



ORDINARY MEETING OF COUNCIL

ATTACHMENTS TO REPORTS

18 January 2021

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Enclosure 1 Objection - Sale of Public Land

From: [Brandon Walker](#)
To: [Council](#)
Subject: SALE OF PUBLIC LAND – 9 Martin Street Wynyard
Date: Wednesday, 23 December 2020 4:12:12 PM

Recently I had come across a piece of a4 paper attached to a small stick post stating the park will be put up for sale and was concerned how many residents near by had actually noticed. So I took it upon my self to talk to the people of Martin street and regular uses of the park and identified that they hadn't noticed the sign and had a large number of negative reactions for the sale of the property and i would like to object the sale of the property on behalf of Martin street, as many residents of this area don't have the capacity/services to object.

The park is a safe community environment for all family's and local residents and has been for a long time. Local Children interact on a daily basis at the park
As it has easy and safe access. During a time of COVID We understand the new east Wynyard development playground has recently opened up has gained a lot of interest, but the access for the young children of Martin street is a concern as they are crossing a busy road and is a larger walking distance from there home.

If this property is to be sold privately, a benefit for the council would be to receive rates, but if you weigh that against a safe community environment with easy access and promote what could be a larger recreation area for Martin street with replacing the out-dated playground with a bbq area or any type of community recreational area.

Thank you for your consideration and we hope you can understand why we would like to keep this community area.

Brandon walker.

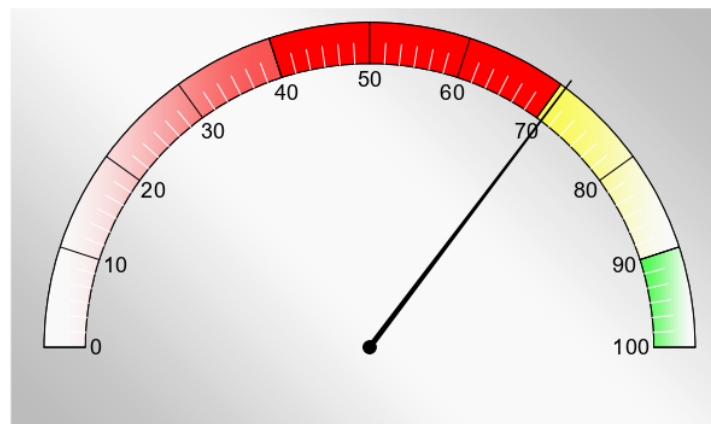


Departmental Monthly Performance Report

December 2020

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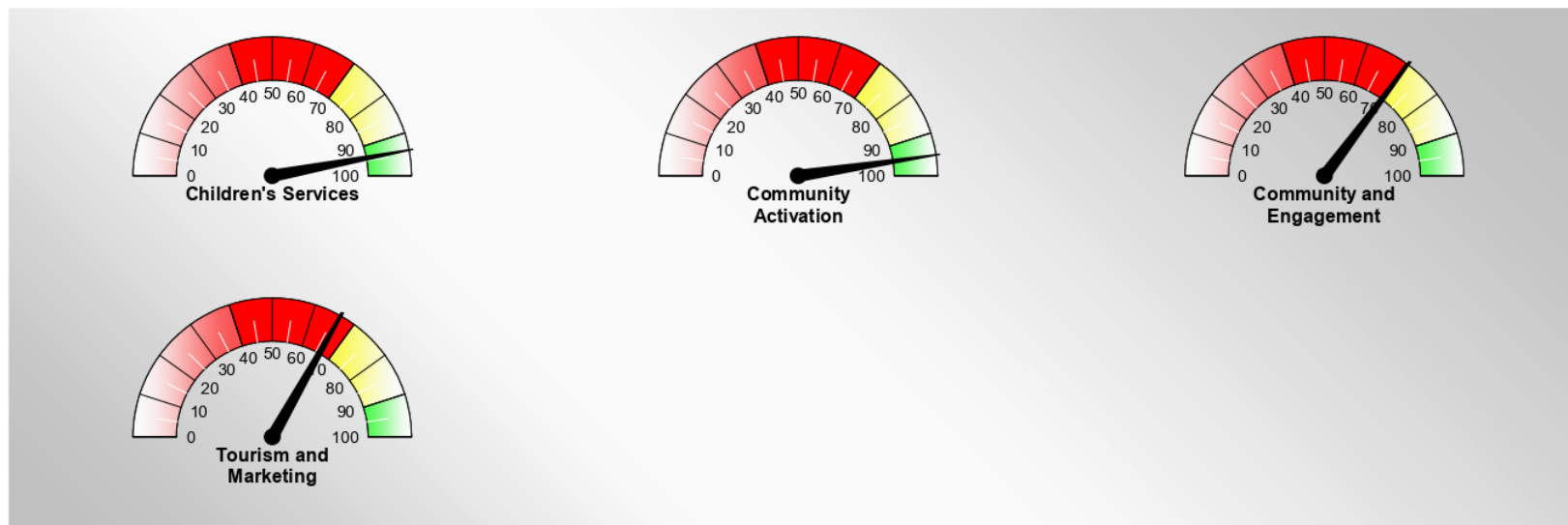
Monthly Progress against Actions



Description	Indicator
93 Actions reported on	
48 Actions at least 90% of monthly target	■
8 Actions between 70 and 90% of monthly target	■
36 Actions less than 70% of monthly target	■
0 Ongoing Actions	
1 Deferred Actions	
0 Actions with no target set	
0 Incomplete Actions	

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Monthly Progress by Business Group



BUSINESS GROUP	NO. OF ACTIONS REPORTED ON	NO. OF ACTIONS AT LEAST 90% OF TARGET	NO. OF ACTIONS BETWEEN 70 & 90% OF TARGET	NO. OF ACTIONS LESS THAN 70% OF TARGET	NUMBER OF DEFERRED ACTIONS	NUMBER OF ONGOING ACTIONS	ACTIONS WITH NO TARGET	INCOMPLETE ACTIONS
Children's Services	3	2	0	1	0	0	0	0
Community Activation	8	5	1	2	0	0	0	0
Community and Engagement	8	3	1	4	0	0	0	0
Tourism and Marketing	6	3	0	3	0	0	0	0

Departmental Monthly Performance Report - Community and Engagement



At least 90% of monthly Action target achieved



Between 70 and 90% of monthly Action target achieved



Less than 70% of monthly Action target achieved

Children's Services

ACTION	PROGRESS	RESPONSIBLE PERSON	COMP. DATE	KPI TITLE	TARGET	ACTUAL	PROGRESS
Future Direction: 3 Connected Communities							
Strategy: 3.4.1 Promote and work with stakeholders to provide affordable quality services.							
3.4.1.1 Complete detailed design for infrastructure proposal for Warawyn Early Learning and seek funding for the project.	Design developed. Estimates being investigated,	Wendy Richards	30/06/2021	N/A	48	80	
3.4.1.2 Seek funding for infrastructure proposal at Warawyn Early Learning.	Contracted submission provider.	Wendy Richards	30/06/2021	N/A	48	25	
Future Direction: 4 Community Recreation and Wellbeing							
Strategy: 4.1.2 Encourage community providers to be welcoming, supportive and inclusive, and to provide for all ages, abilities and cultures.							
4.1.2.1 Implement year 3 deliverables for Warawyn Early Years Reconciliation Action Plan.	RAP goals and deliverables have been reviewed and updated for a third year. Deliverables have been added to service RAP tracker for planning purposes.	Wendy Richards	30/06/2021	N/A	48	58	



Departmental Monthly Performance Report - Community and Engagement

Community Activation

ACTION	PROGRESS	RESPONSIBLE PERSON	COMP. DATE	KPI TITLE	TARGET	ACTUAL	PROGRESS
Future Direction: 1 Leadership and Governance							
Strategy: 1.2.1 Review and adjust service levels to provide value for money.							
1.2.1.1 Implementation of fees and charges review (sporting grounds).	Led by Greg Irwin, work in this space is ongoing. The draft implementation strategy has been created. No agreements have been signed yet, but negotiations have commenced with different sporting groups.	Bronwyn Folden	30/06/2021	N/A	48	60	
Future Direction: 3 Connected Communities							
Strategy: 3.3.2 Facilitate activities and events that promote inclusion, health, safety and a sense of place.							
3.3.2.1 Enhanced Tulip Festival activities to celebrate 30 years of the event.	The 2020 Tulip Festival was replaced with a month long program of smaller events, dubbed Spring Loaded. The program was delivered successfully, with positive feedback received from local businesses, organisations and the community. An evaluation and report was delivered to Councilors at a workshop on November 30th.	Bronwyn Folden	30/06/2021	N/A	48	100	

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Departmental Monthly Performance Report - Community and Engagement

ACTION	PROGRESS	RESPONSIBLE PERSON	COMP. DATE	KPI TITLE	TARGET	ACTUAL	PROGRESS
3.3.2.2 Implement actions and activities from the COVID-19 Social Recovery Plan.	Waratah-Wynyard Council have identified 5 objectives as part of its C19 Social Recovery Action Plan. Some objectives focus on "in the moment" activators and will occur when the C19 situation is present in our community. This primarily pertains to information sharing in an effective, relevant and timely manner. The other objectives are around developing and supporting opportunities for local programs and innovations. The Survive & Thrive grant round has commenced, creating an opportunity for financial support towards recovery. A report on the Survive & Thrive grant round was delivered to Councilors at a workshop on December 7th.	Bronwyn Folden	30/06/2021	N/A	48	58	
3.3.2.3 Establish an enclosed dog exercise area in Wynyard.	A potential alternate location for the dog park has been identified. Currently this location is being utilised by another user group, however this user group have approached Council and flagged a desire to move. Negotiations between the existing user group of the space and the GM are underway. Until the outcome of this is certain, the dog park establishment has not progressed.	Bronwyn Folden	30/06/2021	N/A	48	25	
Strategy: 3.4.2 Support and promote strategies to increase the rate of volunteerism in the community.							

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Departmental Monthly Performance Report - Community and Engagement

ACTION	PROGRESS	RESPONSIBLE PERSON	COMP. DATE	KPI TITLE	TARGET	ACTUAL	PROGRESS
3.4.2.1 Review Council volunteer registration and induction process and ensure best practice processes endorsed by Volunteering Tasmania are followed.	The process of review has commenced. Volunteering Tasmania has been contacted to provide input. Other Australian Councils have been researched to look at how they handle their volunteer onboarding and also the resources and supports in place. Conversations and support have been provided by Jackee in HR, Don at Works and Greg with Sport & Rec to ensure a rounded, and inclusive scope of the nature of volunteers at WWC has been taken into account.	Bronwyn Folden	30/06/2021	N/A	48	25	
Strategy: 3.5.1 Build community capacity through services and programs that strengthen, support and care for our community.							
3.5.1.1 Deliver year 2 Implementation Plan for Health and Wellbeing Plan.	Implementation Plan for Year Two deliverables in Health and Well being is underway. Some changes are being made regarding delivery, due to C19 restrictions. The Officers are being adaptive and dynamic in their approach to Year Two. This will result in adapted versions of the programs being delivered, limiting stagnation due to C19 from occurring. The entire communities team has met (including Circular Head Community Team) to jointly identify priorities and go over goals and objectives to make sure the plan is on track.	Bronwyn Folden	30/06/2021	N/A	48	50	



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Departmental Monthly Performance Report - Community and Engagement

ACTION	PROGRESS	RESPONSIBLE PERSON	COMP. DATE	KPI TITLE	TARGET	ACTUAL	PROGRESS
3.5.1.2 Deliver year 2 Implementation Plan for Age Friendly Communities Plan.	Implementation Plan for Year Two deliverables in Age Friendly Communities is underway. Some changes are being made regarding delivery, due to C19 restrictions. The Officers are being adaptive and dynamic in their approach to Year Two. This will result in adapted versions of the programs being delivered, limiting stagnation due to C19 from occurring. The entire communities team has met (including Circular Head Community Team) to jointly identify priorities and go over goals and objectives to make sure the plan is on track.	Bronwyn Folden	30/06/2021	N/A	48	50	
3.5.1.3 Implement Healthy Tasmania Breathe, Eat, Move & Relax for a Healthy Lifestyle project.	Kelly is actively engaged in unpacking the intention of the Healthy Tasmania project. Kelly has been working with relevant Council and community staff to create programs that will be able to realise the goals, as listed in the grant application. As some time has passed between original quotation and delivery, there have been some costing variants, but Kelly is seeking support to prioritise the budget, and Richard has contacted the grantors to notify and request permission for some funding changes, as they occur. An official launch of the project will be occurring in the Circular Head and Wynyard areas the first week of December.	Bronwyn Folden	30/06/2021	N/A	48	40	

Departmental Monthly Performance Report - Community and Engagement

Community and Engagement

ACTION	PROGRESS	RESPONSIBLE PERSON	COMP. DATE	KPI TITLE	TARGET	ACTUAL	PROGRESS
Future Direction: 1 Leadership and Governance							
Strategy: 1.1.1 Commit to best practice in community engagement.							
1.1.1.1 Complete a review of the Waratah Community Plan 2018/21.	The Waratah Community Plan is scheduled for review in February 2021. An update on progress of the Community Plan was tabled at the October Council meeting.	Tracey Bradley	30/06/2021	N/A	48	0	
1.1.1.2 Complete implementation of Public Camping Strategy.	Signage has been installed at identified sites advising of camping not being permitted. The expression of interest process to seek interest in provision of public camping at Sisters Beach has been completed. At the November 16 Council meeting it was noted that there were no applications received from the EOI process and that a new EOI process would be undertaken at a later date.	Tracey Bradley	30/06/2021	N/A	48	54	
Future Direction: 3 Connected Communities							
Strategy: 3.1.2 Promote and strengthen community safety to retain and attract families to live and recreate in Waratah-Wynyard.							
3.1.2.1 Investigate best practice bushfire management and provide recommendations to Council.		Tracey Bradley	30/06/2021	N/A	48	0	
Strategy: 3.3.1 Provide high quality shared and multi-use community hubs that combine a range of recreational, sporting and educational uses.							
3.3.1.1 Establish a community centre in Somerset within an existing building.	A review of the planning requirements is being undertaken to progress the establishment of the centre.	Tracey Bradley	30/06/2021	N/A	48	27	

December 2020 - Departmental Monthly Performance Report

Departmental Monthly Performance Report - Community and Engagement

ACTION	PROGRESS	RESPONSIBLE PERSON	COMP. DATE	KPI TITLE	TARGET	ACTUAL	PROGRESS
3.3.1.2 Commence construction of ANZAC Park All Ability Playground.	<p>The following actions have occurred:</p> <ul style="list-style-type: none"> • Crown Land consent received • Site survey completed • Soil testing and Water and Structural Engineer consulted • Project plan and timeline developed • Communications plan developed • Procurement of designer complete • Detailed design commenced. <p>The project is slightly ahead of the project timeline. Council internal project team meeting regularly with updates to stakeholder groups.</p>	Tracey Bradley	30/06/2021	N/A	48	27	
Future Direction: 4 Community Recreation and Wellbeing							
Strategy: 4.1.1 Collaborate with community organisations that provide recreation opportunities to our community.							
4.1.1.1 Develop a concept plan and operational model for a community centre in Sisters Beach.	Consultation has been undertaken with the community	Tracey Bradley	30/06/2021	N/A	48	36	
Strategy: 4.4.2 Provide and maintain quality and safe places and spaces for physical, social and cultural activities, including shared and multi-use facilities where							
4.4.2.1 Implement adopted strategy for the Waratah Rail Bridge.	External funding of \$200,000 has been secured for development of a bridge adjacent to the historic rail bridge to progress the area as a tourism attraction. The Waratah Community Board considered additional funding options at the Board meeting in September. Design and construct options being considered.	Tracey Bradley	30/06/2021	N/A	48	49	
Future Direction: 5 Economic Prosperity							
Strategy: 5.1.3 Support existing and encourage new innovative activities/industries to the area.							
5.1.3.1 Obtain quantity estimates for the Waratah Waterfall Walk and develop a funding submission for potential grant. (Waratah Community Plan)	Detailed report received.	Tracey Bradley	30/06/2021	N/A	48	80	

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Departmental Monthly Performance Report - Community and Engagement

Tourism and Marketing

ACTION	PROGRESS	RESPONSIBLE PERSON	COMP. DATE	KPI TITLE	TARGET	ACTUAL	PROGRESS
Future Direction: 1 Leadership and Governance							
Strategy: 1.2.1 Review and adjust service levels to provide value for money.							
1.2.1.1 Install coin operated laundry and improved locking system at the Waratah camp ground.	Laundry items and locks installed	Rachael Hogge	30/06/2021	N/A	48	100	
Future Direction: 3 Connected Communities							
Strategy: 3.2.1 Deliver engagement strategies that adapt to community needs to ensure effective communication and collaboration.							
3.2.1.1 Implement priorities from the Communication and Engagement Strategy 2019/21.	Continuing to implement priority actions and key tasks including conducting a review of Year 1 actions with report to Council complete, continued upgrading of Council website to include more online functions such as payment of dog registrations and online booking platform for facilities. New Intranet established for Councillors and being tested in early new year (Sharepoint)	Rachael Hogge	30/06/2021	N/A	48	61	
Future Direction: 4 Community Recreation and Wellbeing							
Strategy: 4.2.1 Focus on the value of recreation in promoting the health and wellbeing of our community.							
4.2.1.1 Work in collaboration with the State Government on the installation of a signature story stop at Whyte Hill Lookout.	Preferred artist selected and is working on detailed plans and necessary approvals with parks and Council. Expected timeframe for installation is April 2021	Rachael Hogge	30/06/2021	N/A	48	52	
Future Direction: 5 Economic Prosperity							
Strategy: 5.1.3 Support existing and encourage new innovative activities/industries to the area.							
5.1.3.1 Review and update the Tourism Plan and ensure consistent with the Regional Tourism Direction.	Commenced in December 2020.	Rachael Hogge	30/06/2021	N/A	48	10	
5.1.3.2 Develop a business plan for the Loo with a View concept.	Application for grant to cover cost of report submitted in early November - unsuccessful. Will progress Jan/Feb.	Rachael Hogge	30/06/2021	N/A	48	5	


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Departmental Monthly Performance Report - Community and Engagement

ACTION	PROGRESS	RESPONSIBLE PERSON	COMP. DATE	KPI TITLE	TARGET	ACTUAL	PROGRESS
Future Direction: 7 Environment							
Strategy: 7.3.1 Provide education to facilitate awareness and appreciation of built and natural assets.							
7.3.1.1 Develop a proposal for creating a geological trail, incorporating printed material, signage and video storytelling.	Have had early discussions with project manager for landcare project to ensure geological trail options are included in the overall plan for the area.	Rachael Hogge	30/06/2021	N/A	48	5	

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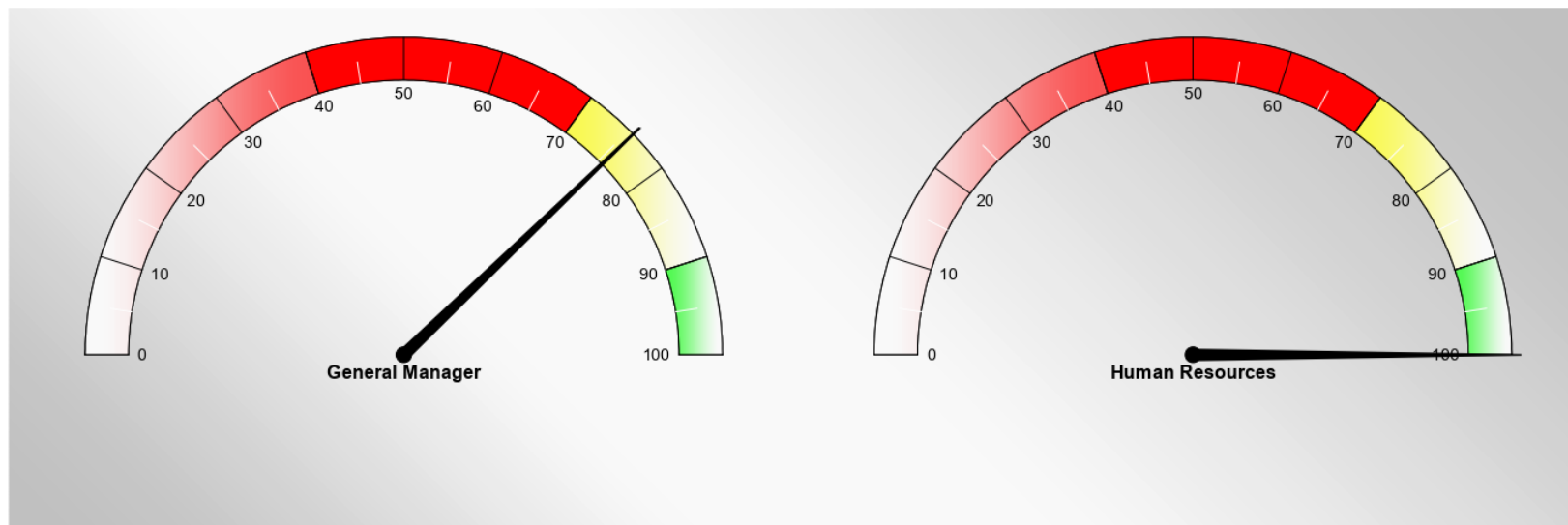


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Departmental Monthly Performance Report - General Manager

Monthly Progress by Business Group



BUSINESS GROUP	NO. OF ACTIONS REPORTED ON	NO. OF ACTIONS AT LEAST 90% OF TARGET	NO. OF ACTIONS BETWEEN 70 & 90% OF TARGET	NO. OF ACTIONS LESS THAN 70% OF TARGET	NUMBER OF DEFERRED ACTIONS	NUMBER OF ONGOING ACTIONS	ACTIONS WITH NO TARGET	INCOMPLETE ACTIONS
General Manager	7	4	0	3	0	0	0	0
Human Resources	3	3	0	0	0	0	0	0

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Departmental Monthly Performance Report - General Manager



At least 90% of monthly Action target achieved



Between 70 and 90% of monthly Action target achieved



Less than 70% of monthly Action target achieved

General Manager




ACTION	PROGRESS	RESPONSIBLE PERSON	COMP. DATE	KPI TITLE	TARGET	ACTUAL	PROGRESS
Future Direction: 1 Leadership and Governance							
Strategy: 1.2.1 Review and adjust service levels to provide value for money.							
1.2.1.1 Undertake a review of town planning services.	Inception workshop held. Scoping document drafted for work to be completed by external provider in early 2021. Planning officer attention has been on LPS and Settlement Strategy during end of 2020	Shane Crawford	30/06/2021	N/A	48	10	
Strategy: 1.6.1 Encourage increased participation by all stakeholders.							
1.6.1.1 Continue to develop Partnership agreements with key community organisations to formalise working relationships.	No progress to date	Shane Crawford	30/06/2021	N/A	48	0	
Future Direction: 2 Organisational Support							
Strategy: 2.2.2 Review and update systems and processes to ensure best practice and customer-centric outcomes.							
2.2.2.1 Refine arrangements for resource shared employees, including development of individual MOU's.	MOU development stalled due to under resourced human resources area following departure of the HR Coordinator and lengthy delay in filling the role. Ongoing project with no progress in recent months	Shane Crawford	30/06/2021	N/A	48	50	
Strategy: 2.6.1 Promote Best Practice and foster innovation.							
2.6.1.1 Complete documented audit of Work Health and Safety Management System.	Audit completed. Correctives Actions from Audit outstanding.	Jackee Evans	30/06/2021	N/A	48	100	

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Departmental Monthly Performance Report - General Manager

ACTION	PROGRESS	RESPONSIBLE PERSON	COMP. DATE	KPI TITLE	TARGET	ACTUAL	PROGRESS
Future Direction: 4 Community Recreation and Wellbeing							
Strategy: 4.1.1 Collaborate with community organisations that provide recreation opportunities to our community.							
4.1.1.1 Work with Taswater and the Waratah community to facilitate a mutually agreed future for the Waratah Dam.	Taswater have advised that the EOI process was unsuccessful and the dam will be decommissioned. This decommissioning process has now formally commenced. WWC has written to Taswater in December outlining concerns. Mayor and General Manager regularly meet with Friends of the Waratah Reservoir - the last of these meetings was on 9 December 2020.	Shane Crawford	30/06/2021	N/A	48	75	
Strategy: 4.3.1 Commit to ongoing recreation and open space planning to ensure evidence-based decisions are made about the role of Council and its partners in							
4.3.1.1 Develop detailed design for the Somerset Recreation Precinct.	Meetings have been held with the Department of Education and the Somerset Primary School regarding their requirements and preliminary concept plans commenced. Council in June adopted revised Somerset Soccer plan and acknowledged update on the development of the precinct. Works on Cardigan Street progressing with stage 1 and 2 due for completion prior to year end 2020. Initial feasibility and spatial analysis underway.	Shane Crawford	30/06/2021	N/A	48	25	
Strategy: 4.4.2 Provide and maintain quality and safe places and spaces for physical, social and cultural activities, including shared and multi-use facilities where							
4.4.2.1 Secure an operator for the cafe within the new multi-purpose (Yacht Club) facility.	Council exploring options for the cafe.	Shane Crawford	30/06/2021	N/A	48	50	

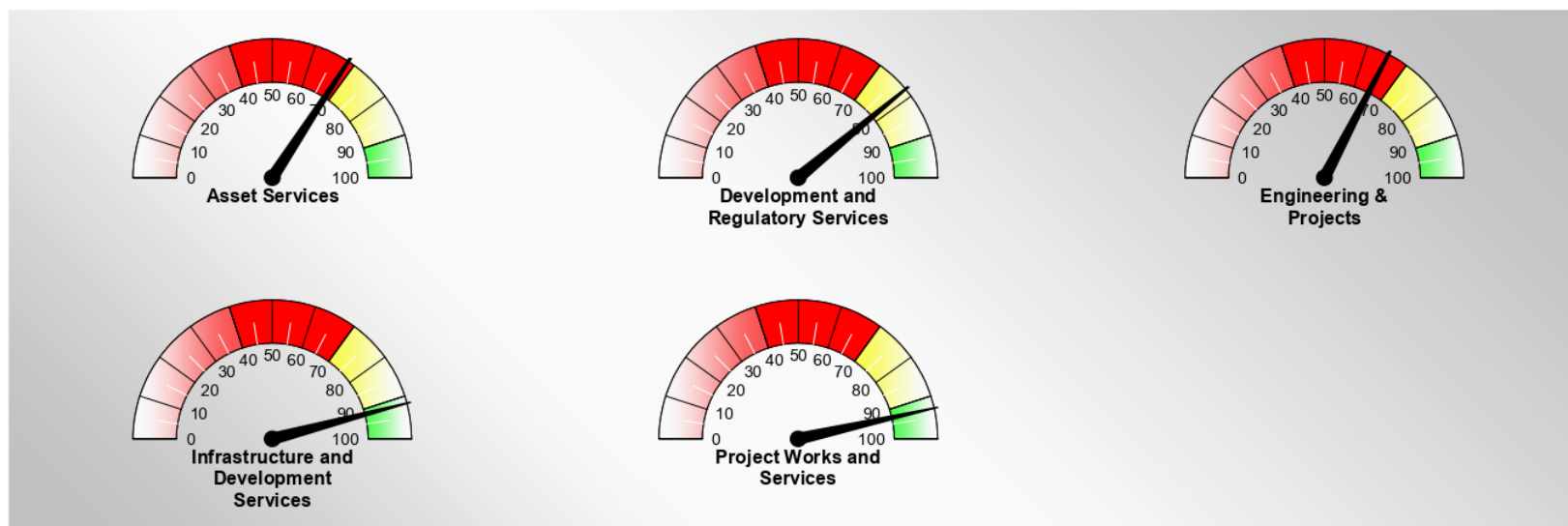
Departmental Monthly Performance Report - General Manager

Human Resources

ACTION	PROGRESS	RESPONSIBLE PERSON	COMP. DATE	KPI TITLE	TARGET	ACTUAL	PROGRESS
Future Direction: 1 Leadership and Governance							
Strategy: 1.5.1 Build our knowledge base to apply in decision-making processes.							
1.5.1.1 Complete feasibility study for a HR system to record training and qualifications to identify skill gaps.	Discussions are still ongoing into what is expected from a new HR system. Training is currently recorded in Who's on Location and system seems to work well.	Jackee Evans	30/06/2021	N/A	48	100	
Future Direction: 2 Organisational Support							
Strategy: 2.1.1 Develop a learning culture that ensures staff have the knowledge and skills to maximise potential, and which empowers staff to achieve and grow.							
2.1.1.1 Implement online inductions for employees, contractors and volunteers.	Inductions completed online using Who's on Location. Corporate Induction Work Health & Safety Induction Risk Management Induction Infection Prevention & Control	Jackee Evans	30/06/2021	N/A	48	100	
2.1.1.2 Review and improve the corporate training register.	Corporate Training Plan register completed.	Jackee Evans	30/06/2021	N/A	48	100	

Departmental Monthly Performance Report - Infrastructure and Development Services

Monthly Progress by Business Group



BUSINESS GROUP	NO. OF ACTIONS REPORTED ON	NO. OF ACTIONS AT LEAST 90% OF TARGET	NO. OF ACTIONS BETWEEN 70 & 90% OF TARGET	NO. OF ACTIONS LESS THAN 70% OF TARGET	NUMBER OF DEFERRED ACTIONS	NUMBER OF ONGOING ACTIONS	ACTIONS WITH NO TARGET	INCOMPLETE ACTIONS
Asset Services	3	2	0	0	1	0	0	0
Development and Regulatory Services	5	3	0	2	0	0	0	0
Engineering & Projects	11	1	0	10	0	0	0	0
Infrastructure and Development Services	15	8	3	4	0	0	0	0
Project Works and Services	2	0	1	1	0	0	0	0

Departmental Monthly Performance Report - Infrastructure and Development Services



At least 90% of monthly Action target achieved



Between 70 and 90% of monthly Action target achieved



Less than 70% of monthly Action target achieved

Asset Services

ACTION	PROGRESS	RESPONSIBLE PERSON	COMP. DATE	KPI TITLE	TARGET	ACTUAL	PROGRESS
Future Direction: 1 Leadership and Governance							
Strategy: 1.5.1 Build our knowledge base to apply in decision-making processes.							
1.5.1.1 Improve Asset Management Systems. This is deferred in favour of CRM Module implementation first.	This action deferred in favour of CRM Module implementation first	Jonathan Linden	30/06/2021	N/A	48	1	Deferred
1.5.1.2 Implement the highest priority improvements from the Strategic Asset Management Plan maturity audit.	Formalisation of Strategic AM steering committee consisting of EMT and Manager Asset Services with quarterly meetings proposed.	Jonathan Linden	30/06/2021	N/A	48	55	
1.5.1.3 Update the Buildings Asset Management Plan including revaluation of all buildings and componentisation of major buildings.	Draft Valuation Report delivered and in review. Buildings AMP review to commence early in 2021.	Jonathan Linden	30/06/2021	N/A	48	60	

Departmental Monthly Performance Report - Infrastructure and Development Services

Development and Regulatory Services

ACTION	PROGRESS	RESPONSIBLE PERSON	COMP. DATE	KPI TITLE	TARGET	ACTUAL	PROGRESS
Future Direction: 1 Leadership and Governance							
Strategy: 1.5.2 Maintain accountability by ensuring council decisions are evidence based and meet all legislative obligations.							
1.5.2.1 Create a Council enforcement policy to guide how Land Use Planning and Approvals Act 1993 obligations of Council will be executed.	Commencement date put back to 2021 given current workloads of relevant officers.	Ashley Thornton	30/06/2021	N/A	48	0	
Future Direction: 5 Economic Prosperity							
Strategy: 5.4.2 Ensure evidence-based allocation of infrastructure and land use to enable sustainable growth.							
5.4.2.1 Develop and deliver a Settlement Strategy to guide future growth and development within the municipal area.	Draft strategy issue for community consultation. Active community consultation to commence mid-January.	Ashley Thornton	30/06/2021	N/A	48	72	
Future Direction: 7 Environment							
Strategy: 7.2.1 Practice effective urban and landscape design and planning that promotes liveability and connectivity and recognises local heritage.							
7.2.1.1 Tasmanian Planning Scheme implementation.	Revised draft LPS has been submitted to the planning commission for their review. Once content, the planning commission will request Council to commence the public notification period.	Ashley Thornton	30/06/2021	N/A	48	31	
7.2.1.2 Submit desired amendments to the Tasmanian Planning Commission.	Revised draft LPS has been submitted to the planning commission for their review.	Ashley Thornton	30/06/2021	N/A	48	100	
7.2.1.3 Undertake rezoning identified in the Central Area Development Plan.	Rezoning are included within the draft LPS, and will be considered by the planning commission in their review of Council's planning scheme submission.	Ashley Thornton	30/06/2021	N/A	48	50	





Departmental Monthly Performance Report - Infrastructure and Development Services

