



CARPENTARIA SHIRE

Outback by the Sea

BUSINESS PAPER

26 FEBRUARY, 2020

BUSINESS PAPERS

NOTICE OF MEETING

COUNCILLORS:

Mayor Jack Bawden	Chairperson
Cr John Beard	
Cr Ashley Gallagher	
Cr Bradley Hawkins	
Cr Andrew Murphy	
Cr Peter Wells	
Cr Craig Young	

Please find attached the Agenda for the Ordinary Council Meeting to be held in the Council Chambers, Haig Street, Normanton commencing at 9:00am.

Mark Crawley
CHIEF EXECUTIVE OFFICER

Deputation

10:30am – 10:35am Derek Lord from Normanton Refuellers

BUSINESS PAPERS

TABLE OF CONTENTS

ITEM	SUBJECT	PAGE NO
1	OPENING OF MEETING.....	6
2	RECORD OF ATTENDANCE.....	6
3	CONDOLENCES.....	6
4	CONFIRMATION OF MINUTES FROM PREVIOUS MEETINGS.....	6
5	BUSINESS ARISING FROM PREVIOUS MEETINGS	6
6	RECEPTION OF PETITIONS & DEPUTATIONS	6
7	MAYORAL MINUTES	6
8	CONFIDENTIAL BUSINESS – ADJOURNMENT INTO CLOSED SESSION	7
8.1	Request for Adminsitration Charges	7
9	REPORTS FROM THE CHIEF EXECUTIVE OFFICER.....	8
9.1	CEO Report	8
9.2	Submission for State Government Budget.....	12
9.3	Human Resources Report.....	14
9.4	Tourism Report - December 2019.....	16
10	REPORTS FROM DIRECTOR OF CORPORATE & COMMUNITY SERVICES.....	19
10.1	DCS Report - January 2020	19
10.2	Monthly Financial Report - January 2020	23
	Attachment 10.2.1 Monthly Financial Statements - January 2020	27
	Attachment 10.2.2 Monthly Local Spend - January 2020.....	32
	Attachment 10.2.3 Grants Report - January 2020	33
	Attachment 10.2.4 Capital Expenditure and Major Op Ex - January 2020	34
10.3	Budget 2020 Review.....	37
10.4	Internal Audit Report - Customer Request & Complaints Handling Review	39
	Attachment 10.4.1 DRAFT REPORT - CSC Customer Request and Complaints Handling Review	41
10.5	Aboriginal Cultural Heritage Policy.....	54

BUSINESS PAPERS

	Attachment 10.5.1 Aboriginal Cultural Heritage Policy Guidelines Review V2.....	56
10.6	Asset Disposal Policy	63
	Attachment 10.6.1 Asset Disposal Policy.....	65
10.7	Confidential Information Policy	70
	Attachment 10.7.1 Confidential Information Policy - POL_E_EXGC_ - Review V2.....	72
10.8	Fraud and Corruption Prevention Policy	77
	Attachment 10.8.1 Fraud and Corruption Prevention Policy - POL_I_EXGC_010 - Review V2.....	79
	Attachment 10.8.2 Fraud and Corruption Control Plan.....	85
10.9	Internal Audit Policy and Charter.....	95
	Attachment 10.9.1 Internal Audit Policy - POL_I_CSA_015 - Review 2.....	97
	Attachment 10.9.2 Internal Audit Charter - CRP_I_CSA.....	102
10.10	Risk Management Policy and Guidelines.....	111
	Attachment 10.10.1 Risk Management Policy - Review V2.....	113
	Attachment 10.10.2 Risk Management Guidelines	118
10.11	Approval to Keep Animal - More than Two Dogs - Holland.....	133
	Attachment 10.11.1 Keeping of Animals - Holland.....	135
10.12	Replace Goods Issue Books & Review Council's Corporate Credit Card Policy.....	136
	Attachment 10.12.1 Corporate Credit Card Policy	139
10.13	Procurement Policy.....	144
	Attachment 10.13.1 Procurement Policy	146
10.14	Community Development	156
	Attachment 10.14.1 Monthly sports centre report	161
	Attachment 10.14.2 Monthly pool precinct report.....	165
	Attachment 10.14.3 Monthly library report	167
	Attachment 10.14.4 Monthly Interagency meeting minutes	168
10.15	Community Donations and Support	171
10.16	Community Grants, Donations and Support Policy	173
	Attachment 10.16.1 Community Grants and Donation Policy.....	175
10.17	Community Development - Disaster Recovery Report.....	183
11	REPORTS FROM DIRECTOR OF ENGINEERING - ROADS & SERVICES.....	186
11.1	DOE Report	186

BUSINESS PAPERS

	Attachment 11.1.1 Attachment A - Normanton Sidewalk Accessibility	197
11.2	NDRRA/QDRF Report.....	198
	Attachment 11.2.1 Appendix A - QRA18 Expenditure Summary	202
	Attachment 11.2.2 Appendix B - QRA18 Completion	204
	Attachment 11.2.3 Appendix C - QRA19 Expenditure Summary	205
	Attachment 11.2.4 Appendix D - QRA19 Completion.....	206
	Attachment 11.2.5 Appendix E - Betterment Projects	207
11.3	Water and Waste Report - January 2020.....	208
	Attachment 11.3.1 Letter to Residents	213
11.4	Building and Planning Report	216
11.5	Material Change of Use - Extractive Industry 5	218
	Attachment 11.5.1 Attachment 1 - Pit Site Layout Plans	238
12	GENERAL BUSINESS.....	242
13	CLOSURE OF MEETING.....	242

BUSINESS PAPERS

- 1 OPENING OF MEETING**
- 2 RECORD OF ATTENDANCE**
- 3 CONDOLENCES**
- 4 CONFIRMATION OF MINUTES FROM PREVIOUS MEETINGS**

RECOMMENDATION

That the Minutes of the Ordinary Council Meeting held 15 January 2020 be confirmed.

RECOMMENDATION

That the Minutes of the Special Council Meeting held 04 February 2020 be confirmed.

- 5 BUSINESS ARISING FROM PREVIOUS MEETINGS**
- 6 RECEPTION OF PETITIONS & DEPUTATIONS**
- 7 MAYORAL MINUTES**

BUSINESS PAPERS

8 CONFIDENTIAL BUSINESS – ADJOURNMENT INTO CLOSED SESSION

In accordance with the *Local Government Act 2009*, and the *Local Government Regulation 2012*, in the opinion of the General manager, the following business is of a kind as referred to in clause 275(1) of the Regulation, and should be dealt with in a Confidential Session of the Council meeting closed to the press and public.

RECOMMENDATION

That Council adjourn into Closed Session and members of the press and public be excluded from the meeting of the Closed Session, and access to the correspondence and reports relating to the items considered during the course of the Closed Session be withheld unless declassified by separate resolution. This action is taken in accordance with clause 275(1) of the Local Government Regulation 2012 as the items listed come within the following provisions

8.1 Request for Administration Charges

This item is classified CONFIDENTIAL under the provisions of clause 275(1)(h) of the Local Government Regulation 2012, which permits the meeting to be closed to the public for business relating to business for which a public discussion would be likely to prejudice the interests of the local government or someone else, or enable a person to gain a financial advantage.:

BUSINESS PAPERS

9 REPORTS FROM THE CHIEF EXECUTIVE OFFICER

9.1 CEO REPORT

Attachments: NIL
Author: Mark Crawley - Chief Executive Officer
Date: 18 February 2020

Key Outcome: 1.5 – Council has high quality governance
Key Strategy: 1.5.3 Council has good decision making processes in place.

Executive Summary:

This report provides information and updates to Council on various activities and programs that are facilitated within the Chief Executive Officer's portfolio.

RECOMMENDATION:

That Council:

1. receive and note the Chief Executive Officer's report; and
2. that those matters not covered by resolution be noted.

MEETINGS SCHEDULE

Date	Time	Event	Location
Council			
26 February 2020	9:00am	Ordinary Meeting of Council	Boardroom
27 February 2020	8:30am	Workshop – Councillors and Directors	Boardroom
18 March 2020	9:00am	Ordinary Meeting of Council	Boardroom
19 March 2020	8:30am	Workshop – Councillors and Directors	Boardroom
NWQROC, FNQROC and LGAQ			
3 March 2020		NRM Forum - LGAQ	Townsville
28 March 2020		Local Government Elections	
13 July 2020		Next Generation Councils	Twin Waters
14-15 July 2020		Civic Leaders	Twin Waters
August - T.B.A.		Disaster Management Conference	T.B.A.
19-21 October 20		Annual Conference	Gold Coast
4-5- November		LGx Conference	Brisbane

BUSINESS PAPERS

Date	Time	Event	Location
20			
Local Government Professionals Australia			
5 March 2020	8:30am	CEO Forum and Dinner	Brisbane
13-15 May 2020		Board meeting, President's Summit	Canberra

FINANCIAL REPORT

Governance Income and Expenditure to 31 January 2020

INCOME – Operating			
Account #	Description	Budget	Year to Date
EXPENDITURE - Operating			
Account #	Description	Budget	Year to Date
150835	Roads – MIPP2 Pipeline Program		3,500.00
250131	Governance – Op Expenses	905,000.00	746,408.00
250133	Governance - Depreciation		116,041.00
250231	Elected Members – Op Expenses	593,000.00	318,819.00
250331	Communications – Op Expenses		19,289.00
INCOME – Capital			
Account #	Description	Budget	Year to Date
250151	Governance – Capital Grants	2,595,909.00	79,090.91
EXPENDITURE – Capital			
Account #	Description	Budget	Year to Date
250171	Governance - WIP		73,296.18

BUSINESS PAPERS

ACTIONS OUTSTANDING FROM PREVIOUS MEETINGS

Date:	Ref:	Action	Status	Comment
A1217-12		Advise Messrs Lowe of decision and prepare lease documents	In Progress	
A0618-07		Prepare draft vehicular crossover policy for council consideration.	In Progress	Draft Policy circulated to Councillors for input
0918/0038		Lobby State Government to review the school bus subsidy eligibility criteria	Started	Arranging a deputation with Minister for Education and Transport
Feb-19	138	Include issues identified during flood event on agenda for next LDMG meeting.	Started	Local Disaster Management Group met on 30/01/2020
Sept 19		Review current gauges and include in Asset Register and Guardian IMS. Costs to raise those gauges that need to be raised	Noted	To be discussed and progressed further with work being done with NWQROC and QRA
January 20		Advise Preston Law that Council agrees to the proposed draft ILUA and authorise the Mayor and Chief Executive Officer to sign the ILUA.	Completed	Mayor and CEO have signed the ILUA at the offices of Preston Law
January 20		Inform Alluvium Consulting Australia Pty Ltd that they have been awarded Tender No. 2019-0507.	Completed	Consultants have commenced the phases 3-6 of the CHAS

BUSINESS PAPERS

MATTERS FOR COUNCIL CONSIDERATION

1. Covered in separate reports

A separate Report will be provided for all matters for Council consideration.

Recommendation: NIL

MATTERS FOR COUNCIL INFORMATION

2. Biodiversity Queensland

Biodiversity Queensland have advised that the On-ground and Research 19/20 annual payment is due and the levy for 19-20 is \$17,562.00.

Advice has also been provided to advise the levy for 20-21 is \$17,961.00 and 21-22 will be \$18,368.00

Recommendation: For information

3. Elders Meeting – Boardroom 12/02/2020

Following the meeting of the Elders, Council and Police on Wednesday 12 February 2020, we will attempt to have all agencies represented at the next Interagency Meeting scheduled for March. No apologies accepted a representative needs to be in attendance. Mayor and CEO to also attend.

Recommendation: For information

4. Local Government Elections 2020 - Inductions

Have received advice from the Department of Local Government, Racing and Multicultural Affairs that they will be in Normanton on Tuesday 21st April (Tentative – full day) to conduct the Councillor Induction training.

LGAQ have advised that they will be conducting a Mayoral Induction - Newly elected mayors will be invited to Brisbane for an induction and official welcome at Local Government House on April 29th.

As part of the induction, the LGAQ will seek to arrange a function at Parliament House to meet with the Premier, Minister for Local Government and the Cabinet - and will extend this invitation to all Queensland mayors and CEOs

Recommendation: For information

BUSINESS PAPERS

9.2 SUBMISSION FOR STATE GOVERNMENT BUDGET

Attachments:	NIL
Author:	Mark Crawley - Chief Executive Officer
Date:	13 February 2020
Key Outcome:	7.1 - A Shire governed in consultation and partnership with the community
Key Strategy:	7.1.1 Ensure leadership and decision making is transparent, accountable and represents the current and future interests of the region's communities.

Executive Summary:

Sourcing funding for the development of a 5 Year Youth Strategy for the Carpentaria Shire and funding for the implementation of same from the State Government.

RECOMMENDATION:

That Council confirm and endorse the actions of the CEO in sourcing a consultant to assist with the compilation of a submission to the State Government for funding for the development of a 5 Year Youth Strategy and funds to ensure its successful implementation.

Background:

The Manager Economic and Community Development and the CEO met with representatives of Department of Aboriginal and Torres Strait Islander Partnerships (DATSIP) on Tuesday. One of the matters discussed was the current issues the community is having with the Youth in Normanton.

The officer from Prime Minister and Cabinet asked on a couple of occasions what Council wanted, so I got to thinking about what we might want to deal with the issue facing the community.

I propose that Council engage assistance to prepare a budget submission for presenting to the Deputy Premier, Treasurer and Minister for Aboriginal and Torres Strait Islander Partnerships in relation to the following: -

- Development of a 5 Year Youth Strategy
- Development of an Implementation Plan with actionable items over that period
- Funding from the State Government for the engagement of an Officer to oversee and ensure the outcomes in the Implementation Plan
- Funding for a Motor Vehicle
- Funding for Office Accommodation
- Funding for events and community engagement
- Funding for all items identified in the Implementation Plan

Other government departments that should be engaged – include but not limited to Department of Child Safety, Youth and Women, the Department of Youth Justice, the Department of Communities, Disabilities and Seniors and Queensland Police.

BUSINESS PAPERS

Consultation (Internal/External):

- Mayor Jack Bawden
- Manager Economic and Community Development – Cherie Schafer
- DATSIP
- Department of Prime Minister and Cabinet

Legal Implications:

- Not applicable

Financial and Resource Implications:

- Awaiting proposal and quote at time of preparing report. Real dollars to engage the consultant, the State Government should fully fund the development of the Strategy and implementation.

Risk Management Implications:

- Workplace Health and Safety Risk is assessed as low
- Financial Risk is assessed as low
- Public Perception and Reputation Risk is assessed as low

BUSINESS PAPERS

9.3 HUMAN RESOURCES REPORT

Attachments: NIL
Author: Lisa Ruyg - Manager Human Resources
Date: 20 February 2020

Key Outcome: 1.1 – Responsive and effective service delivery
Key Strategy: 1.1.1 Foster appropriate corporate culture that aligns with Council's Mission, Values and Behaviours.

Executive Summary:

This report provides information on the progress of SAFEPLAN, Council's safety management system, and an update on the progress of the Certified Agreement 2019.

RECOMMENDATION:

That Council accepts the Human Resources Report for information.

Work, Health and Safety Report

- Safeplan Progress Report January 2020

KPI	Average Group B Councils	CSC YTD Jan 2019	CSC YTD Jan 2020	CSC YTD	Safe Plan Target Annual
Lost Time Injuries	9.48	3	4	-	5
Lost Time Days per Injury	17.64 ytd	127	66	-	112
Hazard Inspections		82.35%	100%	Av.90% p/mth	100% p/mth
Take 5's Completed		62%	87.3%	Av.91.7% p/mth	85% p/mth

Mechanism of Injury for Claims Submitted FYTD

i) Being hit by a moving object	0
ii) Hitting stationary objects	0
iii) Muscular stress while handling objects	2
iv) Muscular stress with no objects being handled	0
v) Muscular stress while lifting	0
vi) Falls from a height	0
vii) Being hit by a falling object	0
viii) Work related harassment and stress	2

BUSINESS PAPERS

Update – Certified Agreement 2020

Negotiations to be held 25 February 2020. Update to be provided at meeting.

Consultation (Internal/External):

- Peak Services Legal.
- WHS Advisor.

Legal Implications:

- Within normal operational parameters.

Financial and Resource Implications:

- Nil at this stage.

Risk Management Implications:

- Within normal operational parameters.

BUSINESS PAPERS

9.4 TOURISM REPORT - DECEMBER 2019

Attachments: NIL
Author: Verena Olesch - General Manager - Tourism
Date: 20 February 2020

Key Outcome: 6.1 - A strong and diverse economy
Key Strategy: 6.1.4 Promote and develop Carpentaria Shire as a unique destination and to manage tourism in a sustainable way.

Executive Summary:

This report provides a summary of the operational and promotional activities surrounding the Les Wilson Barramundi Discovery Centre and visitor numbers, as well as activities in relation to the Visitor Information Centres.

RECOMMENDATION:

That Council:

1. receive the Tourism Report; and
2. that those matters not covered by resolution be noted.

1.1 Actions Outstanding from Previous Meetings

Reference	Action	Status
	Nil	

1.2 Visitor Information Centres:

- December tourism numbers:
 Normanton VIC: 29 (23 last January)
 Karumba LWBDC & VIC: 202 (112 last January)
 - Guided Tours and feeding: nil/ nil January 2019
 - Other Revenue
 Normanton: \$ 137.00 (merchandise and library)
 \$ 341.00 in 2018

 Karumba: \$ 1,346.46 (merchandise)
 \$ 674.70 in 2019
 - Donation Box \$ not counted
 - Karumba VIC has been selected as 1 of 11 VIC (out of 35) to receive a grant for a VR experience – 50:50 funded. Council will need to put in \$6k – which can be funded out
-

BUSINESS PAPERS

of the NW Minerals Grant. This would take the VIC to the next level and assist in our Awards quest!

- Details:
 - A professionally filmed 360 degree 3 – 5 min film, shot in your region with your choice of subject e.g. – Spectacular gorge, inside a Museum, a Stagecoach ride, Historical village, etc.
 - Installation of the VR headsets (probably 2 headsets) complete with all of the technical equipment required which you would subsequently own.
 - Your own 360-degree camera which you can use to create extra content if desired – the use of the camera is surprisingly simple.
 - No ongoing costs unless you want extra / different films
 - Extra 3 -5 min films at a cost of approx. \$500/ film
 - Training and support.

ACTION
Council approve VR concept and investment of \$6k

1.3 LW Barramundi Discovery Centre and Hatchery:

Building and grounds:

Hatchery Shed

- Internal walls complete, plumbing and earth works in progress, tank, pumps and filtration on the way.
- Additional Earthworks being done for stock tanks as well as walkway. Old hatchery equipment currently being cleaned and refurbished and moved across.
- Saltwater stock tank moved.
- Walls painted
- Theatre: chairs from current conference room, flat screen TV rather than projector and screen (much cheaper) – options being discussed with Tom

1.4 Outback-by-the-Sea Festival - Karumba

- Additional grant application through QDEP (\$25K)
- First committee meeting 5 February – see attached draft event plan and details

1.5 Tourism Strategy

- Revision of tourism strategy planned for Feb/Mar

Tour Operators

- Sunlover coming in around 5 bookings per day

BUSINESS PAPERS

1.6 Hatchery Operations

Spawning 2019:

- Have not distributed the last of the fingerlings as a lot have developed spinal and gill issues, sent off for testing to BNE
- Water quality remains an issue, filter for river intake is being sourced and will be added to budget

1.7 Digital Platforms

- Website currently being revamped, to include database sign-up for newsletter distribution through mailchimp, refreshed look and online merchandise platform (through NW Minerals Grant)
- Website numbers:
Last month: 298 visits (261 unique visitors) and 571 page views. 77% were new visits
- TripAdvisor – 82 reviews, 4.5 stars
- Google Reviews – 4 new ones in Dec @ 5 stars
- 6-months digital strategy to ramp up presence as part of the NW Minerals grant (6 months @ \$1k each, to be evaluated after the trial)

1.8 Other activities

- New photo library and destination video shoot complete
- CSC brochure progressing, first draft
- New Barra Centre brochure (draft underway)
- Stock Workers Display flyer (draft underway)
- Rodeo riders expo work in progress
- TTNQ networking event 13. Feb and Brand launch 11.3.20
- BoR grants for LWBDC pontoons and Normanton Monsoon Centre pending (end of Feb)
- Normanton State School has 4 groups of approx. 20 over 4 weeks for the Barra Centre, kids learning about life cycle. We provide the tours free of charge to them.
- Merchandise being organized for the season, focus on Australian owned and made.
- New slogan for some merchandise: **Spawn to be Wild!**
- Shitbox Rally in Karumba 25 May – 450 people

BUSINESS PAPERS

10 REPORTS FROM DIRECTOR OF CORPORATE & COMMUNITY SERVICES

10.1 DCS REPORT - JANUARY 2020

Attachments: NIL
Author: Justin Hancock - Director of Corporate Services
Date: 19 February 2020

Key Outcome: 6.1 - A strong and diverse economy
Key Strategy: 6.1.3 Plan and support local economic development.

Executive Summary:

This report provides information and updates to Council on various activities and programs that are facilitated within the Director of Corporate Services portfolio.

RECOMMENDATION:

That Council:

1. receive the Director of Corporate Services Report; and
2. that those matters not covered by resolution be noted.

Background:

1.1 Actions Outstanding from Previous Meetings [\[information\]](#)

Date:	Action	Status	Comment
A1017-014	Review the water allocation on all non-profit and sport and recreation users.	In Progress	Council are currently seeking quotes for contractors to undertake the review of General Rates and Utility Charges.
A0618-21	Liaise with Telstra to improve bandwidth at Normanton Rodeo Grounds	In Progress	Ongoing – reported fault with Telstra about service drop outs.
0918/0032	Implement weed control program to manage spread of noxious weeds in Karumba town area.	In Progress	Recruitment undertaken by NGRM under funding received, officer to commence soon.
April-19	That Council proceed with the upgrade to the lighting and that grant funds be sought to fund the upgrade.	In Progress	Grants Officer to work with Normanton Rodeo Association Inc to source grants.
Jan-20	Negotiations with IOR Aviation Pty Ltd to commence for the lease of a site at the Karumba Aerodrome.	In Progress	Draft lease currently being drawn up by Preston Law.
Jan-20	Local Laws Officer to follow up on return from leave	In Progress	LLO to investigate abandoned vehicles.

BUSINESS PAPERS

Feb-20	Accept the Service Agreement from the Carpentaria Land Council Aboriginal Corporation under Section 235(b) LGR 2012; and Delegate authority to the Mayor and Chief Executive Officer to sign the agreement.	In Progress
--------	---	-------------

1.2 W4Q/ LGGSP KNOF [information]

W4Q 2017/2019:

An extension of time has been awarded for the Barramundi Hatchery Upgrade project to 31 December 2019. This project has a budget of \$941,000, a list of current and committed expenditure is listed below:

Total Expenditure to Date	\$723,027
Committed Orders	\$182,659
Total Project	\$905,686

Council has also expenses \$77,435 and committed to an additional \$48,986 in fit out expenditure as part of the additional \$175,000 approved for 'stage 2' of the project.

W4Q 2019/2021:

Project Name	Expense	Budget	Project Start Date	Project End Date
Ablution Block - Normanton Water Park	\$0	\$75,000	1-Sep-19	30-Apr-20
Ablution Block - Karumba Boat Ramp	\$0	\$75,000	1-Sep-19	30-Apr-20
School Dam Water/Family Precinct	\$ 12,330	\$450,000	1-Oct-19	30-Jun-20
Staff Housing Upgrades	\$ 162,010	\$435,000	1-Jul-19	30-Jun-20
Administration Office Upgrades	\$ 64,777	\$150,000	1-Sep-19	30-Nov-19
Trades Shed - Refurbishment	\$0	\$200,000	1-Mar-20	30-Jun-20
Les Wilson Barramundi Discovery Centre - Feeding Facility Shade	\$0	\$20,000	1-Jul-19	30-Sep-19
Office - Normanton Water Treatment Plant	\$0	\$150,000	1-Jul-19	20-Dec-19

BUSINESS PAPERS

Office - Karumba Sewerage Treatment Plant	\$0	\$75,000	1-Jul-19	20-Dec-19
Normanton Town Hall PA System	\$20,043	\$35,000	1-Aug-19	30-Nov-19
Normanton Showgrounds, Racecourse & Rodeo Grounds - Transformer Upgrade	\$0	\$75,000	1-Aug-19	20-Dec-19
Total	\$213,716	\$1,740,000		

- Normanton Town Hall PA System – Installed and completed in first week of December – awaiting invoice.

Normanton to Karumba Optic Fibre Link Project

The Cultural & Heritage Site Assessment and Site Flora & Fauna Assessment was undertaken in November 2019. Telstra are anticipating that reports and approvals from these assessments should be completed in December 2019, with the construction to then commence after the wet season (May 2020).

1.3 Roads 2 Recovery/ TIDS [\[information\]](#)

Council will be undertaking additional sealing work on the Normanton to Burketown Road, a budget of \$1.82M was allocated for the 19/20 period, funding for this project was provided by TIDS (\$910K), R2R (\$700K) and Council (\$210K).

Project Name	Expense	Committed Expense	Total Expense	Budget	Project Start Date	Project End Date
TIDS/R2R - Normanton to Burketown Road	\$1,423,829	\$71,718	\$1,495,547	\$1,820,000	Aug-19	May-20

1.4 Innovation and Improvement Fund [\[information\]](#)

Council have commenced the scanning of paper based Building and Planning Records, this project is anticipated to be funded until April/ May 2020. The current funding will not support for the entire Library of documents to be digitalised, therefore additional funding will need to be sourced to complete the project. This project can also expand to include the digitalisation of historical rates information, with Council focusing to transition all rates information from paper based to electronic records.

1.5 Northern Gulf DRFA Funding [\[information\]](#)

The Northern Gulf Resource Management Group have advised Council that funding has been sourced under the QRA DFRA Package for the following Projects:

BUSINESS PAPERS

- Erosion Reconnaissance – NGRM to work with property owners surrounding the Upper Gilbert River network to identify and rehabilitate sites effected by erosion due to flooding.
- Aerial Pig Shooting Program – NGRM to engage CLCAC to undertake this program over a two-year period. CLCAC have contacted properties to provide additional in-kind support to help deliver the project.
- Dog Control Program – NGRM and Council to enter into a program to help support Councils on going Dog Control Program (1080 Baiting). Funding will cover the program over a 2 year period.
- Pest and Weed Management Program – NGRM is to deliver a Pest and Weed management Program throughout the Shire over a two-year period. NGRM are currently recruiting for this funding and anticipate officers to commence within the Shire in the new year.

BUSINESS PAPERS

10.2 MONTHLY FINANCIAL REPORT - JANUARY 2020

Attachments: 10.2.1. Monthly Financial Statements - January 2020 [↓](#)
 10.2.2. Monthly Local Spend - January 2020 [↓](#)
 10.2.3. Grants Report - January 2020 [↓](#)
 10.2.4. Capital Expenditure and Major Op Ex - January 2020 [↓](#)

Author: Jade Nacario - Manager Finance and Administration

Date: 18 February 2020

Key Outcome: 7.3 - Strategic management of Council

Key Strategy: 7.3.3 Implement sustainable financial management and effective procurement practices.

Executive Summary:

The Monthly Financial Report has been prepared for the period ending 31 January 2020.

RECOMMENDATION:

That Council:

1. accepts the Monthly Financial Report for the period ending 31 January 2020 as presented; and
2. that those matters not covered by resolution be noted.

Background:

1. ACTIONS ARISING FROM PREVIOUS MEETINGS:

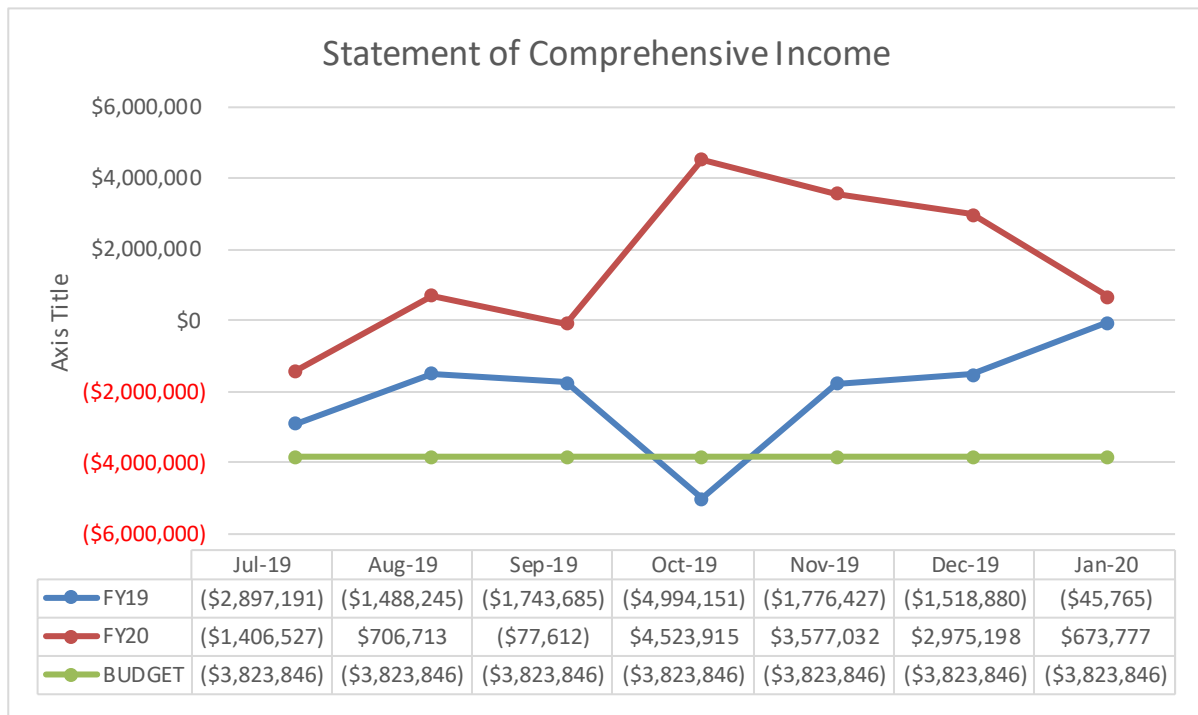
Date:	Action	Status	Comment
Jan-19	Commence Sale of Land for Arrears of Rates proceedings	In Progress	Debt Recovery Agency notified of updated recovery timeline.

BUSINESS PAPERS

2. FINANCIAL REPORT

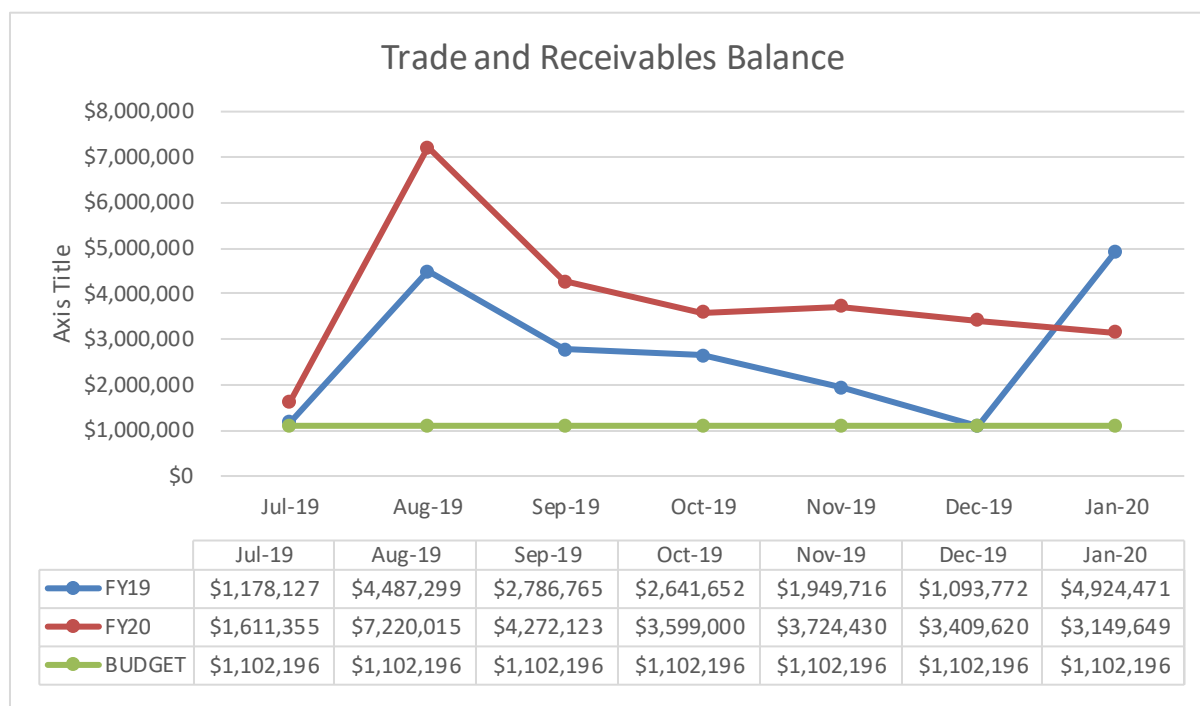
The Monthly Finance Reports are prepared in accordance with the reporting requirements of the *Local Government Act 2009* and *Local Government Regulation 2012*.

The Comprehensive Income Statement indicates a *Net Operating Surplus* result of \$673,777, for the seventh month of the current financial year. The increase in net operating surplus is due to the initial payment received from QRA for the 2019 Flood Damaged events.



BUSINESS PAPERS

Council has *Trade and Receivables* of \$3,149,649 as of 31 January 2020. This balance is made up of \$530,335.03 (in outstanding rates & utility charges – with the remaining balance comprising of debtors, community loans etc.



Rates and Service Charges

Rates Receivables								
Month	Jun-19	Jul-19	Aug-19	Sep-19	Oct-19	Nov-19	Dec-19	Jan-20
Current Year	\$201,012.63	0	\$4,439,439.01	\$1,414,576.51	\$269,734.20	\$194,653.22	\$178,115.53	\$169,410.96
1 Year Arrears	\$68,105.30	\$177,299.64	\$164,482.73	\$128,887.53	\$118,399.63	\$109,235.75	\$96,101.07	\$84,097.79
2 Year Arrears	\$50,432.40	\$67,391.27	\$67,391.27	\$66,891.27	\$65,303.85	\$64,381.24	\$58,229.52	\$53,703.33
3+ Year Arrears	\$107,033.53	\$155,839.96	\$154,859.96	\$151,734.96	\$149,854.96	\$147,297.57	\$137,900.57	\$136,298.07
Interest	\$149,932.82	\$153,964.11	\$154,183.83	\$158,595.22	\$165,583.39	\$179,746.00	\$166,388.12	\$177,557.27
Credits	-\$69,135.17	-\$83,854.00	-\$54,196.18	-\$40,197.61	-\$51,119.25	-\$64,881.86	-\$76,802.11	-\$90,732.39
Balance	\$507,381.51	\$470,640.98	\$4,926,160.62	\$1,880,487.88	\$717,756.78	\$630,431.92	\$559,932.70	\$530,335.03

BUSINESS PAPERS

Procurement

Local Spend

In accordance with Council Procurement Policy, all procurement activities were carried out in a manner which ensure a regard for the sound contracting principle when entering into a contract for either the supply of goods and/or services.

One of the five principles is the development of competitive local business and industry. Please refer to the attachments of this report, the table shows the monthly local spend on Council procurement activities since April 2019.

Grants

Please see attachments for Council Grants Register.

Capital Expenditures 2019-2020

Please see attachments for Council Capital Expenditures as of 31 January 2020.

Consultation (Internal/External):

- Westpac Banking Corporation
- Queensland Treasury Corporation

Legal Implications:

- Failure to meet regulatory reporting requirements is a breach of the *Local Government Act 2009*.

Financial and Resource Implications:

- As provided for in current adopted 2019/2020 Annual Budget.

Risk Management Implications:

- Risk is considered low and Council will be advised if major items deviate from the adopted budget and forecasts.



