



ORDINARY MEETING OF COUNCIL

ATTACHMENTS TO REPORTS

12 December 2022

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9.2 Policies for Review

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1. SCOPE

- 1.1 The policy applies to all Councillors of the Waratah-Wynyard Council.

2. PURPOSE

- 2.1 This policy formalises Councillor benefits determined by Council and ensures that there is transparency in relation to the claiming and payment of expenses, allowances and attendances at professional development conferences and seminars.
- 2.2 The objective of this policy is to provide a clear framework regarding Councilor's entitlements to:
- (a) Travel allowances and reimbursement of expenses incurred whilst carrying out their duties as an elected member;
 - (b) The reimbursement of expenses incurred, or those which may be incurred by, and the provision of facilities to the mayor and other Councillors in relation to discharging their function as elected representatives; and
 - (c) Clarify the nature and extent of Council supported professional development afforded to Councillors.

3. POLICY

- 3.1 Section 340A of the Local Government Act 1993 (the Act) entitles councillors to allowances as prescribed in regulations. Mayors and deputy mayors are entitled to allowances in addition to those payable to them as councillors. Regulation 42(2) of the Local Government (General) Regulations 2015 (the Regulations) specifies the allowances payable to councillors, mayors, and deputy mayors. Regulation 42(2A) entitles deputy mayors to receive the allowance payable to the mayor when they act in the role for four consecutive weeks or more. The allowances payable from 1 November 2014 are set out in Schedule 4 of the Regulations.
- 3.2 All activities will be carried out in accordance with the adopted **Councillor Allowances and Expenses Policy Guidelines**.

4. LEGISLATION

Local Government Act 1993
Local Government (General) Regulations 2015

5. RELATED DOCUMENTS

GOV.027.1 Councillor Allowances and Expenses Policy Guidelines

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| DOC NO: GOV.027 | VERSION NO: 1 | APPROVAL DATE: 10 December 2022 |
| CONTROLLER: General Manager | APPROVED BY: - COUNCIL | REVIEW DATE: December 2026 |

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1.0 Introduction

- 1.1 These guidelines aim to provide a clear framework around Councillor entitlement to expense reimbursement and allowances relating to the execution of a Councillors duties in accordance with the *Local Government Act 1993*.

2.0 Councillors Allowance

- 2.1 In accordance with section 340A of the *Local Government Act 1993* the General Manager is obliged to pay Councillors the prescribed allowances. The Act states:
- (a) A Councillor is entitled to prescribed allowances;
 - (b) A Mayor and Deputy Mayor are entitled to prescribed allowances in addition to any allowances referred to in subsection (1);
 - (c) A Councillor, Mayor or Deputy Mayor may decide not to receive part or all of an allowance; and
 - (d) A decision under subsection (3) is to be by written notice to the General Manager of the relevant Council.
- 2.2 The Council is required to pay allowances in accordance with regulation 42 of the *Local Government (General) Regulations 2015*. The annual allowance cannot exceed such amounts and is indexed each year.
- 2.3 Allowances are annual and paid monthly or fortnightly in arrears; any such notification is not revokable retrospectively.
- 2.3 The Council has not elected to be recognised as an 'eligible local governing body', and therefore the allowances payable is not considered to be payment of a salary or wage. Determination of disclosure(s) for taxation purposes are a private matter for each individual Councillor.

3.0 Provision of Facilities

The mayor is provided with office space for carrying out their duties as Mayor. Councillors are permitted to use office space for the discharging of the function of Councillor. Councillors will be required to book a meeting space in advance.

Council will provide elected members with administrative support in relation to performing their role as Councillor.

4.0 Travelling Expenses

- 4.1 The Council will reimburse a Councillor for necessary out-of-pocket expenses incurred for travelling from his/her place of residence to discharge their functions as a Councillor in respect of the following:
- (a) Attendance at formal meetings of Council, Councillor Workshops or a meeting of any Committee to which the Councillor has been appointed as a representative of Council, or for any other meeting where the Councillor has been delegated or authorised by Council to attend;

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- (b) inspections or business within the Council area, provided such inspection/s are undertaken in accordance with a resolution/s of the Council that the Councillor is authorised to attend;
- (c) attendance at any seminar/conference in compliance with a resolution of Council, or as authorised by the Mayor and General Manager; and
- (d) attendance as Council's representative by invitation, to a meeting of a local community organisation. This provision does not include public events that the Councillor attends as a community member.

- 4.2 The payment/reimbursement of travel expenses will be based on kilometers travelled (or the most direct route whichever is lower) and paid at the rate as set by ATO.
- 4.3 A Councillor shall not be entitled to be reimbursed for travel or other expenses where the expense would otherwise have been incurred as a result of private business.
- 4.4 Where Councillors attend an event by invitation a copy of the invitation will be required for Council's records.
- 4.5 For cost efficiency, Councillors should seek use of a pool car for longer business trips.
- 4.6 Council determines to make available a motor vehicle for use by the Mayor. The Mayor can use this vehicle for any purpose within the municipal area and for Council business outside of the municipal area. The vehicle is to be garaged at the Mayor's residence.
- 4.7 Other Councillors with the consent of the Mayor can arrange to use the vehicle if required to attend meetings/seminars/functions on behalf of the Council. Arrangements for the use of the vehicle are to be made with the Mayor

5.0 Meal Allowance

- 5.1 Meals will be provided when attending meetings of Council or Councillor Workshops when the timing of such meetings require this provision.
- 5.2 Council will pay reasonable out of pocket expenses for meals upon presentation of a claim for payment, with a tax invoice/receipt attached. If a meal package is supplied as part of conference costs, those meals cannot be claimed as expense where the Councillor chooses to dine elsewhere.

6.0 Provision of Electronic Device

- 6.1 Councillors will be provided with a tablet on a designated data plan, for the receipt of emails, documents and information.
- 6.2 Each Councillor will be supplied with a council email address which will remain active during the Councillors term of office.
- 6.3 Retiring or departing Councillors may make application to the General Manager to purchase the tablet at the current valuation price. The tablet will be cleared of all confidential information prior to being given to departing Councillors.
- 6.4 All information on the tablet must be treated with confidentiality and remains the property of Council.

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7.0 Information Management

- 7.1 Councillor emails and documents are considered part of Council's information. Documents provided to Councillors for the purposes of making decisions are considered the property of council and should not be shared unless the information is deemed for public access.

8.0 Communication Expenses

- 8.1 Councillors will receive an annual payment of \$1000 to cover out of pocket communication expenses including IT consumables, internet expenses and landline telephone expenses. This will be paid monthly along with the Councillor Allowance.
- 8.2 The Mayor may be provided with a mobile phone for use on Council related business.

9.0 Internet access and downloads

- 9.1 Councillors will be provided with a data plan for their tablet paid for by Council.

10.0 Insurance

- 10.1 Council will provide the following insurance cover for the Mayor, Deputy Mayor and Councillors:
- (a) Group Personal Accident - on the lives of Councillors and their accompanying spouses/partners whilst undertaking travel on Council activity;
 - (b) Councillors (Directors) Liability - against loss arising from claim(s) made against them during the period of insurance by reason of any wrongful act committed or alleged to have been committed by them in their capacity as Councillor;
 - (c) Corporate Travel - Provided in connection with a journey that must include overnight accommodation or travel to a destination more than 50 kilometers; and
 - (d) Motor Vehicle - Vehicles owned by Councillors whilst being used on the business of the Council.

11.0 Professional Development

- 11.1 Council acknowledges an ongoing commitment to training and development will assist in the fulfilment of duties and responsibilities for Councillors.
- 11.2 Council will provide an annual budget allocation for Councillors for professional development purposes. Determination of attendance at any conferences and seminars should acknowledge equity for each Councillor to attend relevant conferences and seminars over their four-year term.

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12 Eligible Events

- 12.1 Priority is to be given to professional development opportunities organised by local government affiliated entities, for example:
- (a) The Local Government Association of Tasmania (LGAT);
 - (b) Australian Local Government Association (ALGA); and
 - (c) Municipal Association of Victoria (MAV).
- 12.2 Council budget for the Mayor and Deputy Mayor plus two other Councillors attending the LGAT Annual Conference. Council may determine by resolution to add additional attendees on an annual basis.
- 12.3 Any mainland or high-cost intrastate attendance for events or professional development opportunities must be approved by a decision of council.
- 12.4 On some occasions, attendees may be required to provide a report / summary of learnings or benefits gained by attendance. This will be determined prior to attendance.