Engineering & Projects

ACTION	PROGRESS	RESPONSIBLE PERSON	COMP. DATE	KPI TITLE	TARGET	ACTUAL	PROGRESS
Future Direction: 3 Connected Communities							
Strategy: 3.3.1 Provide high quality shared and multi-use community hubs that combine a range of recreational, sporting and educational uses.							
3.3.1.1 Boat Harbour Beach Masterplan design and planning of roadway and open space layout.	Survey work has been completed. Design and planning has commenced.	James Brewer	30/06/2021	N/A	48	50	
3.3.1.2 Boat Harbour Beach Master Plan design and planning rock wall and reclamation, northern bay.	Alluvium contracting engaged to undertake options analysis for consideration	Corey Gould	30/06/2021	N/A	48	15	
Future Direction: 4 Community Recreation and Wellbeing							
Strategy: 4.3.1 Commit to ongoing recreation and open space planning to ensure evidence-based decisions are made about the role of Council and its partners in							
4.3.1.1 Design and planning for erosion and sea level rise protection at ANZAC Park, Somerset.	Alluvium contracting engaged to undertake options analysis for consideration	Corey Gould	30/06/2021	N/A	48	15	
Strategy: 4.4.2 Provide and maintain quality and safe places and spaces for physical, social and cultural activities, including shared and multi-use facilities where							
4.4.2.1 Design and planning for Gutteridge Gardens river wall renewal with reclamation opportunities explored.	Alluvium contracting engaged to undertake options analysis for consideration	Corey Gould	30/06/2021	N/A	48	15	
4.4.2.2 Design and planning for erosion and sea level rise protection at the creek mouth, Sisters Beach.	Alluvium contracting engaged to undertake options analysis for consideration	Corey Gould	30/06/2021	N/A	48	15	
Future Direction: 5 Economic Prosperity							
Strategy: 5.3.2 Assess potential capability for economic expansion.							
5.3.2.1 Design, consultation and planning for public parking and intersection improvements Inglis / Church / Park Street and surrounding businesses.	Survey data obtained and detailed concept drawings well progressed in consultation with IGA.	Corey Gould	30/06/2021	N/A	48	20	
Strategy: 5.4.2 Ensure evidence-based allocation of infrastructure and land use to enable sustainable growth.							
5.4.2.1 Undertake Port Creek flood mitigation works.	Workshopped with Council in December and negotiations underway with stakeholders.	Jamie Warr	30/06/2021	N/A	48	30	

December 2020 - Departmental Monthly Performance Report

Departmental Monthly Performance Report - Infrastructure and Development Services

ACTION	PROGRESS	RESPONSIBLE PERSON	COMP. DATE	KPI TITLE	TARGET	ACTUAL	PROGRESS
5.4.2.2 Undertake Big Creek flood mitigation works.	Engaging land owner to confirm permits and licenses	Jamie Warr	30/06/2021	N/A	48	25	
Future Direction: 6 Transport and Access							
Strategy: 6.1.2 Prioritise and address service gaps with a road hierarchy.							
6.1.2.1 Design & planning for widening of Table Cape & Tollymore Roads Wynyard.		Corey Gould	30/06/2021	N/A	48	0	
Future Direction: 7 Environment							
Strategy: 7.5.1 Consider and encourage biodiversity through forward thinking and planning.							
7.5.1.1 Partner with the Wynyard Landcare group for year 1 French's Road nature reserve masterplan actions.	Work to be undertaken by Wynyard Landcare Group identified and materials being sourced.	Bill Walker	30/06/2021	N/A	48	14	
7.5.1.2 Investigate and implement Virtual fencing in areas of high sensitivity.	Funding secured. Planning process being finalised with all stakeholders consulted. Up coming work to include (1) securing the posts and beepers, (2) identifying and marking the locations at 50 metres apart at high activity zones.	Bill Walker	30/06/2021	N/A	48	17	

Departmental Monthly Performance Report - Infrastructure and Development Services

Infrastructure and Development Services

ACTION	PROGRESS	RESPONSIBLE PERSON	COMP. DATE	KPI TITLE	TARGET	ACTUAL	PROGRESS
Future Direction: 1 Leadership and Governance							
Strategy: 1.2.1 Review and adjust service levels to provide value for money.							
1.2.1.1 Design and Planning for lighting and design, planning & construction for playing surface reorientation at Cardigan Street Somerset in accordance with OSSRP 2017-27.	Main pitch works completed, irrigation pump shed moved and fill adjacent second pitch has been installed. Grass has started growing in on main pitch area which should be sufficient for commencement of 2021 season. Some minor fencing, irrigation and goal installation yet to be completed.	Dana Hicks	30/06/2021	N/A	48	85	
1.2.1.2 Design, planning and construction of expanded changerooms for the Wynyard Indoor Sport Centre in accordance with OSSRP 2017-27.	Contract awarded. Building/Plumbing permits have been submitted and awaiting outcome prior to finalising program of works.	Dana Hicks	30/06/2021	N/A	48	20	
Strategy: 1.4.1 Collaborate with, understand and satisfy our external customers' needs and values.							
1.4.1.1 Investigate and report opportunities for public toilet provision in Yolla.	Phone conversation held with Yolla Shop and offer to meet has been sent. Investigation of the existing toilet provision at the recreation ground has commenced and will be continued to explore options at this site before preparing report.	Dana Hicks	30/06/2021	N/A	48	25	
Future Direction: 3 Connected Communities							
Strategy: 3.1.1 Deliver planning for activation through effective urban design and planning that promotes liveability, social gathering and connectedness, and whi							
3.1.1.1 Design, develop and implement the next stage of Coastal Pathway - Cooeee to Wynyard.	Project now progressing again following the State Governments process for providing access alternatives to the worst sections of rail corridor and announcement of funding for coastal erosion measures.	Daniel Summers	30/06/2021	N/A	48	77	
3.1.1.2 Implement year 1 actions identified in the Cam River Masterplan.	Murchison Hwy crossing completed. Application to Crown Land prepared + submitted, still awaiting response.	Dana Hicks	30/06/2021	N/A	48	10	

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Departmental Monthly Performance Report - Infrastructure and Development Services

ACTION	PROGRESS	RESPONSIBLE PERSON	COMP. DATE	KPI TITLE	TARGET	ACTUAL	PROGRESS
Strategy: 3.3.1 Provide high quality shared and multi-use community hubs that combine a range of recreational, sporting and educational uses.							
3.3.1.1 Review remaining scope of East Wynyard Foreshore masterplan.	1st cut concept plan has been developed based on the consultation period. Cost estimates to be prepared after review of estimates in existing master plan prior to collating the information for discussion.	Dana Hicks	30/06/2021	N/A	48	45	
Future Direction: 4 Community Recreation and Wellbeing							
Strategy: 4.2.1 Focus on the value of recreation in promoting the health and wellbeing of our community.							
4.2.1.1 Review and improve educational information relating to animal control.	Signage for the dog beach restrictions has been erected. Awareness and education circulated on social media. Compliance officer to educate through patrols in the new year.	Ashley Thornton	30/06/2021	N/A	48	74	
Strategy: 4.4.1 Employ land-use planning strategies to promote connectivity and equity in the allocation or use of open space for recreation purposes.							
4.4.1.1 Develop a Masterplan for the Cam River area.	Master Plan adopted at the August meeting.	Dana Hicks	30/06/2021	N/A	48	100	
Future Direction: 6 Transport and Access							
Strategy: 6.2.1 Plan for a priority access network for freight.							
6.2.1.1 Work collaboratively with the Department of State Growth to progress the Bass Highway upgrades from Wynyard to Marawah to resolve junction conflicts.		Daniel Summers	30/06/2021	N/A	48	50	
Strategy: 6.2.2 Plan for all movements and modes of transport with a fit-for-purpose network.							
6.2.2.1 Work collaboratively with the Department of State Growth to progress the Bass Highway upgrades from Cooeee to Wynyard.		Daniel Summers	30/06/2021	N/A	48	50	
Future Direction: 7 Environment							
Strategy: 7.1.1 Foster opportunity through sustainable development and community engagement.							
7.1.1.1 Implement Waste Strategy 2019-2024 Year 2 actions.		Daniel Summers	30/06/2021	N/A	48	40	
Strategy: 7.2.1 Practice effective urban and landscape design and planning that promotes liveability and connectivity and recognises local heritage.							

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Departmental Monthly Performance Report - Infrastructure and Development Services

ACTION	PROGRESS	RESPONSIBLE PERSON	COMP. DATE	KPI TITLE	TARGET	ACTUAL	PROGRESS
7.2.1.1 Develop Fossil Bluff plan in collaboration with Wynyard Landcare.	Landcare specific actions proposed for inclusion in broader area plan	Daniel Summers	30/06/2021	N/A	48	32	
Strategy: 7.3.1 Provide education to facilitate awareness and appreciation of built and natural assets.							
7.3.1.1 Develop and adopt a Corporate Sustainability Policy (iCEP action).	Draft policy nearly complete, to be tabled with steering committee for discussion/alteration as necessary.	Dana Hicks	30/06/2021	N/A	48	35	
7.3.1.2 Develop and adopt a Municipal Environmental Policy (iCEP action)	Draft policy nearly complete, to be tabled with steering committee for discussion/alteration as necessary.	Dana Hicks	30/06/2021	N/A	48	35	
7.3.1.3 Develop an action plan for the implementation of iCEP priorities including timeframes.	Proposed model (including reporting mechanisms) has been tabled with EMT and SMT. Spreadsheet tool developed to support departmental planning of actions. Resourcing of reporting to be finalised.	Dana Hicks	30/06/2021	N/A	48	95	

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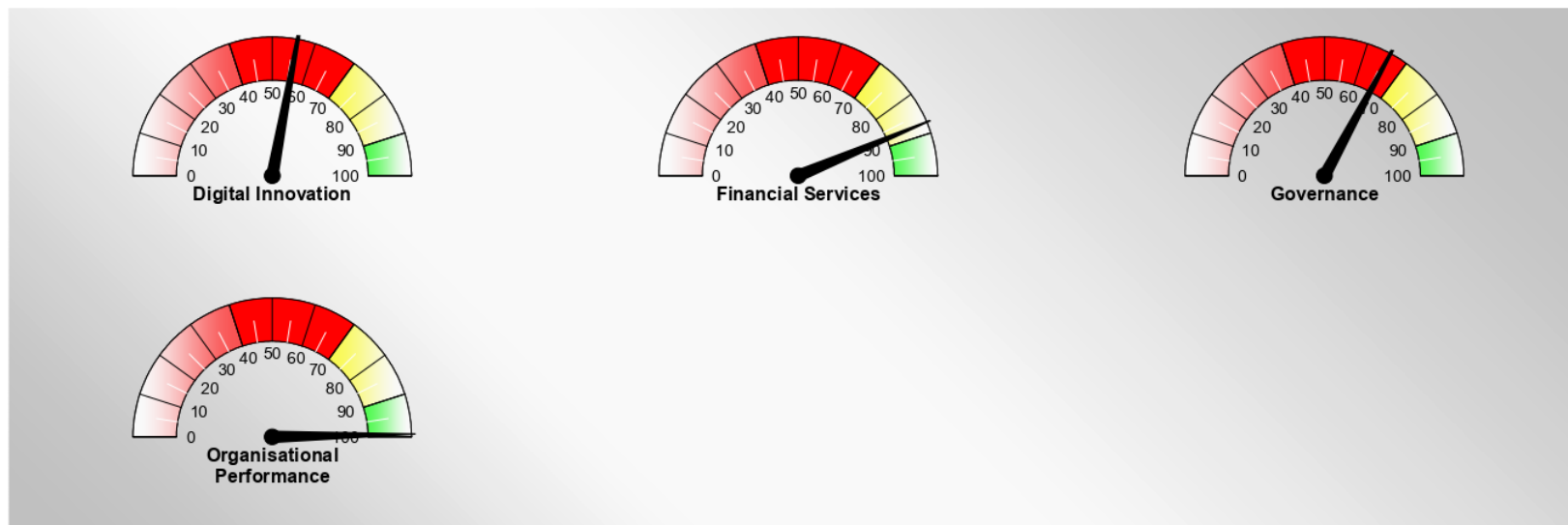
Departmental Monthly Performance Report - Infrastructure and Development Services

Project Works and Services

ACTION	PROGRESS	RESPONSIBLE PERSON	COMP. DATE	KPI TITLE	TARGET	ACTUAL	PROGRESS
Future Direction: 2 Organisational Support							
Strategy: 2.2.2 Review and update systems and processes to ensure best practice and customer-centric outcomes.							
2.2.2.1 Complete a review of after-hours and call out arrangements.	This project was delayed due to COVID-19 restrictions. Not yet recommended in new financial year.	Don Russell	30/06/2021	N/A	48	30	
Future Direction: 5 Economic Prosperity							
Strategy: 5.4.2 Ensure evidence-based allocation of infrastructure and land use to enable sustainable growth.							
5.4.2.1 Undertake Cotton Street flood mitigation works.	Full costing of the project has been completed. Project management plan complete. Major components ordered and due in early Feb. 21. Project on tract to be completed in March 2021.	Don Russell	30/06/2021	N/A	48	40	

Departmental Monthly Performance Report - Organisational Performance

Monthly Progress by Business Group



BUSINESS GROUP	NO. OF ACTIONS REPORTED ON	NO. OF ACTIONS AT LEAST 90% OF TARGET	NO. OF ACTIONS BETWEEN 70 & 90% OF TARGET	NO. OF ACTIONS LESS THAN 70% OF TARGET	NUMBER OF DEFERRED ACTIONS	NUMBER OF ONGOING ACTIONS	ACTIONS WITH NO TARGET	INCOMPLETE ACTIONS
Digital Innovation	6	2	0	4	0	0	0	0
Financial Services	3	2	0	1	0	0	0	0
Governance	3	1	1	1	0	0	0	0
Organisational Performance	10	9	1	0	0	0	0	0

Departmental Monthly Performance Report - Organisational Performance



At least 90% of monthly Action target achieved



Between 70 and 90% of monthly Action target achieved




Less than 70% of monthly Action target achieved

Digital Innovation

ACTION	PROGRESS	RESPONSIBLE PERSON	COMP. DATE	KPI TITLE	TARGET	ACTUAL	PROGRESS
Future Direction: 1 Leadership and Governance							
Strategy: 1.5.2 Maintain accountability by ensuring council decisions are evidence based and meet all legislative obligations.							
1.5.2.1 Develop a Cemetery Master Plan identifying future service needs.	Draft Plan Started, survey being drafted to send to Industry stakeholders.	Murray Jamieson	30/06/2021	N/A	48	20	
Future Direction: 2 Organisational Support							
Strategy: 2.2.1 Facilitate effective knowledge management practices.							
2.2.1.1 Develop an internal Information Management Strategy.		Murray Jamieson	30/06/2021	N/A	48	0	
Strategy: 2.4.1 Lead a positive and supportive culture which is resilient and adaptive to change.							
2.4.1.1 Develop an internal Digital Strategy to improve service delivery to the community.		Murray Jamieson	30/06/2021	N/A	48	0	
Strategy: 2.6.1 Promote Best Practice and foster innovation.							


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ACTION	PROGRESS	RESPONSIBLE PERSON	COMP. DATE	KPI TITLE	TARGET	ACTUAL	PROGRESS
2.6.1.1 Implement online time-sheets and leave approval process.	This project is well underway and on schedule for Go Live in March 2021. Stage 1 - Organisational Structure Set Up - Complete Stage 2 - Payroll Work Patterns - 99% complete Stage 3 - Payroll Online Leave - Scheduled to be completed by April 2021 Stage 4 - Online Timesheets Set Up - Originally scheduled for March 2021 but pushed out to July 2021 due to consulting availability.	Samantha Searle	30/06/2021	N/A	48	50	
Future Direction: 3 Connected Communities							
Strategy: 3.1.1 Deliver planning for activation through effective urban design and planning that promotes liveability, social gathering and connectedness, and whi							

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Departmental Monthly Performance Report - Organisational Performance

ACTION	PROGRESS	RESPONSIBLE PERSON	COMP. DATE	KPI TITLE	TARGET	ACTUAL	PROGRESS
3.1.1.1 Complete and implement CCTV project in Somerset and Wynyard CBD's.	<p>Waratah-Wynyard Council in collaboration with Burnie City Council & Tas Communications have installed and configured 18 CCTV cameras in strategic locations around Wynyard and Somerset.</p> <p>16 out of the 18 cameras are now live with the remaining 2 cameras awaiting finalisation and activation.</p> <p>The following sites are awaiting the completion of CBD Mall:</p> <ol style="list-style-type: none"> 1. WIP: Wynyard - CBD Mall 2. WIP: Wynyard - CBD Carpark <p>Cameras are nearly ready to be installed, however linkage back to the chambers still waiting on the pedestrian crossover to be constructed.</p> <p>The pole on which the antennae will be mounted to send the signals back to chambers will be installed as part of the the pedestrian crossing.</p>	Murray Jamieson	30/06/2021	N/A	48	98	
Future Direction: 6 Transport and Access							
Strategy: 6.3.2 Work with other agencies to improve telecommunications networks and provision.							

Departmental Monthly Performance Report - Organisational Performance

ACTION	PROGRESS	RESPONSIBLE PERSON	COMP. DATE	KPI TITLE	TARGET	ACTUAL	PROGRESS
6.3.2.1 Continue to work with Mobile Providers to explore how to best promote opportunities for macro and booster stations to ensure rural communities across Murchison are connected at feasible speeds and communication black spots are removed (through the Sustainable Murchison Reference Group).	4.6 (A15) of the Sustainable Murchison Plan is to improve the communications network by ensuring all communities across Murchison are connected at feasible speeds and communication black spots are removed. Shared regional funding options are being explored through the Sustainable Murchison Group in consultation with telecommunication providers. Funding opportunities require applications to be made in consortia with a licensed telecommunications carrier or owner of solution infrastructure.	Samantha Searle	30/06/2021	N/A	48	15	

Departmental Monthly Performance Report - Organisational Performance

Financial Services

ACTION	PROGRESS	RESPONSIBLE PERSON	COMP. DATE	KPI TITLE	TARGET	ACTUAL	PROGRESS
Future Direction: 1 Leadership and Governance							
Strategy: 1.5.2 Maintain accountability by ensuring council decisions are evidence based and meet all legislative obligations.							
1.5.2.1 Continue to develop and improve corporate operational financial reporting and forecasting capability.	Management reporting tool upgraded. New reporting framework under development.	Stephen Imms	30/06/2021	N/A	48	48	
Future Direction: 2 Organisational Support							
Strategy: 2.5.1 Maintain and develop effective collaboration and resource-sharing practices with Circular Head Council.							
2.5.1.1 Map & Improve Capital Budgeting Processes.	Business processes for capital works submissions has been reviewed and a new budgeting process developed for the 2020/21 financial year to improve the internal effectiveness of the capital budget submission process. The process will again be reviewed next year as a part of a continuous improvement program. The intended review and improvements for the current year however are complete.	Samantha Searle	30/06/2021	N/A	48	100	
Future Direction: 6 Transport and Access							
Strategy: 6.1.1 Develop service levels to inform the delivery of a transport network that affordably meets demand and transparently communicates accepted risk.							
6.1.1.1 Review General Ledger Structure and Work Orders to enable service level costs to be captured and easily understood.	Need to align tasks to match service levels before having discussions with Engineers	Stephen Imms	30/06/2021	N/A	48	15	

Departmental Monthly Performance Report - Organisational Performance

Governance

ACTION	PROGRESS	RESPONSIBLE PERSON	COMP. DATE	KPI TITLE	TARGET	ACTUAL	PROGRESS
Future Direction: 1 Leadership and Governance							
Strategy: 1.5.2 Maintain accountability by ensuring council decisions are evidence based and meet all legislative obligations.							
1.5.2.1 Continuation of Legislative Compliance Audit Program.	An audit was undertaken in conjunction with Circular Head Council on the Food Act 2003 and the Public Health Act 1997 in December 2020. Final evaluation of the audit is yet to be completed.	Roseanne Titcombe	30/06/2021	N/A	48	50	
Future Direction: 2 Organisational Support							
Strategy: 2.2.1 Facilitate effective knowledge management practices.							
2.2.1.1 Undertake Digital Cyber Security Audit to identify risks and assess appropriateness of controls.	Meeting held with Jeffrey Griffith from Devonport City Council. Relevant staff involved in audit have met and this will be progressed early in the new year.	Roseanne Titcombe	30/06/2021	N/A	48	40	
Strategy: 2.3.1 Identify and satisfy internal customer needs by consulting and managing expectations.							
2.3.1.1 Improve the quality, consistency and accessibility of corporate documents by creating a suite of templates that are in accordance with the Waratah-Wynyard brand style.	This will begin in early January 2021 following the completion of the uploading of the Corporate Templates.	Roseanne Titcombe	30/06/2021	N/A	48	0	

Departmental Monthly Performance Report - Organisational Performance

Organisational Performance

ACTION	PROGRESS	RESPONSIBLE PERSON	COMP. DATE	KPI TITLE	TARGET	ACTUAL	PROGRESS
Future Direction: 1 Leadership and Governance							
Strategy: 1.1.1 Commit to best practice in community engagement.							
1.1.1.1 Conduct the four-year review of the 10-year Strategic Plan.	The desktop review has commenced. Organisational values are currently being workshopped across the organisation for inclusion. The review is expected to be finalised in December with Council to workshop and formally consider the any revisions in February 2020.	Samantha Searle	30/06/2021	N/A	48	73	
Strategy: 1.3.1 Facilitate the meeting of community needs through strong advocacy and local and regional collaboration for shared outcomes.							
1.3.1.1 Continue to explore shared service and resource sharing opportunities and implement agreed projects.	Council officers continue to work collaboratively with Circular Head Council and have introduced reporting to both Councils on resource sharing activities undertaken throughout the quarter. This was included in the Senior Management Report for the first time in October 2020. In addition to Council's ongoing involvement and formal resource sharing activities with Circular Head Council, Council is currently also undertaking a range of software development projects with Burnie City Council including payroll development.	Samantha Searle	30/06/2021	N/A	48	48	
Strategy: 1.4.1 Collaborate with, understand and satisfy our external customers' needs and values.							

Departmental Monthly Performance Report - Organisational Performance

ACTION	PROGRESS	RESPONSIBLE PERSON	COMP. DATE	KPI TITLE	TARGET	ACTUAL	PROGRESS
1.4.1.1 Review complaint handling procedures relating to services provided by Council to address legislative requirements.	The process for reporting and handling complaints are included in the recently reviewed Customer Service Charter. Under the new process statistical information relating to complaints will be recorded and reported to Council quarterly.	Samantha Searle	30/06/2021	N/A	48	100	
Future Direction: 2 Organisational Support							
Strategy: 2.6.1 Promote Best Practice and foster innovation.							
2.6.1.1 Undertake a review of the internal employee classification system.	Following an internal consultation process with JCC, SMT & EMT it was agreed to move to the Local Government industry award classification structure when Council next updates its EBA in 2021.	Samantha Searle	30/06/2021	N/A	48	67	
Future Direction: 3 Connected Communities							
Strategy: 3.1.1 Deliver planning for activation through effective urban design and planning that promotes liveability, social gathering and connectedness, and whi							
3.1.1.1 Develop a Municipal Signage Strategy.	Strategy under development and is scheduled to be presented to Council for formal consideration in early 2021.	Samantha Searle	30/06/2021	N/A	48	80	
Future Direction: 5 Economic Prosperity							
Strategy: 5.1.2 Identify and maximise current industry and resource capacities.							
5.1.2.1 Continue to implement local actions identified through the Sustainable Murchison 2040 Community Plan.	The Sustainable Murchison Reference Group continue to meet regularly. An annual update is scheduled to be provided to Council at its January 2021 meeting. Economic Development Resourcing is currently under review to progress local actions.	Samantha Searle	30/06/2021	N/A	48	48	
Strategy: 5.2.1 Support a variety of learning opportunities and encourage high school retention and pathways into college and tertiary education.							

December 2020 - Departmental Monthly Performance Report

Departmental Monthly Performance Report - Organisational Performance

ACTION	PROGRESS	RESPONSIBLE PERSON	COMP. DATE	KPI TITLE	TARGET	ACTUAL	PROGRESS
5.2.1.1 Continue to collaborate with Cradle Coast Authority (Regional Futures Plan).	Council continues to contribute and participate in the Regional Working Group Core Team and Arts and Culture Working Group. A quarterly progress update is provided by Cradle Coast Authority in its Annual Plan Progress Report.	Samantha Searle	30/06/2021	N/A	48	48	
Strategy: 5.3.3 Actively manage community and economic growth through community engagement.							
5.3.3.1 Develop an evidence based economic recovery plan for the municipal area in consultation with key industry stakeholders.	A draft plan is expected to be finalised and presented to Council in the first quarter of 2021. The plan will capture the initiatives undertaken by Council to date in its initial response and stimulus phase. It will also include some longer term strategies that will be consistent with recommendations made by the The Premiers Economic & Social Recovery Advisory Council (PESRAC).	Samantha Searle	30/06/2021	N/A	48	35	
Strategy: 5.4.1 Develop a recognised brand and actively market the local government area.							
5.4.1.1 Continue to promote the regional investment framework and include industry promotional material on Councils web site.	The Regional Investment Framework is included on Councils web site.	Samantha Searle	30/06/2021	N/A	48	100	
Future Direction: 6 Transport and Access							
Strategy: 6.3.1 Support air and sea infrastructure upgrades that attract visitors and industry.							
6.3.1.1 Work collaboratively with the Burnie Airport Corporation to ensure air services continue post COVID-19 once travel restrictions are lifted.		Samantha Searle	30/06/2021	N/A	48	48	

	<p style="text-align: center;">WARATAH-WYNYARD COUNCIL</p> <p style="text-align: center;">RISK MANAGEMENT POLICY</p>
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1. SCOPE

- 1.1 This Policy applies to all Councillors, workers and representatives of the Waratah-Wynyard Council.
- 1.2 Risk Management is everyone's responsibility and our aim is to ensure that risk is integrated into all our management systems and core operations so that it becomes an integral part of our organisational culture.

2. PURPOSE

- 2.1 Council is committed to implementing a strategic, consistent and structured corporate-wide approach to risk management in order to achieve an appropriate balance between realising opportunities for gains and minimising losses.
- 2.2 This policy outlines Council's commitment to good corporate governance through risk management and to establish the Council's approach to managing risk within its operations to ensure that Council makes informed decisions with respect to the activities that it undertakes by appropriately considering both risks and opportunities.

3. POLICY STATEMENT

- 3.1 Waratah-Wynyard Council has developed and reviews an effective risk management framework and process to mitigate potential negative outcomes and to better realise sustainable opportunities present in the organisation's operations. Waratah-Wynyard Council applies the risk management process as part of strategic planning to facilitate more effective problem solving, decision making and service delivery.
- 3.2 Waratah-Wynyard Council:
 - (a) Recognises risk management as an integral part of good management practice and decision making;
 - (b) Creates and maintains a risk management environment that enables Council to deliver high quality services and meet performance objectives in line with our principle of seeking continuous improvement;
 - (c) Ensures resources and operational capabilities are identified and deployed responsibly and effectively. Resources include the staffing for the risk management team and related work areas, computer based systems, documentation, tools and access to external risk management specialists; and
 - (d) Demonstrates the application of the risk management process of identifying, analysing, evaluating and treating risks, as detailed in the Risk Management Standard, AS/NZS ISO 31000:2018 in the Risk Management Framework.

Legislative Requirements:

AS/NZ ISO 31000:2018 Risk Management- Guidelines
 Work Health and Safety Act 2012 (TAS)
 Work Health and Safety Regulations 2012 (TAS)

Related Procedures/Guidelines:

Risk Management Framework
 Strategic Risk Register
 Operational Risk Register

DOC NO: - FIN.012	VERSION NO: 7	APPROVAL DATE: 25 June 2018
CONTROLLER: General Manager	APPROVED BY: - Council	REVIEW DATE: June 2020



RISK MANAGEMENT FRAMEWORK

DRAFT – To be adopted by Council on
18 January 2021

ABOUT THIS DOCUMENT

The purpose of this Framework is to link Council's risk philosophy, as described in the risk policy, with the actual process of risk management practices undertaken in the normal course of business.

RELATED DOCUMENTS

This Framework is supported by the following related documents:

- Risk Management Policy
- Risk Assessment Matrix
- Appendix A - Risk Management Committee Terms of Reference

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Purpose

The Framework aims to promote a risk management culture that encourages people at all levels to recognise, think about and understand risk. In doing so, it aims to minimise the waste of our resources i.e. human and financial, and endeavour to ensure that decisions, events, activities and projects are undertaken with consideration of risk to our Council, our people and the community.

Risk is an inherent part of Councils activities and requires a risk response from Council to mitigate or take advantage of circumstances as they arise.

The purpose of the risk management framework is to assist the Council in integrating risk management into significant activities and functions, in order to create and protect value by improving performance, encouraging innovation and supporting the achievement of objectives.

Scope

This document provides guidelines on managing risk faced by Waratah Wynyard Council and provides a common approach to managing all identified risks.

This document can be applied to any activity, including decision-making at all levels.

Strategic Alliance

This Framework supports Councils Corporate Strategic Plan.

Goal 1: Leadership & Governance

Waratah Wynyard Council will deliver an openly transparent, inclusive, community-focussed governing body. We will pride ourselves on a strong sense of belonging and fairness based on trust, honesty and approachability.

- Priority 1.5 Build our knowledge base to apply in decision-making processes.
- Priority 1.6 Maintain accountability by ensuring that Council decisions are evidence based and meet all legislative obligations.

Goal 2: Organisational Support

Waratah Wynyard Council will provide relevant information, training and development to our people in a timely manner, supporting great leadership to deliver services to the community.

- Priority 2.2 Facilitate effective knowledge management practices.
- Priority 2.3 Promote best practice and foster innovation.
- Priority 2.4 Review and update systems and processes to ensure best practice and customer-centric outcomes.

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Commitment & Principles

Council is committed to implementing a strategic, consistent, structured and corporate-wide approach to risk management in order to realise opportunities for gains and to minimise losses.

Council is committed to managing risk by considering risks and opportunities, achieving good corporate governance and making informed decisions about activities it undertakes.

By this commitment to risk management, Council aims to:

- ensure that risks are adequately considered when setting its 'objectives';
- understand the risks facing the it in pursuit of its objectives;
- ensure that systems to manage such risks are implemented and operating effectively;
- ensure that such risks are appropriate in the context of Council's objectives;
- ensure that information about such risks and their management is properly communicated.

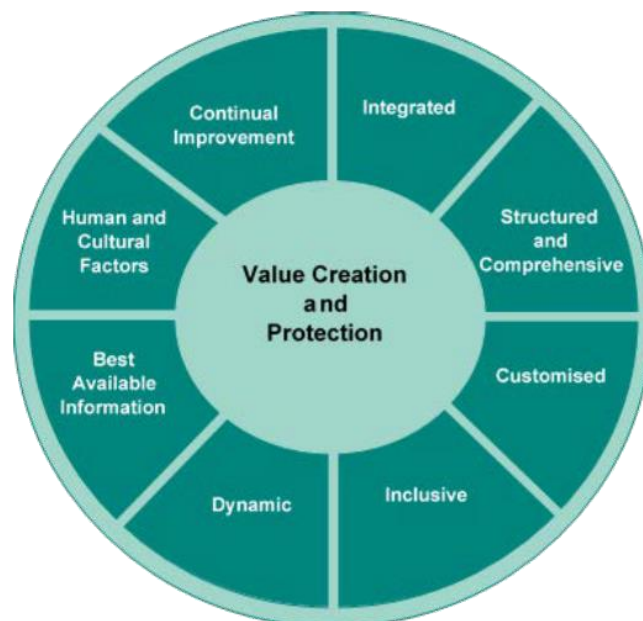
Principles

Council recognises the need to apply the Principles, Framework and Process detailed in *AS/NZS ISO 31000:20018 Risk Management – Guidelines* to ensure the management of risk.

The purpose of risk management is the creation and protection of value. It improves performance, encourages innovation and supports the achievement of objectives.

The following eight principles provide guidance on the characteristics of effective and efficient risk management.

Figure 1—Principles



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Integrated	Risk management is an integral part of all Council activities.
Structured and comprehensive	A structured and comprehensive approach to risk management contributes to consistent and comparable results.
Customized	The risk management framework and process are customized and proportionate to Council's external and internal context related to its objectives.
Inclusive	Appropriate and timely involvement of stakeholders enables their knowledge, views and perceptions to be considered. This results in improved awareness and informed risk management.
Dynamic	Risks can emerge, change or disappear as an Council's external and internal context changes. Risk management anticipates, detects, acknowledges and responds to those changes and events in an appropriate and timely manner.
Best available information	The inputs to risk management are based on historical and current information, as well as on future expectations. Risk management explicitly takes into account any limitations and uncertainties associated with such information and expectations. Information should be timely, clear and available to relevant stakeholders.
Human and cultural factors	Human behaviour and culture significantly influence all aspects of risk management at each level and stage.
Continual improvement	Risk management is continually improved through learning and experience.

Corporate Context

Risk management is central to Council's governance, activities, functions and decision making and requires the support of all stakeholders.

The effectiveness of risk management will depend on its integration into the governance of the Council, including decision-making. This requires support from stakeholders, particularly top management.

The elements of the Risk Management Framework include integrating, designing, implementing, evaluating and improving risk management across the Council. Figure 2 illustrates the components of a framework.

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Figure 2 — Framework for Risk Management



Council will demonstrate leadership and commitment to ensure that risk management is integrated into all organisational activities.

Risk management will be a part of, and not separate from, the organisational purpose; governance; leadership and commitment; strategy; and operations.

Council undertakes a wide range of activities which includes interactions with the community, various levels of Government, statutory authorities, and business and industry.

Broadly, Council's activities can be grouped as Strategic, Operational or Project oriented.