Statement of Comprehensive Income by Category
 For the period ended 31 January 2020

	Core \$	GRA \$	Non-Core \$	Total \$	Budget \$
Income					
Revenue					
Recurrent revenue					
Rates, levies and charges	3,898,606	-	-	3,898,606	7,923,000
Fees and charges	321,305	-	145,834	467,139	846,000
Rental income	67,245	-	287,149	354,394	524,000
Interest received	168,341	-	-	168,341	413,000
Sales revenue	940,499	-	48,527	989,026	12,043,000
Other income	87,389	-	32,240	119,629	37,000
Grants, subsidies, contributions and donations	3,150,363	26,910,712	198,030	30,259,045	31,885,000
	8,633,689	26,910,712	709,780	36,254,181	53,671,000
Capital revenue					
Grants, subsidies, contributions and donations	1,131,390	-	684,000	1,815,390	6,944,000
Total revenue	9,765,079	26,910,712	1,393,760	38,069,571	60,615,000
Capital income	157,950	-	-	157,950	160,000
Total income	9,923,029	26,910,712	1,393,760	38,227,521	60,775,000
Expenses					
Recurrent expenses					
Employee benefits	(3,268,244)	(1,570,333)	(779,397)	(5,617,974)	(9,240,000)
Materials and services	(2,991,738)	(20,030,953)	(392,707)	(23,615,398)	(41,787,000)
Finance costs	(243,999)	-	-	(243,999)	(432,846)
Depreciation	(7,547,808)	-	(528,565)	(8,076,373)	(13,139,000)
	(14,051,788)	(21,601,286)	(1,900,669)	(37,553,744)	(64,598,847)
Capital expenses	-	-	-	-	-
Total expenses	(14,051,788)	(21,601,286)	(1,900,669)	(37,553,744)	(64,598,847)
Net result	(4,128,759)	5,309,425	(506,889)	673,777	(3,823,846)
Other comprehensive income					
Items that will not be reclassified to net result					
Increase / (decrease) in asset revaluation surplus	-	-	-	-	-
Total other comprehensive income for the year	-	-	-	-	-
Total comprehensive income for the year	(4,128,759)	5,309,425	(506,889)	673,777	(3,823,846)



Statement of Comprehensive Income
 For the period ended 31 January 2020

	31 January 2020 Actual \$	2019.2020 Adopted Budget \$
Income		
Recurrent Revenue		
Rates and Charges	3,898,606	7,923,000
Fees and Charges	467,139	846,000
Rental Income	354,394	524,000
Interest Received	168,341	413,000
Sales & Recoverable Works Revenue	987,026	12,043,000
Other Recurrent Income	119,629	37,000
Grants, Subsidies and Contributions	30,259,045	31,885,000
Total Recurrent Revenue	36,254,181	53,671,000
Capital Revenue		
Grants, Subsidies and Contributions	1,815,390	6,944,000
Capital Income	157,950	160,000
Total Income	38,227,521	60,775,000
	(0)	
Expenses		
Recurrent Expenses		
Administration and Governance	(1,728,783)	(8,401,000)
Community	(1,607,075)	(3,071,000)
Engineering	(4,546,635)	(6,127,000)
Fleet and Plant	2,502,786	1,770,000
Environment	(627,182)	(1,034,000)
DRFA	(21,601,286)	(31,000,000)
Tourism	(745,653)	(1,187,000)
Water and Sewerage	(879,635)	(1,977,000)
Finance Costs	(243,907)	(432,846)
Depreciation	(8,076,373)	(13,139,000)
Total Expenses	(37,553,744)	(64,598,846)
Capital Expenses		
	-	-
Total Expenses	(37,553,744)	(64,598,846)
Net Operating Surplus / (Deficit)	673,777	(3,823,846)



Statement of Financial Position
 as at 31 January 2020

	31 January 2020 Actual \$	2019.2020 Adopted Budget \$
Current Assets		
Cash and Equivalents	10,534,551	11,754,125
Trade and Other Receivables	3,149,649	1,102,196
ATO Refund	219,863	-
Inventories	533,015	420,648
Other Financial Assets	478,207	522,488
Investments	1,000,000	1,000,000
Total Current Assets	15,915,286	14,799,457
Non-Current Assets		
Receivables	159,534	193,650
Property, Plant and Equipment	355,635,106	341,912,510
Capital Works in Progress	9,831,469	23,418,170
Total Non-Current Assets	365,626,109	365,524,330
TOTAL ASSETS	381,541,394	380,323,787
Current Liabilities		
Trade and Other Payables	891,824	1,332,112
Interest Bearing Liabilities	509,431	145,911
Provisions	289,836	326,462
Total Current Liabilities	1,691,091	1,804,485
Non-Current Liabilities		
Interest Bearing Liabilities	7,658,387	7,893,337
Provisions	1,918,196	1,188,722
Other Accounts Payable	400,000	
Total Non-Current Liabilities	9,976,583	9,082,059
TOTAL LIABILITIES	11,667,674	10,886,544
NET COMMUNITY ASSETS	369,873,720	369,437,243
Community Equity		
Asset Revaluation Reserve	279,231,778	268,193,727
Retained Surplus	90,641,943	101,243,516
TOTAL COMMUNITY EQUITY	369,873,720	369,437,243



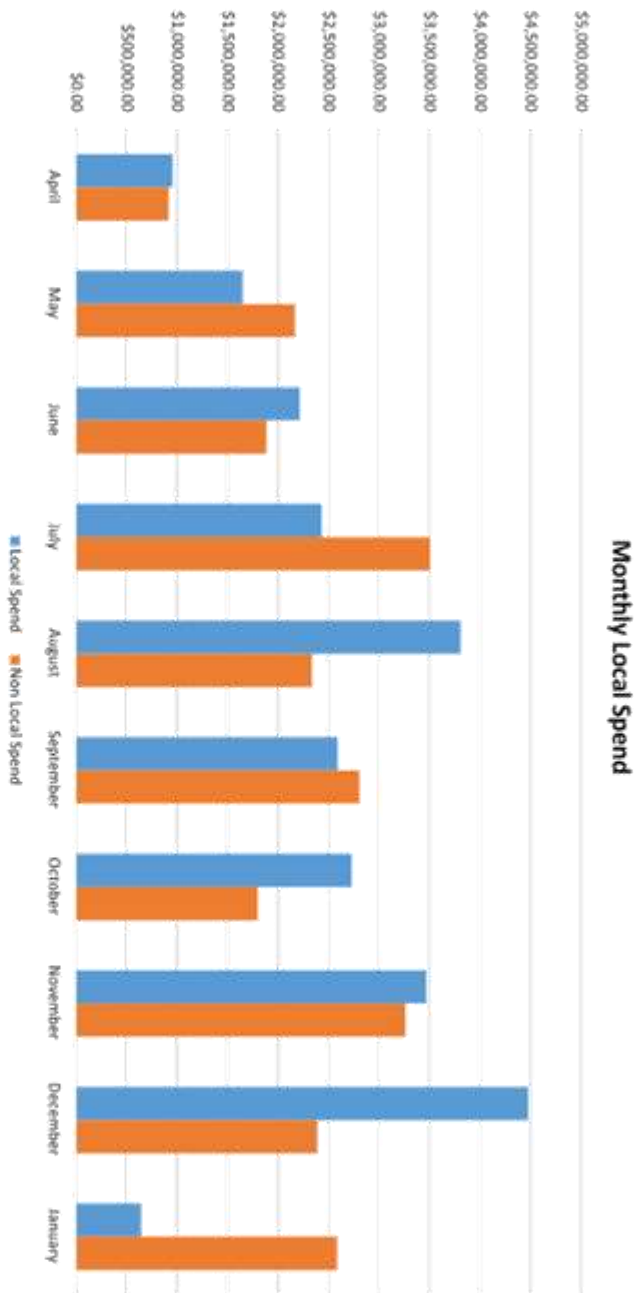
Cash Flow Statement
 For the period ended 31 January 2020

	31 January 2020	2019.2020
	Actual	Adopted Budget
	\$	\$
Cash Flows From Operating Activities:		
Receipts From Customers	6,405,981	20,849,000
Payments to Suppliers and Employees	(34,657,444)	(51,058,000)
	<u>(28,251,463)</u>	<u>(30,209,000)</u>
Interest Received	168,341	413,000
Rental Income	354,394	524,000
Non Capital Grant and Contributions	30,259,045	31,885,000
Borrowing Costs	(243,907)	(401,846)
Net Cash Flows From Operating Activities	<u>2,286,410</u>	<u>2,211,154</u>
Cash Flows From Investing Activities:		
Payments for Property, Plant and Equipment	(7,483,258)	(10,571,000)
Proceeds From Sale of Property, Plant and Equipment	157,950	160,000
Grants, Subsidies and Contributions	1,815,390	6,944,000
Net Cash Flows From Investing Activities	<u>(5,509,918)</u>	<u>(3,467,000)</u>
Cash Flows From Financing Activities		
Repayment of Borrowings	(182,565)	(419,131)
Net Cash Flows From Financing Activities	<u>(182,565)</u>	<u>(419,131)</u>
Net Increase (Decrease) in Cash Held	(3,406,072)	(1,674,977)
Cash at Beginning of Reporting Period	14,940,624	14,429,102
Cash at End of Reporting Period	<u>11,534,551</u>	<u>12,754,125</u>



Accounts Summary

	31 January 2020 \$	31 December 2019 \$
General Accounts		
Queensland Treasury Corporation	10,434,302	12,956,086
Westpac Term Deposit	1,000,000	1,000,000
Westpac General Operating Accounts	97,994	295,602
Total balance held in banks	11,532,296	14,251,688
Trust Accounts		
Queensland Treasury Corporation	91,378	91,378
Westpac Bank	31,873	32,948
Total balance held in trust	123,251	124,326
Other Balances		
CSC Reserves	11,070,235	11,070,235
CSC Provisions	2,208,032	2,397,585
Total balance reserves and provisions	13,278,266	13,467,820
QTC Borrowings		
Karumba Sewerage	2,028,579	2,017,645
Normanton Water Upgrade	1,103,215	1,097,397
Raise Glenore Weir	5,036,025	5,018,788
Total balance QTC borrowings	8,167,818	8,133,830
Net Council Position	(9,913,788)	(7,349,960)



Suppliers	April	May	June	July	August	September	October	November	December	January
Local Spend	\$965,262.01	\$1,651,938.60	\$2,218,862.40	\$2,435,047.95	\$3,899,729.03	\$2,591,736.32	\$3,732,871.69	\$3,486,267.27	\$4,475,434.01	\$646,479.63
Non Local Spend	\$917,875.91	\$2,769,115.25	\$1,890,144.04	\$3,594,271.95	\$2,337,352.87	\$2,806,454.98	\$1,799,909.29	\$3,262,274.17	\$2,392,139.90	\$2,588,440.17
Total Spend	\$1,873,127.92	\$3,821,053.85	\$4,109,006.44	\$5,929,319.90	\$6,147,121.90	\$5,398,191.30	\$4,532,790.98	\$6,728,541.44	\$6,867,572.81	\$3,234,919.80
Local Spend Percentage	51%	43%	54%	41%	62%	48%	60%	52%	65%	20%

Funding Description / Projects	Council Funding	Grant Funding	Total Funding	Funding Received	Spent	Unencumbered Funds	Funding to be Received	Funding to be Spent	Scheduled Completion	Grant Expiry
Financial Assistance Grants (FAGs) - General Component	\$ -	\$ 4,062,823	\$ 4,062,823	\$ 3,083,854	\$ 3,083,854	\$ -	\$ 978,969	\$ 978,969	1/10/2019	1/09/2019
Financial Assistance Grants (FAGs) - Roads Component	\$ -	\$ 1,015,706	\$ 1,015,706	\$ 783,298	\$ 581,148	\$ 202,649	\$ 231,906	\$ 434,557	1/10/2019	1/09/2019
LGGSF - Wm to Kila Fire	\$ 1,560,000	\$ 1,740,000	\$ 2,900,000	\$ 522,000	\$ 410,000	\$ 112,000	\$ 2,378,000	\$ 2,490,000	1/10/2019	1/09/2019
RAUP - Kurumba Airport Upgrade	\$ 25,900	\$ 27,000	\$ 52,900	\$ 19,495	\$ 2,876	\$ 16,579	\$ 32,545	\$ 49,124	1/10/2019	1/10/2019
a. MPP2 - Strategic Planning - Expansion of Tourism Industry within the Shire	\$ -	\$ 164,000	\$ 164,000	\$ -	\$ -	\$ -	\$ 164,000	\$ 164,000	1/10/2019	1/10/2019
a. MPP2 - Kurumba Town Plan	\$ -	\$ -	\$ -	\$ -	\$ 1,791	\$ 1,791	\$ -	\$ -	1/12/2019	1/12/2019
a. MPP2 - Strategic Planning - Raw Water Intakes	\$ -	\$ 5,200	\$ 5,200	\$ -	\$ 5,200	\$ 5,200	\$ -	\$ -	1/12/2019	1/12/2019
a. MPP2 - Strategic Planning - Road Network Assessment	\$ -	\$ 38,248	\$ 38,248	\$ -	\$ 38,248	\$ 38,248	\$ -	\$ -	1/12/2019	1/12/2019
b. W4Q - Barranbush Hatchery	\$ -	\$ 940,000	\$ 940,000	\$ 870,000	\$ 641,963	\$ 228,037	\$ 70,000	\$ 288,037	1/12/2019	1/12/2019
Berra Hatchery Upgrade Phase 2	\$ -	\$ -	\$ -	\$ -	\$ 77,435	\$ 77,435	\$ -	\$ -	1/12/2019	1/12/2019
ATSI TDS - Soudan River	\$ -	\$ 2,000,000	\$ 2,000,000	\$ 32,125	\$ 1,914,889	\$ -	\$ 1,967,875	\$ 85,111	1/12/2019	1/12/2019
IIF - Property Based Data System	\$ 7,011	\$ 60,000	\$ 67,011	\$ -	\$ -	\$ -	\$ 67,011	\$ 67,011	1/04/2020	1/04/2020
TDS/RDR - Amendment to Birlakshan Road	\$ 210,000	\$ 1,610,000	\$ 1,820,000	\$ 1,258,983	\$ 1,416,608	\$ 157,644	\$ 561,037	\$ 403,382	1/06/2020	1/06/2020
RAUP - State Roads 2019/2020	\$ -	\$ 1,957,888	\$ 1,957,888	\$ 645,119	\$ 837,525	\$ 192,406	\$ 1,312,769	\$ 1,120,363	1/06/2020	1/06/2020
BBRF - Raw Water Irrigation	\$ 238,000	\$ 712,000	\$ 950,000	\$ 705,107	\$ 4,300	\$ 700,607	\$ 244,883	\$ 945,500	1/10/2019	1/06/2020
LG4Q - Decree 2100	\$ -	\$ 2,780	\$ 2,780	\$ -	\$ -	\$ -	\$ 278,000	\$ 278,000	1/09/2020	1/09/2020
b. W4Q - Staff Housing Upgrade	\$ -	\$ 435,000	\$ 435,000	\$ -	\$ 162,010	\$ 162,010	\$ 435,000	\$ 272,990	1/12/2020	1/06/2021
LGGSF - Gemova Weir Finalisation	\$ 1,966,904	\$ 2,350,966	\$ 3,917,870	\$ -	\$ 1,008,487	\$ 1,008,487	\$ 3,917,870	\$ 2,908,983	1/11/2020	1/06/2021
b. W4Q - School Dam Water/Family Project	\$ -	\$ 450,000	\$ 450,000	\$ -	\$ 12,330	\$ 12,330	\$ 450,000	\$ 437,670	1/09/2020	1/06/2021
b. W4Q - Gaben St Carpark	\$ -	\$ 450,000	\$ 450,000	\$ -	\$ 481,922	\$ 481,922	\$ 450,000	\$ 31,922	1/09/2020	1/06/2021
b. W4Q - Trades Shed - Refurbishment	\$ -	\$ 200,000	\$ 200,000	\$ -	\$ -	\$ -	\$ 200,000	\$ 200,000	1/06/2020	1/06/2021
b. W4Q - Abulken Block - Kurumba Water Park	\$ -	\$ 75,000	\$ 75,000	\$ -	\$ -	\$ -	\$ 75,000	\$ 75,000	1/05/2020	1/06/2021
b. W4Q - Abulken Block - Kurumba Boat Ramp	\$ -	\$ 75,000	\$ 75,000	\$ -	\$ -	\$ -	\$ 75,000	\$ 75,000	1/12/2019	1/06/2021
b. W4Q - Office - Norman Water Treatment Plant	\$ -	\$ 150,000	\$ 150,000	\$ -	\$ -	\$ -	\$ 150,000	\$ 150,000	1/12/2019	1/06/2021
b. W4Q - Office - Kurumba Sewerage Treatment Plant	\$ -	\$ 75,000	\$ 75,000	\$ -	\$ -	\$ -	\$ 75,000	\$ 75,000	1/12/2019	1/06/2021
b. W4Q - Norman Showgrounds, Racecourse & Rodeo Grounds - Transformer Upgrade	\$ -	\$ 75,000	\$ 75,000	\$ -	\$ -	\$ -	\$ 75,000	\$ 75,000	1/12/2019	1/06/2021
b. W4Q - Norman Town Hall PA System	\$ -	\$ 35,000	\$ 35,000	\$ -	\$ 20,043	\$ 20,043	\$ 35,000	\$ 14,957	1/12/2019	1/06/2021
b. W4Q - Administration Office Upgrade	\$ -	\$ 150,000	\$ 150,000	\$ -	\$ 64,777	\$ 64,777	\$ 150,000	\$ 85,223	1/11/2019	1/06/2021
b. W4Q - Lee Wilson Barranbush Discovery Centre - Feeding Facility Shade	\$ -	\$ 20,000	\$ 20,000	\$ -	\$ -	\$ -	\$ 20,000	\$ 20,000	1/09/2019	1/06/2021
QDRF - Craters Camp Small Cell Tower	\$ 15,000	\$ 135,000	\$ 150,000	\$ 41,820	\$ 170,905	\$ 129,075	\$ 108,170	\$ 20,905	1/06/2020	1/06/2021
QDRF - Flinders River Floodplain Investigation and Assessment	\$ -	\$ 60,000	\$ 60,000	\$ 16,715	\$ -	\$ 16,715	\$ 43,285	\$ 60,000	1/06/2021	1/06/2022
TOTAL	\$ 3,249,695	\$ 13,106,824	\$ 16,356,519	\$ 7,978,965	\$ 10,937,511	\$ 2,958,545	\$ 8,377,553	\$ 5,419,008		

Notes
 a. MPP2 total funding is \$164k across all projects
 b. W4Q 2019-2021 total funding across all projects of \$1,74m
 W4Q income to date allocated to the Berra Hatchery.

Est./ Job Cost Account	Particulars	TOTAL BALANCE 30 SEPTEMBER 2019	2019/2020 EXPENSES YTD	TOTAL PROJECT COST	Cap/Op C/E	CAPITANSD / EXPENSED	TOTAL PROJECT COST	PERCENT AGE	2019/2020 BUDGET	2020 Capital Spending Through
	WATER MAINS (5181000)									
W1901	Water Main Installation	9,167.13	0.00	9,167.13	0.00	1,841,308.74	9,167.13	0%	0	
W1902	Water Main Replacement	131,758.72	0.00	131,758.72	0.00	1,841,308.74	131,758.72	0%	0	
W1903	Water Main to Property Study (Bridgeway)	37,000.01	0.00	37,000.01	0.00	1,841,308.74	37,000.01	0%	0	
W1904	Water Main to Property Study (Bridgeway)	10,590.00	0.00	10,590.00	0.00	1,841,308.74	10,590.00	0%	0	
W1905	Water Main to Property Study (Bridgeway)	26,727.69	0.00	26,727.69	0.00	1,841,308.74	26,727.69	0%	0	
W1906	Water Main to Property Study (Bridgeway)	82,665.64	0.00	82,665.64	0.00	1,841,308.74	82,665.64	0%	0	
W1910	Water Main to Property Study (Bridgeway)	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
W1915	Water Main to Property Study (Bridgeway)	94,138.71	0.00	94,138.71	0.00	1,841,308.74	94,138.71	0%	0	
W1918	Water Main to Property Study (Bridgeway)	417.70	0.00	417.70	0.00	1,841,308.74	417.70	0%	0	
W1919	Water Main to Property Study (Bridgeway)	160,000.00	0.00	160,000.00	0.00	1,841,308.74	160,000.00	0%	0	
W1920	Water Main to Property Study (Bridgeway)	4,643.71	0.00	4,643.71	0.00	1,841,308.74	4,643.71	0%	0	
W1921	Water Main to Property Study (Bridgeway)	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
W1922	Water Main to Property Study (Bridgeway)	66,943.80	0.00	66,943.80	0.00	1,841,308.74	66,943.80	0%	0	
W1923	Water Main to Property Study (Bridgeway)	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
W1924	Water Main to Property Study (Bridgeway)	6,941.47	0.00	6,941.47	0.00	1,841,308.74	6,941.47	0%	0	
W1925	Water Main to Property Study (Bridgeway)	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
W1926	Water Main to Property Study (Bridgeway)	50,514.42	0.00	50,514.42	0.00	1,841,308.74	50,514.42	0%	0	
W1927	Water Main to Property Study (Bridgeway)	4,500.00	0.00	4,500.00	0.00	1,841,308.74	4,500.00	0%	0	
	WATER MAINS (5181000)	142,971.81	7,685.12	149,956.93	0.00	1,841,308.74	149,956.93	0%	20,000.00	
	WATER SUPPLY									
W1901	Water Supply Installation	60,414.02	0.00	60,414.02	0.00	1,841,308.74	60,414.02	0%	0	
W1902	Water Supply Installation	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
	WATER SUPPLY	60,414.02	0.00	60,414.02	0.00	1,841,308.74	60,414.02	0%	30,000.00	
	WATER SUPPLY									
W1906	Water Supply Installation	71,352.00	4,601.20	75,953.20	0.00	1,841,308.74	75,953.20	0%	0	
W1907	Water Supply Installation	9,105.40	2,817.92	11,923.32	0.00	1,841,308.74	11,923.32	0%	0	
	WATER SUPPLY	80,457.40	7,419.12	87,876.52	0.00	1,841,308.74	87,876.52	0%	30,000.00	
	OTHER SITE (5181000)									
W1911	Other Site Installation	2,404,095.19	917,106.42	3,321,201.61	0.00	1,841,308.74	3,321,201.61	78%	800,000.00	9,428,888.31
W1912	Other Site Installation	127,150.04	595,811.54	722,961.58	0.00	1,841,308.74	722,961.58	1%	450,000.00	9,428,888.31
W1913	Other Site Installation	6,010.00	5,750.00	11,760.00	0.00	1,841,308.74	11,760.00	0%	0	
W1914	Other Site Installation	317,455.83	0.00	317,455.83	0.00	1,841,308.74	317,455.83	0%	0	
W1915	Other Site Installation	50,091.66	9.41	50,091.66	0.00	1,841,308.74	50,091.66	0%	0	
W1916	Other Site Installation	4,300.00	0.00	4,300.00	0.00	1,841,308.74	4,300.00	0%	0	
W1917	Other Site Installation	1,819,413.33	0.00	1,819,413.33	0.00	1,841,308.74	1,819,413.33	0%	0	
W1918	Other Site Installation	1,311.92	0.00	1,311.92	0.00	1,841,308.74	1,311.92	0%	0	
W1919	Other Site Installation	21,883.18	0.00	21,883.18	0.00	1,841,308.74	21,883.18	0%	0	
W1920	Other Site Installation	4,130.00	0.00	4,130.00	0.00	1,841,308.74	4,130.00	0%	0	
W1921	Other Site Installation	7,520.00	0.00	7,520.00	0.00	1,841,308.74	7,520.00	0%	0	
W1922	Other Site Installation	6,799.25	0.00	6,799.25	0.00	1,841,308.74	6,799.25	0%	0	
W1923	Other Site Installation	7,400.00	0.00	7,400.00	0.00	1,841,308.74	7,400.00	0%	0	
W1924	Other Site Installation	6,000.00	47,975.00	53,975.00	0.00	1,841,308.74	53,975.00	0%	0	
W1925	Other Site Installation	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
W1926	Other Site Installation	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
W1927	Other Site Installation	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
W1928	Other Site Installation	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
W1929	Other Site Installation	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
W1930	Other Site Installation	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
W1931	Other Site Installation	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
W1932	Other Site Installation	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
W1933	Other Site Installation	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
W1934	Other Site Installation	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
W1935	Other Site Installation	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
W1936	Other Site Installation	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
W1937	Other Site Installation	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
W1938	Other Site Installation	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
W1939	Other Site Installation	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
W1940	Other Site Installation	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
W1941	Other Site Installation	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
W1942	Other Site Installation	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
W1943	Other Site Installation	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
W1944	Other Site Installation	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
W1945	Other Site Installation	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
W1946	Other Site Installation	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
W1947	Other Site Installation	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
W1948	Other Site Installation	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
W1949	Other Site Installation	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
W1950	Other Site Installation	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
W1951	Other Site Installation	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
W1952	Other Site Installation	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
W1953	Other Site Installation	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
W1954	Other Site Installation	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
W1955	Other Site Installation	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
W1956	Other Site Installation	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
W1957	Other Site Installation	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
W1958	Other Site Installation	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
W1959	Other Site Installation	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
W1960	Other Site Installation	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
W1961	Other Site Installation	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
W1962	Other Site Installation	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
W1963	Other Site Installation	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
W1964	Other Site Installation	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
W1965	Other Site Installation	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
W1966	Other Site Installation	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
W1967	Other Site Installation	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
W1968	Other Site Installation	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
W1969	Other Site Installation	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
W1970	Other Site Installation	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
W1971	Other Site Installation	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
W1972	Other Site Installation	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
W1973	Other Site Installation	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
W1974	Other Site Installation	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
W1975	Other Site Installation	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
W1976	Other Site Installation	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
W1977	Other Site Installation	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
W1978	Other Site Installation	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
W1979	Other Site Installation	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
W1980	Other Site Installation	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
W1981	Other Site Installation	0.00	0.00	0.00	0.00	1,841,308.74	0.00	0%	0	
W198										

BUSINESS PAPERS

10.3 BUDGET 2020 REVIEW

Attachments:	NIL
Author:	Jade Nacario - Manager Finance and Administration
Date:	20 February 2020
Key Outcome:	7.3 - Strategic management of Council
Key Strategy:	7.3.3 Implement sustainable financial management and effective procurement practices.

Executive Summary:

This report presents the review of the 2019/2020 Budget for the Carpentaria Shire Council as part of the 2019/2020 budget process and presents the estimated actual expenses as at 30 June 2020.

RECOMMENDATION:

That Council:

1. note the information provided in this report; and
2. mandate all Project Managers to include a monthly progress report to Council on all Capital Expenditures and Major Operational Expenditure, as part of Council budget process.

Background:

In accordance with Section 107A of the Local Government Act 2009, Council has adopted the 2019/2020 Budget last 28th June 2019.

As part of Council's best practice and in accordance with its Corporate Plans' strategy in implementing a sustainable financial management, Council will conduct a half yearly review of its current adopted budget.

A review was undertaken for all Income and Expense accounts. The review involves but not limited to the following:

- Consultation with Directors, Managers and Senior Officers
- Review of all transactions
- Incorporating budgets approved by resolutions
- End Of year forecast based on the actual expenses as of 31 January 2020 and other expected expenses in the remainder of the year

Below are the findings as per review:

- Operating Income and Expenses:

Council does not foresee a material and significant variations on its overall adopted original budget. However, it is expected that there will be transfers of funding from one budget center/section to another and this will be included in the proposed amendment budget report, expected to be tabled on April 2020.

BUSINESS PAPERS

- Capital Expenditures

Council is unable to determine on date of writing any material and/or significant variations on Council Capital Expenditures/Projects. However, transactions on all the accounts has been reviewed and are deemed to be capital in nature.

An expected end of financial year balances was prepared for Council information and consideration. This half yearly review will be incorporated when the proposed budget amendment will be tabled on the first Council monthly meeting after the caretaker period, April 2020.

Consultation (Internal/External):

- Chief Executive Officer
- Directors
- Managers
- Senior Officers

Legal Implications:

- Local Government Regulation 2012

Financial and Resource Implications:

- The information presented is the estimated end of year actual income and expenses for financial year 2019/2020.

Risk Management Implications:

- As per Section 170 (3) and (4) of the Local Government Regulation 2012, the local government may, by resolution, amend the budget for a financial year at any time before the end of the financial year but must comply with Section 169. This report is for information purposes only.

BUSINESS PAPERS

10.4 INTERNAL AUDIT REPORT - CUSTOMER REQUEST & COMPLAINTS HANDLING REVIEW

Attachments: 10.4.1. DRAFT REPORT - CSC Customer Request and Complaints Handling Review [↓](#)

Author: Justin Hancock - Director of Corporate Services

Date: 6 February 2020

Key Outcome: 7.3 - Strategic management of Council

Key Strategy: 7.3.3 Implement sustainable financial management and effective procurement practices.

Executive Summary:

Council is committed to continuous improvement within its business operations and recognises the importance of Internal Audit as an integral component of Council's corporate governance framework.

Council's independent Internal Auditors, Pacifica Chartered Accountants, utilises a risk management approach in delivering on projects detailed in Council's adopted annual internal audit plan.

RECOMMENDATION:

That Council note and accept the Customer Request Management & Complaints Handling Report.

Background:

In November 2019, Council's independent Internal Auditors, Pacifica Chartered Accountants, attended the Shire to undertake an internal audit of Council's Customer Request Management & Complaints Handling processes. The scope of work for this Internal Audit project was to take a business improvement focus to support the organisation to improve the overall Customer Request and Complaints Handling service delivery at Carpentaria Shire Council.

Overall, the Customer Request Management and Complaints Handling practices at Council, assessed through observations, interviews and testing across the organisation, was:

DEVELOPING	Control procedures exist in some form and/or are partially effective. The procedures may partially prevent or detect errors, anomalies or risks impacting the reliability and integrity of Council processes, decision-making and/or financial information, in some circumstances.
-------------------	--

As part of this review, it was identified that Council has embedded processes and practices for the recording and routing of Customer Requests in the Customer Request Management system. It was evident from the work performed, that business practices across the organisation could be strengthened to provide Council with greater surety that reported Customer Requests and Complaints are progressed in line with Council objectives, and that

BUSINESS PAPERS

the investment in a new Customer Request Management system would yield the benefits expected.

Subsequent to this review, Council has finalised the structure of the Customer Request and Complaint Management system and is in the process of testing the workflow of the system. It is anticipated that this system will become 'live' in February with staff training to be undertaken throughout Council. This initial implementation will improve Council's current data capturing process, with reviews of policies and procedures to commence soon to ensure that all aspects of Customer Request Management and Complaints Handling have been reviewed.

Consultation (Internal/External):

- Chief Executive Officer – Mark Crawley
- Manager Finance and Administration – Jade Nacario
- Pacifica Chartered Accountants – Nathan Mlikota
- Pacifica Chartered Accountants – Carolyn Eagle

Legal Implications:

- S207 Local Government Regulation 2012 – Internal Audit

Financial and Resource Implications:

- N/A – As per budget

Risk Management Implications:

- The findings identified as part of this report include a risk severity rating which can be aligned with Council's Organisational Risk Management Framework.

CONFIDENTIAL REPORT



Internal Audit Memorandum
Customer Request Management &
Complaints Handling Review

DRAFT

Completed: December 2019

Distribution	
For action: Justin Hancock, Director Corporate Services Jade Nacario, Manager Finance and Administration Charlene Owens, Records and Complaints Officer	For information: Mark Crawley, Chief Executive Officer Audit Committee Executive Team



Contents

1. Executive summary.....	3
2. Overall conclusion.....	3
3. Management acknowledgement and response.....	5
4. Customer Request Management Practices - Observations and improvement opportunities complement the implementation of new software.....	6
5. Complaints Handling Practices - Observations and Improvement Opportunities.....	10
Appendix 1 – Customer Request Management process flow.....	12
Appendix 2 – Complaints Handling process flow.....	12
Appendix 3 – Various methods of receiving a CR.....	12
Appendix 4 – Classification of internal audit findings.....	13

Inherent limitations:

Because of the inherent limitations of any internal control structure it is possible that errors and/or irregularities may occur and not be detected during the internal audit process. An internal audit is not designed to detect all weaknesses in control procedures, as it is not performed continuously throughout the period. Verification of key internal controls is performed predominantly through process walk-throughs, observations and interviews and recommendations are made on this basis.

Any evaluation of the control procedures and their future effectiveness is subject to the risk that the procedures may be altered, circumvented, become inadequate due to changes in conditions or that the degree of compliance with them may deteriorate.

The procedures we have agreed to perform do not constitute an audit in accordance with the Australian Auditing Standards.

The procedures we have agreed to perform reflect upon the business risks documented in Council's Corporate Risk Register, but do not provide or represent complete coverage of the risks to the organisation or that all risk treatments proposed by management are sufficient or effective. The responsibility for adequate and effective risk management rests with management

Relative responsibilities:

The responsibility for determining the adequacy or otherwise of the procedures agreed to be performed by us is that of the Internal Audit Sponsor. The procedures we performed are solely to assist Carpentaria Shire Council in determining the adequacy or otherwise of a selection of internal control measures it has in place.

Our report of factual findings is not to be used for any other purpose and is solely for your information. Other than our responsibility to Carpentaria Shire Council and its management, neither Pacifica nor any member or employee of Pacifica undertakes responsibility arising in any way from reliance placed on our report by a third party. Any reliance placed is the responsibility solely of that party.



1. Executive summary

1.1. Background to review

Community members and third parties contact Carpentaria Shire Council (Council) in various ways to make requests, report and request information, and to register concerns and complaints. The accuracy, effectiveness and timeliness of the organisation's responses impact Council's reputation and are reliant on the efficiency and effectiveness of Council's internal customer request management (CRM) and complaints handling (CH) processes.

Carpentaria Shire Council has obligations pursuant to the Local Government Act (LGA09) and Local Government Regulation (LGR12) with respect to Administrative Action Complaints. These complaints may relate to a decision, action or inaction by Council. Management recognise that Council's ongoing reputation, professionalism and performance is influenced by the organisation's effectiveness at addressing and resolving Requests for Service (CRs), minimising complaints and meeting the community's needs.

Council is investing in a new CRM system (SynergySoft) to replace the current system (InfoXpert). It is expected this will streamline the systems inefficiencies and enable re-engagement of the workforce in designing work procedures and practices that improve Officer responsiveness and accountability. It is an opportune time to assess the adequacy existence of processes for the receipt, recording, actioning, completion and reporting of such Complaints, and Customer Requests more generally.

The development, mapping and documentation of relevant processes was identified as a business improvement opportunity by management to run in line with the anticipated roll out of the SynergySoft Customer Services module. Consequently, Management have tasked Internal Audit with assessing processes and workflows to improve practice, effectiveness, efficiency and support compliance.

1.2. Summary of objective and approach

Management included this project in the 2018-2019 Internal Audit Plan to enable an independent and objective assessment of the Customer Requests Management and Complaints Handling practices to determine whether Council had effective mechanisms in place to capture, manage, action and monitor Customer Requests and formal Complaints, including the close-out and communications processes.

The scope of work for this Internal Audit project was to take a business improvement focus to support the organisation to improve the overall Customer Request and Complaints Handling service delivery at Carpentaria Shire Council.

The specific objectives, scope and approach of this project were agreed with the Chief Executive Officer and Director Corporate Services in advance of the commencement of fieldwork in November 2019. The Internal Audit work was performed in consultation with the Director Corporate Services, Customer Service Officers, and representatives of various business units tasked with actioning customer requests.

2. Overall conclusion

Overall, the Customer Request Management and Complaints Handling practices at Council, assessed through observations, interviews and testing across the organisation, was:

DEVELOPING

Control procedures exist in some form and/or are partially effective. The procedures may partially prevent or detect errors, anomalies or risks impacting the reliability and integrity of Council processes, decision-making and/or financial information, in some circumstances.

Council has embedded processes and practices for the recording and routing of Customer Requests in the Customer Request Management system. It was evident from the work performed, that business practices across the organisation could be strengthened to provide Council with greater surety that reported Customer Requests and Complaints are progressed in line with Council objectives, and that the investment in a new Customer Request Management system (SynergySoft) would yield the benefits expected.

Officers recognised that the customer request and complaints management practices at Council were still developing. Informal work practices were noted to be in place, and these appeared reasonable despite being somewhat ad hoc in nature.

At the time of fieldwork, several improvement opportunities were identified that should be examined as part of the wider change management process associated with the implementation of a new Customer Request Management and



Complaints Handling System to strengthen the underlying systems, processes and work practices to ensure they are operating consistently and reliably throughout the organisation.

A summary of the most significant improvement opportunities for management consideration noted during the Internal Audit activity were:

Customer Request Management

- Not all Customer Requests (Requests for Service) received are logged in the system
- Customer Request response timeframes could be better tailored workflow tasks
- Escalation protocols and follow-up procedures for close-out of Customer Requests require attention
- Insufficient commentary recorded in the CR task on completion and about feedback provided to the customer

Complaints Handling

- Complaints Handling – Partial Compliance to relevant regulatory requirements and best practice
- Informal processes and the use of multiple systems to record, manage, action, resolve, and close out Complaints

Detailed findings are included at Section 4 – Observations and Improvement Opportunities.

