (Functions & General) Regulations 1996*, a local government may choose not to apply the policy to a particular procurement process. However, the decision to not apply the policy must be specified in the scope of works or tender specifications.

As no submissions to the proposal were received it could be assumed that there are no objections to the introduction of the Policy from the business sector or wider community, therefore the Officer's Recommendation is that Council adopts the Policy.

Consultation

Council Workshop 20 August 2019

Council Meeting 24 September 2019

Senior Management Group

West Australian Newspaper 16 October 2019

Dowerin Despatch Thursday 17 October 2019

Policy Implications

The Policy Manual will be updated accordingly, should the policy be adopted.

Statutory Implications

Section 2.7 of the *Local Government Act 1995* stipulates that the role of Council is to determine policies.

Part 4A of the *Local Government (Functions & General) Regulations 1996* stipulates the requirements of a regional price preference policy and details the process under which such a policy can be adopted.

Strategic Implications

Strategic Community Plan

Community Priority:	Our Leaders
Objective:	A thriving and progressive rural community enabled by innovation in leadership, a focus on continuous improvement and adaptability to evolving community needs.
Outcome:	3

Reference: L5

Asset Management Plan

Nil

Long Term Financial Plan

Nil

	Risk Implications

Nil

	Financial Implications

Nil

	Voting Requirements

■ Simple Majority ☐ Absolute Majority

Officer's Recommendation – 11.7

That, in accordance with Sections 2.7(2)(b) and 5.41 of the *Local Government Act 1995* and Part 4A of the *Local Government (Functions and General) Regulations 1996*, Council:

1. Notes that no submissions were received during the Statewide advertising period on the Regional Price Preference Policy; and
2. Adopts the Regional Price Preference Policy, as presented in Attachment 11.7A.

11.8 Reserve 33528 and Reserve 51705 – Request to Accept Management Orders

Governance & Compliance

Date:	6 November 2019
Location:	Lot 273 (Reserve 33528); Lot 300 (Reserve 51705)
Responsible Officer:	Rebecca McCall, Chief Executive Officer
Author:	Vanessa Green, Executive & Governance Officer
Legislation:	*Land Administration Act 1997*
SharePoint Reference:	Organisation/Corporate Management/Government Liaison/2019 Department of Planning, Lands & Heritage
Disclosure of Interest:	Nil
Attachments:	Attachment 11.8A - Correspondence

Purpose of Report

■ Executive Decision ☐ Legislative Requirement

Summary

This Item presents a request to accept the management of two Reserves located in the Shire of Dowerin to Council for consideration and, if satisfactory, adoption.

Background

A request was received from the Department of Planning, Lands & Heritage (DPLH) seeking Council consideration of accepting the Management Order for two Reserves located in the Shire of Dowerin. A copy of the correspondence is included as an Attachment.

The matter was presented to Council's September 2019 meeting where it failed to resolve on the matter. It was suggested during discussion at the meeting that Council did not wish to take on the Management Order for the two Reserves due to concerns around ongoing asset management costs and implications. Staff have undertaken further investigations and the matter is presented, mostly in its entirety, again for Council's consideration.

Comment

Reserve 33528

This Reserve (Lot 273 on Diagram 36566) is vacant land, with a purpose of Public Recreation and is located on Place Street.

Reserve 33528 is located in a mostly residential area. The land is vacant with the Parks and Gardens crew already providing basic maintenance (spraying etc) to ensure the land does not become a fire hazard. This maintenance equates to approximately 5 hours work per year at a cost of around $375.

In accepting the Management Order for the Reserve, the land could only be used for activities and uses that align with its purpose, being Public Recreation. It is unlikely that Council would undertake any development on the site, particularly given its proximity to other recreational facilities in town. However, due to its size there may be potential in the future for another agency or group to utilise the Reserve for that purpose (i.e. a nature park etc). An option to enable that

to occur could be for Council to lease the Reserve to any such interested party. Should Council choose to accept the Management Order for Reserve 33528 it would therefore be recommended that Council request the condition that it be granted the Power to Lease the Reserve, which is otherwise a lengthy process.

There are no other conditions or costs applicable to accepting the Management Order for the Reserve.

Reserve 51705

This Reserve (Lot 300 on Deposited Plan 70522) is also vacant land, with a purpose of Pedestrian Access Way and is located between Griffiths Street and Goldfields Road.

Reserve 51705 is located on the eastern boundary of the townsite and is surrounded by vacant land. As is the case with Reserve 33528, the Parks and Gardens crew provide basic maintenance to ensure the land does not become a fire hazard. This maintenance equates to approximately 2 hours work per year at a cost of around $150.

While the Reserve has a purpose of Pedestrian Access Way, it is essentially vacant, un-developed land which does not currently connect to any existing infrastructure and therefore it would be unlikely that Council would develop the land any further. Nor would it be worthwhile seeking Power to Lease over the Reserve.

There are no other conditions or costs applicable to accepting the Management Order for Reserve 51705.

Additional Officer's Comment

As staff are already currently maintaining both sites, there are no other costs associated with accepting the Management Order for both Reserves, and any ongoing asset management implications are minimal it is recommended that Council accept the Management Orders for both Reserves.

In relation to Reserve 51705, the additional investigations identified that this is already considered to come under the authority of the Shire of Dowerin through Section 3.53 of the *Local Government Act 1995* as an *'unvested facility - thoroughfare'*. DPLH advise that Reserve 51705 would be captured under this definition as a Public Access Way is considered to be a thoroughfare and the Reserve does not have a vesting.

While the Shire is therefore responsible for Reserve 51705 under the *Local Government Act 1995,* DPLH would prefer to grant a formal Management Order to ensure the land titles and tenure details match the statutory obligation the Shire has, so as to remove any doubt on the control and management of the land.

The difference with Reserve 33528 is that it is does not fit under any definition as an '*otherwise unvested facility'* so DPLH would need to grant a formal Management Order under the *Land Administration Act 1997*, granting the Shire control and management for the Reserve.

As mentioned above, staff are already maintaining both these Reserves to a basic level and seemingly have done so for many years. Therefore, Council is already absorbing the albeit minimal costs of this maintenance within its annual operational budget. In accepting the Management Orders for both Reserves, although seemingly there is no legislative option not to for Reserve 51705, it is not anticipated that any additional work or development would occur on either Reserve, meaning there are no additional costs to Council for accepting the Management Orders.

For this reason the Officer's Recommendation remains the same as was presented to Council's September 2019 meeting.

Should Council choose not to accept the Management Order for Reserve 33528 it can either vote against that part of the Recommendation, or make an amendment to the Recommendation, at the meeting.

Consultation

Nil

Policy Implications

Nil

Statutory Implications

Section 46 of the *Land Administration Act 1997* is applicable.

Section 3.53 of the *Local Government Act 1995* is also applicable and states:

"3.53. Control of certain unvested facilities

(1) In this section —

former section 300 means section 300 of the Local Government Act 1960 [4] as in force before the commencement of this Act;

otherwise unvested facility means a thoroughfare, bridge, jetty, drain, or watercourse belonging to the Crown, the responsibility for controlling or managing which is not vested in any person other than under this section.

(2) A local government is responsible for controlling and managing every otherwise unvested facility within its district unless subsection (5) states that this section does not apply.

(3) If the facility is partially within each of 2 or more districts, it is to be controlled and managed as the local governments for the districts concerned agree or, if they do not agree, as the Minister directs.

(4) An agreement or direction under subsection (3) has effect according to its terms.

(5) This section does not apply if any person was, immediately before the commencement of this Act, responsible for controlling or managing the facility unless —

(a) the responsibility arose under the former section 300; or

(b) the Governor, by order, declares that the facility is to be controlled and managed under this section."

Strategic Implications

Strategic Community Plan

Community Priority:	Our Infrastructure
Objective:	Our infrastructure will drive economic and population growth, be a key enabler of the digital economy and support reliable, efficient service delivery
Outcome:	1
Reference:	I1 & I2

Asset Management Plan

Neither Reserve is specifically listed in the AMP. Should Council resolve to accept the management of the two Reserves they will need to be included in the AMP.

As both Reserves are vacant land and are already being maintained to a basic level by the Parks & Gardens Crew any impact on the AMP is expected to be minimal.

Long Term Financial Plan

Neither Reserve is specifically listed in the LTFP. Should Council resolve to accept the management of the two Reserves they will need to be included in the LTFP.

As both Reserves are vacant land and are already being maintained to a basic level by the Parks & Gardens Crew any impact on the LTFP is expected to be minimal.

Risk Implications

The acceptance of the Management Orders over the two Reserves will not involve a significant departure from current practices and is therefore considered low risk.

Financial Implications

There are no financial implications associated with the transfer of the Management Order for the Reserves.

There are cost implications associated with the ongoing maintenance of the Reserves. However, as both Reserves are vacant land and are already being maintained to the basic level by the Parks & Gardens Crew those costs are minimal and can be absorbed into the operating expenditure of each annual budget, as has been the case in previous years.

Voting Requirements

■ Simple Majority ☐ Absolute Majority

Officer's Recommendation – 11.8

That, in accordance with Section 46 of the *Land Administration Act 1997* and Section 3.53 of the *Local Government Act 1995*, Council resolves to accept the management of:

1. Reserve 33528 for the purpose of Public Recreation. In accepting management of Reserve 33528 Council requests the Power to Lease over the Reserve to enable flexibility in any potential future use of the Reserve; and
2. Reserve 51705 for the purpose of Pedestrian Access Way.

11.9 Policy Manual Review – 2007 Policy Manual, Current Policy Manual and Replacement of Plant & Vehicles Policy

Governance & Compliance	
Date:	7 November 2019
Location:	Not applicable
Responsible Officer:	Rebecca McCall, Chief Executive Officer
Author:	Vanessa Green, Executive & Governance Officer
Legislation:	*Local Government Act 1995*
SharePoint Reference:	Organisation/Governance/Council Policies
Disclosure of Interest:	Nil
Attachments:	Attachment 11.9A – 2007 Policy Manual Attachment 11.9B – Current Policy Manual Attachment 11.9C – Policy Responsible Officers Attachment 11.9D – Replacement of Plant & Vehicles Policy

Purpose of Report

☐ Executive Decision ■ Legislative Requirement

Summary

This Item presents to Council:

1. the reviewed 2007 Policy Manual for consideration and, if satisfactory, rescission;
2. the reviewed Responsible Officer from the current Policy Manual for consideration and, if satisfactory, adoption; and
3. the reviewed Plant Replacement Policy for consideration and, if satisfactory, adoption.

Background

There exists a Policy Manual dating from 2007 containing a number of policy statements obviously going back some years. There is also the "current" Policy Manual which originated in 2017. Both have been reviewed and amendments to both are proposed.

Comment

2007 Policy Manual

The existence of the 2007 Policy Manual creates confusion for staff when trying to work across 2 manuals. In addition, the 2007 Policy Manual contains a number of "statements", as opposed to policies, which are generally either covered by legislation, regulations or delegation, are of an administrative, operational or procedural nature, or have been superseded with policies included the current Policy Manual. It is therefore recommended that the bulk of the 2007 Policy Manual be rescinded. The 2007 Policy Manual is included as an Attachment with the policies proposed for rescission being highlighted in yellow.

To provide some context around the proposed rescissions the following comment is provided:

Policy Section	Comment
Council	It is proposed to retain this section for the time being. Work is being undertaken to review and develop a suite of policies relating to Council and Council Members which will be presented to future Workshops and subsequent Council meetings.
Administration	It is proposed to rescind this section as it is covered by either legislation, regulation, other delegation or an existing policy; or is administrative and procedural in nature.
Staff	It is proposed to rescind the bulk of this section as it is mostly operational and covered by either legislation, regulation, other delegation or an existing policy. The exceptions include the Removal Expenses, Industrial Noise, Superannuation Contributions, Seminars, Accommodation & Other Conference Expenses, Driver's License Reimbursement, Staff Cessation or Retirement, Study Time and Legal Representation policies. It is proposed to retain these policies for the time being allowing staff additional time to align these with the current Policy Manual or expand on the policy and present to Council in the future for anticipated inclusion in the current Policy Manual.
Finance	It is proposed to rescind this section as it is covered by either legislation, regulation, other delegation or an existing policy; or is administrative and procedural in nature.
Bush Fire Control	It is proposed to rescind this section as it is covered by legislation, regulation, other delegation or an existing policy.
Dog Control	It is proposed to rescind this section as it is covered by legislation, regulation, other delegation or an existing policy.
Council Housing	It is proposed to retain these policies for the time being allowing staff additional time to align these with the current Policy Manual or expand on the policy and present to Council in the future for anticipated inclusion in the current Policy Manual.
Community Amenities	It is proposed to rescind this section as it is covered by either legislation, regulation, other delegation or an existing policy; or is administrative and procedural in nature.
Recreation & Culture	It is proposed to rescind the bulk of this section as it is covered by either legislation, regulation, other delegation or an existing policy; or is administrative and procedural in nature. The exception is the policies relating to the Dowerin District Museum. It is proposed to retain these policies for the time being allowing staff additional time to align these with the current Policy Manual or expand on the policy and present to Council in the future for anticipated inclusion in the current Policy Manual.
Swimming Pool	This section was rescinded at Council's May 2019 Meeting (Item 10.2.3).
Transport – Plant	It is proposed to rescind this section and replace it with the reviewed Replacement of Plant & Vehicles Policy, as presented in Attachment 11.9D.

Transport – Roads/Roadworks	This section was rescinded at Council's May 2019 Meeting (Item 10.2.3).
Economic Services	It is proposed to rescind this section as it is covered by either legislation, regulation, other delegation or an existing policy; or is administrative and procedural in nature.
Health/Building	It is proposed to retain this section for the time being. Work is being undertaken to review and develop a suite of policies relating to health, building and town planning which will be presented to future Workshops and subsequent Council meetings.
Other Property & Services	It is proposed to rescind this section as it is covered by either legislation, regulation, other delegation or an existing policy; or is administrative and procedural in nature. The exception is the Community Bus policy. It is proposed to retain this policy for the time being allowing staff additional time to expand on the policy and present to Council in the future for anticipated inclusion in the current Policy Manual.
Contractors	It is proposed to rescind this section as it is covered by either legislation, regulation, other delegation or an existing policy; or is administrative and procedural in nature.
Appendices	These are not technically part of the Policy Manual, being separate documents in their own right. However, the bulk have since been superseded either by legislation, regulations, delegations or current policies. Specifically, in relation to the Code of Conduct (CoC), the Local Government Act Review process will introduce a mandatory CoC for all local governments to adopt. This has been discussed at previous Workshops and will be presented to Council in due course.

It is anticipated that the reviews of the policies proposed to be retained for the time being will occur over the next few months and be presented to Council for consideration in early 2020. At that point it will be recommended that the remainder of the 2007 Policy Manual be rescinded in its entirety.

Current Policy Manual

Following the recent organisational restructure, it is necessary to update the position titles contained within the current Policy Manual. In doing so it was identified that the Responsible Officer for a number of policies was incorrect. It is thought this was due to confusion around which position was responsible for implementing a policy (ie the CEO in accordance with Section 5.41 of the *Local Government Act 1995*), as opposed to the position responsible for the function or activity the policy relates to (ie the Directorate Manager) and who would therefore be responsible for conducting a review of the policy.

This has been amended and is included as an Attachment.

Additionally, as a result of the review of the 2007 Policy Manual mentioned above, it is proposed to replace the Transport – Plant policies with the Replacement of Plant & Vehicles Policy. The replacement policy is included as an Attachment.

The Replacement of Plant & Vehicles Policy clarifies and simplifies the method for determining the plant replacement program and specifies timeframes in which plant and equipment is to be replaced. This aligns with current asset management practices.

Consultation

Senior Management Group

Policy Implications

The 2007 Policy Manual will be updated accordingly, should Council resolve to rescind the policies.

The current Policy Manual will be updated accordingly, should Council resolve to adopt the proposed amendments.

Statutory Implications

Section 2.7 of the *Local Government Act 1995* stipulates that the role of Council is to determine policies.

Strategic Implications

Strategic Community Plan

Community Priority:	Our Leaders
Objective:	A thriving and progressive rural community enabled by innovation in leadership, a focus on continuous improvement and adaptability to evolving community needs.
Outcome:	3
Reference:	L5

Asset Management Plan

Nil

Long Term Financial Plan

Nil

Risk Implications

The highlighted policies shown in the 2007 Policy Manual are either covered by legislation and regulations, are of an administrative, operational or procedural nature, or have been superseded with policies included the current Policy Manual, therefore the implications to Council on rescinding the policies is considered low risk.

Similarly, the change to the Responsible Officers in the current Policy Manual is considered low risk as the proposal is merely amending position titles to reflect the current organisational structure.

Financial Implications

Nil

Voting Requirements

■ Simple Majority ☐ Absolute Majority

Officer's Recommendation – 11.9

That, in accordance with Section 2.7 of the *Local Government Act 1995*, Council:

1. Rescinds the highlighted policies from the 2007 Policy Manual, as presented in Attachment 11.9A, noting that the policies are either covered by legislation, regulations or delegation, are of an administrative, operational or procedural nature, or have been superseded with policies included the current Policy Manual, as presented in Attachment 11.9B;
2. Adopts the updates to the Responsible Owners, as presented in Attachment 11.9C, in the current Policy Manual; and
3. Adopts the Replacement of Plant & Vehicles Policy, as presented in Attachment 11.9D.

11.10 Freedom of Information – Information Statement 2019/20

Governance & Compliance	
Date:	18 November 2019
Location:	Not applicable
Responsible Officer:	Rebecca McCall, Chief Executive Officer
Author:	Vanessa Green, Executive & Governance Officer
Legislation:	*Local Government Act 1995*
SharePoint Reference:	Organisation/Information Management/Freedom of Information
Disclosure of Interest:	Nil
Attachments:	Attachment 11.10A – Information Statement 2019/20 Attachment 11.10B – Information Statement 2018/19

Purpose of Report

☐ Executive Decision ■ Legislative Requirement

Summary

This Item presents the reviewed Information Statement to Council for consideration and, if satisfactory, adoption.

Background

The *Freedom of Information Act 1992* (FOI Act) requires that agencies must prepare and publish an Information Statement which informs the public about the agency's operations, describes the types of documents that can be inspected, purchased or obtained with or without charge, and to also provides an outline of the Freedom of Information (FOI) process, including how to make an FOI application. It is a requirement to undertake an annual review of the Information Statement.

Council last considered its Information Statement at its October 2018 meeting where it resolved (Item 10.1.1):

"That Council, by Simple Majority, pursuant to Section 96(1) of the Freedom of Information Act 1992 resolves to accept the 2018/2019 Information Statement and rescind the Freedom of Information Policy."

As required in the FOI Act, a review of the Information Statement has been undertaken and the reviewed document is included as an Attachment. As the format and content of the Information Statement has changed considerably from the document presented to Council at its October 2018 meeting, the 2018/19 Information Statement is also included as an Attachment for comparison purposes.

Comment

The Local Government Act Review process has necessitated some of the amendments to the Information Statement, specifically relating to the types of documents which a local government must now publish on its website.

The other amendments relate to updating the format to meet the new Style Guide, presenting the information in a different format and expanding on some sections to provide additional detail within the document itself, as opposed to having separate Appendix's.

Consultation

Nil

Policy Implications

Nil

Statutory Implications

Section 94 of the FOI Act stipulates the information which must be included in an Information Statement and states:

"94. Term used: information statement

A reference in this Act to an information statement, in relation to an agency, is a reference to a statement that contains —

(a) a statement of the structure and functions of the agency;

(b) a description of the ways in which the functions (including, in particular, the decision-making functions) of the agency affect members of the public;

(c) a description of any arrangements that exist to enable members of the public to participate in the formulation of the agency's policy and the performance of the agency's functions;

(d) a description of the kinds of documents that are usually held by the agency including —

(i) which kinds of documents can be inspected at the agency under a written law other than this Act (whether or not inspection is subject to a fee or charge); and

(ii) which kinds of documents can be purchased; and

(iii) which kinds of documents can be obtained free of charge;

(e) a description of the agency's arrangements for giving members of the public access to documents mentioned in paragraph (d)(i), (ii) or (iii) including details of library facilities of the agency that are available for use by members of the public;

(f) a description of the agency's procedures for giving members of the public access to the documents of the agency under Part 2 including —

(i) the designation of the officer or officers to whom initial inquiries as to access to documents can be made; and

(ii) the address or addresses at which access applications can be lodged;

(g) a description of the agency's procedures for amending personal information in the documents of the agency under Part 3 including —

(i) the designation of the officer or officers to whom initial inquiries as to amendment of personal information can be made; and

(ii) the address or addresses at which applications for amendment of personal information can be lodged."

The Information Statement, as presented in Attachment 11.10A complies with the above requirements.

Section 96 of the FOI Act stipulates that an agency is to review its Information Statement annually, and states:

"96. Information statement, each agency to publish annually

(1) An agency (other than a Minister or an exempt agency) has to cause an up-to-date information statement about the agency to be published in a manner approved by the Minister administering this Act —

(a) within 12 months after the commencement of this Act; and

(b) at subsequent intervals of not more than 12 months.

(2) In giving approval under subsection (1) the Minister has to have regard, amongst other things, to the need to assist members of the public to exercise their rights under this Act effectively.

(3) In the case of an agency that comes into existence after the commencement of this Act the reference in subsection (1)(a) to the commencement of this Act is to be read as a reference to the time when the agency commences its operations.

(4) A subcontractor does not have to comply with subsection (1) if the relevant contractor has complied with that subsection on behalf of the subcontractor."

In considering this Item, Council is complying with this requirement.

Strategic Implications

Strategic Community Plan

Community Priority: Our Leaders

Objective: A thriving and progressive rural community enabled by innovation in leadership, a focus on continuous improvement and adaptability to evolving community needs.

Outcome: 3

Reference: L5

Asset Management Plan

Nil

Long Term Financial Plan

Nil

Risk Implications

Council would be contravening to the FOI Act if this item was not presented.

Financial Implications

Nil

Voting Requirements

■ Simple Majority ☐ Absolute Majority

Officer's Recommendation – 11.10

That, in accordance with Sections 94 and 96 of the *Freedom of Information 1992*, Council adopts the reviewed Information Statement 2019/20, as presented in Attachment 11.10A.

11.11 Lot 38 (No. 42) Stewart Street, Dowerin – Proposed Shed

Governance & Compliance

Date:	19 November 2019
Location:	Lot 38 (No. 42) Stewart Street, Dowerin, Plan: P129090
Responsible Officer:	Rebecca McCall, Chief Executive Officer
Author:	Hugo de Vos, Contract Planner, Shire of Toodyay
Legislation:	*Planning and Development Act 2005; Planning and Development (Local Planning Schemes) Regulations 2015*
SharePoint Reference:	Compliance/Development & Building/Development Applications/DA2019-06
Disclosure of Interest:	Nil
Attachments:	Attachment 11.11A – Map, Plans and Pictures

Purpose of Report

☐ Executive Decision ■ Legislative Requirement

Summary

This Item presents an application for development approval for a shed at Lot 38 (No. 42) Stewart Street, Dowerin to Council for consideration, and if satisfactory, approval.

Background

Lot 38 on Plan P129090 (No. 42 Stewart Street, Dowerin), is a 1,012m^2 property zoned 'Commercial' under the Shire of Dowerin's Local Planning Scheme No. 2 ('the Scheme'). Stewart Street is significant as it is the main street of the Dowerin town site and is noted for its commercial frontages.

An application has been received for development approval from Sermac Contracting on behalf of Farmways Dowerin P/L to erect an 8m x 6m x 5m shed on the lot which is currently being utilised as a storage yard and for deliveries to the adjacent site (Lot 37). The proposed shed is to be set back 3m from the front boundary and 1m from the side boundary. The rear of the shed will be facing the street. Further details can be found in the Attachment.

The application was received on 7 November 2019.

This application must be determined within 60 days in accordance with Clause 75(1)(b) of the *Planning and Development (Local Planning Schemes Regulations) 2015*, which is by 18 January 2020.

Development approval is required as no exemption exists under Clause 61 of the *Planning and Development (Local Planning Schemes) Regulations 2015.* The matter is being determined by Council as no planning delegations currently exist.

Comment

Section 3.2 of the Scheme lists the objectives of the Commercial zone. There are two particularly relevant objectives to be considered, being:

1. To maintain the compatibility with the general streetscape for all new buildings in terms of scale, height, style, materials, street alignment and design of facades; and
2. To preclude the storage of bulky and unsightly goods where they may be in public view.

The main planning issue is the scale (particularly the height) of the proposal and its relationship to the overall context of the Stewart Street streetscape. Should the development be erected, there will be a 37.6m^2 wall facing the street.

The structure itself is consistent with the latter objective as it will achieve the aim of removing bulky and unsightly goods from public view.

The former objective can be achieved if the developer is required to improve the overall amenity and impact of the structure with a landscaping plan. This can be done as a Condition of Approval.

Setbacks

As discussed earlier in the report, the applicant is proposing a 3m boundary setback off the front boundary. During the assessment of this application, a 5m setback was considered. The applicant has indicated this would make manoeuvring of trucks on the site difficult. The reality is that the additional 2m, if going from 3m to 5m, will not make a significant impact on the façade. Therefore, it is recommended that the 3m setback be retained in order to facilitate the requirement for manoeuvring.

Finally, the development is located a reasonable distance down Stewart Street, away from the most critical facades so as to not affect the amenity of the area. The structure is consistent with the existing development on the site. It is therefore recommended for approval subject to conditions.

Consultation

Nil

Policy Implications

Nil

Statutory Implications

Shire of Dowerin Local Planning Scheme No. 2

Regulation 60 of the *Planning and Development (Local Planning Schemes) Regulations 2015* states:

"60. Requirement for development approval
A person must not commence or carry out any works on, or use, land in the Scheme area unless —
(a) the person has obtained the development approval of the local government under Part 8; or

(b) the development is of a type referred to in clause 61."

Strategic Implications

Strategic Community Plan

Community Priority:	Our Economy
Objective:	A strong and growing local economy support by new industry development aligned to identified economic opportunity.
Outcome:	3
Reference:	E5, E6

Asset Management Plan

Nil

Long Term Financial Plan

Nil

Risk Implications

Nil

Financial Implications

Application fees of $147 have not yet been paid.

Voting Requirements

■ Simple Majority ☐ Absolute Majority

Officer's Recommendation – 11.11

That, in accordance with the *Planning and Development Act 2005*, Council grants development approval for Sermac Contracting on behalf of Farmways Dowerin P/L to erect a shed at Lot 38 on Plan P129090 (No. 42 Stewart Street, Dowerin), in accordance with the plans as presented in Attachment 11.11A, subject to the following conditions:

1. The development hereby permitted must substantially commence within two years from the date of this decision;
2. Development shall be carried out only in accordance with the terms of the application as approved herein and any approved plan;
3. Prior to commencement of development, a detailed landscaping plan is to be submitted to and approved by the Chief Executive Officer;
4. Prior to occupation, landscaping is to be completed in accordance with the approved plans or any approved modifications thereto to the satisfaction of the local government;
5. All landscaped areas are to be maintained on an ongoing basis to the satisfaction of the local government; and
6. The stormwater shall be discharged in a manner so that there is no discharge onto the adjoining properties to the satisfaction of the local government.

11.12 *Litter Act 1979* and *Control of Vehicles (Off Road) Act 1978* - Appointment of Authorised Persons

Governance & Compliance	
Date:	18 November 2019
Location:	Not applicable
Responsible Officer:	Rebecca McCall, Chief Executive Officer
Author:	Vanessa Green, Executive & Governance Officer
Legislation:	*Litter Act 1979; Control of Vehicles (Off Road) Act 1978*
SharePoint Reference:	Compliance/Ranger/Controlled Documents/Certificate of Authorisation
Disclosure of Interest:	Nil
Attachments:	Nil

Purpose of Report

☐ Executive Decision ■ Legislative Requirement

Summary

This Item presents a proposal to appoint the Ranger as an Honorary Inspector/Authorised Officer for the purposes of fulfilling duties and functions applicable to that appointment under the *Litter Act 1979,* and the *Control of Vehicles (Off Road) Act 1978.*

Background

Recent changes introduced via the Local Government Act Review process has necessitated a review of the appointments of Authorised Persons, and the documentation required to be provided to a person so authorised. Subsequently it has been identified that appropriate authorisations were not currently in place.

Comment

Authorised Officers are detailed across numerous different legislation and generally carry out regulatory and enforcement functions for the local government within those Acts. These duties are typically undertaken by a person in the position of Ranger.

To enable the Shire's Ranger to undertake the functions which may be necessary for the role it is a requirement that the appropriate authorisation is established. This is not to say that those functions will be carried out by the Ranger, but that should the requirement arise, the appropriate mechanism would be in place.

Consultation

Lyn Fogg, Governance Advisor, Sector Support and Advice, WALGA

Rebecca McCall, Chief Executive Officer

Cherie Delmage, Manager Corporate & Community Services

Policy Implications

Nil

Statutory Implications

Section 27AA of the *Litter Act 1997* and Section 38(3) of the *Control of Vehicles (Off Road) Act 1978* is applicable.

Strategic Implications

Strategic Community Plan

Community Priority: Our Leaders

Objective: A thriving and progressive rural community enabled by innovation in leadership, a focus on continuous improvement and adaptability to evolving community needs.

Outcome: 3

Reference: L5

Asset Management Plan

Nil

Long Term Financial Plan

Nil

Risk Implications

Nil

Financial Implications

Nil

Voting Requirements

■ Simple Majority ☐ Absolute Majority

Officer's Recommendation – 11.12

That, in accordance with Section 27AA of the *Litter Act 1979* and Section 38(3) of the *Control of Vehicles (Off Road) Act 1978,* Council appoints Ms Gloria Robinson, or her delegate, as an Authorised Officer for the purpose of performing the functions exercisable by an Officer so authorised under those Acts.

12. OFFICER'S REPORTS – WORKS AND ASSETS

12.1 Reallocation of 2019/20 Roads to Recovery Funding

Works & Assets	
Date:	18 November 2019
Location:	Wongan-Koorda Road; Dowerin-Meckering Road
Responsible Officer:	Glen Brigg, Manager Works & Assets
Author:	As Above
Legislation:	*Local Government (Financial Management) Regulations 1996*
SharePoint Reference:	Nil
Disclosure of Interest:	Nil
Attachments:	Nil

Purpose of Report

☐ Executive Decision ■ Legislative Requirement

Summary

This Item presents a proposal for Council to consider reallocating the 2019/20 Roads to Recovery (R2R) funding to the Wongan-Koorda Road and Dowerin-Meckering Road.

Background

Local governments are the primary beneficiaries of an initiative to provide $1.1 billion of additional funding under the R2R Program. Councils were advised of their original R2R allocation for the 2019/20 to 2023/24 period in December 2018, and the additional funding means the Shire's allocation for this period will increase by $346,929 to $1,734,644.

Under the R2R Program, direct funding to local government is distributed according to a formula based on population and road length set by the Local Government Grants Commission. Each local government's R2R allocation is fixed for the life of the Program.

Local governments are to ensure that the R2R Program is delivering the best possible outcomes in the area of road safety. When selecting projects, R2R urge local governments to consider the likelihood that the selected project will reduce fatalities and serious injuries in crashes.

It may be that projects that may not have been able to be funded under State or Federal Black Spot programs could be delivered under the R2R Program.

In terms of road maintenance projects, improving the quality of the road asset through resheeting and resealing will have stronger safety outcomes than simply maintaining the quality through routine road maintenance.

The 2019/20 Budget makes provisions for $346,928 of R2R funding for stabilising and sealing failed sections of the Dowerin-Kalannie Road. The Dowerin-Kalannie Road is a Regional Distributer Road and carries the highest traffic count within the Shire.

The Dowerin-Kalannie Road has been identified as a Wheatbelt Secondary Freight Network (WSFN) Road. The recent Federal and State Government announcement of WSFN funding

towards this project therefore reduces the need for Council to use its R2R funding for the reconstruction on this road.

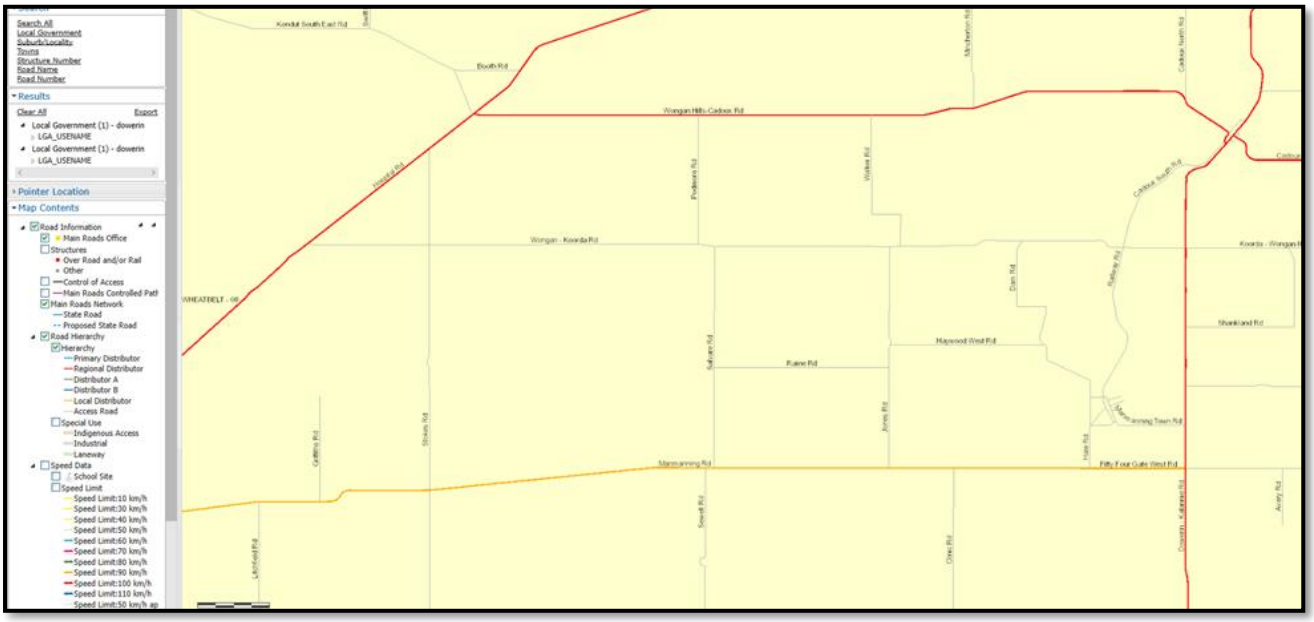
Council are requested to consider reallocating its R2R funding towards gravel sheeting the Wongan-Koorda Road and resealing on the Dowerin-Meckering Road.

Comment

As the Dowerin-Kalannie Road is a Regional Distributer Road most improvement works are to be funded through the Wheatbelt North Regional Roads Group (RRG). During the 2019/20 Budget process the Dowerin-Kalannie Road was identified as having an estimated $570,000 of bitumen failures. Most of the 2019/20 RRG and R2R funding allocations were being used to carry out these required bitumen repairs.

Since the adoption of the 2019/20 Budget, the Dowerin-Kalannie Road has been identified for WSFN funding. This type of funding will change the construction standards. Standards will change from RRG preferred Type 5 (10m pavement 7m seal) to WSFN preferred Type 6 (11m pavement and 8m seal). Any repairs and reconstructed sections completed during 2019/20 would need to be reconstructed to the new standards when funded by WSFN in the coming years.

The Wongan-Koorda Road was identified for resheeting works in the 2018/19 Budget. This road is in a poor state and several complaints have been received regarding its condition. The road is down to clay base with little to no gravel pavement remaining. Traffic counts on this road average 23 vehicles per day during a non-harvest period, with 46% of these of being attributed to heavy transport. Within these heavy vehicle counts it accounts to an average of 8 road trains per day. Main Roads WA's road classification for the Wongan-Koorda Road is as an Access Road.



The Wongan-Koorda Road was previously identified for resheeting using R2R funding in the 2018/19 Budget. Due to cost overruns on the Old Koorda Road and time restraints the remaining 2018/19 R2R funding was utilised on the Old Koorda Road.

The 2019/20 Budget makes provisions of $166,012 of RRG funding to be used for resealing Dowerin-Meckering Road from SLK 4.53 to 9.20. This section was reconstructed and sealed with a cold emulsion which has oxidized and is failing. There is a further 2.29km of seal failing on the northern end of the RRG funded section. Re-allocating $76,928 of R2R funding to the Dowerin-Meckering Road will help complete the full section through to SLK 11.29.

Consultation

Rebecca McCall, Chief Executive Officer

Council Workshop 24 September 2019

Policy Implications

The Asset Management Policy – Infrastructure is applicable.

Statutory Implications

Regulation 33A of the *Local Government (Financial Management) Regulations 1996* empowers a Council to review and amend its annual budget.

Strategic Implications

Strategic Community Plan

Community Priority: Our Infrastructure

Objective: Our infrastructure will drive economic and population growth, be a key enabler of the digital economy and support reliable, efficient service delivery.

Outcome: 1

Reference: I2

Asset Management Plan

The whole of life estimates and new condition ratings will be picked up and included in the Asset Management Plan for transport.

Long Term Financial Plan

Nil

Risk Implications

Reducing the risk when improving the quality of the road asset through resheeting and resealing will have stronger safety outcomes.

Financial Implications

There are minimal financial implications with no changes to the overall budget bottom line. However, there will be changes to estimated wages, wages overheads and plant operating cost allocations due to a reduction in materials (no bitumen) for this project.

Part of the Wongan-Koorda Road resheeting project may need to be carried over to 2020/21.

Voting Requirements

☐ Simple Majority ■ Absolute Majority

Officer's Recommendation – 12.1

That, in accordance with Regulation 33A of the *Local Government (Financial Management) Regulations 1996*, Council reallocates $270,000 of the 2019/20 Roads to Recovery Funding for gravel sheeting from SLK 2.46 to 8.26 on the Wongan-Koorda Road and $76,928 for resealing from SLK 9.00 to 11.29 on the Dowerin-Meckering Road.

12.2 Sale of Light Vehicles

Works & Assets	
Date:	18 November 2019
Location:	Not applicable
Responsible Officer:	Glen Brigg, Manager Works & Assets
Author:	As Above
Legislation:	*Local Government Act 1995; Local Government (Functions & General) Regulations 1996*
SharePoint Reference:	Nil
Disclosure of Interest:	Nil
Attachments:	Nil

Purpose of Report

☐ Executive Decision ■ Legislative Requirement

Summary

This Item presents a proposal for Council to consider the outright sale of three light vehicles.

Background

Council's 2019/20 Budget made provisions to replace three administration vehicles.

Council is required to go to tender for the disposal of the light vehicles if they are not traded at the time of replacement. The vehicles offered for trade did not attract reasonable trade-in pricing at the time of purchasing the replacement vehicles. Additionally, the anticipated sales of each vehicle will exceed the threshold of $20,000 allowed under the legislation. WALGA provides a service to advertise and manage the "for sale by tender" process and staff have utilised this service to offer the vehicles for sale.

The vehicles offered for sale by tender were:

Position	Vehicle
CEO	Ford Everest Wagon
MCCS	Ford Everest Wagon
MWA	Ford Ranger Utility

Comment

Narrogin Ford sales staff met with the CEO and MWA to advise they could no longer supply vehicles on low cost changeovers due to the car market downturn, as had been the case previously. Staff then sought pricing from several motor vehicle dealers to take over the light vehicle fleet. From those, Avon Toyota was chosen as the preferred supplier for the light vehicle fleet.

Unfortunately, the trade-in values offered for the vehicles by Avon Toyota did not meet Council's budget expectations. Subsequently, the vehicles were offered for sale by tender through WALGA's process. In that process, vehicles are advertised statewide through Tenderlink, which meets the legislative requirements. Again, the pricing received through this process did not meet Council's budget expectations for the trade-in values. The prices being offered are at wholesale values for dealers to on sell, or for auction houses to auction off at a profit.

The table below details the prices offered:

NAME/BIDDER	VEHICLE	PRICE INC. GST
Pickles Auctions	CEO Ford Everest	$40,909
Titan Ford	CEO Ford Everest	$41,909
Mawer Consulting	CEO Ford Everest	$18,000
Pickles Auctions	MCCS Ford Everest	$40,909
Titan Ford	MCCS Ford Everest	$41,136
Mawer Consulting	MCCS Ford Everest	$18,000
Pickles Auctions	MWA Ford Ranger	$27,272
Titan Ford	MWA Ford Ranger	$19,090
Mawer Consulting	MWA Ford Ranger	$10,000

It is recommended that Council reject all tenders on the basis that they do not meet Council's budget expectations. Council would then have the option to either send the vehicles to auction with a reserve price, or to advertise the vehicles for sale with an agreed market value.

During the consultation process it was identified that the previous Narrogin Ford Sales Manager, Mr Michael Catherwood, had established his own motor vehicle dealership in Katanning. Mr Catherwood has offered to accept the vehicles on consignment for them to be sold at an agreed price. This would result in a considerable time saving for staff, as they would not be required to be part of the sales process, including test drives, negotiation with potential buyers etc. It would also mean Council's budgeted expectation could be more likely to be achieved.

Consultation

Rebecca McCall, Chief Executive Officer

Grays Auctions

Katanning Motors

Pickles Auctions

Smith and Broughton Auctions

Narrogin Ford

Policy Implications

Asset Management Policy and, if adopted (refer Item 11.9), the Replacement of Plant & Vehicles Policy.

Statutory Implications

Local Government Act 1995 & the *Local Government (Functions & General) Regulations 1996.*

Strategic Implications

Strategic Community Plan

Community Priority: Our Infrastructure

Objective: Our infrastructure will drive economic and population growth, be a key enabler of the digital economy and support reliable, efficient service delivery.

Outcome: 1

Reference: I2

Asset Management Plan

Changeover of vehicles will not impact the Plant Replacement Program, which is a component of the Asset Management Plan.

Long Term Financial Plan

Nil

Risk Implications

The vehicles may not make the expected trade-in values as specified in the 2019/20 Budget. Deferring the replacement of the Works vehicles will help any impact to the 2019/20 Budget.

Financial Implications

Staff have replaced the three administration vehicles and will defer the replacement of the Works vehicles.

Savings from the changeover of light vehicles throughout the year can either be redirected to the Plant Reserve or be reallocated as part of the Budget Review process.

Voting Requirements

☐ Simple Majority ■ Absolute Majority

Officer's Recommendation – 12.2

That, in accordance with Division Two of the *Local Government (Functions and General) Regulations 1996*, Council resolves to:

1. Reject all tenders received for the two Ford Everest Wagons and one Ford Ranger Utility; and
2. Provide the two Ford Everest Wagons and one Ford Ranger Utility to Mr Michael Catherwood of Katanning Motors on consignment, with the vehicles to be advertised for sale at agreed market values.

13. Urgent Business Approved by the Person Presiding or by Decision

14. Elected Members' Motions

15. Matters Behind Closed Doors

15.1 Staff – Chief Executive Officer – Performance Appraisal 2019

In accordance with Section 5.23(2)(a) of the *Local Government Act 1995*, Council will go Behind Closed Doors to discuss a matter affecting an employee.

Voting Requirements

■ Simple Majority ☐ Absolute Majority

Officer's Recommendation – 15.1

That, in accordance with Section 5.23(2)(a) of the *Local Government Act 1995*, Council go Behind Closed Doors to discuss a matter affecting an employee.

The matter of the CEO's Performance Appraisal will be discussed and a resolution made.

Voting Requirements

■ Simple Majority ☐ Absolute Majority

Officer's Recommendation – 15.1A

That, in accordance with Section 5.23 of the *Local Government Act 1995*, Council come out from Behind Closed Doors.

The President will read aloud the Council Resolution made Behind Closed Doors. This will be reported in the Minutes.

16. Closure

SHIRE OF
DOWERIN
TIN DOG TERRITORY

MINUTES

Ordinary Council Meeting

Held in Council Chambers
13 Cottrell Street, Dowerin WA 6461
Tuesday 22 October 2019

Table of Contents

1.	Official Opening / Obituaries
2.	Record of Attendance / Apologies / Leave of Absence
3.	Swearing In of Councillors Elect
4.	Election of President
5.	Declaration by the President
6.	Election of Deputy President
7.	Declaration by the Deputy President
8.	Draw for Position at the Council Table
9.	Public Question Time
10.	Disclosure of Interest
11.	Applications for Leave of Absence
12.	Petitions and Presentations
13.	Election of Delegates and Deputy Delegates to Committees
13.1	Nomination for Council Committees
13.2	Nomination for External Committees
14.	Confirmation of Minutes of the Previous Meetings
14.1	Ordinary Council Meeting held on 22 September 2019
15.	Minutes of Committee Meetings to be Received
15.1	Finance Committee Meeting held on 14 October 2019
15.2	Audit Committee Meeting held on 22 October 2019
16.	Announcements by the President Without Discussion
17.	Officer's Reports – Corporate and Community Services
17.1	Financial Activity Statements
17.2	List of Accounts Paid
17.3	Recalcitrant Rates Debtors as at 30 September 2019
17.4	Policy Manual Review – Rescission of Sundry Debt Collection Policy
17.5	Policy Manual Review – Proposed Dowerin Home Care – Volunteer Driver Allowance Policy
18.	Officer's Reports – Governance and Compliance
18.1	Lot 190 Memorial Avenue, Dowerin WA 6461 – Proposed Subdivision – Western Australian Planning Commission Ref: 158528

19.	Officer's Reports – Works and Assets
19.1 19.2	Wheatbelt Secondary Freight Network Program – Formalisation of Commitment Policy Manual Review – Proposed Traffic Management – Shire of Dowerin Roads and Reserves Policy
20.	Urgent Business Approved by the Person Presiding or by Decision
21.	Elected Members' Motions
22.	Matters Behind Closed Doors
23.	Closure

Shire of Dowerin
Ordinary Council Meeting
Tuesday 22 October 2019

1. Official Opening / Obituaries

In accordance with Clause 3 of Schedule 2.3 of the *Local Government Act 1995* the CEO is to preside at the meeting until the office of President is filled.

The CEO welcomed all those in attendance and declared the meeting open at 3.00pm.

2. Record of Attendance / Apologies / Leave of Absence

Councillors:

Cr LG Hagboom
Cr LH Holberton
Cr DP Hudson
Cr BA Ward

Councillors Elect:

Ms JC Chatfield
Mr AJ Metcalf
Mr RI Trepp

Staff

Ms R McCall	Chief Executive Officer
Mr G Brigg	Manager Works & Assets
Ms C Delmage	Manager Corporate & Community Services
Ms V Green	Executive & Governance Officer

Members of the Public: Ms N Newman JP (until 3.10pm)

Apologies: Mr JC Sewell

Approved Leave of Absence: Nil

3. Swearing In of Councillors Elect

In accordance with Section 2.29 of the *Local Government Act 1995*, Ms Noela Newman, JP witnessed the declaration of the following re-elected elected members:

1. Councillor Chatfield;
2. Councillor Metcalf; and
3. Councillor Trepp.

It was noted that Mr Jason Sewell is an apology for the meeting and as such he will be sworn in at a separate ceremony as soon as possible.

4. Election of President

The CEO invited nominations for the position of President of the Council, for the ensuing 2 years.

The following nomination was received:

Councillor Hudson

There being no further nominations Councillor Hudson was elected to the position of President for the Shire of Dowerin for a term of office expiring 16 October 2021.

5. Declaration by the President

Ms Noela Newman, JP witnessed the declaration of Councillor Hudson as President of the Council.

3.10pm – Councillor Hudson assumed the Chair.

6. Election of the Deputy President

The President invited nominations for the position of Deputy President of the Council, for the ensuing 2 years.

The following nomination was received:

Councillor Metcalf

There being no further nominations Councillor Metcalf was elected to the position of Deputy President for the Shire of Dowerin for a term of office expiring 16 October 2021.

3.08pm – Councillor Hagboom left the meeting.

7. Declaration by the Deputy President

Ms Noela Newman, JP witnessed the declaration of Councillor as Deputy President of the Council.

3.10pm - N Newman, JP left the meeting and did not return. Councillor Hudson left the meeting.

3.12pm – Councillor Hudson entered the meeting.

3.13pm – Councillor Hagboom entered the meeting.

8. Draw for Position at the Council Table

The President advised Council it had an option to change the current seating arrangement. Alternatively, Council could resolve to retain the existing seating arrangement.

Voting Requirements

■ Simple Majority ☐ Absolute Majority

Officer's Recommendation/Resolution

Moved: Cr Metcalf Seconded: Cr Trepp

0058 That Council resolves that the seating arrangement for the next two-year period commencing today remains as it is currently, being from left to right:

1. Councillor Trepp;
2. Councillor Sewell;
3. Councillor Hagboom;
4. Councillor Ward;
5. Councillor Chatfield; and
6. Councillor Holberton.

CARRIED 7/0

9. Public Question Time

Nil

10. Disclosure of Interest

Nil

11. Applications for Leave of Absence

Councillor Metcalf requested Leave of Absence for November 2019.

Voting Requirements

■ Simple Majority ☐ Absolute Majority

Councillor's Recommendation/Resolution

Moved: Cr Chatfield Seconded: Cr Holberton

0059 That, by Simple Majority pursuant to Section 2.25(1) of the *Local Government Act 1995*, Councillor Metcalf be granted Leave of Absence for November 2019.

CARRIED 7/0

12. Petitions and Presentations

Nil

13. ELECTION OF DELEGATES AND DEPUTY DELEGATES TO COMMITTEES

13.1 Nomination for Council Committees

Governance & Compliance	
Date:	9 October 2019
Location:	Not applicable
Responsible Officer:	Rebecca McCall, Chief Executive Officer
Author:	Vanessa Green, Executive & Governance Officer
Legislation:	*Local Government Act 1995*
SharePoint Reference:	Organisation/Governance/Committees/Council Committee General File
Disclosure of Interest:	Nil
Attachments:	Attachment 13.1A - Audit Committee Terms of Reference (revised) Attachment 13.1B - Bush Fire Advisory Committee Terms of Reference Attachment 13.1C - Local Emergency Management Committee Terms of Reference

Purpose of Report

☐ Executive Decision ■ Legislative Requirement

Summary

This Item seeks a resolution on the reinstatement and Terms of Reference of Council committees and seeks nominations from Councillors for these committees.

Background

The below table details Council's committees and representation. The table also shows which committees are required under legislation.

Committee	Legislated/Optional	Previous Membership	Meeting Cycle	Representatives required by existing ToRs
Audit Committee	*Local Government Act 1995 (Section 7.1A)*	Cr Hudson, Cr Metcalf, Cr Ward	At least quarterly	3 Councillors, plus one external member
Finance Committee	Optional	Cr Trepp, Cr Hudson, Cr Walsh	Monthly	3 Councillors
Dowerin Bush Fire Advisory Committee	*Bush Fires Act 1954*	Cr Metcalf, Cr Holberton (proxy)	Twice annually	1 Councillor and a Proxy

Dowerin Local Emergency Management Committee	*Emergency Management Act 2005*	Cr Hudson	Quarterly	President
Australia Day Honours Committee	Optional	Cr Chatfield, Cr Ward	Once Annually	2 Councillors
Road Verge Management Advisory Committee	Optional	Cr Holberton, Cr Hagboom	Annually	2 Councillors and a Proxy

Except for the Finance Committee, Australia Day Honours Committee and the Road Verge Management Advisory Committee, the Terms of Reference for each committee are included as Attachments.

It should be noted that the Terms of Reference for the Audit Committee have been reviewed and are being presented to the Audit Committee at its meeting commencing at 11.00am on Tuesday 22 October 2019. The below Officer's Recommendation assumes that these revised Terms of Reference will be received, unamended, by the Committee and their adoption recommended to Council. Should the Audit Committee resolve differently it will be raised at the Council meeting, with the below Officer's Recommendation amended accordingly. The final resolution will be included in the Council minutes.

Comment

In accordance with Section 5.11 of the *Local Government Act 1995* (the Act) committee tenure expires every two years at the ordinary election therefore it is timely for Council to consider the re-establishment, representatives and terms of reference of its committees at the first meeting after the elections.

Nominations for each committee will be called at the meeting.

The Audit Committee Terms of Reference allows for Council to appoint an external member with audit and financial management expertise. Mr Jason Whiteaker, CEO of the Shire of Northam, has held that position for some time and has confirmed he is willing to continue in that role, subject to Council consideration and decision.

As discussed at previous Finance Committee and Council meetings it is recommended to disband the Finance Committee. The main reasons being that the Finance Committee is an optional committee which does not have delegated authority to make decisions. This results in a great deal of duplication with every item required to be presented to both the Finance Committee and Council. Additionally, it is the Audit Committee that is the committee legislated with the functions of assisting a local government to fulfil its governance and oversight responsibilities in relation to financial reporting, internal control structure, risk management systems, legislative compliance, ethical accountability and the internal and external audit functions.

It is also suggested that the Road Verge Management Advisory Committee be disbanded. The main reasons being that the Road Verge Management Advisory Committee is an optional committee, which does not have delegated authority to make decisions, as such any recommendation of the Committee require a Council resolution. To avoid duplication and create efficiencies it would therefore make sense for any matters which may come under consideration of the Committee to be presented direct to Council as and when the need arises. This also enables the whole of Council to have input into the decision and a full investigation of any matter to be undertaken, considering asset management, budget and compliance requirements. Additionally, Council's Street Tree Policy and Road Engineering Policy stipulate the parameters on how Council will manage its road verges.

While not done historically, Council has the option under Section 5.11A of the Act to appoint some or all Councillors as deputy committee members to its committees. This is common practice in some local governments as it enables those deputies to attend and participate in committee meetings in those circumstances where the appointed delegate(s) are unable to. This is particularly useful in enabling a deputy committee member to attend a committee meeting to ensure quorums.

Consultation

Finance Committee

Mr J Whiteaker

Senior Management Group

Policy Implications

Nil

Statutory Implications

Section 5.10 of the Act stipulates the manner for the appointment of members to Council committees.

In accordance with Section 5.10(4) of the Act, the President is entitled to be a member on any committee of their choice, even though that may exceed the quorum. Similarly, in accordance with Section 5.10(5) of the Act the CEO is entitled to be on (or appoint a representative to) any committee having employee representation.

Under Section 5.8 of the Act Council has the power to delegate authority to its committees (except those powers defined in Section 5.17 of the Act), however Council's committees do not have delegated authority. As a result all recommendations of Council's committees must be presented to Council for consideration. It is recommended this remains in place.

An Absolute Majority decision of Council is required to appoint members to committees.

In June 2018 the role and functions of an Audit Committee, as specified in Regulation 16 of the *Local Government (Audit) Regulations 1996,* were strengthened to provide greater powers and oversight in assisting the CEO to carry out the reviews of audit systems. An Audit Committee's responsibilities were also extended to 'monitor and advise' the CEO in reviews conducted into financial management systems and audit systems and procedures, as well as support the auditor as required and have functions to oversee the implementation of audit recommendations made by the auditor, which have been accepted by Council, and accepted recommendations arising from reviews of local government systems and procedures.

As a result of these legislative amendments it was necessary to amend the Audit Committee's Terms of Reference. Please refer to the comments in the Background section of this report for further information.

Strategic Implications

Strategic Community Plan

Community Priority: Our Leaders

Objective: A thriving and progressive rural community enabled by innovation in leadership, a focus on continuous improvement and adaptability to evolving community needs.

Outcome: 3

Reference: L5

Asset Management Plan

Nil

Long Term Financial Plan

Nil

Risk Implications

Terms of Reference ensure committee members are aware of their role and responsibilities and mitigates the risk of committees acting outside their responsibility.

Financial Implications

Section 5.98 of the *Local Government Act* 1995 states a Councillor who attends a Council or Committee meeting is entitled to be paid the fee determined for attending a Council or Committee meeting.

The 2019/20 Budget includes an allocation for this purpose at GL 20425 Members – Sitting Fees.

Voting Requirements

☐ Simple Majority ■ Absolute Majority

Officer's Recommendation

That, by Absolute Majority in accordance with Sections 5.10, 5.11A and 7.1A of the *Local Government Act 1995*, Council:

1. Confirms the re-establishment of the following Council committees:
   a. Shire of Dowerin Audit Committee;
   b. Shire of Dowerin Bush Fire Advisory Committee;
   c. Shire of Dowerin Local Emergency Management Committee; and
   d. Shire of Dowerin Australia Day Honours Committee;
2. Disbands the Finance Committee and the Road Verge Management Advisory Committee;
3. Confirms the Terms of Reference for the following Council committees:
   a. Shire of Dowerin Audit Committee, as revised and presented in Attachment 13.1A;
   b. Shire of Dowerin Bush Fire Advisory Committee, as presented in Attachment 13.1B; and
   c. Shire of Dowerin Local Emergency Management Committee, as presented in Attachment 13.1C;
4. Appoints the following Councillors as representatives to the following Council committees:

Committee	Representatives
Audit Committee	Members: Cr _____ Cr _____ Cr _____ Mr/Ms _____ Deputies: Cr
Dowerin Bush Fire Advisory Committee	Members: Cr _____ Cr _____ Deputies: Cr
Dowerin Local Emergency Management Committee	President Deputies: Cr
Australia Day Honours Committee	Members: Cr _____ Cr _____ Deputies: Cr

and;

5. Appoints Mr Jason Whiteaker as the external representative to the Shire of Dowerin Audit Committee.

Resolution			
Moved:	Cr Ward	Seconded:	Cr Trepp

0060 That, by Absolute Majority in accordance with Sections 5.10, 5.11A and 7.1A of the *Local Government Act 1995*, Council:

1. Confirms the re-establishment of the following Council committees:
    a. Shire of Dowerin Audit and Risk Committee;
    b. Shire of Dowerin Bush Fire Advisory Committee;
    c. Shire of Dowerin Local Emergency Management Committee;
    d. Shire of Dowerin Australia Day Honours Committee; and
    e. Shire of Dowerin Road Verge Management Advisory Committee;
2. Disbands the Finance Committee;
3. Confirms the Terms of Reference for the following Council committees:
    a. Shire of Dowerin Audit and Risk Committee, with amendments as identified at the Audit Committee Meeting of 22 October 2019;
    b. Shire of Dowerin Bush Fire Advisory Committee, as presented in Attachment 13.1B;
    c. Shire of Dowerin Local Emergency Management Committee, as presented in Attachment 13.1C; and
    d. Shire of Dowerin Road Verge Management Advisory Committee;
4. Appoints the following Councillors as representatives to the following Council committees:

Committee	Representatives
Audit Committee	Members: Cr Hudson Cr Trepp Cr Ward Mr Jason Whiteaker Deputy: Cr Metcalf
Dowerin Bush Fire Advisory Committee	Members: Cr Hagboom Cr Metcalf Deputy: Cr Holberton
Dowerin Local Emergency Management Committee	President Deputy: Cr Metcalf
Australia Day Honours Committee	Members: Cr Ward Cr Chatfield

	Deputy: Cr Holberton
Road Verge Management Advisory Committee	Cr Hagboom Cr Holberton

and;

5. Appoints Mr Jason Whiteaker as the external representative to the Shire of Dowerin Audit Committee.

CARRIED BY ABSOLUTE MAJORITY 7/0

Reason

Council noted the amendments to the Terms of Reference identified at the Audit Committee Meeting held earlier in the day and chose to retain the Road Verge Management Advisory Committee until such time as the proposed State Committee was established.

13.2 Nomination for External Committees

Governance & Compliance	
Date:	9 October 2019
Location:	Not applicable
Responsible Officer:	Rebecca McCall, Chief Executive Officer
Author:	Vanessa Green, Executive & Governance Officer
Legislation:	*Local Government Act 1995*
SharePoint Reference:	Organisation/Governance/Committees/Council Committee General File
Disclosure of Interest:	Nil
Attachments:	Attachment 13.2A – WALGA GECZ Elected Member Prospectus

Purpose of Report

☐ Executive Decision ■ Legislative Requirement

Summary

This Item seeks nominations from Councillors for various external committees on which Council is represented and a Council resolution on those appointments.

Background

The Shire of Dowerin is currently represented by Councillors on the following external committees and has been for several years:

Committee	Purpose	Meeting Cycle	Previous Membership
Avon Regional Organisation of Councils (AROC)	1. To arrange and facilitate members working together cooperatively to address regional problems, issues or challenges and advance the interests of the region; 2. Developing and implementing resource sharing strategies or regional service delivery models; 3. Delivery of training and development programs for elected members or staff; and 4. Undertaking joint tendering or purchasing arrangements.	Bi-monthly in Toodyay	President Cr Hagboom (Deputy) CEO
WALGA Great Eastern Country Zone (GECZ)	1. To provide a united voice for Local Governments in the GECZ; 2. To work collectively to enhance the sustainable social, environmental and economic	Bi-monthly alternating between Merredin and Kellerberrin	Cr Hudson Cr Walsh

	development of the GECZ at strategic and project levels; 3. To promote the profile of Local Government within the region encompassed within the GECZ; 4. To speak on behalf of Local Governments in the GECZ; 5. To elect, nominate and appoint Committees and representatives of the Zone to other organisations, 6. To enter into agreements, formal or informal, with organisations having similar aims and objectives, 7. To represent the views of Local Governments within the GECZ at the State Council of the Association; 8. To do all and any such other things as in the opinion of the Zone may conveniently be carried on by the Zone or which promote or assist or are incidental or conducive to the attainment of these objects or any of them, or anything considered beneficial to the Zone; and 9. To use the property and income of the Zone solely for the promotion of the objects or purposes of the Zone. No part of the property or income of the Zone may be paid or otherwise distributed, directly or indirectly, to members of the Zone, except in good faith in the promotion of those objects or purposes.		
Kellerberrin Regional Road Group	1. To allocate State Government Road Funding. 2. To lobby the State on issues effecting roads and road funding in the region.	2-3 times per annum in Kellerberrin, Tammin or Cunderdin	Cr Hudson (Chair) Cr Holberton (Deputy)
Goomalling Medical Surgery Advisory Committee	To provide input into the management and operation of the medical surgery based on the Shire's contribution of 33% (up to a maximum of $25,000) per annum.	Bi-annually in Goomalling	Cr Ward (Chair) Cr Chatfield CEO
Dowerin Events Management	1. For community service purposes to benefit any one or more of the communities within the Dowerin District community, including promoting, providing and carrying out all activities, facilities and projects for the benefit or welfare of the Dowerin District community, or any member or members of the Dowerin District who have a particular need by reason of youth, age, infirmity or disablement, poverty, social or economic circumstances. 2. To organise and conduct field days, to promote agricultural education & professions and the display of farming services,	Monthly	Cr Metcalf

	machinery equipment, vehicles, and allied products and to organise other displays and events including such activities offering cultural, social and community orientated programs. 3. To do all things necessary and generally for the purposes set out above, including to assume and maintain the conduct and operation of the Association, to maintain all assets of the Association, to arrange other activities offering cultural, social and community oriented programs to own and lease land, to provide recreation facilities, buildings, accommodation and other resources for the benefit of any one or more of the communities within the Dowerin District, as deemed appropriate by the Board from time to time.		
Wheatbelt AgCare	1. To provide the Central Wheatbelt region and surrounding communities with a Family Counselling Service as defined by the State Government funding body. 2. To encourage the well-being, education, life outlook and personal development of individuals and families in the area covered by the Service. 3. To provide administration and employ the staff necessary to achieve the objectives of 1. and 2. above. 4. To liaise with community organisations and government departments to ensure the community needs to be provided by the Service are achieved.	Bi-monthly in Nungarin	Cr Chatfield

Comment

In accordance with Section 5.11 of the *Local Government Act 1995* (the Act) committee tenure expires every two years at the ordinary election therefore it is timely for Council to consider the representatives to external committees at the first meeting after the elections.

The Officer's Recommendation is to maintain representation on the above-mentioned committees given that Council has committed to three of these committees by way of an MoU and/or subscription and that representation is included as a condition of the MoUs; with the Kellerberrin Regional Road Group making determinations on significant regional road funding.

Nominations for each committee will be called at the meeting.

To assist Councillors with determining if they can participate in these committees the following information is provided regarding the meeting schedule and suggested time requirements:

1. AROC: Meets bi-monthly on Monday mornings – 9am to 11.30am in Toodyay. Preparation and pre-reading approx. 2 hours per meeting.
2. Kellerberrin Regional Road Group: Meets 2-3 times per annum in Kellerberrin, Tammin or Cunderdin for approx. 1 hour. Preparation and pre-reading approx. 2 hours. Cr Hudson is the current Chair of this committee with the MWA providing executive support to the committee.

3. Great Eastern Zone – WALGA: Meets bi-monthly in Merredin or Kellerberrin. Preparation and pre-reading up to 4 hours per meeting. The Prospectus provides additional information on WALGA, its Zones and State Council and is included as an Attachment.
4. Goomalling Medical Surgery Advisory Committee – Meets twice per annum in Goomalling. Preparation and pre-reading less than 1 hour per meeting.

Consultation

Nil

Policy Implications

Nil

Statutory Implications

Sections 5.10 and 5.11 of the *Local Government Act 1995* stipulates the manner for the appointment of committee members and deputies to committees. An Absolute Majority resolution of Council is required.

Strategic Implications

Strategic Community Plan

Community Priority: Our Leaders

Objective: A thriving and progressive rural community enabled by innovation in leadership, a focus on continuous improvement and adaptability to evolving community needs.

Outcome: 3

Reference: L5

Asset Management Plan

Nil

Long Term Financial Plan

Nil

Risk Implications

Given that Council makes a financial contribution to these organisations, representation on committees ensures that the Shire of Dowerin's view is considered in any decision-making and mitigates the risk of decisions being contrary to the views of this Council.

Financial Implications

Nil

Voting Requirements

☐ Simple Majority ■ Absolute Majority

Officer's Recommendation

That, by Absolute Majority in accordance with Sections 5.10 and 5.11A of the *Local Government Act 1995*, Council appoints the following Councillors as representatives to the following external committees:

Committee	Representatives
Avon Regional Organisation of Councils	Members:

	Cr _____ CEO Deputy: Cr _____
WALGA Great Eastern Country Zone (GECZ)	Members: Cr _____ Cr _____ CEO Deputy: Cr _____
Kellerberrin Regional Road Group	Members: Cr _____ Deputy: Cr _____
Goomalling Medical Surgery Advisory Committee	Members: Cr _____ Cr _____ CEO Deputy: Cr _____
Dowerin Events Management	Members: Cr _____ Deputy: Cr _____
Wheatbelt AgCare	Members: Cr _____ Deputy: Cr _____

Resolution

Moved: Cr Ward Seconded: Cr Holberton

0061 That, by Absolute Majority in accordance with Sections 5.10 and 5.11A of the *Local Government Act 1995*, Council appoints the following Councillors as representatives to the following external committees:

Committee	Representatives
Avon Regional Organisation of Councils	Members: Cr Hudson CEO Deputy: Cr Chatfield

WALGA Great Eastern Country Zone (GECZ)	Members: Cr Hudson Cr Chatfield CEO Deputy: Cr Trepp
Kellerberrin Regional Road Group	Members: Cr Hudson Deputy: Cr Metcalf
Goomalling Medical Surgery Advisory Committee	Members: Cr Ward Cr Chatfield CEO Deputy: Cr Trepp
Dowerin Events Management	Members: Cr Metcalf Deputy: Cr Trepp
Wheatbelt AgCare	Nil

CARRIED BY ABSOLUTE MAJORITY 7/0

Reason

Council chose not to nominate a representative to Wheatbelt AgCare at this time.

14. Confirmation of Minutes of the Previous Meeting(s)

14.1 Ordinary Council Meeting held on 24 September 2019

Attachment 14.1A

Voting Requirements

■ Simple Majority ☐ Absolute Majority

Officer's Recommendation/Resolution

Moved: Cr Trepp Seconded: Cr Ward

0062 That, by Simple Majority pursuant to Sections 5.22(2) and 3.18 of the *Local Government Act 1995*, the Minutes of the Ordinary Council Meeting held 24 September 2019, as presented in Attachment 14.1A, be confirmed as a true and correct record of proceedings.

CARRIED 7/0

15. Minutes of Committee Meeting(s) to be Received

15.1 Finance Committee Meeting held on 14 October 2019

Attachment 15.1A

Meeting Comment

The President advised Council it had been anticipated to present the Minutes of the Audit Committee Meeting, which was held earlier in the day, to this meeting of Council. However, due to the discussion during the Audit Committee Meeting and the subsequent amendments and additions to items, the Minutes were not able to be finalised in time for presentation to this meeting of Council. Instead, the Audit Committee Meeting Minutes would be presented to the November Ordinary Meeting of Council.

Voting Requirements

■ Simple Majority ☐ Absolute Majority

Officer's Recommendation/Resolution

Moved: Cr Trepp Seconded: Cr Ward

0063 That Council, by Simple Majority pursuant to Sections 5.22(2) and 3.18 of the *Local Government Act 1995*, resolves to receive the Minutes of the Finance Committee Meeting (unconfirmed) held on 14 October 2019, as presented in Attachment 15.1A.

CARRIED 7/0

16. Announcements by the President Without Discussion

Following the local government elections, the President thanked Councillors who were newly elected and re-elected for standing for Council, adding that their service to the community is valued.

17. OFFICER'S REPORTS – CORPORATE AND COMMUNITY SERVICES

17.1 Financial Activity Statements

Corporate & Community Services	
Date:	8 October 2019
Location:	Not Applicable
Responsible Officer:	Cherie Delmage, Manager Corporate & Community Services
Author:	Susan Fitchat, Senior Finance Officer
Legislation:	*Local Government Act 1995; Local Government (Financial Management) Regulations 1996*
SharePoint Reference:	Organisation/Financial Management/Reporting/Financial Statements/2019-2020 Monthly Financial Statements
Disclosure of Interest:	Nil
Attachments:	Attachment 17.1A – Monthly Financial Activity Statements

Purpose of Report

☐ Executive Decision ■ Legislative Requirement

Summary

For Council to receive the Statement of Financial Activity, which includes the Detailed Schedules, Statement of Financial Position, Current Ratios and Investment Register for September 2019.

Background

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

The *Local Government (Financial Management) Regulations 1996* Regulations 34 & 35 set out the form and content of the financial reports which have been prepared for the period and are presented to Council, via the Finance Committee, for approval.

Comment

In order to fulfil statutory reporting requirements, and to provide Council with a synopsis of the Shire of Dowerin's overall financial performance on a year to date basis, the following financial reports are included as an Attachment.

Statements of Financial Activity – Statutory Reports by Program and Nature or Type

The Statements 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; which reconciles with that reflected in the associated Net Current Position note (Note 3).

Capital Acquisitions

This report provides year to date budget performance in respect of the capital expenditure activities and their funding sources. Individual project information can be found at Note 13.

Note 1 – Significant Accounting Policies

This note provides details of the accounting policies relating to the Shire's accounts.

Note 2 - Explanation of Material Variances

Council adopted (in conjunction with the Annual Budget) a material reporting variance threshold of 5% or $10,000, whichever is the greater. This note explains the reasons for any material variances identified in the Statements of Financial Activity at the end of the reporting period.

Note 3 - Net Current Funding Position - Statutory Requirement

This note provides details of the composition of the net current asset position on a year to date basis and reconciles with the closing funding position as per the Statement of Financial Activity.

Note 4 – Cash and Investments

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

Note 5 – Budget Amendments

This note provides Council with a list of all budget amendments to date.

Note 6 – Receivables

This note provides Council with the sundry debtors outstanding as at reporting date.

Note 7 - Cash Backed Reserves

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 8 – Capital Disposals

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

Note 9– Rating Information

This note provides details of rates levied during the year.

Note 10 – Information on Borrowings

This note shows the Shire's current debt position and lists all borrowings.

Note 11 – Grants and Contributions Received

This note provides information on the operating and non-operating grants received.

Note 12 – Trust Funds

This note shows the balance of funds held by the Shire in its Trust Fund on behalf of another person/entity.

Note 13– Capital Acquisitions

This note details the capital expenditure program for the year.

Consultation

Finance Committee Meeting 14 October 2019

Rebecca McCall, Chief Executive Officer

Policy Implications

The Shire of Dowerin has a comprehensive suite of financial management policies. Finances have been managed in accordance with these policies.

Strategic Implications

Strategic Community Plan

Community Priority: Our Leaders

Objective: A thriving and progressive rural community enabled by innovation in leadership, a focus on continuous improvement and adaptability to evolving community needs

Outcome: 2 & 3

Reference: L3, L4 & L5

Asset Management Plan

Nil

Long Term Financial Plan

Nil

Statutory Implications

Council is required to adopt monthly statements of financial activity to comply with Regulation 34(1) of the *Local Government (Financial Management) Regulations 1996*.

Risk Implications

Timely preparation of the monthly financial statements within statutory guidelines is vital to good financial management. Failure to submit compliant reports within statutory time limits will lead to non-compliance with the *Local Government Act 1995* and the *Local Government (Financial Management) Regulations 1996*.

Financial Implications

The budgeted opening funding surplus as per the 2019/20 Budget adopted on 23 July 2019 presents as $730,000 (Rate Setting Statement).

Voting Requirements

■ Simple Majority ☐ Absolute Majority

Committee Resolution

Moved: Cr Trepp Seconded: Cr Hudson

0050 That, pursuant to Regulation 34(4) of the *Local Government (Financial Management) Regulations 1996*, the Finance Committee recommends to Council that it receives the statutory Financial Activity Statement reports, as presented in Attachment 7.1A, for September 2019.

CARRIED 2/0

Officer's Recommendation/Resolution

Moved: Cr Ward Seconded: Cr Trepp

0064 That, pursuant to Regulation 34(4) of the *Local Government (Financial Management) Regulations 1996*, Council receives the statutory Financial Activity Statement reports, as presented in Attachment 17.1A, for September 2019.

CARRIED 7/0

17.2 List of Accounts Paid

Corporate & Community Services

Date:	9 October 2019
Location:	Not Applicable
Responsible Officer:	Cherie Delmage, Manager Corporate & Community Services
Author:	As above
Legislation:	*Local Government Act 1995; Local Government (Financial Management) Regulations 1996*
SharePoint Reference:	Organisation/Financial Management/Reporting/Financial Statements and Credit Cards
Disclosure of Interest:	Nil
Attachments:	Attachment 17.2A – List of Accounts Paid

Purpose of Report

☐ Executive Decision ■ Legislative Requirement

Summary

This Item presents the attached List of Accounts Paid, paid under delegated authority, for September 2019.

Background

Nil

Comment

At its October 2019 meeting the Finance Committee noticed it appeared EFT 7147 was double paid (also refer EFT 7149, however the list of accounts paid presented to the Finance Committee did not include the refund of EFT 7147 as the bank rejected the payment due to incorrect bank account details for the creditor. Attachment 17.2A has been amended to show the credit/refund of the original payment.

Consultation

Finance Committee Meeting 14 October 2019

Policy Implications

The Shire of Dowerin has a comprehensive suite of financial management policies. Finances have been managed in accordance with these policies. Payments have been made under delegated authority.

Strategic Implications

Strategic Community Plan

Community Priority: Our Leaders

Objective: A thriving and progressive rural community enabled by innovation in leadership, a focus on continuous improvement and adaptability to evolving community needs

Outcome: 2 & 3

Reference: L3, L4 & L5

Asset Management Plan

Nil

Long Term Financial Plan

Nil

Statutory Implications

Regulation 12 & 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 delegated authority.

Risk Implications

Council would be contravening to the *Local Government Act 1995* and *Local Government (Financial Management) Regulations 1996* if this item was not presented.

Financial Implications

Funds expended are in accordance with Council's adopted 2019/20 Budget.

Voting Requirements

■ Simple Majority ☐ Absolute Majority

Committee Resolution

Moved: Cr Hudson Seconded: Cr Trepp

0051 That the Finance Committee recommends to Council that it receives the report from the Chief Executive Officer on the exercise of delegated authority in relation to creditor payments from the Shire of Dowerin Municipal Fund, as presented in Attachment 7.2A, and as detailed below:

List of Accounts Paid - September 2019	
EFT7117 to EFT7179	115,872.89
DD1079 & DD10729 Superannuation	5,161.39
Payroll Deductions	7,920.20
Cheque 10722 to 10731	13,141.25
DD130857; Bank Fees	295.10
DD10715; NAB Credit Card; September 2019	7,902.41
DD10712; Puma Energy; Fuel; September 2019	1,021.93
Net Payroll; PPE 4 September 2019	58,682.73
Net Payroll; PPE 18 September 2019	54,774.20
Net Payroll; PPE 19 September 2019	676.86
Total	$265,448.96

CARRIED 2/0

Officer's Recommendation/Resolution

Moved: Cr Trepp Seconded: Cr Ward

0065 That Council receives the report from the Chief Executive Officer on the exercise of delegated authority in relation to creditor payments from the Shire of Dowerin Municipal Fund, as presented in Attachment 17.2A, and as detailed below:

List of Accounts Paid - September 2019	
EFT7117 to EFT7179	115,872.89
DD1079 & DD10729 Superannuation	5,161.39
Payroll Deductions	7,920.20
Cheque 10722 to 10731	13,141.25
DD130857; Bank Fees	295.10
DD10715; NAB Credit Card; September 2019	7,902.41
DD10712; Puma Energy; Fuel; September 2019	1,021.93
Net Payroll; PPE 4 September 2019	58,682.73
Net Payroll; PPE 18 September 2019	54,774.20
Net Payroll; PPE 19 September 2019	676.86
Total	$265,448.96

CARRIED 7/0

17.3 Recalcitrant Rates Debtors as at 30 September 2019

Corporate & Community Services

Date:	30 September 2019
Location:	Various
Responsible Officer:	Cherie Delmage, Manager Corporate & Community Services
Author:	Louise Sequerah, Acting Rates Officer
Legislation:	*Local Government Act 1995; Local Government (Financial Management) Regulations 1996*
SharePoint Reference:	Organisation/Rates and Evaluations/Reporting/2019 Recalcitrant Rates Debtors
Disclosure of Interest:	Nil
Attachments:	Attachment 17.3A – Recalcitrant Rates Debtors

Purpose of Report

■ Executive Decision ☐ Legislative Requirement

Summary

This month's recalcitrant rates debtors report details non-pensioner assessments with a balance of more than $100.

The Rates Officer under the guidance of the Chief Executive Officer has commenced debt recovery on assessments where the ratepayer has made no attempt to pay off rates and charges.

Background

It is best practice for Council to have less than 4% of the rates levied outstanding at the end of the financial year.

On 25 September 2019 final notices were sent to all defaulting ratepayers.

Comment

On-going debt recovery is occurring for assessments where debt recovery commenced last year or before. Some assessments are now at the stage where Property Sale and Seizure Orders have been placed on the properties.

In accordance with Council Policy, active recovery of current rates and charges will commence on 25 September 2019. As these charges are less than 1 year overdue, the initial action was to send a final notice. This will be followed up with phone calls before legal action is considered. This will considerably reduce legal fees but may involve a higher number of assessments seeking Special Arrangement Payment Plans.

Consultation

Finance Committee Meeting 14 October 2019

Louise Sequerah, Acting Rates Officer

Susan Fitchat, Senior Finance Officer

Cherie Delmage, Manager Corporate & Community Services

Lauren Marsh, Senior Account Manager - AMPAC Debt Recovery

The above Officers have had ongoing consultation as to the process and Council's policy in relation to the recovery of outstanding rates and charges.

Policy Implications

Sundry Debt Collection Policy

Strategic Implications

Strategic Community Plan

Community Priority: Our Leaders

Objective: A thriving and progressive rural community enabled by innovation in leadership, a focus on continuous improvement and adaptability to evolving community needs

Outcome: 2 & 3

Reference: L3, L4 & L5

Asset Management Plan

Nil

Long Term Financial Plan

Nil

Statutory Implications

Local Government Act 1995

Risk Implications

By actioning debt recovery, Council minimises the risk of future defaults and loss of income for the Shire. Associated costs are charged to the ratepayer's account.

Local governments have the power to have property re-vested if the debt remains unpaid for 3 years.

Financial Implications

It is best practice for Council to have less than 4% of the rates levied outstanding at the end of the financial year to minimise cash flow implications.

Voting Requirements

■ Simple Majority ☐ Absolute Majority

Committee Resolution

Moved: Cr Trepp Seconded: Cr Hudson

0052 That the Finance Committee reviews the report of Recalcitrant Rates Debtors, as presented in Attachment 7.3A, in accordance with Council Policy.

CARRIED 2/0

Officer's Recommendation/Resolution

Moved: Cr Chatfield Seconded: Cr Ward

0066 That Council reviews the report of Recalcitrant Rates Debtors, as presented in Attachment 17.3A, in accordance with Council Policy.

CARRIED 7/0

17.4 Policy Manual Review – Rescission of Sundry Debt Collection Policy

Corporate & Community Services

Date:	15 October 2019
Location:	Not applicable
Responsible Officer:	Cherie Delmage, Manager Corporate & Community Services
Author:	As above
Legislation:	*Local Government Act 1995; Local Government (Financial Management) Regulations 1996*
SharePoint Reference:	Organisation/Governance/Council Policies
Disclosure of Interest:	Nil
Attachments:	Attachment 17.4A – Debt Collection Procedure

Purpose of Report

☐ Executive Decision ■ Legislative Requirement

Summary

The purpose of this report is to rescind Council Policy 'Sundry Debt Collection' as this is considered an administrative procedure and not suitable as a Council Policy.

Background

Historically, most Councils have adopted a Debt Collection Policy of varying terms with some Councils using the Policy to cover both outstanding Sundry Debtors and Rates.

Each month, Council are provided with a list of recalcitrant debtors along with the monthly financial statements which provide the details of outstanding balances enabling Elected Members to track debt recovery.

Comment

It is vital that Council are aware of debt recovery outcomes and able to monitor the progress of debt and its reduction, but as they are unable to direct the Administration on the process of how that debt is recovered, the Sundry Debt Collection Policy is considered superfluous.

What is important is that Council are fully informed at all times of any outstanding debt and are able to see that actions to recover debt is occurring. This occurs in the form of monthly financial statements, recalcitrant debtor reports and updates from the CEO regarding possible unrecoverable debts.

Each year at the time of budget consideration, a provision for doubtful debts, both sundry and rates, is to be made with supporting documentation which also provides Council an update of the current status of any outstanding debts owed.

The procedure notes that the CEO is required to submit a report to Council detailing debts owed to the Shire and all recovery action that has occurred for the month. Consideration of confidentiality is paramount in the provision of this report to protect debtors.

Consultation

Rebecca McCall, Chief Executive Officer

Policy Implications

The Policy Manual will be updated accordingly, should the policy be rescinded.

Strategic Implications

Strategic Community Plan

Community Priority: Our Leaders

Objective: A thriving and progressive rural community enabled by innovation in leadership, a focus on continuous improvement and adaptability to evolving community needs

Outcome: 3

Reference: L5

Asset Management Plan

Nil

Long Term Financial Plan

Nil

Statutory Implications

Section 2.7 of the *Local Government Act 1995* stipulates that the role of Council is to determine policies.

Risk Implications

There are no foreseeable risk implications associated with the removal of this Policy as it is unable to be enforced by Council.

There is a possible risk of loss of income if inadequate debt recovery occurs due to a lack of appropriate procedures being put in place which are regularly monitored and maintained by the CEO.

It is the responsibility of Elected Members to ensure they are familiar with the monthly financial statements so as to monitor the collection of debt.

Financial Implications

There are no foreseeable financial implications at the time of writing this report.

The financial implications of inadequate debt recovery action by administration is that the Shire will not be adhering to internal controls which can lead to loss of budgeted income and also a failure to comply with legislation.

Voting Requirements

■ Simple Majority ☐ Absolute Majority

Officer's Recommendation/Resolution

Moved: Cr Ward Seconded: Cr Trepp

0067 That, by Simple Majority pursuant to Section 2.7 of the *Local Government Act 1995*, Council rescinds the Sundry Debt Collection Policy and notes the Debt Collection Procedure, as presented in Attachment 17.4A, as an internal control under the responsibility of the Chief Executive Officer.

CARRIED 7/0

17.5 Policy Manual Review – Proposed Dowerin Home Care – Volunteer Driver Allowance Policy

Corporate & Community Services

Date:	15 October 2019
Location:	Not applicable
Responsible Officer:	Cherie Delmage, Manager Corporate & Community Services
Author:	As above
Legislation:	*Local Government Act 1995; Local Government (Financial Management) Regulations 1996*
SharePoint Reference:	Organisation/Governance/Council Policies
Disclosure of Interest:	Nil
Attachments:	Attachment 17.5A – Proposed Dowerin Home Care – Volunteer Driver Allowance Policy

Purpose of Report

☐ Executive Decision ■ Legislative Requirement

Summary

This Item brings a proposed Policy before Council for consideration and, if satisfactory, adoption.

Background

Whilst no current policy or procedure exists in relation to providing volunteers an allowance when providing driver services to clients of Dowerin Home Care (DHC), past practice has been to offer each volunteer an amount of $15 for a Northam trip and $25 for a Perth trip.

These trips are undertaken in the DHC vehicle with no financial cost to the volunteer. It is acknowledged that the time and service provided by volunteers is invaluable.

Past practice was to make payment direct from the DHC petty cash allowance and at this point in time, there appears to be an inconsistency in the allocation of the expenditure making it difficult to determine an estimated annual cost as well as a lack of internal control.

In June 2019, after discussions between the CEO and DHC Coordinator, the decision was made to cancel the provision of this allowance due to the lack of policy, procedure and parameters relating to the practice, and also with a view that paying volunteers is not standard practice.

A concern raised by one of the volunteers who received this subsidy has resulted in a review of the practice and instigated this report. A proposed policy has been developed and is included as an Attachment.

Comment

Aside from the fact that no funds have been budgeted to cover the payment of any allowance to volunteers, it is not sound financial management to make any type of payment without having strict internal controls in place.

Currently the Shire provides a Christmas function to volunteers of the DHC.

The CRC also hold an annual Thank a Volunteer Day event.

A summary of the recommended guidelines included in the proposed Policy is as follows:

1. A Volunteer Register be monitored and maintained with a monthly update provided in the Councillor Information Bulletin;
2. Volunteers to provide a copy of their vehicle driver's licence annually and/or upon request;
3. Usage of the DHC vehicle be restricted to driving the client to the appointment from their place of residence and return;
4. Under no circumstances is the vehicle and/or client to be taken to a location that is not on route;
5. A Shire provided mobile phone will be provided as part of the vehicle;
6. The driver must ensure they are available for contact at all times during the volunteer period;
7. The vehicle is not to be utilised for personal purposes;
8. The vehicle will be signed out from the DHC office with an estimated return time noted;
9. The vehicle will be signed in at the DHC office upon return;
10. If the return time is delayed, the volunteer will contact the DHC Coordinator to advise of the delay, the reason for the delay & the expected return time;
11. The amount of $15 per return trip to Northam and $30 per return trip to Perth be the set allowance amount;
12. No medical advice or direction is to be provided to DHC clients at any time; and
13. Payment of the allowance will be fortnightly via the usual creditor run.

Consultation

Council Workshop 24 September 2019

Rebecca McCall, Chief Executive Officer

Cherie Delmage, Manager Corporate & Community Services

Lisa Begley, DHC Coordinator

Policy Implications

The Policy Manual will be updated accordingly, should the policy be adopted.

Strategic Implications

Strategic Community Plan

Community Priority:	Our Leaders
Objective:	A thriving and progressive rural community enabled by innovation in leadership, a focus on continuous improvement and adaptability to evolving community needs
Outcome:	3
Reference:	L5

Asset Management Plan

Nil

Long Term Financial Plan

Nil

Statutory Implications

Section 2.7 of the *Local Government Act 1995* stipulates that the role of Council is to determine policies.

Risk Implications

Without the implementation of robust policy and procedures, the Shire of Dowerin exposes itself to risk by not appropriately managing:

1. Record keeping;
2. Financial monitoring; and
3. Asset management (vehicle).

It is acknowledged that if the Shire of Dowerin chooses not to provide an allowance as per past practice, valued volunteers may no longer provide this service to DHC clients.

Financial Implications

If Council choose to adopt the attached draft Policy, it is estimated that an amount of $1,000 per annum will need to be included in annual budget preparations.

Council need to be aware that the payment of volunteers for a particular service may raise questions within the community regarding payments to other volunteers for other services.

It is recommended that the policy be effective as of 1 July 2019 with any volunteer payments back dated to this period.

Voting Requirements

■ Simple Majority ☐ Absolute Majority

Officer's Recommendation/Resolution

Moved: Cr Chatfield Seconded: Cr Holberton

0068 That, by Simple Majority pursuant to Section 2.7 of the *Local Government Act 1995*, Council:

1. Adopts the Dowerin Home Care – Volunteer Driver Allowance Policy, as presented in Attachment 17.5A; and
2. Reallocates $1,000 from GL 25805 Admin Overheads - Employee Costs Recruitment to GL 28087 DHC - Other Expenses to provide for the allowance as described in the Dowerin Home Care – Volunteer Driver Allowance Policy.

CARRIED 7/0

18. OFFICER'S REPORTS – GOVERNANCE AND COMPLIANCE

18.1 Lot 190 Memorial Avenue, Dowerin WA 6461 – Proposed Subdivision – Western Australian Planning Commission Ref: 158528

Governance & Compliance	
Date:	15 October 2019
Location:	Lot 190 Memorial Avenue, Dowerin
Responsible Officer:	Rebecca McCall, Chief Executive Officer
Author:	Hugo de Vos, Contract Planner, Shire of Toodyay
Legislation:	*Planning and Development Act 2005*
SharePoint Reference:	Compliance/Development & Building/Subdivision Applications
Disclosure of Interest:	Nil
Attachments:	Attachment 18.1A - Local Planning Scheme Map Attachment 18.1B - Subdivision Plan

Purpose of Report

☐ Executive Decision ■ Legislative Requirement

Summary

A referral has been received from the Western Australian Planning Commission (WAPC) requesting Council's advice regarding a proposal to subdivide Lot 190 Memorial Avenue, Dowerin.

Background

The subject site is located within the Dowerin townsite and is opposite the Dowerin Recreation Area and the School on Memorial Avenue.

The current parcel of land is as follows:

Lot Number	Deposited Plan	Area (m^2)
190	P154234	3,050

The current parcel of land is zoned 'Residential R10/35' under the Shire's Local Planning Scheme No. 2. The Local Planning Scheme Map is included as an Attachment.

Current structures on the lots include seven dwellings which are to be retained. In addition to this, four garden sheds will also be retained. The Subdivision Plan is included as an Attachment.

The following utilities are available at the site:

Utilities	Available/Not Available
Water	Scheme water available

Power	Available
Sewerage	Available

The proposed application (WAPC Reference: 158528) involves the subdivision of the abovementioned lot into four (4) parcels.

The details of the new lots are:

Lots	Area
Lot 25	1,308m²
Lot 27	737m²
Lot 28	448m²
Lot 29	558m²
Total	3,051m² Average: 762.75m²

The land is currently owned by the Shire of Dowerin.

Comment

This proposal represents a straightforward subdivision of Lot 190 Memorial Avenue, Dowerin into 4 lots.

It is recommended Council advises the WAPC that the proposal to subdivide Lot 190 Memorial Avenue, Dowerin is supported unconditionally.

Consultation

No external consultation is required in relation to the recommendations of this report.

Policy Implications

Nil

Statutory Implications

Section 142(2)(a) of the *Planning and Development Act 2005;* Shire of Dowerin Local Planning Scheme No. 2 and the *Planning and Development (Local Planning Schemes) Regulations 2015* are applicable.

Strategic Implications

Strategic Community Plan

Community Priority: Our Infrastructure

Objective: Infrastructure is fit for purpose, responsibly managed and maintained.

Outcome: 1

Reference: I2

Asset Management Plan

Nil

Long Term Financial Plan

Nil

Risk Implications

There are no known risk implications for the Shire in relation to the recommendations of this report.

Financial Implications

An allocation is included in the 2019/20 Budget for the subdivision of Lot 190 Memorial Avenue, Dowerin at GL 23053.

Voting Requirements

■ Simple Majority ☐ Absolute Majority

Officer's Recommendation/Resolution

Moved: Cr Metcalf Seconded: Cr Holberton

0069 That, by Simple Majority in accordance with Section 142(2)(a) of the *Planning and Development Act 2005*, Council advises the Western Australian Planning Commission (WAPC) that it supports the application to subdivide Lot 190 Memorial Avenue, Dowerin WA 6461 (WAPC Ref: 158528) unconditionally.

CARRIED 7/0

19. OFFICER'S REPORTS – WORKS AND ASSETS

19.1 Wheatbelt Secondary Freight Network Program – Formalisation of Commitment

Works & Assets	
Date:	14 October 2019
Location:	Not applicable
Responsible Officer:	Glen Brigg, Manager Works & Assets
Author:	Garrick Yandle, CEO, Shire of Kulin; Vanessa Green, Executive & Governance Officer
Legislation:	*Local Government Act 1995*
SharePoint Reference:	Technical/Roads/Government Liaison/Wheatbelt Secondary Freight Network
Disclosure of Interest:	Nil
Attachments:	Attachment 19.1A - Project Governance Plan Attachment 19.1B - Program Delivery Plan Attachment 19.1C - Multi Criteria Analysis Methodology

Purpose of Report

■ Executive Decision ☐ Legislative Requirement

Summary

This Item requests Council consider the Wheatbelt Secondary Freight Network (WSFN) Project Governance Plan (PGP), Program Delivery Plan and Multi Criteria Analysis (MCA) Methodology and formalise its commitment to WSFN Program.

Background

42 Wheatbelt local governments have worked collaboratively for over 4 years to secure funding to improve secondary freight network routes on local government roads in the region. The WSFN Program has successfully been allocated $70 million of Federal funding which has been matched with State funding of $17.5 million (reflecting the 80/20 funding agreement).

The State funding will be sourced two thirds from the State and one third from the local governments whose assets are being upgraded. The available $87.5 million will not be sufficient to upgrade all 80 of the identified routes and good governance of this program, and ongoing collaboration between all parties, will be critical in securing additional funding.

The PGP identifies how key governance and administrative aspects will be undertaken to ensure successful delivery of the program. It will outline the structure and processes for decision making and consultation within the Wheatbelt Region Regional Road Groups and local governments. The PGP will provide a framework and guidelines for all members of the WSFN Program to operate within. The PGP will be used to communicate to all stakeholders how the program will be governed. The PGP should be read in conjunction with the Program Delivery Plan and the MCA Methodology documents which provide operational details about how on-ground capital works will be delivered for Stage 1 and beyond.

Comment

Now that the initial funding for the delivery of on-ground capital works for Stage 1 has been confirmed, it is requested that all 42 local governments formalise their commitment to the WSFN Program, to be eligible for future funding and project consideration. The WSFN Steering Committee recommend this commitment be via a formal resolution of Council, which includes the acknowledgement of the following WSFN program documents:

1. PGP, as presented in Attachment 19.1A;
2. Program Delivery Plan, as presented in Attachment 19.1B; and
3. MCA Methodology, as presented in Attachment 19.1C.

The resolutions will be collated as addendums to the formal agreement which the Regional Road Group will sign with the Federal and State Governments on behalf of all local governments associated with the WSFN Program.

In order to demonstrate best outcomes and value for money it is necessary to develop a transparent process to identify which routes have the highest priority for the limited available funding. A prioritisation of the WSFN routes will be via a MCA, developed to score each route based on the available data submitted by local governments and the Revitalising Agricultural Region Freight (RARF) Strategy, which is being coordinated by the State Government. The criteria upon which each route will be assessed in the MCA includes:

Data Set	Description
Road Safety Management System (ROSMA) KSI Rate	ROSMA data will be supplied by Main Roads WA. It captures the rate of 'Killed or Serious Injury' (KSI) incidents on a route.
Seal Width	The seal width of the road described as a percentage of the route length, allowing an average seal width will be applied across the route. Seal width will be compared to a minimum seal width of 7m as per a Type 5 road.
Road Condition	Shire's have assessed road condition on a one to five scale, which has been applied as a direct metric. Five indicating very poor condition.
Average Daily Traffic (ADT) Counts	ADT counts provide data on the average number of total vehicles traveling on a road per day over the measurement period, capturing both heavy and light vehicle use.
Equivalent Standard Axle (ESA) Counts	An ESA is defined as a dual tyred single axle transmitting 8.2 tonne to the pavement. ESA counts are therefore reflective of the total number and load of heavy vehicles that impact a road.

On-ground works for the WSFN Program are expected to commence in the 2020/21 financial year and be staged over a 3 to 5-year period depending upon Federal Government stipulations.

For the 2019/20 financial year the WSFN have identified two pilot projects to begin on-ground works and refine project delivery methodologies and processes. These will be $1 million each and have been identified for the following Shires:

Wheatbelt North	Shire of Victoria Plains Lancelin to Meckering Route Mogumber-Yarawindah Road Project Value - $1 million
Wheatbelt South	Shire of Quairading Cunderdin to Kweda Route Cunderdin-Quairading Road Project Value - $1 million

At a workforce level, officers from local governments with prioritised projects will be essential to ensure successful delivery of individual projects. This will provide a great opportunity for knowledge sharing and collaboration across the region. It will enable both the informal and formal training of local government staff to upskill and improve their technical capacity. Where possible, neighbouring local governments will be encouraged to share technical, workforce and plant resources to assist in the efficient on-ground delivery of individual projects.

Consultation

Nil

Policy Implications

Nil

Statutory Implications

Local Government Act 1995

Strategic Implications

Strategic Community Plan

Community Priority: Our Infrastructure

Objective: Our infrastructure will drive economic and population growth, be a key enabler of the digital economy and support reliable, efficient service delivery.

Outcome: 1

Reference: I2

Asset Management Plan

The upgrade to any assets within the Shire of Dowerin as a result of the WSFN Program will need to be incorporated into future AMP's.

Long Term Financial Plan

The WSFN Program 5 Year Plan will need to be incorporated into Council's LTFP.

Risk Implications

If Council chooses to resolve differently to the Officer's Recommendation it would be at risk of being ineligible for future funding and project consideration under the WSFN Program. Additionally, there could be reputational risk should Council chose to pull out of the WSFN Program at this stage.

Financial Implications

Local governments with projects approved over the course of the WSFN Program will be required to contribute approximately 7% of each individual project's total cost. The remaining funding will be provided by Federal Government funding 80% and State Government funding 13%.

Individual Shires will provide the following information on their project(s) to the WSFN Steering Committee for approval before any funding will be released:

1. Scope;
2. Budget;
3. Methodology; and
4. Delivery.

Individual Shires' projects will need to be incorporated into that Council's annual budget.

Funding will be distributed to LGs via MRWA in accordance with Governance Plan.

	Voting Requirements

■ Simple Majority ☐ Absolute Majority

Officer's Recommendation/Resolution

Moved: Cr Metcalf Seconded: Cr Ward

0070 That, by Simple Majority in accordance with Section 3.18 of the *Local Government Act 1995*, Council;

1. Formalises its commitment to the Wheatbelt Secondary Freight Network Program (WSFN);
2. Receives the following WSFN Program documents which outline how the WSFN Steering Committee proposes to administer the WSFN Program:
   a. Program Governance Plan, as presented in Attachment 19.1A;
   b. Program Delivery Plan, as presented in Attachment 19.1B; and
   c. Multi Criteria Analysis Methodology, as presented in Attachment 19.1C; and
3. Endorses the processes and procedures outlined in the Program Governance Plan which enables the Wheatbelt North and Wheatbelt South Regional Road Groups and the WSFN Steering Committee to make decisions in accordance with the Program Governance Plan.

CARRIED 7/0

19.2 Policy Manual Review – Proposed Traffic Management – Shire of Dowerin Roads and Reserves Policy

Works & Assets	
Date:	15 October 2019
Location:	Not applicable
Responsible Officer:	Glen Brigg, Manager Works & Assets
Author:	Vanessa Green, Executive & Governance Officer
Legislation:	*Local Government Act 1995*
SharePoint Reference:	Organisation/Governance/Council Policies
Disclosure of Interest:	Nil
Attachments:	Attachment 19.2A – Proposed Traffic Management Policy

Purpose of Report

☐ Executive Decision ■ Legislative Requirement

Summary

This Item brings a proposed Policy before Council for consideration and, if satisfactory, adoption.

Background

A new Traffic Management policy has been developed to ensure the safety of all workers and the public in line with safe system principles and establish uniform procedures for traffic management at work sites and events that can be easily recognised and understood by all.

Comment

The proposed policy recognises that in accordance with Regulation 297(2) of the *Road Traffic Code 2000* Instruments of Authorisation issued to the Shire of Dowerin by the Commissioner of Main Roads Western Australia, the Shire is obliged to develop and implement traffic management procedures to the satisfaction of the Commissioner.

The proposed policy also provides direction in relation to traffic management of all works and events carried out or authorised by the Shire of Dowerin.

Consultation

Council Workshop 24 September 2019

Senior Management Group

Policy Implications

The Policy Manual will be updated accordingly, should the policy be adopted.

Statutory Implications

Section 2.7 of the *Local Government Act 1995* stipulates that the role of Council is to determine policies.

Strategic Implications

Strategic Community Plan

Community Priority: Our Infrastructure

Objective: Our infrastructure will drive economic and population growth, be a key enabler of the digital economy and support reliable, efficient service delivery.

Outcome: 1

Reference: I2

Asset Management Plan

Nil

Long Term Financial Plan

Nil

Risk Implications

Nil

Financial Implications

Costs associated with the policy have been factored into Council's 2019/20 Budget, however the costs are expected to be minimal.

Voting Requirements

■ Simple Majority ☐ Absolute Majority

Officer's Recommendation/Resolution

Moved: Cr Holberton Seconded: Cr Ward

0071 That, by Simple Majority in accordance with Sections 2.7(2)(b) and 5.41 of the *Local Government Act 1995*, Council adopts the Traffic Management - Shire of Dowerin Roads and Reserves Policy, as presented in Attachment 19.2A.

CARRIED 7/0

20.	Urgent Business Approved by the Person Presiding or by Decision

Nil

21.	Elected Members' Motions

Nil

22.	Matters Behind Closed Doors

Nil

23.	Closure

There being no further business the President thanked those in attendance and declared the meeting closed at 3.55pm.

SHIRE OF
DOWERIN
TIN DOG TERRITORY

MINUTES

Audit & Risk Committee Meeting

Held in Council Chambers
13 Cottrell Street, Dowerin WA 6461
Tuesday 22 October 2019

Table of Contents

1.	Official Opening
2.	Record of Attendance / Apologies / Leave of Absence
3.	Public Question Time
4.	Disclosure of Interest
5.	Confirmation of Minutes of the Previous Meetings
5.1	Minutes of the Audit & Risk Committee Meeting 18 March 2019
6.0	Presentations
7.	Officer's Reports
7.1	Standing Item – Business Arising from Previous Minutes
7.2	Policy Manual Review – Risk Management Policy
7.3	Risk Management Framework Review
7.4	Risk Dashboard Quarterly Report – October 2019
7.5	2019 Financial Management Review
7.6	CEO's Review of Risk Management, Internal Control and Legislative Compliance and Risk Management Governance Framework
7.7	Interim Audit Results for the Year Ending 30 June 2019
7.8	Review of Terms of Reference
8.	Questions from Members
9.	Urgent Business Approved by the Person Presiding or by Decision
10.	Date of Next Meeting
11.	Closure

Shire of Dowerin
Audit & Risk Committee Meeting
Tuesday 22 October 2019

1. Official Opening

The Chair welcomed those in attendance and declared the meeting open at 11.05am.

2. Record of Attendance / Apologies / Leave of Absence

Members:

Cr DP Hudson	President
Cr BA Ward	
Mr JB Whiteaker	From 11.10am via teleconference

Staff

Ms R McCall	Chief Executive Officer
Ms C Delmage	Manager Corporate & Community Services
Mr G Brigg	Manager Works & Assets
Ms V Green	Executive & Governance Officer

Members of the Public:	Nil
Apologies:	Mr AJ Metcalf
Approved Leave of Absence:	Nil

Request for Attendance via Teleconference

In accordance with Regulation 14A of the *Local Government (Administration) Regulations 1996* Mr Whiteaker has requested attendance at this Audit & Risk Committee Meeting via telephone communication.

Voting Requirements

☐ Simple Majority ■ Absolute Majority

Officer's Recommendation/Resolution

Moved: Cr Ward Seconded: Cr Hudson

0048 That, by Absolute Majority pursuant to Regulation 14A of the *Local Government (Administration) Regulations 1996*, the Audit & Risk Committee:

1. Approves Mr Whiteaker's attendance at the October 2019 Audit & Risk Committee meeting via telephone communication; and
2. Approves an office at 395 Fitzgerald Street, Northam WA 6401 as a suitable place for Mr Whiteaker's attendance.

CARRIED 2/0

11.10am – Mr Whiteaker was contacted by telephone and joined the meeting.

3.	Public Question Time

Nil

4.	Disclosure of Interest

Nil

5.	Confirmation of Minutes of the Previous Meeting(s)

5.1 Audit & Risk Committee Meeting held on 18 March 2019

Attachment 5.1A

	Voting Requirements

■ Simple Majority ☐ Absolute Majority

Officer's Recommendation/Resolution

Moved: Cr Ward Seconded: Mr Whiteaker

0049 That, pursuant to Sections 3.18 and 5.22(2) of the *Local Government Act 1995*, the Minutes of the Audit & Risk Committee Meeting held on 18 March 2019, as presented in Attachment 5.1A, be confirmed as a true and correct record of proceedings.

CARRIED 3/0

6. PRESENTATIONS

Nil

7. OFFICER'S REPORTS

7.1 Standing Item - Business Arising from the Previous Meeting(s)

Corporate & Community Services	
Date:	7 October 2019
Location:	Nil
Responsible Officer:	Cherie Delmage, Manager Corporate & Community Services
Author:	Vanessa Green, Executive & Governance Officer
Legislation:	*Local Government Act 1995*
Sharepoint Reference:	Nil
Disclosure of Interest:	Nil
Attachments:	Nil

Purpose of Report

■ Executive Decision ☐ Legislative Requirement

Summary

This report provides an update on business arising from previous Audit & Risk Committee meeting(s).

Background

At its Meeting held 18 March 2019, the Audit & Risk Committee discussed the Australian Tax Office (ATO) GST Liability of $108,703.

Comment

The amount owing to the ATO as a result of the overstatement of Business Activity Statement Credits due to fraud resulting in an overclaim of monies from the ATO during the period October 2011 to September 2015 has been paid to the ATO.

The amount of $108,703 was paid via EFT on 7 May 2019. This is the full amount owing and a nil balance remains.

In accordance with the agreement with the ATO all penalties and interest on the amount have been waived.

Consultation

Australian Tax Office

Finance Committee Meeting 20 May 2019

Policy Implications

General Financial Transaction and Financial Management Policies

Strategic Implications

Strategic Community Plan

Community Priority:	Our Leaders
Objective:	A thriving and progressive rural community enabled by innovation in leadership, a focus on continuous improvement and adaptability to evolving community needs
Outcome:	2 & 3
Reference:	L3, L4 & L5

Asset Management Plan

Nil

Long Term Financial Plan

Nil

Statutory Implications

As outlined in the *Local Government Act 1995* and *Local Government (Financial Management) Regulations 1996*.

Risk Implications

The item ensures that recommendations arising from previous Audit & Risk Committee meetings are considered, actioned and updates provided to the Committee.

Financial Implications

Nil to the 2019/20 Budget as the amount was paid in the previous financial year.

Voting Requirements

■ Simple Majority ☐ Absolute Majority

Officer's Recommendation

That the Audit & Risk Committee notes the progress on actions and recommendations arising from previous meeting(s).

Resolution

Moved: Mr Whiteaker Seconded: Cr Ward

0050 That the Audit & Risk Committee notes the completion of actions and recommendations arising from previous meeting(s).

CARRIED 3/0

Reason

As the Item referred to matters which had been completed, as opposed to still progressing, the Committee believed this was better reflected in the resolution.

7.2 Policy Manual Review - Risk Management Policy

Governance & Compliance	
Date:	7 October 2019
Location:	Not applicable
Responsible Officer:	Rebecca McCall, Chief Executive Officer
Author:	Vanessa Green, Executive & Governance Officer
Legislation:	*Local Government Act 1995; Local Government (Audit) Regulations 1996*
Sharepoint Reference:	Organisation/Governance/Council Policies/Policy Manual
Disclosure of Interest:	Nil
Attachments:	Attachment 7.2A – Reviewed Risk Management Policy Attachment 7.2B – Risk Management Policy (adopted May 2017)

Purpose of Report

☐ Executive Decision ■ Legislative Requirement

Summary

This Item presents the Risk Management Policy for consideration and, if satisfactory, recommendation to Council for adoption.

Background

The Shire of Dowerin's Risk Management Policy and Framework sets out the Shire's approach to the identification, assessment, management, reporting and monitoring of risks.

The previous Risk Management Policy, adopted in January 2008 and reviewed in May 2017, has been reviewed and is included as an Attachment. Also included as an Attachment is the policy adopted in May 2017 for comparison.

Comment

The 2019 review has expanded the Policy to include Risk Assessment and Acceptance Criteria and also a Monitor and Review process. In addition, the Roles and Responsibilities have been expanded to clearly define the CEO's responsibilities relating to risk management.

Other changes are considered minor, mainly to make the wording more reader-friendly and understandable, while not affecting the intent of the Policy.

As the matter of risk management is a major component of the CEO's review of certain systems and procedures required under Regulation 17 of the *Local Government (Audit) Regulations 1996*, and the role (in part) of the Audit & Risk Committee in accordance with Regulation 16 of the *Local Government (Audit) Regulations 1996*, is to review the report given to it by the CEO under Regulation 17, and to report to the Council the results of that review, as well as monitoring and advising the CEO when carrying out functions in relation to the Regulation 17 review, the Risk Management Policy and Risk Management Framework (refer Item 7.3) are presented to the Audit & Risk Committee for consideration.

Consultation

Senior Management Group

Policy Implications

If adopted, the Policy Manual will be updated with the reviewed policy.

Strategic Implications

Strategic Community Plan

Community Priority: Our Leaders

Objective: A thriving and progressive rural community enabled by innovation in leadership, a focus on continuous improvement and adaptability to evolving community needs

Outcome: 3

Reference: L5

Asset Management Plan

Nil

Long Term Financial Plan

Nil

Statutory Implications

Section 2.7 of the *Local Government Act 1995* stipulates that the role of Council is to determine policies.

Risk Implications

The Shire of Dowerin has a Risk Management Governance Framework which includes a policy and procedure. The framework provides tools to monitor the Shire's risk profile on a quarterly basis. With the implementation of regular monitoring and review risk implications are considered low.

Financial Implications

Nil

Voting Requirements

■ Simple Majority ☐ Absolute Majority

Officer's Recommendation

That, by Simple Majority in accordance with Regulations 16 and 17 of the *Local Government (Audit) Regulations 1996*, the Audit & Risk Committee receives the reviewed Risk Management Policy, as presented in Attachment 7.2A, and recommends to Council that it adopts the reviewed Risk Management Policy.

Resolution

Moved: Mr Whiteaker Seconded: Cr Ward

0051 That, by Simple Majority in accordance with Regulations 16 and 17 of the *Local Government (Audit) Regulations 1996*, the Audit & Risk Committee receives the reviewed Risk Management Policy, as presented in Attachment 7.2A and as amended, and recommends to Council that it adopts the reviewed and amended Risk Management Policy.

CARRIED 3/0

Reason

The Committee suggested further changes to the Policy being:

1. The inclusion of 'point 10 – Operational Management' under Policy; and
2. A reduction in the Financial Impact for Major and Catastrophic Ratings to $500,000.

These changes would be incorporated into the document for presentation to Council.

7.3 Risk Management Framework Review

Governance & Compliance	
Date:	7 October 2019
Location:	Not applicable
Responsible Officer:	Rebecca McCall, Chief Executive Officer
Author:	As above; Vanessa Green, Executive & Governance Officer
Legislation:	*Local Government Act 1995; Local Government (Audit) Regulations 1996*
Sharepoint Reference:	Compliance/Risk Management/Planning/Risk Management Framework
Disclosure of Interest:	Nil
Attachments:	Attachment 7.3A – Risk Management Framework

Purpose of Report

☐ Executive Decision ■ Legislative Requirement

Summary

This Item presents the Risk Management Framework for consideration and, if satisfactory, recommendation to Council for adoption.

Background

The Shire of Dowerin's Risk Management Policy and Framework sets out the Shire's approach to the identification, assessment, management, reporting and monitoring of risks. All components of the Risk Management Framework are based on AS/NZS ISO 31000:2018 Risk Management - Guidelines.

It is essential that all areas of the Shire adopt these procedures to ensure:

1. Strong corporate governance;
2. Compliance with relevant legislation, regulations and internal policies;
3. Integrated Planning and Reporting requirements are met; and
4. Uncertainty and its effects on objectives is understood.

The Risk Management Framework aims to balance a documented, structured and systematic process with the current size and complexity of the Shire along with existing time, resource and workload pressures.

Appropriate governance of risk management within the Shire provides:

1. Transparency of decision making;
2. Clear identification of the roles and responsibilities of the risk management functions; and
3. An effective Governance Structure to support the risk framework.

The Risk Management Framework is to be reviewed for appropriateness and effectiveness at least every two years, hence a review has been undertaken and the reviewed Risk Management Framework is included as an Attachment.

Comment

The Shire has adopted a "Three Lines of Defence" model for the management of risk. This model ensures roles, responsibilities and accountabilities for decision making are structured to demonstrate effective governance and assurance. By operating within the approved risk appetite and framework, the Council, management and community will have assurance that risks are managed effectively to support the delivery of the Strategic, Corporate and Operational Plans.

All work areas of the Shire are required to assess and manage the risk profiles on an ongoing basis. Each Manager, in conjunction with the CEO, are accountable for ensuring that risk profiles are:

1. Reflective of the material risk landscape of the Shire;
2. Reviewed on at least a six-monthly basis, unless there has been a material restructure or change in the risk and control environment; and
3. Maintained in the standard format.

This process is supported using key data inputs, workshops and ongoing business engagement.

The risk management process is standardised across all areas of the Shire. It is essential to monitor and review the management of risks as changing circumstances may result in some risks increasing or decreasing in significance. By regularly reviewing the effectiveness and efficiency of controls and the appropriateness of treatment / action options selected, it can be determined if the organisation's resources are being put to the best use possible. During the quarterly reporting process, management are required to review any risks within their area and follow up on controls and treatments / action that are mitigating those risks.

As mentioned in Item 7.2, as the matter of risk management is a major component of the CEO's review of certain systems and procedures required under Regulation 17 of the *Local Government (Audit) Regulations 1996*, and the role (in part) of the Audit & Risk Committee in accordance with Regulation 16 of the *Local Government (Audit) Regulations 1996*, is to review the report given to it by the CEO under Regulation 17, and to report to the Council the results of that review, as well as monitoring and advising the CEO when carrying out functions in relation to the Regulation 17 review, the Risk Management Policy (refer Item 7.2) and Risk Management Framework are presented to the Audit & Risk Committee for consideration.

Consultation

Rebecca McCall, Chief Executive Officer

Policy Implications

Council's Risk Management Policy is applicable.

Strategic Implications

Strategic Community Plan

Community Priority:	Our Leaders
Objective:	A thriving and progressive rural community enabled by innovation in leadership, a focus on continuous improvement and adaptability to evolving community needs
Outcome:	2 & 3
Reference:	L3, L4 & L5

Asset Management Plan

Nil

Long Term Financial Plan

Nil

Statutory Implications

The *Local Government Act 1995* and Regulation 17 of the *Local Government (Audit) Regulations* is applicable.

Risk Implications

The Shire of Dowerin has a Risk Management Governance Framework which includes a policy and procedure. The framework provides tools to monitor the Shire's risk profile on a quarterly basis. With the implementation of regular monitoring and review risk implications are considered low.

Financial Implications

Nil

Voting Requirements

■ Simple Majority ☐ Absolute Majority

Officer's Recommendation

That, by Simple Majority in accordance with Regulations 16 and 17 of the *Local Government (Audit) Regulations 1996*, the Audit & Risk Committee receives the Risk Management Framework, as presented in Attachment 7.3A, and recommends to Council that it adopts the Risk Management Framework.

Meeting Comment

The CEO advised the Committee that the organisation had completed and documented at least 75% of its Safe Work Method Statements as part of the First Line of Defence.

Resolution

Moved: Mr Whiteaker Seconded: Cr Ward

0052 That, by Simple Majority in accordance with Regulations 16 and 17 of the *Local Government (Audit) Regulations 1996*, the Audit & Risk Committee:

1. receives the Risk Management Framework, as presented in Attachment 7.3A and as amended;
2. acknowledges that implementation of the Risk Management Framework will occur over a period of time, with the progress of implementation and the achievement of milestones to be reviewed and reported quarterly to the Audit & Risk Committee and Council; and
3. recommends to Council that it adopts the amended Risk Management Framework.

CARRIED 3/0

Reason

The Committee suggested further changes to the Framework, which would be incorporated into the document for presentation to Council. Additionally, the Committee wished to acknowledge that implementation of the Framework would be ongoing with regular updates on the progress of the implementation being provided to the Committee and Council.

7.4 Risk Dashboard Quarterly Report – October 2019

Governance & Compliance	
Date:	16 October 2019
Location:	Not Applicable
Responsible Officer:	Rebecca McCall, CEO
Author:	As Above
Legislation:	*Local Government Act 1995*
Sharepoint Reference:	Compliance/Risk Management/Reporting
Disclosure of Interest:	Nil
Attachments:	Attachment 7.4A - Risk Dashboard Quarterly Report – October 2019

Purpose of Report

■ Executive Decision ☐ Legislative Requirement

Summary

This Item presents the Risk Dashboard Quarterly Review to the Audit & Risk Committee for consideration and, if satisfactory, recommendation to Council for adoption.

Background

The Shire of Dowerin's Risk Management Policy in conjunction with the Risk Management Framework sets out the Shire's approach to the identification, assessment, management and monitoring of risks.

Appropriate governance of risk management within the Shire provides:

1. Transparency of decision making;
2. Clear identification of the roles and responsibilities of the risk management functions; and
3. An effective governance structure to support the Risk Management Framework.

The Audit & Risk Committee has a role to play and its responsibilities include:

1. Regular review of the appropriate and effectiveness of the Risk Management Framework;
2. Support Council to provide effective corporate governance;
3. Oversight of all matters that relate to the conduct of external audits; and
4. Must be independent, objective and autonomous in deliberations.

It is essential to monitor and review the management of risks as changing circumstances may result in some risks increasing or decreasing in significance. By regularly reviewing the effectiveness and efficiency of controls and appropriateness of treatment/action options selected, it can be determined if the organisation's resources are being put to the best use possible. During the quarterly reporting process, management are required to review any risks within their area and follow up controls and treatments/actions that are mitigating those risks.

Comment

The reviewed Risk Dashboard is included as an Attachment for the Audit & Risk Committee's perusal and comment.

Consultation

Michael Sparks, Senior Risk Consultant - Risk and Governance Services, LGIS

Rebecca McCall, Chief Executive Officer

Cherie Delmage, Manager Corporate & Community Services

Vanessa Green, Executive & Governance Officer

Policy Implications

The Risk Management Policy is applicable.

Strategic Implications

Strategic Community Plan

Community Priority:	Our Leaders
Objective:	A thriving and progressive rural community enabled by innovation in leadership, a focus on continuous improvement and adaptability to evolving community needs
Outcome:	3
Reference:	L5

Asset Management Plan

Identified key controls and actions associated with asset management are factored into the Asset Management Plan.

Long Term Financial Plan

Identified key controls and actions associated with financial management are factored into the Long-Term Financial Plan.

Statutory Implications

The *Local Government Act 1995* and Regulation 17 of the *Local Government (Audit) Regulations* is applicable.

Risk Implications

The Shire of Dowerin has adopted a 'Three Lines of Defence' model for the management of risk. This model ensures roles, responsibilities and accountabilities for decision making are structured to demonstrate effective governance and assurance. By operating within the approved risk appetite and framework, Council, Management and the community will have assurance that risks are managed effectively to support the delivery of the Strategic, Corporate and Operational Plans.

Financial Implications

Many of the actions required to manage the risks identified will require resourcing and are being progressed within the current budget allocations.

Meeting Comment

The Committee discussed the Dashboard and its implications in detail, with the main points of the discussion as follows:

CEO Comment – General

The CEO and Management Team aims for continuous improvement with the aim to achieve best practice. It is acknowledged that due to restricted resources it will take time to implement identified actions to achieve the desired outcome.

Dashboard

Main Discussion Points

- There is a preference to adopt a pragmatic approach towards managing risk and ensuring the Risk Dashboard and Profiling (Risk Register) is a workable document for the organisation.

Risk Theme – Asset Management Practices

Main Discussion Points

- Do identified actions adequately treat the listed not rated and inadequate key controls?

CEO Comment

The CEO acknowledged that the listed actions were unclear. The actions will be reviewed by the Management Team as a priority and re-presented to the Audit & Risk Committee and Council.

Risk Theme – Business & Community Disruption

Main Discussion Points

- There is not the need for the organisation to have a Business Continuity Framework in place, a straightforward Business Continuity Plan will meet the needs of the Shire of Dowerin.

CEO Comment

The Business Continuity Plan is in draft. The document is complex and requires refinement prior to presenting to the Audit & Risk Committee.

Risk Theme – Failure to Fulfil Compliance Requirements

Main Discussion Points

- Key Control Governance Management Framework was not rated.
- Rather than identify the overarching Key Control Governance Management Framework, list the main individual controls that make up the Framework.

CEO Comment

It is planned to document an overarching Governance Management Framework to integrate the individual key controls. The individual key controls are in place and adequate, however the Framework aligning the controls is yet to be developed.

Risk Theme – Errors, Omissions & Delays

Main Discussion Points

- There are no key controls addressing the risk context regarding building, development, health and environment.

CEO Comment

The Management Team will review the risk context and take into consideration existing key controls and treatment actions.

Risk Theme – IT & Communication System & Infrastructure

Main Discussion Points

- There is a need to focus on this risk theme to achieve an adequate rating.

CEO Comment

Treatment actions will be included in the priority action list with the aim to achieve an adequate rating.