13 Conference/Seminar Expenses

Council will cover the following expenses:

- (a) **Travel**
- (i) Reimbursement of fuel costs as per ATO guidelines and criteria set in these guidelines;
 - (ii) The cost of taxi or other transit fares to and from conference venues, hotels or other approved places;
 - (iii) For interstate travel, required flights for the delegate (business or first-class tickets will not be eligible); and
 - (iv) Where delegates desire to travel interstate by private motor vehicle, they will be reimbursed for actual receipted accommodation costs and vehicle costs (in accordance with the current Australian Taxation Office (ATO) rates) up to and including an amount equivalent to that which would have been expended had arrangements been made to travel by air.
- (b) **Accommodation**
- (i) Accommodation costs for delegates for the duration of the conference, including allowing delegates to arrive the day prior to, and depart the day after, the conference where the start and finish times do not allow reasonable travel times on the day;
 - (ii) Delegates are generally expected to stay at the conference venue unless that facility is fully booked, or alternative accommodation can be used at no additional (or significantly less) cost to Council; and
 - (iii) In the event that a delegate wishes to extend their visit for personal reasons not associated with approved Council business, any extended stay is to be at the cost of the delegate.
- (c) **Registration**
- (i) The registration fee of the delegate is payable in full by Council.

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(d) Incidental Expenses

- (i) An amount up to the maximum ATO applicable rates for food and drink will be reimbursed upon receipt of tax receipts; and
- (ii) Meals will not usually be recognised where meals are provided as part of the conference or seminar program.

(e) Care of Children or Other Dependents Expenses

- (i) Council will reimburse a Councillor for necessary, reasonable childcare expenses when attending Council meetings, workshops and Council attended events and attending to Council business;
- (ii) Where a licensed provider is used, payment will be made net of any government subsidy. No fees will be paid for care by a person who normally lives with the Councillor or is a member of the Councillors family; and
- (iii) Any claim for reimbursement must include a tax invoice/receipt which details:
 - Name, address and contact number of the provider;
 - Date and time of services, including number of hours;
 - The hourly rate paid; and
 - Details of the council event/business attended should be noted on the invoice.

(f) Partners Costs

- (i) Where additional costs are incurred for Councillors partners to attend functions, dinners, events or similar, these costs will be at the expense of the Councillor. For practicality in booking arrangements this may be undertaken by deduction from councillors allowance or separate invoice to Councillors.

(g) Reporting

- (i) The total expenses claimed by each Councillor are reported in the Annual Report and periodically throughout the year as part of the Council agenda. The total expenditure report includes expenses claimed in accordance with these guidelines.

(h) Claims for Expenses

- (i) The following general guidelines will apply when claiming expense payments: -
 - Payment of expenses will be in arrears unless approval is given by the General Manager for payment in advance in extenuating circumstances;
 - Claims for any travelling expenses and reimbursement of out-of-pocket expenses incurred in accordance with these Guidelines should be made within one month from date incurred;
 - To claim out of packet expenses a Tax invoice/receipt **must** be provided, which includes date, time and GST;
 - Where a question arises as to whether a claim for reimbursement of expenses is eligible under these Guidelines, or the claim appears unreasonable or does not serve the interests of Council, the General Manager should refer the matter to the Council for decision and policy guidance; and
 - The General Manager should endeavour to refer the matter without disclosing the identity of the individual who submitted the claim.
- (ii) **Ongoing Professional Development**
 - In accordance with the Councillor Declaration of Office, Councillors have a commitment to engage in ongoing Professional Development. Opportunities will be provided as part of workshops, however, should a councillor identify a professional development opportunity they must

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apply to the General Manager in writing outlining the benefits of the proposed training.

- Applications for training courses over the approved budget; over \$1000 or that require interstate travel will require a resolution of Council.
- Costs associated with forums, meetings, events or dinners will be covered by Council if Councillors are attending in official capacity, as the nominated representative of Council, subject to the discretion of the Mayor.
- Bookings for these activities must be made through the Executive Officer.

14.0 Recognition of Councillor Service

- 14.1 Council will formally recognise and acknowledge elected members following the completion of their time of service to Council through the provision of a token gift.
- 14.2 In addition, Council may also present Councillors upon their retirement or resignation, with a certificate or plaque of appreciation in recognition of their service to council and the community.

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1. SCOPE

- 1.1 This policy applies to the Mayors, Councillors, Council staff (including staff engaged through an employment agency), Council Committee members, volunteers and contractors.

2. PURPOSE

- 2.1 Gifts and benefits may be offered to individuals in the course of business relationships, often for commercial purposes, to create a feeling of obligation in the receiver.
- 2.2 Council officials at all times must be seen to be fair, impartial and unbiased and should actively discourage offers of Gifts and benefits and avoid situations that suggest that a person or organisation is attempting to secure favourable treatment from Council.
- 2.3 People doing business with the Council should be encouraged to understand that they do not need to give Gifts or benefits to Council officials to get high quality service.
- 2.4 This policy defines the obligations and responsibilities of Council's officials when dealing with offers of Gifts or benefits.

3. POLICY STATEMENT

- 3.1 Accepting Gifts of money is prohibited.
- 3.2 Council officials should not accept Gifts or benefits that appear to be non-token in nature.
- 3.3 Gifts or benefits of a token nature at or of a value below \$100 may be accepted by Council officials without the need to disclose the Gift to a supervisor, the General Manager or Mayor (in the case of Councillors).
- 3.4 Council officials who receive a multiple number of token Gifts, from the same person or organisation, in a twelve-month period, that cumulatively exceed the nominal value of \$100 must disclose that fact in a Gifts and Benefits Declaration Form.
- 3.5 Council officials must not offer or seek a bribe. A person offered a bribe should refuse it and report the incident as soon as possible to their supervisor, General Manager or the Mayor (in the case of Councillors).
- 3.6 If a non-token Gift or benefit is offered and cannot reasonably be refused (as this action may cause embarrassment), the offer and receipt of the Gift or benefit must be declared in a Gifts and Benefits Declaration Form. A Gift is not to be personally retained without the express consent of the General Manager (staff) or Mayor (Councillors) within 14 days.
- 3.7 If a Council official refuses a Gift or benefit because they, or a reasonable person, may believe that the Gift was a deliberate attempt to receive "special treatment", that instance is to be reported to a supervisor, the General Manager or Mayor.
- 3.8 At times a Gift of a non-token nature may be given by one organisation to another. Such Gifts are often provided to a host organisation. These Gifts may be given as an expression of gratitude without obligation on the receiver to respond. The gratitude usually extends to the work of several people in the organisation and therefore the Gift is for the organisation, not a particular individual.

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- 3.9 All Gifts and benefits disclosed are to be included in a Council Gifts and Benefits Register, which will be monitored by the General Manager and available for public inspection.

Legislative Requirements

Local Government Act 1993:

Part 5A – Gifts and Donations

- Section 339A – Misuse of office - Specifies penalties in relation to the misuse of office by councillors and employees;
- Section 28E - Deals with the Code of Conduct for Councillors;
- Section 62 - Identifies the functions and powers of the General Manager

Local Government (General) Regulations 2015)

- Part 3A – Gifts and Donations

Related Procedures/Guidelines:

Gifts and Benefits Guidelines

Gifts and Benefits Register

Gifts and Benefits Declaration Form

Procurement Policy & Associated Procedures

Flow Chart

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1. PURPOSE

The purpose of this guideline is to assist Council officials to make appropriate judgements in relation to gifts and benefits and therefore avoid being placed in a situation where they may become vulnerable to undue influence or threaten community confidence in the fairness, impartiality and integrity of the Council.

2. DEFINITIONS

Benefit – Benefits include preferential treatment, privileged access, favours or other advantage offered to an individual. They may include invitations to sporting, cultural or social events, access to discounts and loyalty programs. The value of benefits may be difficult to define in dollars, but as they are valued by the individual, they may be used to influence the individual's behaviour.

