



# ATTACHMENTS

Audit and Risk Committee  
6 March 2024



## Contents – Attachments

Attachment 6.1A – Minutes – Audit and Risk Committee Meeting 19 December 2023 .....	3
Attachment 7.1A – 2023 Compliance Audit Return Responses .....	12
Attachment 7.1B – Exercise of Delegation Register .....	19
Attachment 7.1C – Declaration of Interest Register .....	22
Attachment 7.1D – Annual and Primary Return Register .....	25
Attachment 7.1E – Gift Register .....	27
Attachment 7.1F – Disposal of Property .....	30
Attachment 7.1G – Application Package - CEO and EMIS .....	33
Attachment 7.1H – Complaints (Minor Breach) Register .....	57
Attachment 7.1I – Council Policy – Council Member Professional Development .....	59
Attachment 7.1J – Tender Register .....	65
Attachment 7.1K – Correspondence to Tenderers .....	67
Attachment 7.2A – Audit and Risk Committee Terms of Reference .....	69
Attachment 7.3A – Risk Dashboard Quarterly Report – February 2024 .....	76

**ATTACHMENT 6.1A**  
**Minutes - Audit and Risk Committee Meeting**  
**19 December 2023**



Minutes for the Audit and Risk Committee Meeting

19 December 2023

COUNCIL CALENDAR		
Date	Time	Meeting
19 December 2023	2:00pm	Audit and Risk Committee Meeting
19 December 2023	2:30pm	Councillor Discussion Forum
19 December 2023	5.00pm	Ordinary Council Meeting

## Contents

1.0	OPENING & WELCOME .....	3
2.0	ATTENDANCE & APOLOGIES .....	3
3.0	DECLARATIONS OF INTEREST .....	3
4.0	PUBLIC QUESTION TIME & DEPUTATIONS (15 MIN) .....	3
5.0	MINUTES OF PREVIOUS MEETINGS .....	3
5.1	CONFIRMATION OF MINUTES OF AUDIT COMMITTEE MEETING – 16 MAY 2023 .....	3
5.1.1	CONFIRMATION OF MINUTES .....	3
6.0	REPORTS.....	5
	AGENDA ITEM: 6.1 – Annual Report for the year ended 30 June 2023 .....	5
7.0	OTHER BUSINESS .....	8
8.0	NEXT MEETING .....	8
9.0	CLOSURE .....	8

# MINUTES

**Shire of Narembeen  
Audit and Risk Committee Meeting  
Tuesday 19 December 2023, commencing at 1.55pm**

## 1.0 Opening & Welcome

The President, Cr Scott Stirrat, welcomed everyone to the meeting and declared the meeting open at 1.55pm.

## 2.0 Attendance & Apologies

### Attendance

#### **Councillors**

Cr Scott Stirrat	President
Cr Holly Cusack	Deputy President
Cr Chris Bray	
Cr Any Hardham	
Cr Trevor Cole	
Cr Hannah Bald	
Cr Michael Currie	

#### **Staff**

Rebecca McCall	Chief Executive Officer
Ken Markham	Acting Executive Manager Infrastructure Services
Kathryn Conopo	Senior Administration Officer (minute-taker)

### Apologies

Ben Forbes	Executive Manager Corporate Services
------------	--------------------------------------

## 3.0 Declarations of Interest

*Nil*

## 4.0 Public Question Time & Deputations (15 min)

*Nil*

## 5.0 Minutes of Previous Meetings

### 5.1 Confirmation of Minutes of Audit Committee Meeting – 16 May 2023

#### 5.1.1 Confirmation of Minutes

Confirmation of Minutes from the Shire of Narembeen Audit and Risk Committee Meeting held on Tuesday 16 May 2023.

## **RECOMMENDATION**

That the minutes of the Shire of Narembeen Audit Committee Meeting held on Tuesday 16 May 2023 be confirmed as a true and accurate record of the proceedings.

## **AUDIT & RISK COMMITTEE RESOLUTION**

**MIN 7704/23**

**MOTION** – Moved Cr. Cole

Seconded Cr. Hardham

**CARRIED 7 / 0**

UNCONFIRMED

## 6.0 REPORTS

### AGENDA ITEM: 6.1 – Annual Report for the year ended 30 June 2023

<b>Subject:</b>	Annual Report for the year ended 30 June 2023
<b>Applicant:</b>	Not applicable
<b>File Ref:</b>	ADM477
<b>Disclosure of Interest (Staff):</b>	Nil
<b>Author:</b>	Ben Forbes – Executive Manager Corporate Services
<b>Date:</b>	6 December 2023
<b>Attachments:</b>	Shire of Narembeen – Independent auditor’s report, 30 June 2023 Shire of Narembeen – 2023 Annual Report Shire of Narembeen – Final management letter, 30 June 2023

### PURPOSE

For the Audit and Risk Committee to review and promote to Council for adoption the:

- Shire of Narembeen Annual Report for the year ended 30 June 2023
- independent auditor’s report for the 2023 annual report
- final audit management letter for the year ended 30 June 2023, and
- recommended date for the Annual Elector’s Meeting.

### BACKGROUND

A Local Government is to prepare an annual report each financial year containing such information as prescribed by the *Local Government Act 1995* Section 5.53(2) and Regulation 19 of the *Local Government (Administration) Regulations 1996*

Throughout the audit process each year, areas of non-compliance or matters of concern are raised by the Shire’s contract auditors, which are appointed by the Office of the Auditor General. Each year there are two audits (interim and final) that focus on different aspects of the accounting records, administrative practices and pertinent areas of risk, the findings for which are noted in the attached management letter.

### CONSULTATION

Chief Executive Officer  
Office of Auditor General  
Dry Kirkness (contract auditors for OAG)

### STATUTORY IMPLICATIONS

*Local Government Act 1995,*

#### Part 5, Section 5.53

- (1) The local government is to prepare an annual report for each financial year.
- (2) The annual report is to contain —
  - a) a report from the mayor or president; and
  - b) a report from the CEO; and
  - e) an overview of the plan for the future of the district made in accordance with section 5.56, including major initiatives that are proposed to commence or to continue in the next financial year; and
  - f) the financial report for the financial year; and



- g) such information as may be prescribed in relation to the payments made to employees; and
- h) the auditor's report prepared under section 7.9(1) or 7.12AD(1) for the financial year; and
- ha) a matter on which a report must be made under section 29(2) of the Disability Services Act 1993; and
- hb) details of entries made under section 5.121 during the financial year in the register of complaints, including —
  - i. the number of complaints recorded in the register of complaints; and
  - ii. how the recorded complaints were dealt with; and
  - iii. any other details that the regulations may require; and
  - iv. and such other information as may be prescribed.

#### **7.12A. Duties of local government with respect to audits**

- (1) A local government is to do everything in its power to —
  - (a) assist the auditor of the local government to conduct an audit and carry out the auditor's other duties under this Act in respect of the local government; and
  - (b) ensure that audits are conducted successfully and expeditiously.
- (2) Without limiting the generality of subsection (1), a local government is to meet with the auditor of the local government at least once in every year.
- (3) A local government must —
  - (aa) examine an audit report received by the local government; and
  - (a) determine if any matters raised by the audit report, require action to be taken by the local government; and
  - (b) ensure that appropriate action is taken in respect of those Matters
- (4) A local government must —
  - (a) prepare a report addressing any matters identified as significant by the auditor in the audit report, and stating what action the local government has taken or intends to take with respect to each of those matters; and
  - (b) give a copy of that report to the Minister within 3 months after the audit report is received by the local government.
- (5) Within 14 days after a local government gives a report to the Minister under subsection (4)(b), the CEO must publish a copy of the report on the local government's official website.

#### Local Government (Financial Management) Regulations 1996, Part 4 Financial Reports

Regulations 36 to 49 prescribe the contents and disclosures required in the financial statements and accompanying notes.

Regulation 51 prescribes that the Local Government's CEO provide a copy of the audited financial report to the CEO of the Department of Local Government Sport and Cultural Industries within 30 days of the receipt of the audit report.

#### Local Government (Audit) Regulations 1996, Regulation 10

- (1) An auditor's report is to be forwarded to the persons specified in section 7.9(1) within 30 days of completing the audit.
- (2) The report is to give the auditor's opinion on —
  - a. the financial position of the local government; and
  - b. the results of the operations of the local government.

- (3) The report must include a report on the conduct of the audit.
- (4) 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.

Local Government (Administration) Regulations 1996, Regulation 10

**19B. Information to be included in annual report**

(2) For the purposes of section 5.53(2)(g) and (i), the annual report for a financial year beginning on or after 1 July 2020 must contain the following —

- (a) the number of employees of the local government entitled to an annual salary of \$130,000 or more;
- (b) the number of employees of the local government entitled to an annual salary that falls within each band of \$10 000 over \$130 000;
- (c) any remuneration and allowances paid by the local government under Schedule 5.1 clause 9 during the financial year;
- (d) any amount ordered under section 5.110(6)(b)(iv) to be paid by a person against whom a complaint was made under section 5.107(1), 5.109(1) or 5.114(1) to the local government during the financial year;
- (e) the remuneration paid or provided to the CEO during the financial year;
- (f) the number of council and committee meetings attended by each council member during the financial year;
- (g) if available, the gender, linguistic background and country of birth of council members;
- (h) if available, the number of council members who are aged —
  - (i) between 18 years and 24 years; and
  - (ii) between 25 years and 34 years; and
  - (iii) between 35 years and 44 years; and
  - (iv) between 45 years and 54 years; and
  - (v) between 55 years and 64 years; and
  - (vi) over the age of 64 years;
- (i) if available, the number of council members who identify as Aboriginal or Torres Strait Islander;
- (j) details of any modification made to a local government's strategic community plan during the financial year;
- (k) details of any significant modification made to a local government's corporate business plan during the financial year.

**FINANCIAL IMPLICATIONS**

There are no financial implications directly associated with the endorsement of the annual report.

**POLICY IMPLICATIONS**

Not applicable

**RISK MANAGEMENT IMPLICATIONS**

Not applicable

**STRATEGIC PLAN REFERENCE**

Strategic Community Plan 2017-2027

Goal 2: Internal and external relationships actively grow our Shire population and positive financial position.

## VOTING REQUIREMENTS

Majority

## COMMENT

The OAG has issued an unqualified audit opinion for the financial reports for the year ended 30 June 2023. This means that the OAG found no material misstatement or case of non-compliance in the financial statements. Management is satisfied that there is a workable plan to address identified control deficiencies or areas of non-compliance in the final management letter.

Council should note that the Annual Elector's Meeting must be held within 56 days from the day the annual report is adopted. The recommended date (6<sup>th</sup> of February 2024) is the last possible day for this to occur.

## OFFICER RECOMMENDATION

That the Audit and Risk Committee recommends that Council:

1. Endorse the Independent auditor's report for the year ended 30 June 2023
2. Endorse the Final management letter for the year ended 30 June 2023
3. Endorse the 2023 Annual Report
4. Schedule the Shire of Narembreen Annual Elector's Meeting for 6:00pm on Tuesday 6 February 2024 in Council Chambers.

**MIN 7705/23**

**MOTION** – Moved Cr. Currie

Seconded Cr. Bray

**CARRIED 7 / 0**

### 7.0 Other Business

*Nil*

### 8.0 Next Meeting

To be advised.

### 9.0 Closure

There being no further business the Chair declared the meeting closed at 2.01pm.

**ATTACHMENT 7.1A**  
**2023 Compliance Audit Return Responses**



## Compliance Audit Return 2023

Commercial Enterprises by Local Governments					
No	Reference	Question	Response	Comments	Supporting Documents
1	s3.59(2)(a) F&G Regs 7,9,10	Has the local government prepared a business plan for each major trading undertaking that was not exempt in 2023?	N/A		
2	s3.59(2)(b) F&G Regs 7,8A, 8, 10	Has the local government prepared a business plan for each major land transaction that was not exempt in 2023?	N/A		
3	s3.59(2)(c) F&G Regs 7,8A, 8,10	Has the local government prepared a business plan before entering into each land transaction that was preparatory to entry into a major land transaction in 2023?	N/A		
4	s3.59(4)	Has the local government complied with public notice and publishing requirements for each proposal to commence a major trading undertaking or enter into a major land transaction or a land transaction that is preparatory to a major land transaction for 2023?	N/A		
5	s3.59(5)	During 2023, did the council resolve to proceed with each major land transaction or trading undertaking by absolute majority?	N/A		

Delegation of Power/Duty					
No	Reference	Question	Response	Comments	Supporting Documents
1	s5.16 (1)	Were all delegations to committees resolved by absolute majority?	N/A		
2	s5.16 (2)	Were all delegations to committees in writing?	N/A		
3	s5.17	Were all delegations to committees within the limits specified in section 5.17 of the <i>Local Government Act 1995</i> ?	N/A		
4	s5.18	Were all delegations to committees recorded in a register of delegations?	N/A		
5	s5.18	Has council reviewed delegations to its committees in the 2022/2023 financial year?	N/A		
6	s5.42(1) & s5.43 Admin Reg 18G	Did the powers and duties delegated to the CEO exclude those listed in section 5.43 of the <i>Local Government Act 1995</i> ?	Yes		
7	s5.42(1)	Were all delegations to the CEO resolved by an absolute majority?	Yes	MIN 7577/23 MIN 7707.23 MIN 7713.23	<a href="https://www.narembeen.wa.gov.au/council-meetings/ordinary-council-meeting/ordinary-council-meeting-18-april-2023/115">https://www.narembeen.wa.gov.au/council-meetings/ordinary-council-meeting/ordinary-council-meeting-18-april-2023/115</a> <a href="https://www.narembeen.wa.gov.au/council-meetings/ordinary-council-meeting/ordinary-council-meeting-21-november-2023/123">https://www.narembeen.wa.gov.au/council-meetings/ordinary-council-meeting/ordinary-council-meeting-21-november-2023/123</a> <a href="https://www.narembeen.wa.gov.au/council-meetings/ordinary-council-meeting/ordinary-council-meeting-19-december-2023/124">https://www.narembeen.wa.gov.au/council-meetings/ordinary-council-meeting/ordinary-council-meeting-19-december-2023/124</a>
8	s5.42(2)	Were all delegations to the CEO in writing?	No		
9	s5.44(2)	Were all delegations by the CEO to any employee in writing?	No		
10	s5.16(3)(b) & s5.45(1)(b)	Were all decisions by the council to amend or revoke a delegation made by absolute majority?	Yes	MIN 7577/23 MIN 7707.23 MIN 7713.23	<a href="https://www.narembeen.wa.gov.au/council-meetings/ordinary-council-meeting/ordinary-council-meeting-18-april-2023/115">https://www.narembeen.wa.gov.au/council-meetings/ordinary-council-meeting/ordinary-council-meeting-18-april-2023/115</a> <a href="https://www.narembeen.wa.gov.au/council-meetings/ordinary-council-meeting/ordinary-council-meeting-21-november-2023/123">https://www.narembeen.wa.gov.au/council-meetings/ordinary-council-meeting/ordinary-council-meeting-21-november-2023/123</a> <a href="https://www.narembeen.wa.gov.au/council-meetings/ordinary-council-meeting/ordinary-council-meeting-19-december-2023/124">https://www.narembeen.wa.gov.au/council-meetings/ordinary-council-meeting/ordinary-council-meeting-19-december-2023/124</a>
11	s5.46(1)	Has the CEO kept a register of all delegations made under Division 4 of the Act to the CEO and to employees?	Yes		Attachment 7.1B - Exercise of Delegation Register
12	s5.46(2)	Were all delegations made under Division 4 of the Act reviewed by the delegator at least once during the 2022/2023 financial year?	Yes	MIN 7326/22	<a href="https://www.narembeen.wa.gov.au/council-meetings/ordinary-council-meeting/ordinary-council-meeting-15-february-2022/100">https://www.narembeen.wa.gov.au/council-meetings/ordinary-council-meeting/ordinary-council-meeting-15-february-2022/100</a>
13	s5.46(3) Admin Reg 19	Did all persons exercising a delegated power or duty under the Act keep, on all occasions, a written record in accordance with Local Government (Administration) Regulations 1996, regulation 19?	No		

Disclosure of Interest					
No	Reference	Question	Response	Comments	Supporting Documents
1	s5.67	Where a council member disclosed an interest in a matter and did not have participation approval under sections 5.68 or 5.69 of the <i>Local Government Act 1995</i> , did the council member ensure that they did not remain present to participate in discussion or decision making relating to the matter?	Yes	Item 8.1.3 MIN 7626/23	Attachment 7.1C - Declaration of Interest Register <a href="https://www.narembeen.wa.gov.au/council-meetings/ordinary-council-meeting/ordinary-council-meeting-18-july-2023/118">https://www.narembeen.wa.gov.au/council-meetings/ordinary-council-meeting/ordinary-council-meeting-18-july-2023/118</a>
2	s5.68(2) & s5.69(5) Admin Reg 21A	Were all decisions regarding participation approval, including the extent of participation allowed and, where relevant, the information required by the Local Government (Administration) Regulations 1996 regulation 21A, recorded in the minutes of the relevant council or committee meeting?	N/A	No gifts received	