2.1. Effective work practices

As part of the review we performed process walkthroughs and limited sample testing of Council's Customer Request Management (CRM) and Complaints Handling operations, systems and work practices. The following necessary controls were found to be in place at the time of fieldwork, based on our observations and enquiries.

These controls should be retained in the transfer to the new system:

Customer Request Management:

- A quasi-centralised Customer Request Management system is in place to capture and route customer requests and complaints through to the relevant Departments or officers. All logged Requests for Service are held centrally in the InfoXpert CRM system.
- The system requires that each request logged be assigned to an officer role, business unit or work group, as a task to be actioned and resolved.
- A Customer Request 'After-Hours' service is available to the community, and instruction and information provided to the on-call operators enhances the ability to capture all relevant details at first contact.
- The system requires that each request logged generates a Request Number.
- Operations staff interviewed exhibited a strong responsibility to complete Customer Requests and resolve complaints in a timely manner. Actions to address the reported incidents are prioritised based on officer judgement and perceived severity, hazard or risk to personnel, community or property.
- Monthly reporting on Customer Request status can be produced from the CRM system.
- Customer Service Officers were confident in their role to ensure accurate and essential detail is captured at the first point of contact with the customer and were seen to possess a strong customer focus.
- Customer Service Officers are aware of and are attending online CRM training and learning business rules around dealing with customers.

Complaints Handling:

- Council's *Administrative Policy - Complaints Policy* defines a complaint distinctly from the more commonly received Requests for Service and Requests for Information that are classified as Customer Requests (CRs). The policy also establishes how Council shall interact with customers and respond to official complaints and can be readily accessed by employees and external parties.
- There are initiatives underway to enhance processes and procedures with regards to the Complaints Handling system.
- Reporting on Complaints is provided in Annual Reports as legislatively required.



3. Management acknowledgement and response

The intention and purpose of this project was to provide management with insight on the current CRM system and how it could be improved in the software transfer. It also highlights areas outside of the system where current practices, workflows and procedures required improvement as part of a holistic Customer Request Management and Complaints Handling organisational change process.

The effectiveness of the control environment outlined in this report was discussed with the Director Corporate Services at Carpentaria Shire Council at the end of fieldwork as our formal exit meeting.

Management has noted the findings, business improvement opportunities and any inherent risks associated with the control environment outlined in this report and advised that this Internal Audit Memorandum will be used as part of the business practice and procedure design elements of introducing the new system, and supporting officers with further training initiatives, especially within the Customer Service roles and Operational roles.

DRAFT

[PAGE ENDS]



4. Customer Request Management Practices - Observations and improvement opportunities complement the implementation of new software

As part of this Internal Audit project we met with customer service officers and other key personnel involved in all aspects of the Customer Request Management function and conducted analysis of information from the current system. The following matters came to our attention, which we believe require improvement in the form of predominately:

- procedure design or re-design to close identified gaps
- training and communication of expectations
- clear direction and reinforcement, and accountability for identified recalcitrant behaviour captured via enhanced monitoring controls

Observations and contributing factors

4.1 Not all Customer Requests (Requests for Service) received are logged in the system

Not all Requests for Service or Complaints received are logged in the system. The most significant contributing factors are:

- Council receives numerous types of requests and enquiries from various external parties in the normal course of business. There is a lack of clarity on whether requests that are resolved over the phone by the Customer Service Officers (CSOs) or by Officers in operational areas, need to be logged in the CRM system, if they require no further action.
- There is uncertainty as to who within the organisation should be responsible for logging a telephone-based Customer Request if the customer asks to speak with another officer directly, or the call has been transferred prematurely, and/or where the matter has been resolved by the responding officer without need for further action.
- Customers may contact Council Officers in their area or Elected Members directly (usually because of historical relationships or strong community ties) rather than use the formal Customer Service channels. There is no exclusively used workflow in place to ensure that Customer Requests received by Councillors in this manner are logged within the system. Consequently, and importantly, use of informal methods outside of the official Customer Request management channels only reinforces the community's expectation that favoured treatment can be garnered by direct contact with Council officers and Councillors outside their 'work' environments.
- Although Council does not publicly list Council employees' direct contact information for use by the community, it is possible for customers to obtain these direct contact details through their dealings with officers. This allows customers to make contact directly with Council officers to resolve their matter, bypassing the Customer Service team and point of capture for a formal Customer Request. Based on our discussions with operational personnel and high-level testing of available data, it appeared that Customer Requests coming through these unofficial channels were seldom logged in the system.

As a result of these factors, the volume, nature and status of Customer Requests (Request for Service) cannot be reliably measured, used for trending or compilation of historical comparative data, and in our view understates Council's Customer Service activity.

Recommendations:

- 4.1.1. Clarify and document Council's expectations for logging Customer Requests received, irrespective of whether a customer seeks immediate transfer to another officer. This will support officers to determine the most appropriate point to log the Customer Requests (that arise after the initial Customer Service contact) in the Customer Request Management workflow. Given the diversity of Council's operations and the nature of its workforce, these points will need to be defined to reflect specific geographical areas, business unit work methods, access to IT systems and data entry capabilities, and form clear direction to all officers and Councillors.
- 4.1.2. Identify every possible avenue that can be formalised as a standardised work practice and directed through Customer Service or web-based tools in the first instance to be logged and work-flowed for action by CSOs. Instances where this is not possible ought to be defined as exceptions on the basis that the implications of individuals accepting Customer Requests on behalf of Council, with no capacity to log them into the system, represents one of the primary risks to controlling and actioning items. Clear directions, including the responsibility for recording, communicating and logging such instances into the system should also be provided to those officers and Elected Members most exposed to such ad hoc requests from the community.
- 4.1.3. The development of procedural documentation for the Customer Request workflows and practices should clarify and provide direction to officers on what to do if customers contact them directly, and the importance of



recording the CR in the system (themselves or via referral to the CSO team). Management should consider options to block outgoing telephone and mobile numbers to minimise the opportunity for customers to make direct contact in future.

4.2 Customer Request response timeframes and tailored workflow tasks

Outside of Water & Wastewater Services, Council does not have a Customer Service Charter, or similar document to set out response timeframes and service standards the community should expect. The review indicated that these have not been set for customers, nor are those timelines communicated to customers via the website or when making direct phone or in-person contact with Council.

At Carpentaria Shire Council, the Customer Request response timeframes (also known as due date) were introduced across the organisation when the CRM system was first established and have been retained for several years. The response timeframes were established based on general information from officers who were dealing with the different types of Requests, at that time. These have not been reviewed to ensure they continue to reflect the urgency, priority and capacity of the business units to respond in the current environment.

Based on interviews and observations, we found that these response timeframes and event tasking may not:

- In some cases, reflect the actual workflows required to close a request and/or CR task's urgency, its legislative priority (mandated service level) or the business unit's capacity to deliver the requested services, and as a result cannot be adhered to routinely.
- Stipulate whether it represents the time to complete the task action, or also include the time to close-out the CR in system. Interpretations differ across the organisation and this may result in CRs remaining open in the system for excessive periods even though, in many cases, the action required to address the matter has been completed.
- Testing of Customer Requests recorded for the period 1 January 2019 to 20 November 2019 found that approximately 50% of all Customer Requests were being either closed or were still outstanding past the recommended due date – See *Table 1 – Customer Request Status* below.

There also appeared to be no performance monitoring or reporting on overdue CRs.

Recommendations:

Internal Audit strongly supports the intended management initiative to seek discussions with SynergySoft and suggests a whole of organisation review to establish the business unit specific response times, rather than the somewhat reactive and generic approach currently occurring. Specific business unit and activity response times will provide effective direction to officers and enable more valuable reporting and performance monitoring.

In addition, we recommend the following:

4.2.1 Council should consider the implementation of a Customer Service Charter. This document should set out the expectations and service levels (timelines) associated with acknowledging, actioning and responding to Customer Requests (CRs).

Once established, there is an opportunity to more actively educate customers about Council's designated response times for typical activities each time a customer makes contact. Active communication of the timeframes and when customers can reasonably expect rectification, decision or feedback will ensure customer expectations are managed, using the following channels:

- Website
- Phone or in-person (Counter) contacts – all sites that take CRs
- Councillors

4.2.2 Customise and establish formal timeframes and tailor the business unit CRM workflows to reflect the tasks and timeframes required when responding to a CRM. Distinct response timelines and customised events/workflows should be tailored to each department's work practices, where possible, as well as stipulating mandatory maximum response times for all tasks (irrespective of business unit).

4.2.3 Establish formal internal timeframes for closing-out the task in the CRM system after the action has been completed.



4.3 Escalation protocols for long-outstanding Customer Requests

Each Department at Council has a different approach to managing the administrative (non-technical) parts of the Customer Request workflows.

At the time of our review there were 61 (50%) Customer Requests (CRs) reported as being outside the specified response times. Examination of the age of long-outstanding CRs showed that the oldest task had been open since 01/02/2019 (approx. 254 days at the time of this review).

Table 1 represents all Customer Requests recorded during an 11-month period and confirms our findings. It should be noted, however, that since not all CRs are routed through InfoXpert, that data presented is not likely to be representative of all CRs received by the organisation.

At present there are no system generated reports being produced to understand and monitor CR task clearance rates, and the volume and age of open CR tasks. Further, there appeared to be no defined escalation or accountability protocols in place for those open tasks that are not addressed within reasonable timeframes. The expectations for timely completion of CRs is not formally stipulated in a Customer Service Charter (or other CR Policy), nor are the roles and responsibilities set out for those involved in the various stages of the CR process.

There is also no defined internal procedure governing the timely re-routing of incorrectly assigned CRs. The timeliness of re-routing of CRs by officers, or notification to Customer Services to do so, was not clear throughout the organisation. There may be a further opportunity to include the treatment of any incorrectly tasked CRs in the general employee induction process at Council.

Table 1 – Customer Requests received 1 January 2019 – 20 November 2019

WORKFLOW	CUSTOMER REQUEST STATUS				TOTAL
	Ontime		OVERDUE		
	#	%	#	%	
Animal Enquiries and Complaints	1	100%	0	0%	1
Water Connections	1	100%	0	0%	1
Water Meter Faults	4	67%	2	33%	6
Water Mains (burst, leaks, etc)	23	66%	12	34%	35
Sewerage Services	19	59%	13	41%	32
Council Land - Clean Up Requests	2	50%	2	50%	4
Dust Complaint	1	50%	1	50%	2
Footpaths	1	50%	1	50%	2
Sewerage Blockages	1	50%	1	50%	2
Trees or Vegetation	2	50%	2	50%	4
Water Services	3	50%	3	50%	6
Council Buildings	2	11%	17	89%	19
Airports	0	0%	2	100%	2
Building Enquiries	0	0%	1	100%	1
Complaints and Feedback	0	0%	2	100%	2
Housing Maintenance	0	0%	1	100%	1
Plumbing Enquiries	0	0%	1	100%	1
Grand Total	60	50%	61	50%	121

Management initiative:

The need to tailor the CR response timelines and promise dates for the type of service performed by Council is understood by management. Management are aware that response timelines need to be embedded in the pending roll-out of the SynergySoft Customer Services Module and, once established, reporting on overdue and outstanding CRs is expected to occur and be more reliable.

Recommendation:

Internal Audit supports the intended actions of management described above. To further strengthen the monitoring, accountability, decision-making and internal controls over Customer Requests Management at Council, we recommend that management:

- 4.3.1 In consultation with the Executive Team, develop and implement an accountability and escalation protocol for CRs that remain overdue or long-outstanding. Once established, and communicated to the organisation, task



- the Manager Finance & Administration, or delegate, with the responsibility for monitoring and escalating performance metrics for long-outstanding/overdue CRs with business units.
- 4.3.2 Develop a Customer Service Strategy/Policy with the agreed monitoring, reporting, performance management and escalation activities and roles, to ensure that those officers tasked with these duties are directed and supported. Consider documenting agreed CR response time benchmarks for the business units that recognise that the majority, but not all, CRs should be able to be resolved in the assigned timeframe.
 - 4.3.3 Through the Executive Management Team, request that business units review all long-outstanding items to prompt those that are in fact complete, to be formally closed in the system, thereby reducing the number of outstanding items and improving the reliability of those CRs reported as long-outstanding.
 - 4.3.4 Investigate the SynergySoft CRM system functionality to determine whether automatic reminders or system-initiated reports and email notification can be generated to prompt action on overdue CRs.
 - 4.3.5 When the information is a more reliable indication of the status of long-outstanding/overdue CRs, incorporate this information in monthly or quarterly reports to the Executive Management Team. In the meantime, consider reporting on all long-outstanding items, with department/business units to provide the Executive Team with visibility on these matters.
 - 4.3.6 CSOs may not be able to effectively and efficiently respond to enquiries, Requests or Complaints due to the limited proactive communication available on Council activities currently underway or planned that could impact specific customers or the wider community. This results in a greater number of matters being redirected to operations personnel rather than being resolved during the initial point of contact with the Customer Service Team. The provision of work schedules, to the customer service team, of upcoming capital works or maintenance projects and agreed programmes to achieve Council designated service levels (as these become available), would enable CSOs to have enough information to respond to queries appropriately. Consider including the treatment and timely re-routing of any incorrectly assigned CRs as part of the general employee induction.
 - 4.3.7 Once protocols and expectations have been established for an appropriate close-out process and workflow management of CR tasks in the CRM system, there may exist the ability to close-out a task in the system in advance of completing the necessary actions. The practice where a CR task can be added to a task list outside the CRM and then completed (or not), defeats the purpose of the CRM system. While the system functionality itself cannot prevent pre-emptive closure of CR Tasks, it is recommended the procedure documentation address this area and prohibit pre-emptive close-out practices.

The use of a more centralised administration approach to CR tracking and monitoring may give officers a greater awareness of the status of open CRs and make for more effective management of the administrative side of CR management and close-out by supporting administrative personnel.

4.4 Inadequate commentary recorded in the CR Task and feedback provided to the customer

While some CR tasks may be actioned appropriately, in a timely manner and fulfil Council and community expectations, our examination of the commentary recorded in the CR task fields showed that there was a tendency to record insufficient information on the action taken by officers to resolve the matter.

While feedback on the matter and the action taken by Council may have been provided to the customer, Councillor and/or complainant, this was not routinely documented in the majority of CRs examined.

Discussions with officers indicated that feedback to third parties was not always performed, despite it being expected practice. It was also evident that some officers were not utilising the CRM system as the main CR management tool and were instead using off-system methods to record CR status.

Recommendation:

To ensure a meaningful and sufficiently detailed history of events is recorded in the Customer Request Management system, it is recommended that management:

- 4.4.1 Clarify and document its expectations of officers regarding their responsibility to record actions taken and the feedback provided to the customer or complainant.

Such descriptions of actions should include items such as the name, date, time, mode of communication, what decisions were made, any evidence required, what next steps are to be taken and who is responsible.



- 4.4.2 Consider establishing a CRM key user group or similar, to reinforce the need and importance of providing feedback to customers and Councillors as part of the procedure and workflow mapping, and staff induction procedures.
- 4.4.3 Through the CRM Key User Group initiatives, if established, reinforce the importance of linking documents associated with a CR to the task/event within the CRM system.

5. Complaints Handling Practices - Observations and Improvement Opportunities

As part of this Internal Audit consulting project we also conducted a high-level examination of the Complaints Handling function managed through the Finance & Administration Unit, within Corporate Services.

Observations and contributing factors

5.1 Complaints (Management) Policy – Partial Compliance to relevant regulatory requirements

The Complaints Management Policy (Complaints Policy) at Carpentaria Shire Council, although largely appropriate to the size and nature of the organisation, has not been updated since 2012 and may not satisfy all elements of the Local Government Regulations 2012 nor some of the key benchmarks set out by the Queensland Ombudsman's Office.

It was evident from interviews, observations and our high-level comparison of Council's current Complaints Policy with the Local Government Regulations 2012 that procedure and workflow documentation could be improved to assist officers to navigate the systems and requirements for appropriate complaint handling.

As required under LGR12 s187, Council's Annual Report should include:

- Clear references to complaints management systems and communication protocols in Customer Service Standards or Charters covering the actions to be taken by Council when managing complaints in line with clear time parameters.
- Methods for seeking the feedback from customers on the complaints process, including the time taken to resolve the complaint and effectiveness of remedies provided, if any.
- Development and use of interview scripts and/or checklists for capturing complaint information completely and accurately, and to aid internal efficiency.

The Local Government Regulations 2012 S187 Administrative Action Complaints also explains that Council is required to report on any and all Administrative Action complaints for that financial year. A review of the Complaints Register indicated that eight (8) complaints from the 2017/18 Year had not been reported in the FY2018 Annual Report. Internal Audit noted that this deficiency was remedied in the 2018/19 Annual Report which included those complaints omitted from the previous year's report.

Recommendations:

To ensure that Council remains compliant with the legislation, it is recommended that management:

- 5.1.1 Formalise mechanisms to monitor the effectiveness of the complaints' management process, such as an annual internal review of a sample of complaint files as a means of self-assessment and identification of "lessons learned" to be embedded in internal procedures and communications.
- 5.1.2 Evaluate and perform trend analyses of complaints to identify systemic deficiencies and root causes, if any, and reporting mechanisms that enable the results to be communicated internally and any corrective actions to be implemented.
- 5.1.3 Publish publicly available information on the Complaints Management Process at Council that are straightforward and in plain English, such as brochures, simplified website information and flow charts (both for customers and officers).
- The accessibility of the complaints process to those with impairments, educationally disadvantaged or of non-English speaking backgrounds, as well as cross-cultural training for officers are examples of activities that demonstrate an open complaints process.
- 5.1.4 Review and update Council's *Administrative Policy - Complaints Policy* (having regard to the requirements set out in LGR2012 and Queensland Ombudsman's guidelines and Factsheets).
- 5.1.5 Undertake on, say, a quarterly or annual basis, trend or root cause analysis of repetitive complaints. Report the results and proposed corrective actions to the Executive Team to enable any required actions/initiatives to be driven through the organisation by senior management.



5.2 Informal processes and the use of multiple systems to record, manage, action, resolve, and close out Complaints

The Local Government Regulation 2012 requires Councils to monitor the effectiveness of the complaints management processes it has in place and identify, analyse and respond to trends in customer requests and/or complaints received.

Officers involved in complaints management at Carpentaria Shire Council advised that inconsistencies exist in approach to the way complaints were being lodged, recorded and managed, and this had arisen over time due to the in-house systems for managing complaints, and more generally customer requests.

Officers noted that inconsistencies arose mainly due to various methods used to capture the initial complaint and then route it through the organisation (either InfoXpert, directed by phone to relevant officer or less formal email system).

Complaints are also centrally tracked and managed by the Records & Complaints Officer on a manual Excel Complaints Register. This Register is maintained separately from the InfoXpert System and relies heavily on the Records & Complaints Officer to identify or be advised of complaints by Customer Service personnel, business units or Directors. The existing processes and systems make it difficult to ensure all complaint information is being registered; that confidentiality is preserved, and that complaint information and status/progress is up to date.

We considered the effectiveness of internal procedures for maintaining the completeness of the centrally held Complaints Register and found that:

- It was difficult to determine potentially incorrect classification of a service request (for a service deficiency) as a complaint; i.e. incorrect treatment of an issue as a complaint initially.
- Conversely, there were also instances of incorrect classification of a complaint as a service request; i.e. not treated as a complaint initially.
- Routing of Complaints directly to the Business Units for resolution may result in them not being captured on the Complaints Register by the Records & Complaints Officer.

Management initiative:

It was noted that the Records & Complaints Officer and management were aware of the difficulties experienced and the necessity for accurate reporting of complaint data in internal reports and for year-end external reporting. Advancements in the SynergySoft CRM modules are expected to be rolled out in early 2020 to allow greater integration between the modules and support more effective complaints and customer requests tracking and reporting across the organisation.

Recommendation:

Internal Audit supports Council's intended actions described above. In addition, and to further strengthen the monitoring, accountability, decision-making and internal controls over Complaints Handling at Council, we recommend the following:

- 5.2.1 Improve the centrally held, manual Complaints Register by adding a selection of fields that will enable follow-ups, correspondence and close-out timeframes (where appropriate) to be recorded and tracked.
- 5.2.2 Provide refresher training and counselling to frontline personnel to assist in distinguishing a formal official Complaint from a Service Request (where the customer is advising of a service deficiency and is dissatisfied).
- 5.2.3 Use the Complaints Register to also capture and track lower level potential Complaints that may be routed to the business units for follow-up and corrective action. This will provide an independent monitoring and support function to ensure that lower level Complaints do not escalate in severity, and are resolved quickly, fairly and efficiently by frontline personnel with the skill and confidence to do so.
- 5.2.4 Develop a workflow document to map the various ways complaints can be received in the organisation, and how each should be work-flowed and treated. As part of the workflow document, include the tasks that officers who are resolving lower level complaints must complete to both provide, and document, the response to the complainant, and record that information on the appropriate corporate system to close-out the matter. Examples have been provided to the Director Corporate Services under separate cover.

A suggestion workflow has been sent to Council under separate cover.



Appendix 1 – Customer Request Management process flow

This process flow was provided to the Director Corporate Services under separate cover.

Appendix 2 – Complaints Handling process flow

This process flow was provided to the Director Corporate Services under separate cover.

Appendix 3 – Various methods of receiving a CR

1. Official methods and workflows		
How is the CR captured?		Procedure to create in CRM system
Email to council@carpentaria.qld.gov.au by way of Council's online tool	Emails are received by records department. They record the document and task into ECM within the Customer Service area.	CSO will receive the ECM task to create CR. They then input CRM reference number in relevant field in ECM once it is created in CRM system.
Any other type of Email – even if the email is directly to an officer	Staff to register the email/documents and task to relevant workgroup's ECM in-tray.	Relevant Staff member is to create the CR and input into CRM. Ensure reference numbers for both CRM and ECM are correct
Post and Fax	Records will receive the document and register documents into ECM.	Workgroup through to ECM in-tray to the Coordinator of that workgroup to create the CR in CRM. Input CRM reference number into relevant field in ECM properties. If it is a mayoral request, then ensure the CR is clearly noted as such
Over the Counter	Staff to arrange for Records to register the documents (if applicable).	Staff member on counter is to create the CR at point of contact in CRM system. If documents are received the relevant CRM number will be recorded against ECM input.
Verbally – in person (over the counter as above) or over the phone at a Customer Services Centre	Staff to arrange for Records to register the documents (if applicable).	Staff will create CR in CRM system and route through to the relevant department.
2. Unofficial methods and workflows		
How does the CR arise and other recording method used ?		Required procedures/activities
Unmonitored Direct Telephone numbers in the Public domain	Customers calling known officers to lodge a request for service. These may be attended to without being recorded in the CRM System.	Employees and/or Councillors to direct the Customer to any of Council's official channels to lodge the CR or Complaint. Establish a procedure that ensures Councillors are informed of the progress of CRs in their division.
Work Orders	CRs are received and raised as work orders as opposed to first being captured in the CRM system.	Procedural reinforcement required to ensure all CRs that generate WOs are recorded in the CRM system as part of the procedures to also generate Work Order tasking. Use of a WO reference in the CR commentary will assist with tracking across both modules. Consider whether SynergySoft can include a field for WO reference. Ensure the CR number is also added to the WO issued to crews.
Pre-emptive Close Out of CRs to Excel Spreadsheets and other off-system records, such as Notebooks and Diaries	Officers are pre-emptively closing out CRs and managing workflows on Excel spreadsheets.	Management to direct a culture change within the organisation when SynergySoft is implemented to ensure all CRs are recorded and managed in full within the CRM system.
Email	CRs may be received via email to direct staff members. These are not recorded within the CR system and are also managed outside of the system.	All off-system methods of recording CRs (after closed on the system) should be prohibited.



Appendix 4 – Classification of internal audit findings

Pacifica has developed the following framework for internal audit severity ratings to prioritise internal audit findings according to their relative significance having regard to the potential or known impact on the organisation's business process.

Control Effectiveness Ratings

Internal Audit presents an overall assessment of the control effectiveness rating of the business processes, when considered holistically. The following is the control effectiveness rating scale:

POOR OR UNABLE TO ASSESS	Control procedures are not adequate or are not appropriately designed. The procedures will not prevent or detect errors, anomalies or risks impacting the reliability and integrity of Council processes, decision-making and/or financial information, in some circumstances.
DEVELOPING	Control procedures exist in some form and/or are partially effective. The procedures may partially prevent or detect errors, anomalies or risks impacting the reliability and integrity of Council processes, decision-making and/or financial information, in some circumstances.
FAIR	Control procedures exist and appear to be operating at some level. However, inadequacies and inconsistencies are evident. The procedures should prevent or detect non-complex or routine errors, anomalies or risks impacting the reliability and integrity of Council processes, decision-making and/or financial information, in some circumstances.
EXCELLENT	Control procedures exist and are operating effectively. The procedures appear adequate and appropriately designed to prevent or detect errors, anomalies or risks impacting the reliability and integrity of Council processes, decision-making and/or financial information, in some circumstances.

[DOCUMENT ENDS]

BUSINESS PAPERS

10.5 ABORIGINAL CULTURAL HERITAGE POLICY

Attachments: 10.5.1. Aboriginal Cultural Heritage Policy Guidelines Review
V2↓

Author: Justin Hancock - Director of Corporate Services

Date: 20 February 2020

Key Outcome: 7.3 - Strategic management of Council

Key Strategy: 7.3.1 Develop and implement local laws, policies, standards and codes in accordance with legislative requirements and ensure compliance.

Executive Summary:

The *Aboriginal Cultural Heritage Act 2003* commenced in April 2004 and this legislation acknowledges the right for Aboriginal people to be involved in the recognition, protection and conservation of their cultural heritage.

A key feature of the legislation is the creation of a statutory duty of care which requires all reasonable and practical measures be taken to avoid damaging or destroying Aboriginal Cultural Heritage. The duty is placed on any person 'carrying out an activity' which includes local governments undertaking work on land or water.

This policy was established to provide procedures and protocols to ensure that Aboriginal Cultural Heritage is protected within Carpentaria Shire and to ensure Council discharges its duty of care under the legislation.

RECOMMENDATION:

That Council adopt the Aboriginal Cultural Heritage Policy as presented.

Background:

Council has a statutory obligation to ensure that any work activities undertaken on land or water does not adversely impact on Aboriginal Cultural Heritage.

Aboriginal Cultural Heritage is defined in the legislation as anything that is:

- a) a significant Aboriginal area in Queensland; or
- b) a significant Aboriginal object; or
- c) evidence, of archaeological or historic significance, of Aboriginal occupation of an area of Queensland.

A significant Aboriginal area or object must be particularly significant to Aboriginal people because of either or both of the following:

- Aboriginal tradition;
- the history, including contemporary history, of any Aboriginal Party for the area.

This policy presented to Council for adoption defines the procedures and protocols to be followed prior to commencement of and during work activities. These procedures include:

- Issue of a Consultation Notice
 - Procedure Prior to Commencement of Council Projects
-

BUSINESS PAPERS

- Monitoring Arrangements
- Cultural Heritage Finds

In conjunction with the policy, Management Personnel involved in delivering Council projects should be conversant with the *Aboriginal Cultural Heritage Act 2003* Duty of Care Guidelines (gazetted date 16 April 2004). These guidelines identify reasonable and practicable measures for ensuring activities are managed to avoid or minimise harm to Aboriginal Cultural Heritage.

Consultation (Internal/External):

- This policy has been reviewed by senior management prior to presentation to Council for adoption.

Legal Implications:

- The *Aboriginal Cultural Heritage Act 2003* places a statutory obligation on all persons, including Council, to provide effective recognition, protection and conservation of Aboriginal Cultural Heritage.

This policy defines appropriate procedures and protocols to ensure that Council discharges its duty of care under the *Aboriginal Cultural Heritage Act 2003* and its operations/activities do not adversely impact on Aboriginal Cultural Heritage within the Shire.

Financial and Resource Implications:

- There are financial implications contained within the policy to engage Aboriginal Parties, as required, for site assessments or should a Cultural Heritage Find occur as the work activities proceed. These expenses will be included within the project budgets and therefore, should not adversely affect Council's overall budget forecasts.

Risk Management Implications:

- Ensuring that appropriate procedures and protocols are in place to protect Aboriginal Cultural Heritage will assist in mitigating any potential risks associated with Council's duty of care under the *Aboriginal Cultural Heritage Act 2003*.



Aboriginal Cultural Heritage Policy & Guidelines

Policy Details

Policy Category	Council Policy
Date Adopted	
Endorsed by	Chief Executive Officer
Approval Authority	Council
Effective Date	
Policy Version Number	2
Policy Owner	Director Corporate Services
Contact Officer	Justin Hancock
Review Date	February 2024

Supporting documentation

Legislation	<ul style="list-style-type: none"> • <i>Aboriginal Cultural Heritage Act 2003</i> • <i>Local Government Act 2009</i> • <i>Local Government Regulation 2012</i>
Policies	<ul style="list-style-type: none"> • Nil
Delegations	<ul style="list-style-type: none"> • Nil
Forms	<ul style="list-style-type: none"> • Cultural Heritage Consultation Notice
Supporting Documents	<ul style="list-style-type: none"> • <i>Aboriginal Cultural Heritage Act 2003 Duty of Care Guidelines</i>

Version History:

Version	Adopted	Comment	eDRMS #
1	27/02/2013	Council Resolution 0213/009	
2		Council Resolution	



Contents

INTENT	3
SCOPE	3
POLICY STATEMENT	3
CONSULTATION NOTICE	3
PROCEDURE PRIOR TO THE COMMENCEMENT OF COUNCIL PROJECTS	3
MONITORING ARRANGEMENTS	4
CULTURAL HERITAGE FINDS	5
DEFINITIONS	7



Intent

The purpose of this policy is to define procedures and protocols to ensure that Aboriginal Cultural Heritage is protected within Carpentaria Shire and to ensure Council discharges its duty of care under the *Aboriginal Cultural Heritage Act 2003*.

Scope

This policy applies to all work activities undertaken by Council regardless whether this work is undertaken by staff or contractors.

Policy Statement

Council recognises the potential impact that some Council activities may cause to Aboriginal Cultural Heritage. Aboriginal Cultural Heritage is protected under Commonwealth and State legislation. The *Aboriginal Cultural Heritage Act 2003 (Qld)* ("ACHA") imposes a cultural heritage duty of care on all persons who carry out an activity. The person must take all reasonable and practical measures to ensure the activity does not harm Aboriginal Cultural Heritage.

Fundamental to the main purpose of the ACHA, which is to provide effective recognition, protection and conservation of Aboriginal Cultural Heritage are the following principles —

- Recognition, protection and conservation of Aboriginal Cultural Heritage should be based on respect for Aboriginal knowledge, culture and traditional practices;
- Aboriginal people should be recognised as the primary guardians, keepers and knowledge holders of Aboriginal Cultural Heritage;
- It is important to respect, preserve and maintain knowledge, innovation and practices of Aboriginal communities and to promote understanding of Aboriginal Cultural Heritage.

Activities involved in recognition, protection and conservation of Aboriginal Cultural Heritage should be assessed for compliance with the ACHA and the Cultural Heritage Duty of Care Guidelines ("Duty of Care Guidelines")¹ because they allow Aboriginal people to reaffirm their obligation to 'law and country'.

Consultation Notice

Depending on the nature of the activity, the likelihood of its causing harm to Aboriginal Cultural Heritage and the nature of the Aboriginal Cultural Heritage likely to be harmed by the activity, Council may publish a consultation notice prior commencing work on the activity, inviting comments on any cultural heritage which may exist.

Council will aim to publish consultation notices at least 30 business days prior to commencing an activity to which the Duty of Care Guidelines apply.

Procedure Prior To The Commencement of Council Projects

Prior to the commencement of works, it is expected that the following checks and assessments have occurred—

- A search of the Cultural Heritage database and Cultural Heritage Register has been undertaken and considered. It may be sufficient that previous recent searches over the

¹ Section 23 of the *Aboriginal Cultural Heritage Act 2003*



same area have been undertaken and no changes, to the best of officers' knowledge, have occurred;

- An assessment of the works against the Cultural Heritage Duty of Care guidelines has been undertaken by Council officers.

In some cases, additional measures may be put in place depending on the nature of the works and the degree of previous disturbance which may have occurred on a site. These measures may be set out in a Cultural Heritage Agreement or Cultural Heritage Management Plan between Council and Aboriginal Parties. If such an Agreement or Plan has been entered into, the additional measures that may be included are—

- A surface inspection by Aboriginal Parties and Council officers to confirm that there is no obvious Aboriginal Cultural Heritage within the area to be disturbed by the works;
- Agreed monitoring arrangements for the initial surface disturbance and excavation work associated with the project. Council will have the sole discretion when determining whether monitors are required in order to discharge its duty of care in relation to a particular project;
- Specific agreed and documented cultural heritage finds procedures with the relevant Aboriginal parties.

The Director of the relevant area of Council that is undertaking the works is responsible for the development of a Cultural Heritage Management Plan, if applicable, in conjunction with the Chief Executive Officer. Council approval is required for any final plan.

Monitoring Arrangements

Where Council determines that monitors need to be engaged in relation to particular works, the rates set out in the table below will apply.

Item	Rate
Monitor	\$418.00 (gross) per 9 hour day and an equivalent hourly rate of \$46.44 (gross) for each hour or part thereof over 9 hours.
	\$209.00 (gross) for any period under 5 hours
Vehicle Allowance	\$200.00 per full day (more than 4 hours) (maximum 1 vehicle, inclusive of fuel)
	\$100.00 per half day (less than 4 hours) (maximum 1 vehicle, inclusive of fuel)

For clarity purposes, the rates detailed in the above table are the gross amounts payable to monitors, regardless of the hours or days engaged, and there is no provision for penalty rates to apply.

No variation of rates detailed in the above table and/or additional fees are payable unless a Council resolution is obtained in advance.

The number of monitors engaged for works will be determined by Council. Council will generally only pay for monitors to undertake initial site assessments. There may also be a need to engage monitors under the Cultural Heritage Finds Procedures set out below.

No monitoring work will be paid for by Council unless approved in advance by the relevant director and unless a purchase order has been issued for such works.

Council reserves the right to commence or proceed with works, subject to the Duty of Care Guidelines, should monitors not arrive at the nominated time for the monitoring works.



Cultural Heritage Finds

The following procedure is the process which Council will ordinarily follow when a Cultural Heritage Find (CHF) is located—

1. In the event that a CHF is made that is not of human remains, the employee or contractor will cease all work in the vicinity of the CHF and notify the Project Supervisor. The Project Supervisor will immediately ensure that a buffer zone, (being no less that a radius of 10 metres from the CHF) is established to prevent any harm or any further harm to the CHF.
2. The Supervisor will contact the Chief Executive Officer or relevant Director to obtain further direction in relation to the CHF.
3. The Chief Executive Officer or the relevant Director will contact the relevant Aboriginal Party to discuss the CHF, including a request to meet and discuss possible avoidance, relocation or other appropriate agreed options.
4. In the absence of identifying an Aboriginal Party, the Aboriginal representative body for the area, Carpentaria Land Council Aboriginal Corporation ("CLCAC"), may be contacted to obtain details of relevant Aboriginal persons for the area.
5. If a CHF which comprises human remains is found, all work in the vicinity of the CHF will cease and an appropriate buffer established. The buffer area will usually be all land within a 10 metre radius of the CHF;
6. If a CHF which comprises human remains is found, in addition to the steps set out above, the Queensland Police Service must be contacted immediately. All care should be taken to ensure that any evidence or forensic information is not further destroyed or contaminated.