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The table below indicates a context for the interaction of internal and external influences and activity areas:

	External Context	Internal Context
Strategic Risks Risks associated with long-term Council, Department or Department objectives	<ul style="list-style-type: none"> • Economic Conditions • Ratepayer issues • Political conditions • Population changes • Funding • Other agencies • Reputation • Feasibility 	<ul style="list-style-type: none"> • Culture • Governance structure • Staff structure • Strategies & Policies • Systems • Budget
Operational Risks Risks associated with the normal business functions of Council Departments	<ul style="list-style-type: none"> • Perception of rate payers • Reputation • Council performance • Insurance/other external Council ratings • Contractual 	<ul style="list-style-type: none"> • Budget • Skilled resources • Processes • Support services • Compliance • Contract Management

An understanding of these relationships is necessary to enable the full range of potential risk implications for Council to be identified and decisions made regarding management and mitigations.

The Risk Register will record identified Strategic and Operational risks. Risks will be reported and monitored through Risk Registers, Risk Assessment and Risk Treatment plans.

The Risk Registers will provide information on the actions taken on risks either by describing the action or linking to the relevant Assessment or Treatment Plan.

The Treatment plan will be tailored according to the complexity of the treatment. It may be in the form of a project plan where this is the most appropriate treatment.

Council will continually improve the suitability, adequacy and effectiveness of the risk management framework and the way the risk management process is integrated.

As relevant gaps or improvement opportunities are identified, Council will develop plans and tasks and assign them to those accountable for implementation. Once implemented, these improvements should contribute to the enhancement of risk management.

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Organisational Roles & Responsibilities

Position	Responsibilities
Council	<ul style="list-style-type: none"> • Adopt Council's Risk Management Policy. • Allocate sufficient resources to risk management. • Be aware of the risks associated with decisions they make and the impact on how ratepayers perceive the Council and its effectiveness. • Be aware of Councils Risk Management Policy and Framework for managing risk.
General Manager	<ul style="list-style-type: none"> • Support Council Risk Based Audit Program/s. • Ensure adequate resources and training.
Director Organisational Performance	<ul style="list-style-type: none"> • Oversee the risk management and insurance portfolio for Council. • Ensure that the Risk Management Framework is subject to effective and comprehensive internal review. • Ensure appropriate processes and tools are in place to carry out the risk management program. • Maintain an active awareness of Risk Management issues and practices concerning the workplace and within the role that could cause concern, embarrassment or liability to Council. • Assist Council to mitigate risk by promoting risk awareness throughout the organisation. • Provide risk management information as requested and assist in the investigation of any risk management issues or claims that have been made against Council insurances. • Report to the Audit Committee.
Audit Panel	<ul style="list-style-type: none"> • Assists Council in its governance and oversight of risk management. • To provide independent advice and review whether management has in place a current and comprehensive risk management framework, and associated procedures for effective identification of and management of financial, business and environmental risks. • To monitor Council performance in managing identified risks.
Risk Committee	<ul style="list-style-type: none"> • Set the Risk Management Framework. • Ensure systems that support the Risk Management Framework are being maintained and implemented in practice. • Define and maintain an accessible set of risk management tools for use across the Council. • Undertake ongoing review and improvement of systems and tools that support the Framework. • Review result of internal and external audits and implement actions where appropriate

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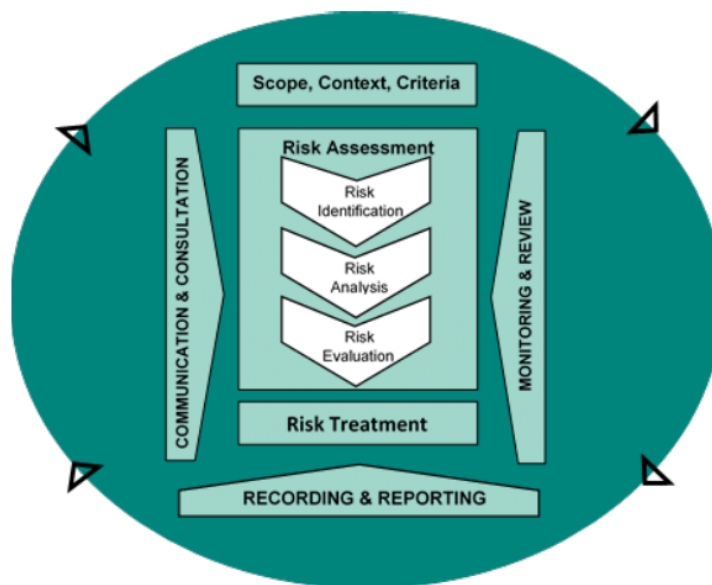
Position	Responsibilities
Risk Officer (Transactional Services Coordinator)	<ul style="list-style-type: none"> Accountable for the day-to-day management and operational aspects of the Framework including responsibility for: Initiating review to maintain the Framework Implementing effective risk reporting at appropriate levels in the Council. Providing an annual review to Senior Management Team Recording risk assessment and treatment information in the risk register for relevant work areas. Communication and delivery of the risk management process and procedures as outlined in the Framework. Facilitating risk identification and assessment workshops as required Facilitating risk management training Working towards the ongoing enhancement of the Framework including the development of Key Risk Indicators and performance monitoring. Liaising with external parties in relation to Council's risk management.
Senior Management Team	<ul style="list-style-type: none"> Identify, respond and assume responsibility for organisational and strategic risk. Implement Council's Risk Management Policy. Ensure that the Framework delivers risk management in a uniform manner across the Council. Facilitate a formal process for identifying, assessing, recording and communicating risks that may impact on Council and its community or stakeholders. Ensure that major proposals submitted to Council or any of its committees for endorsement are the subject of a risk assessment and resultant contingency plans if risks are identified. Ensure Risk Owners are assigned for Department specific operational risks. Promote the adoption of the Framework within their work areas. Promote a proactive risk management culture in accordance with business risk management initiatives (e.g. education, workshops etc.). Ensure their work areas have taken all appropriate steps in accordance with this Framework to identify and manage risks.
All Internal Committees and Working Groups	<ul style="list-style-type: none"> Identify and communicate risks to the Risk Committee (NB: This requirement must be included in all Team Charters) Include risk management as a standing item in the agenda
All Employees	<ul style="list-style-type: none"> Are required to be aware of Council's Risk Management Policy. Are required to contribute to the identification, assessment and management of risks in alignment with this Framework.
Contractors	<ul style="list-style-type: none"> Compliance with applicable risk management processes. Demonstrate that they have addressed risks associated with the work that they perform for Council

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Risk Management Process

The risk management process involves the systematic application of policies, procedures and practices to the activities of communicating and consulting, establishing the context and assessing, treating, monitoring, reviewing, recording and reporting risk. This process is illustrated in Figure 3.

Figure 3 — Process



Risk management is integral to decisions about Council's structure, management and strategic, operational, programme or project processes.

Recording and reporting

The risk management process and its outcomes will be documented and reported through appropriate mechanisms. Recording and reporting aims to:

- communicate risk management activities and outcomes across the Council;
- provide information for decision-making;
- improve risk management activities; and
- assist interaction with stakeholders, including those with responsibility and accountability for risk management activities.

Reporting should help stakeholders, management and oversight bodies meet their responsibilities.

Factors to consider for reporting include, but are not limited to:

- differing stakeholders and their specific information needs and requirements;
- cost, frequency and timeliness of reporting;
- method of reporting; and
- relevance of information to organisational objectives and decision-making.

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Stakeholder	Reporting to Be Provided
Council	<ul style="list-style-type: none"> Recommendations to Council include risk considerations. Annual statistical report based on KPIs and risks identified, analysed, evaluated and treated.
Audit Committee	<ul style="list-style-type: none"> Annual report to the Audit Committee (March each year or at a timing set by the Panel). Annual statistical report based on KPIs and risks identified, analysed, evaluated and treated.
SMT	<ul style="list-style-type: none"> Annual report relating to risk maturity across the Council. Report on risks identified, analysed, evaluated, and treated and information on progress to plans.
OSHWELL (Health and Safety Committee)	<ul style="list-style-type: none"> Personnel injuries, incidents or reported near misses to any staff, contractor, volunteer or member of the public.
Special Committees	<ul style="list-style-type: none"> Risk matters that may be identified in their areas of responsibility.
Community	<ul style="list-style-type: none"> Progress reports yearly via Annual Report.

Key performance Indicators

To establish a starting point for reporting on the effectiveness of the Risk Framework and the risk process, the following key performance indicators (KPI's) have been initiated. The KPI's may be modified if needed dependent upon relevance and reporting needs.

Key Performance Indicator	Purpose
% of risks in the risk register reviewed	Measure of an active system
Number of risk conversions with treatment	Measure that treatments are being managed
% of risk actions outstanding	Measure of actions being actively completed
Number of Risk Management meetings & attendance	Consistency of meetings & measure of an active system
Conduct / complete at least one control audit test per annum.	Demonstrated use of a working system

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Risk Management Process

<p>Step 1</p>	<p>Communication and Consultation</p>	<p>The purpose of communication and consultation is to assist relevant stakeholders in understanding risk, the basis on which decisions are made and the reasons why particular actions are required.</p> <p>Communication seeks to promote awareness and understanding of risk, whereas consultation involves obtaining feedback and information to support decision-making. Close coordination between the two should facilitate factual, timely, relevant, accurate and understandable exchange of information. The confidentiality and integrity of information as well as the privacy rights of individuals should be preserved.</p> <p>Communication and consultation with appropriate external and internal stakeholders should take place within and throughout all steps of the risk management process.</p> <p>Communication and consultation aims to:</p> <ul style="list-style-type: none"> • bring different areas of expertise together for each step of the risk management process; • ensure that different views are appropriately considered when defining risk criteria and when evaluating risks; • provide sufficient information to facilitate risk oversight and decision-making; • build a sense of inclusiveness and ownership among those affected by risk.
<p>Step 2</p>	<p>Establishing the scope, context and criteria</p>	<p>General</p> <p>The purpose of establishing the scope, the context and criteria is to customise the risk management process, enabling effective risk assessment and appropriate risk treatment. Scope, context and criteria involve defining the scope of the process and understanding the external and internal context.</p>
		<p>Defining the scope</p> <p>Council or those involved in undertaking specific risk management planning (e.g. for a program or project) should define the scope of its risk management activities.</p> <p>As the risk management process may be applied at different levels (e.g. strategic, operational, or project), it is important to be clear about the scope under consideration, the relevant objectives to be considered and their alignment with Council's objectives.</p> <p>When planning the approach, considerations include:</p> <ul style="list-style-type: none"> — objectives and decisions that need to be made; — outcomes expected from the steps to be taken in the process; — time, location, specific inclusions and exclusions; — appropriate risk assessment tools and techniques; — resources required, responsibilities and records to be kept; — relationships with other projects, processes and activities.

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Step 3		<p>External and internal contexts</p> <p>The external and internal context is the environment in which Council seeks to define and achieve its objectives.</p> <p>The context of the risk management process is to establish an understanding of the external and internal environment in which Council operates and should reflect the specific environment of the activity to which the risk management process is to be applied.</p> <p>Understanding the context is important because:</p> <ul style="list-style-type: none"> • risk management takes place in the context of the objectives and activities of Council; • Council factors can be a source of risk; • the purpose and scope of the risk management process may be interrelated with the objectives of the Council as a whole.
		<p>Risk Categories</p> <p>Council has defined the amount and type of risk that it may or may not take.</p>
	Risk Assessment	<p>A series of risk assessment tools have been developed to enable a consistent approach to the identification, analysis and treatment of risk. The specific risk assessment forms, resources and references are available on Orgment.</p> <p>The risk assessment process comprises the following key steps:</p>
	Risk Identification	<p>The purpose of risk identification is to find, recognize and describe risks that might help or prevent Council achieving its objectives. Relevant, appropriate and up-to-date information is important in identifying risks.</p> <p>Council will use a range of techniques for identifying uncertainties that may affect one or more objectives. The following factors, and the relationship between these factors, should be considered:</p> <ul style="list-style-type: none"> • tangible and intangible sources of risk; • causes and events; • threats and opportunities; • vulnerabilities and capabilities; • changes in the external and internal context; • indicators of emerging risks; • the nature and value of assets and resources; • consequences and their impact on objectives; • limitations of knowledge and reliability of information; • time-related factors; • biases, assumptions and beliefs of those involved. <p>Council should identify risks, whether or not they are under its control, and accept there may be more than one outcome and either tangible or intangible consequences.</p>

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	Risk Analysis	<p>The purpose of risk analysis is to comprehend the nature of risk and its characteristics including, where appropriate, the level of risk.</p> <p>Risk analysis involves consideration of uncertainties, risk sources, consequences, likelihood, events, scenarios, controls and their effectiveness. An event can have multiple causes and consequences and can affect multiple objectives.</p> <p>Risk analysis can be undertaken with varying degrees of detail and complexity, depending on the purpose of the analysis, the availability and reliability of information, and the resources available. Analysis techniques can be qualitative, quantitative or a combination of these, depending on the circumstances and intended use.</p> <p>Risk analysis should consider factors such as:</p> <ul style="list-style-type: none"> • the likelihood of events and consequences; • the nature and magnitude of consequences; • complexity; • time-related factors and volatility; • the effectiveness of existing controls; • sensitivity and confidence levels. <p>Risk analysis will be influenced by a range of opinions, biases, perceptions and judgements, the quality of available information, assumptions and exclusions made and any limitations of the mitigation techniques and how they are executed. All influences should be considered, documented and communicated to stakeholders.</p> <p>Highly uncertain events or events with severe consequences can be difficult to analyse and quantify. In such cases it is recommended that a range of factors are considered, and a combination of risk analysis techniques is used to achieve greater insight.</p> <p>Risk analysis facilitates risk evaluation and helps decide whether and how different types and levels of risk need to be treated. It helps determine the most appropriate risk treatment strategy.</p>
	Risk Evaluation	<p>Risk evaluation supports decisions and involves comparing the results of the risk analysis with the adopted risk matrix which includes consequences and likelihood scales and Council appetite for each of the risk criteria to determine where additional action is required. This can lead to a decision to:</p> <ul style="list-style-type: none"> • do nothing further; • consider risk treatment options; • undertake further analysis to better understand the risk; • maintain existing controls; • reconsider objectives. <p>Decisions should take account of the wider context and the actual and perceived consequences to internal and external stakeholders.</p> <p>The outcome of risk evaluation should be validated, recorded and communicated within Council and the community.</p>

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Step 4	Risk Treatment	<p>There are various treatment options available once risks have been identified, analysed and evaluated. The options available include:</p> <ul style="list-style-type: none"> • Accept or retain the risk - the risk is accepted when no further treatment is implemented, and the current level of risk is formally accepted • Eliminate the risk – (first hierarchy of control) the risk is avoided by ceasing the activity that is causing the risk. • Treat the risk – (remaining hierarchy of controls) controls are treated when either the likelihood or consequence of the risk identified is modified. This may either reduce or increase the risk compared to current levels • Transfer the risk - the risk is transferred when a third party (such as insurance) accepts the consequence for the risk <p>There are various treatment options available once risks have been identified, analysed and evaluated. Options available include:</p> <ul style="list-style-type: none"> • Avoiding or eliminating the risk by not undertaking the activity, program or project that features the risk. • Reducing the risk by introducing a control, treatment or mitigation strategy. • Transferring responsibility for the risk to others such as an insurer or contractor who accepts the consequence(s) associated with the risk. NB: This is normally done via some form of contract, such as a lease, disclaimer, release, waiver or indemnity agreement, or through warning signs. Any such contract must be properly drafted, otherwise it will not provide the protection Council seeks. • Accepting or retaining the risk. If the likelihood of the risk is remote or the consequences low Council might determine to retain the risk and go ahead with the activity without the implementation of a control or treatment.
Step 5	Monitoring and Review	<p>Ongoing monitoring and periodic review of the risk management process and its outcomes should be part of the risk management process, with responsibilities clearly defined.</p> <p>Keeping records that document all stages of the risk management process and the effectiveness, currency and the relevance of risk management procedures is crucial as is continually evaluating the risk management plan in the light of such records.</p> <p>A risk management plan cannot remain static. There is an ongoing need to determine whether there are specific activities that require increased controls.</p> <p>Risks can change according to changes in the law and the development of safe practices, techniques and technology and constant evaluation and modification are required to take account of developing trends and Council's own experiences.</p> <p>The purpose of monitoring and review is to assure and improve the quality and effectiveness of process design, implementation and outcomes.</p>

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		<p>Both should take place in all stages of the process and include planning, gathering and analysing information, recording results and providing feedback.</p> <p>The results of monitoring and review should be incorporated into Council's performance management, measurement and reporting activities.</p>
Step 6	Recording and Reporting	<p>The risk management process and its outcomes are required to be documented and reported regularly to ensure continued communication in relation to risk management activities and outcomes, to provide information for decision-making, to improve risk management activities and to assist interaction with stakeholders.</p>

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Risk Categories

Risk categories within the context of Council's operations include:

- **Strategic** – Covers the strategic direction of Council.
- **Finance** – Covers financial capacity, availability of capital, the current economic environment, financial management and reporting, knowledge management, efficiency of systems, processes and Council's structure.
- **Assets and Infrastructure** – Covers the management of Council's assets including its' IT network and hardware, plant and equipment and built and natural environments.
- **Environment** – Covers Council's management of environmental matters such as aboriginal heritage, air, fauna, flora, water, waste, noise & vibration, land, sustainability and hazardous materials.
- **Workers** – Covers employees, volunteers and contractors, industrial relations and Organisational culture, staff values, standards of integrity and public accountability.
- **Public Safety** – Covers community interaction with Council's assets and activities and the minimisation of harm or loss to persons, property or normal community activity.
- **Emergency Management** – Covers the planning for and allocation of Council resources to events that disrupt normal community activity.
- **Regulation and Compliance** – Covers legal compliance and liabilities attributable to non-compliance with statutory obligations, including class actions, public liability claims, product liability, professional indemnity and public health and safety.
- **Corporate Business Systems** – Covers Council systems including business continuity and IT issues.
- **Political** – Covers the external political environment in which Council operates, including reputation and credibility, inter-governmental relations, state and national policies and relations with special interest groups.

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Risk Matrix

For consistency the following matrix is to be used for all types of risk assessment within Waratah-Wynyard Council:

	Consequence					
		Critical	Major	Moderate	Minor	Insignificant
Likelihood	Almost Certain	Extreme	Extreme	High	High	Medium
	Likely	Extreme	High	High	Medium	Medium
	Possible	Extreme	High	High	Medium	Low
	Unlikely	High	Medium	Medium	Low	Low
	Rare	Medium	Medium	Medium	Low	Low

Likelihood Scales

Use the following scale for consistency, to assess likelihood:

	Chance	Probability	Frequency
Almost Certain	Is expected to occur frequently, in most circumstances	Probability >90%	Is expected to occur at least once per week
Likely	Is expected to occur occasionally	Probability 50 – 90%	Is expected to occur at least once per month
Possible	Could occur, capable of happening, foreseeable	Probability 5 – 50%	Could occur at least once in 2 – 12 months
Unlikely	Might occur sometime but not expected	Probability < 5%	Might occur at least once in 5 – 20 years
Rare	May occur only in exceptional circumstances	Probability < 2%	May occur once in 20 – 50 years

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Consequence Scales

Use the following scales from the relevant risk category to assess consequence:

Consequence Rankings	Strategic	Financial	Assets & Infrastructure	Environmental	Safety	Emergency Management	Regulation & Compliance	Corporate Business Systems	Reputational
Insignificant	Changes in government policy, social-economic conditions or local government sector has short term or limited impact (positive or negative) on Council and/or community. Unlikely to require policy or resource responses and only limited consultation with stakeholders.	Risk is undesirable but has no serious impact on the program, directorate, or Council budget outcome and cash flow.	Inconsequential short-term failure of infrastructure and service delivery. No disruption to public services.	Harm or damage is localised and negligible. Although undesirable, it is without immediate or long-term risk for health or safety of any ecological system or species. No remedial action required.	No injuries or damage.	Near misses or minor injuries. No reliance on health system. Council manages the event within normal parameters, public administrations functions without disturbance, public confidence in governance, no media attention.	Breach is undesirable but has no impairment for satisfying a statutory obligation or for meeting the intended outcome of a regulatory or procedural requirement or undertaking. Minor corrective action may be required, but no likelihood for intervention by an enforcement agency or exposure to penalty and/or liability.	Risk is undesirable but does not impact the continuity of an activity, project or key business process. Disruption of services to internal and external customers is negligible. A breach is unlikely to result in fines or action for damages.	No significant adverse impact on the Council's reputation. Any adverse media coverage is limited to one or two days.
Minor	Changes in government policy, social-economic conditions or local government sector has measurable, though not insurmountable, impact on Council and/or community. May involve minor re-allocation of resources, limited policy responses and some consultation with stakeholders.	Risk could impair the ability for the program or department to deliver its core services within budget. Council's potential budget loss is less than \$10,000.	Isolated cases of short to mid-term failure of infrastructure and service delivery. Localised inconveniences.	Harm or damage is Localised and could impair immediate to long-term health and safety of an ecological system or species. Remedial action is required, and recovery can occur.	Minor injury. First aid required to treat injuries.	Isolated cases of serious injuries, health system operating within normal parameters. Council manages the event under emergency regime, public administration functions with some disturbances, isolated expressions of public concerns, media coverage locally or within region.	Breach could impair ability to fully meet a statutory obligation or to achieve the intended outcome of a regulatory or procedural requirement or undertaking. Overall impact on compliance is not materially affected, although corrective action is required. Possible intervention by an enforcement agency, and potential for punitive penalty or nominal liability.	Risk event may disrupt the timely delivery of a small project or activity; a breach may have a minor impact on some other risk categories; the risk event may be an internal concern but unlikely to impact on overall business process outcomes. Potential liability less than \$10,000.	There is some limited damage to Council's reputation with media publicity that may last less than five days.
Moderate	Changes in government policy, social-economic conditions or local government sector has longer term impact on Council and/or community. May involve new or revised policy responses and/or seeking additional and/or the reallocation of existing resources. Consultation and advocacy required.	Risk significantly impairs the ability for the program or department to deliver its core services and stated objectives within budget. The overall impact on the directorate and Council's potential budget loss is greater than \$10,000.	Mid-term failure of (significant) infrastructure and service delivery affecting large parts of the community, widespread inconveniences.	Harm or damage creates immediate or long-term risk and some injury to health and safety of an ecological system or species. Immediate and possible on-going remedial action is required, and recovery may be short to medium term.	Injury requiring medical treatment.	Isolated cases of loss of life (mortality > 1 in 1 million), health system operating at maximum capacity, isolated cases of displacement of people (less than 24 hrs). Council manages the event with considerable diversion from policy, public administration functions limited by focus on critical services, widespread public protests, media coverage locally or within region.	Breach impairs ability to satisfy a statutory obligation or for meeting the intended outcome of a regulatory or procedural requirement or undertaking. Overall compliance is materially affected. Immediate corrective action is required. Intervention by an enforcement agency is required, and potential for penalty and/or liability.	Risk event causes significant disruption to the operation of a large activity, project or business unit. Key deadlines or compliance requirements may not be met. A breach has a moderate impact on some other risk categories. Potential liability exceeds \$10,000. Dissatisfaction of internal and external customers is likely.	Significant impact on Council's reputation with adverse media publicity over more than five days. If a public issue, it may involve significant community response through various media. The risk may lead to some regulatory involvement such as a Code of Conduct complaint, involvement of the Local Government Office or other third party. Potential embarrassment for Elected Members and staff.
Major	Changes in government policy, social-economic conditions or local government sector will significantly impact on Council and/or community. Significant review of policy and resourcing is required. Significant consultation and advocacy also required.	Risk could significantly impair Council's ability to achieve its financial targets and strategic objectives in the current and/or future years. Council's potential budget loss is greater than \$200,000.	Mid to long term failure of significant infrastructure and service delivery affecting large parts of the community. Initial external support required.	Harm or damage creates significant, widespread, and/or long-term injury and incapacitation or partial destruction for an ecological system or species. Immediate and on-going remedial action is required, and recovery may be medium to long-term.	Injury causing serious injury that requires hospitalisation and/or ongoing treatment.	Multiple loss of life (mortality > one in one hundred thousand) health system over-stressed, large numbers of people displaced (more than 24 hrs). Council absorbed with managing the event, public administration struggles to provide merely critical services, loss of public confidence in governance, media coverage regionally and beyond.	Breach significantly impairs ability to satisfy a statutory obligation or for meeting the intended outcome of a regulatory or procedural requirement or undertaking. Action is non-compliant. Immediate and significant corrective action is required but may not remedy breach. Mandatory intervention by an enforcement agency, and potential for substantial penalty and/or liability.	Risk event at this level may prevent a business unit from delivering most of its core functions and services. Adverse impact would be felt at an Organisational level. Key service delivery to internal and or external customers would be significantly compromised or unmet. A breach would have a major impact on other risk categories, with potential for significant fines, loss of accreditations or licensing, or high value damages claims. Potential liability \$500,000 or more.	Major impact on Council's reputation with significant adverse and intense media publicity. If a public issue, it may involve formal channels of community appeal and considerable Council resources to address process and outcomes. The risk may require intervention or escalation to authorities such as the Code of Conduct Panel, Minister of Local Government or the Integrity Commission.
Critical	Changes in government policy, social-economic conditions or local government sector will result in severe down-sizing of Council or will have severe negative socio-economic impact on community. Will require whole-of-government response.	Risk has the potential to significantly impair Council's ongoing financial sustainability. Potential loss \$1,000,000 or more.	Long term failure of significant infrastructure and service delivery affecting all parts of the community. Ongoing support at large scale required.	Harm or damage is significant and/or widespread and may range from serious injury and incapacitation to total and permanent destruction of one or more ecological systems or species. Immediate action is required to minimise further damage and to remove residual risk. Long-term remediation is required, although total recovery may never be possible.	Accidental death or permanent disability to one or more persons.	Widespread multiple loss of life (mortality > one in ten thousand) health system unable to cope, displacement of people beyond ability to cope. Council unable to manage the event, disordered public administration without effective functioning, public unrest, media coverage regionally and beyond.	Breach renders the action unlawful or non-compliant in its entirety. Very limited potential for corrective action, although action required to limit further damage. Mandatory intervention by one or more enforcement agencies, and potential for substantial penalty and/or liability regardless of whether the breach is remedied.	Risk event may have a significant long-term impact on the capacity of Council to deliver a core service. A breach would have a catastrophic impact on some other categories. Potential for fines, penalties or damages claims is likely to jeopardise the continuity of a key operation; or recovery and restoration is likely to be a significant long-term process requiring expert involvement.	Extensive damage to the Council's reputation. Significant and sustained adverse media coverage, and loss of public confidence on a wide scale. Potential for an Inquiry by the Minister for Local Government.

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Risk Appetite & Acceptance

According to ISO 31000, a risk appetite definition is “the amount and type of risk that an Organisation is prepared to pursue, retain or take.”

Risk is inherent in all Council's functions and activities and all Council staff are responsible for managing risks within their area of work in a way that derives the best outcomes for Council and its stakeholders. This framework seeks not to eliminate risk but to effectively manage risks associated with Council functions and activities and to maximise opportunities by minimising adverse consequences.

Council will recognise and manage its exposure to risk and to accept a degree of risk commensurate with the potential reward and with consideration of its' roles and responsibilities within the community. Council will give due consideration to public health, safety and environmental risks and comply with legal, regulatory or professional requirements and promote such within the community.

An **Acceptable** level or risk assumes that Council is always prepared to accept a certain level of risk in relation to each of the functions it undertakes.

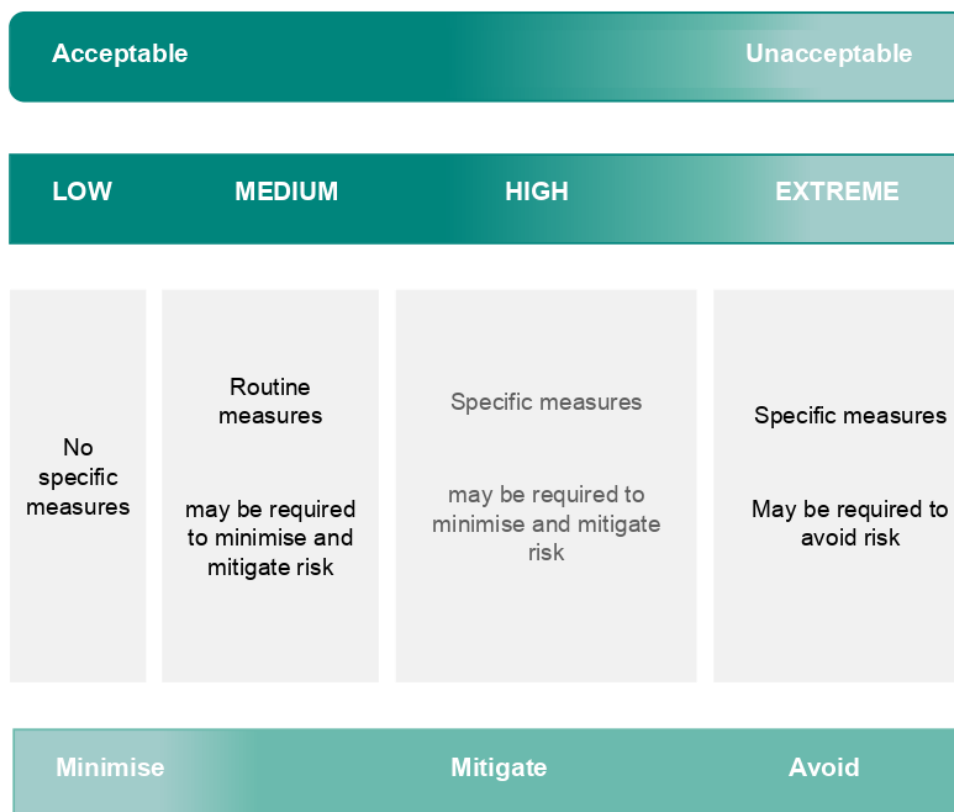
A risk is generally 'acceptable' if it does not require a specific risk management measure or only requires routine measures required by regulation or recommended in industry standards and guidelines.

An 'acceptable' level or risk typically equates with a low risk ranking but there may be circumstances where Council is prepared to accept a higher level of risk if the reward is sufficiently attractive.

An **Unacceptable** level or risk means likelihood and/or consequence is not appropriate to the business or performance of Council. An unacceptable level of risk does not mean the activity should not happen. It does, however, require that something should be done about it.

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The following table summarises the above approach to risk appetite:



Risk response may be by:

- **Routine Measures** as mandated by regulation or as described in documents such as industry standards, guidelines, and codes of practice.
- **Specific Measures** may be required as a result of risk assessment in order to achieve a tolerable level of risk that is particular to the characteristics and circumstances of the activity.

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	<p style="text-align: center;">WARATAH-WYNYARD COUNCIL</p> <p style="text-align: center;">APPENDIX A - TERMS OF REFERENCE RISK MANAGEMENT COMMITTEE</p>
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COMMITTEE	Waratah-Wynyard Council Risk Management Committee (WWCRMC)
DATE & STATUS OF TERMS	November 2020
PURPOSE	<p>The primary focus of the Risk Management Committee will be the following:</p> <ul style="list-style-type: none"> • Set the Risk Management Framework. • Ensure the systems that support the Risk Management Framework are being maintained and implemented in practice. • Define and maintain an accessible set of risk management tools for use across the organisation. • Undertake ongoing review and improvement of systems and tools that support the Framework. <p>Review result of internal and external audits and implement actions where appropriate.</p>
REPRESENTATION	<p>The Risk Management Committee will be structured to incorporate representation from all departments.</p> <p>The Transactional Services Coordinator will be the Chairperson of the Committee.</p> <p>Other staff members may be invited to attend meetings at the discretion of the Committee to advise and provide information.</p> <p>Membership of the Risk Management Committee includes membership from:</p> <ul style="list-style-type: none"> • Community – events, recreational users • Information Technology • Governance • Works – Parks & Civil • Childcare • Development & Regulatory Services • Engineering & Projects • People & Safety • Asset Services; & • Finance
QUORUM REQUIREMENTS	<p>A minimum of 50% of the Committee are required to be present to form a quorum. The quorum should represent a cross section of the members where possible.</p>
MEETING FREQUENCY & MEETING PLACE	<p>The Risk Management Committee may determine its own meeting procedures and the frequency and timing of its meetings.</p> <p>The Risk Management Committee will meet at least once every 2 months.</p>

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REPORTING AND COMMUNICATION

The following reporting will be prepared and provided to various stakeholders by the Committee:

Stakeholder	Reporting
Council	<ul style="list-style-type: none"> → Annual statistical report based on KPIs and risks identified, analysed, evaluated and treated. → To include details of risk resources and associated costs.
Audit Committee	→ Annual report to the Audit Committee (March each year or at a timing set by the Panel).
SMT	<ul style="list-style-type: none"> → Annual report relating to risk maturity across the organisation. → Report on risks identified, analysed, evaluated, and treated and information on progress to plans.
OSHWELL (Health and Safety Committee)	→ Personnel injuries, incidents or reported near misses to any staff, contractor, volunteer or member of the public
Special Committees	→ Risk matters that may be identified in their areas of responsibility
Community	→ Progress reports yearly via Annual Report

WORK PLAN

The Committee will undertake the following task to meet the requirements of its roles and responsibilities:

- Review and analysis of reported public incidents and public claims (Register of Incidents)
 - Review and analysis of insurance matters (Report: Register of Claims)
 - Review, populate and enhance the Risk Register (Report: Operational & Strategic)
 - Monitor and review internal and external audits
 - Monitor and progress improvements and recommendations of insurance and risk audits and inspections
 - Monitor legislative compliance (receive legislative audit outcomes)
 - Review the Business Continuity Plan (2 yearly)
 - Review the Risk Framework & Policy (2 yearly)
 - Review and maintain risk management tools as required.
- Provide advice on organisational education & training needs for risk.