Bribe – a gift or benefit given specifically for the purpose of winning favours or to influence the decision or behaviour of a Council official to benefit someone or something;

Cash – money or vouchers which are readily convertible;

Conflict of interest – any situation in which an individual or corporation (either private or government) is in a position to exploit a professional or official capacity in some way for their personal or corporate benefit;

Council official – Mayor, Councillors, Council staff (including staff engaged through an employment agency), Council Committee members, volunteers and contractors;

Cumulative gift – a series of gifts, individually below the nominal value, from the same person or organisation, over a specified period of time that have an aggregate value that exceeds the nominal value;

Gift – is usually a tangible item provided at no charge. Gifts may include, but are not limited to items such as cash, property (real or otherwise), goods and services made available at heavily discounted prices, alcohol, clothes, products, invitations to social functions and tickets to sporting, theatrical or music events;

Gift of gratitude – a gift offered to an individual or department in appreciation of performing specific tasks. Gifts to staff who speak at official functions may be considered an example of gifts of gratitude;

Gift of influence – a gift that is intended to generally ingratiate the giver with the recipient for favourable treatment in the future;

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Gifts and Benefits Declaration Form – a form to be completed when an individual receives a gift or benefit of a non-token nature above the nominal limit or receives a series of token gifts or benefits in a specified time that exceeds the nominal value (Cumulative Gift);

Gifts and Benefits Register – a register maintained by Council of all declared gifts and benefits

Hospitality – the provision of accommodation, meals, refreshments or other forms of entertainment;

Nominal value – is the monetary limit of the value of gifts or benefits that may be accepted (i.e. total value of gift or benefit received). A gift or benefit is of nominal value when it has no significant or lasting value (gifts under the value of \$100).

Non-token – Non-token gifts include personal benefits and/or valuable objects (with a value of above \$100).

Public perception – the perception of a fair-minded person in possession of the facts;

Significant value – a gift or benefit that has a value above \$100; and

Token Gift -A gift given, or granted item of value, only to the recipient with no other appreciable economic value. Examples are trophies, certificates or other customised symbols of appreciation, recognition or courtesy; free promotional items such as advertisers' calendars, pens, notepads, etc.

3. SCOPE

The policy applies to all gifts and benefits offered to or received by all Council officials in their role as officers of the Council.

4. APPLICATION

- 4.1 In a private context gifts and benefits are usually unsolicited and meant to convey a feeling on behalf of the giver such as gratitude. There is ordinarily no expectation of repayment. Gifts given in a private context are not the focus of Council's policy or this guideline.
- 4.2 Gifts and benefits may also be offered to individuals in the course of business relationships. Such gifts and benefits are often given for commercial purposes and serve to create a feeling of obligation in the receiver. Gifts and benefits given in the course of business relationships are the focus of Council's policy and this guideline.
- 4.3 The policy guideline is to be applied in conjunction with provisions in the Councils Codes of Conduct and other relevant Council policies and procedures.

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5. GUIDELINE STATEMENT

5.1 Token gifts and benefits

- 5.1.1 Gifts or benefits of a token nature do not create the appearance of a conflict of interest and include:
- a) Items with a company logo on them, ties, scarves, coasters, diaries, chocolates, flowers;
 - b) Books given to individuals at functions, public occasions or in recognition of exceptional work done;
 - c) Gifts of single bottles of reasonably priced alcohol given to individuals at functions, public occasions or in recognition of exceptional work done;
 - d) Free or subsidised meals of a modest nature and/or beverages provided infrequently (and/or reciprocally) that have been arranged for or in connection with the discussion of official business;
 - e) Free meals of a modest nature and/or beverages provided to Council officials who formally represent Council at work related events such as training, education sessions and workshops; and
 - f) Invitations to approved social functions organised by groups such as Council committees and community organisations.
- 5.1.2 If a Council official has any doubt if a gift or benefit is token or of nominal value they should discuss it with a supervisor, General Manager or Mayor.

5.2 Nominal value

- 5.2.1 For the purpose of this guideline the current nominal value limit is **\$100**.

5.3 Non-token gifts and benefits

- 5.3.1 Gifts or benefits of a non-token nature include:
- a) Free or discounted travel;
 - b) Use of holiday homes;
 - c) Tickets to major sporting events;
 - d) Corporate hospitality at a corporate facility or sporting venue;
 - e) Free training excursions;
 - f) Access to confidential information;
 - g) Discounted products for personal use; and
 - h) Goods and services provided via a determination in a Will.

5.4 Actual or perceived effect of the gift or benefit

- 5.4.1 Accepting gifts where a reasonable person could consider that there may be influence applied as a result of accepting the gift or benefit is prohibited. (gift of influence).

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5.5 Bribes

- 5.5.1 Council officials must not offer or seek a bribe. A person offered a bribe should refuse it and report the incident as soon as possible to their supervisor, General Manager or the Mayor (in the case of Councillors). Council is to take steps to report the matter to Police immediately.
- 5.5.2 Receiving a bribe is an offence under both the common law and Tasmanian Legislation.

5.6 Family members

- 5.6.1 Council officials must take all reasonable steps to ensure that immediate family members do not receive gifts or benefits of a non-token nature or gifts or benefits above the nominal value. Immediate family members include parents, spouses, children and siblings.

5.7 Records – Gifts and Benefits Registers

- 5.7.1 Council officials, who receive a multiple number of token gifts or benefits from the same person or organisation (cumulative gift) over a twelve-month period that exceeds the nominal value must disclose that fact on the Gifts and Benefits Declaration Form and Register (attachment 1 and 2).
- 5.7.2 Where more than one Council official receives a token gift from the same person or organisation, within a twelve-month period, then the cumulative value of those gifts must be disclosed on the Gifts and Benefits Declaration Form and Register, by the senior officer of those staff who received the token gifts.
- 5.7.3 If an official of the Council receives a non-token gift or benefit in circumstances where it cannot reasonably be refused or returned, the receipt of the gift or benefit should be disclosed, and the details recorded on a Gifts and Benefits Declaration Form and in the Gifts and Benefits Register.
- 5.7.4 Benefits inclusive of scholarships or payment of training by external sources should be disclosed and the details recorded on a Gifts and Benefits Declaration Form and in the Gifts and Benefits Register.
- 5.7.5 The Register will be available for public inspection.
- 5.7.6 The content of the Registers will be monitored by the General Manager on a monthly basis.

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| CONTROLLER: General Manager | APPROVED BY: - Council | REVIEW DATE: 12 December 2026 | |

| | |
|---|---|
|  | <p style="text-align: center;">WARATAH-WYNYARD COUNCIL</p> <p style="text-align: center;">GIFTS AND BENEFITS GUIDELINES</p> |
|---|---|

5.8 Disposal of gifts

- 5.8.1 A supervisor, General Manager or Mayor is to determine whether a gift or benefit of a non-token nature should be disposed.
- 5.8.2 There are options for the disposal of gifts that have been accepted because they could not reasonably be refused, but they should not be retained by an individual. Examples of such circumstances where gifts or benefits may be received include:
- Gifts accepted for protocol or other reasons, where returning it would be inappropriate;
 - Anonymous gifts (received through the mail or left without a return address);
 - A gift received in a public forum where attempts to refuse or return it would cause significant embarrassment; and
 - A gift or benefit of significant value provided to a Council official through a Will, where the relationship between the giver and recipient was essentially a council related business relationship.
- 5.8.3 Options for disposal include:
- Surrendering the gift to Council for retention;
 - Distributing the gift or benefit amongst a selection of Council's officials - where a reasonable person would agree that the allocation was appropriate, (public perception); and
 - Donating the gift to an appropriate charity.

5.9 Breaches of Policy

- 5.9.1 All Council officials are obliged to comply with the Gifts and Benefits Policy and sanctions may be applied if the policy is breached.
- 5.9.2 Any person may report an alleged breach of the policy by an official of the Council to the General Manager or Mayor as appropriate who is to investigate any report received and take such action as is considered necessary.
- 5.9.3 If this policy has been breached, such action may include counselling, censure motions, disciplinary action (including termination of employment), the laying of charges and the taking of civil action.