Cultural Heritage Find Other Than Human Remains		
Step	Action	Responsibility
1	Council will immediately cease work in the immediate vicinity of the Cultural Heritage Find (including establishing a buffer zone).	Carpentaria Shire Council
2	Council will contact, as soon as practicable,— a) The relevant Aboriginal Party; or b) Carpentaria Land Council Aboriginal Corporation; or c) Cultural Heritage Co-ordination Unit.	Carpentaria Shire Council
3	Council is to give notice of CHF to Aboriginal Party or Carpentaria Land Council Aboriginal Corporation.	Carpentaria Shire Council
4	The Council and the Aboriginal Party will conduct a meeting after notice of the CHF is given, to discuss appropriate management arrangements.	Carpentaria Shire Council
5	Written confirmation of agreed arrangement to be exchanged.	Carpentaria Shire Council



Cultural Heritage Find Comprising of Human Remains		
Step	Action	Responsibility
1	Council will immediately cease work in the immediate vicinity of the CHF (including establishing a buffer zone) and will preserve the site and any potential evidence.	Carpentaria Shire Council
2	The Queensland Police Service (QPS) must be notified of the CHF.	Carpentaria Shire Council
3	Council will contact, as soon as practicable,— a) The relevant Aboriginal Party; or b) Carpentaria Land Council Aboriginal Corporation; or c) Cultural Heritage Co-ordination Unit.	Carpentaria Shire Council
4	Council to give notice of CHF to Aboriginal Party or Carpentaria Land Council Aboriginal Corporation.	Carpentaria Shire Council
5	Police initiate a crime scene response, preservation and forensic pathology.	Queensland Police Service
6	Cultural Heritage Coordination Unit called to attend scene.	Carpentaria Shire Council
7	Material inspection by police in conjunction with Aboriginal Party where appropriate.	Queensland Police Service and Aboriginal Party
8	If applicable, second opinion may be obtained from Police or their nominated expert.	Queensland Police Service or Nominated Expert

Determination of Human Remains		
Step	Action	Responsibility
1	Formally determined as Aboriginal remains.	Queensland Police Service
2	Likely Aboriginal remains and no suspected criminality— a) Cultural Heritage Coordination Unit contacts all relevant Aboriginal persons for immediate involvement. b) Second opinion obtained from Police or their nominated expert.	Queensland Police Service or Nominated Expert
3	Non-Aboriginal remains or suspected criminality or other doubt exists — Police to coordinate	Queensland Police Service



Definitions

TERM	DEFINITION
Aboriginal Cultural Heritage	As defined in section 8 of the <i>Aboriginal Cultural Heritage Act 2003</i> : Aboriginal cultural heritage is anything that is— a) a significant Aboriginal area in Queensland; or b) a significant Aboriginal object; or c) evidence, of archaeological or historic significance, of Aboriginal occupation of an area of Queensland.
Aboriginal Party	Is the relevant traditional owner group or their representatives.
ACHA	Refers to the <i>Aboriginal Cultural Heritage Act 2003</i> .
Council	Is the Carpentaria Shire Council including all employees, agents and contractors of Council.
Cultural Heritage Find	Includes, but is not limited to, significant Aboriginal objects, or evidence of archaeological or historic significance of Aboriginal occupation or Aboriginal human remains, found during Council works.
Harm	As defined in the <i>Aboriginal Cultural Heritage Act 2003</i> , means damage or injury to, or desecration or destruction of, the cultural heritage.
Works	Is any activity undertaken by or on behalf of Council that has the potential to harm Aboriginal Cultural Heritage.

Adopted by Council "Date" by Resolution "Number"

Mark Crawley
Chief Executive Officer

BUSINESS PAPERS

10.6 ASSET DISPOSAL POLICY

Attachments:	10.6.1. Asset Disposal Policy ↓
Author:	Justin Hancock - Director of Corporate Services
Date:	20 February 2020
Key Outcome:	7.3 - Strategic management of Council
Key Strategy:	7.3.1 Develop and implement local laws, policies, standards and codes in accordance with legislative requirements and ensure compliance.

Executive Summary:

Pursuant to the principles that underpin the Local Government Legislation, there are statutory requirements that Council is obliged to follow when disposing an asset that is no longer useful for Council operations or is surplus to requirements.

This policy has been developed in accordance with legislative requirements and provide Council staff with clear guidelines as to procedures to be followed through all stages of the asset disposal process.

RECOMMENDATION:

That Council adopts the Asset Disposal Policy as presented.

Background:

During the normal course of business operations, there will be instances when Council identifies assets that are no longer required which is the result of obsolescence or surplus to requirements. At these times it may be appropriate for Council to dispose of these assets and the disposal process will be undertaken in accordance with relevant legislation and the guidelines established in this policy.

Whilst this policy covers all Council assets, the legislation is focused on valuable non-current assets. Valuable non-current assets include any land and assets that have a market value higher than the asset recognition thresholds established by Council. These asset recognition thresholds are detailed in Council's Non-Current Asset Policy and these financial thresholds are:

Asset Class	Amount
Road Infrastructure	\$10,000
Sewerage Infrastructure	\$10,000
Water Infrastructure	\$10,000
Buildings	\$10,000
Other Infrastructure Assets	\$10,000
Land and Improvements	\$1
Plant and Equipment	\$5,000

BUSINESS PAPERS

Valuable non-current assets can only be disposed by Council through a tender process or by auction. There are certain circumstances when exceptions may apply to this legislative requirement and these exceptions are contained with section 236 of the *Local Government Regulation 2012*.

Compliance to the legislative requirements and policy guidelines will ensure that all decisions and actions undertaken in the disposal of assets will be in the public interest.

Consultation (Internal/External):

- This policy has been reviewed by senior management prior to presentation to Council for adoption.

Legal Implications:

- Section 227 of the *Local Government Regulation 2012* states that Council can only dispose of a valuable non-current asset through either a tender process or by an auction. Section 236 of the *Local Government Regulation 2012* allows in certain circumstances exceptions to this requirement. This policy provides clear guidelines to follow when disposing of valuable non-current assets which are consistent to these legislative requirements.

Financial and Resource Implications:

- There are no financial and/or resource implications with the administration of this policy.

Risk Management Implications:

- Following the guidelines established in this policy mitigates any potential risk of legislative non-compliance.



Asset Disposal Policy

Policy Details

Policy Category	Council Policy
Date Adopted	
Endorsed by	Chief Executive Officer
Approval Authority	Council
Effective Date	
Policy Version Number	2
Policy Owner	Manager Finance and Administration
Contact Officer	Jade Nacario
Review Date	February 2022

Supporting documentation

Legislation	<ul style="list-style-type: none"> Local Government Act 2009 Local Government Regulation 2012 Electrical Safety Regulation 2013
Policies	<ul style="list-style-type: none"> Code of Conduct for Councillors Code of Conduct for Employees Fraud and Corruption Prevention Policy Non-Current Asset Policy
Delegations	<ul style="list-style-type: none"> Nil
Forms	<ul style="list-style-type: none"> Nil
Supporting Documents	<ul style="list-style-type: none"> Nil

Version History:

Version	Adopted	Comment	eDRMS #
1	17/12/2016	Council Resolution 1216/011	
2			



Contents

INTENT	3
SCOPE	3
POLICY STATEMENT	3
RECOMMENDATION FOR DISPOSAL	3
VALUE OF THE ASSET	3
DISPOSAL OF ASSET – VALUE BELOW VALUABLE NON-CURRENT ASSET LIMIT	4
DISPOSAL OF ASSET – VALUE ABOVE VALUABLE NON-CURRENT ASSET LIMIT AND ANY LAND	4
PURCHASER’S RESPONSIBILITIES	5
DISPOSAL OF ELECTRICAL EQUIPMENT	5
DEFINITIONS	5



Intent

To provide a framework consistent with legislative requirements that provides clear guidelines relating to the sale or disposal of assets or materials surplus to the operational needs of Council.

Scope

This policy applies to all Council staff who are involved in any aspect of disposal of Council property or assets.

Policy Statement

During the normal course of business operations, there will be instances when Council identifies assets that are no longer required which is the result of obsolescence or surplus to requirements. At these times it may be appropriate for Council to dispose of these assets and the disposal process will be undertaken in accordance with relevant legislation and this policy.

Recommendation for Disposal

Before any asset is disposed, it is necessary to determine that it is appropriate for disposal and staff must consider the following common criteria for determining whether assets may be suitable for disposal:

- Consultation outcomes deem asset is not suitable for re-use internally
- Surplus to current or immediately foreseeable requirements
- Non-compliance to Workplace Health and Safety standards
- Unserviceable or beyond economic repair
- Technologically obsolete
- Operationally inefficient
- Part of an asset replacement program
- Contains any environmentally sensitive or hazardous material

Upon determination that an asset is suitable for disposal, staff will need to submit in writing to their Director the reasons for disposal and recommended option for disposal and obtain written approval prior to proceeding.

Value of the Asset

When disposing of an asset, the relevant value is that of the carrying value in Council's Non-Current Asset Register. If a carrying value is not available for the asset, an estimation of value of the asset should be made having regard to:-

- The potential to sell the asset
- The perceived value of the asset to a buyer
- Its age and condition
- A rapidly diminishing sale value
- Continuing insurance, registration and maintenance costs
- Potential for obsolescence
- Usefulness for future needs



All information available to determine the relevant value should be documented and retained with disposal records.

Disposal of Asset – Value Below Valuable Non-Current Asset Limit

The relevant Director will be responsible for approving the most appropriate option for disposal when the asset value is below the limit set by Council for valuable non-current assets. In doing so the following principles will guide the disposal option decision:

- The disposal method will not adversely affect the reputation of Council; and
- No individual or entity will receive an unfair advantage; and
- The disposal will maximise the return for Council.

That above does not preclude donation of the asset to a community organisation should it be determined that such a donation is in the best interest of Council and the community. To facilitate the donation the organisation will be required to:

- Affirm in writing they are an entity that carries on activities for a public purpose or that their primary object is not directed at making a profit;
- Provide written acknowledgement of receipt of the asset;
- Acknowledge that Council will not be responsible for any ongoing costs (e.g. repairs or maintenance) of the asset;
- Acknowledge that all copyright or licensed content has been removed (e.g. computer software); and
- Take responsibility for the timely removal of the asset and any associated costs that arise from the asset's removal.

Disposal of Asset – Value Above Valuable Non-Current Asset Limit and Any Land

For assets with a carrying value greater than the valuable non-current asset limit, the disposal method will be determined by the relevant Director on a case by case basis with consideration to:-

- Market forces and impact on return from the sale of the asset;
- The purchase price, lifecycle maintenance costs and remaining useful life to maximise where possible the return on investment of the asset;
- The strategic worth of the asset and its long term benefit to the community;
- Community need for the asset and alternative resources; and
- How the funds received from the disposal of the asset are to be allocated.

Section 227 of the *Local Government Regulation 2012* states that for valuable non-current assets, a contract cannot be entered into unless it first invites written tenders or is offered by for sale by auction.

The legislation also provides when exceptions to this rule may apply and these exceptions are detailed in Section 236 of the *Local Government Regulation 2012*. It should be noted that before an asset disposal can proceed by exception, a Council resolution is required.



Purchaser's Responsibilities

Irrespective of the disposal method applied, all prospective purchasers are to be advised that the assets being sold are on an "as is where is" basis and are to rely on their own due diligence investigations regarding the condition and workability of the assets for sale. Council will not be responsible for any costs upon change of ownership.

Disposal of Electrical Equipment

Staff responsible for the disposal of any electrical equipment must ensure compliance with all relevant conditions detailed in the Electrical Safety Regulation 2013 for the sale of electrical equipment prior to disposal of the asset.

All faulty electrical equipment is to be rendered physically inoperable (e.g. cut and removal; of electrical cords and plug or removal of a vital operational component) prior to disposal at the nearest transfer station or regulated recycling point.

Definitions

TERM	DEFINITION
Asset	An asset is a resource controlled by the entity as a result of past events and from which future economic benefits are expected to flow to the entity.
Community organisation	Schedule 8 of the <i>Local Government Regulation 2012</i> provides the following definition - Is an entity that carries on activities for a public purpose or an entity whose primary object is not directed at making a profit.
Surplus to Requirements	When the asset (or material) is functioning (or in use) and has economic benefit, but has no application in Council operations, or where the asset has no economic benefit (its use incurs more cost than benefit derived).
Scrap	When an asset (or material) no longer functions, is obsolete (is legally out of date), or has been deemed non-compliant by Workplace Health and Safety regulations.
Staff	Any person who has been an employee of Council (permanent, part-time and/or casual), volunteers, work experience, contractors or consultants either current or past.
Valuable Non-Current Asset	Section 224 of the <i>Local Government Regulation 2012</i> provides the following definition – Is land or another non-current asset that has an apparent value that is equal or more than a limit set by the local government.

Adopted by Council "Date" by Resolution "Number"

Mark Crawley
Chief Executive Officer

BUSINESS PAPERS

10.7 CONFIDENTIAL INFORMATION POLICY

Attachments: 10.7.1. Confidential Information Policy - POL_E_EXGC_ - Review V2 [↓](#)

Author: Justin Hancock - Director of Corporate Services

Date: 20 February 2020

Key Outcome: 7.3 - Strategic management of Council

Key Strategy: 7.3.1 Develop and implement local laws, policies, standards and codes in accordance with legislative requirements and ensure compliance.

Executive Summary:

To maintain public confidence in Council, it is imperative that both Councillors and staff respect confidential information that may come to their attention whilst undertaking their normal duties. Although local governments will endeavour to inform the public of matters under consideration and reasons for Council determinations, there is legislative requirement that Councillors and staff are to prevent the unnecessary disclosure of confidential information.

Release of confidential information, which is not required under law, has the potential to harm, prejudice or compromise the interests of Council or an external party or enable an external party to gain a financial advantage.

The revised Confidential Information Policy has been developed to assist Councillors and staff to fully understand their obligations when dealing with confidential information.

RECOMMENDATION:

That Council adopts the Confidential Information Policy.

Background:

To assist Councillors and staff discharge their confidential information obligations appropriately, the attached policy:

- defines information that would generally be considered confidential information;
- details agenda matters that may be considered necessary to discuss in a closed session of a Council meeting; and
- responsibilities of Councillors and staff to ensure that confidential information is not disclosed to external parties of Council.

It should be noted that whilst Councillors and staff will preserve the confidentiality of information obtained by Council, to the very best of their abilities, there may be instances when the law dictates the release of confidential information. In these instances, legislation will override the provisions of Council's policy.

Consultation (Internal/External):

- Senior Management have reviewed this policy prior to presentation to Council for adoption. As the content of the policy is principally to ensure that Councillors and staff comply with relevant legislative requirements, wider consultation has not been undertaken.
-

BUSINESS PAPERS

Legal Implications:

- Contained within the *Local Government Act 2009* are the principles under which Councillors and staff should perform their responsibilities. These principles include:
 - good governance of, and by, local government; and
 - ethical and legal behaviour of Councillors and local government employees.

Having a policy which outlines the requirements for Councillors and staff to fully understand their legislative obligations when dealing with confidential information ensures that the principles of the *Local Government Act 2009* are being upheld.

Financial and Resource Implications:

- There are no financial and/or resource implications in adopting this policy.

Risk Management Implications:

- Having a policy that defines the legislative requirements around the handling, security and safeguarding of confidential information and informing Councillors and staff of their responsibilities, will assist in mitigating the risk of the inadvertent releasing of information that should remain confidential.



Confidential Information Policy

Policy Details

Policy Category	Council Policy
Date Adopted	26 February 2020
Endorsed by	Chief Executive Officer
Approval Authority	Council
Effective Date	26 February 2020
Policy Version Number	2
Policy Owner	Director Corporate Services
Contact Officer	Justin Hancock
Review Date	February 2023

Supporting documentation

Legislation	<ul style="list-style-type: none"> • <i>Crime and Corruption Act 2001</i> • <i>Information Privacy Act 2009</i> • <i>Local Government Act 2009</i> • <i>Local Government Regulation 2012</i> • <i>Public Sector Ethics Act 1994</i> • <i>Right to Information Act 2009</i>
Policies	<ul style="list-style-type: none"> • Code of Conduct for Councillors • Code of Conduct for Employees • Fraud and Corruption Prevention Policy
Delegations	<ul style="list-style-type: none"> • Nil
Forms	<ul style="list-style-type: none"> • Nil
Supporting Documents	<ul style="list-style-type: none"> • Nil

Version History:

Version	Adopted	Comment	eDRMS #
1	17/09/2014	Council Resolution 1014/014	
2			



Contents

INTENT	3
SCOPE	3
POLICY STATEMENT	3
CONFIDENTIAL INFORMATION	3
CLOSED SESSION REPORTS	4
RESPONSIBILITIES OF COUNCILLORS AND STAFF	4
RELEASE OF CONFIDENTIAL INFORMATION	5
DEFINITIONS	5



Intent

To ensure that Councillors and Council staff fully understand their legislative obligations when dealing with confidential information.

Scope

This policy applies to all Councillors and Council Staff.

Policy Statement

Council operates in an environment of public accountability in which it seeks to inform the public of issues under consideration and the nature of decisions made by Council. Therefore, information should ordinarily be released to the public unless there are compelling reasons which indicate that this is not in the public interest.

At the same time, Council is conscious of the need to handle Council information in a way that promotes and maintains the public's trust and confidence in the integrity of the local government. It is accepted that Councillors and staff will be in receipt of confidential information acquired during the normal conduct of their duties with Council. It is Council's responsibility to ensure that such information is treated confidentially, so as not to harm, prejudice or compromise the interests of Council or any individual or organisation, or enable any individual or organisation to gain a financial advantage.

However, it should be noted that this policy does not override an individual Councillor's or staff statutory obligations in respect of the use of information, nor does it override Council's obligations under legislation or subordinate legislation to disclose or publish information where this is required by law. <http://www.legislation.qld.gov.au/OQPCHome.htm>.

Confidential Information

The following types of information shall be deemed to be confidential to Council unless or until Council resolves to the contrary in a particular instance:

- Commercial in confidence information — including where the release of information would affect a third party's competitive advantage; this is particularly relevant in a competitive tender situation.
- Information derived from government departments or Ministers that have been classified as confidential.
- Information of a personal nature or about personal affairs, for example the personal details of Councillors or Council staff.
- Information relating to a property disposal or acquisition process where release of the information may prejudice Council (also see section 171A of the Local Government Act 2009).
- Financial and legal analysis where the disclosure of that information may compromise Council or someone else.
- Information that could result in action being taken against Council for defamation.
- Information involving legal advice to Council or a legal issue or a matter before the courts.
- Information that is expressly given to Councillors or staff in confidence.



- Information examined or discussed at Councillor workshops or briefing sessions, unless the CEO or relevant General Manager declares that such information (or part thereof) is not confidential.
- Information examined or discussed in a Closed Council Meeting pursuant to the Local Government Regulation 2012.

It is acknowledged that some of the above classes of information may need to be disclosed from time to time for legal proceedings or in accordance with the Right to Information Act 2009 and the Information Privacy Act 2009.

Closed Session Reports

Whilst endeavouring, in the interests of public accountability, to limit the number of matters which are considered in confidential sessions, Council acknowledges that it is appropriate to consider certain matters in closed meetings.

Under Section 275 of the *Local Government Regulation 2012* Council may resolve that a meeting be closed to the public if its Councillors or members consider it necessary to close the meeting to discuss –

- the appointment, dismissal or discipline of employees; or
- industrial matters affecting employees; or
- the local government's budget; or
- rating concessions; or
- contracts proposed to be made by it; or
- starting or defending legal proceedings involving the Council; or
- any action to be taken by the Council under the Planning Act, including deciding applications made to it under that Act; or
- other business for which a public discussion would be likely to prejudice the interests of the local government or someone else, or enable a person to gain a financial advantage.

The Chief Executive Officer has the responsibility of preparing the agenda for a Council meeting. In doing that, the agenda will indicate items in open and closed session. A resolution that a meeting be closed must state the nature of the matters to be considered while the meeting is closed and the resolution (other than a procedural resolution) must not be made in a closed meeting.

Responsibilities of Councillors and Staff

Councillors and staff must make themselves aware of the types of information Council deems to be confidential and the personal responsibilities they have to ensuring there is no disclosure of this information:

- exercise due care when handling or using information acquired in their role with Council;
- acknowledge that there will be information that must be treated as confidential because to release it would reduce public trust and confidence in the integrity of the Council;
- acknowledge that disclosure of confidential information constitutes a breach of the Local Government Act 2009 and this policy, and that the individual could face personal liability for damages caused to third parties;
- if uncertain, presume information is confidential, and seek advice from the Chief Executive Officer prior to any release of it;



- undertake not to disclose, and to use their best endeavours to prevent disclosure of, confidential information to any person or organisation, specifically:
 - avoid discussing confidential Council information with family, friends and business associates; and
 - ensure documents containing confidential information are properly safeguarded at all times – including materials stored at private or business residences.

Release of Confidential Information

A breach of this policy and/or legislation in releasing confidential information by a Councillor and/or staff member will be a breach of relevant Code of Conduct and accordingly will be referred to the applicable authority to instigate any appropriate action deemed necessary.

Definitions

TERM	DEFINITION
Confidential Information	Is information generally not known by, or available upon request to, the public which: <ul style="list-style-type: none">• Identifies and relates to a particular individual; or• Carries a risk that – if released or improperly used – would cause harm to Council or a member of the community, or give an unfair advantage to someone
Councillors	Any elected representative who has held office with Council either current or past.
Council Staff	Any person who has been an employee of Council (permanent, part-time and/or casual), volunteers, work experience, contractors or consultants either current or past.
Information	Is knowledge communicated or received concerning some fact or circumstance; news and knowledge on various subjects, however acquired. Information comes in any number of forms including letters, reports/documents, facsimiles, attachments, tapes, e-mails, electronic media, and/or other forms of information including discussions during formal and informal meetings.
Personal Information	Is information or an opinion, including information or an opinion forming part of a database, whether true or not, and whether recorded in a material form or not, about an individual whose identity is apparent, or can reasonably be ascertained, from the information or opinion.

Adopted by Council "Date" by Resolution "Number"

Mark Crawley
Chief Executive Officer

BUSINESS PAPERS

10.8 FRAUD AND CORRUPTION PREVENTION POLICY

Attachments:	10.8.1. Fraud and Corruption Prevention Policy - POL_I_EXGC_010 - Review V2 ↓ 10.8.2. Fraud and Corruption Control Plan ↓
Author:	Justin Hancock - Director of Corporate Services
Date:	20 February 2020
Key Outcome:	7.3 - Strategic management of Council
Key Strategy:	7.3.1 Develop and implement local laws, policies, standards and codes in accordance with legislative requirements and ensure compliance.

Executive Summary:

The Fraud and Corruption Prevention Policy and the Fraud and Corruption Control Plan provides the necessary tools and systems to prevent, detect, respond to and report fraud and corruption within the workplace.

RECOMMENDATION:

That Council adopts the Fraud and Corruption Prevention Policy and the Fraud and Corruption Control Plan as presented.

Background:

Fraud and corruption have the capacity to severely impact on the effectiveness of Council in delivering services and adversely impact on its reputation and good standing in the community.

Over recent years there have been some notable examples of Councils being impacted by fraud and corruption and it is therefore essential to implement a robust fraud prevention and management framework that forms part of Council's day-to-day operations. This will assist in mitigating risk of exposure to fraud and corruption as well as assisting in identifying areas, projects or activities where fraudulent activity has the potential to occur.

The revised Fraud and Corruption Prevention Policy and the associated Fraud and Corruption Control Plan provides the necessary tools and systems to achieve a workplace free from illegal activities.

Consultation (Internal/External):

- The Fraud and Corruption Prevention Policy and the Control Plan are based on templates produced by the Local Government Association of Queensland in 2016. Senior Management have reviewed and endorsed these documents prior to presentation to Council for adoption.

Legal Implications:

- There are no legal implications in adopting this policy and control plan. Having a robust fraud and corruption prevention strategy will assist in reducing potential risks of illegal activity and therefore reduce costs of rectification actions.

BUSINESS PAPERS

Financial and Resource Implications:

- There may be additional work generated in monitoring and reviewing the activities as outlined in the Control Plan however, any additional costs incurred will be outweighed by the benefit of having established sound internal controls to assist with the prevention of fraud and corruption.

Risk Management Implications:

- Through the active participation of senior management and with employees understanding their responsibilities towards Fraud and Corruption Prevention will provide the organisation confidence in that any potential risks are appropriately mitigated and/or eliminated.



Fraud and Corruption Prevention Policy

Policy Details

Policy Category	Council Policy
Date Adopted	26 February 2020
Endorsed by	Chief Executive Officer
Approval Authority	Council
Effective Date	26 February 2020
Policy Version Number	2
Policy Owner	Director Corporate Services
Contact Officer	Justin Hancock
Review Date	February 2022

Supporting documentation

Legislation	<ul style="list-style-type: none"> • <i>Crime and Corruption Act 2001</i> • <i>Criminal Code Act 1899</i> • <i>Integrity Act 2009</i> • <i>Local Government Act 2009</i> • <i>Local Government Regulation 2012</i> • <i>Public Interest Disclosure Act 2010</i> • <i>Public Sector Ethics Act 1994</i> • <i>Right to Information Act 2009</i>
Policies	<ul style="list-style-type: none"> • Code of Conduct for Employees • Code of Conduct for Councillors • Risk Management Policy • Risk Management Guidelines • Complaints Management Process Policy
Delegations	<ul style="list-style-type: none"> • Nil
Forms	<ul style="list-style-type: none"> • Nil
Supporting Documents	<ul style="list-style-type: none"> • Crime and Corruption Commission – Fraud and Corruption Control Best Practice Guide • Fraud and Corruption Control Plan

Version History:

Version	Adopted	Comment	eDRMS #
1	17/06/2015	Council Resolution 0615/008	
2	26/02/2020	Council Resolution 0220/TBC	



Contents

INTENT	3
SCOPE	3
POLICY OBJECTIVE	3
INTRODUCTION	3
POLICY STATEMENT	3
FRAUD AND CORRUPTION MANAGEMENT FRAMEWORK	4
RISK ASSESSMENT	4
INTERNAL CONTROLS	4
REPORTING	4
INVESTIGATION	4
EXTERNAL REPORTING	5
PUBLIC INTEREST DISCLOSURE	5
DEFINITIONS	5



Intent

This policy defines Carpentaria Shire Council's position in relation to fraud and corruption, by:

- Acknowledging Council's obligations as a public sector entity to eradicate all instances of fraudulent and corrupt activities through appropriate control measures; and
- Establishing Council's commitment to the promotion and proper management of the fraud and corruption management framework.

Scope

This policy applies to all Councillors, Council employees, contractors and volunteers.

Policy Objective

The policy objective is to:

- Protect Council's assets and reputation
- Ensure a sound ethical culture of the Council
- Ensure senior management commitment to identify fraud risk exposures and establish procedures for prevention and detection
- Ensure Councillors and staff are aware of their responsibilities in relation to ethical conduct.

The policy outlines the appropriate actions that must be followed to increase the awareness of, and the investigation of, fraud.

Introduction

Fraud is an intentional dishonest act or omission done with the purpose of deceiving, causing actual or potential financial loss to any person or entity. It includes theft of moneys or other property by employees or persons external to the entity.

This also includes the deliberate falsification, concealment, destruction or use of falsified documentation used or intended for use for a normal business purpose or the improper use of information or position.

Corruption is a dishonest activity in which a Councillor, executive, manager, employee or contractor of an entity acts contrary to the interests of the entity and abuses his/her position of trust in order to achieve some personal gain or advantage for him or herself or for another person or entity.

Policy Statement

Council is committed to the control and elimination of all forms of fraud and corruption, and to create an ethical environment and culture that discourages and prevents fraud. Council has zero tolerance to activities related to fraud and corruption.

All staff are responsible for the prevention and detection of fraud and corruption and must comply with the Council's Fraud Policy and Fraud Control Plan.

All allegations and suspicions of fraud will receive attention. All substantiated cases will be dealt with appropriately either by criminal, disciplinary or administrative mechanisms suitable to the



particular case (having due regard for the rights of all persons, including any person reporting a fraud and of any alleged perpetrator of fraud).

Fraud and Corruption Management Framework

Council acknowledges that the Fraud Policy and accompanying Fraud Control Plan must be in place and address the ten elements of effective fraud control, identified in the Crime and Corruption Commission's publication, *Fraud and Corruption Control: Guidelines for Best Practice (2005)*.

The ten elements are:

- I. A clear and integrated suite of relevant policies
- II. Effective and continuing fraud and corruption risk management
- III. Internal controls with clear accountability and responsibility structures
- IV. Effective internal reporting systems and procedures
- V. An effective system of external notification and reporting
- VI. Robust public interest disclosure mechanisms
- VII. A clear Code of Conduct and disciplinary standards
- VIII. Comprehensive staff awareness and appropriate training programs
- IX. Competent investigation processes and standards
- X. Effective stakeholder and community awareness programs

Risk assessment

Council will undertake a fraud and corruption risk assessment at least every two years. After each review, Council will update its Fraud Control Plan.

Internal Controls

Council will maintain an internal control structure to minimise exposure to fraud and corruption. The primary mechanism for this control will be Council's Internal Control Framework, operating in conjunction with established audit and financial management practices.

Reporting

Staff must report any concerns or suspicions that they have about fraudulent or corrupt activity to their immediate Supervisor. If the staff member believes that the Supervisor may be involved in the activity, then the report must be made to a more senior person or to the Director of Corporate Services.

Concerns and suspicions must be reported as soon as possible. An employee must not attempt to investigate the matter himself/herself.

Council must ensure that any report of suspected fraud or corrupt activity is treated confidentially to the fullest extent possible under the law.

Investigation

As statutorily required, Council will investigate or otherwise formally enquire into all instances of suspected fraudulent or corrupt conduct exposed as a result of receiving an allegation or detecting fraudulent or corrupt activities.



Investigations must be in accordance with the rules of procedural fairness or natural justice.

Appropriate actions will follow these investigations, including where applicable actions to recover money or other property should a cost benefit analysis justify such action.

External Reporting

This includes reporting of fraud and recovery of proceeds of fraudulent activity to the Queensland Audit Office (QAO), Crime and Corruption Commission (CCC) and the Queensland Police Service.

By law, the Chief Executive Officer must report all allegations of fraudulent or corrupt conduct to the CCC, and the QAO as appropriate.

Public Interest Disclosure

Council acknowledges that under the *Public Interest Disclosure Act 2010*, it has obligations to any person who makes a public interest disclosure. These obligations may extend to a person who discloses fraud or corruption.

Definitions

TERM	DEFINITION
Corrupt Conduct	Conduct that involves the exercise of a person's official powers in a way that: <ul style="list-style-type: none"> • Is not honest or impartial; or • Involves a breach of trust placed in the person as a public officer, either knowingly or recklessly; or • Involves a misuse of Council assets, materials or information; and is for the purposes of providing a benefit to the person or another person or causing a detriment to another person; • Would, if proven constitute a criminal offence or is serious enough to justify a dismissal.
False Disclosure	Disclosure of information relating to fraud or corruption that is made by a person who knows the information to be false or, who is reckless as to whether it is false
Fraud	Is the misappropriation of assets, cash or property, through deliberate deception.
Public officer	Includes: <ul style="list-style-type: none"> • A Council member • A member of a Local Government body (including a subsidiary of a Council established under the Local Government Act 2009) • An employee or officer of the Council
Public Interest Disclosure	A disclosure made under the Public Interest Disclosure Act 2010 (PID Act) and includes all information and help given by the discloser to the proper authority for the disclosure.
Risk	The effect of uncertainty on objectives in consideration of fraud and corruption risk. This will generally be a negative impact.



Adopted by Council "Date" by Resolution "Number"

Mark Crawley
Chief Executive Officer



FRAUD AND CORRUPTION CONTROL PLAN

1. INTRODUCTION

The operational, financial, social and reputational impact of fraud and corruption on our organisation, and the people it supports, can be significant. Fraud and corruption can:

- Undermine the viability of Council
- Compromise the delivery of essential services to our community
- Breach the trust of stakeholders, sometimes irreparably.

Damage to Council's credibility, including the potential loss of public confidence, lower morale and/or reduced productivity and performance, may far exceed any likely financial or material loss caused.

For these reasons Carpentaria Shire Council takes a zero tolerance approach to fraud and corruption. It is important we take steps to prevent fraud and corruption from happening, supported by a hierarchy of governance and controls to build an ethical organisational culture.

2. PURPOSE

This Fraud Control Plan (Plan) provides direction and guidance to Carpentaria Shire Council officers and stakeholders on the processes for:

- Prevention of fraud and corruption;
- Detection of fraud and corruption; and
- Responding to fraud and corruption.

The Plan objectives are to:

- Promote a culture that supports prevention of fraud and corruption;
- Minimise the risk of fraud and corruption within and against the council;
- Details how Carpentaria Shire Council deals with suspected fraud and corruption through risk management practices; and
- Provide guidance on how suspected instances of fraud are managed and dealt with by Carpentaria Shire Council.

3. SCOPE

This plan applies to all Carpentaria Shire Council Councillors, employees, contractors and volunteers.

4. RESPONSIBILITIES

The Plan details the different responsibilities and accountabilities of Councillors, managers and employees within council. It requires all public officers to abide by Carpentaria Shire Council Code of Conduct, which prescribes standards of ethical conduct.

In general, Carpentaria Shire Council expects public officers will assist in preventing fraud and corruption within Council by:

- Understanding the responsibilities of their position;



- Familiarising themselves with, and adhering to, Carpentaria Shire Council policies and procedures;
- Understanding what behaviour constitutes fraudulent and/or corrupt conduct;
- Maintaining an awareness of Council strategies implemented to minimise Fraud and Corruption;
- Being continuously vigilant to the potential for fraud or corruption to occur; and
- Reporting suspected or actual occurrences of fraud or corruption in accordance with Part 6 of this Plan.

SPECIFIC RESPONSIBILITIES

Role	Responsibilities
Councillors	<p>Collectively, as the decision making body of the Council, Councillors are responsible for ensuring that Carpentaria Shire Council:</p> <ul style="list-style-type: none"> • promotes community awareness of Council's commitment to the prevention of fraud and corruption; • provides adequate security for the prevention of fraud and corruption, including the provision of secure facilities for storage of assets, and procedures to deter fraud or corruption from occurring; • provides mechanisms for receiving allegations of fraud or corruption, including ensuring a responsible officer is appointed; • ensures that, where appropriate, proper investigations are conducted into allegations that involve fraud or corruption; • makes reports of suspicions of fraud in accordance with Part 6 of this Plan and facilitates cooperation with any investigation undertaken by an external authority (such as Queensland Audit Office or the Crime and Corruption Commission); • ensures that all employees are provided with appropriate and regular training to raise awareness of their responsibilities in relation to fraud and corruption • promotes a culture and environment in which fraud and corruption is actively discouraged and is readily reported should it occur; and • undertakes a fraud and corruption risk assessment on a regular basis.
Managers	<p>Managers are responsible for:</p> <ul style="list-style-type: none"> • the oversight of the conduct of any employees whom they supervise; • any property under their control and will be held accountable for such; • reporting suspicions of fraud in accordance with Part 6 of this Plan; • creating an environment in which fraud and corruption is discouraged and readily reported by employees. This should be fostered by the manager's own attitude and behaviours to fraud and corruption and, by the accountability and integrity they both display and encourage from other employees; • ensuring that new employees for whom they are responsible are aware of their responsibilities in relation to fraud and corruption and, of the standard



	<p>of conduct expected from all employees as outlined in the Carpentaria Shire Council's Code of Conduct and Fraud Policy;</p> <ul style="list-style-type: none"> identifying potential fraud and corruption risks; and leading by example to promote ethical behaviour.
Employees	<p>Employees are responsible for:</p> <ul style="list-style-type: none"> performing their functions and duties with care, diligence, honesty and integrity; conducting themselves in a professional manner at all times; adhering to these guidelines and other Council procedures that have been established to prevent fraud or corruption; taking care of Council's property which includes avoiding the waste or misuse of Carpentaria Shire Council's resources; maintaining and enhancing the reputation of Council; remaining scrupulous in the use of Council information, assets, funds, property, goods or services; and reporting suspicions of fraud in accordance with Part 6 of this Plan.

5. FRAUD RISK ASSESSMENT

Carpentaria Shire Council's main objective in the prevention and control of Fraud and Corruption is to minimise the occurrence of Fraud and Corruption within the Council. This objective is generally achieved by:

- identifying fraud and corruption risks;
- determining strategies to control those risks; and
- defining responsibility for and, the time frame within which the strategies will be implemented.

Council will facilitate the systematic identification, analysis and evaluation of risks within its business operations. Council will maintain a fraud risk register documenting identified fraud risks and the controls that are in place to mitigate them.

The risk assessment considers the combined influences of the following factors on the activities of Council:

- the environment (both internal and external) within which Council operates ;
- the timeframe and deadlines in which Council operates; and
- an overall assessment of Council's internal controls.

Managers must be alert to the potential of fraud and corruption to occur and remain wary of factors which may leave the Council vulnerable to fraud and corruption, including:

- changes to delegations;
- implementation of cost cutting measures;
- contracting out and outsourcing;
- the impact of new technology; and
- changes to risk management practices.



6. REPORTING ALLEGATIONS OF FRAUD

Any public officer who suspects, or becomes aware of, breaches of the Code of Conduct, including fraud and corruption, should report the matter without delay to a supervisor or manager.

A number of reporting options are available, including:

- Reporting the incident to the employee's manager/supervisor;
- Reporting the incident to the Director of Corporate Services; and
- Making a Public Interest Disclosure under the *Public Interest Disclosure Act 2010*.