COMMENCEMENT DATE

These terms of reference will be reviewed by the committee every 2 years.

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Draft

PUBLIC INTEREST DISCLOSURE PROCEDURES

Public Interest Disclosure Act 2002

Waratah-Wynyard Council Public Interest Disclosure officers:

Samantha Searle – Director Organisational Performance
Roseanne Titcombe – Executive Officer Governance & Performance

Issued by Ombudsman on 25 November 2020
Adopted by Council on 18 January 2021
Approved by Ombudsman on ...
Review Date: ...

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1. Statement of Support

The Waratah-Wynyard Council is committed to the aims and objectives of the *Public Interest Disclosures Act 2002* (the Act) which are primarily:

- *to encourage and facilitate disclosures of improper conduct by public officers;*
- *to protect persons making those disclosures and others from reprisals;*
- *to provide for the matters disclosed to be properly investigated and dealt with; and*
- *to provide all parties involved with those disclosures with procedural fairness (referred to as natural justice in the Act).*

The Waratah-Wynyard Council recognises the value of transparency and accountability in its administrative and management practices and supports the making of disclosures that reveal the type of conduct to which the Act is directed.

The Waratah-Wynyard Council will take all reasonable steps to protect people who make sure a disclosure, and to protect their welfare. It will also afford natural justice to all parties involved in the investigation of a disclosure.

2. Purpose of these procedures

These procedures set out how:

- public officers and contractors can make disclosures about improper conduct or reprisal action;
- disclosures are assessed;
- public interest disclosures are investigated; and
- Waratah-Wynyard Council protects disclosers and affords procedural fairness¹ to those being investigated.

These procedures are designed to complement normal communication channels between supervisors and employees. Employees are encouraged to continue to raise appropriate matters at any time with their supervisors, and to use existing grievance procedures within the organisation where appropriate.

The procedures have been prepared in accordance with the Ombudsman's *Guideline One: Procedures for Public Bodies*. This Guideline can be accessed on the Ombudsman's website at www.ombudsman.tas.gov.au.

¹ Referred to as natural justice in the Act.

3. How the Act works

Briefly, the Act works in this way:

- it gives certain people – *public officers* and *contractors* – the right to make disclosures about *improper conduct* or *detrimental action* to certain integrity agencies, other persons and bodies (Part 2 of the Act, particularly s 6);²
- it provides certain statutory protections for *protected disclosures*, even if the discloser does not reference the Act (Part 3);
- it dictates how the recipient of the disclosure is to deal with it (Parts 4 to 8);
- it treats the Ombudsman as the oversight agency in relation to the operation of the Act, including the default investigator, monitor of investigations by public bodies, and setter of standards under the Act;
- where the disclosure is handled by the Ombudsman or a public body, it requires a determination as to whether the protected disclosure is a *public interest disclosure* (ss 30 and 33);
- subject to exceptions, it requires investigation by the Ombudsman or public body of any public interest disclosure (ss 39 and 63);
- it requires such investigation to be conducted as soon as practicable, but if it is being conducted by a public body, not more than six months from the date of the determination that the disclosure is a public interest disclosure (ss 39A and 77A);
- it controls the manner in which a disclosure is investigated, and provides investigative powers; and
- in the case of an investigation by a public body which results in a finding that the alleged conduct occurred, it requires the public body to take action to prevent that conduct from continuing or recurring, and to take action to remedy any harm or loss which may have arisen (s 75).

A flow chart, which depicts the way in which a public body should deal with a disclosure, is **Attachment 4** to this document.

4. Roles and responsibilities

This part explains the roles and responsibilities under the Act of individuals within Waratah-Wynyard Council.

4.1 Members, officers and employees

Members, officers and employees (public officers) of Waratah-Wynyard Council are encouraged to report known or suspected incidences of improper conduct or detrimental action in accordance with these procedures.

All public officers of Waratah-Wynyard Council have an important role to play in supporting those who have made disclosures. They must refrain from any activity that is, or could be perceived to be, victimisation or harassment of a person who makes a disclosure. They should protect and maintain the confidentiality of a person they know or suspect to have made a disclosure.

² Members of the public may also make disclosures in limited circumstances, when the Ombudsman or Integrity Commission deems this in the public interest under s 7A.

4.2 Principal Officer

The General Manager, as the Principal Officer, has primary responsibility for ensuring that the provisions of the Act are implemented by Waratah-Wynyard Council. Section 62A of the Act provides that the Principal Officer has responsibility for:

- preparing procedures for approval by the Ombudsman;
- receiving public interest disclosures and ensuring they are dealt with in accordance with the Act;
- ensuring the protection of witnesses;
- ensuring the application of procedural fairness in Waratah-Wynyard Council's procedures;
- ensuring the promotion of the importance of public interest disclosures and general education about the Act to all staff, and ensuring easy access to information about the Act and the procedures, and
- providing access to confidential employee assistance programs and appropriately trained internal support staff for those involved in the process.

The General Manager may delegate all of these functions and powers to a Public Interest Disclosure Officer.

4.3 Public Interest Disclosure Officer

Council's Public Interest Disclosure Officers are:

Samantha Searle – Director Organisational Performance
Roseanne Titcombe – Executive Officer Governance & Performance

The Public Interest Disclosure Officers have the following delegated responsibilities under the Act:

- acting as a contact point for general advice about the operation of the Act for any person wishing to make a disclosure about improper conduct or detrimental action;
- making arrangements for a disclosure to be made privately and discreetly and, if necessary, away from the workplace;
- receiving any disclosure from a public officer made orally or in writing;
- recording in writing the details of any disclosure which is made orally;
- impartially assessing the allegation and determining whether it is a disclosure made in accordance with Part 2 of the Act (that is, "a protected disclosure");
- impartially assessing under s 33 of the Act whether a disclosure is a "public interest disclosure";
- taking all necessary steps to ensure that the identity of the discloser and the identity of the person who is the subject of the disclosure are kept confidential; and
- provide administrative functions to support the role under the Act, as required.

4.4 Investigator

Where it is determined that a disclosure is a public interest disclosure, or where the Ombudsman has referred a public interest disclosure to Waratah-Wynyard Council for investigation, the Principal Officer will appoint an investigator to investigate the matter in accordance with the Act. An investigator may be a person from within Waratah-Wynyard Council or a consultant engaged for that purpose.

4.5 Welfare Manager

The Welfare Manager will be appointed by the Principal Officer or by a Public Interest Disclosure Officer and is responsible for looking after the general welfare of the discloser. The Welfare Manager will:

- examine the immediate welfare and protection needs of a person who has made a disclosure, and develop a support plan for them;
- advise the discloser of the legislative and administrative protections available to them;³
- listen and respond to any concerns of harassment, intimidation, victimisation or other detrimental action which may be occurring in reprisal for making the disclosure; and
- so far as is practicable, protect the identity of the discloser in the course of carrying out these responsibilities.

A welfare manager may be a person employed by Waratah-Wynyard Council or a consultant engaged for that purpose. They must not be responsible for assessing or investigating the disclosure.

5. Who can make a disclosure

5.1 Public officers

Any current public officer⁴ can make a disclosure to Waratah-Wynyard Council under the Act. This includes *for a local council*

'all employees and councillors of Waratah-Wynyard Council. Council volunteers are not considered public officers but could make a disclosure to the Ombudsman or Integrity Commission about a public body as a member of the public.'

³ See [Protection](#) below for details of the legislative protections.

⁴ This can include a public officer from another public body

Enclosure 1 Public Interest Disclosure Procedures

Whether a volunteer is a public officer or not will depend on the circumstances. A volunteer who is a member of a public body, such as a volunteer firefighter under the Fire Service Act 1979, is a public officer but if there is no legislative instrument relating to the appointment of a volunteer, such as through a council run community program, it is likely they are not a public officer. Volunteers who are not public officers can still make disclosures though as a member of the public and should be referred to the Ombudsman or Integrity Commission.

5.2 Contractors

Current or past contractors and sub-contractors can make disclosures about public bodies, not public officers, but they can only make a disclosure to the Ombudsman or the Integrity Commission not to Waratah-Wynyard Council. Public Interest Disclosure officers should refer any contractors wanting to make a disclosure to either of these bodies.

5.3 Members of the public

Members of the public can make a disclosure about a public body and may be treated in the same way as a contractor if it is in the public interest to do so, but they can only make the disclosure to the Ombudsman or Integrity Commission. The Ombudsman or Integrity Commission determines whether it is in the public interest to treat the discloser as a contractor, not the discloser. Public interest disclosure officers should refer any members of the public wanting to make a disclosure to either of these bodies.

5.4 Anonymous persons

An anonymous disclosure may be accepted if the person receiving it is satisfied that the disclosure is being made by a public officer or contractor (see s 8 of the Act). If the person is satisfied that an anonymous disclosure is from a contractor it should be referred to the Ombudsman.

6. What can a disclosure be made about?

A disclosure can be made about one or more public officers or a public body itself. If a disclosure relates to Waratah-Wynyard Council as a whole or the Principal Officer of Waratah-Wynyard Council, it should be referred to the Ombudsman or Integrity Commission as internal investigation would not be appropriate.

6.1 Improper conduct

Disclosures about public officers need to relate to improper conduct by that officer, in the past, present or future (proposed action). Section 3 of the Act defines improper conduct as:

- a. conduct that constitutes an illegal or unlawful activity; or
- b. corrupt conduct; or
- c. conduct that constitutes maladministration; or
- d. conduct that constitutes professional misconduct; or
- e. conduct that constitutes a waste of public resources; or
- f. conduct that constitutes a danger to public health or safety or to both public health and safety; or
- g. conduct that constitutes a danger to the environment; or

- h. misconduct, including breaches of applicable codes of conduct; or
- i. conduct that constitutes detrimental action against a person who makes a public interest disclosure under this Act– that is serious or significant as determined in accordance with guidelines issued by the Ombudsman.⁵

Examples of improper conduct include:

- to avoid closure of a town's only industry, an environmental health officer ignores or conceals evidence of illegal dumping of waste;
- misusing information or material acquired at work;
- excessive spending of public money on a staff Christmas party.

6.2 Corrupt conduct

Corrupt conduct is further defined in s3 of the Act as:

- a. conduct of a person (whether or not a public officer) that adversely affects, or could adversely affect, either directly or indirectly, the honest performance of a public officer's or public body's functions; or
- b. conduct of a public officer that amounts to the performance of any of their functions as a public officer dishonestly or with inappropriate partiality; or
- c. conduct of a public officer, a former public officer or a public body that amounts to a breach of public trust; or
- d. conduct of a public officer, a former public officer or a public body that amounts to the misuse of information or material acquired in the course of the performance of their functions as such (whether for the benefit of that person or body or otherwise); or
- e. a conspiracy or attempt to engage in conduct referred to in paragraph (a), (b), (c) or (d).

Examples of corrupt conduct include:

- a public officer takes a bribe in exchange for the discharge of a public duty;
- a public officer favours unmeritorious applications for jobs or permits by friends and relatives; and
- a Council officer accesses and discloses personal information at the request of a friend, without any legitimate reason.

6.3 Detrimental action

Detrimental action, or reprisal action, against a discloser can be a form of improper conduct. It is defined in s 3 of the Act, as including:

- a. action causing injury, loss or damage; and
- b. intimidation or harassment; and

⁵ See Public Interest Disclosure Guideline Two: Serious or Significant Improper Conduct, available at www.ombudsman.tas.gov.au

- c. discrimination, disadvantage or adverse treatment in relation to a person's employment, career, profession, trade or business, including the taking of disciplinary action; and
- d. threats of detrimental action.

Examples of detrimental action include:

- refusal of a deserved promotion;
- demotion, transfer, isolation in the workplace or changing a person's duties to their disadvantage;
- threats, abuse or other forms of harassment directly or indirectly against the discloser, their family or friends; and
- discrimination against the discloser or their family and associates in applications for jobs, permits or tenders.

7. Where to make a disclosure

For the protections in the Act to apply, a disclosure needs to be made to the right person or body. The following table sets this out, in accordance with s 7 of the Act:

Officer or public body to which the disclosure relates	Where the disclosure may be made
A member, officer or employee of a Council	that public body; or the Integrity Commission; or the Ombudsman
The principal officer of a Council (the General Manager)	the Ombudsman; or the Integrity Commission
A councilor, within the meaning of the <i>Local Government Act 1993</i>	the Ombudsman
In any other case, including if the disclosure is about a public body as opposed to an individual public officer	the Ombudsman; or the Integrity Commission

8. How to make a disclosure

Public officers can make a disclosure about other public officers of Waratah-Wynyard Council orally or in writing to the following officers:

- the General Manager – who is the Principal Officer of the public body, for the purposes of the Act; and
- a Public Interest Disclosure Officer.

8.1 Public Interest Disclosure Officers

The following staff are public interest disclosure officers and can receive disclosures:

- Samantha Searle – Director Organisational Performance; and
- Roseanne Titcombe – Executive Officer Governance and Performance.

If someone wants to make a disclosure about the Principal Officer or Waratah-Wynyard Council, they should be referred to the Ombudsman or the Integrity Commission.

8.2 Written or oral disclosure

It is preferable that a disclosure be made in writing. It should be addressed to the public body, marked for the attention of the Principal Officer or Public Interest Disclosure Officer. A disclosure can be sent, delivered or left at:

The Principal Officer or Public Interest Disclosure Officer
Waratah-Wynyard Council
(PO Box 168)
21 Saunders Street
WYNYARD TAS 7325
Email: council@warwyn.tas.gov.au

A public officer can also make an oral disclosure over the phone or in person to a Public Interest Disclosure officer. An oral disclosure should be made in private. If a public officer is concerned about making a disclosure in person in the workplace, they can call or email the Public Interest Disclosure Officer to request a meeting in a location away from the workplace.

It is not a requirement that the person contemplating making a disclosure refers to the Act or is aware of the Act.

8.3 Disclosure to the Ombudsman

A disclosure may also be made directly to the Ombudsman. The contact details for the Ombudsman are:

Ombudsman Tasmania
GPO Box 960
HOBART TAS 7001
or at
Level 6, 86 Collins Street
HOBART TAS 7000
Website : www.ombudsman.tas.gov.au
Email: ombudsman@ombudsman.tas.gov.au
Phone: 1800 001 170

8.4 Disclosure to the Integrity Commission

A disclosure may also be made directly to the Integrity Commission. The Commission can deal with a protected disclosure about individuals under the *Integrity Commission Act 2009* or refer it to a public body or the Ombudsman. A protected disclosure about a public body would be referred to the Ombudsman. The contact details for the Integrity Commission are:

Integrity Commission
GPO Box 822
HOBART TAS 7001
or at
Level 2
Surrey House
199 Macquarie Street
HOBART TAS 7000
Website: www.integrity.tas.gov.au
Email: contact@integrity.tas.gov.au
Phone: 1300 720 289

9. Confidentiality

Waratah-Wynyard Council will take all reasonable steps to protect the identity of a discloser. Maintaining confidentiality is crucial to ensure that detrimental action is not taken against the discloser in reprisal for making the disclosure.

All reasonable care should also be taken to protect the privacy of witnesses and of the person against whom the disclosure has been made.

Section 23 of the Act requires any person who receives information in the course of or as a result of a protected disclosure or its investigation, not to disclose that information except in certain limited circumstances. Disclosure of information in breach of this section constitutes an offence that is punishable by a maximum fine of 60 penalty units or six months imprisonment, or both.

The circumstances in which a person may disclose information obtained about a protected disclosure include:

- where exercising their functions or the functions of the public body under the Act;
- when making a report or recommendation under the Act;
- when publishing statistics in the annual report of a public body; and
- in proceedings for certain offences under the Act.

The Act, however, prohibits the inclusion of particulars in any report or recommendation that is likely to lead to the identification of the discloser. The Act also prohibits the identification of the person who is the subject of the disclosure in any particulars included in an annual report made in accordance with Part 9 of the Act.

It may be necessary to consider disclosing information where:

- it is essential, having regard to the principles of natural justice, that the identifying information be disclosed to the person who is the subject of the disclosure;
- the investigating body believes that the disclosure of the identifying information is necessary for the matter to be effectively investigated; or
- the identity of the discloser is likely to be guessed from the circumstances of the disclosure and the risks for the discloser are better managed if their identity is known and specific warnings or risk management actions can be taken.

In these circumstances, the person who made the disclosure should first be consulted before any action is taken. Consider obtaining permission in writing from the discloser prior to identifying them.

The Waratah-Wynyard Council will ensure that all relevant files, whether paper or electronic, are kept securely and can only be accessed by the Principal Officer, Public Interest Disclosure Officer/s, the investigator, and (in relation to welfare matters only) the Welfare Manager.

All printed and electronic material will be kept in files that are clearly marked as confidential, and all materials relevant to an investigation, such as interview recordings, will also be stored securely with the files. Electronic files should have access restricted to the relevant officers.

Care should also be taken to ensure that all relevant phone calls and meetings are conducted in private.

Section 90 exempts documents from release under the *Right to Information Act 2009* to the extent that:

- they contain information regarding a disclosure; or
- information that is likely to lead to the identification of the person who:
 - made the disclosure; or
 - the person who is the subject of the disclosure.

10. Assessing the disclosure

The Act requires the taking of two distinct steps when assessing a disclosure. It first needs to be determined whether or not it qualifies as a protected disclosure, and thus attracts the protections contained in the Act. In order to do so it must satisfy the following prerequisites:

- has it been made to the correct person or body?;
- if it has been correctly made to Waratah-Wynyard Council,
 - has it been made by a public officer (or, if the disclosure is anonymous, is the person receiving it satisfied that it is being made by a public officer)?;
 - is it about the conduct of a public officer?;
 - does the discloser believe the public officer has, is or is proposing to engage in improper conduct?;
 - is it about conduct that could objectively fall within the definition of improper conduct?; and
 - does it concern conduct that occurred on or after 1 January 2001?.

The next step is to determine if it is a public interest disclosure. This requires an assessment of the evidence provided by the discloser to determine if it shows or tends to show a public officer has, is or is proposing to engage in improper conduct.

10.1 What should the recipient of the disclosure do upon receipt of the disclosure?

If the disclosure is oral, the recipient should make a file note as soon as possible. The note should record the time the disclosure was made, the circumstances under which it was made and, so far as is possible, the exact words used by the discloser. The recipient should ask the discloser to consider putting the disclosure in writing as soon as possible.

Unless the recipient is the Principal Officer (or the disclosure is about the Principal Officer), the recipient should immediately inform the Principal Officer of the disclosure, and should provide the Principal Officer with a copy of the disclosure, or record of the disclosure, and any accompanying documents.⁶ If the disclosure is about the Principal Officer, contact the Ombudsman for advice.

⁶ Contractors or members of the public who wish to make a disclosure should be advised to contact the Ombudsman or Integrity Commission, as per [Who can make a disclosure?](#)

10.2 Is it a protected disclosure?

The protections for disclosers, provided in Part 3 of the Act, only apply where the disclosure is a *protected disclosure* made in accordance with Part 2 of the Act.

The Principal Officer or a Public Interest Disclosure Officer should assess whether a disclosure has been made in accordance with Part 2 as soon as possible after it has been received. The assessment of disclosure form at Attachment 1 should be completed as part of this process. It contains a series of questions going to the essential elements of a protected disclosure, raised at [Assessing the disclosure](#), and what is needed to be established before a disclosure can be a protected disclosure. A separate assessment of disclosure form will usually need to be completed for each disclosure. This means, for example, that if a discloser is complaining about three different public officers, this constitutes three disclosures and three assessments should be completed.

If it is determined that it is a protected disclosure, the discloser should be given information about the protections in the Act (such as a copy of Part 3 of the Act). These protections should be explained to the discloser if necessary. The discloser should also be informed of the process which will be followed with respect to the disclosure.

The Principal Officer or a Public Interest Disclosure Officer should also immediately appoint a Welfare Manager to protect the interests of the discloser and ensure that the discloser is advised of the name and contact details of that person. A risk assessment should also be completed.

10.3 Mixed content disclosures

Many disclosures will also contain personal grievances. When conducting assessments of complaints or grievances the assessor needs to be alerted to identifying those aspects that could constitute a protected disclosure.

It is not a requirement that a discloser specify they are making a disclosure, the onus rests on Waratah-Wynyard Council to identify whether or not the Act applies. Consider discussing with the person whether they wish to make a public interest disclosure if it appears their concerns would meet the threshold.

Those matters that can be dealt with under a grievance process and those that are more appropriately dealt with under these procedures should be dealt with separately where possible.

10.4 Risk Assessment

A risk assessment should occur as soon as possible after the disclosure has been assessed as being a protected disclosure under the Act. The risk assessment template at Attachment 3 should be completed by the Principal Officer or Public Interest Disclosure Officer and any appropriate risk mitigation action required be implemented. A single assessment can be made of all relevant risks, or you may prefer to undertake separate assessments of the different risks relating to a particular disclosure, such as the risks to the discloser, the subject of the disclosure, any witnesses, or Waratah-Wynyard Council.

The discloser is usually the most able to identify potential reprisal risks, so input should be sought from the discloser and the Welfare Manager in completing the risk assessment. All reasonable steps to reduce risks of reprisal to the discloser should be taken.

10.5 Referral of a protected disclosure to the Integrity Commission

Waratah-Wynyard Council may refer a protected disclosure, as distinct from a public interest disclosure, to the Integrity Commission where it considers that the disclosure relates to misconduct as defined in s 4(1) of the *Integrity Commission Act 2009*. Consideration should also be given to:

- whether independent investigation of the subject matter of the disclosure by the Integrity Commission is preferable; and
- the views of the discloser and the Integrity Commission about whether the matter should be referred.

Waratah-Wynyard Council must notify the discloser of the referral under s 29D of the Act within a reasonable time (unless the disclosure was made anonymously).

The Integrity Commission may deal with the disclosure under its legislation, or it may refer the disclosure to the Ombudsman or a public body, as the case may require, for action in accordance with the Act.

10.6 Is the disclosure a public interest disclosure?

Once a disclosure has been assessed as being a protected disclosure, a further determination must be made as to whether or not it is a public interest disclosure. The Principal Officer or Public Interest Disclosure Officer must make this determination under s 33 of the Act within 45 days of the receipt of the disclosure. Use the Assessment of disclosure form at Attachment 1 to ensure you consider all the necessary requirements.

For a disclosure to be a public interest disclosure, the Principal Officer, or their delegated Public Interest Disclosure Officer, must be satisfied that the disclosure shows or tends to show that the public officer to whom the disclosure relates has:

- engaged, is engaging or proposes to engage in improper conduct in their capacity as a public officer, or
- taken, is taking or proposes to take detrimental action in reprisal for the making of the protected disclosure.

A disclosure must be more than a mere allegation without substantiation to meet this threshold. A disclosure must include an indication of the existence of evidence that, if substantiated, would show or tend to show that the alleged improper conduct occurred.

Where the Principal Officer or Public Interest Disclosure Officer determines that the disclosure amounts to a public interest disclosure, they must:

- advise the Principal Officer (if not the person assessing the disclosure);
- notify the Ombudsman within 14 days of the decision using the notification template at Attachment 3;

- notify the person making the disclosure within 14 days of the decision (unless they are anonymous and uncontactable); and
- proceed to investigate the disclosed matter under s 34 of the Act.

If the Principal Officer or Public Interest Disclosure Officer determines that the disclosure is not a public interest disclosure, they must:

- advise the Principal Officer (if not the person assessing the disclosure);
- notify the Ombudsman within 14 days of the decision using the notification template at Attachment 3; and
- notify the person making the disclosure within 14 days of the decision (unless they are anonymous and uncontactable) – see s 35.

The Ombudsman must then review this decision under s 35(2).

If, on review of the matter, the Ombudsman agrees that the disclosure is not a public interest disclosure, it does not need to be dealt with under the Act. The Principal Officer, or the Public Interest Disclosure Officer in consultation with the Principal Officer, will then decide how the disclosure should be dealt with. If the Ombudsman determines on review that the disclosure is a public interest disclosure, it may be referred back to the public body under s 42 for investigation under the Act or the Ombudsman will deal with the disclosed matter.

10.7 Referral of criminal conduct to the Commissioner of Police

It is possible that, before or during the investigation of a public interest disclosure, facts are uncovered that indicate the possibility that a criminal offence might have been committed. If this happens, Waratah-Wynyard Council will not commence, or will suspend, the investigation and will consult with the Ombudsman as to the future conduct of the matter. Under s 41 of the Act, the Ombudsman has the power to refer a public interest disclosure to the Commissioner of Police for investigation.

If the Ombudsman is satisfied that the disclosed matter should be referred to the Commissioner, Waratah-Wynyard Council should consider whether the disclosure should be referred to the Ombudsman under s 68 of the Act.

Early referral of the matter may avoid interference with the evidentiary trail and so should be done at the first possible opportunity. Referral to the Commissioner through the Ombudsman will also avoid any question of a breach of confidentiality under s 23 of the Act. Once a disclosure is referred to the Commissioner through the Ombudsman, the investigation under the Act ceases. There may still be administrative or operational issues which have been identified during the disclosure process or investigation, however, these should be dealt with under other internal processes of Waratah-Wynyard Council. The Principal Officer, or the Public Interest Disclosure Officer acting in consultation with the Principal Officer, will decide how the matter should be dealt with.

11. Protection

11.1 When does protection commence?

Where Waratah-Wynyard Council receives a disclosure, which complies with the requirements of Part 2 of the Act, the disclosure immediately attracts the protections set out in Part 3 of the Act. This is so whether or not the disclosure is factually correct (although one of the requirements of Part 2 is that the discloser genuinely believes that the alleged improper conduct or detrimental action in fact occurred).

The protection can also extend to a person who intends to make a disclosure - see s19 of the Act.

11.2 What protection does the Act provide?

Part 3 of the Act gives various types of protection to a person who makes a protected disclosure. Below is a summary of some elements of Part 3.

A person who makes a protected disclosure:

- is not subject to any civil or criminal liability, or to any liability arising by way of administrative process, for making the protected disclosure (s 16);
- does not by doing so commit an offence under a provision of any other Act that imposes a duty to maintain confidentiality, or which imposes any other restriction on the disclosure of information (s 17(1)(a)); and
- does not by doing so breach an obligation by way of oath, or rule of law or practice, or under an agreement, which requires the discloser to maintain confidentiality or otherwise restricts the disclosure of information (s 17(1)(b)).

If a disclosure is not made to the correct entity, the protections may not apply. For example, a discloser will not be protected if otherwise confidential information is disclosed to the media.

Part 3 also contains various provisions which are intended to protect a discloser from detrimental action by way of reprisal for a protected disclosure. These are:

- section 19, which makes it an offence to take such detrimental action;
- section 20, which creates a liability to pay damages for such detrimental action; and
- section 21, which gives a person who believes that detrimental action has been taken against them the right to apply to the Supreme Court for an order requiring the person who has taken the detrimental action to remedy that action, or for an injunction.

12. Investigation

12.1 Introduction

Any disclosure Waratah-Wynyard Council determines to be a public interest disclosure under s 33 must be investigated under the Act, unless there is a good reason not to do so pursuant to s 64.

Waratah-Wynyard Council must investigate every disclosure referred to it for investigation by the Ombudsman under s 63(b).

The Principal Officer will appoint an investigator to carry out the investigation. The investigator may be a person from within an organisation or a consultant engaged for the purpose.

The objectives of an investigation are to:

- collate information relating to the allegation as quickly as possible, which may involve taking steps to protect or preserve documents, materials and equipment;
- consider the information collected and to draw conclusions objectively and impartially; and
- maintain procedural fairness in the treatment of witnesses and generally to all parties involved in the disclosure.

12.2 Matters that do not have to be investigated

Before starting an investigation, the Principal Officer or Public Interest Disclosure Officer must first consider whether the disclosed matter needs to be investigated. Section 64 specifies certain circumstances under which a public body may legitimately decide not to investigate. Use the disclosure assessment template at Attachment 1 to assist in assessing whether any of the grounds in s64 apply.

Any decision not to proceed with an investigation on a ground specified in s 64 must be made by the Principal Officer.

If it is decided that the disclosed matter is not to be investigated, written notice must be given within 14 days of this decision to both the Ombudsman and (except in the case of an uncontactable anonymous discloser) the person who made the disclosure. Reasons for the decision must accompany the notice. Use the notification template at Attachment 3 to provide notice to the Ombudsman.

The Ombudsman will review the decision. If the Ombudsman agrees that the disclosure should not be investigated, the matter does not need to be dealt with under the Act. Importantly, the discloser still retains the protections. The Principal Officer, or the Public Interest Disclosure Officer in consultation with the Principal Officer, will decide how the matter should be dealt with.

If the Ombudsman determines that the disclosure should be investigated, they will advise the Principal Officer.

Section 64 may be reconsidered at a later time during the investigation.

12.3 Employment Direction 5 investigations

[Only relevant for public bodies covered by this direction]

If a public body has already investigated the subject matter of a disclosure, it may not need to be investigated again under the Act, as provided by s64(b). It is not a relevant consideration, however, when determining whether or not to investigate a public interest disclosure that the matter may be, or is being, investigated under Employment Direction 5 (ED5) or another internal process.

ED5 investigations and the process under the Act for assessing and investigating disclosures are separate processes and the investigations should be conducted separately. The interaction between the two processes should be considered on a case-by-case basis, for example, whether evidence gathered during a public interest disclosure investigation can be used in an ED5 investigation given the confidentiality requirements of s23. As a minimum, however, if a public officer has raised an allegation about another public officer that may need to be investigated under ED5, then it should also be considered under these public interest disclosure procedures.

The two processes have a different focus. An ED5 investigation is aimed at investigating potential breaches of the State Service Code of Conduct by an employee and ensuring they are afforded procedural fairness, including informing them of the substance of the alleged breach and the intention to investigate. In contrast, a protected disclosure, whilst it can also be about a breach of the code, provides protections to a discloser and imposes confidentiality requirements on the handling of the matter. The purpose of the investigation of a public interest disclosure is to establish if improper conduct has occurred and to make recommendations, which may include taking disciplinary action. Procedural fairness requirements still apply during a public interest disclosure investigation, but the public officer may not be notified of the disclosure or the investigation at the outset, or at all, if the investigation finds it is unsubstantiated.

If an ED5 investigation concludes prior to the conclusion of a public interest disclosure investigation and the Principal Officer considers that the subject matter of the disclosure has been adequately dealt with through the ED5 process, they may decide not to further investigate the matter pursuant to s64(b). The notification process outlined above will need to be followed. Consider seeking legal advice or contacting the Ombudsman for more information.

12.4 Appointment of investigator and framing of terms of reference

The Principal Officer – not a Public Interest Disclosure Officer - will determine who is to carry out the investigation.

The investigator will be given formal terms of reference, signed by the Principal Officer.

The terms of reference will specify:

- the matters to be investigated;
- the date by which the investigation is to be concluded;
- the requirement for regular reports to be made to the Principal Officer, including details of compliance with any measures identified in the risk assessment; and
- the resources available to the investigator for the purposes of the investigation.

The completion date should be as soon as practicable but, in any event, not more than six months from the date of the determination that the disclosure is a public interest disclosure under s 77A(1). If at any stage before or during the investigation it appears that the investigation cannot be completed within six months, Waratah-Wynyard Council may apply to the Ombudsman for an extension of up to a further six months.

12.5 Investigation plan

The investigator should prepare an investigation plan for approval by the Principal Officer. The plan should list the issues which are to be investigated and describe the steps which the investigator intends to take when investigating each of those issues. The risk assessment should be considered as part of the investigation planning and appropriate steps taken to reduce identified risks during the investigation.

The plan should be updated as necessary during the course of the investigation.

12.6 Procedural fairness

The principles of procedural fairness must be carefully observed in the course of the investigation, with respect to all parties involved. These principles are referred to as natural justice in the Act.

The principles are a set of procedural standards which need to be met in order to satisfy a person's right to a fair hearing. If natural justice is not provided, the investigation findings may be questionable and could be challenged.

Waratah-Wynyard Council will comply with the following requirements in ensuring that procedural fairness is accorded to all parties involved.

No one is to be involved in the investigation:

- who is known to be biased against any person who is potentially subject to an adverse finding;
- who is known to hold any biases which are relevant to the subject matter of the investigation; or

- against whom there are reasonable grounds for apprehending or suspecting bias.⁷

If the investigator is aware of any reason why they may be susceptible to an allegation of bias on the basis of these principles, they should immediately inform the Principal Officer. It is best to err on the side of caution and to consider an external investigator if there might be a perception of bias over the investigation.

Any person who is potentially subject to an adverse finding or comment must be told of:

- the allegations made against them, or which have arisen against them as a result of the investigation;
- all of the information which is adverse to their interests and which is, on an objective basis, credible, relevant and significant to the investigation; and
- the proposed adverse findings, and their possible consequences.

This must be done before any final conclusions are formed by the investigator. The person subject to the potential adverse finding must be given a reasonable time to respond.

Despite the above, there is no requirement to inform the person who is subject to the disclosure as soon as it is received, or as soon as the investigation has commenced.

The final investigation report should be drafted in a way that demonstrates that procedural fairness has been afforded. For instance, it should record and deal with all submissions and evidence which a person has put in their defence.

12.7 Conduct of the investigation

The Integrity Commission's Guide to Managing Misconduct in the Tasmanian Public Sector⁸ is a useful guide on the conduct of a public interest disclosure investigation.

The investigator should make contemporaneous notes of all discussions and phone calls, and audio recordings of significant interviews with witnesses should be made where possible.

All information gathered in the course of the investigation must be securely stored.

⁷ The test for establishing the existence of apprehended bias is whether a fair minded lay observer, taking into account all relevant circumstances, might reasonably apprehend that the decision-maker might not bring an impartial mind to the resolution of the questions that they are required to decide.