Risk Theme – Misconduct

Main Discussion Points

- The Committee raised specific concerns in relation to the Misconduct Risk and the rating of key controls as being inadequate, particularly in the context of past occurrences of misconduct within the organization. Additionally, the Committee queried the overall risk rating as being low, particularly if the controls were assessed as inadequate.
- The Committee requested that Management review this risk category as a priority, listing the key controls in place to manage the misconduct risk and report back to the next Audit Committee Meeting.

CEO Comment

The CEO acknowledged that the rating was not reflective of the reality around controls in place to mitigate misconduct, as the rating merely reflected the adequacy of the controls listed. The CEO is confident the organisation is not at risk, with examples of existing controls in place including Regulation 17 Review, Delegations, Segregation of Duties, Primary and Annual Returns, and Declarations.

It is acknowledged that there is a lack of control documentation and internal controls are not centralised. However, continuous improvement is the focus, and it is the aim of the CEO to develop overarching frameworks to integrate existing key controls. As part of the development of the framework current controls will be reviewed, documented and centralised.

Frameworks include:

1. Governance Management;
2. Financial Management;
3. Human Resource Management; and
4. IT & Communications.

Risk Theme – Supplier/Contract Management

Main Discussion Points

- Consideration to review key controls to add Procurement Policy.

CEO Comment

The Management Team will review the existing key controls and actions.

Profiling Template – Control Assurance

Main Discussion Points

- This component of the template is a good management tool, however there is not a need to include it in the reports presented to the Audit & Risk Committee and Council in the future.

Indicators

Main Discussion Points

- Are identified indicators achievable, relevant, tracked, data recorded, measurable and do they add value to the organisation?

CEO Comment

The Management Team will review the indicators across the risk themes to ensure the indicators are achievable, relevant, data recorded, measurable and add value to the organisation.

Voting Requirements	
■ Simple Majority	☐ Absolute Majority

Officer's Recommendation

That, by Simple Majority in accordance with Regulations 16 and 17 of the *Local Government (Audit) Regulations 1996*, the Audit & Risk Committee receives the quarterly Risk Dashboard Quarterly Report – October 2019, as presented in Attachment 7.4A, on progress of actions to identify risks and track treatments to manage risks at the Shire of Dowerin, and recommends to Council that it adopts the quarterly Risk Dashboard Quarterly Report – October 2019.

Resolution

Moved: Cr Ward Seconded: Cr Hudson

0053 That, by Simple Majority in accordance with Regulations 16 and 17 of the *Local Government (Audit) Regulations 1996*, the Audit & Risk Committee:

1. Receives the quarterly Risk Dashboard Quarterly Report – October 2019, as presented and amended in Attachment 7.4A;
2. Notes the progress of staff actions to identify risks, track treatments and manage risks within identified outcomes; and
3. Recommends to Council that it receives the quarterly Risk Dashboard Quarterly Report – October 2019.

CARRIED 3/0

Reason

In discussing the Dashboard, the Committee suggested a number of amendments which would be incorporated into the document for presentation to Council. In particular, the Committee discussed the current controls in place to manage particular risks to enable a more accurate perspective on the current situation to be documented.

7.5 2019 Financial Management Review

Governance & Compliance	
Date:	7 October 2019
Location:	Not applicable
Responsible Officer:	Rebecca McCall, Chief Executive Officer
Author:	As above; Vanessa Green, Executive & Governance Officer
Legislation:	*Local Government Act 1995; Local Government (Audit) Regulations 1996*
Sharepoint Reference:	Organisation/Financial Management/Reporting
Disclosure of Interest:	Nil
Attachments:	Attachment 7.5A – Financial Management Review Report

Purpose of Report

☐ Executive Decision ■ Legislative Requirement

Summary

This Item presents the 2019 Financial Management (FM) Review for consideration and, if satisfactory, recommendation to Council for adoption.

Background

The CEO is responsible for implementing policies, procedures and controls which are designed to ensure the effective and efficient management of the Shire's resources. In accordance with Regulation 5(2)(c) of the *Local Government (Financial Management) Regulations 1996* the CEO is to undertake reviews of the appropriateness and effectiveness of the financial management systems and procedures. At least once in every three financial years the CEO is to report the results of those reviews to Council.

The last FM Review was conducted in 2016 by Mr Ron Back.

The CEO sought quotes from 3 external consultants to undertake the FM Review, with the quote from Mr Gary Martin considered the best value for money and therefore Mr Martin was appointed to undertake the FM Review.

The FM Review entailed an examination of various financial systems and procedures including (but not limited to):

1. Bank Reconciliations and Petty Cash;
2. Trust Funds;
3. Receipts and Receivables;
4. Rates;
5. Fees and Charges;
6. Purchases, Payments and Payables (Including Purchase Orders);
7. Salaries and Wages;
8. Credit Card Procedures;
9. Fixed Assets (Including Acquisition and Disposal of Property);
10. Cost and Administration Overhead Allocations;
11. Minutes and Meetings;

12. Budget;
13. Financial Reports;
14. Registers (Including Annual and Primary Returns);
15. Delegations;
16. Audit & Risk Committee;
17. Insurance;
18. Storage of Documents/Record Keeping; and
19. Integrated Planning.

The FM Review did not entail an examination of compliance with all provisions of the *Local Government Act 1995* or all Regulations (apart from the *Local Government (Financial Management) Regulations 1996*), which did not impact on the key functions mentioned above. Emphasis was placed on internal controls and management oversight of the various functions mentioned as well as the matters raised in the recent external interim and annual audits.

The FM Review was conducted during the week commencing Monday 2 September 2019 onsite at the Shire Administration Office. The FM Review Report completed by Mr Martin is provided as an Attachment.

Comment

The two Key Report Findings are detailed below:

1. *"The systems and processes associated with the Shire's financial management function are generally efficient and effective and suitable for a Shire such as Dowerin. The various activities required to meet its obligations are taking place and are subject to continuous improvement. The CEO and the recently appointed employees are focussed on process improvement and best practice.*
2. *The key finding is a lack of documented internal controls. The "controls" in place are generally a result of existing practice and not a precise and purpose driven direction from the CEO that specifies what control measures are required. For example, most reconciliations are subject to a preparing Officer (name or a signature) and a checking Officer (name or signature) but without any formal written direction specifying what is required and how."*

The identification and improvement in management processes since 2016 has required significant time and effort to develop and implement, even though this has taken place in an environment which has not provided the clear air to achieve all that is required. It is recognised that ideally, a period of some weeks or months dedicated solely to process improvement development and implementation is required, however this is both unachievable and unrealistic. Therefore the "completion" of reviewing and implementing a robust governance/internal control/compliance/risk regime will be on-going for the immediate future.

The FM Review noted there has been significant improvement across the various management functions, and that this is continuing on an almost daily basis. It is relevant that these changes are taking place in conjunction with the induction and settling in of at least four new employees, who all have their own normal duties and backlog to deal with.

The FM Review identified the Council has a significant role and responsibility to play in recognising the situation that exists, as well as the pitfalls and the efforts being made to achieve a solid best practice environment. While a strong management environment is the expectation it is unrealistic in the current circumstances, particularly considering the recent history of the Shire's management.

Funding, human resources, time and competing demands (particularly community expectations and normal day to day operations) all compete with the work and effort required to achieve the high standard management regime expected and which is also required.

In summary, the 2019 FM Review found that the existing systems and procedures are adequate and working, however they require tightening to improve control and be fully effective.

It is the intent of management to develop an action list, to include priorities, to address the recommendations identified in Mr Martin's report.

Staff may provide further comment on the FM Review at the meeting.

Consultation

Mr Gary Martin

Senior Management Group

Policy Implications

It is noted that Policies are being reviewed as part of the continual improvements. These reviewed policies will be considered separately by Council at the completion of the review process. Comments made in the FM Review relating to specific policies will be taken on-board as part of the review process.

Strategic Implications

Strategic Community Plan

Community Priority: Our Leaders

Objective: A thriving and progressive rural community enabled by innovation in leadership, a focus on continuous improvement and adaptability to evolving community needs

Outcome: 3

Reference: L5

Asset Management Plan

Nil

Long Term Financial Plan

Nil

Statutory Implications

Regulation 5(2) of the *Local Government (Financial Management) Regulations 1996* states:

"(2) The CEO is to –

a) *ensure that the resources of the local government are effectively and efficiently managed; and*
b) *(b) assist the council to undertake reviews of fees and charges regularly (and not less than once in every financial year); and*
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 3 financial years) and report to the local government the results of those reviews."*

The FM Review has been undertaken in accordance with this Regulation.

Risk Implications

The risks associated with matters in this report are:

1. Misconduct;
2. External Theft and Fraud;
3. Errors, Omissions and Delays;
4. Failure to fulfil Statutory, Regulatory or Compliance Requirements; and
5. Ineffective Employment Practices.

The impact of the risk is Financial, Non-Compliance and Reputational. The consequences of these risks are considered to be extreme. Mitigation includes contracting an independent consultant to undertake the FM Review.

Financial Implications

The 2019/20 Budget contains an allocation for the costs associated with undertaking the FM Review, provided at GL 20552 GOV Other Consultants – Regulation and Compliance.

Meeting Comment

The CEO advised that a prioritised action list on the outcomes identified in the Review would be presented to the Audit & Risk Committee at its December 2019 meeting.

Voting Requirements

■ Simple Majority ☐ Absolute Majority

Officer's Recommendation

That, by Simply Majority in accordance with Regulation 5(2) of the *Local Government (Financial Management) Regulations 1996*, the Audit & Risk Committee receives the 2019 Financial Management Review, as presented in Attachment 7.5A, and recommends to Council that it endorses the 2019 Financial Management Review.

Resolution

Moved: Mr Whiteaker Seconded: Cr Ward

0054 That, by Simply Majority in accordance with Regulation 5(2) of the *Local Government (Financial Management) Regulations 1996*, the Audit & Risk Committee receives the 2019 Financial Management Review, as presented in Attachment 7.5A, noting that a prioritised action list detailing progress and achieved milestones will be reported to future Audit & Risk Committee meetings, and recommends to Council that it endorses the 2019 Financial Management Review.

CARRIED 3/0

Reason

In accordance with the CEO's comment at the meeting, the Committee believed it was appropriate for updates on the progress of implementing the corrective actions recommended in the Review to be reported to the Committee.

7.6 CEO's Review of Risk Management, Internal Control and Legislative Compliance and Risk Management Governance Framework

Governance & Compliance

Date:	7 October 2019
Location:	Not applicable
Responsible Officer:	Rebecca McCall, Chief Executive Officer
Author:	Vanessa Green, Executive & Governance Officer
Legislation:	*Local Government Act 1995; Local Government (Audit) Regulations 1996*
Sharepoint Reference:	Organisation/Compliance/Risk Management/Reporting
Disclosure of Interest:	Nil
Attachments:	Attachment 7.6A – Regulation 17 Review Report

Purpose of Report

☐ Executive Decision ■ Legislative Requirement

Summary

This Item presents the external consultant's report undertaken as supporting documentation to the CEO's Report required under Regulation 17 of the *Local Government (Audit) Regulations 1996*, for consideration and, if satisfactory, recommendation to Council for noting.

Background

Regulation 17 of the *Local Government (Audit) Regulations 1996* requires the CEO at least once every 2 calendar years to review the appropriateness and effectiveness of the local government's systems and procedures in relation to risk management, internal control and legislative compliance. The CEO is to report to the Audit & Risk Committee the results of that review.

To assist in developing the report, the CEO sought quotes from 3 external consultants to undertake an initial review of the Shire's systems and procedures, with the quote from Mr Gary Martin considered the best value for money. Therefore, Mr Martin was appointed to undertake the review.

The review was conducted onsite at the Shire Administration Office during the week commencing Monday 2 September 2019. Mr Martin's report is provided as an Attachment.

Comment

The appointment of an external consultant to conduct such a review enables an independent viewpoint on the status of the Shire's systems and procedures and also enables Council to have an added level of confidence in the outcomes.

The previous Regulation 17 review was conducted in 2017 and includes reference to the lack of internal controls which had existed at the Shire previously.

The 2019 review has identified that the Shire has made significant positive improvements relating to risk management since 2017 despite the changeover of CEOs, and these changes are continuing.

However, the current CEO reported to the Audit & Risk Committee in March 2019 that with the loss of key personnel during 2018, quarterly monitoring and reporting of the risk profiling tool did not take place. Also, that upon the commencement of the current CEO in late August 2018, there was an immediate need to concentrate on operational priorities. Although quarterly monitoring or reporting did not occur, there has been an emphasis on reviewing identified policies and procedures to ensure the necessary controls are in place.

The CEO acknowledges the delay in further implementing the risk management process and is now actively pursuing that objective. This includes developing an internal Governance Calendar and implementing the Risk Dashboard (refer Item 7.4). The Dashboard will be reviewed quarterly in February, May, August and November of each calendar year and reported to the Audit & Risk Committee every six months (suggested as June and December).

A Risk Management standing item is also to be included for review in Senior Management action lists for discussion at Senior Staff meetings.

It is the intent of management to develop an action list, to include priorities to address the recommendations identified in Mr Martin's review report, which will be presented to the Audit & Risk Committee and Council in December 2019 with the full report on the CEO's Review of Risk Management, Internal Control and Legislative Compliance and Risk Management Governance Framework.

It is then anticipated that the report on the CEO's Review of Risk Management, Internal Control and Legislative Compliance and Risk Management Governance Framework will be reviewed and presented to the Audit & Risk Committee and Council on an annual basis (in December each calendar year).

Consultation

Mr Gary Martin

Senior Management Group

Policy Implications

Council's Risk Management Policy applies.

Strategic Implications

Strategic Community Plan

Community Priority:	Our Leaders
Objective:	A thriving and progressive rural community enabled by innovation in leadership, a focus on continuous improvement and adaptability to evolving community needs
Outcome:	3
Reference:	L5

Asset Management Plan

Nil

Long Term Financial Plan

Nil

Statutory Implications

Regulation 17 of the *Local Government (Audit) Regulations 1996* states:

"17. CEO to review certain systems and procedures

(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 & Risk Committee the results of that review."

Risk Implications

The Shire of Dowerin has a Risk Management Governance Framework which includes a policy and procedure. The framework provides tools to monitor the Shire's risk profile on a quarterly basis. With the implementation of regular monitoring and review risk implications are considered low.

Financial Implications

The 2019/20 Budget contains an allocation for the costs associated with undertaking the initial Regulation 17 Review, provided at GL 20552 GOV Other Consultants – Regulation and Compliance.

Voting Requirements

■ Simple Majority ☐ Absolute Majority

Officer's Recommendation/Resolution

Moved: Mr Whiteaker Seconded: Cr Ward

0055 That, by Simple Majority in accordance with Regulations 16 and 17 of the *Local Government (Audit) Regulations 1996*, the Audit & Risk Committee:

1. receives the Audit Regulation 17 Review report from Mr Gary Martin, as presented in Attachment 7.6A;
2. notes the Audit Regulation 17 Review report from Mr Gary Martin is a supporting document to the CEO's Review of Risk Management, Internal Control and Legislative Compliance and Risk Management Governance Framework which is anticipated to be presented to the Audit & Risk Committee in December 2019; and
3. recommends to Council that it receives the Audit Regulation 17 Review report from Mr Gary Martin.

CARRIED 3/0

7.7 Interim Audit Results for the Year Ending 30 June 2019

Governance & Compliance	
Date:	7 October 2019
Location:	Not Applicable
Responsible Officer:	Rebecca McCall, Chief Executive Officer
Author:	Vanessa Green, Executive & Governance Officer
Legislation:	*Local Government Act 1995; Local Government (Audit) Regulations 1996*
Sharepoint Reference:	Organisation/Financial Management/External Audits/2018-2019 OAG Audit
Disclosure of Interest:	Nil
Attachments:	Attachment 7.7A – Correspondence & Report

Purpose of Report

☐ Executive Decision ■ Legislative Requirement

Summary

This Item presents the results and findings of the Interim Audit for the year ending 30 June 2019, and the actions taken to rectify the deficiencies identified.

Background

The Office of the Auditor General (OAG) conducted its Interim Audit for the Shire of Dowerin on 20-21 May 2019. The Report on the results of the Audit has been received and is included as an Attachment for the Audit & Risk Committee's Information.

The Report was presented to Council's July 2019 meeting for consideration, and while it is not necessary for Council or the Audit & Risk Committee to consider the results of the Interim Audit (only the Annual Audit) the Report is being presented to the Audit & Risk Committee's October meeting (being its first meeting since the Report was received) in the interests of transparency and good governance.

Comment

The Report identifies 6 areas which are considered deficient, being:

1. Purchasing and Payments Procedures;
2. Payroll Exceptions;
3. Reconciliation of Investment Balances and Fixed Assets;
4. Review of Month-End Reconciliation;
5. Receivables Master File; and
6. Invoice and Credit Note Request Forms.

The rating given to these deficiencies is Moderate, meaning the findings are of sufficient concern to warrant action being taken to rectify the deficiency as soon as practicable.

The Report details the Finding against each deficiency, indicates the Implications the deficiency may have on the organisation, and makes Recommendations on how the organisation can best

rectify the deficiency. Management were made aware of the identified deficiencies at the conclusion of the Audit and were afforded the opportunity to provide comment and context to the deficiency.

While the matters are fully detailed in the Report, they have been summarised in the table below:

Finding	Recommendation	Management Comment
Purchasing and Payments Procedures	1. The Purchase Order Request form used should be consistent with the policy. 2. Purchase orders should be raised for all transactions prior to the expenditure being incurred by the Shire and be authorised by an officer with delegated authority. 3. All creditor EFT batch listings should be signed by the required two authorities as evidence of independent review and approval, and should be retained for accountability purposes. 4. Supporting documents for petty cash expenditure should be retained for accountability.	Recruitment and restructures within the finance and administration team will result in improved practices and internal controls. Policies are being reviewed. Majority of deficiencies were a result of staff shortages rather than intentional inappropriate action by staff.
Payroll Exceptions	1. The payroll bank EFT report should be signed off by the two independent reviewers as evidence of review and authorisation. 2. Termination calculations should be prepared and signed off by the independent reviewer for all terminated employees. We recommend the termination calculations for employee number 158 be reviewed to ensure they are correctly calculated and paid including leave entitlements. 3. All pay rates should be supported by a signed contract or formal letter advising of the correct pay rate and be reviewed by another officer before processing. We recommend the pay rate of employee number 279 be rectified retrospectively. 4. All allowances and deductions should be supported by an approved agreement or deduction form. 5. All leaves taken should be supported by an appropriately authorised leave form.	All recommendations have been taken on board with new processes and procedures being implemented. Policies are being reviewed.
Reconciliation of Investment Balances and Fixed Assets	1. Reconciliations of investments should be performed and independently reviewed on a monthly basis. 2. The fixed assets register reconciliations to the general ledger should be performed for all fixed assets on a regular basis to	The recommendations of the Auditors will be adopted. Implementation of both a monthly reconciliation of investments & fixed assets with an independent review will commence.

	enable effective monitoring and accurate reporting to the Council.	
Review of Month-End Reconciliation	Reconciliations prepared by the Finance Manager should be reviewed by a more senior employee who is suitably independent to ensure an objective review is undertaken.	The implementation of the new organisation structure and recent recruitment will resolve the issue of staff shortages. Consistent practice of separation of duties (review, independent review and authorisation) can now take place which will be aided by tighter internal controls.
Receivables Master File	An independent review of all changes made to receivables master files should be conducted periodically. This review should involve: 1. a download of all changes (new/old/modify) made to the master file 2. a representative sample then be tested and traced to originating/ supporting documentation to ensure validity and timeliness.	Management will conduct a review of current procedures and implement the appropriate changes to ensure all changes are documented, verified & signed off by an independent reviewer. It is anticipated this exercise will form part of a monthly check of all audit trails relating to creditors, debtors & payroll.
Invoice and Credit Note Request Forms	1. The Shire should use the Debtors Invoice Request form for all sundry debtors raised with the form being independently reviewed. 2. A Credit Note Request form should be developed and implemented to record the independent review and approval of credit notes raised.	As part of the review process being undertaken following the Audit, Management will include the recommendation and ensure it is implemented.

Staff may provide additional comment on the Findings at the meeting.

Consultation

Council Meeting 23 July 2019

Senior Management

Auditors / OAG

Policy Implications

As mentioned in the Management Comment, the necessary policies will be reviewed and amended in accordance with the OAG recommendations.

Strategic Implications

Strategic Community Plan

Community Priority: Our Leaders

Objective: A thriving and progressive rural community enabled by innovation in leadership, a focus on continuous improvement and adaptability to evolving community needs

Outcome: 3

Reference: L5

Asset Management Plan

Nil

Long Term Financial Plan

Nil

Statutory Implications

Section 10(4) of the *Local Government (Audit) Regulations 1996* states:

"*Where it is considered by the auditor to be appropriate to do so, the auditor is to prepare a management report to accompany the auditor's report and to forward a copy of the management report to the persons specified in section 7.9(1) with the auditor's report.*"

Council's auditors provided a management report in conjunction with its audit report for the year ended 30 June 2018.

Risk Implications

The Report identifies the Implications (risk) of each Finding. The implementation of the Recommendations will reduce and/or avoid the risk therefore any ongoing risk implications to the Audit & Risk Committee (and Council) are considered to be low.

Financial Implications

There would be minimal, if any, financial implications by implementing the OAG Recommendations.

Voting Requirements

■ Simple Majority ☐ Absolute Majority

Officer's Recommendation/Resolution

Moved: Mr Whiteaker Seconded: Cr Hudson

0056 That the Audit & Risk Committee, by Simple Majority pursuant to Section 7.9(2) of the *Local Government Act 1995*, receives the results of the Interim Audit Report for the year ending 30 June 2019, as presented in Attachment 7.7A, and notes the Management's actions to rectify the deficiencies identified in the Report.

CARRIED 3/0

7.8 Review of Terms of Reference

Corporate & Community Services	
Date:	15 October 2019
Location:	Nil
Responsible Officer:	Rebecca McCall, Chief Executive Officer
Author:	Vanessa Green, Executive & Governance Officer
Legislation:	*Local Government Act 1995; Local Government (Financial Management) Regulations 1996; Local Government (Audit Regulations) 1996*
Sharepoint Reference:	Organisation/Governance/Controlled Documents/Council Committees Terms of Reference
Disclosure of Interest:	Nil
Attachments:	Attachment 7.8A – Terms of Reference Attachment 7.8B – Proposed Terms of Reference

Purpose of Report

■ Executive Decision ☐ Legislative Requirement

Summary

This Item brings a revised Terms of Reference (TOR) before the Audit & Risk Committee (the Committee) for consideration and, if satisfactory, recommendation to Council for adoption.

Background

In September 2017 the Department of Local Government, Sports & Cultural Industries (DLSGC) provided advice in Circular 16-2017 regarding proposed changes to the conduct of local government audits and financial management.

Following consultation with local government in line with the State Local Government Partnership Agreement, the proposed amendments to the *Local Government (Financial Management) Regulations 1996* and *Local Government (Audit Regulations) 1996* were revised and gazetted on Tuesday 26 June 2018.

One of the key changes affecting local governments was the appointment of the Office of the Auditor General to undertake all local government audits and the introduction of performance audits.

Another of the key changes was the strengthening of the role of Audit & Risk Committees to assist the CEO to carry out the reviews of audit systems. An Audit & Risk Committee's responsibilities have also been extended to 'monitor and advise' the CEO in reviews conducted into financial management systems and audit systems and procedures. Additionally, an Audit & Risk Committee will support the auditor as required and have functions to oversee the implementation of audit recommendations made by the auditor, which have been accepted by Council; and accepted recommendations arising from reviews of local government systems and procedures.

With these changes, and in line with the local government elections, it was necessary to review the Committee's TORs.

Comment

In conducting the review considerable amendments are proposed. For this reason, it is recommended to completely replace the existing TOR, rather than amend the current document. Both the existing and proposed TORs are included as Attachments.

The reviewed TOR expands on and clarifies the objectives, authority, membership, role, responsibilities and operation of the Committee and aligns with the new legislative requirements.

Of particular note is the appointment of the external member with a change in the term and enabling the option to attend meetings via teleconference or other communication methods. It is hoped this added flexibility can assist in the attendance of an external member to the Committee.

Consultation

WALGA

Senior Management Group

Policy Implications

Nil

Strategic Implications

Strategic Community Plan

Community Priority:	Our Leaders
Objective:	A thriving and progressive rural community enabled by innovation in leadership, a focus on continuous improvement and adaptability to evolving community needs
Outcome:	2 & 3
Reference:	L3, L4 & L5

Asset Management Plan

Nil

Long Term Financial Plan

Nil

Statutory Implications

Various sections and regulations in the *Local Government Act 1995; Local Government (Financial Management) Regulations 1996; Local Government (Audit Regulations) 1996* have been amended and are applicable to the appointment to, and operation of, an Audit & Risk Committee.

Risk Implications

While it is not a legislative requirement for an Audit & Risk Committee to have a TOR, it is common practice and ensures committee members are aware of their role and responsibilities, and mitigates the risk of committees acting outside their responsibility.

Financial Implications

Nil

Voting Requirements

■ Simple Majority ☐ Absolute Majority

Officer's Recommendation

That, by Simple Majority pursuant to Section 7.1A of the *Local Government Act 1995*, the Audit & Risk Committee receives the revised Terms of Reference, as presented in Attachment 7.8B, and recommends to Council that the Audit & Risk Committee Terms of Reference be adopted.

Resolution

Moved: Cr Ward Seconded: Cr Hudson

0057 That, by Simple Majority pursuant to Section 7.1A of the *Local Government Act 1995*, the Audit & Risk Committee receives the revised Terms of Reference, as presented in Attachment 7.8B and as amended, and recommends to Council that the Audit & Risk Committee Terms of Reference be adopted.

CARRIED 3/0

Reason

The Committee suggested the name of the Committee should be the Audit & Risk Committee to accurately describe the responsibilities of the Committee. Additionally, the Committee suggested a number of amendments which would be incorporated into the document for presentation to Council.

8.	Questions from Members

Nil

9.	Urgent Business Approved by the Person Presiding or by Decision

Nil

10.	Date of Next Meeting

December 2019 on a date and at a time yet to be determined. It was noted that the timing of the meeting will be dependant on the receipt of the audited annual financials from the Office of the Auditor General.

11.	Closure

There being no further business the Chair thanked those in attendance and declared the meeting closed at 12.37pm.

Local Emergency Management Committee Dowerin

Minutes

Tuesday, 6 August 2019

Held at the St Johns Ambulance Dowerin Sub-Centre

ABBREVIATIONS

Crisis Care	CC
Department of Communities – Emergency Services Unit	DoC
Department of Fire & Emergency Services	DFES
Strategy & Emergency Management Command	SEMC
Dowerin Bush Fire Brigade	DBFB
Dowerin Community Resource Centre	DCRC
Dowerin District High School	DDHS
Dowerin Events Management	DEM
Dowerin St John Ambulance	DSJA
St John Ambulance	SJA
Shire of Dowerin	SoD
WA Police - Dowerin	WAP

1. ATTENDANCE AND APOLOGIES

In Attendance:

Darrel Hudson	SoD - Shire President (Chair)
Rebecca McCall	SoD - CEO
Phil Pickering	DBFB – Deputy Chief Bush Fire Control Officer
Troy Granville	DFES Northam - Acting Area Officer Upper Wheatbelt
Jo Spadaccini	DoC - DESO
Norma Metcalf	CC – Coordinator
Ross Bartley	WAP – Office in Charge
Lynley Arnott	DCRC – Coordinator
Maxi McDonald	SJA – Community Paramedic
Kahli Rose	DEM – Events Coordinator
Tiffany Davey	DEM – Catering Coordinator

Apologies:

Denise Sutherland	DSJA – Chair
Yvette Grigg	DFES – District Emergency Management Advisor
Brad Slater	DFES – Acting District Emergency Management Advisor
Lisa Begley	Dowerin Home Care
Nadine McMorran	DEM - Chairperson
Barb Garner	DDHS – Principal
Jen Millsteed	DEM – Assistant Event Coordinator
Jarrod Savage	WAP - Officer
Glen Brigg	SoD – Works and Assets Manager
Vanessa Green	SoD – Executive & Governance Officer
Paul Millsteed	DBFB – Chief Bush Fire Control Officer
Daniel Hendriksen	DFES Northam – Area Officer Upper Wheatbelt

2. OPENING

The Chair, Darrel Hudson, welcomed those in attendance and declared the meeting open at 11.00am.

3. CONFIRMATION OF MINUTES

Moved: Ross Bartley **Seconded**: Maxi McDonald

That the minutes of the Local Emergency Management Committee meeting held on 6 May 2019 be confirmed as a true and correct record of proceedings.

CARRIED

4. BUSINESS ARISING FROM PREVIOUS MINUTES

Nil

5. STANDING ITEMS

5.1 Agency Updates

Crisis Care	Nil
DoC	Roll-out of evacuation centre training for agencies across the Wheatbelt has commenced. If there is training scheduled within the area an invite will be sent to the local authority.
DEM	Preparation for 2019 Field Days in hand
DFES	Daniel Hendriksen now the permanent Area Officer for Upper Wheatbelt Troy Granville currently Acting Area Officer for a 3-week period
SEMC	Nil
DSJA	Training schedule on track Three new volunteers have commenced
DBFB	All vehicles upgraded to required specifications Annual grant approved
DDHS	Nil
DCRC	Tourism and wildflower season have commenced
SoD	Nil
WAP	Nil for our district

5.2 Emergency Contact List Update

The agency contact list was distributed and updates as necessary were noted.

6. GENERAL BUSINESS

6.1 Dowerin Field Days

With the Field Days only weeks away the following topics were raised:

- As of Monday, 12 August the recreation precinct will be declared as a construction site as labourers will commence installing marquees.
- Caravan overflow (behind the Dowerin SSA) will accommodate unpowered sites and users can utilise generators (generators to be turned off at 10pm).
- Security will be onsite commencing Monday, 26 August through to Friday 30 August. External gates will be locked, and security will be roving the site. Dowerin Police will liaise with the security agency.
- An enforcement team and multiple police units will be present on the filed days.
- Police and DFES will have displays.
- St John will be working from the St Johns Centre and two community paramedics will be on duty. Volunteer officers from Dowerin and Wyalkatchem will be assisting.
- The Shire of Dowerin to arrange temporary 'no parking' signs for the St Johns and Fire Brigade driveways.
- Dowerin Events highlighted that there is a probability of activists attending the event with the objective to protect against agricultural practices. DEM are affiliated with the Royal Agricultural Society who have assisted with the development of a plan to outline the course of action and strategies to mitigate risks. An induction relating to the plan will be carried out with all board members, staff and volunteers. DEM representatives advised that plan identifies that the priority will be the safety and protection of the activists and to mitigate the potential for conflict. DEM officials will not be engaging with the activists other than keeping them safe and encouraging them to leave.

6.2 State Risk Project

The State Emergency Management Committee (SEMC) initiated the State Risk Project which is designed to gain a comprehensive and consistent understanding of the risks faced at state, district and local levels. The local level phase of the project requires local government participation and support. The Shire of Dowerin is clustered with the Shires of Dalwallinu, Victoria Plains and Wongan-Ballidu.

A workshop for local government and emergency services representatives to assess identified hazards was scheduled for 10 April 2019, however the workshop did not occur.

The aim at a local level is to provide training, support and tools to assist local governments in undertaking the emergency risk process. For more information: https://semc.wa.gov.au/state-risk-project.

The CEO advised the dates are yet to be re-scheduled for the workshop. It is envisaged this will not occur until Yvette Griggs returns from long service leave.

6.3 Local Emergency Management Arrangements Review

The current LEMA was adopted in July 2014 and there is a requirement to review the arrangements. Much has changed in regard to best practices and regulations, therefore the review will be comprehensive.

DFES provided templates to populate the required modules. The Shire of Dowerin pre-populated much of the content in readiness for the Committee to discuss and identify actions, controls and systems.

A workshop, facilitated by Graeme Harwood, took place following the May 2019 meeting to commence the review.

A copy of the draft review was emailed to agency representatives on 6 August 2018. The CEO requested that comment is provided to the Shire of Dowerin by no later than Friday, 4 October 2019. Feedback will be considered and changes to the draft document will be emailed to agency representatives by Friday, 25 October 2019. Comment for final changes will not be accepted after Thursday, 31 October 2019.

The reviewed LEMA will be presented at the meeting scheduled for Monday, 4 November 2019 for adoption.

6.4 2019/2020 Exercise Schedule

Upon discussion it was noted that a multi-Council desktop exercise took place in Dowerin during 2018. The CEO will liaise with DFES to determine a suitable exercise for 2020. Further discussion will occur at the next meeting.

7. NEXT MEETING

Monday, 4 November 2019 commencing at 11.00am at the Dowerin St John Ambulance Building.

8. MEETING CLOSED

There being no further business the Chair thanked those in attendance and closed the meeting at 11.45am.

SHIRE OF DOWERIN
TIN DOG TERRITORY

Shire of Dowerin
List of Payments for October 2019

Chq/EFT	Date	Name	Description	Amount
EFT7180	11/10/2019	Avon Waste	Rubbish Collection - Recycling & Waste	$ 2,498.70
EFT7181	11/10/2019	Ampac Debt Recovery (WA) Pty Ltd	Rates - Debt Recovery - September 2019	$ 2,190.43
EFT7182	11/10/2019	Child Support Agency	Payroll deductions	$ 455.68
EFT7183	11/10/2019	Australian Sweeper Corporation Pty Ltd	Streetsweeper - D023 - New Drive Hub.	$ 435.05
EFT7184	11/10/2019	Crystal Printing Solutions Pty Ltd (Abbott & Co)	250 x Business Cards for Technical & Works Officer	$ 212.00
EFT7185	11/10/2019	Boekeman Machinery	Hilux D018 - Supply new Air Conditioner Switch	$ 132.25
EFT7186	11/10/2019	BOC Limited	Monthly Charge for Oxygen & Acetylene Cylinders 29/08/19 to 27/09/19	$ 41.63
EFT7187	11/10/2019	Belfield Music Pty Ltd	Supply PA System	$ 1,049.00
EFT7188	11/10/2019	Commercial Hotel Dowerin	Refreshments - Council supplies 2 x ctns Beer	$ 110.00
EFT7189	11/10/2019	Dowerin Despatch	DHC - Advertising September 2019	$ 145.50
EFT7190	11/10/2019	Dowerin Roadhouse	DHC - Meals on Wheels Services September 2019 - 21 Meals	$ 252.00
EFT7191	11/10/2019	Fuel Distributors Of WA Pty Ltd	Fuel - Supply & Deliver 14000 lts Diesel	$ 19,195.82
EFT7192	11/10/2019	Department Of Fire And Emergency Services	ESL 2019-20	$ 3,276.00
EFT7193	11/10/2019	Green, Vanessa	Reimbursement - V. Green - FOI Workshops, Travel, Meals	$ 665.84
EFT7194	11/10/2019	Hydrapower Pty Ltd	Supply Hydrapower Planer attachment to fit Cat 299D Skid Steer. As per quote. High Flow Kit	$ 54,059.50
EFT7195	11/10/2019	JK Williams & Co	Admin Office - Timber for partitions	$ 2,351.08
EFT7196	11/10/2019	Joelectrics	Football Oval - Replace lights on Light Towers	$ 11,407.13
EFT7197	11/10/2019	Jason Signmakers	Dowerin Koorda Rd - Supply 8 of 2400 x400 Delineators	$ 981.75
EFT7198	11/10/2019	Marketforce	Recruitment - Advertisement for Plant Operator/General Hand in Avon Valley Advocate	$ 310.27
EFT7199	11/10/2019	Market Creations	1 x Laptop as per Quote Q002122. Docking Station	$ 4,292.96
EFT7200	11/10/2019	Shire Of Northam	AROC Membership 2019-20	$ 5,500.00
EFT7201	11/10/2019	Nextra Merredin	Stationery - Updated Stamps for Invoicing & Received + Freight	$ 201.99
EFT7202	11/10/2019	Ixom Operations Pty Ltd	Pool - Chlorine Service Fee 01/09/19 to 30/09/19	$ 81.84
EFT7203	11/10/2019	Workwear Group Pty Ltd	Uniforms - K.Brigg 2019-20	$ 556.80
EFT7204	11/10/2019	Speciale Smash Repairs	Truck - D005 - Repairs to Drivers Door Pillar - Excess due on Insurance Claim	$ 300.00
EFT7205	11/10/2019	R B Motors Pty Ltd	D4 - Service	$ 767.96
EFT7206	11/10/2019	Rural Ranger Services	Ranger Services 10/09/19 to 26/09/19 - Large Dog Holding Crate for Office	$ 1,192.55
EFT7207	11/10/2019	Resonline Pty Ltd	SSA - Room Manager September 2019	$ 220.00
EFT7208	11/10/2019	Kristy Stephens	Emergency Tower - Electricity Usage 17/05/19 to 17/09/19	$ 469.70
EFT7209	11/10/2019	Goomalling Medical Surgery	Workers Comp Consult - S. Jones	$ 155.00
EFT7210	11/10/2019	Spraymaster Spray Shop	Supply & Deliver 1 x Weed Spraying Unit.	$ 323.00
EFT7211	11/10/2019	Toll Ipec Pty Ltd	Freight - Blades & Teeth for Loader/ Grader	$ 292.99
EFT7212	11/10/2019	Telly'S Auto Electrical & Air-Conditioning	Ford Ranger D002 - Supply new Receiver/ Dryer & Regas Air Con System	$ 467.89
EFT7213	11/10/2019	Wesfarmers Kleenheat Gas	Annual Gas facility fee	$ 1,566.03
EFT7214	11/10/2019	Westrac Equipment	Loader P006 - 8 x Cutting Edges, 9 x Teeth /Grader P010 - Connector & O Rings	$ 1,362.78
EFT7215	28/10/2019	Arrow Bronze	Niche Wall Plaque as per quote - Miller. Postage & Packing	$ 383.18
EFT7216	28/10/2019	Australian Tax Office	BAS - September 2019	$ 31,324.00
EFT7217	28/10/2019	Betta Roads Pty Ltd	Dowerin Koorda Rd - Soil Testing	$ 5,332.80
EFT7218	28/10/2019	Conplant	Roller D014 - Repairs to Roller + Transport Roller	$ 3,067.62
EFT7219	28/10/2019	CDA Air Conditioning & Refrigeration	DHC - Check Air Con Temp / Settings	$ 169.50
EFT7220	28/10/2019	Dowerin Engineering Works	Repairs to Light Pole	$ 1,734.12
EFT7221	28/10/2019	Landgate	Rural UV Interim Valuation Shared	$ 209.40
EFT7222	28/10/2019	Dowerin Tyre And Exhaust	Truck D009 - Replace 4 x Drive Tyres + Fitting, Swap Spare Tyre	$ 1,990.00
EFT7223	28/10/2019	Dowerin & Districts Farm Shed	Workshop - 1 x Auto Grease Gun, 1 x 20 lt Grease	$ 1,627.85
EFT7224	28/10/2019	Dowerin Community Club	Oktoberfest - Entertainment, Decorations and Catering	$ 3,500.00
EFT7225	28/10/2019	Gevers Goddard Jones Pty Ltd	Policies & Procedures for Home Care Support. Subscription for One Outlet. Renewal Period 01/11/19 to 31/10/20	$ 660.00
EFT7226	28/10/2019	RJ Hunt & GM Lambus	Freight on Profiler Attachment. Brendale QLD to Dowerin.	$ 1,200.00
EFT7227	28/10/2019	JK Williams & Co	Pool - Exterior Paint & Primer	$ 649.00
EFT7228	28/10/2019	Joelectrics	SSA - Supply & install Exhaust Fans to laundry,	$ 773.02
EFT7229	28/10/2019	Lloyds Earthmoving	10m Jarrah Woodchips & 10m White Sand plus delivery	$ 2,125.00
EFT7230	28/10/2019	LGIS Liability	Liability Insurance - 2nd Instalment 2019-20	$ 7,173.55
EFT7231	28/10/2019	Kenneth Myers	Dowerin Kalannie Rd - Hire Excavator for testing gravel for roadworks. 3.8 hrs	$ 890.00
EFT7232	28/10/2019	LGIS Property	Property Insurance 2nd Instalment 2019-20	$ 34,902.74
EFT7233	28/10/2019	LGIS Workcare	Workcare Insurance 2nd Instalment 2019-20	$ 20,599.76
EFT7234	28/10/2019	Lilypad VA	Graphic Design - Creation of design elements from Logo rebrand	$ 120.00
EFT7235	28/10/2019	Workwear Group Pty Ltd	Uniform Order - A. Banks	$ 1,024.00
EFT7236	28/10/2019	Perth Laundry Equipment	SSA - Rental of Washing Machines & Dryers 22/10/19 to 21/11/19	$ 419.46
EFT7237	28/10/2019	RM Surveys	Consultants - Lot 190 Anderson St - Preparation & Lodgement for WAPC Approval. Professional Surveying Services.	$ 2,200.00
EFT7238	28/10/2019	Sheridans For Badges	Chamber Desk Plaque for J. Sewell	$ 114.40
EFT7239	28/10/2019	Shire Of Merredin	Central Wheatbelt Visitor Centre Annual Membership 2019-20	$ 187.00
EFT7240	28/10/2019	Toll Ipec Pty Ltd	Freight - Library	$ 62.76
EFT7241	28/10/2019	Woodlands Distributors & Agencies Pty Ltd	Supply Concept Footpath & Landscape Designs with Changes.	$ 950.00
EFT7242	28/10/2019	Westrac Equipment	2 x 20lt Hydraulic Fluid	$ 197.87
EFT7243	28/10/2019	Rebecca Windsor	Gym Induction x 1	$ 20.00
10733	11/10/2019	Shire Of Dowerin	Payroll deductions	$ 236.24
10734	11/10/2019	LGRCEU	Payroll deductions	$ 79.80
10732	07/10/2019	Jade North	Rates refund for assessment A658 6 PLACE STREET DOWERIN 6461	$ 410.67
10735	11/10/2019	Synergy	Electricity Usage & Charges 15/08/19 to 19/09/19	$ 2,778.16
10736	11/10/2019	Telstra	Telephone Usage & Charges - Mobiles	$ 644.99
10737	11/10/2019	Water Corporation	Water Usage & Charges 13/08/19 to 07/10/19	$ 1,368.63
10738	28/10/2019	Department Of Commerce	BSL - September 2019	$ 70.35
10739	28/10/2019	Synergy	Electricity Usage & Charges 19/09/19 to 17/10/19	$ 3,835.79
10740	28/10/2019	Telstra	Phone usage & Charges to 18/10/19	$ 1,331.20
10741	28/10/2019	Water Corporation	Water Usage & Charges to 09/10/19	$ 8,610.65
10742	28/10/2019	F A & J L Windsor	Repairs to Pressure Cleaner	$ 280.00
10743	28/10/2019	Shire Of Wongan-Ballidu	OSH - Health & Safety Representative Training - M. McCall & C. Stoysich	$ 2,200.00
DD10749.1	21/10/2019	Puma Energy	Fuel Usage September 2019	$ 2,003.95
DD10754.1	04/10/2019	Shire Of Dowerin - Visa Card Payments	Adobe Subs, Fuel - D4, D02, Tiles Grout, Sponges for Pool, Accomm - D. Friend, G. Martin	$ 2,725.20
DD10770.1	02/10/2019	Western Australian Treasury Corporation	Loan No. 100 Interest payment - Government Housing accommodation	$ 9,853.62
DD10758.1	16/10/2019	WA Super	Superannuation contributions	$ 4,300.87
DD10765.1	30/10/2019	WA Super	Superannuation contributions	$ 4,090.97
DD10747.1	02/10/2019	WA Super	Superannuation contributions	$ 4,313.52
DD10747.2	02/10/2019	Care Super	Superannuation contributions	$ 139.62

SHIRE OF DOWERIN

Shire of Dowerin
List of Payments for October 2019

DD10747.3	02/10/2019	Asgard Super	Superannuation contributions	$ 109.73
DD10747.4	02/10/2019	Australian Super	Superannuation contributions	$ 12.00
DD10747.5	02/10/2019	Hesta Superannuation	Superannuation contributions	$ 114.17
DD10747.6	02/10/2019	Amg Superannuation	Superannuation contributions	$ 203.14
DD10747.7	02/10/2019	Rest Superannuation	Superannuation contributions	$ 202.16
DD10747.8	02/10/2019	MLC Super Fund	Superannuation contributions	$ 424.26
DD10747.9	02/10/2019	NAB Superannuation Fund A	Superannuation contributions	$ 161.89
DD10758.2	16/10/2019	Care Super	Superannuation contributions	$ 139.62
DD10758.3	16/10/2019	Asgard Super	Superannuation contributions	$ 95.62
DD10758.4	16/10/2019	Australian Super	Superannuation contributions	$ 29.01
DD10758.5	16/10/2019	Hesta Superannuation	Superannuation contributions	$ 103.93
DD10758.6	16/10/2019	AMG Superannuation	Superannuation contributions	$ 199.13
DD10758.7	16/10/2019	Rest Superannuation	Superannuation contributions	$ 202.16
DD10758.8	16/10/2019	MLC Super Fund	Superannuation contributions	$ 424.26
DD10758.9	16/10/2019	NAB Superannuation Fund A	Superannuation contributions	$ 12.45
DD10765.2	30/10/2019	Care Super	Superannuation contributions	$ 149.45
DD10765.3	30/10/2019	Asgard Super	Superannuation contributions	$ 43.89
DD10765.4	30/10/2019	Australian Super	Superannuation contributions	$ 27.78
DD10765.5	30/10/2019	Hesta Superannuation	Superannuation contributions	$ 103.93
DD10765.6	30/10/2019	AMG Superannuation	Superannuation contributions	$ 203.14
DD10765.7	30/10/2019	Rest Superannuation	Superannuation contributions	$ 202.16
DD10765.8	30/10/2019	MLC Super Fund	Superannuation contributions	$ 424.26
DD10765.9	30/10/2019	CBUS	Superannuation contributions	$ 369.30
DD10747.10	02/10/2019	CBUS	Superannuation contributions	$ 369.30
DD10747.11	02/10/2019	Health Employees Super	Superannuation contributions	$ 138.01
DD10747.12	02/10/2019	Hostplus	Superannuation contributions	$ 110.53
DD10747.13	02/10/2019	Concept One Super	Superannuation contributions	$ 13.75
DD10747.14	02/10/2019	Fiducian Portfolio Services Limited	Superannuation contributions	$ 76.37
DD10747.15	02/10/2019	Australian Super	Superannuation contributions	$ 173.36
DD10758.10	16/10/2019	CBUS	Superannuation contributions	$ 369.30
DD10758.11	16/10/2019	Health Employees Super	Superannuation contributions	$ 149.43
DD10758.12	16/10/2019	Hostplus	Superannuation contributions	$ 92.20
DD10758.13	16/10/2019	Concept One Super	Superannuation contributions	$ 20.63
DD10758.14	16/10/2019	Fiducian Portfolio Services Limited	Superannuation contributions	$ 68.92
DD10758.15	16/10/2019	Australian Super	Superannuation contributions	$ 191.31
DD10765.10	30/10/2019	Health Employees Super	Superannuation contributions	$ 156.23
DD10765.11	30/10/2019	Hostplus	Superannuation contributions	$ 115.05
DD10765.12	30/10/2019	Concept One Super	Superannuation contributions	$ 20.63
DD10765.13	30/10/2019	Australian Catholic Superannuation & Retirement Fund	Superannuation contributions	$ 13.09
DD10765.14	30/10/2019	Fiducian Portfolio Services Limited	Superannuation contributions	$ 64.57
DD10765.15	30/10/2019	Australian Super	Superannuation contributions	$ 200.74
130858	01/10/2019	BF - Bank Fee	MERCHANT FEE	$ 1,142.96
130858	24/10/2019	BF - Bank Fee	NAB CONNECT FEE & USAGE	$ 35.24
130858	31/10/2019	BF - Bank Fee	NATIONAL BPAY CHARGE	$ 46.32
130858	02/10/2019	BF - Bank Fee	CREDIT LISTING BOOK	$ 5.00
130858	31/10/2019	BF - Bank Fee	ACCOUNT FEE	$ 52.10
				$ 297,984.86

$ 241,128.15	EFT7180 to EFT7243
$ 19,145.84	Superannuation Payments
$ 21,846.48	Cheque 10732 to 10743
$ 2,725.20	Direct Debit 10754: Credit Card Payment: October 2019
$ 2,003.95	Direct Debit 10749: Puma Energy: Fuel: October 2019
$ 9,853.62	WATC - Loan 100 Govt Housing
$ 1,281.62	Direct Debit 130858: Bank Fees
$ 297,984.86	Total Payments for October 2019

$56,415.47	PPE 02 October 2019
$56,410.01	PPE 16 October 2019
$54,010.05	PPE 30 October 2019
$166,835.53	
$464,820.39	Total Payments for October 2019 including payroll x 3

SHIRE OF DOWERIN

APPROVED FOR PAYMENT

Date: 4/11/2019
Voucher: 450
Chq: DD

Amount in words: Six Thousand Three Hundred and Fifty Two Dollars and Thirty Five cents $ 6,352.35

Dr to. **NAB Business Visa D89**

APPROVED FOR PAYMENT

MUNICIPAL FUND
CEO

We hereby certify in accordance with "The Local Government Act 1995" and Local Government (Finanacial Management) Regualtions that the work as specified below has been duly and faithfully performed and approved.

APPROVED FOR PAYMENT

Recommended by the Finance Committee .....

DATE OF SERVICE	GL	PARTICULARS (If progress payment, state total amount of contract and amount of previous payments, if any)	GST	AMOUNT
30/09/2019	PCEO2.[illegible]514	REFUEL - MT MAGNET - FUEL D0	$ 8.46	$ 93.00
30/09/2019	PCEO2.[illegible]514	COLES - FUEL D0	$ 4.64	$ 51.00
2/10/2019	PCEO2[illegible]514	MEEKATHARRA - FUEL - D0	$ 5.91	$ 65.00
2/10/2019	230[illegible]	WAPC - SUBDIVISION APPLICATION - ANDEROSN ST	$ -	$ 3,639.00
3/10/2019	PCEO2.[illegible]514	COLES - FUEL D0	$ 10.27	$ 113.00
4/10/2019	PCEO2.[illegible]514	TOM PRICE - FUEL - D0	$ 22.73	$ 250.00
7/10/2019	PCEO2.[illegible]514	COLES - FUEL D0	$ 9.00	$ 99.00
7/10/2019	PCEO2.[illegible]514	NAUTARRA ROADHOUSE - FUEL - D0	$ 8.16	$ 89.71
8/10/2019	PCEO2.[illegible]514	EG FUELCO - FUEL D0	$ 3.31	$ 36.44
8/10/2019	PCEO2.[illegible].514	EG FUELCO - FUEL D0	$ 8.82	$ 97.00
9/10/2019	PCEO2.[illegible].514	CALTEX CARNARVON - FUEL D0	$ 1.27	$ 13.93
9/10/2019	PCEO2.[illegible].514	CRUDELIS AUTO - FUEL D0	$ 8.36	$ 92.01
10/10/2019	PCEO2.[illegible].514	OVERLANDER ROADHOUSE - FUEL D0	$ 4.74	$ 52.11
17/10/2019		ADOBE ACROPRO SUBS	$ 2.00	$ 21.99
23/10/2019	PCEO2.[illegible].514	DOWERIN ROADHOUSE - FUEL D0	$ 10.59	$ 116.47
28/10/2019	20312	CARD FEE - R. McCALL	$ -	$ 9.00
28/10/2019	20312	BANK CHARGE	$ -	$ 0.66
3/10/2019	YOU01	AUST SCHOLL & CLUB FUNDRAISING - COLOUR FOR RAINBOW RUN	$ 12.27	$ 135.00
4/10/2019	22264	MINDFULNESS MEDITATION - BOLSTERS FOR NAMASTE EVENT	$ -	$ 200.00
7/10/2019	BMT043	TILES EXPO - TILES, GROUT, ADHESIVE FOR POOL	$ 22.62	$ 248.80
21/10/2019	PE193	ASM TRUCKIT - BOOKING FOR FREIGHT ON STABILISER	$ 9.36	$ 103.00
28/10/2019	P2.[illegible].514	BP SAWYERS VALLEY - FUEL D02	$ 8.86	$ 97.50
28/10/2019	20312	CARD FEE - G. BRIGG	$ -	$ 9.00
30/09/2019	25816	ASUT POST - POSTAGE STAMPS	$ 9.00	$ 99.00
10/10/2019	25816	AUST POST - POSTAGE STAMPS	$ 45.45	$ 500.00
14/10/2019	P700.[illegible].514	BP GOOMALLING - FUEL D4	$ 10.66	$ 111.73
28/10/2019	20312	CARD FEE - C. DELMAGE	$ -	$ 9.00
		TOTAL $	$ 226.48	$ 6,352.35

NOTE - It is Essential for Audit Purpose that Full Particulars be inserted in this Form.

CERTIFIED SPECIAL EMERGENCY PAYMENT .....PRESIDENT

Statement for
NAB Business Visa
NAB Commercial Cards Centre - GPO Box 9992 Melbourne Victoria 3001
Tel 1300 498 594 8am - 8pm AEST & AEDT Monday to Friday, 9am - 6pm AEST & AEDT Saturday and Sunday
Fax 1300 363 658
Lost & Stolen cards: 1800 033 103 (24 hours within Australia only)

RECEIVED
☑ Post ☐ Email
04 NOV 2019
Assign To: BFO

DOWERIN SHIRE
PO BOX 111
DOWERIN WA 6461

Statement Period	28 September 2019 to 28 October 2019
Company Account No:	[redacted]
Facility Limit:	$16,000

Your Account Summary

Balance from previous statement	$2,725.20 DR
Payments and other credits	$2,725.20 CR
Purchases, cash advances and other debits	$6,324.69 DR
Interest and other charges	$27.66 DR
Closing Balance	**$6,352.35 DR**

YOUR DIRECT DEBIT PAYMENT OF $6,352.35 WILL BE CHARGED TO ACCOUNT [redacted] ON 04/11/2019 AS PER OUR AGREEMENT.

301/21/01/M03603/S010610/I021219

see reverse for transaction details

Statement for
NAB Business Visa
NAB Commercial Cards Centre - GPO Box 9992 Melbourne Victoria 3001
Tel 1300 498 594 8am - 8pm AEST & AEDT Monday to Friday, 9am - 6pm AEST & AEDT Saturday and Sunday
Fax 1300 363 658
Lost & Stolen Cards: 1800 033 103 (24 hours, 7 days a week)

Cardholder Details

Cardholder Name: MRS REBECCA LOUISE MCCALL

Account No: [redacted]

Statement Period: 28 September 2019 to 28 October 2019

Cardholder Limit: $10,000

Transaction record for: MRS REBECCA LOUISE MCCALL

Date	Amount A$	Details	Explanation	Amount NOT subject to GST	Amount subject to GST	GST component (1/11th of the amount subject to GST)	Reference
30 Sep 2019	$93.00 ✓	REFUEL AUSTRALIA-SWAGM MOUNT MAGNET PCE02	Fuel DO				74940529272
30 Sep 2019	$51.00 ✓	COLES EXPRESS 6956 MEEKATHARRA PCE02	Fuel DO				74363969273
2 Oct 2019	$65.00 ✓	MT AGSTS STTN 1980 P MEEKATHARRA PCE02	Fuel DO				74564729274
2 Oct 2019	$3,639.00 ✓	WAPC FORM 1A FREEHOL PERTH 23053	Subdivision Appl. Anderson St				74940529274
3 Oct 2019	$113.00 ✓	COLES EXPRESS 6942 TOM PRICE PCE02	Fuel DO				74363969276
4 Oct 2019	$250.00	HALF PAST THIRTY PTY TOM PRICE PCE02	Fuel DO				74940529276
7 Oct 2019	$99.00 ✓	COLES EXPRESS 6942 TOM PRICE PCE02	Fuel DO				74363969278
7 Oct 2019	$89.71 ✓	Nanutarra Roadhouse Nanutarra PCE02	Fuel DO				74249239279
8 Oct 2019	$36.44 ✓	EG FUELCO 4039 CARNARVON PCE02	Fuel DO				01211102616
8 Oct 2019	$97.00 ✓	EG FUELCO 4039 CARNARVON PCE02	Fuel DO				01182826343
9 Oct 2019	$13.93	CALTEX CARNARVON DIESE CARNARVON PCE02	Fuel DO - Adblue				74940529281
9 Oct 2019	$92.01 ✓	CRUDELIS AUTO 9434 MULLEWA PCE02	Fuel DO				03171125007

Continued next page

301/21/01/M03603/S010611/I021221

Transaction record for: MRS REBECCA LOUISE MCCALL (continued)

Date	Amount A$	Details			Explanation	Amount NCT subject to GST	Amount subject to GST	GST component (1/11th of the amount subject to GST)	Reference
10 Oct 2019	$52.11 ✓	OVERLANDER ROADHOUSE	HAMELIN BAY	PCE02	Fuel DO				74940529282
17 Oct 2019	$21.99 ✓	ADOBE ACROPRO SUBS	1800614863	25821	Adobe Acropro Subs				74313199289
23 Oct 2019	$116.47 ✓	DOWERIN ROADHOUSE	DOWERIN	PCE02	Fuel DO				74564729295
28 Oct 2019	$9.00 ✓	CARD FEE		20312	Card Fee				74557049301
	.66	Bank Charge		20312	Bank Charge				
Total for this period	$4,838.66				Totals				

Employee declaration

I verify that the above charges are a true and correct record in accordance with company policy. Cardholder signature: RMccall Date: _____

301/21/01/M03603/S010611/I021222

Statement for
NAB Business Visa
NAB Commercial Cards Centre - GPO Box 9992 Melbourne Victoria 3001
Tel 1300 498 594 8am - 8pm AEST & AEDT Monday to Friday, 9am - 6pm AEST & AEDT Saturday and Sunday
Fax 1300 363 658
Lost & Stolen Cards: 1800 033 103 (24 hours, 7 days a week)

Cardholder Details

Cardholder Name: MR GLEN CHRISTOPHER BRIGG
Account No: [redacted]
Statement Period: 28 September 2019 to 28 October 2019
Cardholder Limit: $5,000

Transaction record for: MR GLEN CHRISTOPHER BRIGG

Date	Amount A$	Details	Explanation	Amount NOT subject to GST	Amount subject to GST	GST component (1/11th of the amount subject to GST)	Reference
3 Oct 2019	$135.00 ✓	AUSTRALIAN SCHOOL AN SUMNER PARK B 40001	Powders for Rainbow Run				74940529275
4 Oct 2019	$200.00 ✓	MINDFULNESSMEDITATIONH WEST LEEDERVI 22264	Bolsters for Namaste Event				74617639277
7 Oct 2019	$248.80 ✓	TILES EXPO OSBORNE PARK BMT043	Tiles, Grout, Adhesive - Pool				06121116944
21 Oct 2019	$103.00 ✓	ASM*Truckit Melbourne PE193	Booking for freight on Stabiliser.				74564729291
28 Oct 2019	$97.50 ✓	BP SAWYERS VALLEY 9034 SAWYERS VALLE P2-264.514	Fuel D02				07150308359
28 Oct 2019	$9.00 ✓	CARD FEE 20312	Card Fee				74557049301
Total for this period	**$793.30**		**Totals**				

Employee declaration

I verify that the above charges are a true and correct record in accordance with company policy

Cardholder signature: _____ Date: _____

Statement for
NAB Business Visa
NAB Commercial Cards Centre - GPO Box 9992 Melbourne Victoria 3001
Tel 1300 498 594 8am - 8pm AEST & AEDT Monday to Friday, 9am - 6pm AEST & AEDT Saturday and Sunday
Fax 1300 363 658
Lost & Stolen Cards: 1800 033 103 (24 hours, 7 days a week)

Cardholder Details

Cardholder Name: MISS CHERIE MAY DELMAGE

Account No: [redacted]

Statement Period: 28 September 2019 to 28 October 2019

Cardholder Limit: $3,000

Transaction record for: MISS CHERIE MAY DELMAGE

Date	Amount A$	Details	Explanation	Amount NOT subject to GST	Amount subject to GST	GST component (1/11th of the amount subject to GST)	Reference
30 Sep 2019	$99.00 ✓	POST DOWERIN LPO DO DOWERIN 25816	Postage Stamps				74813849270
10 Oct 2019	$500.00 ✓	POST DOWERIN LPO DO DOWERIN 25816	Postage Stamps				74813849282
14 Oct 2019	$111.73 ✓	BP GOOMALLING 1813 GOOMALLING P100.200.514	Fuel D4				05210735927
28 Oct 2019	$9.00 ✓	CARD FEE 20312	Card Fee				74557049301
Total for this period	**$719.73**		**Totals**				

Employee declaration

I verify that the above charges are a true and correct record in accordance with company policy

Cardholder signature: [signature] Date: 07/11/19

301/21/01/M03603/S010613/I021225

Recalcitrant Rates Debtors
As at 31 October 2019

Assess	3rd Previous	2nd Previous	Previous	Current	Total	Comments
	Year & greater	Year	Year	Year		
A1016	1,977.37	1,627.44	1,766.81	1,074.91	6,446.53	17/10/19 - Debt Collection Agent has been requested to do a skip trace to find decendants of owner.
A1171			719.36	46.52	765.88	15/10/19 Final Warning letter sent to ratepayer
A225	1,707.50	2,210.33	9,195.12	540.28	13,653.23	6/10/19 Summary of action to date. 1) A PSSO was actioned. No bids were received at the auction of the property. 2) Council agreed at the September meeting to commence the 3 year rule to bring the property into Council's name. 3) A valuation of the assessment from Butler, Craig - AssetVal was provided to commence the 3-year rule. 4) Subsequent to this a private buyer has expressed an interest in the assessment. AMPAC is seeking advice from their solicitors to see if this private sale can occur between the Council and the buyer
A229			190.00	85.31	275.31	Can not find any living relatives of owner.
A247		294.22	345.83	348.71	988.76	11/10/19 - Australia and New Zealand Banking Group Limited is currently in possession of property as mortgagee in possession
A248		294.22	345.83	348.71	988.76	Recovery on hold, pending mortgagee possession of other properties.
A249		194.22	344.43	343.16	881.81	11/10/19 - Australia and New Zealand Banking Group Limited is currently in possession of property as mortgagee in possession
A277		278.22	345.57	347.79	971.58	15/10/19 Final Warning letter sent to ratepayer
A283			1,669.18	741.86	2,411.04	15/10/19 Final Warning letter sent to ratepayer
A380	7,109.37	2,625.90	5,347.67	2,348.45	17,431.39	15/10/19 - AMPAC automated email states PSSO Registered Over Land and status is HOLD
A512	8,101.64	4,336.27	4,020.63	3,997.71	20,456.25	Advised by Jackson McDonald NAB have now taken possession of the property 24 April 2019.
A581			19.43	868.06	887.49	15/10/19 Final Warning letter sent to ratepayer
A90		703.77	957.27	957.95	2,618.99	11/10/19 - Australia and New Zealand Banking Group Limited is currently in possession of property as mortgagee in possession
A950	674.05	938.01	1,569.60	1,012.11	4,193.77	Finally have been able to serve papers on this ratepayer. Currently reviewing our options for debt recovery with minimal cost to Council. Next stage of recovery is PSSO which costs approximately $5000
	19,569.93	**13,502.60**	**26,836.73**	**13,061.53**	**72,970.79**	

Rebecca Windsor
Personal Trainer & Fitness Instructor

[redacted]
[redacted]
Dowerin WA 6461
ABN: 313 50 773 904
Mob: [redacted]

29 October 2019

Council
Shire of Dowerin
13 Cottrell Street,
Dowerin WA 6461

Dear Council Members,

INFANT SWIMMING LESSON TIME APPROVAL

Dowerin saw its first season of infant swimming lessons, ages 6months to 5 year olds in 2017/18. It was a great success with 46 children registered. Numbers were fantastic and it drew many families from surrounding towns as well as our local community.

The 2019/20 registrations have not gone out yet so I cannot anticipate this season's numbers but I have received a healthy interest already which is promising. I expect numbers to taper and settle at a slightly lesser amount based on my knowledge of previous group exercise initiatives. This is to be expected.

Based on results from last season, I have decided to teach from 12months to 5 years rather than 6months. This is purely based on the temperature of the pool and the inability of the young infants to retain body heat. They were not able to enjoy their experience as much as hoped and this is because the recommended pool temp for their age group is 32degrees. Our pool averages around 21degrees.

Our lessons last season commenced at 9.40am and finished at 12.30pm. I thank the Shire and its Council for supporting the early start and agreeing to pay the early opening of the pool. The reasons for this time were mostly to avoid the hottest part of the day and to avoid sunburn with our little ones. It also allowed for an empty pool with no public patrons. After running lessons at this time for a full season, I've found the pool temperature was too cold for the kids at that time of the day. I would propose to move the start time to 11am. I have had to weigh up sun safety versus the individual child feeling warm enough to retain lesson content and the latter prevails. I think this is the better option. Lessons will be kept at 20mins, plus the earlier start enables me to have a patron-free pool for the first hour. I would like to ask the Shire once again to support in payment of this extra hour the pool will be open over the 10 sessions I will be holding this upcoming pool season.

Proposed dates for lessons are as follows:

BLOCK 1:	BLOCK 2:
Fri 6 December	Fri 31 January
Sun 8 December	Sun 2 February
Fri 13 December	Sun 9 February
Sun 15 December	Sun 16 February
Fri 20 December	
Sun 22 December	

If you require any further information, please don't hesitate to contact me.

Regards,

Rebecca Windsor
Swimming Instructor

SHIRE OF
DOWERIN
TIN DOG TERRITORY

Integrated Planning and Reporting
Quarterly Monitoring Review
November 2019

Contents

Our Integrated Planning and Reporting Framework 4
- Strategic Community Plan 4
- Corporate Business Plan 4
- Informing Strategies 4
- Monitoring and Review 5
- Annual Budget 5
- Annual Report 5
- Measuring Our Achievements and Progress 6
- Definitions 6

Our Actions Linked to the Strategic Community Plan 2018-2028 7

Introduction

This four-year Corporate Business Plan 2018-2022 aligns with the strategic initiatives identified in the Strategic Community Plan 2018-2028, reflecting our commitment to fulfilling the community's vision, goals and aspirations.

Some of the actions in the Plan are a continuation of previous initiatives. Others are newly identified after the review of the Strategic Community Plan in 2017.

All our actions are responsibly resourced, with revenue streams, expenditure, staff and time requirements accounted for in our long-term financial plan, asset management plan and workforce plan.

Our Integrated Planning and Reporting Framework

The Integrated Planning Framework introduced by the Department of Local Government provided the focus for the development of our strategic planning framework.

The goal of the framework is to integrate and align Council's strategies, plans and programs with identified community objectives, ensuring transparency and accountability through engagement and reporting processes.

Strategic Community Plan

The Strategic Community Plan is the primary forward planning document reflecting the vision, values, aspirations and objectives of the community. The Strategic Community Plan is a roadmap for the future and is designed to guide the Shire of Dowerin.

While some of the objectives are beyond the scope of Council the Shire of Dowerin is committed to advocate, inform, partner and share the responsibility for the achievement of these objectives. A major review of the Strategic Community Plan will take place in 2022 to ensure it remains relevant.

Corporate Business Plan

The Corporate Business Plan details the programs and services Council will undertake over a 4-year period to achieve the objectives of the Strategic Community Plan. The Corporate Business Plan is a fixed term document providing direction and a road map for Council to achieve the strategies identified in the Strategic Community Plan. It is an internal business planning document identifying key priorities for the next 4 years.

Under the guidelines, it is essential that the Corporate Business Plan is for a minimum of 4 years.

Informing Strategies

The Shire of Dowerin's informing strategies outline the delivery of the commitments identified in the Corporate Business Plan. The key informing strategies include;

Long Term Financial Plan

This 10-year rolling plan will assist the Shire to set priorities in accordance with its financial resources, through the allowance of key assumption-based analysis. This allows the organisation to make decisions in a financially sustainable manner.

Asset Management Plan

This plan provides guidance on service provision and whole of life cycle asset management to support the Shire's financial sustainability and key service levels.

Workforce Plan

The plan identifies the workforce requirements and strategies for current and future operations, ensuring the needs and limitations to support the delivery of the Corporate Business Plan are met.

Monitoring and Review

Monitoring and regular review of plans is undertaken to ensure actions are met and achievements can be measured and evaluated.

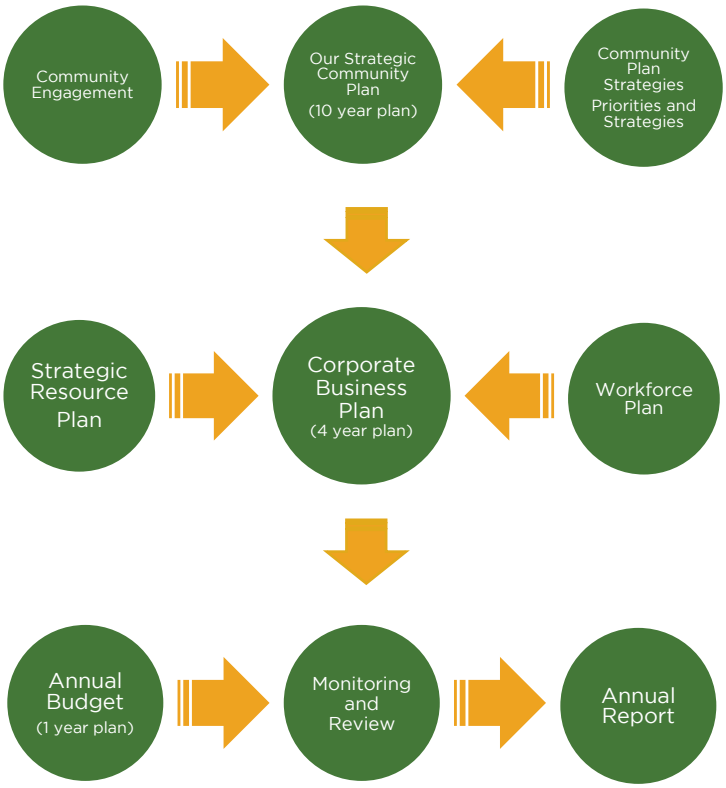
Annual Budget

Driven by the Corporate Business Plan, the Annual Budget is a detailed short-term financial statement for the following financial year and reflects all aspects of the Corporate Business Plan actions and operations for the year. The Annual Budget sets out how the resources will be allocated over the twelve-month period.

Annual Report

The Annual Report, produced at the end of every financial year, is a report of our achievements during the previous twelve-month period beginning 1 July and ending 30 June. It contains an overview of the Strategic Community Plan and the Corporate Business Plan and information about the actions, achievements and budget performance.

The diagram below depicts the components that make up the Shire of Dowerin's Integrated Planning and Reporting Framework. It shows the integration between the plans and the influences of the informing strategies. The intent of the Integrated Planning and Reporting Framework is to ensure the priorities and services provided by the Shire of Dowerin are aligned with our community needs and aspirations. The informing strategies consider available resources to deliver the best possible outcomes for the community.



Measuring Our Achievements and Progress

The Corporate Business Plan is reviewed annually, in conjunction with the annual budget deliberation process, with quarterly reporting on operational progress, ensuring the Shire of Dowerin is working towards implementation and achievement.

It is important for the Shire to be able to measure and monitor progress of initiatives to deliver on the strategic aspirations detailed in the Strategic Community Plan. The Shire of Dowerin is committed to reviewing internal and external reporting mechanisms to ensure the organisation is aligning its priorities and delivering on its commitments. Reporting to Council and the community on the performance and achievement of the Corporate Business Plan will be provided through quarterly reports and the Annual Report.

Definitions

For each Key Action to be completed, the Corporate Business Plan indicates in the following pages in which year (over the next four years) completion is expected to occur. In some cases, the Key Action is an ongoing one which is to be actioned every year. The following symbols indicate this information:

- ● To Be Completed
- ↻ Ongoing
- ✓ Completed
- ➢ In Progress
- ✘ Not Commenced
- ☐ Scheduled
- Ω Project on Hold

Our Actions Linked to the Strategic Community Plan 2018-2028

Theme	Our Lifestyle				
Objective	*A safe, friendly and engaged community with diverse education and employment opportunities and services that meet the needs of all generations.*				
Outcome 1 More people, particularly young people and families, live and stay in Dowerin					
No	Strategy	Priority		Our Role	
C1	Actively promote Dowerin as a vibrant, family friendly community with quality and diverse amenities and services	1		Facilitate	
No	Key Actions	Nov 2019	Feb 2020	May 2020	Aug 2020
C1.1	Continue to support the Dowerin Home Care Service	↻			
C1.2	Develop and implement an annual Community Development Plan	➢			
C1.3	Develop and implement a Dowerin Marketing Plan	➢		●	
Comment: Development of a Dowerin Marketing Plan to commence in January 2020.					
Outcome 2 Sustainable management through greater collaboration and innovative governance models					
No	Strategy	Priority		Our Role	
C2	Establish a 'volunteer register' which documents volunteering capacity and provides a measurable value to volunteering in Dowerin	2		Direct Delivery	
No	Key Actions	Nov 2019	Feb 2020	May 2020	Aug 2020
C2.1	Continue to maintain the Dowerin Home Care Volunteer Register	↻			
C2.2	Develop and maintain a community volunteer register	➢			
Comment: Volunteer register requires reviewing to integrate the Dowerin Home Care Volunteer Register					
No	Strategy	Priority		Our Role	
C3	Investigate best practice in shared governance arrangements for volunteer groups to support a more sustainable volunteer base	2		Direct Delivery	
No	Key Actions	Nov 2019	Feb 2020	May 2020	Aug 2020
C3.1	Facilitate best-practice governance training for community groups	➢		●	

Comment: Shire of Dowerin is providing financial support to Dowerin Community Club Incorporated to engage a consultant to assist with its governance framework.					
Outcome 3 A friendly and welcoming community that all residents and visitors participate and have pride in					
No	Strategy	Priority		Our Role	
C4	Targeted engagement of all sectors of the community, recognising cultural diversity	1		Direct Delivery Facilitate	
No	Key Actions	Nov 2019	Feb 2020	May 2020	Aug 2020
C4.1	Develop, implement and monitor a Communication and Engagement Framework	✘	●		
Comment: Nil					
No	Strategy	Priority		Our Role	
C5	Provide an annual program of events that incorporates activities and opportunities	1		Direct Delivery Partner	
No	Key Actions	Nov 2019	Feb 2020	May 2020	Aug 2020
C5.1	Develop and implement an annual Community Development Plan	➢			
Comment: Implementation of the 2019/2020 Community Development Plan is in progress					
Outcome 4 Better access to quality and diverse education and training opportunities					
No	Strategy	Priority		Our Role	
C6	Continued support the Educational Institutions in Dowerin and in partnership with the Dowerin Senior High School identify and integrate senior high school options.	1		Advocate Facilitate	
No	Key Actions	Nov 2019	Feb 2020	May 2020	Aug 2020
C6.1	Continued provision of HR and payroll support for Lil' Tigers Early Years Centre	↻			
C6.2	Continued provision of a facility to support Lil' Tigers Early Years Centre	↻			
C6.3	Support agencies and community groups to implement youth initiatives	↻			

C6.4	Support agencies, businesses and community organisations to advocate for increased educational services	☐			
Comment: A youth art project was successfully executed in partnership with artist Georgina Paterson and the Dowerin District High School; A grant application was submitted to implement the Youth Publication Project in partnership with Dowerin Youth Inc and Dowerin Community Resource Centre. C6.4 scheduled for 2020/2021.					
No	Strategy	Priority		Our Role	
C7	Collaborate with the Community Resource Centre to deliver training and development opportunities aligned to community needs and advocate for local businesses to support apprenticeships and further educational opportunities	1 & 2		Partner	
No	Key Actions	Nov 2019	Feb 2020	May 2020	Aug 2020
C7.1	Investigate opportunities and partnership to develop a community traineeship program	✘			●
Comment: Opportunity is not currently available.					
Outcome 5 Services provision meets the varying needs of different sectors of the Dowerin community					
No	Strategy	Priority		Our Role	
C8	Create an 'Aged Friendly Community Plan' identifying infrastructure and service delivery requirements and continue to support the Dowerin Home Care service as a priority	4		Direct Delivery	
No	Key Actions	Nov 2019	Feb 2020	May 2020	Aug 2020
C8.1	Develop and implement an 'Aged Friendly Community Plan'	☐			
C8.2	Continue to support the Dowerin Home Care Service	↻			
Comment: Development and implementation of the Aged Friendly Community Plan is scheduled for 2020/2021.					
No	Strategy	Priority		Our Role	
C9	Support the Dowerin District High School Youth Leadership Group to provide youth led and informed social and development opportunities and experiences for young people	1 & 5		Direct Delivery Facilitate Partner	
No	Key Actions	Nov 2019	Feb 2020	May 2020	Aug 2020

C9.1	Develop and implement a Strategic Youth Plan	✘		●	
Comment: Nil					

Theme	Our Infrastructure				
Objective	*Our infrastructure will drive economic and population growth, be a key enabler to the digital economy and support reliable, efficient service delivery.*				
Outcome 1 Infrastructure is fit for purpose, responsibly managed and maintained					
No	Strategy	Priority		Our Role	
I1	Empty spaces/places review to determine and promote opportunities for the re-use and revitalisation of unused community assets	1		Direct Delivery	
No	Key Actions	Nov 2019	Feb 2020	May 2020	Aug 2020
I1.1	Facility and Spaces audit and review completed	✘			
I1.2	Develop a Facility and Spaces Plan and implement identified strategies	✘		●	
I1.3	Develop and implement a Streetscaping Plan	➢			
Comment: Resource restraints has postponed the commencement of the Facility and Spaces audit and review. It is planned to commence in early 2020. This delay will impact on the completion date of the Facility and Spaces Plan. Resource shortages have also hindered the completion of the Streetscaping Plan.					
No	Strategy	Priority		Our Role	
I2	Develop a comprehensive asset management plan that prioritises assets and details a replacement and management schedule, that aligns to community needs	1		Direct Delivery	
No	Key Actions	Nov 2019	Feb 2020	May 2020	Aug 2020
I2.1	Prepare a comprehensive Property Portfolio of Council's owned assets that includes 10-year replacement and management schedules	➢			
I2.2	Review the Asset Management Plan	➢			
Comment: It is aimed to complete the review of the Asset Management Plan in December 2020.					
Outcome 2					

Housing meets existing community need and facilities in-migration of families and workers					
No	Strategy	Priority		Our Role	
I3	Undertake a housing needs analysis to identify specific housing requirements and opportunities to address gaps in the market	1		Direct Delivery	
No	Key Actions	Nov 2019	Feb 2020	May 2020	Aug 2020
I3.1	Complete a Housing Needs Analysis	☐			
Comment: Housing Needs Analysis scheduled for 2020/2021.					

No	Strategy	Priority		Our Role	
I4	Investigate and implement appropriate housing investment models for Dowerin	4		Direct Delivery Partner	
No	Key Actions	Nov 2019	Feb 2020	May 2020	Aug 2020
I4.1	Implement the Avon Well Housing Project	Ω		●	
I4.2	Identify a sustainable housing model to improve the quality of housing in Dowerin	☐			
Comment: Council made the decision to put the Avon Well Housing Project on hold during the 2019/2020 Budget deliberations due to budget restraints and the current lack of demand for independent living units; Key Action I4.2 is scheduled for 2021/2022.					

Theme	Our Economy
Objective	*A strong and growing local economy supported by new industry development aligned to identified economic opportunity*

Outcome 1 Available, well-marketed and appropriately provisioned commercial and industrial land entices new business establishment					
No	Strategy	Priority		Our Role	
E1	Develop a Sub-Regional Industrial Land Prospectus to attract new business	1		Direct Delivery	
No	Key Actions	Nov 2019	Feb 2020	May 2020	Aug 2020
E1.1	Develop a business and industry investment prospectus	✘			
E1.2	Develop and implement a Dowerin Marketing Plan	✘		●	

Comment: Development of a business and industry investment prospectus is scheduled for 2020/2021.					
Outcome 2 Tourism is a significant contributor to the local economy and is enhanced by investment in tourism initiatives that showcase Dowerin's natural and built attributes					
No	Strategy	Priority		Our Role	
E2	Undertake a tourism asset and opportunity review to clearly identify target markets, tourism trends and opportunities for Dowerin to better promote offerings; encourage and support local businesses to better cater for visitors and tourists	1		Direct Delivery	
No	Key Actions	Nov 2019	Feb 2020	May 2020	Aug 2020
E2.1	Undertake a tourism audit to include attractions, services and signage	➢		●	
E2.2	Prepare and implement a Strategic Tourism Plan	☐			
Comment: The development of the Strategic Tourism Plan is scheduled for 2020/2021.					
No	Strategy	Priority		Our Role	
E3	Continued involvement in regional tourism marketing campaigns and targeted marketing of the Dowerin Short Stay Accommodation precinct	1		Direct Delivery Partner	
No	Key Actions	Nov 2019	Feb 2020	May 2020	Aug 2020
E3.1	Continue to be an active member of Pioneers Pathways and Wheatbelt Way and support the development of the products	↻			
E3.2	Review the Dowerin Short Stay Accommodation management model and implement identified initiatives and opportunities	✖		●	
E3.3	Develop and implement a Dowerin Short Stay Accommodation marketing plan	➢			
E3.4	Develop imagery inventory to enable marketing content	➢			
Comment: Nil					
No	Strategy	Priority		Our Role	
E4	Maintain the Wheatbelt Rail Heritage precinct as a static display whilst exploring opportunities for the transfer of ownership to private enterprise or a community group	1		Facilitate Partner	
No	Key Actions	Nov 2019	Feb 2020	May 2020	Aug 2020

E4.1	Establish a Wheatbelt Rail Heritage working group and support identified initiatives to promote the precinct	➢		●	
E4.2	Facilitate the transfer of ownership of the locomotives and rolling stock	➢	●		
E4.3	Facilitate the transfer of management of the Wheatbelt Rail Heritage Museum to an appropriate entity	✘		●	
Comment: The Shire of Dowerin supports two annual events held at the Minnivale Wheatbelt Heritage Rail Discovery Centre; transfer of ownership of the locomotives and rolling stock is progressing.					
Outcome 3 New industry and strengthened existing industry supports economic growth and local employment generation					
No	Strategy	Priority		Our Role	
E5	Complete a local economic development and incentivisation plan that focuses on business development and identifies industry opportunities and actions to capitalise on prospects	1		Direct Delivery	
No	Key Actions	Nov 2019	Feb 2020	May 2020	Aug 2020
E5.1	Develop and implement a Strategic Economic Plan	☐			
Comment: Development of the Strategic Economic Plan is scheduled for 2020/2021.					
No	Strategy	Priority		Our Role	
E6	Local businesses are supported to thrive through continued membership and promotion of the Wheatbelt Business Network; and development of a local business development strategy	1		Advocacy Partner	
No	Key Actions	Nov 2019	Feb 2020	May 2020	Aug 2020
E6.1	Facilitate the re-activation of the Dowerin Business Association	➢			
E6.2	Advocate for increased local participation of the Wheatbelt Business Network	✘		●	
E6.3	Facilitate the development of business development strategies and support local businesses with the implementation of identified initiatives	☐			
Comment: The Shire of Dowerin has undertaken the secretarial role of the Dowerin Business Association to support the re-activation of the organisation; At present there is not an appetite for the Dowerin business community to engage with the Wheatbelt Business Network; It is envisaged that once the Dowerin Business Association is re-activated, the Shire can work with the members to					

identify strategies and support the implementation of identified initiatives.

Theme	Our Natural Environment				
Objective	*Dowerin's unique natural environment is conserved and enhanced through sustainable practices and responsible environmental management*				
Outcome 1 Increased community education and awareness supports the preservation of Dowerin's natural environment					
No	Strategy	Priority		Our Role	
N1	Work with environmental advocacy groups to deliver targeted education programs that support existing sustainability initiatives and encourages community ownership of recycling program	1		Partner	
No	Key Actions	Nov 2019	Feb 2020	May 2020	Aug 2020
N1.1	Facilitate and support the transfer of recycling program management to a community group	➢			
N1.2	Support the rollout of the Container Deposit Scheme	➢			
N1.3	Support recycling awareness campaigns	✘			
Comment: The Dowerin District High School has registered for the Container Deposit Scheme; The Dowerin CRC has also expressed interested to be involved in recycling.					
No	Strategy	Priority		Our Role	
N2	Investigate opportunities for local level support from an environmental officer specifically exploring the reinstatement of a dedicated NRM Officer and formalise an arrangement with Wheatbelt Natural Resource Management	3		Partner	
No	Key Actions	Nov 2019	Feb 2020	May 2020	Aug 2020
N2.1	Explore opportunities to reinstate an NRM Officer in collaboration with neighbouring Shires	☐			
N2.2	Investigate opportunities to formalise an agreement with Wheatbelt Natural Resource Management to advocate for a greater resource allocation for the Shire of Dowerin	☐			
Comment: The above Key Actions are scheduled for 2020/2021.					
Outcome 2					

Sustainable practices are researched and entrenched in areas such as waste management, water management and renewable energy production					
No	Strategy	Priority		Our Role	
N3	Large scale renewable energy production investigated for development potential in collaboration with neighbouring Shires	1		Advocate	
No	Key Actions	Nov 2019	Feb 2020	May 2020	Aug 2020
N3.1	Investigate opportunities for renewable energy development	✘			
Comment: Opportunities not yet presented.					
No	Strategy	Priority		Our Role	
N4	Develop a long-term plan for waste management that considers infrastructure, site management and resourcing requirements to include the investigation of local processing of recycled materials	1		Direct Delivery	
No	Key Actions	Nov 2019	Feb 2020	May 2020	Aug 2020
N4.1	Develop and implement a Strategic Waste Management Plan	☐			
Comment: Development of the Strategic Waste Management Plan is scheduled for 2020/2021.					
No	Strategy	Priority		Our Role	
N5	Integrate water management planning with land use planning focusing on; improved water harvesting, storage and use; water quality and salinity management	1		Direct Delivery	
No	Key Actions	Nov 2019	Feb 2020	May 2020	Aug 2020
N5.1	Develop and implement a Water Management Plan	☐			
Comment: Development of the Water Management Plan is scheduled for 2020/2021.					
Outcome 3 Sustainable infrastructure design and maintenance minimises environmental impact					
No	Strategy	Priority		Our Role	
N6	Sustainable maintenance of parks, ovals, public spaces and infrastructure through planning for water harvesting, storage and use and renewable energy installations to reduce electricity consumption	1 & 2		Direct Delivery	

No	Key Actions	Nov 2019	Feb 2020	May 2020	Aug 2020
N6.1	Identify and action water use reduction, recovery and re-use initiatives	➢			
N6.2	Identify opportunities to initiate renewable energy installations	↻			
Comment: The specifications for the Oval Irrigation Project is nearing finalising with the expectation for tenders to be called in the near future; Liaison between CBH and the Shire of Dowerin has commenced regarding the opportunity to access stored water on the CBH site for the purpose of irrigating parks and gardens; Opportunities are available, however require investment from Council; Costings of options will be presented to Council during the 2020/2021 budget deliberations.					

No	Strategy	Priority	Our Role
N7	Information packs and referrals to relevant associations for new infrastructure development include specifications for responsibly sourced and energy efficient materials and design features	1	Direct Delivery

No	Key Actions	Nov 2019	Feb 2020	May 2020	Aug 2020
N7.1	Provide appropriate environment friendly products and design information on the Shire of Dowerin's website	✘		●	
Comment: Nil					

Theme	Our Leaders
Objective	*A thriving and progressive rural community enabled by innovation in leadership, a focus on continuous improvement and adaptability to involving community needs*

Outcome 1
A community that is engaged and involved because of collaborative decision making and transparent communication

No	Strategy	Priority	Our Role
L1	Specific volunteer groups and individuals are targeted for involvement in community projects that align to their areas of interest and expertise	1	Direct Delivery

No	Key Actions	Nov 2019	Feb 2020	May 2020	Aug 2020
L1.1	Continue to facilitate and support identified project committees and working groups focusing on community priorities	↻			

Comment:
In the last quarter the Shire of Dowerin has:

1. Partnered with the Dowerin District High School to facilitate NAIDOC celebrations and a youth art project;
2. Supported the Dowerin District High School with the Rainbow Run;
3. Supplied white sand to the Dowerin District High School for a nature play activity;
4. Partnered with the Dowerin Community Club to facilitate a harmony event, Oktoberfest;
5. Supported the Dowerin Community Resource Centre with the Minnivale Wheatbelt Heritage Rail Discovery Centre wildflower event;
6. Supported Dowerin Events Management with the Fields Days;
7. Assisted the Dowerin Amateur Swimming Club with the development of a new BBQ space at the Dowerin Memorial Swimming Pool; and
8. Supplied cracker dust to the Mortlock Pony Club for assist in providing safe jumps for a tetrathlon event.

No	Strategy	Priority		Our Role	
L2	Communication between the Shire and community is multi-faceted and includes electronic and print media as well as in-person engagement	1		Direct Delivery	
No	Key Actions	Nov 2019	Feb 2020	May 2020	Aug 2020
L2.1	Develop, implement and monitor a Communication and Engagement Framework	✘		●	

Comment:
Nil

Outcome 2
Through effective planning, service delivery meets community needs and assets are managed to optimise life cycle costs

No	Strategy	Priority		Our Role	
L3	Develop an asset management plan and long-term financial plan consistent with identified community priorities for asset renewal and service delivery	1		Direct Delivery	
No	Key Actions	Nov 2019	Feb 2020	May 2020	Aug 2020
L3.1	Conduct a comprehensive service delivery review	➢			
L3.2	Develop a suite of service delivery plans and strategies	✘			
L3.3	Integrate service delivery strategies into the asset management plan and long-term financial plan	✘			

L3.4	Conduct a facility audit and develop a master plan for future facility usage	✖			
Comment: Resource restraints has postponed: 1. Advancement of the service delivery reviews; 2. Development of service delivery plans and strategies; and 3. Commencement of the Facility and Spaces audit and review.					
No	Strategy	Priority		Our Role	
L4	Efficient and proactive service provision and planning that adapts to meet changing community needs as identified through regular community health checks	1		Direct Delivery	
No	Key Actions	Nov 2019	Feb 2020	May 2020	Aug 2020
L4.1	Monitor and review IPR Suite of Plans	➢			
L4.2	Conduct biennial Community Satisfaction Surveys	☐			●
Comment: IPR Framework & Plan adopted; Planning for the Community Satisfaction Survey will commence in June 2020.					
Outcome 3 Commitment to continuous improvement in service delivery and good governance practices ensures the Shire is adaptive to evolving community needs					
No	Strategy	Priority		Our Role	
L5	Continual review and revision of Council policy, procedures and governance frameworks to ensure responsible, efficient and effective service delivery	1		Direct Delivery	
No	Key Actions	Nov 2019	Feb 2020	May 2020	Aug 2020
L5.1	Ensure policies, procedures and practice are effective, transparent and aligned with corporate functions and service delivery	↻			
L5.2	Monitor and review the Shire of Dowerin's Risk Management Framework and Profiling Tool	↻			
L5.3	Continue to provide prudent financial controls and compliance systems	↻			
Comment: Quarterly reviews of Risk Profiling Tool now in place.					
No	Strategy	Priority		Our Role	
L6	Integrated planning evolves and adapts to meet the changing context for Dowerin	1		Direct Delivery	

No	Key Actions	Nov 2019	Feb 2020	May 2020	Aug 2020
L6.1	Review IPR Framework	☐		●	
L6.2	Monitor and review IPR Suite of Plans	➢			
Comment: IPR Framework mini-review due to commence in March 2020; Quarterly monitoring of Corporate Business Plan now in place.					

No	Strategy	Priority		Our Role	
L7	Continue to advocate for and create partnerships that will benefit the Dowerin community through ongoing collaboration with neighbouring Shires and active participation in regional, state and national alliances	1		Direct Delivery Partner	
No	Key Actions	Nov 2019	Feb 2020	May 2020	Aug 2020
L7.1	Continue to progress regional collaboration by participating in Avon Regional Organisation of Councils strategies and similar regional partnerships	↻			
L7.2	Work collaboratively with relevant State agencies to plan for future service and infrastructure needs	↻			
Comment: AROC currently working on a Regional Waste Tender.					

POLICY NUMBER	-	
POLICY SUBJECT	-	Risk Management Policy
DATE ADOPTED	-	January 2008
POLICY OWNER	-	Chief Executive Officer
DISTRIBUTION	-	Management
RESPONSIBLE OFFICER	-	Chief Executive Officer
REVIEWED	-	May 2017
REVIEWED	-	

Objective

The Shire of Dowerin 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).

Definition of Management Process

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

The Shire of Dowerin considers risk management to be an essential management function in its operations. It recognises 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 Dowerin 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:
1. Implementation of policies;
2. Strategic planning;

REVIEW

3. Decision making;
4. Corporate governance and compliance;
5. Expenditure of large amounts of money;
6. New strategies and procedures;
7. Managing projects;
8. Introducing significant change;
9. The management of sensitive issues; and
10. Operational management.

Risk Management Objectives

1. The achievement of organisational goals and objectives;
2. Limited loss or damage to property and other assets;
3. Limited interruption to business continuity;
4. Positive public perception of Council;
5. The ongoing health and safety of all employees at the workplace;
6. Ensuring public safety within the Council's jurisdiction is not compromised; and
7. Application of equal opportunity principles in the workforce and the community.

Roles and Responsibilities

1. The CEO is responsible for the:

    a. Implementation of this Policy;
    b. Measurement and reporting on the performance of risk management;
    c. Review and improvement of this Policy and the Shire's Risk Management Framework at least annually or in response to a material event or change in circumstances.

2. Senior Managers, Coordinators 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.

3. 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.

4. All staff will, after appropriate training, adopt the principles of risk management and comply with all policies, procedures and practices relating to risk management.

5. All staff 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.

6. 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.

7. 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.

8. Council is committed morally and financially to the concept and resourcing of risk management.

Risk Assessment and Acceptance Criteria

The Shire quantified its generic 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.

REVIEW

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 organisation's appetite and are to be noted within the individual risk assessment.

Monitor & 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 Management Team and its Employees. It will be formally reviewed every two years.

Related Documentation

Risk Management Framework
Risk Management Profiling Tool

Related Legislation/Local Law/Policy

AS/NZS/ISO 3100: 2009

Related Delegation

Nil

REVIEW

Risk Assessment and Acceptance Criteria

MEASURES OF CONSEQUENCE									
RATING	PEOPLE	INTERRUPTION TO SERVICE	REPUTATION (Social / Community)	COMPLIANCE	PROPERTY (Plant, Equipment, Buildings)	NATURAL ENVIRONMENT	FINANCIAL IMPACT	PROJECT	
								Time	Budget
Insignificant (1)	Near-Miss	No material service interruption Less than 1 hour	Unsubstantiated, localised low impact on community trust, low profile or no media item.	No noticeable regulatory or statutory impact	Inconsequential damage.	Contained, reversible impact managed by on site response	Less than $5,000	Exceeds deadline by 5% of project timeline	Exceeds project budget by 5%
Minor (2)	First Aid Treatment	Short term temporary interruption – backlog cleared < 1 day	Substantiated, localised impact on community trust or low media item	Some temporary non compliances	Localised damage rectified by routine internal procedures	Contained, reversible impact managed by internal response	$5,001 - $50,000	Exceeds deadline by 10% of project timeline	Exceeds project budget by 10%
Moderate (3)	Medical treatment / Lost time injury <30 Days	Medium term temporary interruption – backlog cleared by additional resources < 1 Week	Substantiated, public embarrassment, moderate impact on community trust or moderate media profile	Short term non-compliance but with significant regulatory requirements imposed	Localised damage requiring external resources to rectify	Contained, reversible impact managed by external agencies	$50,001 - $200,000	Exceeds deadline by 15% of project timeline	Exceeds project budget by 15%
Major (4)	Lost time injury >30 Days / temporary disability	Prolonged interruption of services – additional resources; performance affected <1 Month	Substantiated, public embarrassment, widespread high impact on community trust, high media profile, third party actions	Non-compliance results in termination of services or imposed penalties to Shire / Officers	Significant damage requiring internal & external resources to rectify	Uncontained, reversible impact managed by a coordinated response from external agencies	$200,001 - $500,000	Exceeds deadline by 20% of project timeline	Exceeds project budget by 20%

REVIEW

MEASURES OF LIKELIHOOD

Level	Rating	Description	Frequency
5	Almost Certain	The event is expected to occur in most circumstances	More than once per year
4	Likely	The event will probably occur in most circumstances	At least once per year
3	Possible	The event should occur at some time	At least once in 3 years
2	Unlikely	The event could occur at some time	At least once in 10 years
1	Rare	The event may only occur in exceptional circumstances	Less than once in 15 years

RISK MATRIX

CONSEQUENCE		Insignificant	Minor	Moderate	Major	Catastrophic
LIKELIHOOD		1	2	3	4	5
Almost Certain	5	Moderate (5)	High (10)	High (15)	Extreme (20)	Extreme (25)
Likely	4	Low (4)	Moderate (8)	High (12)	High (16)	Extreme (20)
Possible	3	Low (3)	Moderate (6)	Moderate (9)	High (12)	High (15)
Unlikely	2	Low (2)	Low (4)	Moderate (6)	Moderate (8)	High (10)
Rare	1	Low (1)	Low (2)	Low (3)	Low (4)	Moderate (5)

REVIEW

RISK ACCEPTANCE CRITERIA

Risk Rank	Description	Criteria	Responsibility
LOW	Acceptable	Risk acceptable with adequate controls, managed by routine procedures and subject to annual monitoring	Operational Manager
MODERATE	Monitor	Risk acceptable with adequate controls, managed by specific procedures and subject to semi-annual monitoring	Operational Manager
HIGH	Urgent Attention Required	Risk acceptable with excellent controls, managed by senior management / executive and subject to monthly monitoring	Executive Manager/ CEO
EXTREME	Unacceptable	Risk only acceptable with excellent controls and all treatment plans to be explored and implemented where possible, managed by highest level of authority and subject to continuous monitoring	CEO / Council

EXISTING CONTROLS RATINGS

Rating	Foreseeable	Description
Effective	There is little scope for improvement.	1. Processes (Controls) operating as intended and aligned to Policies/Procedures. 2. Subject to ongoing monitoring. 3. Reviewed and tested regularly.
Adequate	There is some scope for improvement.	1. Processes (Controls) generally operating as intended, however inadequacies exist. 2. Nil or limited monitoring. 3. Reviewed and tested, but not regularly.
Inadequate	There is a need for improvement or action.	1. Processes (Controls) not operating as intended. 2. Processes (Controls) do not exist or are not being complied with. 3. Have not been reviewed or tested for some time.

DRAFT

Risk Management Policy

Policy Owner	Asset Management Officer
Distribution	Management
Responsible Officer	Chief Executive Officer
Date Adopted	23 May 2017
File Reference	ORGN-1017121432-35

Objective

The Shire of Dowerin 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)

Policy

The Shire of Dowerin 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 Dowerin 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.

Roles and Responsibilities

- Executive, managers and supervisors have the responsibility and accountability for ensuring that all staff manages 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.

Related Documentation

Nil

Related Legislation/Local Law/Policy/Procedure

AS/NZS/ISO 3100: 2009

Related Delegation

Review History
8 January 2008

SHIRE OF
DOWERIN
TIN DOG TERRITORY

Risk Management Framework

Reviewed August 2019

REVIEW

Table of Contents

Introduction 3

Governance 4

- Framework Review 4
- Operating Model 4
  - First Line of Defence 4
  - Second Line of Defence 4
  - Third Line of Defence 4
- Governance Structure 5
- Roles & Responsibilities 6
  - Council 6
  - Audit Committee 6
  - CEO / Executive Management Team 6
  - MCCS 6
  - Work Areas 6
- Document Structure (Framework) 7

Risk Management Procedures 8

- A: Scope, Context, Criteria 9
  - Organisational Criteria 9
  - Scope and Context 9
- B: Risk Identification 10
- C: Risk Analysis 11
  - Step 1 - Consider the Effectiveness of the Identified Key Controls 11
  - Step 2 – Determine the Residual Risk Rating 12
- D: Risk Evaluation 12
- E: Risk Treatment 12
- F: Communication & Consultation 12
- G: Monitoring & Review 12
- H: Recording & Reporting 13

Key Indicators 14

- Identification 14
- Validity of Source 14
- Tolerances 14
- Monitor & Review 14

Risk Acceptance 15

Appendix A – Risk Assessment and Acceptance Criteria 16

REVIEW

Introduction

The Shire of Dowerin's (Shire) Risk Management Policy in conjunction with the components of this document encompasses the Shire's Risk Management Framework. It sets out the Shire's approach to the identification, assessment, management, reporting and monitoring of risks. All components of this document are based on AS/NZS ISO 31000:2018 Risk management - Guidelines.

It is essential that all areas of the Shire adopt these procedures to ensure:

- Strong corporate governance;
- Compliance with relevant legislation, regulations and internal policies;
- Integrated Planning and Reporting requirements are met; and
- Uncertainty and its effects on objectives is understood.

This Framework aims to balance a documented, structured and systematic process with the current size and complexity of the Shire along with existing time, resource and workload pressures.

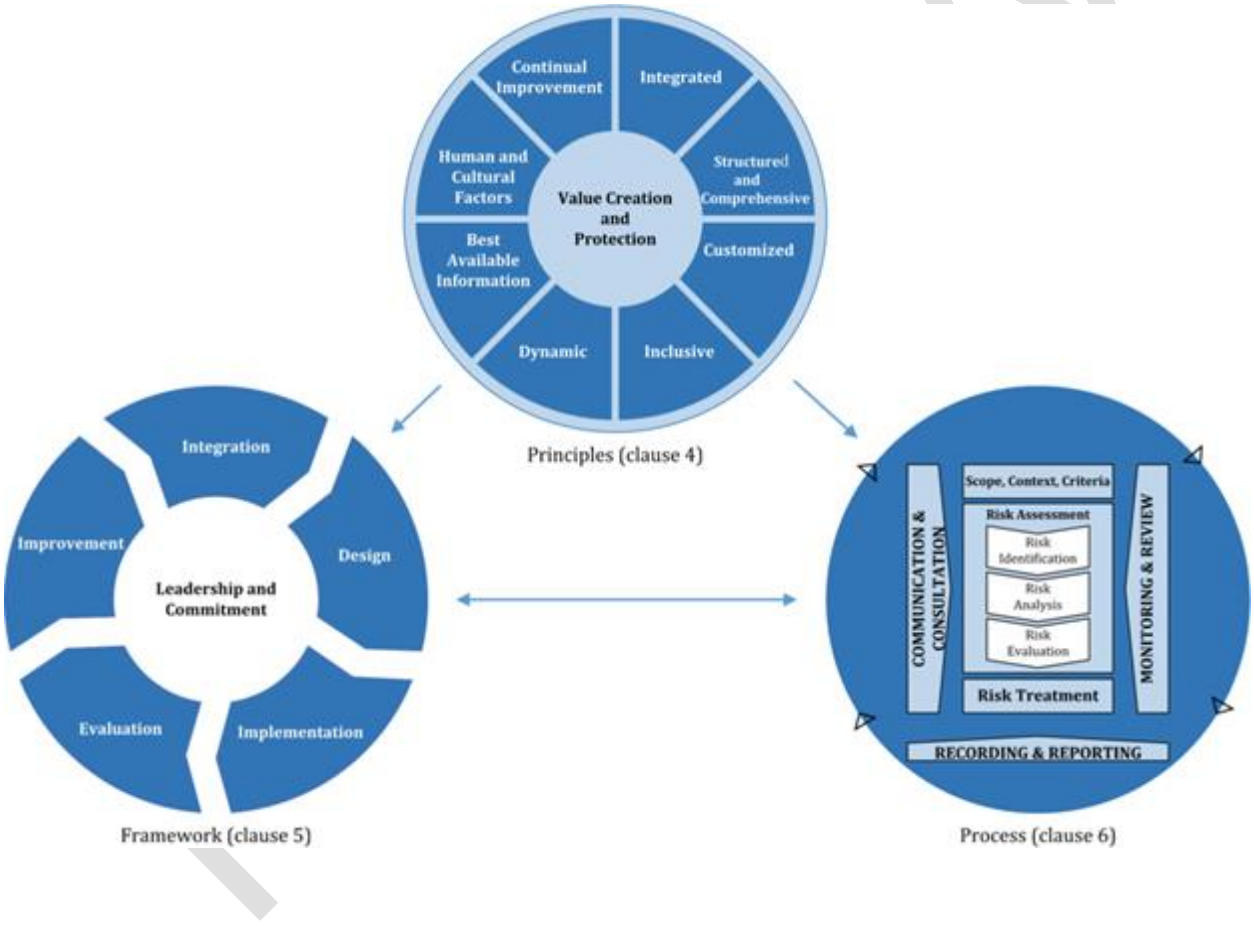


Figure 1: Relationship between the risk management principles, framework and process (Source: ISO 31000:2018)

Governance

Appropriate governance of risk management within the Shire provides:

- Transparency of decision making;
- Clear identification of the roles and responsibilities of the risk management functions; and
- An effective Governance Structure to support the risk framework.

Framework Review

The Risk Management Framework is to be reviewed for appropriateness and effectiveness at least every two years.

Operating Model

The Shire has adopted a "Three Lines of Defence" model for the management of risk. This model ensures roles; responsibilities and accountabilities for decision making are structured to demonstrate effective governance and assurance. By operating within the approved risk appetite and framework, the Council, Management and Community will have assurance that risks are managed effectively to support the delivery of the Strategic, Corporate & Operational Plans.

First Line of Defence

All operational areas of the Shire are considered '1st Line'. They are responsible for ensuring that risks (within their scope of operations) are identified, assessed, managed, monitored and reported. Ultimately, they bear ownership and responsibility for losses or opportunities from the realisation of risk. Associated responsibilities include:

- Establishing and implementing appropriate processes and controls for the management of risk to include OHS policies and procedures (in line with these procedures);
- Undertaking adequate analysis (data capture) to support decision making regarding of risk matters;
- Preparation of risk acceptance proposals where necessary, based on level of residual risk; and
- Retention of primary accountability for the ongoing management of their risk and control environment.

Second Line of Defence

The Manager Corporate & Community Services ("MCCS") acts as the primary '2nd Line'. This position manages the framework for risk management. They draft and implement the governance procedures and provide the necessary tools and training to support the 1st line process.

Maintaining oversight on the application of the framework provides a transparent view and level of assurance to the 1st & 3rd lines on the risk and control environment. Support can be provided by additional oversight functions completed by other 1st Line Teams (where applicable). Additional responsibilities include:

- Providing independent oversight of risk matters as required;
- Monitoring and reporting on emerging risks; and
- Co-ordinating the Shire's risk reporting for the CEO & Management Team and the Audit Committee.

Third Line of Defence

Internal & External Audits are the third line of defence providing independent assurance to the Council, Audit Committee and Shire Management on the effectiveness of business operations and oversight frameworks (1st & 2nd Line).

Internal Audit	Appointed by the CEO to report on the adequacy and effectiveness of internal control processes and procedures. The scope will be determined by the CEO with input from the Audit Committee.

PREVIEW

External Audit — Appointed by the Council on the recommendation of the Audit Committee to report independently to the President and CEO on the annual financial statements only.

Governance Structure

The following diagram depicts the current operating structure for risk management within the Shire.

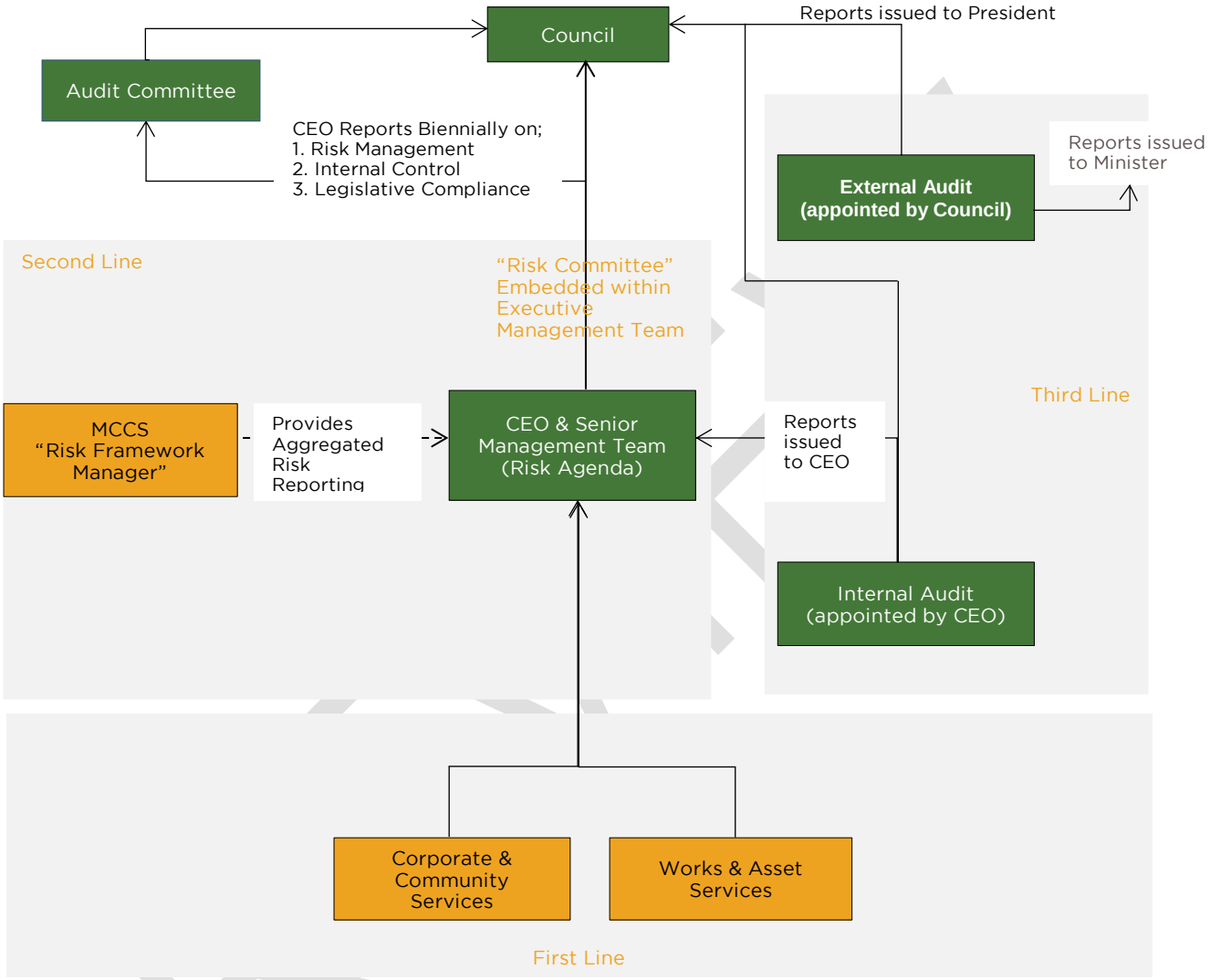


Figure 2: Operating Model

Roles & Responsibilities

Council

- Review and approve the Shire's Risk Management Policy and Risk Assessment & Acceptance Criteria;
- Appoint / Engage External Auditors to report on financial statements annually; and
- Establish and maintain an Audit Committee in terms of the *Local Government Act 1995*.

Audit Committee

- Regular review of the appropriate and effectiveness of the Framework;
- Support Council to provide effective corporate governance;
- Oversight of all matters that relate to the conduct of External Audits; and
- Must be independent, objective and autonomous in deliberations.

CEO / Senior Management Team

- Appoint Internal Auditors as required under *Local Government (Audit) Regulations 1996*;
- Liaise with Council in relation to risk acceptance requirements;
- Approve and review the appropriateness and effectiveness of the Risk Management Framework;
- Drive consistent embedding of a risk management culture;
- Analyse and discuss emerging risks, issues and trends;
- Document decisions and actions arising from 'risk matters'; and
- Own and manage the Risk Profiles at Shire Level.

MCCS

- Oversee and facilitate the Risk Management Framework; and
- Support reporting requirements for Risk matters.

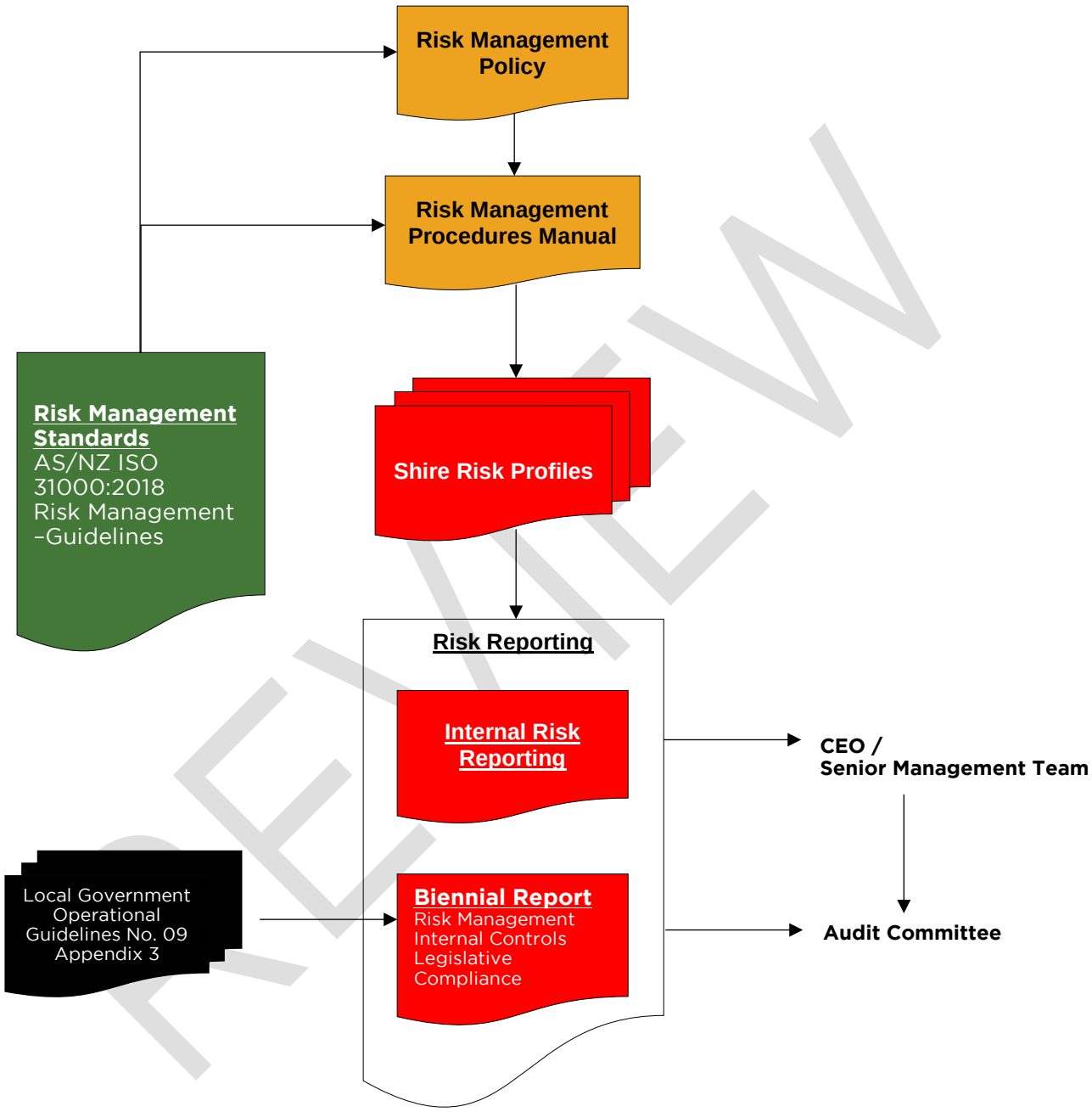
Work Areas

- Drive risk management culture within work areas;
- Own, manage and report on specific risk issues as required;
- Assist in the Risk & Control Management process as required;
- Highlight any emerging risks or issues accordingly; and
- Incorporate 'Risk Management' into management meetings by incorporating the following agenda items:
    - New or emerging risks;
    - Review existing risks;
    - Control adequacy; and
    - Outstanding issues and actions.

REVIEW

Document Structure (Framework)

The following diagram depicts the relationship between the Risk Management Policy, Procedures and supporting documentation and reports.



REVIEW

Figure 3: Document Structure

Risk Management Procedures

All Work Areas of the Shire are required to assess and manage the Risk Profiles on an ongoing basis. Each Manager, in conjunction with the CEO are accountable for ensuring that Risk Profiles are:

- Reflective of the material risk landscape of the Shire;
- Reviewed on at least a six-monthly basis, unless there has been a material restructure or change in the risk and control environment; and
- Maintained in the standard format.

This process is supported using key data inputs, workshops and ongoing business engagement.

The risk management process is standardised across all areas of the Shire. The following diagram outlines that process with the following commentary providing broad descriptions of each step.

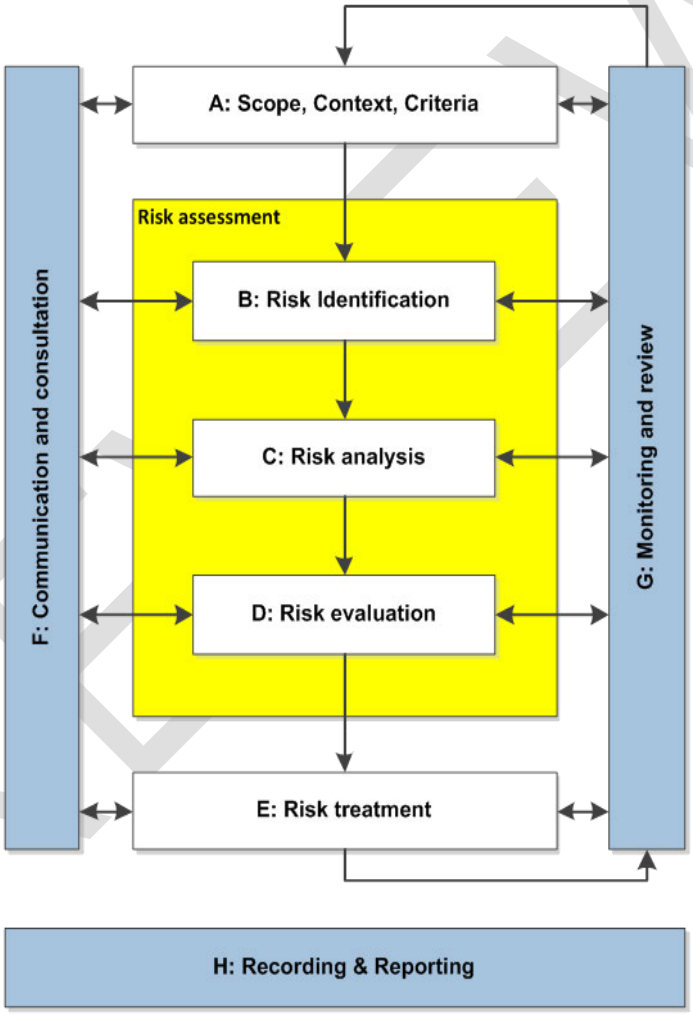


Figure 4: Risk Management Process ISO 31000:2018

PREVIEW

A: Scope, Context, Criteria

The first step in the risk management process is to understand the context within which the risks are to be assessed and what is being assessed. This forms two elements:

Organisational Criteria
This includes the Risk Assessment and Acceptance Criteria (Appendix A) and any other tolerance tables as developed.

All risk assessments are to utilise these documents to allow consistent and comparable risk information to be developed and considered within planning and decision-making processes.

Scope and Context
To direct the identification of risks, the specific risk assessment context is to be determined prior to and used within the risk assessment process. Risk sources can be internal or external.

For specific risk assessment purposes, the Shire has three levels of risk assessment context:

Strategic Context
These risks are associated with achieving the organisation's long-term objectives. Inputs to establishing the strategic risk assessment context may include:

- Organisations Vision / Mission;
- Stakeholder Analysis;
- Environment Scan / SWOT Analysis; and
- Strategies / Objectives / Goals (Integrated Planning & Reporting).

Operational Context
The Shire's day to day activities, functions, infrastructure and services. Prior to identifying operational risks, the operational area should identify its key activities i.e. what are they trying to achieve? In addition, existing Risk Themes are to be utilised where possible to assist in the identification of related risks.

These Risk Themes are expected to change over time however to ensure consistency amendments must be approved by the Senior Management Group.

Project Context
Project Risk has two main components:

- Direct refers to the risks that may arise as a result of project activity (i.e. impacting on process, resources or IT systems) which may prevent the Shire from meeting its objectives; and
- Indirect refers to the risks which threaten the delivery of project outcomes.

In addition to understanding what is to be assessed, it is also important to understand who are the key stakeholders or areas of expertise that may need to be included within the risk assessment.

PREVIEW

B: Risk Identification

Once the context has been determined the next step is to identify risks. This is the process of finding, recognising and describing risks. Risks are described as the point along an event sequence where control has been lost. An event sequence is shown below:

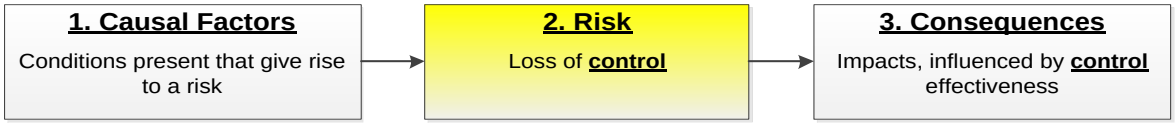


Figure 5: Event (Risk) Sequence

Using the specific risk assessment context as the foundation and in conjunction with relevant stakeholders, raise the below questions, capture and review the information within each defined risk theme / profile. The objective is to identify potential risks that could stop the Shire from achieving its goals.

These questions / considerations are a guide only as unidentified risks can cause major losses through missed opportunities or adverse events occurring.