Officers should provide information on the alleged fraud using **Form 110 - Fraud Allegation Reporting Form** available on Council's intranet. The information provided includes:

- Details of the suspected offence, and
- Details of the suspected offender(s) where known.

Management recognises that the reporting of fraud and corruption is a sensitive issue (especially against work colleagues). To affirm the integrity of this function therefore, management will, as far as practicable, ensure the confidentiality of information provided. It will achieve this by maintaining the confidentiality of both the complainant and suspect and by avoiding rumours, morale problems and the possibility of wilful destruction of evidence. Regardless of the reporting option exercised, Council will take all practical steps to protect the welfare of the person making the report.

Carpentaria Shire Council's Disciplinary Policy governs reports of suspected or actual fraud or corruption.

An allegation by an officer of a substantial misuse of public resources may fall within the definition of a public interest disclosure (PID) and is covered by the Carpentaria Shire Council's Public Interest Disclosure (Whistleblower Protection) Policy.

VEXATIOUS, MISLEADING OR FALSE REPORTING

There could be occasion when a party may make an allegation of fraud against an employee (or contractor, volunteer, consultant or work experience student) with the intention of causing that person harm, damage or disruption.

Vexatious, misleading or false reporting can waste time and resources in investigating the matter. This can also cause the person who is subject to the allegation a significant amount of emotional trauma and stress.

Any vexatious, misleading or false reporting of any allegation of fraud will not be tolerated and will have serious consequences to the person bringing about such an allegation.

7. INVESTIGATION PROCESS

All reports, information, complaints and notifications concerning alleged fraud activity or corrupt behaviour are referred to the Director Corporate Services through the investigation process in the first instance and reviewed by Council's legal representative. The reviewer will determine, where appropriate, the proposed investigation scope and appoint an investigating officer. An investigation is then initiated and conducted by the investigating officer.

It is a reasonable and lawful workplace direction for Council to ask that employees participate in the investigation process. Witnesses are informed of their rights and obligations before an investigation,



including information about the terms of reference of the investigation, employee's legislative obligations, the investigation process, natural justice, interviews and what each party can expect from the other during an investigation.

Substantiated allegations of fraud activity or corrupt behaviour may result in formal disciplinary action including dismissal. Any allegation involving criminal offences against the Council by employees or external parties needs to be referred to the Queensland Police Service (QPS).

8. FRAUD AWARENESS

Carpentaria Shire Council recognises that the success and credibility of the Fraud Policy and Fraud Control Plan will largely depend on how effectively they are communicated throughout the organisation and beyond.

Carpentaria Shire Council will therefore, from time to time take proactive steps towards ensuring that the wider community is aware of the Council's zero-tolerance stance towards fraud and corruption.

Carpentaria Shire Council will increase community awareness by:

- promoting Council initiatives and policies regarding the control and prevention of fraud and corruption on the Council website and at Council offices;
- including guidance on their website, for both council staff and external parties, on how to report suspicions of fraud;
- making reference to fraud and corruption initiatives in the Council's Annual Report; and
- facilitating public access to all of the documents that constitute the Council's Fraud and Corruption framework.

9. ACTIONS TO PREVENT, DETECT AND, RESPOND TO FRAUD

The Plan is based on the 10-element model detailed in the Crime and Corruption Commission publication *Fraud and Corruption Control: Guidelines for Best Practice (2005)*. The ten elements are distributed along the three phases of prevention, detection and response, as shown below:

Elements	Spread across the 3 Phases as below		
	Prevention	Detection	Response
Integrated Council Policy	√		
Risk assessment	√		√
Internal Controls	√	√	√
Staff education and awareness	√		√
Public Interest Disclosures		√	
Investigations		√	
Code of Conduct	√		
Internal Reporting		√	√
External Reporting			√
Client and community awareness	√		



PHASE 1: PREVENTION OF FRAUD AND CORRUPTION

This stage outlines the frameworks, systems and processes in place across the local government to promote and support the prevention of fraud and corruption.

What		How	Who	When	
Element	Component	Action Plan	Oversight	Timeline	
Integrated Policy	Fraud Policy and Control Plan	Senior management to endorse and promote the Plan and to ensure staff awareness of the plan on an ongoing basis.	Chief Executive Officer	Every two years.	
		Include relevant staff who are involved in prevention activities in reviews of the Plan.	Chief Executive Officer	Every two years.	
Risk assessment	Risk profile and management	Consider and assess fraud and corruption risk and include in the overall Corporate Risk Register	Chief Executive Officer	Review every two years.	
Internal Controls	Corporate Governance Framework	Develop, approve, review and update various governance policies e.g. Code of Conduct, Ethics Policy, Conflict of Interest, , Public Interest Disclosure Policy, Fraud Policy, Procurement Policy, Entertainment & Hospitality Policy, Gifts Policy etc. (these are illustrations only)	Chief Executive Officer	Ongoing Suggest review policies every three years	
		Outline clear accountability and reporting responsibilities in staff position descriptions.	Chief Executive Officer		
		Where fraud risks are known to exist (e.g. procurement, capital expenditure management, payroll, travel, entertainment recruitment etc), clearly document work processes and make available to council officers.	Respective managers		
		Conduct screening of potential new employees. As a minimum all employees should be subject to referee checks, but also consider undertaking Police checks.	Human resources		
	Accountability and responsibility structures	Accountability and responsibility structures	Monitor recordkeeping for adherence to record keeping and document management policies.	Chief Executive Officer	As required
			Supervisors to monitor compliance with work procedures.	Respective managers	Ongoing
			Supervisors to ensure proper and adequate advice and support is provided to staff on procedures where needed.	Respective managers	
			Senior executives and managers to demonstrate adherence to work procedures.	Executive Leadership Team	
			Organisation chart to be kept updated and available to all officers.	Director Corporate Services/HR Manager	
			Include prevention of fraud and corruption as part of job description documentation for all staff	HR Manager/ Director Corporate Service	



		Review and update delegations register regularly.	Chief Executive Officer	Ongoing and regular
	Internal Audit	Internal Audit to regularly review governance, risk management and internal control processes, and issue and provide recommendations for improved systems.	Audit Committee	Ongoing
	Conflicts of Interest and Personal disclosures	Regularly review Conflict of Interest Policy and procedures and keep up to date.	Chief Executive Officer	Annually
		Register of Interests for councillors and senior executives must be kept up to date and disclosed where appropriate.	Chief Executive Officer and Mayor	Ongoing and regular
		All staff to make annual declarations of conflict of interests and related party transactions; and a register of interests maintained.	Human Resource Manager	Annually
	Committees and Workgroups	Form Governance committee to specifically address fraud and corruption risk (e.g. audit committee, governance & finance committee etc).	Council	Ongoing
Staff Education and awareness	Policies and procedures	Policies and procedures and other related processes and information must be made available on intranet	Chief Executive Officer	Ongoing as required
	Training and awareness	Provide appropriate training to all staff on the contents and purposes of the Fraud Policy and Fraud Control Plan	Human Resource Manager	Annually
		Corporate Plan to refer to values and ethical conduct and how the local government tracks this aspect.	Chief Executive Officer	Ongoing as required
Code of Conduct	Induction program	Provide each new employee information on fraud and corruption control.	Human Resource Manager/ Director Corporate Service	Within one month of arrival
	Staff training	Promote ethical culture and awareness of fraud and corruption prevention and controls through the code of conduct training.		Annually and when the Code is revised
	Staff performance and development	Include culture, values and an organizational understanding in the performance appraisal and performance development processes of each council employee.		Every twelve months
Supplier and Community Awareness	Policies and procedures	Include Fraud and Corruption Policy and Fraud Control Plan on the website. Keep it available for anyone who requests a copy.	Chief Executive Officer	Ongoing as required
	Training and awareness	Make external parties dealing with the local government aware of the Fraud and Corruption Policy and Plan. Publish guidance on Council website on how to make a complaint or report suspicions of fraud.	All staff and officers making procurements	
	RTI, Privacy requests and RTI Disclosure Log	Promptly actions requests for information on the plan and publish required information on website.	Chief Executive Officer	



PHASE 2: DETECTION OF FRAUD AND CORRUPTION

This stage outlines the systems and processes in place across the local government to detect and expose fraud and corruption.

What		How	Who	When
Element	Component	Action Plan	Oversight	Timeline
Internal Controls	Work processes	Each functional area should develop clearly documented work procedures which are communicated to staff. Awareness and training of workflows and work processes must be provided	Respective managers	Ongoing
		Specific functional area processes must be complied with.	Respective managers	
Public Interest Disclosures	Management of Public Interest Disclosure	Public Interest Disclosure policy and processes will be reviewed and kept updated	Chief Executive Officer	Biannual
		Management to take all reasonable steps to protect disclosers and ensure all victimisation is dealt with swiftly and appropriately	Executive Leadership Team	Ongoing
		All staff must comply with the policy and procedures	Respective managers	Ongoing
Internal Reporting	Fraud allegations	Make Fraud Allegation Reporting form readily available to all staff to allow reporting of suspicions of fraud.	Director Corporate Services	Ongoing
		Maintain appropriate register and records of all allegations received.		
	Internal audit	Ensure that the internal audit plan takes into account fraud risk incidents as reported in the Risk Register.	Audit Committee	Ongoing as required but minimum as per the Strategic Audit Plan
		Council to respond promptly to audit findings and recommendations.	Chief Executive Officer	
Informal reporting	Culture of reporting to be supported and promoted through induction, training, the intranet, organisational planning and policies and procedures.	All managers	Ongoing	
Investigations	Investigation process and procedures	Staff must report all suspected instances of misconduct to the HR Manager or Director Corporate Services or directly to the CEO	Chief Executive Officer	As required



PHASE 3: RESPONSE TO FRAUD AND CORRUPTION

This stage outlines the systems and processes in place across the local government to respond to fraud and corruption within local government and the various channels to ensure improvements or remedies for fraud and corruption.

What	How	Who	When	
Element	Component	Action Plan	Oversight	Timeline
Risk assessment and internal reporting	Fraud Incident Register	Report all alleged or proven fraud and/or corruption instances as a risk incident and record in the Fraud Incident Register.	Chief Executive Officer	Report Incident within 24 hours of identification Update Register within 48 hours of incident reporting
	Fraud Risk reporting	Risk incidents and periodical risk reports are to be used to identify risks, review risks mitigation strategies.	Chief Executive Officer/ Director Corporate Services	As required and quarterly
Investigations	Conduct investigations	Conduct investigations according to Disciplinary Policy and Procedures, Public Interest Disclosures Policy & Procedures. The HR Manager, Director of Corporate Service and the CEO will decide whether the allegation constitutes improper conduct.	Chief Executive Officer	Ongoing as required
	Report investigations	Investigation outcomes are to be supported and implemented by such means as are determined by the Senior management team	Senior Management Team	
Internal Controls	Policies and Procedures	Review policies and procedures taking into account recent risk incidents and in response to recommendations made by investigators, internal or external audit.	Chief Executive Officer	Ongoing as required
Staff education and awareness	Training/Awareness program	Reinforce awareness of internal controls/prevention mechanism through training on any new processes or procedures	Human Resource Manager	Ongoing as required
		State and reinforce Council's stance on fraud and corruption through relevant corporate communications.	Chief Executive Officer	
External reporting	Mandatory reporting	Report fraud and corruption to following agencies in line with legislation: <ul style="list-style-type: none"> Report suspected corrupt conduct, which includes fraud, to CCC Notify reportable losses to Auditor General, Minister and Police if relevant. Implement all CCC recommendations	Chief Executive Officer	Ongoing as required
	Governance publications	Report fraud prevention and control matters in Annual Report, Corporate Plan and Operational Plan.	Chief Executive Officer	Annually and as required

**Oversight - This refers to the person or group who is to ensure the item in the action plan is done, as distinct from the person or group who is responsible for actioning the item. The exception to this is a reference to "All staff" where oversight is not practical.*



10. REVIEW

The Plan will be reviewed annually. However, the following may trigger an earlier review:

- Significant fraud or corruption event affecting the local government;
- Identification of any significant trends in fraud or corruption locally or globally.

11. RESOLUTION

Adopted by Council on the 26 February 2020 by Council Resolution 0220/TBC.

Chief Executive Officer

____/____/____
Date

THIS POLICY IS TO REMAIN IN FORCE UNTIL OTHERWISE DETERMINED BY COUNCIL.

Officer responsible for review: Director Corporate Services

Current adoption: 26 February 2020

Version No: Version 1

Date for review: February 2022

BUSINESS PAPERS

10.9 INTERNAL AUDIT POLICY AND CHARTER

Attachments: 10.9.1. Internal Audit Policy - POL_I_CSA_015 - Review 2 [↓](#)
10.9.2. Internal Audit Charter - CRP_I_CSA [↓](#)

Author: Justin Hancock - Director of Corporate Services

Date: 20 February 2020

Key Outcome: 7.3 - Strategic management of Council

Key Strategy: 7.3.1 Develop and implement local laws, policies, standards and codes in accordance with legislative requirements and ensure compliance.

Executive Summary:

Section 105 of the *Local Government Act 2009* and Section 207 of the *Local Government Regulation 2012* details the responsibilities that each local government has to implement an efficient and effective internal audit function.

Internal Auditing is an independent and objective assurance and consulting function designed to assist Council in reviewing and optimising performance with regards to internal controls, processes and procedures utilised in Council operations. Ultimately this will lead to enhanced service delivery and timely achievement of Council's corporate goals and objectives.

RECOMMENDATION:

That Council adopts the Internal Audit Policy and Internal Audit Charter as presented.

Background:

Whilst legislation mandates that Council is to have an effective and efficient Internal Audit Function it is not descriptive in how this function is to perform. The Internal Audit Policy and Internal Audit Charter provides greater detail on all aspects of the function including:

- The role and purpose of internal Audit
- Organisational arrangements and independence
- Authority
- Competence, standards and conduct of Audit work
- Relationship to External Audit
- Scope of Internal Audit activities
- Responsibilities
- Internal Audit approach
- Reporting accountability
- Quality assurance
- Management's responsibilities

BUSINESS PAPERS

To achieve all that is necessary with the Internal Audit, Council engages an external supplier (accounting firm) that has the required qualified, skilled and experienced staff to undertake this important function.

Consultation (Internal/External):

- Senior Management have reviewed this policy prior to presentation to Council for adoption. As the content of the policy is principally to ensure compliance with relevant legislative requirements, wider consultation has not been undertaken.

Legal Implications:

- It is a statutory requirement for Council to have an Internal Audit function and the Internal Audit Policy and Charter demonstrates Council's compliance to its legislative obligations

Financial and Resource Implications:

- All costs associated with the Internal Audit Function are incorporated into Council's annual budget.

Risk Management Implications:

- Through the independence and objectivity of an effective Internal Audit function, it will assist deliver improved operations and simultaneously mitigate the potential risks of legislative non-compliance, modified audit opinions and inadequate corporate governance.



Internal Audit Policy

Policy Details

Policy Category	Council Policy
Date Adopted	26 February 2020
Endorsed by	Chief Executive Officer
Approval Authority	Council
Effective Date	26 February 2020
Policy Version Number	2
Policy Owner	Chief Executive Officer
Contact Officer	Chief Executive Officer
Review Date	February 2023

Supporting documentation

Legislation	<ul style="list-style-type: none">Local Government Act 2009Local Government Regulation 2012
Policies	<ul style="list-style-type: none">Risk Management Policy
Delegations	<ul style="list-style-type: none">Nil
Forms	<ul style="list-style-type: none">Nil
Supporting Documents	<ul style="list-style-type: none">Internal Audit Charter

Version History:

Version	Adopted	Comment	eDRMS #
1	18/02/2015	Council Resolution 0215/023	
2			



Contents

INTENT	3
SCOPE	3
POLICY STATEMENT	3
ORGANISATIONAL ARRANGEMENTS AND INDEPENDENCE	3
COMPETENCE, STANDARDS AND CONDUCT OF AUDIT WORK	4
AUDIT PLANNING AND CONTROL	4
INTERNAL AUDIT REPORTING PROCESS	4
ORGANISATIONAL REPORTING BY INTERNAL AUDITOR	5
DEFINITIONS	5



Intent

To ensure Council complies with all legislative requirements through the maintenance of an effective and efficient internal audit function.

Scope

This policy applies to the Council appointed Internal Auditor and all staff responsible for the internal audit function.

Policy Statement

Section 105 of the *Local Government Act 2009* and Section 207 of the *Local Government Regulation 2012* details the responsibilities that each local government has in regards to an efficient and effective internal audit function. Internal Auditing is an independent and objective assurance and consulting function designed to assist Council in achieving their corporate objectives and goals. The objective of Internal Audit is to provide management and Council with independent advice on the following:

- To review and monitor legislative compliance generally and specifically the effectiveness of any legal compliance reporting process;
- To review and monitor compliance with the Council's established policies and procedures, and recommend improvements;
- To appraise the adequacy, application and cost effectiveness of financial, administrative and operating controls;
- To examine the integrity of financial, administrative and operating systems and the accuracy of information reported;
- To examine Information Technology systems and their development to determine the efficacy of internal controls;
- To appraise and monitor the procedures and controls over external contractual relationships;
- To evaluate the effectiveness of Council's risk management and to assist with the identification and assessment of risks to which Council's operations are exposed;
- To investigate, to assist in, or be advised of any investigations where losses to Council assets have occurred or integrity issues arise;
- To examine and evaluate operational functions to maximise the economic, efficient and effective use of all Council resources;
- To consider requests for specific audit assignments from Councillors and Executive Management with due consideration to overall Council risk, availability of Internal Audit resources and impact to the approved Annual Operational Plan;
- Contribute to the overall audit requirements in regard to Council's Financial Statements.

Organisational Arrangements and Independence

The Internal Auditor (as appointed by Council) is responsible to Council, through the Chief Executive Officer, for the effective management of an independent Internal Audit function. The independent status within Council is essential to effective internal auditing and shall be maintained at all times.



The Internal Auditor has no managerial powers, authorities, functions or duties except those relating to the Internal Audit function. Accordingly, internal audit activities do not in any way relieve other personnel from their responsibilities.

To enable the effective performance of their function, the Internal Auditor has the right of access to Council's properties, works, records, accounts, correspondence, minutes and other documents that may be necessary in the conduct of a review. Council personnel may be requested to provide relevant information within a specified time frame to enable a review to be efficiently completed.

The Internal Audit responsibilities do not extend to the detailed development, implementation of, or variation to financial and administrative systems, but should be advised of any approved development or change to such systems.

Internal Audit will promote its image as a service function carrying out its responsibilities through constructive co-operation with Executive Management and personnel at all levels within Council.

Competence, Standards and Conduct of Audit Work

Internal Audit will maintain a high degree of professionalism through application of the following competency and standard requirements:

- Internal Audit personnel will be qualified to at least the minimum required for entry to the professional accounting bodies or other appropriate qualification that may be determined from time-to-time.
- Internal Audit personnel will be appropriately experienced and skilled to independently operate as effective Internal Auditors.
- An appropriate range of skills will be maintained within the function.
- Internal Audit personnel will maintain and develop competency and skills through involvement in accepted professional development programmes.
- Standards applicable to the Internal Audit function will be, as applicable, those promulgated by the Australian Professional Accounting Bodies and the Institute of Internal Auditors.
- Appropriate quality assurance and performance standards shall be met with all activities undertaken by Internal Audit.

Audit Planning and Control

Internal Audit planning shall be risk based and aligned to the Council's Corporate Plan. The risk based methodology will indicate where longer term strategic or cyclic activities are involved. In addition, the Internal Audit plan will take cognizance of the results of the previous year, advice and requests from Council and Management.

The Internal Audit Annual Work Plan shall be approved by the Chief Executive Officer in consultation with the Executive Management, consisting of the Directors and/or various Managers.

Internal Audit Reporting Process

The Internal Audit Reporting Process will comply with the section 207 of the *Local Government Regulation 2012* and as promulgated from time-to-time.



Matters arising during audits, including matters for possible inclusion in reports will, on completion of the audit, be discussed with the Manager in charge of the work function and where appropriate with the responsible Director.

Matters that can be promptly resolved without the need for formal reporting will be done so and if necessary, followed up. Details of such matters will be retained in audit working papers.

Formal reports will be issued to Council's Chief Executive Officer as soon as possible after the completion of the review. These reports will include the Manager's response to audit recommendations, the responsible officer to undertake the corrective action and the expected date that the corrective action will be completed.

Managers are required to respond to all issues within 30 working days of the formal report being issued. This is an initial response only and further work associated with particular recommendations will be negotiated with the appropriate Manager/Director as required.

The Audit Report including Management responses and actions will be presented to Council via the Chief Executive Officer.

Organisational Reporting by Internal Auditor

The Internal Auditor is directly responsible to the Chief Executive Officer and will report the results of audit reviews to the Chief Executive Officer.

Definitions

TERM	DEFINITION
Internal Audit	The assessment and evaluation of the control measures that the local government has adopted, or is to adopt, to manage the risks (<i>operational risks</i>) to which the local government's operations are exposed.

Adopted by Council "Date" by Resolution "Number"

Mark Crawley
Chief Executive Officer



CARPENTARIA SHIRE
Outback by the Sea®

INTERNAL AUDIT CHARTER

Table of Contents

1. Introduction	2
2. The Role and Purpose of Internal Audit.....	2
3. Independence and the Position of Internal Audit Function within Council.....	3
4. Authority.....	3
5. Relationship to External Audit	4
6. Scope of Internal Audit Activities	4
7. Responsibility for Detecting and Reporting Irregularities	5
8. Internal Audit Approach.....	6
9. Reporting Accountability	7
10. Management's Responsibility for Corrective Action.....	8
11. Quality Assurance	8

1. Introduction

The *Local Government Regulation 2012 (the 'Regulation')* requires that Carpentaria Shire Council establish an effective and efficient internal audit function. This Charter establishes the authority and responsibility conferred by Council on Internal Audit and incorporates the internal audit duty requirements of the Regulation). More specifically the Charter defines the function, scope, operating and reporting parameters of the internal audit activity.

2. The Role and Purpose of Internal Audit

The internal audit function is established to provide independent, objective assurance¹ and consulting² services designed to add value and improve the organization's operations. It helps the organization accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control, and governance processes.

Accordingly, audit planning must be sufficiently comprehensive to regularly audit/review all facets of Council's operations, having regard to the functions and duties imposed on Council. An effective audit function will provide Council and the Chief Executive Officer (CEO) with:

- 2.1 Management oriented appraisals of Council functions and activities to determine their appropriateness in the context, of Council objectives (including, but not restricted to accounting and financial management information, performance monitoring and control systems).
- 2.2 Reviews of the reliability of accounting and financial management, an assessment of the systems of internal control, an evaluation of compliance with relevant legislation, local law, local law policies, Council policies, operating guidelines and delegations and the protection of the assets and resources under the control of management.
- 2.3 Independent and confidential advice on action to be taken to improve operational effectiveness, efficiency and economy.
- 2.4 Follow up appraisals, where appropriate, regarding action taken by operational management as a result of audit recommendations.
- 2.5 Review of program/support plan performance criteria and performance indicators for relevance, reliability and accuracy at such other times as may be appropriate.
- 2.6 Management-oriented evaluation of programs/support plans to determine that legislation, local law, local law policies, Council policies, and program/support plan objectives and strategies remain appropriate and are being achieved; whether resources are optimally allocated across programs/support plans and optimally utilised within each program/support plan; and that the strategic management system ensures accountability of programs/support plans in line with the strategic direction as set by Council in the Corporate Plan.

¹ Assurance services involve the internal auditor's objective assessment of evidence to provide an independent opinion or conclusions regarding a process, system or other subject matter. The nature and scope of the assurance engagement are determined by the internal auditor.

² Consulting services are advisory in nature, and are generally performed at the specific request of an engagement client. The nature and scope of the consulting engagement are subject to agreement with the engagement client.

This Charter also recognises the role that the Internal Audit Function may be called upon to play as an appropriate entity under the Public Interest Disclosure Act 2010.

3. *Independence and the Position of Internal Audit Function within Council*

Internal Audit has independent status within the Council and for that purpose shall have further access to the Chief Executive Officer.

- 3.1 Shall have no executive or managerial powers, functions, authorities or duties except those relating to the management of the audit function.
- 3.2 Shall not be involved in the day to day operation of Council, nor in the internal operational checking systems of Council except those relating to the administrative and management of the audit activities.
- 3.3 Shall not be responsible for the designing, installing or maintaining systems, procedures or controls, but will advise on these matters and provide assurance to management that completed systems will contribute to the achievement of the intended corporate objectives. If, however, an officer of the Internal Audit Function is involved in the detailed development or implementation of a system, then any post implementation review should, as far as possible, be conducted by another officer of the Branch or by staff entirely independent of the Branch.
- 3.4 May have an observer/adviser status on steering committees, formed to co-ordinate financial/information systems design and implementation, at the discretion of the Chief Executive Officer.

4. *Authority*

- 4.1 Internal audit has no direct responsibility or authority over, any of the activities, which it audits. Therefore, the audits and evaluations do not in any way relieve other persons in Council of the responsibilities assigned to them.
- 4.2 Internal audit shall generally undertake projects in accordance with programs/plans approved by the Chief Executive Officer but shall also conduct such further unscheduled projects as the Chief Executive Officer considers desirable. Due consideration should also be given to the views of the Directors in regard to suitable projects. The nature and scope of each project will be left to the professional judgement of the Internal Auditor.
- 4.3 For the purpose of its function, Internal Audit is authorised to review all areas of Council and to have full, free, and unrestricted access to all Council's activities, records (both manual and electronic), property, and personnel. Council activities include entities over which Council has direct management, sponsorship or financial control.
- 4.4 All employees shall co-operate fully in making available any material or information reasonably requested by internal auditors. Further, all employees are expected to bring to the attention of the Internal Auditor any suspected situation involving improper activity or non-compliance with applicable policies, plans, procedures, laws or regulations, of which they have knowledge. The Internal Auditor will make the Chief Executive Officer aware of any such situations.
- 4.5 It is the policy of Council that all audit activities remain free of influence by any organisational elements. This will include such matters as scope of audit programs, the frequency and timing of examinations and the content of audit reports.

- 4.6 For approved areas of audit, evaluation and review, where Internal Audit does not possess all the necessary experience/skills, additional internal or external resources may be utilised subject to budgetary constraints and approval by the Chief Executive Officer.

5. Relationship to External Audit

Internal Audit shall co-operate fully with the Auditor-General and the appointed external auditor in respect of any internal audits undertaken. Working papers together with any further explanations are to be made available in order to enhance the effectiveness of the total audit coverage and to minimise duplication.

To ensure that Internal Auditor is aware of all matters associated with its functional responsibilities, the Internal Auditor is to be supplied with copies of all relevant correspondence received from External Audit and Queensland Audit Office.

6. Scope of Internal Audit Activities

- 6.1 The scope of internal auditing is to determine whether the organisation's network of governance, risk management and control processes, as designed and represented by management, is adequate and functioning in an effective manner. It includes, but is not necessarily limited to, the following:
- 6.1.1 Reviewing the reliability and integrity of financial and operating information and the means used to identify measure, classify and report such information.
 - 6.1.2 Reviewing the systems established to ensure compliance with those policies, plans, procedures, laws and regulations which could have a significant impact on operations and reports and whether the organisation is in compliance. Audit should also be pro-active in offering advice to management in regards to the implications of future legislation, policy and industry changes.
 - 6.1.3 Reviewing the means of safeguarding assets and, where appropriate, verifying the existence of such assets.
 - 6.1.4 Reviewing and appraising the economy and efficiency with which resources are employed, identify opportunities to improve operating performance, and recommend solutions where appropriate.
 - 6.1.5 Contributing to the corporate management process by assessing and reporting the relevance, reliability and adequacy of management data and performance indicators and reviewing operations or programs to ascertain whether results are consistent with established objectives and goals and whether the operations or programs are being carried out as planned.
 - 6.1.6 Co-ordinating audit work with external auditors assuring completeness of coverage, preventing a duplication of effort and ensuring the effective use of audit resources.
 - 6.1.7 Participating (in an advisory role) in the planning, design, development, implementation and operation of major computer-based systems to determine whether:

- (i) Adequate controls are incorporated in the systems
- (ii) Thorough system testing is performed at appropriate stages
- (iii) System documentation is complete and accurate
- (iv) The needs of the user are met

- 6.1.8 Conducting periodic audits of computer service centres and make post installation evaluations of major data processing systems to determine whether these systems meet their intended purposes, requirements and objectives.
- 6.1.9 Reviewing compliance with Council's guidelines for ethical business conduct and promote high standards of personal and Council performance through the promotion of a Council Code of Conduct.
- 6.1.10 Internal auditing's core role with regard to Enterprise Risk Management (ERM) is to provide objective assurance to the Council on the effectiveness of the organisation's ERM activities to help ensure key business risks are being managed appropriately and that the system of internal control is operating effectively.
- 6.1.11 Developing a Three Year Internal Audit Plan and an Annual Internal Audit Plan, based on risk analysis, and subject these to the Chief Executive Officer for review and approval. Work programs/proposals will be prepared for each audit activity or project undertaken by Internal Audit.
- 6.1.12 Conduct audit projects of Council activities as directed by the Chief Executive Officer.
- 6.1.13 Follow up the implementation of audit recommendations.
- 6.2 The scope of the internal audit function extends to include all departments, programs, sub-programs, functions, funded schemes and entities over which Council has direct management, sponsorship or financial control.
- 6.3 Any dispute as to whether an activity falls within the scope of Council's internal audit function shall be determined by the Chief Executive Officer.

7. Responsibility for Detecting and Reporting Irregularities

- 7.1 Internal Audit is not legally or professionally responsible for preventing irregularities (which include fraud, other illegal acts and errors). In order to facilitate the fraud/corruption prevention function, the Internal Auditor should be informed of any special investigation, fraud, theft or other suspected cases of misappropriation.
- 7.2 The responsibility for prevention of irregularities rests with the Chief Executive Officer and management through the implementation and continued operation of an adequate internal control system. Internal auditors are responsible for examining and evaluating the adequacy and the effectiveness of actions taken by management to fulfil this obligation.
- 7.3 However, in exercising due professional care, internal auditors should be alert to the possibility of irregularities and those conditions and activities where irregularities are most likely to occur. Due care implies reasonable care and

competence, not infallibility, nor extraordinary performance. It requires internal auditors to conduct examinations and verifications to a reasonable extent.

- 7.4 The Internal Auditor has a responsibility to report irregularities and allegations of irregularities to the Chief Executive Officer. The Chief Executive Officer will be responsible for taking appropriate investigative action and this may include a request to the Internal Auditor to investigate the matter.
- 7.5 The Chief Executive Officer is responsible for reporting any irregularities according to the provisions of the *Local Government Act 2009*, the *Crime and Corruption Act 2001* and any other statutory regulations that may come into force from time to time.

8. Internal Audit Approach

- 8.1 Internal Audit will adopt an integrated³ risk-based approach to allocating resources and planning.
- 8.2 Risk Profile, Three Year and Annual Internal Audit Plans:
- 8.2.1 Internal Audit, in consultation with management, will develop a risk profile for each area within Council so that greater audit attention can be directed to areas of higher risk.
- 8.2.2 Based on the risk assessment, the general direction of Council's internal audit activities over the medium term is to be documented in the Three Year Internal Audit Plan. This plan shall be reviewed and approved by the Chief executive Officer. The Plan will also be reviewed annually to take account of any change in circumstances.
- 8.2.3 The Annual Audit Plan projects may include financial, compliance, performance, due diligence, information systems, program evaluation, operational audits and other approaches as deemed appropriate, given the resources and also the priorities established through the risk assessment process and other more recent considerations.
- 8.3 Responsibilities and Auditing Standards⁴:
- 8.3.1 Audit will discharge its responsibilities in accordance with this document and the Standards with the proviso that this document shall be overridden by the Standards, should a conflicting interpretation arise.
- 8.3.2 Specific standards which are to be followed include:
- Audit staff must maintain an independent outlook and must ensure their independence to plan, investigate and report with honesty and objectivity.
 - Projects are to be performed by or under the control of a suitably skilled, experienced and competent person(s).

³ Combines aspects of auditing to include or excluded any aspect based on risk

⁴ Standards includes as follows:

The Institute of Internal Auditors' Standards for Professional Practice, Statement of Responsibilities, Statements on Internal Auditing Standards, and Code of Ethics.

The Information Systems Audit and Control Association's Statements on Information Systems Auditing Standards.

Carpentaria Shire Council Internal Audit Charter

- Findings and recommendations or suggestions are developed and documented with due care during the course of each engagement, such that the reporting process is expedited.
- Regular quality assurance reviews of project plans, reports and working papers are carried out.
- Information acquired during the course of work must not be used and/or conveyed for purposes outside the scope of Audit's approved responsibilities.

9. Reporting Accountability

9.1 Internal Audit Report:

- 9.1.1 A draft report shall be prepared and issued by the Internal Auditor to the appropriate Director/Manager as soon as possible after the completion of an audit project. The draft report will include comments and action plans by the operational manager⁵ where appropriate.
- 9.1.2 The appropriate Director/Manager receiving the draft audit report should respond within five (5) working days or such longer period as may be determined between the Director/Manager and the Internal Auditor. This response is to indicate what actions are to be taken or planned, a responsible officer and a timetable for the anticipated completion of these actions in regard to the specific findings and recommendations in the draft audit report.
- 9.1.3 A final audit report will be prepared and issued by the Internal Auditor to the Chief Executive Officer and will include the comments and action plans as per the response of the Director/Manager. If a response is not received by the due date Internal Audit is required to issue the draft as the final audit report with a comment in relation to the non-response.
- 9.1.4 As well as the final report to the Chief Executive Officer, copies will be provided to the relevant Director/Manager and other officers as appropriate. An indication will be given as to whether the person receiving the report should be taking action or securing action in relation to the report, or merely receiving the report for information.

9.2 The Internal Auditor may also advise the Auditor-General, Queensland Audit Office, or the Auditor-General's delegate/contractor about any audit findings as appropriate or if requested.

9.3 A summary of audit recommendations, action taken and action outstanding will be included in an Internal Audit Activities Report, to be sent on a quarterly basis

⁵ Operational Manager is the manager who is responsible for the area under audit, and in normal circumstances would be a manager of a branch (other than the Internal Audit), however it may be the department manager where the audit is across more than one branch.

to the Chief Executive Officer.

10. Management's Responsibility for Corrective Action

- 10.1 The appropriate Director/Manager is responsible for seeing that action is either planned or taken within thirty (30) working days from receipt of the final audit report on recommendations made or deficient conditions reported by auditors (internal and external). Recommendations are considered outstanding until they are implemented and/or hold a status of 'no further action required'. Any recommendations that have not been actioned within the agreed timeframe will be reported to and followed through by the Chief Executive Officer.
- 10.2 If the appropriate Director/Manager foresees difficulties implementing the recommendations within the time frame, the Director/Manager should advise Internal Audit regarding the cause of delay and the revised implementation schedule.
- 10.3 Upon implementation of the recommendations, a written report should be sent by the responsible officer to the relevant Director/Manager and a copy sent to Internal Audit.

11. Quality Assurance

- 11.1 **Audit Work:** In order to ensure that the quality of internal audit work is consistently maintained at a high standard, the Internal Auditor should establish and maintain a quality assurance program. This program is to include:
- 11.1.1. Developing a comprehensive work reporting arrangement.
 - 11.1.2. Maintaining a regular review of audit plans, reports and working papers.
 - 11.1.3. Maintaining effective communication links with the Chief Executive Officer, Directors, Managers, external auditors and the Queensland Audit Office.
 - 11.1.4. Arranging and providing ongoing staff training as appropriate.
 - 11.1.5. Issue necessary oral and written directions and maintain written policies and procedures to assist and direct staff in the performance of their duties.

BUSINESS PAPERS

10.10 RISK MANAGEMENT POLICY AND GUIDELINES

Attachments:	10.10.1. Risk Management Policy - Review V2 ↓ 10.10.2. Risk Management Guidelines ↓
Author:	Justin Hancock - Director of Corporate Services
Date:	20 February 2020
Key Outcome:	7.3 - Strategic management of Council
Key Strategy:	7.3.2 Implement integrated strategic planning approaches across Council, including efficient and effective risk management.

Executive Summary:

Council recognises and acknowledges that as a public authority it is exposed to a wide variety of risks that, if not identified and appropriately managed, could adversely impact on the organisation achieving its strategic goals and objectives.

Therefore, there is a need to instil risk management principles throughout the organisation to identify and document mitigating strategies for risks that have the potential to adversely impact on the effectiveness/efficiency on service delivery. There are many benefits in embedding and maintaining a risk management culture throughout the organisation and these benefits include:

- increased community confidence in Council through informed decision making.
- enhancing organisational reputation through sound corporate governance frameworks and prioritising corporate objectives in a systematic manner.
- ability to take advantage of and act on opportunities not previously identified.
- ability to allocate resources to risk in a knowledgeable and prioritised manner.
- integrates risk as a process and practice throughout Council, leading to efficiencies.
- promotes continual improvement.
- assists with legislative compliance and fulfilling audit requirements.
- assists with core business activities by addressing any relevant potential impacts.
- encourages proactive management and empowers employees to take responsibility for risks.