⁸ Accessible at <https://www.integrity.tas.gov.au/publications/prevention-resources/guides>.

Interviews should be conducted in private, and the investigator should take all reasonable steps to protect the identity of the discloser. The name of the discloser or any particulars which might identify that person must not be revealed unless necessary, and then only with the discloser's knowledge.

12.8 Referral of an investigation to the Ombudsman

Under s 68 of the Act, a public body may refer the investigation of a public interest disclosure to the Ombudsman where the public body considers that its own investigation is being obstructed or that it is otherwise not within the capacity of the public body to complete the investigation. An investigation can also be referred to the Ombudsman if evidence of possible criminal conduct is found, to enable the Ombudsman to refer the matter to Tasmania Police for investigation (see [Referral of criminal conduct to the Commissioner of Police](#) above for more detail).

Any decision as to whether the investigation should be referred to the Ombudsman will be made by the Principal Officer.

12.9 Provision of information about the investigation

The Principal Officer or the Public Interest Disclosure Officer must ensure that the discloser is kept regularly informed concerning the handling of their protected disclosure and any investigation.

Section 74 of the Act requires a public body, at the request of the Ombudsman or the person who made the disclosure, to give the Ombudsman or that person reasonable information about the investigation. The information must be given within 28 days of the request.

As provided by s 74(3), however, such information does not have to be given to the discloser if:

- it has already been given to the person; or
- the giving of the information would endanger the safety of another or may prejudice the conduct of the investigation.

13. Action taken after an investigation

13.1 Investigator's final report

At the conclusion of the investigation, the investigator must submit a written report of their findings to the Principal Officer. The report should contain:

- the allegation/s;
- a description of the manner in which the investigation was conducted, with sufficient detail to demonstrate that natural justice was observed;
- an account of all relevant information received;
- details of the evidence and submissions supplied by any person against whom an adverse finding is made, and the evaluation of that material by the investigator; and
- the findings made and conclusions reached, and the basis for them.

Note in particular that the report should not include any comment adverse to any person unless that person has been given an opportunity to be heard on the matter and their defence is fairly set out in the report. A public body must take action, under s 75 of the Act, to redress any improper conduct found and try to prevent its recurrence. Accordingly, if the investigator has found that the alleged improper conduct has occurred, the investigator may wish to include recommendations as to:

- any steps that need to be taken by the Waratah-Wynyard Council to prevent the conduct from continuing or occurring in the future; and
- any action that should be taken by the Waratah-Wynyard Council to remedy any harm or loss arising from that conduct.

The steps to be taken may include bringing disciplinary proceedings against the person responsible for the conduct or referring the matter to an appropriate authority for further consideration. For example, if the investigation has revealed conduct that may constitute an unreported criminal offence, consideration should be given to whether the matter should be referred to Tasmania Police.

The internal investigation report must be accompanied by:

- the transcript or other record of any oral evidence taken, including audio or video recordings; and
- all documents, statements or other exhibits received by the investigator and accepted as evidence during the course of the investigation.

13.2 Action to be taken

If the investigation makes a finding that a public officer has engaged, is engaging or proposes to engage in improper conduct, Waratah-Wynyard Council must, in accordance with s75, take all reasonable steps to prevent the conduct from continuing or occurring in the future and may take action to remedy any loss or harm arising from the conduct. The Principal Officer should take into consideration any recommendations in the investigator's report but can take different or broader action if appropriate.

The Principal Officer will provide a written report to *[name of the minister responsible for the public body, or name of council where disclosure relates to employee of a council]* and the Ombudsman, setting out the findings of the investigation and any remedial steps taken. The report must not disclose particulars likely to lead to the identification of the discloser. The Ombudsman will also be provided with the full internal investigation report and accompanying evidence. See the notification template at Attachment 3.

As required by s 77 of the Act, the Principal Officer will also inform the discloser of the findings of the investigation, and of any steps taken under s 75 as a result of those findings having been made.

Where the investigation concludes that the disclosed conduct did not occur, the Principal Officer will report that finding to the Ombudsman, in accordance with the notification template at Attachment 3, and to the discloser.

14. Managing the welfare of the discloser

14.1 Support for the discloser

The Principal Officer or the Public Interest Disclosure Officer must appoint a Welfare Manager to support all persons who have made a protected disclosure. This must occur within five working days of the protected disclosure being received.

The Welfare Manager must contact the discloser as soon as possible and not more than five working days after being appointed.

A discloser who believes that they are being subjected to detrimental action in reprisal for having made the disclosure should report it to the Principal Officer or a Public Interest Disclosure Officer, as this can be a potential further protected disclosure. If they believe that the reprisal is not being effectively dealt with by Waratah-Wynyard Council, they may report the matter to the Ombudsman.

14.2 Keeping the discloser informed

The Principal Officer or the Public Interest Disclosure Officer must ensure that the discloser is kept informed of action taken in relation to their disclosure, and the time frames that apply. The discloser must be informed of the objectives of any investigation that takes place, the findings of the investigation, and the steps taken by Waratah-Wynyard Council to address any improper conduct that has been found to have occurred. The discloser must be given reasons for all decisions made by Waratah-Wynyard Council in relation to a disclosure. All communication with the discloser must be in plain English.

14.3 Occurrence of detrimental action

If a discloser reports an incident of detrimental action allegedly taken in reprisal for the making of a disclosure, the Welfare Manager should:

- record details of the incident;
- advise the discloser of their rights under the Act; and
- assist the discloser to advise a Public Interest Disclosure Officer or the Principal Officer of the detrimental action.

The taking of detrimental action in reprisal for the making of a disclosure can be an offence under the Act as well as grounds for making a further disclosure. Where such detrimental action is reported, the Public Interest Disclosure Officer or the Principal Officer will assess the report as a new disclosure under the Act, and it will be dealt with accordingly.

14.4 Discloser implicated in improper conduct

Where a person who makes a disclosure is implicated in improper conduct, Waratah-Wynyard Council will handle the disclosure and protect the discloser from reprisals in accordance with the Act, the Ombudsman's guidelines and these procedures. At the same time Waratah-Wynyard Council acknowledges that the act of disclosing should not shield disclosers from the reasonable consequences flowing from any involvement in improper conduct. Section 18 of the Act specifically provides that a person's liability for their own conduct is not affected by the person's disclosure of that conduct under the Act. In some circumstances, however, an admission may be a mitigating factor when considering disciplinary or other action.

The Principal Officer will make the final decision as to whether disciplinary or other action will be taken against a discloser. Where disciplinary or other action relates to conduct that is the subject of the person's disclosure, the disciplinary or other action will only be taken after the disclosed matter has been appropriately dealt with.

In all cases where disciplinary or other action is being contemplated, the Principal Officer must be satisfied that it has been clearly demonstrated that:

- the intention to proceed with disciplinary action is not because of the making of the disclosure (as opposed to the content of the disclosure or other available information);
- there are good and sufficient grounds that would fully justify action against any non-discloser in the same circumstances; and
- there are good and sufficient grounds that justify exercising any discretion to institute disciplinary or other action.

The Public Interest Disclosure Officer or Principal Officer will thoroughly document the process, including recording the reasons why the disciplinary or other action is being taken, and the reasons why the action is not in retribution for the making of the disclosure. The Public Interest Disclosure Officer or Principal Officer will clearly advise the discloser of the proposed action to be taken, and of any mitigating factors that have been taken into account. They should advise the discloser that they can raise any concerns about the action taken being a potential reprisal with the Ombudsman.

15. Management of the person against whom a disclosure has been made


Waratah-Wynyard Council recognises that employees against whom disclosures are made must also be supported during the handling and investigation of disclosures. When a person who is the subject of the disclosure is made aware of the allegations or of an investigation, they should be provided with an appropriate contact person to whom to direct queries. Information about employee assistance programs or other supports should also be provided, if appropriate.

Waratah-Wynyard Council will take all reasonable steps to ensure the confidentiality of the person who is the subject of the disclosure during the assessment and investigation process. Where an investigation does not substantiate a disclosure, the fact that the investigation has been carried out, the results of the investigation, and the identity of the person who is the subject of the disclosure will remain confidential.

The Public Interest Disclosure Officer or Principal Officer will ensure that the person who is the subject of any disclosure investigated by or on behalf of Waratah-Wynyard Council is afforded procedural fairness in accordance with these procedures.

Where the allegations in a disclosure have been investigated, and the person who is the subject of the disclosure is aware of the allegations or of the investigation, the Public Interest Disclosure Officer or Principal Officer will formally advise the person who is the subject of the disclosure of the outcome of the investigation.

Waratah-Wynyard Council will give its full support to a person who is the subject of a disclosure where the allegations contained in a disclosure are clearly wrong or unsubstantiated. If the matter has been publicly disclosed, the Principal Officer of Waratah-Wynyard Council will consider any request by that person to issue a statement of support setting out that the allegations were wrong or unsubstantiated.

 WARATAH-WYNYARD COUNCIL ASSESSMENT OF DISCLOSURE FORM (ATTACHMENT 1) Public Interest Disclosures Act 2002	
File number:	
Date of assessment:	
Name of assessing officer:	
Summary of disclosure: Include details of how the disclosure was received, the subject of the disclosure and details of the allegations. An assessment of disclosure form will usually need to be completed for each disclosure. This means, for example, that if a discloser is complaining about three different public officers, this constitutes three disclosures and three assessments may be required.	
PART 1: IS THE DISCLOSURE A PROTECTED DISCLOSURE?	
Question 1: Is the discloser a public officer? <i>The discloser needs to be a current public officer. See s4(2) and s4(4) of the Act for the definition of a public officer. If the discloser is anonymous, it is enough to be satisfied that the discloser is a public officer.</i> <i>If the discloser is a contractor, member of the public or no longer a public officer at the time the disclosure is made, refer them to the Ombudsman or Integrity Commission.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No Please provide details if relevant:
Question 2: Is the disclosure about a public officer? <i>A disclosure can be made even if the discloser cannot identify the public officer – see s9 of the Act. If a disclosure is about the principal officer or the public body itself, refer the discloser to the Ombudsman or Integrity Commission.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No
Question 3: Has the disclosure been made to the right person or body? <i>See s7 of the Act and reg 8 of the Public Interest Disclosures Regulations 2013.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No Please provide details:

<p>Question 4: Does the discloser believe that a public officer has, is or proposes to engage in improper conduct?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If no, provide details:</p>
<p>Question 5: Does the disclosure relate to improper conduct? Is the disclosure about conduct that could objectively fall within one of the categories of improper conduct, ie:</p> <ul style="list-style-type: none"> • conduct that constitutes an illegal or unlawful activity; or • corrupt conduct; or • conduct that constitutes maladministration; or • conduct that constitutes professional misconduct; or • conduct that constitutes a waste of public resources; or • conduct that constitutes a danger to public health or safety or to both public health and safety; or • conduct that constitutes a danger to the environment; or • misconduct, including breaches of applicable codes of conduct; or • conduct that constitutes detrimental action against a person who makes a public interest disclosure under this Act – <p>that is serious or significant as determined in accordance with guidelines issued by the Ombudsman?</p> <p><i>For example, a discloser may believe that taking a non-confidential work file home is serious or significant improper conduct, but it may not objectively fall within that definition.</i></p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Please provide details:</p>
<p>Question 6: Does the disclosure concern conduct that occurred on or after 1 January 2001? <i>This is the only time limitation that is relevant when assessing if a disclosure is a protected disclosure. Delays in making a disclosure any time on or after 1 January 2001 can be relevant when deciding whether to investigate a public interest disclosure under s64 of the Act.</i></p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>

<p>Assessment of Answers to Part 1 Questions</p> <p>If ALL the answers to the above are yes, the disclosure is a protected disclosure. The discloser should be notified as soon as possible, if the disclosure is a protected disclosure and the assessment of whether it is a public interest disclosure has not been undertaken simultaneously.</p> <p>If ANY of the answers to the above are no, the disclosure is not protected, and the Act does not apply. Refer the discloser to the appropriate body and/or handle the matter under complaint or grievance policies.</p> <p>In either case, the discloser should be given reasons in writing. A copy of the assessment should be given to the Principal Officer without delay, where the person who carried out the assessment is not the Principal Officer.</p>	
<p>PART 2: SHOULD THE PROTECTED DISCLOSURE BE REFERRED TO THE INTEGRITY COMMISSION?</p>	
<p>Does the disclosure relate to misconduct, as defined in the <i>Integrity Commission Act 2009</i>?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If yes, should the disclosure be referred to the Integrity Commission under section 29B of the Act?</p> <p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If yes, please provide details</p>
<p><i>If the disclosure is referred, the assessment process is complete after the discloser is notified of the referral.</i></p>	
<p>PART 3: IS THE PROTECTED DISCLOSURE A PUBLIC INTEREST DISCLOSURE?</p>	
<p>Are you satisfied that the protected disclosure shows, or tends to show, that the public officer to whom the disclosure relates –</p> <ul style="list-style-type: none"> a) has engaged, is engaged or proposes to engage in improper conduct in his or her capacity as a public officer; or b) has taken, is taking or proposes to take detrimental action in contravention of s 19 of the Act? <p><i>A mere allegation without substantiation is not sufficient – the disclosure must contain evidence or point to its existence (name documents, refer to potential witnesses etc) that shows or tends to show that the public officer is, has, or is proposing to engage in improper conduct.</i></p> <p><i>This determination under s33 of the Act must be made within 45 days of the disclosure being received.</i></p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Provide reasons for your decision and attach evidence if available</p>

<p>Next steps</p> <p>Notify the discloser and the Ombudsman of the assessment determination. Use the notification template attached to the public interest disclosure procedures when notifying the Ombudsman.</p> <p>If the answer is no, the assessment is complete, and Part 4 does not need to be completed. The Ombudsman will review the determination.</p> <p>If the answer is yes, the public interest disclosure must be investigated unless a ground exists not to under s64 of the Act.</p>	
<p>PART 4 - IS THERE A GROUND UNDER S64 NOT TO INVESTIGATE THE PUBLIC INTEREST DISCLOSURE?</p>	
<p>Question 1: Is the public interest disclosure trivial, vexatious, misconceived or lacking in substance?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If yes, provide details. Compelling reasons will be required to justify not investigating on this ground:</p>
<p>Question 2: Has the subject matter of the public interest disclosure already been adequately dealt with by the Ombudsman or a public body, statutory authority, Commonwealth statutory authority, commission, court or tribunal?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If yes, please provide details</p>
<p>Question 3: Has the discloser commenced proceedings in a commission, court or tribunal in relation to the same matter, and does that commission, court or tribunal have power to order remedies similar to those available under this Act?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If yes, please provide details</p>
<p>Question 4: Did the discloser:</p> <ul style="list-style-type: none"> • have knowledge for more than 12 months of the public interest disclosure matter before making the disclosure; and • fail to give a satisfactory explanation for the delay in making the disclosure? 	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If yes, provide details of this issue being put to the discloser and analysis concerning why any explanation provided was not satisfactory:</p>


Question 5: Does the public interest disclosure relate solely to the personal interests of the discloser?	<input type="checkbox"/> Yes <input type="checkbox"/> No <i>Most disclosures will contain some element of personal interest. This should only be used as a basis to not investigate in clear circumstances.</i> If yes, please provide details:
Question 6: Is the public interest disclosure based on false or misleading information?	<input type="checkbox"/> Yes <input type="checkbox"/> No If yes, please provide details and consider whether an offence may have been committed under s87 of the Act.
Question 7: Has the matter the subject of the public interest disclosure already been determined AND this additional disclosure fails to provide significant or substantial new information?	<input type="checkbox"/> Yes <input type="checkbox"/> No If yes, please provide details
Assessment of Answers to Part 4 Questions If the answers to ALL the questions in Part 4 are no, the disclosure must be investigated in accordance with the public interest disclosure procedures. Referral to the Ombudsman can occur if internal investigation is not possible or appropriate. If the answer is yes to one or more of the above questions , will the public interest disclosure be investigated?	
<i>Although the public interest disclosure may not need to be investigated if an answer to any of the Part 4 questions is yes, it may still be appropriate to investigate in some circumstances.</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No Provide reasons for your decision:
Notify the discloser and the Ombudsman if it is decided not to investigate. The Ombudsman will review the decision. Use the notification template attached to the public interest disclosure procedures when notifying the Ombudsman.	

SUMMARY

Part	Question	Answer
Part 1	Is the disclosure a protected disclosure?	
Part 2	Should the protected disclosure be referred to the Integrity Commission?	
Part 3	Is the protected disclosure a public interest disclosure?	
Part 4	Should the public interest disclosure be investigated?	

APPROVAL

Approved by: Name of Public Interest Disclosure Officer or Principal Officer:	
Date of approval:	

 WARATAH-WYNYARD COUNCIL RISK ASSESSMENT (ATTACHMENT 2) Public Interest Disclosures Act 2002	
File number:	
Date of assessment:	
Name of assessing officer:	
Risk assessed to: <i>Please select all relevant options</i>	<input type="checkbox"/> Discloser <input type="checkbox"/> Other employees including potential witnesses <input type="checkbox"/> Your public body <input type="checkbox"/> Other (e.g. Tasmanian Government, the general public) <input type="checkbox"/> The subject of the disclosure
Type of risk / possible harm Such as: <ul style="list-style-type: none"> • Adverse employment action • Workplace injury • Physical violence • Verbal abuse • Stress • Untenable work environment • Withdrawal of cooperation due to fear of reprisal/lack of support • Reputational damage • Risk to public safety • Misuse of public funds • Disruption to functioning of public body 	Please provide details:
Likelihood risk/s will occur	<input type="checkbox"/> Unlikely <input type="checkbox"/> Possible <input type="checkbox"/> Likely
Considerations: <ul style="list-style-type: none"> • Can confidentiality be maintained? • Is the discloser (or others) concerned about reprisals? • How many public officers are involved in the alleged improper conduct? • What is their level of seniority? • What is the seriousness of the alleged conduct? • Is there a history of conflict in the workplace? 	

Please provide your reasons:			
Seriousness of consequences if risk/s occurs	<input type="checkbox"/>	Minor	
	<input type="checkbox"/>	Moderate	
	<input type="checkbox"/>	Major	
Considerations: <ul style="list-style-type: none"> • What is the potential impact if the risk occurs? • Will the impact be limited, with the person able to readily deal with it? • Will the impact have consequences which will affect the person's work or their personal and home life? • Will the consequences be short-term, medium-term or long-term? 			
Please provide your reasons:			
Evaluation of level of risk			
	Minor consequence	Moderate consequence	Major consequence
Risk occurrence			
Unlikely	Low	Low	Medium
Possible	Low	Medium	High
Likely	Medium	High	High
Determine your level of risk:			
Steps needed to mitigate risk Consult with discloser and other parties as required. Possible strategies include: <ul style="list-style-type: none"> • maintaining confidentiality as much as possible • ensuring all parties are aware of their obligations • when the identity of the discloser will be known or guessed by the subject of the disclosure and/or associates, proactively identifying the discloser (with their written permission) and advising relevant parties of the consequences of taking reprisal action and that their actions are being monitored • altering reporting structures • increasing monitoring of the work environment • standing down the subject of the disclosure • temporarily relocating the subject of the disclosure or the discloser to a different location/role • independently verifying the work performance of the discloser • providing access to specialist support services if required • making a statement to all staff or the media to address concerns 			
Please provide details:			


ACTION TO BE TAKEN	
Considerations: <ul style="list-style-type: none"> • risk rating • ease or difficulty of mitigating risk • financial cost of taking action • consequences of not taking action should risk occur 	
Please provide details of your risk action plan:	

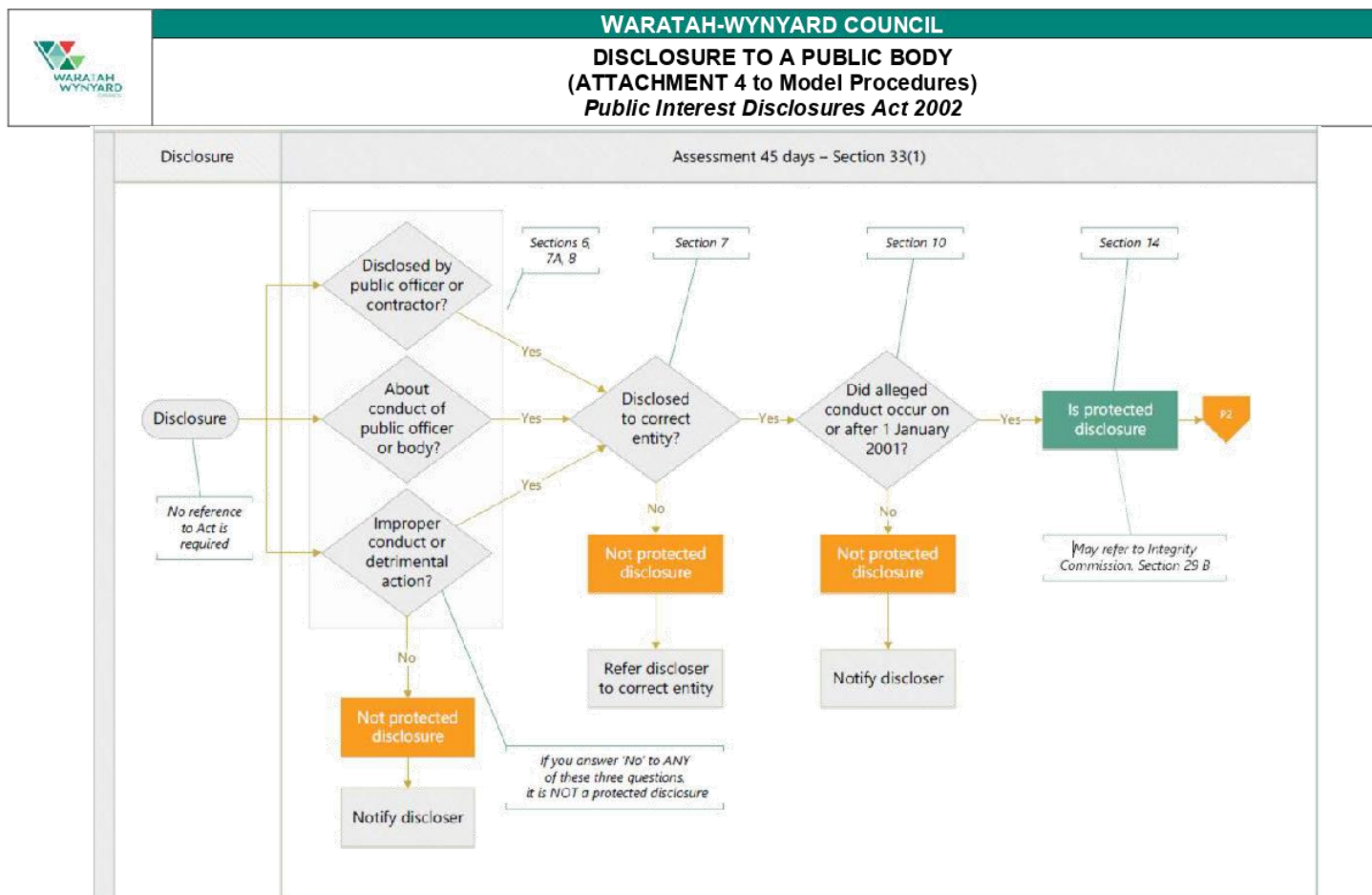
APPROVAL

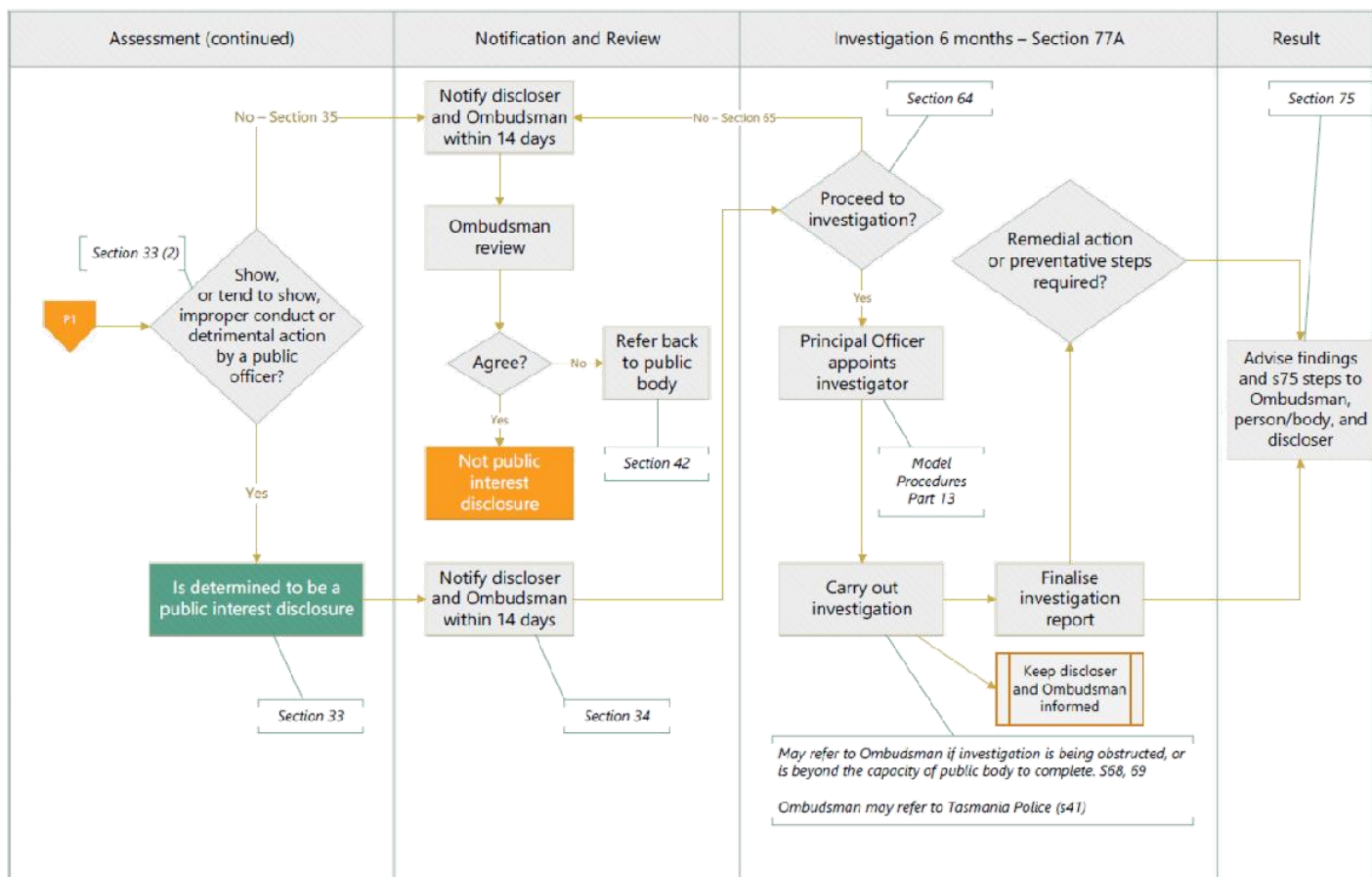
Approved by: Name of Public Interest Disclosure Officer or Principal Officer – Type Name:	
Date of approval:	

RISK ASSESSMENT REVIEW

Risk assessment to be reviewed on (date)	or when (event)	occurs.
Name of reviewing officer:		
Date of assessment		
Notes on changes to risk since last assessment		
Review outcome	<input type="checkbox"/> No change to action plan <input type="checkbox"/> Further action required Please provide details:	
<i>Thank you to the Queensland Ombudsman for the use of some of its risk assessment materials in this template.</i>		

 WARATAH-WYNYARD COUNCIL OMBUDSMAN NOTIFICATION TEMPLATE (ATTACHMENT 3) Public Interest Disclosures Act 2002	
Public Body Name:	
Date of disclosure:	
Contact person: <i>(include telephone and email contact details)</i>	
Date of s 33 determination: <i>(to be made within 45 days of date of disclosure)</i>	
Date of notification:	
NOTIFICATION TYPE	
<input type="checkbox"/> Section 34 – Determination that disclosure is a public interest disclosure <i>Notification to be made within 14 days of decision</i>	
<input type="checkbox"/> Section 35 – Determination that disclosure is not a public interest disclosure <i>Notification to be made within 14 days of decision</i>	
<input type="checkbox"/> Section 65 – Decision not to investigate public interest disclosure under s 64 <i>Notification to be made within 14 days of decision</i>	
<input type="checkbox"/> Section 76 – Findings of investigation and steps taken under s 75 <i>Investigation to be completed within 6 months unless Ombudsman extension granted</i>	
EVIDENCE ATTACHED	
<input type="checkbox"/> Copy of original disclosure or record of oral disclosure	
<input type="checkbox"/> Disclosure assessment	
<input type="checkbox"/> Risk assessment/s	
<input type="checkbox"/> Investigation report including: <ul style="list-style-type: none"> the transcript or other record of any oral evidence taken, including audio or video recordings; and all documents, statements or other exhibits received by the investigator and accepted as evidence during the course of the investigation. 	
<input type="checkbox"/> Any other material used to make determination (list): <ul style="list-style-type: none"> 	





**Minister for Finance
Minister for Infrastructure and Transport
Minister for State Growth
Minister for Science and Technology
Leader of the House**



Level 5, 4 Salamanca Place, Hobart
Public Buildings, 53 St John Street, Launceston
GPO Box 123, HOBART TAS 7001
Phone: (03) 6165 7701; Email: Michael.Ferguson@dpac.tas.gov.au

Cr Robby Walsh
Mayor Waratah Wynyard Council
By email: mayor.rwalsh@warwyn.tas.gov.au

9 DEC 2020

Dear Cr Walsh

I am writing to you about the rollout of the North West bus network and changes to the state-wide intercity bus services. This will result in better North West bus services – more services, direct routes, less waiting.

This letter provides information to assist your office with enquiries or feedback regarding changes to bus services in your electorate that come into effect from Sunday, 17 January 2021.

Details of the changes, including new timetables and route maps, are available at:
https://www.transport.tas.gov.au/public_transport/bus_timetables/latest_information_on_the_north_and_north_west_bus_networks

As a first point of contact, members of the public are encouraged to visit this website for information about the changes. Passengers are also encouraged to contact the operator of their bus service. Contact details are provided in the attached North West Bus Network Guide.

As a second point of contact, members of the public may contact the Department of State Growth for further information, or to provide feedback. State Growth can be contacted by:

- Email: ptscontracts@stategrowth.tas.gov.au; or
- Phone: (03) 6166 3343 on business days between 9:00am and 5:00pm.

Changes to the North West bus network are the final stage of a of a broader, state-wide review of bus services. North West residents and stakeholders were consulted about these changes during an extensive consultation process in September and October 2019. The proposed network was revised following feedback received during consultation.

Although the new North West bus network has been finalised, State Growth is monitoring community feedback and will continue to do so leading up to and following the implementation of the changes.

It's acknowledged that not everyone in the community will like the new network, but it has taken into account the greater needs of the community as a whole.

An invitation to receive a detailed briefing will be forthcoming from the Department of State Growth.

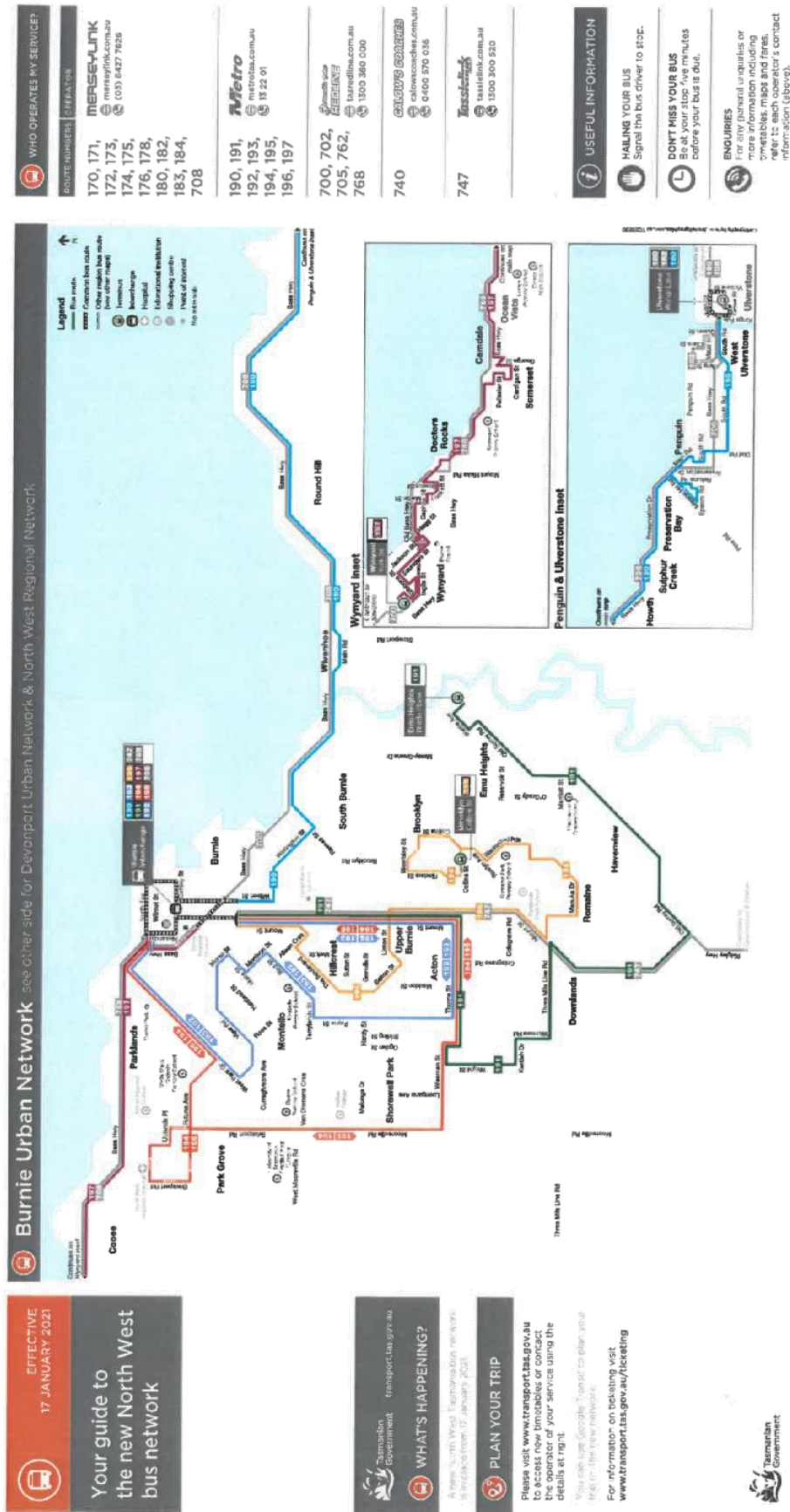
I trust this information will help your office respond to enquiries and I thank you for your assistance in sharing the news of these important changes with the community.