'Brainstorming' will always produce a broad range of ideas and all things should be considered as potential risks. Relevant stakeholders are considered to be the subject experts when considering potential risks to the objectives of the work environment and should be included in all risk assessments being undertaken. Key risks to the organisation/unit can then be identified and captured within the risk profiles, e.g.:

- What can go wrong? / What are areas of uncertainty? (Risk Description);
- How may this risk eventuate? (Potential Causes);
- What are the current measurable activities that mitigate this risk from eventuating? (Controls); and
- What are the potential consequential outcomes of the risk eventuating? (Consequences).

This step is also where opportunities for enhancement or gain across the organisation can be found. Risks can also be identified through other business operations including policy and procedure development, internal and external audits, customer complaints, incidents and systems analysis.

Risk Description – describe what the risk is and specifically where control may be lost. They can also be described as an event. They are not to be confused with outcomes following an event or the consequences of an event.

Potential Causes – are the conditions that may present or the failures that may lead to the event or point in time when control is lost (risk).

Controls – are measures that modify risk. At this point in the process only existing controls should be considered. They must meet the following three tests to be considered:

1. Is it an object, technological system and / or human action?
2. Does it, by itself, arrest or mitigate an unwanted sequence?
3. Is the required performance specifiable, measurable and auditable?

Consequences – need to be impacts to the Shire. These can be health of staff, visitors or contractors; financial; interruption to services provided; non-compliance; damage to reputation or other assets or the environment. There is no need to determine the level of impact at this stage.

REVIEW

C: Risk Analysis

To analyse identified risks the Shire's Risk Assessment and Acceptance Criteria (Appendix A) is applied.

Step 1 - Consider the Effectiveness of the Identified Key Controls
Controls need to be considered from three perspectives:
1. The design effectiveness of each individual key control
2. The operating effectiveness of each individual key control
3. The overall or combined effectiveness of all identified key controls

Design Effectiveness
This process reviews the 'design' of the controls to understand their potential for mitigating the risk without any 'operating' influences. Controls that have inadequate designs will never be effective, no matter if it is performed perfectly every time.

There are four components to be considered in reviewing existing controls or developing new ones:
1. Completeness – the ability to ensure the process is completed once. How will the control ensure that the process is not lost or forgotten, or potentially completed multiple times?
2. Accuracy – the ability to ensure the process is completed accurately, that no errors are made or components of the process missed.
3. Timeliness – the ability to ensure that the process is completed within statutory timeframes or internal service level requirements.
4. Theft / Fraud – the ability to protect against internal misconduct or external theft / fraud-based activities.

It is very difficult to have a single control that meets all the above requirements when viewed against a Risk Theme. It is imperative that all controls are considered so that the above components can be met across a number of controls.

Operating Effectiveness
This process reviews how well the control design is being applied. Similar to above, the best designed control will have no impact if it is not applied correctly.
As this generally relates to the human element of control application there are four main approaches that can be employed by management or the risk function to assist in determining the operating effectiveness and / or performance management:
1. Re-perform – this is only applicable for those short timeframe processes where they can be re-performed. The objective is to re-perform the same task, following the design to ensure that the same outcome is achieved.
2. Inspect – review the outcome of the task / process to provide assurance that the desired outcome was achieved.
3. Observe – physically watch the task / process being performed.
4. Inquire – through discussions with individuals / groups determine the relevant understanding of the process and how all components are required to mitigate any associated risk.

Overall Effectiveness
This is the value of the combined controls in mitigating the risk. All factors as detailed above are to be taken into account so that a considered qualitative value can be applied to the 'control' component of risk analysis.

The criterion for applying a value to the overall control is the same as for individual controls and can be found in Appendix A under 'Existing Control Ratings'.

PREVIEW

Step 2 – Determine the Residual Risk Rating
There are three components to this step:

1. Determine relevant consequence categories and rate the 'probable worst consequence' if the risk eventuated with existing controls in place. This is not the worst-case scenario but rather a qualitative judgement of the worst scenario that is probable or foreseeable (Consequence).
2. Determine how likely it is that the 'probable worst consequence' will eventuate with existing controls in place (Likelihood).
3. Using the Shire's Risk Matrix, combine the measures of Consequence and Likelihood to determine the Risk Rating (Risk Matrix).

D: Risk Evaluation

Risk evaluation takes the Residual Risk Rating and applies it to the Shire's Risk Acceptance Criteria (Appendix A) to determine whether the risk is within acceptable levels to the Shire. The outcome of this evaluation will determine whether the risk is Low; Moderate; High or Extreme.

It will also determine through the use of the Risk Acceptance Criteria what (if any) high level actions or treatments need to be implemented.

Note: Individual Risks or Issues may need to be escalated due to its urgency, level of risk or systemic nature.

E: Risk Treatment

There are generally two requirements following the evaluation of risks:

1. In all cases, regardless of the Residual Risk Rating; controls that are rated 'Inadequate' must have a treatment plan (action) to improve the control effectiveness to at least 'Adequate'.
2. If the Residual Risk Rating is High or Extreme, treatment plans must be implemented to either:
    a. Reduce the consequence of the risk materialising;
    b. Reduce the likelihood of occurrence; and
    (Note: these should have the desired effect of reducing the Risk Rating to at least Moderate)
    c. Improve the effectiveness of the overall controls to 'Effective' and obtain delegated approval to accept the risk as per the Risk Acceptance Criteria.

Once a treatment has been fully implemented, the MCCS is to review the risk information and acceptance decision with the treatment now noted as a control and those risks that are acceptable then become subject to the monitor and review process (Refer to Risk Acceptance section).

F: Communication & Consultation

Effective communication and consultation are essential to ensure that those responsible for managing risk and those with a vested interest, understand the basis on which decisions are made and why particular treatment / action options are selected or the reasons to accept risks have changed.

As risk is defined as the effect of uncertainty on objectives, consulting with relevant stakeholders assists in the reduction of components of uncertainty. Communicating these risks and the information surrounding the event sequence ensures decisions are based on the best available knowledge.

G: Monitoring & Review

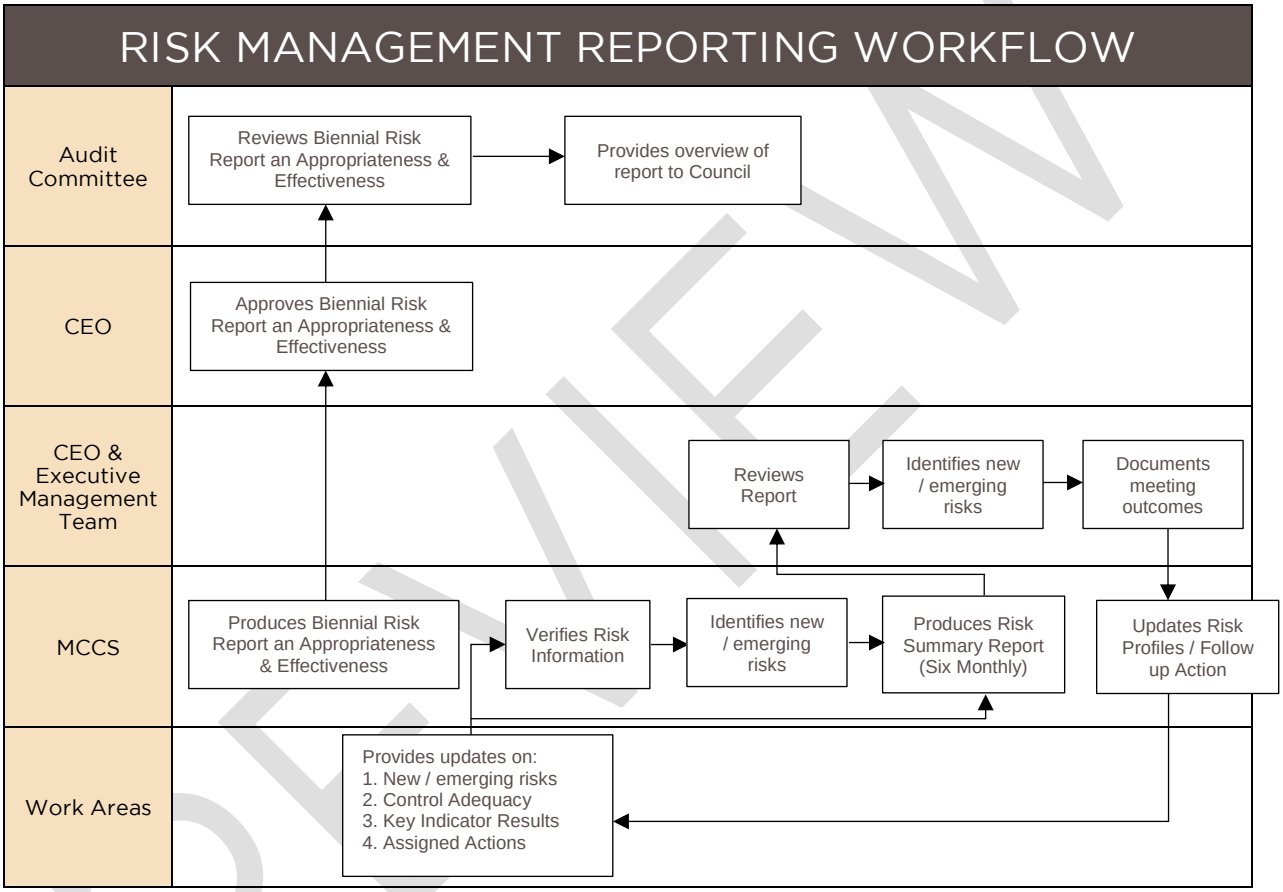
It is essential to monitor and review the management of risks as changing circumstances may result in some risks increasing or decreasing in significance. By regularly reviewing the effectiveness and efficiency of controls and the appropriateness of treatment / action options

REVIEW

selected, it can be determined if the organisation's resources are being put to the best use possible. During the quarterly reporting process, management are required to review any risks within their area and follow up on controls and treatments / action that are mitigating those risks. Monitoring and the reviewing of risks, controls and treatments also applies to any actions / treatments to come out of an internal audit. The audit report will provide recommendations that effectively are treatments for controls and risks that have been tested during an internal review.

H: Recording & Reporting

The following diagram provides a high-level view of the ongoing reporting process for Risk Management.



Each Work Area is responsible for ensuring:

- They continually provide updates in relation to new / emerging risks, control effectiveness and key indicator performance to the MCCS;
- Work through assigned actions and provide relevant updates to the MCCS; and
- Risks / Issues reported to the CEO & Senior Management Team are reflective of the current risk and control environment.

The MCCS is responsible for:

- Ensuring Shire Risk Profiles are formally reviewed and updated (at least on a six-monthly basis or when there has been a material restructure, change in risk ownership or change in the external environment);
- Six Monthly Risk Reporting to the CEO & Senior Management Team (contains an overview of the Risk Summary for the Shire); and
- Annual Compliance Audit Return completion and lodgement.

REVIEW

Key Indicators

Key Indicators (KI's) may be used for monitoring and validating key risks and controls. The following describes the process for the creation and reporting of KIs:

- Identification
- Validity of Source
- Tolerances
- Monitor & Review

Identification

The following represent the minimum standards when identifying appropriate KI's key risks and controls:

- That the risk description and casual factors are fully understood;
- The KI is fully relevant to the risk or control;
- Predictive KI's are adopted wherever possible; and
- KI's provide adequate coverage over monitoring key risks and controls.

Validity of Source

In all cases an assessment of the data quality; integrity and frequency must be completed to ensure that the KI data is relevant to the risk or Control.

Where possible the source of the data (data owner) should be independent to the risk owner. Overlapping KI's can be used to provide a level of assurance on data integrity.

If the data or source changes during the life of the KI, the data is required to be revalidated to ensure reporting of the KI against a consistent baseline.

Tolerances

Tolerances are set based on the Shire's Risk Appetite. They are set and agreed over three levels:

- Green – within appetite; no action required;
- Amber – the KI must be closely monitored, and relevant actions set and implemented to bring the measure back within the green tolerance; and
- Red – outside risk appetite; the KI must be escalated to the CEO & Senior Management Team where appropriate management actions are to be set and implemented to bring the measure back within appetite

Monitor & Review

All active KI's are updated as per their stated frequency of the data source.

When monitoring and reviewing KI's the overall trend must be considered over a longer timeframe instead of individual data movements. The trend of the KI is specifically used as an input to the risk and control assessment.

REVIEW

Risk Acceptance

Day to day operational management decisions are generally managed under the delegated authority framework of the Shire.

Risk Acceptance is a management decision to accept (within authority levels) material risks which will remain outside appetite framework (refer Appendix A – Risk Assessment & Acceptance Criteria) for an extended period of time (generally 3 months or longer).

The following process is designed to provide a framework for those identified risks.
The 'Risk Acceptance' must be in writing, signed by the relevant Manager and cover:

- A description of the risk;
- An assessment of the risk (e.g. impact consequence, materiality, likelihood, working assumptions, etc.);
- Details of any mitigating action plans or treatment options in place; and
- An estimate of the expected remediation date.

A lack of budget / funding to remediate a material risk outside appetite is not sufficient justification in itself to accept a risk.

Accepted risks must be continually reviewed through standard operating reporting structure (i.e. Management Team).

REVIEW

Appendix A – Risk Assessment and Acceptance Criteria

MEASURES OF CONSEQUENCE									
RATING	PEOPLE	INTERRUPTION TO SERVICE	REPUTATION (Social / Community)	COMPLIANCE	PROPERTY (Plant, Equipment, Buildings)	NATURAL ENVIRONMENT	FINANCIAL IMPACT	PROJECT	
								Time	Budget
Insignificant (1)	Near-Miss	No material service interruption Less than 1 hour	Unsubstantiated, localised low impact on community trust, low profile or no media item.	No noticeable regulatory or statutory impact	Inconsequential damage.	Contained, reversible impact managed by on site response	Less than $5,000	Exceeds deadline by 5% of project timeline	Exceeds project budget by 5%
Minor (2)	First Aid Treatment	Short term temporary interruption – backlog cleared < 1 day	Substantiated, localised impact on community trust or low media item	Some temporary non compliances	Localised damage rectified by routine internal procedures	Contained, reversible impact managed by internal response	$5,001 - $50,000	Exceeds deadline by 10% of project timeline	Exceeds project budget by 10%
Moderate (3)	Medical treatment / Lost time injury <30 Days	Medium term temporary interruption – backlog cleared by additional resources < 1 Week	Substantiated, public embarrassment, moderate impact on community trust or moderate media profile	Short term non-compliance but with significant regulatory requirements imposed	Localised damage requiring external resources to rectify	Contained, reversible impact managed by external agencies	$50,001 - $200,000	Exceeds deadline by 15% of project timeline	Exceeds project budget by 15%
Major (4)	Lost time injury >30 Days / temporary disability	Prolonged interruption of services – additional resources; performance affected <1 Month	Substantiated, public embarrassment, widespread high impact on community trust, high media profile, third party actions	Non-compliance results in termination of services or imposed penalties to Shire / Officers	Significant damage requiring internal & external resources to rectify	Uncontained, reversible impact managed by a coordinated response from external agencies	$200,001 - $500,000	Exceeds deadline by 20% of project timeline	Exceeds project budget by 20%

REVIEW

MEASURES OF LIKELIHOOD			
Level	Rating	Description	Frequency
5	Almost Certain	The event is expected to occur in most circumstances	More than once per year
4	Likely	The event will probably occur in most circumstances	At least once per year
3	Possible	The event should occur at some time	At least once in 3 years
2	Unlikely	The event could occur at some time	At least once in 10 years
1	Rare	The event may only occur in exceptional circumstances	Less than once in 15 years

RISK MATRIX						
CONSEQUENCE		Insignificant	Minor	Moderate	Major	Catastrophic
LIKELIHOOD		1	2	3	4	5
Almost Certain	5	Moderate (5)	High (10)	High (15)	Extreme (20)	Extreme (25)
Likely	4	Low (4)	Moderate (8)	High (12)	High (16)	Extreme (20)
Possible	3	Low (3)	Moderate (6)	Moderate (9)	High (12)	High (15)
Unlikely	2	Low (2)	Low (4)	Moderate (6)	Moderate (8)	High (10)
Rare	1	Low (1)	Low (2)	Low (3)	Low (4)	Moderate (5)

VIEW

RISK ACCEPTANCE CRITERIA			
Risk Rank	Description	Criteria	Responsibility
LOW	Acceptable	Risk acceptable with adequate controls, managed by routine procedures and subject to annual monitoring	Operational Manager
MODERATE	Monitor	Risk acceptable with adequate controls, managed by specific procedures and subject to semi-annual monitoring	Operational Manager
HIGH	Urgent Attention Required	Risk acceptable with excellent controls, managed by senior management / executive and subject to monthly monitoring	Executive Manager/ CEO
EXTREME	Unacceptable	Risk only acceptable with excellent controls and all treatment plans to be explored and implemented where possible, managed by highest level of authority and subject to continuous monitoring	CEO / Council

EXISTING CONTROLS RATINGS		
Rating	Foreseeable	Description
Effective	There is little scope for improvement.	Processes (Controls) operating as intended and aligned to Policies / Procedures. Subject to ongoing monitoring. Reviewed and tested regularly.
Adequate	There is some scope for improvement.	Processes (Controls) generally operating as intended, however inadequacies exist. Nil or limited monitoring. Reviewed and tested, but not regularly.
Inadequate	There is a need for improvement or action.	Processes (Controls) not operating as intended. Processes (Controls) do not exist or are not being complied with. Have not been reviewed or tested for some time.

REVIEW

Shire of Dowerin
Risk Dashboard Report - October 2019

Asset Management Practices

Risk	Control
Moderate	Adequate

Failure or reduction in service of infrastructure assets, plant, equipment or machinery.
These include fleet, buildings, roads and playgrounds and all other assets during their lifecycle from procurement to disposal.

Actions	Due Date	Responsibility
Revaluation of Road Assets	*Dec-19*	*MWC*
Update RAMM with Revaluation Data	*Mar-20*	*MWC*
Link Building Maintenance Schedule to AMP	*Mar-20*	*MWC / MCCS*
Review Asset Management Plan	*Dec-20*	*SMT*
Develop Inspection Schedule for Asset Classes	*Feb-20*	*MWA / TWC*
Review LTFP and Link to AMP	*Feb-21*	*MCCS / MWA / CEO*

Business & Community Disruption

Risk	Control
Moderate	Adequate

Failure to adequately prepare and respond to events that cause disruption to the local community and / or normal business activities. This could be a natural disaster, weather event, or an act carried out by an external party (e.g. sabotage / terrorism).

Actions	Due Date	Responsibility
Review LEMA	*Nov-19*	*CEO*
Annual LEM Exercise Undertaken	*Apr-20*	*CEO*
Develop Business Continuity Plan	*Nov-19*	*CEO*
Business Continuity Plan Drill to be Undertaken Annually	*May-20*	*CEO / MCCS*
Fire Breaks Inspected and Enforced Annually	*Nov-19*	*MCCS*
Fire Fighting Equipment Maintained and Serviced	*Jan-20*	*MWA*
Wardens (Internal) - Training of New Wardens	*Jun-20*	*SMT*
Admin Generator Maintained and Serviced	*Jan-20*	*MWA*
Develop Facility Risk Management Plan	*Dec-21*	*CEO / MCCS*

Failure to fulfil Compliance Requirements (Statutory and Regulatory)

Risk	Control
Moderate	Adequate

Failure to correctly identify, interpret, assess, respond and communicate laws and regulations as a result of an inadequate compliance framework. This includes, new or proposed regulatory and legislative changes, in addition to the failure to maintain updated internal & public domain legal documentation.

Actions	Due Date	Responsibility
Develop Governance Framework	*Jun-20*	*CEO / EGO*
Contiunue Implementation of Training Program for Councillors and Staff	*Ongoing*	*SMT / EGO*
Review Councillor Induction Manual	*Dec-19*	*EGO*

Document Management Processes

Risk	Control
Moderate	Adequate

Failure to adequately capture, store, archive, retrieve, provide or dispose of documentation.

Actions	Due Date	Responsibility
Investigate Upgrades Required to Archive Room to Improve Compliance With SRO	*Jun-20*	*MCCS*
Develop Information Management Framework	*Jun-20*	*CSRO*
Information Management Staff Training	*Ongoing*	*MCCS*
Review Record Keeping Plan	*Jun-21*	*MCCS*

Employment Practices

Risk	Control
Moderate	Adequate

Failure to effectively manage and lead human resources (full-time, part-time, casuals, temporary and volunteers).

Actions	Due Date	Responsibility
Develop a Health and Wellbeing Program	*Dec-19*	*SMT*
Implement Strategies Identified in the Workforce Plan	*Ongoing*	*SMT*
Further Develop Human Resource Management Framework	*Jun-20*	*SMT*
Training Needs Analysis and Training Register	*Mar-20*	*CEO / CSRO*
Review Staff Induction Process	*Mar-20*	*MCCS*

Engagement Practices

Risk	Control
Moderate	Adequate

Failure to maintain effective working relationships with the Community (including local Media), Stakeholders, Key Private Sector Companies, Government Agencies and / or Elected Members. This includes activities where communication, feedback or consultation is required and where it is in the best interests to do so.

Actions	Due Date	Responsibility
Review and Document Complaints Handling Process	*Jun-20*	*CEO / MCCS*
Develop a Community Engagement Policy Framework	*Jun-20*	*SMT / CDO*
Conduct Community Satisfaction Survey	*Jun-20*	*CEO / CDO*
Develop Process For Customer Response Requests	*Jun-20*	*MCCS*
Develop Complaint Register	*Jun-20*	*MCCS*

Environment Management

Risk	Control
Moderate	Adequate

Inadequate prevention, identification, enforcement and management of environmental issues.

Actions	Due Date	Responsibility
Review Waste Water Management Program	*Jun-20*	*MWA*
Develop Waste Management Plan	*Jun-21*	*MWA*
Complete Audit of Sewerage System	*Jun-20*	*MWA*
Address Compliance of Waste Management	*Ongoing*	*MWA*
Address Compliance of Waste Water Re-Use	*Jun-21*	*MWA*

Errors, Omissions & Delays

Risk	Control
Low	Adequate

Errors, omissions or delays in operational activities as a result of unintentional errors or failure to follow due process including incomplete, inadequate or inaccuracies in advisory activities to customers or internal staff.

Actions	Due Date	Responsibility
Review Code of Conduct	*Jun-20*	*CEO / EGO*
Overall Control Ratings:	*Ongoing*	*CEO / MCCS*

External Theft & Fraud (Including Cyber)

Risk	Control
Low	Adequate

Loss of funds, assets, data or unauthorised access, (whether attempted or successful) by external parties, through any means (including electronic).

Actions	Due Date	Responsibility
Review Access Controls to Include Key Register	*Dec-19*	*SMT*
Photographic Record of Assets	*Jun-20*	*MWA / TWC*
Implement Quarterly Schedule For Changing Passwords	*Ongoing*	*MCCS*
Review Security and Storage of Records	*Dec-21*	*MCCS*
Document Financial Management System	*Ongoing*	*MCCS*

Shire of Dowerin
Risk Dashboard Report - October 2019

Management of Facilities / Venues / Events	Risk	Control
	Low	Adequate

Failure to effectively manage the day to day operations of facilities, venues and / or events.

Actions	Due Date	Responsibility
Develop Event Mangement Framework	Mar-20	CDO
Develop Recreational Reserves Management System	Dec-20	MCCS / MWA
Create Inspection and Maintenance Schedules for Event Equipment	Mar-20	CDO
Undertake Community Facilities Review	Jun-20	CEO / CDO
Public Buildings Inspected for Compliance	Dec-20	MWA

IT or Communication Systems and Infrastructure	Risk	Control
	Moderate	Inadequate

Disruption, financial loss or damage to reputation from a failure of information technology systems. Instability, degradation of performance, or other failure of IT or communication system or infrastructure causing the inability to continue business activities and provide services to the community. This may or may not result in IT Disaster Recovery Plans being invoked.

Actions	Due Date	Responsibility
Develop Business Continuity Plan	Oct-19	CEO
Review IT Management Service Level Agreement	Mar-20	MCCS
Develop IT & Communication Framework	Dec-20	MCCS
Develop IT Infrastructure Maintenance and Replacement Program	Dec-20	MCCS

Misconduct	Risk	Control
	Low	Inadequate

Intentional activities intended to circumvent the Code of Conduct or activities in excess of authority, which circumvent endorsed policies, procedures or delegated authority.

Actions	Due Date	Responsibility
Document Finanical Management System	Jun-20	MCCS
Develop IT & Communication Framework	Jun-20	MCCS
Document Human Resource Management Framework	Jun-20	CEO / MCCS
Document Governance Management Framework	Jun-20	CEO / EGO
Review of Code of Conduct	Jun-20	CEO / EGO

Project / Change Management	Risk	Control
	Low	Adequate

Inadequate analysis, design, delivery and / or status reporting of change initiatives, resulting in additional expenses, time delays or scope changes.

Actions	Due Date	Responsibility
Develop Project Management Methodlogy and Framework	Dec-20	MCCS
Develop Communition and Engagement Framework	Jun-20	CEO / CDO

Safety and Security Practices	Risk	Control
	Low	Adequate

Non-compliance with the Occupation Safety & Health Act, associated regulations and standards. It is also the inability to ensure the physical security requirements of staff, contractors and visitors. Other considerations are negligence or carelessness.

Actions	Due Date	Responsibility
Review Hazard Register	Jun-20	MWA / TWC
Complete Staff Training Register	Feb-20	SMT
Conduct Monthly Workplace Inspections	Jan-20	MWA / TWC
Finalise Safe Work Method Statements (SWMS) Library	Dec-20	MWA / TWC
Assess Shire Building and Facility Safety and Security	Dec-20	MWA / TWC
Develop Isolated Worker Management Protocol	Jun-20	MWA / TWC
Re-Establish OSH Committee	Jan-20	MWA / TWC
Develop Emergency in Facilitiies Management Plan	Jun-21	CEO
Review Contractor Inductions and Register	Jun-20	MWA / TWC

Supplier / Contract Management	Risk	Control
	Moderate	Adequate

Inadequate management of external Suppliers, Contractors, IT Vendors or Consultants engaged for core operations. This includes issues that arise from the ongoing supply of services or failures in contract management & monitoring processes.

Actions	Due Date	Responsibility
Review Purchasing Policy	Dec-19	CEO / MCCS
Develop Standardised Contracts	Ongoing	MCCS
Document Financial Controls	Ongoing	MCCS
Develop Appropriate Financial Reporting Tools	Ongoing	CEO / MCCS
Develop Centralised Contract Management System	Ongoing	SMT

Measures of Consequence

RATING	PEOPLE	INTERRUPTION TO SERVICE	REPUTATION (Social / Community)	COMPLIANCE	PROPERTY (Plant, Equip, Buildings)	NATURAL ENVIRONMENT	FINANCIAL IMPACT	PROJECT	
								Time	Budget
Insignificant (1)	Near-Miss	No material service interruption Less than 1 hour	Unsubstantiated, localised low impact on community trust, low profile or no media item.	No noticeable regulatory or statutory impact	Inconsequential damage.	Contained, reversible impact managed by on site response	Less than $5,000	Exceeds deadline by 5% of project timeline	Exceeds project budget by 5%
Minor (2)	First Aid Treatment	Short term temporary interruption – backlog cleared < 1 day	Substantiated, localised impact on community trust or low media item	Some temporary non compliances	Localised damage rectified by routine internal procedures	Contained, reversible impact managed by internal response	$5,001 - $50,000	Exceeds deadline by 10% of project timeline	Exceeds project budget by 10%
Moderate (3)	Medical treatment / Lost time injury <30 Days	Medium term temporary interruption – backlog cleared by additional resources < 1 Week	Substantiated, public embarrassment, moderate impact on community trust or moderate media profile	Short term non- compliance but with significant regulatory requirements imposed	Localised damage requiring external resources to rectify	Contained, reversible impact managed by external agencies	$50,001 - $200,000	Exceeds deadline by 15% of project timeline	Exceeds project budget by 15%
Major (4)	Lost time injury >30 Days / temporary disability	Prolonged interruption of services – additional resources; performance affected <1 Month	Substantiated, public embarrassment, widespread high impact on community trust, high media profile, third party actions	Non-compliance results in termination of services or imposed penalties to Shire / Officers	Significant damage requiring internal & external resources to rectify	Uncontained, reversible impact managed by a coordinated response from external agencies	$200,001 - $500,000	Exceeds deadline by 20% of project timeline	Exceeds project budget by 20%
Extreme (5)	Fatality, permanent disability	Indeterminate prolonged interruption of services non- performance > 1 month	Substantiated, public embarrassment, widespread loss of community trust, high widespread multiple media profile, third party actions	Non-compliance results in litigation, criminal charges or significant damages or penalties to Shire / Officers	Extensive damage requiring prolonged period of restitution. Complete loss of plant, equipment & building	Uncontained, irreversible impact	More than $500,000	Exceeds deadline by 25% of project timeline	Exceeds project budget by 25%

Measures of Likelihood

Rating	Description	Frequency
Almost Certain (5)	The event is expected to occur in most circumstances	More than once per year
Likely (4)	The event will probably occur in most circumstances	At least once per year
Possible (3)	The event should occur at some time	At least once in 3 years
Unlikely (2)	The event could occur at some time	At least once in 10 years
Rare (1)	The event may only occur in exceptional circumstances	Less than once in 15 years

Risk Matrix

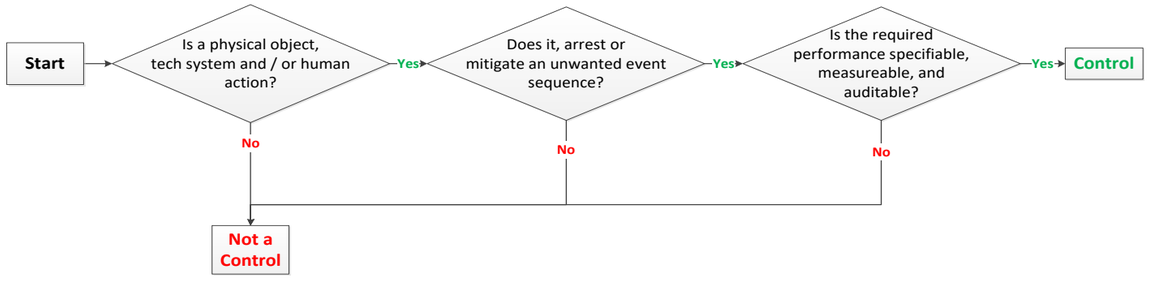
	Insignificant (1)	Minor (2)	Moderate (3)	Major (4)	Catastrophic (5)
Almost Certain (5)	Moderate (5)	High (10)	High (15)	Extreme (20)	Extreme (25)
Likely (4)	Low (4)	Moderate (8)	High (12)	High (16)	Extreme (20)
Possible (3)	Low (3)	Moderate (6)	Moderate (9)	High (12)	High (15)
Unlikely (2)	Low (2)	Low (4)	Moderate (6)	Moderate (8)	High (10)
Rare (1)	Low (1)	Low (2)	Low (3)	Low (4)	Moderate (5)

Risk Acceptance Criteria

Risk Rank	Description	Criteria	Responsibility
LOW	Acceptable	Risk acceptable with adequate controls, managed by routine procedures and subject to annual monitoring	Operational Manager
MODERATE	Monitor	Risk acceptable with adequate controls, managed by specific procedures and subject to semi-annual monitoring	Operational Manager
HIGH	Urgent Attention Required	Risk acceptable with excellent controls, managed by senior management / executive and subject to monthly monitoring	DCEO / CEO
EXTREME	Unacceptable	Risk only acceptable with excellent controls and all treatment plans to be explored and implemented where possible, managed by highest level of authority and subject to continuous monitoring	CEO / Council

Existing Controls Ratings

Rating	Foreseeable	Description
Effective	There is little scope for improvement.	Processes (Controls) operating as intended and aligned to Policies / Procedures. Subject to ongoing monitoring. Reviewed and tested regularly.
Adequate	There is some scope for improvement.	Processes (Controls) generally operating as intended, however inadequacies exist. Nil or limited monitoring. Reviewed and tested, but not regularly.
Inadequate	There is a need for improvement or action.	Processes (Controls) not operating as intended. Processes (Controls) do not exist, or are not being complied with. Have not been reviewed or tested for some time.



Asset Management Practices — Oct-19

Risk Context

Failure or reduction in service of infrastructure assets, plant, equipment or machinery.
These include fleet, buildings, roads and playgrounds and all other assets during their lifecycle from procurement to disposal.

Areas included in the scope are;
-Inadequate design (not fit for purpose)
-Ineffective usage (down time)
-Outputs not meeting expectations
-Inadequate maintenance activities.
-Inadequate financial management and planning (capital renewal plan).
It does not include issues with the inappropriate use of the Plant, Equipment or Machinery. Refer Misconduct.

Potential causes include;

Skill level & behaviour of operators	Unavailability of parts
Lack of trained staff	Lack of formal or appropriate scheduling (maintenance /
Outdated equipment	Unexpected breakdowns
Insufficient budget to maintain or replace assets	

Key Controls	Type	Last Reviewed	Rating
Roads Maintenance Program	Preventative	Jun-19	***Adequate***
Road Asset Management Program (RAMM)	Preventative	Jun-19	***Adequate***
Fleet and Plant Maintenance Program	Preventative	Jun-19	***Adequate***
Building Maintenance Program	Preventative	Jun-19	***Adequate***
Recreation Facilities Maintenance Program	Preventative		***Not Rated***
Asset Management Framework	Preventative	Dec-20	***Inadequate***
Plant Replacement Program	Preventative	Jun-19	***Adequate***
Sewerage Maintenance Program	Preventative		***Inadequate***
Stock Control Systems	Preventative	Jun-19	***Inadequate***
		Overall Control Ratings:	***Adequate***

Control Assurance

Control Owner	Control Documented	Completeness	Accuracy	Timeliness	Fraud	Comments
MWA	Yes	Yes	Yes	Yes	Yes	
MWA	Yes	No	No	No	Yes	
MWA	Yes	Yes	Yes	Yes	Yes	
MWA	Partial	Partial	Partial	Partial	Yes	
MWC	No					
MCCS	Partial	Partial	Partial	Yes	Yes	
MWA	Yes	Yes	Yes	Yes	Yes	
MWA	Partial	Partial	Partial			
MCCS	Yes	No	No	Yes	Yes	

Actions (Treatments)	Due Date	Responsibility
Revaluation of Road Assets	Dec-19	MWC
Update RAMM with Revaluation Data	Mar-20	MWC
Link Building Maintenance Schedule to AMP	Mar-20	MWC / MCCS
Review Asset Management Plan	Dec-20	SMT
Develop Inspection Schedule for Asset Classes	Feb-20	MWA / TWC
Review LTFP and Link to AMP	Feb-21	MCCS / MWA / CEO

Status of Actions	Comments
Contractor engaged to commence road pick-up in October 2019	

Consequence Category	Risk Ratings	Rating
Financial	***Consequence:***	*Moderate (3)*
	Likelihood:	*Possible (3)*
	Overall Risk Ratings:	***Moderate***

Indicators	Type	Target
Asset Renewal Funding Ratio	Lagging	Between 95% and 105%
Asset Consumption Ratio	Lagging	Between 60% and 75%
Asset Sustainability Ratio	Lagging	Between 90% and 110%
Loss of Time Due to Resource Factors	Lagging	No Target Identified
Accidents and / or Damage to Property	Lagging	No Target Identified

Result	Better or worse than Benchmark?	Trend since last review?	Comments
Not Rated This Quarter			
Not Rated This Quarter			
Not Rated This Quarter			
Not Rated This Quarter			
Not Rated This Quarter			

Comments

Reviewed by CEO & MCCS - October 2019
Frameworks - the overarching structure to include adopted policies, documented controls, plans and strategies

Business & Community Disruption — Oct-19

Risk Context

Failure to adequately prepare and respond to events that cause disruption to the local community and / or normal business activities. This could be a natural disaster, weather event, or an act carried out by an external party (e.g. sabotage / terrorism).

This includes;
-Lack of (or inadequate) emergency response / business continuity plans.
-Lack of training for specific individuals or availability of appropriate emergency response.
-Failure in command and control functions as a result of incorrect initial assessment or untimely awareness of incident.
-Inadequacies in environmental awareness and monitoring of fuel loads, curing rates etc
This does not include disruptions due to IT Systems or infrastructure related failures - refer "Failure of IT & communication systems and infrastructure".

Potential causes include;

Cyclone, storm, fire, earthquake	Extended utility outage
Terrorism / sabotage / criminal behaviour	Economic Factors
Epidemic / Pandemic	Loss of key staff
Loss of suppliers	Loss of key infrastructure

Key Controls	Type	Last Reviewed	Rating
Local Emergency Management Arrangements (LEMA)	Preventative	Oct-19	***Adequate***
Business Continuity Framework	Preventative		***Adequate***
Bushfire Risk Management Framework	Preventative	Jun-19	***Effective***
Facility Risk Management Plan	Preventative		***Not Rated***
		Overall Control Ratings:	***Adequate***

Control Assurance

Control Owner	Control Documented	Control is understood	Accuracy	Timeliness	Fraud	Comments
CEO	Yes	Yes				
CEO	Yes	Yes				In Draft
CEO	Yes	Yes				
CEO	No					To Be Developed

Actions	Due Date	Responsibility
Review LEMA	Nov-19	CEO
Annual LEM Exercise Undertaken	Apr-20	CEO
Develop Business Continuity Plan	Nov-19	CEO
Business Continuity Plan Drill to be Undertaken Annually	May-20	CEO / MCCS
Develop Disaster Recovery Plan	Dec-21	MCCS
Fire Breaks Inspected and Enforced Annually	Nov-19	MCCS
Fire Fighting Equipment Maintained and Serviced	Jan-20	MWA
Wardens (Internal) - Training of New Wardens	Jun-20	SMT
Admin Generator Maintained and Serviced	Jan-20	MWA
Develop Facility Risk Management Plan	Dec-21	CEO / MCCS

Status of Actions	Comments
Reviewed LEMA to be presented to LEMC in November 2019	
Regional excerise to be coordinated through LEMC	
Draft BCP to be presented to Audit Committee in Ocotber 2019	
Annual inspections to take place in early November 2019	

Consequence Category	Risk Ratings	Rating
Service Interruption / Reputation	***Consequence:***	*Moderate (3)*
	Likelihood:	*Possible (3)*
	Overall Risk Ratings:	***Moderate***

Indicators	Type	Target
Missed LEMC Committee Meetings	Leading	Nil meetings missed
Number of Firebreak Infringements Issued	Lagging	Less than 5 per annum
LEM Annual Excerise Undertaken	Leading	1 per annum
BCP Annual Excerise Undertaken	Leading	1 per annum

Result	Better or worse than Benchmark?	Trend since last review?	Comments
Attend August 2019 Meeting		**Constant**	
Not Rated This Quarter			
Not Rated This Quarter			Scheduled for Early 2020
Not Rated This Quarter			

Comments

Reviewed by CEO & MCCS - October 2019
Frameworks - the overarching structure to include adopted policies, documented controls, plans and strategies

Failure to fulfil Compliance Requirements and Regulatory) (Statutory — Oct-19

Risk Context

Failure to correctly identify, interpret, assess, respond and communicate laws and regulations as a result of an inadequate compliance framework. This includes, new or proposed regulatory and legislative changes, in addition to the failure to maintain updated internal & public domain legal documentation.

It includes (amongst others) the Local Government Act, Planning & Development Act, Health Act, Building Act, Dog Act, Cat Act, Freedom of Information Act and all other legislative based obligations for Local Government.

It does not include Occupational Safety & Health Act (refer "Inadequate safety and security practices") or any Employment Practices based legislation (refer "Ineffective Employment practices).

Potential causes include;

Lack of training, awareness and knowledge	Lack of Legal Expertise
Staff / Councillor Turnover	No Compliance Officer or person responsible for Compliance oversight and enforcement
Inadequate record keeping/ failure of corporate electronic systems	Breakdowns in the tender or procurement process
Ineffective policies & processes	Ineffective monitoring of changes to legislation

Key Controls	Type	Last Reviewed	Rating
Governance Management Framework	Preventative		***Not Rated***
Information Manangement System	Preventative	Unknown	***Adequate***
Human Resource Management Framework	Preventative	Mar-19	***Adequate***
Adviced Monitoring (WALGA Subscriptions, Gazettes)	Preventative	May-19	***Adequate***
		Overall Control Ratings:	***Adequate***

Actions	Due Date	Responsibility
Develop Governance Framework	Jun-20	CEO / EGO
Contiunue Implementation of Training Program for Councillors and Staff	Ongoing	SMT / EGO
Review Councillor Induction Manual	Dec-19	EGO

Consequence Category	Risk Ratings	Rating
Reputation / Financial	***Consequence:***	*Moderate (3)*
	Likelihood:	*Possible (3)*
	Overall Risk Ratings:	***Moderate***

Indicators	Type	Target
Financial and Performance Audit Qualifications	Lagging	Qualified Audit
Compliance Audit Return	Lagging	Completed As Per Statutory Requirements
Finanical Management System Review	Lagging	Completed As Per Statutory Requirements
Regulation 17	Lagging	Completed As Per Statutory Requirements

Comments

Reviewd by CEO & MCCS - October 2019

Frameworks - the overarching structure to include adopted policies, documented controls, plans and strategies

Control Assurance

Control Owner	Control Documented	Control is understood	Accuracy	Timeliness	Fraud	Comments
CEO	Partial	Partial	Partial	Partial	Partial	To Be Developed
MCCS	Partial	Partial	Partial	Partial	Partial	To Be Developed
MCCS	Partial	Partial	Partial	Partial	Partial	
EGO	Yes	Yes	Yes			

Status of Actions	Comments
Development Underway	Align Existing Controls and Systems
Staff Training Program Underway	
Review Underway	

Result	Better or worse than Benchmark?	Trend since last review?	Comments
Qualified		Constant	
94.70%		Improving	
80 to 90%		Improving	
Presented to Council in December 2017		Constant	

Document Management Processes — Oct-19

Risk Context

Failure to adequately capture, store, archive, retrieve, provide or dispose of documentation.

This includes:
-Contact lists.
-Procedural documents, personnel files, complaints.
-Applications, proposals or documents.
-Contracts.
-Forms or requests.

Potential causes include;

Incompatible systems	Outdated record keeping practices
Inadequate access and / or security levels	Lack of system/application knowledge
Inadequate Storage facilities (including climate control)	High workloads and time pressures
High Staff turnover	Standard Operating Policies not followed

Key Controls	Type	Last Reviewed	Rating
Information Management Framework	Preventative		***Adequate***
Governance Management Framework	Preventative		***Not Rated***
Recordkeeping Plan	Preventative	Mar-19	***Adequate***
		Overall Control Ratings:	***Adequate***

Control Assurance

Control Owner	Control Documented	Control is understood	Accuracy	Timeliness	Fraud	Comments
CSRO	Partial	Partial	Partial	Partial		In Draft
CEO / EGO	Partial	Partial	Partial	Partial		Development Underway
CSRO	Partial	Partial	Partial	Partial		

Actions	Due Date	Responsibility
Investigate Upgrades Required to Archive Room to Improve Compliance With SRO	Jun-20	MCCS
Develop Information Management Framework	Jun-20	CSRO
Information Management Staff Training	Ongoing	MCCS
Review Record Keeping Plan	Jun-21	MCCS

Status of Actions	Comments
Developed Underway	
Training Identified and Commenced Training Plan	

Consequence Category	Risk Ratings	Rating
Compliance / Reputation	***Consequence:***	*Moderate (3)*
	Likelihood:	*Possible (3)*
	Overall Risk Ratings:	***Moderate***

Indicators	Type	Target
Information Management Framework	Leading	Developed and Implemented
Archive Room Compliance	Leading	Investigated and Costed
Archives	Leading	Recorded & Destroyed (as appropriate)
Record Keeping Plan Completed	Leading	Commence Review July 2020

Result	Better or worse than Benchmark?	Trend since last review?	Comments
Not Rated This Quarter			
Not Rated This Quarter			
Not Rated This Quarter			
Not Rated This Quarter			

Comments

Reviewed by CEO & MCCS - October 2019

Frameworks - the overarching structure to include adopted policies, documented controls, plans and strategies.

Employment Practices — Oct-19

Risk Context

Failure to effectively manage and lead human resources (full-time, part-time, casuals, temporary and volunteers).

This includes:
-Not having appropriately qualified or experienced people in the right roles.
-Insufficient staff numbers to achieve objectives.
-Breaching employee regulations.
-Discrimination, harassment & bullying in the workplace.
-Poor employee wellbeing (causing stress).
-Key person dependencies without effective succession planning in place.
-Industrial activity.

Potential causes include;	
Leadership failures	Ineffective performance management programs or procedures
Key / single-person dependencies	Limited staff availability - labour market conditions
Poor internal communications / relationships	Inadequate induction practices
Ineffective Human Resources policies, procedures and practices	Inconsistent application of policies

Key Controls	Type	Last Reviewed	Rating
Workforce Plan	Preventative	May-19	***Effective***
Human Resource Management Framework	Preventative	May-19	***Not Rated***
		Overall Control Ratings:	***Adequate***

Actions	Due Date	Responsibility
Develop a Health and Wellbeing Program	Dec-19	SMT
Implement Strategies Identified in the Workforce Plan	Ongoing	SMT
Further Develop Human Resource Management Framework	Jun-20	SMT
Training Needs Analysis and Training Register	Mar-20	CEO / CSRO
Review Staff Induction Process	Mar-20	MCCS

Consequence Category	Risk Ratings	Rating
Compliance, Health, Reputational, Financial	***Consequence:***	*Moderate (3)*
	Likelihood:	*Possible (3)*
	Overall Risk Ratings:	***Moderate***

Indicators	Type	Target
Training Program (% Completed)	Leading	90% Per Annum
Absenteeism (% of Personal and Unpaid Leave)	Lagging	Target Not Idenitified
Employee Turnover (% Turnover Rate)	Lagging	Equal to or Below Industry Standard
Performance Reviews (% Completed)	Leading	100% Per Annum
Workers Compensation Claims	Lagging	Target Not Idenitified

Comments

Reviewed by CEO & MCCS - October 2019

Frameworks - the overarching structure to include adopted policies, documented controls, plans and strategies.

Control Assurance

Control Owner	Control Documented	Control is understood	Accuracy	Timeliness	Fraud	Comments
CEO / MCCS	Yes	Yes	Yes	Yes		
CEO / MCCS	Partial	Partial	Partial	Partial		Development Underway

Status of Actions	Comments
Development Underway	Aligning Exiting Controls & Systems
TNA and Register Commenced	

Result	Better or worse than Benchmark?	Trend since last review?	Comments
Not Rated This Quarter			
Not Rated This Quarter			
Not Rated This Quarter			
Not Rated This Quarter			
2			

Engagement Practices — Oct-19

Risk Context

Failure to maintain effective working relationships with the Community (including local Media), Stakeholders, Key Private Sector Companies, Government Agencies and / or Elected Members. This includes activities where communication, feedback or consultation is required and where it is in the best interests to do so.

For example;
-Following up on any access & inclusion issues
-Infrastructure Projects
-Local planning initiatives
-Strategic planning initiatives
This does not include instances whereby Community expectations have not been met for standard service provisions such as Community Events, Library Services and / or Bus/Transport services.

Potential causes include;

Relationship breakdowns with community groups	Short lead times
Leadership inattention to current issues	Miscommunication / poor communication
Inadequate documentation or procedures	Inadequate Regional or District Committee attendance.
Budget / funding issues	Inadequate involvement with, or support of community groups

Key Controls	Type	Last Reviewed	Rating
Community & Engagement Framework	Preventative		***Not Rated***
Complaint Handling Process	Preventative	Unknown	***Adequate***
Community Satisfaction Survey	Detective		***Not Rated***
Customer Service Charter	Preventative	Sep-19	***Adequate***
		Overall Control Ratings:	***Adequate***

Actions	Due Date	Responsibility
Review and Document Complaints Handling Process	Jun-20	CEO / MCCS
Develop a Community Engagement Policy Framework	Jun-20	SMT / CDO
Conduct Community Satisfaction Survey	Jun-20	CEO / CDO
Develop Process For Customer Response Requests	Jun-20	MCCS
Develop Complaint Register	Jun-20	MCCS

Consequence Category	Risk Ratings	Rating
Reputation	***Consequence:***	*Minor (2)*
	Likelihood:	*Likely (4)*
	Overall Risk Ratings:	***Moderate***

Indicators	Type	Target
Number of Complaints From The Community Not Responded To		Target Not Indentiifed
Community Satisfaction Survey - Overall Scorecard Result		65% Satisfaction
Meeting Requirements of Customer Service Charter		Target Not Indentiifed

Comments

Reviewed by CEO & MCCS - October 2019
Frameworks - the overarching structure to include adopted policies, documented controls, plans and strategies.

Control Assurance

Control Owner	Control Documented	Control is understood	Accuracy	Timeliness	Fraud	Comments
CEO	No					To Be Developed
MCCS	No					To Be Reviewed
CEO	No					To Be Conducted
EGO	Yes	Yes				

Status of Actions	Comments

Result	Better or worse than Benchmark?	Trend since last review?	Comments
Not Rated This Quarter			
Not Rated This Quarter			

Environment Management — Oct-19

Risk Context

Inadequate prevention, identification, enforcement and management of environmental issues.

The scope includes;
-Lack of adequate planning and management of coastal erosion issues.
-Failure to identify and effectively manage contaminated sites (including groundwater usage).
-Waste facilities (landfill / transfer stations).
-Weed & mosquito / Vector control.
-Ineffective management of water sources (reclaimed, potable)
-Illegal dumping.
-Illegal clearing / land use.

Potential causes include;

Inadequate management of landfill sites	Inadequate reporting / oversight frameworks
Lack of understanding / knowledge	Community apathy
Inadequate local laws / planning schemes	Differing land tenure (land occupancy or ownership conditions)
Prolific extractive industry (sand, limestone, etc.)	Competing land use (growing population vs conservation)

Key Controls	Type	Last Reviewed	Rating
Road Engineering Policy	Preventative		***Adequate***
Sewerage Management Plan	Preventative	Oct-18	***Not Rated***
Waste Water Management Progam	Preventative		***Adequate***
Waste Management Plan	Preventative	Dec-20	***Not Rated***
		Overall Control Ratings:	***Adequate***

Control Assurance

Control Owner	Control Documented	Control is understood	Accuracy	Timeliness	Fraud	Comments
MWA	Yes	Yes	Yes	Yes		Adopted May 2019
MWA	Partial	Partial	Partial	Partial		To Be Developed
MWA	Partial	Partial	Partial	Partial		To Be Developed
MWA	Partial	Partial	Partial	Partial		To Be Developed

Actions	Due Date	Responsibility
Review Waste Water Management Program	Jun-20	MWA
Develop Waste Management Plan	Jun-21	MWA
Complete Audit of Sewerage System	Jun-20	MWA
Address Compliance of Waste Management	Ongoing	MWA
Address Compliance of Waste Water Re-Use	Jun-21	MWA

Status of Actions	Comments
Audit Underway	
Irrigation & Water Re-Use Upgrade Project Schedule for 2019/2020	

Consequence Category	Risk Ratings	Rating
Environment / Reputation / Financial	***Consequence:***	*Moderate (3)*
	Likelihood:	*Possible (3)*
	Overall Risk Ratings:	***Moderate***

Indicators	Type	Target
Compliant Waste Return	Lagging	100%
Satisactory Water Sampling For Water Re-Use	Lagging	100%

Result	Better or worse than Benchmark?	Trend since last review?	Comments
Not Rated This Quarter			
Not Rated This Quarter			

Comments

Reviewed by CEO & MCCS - October 2019

Errors, Omissions & Delays — Oct-19

Risk Context

Errors, omissions or delays in operational activities as a result of unintentional errors or failure to follow due process including incomplete, inadequate or inaccuracies in advisory activities to customers or internal staff.

Examples include;
-Incorrect planning, development, building, community safety and Emergency Management advice
-Incorrect health or environmental advice
-Inconsistent messages or responses from Customer Service Staff
-Any advice that is not consistent with legislative requirements or local laws.
-Human error
-Inaccurate recording, maintenance, testing or reconciliation of data.
-Inaccurate data being used for management decision-making and reporting.
-Delays in service to customers
This excludes process failures caused by inadequate / incomplete procedural documentation - refer "Inadequate Document Management Processes".

Potential causes include;

Human error	Incorrect information
Inadequate formal procedures or training	Miscommunication
Lack of trained staff	Work pressure / stress
Unrealistic expectations from community, council or management	Health issues
Poor use of check sheets / FAQ's	Lack of understanding

Key Controls	Type	Date	Rating
Information Management System	Preventative		***Not Rated***
Governance Management Framework	Preventative	Ongoing	***Adequate***
Human Resource Management Framework	Preventative		***Not Rated***
Access Independent Advice	Preventative	Ongoing	***Effective***
Code of Conduct	Preventative	Apr-17	***Adequate***
		Overall Control Ratings:	***Adequate***

Actions	Due Date	Responsibility
Review Code of Conduct	Jun-20	CEO / EGO
Review and Document Organisational Controls and Systems	Ongoing	CEO / MCCS

Consequence Category	Risk Ratings	Rating
Reputation / Compliance	***Consequence:***	*Moderate (3)*
	Likelihood:	*Likely (4)*
	Overall Risk Ratings:	***Low***

Indicators	Type	Target
Legal Claims	Lagging	0
Number of Complaints Regarding Errors, Omissions or Delays	Lagging	0
Referral to SAT/Ombudsman/Public Sector Commission	Lagging	0
Number of Complaints to Local Government Standards Panel	Lagging	0
External Audit Qualification	Lagging	95%
Staff Training Target Met	Leading	90%

Comments

Reviewed by CEO & MCCS - October 2019

Frameworks - the overarching structure to include adopted policies, documented controls, plans and strategies.

Control Assurance

Control Owner	Control Documented	Control is understood	Accuracy	Timeliness	Fraud	Comments
MCCS	Partial	Yes	Partial	Yes		Development Underway
CEO / MCCS	Partial	Yes	Partial	Yes	Yes	Review Underway
MCCS	Partial	Yes				Development Underway
SMT / EGO	No					
CEO / EGO	Yes	Yes				Due For Review

Status of Actions	Comments
To Be Reviewed As Part of Local Government Act Review	Need To Wait Until New Regs Gazetted
Review And Documentation Underway	

Result	Better or worse than Benchmark?	Trend since last review?	Comments
0			
0			
0			
0			
Not Rated This Quarter			
Not Rated This Quarter			

External Theft & Fraud (Including Cyber) — Oct-19

Risk Context

Loss of funds, assets, data or unauthorised access, (whether attempted or successful) by external parties, through any means (including electronic).

For the purposes of;
-Fraud: benefit or gain by deceit
-Malicious Damage: hacking, deleting, breaking or reducing the integrity or performance of systems
-Theft: stealing of data, assets or information

Potential causes include;

Inadequate security of equipment / supplies / cash	Inadequate provision for patrons belongings
Robbery	Lack of Supervision
Scam Invoices	Collusion with internal staff
Cyber crime	

Key Controls	Type	Last Reviewed	Rating
Building Security Access Controls (Keys and Keypad Access)	Preventative	Unknown	***Adequate***
Equipment Storage and Access Controls	Preventative	Unknown	***Adequate***
IT Security Framework (Passwords and Security Protocols)	Preventative	Sep-19	***Adequate***
Information Management System	Preventative	Unknown	***Adequate***
Financial Management System	Preventative	Sep-19	***Adequate***
		Overall Control Ratings:	***Adequate***

Control Assurance

Control Owner	Control Documented	Control is understood	Accuracy	Timeliness	Fraud	Comments
MWA	Partial	Yes	No	Yes	Yes	Review Underway
MWA	No	Partial	No			Reviewed Required
MCCS	No	Yes	No	Yes	Yes	Passwords Now Changed Every 3 Months
MCCS	No					To Be Developed
MCCS	Partial	Yes	Partial			Review Underway

Actions	Due Date	Responsibility
Review Access Controls to Include Key Register	Dec-19	SMT
Photographic Record of Assets	Jun-20	MWA / TWC
Implement Quarterly Schedule For Changing Passwords	Ongoing	MCCS
Review Security and Storage of Records	Dec-21	MCCS
Document Financial Management System	Ongoing	MCCS

Status of Actions	Comments
Currently Ascertaining Who Has Keys Within The Organisation	
Password Changes Commence October 2019	
	Will Require Budget Considerations

Consequence Category	Risk Ratings	Rating
Financial / Property	***Consequence:***	*Minor (2)*
	Likelihood:	*Possible (3)*
	Overall Risk Ratings:	***Low***

Indicators	Type	Target
Number of Cyber Breaches	Lagging	0
Number of Incidents of Theft or Fraud	Leading	0
Passwords Changed Quarterly	Leading	100% Changed
Tracking of Building and Facility Access	Leading	No Target Identified

Result	Better or worse than Benchmark?	Trend since last review?	Comments
0			
0			
Not Rated This Quarter			
Not Rated This Quarter			

Comments

Reviewed by CEO & MCCS - October 2019

Frameworks - the overarching structure to include adopted policies, documented controls, plans and strategies.

Management of Facilities / Venues / Events — Oct-19

Risk Context

Failure to effectively manage the day to day operations of facilities, venues and / or events.

This includes;
-Inadequate procedures in place to manage quality or availability.
-Poor crowd control
-Ineffective signage
-Booking issues
-Stressful interactions with hirers / users (financial issues or not adhering to rules of use of facility)
-Inadequate oversight or provision of peripheral services (e.g.. cleaning / maintenance)

Potential causes include;

Double bookings	Traffic congestion or vehicles blocking entry or exit
Illegal / excessive alcohol consumption	Insufficient time between bookings for cleaning or maintenance
Bond payments poorly managed	Difficulty accessing facilities / venues.
Falsifying hiring agreements (alcohol on site / lower deposit)	Failed safety / chemical / health requirements
Inadequate oversight or provision of peripheral services (e.g.. cleaning / maintenance)	Poor service from contractors (such as catering or cleaning)

Key Controls	Type	Last Reviewed	Rating
Event Management Framework	Preventative	May-19	Not Rated
Building Maintenance Program	Preventative	May-19	Adequate
Facility / Venue Booking System	Preventative	May-19	Adequate
Reserves Management System	Preventative	May-19	Not Rated
Asset Management Plan	Preventative	May-19	Adequate
Statutory Public Building Compliance Program	Preventative	Jun-20	Not Rated

Overall Control Ratings:	***Adequate***

Actions	Due Date	Responsibility
Develop Event Mangement Framework	Mar-20	CDO
Develop Recreational Reserves Management System	Dec-20	MCCS / MWA
Create Inspection and Maintenance Schedules for Event Equipment	Mar-20	CDO
Undertake Community Facilities Review	Jun-20	CEO / CDO
Public Buildings Inspected for Compliance	Dec-20	MWA

Consequence Category	Risk Ratings	Rating
Reputation	***Consequence:***	*Minor (2)*
	Likelihood:	*Unlikely (2)*
	Overall Risk Ratings:	***Low***

Indicators	Type	Target
Number of Injuries / Incidents at Events	Leading	0
Number of Injuries / Incidents at Facilities	Leading	0
Customer Satisfaction Survey - Events & Facilities	Lagging	65% Satisfaction
Compliance of Events and Facilities	Leading	90%

Comments

Reviewed by CEO & MCCS - October 2019

Frameworks - the overarching structure to include adopted policies, documented controls, plans and strategies.

Control Assurance

Control Owner	Control Documented	Control is understood	Accuracy	Timeliness	Fraud	Comments
MCCS	Partial					To Be Developed
MWA	Yes	Yes	Yes	Yes	Yes	
MCCS	Partial	Yes				
MCCS / MWA	Partial					To Be Developed
MCCS / MWA	Yes	Yes	Partial			
MWA	No					Inspections To Be Undertaken

Status of Actions	Comments
	Shire of Toodyay to conduct inspections

Result	Better or worse than Benchmark?	Trend since last review?	Comments
0			
0			
Survey To Be Conducted in 2020			
Not Rated This Quarter			

IT or Communication Systems and Infrastructure — Oct-19

Risk Context

Disruption, financial loss or damage to reputation from a failure of information technology systems.
Instability, degradation of performance, or other failure of IT or communication system or infrastructure causing the inability to continue business activities and provide services to the community. This may or may not result in IT Disaster Recovery Plans being invoked.

Examples include failures or disruptions caused by:
-Hardware or software
-Networks
-Failures of IT Vendors
This also includes where poor governance results in the breakdown of IT maintenance such as;
-Configuration management
-Performance monitoring
This does not include new system implementations - refer "Inadequate Project / Change Management".

Potential causes include;	
Weather impacts	Non-renewal of licences
Power outage on site or at service provider	Inadequate IT incident, problem management & Disaster Recovery Processes
Out-dated, inefficient or unsupported hardware or software	Lack of process and training
Software vulnerability	Equipment purchases without input from IT department
Incompatibility between operating systems	Vulnerability to user error

Key Controls	Type	Last Reviewed	Rating
IT Infrastructure Maintenance & Replacement Program	Preventative		***Not Rated***
IT Management Service Level Agreement	Detective	Early 2018	***Adequate***
Business Continuity Plan	Recovery		***Not Rated***
IT & Commuication Framework	Recovery		***Not Rated***

Overall Control Ratings:	***Inadequate***

Actions	Due Date	Responsibility
Develop Business Continuity Plan	Oct-19	CEO
Review IT Management Service Level Agreement	Mar-20	MCCS
Develop IT & Communication Framework	Dec-20	MCCS
Develop IT Infrastructure Maintenance and Replacement Program	Dec-20	MCCS

Consequence Category	Risk Ratings	Rating
Service Disruption	***Consequence:***	*Major (4)*
	Likelihood:	*Likely (4)*
	Overall Risk Ratings:	***Moderate***

Indicators	Type	Target
Number of Cyber Breaches	Lagging	0
IT Maintenance and Replacement Program	Leading	On Target
Number of System Downtime	Lagging	No Target Identified
Management of System Access	Leading	Documented

Comments

Reviewed by CEO & MCCS - October 2019

Frameworks - the overarching structure to include adopted policies, documented controls, plans and strategies.

Control Assurance

Control Owner	Control Documented	Control is understood	Accuracy	Timeliness	Fraud	Comments
MCCS	No					To Be Developed
MCCS	Yes	Yes	Yes	Yes	No	Agreement To Be Reviwed
CEO	Yes					In Draft
MCCS	No					To Be Developed

Status of Actions	Comments
Draft To Be Presented To Audit Committee In October 2019	
	To Be Reviewed
	To Be Reviewed
	To Be Reviewed

Result	Better or worse than Benchmark?	Trend since last review?	Comments
0			
Not Rated This Quarter			
Not Rated This Quarter			
Not Rated This Quarter			

Misconduct — Oct-19

Risk Context

Intentional activities intended to circumvent the Code of Conduct or activities in excess of authority, which circumvent endorsed policies, procedures or delegated authority.

This would include instances of:
-Relevant authorisations not obtained.
-Distributing confidential information.
-Accessing systems and / or applications without correct authority to do so.
-Misrepresenting data in reports.
-Theft by an employee
-Inappropriate use of plant, equipment or machinery
-Inappropriate use of social media.
-Inappropriate behaviour at work.
-Purposeful sabotage
This does not include instances where it was not an intentional breach - refer Errors, Omissions or Delays.

Potential causes include;

Inadequate training of code of conduct \ induction	Greed, gambling or sense of entitlement
Changing of job roles and functions/authorities	Collusion between internal & external parties
Delegated authority process inadequately implemented	Password sharing
Lack of internal checks	Low level of Supervisor or Management oversight
Covering up poor work performance	Believe they'll get away with it
Poor enforcement of policies and procedures	Undue influence from Manager / Councillor
Information leaked to Tenderers during the Tender process	Poor work culture
Insubordination	By-passing established administrative procedures
Disgruntled employees	Sharing of confidential information

Key Controls	Type	Last Reviewed	Rating
Governance Management Framework	Preventative		***Not Rated***
IT & Commuication Framework	Preventative		***Not Rated***
Financial Management System	Preventative	Sep-19	***Adequate***
Human Resource Management Framework	Preventative		***Not Rated***
External Audits	Preventative	Sep-19	***Effective***
Internal Audits	Preventative	Ongoing	***Inadequate***
		Overall Control Ratings:	***Inadequate***

Control Assurance

Control Owner	Control Documented	Control is understood	Accuracy	Timeliness	Fraud	Comments
CEO / EGO	Partial	Partial	Partial	Partial		Development Underwat
MCCS	No					To Be Developed
MCCS	Partial	Partial	Partial	Partial		Review Underway
MCCS	Partial	Partial				To Be Developed
CEO	Yes	Yes				
CEO	Partial	Yes				

Actions	Due Date	Responsibility
Document Finanical Management System	Jun-20	MCCS
Develop IT & Communication Framework	Jun-20	MCCS
Document Human Resource Management Framework	Jun-20	CEO / MCCS
Document Governance Management Framework	Jun-20	CEO / EGO
Review of Code of Conduct	Jun-20	CEO / EGO

Status of Actions	Comments
Review Underway	
Development Commenced	Aligning Existing Controls & Systems
Development Underway	Aligning Existing Controls & Systems
To Be Reviewed As Part of Local Government Act Review	Once New Regs Are Gazetted

Consequence Category	Risk Ratings	Rating
Reputation / Finance	***Consequence:***	*Major (4)*
	Likelihood:	*Possible (3)*
	Overall Risk Ratings:	***Low***

Indicators	Type	Target
Disregarding or Manipulating Procurement Process	Leading	0
Breaches of Code of Conduct	Lagging	0
Internal and External Complaints	Lagging	0
Adherance to Internal Controls	Leading	100%

Result	Better or worse than Benchmark?	Trend since last review?	Comments
0			
0			
0			
0			

Comments

Reviewed by CEO & MCCS - October 2019
Frameworks - the overarching structure to include adopted policies, documented controls, plans and strategies.

Project / Change Management — Oct-19

Risk Context

Inadequate analysis, design, delivery and / or status reporting of change initiatives, resulting in additional expenses, time delays or scope changes.

This includes:
-Inadequate change management framework to manage and monitor change activities.
-Inadequate understanding of the impact of project change on the business.
-Failures in the transition of projects into standard operations.
-Failure to implement new systems
-Inadequate handover process
This does not include new plant & equipment purchases. Refer "Inadequate Asset Sustainability Practices"

Potential causes include;

Lack of communication and consultation	Excessive growth (too many projects)
Lack of investment	Inadequate monitoring and review
Failures of project Vendors/Contractors	Geographic or transport difficulties sourcing equipment / materials
External consultants underquoting on costs	Lack of project methodology knowledge and reporting requirements
Ineffective management of expectations (scope creep)	Project risks not managed effectively
Inadequate project planning (resources/budget)	

Key Controls	Type	Last Reviewed	Rating
Project Management Methodology and Framework	Preventative		***Not Rated***
Communication and Engagement Framework	Preventative		***Not Rated***
Risk Management Framework	Detective	Oct-19	***Adequate***
Finanical Management Framework	Preventative	Mar-17	***Adequate***
		Overall Control Ratings:	***Adequate***

Actions	Due Date	Responsibility
Develop Project Management Methodlogy and Framework	Dec-20	MCCS
Develop Communition and Engagement Framework	Jun-20	CEO / CDO

Consequence Category	Risk Ratings	Rating
Financial / Reputational / Health	***Consequence:***	*Moderate (3)*
	Likelihood:	*Possible (3)*
	Overall Risk Ratings:	***Low***

Indicators	Type	Target
Minimisation of Project Variations	Lagging	90%
Achievement of Project Deadlines / Milestones	Leading	90%

Comments

Reviewed by CEO & MCCS - October 2019
Frameworks - the overarching structure to include adopted policies, documented controls, plans and strategies.

Control Assurance

Control Owner	Control Documented	Control is understood	Accuracy	Timeliness	Fraud	Comments
MCCS	No					To Be Developed
CEO / CDO	Partial					Development Underway
CEO	Partial	Partial	Partial	Partial		Development Underway
MCCC	Partial	Yes	Yes	Yes	Yes	Review Underway

Status of Actions	Comments
Development Underway	

Result	Better or worse than Benchmark?	Trend since last review?	Comments
Not Rated This Quarter			
Not Rated This Quarter			

Safety and Security Practices — Oct-19

Risk Context

Non-compliance with the Occupation Safety & Health Act, associated regulations and standards.
It is also the inability to ensure the physical security requirements of staff, contractors and visitors. Other considerations are negligence or carelessness.

Potential causes include;

Lack of appropriate PPE / equipment	Inadequate signage, barriers or other exclusion techniques
Inadequate first aid supplies or trained first aiders	Poor storage and use of dangerous goods
Inadequate security protection measures in place for buildings, depots and other places of work	Ineffective / inadequate testing, sampling or other health-related requirements
Inadequate or unsafe modifications to plant & equipment	Lack of mandate and commitment from senior management
Inadequate policy, frameworks, systems and structure to prevent the injury of visitors, staff, contractors and/or tenants.	Inadequate organisational Emergency Management requirements (evacuation diagrams, drills, wardens etc.).
Inadequate supervision, training or mentoring of staff	Slow or inadequate response to notifications from public

Key Controls	Type	Last Reviewed	Rating
Building Security Access Controls (Keys & Keypad Access)	Preventative	Sep-19	*Adequate*
OSH Management Framework	Preventative	May-17	*Adequate*
Human Resource Manangement Framework	Preventative		*Not Rated*
Governance Management Framework	Preventative		*Not Rated*
Facility Risk Management Plan	Preventative		*Not Rated*
		Overall Control Ratings:	***Adequate***

Control Assurance

Control Owner	Control Documented	Control is understood	Accuracy	Timeliness	Fraud	Comments
MWA	Partial	Yes				Review Underway
CEO	Yes	Yes				Due For Review
CEO / MCCS	Partial	Partial				Development Underway
CEO / EGO	Partial	Partial				Development Underway
CEO	Yes	No				To Be Developed

Actions	Due Date	Responsibility
Review Hazard Register	Jun-20	MWA / TWC
Complete Staff Training Register	Feb-20	SMT
Conduct Monthly Workplace Inspections	Jan-20	MWA / TWC
Finalise Safe Work Method Statements (SWMS) Library	Dec-20	MWA / TWC
Assess Shire Building and Facility Safety and Security	Dec-20	MWA / TWC
Develop Isolated Worker Management Protocol	Jun-20	MWA / TWC
Re-Establish OSH Committee	Jan-20	MWA / TWC
Develop Emergency in Facilitiies Management Plan	Jun-21	CEO
Conduct Annual BCP and LEMC Drills	Jun-20	CEO
Review Contractor Inductions and Register	Jun-20	MWA / TWC

Status of Actions	Comments
Register Commenced	
Review Underway	

Consequence Category	Risk Ratings	Rating
Health	***Consequence:***	*Moderate (3)*
	Likelihood:	*Possible (3)*
	Overall Risk Ratings:	***Low***

Indicators	Type	Target
Reporting of Safety Breaches	Leading	100%
Failed Safety Inspections	Leading	Target Not Identified
Lost Time Injuries Per Quarter	Lagging	Target Not Identified
Near Misses Per Quarter	Leading	Target Not Identified
Workers Compensation Claims Per Quarter	Leading	Target Not Identified
Safety Audit Result % (Every Three Years)	Leading	Target Not Identified
Reporting and Management of Incidents	Leading	Target Not Identified

Result	Better or worse than Benchmark?	Trend since last review?	Comments
Not Rated This Quarter			
Not Rated This Quarter			Loader Tagged
Not Rated This Quarter			
Not Rated This Quarter			
Not Rated This Quarter			
Audit Not Due			
Not Rated This Quarter			

Comments

Reviewed by CEO & MCCS - October 2019
Frameworks - the overarching structure to include adopted policies, documented controls, plans and strategies.

Supplier / Contract Management — Oct-19

Risk Context

Inadequate management of external Suppliers, Contractors, IT Vendors or Consultants engaged for core operations. This includes issues that arise from the ongoing supply of services or failures in contract management & monitoring processes.

This also includes:
• Concentration issues (contracts awarded to one supplier)
• Vendor sustainability

Potential causes include;

Insufficient funding	Inadequate contract management practices
Complexity and quantity of work	Ineffective monitoring of deliverables
Suppliers not willing to provide quotes	Limited availability of suppliers
Inadequate tendering process	Lack of planning and clarity of requirements
Contracts not renewed on time	Historical contracts remaining

Key Controls	Type	Last Reviewed	Rating
Annual Budget	Preventative	Jul-19	***Adequate***
Financial Management Framework	Preventative	Mar-17	***Adequate***
Access to Independent Advice (WALGA/Lawyers) & Peer	Preventative	Sep-19	***Adequate***
		Overall Control Ratings:	***Adequate***

Control Assurance

Control Owner	Control Documented	Control is understood	Accuracy	Timeliness	Fraud	Comments
MCCS	Yes	Yes	Yes			
MCCS	Partial	Partial	Partial			Review Underway
EGO	Yes	Yes	Yes			Newly Developed

Actions	Due Date	Responsibility
Review Purchasing Policy	Dec-19	MCCS
Develop Standardised Contracts	Ongoing	CEO / MCCS
Document Financial Controls	Ongoing	MCCS
Develop Appropriate Financial Reporting Tools	Ongoing	MCCS
Develop Centralised Contract Management System	Ongoing	CEO / MCCS

Status of Actions	Comments
Policy Review Underway	

Consequence Category	Risk Ratings	Rating
Service Interruption / Financial	***Consequence:***	*Moderate (3)*
	Likelihood:	*Possible (3)*
	Overall Risk Ratings:	***Moderate***

Indicators	Type	Target
Contracts Reviewed And Maintained	Leading	90%
Number of Expired Contracts Not Yet Renewed	Lagging	90%

Result	Better or worse than Benchmark?	Trend since last review?	Comments
Not Rated This Quarter		Improving	
Not Rated This Quarter		Improving	IT Contract Due for Review

Comments

Reviewed by CEO & MCCS - October 2019

Frameworks - the overarching structure to include adopted policies, documented controls, plans and strategies.

Errors, Omissions & Delays — Nov-19

Risk Context

Errors, omissions or delays in operational activities as a result of unintentional errors or failure to follow due process including incomplete, inadequate or inaccuracies in advisory activities to customers or internal staff.

Examples include;
-Incorrect planning, development, building, community safety and Emergency Management advice
-Incorrect health or environmental advice
-Inconsistent messages or responses from Customer Service Staff
-Any advice that is not consistent with legislative requirements or local laws.
-Human error
-Inaccurate recording, maintenance, testing or reconciliation of data.
-Inaccurate data being used for management decision-making and reporting.
-Delays in service to customers
This excludes process failures caused by inadequate / incomplete procedural documentation - refer "Inadequate Document Management Processes".

Potential causes include;

Human error	Incorrect information
Inadequate formal procedures or training	Miscommunication
Lack of trained staff	Work pressure / stress
Unrealistic expectations from community, council or management	Health issues
Poor use of check sheets / FAQ's	Lack of understanding

Key Controls	Type	Date	Rating
Checklists and Documented Procedures	Preventative	Nov-19	***Inadequate***
Complaints Register	Preventative	Nov-19	***Adequate***
Complaints Process	Recovery	Nov-19	***Adequate***
Councillor Information Bulletin	Preventative	Nov-19	***Adequate***
Customer Service Charter	Preventative	Nov-19	***Adequate***
Delegations & Register	Preventative	Nov-19	***Adequate***
Electronic Records - Sharepoint	Recovery	Nov-19	***Adequate***
External Communications (website, news articles)	Preventative	Nov-19	***Adequate***
External Consultants (ie. legal)	Preventative	Nov-19	***Adequate***
Customer Service Request Procedure	Preventative	Nov-19	***Adequate***
File Note/Documentation	Preventative	Nov-19	***Adequate***
Internal Communications (staff newsletter, regular meetings)	Preventative	Nov-19	***Adequate***
Performance Reviews	Preventative	Nov-19	***Adequate***
Qualified Building, Health & Planning Officers	Preventative	Nov-19	***Adequate***
Segregation of Duties (financial control)	Preventative	Nov-19	***Adequate***
Staff Inductions	Preventative	Nov-19	***Adequate***
Staff Training (formal & on-the-job)	Preventative	Nov-19	***Effective***
Council Motions Register	Preventative	Nov-19	***Adequate***
Workforce Plan	Preventative	Nov-19	***Adequate***
		Overall Control Ratings:	***Adequate***

Actions	Due Date	Responsibility
Review Code of Conduct	Jun-20	CEO / EGO
Review and Document Organisations Controls and Systems	Ongoing	CEO / MCCS
Centralise Checklists, Controls and Procedures	Dec-20	CEO / MCCS
Review Customer Service Request Process to include Snap Send Solve	Mar-20	MCCS

Consequence Category	Risk Ratings	Rating
	Consequence:	*Minor (2)*

Reputation / Compliance	***Likelihood:***	*Possible (3)*
	Overall Risk Ratings:	***Moderate***

Indicators	**Type**	**Target**
Legal Claims	Lagging	0
Number of Complaints Regarding Errors, Omissions or Delays	Lagging	0
Referral to SAT/Ombudsman/Public Sector Commission	Lagging	0
Number of Complaints to Local Governemtn Standards Panel	Lagging	0
External Audit Qualification	Lagging	95%
Staff Training Target Met	Leading	90%

Comments

Reviewed by CEO - November 2019

IT or Communication Systems and Infrastructure — Nov-19

Risk Context

Disruption, financial loss or damage to reputation from a failure of information technology systems.
Instability, degradation of performance, or other failure of IT or communication system or infrastructure causing the inability to continue business activities and provide services to the community. This may or may not result in IT Disaster Recovery Plans being invoked.

Examples include failures or disruptions caused by:
-Hardware or software
-Networks
-Failures of IT Vendors
This also includes where poor governance results in the breakdown of IT maintenance such as;
-Configuration management
-Performance monitoring
This does not include new system implementations - refer "Inadequate Project / Change Management".

Potential causes include;

Weather impacts	Non-renewal of licences
Power outage on site or at service provider	Inadequate IT incident, problem management & Disaster Recovery Processes
Out-dated, inefficient or unsupported hardware or software	Lack of process and training
Software vulnerability	Equipment purchases without input from IT department
Incompatibility between operating systems	Vulnerability to user error

Key Controls	Type	Date	Rating
Disaster Recovery Plan	Preventative	Nov-19	***Not Rated***
IT Infrastructure Replacement Program	Preventative	Nov-19	***Not Rated***
IT Management Service Agreement	Detective	Nov-19	***Adequate***
IT Security & Access (secure passwords, firewalls etc)	Preventative	Nov-19	***Adequate***
IT Data Protection (Synergy backup)	Preventative	Nov-19	***Adequate***
IT Data Protection (Sharepoint backup)	Preventative	Nov-19	***Inadequate***
IT Monitoring & Maintenance	Detective	Nov-19	***Adequate***
IT Support	Detective	Nov-19	***Adequate***
Telephone System	Recovery	Nov-19	***Adequate***
Generator	Recovery	Nov-19	***Adequate***
Mobile Devices / UHF (backup)	Recovery	Nov-19	***Adequate***
Overall Control Ratings:			***Adequate***

Actions	Due Date	Responsibility
Develop Disaster Recovery Plan	Dec-20	MCCS
Review IT Management Service Agreement	Mar-20	MCCS
Develop IT Infrastructure Replacement Program	Mar-20	MCCS
Install Advanced Email Protection (budget implications)	Jul-20	MCCS
Replace Window 7 PCs in use (3 in total)	Jun-20	MCCS
Upgrade Internet Upload Capacity to Shire Administration to Enable Backup of Sharepoint (budget implications)	No Date	CEO

Consequence Category	Risk Ratings	Rating
	Consequence:	*Minor (2)*
Service Disruption	***Likelihood:***	*Likely (4)*
	Overall Risk Ratings:	***Moderate***

Indicators	Type	Target
Number of Cyber Breaches	Lagging	0
IT Maintenance & Repalcement Program	Leading	On Track
Number of System Downtime	Lagging	No Target Identified
Management of System Access	Leading	Documented

Comments

Reviewed by CEO - November 2019

Misconduct — Nov-19

Risk Context

Intentional activities intended to circumvent the Code of Conduct or activities in excess of authority, which circumvent endorsed policies, procedures or delegated authority.

This would include instances of:
-Relevant authorisations not obtained.
-Distributing confidential information.
-Accessing systems and / or applications without correct authority to do so.
-Misrepresenting data in reports.
-Theft by an employee
-Inappropriate use of plant, equipment or machinery
-Inappropriate use of social media.
-Inappropriate behaviour at work.
-Purposeful sabotage
This does not include instances where it was not an intentional breach - refer Errors, Omissions or Delays.

Potential causes include;

Inadequate training of code of conduct \ induction	Greed, gambling or sense of entitlement
Changing of job roles and functions/authorities	Collusion between internal & external parties
Delegated authority process inadequately implemented	Password sharing
Lack of internal checks	Low level of Supervisor or Management oversight
Covering up poor work performance	Believe they'll get away with it
Poor enforcement of policies and procedures	Undue influence from Manager / Councillor
Information leaked to Tenderers during the Tender process	Poor work culture
Insubordination	By-passing established administrative procedures
Disgruntled employees	Sharing of confidential information

Key Controls	Type	Date	Rating
Delegations & Delegation Register	Preventative	Nov-19	***Adequate***
Staff Recrutiment Process (includes Police Clearance)	Preventative	Nov-19	***Adequate***
Staff Inductions	Preventative	Nov-19	***Adequate***
External Audits	Preventative	Nov-19	***Adequate***
Annual Drivers Licence Checks - Procedure	Preventative	Nov-19	***Not Rated***
Social Media Policy	Preventative	Nov-19	***Adequate***
Segregation of Duties (Financial)	Preventative	Nov-19	***Adequate***
General Financial Transactions Policy (includes fuel cards)	Preventative	Nov-19	***Adequate***
Delegation Control - Synergy	Preventative	Nov-19	***Adequate***
Financial Interests Returns Declarations	Preventative	Nov-19	***Adequate***
Primary and Annual Returns Process	Preventative	Nov-19	***Adequate***
Procurement Delegation Control - Synergy	Preventative	Nov-19	***Adequate***
Cash Handling Policy and Procedures	Preventative	Nov-19	***Adequate***
Corporate Credit Card Policy	Preventative	Nov-19	***Adequate***
Delegated Authority for Procurement	Preventative	Nov-19	***Adequate***
Elected Member Training	Preventative	Nov-19	***Adequate***
Audit & Risk Committee	Preventative	Nov-19	***Adequate***
IT Security Access Register (Profiles & Passwords)	Preventative	Nov-19	***Adequate***
Purchasing Policy & Procurement Process	Preventative	Nov-19	***Adequate***
Tender Procurement Process	Preventative	Nov-19	***Adequate***
Insurance for Loss	Recovery	Nov-19	***Adequate***
Financial Management Systems Review	Preventative	Nov-19	***Adequate***

Regulation 17 Review	Preventative	Nov-19	***Adequate***
Code of Conduct	Preventative	Nov-19	***Adequate***

Overall Control Ratings:	***Adequate***

Actions	**Due Date**	**Responsibility**
Review and Document Organisations Controls and Systems	Dec-20	CEO / MCCS
Centralise Checklists, Controls and Procedures	Dec-20	CEO / MCCS
Review Fuel Stock Control and Process	Mar-20	MCCS / MWA
Present Regulation 17 Review to Audit & Risk Committee	Dec-19	CEO
Review Purchasing Policy & Procurement Process	Mar-20	MCCS
Review Social Media Policy - Adopted December 2017	Feb-20	EGO
Review Code of Conduct	Jun-20	CEO / EGO
Conduct Drivers Licence Check	Dec-20	MCCS/MWA

Consequence Category	**Risk Ratings**	**Rating**
Reputation / Finance	***Consequence:***	*Moderate (3)*
	Likelihood:	*Unlikely (2)*
	Overall Risk Ratings:	***Moderate***

Indicators	**Type**	**Target**
Audit Notifications	Lagging	0
Disregarding or Manipulating Procurement Process	Leading	0
Breaches of Code of Conduct	Lagging	0
Internal & External Complaints	Lagging	0
Adherance to Internal Controls	Leading	0

Comments

Reviewed by CEO - November 2019

9/17/2019

Financial Management Review for the Shire of Dowerin

2019

Gary Martin
LOCAL GOVERNMENT CONSULTANT

FINANCIAL MANAGEMENT REVIEW FOR THE SHIRE OF DOWERIN (FMR 5 (2)(C)
SEPTEMBER 2019

1. BACKGROUND

The Shire of Dowerin is a local government situated in the wheatbelt region and is of a similar size and nature of many other wheatbelt Shires. The Shire is recovering from an extended period of poor management culminating in a CCC investigation in late 2015, the resignation of its CEO, Mr Alcock, followed by his conviction for significant fraud, which had occurred over several previous years.

This period is marred by the criminal conduct of the, then, CEO, a lack of governance oversight by the Council including the lack of an Audit Committee, and a breakdown of the external audit system. The internal management systems and oversight were all but non-existent during this period.

The Shire engaged independent consultants to conduct a forensic audit which exposed the extent of the financial loss and the methods used by the CEO. The same consultants conducted an FMR in 2006 which also recorded the poor state of the governance and financial management of the Shire.

It was recognised at that time that the cost to the Shire, apart from the reputational and financial loss was the intangible and hidden cost of poor management and the lack of proper administrative and governance control. The adverse legacy impacts of that extended period are still being felt today and is likely to continue for some time to come as hidden issues are exposed.

It is also relevant that in the three year since that time the Shire has been managed by two permanent CEO's (2016/2018 and 2018/2019) and two interim periods under an Acting CEO, resulting in a loss of corporate knowledge and impetus, and greatly influencing the establishment of a stable management environment. Reference to the 2006 FMR shows the extent of the positive improvements that have been made since, but not completed due to the change in CEO's and other employees, and the overarching need to manage the Shire's normal day to day operations and projects.

It is evident that prior to the resignation of Mr Alcock, there was a significant lack of internal control, compliance, financial management and oversight of employees. The employees carrying out the various financial and governance tasks were largely left to their own devices with a lack of direction or management oversight. The legacy of that situation is still being overcome, despite the efforts of both CEO's that followed.

The long period of poor historical management under ex CEO Alcock has resulted in a significant requirement to review and implement new improved management procedures and deal with a backlog of issues that had been "buried" and still slowly coming to light, but requiring immediate diversion of attention and activity from existing priority works and daily tasks to rectify historical problems.

Those employees have now left the Shire's employ, and significantly for the future, four key Office positions have recently been filled – but all these new employees have less than four months service and still becoming fully effective. However, there are already positive signs that there is a proactive approach to improvement and best practice and provides the CEO with the resources required to achieve the organisational cultural changes necessary to achieve a constant high standard management environment.

Therefore, this review is timely, in that it provides the CEO with a snapshot of the status of the financial management of the Shire and the way forward.

It is also significant and relevant that the CEO and staff are committed to implementing improved procedures and these are happening on an almost daily basis. Some issues noted during the review had already been addressed, or in the process of being addressed.

2. FINANCIAL MANAGEMENT REVIEW OBJECTIVE

The objective is to review the financial management system and report to the CEO on the appropriateness and effectiveness of the control environment in the Shire, as required by Financial Management Regulation 5(2)(c).

Significantly, it is not an audit, but a review, and with the objective to assist the CEO in her ongoing management and process improvement of the Shire's financial management practices, procedures and controls.

The timing of the review is particularly relevant due to the recent engagement of four new employees who provide the Shire with a significant positive opportunity to proactively commence a new era of financial management, and a fresh approach to the internal practices that existed.

3. SCOPE

The review entailed an examination of the various financial systems and procedures of the Shire including but not limited to:

- Bank Reconciliations and Petty Cash
- Trust Funds
- Receipts and Receivables
- Rates
- Fees and Charges
- Purchases, Payments and Payables (Including Purchase Orders)
- Salaries and Wages
- Credit Card Procedures
- Fixed Assets (Including Acquisition and Disposal of Property)
- Cost and Administration Overhead Allocations
- Minutes and Meetings
- Budget
- Financial Reports
- Registers (Including Annual and Primary Returns)
- Delegations
- Audit Committee
- Insurance
- Storage of Documents/Record Keeping
- Integrated Planning

The review did not entail an examination of compliance with all provisions of the Act or all regulations (apart from the Financial Management Regulations), and which did not impact on the keys functions examined above but emphasis was placed on internal controls and management oversight of the various functions considered.

Emphasis was also placed on the matters raised in the recent external interim and annual audits.

The conduct of the review was assisted by the personal knowledge and experience of the Shire resulting from the authors role during two periods as the Acting CEO since late 2015 and involvement in the Compliance Audit Returns (CAR).

4. KEY REVIEW FINDINGS

- The systems and processes associated with the Shire's financial management function are generally efficient and effective and suitable for a Shire such as Dowerin. The various activities required to meet its obligations are taking place and are subject to continuous improvement. The CEO and the recently appointed employees are focussed on process improvement and best practice.

- The key finding is a lack of documented internal controls. The "controls" in place are generally a result of existing practice and not a precise and purpose driven direction from the CEO that specifies what control measures are required. For example, most reconciliations are subject to a preparing Officer (name or a signature) and a checking Officer (name or signature) but without any formal written direction specifying what is required and how.

An analysis of the previous audit issues found that most items required a system improvement (which were generally completed), or a matter of inconsistent actions by the relevant Officer(s) and a weakness in the checking regime. In almost, if not all examples, there was a lack of an effective written internal control imposed by the CEO.

The identification and improvement in management processes since 2016 has required significant time and effort to develop and implement but this has taken place in an unsuitable environment that has not provided the clear air to achieve all that is required. Ideally, a period of some weeks dedicated to process improvement development and implementation is required, but this is unachievable and unrealistic. Therefore the "completion" of reviewing and implementing a robust governance/internal control/compliance/risk regime will be on-going for the immediate future.

There has been significant improvement across the various management functions, and this is continuing on an almost daily basis. It is relevant that these changes are taking place in conjunction with the induction and settling in of at least four new employees, who all have their own normal duties and backlog to deal with.

It is also relevant that many of the recent new processes and procedures put in place have not yet had time to settle in or be tested in any meaningful way.

The CEO recognises these shortfalls and identifies the status of her endeavours as "immature". As the independent reviewer, these factors were quickly identified and it is evident that a pragmatic assessment and approach is required which recognises the systems and processes are in place, and the positive changes being made, but the overall implementation and achieving a smooth running, effective and best practise management environment is less than optimal despite all the effort and goodwill that exists. It is estimated that the operating compliance environment is running at, say, 80 to 90% - and far better than a couple of years ago, and with that legacy being the main contributing factor to the less than optimum situation currently.

This situation is expected to improve rapidly as the four new employees settle into their roles, learn the protocols in place and the improvements continue to be developed and implemented.

The Council has a significant role and responsibility to play in recognising the situation that exists, the pitfalls and the efforts being made to achieve a strong best practice environment. While a 100% strong management environment is the expectation, it is unrealistic in the current circumstances, and considering the recent history of the Shire management. Funding, human resources, time and competing demands, particularly the community and normal day to day operations all compete with the effort required to achieve the high standard management regime expected and required.

The 2016 Financial Management Review conducted by Mr R. Back details the extent of the poor standard and lack of controls at that time (and for several years previous). The legacy of that period of inadequate management control is still adversely impacting on the Shire today and it is anticipated this will continue for some time to come as hidden issues come to light – requiring attention and taking the focus off the present priorities.

An analysis of recent management audit issues (2018 and 2019) demonstrates that many required a system change to address the deficiency or are the result of incomplete or inconsistent application of existing controls. Most system changes identified have been made or are in the process of being changed. All the identified weaknesses require an internal control response to address the deficiency. However, all the systems and procedures improvement do not overcome human error, inconsistencies and inability to perform a task due to other work commitments or other factors beyond control.

Management control over the myriad of financial and administrative functions that are required to be performed by a range of employees as part of their normal duties requires well defined Position Descriptions, delegations, policies and procedures so that there is a well-documented path to follow. It appears that the Position Description(s) in place may require review and changes made to match the actual tasks being undertaken, and that there was a need to match PD tasks with procedures. That is a work in progress.

Regardless of those protocols, inconsistencies and error will still occur. The recommended key management control providing oversight of these functions is the introduction of comprehensive controls and Checklists for each task that detail the various steps that need to be observed to achieve the task correctly and specify the controls required including signature of the officer preparing the item and the signature of the checking officer.

The checklist approach should not only provide the employee with a step by step procedure to follow, but also provision for the employee to record when completed and further provision for a senior officer to check and sign off on the task. The CEO has put in place some checklists, but these are more of a process list of how to do a task rather than including the control or direction.

A high-level oversight can be achieved by the various function checklists (e.g. Payroll, Finance EOM, Debtors, Creditors, Rating) being listed on a "Master" checklist that is prepared and certified by senior managers and submitted to the CEO on a monthly or regular basis. This master checklist should provide the CEO with a high degree of comfort that all the required tasks have been properly completed – or identify weaknesses. This approach could greatly assist the conduct of internal audits and be valuable for external audits and be included in reporting to the Audit Committee.

A simple example of a function that had been overlooked is the maintenance of the Cemetery records. Previously maintained by an ex-employee and with some endeavour to include the information in the newly introduced SharePoint system, the recording of burials in the register and other administrative tasks including Cemetery plans had not been undertaken since 2017. This failure had not been identified by any internal or external audit (the function is no longer included on the annual Compliance Audit Return) and potentially go unnoticed for some considerable period. There is no trigger to expose this weakness until such time as potentially a family seeks burial information, with all the emotive problems that would entail.

If the Cemetery function was listed on a checklist presented to the CEO without indication of being maintained properly it allows early intervention.

The CEO is responsible for the internal management and compliance of all the Shire's various functions – it is suggested that the only effective method of awareness of the status of internal controls is via a regular checklist

signifying the status of each function. That task approach provides the CEO with a regular record of the status of compliance with her directions and will complement the existing higher-level compliance calendar.

It is recommended that the range of internal control measures such as policies and procedures be consolidated and collated into a common Internal Control framework, format and location and included in a relevant Checklist. For example, the purchasing function involves the LGA, regulations, policy, delegations and procedures and these should be arranged in a logical sequence to allow employees to easily access and understand the hierarchy and requirements of each activity ….and subject to a Checklist.

LGA s5.41 imposes responsibilities on the CEO to manage the Shire and FMR reg. 5 provides that the CEO's financial management duties entail ensuring that there are efficient systems and procedures established to manage the Shire's functions as required by statute. The establishment of these systems and procedures is the next step in the hierarchy of the Act, regulations, standards and Council policy and should be approached from that background by putting in place uniform format internal control measures (refer above) and which are clearly identified as "CEO Directives" or some such nomenclature and which reinforces the authority under which they are made.

The current review has found that the numerous internal controls that are in place are scattered throughout the organisation, in a variety of locations and formats and generally lacking any form of version control or cohesion. It is little wonder that employees struggle to meet strict legislative requirements and internal controls when the information is spread throughout and lacks any uniformity or linkage. This situation is symbolic of the environment in which the CEO and employees are struggling to deal with their workload while also trying to implement the new systems and procedures required, but without commonality, cohesion or uniformity.

The establishment of a consolidated "CEO Directive" manual, in some appropriate format, would greatly assist the CEO in controlling the compliance regime (including identifying what exists and what needs to exist) and improve operational compliance by ready reference to a central internal control source. It is entirely relevant that this Shire is not alone in this situation and that most shires are in a similar situation. It would be very rare indeed for an Auditor to ask for the CEO's Internal Control manual be produced and to receive it. The information may exist, but it is scattered and that creates a myriad of control issues.

The last statutory internal controls were included in the Accounting Directions 1985. From 1994 onwards the legislation has simply made the CEO responsible for putting in place the internal controls – without any guidance as to what controls are required. This has resulted in an ad hoc approach to documented internal controls and a breakdown in compliance. A simple example from the 1985 AD's was the requirement for a "Contract Register", which recorded contract details, approved variations, progress payments and provided a ready reference to the control and reconciliation of that contract. Invariably now, individual contracts are dealt with in a variety of different manners and formats without any reference to a single Register. Control over contracts is diminished significantly.

The establishment of a "CEO Directive" manual will also give the requirements to be followed far greater "clout" by underlining the fact that they are a directive from the CEO. Currently it appears that existing controls are treated more as a guide rather that a directive.

5. Previous Audit Issues

Part of the review consisted of an analysis of the recent interim and annual audit issues and the status of these matters. Broadly, the items raised in the audits can be classified as requiring a system change or the inconsistent application of existing requirements (or both).

All the items should be the subject of a specific CEO internal control directive and form part of an internal checklist environment that enables a regular overview of the status of compliance.

2018 Interim Audit Report Issues

- Masterfile Accuracy and validity — System change
- Credit Cards — System change
- Monthly Reconciliations — Inconsistent
- Purchasing — Inconsistent
- Interim Rating — System change
- Payroll — Inconsistent
- Sundry Debtors — System Change
- Staff-Resignations/Termination — System Change

2018 Audit Report Issues

- Adjusting Journals — System Change
- Masterfile Changes — System Change
- Year End accounting — System Change
- Related Party Declarations — Inconsistent
- Supplier Payments — System Change
- Employee Entitlements — Inconsistent
- Fuel Stocks — System Change
- Works Costing — System Change
- Self-Supporting Loan Debtors — System Change
- Workforce Plan — System Change

2019 Interim Audit Issues

- Purchasing and Payments — System Change/Inconsistent
- Payroll Exceptions — System Change/Inconsistent
- Reconciliation of Investment — System Change
- Month end reconciliations — System Change
- Receivables Master File — System Change
- Invoice and Credit Note Request Forms — System Change

All these items were documented with the detail of the finding, implication and recommendation and included a management response comment on the finding and actions to be taken. These reports were then considered by the Shire's Audit Committee.

These items are significant in that they have been recognized by external audit and a proposed action outlined. However, there is a need for these items to be included in a "Register" of audit issues that allows for the status of the implementation to be monitored by the CEO (system change, new procedure etc) and progress reported to the Audit Committee. The register should then be a permanent agenda item for the regular Senior Staff meetings.

For example, the 2018 finding concerning Fuel Stocks is still a work in progress and this requires monitoring.

6. CEO Statutory Responsibility for Internal Controls

FMR Reg 5. Provides that the CEO's duties as to financial management includes efficient systems and procedures are to be established by the CEO of a local government for the proper collection of all money owing to the local government; and for the safe custody and security of all money collected or held by the local government; and for the proper maintenance and security of the financial records of the local government (whether maintained in written form or by electronic or other means or process); and to ensure proper accounting for municipal or trust, revenue received or receivable; and expenses paid or payable; and assets and liabilities; and to ensure proper authorisation for the incurring of liabilities and the making of payments; and for the maintenance of payroll, stock control and costing records; and o assist in the preparation of budgets, budget reviews, accounts and reports required by the Act or these regulations.

FMR Reg 11. Provides the requirement to develop procedures for the authorisation of, and the payment of, accounts to ensure that there is effective security for, and properly authorised use of cheques, credit cards, computer encryption devices and passwords, purchasing cards and any other devices or methods by which goods, services, money or other benefits may be obtained; and (b) petty cash systems to develop procedures for the approval of accounts to ensure that before payment of an account a determination is made that the relevant debt was incurred by a person who was properly authorised to do so.

A payment may only be made from the municipal fund or the trust fund if the local government has delegated to the CEO the exercise of its power to make payments from those funds — by the CEO. If the local government has delegated to the CEO the exercise of its power to make payments from the municipal fund or the trust fund, a list of accounts paid by the CEO is to be prepared each month showing for each account paid since the last such list was prepared.

These statutory obligations are the responsibility of the CEO and the final layer of the legislative framework (LGA, regulations, policy, delegations etc) and this underlines the requirement that these obligations are given due weight and recognition as being formal directives from the CEO.

The key recommendation of this review is the rewriting of the various existing procedures into a dedicated CEO Internal Control Directive Manual that interrelates to the hierarchy of the Act, regulations, Council policy and delegations. Ideally the procedures/controls should be in a common format, organized into functions and collated into a suitable format (SharePoint or hardcopy) that allows ready access for staff.

7. Review Items

The extent of the functions and items reviewed precludes comment on all and it is relevant that in general, the Shire's systems and procedures are suitable and working. The review has identified the need for far greater specific procedures and internal controls to improve the management and accountability. The review also found that there has been a significant improvement since 2016 and a focus on continual improvement with examples of recent policy and procedural development occurring – this was evident with new procedures etc. being produced during the review.

Some of these new policies and procedures require fine tuning and with far greater emphasis on the CEO's statutory responsibilities under FMR 5 and which clearly records that authority.

The following information relates to matters requiring consideration.

Function/Tasks	Comment
Position Description Customer service & Records Officer	Newly appointed employee with additional skills and taking on additional tasks requires a review of her Position Description to reflect these. The Position Description is a key component of the function internal controls and these need to dovetail between imposing the duty and how it is to be carried out.
Customer Service Charter	A recently introduced management initiative.
New Supplier Approval Procedure	The existing New Supplier policy dated October 2017 has been recently reviewed and is proposed to be replaced by a rewritten New Supplier Procedure in September 2019. Another example of the proactive improvements underway.
Key Accounting Responsibilities	The CEO has established a Table of Individuals Performing Key Accounting Functions. This is a component of a CEO Internal Control Directive Manual.
Gym Facility	The control over the Gym membership and access requires review and internal control documentation to effectively control membership and access.
Incoming mail handling	Lacks written procedure and control
Senior Management Meetings	Agenda could be amended to include specific consideration of the status of key plans, compliance calendar, internal controls and risks and provide proof of review and actions being taken. The key issues need to be under constant management review to avoid slippage. For example, a new OAG requirement for a Fraud and Corruption Plan.
Creditors Procedures	Uniform documented procedures updated 16/8/2019 for EFT, Invoices and cheque processing demonstrate the ongoing process improvement underway but the procedures lack specific internal control details.
Records Management Procedure Revision 1 (Undated)	A further example of the work underway. The Shire's Record Keeping Plan is subject to an extension under the State Records Act and that is a work in progress. The review of the existing plan will need to take into account the implementation of the SharePoint information management system.
SharePoint	The Shire is implementing the SharePoint system for managing its records and information. SharePoint is a robust and efficient system but quite complex and requires careful establishment and training to ensure it is properly utilized. Currently the Shire is still in the process of refining its records within SharePoint and in the situation of some records are electronic and others still in hard copy format. The utility of the system may be compromised if not introduced in a careful manner and all users competent in utilizing the system.
Synergy	The Shire operates the Synergy accounting system that is common for a number of similar size local governments.
Other Information Technology	The Shire operates on the Office Suite of programs and has specialized systems for management of the Gym and the Short Stay Accommodation facility. No issues were noted.
Computer Password Control	The Shire commenced the implementation of a review of its Computer Password controls in late August 2019. An example of the proactive management actions underway.
Delegation Register	The Delegation Register records the Council's delegations to the CEO, and includes reference to sub-delegations by the CEO to employees. These sub-delegations are provided in written notice to each relevant employee, but the actual sub delegation is not recorded in the Register of Delegations.
Council Policy Manual	Hard copy records as at 11 February 2019 but indications that there are policies also recorded in SharePoint or under development. Attention is required to ensure that all policies are recorded in a consolidated version (either hardcopy or electronically with appropriate version control and employee awareness).

General Financial Transaction Policy	This is a comprehensive financial control policy that includes detail better suited for inclusion in the CEO's Internal Control Directives. Policy is a Council responsibility, procedures and internal control is the CEO's. This is a good example of the efforts and controls being implemented but requiring refinement between Council policy and the CEO's FMR responsibilities.
Fuel Stock Policy	Another example of a Council policy better suited as a CEO procedure/internal control. Fuel stock control was raised in a previous audit and this is still in the process of being implemented.
Bank Account Policy	This policy also includes elements of the CEO's procedure/internal control responsibilities. The policy details the designated authorized positions for the Shire bank account activities. Refer Finance Authorisation Policy.
Finance Authorisation Policy	This policy also includes elements of the CEO's procedure/internal control responsibilities. For example, "authorize by signing the relevant forms".
Purchasing Versus Authorisation to Pay	Purchasing policy sets out the authorized officer limits. For example, the CEO unlimited, Managers $50,000 however these limits relate to Purchasing. The authorization to pay accounts (including single payments as well as batches) is a totally different requirement and partially covered by the Bank Account policy and the Financial Authorisation policy. However, these do not specify any limits and lists four Officers. Refer below.
Delegation - Payments	The delegation register includes a delegation to the CEO to make payments and power to sub-delegate to two officers (therefore the CEO and two others). Refer above and below.
Sharepoint – Authorised Signatories and Credit Card Register	A printout under "Financial Management" lists various Authorised Bank signatories with five apparent authorized signatories (Brigg K; Delmage; Fitchat; McCall and Hudson) – all with authorization of "Unlimited".
Authorisation to Pay	The authority to make payments from Shire bank accounts is a specific responsibility under the LGA that is delegated to the CEO. The CEO has sub-delegated this responsibility, but the exercise of this authority requires specific CEO internal controls, partially covered by the policies above. The inclusion of the Shire President in the authorized persons for bank transactions appears to go against the separation of responsibilities between elected and employees but may be necessary due to availability or another reasonable requirement. It is recommended that issue be discussed with the Shire Auditors.
Authorisation to Pay	Apart from clarification of the actual persons authorized to operate on the Shire bank accounts and the necessary controls, there is a requirement to review and put in place appropriate procedures and internal controls to manage the cycle from the purchasing policy and procedure to purchase goods or services to specifically cover the issue of local purchase orders, the handling of invoices, checking goods received/services rendered and computations correct being strictly controlled before moving on to the final step of AUTHORITY TO PAY by the properly authorized officers (delegation/bank authority/procedures). The internal control is based on the certification of all the other requirements being checked before the authority to pay is exercised. Each invoice requires specific authorizations and each payment or batch requires specific authorization that complies with the directive/control imposed by the CEO.
Purchasing Policy Compliance	Special attention is required to ensure that the Shire Purchasing policy is strictly enforced. The CEO procedures and internal controls must give this requirement strong focus and that breaches of purchasing policy (e.g. insufficient quotes or LPO's issued after good received etc) are identified and reported. Purchasing is a high-risk area and subject to external audit scrutiny and reporting. Internal controls at the purchasing, invoice processing and authority to pay stages should greatly reduce occurrences of improper purchasing that breach CEO Directives.

Creditors Approval Stamp	It was noted that creditor invoice payments "certification" was subject to a variety of stamps and signing protocols including the use of a "Received" stamp. It is considered that is inappropriate and requires a specific CEO Directive purpose designed approval stamp providing for requirements such as LPO, Goods Received/Services Rendered, Computations checked, GL Codes etc. Provision for the actual Authorisation to Pay could be included or a separate Stamp.
	A review of Creditor batches found inconsistent and incomplete signatures/approvals/authorizations. Strong control over Creditor payments is dependent upon a consistent checking/approval process and requires a strong CEO directive.
Task Preparation and Review - Wages	Examples of several financial tasks show a variety of accountability processes. The Timesheet includes provision for the signature of the employee but could be strengthened by internal control and requirement for a form of certification that the hours are true and correct, with a similar certification by the relevant manager. The timesheet forms the basis for the payment of wages and appropriate certification provides comfort to the Payroll Officer to process the timesheet.
Task Transaction Listings Controls	A review of various transaction listings found a range of different signing protocols. Examples were found of a Stamp providing for "Prepared By" and "Reviewed By" with signatures and date.
	Other examples of a reconciliation had a typed provision for the prepared by and reviewed by requirement, but no date.
	It is recommended that the CEO Directive for these tasks detail what the signing requirements are (the Stamp is possibly the best option) with emphasis on providing strong accountability by requiring signatures (not names).
Inconsistency	The review noted that many tasks such as the requirement to identify the officer preparing a document and the reviewer were inconsistently completed. Many only had one name or one signature and indicate a breakdown in the process. The reasons for the non-completion probably relate to human factors such as unavailability, workload and timing but leads towards a breakdown in process and control. Identification of who prepared and who checked/approved is a key accountability. A CEO Directive to require this to occur will result in better control and a culture of best practice and accuracy.
Bank Reconciliations	It is recommended that the bank reconciliation include reference to any balancing issue that requires attention including any time factor such as unpresented cheques.
Organizational Structure	It was noted that the new structure was put in place in March 2019. This underlines the significant change in the Office since that time with four new employees and other internal changes of role and responsibilities. That is a positive response to the historical culture that existed and a new work environment that is already demonstrating a willingness to make improvement changes. These changes were actively taking place during the on-site phase of this review with examples of changes already made or being made in response to queries raised.
Payroll Procedure Revision 1	The development of a Payroll Procedure is an example of a work in progress and a new initiative and not yet adopted. The procedure needs to be developed to include the specific internal control requirements of the CEO so that there is a strong element of being a Directive and not just a procedure.
Compliance Calendar	The CEO has implemented a comprehensive Compliance Calendar. It is recommended that this be included as a permanent item on the agenda of the Senior Staff meetings to allow review.

Cemetery Register	The review found that the key statutory registers were maintained. However, it was found that the Cemetery Register had not been maintained since 2017. This failure is an example of the inconsistency and lack of historical control and the changeover of Office staff. It underlines the key recommendation for the need for task procedures and internal control checklists.
Rating	The rating and valuation function were historically poorly managed and inadequately controlled. The engagement of specialized expertise has turned this around and a further example of the positive management controls being implemented by the CEO.
Rate Payment Arrangement Procedure	This new procedure was introduced in May 2019 and an example of the proactive improvements underway.
Rates Modelling and Billing 2019/2020	A spreadsheet extensively details rating program details and advisory comments of a procedural nature that provides a base for the development of an effective internal control directive.
Asset Valuation	Plant and Equipment valued by an external resource for 2018/2019.
Road and Other Infrastructure Revaluation and Asset Condition Report, RAMMs etc	Being undertaken for 2019/2020.
General Journals and Subsidiary Journals	The journals are maintained and subject to a prepared and checked by process but without any specific internal control including the authorization to make journal entries and along with the various End of Month reconciliations subject to inconsistent signatures.
Quasi Internal Control Manual	A pink two ringed binder exists and contains a variety of advisory notes and instructions including some 29 pages of bank reconciliation instructions (mainly Synergy) but are not dedicated internal controls. It is apparent that there is a variety of policy and procedures in existence but lacking the essential element of the CEO internal control direction.
Checklist of Monthly Reconciliations	A computer printout provides details of Responsible Officers by initials, tasks and monthly status. This checklist could be reviewed and developed into a more effective checklist.
Integrated Planning Framework	The Shire has adopted all the relevant major Plans.
Business Continuity Plan May 2019	Another example of the progress made by the CEO in improving the Shire's management.

The above comments are intended to provide examples of issues requiring attention, as well as the positive changes being undertaken. It is reiterated that this review is not an audit, and there are other matters of a similar nature but the comments outline the environment and the suggested changes to improve the management environment and based on developing formal CEO Directives that detail internal controls, and a checklist approach for reporting status of compliance.

In summary, the existing systems and procedures are adequate and working, but require tightening to improve control.

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17 September 2019

9/17/2019

Audit Regulation 17 Review for the Shire of Dowerin

2019

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AUDIT REGULATION 17 REVIEW FOR THE SHIRE OF DOWERIN

September 2019

1. BACKGROUND

This review is conducted on behalf of the CEO and for the purpose of reporting to the Shire's Audit Committee as required by Audit Regulation 17.

The review complements a review conducted for the purposes of the *Local Government (Financial Management) Regulation 5 (2)(c).*

The Shire is a small Wheatbelt local government of a similar size and nature to many other wheatbelt local governments. However, the Shire was the subject of a CCC investigation in 2016, which resulted in the, then, CEO being charged with fraud and imprisoned for three years.

The financial loss of nearly $600,000 was considerable, but the Shire also suffered serious reputational damage. The independent forensic financial audit and a Financial Management review together with the Compliance Audit Review in 2016 reported the sheer scale of mismanagement that had existed for several years, with the intangible loss of management control outweighing the financial loss.

The adverse effects of that period are still being felt today and this is likely to continue for some time to come as the previous hidden management failures come to light.

The FMR review reported on the significant improvements in the management of the Shire, and the on-going improvements underway but that progress had been slowed by the changeover of the CEO position with two permanent CEO's and two Acting CEO periods since 2016. It was also noted that previous employees had not been properly supervised and largely left to their own devices, which contributed to a lack of internal control.

Significantly, the FMR review has found that the CEO has made considerable positive changes, including the recent recruitment of four new Office staff and that there is a new positive culture developing, with a focus on introducing new procedures and internal controls.

This process is not an audit, but a review of the Shire's risk management function in respect of the appropriateness and effectiveness of the Shire's systems and procedures in relation to risk management, legislative compliance and internal controls. Similarly, it is not the purpose of this review to critique existing risks or to identify additional risks.

2. STATUTORY ENVIRONMENT

Audit Regulation 17. CEO to review certain systems and procedures

(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.

The Audit Committee is required to review the report and report to the Council on the report and the results of the review. The primary objective is to establish the appropriateness and effectiveness of the Shire's systems and procedures in relation to Risk Management, Legislative Compliance and internal controls.

It is noteworthy that there are no mandatory or minimum requirements for conducting a Reg.17 review, and it is important to note that it is not an audit.

This review considers all three components:

- Risk Management
- Internal Control
- Legislative Compliance

As mentioned above, this review was conducted in conjunction with the FMR reg.5 review, which included significant elements of internal control and legislative compliance and the two reviews are complementary.

3. RISK MANAGEMENT OVERVIEW

The CCC investigation in 2016 highlighted the requirement for local governments to have in place strong governance systems including policy, delegations, procedures and internal controls. A noteworthy contributing factor to the environment in which the previous CEO had operated was a failure of the external audit system, the Council's oversight and governance role and the lack of a Shire Audit Committee – the body charged with the prime responsibility for the oversight of the Shire's financial management and governance.

Therefore, although the misconduct by the CEO was the prime cause, the other key checks and balances also failed and allowed his misconduct to continue, with significant short- and medium-term detriment to the Shire.

The Shire has established an active Audit Committee and it is noteworthy its membership includes an external person who has a strong local government management background.

A similar Reg.17 review was conducted in 2017 and includes reference to the poor state of affairs that had existed previously. The Shire has made significant positive improvements since that time despite the changeover of CEO's, and these are continuing. It is evident that the previous CEO introduced a robust Risk Management process, however the focus on risk management has been delayed by the changeover of CEO in 2018 and the prioritisation of all the various management tasks.

The Shire's Policy manual includes a Risk Management Policy, which is the high-level Council risk management tool. The policy details the focus of risk mitigation and the objectives, as well as the roles and responsibilities and is recorded as being adopted 23 May 2017.

The Shire also has in place a comprehensive Risk Management Framework which was reviewed in August 2019 and not yet considered by the Audit Committee or Council. This framework is not specifically mentioned in the Policy, but the policy is mentioned in the framework.

The framework includes reference to a Risk Management Procedures manual, Shire Risk Profiles and reference to risk reporting.

The policy does not include specific provision for the regular internal review and status reporting of the risk environment at the management and Council level and that is considered essential but is included in the Framework, with:

- Risk Profiles to be reviewed and updated at least six monthly or where change occurs
- Six monthly risk reporting for the CEO and Management team
- Annual Compliance Audit

The CEO conducted a comprehensive risk management review in 2018, which forms a firm base for the conduct of this review. That review included risk management systems, whether the operating risks were being appropriately considered, internal processes and other key review components.

The Shire has a Risk Management Governance Framework which includes a policy, procedure and risk profiling tool. The risk profiling tool includes 15 risk themes. For each theme (area of business) the risk context and key controls are identified along with actions to mitigate risk. The risk profiling tool enables the Shire of Dowerin's Risk Management Team to monitor risks and report on a quarterly basis.

The CEO reported to the Audit Committee in March 2019 that with the loss of key personnel during 2018, quarterly monitoring and reporting of the risk profiling tool did not take place. Also, that upon the commencement of the incoming CEO in late August 2018, there was need to concentrate on operational priorities. Although quarterly monitoring or reporting did not occur, there has been an emphasis on reviewing identified policies and procedures to ensure the necessary controls are in place.

The CEO has acknowledged the previous delay in further implementing the Risk Management process and is actively pursuing that objective. This includes using the Risk Profiling Tool and:

- Management to monitor and update quarterly.
- Quarterly reporting presented to the Audit Committee and the OCM.
- Quarterly actions to be included in Senior Management Action lists – and these scrutinised weekly at Senior Staff meetings.

To guarantee the reporting requirements outlined in the Risk Management Governance Framework is undertaken, the Governance Calendar specifies that the Risk Management Team is to monitor the risk profiling tool in February, May, August and November of each calendar year and reporting to the Audit Committee every six months (May and December). The proposed quarterly reporting is recommended.

It had also been reported to the Audit Committee that a Business Continuity Plan was being drafted. That Plan has since been completed and is indicative of the progress being made.

It is entirely relevant for this review that there has been a significant change in key Office positions in recent months. Although this recruitment process resulted in a temporary setback due to vacancies, there are encouraging signs of a significant positive outcome with a change in culture and proactive process improvement to support the CEO's endeavours.

The CEO's commitment to developing a strong Risk Management environment is demonstrated by the 2019 Risk Profiles and Dashboard Register. This register is a comprehensive risk management tool which identifies and details a wide variety of functions and threats. The extent of this tool prevents a

realistic outline and analysis of its substance and utility within this document but it complements the policy, Risk Management Framework and other associated processes.

In fact, the scope of the risk management environment creates an additional risk in testing the ability of the CEO and officers to properly manage the additional compliance demand.

Although currently committed to catching up on a backload of tasks as well as current day to day operational tasks, including key statutory matters such as the annual budget and annual financial report, there is significant focus and activity to introduce new procedures or improve existing. This is a work in progress but provides the Council with significant confidence in achieving a high level of internal control and risk management.

- The other components of the CEO 2018 Risk Review are relevant and in accord with this and the FMR review but with the recommendation of far greater focus on the development of internal controls/procedures as CEO Directives to provide greater management control.

- It is recommended that Risk management should be included on the agenda for all Senior Staff meetings (as intended by the CEO) and a status report presented to the Audit Committee on a regular basis (say quarterly). The CEO review noted that regular reporting to the Audit Committee had not occurred during 2018. The status reporting is a key accountability and monitoring tool and ensures that the Shire's risk management is under regular scrutiny.

- This review finds that the Shire has a well-defined risk management environment that is being refined and improved as time permits. Status reporting will ensure that work continues.

The Council has a critical role to play in being aware of the factors (funding, time, resources, support) influencing the complete achievement of compliance, internal control and risk management and a commitment to resource the CEO to achieve these objectives.

4. INTERNAL CONTROL

This component of the Reg.17 review has been complemented by the separate FMR 5 review and it is not intended to duplicate that work in this report.

The FMR review found that the Shire has a greatly improved management environment with policy and procedures, and the systems necessary to carry out the compliance, governance and accounting requirements imposed on a local government such as the Shire, but that its internal control was weakened by the lack of specific written internal controls imposed by the CEO as directives.

It was evident that there were various procedures in place, including details of specific accounting functions associated with the data entry processes necessary to operate the Synergy accounting system, but these lacked specific details to provide control over the task. These controls should include requirements such as the responsible officer(s), how, when, what and a checking/authorisation regime.

These tasks, such as reconciliations, with some form of officer identification and checking, are being carried out now, but as a normal practice rather than as a result of a documented control requiring the task to be undertaken.

The formal imposition of directives by the CEO is the final step in the statutory framework and adds a higher degree of management control. The development of an internal control framework based on

legislation, policy, delegation, procedure and control, in a common format and location will provide a more complete strong internal control environment.

It was evident during the FMR review that the new staff were being proactive and examples of new procedures (in a common format) were being prepared as the need was identified and as time permitted. The adoption of an internal control mindset that imposes the responsibility and control requirements is necessary to give the CEO far greater management control.

The FMR further recognised the requirement for the CEO to develop appropriate function checklists (e.g. Payroll, EOM reconciliations etc) that are signed off by the preparing officer and a senior checking officer. The development of a Master function checklist that is provided to the CEO monthly will provide a ready reference regarding the status of the various functions.

Although the conduct of these reviews is timely, there is also an element of being premature. It was abundantly clear that the CEO has a strong focus on process improvement including compliance and risk management and the backlog of major plans etc has improved significantly in a relatively short space of time. It was also apparent that the recently appointed employees are also showing a positive approach to process improvement with evidence of new procedures etc occurring during the review.

It is anticipated that these positive improvements will continue as time permits and within the constraints of day to day operational requirements.

5. LEGISLATIVE COMPLIANCE

This aspect of the review also formed a significant part of the FMR review.

The Shire and CEO demonstrate a strong focus on statutory compliance and achieving best practice. As noted previously, the achievement of this objective has been affected by the sheer scale of legacy problems from the pre 2016 era and the requirement to introduce basic compliance requirements identified in the 2016 Forensic Audit and FMR reviews. The changeover of CEO's and other office staff has further affected progress.

It is noted that the Shire is now in a position of being appropriately staffed and a far more positive environment exists.

The pre 2016 compliance environment was almost non-existent with the Compliance Audit Return for the 2015 year noting numerous examples of non-compliance and incorrect reporting in previous Returns by the, then, CEO.

The Council has since engaged an external Consultant (the author of this report) to conduct the Compliance Audit. That experience and knowledge, including three periods as the Acting CEO, has greatly assisted in the conduct of both the FMR and this review.

The independent CAR audit for 2017 found one issue of non-compliance out of ninety-four items, and the 2018 audit, five issues out of ninety-four items. These results were similar with other audits conducted by the author and indicate the high level of focus on compliance by both recent CEO's. The results are particularly relevant in regard to the environment that had existed, and the sheer volume of legacy management issues that were required to be addressed, and quickly.

It is noteworthy that the statutory CAR content has been reduced from some 400 items to less than 100. The earlier, more comprehensive, CAR forms provided a far more comprehensive annual check on the

level of compliance and this underlines the requirement for the CEO to develop internal controls and checklists.

An example found during the FMR was the failure to maintain the Cemetery register since 2017. The Cemetery compliance requirements had once been included in the more comprehensive CAR but is no longer part of the recent CAR's. However, the compliance requirement remains and underlines the requirement for CEO imposed internal controls and checklists.