The Risk Management Policy and Risk Management Guidelines presented for adoption establishes the necessary framework for Council to implement sound and best practice risk management activities into Council's operations.

RECOMMENDATION:

That Council adopts the Risk Management Policy and Risk Management Guidelines as presented.

Background:

Council's Risk Management Policy and Risk Management Guidelines are the overarching corporate documents which provide the framework for establishing and maintaining the organisation's risk management activities into the "day to day" Council operations.

BUSINESS PAPERS

Risk management forms the crux of good management practice and effective corporate governance and is essential to ensure decisions are made with sufficient information about risks and opportunities.

Through the identification of risks, the organisation is pinpointing any threats or opportunities that impinge on its strategic goals and objectives. This in turn leads to informed decision making in the best interest of the community.

Council initially adopted the Risk Management Policy and Risk Management Guidelines in August 2015 and a review of these documents has now been completed.

Since 2015 there has not been any significant changes to risk management ideology in local government. Therefore, this review has concluded that the information, processes and procedures contained within Council's Risk Management Framework is still pertinent and appropriate to assist Council in meeting its corporate goals and objectives.

Consultation (Internal/External):

- This policy and guidelines were reviewed by senior management prior to presentation to Council for adoption.

Legal Implications:

- There are no legal implications for Council in adopting the Risk Management Policy and Guidelines.

Financial and Resource Implications:

- Through the establishment of sound risk management practices throughout the organisation will assist in mitigating potential implications to finances and resources.

Risk Management Implications:

- The Risk Management Policy and Guidelines provides a framework which enables staff to embed best practice concepts into Enterprise Risk Management activities throughout Council operations.



Risk Management Policy

Policy Details

Policy Category	Council Policy
Date Adopted	
Endorsed by	Chief Executive Officer
Approval Authority	Council
Effective Date	
Policy Version Number	1
Policy Owner	Director Corporate Services
Contact Officer	Justin Hancock
Review Date	4 years from date of adoption

Supporting documentation

Legislation	<ul style="list-style-type: none"> Local Government Act 2009 Local government Regulation 2012
Policies	<ul style="list-style-type: none"> Risk Management Guidelines
Delegations	<ul style="list-style-type: none">
Forms	<ul style="list-style-type: none"> Risk Register
Supporting Documents	<ul style="list-style-type: none"> AS/NZS ISO 31000:2009 Risk Management – Principles and Guidelines

Version History:

Version	Adopted	Comment	eDRMS #
1		Council Resolution	



Contents

INTENT	3
SCOPE	3
POLICY STATEMENT	3
OBJECTIVES	3
PRINCIPLES	3
ROLES AND RESPONSIBILITIES	4
POLICY REVIEW	5
DEFINITIONS	5



Intent

This policy outlines Council's commitment to the development and maintenance of an enterprise risk management framework.

Scope

This policy applies to all Councillors and officers of Carpentaria Shire Council who are involved in the identification and management of all risks associated with the performance of Council functions and the delivery of Council services.

Contractors, committees and volunteers engaged in the provision of Council services, or the management of Council facilities and assets, are also required to comply with this policy.

Policy Statement

Carpentaria Shire Council recognises that as a public authority it is exposed to a broad range of risks which, if not managed, could adversely impact on the organisation achieving its strategic objectives. Therefore Council will implement a systematic risk management methodology to identify and address, where practical, areas of potential risk within Council. Any methodologies adopted will be consistent with Australian and New Zealand Standard AS/NZS ISO 31000:2009 Risk Management – Principles and Guidelines.

The intent of this policy is to create an environment where Council, management and staff assume responsibility for risk management, through consistent risk management practices.

Objectives

The objectives of this policy are:

- Align Council activities to and support business objectives identified in Council's corporate and operational plans;
- Maintain and improve reliability and quality of service provided by Carpentaria Shire Council;
- Minimise or eliminate adverse impacts from Council's services or infrastructure on the community, visitors and the environment;
- Capitalise on opportunities identified in the Community and Corporate Plans for Carpentaria Shire Council;
- Safeguard Council's employees, contractors, committees, volunteers, assets, financial sustainability, property, reputation and information;
- Promote risk management principles as a strategic tool to ensure better informed decision making throughout Council; and
- Create a culture of risk management across the Council.

Principles

The following principles will be adopted to ensure that the objectives are achieved:

- Apply a risk management framework which is consistent with the current Australian and New Zealand Standard AS/NZS ISO 31000:2009 Risk Management – Principles and



Guidelines for making decisions on how best to identify, assess and manage risk throughout all departments of Council;

- Prioritise identified risks and implement treatments progressively based on the level of risk assessed and the effectiveness of the current treatments;
- Integrate risk management with existing planning and operational processes, including the Corporate Plan;
- Take into account relevant legislative requirements and political, social and economic environments in managing risks;
- Create a culture of risk awareness throughout the organisation through training, induction, promotion and risk review and reporting mechanisms; and
- Ensure resources and operational capabilities are identified and responsibility for managing risk is allocated.

Roles and Responsibilities

Council	Council is responsible for adoption of this policy and ensuring sufficient resources are applied to managing the risks identified.
Chief Executive Officer	<p>Council's Chief Executive Officer is responsible for identifying, evaluating and managing risk in accordance with this policy through a formal enterprise-wide risk management framework. Formal risk assessments must be performed at least once a year as part of the business planning and budgeting process.</p> <p>The Chief Executive Officer will report to Council annually on the progress made in implementing a sound system of risk management and internal compliance and control across Council's operations.</p>
Executive Leadership Team	<p>Council's Executive Leadership Team will perform the function of the Risk Management Committee which has oversight of developing the risk management framework and monitoring risk treatment.</p> <p>The Executive Leadership Team will ensure the risk management framework identifies high level strategic risks and aligns with the Internal Audit Plan.</p> <p>The Executive Leadership Team will ensure that the results of its reviews are provided to Council for update of the Council's risk profile as appropriate.</p> <p>The Executive Leadership Team will ensure periodic reviews of the risk management framework are carried out by Internal Audit pursuant to the Internal Audit Plan.</p> <p>Council's Executive Leadership Team is responsible for the accuracy and validity of risk information reported to the Council. In addition, it will ensure clear communication throughout the Council of the Council's and senior management's position on risk.</p>
Employees including casual staff, contractors and volunteers.	<p>All employees are responsible for management of risks within their areas of responsibility as determined under any risk treatment plans.</p> <p>Employees will be responsible for the timely completion of activities conducted routinely to ensure that employees are familiar with risk management and how it is applied within Carpentaria Shire Council.</p>
Risk Monitoring	Council utilises a number of functions, including Internal Audit, to perform independent and objective monitoring over its risk areas, including if necessary, conducting reviews over Council's operations and risk areas by external agencies.



The scope of the work undertaken by all of these functions and the reviews by external agencies, will be considered in conjunction with Council's risk profile at least annually. This will assess the independent monitoring of key risk areas within Council's risk profile.

Policy Review

This Policy will be reviewed when any of the following events occur:

- Audit reports relating to risk management activities being undertaken by Council indicate that a policy review from a legislative, compliance or governance perspective is justified;
- Relevant legislation, regulations, standards and policies are amended or replaced; and
- Other circumstances as determined from time to time by the Chief Executive Officer or through a resolution of Council.

Notwithstanding the above, this policy and Council's risk management framework will be reviewed at least annually by Council's Executive Leadership Team to review its effectiveness and to ensure its continued application and relevance.

Definitions

TERM	DEFINITION
Enterprise Risk Management	Enterprise risk management encompasses all the major risk categories (including financial, environmental, health and safety, fraud, information technology, compliance, security and business continuity) and includes the coordination, integration, consolidation and consistency of reporting by the various Council functions with identified risks.
Risk	A risk to the organisation is any action or event that has an effect of uncertainty on objectives of Carpentaria Shire Council. It is measured in terms of consequence and likelihood. Risk also arises as much from the possibility that opportunities will not be realised as it does from the possibility that threats will materialise or that errors will be made.
Risk Management	Risk management for Council refers to the culture, processes and structures developed to effectively manage potential opportunities and adverse effects for any activity, function or process undertaken by the Council. Managing risk is achieved through the systematic application of policies, procedures and practices to identify, analyse, evaluate, treat, monitor and communicate risk.
Risk Register	The risk register lists identified and assessed risks.

Adopted by Council "Date" by Resolution "Number"

Mark Crawley
Chief Executive Officer



GUIDELINES
Executive Services
Administration

RISK MANAGEMENT GUIDELINES

Version 1 Last Updated 11/08/2015

1. PURPOSE

The purpose of these guidelines is to provide Council with a framework for identifying and managing risks across the organisation.

2. SCOPE

This guideline applies to Councillors and Council staff.

Contents

1	Statement of Commitment	3
2	Introduction	3
3	Definitions	4
4	Risk Management Principles	4
5	Risk Management Framework	5
6	Basis, Roles and Responsibilities	6
7	Risk Management Process	6
7.1	Communicate and Consult	7
7.2	Establish the Context	7
7.3	Risk Assessment	7
7.3.1	Identify Risks	7
7.3.2	Analyse Risks	7
7.3.3	Evaluate Risks	10
7.3.4	Risk Register	11
7.4	Treatment of Risks	11
7.5	Monitor and Review	12
8	Recording the Risk Management Process	13
9	Reviewing the Risk Management Framework and Guidelines	13
10	Communication	13

Attachments:

Appendix A - Risk Assessment Template

Appendix B - Action Plan Template

1. STATEMENT OF COMMITMENT

The major risk for most organisations is that they fail to achieve their stated strategic business or project objectives, or are perceived to have failed by their stakeholders. Carpentaria Shire Council is committed to establishing an environment that is not unduly risk averse, but one that enables risks to be logically and systematically identified, analysed, evaluated, treated, monitored and managed. Risk is inherent in all of Council's activities and a formal and systematic process will be adopted to minimise and where possible eliminate all risks that directly or indirectly impact on the Council's ability to achieve the vision and strategic objectives outlined in the Corporate Plan.

Carpentaria Shire Council is aware that managing risk is not just about avoiding or minimising adverse outcomes, but also has a positive application, in that the proactive analysis of potential risks can also assist the organisation in achieving new and potential opportunities.

This Enterprise Risk Management Guidelines has been developed to demonstrate the Council's commitment, by detailing the integrated Risk Management framework to be employed by all staff members, contractors, committees and volunteers engaged in Council business and defining the responsibilities of individuals and committees involved in managing risk.

In addition the Guidelines have been developed to:

- Ensure risk management is an integral part of strategic planning, management and day to day activities of the organisation;
- Promote a robust risk management culture within the Council;
- Enable threats and opportunities that face the organisation to be identified and appropriately managed;
- Facilitate continual improvement and enhancement of Council's processes and systems;
- Improve planning processes by enabling the key focus of the organisation to remain on core business and service delivery;
- Encourage ongoing promotion and awareness of the risk management throughout Council.

2. INTRODUCTION

In order for Council to deliver the strategies and achieve the objectives as outlined in the Corporate Plan, Council needs to identify and manage risks. Risk is an event or action, which has the potential to prevent Carpentaria Shire Council from achieving its corporate objectives. A risk can also be defined as an opportunity that is not being maximised by the Council to meet its objectives.

Enterprise Risk Management (ERM) is the management of risk not only in conventional hazard categories such as health and safety, IT, finance, but in the full spectrum of strategic and operational risk. ERM is the structured approach of aligning strategy, processes, people, technology and knowledge with the purpose of evaluating and managing risk.

Enterprise means the removal of traditional functional, divisional, departmental or cultural barriers. Importantly having a structured approach provides guidance to managing existing and perceived risks that have potential to impact on the organisation's commitment to fulfil its business objectives.

Effective risk management is governed by an organisation's commitment to risk management and this process is outlined in Carpentaria Shire Council's Risk Management Framework and Guidelines which is in line with the Australian Standard AS/NZS ISO 31000:2009 Risk management – Principles and guidelines.

3. DEFINITIONS

Risk: A risk to the business is any action or event that has the potential to impact on the achievement of our business objectives.

Risk also arises as much from the possibility that opportunities will not be realised as it does from the possibility that threats will materialise or that errors will be made.

Risk Management: Risk management for Council refers to the culture, processes and structures developed to effectively manage potential opportunities and adverse effects for any activity, function or process undertaken by the Council. Managing risk is achieved through the systematic application of policies, procedures and practices to identify, analyse, evaluate, treat, monitor and communicate risk.

Enterprise Risk Management (ERM): Enterprise risk management encompasses all the major risk categories (including financial, environmental, health and safety, fraud, information technology, compliance, security and business continuity) and includes the coordination, integration, consolidation and consistency of reporting by the various Council functions with identified risks.

Risk Register: A list of identified and assessed risks directly related to either a particular directorate or to the whole of Council. Risk Registers can be held at either Corporate, Operational, Project or Event level.

Likelihood: The chance of something happening, whether defined, measured or determined objectively or subjectively (probability or frequency).

Consequence: The outcome of an event affecting objectives (impact/magnitude). An event can lead to a range of consequences. A consequence can be certain or uncertain and can have a positive or negative effect on objectives. Consequences can be expressed qualitatively or quantitatively.

Risk Owner: The person with the accountability and authority to manage a risk. The owner may delegate some duties in relation to managing the risks for which they are responsible, however they are ultimately accountable for the risks allocated to them.

Risk Treatment: The process to modify existing risks or create new risks. Some options for treating a risk can include: Retaining, Transferring, Sharing, Avoiding or Controlling.

Risk Treatment Action Plans: The document that outlines the steps to be taken to reduce unacceptable risks to achievable and acceptable levels. This includes details on current controls; required risk treatments; improvement opportunities; resources; timing; reporting and accountabilities. Action Plans must be reviewed on a regular basis to ensure controls are actually working.

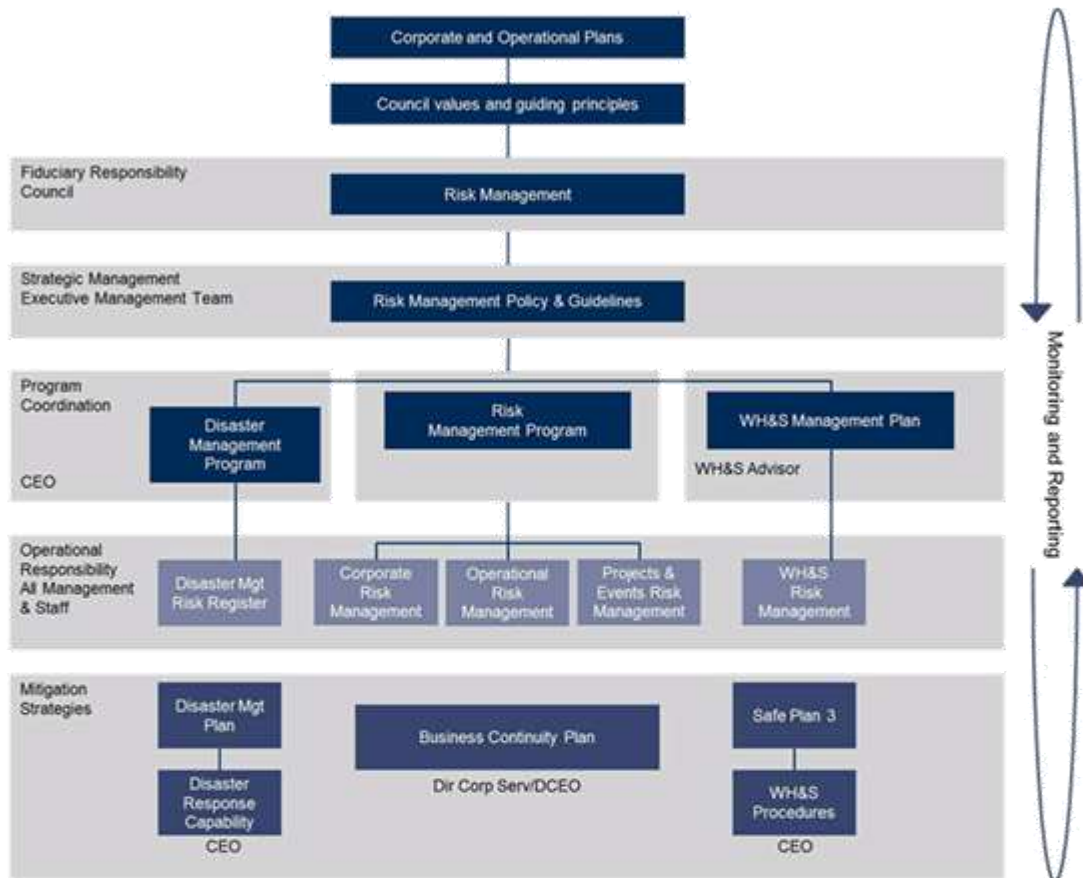
4. RISK MANAGEMENT PRINCIPLES

For risk management to be effective, an organisation should comply with the following principles.

- Risk management creates and protects value;
- Risk management is an integral part of organisational processes;
- Risk management is part of decision making;
- Risk management explicitly addresses uncertainty;
- Risk management is systematic, structured and timely;
- Risk management is based on the best available information;
- Risk management is tailored;
- Risk management takes human and cultural factors into account;
- Risk management is transparent and inclusive;
- Risk management is dynamic, iterative and responsive to change; and
- Risk management facilitates continual improvement of the organisation.

5. RISK MANAGEMENT FRAMEWORK

The Risk Management Framework explains the relationship between the Council's risk management components and other management systems and frameworks.



6. BASIS, ROLES AND RESPONSIBILITIES

Please refer to Council's Risk Management Policy (Appendix A).

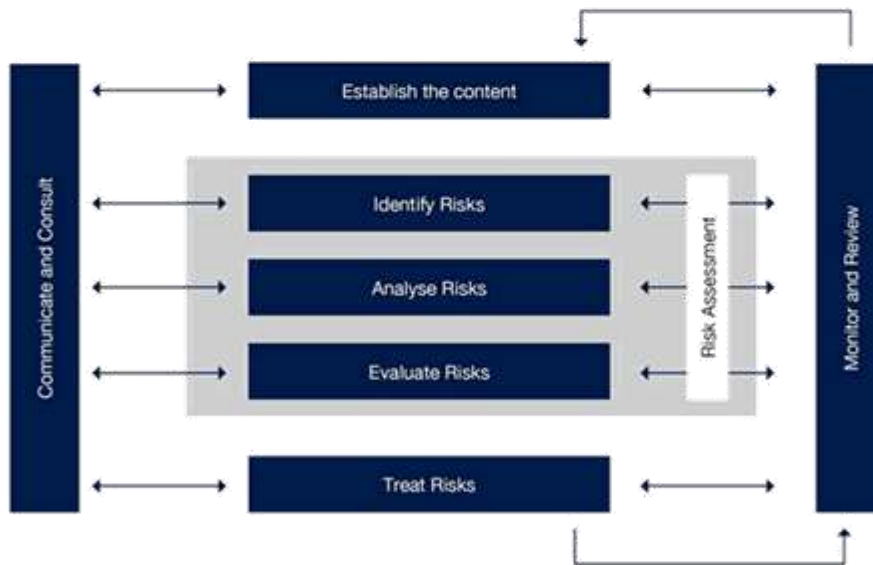
7. RISK MANAGEMENT PROCESS

The process adopted by Carpentaria Shire Council to manage risks is in accordance with *AS/NZS ISO 31000:2009 Risk Management – Principles and Guidelines*. This process is the application of the structured risk management methodology to be used to assess; prioritise; treat and monitor risks identified. The risk management process may capture inherent risk (prior to taking into account controls in place), residual risk (after taking into account controls in place), or both.

The main elements of an effective Risk Management approach are as follows:

- Communicate and Consult
- Establish the Context
- Risk Assessment
 - Identify Risks
 - Analyse Risks
 - Evaluate Risks
- Treat Risks
- Monitor and Review

The following diagram represents the components of the Risk Management process. Each of these components are explained further below.



Source: Australian/New Zealand Standard for Risk Management – AS/NZS ISO 31000:2009

COMMUNICATE AND CONSULT

It is an essential part of the risk management process to develop and implement an effective framework to communicate and consult with all relevant stakeholders, internal and external as appropriate, at each stage of the risk management process and concerning the process as a whole. The level of communication and consultation will vary depending on the level of interest and or influence of that particular stakeholder individual or group. Communication and consultation is necessary at every stage of the Risk Management process.

ESTABLISH THE CONTEXT

Stage one of the process establishes the strategic, organisational and risk management context in which the rest of the process will take place. This includes the criteria against which risk will be evaluated, the risk appetite of the organisation and corrective actions for the different rating achieved in the assessment of the risks.

In considering context, it is necessary to consider the broader external environment in which the organisation operates and not just internal matters.

A written statement of context is to be documented and communicated at the appropriate levels within the organisation.

In establishing the context for these Risk Management Guidelines, existing risk management processes were reviewed, interviews and workshops were held with key personnel and a Risk Management Policy was developed. (Refer to Appendix A for Council's Risk Management Policy).

RISK ASSESSMENT

Identify Risks

At this stage, the organisation identifies what, why and how things can arise, that may affect the organisation, as the basis for further analysis. This is done at both strategic and operational levels of the organisation.

Categories of risk for the organisation at a strategic and operational level may include, but are not limited to:

- **Safety** – injuries, lost time, LGW & LGM claims, fatalities
- **Reputation and image** – negative media exposure, staff morale, community perception
- **Assets** – damage or loss of information, property or assets
- **Environment** – impact or harm to natural environment, potential for future damages claims and EPA prosecution
- **Service Delivery** – ability to service the community and meet customer expectations
- **Regulatory** – breaches of legislation ("ignorance is no excuse")
- **Management effort** – senior management effort directed away from achieving strategic objectives and impacting on overall performance (i.e. focused on day to day tasks)

Analyse Risks

This stage determines the inherent risks and then calculates any residual risks taking into consideration any existing controls in place (existing processes and procedures). Risks are analysed in terms of consequence and likelihood in the context of those controls. The analysis will consider the range of potential risk exposure consequences and how likely those consequences are to occur. The Consequence and Likelihood are then combined to produce an estimated level of risk known as the Overall Risk Rating.

Determining Likelihood

In determining the **likelihood** of each risk, the following ratings and definitions have been applied. In making your assessment you have to remember that some events happen once in a lifetime, other can happen almost every day. Judgement is required to determine the possibility and frequency that the specific risk is likely to occur.

Likelihood Table

Rating	Description	Definition - Likelihood of Occurrence
1	Rare	Event may occur once in every 10+ years
2	Unlikely	Event may occur once in every 5 – 10 years
3	Possible	Event may occur once in every 2 – 5 years
4	Likely	Event may occur once in every 1 – 2 years
5	Almost Certain	Event may occur once (or more frequently) within one year

Determining Consequence

In determining the consequence of each risk, the following ratings and definitions have been applied. There are five levels used to determine consequence and when considering how risks may impact on the organisation it is also important to think about the non-financial elements as well.

Consequence Table

Description	Qualitative Definition - Consequence
Insignificant	An event, where the impact can be absorbed; no injuries; low financial loss
Minor	An event, the consequences of which can be absorbed but management effort is required to minimise the impact; first aid treatment; low-medium financial loss
Moderate	A significant event, which can be managed under normal circumstances; medical treatment; medium financial loss
Major	A critical event, which with proper management can be continued; extensive injuries; loss of production capability; major financial loss
Catastrophic	A disaster, which could lead to the collapse of the organisation; death; huge financial loss

Quantitative parameters have been developed (Refer Consequence Matrix) to enable the organisation to consistently assign consequence ratings to potential risks. These quantitative measures assign the organisation's risk tolerance parameters applicable to each of the five consequence levels. This approach ensures that all staff can rate the consequence of a risk occurring against the organisation's established parameters, instead of their own personal choice.

Consequence Matrix

Consequence	Rating	Operational – Business Continuity	Environmental	Information Technology	Strategic/Corporate Governance – Reputational - Political	Human Resources	Infrastructure, Asset & Property	Workplace Health & Safety	Financial and Economic
Catastrophic	5	The continuing failure of Council to deliver essential services. The removal of key revenue generation.	Widespread and irreversible environmental damage attributed by the courts to be negligent actions or incompetent actions of Carpentaria Shire Council.	Widespread, long term loss of IT network/ hardware.	Loss of State Government support with scathing criticism and removal of the Council. National media exposure. Loss of power and influence restricting decision making and capabilities.	Staff issues cause continuing failure to deliver essential services.	Widespread, long term loss of substantial key assets and infrastructure.	Fatality or significant irreversible disability.	Huge financial loss (eg. >\$250,000 of revenue or budget)
Major	4	Widespread failure to deliver several major strategic objectives and service plans. Long-term failure of Council causing lengthy service interruption.	Severe environmental impact requiring significant remedial action. Penalties and/or direction or compliance order incurred.	Widespread, short to medium term loss of IT network/ hardware.	State media and public concern/ exposure with adverse attention and long-term loss of support from Carpentaria Shire residents. Adverse impact and intervention by State Government.	Staff issues cause widespread failure to deliver several major strategic objectives and long term failure of day to service delivery.	Widespread, short to medium term loss of key assets and infrastructure.	Extensive injuries. Lost time of more than 4 working days.	Major financial loss (eg. \$100,000 to \$249,999 of revenue or budget)
Moderate	3	Failure to deliver minor strategic objectives and service plans. Temporary & recoverable failure of Council causing intermittent service interruption for a week.	Moderate impact on the environment; no long term or irreversible damage. May incur cautionary notice or infringement notice.	Short to medium term loss of key IT network/ hardware.	Significant state wide concern/ exposure and short to mid term loss of support from Carpentaria Shire residents. Adverse impact and intervention by another local government & LGAO.	Staff issues cause failure to deliver minor strategic objectives and temporary and recoverable failure of day to day service delivery.	Short to medium term loss of key assets and infrastructure.	Medical treatment. Lost time of up to 4 working days.	High financial loss (eg. \$50,000 to \$99,999 of revenue or budget)
Minor	2	Temporary and recoverable failure of Council causing intermittent service interruption for several days.	Minor environmental damage such as remote temporary pollution.	Minor loss/damage. Repairs required	Minor local community concern manageable through good public relations. Adverse impact by another local government.	Staff issues cause several days interruption of day to service delivery.	Minor loss/damage. Repairs required.	First aid treatment. No lost time.	Minor financial loss (eg. \$5,000 to \$49,999 of revenue or budget)
Insignificant	1	Negligible impact of Council, brief service interruption for several hours to a day.	Brief, non-hazardous, transient pollution or damage.	Damage where repairs are required however equipment still operational.	Transient matter, e.g. Customer complaint, resolved in day-to-day management. Negligible impact from another local government.	Staff issues cause negligible impact of day to service delivery.	Damage where repairs are required however facility or infrastructure is still operational.	No injury.	Low financial loss (eg. < \$4,999 of revenue or budget)

Determining the overall Risk rating

After the **consequence** and **likelihood** ratings have been determined they are combined in a matrix to determine the overall risk rating for each risk. The extent of the consequences and the extent of the likelihood risks will be assessed using a scale containing **Low, Moderate, High and Extreme**.

The table below illustrates how the combination of the consequence and likelihood generates the overall risk rating.

Risk Assessment Matrix

Likelihood	Rating	Consequence				
		1	2	3	4	5
		Insignificant	Minor	Moderate	Major	Catastrophic
Almost certain	5	M	H	H	E	E
Likely	4	M	M	H	H	E
Possible	3	L	M	H	H	H
Unlikely	2	L	L	M	M	H
Rare	1	L	L	M	M	H

Evaluate Risks

Risks need to be evaluated and prioritised to ensure that management effort is directed towards resolution of the most significant organisational risks first. The initial step in this Risk Evaluation stage is to determine the effectiveness, and or existence of, controls in place to address the identified risks.

The following table will assist to determine the effectiveness, and or existence of, controls in place to address the identified risks.

Control Assessment	Description
Adequate	<ul style="list-style-type: none"> The controls address the identified risk and there is little scope for improvement. There is no convincing cost/benefit justification to change the approach.
Opportunities for Improvement	<ul style="list-style-type: none"> The controls contain some inadequacies and scope for improvement can be identified. There is some cost/benefit justification to change the approach.
Inadequate	<ul style="list-style-type: none"> The controls do not appropriately address the identified risk and there is an immediate need for improvement actions. There is a significant cost/benefit justification to change the approach.

Following the process of identification, analysis and evaluation of risks and controls, the outcomes are to be communicated with all relevant stakeholders and agreements reached with the various Risk Owners prior to being documented in the Risk Register.

Risk Register

A Risk Register is developed to record and assess each risk identified as part of the risk identification stage.

The application of the stages of the risk assessment process noted above ensure there is consistency in the determination of the current risk severity level, taking into account the existing controls and their level of effectiveness in mitigating or addressing the risk. Refer to Appendix B for a Risk Register Template.

Risk Profile diagram

At the completion of the assessment process, a risk profile diagram will be developed to highlight each of the risks identified and their overall risk rating.

The risk profile diagram (Carpentaria below) will highlight to the CEO and senior executive the key risk exposures and number of risks within each rating range across the organisation. The risks will be categorised as **Extreme, High, Medium and Low** to assist management to target those risks that have the greatest potential impact on the organisation.

	Insignificant	Minor	Moderate	Major	Catastrophic
Almost Certain	0	0	1	1	0
Likely	0	0	1	2	0
Possible	0	3	1	0	1
Unlikely	2	6	14	0	2
Rare	0	3	0	0	0

TREATMENT OF RISKS

After evaluating each risk and appropriate controls, it is the responsibility of the manager to implement the suitable treatment. Treatment needs to be appropriate to the significance and priority of the residual risk. As a general guide:

- **Retain the risk** – where the risk cannot be avoided, reduced or transferred. In such cases, usually the likelihood and consequence are low. These risks should be monitored and it should be determined how losses, if they occur, will be funded.
- **Transfer the risk** – involves shifting all or part of the responsibility to another party who is best able to control it (such as an insurer who bears the consequence of losses e.g. Motor vehicle insurance for Council vehicles).
- **Avoid the risk** – decide not to proceed with the policy, program or activity or choose an alternative means of action.
- **Control the risk** – by either reducing the likelihood of occurrence or the consequences e.g. Implement procedures for specified tasks.

Determine the most effective treatment options by considering the:

- Cost/benefit of each option including the cost of implementation (do not consider financial considerations only; organisational, political, social and environmental factors should also rank)
- Use of proven risk controls
- Anticipated level of risk remaining after implementation of risk treatment. The final acceptance of this risk will be a matter for the appropriate Director to decide.

Once treatment options for individual risks have been selected, they should be assembled into action plans, risk treatment plans or strategies. The outcome of an effective risk treatment plan is knowledge of the risks Council can tolerate and a system that minimises those risks that it cannot tolerate.

The decision to accept a risk will be determined by the agreed table indicating proposed corrective action and the risk appetite criteria established by the Council. For Carpentaria a Low risk is accepted and only requires monitoring should circumstances change. For other risks, a specific management plan may be required to be developed and implemented which may include consideration of funding. Risk treatment strategies need also be considered to ensure that no new risks are introduced.

The approach for treatment of risks is:

Risk Level	Action Required
Extreme	<ul style="list-style-type: none"> • Develop specific management plan for immediate implementation to address extreme risks • Allocate actions and budget for implementation within quarterly budget reviews • Report immediately to executive management team. Regular internal reporting required
High	<ul style="list-style-type: none"> • Develop and implement a specific management plan for high risks • Allocate actions and budget to minimise risk. Monitor implementation • Report to executive management team within the half yearly budget review. Regular internal reporting
Moderate	<ul style="list-style-type: none"> • Develop and implement a specific management plan for medium risks • Allocate actions and budget to minimise risk where existing controls deemed inadequate. Monitor implementation • Report to executive management team within the annual budget review • Management to consider additional controls. Report within the quarter
Low	<ul style="list-style-type: none"> • Accept and Monitor low-priority risks • Manage via routine procedures where possible. Monitor via normal internal reporting mechanisms

Escalation Plan

We will introduce procedures for notifying the appropriate persons according to the risk rating, in particular where a risk may escalate due to changed or unforeseen circumstances.

Reports on risk ratings and associated escalation plans will be provided throughout the organisation to assist all staff in managing risk.

MONITOR AND REVIEW

This stage establishes a process to monitor and review the performance of the risk management system implemented and changes that might affect the performance or give rise to new risks that will require assessment.

Both monitoring and reviewing should be a planned part of the risk management process and tailored to the needs of the organisation and the significance of the risks identified. It should be undertaken on at least an annual basis.

The continual process of monitoring and reviewing is required to ensure ongoing effective risk treatments and the continual improvement of the risk management standards.

- **Monitoring** – assess whether current risk management objectives are being achieved. Council can use inspections, incident reports, self-assessments and audits to monitor its risk management plan.

- **Review** – assess whether the current risk management plan still matches Carpentaria Shire Council's risk profile. The risk management plan may be reviewed by studying incident patterns, legislative changes and organisational activities.

Possible methods for review:

- Internal check program/audit or independent external audit;
- External scrutiny (appeal tribunal, courts, commission of inquiry);
- Physical inspection;
- Program evaluation; and
- Reviews of organisational policies, strategies and processes.

When completing the review process, it is important the context in which the original risk was developed is reassessed. The review should also be informed by reports and recent events and include consideration of:

- Completeness of the register;
- Continued existence of controls;
- Adequacy of controls;
- Risk ratings;
- Treatment strategies;
- Risk owner; and
- Risk review date.

8. RECORDING THE RISK MANAGEMENT PROCESS

Each stage of the Risk Management process must be recorded appropriately. All Risk Assessments and Risk Treatment Action Plans must be documented, retained and easily accessible for future reference. Even if a risk is assessed to be Low and a decision is taken to do nothing, the reasoning that led to the decision must be recorded.

9. REVIEWING THE RISK MANAGEMENT FRAMEWORK AND GUIDELINES

In order to ensure that the risk management process is effective and continues to support the organisation's performance, all aspects of the risk management process will be periodically reviewed.

The Risk Management Framework and Guidelines, Risk Management Policy and Risk Registers will be reviewed to ensure that they are still appropriate and continue to reflect the organisation's risk activities and tolerances.

Based on the results of monitoring and reviews, decisions will be made on how the Risk Management Framework can be improved. These improvements should lead to improvements in the management of risk and its risk management culture.

10. COMMUNICATION

The Risk Management Framework and Guidelines, Risk Management Policy, Risk Registers and associated documents and procedures will be held in a secure central repository and will be accessible to stakeholders according to their authority levels.

The existence, nature and location of the central repository will be shared with staff at all levels to encourage their awareness of how the organisation is managing its risks.

Following reviews of the Framework and Guidelines as specified any changes will be communicated to the relevant Risk Owners and other stakeholders to ensure that the Enterprise Risk Management process remains dynamic and relevant.

APPENDIX B

Risk Management Action Plan Template

Risk ID No	Description	Risk Event What might happen?	Source of Risk How might the risk arise?	Risk Treatment What can be done to avoid the risk, control, transfer or finance the risk?	Resources Required What physical, human or financial resources required	Performance Measure How will you know the risk treatment is working?	Timeline	Responsibility Name and position

Reviewing Officer: _____ Date: _____

Comments: _____

BUSINESS PAPERS

10.11 APPROVAL TO KEEP ANIMAL - MORE THAN TWO DOGS - HOLLAND

Attachments:	10.11.1. Keeping of Animals - Holland ↓
Author:	Justin Hancock - Director of Corporate Services
Date:	20 February 2020
Key Outcome:	7.2 - Responsive and efficient customer service delivery
Key Strategy:	7.2.2 Work collaboratively across Council to provide effective, efficient and coordinated outcomes.

Executive Summary:

The purpose of *Subordinate Local Law No. 2 (Animal Management) 2015* local law is to supplement Local Law No. 2 (Animal Management) 2015, which provides for regulation of the keeping and control of animals within the local government's area.

RECOMMENDATION:

That Council accept and approve the application to keep more than two (2) dogs for the property located at 48A Green Street, Normanton (L102 N14851).