3	s5.73	Were disclosures under sections 5.65, 5.70 or 5.71A(3) of the <i>Local Government Act 1995</i> recorded in the minutes of the meeting at which the disclosures were made?	Yes		Attachment 7.1C - Declaration of Interest Register
4	s5.75 Admin Reg 22, Form 2	Was a primary return in the prescribed form lodged by all relevant persons within three months of their start day?	Yes		Attachment 7.1D - Councillor and Staff Annual and Primary Return Register to 31 December 2023
5	s5.76 Admin Reg 23, Form 3	Was an annual return in the prescribed form lodged by all relevant persons by 31 August 2023?	Yes		Attachment 7.1D - Councillor and Staff Annual and Primary Return Register to 31 December 2023
6	s5.77	On receipt of a primary or annual return, did the CEO, or the Mayor/President, give written acknowledgment of having received the return?	Yes		Attachment 7.1D - Councillor and Staff Annual and Primary Return Register to 31 December 2023
7	s5.88(1) & (2)(a)	Did the CEO keep a register of financial interests which contained the returns lodged under sections 5.75 and 5.76 of the <i>Local Government Act 1995</i> ?	Yes		Attachment 7.1D - Councillor and Staff Annual and Primary Return Register to 31 December 2023
8	s5.88(1) & (2)(b) Admin Reg 28	Did the CEO keep a register of financial interests which contained a record of disclosures made under sections 5.65, 5.70, 5.71 and 5.71A of the <i>Local Government Act 1995</i> , in the form prescribed in the Local Government (Administration) Regulations 1996, regulation 28?	Yes		Attachment 7.1C - Declaration of Interest Register
9	s5.88(3)	When a person ceased to be a person required to lodge a return under sections 5.75 and 5.76 of the <i>Local Government Act 1995</i> , did the CEO remove from the register all returns relating to that person?	Yes		Attachment 7.1D - Councillor and Staff Annual and Primary Return Registers
10	s5.88(4)	Have all returns removed from the register in accordance with section 5.88(3) of the <i>Local Government Act 1995</i> been kept for a period of at least five years after the person who lodged the return(s) ceased to be a person required to lodge a return?	Yes		
11	s5.89A(1), (2) & (3) Admin Reg 28A	Did the CEO keep a register of gifts which contained a record of disclosures made under sections 5.87A and 5.87B of the <i>Local Government Act 1995</i> , in the form prescribed in the Local Government (Administration) Regulations 1996, regulation 28A?	Yes	No gifts received	Attachment 7.1E - Gift Register
12	s5.89A(5) & (5A)	Did the CEO publish an up-to-date version of the gift register on the local government's website?	Yes	No gifts received	<a href="https://www.narembreen.wa.gov.au/the-shire/your-council/declarations.aspx">https://www.narembreen.wa.gov.au/the-shire/your-council/declarations.aspx</a>
13	s5.89A(6)	When people cease to be a person who is required to make a disclosure under section 5.87A or 5.87B of the <i>Local Government Act 1995</i> , did the CEO remove from the register all records relating to those people?	Yes		Attachment 7.1D - Councillor and Staff Annual and Primary Return Registers
14	s5.89A(7)	Have copies of all records removed from the register under section 5.89A(6) of the <i>Local Government Act 1995</i> been kept for a period of at least five years after the person ceases to be a person required to make a disclosure?	Yes		
15	s5.70(2) & (3)	Where an employee had an interest in any matter in respect of which the employee provided advice or a report directly to council or a committee, did that person disclose the nature and extent of that interest when giving the advice or report?	Yes	Item 8.3.1 MIN 7718/23	<a href="https://www.narembreen.wa.gov.au/council-meetings/ordinary-council-meeting/ordinary-council-meeting-19-december-2023/124">https://www.narembreen.wa.gov.au/council-meetings/ordinary-council-meeting/ordinary-council-meeting-19-december-2023/124</a>
16	s5.71A & s5.71B(5)	Where council applied to the Minister to allow the CEO to provide advice or a report to which a disclosure under s5.71A(1) of the <i>Local Government Act 1995</i> relates, did the application include details of the nature of the interest disclosed and any other information required by the Minister for the purposes of the application?	N/A		
17	s5.71B(6) & s5.71B(7)	Was any decision made by the Minister under subsection 5.71B(6) of the <i>Local Government Act 1995</i> recorded in the minutes of the council meeting at which the decision was considered?	N/A		
18	s5.104(1)	Did the local government prepare and adopt, by absolute majority, a code of conduct to be observed by council members, committee members and candidates that incorporates the model code of conduct?	Yes	Item 8.1.1 MIN 7203/21 (Councillors) Item 8.2.1 MIN 7327/22 (staff)	<a href="https://www.narembreen.wa.gov.au/council-meetings/ordinary-council-meeting/ordinary-council-meeting-20-april-2021/85">https://www.narembreen.wa.gov.au/council-meetings/ordinary-council-meeting/ordinary-council-meeting-20-april-2021/85</a> <a href="https://www.narembreen.wa.gov.au/council-meetings/ordinary-council-meeting/ordinary-council-meeting-15-february-2022/100">https://www.narembreen.wa.gov.au/council-meetings/ordinary-council-meeting/ordinary-council-meeting-15-february-2022/100</a>
19	s5.104(3) & (4)	Did the local government adopt additional requirements in addition to the model code of conduct? If yes, does it comply with section 5.104(3) and (4) of the <i>Local Government Act 1995</i> ?	No	No additions	
20	s5.104(7)	Has the CEO published an up-to-date version of the code of conduct for council members, committee members and candidates on the local government's website?	Yes		<a href="https://www.narembreen.wa.gov.au/Profiles/narembreen/Assets/ClientData/Documents/Other/Electoral_Code_of_Conduct.pdf">https://www.narembreen.wa.gov.au/Profiles/narembreen/Assets/ClientData/Documents/Other/Electoral_Code_of_Conduct.pdf</a>
21	s5.51A(1) & (3)	Has the CEO prepared and implemented a code of conduct to be observed by employees of the local government? If yes, has the CEO published an up-to-date version of the code of conduct for employees on the local government's website?	Yes		<a href="https://www.narembreen.wa.gov.au/the-shire/public-documents/code-of-conduct/forms-and-information.aspx">https://www.narembreen.wa.gov.au/the-shire/public-documents/code-of-conduct/forms-and-information.aspx</a>



Disposal of Property					
No	Reference	Question	Response	Comments	Supporting Documents
1	s3.58(3)	Where the local government disposed of property other than by public auction or tender, did it dispose of the property in accordance with section 3.58(3) of the <i>Local Government Act 1995</i> (unless section 3.58(5) applies)?	Yes	Website, Noticeboard, Fencepost and Facebook	Attachment 7.1F - Disposal of Property - Fencepost Exerpt and Facebook Screenshot
2	s3.58(4)	Where the local government disposed of property under section 3.58(3) of the <i>Local Government Act 1995</i> , did it provide details, as prescribed by section 3.58(4) in the required local public notice for each disposal of property?	Yes		

Elections					
No	Reference	Question	Response	Comments	Supporting Documents
1	Elect Regs 30G(1) & (2)	Did the CEO establish and maintain an electoral gift register and ensure that all disclosure of gifts forms completed by candidates and donors and received by the CEO were placed on the electoral gift register at the time of receipt by the CEO and in a manner that clearly identifies and distinguishes the forms relating to each candidate in accordance with regulations 30G(1) and 30G(2) of the Local Government (Elections) Regulations 1997?	N/A	No gifts received	
2	Elect Regs 30G(3) & (4)	Did the CEO remove any disclosure of gifts forms relating to an unsuccessful candidate, or a successful candidate that completed their term of office, from the electoral gift register, and retain those forms separately for a period of at least two years in accordance with regulation 30G(4) of the Local Government (Elections) Regulations 1997?	N/A		
3	Elect Regs 30G(5) & (6)	Did the CEO publish an up-to-date version of the electoral gift register on the local government's official website in accordance with regulation 30G(5) of the Local Government (Elections) Regulations 1997?	Yes	No gifts received	

Finance					
No	Reference	Question	Response	Comments	Supporting Documents
1	s7.1A	Has the local government established an audit committee and appointed members by absolute majority in accordance with section 7.1A of the <i>Local Government Act 1995</i> ?	Yes	Item 10.2 MIN 2669/23	<a href="https://www.narembeen.wa.gov.au/council-meetings/ordinary-council-meeting/ordinary-council-meeting-24-october-2023/122">https://www.narembeen.wa.gov.au/council-meetings/ordinary-council-meeting/ordinary-council-meeting-24-october-2023/122</a>
2	s7.1B	Where the council delegated to its audit committee any powers or duties under Part 7 of the <i>Local Government Act 1995</i> , did it do so by absolute majority?	N/A	No delegated power	
3	s7.9(1)	Was the auditor's report for the financial year ended 30 June 2023 received by the local government by 31 December 2023?	Yes	Item 6.2 MIN 7707/23	<a href="https://www.narembeen.wa.gov.au/council-meetings/ordinary-council-meeting/ordinary-council-meeting-19-december-2023/124">https://www.narembeen.wa.gov.au/council-meetings/ordinary-council-meeting/ordinary-council-meeting-19-december-2023/124</a>
4	s7.12A(3)	Where the local government determined that matters raised in the auditor's report prepared under section 7.9(1) of the <i>Local Government Act 1995</i> required action to be taken, did the local government ensure that appropriate action was undertaken in respect of those matters?	Yes		
5	s7.12A(4)(a) & (4)(b)	Where matters identified as significant were reported in the auditor's report, did the local government prepare a report that stated what action the local government had taken or intended to take with respect to each of those matters? Was a copy of the report given to the Minister within three months of the audit report being received by the local government?	Yes		
6	s7.12A(5)	Within 14 days after the local government gave a report to the Minister under section 7.12A(4)(b) of the <i>Local Government Act 1995</i> , did the CEO publish a copy of the report on the local government's official website?	Yes	Uploaded to website 21/12/2023	<a href="https://www.narembeen.wa.gov.au/documents/corporate-plans-and-strategies">https://www.narembeen.wa.gov.au/documents/corporate-plans-and-strategies</a>
7	Audit Reg 10(1)	Was the auditor's report for the financial year ending 30 June 2023 received by the local government within 30 days of completion of the audit?	Yes		

Integrated Planning and Reporting					
No	Reference	Question	Response	Comments	Supporting Documents
1	Admin Reg 19C	Has the local government adopted by absolute majority a strategic community plan? If Yes, please provide the adoption date or the date of the most recent review in the Comments section?	Yes	MIN 7463/22	<a href="https://www.narembeen.wa.gov.au/council-meetings/ordinary-council-meeting/ordinary-council-meeting-19-july-2022/105">https://www.narembeen.wa.gov.au/council-meetings/ordinary-council-meeting/ordinary-council-meeting-19-july-2022/105</a>
2	Admin Reg 19DA(1) & (4)	Has the local government adopted by absolute majority a corporate business plan? If Yes, please provide the adoption date or the date of the most recent review in the Comments section?	Yes	MIN 7486/22	<a href="https://www.narembeen.wa.gov.au/council-meetings/ordinary-council-meeting/ordinary-council-meeting-20-september-2022/107">https://www.narembeen.wa.gov.au/council-meetings/ordinary-council-meeting/ordinary-council-meeting-20-september-2022/107</a>
3	Admin Reg 19DA(2) & (3)	Does the corporate business plan comply with the requirements of Local Government (Administration) Regulations 1996 19DA(2) & (3)?	Yes		

Local Government Employees					
No	Reference	Question	Response	Comments	Supporting Documents
1	s5.36(4) & s5.37(3) Admin Reg 18A	Were all CEO and/or senior employee vacancies advertised in accordance with Local Government (Administration) Regulations 1996, regulation 18A?	Yes		Attachment 7.1G- Application Package Chief Executive Officer and Application Package - Executive Manager Infrastructure Services
2	Admin Reg 18E	Was all information provided in applications for the position of CEO true and accurate?	Yes		
3	Admin Reg 18F	Was the remuneration and other benefits paid to a CEO on appointment the same remuneration and benefits advertised for the position under section 5.36(4) of the <i>Local Government Act 1995</i> ?	Yes		
4	s5.37(2)	Did the CEO inform council of each proposal to employ or dismiss senior employee?	Yes		
5	s5.37(2)	Where council rejected a CEO's recommendation to employ or dismiss a senior employee, did it inform the CEO of the reasons for doing so?	N/A		

Official Conduct					
No	Reference	Question	Response	Comments	Supporting Documents
1	s5.120	Has the local government designated an employee to be its complaints officer?	No		
2	s5.121(1) & (2)	Has the complaints officer for the local government maintained a register of complaints which records all complaints that resulted in a finding under section 5.110(2)(a) of the <i>Local Government Act 1995</i> ?	Yes	No complaints received.	Attachment 7.1H - Complaints (Minor Breach) Register
3	S5.121(2)	Does the complaints register include all information required by section 5.121(2) of the <i>Local Government Act 1995</i> ?	Yes		
4	s5.121(3)	Has the CEO published an up-to-date version of the register of the complaints on the local government's official website?	No		

Optional Questions					
No	Reference	Question	Response	Comments	Supporting Documents
1	Financial Management Reg 5(2)(c)	Did the CEO review the appropriateness and effectiveness of the local government's financial management systems and procedures in accordance with the Local Government (Financial Management) Regulations 1996 regulations 5(2)(c) within the three financial years prior to 31 December 2023? If yes, please provide the date of council's resolution to accept the report.	N/A	Due in 2024	
2	Audit Reg 17	Did the CEO review the appropriateness and effectiveness of the local government's systems and procedures in relation to risk management, internal control and legislative compliance in accordance with Local Government (Audit) Regulations 1996 regulation 17 within the three financial years prior to 31 December 2023? If yes, please provide date of council's resolution to accept the report.	N/A	Due in 2024	
3	s5.87C	Where a disclosure was made under sections 5.87A or 5.87B of the <i>Local Government Act 1995</i> , were the disclosures made within 10 days after receipt of the gift? Did the disclosure include the information required by section 5.87C of the Act?	N/A	No gifts received	
4	s5.90A(2) & (5)	Did the local government prepare, adopt by absolute majority and publish an up-to-date version on the local government's website, a policy dealing with the attendance of council members and the CEO at events?	Yes		<a href="https://www.narembeen.wa.gov.au/the-shire/public-documents/policies.aspx">https://www.narembeen.wa.gov.au/the-shire/public-documents/policies.aspx</a>
5	s5.96A(1), (2), (3) & (4)	Did the CEO publish information on the local government's website in accordance with sections 5.96A(1), (2), (3), and (4) of the <i>Local Government Act 1995</i> ?	Yes		<a href="https://www.narembeen.wa.gov.au/documents/local-laws">https://www.narembeen.wa.gov.au/documents/local-laws</a> <a href="https://www.narembeen.wa.gov.au/documents/corporate-plans-and-strategies">https://www.narembeen.wa.gov.au/documents/corporate-plans-and-strategies</a> <a href="https://www.narembeen.wa.gov.au/council-meetings/past">https://www.narembeen.wa.gov.au/council-meetings/past</a> <a href="https://www.narembeen.wa.gov.au/visit/maps-useful-information/maps.aspx">https://www.narembeen.wa.gov.au/visit/maps-useful-information/maps.aspx</a>
6	s5.128(1)	Did the local government prepare and adopt (by absolute majority) a policy in relation to the continuing professional development of council members?	Yes		Attachment 7.1I - Council Policy - Council Member Professional Development
7	s5.127	Did the local government prepare a report on the training completed by council members in the 2022/2023 financial year and publish it on the local government's official website by 31 July 2023?	Yes		<a href="https://www.narembeen.wa.gov.au/Profiles/narembeen/Assets/ClientData/Registers/Annual_Report_of_Training_undertaken_by_Elected_Members_of_the_Shire_of_Narembeen_2022-2023.pdf">https://www.narembeen.wa.gov.au/Profiles/narembeen/Assets/ClientData/Registers/Annual_Report_of_Training_undertaken_by_Elected_Members_of_the_Shire_of_Narembeen_2022-2023.pdf</a>
8	s6.4(3)	By 30 September 2023, did the local government submit to its auditor the balanced accounts and annual financial report for the year ending 30 June 2023?	Yes		
9	s.6.2(3)	When adopting the annual budget, did the local government take into account all its expenditure, revenue and income?	Yes		



Tenders for Providing Goods and Services					
No	Reference	Question	Response	Comments	Supporting Documents
1	F&G Reg 11A(1) & (3)	Did the local government comply with its current purchasing policy, adopted under the Local Government (Functions and General) Regulations 1996, regulations 11A(1) and (3) in relation to the supply of goods or services where the consideration under the contract was, or was expected to be, \$250,000 or less or worth \$250,000 or less?	Yes		Attachment 7.1J - Tender Register
2	s3.57 F&G Reg 11	Subject to Local Government (Functions and General) Regulations 1996, regulation 11(2), did the local government invite tenders for all contracts for the supply of goods or services where the consideration under the contract was, or was expected to be, worth more than the consideration stated in regulation 11(1) of the Regulations?	Yes		Attachment 7.1J - Tender Register
3	F&G Regs 11(1), 12(2), 13, & 14(1), (3), and (4)	When regulations 11(1), 12(2) or 13 of the Local Government Functions and General) Regulations 1996, required tenders to be publicly invited, did the local government invite tenders via Statewide public notice in accordance with Regulation 14(3) and (4)?	Yes		Attachment 7.1J - Tender Register
4	F&G Reg 12	Did the local government comply with Local Government (Functions and General) Regulations 1996, Regulation 12 when deciding to enter into multiple contracts rather than a single contract?	N/A		
5	F&G Reg 14(5)	If the local government sought to vary the information supplied to tenderers, was every reasonable step taken to give each person who sought copies of the tender documents or each acceptable tenderer notice of the variation?	N/A		
6	F&G Regs 15 & 16	Did the local government's procedure for receiving and opening tenders comply with the requirements of Local Government (Functions and General) Regulations 1996, Regulation 15 and 16?	Yes		
7	F&G Reg 17	Did the information recorded in the local government's tender register comply with the requirements of the Local Government (Functions and General) Regulations 1996, Regulation 17 and did the CEO make the tenders register available for public inspection and publish it on the local government's official website?	No	Not published as at 31 December 2023	<a href="https://www.narembeen.wa.gov.au/the-shire/noticeboard/tenders.aspx">https://www.narembeen.wa.gov.au/the-shire/noticeboard/tenders.aspx</a>
8	F&G Reg 18(1)	Did the local government reject any tenders that were not submitted at the place, and within the time, specified in the invitation to tender?	No		
9	F&G Reg 18(4)	Were all tenders that were not rejected assessed by the local government via a written evaluation of the extent to which each tender satisfies the criteria for deciding which tender to accept?	Yes		
10	F&G Reg 19	Did the CEO give each tenderer written notice containing particulars of the successful tender or advising that no tender was accepted?	Yes		Attachment 7.1K - Screenshot of Correspondence to Tenderers
11	F&G Regs 21 & 22	Did the local government's advertising and expression of interest processes comply with the requirements of the Local Government (Functions and General) Regulations 1996, Regulations 21 and 22?	Yes		
12	F&G Reg 23(1) & (2)	Did the local government reject any expressions of interest that were not submitted at the place, and within the time, specified in the notice or that failed to comply with any other requirement specified in the notice?	N/A		
13	F&G Reg 23(3) & (4)	Were all expressions of interest that were not rejected under the Local Government (Functions and General) Regulations 1996, Regulation 23(1) & (2) assessed by the local government? Did the CEO list each person as an acceptable tenderer?	N/A		
14	F&G Reg 24	Did the CEO give each person who submitted an expression of interest a notice in writing of the outcome in accordance with Local Government (Functions and General) Regulations 1996, Regulation 24?	N/A		
15	F&G Regs 24AD(2) & (4) and 24AE	Did the local government invite applicants for a panel of pre-qualified suppliers via Statewide public notice in accordance with Local Government (Functions and General) Regulations 1996, Regulations 24AD(4) and 24AE?	N/A		
16	F&G Reg 24AD(6)	If the local government sought to vary the information supplied to the panel, was every reasonable step taken to give each person who sought detailed information about the proposed panel or each person who submitted an application notice of the variation?	N/A		
17	F&G Reg 24AF	Did the local government's procedure for receiving and opening applications to join a panel of pre-qualified suppliers comply with the requirements of Local Government (Functions and General) Regulations 1996, Regulation 16, as if the reference in that regulation to a tender were a reference to a pre-qualified supplier panel application?	N/A		
18	F&G Reg 24AG	Did the information recorded in the local government's tender register about panels of pre-qualified suppliers comply with the requirements of Local Government (Functions and General) Regulations 1996, Regulation 24AG?	N/A		

19	F&G Reg 24AH(1)	Did the local government reject any applications to join a panel of pre-qualified suppliers that were not submitted at the place, and within the time, specified in the invitation for applications?	N/A		
20	F&G Reg 24AH(3)	Were all applications that were not rejected assessed by the local government via a written evaluation of the extent to which each application satisfies the criteria for deciding which application to accept?	N/A		
21	F&G Reg 24AI	Did the CEO send each applicant written notice advising them of the outcome of their application?	N/A		
22	F&G Regs 24E & 24F	Where the local government gave regional price preference, did the local government comply with the requirements of Local Government (Functions and General) Regulations 1996, Regulation 24E and 24F?	N/A		

**ATTACHMENT 7.1B**  
**Exercise of Delegation Register**



## Exercise of Delegation Register 2023/2024

Date	Delegation number	Officer Executing Delegation	Applicant	Description of Delegation	File Ref
28/07/2023	F.2	EMCS	B. Forbes	Reverse 'additional rubbish' charge on assessment due to admin error; advised in previous year that it wasn't applicable, but this wasn't processed.	A1089
23/11/2023	F.2	CEO	R. McCall	Waiver of equipment hire fees - Hurt to Help	ADM0161
23/11/2023	F.1	CEO, EMCS	R. McCall, B. Forbes	Payroll for period 09/11/2023 - 22/11/2023 payment number 801955689	
27/11/2023	F.1	CEO, EMCS	R. McCall, B. Forbes	Creditors Payment 27/11/2023 payment no 802908521	ADM018
30/11/2023	F.1	CEO, EMCS	R. McCall, B. Forbes	Creditors Payment 30/11/2023 payment no 803715047	ADM018
07/12/2023	F.1	CEO, EMCS	R. McCall, B. Forbes	Payroll for period 23/11/2023 - 6/12/2023 payment number 805545011	
13/12/2023	F.1	CEO, EMCS	R. McCall, B. Forbes	Payroll for period 21/12/23 - 3/01/24 payment number 807016710	
14/12/2023	F.1	CEO, EMCS	R. McCall, B. Forbes	Creditors payment 14/12/2023 payment number 807350306	ADM018
21/12/2023	F.1	CEO, EMCS	R. McCall, B. Forbes	Payroll for period 7/12/2023 - 20/12/2023 payment 809167935	
21.12.2023	F.1	CEO, EMCS	R. McCall, B. Forbes	Creditors Payment 21/12/2023 payment number 809215332	ADM018
11/01/2024	F.1	CEO, EMCS	R. McCall, B. Forbes	Creditors payment 11/01/2024 payment number 813954125	ADM018
24.01.2024	F.2	CEO	R. McCall	Provide generator to Roadhouse free of charge for the purpose of responding to community emergency.	