Amendment Schedule:

Amended 15 April 2016 – new clause 5.7.4

| | | | |
|-----------------------------|------------------------|---------------------------------|-------------|
| DOC NO: GOV.022.1 | VERSION NO: 2 | APPROVAL DATE: 12 December 2022 | Page 5 of 5 |
| CONTROLLER: General Manager | APPROVED BY: - Council | REVIEW DATE: 12 December 2026 | |

| | |
|---|---|
|  | WARATAH-WYNYARD COUNCIL |
| | GIFTS AND BENEFITS POLICY DECLARATION FORM ELECTED MEMBERS |

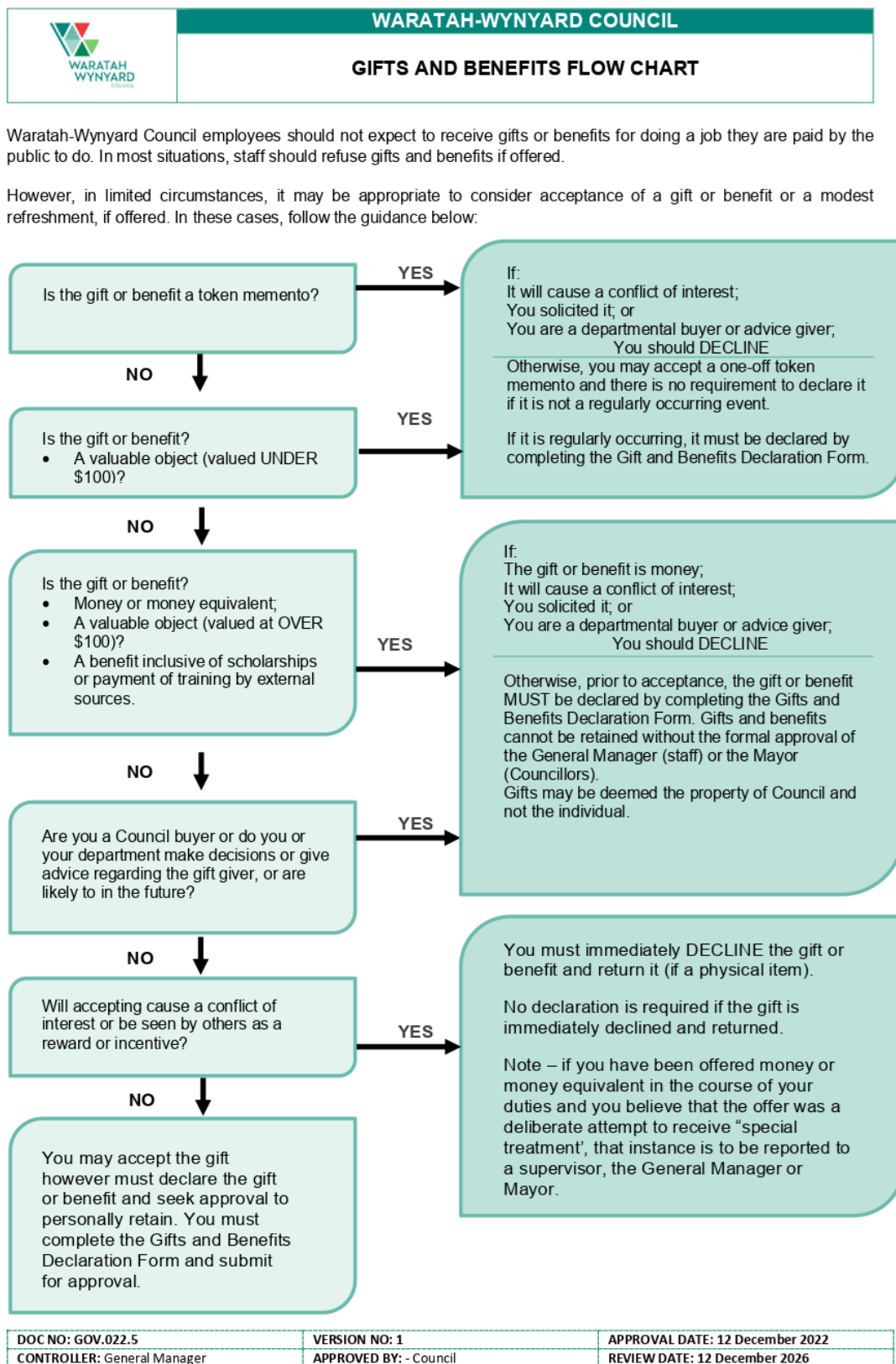
| SECTION ONE | |
|---|--|
| Name: | |
| Position: | |
| Date gift offered: | |
| What is the gift? | |
| What is the dollar value (approximate) of the gift? | |
| Who is the gift from? | |
| Individual (provide name): | |
| Organisation (provide name): | |
| Where was the gift offered? (ie at a function, over the counter, through the mail, at a meeting)? | |
| Recipients relationship to the donor: | |
| Should the gift or benefit be accepted or declined: | |
| If the gift was accepted, should it be retained by the employee or organisation? | |
| If the gift was retained by the organisation should it be disposed? | |
| Councillor's signature: | |
| Date: | |
| SECTION TWO – APPROVAL PROCESS | |
| Mayor / General Manager comments | |
| Mayor/ General Manager name and signature | |
| SECTION THREE – OFFICE USE | |
| Date details recorded on Gifts and Benefits Register: | |
| General Manager's signature: | |

| | | |
|-----------------------------|------------------------|---------------------------------|
| DOC NO: GOV.022.4 | VERSION NO: 2 | APPROVAL DATE: 12 December 2022 |
| CONTROLLER: General Manager | APPROVED BY: - Council | REVIEW DATE: 12 December 2026 |

| | |
|---|---|
|  | WARATAH-WYNYARD COUNCIL |
| | GIFTS AND BENEFITS POLICY DECLARATION FORM |

| SECTION ONE | |
|---|--|
| Name: | |
| Department: | |
| Date gift offered: | |
| What is the gift? | |
| What is the dollar value (approximate) of the gift? | |
| Who is the gift from? | |
| Individual (provide name): | |
| Organisation (provide name): | |
| Where was the gift offered? (ie at a function, over the counter, through the mail, at a meeting)? | |
| Recipients relationship to the donor: | |
| Should the gift or benefit accepted or declined: | |
| If the gift was accepted, should it be retained by the employee or organisation? | |
| If the gift was retained by the organisation should it be disposed? | |
| Council Official's signature: | |
| Date: | |
| SECTION TWO– APPROVAL PROCESS | |
| Approved by General Manager (Staff)/Mayor (Councillors): | |
| Date: | |
| SECTION THREE– OFFICE USE | |
| Date details recorded on Gifts and Benefits Register: | |

| | | |
|-----------------------------|------------------------|---------------------------------|
| DOC NO: GOV.022.3 | VERSION NO: 2 | APPROVAL DATE: 12 December 2022 |
| CONTROLLER: General Manager | APPROVED BY: - Council | REVIEW DATE: 12 December 2026 |



| | |
|---|---|
|  | <p style="text-align: center;">WARATAH-WYNYARD COUNCIL</p> <p style="text-align: center;">AUSTRALIAN CITIZENSHIP CEREMONIES</p> |
|---|---|

1. SCOPE

The *Australian Citizenship Ceremonies Code (2019)* requires that councils must ensure that Australian Citizenship ceremonies are conducted in accordance with the *Australian Citizenship Ceremonies Code (2019)* and the *Australian Citizenship Regulation 2016*.

2. PURPOSE

To meet the requirements of the Australian Citizenship Ceremonies Code (2019) and the *Australian Citizenship Regulation 2016*, Council is also required to have a dress code in place for Australian Citizenship Ceremonies to reflect the significance of the occasion while welcoming new citizens to our community.

3. POLICY STATEMENT

1. Council's Citizenship Ceremonies are to be conducted within the regulations and guidelines as set down in the Australian Citizenship Ceremonies Code (2019) and the *Australian Citizenship Regulation 2016*;
2. Council will ensure that the ceremony is conducted in such a way as to reflect the significance of the occasion;
3. Council is required to hold a Citizenship ceremony on 26 January and 17 September. Council also conducts other ceremonies throughout the year on a need's basis;
4. While Council does not have a strict dress code, smart casual attire is recommended, and conferees are welcome to wear their own national/traditional/cultural dress.
 - a. Conferees are asked not to wear;
 - i. Beach wear
 - ii. Offensive shirts
 - iii. Sports training apparel
 - iv. Rubber thongs / bare feet / slippers

LEGISLATIVE REQUIREMENTS:

1. Australian Citizenship Ceremonies Code
2. *Australian Citizenships Act 2007*

RELATED DOCUMENTS:

Nil.

| | | |
|------------------------------------|-------------------------------|--|
| DOC NO: GOV:030.1 | VERSION NO: 1 | APPROVAL DATE: 12 DECEMBER 2022 |
| CONTROLLER: General Manager | APPROVED BY: - COUNCIL | REVIEW DATE: DECEMBER 2026 |