It is relevant that the FMR found that the other statutory registers were being maintained.

It is important to note that the actual compliance framework and the CAR process is a detached, retrospective examination of minute, multifaceted, and ambiguous statutory detail specified by the *Local Government Act 1995* and associated regulations. Significantly, the CAR and the overall compliance regime excludes the actual working environment and pressures of the day-by-day operational circumstances, and other Council and community priorities that exist in the pragmatic management of the wide range of functions and issues experienced in a local government such as the Shire.

There is a fine balance required between meeting compliance obligations, undertaking the various day by day operational tasks, and meeting the service expectations of the Council and community. The Council has a responsibility to be aware of these factors and the requirement to balance resources, funding and time to meet the various demands on the CEO and staff. The reporting of status is an important element in the overall governance overview responsibility of the Council.

The overall compliance requirement to observe "all written law" places an onerous responsibility on the CEO of a small local government.

- The Council can take comfort that the CEO, and staff, have a strong focus on compliance (as evidenced by initiatives such as the Compliance Calendar), and have, and are in, a continual improvement mode.

It is also reinforced that, although timely, this review is premature in as much as the current improvements and initiatives made, underway or proposed, will significantly enhance the entire management environment.

Gary Martin

Local Government Consultant

17 September 2019

SHIRE OF
DOWERIN
TIN DOG TERRITORY

Local Emergency Management Arrangements

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Authority

These arrangements have been produced and issued in compliance with s(41)(1) and (2) of the *Emergency Management Act 2005* ('the Act'), endorsed by the Shire of Dowerin Local Emergency Management Committee (LEMC) and Council, the District Emergency Management Committee (DEMC) and State Emergency Management Committee (SEMC).

These arrangements have been developed by personnel within the Shire of Dowerin and by the Local Emergency Management Committee. Consultation has been sought from the wider community.

These arrangements should be read in conjunction with the *Emergency Management Act 2005* and the State Emergency Management Plans (WESTPLAN), State Hazard Plans (SHP), State Emergency Management Policy Statements and the Department of Communities' Local Emergency Management Plan for the Provision of Welfare Support.

Endorsed by:

LEMC at its Meeting held on 4 November 2019

Darrel Hudson — 5 November 2019

Chairperson, Dowerin LEMC — Date

President Shire of Dowerin — Date

Resolution Number: XXXXXXX

Document Review

Date

Amendment History

No.	Date	Amendment Details	By
1	28 May 2019	Draft copy for consideration	G Harwood
2	24 October 2019	Amendments following discussion with Yvette Grigg	Y Grigg
3			
4			
5			
6			
7			
8			

Suggestions and Comments from the Community and Stakeholders can help improve these arrangements and subsequent amendments.

To forward feedback, please copy the relevant section, mark the proposed changes and forward to;

The Chairperson
Local Emergency Management Committee
Shire of Dowerin
13 Cottrell Street
Dowerin WA 6461

Or email to: dowshire@dowerin.wa.gov.au

The Chairperson will refer any correspondence to the LEMC for consideration and/or approval. Amendments promulgated are to be certified in this document when updated.

DISTRIBUTION LIST

Organisation	No. Copies
Shire of Dowerin	4
Dowerin WAPOL	2
DFES District Office	2
State Emergency Management Committee	1
District Emergency Management Committee	1
Department of Communities	1
Western Power	1
St John Ambulance – Local sub-centre	2
St John Ambulance – Regional Office	3
Wyalkatchem Koorda District Hospital	1
Goomalling District Hospital	1
Dowerin District High School	2
Dowerin Volunteer Fire and Rescue Service	2
Dowerin Bush Fire Brigade	1
Goomalling Bush Fire Brigade	1
Wyalkatchem Bush Fire Brigade	1
Department of Biodiversity Conservation and	1
Dowerin Home Care	1
Dowerin Community Resource Centre	1
Dowerin Workcamp – Department of Justice	2
Dowerin Event Management	2

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Table of Contents

Authority 2
Amendment History 3
Distribution List 4
Table of Contents 6
Section One 10
Introduction 10
Glossary of Terms 11
Document Availability 14
General Acronyms Used In These Arrangements 15
Disclaimer 15
Aim 16
Purpose 16
Scope 16
Area Covered 16
Exercising, Lema Review And Annual Reporting 17
Agreements, Understanding And Commitments 18
Local Roles And Responsibilities 18
Lemc Roles And Responsibilities 20
Lemc Membership 21
Agency Roles And Responsibilities 22
Related Documents And Arrangements 23
Existing Plans And Arrangements 23
Community Consultation 24
Community Involvement 24
Community Awareness 24
Section Two 26
Coordination of Emergencies 26
Australasian Inter-Service Incident Management System (Aiims) 27
Incident Management Team (Imt) 28
Incident Support Group (Isg) 28
Triggers For An Isg 28
Membership Of An Isg 29
Frequency Of Meetings 29

Locations Of Isg Meetings 29
Locations Of Incident Control Centres 29
Financial Arrangements 30
Section Three 32
Risk 32
Risk Management 33
Special Considerations 33
Critical Infrastructure 33
Risk Register 34
Emergencies Likely To Occur / Hazards Register 34
Section Four 35
Evacuation 35
Evacuation 36
Types Of Evacuation 36
The Five Stages Of Evacuation 36
Key Roads 37
Key Contacts 38
Hma/Controlling Agency Checklist 38
Evacuation (Welfare) Centres 38
Evacuation To Other Local Government Areas 38
Special Needs Groups 39
Evacuation Of Animals 39
Section Five 41
Welfare 41
Local Emergency Management Plan For The Provision Of Welfare Support 42
Local Welfare Coordinator 42
Local Welfare Liaison Officer 42
Register.Find.Reunite 42
Welfare Centres 42
Evacuation/Welfare Centres 43
Opening And Coordination Of Welfare Evacuation Centres 43
Shire Emergency Acivation Kits 44
Section Six 46
Recovery Plan 46

The Shire of Dowerin Recovery Plan 47
Introduction 48
Recovery 48
Authority 48
Objectives 48
Scope 48
Roles and Responsibilities 49
Local Recovery Coordinator 49
Local Recovery Coordination Group (Lrcg) 50
Controlling Agency Hazard Management Agency 51
State Recovery Coordinator 52
Commencement of Recovery 53
Local Recovery Coordinator 53
The Controlling Agency 53
Local Recovery Coordination Group 53
Assessment And Operational Recovery Planning: 55
Resources 55
Recovery Resources 55
Financial Arrangements 56
Financial Preparation 56
Managing Donations 57
Community Reactions 57
National Principles for Disaster Recovery 58
Actions and Strategies 59
Activities 59
Strategies 59
Appendix 6a: Sub Committees – Objectives 61
Appendix 6b: Aide Memoire Local Recovery Coordinator 63
Local Recovery Coordinator/Coordination Group Checklist 66
Appendix 6c: Operational Recovery Plan Template 69
Section Seven 72
Communications Plan 72
Introduction 73
Communication Policy 73

Communication Principles 73
Stakeholder Communication 74
Communicating In The Prevention Stage 74
Communicating In The Preparedness Stage 74
Public Warning Systems 74
Communicating In The Response Stage 76
Communicating In The Recovery Stage 76
Managing The Media 78
General Enquiries 79
Section Eight 81
Contacts and Resources Register 81
Shire Staff 123
Shire Contractors 124
Local Emergency Management Committee Contacts 125
Local Resources – Plant And Equipment 126
Local Resources – Services And Supplies 127
Accommodation 128
Catering And Meals 128
Special Arrangements/Mous 129
Emergency Services 129
Support Organisations 131
Utilities And Services 132
Other Local Governments 133
Vulnerable People Contact Groups 133
Animal Welfare Facilities 134
Veterinarian 134

Section One

Introduction

Glossary of Terms

Australasian Inter-Service Incident Management System (AIIMS): A nationally adopted structure to formalise a coordinated approach to emergency incident management.

Combat Agency: As prescribed under Section 6(2) of the *Emergency Management Act 2005,* a combat agency is to be a public authority, or other person who or which, because of the agency's functions under any written law or specialised knowledge, expertise and resources, is responsible for performing an emergency management activity prescribed by the regulations in relation to that agency.

Comprehensive Approach: The development of emergency and disaster arrangements to embrace the aspects of Prevention, Preparedness, Response and Recovery (PPRR). PPRR are aspects of emergency management, not sequential phrases. (Synonyms: disaster cycle, disaster phases and PPRR)

Command: The direction of members and resources of an organisation in the performance of the organisation's role and tasks. Authority to command is established in legislation or by agreement with an organisation. Command relates to organisations and operates vertically within an organisation. (See also *Control* and *Coordination)*

Control: The overall direction of emergency management activities in an emergency situation. Authority for control is established in legislation or in an emergency plan, and carries with it the responsibility for tasking and coordinating other organisations in accordance with the needs of the situation. Control relates to situations and operates horizontally across organisations. (See also *Command* and *Coordination)*

Controlling Agency: An agency nominated to control the response activities to a specified type of emergency.

Coordination: The bringing together of organisations and elements to ensure an effective response, primarily concerned with the systematic acquisition and application of resources (organisation, manpower and equipment) in accordance with the requirements imposed by the threat or impact of an emergency. Coordination related primarily to resources, and operates, vertically, within an organisation, as a function of the authority to command, and horizontally, across organisations, as a function of the authority to control. (See also *Control* and *Command*)

District Emergency Management Committee: A committee established under Section 31(1) of the *Emergency Management Act 2005*

Emergency: The occurrence or imminent occurrence of a hazard which is of such a nature or magnitude that is requires a significant and coordinated response

Emergency Coordination Centre: A facility established to coordinate and organise emergency provision of services.

Emergency Management: The management of the adverse effects of an emergency including:

(a) prevention: the mitigation or prevention of the probability of the occurrence of, and the potential adverse effects of, an emergency.
(b) Preparedness: preparation for response to an emergency
(c) Response: the combating of the effects of an emergency, provision of emergency assistance for casualties, reduction of further damage and help to speed up the recovery process.
(d) Recovery: the support of emergency affected communities in the reconstruction and restoration of physical infrastructure, the environment and community, psychosocial and economic wellbeing.

Emergency Management Agency: A hazard management agency (HMA), a combat agency or a support organisation.

Hazard: An event, situation or condition that is capable of causing or resulting in loss of life, prejudice to the safety, or harm to the health of persons or animals; or destruct of; or damage to property or any part of the environment and is defined in the *Emergency Management Act 2005* or prescribed in the *Emergency Management Regulations 2006.*

Hazard Management Agency (HMA): A public authority, or other person, prescribed by the *Emergency Management Regulations 2006* to be a hazard management agency for emergency management, or an aspect of emergency management, of a hazard for a part of the whole of that State.

Incident: the occurrence or imminent occurrence of a hazard.

Incident Controller: The person designated by the Controlling Agency, to be responsible for the overall management and control of an incident within an incident area and the tasking of agencies in accordance with the needs of the situation. (Note: Agencies may use different terminology, however, the function remains the same).

Incident Support Group: A group of agency/organisation liaison officers convened by the Incident Controller to provide agency specific expert advice and support in relation to operational response to the emergency.

Local Emergency Coordinator: The person appointed by the State Emergency Coordinator to provide advice and support to their local emergency management committee in the development and maintenance of emergency management arrangements, assist hazard management agencies in the provision of a coordinated response during an emergency in the district and carry out other emergency management functions under the direction of the State Emergency Coordinator.

Local Emergency Management Committee: A committee established under Section 38 of the *Emergency Management Act 2005.*

Operational Area: The area defined by the Operational Area Manager for which they have overall responsibility for the strategic management of an emergency. This area may include one or more Incident Areas.

Preparedness: Preparation for response to an emergency.

Prevention: The mitigation or preventing of the probability of the occurrence of, and the potential adverse effects of, an emergency.

Public Authority: An agency as defined in the *Public Sector Management Act 1994;*

- A body, corporate or unincorporated that is established or continued for a public purpose by the State, regardless of the way it is established;
- A local government or regional local government;
- The Police Force of Western Australia;
- A member or officer of a body referred to in one of the above; or
- A person or body prescribed (or of a class prescribed) by the regulations as a public authority for the purposes of this definition

Recovery: The support of emergency affected communities in the reconstruction and restoration of physical infrastructure, the environment and community, psychological and economic wellbeing.

Response: The combatting of the effects of an emergency, provision of emergency assistance for casualties, reduction of further damage, and help to speed recovery.

Risk: A concept used to describe the likelihood of harmful consequences arising from the interaction of hazards, communities and the environment.

- The chance of something happening that will have an impact upon objectives. It is measured in terms of consequences and likelihood;
- A measure of harm, taking into account the consequences of an event and its likelihood. For example, if may be expressed as the likelihood of death to an exposed individual over a given period; and
- Expected losses (of lives, persons injured, property damaged, and economic activity disrupted) due to a particular hazard for a given area and reference period. Based on mathematical calculations, risk in the product of hazard and vulnerability.

Standard Operating Procedure: A set of directions detailing what actions could be taken, as well as how, when, by whom and why, for specific events or tasks.

State Emergency Management Committee: A committee established under Section 13 of the *Emergency Management Act 2005.*

Vulnerability: The characteristics and circumstances of a community, system or asset that make it susceptible to the damaging effects of a hazard. There are many aspects of vulnerability, arising from various physical, social, economic and environmental factors that vary within a community and over time.

Welfare: The provision of immediate and continuing care of emergency affected persons who may be threatened, distressed, disadvantaged, homeless or evacuated; and, the maintenance of health, well-being and prosperity of such persons with all available community resources until their rehabilitation is achieved.

DOCUMENT AVAILABILITY

A copy of this document is available on the Shire of Dowerin's website:

www.dowerin.wa.gov.au

A print copy of this document (public version) will be made available to the public at the Shire of Dowerin Administration Office at 13 Cottrell Street, Dowerin WA 6461.

An electronic copy of this document (confidential version) is available to all Local Emergency Management Committee members.

GENERAL ACRONYMS USED IN THESE ARRANGEMENTS

BFS	Bush Fire Service
BFB	Bush Fire Brigade
CA	Controlling Agency
CEO	Chief Executive Officer
DC	Department of Communities
DEMC	District Emergency Management Committee
ECC	Emergency Coordination Centre
DFES	Department of Fire and Emergency Services
FRS	(Volunteer) Fire and Rescue Service
HMA	Hazard Management Agency
ISG	Incident Support Group
LEC	Local Emergency Coordinator
LEMA	Local Emergency Management Arrangements
LEMC	Local Emergency Management Committee
LG	Local Government
LRC	Local Recovery Coordination
LRCC	Local Recovery Coordinating Committee
MOU	Memorandum of Understanding
NGO	Non-governmental organisation
DPaW	Parks and Wildlife Service (Department of Biodiversity, Conservation and Attractions)
SEC	State Emergency Coordinator
SEMC	State Emergency Management Committee
SES	State Emergency Service
SEWS	State Emergency Warning Signal
SHC	State Health Coordinator
SJA	St John Ambulance
WA HEALTH	Department of Health
WAPOL	WA Police Force

DISCLAIMER

The Shire of Dowerin makes no representations about the suitability of the information contained in this document or any material related to this document for any purpose. The document is provided with no warranty of any kind to the extent permitted by law. The Shire of Dowerin hereby disclaims all warranties and conditions with regard to this information, including all implied warranties and conditions of merchantability, fitness for particular purpose, title and non-infringement. In no event shall the Shire of Dowerin be liable for any special, indirect or consequential damages resulting from the loss of use, data or profits, whether in an action of contract, negligence or other tortuous action, arising out of or in connection with the use of information available in this document. The document or material related to this document could include technical inaccuracies or typographical errors.

AIM

To detail emergency management arrangements and ensure understanding between agencies and stakeholders involved in managing emergencies within the Shire.

PURPOSE

To set out;

- The Shire of Dowerin's policies for emergency management;
- The roles and responsibilities for public authorities and other persons involved in emergency management;
- Provisions about the coordination of the emergency operations by performed by the public authorities and other persons;
- Description of emergencies likely to occur within the Shire of Dowerin;
- Strategies and priorities for emergency management in the district; and
- Other matters about emergency management in the Shire of Dowerin that the Shire of Dowerin considers appropriate.

SCOPE

These arrangements are to ensure the community is prepared to deal with the identified emergencies should they arise. It is not the intent of this document to detail the procedures for HMAs in dealing with an emergency. These should be detailed in the HMAs individual plans.

- This document applies to the local government district of the Shire of Dowerin;
- This document covers areas where the Shire of Dowerin provides support to HMAs in the event of an incident;
- This document details the Shire of Dowerin's capacity to provide resources in support of an emergency, while still maintaining business continuity; and
- The Shire of Dowerin's responsibilities in relation to recovery management.

The arrangements are to serve as a guide to be used at the local level. Incidents may arise that require action or assistance from district, state or federal level.

AREA COVERED

The Shire of Dowerin is located in the Central Wheatbelt, approximately 156 kms north-east of Perth. The Shire covers 1,863 square kilometres with a population of approximately 860 people. The Shire of Dowerin borders on the Shires of Goomalling, Wyalkatchem, Koorda, and Cunderdin.

EXERCISING, LEMA REVIEW AND ANNUAL REPORTING

Exercising

Exercising is the simulation of emergency management events, through discussion or actual deployment of personnel, in order: to train personnel; to review/test the planning process or other procedures; to identify needs and/or weaknesses; to demonstrate capabilities; and to practice people in working together. The different types of exercises include Discussion, Field, Table Top and Tactical Exercise without Troops.

Testing and Exercising is important for a number of reasons, including ensuring that the Emergency Management Arrangements are workable, current and effective, as well as ensuring that individuals and organisations remain aware of what is required of them during an emergency response situation.

The Dowerin Local Emergency Management Committee exercises its arrangements once a year as per State Emergency Management Policy 4.8 and State Emergency Management Plan 4.7.

Hazard Management Agencies are responsible to exercise their response to an incident but this could be incorporated into a LEMC exercise.

Exercise reports should be prepared as soon after the exercise as practical and sent to the DEMC Executive Officer who will table outcomes at the next DEMC meeting for district awareness and forward the report to the State Exercise Coordination Team for noting and collation.

LEMA Review

An entire review of the emergency management arrangements should be undertaken every five years.

A review of the arrangements should be undertaken after training that exercises the arrangements.

The Contacts and Resources list should be reviewed and updated as needed but at a minimum quarterly.

Reporting

The annual LEMC Report is encompassed within the preparedness Capability Survey and will be prepared and submitted as directed each year by the SEMC. The Capability Survey informs the State Preparedness Report which is provided to the Minister of Emergency Services and tabled in Parliament in October each year.

AGREEMENTS, UNDERSTANDING AND COMMITMENTS

Part 1	Part 2	Summary of Agreement	Special Considerations
Shire of Dowerin	Department of Communities	Provision of Welfare	
Shire of Dowerin	Tin Dog IGA	Provision of food/drinks after hours for Welfare Centres	Purchase Orders Required
Shire of Dowerin	Dowerin Road House	Provision of food/drinks after hours for Welfare Centres	Purchase Orders Required
Shire of Dowerin	Local Community	Use of school buses in an emergency	See contacts and resources section for contact details
Shire of Dowerin	Local farmers	Use of earthmoving equipment in an emergency	See contacts and resources section for contact details
Shire of Dowerin	Co-operative Bulk Handling		
Shire of Dowerin	Dowerin District High School	Use of High School facilities	See contacts and resources section for contact details
Shire of Dowerin	Department of Justice	Use of Commercial Kitchen, Dining Room and Shed	See contacts and resources section for contact details

LOCAL ROLES AND RESPONSIBILITIES

Local Role	Description of Responsibilities
Local Government	The responsibilities of the Shire of Dowerin are defined in s.36 of the *Emergency Management Act 2005* It is a function of a local government – • subject to this Act, to ensure that effective local emergency management arrangements are prepared and maintained for its district; and • to manage recovery following an emergency affecting the community in its district; and • to perform other functions given to the local government under this Act.
Local Emergency Coordinator	The responsibilities of the LEC are defined in s37(4) of the *Emergency Management Act 2005* The Local Emergency Coordinator for a local government district has the following functions – • to provide advice and support to the local emergency management committee for the district in the development and maintenance of emergency management arrangements for the district; • to assist hazard management agencies in the provision of a coordinated response during an emergency in the district; • to carry out other emergency management activities in accordance with the directions of the State Emergency Coordinator.

Local Role	Description of Responsibilities
Local Recovery Coordinator	To ensure the development and maintenance of effective recovery management arrangements for the local government. In conjunction with the local recovery committee to implement a post incident recovery action plan and manage the recovery phase of the incident.
Local Government	The responsibilities of the Shire of Dowerin are defined in s.36 of the *Emergency Management Act 2005* It is a function of a local government – • subject to this Act, to ensure that effective local emergency management arrangements are prepared and maintained for its district; and • to manage recovery following an emergency affecting the community in its district; and • to perform other functions given to the local government under this Act.
Local Emergency Coordinator	The responsibilities of the LEC are defined in s37(4) of the *Emergency Management Act 2005* The Local Emergency Coordinator for a local government district has the following functions – • to provide advice and support to the local emergency management committee for the district in the development and maintenance of emergency management arrangements for the district; • to assist hazard management agencies in the provision of a coordinated response during an emergency in the district; • to carry out other emergency management activities in accordance with the directions of the State Emergency Coordinator.
Local Recovery Coordinator	To ensure the development and maintenance of effective recovery management arrangements for the local government. In conjunction with the local recovery committee to implement a post incident recovery action plan and manage the recovery phase of the incident.
Local Government Welfare Liaison	During an evacuation assist Dept. Communities by providing advice information and resources.
Local Government Liaison Officer (to ISG/IMT)	During a major emergency the liaison officer attended ISG meetings to represent the local government, provides local government knowledge input and provides details contained in the LEMA.
Local Government – Incident Management	Ensure planning and preparation for emergencies is undertaken. Implementing procedures that assist the community and emergency services deal with incidents. Ensuring that all personnel with emergency planning and preparation, response and recovery responsibilities are properly trained in their role. Keep appropriate records of incident that have occurred to ensure continual improvement of the Shires' emergency response capability. Participate in the ISG and provide local support. Where an identified evacuation centre is a building owned and operated by the local government, provide a liaison officer to

LEMC ROLES AND RESPONSIBILITIES

The Shire of Dowerin has established a Local Emergency Management Committee (LEMC) as per section 38(1) of the *Emergency Management Act 2005* to oversee, plan and test the local emergency management arrangements.

The LEMC is not an operational committee but rather the organisation established by the local government to assist in the development of local emergency management arrangements for its district.

The LEMC includes representatives from agencies, organisations and community groups that are relevant to the identified risks and emergency management arrangements for the community. The LEMC membership must include at least one local government representative and the Local Emergency Coordinator. The term of appointment of LEMC members shall be determined by the local government in consultation with the parent organisation of the members.

The Dowerin LEMC meets quarterly, generally on the third Wednesday of every February, April, August and October.

LEMC Role	Description of Responsibilities
LEMC Chair	Provide leadership and support to the LEMC to ensure effective meetings and high levels of emergency management planning and preparedness for the local government district is undertaken.
LEMC Executive Officer	Provide executive support to the LEMC by providing secretariat support including: • Meeting agenda; • Minutes and action lists; • Correspondence; • Maintain committee membership contact register. Coordinate the development and submission of committee documents in accordance with legislative and policy requirements including: • Annual Report; • Annual Business Plan; • Maintain Local Emergency Management Arrangements. Facilitate the provision of relevant emergency management advice to the Chair and committee as required and participate as a member of sub-committees and working groups as required.

LEMC MEMBERSHIP

Organisation	Officer
Shire of Dowerin	Shire President
Shire of Dowerin	Chief Executive Officer
Shire of Dowerin	Manager Works & Assets
Shire of Dowerin	Executive & Governance Officer
Dowerin Home Care	Coordinator
WA Police	OIC Dowerin Police (Sergeant) 2IC Dowerin Police (Constable)
Department of Communities	District Emergency Services Officer
Western Power	District Representative – *not a member but receives agendas and minutes for information purposes*
St John Ambulance	Community Paramedic Local Sub-Centre chairman
Department of Fire and Emergency Services	Area Officer
Department of Fire and Emergency Services	District Emergency Management Advisor
Chief Bush Fire Control Officer	As elected
Deputy Chief Bush Fire Control Officer	As elected
Volunteer Fire and Rescue – Dowerin	Captain Lieutenant
Water Corporation	Local Depot Team Leader
Goomalling District Hospital	Hospital Manager
Dowerin District High school	Principal Deputy
Road Wise	Road Safety Advisor
Department Biodiversity, Conservation and Attractions (Parks and Wildlife)	District Fire Coordinator (Wheatbelt)
Dowerin Community Resource Centre	Coordinator

For current LEMC membership names and contacts please see LOCAL EMERGENCY MANAGEMENT COMMITTEE CONTACTS Section – this is only available to LEMC members and Emergency Management professionals.

AGENCY ROLES AND RESPONSIBILITIES

In the event of an emergency, the local government will need to liaise with a range of state agencies who will be involved in the operational aspects of the emergency. The following table summarises the key roles:

Agency Roles	Description of Responsibilities:
Controlling Agency	A Controlling Agency is an agency nominated to control the response activities to a specified type of emergency. The function of a Controlling Agency is to; • Undertake all responsibilities as prescribed in Agency specific legislation for Prevention and Preparedness; • Control all aspects of the response to an incident; and • During Recovery the Controlling Agency will ensure effective transition to recovery.
Hazard Management Agency	A HMA is to be a public authority or other person who or which, because of that agency's functions under any written law or specialised knowledge, expertise and resources, is responsible for emergency management, or the prescribed emergency management aspect, in the area prescribed of the hazard for which it is prescribed" A HMA's function is to: • Undertake responsibilities where prescribed for these aspects; • Appointment of Hazard Management Officers; • Declare/Revoke Emergency Situation; and • Coordinate the development of the Westplan for that hazard.
Combat Agency	A combat agency as prescribed under Subsection (1) of the Emergency Management Act 2005 is to be a public authority or other person who or which, because of that agency's functions under any written law or specialised knowledge, expertise and resources, is responsible for performing an emergency management activity prescribed by the regulations in relation to that agency.
Support Organisation	A public authority or other person who or which, because of the agency's functions under any written law or specialised knowledge, expertise and resources is responsible for providing support functions in relation to that agency.

RELATED DOCUMENTS AND ARRANGEMENTS

Local Emergency Management Policies

As per section 41(2)(a) of the *Emergency Management Act 2005,* the local emergency management arrangements need to specify "the local government policies for emergency management". The Shire of Dowerin has the following emergency management policies in place:

Policy Name	Policy Objective
10.5 Fire Hazard Reduction	To establish and maintain a Bush Fire organisation in accordance with Part IV of the *Bush Fires Act 1954* in order to provide adequate fire protection of those areas of the municipality within the Bush Fire District and to carry out an ongoing program of hazard reduction having due regard at all times for the preservation of the natural environment.
10.6 Bush Fire – Personnel Protective Clothing and Equipment	To ensure that brigade members are adequately protected while conducting firefighting activities.
10.7 Harvest & Movement of Vehicles Bans	The Shire of Dowerin has the right to impose the ban on activities such as harvesting crops, vehicle movements and hot works. The only exception to the ban is watering and feeding of livestock. This procedure is to refine the way the ban is measured and implemented.
10.8 Bushfire Control – Provision of Shire Plant & Equipment	To ensure that Dowerin and neighbouring Bush Fire Brigades are adequately resourced to achieve timely, quality and effective emergency services and minimise the impact of emergencies on the community.
10.9 District Operations Advisory Committee	To ensure that the Shire of Dowerin and its Brigades are well represented at a regional level.

EXISTING PLANS AND ARRANGEMENTS

Document	Owner	Location	Date of Plan
Risk Register	Shire of Dowerin	Shire of Dowerin	2018
Air Crash	WAPOL	Dowerin Police Station	2018
Land Search	WAPOL	Dowerin Police Station	2018
Road Crash	WAPOL	Dowerin Police Station	2018
Terrorism	WAPOL	Dowerin Police Station	2018
Local Welfare Plan	Dept. Communities	Shire of Dowerin, Dept. Communities	2018
Westplan – Brookfield Rail Crash Emergency	ARC Infrastructure	ARC Infrastructure (DFES Website)	2016

COMMUNITY CONSULTATION

The community of Dowerin were consulted in the compilation of these arrangements via notice on our website (www.dowerin.wa.gov.au), numerous advertisements in the local paper/newsletter and through utilisation of the Shire of Dowerin Facebook page.

COMMUNITY INVOLVEMENT

As a result of the advertising mentioned under 'Community Consultation' – one submission was received from the public.

COMMUNITY AWARENESS

The Dowerin LEMC makes every effort to increase community awareness of emergency management.

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Section Two

Coordination of Emergencies

AUSTRALASIAN INTER-SERVICE INCIDENT MANAGEMENT SYSTEM (AIIMS)

In a multi-agency system, incident management comprises command, control and coordination.

Control maintains the overall direction of emergency response. To effectively control an emergency, incidents should be managed by a single person. (The Incident Controller)

Command is the direction of resources within the agencies whose resources are committed to the emergency.

Coordination is the bringing together of agencies and resources to ensure effective response to and recovery from emergencies.

In order to work together effectively, emergency management agencies need a common framework of roles, responsibilities and processes. In Australia, AIIMS is the nationally recognised system of incident management. AIIMS is founded on five key principles, with eight key functions identified within the structure.

The five key principles of AIIMS:

Unity of Command	Each individual should report to only one Supervisor. There is only one Incident Controller, one set of objectives, one plan for the management of the incident.
Span of Control	Refers to the number of groups or individuals that can be successfully supervised by one person. Up to five reporting groups/individuals is considered desirable, occasionally more.
Functional Management	Functions are performed and managed by Incident Controller or his/her delegates. Eight key areas of functional management; Incident Controller and heads of the functional sections are collectively the Incident Management Team (IMT).
Management by Objectives	The Incident Controller, in consultation with the IMT, determines the desired outcomes of the incident.
Flexibility	AIIMS can be applied to any incident or emergency event, so a flexible approach is essential.

The eight possible functions of AIIMS:

Control	Management of all activities required to resolve the incident.
Planning	Development of objectives, strategies and plans for the resolution of the incident.
Intelligence	Collecting and analysing information or data which is distributed as intelligence to support decision making and planning.
Public Information	Provisions of warnings, information and advice to the public, liaison with the media and community.

Operations	Tasking and application of resources.
Investigation	Investigating to determine the cause of and/or the factors contributing to the impact of the incident.
Logistics	Acquisition and provision of human and physical resources, facilities, services and materials.
Finance	Managing accounts for purchases of supplies, hire of equipment, etc. Insurance and compensation for personnel, property and vehicles. Collection of cost data and provision of cost-effect analyses and providing cost estimates for the incident.

INCIDENT MANAGEMENT TEAM (IMT)

An IMT is made up of incident management personnel comprising the Incident Controller and the personnel he or she appoints to be responsible for the functions of operations, planning and logistics. An Incident is controlled by a Controlling Agency, which will nominate an Incident Controller who has delegated authority to manage the control of the incident. The team is led by the Incident Controller and is responsible for the overall control of the response to the incident. As an incident scales up and down in size, so does the size of the IMT.

INCIDENT SUPPORT GROUP (ISG)

The role of an ISG is to provide support to the Incident Management Team (IMT). The ISG is a group of people represented by the different agencies who may have involvement in the incident and who provide support to the Controlling Agency.

TRIGGERS FOR AN ISG

An ISG is triggered when the incident is a "Level 2" or higher and when multiple agencies need to be coordinated.

Classification of Incidents:

Level	Description	Local Response Required
Level One	Usually resolved through local or initial response resources	Provide support to resolve the incident at the local level
Level Two	Require deployment of resources beyond initial response, functional sections established due to complexity	Provide support to resolve the incident at a local level, provide a Local Government Liaison Officer to the ISG. Make facilities available to the HMA as evacuation centres.
Level Three	Complexity may require divisions for effective management to be established, usually involves delegation of all functions	Provide support to resolve the incident at a local level, provide Local Government Liaison Officers to the ISG and /or OASG. Make facilities available to the HMA as evacuation centres.

MEMBERSHIP OF AN ISG

The recovery coordinator should be a member of the ISG from the outset to ensure consistency of information flow, situational awareness and handover to recovery. The representation on this group may change regularly depending upon the nature of the incident, agencies involved, and the consequences caused by the incident.

Agencies supplying staff for the ISG must ensure that the representative(s) have the authority to commit resources and/or direct tasks.

FREQUENCY OF MEETINGS

The frequency of meetings will be determined by the Incident Controller and will depend of the nature and complexity of the incident. As a minimum there should be at least one meeting per incident.

LOCATIONS OF ISG MEETINGS

Location of ISG meetings will be determined by the Incident Controller but should not be held in the midst of the incident, nor should they be held at the same location as meetings of the incident management team.

The following locations can be used for ISG meetings:

Location	Address
Dowerin St John Ambulance Sub Centre	Memorial Avenue, Dowerin
Shire Administration	13 Cottrell Street, Dowerin
Dowerin District High School	East Street, Dowerin
Dowerin Community Club	East Street, Dowerin

For a list of contacts in order to open these locations for ISG meetings, please refer to INCIDENT SUPPORT GROUPS MEETING LOCATIONS AND CONTACTS in the Contacts and Resources Section.

LOCATIONS OF INCIDENT CONTROL CENTRES

Location	Address
Shire Administration	13 Cottrell Street, Dowerin
Dowerin St John Ambulance Sub Centre	Memorial Avenue, Dowerin

These are locations where a major incident can be run form (Level 2 or 3) and/or where a level 1 incident such as storm clean up could be run by local services.

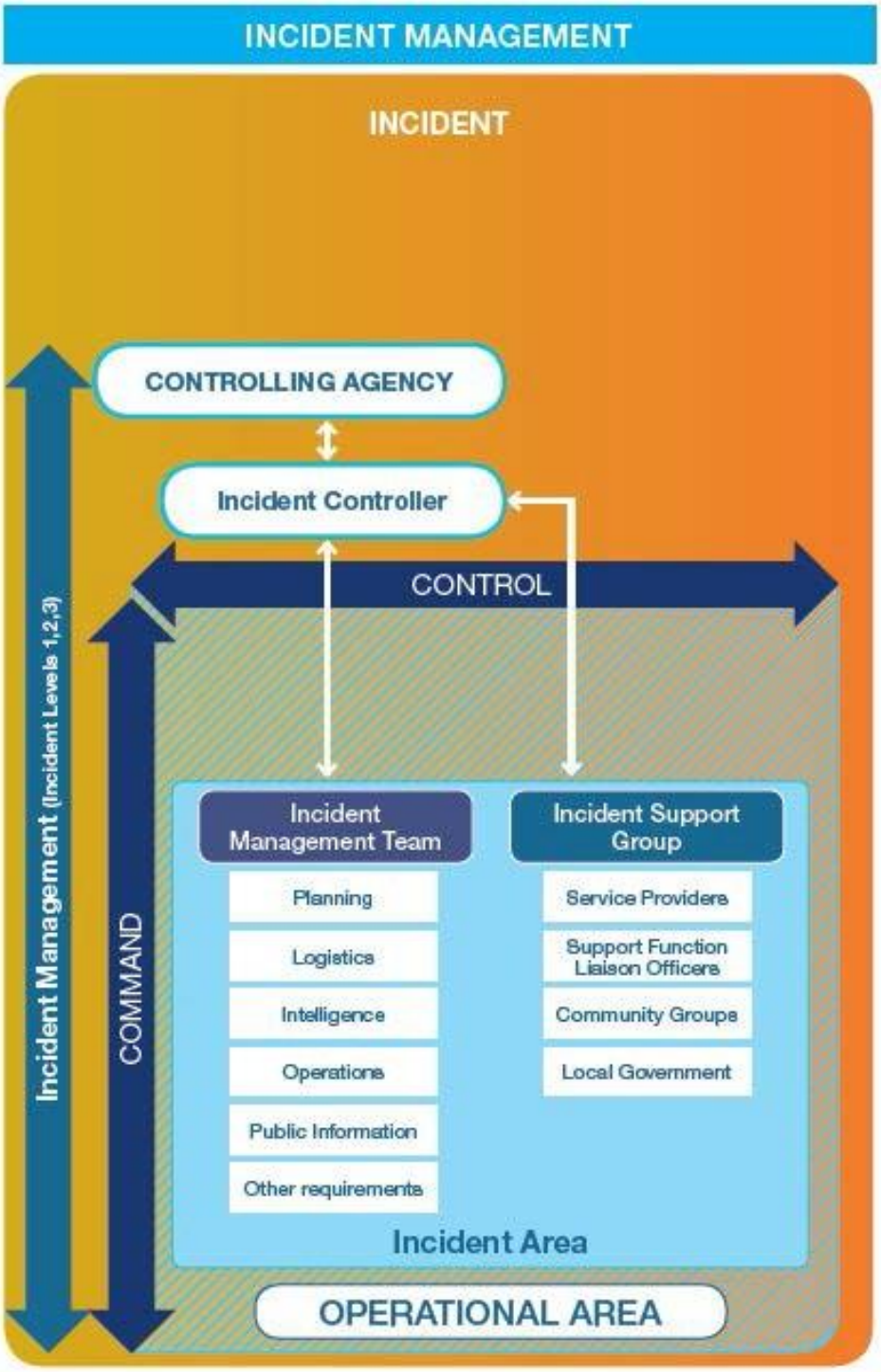

Figure 1: A diagram illustrating Incident Management

FINANCIAL ARRANGEMENTS

The Shire of Dowerin is committed to expending such necessary funds within its current budgetary constraints as required to ensure the safety of its residents and visitors. The Chief Executive Officer should be approached immediately if an emergency event requiring resourcing by the Shire of Dowerin occurs to ensure the desired level of support is achieved.

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Section Three

Risk

RISK MANAGEMENT

Risk Management is a vital part of the emergency management process. It is vital that we understand the hazards and risks likely to impact the Shire of Dowerin.

The Dowerin LEMC has taken into account that there a number of special considerations to be given attention when considering risks affecting our community. They are listed below.

SPECIAL CONSIDERATIONS

- Restricted access to gravel roads during times of high rainfall
- Increase of heavy traffic on minor roads during seeding (April – June)
- Increase of heavy traffic on major roads during harvest (October – December)
- Increased bushfire risk in summer months (November to March)
- Low numbers of volunteers, particularly from Bushfire Brigades, around January.
- Increased traffic to major roads during Dowerin Field Days (last Wednesday and Thursday in August annually)
- Influx of seasonal workers in seeding and harvest periods
- General limitations on resources due to the size and location of Dowerin
- High percentage of aged persons in the community
- Childcare services

CRITICAL INFRASTRUCTURE

The following assets/infrastructure and roads are located within the Shire of Dowerin have been classified as critical infrastructure:

Dowerin Town Centre	
Residential and Commercial Buildings	
Telecommunications Tower	Goomalling – Wyalkatchem Road – situated at Workcamp
Power Supply	Western Power
Water Supply	Water Corporation
Deep Sewer	Water Corporation
Sewerage Tower and Ponds	Shire of Dowerin
Standpipes and Water Tanks	Shire of Dowerin
Railway	ARC Infrastructure
Dowerin District High School – Memorial Avenue	Department of Education
St John Ambulance Sub Centre	St John Ambulance – Memorial Avenue
Dowerin Airport	Department of Transport
Bush Fire Brigade – East Street	Shire of Dowerin
Dowerin Community Club – East Street	Shire of Dowerin

Dowerin Town Hall	Shire of Dowerin
Dowerin Community Resource Centre	Shire of Dowerin
Shire of Dowerin – Administration – Cottrell Street	Shire of Dowerin
Dowerin Police Station	Shire of Dowerin
Co-operative Bulk Handling	
Dowerin Workcamp	Department of Justice
Goomalling – Wyalkatchem Road	Shire of Dowerin
Dowerin – Meckering Road	Shire of Dowerin
Dowerin – Kalannie Road	Shire of Dowerin

RISK REGISTER

The Dowerin LEMC will be undertaking extensive risk assessment work as part of the State Risk project – local level.

The Risk Register will be included in the LEMA at that time.

EMERGENCIES LIKELY TO OCCUR / HAZARDS REGISTER

The following hazards were identified as the most likely to occur in Dowerin. Below is a register of the identified hazards.

Hazard	Controlling Agency	HMA	Local Combat Role	Local Support Role	State Hazard Plan (West plan)	Local plan
Earthquake	DFES	DFES	SES	DC, Local Govt, SJA	Earthquake (2016)	
Bushfire	Local Govt	DFES	BFBs	DC, Local Govt, SJA	Fire (Interim) (2018)	
Storm	DFES	DFES	SES, BFBs	DC, Local Govt, SJA	Storm (2016)	
Road Traffic Accident	WA Police	WA Police	WA Police	Local Govt, SJA	Crash Emergency (2018)	
Hazmat	DFES	DFES	DFES	DC, Local Govt SJA	Hazmat (2018)	
Human Epidemic	Dept of Health	Dept Health	Dept of Health	DC, Local Govt SJA	Human Biosecurity (2019)	
Animal & plant biosecurity	DPIRD	DPIRD	DPIRD			

Section Four

Evacuation

EVACUATION

There is a possibility that during an emergency, circumstances may arise where there may be the need to totally or partially evacuate the population of an area due to risk.

The Shire of Dowerin and its LEMC is dedicated to ensuring pre-emergency evacuation planning is carried out so that, if an emergency was to occur, the risks associated with evacuation can be mitigated.

The overall responsibility for a community evacuation rests with the Controlling Agency. The decision to evacuate rests with the Incident Controller who is appointed by the Hazard Management Agency or Controlling Agency.

When an evacuation is being considered, the Hazard Management Agency or Controlling Agency is to consult with the Shire of Dowerin and the Department of Communities.

TYPES OF EVACUATION

Self-evacuation is the self-initiated, spontaneous movement of individuals, families or community groups when threatened by an emergency. The Controlling Agency should provide sufficient, timely and relevant information to the community to assist in them making an informed decision to self-evacuate.

A c*ontrolled evacuation* is the managed movement of people from a threatened area to a place of safety. The decision to undertake a controlled evacuation will be made by the Controlling Agency or an Authorised Officer who will determine whether the evacuation will be recommended (voluntary) or directed (compulsory).

A *recommended evacuation* is a type of controlled evacuation where the Hazard Management Agency or Controlling Agency provides advice to community members that they evacuate, when the Incident Controller believes that is the best option. A recommended evacuation is made when there is a possible threat to lives/property, but it is not believed to be imminent or significant.

A *directed evacuation* is a type of controlled evacuation where the Hazard Management Agency or Controlling Agency issues a direction for people and animals to evacuate/be evacuated, with which they are obliged to comply. This is most likely to occur when injury or loss of life in imminent.

THE FIVE STAGES OF EVACUATION

Things to Consider: Legislative powers, risk management, resource requirements. Reasons to/not to evacuate must be recorded.

Stage Two: Warning – Telling people of the need to go

Part of the LEMC's planning process is to identify available communication methods for public information.

Stage Three: Withdrawal – Getting people out

Self-evacuation, recommended evacuation or directed evacuation?

Controlling Agency should, as far as is practicable, ensure the security of the area that has been evacuated and of the remaining persons and property – assistance with this may be sought from WAPOL, local government and security and/or traffic management contractors.

Stage Four: Shelter – Where people can go and providing support

Where a Controlling Agency establishes one or more evacuation centres, they must take reasonable steps to ensure that evacuees are properly received and supported via welfare agencies and/or the local government. Department of Communities will coordinate the provision of welfare support for evacuated persons.

Stage Five: Return – Allowing people back and supporting their return

In most circumstances the return of the affected community is the responsibility of the Controlling Agency that determined the need for an evacuation in the first place. In instances where the impacts of a hazard have had lasting effects, the incident may have been handed over to a Recovery Coordinator and/or Recovery Committee at the State or Local level.

A relevant person will need to ensure that an appropriate assessment has been carried out to confirm that the area is safe and possible to return to. The return may be executed in stages as the operational plan should consider issues such as community safety, restoration of essential services and provision of welfare support services.

Shire of Dowerin Emergency Evacuation Guide

Shire Office: 08 9631 1202
Area Covered: Dowerin and Minnivale Town Sites

KEY ROADS

Dowerin – Meckering Road
Dowerin – Kalannie Road
Goomalling – Wyalkatchem Road (Goomalling – Wyalkatchem Road runs from Goomalling to Wyalkatchem through Dowerin)

KEY CONTACTS

NAME	CONTACT	NAME	CONTACT
Shire Office	9631 1202	DC Crisis Care A/H	1800 199 008
Police Station	9631 1100	Western Power	13 13 51
SES	132 500	Water Corp	13 13 75
Dowerin District High School	9631 1030	Dowerin Community Club	0408 941 400
Fire and Rescue	000	Hospital - Goomalling	9629 0100
Ambulance	000	Doctor - Goomalling	9629 1166
Bushfire Brigade	000	CRC	9631 1662

HMA/CONTROLLING AGENCY CHECKLIST

- Alert Local Police
- Alert DFES or WAPOL to activate State Alert Phone System
- Advise media officer to employ information management tools – ABC radio, TV, etc.
- Alert Department of Communities
- Advise Special Needs Groups/Vulnerable People*
- Employ support agencies and volunteers for evacuation planning

*Please refer to Contacts and Resources section for a list of VULNERABLE PEOPLE CONTACT GROUPS

EVACUATION (WELFARE) CENTRES

Please refer to Section Five Welfare for a full list of evacuation centres.

EVACUATION TO OTHER LOCAL GOVERNMENT AREAS

Due to the size of the Dowerin town site, all evacuation centres are in reasonable proximity to one another. For this reason, the Shire of Dowerin and its LEMC have planned for the instance in which evacuation to all centres is impossible. Agreements have been reached with surrounding Shires for the provision of facilities to serve as evacuation centres if required.

Shire of Wyalkatchem 35kms travelling East along the Goomalling-Wyalkatchem Road

Alternative Route:

FACILITY	CAPACITY	ADDRESS	CONTACT
Wyalkatchem Rec Centre	355 Seated 120 Sleeping	Hands Drive, Wyalkatchem	0429 960 000
Wyalkatchem Town Hall	320 Seated 100 Sleeping	Honour Avenue, Wyalkatchem	0429 960 000

Wyalkatchem Airport	100 Seated 51 Sleeping	Tammin-Wyalkatchem Road, Wyalkatchem	0429 960 000

Shire of Goomalling 23kms travelling West along the Goomalling - Wyalkatchem Road

Alternative Route:

FACILITY	CAPACITY	ADDRESS	CONTACT
Goomalling Rec Centre		Cnr Quinlan & Hoddy Street, Goomalling	9629 1889
Goomalling Town Hall		32 Quinlan Street, Goomalling	9629 1101

SPECIAL NEEDS GROUPS

A list of contacts to coordinate the contacting of Vulnerable People within the Shire is available VULNERABLE PEOPLE CONTACT GROUPS in the Contacts and Resources section. The corresponding group/business is responsible for maintaining and updating the individual lists for vulnerable people that they are responsible for.

EVACUATION OF ANIMALS

Assistance animals are welcomed at all welfare centres. For a list of evacuation locations for pets, please refer to the ANIMAL WELFARE within the Contacts and Resources section.

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Section Five

Welfare

LOCAL EMERGENCY MANAGEMENT PLAN FOR THE PROVISION OF WELFARE SUPPORT

The Department of Communities has the role of coordinating welfare. The Shire of Dowerin falls under the Northam District of the Department of Communities. They have developed a Local Emergency Welfare Plan, which aims to prescribe the arrangements for the provision of welfare support services during emergencies. The plan is available from the Shire of Dowerin and/or the Department of Communities. The plan contains private contact details of key personnel and is not for public distribution.

LOCAL WELFARE COORDINATOR

The Local Welfare Coordinator for the Shire of Dowerin is the Team Leader from the Northam Department of Communities office. Their contact details can be found in the Contacts and Resources section.

LOCAL WELFARE LIAISON OFFICER

The Local Welfare Liaison Officer is appointed by the local government to coordinate welfare response during emergencies and to liaise with the Local Welfare Coordinator. This role will provide assistance to the Local Welfare Coordinator, including the management of emergency evacuation centres such as building opening, closing, security and maintenance.

The Shire of Dowerin appointed Local Welfare Liaison officer Ms Norma Metcalf.

REGISTER.FIND.REUNITE

Where a large-scale emergency occurs, and people are evacuated or become displaced, one of the areas Department of Communities has responsibility for is recording who has been displaced and placing the information onto a National Register. This allows friends and relatives to locate each other. The Department of Communities has an arrangement in place with the Red Cross to assist with the registration process.

WELFARE CENTRES

The Local Government may choose to manage a Welfare Centre however the Department of Communities has a team available for this purpose. It is the responsibility of the Hazard Management Agency, in consultation with the Local Emergency Coordinator, to request assistance with the Department of Communities. In the event of one or more evacuation centres, the Shire of Dowerin will have representation at each of the centres to provide support to the Department, including centres opened in neighbouring communities.

EVACUATION/WELFARE CENTRES

EVACUATION/WELFARE CENTRES	CONTACT	MOBILE CONTACT
Dowerin Town Hall – Cottrell Street	CEO	0429 311 202
Dowerin Recreation Centre	CEO	0429 311 202
Dowerin Community Club	CEO	0429 311 202

Functional areas of Welfare Coordination include;

- Emergency accommodation;
- Emergency catering;
- Emergency clothing and personal requisites;
- Personal support services;
- Registration and reunification; and
- Financial assistance.

OPENING AND COORDINATION OF WELFARE EVACUATION CENTRES

The Department of Communities (Communities) has legislated responsibility under WA Emergency Management Arrangements for the coordination and provision of services to evacuated community members during and after an emergency/disaster.

In many cases this will require the opening of a Welfare Evacuation Centre (Evacuation Centre) to provide evacuees with a safe place to relocate to, until they are able to return home or find alternative safe places.

There is a provision under WA Emergency Management Arrangements for the Local Government in the area affected by the emergency/disaster to take the lead role in the coordination and operation of the Evacuation Centre, until such time as Communities are able to arrive at the centre and assume responsibility for coordination and service provision.

The Controlling Agency, together with the Local Government and Department of Communities will determine when and where the opening of an evacuation centre may be required. If not present, the Dept of Communities should be contacted immediately and advised of the decision to stand up the evacuation centre.

Local government staff or LEMC members may be asked to open a Welfare Centre and manage it until Department of Communities staff arrive. A Guide and Checklist has been provided by the Department of Communities to assist with process.

The Local Government staff or LEMC members will provide a handover to Communities staff on their arrival at the Evacuation Centre. Communities may require assistance with coordinating of tasks, such as provision of food etc.

The Shire of Dowerin has reached agreements with food provision services in town for the after-hours supply of food and drinks in the event of an emergency. Please refer to the CATERING AND MEALS within the Contacts and Resources section for contact details.

SHIRE EMERGENCY ACTIVATION KITS

Two emergency activation kits have been prepared, which contain a number of resources and forms required for the operation of an evacuation centre. The kits are located at the following venues:

- Shire of Dowerin Administration Office; and
- Recreation Centre.

A copy of this LEMA and the activation kits in both hardcopy and electronic copy (USB) are also in the activation kits.

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Section Six

Recovery Plan

The Shire of Dowerin Recovery Plan

Recovery Coordinator:	Chief Executive Officer Shire of Dowerin
Deputy Recovery Coordinator:	Manager Works & Assets Shire of Dowerin

Endorsed at LEMC:	*Date*
Endorsed at Council:	*Date and resolution number*

Introduction

RECOVERY

The Shire of Dowerin Local Recovery Plan has been prepared by the Shire of Dowerin Local Emergency Management Committee to reflect the capacity of the Shire and to address the Shire's legislative responsibility under Section 36(b) and Section 41(4) of the Emergency Management Act 2005 and the Emergency Management Regulations 2006.

This recovery plan forms part of the Shire of Dowerin Local Emergency Management Arrangements (LEMA).

AUTHORITY

The local recovery plan has been prepared in accordance with the requirements of the *Emergency Management Act 2005* [s.41 (4)] and State Emergency Management Policy Chapter 6, Westplan Recovery Coordination.

OBJECTIVES

The objectives of this plan are to:

- Describe the roles, responsibilities, available resources and procedures for the management of recovery from emergencies for the Shire of Dowerin;
- Establish a basis for the coordination of recovery activities at the local level;
- To promote effective liaison between all Hazard Management Agencies (HMA), emergency services and supporting agencies, which may become involved in recovery management; and
- Provide a framework for recovery operations for the Shire of Dowerin.

SCOPE

The scope of this recovery plan is limited to the boundaries of the Shire of Dowerin. It details general recovery arrangements for the community and does not in any way detail how individual organisations will conduct recovery activities within their core business areas.

Roles and Responsibilities

LOCAL RECOVERY COORDINATOR

The Local Recovery Coordinator (LRC) is responsible for the development and implementation of the recovery management arrangements for the local government.

The Shire of Dowerin has appointed officers and key personnel to lead the community recovery process in accordance with the requirements of the *Emergency Management Act 2005,* Section 41(4). The Shire of Dowerin may appoint more than one person to the position of LRC. By appointing and training more than one person to undertake the role of the LRC coverage is assured in the event the primary appointee is unavailable when an emergency occurs.

Role

The LRC is responsible for the development and implementation of recovery management arrangements for the local government, in conjunction with the Local Recovery Coordinating Group.

Functions

- Ensure the Local Recovery Plan is established;
- Liaise with the Controlling Agency, including attending the Incident Support Group and Operations Area Support Group meetings;
- Assess the community recovery requirements for each event, in conjunction with the HMA, Local Emergency Coordinator (LEC) and other responsible agencies;
- Provide advice to the Shire President and Chief Executive Officer (CEO) on the requirement to convene the Local Recovery Coordination Group (LRCG) and provide advice to the LRCG if convened;
- Ensure the functions of the Executive Officer are undertaken for the LRCG;
- Assess for the LRCG requirements for the restoration of services and facilities with the assistance of the responsible agencies where appropriate;
- Determine the resources required for the recovery process in consultation with the LRCG;
- Coordinate local level recovery activities for a particular event, in accordance with plans and strategies determined by the LRCG;
- Monitor the progress of recovery and provide periodic reports to the LRCG and the State Recovery Coordinating Group (SRCG) if established;
- Liaise with the SRC on issues where State level support is required or where there are problems encountered with services from government agencies locally;
- Facilitate the acquisition and appropriate application of the resources necessary to ensure an effective recovery program;
- Ensure the recovery activities are consistent with the principles of community engagement;

- Arrange for the conduct of an operational debriefing of all participating agencies and organisations as soon as possible after cessation of the recovery arrangements; and
- Arrange for an evaluation of the effectiveness of the recovery activities in relation to the recovery plan, within 12 months of the emergency.

The above can be read in conjunction with the Aide Memoire – Local Recovery Coordinator local level recovery arrangements provided by the State Emergency Management Committee APPENDIX 6B: AIDE MEMOIRE LOCAL RECOVERY COORDINATOR.

LOCAL RECOVERY COORDINATION GROUP (LRCG)

The LRCG is responsible for the overall coordination of community recovery following an emergency event. The LRCG may, depending upon the scale and type of event, form subcommittees with specific responsibilities each reporting to the LRCG. The makeup of the LRCG or any respective subcommittees will be determined by the scale of the event. The LRCG and subcommittees will change over time.

Role

The role of the Local Recovery Coordinating Group (LRCG) is to coordinate and support local management of the recovery process within the community.

Functions

- Establishing subcommittees as required;
- Assessing requirements based on the impact assessment, for recovery activities relating to the social, built, economic and natural wellbeing of the community with the assistance of the responsible agencies where appropriate;
- Developing an operational plan for the coordination of the recovery process for the event that:
- takes account of the local government long term planning goals;
- includes an assessment of the recovery needs and determines which recovery functions are still required;
- develops a timetable and identifies responsibilities for completing the major activities;
- considers the needs of youth, the aged, the disabled and culturally and linguistically diverse (CALD) people;
- allows full community participation and access;
- allows for the monitoring of the progress of recovery;
- Overseeing the delivery of projects that support social, built, economic and natural environments of recovery to ensure they are community owned and targeted to best support the recovery of affected communities;
- Facilitating the provision of services, public information, information exchange and resource acquisition;

- Providing advice to the State and Local Government/s to ensure recovery programs and services meet the needs of the community;
- Negotiating the most effective use of available resources including the support of State and Commonwealth agencies;
- Monitoring the progress of recovery, and receiving periodic reports from recovery agencies;
- Ensuring a coordinated multi-agency approach to community recovery by providing a central point of communication and coordination for the actions of a wide range of recovery-related services and projects being progressed outside the direct control of the committee; and
- Making appropriate recommendations, based on lessons learned to the LEMC to improve the community's recovery preparedness.

Reference should be made to the State EM Local Recovery Guidelines and the Australian Disaster Resilience Handbook 2 "Community Recovery" for details on the principles, and methodologies for effective recovery management which may assist the local recovery coordination group.

CONTROLLING AGENCY HAZARD MANAGEMENT AGENCY

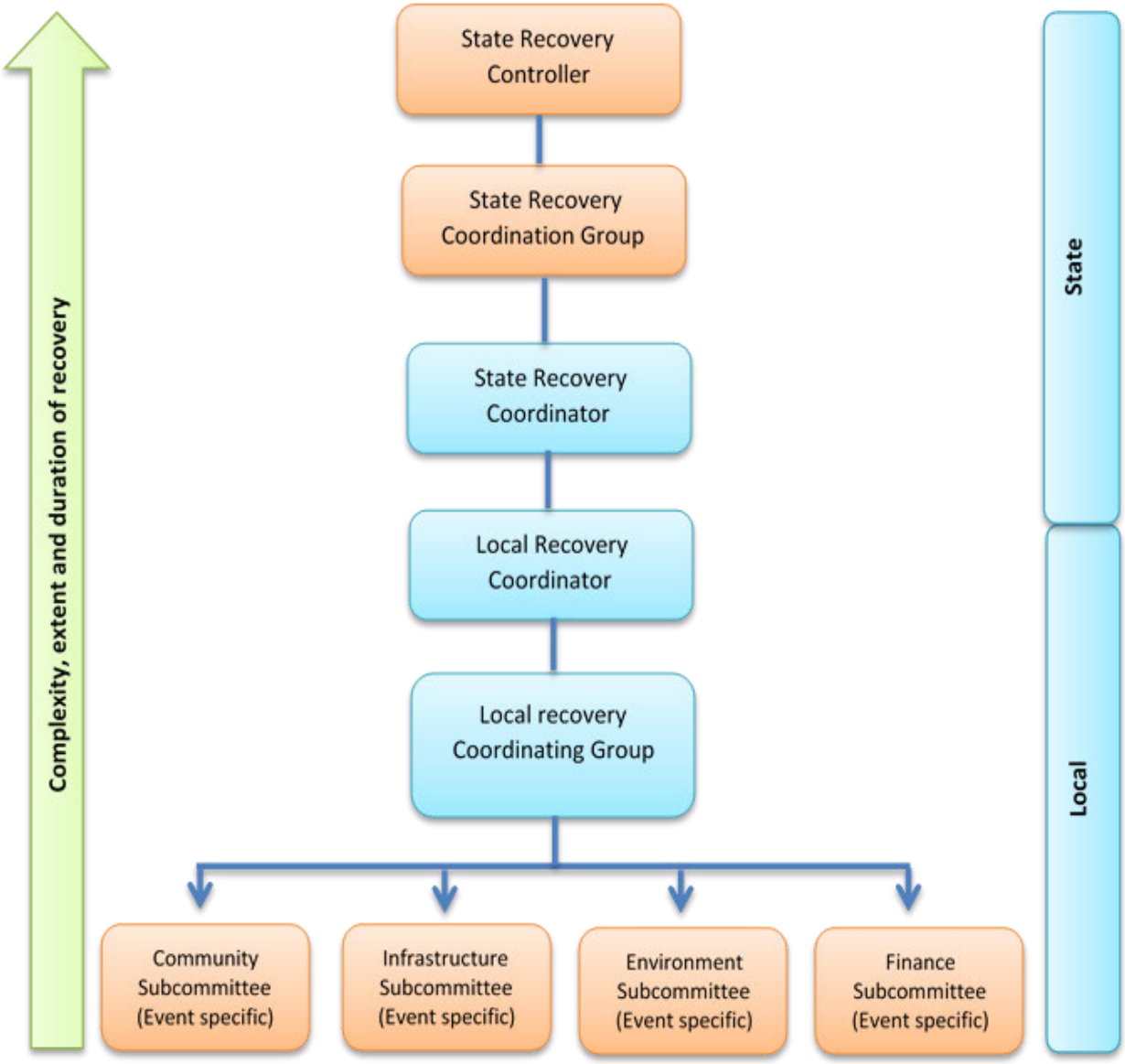
The Controlling Agency/HMA with the responsibility for the response to an emergency will initiate recovery activity during the response to that emergency. To facilitate recovery, the Controlling Agency/HMA will:

- Liaise with the Local Recovery Coordinator where the emergency is occurring and include them in the incident management arrangements including the Incident Support Group and the Operations Area Support Group;
- Undertake and initial impact assessment for the emergency and provide that assessment to the Local Recovery Coordinator and the State Recovery Coordinator;
- Coordinate completion of the Impact Statement, prior to cessation of the response, in accordance with the approved procedure, and in consultation with the Incident Support Group, all affected local governments and the State Recovery Coordinator; and
- Provide risk management advice to the affected community (in consultation with the HMA).

STATE RECOVERY COORDINATOR

In conjunction with the local government/s, the State Recovery Coordinator is to consider the level of state involvement required, based on several factors pertaining to the impact of the emergency. For a list of criteria to be considered as triggers for escalation, refer to Appendix G of the State EM Plan. The capacity of the local government to manage the recovery, the number of local governments affected, and the complexity and length of the recovery are likely to be critical factors.

Recovery Structure State and Local



Commencement of Recovery

LOCAL RECOVERY COORDINATOR

The immediate involvement of the Local Recovery Coordinator (LRC) in any Incident Support Group (ISG) will ensure that recovery starts while response activities are still in progress, and key decisions taken during the response phase are able to be influenced with a view to recovery. The LRC may also attend the Incident Management Team (IMT) as an observer for further situational awareness.

The LRC shall:

- Align response and recovery priorities;
- Connect with key agencies;
- Understand key impacts and tasks. Have input into the development of the Impact statement that will be used when the incident is transferred from response to recovery;
- Identify recovery requirements and priorities as early as possible; and
- Establish a Local Recovery Committee, and any sub committees as required.

THE CONTROLLING AGENCY

The Controlling Agency with responsibility for the response to an emergency will initiate recovery activity during the response to that emergency. To facilitate recovery, it will;

- Liaise with the local recovery coordinator and include them in the incident management arrangements including the Incident Support Group or Operational Area Support Group;
- Undertake an initial impact assessment for the emergency and provide that assessment to the local recovery coordinator and the State recovery coordinator;
- Coordinate completion of the Impact Statement, prior to cessation of the response, in accordance with the approved procedure (State EM Recovery Procedure 4) and in consultation with the ISG, the affected local government/s and the state recovery coordinator;
- Provide risk management advice to the affected community; and
- Complete an Impact Statement document.

LOCAL RECOVERY COORDINATION GROUP

Where required, the LRC shall form a Local Recovery Coordination Group which shall consist of, as a guide, the following:

Core Recovery Group

(Function – recovery planning, activation of plan, support Local Recovery Coordinator to manage the recovery process. The core group is usually made up of local government elected members and administration staff).

Position	Primary	Alternate
Chair	President	Deputy President
Local Recovery Coordinator	CEO	Manager Works & Assets
Deputy Recovery Coordinator	Manager Works & Assets	Manager Corporate & Community Services
Administrative support	Executive & Governance Officer	Manager Corporate & Community Services
Communications Officer	Customer Service & Records Officer	Manager Corporate & Community Services
Any other LG officers as required	Senior Finance Officer	Finance Officers

Co-opted members

(Function – these members would be co-opted as required to provide agency specific or expert advice and resources to assist the recovery process).

Hazard Management Agency or Controlling Agency	DFES, Police
Essential services	Telstra, Water Corp, Main Roads, Western Power
Welfare agencies	DC, Red Cross, Salvation Army, local welfare services
Financial services	Centrelink, Development Commissions, Insurance providers, Chamber of Commerce
Dept of Health	
Dept of Education	
Dept of Transport	
Dept of Primary Industry & Regional Development	
Dept of Parks and Wildlife	
WA Police	
St John Ambulance	
Community Groups or representatives	Rotary Club, Lions Club, CWA
CALD group representatives	
Non-Government Organisations	

Subcommittees

Sub committees may be formed to assist the recovery process by considering specific priority areas.

Core priority areas that may require the formation of a subcommittee include;

- Finance Subcommittee
- Infrastructure Subcommittee
- Community Subcommittee
- Environmental Subcommittee

Please refer to Appendix 6A: Sub Committees – Objectives for objectives and Terms of Reference for these four subcommittees should they need to be activated quickly.

ASSESSMENT AND OPERATIONAL RECOVERY PLANNING:

It is essential that an assessment of the recovery and restoration requirements be conducted as soon as possible after the impact of the event. This assessment will be based on the Impact Statement data provided by the Controlling Agency.

Depending upon the extent of the restoration and reconstruction required, the Local Recovery Coordinator and Local Recovery Coordinating Group should develop a specific Operational Recovery Management Plan setting out the recovery process to be implemented. For an Operational Recovery Plan template refer to Appendix 6B: Operational Recovery Plan template.

Resources

RECOVERY RESOURCES

The Local Recovery Coordinator for the Shire of Dowerin is responsible for determining the resources required for recovery activities in consultation with the Controlling Agency/Hazard Management Agency and Support Organisations.

The Shire of Dowerin resources are identified in the Contacts and Resources Register. The Local Recovery Coordinator (LRC) is responsible for coordinating the effective provision of activities, resources and services for the Shire of Dowerin should an emergency occur.

The following table identifies suitable Local Recovery Coordination Centres in the local government area.

Centre Name	Address	Capacity and available resources	Contacts
Administration Office	13 Cottrell Street, Dowerin		CEO Manager Works & Assets

FINANCIAL ARRANGEMENTS

The primary responsibility for safeguarding and restoring public and private assets affected by an emergency rests with the asset owner, who needs to understand the level of risk and have appropriate mitigation strategies in place.

Through the Disaster Recovery Funding Arrangements – WA (DFRA-WA), the State Government provides a range of relief measures to assist communities in recovering from an eligible natural event. The Shire of Dowerin will make claims for recovery activities where they are deemed eligible under DFRA.

More information regarding DRFA is available from the State Emergency Management Committee web page - link - https://www.dfes.wa.gov.au/recovery/Pages/default.aspx

DFES, as the State Administrator, may activate DRFA-WA for an eligible event if the estimated cost to the State of eligible measures is anticipated to exceed the Small Disaster Criterion (currently set at $240,000).

FINANCIAL PREPARATION

The Shire of Dowerin will take the following actions to ensure they are prepared financially to undertake recovery activities should the need arise. These actions include:

- Understanding and treating risks to the community through an appropriate risk management process;
- Ensuring assets are recorded, maintained and adequately insured where possible;
- Establishing a cash reserve for the purpose where it is considered appropriate for the level of risk;
- Understanding the use of Section 6.8(1)(b) or (c) of the *Local Government Act 1995*. Under this section, expenditure not included in the annual budget can be authorised in advance by an absolute majority decision of the Council, or by the President in an emergency and then reported to the next ordinary meeting of Council;
- Understanding the use of Section 6.11(2) of the *Local Government Act 1995* to utilise a cash reserve established for another purpose, subject to one month's public notice being given of the use for another purpose. *Local Government (Financial Management) Regulations 1996* – Regulation 18(a) provides and exemption for giving local public notice to change the use of money in a reserve where the President has authorised expenditure in an emergency. This would still require a formal decision of Council before money can be accessed.
- Understanding the use of Section 6.20(2) of the *Local Government Act 1995* to borrow funds, subject to one month's local public notice of the proposal and exercising of the power to borrow by an absolute majority decision of the Council;

- Ensuring an understanding of the types of assistance that may be available under the DRFA-WA, and what may be required of local government in order to gain access to this potential assistance; and
- Understanding the need to manage cash flow requirements by making use of the option of submitting progressive claims for reimbursement from DRFA-WA, or Main Roads WA.

MANAGING DONATIONS

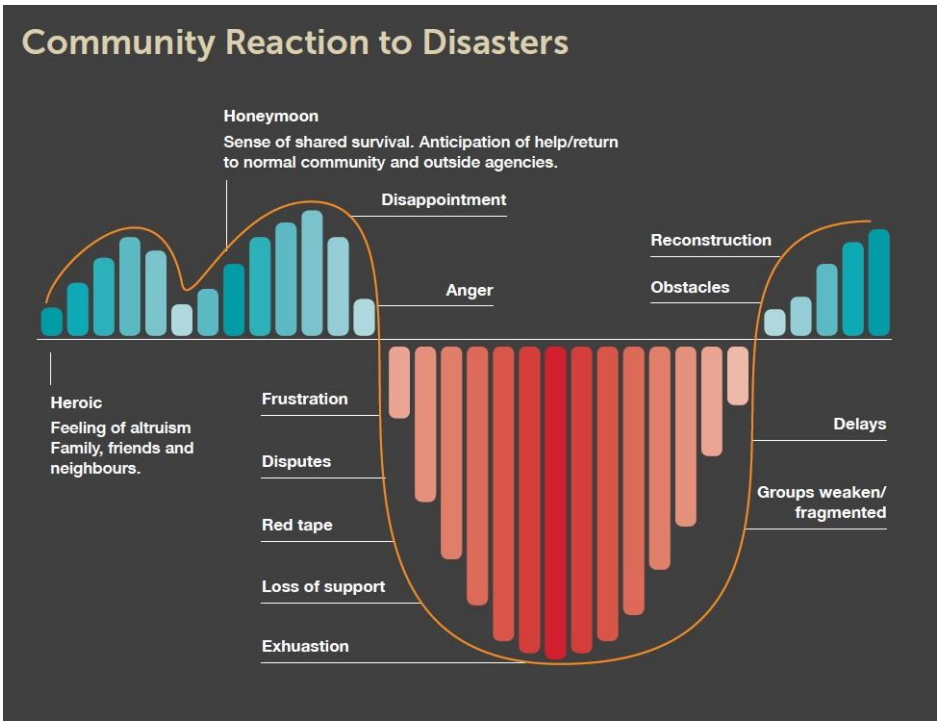
Organisations wishing to establish public appeals for cash donations should use the Lord Mayors Distress Relief Fund managed by the City of Perth, as detailed in the State EM Recovery Procedure 1 – Management of Public Fundraising and donations. NOTE: Appeals for donations of physical items such as food and furniture should be discouraged unless specifically requested by the Local Recovery Coordination Group. In all instances cash donations should be encouraged with prospective donors directed to the Lord Mayor's Distress Relief Fund.

Community Reactions

It is important to understand the common reactions that individuals and the affected community as a whole, move through, when they are touched by an emergency.

Understanding the psychosocial impacts of emergencies can provide insight to assist people get back on their feet and to re-establish their post-emergency life.

The below diagram illustrates the four-stage cycle of emotions that people are likely to experience after being impacted by an emergency. This process is indicative only. It should not be read as a sequential process, but as a guide to help anticipate predictable challenges in the recovery stage.



It is important that all recovery communications are mindful of the cycle detailed above. By understanding this, recovery communications can be carefully tailored for the community as they move through each phase.

National Principles for Disaster Recovery

Disasters can deeply impact lives and livelihoods. Working with communities recovering from disasters is complex and challenging. These principles are a way to guide our efforts, approach, planning and decision-making.

Planning for recovery is integral to emergency preparation and mitigation actions may often be initiated as part of recovery.

Disaster recovery includes built, environment and economic elements, all contributing to individual and social wellbeing.

The Shire of Dowerin aligns its priorities for recovery to the National Principles for Disaster Recovery.

While all the principles are equally critical to ensure effective recovery, understanding the local and broader content and recognising complexity is foundational.

Understand the CONTEXT	Successful recovery is based on an understanding of the community context, with each community having its own history, values and dynamics.
Recognise COMPLEXITY	Successful recovery is responsive to the complex and dynamic nature of both emergencies and the community.
Use COMMUNITY-LED approaches	Successful recovery is community-centred, responsive and flexible, engaging with community and supporting them to move forward.
COORDINATE all activities	Successful recovery requires a planned, coordinated and adaptive approach, between community and partner agencies, based on continuing assessment of impacts and need.
COMMUNICATE effectively	Successful recovery is built on effective communication between the affected community and other partners.
Recognise and Build CAPACITY	Successful recovery recognises supports and builds on individual, community and organisational capacity and resilience.

The complete National Principles for Disaster recovery can be found at: https://knowledge.aider.org.au/resources/national-principles-disaster-recovery

Actions and Strategies

To assist the Local Recovery Coordinator and the Local Recovery Coordinating Group a listing of recovery activities that may be undertaken together with suggested strategies has been provided. The list is not exhaustive but meant as a prompt to initiate discussion and planning.

ACTIVITIES

- One Stop Shop
- Short Term Accommodation
- Counselling
- Establish and managing emergency financial relief schemes
- Surveying and assessing the damage to public and private property
- Repairing and/or replacing public utilities, services and assets
- Assisting with the repair or replacement of private property
- Initiating programs to stimulate community morale and economic growth
- Managing environmental rehabilitation programs
- Coordinating recovery and research agencies
- Revision of Land Use/ Planning Schemes

STRATEGIES

Community Involvement Strategies

- Maximise the use of local resources, groups and individuals
- Promote prior community awareness and education
- Involve people in their own and their community recovery
- Maintain continuous liaison between emergency teams, volunteer groups and community organisations
- Create opportunities for local decision making
- Ensure self-determination in restoration planning
- Maintain a co-operative relationship between volunteers and imported specialists
- Use local suppliers
- Empower the community as quickly as possible

Recovery Information Strategies

Provide regular updates on –

- current state & extent of the disaster
- actual and proposed official response
- desired community response
- advice to isolated families

- Ensure everybody has an understanding of the situation and the opportunity for personal counselling
- Provide for advocacy by agencies and organisations
- Information may be made available to the public using a combination of the methods such as One Stop Shop, door knocks, out-reach programs, information sheets and/or community newsletters

Recovery Assistance Strategies

- Provide for special needs of aged, ethnic, children etc.
- Make food, shelter, clothing, health and emergency finance available immediately
- Deliver services in a simple & caring manner with minimal disruption to existing processes
- Ensure welfare centre cater for privacy and individual care
- Ensure emergency workers receive ongoing support, debriefing, relief and rest
- Maximise financial aid and minimise material aid

Accountability Strategies

- Ensure the affected community is involved in the allocation and distribution of material and financial resources
- Assist the community in ensuring there is accountability in the use of resources

Strategies for Grants, Loans and Gifts

- Ensure there is community involvement in determining criteria
- Communicate entitlement criteria for financial support & grants immediately
- Alterations to criteria must be communicated clearly to the community
- Consider non-English speaking groups in designing information for grants
- Maintain confidentiality

Strategies to Maintain Family Cohesion

- Keep families together during evacuation and resettlement
- Ensure all policies and processes support the family's ability to recover

Appendix 6a: Sub Committees – Objectives

Committee	Objectives
Community (or Social) Subcommittee Objectives	• To provide advice and guidance to assist in the restoration and strengthening of community well-being post the event • To facilitate understanding on the needs of the impacted community in relation to community wellbeing • To assess and recommend priority areas, projects, and events to assist with the recovery process in the immediate and short-term regarding the restoration and strengthening of community wellbeing • To assess and recommend medium- and long-term priority areas to the local government for consideration to assist in the restoration and strengthening of community wellbeing • To ensure the affected community is informed and involved in the recovery processes so actions and programs match their needs
Environment (or Natural) Subcommittee Objectives	• To provide advice and guidance to assist in the restoration of the natural environment post the event • To facilitate understanding of the needs of the impacted community in relation to environmental restoration • To assess and recommend priority areas, projects and community education to assist with the recovery process in the immediate and short-term regarding the restoration of the environment including weed management and impacts on wildlife • To assess and recommend medium- and long-term priority areas to the local government for consideration to assist in the restoration of the natural environment in the medium to long term

Infrastructure (or Built) Subcommittee Objectives	• Assist in assessing requirements for the restoration of services and facilities in conjunction with the responsible agencies where appropriate • To provide advice and assist in the coordination of the restoration of infrastructure assets and essential services damaged or destroyed during the emergency • To assess and recommend priority infrastructure projects to assist with the recovery process in the immediate and short, medium and long term

Finance (or Economic) Subcommittee	To make recommendations to the Lord Mayor's Distress Relief Fund (LMDRF) on the orderly and equitable disbursement of donations and offers of assistance to individuals having suffered personal loss and hardship as a result of the event.
	• The development of eligibility criteria and procedures by which payments from the LMDRF will be made to affected individuals which:
	  ○ ensure the principles of equity, fairness, simplicity and transparency apply
	  ○ ensure the procedures developed are straightforward and not onerous to individuals seeking assistance
	  ○ recognise the extent of loss suffered by individuals
	  ○ complement other forms of relief and assistance provided by government and the private sector;
	  ○ recognise immediate, short, medium and longer term needs of affected individuals
	  ○ ensure the privacy of individuals is protected at all times.
	• Facilitate the disbursement of financial donations from the corporate sector to affected individuals, where practical

Appendix 6b: Aide Memoire Local Recovery Coordinator

Government of **Western Australia**
State Emergency Management Committee

AIDE MEMOIRE
LOCAL RECOVERY COORDINATOR
LOCAL LEVEL RECOVERY ARRANGEMENTS

Additional information on the Local Recovery Coordinator can be found in the EM Act, Section 41(4); State EM Policy/Plan, Section 6; and State EM Local Recovery Guidelines

Nomination and role of a Local Recovery Coordinator

Local governments are to nominate a suitably skilled Local Recovery Coordinator (LRC) in their Local Emergency Management Arrangements. More than one person should be appointed and trained in case the primary LRC is unavailable during an event. The LRC is responsible for the development and implementation of recovery arrangements, including:

- consideration of potential membership of the Local Recovery Coordination Group (LRCG) prior to an event occurring
- preparation, maintenance and testing of the Local Recovery Plan in conjunction with the local government for endorsement by the Council of the Local Government
- coordination and promotion of community awareness of the recovery arrangements
- community engagement in recovery arrangements and increasing community involvement in recovery preparedness, awareness and resilience.

Local Recovery Coordinator functions during Response

- liaise with the HMA/Controlling Agency (CA)and District Advisor (DA), and attend (or nominate a Local Government Liaison Officer or CEO) the Incident Support Group and/or Operations Area Support Group meetings
- advise Mayor, Shire President and Chief Executive Officer on the requirement to convene the LRCG, including suggested membership that is event specific
- meet with agencies involved with recovery operations to determine actions
- ensure receipt of Initial Impact Assessment from CA
- determine the level of State involvement in the recovery effort, in conjunction with the local government, LRCG and State Recovery Coordinator (SRC)

- coordinate local recovery arrangements in conjunction with the LRCG, CA, Local Emergency Coordinator and other responsible agencies, if applicable.

Local Recovery Coordinator functions during Recovery

- In consultation with the DA, assess the LRCG requirements and resources for the restoration of services and facilities planned with assistance of responsible agencies
- monitor the progress of recovery and provide periodic reports to LRCG that includes: fatigue management (self/others); and communications are accurate, timely and planned
- in conjunction with the local government, ensure that any State-level recovery coordination operates only to ensure that the affected community has equitable and appropriate access to available resources
- ensure recovery projects that support the social, built, economic and natural recovery environments are community-led and targeted to best support affected communities
- provide a central point of communication and coordination for the wide range of recovery related services and projects being progressed outside of the LRCG
- make appropriate recommendations, based on lessons learnt, to the Local Emergency Management Committee to improve the community's recovery preparedness.
- arrange for the conduct of an operational debriefing of all participating agencies and organisations as soon as possible after cessation of the recovery arrangements
- arrange for an evaluation of the effectiveness of the recovery activities in relation to the Local Recovery Plan, which should be reviewed within 12 months of the emergency
- ensure the Local Recovery Plan is practical and easily accessible by community/public.

Local Recovery Coordination Group – role and functions

The LRCG is the strategic decision-making body for recovery. Key functions are:

- assess impact of event and coordinate activities to rebuild, restore and rehabilitate the social, built, economic, natural and psychosocial wellbeing of the affected community
- ensure inclusion and recovery issues of special needs people/groups are addressed
- if the Disaster Recovery Funding Arrangements – WA (DRFA-WA) have been activated for the event: ensure an assessment of damage is undertaken; and be aware of process requirements for eligible assistance measures (contact DRFA-WA officers for advice)
- manage offers of assistance, including volunteers, services and donated money.

- if the Lord Mayor's Distress and Relief Fund (LMDRF) is activated, consult with the City of Perth regarding the eligible criteria and procedures by which LMDRF payments will be made to affected individuals, as the process *commences* through the local government
- assume administrative tasks: agenda, minutes, reports, finances, recordkeeping, etc.
- coordinate with CA on completion of the Comprehensive Impact Assessment
- assess recovery requirements, based on the impact assessment/s, within the four environments: social (including psychosocial), built, economic and natural
- establish LRCG subcommittees, across the four environments: social (community), built (infrastructure), economic and natural (environment) subcommittees, or as required
- for extensive reconstruction work, develop an event specific Operational Recovery Plan that includes: timeframes, responsibilities, completing major activities, full community participation and access, and considers the longer-term recovery needs and requirements
- negotiate and facilitate the provision of services, public information, information exchange and resource acquisition
- monitor the progress of recovery and receive periodic reports from recovery agencies.

Alignment with the national principles for disaster recovery

Ensure recovery activities are consistent with the national principles for disaster recovery:

- understand the context
- recognise complexity
- use community-led approaches
- coordinate all activities
- communicate effectively
- recognise and build capacity

To assist with effective recovery communication and community engagement a "*Checklist for the LRC and LRCG*" which includes information on communicating in recovery and community engagement is included on the following page.

Local Recovery Coordinator/Coordination Group Checklist

(Please note timeframes are a guide only and the listing is not exhaustive)

Task Description	Complete
Within 12-24 hours	
Contact and alert key local/agency contacts, including Incident Controller and DA.	
Liaise with Controlling Agency (CA) and participate (or nominate the Local Government Liaison Officeror CEO) in the Incident Support Group and/or Operations Area Support Group.	
Identify special needs and vulnerable people such as: youth, the aged, the disabled, Aboriginalpeople, culturally and linguistically diverse (CaLD) people, and isolated and transient people.	
Consider fatigue management for self and recovery staff (contact EM agencies for advice/support)	
Consider what support is required, such as resources to maintain records of events and actions.	
Brief media on the recovery, ensuring accurate and consistent messaging (use the local government's media arrangements, or seek advice and support from recovery agencies).	
Within 48 hours	
LRC to ensure receipt of the initial impact assessment from the CA.	
LRC and local government to determine the need to convene a LRCG and brief	
In conjunction with the State Recovery Coordinator, the LRC and local government are to participate in the determination of the level of State involvement in the recovery effort.	
Meet with agencies involved with recovery operations to determine priority actions.	
Develop and implement an event specific Communication Plan, including public information, appointment of a spokesperson and the local government's internal communication processes.	
Manage offers of assistance, volunteers and donated money. Liaise with the City of Perth's LordMayor's Distress and Relief Fund (LMDRF), if activated, on eligible criteria and procedures forpayments to affected individuals. The procedures commence through the local government. Referto the *State EM Local Recovery Guidelines*, *Appendix Seven* for the criteria and procedures.	
Activate outreach program to meet immediate needs and determine ongoing needs. Consider the need for specialist counselling, material aid, accommodation, financial assistance andsocial, recreational and domestic facilities (liaise with the Department of Communities).	
Report on likely costs and impact of recovery activities and establish a system for recording all recovery expenditure (such as keeping all receipts and providing timesheets for paid labour).	
Consider setting up a call centre with prepared responses for frequently asked questions (FAQ). Place the collated FAQs on the local government's website or link for the disaster event, and/or printed materials, as appropriate (choose suitable medium/s for various audiences).	
Within 1 week	
Participate in consultation for completion of Comprehensive Impact Assessment by the CA.	

Establish LRCG subcommittees, if needed, based on the 4 environments: social, built, economic and natural, and determine functions and membership. Refer to the *State EM Local Recovery Guidelines*, *Appendix Seven: Sample Recovery Subcommittee Role Statements.*	
Depending on extent of the damage, the LRC and LRCG should develop an Operational Recovery Plan which determines the objectives, recovery requirements, governance arrangements, resources and priorities that is specific to the event. Refer to the *State EM Local Recovery Guidelines, Appendix Six: Operational Recovery Plan Template.*	
If the event has been proclaimed an eligible natural disaster under the Disaster Recovery Funding Arrangements – WA, be aware of process requirements for eligible assistance measures.	
Liaise with DA and recovery agencies to coordinate local management of recovery process.	

Task Description	Complete
Within 1 to 12 months (or longer-term recovery) cont.	
Promote community engagement in recovery planning including involvement in the development of the Local Recovery Plan, which may also improve confidence in recovery and generate a sense of ownership for the Plan, as well as increasing recovery awareness.	
Ensure the completed Local Recovery Plan clearly identifies recovery and operational arrangements such as: any agreements made between local governments or emergency management; roles; responsibilities; and records of all recovery expenditure and resources used.	
Determine longer-term recovery strategies that include psychosocial support.	
Debrief recovery agencies and staff.	
Implement transitioning to mainstream services in consultation with the local government or the State Recovery Coordinator, if applicable.	
Evaluate effectiveness of recovery within 12 months of the emergency, including: • lessons identified and implementation of projects/plans/training to address the lessons • developing recovery strategies/programs/training and education, in consultation with the community, that strengthens community preparedness and resilience for future events.	
Recovery communication and community engagement – throughout the recovery effort	
Effective recovery communication addresses, at a minimum: • the how: community meetings, printed materials, noticeboards, websites, social media, etc. • the who: wide variety of groups, including special needs groups • the what: what has happened, what are the issues, what services/information are available • the where: provide information any place where people spontaneously/normally congregate.	
Set-up relief, recovery centres/one stop shops, that provide the community access to all recovery services for the short, medium or long term. These services provide the opportunity for face-to-face information and resources, as well as a central repository for up-to-date local, community and agency specific information, outreach programs, etc.	

Arrange community initiatives, or accommodate and support community-led initiatives, such as: • community information forums, or neighbourhood or community meetings which can include congregations of sporting, spiritual, recreational and school groups • community or social events, street/neighbourhood barbeques, memorials, anniversaries • a central website with links to relevant government and non-government service information; establish email networks; and the provision of social media.	
Plan and implement a Community Engagement Strategy, using the following as a basic guide: • establish a target audience: consider demographics, groups and networks • determine matters to be communicated: what information is needed *from* the community andwhat information is needed to be provided *to* the community • methods of communication: consider appropriate methods/mediums for various audiences.	
Establish, or support, community briefings, meetings and information in the recovery context thatprovide: • clarification of the emergency event (Controlling Agency) • advice on services available (recovery agencies) • input into development of management strategies (local government and recovery agencies) • advice to affected individuals on how to manage their own recovery, including the provision ofpublic health information and psychosocial support (local government, specialist advisers, and government agencies such as the Department of Communities).	
Arrange community meetings and recovery information forums, with clear objectives and purpose, which help in providing information, gathering concerns, dispelling rumour, correcting misconceptions, and raising the profile of the recovery effort. For public meetings, consider: • the patronage, agenda, process of conducting the meeting, speakers, subject matter, complaint process, strategies to deal with, and follow up, concerns or complaints; • have representatives from EM disciplines to give factual information; • psychosocial issues; • appropriate communication strategies for special needs and vulnerable people and groups.	

Appendix 6c: Operational Recovery Plan Template

Shire of Dowerin

Operational Recovery Plan

Emergency Type and location:

Date emergency occurred:

Section 1 – Introduction

Incident description

Purpose of this plan

Authority

Section 2 – Assessment of recovery requirements

Details of loss and damage: (Refer Comprehensive Impact Assessment)

Residential:

Commercial:

Industrial:

Transport:

Essential Services: *(include State and local government infrastructure)*

Estimates of damage costs:

Temporary accommodation requirements: *(includes evacuation centres)*

Additional personnel requirements:

Human services: *(personal and psychological support requirements*

Other health issues:

Section 3 – Organisational Aspects

Details of the composition, structure and reporting lines of the groups/committees and subcommittees set up to manage the recovery process:

Details of inter-agency relationships and responsibilities:

Details of roles, key tasks and responsibilities of various groups/committees and those appointed to various positions including Recovery Coordinator:

Section 4 – Operational Aspects

Resources available:

Resources required:

Redevelopment plans: *(includes mitigation proposals)*

Reconstruction restoration program and priorities: *(Includes estimated timeframes, the programs and strategies of government agencies to restore essential services, plans for mitigation against future impacts. Include local government program for community services restoration.)*

Financial arrangements: *(Assistance programs (DFRA-WA), insurance, public appeals and donations)*

Public information dissemination *(Key messages, methods of distribution)*

Section 5 – Administrative arrangements

Administration of recovery funding: *(Include other financial issues)*

Public appeals policy and administration *(includes policies and strategies for office and living accommodation, furniture and equipment details for additional temporary personnel)*

Section 6 – Conclusion

(Summarises goals, priorities and timetable of the plan).

Endorsed by

Chair, Local Recovery Coordinating Group

Dated:

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Section Seven

Communications Plan

INTRODUCTION

Communicating with an affected community is a vital part of all stages of emergency management. When threatened or impacted by an emergency, community members have an urgent need for information and direction. The provision of this information is the responsibility of the Hazard Management Agency.

When communicating with an affected community, special considerations should be given to children and youth; elderly people; people with disabilities; medically reliant persons; Aboriginal people; people who are isolated or transient; and people with Culturally and Linguistically Diverse backgrounds. A list of Groups/ Business to coordinate the contact with Vulnerable People, please refer to the VULNERABLE PEOPLE CONTACT GROUPS within the Contacts and Resources section.

It is likely that individual agencies will want to issue media releases for their areas of responsibility (e.g. Water Corporate on water issues, Western Power on power issues, etc.) however the release times, issues identified, and content shall be coordinated through the ISG to avoid conflict messages being given to the public.

All Council (Local Government) media contact must be directed to the Shire President or Chief Executive Officer.

COMMUNICATION POLICY

Management of communication in a crisis is critical. This section has been created to guide the Shire of Dowerin in approaching crisis communication in a way that is structured, well-coordinated and effective.

During a crisis, this response will be led by the Local Response Coordinator (LRC) with assistance from key members of the Local Recovery Coordination Committee (LRCC). In the management of media relations, the Local Recovery Coordination (LRCC) must seek direction from the Hazard Management Agency and the Shire of Dowerin CEO and/or Shire President.

COMMUNICATION PRINCIPLES

In an emergency, communication with stakeholders must adhere to the following principals

- Timeliness - regularly updating stakeholders on the situation
- Cooperation - being responsive and considerate to enquiries, deadlines and the other needs of stakeholders
- Sensitivity - prioritising stakeholders, guarding sensitive information as needed
- Transparency - remaining honest and open about the situation and progress
- Simplicity - ensuring communication is easily understood and consistent
- Accuracy - sharing only confirmed facts, never making assumptions or giving false information
- Accountability - accepting responsibility if appropriate and reasonable.

STAKEHOLDER COMMUNICATION

If an emergency arises, a strategy will be developed that is specific to the situation and will direct the communication response. The communication strategy will be prepared by the Local Recovery Coordination (LRCC) in collaboration with the President and CEO of the Shire of Dowerin.

Both internal and external communications will be directed by the strategy, which will ensure alignment with the Local Recovery Coordination (LRCC) response objectives and with the Shire of Dowerin's communications policy.

- A well-managed and coordinated response will ensure the following occurs:
- Communication is facilitated only by those authorised to do so
- Information released is confirmed and accurate
- Communication is regular, consistent and takes into account sensitivities

COMMUNICATING IN THE PREVENTION STAGE

Prevention is defined as "the mitigation or prevention of the probability of the occurrence of, and the potential adverse effect of, an emergency".

The Shire of Dowerin employs several practices in order to aid the prevention of emergencies and these are communicated to the public. One example is the Firebreak Order distributed to the public every year, requiring firebreaks to be installed and properties to be clear of fire-hazardous materials by 1 November.

COMMUNICATING IN THE PREPAREDNESS STAGE

Preparedness is defined as "the preparation for response to an emergency".

Through increasing community preparedness, Emergency Management Agencies can educate stakeholders, networks and communities on potential emergency risks, impacts, and personal responsibility, therefore promoting community resilience. By doing so an EMA can;

- Raise awareness in high-risk areas about the importance of planning and preparing (i.e. for cyclones, floods and bushfires);
- Raise personal awareness of risks and the need for adequate insurance;
- Increase adoption of preparedness measures and appropriate response behaviours in high-risk areas; and
- Increase understanding of how to prevent, prepare for, respond to and recover from the hazards particular communities will face.

PUBLIC WARNING SYSTEMS

During times of an emergency one of the most critical components of managing an incident is getting information out to the public in a timely and efficient manner. This section highlights local communication strategies.

Local System

- Shire of Dowerin – SMS notification system – List of predominately farmers
- Notice Boards
    - Shire of Dowerin Notice Board
    - CRC Notice Board
    - Wyalkatchem Post Office (Railway Terrace)
    - Temporary notice boards may be erected in easy-to-access locations during emergencies
    - Information would also be public displayed at any evacuation centres that were opened as a result of the emergency
- Shire of Dowerin Facebook
- Shire of Dowerin Website

State Systems

During a major emergency you can also find information on;

- DFES's recorded information line
- Emergency broadcast on your local Radio Station frequency
- TV and radio news bulletins print and online newspapers
- A staffed communication information line may be set up
- A TV crawler displaying messages at the bottom of the screen may be used.
- Standard Emergency Warning Signal (SEWS) - SEWS is a distinctive siren sound to alert the community to the broadcast of an urgent safety message relating to a major emergency or disaster. It is intended to be used as an alert signal to be played on public media such as radio, television, public address systems and mobile sirens

  In Western Australia, the broadcast of SEWS is authorised by the Department of Fire and Emergency Services, or the Regional Director of the Bureau of Meteorology for flood and weather events.

DFES Public Info line

Website: www.dfes.wa.gov.au

Telephone: 13 33 37 (13DFES) (For emergency information only) – OR
1300 657 209 (recorded information line)

Local Radio

ABC Radio Geraldton – 531
Telephone: 08 9923 4111
Journalist: 0428 144 429

ABC Radio Perth – 730
Contact: harvestbans@abc.net.au
Telephone: 08 9220 2700

Triple M Northam – 1098
Contact: wa@triplem.com.au
Telephone: 08 9622 2777

StateAlert

StateAlert is a web-based system designed for Emergency Services to deliver community warnings regarding emergencies through:

- Recorded voice – Landline and mobile, and/or
- Text – mobile telephone, email and RRS feed.

StateAlert is also available for use by external HMAs for situations where lives may be in danger. All requests for StateAlert messaging will be evaluated to ensure the need is commensurate with both the definition of Emergency and that the proposed release of StateAlert is classed as a 'Life threatening' incident.

COMMUNICATING IN THE RESPONSE STAGE

Communities affected by an emergency have a vital and urgent need for information. The purpose of emergency public information is to provide the public with consistent, adequate and timely information and instructions.

The Controlling Agency or Hazard Management Agency will make the decision to evacuate a community, or part of it, should it be under threat from an emergency. They will decide how best to communicate the evacuation suggestion, or order, to community members.

COMMUNICATING IN THE RECOVERY STAGE

Recovery communications refers to the practice of sending, gathering, managing and evaluating information in the recovery stage following an emergency.

When communicating with the public in the Recovery stage, it is important to understand the common reactions that individuals, and the community as a whole, are likely to experience as a result of the emergency.

Ensure all messaging adheres to the Giuliani method of communication information which includes:

1. What we know;
2. What we don't know;
3. What we are doing; and
4. What we want you to do.

Status Update

The status update is the first information assessment about what is happening, which provides crucial information about the emergency and recovery efforts.

These are maintained on a daily basis in summary form, which are used to inform key talking points for use by the Shire of Dowerin.

Talking Points

The talking points are developed from information contained within the status updates.

The talking points provide key messages to be used by the spokesperson and all members of the Shire who are in contact with affected community and general public. Talking points can be used for all communication methods such as the newsletter, community meetings etc.

Social Media Applications

Social media can be used effectively as an engagement tool with the community in the event of an emergency and recovery.

Media Release

Media releases can provide a vital way of providing instant information that can be picked up by the local newspaper or radio station. The designated local government spokesperson must be used in the media release. Consider co-branded media releases that relate to a specific stakeholder in the early stages of the response to recovery phase.

Community Meetings

Community meetings Community meetings are essential in response and recovery as it is important to address the community in a face-to-face setting early on, to earn the trust and respect of the affected community and engage in meaningful dialogue. Community meetings may involve many state government agencies such as the Hazard Management Agency, along with local government and community organisation representatives. It is important that the Master of Ceremony and spokesperson are delegated by the local government.

Notice Boards

A central notice board at a key location in the community can be used to provide information in recovery. This may be a location already being used or one that is decided that is best placed for the emergency and recovery effort.

The information must be general, local and provide people with call to actions such as contact numbers and places to go for additional information.

The notice board may also be used to gain feedback directly from the community, if required.

Media Conference

A media conference can be utilised if there is public and media interest after the emergency and can be used to get specific messages across the media, general public and the community.

A media conference should be managed by the Media Liaison function located within the Recovery Communications team.

The announcement will need to be prepared, the spokesperson chosen and briefed, and the time of the conference chosen to suit relevant media deadline

Community Newsletter

A community newsletter that is printed or emailed is a simple and easy method of communication in recovery.

Newspaper Article

A newspaper article may be picked up by the newspaper from the media release that has been issued, the local government may be given a regular space each week to address the issues in recovery for the community or be able to place paid advertising within the newspaper.

Recovery Communications Plan

A recovery communications plan details the local governments' strategy on communication and consultation with the affected community in recovery.

MANAGING THE MEDIA

During a crisis information used in the communication response must be controlled. The approvals/sign off procedure must be adhered to so that all facts are accurate and that their release is authorised. The Local Response Coordinator (LRC) is responsible for enforcing this procedure, which is as follows:

- Facts will be verified internally through update briefings within the Local Recovery Coordination Committee (LRCC). Information is never to be assumed
- The Local Recovery Coordination Committee (LRCC) will draft documents for release to external stakeholders
- The Local Response Coordinator (LRC) must confirm all incident-related facts
- Local Recovery Coordination Committee (LRCC) Chair will coordinate final sign-off from the CEO prior to document release

Having one authorised spokesperson during a crisis ensures that communication with the media and audiences is consistent, transparent and controlled. Designated spokespeople may include:

- Shire President
- Shire of Dowerin CEO
- Incident relevant elected representative

They must have the updated facts and be both available and prepared to manage media relations.

It is crucial that all employees are aware of the procedure for handling enquiries and know how to appropriately direct calls and visitors.

GENERAL ENQUIRIES

Frontline employees from outside the Local Recovery Coordination Committee (LRCC) must be prepared to receive enquiries from a range of stakeholders. The Shire of Dowerin's Communication advisor will ensure that they are provided with a script based on the key messages and a copy of the prepared Q&As and must brief them on the communication policies. Other than approved spokespeople, no employee is authorised to make comment to any stakeholder beyond the scope of the script and these documents.

- No employee or spokesperson is to give "off the record" or "in confidence" information
- All media releases and holding statements must go through the approvals process prior to release, with final sign off from the CEO or Local Recovery Coordination Committee (LRCC) Chair.

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Section Eight

Contacts and Resources Register

Please note that this section of the LEMA is private and confidential. The information contained within this section will only be made available to emergency management personnel and is not available for viewing by the public.

POLICY NUMBER	-	
POLICY SUBJECT	-	Regional Price Preference Policy
DATE ADOPTED	-	
POLICY OWNER	-	Corporate & Community Services
DISTRIBUTION	-	Elected Members, All Employees, Contractors, Goods & Service Providers, Public
RESPONSIBLE OFFICER	-	Chief Executive Officer

Objective

The objective of this Policy is to stimulate economic activity and growth within the Shire of Dowerin and the surrounding region by maximising the use of competitive local businesses in the supply of goods and/or services purchased or contracted on behalf of the Shire of Dowerin.

Policy

The application of this Policy will ensure that when purchasing goods and/or services, Council will achieve the best possible outcome for the amount of money spent, whilst, where possible, giving preference to local or regional suppliers.

The application of a price preference will be clearly outlined as to whether it will be applied or not prior to the quotation or Tender process commencing.

This Policy applies to all Officers purchasing goods and/or services on behalf of the Shire using Shire funds. It provides direction and outlines the responsibilities attached to the making of purchases on behalf of the Shire.

This Policy must be used in conjunction with the Shire of Dowerin Purchasing Policy.

Regional Tenderer

A regional Tenderer is defined under Section 24B(2) of the *Local Government (Functions and General) Regulations 1996* as 'A supplier of goods or services who submits a Tender is regarded as being a regional Tenderer if:

(a) That supplier has been operating a business continuously out of premises in an appropriate region for at least 6 months before the time after which further Tenders cannot be submitted; or

(b) Some or all of the goods or services are to be supplied from regional sources."

The Shire of Dowerin recognises the following two regions for price preferences:

Region 1- defined as a business or industry located within the district of the Shire of Dowerin; and

Region 2 – defined as a business or industry located within the districts of the Shire of Cunderdin, Shire of Goomalling, Shire of Koorda, Shire of Wongan-Ballidu and Shire of Wyalkatchem.

The Regional Price Preference to be given to either a Region 1 or Region 2 provider are outlined below and represents the amount at which the provider's price bids or quotations would be reduced for the purpose of assessing Tenders or quotations.

Region 1: A price preference may be given to a Tenderer or supplier of a quotation from Region 1 by assessing the Tender or quote from that local business as if the price bids were reduced as follows:

1. 10% - where the contract is for goods or services, up to a maximum price reduction of $50,000;
2. 5% - where the contract is for construction (building) services, up to a maximum price reduction of $50,000; or
3. 10% - where the contract is for goods or services (including construction (building) services), up to a maximum price reduction of $500,000, if the local government is seeking Tenders for the provision of those goods or services for the first time, due to those goods or services having been, until then, undertaken by the local government.

Region 2: A price preference may be given to a Tenderer or supplier of a quotation from Region 2 by assessing the Tender or quote from that local business as if the price bids were reduced as follows:

1. 5% - where the contract is for goods or services, up to a maximum price reduction of $25,000;
2. 2.5% - where the contract is for construction (building) services, up to a maximum price reduction of $25,000; or
3. 5% - where the contract is for goods or services (including construction (building) services), up to a maximum price reduction of $250,000, if the local government is seeking Tenders for the provision of those goods or services for the first time, due to those goods or services having been, until then, undertaken by the local government.

Although goods and/or services that form part of a Tender or quotation submitted by a regional Tenderer may be:

1. Wholly supplied from regional sources; or
2. Partly supplied from regional sources, and partly supplied from non-regional sources,

only those goods or services identified in the Tender or quotation as being from regional sources may be included in the discounted calculations that form part of the assessments of Tenders or quotations when the Regional Price Preference Policy is in operation.

Proof of Eligibility

Businesses who choose to claim the Regional Price Preference must indicate on their Tender or quotation submission either Region 1 or Region 2 as their Regional Price Preference area and provide suitable proof of eligibility.

Where a price preference is being claimed by a non-local business on the basis of goods and/or services being supplied from regional sources, only those goods or services identified in the Tender or quotation as being from regional sources may be included in the discounted calculations that form a part of the assessments of a Tender or quotation when a Regional Price Preference Policy is in operation.

If, in the opinion of the Shire of Dowerin, a supplier has deliberately provided false or misleading information so as to benefit from this Policy, the provided quotation or Tender may be considered nonconforming and, as such, may be disqualified.

Competitive Purchasing

Price is only one factor that the Shire of Dowerin considers when evaluating a quotation or Tender. There is nothing contained within this policy that compels acceptance of the lowest price.

The Tender or quotation that is determined to be both cost effective and advantageous to the Shire of Dowerin will be the most likely to be accepted.

Further References

Local Government Act 1995;
Local Government (Functions & General) Regulations 1996;
Shire of Dowerin Purchasing Policy; and
Shire of Dowerin Code of Conduct.

GOVERNMENT OF WESTERN AUSTRALIA

Department of Planning, Lands and Heritage

RECEIVED
06 SEP 2019
BY: CEO

Your ref:
Our ref: File 01297-1975 Job No. 181973
Enquiries: Greg Martiensen, Ph 08 6552 4578
Email greg.martiensen@dplh.wa.gov.au

Chief Executive Officer
Shire of Dowerin
PO Box 111
DOWERIN WA 6461

Dear Sir,

Lot 273 on Diagram 36566 - Reserve 33528 for 'Public Recreation'

I refer to this Department's letter of 30 August 2018 (copy enclosed), in which the Council was asked whether it is willing to accept management of the above reserve.

To date, the Council has not responded. Could you advise whether Council has given consideration to the above, and is willing to accept management of the reserve.

Should you have any enquiries please contact me on any of the above details.

Yours sincerely

Greg Martiensen
Assistant State Land Officer
Position No. 0025297
Department of Planning Lands and Heritage

02 September 2019

(COPY)

GOVERNMENT OF WESTERN AUSTRALIA

Department of **Planning, Lands and Heritage**

Your ref:
Our ref: File 01297-1975 Job No. 181973
Enquiries: Greg Martiensen, Ph 08 6552 4578
Email greg.martiensen@dplh.wa.gov.au

Chief Executive Officer
Shire of Dowerin
13 Cottrell St
DOWERIN WA 6461

Dear Sir,

Lot 273 on Diagram 36566 – Reserve 33528 – Place Street, Dowerin.

As a result of a freehold subdivision, the above lot (print enclosed) was ceded to the Crown subject to section 152 of the *Planning and Development Act 2005* for the purpose of 'Public Recreation'.

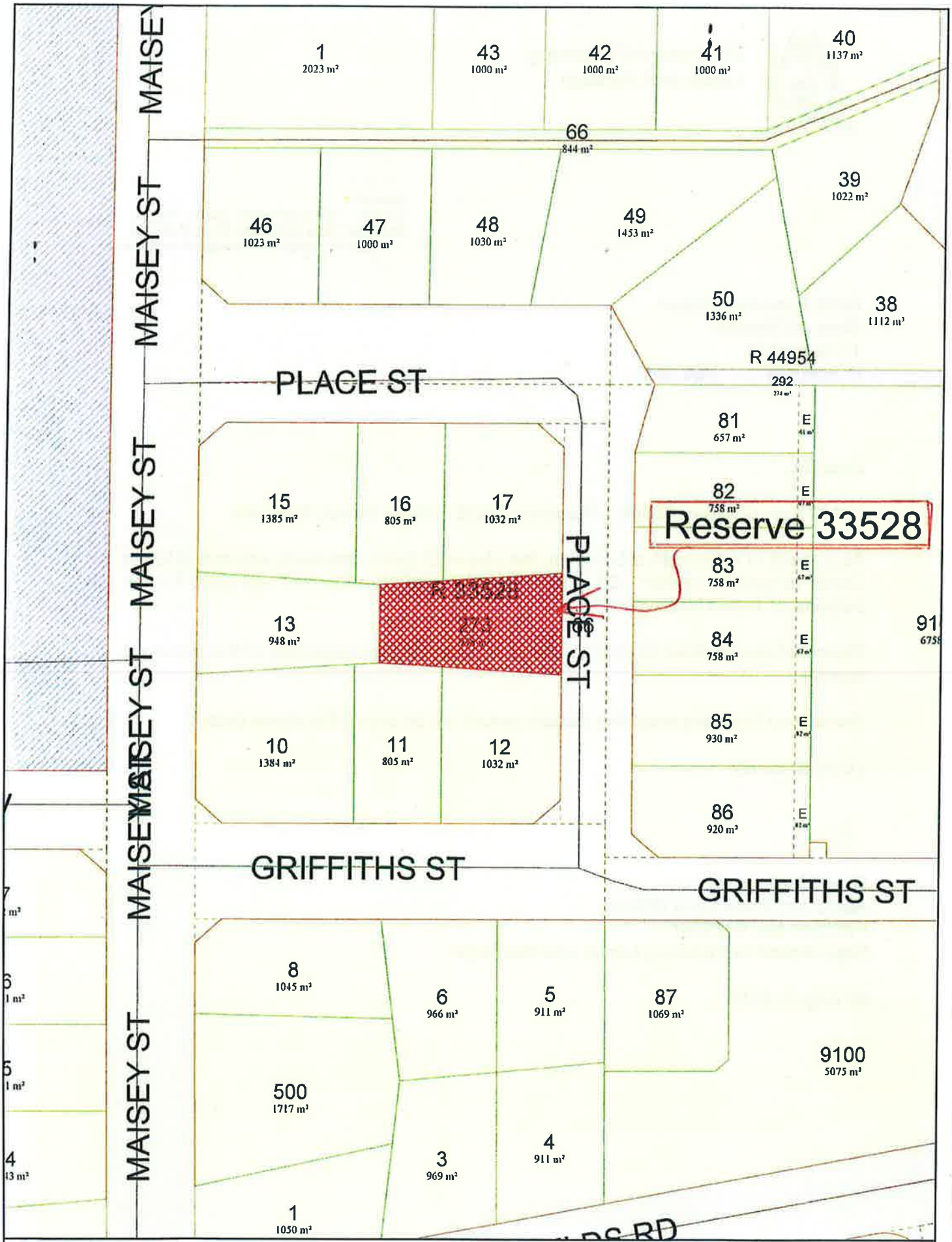
Please advise whether Council is willing to accept the management of the proposed reserve.

Should you have any enquiries please contact me on any of the above details.

Yours sincerely

Greg Martiensen
Assistant State Land Officer
Position No. 0025297
Department of Planning Lands and Heritage

30 August 2018



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Lat/Long : 117°02'21.331", -31°11'35.862" / 117°02'29.266", -31°11'25.603" H 271mm by W 210mm

Printed : 15:25 Thu 30/Aug/2018

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GOVERNMENT OF WESTERN AUSTRALIA

Department of **Planning, Lands and Heritage**

RECEIVED
03 SEP 2019
BY: CEO

Your ref:
Our ref: File 00243-2014 Job No. 1900296
Enquiries: Greg Martiensen, Ph 08 6552 4578
Email greg.martiensen@dplh.wa.gov.au

Chief Executive Officer
Shire of Dowerin
PO Box 111
DOWERIN WA 6461

Dear Sir,

Lot 300 on Deposited Plan 70522 - Reserve 51705 for 'Pedestrian Access Way'.

I refer to this Department's letter of 06 February 2019 (copy enclosed), in which the Council was asked whether it is willing to accept management of the above reserve.

To date, the Council has not responded. Could you advise whether Council has given consideration to the above, and is willing to accept management of the reserve.

Should you have any enquiries please contact me on any of the above details.

Yours sincerely

Greg Martiensen
Assistant State Land Officer
Position No. 0025297
Department of Planning Lands and Heritage

02 September 2019

GOVERNMENT OF
WESTERN AUSTRALIA

Department of **Planning,**
Lands and Heritage

Your ref:
Our ref: File 00243-2014 Job No. 1900296
Enquiries: Greg Martiensen, Ph 08 6552 4578
Email greg.martiensen@dplh.wa.gov.au

Chief Executive Officer
Shire of Dowerin
PO BOX 111
DOWERIN WA 6461

Dear Sir,

Lot 300 on Deposited Plan 70522– Reserve 51705. Off Griffiths Street, Dowerin.

As a result of a freehold subdivision, the above lot (prints enclosed) was ceded to the Crown subject to section 152 of the *Planning and Development Act 2005* for the purpose of 'Pedestrian Access Way'.

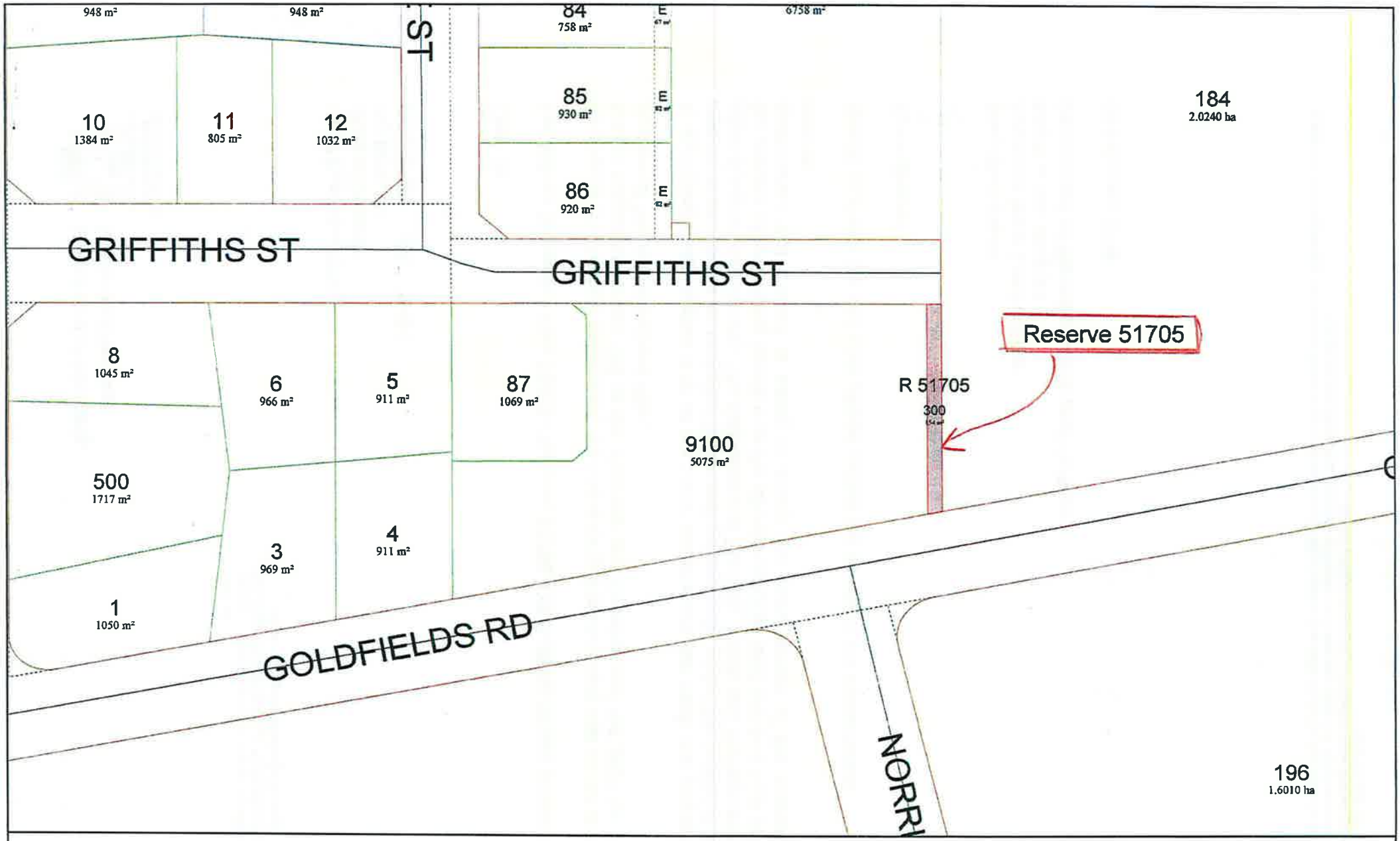
In accordance with section 3.53 of the *Local Government Act 1995*, the proposed reserve is considered an unvested facility and consequently under the control of the Local Government Authority. The Department of Planning, Lands and Heritage are in the process of formalising tenure over the abovementioned land and now seek your confirmation that Council is willing to accept the management of the proposed reserve.

Should you have any enquiries please contact me on any of the above details.