25/01/2024	F.1	CEO, EMCS	R. McCall, B. Forbes	Creditors payment 25/01/2024 payment number 817343781	ADM018
02/02/2024	F.1	CEO, EMCS	R. McCall, B. Forbes	Payroll for Period 3/1/24 - 17/01/2024	
01/02/2024	F.1	CEO, EMCS	R. McCall, B. Forbes	Payroll for period 18/01/2024 - 31/01/2024	
08/02/2024	F.1	CEO, EMCS	R. McCall, B. Forbes	Creditors payment 08/2/2024 payment number 820772945	ADM018
08/02/2024	F.2	EMCS	B. Forbes	Waive cancellation fee for accommodation during extended power disruptions	
14/02/2024	F.1	CEO, EMCS	R. McCall, B. Forbes	Creditors payment 04/02/2024 payment number 822079863	ADM018
14/02/2024	F.2	EMCS	B. Forbes	Donation of 2x Family Season Pool Membership and 2x Annual Gym Membership for Mt Walker Tennis Club Hospital Day	
15/02/2024	F.1	CEO, EMCS	R. McCall, B. Forbes	Payroll for period 1/02/2024 - 14/02/2024	
22/02/2024	F.1	CEO, EMCS	R. McCall, B. Forbes	Creditors payment 22/02/2024	ADM018
29/02/2024	F.1	CEO, EMCS	R. McCall, B. Forbes	Payroll for period 15/02/2024 - 28/02/2024	

**ATTACHMENT 7.1C**  
**Declaration of Interest Register**

**SHIRE OF NAREMBEEN  
FINANCIAL INTEREST REGISTER 2022/ 2023**



<b>Disclosure Date</b>	<b>Name</b>	<b>Meeting</b>	<b>Item No. and Subject</b>	<b>Interest Type</b>	<b>Details</b>
21/02/2023	P Sheedy	OCM	8.1.2 – CEO Appointment of Consultant – CEO Recruitment	Financial	One of the consultants recommends Paul for CEO roles.
21/03/2023	Cr. M Currie	OCM	8.1.2 – Proposed sign – Reserve 20378 Currall Street, Narembeen	Impartiality	Member of the Bowling Club
21/03/2023	Cr. T Cole	OCM	8.1.2 – Proposed sign – Reserve 20378 Currall Street, Narembeen	Impartiality	Member of the Bowling Club
18/04/2023	Cr. K Mortimore	OCM	8.2.1 – Contributions to Bowling Green	Impartiality	Member of the Bowling Club
18/04/2023	Cr. K Mortimore	OCM	8.2.2 – Lease Agreement – Senior Citizens	Impartiality	Member, Secretary and Treasurer of Senior Citizens Committee
18/04/2023	Cr. T Cole	OCM	8.2.1 – Contributions to bowling Green	Impartiality	Member of the Bowling Club
18/04/2023	Cr. M Currie	OCM	8.2.1 – Contributions to bowling Green	Impartiality	Member of the Bowling Club
11/05/2023	P Sheedy	OCM	8.1.4 – Council Policy – Gratuity Payments to Finishing Employees	Financial	Employee of Shire of Narembeen



# SHIRE OF NAREMBEEN DISCLOSURES OF INTEREST REGISTER

In accordance with S5.88(2)(b) Local Government Act 1995 the Shire is required to maintain a Disclosure of Interest Register.

Disclosure Date	Name	Meeting	Item No. and Subject	Interest Type	Details
15/07/2023	Cr. W Milner	OCM	8.1.3 – Narembeen Medical Services	Financial	Councillors wife works for Narembeen Medical Centre.
24/10/2023	Cr H Bald	OCM	10.1.5 – Debtor Write Off	Impartial	Councillors children attend the school
8/11/2023	Cr S Stirratt	RRSNCFB Committee	5.0 – Assessment of Applications	Financial/ Impartial/ Proximity	Councillors family member submitted grant application.
19/12/2023	R McCall	OCM	8.3.1 – Chief Executive Officer Key Performance Indicators	Financial	Relates to CEO position.



**ATTACHMENT 7.1D**  
**Primary and Annual Return Register**



## Primary and Annual Returns Register

Elected Member and Staff

Period ending 31 December 2023

Primary Return		
Councillor		
Name	Date Lodged	Receipt Date
Hannah Bald	19/01/2024	23/01/2024

Staff		
Name	Date Lodged	Receipt Date
Rebecca McCall	14/09/2023	14/09/2023

Annual Return		
Councillor		
Name	Date Lodged	Receipt Date
Scott Stirrat	10/08/2023	14/08/2023
Amy Hardham	10/08/2023	14/08/2023
Michael Currie	18/07/2023	2/08/2023
Trevor Cole	19/07/2023	2/08/2023
Christopher Bray	18/07/2023	2/08/2023
Holly Cusack	17/07/2023	17/07/2023

Staff		
Name	Date Lodged	Receipt Date
Ben Forbes	19/07/2023	02/08/2023
Brendon Gerrard	31/07/2023	02/08/2023

**ATTACHMENT 7.1E**  
**Gift Register**



# Elected Member Gifts Register

Pursuant to *Local Government Act 1995 Section 5.89A(1)* the CEO is to maintain a register of gifts received by elected members.

Candidate/ Donor	Name of Person Making Disclosure	Details of Candidate	Details of person making gift OR Person on whose behalf gift is made	Date gifts promised received or made	Date disclosure made	Value of Gift	Description of Gift
Nil records as at 31 December 2023							



# Employee Gift Register

Under Section 5.89A(1) of the *Local Government Act 1995* the CEO is to maintain a register of gifts received by employees

Name of person making disclosure	Description of gift	Name and address of person who made gift	Date gift was received	Estimated value of gift at time it was made	Nature of relationship between person who made gift and person who received gift	For a gift that is a travel contribution - description and date of travel	For an excluded gift under s.5.62(1B)(a): the date of the approval referred to in s.5.62(1B)(a)(ii) and the reasons for the approval
Nil records as at 31 December 2023							

# **ATTACHMENT 7.1F**

## **Disposal of Property**



# from the CHIEF



1 LONGHURST STREET, NAREMBEEN WA 6369 T: (08) 9064 7308 F: (08) 9064 7037

W: [www.narembeen.wa.gov.au](http://www.narembeen.wa.gov.au) E: [admin@narembeen.wa.gov.au](mailto:admin@narembeen.wa.gov.au)

## **NOTICE OF PROPOSAL TO DISPOSE OF PROPERTY**

Notice is hereby given in accordance with section 3.58(3) of the Local Government Act 1995 that the Shire of Narembeen intends to dispose of car trailer, registration number NB 3770, to Shire employee A. Laird for \$650.00 (including GST).

The trailer is in an unusable condition owing to rust damages, and is surplus to the Shire's requirements.

Written submissions regarding the proposed disposal are invited and will be received up to 4pm, 2<sup>nd</sup> June 2023.

Submissions must be address to:

**Chief Executive Officer**

**Shire of Narembeen**

**1 Longhurst Street**

**NAREMBEEN WA 6369**



**ROE ROC**  
Kondinin . Kulin . Narembeen . Corrigin

**ROEROC BENDERING LANDFILL AREA  
COMMUNITY CROPPING OPPORTUNITY**

ROEROC is again looking towards local Community Groups in the ROEROC Region of Shires of Corrigin, Kondinin, Kulin and Narembeen, for the opportunity of a Community Cropping Program on the unused portion of the Bending Landfill Site.

The current area of land available is approximately 40ha but will be reduced with the starting of a new site for landfill.

If your community group is interested in taking advantage of a 1 to 5-year lease agreement for this land, please email an expression of interest to [ce@kondinin.wa.gov.au](mailto:ce@kondinin.wa.gov.au) giving details of your organisation and what the funds from the cropping program would be used for. The applications will be assessed by the CEOs of ROEROC as quickly as possible to allow the cropping program to be implemented.

**Submissions need to be received by 4pm, Tuesday the 16th May 2023.**

If you have any question, contact David Burton, CEO - Shire of Kondinin on 9689 1006.

**KONDININ OFFICE HOURS**  
Office Hours: Monday to Friday 8.30 am - 4.30 pm  
Evening Hours: Monday to Friday 8.30 am - 8.00 pm  
Email: [ce@kondinin.wa.gov.au](mailto:ce@kondinin.wa.gov.au)  
Phone: 9689 1006

**HYDEN OFFICE HOURS**  
Office Hours: Monday to Friday 11.00 am - 4.30 pm (closed between 10pm - 130pm)  
Evening Hours: Monday to Friday 19.00 am - 3.00 pm  
Email: [ce@hyden.wa.gov.au](mailto:ce@hyden.wa.gov.au)  
Phone: 8660 1106



Posts

About

Videos

More

5 What is one thing on your bucket list? To go and see our daughter in Scotland and visit Rome.



See insights and ads

Boost post

12

Like

Comment

Share



Shire of Narembreen



17 May 2023

NOTICE OF PROPOSAL TO DISPOSE OF PROPERTY Notice is hereby given in accordance with section 3.58(3) of the Local Government Act 1995 that the Shire of Narembreen intends to dispose of car trailer, registration number NB 3770, to Shire e... See more

See insights and ads

Boost post

3

1 share

Like

Comment

Share



Shire of Narembreen



16 May 2023

MEET THE TEAM - BEN Ben has recently started with the Shire th... See more



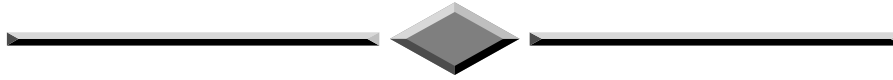


**ATTACHMENT 7.1G**  
**Application Package – Chief Executive Officer and**  
**Application Package – Executive Manager**  
**Infrastructure Services**



# **CHIEF EXECUTIVE OFFICER INFORMATION PACKAGE**

*March 2023*



# ***CONTENTS***

**ADVERTISEMENT**

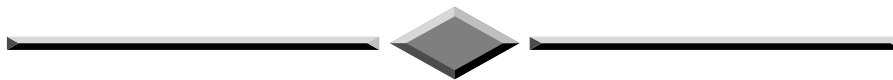
**POSITION DESCRIPTION**

**NOTIONAL SALARY PACKAGE**

**INFORMATION FOR APPLICANTS**

**DISCLOSURE STATEMENT**

**APPLICATION COVER SHEET**





**Chief Executive Officer  
(Package negotiable as per SAT Band 4 - \$131,423 - \$206,141)**

Narembreen is located in the heart of the Wheatbelt, 286km east of Perth. The town has evolved from its traditional rural history and today plays an important role within the Wheatbelt in cereal cropping, cattle and sheep production, agricultural innovation as well as support from industry such as engineering, auto works, mining and tourism. The Shire of Narembreen is the hub of the community and highly values its role as a vital and innovative organisation. The Shire is seeking to employ a Chief Executive Officer who will be responsible for the day to day and strategic management of the Shire's operations.

As Chief Executive Officer you will take overall corporate responsibility for the organisation. You will foster a customer service focus, a positive team culture, a cohesive relationship with the Council and the community and provide a basis for efficient planning and delivery of services by the organisation. You will develop and lead the goals and objectives of the Council as set out in plans, budgets, capital works programs and strategic integrated and asset management plans. You will be accountable for the Council's human, financial and physical resources whilst acting as the face of the organisation in the community.

Ideally, you will have intimate knowledge of the workings of local government or have worked within a senior management capacity. Additionally, you will hold relevant tertiary qualifications or have equivalent relevant senior management experience as well as some knowledge of the outside operations of a rural Shire.

A performance based 3-year contract will be negotiated which includes an attractive remuneration package in the vicinity of \$131,423 - \$206,141 including a negotiable cash component, and regional/isolation allowance, commensurate with qualifications and experience plus generous annual leave, up to 15.5% superannuation (conditional), unrestricted business & private use of a vehicle and rent-free housing plus utilities subsidy.

Interested applicants may obtain the Information Package and Position Description containing the Competency Requirements by contacting Mike Fitzgerald on 0419907443 or emailing [mike@fitzgeraldstrategies.com.au](mailto:mike@fitzgeraldstrategies.com.au) or by downloading the document from <https://www.fitzgeraldstrategies.com.au/local-government-job-vacancies/>

Applications, including a Curriculum Vitae and statement addressing the Competency Requirements should reach the undersigned by email to [mike@fitzgeraldstrategies.com.au](mailto:mike@fitzgeraldstrategies.com.au) by **4:00pm on Friday 31 March 2023**.

**Mike Fitz Gerald  
PRINCIPAL  
Fitz Gerald Strategies  
Licensed Employment Agent (Lic No EA2423)**

## **POSITION DESCRIPTION**

- 1. TITLE** Chief Executive Officer
- 2. LEVEL** Band 4 Salaries and Allowances Tribunal
- 3. DEPARTMENT/SECTION** Office of the Chief Executive Officer
- 4. POSITION OBJECTIVES**

- 1. Objectives of this Position**

- To implement the strategic goals and objectives of the organisation.
- To ensure that Council receives professional and timely advice and support on all matters relating to the operation of the Shire of Narembeen as a local government and achievement of its goals.
- To provide overall leadership and direction for the administration of the Shire of Narembeen and to provide the primary link through communications and consultation between the Council and staff.

- 2. Within Department/Section**

- Meet corporate objectives.
- Ensure that delegations are exercised within statutory requirements, Council Policies, and strategic objectives.
- Lead the organisation in providing a high level of service to the Community and Elected Members.

- 3. Within Organisation**

- Develop a corporate approach within the Senior Management Team towards achieving strategic financial management of the local government.
- Development and implementation of strategic documents, including informing strategies for the Corporate Business Plan.
- Administer the legal, statutory and election process of the local government's operation and be the chief adviser to Council on these matters.
- Foster a corporate approach to ensure effective financial controls operate within and across each functional area.
- Provide strategic direction and effective leadership to the organisation.
- Manage the preparation, review and enforcement of Council's statutes, policies and local laws including review of Council policy and delegations of authority.
- Ensure continuous improvement both in the natural and built environment and customer service.

#### **4. COMPETENCY REQUIREMENTS**

*Note - all requirements are essential unless otherwise stated*

##### **1. Leadership**

- Proven leadership of at least three years local government experience as a Chief Executive Officer/Senior Executive level, with demonstrated intellectual capacity and an understanding of all legislation impacting on Local Government.
- Maintain effective communication and relationships with Councillors, staff, and other stakeholders.
- Significant experience in the delivery of Integrated Planning and Reporting framework.
- Delegation skills to ensure the achievement of outcomes, accountability of senior management, staff, and the development of employees' abilities.
- Extensive corporate management experience including contemporary human resource management principles, including understanding of the relevant industrial relation frameworks.
- Implementing policy and procedures in the organisation.
- Considerable experience in encouraging, promoting, and facilitating sustainable economic development.
- Manage the local government's infrastructure/assets.

##### **2. Policy Implementation**

- Comprehensive knowledge of public policy issues as they impact on the local government.
- Effective communication and engagement strategies including marketing, branding, and implementing policy and procedures with all stakeholders.

##### **3. Governance and Compliance**

- Proven aptitude to administer the *Local Government Act (1995)* and any variation and associated legislation involved in the field of local government.
- Proven delivery of professional and timely advice to support Council in making the most informed decisions.
- Knowledge of statutory, legal, and contractual obligations.

##### **4. Financial results**

- Experience of and evidence in the delivery of proficient financial management and control so that community money is always safeguarded and used appropriately, economically, efficiently, and effectively.
- Demonstrated experience in overseeing the development and implementation of Financial Plans, Asset Management Plans and Annual Budget.
- Considerable experience in ensuring the effective and efficient application of relevant accounting standards and legislative requirements with regard to accounting activities and reporting.

## **5. Community Development**

- Considerable experience in encouraging, promoting, and facilitating sustainable business development and fostering investment opportunities.
- A proven history of building and maintaining positive strategic relationships.
- Appreciation of the culture and heritage of the Shire and how it integrates with planning and policy.

## **6. General Management**

- Excellent interpersonal and communication skills focusing on maintaining good political astuteness, networking relationships with all stakeholders.
- An understanding of outside works in local government, including road construction and maintenance, parks and gardens and waste management.
- Degree in relevant Management, Business and/or Public Sector Administration discipline or experience that is accepted as comparable.