2022/23 CAPITAL PROGRAM MONTHLY PROGRESS REPORT

Executive Summary

Reporting Month: November 2022

Reporting Officer: Corey Gould, Manager Engineering Services

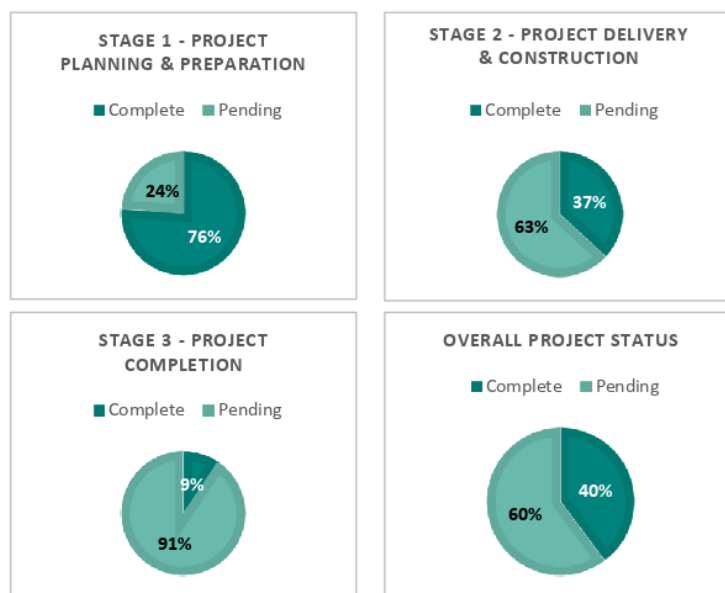
Current Capital Delivery

| Section | Total Project Completion (%) |
|---------------------|------------------------------|
| Parks & Open Spaces | 39.8 |
| Transport | 45.2 |
| Stormwater | 43.5 |
| Sporting Facilities | 20.6 |
| Buildings | 24.1 |
| Plant & Equipment | 40.6 |
| Budget Amendments | 0.0 |

| Status % | Stage |
|----------------------|--|
| Between 0% and 25% | Stage 1 - Project Preparation including, design, permits, tender and consultation, construction approval |
| Between 25% and 75% | Stage 2 - Project construction and delivery |
| Between 75% and 100% | Stage 3 - Project Completion including initiation defects liability period, construction approval, as constructed drawings |



PARKS & OPEN SPACE



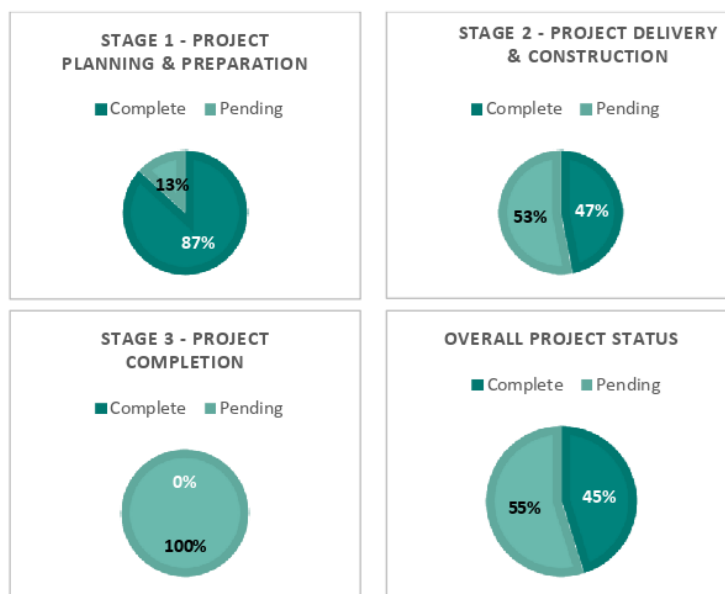
Key project updates by exception:

- Somerset:
 - Cam River Reserve Masterplan Actions: The replacement of the existing playground to be completed this year. Will require CLS approval but will need concept and measurements for CLS to progress (mid-January) and go community for consultation.
 - Erosion Mitigation for ANZAC Park received CLS approval to lodge DA. This still needs to go through planning and back to CLS for consent to comment construction. Unlikely to tender before March 2023 due to this process which will consequently push completion timeframes beyond the end of financial year.
- Wynyard:
 - The Dog Park and Freedom Camping area in Wynyard remain in consultation with the Show Society and CLS. Awaiting information from Crown to progress.
 - Camp Creek Final Rehabilitation drainage is now complete. Practical Completion has been pushed to the end of January to finalise a few remaining issues. Without further issues this will be removed from the exception list from next report.



- Other:
 - Yolla RV Dump Site awaiting amenities location before progress can be made. At this stage even if a location was sourced early in the new year, with building applications and tenders for work still required, it is doubtful that the project could be delivered before the end of financial year.
 - Sisters Beach Erosion Works is waiting further details from consultant and PWS before it can proceed further.
 - James Philosopher Smith Statue – pending funding.

TRANSPORT

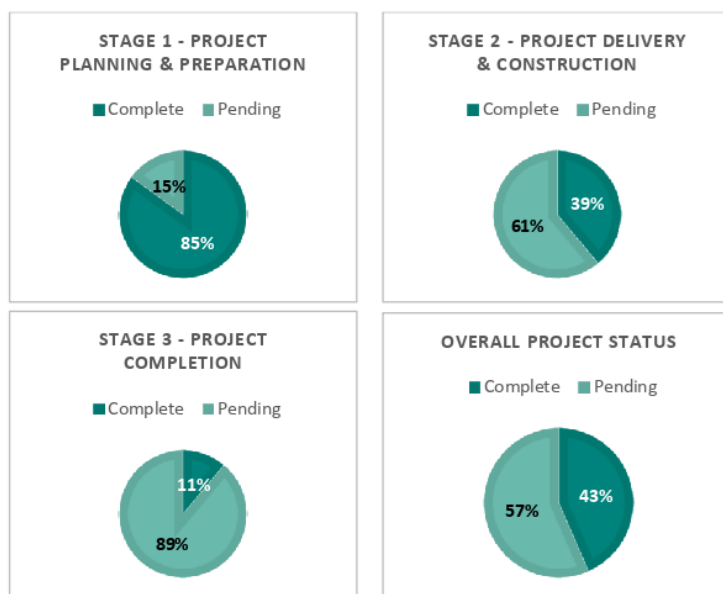


Key project updates by exception:

- Nothing significant to report



STORMWATER

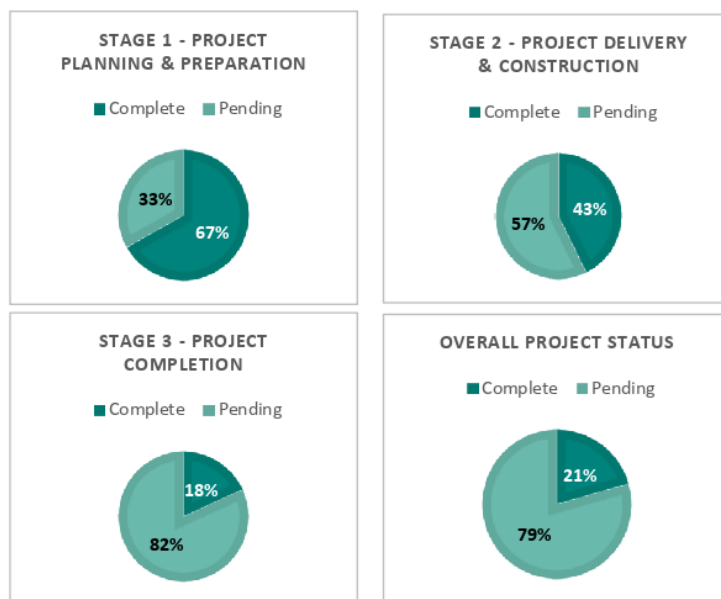


Key project updates by exception:

- Port Road Boat Harbour Drainage dam permit is being put together.
- Port Creek tender documentation is ready and tender documentation is going out this in December.
- Big Creek DA is being prepared for land acquisition, tender to follow in the near future. A grant application has been submitted for NDRR funding. Tender likely to go out in February.



SPORTING FACILITIES

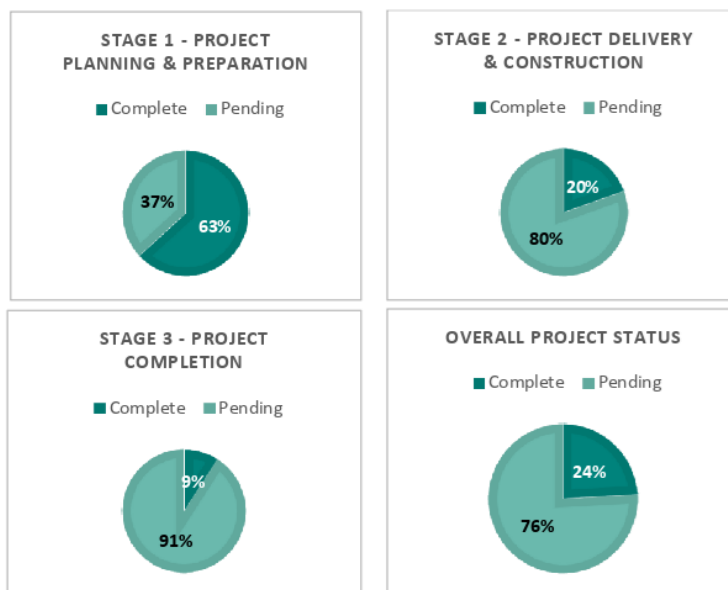


Key project updates by exception:

- Demolition of Wynyard Showgrounds Grandstand has had some progress is pulling together an application to CLS, building permits will be required and final approval from CLS to commence works will be required. There is still one club that will need to pursue a new location before demo can commence.
- Somerset Sporting Precinct has had a detailed consultation, expressions of interest to commence early 2023. Forecasting no expenditure, on hold for the time being.
- WySP Design – Indoor Training Facilities no further progress, school discussions are occurring now.