Yours sincerely

Greg Martiensen
Assistant State Land Officer
Position No. 0025297
Department of Planning Lands and Heritage

06 February 2019



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Printed : 15:17 Tue 5/Feb/2019
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LandInfo WA V4

https://maps.slip.wa.gov.au/landgate/landinfowa/

SHIRE OF DOWERIN

POLICY MANUAL

November 2007

CONTENTS

SHIRE OF DOWERIN **1**

POLICY MANUAL **1**

CONTENTS 2

COUNCIL **6**

COUNCIL MEETINGS (6/05) 6
COUNCIL ELECTIONS 6
NEWLY ELECTED COUNCILLORS 6
COUNCILLORS INDUCTION 6
COUNCIL PHOTOGRAPHS 6
COUNCILLORS SITTING FEES 6
PRESIDENT'S ALLOWANCE 6
CONDUCTING COUNCIL BUSINESS (9/04) 6
ELECTORS MEETING DATE 7
RETIRING ELECTED MEMBERS 7
FREEPERSON OF THE SHIRE OF DOWERIN 7
SMOKING IN COUNCIL OFFICE 7
REFRESHMENTS ACCOUNT 7
LOCAL GOVERNMENT WEEK (6/01) 7
CODE OF CONDUCT FOR ELECTED MEMBERS (6/05) 8
LEGAL REPRESENTATION – COSTS INDEMNIFICATION (11/00) 8

ADMINISTRATION **10**

OFFICE HOURS 10
MEDIA RELEASES 10
LEGAL ADVICE (6/05) 10
USE OF COUNCIL'S EMBLEM 10
FLYING OF THE AUSTRALIAN FLAG 10
ADVERTISING - CHRISTMAS GREETINGS 10
CITIZENSHIP CEREMONIES 10
COUNCIL ADVERTISING 11
AUTHORISED PURCHASING OFFICER'S 11
ISSUE OF LIQUOR PERMITS FOR SHIRE CONTROLLED PREMISES 11
PURCHASING POLICY (2/07) 11
CALLING TENDERS (6/05) 11
REGIONAL PRICE PREFERENCE POLICY (11/01) 11

STAFF **13**

APPOINTMENTS 13
PAYMENT OF HIGHER DUTIES 13
REMOVAL EXPENSES 13
INDUSTRIAL NOISE 13
SUPERANNUATION CONTRIBUTIONS (6/05) 13
SEMINARS 13
ACCOMMODATION AND OTHER CONFERENCE EXPENSES 13
AVAILING OF ANNUAL LEAVE ENTITLEMENT 14
CALCULATION OF LONG SERVICE LEAVE ACCRUALS 14
OUTSIDE EMPLOYEES 19 DAY MONTH 14
DRIVERS LICENCE – REIMBURSEMENT 14
STAFF UNIFORMS - INSIDE STAFF (6/05) 14
STAFF UNIFORMS – OUTSIDE STAFF 14
PRIVATE TELEPHONES 14
EMPLOYEE OWNED TOOLS/EQUIPMENT 15
AUTHORISATION OF OVERTIME 15
STAFF CESSATION OR RETIREMENT (5/97) 15

COMPLAINTS 15
TEMPORARY STAFF 15
WORK EXPERIENCE/FIELD PLACEMENTS 15
STUDY TIME 16
SALARY REVIEWS 16
LOCAL GOVERNMENT MANAGERS AUSTRALIA 16
CODE OF CONDUCT FOR STAFF (6/05) 16
LEGAL REPRESENTATION – COSTS INDEMNIFICATION (11/00) 16
EQUAL OPPORTUNITY POLICY 16
SEXUAL HARASSMENT POLICY 16
ELECTORAL CODE OF CONDUCT (6/05) 17
OCCUPATIONAL SAFETY AND HEALTH POLICY (9/00) 17

FINANCE 19

ACCOUNTING - PETTY CASH ACCOUNT 19
PRINCIPAL ACCOUNTING OFFICER 19
RATES - COLLECTION OF OUTSTANDING RATES (9/96) 19
PENSIONER RATE DEFERMENT 19
AUTHORISED REVIEW OFFICER RATES AND CHARGES (REBATES AND DEFERMENTS) ACT 1992 19
DONATIONS - PUBLIC APPEAL 19
DISHONORED CHEQUES (10/00) 19
DEPRECIATION OF FIXED ASSETS 19
SURPLUS FUNDS 20
INVESTMENT POLICY (4/98) 20
CAPITALISATION OF ASSETS 20
REVALUATION OF NON-CURRENT ASSETS (8/02) 21
COUNCIL GRANTS TO LOCAL ORGANISATIONS 21

BUSH FIRE CONTROL 22

BURNING OF RUBBISH TIPS 22
ROADSIDE BURNING/SPRAYING 22
BUSH FIRE CONTROL OFFICERS 22
BUSH FIRE PERMITS 22
ANNUAL BUSH FIRE ADVISORY MEETING OF BUSH FIRE BRIGADES (6/05) 22
CBH GRAIN RECEIVAL POINTS 22
HARVESTING BANS 22
EXTENSION OF BURNING PERIODS 23
BURNING IN THE TOWNSITE 23

DOG CONTROL 24

DOG COMPLAINTS 24
AUTHORISATION TO PROSECUTE 24
AUTHORISED OFFICERS 24
REGISTRATION OFFICERS 24

COUNCIL HOUSING 25

STAFF HOUSING ALLOCATIONS 25
STAFF HOUSING SUBSIDY (6/05) 25
ANNUAL INSPECTION OF COUNCIL HOUSES 25
WHITE ANT INSPECTION (11/01) 25
HOUSING – PAINTWORK 25
WATER CONSUMPTION 25
STANDARD OF GARDENS 25
WORKS AND SERVICES 25
DIVIDING FENCES 26
USE OF SHIRE EQUIPMENT 26

COMMUNITY AMENITIES 27

RE-OPENING OF GRAVES FOR SUBSEQUENT INTERNMENTS 27

RUBBISH REMOVAL SERVICES 27
REFUSE SITE 27
CHEMICAL CONTAINERS 27

RECREATION AND CULTURE 28

ANNUAL INSPECTION OF PUBLIC BUILDINGS 28
WHITE ANT INSPECTION (11/01) 28
PUBLIC BUILDINGS (10/00) 28
FURNITURE AND EQUIPMENT HIRE – CHAIRS 29
AROC BE ACTIVE SCHEME HEALTH POLICY (11/02) 29
DOWERIN DISTRICT MUSEUM COLLECTIONS POLICY (04/06) 29

SWIMMING POOL 32

POOL OPENING TIMES ..... **ERROR! BOOKMARK NOT DEFINED.**
FAMILY SEASON TICKETS ..... **ERROR! BOOKMARK NOT DEFINED.**
AGE OF ADMITTANCE INTO SWIMMING POOL ..... **ERROR! BOOKMARK NOT DEFINED.**
SESSIONS ..... **ERROR! BOOKMARK NOT DEFINED.**
PRIVATE HIRE ..... **ERROR! BOOKMARK NOT DEFINED.**
DISPOSAL OF LOST PROPERTY ..... **ERROR! BOOKMARK NOT DEFINED.**
POOL CHARGES ..... **ERROR! BOOKMARK NOT DEFINED.**
PRIVATE SWIMMING POOLS ..... **ERROR! BOOKMARK NOT DEFINED.**
SMOKING POLICY (12/02) ..... **ERROR! BOOKMARK NOT DEFINED.**

TRANSPORT - PLANT 32

MOTOR VEHICLES AND PLANT REPLACEMENT 32
PLANT REPLACEMENT POLICY (9/04) 32
MOTOR VEHICLE REPLACEMENT 32
PLANT PURCHASING AND HIRE (9/00) 32
VEHICLE AIRCONDITIONING 34
PLANT MAINTENANCE 35
SECURING OF COUNCIL'S VEHICLES/PLANT 35

TRANSPORT – ROADS/ROADWORKS 36

SCHOOL BUS SIGNS (4/97) ..... **ERROR! BOOKMARK NOT DEFINED.**
SIGNS - ROAD AND STREET NAMES AND DIRECTIONAL ..... **ERROR! BOOKMARK NOT DEFINED.**
STREET RENAMING ..... **ERROR! BOOKMARK NOT DEFINED.**
STREET TREES ..... **ERROR! BOOKMARK NOT DEFINED.**
STREET TREE PLANTING ..... **ERROR! BOOKMARK NOT DEFINED.**
ROAD INSPECTIONS ..... **ERROR! BOOKMARK NOT DEFINED.**
TRAFFIC/ROAD SIGNS ..... **ERROR! BOOKMARK NOT DEFINED.**
MAINTENANCE GRADING REGULARITY ..... **ERROR! BOOKMARK NOT DEFINED.**
ROAD MAINTENANCE ..... **ERROR! BOOKMARK NOT DEFINED.**
ENTRY ON PRIVATE LAND ..... **ERROR! BOOKMARK NOT DEFINED.**
RARE FLORA ..... **ERROR! BOOKMARK NOT DEFINED.**
PICKING OF WILDFLOWERS ..... **ERROR! BOOKMARK NOT DEFINED.**
ROAD MAINTENANCE - ROADSIDE CLEARING (6/05) ..... **ERROR! BOOKMARK NOT DEFINED.**
GRAVEL SUPPLIES ..... **ERROR! BOOKMARK NOT DEFINED.**
LAND RESUMPTION FOR GRAVEL ..... **ERROR! BOOKMARK NOT DEFINED.**
TREE PLANTING ON ROAD VERGES (8/95) ..... **ERROR! BOOKMARK NOT DEFINED.**
TREES - REMOVAL FROM COUNCIL PROPERTY ..... **ERROR! BOOKMARK NOT DEFINED.**
TREES FELLED AND PRUNINGS ..... **ERROR! BOOKMARK NOT DEFINED.**
HEAVY VEHICLE PERMITS (6/05) ..... **ERROR! BOOKMARK NOT DEFINED.**

ECONOMIC SERVICES 36

CHEMICALS 36
CHEMICAL SPRAYING 36
ROADSIDE WEED SPRAYING (6/05) 36

HEALTH/BUILDING 37

RADIO ACTIVE MATERIALS 37
BUILDING PLANS 37
PROVISIONS FOR SMALL BUILDINGS (6/05) 37
UNAUTHORISED STRUCTURES 37
B.C.I.T.F. LEVY 37
SECONDHAND BUILDINGS (4/98) 37
COMMUNICATION STRUCTURES 38
CROSSOVERS TO RESIDENTIAL PROPERTY DOWERIN TOWNSITE (5/99) 39
BRICKPAVED CROSSOVERS (6/99) 39
BITUMEN VEHICLE CROSSING (6/99) 40
RURAL CROSSOVERS 40
ON-SITE EFFLUENT DISPOSAL SYSTEMS (5/99) 40
SEA CONTAINERS (3/07) 41

OTHER PROPERTY AND SERVICES 44

PRIVATE WORKS 44
PLANT & EQUIPMENT USE BY FESA 44
LOAN OF PLANT TO LOCAL ORGANISATIONS 44
LOAN OF EQUIPMENT TO LOCAL ORGANISATIONS 44
HIRE OF COUNCIL PLANT 45
COMMUNITY BUS (11/99) 45

CONTRACTORS 46

CONTRACTOR EMPLOYMENT POLICY 46

APENDICES I

APPENDIX 1 - CODE OF CONDUCT FOR ELECTED MEMBERS AND STAFF I
APPENDIX 2 – PURCHASING POLICY (2/07) V
APPENDIX 3 - CODE OF TENDERING (7/99) V
APPENIDIX 4 - ELECTORAL CODE OF CONDUCT (2/99) X
APPENDIX 5 - CONTRACTOR CHECKLIST XIII
APPENDIX 6 - FIRE CONTROL OFFICERS XV
APPENDIX 7 - CODE OF PRACTICE FOR ROADSIDE CONSERVATION IN ROAD CONSTRUCTION AND ROAD MAINTENANCE (5/02) XVI
APPENDIX 8 - HEAVY TRANSPORT ROUTES AND OPERATIONS XXI
APPENDIX 9 - ROADSIDE WEED SPRAYING LICENSE XXII
APPENDIX 9 - CONTRACTOR REQUIREMENTS REGARDING OCCUPATIONAL HEALTH AND SAFETY XXIV
CONTRACTOR SAFETY EQUIPMENT REQUIREMENTS XXV

COUNCIL

COUNCIL MEETINGS (6/05)

Ordinary Meetings of Council are to be held on the third Tuesday in each month of the year in the Council Chambers, except in January when no meeting will be held. A Special Meeting may be called in the event of any business arising that needs to be dealt with in January.

COUNCIL ELECTIONS

Conduct of Local Government Elections will be held on a "voting in person" type election with Councils C.E.O. to be the returning officer.

NEWLY ELECTED COUNCILLORS

All Councillors when first elected are to be issued with a Councillors Guide to Local Government, and the Chief Executive Officer is responsible for the proper induction of new Councillors.

COUNCILLORS INDUCTION

The CEO carry out an induction process with all new Councillors prior to their first Council meeting.

COUNCIL PHOTOGRAPHS

That a group photograph of the President, Elected Members and CEO, be taken every two years shortly after the election of a new Council.

COUNCILLORS SITTING FEES

In accordance with the Local Government Act (1995) Section 5.98(1)(6), Council sets the fees for Councillor attendance at Ordinary Council and Committee Meetings each year when reviewing its fees and charges. Councillors are entitled to receive the allowance however they are not obliged to do so.

PRESIDENT'S ALLOWANCE

The President's Allowance will be set at each review of Councils fees and charges to be undertaken on an annual basis. The allowance will be paid in addition to sitting fees and traveling expenses and will be paid in two equal amounts in December and June.

CONDUCTING COUNCIL BUSINESS (9/04)

If attendance at a meeting /function is Council approved (either through appointment as Council Delegate or representative, or by resolution at a meeting) travel & insurance cover is provided by Council.
If attendance is not approved by Council, travel and insurance is not provided by Council.

ELECTORS MEETING DATE

The Annual Electors Meeting shall be held as early as possible each year, preferably in October or November. Council's Auditors are to be encouraged to carry out the annual audit as soon as possible after the annual accounts are completed to enable an early meeting to be convened.

RETIRING ELECTED MEMBERS

That Council presents a Certificate of Service to all retiring Members of Council irrespective of length of service. That a Dinner Presentation be made to Councillors only after they have completed a minimum of 8 years in office, and an appropriate gift be purchased not to exceed $500.

FREEPERSON OF THE SHIRE OF DOWERIN

1. The award of Freeperson is intended to recognise outstanding community service over a significant period of time and in a diversity of activities within the Shire of Dowerin.
2. The award would not usually be presented for excellent service in only one activity.
3. The award is intended to recognise service within the local community.
4. The award of Freeperson is to be seen as independent of any other award.
5. This 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.
6. For the award to have the desired standing within the community, it should only be conferred where there is a great assurance of public approval.
7. It is suggested that the Minister for Local Government be consulted with regard to each candidate prior to Council's formal resolution conferring the award.
8. It is not seen as desirable that the Award of Freeperson be presented to a sitting member of Council.

SMOKING IN COUNCIL OFFICE

That smoking be not permitted in the Council Chambers or the Council Office at any time.

REFRESHMENTS ACCOUNT

That in respect of the administration of the refreshment account established for the purpose of providing refreshments for elected members and invited guests, such refreshments be provided at ordinary and special Council meeting nights and on other occasions at the discretion of the President and/or CEO.

LOCAL GOVERNMENT WEEK (6/01)

Council authorise the President, Deputy President, two elected members on a rotating basis, and the Chief Executive Officer to attend the annual convention of Local Government Week with Council to cover registration and accommodation expenses. The President and Deputy President are appointed as Councils voting delegates at the conference.

CODE OF CONDUCT FOR ELECTED MEMBERS (6/05)

In addition to observing the *Local Government (Rules of Conduct) Regulations 2007, elected members are* to conduct themselves in accordance with Councils *Code of Conduct for Elected Members and Staff* – Appendix 1

LEGAL REPRESENTATION – COSTS INDEMNIFICATION (11/00)

Introduction

- This policy is designed to protect the interests of council members and employees (including past members and former employees) where they become involved in civil legal proceedings because of their official functions. In most situations the local government may assist the individual in meeting reasonable expenses and any liabilities incurred in relation to those proceedings.
- In each case it will be necessary to determine whether assistance with legal costs and other liabilities is justified for the good government of the district. This policy applies in that respect.

General Principles

a) The local government may provide financial assistance to members and employees in connection with the performance of their duties provided that the member of employee has acted reasonably and has not acted illegally, dishonestly, against the interests of the local government or otherwise in bad faith.
b) The local government may provide such assistance in the following types of legal proceedings:
   i) proceedings brought by members and employees to enable them to carry out their local government functions (eg where a member or employee seeks a restraining order against a person using threatening behaviour);
   ii) proceedings brought against members or employees [this could be in relation to a decision of Council or an employee with aggrieves another person (eg refusing a development application) or where the conduct of a member or employee in carrying out his or her functions is considered detrimental to the person (eg defending defamation actions)]; and
   iii) statutory or other inquiries where representation of members or employees is justified.

c) The local government will not support any defamation actions seeking the payment of damages for individual members or employees in regard to comments or criticisms leveled at their conduct in their respective roles. Members or employees are not precluded, however, from taking their own private action. Further, the local government may seek its own advice on any aspect relating to such comments and criticisms of relevance to it.
d) The legal services the subject of assistance under this policy will usually be provided by the local government's solicitors. Where this is not appropriate for practical reasons or because of a conflict of interest then the service may be provided by other solicitors approved by the local government.

Applications for Financial Assistance

a) Subject to item (e), decisions as to financial assistance under this policy are to be made by the Council.
b) A member or employee requesting financial support for legal services under this policy is to make an application in writing, where possible in advance, to the Council providing full details of the circumstances of the matter and the legal services required.
c) An application to the Council is to be accompanied by an assessment of the

request and with a recommendation which has been prepared by, or on behalf of, the Chief Executive Officer (CEO).

d) A member or employee requesting financial support for legal services, or any other person who might have a financial interest in the matter, should take care to ensure compliance with the financial interest provisions of the Local Government Act 1995.
e) Where there is a need for the provision of urgent legal services before an application can be considered by Council, the CEO may give an authorisation to the value of $5,000 provided that the power to make such an authorisation has been delegated to the CEO in writing under section 5.42 of the Local Government Act 1995.
f) Where it is the CEO who is seeking urgent financial support for legal services the Council shall deal with the application.

Repayment of Assistance

a) Any amount recovered by a member or employee in proceedings, whether for costs or damages, will be off set against any moneys paid or payable by the local government.
b) Assistance will be withdrawn where the Council determines, upon legal advice, that a person has acted unreasonably, illegally, dishonestly, against the interests of the local government or otherwise in bad faith; or where information from the person is shown to have been false or misleading.

Where assistance is so withdrawn, the person who obtained financial support is to repay any moneys already provided. The local government may take action to recover any such moneys in a court of competent jurisdiction.

ADMINISTRATION

OFFICE HOURS

The Administration office hours for the public shall be from 8.30am to 4.00pm Monday to Thursday and 8.30am to 4.30pm on Friday, The office staff hours shall be 8.00am to 4.30pm Monday to Friday.

MEDIA RELEASES

The Shire President and CEO are empowered to make media releases prior to minutes being confirmed and made public.
That all media contact by Council Officers be co-ordinated through the CEO.
That the CEO regularly prepare articles for the inclusion in the Dowerin Despatch and other media sources.

LEGAL ADVICE (6/05)

That the CEO be authorised to obtain from Solicitors such legal advice and opinions as is deemed necessary by him to enable the proper legal administration of Council's business.

USE OF COUNCIL'S EMBLEM

The policy of this Council is that local organisations, which have been established within the Council for at least five years, will be permitted to incorporate the Council's emblem (excluding the words 'Shire of Dowerin') in the design of their badges.
This policy will be administered by the Council taking into consideration that the organisation using the emblem is a local, worthy and properly constituted organisation and that the overall design of the badge is satisfactory.
That community groups be permitted to use the Shire emblem provided it is used in its original design and for the promotion of Dowerin.
Arrangements will be made for a colour print of the Council's emblem to be made available (at least on loan) to local organisations requiring a copy for this purpose.

FLYING OF THE AUSTRALIAN FLAG

That Council normally flies the Australian Flag at the Administration Centre flagpole each day during business hours and on other appropriate days throughout the year.
That the President or CEO be empowered to alter the flag flown on any day to another for a special significance.
That the National Flag be flown at half mast at the Shire Office as a mark of respect for present or past residents of the Shire of Dowerin from the time of death of the resident until the funeral. A notice of the death is to be placed on the window at the front of the shire offices.

ADVERTISING - CHRISTMAS GREETINGS

That Council Christmas greetings not be advertised in any commercial newspapers.

CITIZENSHIP CEREMONIES

The conducting of Citizenship Ceremonies either by private, semi-private or public ceremonies is left to the discretion of the President and CEO.

COUNCIL ADVERTISING

That Council utilise W.A.L.G.A. for all Councils Advertising requirements

AUTHORISED PURCHASING OFFICER'S

That the Chief Executive Officer, Deputy Chief Executive Officer, Works Manager, Health/Building Officer, Gardening Team Leader, Building Officer be appointed as authorised purchasing officers.

However any unbudgeted purchases must first be agreed to by Council.

ISSUE OF LIQUOR PERMITS FOR SHIRE CONTROLLED PREMISES

The CEO is authorised to approve or reject applications to consume liquor in Council buildings or on Council controlled reserves without reference to Council. All applications to consume liquor are to be in writing and addressed to the CEO.

PURCHASING POLICY (2/07)

Council will conduct the purchasing in accordance with its Purchase Policy (Refer Appendix 2)

CALLING TENDERS (6/05)

Council will conduct the calling of tenders in accordance with its *Code of Tendering* (Refer Appendix 3)

REGIONAL PRICE PREFERENCE POLICY (11/01)

In order to promote sub-regional development, the Shire of Dowerin will provide a price preference to regional suppliers (located within the stipulated areas) for the acquisition of all goods and services where deemed possible. Any price preference provided will comply with part 4A of the Local Government (Functions and General) Regulations 1995 as amended. This policy will be applied as follows for the provision of all goods and services to the Shire of Dowerin (when so indicated in advertising or contract documentation):

Tenders

1. Regional Preference will be provided to tenderers by assessing the tender from that regional tenderer as if the price bids were reduced by –

1.1 Goods and Services

Stipulated Area

10% (up to a maximum price reduction of $50,000 unless a lesser amount is stipulated in the tender document) to all suppliers located within the Shire of Dowerin, Goomalling, Shire of Cunderdin, Shire of Koorda, Shire of Wyalkatchem and Shire of Wongan-Ballidu.

1.2 Construction (building) Services

Stipulated Area

5% (up to a maximum price reduction of $25,000 unless a lesser amount is stipulated in the tender document) to all suppliers located within the Shire of Dowerin.

2.5% (up to a maximum price reduction of $12,500 unless a lesser amount is stipulated in the tender document) to all suppliers located within the Shire of Goomalling, Shire of Cunderdin, Shire of Koorda, Shire of Wyalkatchem and Shire of Wongan-Ballidu.

1.3 Goods and Services, including Construction (Building) Services tendered for the first time where Council previously supplied the Goods or Services.

Stipulated Area
10% (up to a maximum price reduction of $50,000 unless a lesser amount is stipulated in the tender document) to all suppliers located within the Shire of Dowerin

Supply of Goods and Services (other than by Tender)

2. Regional Preference will be provided to suppliers of goods and services by assessing the expressions of interest received on contracts to supply, from that regional tenderer as if the price bids were reduced by –

2.1 Goods and Services

Stipulated Area
10% (up to a maximum price reduction of $4,999) to all suppliers located within the Shire of Dowerin.

5% (up to a maximum price reduction of $2,499) to all suppliers located within the Shire of Goomalling, Shire of Cunderdin, Shire of Koorda, Shire of Wyalkatchem and Shire of Wongan-Ballidu.

2.2 Construction (building) Services

Stipulated Area
5% (up to a maximum price reduction of $2,499) to all suppliers located within the Shire of Dowerin.

2.5% (up to a maximum price reduction of $1,249) to all suppliers located within the Shire of Goomalling, Shire of Cunderdin, Shire of Koorda, Shire of Wyalkatchem and Shire of Wongan-Ballidu.

Regional Price Preference will only be given to suppliers located within the stipulated areas for more than 6 months prior to the advertising date of the tender.

Located within the area stipulated is defined as having a supplier having a physical presence in the way of a shop, depot, outlet, headquarters or other premises where the goods or services specifically being provided are supplied from. This does not exclude suppliers whose registered business is located outside the stipulated area but undertake the business from premises within the stipulated area. An example is a franchisee of a multinational company.

Only those goods and services identified in the tender, as being from a source located within the stipulated area will have the price preference applied when assessing the tender.

Price is only one factor that Council considers when evaluating a tender. There is nothing contained within this policy that compels Council to accept the lowest tender or any tender based on price offered.

STAFF

APPOINTMENTS

The Senior Employees shall consist of Chief Executive Officer, Deputy Chief Executive Officer, Works Manager and Health/Building Officer.

PAYMENT OF HIGHER DUTIES

In the absence of the Chief Executive Officer, of a duration of 3 days or more, the payment of higher duties, of equal to the Chief Executive Officer's salary package, shall be paid to the officer relieving the position of Chief Executive Officer.

N.B. - Allowance is made for periods less than three days in the assessment of the Deputy Chief Executive Officer's salary package.

REMOVAL EXPENSES

That the Chief Executive Officer be empowered to negotiate the cost of relocation and removal expense when employing new staff.

INDUSTRIAL NOISE

Audiometric Test for All Employees

Council shall pay all reasonable expenses of Audiometric Officers, designation workers and approved medical practitioners.

Council require all future employees to undertake an audiometric test as part of their pre-employment medical and the cost become the responsibility of Council.

SUPERANNUATION CONTRIBUTIONS (6/05)

Council superannuation contributions effective from 1 July 2005 will be aligned to that required under the Superannuation Guarantee Legislation.

SEMINARS

That Chief Executive Officer be authorised to allow staff attendance at conferences and seminars pertaining to the particular officer's duties, subject to notification to Council at the next Ordinary meeting of any such authorisation.

ACCOMMODATION AND OTHER CONFERENCE EXPENSES

Those officers attending Council sanctioned Conferences, Seminars or Training Courses be provided with all reasonable travel, registration, accommodation and meals.

Such accommodation to be at the discretion of the Chief Executive Officer and within the constraints of the annual budget allocation.

AVAILING OF ANNUAL LEAVE ENTITLEMENT

All Council staff shall avail of their Annual Leave entitlement in the period for which it is due. No Annual leave entitlement is to be accrued.

CALCULATION OF LONG SERVICE LEAVE ACCRUALS

In accordance with Local Government Long Service Leave Regulations.

OUTSIDE EMPLOYEES 19 DAY MONTH

That the outside staff hours of employment be: 7.30am to 4.00pm for winter, 6.30am – 3.00pm for summer with 30 minute lunch period. Employees work a 19 day month.

DRIVERS LICENCE – REIMBURSEMENT

The occupants of the following positions be reimbursed their Drivers Licence fee at the annual rate applicable at the time of renewal:

All staff employed under the Municipal Employees Award.

STAFF UNIFORMS - INSIDE STAFF (6/05)

That all Office Staff be provided with an initial allowance of $400 per year then $200 per annual thereafter towards an approved Local Government uniform made by Dowd Corporation Clothing.

That Council grant an allowance for uniforms of $50.00 for junior staff and the HACC staff be allowed the FTE equivalent of $200.00 annual allowance based on their normal hours.

STAFF UNIFORMS – OUTSIDE STAFF

Are to be provided annually with 2 pairs of long sleeve shirts and long trousers, and one pair of steel capped boots. Other protective clothing such as hats, glasses are to be issued at the discretion of the Works Manager in accordance with OSH requirements.
Council to supply a jacket to each member of the works staff for winter use

PRIVATE TELEPHONES

Staff detailed in this Policy will be reimbursed for expenditure associated with the use of their private telephone. Telephone numbers of each position referred to in (2) shall be listed under Councils listing.

Installation and Transfer Fees be paid by Council.

Telephone Rental and cost of calls be paid by Council in accord with the following schedule:-

CEO	Rental and $400 Metered Calls per year
Deputy CEO	Rental and $400 Metered Calls per year
Works Manager	Rental and $200 Metered Calls per annum
Swimming Pool Manager	Rental only

EMPLOYEE OWNED TOOLS/EQUIPMENT

That under no circumstances is equipment other than that required to be provided by an employee under the terms of an award to be borrowed from any employee or other person and should Council require using such equipment it be hired.

AUTHORISATION OF OVERTIME

The CEO only shall have the authority to authorise the working of overtime as required from time to time.

STAFF CESSATION OR RETIREMENT (5/97)

Upon the cessation or retirement from Council by an employee the Council hereby authorises:

The President and Chief Executive Officer have discretionary power to select a suitable gift for presentation on behalf of Council to employees who have served greater than or equal to 3 years of completed service.
An amount of $50.00 per year of completed service is to be used as a guide for the value of the gift and amounts in excess of $500.00 to be approved by a (75%) special majority of Council.
The President and Chief Executive Officer sign a Certificate of Service for presentation on behalf of Council for employees attaining 10 years or more of service.

COMPLAINTS

No complaint against any member of the staff will be entertained from anyone unless it is made in writing to the CEO. If the complaint is in relation to the CEO then notice must be given to the Shire President.

This policy shall not prevent initial enquiries privately to the CEO regarding the activities of staff members.

TEMPORARY STAFF

Where employment of staff is required for temporary special duties, and appropriate provision has been made in the budget, the Chief Executive Officer be authorised to undertake those appointments.

WORK EXPERIENCE/FIELD PLACEMENTS

Placement of students within the organisation on work experience or field placements is supported by Council subject to the following provisos:-

1. Responsibility for workers compensation and public liability rests with the school, institute or authority which wishes to place the student.

2. A token remuneration is to be paid by Council to any work experience or field placement students.

3. Agreements between the school, institute or authority must be signed prior to any placements being effected.

The CEO is authorised to sign agreements referred to in 3. above.

STUDY TIME

Officers are encouraged to undertake studies which will be of benefit to Council.
The CEO is authorised to grant study time to employees in accordance with appropriate award provisions.

Employees may be given financial assistance with study costs, providing the study course is appropriate to the employees work type. All applications must be referred to Council and Council assistance is not to exceed $500 per calendar year.

SALARY REVIEWS

Salaries of senior staff will be reviewed in accordance with employment contracts.
Salaries of all other officers employed under the Local Government Award shall be reviewed annually as per the award clause.
Salary reviews at other times in the year be discouraged except for:-

- new or revised awards
- exceptional circumstances

LOCAL GOVERNMENT MANAGERS AUSTRALIA

The CEO be encouraged to participate in the LGMA Continuing Professional Development Program and general LGMA affairs.

Council pays for accommodation, breakfast, registration and conference dinners for the CEO and spouse to attend the LGMA Annual State Conference held in October each year.

CODE OF CONDUCT FOR STAFF (6/05)

Staff are to conduct themselves in accordance with Councils *Code of Conduct for Elected Members and Staff* – Appendix 1

LEGAL REPRESENTATION – COSTS INDEMNIFICATION (11/00)

Refer “Council” section of Policy Manual.

EQUAL OPPORTUNITY POLICY

Equal Opportunity Policy rescinded at Council’s August 2019 meeting (CMRef 0034)

SEXUAL HARASSMENT POLICY

Sexual Harassment Policy rescinded at Council’s August 2019 meeting (CMRef 0034).

Complaints/Grievance Procedure

Complaints/Grievance Procedure rescinded at Council’s August 2019 meeting (CMRef 0034).

ELECTORAL CODE OF CONDUCT (6/05)

Electoral Staff are to conduct themselves in accordance with Councils *Electoral Code of Conduct* – Appendix 4

OCCUPATIONAL SAFETY AND HEALTH POLICY (9/00)

The Shire of Dowerin is committed to providing and maintaining a safe working environment. The aim of this policy is to ensure the safety and welfare, so far as practicable, of employees and contractors whose services are engaged by the Shire of Dowerin.

The Chief Executive Officer is responsible for the management of occupational safety and health. The Shire of Dowerin identifies the requirements and responsibilities under the Occupational Safety and Health Act 1984, the Occupational Safety and Health Regulations 1996, approved Codes of Practice, Guidance Notes and relevant Australian Standards.

To ensure that the Shire of Dowerin is a safe place in which to work, the following areas of responsibility must be accepted.

- All staff, contractors and volunteer workers must take reasonable care to ensure their own safety and health at work and that of other persons in the workplace.
- All staff, contractors and volunteer workers must observe safe work practices and use personal protective equipment. All staff and volunteer workers are to be provided with personal protective equipment as required. Contractors are to provide at their own expense, personal protective equipment that meets the conditions of the Shire of Dowerin.
- It is a duty of all staff, contractors and volunteer workers to report any incidents, accidents and hazardous situations arising or having been observed in the course of one's work.
- It is the duty of all staff, contractors and volunteer workers to maintain a copy of the Occupational Safety and Health Policy and Safety Rules. Contractors must also maintain a copy of the Contractor Check List (Appendix 5).

The Shire of Dowerin seeks the co-operation of all people associated with working for the council in upholding a high standard of personal safety and accident prevention procedures.

This policy will be reviewed annually to ensure relevance, comprehensiveness and purpose.

Safety Rules

The safety and health of all people working for the Shire of Dowerin is of primary concern. The following rules are to be observed and complied with to reduce the risk of injury to any person.

1. Safe working practices must be observed at all times. If there is any doubt, speak to your supervisor.
2. Report any injury or incident immediately.
3. Safe and appropriate clothing and personal protective equipment must be worn while performing work tasks.
4. Council vehicles, machinery, equipment and facilities are to be used only by authorised personnel.
5. Lift all objects safely and correctly. If in doubt, ask someone to assist your ask your supervisor.
6. In the event of fire or other emergency, follow the instructions of the council emergency procedures.
7. Alcohol and drugs, other than drugs prescribed by a medical practitioner, must

not be consumed at any worksite or work location unless officially authorised. Failure to observe this requirement may result in dismissal or suspension without pay.

8. Speed limits on public roads and at work locations must be observed at all times.
9. Machinery, equipment, materials and tools must be secured whilst in transit.
10. Any unsafe working conditions must be reported to your supervisor.
11. All roadworks must comply with the MRWA standards as found in the General Field Guide MRWA Traffic Management for Road Works.
12. Greasing, refueling or cleaning machinery, plant and equipment that is running is prohibited.

FINANCE

ACCOUNTING - PETTY CASH ACCOUNT

That a Petty Cash account of $300.00 be conducted in the General Ledger for the purpose of;

1. Till Float $100.00
2. Petty Cash $200.00

PRINCIPAL ACCOUNTING OFFICER

The Chief Executive Officer is appointed as the Principal Accounting Officer.

RATES - COLLECTION OF OUTSTANDING RATES (9/96)

Council will adopt the following procedure for collection of outstanding rates:

1. A final notice be issued fourteen (14) days after the last date for payment, giving 21 days to pay the amount owing.
2. If payment is not received a "Notice of Intention to Summons" (as per the attached form) be issued giving a further fourteen (14) days grace for payment.
3. A summons be issued not later than seven (7) days after the expiry date of the "Notice of Intention to Summons".

Prior to the issue of the summons a personal approach should be made to determine whether there are any reasons why a summons should not be issue.

PENSIONER RATE DEFERMENT

That where any applications are received and they conform with the Pensioner Rates, Rebates & Deferments Act, the CEO be authorised to approve such applications.

AUTHORISED REVIEW OFFICER RATES AND CHARGES (REBATES AND DEFERMENTS) ACT 1992

The Deputy Chief Executive Officer be appointed as the Authorised Review Officer as required under Section 12(4) of the abovementioned Act.

DONATIONS - PUBLIC APPEAL

That where a public appeal is being made for funds Council not make a donation.

DISHONORED CHEQUES (10/00)

That staff be authorised to refuse acceptance of cheques from any person who has previously passed three dishonored cheques.

DEPRECIATION OF FIXED ASSETS

Plant and Vehicles
Rate – 15% on heavy plant ie. trucks, graders, tractors etc. 10% on light vehicles ie. cars, utilities that are kept for only one year. eg. CEO's vehicle.

Buildings
Rate - 2.5% on all buildings

Tools and Equipment
Rate – 10% on all items

Furniture and Equipment
Rate 2.5% on all items

Computer Equipment
Rate – 20% on all items

SURPLUS FUNDS

Investment
The CEO or Principal Accounting Officer are authorised to manage Councils investments, and a report of investments shall be submitted to each Council meeting. Investments shall only be lodged with Banks in Dowerin

INVESTMENT POLICY (4/98)

1. All surplus funds not required for short term cash flow are to be placed on short term fixed deposit.
2. All fixed deposits are to be placed with local banking institutions.
3. Unless required to be redeemed for cash flow needs the fixed deposit is to be renewed for a further term with accrued interest added to renewing deposit as principal
4. Interest accrued on fixed deposits from Reserve Accounts is to be receipted as Municipal Fund income as required by Local Government Financial Regulations.
5. Interest on Reserve Fund investments is to be transferred to Reserve Fund at least once each quarter before end of month is generated.
6. A report of all current fixed term deposits is to be presented to Council at each monthly meeting giving details of deposit number, term, interest rate, date of maturity and amount of deposit.
7. Cash flow is to be constantly monitored and manipulated to ensure maximum funds are kept on short term fixed deposit to accrue maximum interest possible as this is a major income source.

CAPITALISATION OF ASSETS

Plant and Vehicles
Any item that requires licensing or unlicensed plant over the value of $1000.

Land and Buildings
Purchase of any property to which title or deeds are applicable, and any item purchased which remains a permanent fixture of the building at a value over $1000. i.e. additions, air conditioning etc.

Tools and Equipment
Any item over $1000 that is of a realistic or insurable nature.

Furniture and Fittings
Any item over $300 that is of a realisable or insurable nature.

All items that fall below the capitalisation policy threshold shall still be recorded in the Asset Register at a nil value for ownership record and insurance purposes.

REVALUATION OF NON-CURRENT ASSETS (8/02)

In recognition of amendments to Australian Accounting Standard (AASB 1041), Council adopt the cost basis for disclosing the value of non-current assets.

COUNCIL GRANTS TO LOCAL ORGANISATIONS

Before Council gives consideration to a request from any local organisation for a grant or donation towards the organisation's funds, the organisation(s) supply to Council, a copy of their latest audited income and expenditure statement and balance sheet.

BUSH FIRE CONTROL

BURNING OF RUBBISH TIPS

Under no circumstances is the Amery rubbish tip allowed to be burnt. Other tips can be burnt outside the prohibited and restricted burning times. The Chief Bushfire Control Officer must be advised of any intended burn.

ROADSIDE BURNING/SPRAYING

No roadside burning is allowed by any ratepayers within the Shire unless approval by Council. Similarly, any application to use chemicals on road reserves for firebreak protection must be submitted in writing on the prescribed form. The Chief Executive Officer is authorised to approve or reject applications.

BUSH FIRE CONTROL OFFICERS

All Bush Fire Control Officers to be eligible for appointment must have attended a Fire Control Officers course conducted by the Bush Fires Board to be able to act in that position. Reasonable expenses that are borne by the officers in attending these courses that are not met by the Bush Fires Board will be paid by Council.

BUSH FIRE PERMITS

No permits shall be issued to set fire to the bush during the prohibited burning period except for reasons as specified under the Bush Fires Act. When a bush fire control officer issues a permit, he must advise the CEO that a permit has been issued with details of any conditions that are attached to the permit.

When a Bush Fire Control Officer refuses to issue a permit, he must also advise the CEO that the permit has been refused and details of the grounds for refusal to ensure that a permit is not obtained from another Officer.

ANNUAL BUSH FIRE ADVISORY MEETING OF BUSH FIRE BRIGADES (6/05)

That the annual bush fires advisory meeting be held in October/November each year and that all Bush Fire Brigades be encouraged to hold their annual meetings prior to the advisory meeting. Fire Control Officers are to be appointed at each Annual Bush Fires Advisory Meeting for endorsement by Council.

Updated position holders will be recorded at Appendix 6 - *Fire Control Officers.*

CBH GRAIN RECEIVAL POINTS

Under agreement with CBH Councils are no longer authorised to close bins in the event of a harvest ban, however every effort should be made to notify CBH bins of details of harvest bans so that they can advise farmers carting to the respective bin

HARVESTING BANS

The procedure to be followed in relation to imposing a harvesting ban is as follows: Harvest bans will be placed on when the reading on the Grasslands meter reaches 35 or above.

The harvest ban officers will confer as much as necessary and make the decision to impose the harvesting ban. At the time this decision is made, it will also be decided how long the ban will be on, and whether it will be lifted or reviewed at that time.

Generally, either the CEO or Deputy CEO will carry out the procedures to inform the relevant authorities and people to impose the ban. If either of these two people are unavailable, the Chief Bush Fire Control Officer will carry out this task.

After the ban has been imposed;

Contact the radio stations with details of the ban. If faxed through, use the forms that are on file

- ABC Weekdays 'phone 9220 2902, fax 9220 2911
- Radio 6AM - from Monday to Friday 9.00am -l 5.00pm Fax 9622 3469 Phone 9622 2777
- Radio 6MD ('phone 411 000 or fax 411 922)

Advise the bins of the harvest ban on the following telephone numbers.

Dowerin - Deliver notice to bin
Ejanding - Phone B & S Jones 9632 3012 Fax: 9632 3008
Manmanning - E. Emmott Phone: 9632 3017

EXTENSION OF BURNING PERIODS

That the Chief Bush Fire Control Officer and the Deputy Chief Bush Fire Control Officer be authorised to extend the prohibited and the restricted burning periods for periods of up to 14 days at a time, without reference to Council.

The decision to extend these burning periods will be taken after due consideration.

BURNING IN THE TOWNSITE

That no fires in large open areas be lit in the townsite by Shire staff unless the Chief Bush Fire Control Officer or the Deputy Chief Bush Fire Control Officer is advised of the intention to burn.

DOG CONTROL

DOG COMPLAINTS

That all substantiated written complaints received about dogs in the Shire of Dowerin be dealt with by the CEO in accordance with the provisions of the Dog Act 1976 and without further reference to Council.

AUTHORISATION TO PROSECUTE

The CEO is authorised to issue summonses for offences under the Dog Act.

AUTHORISED OFFICERS

Leslie Phillip Crichton
Rex John Adams
Steven Geerdink

REGISTRATION OFFICERS

Leslie Phillip Crichton
Rex John Adams
Shirley Ann Howard
Natalie Noelle Jones
Pamela Scott

COUNCIL HOUSING

STAFF HOUSING ALLOCATIONS

When Council Housing become available it will firstly be offered to Council Staff and the Chief Executive Officer be given the power to approve all housing allocations. Should Council Staff not require housing assistance, then the vacant residence/s be offered for lease by advertisement at the current market rental value, including a bond of 4 weeks rent.

STAFF HOUSING SUBSIDY (6/05)

All permanent full time employees residing in their own homes in Dowerin will receive a $50 per week housing allowance.

All permanent full time employees renting a non-Council property in Dowerin will receive a $50 per week subsidy subject to net rent payable per week by that employee being no less than $50.

ANNUAL INSPECTION OF COUNCIL HOUSES

That an annual inspection of all Council Houses be carried out in April/May to ascertain the housing maintenance items that should be included in the next budget.

WHITE ANT INSPECTION (11/01)

1. Every Council House is to be inspected every second year by a licensed pest controller; and
2. Every one-year for buildings deemed susceptible to damage by the Health/Building Officer.

HOUSING – PAINTWORK

That all Shire Houses be painted in pale shades (eg. off white walls and white ceilings). This standard to apply to all houses to avoid requests for repainting each time the occupiers change.

WATER CONSUMPTION

That Council will bear the cost of water rates and water consumption costs on Shire houses.

STANDARD OF GARDENS

That all tenants in Shire Houses be expected to maintain a satisfactory standard of garden and if this standard is not met to the satisfaction of Council, the CEO is required to discuss the matter with the tenant.

WORKS AND SERVICES

Requests for Council provide works and services for Council properties which are leased or managed shall be at the discretion of the CEO having regard to the availability of resources at the time, that the works are relatively minor, and with the

proviso that if works or services are provided, the cost shall be based on actual labour and materials costs only.

DIVIDING FENCES

In all cases where notice of intention to erect, replace or repair a fence adjoining Council owned land is served on Council pursuant to the provisions of the Dividing Fences Act and the notice and proposals contained therein comply in all respects with the provisions of the Dividing Fences Act, the proponent be advised that Council is prepared to contribute half the cost of a standard fence for the area, or half the cost of the proposed fence or works, which ever is the lesser.

USE OF SHIRE EQUIPMENT

That Council staff be permitted to use Shire equipment for work to be undertaken on their residing property provided that prior approval has been granted by the Shire Works Manager or Chief Executive Officer, and the policy is not abused by staff.

COMMUNITY AMENITIES

RE-OPENING OF GRAVES FOR SUBSEQUENT INTERNMENTS

That Council allows such on the conditions that if Council employees do not wish to undertake such, the applicant must arrange for such to be completed by other qualified personnel.

RUBBISH REMOVAL SERVICES

Landowners/Occupiers who are provided with a rubbish removal service but do not take advantage of that service are still required to meet the Council charges for the service.

REFUSE SITE

The dumping of used tyres not be permitted at the Dowerin rubbish tip.

CHEMICAL CONTAINERS

That landowners be advised that chemical containers will not be accepted at the rubbish tip and that these containers must be disposed of either on their own property or at the collection point with the Shire materials depot.

RECREATION AND CULTURE

ANNUAL INSPECTION OF PUBLIC BUILDINGS

That an annual inspection of all public buildings be carried out in April/May to ascertain the housing maintenance items that should be included in the next budget.

WHITE ANT INSPECTION (11/01)

1. Every public building is to be inspected every second year by a licensed pest controller; and
2. Every one-year for buildings deemed susceptible to damage by the Health/Building Officer.

PUBLIC BUILDINGS (10/00)

Application for hire, Shire Public Building to be on the prescribed form.

Conditions of Hire

1. Deposit and Payment Arrangements

a) At least 20% of the hire charges must be paid at the booking and the balance plus any bond (liquor) during the week prior to the booked date. Note: The bond that applies when it is intended that liquor be consumed is equal to the hire charge.
b) Reservations will be taken, though if the booking is not confirmed and at least 20% of the hire charge paid within seven (7) days the reservation will lapse.
c) In the event of non-payment (of the balance of sun-clause (a)) the booking is cancelled and the deposit is forfeited to the Council.
d) In the case of seasonal and regular hires the above arrangements may be modified with authorisation of the Chief Executive Officer.

2. Consumption of Liquor

A person, on Local Government property shall not consume liquor or have in his or possession or under his or her control any liquor, unless:
a) It is permitted under the Liquor Licensing Act 1998; and
b) A permit has been obtained for the purpose.

3. Liaison Person

It is the hirers' responsibility to nominate a liaison person if different to the hirer.

4. Smoke Free Zone

It is responsibility of the hirer to ensure that the "Non Smoking Policy", within the Shire of Dowerin buildings is adhere to.

5. Setting-up

a) Hirers are responsible for setting up of furniture and equipment; and
b) Permission must be obtained from the Chief Executive Officer or the Manager of Environmental Services to hang decorations, notices, posters etc. on any part of the buildings. The cost of repairs resulting from removal of these will be at the hirers' expense.

6. Requirements on Completion of Function

Hirers are responsible for leaving the building in a clean condition.
a) Rubbish - All cans, bottles and papers to be placed in bins provided.
b) Chairs and Tables – Building is to be left as found. Floors to be swept and spillages cleaned up – equipment is provided. All serving equipment and benches are to be washed down with hot water. Cups and saucers are to be washed and up away.
c) Lights and Electrical Equipment – All (other than fridges) to be turned off and fridges left clean.
d) Hirers are responsible to ensure all doors and windows are locked at the completion if the event.

7. Damage

All damage, however caused during the term of hire will be repaired at the hirer's expense and deducted for the deposit. If the cost repairs exceed the deposit held then an account for the balance will be forwarded.

8. Failure to Comply

Should any of the conditions in relation to clause 4,5 or 6 be unfulfilled, the work will be done and the time required charged for at the rate of $40.00 per hour plus cost incurred from the deposit. If this cost exceeds the deposit held, then an account will be forwarded for the balance. Forfeiture of bond will be enforced if smoking occurs within the prohibited areas.

FURNITURE AND EQUIPMENT HIRE – CHAIRS

Plastic chairs be available for public hire at the hire rates set from time to time.

AROC BE ACTIVE SCHEME HEALTH POLICY (11/02)

AROC Policy rescinded at Council's August 2019 meeting (CMRef 0034).

DOWERIN DISTRICT MUSEUM COLLECTIONS POLICY (04/06)

1. Introduction

This policy is to be read in conjunction with the Dowerin District Museum (the Museum) Documents of Association.

2. Statement of Purpose

To develop exhibits that examine and celebrate the Dowerin districts history and provide a platform that will encourage the community's enthusiasm, innovativeness and vibrant energy, evident from the past, to continue into the future.

The museum will continue to preserve, research and utilise for interpretation its collection of objects and documentation relating to the history of the Dowerin District.

3. The Collection

3.1 Themes
The history of the settlement and development of the Dowerin District with particular emphasis on:
Town's gazettal, establishment of business, buildings (hospital),

Transport,
Economic development and technology,
Rules, regulations, laws and
Recreation and social life

3.2 Historic Period
The Museum will collect material from the time of the first European settlement of the district until the present.

3.3 Geographic Area
The Museum will collect material within the past and present boundaries of the Dowerin Shire.
3.4 Items to be Collected
The Museum will collect objects and ephemera that tell the story of the businesses, families and events of the Dowerin area.

4. Acquisitions

4.1 Method of Acquisition
Acquisitions to the collection may be in the form of donations or bequests, or by purchase or exchange.

4.2 Acquisitions Procedure
Acquisitions will be recorded in the museum's collection documentation system.

4.3 Historical Significance
The Museum will collect only those items which contribute to an understanding or appreciation of the customs, activities, historic episodes or personalities associated with Dowerin and the district, and highlighting the collections themes.

4.4 Documentation
The Museum will take into consideration the information known about an item, such as original owner, history of the item, identity of people pictured or named. Such information will be recorded for inclusion when cataloguing the item.
4.5 Condition
Severely damaged items will not normally be collected. Conservation and storage requirements of an item will be taken into account when the decision about collecting it is made.

4.6 Duplication
The Museum will not normally collect items that duplicate the existing collection. If an item of superior condition or historic value is accepted, the duplicate item must be considered for deaccessioning.

Reproduction or copy items may be collected for information, display, education or other purposes and shall be clearly marked as such to avoid confusion.

4.7 Holding Space
Acceptance of items is subject to the availability of space for storage, secure from risk of theft and environmental damage.

5. Access

The Museum aims to provide maximum possible public access to the collection. Public access to the collection will be by arrangement with the Museum and published locally.

6. Review of Collections Policy

This Policy will be reviewed by the Dowerin District Museum every three years or more frequently if necessary.

DOWERIN DISTRICT MUSEUM DEACCESSIONING

1. Agreement to Deaccession

Items which no longer meet the criteria of the Collections Policy may be deaccessioned by a majority vote of the Dowerin District Museum Committee. Members must be given one month's notice, including a list of items to be considered for deaccessioning.

2. Deaccessioning Procedure

Donated items should first be offered to the donor or donor's family. If this is declined, is not possible, or if items to be deaccessioned have been acquired by other means, they may be offered to educational institutions. As a last resort, items may be offered for public sale. Proceeds from public sale of collections will be used for purchase of items for the collection, conservation of the existing collection, or to fund collection-oriented activity. If none of these methods are successful, an item may be deaccessioned by disposal.

If an item has deteriorated to the point where it is not possible to conserve it and it no longer has any historical value, it may be necessary to deaccession an item by disposal.

The Museum will record all deaccessions in the collection documentation system.

DOWERIN DISTRICT MUSEUM LOANS

1. Inward

The Museum will not accept 'permanent' or 'indefinite' loans. The Museum may accept loans from time to time for purposes such as exhibitions. All inward loans will be for a fixed time, and will be entered in a Loans Register.

2. Outward

The Museum may make loans from its collection to other bodies. It is required that the borrowing organisation treat such items with a high standard of care, recognising their historical value and conservation requirements. Borrowers will be required to sign a loan agreement which includes the conditions of loan and specifies an agreed loan period.

SWIMMING POOL

Swimming Pool policies rescinded at Council's May 2019 meeting – Item 10.2.3

TRANSPORT - PLANT

MOTOR VEHICLES AND PLANT REPLACEMENT

Recommendations for the replacement of Council's motor vehicles and plant be in accordance with Council's Plant Replacement Programme.

PLANT REPLACEMENT POLICY (9/04)

Council's Plant Replacement Program be amended to reflect that the changeover of heavy plant be reviewed at intervals of not less than five years and not more than eight years.

MOTOR VEHICLE REPLACEMENT

Motor vehicles are to be considered for replacement at a minimum of two years of age or 40,000km, whichever comes first.

Tenders may be called or prices negotiated without reference to Council, but tenders and negotiation results are to be submitted to Council for a decision before any action is taken on the vehicle replacement.

PLANT PURCHASING AND HIRE (9/00)

The Shire of Dowerin recognises the employer responsibilities under the current Occupational Safety and Health legislation, to provide and maintain, as far as practicable, working environments in which their employees are not exposed to hazards.

As an essential component of this commitment to safety, the Shire of Dowerin shall only purchase or hire those items of plant and equipment where the manufacturer guarantees by way of appropriate documentation, that the item, when used under normal operating conditions and with recommended precautions taken, does not pose any safety risk to any employee of the Shire of Dowerin.

To demonstrate this commitment to workplace safety, a copy of this policy shall be included in all tender documentation issued to vendors of plant and equipment as well as to the providers of equipment hired by the Shire of Dowerin.

1. Implementation of Plant Purchasing and Hire Policy

Implementation of this policy complies with the obligation to ensure safe systems of work.

To reduce the risk of injury and ill health to employees all hazards must be identified, assessed and controlled.

1.1 Hazard Identification ensures all possible risks to employees from the purchase or hire of equipment are recognised and taken into account before purchase or hire is finalised.

1.2 Hazard Assessment enables the likelihood of injury and the severity of injury to be assessed.

1.3 Hazard Control recommends possible courses of action to minimise all risks based on the recognised hierarchy of hazard control with elimination being the most desirable and substitution the next option. Engineering controls may also be relevant.

The above three step hazard management system is relevant to all Council operations.

The assessment should be conducted by the section Supervisor, the usual operator and the safety and health representative before purchase or hire of any plant and equipment. The workshop supervisor may also attend these assessments as his knowledge and expertise would be relevant to the maintenance schedule and any suggested alterations and modifications.

The Occupational Health and Safety Act 1995 and Occupational Safety and Health Amendment Legislation 1995 make specific reference to the obligations of manufacturers and suppliers of equipment:

Duties of manufacturer, etc.

23.(1) A persons who designs, manufactures, imports or supplies any plant for use at a workplace shall, so far as is practicable-

(a) ensure that the design and construction of the plant is such that persons who properly install, maintain or use the plant are not in doing so, exposed to hazards;

(b) test and examine, or arrange for the testing and examination of, the plant so as to ensure that its design and construction are as mentioned in paragraph (a); and

(c) ensure that adequate information in respect of –

(i) any dangers associated with the plant;

(ii) the specifications of the plant and the data obtained on the testing of the plant as mentioned in paragraph (b);

(iii) the conditions necessary to ensure that persons properly using the plant are not, in doing so, exposed to hazards; and

(iv) the proper maintenance of plant.

(2) A person who erects or installs any plant for use at a workplace shall, so far as is practicable, ensure that it is so erected or installed that persons who properly use the plant are not subjected to any hazard that arises from, or is increased by, the way in which the plant is erected or installed.

2. Training

Training must be provided to satisfy the requirements of the Occupational Safety and Health Legislation, and must be evaluated to ensure that it is effective. Employees involved in the hire and purchase of equipment should be trained in the identification, assessment and control of specific hazards associated with plant and equipment used by Council employees.

3. Specific Requirements

When inspecting plant and equipment, either for purchase or hire, there are a number of areas that need to be taken into consideration to minimise risk to employees:

3.1 Ergonomics

Seating – needs to be comfortable and able to support the operator without sagging. Appropriate lumbar support should be incorporated in seat design plus adjustments available to accommodate all sizes of operators.

Operating controls should be located within easy reach to minimise operator

stretching, bending and twisting movements. Controls should be light in movement to minimise strain and muscular effort. Steering wheel positioning should be adjustable to suit all sizes of operators and there must be sufficient distance from the operator's thighs and the steering wheel.

Access and egress – hand holds and steps should be located to enable ease of entry and exit from the cab.

3.2 Noise

Noise levels both inside and outside the cab should be assessed. Exposure to excessive noise levels can result in permanent hearing loss and also contributes to fatigue. Employers are obliged to reduce noise levels as far as practicable at the workplace.

Noise level measurements of the item of plant or equipment should be provided by the supplier before purchase or hire to ascertain the risk to employees operating the equipment as well as employees/or members of the public who may be in the vicinity at the times of operation.

3.3 Dust and moisture control

Cabs must be sealing correctly to minimise penetration of dust and moisture. Adequate ventilation is essential for operator comfort.

3.4 Thermal comfort

Adequate ventilation is essential and wherever possible air-conditioning should be installed and tinted glass for those items with large areas of glass. Heaters should be fitted to enable comfort in colder conditions and demisting facilities to enable clear visibility.

3.5 Vibration

Cabs should be mounted to minimise vibrations transmitted from road surfaces. Correct suspension seating also absorbs vibration and improves operator comfort.

3.6 Lighting

Work lights should be positioned to light up the required work area of the equipment such as the road sweeper lights should be positioned so that the operator can clearly see the gutter line and channel brushes while operating.

3.7 Visibility

Visibility from the vehicle should be assessed to ensure a clear field of view in all directions with any possible blind spots identified.

3.8 Passenger comfort

Passenger comfort should be taken into consideration if more than two people are to travel in the vehicle. Most trucks only cater for two people with a small centre seat over the engine cowling for the third person. To avoid discomfort for the third person it is undesirable for this middle seat to be used for any great length of time.

VEHICLE AIRCONDITIONING

Air conditioning be installed in all new vehicles purchased by Council after 1st July 1996, provided that the vehicles fall within the criteria and conditions as detailed hereunder:-

Criteria

1. If an employee spends more than half the working time in the vehicle on a regular basis.
2. The vehicle is assigned to the CEO, DCEO or Works Manager.
3. The vehicle is assigned and used for the transportation of official visitors. e.g. Community Bus.
4. That vehicle must be suited for air conditioning.

   Conditions

   a) The nature of duties in which the vehicle is to be employed permits the air conditioning to work effectively.
   b) Where an integrated air conditioning unit is available, it should be fitted to the new vehicle on the assembly line. If this is not possible, the Administration should ascertain the type of air conditioner to be fitted.

PLANT MAINTENANCE

Council promotes, and the Works Manager is responsible for ensuring, the regular cleaning of all council vehicles.

The operator of the day of any Shire plant, shall be responsible for the daily maintenance, as described to them in the employment contract by the Works Manager of that item of plant. The daily maintenance shall include such items as replacement of fuses, light bulbs, greasing, refueling, tightening of mirrors and fixtures, and ensuring that the Works Manager is informed of any defects on the machine that may render it unroadworthy or suspect to failure.

SECURING OF COUNCIL'S VEHICLES/PLANT

That keys are not be left in any item of vehicle or plant whilst unattended.

TRANSPORT – ROADS/ROADWORKS

Transport – Roads/Roadworks Policies rescinded at Council's May 2019 Meeting – Item 10.2.2.

ECONOMIC SERVICES

CHEMICALS

That only approved chemicals that do not sterilise the soil be used around townsites and the Chief Executive Officer and Health/Building Officer co-jointly be responsible for approving the chemicals.

CHEMICAL SPRAYING

Council Staff Shall:

a) Wear all required protective equipment whilst handling and spraying chemicals;
b) Consult the Chief Executive Officer or Council's Health/Building Officer prior to the commencement of spraying.

ROADSIDE WEED SPRAYING (6/05)

Landowners or occupiers must apply for a license (Appendix 9) to undertake weed spraying on land either owned and/or under the responsibility of the Shire of Dowerin.

HEALTH/BUILDING

RADIO ACTIVE MATERIALS

That for the safety of the residents of the Shire of Dowerin, the Council prohibits in the municipality the dumping of radioactive materials.

BUILDING PLANS

Council delegate Council's Health/Building Officer with the authority under the Local Government Act Section 374, subsection (1b) to approve building plans and specifications, provided they conform with the Uniform Building By-Laws, Shire of Dowerin Town Planning Scheme No. 1 and any policies adopted by Council and that a monthly report is submitted to Council.

PROVISIONS FOR SMALL BUILDINGS (6/05)

That neither, an application for approval to commence development, nor a building application be required for a garden shed which means a shed, gazebo, free-standing pergola, workshop or outhouse containing not more than 10 sq m of floor area located on the same lot but separate from a dwelling subject to use of new materials, compliance with setback requirements and use provisions for the applicable zone.

UNAUTHORISED STRUCTURES

Where a building, work or structure is constructed in breach of any provisions of the Uniform Building By-Laws, the Health/Building Officer is authorised to give notice to the owner for the building work or structure to conform with the By-Laws:

1. Serve written notice on the owner of the building or builder drawing notice to the existence of the structure in breach of the By-Law and requiring written explanation within 14 days of the Notice.
2. Provided a satisfactory explanation is received and the relevant action is taken to comply with the requirements of the Notice, the Health/Building Officer is authorised to issue a building license.
3. Should the owner or builder fail to comply with the requirements of the Notice within the prescribed time, or show good and sufficient reason for not doing so, the matter should be placed before Council for their consideration.

B.C.I.T.F. LEVY

That Council Act as a Collection Agent for the B.C.I.T.F. Levy Fund.

SECONDHAND BUILDINGS (4/98)

Council’s Policy on secondhand dwellings is as follows:

1. An application for building approval for a secondhand dwelling shall only be considered by Council if it is to be erected on a “residential” or “rural” zoned lot considered acceptable by Council.

2. The building must first be inspected at its existing (original) location by the Shires Building Surveyor. If the building is located in an isolated locality or different Local Authority a charge based on time and distance will be made.

3. Transportable 'donga' type structures will not be considered for a Building Licence unless they are of good structural standard as determined by the Building Surveyor, treated to eliminate any evidence of manufacturers or other commercial markings or colour strips etc and are provided with a pitched roof of not less than 15o.

4. After payment of the fee and completion of the inspection a report will then be presented to Council for consideration.

5. Following approval in principle by Council the proponent shall submit the normal plans and specifications for a "Special" Building Licence with a maximum time frame for completion of the building work of 6 months.

6. A bond of $2,000 is to be lodged with Council as a "Condition" of Building Licence issue. On completion of the building work within the timeframe of the Special Building Licence the bond will be returned following application.

7. The secondhand house shall not be moved from its original site or enter the Shire of Dowerin unless or until the Special Building Licence has been formally issued.

COMMUNICATION STRUCTURES

Policy Objective

This policy is concern with the placement of radio masts, towers and satellite dishes and other like structures within the municipality where it can be sufficiently demonstrated that such structures will not;

- adversely affect the amenity of the surrounding area,
- be detrimental to the streetscape of the street in which the property , the subject of the proposed structure is located,
- is deemed not to cause interference to any domestic of other commercial electrical appliance or affect the health of any person in the vicinity as a result of emission from the structure or any appliance connected or related to it.

Guidance for Applications

Radio/TV Communication structures are a use not permitted unless granted discretionary approval by Council.

Applications are to be made on an Application for Development Approval Form and shall include the following;

1. Written approval from Australian Communication Authority and a copy of any conditions that are specified. (Note – a license is only required for a transmitting device, receivers, TV/Radio masts and aerials do not require a license.
2. Plans/Drawings to be certified by a structural engineer relating to the fixing of foundations or to an existing structure, fixing of guys and all other relevant information.
3. A written undertaking that there will be no possible health affects to any person or interference to any domestic or commercial electrical appliances in the vicinity as a result of emission from the structure or any appliance connected or related to it.

On receipt of an application, the Environmental Health/Building Officer shall cause the application to be advertised in the following manner;

- On a prescribed notice to, in the opinion of the EHO and CEO, those property owners and occupiers considered to be prejudiced by the application,
- Placement of a notice in the Dowerin Despatch of the prescribed form advising

the residents in the area of their rights to lodge an objection should they wish within the period prescribed of 21 days form the publication, or delivery of such notice, and at the close of office hours on that day.

Assessment Criteria

1. The intent of usage, be it domestic or commercial purposes
2. For domestic purposes a maximum height of nine (9) metres shall apply taken from the mean site level of the block
3. For commercial purposes height restrictions shall have due regard to technical operational needs of the structure, information to be provided and justified by the applicant and any other relevant authority.
4. All communications structures shall be located behind the front (building) setback, preferably at the rear of the site.
5. Submissions received from the property owners and occupiers deemed to be affected by the proposed communication facility.
6. The requirements of the Australian Communication Authority. Note A.C.A. Tel. [08] 9323 1717, 12th floor, 256 Adelaide Terrace, East Perth WA 6892

CROSSOVERS TO RESIDENTIAL PROPERTY DOWERIN TOWNSITE (5/99)

Crossovers specification within the Townsite of Dowerin for residential zoned land.

Preliminary:

The cost of constructing the primary crossover for a residential zoned lot will be by the applicant following formal application and acceptance by the Chief Executive Officer.

The cost of additional or secondary crossovers is the responsibility of the landowner.

Specification

1. Prior to constructing any crossover, application must be made to Council.
   Where a section of vertical kerbing is to be removed the applicant must specify its exact location. Council will carry out removal of that section of kerbing at no cost to the applicant, conditional upon its replacement by demountable profiled kerbing by the owner of the land it services.
2. Crossovers must be constructed to the following minimum standard:
   - 100mm thick 20Mpa concrete with F62 mesh reinforcing;
   - The foundation to be cleared of all remnant vegetation, loose soil or debris then compacted using the approved method to achieve 70% relative density – 8 blows per 300mm.
   - Crossover to have parallel edges and be no wider that 4m.
   - The crossover surface to incline from the top of the demountable kerb to a level equal to the top of the kerbing over a distance of 1m, the remaining surface level to be equal to natural ground through to the lot boundary.
   - The finished surface of the crossover to be non-slip.
   - A 20mm expansion joint using an approved canite type material is to be provided between the finished crossover and the street kerbing.

   Note: *Crossover specification for land other than residential zoned land is subject to special assessment by Council.
   * Alternative methods of construction are also subject to special assessment by Council.

BRICKPAVED CROSSOVERS (6/99)

Specification

1. Prior to constructing any crossover, application must be made to Council:

   Where a section of vertical kerbing is to be removed the applicant must

specify its exact location. Council will carry out removal of that section of kerbing at no cost to the applicant, conditional upon its replacement by demountable profiled kerbing by the owner of the land its services.

2. Brick paver crossovers must be constructed to the following minimum standard:
   - Pavers to be a minimum 60mm heavy duty rectangular or square unit.
   - The foundation to be cleared of all remnant vegetation, loose soil or debris then compacted using the approved method to achieve 70% relative density – 8 blows per 300mm.
   - A sand bed of 20mm – 40mm thick is to be provided for pavers.
   - Crossover to have parallel edges and be no wider than 4m and which truncates the verge from 500mm from the kerb line at 30o.
   - Edge row of pavers to be set on 250mm x 80mm 20 MPA concrete, robust enough to withstand vehicle impact.
   - The crossover surface to be inclined from the top of the vertical curbing over a distance of 1m, the remaining surface level to be equal to natural ground through to the lot boundary.
   - Pavers to be immediately compacted and brought to level by not less than 3 passes of the vibrating plate compactor.

BITUMEN VEHICLE CROSSING (6/99)

Specification

1. Prior to constructing any crossover, application must be made to Council:

   Where a section of vertical kerbing is to be removed the applicant must specify its exact location. Council will carry out removal of that section of kerbing at no cost to the applicant, conditional upon its replacement by demountable profiled kerbing by the owner of the land its services.

2. Bitumen crossovers must be constructed to the following minimum standard.
   - The foundation to be cleared of all remnant vegetation, loose soil or debris to a depth of 100mm. Backfill with good gravel base to no less than 10mm beneath finished level then compact using the approved method to achieve 70% relative density – 8 blows per 300mm.
   - Provide concrete crossover kerbing in 20 MPA concrete 50mm wide and 100mm deep to a level equal to the finished bitumen surface level.
   - After introducing the bitumen, fill with no less than 10m of blue metal then compact to finished level.
   - Crossover to have parallel edges and be no wider than 4m and which truncates the verge from 500mm from the kerb line at 30o.
   - The crossover surface to be inclined from the top of the demountable kerb to a level equal to the top of the vertical kerbing over a distance of 1m, the remaining surface level to be equal to natural ground through to the lot boundary.

RURAL CROSSOVERS

Where landowners require a culverted crossover, Council will provide one crossover free of charge and if an additional crossover is required, Council will provide the labour to install the culvert if the landowner pays for the culverts.

ON-SITE EFFLUENT DISPOSAL SYSTEMS (5/99)

That the following guidelines covering the minimum standard for on-site effluent

disposal systems in Dowerin is supported and be incorporated into Councils policy register.

Minimum standard for on-site sewage treatment and disposal systems

1. On-site sewage treatment and disposal systems for residential development, or any other building that produces less than 540 litres of sewage per day, to be sized and approved by the Health/Building Officer, in accordance with the Health (Treatment of Sewage and Disposal of Effluent and Liquid Waste) Regulations 1974.
2. Notwithstanding the statutory requirements specified by the Health (Treatment of Sewage and Disposal of Effluent and Liquid Waste) Regulations, the following local conditions apply in Dowerin taking account of the areas geological, hydrological and topographic features.

   A. Septic Tanks
      i. Septic tank installation to allow for the lids to be below finished ground level, once sealed.
      ii. Combined septic tanks to be separated by no less than 1m and no more than 1.8m.

   B. Leach Drain Installation
      i. Excavate 1m either side of the leach drain and to a depth of 300mm below the final invert level of the drain segments.
      ii. Top of leach drain to be kept as close as possible to the finished ground level, ideally covered by approximately 300mm of soil.
      iii. Backfill with fine aggregate (max. 25mm) up to the invert level of the inlet pipe. Remainder to be backfilled with clean sand fill.
      iv. Leach drains to be constructed by using Health Department approved concrete domes or the Atlantis modular leach drain system.

      Note: Effluent must enter through the top of the Atlantis leach drain.

   C. Aerobic treatment unit (ATU) installation to be in strict accordance with the requirements of the Health (Treatment of Sewage & Disposal of Effluent and Liquid Waste) Regulations 1974, plus any additional direction issued by the Health/Building Officer as a consequence of site topographic features.

3. Pursuant to section 107 of the Health Act, no on-site treatment and/or disposal system shall be used until/unless it has been inspected and a certificate of approval issued by the Health/Building Officer.
   Note: The foregoing covers local conditions applicable to installation of bacteriolytic treatment systems and does not diminish any requirement or standard specified by the Health (Treatment of Sewage and Disposal of Effluent and Liquid Waste) Regulations or manufacturers instruction.

SEA CONTAINERS (3/07)

Objectives: To control the use and placement of sea containers, or other similar structures in the townsites of the Shire of Dowerin such that an acceptable standard of development is achieved and that the structure does not adversely affect the amenity of the area.

Policy:

1. All sea containers and other similar structures proposed to be located within the townsites of the Shire of Dowerin require the planning consent and a building license from Council prior to their placement on land.
2. Sea containers and other similar structures used for temporary storage during the conduct of building works will be exempt from these requirements, provided that the following criteria are achieved:
   a) The structure is only being used for the secure storage of materials, plant, machinery or building equipment on a building site;
   b) The building site has a current planning approval and/or building licence;
   c) Construction works are actively being undertaken on the site and do not lapse for any period greater than 30 days;
   d) The structure does not impact on pedestrian or vehicle movements in any way or obstruct vehicle sight lines;
   e) The structure may not be permitted on the building site for a period longer than 6 months, unless the special approval of Council is obtained; and
   f) The structure is removed from the building site at the completion of the building works.

3. In determining applications for the placement of sea containers, Council shall have regard to the following designation of use symbols and prohibitions for certain zones and Reserve land in townsites of the Shire of Dowerin, made in accordance with Shire of Dowerin Town Planning Scheme No. 1 –

Residential 1	*Prohibited*
Commercial	*Prohibited*
Tourist zone	*"PS"*
Light Industry zone	*"P"*
General Industry zone	*"P"*
Rural Residential	*"PS"*
Rural Townsite	*Prohibited*
Rural	*"P"*

***"P"** – Permitted*
***"PS"** – not permitted unless special approval given by Council subject to conditions being complied with*

4. In determining applications for the placement of sea containers, Council will require the following information be provided by the applicant:
   a) The necessary application for planning consent and building license application forms;
   b) A site plan showing the proposed location of the structure in relation to boundary setbacks, natural features and existing buildings;
   c) A written submission detailing the proposed works to be undertaken to improve the visual amenity of the structure; and
   d) Any elevation drawings considered appropriate; and
   e) Payment of the relevant application fees.

5. As sea containers and other similar structures may have an adverse effect on the visual amenity of an area, their location in Residential, Shop or Office zones will not be supported unless the structure is for temporary building site works, as described in clause 2.

6. All sea containers and other similar structures shall comply with the following design and location criteria:

   a) The structure should be located so it has low visibility from any road and/or adjoining property, observing all setback requirements contained in Council's Town Planning Scheme No. 1.

b) The structure should be located behind existing buildings and/or screening vegetation and not be located in front of the established or proposed building line.
c) The structure must be painted in a colour to blend with adjacent buildings or in an earth tone to blend with the natural landscape and vegetation.
d) The Council may consider the location of the structure in a position where it may be visible from any road or adjoining residence, or isolated from the existing buildings on a property, when the external appearance of the structure is substantially modified (which may include roofing, cladding and/or painting) so as to conceal its appearance as a sea container.
e) No more than one sea container or similar storage structure will be permitted on a property.
f) Sea containers or similar structures shall not be used for habitation purposes.
g) Sea containers or similar structures may not be made permanent fixtures on the land except on properties zoned 'General Industry" or "Light Industry"
h) The structure shall not compromise or obstruct vehicle access ways, vehicle truncations, access to parking areas or the parking bays provided on a site.
i) The structure shall not compromise or obstruct vehicle or pedestrian sight lines, thereby creating a public safety concern.

7. The Council reserves the right to approve the siting of a sea container or other similar structure on a property for a fixed period of time. Following the expiry of this approval period, the property owner is responsible for seeking the renewal of the temporary approval.

8. The Council reserves the right to revoke any approval for the siting of a sea container or other similar structure on a property where it is compromising the amenity of an area or impacts on public safety.

9. The Council may vary the requirements of this policy, where it is considered that full compliance with the policy is impractical or such variation is warranted in the circumstances of the case.

OTHER PROPERTY AND SERVICES

PRIVATE WORKS

That Officers empowered to authorise works be the CEO or Works Manager.

The authorised Officers are empowered to approve of any form of private works up to an estimated cost of $10,000 and any works over and above that amount, must be approved by Council.

The amount of administration and depreciation to be recovered in addition to the readily established cash cost shall be:-

a) Administration - 10%
b) Depreciation in accordance with the Main Road Department depreciation component.
c) A profit loading of 10% be raised on the first $5,000 of any private works, with the loading being reduced by 5% on any excess over $5,000.

Where it is the opinion of the CEO that the works involved are more directly Plant Hire, then Plant Hire rates as approved by Council shall be charged on an hourly basis.

Where private works are approved for a ratepayer, Council shall require one-third of the estimated cost of the works as a deposit.

In respect to Government Departments of Government instrumentalities, no deposit is required but no work shall be commenced until a purchase order has been received.

In respect to persons or organisations which are not ratepayers or Government Departments, they shall be required to lodge with Council a deposit prior to commencement of the works to cover the total cost of the works or services involved.

Where possible the Works Manager shall provide a quote for Private Works.

Persons or agencies requiring Private Works shall sign the prescribed form which requests works and also indemnifying Council.

PLANT & EQUIPMENT USE BY FESA.

In cases of emergency the CEO or Works Manager be authorised to permit the Fire and Emergency Services access to any Council plant and/or equipment provided that such is operated by an employee of Council.

LOAN OF PLANT TO LOCAL ORGANISATIONS

Requests for Council to loan engineering plant and equipment to community groups for other than major works be at the discretion of the CEO, subject to a Council operator being in charge of such equipment and the actual labour costs of such employee being charged to the group.

LOAN OF EQUIPMENT TO LOCAL ORGANISATIONS

The short term loan of, litter bins, flags, traffic cones, ropes and barriers, etc, to charitable groups or service organisations for a specific function shall be at the discretion of the CEO who is authorised to charge for damage or non-return of such items or require a security deposit before such loans are effected.

HIRE OF COUNCIL PLANT

All major items of Councils Plant are available for Public Hire subject to Council employees operating such.

All requests for hire must be authorised by the Chief Executive Officer and/or Works Manager and charged at those rates set at Councils Annual Budget meeting.

COMMUNITY BUS (11/99)

The use of the Community Bus shall not be allowed for the purpose learner drivers or for driving tests.

CONTRACTORS

CONTRACTOR EMPLOYMENT POLICY

1. Contractors Risk and Insurance

Tender and contractual documentation should contain the clauses that are set out below:

a) The contractor shall be solely responsible for the services and shall bear the sole risk for any loss or damage whether to any person or property caused by or resulting from directly or indirectly, any act or omission of the contractor or any default or negligence by the contractor irrespective of any negligence, default or breach of statutory duty on the part of the Council.

b) The contractor shall indemnify and keep indemnified the Council from and against any loss or damage and against all claims, demands, proceedings, costs, changes and expenses whatsoever arising out of any act or omission of the contractor and any default by the contractor irrespective of any negligence, default or breach of any statutory duty on the part of council.

c) The contractor shall, at the contractors own expense, procure and maintain and shall ensure that all sub-contractors shall procure and maintain the following insurance's, such insurance shall be specifically endorsed so that it is deemed primary to any insurance effected by or on behalf of the council and shall contain a cross liability clause which shall treat each of the insured parties as if a separate policy had been issued to each of them;

i. public liability insurance for an amount of not less that $5 million for any one accident or occurrence in the name of the council and the contractor.
ii. third party property damage insurance of not less that $5 million in respect of any motor vehicles, plant or equipment used in the performance of the contracted services.
iii. if the contractor or any sub-contractor employs any person or persons to perform the services or any part thereof, documentation certifying current workers compensation insurance, public liability insurance and third party damage insurance to the specifications and the criteria demanded by the contractor must be provided to council before the commencement of any services.
iv. if the contractor or any sub-contractor employs and person or persons to perform the serviced or any part thereof, awareness and compliance of the councils occupational safety and health guidelines and policy must be provided and acknowledged.
v. any other insurance which is required by the laws of the Commonwealth of Australia and the state of Western Australia and as amended by these guidelines following its review.

d) The implementation and maintaining of all insurances as required under these guidelines shall in no way limit the obligations or responsibilities of the contractor under these guidelines.

e) The contractor shall provide council, prior to the commencement date, certificates of currency for all insurance's that provides evidence of validity and currency of the insurance policies.

Safety Obligations of Contractor

The contractor is to supply all necessary equipment to complete the task. This shall include Personal Protective Equipment. The Shire Officer must satisfy him/herself

with the requirements of statistical legislation, Australian Standards and specific requirements of statistical legislation, Australian Standards and specific requirements of the Shire of Dowerin.

The Officer/s responsible shall ensure that the contractor/s and all persons involved have been made fully aware of the procedures, hazards and other relevant information necessary to ensure the safe working of such contractors.

The minutes of this meeting to be documented and signed by Chief Executive Officer and the Manager of the Contracting Company.

The successful contractor will be given a copy of the Shire of Dowerin Safety Induction booklet to which the contractor will be responsible to ensure all his employees are aware, have knowledge and understand the safety requirements and procedures of the Shire's safety Induction booklet.

Contractor documentation must include clauses to enforce the Shire's safety requirements.

All contractors must be under the control of a competent person appointed by the manager of the Contracting Company to enforce the statutory safety obligations, requirements and specific requirements and procedures of the Shire of Dowerin.

Nothing in preceding clause shall restrict the Council or its representative from stopping dangerous work or practices and requiring the contractor to take immediate remedial action to comply with safety requirements.

The contracting company shall provide employees and supervisors who are competent and adequately trained to complete the job.

The contractor shall ensure an adequate standard of housekeeping to keep the area free from hazards.

The contractor shall ensure that their activities will not endanger the personnel of the Shire of Dowerin, ratepayers or members of the general public. Work in progress must be left in a safe manner at the end of a shift or for the duration of non-attendance.

The authorised officer, when selecting a contractor, will ensure that the tenderer meets all safety and health criteria.

The contractor will be required to sign and comply with the Shire of Dowerin Contractor Safety Equipment Requirements. (Appendix 9)

Termination

The Council may terminate its agreement with the contractor immediately upon written notice to the contractor if the contractor fails to work with due diligence or expedition, or makes default in the performance of or observance of any covenant, condition or stipulation contained in these guidelines and the agreement made with the contractor or refuses or neglects to carry out any instruction which the Council is empowered to give or make under these guidelines.

The Council may terminate its agreement with the contractor immediately upon written notice to the contractor if the contractor enters bankruptcy or enters into liquidation, a deed of assignment, deed of arrangement or similar style process with creditors or commences to carry on business under a receiver for the benefit of its creditors or any other party

POLICY MANUAL

APENDICES

APPENDIX 1 - CODE OF CONDUCT FOR ELECTED MEMBERS AND STAFF

1. Conflict and Disclosure of Interest

1.1 Conflict of Interest

a) Members and staff will ensure that there is no actual (or perceived) conflict of interest between their personal interests and the impartial fulfillment of their professional duties.

b) Staff will not engage in private work with or for any person or body with an interest in a proposed or current contract with the Local Government, without first making disclosure to the Chief Executive Officer. In this respect, it does not matter whether advantage is in fact obtained, as any appearance that private dealings could conflict with performance of duties must be scrupulously avoided.

c) Members and Staff will lodge written notice with the Chief Executive Officer describing an intention to undertake a dealing in land within the municipality or which may otherwise be in conflict with the Council's functions (other than purchasing the principal place of residence).

d) Members and Staff who exercise recruitment or other discretionary function will make disclosure before dealing with relatives or close friends and will disqualify themselves from dealing with those persons.

e) Staff will refrain from partisan political activities which could cast doubt on their neutrality and impartiality in acting in their professional capacity.
An individual's rights to maintain their own political convictions are not impinged upon by this clause. It is recognised that such convictions cannot be a basis for discrimination and this is supported by anti discriminatory legislation.

1.2 Pecuniary Interest

Members and staff will adopt the principles of disclosure of pecuniary interest as contained within the Local Government Act.

1.3 Disclosure of Interest

a) Members and appropriate staff will disclose, in a written return or at the relevant meeting, the interests which might be in conflict with their public or professional duties.

b) Whenever disclosure is required, recommended in this Code, or otherwise seems appropriate, it will be made promptly, fully, and in writing within the register provided.

2. Personal Benefit

2.1 Use of Confidential Information

Members and staff will not use confidential information to gain improper advantage for themselves or for any other person or body, in ways which are inconsistent with their obligation to act impartially, or to improperly cause harm or detriment to any person or organisation.

2.2 Intellectual Property

The title to intellectual property in all duties relating to contracts of employment will be assigned to the Local Government upon its creation unless otherwise agreed by separate contract.

2.3 Improper or Undue Influence

Members and staff will not take advantage of their position to improperly influence other members or staff in the performance of their duties or functions, or in order to gain undue or improper (direct or indirect) advantage or gain for themselves or for any other person or body.

2.4 Gifts and Bribery

Members and staff will not seek or accept (directly or indirectly) from any person or body, any immediate or future gift, reward or benefit (other than gifts of a token kind, or moderate acts of hospitality) for themselves or for any other person or body, relating to their status with the Local Government or their performance of any duty or work which touches or concerns the Local Government.
If any gift, reward or benefit is offered (other than gifts of a token kind, or moderate acts of hospitality), disclosure will be made in a prompt and full manner and in writing to the appropriate register.
Value of a "token gift" is not to exceed $300.00.

3. Conduct of Members and Staff

3.1 Personal Behaviour

a) Members and staff will:

i) act, and be seen to act, properly and in accordance with the requirements of the law and the terms of this Code;

ii) perform their duties impartially and in the best interests of the Local Government uninfluenced by fear or favour;

iii) act in good faith (ie honestly, for the proper purpose, and without exceeding their powers) in the interests of the Local Government and the community;

iv) make no allegations which are improper or derogatory (unless true and in public interest) and refrain from any form of conduct, in the performance of their unofficial or professional duties, which may cause any reasonable person unwarranted offence or embarrassment; and

v) always act in accordance with their obligation of fidelity to the Local Government.

b) Members will represent and promote the interests of the Local Government, while recognising their special duty to their own constituents.

3.2 Honesty and Integrity

Members and staff will;

i) observe the highest standards of honesty and integrity, and avoid conduct which might suggest any departure from these standards;

ii) bring to the notice of the Mayor/President any dishonesty or possible dishonesty on the part of any other member, and in the case of an employee to the Chief Executive Officer.

iii) be frank and honest in their official dealing with each other.

3.3 Performance of Duties

i) While on duty, staff will give their whole time and attention to the Local Government's business and ensure that their work is carried out efficiently, economically and effectively, and that their standard of work reflects favorably both on them and on the Local Government.

ii) Members will at all times exercise reasonable care and diligence in the performance of their duties, being consistent in their decision making but treating all matters on individual merits. Members will be as informed as

possible about the functions of the Council, and treat all members of the community honestly and fairly.

3.4 Compliance with Lawful Orders

a) Members and Staff will comply with any lawful order given by any person having authority to make or give such an order, with any doubts as to the propriety of any such order being taken up with the superior of the person who gave the order and, if resolution can not be achieved, with the Chief Executive officer.

b) Members and Staff will give effect to the lawful policies of the Local Government, whether or not they agree with or approve them.

3.5 Administrative and Management Practices

Members and staff will ensure compliance with proper and reasonable administrative practices and conduct, and professional and responsible management practices.

3.6 Corporate Obligations

Standard of Dress

Staff are expected to comply with neat and responsible dress standards at all times. Management reserves the right to raise the issue of dress with individual staff.

Communication and Public Relations

All aspects of communication by staff (including verbal, written or personal), involving Local Government's activities should reflect the status and objectives of that Local Government. Communications should be accurate, polite and professional.

iii) As a representative of the community. Members need to be only responsive to community views, but to adequately communicate the attitudes and decisions of the Council. In doing so Members should acknowledge that:

iv) as a member of the Council there is respect for the decision making processes of the Council which are based on a decision of the majority of the Council;

information of a confidential nature ought not be communicated until it is no longer treated as confidential;

information relating to decisions of the Council on approvals, permits and so on ought only be communicated in an official capacity by a designated officer of the Council;

information concerning adopted policies, procedures and decisions of the Council is conveyed accurately.

3.7 Relationships between Members and Staff

An effective Councillor will work as part of the Council team with the Chief administrator and other members of staff. That teamwork will only occur if Members and Staff have a mutual respect and co-operate with each other to achieve the Council's corporate goals and implement the Council's strategies. To achieve that position Members need to:

* accept that their role is a leadership, not a management or administrative one;

* acknowledge that they have no capacity to individually direct

members of staff to carry out particular functions;
* refrain from publicly criticising staff in a way that casts aspersions on their professional competence and credibility.

3.8 Appointments to Committees

As part of their representative role members are often asked to represent the Council on external organisations. It is important that members;
* clearly understand the basis of their appointment; and
* provide regular reports on the activities of the organisation.

4. Dealing with Council Property

4.1 Use of Local Government Resources

Members and staff will;

i) be scrupulously honest in their use of Local Government's resources and shall not misuse them or permit their misuse (or the appearance of misuse) by any other person or body;

ii) use Local Government resources entrusted to them effectively and economically in the course of their duties and;

iii) not use Local Government's resources (including the services of Council Staff) for private purposes (other than when supplied as part of a contract of employment), unless properly authorised to do so, and appropriate payments are made (as determined by the Chief Executive Officer).

4.2 Traveling and Sustenance Expenses

Members and staff will only claim or accept traveling and sustenance expenses arising out of travel related matters which have a direct bearing on the services, policies or business of the Local Government in accordance with Local Government policy and the provision of the Local Government Act.

4.3 Access to Information

i) staff will ensure that members are given access to all information necessary for them to properly perform their functions and comply with their responsibilities as members.

ii) Members will ensure that information provided will be used properly and to assist in the process of making reasonable and informed decisions on matters before the Council.

APPENDIX 2 – PURCHASING POLICY (2/07)

Objectives

- To provide compliance with the Local Government Act, 1995 and the Local Government Act (Functions and General) Regulations, 1996 (as amended in March 2007).

- To deliver a best practice approach and procedures to internal purchasing for the Shire of Dowerin.

- To ensure consistency for all purchasing activities that integrates within all the Shire of Dowerin operational areas.

Why Do We Need A Purchasing Policy?

The Shire of Dowerin is committed to setting up efficient, effective, economical and sustainable procedures in all purchasing activities. This policy:

- Provides a more effective way of purchasing goods and services.
- Ensures that purchasing transactions are carried out in a fair and equitable manner.
- Strengthens integrity and confidence in the purchasing system.
- Ensures that value for money is received in its purchasing.
- Ensures that the environmental impact of the procurement process across the life cycle of goods and services is considered.
- Ensures compliance with all regulatory obligations.
- Promotes effective governance and definition of roles and responsibilities.
- Uphold respect from the public and industry for the purchasing practices that withstands probity.

Ethics & Integrity

All officers and employees shall observe the highest standards of ethics and integrity in undertaking purchasing activity and act in an honest and professional manner that supports the standing of the Shire of Dowerin.

The following principles, standards and behaviours must be observed and enforced through all stages of the purchasing process to ensure the fair and equitable treatment of all parties:

- full accountability shall be taken for all purchasing decisions and the efficient, effective and proper expenditure of public monies based on achieving value for money;

- all purchasing practices shall comply with relevant legislation, regulations, and requirements consistent with Shire of Dowerin policies and code of conduct;

- purchasing is to be undertaken on a competitive basis in which all potential suppliers are treated impartially, honestly and consistently;

- all processes, evaluations and decisions shall be transparent, free from bias and fully documented in accordance with applicable policies and audit requirements;

- any actual or perceived conflicts of interest are to be identified, disclosed and appropriately managed; and

- any information provided by a supplier shall be treated as commercial-in-confidence and should not be released unless authorised by the supplier or relevant legislation.

Value for Money

Value for money is an overarching principle governing purchasing that allows the best possible outcome to be achieved. It is important to note that compliance with the specification is more important than obtaining the lowest price, particularly taking into account user requirements, quality standards, sustainability, life cycle costing, and service benchmarks.

An assessment of the best value for money outcome for any purchasing should consider:

- all relevant whole-of-life costs and benefits whole of life cycle costs (for goods) and whole of contract life costs (for services) including transaction costs associated with acquisition, delivery, distribution, as well as other costs such as but not limited to holding costs, consumables, deployment, 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;
- financial viability and capacity to supply without risk of default. (Competency of the prospective suppliers in terms of managerial and technical capabilities and compliance history);
- a strong element of competition in the allocation of orders or the awarding of contracts. This is achieved by obtaining a sufficient number of competitive quotations wherever practicable.

Where a higher priced conforming offer is recommended, there should be clear and demonstrable benefits over and above the lowest total priced, conforming offer.

Sustainable Procurement

Sustainable Procurement is defined as the procurement of goods and services that have less environmental and social impacts than competing products and services.

Shire of Dowerin is committed to sustainable procurement and where appropriate shall endeavour to design quotations and tenders to provide an advantage to goods, services and/or processes that minimise environmental and negative social impacts. Sustainable considerations must be balanced against value for money outcomes in accordance with Local Government's sustainability objectives.

Practically, sustainable procurement means the Shire of Dowerin shall endeavour at all times to identify and procure products and services that:

- Have been determined as necessary;
- Demonstrate environmental best practice in energy efficiency / and or consumption which can be demonstrated through suitable rating systems and eco-labelling.
- Demonstrate environmental best practice in water efficiency.
- Are environmentally sound in manufacture, use, and disposal with a specific preference for products made using the minimum amount of raw materials from a sustainable resource, that are free of toxic or polluting materials and that consume minimal energy during the production stage;
- Products that can be refurbished, reused, recycled or reclaimed shall be given priority, and those that are designed for ease of recycling, re-manufacture or otherwise to minimise waste.

- For motor vehicles – select vehicles featuring the highest fuel efficiency available, based on vehicle type and within the designated price range;
- For new buildings and refurbishments – where available use renewable energy and technologies.

Purchasing Thresholds

Where the value of procurement (excluding GST) for the value of the contract over the full contract period (including options to extend) is, or is expected to be:-

Amount of Purchase	Model Policy
Up to $500	Direct purchase from local suppliers where possible.
$500 to $1000	Direct purchase from local suppliers where possible with two verbal quotes.
$1,001 - $19,999	Obtain at least three verbal or written quotations and refer to CEO or DCEO for approval of purchase.
$20,000 - $39,999	Obtain at least three written quotations and refer to Council for approval of purchase.
$40,000 - $99,999	Obtain at least three written quotations containing price and specification of goods and services (with procurement decision based on all value for money considerations) and refer to Council for approval of purchase.
$100,000 and above	Conduct a public tender process.

Where it is considered beneficial, tenders may be called in lieu of seeking quotations for purchases under the $100,000 threshold (excluding GST). If a decision is made to seek public tenders for Contracts of less than $100,000, a Request for Tender process that entails all the procedures for tendering outlined in this policy must be followed in full.

Up to $500

Authorised employees issued with an official order book may issue orders for approval of goods and services which do not exceed $500.
Approval from immediate superior officer (CEO or DCEO) is not required. Preference for supply of goods and services from local suppliers must be first priority in accordance with Council's Regional Pricing Policy.

$500 to $1,000

Where the value of procurement of goods or services does not exceed $1,000, purchase on the basis of at least two verbal quotations is permitted. However it is recommended to use professional discretion and occasionally undertake market testing with a greater number or more formal forms of quotation to ensure best value is maintained.

This purchasing method is suitable where the purchase is relatively small and low risk.

Record keeping requirements must be maintained in accordance with record keeping policies. The Shire of Dowerin Purchasing and Tender Guide contains a sample form for recording verbal quotations.

$1,001 to $19,999

This category is for the procurement of goods or services where the value of such procurement ranges between $1,001 and $19,999.

At least three verbal or written quotations (or a combination of both) are required. Where this is not practical, e.g. due to limited suppliers, it must be noted through records relating to the process. Quotations must be referred to CEO or DCEO for approval of purchase.

The general principles for obtaining verbal quotations are:

- Ensure that the requirement / specification is clearly understood by the Local Government employee seeking the verbal quotations.
- Ensure that the requirement is clearly, accurately and consistently communicated to each of the suppliers being invited to quote.
- Read back the details to the Supplier contact person to confirm their accuracy.
- Written notes detailing each verbal quotation must be recorded.

Record keeping requirements must be maintained in accordance with record keeping policies.

$20,000 to $39,999

For the procurement of goods or services where the value exceeds $20,000 but is less than $39,999, it is required to obtain at least three written quotes (commonly a sufficient number of quotes would be sought according to the type and nature of purchase).

The responsible officer is expected to demonstrate due diligence seeking quotes and to comply with any record keeping and audit requirements. Record keeping requirements must be maintained in accordance with record keeping policies.

Quotations must be referred to Council for approval of purchase.

NOTES: The general principles relating to written quotations are;

- An appropriately detailed specification should communicate requirement(s) in a clear, concise and logical fashion.
- The request for written quotation should include as a minimum:
  - Written Specification
  - Selection Criteria to be applied
  - Price Schedule
  - Conditions of responding
  - Validity period of offer
- Invitations to quote should be issued simultaneously to ensure that all parties receive an equal opportunity to respond.
- Offer to all prospective suppliers at the same time any new information that is likely to change the requirements.
- Responses should be assessed for compliance, then against the selection criteria, and then value for money and all evaluations documented.
- Respondents should be advised in writing as soon as possible after the final determination is made and approved.

The Local Government Purchasing and Tender Guide produced by the Western Australian Local Government Association (WALGA) should be consulted for further details and guidance.

$40,000 to $99,999

For the procurement of goods or services where the value exceeds $40,000 but is less than $99,999, it is required to obtain at least three written quotations containing price and a sufficient amount of information relating to the specification of goods and services being purchased.

Record keeping requirements must be maintained in accordance with record keeping policies.

For this procurement range, the selection should not be based on price alone, and it is strongly recommended to consider some of the qualitative factors such as quality, stock availability, accreditation, time for completion or delivery, warranty conditions, technology, maintenance requirements, organisation's capability, previous relevant experience and any other relevant factors as part of the assessment of the quote.

Quotations must be referred to Council for approval of purchase.

Regulatory Compliance

Tender Exemption

In the following instances public tenders or quotation procedures are not required (regardless of the value of expenditure):

- An emergency situation as defined by the Local Government Act 1995;
- The purchase is under a contract of WALGA (Preferred Supplier Arrangements), Department of Treasury and Finance (permitted Common Use Arrangements), Regional Council, or another Local Government;
- The purchase is under auction which has been authorised by Council;
- The contract is for petrol, oil, or other liquid or gas used for internal combustion engines;
- Any of the other exclusions under Regulation 11 of the Functions and General Regulations apply.

Sole Source of Supply (Monopoly Suppliers)

The procurement of goods and/or services available from only one private sector source of supply, (i.e. manufacturer, supplier or agency) is permitted without the need to call competitive quotations provided that there must genuinely be only one source of supply. Every endeavour to find alternative sources must be made. Written confirmation of this must be kept on file for later audit.

Note: The application of provision "sole source of supply" should only occur in limited cases and procurement experience indicates that generally more than one supplier is able to provide the requirements.

Anti-Avoidance

The Local Government shall not enter two or more contracts of a similar nature for the purpose of splitting the value of the contracts to take the value of consideration below the level of $100,000, thereby avoiding the need to publicly tender.

Tender Criteria

The Shire of Dowerin shall, before tenders are publicly invited, determine in writing the criteria for deciding which tender should be accepted.

The evaluation panel shall be established prior to the advertising of a tender and include a mix of skills and experience relevant to the nature of the purchase.

For Requests with a total estimated (Ex GST) price of:

- Between $40,000 and $99,999, the panel must contain a minimum of 2 members; and
- $100,000 and above, the panel must contain a minimum of 3 members.

Advertising Tenders

Tenders are to be advertised in a state wide publication e.g. "The West Australian" newspaper, Local Government Tenders section, preferably on a Wednesday or Saturday.

The tender must remain open for at least 14 days after the date the tender is advertised. Care must be taken to ensure that 14 **full** days are provided as a minimum.

The notice must include;

- a brief description of the goods or services required;
- information as to where and how tenders may be submitted;
- the date and time after which tenders cannot be submitted;
- particulars identifying a person from who more detailed information as to tendering may be obtained;
- detailed information shall include;
  - such information as the local government decides should be disclosed to those interested in submitting a tender;
  - detailed specifications of the goods or services required;
  - the criteria for deciding which tender should be accepted;
  - whether or not the local government has decided to submit a tender; and
  - whether or not tenders can be submitted by facsimile or other electronic means, and if so, how tenders may so be submitted.

Issuing Tender Documentation

Tenders will not be made available (counter, mail, internet, referral, or other means) without a robust process to ensure the recording of details of all parties who acquire the documentation.

This is essential as if clarifications, addendums or further communication is required prior to the close of tenders, all potential tenderers must have equal access to this information in order for the Local Government not to compromise its duty to be fair.

Tender Deadline

A tender that is not received in full in the required format by the advertised Tender Deadline shall be rejected.

Opening of Tenders

No tenders are to be removed from the tender box, or opened (read or evaluated) prior to the Tender Deadline.

Tenders are to be opened in the presence of the Chief Executive Officer or delegated nominee and preferably at least one other Council Officer. The details of all tenders received and opened shall be recorded in the Tenders Register.

Tenders are to be opened in accordance with the advertised time and place. There is no obligation to disclose or record tendered prices at the tender opening, and price information should be regarded as *commercial-in-confidence* to the Shire of Dowerin. Members of the public are entitled to be present.

The Tenderer's Offer form, Price Schedule and other appropriate pages from each tender shall be date stamped and initialed by at least two Local Government Officers present at the opening of tenders.

No Tenders Received

Where the Shire of Dowerin has invited tenders, however no compliant submissions have been received; direct purchases can be arranged on the basis of the following:

- a sufficient number of quotations are obtained;
- the process follows the guidelines for seeking quotations between $40,000 & $99,999 (listed above);
- the specification for goods and/or services remains unchanged;
- purchasing is arranged within 6 months of the closing date of the lapsed tender.

Tender Evaluation

Tenders that have not been rejected shall be assessed by the Shire of Dowerin by means of a written evaluation against the pre-determined criteria. The tender evaluation panel shall assess each tender that has not been rejected to determine which tender is most advantageous.

Addendum to Tender

If, after the tender has been publicly advertised, any changes, variations or adjustments to the tender document and/or the conditions of tender are required, the Local Government may vary the initial information by taking reasonable steps to give each person who has sought copies of the tender documents notice of the variation.

Minor Variation

If after the tender has been publicly advertised and a successful tenderer has been chosen but before the Shire of Dowerin and tenderer have entered into a Contract, a minor variation may be made by the Shire of Dowerin.

A minor variation will not alter the nature of the goods and/or services procured, nor will it materially alter the specification or structure provided for by the initial tender.

Notification of Outcome

Each tenderer shall be notified of the outcome of the tender following Council resolution. Notification shall include:

- The name of the successful tenderer
- The total value of consideration of the winning offer

The details and total value of consideration for the winning offer must also be entered into the Tenders Register at the conclusion of the tender process.

Records Management

All records associated with the tender process or a direct purchase process must be recorded and retained. For a tender process this includes:

- Tender documentation;
- Internal documentation;
- Evaluation documentation;
- Enquiry and response documentation;
- Notification and award documentation.

For a direct purchasing process this includes:

- Quotation documentation;
- Internal documentation;
- Order forms and requisitions.

Record retention shall be in accordance with the minimum requirements of the State Records Act, and the Shire of Dowerin's internal records management policy.

APPENDIX 3 - CODE OF TENDERING (7/99)

Preamble

The Shire of Dowerin is committed to maintaining high standards of ethical practice in contract management including procurement of goods and services, selling and administering contracts. It has adopted a tendering system that will ensure that probity, transparency of process, consistency, value of money, accountability, and conflict on interest are all properly addressed and documented.

In the event of inconsistencies between this code and the Local Government Act 1995, regulations promulgated under the Act; The Australian Standard AS4120-1994, The Local Government Act, The regulations and the Australian Standard will prevail in that order.

Objective

To ensure the delivery of best value for money, quality goods and services by a commitment to a tendering process of high ethical standards.

Application

The code

- sets out the principals Councils will address when address when inviting or considering public tenders and expressions of interest.
- provides guidance to the Council, including those occasions when an in-house tender will be submitted.

Other standards, codes and guidelines may be applicable to particular projects for example the Western Australian Building and Construction industry code of practice. The tender documents will note the requirement for the recognition of those other standards, codes and guidelines.

Council will observe the “Obligations of the Principal” as described in the Australian Standard Code of tendering (AS 4120-1994)

Principles

To achieve its objective Council will ensure the Tender process in fair and consistent to all concerned and will use its best endeavors to demonstrate its transparency, to tenderers and potential tenderers.

More Specifically, it will:

- Ensure compliance with all legislative and ethical obligations including those imposed by the Local Government Act 1995 (The Act) and the regulations;
- Call for tenders only after having arranged what it believes to be adequate funding for the project and making a commitment in principal to proceed;
- Have regard to the cost of tendering, both to the Council and to the tenderers and seek to constrain that cost;
- Produce tender documents that clearly specify the requirements and expected outcomes, to allow tenderers to accurately bid for and price the work;
- Include, whenever appropriate , the tender evaluation criteria and identify the order of importance accorded to the criteria in tender documents;
- Package work put to tender in a manner that satisfies the requirements of the regulations (Anti-avoidance) and which encourages competition and the best outcome for ratepayers and residents;
- Maintain an open and accountable tender process, yet ensure and appropriate level of confidentially;
- Give clear notice whenever an in-house bid is to submitted as part of the tender

process;
- Clearly separate its role as a "Purchaser" from that as a "Provider" of service where appropriate; and
- Apply the same conditions of tendering from each tenderer – whether external of in-house.

Tendering Process

Project Definitions/Specification

The object of the tender process is to obtain quality goods and services that are judged by Council to deliver the best value-for-money or be the most advantageous.

In developing specifications, Council may consult with existing providers of such goods or services.

The specification will identify any Council assets, facilities or services to be made available to tenderers, whether in-house or external and may set costs, terms and conditions for the use of the assets, facilities and/or services as is appropriate.

No potential tenderer, in-house or external, will have access to the final tender documents including specifications before they are formally approved and released by Council.

Tender Documents

The tender documents-
- Will provide the conditions of contract and tendering including if and what conditions alternative offers may be submitted;
- Will be written on plain English.
- Will clearly specify the required outcomes and deliverables to allow tenderers to bid for and price work accurately.
- May require tender proposals to indicate how performance standards will be met and how the satisfaction levels of service users will be measured;
- Will include detail of the tender evaluation criteria and identify the order of importance accorded to the criteria, where applicable;
- Will advise whether and "In-house" bid will be submitted; and
- Will nominate at least one officer of the Council or Representative of the Council who may be contacted for additional information.

Amendments to Tender Documents

Where it is necessary to issue amendments by way of a corrigendum, all tenderers will be advised of the amendments in sufficient time to allow the review and revision of their tenders before the closing time. If necessary, the tender period may be extended for that purpose.

Tendering Methods – Open/Expression of Interest

Generally, tendering will be by "Open Tenders" without restriction on the numbers of tenders sought although the Council may require tenderers to prove they have the necessary competence, skills, experience and capacity to carry out the work.

Council may use "an expression on Interest" process if it believes there is good reason to make a preliminary selection from amongst prospective tenderers due to the nature of the goods and services required or the cost of preparing plans or other documents to adequately describe the requirements. If so, notice will be given which will include, amongst other things, a brief description of the goods or services required.

The aim of the expressions of interest stage is to assess the capacity of the respondents to undertake the work or project. Only those respondents that meet the criteria will be permitted to tender.

Following consideration of the expressions of interest all respondents will be promptly advised of the outcome of their submissions.

Invitation/Call for Tenders/Advertisement

Council will allow as much time for submission as is reasonable and consistent with the intention of this code, however, tenders will be given no less that 14 days from the date of the notice is first published, (open tenders) or given (expressions of interest).

Late tenders will not be accepted.

Council will make available the same tender documents to all who respond to an invitation to tender and a copy of this code will be available to each tenderer on request.
If a charge is to be imposed the amount of the charge will be advertised when tenders are invited.

Enquiries/Meetings

At least one officer or Council representative will be nominated, to respond to all enquiries from tenderers. A written record will be kept of all substantive enquiries and issues discussed.

If advice is given, written or verbal, to a tenderer, clarifying the meaning of the tender documentation when it is appropriate the same information will be provided, in writing, to all other tenderers.

Where Council intends to conduct a pre-tender briefing it will give reasonable prior notice of the briefing. Any mandatory briefing attendance will be clearly indicated in the tender documentation.

Receipt of Tenders

The invitation to tenders will clearly state the place for submissions of tenders and the closing time for receipt of tenders.

All tenders submitted will be kept in safe custody and the appropriate levels of confidentially will be maintained.

Tenders will be opened as soon as practicable after the time nominated in the invitation to tender, in the presence of no less than two representatives of the Council, at least one on whom will be a Council employee. The manes of the Council representatives present at the opening of tenders will be recorded in the tenders register. The details of each tender will be recorded in the tender register.

Members of the public are entitled to be present when tenders are opened. In some circumstances the amount of detail disclosed may be limited to preserve confidentiality.

Evaluation of Tenders

Where an in-house tender has been submitted the Council will establish a tender evaluation panel of two or more persons for that tendering process. At least one member of the panel will be a person who is independent of Council and who has expertise relevant to the tender. A person, other than the Chief Executive Officer of

the Council, shall not be appointed to an evaluation panel, if the person has been involved in preparing the in-house bid, or has an interest in any external tender received. The report of the evaluation panel shall disclose the names of the panel members.

The evaluation of tenders will be carried out according to any evaluation criteria established for the tender and a recommendation will be submitted to Council unless responsibility for awarding the contract has been given delegated to a committee or the Chief Executive Officer.

The evaluation of tenders should include, but is not limited to, consideration of:

- Value for money
- Price compared with estimated cost
- Conformity with the tender documents
- Previous contractor performance reports
- Safety records and other organisation factors
- Technical, management, physical and financial resources.

The Council will respect the confidentially of information that has commercial or intellectual property value and which may be disclosed by a respondent including an in-house bid.

Negotiation

Council may negotiate with the chosen tenderer, before entering into a contract, if it wishes to make a minor variation in the goods and services required. If Council and the chosen tenderer cannot reach agreement on the variation required by the council, the Council may, without inviting tenders again, choose the tenderer considered next most advantageous to the Council.

Council will not trade the price of one tenderer against that of another tenderer.

Award of Contract

The decision to award a contract will be made by the Council, unless responsibility for the award of the contract has been delegated to a committee or the Chief Executive Officer.

If there is an in-house tender, a report on the awarding of the contract will be presented at the earliest practicable meeting of the Council.

The Council will award the contract on the basis of what it considers to be the most advantageous for the Local Government having regard to the tender evaluation report and any relevant factors.

Advice of Outcome of Process

Council will promptly notify all tenderers of

- The award of the contract; or
- That it is not accepting any tenders, or
- That it has decided to recall tenders.

Complaints Process

The Council will promptly deal with any complaint about the tender process. A written record will be made of each complaint and the complainant will be given an opportunity to discuss his/her concerns with the Chief Executive Officer or with a senior officer to whom responsibility for dealing with such complaints has been delegated.

In –House Tenders

Council is aware that competition must be fair and must be seen to be fair, by all parties where in-house providers are competing against external providers.

If there is a factoring to be included when considering an in-house tender with respect to external tenderers, then the reasoning and value of this factoring will be identified and clearly spelt out in the tender documents.

Council will treat any in-house tender in the same tern as an external tenderer and will, where possible, ensure there is clear separation between the in-house tenderers and those who have responsibility for evaluating the tenders.

In-house tenders will be prepared on the basis that all direct and indirect or overhead costs attributable to the tender are included.

Canvassing of Councillors or Staff

The canvassing of Councillors or staff that promote a tenderer or potential tenderer is not appropriate.

Enquiries as to the explanation of documentation and processes that are to be followed are to be made to the nominated officer of Council representative(s).

APPENIDIX 4 - ELECTORAL CODE OF CONDUCT (2/99)

Introduction

This code of conduct contains the principles and standards we are to apply in performing electoral officer duties.
Elections are the very foundation of our democratic society and vigilance is required in preserving the integrity of the electoral process.

Elections can also be an emotional experience for winning and losing candidates and a fertile area for disputation if cause exists. All candidates are entitled to expect that we will so conduct ourselves as to ensure the election outcome is a true expression of the will of the electorate.

An election is also an opportunity for personal contact with a big number of the Shire's customers. Casting a vote will be one of the few direct contacts some will have with the Shire during the course of the year. Our goal should be to project an image of professionalism, impartiality and friendliness.

The charter for this Code of Conduct is contained in *Local Government (Elections) Regulations 1997* clause 8, which provides –

"8 1) This regulation applies to the ordinary elections to be held in 1999 and to each subsequent election.

2) The RO for any election to which this regulation applies is to prepare or adopt an electoral code of conduct for the election which aims to ensure that all electoral officers, act

a) lawfully
b) professionally;
c) fairly and impartially;
d) with honesty and integrity; and
e) without any conflict of interest, in relation to the election.

3) The RO is to provide each electoral officer with a copy of, or access to a copy of, the electoral code of conduct.

4) An electoral officer is to observe and comply with the electoral code of conduct."

This Code of Conduct is a living document in that it will be examined by us each year to ensure that the guidance contained therein remains relevant and attuned to on-the-job experiences. Your contribution to this on-going review will be appreciated and in the interim, do not hesitate to raise, either directly with the RO or through and appropriate forum, ethical issues impacting on our role as electoral officers.

Our Commitment

Act Lawfully

We will –

- complete the Form 1 declaration before acting
- prepare….so that we are familiar with the Act and Regulations, and the duties expected of us: ask questions so that uncertainties are resolved before election day
- exercise care in carrying out duties and making decisions: penalties for electoral offences are high
- abide by the detail of the Act, Regulations, and instructions issued, in performing all duties
- maintain surveillance to ensure security of election papers and secrecy of the

ballot
- report offences to the appropriate authority.

We will not –
- make improper use of official information for the gain or detriment of any person, or falsify reports.

Act Professionally

We will –
- dress in a manner which depicts the professional position we hold
- open on time
- behave in a consistently ethical, competent and reliable manner
- be familiar with the Local Government Act and Regulations
- obey promptly any lawful instruction of supervising officer
- assist and cooperate with other staff
- observe “no smoking” policies of the Shire

Act Fairly and Impartially

We will –
- act impartially to serve the common good, while recognising that equity can involve treating people differently according to their circumstances
- be polite and sensitive to customer needs : explain the reason for decisions
- be alert to any attempt by candidates/scrutineers to gain and unfair advantage : report any questionable activities in this regard to the appropriate authority
- refrain from making comments of a party political nature, or about candidates or local referendum issues, or policies of the Council.

We will not –
- solicit or accept gifts, fees, favours or remuneration of any kind, from a candidate or person assisting a candidate.

Act with Honesty and Integrity

We will –
- advise if we cannot allow a vote, and why
- have available a supply of Enrolment Eligibility Claim forms
- invite aggrieved person to exercise their rights of appeal or complaint
- explain processes and procedures

Duty of Care

As electoral officers we must exercise a duty of care in order to fulfill our obligations effectively and without causing harm. Such a duty of care includes –
Ensuring the efficient and effective use of the resources placed at our disposal
being accountable for the use of those resources; and
setting and example by supporting and monitoring ethical behaviour.

Act with No Conflict of Interest

Electoral officers are to act without conflict of interest.

Generally, a conflict of interest exists if the relationship between a prospective electoral officer and a candidate is such as could influence, or be seen by others to influence, the partiality with which electoral provisions are administered.

Examples of “closely associated” relationships an officer could have to a candidate

where a conflict of interest might arise include:

- A spouse (includes defacto) of the candidate
- A parent of a candidate
- A close relative of a candidate
- A partner of a candidate
- An employee of a candidate
- A trustee, if a candidate is a beneficiary
- Associated through his/her spouse who is living with the officer and is –
  - i. parent of a candidate living with them
  - ii. partner of a candidate
  - iii. an employee of a candidate or
  - iv. a trustee, if a candidate is a beneficiary

If any officer has such a "close association" or is the director of a company associated with a candidate they must disclose the relevant detail to the RO and accept that person's judgement as to whether or not the 'interest' should preclude their engagement as an electoral officer.

APPENDIX 5 - CONTRACTOR CHECKLIST

The Shire of Dowerin requires you to comply with the Occupational Safety and Health Policy, Safety Rules and this Contractor Checklist.

Before commencing any work, ensure you are able to adhere to the following.

Safety is for everyone's protection.

1. You have provided to the Council, proof of adequate insurance cover, for the following: Workers Compensation, Motor Vehicles and Mobile Equipment, Public Liability, Personal Accident (Self employed Contractors only)

2. You have been provided with a copy of the Shire of Dowerin's Occupational Safety and Health Policy and Safety Rules.

3. Contractors have ensured that any task requiring a qualification or licence is allocated to the person or persons who can clearly identify themselves as having such qualification as licence as required to complete the task.

4. All of your workers are provided with personal protective equipment.

5. First aid kits are provided in each of your work vehicles.

6. All of your workers are instructed in the use of the items found in the first aid kits.

7. All of your workers are instructed in the use of available fire fighting equipment such as extinguishers.

8. All of your workers are aware of correct road signage procedures and adequate signage is available for the work.

9. All work places are kept in a clean and tidy condition.

10. All of your workers are aware that they must report any accident, near miss or hazardous situations.

11. All of your workers are aware of the following statement:

> *Any contractor or their employee, contradicting the Shire of Dowerin's guidelines and policy may be required to leave the premises or worksite and may be refused re-entry. The said contract may become null and void.*

Contractors Safety Agreement

On behalf of the contractor named below, I do confirm that the Shire of Dowerin has provided me with the following:

- Shire of Dowerin's Occupational Safety and Health Policy
- Shire of Dowerin's Safety Rules
- Shire Dowerin's Contractor Checklist

I understand that the above mentioned documents summarise the rules and conditions under which this contract has been granted.

I do acknowledge that I and all persons employed by the Contractor are required to comply with the Shire of Dowerin's operating rules and that failure to do so is sufficient grounds for canceling the contract should the council choose to exercise this option.

Contractors Name:
Business Address:

Telephone Number:
A/Hours:

Please tick appropriately		YES	NO
Contractor Status:	Employer	____	____
	Sole Trader	____	____

Contractor representatives signature:_____

Date: _____

Chief Executive Officer, Shire of Dowerin's signature:_____

Date:_____

APPENDIX 6 - FIRE CONTROL OFFICERS

The following persons were appointed as Bush Fire Control Officers for the Shire of Dowerin 26th September 2007:

Chief Bush Fire Control Officer	Philip Pickering	9631 1250
Deputy Chief Bush Fire Control Officer	Bill Coote	9631 3020
Fire Weather Officers	Philip Pickering	9631 1250
	Les Crichton	9631 1202
	Rex Adams	9631 1202

Fire Control Officers

Minnivale	W. Coote	9631 3020
	G. Ralph	9631 3014
	S. Crute	9631 3030
Cadoux-Manmanning	E. W. Emmott	9632 3017
	H. (John) Bear	9632 2021
	M. Kalajzic	9673 1065
Ejanding	W.K. Jones	9632 1016
	B. Jones	9632 3012
Dowerin	P. Pickering	9631 1250
	G.N. Miller	9631 1164
Restricted FCO	L.P. Crichton	9631 1202
Restricted FCO	R.A. Adams	9631 1202
Ucarty	D.P. Hudson	9634 1014
	G. Hagboom	9634 1026
	L. Hagboom	9634 1015

Dual Fire Control Officers

Wyalkatchem Shire	-	G. Ralph, S. Crute
Wongan-Ballidu Shire	-	E.W. Emmott, M Kalajzic
Goomalling Shire	-	P. Pickering, G. Hagboom
Cunderdin Shire	-	G. Hagboom
Koorda Shire	-	H. (John) Bear

Harvesting Ban Officers

That the officers authorised to impose harvesting bans within the Shire of Dowerin be as follows:-

Phil Pickering
Les Crichton
Rex Adams

APPENDIX 7 - CODE OF PRACTICE FOR ROADSIDE CONSERVATION IN ROAD CONSTRUCTION AND ROAD MAINTENANCE (5/02)

1. Aims of the Code of Practice

1.1 To balance road design and road safety requirements with all other values associated with roadsides in the Shire of Dowerin. To achieve this it will be necessary to:

1.2 Minimise disturbance and clearance of native vegetation

1.3 Use the Roadside Conservation Committee map of the conservation values of roadside vegetation in the Shire of Dowerin, WA as basis for planning/management decisions, so as to identify potential conflict situations and prevent them occurring.

2. Benefits of a Code of Practice

2.1 Improve consultation and cooperation between the shire staff at all levels so that environmental considerations are part of any works program, rather than an additive to it.

2.1a Provide all stakeholders with a clear understanding of the responsibilities of the road manager and service utilities that work in the roadside environment.

2.2 Define clear responsibilities for roadside works between service utilities, and staff within the Shire.

2.3 The development of road works and road maintenance techniques, which improve the overall environment of the roadway.

2.4 Build on the skills and experience of work crews in environmental road management and maintenance.

2.5 The development of works appropriate to the special values of particular roadsides, whether for safety, fire prevention, erosion prevention or wildlife conservation.

3. Management Aims

3.1 Ensure the safe function of the road and protect the road formation
3.2 Protect and restore indigenous vegetation communities on roadside
3.3 Protect rare and priority species of flora and fauna on roadsides by using signs as appropriate.
3.4 Aims to reduce land degradation on roadsides where possible
3.5 Attempt to control the spread of weed and fungal pathogens on roadsides
3.6 Maintain and enhance the visual amenity and landscape quality of the road reserve wherever possible
3.7 Protect the cultural and heritage values of roadsides
3.8 Protect service utilities located on roadsides
3.9 Encourage adjoining land owners to set their fences back when renewing them so as to increase the positive impacts of the road verge vegetation.

4. General Principles

4.1 Areas beyond the road formation that contain vegetation (includes all trees, shrubs and groundcovers whether whole or in part, but excluding environmental and declared weeds) of any significance will not be disturbed during road construction and road maintenance operations, except where no other option is practical.

4.2 Where necessary, road construction and maintenance works will not exceed a width of 13 metres, batter to batter.

4.3 Information regarding road sides containing declared and priority flora, declared weeds and those weeds identified as pest plants in local laws will be made available to the Works Manager for dissemination to the work crew.

4.4 Where weeds (eg. Skeleton weed) or soil borne pathogens (eg. Dieback) are known to be present **appropriate** hygiene measures will be implemented to help prevent their spread..

5. Contractor Agreement

5.1 When road works are carried out under contract to the Shire of Dowerin, the contractor will adhere to the Code of Practice for Roadside Conservation in Road Construction and Road Maintenance for the duration of the contract and financial penalties for non-conformance with contract performance will be applied.

6. Road Maintenance

6.1 Works areas or zones should be marked out clearly before commencing works.

6.2 Table drains and side run off drains will be maintained in a condition that ensures they provide effective drainage from the running surfaces. Works will be kept to the minimum to meet these requirements. Modifications to side run off drains to reduce or redirect run off on to areas containing declared and priority flora should be implemented.

6.3 When carrying out maintenance of table drains, spoil will be retained within the existing batter line and not dumped or pushed beyond it.

6.4 Road shoulders will be graded to the minimum required to maintain the road formation and the condition of the road according to the type of road as specified by the CEO or his/her nominated representative. The road reserve shall not to be graded beyond the road formation except where side run off drains need to be constructed or maintained.

6.5 Vehicles and machinery should not be serviced or refueled on roadside vegetation unless this is unavoidable due to breakdown.

6.6 All excess materials from road construction or road maintenance operations will be removed at completion of works to a designated site of low conservation value as specified by the CEO or his/her nominated representative.

6.7 Pits for gravel will not be dug from the roadside.

7. Vegetation Removal

7.1 When it is deemed necessary to remove or maintain indigenous vegetation the Supervisor of the work crew has a responsibility to ensure that no indigenous vegetation, other than that designated is removed, destroyed or lopped and that indigenous vegetation beyond the working zone is not disturbed. The work zone is the area marked out with pegs where all construction activities take place (such as the area stripped for road construction, stockpile areas compounds etc).

7.2 Only the minimum vegetation necessary to meet required works should be marked for removal. If more vegetation needs to be removed to complete

required works than originally determined, this cannot occur without the written approval of the Chief Executive Officer in consultation of the Roadside Management Group if necessary prior to undertaking of extra clearing works.

7.3 All other vegetation on the road reserve will not be disturbed.

7.4 Mowing or slashing in areas of regenerating indigenous vegetation on high conservation roadsides should be avoided.

7.5 Limbs of dead trees that pose a hazard as specified by the CEO or his/her nominated representative will be removed. The rest of the tree should be retained on the road reserve to provide habitat for wildlife.

7.6 Pruning works will be carried out so as to minimise the extent of wounding and enhance callus formation.

7.7 Vegetation to be removed should be felled in the direction that minimises damage to surrounding vegetation, preferably onto the road formation or a cleared area.

7.8 Indigenous vegetation can be chipped and either returned to the site, used in rehabilitation works or made available for community projects.

7.9 Larger vegetation that cannot be chipped will be stock piled in a cleared area for public removal or returned to a designated dumpsite.

7.10 Sawing, splitting and chipping of previously fallen vegetation should be done with due regard to the understorey. These activities should be restricted to as few a sites as possible.

7.11 Pruning required in the vicinity of powerlines should be carried out in accordance with Western Power's Code of Practice for tree clearing.

8. Site Rehabilitation

8.1 In the event that major works are required that modify existing indigenous vegetation on roadsides (eg. Telstra), rehabilitation of the site should be requested.

8.2 Provision of funds for rehabilitation and revegetation work should be included in the costing of all road works. This should include items such as the purchase and collection of seed, chipping and stockpiling of vegetation, removal and storage of topsoil, ripping of site prior to spreading of topsoil, weed control, monitoring costs, purchase of tube stock, spreading of chipped vegetation and a labour component

8.3 Seed from indigenous plants should be collected over a period of time to allow a range of species to be collected, from roadside prior to works commencing. NOTE: CALM permit is required. To facilitate seed collecting prior notice for road works should be given to the Landcare Coordinator or any local person holding a permit.

8.4 Top soil should be removed prior to works commencing and stock piled in a cleared area, for a period of no longer than six months, to be spread over the site at completion of works.

8.5 Sub soil in the works area should be ripped at completion of works to avoid compaction before topsoil is spread over the site.

9. Weed and Pathogen Control

9.1 The Shire will initiate training to enable outdoor staff to recognised identified environmental and declared weeds found in the district and help them abide by the recommendations in the code of practice. Work teams must be provided with adequate information before they go out on site. A one page tick box check list for reporting on site conditions and work completed should be developed for these purposes to include a reporting method to record the location and spread of weeds along the roadsides. This will enable control measures to be planned accordingly.

9.2 Where weed control is deemed necessary, methods should be implemented that minimise disturbance to indigenous vegetation.

9.3 Shrub weeds should not be removed when they are in seed unless there is no alternative.

9.4 Vehicles and machinery working in known areas infected by pathogens (eg Dieback), shall be cleaned of soil and washed down thoroughly prior to commencing work on a road of high conservation value. Ideally this should be done at the works depot. If machinery is on site a suitable site away from sensitive areas should be selected for this purpose.

10. Use of Herbicides

10.1 Herbicides should only be used in the following situations:

- To control declared and environmental weeds
- In the event that rehabilitation programs are undertaken
- To control exotic grass and weed growth around road furniture and road signs
- To control weed growth on road shoulders and drains prior to shoulder and guide post maintenance

10.2 Heavy mulching at the base of road furniture and road signs is a preferred alternative to using herbicides to control exotic grasses and weed growth in inaccessible situations.

10.3 Herbicides will only be used by trained staff and qualified contractors.

10.4 Except in the control of declared and specific environmental weeds, Roundup biactive or its generic equivalent is the preferred choice especially near watercourses.

10.6 Use of herbicides along roadsides must be recorded by applicator in Councils Roadside Spraying Register.

11. Vehicles and Machinery Access and Parking

11.1 Vehicles and Machinery should not attempt to turn around on a high conservation road reserve or Special Environmental Areas, unless at a suitable site where roadside vegetation will not be disturbed.

11.2 Vehicles and machinery should not deviate from the road formation onto vegetation on the road reserve during road works unless absolutely necessary.

11.3 Where vehicles and machinery are left for a period of time or overnight, they should be parked in a designated wayside stop or private land of low conservation value.

12. Stock Pile Sites

12.1 A suitable number of stockpile sites will be designated and approved by the Chief Executive Officer in consultation with Landcare Coordinator and Roadside Management Group at strategic locations throughout the Shire.

12.2 The CEO or his/her nominated representative will supply all statutory authorities and contractors undertaking works in the Shire of Dowerin with a location map of designated stockpile sites. They will be required to report to the shire as to when and where these stockpile sites have been used.