***Note: Employment is subject to current Police Clearances and other checks***

## **6. KEY DUTIES/RESPONSIBILITIES**

1. Responsible for effective day to day operations of the local government.
2. In consultation with Council, review, develop and implement strategic and service delivery plans for the Shire.
3. Co-ordinate, in conjunction with the Senior Executive Team, an overall system of fiscal management to reflect Council's aims and objectives.
4. Implement and manage the requirements of the Integrated Planning framework.
5. Formulate and implement a Human Resources Management Program, which ensures the appropriate supervision and management of the local government.
6. Establish a staff training program that will improve staff skills across the board, to assist staff in focusing on service delivery to the community.
7. Administer the legal, statutory and election process of the local government's operations and be the chief adviser to Council on these matters to ensure the local government is operating within the statutes and all legal requirements are carried out.
8. On behalf of the local government, make effective representation of the issues, views, policies and needs of the local government, as necessary.
9. Ensure the development and maintenance of sound communications and good relationships between the local government, Government Departments, volunteers, and the community at large.
10. Ensure that the road infrastructure data base is maintained, and roads grant applications are considered and lodged in a timely manner.
11. Ensure reports and recommendations submitted to Council are well written and based on sound judgement with appropriate recommendations.
12. Ensure that the Councils statutory compliance obligations are met.

## **7. PERFORMANCE CRITERIA**

Key Result Areas and associated strategies and actions will be varied by agreement between the employee and the employer annually during the term of the employment contract.

The performance criteria may be varied, and any other criteria may be included by agreement between the parties at any time during the term of the employment contract.

## **8. ORGANISATIONAL RELATIONSHIPS**

### **1. Responsible to**

The President and Council of the Shire of Narembeen.

### **2. Supervision of**

All staff by delegation to relevant Senior Managers.

### **3. Internal**

- President and Councillors individually
- All Committees and working groups
- All Staff

### **4. External**

- Community, Ratepayers, Public, Business Groups, Retailers
- Business community
- Sporting Groups
- Federal & State Governments Departments and Agencies
- Local Governments
- Media
- Primary contractors and suppliers
- Community based volunteer groups

## **9. EXTENT OF AUTHORITY**

- All authority vested in a Chief Executive Officer under the *Local Government Act (1995)* and associated Regulations, Local-Laws and all other relevant Acts State and Federal Parliament.
- Authority to sign all legal documents, authorise payments and cheques as delegated and properly directed by Council.





**SHIRE OF NAREMBEEN  
CEO NEGOTIABLE SALARY PACKAGE**

Cash Component	Negotiable per
annum	
Regional/Isolation Allowance	\$5,000 per annum
Superannuation (15.5%)	Conditional per
annum	
Private use of motor vehicle	\$17,400.00 per
annum	
Rent Free residence	\$15,600.00 per
annum	
Utilities (power, water & gas, non-cumulative)	\$3,000.00 per annum
Professional Development (non-cumulative)	\$3,000.00 per annum
FBT	\$13,600.00 per
annum	
Relocation Expenses	\$6,000.00 upon
commencement	

# INFORMATION FOR APPLICANTS

## **1. Introduction**

These guidelines are provided to assist you in preparing your written application and to enable you to plan for a possible interview. You should receive a Position Description Form for the position that you are applying for that includes a listing of the specific Competency Requirements for that position.

All applicants who address and demonstrate they meet the Competency Requirements and who, from their applications, are considered by the Selection Panel to be competitive with other applicants, will progress to the next stage of selection.

Selection decisions are initially based on the information provided in your written application.

Before preparing your application, check the Competency Requirements to make sure you are eligible to apply.

## **2. Preparing Your Application**

**Only applications lodged electronically by email will be accepted.**

Your application should include the following documentation:

### **a. Resume/Curriculum Vitae Comprising:**

- Personal details - your name, residential and email address, daytime and after hours telephone numbers where you can be contacted.
- A summary of your previous employment history, starting with the most recent. Include dates, name of employer, position title and tasks/responsibilities undertaken in each position.
- Your training and education achievements, including some details on what was involved.
- Any activities which you have undertaken outside of work which are relevant to the position you are applying for.
- Any membership of professional bodies and/or licensing authorities.
- The names, titles, work addresses and contact telephone numbers for three work related referees.

### **b. Statement Addressing The Competency Requirements**

Your statement should specify the minimum qualifications, experience, knowledge, skills and abilities that you have achieved. Preparation of these statements is the most important part of your application.

It is advisable when addressing the Competency Requirements, that you:

- Treat each requirement dot pointed sub heading separately, using each dot pointed sub heading as a heading.
- Provide a statement on each dot pointed sub heading, demonstrating how you possess the relevant skills, experience, knowledge and qualifications to successfully carry out the duties of the position. This may include a description of events/projects/examples of where you have applied the required skills or knowledge.
- Provide clear, relevant information so that the panel can readily assess your submissions.
- Include information of any relevant qualifications you may have obtained and their relevance to the Competency Requirements.

### **3. A Note About Referees**

It is not necessary to include written references or character referees as part of your application. Instead, the selection panel will make direct contact with referees. It is common courtesy that referees be contacted for approval before nominating them in your application. You should advise referees that you have submitted an application, as the Selection Panel may not advise you prior to making contact with them.

Normally, one of your referees should be the person you immediately report to in your current (or most recent) employment.

You may be asked to provide the names of more appropriate or alternative referees, as part of the selection process.

The Selection Panel reserves the right to make contact with your referees at any time during the selection process and also to undertake background checks on you by contacting anybody the Panel deems appropriate to obtain information about your past employment conduct and performance. Accordingly, you should provide referees that are able to attest to a broad range of your past employment history, conduct and performance.

### **4. General Information**

**Electronic applications only will be accepted by the Selection Panel**

### **5. Preparing For An Interview**

The interview is an important part of the selection process. Most interview questions will be job related; that is, they will relate to the Competency Requirements for the position you have applied for and to probe you to see whether you are suitable for the position. Similar questions will be asked of every interviewee.

To prepare for the questions which may be asked during the interview:

- Read the Job Description Form, focusing on the Competency requirements. Think of past work and/or life experiences where you

have applied the relevant knowledge, skills and abilities. Focus on the duties of the position and think about how you would carry them out. Think about any problems you might encounter and how you would resolve them. Try to identify examples from your past work/life experiences that demonstrate your suitability for the position.

- Be prepared to demonstrate how you have exercised your responsibilities as a supervisor/manager in past positions.
- If you have any relevant reports or other work which you have done which will provide examples of your qualifications, knowledge, skills and abilities, you should organise examples for presentation at the interview.

## **6. *The Interview***

If selected for an interview you will normally be advised of the details several days before the interview date. Whilst there may be exceptional circumstances where the interview may be conducted using electronic conferencing means, the Shire of Narembeen prefers that applicants present in person on site in Narembeen for the interview.

Don't assume that panel members know about your suitability for the position, even though you may know them or have had previous experience in the position you have applied for. Having got to the interview stage, your job is to convince the panel that you are the best person for the job. Answer questions fully without unnecessary details. Where possible, relate your answer to direct experiences you have had. When the opportunity is presented, feel free to ask questions of the panel. Panel members will record your replies to the questions to assist them to accurately assess your suitability for the position when they are making their selection decisions.

## **7. *Feedback***

Whether you are successful or not, you may request feedback from Mr Mike FitzGerald on your application and/or your performance at interview.

## **8. *Submitting Applications***

**Electronic applications only**, including a covering letter, your Curriculum Vitae and your statement addressing the Competency Requirements, the Disclosure Statement for Applicants, and the Application Cover Sheet plus three current referees should be emailed to Mike FitzGerald:

[mike@fitzgeraldstrategies.com.au](mailto:mike@fitzgeraldstrategies.com.au) by **4:00 pm on Friday 31 March 2023**.

If you are unsure of any details, please contact Mike FitzGerald on 0419907443.

The Shire of Narembeen is an Equal Opportunity Employer, promoting a Smoke Free work environment.

# Disclosure Statement for Applicants

**Statement allowing collection of Personal and Sensitive Information, Declaration of accuracy as to claims for employment and authorisation of waiver.**

I, \_\_\_\_\_

of \_\_\_\_\_

Attest that the information submitted in this application for employment is lodged in good faith and is to the best of my knowledge true and correct information about my claims of experience and qualifications submitted.

The Shire of Narembeen and its agents are authorised to make any background checks that are considered necessary in order to determine my claims of experience/qualifications in relation to my application and suitability as a prospective candidate for the position of Chief Executive Officer - Shire of Narembeen.

I acknowledge that the following conditions are of essence in the consideration of my application for the position of Chief Executive Officer of the Shire of Narembeen and in my ongoing employment in that position should I be the successful applicant:

1. I have been requested to provide true and verifiable historical information as to my education and work experience to support my application for the position of Chief Executive Officer and acknowledge it is a critical requirement of the selection and employment process that the information I have provided will stand up to any enquiry;
2. In the event that an enquiry determines that I have willfully mislead the Shire of Narembeen by way of the information I have provided to it then such an act will result in my exclusion as an applicant or my dismissal from the position of Chief Executive Officer.

It is further acknowledged that information submitted and sourced from any pre-employment checks remains the absolute property of the Shire of Narembeen.

**Date:** \_\_\_\_\_

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

The Shire of Narembeen covenants that any information sourced during any reasonable background check will only be used for the purpose of verifying information submitted by the applicant and determining the applicant's suitability for the position. Any such information obtained will be treated as strictly confidential and will only be made available to the selection panel/CEO at the time, and for the purpose of selecting the best person for the position.

## Application Cover Sheet

Please complete and attach this form to your application

<b>PLEASE PRINT IN BLOCK LETTERS</b>	
<b>SURNAME:</b>	
<b>GIVEN NAMES:</b>	
<b>ADDRESS:</b>	
<b>EMAIL:</b>	
<b>CONTACT NUMBERS:</b>	
<b>POSITION APPLIED FOR:</b>	<b>CHIEF EXECUTIVE OFFICER – SHIRE OF NAREMBEEN</b>



# APPLICATION PACKAGE

## Executive Manager Infrastructure Services

Contact:

Rebecca McCall  
Chief Executive Officer  
Shire of Narembreen  
9064 7037/ 0428 647 312

# CONTENTS

ADVERTISEMENT.....	3
POSITION DESCRIPTION.....	4
POSITION DETAILS & HOW TO APPLY.....	8
SELECTION CRITERIA.....	9
SALARY PACKAGE .....	10



# Advertisement



## Executive Manager Infrastructure Services

### Great Opportunity ~ Attractive Salary Package

The Shire of Narembreen is currently seeking a highly skilled and motivated individual to fill the role of Executive Manager Infrastructure Services.

Located 3 hours east of Perth, Narembreen is safe and vibrant Wheatbelt community offering a wonderful country lifestyle.

The position is a critical leadership role within Council. It oversees and provides direction to a major division, which includes construction and maintenance of roads and associated infrastructure, parks and facilities, and buildings. This is a unique opportunity for a highly motivated and experienced professional to maintain and deliver critical services and infrastructure to our community.

To be successful in this role, you should possess the appropriate qualifications and relevant experience in a comparable position, demonstrating a successful track record in orchestrating capital works and maintenance programs. Your ability to effectively lead these initiatives coupled with adept financial management skills and proficient people leadership capabilities, will be pivotal to your achievements in this role. Experience in local government is highly advantageous.

An enticing 3-year contract featuring a remuneration package tailored to the prospective candidate is being offered. This comprehensive package encompasses a flexible cash component ranging from \$110,000 to \$130,000. Plus, it offers executive accommodation (including utilities), private use of a fully maintained vehicle, 5 weeks annual leave, 10 days executive leave, and Council matching additional superannuation contributions, up to 5%.

An Application Package outlining duties, responsibilities, and selection criteria is available by visiting [www.narembreen.wa.gov.au](http://www.narembreen.wa.gov.au). Confidential enquiries concerning the position can be made by contacting Rebecca McCall, Chief Executive Officer at [ceo@narembreen.wa.gov.au](mailto:ceo@narembreen.wa.gov.au) or during office hours on 08 9064 7308.

Applications are to be submitted by 9.00am Monday 16<sup>th</sup> October 2023. Applicants are required to include a current resume and covering letter of application, clearly marked "Private & Confidential – Executive Manager Infrastructure Services" and addressed to [ceo@narembreen.wa.gov.au](mailto:ceo@narembreen.wa.gov.au).

Canvassing of elected members will disqualify.

# Position Description

<b>POSITION TITLE</b>	<b>Executive Manager Infrastructure Services</b>
<b>DIRECTORATE</b>	Infrastructure Services (Assets & Works)
<b>AWARD</b>	Local Government Officers' (WA) Award 2021
<b>LEVEL</b>	Negotiated Contract
<b>STATUS</b>	Full Time (76 Hours Per Fortnight)
<b>LOCATION</b>	Shire of Narembeen Administration, 1 Longhurst Street Narembeen

## POSITION OBJECTIVES

Responsible to the Chief Executive Officer for the effective management, planning and delivery of programs, projects, and services in the Infrastructure Services Directorate, consistent with Councils goals and objectives.

## POSITION SUMMARY

The position has responsibility to develop and oversee the operations of the following built assets and functions effectively and efficiently: airstrip, buildings, depot, drainage, footpaths and pathways, parks and gardens, plant and equipment, roads (capital and maintenance).

## GENERAL DUTIES AND RESPONSIBILITIES

### Administration and Finance

- Assist with the preparation of the annual budget.
- Develop budget cost estimates for identified programs and projects.
- Control and program adopted budget allocations for all construction and maintenance activities association with annual asset and works programs.
- Ensure open, ethical, and accountable procurement processes are undertaken by the Infrastructure Services Directorate.
- Coordinate and ensure timely application for and acquittal of external funding.
- Monitor revenue and expenditure to ensure adherence to the annual budget.
- Conduct ongoing evaluation of performance against budget.
- Report regularly any major or minor adjustments in relation to proposed expenditure.
- Manage and supervise contractors as engaged from time to time.
- Prepare and action correspondence as a result of Council decisions and as directed by the Chief Executive Officer.
- Prepare and present written reports to Council as required and as directed by the Chief Executive Officer.

### Customer Service

- Ensure high quality communication and engagement with key stakeholders in all areas of the infrastructure portfolio.

## **Leadership**

- Participate in and contribute to the Shire's Management Team in all areas of strategy and operation.
- Provide advice and guidance to Council and the CEO in area of expertise.
- Demonstrate commitment to the organisation and community as a role model for all staff.
- Demonstrate a commitment to professional development in areas of portfolio responsibility.

## **Legislative**

- Ensure compliance with relevant legislation, regulations, standards, policies and procedures.
- Ensure that there are strong controls and transparency of the Shire's governance and operations.
- Ensure appropriate maintenance of Shire records in accordance with the Shire's Record Keeping Plan and *State Records Act 2000*.

## **Liaison**

- Liaise with Commonwealth, State and Regional agencies in the provision of Infrastructure Services in relation to statutory requirements, processes and funding.
- Represent the Shire on relevant committees and industry groups.

## **Management and Supervision**

- Foster, support and implement a risk management and WHS culture.
- Provide overall coordination, supervision and support of roads and parks staff.
- Manage and implement the annual training plan for the directorate identifying appropriate training and professional development of staff.
- In conjunction with the Chief Executive Officer, conduct recruitment and induction processes of personnel within the directorate.
- Conduct annual performance reviews and establish clear KPIs/targets for staff.

## **Organisational Development and Business Improvement**

- Work with the CEO and management to identify opportunities for productivity gains, workplace, and performance improvements.
- Work with the CEO to define service quality and levels in all areas of the infrastructure portfolio.
- Develop a culture of continuous improvement for all areas of the infrastructure portfolio.

## **Policy and Strategy Development**

- Contribute to the strategic development of the Shire's Integrated Planning Suite of Plans and align operational services, assets and other resources and strategies.
- Manage the planning and implementation of a legible road hierarchy for the Shire and be responsible for traffic planning at a strategic level.
- Assist in the development, monitoring, review and implementation of Council's Asset Management Plan, Plant Replacement Plan, Capital Forward Works Plans and other Integrated Planning and Reporting framework documents, ensuring they align with service delivery requirements.
- Responsible for developing costs of infrastructure works in forward Capital Works Plans, and Long-Term Financial Plans that meet with agreed service levels.
- Participate in initiatives undertaken to achieve the goals of the Shire's Strategic Community Plan and Corporate Business Plan.

## **Work Health & Safety**

- Undertake duties with compliance to the Work Health and Safety Act 2020, Work Health and Safety (General) Regulations 2022, Workcover Code of Practice, and the Shire of Narembeen's policies and procedures.
- Always working safely to protect your own health and safety, and the health and safety of everyone with who you work, any other person at the worksite.

- Actively participate in risk assessments to ensure high risk activities are identified and controlled. Suggest improved where required.
- Identify and report workplace hazards and follow all reasonable directions from the CEO regarding safety.
- Use personal protective equipment as directed by the employer.

## SPECIFIC DUTIES AND RESPONSIBILITIES

### Operational

- Develop and maintain Council's forward planning program for roads and associated infrastructure to ensure a safe and reliable network is maintained and within Council's budgetary constraints.
- Responsible for the management of Council's asset management program, including RAMMS (roads), footpaths, drains, sewer, playground equipment, swimming pool and buildings, ensuring that all works are completed to a high standard.
- Responsible for the purchasing and management of Council's fleet of light and heavy vehicles, plant, and equipment.
- Responsible for the maintenance of parks and reserves and waste management services.
- Attend Regional Road Group meetings and Engineering Regional Road Group Technical meetings on behalf of Council.
- Implement procedures as required by the *Local Government Act 1995* to close roads and thoroughfares both temporarily and permanently.
- Coordinate appropriate action and resources to respond to call outs after working hours (emergencies) and attend when required.
- Research and prepare survey and design drawings as required.
- Prepare maintenance specifications for plant, equipment, roads, waste, parks and gardens as required.
- Prepare specifications and contracts for provision of works and services to the Shire by third parties.
- Assist Council with planning and design in respect to other areas of Council jurisdiction as required whether controlled by Council or community groups on behalf of Council.
- Provide all necessary documentation in respect to grant and tenders and any other such clerical works as may be required by the CEO.
- Provide engineering advice to Council staff, landowners, developers, and builders on standard of specifications for property crossovers.
- In liaison with the CEO assess applications for subdivision approvals and provide advice to Council in respect to engineering conditions that should apply.
- In liaison with the CEO, consider applications from developers, and landowners or their agents for clearance of conditions of subdivision, and provide advice as to whether engineering aspects have met conditions of subdivision. In addition, provide estimates for cost of works that apply to engineering conditions and review cost of work estimates provided by applicants prior to any acceptance of bonding for clearance of engineering related conditions.

## KEY PERFORMANCE REQUIREMENTS

Reviews shall be conducted annually on the following Key Performance Indicators:

- Councillor Relations
- External Relations, including customers and stakeholders
- Financial Management
- Leadership
- Organisational Management
- Planning

## RELATIONSHIPS

<b>Reports to:</b>	CEO
<b>Supervision of:</b>	Contractors Infrastructure Administration Officer Assets & works staff (building, construction, parks & gardens & transfer station)
<b>Internal Liaison:</b>	Council All Staff
<b>External Liaison:</b>	Funding Bodies General Public Government Agencies Landowners Local Government Authorities

## EXTENT OF AUTHORITY

- Operates under direction of the CEO within established guidelines, procedures, and policies as well as statutory provisions of the various legislation, regulations, and standards.
- Delegated authority as defined by the CEO.