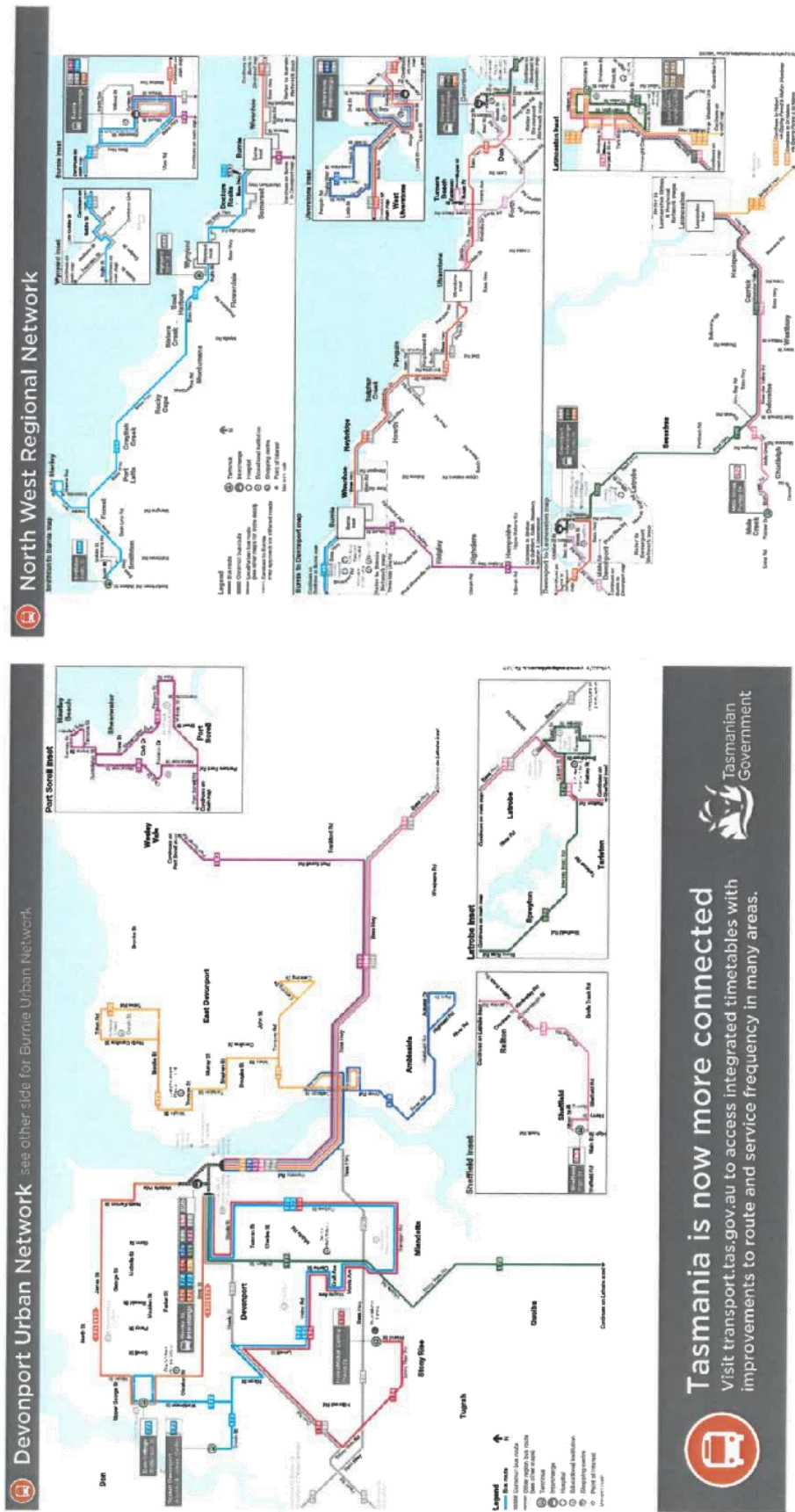
Yours sincerely

A handwritten signature in blue ink that reads "Michael Ferguson". The signature is written in a cursive, flowing style.

Michael Ferguson MP
Minister for Infrastructure and Transport

Encl. – 2021 North West Network Guide





Department of Primary Industries, Parks, Water & Environment
WATER AND MARINE RESOURCES DIVISION

Hobart GPO Box 44, Hobart TAS 7001
Web www.dpipwe.tas.gov.au

8 January 2021

Mr Shane Crawford
General Manager
Waratah Wynyard Council
PO Box 168
WYNYARD TAS 7325



Inquiries: Sallie Bolonja
Phone: 6165 3008
Email: sallie.bolonja@dpipwe.tas.gov.au
Our Ref: D20-112030

Dear Mr Crawford

**NOTICE OF APPLICATION FOR A PERMIT TO UNDERTAKE DAM WORKS
SECTION 145 OF THE WATER MANAGEMENT ACT 1999
DAM WORKS PERMIT NUMBER 2020009986**

Notice is hereby given under Section 145 of the *Water Management Act 1999*, that the Minister for Primary Industries and Water has received an application under Section 144 of the Act, for a Permit to undertake dam works as set out below:

Tasmanian Water & Sewerage Corporation Pty Ltd proposes to decommission Waratah Reservoir at Aerodrome Road, Waratah. This proposal has been assessed to have a consequence category of Significant (*Refer ANCOLD Guidelines on the Consequence Categories for Dams, October 2015*).

Since these proposed dam works will be undertaken on land that you own I, as the Minister's delegate, am required to notify you of the application and advise you of your rights to make representations to the application. I have attached a map of the proposed dam works provided by the applicant for your information. The application will be available for viewing online at <https://dpipwe.tas.gov.au/water-and-dam-applications> until Monday 1 February 2021, which is when the 14 day period for the submission of any representations closes. (Period has been extended for an extra 7 days due to the Christmas/New Year holiday period).

Should you have issues with the application, you may make a representation to the Minister raising your issues and setting out your concerns. This representation must be made in writing and submitted to the Section Head (Water and Dam Administration), Water Management & Assessment Branch, GPO Box 44, Hobart 7001 or via email to bill.shackcloth@dpipwe.tas.gov.au by 21 days from date of this notice.

Should you require any further assistance or information in relation to any of the above, please do not hesitate to contact Sallie Bolonja on the number above.

A handwritten signature in black ink, appearing to read 'Bill Shackcloth'.

Bill Shackcloth
Section Head (Water & Dam Administration)
Water Management & Assessment Branch



WARATAH DAM

Decommissioning Plan

9 November 2018

Prepared by Hydro-Electric Corporation
ABN48 072 377 158

t/a Entura 89 Cambridge Park Drive,
Cambridge TAS 7170 Australia



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Waratah Dam - Decommissioning Plan
ENTURA-1008F9

Revision No: 2
9 November 2018

Document information

Document title	Waratah Dam Decommissioning Plan
Client organisation	TasWater
Client contact	David Krushka
ConsultDM number	ENTURA-1008F9
Project Manager	Suraj Neupane
Project number	E307175/P514460

Revision history

Revision 2

Revision description	Final submission after Client review		
Prepared by	Suraj Neupane, Brad Smith, Ray Brereton		12/11/2018
Reviewed by	Paul Southcott		12/11/2018
Approved by	David Gerke		12/11/2018
	(name)	(signature)	(date)
Distributed to	David Krushka	TasWater	
	(name)	(organisation)	(date)

Revision 1

Revision description	Draft for Client review		
Prepared by	Suraj Neupane, Brad Smith, Ray Brereton	Signed on original	2 Oct 2018
Reviewed by	Paul Southcott	Signed on original	2 Oct 2018
Approved by	David Gerke	Signed on original	5 Oct 2018
	(name)	(signature)	(date)
Distributed to	David Krushka	TasWater	5 Oct 2018
	(name)	(organisation)	(date)

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Executive summary

Waratah Dam has been found to be in very poor condition and not to meet dam safety compliance criteria in accordance with ANCOLD guidelines. The dam had a piping incident in 2017 and the reservoir level has been temporarily lowered down below the pipe hole to prevent potential failure of the dam. The flood capacity of the dam (pre 2017) was assessed to be approximately 1:400 AEP. The piping defect is assessed to be between the 1:2 and 1:5 AEP flood level.

The portfolio risk assessment of Cradle Mountain Water (now TasWater) dams found piping followed by erosion of spillway channel as the key modes of failure associated with Waratah Dam. The total annual probability of failure was estimated as 5.4×10^{-2} . The societal risk against ANCOLD (2003) criteria was assessed to be 'not tolerable'. The individual risk against ANCOLD (2003) criteria was also assessed to be 'not tolerable'. The associated financial risk posed by the dam was in excess of \$0.16M per annum.

The dam is also no longer required to meet the freshwater supply needs of the Waratah Township. Ongoing operation of the dam in its current state is unacceptable due to the risks it poses and given the poor performance of the current dam, remedial works are not considered to be good value solution. Therefore, TasWater intends to safely and effectively dewater the impoundment, decommission and remove the dam wall and rehabilitate the dam site.

This plan is prepared as part of preconstruction design documentation required under the Division 3 Permit Dam Works Code (2015). This plan has the following key components:

- Legislative requirements.
- Outcomes of flora & fauna and cultural heritage studies.
- Outcome of sediment and erosion control plan.
- Design of erosion control measures.
- Engineering design of decommissioning work.
- Design drawings and technical specification as notes on the drawing.
- Rehabilitation of the exposed dam sections and reservoir.
- Environment management plan, and
- Estimated cost of decommissioning.

The cost of decommissioning has been estimated as \$436,000 ex GST (accurate to $\pm 20\%$).

Once the decommissioning is complete, the area will pass the flows without any attenuation. There will be no dam to fail and there will be no consequences on the downstream area other than the effects of natural floods.

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1. Introduction

1.1 Background

Waratah Dam has been found to be in very poor condition and not to meet dam safety compliance criteria in accordance with ANCOLD guidelines. The dam had a piping incident in 2017 and the reservoir level has been temporarily lowered down below the pipe hole to prevent failure of the dam. The flood capacity of the dam (pre 2017) was assessed to be approximately 1:400 AEP. The piping defect is assessed to be between the 1:2 and 1:5 AEP flood level.

Ongoing operation of the dam in its current state is unacceptable due to the risks it poses and given the poor performance of the current dam remedial works are not considered to be good value solution. The dam is also no longer required to meet the freshwater supply needs of the Waratah Township. Therefore, TasWater intends to safely and effectively dewater the impoundment, decommission and remove the dam wall and rehabilitate the dam site. Entura was engaged by TasWater to undertake an engineering design of decommissioning work for Waratah Dam.

1.2 Key deficiencies associated with the dam

The following key deficiencies are noted at Waratah Dam:

- There are no records of design and construction of the embankment.
- There is no evidence and record of on-site investigations undertaken at the embankment.
- The embankment is leaking at multiple locations on the downstream face.
- The downstream face is uneven.
- Cracks and holes on the crest were noted during the comprehensive inspection in 2010 (Byleveld & Smyth, 2010). Byleveld & Smyth (2010) also reported:
 - The original spillway was constructed on the left abutment of the dam. In 1975/76, the spillway was blocked by debris, leading to overtopping failure of the dam wall. The dam wall has since been reinstated and the new (current) spillway was constructed on the right abutment.
 - The dam was unlikely to contain a filter system, therefore had no way of controlling internal erosion should a piping incident occur. Significant leakage was observed along the downstream toe. Piping was considered to be a critical failure mode.
 - The slope of the upstream face was observed to be steeper than modern dam design standards, and might lead to instability during rapid drawdown. Upstream slope instability was considered to be a critical failure mode. A slope stability analysis was recommended.
 - The dam was unlikely to contain a filter system around the outlet pipe to control internal erosion along the pipe.

1.3 Dam failure risk assessment

The portfolio risk assessment (Hoang & Ng, 2013) of Cradle Mountain Water (now TasWater) dams found piping followed by erosion of spillway channel as the key modes of failure associated with Waratah Dam. The total annual probability of failure was estimated as 5.4×10^{-2} . The societal risk against ANCOLD (2003) criteria was assessed to be 'not tolerable' (see Figure 1.1). The individual risk against ANCOLD (2003) criteria was also assessed to be 'not tolerable'. The associated financial risk posed by the dam was in excess of \$0.16M per annum.

The dam had a piping incident in 2017. Since then, the spillway crest has been lowered by approximately 1.1 m. The spillway, before lowering of the crest in 2017, could only safely pass a flood event of 1:400 AEP (without considering the dry freeboard).

Due to these reasons, either the dam has to be upgraded to comply with ANCOLD guidelines and modern design standards or decommissioned to ensure that there is no risk to the downstream population.

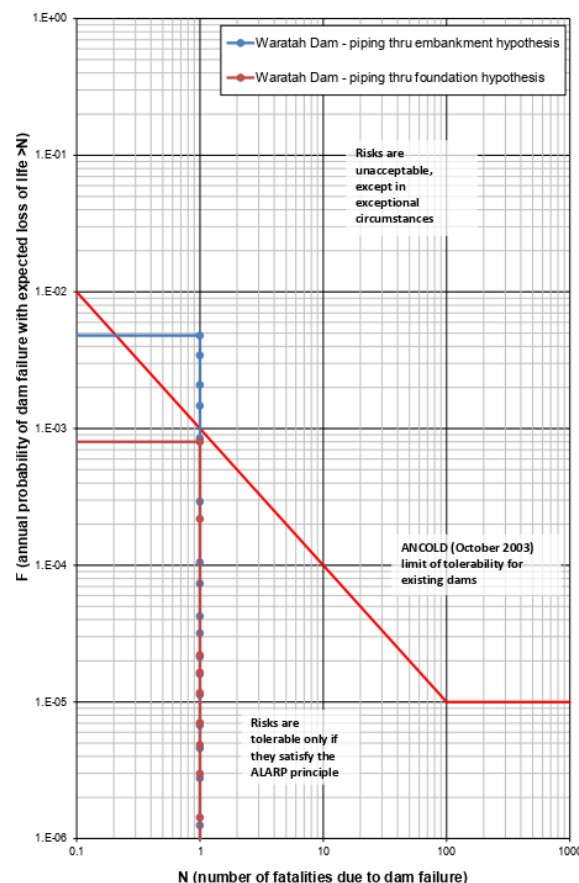


Figure 1.1: Societal risk posed by Waratah Dam (Hoang & Ng, 2013)

1.4 Objectives of dam decommissioning

The main objective of the decommissioning work is to ensure that the decommissioned dam will not pose a short or long term hazard, including managing safety during the works. A complete removal of the dam wall has been considered for the decommissioning.

In addition:

- The decommissioning process has to be appropriately designed to ensure safety during and after completion of the works.
- There should not be any adverse impact in terms of natural and cultural values of the dam.
- The engineering design should incorporate any structures required to manage sediment and erosion.

1.5 Scope of work

The scope of work for the engineering design of the decommissioning work includes:

- Brainstorm ideas to dewater the reservoir and divert the inflows.
- Develop a plan for a successful decommissioning of the embankment. This will include engineering design for the excavation stages, disposal of excavated material and emergency management during decommissioning.
- Develop a 1D model to include a new channel through the dewatered reservoir and run a 1:10 AEP flood to assess flow depths and velocities with the new channel to appropriately design rock lining including any check dams for erosion protection along the decommissioned reservoir and to prevent silt transport downstream of the decommissioned reservoir.
- Prepare a reservoir rehabilitation plan for the decommissioned dam and reservoir.
- Undertake cost estimate of the decommissioning work.
- Prepare a construction environment management plan (CEMP).

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2. Key data for Waratah Dam

Key data for Waratah Dam is shown in Table 2.1. Location of the dam is shown in Figure 2.1.

Table 2.1: Dam data (Hoang & Ng, 2013)

GENERAL		
DAM	Waratah Dam	
LOCATION	1 km southeast of Waratah (60 km southwest of Burnie)	
SYSTEM	Waratah System	
CATCHMENT (RIVER)	Waratah River	
YEAR OF CONSTRUCTION	Unknown (dam repaired in 1975/76 following dam failure)	
DAM CONSEQUENCE CATEGORY	Sunny Day Failure	Significant
	Flood Failure	Significant
DAM ID NUMBER	4806	
COORDINATES	E 378 212 m, N 5 409 783 m	
EMBANKMENT		
TYPE	Clay core rockfill	
CREST LEVEL	RL 607.5 m AHD (2014 topographic survey), previously reported as RL 608.8 m	
CREST LENGTH	87.4 m	
CREST WIDTH	8 m	
HEIGHT	6 m	
UPSTREAM SLOPE	1V : 2H	
DOWNSTREAM SLOPE	1V : 2H	
RESERVOIR		
FULL SUPPLY LEVEL (FSL)	Spillway crest level	
CAPACITY AT FSL	800 ML at RL 606.3m based on 2017 survey (Pre-2017 spillway) 400 ML at RL 605.2m based on 2017 survey (current spillway arrangement)	
SURFACE AREA AT FSL	47.65 ha (0.48 km²) (Pre-2017)	
CATCHMENT AREA	9.97 km²	
ON-STREAM / OFF-STREAM	On-stream	

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SPILLWAY	
TYPE	Timber overflow weir discharging into unlined channel (Pre-2017). Unlined open channel (current)
SPILLWAY CREST LEVEL	Pre-2017: RL 606.3 m AHD (2014 topographic survey); Previously reported as RL 608 m Current: RL 605.2 m AHD (2018 survey)
SPILLWAY CREST WIDTH	≈3.5 m (current)
DESIGN FLOOD	Before spillway lowering: Between 1:2 to 1:5 AEP (Cohen & Southcott, 2018) Note: The above AEPs are with respect to the level of piping hole that formed at the embankment, i.e. at RL 606.6 m AHD. Current design flood: Unknown
DAM CREST FLOOD (DCF)	Before spillway lowering: 1:400 AEP (Cohen & Southcott, 2018) Current dam crest flood: Unknown
OUTLET WORKS	
OUTLET	DN450 cast iron outlet pipe and valve

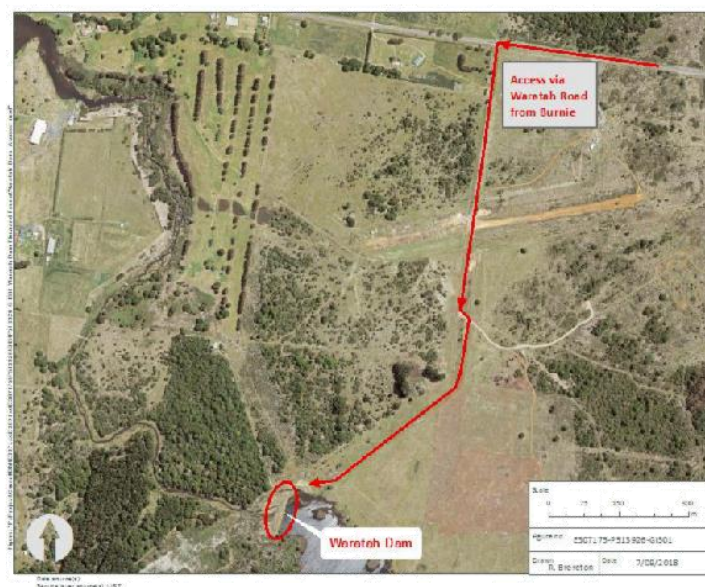


Figure 2.1: Location of Waratah Dam and access to right abutment

3. Legislative requirements

Under the *Water Management Act 1999 (ver. 2016)*, decommissioning work on a dam “located on a water course” will require a Division 3 Permit from Department of Primary Industries, Parks, Water and Environment (DPIPWE).

Regulation 10 of the *Water Management (Safety of Dams) Regulations 2015* states that a person undertaking an activity for the purposes of, or in connection to, the design, construction, surveillance or decommissioning of a dam must carry out that activity in accordance with the guidelines, as amended or substituted from time to time, specified in Schedule 1 of the Regulations.

For the activity of supervising construction and decommissioning, the *Guidelines for the Construction of Earth-fill Dams* (2008), published by the DPIPWE, are specified in Clause 3 of Schedule 1 of the Regulations.

Division 3 Permit Dam Works Code 2015 prescribes minimum design, construction and environmental standards that apply to dam works authorised under a Division 3 Permit. The Code specifies activities in the absence of DPIPWE approved preconstruction report (decommissioning plan). Since this decommissioning plan has been prepared for approval from DPIPWE, some activities are slightly different to the specified activities in the Code.

It is envisaged that this decommissioning plan along with the attached design drawings would meet the DPIPWE requirements to obtain a decommissioning permit.

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4. Removal of Waratah Dam wall

Waratah Dam is a clay core rockfill dam. It has a 450 mm diameter cast iron outlet pipe. The spillway is an unlined open channel on the right hand abutment. The dam impounds 800 ML of water in the reservoir at RL 606.3 m. Since the spillway crest has been lowered to RL 605.2 m in 2017, the estimated volume that the reservoir holds is approximately 400ML.

A full decommissioning of Waratah Dam will require ensuring the following:

- No impact on natural and cultural values at the dam site.
- Dewatering of the reservoir prior to removal of embankment materials.
- Safe access to works and disposal areas.
- Disposal of the removed material at designated disposal area(s).
- No silt transported to downstream area along the water course due to the decommissioning activities.
- Rehabilitation of the exposed reservoir surface on either side of the channel and provision of an ongoing erosion free channel for the natural inflows (e.g. up to 1:10 AEP).
- Ensure that there is no residual risk to the society even after the decommissioning.

The engineering design of Waratah Dam decommissioning has covered all of the above aspects which are summarised in the following sections.

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5. Flora and fauna survey and habitat assessment

A flora and fauna survey and habitat assessment was undertaken recently as part of Waratah Dam decommissioning environmental impact assessment (Brereton & Jackman, 2018). It included a review of existing information to identify previously recorded flora and fauna and habitat values associated with Waratah Dam.

Field surveys were also carried out at the dam to verify the potential natural values identified in the desktop assessment. The natural values assessment was done in accordance with the *Guidelines for Natural Values Surveys - Terrestrial Development Proposals* (Natural and Cultural Heritage Division 2015) and included:

1. A review of terrestrial and aquatic flora and fauna data held on the Natural Values Atlas (NVA) to identify the potential for the occurrence of threatened flora and fauna species listed under the *Threatened Species Protection Act 1995* (Tas) (TSP Act) and the *Environment Protection and Biodiversity Conservation Act 1999* (Cth) (EPBC Act).
2. A review of the TASVEG mapping (Tasmania's digital vegetation map) at the dam.
3. A field survey to investigate and verify the potential fauna and flora issues identified in the desktop assessment which included:
 - ground-truthing and mapping of the TASVEG vegetation communities that border the impoundment
 - survey of terrestrial, riparian and aquatic flora
 - identification of declared weeds listed on the schedules of the *Weed Management Act 1999* (Tas)
 - a fish survey using fyke nets to identify the species of the fish that occur within the impoundment area and to obtain an indication of their abundance
 - electrofishing of the lake margins and shallow areas to survey the fish that use these habitats
 - identify any areas of the impoundment area that might pose a risk of fish stranding
 - a freshwater crayfish survey to identify what species occur in the dam and an indication of their abundance
 - an assessment of other aquatic vertebrate species (e.g. platypus, frogs) and bird species that use the impoundment.

The natural values assessment found that no threatened flora and fauna species listed under the *Threatened Species Protection Act 1995* (TSP Act) or *Environment Protection Biodiversity Conservation Act 1999* (EPBC Act) (Cth) would be affected by decommissioning of the dam. Native non-threatened aquatic and wetland fauna species recorded from the dam including the platypus, water rat, the little pied cormorant, great cormorant, common froglet, Tasmanian froglet and brown tree frog are all widespread and common in Tasmania. The assessment found that the decommissioning of the dam would not adversely affect these species because there would still be suitable habitat for them in the re-created Waratah River and associated floodplain sedgeland

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habitat which is evident from the regrowth of wetland vegetation following the lowering of the spillway in late 2017. The resulting riverine habitat will also provide habitat for the native fauna including the platypus and water rat. The only two fully aquatic species recorded from the dam were both introduced; the brown trout and the yabby which is a 'controlled fish' under the *Inland Fisheries Act 1995* (Tas).

The wetland vegetation community which was mapped around the margins of Waratah Dam fits the description of the TASVEG freshwater aquatic sedgeland and rushland wetland community that occurs around standing water bodies and is listed as threatened vegetation community under the *Nature Conservation Act 2002* (Tas). This vegetation community is unlikely to be significantly affected by the decommissioning of the dam because it will re-establish along the margins of the recreated Waratah River. There is evidence of the re-establishment of wetland vegetation in response to the lowering of the spillway in late 2017 with wetland species revegetating the exposed margins of the lake and the regrowth of the tall spikerush (*Eleocharis sphacelata*) in the newly formed shallows.

Overall the assessment concluded that the decommissioning of the Waratah Dam is unlikely to have a significant impact on the flora and fauna species and vegetation communities that occur in the dam and on the riparian margins of the dam.

6. Cultural heritage

Entura recently undertook a cultural heritage values assessment as part of Waratah Dam decommissioning environmental impact assessment (Brereton & Jackman, 2018). The cultural heritage values assessment included a review of existing information to identify previously Aboriginal and historic heritage values associated with Waratah Dam.

Field surveys were also carried out at the dam to verify the potential Aboriginal and historic cultural heritage values identified in the desktop assessment. The Aboriginal and historic heritage assessments were carried out in accordance with Aboriginal Heritage Tasmania's *AHT's Standards and Procedures* (2018), and Heritage Tasmania's *Pre-Development Assessment Guidelines* (2010). The assessment of significance for historic heritage values was undertaken in accordance with Heritage Tasmania's 'Assessing historic heritage significance: for application with the *Historic Cultural Heritage Act 1995*.

The Aboriginal heritage survey did not locate any Aboriginal relics during the survey of the Waratah Dam and adjacent area consequently no AHA permit is required for works affecting Waratah Dam. The potential for relics to be present within the study area and potentially impacted by the proposed dam decommissioning is considered very low, therefore there are no recommendations for additional works or mitigation actions. However, there is a theoretical potential for isolated artefacts to occur almost anywhere in the Tasmanian landscape and therefore it is recommended that if any artefacts are encountered during decommissioning works they should be managed in accordance with Aboriginal Heritage Tasmania Unanticipated Discovery Plan (ver 6/04/2018). In keeping with the principles of indigenous engagement it is also recommended that a copy of the EIA is provided to the relevant Aboriginal community.

The historic heritage assessment has assessed the Waratah Dam as having Medium Local (c) significance and that the decommissioning of the dam will not have a major impact on historic heritage values. However, it is recommended that the internal structure of northern abutment is recorded and documented as evidence of original construction methods and heritage interpretation is installed at the public access point noting that the site was the original Waratah Dam.

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7. Sediment and erosion control

7.1 Geology and physiography

The geology at the dam site comprises Tertiary basalt that extends as a broad sheet over much of north-west Tasmania. The basalt was emplaced as a series of lava flows from numerous feeders that infilled pre-Tertiary drainage valleys formed in Proterozoic basement sediments (Oonah Formation) and overlying Cambrian volcanics and marine sediments (Cleveland - Waratah Association). The volcanics are locally mineralised and were mined at the Mt Bischoff and Magnet.

Locally the basalt forms an elevated plateau ranging from 600 to 700 m elevation and reaching a thickness of 300 m, although thinner (c. 100 m) in the Waratah area, potentially suggesting an upland catchment for a major pre-basalt north-south drainage system (i.e. Seymour (ed) 1989: 32).

The Waratah Dam is situated close to the western edge of the basalt plain which is locally dissected by tributaries of the Arthur River system to the west - including the Waratah River and Deep Gully Creek, and by tributaries of the Hellyer River to the north - including the Fossey River.

7.2 Soils

The local soils are basalt ferrosols correlated with the Oonah Association, which is defined as 'soils developed on Tertiary basalt bedrock and colluvium on an undulating (3 to 10%) plateau; generally occurring at altitudes above 400 m and where annual rainfall is greater than 1500 mm' (Kidd & Spanswick, 2000). These are overlain by peaty marsh sediments along watercourses and within the reservoir impoundment.

7.3 Erosion and sediment control measures

The following summary of the erosion and sediment control measures will be implemented for the Waratah Dam decommissioning project. The project contractor shall refer to the erosion and sediment control plan (Smith 2018) for details on the installation and management of erosion and sediment control measures.

7.3.1 Staging works and site stabilisation

The proposed staging of works schedule is shown in Table 7.1. The table identifies the relevant drawing, type of control, when it is installed, how it is maintained and when it is removed.

Table 7.1: Staging of works at Waratah Dam

Drawing Reference 307175-	Control Type	Installed	Maintenance	Removed
002, 005	Sediment fencing	Before any works commence and the maximum extent of the works has been delineated. Downslope from material stockpiles as required.	Inspect weekly or after any significant rain event. Repair as required. Remove sediment if height exceeds depth of 1/3 the height of the fence. Dispose of sediment as per section 4.3.2.4.	At the completion of the works program and once the whole work site is deemed stabilised. Once the material stockpile has been used or removed from the work site.
002, 005	Straw bales	Before any works commence in stream	Daily check stability and effective operation Replace filter fabric or bales if collapsed. Dispose of sediment as per section 4.3.2.4	Immediately following the installation of the downstream rock filter dam. To be removed within 1-2 days.
002, 005	Stabilised entry/exit pad	Before any works commence	Inspect weekly or after any significant rain event. Repair as required. Add a new 100 mm layer of rock if rock voids become clogged and sediment is being tracked off site. Dispose of sediment as per section 4.3.2.4	At the completion of the works program.
002, 005	Rock filter dams	Installed before any other in stream or dam wall works commence	Inspect weekly or after any significant rain event. Repair as required. Check that flow is not too rapid and sediment is passing through the filters. If this occurs a finer filter may be required or a layer of geo fabric filter cloth lain over the filter. Remove sediment from upstream of the rock filter dam if the sediment exceeds 10 % of the storage volume. Dispose of sediment as per section 4.3.2.4	Once the stream bed is deemed fully stabilised following the works program or after 12 months, whichever is longer.

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Drawing Reference 307175-	Control Type	Installed	Maintenance	Removed
002, 003, 005	Outlet pipe filter tube	Installed immediately following the removal of the outlet valve and before works begin	Inspect weekly or after any significant rain event. Repair as required. In the first instance, brush tubes if clogging is occurring to free sediment from pores. Replace tubes if they become clogged or full of sediment and are affecting the operation of the outlet pipe. Dispose of sediment as per section 4.3.2.4	Removed with the outlet pipe during Stage 4 of the works and once the rock filter dams and rock lined channel have been stabilised and working effectively. Once this is removed, the rock lined channel will become a wet works area.
002, 004, 005	Rock lined channel	Downstream from the existing dam wall once the downstream rock filter dam is installed	Inspect weekly or after any significant rain event. Repair as required. Inspect outer edges to ensure erosion is not occurring. Inspect rock stability regularly. Replace any displaced rock with rock of significantly larger size (e.g. 110% diameter)	Permanent control
005	Check dams (sandbag or rock aggregate)	On an as needs basis where concentrated flow paths are identified on the work site at head cuts identified within the inundation area	Inspect weekly or after any significant rain event. Repair as required. Inspect outer edges to ensure erosion is not occurring. Inspect rock stability regularly. Remove collected sediment if required. Dispose of sediment as per section 4.3.2.4	At the completion of the works program and once the whole work site is deemed stabilised.
005	Sandbag flow diversion bank	Upslope from material stockpiles as required.	Inspect weekly or after any significant rain event. Repair as required. Repair as necessary. Check that diverted flow is not causing erosion from concentrated flow.	Once the material stockpile has been used or removed from the work site.

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Drawing Reference 307175-	Control Type	Installed	Maintenance	Removed
			Dispose of sediment as per section 4.3.2.4	

7.3.2 Summary of control measures

7.3.2.1 Preconstruction

Erosion

- Mark out the maximum area of disturbance and machinery 'no go' zones.
- Maintain the outlet pipe until Stage 4 of the works program to bypass low flows around instream works.
- Assess need for slope contouring and regular check dams (for sediment) within the water course upstream from the dam in the inundation zone.