12.3 Any works carried out that require stock piling of materials will use designated stockpile sites only.

12.4 New stockpile sites will not be located on roadsides of high conservation value or roadsides adjacent to bush areas. All existing stockpile sites in such areas will be phased out.

12.5 All stockpile sites including those that already exist will be monitored by the Shire for weed growth and the presence of soil borne pathogens such as the cinnamon fungus (*Phytophthora* spp.) and the necessary controls implemented.

13. Waste Management

13.1 Dump sites for disposing of litter and excess materials from road construction or road maintenance operations and the disposal of pest plants will be designated at strategic locations throughout the district by the Manager of works in consultation with the Roadside Management Group.

13.2 All statutory authorities and contractors undertaking works in the Shire of Dowerin will be supplied with a list and location map of dumpsites by the CEO or his/her nominated representative, and will notify the Work Supervisor when they have been used.

13.3 CEO or his/her nominated representative is responsible to monitor all dumpsites and provide new locations to all statutory authorities and contractors as becomes necessary.

13.4 Soil piles created from grading shoulders or drains that cannot be retained safely on the road formation will be removed to a designated site or as specified by the Manager of Works and not be spread over existing vegetation or dumped on a nearby roadside. Suitable material may be used to refurbish batter erosion.

APPENDIX 8 - HEAVY TRANSPORT ROUTES AND OPERATIONS

1. In accordance with the following guidelines and on the roads herein specified, Council will permit the operation of the following multi-combination vehicles:

1(i) Truck/trailer combinations up to 25m long between 42.5 tonne and not exceeding 64 tonne GCM (extra mass).

Approved Routes: All Shire Roads

1(ii) B double combinations up to 27.5m long and not exceeding 67.5 tonne.

Approved Routes: All Shire Roads

1(iii) Long Vehicle combination to 30m long and 84.0 tonne
Double Road Trains combinations up to 36.5m and 84.0 tonne

Approved Routes: All Shire Roads

Conditions of Use

i. All roads are subject to the final approval by Main Roads WA and subsequent issue of relevant permits.
ii. Applicant to supply Council with a copy of Main Roads Department permit before operations commence.
iii. That speed limits of vehicles do not exceed 80km/hr on gravel roads.
iv. Applicants are requested to utilise sealed routes, where possible.
v. Configuration not to be used during inclement weather when road damage may occur.
vi. Approvals expires on 31 December each year for all roads within the Shire, whereupon further approval if required, shall be sought.
vii. Application for renewal is the responsibility of the Operator.
viii. Council reserves the right to withdraw or amend its approval at a days notice.

2. An application for approval outside these criteria shall include the following information:

a) Diagram of vehicle configuration (eg. three axle truck/five axle trailer),
b) Overall length of vehicle configuration and gross combination mass,
c) A listing of roads or sections thereof for which approval is sought, and proposed frequency of movement.

3. The Chief Executive Officer is delegated the authority of Council to close any approved road where it is deemed to have become unsafe for such use.

APPENDIX 9 - ROADSIDE WEED SPRAYING LICENSE

This License is issued by the Shire of Dowerin to landowners/occupiers who wish to undertake weedspraying on land either owned and/or under the responsibility of the Shire of Dowerin. The following conditions must be read and understood by all persons wishing to spray land for which the Shire has a legal responsibility whether implied or accepted.

1. Conditions

1.1 Only land/areas specifically mentioned in this License can be sprayed.

1.2 It is the responsibility of the License holder to check with neighbouring property owners/occupiers that there are no objection(s) to the application of chemical weedspray. Any objections/comments/concerns must be disclosed to the Shire of Dowerin prior to any weedspraying being undertaken.

1.1 In some instances where considered necessary by the Shire of Dowerin, it is a condition of this License that written confirmation is obtained from other property owners that they have no objection to weedspraying taking place near to their properties.

1.2 It is a requirement that applicants advise the Shire of Dowerin of the type, make and proposed mixture strength of Chemicals to be used prior to weedspraying.

1.3 The license holder agrees that due consideration will be given to weather conditions at the time of weedspraying taking place ie; wind strength and direction/rainwater run off etc.

1.4 The license holder agrees that minors (persons under the age of 18 years) will not be involved in any processes involving the application of handling of chemicals.

1.5 The Shire of Dowerin reserves the right to decide upon the most appropriate method of applying chemical weedspray. The license holder agrees to disclose this information at all times in order that the Shire may give the issue due consideration.

1.6 Landholders undertaking spraying must have Public Liability Insurance cover with a minimum sum insured of $5 million.

1.7 If the landholder intends to use the services of a Contractor, full details of these or Contractors must be disclosed. Any Contractors must have their own Public Liability cover with a minimum sum insured of $5 million.

1.8 Due to consideration and compliance with all environmental issues is a condition of this license. Reference should be made to any guidelines issued by the Environmental Protection Agency (EPA).

1.9 The weedsprayer is required to comply with all by-laws and the Occupational Health and Safety Act 1984.

2. Please be aware:

The Shire of Dowerin accepts no responsibility whatsoever for any injuries, losses or damages that occur to property belonging to the weedsprayer or that of other occupants or owners of land and buildings. The Shire of Dowerin and/or their insurers reserve the right to recover any monies either paid or promised to be paid to any third party who suffers any form of financial losses. The Shire of Dowerin reserves the right to cancel, alter or amend the terms of this license without notice.

3. Recommendation

The Shire of Dowerin recommends that weedsprayers advise their existing Public Liability insurers that they have been granted permission to spray land under the care and control of the Shire. Please check the conditions of your business and/or Rural Farm Pack policies to ensure that no conditions or exclusions are applicable.

Area/location of land to be sprayed;

Method of application;

Period of application:

From To

I confirm I have read and fully understand the terms and conditions under which the Shire of Dowerin has granted permission to undertake chemical weedspraying on Council land. I am aware that I may be held responsible for any loss or damages or injuries that may occur due to my weedspraying activities.

Full name and address of person(s) undertaking weedspraying:

Signature:

Date:

Representative of Shire of Dowerin

Title:

Date:

APPENDIX 9 - CONTRACTOR REQUIREMENTS REGARDING OCCUPATIONAL HEALTH AND SAFETY

Dear Sir/Madam,

The Shire of Dowerin has an obligation under the Occupational Health and Safety Act to ensure that its responsibilities as an employer and its duty of care to its employees (includes contractors), to provide a safe system of work and a safe working environment are complied with. In its endeavours to meet these obligations the Shire has developed some specific procedures that will facilitate the Shire in meeting those requirements.

The Council of the Shire of Dowerin is concerned about its vicarious liability as the principal of contracts.

The Occupational Safety and Health Act 1984, Part 3 - General Provisions relating to Safety and Health section 19(4) states:

(4) "For the purpose of this section, where in the course of a trade or business carried out by him, a person (in this section called 'the contractor') to carry out work for the principal:

a) the principal is deemed in relation to matters over which he has control or but for an agreement between him and the contractor to the contrary, would have had control, to be the employer of:

i) the contractor; and
ii) any person being engaged by the contractor to carry out or assist in carrying out the work; and

the persons mentioned in paragraph (a)(i) and (ii) are deemed in relation to these matters, to be employees of the principal.

(5) Nothing in subsection (4) derogates from:

a) the duties of the principal to the contractor; or
b) the duties of the contractor to persons employed or engaged by him.

(6) An employer who contravenes section (1) or (3) commits and offence."

This section of the Act clearly indicates the responsibilities of the principal not withstanding the existence for a contract/tender/or council purchase order.

On the basis of this responsibility, and the fact that the Shire has received a notice from Work Safe WA requiring it to have a policy for employing contractors, Council is concerned that the safety standards and procedures carried out by its contractors and their employees is adequate. It would be expected that contractors and employees comply with the same standards expected of the Shire's own employees.

As a contractor working for this Local Authority, you will be notified of the Safety requirements of all contract/tender work. Failure to uphold this standard will result in the work being stopped until compliance is achieved at the contractors expense.

Yours sincerely
Chief Executive Officer

CONTRACTOR SAFETY EQUIPMENT REQUIREMENTS

As a contractor working for the Shire of Dowerin, the Council wishes to advise you of the safety standards you and your staff/subcontractors are required to work to.

All contractors and their employees involved in outdoor labouring, plant operating duties shall wear the following protective clothing;

a) ASA approved safety footwear;
b) Approved safety vests;
c) Protection from ultraviolet sunlight rays;

The Shire of Dowerin recommends wearing of long sleeve shirts, long trousers, broad brimmed hats and sunscreen (SPF 30+). Approved long shorts can be worn as an alternative to trousers.

Contractors staff engaged in the following activities must wear long trousers or overalls or other approved protection device all times when undertaking:-
Handling/spraying of pesticides/chemicals
Bituminous Roadway works
When using chainsaws, mowers, brush cutters etc
Mechanical fitters, welders etc
Working in trenches/laying pipes in excess of 1 metre in depth
Other tasks where safety tasks require

Gloves where hand protection in necessary.

ASA hearing protection (ear muffs) when working with equipment emitting noise levels greater that 85 dB(A)
Wet weather protection when working in wet areas or inclement weather.

Before undertaking works on roadways/reserves/property, contractors and their employees shall:-

Ensure their work site is protected/signed to protect themselves and the general public.

In conjunction with the Shire of Dowerin, Supervisors check with all relevant service authorities for service locations above and below ground level. Damage to these services once located is the responsibility of the contractor.

Where any damage is caused to property, staff or equipment or accident or near miss occurs on the work site, it shall be reported to the Council Safety Officer, Supervisor or other appointed person immediately.

All contractors shall ensure their staff hold the appropriate licences to operate all equipment on site. All equipment on site shall meet the relevant requirements of the Road Traffic Act (legally registered where necessary and Certification of Classified Plant where required as per the requirements of Work Safe WA) and have the necessary safety protection for the operator.

Where contractors are engaged to undertake any works for Council, they shall supply a copy of their Public Liability Insurance cover to the Shire Deputy Chief Executive Officer. The minimum cover shall be $5,000,000.

Where the contractor fails to meet with these safety guidelines, the Shire's Chief Executive Officer or other appointed person in charge of operations, may suspend works at no cost to the Shire of Dowerin. Works shall not recommence until the contractor has rectified the safety concern.

I of
Name Company

agree to comply with the above Shire of Dowerin Work Safety Provisions and recognise that I will be liable for failure to meet with their requirements.

Signed Witness
Date

SHIRE OF
DOWERIN
TIN DOG TERRITORY

Policy Manual

Updated October 2019

Preamble

1. General

   a) When Council adopts a policy it is exercising its legislative function. It does so when required by the Local Government Act or to provide guidance to staff and the public about the way its discretionary powers will be exercised.

   b) Even though a Council has adopted a policy it may be amended or waived at any time if Council determines to do so.

   c) When policies are implemented or applied by members of staff, the Administration is exercising its executive function.

   d) Each policy identified the purpose for which the policy was adopted and a statement of Policy.

2. Changing Policies

   Only Council may amend or revoke a policy.

   Policies may be amended or revoked at any time but each Council policy must be reviewed at least once every three years.

Table of Contents

Preamble 2
Employee Housing Policy 5
Financial Reserves Policy 8
Investment Policy 11
Risk Management Policy 21
Use of Shire Property By Employees 23
Disposal of Property Policy 28
Finance Authorisation Policy 30
Financial Management Policy 32
Fuel Stock Control Policy 35
General Financial Transactions Policy 36
New Supplier Approval & Appointment Policy 46
Elected Member's Fees, Allowances, Reimbursements and Benefits Policy 51
Safety Bonus Scheme Policy 53
Gravel Supplies & Rehabilitation Policy 55
Financial Institution 58
Purchasing and Use of Corporate Credit Cards 58
Payments 59
Stolen or Lost Credit Card 59
Reward/Bonus Points 59
Residential and Commercial Standard Crossing (Crossover) Policy 62
Purchasing Policy 64
Recognising Council Service Policy 75
Employee Health & Well Being Policy 78
Grievances, Investigations and Resolution Policy 81
Disciplinary Policy 84
Discrimination, Bullying & Harassment Policy 87
Equal Opportunity Employment Policy 90
Asset Management Policy 93
Public Interest Disclosure Policy 98
Drug & Alcohol Policy 101
Social Media Policy 104
Recruitment and Selection Policy 108
Untied Surplus Policy 111
Uniforms - Staff 113
Restricted Access Vehicle Policy 116
Education and Study Assistance Policy 119

Development of Policies and Administrative Procedures 122
Street Tree Policy 124
Mixed Use Properties Policy 131
Road Engineering and Subdivision Policy 133
Traffic Management – Shire of Dowerin Roads & Reserves Policy 144
Dowerin Home Care – Volunteer Driver Allowance Policy 146

Employee Housing Policy

Policy Owner	Chief Executive Officer
Distribution	Management
Responsible Officer	Chief Executive Officer
Date Adopted	22 May 2018
File Reference	ORGN-1017121432-3

Objective

To provide transparency, equity and consistency in the provision of housing or housing allowance for all employees across the organisation;

To assist in ensuring the Shire of Dowerin is competitive in attracting and retaining quality employees noting that access to quality housing in rural communities such as Dowerin where local availability is scarce, housing is an important means of achieving the organisations goals.

This policy will:

- Establish the guidelines for allocation of Council provided housing for employees and cost to employees; and
- Establish the housing allowance paid to all permanent employees who provide their own housing.

Policy

This policy applies to all permanent (excluding temporary, contract and casual) employees of the Shire of Dowerin.

Housing may be offered to all permanent staff, subject to and determined by the availability of Shire owned housing;

Housing will be offered as part of the remuneration package on a predominately hierarchical basis for positions that have traditionally been difficult to attract interest specifically:

- CEO;
- Finance Manager;
- Works Manager;

In exceptional circumstances the CEO may take into account requirements of the employee and/or the significance of the position for the ongoing operations of the organisation and offer either housing or an allowance as part of a offer of employment as an attraction strategy.

Leases will be subject to periodic tenancy agreements limited to the term of employment with the Shire and will be terminated upon cessation of employment with the Shire.

Due to the shortage of accommodation, the CEO will consider what is best for the strategic future of the Organisation and therefore, it is not in a position to guarantee accommodation to positions other than the above designated positions.

Shire staff will be given preference over staff from other local businesses unless an exceptional circumstance arises;

Where possible staff will have an option to apply for upgraded housing if housing becomes available. Their application will be assessed by the CEO on the following criteria;

- The Shire's circumstances and operational need;
- Suitable tenancy history;
- Demand; AND
- Any other relevant factors.

The lease fee will be set at 100% of the gross rental value of the property except where a negotiated employment contract provides otherwise.

The gross rental value will be obtained by the Shire on a biennial basis with any resulting variation applied in accordance with the terms of the lease agreement.

Rates, Water rates and Building only insurance associated with the property are to be paid by Council.

Reasonable water consumption costs will be met by the Shire to encourage tenants to maintain gardens to an acceptable standard. This will be subject to the CEO's discretion.

All other utilities consumption (such as power, gas, telephone and other charges) are to be met by the tenant.

All lease agreements are to be in accordance with the Residential Tenancies Act 1987 (WA) and all agreements are to be in writing using Form 1AA Residential Tenancy Agreement as varied from time to time;

Staff who do not satisfactorily maintain their property or breach their lease and/or Residential Tenancies Act 1987 (WA) may be evicted and have their lease terminated.

Housing Allowance
In the pursuit of salary attractiveness and equity, permanent employees who reside in privately owned or rented accommodation within the district of the Shire of Dowerin as defined by the Local Government Act WA 1995 will be paid a housing allowance in accordance with Council's annual budget. Part time employees will be paid a pro-rata allowance based on ordinary hours of work. Casual and temporary employees are not eligible for a housing allowance. Eligible employees will have the housing allowance stipulated in their employment agreement.

Conditions:
The housing allowance is only paid during service – that is, the housing allowance will not be paid for any period of unpaid leave.

The housing allowance is not payable when an employee's primary residence in not located within the district of the Shire of Dowerin.

Housing and/or a housing allowance will only be paid to one member of a household; that is where two or more employees share a house or are eligible for an allowance, only one employee is eligible to claim the Shire allowance.

Staff in Shire housing are not permitted to sub-let the property either in a paid or unpaid capacity.

Council in the case of the CEO and the CEO in the case of employees on negotiated contracts can vary the conditions of this policy as required as part of contract negotiations.

Roles and Responsibilities

Chief Executive Officer
- Ensure fair and equitable remuneration elements to all employees; and
- To ensure implementation of this policy.

Senior Managers
- Ensure new employees are aware of this policy; and
- Ensure that all employees are treated equitably.

Related Documentation

Lease agreements with employees
Employment Contract/Agreement

Related Legislation/Local Law/Policy/Procedure

Residential Tenancies Act 1987 (WA)
Shire of Dowerin Strategic Community Plan

Related Delegation

Nil

Review History

Adopted 23 May 2017

Financial Reserves Policy

Policy Owner	Chief Executive Officer
Distribution	Management
Responsible Officer	Chief Executive Officer
Date Adopted	18 December 2018
File Reference	Organisation/Governance/Council Policies/Financial Reserves Policy

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Objective

This policy ensures:

a. Responsible financial management of general revenue allocations for specific reserves, as well as tied contributions that have not been utilised in the year of receipt;
b. Council sets aside and maintains funds to meet specific liabilities;
c. There is a clear and shared understanding of the purpose of all Council reserves.

Policy

Council will consider the transfer to and from reserves as part of the annual budget process based on strategic direction as outlined in the Long Term Financial Plan, operational need and budgetary requirements.

3.1 Purpose of reserves
The purpose of reserve accounting includes:

a. to put aside funds in the current year for capital and other purchases to be made in future years. This practice eliminates fluctuations in Council's annual budget for capital and large purchases, and provides more consistency in the level of rates required each year;
b. to ensure responsible management of tied contributions that have not been utilised in the year of receipt.

3.2 Movement of reserves
During the annual budget process Council adopted movement of funds into and out of reserves. These transactions will be informed by the Long Term Financial Plan and this policy.

Financial reserves will be maintained in the following categories:

3.2.1 Leave Reserve
Council will maintain a reserve to cash back the cost of Long Service, Annual and Sick Leave where the leave cannot be absorbed within the annual budget. Given that Council is not expected to have to fund the full liability in any one year, this reserve should aim to maintain cash to the value of 100% of the current liability. This reserve will be maintained on an ongoing basis.

3.2.2 Plant Reserve
Council will maintain a reserve to ensure the cost of additional new plant and refurbishment or replacement can be met as per the Plant Replacement Program. The balance of this reserve will reflect Council adopted Plant Replacement program plus a 10% contingency for unexpected, emergency maintenance that cannot be met within the annual budget. This reserve will be maintained on an ongoing basis.

3.2.3 Sewerage Asset Preservation Reserve

Council will maintain a reserve to provide for the replacement and development of sewerage and stormwater infrastructure throughout the Shire. This reserve will be funded by transferring the net amount of funding remaining from revenue (rates) after expenditure on scheme maintenance. This reserve, including the amount to be maintained in the reserve, will be informed by the Asset Management Plan for this asset. This reserve will be maintained on an ongoing basis.

3.2.4 Land and Building Reserve
Council will maintain a reserve to assist with funding the development and purchase of land and building assets. The purpose of the reserve is to allow Council to take advantage of opportunities such as grants that allow for building developments and/or opportune land sales that have a strategic value. This reserve, including the amount to be maintained in the reserve, will be informed by the Asset Management Plan for this class of assets.

3.2.5 Recreation Facilities Reserve
Council will maintain a reserve to fund future maintenance, upgrades and developments of recreation facilities, including the swimming pool. This reserve will also allow Council to take advantage of grant opportunities as they arise. This reserve, including the amount to be maintained in the reserve, will be informed by the Asset Management Plan for this class of assets.

3.2.6 Community Housing Reserve
Council will maintain a reserve to enable participation in community housing projects such as independent living units for seniors. This reserve will be funded by transferring the net amount of funding remaining from revenue (rental income) after expenditure. This reserve will be reviewed in two years when this policy is reviewed.

3.2.7 Economic Development Reserve
Council will maintain a reserve to fund economic development initiatives. This reserve will allow Council to take advantage of grant funding opportunities as most grant funding programs require a co-contribution of approximately 30% to 50%. Council will consider transferring funds to this reserve based on strategic and operational requirements as part of the annual budget process.

3.2.8 Bowling Green Replacement Reserve
Council will maintain a reserve for the replacement of the Bowling Green. Council and the Bowling Club will each provide matching contributions of $5000. This reserve limit will be capped at the replacement cost of the bowling green.

3.2.9 Tennis Court Replacement Reserve
Council will maintain a reserve for the replacement of the Tennis Courts. Council and the Tennis Club will each provide matching contributions of $3000. This reserve limit will be capped at the replacement cost of the tennis court.

3.2.10 Sporting Club Reserve.
Council will maintain a reserve for the sporting clubs. This fund shall be funded by sporting club fees.

Roles and Responsibilities
Chief Executive Officer

Related Documentation
Nil

Related Legislation/Local Law/Policy/Procedure

Local Government Act 1995

Related Delegation

Chief Executive Officer

Review History

27 June 2017 (Item 10.1.1)

26 June 2018 (Item 10.1.8)

18 December 2018 (Item 10.2.4)

Investment Policy

Policy Owner	Chief Executive Officer
Distribution	Management
Responsible Officer	Chief Executive Officer
Date Adopted	27 June 2017
File Reference	ORGN-1017121432-52

Objective

This Policy will ensure that investments of the Shire of Dowerin's surplus funds will include consideration of preservation of capital, liquidity and the return of investment.

The Policy will provide guidance so that investments are made in a manner that seeks to ensure security and safeguarding of the Shire's investment portfolio. The investment decisions will ensure:

- sufficient liquidity to meet all reasonably anticipated cash flow requirements; and investments achieve a market average rate of return that takes into account Council's risk tolerance.

Policy

Prudent Person Standard
The investment will be managed with the care, diligence and skill that a prudent person would exercise. Officers are to manage the investment portfolios to safeguard the portfolios in accordance with this Investment Policy, and not for speculative purposes.

Ethics and Conflicts of Interest
Officers shall refrain from personal activities that would conflict with the proper execution and management of Council's investment portfolio. This policy requires officers to disclose any conflict of interest to the Chief Executive Officer or in the case of the Chief Executive Officer, to the Shire President.

Approved Investments
Funds may be placed in Authorised Deposit-taking Institutions (ADI's) being licensed banks as defined under the Banking Act 1959 (Commonwealth) or the Western Australian Treasury Corporation.

Approved investments include:

- Interest bearing deposits;
- State/Commonwealth Government Bonds
- Managed Funds with a minimum long term Standard & Poor (S&P) rating of "A" and short term rating of "A2".

Prohibited Investments
In accordance with regulation 20 of the Local Government (Financial Management) Regulations 1996 the Shire of Dowerin will not do any of the following:

- Deposit with an institution except an authorised institution (as defined in section 5 of the Bank Act 1959);

- Deposit for a fixed term of more than 3 years;

- Invest in bonds that are not guaranteed by the Commonwealth Government, or a State of Territory government;
- Invest in bonds with a term to maturity of more than 3 years;
- Invest in a foreign currency.

This investment policy prohibits any investment carried out for speculative purposes including:

- Derivative based investments;
- Principal only investments or securities that provide potentially nil or negative cash flow; and
- Stand alone securities issued that have underlying futures, options, forwards contracts and swaps of any kind.

This policy also prohibits the use of leveraging (borrowing to invest) of an investment.

Risk Management Guidelines
Investments obtained are to comply with three key criteria relating to:
a) Portfolio Credit Framework: limit overall credit exposure of the portfolio
b) Counterparty Credit Framework: limit exposure to individual counterparties/institutions
c) Term to Maturity Framework: limits based upon maturity of securities.

Overall Portfolio Limits
To control the credit quality on the entire portfolio, the following credit framework limits the percentage of the portfolio exposed to any particular credit rating category.

S&P Long Term Rating	S&P Short Term Rating	Direct Investment Max	Managed Funds Max
AAA	A-1+	100%	100%
AA	A-1	100%	100%
A	A-2	60%	80%

Counterparty Credit Framework
Exposure to an individual counterparty/institution will be restricted by its credit rating so that single entity exposure is limited, as detailed in the table below: Investments fixed for greater than 12 months are to be approved by Council and reviewed on a regular term and invested for no longer than 3 years.

S&P Long Term Rating	S&P Short Term Rating	Direct Investment Max	Managed Funds Max
AAA	A-1+	45%	50%
AA	A-1	35%	45%
A	A-2	20%	40%

Term to Maturity Framework
The investment portfolio is to be invested within the following maturity constraints:
Portfolio % <1 year 100% Max / 40% Min
Portfolio % >1 year <3 years 60% Max

Investment Advisor

The Shire of Dowerin does not use an investment advisor to assist in the investment decision making process. If such advice is to be sought, any advisor must be approved by Council and licensed by the Australian Securities and Investment Commission.

Measurement
The market value is to be assessed at least once a month to coincide with monthly reporting to Council.

Implementation
Funds held in investment will be subject to a monthly reconciliation process.

Any new investment or re-investment will require robust comparison of rates from at least the Shire's two banking institutes, Bendigo Bank and NAB, to ensure a rate of return most advantageous to the Shire.

Reporting and Review
A monthly report will be provided to Council in support of the monthly statement of activity. The report will detail the investment portfolio in terms of performance, percentage exposure of total portfolio, maturity date and changes in market value.

Documentary evidence must be held for each investment and details thereof maintained in an investment Register.

Certificates must be obtained from the financial institutions confirming the amounts of investments held on the Council's behalf as at 30 June each year and reconciled to the Investment Register.

reserve limit will be capped at the replacement cost of the bowling green.

Roles and Responsibilities

Chief Executive Officer

- Responsible for implementing this policy and for bringing it to Council for annual review.

Related Documentation

Nil

Related Legislation/Local Law/Policy/Procedure

Local Government Act 1995 Section 6.14
The Trustees Act 1962 (as amended) Part III Investments;
Local Government (Financial Management) Regulations 1996 (as amended) – Regulation 19, Regulation 28 and Regulation 49
Australian Accounting Standards

Related Delegation

Chief Executive Officer

Review History

27 June 2017 (Item 10.1.2)

Related Party Disclosures Party

Policy Owner	Chief Executive Officer
Distribution	Management
Responsible Officer	Corporate & Community Services Manager
Date Adopted	22 January 2019
File Reference	Organisation/Governance/Council Policies

Objective

The purpose of this Policy is to provide guidance to the Shire in the preparation of financial statements to ensure disclosure requirements are met for AASB 124 Related Party Disclosures.

This policy applies to Related Parties of the Shire and their Related Party Transactions with the Shire. This policy provides guidance in determining Relates Parties of the Shire along with associated transactions and outstanding balances, materiality and disclosure requirements.

Definitions

AASB 124 means the Australian Accounting Standards Board, Related Party Disclosures Standard.

Arm's Length Terms – Terms between parties that are reasonable in the circumstances of the transaction that would result from:
(a) neither party bearing the other any special duty or obligation; and
(b) the parties being unrelated and uninfluenced by the other; and
(c) each party having acted in its own interest.

Asset - A physical component of a facility which has value, enables a service to be provided and has an economic life of greater than 12 months.

Close members of the family of a person - are those family members who may be expected to influence, or be influenced by, that person in their dealings with the Council and include:

(a) that person's children and spouse or domestic partner;
(b) children of that person's spouse or domestic partner; and
(c) dependants of that person or that person's spouse or domestic partner.

Control – Control of an entity is present when there is:

(a) power over the entity; and
(b) exposure or rights to variable returns from involvement with the entity; and
(c) the ability to use power over the entity to affect the amount of returns received.

Entity can include a body corporate, a partnership or a trust, incorporated, or unincorporated group or body.

Incorporated Association means an association incorporated under the *Associations Incorporation Act 2015*.

Joint Control – The contractually agreed sharing of control of an arrangement, which exists only when decisions about the relevant activities require the unanimous consent of the parties sharing control.

Joint Venture – An arrangement of which two or more parties have joint control and have right to the net assets of the arrangement.

Key Management Personnel - as defined in Section 1 of this Policy.

KMP Compensation means all forms of consideration paid, payable, or provided in exchange for services provided, and may include:

- Short-term employee benefits, such as wages, salaries and social security contributions, paid annual leave and paid sick leave, profit sharing and bonuses (if payable within twelve months of the end of the period) and non-monetary benefits (such as medical care, housing, cars and free and subsidised goods or services) for current employees;
- Post-employment benefits such as pensions, other retirement benefits, post-employment life insurance and post-employment medical care;
- Other long-term employee benefits, including long-service leave or sabbatical leave, jubilee or other long-service benefits, long-term disability benefits and, if they are not payable wholly within twelve months after the end of the period, profit sharing, bonuses and deferred compensation;
- Termination benefits; and
- Share-based payment.

Material (materiality) means the assessment of whether the transaction, either individually or in aggregate with other transactions, by omitting it or misstating it could influence decisions that users make on the basis of an entity's financial statements. For the purpose of this policy, it is not considered appropriate to set either a dollar value or a percentage value to determine materiality.

Ordinary Citizen Transaction means a transaction that an ordinary citizen of the community would undertake in the ordinary course of business with Council.

Possible (Possibly) close members of the family of a person are those family members who could be expected to influence, or be influenced by, that person in their dealings with the Council and include:

(a) that person's brothers' and sisters';
(b) aunts', uncles', and cousins' of that person's spouse or domestic partner;
(c) dependants of those persons' or that person's spouse or domestic partner as stated in (b); and
(d) that person's or that person's spouse or domestic partners', parents' and grandparents'.

Record means any record of information however recorded and includes- anything on which there is writing, a map, plan, diagram or graph, a drawing, pictorial or graphic work, photograph; or anything from which images, sounds or writings can be reproduced.

Related Party Transaction is a transfer of resources, services or obligations between a Council and a related party, regardless of whether a price is charged.

Significant (significance) means likely to influence the decisions that users of the Council's financial statements make having regard to both the extent (value and frequency) of the transactions, and that the transactions have occurred between the Council and related party outside a public service provider/ taxpayer relationship.

Policy

Related Party relationships are a normal feature of commerce and business. For example, entities frequently carry on parts of their activities through subsidiaries, joint ventures and associates. In those circumstances, there is the possibility of the entity having the ability to affect the financial and operating policies of Council through the presence of control, joint control or significant influence.

A Related Party relationship could influence the normal business operations of Council. In some instances, Council may enter into transactions with a Related Party that unrelated parties would not. For example, goods are supplied to Council on terms that might not be offered to other customers. Also, transactions between Related Parties may not be made on the same terms as between unrelated parties.

The normal business operations of Council may be affected by a Related Party relationship even if Related Party Transactions do not occur. The mere existence of the relationship may be sufficient to affect the transactions of the Council with other parties. Alternatively, one party may refrain from trading with Council because of the significant influence of another—for example, a local supplier may be instructed by its parent not to engage in supplying goods to Council. For these reasons, knowledge of Council's transactions and outstanding balances (including commitments and relationships with Related Parties) may affect assessments of Council's operations by users of financial statements, including assessments of the risks and opportunities facing the Council.

Council in complying with disclosure requirements of AASB 124, will:

(1) Identify key management personnel, related party relationships, related party transactions and ordinary citizen transactions;
(2) Identify information about the related party transactions for disclosure;
(3) Assess materiality of transactions captured;
(4) Identify the circumstances in which disclosure of the items in (2) and (3) are required; and
(5) Determine the disclosures to be made about those items in the General Purpose Financial Statements for the purpose of complying with AASB 124.

1. Identification of Key Management Personnel (KMP)
AASB 124 defines KMP's as "*those persons having authority and responsibility for planning, directing and controlling the activities of the entity, directly or indirectly, including any director (whether executive or otherwise) of that entity*".

KMP's for the Council are considered to include:

- Councillors (including the Shire President);
- Chief Executive Officer; and
- The Management Team.

2. Identification of Relates Parties
A person or entity is a related party of Council if any of the following apply:

- They are members of the same group (which means that each parent, subsidiary and fellow subsidiary is related to the others).
- They are an associate or belong to a joint venture of which Council is part of.
- They and Council are joint ventures of the same third party.
- They are part of a joint venture of a third party and Council is an associate of the third party.
- A post-employment benefit plan for the benefit of employees of either Council or an entity related to Council.
- They are controlled or jointly controlled by *Close members of the family of a person.*
- They are identified as a *close or possibly close member of the family of a person* with significant influence over Council or a *close or possibly close member of the family of a person* who is a KMP of Council.
- They, or any member of a group of which they are a part, provide KMP services to Council.

For the purposes of this Policy, related parties of Council are:

- Entities related to Council;
- Key Management Personnel (KMP) of Council;
- Close family members of KMP;
- Possible close family members of KMP's; and

- Entities or persons that are controlled or jointly controlled by KMP, or their close family members, or their possible close family members.

3. Review of Related Parties

KMP will be required to complete a 'Related Party Disclosure Declaration' form once every twelve months (July to June) and submit to the Corporate Services Manager. In addition to this, events may warrant additional disclosure during the year. Such events include both ordinary and extraordinary Council Elections, terminations of KMP or appointments of KMP.

The primary identification method of close family members and associated entities of Key Management Personnel shall be by (but not limited to) KMP self-assessment. KMP have a responsibility to identify and report any changes to their related parties as they occur.

If any elected member or employee believes a transaction may constitute a related party transaction they must notify the Chief Executive Officer who will, in consultation with the Corporate Services Manager, make a determination on the matter.

4. Identification of Control or Joint Control
A person or entity is deemed to have control if they have:

- power over the entity;
- exposure, or rights, to variable returns from involvement with the entity; and
- the ability to use power over the entity to affect the amount of returns.

To jointly control, a person or entity must have contractual rights or agreed sharing of control of the entity, which exists only when decisions about the relevant activities require the unanimous consent of the parties sharing control.

All regional councils and regional subsidiaries meet the definition of a related entity.

5. Required Disclosures and Reporting
AASB 124 states Council must disclose the following financial information in its financial statements for each financial year:

5.1. *Disclosure of any related party relationship* - must disclose in the annual financial statements its relationship with any related parties or subsidiaries (where applicable), whether or not there have been transactions within the relevant reporting period.

5.2. *KMP Compensation Disclosures* - must disclose in the annual financial statements KMP for each of the categories of compensation (as defined in the definitions of this Policy) in total.

6. Related Party Transactions Disclosures
The Standard defines a related party transaction as being a 'transfer of resources, services or obligations between a reporting entity and a related party, regardless of whether a prices is charged'.

The Shire deems the following transactions with a Related Party to be a Related Party Transaction (but not limited to):

- Purchase or sale of goods;
- Purchase or sale of property and other assets;
- Rendering or receiving services;
- Leases;
- Quotations and/or tenders;
- Commitments;
- Settlements of liabilities on behalf of Council or by Council on behalf of the related party;
- Guarantees given or received
- Loans and Settlements of liabilities
- Expense recognised during the period in respect of bad debts
- Provision for doubtful debts relating to outstanding balances
- Grants and subsidy payments made to associated entities of Council
- Non-monetary transactions between Council and associated entities of Council
- Other goods and services provided by Council to associated entities of Council
- Compensation made to key management personnel
- Fees and charges charged to related parties
- Infrastructure contributions and application fees from related parties
- Purchase of materials and services from related parties
- Employee expenses for close family members of key management personnel

Council must disclose all material and significant Related Party Transactions in its annual financial statements and include the following detail:

6.1. The nature of the related party relationship; and
6.2. Relevant information about the transactions including:

6.2.1. The amount of the transaction;
6.2.2. The amount of outstanding balances, including commitments, and their terms and conditions, including whether they are secured, and the nature of the consideration to be provided in the settlement; and details of any guarantee given or received.
6.2.3. Provision for doubtful debts related to the amount of outstanding balances; and;
6.2.4. The expense recognised during the period in respect of bad or doubtful debts due from related parties.

The following matters must be considered in determining the materiality and significance of any related party transactions:

- Significance of transaction in terms of size;
- Whether the transaction was carried out on non-commercial terms;
- Whether the transaction is outside normal day-to-day business operations, such as the purchase and sale of assets;
- Whether the transaction is disclosed to regulatory or supervisory authorities;
- Whether the transaction has been reported to senior management; and
- Whether the transaction was subject to Council approval.

Regard must also be given for transactions that are collectively, but not individually significant.

Related Party Transactions that are not considered to be material do not need to be disclosed. A key assessment on whether a transaction is material is whether knowledge of the relationship and terms and conditions could influence a user's understanding of the

impact on the financial statements or influence their decisions (i.e. in their vote by Councillors). In determining materiality, Council and management will consult with the Audit Committee and external auditor as required.

Disclosures that Related Party Transactions were made on terms equivalent to those that prevail in arm's length transactions can only be made if such terms can be substantiated.

All transactions involving Related Parties will be captured and reviewed to determine materiality or otherwise of such transactions, if the transactions are Ordinary Citizen Transactions (OCTs), and to determine the significance of each of the transactions.

7. Ordinary Citizen Transaction (OCT)
The Shire acknowledges that there are Related Party Transactions that also satisfy the definition of an Ordinary Citizen Transaction (OCT). An OCT is a transaction that occurs on terms and conditions no different to those applying to the general public and has been provided in the course of delivery public service objectives. The Shire will not disclose such related party transaction in the financial statements.

The Shire has determined that the following transactions with related parties are Ordinary Citizen Transactions and do not need to be disclosed:

- Use of Council facilities, equipment and services in accordance with Council's fees, charges and policies;
- Payment of rates and charges;
- Attendance at Council functions and activities that are open to the public;
- Payment of fines and other penalties on normal terms and conditions; and
- Related party transactions occurring during the course of delivering Council's public service objectives and which occur on no different terms to that of the general public.

Amendments to transactions classified as Ordinary Citizen Transactions may be identified from time to time and this policy will be amended accordingly.

Inspection of Local Government information is regulated under the *Local Government Act 1995 (sections 5.93, 5.94 and 5.95)* and the provisions of the *Freedom of Information Act 1992* also apply. Information provided by KMP and other related parties will be held for the purpose of compliance with the Shire's reporting obligations and will be disclosed for compliance or legal reasons only.

The Corporate Services Manager will also review other information held by the Shire including but not limited to:

- Minutes of Ordinary Meetings of Council and Committee Meetings;
- Disclosure of Interests Register;
- Gift Register.

Roles and Responsibilities

Chief Executive Officer

- Responsible for ensuring this policy is implemented and reviewed.

Corporate and Community Services Manager

- Responsible for the application of this policy.

Related Documentation

Nil

Related Legislation/Local Law/Policy/Procedure

AASB 124 Related Party Disclosures
AASB 10 Consolidated Financial Statement
AASB 11 Joint Arrangements

AASB 128 Investments in Associates and Joint Ventures and;
Local Government Act 1995

Related Delegation

Chief Executive Officer

Review History

Adopted 25 July 2017 (Item 10.1.3)

22 January 2019 (Item 10.2.2)

Risk Management Policy

Policy Owner	Asset Management Officer
Distribution	Management
Responsible Officer	Chief Executive Officer
Date Adopted	23 May 2017
File Reference	ORGN-1017121432-35

Objective

The Shire of Dowerin 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)

Policy

The Shire of Dowerin 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 Dowerin 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.

Roles and Responsibilities

- Executive, managers and supervisors have the responsibility and accountability for ensuring that all staff manages 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.

Related Documentation

Nil

Related Legislation/Local Law/Policy/Procedure

AS/NZS/ISO 3100: 2009

Related Delegation

Review History
8 January 2008

Use of Shire Property By Employees

Policy Owner	Chief Executive Officer
Distribution	All Employees and Elected Members
Responsible Officer	Chief Executive Officer
Date Adopted	26 April 2017
File Reference	ORGN-1017121432-53

Objective

To ensure that employees utilising the Shire of Dowerin equipment outside of working hours do so with the requisite permission, understand and accept the risks and their responsibilities to care for the equipment.

Policy

The Shire of Dowerin is willing to permit employees to use equipment outside working hours subject to the provisions of this policy.

REQUEST
An employee wishing to borrow or use Shire property outside of working hours must request the use in writing to the Manager/Supervisor in charge of the equipment stating:

- the equipment required;
- the purpose; and
- duration, specifying a return date.

Employees must obtain written permission from the Chief Executive Officer or the Manager responsible for the equipment by completing the required form.

If permission is granted, it is the responsibility of that employee to coordinate with the supervisor of that equipment to avoid any disruption/negative impact on the conducting of regular business.

The Chief Executive Officer or Manager, having regard to the significance of the cost to the Shire of Dowerin, will decide on a case by case basis whether any contribution is required for consumables used e.g. electricity, paper, oil, blades and fuel.

The Manager/Supervisor is to maintain a record of the equipment removed from the Shire of Dowerin, including dates take and returned, name and signature of employee borrowing equipment and a note on condition before and after use.

Restriction on Use
Use of the Shire of Dowerin equipment is restricted to personal use only and shall not be used for personal gain or reward in connection with a business or secondary employment. The use of any plant or equipment that the employee has not been trained or skilled in the use of is strictly prohibited.

Responsibility for Use
Persons utilising equipment will be held responsible for the loss of or damage to such items.

It is the responsibility of the borrower to ensure that the use of any equipment is done so in a responsible manner so to avoid damage or misuse of the equipment.

The Shire of Dowerin does not take any responsibility for the equipment in relation to breakdowns, faults or mishaps that may occur whilst being borrowed or used.

It is the responsibility of the borrower, to ensure that any equipment or plant is stored in a secure location when not in use and not left unattended for extended periods of time.

Where plant or equipment is required to be towed by a private vehicle, it is the responsibility of the borrower to ensure that the vehicle has the capacity to handle the additional towing load to avoid damage to the equipment. All equipment is required to be secured when transported.

Contravention of this policy may preclude the employee from any further private usage equipment and/or financial penalties for misuse or damage. In serious circumstances, breach of this policy may result in disciplinary action being taken against the individual concerned.

Some plant or equipment may omit a high amount of noise when in use, so consequently it is the responsibility of the borrower that when operating the equipment, it must be done at a responsible hour and day in accordance with Environment Health Guidelines to avoid excessive noise in residential areas.

Insurance
No personal use insurance shall be provided, therefore any damage incurred during use will be the financial and legal responsibility of the employee borrowing the equipment.

The Shire of Dowerin will not be responsible for any other insurance including public liability, personal injury insurance or home/content insurance associated with the operation or storage of the equipment whilst borrowed.

Shire of Dowerin Image
It must be acknowledged by all borrowers that the Shire of Dowerin's equipment may be clearly marked with the Shire of Dowerin's logo. Therefore when equipment is used outside business hours for personal use, it may still be considered by the general public as being a Shire activity and consequently must be used in a responsible manner.

Roles and Responsibilities

Related Documentation

Nil

Related Legislation/Local Law/Policy/Procedure

Related Delegation

Review History

Bank Account Policy

Policy Owner	Finance Manager
Distribution	Finance Staff
Responsible Officer	Chief Executive Officer
Date Adopted	22 January 2019
File Reference	Organisation/Governance/Council Policies

Objective
To provide guidelines for the opening and management of all bank accounts.

Policy
Where additional policy is noted, this policy must also be adhered to when undertaking the finance transaction.

Opening Bank Accounts
Any new bank accounts to be opened for the Shire must have the authorisation of the Chief Executive Officer, and Finance Manager.

For each new bank account opened, the SynergySoft financial system must be updated and the bank account registered by the Finance Manager.

Bank Account Authorisation of Transactions
All payments of monies from or transferred between any Shire bank account; by cheque, EFT or other online payment method; must be pre-approved by two authorising officers.

The designated authorised positions for bank account payments are:

Position Description Title
Chief Executive Officer
Finance Manager
Acting Manager of Corporate and Community Services
Finance Officer

Each payment made must be supported by invoice, receipt or other appropriate documentation and the authorisations must be attached to this documentation prior to payment.

Variations to Bank Account Terms and Conditions
Any variations to banking arrangements can be made or varied by Chief Executive Officer or Finance Manager.

Finance Manager is responsible for updating the SynergySoft financial system and/or bank account register with the new information.

Closing Bank Accounts
Where it is decided that a bank account is no longer necessary, the Chief Executive Officer and the Finance Manager will authorise the closure of the bank account.

The Finance Manager will then be required to complete the following;

- ensure all transactions with respect to the account (including cheques drawn) have been completed;
- lodge a letter with the bank, signed by Chief Executive Officer and Finance Manager as authorised signatories advising of the closure of the account;
- meet the banks requirements with respect to account closure; and
- update the SynergySoft financial system and bank account register.

Bank Account Transactions
All deposits received will be banked within two days from receipt. In exceptional circumstances when bank closure prevents this, deposits will be deposited the morning the bank re-opens.

Unallocated direct deposits of more than one month will be investigated fully to determine source of deposit. Where the source cannot be identified, the deposit will be allocated to the appropriate account.

Cheques outstanding for more than twelve months will be reallocated back to the creditor through the SynergySoft financial system.

Where a stop payment on a cheque is required, it will be authorised by the Chief Executive Officer or Finance Manager

The Finance Manager will be responsible for carrying out the following duties in regards to a stop payment on a cheque:

- ensuring the cheque has not already been presented at the bank;
- obtaining authorisation to action the stop payment using appropriate forms from the bank;
- ensuring the bank receives notification of the stop payment notice;
- receiving confirmation of action from the bank of the stop payment;
- updating Synergy Soft and
- ensuring the details of the stop payment are attached to the initial payment and kept in the stop payment folder.

Roles and Responsibilities

Chief Executive Officer

Related Documentation

Nil

Related Legislation/Local Law/Policy/Procedure

Local Government Act 1995

Related Delegation

Chief Executive Officer

Review History

24 October 2017 (Item 9.1.3)

26 June 2018 (Item 10.1.8)

22 January 2019 (Item 10.2.3)

Disposal of Property Policy

Policy Owner Chief Executive Officer

Distribution All Staff

Responsible Officer Chief Executive Officer

Date Adopted 24 October 2017

File Reference ORGN-1017121432-33

Objective

To provide a clear and transparent approach to disposal of property that is less than $20,000; or where the property that is to be disposed of is part of the purchase of other property for which the total consideration is less than $75,000.

This policy will ensure compliance with legislative requirements, the best financial result for the Shire and operational efficiency.

Definitions

Property means local government property means anything, whether land or not, that belongs to, or is vested in, or under the care, control or management of, the local government.

Policy

The disposal of Council owned property with a market value of less than $20,000 or where the property that is to be disposed of is part of the purchase of other property for which the total consideration is less than $75,000 will be carried out in accordance with the following schedule:

Current Market Value of Property	Method of Disposal
$501-$75,000 or less per item	• To the highest bidder at public auction; or • To the most acceptable tender, whether or not to the highest bidder through the public tender process, or • To an external party at market value.
$1 - $500 per item	• To the highest bidder through an external bidding process for staff, except the Chief Executive Officer (CEO), whereby bids are sealed and placed in a Shire Tender Box to be opened by the CEO. • Any property not purchased by staff or Councillors may be donated to a local service organisation for distribution to community groups through Expressions of Interest.

Nil value	At the direction of the Chief Executive Officer giving due consideration to the best community and environmental outcomes.

A written register is to be kept of all disposal that includes all bids received; all purchases made and all property donated to local service organisations.

The disposal of property exceeding the values describes in the above schedule will be in accordance with the requirements of the *Local Government Act 1995*.

Roles and Responsibilities

Chief Executive Officer

- Responsible for ensuring this policy is applied in fair and equitable manner.

Managers and Supervisor

- Ensure all disposals are in strict accordance with this policy and associated legislation.

Related Documentation

Related Legislation/Local Law/Policy/Procedure

Local Government Act 1995 – S3.58

Related Delegation

Chief Executive Officer - Delegation 1.3 – April 2017 Delegations Register

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Review History

24 October 2017 (Item 9.1.3)

Finance Authorisation Policy

Policy Owner	Finance and Corporate Services Manager
Distribution	Finance Staff
Responsible Officer	Chief Executive Officer
Date Adopted	26 June 2018
File Reference	ORGN-1017121432-19

Objective

All finance transactions as noted in this policy are to be authorised by the noted authorised person prior to the transaction being undertaken.

This policy is to be read in conjunction with other specific finance policies where relevant.

Policy

Prior to any of the following finance transactions being undertaken, the authorising person noted must authorise the transaction by signing the relevant form/s.

Where additional policy is noted, this policy must also be adhered to when undertaking the finance transaction.

Finance Transaction	Authorised Person	Additional Policy
Bank Accounts • Municipal • Cash Maximiser • Reserve • Trust • Term Deposit	Chief Executive Officer Finance Manager Assets and Works Manager Acting Manager of Corporate and Community Services	Shire of Dowerin Bank Accounts Policy Investment Policy
Issuing Petty Cash	Finance Officer	Petty Cash Policy
Corporate Credit Card	Chief Executive Officer Finance Manager Assets and Works Manager	Corporate Credit Card Policy
Authorising New Debtors	Finance Manager	
Authorising New Suppliers	Chief Executive Officer Assets and Works Manager Finance Manager	New Suppliers Approval & Appointment Policy
Purchasing Fuel Stock	Finance Manager Assets and Works Manager	
Purchasing Assets/ Equipment	Chief Executive Officer Finance Manager Assets and Works Manager	Purchasing Policy
Debt Collection	Finance Manager Finance Officer	Sundry Debt Collection Policy
Payment of Invoices	Chief Executive Officer Finance Manager Acting Manager of Corporate and Community Services Finance Officer	General Transactions Policy
EFT/BPay Receipting	Finance Finance Officer	General Transactions Policy

Roles and Responsibilities

Chief Executive Officer

Related Documentation

Nil

Related Legislation/Local Law/Policy/Procedure

Local Government Act 1995

Related Delegation

Chief Executive Officer

Review History

24 October 2017 (Item 9.1.3)

26 June 2018 (Item 10.1.8)

Financial Management Policy

Policy Owner	Finance and Corporate Services Manager
Distribution	Management
Responsible Officer	Chief Executive Officer
Date Adopted	24 October 2017
File Reference	ORGN-1017121432-17

Objective

To ensure that council officers work within set annual budget parameters.

To outline parameters for efficient and effective budget management in relation to interim overdraft conditions which prevail in the early and closing parts of each financial year.

To enable Council to efficiently administer debt reduction.

To take a conservative approach to investments, but with a focus to adding value through prudent investment of funds.

To achieve an adequate level of diversification to spread risk.

To achieve a high level of security by using recognised ratings criteria.

To have ready access to funds for day to day requirements without penalty.

To establish financial management and governance principles to be applied to general financial decision making and provide a coherent and logical framework for the long term financial management of the Shire of Dowerin

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Policy

The Shire of Dowerin makes decisions in relation to financial matters in prudent manner considering transparency, accountability and equality to result in good governance. The Shire will make decisions in relation to financial management and financial governance that encompass the following principles:

- Management of financial risk prudently, having regard to economic circumstances. Examples of financial risks to be managed prudently include the level of council debt, commercial activities, community business activities, financial assets and liabilities.
- Implement spending and rating policies to promote stability and predictability.
- Fund physical assets with regard to intergenerational equity.
- Manage and maintain physical assets to achieve the maximum useful life from the initial investment.
- Ensure full, accurate and timely disclosure of financial information, unless commercial in confidence.

Budget Control

That all officers be instructed that where any account, for which they are liable to keep expenditure within budget limits, becomes overspent or will evidently become overspent, the officer concerned halt spending until a report is made to the Departmental Manager for appropriate action.

Budget Management
Owing to interim overdraft conditions which prevail in the early and closing parts of each financial year, it is Council's preference to:
1. Defer procurement of new budgeted plant items until November each year.
2. Discourage the programming of materially intensive works in the early and closing parts of each financial year.
3. To not procure fixed assets within the last fiscal month of the year unless extenuating circumstances exist.

Loan Funding
Council will consider loan funding that is prudent and within guidelines and ratios as identified by the Department of Local Government. Loan funding will be guided by those loans that are proposed in the Long Term Financial Plan. An exception to this is self-supporting loans.

Rate Setting
The Shire of Dowerin will endeavour to maintain a consistent approach to rate setting between rural and residential areas and will endeavour to ensure that increases in the value of rates levied are incrementally increased.

Reserve Funds
Cash reserves are to be established and maintained to accumulate funds for the following purposes:

- To fund future strategic initiatives and the provision of new services and facilities to future residents.
- To fund asset replacement and renewal of existing physical/built assets (including buildings, plants, roads and other infrastructure).
- To buffer against unpredictable events.
- To hold unspent grant and contributions
- To meet statutory obligations
- Other purposes as determined by Council from time to time.

Liabilities
The Shire of Dowerin will allocate an appropriate and agreed amount to provide for leave and other liabilities annually.

Borrowing
The Shire of Dowerin will exercise its borrowing power in a financially responsible and prudent way so as to promote equity amongst current and future ratepayers.
In general the Shire of Dowerin will not borrow to fund operating expenditure.

Borrowing is acceptable to fund:
- Short-term peak working capital requirements (overdraft or short-term); and/or
- Transitional/bridging funding for projects or acquisitions.

The Council will consider its forecast borrowing requirements as part of its Long Term Financial Plan and Adoption of the Annual Budget.

Long Term Financial Planning
The Shire of Dowerin will prepare/update annually a long term financial plan that includes, but not limited to, the following components:

- Major underlying economic assumptions;
- Projections of operating revenues and expenses for at least ten years;
- Expected rate yield and percentage change from the previous periods;
- Major capital outlays separated into components of new and renewal;

- Variations in the net debt levels;
- Changes in the value of reserve balances;
- Sensitivity analysis (changes most likely to affect the plan).

Every two/three years, the Shire of Dowerin will include, as a component of the long term financial plan, a strategic financial section which consists of at least the following:

Asset management planning
An analysis of the impact of future changes in service levels;
An explanation of the strategic financial direction and rationale underpinning the plan;
Details of the strategic initiatives contained within the financial plan;
Strategic financial parameters and targets.

Annual Budget
The annual budget is to be developed from a base being the first year of the Council's adopted long term financial plan.

Where the annual budget results in a projected financial result in major conflict with the stated strategic direction outlined in the most recent long term financial plan, this is to be separately highlighted and explained in the annual budget.

The Council will structure its budget to achieve an outcome where operating revenue (less capital contributions) is at least sufficient to meet cash operating expenses (excluding non cash expenditure). The extent of any operating surplus will be dependent on the resources necessary to manage the renewal of assets (including infrastructure assets and business activity assets) and considering intergenerational equity issues.

Land Acquisition/Disposal
The Shire of Dowerin will regularly review all land holdings with a view to considering retention or disposal.

Regulatory Role
Where the Shire of Dowerin operates in a competitive environment while providing a regulatory or statutory role in that environment it will maintain a management structure designed to minimise the potential for conflict between these two roles and encourage transparency to maintain confidence in its regulatory independence.

Roles and Responsibilities

Related Documentation

Related Legislation/Local Law/Policy/Procedure

Local Government Act 1995 – S2.7
Local Government Act 1995 – S6.0

Related Delegation

Review History

24 October 2017 (Item 9.1.3)

Fuel Stock Control Policy

Policy Owner	Asset and Works Manager
Distribution	Finance Team
Responsible Officer	Chief Executive Officer
Date Adopted	24 October 2017
File Reference	ORGN-1017121432-31

Objective

This policy provides guidelines for monitoring and managing the amount of fuel stock within the Shire to ensure that there are suitable levels of diesel available for operations at all times.

It is the responsibility of the Assets and Works Manager (AWM) to ensure that the fuel stock control policy is adhered to by all employees.

Policy

Purchase of Stock

It is AWM's responsibility to:

- Identify fuel stock and ensure that appropriate levels are held at all times;
- Monitor all fuel stock levels and 'stock turns' (how many times stock turns over in a year);
- Regularly review sales budgets and order necessary stock in line with budgets;
- Negotiate with suppliers for best price, quality, delivery methods and returns policy;
- Order all fuel stock required;
- Maintain "preferred suppliers" list;
- Purchase of all fuel stock must be authorised by the AWM or FCSM.

All fuel stock purchases must be requested by using a purchase order and adhere to the purchasing policy.

Receiving Fuel Stock

When fuel stock is received from the supplier, it is the AWM or Leading Hand's responsibility to:

- Review delivered items to delivery docket, including quantity, quality and completeness of order;
- Match delivery docket to purchase order;
- Store the fuel stock securely and in allocated area;
- Update all fuel stock records for receipt of goods;
- Inform or AWM or FCSM of any under/over-supply of fuel stock.

Managing Stock

It is the AWM 's responsibility to:

- Identify fuel stock and ensure that appropriate levels are held at all times;
- Monitor all fuel stock levels and stock turns;
- Regularly review sales budgets and ensure that fuel stock is ordered in line with budgets;
- Monitor re-order levels and ensure orders are placed in adequate time to reduce non-availability of fuel stock;
- Ensure that all staff are aware of new supplier, price changes and procedures for accurate recording of all fuel stock movements;
- Ensure that there are adequate controls (physical and administrative) in place to minimise theft and/or waste of all stock items;
- Organise and oversee physical stock take twice a year and match records of stock take to administrative and financial records.

Roles and Responsibilities

Related Documentation

Purchasing Policy
Finance Authorisation Policy
New Supplier or Contractor Appointment Approval Policy

Related Legislation/Local Law/Policy/Procedure

Related Delegation

Review History
24 October 2017 (Item 9.1.3)
General Financial Transactions Policy

Policy Owner	Finance Manager
Distribution	Management
Responsible Officer	Chief Executive Officer
Date Adopted	26 June 2018
File Reference	ORGN-1017121432-15

Objective

To ensure that Council accounting records will be maintained on a full accrual basis using up to date methods of electronic data processing.

Policy

Accounting/Book Keeping
The following accounting records will be maintained:

(1) Cash – consecutive record of cash receipts and payments;
(2) General Journals;
(3) General Ledger;
(4) Subsidiary Ledger including Receivable/Payable/Rates/Assets;
(5) Other records necessary to fully document and explain the financial transaction of Council as required to comply with the Local Government Act, 1995 (the Act)

and Regulations in relation to other financially expressed obligations (for example, budgeting and annual reporting).

Subsidiary ledgers shall be reconciled with the general ledger at least monthly.

There will be adequate and appropriate supervision of employees with sufficient employee backup to ensure that accounts and ledgers are adequately maintained.

Finance Manager (FM) to sight and review all receipt reversals, journals, reversal of rates journals and alterations to parameters of the rating system. FM will sign all relevant documents as evidence of sighting and approval.

Employees working within the finance department will have the capabilities and training, commensurate with their responsibilities.

Monies Received
Monies received shall be recorded by an entry for each individual transaction.

The payer shall be issued with a receipt/tax invoice upon request.

The receipt/tax invoice record shall indicate the mode of payment, i.e. cheque, cash, EFTPOS etc.

Cheques received shall, on receipt, be restrictively crossed "not negotiable".

Receipts shall be issued in numerical sequence.

Details of each receipt shall be retained for the period prescribed by the State Records Act 2000 WA.

Details of each voided or reversed receipt shall be retained for the period prescribed by the State Records Act 2000 WA.

Cash floats may be issued to a cashier for use as change for monies received.

Where possible will be opened centrally in the presence of two (2) employees and scanned directly into Sharepoint (the Shire's Record Management System).

Cheques and cash received through the mail will be forwarded to the Customer Service staff for immediate receipting and banking.

Cash received must be logged in Cheque/Cash Received Register.

Banking
Monies received by an officer or employee of Council must be paid into a Council bank account.

Monies received by or on behalf of Council must be banked as soon as practicable on or after the day of receipt.

Detailed records of Council's banking activities must be kept.

Banking shall be reconciled with receipts. Reconciliation will occur daily and reconciliations will be signed by two staff members.

Monies received will be delivered to the bank on days that the local NAB Branch is open.

In the intervening periods between banking, monies received will be deposited in the safe.

During peak rates periods, banking will be carried out as quickly as possible to ensure that cash held on the premises is limited.

Cash held on the premises overnight shall remain insured to the value of $100,000 as per Council's insurance policy.

Cheques over $25,000 will be banked on the day received where possible.

Petty Cash
Cash payments may be made out of a petty cash account established by Council for expense reimbursement only. Cash advances are not permitted unless authorised by the FM.
A cash reimbursement cannot, in respect of any particular docket or voucher, exceed $50 (including GST) unless authorised by the FM.

The cash floats for petty cash purposes:

- Administration Office $ 200
- HACC $ 300

The petty cash account shall be reconciled at least monthly (more often if possible). FM will review process and signoff as evidence of review.

Approval of dockets is to be authorised in accordance with Council's Delegation Manual.

Petty cash vouchers are subject to Council's Purchasing Policy and as such require signature by an Authoriser delegated under that Policy.

Petty cash transactions shall be recorded and supported by petty cash dockets and receipts (or statutory declaration where receipts cannot be provided).

The recipient of the petty cash will be required to sign a petty cash docket and provide supporting documentation when claiming.

The recipient of cash must not be the Authorising Officer, even if the staff member has delegated authority. The recipient must have a more senior delegated officer or one of equal authority sign the petty cash form.

Receipts presented to support petty cash purchases must quote the suppliers ABN and/or be a tax invoice where appropriate.

An audit of petty cash floats will be undertaken at least annually.

All responsible officers who administer petty cash must ensure they are fully aware of their responsibilities for safeguarding petty cash and have read and understood the petty cash policy and procedures.

Receipts which do not end in round dollars will need to be rounded when reimbursed via petty cash.

Bank Accounts
Bank accounts will be operated exclusively for the purpose of conducting Council business.
Those presently approved:

(1) Chief Executive Officer (CEO)
(2) Finance Manager (FM)
(3) Acting Manager of Corporate and Community Services (MCCS)
(3) Assets and Works Manager (AWM)
(4) Finance Officer x 2

At least two authorised bank signatories are required to authorise disbursements from bank accounts.

All accounts will be in the name of Shire of Dowerin. New accounts can only be opened with the approval of the CEO and FM.

Bank reconciliation for each bank account operated by Council shall be prepared weekly. – FM will review reconciliations and signoff as evidence of review.

Transactional banking is presently carried out through the National Australia Bank.

Banking trends and costs will be monitored by the FM and this relationship will be maintained unless determined otherwise by Council resolution. – Evidence of review will be presented by way of an agenda item to the Finance Committee each quarter.

Debtors
Shire of Dowerin provides a range of services which are purchased by varying individuals and organisations. Income is received after the service is provided and a tax invoice is raised. It remains a debt to Council up to the time it is paid or written off.

Staff will complete a Debtor Invoice Request Form (DIRF) immediately an amount becomes due and payable, and forward it to the finance section.

Tax Invoices will be raised upon receipt of a DIRF.

Tax Invoices numbers will be system generated and issued in numerical sequence and meet ATO legislative requirements.

Records shall be maintained for all debtors and transactions relating thereto.

Debtors have 30 days from the date of invoice before the amount is considered "overdue".

Debt Collection
The policy does not apply to the collection of rate or infringement related debts but extends to specific user pay services such as licences and leases on sporting clubs and hall hire.

Council will apply prudent debt management practices. Outstanding debtor balances shall be reviewed at least monthly and appropriate action initiated to recover debts.

This will include:
(1) 30 Days - First Reminder letter
(2) 60 days - Final Notice requesting payment within 14 days
(3) 90 days - Debtors that fail to respond to Council will be referred to a commercial agent for further action as considered appropriate

Council must ensure that debt is managed in a way which is fair and equitable to the debtor and efficient for both parties. Council acknowledges that a debtor's financial circumstances can change. As a result, if financial difficulties are experienced or are anticipated, a debtor is encouraged to promptly initiate discussions with Council to seek alternative arrangements.

Should the debtor fail to meet the payment terms without having made contact with Council regarding difficulties, Council will invoke its standard debt recovery procedures to ensure a fair, equitable and consistent approach to all debt follow up. At all times consideration will be given to the amount overdue and the circumstances of the debtor.

Provision for Doubtful Debts
A provision for doubtful debts will be established for aged debts greater than 150 days, taking into account:

- The size and nature of the debt; and
- The debtor in question.

Aged debts less than 150 days may be provided for if the recovery is known to be unlikely.

Outstanding debtor balances shall be reviewed annually towards the end of each financial year to ensure doubtful debts are adequately provided for.

Bad Debts/Write Offs
Debts shall be written off only when all reasonable attempts at recovery have been taken and failed. Recommendation for write off shall be made by the FM following discussion with the section responsible for the raising of the invoice.

Debts that are considered irrecoverable, or where the cost of recovery is uneconomical, shall be written off as a bad debt.

The authority to write off such debts is delegated to the Chief Executive Officer as per the Delegations Register to the value of $200 for any one debt. Debts of any amount greater than $200 will be presented to Council for consideration.

Credit Cards
The Chief Executive Officer and Authorised Officers maintain Council owned credit cards.

The corporate credit card recipient must comply with the conditions of use as set out in the "Credit Card Agreement" and "Acknowledgement by Cardholders" that must be signed before the card is issued. This document details limits on usage and conditions relating to documents required to support credit card transactions.

Expenditure on credit cards will be limited to the maximum credit balances as follows:

(1) Chief Executive Officer - $3,000
(2) Finance and Corporate Services Manager - $3,000
(3) Assets and Works Manager - $6,000

All Credit Card Statements must be approved by the Chief Executive Officer.

The CEO Credit Card Statement must be approved by the President.

Credit card expenditure must be signed by the card holder and supported by the appropriate documentation and be submitted to the Accounts Payable Officer for reconciliation with the statement of account.

The cardholder will ensure that a satisfactory description of the goods purchased is on the sale docket/tax invoice.

In the event the cardholder is unable to produce a valid tax invoice / receipt, a statutory declaration must be submitted by the cardholder confirming that the nature of the item purchased, the item was work related expenditure and the reason a tax invoice or receipt was not provided.

The credit card cannot be used for:-

(1) Cash withdrawals
(2) Non Work Related Expenditure
(3) Items of equipment that must be recorded on an asset register (unless approved by the CEO)
(4) Internet transactions which are not on a secure web site
(5) Membership for recreational, sporting or social clubs
(6) Dangerous goods and hazardous substances
(7) Foreign currency

Personal expenditure charged by a Cardholder to their Council Card will be treated as a serious breach of policy. Disciplinary action may include, but not be limited to: formal warning, administrative action in the form of card cancellation, cost recovery, termination of employment, Police report and / or criminal proceedings.

Card holders must maintain an up to date knowledge of Council's Credit (Purchase) Card Procedure and Purchasing Procedure.

The cardholder will not permit use of the card by another person except for work related expenses incurred with prior approval.

For Fringe Benefit Tax (FBT) purposes, hospitality or entertainment payments which are charged on the credit card must be accompanied by information such as the reason for function, the number of internal staff, spouse and the total number of people in attendance at the function.

Failure to provide the required information regarding hospitality or entertainment expenditure may result in the costs being treated as non work related expenses and therefore subject to FBT.
Where a credit card is lost or stolen, the cardholder must immediately report to the Bank for cancellation.

Any staff member who does not comply with the conditions of use, will have the cards withdrawn & may be subject to disciplinary action.

The cardholder must return the card should they cease to be an employee of Shire of Dowerin or when so directed by the CEO. Where the CEO ceases to be an employee, the CEO must return the card immediately to the FM. Employees surrendering a credit card will sign a form declaring the date and person to whom the credit card was surrendered.

It is the Cardholder's responsibility to ensure that all transactions listed on the Credit Card Statements are correct. If a cardholder does not agree with or recognise a transaction or charge on their Card, the Cardholder must investigate the transaction with the supplier and where necessary, lodge a 'Disputed Transaction Form' with Council's Bank. This must be done within 3 months of the transaction date of the disputed transaction or may be recharged to the cardholder as a personal expense.

Reconciliation of Credit Card Statements must be completed by the second week of each month. – Reconciliations will be reviewed and signed off as evidence of review by the FM. In the case of the FM, the CEO will review and sign the reconciliation.

Purchase Cards
The usage of purchase cards enables Council to procure necessary small value goods in an efficient manner.

A written request detailing the proposed cardholder, reason for the establishment of the card, card limit and manager approval must be submitted to the FM for approval prior to issuance of a card.

The purchase card recipient must comply with the conditions of use as set out in the "Acknowledgement by Purchase Cardholders Form" that must be signed before the card is issued.

This document details strict limits on usage, conditions relating to documents required for records maintenance purposes and authorisation requirements.

Purchase cards should replace the usage of petty cash where possible.

Purchase cards cannot be used for non-work related purchase under any circumstances.

Types of purchase cards approved for usage include, but are not limited to Bunnings Cards and Fuel Cards.

A tax invoice/receipt must be provided for each purchase.

In most instances, purchase cards will only be issued to permanent employees who have completed their probationary period. Exceptions can be authorised by the CEO.

The FM has the discretion to approve the issuance of purchase cards based upon:

- Number of purchase cards held within the relevant team at time of application
- Estimated frequency of usage
- Alternative suppliers who accept purchase orders

- A review of the capacity of the proposed cardholder to meet the card holder responsibilities listed in the 'Acknowledgement by Purchase Cardholders Form'.

The FM has the discretion to withdraw a purchase card from a Council Officer in the event the 'Acknowledgement by Purchase Cardholders Form' is breached in any manner.

Purchase card holders must notify the card provider organisation immediately in the event of a lost or stolen card.

Reconciliation of the cardholders account must be submitted to the Accounts Payable Officer within 7 working days of receipt of the account. Reconciliations will be reviewed and signed off as evidence of review by the FM. In the case of the FM, the CEO will review and sign the reconciliation.

It is the responsibility of the cardholder to return the purchase card to the FM in the event the card is no longer required (e.g. termination of employment). The card holder will sign a form showing the date and person to whom the card was surrendered.

Accounts for Payment and Disbursements
All accounts for payment shall be confirmed that goods/supplies received and certified by an Authorised Officer as to:

(1) The receipt of the goods and services being in accordance with the relevant official purchase order;
(2) The prices charged being fair and reasonable;
(3) The calculations and additions being correct;
(4) The allocation of the payment to the correct ledger account.

Authorisation of payments/disbursements is to be in accordance with Council Purchasing Policy and/or Council's Delegations Manual. All authorising officers will sign a relevant form showing that they have reviewed the payments/disbursements; in accordance with the Finance Authorisation Policy
An Elected Member is entitled, at any reasonable time, to inspect the record of accounts paid or payable.

A payment on behalf of Council must be made by Electronic Funds Transfer (EFT), Direct Debit or cheque drawn on Council's bank. All disbursements shall be authorised by any two (2) of the following:

(1) Chief Executive Officer
(2) Finance Manager
(3) Acting Manager of Corporate and Community Services
(3) Assets and Works Manager
(4) Finance Officer x 2

Cheques shall be on Council stationery, pre-numbered and issued in numerical sequence. Unused cheques shall be stored securely by the Accounts Payable Officer who shall maintain an up to date register. This register is required to be sighted and approved by the FM on a monthly basis. FM will sign all relevant documents as evidence of sighting and approval.

Documentation regarding disbursements shall be retained for the period set down prescribed by the State Records Act 2000 WA.

Fringe Benefits Tax
Fringe Benefits Tax (FBT) is paid on benefits in place of, or in addition to, salary or wages of employees.

Fringe benefits provided are also required to be reported on employee's annual PAYG payment summaries. As the FBT year is not aligned with the financial year, the benefits reported on payment summaries relate to the preceding FBT year, which runs from 1st April to 31st March.

Council will comply with FBT legislative requirements.

Goods and Services Tax
The Goods and Services Tax (GST) is a broad-based consumption tax of 10 per cent on most supplies of goods and services consumed in Australia.

Council's ABN is 35 9399 77194.

Shire of Dowerin is a registered organisation for the purposes of GST, therefore GST is payable on goods and services Council sells or supplies to others in the course of business. These supplies are called taxable supplies.

There are other types of supplies where GST does not have to be included in the price. These are called input taxed supplies and GST-free supplies. The Shire of Dowerin will keep a schedule of Fees and Charges and their relevant GST applicability which is reviewed yearly.

Council will only deal with suppliers who have an Australian Business Number (ABN) or suppliers who are prepared to sign a "Statement by Supplier" tax declaration. A register will be kept of all suppliers who have signed this declaration.

All invoices for Council supplies exceeding $82.50 and which attract GST must be complying Tax Invoices.

Monthly remittances of GST received and paid will be submitted on Council's Business Activity Statement (BAS).

Amounts will be netted off against other tax office liabilities/receivable such as PAYG/Fuel Tax Credits and Fringe Benefits Tax.

The BAS is used by Council to report its GST related obligations and will be submitted by the 21st day of each month.

Auditor Policy
The Audit Committee is responsible for monitoring the performance of Council's Auditor and making recommendations to Council as required regarding the appointment or termination of the Auditor. The Audit Committee's Terms of Reference provide detail on how the Audit Committee is required to carry out this responsibility.

Annual Budget/Corporate Business Plan
Council will adopt an Annual Budget from 1 June and before 31 August for the ensuing financial year. The budget will deal with each activity on a separate basis and must comply with the standards and principles prescribed by regulations under the Local Government Act, 1995.

As part of the budget process Council will prepare a Corporate Business Plan which will address the activities Council intends to undertake in the ensuing year to achieve its objectives and the key performance indicators that Council will use to assess its performance against its objectives.

The following budget principles will underpin the budget development:

(1) Honest & Accountable - with a framework of reporting that is open and transparent;
(2) Strategic Approach - to the delivery of Council services within Council's strategic priorities;
(3) Forward Financial Planning - with long term financial plans of a minimum of ten years to ensure sustainability of operations and careful consideration of the impact on Council's key strategic financial indicators;
(4) Realistic Budgeting - based on best available information at the time of budget preparation;
(5) Meet Long Term Liabilities - and ensure appropriate funding for infrastructure provisions;

(6) Affordable Rates - balanced against meeting Council objectives and the community's ability to pay with a focus on reducing the reliance on residential rates where possible;
(7) Avoid Cost Shifting - from other levels of government;
(8) New Initiatives - fully costed and evaluated in terms of meeting Council's strategic priorities;
(9) Asset Sales and Debt - will ensure the operations do not rely on asset sales to fund core services. Debt will be used as a strategic tool to fund infrastructure needs;
(10) Financial Control - to minimise Council's exposure to risk;
(11) Cognisance of financial ratios that measure financial sustainability.

The budget performance will be reviewed each year by the FM as per Section 7 of the Local Government (Financial Management) Regulations 1996.

The FM will present to Council, a report that compares budgeted performance to actual performance with explanations for significant budget variances.

Council is solely responsible for approving any change to Council's budget.

The Council will consider Budget Carry Overs at the Mid-Year Budget Review to ensure their consideration for inclusion in the Original Budget for the following year.

Payroll
Records will be maintained in respect all employees of Council showing:

(1) Hours worked and rate of pay
(2) Gross salary or wages
(3) Tax and details of all other payments and deductions
(4) Sick, annual, long service and other leave available and taken
(5) Allocation of time worked on jobs
(6) Superannuation deductions
(7) Salary Sacrifice/Packaging

Salaries and wages will be paid on the basis of hours of attendance recorded on an approved time sheet, except for employees on "no fixed hours" contracts.

Time sheets will be submitted fortnightly by the employee to the Payroll Officer and a copy to their immediate supervisor for authorisation (unless agreed otherwise).

All claims for overtime must be authorised by the relevant manager.

Hours of work, time in lieu etc. will be paid in accordance with Shire of Dowerin Policy.

All annual leave and long service leave must be applied for in writing by employees and authorised by their supervisor prior to commencement of leave.

All sick leave must be authorised by the relevant supervisor as soon as practical after the period of absence, and will be paid in accordance with Shire of Dowerin Policy and the relevant Award.

Additional hours resulting in the accrual of time in lieu or payment of overtime must be approved by the relevant Manager prior to undertaking the additional hours.

A responsible officer shall certify the pay sheets for payments of salaries and wages for each period in the following manner:
(1) I certify that:
(a) The persons named on these pay sheets were actually and bona fide employed for the period shown.
(b) The rates of pay are correct.
(c) The additions and calculations have been checked.

Unclaimed or unpaid salaries or wages will be held in Council's general operating bank account.

Council may make payments of cash advances against salaries or wages earned but unpaid. No advance shall exceed the amount of salary or wage earned in the next pay period and the advance shall be reimbursed on the next date on which salaries and wages are paid. Any such payment is to be approved by the Chief Executive Officer in writing to the Payroll Officer.

Payroll deductions on behalf of employees will be limited to:

(1) Taxation liabilities;
(2) Superannuation liabilities;
(3) Union Fees;
(4) Child Support Agency;
(5) Registered Banking Institutions;
(6) Staff Social Events and Clubs (eg. Christmas Dinner, Staff Social Club);
(7) Corporate Wardrobe Deduction;
(8) Council Rates Deductions (where employees are ratepayers in Council area).

Roles and Responsibilities

Chief Executive Officer

Related Documentation

Nil

Related Legislation/Local Law/Policy/Procedure

Local Government Act 1995

Related Delegation

Review History

24 October 2017 (Item 9.1.3)

26 June 2018 (Item 10.1.8)

New Supplier Approval & Appointment Policy

Policy Owner	Finance and Corporate Services Manager
Distribution	Finance Team
Responsible Officer	Chief Executive Officer
Date Adopted	24 October 2017
File Reference	ORGN-1017121432-29

Objective

To provide guidelines and parameters for the approval and appointment of new suppliers.

Policy

All new suppliers or contractors to the business must be reviewed and accepted in accordance with this policy to ensure that the supplier service is aligned with Council objectives.

Choosing a New Supplier or Contractor

For each new supplier or contractor the following information table must be completed prior to agreeing to services:

Supplier or Contractor Selection Background Information	
Business Name of Supplier or Contractor	
ABN or ACN	
Location of Supplier or Contractor	
Products/Services provided by supplier or contractor (Attach a list if necessary)	
Name of business contact	

For each new supplier or contractor being considered the following checklist must be completed:

Supplier or Contractor Selection Review	
Is the supplier or contractor WALGA approved?	
Is the supplier or contractor pricing competitive? Attach list to this checklist	
What are the payment terms for this supplier or contractor?	
Does the supplier or contractor provide warranties, guarantees etc.?	

Are the suppliers or contractors representatives knowledgeable of the products/ services and industry?	
Is there an alternative to this supplier or contractor, has the alternative supplier or contractor been considered?	

Appointment of Supplier or Contractor

The appointment of a new supplier will be authorised by Finance and Corporate Services Manager (FCSM).

All relevant details of the supplier will be entered into the financial system by Finance Officer once approval is obtained from FCSM.

FCSM will review information entered into the financial system and independently verify the bank account or other payment details of the supplier to ensure payments made are to the correct supplier

Supplier or Contractor Payment Terms

All purchases from suppliers must be supported by a purchase order – refer to the Purchasing and Stock Control policy

Payment terms for all suppliers must be reviewed by Finance Officer annually.

All supplier payment terms must be a minimum of fourteen days.

Any variation to the above must be authorised by FCSM.

All supplier payments are to be reviewed every quarter to ensure that payment terms are adhered to. For payments made to any suppliers earlier or later than the agreed terms, Finance Officer will prepare a report that details the reasons why payment terms have not been adhered to.

This report will be reviewed and authorised by FCSM.

Additional Policies for Suppliers or Contractors

Purchasing Policy
Fuel Stock Control Policy

Roles and Responsibilities

Related Documentation

Related Legislation/Local Law/Policy/Procedure

Related Delegation

Review History

24 October 2017 (Item 9.1.3)

Petty Cash Policy

Policy Owner	Finance Manager
Distribution	All Staff
Responsible Officer	Chief Executive Officer
Date Adopted	26 February 2019
File Reference	Organisation/Governance/Council Policies

Objective

Petty cash should be used to pay for small business expenses up to $30 where payments through accounts payable or credit card are not justified or appropriate.

Policy

Issuing Petty Cash

A petty cash voucher receipt must be completed before any cash is paid out of the petty cash float.

Only up to $30 can be disbursed at any one time.

All petty cash voucher receipts must be approved for payment by either the Finance Officer, Dowerin Home Care Co-ordinator or a Manager.

All petty cash vouchers must be supported by a supplier invoice or receipt to justify the petty cash expenditure.

All completed vouchers must have the following details included:

- Issue date of voucher;
- Name of person who issued the voucher;
- Amount of monies disbursed;
- Details of expense;
- Invoice or receipt; and
- Signature of approval person.

Reconciling Petty Cash

The petty cash float is to be reconciled monthly. This is the responsibility of the Petty Cash Custodian. The Finance Manager will review and sign off on monthly reconciliations.

All the petty cash expenditure must be entered into the financial system once the petty cash has been reconciled.

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Petty Cash Float

Reimbursement of the petty cash float will be authorised by the Finance Manager.

The balance of monies and vouchers must equal the petty cash float before reimbursement.

The shire has two petty cash floats as follows:

- The Shire administration office for $200
- Dowerin Home Care for $300

The petty cash float shall be locked in the safe in the related buildings.

Forms used

Petty cash voucher book receipt
Petty cash reconciliation voucher
Accounts payable reimbursement voucher

Roles and Responsibilities

Finance Officer - Petty Cash Custodian for the Shire Administration office.

Dowerin Home Care Co-ordinator - Petty Cash Custodian for the Dowerin Home Care

Finance Manager - Approval of the reconciliation and reimbursement of the petty cash float.

Related Documentation

Nil

Related Legislation/Local Law/Policy/Procedure

Local Government (Financial Management) Regulation 1996
Finance Authorisation Policy

Related Delegation

Chief Executive Officer

Review History

24 October 2017 (Item 9.1.3)
26 February 2019 (Item 10.2.2)

Elected Member's Fees, Allowances, Reimbursements and Benefits Policy

Policy Owner	Governance and Organisational Development Coordinator
Distribution	Management Team Finance Team
Responsible Officer	Chief Executive Officer
Date Adopted	24 October 2017
File Reference	ORGN-1017121432-27

Objective

- To clearly outline the support and allowances available to the Shire's Elected Members' within the provisions of the Local Government Act 1995 to cover any out of pocket expenses that are incurred in carrying out their function as an Elected Member.
- To establish guidelines in respect to Elected Members' participation in conferences and training.

Policy

Allowances
Elected Member meeting attendance fees and the Shire president's local government allowance are set each year as part of Council's annual budget process. Allowances and fees are to be paid in two instalments in June and December.

- Allowances and fees are to be raised annually by the cost of inflation (the total remuneration in not to exceed the amount set by the Local Government Act 1995):

Allowance in lieu of reimbursement of telephone expenses
All expenses that have been approved for reimbursement under Regulation 32 may be paid as an annual allowance to Council members in lieu of reimbursement under section 5.99A of the Act and Regulation 34A.

Allowance in lieu of reimbursement of information technology expenses
All expenses that have been approved for reimbursement under Regulation 32 may be paid as an annual allowance to Council members in lieu of reimbursement, under section 5.99A of the Act and Regulation 34AA.

Reimbursements for travelling expenses
It is noted that under section 5.98(2)(a) and Regulations 31(1)(b) and 31(4), an Elected Member who incurs travel expenses because of the member's attendance at a Council meeting or meeting of a committee of which he or she is a member, is entitled to be reimbursed.

The expenses shall be paid only on receipt of a formal claim and shall be calculated on the number of kilometres between the President/Elected Member's principal place of residence or work within the Shire to the meeting venue and back.

All claims are to be entered onto the Shire's register and emailed to the Chief Executive Officer at the end of each quarter (as listed above).

Professional Development and Conferences
To enable Elected Members to develop and maintain skills and knowledge relevant to their role as representatives of the Shire training and professional development is encouraged and will be financially supported in accordance with the annual budget allocation.

Opportunities for Elected Members training and Professional Development will be selected by a decision of Council.

Roles and Responsibilities

Related Documentation

Related Legislation/Local Law/Policy/Procedure

Related Delegation

Review History

24 October 2017 (Item 9.1.3)

Safety Bonus Scheme Policy

Policy Owner	Chief Executive Officer
Distribution	Management Team
Responsible Officer	Chief Executive Officer
Date Adopted	26 April 2017
File Reference	ORGN-1017121432-27

Objective

The Shire of Dowerin considers its employees to be its most valuable assets and this policy aims to provide a clear, transparent and equitable system to assist in the teamwork implementation of safety processes and procedures, as far as reasonably practical, to ensure a working environment that is safe and without risk to the health of its employees.

Policy

To support a culture of safety and health, the Shire of Dowerin will commit to providing a Monthly Safety Bonus Scheme. The scheme offers a monthly bonus payment of $50.00 to all outside staff, subject to the following eligibility criteria being satisfied:

Eligibility: Success Criteria
The Safety Bonus Scheme is payable in response to a calendar month that is free from:

- Personal injury;
- Workplace accidents that result in lost time injuries;
- Avoidable damage to machinery;
- Avoidable damage to vehicles; and
- Where all required OSH documentation has been completed to a satisfactory standard as per Supervisor's direction (including but not limited to Risk assessments, SWIMS, Take 5s, Pre-start checklists).

This bonus is part of a suite of initiatives that aims to improve safety of staff and adherence to OSH requirements by outside staff that includes:

- Inclusion of OSH as a formal requirement within Position Descriptions; OSH Training for all staff;
- Adherence to OSH requirements as part of the annual formal performance review process;
- Monthly tool box meetings;
- A formal OSH Committee;
- Ongoing review of OSH policies and procedures.

If any employee is found to be in breach of the Incident Reporting Requirements specified in this policy, in order to receive payment of this Safety Bonus, they will be subject to disciplinary action.

Roles and Responsibilities

Chief Executive Officer
To ensure equitable and transparent application of this policy.

Assets and Works Manager
To ensure all outside staff are aware of this policy and understand its implications; and
To monitor and access adherence to policy requirements

Employees
To ensure they comply with the requirements of this policy.

Related Documentation

9.4. Occupational Safety and Health Key Performance Indicators

Related Legislation/Local Law/Policy/Procedure

Occupational Safety and Health Act 1984 (specifically Part III, Section 19)

Related Delegation

Review History

Gravel Supplies & Rehabilitation Policy

Policy Owner	Chief Executive Officer
Distribution	All Employees
Responsible Officer	Works and Assets Manager
Date Adopted	18 December 2018
File Reference	Organisation/Governance/Council Policies

Objective

To ensure there is adequate supply of road building materials available for Council road works and there is an effective rehabilitation program in place and to ensure arrangements are transparent and comply with the Shire's obligations under sections 3.21 and 3.22 of the Local Government Act 1995.

Policy

Access to Gravel

Council recognises that in order to access gravel it needs to pay a fair price and abide by its own policies and local laws. To this end, Council will undertake the following:

- approach the landowner at least four weeks prior to the time that the works are due to commence, to advise the landowner of the Shire's intention, negotiate compensation and enable the landowner to make any domestic arrangements in relation to stock, etc.
- All gravel pits opened on private property will be reclaimed before the plant shifts to the next programmed job, unless firm arrangements are made with the landowner for not reclaiming.
- If the area is required for dam catchments, all top soil shall be stock piled, or removed if suitable for road building.
- If required by land holder, gravel areas shall be fenced, and suitable gates fitted to fenced area, at Shires expense.
- All care is to be taken to cause the least amount of inconvenience to the landowner as is possible.
- All Gravel Pits are to be rehabilitated in accordance with this Policy.
- Council's preference for payment of gravel is to pay $2.20 including GST per cubic metre for compacted gravel that is removed from private property. The cost will be charged against the particular job or jobs concerned.
- All transactions to be in accordance with relevant legislation and include a written agreement setting out all relevant details, including rehabilitation of the quarry/pit.

Gravel Pit Rehabilitation

The Shire recognises and accepts that gravel pit rehabilitation is necessary to avoid soil compaction, decrease surface drainage, avoid erosion and minimise visual pollution.

1. In general, prior to opening a gravel pit, a plan for the management of the site will be prepared which will include rehabilitation and monitoring.
2. Private operators are required to submit and abide to a gravel pit management plan, which includes rehabilitation and monitoring, before establishing a gravel pit.
3. Wherever possible, new gravel pits will be established on cleared land, not existing bushland and will not be located on a road verge.
4. Where necessary, the visual impacts of an operating gravel pit will be minimised through the establishment of buffers between the pit and visual vantage point/s.

5. Where necessary, the dust and noise impacts of an operating gravel pit will be minimised through the establishment of buffers between the pit and neighbours.
6. Throughout the life of the pit, topsoil, overburden and vegetation will be stockpiled separately ready for respreading in the rehabilitation process.
7. If weeds have developed on the topsoil mounds these should be removed prior to respreading the topsoil.
8. If necessary, drainage structures will be established within the pit, to reduce any ponding and surface erosion.
9. Rehabilitation will be done progressively throughout the life of the gravel pit.
10. The site will be monitored every year and for three years after closure of the pit. If rehabilitation is inadequate, appropriate measures will be taken to ensure success.

Bush Sites

Where a proposed gravel pit is located within bushland, the following will apply:

1. Refer to the *Environmental Protection (Clearing of Native Vegetation) Regulations 2004* and obtain the necessary clearing permits.
2. Prior to opening a gravel pit, seed from local endemic species will be collected from the site and stored for use in the revegetation phase of rehabilitation.
3. The general process of rehabilitation will be to first rip the floor of the pit at 1 metre intervals across the contour. Following ripping the pit needs to be shaped so that the surfaces are as smooth as possible, and the edges are battered down to blend in with the landscape. The batter slopes should be no steeper than 4H:1V. Next, the overburden, and then the topsoil should be returned to the pit. The site should then be cross-ripped at 1m intervals on the contour to encourage plant growth. Finally, the vegetation and debris should be returned to the pit.
4. Seeds collected prior to pit establishment should be scattered on the site at the time of year suited for germination (varies with location) if establishment from respreading vegetation has been inadequate. If a store of seeds is not available, seed from local endemic species should be collected from surrounding areas.
5. If the gravel pit is located on farm land, it will be fenced to exclude stock to help ensure adequate regeneration.

Pastured Sites

1. Prior to establishment of the site, the landowner will be asked how they want the site rehabilitated.
2. For sites to be rehabilitated back to pasture the general process of rehabilitation will be as follows. Firstly, the floor of the pit will be ripped to a depth of at least 50cm along the contour. Following ripping the pit needs to be shaped so that the surfaces are as smooth as possible, and the edges are battered down to blend in with the landscape.

Next, the overburden and then topsoil should be returned to the pit. Pasture seed will be spread.

Abandoned Gravel Pits

1. An amount to be determined by Council as part of the annual budget process will be budgeted each financial year for rehabilitating abandoned gravel pits until all pits are rehabilitated to a satisfactory level.
2. The method for rehabilitation will not change from that mentioned in the section on current gravel pits.
3. If fill is no longer available, spoil from roadworks etc. will be used. Topsoil, if no longer on site, will be carted to the area to ensure regeneration will be satisfactory.
4. The site will be monitored every year for three years after rehabilitation works. If rehabilitation is inadequate, appropriate measures will be taken to ensure success.

Roles and Responsibilities

Chief Executive Officer

The Chief Executive Officer has responsibility to ensure this policy is implemented.

Related Documentation

NIL

Related Legislation/Local Law/Policy/Procedure

Sections 3.21 and 3.22 Local Government Act 1995

Related Delegation

NIL

Review History

18 December 2018 (Item 10.1.1)
Revoked Road Network Supplies from Landowners in Exchange for Work Policy

Corporate Credit Card Policy

Policy Owner	Manager Corporate and Community Services
Distribution	All Employees, Elected Members, Public
Responsible Officer	Chief Executive Officer
Date Adopted	28 March 2017
File Reference	Organisation/Governance/Council Policies

Objective
To regulate the use of Shire of Dowerin Corporate Credit Cards held by employees.

Policy
This policy applies to all officers issued with a corporate credit card. It documents the responsibilities attached to the issue and acceptable use of these cards.

General
Credit Cards assist in achieving efficiencies in the purchasing and payment process as:

- They reduce the steps required to process and pay for a purchase.
- Credit Cards are a more flexible payment tool in order to enhance daily purchasing processes and reduce administrative costs.

These advantages result in prompt payment of suppliers, reduction in paperwork, improved cash management and greater convenience.

Authorised Use and Limits
Shire of Dowerin Corporate Credit Cards are to be used only in pursuit of official Council business.

Corporate Credit Cards may be issued to designated Senior Employees for the Shire of Dowerin:

- Chief Executive Officer (CEO)
- Manager Corporate & Community Services
- Manager Works & Assets

The overall limit of the Shire's corporate credit card facility shall not exceed $20,000. This overall limit can only be increased by Council resolution on the recommendation of the Audit Committee.

The *Local Government Act 1995* does not allow for the issue of Corporate Credit Cards to Elected Members. There are no provisions within the Act which allow an Elected Member to incur a debt, as would be the case with a credit card.

Financial Institution
The Shire's Corporate Credit Cards are to be issued by its financial institution once approved by the CEO.

The Financial institution will verify the card user by requiring identification as per banking legislation policy prior to the issue of a card.

Purchasing and Use of Corporate Credit Cards
Corporate Credit Cards are only be used for purchasing goods and services on behalf of the Shire which is authorised in the current budget. Cardholders must follow the Shire of Dowerin Purchasing Policy. Personal expenditure is prohibited. Corporate Credit Cards are not to be used for cash withdrawals.

Where the purchase has been made via facsimile, telephone, or over the internet an invoice or receipt is required in all circumstances and must contain details of the purchase.

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.

Payments
The Financial Institution of the credit card will supply the Shire with a statement of account each month. The statement will be provided by the Finance Officer to the respective cardholder for certification and the supply of receipts and tax invoices in support of the transactions. All paperwork must be returned to the Finance Officer within 7 days of receiving the statement.

Once the cardholder has returned the statement, it must be signed by an authorised Senior Employee. The Shire President will be required to authorise and sign the CEO's statement.

If the credit card is being used by another staff member apart from the cardholder, a Credit Card Authorisation Form must be completed and approved.

All invoices/receipts must include the suppliers ABN, amount and whether GST applies, and a brief description of goods and services purchased.

Stolen or Lost Credit Card
In the event that the cardholder loses or misplaces their credit card they will need to report this to the issuing financial institution and the CEO or the Manager of Corporate and Community Services.

Lost Invoices / Receipt
In the event the cardholder is unable to produce a valid tax invoice/receipt, a declaration must be submitted by the cardholder confirming the nature of the item purchased, the item was work related expenditure and the reason a tax invoice or receipt was not provided.

Register of Corporate Credit Card Holders
The Manager of Corporate and Community Services will maintain a register of credit cardholders.

Misuse of Corporate Credit Cards
Cards which show unreasonable, excessive or unauthorised expenditure will be reported to the CEO, will be subject to audit and may result in the withdrawal of the card from the officer. Any personal expenditure charged by the cardholder will be treated as a serious breach of policy and disciplinary action taken.

Reward/Bonus Points
Where the corporate credit cards carry rewards or bonus points, under no circumstances are rewards or bonus points to be redeemed for an officer's private benefit. These rewards or points will be accumulated in the name of the Shire of Dowerin. The CEO will decide how these points are to be utilised.

Return of Cards
In the event that a cardholder ceases employment, takes an extended period of leave, or they move to a position which does not require the use of a Corporate Credit Card, the cardholder must notify the CEO two weeks before the date to arrange cancellation of use and to ensure all receipts and their account has been settled.

All surrendered Corporate Credit Cards must be returned to the Manager of Corporate and Community Services or the CEO who will make arrangements for the destruction of the card and advise the financial institution to cancel the credit card.

Roles and Responsibilities
Chief Executive Officer
Council approve the following conditions for the CEO;

- That a Corporate Credit Card be issued;
- The Shire President must approve the monthly statements for the CEO;
- All other terms and conditions set out in this policy and other relevant policies must apply.

Manager Corporate and Community Services
The Manager Corporate and Community Services must;

- Arrange the issues and cancellations of Corporate Credit Cards when requested by the CEO;
- Maintain a register of all cardholders;
- Provide cardholders with the Policy, and where required any changes to the policy and their responsibilities and obligations as cardholders; and
- Arrange for all cardholders to sign the Corporate Credit Cardholder Agreement on receipt of the issue of the new card, ensure the signed agreement is placed in the Council's Information Management System and recorded in the Corporate Credit Card Register.

Cardholders Responsibilities and Obligations
Cardholders must;

- All holders of Corporate Credit Cards must refer to the following guidelines which is provided by the financial institution at the time of the card issue;
- Keep their card in a safe place and under no circumstances permit another person to use their card to make a purchase or use the card for cash advances;
- Only make purchases over the internet on secure sites receiving the approval by the CEO or relevant Manager has provided written approval;
- Report immediately any lost or stolen credit card to the financial institution issuing the card, the CEO or the Manager Corporate and Community Services;
- Adhere to policy and procedures in relation to Corporate Credit Policy and Council's Purchasing Policy; and
- Ensure all receipts and tax invoices are kept and submitted to Finance Officer within 7 (seven) days of receipt.

Related Documentation
Corporate Card User Agreement
National Australia Bank Commercial Card application Form
Corporate Credit Card Authorisation Form

Related Legislation/Local Law/Policy/Procedure
The use of Corporate Credit Cards is not specifically mentioned in the *Local Government Act 1995.* However the impacts of the use and control of corporate credit cards are related to the following sections of the *Local Government Act 1995:*

- Section 6.5(a) requires the CEO to ensure that there are kept, in accordance with regulations, proper accounts and records of the transactions and affairs of the local government.
- *Local Government (Financial Management) Regulations 1996 – Regulation 11(1)(a)* requires local governments to develop procedures for the authorisation of, and the payment of, accounts to ensure that there is effective security for, and properly authorised use of cheques, credit cards, computer encryption devices and passwords, purchasing cards and any other devices or methods by which goods, services, money or other benefits may be optained.

Related Delegation

Nil

Review History
Adopted 17 November 2015
Reviewed 28 May 2019 – Item 10.2.1

Residential and Commercial Standard Crossing (Crossover) Policy

Policy Owner	Asset and Works Manager
Distribution	All Employees, Elected Members , Public
Responsible Officer	Chief Executive Officer
Date Adopted	28 March 2017
File Reference	ORGN-1017121432-66

Objective

The objectives of this Policy are to ensure transparency, equity and consistency in the provision of 'standard crossing' (or cross over as they are usually called) on private residential and commercial properties in the Shire of Dowerin and sets out what constitutes a cross over from the paved portion of a road to a property boundary for use by vehicles.

Policy

This policy applies to all officers involved in dealing with applications for cross over.

Definition: A standard cross over comprises either:

a. A minimum of 100 mm reinforced concrete over a compacted sub-base; or
b. A minimum of 50 mm thick brick pavers; or
c. As approved by Council.

Residential and Commercial properties as defined under Local Scheme Zones in the Shire of Dowerin (Scheme 2) are subject to these policy conditions.

This policy does not apply to Industrial Properties as defined under Local Scheme Zones in the Shire of Dowerin (Scheme 2).

A cross over must be built from the paved portion of a road or kerb to the front boundary line and tied in or made contiguous with abutting structures (kerbs, footpaths and driveways).

The minimum width of the standard cross over shall be 3.0 meters from residences,4.0 meters for commercial.

The Shire of Dowerin will contribute to one crossing per property only.

Where the ratepayer elects to construct a crossover, the Shire's contribution shall not exceed 50% of the cost of the crossover as defined in this policy and as per Council adopted Fees and Charges Schedule of its annual budget.
The square metres calculated shall be the length (from the road kerb to the property line) multiplied by the nominal width. The applicant must produce documents stating the full cost of the crossing.

Roles and Responsibilities

Chief Executive Officer

The CEO is responsible for implementing this policy and for bringing it to Council for review.

Management Team
The Management team is responsible for ensuring their direct reports are aware of, and comply with, this policy./

Related Documentation

Related Legislation/Local Law/Policy/Procedure

Regulation 15 of the Local Government (Uniform Local Provisions) Regulations 1996, and Clauses 2.4 and 2.5 of the Shire of Dowerin Activities on Thoroughfares Local Law relate to temporary crossovres, and removal of crossovers.

Related Delegation

Review History

Purchasing Policy

Policy Owner	Finance Manager
Distribution	All Employees, Elected Members , Public
Responsible Officer	Chief Executive Officer
Date Adopted	26 June 2018
File Reference	ORGN-1017121432-68

Objective

The objectives of this Policy are to ensure that all purchasing activities:

- demonstrate that best value for money is attained for the Shire of Dowerin;
- are compliant with relevant legislations, including the Act and Regulations;
- are recorded in compliance with the State Records Act 2000 and associated records management practices and procedures of the Shire of Dowerin;
- mitigate probity risk, by establishing consistent and demonstrated processes that promotes openness, transparency, fairness and equity to all potential suppliers;
- ensure that the sustainable benefits, such as environmental, social and local economic factors are considered in the overall value for money assessment; and
- are conducted in a consistent and efficient manner across the Shire of Dowerin and that ethical decision making is demonstrated.

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.

Ethis & Integrity/Code of Conduct

All officers and employees of the Shire of Dowerin undertaking purchasing activities must have regard for the Code of Conduct requirements and shall observe the highest standards of ethics and integrity. All officers and employees of the Shire of Dowerin must act in an honest and professional manner at all times which supports the standing of the Shire of Dowerin.

Purchasing Principles

The following principles, standards and behaviours must be observed and enforced through all stages of the purchasing process to ensure the fair and equitable treatment of all parties:

- full accountability shall be taken for all purchasing decisions and the efficient, effective and proper expenditure of public monies based on achieving value for money;
- all purchasing practices shall comply with relevant legislation, regulations, and requirements consistent with the Shire of Dowerin's policies and Code of Conduct;
- purchasing is to be undertaken on a competitive basis where all potential suppliers are treated impartially, honestly and consistently;
- all processes, evaluations and decisions shall be transparent, free from bias and fully documented in accordance with applicable policies, audit requirements and relevant legislation;
- any actual or perceived conflicts of interest are to be identified, disclosed and appropriately managed; and any information provided to the Shire of

Dowerin's by a supplier shall be treated as commercial-in-confidence and should not be released unless authorised by the supplier or relevant legislation.

Value for Money
Value for money is determined when the consideration of price, risk and qualitative factors that are assessed to determine the most advantageous outcome to be achieved for the Shire of Dowerin. As such, purchasing decisions must be made with greater consideration than obtaining lowest price, but also to incorporate qualitative and risk factors into the decision.

Application
An assessment of the best value for money outcome for any purchasing process should consider:

- all relevant Total Costs of Ownership (TCO) and benefits including transaction costs associated with acquisition, delivery, distribution, as well as other costs such as but not limited to holding costs, consumables, deployment, 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, including but not limited to an assessment of levels and currency of compliances, value adds offered, warranties, guarantees, repair and replacement policies, ease of inspection, ease of after sales service, ease of communications etc.financial viability and capacity to supply without risk of default (competency of the prospective suppliers in terms of managerial and technical capabilities and compliance history);
- a strong element of competition in the allocation of orders or the awarding of contracts. This is achieved by obtaining a sufficient number of competitive quotations wherever practicable;
- the safety requirements associated with both the product design and specification offered by suppliers and the evaluation of risk when considering purchasing goods and services from suppliers;
- purchasing of goods and services from suppliers that demonstrate sustainable benefits and good corporate social responsibility; and
- providing opportunities for businesses within the Shire of Dowerin's boundaries to be given the opportunity to quote for providing goods and services wherever possible.

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.

Position	Amount
Chief Executive Officer	Unlimited
Assets and Works Manager	$50,000
Finance Manager	$50,000
Depot Supervisor	$ 5,000
Acting Manager of Corporate and Community Services	$ 5,000
Finance Officers	$ 2,000

Administration Staff	$ 500
Parks and Gardens	$ 500

Purchasing Value Definition
Determining purchasing value is to be based on the following considerations:

1. Exclusive of Goods and Services Tax (GST);
2. The actual or expected value of a contract over the full contract period,including all options to extend; or the extent to which it could be reasonably expected that the Shire of Dowerin will continue to purchase a particular category of goods, services or works and what total value is or could be reasonably expected to be purchased. A best practice suggestion is that if a purchasing threshold is reached within three years for a particular category of goods, services or works, then the purchasing requirement under the relevant threshold (including the tender threshold) must apply.
3. Must incorporate any variation to the scope of the purchase and be limited to a 10% tolerance of the original purchasing value.

Purchasing from Existing Contracts
Where the Shire of Dowerin has an existing contract in place, it must ensure that goods and services required are purchased under these contracts to the extent that the scope of the contract allows. When planning the purchase, the Shire of Dowerin must consult its Contracts Register in the first instance before seeking to obtain quotes and tenders on its own accord.

Purchasing Thresholds

Purchase Value Threshold	Purchasing Requirement
Up to $5,000	Purchase directly from a supplier using a Purchasing or Corporate Credit Card issued by the Shire of Dowerin, or obtain at least one (1) oral or written quotation from a suitable supplier, either from:
	• an existing panel of pre-qualified suppliers administered by the Shire of Dowerin; or • a pre-qualified supplier on the WALGA Preferred Supply Program or State Government Common Use Arrangement (CUA); or • from the open market.
Over $5,000 and up to $50,000	Obtain at least three (3) written quotations from suppliers following a brief outlining the specified requirement, either from: • an existing panel of pre-qualified suppliers administered by the Shire of Dowerin; or • a pre-qualified supplier on the WALGA Preferred Supply Program or State Government CUA; or • from the open market.
Over $50,000 and up to $150,000	Obtain at least three (3) written quotations from suppliers by formal invitation under a Request for Quotation, containing price and detailed specification of goods and services required. The procurement decision is to be based on pre-determined evaluation criteria that assesses all value for money considerations in accordance with the definition stated within this Policy. Quotations within this threshold may be obtained from: • an existing panel of pre-qualified suppliers administered by the Shire of Dowerin; or • a pre-qualified supplier on the WALGA Preferred Supply Program or State Government CUA; or • from the open market. Requests for quotation from a pre-qualified panel of suppliers (whether administered by the Shire of Dowerin through the WALGA preferred supply program or State Government CUA) are not required to be invited using a Request for Quotation form, however at least three written quotes are still required to be obtained.

Over $150,000	Where the purchasing requirement is not suitable to be met through a panel of pre-qualified suppliers, or any other tender- exempt arrangement as listed in this Policy, it is mandatory to conduct a public Request for Tender process in accordance with Part 4 of the *Local Government (Functions and General) Regulations 1996,* this policy and the Shire of Dowerin's tender procedures. The procurement decision is to be based on pre-determined evaluation criteria that assesses all value for money considerations in accordance with the definition stated within this Policy.

Tendering Exemptions
An exemption to publicly invite tenders may apply in the following instances:

- the purchase is obtained from a pre-qualified supplier under the WALGA Preferred Supply Program or State Government Common Use Arrangement.
- the purchase is from a Regional Local Government or another Local Government;
- the purchase is from a pre-qualified supplier under a Panel established by the Shire of Dowerin; or
- any of the other exclusions under Regulation 11 of the Regulations apply.

When making a decision about whether to conduct a public Tender or utilise a Tender exempt arrangement, the Local Government should compare the cost and benefits of both processes. The compliance requirements, time constraints, costs and risks associated with a public Tender should be evaluated against the value delivered by such a process. This should then be compared with the costs and benefits of using a Tender exempt arrangement which include direct access to pre- qualified suppliers, full regulatory compliance, risk mitigation, administrative efficiencies and cost savings.

Inviting Tenders Under the Tender Threshold
Where considered appropriate and beneficial, the Shire of Dowerin may consider publicly advertising Tenders in lieu of undertaking a Request for Quotation for purchases under the tender threshold. This decision should be made after considering the benefits of this approach in comparison with the costs, risks, timeliness and compliance requirements and also whether the purchasing requirement can be met through the WALGA Preferred Supply Program or State Government CUA.

If a decision is made to undertake a public Tender for contracts expected to be $150,000 or less in value, the Shire of Dowerin's tendering procedures must be followed in full.

Sole Source of Supply
Where the purchasing requirement is over the value of $5,000 and of a unique nature that can only be supplied from one supplier, the purchase is permitted without undertaking a tender or quotation process. This is only permitted in circumstances where the Shire of Dowerin is satisfied and can evidence that there is only one source of supply for those goods, services or works. The Shire of Dowerin must use its best endeavors to determine if the sole source of supply is genuine by exploring if there are any alternative sources of supply. Once determined, the justification must be endorsed by either the Chief Executive Officer, Finance and Corporate Services Manager or Assets and Works Manager, prior to a contract being entered into. From time to time, the Shire of Dowerin may publicly invite an expression of interest to effectively determine that one sole source of supply still genuinely exists.

Anti-Avoidance
The Shire of Dowerin shall not enter into two or more contracts or create multiple purchase order transactions of a similar nature for the purpose of "splitting" the value of the purchase or contract to take the value of the consideration of the purchase below a particular purchasing threshold, particularly in relation to Tenders and to avoid the need to call a public Tender.

Emergency Purchases

An emergency purchase is defined as an unanticipated and unbudgeted purchase which is required in response to an emergency situation as provided for in the Local Government Act 1995. In such instances, quotes and tenders are not required to be obtained prior to the purchase being undertaken.

An emergency purchase does not relate to purchases not planned for due to time constraints. Every effort must be made to anticipate purchases required by the Shire of Dowerin in advance and to allow sufficient time to obtain quotes and tenders, whichever may apply.

Records Management
Records of all purchasing activity must be retained in compliance with the State Records Act 2000 (WA), the Shire of Dowerin's Records Management Policy and associated procurement procedures.

For each procurement activity, such documents may include:

- The Procurement initiation document such as a procurement business case which justifies the need for a contract to be created (where applicable);
    - Procurement Planning and approval documentation which describes how the procurement is to be undertaken to create and manage the contract;
- Request for Quotation/Tender documentation;
- Copy of public advertisement inviting tenders, or the notice of private invitation (whichever is applicable);
- Copies of quotes/tenders received;
- Evaluation documentation, including individual evaluators note and clarifications sought;
- Negotiation documents such as negotiation plans and negotiation logs;
- Approval of award documentation;
- All correspondence to respondents notifying of the outcome to award acontract;
- Contract Management Plans which describes how the contract will be managed; and copies of contract(s) with supplier(s) formed from the procurement process.

Occupational Safety and Health
An underlying principle of purchasing, hiring, leasing, or receiving donated goods, is to ensure that hazards are not introduced into the workplace without assessing the risk and implementing controls to mitigate the risk. Items that are purchased must be assessed for their safety and health risks and other factors such as cleaning, maintenance and training staff in their use. Consultation shall be undertaken with the relevant employee(s) when new plant/equipment/substances are being purchased for the first time and where there is the potential for significant detrimental impact on health and safety of any person. The consultation process shall be documented by file or diary notes and retained as a record.

Prior to purchasing a new item, the authorised officer shall consider occupational safety and health issues as listed in the OSH Purchasing & Risk assessment of New Plant or Equipment Form (Found in the OSH Manual at 2.2.1). All new chemicals (including cleaning products) must include a Safety Data Sheet which will be provided to the Shire of Dowerin OSH Officer.

Buy Local Policy
As much as practicable, the Shire of Dowerin must:

- where appropriate, consider buying practices, procedures and specifications that do not unfairly disadvantage local businesses;
- consider indirect benefits that have flow on benefits for local suppliers (i.e. servicing and support);
- ensure that procurement plans address local business capability and local content;
- 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; and
- provide adequate and consistent information to potential suppliers.

To this extent, a qualitative weighting may be afforded in the evaluation of quotes and tenders where suppliers are located within the boundaries of the Shire of Dowerin, or substantially demonstrate a benefit or contribution to the local economy.

Panels of Pre-Qualified Suppliers
In accordance with Regulation 24AC of the Local Government (Functions and General) Regulations 1996, a Panel of Pre-qualified Suppliers ("Panel") may be created where most of the following factors apply:

- the Shire of Dowerin determines that a range of similar goods and services are required to be purchased on a continuing and regular basis;
    - there are numerous potential suppliers in the local and regional procurement-related market sector(s) that satisfy the test of 'value for money';
- the purchasing activity under the intended Panel is assessed as being of a low to medium risk;
- the Panel will streamline and will improve procurement processes; and
    - the Shire of Dowerin has the capability to establish, manage the risks and achieve the benefits expected of the proposed Panel.
-

The Shire of Dowerin will endeavour to ensure that Panels will not be created unless most of the above factors are firmly and quantifiably established.

Should the Shire of Dowerin determine that a Panel is beneficial to be created, it must do so in accordance with Part 4, Division 3 the Local Government (Functions and General) Regulations 1996.

Panels may be established for one supply requirement, or a number of similar supply requirements under defined categories within the Panel.

Panels may be established for a minimum of two (2) years and for a maximum length of time deemed appropriate by the Shire of Dowerin.

Evaluation criteria must be determined and communicated in the application process by which applications will be assessed and accepted.

Where a Panel is to be established, the Shire of Dowerin will endeavour to appoint at least three (3) suppliers to each category, on the basis that best value for money is demonstrated. Where less than three (3) suppliers are appointed to each category within the Panel, the category is not to be established.

In each invitation to apply to become a pre-qualified supplier (through a procurement process advertised through a state-wide notice), the Shire of Dowerin must state the expected number of suppliers it intends to put on the panel.

Should a Panel member leave the Panel, they may be replaced by the next ranked Panel member determined in the value for money assessment should the supplier agree to do so, with this intention to be disclosed in the detailed information set out under Regulation 24AD(5)(d) and (e) when establishing the Panel.

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 must either prescribe whether the Shire of Dowerin intends to:

i. Obtain quotations from each pre-qualified supplier on the Panel with respect to all purchases, in accordance with Clause 11.4; or
ii. Purchase goods and services exclusively from any pre-qualified supplier appointed to that Panel, and under what circumstances; or
iii. Develop a ranking system for selection to the Panel, with work awarded in accordance with Clause 11.3(b).

In considering the distribution of work among Panel members, the detailed information must 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 Regulation 24AD(5)(f) when establishing the Panel. The Shire of Dowerin is to 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. 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. 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 of Dowerin may then invite suppliers that are not pre- qualified under the Panel, in accordance with the Purchasing Thresholds stated in section 5.5 of this Policy. When a ranking system is established, the Panel must 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.

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 member (within each category, if applicable) of the Panel for each purchasing requirement, whether a ranking system is to be established, or otherwise.

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 on the Shire of Dowerin's electronic records system. A separate file is to be maintained for each quotation process made under each Panel that captures all communications between the Shire of Dowerin and Panel members.

Records of all communications with Panel members, with respect to the quotation process and all subsequent purchases made through the Panel, must be kept. For the creation of a Panel, this includes:

- The Procurement initiation document such as a procurement business case which justifies the need for a Panel to be created;
- Procurement Planning and approval documentation which describes how the procurement is to be undertaken to create and manage the Panel;
- Request for Applications documentation;
- Copy of public advertisement inviting applications;
- Copies of applications received;
- Evaluation documentation, including clarifications sought;

- Negotiation documents such as negotiation plans and negotiation logs;
- Approval of award documentation;
- All correspondence to applicants notifying of the establishment and composition of the Panel such as award letters;
- Contract Management Plans which describes how the contract will be managed; and
- Copies of framework agreements entered into with pre-qualified suppliers.

The Shire of Dowerin is also to retain itemised records of all requests for quotation, including quotations received from pre-qualified suppliers and contracts awarded to Panel members. A unique reference number shall be applied to all records relating to each quotation process, which is to also be quoted on each purchase order issued under the Contract. Information with regards to the Panel offerings, including details of suppliers appointed to the Panel, must be kept up to date, consistent and made available for access by all officers and employees of the Shire of Dowerin.

Roles and Responsibilities

Chief Executive Officer
The CEO is responsible for implementing this policy and for bringing it to Council for review.

Management Team
The Management team is responsible for ensuring their direct reports are aware of, and comply with, this policy.

Related Documentation

Related Legislation/Local Law/Policy/Procedure

The requirements that must be complied with by the Shire of Dowerin, including purchasing thresholds and processes, are prescribed within the Regulations, this Policy and associated purchasing procedures in effect at the Shire of Dowerin.

Purchasing that is $150,000 or below in total value (excluding GST) must be in accordance with the purchasing requirements under the relevant threshold as defined under section 5.5 of this Purchasing Policy.

Purchasing that exceeds $150,000 in total value (excluding GST) must be put to public Tender when it is determined that a regulatory Tender exemption, as stated under 5.6 of this Policy is not deemed to be suitable.

Related Delegation

Review History

28 March 2017 (Item 10.1.8)

26 June 2018 (Item 10.1.8)

Occupational Safety, Health & Environmental Policy

Policy Owner	Manager Works & Assets
Distribution	All Employees, Elected Members, Public
Responsible Officer	Chief Executive Officer
Date Adopted	26 March 2019
File Reference	Organisation/Governance/Council Policies

Objective

The Shire of Dowerin is committed to providing and maintaining an environmentally conscious, 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.

Policy

The Shire of Dowerin seeks to efficiently provide a wide range of vital services to residents and visitors to our region.

Responsibilities for addressing safety, health and environmental concerns are shared by everyone at the Shire of Dowerin. 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 and environmental 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 Dowerin are required to report in a timely manner any incident, hazard or issues that are identified as posing a risk to health, safety or to the environment. These are promptly managed in accordance with the hierarchy of risk controls and accepted risk management principles.

At the Shire of Dowerin, we vigorously monitor our environmental impact and we are committed to continually improving our environmental performance through the prevention of pollution, efficient use of resources, waste minimisation, reuse and recycling practices. Our environmental intent is to ensure that our operations are conducted in a manner that contributes to the overall environmental sustainability of Australia.

We are proud of our commitment 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 and Environmental Management Plan.

Our Safety, Health and Environmental Management Plan is supported by a procedural framework intended to guide our employees and subcontractors to work safely and in an environmentally 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 and Environmental Policy and our supporting management systems documentation are regularly reviewed in line with continual improvement and occupational health and safety management system recommendations.

Roles and Responsibilities

Chief Executive Officer
The Chief Executive Officer has a responsibility to ensure this policy is implemented.

Managers and Supervisors
Managers and supervisors have a responsibility to ensure employees are aware of this policy.

Related Documentation

Related Legislation/Local Law/Policy/Procedure

Occupational Health and Safety Act 1984
Occupational Health and Safety Regulations 1996
Australian Standard AS 4801 – Occupational Health and Safety Management Systems

Related Delegation

Review History

30 September 2016

28 February 2017

27 February 2018

26 March 2019(Item 10.2.1)

Recognising Council Service Policy

Policy Owner	Governance and Orgnanisational Development Coordinator
Distribution	Organisation
Responsible Officer	Chief Executive Officer
Date Adopted	24 October 2017
File Reference	ORGN-1017121432-72

Objective

To promote and encourage a loyal, competent and motivated workforce; and to officially recognise the ongoing contribution, dedication and service of Elected members to Council and the community.

Policy

To ensure that employees and elected members are acknowledged and recognised for their length of service periodically during their time of service to Council.

Employees

This policy recognises the importance of long serving employees in maintaining an effective and efficient workplace. The contribution made by such individuals to the ongoing operation of the Council and therefore the community is significant and worthy of recognition.

During Employment

In order to recognise long serving employees, at 30 March each year, a report will be prepared by Human Resources officers listing all employees who have attained, or will attain, 10, 15, 20, 25, 30, 35 or 40 years service with the Shire of Dowerin within that calendar year.

Schedule of Employee Service Milestones

Service	Gift
10 Years	Plaque and voucher to value of $100.00
15 Years	Plaque and voucher to value of $150.00
20 Years	Plaque and Voucher to value of $200.00
25 Years	Plaque and Voucher to value of $250.00
30 Years	Plaque and Voucher to value of $300.00
35 Years	Plaque and Voucher to value of $350.00
40 Years	Plaque and Voucher to value of $400.00

The plaque and gift voucher are to be presented to the employee by the President or Chief Executive Officer at an annual Council function.

Employee Resignation or Retirement

The Shire may recognise employees with over 10 years of continuous service on resignation or retirement, by way of a suitable function. The President or CEO may make a presentation in the form of a gift voucher on behalf of the Shire to a resigning or retiring employee, subject to that employee having completed a minimum of 10 years commendable and continuous service.

The method of determining the level of expenditure for such gift shall be the provision of up to $20 for every year-of-service, with each situation being assessed on its merits.

Elected Members

This policy allows for official recognition of the dedication, service and commitment of Elected Members to the community.

Retirement of Elected Members – Certificate, Plaque and Gift
Council shall present the following to council members who retire either voluntarily or through the election process.

1. 4 years - a framed certificate with appropriate wording listing the elected member.
2. 8 years - a plaque and gift for Councillors who have completed two terms (8) years of service based on a minimum of $100 plus $20 for each additional year of completed service.
3. 12 years - a plaque and gift for Councillors who have completed three terms (12) years of service based on a minimum of $200 plus $20 for each additional year of completed service.
4. 20 years - a plaque and gift for Councillors who have completed 20 years of service based on a minimum of $500 plus $20 for each additional year of completed service.

Presentation of certificates, plaques and gifts:

- will occur at an ordinary meeting of Council as soon as practical following conclusion of an Elected Member's term,
- should be recorded in the minutes of the meeting under the President's Presentations, and
- will be at the discretion of Council who will give due consideration to each occasion on individual merit.

Disqualified Councillors
Any Councillor who is disqualified from office under the *Local Government Act 1995* shall not be eligible for recognition.

Christmas/End of Year Break-Up
Council will provide an amount determined by Council within the Annual Budget to allow for a joint Councillors, staff and partners Christmas/End of Year break-up function each year.

Tributes to Employees and Councillors in the Event of Illness/Accident or Bereavement
The President is authorised to acknowledge Councillors or their immediate family and the CEO is authorised to acknowledge staff members in the event of hospitalisation, accident or bereavement (via card, flowers, chocolates, small gift etc or if requested in lieu, a donation to a nominated charity).

Value of gift to be up to $75.00.

Recognition of Significant Achievements
The President is authorised to acknowledge significant achievements by Councillors (via card and flowers or small gift).

The CEO is authorised to acknowledge significant achievements by staff members e.g. birth of a child (via card and flowers or small gift).

The value of these tribute, gift or donation referred to above is to be up to $75.00.

Roles and Responsibilities

Chief Executive Officer
The CEO and President are responsible for the application of this policy.