## EQUAL EMPLOYMENT OPPORTUNITY

- Treat all work colleagues equally, in a non-discriminatory manner and with consideration and respect in accordance with the Staff Code of Conduct.
- Undertake equal employment opportunity training provided by the Shire.

## EMPLOYMENT CONDITIONS

- Hold a current C class drivers license.
- A pre-employment examination and current National Police Clearance Certificate is required.
- Signed declaration that the incumbent has read the Shire of Narembeen's Induction Manual and Employee Code of Conduct prior to the commencement of work.

# Position Details & How to Apply

If you decide to apply for this position, please include a covering letter outlining your relevant skills and experience, a copy of your resume and copies of relevant qualifications. You will be required to provide a statement addressing the Selection Criteria (see details below).

The Shire is an equal opportunity employer and applies merit-based selection techniques. Please read these notes carefully as they are designed to help you understand the Shire of Narembeen's selection process.

## Position Description

Before a position is advertised, the requirements of that position are identified, and a list of duties and the selection criteria are developed. Selection criteria are the candidate qualities required to ensure that the role is performed successfully.

Our selection process is based on an assessment of merit. In other words, how well your abilities, knowledge, and skills meet the selection criteria. The most outstanding candidate will be appointed regardless of age, professional background, or status of current position.

## Application Checklist

Your application should include:

1. A covering letter introducing yourself and explaining why you are applying for this position.
2. A brief response to the selection criteria.
3. A current resume with the details of your past employment experience.
4. Names and contact details of at least 2 most recent employment references.

To be eligible for consideration, a person must meet all Selection Criteria. Although there is no right or wrong way to format your written application, you must address each section of the selection criteria. The short-listing process (or selection for interview) is based on how well your knowledge and abilities meet the Selection Criteria.

As an applicant, it is your responsibility to demonstrate to the panel how you meet the selection criteria. Below is a guideline in producing a detailed response:

- Statements which concisely describe how you meet each of the Selection Criteria.
- The statements, in paragraph form, may include examples of the type of work, be it paid or unpaid work that you have completed. In other cases, details of your qualifications may be applicable.
- Any other information which you feel are relevant to the position.
- Avoid irrelevant information or "padding" – be clear and concise.
- Names and contact numbers of at least two referees who can be contacted to provide information about your employment history. Please provide written permission in your application for the Shire of Narembeen to contact your nominated referees as required by the Federal Privacy Act 2000.
- Do not include original certificates or documents.

## Further Information

For further information please contact:  
Rebecca McCall, Chief Executive Officer  
E: [ceo@narembeen.wa.gov.au](mailto:ceo@narembeen.wa.gov.au)  
T: (08) 9064 7308

## Closing Date

Closing date for applications – **9.00am Monday 16<sup>th</sup> October 2023.**

## Canvassing of Councillors

Canvassing of elected members is prohibited and any applicant known to have done so may be disqualified from the application process.

# Selection Criteria

## 1. Essential

- 1.1 Team development skills.
- 1.2 Highly developed communication skills, both written and verbal.
- 1.3 Time management and organisational skills.
- 1.4 Good public relations and interpersonal skills.
- 1.5 Developed leadership and decision-making skills.
- 1.6 Developed problem solving and conflict resolution skills.
- 1.7 Knowledge of Work Health and Safety and Equal Employment Opportunity requirements.
- 1.8 Working knowledge of disciplinary and dispute resolution procedures.
- 1.9 Working knowledge of human resource development.
- 1.10 Sound knowledge of design and plan interpretation.
- 1.11 Highly experienced in the construction and maintenance of roads for local or public authorities or private contractors.
- 1.12 Highly experienced in footpath and drainage construction and maintenance works.
- 1.13 At least 3-years practical management experience.

## 2. Desirable

- 2.1 Knowledge of local area and working conditions.
- 2.2 Working knowledge of Local Government law and meeting procedures.
- 2.3 Knowledge of Councils organisational structure and functions of Local Government.
- 2.4 At least 5-years practical work experience within the Infrastructure Services Directorate (assets and works) of a Local Government.
- 2.5 Knowledge in parks and gardens, horticultural and reticulation systems.
- 2.6 Knowledge in building maintenance.
- 2.7 Undertaken formal training/studies in supervision/management and/or road construction/maintenance field.
- 2.8 Knowledge of Synergy Soft accounting system.

## Salary Package

The following Salary Package is provided as a guide:-

Item	Min	Max
Cash Salary	110,000	130,000
Superannuation Guarantee (11%)	12,100	14,300
Superannuation Matching (up to 5%)	5,500	6,500
Motor Vehicle (unrestricted private use)	21,927	23,544
Executive Housing	15,600	1,700
Utility Allowance	3,660	3,660
Professional Development	1,700	1,700
Professional Membership	650	650
Uniform Allowance (includes PPE)	750	750
<b>Total</b>	<b>\$ 171,887</b>	<b>\$ 196,704</b>

### Annual Leave

Entitled to 5 weeks paid annual leave each year.

### Executive Leave

Entitled to 10 days leave year which will not be accumulative.

### Motor Vehicle

A Toyota Prado (or similar), to be provided for unrestricted private use and work purposes. If required, the vehicle will be used for Council business purposes by Council Staff and/or Councillors.

### Executive House

A spacious 4x2 executive home is provided (20 Cheetham Way).

### Communications

An appropriate laptop and mobile phone are provided.

### Utilities Allowance

The capped allowance is for electricity, internet connection and water.

### Relocation Allowance

Relocation costs of up to \$4,000 will be reimbursed upon provision of invoices and receipts.



# **ATTACHMENT 7.1H**

## **Complaints (Minor Breach) Register**



**ATTACHMENT 7.1I**  
**Council Policy – Council Member**  
**Professional Development**

# Council Policy

## Council Member Professional Development



### POLICY OBJECTIVES

To ensure that Council Members meet and comply with the prescribed professional development requirements under the Local Government Act 1995, and to further encourage participation in other conferences and training specifically designed to enhance skills and knowledge relating to roles and responsibilities, as a Council Member.

### POLICY SCOPE

Provides a framework to facilitate continuing professional development of Council Members.

### POLICY DETAIL

#### Council Member Professional Development

An annual budget allocation will be made for:

- Each Council Member to be used for individual Continuing Professional Development
- **Training specifically aimed at the development of the Shire President**
- Mandatory training for newly elected Council Members will be budgeted for outside of regular annual allocations.

Unexpended allocations at the end of a financial year will not be carried forward to the next financial year.

Council Members may select training and professional development to be funded from this allocation, subject to approval in accordance with this Policy.

Requests for Continuing Professional Development may be initiated by the Councillor and should be forwarded to the CEO prior to enrolment or registration.

Any professional development proposal that exceeds an individual Council Member's allocation will be referred to Council for a decision. Alternatively, the Council Member may choose to privately fund any shortfall. This will not be eligible for reimbursement from a future budget allocation.

#### Mandatory Council Member Training

Council Members are required to complete the Council Member Essentials Course within 12-months from the day on which they are elected, unless exempt under Regulation 36 of the Local Government (Administration) Regulations 1996.

Council's preferred provider for the training is WALGA (WA Local Government Association). It is Council's preference that the training is undertaken via the eLearning method, which is the most cost-efficient form of delivery.

All mandatory training units and associated costs will be paid for by the Shire.

# Council Policy

## Council Member Professional Development



It is acknowledged that there may be Councillors who prefer to undertake the mandatory training units face-to-face and/or opportunities to attend training, which is being delivered in the region or in the Perth metropolitan area, this training must be authorised by the CEO as being within budgetary constraints and practical.

### Formats and providers

The continuing professional development format must be reasonable and provided by a relevant industry recognised training provider, peak body, or professional organisation.

Continuing Professional Development must be relevant to the role of a Council Member and offer demonstrable benefit to the Council as a governing body, the Shire as an organisation, and the broader community.

### Request for Approval

Council Members who wish to attend training or professional development (not conferences) may make an application by providing the following details to the CEO in writing:

- Course or event title, provider or organiser name, location, and date.
- Copy of, or link to program, course outline or other summary of content.
- Total estimated costs including accommodation, travel, and sundry expenses.

Applications are to be submitted in reasonable time for registration. The Shire will seek to take advantage of reduced prices for early registration.

### Approval

Approval for Council Member attendance may be granted by the Chief Executive Officer where:

- the application complies with this policy.
- the event is to be held within Western Australia; and
- Council Member has sufficient funds available in their professional development allocation to meet all costs of attendance.

A resolution of the Council where:

- the application has been refused by the Chief Executive Officer.
- the application does not comply with this policy.
- the estimated costs of attendance exceed the available balance of the Council Member's annual professional development allocation; or
- the event is to be held outside of Western Australia.
- The application is for attendance at a conference.

# Council Policy

## Council Member Professional Development



### Event Registration and Bookings

Travel (by air), registration fees and accommodation are to be arranged directly by the Shire administration, generally through the office of the Chief Executive Officer. Council Members are not to pay such costs and seek reimbursement, except in the case of an emergency or unique circumstances and subject to the Chief Executive Officer's prior approval.

### Travel

Where travel is involved, the actual costs of travel to and from the event venue are to be met by the Shire in accordance with the current WA Salaries and Allowances Tribunal Determination for Local Government CEOs and Elected Members (the Determination).

Travel arrangements are to be by the most cost effective and reasonably convenient mode. Air travel is to be by Economy Class at a time that is convenient to the Council Member. As far as is practicable, tickets will be purchased well in advance, and take advantage of available discount fares.

A Council Member may seek approval to travel within Western Australia by private motor vehicle and be reimbursed for vehicle costs in accordance with the Determination. Approval may only be granted where the cost is approximately equivalent to the most cost-effective mode of travel.

A Council Member may choose to upgrade the mode of travel, however additional costs incurred are to be paid to the Shire by the Council Member before the Shire confirms the booking(s)

### Accommodation

Reasonable accommodation will be booked for the Council Member at, or in proximity, to the event venue. If it is not reasonable to expect travel to occur on the day of the event, the booking may allow for arrival the day prior to commencement, and departure the day following the close of the event.

A Council Member may choose to upgrade their accommodation standard or extend their visit for personal reasons, however additional costs are to be paid to the Shire by the Council Member (including any additional associated or travel costs) prior to the Shire confirming the booking.

### Meals and Incidental Expenses

Meals and incidental expenses will be paid by the Shire with reasonable meal expenses including the purchase of breakfast, lunch, and dinner where these meals are not provided otherwise provided. When meals are included and have been paid for as part of the registration

# Council Policy

## Council Member Professional Development



fee or accommodation costs, claims for alternative meals at venues other than the event will not to be paid by the Shire.

Incidental taxi, economy ride-share or public transport modes of transport (i.e., to / from airport, event venue) may be claimed for reimbursement on submission of receipts.

Incidental expenses incurred from accessing products in the accommodation /room mini bar will not be paid by the Shire and should be paid for by the Council Member on departing the venue.

### Travel Insurance – Intrastate and Interstate

Subject to policy wording and conditions, Council Members are covered by the Shire's corporate travel protection for the duration of their travel relevant to attendance at the approved event, including any incidental private travel taken either side or during the event.

Council Members should review the conditions of the Shire's corporate travel protection policy and member certificate to determine whether it is adequate for their personal needs and circumstances, and so that the Shire and/or the Council Member can make any necessary alternative arrangements.

### Accompanying persons/entertainment costs

Where partners accompany the Council Member the Shire will cover the cost of accommodation, breakfast, lunch and dinners and conference related dinners attended by partners. Costs associated with attendance at 'partners program' events will not be paid for by the Shire, with the Council Member reimbursing the Shire these costs.

### Loyalty Program and Reward Points

Council Members are not to obtain personal benefit from expenditure of Shire funds and must not claim personal frequent flyer or accommodation loyalty points for air travel or accommodation paid for by the Shire.

### WALGA Conference

Council wishes to have representation at the WALGA Annual Local Government Week Conference each year. It is Council's preference that this conference is attended by the President, Deputy President, CEO and one other councillor to ensure representation but limit costs to a reasonable level, however actual attendees will be determined each year. Councillors are encouraged to attend the WALGA Annual Local Government Week Conference at least once during their four (4) year term.

# Council Policy

## Council Member Professional Development



### Report on training

The Shire is required to produce a report detailing the training completed by Council Members during each financial year, in accordance with s.5.127 of the Act. And place it on the Shire's website within one month of the end of the financial year.

### Policy Review

In accordance with s.5.128 of the Act, this policy will be provided for the Council's review following each ordinary election. The Shire will ensure the policy review occurs within the first six (6) months following each ordinary election.

### **DEFINITIONS**

CEO – the Shire of Narembreen's Chief Executive Officer or an officer subsequently delegated to manage this function by the Chief Executive Officer.

Council – the Shire of Narembreen Council

Council Member – a person duly elected to the office of Councillor for the Shire of Narembreen.

### **RELATED LEGISLATION**

*Local Government Act 1995*

*Local Government Legislation Amendment Act 2019 Section 5.127 & 5.128*

### **OTHER RELATED POLICIES/KEY DOCUMENTS**

- Councillor Code of Conduct April 2021
- Councillor, Chief Executive Officer, and Employee Attendance at Events

### **DELEGATED AUTHORITY**

Not applicable

### **REVIEW DATE**

December 2023

### **HISTORY**

Adopted:	15 July 2020	MIN: 7079/20
Reviewed:	16 May 2023	MIN: 7596/23
Reviewed:		MIN:



# **ATTACHMENT 7.1J**

## **Tender Register**



# Tender Register

Reference Number	Council Decision / Delegation to Call Tender	Status	Tender Title and Description	Expression of Interest	Public Notice Details	Tenderers	Opened in the Presence of	Successful tenderer	Value
RFT 02/2021	Delegation A.6	Awarded	Upgrade of Narembeen Apex Park	NA	The West Australian	Reality Landscapes Linga Constructions Phoenix Landscaping Services Pty Ltd	David Blurton - Chief Executive Officer Tamara Clarkson - Executive Manager Corporate Services Sheree Thomas - Community and Economic Development Officer	Reality Landscaping	\$265,135 (ex GST)
RFT 03/2021	Delegation A.6	Awarded	Latham Road Widening and Safety Improvements	NA	The West Australian 13 and 20 November 2021	WCP Civil Pty Ltd	David Blurton - Chief Executive Officer Diana Blacklock - Economic Development Officer	WCP Civil Pty Ltd	\$1,217,793 (ex GST) Subject to negotiation
RFT 04/2021	Delegation A.6	Not Awarded	Kondinin-Narembeen Road - Overlay and Widening	NA	The West Australian 20 and 27 November 2021	WCP Civil Pty Ltd	David Blurton - Chief Executive Officer	Nil	
RFT 05/2021	Delegation A.6	Awarded	Restoration Narembeen Public Hall	NA	The West Australian, 4 December 2021	Hi Constructions Pty Ltd Budo Group Pty Ltd	David Blurton - Chief Executive Officer Diana Blacklock - Economic Development Officer	Budo Group Pty Ltd	\$240,258
RFT 06/2021	Delegation A.6	Awarded	Old Church Museum refurbishment	NA	The West Australian	Hi Constructions Pty Ltd Budo Group Pty Ltd	David Blurton - Chief Executive Officer Diana Blacklock - Economic Development Officer	Budo Group Pty Ltd	\$235,815
RFT 01/2022	Delegation A.6	Not Awarded	Provision of Medical Services to the Narembeen Community	NA	The West Australian 20 August 2022 Rural Health West	Nil			
RFT 01/2023	Delegation A.6	Awarded	Provision of Medical Services to the Narembeen Community	NA	The West Australian 17 June 2023	Livingston Medical Pty Ltd	Paul Sheedy - Acting Chief Executive Officer	Livingston Medical Pty Ltd	\$280,000 – \$300,000
RFT 02/2023	Delegation A.6	Awarded	Provision of Engineering and Technical Services for the Shire of Narembeen	NA	The West Australian – 12 August 2023	JJ Ryan Consulting GHD Porter Consulting Engineers Talis Consulting SMEC Prism Contracting & Consulting WML Consultants KEAust	Paul Sheedy - Acting Chief Executive Officer Ben Forbes - Executive Manager Corporate Services	SMEC	Hourly rate per pricing schedule \$110 to \$269.50 per hour Accommodation, meals \$211.75 per person/ per day and vehicle hire \$220.00 per day