BUILDINGS

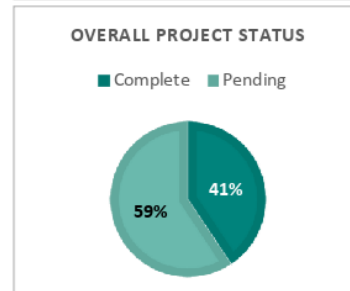
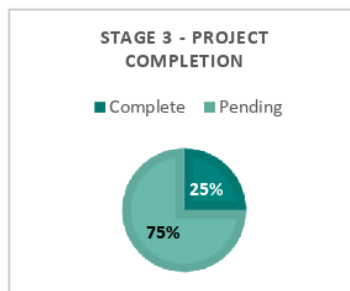
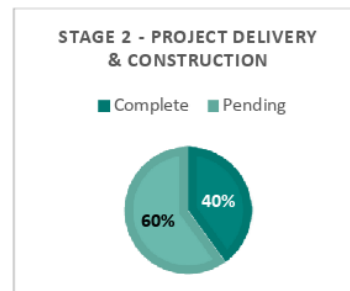
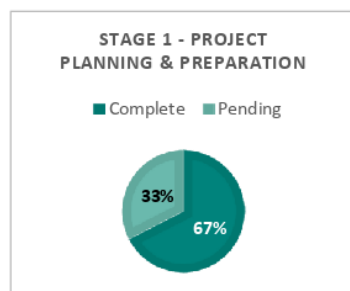


Key project milestones/updates:

- Yolla Public Toilet (to be co-located with the RV dump point) currently no site identified for construction. It is doubtful that the project could be delivered before the end of financial year given the building applications, consultation and tendering process is still required.
- Table Cape Amenities grant funding was unsuccessful. Currently looking at options.
- Community Centre Outside School Hours Car (OSHC) Kitchen Upgrade quotes have been obtained and expect to award works in the coming weeks. Without further issues this will be removed from the exception list from next report.
- Waratah Community Hub Upgrade quotes are being obtained though there's been difficulty finding contractors who can do the work. Some financial concerns, reviewing options and will go to the January Community Board meeting.



PLANT & EQUIPMENT



Key project milestones/updates:

- Tractor Loader purchase requires a discussion around suitability in order to 'future proof' the purchase. Reviewing options in a effort to resolve the requirement will occur in the coming weeks. It is unlikely that any purchase, once an option is finalised, will be delivered before the end of financial year.

Enclosure 1 Letter from Audit Panel Chair

PO BOX 523
Ulverstone Tas 7315

2 December 2022

Mr Shane Crawford
General Manager
Waratah-Wynyard Council
PO Box 168
Wynyard Tas 7325

Dear Mr Crawford

Minutes of Waratah-Wynyard Council Audit Panel Meeting 22 November 2022

Attached is the unconfirmed Minutes of the above meeting. The major work plan for the meeting covered:

- Annual Audit and reporting – TAO Memorandum of Findings and Council's Annual Report
- Long-term planning – Council's Financial Management Strategy will be reviewed at the meeting in March 2023
- Internal controls and risk management – Operating risks, suspect and actual frauds, thefts and material breaches of legislation, Procurement Framework, Human Resources Framework
- Legal compliance and ethics – Council's Policies and Procedures
- Audit Panel Performance, 2023 Meeting dates and 2023 Work Plan.

Standard agenda items review included:

- Business arising from previous meetings
- General Manager Risk and Assurance Certificate
- Communications from Council
- Financial Management reports presented to Council
- General Manager's Reports provided to Council
- Minutes of Safety (OSHWELL) Committee
- Internal audit progress on supplementary rates
- Major initiatives – Business improvements processes, Annual Plan progress report and Major Initiatives.
- Quarterly Statistic Report provided to Council.

There were two recommendations made to Council from issues arising at the meeting.

1. The Panel recommended that in addition to a formal audit, internal testing of a sample of 10 transactions are undertaken annually to check procurement processes are being adhered to with a findings report provided back to the Panel.
2. The Panel recommended that statistics around Drug and Alcohol testing be reported on.

The next Audit Panel Meeting will be held on-line on 28 March 2023 at the Waratah-Wynyard Council offices.

Yours faithfully



Stephen Allen
Chair, Waratah-Wynyard Council Audit Panel



**MINUTES
AUDIT PANEL MEETING
22 NOVEMBER 2022**

Confirmed for release by the Chair on 3 December 2022

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**UNCONFIRMED MINUTES OF THE WARATAH-WYNYARD COUNCIL AUDIT PANEL MEETING
HELD AT THE CIRCULAR HEAD COUNCIL ON TUESDAY 22 NOVEMBER 2022 COMMENCING
AT 12:34pm.**

1.0 ATTENDANCE AND APOLOGIES

MEMBERS

Stephen Allen
Lisa Dixon
Paul Viney

STAFF

General Manager – Shane Crawford
Manager Financial Services – Mitchell Smith
Administrative Support – Kylie Johnson

COUNCILLORS

Mayor Dr Mary Duniam
Councillor Leanne Raw

INVITED GUESTS

Malcolm Matthews – Crowe

APOLOGIES

Director of Organisational Performance – Sam Searle

2.0 DECLARATION OF INTERESTS

| DECLARATION OF INTERESTS REGISTER WARATAH-WYNYARD COUNCIL AUDIT PANEL COMMITTEE | | | |
|--|------------|----------------|-----------------|
| Date of Decl. | Member | Company | Position /Role |
| 5/9/17 | Lisa Dixon | 2Build Pty Ltd | Family Business |

3.0 MINUTES OF MEETING HELD ON 23 AUGUST 2022

The unconfirmed Minutes of the Audit Panel Meeting held on 23 August 2022 were released by the Chair on 03 September 2022 and were presented to Council at its meeting held on the 26 September 2022.

The Panel adopted the minutes as a true and correct record.

4.0 MAJOR WORK PLAN

4.1 ANNUAL AUDIT AND REPORTING

4.1.1 & 4.1.2 – TAO Memorandum of Audit Findings - year ended 30 June 2022

Malcolm Matthews of Crowe gave an overview of TAO's findings and recommendations for the year ended 30 June 2022 to the meeting via Teams and commended the Finance Team for the quality of documentation and the improvement processes that have been implemented.

Malcolm reported on new audit findings relating to purchased leave provision and a finding relating to land assets revaluations. Malcolm advised that in relation to previous audit findings 5 have been resolved and 2 to be carried forward.

The Manager of Financial Services advised that the previous finding relating to cut-off procedures has been addressed with a review of accounts payable checklists and end of year processes undertaken. The previous finding relating to credit losses provision will be corrected in 2022 end of year processes with a paper to be provided to the Audit Panel at the end of the financial year. New findings and recommendations will be captured on the table in the Standing Agenda Item TAO Memorandum of Findings.

4.1.3 – Annual Report

The Panel noted Councils 2021/2022 Annual Report as provided and was satisfied that the information included in Council's Annual Report is consistent with the signed financial statements.

The Panel noted the initiatives being undertaken by Council in relation to carbon and sustainability.

4.2 LONG TERM PLANNING

4.2.1 Financial Management Strategy.

Council's annual review of its Financial Management Strategy will occur later than usual with the newly elected Councillors scheduled to review the Strategy early in the New Year. The updated Strategy will be presented to the Panel following formal adoption on 20 February 2023. This change of reporting date has been reflected in the 2023 Audit Panel Work Plan.

4.3 INTERNAL CONTROLS AND RISK MANAGEMENT

4.3.1 Operating Risks

The Panel noted the memorandum regarding risks and the Risk Management Continuum and Table of Risks as provided. The risk table highlighting the highest risks will continue to be included in the GM Risk Certificate on future Audit Panel agendas.