Governance and Organisational Coordinator
The Governance and Organisational Coordinator will administer this policy.

Related Documentation

Related Legislation/Local Law/Policy/Procedure

Related Delegation

Review History

20 December 2016

POLICY NUMBER	-	
POLICY SUBJECT	-	Employee Health & Well Being Policy
DATE ADOPTED	-	15 August 2017
POLICY OWNER	-	Chief Executive Officer
DISTRIBUTION	-	Elected Members, All Employees. Public
RESPONSIBLE OFFICER	-	Chief Executive Officer
REVIEWED	-	20 August 2019 (CMRef 0033)

Objective

This policy aims to create a workplace culture that supports and encourages the health and well-being of our employees. The Shire will work in partnership with our insurer, LGIS, to implement the initiatives outlined in this policy.

Policy

Wellbeing Program
LGIS Municipal Workcare Scheme has developed a preferred supplier arrangement, and it is through this that the Shire of Dowerin offers employees access to health services.

The Shire of Dowerin is provided with a range of health services such as:

- Health Assessments
- Skin Cancer Screenings
- Flu Vaccinations
- Health Seminars / Workshops
- Corporate Massage
- Audiometric testing
- Healthy Lifestyle Programs (such as walking challenges, quit smoking programs, support from a nutritionist or exercise physiologist)
- Ergonomic Assessments
- Manual Task Training

Periodically throughout the year, the Shire will promote and make available to employees a selection of these services. As the services are dependent on funding, limited spaces may be available however every effort will be made to provide these services to those employees interested in participating.

Provider
Contact LGIS Health & Wellbeing Program Manager to determine Shire of Dowerin's annual funding allocation and arrange services.

Swimming Pool and Gym Membership Subsidy
To encourage fitness and general wellbeing the Shire of Dowerin offers to all permanent staff members, a non-transferable, non-redeemable adult membership to the Dowerin All–hours Gym and a non-transferable, non-redeemable adult/family pass for the Dowerin Memorial Swimming Pool. Staff are required to cover the cost of the New Gym Joining Fee and a Replacement Card (should they lose theirs).

Staff Support Services
The Shire of Dowerin offers staff support services, in the form of confidential counselling services through LGIS, to assist employees experiencing personal and / or work related issues.

The services are offered to all employees of the Shire and are designed to be short-term.

Use of the services provided is on a voluntary basis and is free to employees.

If a problem cannot be resolved by the individual's own efforts or through other means, the LGIS counselling service can be accessed by:

Manager Referral - in some cases, managers may suggest to employees that they may benefit from utilising the counselling service. In this case referral to LGIS counselling services should be kept confidential between the manager and the employee; or

Internal Contact – employees may contact the CEO to organise referral. Alternatively, employees may access the service at their own discretion. Workers and managers can access the service by phone or email (face to face if availability permits) enabling them to receive confidential counselling support wherever they are based.

Number of Sessions
The counselling services provided by LGIS are primarily 'stress counselling' and of a short-term nature. Sessions are generally one hour in duration. The service is available between 8.30am and 5.00pm Mondays to Fridays. Sessions are predominantly phone based. Upon special request, face to face counselling can be organised depending on availability.

If the psychologist considers the issue to require ongoing counselling or long term therapy, resources will be provided to the employee to access alternative support (for example, through the Better Access scheme via a doctor's referral or local resources available within the community).

Leave Provisions
In the event that the employee desires to ensure that their manager is not aware that they are undertaking counselling, then the employee should organise sessions to be completed during non-working hours. The arrangement for taking time off during work hours will be the same as for any form of absence from the workplace, including time in lieu, however the manager does not need to be informed of the referral or the specifics of the matter.

Confidentiality
Information on all referrals to LGIS counselling services will be in strict confidence. Confidentiality means that the Shire of Dowerin will not receive any information from LGIS concerning the employee's problem. Employees will need to provide written consent to release their personal information, should they choose to share their counselling information to a third party.

Provider
LGIS counselling services should be contacted by the employee for an appointment.

Roles and Responsibilities

Chief Executive Officer
The Chief Executive Officer has responsibility to ensure this policy is implemented in an open and transparent manner.

Managers and Supervisors
Managers and Supervisors have responsibility to ensure employees are aware of this policy and actively promote and supports its implementation.

Employees
Employees have responsibility to support each other to access health and wellbeing initiatives.

Related Documentation
Nil

Related Legislation/Local Law/Policy/Procedure
Nil

Related Delegation
Nil

POLICY NUMBER	-	
POLICY SUBJECT	-	Grievances, Investigations and Resolution Policy
DATE ADOPTED	-	20 August 2019 (CMRef 0034)
POLICY OWNER	-	Chief Executive Officer
DISTRIBUTION	-	Elected Members, All Employees. Public
RESPONSIBLE OFFICER	-	Chief Executive Officer
REVIEWED	-	

Policy Statement
All employees have a right to express any genuine grievances or complaints via an impartial internal process. All employees involved in a grievance process are expected to participate in good faith. For the purposes of this policy, the term "employee/s" will extend to cover contractors, volunteers and any person performing work for or with the Shire of Dowerin in any capacity.

Roles
Complainant: An employee who raises a complaint about a matter regarding the workplace.

Respondent: An employee who is alleged to have acted in a manner which caused the Complainant to raise a complaint.

Support Person: A Complainant and/or a Respondent may choose to bring a Support Person with them to a meeting, where practicable. The role of a Support Person is not to advocate on behalf of anyone, but to simply provide emotional support.

Witness: A person (including an employee) who is requested by the Shire of Dowerin to assist the process by providing relevant information regarding the complaint.

What to do if you have a Complaint?
If an employee (Complainant) is the victim of behaviour of another employee (Respondent) which is inconsistent with the Shire of Dowerin's policies, procedures or guidelines (Policies), the Complainant should, where reasonable or practicable, first approach the Respondent for an informal discussion. If the nature of the complaint is deemed to be sufficiently serious, the complainant should contact their Manager or the CEO directly.

If the inappropriate behaviour continues, the Complainant is encouraged to make a formal complaint to their Manager. If the Manager is the Respondent in the matter or if the employee feels uncomfortable approaching their Manager, the Complainant should approach the CEO.

The employee who receives the complaint must contact the CEO and decide upon the most appropriate way to take the matter forward, whether it is an informal discussion with the Complainant and/or the Respondent, or the commencement of a formal investigation of the complaint.

Key Principles in the Complaint Resolution Process
The following principles are necessary for the fair investigation and resolution of a complaint:

- Confidential – Only the employees directly investigating or addressing the complaint will have access to the information about the complaint. The Shire of Dowerin may inform or appoint a third party to investigate or advise on the investigation. All parties involved in dealing with a complaint are required to keep the matter

confidential. Information will only be placed on an employee's personal file if they are disciplined as a result of the complaint;

- Impartial (fair/unbiased) – Both parties will have an opportunity to put their case forward. No assumptions are made and no action will be taken until available and relevant information has been collected and considered;
- Sensitive – The employees who assist in responding to complaints should be specifically trained or equipped to treat all complaints sensitively and ensure the process is free of coercion or intimidation;
- Timely – The Shire of Dowerin aims to deal with all complaints as quickly as possible and in accordance with any legislative requirements;
- Documented – All complaints and investigations must be documented. In formal grievance processes, records must be kept of all documents collected and/or drafted as part of that process. For more informal processes, a file note or note in a diary may be sufficient;
- Natural Justice – The principles of natural justice provide that:
    - a Respondent against whom allegations are made as part of a grievance process has the right to respond to the allegations before any determination is made;
    - a Respondent against whom an allegation is made has the right to be told (where possible and appropriate) who made the allegation;
    - anyone involved in the investigation should be unbiased and declare any conflict of interest;
    - decisions must be based on objective considerations and substantiated facts; and
    - the Complainant and the Respondent have the right to have a support person present at any meetings where practicable.
- Procedural Fairness – The principles of procedural fairness provide that:
    - the Respondent is advised of the details (as precisely and specifically as possible) of any allegations when reasonably practicable;
    - the Respondent is entitled to receive verbal or written communication from the Shire of Dowerin of the potential consequences of given forms of conduct, as applicable to the situation;
    - the Respondent is given an opportunity to respond to any allegations made against them by a Complainant;
    - any mitigating circumstances presented to the Shire of Dowerin through the grievance process are investigated and considered;
    - the Respondent has the right to have an appropriate support person present during any inquiry or investigation process where practicable or necessary;
    - any witnesses who can reasonably be expected to help with any inquiry or investigation process should be interviewed; and
    - all interviews of witnesses are conducted separately and confidentially.

Outcome of Making a Complaint
If a complaint is substantiated, there are a number of possible outcomes. If the complaint involves a performance issue, the manager of the Respondent may commence a formal or informal performance management process with the Respondent or elect to discipline the Respondent in accordance with the Disciplinary Policy.

If the complaint involves a breach of a Policy or any other behaviour that is inconsistent with the employment relationship, the manager of the Respondent, in consultation with the CEO, may elect to discipline the Respondent in accordance with the Disciplinary Policy.

Vexatious or Malicious Complaints
Where a Complainant has deliberately made a vexatious or malicious complaint that Complainant may be subject to disciplinary action, including but not limited to, termination of employment.

Victimisation of Complainant
A Complainant must not be victimised by the Respondent or any other employee of the Shire of Dowerin for making a complaint. Anyone responsible for victimising a Complainant may be subject to disciplinary action, including but not limited to, termination of employment.

Victimisation of Respondent
A Respondent must not be victimised by the Complainant or any other employee of the Shire of Dowerin. Anyone responsible for victimising a Respondent may be subject to disciplinary action, including but not limited to, termination of employment.

Variation to This Policy
This policy may be cancelled or varied from time to time. All the Shire of Dowerin's employees will be notified of any variation to this policy by the normal correspondence method.

Related Corporate Documents
- Grievances, Investigations and Resolution Procedures
- Discrimination, Harassment & Bullying Policy
- Code of Conduct
- EEO Management Plan

POLICY NUMBER	-	
POLICY SUBJECT	-	Disciplinary Policy
DATE ADOPTED	-	20 August 2019 (CMRef 0034)
POLICY OWNER	-	Chief Executive Officer
DISTRIBUTION	-	Elected Members, All Employees. Public
RESPONSIBLE OFFICER	-	Chief Executive Officer
REVIEWED	-	

Policy Statement
The Shire of Dowerin may from time to time consider that issues of employee behaviour, misconduct or unacceptable performance levels require disciplinary action.

Application
This policy applies to all employees who work at Shire of Dowerin including contractors, volunteers and any person performing work for or with the Shire of Dowerin in any capacity.

Commitment
The Shire of Dowerin is committed to providing the best possible service and ensuring its employees perform and conduct themselves in accordance with the Shire of Dowerin's policies, procedures and guidelines (Policies). Any disciplinary procedure will be applied in a consistent, fair and objective manner, and it will ensure that, where reasonable, employees are given an opportunity and assistance to improve.

Authority to take Disciplinary Action
Disciplinary action may only be taken when authorised by the Manager. The Manager may only approve disciplinary action after consultation with the CEO.

When the Disciplinary Policy Applies
Some examples of when this policy may be invoked include breaches of the Shire of Dowerin policies and procedures including, but not limited to:

- breaches of the Code of Conduct such as failing to disclose a conflict of interest, or accepting a prohibited gift; or
- poor performance such as frequently attending for work late or producing a poor quality of work; or
- inappropriate behaviour such as theft, violating the Discrimination, Harassment and Bullying Policy, or wilfully disobeying a lawful instruction.

General Disciplinary Principles
The following principles will apply to any disciplinary action taken:

- Nature of allegation and investigation: Before formal disciplinary action is taken against an employee, the nature of the allegations made against an employee will be put to the employee and an investigation may follow, in accordance with the *Grievances, Investigations & Resolution Policy and Procedure*;
- Right to a support person: Where an employee is required to attend a formal meeting regarding a disciplinary matter or procedure, the employee may be accompanied by a support person where practicable. The role of a support person is not to advocate on behalf of anyone, but to simply provide emotional or other support;
- Confidential: All parties must keep matters related to a disciplinary process confidential; and
- Fair and impartial: The Shire of Dowerin strives to keep the disciplinary process fair and impartial, meaning that all parties involved will have an opportunity to put their case forward and be given an opportunity to respond.

Serious Misconduct

Serious misconduct pursuant to the *Fair Work Regulations 2009* includes, but is not limited to:

- wilful or deliberate behaviour by an employee that is inconsistent with the continuation of the contract of employment;
- conduct that causes serious and imminent risk to the health or safety of a person; or the reputation, viability or profitability of the Shire of Dowerin's organisation;
- the employee, in the course of the employee's employment, engaging in:
    - theft; or
    - fraud; or
    - assault;
- the employee being intoxicated at work; or
- the employee refusing to carry out a lawful and reasonable instruction that is consistent with the employee's contract of employment.

If an employee engages in serious misconduct, disciplinary action that may be taken includes, but is not limited to, summary dismissal (termination of employment without notice).

Other Disciplinary Action
With the exception of serious misconduct, where an employee has engaged in an act or omission which is inconsistent with any of the Shire of Dowerin's Policies, the employee could be disciplined as follows:

- Verbal warning – Where an employee engages in an act or omission which is inconsistent with the Policies, the Management has the discretion to issue the employee with a verbal warning. The verbal warning should be noted in a file note and placed on the employee's personnel file;
- Written warning – If the employee engages in a more serious act or omission, or acts in a manner which is inconsistent with the Policies, the Management has the discretion to issue the employee with a written warning. The employee must be given a copy of the written warning.; and
- Termination of employment with notice – In cases other than summary dismissal, an employee's employment may be terminated with notice or payment in lieu of notice provided the Shire of Dowerin has a valid reason for terminating the employee's employment and the employee has an opportunity to respond to the reasons for termination.

Whenever an employee is required to attend a meeting regarding a disciplinary issue, the employee may have a support person present where practicable. The type of disciplinary action taken against an employee is at the Shire of Dowerin's discretion and the type of disciplinary action will depend on the seriousness and frequency of any misconduct or performance issue.

Principles to be Applied
Where disciplinary action is taken, the principles of procedural fairness must prevail. These principles are expanded on in the Shire of Dowerin's Grievances, Investigations, and Resolutions Policy and Procedure.

Investigation Procedures for Alleged Misconduct
Investigations into alleged misconduct should follow the processes detailed in the Shire of Dowerin's Grievances, Investigations, and Resolutions Policy and Procedure.

Reporting Obligations
If an officer or employee of the Shire of Dowerin has reporting obligations pursuant to the *Corruption and Crime Commission Act 2003 (WA)* and suspects on reasonable grounds that a matter arises which concerns or may concern misconduct, the Corruption and Crime Commission must be notified of that matter as soon as reasonably practicable.

Employees must also be aware of and adhere to any obligations pursuant to the *Public Interest Disclosure Act 2003 (WA)*.

Variation to this Policy
This policy may be cancelled or varied from time to time. All the organisation's employees will be notified of any variation to this policy by the normal correspondence method.

Related Corporate Documents

- Grievances, Investigations, and Resolutions Policy
- Grievances, Investigations, and Resolutions Procedure
- Code of Conduct

POLICY NUMBER	-	
POLICY SUBJECT	-	Discrimination, Bullying & Harassment Policy
DATE ADOPTED	-	20 August 2019 (CMRef 0034)
POLICY OWNER	-	Chief Executive Officer
DISTRIBUTION	-	Elected Members, All Employees. Public
RESPONSIBLE OFFICER	-	Chief Executive Officer
REVIEWED	-	

Policy Statement
The Shire of Dowerin and its employees are committed to providing a working environment where every employee is treated equally, fairly and without prejudice. For the purposes of this policy the term "employee/s" will extend to cover contractors, volunteers and any person performing work for or with the Shire of Dowerin in any capacity.

Unlawful Discrimination
An employee is directly discriminated against if they are treated less favourably than another person in the same or similar circumstance because of any one of the grounds of discrimination outlined below. Indirect discrimination can occur where a practice or requirement is imposed upon all employees; however a high proportion of employees with an attribute cannot comply with, or are affected by, that practice or requirement.

The Shire of Dowerin acknowledges its responsibilities and obligations pursuant to State and Federal equal opportunity and anti-discrimination laws.

The following is a non-exhaustive list of the grounds of discrimination for which it is unlawful to discriminate against an individual:
1. Age;
2. Family responsibility or status;
3. Race or colour;
4. Sex including gender identity, sexual orientation and intersex status;
5. Physical or mental disability;
6. Marital status;
7. Political or religious conviction;
8. Pregnancy;
9. Criminal record;
10. Breastfeeding;
11. Gender history;
12. Impairment;
13. National extraction or social origin; and
14. Trade union activity

Sexual Harassment
The *Equal Opportunity Act 1984 (WA)* and the *Sex Discrimination Act 1984 (Cth)* provide that it is unlawful to engage in sexual harassment. Sexual harassment can be defined as any unwelcome conduct of a sexual nature, such as an unwelcome sexual advance or an unwelcome request for sexual favours, in circumstances in which a reasonable person would anticipate that the person harassed would be offended, humiliated or intimidated.

Some examples of sexual harassment include, but are not limited to:
1. Physical contact (touching, rubbing, patting, embracing, brushing up against etc.);
2. Gestures of a sexual nature;
3. Leering or staring;
4. Offensive telephone calls, emails, text messages or notes;
5. Sexual suggestive jokes or comments;
6. Tales of sexual exploits;

7. Repeated requests for a date;
8. Unwelcome comments or questions about a person's sex life, appearance or dress; and
9. Sexually graphic material (poster, calendars, cartoons, graffiti, messages, emails).

Bullying
Bullying is defined as repeated and unreasonable behaviour directed towards an employee or a group of employees that creates a risk to health and safety. Unreasonable behaviour amounts to behaviour that a reasonable person in the circumstances would see as unreasonable including behaviour that is victimising, humiliating, intimidating or threatening.

Bullying is also unlawful under the *Occupational Safety and Health Act 1984 (WA)* and the *Occupational Safety and Health Regulations 1996 (WA).*

Some examples of bullying include, but are not limited to:
1. Loud, abusive or offensive language or comments;
2. Yelling and screaming;
3. Unjustified criticism and insults;
4. Unjustified threats of dismissal or other disciplinary action;
5. Acts of sabotaging another's work by withholding information which is required to fulfil tasks;
6. Spreading malicious rumours or misinformation;
7. Inappropriate comments about an employee's appearance, lifestyle of family;
8. Deliberately excluding an employee from workplace meetings or activities;
9. Hiding documents or equipment or withholding vital information required for effective work performance;
10. Constantly changing targets or work guidelines;
11. Overloading an employee with work and impossible deadlines;
12. Setting tasks that are unreasonably below or beyond an employee's level of skill;
13. Threats of assault or violence or actual violence;
14. Teasing and practical jokes; and
15. Isolating or ignoring an employee on a constant basis.

Where an employee makes a threat of violence or assaults another employee the police should be called.

Reasonable Management Action
The Shire of Dowerin has a right to take reasonable management action to direct the way in which work is conducted and to give employees lawful and reasonable directions to complete work in a certain manner. Reasonable management action is not workplace bullying.

Some examples of reasonable management action include, but are not limited to:
1. The establishment and regular use of performance management systems;
2. The setting of reasonable performance targets and deadlines;
3. Providing employees with constructive feedback or counselling to assist workers to improve their work performance or the standard of their behaviour;
4. Issuing a lawful and reasonable direction to an employee to complete a work task;
5. Preparing and amending a roster for employees;
6. Transferring an employee to a different work location for operational reasons;
7. Implementing organisational change;
8. Informing an employee about inappropriate behaviour in a confidential manner; and
9. Taking disciplinary action against an employee.

Other Behaviours not Considered to be Bullying
Where two or more employees have a difference of opinion and disagree on an issue, this is not usually considered to be workplace bullying. However, where conflict escalates and is repeated it may meet the definition of workplace bullying.

Additionally, bullying does not occur where bullying behaviour is a one off occurrence and if that behaviour does not create a risk to health or safety.

Ways in which Bullying can Occur

There are a variety of ways bullying behaviour can occur in the workplace such as verbally, through email or text message or via social media. Bullying can be directed at an individual employee or a group of employees and can be carried out by one or more employees. Bullying can occur between employees, downwards from managers to employees or upwards from employees to supervisors or managers.

What to do if you think you are being Discriminated Against, Sexually Harassed or Bullied
Refer to the Grievance Policy and Grievance Procedure for steps to take if you think you are being discriminated against, sexually harassed or bullied, or if you suspect another employee is experiencing any of those things.

Roles & Responsibilities
To ensure the intent of this policy is realised various roles within the Shire of Dowerin must assume certain responsibilities.

The Employer
The Shire of Dowerin will endeavour to:
1. provide all workplace participants with a workplace free from discrimination, sexual harassment and bullying;
2. provide and maintain safe systems of work;
3. provide a fair and effective procedure to investigate and resolve complaints of sexual harassment, discrimination and bullying;
4. treat all employees fairly; and
5. take suitable disciplinary action against any employee who is found to have sexually harassed, discriminated, bullied or victimised another employee.

All the Organisation's Employees
Employees are required to:
1. report any incidents of sexual harassment, discrimination or bullying they may see happening around them to an appropriate manager or supervisor;
2. follow all policies and procedures of the Shire of Dowerin;
3. ensure they do not victimise any person making a complaint of sexual harassment, discrimination or bullying; and
4. treat all employees fairly and with respect.

Consequences of Breaching This Policy
Any breach of this policy may result in disciplinary action up to and including termination of employment.

POLICY NUMBER	-	
POLICY SUBJECT	-	Equal Opportunity Employment Policy
DATE ADOPTED	-	20 August 2019 (CMRef 0034)
POLICY OWNER	-	Chief Executive Officer
DISTRIBUTION	-	Elected Members, All Employees. Public
RESPONSIBLE OFFICER	-	Chief Executive Officer
REVIEWED	-	

Purpose
To detail the Shire of Dowerin's commitment to Equal Opportunity.

Policy Statement
This Council recognises its legal obligations under the *Equal Opportunity Act 1984* and will actively promote equal employment opportunity based solely on merit to ensure that discrimination does not occur on the grounds of gender, marital status, pregnancy, race, disability, religious or political convictions.

This policy applies to all elected members, employees and contractors to the Shire of Dowerin.

Guidelines
1. All offers of employment within this Council will be directed towards providing equal opportunity to prospective employees provided their relevant experience, skills and ability meet the minimum requirements for engagement.
2. All employment training with this Council will be directed towards providing equal opportunity to all employees provided their relevant experience, skills and ability meet the minimum requirements for such training.
3. All promotional policies and opportunities with this Council will be directed towards providing equal opportunity to all employees provided their relevant experience, skills and ability meet the minimum requirements for such promotion.
4. The equal employment opportunity goals of this Council are designed to provide an enjoyable, challenging, involving, harmonious work environment for all employees where each has the opportunity to progress to the extent of their ability.
5. This Council will not tolerate harassment within its workplace. Harassment is defined as any unwelcome, offensive actions or remark concerning a person's race, colour, language, ethnicity, political or religious convictions, gender, marital status or disability.

Related Policies & Procedures
Code of Conduct
Bullying, Discrimination & Harassment Policy
Grievances, Investigations & Resolutions Policy
Disciplinary Policy
Grievances, Investigations & Resolutions Procedure

Pop Up Shop Collective Policy

Policy Owner	Chief Executive Officer
Distribution	All Staff
Responsible Officer	Manager Corporate & Community Services
Date Adopted	26 March 2019
File Reference	Organisation/Governance/Council Policies

Objective

To initiate Council involvement in business and commercial activities to generate economic growth.

To demonstrate Council's commitment to a next-generation sustainable economy in Dowerin that encourages the promotion of local or value added products and/or attracts new enterprises to the Shire.

To stimulate additional business activities and initiatives in the main street of the town.

To assist Council pursue and achieve the desired social and economic benefits for the community of Dowerin.

Policy

Council may encourage and administer business and/or entrepreneurial, community or cultural activities in The Country Collective.

It is up to the discretion of the Shire's Management Team as to who occupies The Country Collective.

Tenants are required to be members of The Country Collective group and be financial prior to occupation. Membership fees will be determined as part of the annual budget process.

Tenants in the building will have the necessary insurances in place prior to occupation or will sign an Insurance Disclaimer.

Tenants would be required to participate in a Health and Safety induction prior to occupation, led by the Shire of Dowerin.

Tenants can occupy The Country Collective for one day (minimum) or one month (maximum) plus an additional one month extension if there is an immediate or future availability.

In the lead up to 1 week prior and 1 week post the Dowerin Field Days, a collective of businesses are encouraged and preferred to occupy The Country Collective to maximise exposure and to be fair to tenants wishing to occupy the space during this time.

Tenants are required to follow the Retail Trading Hours Act 1987 (WA) which applies to retail shops in Western Australia south of the 26th parallel. It sets out the trading hours and rules covering various categories of retail outlets. Extensions can be sought under this Act upon application to the Department of Commerce.

Profits generated from membership (if applicable) will be reinvested into other mainstreet activation projects to the discretion of the Council.

The evaluation of return on investment into The Country Collective will be evaluated annually against a set of criteria including but not limited to occupancy rate, diversity of tenants, estimated multiplier effect of tenants, income, risk and achievement of Council's strategic goals.

Councillors and staff will conduct their Council roles ethically in administering and promoting The Country Collective, in such a way as to maintain the highest level of community accountability, community stewardship and leadership whilst maintaining respect for individuals and the rule of law.

The Shire's Management Team will determine and communicate the risk assessment of all tenants who occupy The Country Collective as well as the building space itself to Council.

Roles and Responsibilities

Chief Executive Officer
The Chief Executive Officer has a responsibility to ensure this policy is implemented.

Community Development Officer
To develop and implement a processes and procedures that ensures this policy is enacted.

Related Documentation

Risk Management Policy
Building Profile
License Membership Agreement
Occupancy Licensing Agreement

Related Legislation/Local Law/Policy/Procedure

Retail Trading Hours Act 1987 (WA)

Related Delegation

Nil

Review History

28 February 2017 (Item 10.1.8)

26 March 2019 (Item 10.2.2)

Asset Management Policy

Policy Owner	Asset and Works Manager
Distribution	Council, CEO and All Staff
Responsible Officer	Assets and Works Manager
Date Adopted	28 February 2017
File Reference	ORGN-1017121432-83

Objective
To ensure adequate provision is made for the long-term replacement of major assets by:

- Ensuring that Council's services and infrastructure are provided in a sustainable manner, with the appropriate levels of service to residents, visitors and the environment.
- Safeguarding Council assets including physical assets and employees by implementing appropriate asset management strategies and appropriate financial resources for those assets.
- Creating an environment where all Council employees take an integral part in overall management of Council assets by creating and sustaining an asset management awareness throughout the organisation by training and development.
- Meeting legislative requirements for asset management.
- Ensuring resources and operational capabilities are identified and responsibility for asset management is allocated.
- Demonstrating transparent and responsible asset management processes that align with demonstrated best practice.
- Council are required to comply with legislation and standards in relation to asset management. Section 5.56(1) and (2) of the *Local Government Act 1995 – Local Government (Administration) Regulations 2011.*

Policy

To set guidelines for implementing consistent asset management process throughout the Shire of Dowerin. This policy applies to all Council activities.

This Asset Management Policy reflects Council's Vision, Mission, and asset management objectives for assets as encapsulated in the Shire of Dowerin Community Strategic Plan.

This policy

- Provides clear direction and "ownership" of asset management;
- Is a guide to better and more informed decision-making by Council, staff and community;
- Integrates resources, knowledge and ability to plan for the present and future generations;
- Provides a framework to implement continuous improvement in asset management;
- Allows community needs and expectations to be met;
- Manage Council's risk;
- Offers greater resource efficiency through the use of integrated systems; and
- Ensures compliance to State and Federal legislation.

Asset Management
Understanding Customer Expectations

- All infrastructure services will be regularly reviewed to ascertain community's service standard expectations.

Asset Management Representatives

- A multidisciplinary and cross-functional Asset Management Working Team will be established to assist with the strategic asset management planning.
- Staff responsibilities for Asset Management activities shall be included in the Asset Management Plans, and also reflected in individual position descriptions.

Asset Planning and Budgeting

- Council will adopt life cycle cost analysis for the management of assets. Each asset will be condition assessed and included in the asset management database. Projections of the life cycle of each asset will be extrapolated from data including current condition, intervention levels and forecast maintenance requirements.
- Council will regularly review its asset stock and identify opportunities for asset rationalisation and condition improvement or asset replacement as required.

Asset Operations and Maintenance

- Annual Maintenance Plans shall be developed using asset condition data and shall incorporate corresponding financial data.
- All outsourced services shall be procured through a competitive process.
- All services shall be regularly benchmarked to ensure Council is adopting best practice techniques.

Risk Assessment and Management

- Council will maintain a program of regular inspection of assets under its control to minimise Community's risk.
- Council will maintain a Quality and Occupational Health and Safety System for its employees and contractors working on Council assets.
- Council will consider risk associated with each asset category in its Asset Management Plans.

Asset Accounting and Costing

- Council will maintain detailed asset registers for those asset categories as listed in this policy.
- Useful lives will be given to each of these assets with the written down value and depreciation value determined in accordance with the current applicable accounting regulations.
- Depreciation will be calculated using a method that reflects the true consumption of the asset, or is an indication of the future cash flows necessary to sustain asset condition and maintain the required service level.

Asset Management Plans

- Council will develop an Asset Management Plan that includes each major asset category.
- These Asset Management Plans will be subjected to continuous improvement.

Asset Type Classification

Asset Class	Asset Sub-Class
Land	Reserves
	Parks & Gardens
	Sportsgrounds & Playing Fields
	Landfill Sites
Buildings	Community & Cultural Buildings

	Civic Buildings
	Public Amenities Buildings
	Residential Buildings
	Sports & Recreation Buildings
	Other Structures
Infrastructure – Roads and Bridges	Sealed Rural Road
	Sealed Townsite Road
	Gravel Road
	Access Roadways & Carparks
	Road Bridges
	Road Culverts
	Kerb & Gutter
	Footpaths
	Road Signage
Infrastructure – Stormwater & Sewerage	Drainage Networks
	Water Supply Networks
	Sewerage Networks
Infrastructure – Open Space	Cemetery
	Cricket Pitch and Nets
	Golf Course
	Tennis Courts
	Indoor Badminton & Squash Courts
	Indoor Basketball & Netball Courts

	Hockey Fields
	Playgrounds
	Playing Fields
	Fountains
	Seating – Fixed Bench
	Seating – Unfixed Bench
	Tanks
Information Technology	Hardware
	Software
	Communications
	Application specific technology
Plant and Equipment	Vehicles
	Equipment
Other Assets	Streetscapes

Roles and Responsibilities

Council

- To act as stewards for all assets
- To set corporate Asset Management policy and vision with linking to the Community Strategic Plan
- To ensure appropriate resources and funding for Asset Management activities are made available for Asset Management.

Management Team

- To continue to refine the "overarching" Asset Management Policy and the initial Asset Management Plan with linkage to the Community Strategic Plan for consideration by Council.
- To recognise and embrace asset management as a corporate process.
- To foster and support the principles of Asset Management and the Integrated Planning process.
- To implement and continuously review the corporate Asset Management Policy and Plan with agreed resources.
- To ensure that timely, accurate and reliable information is presented to council for decision-making.

Asset Management Representatives

- Oversee the introduction and management of Asset Management into the Council structure.
- Develop and maintain up to date inventories for each asset category.
- Make appropriate suggestions on items such as suitability of software platforms, applicable asset categories and Asset Management Plan content.

Related Documentation

Related Legislation/Local Law/Policy/Procedure

Local Government Act 1995 Section 5.56(1) and (2)
Local Government (Administration) Regulations 2011

Related Delegation

Review History

Public Interest Disclosure Policy

Policy Owner	Chief Executive Officer
Distribution	Councillors, All Shire Employee and Contractors
Responsible Officer	Chief Executive Officer
Date Adopted	27 February 2018
File Reference	ORGN-1017121432-85

Objective

To provide a clear and robust position and process for Councillors, all Shire employees and Shire contractors relating to public interest disclosures as defined by the *Public Interest Disclosures Act 2003* Section 3;

To assist in ensuring the Shire of Dowerin Councillors and all employees maintain the highest standards of ethics in behaviour that are in accordance with the Shire of Dowerin's objective of achieving a high performing organisation that serves its community efficiently and with high standards of integrity.

To ensure the Shire of Dowerin Integrity is trusted by the Community it serves and is accountable for its actions.

This policy will:

- ensure that there is a supportive and informed culture within the organisation in terms of public interest disclosures.
- clarify the support for Councillors, staff or contractors who make Public Interest Disclosures.

Policy

This policy applies to all Councillors, all employees and all contractors of the Shire of Dowerin.

PRINCIPLES

The Shire of Dowerin does not tolerate corrupt or other improper conduct, including mismanagement of public resources, in the exercise of the public functions of the Shire of Dowerin, its elected members, employees and contractors.

The Shire of Dowerin is committed to the aims and objectives of the *Public Interest Disclosure Act 2003* (PID Act). It recognises the value and importance of contributions of staff to enhance administrative and management practices and strongly supports disclosures being made, by staff, as to improper conduct.

The Shire of Dowerin will ensure every effort to provide protection to staff who make such disclosures from any detrimental action in reprisal for the making of a public interest disclosure.

The Shire of Dowerin will not tolerate any of its elected members, employees or contractors engaging in acts of victimisation or reprisal against those who make public interest disclosures.

PROCEDURES

A person wishing to make a public interest disclosure should seek advice from the Shire's PID Officer to ensure they understand their rights and responsibilities under the Act prior to making a disclosure.

To meet the requirements of the Act, the disclosure must be made to the PID Officer.

The person holding or acting in the position of Governance and Organisational Development Officer (or a position as determined by the Chief Executive Officer) is designated as the PID Officer for the Shire of Dowerin.

The PID Officer is responsible for receiving disclosure of public interest information relating to matters falling within the sphere of the responsibility of the Shire of Dowerin. The PID Officer is to act in that role in accordance with the Public Interest Disclosure Act and Guidelines issued by the Commissioner of Public Sector Standards [which are to be read in conjunction with this policy].

The PID Officer will utilise the Public Sector Commission's Guideline template for the reporting of PID matters located at https://publicsector.wa.gov.au/sites/default/files/documents/public_interest_disclosure_guidelines_1.pdf

Should Councillors, staff or contractors feel unable to speak to the designated PID Officer for the Shire of Dowerin, they are to utilise one of the following:

1. Report the matter directly to the Shire of Dowerin Chief Executive Officer who will utilise the Public Sector Commission's Guideline template for reporting of PID matters https://publicsector.wa.gov.au/sites/default/files/documents/public_interest_disclosure_guidelines_1.pdf

2. The Public Sector Commission's Advisory service on 08 6552 8888 or minormisconduct@psc.wa.gov.au or utilise the resources of the Public Sector Commission to better inform themselves of their options – see link https://publicsector.wa.gov.au/conduct-integrity/minor-misconduct/reporting-minor-misconduct-psc

3. The Department of Local Government and Communities Public Interest Disclosure Officer on 6551 8700.

3. The Ombudsman of Western Australia via the Ombudsman's office on 08 9220 7555 or mail@ombudsman.wa.gov.au

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Roles and Responsibilities

Chief Executive Officer
- To ensure the implementation of this policy

Managers
- Ensure all current and new employees are aware of this policy;
- Ensure that that this policy guides behaviours and actions of employees;

Noting that public interest disclosures can only be made to the PID Offcer, Managers are to direct staff to the PID Officer and / or the following document. http://forms.wairc.wa.gov.au/files/Don't%20Be%20Afraid%20to%20Speak%20Up.pdf

Employees
- Ensure they understand and comply with the requirements of this policy.

- Seek clarification from their supervisor or the PID Officer if they are unsure of the content or implications of this policy.

Related Legislation/Local Law/Policy/Procedure

Public Interest Disclosure Act 2003
Shire of Dowerin Code of Conduct
Shire of Dowerin Induction Manual

Related Delegation

Nil

Review History

19 July 2016

27 February 2018

Drug & Alcohol Policy

Policy Owner	Chief Executive Officer
Distribution	All Employees
Responsible Officer	Chief Executive Officer
Date Adopted	19 December 2017
File Reference	ORGN-1017121432-80

Objective

This Policy supports the Shire of Dowerin's commitment to maintaining a safe and efficient working environment for all staff members and contractors.

The Drug and Alcohol Policy applies to all workers who carry out work in any capacity for the Shire of Dowerin including work as an employee, contractor or subcontractor, an employee of a contractor or subcontractor, an employee of a labour hire company assigned to work for the Shire of Dowerin, an apprentice or trainee, work experience student, or volunteer.

Policy

Workers are not to present themselves for work if they have consumed alcohol and/or other drugs where they may be at risk of impairment during work hours. It is a condition of entry to all Council workplaces that all workers may be tested at any time for alcohol and/or drugs.

Alcohol and illicit drugs shall not be consumed at any Council workplace, in any Council owned vehicle or plant, or at any time as a worker of the Council whilst undertaking their respective duties. An exception for the consumption of alcohol will be made for special occasions or locations as determined by the CEO and where the provision of hospitality is within the bounds of normal customary hospitality.

Alcohol and Drug Tolerance Levels within the Workplace

Council's alcohol tolerance within the workplace is in accordance with applicable standards considering the workplace requirements and the nature of the work being undertaken.

Council's drug tolerance within the workplace is in accordance with the testing method's Australian Standard, including amendments, which Council accepts as indicators of the risk of impairment.

Prescription and Pharmacy Medication

If Council suspects that there is a risk of impairment to a worker's ability to safely perform work, Council may take steps to address the issue in accordance with this Policy and associated procedures.

Where a worker is taking prescription and pharmacy medications for a legitimate medical purpose, the worker will not breach this Policy by attending work or duties subject to guidelines listed in the Drug and Alcohol Procedure.

Any information supplied by workers in relation to prescription and pharmacy medication to Council or any of its workers must be kept confidential.

Awareness and Training
Council recognises that it is important to develop a workplace culture, through awareness and training where employees are prepared to encourage each other to be safe and not unfit for work. All employees shall be familiarised with this Policy and the Drug and Alcohol Procedure upon commencement of employment and annually thereafter.
All other workers shall be made aware of the components of this Policy and the Drug and Alcohol Procedure that may affect them whilst performing work in any capacity for Council.

Drug and Alcohol Testing Triggers
Consistent with Council's obligation and commitment to ensuring a safe workplace, workers will be required to undergo drug and alcohol testing in the following circumstances in accordance with the Drug and Alcohol Procedure:
- As part of a Random Testing Program;
- In a case of Reasonable Suspicion;
- Post Incident; and/or
- Any testing as part of a return to work and/or rehabilitation program conducted under this policy and associated procedure.

Testing Methods
All initial drugs testing undertaken will comprise of a saliva test. Confirmatory test may comprise of either a urine or saliva test.
Urine testing will be conducted in accordance with Australian/New Zealand Standard AS/NZS 4308:2008. Saliva testing will be conducted in accordance with Australian Standard 4760-2006.
Alcohol testing will be conducted in accordance with current random breath testing procedures in Western Australia (Australian Standard AS 3547-1997).

Employee Assistance
Council recognises drug and alcohol dependency as a treatable condition. Workers who suspect they have an issue with drugs and/or alcohol are encouraged to seek advice regarding appropriate treatment options. Council offers employees the services under the EAP. The services provided by Council's EAP provider are strictly confidential.

Any Workers referred to EAP may access either a Council provided EAP or a recognised program of their choosing (at the employee's own expense).

Breaches of Policy
Disciplinary action may be taken in accordance with the actions detailed in the Drug and Alcohol Procedure and Discipline Procedure for breaches of this policy including, but not limited to:
- The recording of a positive result from a drug and / or alcohol test;
- If found to have deliberately masked a substance;
- The falsification of medication information or details;
- Tampering with a sample for drug and / or alcohol testing; or
- Refusing to comply with any requirements of this Policy.

Definitions
CEO (Chief Executive Officer) - A person who holds an appointment under section 194 of the Local Government Act 2009.

Council - Shire of Dowerin

Employee - Local government employee;
(a) the chief executive officer; or
(b) a person holding an appointment under section 196 of the Local Government Act 1995.

Employee Assistance Program (EAP) - A confidential, professional counselling service available to Council employees.

Fitness for Work - A state (physically, mentally and emotionally) to perform assigned tasks competently and in a manner which does not compromise or threaten the health, wellbeing and safety of themselves or other persons.

Risk of Impairment - The risk of a worker's reduced quality, strength or effectiveness due to the effects of drugs and/or alcohol consumption whilst performing their usual duties.

Random - Having no specific pattern, nor predetermined outcome.

Suspicion Testing - Testing undertaken on the suspicion that an employee may be at risk of impairment from drugs or alcohol.

Worker - Contractor or subcontractor, an employee of a contractor or subcontractor, an employee of a labour hire company assigned to work for Council, work experience student or a volunteer.

Work Hours - Any time where a worker is at the workplace for work purposes, and claiming remuneration, including time where the on-call allowance is received.

Workplace - A place where work is carried out for a business or undertaking and includes any place where a worker goes, or is likely to be, while at work.

Roles and Responsibilities

This policy applies to all workers as per the above definition.

The CEO is responsible for ensuring this policy is implemented.

Managers are responsible for ensuring their staff are aware of this policy and for reporting any breaches to the CEO.

Related Documentation

Drug and Alcohol Procedure
Code of Conduct
Australian/New Zealand Standard AS/NZS 4308:2008
Australian Standard 4760-2006.
Australian Standard AS 3547-1997

Related Legislation/Local Law/Policy/Procedure

Drug and Alcohol Procedure

Related Delegation

Nil

Review History

Social Media Policy

Policy Owner	Chief Executive Officer
Distribution	All Staff and Elected Members
Responsible Officer	Chief Executive Officer
Date Adopted	19 December 2017
File Reference	ORGN-1017121432-78

Objective

The purpose of Council utilising social media platforms is to:

- Provide an efficient method of delivering factual, up-to-date information online
- Provide two-way communication with stakeholders through online feedback and correspondence mechanisms
- Become more interactive with the community

The purpose of this policy is to provide Shire of Dowerin employees with standards of use as they engage in conversations or interactions using digital media. The intention of this policy is to ensure Council's use of social media platforms to communicate with various stakeholder groups is effective, informative and appropriate.

Policy

Council representatives using social media must:

- Only disclose publicly available information. No comment will be made on Social Media sites regarding confidential, private or legal matters
- Only use corporate imagery such as logos and official Council photographs
- Ensure that no copyrighted or trademarked material is published without permission
- Ensure that information posted online is not illegal, libellous, discriminatory, defamatory, abusive, or obscene
- Ensure that information posted online does not infringe Council's Code of Conduct or any other Council code or policy.

When using Council social media sites, employees authorised by the CEO (or nominee) will:

- Only post content that is genuinely expected to be relevant and of interest to followers
- Respond to enquiries within 24 hours (Monday to Friday) where possible
- Keep messages simple
- Provide relevant, accurate, fair and thorough information.

Monitoring social media

The Community and Economic Development Officer (CEDO) will monitor content posted on all official social media outlets to ensure adherence to the Social Media Policy for appropriate use, message and consistency in branding.

Content relating to Council that is posted on the internet by elected members, employees, residents and other community members or organisations will be monitored by the CEDO through the use of Google Alerts and other applications.

Comments from social media users will be monitored and moderated where possible.

Personal use of social media

Staff and Councillors that comment via social media on their personal accounts could be linked to the Shire of Dowerin. With this understanding staff and Councillors should be aware that comments made via social media are in the public domain, and use of such should be aligned to Council's Internet Email and Computer Use Policy and Code of Conduct.

Defamatory, disrespectful or deliberately misleading commentary provided on these platforms may bring staff or Councillors in breach of Council's Code of Conduct.

Non-compliance with the Social Media Policy by Council representatives, staff and Councillors will be managed through the relevant Code of Conduct and disciplinary systems.

Developing new social media platforms

Council's CEO must authorise the use of online marketing tools such as additional Council websites and social media channels that are branded or deemed to be associated with the Shire of Dowerin.

Roles and Responsibilities

This policy applies to any and all persons who represent the Shire of Dowerin in a paid or unpaid capacity.

The CEO is responsible for ensuring this policy is implemented.

Managers are responsible for ensuring their staff are aware of this policy and for reporting any breaches to the CEO.

Related Documentation

- Shire of Dowerin Code of Conduct
- Social Media Procedure
- Bullying in the Workplace Policy (DRAFT)
- Occupational Safety, Health & Environmental Policy
- Internet Email and Computer Use Policy (DRAFT)

Related Legislation/Local Law/Policy/Procedure

- WA Local Government Act 1995
- Copyright Act 1968
- The Privacy Act 1988
- The Information Privacy Bill 2007 (WA)
- Defamation Act 2005

Related Delegation

Nil

Review History

Senior Employees & Acting CEO Policy

Policy Owner	Chief Executive Officer
Distribution	Management Team
Responsible Officer	Chief Executive Officer
Date Adopted	26 March 2019
File Reference	Organisation/Governance/Council Policies

Objective

To designate the employee positions which are determined by the Shire as 'senior employees' for the purposes of section 5.37 of the *Local Government Act 1995.*

To provide direction in the appointment of an Acting CEO during periods of less than 3 months absence of the CEO.

Policy

Council has designated the following positions to be classified as 'Senior Employees' for the purpose of the Act:

- Chief Executive Officer
- Manager Corporate & Community Services
- Manager Works & Assets

Acting CEO
Council has determined that the employees appointed to the position of Manager to the Shire of Dowerin are suitably qualified to perform the role of Acting CEO.

Managers may be appointed to the position of Acting CEO at the discretion of the CEO for periods of three (3) months or less.

Appointment for periods extending three months will require a Council Decision.

Roles and Responsibilities

Chief Executive Officer
The CEO is responsible for implementing a

Related Documentation

Nil

Related Legislation/Local Law/Policy/Procedure

Section 5.37 – Local Government Act 1995
Section 5.36(2)(A) – Local Government Act 1995

Related Delegation

Nil

Review History

26 March 2019 (Item 10.2.3)

Recruitment and Selection Policy

Policy Owner	Chief Executive Officer
Distribution	All Employees
Responsible Officer	Coordinator Governance & Organisational Development
Date Adopted	24 April 2018
File Reference	ORGN-1017121432-102

Objective

To ensure that the recruitment and selection of employees is transparent, equitable and upholds the values of the organisation and ensures legislative requirements are met.

Policy

The Shire is committed to ensuring recruitment and selection of prospective employees is in accordance with relevant employment legislation.

Effective employee selection and the subsequent management of employees are critical to the success of the Shire's and the provision of services to the community. This success depends on the Shire's ability to identify, attract and develop employees.

The Shire is committed to an effective and professional method of selecting employees that is consistent with organisational values.

The Shire aims to attract and appoint highly skilled and motivated employees who will aim to meet agreed objectives and performance improvement goals. For every recruitment and selection decision, the Chief Executive Officer will aim to ensure the best person for the job is appointed.

Equal Employment Opportunity

Selection to positions within the Shire is based on the principles of appointment and merit and the provision of equal employment opportunity. The appointment of employees must be made on the basis of the individual capacity of the person having particular regard to the knowledge, skills, qualifications, experience and potential for future development of that person in their employment.

Selection on the basis of merit means that the grounds for the decision must directly relate to the inherent requirements of the position and prevents those decisions being made on unjustified discriminatory grounds such as:

- Race, colour, national or ethnic origin or nationality;
- Gender, sexual preference, marital status, pregnancy, status as parent or carer;
- Religious or political belief or activity, industrial activity;
- Age, physical features, disability, medical records;
- Personal association with a person who is identified by reference to any of the listed attributes.

Recruitment Authorisation

To ensure alignment with the Shire's strategic goals and budget allocations, new positions identified must be authorised by the Chief Executive Officer.

Vacancies created by a resignation are not automatically filled. The supervisor will need to review the position to determine if it is still required and if so, whether any changes are required to ensure the best strategic alignment and most effective use of limited staffing resources. This review must be presented to the Chief Executive Officer for consideration prior to recruitment progressing.

Encouragement to Existing Employees to Apply for Vacancies

The Shire is committed to fostering the process of developing and promoting existing employees where possible and the Shire will provide every opportunity for employees to advance and develop to their full potential. Internal applicants are encouraged to consider positions where they can meet the selection criteria.

Confidentiality

All enquiries and applications for vacancies from internal and external applicants will be treated with the strictest confidentiality.

Conflicts of Interest

No person shall be appointed, other than by a merit selection process, where such a person is directly related to an employee of the Shire or where some other conflict of interest may exist.

Family and other close personal relationships as well as business relationships must be declared by prospective members of recruitment panels in relation to candidates. The panel will collectively determine if the potential for the perception of a conflict of interest is too great for the member to remain on the remain on the panel.

Recruitment Strategy

The most appropriate strategy for recruitment will be adopted to ensure the timely and effective use of resources and to maximise the successful performance of the role for the Shire. Whilst the Shire is committed to providing opportunities for existing employees to apply for vacancies, the recruitment mix (advertisements, internal applications, external applications etc), will be determined by a range of elements, including the role, required skills and abilities, existing skill base and organisational needs. At the discretion of the Chief Executive Officer, vacant positions may be filled by:

- An internal recruitment process;
- An external recruitment process involving external advertising or the use of a recruitment agency for senior positions; or
- By direct selection.

Probationary Period

All new employees may be appointed subject to a probationary period to be determined by the recruitment and selection panel.

Roles and Responsibilities

Chief Executive Officer
The Chief Executive Officer has responsibility to ensure this policy is implemented in an open and transparent manner.

Managers and Supervisors

Managers and Supervisors have responsibility to ensure employees are aware of this policy and actively promote professional development of staff as part of this policy.

Related Documentation

Recruitment & Selection Procedure

Related Legislation/Local Law/Policy/Procedure

Local Government Act 1995 – Section 5.40
Fair Work Act 2009
Equal Employment Opportunity Act 1984
Sex Discrimination Act 1984
Racial Discrimination Act 1975
Disability Discrimination Act 1992

Related Delegation

NIL

Review History

Adopted 18 March 2014

Untied Surplus Policy

Policy Owner	Chief Executive Officer
Distribution	Management
Responsible Officer	Chief Executive Officer
Date Adopted	24 April 2018
File Reference	ORGN-1017121432-92

Objective

This Policy aims to establish parameters for the use of untied surplus funds at the end of each financial year as identified through the Annual Budget adoption process.

Definitions

Untied surplus: savings achieved as a result of increased revenue not tied to a particular project or initiative or from reduction in expenditure from efficiencies and / or project and initiatives that were able to be delivered under budget.

Policy

As part of the annual budget process Council's end of year financial position is calculated.

In the event Council is in a surplus position, the process will include a calculation of any untied surpluses.

Should an untied surplus be calculated, Council will recognise this an opportunity to progress one or more of the following financial goals:

1. Reduction or retirement of debt noting that the WA Treasury Corp is likely to impose a penalty for reduction or early retirement of debt; therefore, this option will require analysis and calculations on a case-by-case basis.
2. Transfer to one or more reserves as determined by Council guided by the Shire of Dowerin Reserves Policy;
3. To progress a one-off project or initiative.

Council recognises that untied surplus funds are not a regular or reliable revenue stream and therefore will not use untied surpluses to supplement the operational budget.

Roles and Responsibilities

Chief Executive Officer

- Responsible for implementing this policy and for bringing it to Council for annual review.

Related Documentation

Nil

Related Legislation/Local Law/Policy/Procedure

Local Government Act 1995 Section 6.14
Local Government (Financial Management) Regulations 1996 (as amended)

Shire of Dowerin Investment Policy
Shire of Dowerin Reserves Policy

Related Delegation

Chief Executive Officer

Review History

Uniforms - Staff

Policy Owner	Chief Executive Officer
Distribution	All Staff
Responsible Officer	Acting Manager Corporate & Community Services
Date Adopted	25 September 2018
File Reference	Organisation/Governance/Council Policies

Objective

The type of clothing and standard of dress for the Shire of Dowerin's employees varies according to roles and safety requirements. This policy provides parameters regarding appropriate types of clothing, standards of dress and related matters.

Policy

The Shire of Dowerin is committed to presenting itself in a professional manner as well as maintaining a safe and healthy working environment for its employees. This policy aims to fulfil such a commitment by providing clarity in relation to personal clothing and hygiene standards.

Payments Made Under This Policy

Shire will pay up to a maximum of $500 per financial year to employees towards the cost of an approved corporate uniform for permanent employees.

The cost of any uniforms purchased above the $500 limit will be borne by the employee.

Compulsory Uniform/Protective Clothing

The Shire of Dowerin may require employees to wear a uniform. The following applies in relation to compulsory wearing of the Shire of Dowerin uniforms:

1. The employee is responsible for ensuring the uniform is kept clean and presentable. Any employee who fails to wear the required uniform when presenting for duty shall be sent home to change and may not receive payment for the time they are not at work.
2. Uniforms shall be replaced if it is determined by an appropriate officer that they are no longer suitable for use due to ordinary wear and tear.
3. If an employee's uniform is damaged the employee may be entitled to a replacement uniform or an additional one-off allowance. An employee may not be entitled to a replacement uniform or an additional one-off allowance if their uniform has been damaged due to neglect or misconduct. In such cases the employee will be responsible for the replacement costs of the uniform.

Additional Requirements Relating to Protective Clothing

An employee may be instructed to wear protective clothing by their supervisor. Employees will be issued with protective clothing by the Shire of Dowerin in accordance with the Shire's Personal Protective Equipment and Clothing (PPE) Procedure. An employee must not modify, alter or change protective clothing under any circumstances unless they are directed to do so by their supervisor.

Wearing Uniform Out of Hours

Primarily uniforms are to be worn only during working hours and employees should take care to refrain from wearing uniforms outside of work. Employees must recognise that when wearing the uniform they are recognised as representing the Shire of Dowerin. Employees must adhere to the Shire of Dowerin's Code of Conduct, policies and procedures if they are wearing the uniform outside of work.

Acceptable Standards of Dress

Employees who are not required to wear uniforms must present for work in a professional manner and be suitably attired for their work activities. The standard for both men and women is smart business dress.

Smart business dress for work may include tailored trousers, tailored skirts, collared business shirts, tailored shorts, tailored jackets, dresses, blouses, smart/business shoes, socks, appropriate underwear, belts and ties.

Smart business dress for work does not include low cut or sheer tops, tops that expose the midriff, shorts that expose the buttocks, thongs, sneakers, bare feet, singlets, faded jeans, frayed jeans, board shorts or other items of clothing deemed unsuitable by their supervisor.

The following items may be acceptable provided they do not pose any possible hazard to health and safety at work or deviate significantly from the image required in the given work area:

1. Clothing worn to comply with cultural or religious practices;
2. Tattoos or body piercings; and
3. Jewellery

In relation to appropriate footwear and clothing, staff have regard for the possible hazards within the workplace (ie accidentally spilling boiling water, dropping heavy items etc) and take steps to minimise the risk of injury. When out of the office, staff will wear footwear and clothing appropriate to the task being conducted (ie water or housing/building inspections, loading or unloading vehicles etc) which may be different to the footwear and clothing worn within the office environment. Appropriate footwear is that which provides protection from potential injury.

Casual Dress Days

On "casual dress" days, "smart casual" is the minimum required standard. Within the Shire Administration Office it is generally accepted that Friday will be "casual dress" day. The Shire of Dowerin polo shirt is the preferred uniform which can be worn with appropriate smart business dress jeans, skirts, pants or shorts.

Further guidance is available from the respective line manager.
Unacceptable Standard of Dress

The following items are unacceptable at the Local Government:

1. Clothing that contains messages or designs that may be offensive to others including but not limited to items of clothing which may be considered racist, sexist or derogatory.
2. Body tattoos that contain messages or designs that may be offensive to others including but not limited to tattoo's which may be considered racist, sexist or derogatory.

Personal Hygiene

Employees are responsible for ensuring that they maintain good standards of personal hygiene whilst at the workplace. Clothes should be laundered to a reasonable standard and employees should be respectful of others and minimise strong body odour, perfumes and colognes when attending the workplace.

All matters relating to personal hygiene will be handled sympathetically and discreetly.

Consequences of Breaching This Policy

This policy constitutes a lawful instruction to all staff of the organisation people and breaches may lead to disciplinary action or termination by the Shire of Dowerin. People who breach this policy may also be personally liable for their actions.

Roles and Responsibilities

Chief Executive Officer
The Chief Executive Officer has responsibility to ensure this policy is implemented.

Managers and Supervisors
Managers and supervisors have responsibility to ensure employees are aware of this policy.
Related Documentation

Personal Protective Equipment and Clothing (PPE) Procedure

Related Legislation/Local Law/Policy/Procedure

Strategic Community Plan – Our Leaders – Outcome 3 – Commitment to continuous improvement in service delivery and good governance practices ensures the Shire is adaptive to evolving community needs.

Related Delegation

NIL

Review History

25 September 2018 (Item 10.1.3)

Restricted Access Vehicle Policy

Policy Owner	Chief Executive Officer
Distribution	All Staff
Responsible Officer	Asset & Works Manager
Date Adopted	25 September 2018
File Reference	Organisation/Governance/Council Policies

Objective

To provide clear guidelines to the Council, its staff and heavy vehicle transport operators for Restricted Access Vehicle (RAV) Network requests and access to roads under the care, control and management of the Shire of Dowerin.

The Council wishes to balance road safety, transport efficiency for Shire economic benefits, community amenity and preservation of the road asset. The Policy supports 'as of right' vehicles as defined by Main Roads WA (MRWA) or approved RAV routes, except where roads are closed for safety reasons.

Definitions

Restricted Access Vehicle (RAV) Network

The RAV Network is a list of roads which have been assessed and classified by MRWA according to the type and size of heavy vehicle that may access them. It is administered by the Heavy Vehicles Section (HVS) of MRWA.

Accredited Mass Management Scheme (AMMS) Network

The AMMS scheme allows for three (3) concessional mass tiers that are available to approved heavy vehicle transport operators with appropriate loading control methods. This scheme uses a network approach similar to the existing RAV Network.

Both the RAV and AMMS Networks are published in the form of road tables and a visual Mapping Tool is available on the MRWA website.

Policy

Request to Access Roads

a) RAV Classified Roads – If required, heavy vehicle transport operators may request use of a classified road on the RAV Network by applying to the Chief Executive Officer (CEO) for approval.

b) Unclassified Roads - If the road is not classified on the RAV Network then the applicant will first need to apply to MRWA (HVS). Upon receipt from MRWA (HVS), the Shire of Dowerin will assess request in accordance with MRWA approved guidelines and if supported, a submission will be made to MRWA (HVS) for their consideration including any conditions that may apply to the use of the road.

c) AMMS Network - Heavy Vehicle transport operators may apply for a road already classified on the RAV Network to be approved for an AMMS Network level by applying to MRWA (HVS). Upon receipt from MRWA (HVS) the Shire of Dowerin

will assess the request in accordance with MRWA approved guidelines. If supported, a submission will be made to MRWA (HVS) for their consideration

d) Should the road access request be declined, the Shire of Dowerin will inform MRWA (HVS) who will advise the applicant.

e) Depending on the need for access, a RAV access request may be supported if the applicant is willing to meet the costs associated for the shire to carry out any road upgrades or vegetation pruning necessary to qualify the road for the RAV network level requested.

RAV Road Reclassification

The Shire may withdraw support for an approved route at any time if:

(i) The route is deemed unsafe for RAV use;
(ii) The route is deemed unsuitable for RAV use; or
(iii) The heavy vehicle transport operator has breached approval conditions.

Roles and Responsibilities

All RAVs require a permit, unless they are authorised under a class of notice issued by either the Commissioner of Main Roads or the Director General, Transport.

CEO to issue a written Shire Letter of Agreement with Conditions;

The Shire is required to provide a formal letter of agreement to Main Roads before Main Roads will assess a road for RAV operation. Under certain conditions the Shire may authorise Main Roads to issue an approval and stipulate special operating conditions to address local community and industry concerns. Main Roads has standard operating conditions but can impose the condition that on a certain road or section of road the RAV operator must obtain a written agreement with additional local operating conditions. The Letter of Agreement from the CEO must be carried within the vehicle at all times. The Letter of Agreement is in addition to the permit required from Main Roads.

The CEO may grant agreement to Main Roads for all RAVs up N4 to without referring the matter to Council providing the road/roads comply with the Main Roads Route Assessment Guidelines at standard VSR axle mass limits.

If access is requested for a RAV and the road/roads do not comply with Main Roads Route Assessment Guidelines and RAV Category, any request must be brought before Council for consideration.

Applications for the operation of a RAV with increased mass and tri drive vehicles etcetera will require to be brought to Council and a cost recovery method considered.

Related Documentation

RAV Mapping Tool

https://mainroads.wa.gov.au/hvsnetworkmap

which features:

- A seamless map of WA using a Google interface.
- Allows users the ability to quickly access network information and their associated conditions.
- The ability to overlay individual networks, which will enable you to plan your journey more efficiently.
- Mobile device compatibility

Note: The RAV mapping tool should be used as a guide only and approved roads should be checked using the road tables and addendums.

Related Legislation/Local Law/Policy/Procedure

The Road Traffic Act 1974 and the Road Traffic (Vehicle) Regulations 2014 govern the use of heavy vehicles on roads within Western Australia and define items such as compliance notices, exemptions, permits and notices for heavy restricted access vehicles. These regulations also contain provisions for mass and loading, load restraints, vehicle modifications and vehicle maintenance.

The Land Administration Act 1997 Section 55 and Local Government Act 1995 Section 3.53(2) gives the Shire of Dowerin management responsibility for roads within its boundaries.

Related Delegation

Works & Assets Manager

Review History

25 September 2018 (Item 10.1.4)

Education and Study Assistance Policy

Policy Owner	Chief Executive Officer
Distribution	All Staff
Responsible Officer	Acting Manager Corporate & Community Services
Date Adopted	25 September 2018
File Reference	Organisation/Governance/Council Policies

Objective

The Shire of Dowerin is committed to providing an environment in which its employees are adequately equipped to achieve their career and professional development needs relevant to their employment.

All employees have equal access to training and development opportunities promoted by the Shire and/or courses of study that will contribute to the improvement of their professional skills and knowledge relevant to their employment with the Shire, as identified in the staff performance review process.

This policy provides guidance in administering an employee's request for further education and specifies what the Shire will reimburse employees for expenses incurred as well as leave allocation while undertaking approved courses of study, as part of their career planning.

Policy

The Shire of Dowerin supports and encourages employees to undertake studies appropriate to the needs of the Shire.

The Shire recognises that employees will from time to time aspire to upgrade their knowledge and skills.

1. Education (being acquisition of general, tertiary and professional skills and qualification) is the responsibility of the individual employee.
2. The Shire will provide regular opportunities for employees of the Shire to upgrade or enhance their skills.
3. This policy only applies to full time and part time employment. Employees who are a trainee, apprentice, casual and employees on a temporary contract of 12 months or less will not be eligible to apply.
4. The employee must gain Manager and CEO approval of the course prior to seeking assistance under this policy.
5. The Shire is supportive of employees who seek further education and, through the Chief Executive Officer, an application may be considered and/or approved under the following considerations:
    a. the studies are relevant to the current position or potential future career development;
    b. the extent to which the department/section will be inconvenienced;
    c. the employees past work performance and behaviour.

Contribution to Fees

6. When it is financially advantageous to do so the Shire will consider paying the fees incurred upfront in order to receive any discount offered by their respective Educational Institution.

7. The employee pays for the fees and thereafter provides a copy of their receipt and statement of results at the end of the semester at which time the Shire will repay the employee up to 100% upon proof of completion and passing of the course. A statement of results as well as a copy of the payment receipt is required for reimbursement.

8. A repayment scale is applied if an employee leaves the Shire within 2 years from the date they received the payment.
    - Within 6 months – 100% repay to the Shire
    - Within 12 months – 75% repay to the Shire
    - Within 18 months – 50% repay to the Shire
    - Within 24 months – 25% repay to the Shire

9. The Shire will not make any contribution towards the books, parking, campus fines, memberships, guild fees, travel costs or other costs associated with the course of study undertaken.

10. All requests for assistance from the Shire should be made and approved within a financial year and not be carried into a second financial year.

11. The need for an employee to repeat a unit shall be deemed to be unsatisfactory performance and the employee will not receive further assistance from the Shire.

12. Fees paid to employees who work part-time hours will be calculated on a pro-rata system calculated as a percentage of a full time equivalent figure based on the employee's normal hours of work.

13. All costs, other than salaries, incurred under this policy will be costed against the Shire's training budget.

Leave Arrangements

The Shire will provide the opportunity for an employee to take time off (study leave) of up to 5 hours per week, provided that such time is made up and does not interfere with Council operations significantly, excepting in the case of employees classified as "trainee", "cadet" or "apprentice" where additional Study Leave may be granted by the CEO.

Roles and Responsibilities

Chief Executive Officer
The Chief Executive Officer has responsibility to ensure this policy is implemented.

Managers and Supervisors
Managers and supervisors have responsibility to ensure employees are aware of this policy and actively promote professional development of staff as part of this policy.

Related Documentation

Study Assistance Application Form

Related Legislation/Local Law/Policy/Procedure

Strategic Community Plan – Our Leaders – Outcome 3 – Commitment to continuous improvement in service delivery and good governance practices ensures the Shire is adaptive to evolving community needs.

Related Delegation

NIL

Review History

25 September 2018 (Item 10.1.1)

Development of Policies and Administrative Procedures

Policy Owner	Chief Executive Officer
Distribution	All Staff
Responsible Officer	Acting Manager Corporate & Community Services
Date Adopted	25 September 2018
File Reference	Organisation/Governance/Council Policies

Objective

To establish a policy framework that aims to set an overarching governance hierarchy enabling the Council and Administration to collectively:

- Provide effective and accountable strategic leadership
- Make decisions based on principles of equity, fairness, natural justice, transparency of decision making and good government, as well as meeting statutory requirements.

Policy

Council Policies and Administrative Procedures enable effective and efficient management of Council resources and assist staff and Council to achieve an equitable decision-making process.

In respect to policy development and implementation, the intent outlined in the Local Government Act 1995 (section 2.7 (2b) and 5.41) is for Council to set the strategy and policy direction with the implementation of that direction and the day to day operations resting with the Chief Executive Officer.

Council Policies – approved by Council

- Are strategic, outcome focussed and set governing principles, guiding the direction of the organisation;
- Have strategic external focus;
- Align with community values and aspirations;
- Are clearly linked to the role of Council;
- Are focussed on alignment with Strategic Plan and Strategic Financial Plan of Council; and
- Do not prevail over or contradict the Local Planning Scheme.

Their intent is to have Council Policies that drive and align with the five focus areas of the Strategic Plan:

- Our Lifestyle;
- Our Infrastructure;
- Our Economy;
- Our Natural Environment;
- Our Leaders.

Council policies are developed through a Council workshop process and/or the administration and adopted by Council.

Council policies provide general guidance without directing operational activities.

Administrative Procedures

- Are developed for administrative and operational imperatives;
- Have an internal focus;
- Are developed by the administration; and
- Are endorsed by the Management team and approved by the CEO.

Procedures are the administrative guidelines for the implementation of Council Policies, supporting sound administration of the Shire (generally technical and/or operational in nature). They are endorsed by Management and approved by the CEO.

Roles and Responsibilities

Chief Executive Officer
The Chief Executive Officer has responsibility to ensure this policy is implemented.

Managers and Supervisors
Managers and supervisors have responsibility to ensure employees are aware of this policy and actively review policy and procedures to ensure compliance with this policy.

Related Documentation
Nil

Related Legislation/Local Law/Policy/Procedure

Local Government Act 1995 (section 2.7 (2b) and 5.41)

Strategic Community Plan – Our Leaders – Outcome 3 – Commitment to continuous improvement in service delivery and good governance practices ensures the Shire is adaptive to evolving community needs.

Related Delegation

NIL

Review History

25 September 2018 (Item 10.1.2)

Street Tree Policy

Policy Owner	Chief Executive Officer
Distribution	Management
Responsible Officer	Chief Executive Officer
Date Adopted	27 November 2018
File Reference	Orgnisation/Governance/Council Policies

Objective

This policy aims to provide guidance for the provision, management and maintenance of street trees and shire gardens within the Shire.

Policy

Trees in the rural urban environment perform several functions that maintain the sustainability of our towns and contribute to the health and wellbeing of our community. This policy will:

- Encourage the planting of appropriate trees, particularly trees native to Western
- Australia, throughout the Dowerin townsite.
- Guide decisions regarding the planting, management, maintenance and removal of street trees.
- Ensure the protection of existing trees worthy of retaining in the road reserve.
- Identify management and maintenance responsibilities.
- Provide consistent advice on all enquiries relating to street trees.

Street trees are provided by the Shire through its annual winter planting program where a request for a street tree is formally lodged via the Shire Office.

The number of trees permitted on the verge abutting the front property boundary line of a typical residential lot (typical lot frontage is 15m) is one tree per property; however up to three trees may be permitted on corner blocks, and more than one may also be permitted on the verge of a large commercial or industrial property. To minimise maintenance requirements, planting of trees under power lines will not be permitted.

The species of tree provided will be the same or similar to those already existing in the street. Where possible, preference will be given to tree species native to Western Australia. If there is not a dominant tree species, a tree from the Suggested Tree Planting List, located on the Shire's website, will be selected based on its suitability to the site.

The Shire encourages land developers to provide one shade tree per residential lot (except in rear laneways) that is consistent with the Shire's Suggested Street Tree Species List.

The Shire preference is to install trees of 5 litre pot size for reasons of cost-effectiveness, vigour of stock, and quicker establishment periods. However, in some instances where 5 litre trees are not available, the Shire may consider trees of up to 90 litre in pot size.

All trees planted in the road reserve are ultimately the maintenance and management responsibility of the Shire. After planting, the Shire will schedule watering during summer however residents are encouraged to water trees for at least two summers to assist in their establishment. The Shire will undertake all other maintenance works to ensure the tree remains healthy, has appropriate sightline clearances for pedestrians and vehicles, and fulfils the legislated clearance requirements regarding overhead power supply.

Regular pruning of street trees located near aerial power lines is necessary to prevent trees from growing into the Western Power exclusion zones around these wires. The Shire undertakes these works to comply with Western Power requirements.

The Shire will consider removing a street tree where the tree is dead, in a state of decline to the point that survival is unlikely, is causing significant damage to infrastructure or services, as well as presenting an unacceptable level of risk to surrounding infrastructure or if retention is not possible due to an approved development. All requests for the removal of street trees will be assessed by the Shire in accordance with best arboriculture practice to maximise the possibility of retaining the tree. Tree removal is considered as a final option in
street tree management.

The Shire consults with affected stakeholders during the planning stages of specific streetscape replanting programs. Notification will be provided to the adjoining resident/stakeholders in cases where a tree is required to be removed or replaced.

Roles and Responsibilities

Chief Executive Officer
The Chief Executive Officer has responsibility to ensure this policy is implemented.

Managers and Supervisors
Managers and supervisors have responsibility to ensure employees are aware of this policy and actively review policy and procedures to ensure compliance with this policy.

Related Documentation
Nil

Related Legislation/Local Law/Policy/Procedure

Related Delegation

Nil

Review History

27 November 2018 (Item 10.1.6)

Prescription Safety Glasses Policy

Policy Owner	Chief Executive Officer
Distribution	All Staff
Responsible Officer	Chief Executive Officer
Date Adopted	22 January 2019
File Reference	Organisation/Governance/Council Policies/Prescription Safety Glasses

Objective

To comply with the *Occupational Health and Safety Act 1984* in providing appropriate personal protective equipment (PPE) for employees.

To provide prescription safety glasses for employees where optical aids are required and their regular duties require the use of safety glasses.

Policy

This policy applies to all Shire employes with the exception of employees on casual contracts, independent contractors and volunteers.

Reimbursing an employee for prescription safety glasses will only be approved when the safety glasses provided by the Shire, which fit over prescription glasses, do not fit properly and therefore are not fit for purpose.

If a reimbursement is approved, based on the above, the Shire will reimburse employees for the cost of prescription safety glasses up to a maximum value of $200.

Employees may purchase glasses costing more than this amount, however they will only be reimbursed the prescribed amount above. If the amount is less than the prescribed amount or the employee obtains any kind of rebate which brings the total cost of the glasses to less than the prescribed amount, the Shire will only reimburse the employee for their out-of-pocket expenses. Employees wishing to be reimbursed will be required to produce:

- A receipt for the glasses
- A private health insurance or other rebate receipt (if applicable)

Employees are responsible for ensuring that all glasses purchased comply with the Australian/New Zealand standards:

- AS/NZS 1337:1992 Eye protectors for industrial applications; and
- AS/NZS 1338:1992 Filters for eye protectors

Prescription safety glasses may be replaced where:

- they are lost or stolen;
- they are scratched or damaged during regular work duties; or
- the employee's prescription changes.

Employees are entitled to one (1) pair of prescription safety glasses per financial year. The Shire will only consider replacing glasses more than once per year in extenuating circumstances.

Roles and Responsibilities

Chief Executive Officer
The Chief Executive Officer has a responsibility to ensure this policy is implemented.

Managers and Supervisors
Managers and supervisors have a responsibility to ensure employees are aware of this policy.

Related Documentation

Occupational Safety Health and Environmental Policy

Related Legislation/Local Law/Policy/Procedure

Occupational Health and Safety Act 1984
Occupational Health and Safety Regulations 1996
AS/NZS 1337: 1992 Eye protectors for industrial applications
AS/NZS 1338: 1992 Filters for eye protectors

Related Delegation

NIL

Review History

22 January 2019 (Item 10.2.1)

Information Management Policy

Policy Owner	Chief Executive Officer
Distribution	Councillors, Employees & Contractors
Responsible Officer	Chief Executive Officer
Date Adopted	26 February 2019
File Reference	Organisation/Governance/Council Policies

Objective

- To ensure that the Shire meets the statutory requirements of the State Records Act 2000;
- To ensure uniformity and consistency for the creation and maintenance of records within the management systems within the Shire of Dowerin.
- Define the roles and responsibilities of those Officers who manage and perform record keeping processes for, or on behalf of, the Shire of Dowerin.

Definitions

Ephemeral Records
Ephemeral records are those with only short-term value to the Shire, as they contain little or no ongoing administrative, fiscal, legal, evidential or historical value. They are usually not incorporated into the Shire's recordkeeping system.

Government Record
Is a record created or received by or for a government organisation or a government organisation employee or contractor in the course of the work for the organisation.

Records
Any record of information however recorded and includes:

(a) Any thing on which there is writing or Braille;
(b) A map, plan, diagram or graph;
(c) A drawing, pictorial or graphic work, or photograph;
(d) Anything on which there are figures, marks perforations, symbols, having a meaning for persons qualified to interpret them;
(e) Anything for which images, sounds or writings can be reproduced with or without the aid of anything else; and
(f) Any thing on which information has been stored or recorded either mechanically, magnetically, or electronically.

State Archive
A State Record that is to be retained permanently.

Policy

The Shire's corporate records are to be managed in accordance with the Shire's Record Keeping Plan. All Councillors, Employees and Contractors are responsible for maintaining complete, accurate and reliable evidence of all business transactions and ensuring all corporate documents are retained in the Shire's official Information Management system, at the point of creation, regardless of the format, in accordance with:

a) State Records Act 2000;
b) Freedom of Information Act 1992; and
c) Local Government Act 1995.

Accurately created and maintained records are important and necessary because they serve as a history of the transactions and business processes of the Shire. They are a fundamental tool for providing evidence of local government accountability and responsibility. It is for these reasons' legislation exists to ensure that records are properly maintained and preserved for future generations.

Creation of Records

All Councillors, staff and contractors will create full and accurate records, in the appropriate format, that property and adequately record the business decisions and transactions of the Shire of Dowerin, to meet all legislative, business, administrative, financial, evidential and historical requirements.

Capture and Control of Records

All records created and received in the course of the Shire of Dowerin's business are to be captured at the point of creation, regardless of format, with required metadata, into the appropriate recordkeeping and business systems, that are managed in accordance with sound recordkeeping principles. The Customer Service and Records Officer is responsible for collecting, opening and sorting all mail. All incoming and outgoing mail is recorded in the Shire's recordkeeping system by the relevant Officer. All incoming mail is distributed to the relevant Officers on a daily basis through the recordkeeping system.

Security and Protection of Records

All records are categorised as to their level of sensitivity and adequately stored and protection from violation, unauthorised access or destruction, and kept in accordance with necessary retrieval, preservation and storage requirements.

Access to Records

Access to the Shire of Dowerin's records by staff and contractors will be in accordance with designated security classifications. Access to the Shire's records by the general public will be in accordance with the Freedom of Information Act 1992 and the Shire's Information Statement.

Access to the Shire of Dowerin's records by Councillors will be via the Chief Executive Officer in accordance with the Local Government Act 1995.

Retention and Disposal

All records kept by the Shire of Dowerin will be retained and disposed of in accordance with the General Disposal Authority for Local Government Records, produced by the State Records Office of WA.

The Disposal of records will be coordinated by the Corporate & Community Services Manager and authorised by the Chief Executive Officer.

Roles and Responsibilities

Chief Executive Officer

The Chief Executive Officer is to ensure that there is an organisational system which facilitates the maintenance and management of records in compliance with the *State Records Act 2000* and Shire guidelines and procedures.

All Staff

All staff are to create, maintain and retain records relating to the business activities they perform. They are to identify records and ensure that all records are captured and recorded in the appropriate record keeping system, and, protected and disposed of in accordance with the State Records Office's General Disposal Authority for Local Government Records.

Councillors

Councillors are to ensure that they are aware of the record keeping procedures that ensure records are created and kept regarding their participation in the decision-making processes of Council.

Related Documentation

Shire of Dowerin Recordkeeping Plan

Related Legislation/Local Law/Policy/Procedure

State Records Act 2000
Section 5.41 (h) Local Government Act 1995
Freedom of Information Act 1992

Related Delegation

NIL

Review History

26 February 2019 (Item 10.2.1)

Mixed Use Properties Policy

Policy Owner	Finance Manager
Distribution	Finance Team
Responsible Officer	Chief Executive Officer
Date Adopted	30 April 2019
File Reference	Organisation/Governance/Council Policies

Objective

- To ensure Council complies with the Rates and Charges (Rebates and Deferments) Act 1992 when applying pensioner and/or senior concessions to mixed use properties.
- To provide a fair and equitable method of calculating the concession to be applied to mixed use properties.
- To ensure a consistent approach is adopted for the calculation of pensioner and/or senior concessions on mixed use properties.

Policy

From the 1 July 2019, Council will calculate the curtilage percentage to apply to mixed use assessments each year when the rates and charges are struck.

This calculation will be based upon the residential portion of the assessment being charged the minimum levy for the year.

Calculation Method

The curtilage percentage will be calculated each year when the rates and charges are levied. The curtilage percentage will be used to calculate the rebate allowed for that assessment.

Step One – Determining Curtilage Percentage

Calculation Equation;

- Minimum Levy for the Rate Code assigned to the assessment
- Multiplied by 100
- Divided by Total Rates Levied for the assessment
- Equals Curtilage Percentage

For example;

- Minimum Levy for the Rate Code = $741.00
- Total Rates Levied for the assessment = $2697.32
- Curtilage Percentage Equation ($741.00*100)/$2697.32
- Equals 27.47%

Step Two – Calculating Rebate Allowed

Rebate Allowed Calculation is in accordance with *Rates and Charges (Rebates and Deferments) Act 1992* as interpreted by the Office of State Revenue.

Based on 1/7/2019 calculation rules the rebate allowed calculation equation is;

- Rates Levied for the assessment
- Multiplied by the Rebate % for Pensioner/Senior

- Multiplied by the Curtilage % for assessment

If less than the rebate cap, the amount calculated applies
If greater than the rebate cap, the rebate cap applies

- Multiplied by Pensioner/Senior Equity in assessment
- Equals Rebate Allowed

For example;

- Rates Levied for the assessment = $2697.32
- Pensioner is entitled to 50% rebate
- Curtilage Percentage = 27.47%
- Rebate Cap = $750.00
- Pensioner Equity = 100%

Rebate Allowed Equation

- ($2,697.32 multiplied by 50%) multiplied 27.47% = $370.48
- Rebate is less than $750.00 so rebate applied = $370.48
- Pensioners Equity = $370.48 multiplied by 100%
- Rebate Allowed = $370.48

Notifying Ratepayers

Ratepayers affected by this calculation will be advised what their curtilage percentage will be each year when the rate notices are issued. The Ratepayer will be given the opportunity to inform Council that the property is no longer earning an income and therefore can receive the full entitlement to the pensioner and/or senior concession.

New Pensioners and/or Seniors

Council will check the property use for each new pensioner and/or senior application. If the property is recorded as having a zone or land use which indicates it may earn an income, the ratepayer will be written to advising of this policy. The Ratepayer will be given the opportunity to inform Council that the property is not earning an income and therefore can receive the full entitlement to the pensioner and/or senior concession.

Roles and Responsibilities

The Rates Officer is to ensure all pensioner and/or senior concession applications are reviewed to determine if the property may have mixed use.

The Rates Officer will be responsible, under the direction of the Chief Executive Officer, of advising the ratepayers of this policy and its impact on their entitlement to concessions.

Related Documentation

Nil

Related Legislation/Local Law/Policy/Procedure

Rates and Charges (Rebates and Deferments) Act 1992, Section 28

Related Delegation

Nil

Review History

Adopted 30 April 2019 (Item 10.2.2)

Road Engineering and Subdivision Policy

Policy Owner	Chief Executive Officer
Distribution	All Employees
Responsible Officer	Manager Works and Assets
Date Adopted	28 May 2019
File Reference	Organisation/Governance/Council Policies

Objective

(a) Provide a safe, efficient and effective road system for the Shire;
(b) Facilitate the upgrading of existing roads to standardised widths, alignments and standards of construction;
(c) Provide sufficient road reserve width to accommodate all required public utilities required now and into the future as part of any Road Construction; and
(d) Provide a rational and consistent basis for the construction of roads and any financial contributions required for such construction.

Policy

The Dowerin road hierarchy consists of 5 category types:

- Category 1: Regional Distributer Rural (RRG 2030)
- Category 2: Local Distributer Rural
- Category 3: Access Road
- Category 4: Minor Access Road Rural
- Category 5: Urban Road (Town Streets)

Regional Distributer Rural (RRG 2030)	Regional Distributer Rural (RRG 2030) are to conform to type 5 roads with a minimum 10 metre gravel formation with a minimum 7.0 metre width sealed running surface and 1.5 m shoulders within a minimum 20 metre wide road reserve.
Local Distributer Rural	Minimum 10 metre gravel formation with a minimum 7.0 metre wide running surface and 1.5 m shoulders within a minimum 20 metre wide road reserve.
Access Road Rural	Minimum 8 metre gravel formation with a minimum 7.0 metre wide paved running surface and 0.5 m shoulders within a minimum 20 metre wide road reserve.
Minor Access Road Rural	Minimum 6 metre formed road within a 20 metre wide road reserve.

Urban Roads (Town Streets)	These roadways are defined in the Liveable Neighbourhoods Guide as Access Streets and Laneway/Service Lane. Town Access Streets pavements shall be sealed with a minimum width of 7.2 metres between kerbs within a minimum 20 metre wide road reserve. The diameter between kerbs for a cul-de-sac shall be a minimum of 18.0 metres. ("T" turning heads are not acceptable) Concrete/asphalt footpath on at least one side of the road shall connect to existing footpaths. Industrial, Commercial and Thoroughfares Pavements shall be subject to a minimum seal width of 7.2 metres between kerbs within a minimum 20 metre wide road reserve. Unsealed gravel footpath on sides of the road to connect to existing footpaths where possible. Rural Residential Pavements shall be subject to a minimum width of 7.2 metres within a minimum 20 metre, wide road reserve. Unsealed gravel footpath to one side of the road to connect to existing footpaths where possible.

DESIGN CRITERIA

General
Criteria provided here are minimum criteria only and are necessarily broad based to cover general subdivision situations. In particular situations amendments may be required and the Council may impose special conditions not covered by the criteria.

ROADS

General Information
Roads should generally be designed in accordance with relevant Austroads (NAASRA) and ARRB guidelines and publications, which include:

1. Guide to Traffic Engineering Practice;
2. Guide for the Design of Typical Urban Intersections;
3. Guide Policy for Geometric Design of Major Urban Roads;
4. Policy for Geometric Design of Rural Roads;
5. Policy for Installation by Public Utility Authorities within the Road Reserve;
6. A Structural Design Guide for Flexible Residential Street Pavements;
7. Pavement Design – A guide to the Structural Design of Road Pavements;
8. Australian Model Code for Residential Development;
9. Bicycle Facilities Design Guidelines; and
10. Where there is any conflict between the requirements of these guidelines and the above publications, the details specified in these guidelines

Generally all road pavement widths shall conform to the Shire of Dowerin' road hierarchy. For residential subdivisions, this has been based upon the Liveable Neighbourhoods Community Design Code which is the operational policy for the Western Australia Planning Commission (WAPC). This road hierarchy enables the safe and orderly movement of vehicles, cyclists and pedestrians within and throughout the municipality. Consideration however must be given to the final aesthetic and functional aspects of the area, particularly in rural areas. Aspects to be considered include minimising the environmental impact (particularly regarding existing trees and vegetation), fitting road grades as close to existing contours as practicable and provision of lot access.

Crossfall
Sufficient crossfall should be provided to allow easy run-off of water from the surface, to prevent potholes developing. If too great a crossfall is applied, the surface material will be prone to scouring and erosion. For dual carriageway, two way crossfalls should meet with a crown. This will assist in preventing the development of potholes in the road centre. For single lane carriageways, it may be best to have single crossfall for ease of grading during regular maintenance.

Generally,
1. for unsealed roads, a crossfall of 4-5% shall apply;
2. for sealed roads, a crossfall of 2-3% shall apply;
3. for shoulders or straights, the crossfall of road shoulders may be up to 2% steeper than the crossfall of the traffic lane it flanks; and
4. for shoulders or curves with superelevated pavements, both shoulders can be superelevated to crossfalls not less than the pavement crossfalls.

WIDTHS - UNSEALED SHOULDERS ON SEALED ROADS

The purpose of shoulders is to:
1. give lateral support to the pavement;
2. carry surface water away from the pavement;
3. give extra width for traffic to stop or stand for emergency use;
4. allow overtaking or passing movements, particularly on single lane pavements; and
5. create a sense of open space, and therefore increase the effective use of traffic lanes.

Shoulder widths on future sealed roads should ideally be 1.5m on each side, although this can be reduced to 1.0m on dual lane minor roads. This recommended standard will be applied to existing roads as part of a future upgrade/reconstruction to that road.

DRAINAGE WORKS

Table Drains
Table drains should be a minimum of 300m below the gravel pavement layer.

Drains should be free of all vegetation and obstructions, to allow for free drainage and improved sight distances.

Culverts
Culvert bedding should comprise of cement stabilised gravel or sand (40kg of cement per cubic metre of loose gravel) in a minimum thickness of 150mm (compacted). Culvert backfill should comprise of cement stabilised gravel in a maximum working thickness of 150mm (compacted).

For sealed roads, the cement stabilised gravel should be constructed up to the finished level and the seal coat applied. For unsealed roads, the cement stabilised backfill should be constructed to 150mm below the finished road level.

Box Culvert Cases
All new and/or replaced box culverts are to have a continuous concrete slab base unless using Main Roads approved flat packed culverts with a 2 piece interlocking slab.

Headwalls
All culverts, headwalls shall be constructed of concrete or grouted stone pitched headwalls comprising of wing walls, aprons and cut off walls.

For culverts greater than 750mm diameter or height, the headwalls shall be steel reinforced.

Batters
In shallow cuttings - up to 3m depth, cut batters are usually flattened for improved appearance beyond that required for stability purposes.

Batters should be no steeper than 3 to 1.

Slope Benches
On high batters, exceeding 10m vertical height, or where batters are constructed of unstable material, consideration should be given to the provision of benches.

Benches are beneficial for:

1. eliminating the need to flatten the batter slope in the interests of stability;
2. reducing scour on the batter face;
3. minimising the possibility of rock falling onto the pavement; and
4. improving the appearance of the cutting.

ROAD UPGRADING

The Shire may request contributions from developers to upgrade existing roads as a condition of approval of adjoining applications.

Road Construction Specification
If the proposed subdivision or development is located on an unsealed road, Council may determine that the developer shall contribute towards road construction or upgrade to connect the development to the nearest sealed road the upgrade may include services and drainage.

PROVISION OF SUBDIVISIONAL ROADS AND ASSOCISATED CIVIL WORKS

Public access to all or part of the roads is applicable within the subdivision will not be allowed until a certificate of completion from the Consulting Engineer is given and accepted by the CEO.

Clearance of the subdivision by the CEO shall be granted at such time as the subdivisional civil works are fully completed, all other relevant conditions set by the Western Australian Planning Commission are satisfied, supervision fee (1.5% or 3%) paid, and the 7.5% retention bond is in place as.

Clearance may also be granted to an uncompleted subdivision whereby bonds will be negotiated to cover the cost of the incomplete works or relevant conditions. This will be decided, at the discretion of the CEO, on a case by case basis however generally bonds will only be permitted where the majority of the work or the majority of the relevant conditions set by the Planning Commission have been satisfied. Bonds will be held until such time as the outstanding issues are completed to the satisfaction of the CEO.

The amount of the bond will be determined based on the value of the work subject to the bond plus 20%.

CONTRIBUTIONS TO UPGRADING ADJOINING AND FEEDER ROADS

Subdivisions which increase the volume of traffic on Council controlled roads may attract a contribution from the subdivider for the upgrading of the Council road.

In instances where a subdivision attracts a road upgrading condition, the CEO shall specify and justify the work in the response to the Planning Commission. Depending upon the size and scale of the proposed subdivision the CEO is to either stipulate the specific road upgrading requirements (eg; upgrade 'x' road to 6m seal from intersection with 'y' road to entrance of proposed internal access road of subdivision) or a financial contribution towards the future upgrading of the subject road.

In some instances the size of the subdivision will generate such a significant increase in traffic volume on an existing road that a total (100%) contribution towards the upgrading of the road will be required.

This is to allow appeal by the subdivider through the normal appeal process.

All financial contributions received from subdividers not expended in the same year as receipt are to be placed in reserve and quarantined for use on the nominated road.

OUTLINE SPECIFICATION FOR BITUMEN CONSTRUCTION

General
All work should be carried out to the complete satisfaction of the Shire of Dowerin and in accordance with best accepted engineering practice. As a guide, developers should refer to the text "Local Government Guidelines for Subdivisional Development" published by the Institute of Public Works Engineering Australia (WA Division), ISBN 0-646-36284-4.

Design
A preliminary design for the work must be prepared by a qualified practicing Civil Engineer or suitably qualified or experienced person (as approved by the CEO. The design should show longitudinal plans and cross sections of the proposed road(s), general specifications, levels, drainage, nature of soil and other such information to enable the CEO to make a decision on approving the work.

It is important that subdividers establish road standards with the Shire before commencing design.

Design Drawings
Design drawings and specifications should be to the extent and in accordance with that recommended at Section 3 of the text "Local Government Guidelines for Subdivisional Development". However, as a minimum design drawings shall include plans and longitudinal sections generally at the scale of 1 in 1000. Levels should be reduced to AHD where possible. Cross sections shall be included for all roads.

The design shall be forwarded to the CEO for approval in two hard copies minimum drawing size A1 unless specifically approved. The design will be reviewed after which either approval or changes will be suggested. Any changes or amendments will need to be reflected in revised drawings prior to approval being issued.

Geometric design to be based on a minimum design speed of 80km/h unless ground conditions make this impossible. Where this occurs the standard reached shall be clearly indicated and provision for appropriate road signs included in the contract.

Drainage
Drainage detail should be specific and include constructional detail of all structures being utilised.

Storm water should be discharged as soon as possible onto the land surface or to a natural water course.

Where grades exceed 6% or where sub-grade material is particularly subject to erosion, stormwater shall not be carried in unlined water-tables or open drains unless specific approval is given by the CEO.

All storm water drainage is to be designed in accordance with Australian Rainfall and Runoff 1997 and the relevant Austroads Guides. Flow widths along kerb lines are not to exceed 2.0m from the face of kerb and water velocity is not to exceed the scour velocity of the road and kerb surface.

All drainage discharge points shall be protected against erosion approved by the CEO.

All drainage lines shall be of a standard recommended by the concrete pipe association (or equivalent design code for other types of pipe such as PVC or polypropylene) for the proposed installation situation.

Pipes are to be laid in straight lines between structures, true to grade and line. At all structures, pipes, etc., shall be connected with cement mortar or as specified by the manufacturer to ensure water-tightness and exclusion of ground water, unless otherwise approved in the design.

Subgrade
Roads shall be formed and compacted true to location, level and grade as shown on the design drawings. All fill areas shall be compacted from the bottom up, with the base dimensions calculated to comply with acceptable angles of repose. All material used in fills must be capable of compaction as per Main Roads Western Australia specifications. The CEO reserves the right to require compaction testing as per Main Roads Western Australia specifications at the contractors or subdivider's cost.

Pavement Design
Road base material shall be laterite gravel (or other approved material) taken from a pit approved by the CEO Laboratory tests may be required on representative samples at the contractors or subdivider's expense.

The pavement design shall be carried out as per Main Roads Western Australia specifications. Details submitted in the design shall include the materials and the pavement structure being proposed.

Road base depth shall be not less than 200mm compacted unless approved by the Shire or justified by laboratory test results on the sub-grade and base material.

Surface Treatment
The Consulting Engineer shall submit a seal design to the CEO giving full details of the proposed seal treatment(s). Seals shall conform to Main Roads Western Australia specifications. No seal shall be applied prior to the seal design being approved by the CEO.

The approval process will include an inspection of the base course.

OUTLINE SPECIFICATION FOR UNSEALED (GRAVEL) CONSTRUCTION

General
All work should be carried out to the complete satisfaction of the Shire of Dowerin and in accordance with best accepted engineering practice. As a guide, developers should refer to the texts "Local Government Guidelines for Subdivisional Development" published by the Institute of Public Works Engineering Australia (WA Division), ISBN 0-646-36284-4 and ARRB's 'Unsealed Road Manual – Guidelines for Good Practice'.

Design
A preliminary design for the work must be prepared by a qualified practicing Civil Engineer or suitably qualified or experienced person as approved by the CEO.

The design should show longitudinal plans and cross sections of the proposed road(s), general specifications, levels, drainage, nature of soil and other such information to enable the CEO to make a decision on approving the work.

It is important that subdividers establish road standards with the Shire before commencing design.

Design Drawings
Design drawings and specifications should be to the extent and in accordance with that recommended at Section 3 of the text "Local Government Guidelines for Subdivisional Development". However, as a minimum design drawings shall include plans and longitudinal sections generally at the scale of 1 in 1000. Levels should be reduced to AHD where possible.
The design shall be forwarded to the CEO for approval in two hard copies minimum drawing size A1 unless specifically approved. The design will be reviewed after which either approval or changes will be suggested. Any changes or amendments will need to be reflected in revised drawings prior to approval being issued.

Note: All geometric design to be based on a minimum Design Speed of 80km/h unless ground conditions make this impossible. Where this occurs the standard reached shall be clearly indicated and provision for appropriate road signs included in the contract.

Drainage

Generally, drainage on gravel roads will consist of open drains with culverts with headwall structures installed transversely beneath the road surface.

Drainage detail should be specific and include constructional detail of all structures being utilised.

Storm water should be discharged as soon as possible onto the land surface or to a natural water course.

Where grades exceed 6% or where sub-grade material is particularly subject to erosion, stormwater shall not be carried in unlined water-tables or open drains unless specific approval is given by the CEO.

All storm water drainage is to be designed in accordance with Australian Rainfall and Runoff 1997 and the relevant Austroads Guides.

All drainage discharge points shall be protected against erosion in a manner approved by the CEO.

All drainage lines shall be of a standard recommended by the concrete pipe association (or equivalent design code for other types of pipe such as PVC or polypropylene) for the proposed installation situation. Pipes are to be laid in straight lines between structures, true to grade and line. At all structures, pipes, etc., shall be connected with cement mortar or as specified by the manufacturer to ensure water-tightness and exclusion of ground water, unless otherwise approved in the design.

Earthworks & Formation

Subgrade

Roads shall be formed and compacted true to location, level and grade as shown on the design drawings. All fill areas shall be compacted from the bottom up, with the base dimensions calculated to comply with acceptable angles of repose. All material used in fills must be capable of compaction as per Main Roads Western Australia specifications. The CEO reserves the right to require compaction testing as per Main Roads Western Australia specifications at the contractors or subdivider's cost.

Pavement Design

Road base material shall be laterite gravel (or other Shire approved material) taken from a pit approved by the Shire. Laboratory tests may be required on representative samples at the contractors or subdivider's expense.

The pavement design shall be carried out as per Main Roads Western Australia specifications. Details submitted in the design shall include the materials and the pavement structure being proposed. Crossfalls shall not be less than 2-3%.

Road base depth shall be not less than 200mm compacted unless approved by the Shire or justified by laboratory test results on the sub-grade and base material.

Surface Treatment

The surface shall be water bound, compacted and shaped as per the design to give a smooth and solid running course with a minimum of loose material.

SUBDIVISIONAL ROAD REQUIREMENTS

Internal Roads (Access Roads) - the full cost of all internal roads will be at the cost of the developer.

The standard of road will conform to Council's Road Standards, and the level of construction will be as dictated by the number of lots serviced, terrain, number of spur roads, and potential traffic generated.

Servicing by Existing Roads - when subdivisional lots are permitted to be serviced by existing roads a contribution will be required to upgrade the road to an acceptable standard dictated by the number of lots and the volume of potential additional traffic.

Feeder Road Upgrading (Regional Distributer Rural (RD) Roads) - where subdivisional roads connect to an existing Shire feeder road which is of a standard inadequate for the potential traffic after the subdivision is fully developed, a contribution sufficient to raise that standard to an acceptable level will be required after taking into consideration future contributions from other adjacent subdividable land.

NOTE: A feeder road standard not less than that required for the internal road provided for the subdivision will be required.

Major Feeder Road Connection (Primary Distributor, District Distributor A or Regional Distributor Roads) - where subdivisional roads connect to an existing major feeder road (eg. highway or secondary road) already adequate in standard, a contribution will be required for any traffic controlling treatments, containing drainage, entry treatments, and dealing with specific safety problems such as visibility, signage etc. Where the feeder road is a highway or secondary road under the control of Main Roads Western Australia approval from Main Roads Western Australia is required prior to submission of design drawings to the Shire.

Connecting Road Presently Not Existing - where a subdivision is created which will require connection to a feeder road or highway and no formed road exists then the full cost of this connecting road to a standard dictated by the number of created lots and potential volume of traffic generated will be required.

Additional or Connecting Roads - where contributions have been assessed in accordance with this Policy, Council reserves the right to fully utilise the contribution on the section of adjoining or connecting road with the greatest priority.

CROSSOVERS

Under Schedule 9.1, Clause 7 (3) of the *Local Government Act 1995*, regulations may authorise a local government to require a person to make or repair a crossing from public thoroughfare to: a) private land that the person owns or occupies, or b) a private thoroughfare servicing private land that the person owns or occupies, and if the person fails to do so, to do so itself and recover 50% of the cost as a debt due from the person.

The Council wishes to encourage land owners to install vehicle crossovers in a timely manner.

To encourage the installation of crossings by landowners, the Council will offer a subsidy towards the cost.

The Manager of Works & Assets will inspect and prepare a standard specification which shall be the basis for calculation of a subsidy payment.

Payment of up to half of the cost for a standard 4.0 metres urban and 6 metres wide rural crossing from the road surface to the front boundary of the property.
Council's contribution shall not exceed the maximum of $1,000 reimbursement.

The Manager of Works & Assets shall approve the specification for the different circumstances within the shire and each crossing must be constructed in accordance with Shire's specifications, the remaining cost shall be payable by the property owner.

In the instance where an existing vehicle crossing has reached the end of its life cycle a subsidy may be payable if the crossing is replaced in accordance with Shire's, specifications and standard. Any extra costs associated with the replacement of the crossing ie cost to remove deteriorated surface and formwork will be at the owners cost. A substandard crossover will not be considered.

Maintenance and upkeep of the crossing to a safe and useable standard is the responsibility of that property owner.

FOOTPATHS

Council recognises the importance of footpaths and dual use paths. There is greater demand than funds available to meet all proposals for footpath and dual use path provision. This policy is to establish how priority will be allocated and standards established.

1. Footpaths and dual use paths will be constructed in accordance with the priorities established in the Shire of Dowerin footpath plan.
2. Paths are to be constructed to the Austroads Standards Part 6A: Pedestrian and Cyclist Paths.

ROAD VERGE VEGETATION

The purpose is to allow for the construction and maintenance of rural roads while acknowledging the importance of the protection and conservation of native vegetation where possible.

Although conservation of roadside vegetation is an objective of this policy, road safety and road asset protection, is the principal consideration.

Relevant Legislation
The *Environmental Protection Act 1986* and *Environmental Protection (Clearing of Native Vegetation) Regulations 2004* govern the activities that will impact on native vegetation. This legislation is relevant to the Shire, setting limitations for road infrastructure works, and landowners who wish to undertake work in road reserves.

Designated Maintenance Corridor
The Environmental Protection legislation, in particular Regulation 5, Item 22 Clearing for maintenance in existing transport corridors (*Environmental Protection [Clearing of Native Vegetation] Regulations 2004*) provides that local government can carry out activities to maintain and protect the integrity of road infrastructure within the designated 'maintenance corridor'.

Road Construction Operations
Where necessary, the Shire will make application for the appropriate clearing permits from the Department of Environment Regulation (DER) prior to undertaking any road construction. Conditions of the permit will be complied with including special considerations for declared rare flora and/or fauna if any has been identified as present in the maintenance corridor.

All works shall be planned to ensure that there is no damage to any vegetation outside the limits of clearing specified. No growing vegetation shall be destroyed or damaged by the works other than those specified and those indicated.

Any tree remaining within the road reserve but outside the limits of clearing which upon assessment is considered unsafe and likely to fall upon the roadway may be cleared and disposed of.

Road Maintenance Operations
The Shire's road maintenance program includes grading, slashing, herbicide application, pruning, drain cleaning, drainage improvements, bitumen resealing, bitumen shoulder grading and gravel re-sheeting. Road maintenance activities will be contained within the Maintenance Corridor, which comprises the running surface, shoulder, table drain and batter to the tip of the back slope.

When major weed control works are to be undertaken, including areas outside the Maintenance Corridor, consultation may occur with the Department of Parks and Wildlife, DER and local catchment management groups.

As part of the Shire's annual road program, unsealed shoulders subject to significant traffic will require periodic grading and gravel re-sheeting. During this process all grasses and vegetation will be removed and disposed of prior to operation.

Some maintenance grading requires occasional clearing of vegetation to accommodate the machine and ensure road safety, however, where possible this will be minimised.

Drains can be mechanically cleared and maintained with a grader or slashed if covered with grass. Drains inaccessible to mechanical equipment may require maintenance with hand tools or approved herbicides. In the cases where these practices will not provide for an acceptable level of drainage the use of excavation equipment may be used.

Requests received from members of the public relating to exclusion of a road reserve/section of road reserve adjacent to their property from the spraying program, should be forwarded in writing to the Chief Executive Officer for consideration.

Removal of Dangerous Vegetation
Occasionally it is necessary to remove a dangerous tree/vegetation that pose/s an imminent threat to public safety, such as impeding sight along the roadway or a tree that has been subject to storm damage and is threatening to fall over a fence line or a roadway. Following inspection by a Shire Officer, any tree removal will be in accordance with Environmental Protection (Clearing of Native Vegetation) Regulations.

Services and Utilities
Alignment of services is to be encouraged to minimise impact on roadside vegetation where possible. Under the Utility Providers Code of Practice for Western Australia, utility providers are to liaise with the Shire of Dowerin regarding the positioning of services and the reinstatement and rehabilitation of disturbed areas.

All materials are to be removed from the road verge, by the utility providers, on the completion of works. The trenches, if relevant, are to be backfilled, adequately compacted and trimmed. All works are to be in accordance with Council Policy.

Flora Roads
Gazetted Flora Roads shall be managed to minimise any disturbance to the roadside flora, consistent with the provision of a safe and efficient roadway.

Unauthorised Clearing and/or Activities Within Rural Road Reserves
Clearing of a rural road verge or unmade road reserve without the relevant permits is prohibited. Penalties may also apply in accordance with the Environmental Protection legislation.

No works shall be undertaken in rural road reserves without written approval from the Shire of Dowerin. This includes planting (including native species), drainage work, fencing, spraying, burning off, clearing vegetation or seed collection.

LANDOWNERS MAINTENANCE OF RURAL ROAD VERGES

Legislation and Approvals
Landowners may apply, in writing, to the Shire of Dowerin to maintain the rural road verge immediately adjacent to their property boundary. Maintenance activities may include vegetation protection or weed removal, but do not include any additions or developments, including, drainage works or construction of any type. Planting within road verges may be considered, however approval will only be given to native / local species that enhance the biodiversity of the road verge area.

Landowners must also comply with the Environmental Protection legislation (refer 2.0 – Relevant Legislation) if planning to undertake any work in a rural road verge.

Maintenance Area
If approved, landowners may only work on the areas of road verge which fall outside the Maintenance Corridor. This is the portion of the verge from the tip of the back slope to the property boundary/fence line. The Council will take all care not to damage any portion of the rural road reserve from the back slope to the fence line, however, landowners will also acknowledge that the Council does not accept any responsibility for any loss or damage to vegetation or areas of the road reserve that may occur due to road maintenance or construction activities.

Application Process
If approval is given to a landowner to maintain their rural road verge, Declared Rare Flora area will be marked with yellow 'hockey stick' style markers and a register kept of relevant rural road verges which are to be left untouched. The landowner needs to be aware when applying for approval that their application may be refused if the Shire is required to carry out maintenance activities to maintain the integrity of the road infrastructure.

Spraying
The Shire's annual spraying program is conducted within townsites and on particular rural road verges to reduce the amount of flammable material. Residents requesting no spraying of the rural road verge adjacent to their property need to apply to the Shire to be placed on the 'Do Not Spray' register.

Fence line Clearing or Removal of Trees Over Fence lines/Boundaries
Landowners wishing to remove vegetation from road verges that has impacted on their property or boundary fence line or seeking permission to clear an area of the road verge for a boundary fence line, should apply in writing to the Shire for permission to do so.

Seed Collection from Road Verges
All flora that is native to Western Australia is protected throughout the State under the *Wildlife Conservation Act 1950*. Protected flora is defined as any plant (including any wildflower, palm, shrub tree, fern, creeper or vine) and includes any part of a plant, including seeds and spores.

The taking of flora is regulated by the issue of licences under the *Wildlife Conservation Act 1950* and *Wildlife Conservation Regulations 1970*. A Scientific or Other Prescribed Purposes (SOPP) Licence is required to take flora from Crown land (non-commercial) and a Commercial Purposes Licence is required for the take of flora for sale from Crown land.

Fire Hazard
The Shire of Dowerin conducts an annual spraying program within townsites and rural road verges to reduce the amount of flammable material.

As the budget for spraying is limited, landowners are encouraged to apply to the Shire to carry out road verge burning.

Roles and Responsibilities

Chief Executive Officer
- The Chief Executive Officer has responsibility to ensure this policy is implemented.

Related Documentation

Nil

Related Legislation/Local Law/Policy/Procedure

Schedule 9.1, Clause 7 (3) of the *Local Government Act 1995*
Wildlife Conservation Act 1950
Environmental Protection [Clearing of Native Vegetation] Regulations 2004
Environmental Protection Act 1986

Related Delegation

Nil

Review History

POLICY NUMBER	-	
POLICY SUBJECT	-	Traffic Management – Shire of Dowerin Roads & Reserves Policy
DATE ADOPTED	-	22 October 2019 (CMRef 0071)
POLICY OWNER	-	Technical Services
DISTRIBUTION	-	Elected Members, All Employees, Contractors, Goods & Service Providers, Public
RESPONSIBLE OFFICER	-	Manager Works & Assets

Objectives

1. To ensure the safety of all workers and the public in line with safe system principles; and
2. To establish uniform procedures for traffic management at work sites and events that can be easily recognised and understood by all.

Policy

This protocol recognises that in accordance with the *Road Traffic Code 2000* (the Code): Regulation 297(2), Instruments of Authorisation (IoA) issued to The Shire of Dowerin by the Commissioner (the Commissioner) of Main Roads Western Australia (MRWA), the Shire is obliged to develop and implement traffic management procedures that will satisfy the Commissioner.

This protocol also provides direction in relation to traffic management of all works and events carried out or authorised by the Shire of Dowerin.

The Shire of Dowerin actively supports the MRWA "Traffic Management for Works on Road Code of Practice" (referenced herein as the "Works Code of Practice"); the Shire also actively supports the MRWA "Traffic Management for Events Code of Practice" (referenced herein as the "Events Code of Practice"), and will conduct its business in such a way as to:

1. Comply with the requirements of the latest amendment to the Works Code of Practice, Events Code of Practice and AS1742.3 for all work and events on roads and reserves undertaken by the Shire and its agents;

2. Authorise other parties not subject to an instrument of authorisation with MRWA to work within the local Government road and/or reserve. It is a condition of this approval that traffic management of road works is carried out in accordance with the "Works Code of Practice" or the Events Code of Practice.

3. Recognise that it has a duty of care under the *Occupational Safety and Health Act 1984* to provide a safe place of work for its employees and to ensure that persons who have access to the workplace are not exposed to hazards.

4. Prepare or have prepared a generic and/or specific (dependant on situation) traffic management plan(s) (TMP) for all works and events on roads and reserves under its control.

5. Keep a record of the traffic management plans and in particular the sign and device arrangement and any changes to such during the works for a period of seven (7) years from the date of completion of the road works.

6. Ensure road works and events traffic management tasks shall only be undertaken by persons who have successfully completed MRWA Traffic Management for Works on Roads - Basic Worksite Traffic Management as a minimum.

7. Ensure that Advanced Worksite Traffic Management training is given to the appropriate person(s) to allow for the review of TMP's and auditing of traffic management worksites and events.

Related Documentation
Administrative Procedure – Traffic Management for Works in a Road Reserve
AS/NZS ISO 31000 – Risk Management – Principles and Guidelines
Australian Standard AS 1742.3-2009 Manual of Uniform Traffic Control Devices, Part 3 Traffic Control for Works on Roads
Main Roads Western Australia Instrument of Authorisation for Events
Main Roads Western Australia Instrument of Authorisation for Works
Main Roads Western Australia Traffic Management for Events on Roads Code of Practice
Main Roads Western Australia Traffic Management for Works on Roads Code of Practice
Traffic Controllers' Handbook

Related Local Law and Legislation
Local Government Act 1995
Thoroughfares Local Law
Occupational Safety and Health Act 1984
Main Roads Act 1930
Road Traffic Act 1974
Road Traffic Code 2000

Related Delegation
Manager Works and Assets

POLICY NUMBER	-	
POLICY SUBJECT	-	Dowerin Home Care – Volunteer Driver Allowance Policy
DATE ADOPTED	-	22 October 2019 (CMRef 0068)
POLICY OWNER	-	Corporate & Community Services
DISTRIBUTION	-	Elected Members, Employees, Volunteers, Contractors, Goods & Service Providers,
RESPONSIBLE OFFICER	-	Chief Executive Officer

Objective

To provide internal controls and clear guidance to staff, volunteers and Council regarding the provision of an allowance to volunteer drivers of Dowerin Home Care (DHC).

Policy

The Shire of Dowerin have a duty of care under Health & Safety Law and Common Law to ensure the safety of their staff, volunteers, clients, elected members and public.

This Policy ensures a level of clarity to all relevant stakeholders when volunteer drivers assist DHC clients.

It also provides guidance to staff and volunteers on how to process the Allowance in accordance with Council Policy.

This Policy will be reviewed on an annual basis as part of budget deliberations.

Responsibilities

The Shire of Dowerin, working with DHC, will:

1. Maintain detailed and confidential volunteer records, including copies of current vehicle licences and bank details for payment;
2. Ensure the vehicle is regularly serviced, cleaned, maintained and in safe condition;
3. Ensure the vehicle is fully fuelled before it leaves the premises;
4. Provide full contact and address details of clients to allow drivers to plan their journeys;
5. Be available to discuss any issues/concerns drivers may have regarding the vehicle, clients or journeys:
6. Maintain and monitor a Volunteer Register with monthly reviews to occur by the CEO;
7. Provide a pre-paid mobile phone to be kept with the vehicle at all times;
8. Maintain all records and advise the Administration Office in writing each time the vehicle is utilised by a volunteer; and
9. Pay each volunteer the appropriate Allowance each fortnight as part of the standard creditor payment process.

All Volunteer Drivers must:

1. Provide a copy of their Driver's Licence annually or upon request;
2. Sign and date the vehicle register when leaving with the vehicle and provide an estimated time of return;
3. Contact the DHC Coordinator using the Shire provided mobile phone if the return time is delayed, advising of the delay, the reason for the delay and the expected time of return;
4. Sign and date the register when returning the vehicle;
5. Advise the DHC Coordinator of any incidents eg: scratches that have occurred whilst the vehicle was out;
6. Ensure that the vehicle is returned in the condition it was provided;
7. Utilise the Shire provided mobile phone for the purpose of maintaining contact with DHC;

8. Restrict the usage of the vehicle to the driving of a client to their appointment from their place of residence and return;
9. Not take the vehicle and/or client to a location that is not en-route;
10. Not provide medical advice or direction to DHC clients at any time;
11. Not use the vehicle for personal purposes; and
12. Advise the DHC Coordinator of any changes to their health and/or circumstances that may impact their ability to drive a vehicle.

Allowance

The Allowance applicable to this Policy is:

1. $15.00 per return trip to Northam; and
2. $30.00 per return trip to Perth.

Further References

Shire of Dowerin Code of Conduct

POLICY NUMBER	-	**1.1**
POLICY SUBJECT	-	**1.1 Elected Member's Fees, Allowances, Reimbursements and Benefits Policy**
DATE ADOPTED	-	24 October 2017 (Item 9.1.3)
~~POLICY OWNER~~RESPONSIBLE OFFICER	-	~~Governance & Organisational Development Coordinator~~Executive & Governance Officer
REVIEWED	-	

POLICY NUMBER	-	**2.1**
POLICY SUBJECT	-	**2.1 Related Party Disclosures Policy**
DATE ADOPTED	-	25 July 2017 (Item 10.1.3)
~~POLICY OWNER~~RESPONSIBLE OFFICER	-	Manager Corporate & Community Services ~~Manager~~
REVIEWED	-	22 January 2019 (Item 10.2.2)

POLICY NUMBER	-	**2.2**
POLICY SUBJECT	-	**2.2 Risk Management Policy**
DATE ADOPTED	-	8 January 2008
~~POLICY OWNER~~RESPONSIBLE OFFICER	-	~~Asset Management Officer~~Chief Executive Officer
REVIEWED	-	23 May 2017

POLICY NUMBER	-	**2.3**
POLICY SUBJECT	-	**2.3 Public Interest Disclosure Policy**
DATE ADOPTED	-	19 July 2016
~~POLICY OWNER~~RESPONSIBLE OFFICER	-	~~Chief Executive Officer~~Executive & Governance Officer
REVIEWED	-	27 February 2018

POLICY NUMBER	-	**2.4**
POLICY SUBJECT	-	**2.4 Information Management Policy**
DATE ADOPTED	-	26 February 2019 (Item 10.2.1)
~~POLICY OWNER~~RESPONSIBLE OFFICER	-	~~Chief Executive Officer~~Manager Corporate & Community Services
REVIEWED	-	

POLICY NUMBER	-	**3.1**
POLICY SUBJECT	-	**3.1 Employee Housing Policy**
DATE ADOPTED	-	23 May 2017
~~POLICY OWNER~~RESPONSIBLE OFFICER	-	~~Chief Executive Officer~~Manager Corporate & Community Services
REVIEWED	-	22 May 2018

POLICY NUMBER	-	**3.2**
POLICY SUBJECT	-	**3.2 Use of Shire Property by Employees Policy**
DATE ADOPTED	-	26 April 2017
~~POLICY OWNER~~RESPONSIBLE OFFICER	-	~~Chief Executive Officer~~Manager Corporate & Community Services
REVIEWED	-	

POLICY NUMBER	-	**3.3**
POLICY SUBJECT	-	**3.3 Safety Bonus Scheme Policy**
DATE ADOPTED	-	26 April 2017
~~POLICY OWNER~~RESPONSIBLE OFFICER	-	Manager Corporate & Community Services~~Chief Executive Officer~~
REVIEWED	-	

POLICY NUMBER	-	**3.4**
POLICY SUBJECT	-	**3.4 Employee Health and Well Being Policy**
DATE ADOPTED	-	15 August 2017
~~POLICY OWNER~~RESPONSIBLE OFFICER	-	Manager Corporate & Community Services~~Chief Executive Officer~~
REVIEWED	-	20 August 2019 (CMRef 0033)

POLICY NUMBER	-	**3.5**
POLICY SUBJECT	-	**3.5 Grievances, Investigations and Resolution Policy**
DATE ADOPTED	-	20 August 2019 (CMRef 0034)
~~POLICY OWNER~~RESPONSIBLE OFFICER	-	Manager Corporate & Community Services~~Chief Executive Officer~~
REVIEWED	-	

POLICY NUMBER	-	**3.6**
POLICY SUBJECT	-	**3.6 Disciplinary Policy**
DATE ADOPTED	-	20 August 2019 (CMRef 0034)
~~POLICY OWNER~~RESPONSIBLE OFFICER	-	Manager Corporate & Community Services~~Chief Executive Officer~~
REVIEWED	-	

POLICY NUMBER	-	**3.7**
POLICY SUBJECT	-	**3.7 Discrimination, Bullying and Harassment Policy**
DATE ADOPTED	-	20 August 2019 (CMRef 0034)
~~POLICY OWNER~~RESPONSIBLE OFFICER	-	Manager Corporate & Community Services~~Chief Executive Officer~~
REVIEWED	-	

POLICY NUMBER	-	**3.8**
POLICY SUBJECT	-	**3.8 Equal Opportunity Employment Policy**
DATE ADOPTED	-	20 August 2019 (CMRef 0034)
~~POLICY OWNER~~RESPONSIBLE OFFICER	-	Manager Corporate & Community Services~~Chief Executive Officer~~
REVIEWED	-	

POLICY NUMBER	-	**3.9**
POLICY SUBJECT	-	**3.9 Occupational Safety, Health and Environmental Policy**
DATE ADOPTED	-	30 September 2016
~~POLICY OWNER~~RESPONSIBLE OFFICER	-	Manager Works & Assets
REVIEWED	-	28 February 2017
REVIEWED	-	27 February 2018
REVIEWED	-	26 March 2019 (Item 10.2.1)

POLICY NUMBER	-	**3.10**
POLICY SUBJECT	-	**3.10 Drug and Alcohol Policy**
DATE ADOPTED	-	19 December 2017
~~POLICY OWNER~~RESPONSIBLE OFFICER	-	Manager Corporate & Community Services~~Chief Executive Officer~~

REVIEWED	-	

POLICY NUMBER	-	**3.11**
POLICY SUBJECT	-	**3.11 Social Media Policy (1.3)**
DATE ADOPTED	-	19 December 2017
~~POLICY OWNER~~RESPONSIBLE OFFICER	-	Manager Corporate & Community Services~~Chief Executive Officer~~
REVIEWED	-	

POLICY NUMBER	-	**3.12**
POLICY SUBJECT	-	**3.12 Senior Employees and Acting Chief Executive Officer Policy**
DATE ADOPTED	-	26 March 2019 (Item 10.2.3)
~~POLICY OWNER~~RESPONSIBLE OFFICER	-	Chief Executive Officer
REVIEWED	-	

POLICY NUMBER	-	**3.13**
POLICY SUBJECT	-	**3.13 Recruitment and Selection Policy**
DATE ADOPTED	-	18 March 2014
~~POLICY OWNER~~RESPONSIBLE OFFICER	-	Manager Corporate & Community Services~~Coordinator Governance & Organisational Development~~
REVIEWED	-	24 April 2018

POLICY NUMBER	-	**3.14**
POLICY SUBJECT	-	**3.14 Recognising Council Service Policy (1.2)**
DATE ADOPTED	-	20 December 2016
~~POLICY OWNER~~RESPONSIBLE OFFICER	-	~~Governance & Organisational Development Coordinator~~Manager Corporate & Community Services
REVIEWED	-	24 October 2017

POLICY NUMBER	-	**3.15**
POLICY SUBJECT	-	**3.15 Uniforms Staff Policy**
DATE ADOPTED	-	25 September 2018 (Item 10.1.3)

~~POLICY OWNER~~RESPONSIBLE OFFICER - ~~Acting~~ Manager Corporate & Community Services

REVIEWED -

POLICY NUMBER - **3.16**

POLICY SUBJECT - **3.16 Education and Assistance Policy**

DATE ADOPTED - 25 September 2018 (Item 10.1.1)

~~POLICY OWNER~~RESPONSIBLE OFFICER - ~~Acting~~ Manager Corporate & Community Services

REVIEWED -

POLICY NUMBER - **3.17**

POLICY SUBJECT - **3.17 Prescription Safety Glasses Policy**

DATE ADOPTED - 22 January 2019 (Item 10.1.2)

~~POLICY OWNER~~RESPONSIBLE OFFICER - ~~Chief Executive Officer~~Manager Works & Assets

REVIEWED -

POLICY NUMBER - **4.1**

POLICY SUBJECT - **4.1 Financial Reserves Policy**

DATE ADOPTED - 27 June 2017 (Item 10.1.1)

~~POLICY OWNER~~RESPONSIBLE OFFICER - Manager Corporate & Community Services~~Chief Executive Officer~~

REVIEWED - 26 June 2018 (Item 10.1.8)

REVIEWED - 18 December 2018 (Item 10.2.4)

POLICY NUMBER - **4.2**

POLICY SUBJECT - **4.2 Investment Policy**

DATE ADOPTED - 27 June 2017 (Item 10.1.2)

~~POLICY OWNER~~RESPONSIBLE OFFICER - Manager Corporate & Community Services~~Chief Executive Officer~~

REVIEWED -

POLICY NUMBER - **4.3**

POLICY SUBJECT - **4.3 Disposal of Property Policy**

DATE ADOPTED	-	24 October 2017 (Item 9.1.3)
~~POLICY OWNER~~RESPONSIBLE OFFICER	-	Manager Corporate & Community Services~~Chief Executive Officer~~
REVIEWED	-	

POLICY NUMBER	-	**4.4**
POLICY SUBJECT	-	**4.4 Finance Authorisation Policy**
DATE ADOPTED	-	24 October 2017 (Item 9.1.3)
~~POLICY OWNER~~RESPONSIBLE OFFICER	-	Manager Corporate & Community Services~~Finance & Corporate Services Manager~~
REVIEWED	-	26 June 2018 (Item 10.1.8)

POLICY NUMBER	-	**4.5**
POLICY SUBJECT	-	**4.5 Financial Management Policy**
DATE ADOPTED	-	24 October 2017 (Item 9.1.3)
~~POLICY OWNER~~RESPONSIBLE OFFICER	-	Manager Corporate & Community Services~~Finance & Corporate Services Manager~~
REVIEWED	-	

POLICY NUMBER	-	**4.6**
POLICY SUBJECT	-	**4.6 Bank Account Policy**
DATE ADOPTED	-	24 October 2017 (Item 9.1.3)
~~POLICY OWNER~~RESPONSIBLE OFFICER	-	Manager Corporate & Community Services~~Finance Manager~~
REVIEWED	-	26 June 2018 (Item 10.1.8)
REVIEWED	-	22 January 2019 (Item 10.2.3)

POLICY NUMBER	-	**4.7**
POLICY SUBJECT	-	**4.7 General Financial Transactions Policy**
DATE ADOPTED	-	24 October 2017 (Item 9.1.3)
~~POLICY OWNER~~RESPONSIBLE OFFICER	-	Manager Corporate & Community Services~~Finance Manager~~
REVIEWED	-	26 June 2018 (Item 10.1.8)

POLICY NUMBER	-	**4.8**

POLICY SUBJECT	-	**4.8 New Supplier Approval and Appointment Policy**
DATE ADOPTED	-	24 October 2017 (Item 9.1.3)
~~POLICY OWNER~~RESPONSIBLE OFFICER	-	Manager Corporate & Community Services~~Finance & Corporate Services Manager~~
REVIEWED	-	

POLICY NUMBER	-	**4.9**
POLICY SUBJECT	-	**4.9 Petty Cash Policy**
DATE ADOPTED	-	24 October 2017 (Item 9.1.3)
~~POLICY OWNER~~RESPONSIBLE OFFICER	-	Manager Corporate & Community Services~~Finance Manager~~
REVIEWED	-	26 February 2019 (Item 10.2.2)

POLICY NUMBER	-	**4.10**
POLICY SUBJECT	-	**4.10 Corporate Credit Card Policy**
DATE ADOPTED	-	17 November 2015
~~POLICY OWNER~~RESPONSIBLE OFFICER	-	Manager Corporate & Community Services
REVIEWED	-	28 March 2017
REVIEWED	-	28 May 2019 (Item 10.2.1)

POLICY NUMBER	-	**4.11**
POLICY SUBJECT	-	**4.11 Purchasing Policy**
DATE ADOPTED	-	28 March 2017 (Item 10.1.8)
~~POLICY OWNER~~RESPONSIBLE OFFICER	-	Manager Corporate & Community Services~~Finance Manager~~
REVIEWED	-	26 June 2018 (Item 10.1.8)

POLICY NUMBER	-	**4.12**
POLICY SUBJECT	-	**4.12 Untied Surplus Policy**
DATE ADOPTED	-	24 April 2018
~~POLICY OWNER~~RESPONSIBLE OFFICER	-	Manager Corporate & Community Services~~Chief Executive Officer~~
REVIEWED	-	

POLICY NUMBER	-	**4.13**
POLICY SUBJECT	-	**4.13 Development of Policies and Administrative Procedures**
DATE ADOPTED	-	25 September 2018 (Item 10.1.2)
~~POLICY OWNER~~RESPONSIBLE OFFICER	-	~~Acting~~ Manager Corporate & Community Services
REVIEWED	-	

POLICY NUMBER	-	**4.14**
POLICY SUBJECT	-	**4.14 Mixed Use Properties Policy**
DATE ADOPTED	-	30 April 2019 (Item 10.2.2)
~~POLICY OWNER~~RESPONSIBLE OFFICER	-	Manager Corporate & Community Services~~Finance Manager~~
REVIEWED	-	

POLICY NUMBER	-	**5.1**
POLICY SUBJECT	-	**5.1 Fuel Stock Control Policy**
DATE ADOPTED	-	24 October 2017 (Item 9.1.3)
~~POLICY OWNER~~RESPONSIBLE OFFICER	-	Manager Works & Assets ~~& Works Manager~~
REVIEWED	-	

POLICY NUMBER	-	**5.2**
POLICY SUBJECT	-	**5.2 Gravel Supplies and Rehabilitation Policy**
DATE ADOPTED	-	18 December 2018 (Item 10.1.1)
~~POLICY OWNER~~RESPONSIBLE OFFICER	-	Manager Works & Assets ~~Manager~~
REVIEWED	-	18 December 2018

POLICY NUMBER	-	**5.3**
POLICY SUBJECT	-	**5.3 Restricted Access Vehicle Policy**
DATE ADOPTED	-	25 September 2018 (Item 10.1.4)
~~POLICY OWNER~~RESPONSIBLE OFFICER	-	Manager Works & Asset ~~& Works Manager~~
REVIEWED	-	

POLICY NUMBER	-	**5.4**
POLICY SUBJECT	-	**5.4 Road Engineering and Subdivision Policy**
DATE ADOPTED	-	28 May 2019
~~POLICY OWNER~~RESPONSIBLE OFFICER	-	Manager Works & Assets
REVIEWED	-	

POLICY NUMBER	-	**5.5**
POLICY SUBJECT	-	**5.5 Traffic Management – Shire of Dowerin Roads and Reserves Policy**
DATE ADOPTED	-	22 October 2019 (CMRef 0071)
~~POLICY OWNER~~RESPONSIBLE OFFICER	-	Manager Works & Assets
REVIEWED	-	

POLICY NUMBER	-	**5.6**
POLICY SUBJECT	-	**5.6 Street Tree Policy**
DATE ADOPTED	-	27 November 2018 (Item 10.1.6)
~~POLICY OWNER~~RESPONSIBLE OFFICER	-	~~Chief Executive Officer~~Manager Works & Assets
REVIEWED	-	

POLICY NUMBER	-	**5.7**
POLICY SUBJECT	-	**5.7 Asset Management Policy**
DATE ADOPTED	-	28 February 2017
~~POLICY OWNER~~RESPONSIBLE OFFICER	-	Manager Works & Asset ~~& Works Manager~~
REVIEWED	-	

POLICY NUMBER	-	**6.1**
POLICY SUBJECT	-	**6.1 Dowerin Home Care – Volunteer Driver Allowance Policy**
DATE ADOPTED	-	22 October 2019 (CMRef 0068)
~~POLICY OWNER~~RESPONSIBLE OFFICER	-	Manager Corporate & Community Services
REVIEWED	-	

POLICY NUMBER	-	**6.2**
POLICY SUBJECT	-	**6.2 Pop Up Shop Collective Policy**
DATE ADOPTED	-	28 February 2017 (Item 10.1.8)
~~POLICY OWNER~~RESPONSIBLE OFFICER	-	Manager Corporate & Community Services
REVIEWED	-	26 March 2019 (Item 10.2.2)

POLICY NUMBER	-	
POLICY SUBJECT	-	Replacement of Plant & Vehicles
DATE ADOPTED	-	
RESPONSIBLE OFFICER	-	Manager Assets & Works
REVIEWED	-	

Objective

To maintain a modern, efficient and safe plant and vehicle fleet and ensure that Shire plant and fleet vehicles are replaced at the most cost effective intervals.