**ATTACHMENT 7.1K**  
**Documented Correspondence to Tenderers**

Name	Date modified	Type	Size
RFT 0223 Provision of Engineering and Technical Services for Shire of Narembeen - GHD Pty Ltd	03/10/2023 11:31 AM	Microsoft Word D...	166 KB
RFT 0223 Provision of Engineering and Technical Services for Shire of Narembeen - GHD Pty Ltd	03/10/2023 11:32 AM	Adobe Acrobat D...	184 KB
RFT 0223 Provision of Engineering and Technical Services for Shire of Narembeen - JJ Ryan Consulting	03/10/2023 12:03 PM	Microsoft Word D...	165 KB
RFT 0223 Provision of Engineering and Technical Services for Shire of Narembeen - JJ Ryan Consulting	03/10/2023 12:03 PM	Adobe Acrobat D...	185 KB
RFT 0223 Provision of Engineering and Technical Services for Shire of Narembeen - Kercheval Engineering Pty Ltd	03/10/2023 12:37 PM	Microsoft Word D...	166 KB
RFT 0223 Provision of Engineering and Technical Services for Shire of Narembeen - Kercheval Engineering Pty Ltd	03/10/2023 12:37 PM	Adobe Acrobat D...	192 KB
RFT 0223 Provision of Engineering and Technical Services for Shire of Narembeen - Porter Consulting Engineers	03/10/2023 12:06 PM	Microsoft Word D...	165 KB
RFT 0223 Provision of Engineering and Technical Services for Shire of Narembeen - Porter Consulting Engineers	03/10/2023 12:07 PM	Adobe Acrobat D...	187 KB
RFT 0223 Provision of Engineering and Technical Services for Shire of Narembeen - Prism CC Pty Ltd	04/10/2023 12:03 PM	Microsoft Word D...	166 KB
RFT 0223 Provision of Engineering and Technical Services for Shire of Narembeen - Prism CC Pty Ltd	04/10/2023 12:03 PM	Adobe Acrobat D...	191 KB
RFT 0223 Provision of Engineering and Technical Services for Shire of Narembeen - Prism Contracting and Consultants Pty Ltd	04/10/2023 12:02 PM	Microsoft Word D...	166 KB
RFT 0223 Provision of Engineering and Technical Services for Shire of Narembeen - SMEC Australia	03/10/2023 12:09 PM	Microsoft Word D...	166 KB
RFT 0223 Provision of Engineering and Technical Services for Shire of Narembeen - SMEC Australia	03/10/2023 12:10 PM	Adobe Acrobat D...	187 KB
RFT 0223 Provision of Engineering and Technical Services for Shire of Narembeen - Talis Consultants	03/10/2023 12:14 PM	Microsoft Word D...	165 KB
RFT 0223 Provision of Engineering and Technical Services for Shire of Narembeen - Talis Consultants	03/10/2023 12:14 PM	Adobe Acrobat D...	188 KB
RFT 0223 Provision of Engineering and Technical Services for Shire of Narembeen - WML Consultants Pty Ltd	26/10/2023 12:09 PM	Microsoft Word D...	165 KB
RFT 0223 Provision of Engineering and Technical Services for Shire of Narembeen - WML Consultants Pty Ltd	03/10/2023 12:17 PM	Adobe Acrobat D...	186 KB
RFT02-2023 - Successful Letter - SEMC	26/10/2023 12:36 PM	Microsoft Word D...	165 KB
RFT02-2023 - Successful Letter - SEMC	26/10/2023 12:39 PM	Adobe Acrobat D...	170 KB
RFT-022023 - Unsuccessful Letter - GHD	26/10/2023 11:51 AM	Microsoft Word D...	149 KB
RFT-022023 - Unsuccessful Letter - GHD	26/10/2023 11:44 AM	Adobe Acrobat D...	163 KB
RFT-022023 - Unsuccessful Letter - JJ Ryan Consulting	26/10/2023 11:51 AM	Adobe Acrobat D...	166 KB
RFT-022023 - Unsuccessful Letter - Prism CC Pty Ltd	26/10/2023 12:04 PM	Microsoft Word D...	150 KB
RFT-022023 - Unsuccessful Letter - Prism CC Pty Ltd	26/10/2023 12:02 PM	Adobe Acrobat D...	164 KB
RFT-022023 - Unsuccessful Letter - Talis Consultants	26/10/2023 12:07 PM	Microsoft Word D...	150 KB
RFT-022023 - Unsuccessful Letter - Talis Consultants	26/10/2023 12:07 PM	Adobe Acrobat D...	166 KB
RFT-022023 - Unsuccessful Letter - WML Consultants	26/10/2023 12:23 PM	Microsoft Word D...	150 KB
RFT-022023 - Unsuccessful Letter - WML Consultants	26/10/2023 12:22 PM	Adobe Acrobat D...	165 KB
RFT-022023 - Unsuccessful Letter - JJ Ryan Consulting	26/10/2023 11:53 AM	Microsoft Word D...	165 KB
RFT-022023 - Unsuccessful Letter - Kercheval Engineering	26/10/2023 11:57 AM	Microsoft Word D...	149 KB
RFT-022023 - Unsuccessful Letter - Kercheval Engineering	26/10/2023 11:56 AM	Adobe Acrobat D...	164 KB
RFT-022023 - Unsuccessful Letter - Porter Consulting Services	26/10/2023 12:01 PM	Microsoft Word D...	150 KB
RFT-022023 - Unsuccessful Letter - Porter Consulting Services	26/10/2023 12:00 PM	Adobe Acrobat D...	165 KB

**ATTACHMENT 7.2A**  
**Audit and Risk Committee Terms of Reference**



# **AUDIT & RISK COMMITTEE**

## **Terms of Reference**

**February 2024**

## Purpose

Section 7.1A of the *Local Government Act 1995* (the Act) requires that all local governments establish an Audit & Risk Committee (“the Committee”). The Committee plays a key role in 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 internal and external audit functions.

This Terms of Reference (“TOR”) sets out the objectives, authority, membership, role, responsibilities, and operation of the Committee.

## Objectives

The objectives of the Committee is to facilitate :

1. the enhancement of the credibility and objectivity of financial reporting.
2. the effective management of financial and other risks and the protection of Council assets;
3. compliance with laws and regulations as well as the use of best practice guidelines relative to audit, risk management, internal control, and legislative compliance;
4. the scope of work, objectivity, performance, and independence of the external and internal auditors;
5. the process and systems which protect against fraud and improper activities; and
6. the provision of an effective means of communication between the external auditor, internal auditor, the CEO and Council.

## Role & Responsibilities

The Committee is a formally appointed committee of Council. The Committee has the responsibility to:

1. review the internal and external auditor’s annual audit plans and the outcomes/results of all audits undertaken;
2. request the CEO to seek information or advice in relation to matters considered by the Committee;
3. formally meet with internal and external auditors as necessary;
4. make recommendations to the Council with regards to matters within its scope of responsibility.

## Membership

Section 7.1A of the *Local Government Act 1995* states the members of the Committee are to be appointed\* by the local government and at least 3 of the members, and where the Committee consists of more than 3 members then the majority of those members, are to be Councillors. \**Absolute Majority required*

The CEO is not to be a member of the Committee and may not nominate a person to be a member of the Committee, or have a person represent the CEO as a member of the Committee. Similarly, an employee is not to be a member of the Committee.

As a minimum, the Shire’s Committee will consist of 4 members, being 3 Councillors and 1 external representative. The terms of the appointment should be arranged to ensure an orderly rotation and continuity of membership despite changes to Council’s elected members.

All members will have full voting rights. In the event of a tie the Chairperson will have the casting vote.

The appointment of external members shall be based on the following criteria:

1. a suitably experienced person who can demonstrate knowledge in financial management, risk management, governance and audit (internal and external);
2. have an understanding of the duties and responsibilities of the position, ideally with respect to local government financial reporting and auditing requirements;
3. have strong communication skills;
4. have relevant skills and experience in providing independent audit advice; and
5. be a person with no operating responsibilities with the Shire nor provide paid services to the Shire either directly or indirectly.

The appointment and re-appointment of external members shall be made by Council by way of invitation and be for a period of up to 4 years. External members will not be appointed for more than three consecutive terms.

External members will be required to confirm they will operate in accordance with the Shire’s Code of Conduct and will be required to follow Council’s policies pertaining to the Committee operations.

Council may, by resolution, terminate the appointment of any external member prior to the expiry of their term if:

1. the Committee, by majority decision, determines the member is not making a positive contribution to the Committee; or
2. the member is found to be in breach of the Shire's Code of Conduct or a serious contravention of the *Local Government Act 1995*; or
3. a member's conduct, action or comments brings the Shire into disrepute.

The Chairperson of the Committee is to be appointed by majority vote of the Committee. The Chairperson can be a Councillor or an external member.

The members, taken collectively, will have a broad range of skills and experience relevant to the operations of the Shire.

Reimbursement of approved expenses may be paid to an external member in accordance with Section 5.10 of the *Local Government Act 1995*.

The CEO, Executive Manager Corporate Services and/or their nominee is to attend meetings to provide advice and guidance to the Committee.

The Shire shall provide secretarial and administrative support to the Committee.

A quorum will be a majority of members.

New members will receive relevant information and briefings on their appointment to assist them meet their Committee responsibilities.

## Meetings

The Committee will meet at least quarterly, with additional meetings convened as required at the discretion of the Chairperson or at the request of the CEO.

The Committee meetings shall be "Closed" and therefore not open to the public.

Elected members of the Shire may attend each Committee meeting.

Committee members are expected, where possible, to attend each meeting in person. Where attendance in person is not possible, in accordance with Regulation 14A of the *Local Government (Administration) Regulations 1996*, the Committee may, by resolution\*, allow a member to attend the meeting via telephone or other means of instantaneous communication.

*\*Absolute Majority required*

## Notice of Meeting and Agenda

The CEO or their delegate will administratively coordinate the convening of meetings of the Committee and invite members of management, internal and external auditors or others to attend meetings as observers and to provide relevant information as necessary.

Unless otherwise agreed, notice of each meeting confirming the venue, time and date, together with an agenda of items to be discussed shall be provided to each member of the Committee no later than 72 hours prior to the meeting. Associated meeting papers are to be provided at the same time.

## Minutes of Meetings

The Office of the Chief Executive Officer will facilitate the administrative support for the meeting, including as a minute taker for the meeting.

Minutes will be taken at each meeting and be presented to the subsequent meeting for confirmation. Minutes will include the proceedings and resolutions of the meeting including the names of those in attendance.

The Chairperson shall ascertain, at the beginning of each meeting, the existence of any conflicts of interest and minute them accordingly. Conflicts of Interest will be managed in accordance with the Shire's policies and the *Local Government Act 1995*.

Minutes of Committee meetings shall be circulated promptly to all members of the Committee.



Minutes of Committee meetings shall be presented to the next Ordinary Council Meeting, with any recommendations from the Committee to be considered by Council by way of a separate agenda item.

Other than confidential papers and attachments, agendas and minutes of the Committee will be made publicly available on the Shire's website in accordance with Section 5.96A of the *Local Government Act 1995*.

## Functions

Regulation 16 of the *Local Government (Audit) Regulations 1996* defines the functions of an Audit Committee as:

- “(a) to guide and assist the local government in carrying out —
  - (i) its functions under Part 6 of the Act; and
  - (ii) its functions relating to other audits and other matters related to financial management;
- (b) to guide and assist the local government in carrying out the local government's functions in relation to audits conducted under Part 7 of the Act;
- (c) to review a report given to it by the CEO under regulation 17(3) (the CEO's report) and is to —
  - (i) report to the council the results of that review; and
  - (ii) give a copy of the CEO's report to the council;
- (d) to monitor and advise the CEO when the CEO is carrying out functions in relation to a review under —
  - (i) regulation 17(1); and
  - (ii) the *Local Government (Financial Management) Regulations 1996* regulation 5(2)(c);
- (e) to support the auditor of the local government to conduct an audit and carry out the auditor's other duties under the Act in respect of the local government;
- (f) to oversee the implementation of any action that the local government —
  - (i) is required to take by section 7.12A(3); and
  - (ii) has stated it has taken or intends to take in a report prepared under section 7.12A(4)(a); and
  - (iii) has accepted should be taken following receipt of a report of a review conducted under regulation 17(1); and
  - (iv) has accepted should be taken following receipt of a report of a review conducted under the *Local Government (Financial Management) Regulations 1996* regulation 5(2)(c);
- (g) to perform any other function conferred on the audit committee by these regulations or another written law.”

In addition to the above the Committee's other functions include:

### External Audits

1. Provide guidance and assistance to Council as to the carrying out of the functions of the Shire in relation to external audits.
2. Provide an opportunity for the Committee to meet with the external auditors to discuss any matters that the Committee or the external auditors believe should be discussed.
3. Meet with the auditor annually to receive the audit report and make a recommendation to Council with respect to that report.
4. Examine the reports of the auditor after receiving a report from the CEO on the matters to:
  - a. Determine if any matters raised require action to be taken by the Shire; and
  - b. Ensure that appropriate action is taken in respect of those matters.
5. Consider and recommend adoption of the Annual Report to Council. Review any significant changes that may arise subsequent to any such recommendation but before the Annual Report is signed.
6. Address issues brought to the attention of the Committee, including responding to requests from Council for advice that is within the parameters of the Committee's TOR.

*Note: The Office of the Auditor General will be responsible for conducting external audits.*

## Internal Audits

1. Provide guidance and assistance to Council as to the carrying out of the functions of the local government in relation to internal audits.
2. Review and recommend the annual internal audit plan for endorsement by the Council and all major changes to the plan. Monitor that the internal auditor's annual plan is linked with and covers the material business strategic risks and themes.
3. Monitor processes and practices to ensure that the independence of the internal audit function is maintained.
4. Annually review the performance of internal audits including the level of satisfaction with the internal audit function.
5. Review all internal audit reports and provide advice to Council on significant issues (i.e. high and extreme) identified in audit reports and the action to be taken on issues raised, including identification and dissemination of good practice.
6. Monitor management's implementation of internal audit recommendations.
7. Receive the findings of special internal audit assignments undertaken at the request of Council or CEO.
8. Review the annual Compliance Audit Return and report to Council the results of that review in accordance with Section 7.13(1)(i) of the *Local Government Act 1995*.
9. Consider the CEO's Biennial Reviews of the appropriateness and effectiveness of the Shire's systems and procedures in regard to risk management, internal control and legislative compliance, required to be provided to the Committee, and report to Council the results of those reviews in accordance with Regulation 17 of the *Local Government (Audit) Regulations 1996*.
10. Oversee the process of developing and implementing the Shire's fraud control arrangements to assist Council in ensuring it has appropriate processes and systems in place to detect, capture and effectively respond to fraud and improper activities.
11. Consider the financial management systems and procedures in accordance with Regulation 5(2) of the *Local Government (Financial Management) Regulations 1996* within the statutory timeframes.

## Risk Management

1. Ensure that management has in place a current and comprehensive enterprise Risk Management Framework and associated procedures for effective identification and management of Shire's business and financial risks.
2. Determine whether a sound and effective approach has been followed in managing the Shire's major risks including those associated with individual projects, program implementation, and activities.
3. Ensure the Shire identifies, reviews and regularly updates the strategic and operational risk profiles.
4. Understand and endorse the Shire's risk appetite.
5. Oversee the periodic review of the Risk Management Framework.

## Business Continuity

1. Ensure a sound and effective approach has been followed in establishing the Shire's business continuity planning arrangements, including whether business continuity and disaster recovery plans have been periodically updated and tested.
2. Oversee the periodic review of the Business Continuity Framework.

## Financial Reporting

1. Review significant accounting and reporting issues, recent accounting, professional and regulatory pronouncements and legislative changes, and understand their effect on the financial report.
2. Review with management and the external auditors the results of the audit, including any difficulties encountered.
3. Review the Annual Financial Statements forming part of the Shire's Annual Report and consider whether it is complete, consistent with information known to Committee members, and reflects appropriate accounting principles.
4. Review with management and the external auditors all matters required to be communicated to the Committee under the Australian Auditing Standards.
5. Recommend the adoption of the Annual Financial Statements forming part of the Annual Report to Council.

## Internal Control

1. Ensure management's approach to maintaining an effective Internal Control Framework is sound and effective.

## Audit & Risk Committee Terms of Reference

2. Ensure management has in place relevant policies and procedures, including CEO's Instructions or their equivalent, and that these are periodically reviewed and updated.
3. Ensure appropriate processes are in place to assess, at least once a year, whether key policies and procedures are complied with.
4. Ensure appropriate policies and supporting procedures are in place for the management and exercise of delegations.
5. Review how management identifies any required changes to the design or implementation of key internal controls.

## Fraud & Corruption Prevention

1. Oversee the process of developing and implementing the Shire's fraud control arrangements to assist Council in ensuring it has appropriate processes and systems in place to detect, capture and effectively respond to fraud and improper activities.
2. Receive and consider information and advice presented by the CEO on the strategies and controls to manage fraud and corruption risks at the Shire.
3. Provide oversight over the Shire's exposure and issues raised in relation to fraud and corruption.

## Legislative Compliance

1. Oversee the effectiveness of the systems for monitoring compliance with relevant laws, regulations and associated government policies.

## Other Responsibilities

1. Monitor the progress of the implementation of external audit recommendations made by the auditor, which have been accepted by the Shire.
2. Receive recommendations arising from reviews of local government systems and procedures.
3. At least once every two years review and assess the adequacy of the Committee's TOR, request Council approval for proposed changes, and ensure appropriate disclosure as required by legislation or regulation.

**ATTACHMENT 7.3A**  
**Risk Dashboard Quarterly Report**  
**February 2024**

## Shire of Narembeen Risk Dashboard Report - February 2024

<u>Misconduct</u>		Risk	Control
		Moderate	Adequate
Current Issues / Actions / Treatments	Due Date	Responsibility	
Review Code of Conduct(s)	Apr-24	EMCS	
ICT Plan - Perform Annual Review	Jun-24	EMCS	
Conduct FMR Review & Regulation 17	Apr-24	EMCS	

<u>Business &amp; Community Disruption</u>		Risk	Control
		Moderate	Inadequate
Current Issues / Actions / Treatments	Due Date	Responsibility	
#REF!	#REF!	#REF!	
Business Continuity Plan - Conduct Annual Review	Jan-25	EMCS	
	Sep-24	CEO	

<u>Inadequate Environmental Management</u>		Risk	Control
		Moderate	Adequate
Current Issues / Actions / Treatments	Due Date	Responsibility	
Identify Strategy to Remove Illegal Dumped Material (near workers camp)	Dec-24	EHO	
Review Diesel Storage System (to ensure compliance)	Mar-25	EMCS	
	<i>Dec-25</i>	<i>CEO / EMCS</i>	

<u>Errors, Omissions &amp; Delays</u>		Risk	Control
		High	Inadequate
Current Issues / Actions / Treatments	Due Date	Responsibility	
Conduct Staff Inductions	As Required	Senior Management	
Develop Annual Training Plan 2024/2025	Jun-24	Senior Management	
Develop Customer Service Charter	Jun-24	CEO / EMCS	

<u>External Theft &amp; Fraud (inc. Cyber Crime)</u>		Risk	Control
		Moderate	Adequate
Current Issues / Actions / Treatments	Due Date	Responsibility	
#REF!	#REF!	#REF!	
Conduct Key Audit (staff access)	Oct-24	EMCS	
#REF!	#REF!	#REF!	