Background:

An application was received on 17 February 2020 requesting the approval to keep more than two (2) dogs on the following property:

Property Address:	48A Green Street, Normanton
Parcel:	L102 N14851
Land Size:	1,012 m2

The applicant has requested that three (3) dogs are to be located on the premises above, details of the animals are as follows:

Animal Name	Dusty	Murray	Sweetie
Breed	Bull Mastiff	Cross Breed	Cross Breed
Age	2 Years	10 Months	7 Months
Microchipped	Yes	Yes	Yes
Desexed	No	No	No
Declared/ Dangerous	No	No	No
Tag No	200420	200372	200373
Registration Expiry	30/06/2020	30/06/2020	30/06/2020

BUSINESS PAPERS

Section 6 of *Subordinate Local Law No. 2 (Animal Management) 2015* outlines circumstances in which keeping animals requires approval, for Dog's approval is required for the keeping of 3 or more dogs over the age of 3 months on an allotment in a designated town area.

Schedule 4 of *Subordinate Local Law No. 2 (Animal Management) 2015* outlines the minimum standards for keeping of a dog/s, a person who keeps an animal on premises must:

- (a) *ensure that the animal is adequately identified so that the owner's name, address and telephone number are readily ascertainable; and*
- (b) *ensure that waste water from enclosures are drained in a nuisance free manner and that run-off is kept off adjoining premises or as otherwise directed by an authorised person; and*
- (c) *ensure that excreta, food scraps and other material that is, or is likely to become, offensive is collected at least daily and, if not immediately removed from the premises, is kept in a waste container of a kind approved by an authorised person; and*
- (d) *ensure that any enclosure in which the animal is kept is properly maintained in—*
 - (i) *a clean and sanitary condition; and*
 - (ii) *an aesthetically acceptable condition; and*
- (e) *take all reasonable steps to prevent the animal from making a noise or disturbance that causes a nuisance; and*
- (f) *ensure that the area available to the animal kept on the premises is appropriately sized so that the animal can be effectively and comfortably kept.*

Council's Local Laws Officer inspected the property on 17 February 2020 and did not identify any standards currently not being met in order to keep an animal/s on the premises. Council's LLO also inspected the premises for potential noise complaints from neighbours and identified the risk as low due to the location of the property.

Consultation (Internal/External):

- Chief Executive Officer – Mark Crawley
- Local Laws Officer – Phil Grieve

Legal Implications:

- As per standards outlined in Council's Subordinate Local Law No. 2 (Animal Management) 2015 and Animal Management (Cats and Dogs) Act 2008.

Financial and Resource Implications:

- A permit fee of \$220.00 will be due and payable if the permit is granted.

Risk Management Implications:

- Low Risk – Inspections and assessment undertaken by LLO.

Form 204 - Keeping of Animals

Local Law No 2 (Animal Management) 2015



CARPENTARIA SHIRE

*Outback by the Sea**

Postal Address
PO Box 31
Normanton QLD 4890

Executive Services
Ph: 07 4745 2200
Fax: 07 4745 1340

Internet
www.carpentaria.qld.gov.au
council@carpentaria.qld.gov.au

Note: Please allow up to 14 days for processing and issue of approval.

- New Approval
 Change of Details

Section A - Approval Sought

- More than two (2) Dogs.
 More than two (2) Cats.
 More than one (1) Horse or Donkey.
 One (1) or more Cow(s) or Bull(s).
 One (1) or more Sheep, goat, alpaca or llama.
 One (1) or more roosters.
 More than twenty (20) poultry.
 One (1) or more deer.
 One (1) or more pig(s).
 More than five (5) ducks or geese.

- Yes - Desexed and Tattooed *2 are*
 No *1 isn't (Sweetie)*

Section B - Animal Details

Name:

Sweetie

DOB:

July 2019

Age:

8-9 mths

Primary Colour:

white

Secondary Colour:

Blue merle patch over eye/face

Other Distinguishing Marks/Features:

1 eye 1/2 brown + 1/2 blue + 1 eye gray

Breed:

Bull Arab / Catahoula

Male

Female

NLIS tag/Brand/Microchip Number:

Council rego no: - 200373

microchip number provided to council

Section C - Animal Address

- As Above

Address:

48 A Green Street

Town/Suburb:

Normanton

Post Code:

4890

Section D - Regulated Dogs (only if applicable)

- Dangerous Dog
 Menacing Dog
 Restricted Dog (Contact Council for Restricted Dog applications)

Approval Number:

Section E - Authorisation

I hereby apply declare that the information I have provided is true and correct to the best of my knowledge.

Full Name:

Nicola Holland

Signature:

[Handwritten Signature]

Date:

17.2.2020

Note: please allow up to 14 business days for Council to process your application. When your application has been processed, the registration tag/s and/or approval will be sent to your postal address.

Section F - Office Use Only

Tag Number:

- Application Fee Paid - Receipt Number:

Processing Officer:

Date:

BUSINESS PAPERS

10.12 REPLACE GOODS ISSUE BOOKS & REVIEW COUNCIL'S CORPORATE CREDIT CARD POLICY

Attachments:	10.12.1. Corporate Credit Card Policy ↓
Author:	Nicole Jones - Senior Procurement & Purchasing Officer
Date:	19 February 2020
Key Outcome:	7.3 - Strategic management of Council
Key Strategy:	7.3.3 Implement sustainable financial management and effective procurement practices.

Executive Summary:

Council wishes to explore options to replace the Goods Issue Book (GIB). In doing this, it was identified that Council's Corporate Credit Card Policy be reviewed as Council may need to increase its overall limit for Council's credit facility.

RECOMMENDATION:

That Council:

- adopt the updated Corporate Credit Card Policy as presented or amended at this meeting. With the main update to increases Council's overall limit for Council's credit facility to \$50,000.00; and
- discontinues the use of Goods Issue Books and indorse issuing staff in key roles with corporate credit cards as well as increasing the use of a petty cash system at various Council locations as proposed below.

Corporate Credit Cards			
Current		Proposed	
Card Holder	Limit	Card Holder	Limit
Mayor	\$10,000.00	Mayor	\$5,000.00
CEO	\$10,000.00	CEO	\$10,000.00
DCS	\$7,000.00	DCS	\$5,000.00
MHR	\$5,000.00	DOE	\$5,000.00
GMT	\$5,000.00	MHR	\$5,000.00
		GMT	\$2,000.00
		Works Coordinator	\$2,000.00
		Works Senior Foreman	\$2,000.00
		Town Foreman	\$1,000.00
		KBA Leading Hand	\$1,000.00
		KBA Senior WTPO	\$1,000.00
		NTN Senior WTPO	\$1,000.00
		Electrician	\$1,000.00
		Carpenter	\$1,000.00
		Plumber	\$1,000.00

BUSINESS PAPERS

		Workshop Foreman	\$1,000.00
Total Credit	\$37,000.00	Total Credit	\$44,000.00

Petty Cash Facility			
Current		Proposed	
Holder	Limit	Holder	Limit
NTN Admin Office	\$300.00	NTN Admin Office	\$300.00
		NTN Depot Office	\$300.00
		NTN Library & VIC	\$300.00
		NTN Sports Centre	\$300.00
		NTN Childcare Centre	\$300.00
		KBA Civic Centre	\$300.00
		KBA Barra Discovery Centre	\$300.00
		KBA Library & VIC	\$300.00
		KBA Pool	\$300.00
Total Cash	\$300.00	Total Cash	\$2,700.00

Background:

Council has provided local businesses with a Goods Issued Books (GIB) where all employees are able to purchase goods up to \$250 without financial delegation and prior authorisation from a supervisor or manager.

When booking goods onto a GIB, employees are required to fill in the GIB while at the store. They are to provide the date, item description, job number, their payroll number and signature.

There are several key issues as to why Council is wanting to replace the GIB. Some of which are:

- Processing is time consuming for both Council and the local supplier. In some instances, it's months before local suppliers receive payment, which can be difficult for small business to carry such liability.
- This process is no longer viable due to more effective and efficient methods being available.
- There is a high rate of staff booking goods to incorrect job numbers, this in turn prolongs payment to supplier and therefor requires adjustment journals to rectify, this can also be time consuming.
- It has been reported in numerous audit reports that this process is in breach of Council's Procurement Policy.

Option consideration and discussion was given to:

BUSINESS PAPERS

1. Leave current GIB processes in place.
2. Adopt that key staff be issued with corporate credit cards.
3. Purchase orders are generated for the purchase of all goods and services.
4. Stores to stock additional interdental items.
5. Implement the use of manual purchase order books. Manual purchase order books will be issued to responsible officers i.e. foreman & managers, to complete when goods are required to be purchased from a local store.
6. The use of a petty cash system for ease of purchasing incidentals.

Consultation (Internal/External):

- ELT Committee
- Council's procurement policy, local preference policy and Corporate Credit Card Policy were considered when exploring alternate processes.

Legal Implications:

- Application of the "sound contracting principles" under s 104 of the Local Government Act 2009.
- Local Government Regulation 2012.

Financial and Resource Implications:

- There are no financial implications associated.

Risk Management Implications:

- Risk considerations were given to:
 - Local suppliers may be concerned that Council's spend will decrease.
 - Employees being unhappy with the change of process.
 - Confusion with the change of process.
 - Potentially making purchasing incidentals difficult from local businesses.



CORPORATE CREDIT CARD POLICY

Document Details:

Document Reference Number:

Version Number: 2.0

Responsible Department: Finance

Next Scheduled Review Date: September 2020

Policy Objective: The intent of this policy is to document the procedures and controls applying to the use of corporate credit cards by Council Officers and Elected Members to ensure sound governance of expenditure incurred on behalf of Council.

Version History:

Version	Approval Date	Comment	eDRMS #
2.0	24/10/2018	Changes as per Resolution No. 1018/014	
1.0	10/12/2009	Council resolution 0208/13	14886

1. POLICY STATEMENT

- 1.1. Credit cards will be issued to the Mayor, the Chief Executive Officer and such Officers as authorised by the Chief Executive Officer (Authorised Cardholders).
- 1.2. Council reserves the right to amend, alter or vary the list of cardholders from time to time.
- 1.3. Absolutely no private usage of the credit card is allowed

2. PRINCIPLES

- 2.1. The use of credit cards must be undertaken with regard to the following principles:
 - Expenditure paid for using corporate cards shall be limited solely to purchases directly related to official Council business;
 - Ensure the principles of good governance, financial accountability, transparency and sound procurement as outlined by Council procurement policy;
 - Credit Cards should only be used in situations where purchase under an account arrangement via Council's purchase order system is not reasonably available.

3. POLICY

Scope

- 3.1. This policy establishes procedures, responsibilities and guidelines for credit card use.
- 3.2. Council Officers and Elected Members issued with credit cards are to comply with these guidelines.
- 3.3. Authorised Cardholders shall use the card only in accordance with this policy and the procedures as detailed in Council's 'Procurement Policy'.
- 3.4. Breaches of this policy and procedure will require investigation into activities and if necessary action taken by the Chief Executive Officer according to outcomes from the investigation.
- 3.5. Any transactions that seem to be unauthorised, excessive and unreasonable will be reported to the Chief Executive Officer.
- 3.6. Cardholders who do not adhere the policy may have their Corporate Card withdrawn.

Issue of Corporate Credit Cards

- 3.7. Corporate credit cards may be issued to Council Officers when it can be demonstrated that the facility is necessary and the most effective means of meeting commitments incurred in the course of official Council business. All corporate credit cards shall be issued with the approval of the Chief Executive Officer.

- 3.8. The identified council positions that may be issued a corporate credit card are:

Card Holder	Limit
Mayor	\$5,000.00
Chief Executive Officer	\$10,000.00
Director Corporate Services	\$5,000.00
Director of Engineering	\$5,000.00
Manager Human Resources	\$5,000.00
General Manager Tourism	\$2,000.00
Works Coordinator	\$2,000.00
Works Senior Foreman	\$2,000.00

Adopted/Approved: 1018/014
Version: 2.0
Next Review Date: September 2020

Department: Corporate Services
Section: Finance
Page No: Page 2 of 5

Corporate Credit Card Policy

Town Foreman	\$1,000.00
KBA Leading Hand	\$1,000.00
KBA Senior WTPO	\$1,000.00
NTN Senior WTPO	\$1,000.00
Electrician	\$1,000.00
Carpenter	\$1,000.00
Plumber	\$1,000.00
Workshop Foreman	\$1,000.00

Credit Limits

- 3.9. The overall limit for Council's credit facility is set at \$50,000.
- 3.10. The maximum monthly credit limit on any card is set at \$10,000.
- 3.11. Monthly credit limits may be amended by the Chief Executive Officer to maintain Council's overall credit limit as agreed with the facility provider.

Limitations

- 3.12. Credit cards shall only be used as follows:
 - For the carrying out of Council authorised business including reasonable travel, accommodation and meal expenses;
 - For the meeting of council liabilities where purchase under an account arrangement via Councils purchase order system is not reasonably available for example where suppliers and service providers only accept payment via credit card;
 - No private expenditure shall be incurred, even if private funds are transferred or repaid immediately to offset the expenditure. Where users need to pay an account (such as an accommodation bill) which includes a private component this private component must be paid privately and not paid with the Council credit card
- 3.13. All payments using a corporate credit card must comply with Council's policies relating to Council's Procurement Policy.

Circumstances in Which Cards May Not Be Used

- 3.14. Corporate cards must only be used for the payment of goods and services associated with Council business. Activities that would not qualify for the use of corporate cards include the following:
 - Any use that is of personal or private nature;
 - Cash advances;
 - Payment of fines, for example a parking fine or a speeding offence which was incurred whilst on Council business;
 - Purchasing of Alcohol; except where such expenditure is incurred in accordance with council's "Entertainment and Hospitality Policy". In these instances, details of the event and participants are to be provided along with support for purchases.
- 3.15. Where inappropriate expenditure occurs, the value of the expenditure shall be recovered from the cardholder. Should there be an accidental transgression the Finance Manager is to be notified and the council reimbursed immediately.
- 3.16. Expenditure incurred on corporate cards that is not supported by documentation and budgetary allocations may result in the expenditure being repaid to Council.

Adopted/Approved: 1018/014
Version: 2.0
Next Review Date: September 2020

Department: Corporate Services
Section: Finance
Page No: Page 3 of 5

Corporate Credit Card Policy

Cardholders Responsibilities

- Limit any credit purchase to the level of expenditure authority provided under the delegation held by that person;
- Make payments that are within their card limit, budget and authority to do so;
- Adhere to policy and procedures in relation to Procurement Policy;
- Ensure that a tax receipt for any purchase made is obtained at the time of the purchase;
- The credit card holder shall sign the monthly statement confirming the transactions listed thereon as being made in accord with this policy;
- Forward all tax receipts and monthly card statements to the Manager Finance and Administration on a monthly basis. All paperwork must be returned to Finance within three days of receiving the credit card statement where reasonably possible;
- Ensure sufficient information (description and details of goods and services purchased) is provided to allow verification of expenditure and accuracy of general ledger and job costing expense allocation;
- Comply with the conditions of issue by the Financial Institution with particular regard to maintaining security of the credit card and PIN (personal identification number) at all times; security of the card shall be the responsibility of the cardholder. Cardholders must ensure that personal identification numbers (if applicable) are not written or stored near the card, or disclosed to any other person;
- Ensure the card is not used by any other person other than the cardholder i.e. credit card transactions must only be performed by cardholders to mitigate the risk of inappropriate use.
- Where staff other than the card holder require purchases to be completed via credit card, the relevant member of staff shall complete a "Credit Card Purchase Request Form". The cardholder must perform the transaction.

Lost or Stolen Cards

3.17. The authorised cardholder is to inform the:-

- Westpac Bank (1300 130 961 - 24 hours a day, 7 days a week); and
- Manager of Finance and Administration as soon as they become aware the card issued is lost or stolen.

3.18. If the loss or theft is outside of business hours the credit organisation should be contacted immediately, with the Finance and Administration being notified the next business day.

3.19. The loss or theft of a credit device shall be reported immediately to the Manager of Finance and Administration, who shall notify the credit organisation.

Return of Cards

3.20. The authorised cardholder is to return any cards held with all tax receipts not yet submitted to the Manager of Finance and Administration on termination of employment or when asked to do so by the Chief Executive Officer or Council..

3.21. Upon return of the credit card, the Manager Finance and Administration will destroy the card and arrange with the credit facility provider for the cancellation of the corporate card.

Requirement to Audit the use of Corporate Cards

3.22. An audit of credit card transactions will be conducted in line with Council's Internal Audit Program by the Internal Auditor.

3.23. The Council's internal auditor will conduct periodic checks to ascertain that this policy is being strictly complied with by all authorised employees.

Adopted/Approved: 1018/014
Version: 2.0
Next Review Date: September 2020

Department: Corporate Services
Section: Finance
Page No: Page 4 of 5

Corporate Credit Card Policy

3.24. Credit card limits applied to each corporate card shall be reviewed annually by the Chief Executive Officer and Finance Manager, usage patterns, internal controls and risk relating to credit card use will be reviewed annually, a summary of the review will be documented and referred to the Chief Executive Officer and any changes as required authorised by the Chief Executive Officer in all cases.

4. RESPONSIBILITIES

Compliance, monitoring and review

Manager Finance is the responsible officer for the Policy.

The role includes:

- Maintaining the policy
- Investigating breaches and enforcing compliance
- Implementing communications, education and monitoring strategies.

Reporting

5. DEFINITIONS

To assist in interpretation of this policy and associated standards and procedures, the following definitions shall apply:

Council - means the Carpentaria Shire Council.

Corporate Cards - means all cards held under a Council credit card facility. Currently these are the Credit Cards and BP Fuel Cards

Corporate Credit Card Provider - the financial institution that provides Council's Credit Card facility. Currently this is the Westpac Banking Corporation.

Monthly Credit Limit - the dollar limit of the total value of transactions permitted on an individual cardholder's corporate credit card during the billing cycle.

Private Expenditure - refers to any expense that is not related to the Council's business operations. The purchase of gifts, food and other items in relation to non-business activities are private expenditure.

6. SUPPORTING DOCUMENTATION

Legislation	<ul style="list-style-type: none">• Local Government Act 2009• Local Government Regulation 2012
Policies	<ul style="list-style-type: none">• Procurement Policy• Entertainment and Hospitality Policy
Delegations	<ul style="list-style-type: none">•
Forms	<ul style="list-style-type: none">•
Supporting Documents	<ul style="list-style-type: none">•

Adopted/Approved: 1018/014
Version: 2.0
Next Review Date: September 2020

Department: Corporate Services
Section: Finance
Page No: Page 5 of 5

BUSINESS PAPERS

10.13 PROCUREMENT POLICY

Attachments:	10.13.1. Procurement Policy ↓
Author:	Nicole Jones - Senior Procurement & Purchasing Officer
Date:	19 February 2020
Key Outcome:	7.3 - Strategic management of Council
Key Strategy:	7.3.1 Develop and implement local laws, policies, standards and codes in accordance with legislative requirements and ensure compliance.

Executive Summary:

Council is committed to ensure all procurement activities undertaken by Council or on Council's behalf are completed with the highest levels of integrity, transparency and accountability.

Although there is a statutory obligation for Council to have a Procurement Policy, the community can have confidence that Council's procurement activities will be undertaken with equity and fairness based on the principles articulated within the policy.

Council's Procurement Policy is also strongly supported by its Local Preference Policy which was reviewed and adopted in November 2019.

RECOMMENDATION:

That Council adopts the Procurement Policy as presented.

Background:

Pursuant to section 198 of the Local Government Regulation 2012, Council has a statutory obligation to have a Procurement Policy and this policy is to be reviewed annually. In addition, Chapter 6 of the Local Government Regulation 2012, details Council's statutory obligations that must be maintained when contracting for goods and services.

Whilst the legislation covers contracts which have a value of \$15,000 or more, Council's Procurement Policy covers all procurement activities regardless of the value.

In undertaking the review of the Procurement Policy, it has been confirmed that this policy complies with all necessary legislative requirements and there have been no significant changes to the content of policy or the objectives that Council desires to be achieved with all procurement activities.

Included as an appendix to the policy is the financial thresholds that have been delegated to the selected staffing positions within Council.

Consultation (Internal/External):

- This policy has been reviewed and endorsed by relevant Procurement and Finance personnel together with Senior Management prior to presentation to Council.

Legal Implications:

- Section 198 of the Local Government Regulation 2012, states the following:

BUSINESS PAPERS

- 1) A local government must prepare and adopt a policy about procurement (a procurement policy).
- 2) The procurement policy must include details of the principles, including the sound contracting principles, that the local government will apply in the financial year for purchasing goods and services.
- 3) A local government must review its procurement policy annually.

The Procurement Policy presented to Council for adoption complies with the above statutory requirements.

Financial and Resource Implications:

- By applying the Sound Contracting Principles within the Procurement Policy, enables staff to achieve the most beneficial outcomes for Council through standard procurement activities and ultimately assists in reducing implications on finances and resources.

Risk Management Implications:

- The mitigation of procurement risks is enhanced by:
 - following the legislative requirements associated with contracting; and
 - having a robust Procurement Policy; and
 - having strong internal controls through sound purchasing processes/procedures based on integrity, transparency and accountability.



Procurement Policy

Policy Details

Policy Category	Council Policy
Date Adopted	26 February 2020
Endorsed by	Chief Executive Officer
Approval Authority	Council
Effective Date	26 February 2020
Policy Version Number	6
Policy Owner	Senior Procurement & Purchasing Officer
Contact Officer	Nicole Jones
Review Date	June 2021

Supporting documentation

Legislation	<ul style="list-style-type: none">Local Government Act 2009Local Government Regulation 2012Public Sector Ethics Act 1994
Policies	<ul style="list-style-type: none">Code of Conduct for EmployeesCorporate Credit Card PolicyLocal Preference Policy
Delegations	<ul style="list-style-type: none">Financial Delegations to Staff
Forms	<ul style="list-style-type: none">Nil
Supporting Documents	<ul style="list-style-type: none">Nil

Version History:

Version	Adopted	Comment	eDRMS #
5	7/12/2016	Council Resolution 1216/011	
6	26/02/2020	Council Resolution	



Contents

INTENT	3
SCOPE	3
POLICY STATEMENT	3
SOUND CONTRACTING PRINCIPLES	3
ADMINISTRATION	5
LOCAL SUPPLIER	8
RESPONSIBILITIES	8
DEFINITIONS	9



Intent

This document sets out Council's policy for the procurement of goods and/or services. This policy applies to the procurement of all goods, equipment and services, construction contracts and service contracts.

Scope

This policy applies to the procurement of all goods, equipment and related services, construction contracts and service contracts (including maintenance). The policy:

- a) refers to purchasing activities across the whole of Carpentaria Shire Council;
- b) applies to all materials, products and services purchased by Council, including items procured by third parties (such as contractors) acting as representatives for Council.

Policy Statement

Council is committed to ensure all procurement activities undertaken by Council or on Council's behalf are completed with the highest levels of integrity, transparency and accountability.

Council officers must have regard to the following sound contracting principles in all procurement activities of Council which are activities that are, or relate to, both direct purchasing (for example, via corporate credit cards) and the making of contracts for the carrying out of work, or the supply of goods and/or services as defined in the legislation.

Sound Contracting Principles

Integrated with Council's broader system of sustainable financial management, all procurement activities shall be carried out in a manner which ensures regard for the Sound Contracting principles when entering into a contract for either the supply of goods and/or services.

The Sound Contracting principles are:

- Value for money;
- Open and effective competition;
- Development of competitive local business and industry;
- Environmental protection; and
- Ethical behaviour and fair dealing.

These Sound Contracting principles have been further defined by Council as:

Value for Money

All procurement activities must consider the whole-of-life cost consequences of the procurement arrangement. However, the value for money concept is not restricted to price alone. Value for Money assessment includes consideration of:

- Non-cost attributes such as fitness for purpose, service and support, quality, performance and productivity;
- Cost related factors including whole-of-life costs and transaction costs that are associated with acquisition, use, holding, maintenance and disposal;
- Initial and ongoing technical compliance costs; and



- Compliance with all related acts, regulations and legislative requirements at all times.

Open and Effective Competition

All procurement activities are to be undertaken with the appropriate rigor and documentation to encourage and support supplier confidence through:

- Transparency of process and decision making in all procurement activities;
- Maintaining confidentiality of offers, security of information and commercial-in-confidence material; and
- Maintaining good quality documentation of all request for quotes and tenders and evaluations of offers and recommendations.

Development of Competitive Local Business and Industry

Consideration will be given to the benefits of utilising local suppliers when undertaking procurement activities. These benefits include:

- To assist local businesses enhance their competitive standards and performance;
- To assist local suppliers and ultimately the communities Council serve to achieve financial sustainability and continuation of local services;
- Creation of new and/or maintenance of existing local employment opportunities;
- More responsive and readily available servicing and ongoing maintenance support;
- Closer and more convenient communications regarding progress, performance and measurement to enable effective and efficient contract administration and management;
- Encouragement for the relocation of established businesses from outside the region to physically enter, establish and maintain a physical ongoing presence in the region;
- Support for economic growth within the local area; and
- Returning value-added benefits to Council and its ratepayers from the associated local commercial transactions.

See Council's Local Preference policy.

Environmental Protection

Consideration must be given to support and promote sustainable outcomes through ensuring the necessary balance between environmental, economic and social aspects to maintain a high quality environment as a source of competitive advantage such as:

- Prevention or minimisation of waste;
- Use of recycled products and recycling facilities;
- Conservation of energy in buildings and use of equipment;
- Control of order of quantities to avoid stock build-up, minimise storage requirements and reduce possible obsolescence;
- Where possible, specification of environmentally-friendly products in invitation to offer documents; and
- Use of environmentally-friendly products in the management of parks / recreational grounds and for weed control on roads and kerb sides.



Ethical Behaviour and Fair Dealing

All procurement related activities are to be conducted with impartiality, fairness, independence, openness, integrity and professionalism with particular focus on:

- Identifying, declaring and seeking advice on any perceived and/or actual situation that may give rise to a conflict of interest by any Officer involved in the end-to-end procurement process, and ensuring perceived conflicts of interest are documented and recorded;
- Ensuring that all procurement activities are undertaken in accordance with all legal, statutory and internal budgetary obligations; and
- Providing ongoing procurement and contract training for all relevant staff prior to them exercising the financial delegation that commits Council to a contract for the provision of goods and/or services.

Administration

Purchase Orders

Purchase orders are to be generated for all purchases of goods and services other than —

- petty cash;
- corporate card transactions; or
- long-term supply contracts (Ergon, Telstra, Freight, Corporate Traveller, Legal service retainers etc); or
- direct payments and fees (bank charges etc); or
- other purchases where a director or the CEO has determined that a genuine emergency has occurred.

Goods and Services Tax

All values quoted in this policy are exclusive of GST.

Optimisation of Value in Procurement

In order to optimise value in procurement, where applicable, Council will establish annualised or bi-annual purchasing arrangements. This is generally to occur where multiple similar purchases are likely to be required and the total value of goods will exceed \$50,000.



Purchasing Arrangements

Where the value of the purchase or the value of the contract over the full contract period (including options to extend) is, or is expected to be, the following table must be followed:

Table 1: Purchasing Thresholds

Amount of Purchase	Policy
Under \$2,000	<ul style="list-style-type: none"> For purchases under the value of \$2,000 at least one verbal quote must be obtained (details of which must be recorded). Where the officer believes (or reasonably should believe) that the quote does not represent a fair price, additional quotes should be sought.
\$2,000 - \$15,000	<ul style="list-style-type: none"> Purchases between \$2,000 and \$15,000: two (or more) quotes in written, fax or e-mail form must be requested. Copies of the quotes and/or the requests for quotes must be attached to Council's copy of the Purchase Order.
\$15,000 - \$200,000	<ul style="list-style-type: none"> Council cannot enter into a medium sized contract unless Council first invites written quotes for the contract (See "Exemptions" and "LGA Arrangements"). The invitation must be to at least three persons who Council considers can meet Council's requirements, at competitive prices. Council may decide not to accept any quotes it receives. If Council does decide to accept a quote, Council must accept the quote most advantageous to it having regard to the sound contracting principles identified in section 104 of the Act. This requirement is subject to the exemptions identified in paragraphs "Exemptions" and "LGA Arrangements".
\$200,000 and above	<ul style="list-style-type: none"> Council cannot enter into a large-sized contract unless Council first invites written tenders for the contract in accordance with the requirements of section 228 of the <i>Regulation</i> (See "Exemptions" and "LGA Arrangements"). Council must either invite written tenders under section 228(4) or invite expressions of interest under section 228(5) before considering whether to invite written tenders under section 228(6)(b). This requirement is subject to the exemptions identified in paragraphs "Exemptions" and "LGA Arrangements".

Acceptance of Quotations

There is no requirement to accept the lowest quotation. However where a staff member chooses a quotation other than the lowest quotation, they must provide a brief written justification which must be kept with the order.

Tender Process

Section 228 of the *Local Government Regulation 2012* sets out how a local government must invite written tenders for —

- a) a large-sized contract; or
- b) a valuable non-current asset contract.

The invitation for tenders must —

- a) be made by an advertisement in a newspaper that circulates generally in the local government area; and



- b) allow written tenders to be given to the local government for at least 21 days after the advertisement is published.

Records of tender must be kept on file and registered in InfoXpert.

Exceptions – Chapter 6, part 3, division 3 of the *Local Government Regulation 2012* identifies exceptions for medium and large-sized contracts. If one of the exceptions applies, Council may enter into —

- a) a medium-sized contractual arrangement without first inviting written quotes; or
- b) a large-sized contractual arrangement without first inviting written tenders.

The exceptions are —

- a) the preparation of a quote or tender consideration plan and adoption by Council in accordance with the requirements of section 230 of the Regulation; or
- b) entering into a contract if the contract is made with a person who is on an approved contractor list established by Council in accordance with the requirements of section 231 of the Regulation; or
- c) entering into a contract if the contract is entered into with a supplier from a register of pre-qualified suppliers established by Council in accordance with the requirements of section 232 of the Regulation; or
- d) entering into a contract for goods or services if the contract is entered into with a preferred supplier under a preferred supplier arrangement that is made in accordance with the requirements of section 233 of the Regulation; or
- e) entering into a contract under an LGA arrangement established in accordance with requirements of section 234 of the Regulation; or
- f) entering into a medium-sized contract or a large-sized contract if —
 - i. Council resolves that it is satisfied that there is only one supplier who is reasonably available; or
 - ii. Council resolves that, because of the specialised or confidential nature of the services that are sought, it would be impractical or disadvantageous for Council to invite quotes or tenders; or
 - iii. a genuine emergency exists; or
 - iv. the contract is for purchase of goods and is made by auction; or
 - v. the contract is for the purchase of second-hand goods; or
 - vi. the contract is made with, or under an arrangement with, a government agency (See section 235 of the Regulation).

Arrangements

A range of LGA arrangements has been put in place by Local Buy. When assessing the most effective method of obtaining goods and/or services, Council officers should consider the administrative and price costs to Council of seeking tenders or quotations independently, and the reduction of these costs which may be achieved by use of Local Buy arrangements.

Delegations

The Chief Executive Officer has the delegated authority to allocate financial delegation to positions within Council. These are summarised in *Annexure 1 – Financial Delegations*. Any new positions or changes/variations must be approved by the Chief Executive Officer in accordance with the relevant legislation.



All staff with requisitioning permissions are only authorised to order goods and services (up to their financial limit) against jobs over which they have clear operational authority and budget responsibility. By signing a requisition/purchase order all officers are confirming that they have taken full notice of this policy and will comply with all of the requirements of this policy.

Local Supplier

For the purposes of application of this policy a "local supplier" is a supplier that:

- is beneficially owned and operated by persons who are residents of the local government area of Council and pay rates; or
- is a registered business or individual that has its principal place of business within the Local Government area of Council; or otherwise
- has a place of business within the Local Government area of Council which solely or primarily employs persons who are residents or ratepayers of the Local Government area of Council.

Council's preference is to purchase locally and as such may apply up to a 15% weighting to all offers received in response to its expressions of interest, quotations and Tenders where the offer is able to demonstrate some form of "local" economic benefit.

Please refer to Council's Local Preference Policy.

Responsibilities

It is the responsibility of the Director Corporate Services to monitor the adequacy and effectiveness of this policy and recommend appropriate changes to Council.

All Council employees responsible for purchasing goods and services of any kind must comply with this policy. It is the responsibility of Council employees involved in the procurement process to understand the meaning and intent of the policy.

Employees are responsible for familiarising themselves with Council's policies, guidelines and procedures, as a failure to do so may be accepted as grounds for breach.

Council officers are required to:

- adhere to the "Sound contracting principles" as stipulated in the *Local Government Act 2009*;
- preserve Council's integrity in the procurement process to ensure that Council may be seen to have acted beyond reproach in all dealings;
- abide by Council's Code of Conduct and all applicable policies and instructions; and
- source quotations and raise purchase orders prior to receiving goods and services.



Definitions

TERM	DEFINITION
Contract	An agreement, written or otherwise, that creates an obligation that is enforceable by law.
Genuine Emergency	A critical or emergency incident, that a reasonable person could not have planned or foreseen, and requires the supply of goods or services to reduce the immediate risk
Large-Sized Contract Arrangement	Is a contractual arrangement with a supplier that is expected to be worth, exclusive of GST, \$200,000 or more in a financial year, or over the proposed term of the contractual arrangement.
Local Supplier	Defined within the body of the policy.
Medium-Sized Contractual Arrangement	Is a contractual arrangement with a supplier that is expected to be worth, exclusive of GST, \$15,000 or more but less than \$200,000 in a financial year, or over the proposed term of the contractual arrangement.
Procurement	The purchase, hire, lease, rental, exchange or any other commercial transaction involving the outlay of funds in return for the provision of goods, equipment and related services, construction contracts and service contracts to Council, Council officers and agents unless specifically exempted under the provisions of this policy.

Adopted by Council "Date" by Resolution "Number"

Mark Crawley
Chief Executive Officer



BUSINESS PAPERS

10.14 COMMUNITY DEVELOPMENT

Attachments:	10.14.1.	Monthly sports centre report ↓
	10.14.2.	Monthly pool precinct report ↓
	10.14.3.	Monthly library report ↓
	10.14.4.	Monthly Interagency meeting minutes ↓

Author: Cherie Schafer - Manager Economic & Community Development

Date: 19 February 2020

Key Outcome: 2.3 – Supporting and growing our tourism industry

Key Strategy: 2.3.1 Operate the visitor information centres at Normanton and Karumba.

Executive Summary:

This report provides information and updates to Council on various activities and programs that are facilitated within the Community, Cultural Services and Economic Development portfolio of Council.

RECOMMENDATION:

That Council:

1. receive the Community Development Report; and
2. that those matters not covered by resolution be noted.

1. MATTERS FOR INFORMATION:

1.1 Actions Outstanding from Previous Meetings

Nil

1.2 Normanton Sports Centre and Gym

- Statistics have been provided on the stats and general information for both the Normanton and Karumba Sports Centres for the month of January (attached).
- There has been an increase over the past few months of gym members not following the gym rules. The main offence is not putting away the items used after completing a workout and cleaning down the workstation. Currently council doesn't have any method in place as to how gym members will be penalised if they are not following the gym rules that are outlined in the membership form.

Council to consider implementing one of the below:

1. Members who offend get a written warning around their offense and if they continue to offend, cancel their membership without refund.
 2. Include a penalty fee in the fees and charges to recover councils cost if they are required to put gym items back and clean down workstations.
-

BUSINESS PAPERS

Action: Council provide direction around proposed outcomes for gym members who do not follow the gym rules.

1.3 Karumba and Normanton Swimming Pool Precinct

- Statistics have been provided on the stats and general information for both the Normanton and Karumba Pools for the month of January (attached).
- Council has been working with JLT to make an insurance claim to replace the pool shade over the Normanton Pool. It is expected that the process will take some time before an outcome is provided around if the claim will be approved in full.
- The pool temperature has been sitting around 34 to 36 degrees on most days that are warm and sunny. Children and members are starting to express that the pool water is feeling hot since there hasn't been a pool cover and would like Council to consider using the pool cooler. After the Energy Management review the pool has been put on a lower tariff for energy consumption. With the using of the heating or cooling system Council would go up to the higher tariff which will be over a twelve-month period not just for the time the system is used. Council is looking to put up two large SES traps to assist with cooling of the pool.

Action: Council to decline or approve using the cooling system in the Normanton Pool while there is no pool cover. Council understands that approving this request will result in an increased power bill and there will be an increase of the tariff due to the energy consumption.

1.4 Normanton and Karumba Library Statistics

Statistics have been provided on the stats and general information for both the Normanton and Karumba Libraries for the month of January (attached).

Activities ran during the month:

- Karumba Library hosted Island Fashions which 15 children attended over the week that it was ran.
- First 5 reading with children was held each week for the past three weeks at the Karumba Library. There is a regular attendance of three bubs with additional 3 children attend that were visitors to town.

1.5 Interagency meeting

Minutes from the February's Interagency meeting attached for review.