Policy

By the end of March each year, Council will be presented with an updated 10 year Plant Replacement draft program for consideration and adoption.

The first year of the Plant Replacement Program shall constitute the draft program for consideration in that year's draft budget.

The annual consideration of plant and vehicle replacement shall be taken into account alongside the Shire's budgeted programs for all assets. This shall involve consideration of new technology, processes and materials as well as ownership versus hire of machinery and program requirements.

Officers shall make all efforts to rationalise and minimise the funding requirements for plant and vehicle replacement while still aiming to provide the best quality, most effective fleet at the lowest whole of life cost.

Officers shall maximise utilisation of fleet and vehicles through relocation, reallocation and consider disposal of underutilised fleet and vehicles.

As a general guide, the Plant Replacement Program provides for the following changeover timeframes, however Council recognises that circumstances and/or market trends may result in timeframes being varied from time to time:

Plant & Equipment	Timeframe
Graders	8 years
Loader	8 years
Skid Steer	5 years
Trucks – Heavy	8 years
Trucks – Light	5 years
Roller	10 years
Plant Trailer	15 years
Jetpatcher	8 years

Plant items will generally be procured through the tender process or WALGA's Preferred Supplier Program.

Disposal of items of plant and equipment shall be by trade-in, outright sale or auction.

Roles and Responsibilities

Council
1. To act as stewards for all assets;
2. To set corporate Asset Management policy and vision with linking to the Community Strategic Plan; and
3. To ensure appropriate resources and funding for Asset Management activities are made available for Asset Management.

Management Team
1. To continue to refine the "overarching" Asset Management Policy and the initial Asset Management Plan with linkage to the Community Strategic Plan for consideration by Council;
2. To recognise and embrace asset management as a corporate process;
3. To foster and support the principles of Asset Management and the Integrated Planning process;
4. To implement and continuously review the corporate Asset Management Policy and Plan with agreed resources; and
5. To ensure that timely, accurate and reliable information is presented to council for decision-making.

Asset Management Representatives
1. Oversee the introduction and management of Asset Management into the Council structure;
2. Develop and maintain up to date inventories for each asset category; and
3. Make appropriate suggestions on items such as suitability of software platforms, applicable asset categories and Asset Management Plan content.

Related Documentation
Asset Management Plan

Related Legislation/Local Law/Policy/Procedure
Local Government Act 1995
Local Government (Administration) Regulations 1996
Local Government (Functions & General) Regulations 1996

Related Delegation
Nil

SHIRE OF
DOWERIN
TIN DOG TERRITORY

Information Statement
2019/20

Table of Contents

1.0 INTRODUCTION 3

2.0 OUR MISSION – COMMUNITY VISION AND VALUES 4

3.0 STRUCTURE AND FUNCTIONS OF THE SHIRE OF DOWERIN 5

3.1 Constitution and Enabling Legislation 5

3.2 Major Functions and Powers 5

4.0 LEGISLATION ADMINISTERED 7

5.0 STRUCTURE AND FUNCTION OF THE SHIRE OF DOWERIN 11

5.1 Council 11

5.2 Shire Administration 11

5.3 Key Community Services and Facilities 12

6.0 DECISION-MAKING FUNCTIONS AFFECTING THE PUBLIC 13

6.1 Council 13

6.2 Council Committees and Delegations 13

6.3 Delegated Authority 13

7.0 PUBLIC PARTICIPATION 14

7.1 Public Question Time at Council Meetings 14

7.2 Petitions 14

7.3 Electors' Meetings 14

7.4 Written Requests 14

7.5 Councillors 15

7.6 Community Engagement 15

7.7 Notice and Advertising 15

8.0 DOCUMENTS HELD BY THE SHIRE OF DOWERIN 16

9.0 THE OPERATION OF FOI IN THE SHIRE OF DOWERIN 18

9.1 Making an FOI Application 18

9.2 Notice of Decision 19

9.3 Refusal of Access and Right of Review 19

9.4 FOI Procedures for the Amendment of Personal Information 20

9.5 FOI Charges 21

9.6 FOI Process – Flowchart 22

1.0 INTRODUCTION

This Information Statement is published by the Shire of Dowerin in accordance with the requirements of the Western Australian *Freedom of Information Act 1992* (FOI Act).

The Information Statement contains an overview of the structure and functions of the Shire of Dowerin, including a summary of how these functions affect members of the public and also describes avenues available to the public to obtain information held by the Shire.

The Information Statement outlines the types of documents that can be inspected, purchased or obtained with and without charge, and the range of collated information reports available.

The Information Statement also provides an outline of the Freedom of Information (FOI) process including how to make an FOI application.

The intention of the FOI Act is to:

- Confer upon persons a general right of access to information held by agencies; and
- Confer upon individuals a right to apply to an agency for an amendment of personal information to ensure that it is accurate, complete, up to date and not misleading.

2.0 OUR MISSION – COMMUNITY VISION AND VALUES

Identified during the public engagement process for the development of the Strategic Community Plan, the Dowerin community adopted the following as its Vision Statement:

DOWERIN WILL BE A THRIVING AND GROWING RURAL COMMUNITY WHICH OFFERS LIFESTYLE CHOICE FOR ALL GENERATIONS, IS PROGRESSIVE IN ENVIRONMENTAL MANAGEMENT AND IS A PREFERRED LOCATION FOR BUSINESS DEVELOPMENT.

In delivering this Vision for the community the Shire of Dowerin recognises the following Community Values:

COMMUNITY VALUES			
COMMUNICATION	**PROGRESS**	**COMMUNITY SPIRIT AND PARTICIPATION**	**TRANSPERANCY**
Regular communication ensures the whole community is informed and aware	Driving change through innovative and strong leadership	Inclusive, caring and involved community	Open, honest and accountable

The Shire's priorities are explained below:

3.0 STRUCTURE AND FUNCTIONS OF THE SHIRE OF DOWERIN

3.1 Constitution and Enabling Legislation

The Shire of Dowerin is a municipality constituted under Section 2.5 of the *Local Government Act 1995* to provide for the good governance of the district.

3.2 Major Functions and Powers

The Shire of Dowerin Council is elected to provide strategic direction and policy formation. Council policies and guidelines act as a guide for the Shire's stance on various issues.

The Shire of Dowerin provides for the good governance of the community in its district, including legislative and executive functions. The services of the Shire of Dowerin are available to all customers, free from any form of discrimination. The functions and activities of the Shire of Dowerin (including those contracted out to other organisations) can be broadly described as:

Function	Brief Description
Community Development	The function of arranging, promoting and conducting programs and events in visual arts, craft, music, performing arts, sports and recreation, cultural activities and services, youth and community engagement.
Community Services	The function of providing, operating or contracting services to assist local residents and the community. Services include aged care and child care facilities.
Corporate Management	The function of applying broad systematic planning to define the corporate mission and determine methods of the Shire of Dowerin's operation.
Council Properties	The function of acquiring, constructing, designing, developing, disposing and maintaining facilities and premises owned, leased or otherwise occupied by the Shire of Dowerin.
Customer Service	The function of planning, monitoring and evaluating services provided to customers by the Shire.
Development & Building Controls	The function of regulating and approving building and development applications for specific properties, buildings, fences, signs, etc. covered by the *Building Act 2011* and the Building Code of Australia.
Environmental Management	The function of managing, conserving and planning of air, soil and water qualities, and environmentally sensitive areas such as remnant bushland and threatened species.
Financial Management	The function of managing the Shire of Dowerin's financial resources.
Governance	The function of managing the election of Council representatives, the boundaries of the Shire of Dowerin, and the terms and conditions for Councillors. Includes the function of managing the relationship between the Council and other governments. The function is also responsible for ensuring Council meets its compliance and regulatory requirements specifically in relation to the *Local Government Act 1995* and subsequent legislation.
Grants & Subsidies	The function of managing financial payments to the Shire of Dowerin from the Federal and State Governments and other agencies for specific purposes. Related to the function of Financial Management.
Heritage	The function of identifying and managing the Shire's historical buildings to ensure these assets are properly maintained.
Information Management	The function of managing the Shire of Dowerin's information resources. Includes storage, retrieval, archiving, processing and communication of all information in any format.
Information Technology	The function of acquiring and managing communications, software, hardware and databases to support the business operations of the Shire of Dowerin.

Function	Brief Description
Land Use & Planning	The function of establishing a medium to long term policy framework for the management of the natural and built environments.
Laws & Enforcement	The function of regulating, notifying, prosecuting, and applying penalties in relation to the Shire's regulatory roles.
Parks & Reserves	The function of acquiring, managing, designing and constructing parks and reserves either owned or controlled and managed by the Shire.
Personnel	The function of managing the conditions of employment and administration of personnel at the Shire of Dowerin including contractors, consultants and volunteers.
Plant, Equipment & Stores	The function of managing the purchase, hire or leasing of all plant, vehicles, and other equipment. Does not include the acquisition of information technology and telecommunications.
Public Health	The function of managing, monitoring and regulating activities to protect and improve public health under the terms of the *Health Act 1911*, health codes, standards and regulations.
Rates & Valuations	The function of managing, regulating, setting and collecting income through the valuation of rateable land and other charges.
Risk Management	The function of managing and reducing the risk of loss of Shire of Dowerin's properties and equipment and risks to personnel.
Roads	The provision of road construction and maintenance of roads and associated street services to property owners within the district.
Sewerage & Drainage	The function of designing, constructing, maintaining and managing the liquid waste system, including drainage, sewerage collection and treatment, stormwater and flood mitigation works.
Traffic & Transport	The function of planning for transport infrastructure and the efficient movement and parking of traffic. Encompasses all service/facilities above the road surface and includes all forms of public transport.
Waste Management	The function of providing services to ratepayers for the removal of solid waste, destruction and waste reduction.

4.0 LEGISLATION ADMINISTERED

The Shire of Dowerin is wholly or partly responsible for administering the following legislation (as well as any subsequent sub-legislation and/or regulations):

LEGISLATION & ASSOCIATED REGULATIONS	PURPOSE
Building Act 2011	An Act to provide permits for building work and demolition work; standards for the construction and demolition of buildings and incidental structures; and the use and maintenance of, and requirements in relation to, existing buildings and incidental structures.
Building Code of Australia	A series of Codes prescribing building standards throughout Australia.
Bush Fires Act 1954	An Act to make better provision for diminishing the danger resulting from bush fires, and for the prevention, control and extinguishment of bush fires.
Caravan Parks and Camping Grounds Act 1995	An Act to provide for the regulation of caravanning and camping, to control and license caravan parks and camping grounds, and to provide for standards in respect of caravans.
Cat Act 2011	An Act to control the ownership and keeping of cats, and the obligation and rights of persons in relation to the ownership and keeping of cats.
Cemeteries Act 1986	An Act to provide for the declaration and management of cemeteries, the establishment, constitution and functions of Cemetery Boards, and the licensing of Funeral Directors and the regulations of burials
Control of Vehicles (Off-Road Areas) Act 1978	An Act to prohibit the use of vehicles in certain places, to make provision as to the use of vehicles otherwise than on a road, to provide for areas where the use of off-road vehicles shall be permitted, and for the registration of off-road vehicles.
Disability Services Act 1993	An Act for the establishment of the Disability Services Commission and the Ministerial Advisory Council for Disability Services, for the furtherance of principles applicable to people with disabilities, for the funding and provision of services to such people that meet certain objectives, and for the resolution of complaints by such people.
Dividing Fences Act 1961	An Act relating to the construction and repair of dividing fences between certain lands.
Dog Act 1976	An Act to amend and consolidate the law relating to the control and registration of dogs, the ownership and keeping of dogs and the obligations and rights of persons in relation thereto.
Environmental Protection Act 1986	An Act to provide an Environmental Protection Authority, for prevention, control and abatement of environmental pollution, for the conservation, preservation, protection enhancement and management of the environment.

LEGISLATION & ASSOCIATED REGULATIONS	PURPOSE
Equal Opportunity Act 1984	An Act to ensure equal employment opportunity for everyone.
Fire Brigades Act 1942	An Act to consolidate and amend the law relating to the prevention and extinguishing of fires, the confining and ending of hazardous material incidents and the protection of life and property from fire, hazardous material incidents and accidents
Food Act 2002	An Act providing for the safety and suitability of food for human consumption.
Freedom of Information Act 1992	An Act to provide for public access to documents, and to enable the public to ensure that personal information in documents is accurate, complete, up to date and not misleading.
Health Act 1911	An Act to consolidate and amend the law relating to Public Health.
Heritage of Western Australia Act 1990	An Act to provide for, and to encourage, the conservation of places which have significance to the cultural heritage in the State, and to establish the Heritage Council of Western Australia.
Interpretation Act 1984	An Act to define terminology found in many other Acts and Regulations.
Justices Act 1902	An Act to consolidate and amend the Laws relating to Justices of the Peace and their Powers and Authorities.
Land Administration Act 1997	An Act to consolidate and reform the law about Crown land and the compulsory acquisition of land generally.
Library Board of Western Australia Act 1951	An Act relating to the operation of public libraries.
Litter Act 1979	An Act to make provision for the abatement of litter, to establish, incorporate and confer powers upon the Keep Australia Beautiful Council (WA).
Liquor Licensing Act 1988	An Act to regulate the sale, supply and consumption of liquor, the use of premises on which liquor is sold, and the services and facilities provided in conjunction with or ancillary to the sale of liquor.
Local Government Act 1995	An Act to provide for a system of local government in Western Australia.
Local Government (Miscellaneous Provisions) Act 1960	An Act to deal with certain matters concerning local government.
Main Roads Act 1930	An Act to consolidate and amend the law relating to and making provision for the construction, maintenance and supervision of highways, main and secondary roads, and other roads, the control of access to roads.
Occupational Safety and Health Act 1984	An Act to promote and improve standards for occupational health, safety and welfare and to coordinate the administration of the laws relating to occupational safety and health.
Planning and Development Act 2005	An Act to provide for a system of land use planning and development in the State.
Public Health Act 2016	An Act to provide a flexible and proactive framework for the regulation of public health.

LEGISLATION & ASSOCIATED REGULATIONS	PURPOSE
Rates and Charges (Rebates and Deferments) Act 1992	An Act to permit administrative authorities to allow rebates on, or the deferral of payment of, certain amounts payable by way of rates or charges by pensioners and other eligible persons.
Residential Tenancies Act	An Act to regulate the relationship of lessors and tenants under residential tenancy agreements.
Road Traffic Act 1974	An Act to consolidate and amend the law relating to road traffic.
Strata Titles Act 1985	An Act to facilitate the subdivision of land into cubic spaces and the disposition of titles thereto.
State Records Act 2000	An Act to provide for the keeping of State records.
Telecommunications Act 1997	An Act about telecommunications.
Tobacco Products Control Act 2006	An Act to regulate the sale and promotion of tobacco products.
Valuation of Land Act 1978	An Act to provide for the Valuation of Land.
Waste Avoidance and Resource Recovery Act 2007	An Act to provide for waste avoidance and resource recovery, establish the Waste Authority, provide for waste services by local governments, and provide for levies on waste.
Workers Compensation and Assistance Act 1981	An act to amend and consolidate the law relating to compensation for, and the rehabilitation of workers suffering disability by accident or disease in the course of their employment. Regulations, By-laws and local laws made under the foregoing.

The Shire of Dowerin is wholly responsible for administering the following Local Laws:

- Activities on Thoroughfares;
- Dowerin and Minnivale Cemeteries;
- Dogs;
- Fencing;
- Fire Break;
- Health;
- Local Government Property;
- Parking and Parking Facilities;
- Standing Orders; and
- Waste.

Other Legislation Affecting the Shire of Dowerin
The following legislation (as well as any subsequent sub-legislation and/or regulations) may also affect the functions and operations of the Shire of Dowerin:

LEGISLATION & ASSOCIATED REGULATIONS	PURPOSE
Aboriginal Heritage Act 1972	An Act to make provision for the preservation on behalf of the community of places and objects customarily used by or traditional to the original inhabitants of Australia or their descendants.
Builders Registration Act 1939	An Act relating to the qualifications and registration of builders; to constitute a board in relation thereto and to establish a tribunal with jurisdiction in respect of certain building disputes.

LEGISLATION & ASSOCIATED REGULATIONS	PURPOSE
Industrial Relations Act 1979 (WA)	An Act to consolidate and amend the law relating to the prevention and resolution of conflict in respect of industrial matters, the mutual rights and duties of employers and employees, and the rights and duties of organisations of employers and employees.
Native Title Act 1993	An Act about native title in relation to land or waters.

Copies of the above legislation is available from:

State Law Publisher
10 William Street
PERTH 6000
P: 08 9321 7688
W: www.slp.wa.gov.au

5.0 STRUCTURE AND FUNCTION OF THE SHIRE OF DOWERIN

5.1 Council

The Council consists of eight Councillors, including the Shire President and Deputy Shire President who are both elected by the Councillors. The Shire President and Councillors act in a voluntary capacity, receiving sitting fees in accordance with the *Local Government Act 1995* and determinations made by the State Administrative Tribunal.

Each Councillor serves for a term of four years. Elections for half the Council are held every two years.

The role of Council is to:

- Direct and control the Shire's affairs;
- Be responsible for the performance of the Shire's function;
- Oversee the allocation of the Shire's finances and resources;
- Determine the Shire's policy; and
- Provide strategic direction.

The role of the President is to:

- Preside at Council meetings;
- Provide leadership and guidance to the community;
- Carry out civic and ceremonial duties on behalf of the Shire;
- Speak on behalf of the Shire;
- Perform such functions as specified in the *Local Government Act 1995* or other written laws; and
- Liaise with the CEO on the Shire's affairs and the performance of its functions.

The Deputy Shire President carries out these functions when the Shire President is unavailable.

The role of a Councillor is to:

- Represent the interests of electors, ratepayers and residents of the district;
- Provide leadership and guidance to the community in the district;
- Facilitate communication between the community and Council;
- Participate in the local government's decision-making processes at Council and Committee meetings; and
- Perform such other functions as are given to a Councillor by the *Local Government Act 1995* or any other written law.

Council establishes policies and guidelines for the management of the district and makes all decisions in this regard, unless authority has been delegated in accordance with the *Local Government Act 1995*.

Decisions of Council are made at Council Meetings. Ordinary Meetings are held on the fourth Tuesday of each month excluding August and December when the meeting is held on the third Tuesday of the month.

5.2 Shire Administration

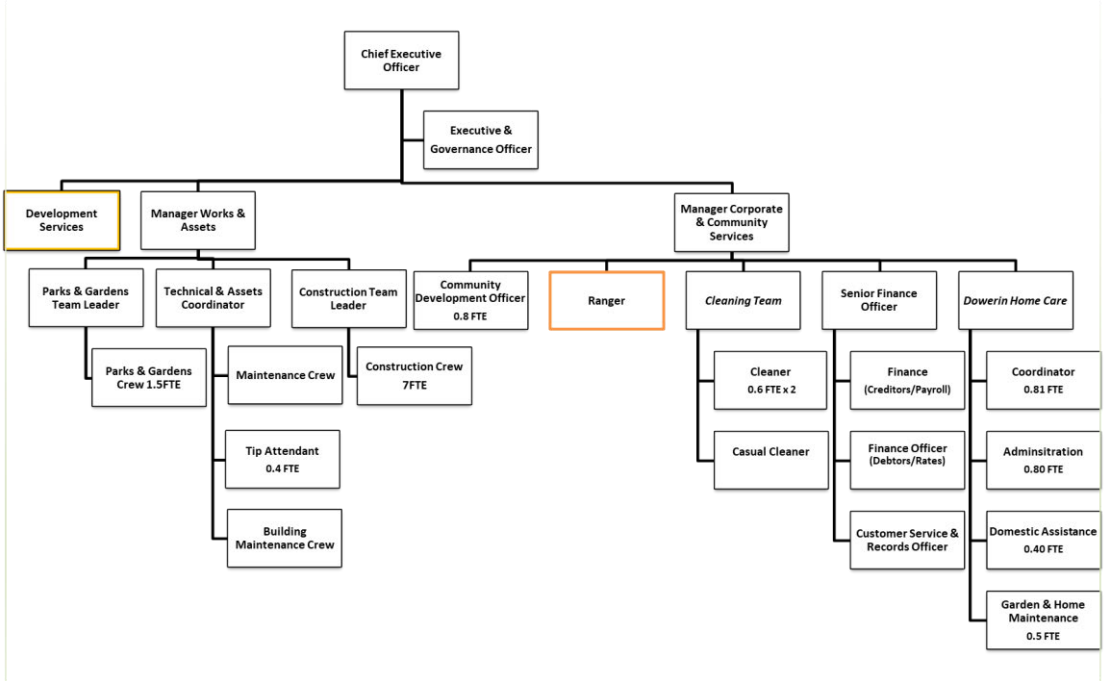
The Shire Administration undertakes the operational activities related to Council decisions. All operations are carried out according to Council Policy, and decisions made by Officers are in accordance with delegated authority or authority otherwise provided by the legislation.

The Chief Executive Officer (CEO) is appointed by Council and is responsible for the day to day management of the Administration's functions and all staff matters.

The role of the CEO is to:

- advise Council in relation to the functions of the Shire;
- ensure that advice and information is available to Council so that informed decisions can be made;
- cause Council decisions to be implemented;
- manage the day to day operations of the Shire;
- liaise with the President on the local government's affairs and the performance of the Shire's functions;
- speak on behalf of the Shire if the President agrees;
- be responsible for the employment, management supervision, direction and dismissal of employees;
- ensure that records and documents of the Shire are properly kept; and
- perform any other function specified or delegated by Council.

The Organisational Chart for the Shire of Dowerin is detailed below:



5.3 Key Community Services and Facilities

- Community Resource Centre;
- Dowerin Home Care (Commonwealth Home Support Programme);
- Dowerin District Museum; and
- Lil Tigers Early Learning Centre.

6.0 DECISION-MAKING FUNCTIONS AFFECTING THE PUBLIC

6.1 Council

Meetings of Council are held to make all decisions concerning the municipal district, other than those delegated, as authorised by the *Local Government Act 1995* and other legislation as appropriate. Decisions are generally made after considering recommendations from Officers and/or Committees unless a Special Meeting of Council has been called to consider a specific issue.

6.2 Council Committees and Delegations

Committees meet to consider issues which are under their area of operation as identified in their Terms of Reference. These committees may comprise Councillors, and external representatives.

Council has appointed the following committees:

- Audit and Risk Committee;
- Dowerin Bush Fire Advisory Committee;
- Dowerin Local Emergency Management Committee;
- Australia Day Honours Committee; and
- Road Verge Management Advisory Committee.

Council also has delegates on the following external committees:

- Avon Regional Organisation of Councils (AROC);
- Great Eastern Country Zone of WALGA;
- Goomalling Medical Surgery Advisory Committee;
- Kellerberrin Regional Road Group; and
- Dowerin Events Management.

6.3 Delegated Authority

In addition to the legislated functions of the CEO, and in order to ensure the efficient management of Council activities, authority has been delegated to the CEO and other Officers to make decisions of an operational nature in accordance with Council policies and specific matters by resolution of Council.

These delegations are identified in the Delegations Register which is required to be reviewed by Council annually. The Register is available on the Shire's website: www.dowerin.wa.gov.au.

7.0 PUBLIC PARTICIPATION

Electors, ratepayers and residents of the Shire of Dowerin have a number of opportunities to be involved in the decision-making processes of Council. Details of the various public participation opportunities are outlined below.

7.1 Public Question Time at Council Meetings

Members of the public are permitted under the *Local Government Act 1995* to address Council at its Ordinary Meetings on any subject within Council's jurisdiction. In order to make an address to Council it is preferred a person gives written notice of their intention to do so, to enable an appropriate response to be provided at the meeting.

The rules governing Public Question Time are outlined in the Shire of Dowerin Standing Orders Local Law which is available via the Shire's website: www.dowerin.wa.gov.au.

Public Question Time is restricted to electors of the Shire unless Council, by resolution, decides otherwise.

7.2 Petitions

Written petitions can be presented to Council on any subject within Council's jurisdiction. Council will receive each petition and may refer it to the Administration for research and advice before making a decision.

7.3 Electors' Meetings

Electors have an opportunity to give their opinions on any issue at either the Annual Meeting of Electors or a Special Meetings of Electors.

6.3.1 Annual Meeting of Electors

An Annual Meeting of Electors is to be held at least once in each financial year, at a time appointed by Council for the following purposes:

- receiving the Annual Report;
- Special Business of which notice has been given; and
- General Business.

6.3.2 Special Meeting of Electors

Electors may initiate a Special Meeting of Electors under procedures prescribed in the *Local Government Act 1995*.

The Standing Orders Local Law specifies that special meetings are called to consider special business which is to be notified when calling the meeting. No business shall be transacted at a special meeting other than that for which the special meeting has been called.

7.4 Written Requests

Any member of the public may write to the Shire of Dowerin at any time on any matter. Any matter raised will be considered by Administration and/or Council and a decision and response provided.

Correspondence should be sent to:

Chief Executive Officer
Shire of Dowerin
PO Box 111
DOWERIN WA 6461
Or by email to dowshire@dowerin.wa.gov.au

7.5 Councillors

Electors are able to vote every second year for Councillors in the Dowerin District Ward to represent them in the decision-making functions of Council. Councillors are elected for four year terms. Electors may contact Councillors to discuss any issues relevant to Council.

Contact information for the Councillors is available via the Shire's website: www.dowerin.wa.gov.au.

7.6 Community Engagement

Council may consult residents on any issue that is currently under consideration. Other than direct consultation, or via its website, Council may notify residents of issues by advertising in local papers, calling public meetings, or surveys. Under each of these methods electors, ratepayers and residents are able to provide input and lodge objections and are provided with guidelines for doing so.

7.7 Notice and Advertising

In many instances the Shire of Dowerin is required by the *Local Government Act 1995* to provide notice of its intention to take a particular course of action or decision. In other instances, the Shire will advertise certain proposed courses of action or decisions in order to provide the community with an opportunity to comment or object.

Current notices are maintained via the Shire of Dowerin's website (www.dowerin.wa.gov.au), placed in the Despatch and on our Facebook page. Should you have regular dealings with Council it is strongly recommended that you monitor these notices.

Please note that for the Shire of Dowerin:

- Local public notice is given by advertising the notice in the Despatch and/or Avon Advocate newspapers, as well as displaying the notice on the display boards in the Shire Administration Office and outside the Dowerin CRC.
- State-wide public notice is given by advertising the notice in the West Australian newspaper as well as displaying the notice on the display boards in the Shire Administration Office and outside the Dowerin CRC.

8.0 DOCUMENTS HELD BY THE SHIRE OF DOWERIN

Council maintains records regarding its operational activities according to legislative requirements. The Shire creates and stores records during the performance of its functions.

Below are broad categories of the types of documents held by the Shire and are to be considered as a guide only:

- Audit reports;
- Business plans;
- Compliance documents, including standard operating procedures and plans;
- Finance and accounting documents;
- General correspondence;
- Human resources documents and contracts;
- Incident reports;
- Industrial agreements;
- Land based documents relating to roads, developments, subdivisions, building permits, storm water drainage, and other similar types of work;
- Memorandums of understanding, contracts, deeds, leases and agreements;
- Minutes, agendas, notice papers and reports of meetings;
- Records relating to the administrative operations of the Shire;
- Research reports;
- Strategy and policy documents; and/or
- Submissions to other government agencies and authorities.

For the purposes of the FOI Act, there are two categories of documents held by the Shire of Dowerin. These can be broadly categorised as those available for inspection or purchase outside the constraints of the FOI Act and those which through their content, must be held confidentially with public access considered only through the provisions of the FOI Act.

The following schedule categorises documents that are available for inspection only and documents that are available on the website:

DOCUMENT DESCRIPTION	INSPECTION ONLY	WEBSITE
Access and Inclusion Plan		✓
Agendas of Council and Committee Meetings (excluding any confidential items)		✓
Annual Budget		✓
Annual Report		✓
Annual Returns	✓	
Annual Electors Meeting Agenda		✓
Annual Financial Statements		✓
Burials Register	✓	
Building Approvals and Plans (only with the written consent from the property owner)	✓	
Business Plans for any Major Undertakings		✓
Code of Conduct		✓
Complaints and Minor Breaches Register		✓
Corporate Business Plan		✓
Customer Service Charter		✓
Delegations Register		✓
Election Candidates Details and Profiles (in an election year)		✓
Electoral Gift Register		✓
Electoral Roll for the District	✓	
Firebreak Notice		✓
Financial Interest Register		✓
Gift and Travel Contributions Register		✓
Information Statement		✓
Local Emergency Management Plan		✓
Local Laws		✓

Long Term Financial Plan		✓
Map of the District		✓
Model Standards for CEO Recruitment, Performance and Termination		✓
Municipal Heritage Inventory	✓	
News and Events		✓
Owners and Occupiers Electoral Roll	✓	✓
Policy Manual		✓
Proposed Local Laws		✓
Rates Record (ownership details only)	✓	
Record Keeping Plan		✓
Schedule of Fees and Charges		✓
Strategic Community Plan		✓
Tender Register	✓	
Town Planning Scheme		✓
Training Register for Councillors		✓
		✓

Access to information that is not otherwise listed as available may need to be accessed by way of an application under the FOI Act.

Charges may be applicable for copies of documents. Applicable charges are listed in this document and in the Schedule of Fees and Charges.

9.0 THE OPERATION OF FOI IN THE SHIRE OF DOWERIN

The Shire of Dowerin aims to make information available promptly and at the least possible cost. The Shire is to administer the FOI Act in a way that:

- assists the public to obtain access to documents;
- allows access to documents to be obtained promptly and at the lowest reasonable costs; and
- assists the public to ensure that personal information contained in documents is accurate, complete, up to date and is not misleading.

While the FOI Act provides for a general right of access to documents it also recognizes that some documents require protection. These exemptions are listed in Schedule 1 of the FOI Act and include:

- personal information;
- information concerning trade secrets;
- other commercially valuable information;
- legal advice; or
- any other information concerning the business, professional, commercial or financial affairs of a third party who is not the applicant.

A full list of exemptions can be viewed via the Office of the Information Commissioner's website at www.oic.wa.gov.au.

Under the provisions of the FOI Act, applications can be made to:

- gain access to a document(s);
- amend personal information; or
- review a previous FOI decision regarding access to or amendment of a document(s).

Access can be requested by way of inspection, a copy of a document, a copy of an audio or video tape, a transcript of a recorded document or of words recorded in shorthand or encoded form, or a written document in the case of a document from which words can be reproduced in written form.

Where the Shire of Dowerin is unable to grant access in the form requested, access may be given in a different form.

The Shire is mindful of its obligations and the FOI Act provides a general right of access to documents. If possible, the Shire will initially try to provide access to documents outside of the FOI process.

9.1 Making an FOI Application

If you are considering making an application for access to documents, we encourage you to first make contact with the FOI Coordinator (via the contact details below) who will ensure that advice is provided to help you to make a valid application. Documents potentially may be made available without having to make an application under the FOI Act.

As specified in the FOI Act, an application:

- must be in writing;
- give enough information to enable the requested document(s) to be identified;
- give an Australian address to which notices and correspondence can be sent;
- be accompanied by the prescribed application fee; and
- give any other information or details required under the Regulations.

Applications can be lodged at the Shire:

By post – address to:

Freedom of Information Coordinator
Shire of Dowerin
PO Box 111
DOWERIN WA 6461

In person – visit:

Administration Office
13 Cottrell Street
DOWERIN WA 6461

By email – address to:

Freedom of Information Coordinator
dowshire@dowerin.wa.gov.au

Applications will be acknowledged in writing and the applicant will be notified of the decision within 45 (calendar) days.

The right to apply is not affected by any reasons a person may have to obtain access.

9.2 Notice of Decision

The FOI Coordinator and the CEO of the Shire of Dowerin are authorised to make decisions regarding FOI applications.

The FOI Coordinator, as soon as possible but in any case, within 45 (calendar) days of receipt of a valid FOI request, must provide the applicant with a notice of decision which will include:

- The date which the decision was made;
- The name and the designation of the officer who made the decision;
- The reason why a document is considered exempt or the fact that access is given to an edited document;
- If access is refused, the reason for claiming the document is exempt; and
- Information on the rights of review and the procedures to be followed to exercise those rights.

9.3 Refusal of Access and Right of Review

Applicants who are dissatisfied with a decision of the Shire are entitled to ask for an internal review by the Shire. The internal review will be carried out by a person, not being the original decision-maker, from the start of the decision-making process.

If applicants disagree with the result of the internal review, they can apply to the Office of the Information Commissioner for an external review. Applicants will be advised of the procedure to request an external review when the internal review notice of decision is issued.

9.3.1 Internal Review

An application for internal review must be lodged with the Shire within 30 (calendar) days after being given the written notice of decision, and must:

- Be in writing;
- Provide particulars of the decision to be reviewed; and
- Give an address in Australia to which notices and correspondence can be sent.

There is no lodgement fee for an application for internal review and there is no charge for dealing with an internal review request. The outcome for an application for internal review may result in a confirmation, variation or reversal of the initial decision under review.

You will be advised of the outcome of an internal review within 15 (calendar) days.

The address for lodgement of an internal review is:

By post – address to:

Chief Executive Officer
Shire of Dowerin
PO Box 111
DOWERIN WA 6461

In person – visit:

Administration Office
13 Cottrell Street
DOWERIN WA 6461

By email – address to:

Chief Executive Officer
dowshire@dowerin.wa.gov.au

9.3.2 External Review

If you are not satisfied with the decision of the internal review, you have the right to lodge a complaint with the Information Commissioner seeking an external review of that decision.

You are required to lodge your complaint with the Information Commissioner's office within 60 (calendar) days of receiving the notice of decision of the internal review.

A complaint to the Information Commissioner must:

- Be in writing;
- Have attached to it a copy of the notice of decision; and
- Give an address in Australia to which notices and correspondence can be sent.

There is no charge for lodging a complaint with the Information Commissioner's office.

The address of the Information Commissioner is:

Office of the Information Commissioner
Albert Facey House
469 Wellington Street
Perth WA 6000

Should you have any further queries or require any further information about your review rights, you may contact the Office of the Information Commissioner on (08) 9220 7888.

9.4 FOI Procedures for the Amendment of Personal Information

Under the FOI Act, staff, ratepayers and the general public may apply to have personal information about themselves held by the Shire amended if they believe it is incomplete, incorrect, out of date or misleading. Requests to have documents amended should be directed in writing to the FOI Coordinator. Receipt of an application must be acknowledged in writing by the FOI Coordinator.

The decision to allow or refuse amendment of personal information is to be made by the FOI Coordinator in consultation with the CEO, depending on the nature of the request.

In accordance with Section 49(2) of the FOI Act, the Shire is required to give the applicant written notice of its decision within 30 (calendar) days. The notice is to give details of the approved amendment(s) or a statement of reason for the decision to refuse amendment of the personal information.

A simple name and/or address change is handled through our usual process, upon completion of a Change of Contact Details form and/or supply of proof of change and is not subject to the FOI process.

The only records of a personal nature held by the Shire of Dowerin relate to staff. Any person concerned that any records maintained by the Shire may contain personal information about themselves that may require amendment, can write or contact the:

Freedom of Information Coordinator
Shire of Dowerin
13 Cottrell Street / PO Box 111
DOWERIN WA 6461

P: 08 9631 1202
E: dowshire@dowerin.wa.gov.au

9.5 FOI Charges

Details of fees and charges are listed below and must be paid in full prior to access to non-exempt documents being permitted. Whilst the $30 application fee is mandatory, the additional charges are applied at the Shire's discretion and will usually only be required if the application is large and requires extensive amounts of staff time. These charges are in accordance with the charges specified in the *Freedom of Information Regulations 1993*.

TYPE OF FOI REQUEST	CHARGE APPLICABLE
Personal Information	No fee
Amending personal information	No fee
Application fee for non-personal information	$30
Charge for time taken by staff dealing with the application (per hour or pro rata)	$30 per hour
Charge for access time supervised by staff (per hour or pro rata) (plus the additional cost to the agency for any special arrangements (eg hire of facilities or equipment)	$30 per hour
Charges for photocopying (per copy)	20c
Charges for staff time photocopying (per hour or pro rata)	$30 per hour
Charge for time taken by staff transcribing information from a tape or other device	$30 per hour
Charge for duplicating a tape, film or computer information	Actual cost
Charge for delivery, packaging and postage	Actual cost
Internal Review	Nil

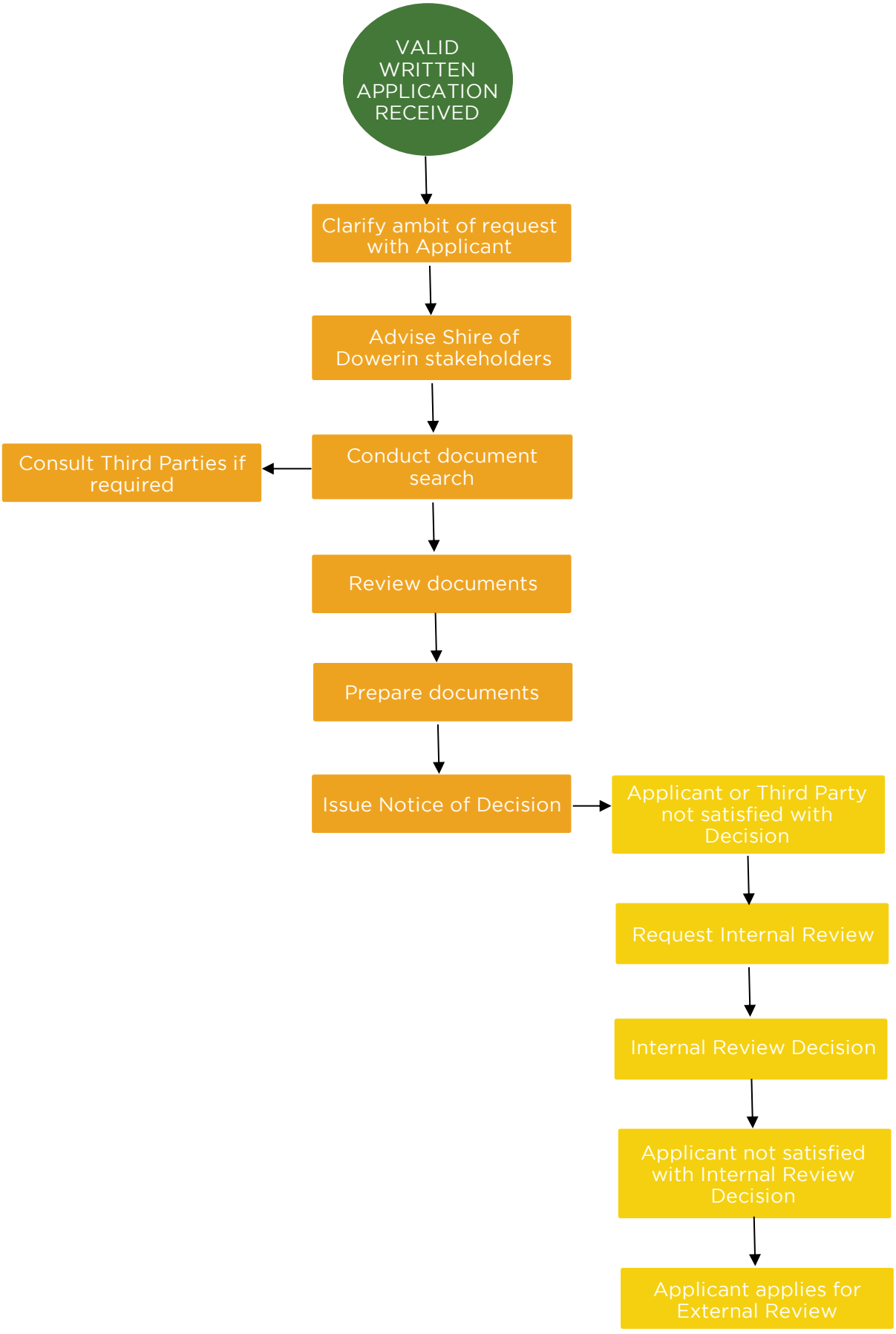
9.5.1 Estimate

If charges are to be applied, an estimate of charges will be sent to the applicant before any work is undertaken. Work on the application will only begin once the estimate has been accepted and paid. If the applicant is not satisfied with the estimate they are welcome to discuss the scope of the application with the FOI Coordinator in an effort to reduce the charges. Alternatively, the applicant may contact the Office of the Information Commissioner to request a review.

9.5.2 Deposit

A deposit of 25% of the estimated charge may be requested. A further advance deposit of up to 75% of the fee may be required should it be considered necessary to meet the charges for dealing with the application. The imposition of this charge is entirely at the discretion of the Shire of Dowerin.

9.6 FOI Process – Flowchart



SHIRE OF DOWERIN
TIN DOG TERRITORY

APPLICATION FOR ACCESS TO DOCUMENTS

(Pursuant to Section 12 of the *Freedom of Information Act 1992*)

APPLICANT DETAILS			
Surname		Given Names	
Organisation Name			
Postal Address			
		Postcode	
Telephone		Mobile	
Email			

REQUEST			
Type of Request *(please tick)*			
☐ Personal Documents *(incurs no fees and will contain information pertinent to the applicant only)* ☐ Non-Personal Information *(incurs $30 application fee and additional charges may apply)*			
Details of Request I am applying for access to document(s) concerning: (Please provide as much information as possible to identify the documents ie location/address, subject matter, date(s))			
Specify Dates – From:		To:	

CONSULTATION

Please tick if you give consent.

☐ I consult to all "Personal Information" and/or "Commercial Information" of third parties being deleted from the requested document(s)

☐ I consent to third parties being given my name as the applicant requesting this information

FORM OF ACCESS

Please tick your preferred Form of Access

☐ Email (the Shire's preferred form of access *where applicable*)

☐ Inspection of the document(s)

☐ Physical Hard Copy (charges will *apply*)

Signature		Date	

Information Statement

2018/2019

Table of Contents

SHIRE OF DOWERIN ADMINISTRATIVE INFORMATION 4

1.0 INTRODUCTION 5

2.0 STRUCTURE AND FUNCTIONS OF SHIRE OF DOWERIN 6

2.1 Constitution and Enabling Legislation 6

2.2 Major Functions and Powers 6

3.0 LEGISLATION ADMINISTERED 9

4.0 STRUCTURE AND FUNCTION OF THE SHIRE OF DOWERIN 9

4.1 Council 9

4.2 Council Administration 10

4.3 Shire of Dowerin Resources 10

4.4 Shire of Dowerin Key Community Services and Facilities 10

5.0 SHIRE OF DOWERIN STRATEGIC COMMUNITY PLAN 11

5.1 The Community's Vision 11

5.2 Key Focus Areas 12

6.0 FUNCTIONS, INCLUDING DECISION-MAKING FUNCTIONS AFFECTING THE PUBLIC 12

6.1 Council 12

6.2 Council Committees and Delegations 13

6.3 Chief Executive Officer (CEO) 13

6.4 Delegated Authority 14

7.0 PUBLIC PARTICIPATION IN THE FORMULATION OF POLICY AND PERFORMANCE 14

7.1 Public Address at Council / Committee Meetings 14

7.2 Petitions 14

7.3 Electors' Meetings 14

7.4 Written Requests 15

7.5 Councillors 15

7.6 Community Engagement 15

8.0 DOCUMENTS HELD BY THE SHIRE OF DOWERIN 16

8.1 Inspection – Council Office 19

9.0 THE OPERATION OF FREEDOM OF INFORMATION (FOI) IN THE SHIRE OF DOWERIN 20

9.1 Making an FOI Application 20

9.2 Notice of Decision 21

9.3 Refusal of Access 21

9.4 Freedom of Information Appeals Process 21

9.5 Freedom of Information Procedures for the Amendment of Personal Information 22

9.6 Freedom of Information Charges 22

9.7 Freedom of Information Enquiries and Lodgement Details 23

APPENDICES 24

APPENDIX 1 SHIRE OF DOWERIN LOCALITY MAP 25

APPENDIX 2 LEGISLATION AND REGULATIONS ADMINISTERED BY THE SHIRE DOWERIN 26

APPENDIX 3 ORGANISATIONAL CHART 35

APPENDIX 4 DOCUMENTS AVAILABLE FOR INSPECTION 36

SHIRE OF DOWERIN ADMINISTRATIVE INFORMATION

Current Address:	13 Cottrell Street DOWERIN WA 6461
Postal Address:	PO Box 111 DOWERIN WA 6461
Telephone:	(08) 9631 1202
Facsimile:	(08) 9631 1193
Website:	www.dowerin.wa.gov.au
Email:	dowshire@dowerin.wa.gov.au

Shire President:
Darrel Hudson (Retiring 2021)

Deputy Shire President:
Cr Adam Metcalf (Retiring 2019)

Councillors:

Cr Robert Trepp	(Retiring 2019)
Cr Brenton Walsh	(Retiring 2019)
Cr Beverley Ward	(Retiring 2021)
Cr Lindsay Hagbroom	(Retiring 2021)
Cr Julie Chatfield	(Retiring 2019)
Cr Leonard Holberton	(Retiring 2021)

Chief Executive Officer
Mrs Rebecca McCall

1.0 INTRODUCTION

This information statement contains an overview of the structure and functions of the Shire of Dowerin, including a summary of how these functions affect members of the public and also describes avenues available to the public to obtain information held by the Shire of Dowerin.

The Information Statement describes the types of documents that can be inspected, purchased or obtained with and without charge, and outlines the range of collated information reports available.

The Information Statement also provides an outline of the Freedom of Information (FOI) process including how to make an FOI application, and describes relevant information specific to the Shire of Dowerin.

The Shire of Dowerin is an agency within the meaning of the *Freedom of Information Act 1992*. Accordingly, the requirements of the Act apply to the Shire of Dowerin from the commencement date of that legislation, being 1 November 1993.

The intention of the Act is to:-

- Confer upon persons a general right of access to information held by agencies;
- Confer upon individuals a right to apply to an agency for an amendment of personal information to ensure that it is accurate, complete, up to date and not misleading.

The Act also requires that agencies prepare and publish an Information Statement which conveys the maximum possible detail to the public about its operations and which makes available to the public documents such as internal manuals which have previously been unavailable.

This Information Statement is published by the Shire of Dowerin in accordance with the requirements of the Act as outlined above.

2.0 STRUCTURE AND FUNCTIONS OF SHIRE OF DOWERIN

2.1 Constitution and Enabling Legislation

The Shire of Dowerin is a municipality constituted under section 2.5 of the *Local Government Act 1995* to provide for the good governance of the Municipal District. A municipality is a body corporate having perpetual succession, a common seal, the legal capacity of a natural person, and the powers conferred and obligations imposed upon a municipality by law.

The first settlement for agriculture was in 1897 and the town was not established until 1906 when the railway line was extended from Goomalling. The town grew rapidly from that point, with the first store opening in 1906 and in a short time was able to cater for most of the settlers' needs.

The earliest public buildings were at Dowerin Lakes or Old Dowerin, as it had been the expectations of the settlers that this site, 8 km south was to be the townsite. These buildings were a school and a Methodist Church.

The first Road Board was formed in 1912. The area was previously administered by the Goomalling Road Board and the new Dowerin Road Board covered a vast area including Wyalkatchem and Koorda. The District of Dowerin comprises of the Town of Dowerin and a number of smaller localities including Amery, Booralaming, Dowerin Lakes (Daren), Doodarding, Ejanding, Hindmarsh, Koombekine, Manmanning, Minnivale, Moonijin, Namelcatchem, Nambling, Ucarty and Watercarrin, covering a combined area of approximately 1,867 sq km.

The district consists of mainly agricultural land used primarily for the purposes of grain growing and sheep production for meat and wool.

2.2 Major Functions and Powers

The Shire of Dowerin Council is elected to provide strategic direction and policy formation. Council policies and guidelines act as guides for the Shire's stance on various issues.

The Shire of Dowerin provides for the good governance of the community in its district, including legislative and executive functions. The services of the Shire of Dowerin are available to all customers, free from any form of discrimination. The functions and activities of the Shire of Dowerin (including those contracted out to other organisations) are broadly described as:

Function	Brief Description
Community Development	The function of arranging, promoting or encouraging programs and events in visual arts, craft, music, performing arts, sports and recreation, cultural activities and services, youth and community engagement.
Community Services	The function of providing, operating or contracting services to assist local residents and the community. Services include aged care, and child care facilities.
Corporate Management	The function of applying broad systematic planning to define the corporate mission and determine methods of the Shire of Dowerins' operation.
Council Properties	The function of acquiring, constructing, designing, developing, disposing and maintaining facilities and premises owned, leased or otherwise occupied by the Shire of Dowerin.
Customer Service	The function of planning, monitoring and evaluating services provided to customers by the council.
Development & Building Controls	The function of regulating and approving building and development applications for specific properties, buildings, fences, signs, etc. covered by the Building Code of Australia and the Environment Protection Authority (EPA).
Environmental Management	The function of managing, conserving and planning of air, soil and water qualities, and environmentally sensitive areas such as remnant bushland and threatened species.
Financial Management	The function of managing the Shire of Dowerins' financial resources.
Governance	The function of managing the election of Council representatives, the boundaries of the Shire of Dowerin, and the terms and conditions for Councillors. Includes the function of managing the relationship between the Council and other governments.
Grants & Subsidies	The function of managing financial payments to the Shire of Dowerin from the State and Federal Governments and other agencies for specific purposes. Related to the function of Financial Management.
Heritage	The function of identifying and managing the Shire's historical buildings to ensure that these assets are properly maintained for future generations.
Information Management	The function of managing the Shire of Dowerins' information resources. Includes storage, retrieval, archiving, processing and communication of all information in any format.
Information Technology	The function of acquiring and managing communications and information technology and databases to support the business operations of the Shire of Dowerin.
Land Use & Planning	The function of establishing a medium to long term policy framework for the management of the natural and built environments.
Laws & Enforcement	The function of regulating, notifying, prosecuting, and applying penalties in relation to the Shire's regulatory role.

Function	Brief Description
Parks & Reserves	The function of acquiring, managing, designing and constructing parks and reserves either owned or controlled and managed by Council.
Personnel	The function of managing the conditions of employment and administration of personnel at the Shire of Dowerin including consultants and volunteers.
Plant, Equipment & Stores	The function of managing the purchase, hire or leasing of all plant and vehicles, and other equipment. Does not include the acquisition of information technology and telecommunications.
Public Health	The function of managing, monitoring and regulating activities to protect and improve public health under the terms of the Health Act, health codes, standards and regulations.
Rates & Valuations	The function of managing, regulating, setting and collecting income through the valuation of rateable land and other charges.
Risk Management	The function of managing and reducing the risk of loss of Shire of Dowerins' properties and equipment and risks to personnel.
Roads	The provision of road construction and maintenance of rural roads and associated street services to property owners within the Shire of Dowerin area.
Sewerage & Drainage	The function of designing, constructing, maintaining and managing the liquid waste system, including drainage, sewerage collection and treatment, stormwater and flood mitigation works.
Stakeholder Relations	The function of establishing a rapport with the community and raising and advancing the Shire's public image and its relationships with outside bodies, including the media and the public.
Traffic & Transport	The function of planning for transport infrastructure and the efficient movement and parking of traffic. Encompasses all service/facilities above the road surface and includes all forms of public transport.
Waste Management	The function of providing services to ratepayers for the removal of solid waste, destruction and waste reduction.

3.0 LEGISLATION ADMINISTERED

Acts of Parliament and Regulations administered by the Shire of Dowerin are detailed in *Appendix 2*. Copies of Acts and Regulations are available from:-

State Law Publisher
10 William Street
PERTH 6000
Ph. 9321 7688
Fax 9321 7536

Or, electronically at the Australasian Legal Information Institute – www.austlii.edu.au/

Local Laws pursuant to the Local Government Act 1995 and the Health Act 1911 are promulgated by Council following a statutory public advertising period and referral to the Minister for Local Government. The Shire of Dowerins' Local Laws are also listed in *Appendix 2*.

4.0 STRUCTURE AND FUNCTION OF THE SHIRE OF DOWERIN

4.1 Council

The Council consists of eight (8) Councillors, including the Shire President and Deputy Shire President who are both elected by the Councillors. The Shire President and Councillors act in a voluntary capacity, receiving an allowance only. Each Councillor serves for a term of four (4) years. Elections for half the council are held every two (2) years. Council has adopted a Code of Conduct to enable efficient decision-making.

The role of Council is to:

- direct and control the Shire's affairs;
- be responsible for the performance of the Shire's function;
- oversee the allocation of the Shire's finances and resources;
- determine the Shire's policy; and
- provide strategic direction.

The role of the president is to:

- preside at Council meetings;
- provide leadership and guidance to the community;
- carry out civic and ceremonial duties on behalf of the Shire;
- speak on behalf of the Shire;
- perform such functions as specified in the Act or other written laws; and
- liaise with the CEO on the Shire's affairs and the performance of its functions.

The Deputy Shire President carries out these functions when the Shire President is unavailable.

Council establishes policies and guidelines for the management of the district and makes all decisions in this regard, unless authority has been delegated to a committee or officers of Council. Councillors are required under the *Local Government Act 199*5 to work for the district as a whole.

Decisions of Council are made at Council Meetings. Ordinary Meetings are held on the fourth Tuesday of each month excluding August and December when a meeting is held on the third Tuesday of the month and January when no meetings are scheduled.

4.2 Council Administration

Council Administration undertakes the operational activities of Council related to Council decisions. All operations are carried out according to Council Policy and decisions made by Council Officers are in accordance with authority delegated by Council.

The Chief Executive Officer (CEO) of the Shire of Dowerin is appointed by the Council and is responsible for management of the administration functions of the Council and all staff appointments.

An Organisational Chart for the Shire of Dowerin is attached (*Appendix 3*).

4.3 Shire of Dowerin Resources

The Shire of Dowerin has an Operating Revenue budget for 2018/2019 of $3.2 million. It receives approximately $1.3 million from rate income and the balance from other sources.

The annual budget (available at www.dowerin.wa.gov.au) contains complete details of the Shire's financial information.

4.4 Shire of Dowerin Key Community Services and Facilities

- Community Resource Centre
- Dowerin Community Care (HACC program)
- Dowerin District Museum
- Lil Tigers Early Learning Centre

5.0 SHIRE OF DOWERIN STRATEGIC COMMUNITY PLAN

The Shire's Strategic Community Plan "Strategic Community Plan 2018-2028" sets out the strategic direction for management of the district.

5.1 The Community's Vision

Dowerin will be a thriving and growing rural community which offers lifestyle choice for all generations, is progressive in environmental management and is a preferred location for business development.

A thriving and growing rural community…

Dowerin will be progressive and successful community with a range of regular activities, events and opportunities available for residents, businesses and visitors to enjoy.

Shire facilities will be heavily utilised, well managed and successfully maintained and local residents will play an intricate role in the community through volunteerism and participation.

A lifestyle choice for all generations....

With high quality facilities and services that will cater for the needs of a range of demographics. Dowerin will be a prime location for singles, families and seniors to relocate from the hustle and bustle of the metropolitan area and will offer an affordable and desirable community in which to live, work and play. We will have employment choices, high quality education for all ages, health and emergency services. These attributes will combine to make Dowerin a safe and friendly place to reside.

A preferred location for business development....

Dowerin will be a prosperous and successful place to live and do business. Opportunities will be available for economic growth and business activity leading to a sustainable economy for the long term. Young people will stay in Dowerin to take advantage of traineeships and apprenticeships leading to a bright future. Residents and businesses will have access to 21st century telecommunications technology ensuring they are connected with the rest of the world.

Progressive environmental management….

Dowerin will be progressive in its environmental practises, minimising waste to landfill and maximising potential for recycling whilst utilising the Dowerin Recycling Centre. Residents will optimise opportunities to minimise energy use and utilise alternative green energy resources. Residents will actively volunteer to participate in the Tidy Towns program and conduct work at the recycling shed.

5.2 Key Focus Areas

To be successful, Council must achieve positive results in the following five broad Key Focus Areas (KFAs):

1. **Our Lifestyle**
   This KFA contributes directly to a safe, friendly and engaged community with diverse education and employment opportunities and services that meet the needs for all generations.

2. **Our Infrastructure**
   Our infrastructure will drive economic and population growth, be a key enabler of the digital economy and support reliable, efficient service delivery.

3. **Our Economy**
   This KFA provides a strong and growing local economy supported by new industry development aligned to identified economic opportunity.

4. **Our Natural Environment**
   This KFA contributes directly to enhanced, engaging community spaces, heritage protection and environmental protection. Dowerin's unique natural environment is conserved and enhanced through sustainable practices and responsible environmental management.

5. **Our Leaders**
   This KFA underpins the Shire's activities in the other KFAs. A thriving and progressive rural community enabled by innovation in leadership, a focus on continuous improvement and adaptability to evolving community needs.

Each of these areas can influence the others. Achievement in all of the key focus areas is crucial to the success of the plan.

6.0 FUNCTIONS, INCLUDING DECISION-MAKING FUNCTIONS AFFECTING THE PUBLIC

6.1 Council

Meetings of Council are held to make all decisions concerning the municipal district, other than those delegated, as authorised by the *Local Government Act 1995* and other legislation as appropriate. Decisions are generally made after considering recommendations from committees unless a Special Meeting of Council has been called to consider a specific issue.

6.2 Council Committees and Delegations

Committees meet to consider issues which are under their area of control as identified in their Terms of Reference. These committees may comprise Councillors, and community representatives. Committees are constituted by council and have special responsibilities depending on their function. Council Administration provides reports and advice to the various Council committees in the agenda for each meeting and recommends an appropriate course of action. The committee may then either endorse the administration recommendation or recommend an alternative course of action. The committee is responsible for the recommendations to Council as recorded in the minutes of the committee meeting.

Council has the following committees:

These committees were established to enable greater community involvement in the management of these key issues.

- Audit Committee
- Finance Committee
- Dowerin Bush Fire Advisory Committee
- Dowerin Local Emergency Management Committee
- Australia Day Honours Committee
- Road Verge Management Committee

Council also has delegates on the following external committees:

- Avon Regional Organisation Councils (AROC)
- Great Eastern Zone – WALGA
- Goomalling Medical Centre
- Kellerberrin Regional Road Group
- Dowerin Events Management

Delegates to these committees represent the Shire of Dowerin and generally matters are not referred to Council for consideration unless there are specific issues requiring attention.

6.3 Chief Executive Officer (CEO)

The CEO's functions are to advise council in relation to the functions of the Shire of Dowerin under the *Local Government Act 1995* and other written laws and to ensure information is available so that informed decisions are made. The CEO is also responsible for all staff matters. The CEO is to liaise with the Shire President on local government affairs and the performance of the Shire of Dowerin as well as ensure records and documents are properly kept.

6.4 Delegated Authority

In addition to the legislated functions of the CEO and in order to ensure the efficient management of Council activities, authority has been delegated to the CEO and other officers to make decisions of an operational nature according to Council policies and specific matters by resolution of Council.

Delegated Authorities are listed in the Delegated Authority Register and are reviewed at least annually by Council.

7.0 PUBLIC PARTICIPATION IN THE FORMULATION OF POLICY AND PERFORMANCE

Electors, ratepayers and residents of the Shire of Dowerin have a number of opportunities to be involved in the decision-making processes of Council. Details of the various public participation opportunities are outlined below:

7.1 Public Address at Council / Committee Meetings

Members of the public are permitted, under Councils Local Law relating to Standing Orders, to address meetings of Council on any subject which is within the Council jurisdiction. However at Committee Meetings members of the public are permitted to only address topics listed on the agenda for that meeting. In order to make an address it is preferred that a person give written notice of their intention to do.

The rules governing the Public Address Session are outlined in the *Shire of Dowerin Local Law Relating to Standing Orders* available on the Shire's website or on request.

The public address is restricted to electors of the Shire unless the Council, by resolution, decides otherwise.

7.2 Petitions

Written petitions can be presented to Council on any subject within Council's jurisdiction. Council will receive each petition and may refer it to Administration for research and advice before making a decision.

7.3 Electors' Meetings

Electors have an opportunity to give their opinions on any issue at either the Annual Meeting of Electors or Special Meetings of Electors.

7.3.1 Annual Meeting of Electors

An Annual Meeting (AGM) of Electors is held at least once in each financial year, at a time appointed by Council for the following purposes:

- receiving the Annual Report;
- Special Business of which notice has been given; and
- General Business.

7.3.2 Special Meeting of Electors

Electors may initiate a Special Meeting of Electors under procedures prescribed in the *Local Government Act 1995*.

The Standing Orders specify that special meetings are called to consider special business which is notified when calling the meeting. No business shall be transacted at a special meeting other than that for which the special meeting was called.

7.4 Written Requests

Any member of the community may write to the Shire of Dowerin at any time on any matter. Any matter raised will be considered by Administration and/or Council and a decision and response provided.

Correspondence should be addressed to:

Chief Executive Officer
Shire of Dowerin
PO Box 111
DOWERIN WA 6461
Or by email to dowshire@dowerin.wa.gov.au

7.5 Councillors

Electors are able to vote every second year for Councillors in the Dowerin District Ward to represent them in the decision-making functions of Council. Councillors are elected for four (4) year terms. At any time during these terms electors may contact Councillors to discuss any issues relevant to Council.

7.6 Community Engagement

Council may consult residents on any issue that is currently under consideration. Other than direct consultation, or via its website, Council may notify residents of issues by advertising in local papers, calling public meetings, or surveys. Under each of these methods electors, ratepayers and residents are able to provide input and lodge objections and are provided with guidelines for doing so.

8.0 DOCUMENTS HELD BY THE SHIRE OF DOWERIN

Council maintains records regarding its operational activities according to legislative requirements. Many of these documents are available for public inspection free of charge. Public inspection may be at the Shire Office (13 Cottrell Street, Dowerin) and on the Shire's website www.dowerin.wa.gov.au.

The types of documents available are explained below. *Appendix 4* provides a chart detailing the level of access and availability of these documents.

Council and Committee Agendas and Minutes
Reports listed for discussion at Council and Committee Meetings and the resultant minutes of those meetings are available for viewing as soon as they are produced.

Public Registers
In accordance with the *Local Government Act 1995*, the following registers are available for inspection at Council:

- Delegations of Authority;
- Gift Register;
- Electoral Gift Register;
- Annual and Primary Financial Returns of Elected Members and staff granted delegated authority;
- Disclosure of Financial Interests Register;
- Register of Owners and Occupiers;
- Tenders Register;
- Complaints Register (Rules of Conduct Regulations); and
- Code of Conduct.

Local Laws
The laws that Council makes to enable it to fulfil its functions. Copies of the Shire's local laws are available electronically from the Shire's website, or in hard copy from the Shire's administration building.

Policy Manual and Delegated Authority Manual
Manuals adopted by Council on policies and areas where authority has been delegated. Copies of the manuals are available electronically from the Shire's website, or in hard copy from the Shire's administration building.

Strategic Community Plan
A community-based document which outlines the Shire's vision, mission, beliefs and key focus areas over ten years. The Shire's Corporate Business Plan is drawn from the Shire's Strategic Community Plan and is updated every year, planning for a four-year period.

Disability Access and Inclusion Plan
A plan developed by the Shire as required by the *Disability Services Act 1993* to ensure that people with disabilities have access to the Shire's functions, facilities and services.

Electoral Rolls and Street Directories
The Council is required to keep a continuing electoral roll of the municipality, consisting of a Residents roll and an Owners and Occupiers roll (*Sections 4(40) and 4(41) of the Local Government Act 1995*). The Electoral roll is available for viewing at the Shire's Administration building.

Schedule of Fees and Charges
A schedule of fees and charges for services and facilities provided by the Shire and approved by Council annually.

Annual Budget
Gives details of the budget approved by Council within a financial year. Available from the Shire's website www.dowerin.wa.gov.au

Annual Report
Produced by the Shire of Dowerin, detailing the Council activities for the year. Available from the Shire's website www.dowerin.wa.gov.au

Tender Register
Gives details and results of tenders called for works and services.

Contracts Register
Gives details of contracts awarded for all non-tender items (consultancies etc). Access is available provided it is demonstrated to be in the public interest and there is no conflict with commercial confidentiality.

Freedom of Information (FOI) Statement (This document)
A document required under the *Freedom of Information Act 1992* which provides detailed information on the Shire of Dowerin. The Statement is designed as a guide for the community on the structure and nature of the Council.

Local Government Retention and Disposal Schedule
A manual released by the State Records Office to ensure conformity and safekeeping of records within Local Government.

Record Keeping Plan
The State Records Act 2000 governs the creation and management of Government and State records, including Local Government records. This Act requires the development and implementation of a Record Keeping Plan based on the management of records addressing six fundamental Principles:

1. Proper and Adequate Records
2. Policies and Procedures
3. Language Control
4. Preservation
5. Retention and Disposal
6. Compliance

The Plan provides an accurate reflection of the record keeping program within the organization.

The Shire's current Record Keeping Plan RKP2008069, was reviewed by the State Records Commission on 1 August 2014, the State Records Commission approved the continuation of the Plan. In accordance with section 28 of the *State Records Act 2000,* the Plan is to be reviewed every 5 years. Therefore, a report of the review must be submitted to the State Records Office by 23 March 2019.

Building/Development Applications
As the authority responsible for granting planning approval for development and issuing building licences for land zoned under the Shire Planning Scheme, the Shire of Dowerin has a vast record of drawings and plans of buildings within the Shire area. The drawings and plans can include site plans, floor plans, elevations and in some cases perspective drawings.

Access to this information is available subject to the consent of the current owner of the property. Information about the year of construction, builder details and cost of construction can also be obtained. Charges apply for obtaining this information and the availability of plans in all instances cannot be assured.

Municipal Heritage Inventory
Under the *Heritage of Western Australia Act 1990* the Shire of Dowerin is required to prepare a Municipal Heritage Inventory. This is an inventory of all buildings within the boundary of the Shire of Dowerin that are or may become of cultural heritage significance to the community. Details in the inventory include, property address, ownership, description, historical information, architectural information, bibliography, listing status, and an electronic image of each building.

Functional files
The Shire of Dowerin manages a number of files relating to various functions of the Shire. All files are subject to disposal in accordance with the current *Local Government Records Retention and Disposal Schedule*.

FOI Applications to view these files will be considered on a case by case basis and information may be released in an edited form. Charges may apply to accessing these records as specified in the *Freedom of Information Act (Regulations) 1993* and listed in Section 9.6 of this document.

8.1 Inspection – Council Office

The following documents are available for inspection (*see Appendix 4*).

Available for a Fee
Charges may be applicable for copies of documents. Applicable charges are listed in Section 9.6 of this document.

Available via Freedom of Information Act
Freedom of Information legislation may be used to request access to information not available by any other means.

The Shire is to administer the Act in a way that:

- assists the public to obtain access to documents;
- allows access to documents to be obtained promptly and at the lowest reasonable costs; and
- assists the public to ensure that personal information contained in documents is accurate, complete, up to date and is not misleading.

While the Act provides for a general right of access to documents it also recognizes that some documents require protection - these exemptions are listed in *Schedule 1* of the Act and include:

- personal information;
- information concerning trade secrets;
- other commercially valuable information;
- legal advice; or
- any other information concerning the business, professional, commercial or financial affairs of a third party who is not the applicant.

For a full list of exemptions please contact the Shire's Freedom of Information Coordinator or view the Office of the Information Commissioner's (OIC) website at www.foi.wa.gov.au/dnn/home.aspx

Freedom of Information applications can be submitted to:

Freedom of Information Coordinator
Shire of Dowerin
13 Cottrell Street
DOWERIN WA 6461

P: 08 9631 1202
F: 08 9631 1193
E: dowshire@dowerin.wa.gov.au

9.0 THE OPERATION OF FREEDOM OF INFORMATION (FOI) IN THE SHIRE OF DOWERIN

The Shire of Dowerin aims to make information available promptly and at the least possible cost.

The Freedom of Information Act 1992 provides the right to apply for documents held by the Shire and enables the public to ensure that personal information in documents is accurate, complete, current and not misleading.

Under the provisions of the Act, applications may be made to:

- gain access to a document;
- amend personal information; or
- review a previous FOI decision regarding access to or amendment of document.

Access can be requested by way of inspection, a copy of a document, a copy of an audio or video tape, a transcript of a recorded document or of words recorded in shorthand or encoded form, or a written document in the case of a document from which words can be reproduced in written form.

Where the Shire of Dowerin is unable to grant access in the form requested, access may be given in a different form.

9.1 Making an FOI Application

As specified in the Freedom of Information Act, an application:

- must be in writing;
- give enough information to enable the requested document to be identified;
- give an Australian address for correspondence;
- be accompanied by the prescribed application fee;
- specify the manner in which access is requested, e.g. copy requested.

Applications should be addressed to:

Freedom of Information Coordinator
Shire of Dowerin
13 Cottrell Street
DOWERIN WA 6461

or

F: (08) 9631 1202
E: dowshire@dowerin.wa.gov.au

Applications will be acknowledged in writing.

9.2 Notice of Decision

The FOI Coordinator and the CEO of the Shire of Dowerin are authorised under the FOI Act to make decisions regarding FOI applications.

The FOI Coordinator, as soon as possible but in any case, within 45 days of receipt of a FOI request, must provide the applicants with a notice of decision which will include:

- the date which the decision was made;
- the name and the designation of the officer who made the decision;
- if the document is an exempt document the reasons for classifying the matter exempt; or the fact that access is given to an edited document; and
- Information on the right to review and the procedures to be followed to exercise those rights.

9.3 Refusal of Access

Applicants who are dissatisfied with a decision of the Shire are entitled to ask for an **internal review** by the Shire. Application should be made in writing within 30 days of receiving the notice of decision.

The internal review will be carried out by a person, not being the original decision-maker, from the start of the decision-making process.

If applicants disagree with the result of the internal review they can then apply to the Information Commissioner for an **external review.** Applicants will be advised of the procedure to request an external review when the internal review decision is issued.

9.4 Freedom of Information Appeals Process

If an applicant is dissatisfied or aggrieved by a decision regarding access to documents or amendments of personal information, the applicant has a right to an internal review of that decision. If, after an internal review has been completed, the applicant is still dissatisfied then an appeal may be made to the Information Commissioner for an external review.

9.5 Freedom of Information Procedures for the Amendment of Personal Information

The only records of a personal nature held by the Shire of Dowerin are staff records. Any person concerned that any records maintained by the Shire may contain personal information about themselves that may require amendment, can write or contact:

Freedom of Information Coordinator
Shire of Dowerin
13 Cottrell Street
DOWERIN WA 6461

P: 08 9631 1202
F: 08 9631 1193
E: dowshire@dowerin.wa.gov.au

9.6 Freedom of Information Charges

Details of fees and charges are listed below, and where required, the charge must be paid in full prior to access to non-exempt documents being permitted. Whilst the $30.00 application fee is mandatory, the additional charges are applied at the Shire's discretion and will usually only be required if the application is large and requires extensive amounts of staff time. These charges are in accordance with the charges specified in the *Freedom of Information Act (Regulations) 1993*.

TYPE OF FOI REQUEST	CHARGE APPLICABLE
Personal Information	No Fee
Amending personal information	No Fee
Application fee for non-personal information	$30
Access time supervised by staff (per hour or pro rata)	$37 Per Hour
Dealing with applications (per hour or pro rata)	$35 Per Hour
Photocopying (per copy)	85c
Duplicating a tape, film or computer information	Actual Cost
Delivery, packaging and postage	Actual Cost
Internal Review	Nil

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9.6.1 Estimate

If charges are to be applied, an estimate of charges will be sent to the applicant before any work is undertaken. Work on the application will only begin once the estimate has been accepted. If the applicant is not satisfied with the estimate they are welcome to discuss the scope of the application with the FOI Coordinator in an effort to reduce the charges. Alternatively, the applicant may contact the Office of the Information Commissioner to request a review.

9.6.2 Deposit

A deposit of 25% of the estimated charge may be requested. A further advance deposit of up to 75% of the fee may be required should it be considered necessary to meet the charges for dealing with the application. The imposition of this charge is entirely at the discretion of the Shire of Dowerin.

9.7 Freedom of Information Enquiries and Lodgement Details

Applications and General Enquiries:

Freedom of Information Coordinator
Shire of Dowerin
13 Cottrell Street
DOWERIN WA 6461

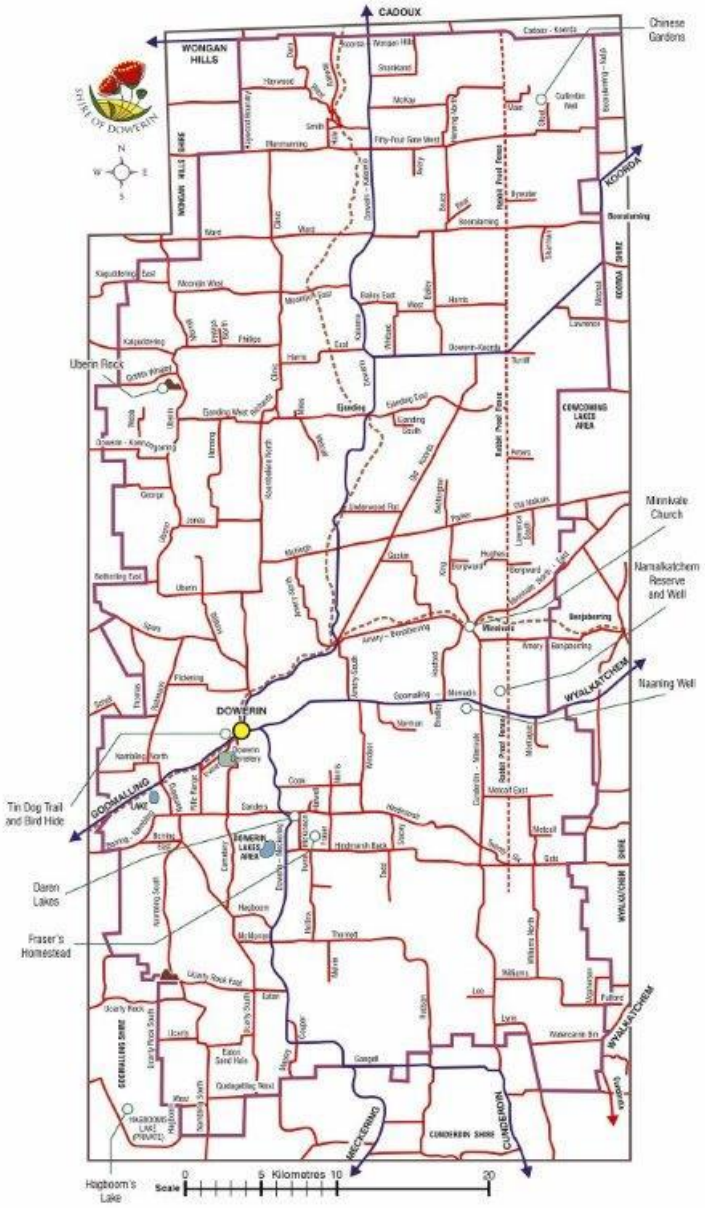
P: 08 9631 1202
F: 08 9631 1193
E: dowshire@dowerin.wa.gov.au

Rebecca McCall
CHIEF EXECUTIVE OFFICER

APPENDICES

APPENDIX I	Shire of Dowerin Locality Map
APPENDIX 2	Legislation and Regulations Administered by the Shire of Dowerin
APPENDIX 3	Shire of Dowerin Organisational Chart
APPENDIX 4	Documents available for inspection

APPENDIX 1 SHIRE OF DOWERIN LOCALITY MAP



APPENDIX 2 LEGISLATION AND REGULATIONS ADMINISTERED BY THE SHIRE DOWERIN

The Shire of Dowerin is constituted as a district under Part 2 of the *Local Government Act 1995*. The general function of a local government under s. 3.1 of the Act is to provide for the good government of persons in its districts. The general function of a local government under the Act includes legislative and executive responsibilities.

Using its legislative powers under s. 3.5 of the Act, a local government may make local laws prescribing all matters that are required or permitted to be prescribed by a local law or are necessary or convenient to be so prescribed for it to perform any of its functions under the *Local Government Act 1995*.

The local government's executive powers under s. 3.18 of the Act, involves administering its local laws and doing other things that are necessary or convenient to be done for, or in connection with, performing its functions under the *Local Government Act 1995* including the provision of services and facilities.

The Shire of Dowerin is wholly or partly responsible for administering the following legislation and regulations:

LEGISLATION OR REGULATION	PURPOSE
Anti-Corruption Commission Act 1988	An Act to provide for an Anti-Corruption Commission to receive or initiate allegations of corruption, or of criminal or improper conduct of certain kinds, against police officers and other public officers and certain other people, to provide for the way in which such allegations are to be inquired into, investigated or otherwise dealt with, and for related purposes.
Building Act 2011	An Act to provide for the following — • permits for building work and demolition work; • standards for the construction and demolition of buildings and incidental structures; • the use and maintenance of, and requirements in relation to, existing buildings and incidental structures; • work affecting land other than land on which the work is done; • the amendment of the *Local Government (Miscellaneous Provisions) Act 1960* and various other Acts; • the repeal of the *Building Regulations 1989* and the *Local Government (Prohibition on Dealings in*

LEGISLATION OR REGULATION	PURPOSE
	Land) Regulations 1973 ; • related matters.
Building Code of Australia 1996	
Bush Fires Act 1954	An Act to make better provision for diminishing the danger resulting from bush fires, for the prevention, control and extinguishment of bush fires, for the repeal of the *Bush Fires Act 1937-1950* and for other purposes.
Bush Fire Regulations	
Caravan Parks and Camping Grounds Act 1995	An Act to provide for the regulation of caravanning and camping, to control and license caravan parks and camping grounds, to provide for standards in respect of caravans, to amend certain Acts and for related purposes.
Caravan Parks and Camping Grounds Regulations 1997	
Cat Act 2011	An Act to control the ownership and keeping of cats, and the obligation and rights of persons in relation to the ownership and keeping of cats.
Disability Services Act 1993	An Act for the establishment of the Disability Services Commission and the Ministerial Advisory Council for Disability Services, for the furtherance of principles applicable to people with disabilities, for the funding and provision of services to such people that meet certain objectives, for the resolution of complaints by such people, and for related purposes.
Dog Act 1976	An Act to amend and consolidate the law relating to the control and registration of dogs, the ownership and keeping of dogs and the obligations and rights of persons in relation thereto, and for incidental and other purposes.
Dog Regulations 1976	
Dog (Restricted Breeds) Regulations 2002	
Environmental Protection Act 1986	An Act to provide an Environmental Protection Authority, for prevention, control and abatement of environmental pollution, for the conservation, preservation, protection enhancement and management of the environment and for matters incidental to, or connected with, the foregoing.

LEGISLATION OR REGULATION	PURPOSE
Environmental Protection (Noise) Regulations 1997	
Freedom of Information Act 1992	An Act to provide for public access to documents, and to enable the public to ensure that personal information in documents is accurate, complete, up to date and not misleading, and for related purposes.
Freedom of Information Regulations 1993	
Hairdressing Establishment Regulations 1972	
Health Act 1911	An Act to consolidate and amend the law relating to Public Health.
Health Act (Air Handling and Water Systems) Regulations 1994	
Health Act (Asbestos) Regulations 1992	
Health Act (ANZ Food standards Code adoption) Regulations 2001	
Health Act (Carbon Monoxide) Regulations 1975	
Health Act (Cloth Materials) Regulations 1985	
Health Act (Food Hygiene) Regulations 1993	
Health Act (Food Standards) Regulations 1987	
Health Act (Garden Soil) Regulations 1998	
Health Act (Laundries and Bathrooms) Regulations	
Health Act (Meat Hygiene) Regulations 2001	
Health Act (Pesticides) Regulations 1956	
Health Act (Pet Meat) Regulations 1990	
Health Act (Poultry Manure) Regulations 2001	
Health Act (Prescribing the Annual Report Form to be used by Local Authorities) Regulations	
Health Act (Public Buildings) Regulations 1992	
Health Act (Sewerage, Lighting, ventilation and Construction) Regulations 1971	

LEGISLATION OR REGULATION	PURPOSE
Health Act (Skin Penetration Procedure) Regulations 1998	
Health Act (Smoking in Enclosed Public Places) Regulations 1999	
Health Act (Swimming Pools) Regulations 1964	
Health Act (Temporary Sanitary Conveniences) Regulations 1997	
Health Act (Treatment of Sewerage and Disposal of Effluent and Liquid Waste) Regulations 1974	
Heritage of Western Australia Act 1990	An Act to provide for, and to encourage, the conservation of places which have significance to the cultural heritage in the State, to establish the Heritage Council of Western Australia, and for related purposes.
Justices Act 1902	An Act to consolidate and amend the laws relating to Justices of the Peace and their powers and authorities.
Land Administration Act 1997	An Act to consolidate and reform the law about Crown land and the compulsory acquisition of land generally, to repeal the *Land Act 1933* and to provide for related matters.
Land Valuation Tribunals Act 1978	An Act to provide for the establishment of Land Valuation Tribunals and to define the jurisdiction, powers and procedures of such Tribunals and for other purposes.
Litter Act 1979	An act to make provision for the abatement of litter, to establish, incorporate and confer powers upon the Keep Australia Beautiful Council (WA), and for incidental and other purposes.
Liquor Licensing Act 1988	An Act to regulate the sale, supply and consumption of liquor, the use of premises on which liquor is sold, and the services and facilities provided in conjunction with or ancillary to the sale of liquor, to repeal the Liquor Act 1970, and for related matters.
Local Government Act 1995	An Act to provide for a system of local government in Western Australia.
Local Government (Miscellaneous Provisions) Act 1960	An Act to deal with certain matters concerning Local Government.
Local Government Grants Act 1978	An Act to provide for the distribution to local governments in Western Australia of certain financial assistance provided

LEGISLATION OR REGULATION	PURPOSE
	by the Commonwealth and the establishment of a Western Australian Local Government Grants Commission and for incidental and other purposes.
Local Government Regulations	
Main Roads Act 1930	An Act to consolidate and amend the law relating to and making provision for the construction, maintenance and supervision of highways, main and secondary roads, and other roads, the control of access to roads and for other relative purposes.
Metropolitan Region Town Planning Scheme Act 1959	An Act to provide for and relating to the Planning and Development of land within the Metropolitan Region, and to regulate the assessment of a Metropolitan Improvement Tax and for incidental and other purposes.
Parks and Reserves Act 1895	An Act for the Management of Parks and Reserves vested in the Crown.
Planning and Development Act 2005	An Act to provide for a system of land use planning and development in the State and for related purposes**.**
Public Works Act 1902	An Act relating to public works.
Radiation Safety Act 1975	An Act to regulate the keeping and use of radioactive substances, irradiating apparatus and certain electronic products, and for matters incidental thereto.
Radiation Safety Regulations	
Rates and Charges (Rebates and Deferments) Act 1992	An Act to permit administrative authorities to allow rebates on, or the deferral of payment of, certain amounts payable by way of rates or charges by pensioners and other eligible persons, to repeal the *Pensioners (Rates Rebates and Deferments) Act 1966* and the *Seniors (Water Service Charges Rebates) Act 1990*, to make consequential amendments to the *Local Government Act 1960* and *the Soil and Land Conservation Act 1945*, and for related purposes.
Residential Design Codes of WA 2002	
Rights in Water and Irrigation Act 1914	An Act relating to rights in water resources, to make provision for the regulation, management, use and protection of water resources, to provide

LEGISLATION OR REGULATION	PURPOSE
	for irrigation schemes, and for related purposes.
Road Traffic Act 1974	An Act to consolidate and amend the law relating to road traffic, to repeal the Traffic Act 1919-1974 and for incidental purposes.
Strata Titles Act 1985	An Act to facilitate the subdivision of land into cubic spaces and the disposition of titles thereto, to provide for incidental and connected purposes and to repeal the *Strata Titles Act 1966.*
Telecommunications Act 1997	An Act about telecommunications, and for related purposes.
Transfer of Land Act 1893	An Act to consolidate the law relating to the simplification of the title to and the dealing with estates in land.
Valuation of Land Act 1978	An Act to provide for the Valuation of Land and for other purposes.
Waterways Conservation Act 1976	An Act to make provision for the conservation and management of certain waters and of the associated land and environment, for the establishment of a Rivers and Estuaries Council and certain Management Authorities, to repeal the *Swan River Conservation Act 1958*, and for incidental and other purposes.

The Shire of Dowerin is wholly responsible for administering the following Shire of Dowerin Local Laws pertaining to:

- Activities on Thoroughfares
- Dowerin and Minnivale Cemeteries
- Fencing
- Fire Break
- Health
- Refuse Disposal Facilities
- Standing Orders
- Swimming Pool

Other Legislation Affecting the Shire of Dowerin

The following legislation and regulations also affect the functions and operations of the Shire of Dowerin:

LEGISLATION OR REGULATION	PURPOSE
Aboriginal Heritage Act 1972	An Act to make provision for the preservation on behalf of the community of places and objects customarily used by or traditional to the original inhabitants of Australia or their descendants, or associated therewith, and for other purposes incidental thereto.
Builders Registration Act 1939	An Act relating to the qualifications and registration of builders; to constitute a board in relation thereto; to establish a tribunal with jurisdiction in respect of certain building disputes, and for other purposes connected therewith.
Equal Employment Opportunity Act 1984	An Act to promote equality of opportunity in Western Australia and to provide remedies in respect of discrimination on the grounds of sex, marital status, pregnancy, sexual orientation, family responsibility or family status, race, religious or political conviction, impairment, or age, or involving sexual or racial harassment or, in certain cases, on gender history grounds.
Evidence Act 1906	An Act to consolidate and amend the statute law of evidence.
Industrial Awards	
Industrial Relations Act 1979 (WA)	An Act to consolidate and amend the law relating to the prevention and resolution of conflict in respect of industrial matters, the mutual rights and duties of employers and employees, the rights and duties of organisations of employers and employees, and for related purposes.
Industrial Relations Act (Federal)	
Interpretation Act 1984	An Act to amend and consolidate the law relating to the construction, application, interpretation, and operation of written law; to provide for the exercise of statutory powers and duties; and to provide for connected or incidental purposes.
Library Board of Western Australia Act 1951	An Act to provide for the Constitution and Functions of a Library Board and for other purposes.

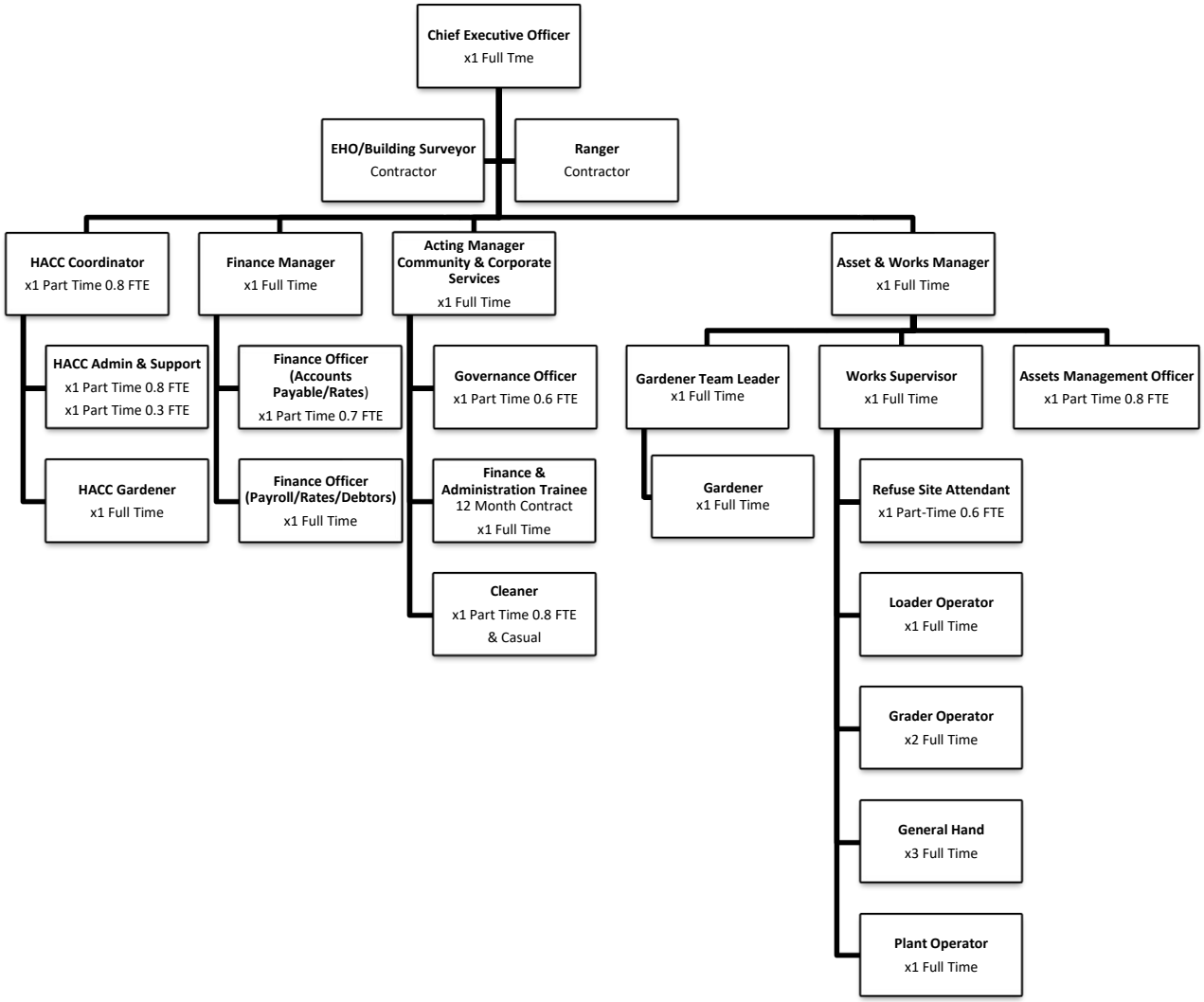
LEGISLATION OR REGULATION	PURPOSE
Limitation Act 1935	An Act to consolidate and amend the law relating to the limitation of time for commencing actions and suits.
Native Title Act 1993	An Act about native title in relation to land or waters, and for related purposes.
Occupational Safety and Health Act 1984	An Act to promote and improve standards for occupational safety and health, to establish the WorkSafe Western Australia Commission, to facilitate the co-ordination of the administration of the laws relating to occupational safety and health and for incidental and other purposes.
Occupational Safety & Health Regulations 1996	
Parliamentary Commissioner Act 1971	An Act to provide the appointment of a Parliamentary Commissioner for Administrative Investigations for the investigation of administrative action taken by or on behalf of certain government departments and other authorities and for incidental purposes.
State Records Act 2000	An Act to provide for the keeping of State records and for related purposes.
State Records Principles & Standards 2002	
Swan River Trust Act 1988	An Act to establish a body with planning, protection and management functions in respect of the Swan and Canning Rivers and certain adjoining lands, and for connected purposes.
Workers Compensation and Assistance Act 1981	An act to amend and consolidate the law relating to compensation for, and the rehabilitation of workers suffering disability by accident or disease in the course of their employment. Regulations, By-laws and local laws made under the foregoing.

Standards & Codes of Practice Affecting the Shire of Dowerin

The following government and industry standards and codes of practice have been imposed upon or adopted by the Shire of Dowerin:

- Australian Accounting Standards
- Australian Records Management Standard ISO/AS 15489-2002 Parts 1 & 2
- General Disposal Authority for Local Government Records RD 2010046
- Quality Management ISO 9000/2000
- National Competition Policy
- Risk Management AS/NZS ISO 31000:2009
- Environmental Management ISO14001-2004

APPENDIX 3 ORGANISATIONAL CHART



APPENDIX 4 DOCUMENTS AVAILABLE FOR INSPECTION

The Shire's website (www.dowerin.wa.gov.au) is updated on a regular basis and may contain information not listed at time of preparation of this document.

Document	FOI Application Required	Copies Can Be Made Available	Charge	Viewing Location	
				Administration	Website
Annual Budget	No	Yes	No	Yes	Yes (no charge)
Annual Report	No	Yes	No	Yes	Yes (no charge)
Code of Conduct	No	Yes	No	Yes	Yes (no charge)
Committee Meeting Agendas	No	Yes	No	Yes	Yes (no charge)
Committee Meeting Minutes	No	Yes	No	Yes	Yes (no charge)
Electors Meeting Minutes	No	Yes	No	Yes	Yes (no charge)
Electors Meeting Agenda	No	Yes	No	Yes	Yes (no charge)
Community Directory	No	No	N/A		Yes (no charge)
Council Meeting Agendas (includes Committee Minutes)	No	Yes	No	Yes	Yes (no charge)
Council Meeting Minutes	No	Yes	No	Yes	Yes (no charge)
Delegated Authority Manual	No	Yes	No	Yes	Yes (no charge)
Disability Access & Inclusion Plan	No	Yes	Yes	Yes	
Documents stored in electronic records system	Yes	N/A	N/A		
Electoral Roll/s	No	Yes	Yes	Yes	
Financial Interest Register	No	Yes	No	Yes	

Document	FOI Application Required	Copies Can Be Made Available	Charge	Viewing Location	
				Administration	Website
FOI Information Statement	No	Yes	No	Yes	Yes (no charge)
Governance Manual	No	Yes	No	Yes	Yes (no charge)
Information Brochures:	No	Yes	No	Yes	
Local Government Act 1995	No	No	N/A	Yes	
Local Government Directory	No	No	N/A	Yes	
Local Government Retention and Disposal Schedule	No	No	N/A	Yes	
Local Laws Manual	No	Yes	Yes	Yes	Yes (no charge)
Minutes of Electors Meetings	No	Yes	Yes	Yes	Yes (no charge)
Monthly Financial Statements	No	Yes	Yes	Yes	Yes (no charge)
Policy & Procedures Manual	No	Yes	Yes	Yes	
Recordkeeping Plan	No	Yes	Yes	Yes	
Schedule of Fees & Charges	No	Yes	Yes	Yes	Yes (no charge)
Strategic Plan	No	Yes	No	Yes	Yes (no charge)
Street Directories	No	Yes	Yes		
Tax Map (i.e. area maps showing lots)	No	Yes	Yes	Yes	Yes (no charge)
Town Planning Scheme – Maps	No	Yes	Yes	Yes	Yes (no charge)
Town Planning Scheme – Text/Policy	No	Yes	Yes	Yes	Yes (no charge)

0 2.5 5 7.5 10 12.5 15 17.5 20 m

- Lot 38 Stewart Street - Manoeuvring Area
- Lot 38 Stewart Street - Boundary Setback
- Lot 38 Stewart Street - Proposed Shed
- Lot 38 Stewart Street - Cadastre

LOT 38 ON PLAN P129090
NO. 42 STEWART STREET, DOWERIN

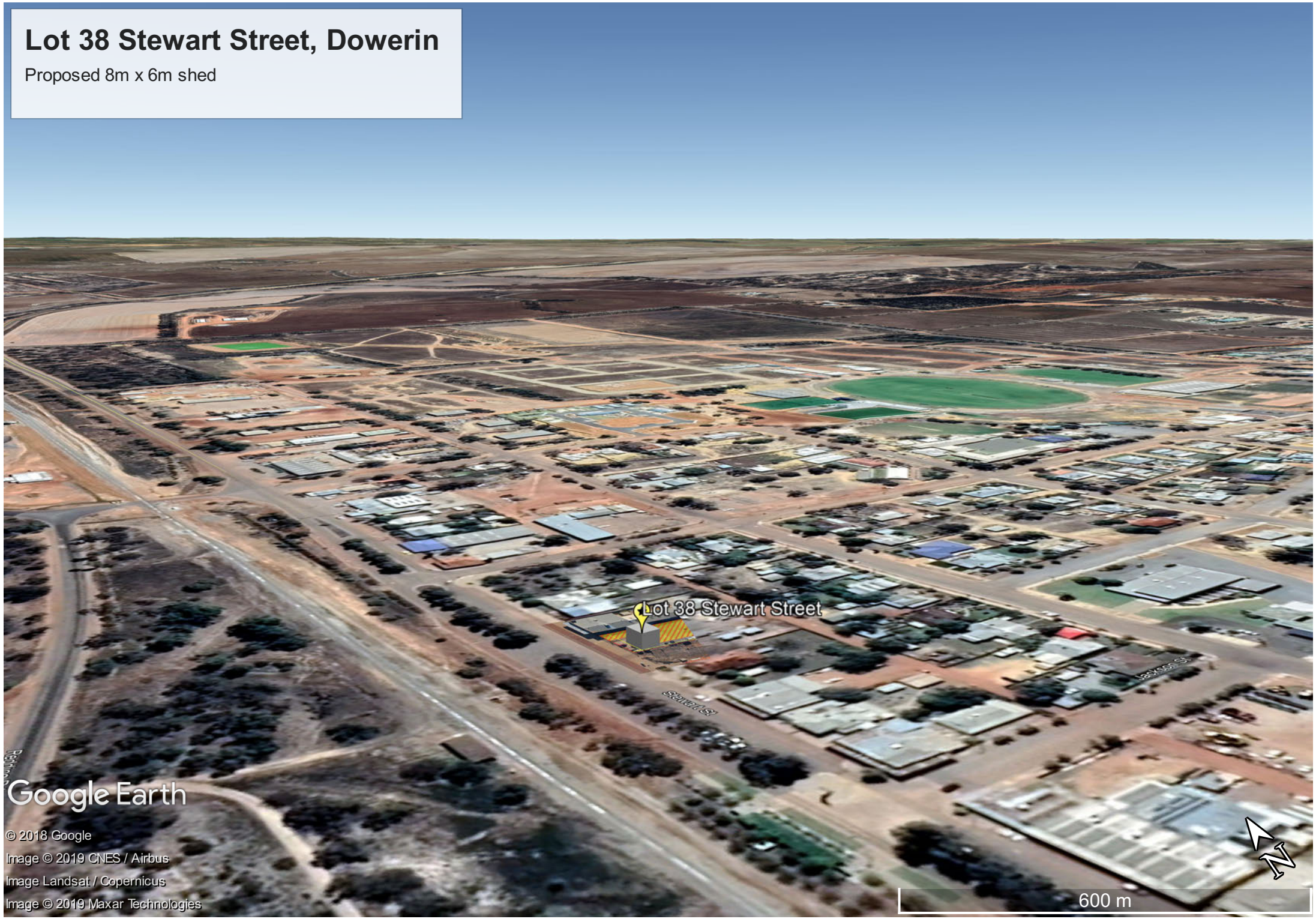
PROPOSED SHED

NOVEMBER 2019

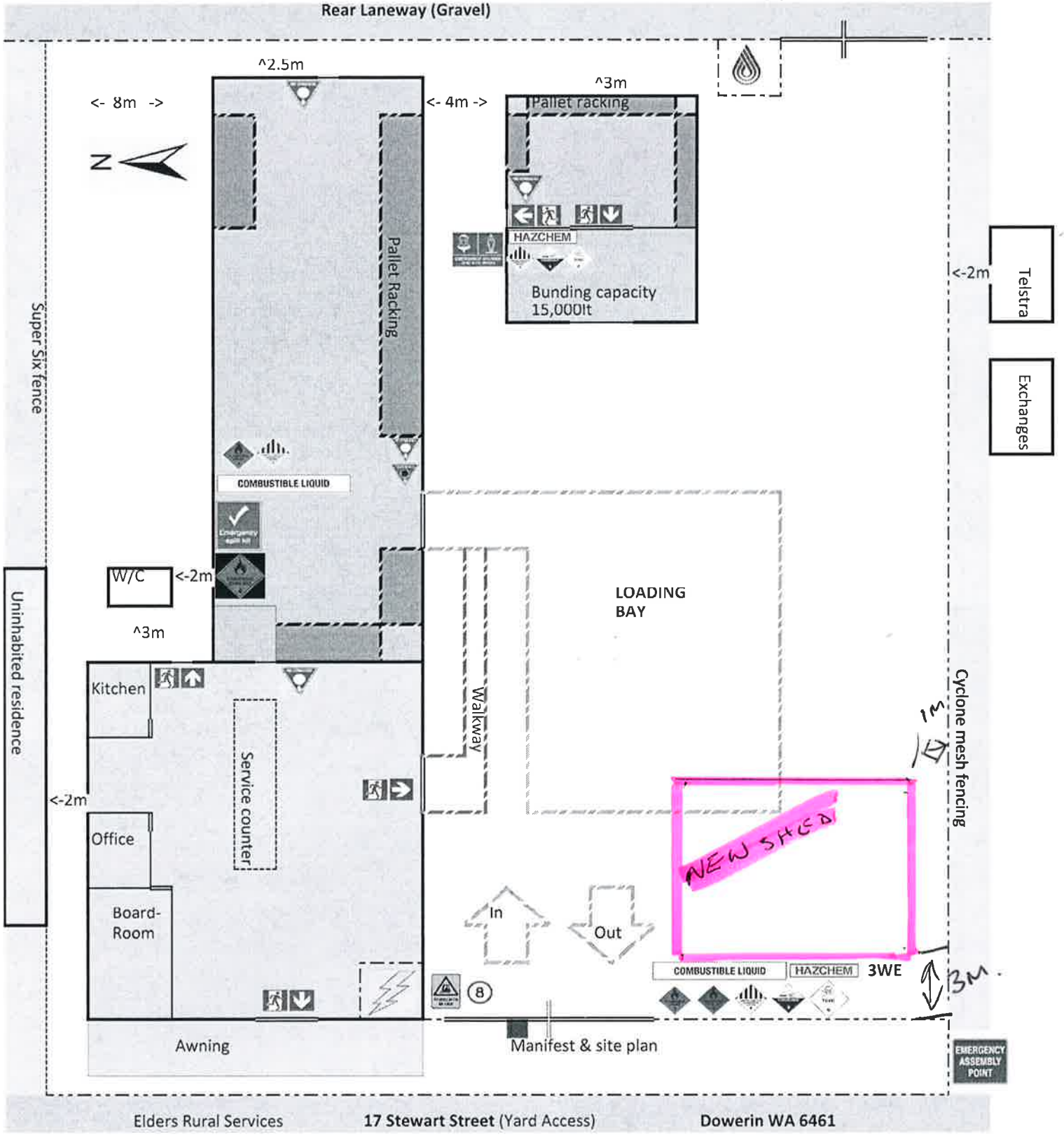
SHIRE OF DOWERIN

Lot 38 Stewart Street, Dowerin

Proposed 8m x 6m shed



ATT HUGO. FROM SERMAC Contracting



Elders Rural Services 17 Stewart Street (Yard Access) Dowerin WA 6461

Ph) 0896312000 After Hours: Courtney Reed

Fax) 0896312055 0428 855 125

The shed will be on flat elevation NO cut or fill

Customer Name FARMWAYS

Site Address 42-44 STEWART ST

Suburb DONNYBROOK

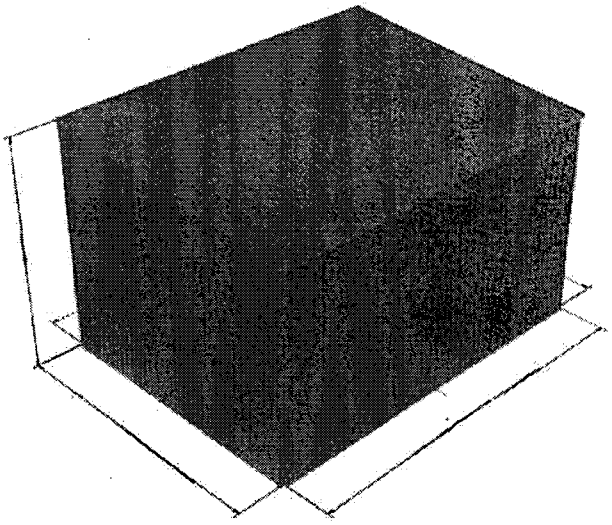
State WA Post Code 6361

Proposal No#

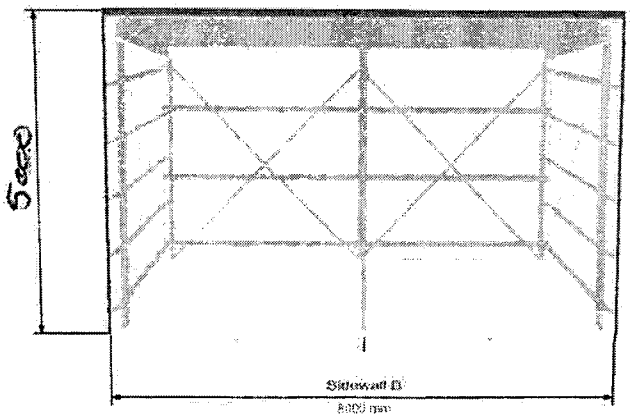
Prepared By Sermac

Date

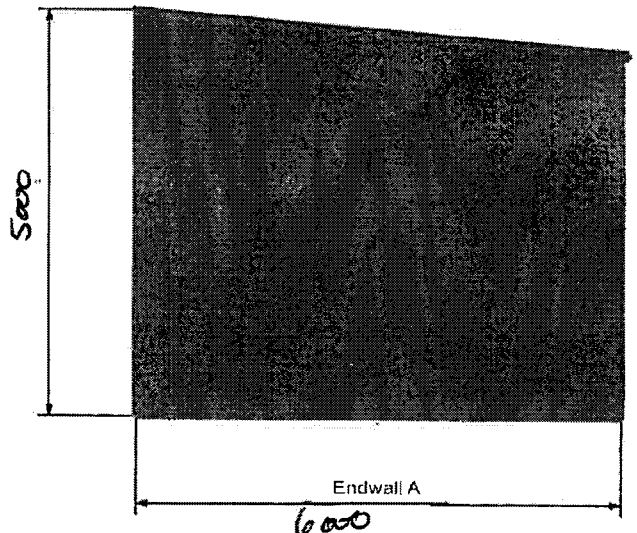
Valid for



Front



Rear



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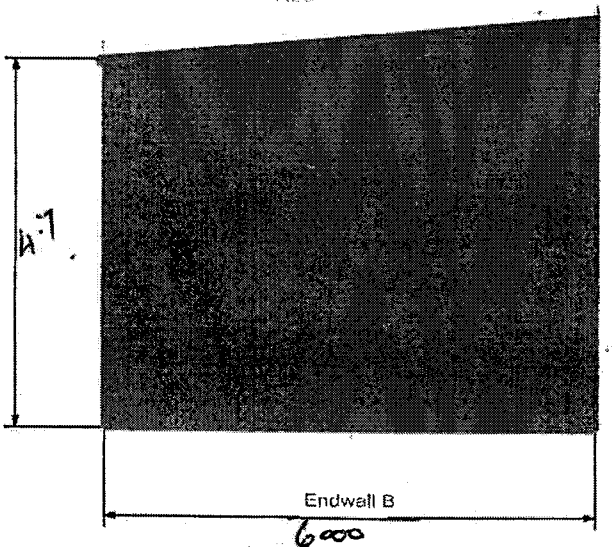

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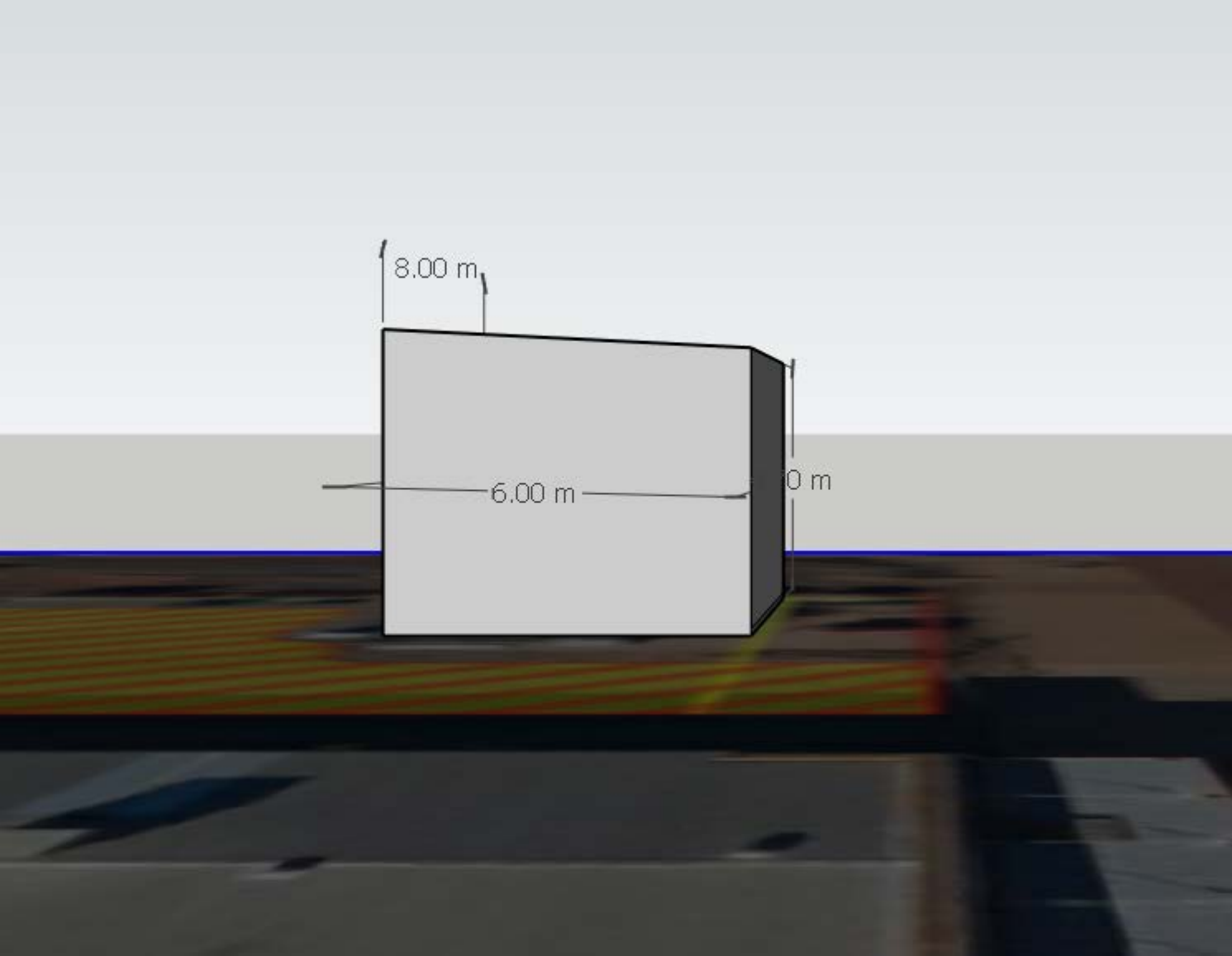
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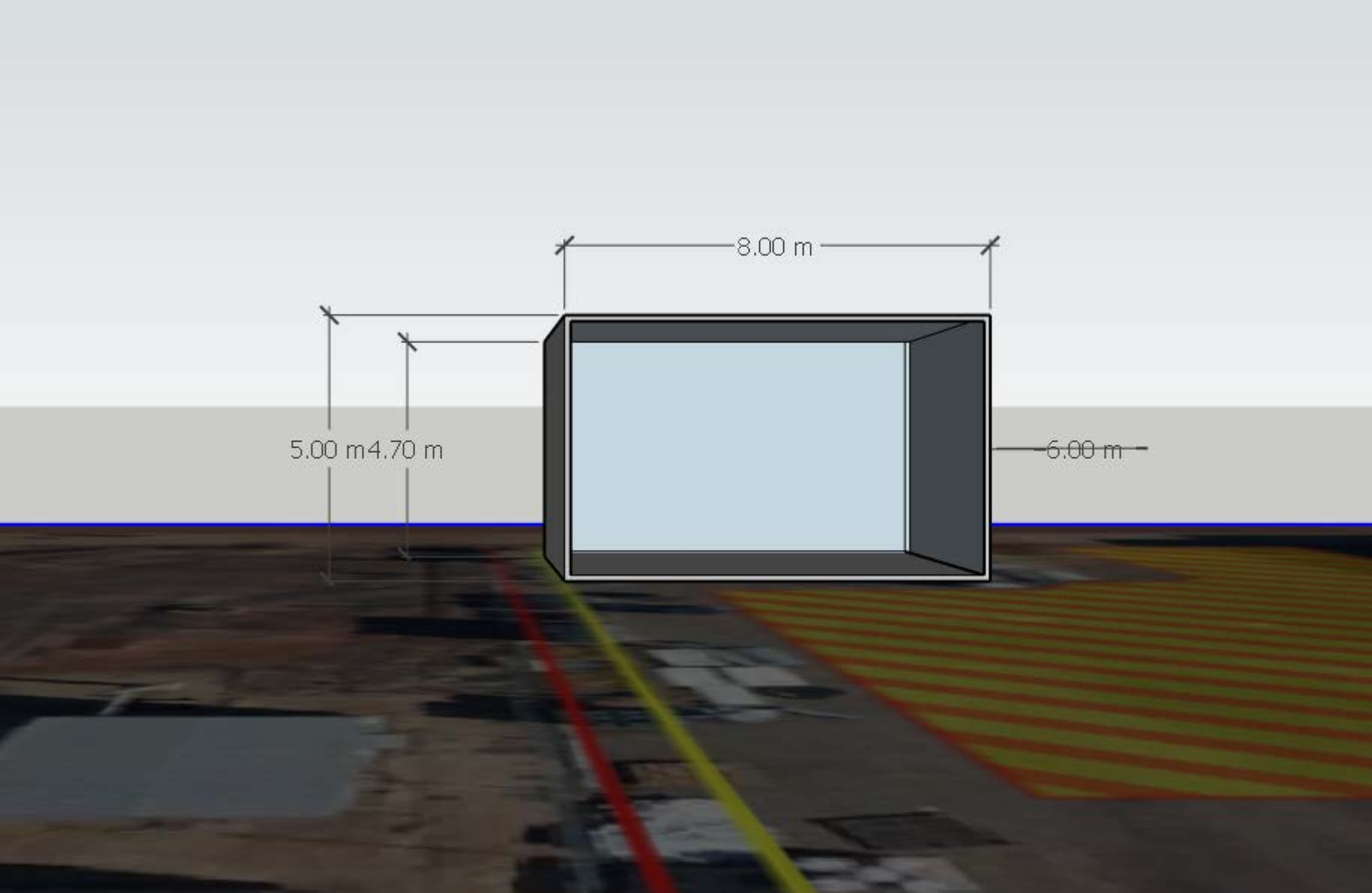
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