<u>Failure of IT &amp;/or Communication Systems and Infrastructure</u>		Risk	Control
		Moderate	Adequate
Current Issues / Actions / Treatments	Due Date	Responsibility	
ICT Plan - Perform Annual Review	Jun-24	EMCS	
Develop Communication and Power Outage Response Plan	Jun-24	CEO / EMCS	
Review ICT Replacement Program			

<u>Failure to Fulfil Statutory, Regulatory or Compliance Requirements</u>		Risk	Control
		Moderate	Adequate
Current Issues / Actions / Treatments	Due Date	Responsibility	
Conduct Financial Management Review	Apr-24	EMCS	
Conduct CEO Regulation 17 Review	Apr-24	EMCS	
Documenting Human Resource Management Framework	Mar-25	CEO / EMCS	

<u>Inadequate Safety and Security Practices</u>		Risk	Control
		Moderate	Not Rated
Current Issues / Actions / Treatments	Due Date	Responsibility	
Conduct Security Access for Shire Buildings Audit	Jun-24	EMIS	
Conduct WHS Framework Review	Dec-24	CEO	
Documenting Human Resource Management Framework	Mar-25	CEO / EMCS	

## Shire of Narembeen Risk Dashboard Report - February 2024

<u>Providing Inaccurate Advice / Information</u>		Risk	Control
		Moderate	Adequate
Current Issues / Actions / Treatments	Due Date	Responsibility	
Develop 2024-2025 Staff Training Plan	May-24		
Review Complaints Handling Process	Dec-24		
Review Complaints Register	Dec-24	CEO	

<u>Inadequate Document Management Processes</u>		Risk	Control
		High	Inadequate
Current Issues / Actions / Treatments	Due Date	Responsibility	
Review Information Management Framework	Jun-25	EMCS	
Record Keeping Plan Reviewed	Jun-25	EMCS	
Document Governance Framework	Mar-25	CEO	

<u>Inadequate Engagement Practices</u>		Risk	Control
		Moderate	Adequate
Current Issues / Actions / Treatments	Due Date	Responsibility	
Conduct Community Satisfaction Survey	Jun-24	CEO	
Review Complaints Handling Process	Dec-24	CEO	
Review Complaints Register	Dec-24	CEO	

<u>Inadequate Asset Sustainability Practices</u>		Risk	Control
		Moderate	Adequate
Current Issues / Actions / Treatments	Due Date	Responsibility	
Develop 2024/25 Building Maintenance Program	May-24	EMIS	
Develop 2024/25 Construction and Road Maintenance Program	May-24	EMIS	
#REF!	Dec-25	EMIS	

<u>Ineffective Employment Practices</u>		Risk	Control
		Moderate	Adequate
Current Issues / Actions / Treatments	Due Date	Responsibility	
Documenting Human Resource Management Framework	Mar-25	CEO / EMCS	
Performance Reviews Conducted	Apr-24	Senior Management	
Review Workforce Plan	Jul-24	CEO	

<u>Inadequate Project / Change Management</u>		Risk	Control
		Moderate	Adequate
Current Issues / Actions / Treatments	Due Date	Responsibility	
Document Project Management Methodolgy and Framework	Dec-24	Senior Management	
Document Communication and Engagement Framework	Aug-24	CEO	

<u>Inadequate Supplier / Contract Management</u>		Risk	Control
		Moderate	Adequate
Current Issues / Actions / Treatments	Due Date	Responsibility	
Develop Standardised Contracts	Dec-24	EMCS	
Financial Controls Documented	Dec-24	EMCS	
Develop Centralised Contract Management System	Dec-24	CEO	

<u>Ineffective Management of Facilities / Venues / Events</u>		Risk	Control
		Moderate	Inadequate
Current Issues / Actions / Treatments	Due Date	Responsibility	
Document Event Management Framework	Jun-25	EMCS	
Document Facilities Booking Framework	May-24	EMCS	
Review Asset Management Plan	Aug-24	EMCS	
Develop 2024/25 Building Maintenance Program	Jun-24	EMIS	
Develop Reserve Management Plan	Dec-25	EMIS	
#REF!	#REF!	#REF!	

## Business & Community Disruption

Feb-24

### Risk Context

Failure to adequately prepare and respond to events that cause disruption to the local community and / or normal Shire business activities. The event may result in damage to buildings, property, plant & equipment (all assets). This could be a natural disaster, weather event, or an act carried out by an external party (inc. vandalism). This includes;

- Lack of (or inadequate) emergency response / business continuity plans.
- Lack of training to 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

Cyclone / Storm Surge / Fire / Earthquake	Extended Communication &/or Power Outage
Terrorism / Sabotage / Criminal Behaviour	Economic Factors
Epidemic / Pandemic	Loss of Key Staff

Key Controls	Type	Date	Rating
Business Continuity Response Plan	Preventative	Jun-22	Adequate
Emergency Management & Training	Preventative	Unknown	Not Rated
LEM Exercises	Detective	Jun-22	Inadequate
LEMA & Recovery Plans	Recovery	Jun-22	Inadequate
ICT Plan 2020 - 2025	Preventative	Jun-22	Adequate
Strategic Resource Plan	Preventative	Jun-18	Inadequate

**Overall Control Rating** Inadequate

Risk Ratings	Rating
<b>Consequence:</b>	Catastrophic
<b>Likelihood:</b>	Rare
<b>Overall Risk Rating</b>	<b>Moderate</b>

Key Indicators	Tolerance	Latest Result	Comment
BCP Training Exercises Undertaken	1 per annum	Not Rated	To be scheduled
LEMC Training Exercises Undertaken	1 per annum	Not Rated	Exercise performed Jun 2022
LEMC Meetings Convened	4 per annum	1	2 meetings convened in 2023
ICT Health Checks Performed	Quarterly	1	Check performed Jan 2025
Business Continuity Plan Reviewed	Annually	N/A	Scheduled for Jan 2025

### Comments

Key indicators for Emergency Management & Training to be identified

Actions / Current Issues / Treatments	Due Date	Responsible Manager
Business Continuity Plan - Conduct Annual Review	Jan-25	EMCS
ICT Plan - Perform Annual Review	Jun-24	EMCS
Develop Communication and Power Outage Response Plan	Jun-24	CEO / EMCS
Emergency Management & Training - Conduct Review	Sep-24	CEO

# Failure of IT &/or Communication Systems and Infrastructure

Feb-24

## Risk Context

Instability, degradation of performance, or other failure of IT Systems, Infrastructure, Communication or Utility 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
- IT Network
- Failures of IT Vendors

This also includes where poor governance results in the breakdown of IT maintenance such as;

- Configuration management
- Performance Monitoring
- IT Incident, Problem Management & Disaster Recovery Processes

This does not include new system implementations - refer "Inadequate Project / Change Management".

## Potential Causes

Weather Impacts	Communications & Power Failure
Power outage at service provider	Infrastructure breakdown such as landlines, radio communications.
Out dated / inefficient hardware	Lack of training
Incompatibility between operating system and Microsoft	Software vulnerability (eg. MS Access)

Key Controls	Type	Date	Rating
Data Back-Up Systems	Recovery	Daily	Adequate
UPS	Preventative / Recovery	Unknown	Inadequate
ICT Management Service Agreement	Preventative	Mar-23	Adequate
ICT Plan 2020 - 2025	Preventative	Jun-22	Adequate
ICT Replacement Program	Preventative	Dec-23	Adequate

<b>Overall Control Rating</b>	<b>Adequate</b>
-------------------------------	-----------------

Risk Ratings	Rating
<i>Consequence:</i>	Moderate
<i>Likelihood:</i>	Possible

<b>Overall Risk Rating</b>	<b>Moderate</b>
----------------------------	-----------------

Key Indicators	Tolerance	Latest Result	Comment
ICT Health Checks Performed	Quarterly	1	January check performed Jan 25
ICT Disaster Recovery Test Performed	Annually	Not Rated	Last tested March 2023
Number of Cyber Breaches	Nil	Nil	

## Comments

Actions / Current Issues / Treatments	Due Date	Responsible Manager
ICT Plan - Perform Annual Review	Jun-24	EMCS
Review ICT Replacement Program	Dec-24	EMCS
Source Quote for ICT Disaster Recovery Test	Jun-24	EMCS
Develop Communication and Power Outage Response Plan	Jun-24	CEO / EMCS
Investigate Replacement of Telephone System	Dec-24	EMCS



## External Theft & Fraud (inc. Cyber Crime)

Feb-23

Risk Context
Loss of funds, assets, data or unauthorised access, (whether attempts or successful) by external parties, through any means (including electronic), for the purposes of; <ul style="list-style-type: none"> <li>• Fraud – benefit or gain by deceit</li> <li>• Malicious Damage – hacking, deleting, breaking or reducing the integrity or performance of systems</li> <li>• Theft – stealing of data, assets or information (no deceit)</li> </ul> Examples include: <ul style="list-style-type: none"> <li>• Scam Invoices</li> <li>• Cash or other valuables from 'Outstations</li> </ul>

Potential Causes	
Inadequate security of equipment / supplies / cash	Inadequate provision for patrons belongings
Robbery	Lack of Supervision
Scam Invoices	

Key Controls	Type	Date	Rating
Security Access for Shire Buildings	Preventative	Nov-18	Adequate
ICT Plan 2020 - 2025	Preventative	Nov-18	Adequate
Financial Management Framework	Preventative	Dec-23	Adequate

<b>Overall Control Rating</b>	<b>Adequate</b>
-------------------------------	-----------------

Risk Ratings	Rating
<i>Consequence:</i>	Moderate
<i>Likelihood:</i>	Unlikely
<b>Overall Risk Rating</b>	<b>Moderate</b>

Key Indicators	Tolerance	Latest Result	Comment
Number of Thefts or Fraud	Nil	Nil	
Detected Non Compliant Procurement Processes	< 5	Not Rated	Scheduled to commence in July 2024
Cash Handling Processes	Documented	Not Rated	Due April 2024

Comments

Actions / Current Issues / Treatments	Due Date	Responsible Manager
Conduct Key Audit (staff access)	Oct-24	EMCS
Documenting Cash Handling Processes	Apr-24	EMCS

# Misconduct

Feb-24

## Risk Context

Intentional activities in excess of authority granted to an employee, 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
- Collusion between Internal & External parties

This does not include instances where it was not an intentional breach - refer Errors, Omissions or Delays, or Inaccurate Advice / Information.

## Potential Causes

Lack of Induction and Training	Lack of Clarity of Role
Changing of Job Titles and Responsibilities	Poor Internal Controls and Systems
Delegated Authority Process Inadequately Implemented	Password Sharing
Covering Up Poor Work Performance and/or Non-Compliance	Beaching of Code of Conduct
Disgruntled Employees	Poor Enforcement of Policies and Procedures

Key Controls	Type	Date	Rating
Delegation Framework	Detective	Nov-18	Adequate
ICT Plan 2020 - 2025	Preventative	Jun-22	Adequate
Employee Code of Conduct	Preventative	Nov-21	Adequate
Elected Member Code of Conduct	Preventative	Nov-21	Adequate
Financial Management Framework	Preventative	Not Documented	Adequate
Human Resource Management Framework	Preventative	Not Documented	Adequate
External Audit	Detective	Dec-23	Effective
Regulatory Declarations	Detective	Ongoing	Effective

<b>Overall Control Rating</b>	<b>Adequate</b>
-------------------------------	-----------------

Risk Ratings	Rating
<b>Consequence:</b>	Major
<b>Likelihood:</b>	Unlikely
<b>Overall Risk Rating</b>	<b>Moderate</b>

Key Indicators	Tolerance	Latest Result	Comment
External Audit Findings (Misconduct Related)	Nil	Nil	
Detected Non Compliant Procurement Processes	< 5	Not Rated	Scheduled to commence July 2024
Breaches of Code of Conduct	Nil	Nil	
Proven Internal & External Complaints (Major or Minor)	Nil	Nil	

## Comments

Actions / Current Issues / Treatments	Due Date	Responsible Manager
Review Code of Conduct(s)	Apr-24	EMCS
ICT Plan - Perform Annual Review	Jun-24	EMCS
Conduct Annual Review of Delegation Framework	Jun-24	CEO / EMCS
Conduct FMR Review & Regulation 17	May-24	CEO / EMCS
Documenting Human Resource Management Framework	Mar-25	CEO / EMCS
Documenting Cash Handling Processes	Apr-24	EMCS

# Inadequate Safety and Security Practices

Feb-24

## 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:

- 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 security protection measures in place for buildings, depots and other places of work (vehicle, community etc).
- Public Liability Claims, due to negligence or personal injury.
- Employee Liability Claims due to negligence or personal injury.
- Inadequate or unsafe modifications to plant & equipment

## Potential Causes

Lack of appropriate PPE / Equipment	Inadequate signage, barriers or other exclusion techniques
Inadequate first aid supplies or trained staff	Storage and use of Dangerous Goods
Rubbish / Litter Control	Ineffective / inadequate testing, sampling (similar) health based req'
Inadequate security arrangements	Lack of mandate and commitment from Senior Management

Key Controls	Type	Date	Rating
Security Access for Shire Buildings	Preventative	Unknown	Adequate
WHS Management Framework	Preventative	Unknown	Not Rated
Human Resource Management Framework	Preventative	Not Documented	Adequate

<b>Overall Control Rating</b>	<b>Not Rated</b>
-------------------------------	------------------

Risk Ratings	Rating
<i>Consequence:</i>	Major
<i>Likelihood:</i>	Unlikely

<b>Overall Risk Rating</b>	<b>Moderate</b>
----------------------------	-----------------

Key Indicators	Tolerance	Latest Result	Comment
Lost Time Injuries Per Quarter	Nil	Nil	
Near Misses Per Quarter	Nil	Nil	
Workers Compensation Claims	Nil	Nil	1 current claim
Security Access for Shire Buildings Audit	Completed	Not Rated	
Conduct WHS Framework Review	Completed	Not Rated	

## Comments

--

Actions / Current Issues / Treatments	Due Date	Responsible Manager
Conduct Security Access for Shire Buildings Audit	Jun-24	EMIS
Conduct WHS Framework Review	Dec-24	CEO
Documenting Human Resource Management Framework	Mar-25	CEO / EMCS

# Inadequate Project / Change Management

Feb-24

## Risk Context

Inadequate analysis, design, delivery and / or status reporting of change initiatives, resulting in additional expenses, time requirements 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
- Failures of IT Project Vendors/Contractors

This includes Directorate or Service Unit driven change initiatives except new Plant & Equipment purchases. Refer "Inadequate Asset Sustainability Practices"

## Potential Causes

Lack of communication and consultation	Shire growth (too many projects)
Lack of investment	Inadequate monitoring and review
Ineffective management of expectations (scope creep)	Project risks not managed effectively
Inadequate project planning (resources/budget)	Lack of Project methodology knowledge and reporting requirements

Key Controls	Type	Date	Rating
Project Management Methodology and Framework	Preventative	Not Documented	<b>Adequate</b>
Communication and Engagement Framework	Preventative	Not Documented	<b>Adequate</b>
Risk Management Framework	Detective	Aug-21	<b>Adequate</b>
Financial Management Framework	Preventative	Not Documented	<b>Adequate</b>

**Overall Control Rating** **Adequate**

Risk Ratings	Rating
--------------	--------

**Consequence:** Moderate

**Likelihood:** Possible

**Overall Risk Rating** **Moderate**

Key Indicators	Tolerance	Latest Result	Comment
Minimisation of Project Variations			Tolerance to be Identified
Achievement of Project Milestones			Tolerance to be Identified

## Comments

Actions / Current Issues / Treatments	Due Date	Responsible Manager
---------------------------------------	----------	---------------------

Document Project Management Methodology and Framework	Dec-24	Senior Management
---	--------	-------------------

Document Communication and Engagement Framework	Aug-24	CEO
---	--------	-----

# Errors, Omissions & Delays

Feb-24

**Risk Context**

Errors, omissions or delays in operational activities as a result of unintentional errors or failure to follow due process. This includes instances of;

- Human errors, incorrect or incomplete processing
- Inaccurate recording, maintenance, testing and / or reconciliation of data.
- Errors or inadequacies in model methodology, design, calculation or implementation of models.

This may result in incomplete or inaccurate information. Consequences include;

- Inaccurate data being used for management decision making and reporting.
- Delays in service to customers
- Inaccurate data provided to customers

This excludes process failures caused by inadequate / incomplete procedural documentation - refer "Inadequate Document Management Processes".

Potential Causes	
Human Error	Incorrect information
Inadequate procedures or training	Miscommunication
Lack of Staff (or trained staff)	

Key Controls	Type	Date	Rating
Documented Procedures and Checklists	Preventative		Inadequate
Complaints Handlind Register	Preventative		Not Rated
Complaints Process	Recovery		Not Rated
Customer Service Charter	Preventative		Not Rated
Segregation of Duties (Financial Control)	Preventative	Not Documented	Adequate
Staff Inductions	Preventative	Feb-24	Inadequate
Staff Training Plan	Preventative	Not Documented	Not Rated
Performance Management	Preventative	Feb-24	Not Rated
Qualified Building, Health and Planning Officers	Preventative	Feb-24	Adequate

<b>Overall Control Rating</b>	<b>Inadequate</b>
-------------------------------	-------------------

Risk Ratings	Rating
<b>Consequence:</b>	Moderate
<b>Likelihood:</b>	Likely

<b>Overall Risk Rating</b>	<b>High</b>
----------------------------	-------------

Key Indicators	Tolerance	Date	Result
Staff Inducted	100%	May-24	
2024-2025 Staff Training Plan Implemented	100%	Jun-24	
Annual Performance Reviews Conducted	100%	Apr-24	
Customer Service Charter	Adopted	Jun-24	

**Comments**

Actions / Current Issues / Treatments	Due Date	Responsible Manager
Conduct Staff Inductions	As Required	Senior Management
Develop Annual Training Plan 2024/2025	Jun-24	Senior Management
Document Procedures and Checklists	Dec-24	Senior Management
Conduct Annual Performance Reviews	Apr-24	Senior Management
Develop Customer Service Charter	Jun-24	CEO / EMCS

# Inadequate Document Management Processes

Feb-24

## Risk Context

Failure to adequately capture, store, archive, retrieve, provision and / or disposal of documentation. This includes:

- Contact lists.
- Procedural documents.
- 'Application' proposals/documents.
- Contracts.
- Forms, requests or other documents.

## Potential Causes

Spreadsheet/Database/Document corruption or loss	Outdated record keeping practices / incompatible systems
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	Incomplete authorisation trails

Key Controls	Type	Date	Rating
Information Management Framework		Unknown	Inadequate
Record Keeping Plan		2018	Inadequate
Governance Framework		Not Documented	Adequate

<b>Overall Control Rating</b>	<b>Inadequate</b>
-------------------------------	-------------------

Risk Ratings	Rating
<i>Consequence:</i>	Moderate
<i>Likelihood:</i>	Likely

<b>Overall Risk Rating</b>	<b>High</b>
----------------------------	-------------

Key Indicators	Tolerance	Date	Result
Information Management Framework	Reviewed	Jun-25	
Record Keeping Plan	Lodged	Jun-25	

## Comments

--

Actions / Current Issues / Treatments	Due Date	Responsible Manager
Review Information Management Framework	Jun-25	EMCS
Record Keeping Plan Reviewed	Jun-25	EMCS
Document Governance Framework	Mar-25	CEO

# Inadequate Supplier / Contract Management

Feb-24

Risk Context
<p><b>This Risk Theme is defined as:</b>                      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 &amp; monitoring processes. This also includes:</p> <ul style="list-style-type: none"> <li>• Concentration issues</li> <li>• Vendor sustainability</li> </ul>

Potential Causes	
Funding	Inadequate contract management practices
Complexity and quantity of work	Ineffective monitoring of deliverables
Inadequate tendering process	Lack of planning and clarity of requirements
Geographical remoteness	Historical contracts remaining

Key Controls	Type	Date	Rating
Annual Budget	Preventative	Feb-24	Adequate
Financial Management Framework	Preventative	Progressing	Adequate
Access to Independent Advice (Legal / WALGA) & Peer Review	Preventative	Ongoing	Adequate

<b>Overall Control Rating</b>	<b>Adequate</b>
-------------------------------	-----------------

Risk Ratings	Rating
<b>Consequence:</b>	Moderate
<b>Likelihood:</b>	Possible

<b>Overall Risk Rating</b>	<b>Moderate</b>
----------------------------	-----------------

Draft Key Indicators	Tolerance	Date	Result
Contracts Reviewed and Maintained	100%		Finalise KP - May 24
Detected Non Compliant Tender Processes	Nil		Finalise KP - May 24

Comments

Actions / Current Issues / Treatments	Due Date	Responsible Manager
Develop Standardised Contracts	Dec-24	EMCS
Financial Controls Documented	Dec-24	EMCS
Develop Centralised Contract Management System	Dec-24	CEO

# Providing Inaccurate Advice / Information

Feb-24

**Risk Context**

Incomplete, inadequate or inaccuracies in advisory activities to customers or internal staff. This could be caused by using unqualified, or inexperienced staff, however it does not include instances relating to Misconduct.