Sedimentation

- Stabilise the access road exit with a rock pad.
- Assess whether local stormwater can be affected by runoff from the access road exit.
- Assess whether the two creek crossings along the access road require sediment controls due to the increased traffic along the access road.
- Install straw bales within the watercourse downstream from the location of the first rock filter dam before undertaking any stream works. The straw bales should not remain longer than 1-2 days.
- Install sediment fences on the downslope perimeter of the spoil areas and around the perimeter of the material laydown area.
- Inspect the entire work site for small, concentrated flow paths and install sand bag or rock check dams as required.
- Construct two rock filter dams; one shall be 45 m downstream from the existing dam wall and one shall be installed immediately upstream of the existing dam wall.
- Geo-fabric filter tubes shall be installed on the outlet pipe on the downstream end once the valve has been removed.

7.3.2.2 Construction

Erosion

- Time the works to be undertaken during February or March when the forecast for rain is low.
- Stage works to ensure that the minimum area of sediment is exposed at any one time.

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- Retain a water truck on-site to undertake dust suppression on the access road and works site as required.
- Construct a permanent rock lined channel in Waratah Dam between the two rock filter dams.

Sedimentation

- Flocculate, dewater and sediment from the rock filter dams following a rainfall event.
- Install sediment fences downslope from topsoil stockpiles and flow diversion banks upslope from topsoil stockpiles. Cover/stabilise stockpiles if a rain event is expected.
- Install sediment fences downslope from spoil areas and flow diversion banks upslope from spoil areas. Cover/stabilise spoil areas if a rain event is expected. Stabilise and rehabilitate spoil areas as soon as possible. Fill one spoil area at a time before moving to the next spoil area.
- Captured sediment to be managed in the same way as topsoil stockpiles or incorporated into the spoil areas.

7.3.2.3 Maintenance, monitoring and rehabilitation

- Maintenance and monitoring to be undertaken as described in Section 4.3.4.
- Rehabilitation will be considered effective once 80 % vegetation cover and 20 % mulch cover is achieved across the work site and inundation area and there are no signs of active erosion, the rock channel is stable and the rock filter dams are operating correctly.
- Remove the rock filter dams when the site is rehabilitated or after 12 months, whichever is longer.

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8. Design of rock filter dams (check dams), filter tube and low flow channel through the reservoir

8.1 Design of rock filter dams (check dams)

Rock filter dams (mentioned as check dams in this report) on the upstream and downstream side of the existing embankment were designed following the International Erosion Control Association (IECA) guidelines, in particular the "Rock Filter Dam 345" (Version 1, May 2010).

Based on the guidelines, sizing of upstream and downstream check dams were fixed and are presented below:

8.1.1 Upstream check dam

The upstream check dam details are as follows:

- Size of sediment considered for filtering = 0.05mm
- Blockage factor = 0.5 (as the check dam will remain in place for one winter season)
- Height of the check dam = 1m
- Width at the crest = 4.5m (min required is 1.5m, but widened to allow for vehicular movement)
- Crest length = 16m
- Upstream slope = 1V : 2H
- Downstream slope = 1V : 4H
- Rockfill size:
 - Mean, D_{50} = 225mm
 - Maximum, D_{max} = 360mm
 - Minimum, D_{min} = 140mm
- Thickness of upstream filter aggregate layer = 300mm
- Filter aggregate size:
 - Mean, D_{50} = 16mm
 - Maximum, D_{max} = 25mm
 - Minimum, D_{min} = 10mm
- Calculated maximum flow capacity of check dam with water pool at crest level = 2.6 m³/s considering 0.1m of tailwater (note that dry weather flow in Waratah River during February March is less than 0.03 m³/s)

8.1.2 Downstream check dam

The downstream check dam details are as follows:

- Size of sediment considered for filtering = 0.05mm
- Blockage factor = 0.5 (as the check dam will remain in place for one winter season)
- Height of the check dam = 0.6m
- Width at the crest = 1.5m (min required is 1.5m)
- Crest length = 11m
- Upstream slope = 1V : 2H
- Downstream slope = 1V : 4H
- Rockfill size:
 - Mean, D_{50} = 225mm
 - Maximum, D_{max} = 360mm
 - Minimum, D_{min} = 140mm
- Thickness of upstream filter aggregate layer = 300mm
- Filter aggregate size:
 - Mean, D_{50} = 16mm
 - Maximum, D_{max} = 25mm
 - Minimum, D_{min} = 10mm
- Calculated maximum flow capacity of check dam with water pool at crest level = $0.6 \text{ m}^3/\text{s}$ considering 0.1m of tailwater (note that dry weather flow in Waratah River during February March is less than $0.03 \text{ m}^3/\text{s}$)

8.2 Design of filter tube

The existing outlet pipe will be used for diverting the inflow downstream of the existing embankment during the decommissioning work and will be removed only at the end of the excavation work. Therefore, there is a chance that this pipe may transport sediment downstream during a rainfall event. Although there is a second check dam on the downstream side, as an additional measure a filter tube has been designed to be connected to the exit of the existing outlet pipe. The filter tube is a pipe made up of geofabric, which retains the silts inside the tube and lets the water out.

The design of the filter tube has been undertaken following the IECA guideline and in particular "Filter Tube Barriers (Instream) 343" (Version 1, July 2010). The details of the designed filter tube are presented below:

- Blockage factor = 0.5
- Upper surface area of the tube = 50% of the total area (to account for clogging over time)
- Length of the filter tube considered = 10m
- Geofabric type = Bidim A39 (non-woven)
- Permittivity = 1.35 s^{-1}

- Calculated maximum flow capacity of the filter tube when pond level is at check dam crest level = $0.32 \text{ m}^3/\text{s}$ (note that dry weather flow in Waratah River during February March is less than $0.03 \text{ m}^3/\text{s}$)

The filter tube can be moved as required (as it is flexible) during the lining of the channel downstream of the existing embankment prior to the excavation work.

8.3 Design of low flow channel

Erosion protection of the gully along the reservoir during frequent inflows (i.e. up to 1:10 AEP events) is important to prevent soil being transported to downstream areas down Waratah River. Manning's equation for open channel flow was used to size a channel to pass inflows up to 1:10 AEP. The following parameters were used in the equation:

- Length of the reservoir = 2100 m
- Fall in level from upstream end of reservoir to the embankment location = 5.2 m
- Average slope of the valley along the reservoir = 1 in 404 (V:H)
- Design discharge (for 1:10 AEP) = $8.87 \text{ m}^3/\text{s}$
- Manning's roughness coefficient for rock lined channel, $n = 0.03$

Based on the above, iterative calculation showed that if a trapezoidal channel 10 m wide at base with side slopes of 1V : 1H is adopted, the average depth of flow will be approximately 0.62 m with an average velocity of 1.14 m/s.

Bathymetric survey of the reservoir has not been undertaken in the past. Therefore, it is assumed that the reservoir bed has a uniform slope. After the dewatering of the reservoir (see Section 9.1), if this assumption is found to be incorrect, then modifications to channel width and recalculation of size of rocks (see Section 9.5) to be used in the lining shall be done.

Appropriate size of rock to be used in the lining has also been calculated based on the Guidelines for the Design of Rock Chutes using Chute (Keller, 2003).

The size of the designed channel varies from 14 m to 7 m. The rock lined channel depth required for the smallest section and the rock sizing are presented below:

- Smallest base width of channel (internal, downstream end of channel): 7 m
- Side slopes of batters: 1V : 2.25H
- Minimum required depth of the rock lined channel (vertical): 1m (including a freeboard of ~0.25 m)
- Required rock sizes:
 - D_{50} : 75 mm
 - D_{max} : 120 mm
 - D_{min} : 50 mm
 - Minimum layer thickness: 180 mm
 - Adopted layer thickness: 300 mm

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9. Decommissioning methodology

Decommissioning of Waratah Dam will involve the following key activities:

- Step 1: Appropriate timing of the works and dewatering of the reservoir.
- Step 2: Undertake silt and erosion protection works.
- Step 3: Provide safe access to the embankment and disposal area(s)
- Step 4: Undertake removal of the embankment and disposal of the removed material.
- Step 5: Form and rock line a channel along the reservoir and past the embankment.
- Step 6: Rehabilitate the reservoir banks.

These major activities have been described below. This should be read in conjunction with the mitigation measures mentioned in Sediment and Erosion Management Plan (Smith, 2018) (summarised in Section 7) and drawings (TAS-E307175-001 to -005) provided in Appendix A.

There is an access to a property from the right hand side of the dam (adjacent to the spillway). This access shall be maintained at all times. Refer to Appendix E for land tenure details.

9.1 Step 1: Appropriate timing of the works and dewatering of the reservoir

Based on the yield analysis undertaken for Waratah River (Pokhrel, 2015), the yields from the Waratah River catchment for different months are presented below.

Table 9.1: Monthly breakdown of the flow duration values in Waratah Dam catchment (in m³/s)

Non Exceedance (%)	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
100	0.04	0.03	0.02	0.02	0.04	0.11	0.16	0.20	0.14	0.07	0.06	0.05
80	0.07	0.05	0.04	0.08	0.24	0.32	0.43	0.43	0.34	0.23	0.15	0.09
60	0.09	0.07	0.06	0.18	0.37	0.45	0.59	0.60	0.48	0.31	0.20	0.13
50	0.11	0.08	0.07	0.22	0.45	0.53	0.69	0.71	0.56	0.36	0.23	0.16
40	0.13	0.09	0.09	0.28	0.53	0.64	0.79	0.83	0.66	0.43	0.26	0.19
20	0.21	0.13	0.16	0.45	0.81	0.94	1.07	1.20	0.91	0.68	0.38	0.30
0	1.01	1.14	1.02	2.37	6.13	4.12	2.83	4.99	2.74	2.57	2.59	1.55

The yields are lowest in the months of February and March. Based on the above data, it is observed that the inflow that has 10% chance of exceedance is approximately 0.6 m³/s in the months of February and March.

In accordance with the results of yield analysis of Waratah Dam, the following activities shall be followed under Step 1:

- Plan the decommissioning work in advance to undertake the actual field work in February or March.
- Start dewatering the dam as early as possible, i.e. from early December, by fully opening the outlet valve or removing the valve from the outlet.
- Let the exposed reservoir dry under the natural weather. As observed in the past at Waratah Reservoir, natural growth of vegetation will occur on the exposed batters quite quickly. And over time, a crust will form on the top surface. This will prevent silt washing down the slope during minor rainfall events.
- Look for a clear weather forecast of at least 7 days in Bureau of Meteorology (BOM) website and TasWater weather forecast system to undertake the decommissioning works. The flows in February and March can go as low as 30 litres/sec and 20 litres/sec respectively and the existing outlet pipe can easily handle this inflow.

The clear weather window is very important as the decommissioning (removal of the dam wall) will take around 3 to 4 days and another 3 to 4 days for site rehabilitation based on the experience on decommissioning of Roaring Meg Dam (owned by TasWater) in Queenstown in 2015.

9.2 Step 2: Undertake silt and erosion protection works

The reservoir has a long fetch of approximately 2.1 km. The fall in the bed level from the upstream end of the reservoir to the invert level of the embankment outlet is approximately 5.2 m. This implies the slope of the reservoir bed (assuming uniform) is approximately 1 in 400 and is almost flat. The velocity of flow during normal inflows will be less than 1 m/s assuming a 5 m wide channel even for a flow of 0.6 m³/s (i.e. inflow with a probability of 10% chance that the flow will be exceed). Therefore, it is not envisaged that any silt and erosion protection works will be required on the majority of upstream side of the reservoir.

That said, there is no bathymetric survey available for the reservoir. Therefore, a flow retarding structure has been proposed slightly upstream of the existing dam. This structure is a 1m high dumped rockfill structure, i.e. a check dam that prevents the flow shooting to the embankment causing erosion by retarding its velocity. Since it is free draining the flow will pass through the structure without pooling on the upstream side.

Prior to the decommissioning work, silt and erosion protection works shall be undertaken as follows:

- As soon as the reservoir is dewatered, areas at risk in the exposed reservoir (steep areas, areas with fine sediments) will be covered with jute matting and shall be seeded with grass to stabilise the areas of bare ground. This will prevent washing of fines from the exposed reservoir area during minor rainfall events during the decommissioning works until a rock lined channel is constructed along the river channel.
- Install an entry/exit pad around the left hand abutment as indicated on Drg. TAS-307175-002.
- Install a silt fence across the natural river channel approximately 5m downstream of the existing spillway outfall area. The silt fence shall be at least 1m high at the middle of the channel.
- Extend the outlet conduit temporarily by at least 10 m by installing a filter tube. The inlet to outlet conduit upstream of the embankment will also need to be extended further upstream temporarily by approximately 13m (see Dwg. TAS-307175-002).

- Install a 0.6m high check dam (first check dam) just downstream of existing spillway outfall. A silt fence shall also be installed at this check dam. Refer Dwg. TAS-307175-002 and -005 for details. The rockfill together with the silt fence will act as a coarse filter while the silt fence will trap any escaping silt from the reservoir and works area.
- Install a 10m long filter tube at the end of the existing outlet pipe.
- Rock line the channel upstream from the first check dam to the toe of the existing dam to the dimensions shown on Drg. TAS-307175-005.
- Install a 1m high check dam (second check dam) just upstream of the heel of the dam in the reservoir gully with a silt fence as shown on Drg. TAS-307175-001, -004 and -005.
- This check dam can also be used as an access to the embankment from the right hand side of the reservoir.
- Install silt fences on the lower boundary of the disposal areas as shown on Dwg. TAS-307175-002 to trap any silt that will escape during rainfall events before the vegetation is well established on these areas after the completion of the decommissioning work (refer Section 9.6).

Since the decommissioning works will be undertaken during a dry weather window (see Section 9.1), there is negligible chance that the silt will escape from the works area. In the event that there is an unexpected rainfall event despite the clear weather forecast, additional contingency measures have been proposed in Section 9.4.

9.3 Step 3: Provide safe access to the embankment and disposal areas

There is no vehicular access to the embankment at the moment. There is a spillway between the access road and the embankment. In order to carry out the works at the embankment, a safe access to the embankment is required. As a check dam will have to be constructed upstream of the existing embankment, the check dam can be used as an access track to the embankment from the right hand side of the reservoir. There is also an access track to the left hand abutment of the dam by proceeding 1.6 km towards Luina from the township of Waratah and turning left onto an unnamed road and travelling approximately 1.6 km along this unnamed road. The condition of the unnamed road is unknown and regrading may be required. Note that a short section (approximately 70m) after leaving Waratah Road is privately owned land. TasWater will need to contact the landowner to use that access road during decommissioning.



Note that the access track upgrades and decommissioning works have the potential to introduce weeds (e.g. broom, blackberry and gorse) and plant diseases to the site via contaminated vehicles and machinery. Therefore an appropriate weed management approach will be implemented for the Waratah Dam decommissioning site is one which focuses on weed and hygiene management for vehicles, machinery, equipment and any materials that are brought on site.

In summary, the following activities shall be undertaken:

- Construction machinery will be cleaned prior to beginning construction and cleaned on completion of works so that plant material and soil are removed to prevent the spread of weeds and diseases.
- Access road to the left hand side of the dam off Waratah Road shall be regraded, if required, so that it is safe for the movement of heavy equipment to be used in the decommissioning of the embankment.
- Check dam across the river channel on the upstream side of the existing embankment be made 4.5 m wide for safe passage of equipment during the decommissioning works.

9.4 Step 4: Undertake removal of the embankment and disposal of the removed material

Four staged approach for excavation has been proposed and are presented in Dwg. TAS-E307175-003 and -004. In general, the following activities shall be undertaken as part of Step 4:

- Excavate the top 150mm layer of topsoil from the designated stockpile areas and store it to one side. This layer is rich in organic material and already has seeds in it. This is required to cover the top surface of the fill after the disposal and compaction of excavated material from the dam.
- Excavate to full depth of the embankment (Stage 1 excavation) at the deepest section as shown in Dwg. TAS-E307175-003 leaving the last 1m depth of the embankment in place with downstream slope of 1:2 (V:H).
- The Contractor shall work out the excavation sequence ensuring full safety of the persons involved at all times during the decommissioning. In addition to this, the slope of the excavated faces shall not be steeper than 1:2 (V:H) at the end of each shift.
- Separate rocks and boulders from the excavated material as far as practicable. The separated rocks and boulders shall be stockpiled at a safe location at the reservoir rim, which may be used later for channel lining.
- As the excavation progresses, the excavated material shall be disposed along the reservoir rim and existing spillway channel as marked on Dwg. TAS-E307175-002.
- The disposed material shall be compacted in layers not exceeding 300mm thickness after compaction and by using at least 6 passes per layer by a minimum 12 tonne tamper foot roller.
- If the excavated materials require stockpiling prior to placing in disposal area, it shall be stockpiled in mounds not exceeding 1 m high with slopes no steeper than 1:2 (V:H). A silt fence (non-woven material) shall be installed on the downslope and maintained with no less than 1 m clearance between the stockpile and the silt fence.
- Carefully undertake Stage 2 and Stage 3 excavations as shown on Dwg. TAS-307175-003.
- Carefully undertake Stage 4 excavation as shown on Dwg. TAS-307175-004 and expose the outlet conduit from downstream of the last 1m depth of embankment.
- Line the channel with rock on the exposed part of the downstream area to integrate with the previously lined downstream section of the channel (refer Section 9.2).
- Carefully excavate the remaining 1m high embankment and remove the outlet pipe and the filter tube.

- The base of the opening at the excavated embankment shall be at least 10m wide to provide a safe outlet for frequent flood inflows. See Dwg. TAS-307175-004 and -005 for details.

At any time during the decommissioning, the embankment shall not be allowed to be overtopped. If there is an unexpected rainfall event despite the dry weather forecast, the following contingency measures shall be implemented:

- Stockpile sufficient amount of rockfill close to the embankment on left hand abutment area prior to the start of the embankment removal works.
- In the event of unexpected rainfall:
 - Stop the excavation work.
 - Lay geofabric (Bidim A34) over the exposed embankment faces (base and sides of the opening formed in the embankment during excavation including the downstream side of the opening).
 - Install rockfill over the geofabric so that there is no erosion of the embankment around the excavated area due to flow through it.
 - Dam safety emergency plan (DSEP) may need to be referred to for other dam safety measures.

This measure together with the check dam installed upstream of the embankment will ensure that there is no or very little erosion at the embankment.

- Monitor the weather forecast constantly and do not remove the erosion protection work until the flows return back to normal and the forecast is clear weather for the estimated days to complete the decommissioning work.

9.5 Step 5: Form and rock line a remaining part of channel after Stage 4 excavation

In order to provide an erosion free outlet for the inflows, the remaining part of the channel (after Stage 4 excavation) has to be rock lined. The following activities shall be completed:

- Rock line the remaining section of the excavated embankment to the requirements as shown in Dwg. TAS-307175-004 and -005 immediately after the Stage 4 excavation is complete in order to prevent erosion of the embankment.

Note that water will start flowing through the excavated unlined surface once the final 1m of the embankment is removed. However, the rock filter dam and straw bale filter on the downstream side will trap silt escaping from the works area until the exposed channel is completely rock lined.

9.6 Step 6: Rehabilitate the reservoir banks

Field observations that were made during the natural values assessment in late March 2018 found that bare areas along the shoreline that had been exposed by the lowering of the spillway in October 2017 were already showing signs of being revegetated with wetland plants in response to the receding waterline. There was regrowth of the native sedges, herbs and rushes including *Eleocharis acuta* (common spikesedge), *Lilaeopsis polyantha* (jointed swampstalks) and *Juncus* species (rush).

While it is likely that the all newly exposed bare areas that result from the dewatering of the dam will revegetate reasonably rapidly from the seed bank in the soil and adjacent vegetation seeding in

some areas may need stabilising and revegetating to reduce the risk of erosion. Sites at higher risk of erosion include:

- steeper areas in the exposed impoundment area
- areas with fine surface sediments which may be easily mobilised.

The bare areas at risk of erosion will be stabilised which can be done by:

- hydro-mulching which includes an appropriate grass or rush seed mix to create a stabilising cover whilst the native riparian vegetation re-establishes
- the placement of jute matting on areas at risk of erosion and seeding grasses or rushes seed into the matting.

The disposal areas for material from the decommissioned dam wall will be stabilised and rehabilitated. This will be done by spreading topsoil that has been stockpiled from the dam wall over the spoil disposal areas to a depth of 150 mm and seeded with grasses.

The disposal area and bare areas at risk of erosion should be stabilised within one week of the completion of works to help establish vegetative cover as soon as possible.

The decommissioning works are planned for February/March which will mean any seed applied will have the months of April and May to germinate and become established prior to winter when any growth will be minimal.

The decommissioned dam site will be monitored after the completion of works to ensure that the stabilisation and rehabilitation measures continue to work while vegetation is establishing. If required additional plantings, re-seeding or other stabilisation works may be required on persistent bare areas or areas where the planned mitigation measures have failed.

The check dams and silt fences shall remain in place for one season or until the vegetation has established. Once satisfactory cover is established, the check dams and silt fences should be removed.

Note that a provision has been made for fencing on adjacent privately owned land to allow for stock access for watering and prevent any disturbance of the rehabilitated area.

9.7 Step 7: Weed control

The Waratah Dam EIA identified three introduced plant species that are listed as declared weeds under the *Weed Management Act 1999* (Tas) at the dam site:

- *Cytisus scoparius* (English broom)
- *Rubus fruticosus* aggregate (blackberry)
- *Ulex europaeus* (gorse)

Monitoring for the presence of weeds of the bare areas at the dam wall and the immediate upstream dewatered area will be undertaken four weeks after the decommissioning of dam. Any observed declared weed species will be treated at this time. Following up monitoring and weed control will be undertaken on an annual basis for three years after decommissioning to prevent the spread of declared weeds. Weed control should be undertaken when plants are actively growing in spring to early summer.

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10. Environment management plan

An environment management plan (EMP) has been prepared for the decommissioning work. The EMP has tried to list the potential hazards relating to land, stakeholders, flora, fauna, historical heritage, aboriginal heritage, water, air, noise and waste management. The EMP should be reviewed, modified to include any other hazards and agreed upon by the prospective contractor prior to undertaking the work.

Environment management plan is presented in Appendix B.

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11. Cost of decommissioning

A detailed cost estimate has been prepared for the decommissioning work. The cost of decommissioning work and protection works is approximately \$436,000 excluding GST ($\pm 20\%$). The cost estimate has considered the following assumptions:

- One 30-tonne excavator to excavate the dam wall.
- One 14-tonne excavator to distribute disposal material.
- Total of 5 days (including 0.5 lost weather day) for the decommissioning work.
- 30% of the excavated material has been assumed to comprise of rocks, which can be segregated and used to line the channel around the excavated dam.
- The costs of rock filter dams, silt fences and re-vegetating the reservoir area have also been included in the cost estimate.

The summary of cost estimate is given in Table 11.1.

Table 11.1: Cost estimate of decommissioning work (ex GST and $\pm 20\%$)

Item	Cost
Site preparation	\$92,000
Excavate/remove and dispose existing dam	\$84,000
Site rehabilitation and clean up	\$107,000
Project management and supervision*	\$80,000
Sub-total	\$363,000.00
Contingency (20%)	\$73,100
Total	\$436,000

*This cost does not include the engineering design of decommissioning and other studies associated with the engineering design of decommissioning.

A detailed breakdown is presented in Appendix C.

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12. Safety in design

The decommissioning of dam does not involve design of any new structures. A risk register has been prepared to identify the potential risks during the execution of decommissioning works. The Contractor shall carefully review the risk register and use this as a basis in developing their work method and plan for the decommissioning.

The risk register is presented in Appendix D.

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13. References

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Appendices

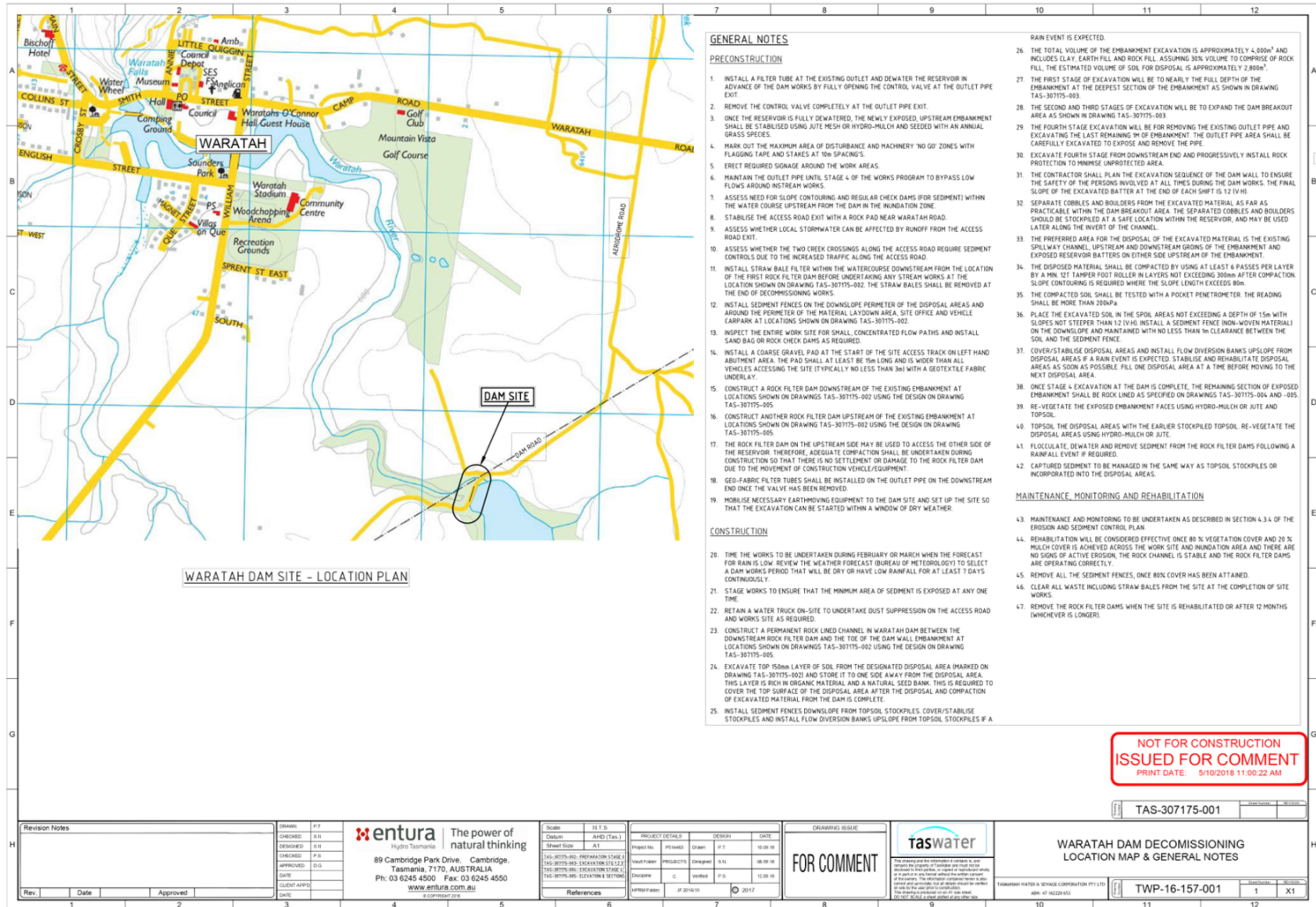
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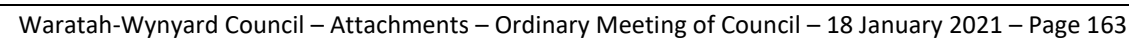
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A Drawings

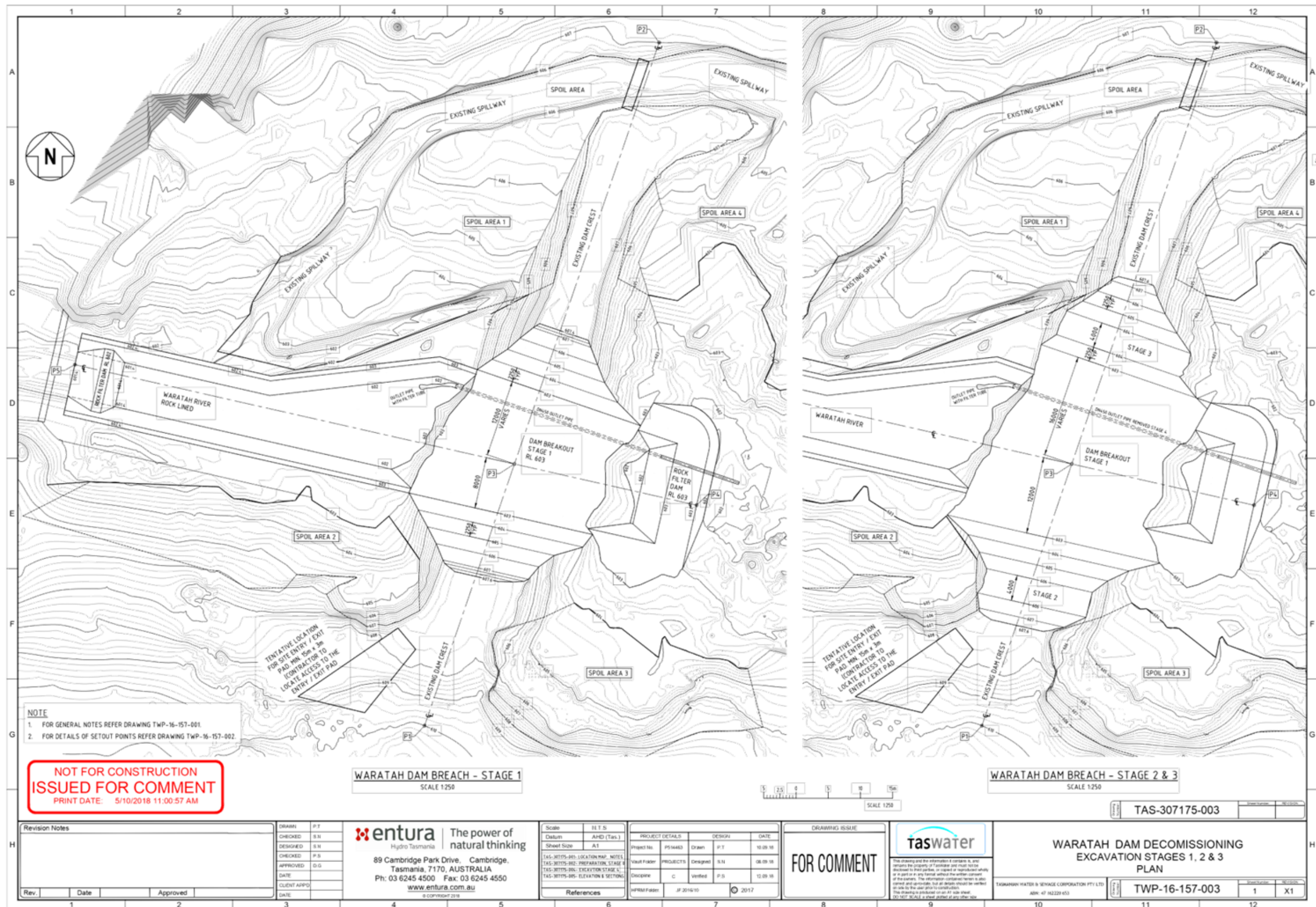
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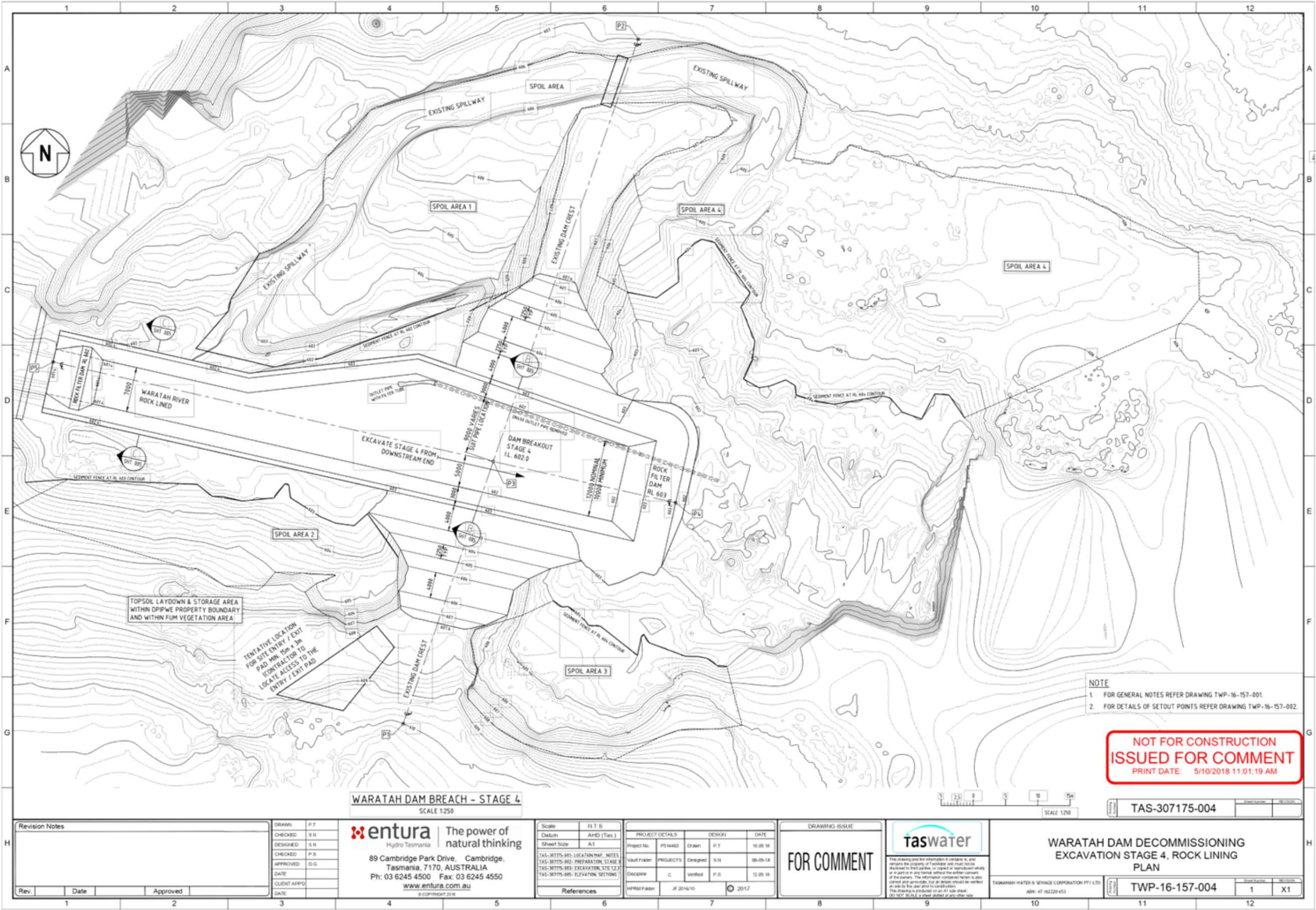
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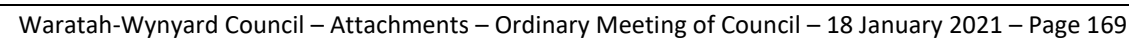
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B Environment management plan


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<p>Scope</p> <p>This Construction Environment Management Plan (CEMP) is prepared for the planned decommissioning of Waratah Dam in Queenstown, Tasmania. Waratah Dam is located on Waratah River. It is an embankment dam that is approximately 6m high, 8m wide at the crest, approximately 90 m long.</p> <p>The decommissioning plan has outlined the method for decommissioning the dam. Drawings have been prepared which detail the works. Decommissioning of this dam includes:</p> <ul style="list-style-type: none"> - erecting sediment fences in designated areas - installing rock filter dams, straw bale filter, filter tube at outlet and entry/exit gravel pad - excavating the dam wall - stockpiling the excavated material at designated disposal areas - lining the invert of the creek through the reservoir - rehabilitating the exposed reservoir area with vegetation. <p>Reason for Work:</p> <p>Decommission the dam to eliminate the risk of dam failure and the resulting downstream consequences.</p> <p>Note that this EMP is preliminary only to ensure that all major project risks are identified and that appropriate risk mitigation measures are considered prior to undertaking the work. This preliminary EIA/CEMP is expected to be finalised in conjunction with the contractor during the implementation of this project.</p>	Project / Job/ no: E307175 - P514460
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Environmental Impact Assessment and Management Plan			
Requested by:	Signed:	Date:	Contact no:
Conducted by: Raymond Brereton	Signed:	Date:	Contact no:
Reviewed by: Suraj Neupane	Signed:	Date:	Contact no:

	<i>Date printed 26/09/2018</i>
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Final Copy Approval

-This section must be manually signed by the person in charge of the job (project manager, site supervisor, asset owner etc).