The General Manager reported on Council's risk management area and outlined the difficulties with resourcing a dedicated role following multiple unsuccessful recruitment activities. Interim measures have been implemented and the risk register continues to be maintained and reviewed by the Executive Management Team with identified risks being addressed.

The Panel queried whether Council has detailed records around the highest identified risks. The General Manager confirmed that detailed records do exist and outlined the process for reviewing the risk register. The existing Risk Management Framework will be reviewed by both Waratah-Wynyard and Circular Head Council's with the view to both organisations adopting the same framework.

Discussion ensued around cyber security. The General Manager reported on an external audit completed last year following the cyber incident at Burnie City Council with the recommendations of that report in progress. The organisations Digital Transformation Strategy is underway with phase 1, which includes ensuring cyber risks are being managed in accordance with best practice. The retention and disposal of client data held in systems is an area with more work to be done.

4.3.2 Suspect and actual frauds, thefts and material breaches of legislation

The General Manager's Risk Certification was reviewed and discussed regarding this agenda item.

4.3.3 Procurement Framework

The Panel noted the Council's Procurement Policy and associated procedures including the current Financial Delegations Register. Council recently participated in the Tasmanian Audit Office's "Strategic Procurement in Local Government" performance audit. The audit has been completed with a final report expected to be received over the coming weeks. The last internal procurement audit was completed in 2021.

It was noted that the Panel has requested that any policies tabled at future meetings include a marked-up version to highlight what has been amended from the previous version.

ACTION: The Strategic Procurement in Local Government Performance Final Audit Report to be tabled at the next meeting.

RECOMMENDATION: The Panel recommended that in addition to a formal audit, internal testing of a sample of 10 transactions are undertaken annually to check procurement processes are being adhered to with a findings report provided back to the Panel.

4.3.4 Human Resources Framework

The Panel reviewed Council's Employee Handbook and Draft People & Safety Strategic Plan and commended the quality of the documentation.

The General Manager gave an overview of the People & Safety Team functions and reporting lines.

The General Manager also reported on the organisations activities in relation to annual Trainee intakes, Australian School Based Apprenticeships and general succession planning. While there is an existing program Council undertakes with Grade 9 specifically with Wynyard High School, it was noted that there are opportunities to promote jobs in Local Government within schools more widely.

The Panel requested some regular reporting around OHS/Safety matters such as near misses, return to work etc. It was advised that this information is provided through the Organisational Performance Quarterly Statistics provided to Council and are included in Audit Panel agenda attachments as a standing item.

ACTION: The Panel to review the information provided in the quarterly reports regarding OHS/Safety statistics and advise if adequate or if another reporting mechanism, such as including on the GM Risk Certificate, is required.

RECOMMENDATION: The Panel recommended that statistics around Drug and Alcohol testing be included in the quarterly statistics.

4.4 LEGAL COMPLIANCE AND ETHICS

4.4.1 Council's Policies and Procedures

The Panel noted the Policy Currency Report as at October 2022. Regular reporting on outstanding policy reviews is occurring to the Senior Management Team. The challenges around the number of policies held was discussed.

The Panel queried whether policies were shared across WWC and CHC, the GM advised although this does not currently occur the idea could be explored.

4.5 AUDIT PANEL PERFORMANCE

4.5.1 Audit Panel Self-Assessment

The Chair will initiate an annual self-assessment of the Audit Panel's own work plan and performance as a whole and individual members contributions through a new electronic survey methodology. This will be noted in the 2023 Work Plan.

4.5.2 2023 Meeting Dates

Proposed meeting dates for 2023 were accepted as below:

| Day and Date | Council | Time |
|----------------------------------|-------------------------|--------------------|
| Tuesday 28 March 2023 at WWC | Waratah-Wynyard Council | 10:00am to 12 noon |
| | Circular Head Council | 12:30pm to 2:30pm |
| Tuesday 27 June 2023 at CHC | Circular Head Council | 10:00am to 12 noon |
| | Waratah-Wynyard Council | 12:30pm to 2:30pm |
| Tuesday 19 September 2023 at WWC | Waratah-Wynyard Council | 10:00am to 12 noon |
| | Circular Head Council | 12:30pm to 2:30pm |
| Tuesday 28 November 2023 at CHC | Circular Head Council | 10:00am to 12 noon |
| | Waratah-Wynyard Council | 12:30pm to 2:30pm |

Meetings will continue to be held on-site between WWC and CHC on an alternate basis with the travelling Council to attend via Teams. A Teams link will be provided for every meeting to allow any members to also attend remotely.

4.5.3 Annual Work Plan

The proposed annual work plan was accepted as presented.

5.0 BUSINESS ARISING FROM MEETING HELD ON 23 AUGUST 2022

The Manager of Financial Services provided a memorandum in response to the business arising from the meeting on 23 August 2022.

| Audit Panel Meeting – 23 August 2022 | | | |
|---|-----|--|---|
| | 4.1 | <p>Financial Statements – The Corporate Accountant to provide the following additional information relating to financial statements:</p> <ol style="list-style-type: none"> Log of journals and disclosures that will change in the statements following the audit process to be forwarded to the Audit Panel when available including any detail of expenses identified as having been processed in the correct period (not adjusted for). A report back to the Panel on the mechanisms in the rates resolution around non-rateable properties. Confirmation that the increase in stock holdings at the Depot relates to gravel and extraction timing. Provide the Panel with completed end of year accounting checklists when finalised. | <p>Responses:</p> <ol style="list-style-type: none"> A log of journals processed after lodgement of the Financial Statements was provided to the Panel – Matter Closed. The Panel was advised that S87 of the Local Government Act provides for rates exemptions for certain properties. Non-rateable properties are being reviewed and will be completed prior to the 2023-24 rating year – Matter Closed Confirmation was confirmed that the increase in stock holdings at the Depot relates to gravel and extraction timing – Matter Closed The Panel was provided with completed end of year accounting checklists – Matter Closed. |
| | 4.1 | <p>Operational Results - The Corporate Accountant to forward the Panel a current report of employee accrued sick leave balance trends.</p> | <p>The Corporate Accountant provided the Panel with a current report of employee accrued sick leave balance trends and reported on a review undertaken and an increase to days per employee for the 2022-23 budget year. The Panel discussed the information provided.</p> <p>The Panel suggested that management decide if accrued sick leave should be included in the Risk Register.</p> <p>Matter Closed.</p> |
| | 4.1 | <p>Operational Results - The Corporate Accountant to investigate and amend the analysis by Department to reflect correct favourable and unfavourable variances</p> | <p>The Corporate Accountant advised that the analysis by Department reflecting favourable and unfavourable variances were corrected.</p> <p>Matter Closed.</p> |
| | 8.2 | <p>Financial Management - Commentary added to Council Agenda Financial Reports to explain the impaired rates as per the recommendation made under Agenda Item 4.1.</p> | <p>General commentary has been added to Council Agenda Financial Reports around rates and charges in general.</p> <p>It is proposed to hold workshops with Council on an annual basis on rates debts outstanding and the categories of the outstanding debts in April/May each year with a report being tabled in the closed session of Council. to explain the impaired rates.</p> <p>Matter Closed.</p> |

6.0 BUSINESS ARISING FROM PREVIOUS MEETINGS

| Audit Panel Meeting – 29 June 2021 | | | |
|---|-----|--|---|
| 107 | 9.2 | Authority Database Hosting | The Cloud Hosting project has completed the Proof of Concept for the cloud hosting environment. The project is now preparing a transition plan which will include some final business verification of the production cloud configuration. Included in this plan is when the actual switch over date will be and then the disengagement with Burnie Council. This will also include looking at the ongoing support arrangements and what this looks like for Council. A service level agreement process will be developed to ensure continuity of service. |
| Audit Panel Meeting – 25 August 2020 | | | |
| 100 | 5.0 | C/fwd (36/3.0) Planning Delegations | The planning review is in progress. A report will be provided at the next meeting. |
| 101 | 5.0 | C/fwd (61/6.3) Workforce Development Plan to be provided to Panel when complete. | No progress on Workforce Development Plan. Council will continue to participate in any Cradle Coast Authority workforce profiling projects. GM report on succession planning in agenda item 4.3.4. Item considered closed. |

7.0 GENERAL MANAGER'S CERTIFICATION

The Panel noted the General Manager's Risk Certificate as provided.

8.0 STANDING AGENDA ITEMS

8.1 COMMUNICATIONS FROM COUNCIL

Nil.