Examples include;

- incorrect planning, development or building 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.

Potential Causes	
Lack of qualified staff	Lack of appropriate technical knowlegde relevant to the context
Long lead times for responses	Poor working relationships between internal staff/departments
Increasing workloads	

Key Controls	Type	Date	Rating
Staff Training Plan	Preventative	Ongoing	Inadequate
Peer Review Process - Building / Health / Planning Advice	Preventative	Ongoing	Adequate
Complaints Handling Process	Preventative	Unknown	Adequate
Complaints Register	Detective	Unknown	Adequate

**Overall Control Rating** **Adequate**

Risk Ratings	Rating
<i>Consequence:</i>	Minor
<i>Likelihood:</i>	Possible
<b>Overall Risk Rating</b>	<b>Moderate</b>

Key Indicators	Tolerance	Date	Result
2024-2025 Staff Training Plan Implemented	100%	Jun-25	
Number of Complaints Registered			Tolerance to be Identified

**Comments**

Actions / Current Issues / Treatments	Due Date	Responsible Manager
Develop 2024-2025 Staff Training Plan	May-24	Senior Management
Review Complaints Handling Process	Dec-24	CEO
Review Complaints Register	Dec-24	CEO
Develop Communication and Engagement Plan	Aug-24	CEO
Develop Customer Service Charter	Jun-24	CEO



# Ineffective Employment Practices

Feb-24

Risk Context
<p>Failure to effectively manage and lead human resources (full/part time, casuals, temporary and volunteers). This includes not having an effective Human Resources Framework in addition to not having appropriately qualified or experienced people in the right roles or not having sufficient staff numbers to achieve objectives. Other areas in this risk theme to consider are;</p> <ul style="list-style-type: none"> <li>Breaching employee regulations (excluding OH&amp;S).</li> <li>Discrimination, Harassment &amp; Bullying in the workplace.</li> <li>Poor employee wellbeing (causing stress)</li> <li>Key person dependencies without effective succession planning in place.</li> <li>Induction issues.</li> <li>Terminations (including any tribunal issues).</li> <li>Industrial activity.</li> </ul> <p>Care should be taken when considering insufficient staff numbers as the underlying issue could be a process inefficiency.</p>

Potential Causes	
Leadership failures	Ineffective performance management programs or procedures.
Available staff / volunteers are generally highly transient.	Ineffective training programs or procedures.
Single Person Dependencies	Limited staff availability - mining / private sectors (pay & conditions).
Poor internal communications / relationships	Inadequate Induction practices.

Key Controls	Type	Date	Rating
Human Resource Management Framework	Preventative	Not Rated	Adequate
Training Needs Analysis & Training Register	Preventative	Nov-18	Inadequate
Workforce Plan (Succession Planning Component)	Preventative	Nov-18	Inadequate
Staff Inductions (Code of Conduct Component)	Preventative	Nov-18	Adequate
Performance Review Process	Detective	Nov-18	Adequate

<b>Overall Control Rating</b>	<b>Adequate</b>
-------------------------------	-----------------

Risk Ratings	Rating
<b>Consequence:</b>	Moderate
<b>Likelihood:</b>	Possible
<b>Overall Risk Rating</b>	<b>Moderate</b>

Key Indicators	Tolerance	Date	Result
Training Register Current	100%	Jun-24	
2024-2025 Staff Training Plan Implemented	100%	Jul-25	
Performance Reviews Conducted	100%	Apr-24	
Staff Inductions and Refreshers Conducted	100%	Jun-24	

Comments

Actions / Current Issues / Treatments	Due Date	Responsible Manager
Develop Training Register	Jun-24	EMCS
Develop 2024-2025 Staff Training Plan	May-24	Senior Management
Documenting Human Resource Management Framework	Mar-25	CEO / EMCS
Performance Reviews Conducted	Apr-24	Senior Management
Staff Inductions and Refreshers Conducted	Jun-24	Senior Management
Review Workforce Plan	Jul-24	CEO

# Failure to Fulfil Statutory, Regulatory or Compliance Requirements

Feb-24

Risk Context
<p>Failure to correctly identify, interpret, assess, respond and communicate laws and regulations as a result of an inadequate compliance framework. This could result in fines, penalties, litigation or increase scrutiny from regulators or agencies. This includes, new or proposed regulatory and legislative changes, in addition to the failure to maintain updated legal documentation (internal &amp; public domain) to reflect changes.</p> <p>This <u>does not</u> include Occupational Safety &amp; Health Act (refer "Inadequate safety and security practices") or any Employment Practices based legislation (refer "Ineffective Employment practices")</p> <p>It does include the Local Government Act, Health Act, Building Act, Privacy Act and all other legislative based obligations for Local Government.</p>

Potential Causes	
Lack of training, awareness and knowledge	Lack of Legal Expertise
Staff Turnover	Councillor Turnover
Inadequate record keeping	Breakdowns in Tender process
Ineffective processes	Ineffective monitoring of changes to legislation

Key Controls	Type	Date	Rating
Governance Framework	Preventative	Not Documented	Adequate
Information Management Framework	Preventative	Unknown	Adequate
Human Resource Management Framework	Preventative	Not Documented	Adequate
Access to Legislation and Regulations	Preventative	Ongoing	Effective
Access to Independent Advice (DLGSC / Legal / WALGA)	Preventative	Ongoing	Effective

<b>Overall Control Rating</b>	<b>Adequate</b>
-------------------------------	-----------------

Risk Ratings	Rating
<b>Consequence:</b>	Major
<b>Likelihood:</b>	Unlikely

<b>Overall Risk Rating</b>	<b>Moderate</b>
----------------------------	-----------------

Key Indicators	Tolerance	Date	Result
Compliance Annual Return (CAR)	As Per Legislation	Mar-24	
Financial Management Review (Every 3 Years)	As Per Legislation	Apr-24	
CEO Regulation 17 Review (Every 3 Years)	As Per Legislation	Apr-24	
Financial and Performance Audit Qualification (Annual)	Unqualified Audit	Dec-23	Unqualified
Financial and Performance Audit - Actioned Findings	4 Months	Apr-24	

Comments

Actions / Current Issues / Treatments	Due Date	Responsible Manager
Conduct Financial Management Review	Apr-24	EMCS
Conduct CEO Regulation 17 Review	Apr-24	EMCS
Financial and Performance Audit - Actioned Findings	Apr-24	EMCS
Document Governance Framework	Mar-25	CEO
Review Information Management Framework	Jun-25	EMCS
Documenting Human Resource Management Framework	Mar-25	CEO / EMCS

# Inadequate Asset Sustainability Practices

Feb-24

## Risk Context

Failure or reduction in service of infrastructure assets, plant, equipment or machinery. These include fleet, buildings, roads, playgrounds, boat ramps and all other assets and their associated lifecycle from procurement to maintenance and ultimate 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.

It does not include issues with the inappropriate use of the Plant, Equipment or Machinery. Refer Misconduct.

## Potential Causes

Skill level & behaviour of operators	Unavailability of parts
Lack of trained staff	Lack of formal or appropriate scheduling (maintenance / inspections)
Outdated equipment	Unexpected breakdowns

Key Controls	Type	Date	Rating
Asset Management System	Preventative		Inadequate
Asset Management Plan	Preventative	2018	Inadequate
Building Maintenance Program (Annual)	Preventative		Not Rated
Road Construction and Maintenance Program (Annual)	Preventative		Adequate
Fleet and Plant Replacement Program (10 Year)	Preventative		Adequate
Road Asset Management System (RAMMS)	Preventative		Adequate
Stock Control Systems (Fuel and Materials)	Preventative		Not Rated

<b>Overall Control Rating</b>	<b>Inadequate</b>
-------------------------------	-------------------

Risk Ratings	Rating
<b>Consequence:</b>	Major
<b>Likelihood:</b>	Possible

<b>Overall Risk Rating</b>	<b>High</b>
----------------------------	-------------

Key Indicators	Tolerance	Date	Result
Asset Management Plan Reviewed	Annually	Aug-24	EMCS
Annual Road Program Uploaded (RAMM)	Annually	Jul-24	EMCS / EMIS
Long Term Financial Plan Reviewed	Annually	Dec-24	EMCS
Accidents and/or Damage to Property			Tolerance to be Identified

## Comments

--

Actions / Current Issues / Treatments	Due Date	Responsible Manager
Review Asset Management Plan	Aug-24	EMCS
Develop 2024/25 Building Maintenance Program	May-24	EMIS
Develop Building Maintenance Program (10 Year)	Mar-24	EMIS
Develop 2024/25 Construction and Road Maintenance Program	May-24	EMIS
Review Fleet and Plant Replacement Program (10 Year)	May-24	EMIS
Review Stock Control System	Mar-25	EMCS
Develop Reserve Management Plan	Dec-25	EMIS

# Inadequate Engagement Practices

Feb-24

## 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 invariably includes activities where communication, feedback and / 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.
- Regional or District Committee attendance.
- 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

Budget / funding issues	Short lead times
Media attention	Miscommunication / Poor communication
Inadequate documentation or procedures	Relationship breakdowns with community groups

Key Controls	Type	Date	Rating
Communication and Engagement Framework	Preventative	Not Documented	Adequate
Complaint Handling Process	Preventative	Unknown	Adequate
Complaints Register	Detective	Unknown	Adequate
Customer Service Charter	Preventative		Not Rated
Community Satisfaction Survey	Detective	2021	Adequate
<b>Overall Control Rating</b>			<b>Adequate</b>

Risk Ratings	Rating
<i>Consequence:</i>	Moderate
<i>Likelihood:</i>	Unlikely
<b>Overall Risk Rating</b>	<b>Moderate</b>

Key Indicators	Tolerance	Date	Result
Number of Complaints Registered			Tolerance to be Identified
Number of Complaints Not Responded To			KI to be Identified
Community Satisfaction Survey Results			KI to be Identified

## Comments

Actions / Current Issues / Treatments	Due Date	Responsible Manager
Conduct Community Satisfaction Survey	Jun-24	CEO
Review Complaints Handling Process	Dec-24	CEO
Review Complaints Register	Dec-24	CEO
Develop Communication and Engagement Plan	Aug-24	CEO
Develop Customer Service Charter	Jun-24	CEO

# Ineffective Management of Facilities / Venues / Events

Feb-24

## Risk Context

### This Risk Theme is defined as:

Failure to effectively manage the day to day operations of facilities, venues and / or events. This includes;

- Inadequate procedures in place to manage the quality or availability.
- Ineffective signage
- Booking issues
- Financial interactions with hirers / users
- Oversight / provision of peripheral services (eg. cleaning / maintenance)

## Potential Causes

Double bookings	Animal contamination.
Illegal alcohol consumption	Failed chemical / health requirements.
Managing bond payments	Access to facilities / venues.

Key Controls	Type	Date	Rating
Event Management Framework	Preventative	Not Documented	Adequate
Facilities Booking Framework	Preventative	Unknown	Adequate
Asset Management Plan	Detective	2018	Inadequate
Building Maintenance Program (Annual)	Preventative	Not Documented	Inadequate
Statutory Public Building Compliance Requirements	Preventative	Ongoing	Adequate

<b>Overall Control Rating</b>	<b>Inadequate</b>
-------------------------------	-------------------

Risk Ratings	Rating
<i>Consequence:</i>	Moderate
<i>Likelihood:</i>	Unlikely
<b>Overall Risk Rating</b>	<b>Moderate</b>

Draft Key Indicators	Tolerance	Date	Result
Equipment Tested and Tagged	As Per Legislation		Not Rated
Public Building Inspections Conducted	As Per Legislation		Not Rated

## Comments

--

Actions / Current Issues / Treatments	Due Date	Responsible Manager
Document Event Management Framework	Jun-25	EMCS
Document Facilities Booking Framework	May-24	EMCS
Review Asset Management Plan	Aug-24	EMCS
Develop 2024/25 Building Maintenance Program	Jun-24	EMIS
Develop Reserve Management Plan	Dec-25	EMIS

# Inadequate Environmental Management

Feb-24

## Risk Context

Inadequate prevention, identification, enforcement and management of environmental issues. The scope includes;

- Lack of adequate planning and management of salinity issues.
- Failure to identify and effectively manage contaminated sites (including groundwater usage).
- Waste facilities (landfill / transfer stations).
- Weed control.
- Ineffective management of water sources (reclaimed, potable)
- Illegal dumping.
- Illegal clearing / land use.

## Potential Causes

Inadequate management of landfill sites	Inadequate reporting / oversight frameworks
Lack of understanding / knowledge	Community apathy
Inadequate local laws / planning schemes	

Key Controls	Type	Date	Rating
Transfer Station Operational Management	Detective		Adequate
Bendering Waste Facility Operational Plan (In Draft)	Preventative		Adequate
Bendering Waste Facility Management Plan	Preventative		Adequate
Support Environmental Groups and Program	Preventative		Adequate
Re-Use Waste Water Management Plan	Preventative		Not Rated
Re-Use Waste Water Monitoring	Detective		Adequate
Swimming Pool Water Monitoring	Detective		Adequate
Asbestos Register	Detective		Adequate

<b>Overall Control Rating</b>	<b>Adequate</b>
-------------------------------	-----------------

Risk Ratings	Rating
<i>Consequence:</i>	Moderate
<i>Likelihood:</i>	Unlikely

<b>Overall Risk Rating</b>	<b>Moderate</b>
----------------------------	-----------------

Key Indicators	Tolerance	Date	Result
Annual Waste and Recycling Data Report Submitted	As Per Legislation	Sep-24	Not Rated
Re-Use Waste Water Monitored	As Per Legislation		Not Rated
Abestos Register Maintained	Quarterly		Not Rated

## Comments

--

Actions / Current Issues / Treatments	Due Date	Responsible Manager
Identify Strategy to Remove Illegal Dumped Material (near workers camp)	Dec-24	EHO
Review Diesel Storage System (to ensure compliance)	Mar-25	EMCS
Finalise Bendering Waste Facility Operational Plan	Dec-24	CEO
Develop Townsite Drainage and Water Harvesting Plan	Dec-25	CEO / EMCS

**Risk Register - Updated February 2024**

<b>Theme</b>	<b>Overall Control Rating</b>	<b>Consequence</b>	<b>Likelihood</b>	<b>Overall Risk Rating</b>
Errors, Omissions & Delays	Indequate	Moderate	Likely	High
Indequate Document Management Process	Indequate	Moderate	Likely	High
Inadequate Asset Sustainability Practices	Indequate	Major	Possible	High

Measure of Consequence							
Rating (Level)	Health	Financial Impact	Service Interruption	Compliance	Reputational	Property	Environment
<b>Insignificant</b> 1	Negligible injuries	Less than \$1,000	No material service interruption	No noticeable regulatory or statutory impact	Unsubstantiated, low impact, low profile or 'no news' item	Inconsequential or no damage.	Contained, reversible impact managed by on site response
<b>Minor</b> 2	First aid injuries	\$1,001 - \$10,000	Short term temporary interruption – backlog cleared < 1 day	Some temporary non compliances	Substantiated, low impact, low news item	Localised damage rectified by routine internal procedures	Contained, reversible impact managed by internal response
<b>Moderate</b> 3	Medical type injuries  <5	\$10,001 - \$50,000	Medium term temporary interruption – backlog cleared by additional resources  < 1 week	Short term non-compliance but with significant regulatory requirements imposed	Substantiated, public embarrassment, moderate impact, moderate news profile	Localised damage requiring external resources to rectify	Contained, reversible impact managed by external agencies
<b>Major</b> 4	Lost time injury  >5	\$50,001 - \$500,000	Prolonged interruption of services – additional resources; performance affected  < 1 month	Non-compliance results in termination of services or imposed penalties	Substantiated, public embarrassment, high impact, high news profile, third party actions	Significant damage requiring internal & external resources to rectify	Uncontained, reversible impact managed by a coordinated response from external agencies
<b>Catastrophic</b> 5	Fatality, permanent disability	More than \$500,000	Indeterminate prolonged interruption of services – non-performance  > 1 month	Non-compliance results in litigation, criminal charges or significant damages or penalties	Substantiated, public embarrassment, very high multiple impacts, high widespread multiple news profile, third party actions	Extensive damage requiring prolonged period of restitution  Complete loss of plant, equipment & building	Uncontained, irreversible impact



<b>Measures of Likelihood</b>			
<b>Rating</b>	<b>Description</b>	<b>Frequency</b>	<b>Probability</b>
<b>Almost Certain</b>	The event is expected to occur in most circumstances	More than once per year	> 90% chance of occurring
<b>Likely</b>	The event will probably occur in most circumstances	At least once per year	60% - 90% chance of occurring
<b>Possible</b>	The event should occur at some time	At least once in 3 years	40% - 60% chance of occurring
<b>Unlikely</b>	The event could occur at some time	At least once in 10 years	10% - 40% chance of occurring
<b>Rare</b>	The event may only occur in exceptional circumstances	Less than once in 15 years	< 10% chance of occurring

Risk Matrix					
Consequence Likelihood	Insignificant	Minor	Moderate	Major	Catastrophic
Almost Certain	Moderate	High	High	Extreme	Extreme
Likely	Low	Moderate	High	High	Extreme
Possible	Low	Moderate	Moderate	High	High
Unlikely	Low	Low	Moderate	Moderate	High
Rare	Low	Low	Low	Low	Moderate

<b>Risk Acceptance Criteria</b>			
<b>Risk Rank</b>	<b>Description</b>	<b>Criteria</b>	<b>Responsibility</b>
<b>LOW</b>	Acceptable	Risk acceptable with adequate controls, managed by routine procedures and subject to annual monitoring	Operational Manager
<b>MODERATE</b>	Monitor	Risk acceptable with adequate controls, managed by specific procedures and subject to semi-annual monitoring	Operational Manager
<b>HIGH</b>	Urgent Attention Required	Risk acceptable with effective controls, managed by senior management / executive and subject to monthly monitoring	Executive Management / CEO
<b>EXTREME</b>	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
<b>Effective</b>	There is <u>little</u> scope for improvement.	<ol style="list-style-type: none"> <li>1. Processes (Controls) operating as intended and aligned to Policies / Procedures.</li> <li>2. Subject to ongoing monitoring.</li> <li>3. Reviewed and tested regularly.</li> </ol>
<b>Adequate</b>	There is <u>some</u> scope for improvement.	<ol style="list-style-type: none"> <li>1. Processes (Controls) generally operating as intended, however inadequacies exist.</li> <li>2. Nil or limited monitoring.</li> <li>3. Reviewed and tested, but not regularly.</li> </ol>
<b>Inadequate</b>	There is a <u>need</u> for improvement or action.	<ol style="list-style-type: none"> <li>1. Processes (Controls) not operating as intended.</li> <li>2. Processes (Controls) do not exist, or are not being complied with.</li> <li>3. Have not been reviewed or tested for some time.</li> </ol>