Name: _____ Contact no: _____ Date: ____/____/____


Signed:


Legal Assessment

Does this activity require a permit or the requirement to notify a regulatory body? e.g. but not limited to: Local Council - Planning, Building permits, cultural heritage permit (Historic or Aboriginal), threatened species permit (flora or fauna), Mining Lease or Licence, Forest Practices Plan, Reserve Activity Assessment (TWWHA and other Parks reserves), ACDC permits (dams and rivers), EMPCA permit (level 2 or other); EPBCA referrals. If yes, please describe actions/permits and links to documents. See - [HSEF0201.4 - Register of Permit and Notification Requirements](#) and [EnviroLaw/SafetyLaw](#) for assistance with identifying applicable legal requirements.


Water Management Act 1999

In accordance with Section 146 of the Water Management Act 1999 a Dam Works permit is required from the Assessment Committee for Dam Construction for the removal of a dam (decommissioning). The decommissioning plan has been submitted to the Water Management Branch (WMB) within the Department of Primary Industries, Parks, Water and Environment together with this EMP to obtain necessary approvals for the decommissioning.


Aspect (Hazard) <i>(If aspect is not impacted please put NA and reason)</i>	Potential Environmental Impacts <i>(consequence)</i>	Inherent Risk <i>see Table1 and Table 2 e.g.(4C)H</i>	Management Plan/Control Measures	Managed Risk <i>see Table1 and Table 2 e.g.(4C)H</i>	Links to Documents <i>e.g. EMP, Cultural Heritage Assessments etc.</i>
STAKEHOLDERS e.g. land tenure, management and use, local council, Government departments, adjacent landowners and surrounding land use, community groups, local businesses, recreational users and visual amenity.					
NA	The decommissioning works have been planned to be undertaken within the land owned by DPIPW.	NA	NA	NA	
			Date printed 26/09/2018		


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Aspect (Hazard) <i>(If aspect is not impacted please put NA and reason)</i>	Potential Environmental Impacts (consequence)	Inherent Risk <i>see Table1 and Table 2 e.g.{4C}H</i>	Management Plan/Control Measures	Managed Risk <i>see Table1 and Table 2 e.g.{4C}H</i>	Links to Documents <i>e.g. EMP, Cultural Heritage Assessments etc.</i>
LAND e.g. geology and geomorphology, soil type, altitude, rainfall, prevailing wind, slope, topography, flooding, erosion or landslip hazards, sensitive systems (e.g. wetlands, coastal dunes, karst), geoconservation values					
Possibility of sediment transport during decommissioning	Siltation of the channel downstream (Waratah River) of the dam.	(A2)M	Erect silt fences where required to trap the silt; decommissioning to be undertaken during dry weather period with no expected heavy rainfall. Bare areas including spoil disposal areas will be stabilised and rehabilitated to prevent erosion and run-off.	(E1)L	Section 7 of Decommissioning Plan
Oil spill	Contamination and potential lowering of water quality which results in aquatic and riparian plant die-off	(C2)L	Ensure spill kits are kept on site and have an oil spill management plan. Report any spills to TasWater.	(E1)L	
FLORA (in both land and waterways). e.g. vegetation management or clearance, listed threatened species or communities, weed management, habitat values, disturbance/removal of habitat, susceptibility to disease					
Weeds and diseases transported by machinery and equipment No listed threatened species or communities were recorded at the dam site.	Spread of weeds and diseases	(A2)M	Construction machinery will be cleaned prior to beginning construction and cleaned on completion of works so that plant material and soil are removed to prevent the spread of weeds and diseases. Decommissioning works area to be marked out prior to works commencing to avoid unnecessary vegetation removal.	(E1)L	Section 9 of Decommissioning Plan

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Aspect (Hazard) <i>(If aspect is not impacted please put NA and reason)</i>	Potential Environmental Impacts (consequence)	Inherent Risk <i>see Table1 and Table 2 e.g.{4C}H</i>	Management Plan/Control Measures	Managed Risk <i>see Table1 and Table 2 e.g.{4C}H</i>	Links to Documents <i>e.g. EMP, Cultural Heritage Assessments etc.</i>
WATER e.g. habitat values, silting, protected/exotic fish species, disturbance of fish breeding sites, water quality, unnatural, extreme or long term changes to water levels or flows, other water users					
No protected or exotic fish species or important aquatic habitats have been recorded at the dam site.	NA	NA		NA	
FAUNA (in both land and waterways).e.g. listed threatened species, injury or killing of animals, disturbance/removal of habitat, feeding, nesting, breeding or other activity,					
No listed threatened fauna species or important habitats, or nest sites or burrows were recorded at or adjacent the dam site.	NA	NA	NA	NA	Section 5 of Decommissioning Plan
AIR and NOISE QUALITY e.g. climatic conditions, dust or emissions from machinery/trucks, noise from blasting, rock crushing, excavators, etc.					
Noise from excavators and dump trucks	Noise hazard will be limited to those working on or accessing the site. There is one residence located approximately 300 m north of the dam wall which is unlikely to be adversely affected by noise from decommissioning the dam wall.	(C2)L	PPE should be worn while on site, in particular, hearing protection while loud works (e.g. excavator in operation) are undertaken. Appropriate work site hazard signage should be in place before & along the access to the worksite.	(C1)L	
Dust kick-up from access road	Degradation of freshwater and impact on residence.	(C3)M	Use speed limit signs on access track to limit speed and therefore dust generated by vehicles.	(C2)L	

	Health, Safety and Environment				
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Aspect (Hazard) <i>(If aspect is not impacted please put NA and reason)</i>	Potential Environmental Impacts (consequence)	Inherent Risk <i>see Table1 and Table 2 e.g.(4C)H</i>	Management Plan/Control Measures	Managed Risk <i>see Table1 and Table 2 e.g.(4C)H</i>	Links to Documents <i>e.g. EMP, Cultural Heritage Assessments etc.</i>
CULTURAL HERITAGE e.g. damage or alteration to heritage values, removal of artefacts including historic and Aboriginal heritage, sites identified in HT's cultural heritage database, Tasmanian Heritage Register, Tasmanian Aboriginal Sites Index (TASI), National Heritage list, planning scheme lists, Forestry Tasmania lists. Note: If Heritage Values are rated as High Significance or High Potential or above, a Heritage Impact Assessment must be done – see HSEP0912					
Loss of or damage to historical heritage value	Dam assessed as having Medium Local (c) significance and that the decommissioning of the dam will not have a major impact on historic heritage values. Consequently no Permit requirements.	NA	EIA recommended that the internal structure of northern abutment is recorded and documented as evidence of original construction methods and heritage interpretation is installed at the public access point noting that the site was the original Waratah Dam.	NA	Section 6 of Decommissioning Plan
Loss of or damage to Aboriginal heritage	No Aboriginal sites or landscape values identified.	NA	NA	NA	Section 6 of Decommissioning Plan
WASTE MANAGEMENT e.g. but not limited to: stockpiling materials or excavation spoil, fuel, oil & chemical use and storage, general waste, recycling, human waste, controlled waste – asbestos, lead, PCB, hydrocarbon etc. concrete slurry. sludge waste					
Oil spill	Contamination and potential lowering of water quality which results in aquatic and riparian plant die-off.	(C2)L	Ensure spill kits are kept on site and have an oil spill management plan. Report any spills to TasWater.	(E1)L	
Human waste	Pollution of the water course or flora/fauna habitat.	(D3)L	Contractor to provide portable toilets on site for use of site personnel located on the left abutment hardstand area.	(D1)L	
Construction material stockpile	Destruction of habitat due to improper location of material stockpiles	(C3)M	Materials from the existing embankment shall be stockpiled in the reservoir area as shown on the	(D1)L	
			Date printed 26/09/2018		

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Aspect (Hazard) <i>(If aspect is not impacted please put NA and reason)</i>	Potential Environmental Impacts (consequence)	Inherent Risk <i>see Table1 and Table 2 e.g.(4C)H</i>	Management Plan/Control Measures	Managed Risk <i>see Table1 and Table 2 e.g.(4C)H</i>	Links to Documents <i>e.g. EMP, Cultural Heritage Assessments etc.</i>
General waste	Pollution of estuary or flora/fauna habitat	(C3)M	drawings. Excessive and other construction materials to be stockpiled at designated, approved areas. All waste (if any) to be contained and removed during excavation. Waste generated during excavation is expected to be minimal.	(D1)L	
HAZARDS e.g. but not limited to: oil/fuel/chemical spill to air, water or land, existing land contamination, use of dangerous machinery (cranes etc.), traffic management, damage to property, acid sulphate soils, seismic activity, dam break, wildfire (highly flammable vegetation)					
Fuel/oil spills	Contamination of the river and flora and fauna habitat	(C4)H	Care to be taken in refuelling of machinery, using reliable refuelling equipment. Ensure spill kits are kept on site and have an oil spill management	(C2)L	

Additional documentation and audit requirements

Identify any additional documentation required such as Contractor Environmental Management Plans (CEMP), specific control plans and project audit requirements. Ensure that these requirements are communicated to the necessary stakeholders such as contractors and the environmental team.

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Additional Documentation required? (Y/N)	N	If Y identify documents:
Does the EMP require implementation auditing? (Y/N)	N	If Y describe process to achieve this:


Sign on

-Where no permit process exists key stakeholders responsible for implementing this plan must also understand and sign on here.

-The final, signed copy must be kept at the works site for the duration of works, with amendments recorded and initialled by the person in charge of the job and key stakeholders as required.

Name	Position (e.g. project manager, asset owner, site supervisor, Contractor)	Signature	Contact No.	Date


 Hydro Tasmania <small>The power of natural thinking</small>	Date printed 26/09/2018
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Risk assessment guidelines – use the following tables in sequence when ranking environmental risks

Table 1 Risk assessment matrix (likelihood and consequence)

1. LIKELIHOOD		2. CONSEQUENCE (Impact severity)	Environmental Impact Descriptions		
			Examples relevant to all areas and kinds of work (environmental harm definitions from EMPCA,	Examples specific to World Heritage Area (WHA) values	
				Natural environment	Social/cultural heritage
A. Almost certain	Event is expected in the 12 month period	1. Negligible or Insignificant	Negligible or no environmental harm or environmental nuisance, e.g. - contained oil spill <20 litres - possible incidental and local impact on flora and fauna	-Vegetation clearance or ground disturbance no greater than 50m ² -Vegetation clearance impacts on Wilderness values with a rating of 10 or less*.	-The activity is located in the Visitor services zone. -The activity is located greater than 800m from a public road or access route.
B. Likely	Event is likely to occur in the 12 month period	2. Minor	Material environmental harm or an environmental nuisance, but prosecution unlikely, local publicity only, local nuisance impacts on community, e.g. - technical breaches of legal requirements regardless of harm or nuisance - spills to waterways <200 litres where dispersal/clean-up is simple	-Vegetation clearance or ground disturbance no greater than 100m ² -Vegetation clearance impacts on Wilderness values with a rating of 10 to 12*.	-The activity is located in the Self-reliant recreation zone. -The activity is located 600-800m from a public road or access route.
C. Possible	Event may occur (but not likely) in the 12 month period	3. Moderate	Serious environmental harm, possible prosecution, local state publicity e.g. - significant loss of oil (4000L to land, several 100L to water) - ecosystem impact such as fish kill that requires follow up monitoring and recovery with expert input and control	-Vegetation clearance or ground disturbance no greater than 250m ² -Vegetation clearance impacts on Wilderness values with a rating of 12 to 14*.	-The activity is located in the Recreation zone. -The activity is located 400-600m from a public road or defined access route.

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1. LIKELIHOOD		2. CONSEQUENCE (Impact severity)	Environmental Impact Descriptions		
			Examples relevant to all areas and kinds of work (environmental harm definitions from EMPCA,	Examples specific to World Heritage Area (WHA) values	
				Natural environment	Social/cultural heritage
D. Unlikely	Event not expected in the 12 month period	4. Major	Serious environmental harm, prosecution probable, national publicity, reputation impacts, political and licence implications e.g. - Significant ecosystem impact with residual effects likely after follow up - large loss of oil to waterways e.g. 8,000 litres, esp. if drinking water affected	-Vegetation clearance or ground disturbance no greater than 500m ² -Vegetation clearance impacts on Wilderness values with a rating of 14 to 16*.	-The activity is located in the Wilderness zone. -The activity is located 200-400m from a public road or defined access route.
E. Rare	Event extremely unlikely in the 12 month period	5. Extreme	Serious environmental harm, prosecution certain, severely affected reputation, international attention possible, probable licence restrictions e.g. - loss of 20,000L oil to water, or to sensitive land area - significant impact on regional ecosystem, with significant residual effects likely	-Vegetation clearance or ground disturbance no greater than 1000m ² -Vegetation clearance impacts on Wilderness values with a rating of 16 to 18*.	-The activity is located in the Wilderness zone. -The activity is located 50-200m from a public road or defined access route.
F. Extremely Rare	May only occur in extreme and exceptional circumstances over the 12 month period	6. Catastrophe	Serious environmental harm, prosecution certain with jail terms, licence restrictions, severe reputation impact, international attention e.g. - significant impact on regional ecosystem with eventual recovery impossible - catastrophic dam failure	-Vegetation clearance or ground disturbance greater than 1000m ² -Vegetation clearance impacts on Wilderness values with a rating of 18 to 20*.	-The activity is located in the Wilderness zone. -The activity is located within 50m of a public road or defined access route.

* Wilderness values are identified in the Hydro Tasmania Web Map - PWS Wilderness Quality 2005, PWS WHA Zones & PWS WHA Overlays layers.


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Table 2 **Risk ranking matrix:** L = Low; M= Moderate; H = High; E = Extreme

Likelihood	Impact (Consequence)					
	Insignificant 1	Minor 2	Moderate 3	Major 4	Extreme 5	Catastrophic 6
A. Almost Certain	L	M	H	E	E	E
B. Likely	L	M	H	E	E	E
C. Possible	L	L	M	H	E	E
D. Unlikely	L	L	L	M	H	E
E. Rare	L	L	L	L	M	H
F. Extremely Rare	L	L	L	L	L	M

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C Cost estimate

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ENGINEERING ESTIMATING SERVICES

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ESTIMATE SUMMARY SHEET +/- 20%

JOB No.E-307175

CLIENT: ENTURA CONSULTING

REV.2

PROJECT: WARATAH DAM DECOMMISSIONING PLAN

REFERENCES: INFORMATION & SKETCHES PROVIDED BY ENTURA

SITE PREPARATION	92,150
EXCAVATE / REMOVE EXISTING EARTHFILL DAM	83,590
SITE REHABILITATION & CLEAN UP	107,160
ENGINEERING & PROJECT MANAGEMENT	80,000
<u>BASIC TOTAL</u>	<u>362,900</u>
CONTINGENCY	73,100
ESCALATION	0
<u>TOTAL ESTIMATED COST OF PROJECT</u>	<u>\$436,000</u>

ESTIMATED COST RANGE FROM \$330,000 TO \$495,000

ESTIMATED BY: J.HICKEY (E.E.S.)

DATE: 25-SEPTEMBER-2018

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E-307175 Waratah Dam Decommissioning Rev.2

PROJECT / ESTIMATE No.E-307175		ESTIMATE SHEET				DATE:	9-Nov-18	PAGE 3 OF 7	
DESCRIPTION		MATERIAL				LABOUR		TOTAL	
	QTY	UNIT	RATE	COST	DAYS	RATE	COST	COST	COMMENT
SITE PREPARATION									
Mobilisation / demobilisation - Deliver heavy equipment to site & from site & site facilities	1	Item	14,000	14,000	Included		0	14,000	JH Fig
Hire of Ablution Shed	4	Week	100	400	Included		0	400	JH / Cordell
Allow to clear existing vegetation to allow access for trucks & equipment	1	Item	1,000	1,000	Included		0	1,000	JH / Cordell
Extend the outlet (13m) with HDPE pipe on U/S side	1	Item	1000	1,000	Included		0	1,000	JH Calc
Construct upstream Rock Filter Dam - approx. 12m wide x 1m high x 11m long									
Rockfill:									
Excavate to natural Rock level approx 602 - 15m x 12m x 300mm deep ave	40	m3	25	1,000	Included		0	1,000	JH Calc
Place Geofabric under Rockfill - 14m x 16m	224	m2	15	3,360	Included		0	3,360	JH Calc
Construct Rockfill Filter Dam - DN 140mm to DN 360 - 11m long x 12m wide x 0.75 high ave	110	m3	90	9,900	Included		0	9,900	JH Calc
Place Crushed Rock on Upstream face of Dam - 14m x 3m x 300mm thick	14	m3	75	1,050	Included		0	1,050	JH Calc
Construct downstream Rock Filter Dam - approx. 10m wide x 1m high x 6m long									
Rockfill:									
Excavate to natural Rock level approx 602 - 12m x 6m x 300mm deep ave	22	m3	30	660	Included		0	660	JH Calc
Place Geofabric under Rockfill - 14m x 8m	112	m2	15	1,680	Included		0	1,680	JH Calc
Construct Rockfill Filter Dam - DN 140mm to DN 360 - 6m long x 10m wide x 0.75 high ave	45	m3	90	4,050	Included		0	4,050	JH Calc
Place Crushed Rock on Upstream face of Dam - 10m x 3m x 300mm thick	10	m3	75	750	Included		0	750	JH Calc
Page Total				38,850				38,850	

E-307175 Waratah Dam Decommissioning Rev.2

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E-307175 Waratah Dam Decommissioning Rev.2

PROJECT / ESTIMATE No.E-307175			ESTIMATE SHEET				DATE:	9-Nov-18	PAGE 5 OF 7
DESCRIPTION	QTY	MATERIAL UNIT	RATE	COST	DAYS	LABOUR RATE	COST	TOTAL COST	COMMENT
EXCAVATE / REMOVE EARTHFILL DAM									
Existing Dam is approx.90m long, 4.5m high at deepest section - Dam is to be excavated in sections Assume 2 x A35 Trucks (16m3) at 2 round trips / hour = 64m3. Allow risk & say 60m3 / hour 10 hr day = 600m3 excavated / day Days needed = 4.5, allow lost weather day = 0.5 days									
Stage 1 - from RL 608 to RL 603 approx.152m2 x 18m width ave.= 2750m3 total									
30 Tonne Excavator	50	Hours	250	12,500	Included		0	12,500	Gradco quote & upd.
2 x A35 Articulated Trucks	100	Hours	300	30,000	Included		0	30,000	Gradco quote & upd.
14 Tonne Excavator to distribute excavated material at dump sites	50	Hours	180	9,000	Included		0	9,000	Gradco quote & upd.
Allow additional labourer on site 100% of time	1	Item	100	100	5	800	4,000	4,100	JH Fig
Sub Total - Stage 1 Excavation				51,600			4,000	55,600	
Stage 2 - from RL 608 to RL 603 approx.24m2 x 16m width ave.= 400m3 total									
30 Tonne Excavator	8	Hours	250	2,000	Included		0	2,000	Gradco quote & upd.
2 x A35 Articulated Trucks	16	Hours	300	4,800	Included		0	4,800	Gradco quote & upd.
14 Tonne Excavator to distribute excavated material at dump sites	8	Hours	180	1,440	Included		0	1,440	Gradco quote & upd.
Allow additional labourer on site 100% of time	1	Item	100	100	1	800	800	900	JH Fig
Sub Total - Stage 2 Excavation				8,340			800	9,140	

E-307175 Waratah Dam Decommissioning Rev.2

PROJECT / ESTIMATE No.E-307175		ESTIMATE SHEET				DATE: 9-Nov-18		PAGE 6 OF 7	
DESCRIPTION		MATERIAL		LABOUR		TOTAL			
	QTY	UNIT	RATE	COST	DAYS	RATE	COST	COST	COMMENT
EXCAVATE / REMOVE EARTHFILL DAM (con't)									
Stage 3 - from RL 608 to RL 603 approx.28m2 x 18m width ave.= 500m3 total									
30 Tonne Excavator	10	Hours	250	2,500	Included		0	2,500	Gradco quote & upd.
2 x A35 Articulated Trucks	20	Hours	300	6,000	Included		0	6,000	Gradco quote & upd.
14 Tonne Excavator to distribute excavated material at dump sites	10	Hours	180	1,800	Included		0	1,800	Gradco quote & upd.
Allow additional labourer on site 100% of time	1	Item	100	100	1	800	800	900	JH Fig
Sub Total - Stage 3 Excavation				10,400			800	11,200	
Stage 4 - from RL 603 to RL 602 approx.17m2 x 22m width ave.= 400m3 total									
30 Tonne Excavator	5	Hours	250	1,250	Included		0	1,250	Gradco quote & upd.
2 x A35 Articulated Trucks	10	Hours	300	3,000	Included		0	3,000	Gradco quote & upd.
14 Tonne Excavator to distribute excavated material at dump sites	5	Hours	180	900	Included		0	900	Gradco quote & upd.
Allow additional labourer on site 100% of time	1	Item	100	100	0.5	800	400	500	JH Fig
Remove pipework	1	Item	400	400	2	800	1,600	2,000	2m x 1d
Sub Total - Stage 4 Excavation				5,650			2,000	7,650	
Sub Total - Excavate / Remove Earthfill Dam				75,990			7,600	83,590	

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PROJECT / ESTIMATE No.E-307175			ESTIMATE SHEET				DATE: 9-Nov-18		PAGE 7 OF 7
DESCRIPTION	QTY	MATERIAL UNIT	RATE	COST	DAYS	LABOUR RATE	COST	TOTAL COST	COMMENT
SITE REHABILITATION & CLEAN UP									
Place Geofabric under Rockfill approx.22m x 28m	620	m2	15	9,300	Included		0	9,300	JH Calc
Line excavated Dam with Rockfill - approx.20m x 27m x 300mm deep	170	m3	90	15,300	Included		0	15,300	JH Calc
Top soil & grass Spoil areas on Jute matting	3000	m2	20	60,000	Included		0	60,000	JH Fig
General site clean up	1	Item	160	160	3	800	2,400	2,560	JH / 3m x 1d
Provision of weed removal for 3 years after completion of decommissioning	1	Item	10,000	10,000	Included		0	10,000	Ray Brereton Fig
Provision of fencing on adjacent property to allow for stock access to water	1	Item	10,000	10,000	Included		0	10,000	Ray Brereton Fig
Sub Total - Site Rehabilitation				104,760			2,400	107,160	
ENGINEERING & PROJECT MANAGEMENT									
Engineering services for Decommissioning	1	Item	1000	1,000			39,000	40,000	3 Site visits
Tas Water Project Management & Supervision	1	Item	3,000	3,000			37,000	40,000	
Sub Total - Engineering & Project Management				4,000			76,000	80,000	


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Waratah Dam - Decommissioning Plan
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D Risk register

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<div>  <div>Safety in design risk register</div> </div>											
Engagement name:			Decommissioning Plan for Waratah Dam			Engagement manager:			Suraj Neupane		
Prepared for submission by:			Suraj Neupane			Stage of Project			Decommissioning Plan		
Approved by:			Paul Southcott			Prior to implementing mitigating actions			After mitigating actions implemented		
ID	Project Stage	Location	Hazard description	Likelihood	Consequence	Risk ranking	Mitigation	Likelihood	Consequence	Risk Ranking	Control Owner
1	Excavation during decommissioning	Embankment	Injury or death resulting from falling off abutments whilst removing existing services from dam crest and wall	C. Possible	4. Major	H	Consider height safety restraints during initial work until barriers are in place. During excavation, consider need for temporary barriers on the downstream edge of the dam crest.	D. Unlikely	4. Major	M	Contractor - Part of safety plan
2	Excavation during decommissioning	Embankment	Injury or death resulting from vehicle falling off abutments due to poor vehicle access along dam abutment and crest	C. Possible	4. Major	H	Provide sufficient turning radius for construction vehicles prior to excavation of the dam. Develop safe work procedure. Enforce speed/load limits.	E. Rare	4. Major	L	Contractor - part of safety plan. Owner - part of operating instructions.
3	Excavation during decommissioning	Embankment	Injury or death resulting from falling off excavated areas	D. Unlikely	4. Major	M	Maintain slope of excavated batter no steeper than 1V:1H at the end of each shift.	E. Rare	4. Major	L	Entura - Part of design. Contractor - Part of safety plan
4	Excavation during decommissioning	Embankment	Injury to workers from heavy vehicle during excavation	C. Possible	3. Moderate	M	Ensure unauthorised personnel do not enter the site Ensure adequate sign posts at site. Ensure adequate programme to address the risk.	F. Extremely Rare	3. Moderate	L	Contractor - Propose adequate safe work procedure that addresses this risk
5	Excavation during decommissioning	Embankment	Uncontrolled release of water to the downstream area due to sudden rain	E. Rare	3. Moderate	L	Ensure decommissioning is undertaken in a dry weather window of at least 7-8 days. Ensure adequate materials for erosion protection (geofabric and riprap) is on site to be used during a rare event of rainfall during decommissioning. Last 1m of the embankment to be removed only after the outlet pipe is removed.	D. Unlikely	3. Moderate	L	Entura - Part of design. Owner - To organise excavation works during a dry weather window of at least 5 days Contractor - To determine risk level acceptable to Contractor
6	Excavation during decommissioning	Downstream waterway	Contamination of waterway due to construction works	C. Possible	3. Moderate	M	Erect sediment fences and install rock filter dams & filter tube at locations shown on drawings prior to excavation. Ensure construction is undertaken in summer during a dry weather window of at least 7-8 days.	D. Unlikely	2. Minor	L	Owner - To sequence works and ensure silt fences are in place prior to excavation
7	Excavation during decommissioning	Stockpile area	Contamination of waterway due to silt transport from the stockpile area	C. Possible	2. Minor	L	Erect sediment fences on the downslope at the stockpile area prior to undertaking any excavation.	D. Unlikely	3. Moderate	L	Owner - To ensure silt fences are in place prior to excavation
8	Operation	Embankment	Public accessing the area after decommissioning resulting in Injury or death due to fall at the excavated dam site	D. Unlikely	4. Major	M	Erect sign posts warning fishermen/hikers/road users of possible consequences.	F. Extremely Rare	4. Major	L	Owner - To ensure that proper sign posts are put in place at the completion of works

Risk_Matrix

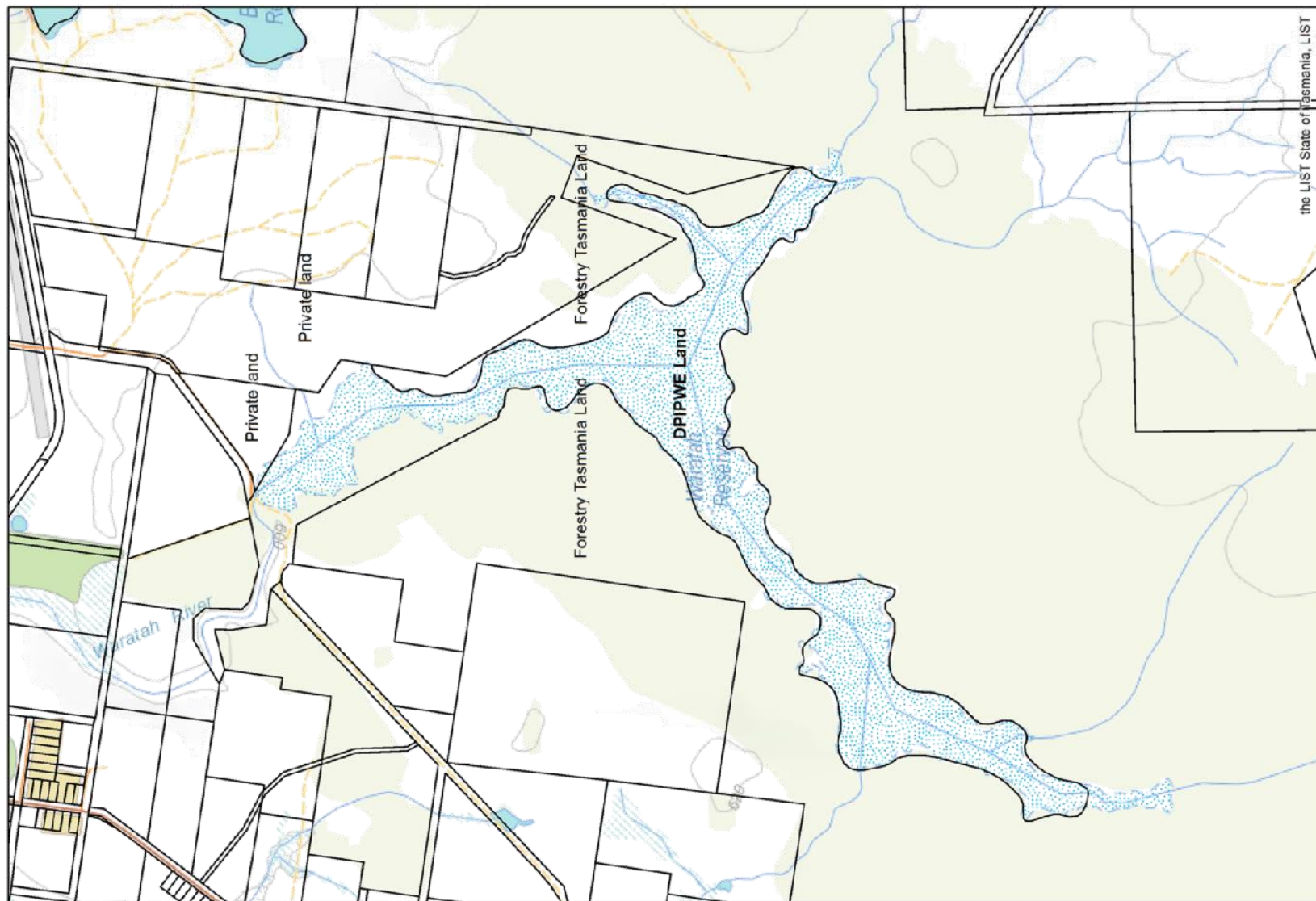
Likelihood_Matrix	1. Insignificant	2. Minor	3. Moderate	4. Major	5. Extreme	6. Catastrophic
A. Almost Certain	L	M	H	E	E	E
B. Likely	L	M	H	E	E	E
C. Possible	L	L	M	H	E	E
D. Unlikely	L	L	L	M	H	E
E. Rare	L	L	L	L	M	H
F. Extremely Rare	L	L	L	L	L	M

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E Land tenure

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