8.2 FINANCIAL MANAGEMENT

The Manager of Financial Services provided an overview of the Financial Reports for August 2022 and September 2022, provided to Council at its meetings held on 26 September 2022 and 17 October 2022.

The Panel reviewed the reports and discussed the capital works program and budgeting methodology.

8.3 GENERAL MANAGER'S REPORTS PROVIDED TO COUNCIL

The Panel noted the General Manager's Reports to Council for August 2022 and September 2022.

8.4 MINUTES OF SAFETY COMMITTEE (OSHWELL)

The Panel noted the Minutes of the Safety Committee (OSHWELL) meeting held on 19 October 2022.

8.5 INTERNAL AUDIT

(a) Supplementary Rates Internal Audit

The Manager of Financial Services advised that due to low resourcing no progress has been made on the supplementary rates internal audit. It is still intended to lodge those identified properties with the Valuer-General.

(b) Service Level Audits

The Panel noted that no further service level audits have been conducted since the last meeting.

Work has been planned on Roads Service Levels utilising staff from both WWC and CHC to audit each other's service levels. This has not progressed significantly following the resignation of CHC's Works Manager. There is no timeline for completion yet.

8.6 MAJOR INITIATIVES – UPDATE

8.6.1 Business Improvement Processes

The Governance and Information Systems Department has now been combined with the Waratah-Wynyard Council and the Circular Head Council teams working under the one resource shared Manager for a few months. The teams are settling into the new arrangements with foundational steps being put in place to ensure alignment of processes. The initial phase of these was a helpdesk review where the team have implemented a common triage matrix to ensure all helpdesk tickets are getting the appropriate and consistent priority.

The approved Policy Framework has been presented to both Senior and Executive Leadership teams and Master Policy Registers are being maintained and monthly reporting provided to both Senior and Executive Leadership teams.

8.6.2 Annual Plan Progress Report

The Panel reviewed the September 2022 quarterly progress report of Annual Plan actions that were reported to Council at its meeting held on the 17 October 2022.

8.6.3 Major Initiatives - General Manager Update

The General Manager advised there were no major updates since the last meeting with Council being in caretaker mode over the election period. A significant amount of work has been undertaken regarding councillor inductions.

8.7 QUARTERLY INFORMATION REPORTS TO COUNCIL

The Panel reviewed the Quarterly Information Reports provided to Council its meetings held on the 26 September 2022 and 17 October 2022.

It was noted that the online timesheet project is on hold with a decision regarding continuation to be made.

9.0 RECOMMENDATIONS OF PANEL

The Manager of Financial Services reported on 2 recommendations made at the previous Audit Panel meeting as follows:

RECOMMENDATION 1:

That Council review its Plant Hire Rates and Plant Hire Reporting to ensure plant hire costs are full recovered from Council's capital projects and operational functions.

RESPONSE:

Work has been undertaken in this space. A report has been received on a Plant Hire Reporting System and Plant Hire Rates. The report is currently being reviewed. The outcome will be provided at the next meeting.

RECOMMENDATION 2:

The Panel recommended that Council review its budgeting methodology for Personal Leave taking into account the accrued leave balances of staff.

RESPONSE:

This recommendation was addressed in item 5.0 Business Arising from Previous Meeting. Item considered closed.

The Panel made 2 new recommendations during the meeting:

RECOMMENDATION 1:

Under Item 4.3.3 - The Panel recommended that in addition to a formal audit, internal testing of a sample of 10 transactions are undertaken annually to check procurement processes are being adhered to and report back to the Panel.

RECOMMENDATION 2:

Under Item 4.3.4 - The Panel recommended that statistics around Drug and Alcohol testing be reported on.

GENERAL COMMENT:

The Panel queried whether there is a process in place for conducting randomised workplace safety inspections. The General Manager advised that there is a structured scheduled process in place for undertaking checks through the Occupational, Safety, Health & Wellbeing Committee. More randomised checks could be considered. Near-miss reporting has been an area of focus with staff being encouraged to report all incidents and near-misses.

10.0 GENERAL BUSINESS

Nil.

11.0 MAJOR WORKPLAN FOR NEXT MEETING

The major workplan for the meeting to be held on 28 March 2023 is as follows:

| Item | Activity | Mar | Comment/Status |
|------------|---|-----|--|
| 1 | Financial Management | | |
| 1.2 | Financial Governance | | |
| | Review the assumptions and bases upon which the council's budgeting and forecasting are determined. | √ | Management Report to meeting Reporting Officer: Manager Financial Services |
| 3 | Long-Term Planning | | |
| | Determine whether and how the strategic plan, annual plan, long-term financial management plan and long-term strategic asset management plans of the council are integrated and review the processes by which, and assumptions under which, those plans were prepared. | √ | Financial Management Strategy – Director of Organisational Performance SAMP – Manager of Asset Services |
| | Review the veracity and appropriateness of information contained within the council's long-term plans, policies and strategies | √ | Financial Management Strategy – Director of Organisational Performance SAMP – Manager of Asset Services |
| | Financial Management Strategy | √ | Financial Management Strategy – Director of Organisational Performance SAMP – Manager of Asset Services |
| 4 | Internal Controls and Risk Management | | |
| | Ensure the council has in place an effective risk management framework that encompasses: <ul style="list-style-type: none"> • policies outlining the relative roles and responsibilities of the council, audit panel and council management. • risk registers and assessments; and • a plan for ongoing monitoring of the council's risk profile and its relationship to its risk management framework. | √ | Management Report to meeting |
| | Risk Management Framework | √ | Reporting Officer: Director of Organisational Performance |
| | Determine whether the council has internal processes for determining and managing material operating risks in the following areas: <ul style="list-style-type: none"> • important accounting judgements or estimates that prove to be incorrect. • litigation, claims and complaints against the council. • fraud, theft and other illegal and unethical behaviour; and • significant business risks, such as workplace health and safety, information security and reputation, and how these are managed by the council. | √ | Response provided through the GM Risk Certificate |
| | Information technology Update | √ | Reporting Officer – Manager Governance and Information Systems |
| 5 | Legal Compliance and Ethics | | |
| | Monitor compliance with legislation such as the: <ul style="list-style-type: none"> • Local Government Act 1993. • Land Use Planning and Approvals Act 1993. • Work Health and Safety Act 2012. • Dog Control Act 2000. • Food Act 2003. • Environmental Management and Pollution Control Act 1994. • Water and Sewerage Industry Act 2008. • Building Act 2000. • Land Acquisition Act 1993. • Local Government (Building and Miscellaneous Provisions) Act 1993. • Local Government (Highways) Act 1982; and | √ | Quarterly legislative compliance audits |

| Item | Activity | Mar | Comment/Status |
|------|--|-----|----------------|
| | <ul style="list-style-type: none"> Anti-Discrimination Act 1998. | | |
| | Ensure the council's policies and procedures are appropriately designed and implemented, and that effective systems are in place to monitor compliance with those policies and procedures. | √ | Policy Report |

12.0 NEXT MEETING

The next meeting of the Waratah-Wynyard Council Audit Panel is to be held on Tuesday 28 March 2023 at the Waratah-Wynyard Council commencing at 10:00am.

13.0 MEETING CLOSURE

There being no further business the Chairman declared the meeting closed at 2:40 pm.

14.0 ACTION LIST

| Audit Panel Meeting – 22 November 2022 | | | |
|---|-------|---|--|
| | 4.3.3 | The Strategic Procurement in Local Government Performance Audit | The final report to be tabled at the March 2023 meeting. |
| | 4.3.4 | OHS/Safety Statistics | The Panel to review the information provided in the quarterly reports regarding OHS/Safety statistics and advise if adequate or if another reporting mechanism, such as including on the GM Risk Certificate, is required. |
| | 9.0 | Recommendation from meeting of 23 August 2022 - Plant Hire Rates and Plant Hire Reporting | The outcome of the review of the Plant Hire Rates and Plant Hire Report to be tabled at the next meeting. |
| Audit Panel Meeting – 29 June 2021 | | | |
| 107 | 9.2 | Authority Database Hosting | The Cloud Hosting project has completed the Proof of Concept for the cloud hosting environment. The project is now preparing a transition plan which will include some final business verification of the production cloud configuration. Included in this plan is when the actual switch over date will be and then the disengagement with Bumie Council. This will also include looking at the ongoing support arrangements and what this looks like for Council. A service level agreement process will be developed to ensure continuity of service. |
| Audit Panel Meeting – 25 August 2020 | | | |
| 100 | 5.0 | C/fwd (36/3.0) Planning Delegations | The planning review is in progress. A report will be provided at the next meeting. |