1.6 Grants information and Applications

RADF Funding:

The RADF round is now open for 2020-2021 for Councils to submit applications.

RADF supports arts and cultural activities that:

BUSINESS PAPERS

- provide public value for Queensland communities
- build local cultural capacity, cultural innovation and community well-being
- deliver Queensland Government's objectives for the community.

Previously Council has listed their local priorities as:

- High quality art workshops
- Touring dance, music and arts and cultural classes/performances
- Indigenous youth workshops
- Heritage and lasting legacy projects

Action: Council to provide direction around local priorities and if they would like to make changes.

Normanton Ladies Fitness:

The Normanton Ladies fitness has approached Council to purchase additional items for the gym to enhance the morning classes however there isn't enough funds in the budget to cover the items.

As the group is un-incorporated they would like Council to consider submitting a Community Gambling grant and sponsoring their application. If approved the items will remain in the Normanton gym and fall under Council's weekly maintenance and repair checks. Below is a list of the suggested items from the ladies fitness group however there may be other non-electrical items identified:

- Pump set
- Slam balls
- Weight Bags
- 2 boxing bags on a pulley system which can be moved to the side walls
- Assault Bike
- Water aerobics equipment
- Freight and any installation costs to be included

Action: Council to approve/ decline Council's Grants Officer to source and submit a funding application sponsoring the Normanton Ladies Fitness application. All items will remain within Council facilities and fall under Council's maintenance and repairs checklist.

Normanton Stingers Rugby League:

The Normanton Stingers have been successful in receiving Community Gambling funds to purchase grandstands. After some consultation the committee has been advised that the grandstands require regular checks and there needs to be some adjustments to their current insurance to cover the grandstand which will increase their premiums. The committee would like Council to consider taking the grandstands over once received so that they can fall under Council's insurance, maintenance and repair checks. The committee has advised

BUSINESS PAPERS

Action: Council to approve/decline taking the request to take over the grandstands once established from the Normanton Stinger. To approval the application will mean that Council takes responsibility for the maintenance and insurance of the items.

Karumba Signage Committee:

The Karumba Signage committee has requested that Council replace the Karumba Heritage signs as they are looking very worn. A quote of \$7157.50 has been supplied to replace the signs however there will be additional costs to remove and replace the existing signs.

Actions: Council to approve/ declines Councils Grants Officer to source and submit a funding application to replace the Karumba Heritage signs.

NQ Athletics Club – Normanton based:

The local Athletics are looking to host a major event in 2021 and would like to improve the area through funding over the next twelve months. The Athletics club has a dedicated grants writer however is seeking Councils approvals to upgrade and install new items on the Athletics side of the John Henry Oval. The items listed as per below:

1. Install two shot put/discus cement circles; and
2. Bring the long jump pit up to Athletic standards by:
 - Get the long jump ground and pit levelled out.
 - Widen the width of the long jump pit by about half its current size.
 - Install either rubber/cement sides to the long jump pit to maintain its structure and help stay off grass and roots.
 - Install 2 x 20mx1.5m runways to the long jump pit. (1 x long Jump and 1 x Triple Jump)

The Athletics club would also like the same items to be built alongside the Karumba football field at the Karumba Recreation Club.

Action: Council approves/declines NQ Athletics Club request to upgrade the current long jump and install two cement shot put/discus circles on the Athletics side of the John Henry Oval.

Previous Grant Outcomes:

- Community Gambling Funds – Normanton Horse Sports Lights - Declined
- Community Gambling Funds – Normanton Races - Approved
- Community Gambling Funds – Carpentaria Shire Council - Approved
- FRRR Haywire Youth Innovation funding - Approved
- RADF 2019/2020 Funding – Approved
- Thriving Communities – Approved
- Community Gambling Fund – Junior Rugby League - Approved
- Community Gambling Fund – Karumba rec Club - Approved
- Gulf Trust Fund – Junior Rugby League – Approved

BUSINESS PAPERS

- Community Gambling Fund – Normanton Stingers – Approved
- Community Gambling Fund – Normanton Childcare parent Committee – Declined
- Sport and Recreation Infrastructure Funding – Approved up to \$1 Million

Consultation (Internal/External):

- Chief Executive Officer – Mark Crawly
- Director Corporate Services – Justin Hancock

Legal Implications:

- Nil

Financial and Resource Implications:

- Within budget.

Risk Management Implications:

- Risks are relatively low - supports Council's aim of engaging with the community as well as providing key activities and facilities.



Normanton Sports Centre

MONTHLY REPORT – FEBRUARY 2019

EXECUTIVE SUMMARY

As the hot weather has continued through the month of February it has continued to be somewhat of a deterrent to people wishing to do sports until later in the afternoon. Though at the same time now that we have passed the middle of summer and the days are now starting to grow darker sooner many kids are now starting to leave earlier making the time between 7pm – 8pm a lot less viable as at times there has been no one in the Centre. Currently the period between 4 – 6pm has returned to be the busiest time.

The Centre was closed only on weekends for this month, though there is a start to kids requesting that the Centre be opened on the weekends as a few are starting to become bored at home. This is currently advised again at present time as it is still warm and people are using the pool all day and as there isn't currently enough staff there would be no one to work on a weekend other than one of the permanent workers. There was some interviews done this month for more pool lifeguards and if any other successful then there may be a chance into looking at re-opening the Centre again on the weekends.

Work with other stakeholders in the community have continued on this month and some new ones have started. The Recovery Centre has continued its regular visits and Deadly Choices have started their afternoon sessions and got such a large turnout they've required assistance from the staff at the Sports Centre and as all the kids present are doing the course and there's no one else present we've been happy to assist. This will resume every Monday afternoon until the end of term. The NRL Tag with the Stingers has been unable to start as planned as the insurance required particular equipment to be used so that games could start and as yet we haven't been able to get that equipment as it is currently out of stock.

Preparations and talks with the schools have been undertaken as well with the upcoming Clean Up Australia Day fast approaching to which we will be also hosting free swimming and BBQ afterwards. Talks have also been undertaken with ANQ as well with a colour run and free coaching course towards the end of March being made free to the community. We are currently looking into holding regular discos on the last Fridays on the month and a movie night in the middle of the month

ATTENDANCES

Total Attendances for the Month: Approx. 410

Total Attendances for Last Month: Approx. 400

PAGE 1

Total Attendances for Centre Programs Weekdays: Approx. Total 410 with an average of 21 people per day

Centre closed weekends this month

Total Attendances for Community Events:

No events for this month

Total Attendances for Partnership Programs:

Recovery Group: Average of 5 Adults per visit with regular visits occurring once a week

Deadly Choices: 15 kids in the first week then 36 in the second week. They will continue on a Monday afternoon all the way up to the end of term

MEETINGS ATTENDED

Meeting	Outcomes / Action Items
Normanton Stingers	<ul style="list-style-type: none">• Planning for NRL Tag competition and ordering of equipment.• Working out when stingers would be using the field to train so other events can be planned around them
Deadly Choices	<ul style="list-style-type: none">• Planning for Monday afternoon sessions and how to keep the kids interested and involved• Equipment and staff required
Community Response Meeting	<ul style="list-style-type: none">• Preventative measures to combat youth crime in the town.• Looking at programs the Sports Centre could run to help kids off the street

CALENDAR – Upcoming Events

- Friday 1/3: Clean up Australia Day
- Friday 29/3: Disco

Please note these are currently the only things cemented and set to go. There is still many other things that are currently being finalized by all parties

PAGE 3

Normanton and Karumba Pool Monthly Report – January 2020

Normanton

Statistics

Patrons	December 2019	January 2020
Adults	170	155
Children	654	536
Water Park	427	326+
Total Attendance	1251	1017

Normanton opening hours are:

Public Holidays 1pm to 6pm

January 1st – 6th 1pm to 6pm

January 7th to 26th 10am to 6pm

From January 27th on wards

Monday, Wednesday and Friday 2.30pm to 6pm

Tuesday and Thursday 2.30pm to 4.30pm

Saturday and Sunday 1.00pm to 6.00pm

Special Events

With the end of the school holidays the Normanton Swimming Club are back training twice a week on Tuesdays and Thursdays and are expected to continue until end of school term.

With school back with first term, we have both schools doing swimming lessons 7 days a week.

Water aerobics is back and is making a big splash with the locals with great numbers, held at 6pm Monday, Wednesday and Friday nights with Amanda Scott.

General Update

During the month of January the water park operated effectively. Unfortunately, with the shade sail removed from the pool due to a storm on the 2nd of January, the pool is chewing through the Sodium Hypochlorite, using 2000l every 8 – 10 days compared to the shade on 2000l will last 14 – 16 days. The average pool temperature this month was 34°C and the water park temperature was 32°C, thank goodness for the overcast days dropping both the pool and water park temperature by 2-3°.

The good news is with this warmer weather, the pool and water park are getting heavily used and being enjoyed by all.

Karumba

Statistics

Patrons	December 2019	January 2020
Adults	242	133
Children	329	234
Water Park	103	36
Total Attendance	674	403

Karumba opening hours

Monday to Sunday 10am-6pm

Saturday & Sunday 1pm - 6pm

Public Holidays 1.00pm-6.00pm

Special events

Vacation care utilized the pool whilst the program was running. Australia Day free swim brought a few patrons in.

General update

Extremely hot weather at the start of the month brought people in but recent weather slowed the numbers up.

Everything is running normal. Temperature of pool dropped down to 26 degrees due to weather.

Statistics - Carpentaria Library Services	Normanton			Karumba		
	Jan-18	Jan-19	Jan-20	Jan-18	Jan-19	Jan-20
Monthly Walk-Ins	222	111	119	246	228	218
Number of library loans	97	144	115	74	69	101
Number of people utilising the internet	48	26	32	23	6	14
Number of new members	3	2	3	2	1	0
Total Hours Public Internet Usage	26	13	16	10.5	3	7
Total hours open to the public	84	84	56	84	84	76



CARPENTARIA SHIRE

Outback by the Sea®

Interagency Forum Notes

Date:	Tuesday, 4 th February 2020
Venue:	Council Boardroom
Commencement:	3.30pm
Chairperson:	Cherie Schafer
Apologies:	Katherine Stock- Normanton Hospital , Jake Randell – GCC, Krystal Smith QLD Ambulance, Peal Turner – Save the Children, Anne Scannella – Centre Care,
Present:	Cherie Schafer – Council, Mark Corey – Normanton Police, Kevin Busch – Remote Youth Justice, Shannon Gallagher – Bynoe, Kerrie Harris – Community Health, Josephine Bond – Gidgee Healing, Ken Fairburn – Qld Rail, Anne-Maree Taney – RADF, Tonia Smerdon – Normanton State school.

Meeting chaired by Cherie Schafer

December minutes confirmed.

General business:

Ken:

The Railway station has had several security issues with youth breaking in or damaging items. Qld rail has had an internal security review and the station will possibly be getting additional security cameras. The station has consulted with Council and is also looking to put a single wide access gate entering onto the football oval on one across the other side of the field so that patrons can cross this area without cutting the fences.

There will be a trial on the use of a "mosquito system" which lets off a high frequency sound that irritates the ears and can be set to different age groups. If this system is successful other agencies may be interested in looking at taking up the use of the system.

Kerrie:

Has been away so no updates this month

Josephine:

School health check will begin next month. These checks will be conducted at the surgery rather than in the school as done previously and a parent will need to be present. The change has come to a large amount of work following up parents and making appointments for those children that require additional health support or referrals.

Shar the dignity has donated 100 care handbags for ladies that are going away to hospital locally or out of town. These bags have started to be distributed as required to the community.

Tonia:

Good start to the year with attendance rate high.
have held this year's first at risk meeting
health checks and heart checks due to start soon
One new teacher has started at the school

Ann-Maree:

Attends Croydon on Wednesdays and Karumba Fridays – in Normanton the other days
Would like to meet with Candice from the sports centre to discuss running a program called the rock and water

Leanne:

Jacky has relocated to Mount Isa for 6 months to conduct training. A replacement staff member will be visiting Normanton every two week until Jacky returns.

Mental Health consultant will be in Normanton next week and will start to attend every three weeks.

Kevin:

Has done one conference this week. Had 5 to complete in January however was only able to complete a few as not all the youth and parents turned up.

Working on 15 files from the police and the courts. Some of the youth have since returned to boarding school, moved out of town, obtained by police or are on court orders.

Recently there has been two stolen card and 3 quad bikes.

There has been lack of support and co-operation from parents when trying to deal with the youth. Understand that everyone in the community is frustrated but want to explain they are doing everything they can within there capabilities and legislation.

Shannon:

School holiday program has been completed and Bynoe has been working with groups to obtain feedback on how they think it went, what worked well and what could be improved for next time.

Will be working with groups to do a program for other holidays and look for funding.

Apologise to Anne-Maree for not getting back to her around the Co-ordinated care panel however understanding this is important and will be in touch.

Bynoe was broken into last night.

Mark:

Second day back at work after a few weeks leave.

The past six weeks there has been a spike in youth sniffing and crimes. The police are doing everything they can within legislation and are at a stand still of what else can be done to improve the situation.

Doomadgee and Mornington are experiencing the same problems as Normanton with youth crime, sniffing and rioters. PCYC at Morning has recently been broken into and damaged which is the main place youth go to for activities.

A suggestion has been bring low aromatic fuel to the community to see if the reduces the problems. All youth crimes have been linked back to the youth sniffing to there is a link to the problems.

Cherie:

Councils sports centre and pool has been broken into several times by youth and items damaged. Council has banned a few youth and schools have also been advised as it a blanket ban not just for the afternoons. Council understands this can be hard for schools another organisation however there needs to be a consequence for their actions.

Some around the table discussion where had by all around the youth with no outcomes or direction to record.

NOTE – next meeting will be held 3rd March 3.30 Normanton Boardroom

BUSINESS PAPERS

10.15 COMMUNITY DONATIONS AND SUPPORT

Attachments: NIL
Author: Cherie Schafer - Manager Economic & Community Development
Date: 18 February 2020

Key Outcome: 2.2 – Council supports our community organisations
Key Strategy: 2.2.2 Council provides support for local community organisations.

Executive Summary:

Council receives numerous requests for donations throughout the year. The applications listed in the recommendation are applications that have been received outside of the grant funding round.

RECOMMENDATION:

That Council approves the following requests for donation and support:

1. Normanton Social Fishing Club – requests \$500 cash, table and chair trailer, printing of 300 black and white copies of the booklets and cleaning of the boat ramp.
2. Karumba State School P&C fete– requests \$500 cash, tables and chair trailer and additional tables and chairs, bins.
3. Gulf United Junior Rugby NRL coach training – requests use of the oval for three days, tables and chairs.
4. Gulf United Junior Rugby NRL– requests use of the oval for registration day.
5. Gulf United Junior Rugby NRL– requests use of the oval twice a week for training days and once a week for game days.
6. Normanton Stinger Rugby League: requests use of the oval twice a week for training days during the season.
7. Normanton Stinger Rugby League: Request the use of the oval for the ladies try out day.

Background:

Council advertised its second round of the 2019/2020 Community Donations and Support funding program for events held between January and July 2020. The below applications have been received outside of the funding round.

BUSINESS PAPERS

1. Normanton Social Fishing Club – requests \$500 cash, table and chair trailer, printing of 300 black and white copies of the booklets and cleaning of the boat ramp. **(Estimated cost to council \$1180 in-kind \$500 Cash)** excludes the cleaning of the boat ramp
2. Karumba State School P&C fete– requests \$500 cash, tables and chair trailer and additional tables and chairs, bins. **(Estimated cost to Council \$1100 in-kind \$500 cash)**
3. Gulf United Junior Rugby NRL coach training – requests use of the oval for three days, tables and chairs. **(Estimated cost to Council \$1556)**
4. Gulf United Junior Rugby NRL– requests use of the oval for registration day. **(Estimated cost to Council \$250)**
5. Gulf United Junior Rugby NRL– requests use of the oval twice a week for training and game days during the season. **(Estimated cost to Council \$16500)**
6. Normanton Stinger Rugby League: requests use of the oval twice a week for training and game days during the season. **(Estimated cost to Council \$16500)**
7. Normanton Stinger Rugby League: Request the use of the oval for the ladies try out day. **(Estimated cost to Council \$250)**

Consultation (Internal/External):

- Mark Crawley - Chief Executive Officer
- Justin Hancock - Director Corporate Services
- External Stakeholders (applicants)

Legal Implications:

- Nil

Financial and Resource Implications:

- Within budget.

Risk Management Implications:

- Risks are within normal operational parameters.

BUSINESS PAPERS

10.16 COMMUNITY GRANTS, DONATIONS AND SUPPORT POLICY

Attachments:	10.16.1. Community Grants and Donation Policy ↓
Author:	Cherie Schafer - Manager Economic & Community Development
Date:	14 February 2020
Key Outcome:	2.1 - A creative, educated community
Key Strategy:	2.1.2 Ensure cultural facilities and programming meets the needs of the community and regional development.

Executive Summary:

It is a statutory requirement under section 195 of the *Local Government Regulation 2012* for Council to have a community grants policy. It states that:

“A local government must prepare and adopt a policy about local government grants to community organisations (a community grants policy), which includes the criteria for a community organisation to be eligible for a grant from the local government.”

The policy presented to Council for adoption is not only conforming to these provisions but provides the community with transparent guidelines of all aspects of the grant process, from application stage through to acquittal.

RECOMMENDATION:

That Council:

1. Adopts the Community Grants, Donations and Support Policy; and
2. Repeals the Low Interest Loans to Sporting Clubs Policy; and
3. Repeals the Community Grants, Donations and Support Guidelines.

Background:

Council had previously adopted three individual policies being:

- Community Donation and Support Policy; and
- Community Donation and Support Guidelines; and
- Low Interest Loans to Sporting Clubs Policy.

During the review of these policies, it was deemed beneficial to combine those three policies into the one policy. Members of the community can more easily obtain all the relevant information that is required to lodge a successful application to receive assistance from Council. At the same time, it reduces the potential risk of having conflicting information contained in different policies which ultimately causes confusion for the community and Council.

As the three policies have been combined, Council will need to formally repeal the Community Donations and Support Guidelines and the Low Interest Loans to Sporting Clubs Policy.

BUSINESS PAPERS

Consultation (Internal/External):

- This policy has been reviewed and endorsed by Senior Management prior to presentation to Council for adoption.

Legal Implications:

- Section 194 and 195 of the *Local Government Regulation 2012* informs of the statutory requirements surrounding grants to community organisations and this policy is compliant with those provisions.

Financial and Resource Implications:

- All costs associated with supplying community grants, donations and support are factored into Council's annual budget.

Risk Management Implications:

- There are no risk management implications in adopting this policy.



Community Grants, Donations and Support Policy

Policy Details

Policy Category	Council Policy
Date Adopted	26 February 2020
Endorsed by	Chief Executive Officer
Approval Authority	Council
Effective Date	26 February 2020
Policy Version Number	1
Policy Owner	Manager Economic and Community Development
Contact Officer	Cherie Schafer
Review Date	February 2023

Supporting documentation

Legislation	<ul style="list-style-type: none"> Local Government Act 2009 Local Government Regulation 2012
Policies	<ul style="list-style-type: none"> Nil
Delegations	<ul style="list-style-type: none"> Delegated authority for one-off requests for In-Kind assistance of less than \$1,000, outside of normal funding rounds, is provided to the Chief Executive Officer.
Forms	<ul style="list-style-type: none"> Grant, Donation and Support Program Application
Supporting Documents	<ul style="list-style-type: none"> Corporate Plan 2017 - 2022

Version History:

Version	Adopted	Comment	eDRMS #
1	26/02/2020	Council Resolution	



Contents

INTENT	3
SCOPE	3
POLICY STATEMENT	3
GRANTS, DONATIONS AND IN-KIND SUPPORT	3
COMMUNITY GRANTS, DONATIONS AND SUPPORT PROGRAM	3
ELIGIBILITY CRITERIA	4
INELIGIBILITY CRITERIA	4
APPLICATION PROCESS	4
ASSESSMENT CRITERIA	5
APPROVAL PROCESS	5
ACKNOWLEDGEMENT OF COUNCIL	5
ACQUITTALS	6
LOW INTEREST LOANS TO SPORTING CLUBS	6
CIRCUMSTANCES FOR LOAN CONSIDERATION	6
SPORTING CLUB ELIGIBILITY	7
DOCUMENTATION TO SUPPORT LOAN REQUEST	7
LOAN PARAMETERS	7
DEFINITIONS	8



Intent

To guide the delivery of Council's Community Grant, Donations and Support Program which provides financial and in-kind assistance to community based groups and organisations including low interest loans to sporting clubs.

Scope

The policy applies to all Council community grants, donations, including financial and in-kind support, provided to community groups, clubs, committees, other community organisations and sporting clubs within Carpentaria Shire.

Policy Statement

Council acknowledges the very important role that community groups/clubs, sporting clubs, committees and other community organisations play in the social fabric of the communities within the Shire.

Therefore, supporting the community through financial and in-kind assistance is necessary for the provision of a diverse range of programmes and projects that enhances the cultural, social, sporting, education and economic development aspirations of organisations and individuals.

The amount of assistance, financial or otherwise, available in any given financial year will be dependent on Council's budget decisions and priorities. Whilst all requests received from eligible entities will be considered on their individual merits and the current circumstances, there is no guarantee that requests will be automatically approved.

Grants, Donations and In-Kind Support

In the administration of its Grants Program, Council will consider applications and distribute funds and in-kind support in an equitable, transparent and responsible manner. Approval will only be forthcoming when Council is satisfied that the application:

- Aligns with themes and goals in Council's Corporate Plan or other strategic plans
- Addresses an identified need in the community;
- Benefits the community and is in the public interest; and
- Meets eligibility criteria outlined in this policy.

Community Grants, Donations and Support Program

Council has two separate streams of its Community Grants, Donations and Support Program which consist of:

1. Community Grants, Donations and Support in excess of \$1,000

There are two rounds each financial year with the first round opening in July and the second round opening in January. All applications must be received by the close of business on the closing date otherwise the application may not be considered.

There are limited funds available through a competitive process with applications being assessed on individual merit and the criteria established in this policy. Submission of an application does not guarantee approval and all decisions are at Council's absolute discretion.



2. Community Grants, Donations and Support less than \$1,000

One-off requests can be submitted at anytime during the financial year and wherever possible applications are to be received eight (8) weeks prior to the event occurring. Applications are still required to meet all criteria and conditions stated in this policy.

Eligibility Criteria

Community groups/clubs, sporting clubs, committees and other community organisations may apply for assistance under Council's Grant Program if they satisfy the following criteria:

- The program and/or project for which funding is requested must provide a direct benefit to the Carpentaria Shire community and align with Council's corporate goals and objectives.
- Must be based in the Carpentaria Shire Council region, have a membership base within the Carpentaria Shire, or be delivering a service which will be of a direct benefit to members of the Carpentaria Shire community.
- Be able to demonstrate viability and ongoing sustainability.
- Have no debt to council, or have entered into an acceptable repayment arrangement with Council which is being adhered to, and/or have met acquittal conditions for previous Council grants
- Must agree to comply with any reasonable conditions which Council may apply to the support provided.

Ineligibility Criteria

Applications which will generally be considered ineligible for consideration under Council's Grant Program where one or a number of the following conditions apply:

- The applicant is a political organisation;
- The applicant has previously received support and has failed to meet the conditions of that support;
- The applicant has an outstanding debt with Council (including rates and excess water bills) and an approved repayment arrangement has not or is not being adhered to;
- The project is for a private commercial (for profit) activity;
- The project does not provide a direct benefit to the Carpentaria Shire community;
- The application is for retrospective support;
- The request is for maintenance of community facilities that are owned by Carpentaria Shire Council. (These requests are to be referred to the relevant operational area of Council);
- The community organisation has a lease agreement or Memorandum of Understanding (MOU) where support is included as a term of that agreement or MOU.
- Requests for payment of service fees such as water access and sewerage access fees.

Application Process

To ensure consistency within the application process, entities are required to submit applications on the following basis:

- All applications must be submitted in the approved Community Grant, Donation and Support program application form and signed by the applicant. (Note: letters or verbal requests will not be accepted);



- Only one application may be submitted per organisation per funding round. Organisations wishing to apply for more than one event or activity per funding round are only required to complete one application form detailing all events or activities;
- Application for Community Grants, Donations and Support under the value \$1,000 are required to be received by Council eight (8) weeks prior to proposed event or activity.
- Application for Community Grants, Donations and Support over \$1,000 must:
 - i. be made within the funding round timeframes notified by Council. Applications received outside the funding round may not be considered; and
 - ii. have two (2) quotes submitted with the application.
- Should the application, either in part or wholly, be requesting in-kind support from Council then the application must include a Council quote for value of assistance sought.
- Applications involving the use of Council facilities and/or equipment may require the applicant to provide evidence of their insurance coverage with a Certificate of Currency as well as a copy of their Public Liability Insurance Policy. Council's insurance policy does not cover persons or property in activities or events not organised by Council.
- Any Council equipment must be returned in good, clean and undamaged condition or charges may be imposed as outlined in the conditions of use.

Assessment Criteria

All applications received will be assessed on their individual merits and the capacity of the applicant to satisfy the conditions and criteria of Council's Community Grants, Donations and Support Program as established in this policy. As Council has limited budget and it is a competitive process preference will be afforded to applications that:

- Demonstrate a strong community benefit either through support of local business/industry or the need for the particular project or activity;
- Provide a financial commitment from the applicant to, or demonstrate the attempts at obtaining additional funding to, co-contribute with Council towards the project or activity;
- Confirm the continued viability of the applicant entity and its capacity to successfully deliver on the project or activity.

Approval Process

All applications received under the formal Community Grants, Donations and Support Program funding rounds will be presented to Council for determination.

One-off requests that are less than \$1,000 and outside normal funding rounds will be subject to the following approval process:

- If the applicant is seeking a financial contribution then the application is to be presented to Council for determination.
- If the applicant is seeking in-kind support then this request may be approved under delegated authority by the Chief Executive Officer or their delegate. These approved requests are to be reported to an ordinary meeting of Council for information by the Manager of Economic and Community Development.

Acknowledgement of Council

Where requested, Council will expect acknowledgement of support in an appropriate manner. For example, use of Council logo on promotional material or acknowledgement of Council support in media releases.



Acquittals

Entities who receive a contribution under Council's Community Grants, Donations and Support Program that has value in excess of \$1,000 will be required to complete an acquittal report no later than six (6) weeks after the completion of the project or activity. This report must include invoices or other acceptable evidence to substantiate how Council's contribution was utilised.

If the applicant fails to complete and lodge the acquittal report to the satisfaction of Council or delegate, Council reserves the right to recover the granted funds.

Depending on the circumstances, Council, at its discretion, may request an acquittal be submitted for a contribution with a value less than \$1,000.

To assist in providing the acquittal report to Council, it is recommended that applicants refer to a copy of the original application they sent to Council.

Council reserves the right to recover any contribution or part thereof, should after the receipt and review of the acquittal report, it is determined that funds and/or assistance provided by Council were utilised for purposes that does not align with the original application.

Low Interest Loans to Sporting Clubs

To assist in fostering the goodwill provided by sporting clubs, Council will consider advancing low interest loans to clubs, in certain circumstances and subject to the individual club's capacity to meet the eligibility criteria established in this policy.

This policy provides a framework within which these loan arrangements can be applied for, approved and administered, whilst giving consideration to the following:

- a) Social Objectives – Council encourages the development of sustainable, new and innovative sporting facilities for the community at minimal cost to ratepayers. Council is looking to empower sporting organisations to take a lead role in developing and funding these developments where possible.
- b) Financial Management Objectives – Assessment of loan requests must be made within a structured framework and proper consideration given to minimising Council's exposure to loss. This can be achieved by a thorough assessment of the applicant club's capacity to service the debt, the availability of security and the impact of the loan facility on Council's financial sustainability.

Circumstances for Loan Consideration

All requests for a low interest loan must be submitted in writing and Council will consider providing a loan to a sporting club when the following criteria is satisfied:

- a) The club can demonstrate that the need for a loan exists.
- b) The purpose of the loan is to fund a capital project
- c) The applicant club can demonstrate that there is an identifiable benefit to the Carpentaria Shire Community.
- d) Council considers the project as reasonable with regards to impacts on the community within the immediate and surrounding area.
- e) The club can demonstrate that they have made reasonable endeavours to secure other available sources of funding (e.g. Grant funding, sponsorship, financial institution loan etc.).



Sporting Club Eligibility

Prior to Council considering any loan requests, clubs must be able to fulfil the following eligibility criteria:

- Be an incorporated sporting club based within the Carpentaria Shire boundaries.
- Be able to demonstrate that the club broadly caters for and benefits the general community not just a specific interest group.
- Be able to demonstrate that the club's aims and objectives are consistent with the Council's corporate goals and objectives as contained in Council's Corporate Plan.

Documentation to Support Loan Request

Sporting clubs will be required to provide Council with the following documentation before consideration will be given to advance loan funds:

- Loan submission detailing all aspects of the purpose for the loan request and addressing the criteria specified in the "Circumstances for Loan Consideration" and "Sporting Club Eligibility";
- Detailed plans for the proposed infrastructure/development;
- The details of the land tenure on which the proposed infrastructure/development will be situated and the availability of this land for security of the loan should this land not be owned or under the control of Council.
- Current balance sheet detailing the club's financial position including the monetary contribution the club will be investing into the purpose of the loan request;
- Provide copies of three years of audited financial statements for the period immediately prior to the application date;
- Detailed 10 year cash flow projection demonstrating the club's capacity to service loan borrowing and all other commitments; and
- Current membership details and member numbers for the prior three years. If there have been any significant fluctuations in membership over this period, reasons must be supplied to substantiate these fluctuations and what can be expected for future membership.

As each application will be assessed on its own merits, Council reserves the right to request any additional information it deems necessary to ensure that due diligence is applied to the assessment of the loan request.

Considering that any loans provided to sporting clubs from Council will actually be public monies, it is imperative that Council applies due diligence in its thorough assessment of the loan request and in particular the applicant club's capacity to service all its commitments including the loan borrowing.

Therefore any decision on the loan request will be reached in the public interest, based on the information supplied by the club and assessed against the criteria established in this policy.

Loan Parameters

Any approved loans for sporting clubs will generally be on the following basis:

- The maximum loan borrowing considered by Council will be \$100,000 however if exceptional circumstances exist, Council may consider advancing a higher amount.
- The interest rate applied to any loan will be equivalent to 50% of the appropriate Queensland Treasury Corporation fixed loan rate as at the date of drawdown of the loan.



- Loans will be restricted to a repayment period of an absolute maximum of 15 years for principal and interest repayments and an earlier repayment schedule may be applied to loan amounts below the maximum.

Definitions

TERM	DEFINITION
Community Organisation	Defined in schedule 8 of the <i>Local Government Regulation 2012</i> as: a) an entity that carries on activities for a public purpose; or b) another entity whose primary object is not directed at making a profit.
Donation	Is any charitable contribution made by Council to assist a person or entity. This charitable contribution may or may not be subject to conditions being met by the recipient.
Financial Support	Is a monetary contribution which includes grants, donations and low interest loans to sporting clubs.
Grant	Is an amount of money or in-kind value that is contributed by Council to a person or organisation, to achieve a specific purpose or outcome. This form of assistance may or may not be subject to conditions being met by the recipient.
In-kind Support	Is the provision of goods and services by Council that is of a non-financial value.
Queensland Treasury Corporation Fixed Loan Rate	The rate of interest that would be applied to a Council loan borrowing should Council have sought finance at that time.

Adopted by Council "Date" by Resolution "Number"

Mark Crawley
Chief Executive Officer

BUSINESS PAPERS

10.17 COMMUNITY DEVELOPMENT - DISASTER RECOVERY REPORT

Attachments:	NIL
Author:	Crystal Ploenges - Community Development Officer
Date:	20 February 2020
Key Outcome:	2.3 - A safe, sustainable and resilient community
Key Strategy:	2.3.5 Develop and implement effective community information and education programs in collaboration with key community stakeholders.

Executive Summary:

This report provides information and updates to Council on various activities and programs that are facilitated by the Community Disaster Recovery Officer.

RECOMMENDATION:

That Council:

1. receive the Community Development Disaster Recovery Report; and
2. that those matters not covered by resolution be noted.

1. MATTERS FOR INFORMATION:

1.1 Actions Outstanding from Previous Meetings

Nil

1.2 Community Scorecard Resilience Project

The Scorecard Resilience Project will use a Scorecard developed by the Torrens Resilience Institute in partnership with the National Emergency Committee. The scorecard is one part of the process necessary to help a community become more resilient in the face of a major emergency or disaster. It will provide a point in time snapshot of some key measures important to resilience, providing guidance in community life that should receive attention in order to increase resilience and strengthen resilience over time.

- A diverse range of Normanton and Karumba community members have volunteered to join the Scorecard Working Group, with an Orientation meeting scheduled for Friday 21st of February.
- Meeting Minutes to be provided to Councillors via email prior to Council meeting.

1.3 Carpentaria Disaster Recovery Assessments

Disaster Recovery Assessments have been created, targeting both Local Businesses and Community Groups respectively. The aim of the Recovery Assessments will be to:

- Capture the impacts and recovery of the 2019 Monsoonal Floods to Local Business and Community Groups to date.
-

BUSINESS PAPERS

- Identify what measures can be taken for full recovery and steps to mitigate the effects of any future disaster events.
- Educate businesses on Council's Local Preference Policy and boost Vendor Panel registrations.
- Identify Community Group initiatives and potential funding priorities over the next five years as well as any hardships they are facing and steps that may strengthen their abilities to deliver projects/programs more successfully.
- Compile information to create a Local Business & Community Group Directory.
- Referrals to Business Disaster Recovery Support and Mental Health Recovery

Initially, the Community Recovery Officer will distribute the Assessments by hand, as to support open discussion and information-sharing which may lead to targeted action. If there is resistance or inability to conduct face to face assessments, the assessments are created using PDF forms for ease of access to those wanting to submit electronically.

Information collected within the Recovery Assessments will inform the Community Recovery Officer on community needs and will ensure community-led recovery.

1.4 TAFE QLD Volunteer and Events Training Program

TAFE QLD are launching their Volunteer and Events Training program in March 2020. The training program is available to NQ residents who are paid or volunteers working in events. The training program is jointly funded by Federal and State Government under the Disaster Recovery Funding Arrangements. This training will be 100% funded and will be at no cost to Council or Community other than any catering costs.

- Although the training is non-accredited, students will receive a Statement of Participation.
- There are 3 modules – Introduction, Resilience and Leadership.
- Community Recovery Officer to attend initial training presentation via Skype on 18th of February 2020 for first look at training content and platform.
- TAFE to supply advertising material to gather interest within the Shire.
- There will be access to online modules in advance for Volunteer and Event Staff.
- Qualified facilitator to deliver training in Normanton late May 2020 if there is a high need or interest.

1.5 Volunteer QLD Disaster Preparedness Workshops

The Community Recovery officer is in discussions with Volunteer QLD to deliver education programs that build on capacity, resilience and disaster preparedness within the Shire.

BUSINESS PAPERS

These include:

- Local Business Workshops
- Youth Communications & Resilience
- Aboriginal & Torres Strait Islander Resilience
- Disaster Leadership Resilience
- Emergency Volunteering Community Workshops

There will be a fee for service for the Disaster Preparedness Workshops that will be covered under the Community Development Program. Volunteer QLD have communicated that a proposal will be available to Council by the end of February.

Consultation (Internal/External):

- Chief Executive Officer – Mark Crawley
- Director Corporate Services – Justin Hancock

Legal Implications:

- Nil.

Financial and Resource Implications:

- Within budget.

Risk Management Implications:

- Risks are relatively low – supports Council's aim of engaging with the community as well as providing key activities and facilities.

BUSINESS PAPERS

11 REPORTS FROM DIRECTOR OF ENGINEERING - ROADS & SERVICES

11.1 DOE REPORT

Attachments:	11.1.1. Attachment A - Normanton Sidewalk Accessibility ↓
Author:	Michael Wanrooy - Director of Engineering
Date:	20 February 2020
Key Outcome:	5.1 - Integrated and timely provision and management of sustainable infrastructure and assets
Key Strategy:	5.1.3 Plan and implement urban improvement works which enhance local character and identify, conserve and improve the region's streetscapes and provide iconic parkland.

Executive Summary:

This report provides information and updates to Council on various activities and programs that are facilitated within the Director Engineering's portfolio.

RECOMMENDATION:

That Council:

1. receive the Director of Engineering Report; and
2. that those matters not covered by resolution be noted.

1. Actions Arising from Previous Meetings

Reference	Action	Status
A1117-08	Construct a 1.8 metre plastic coated cyclone mesh fence around Kath Alexander Park. ➤ Work has started.	In Progress
A0318-18	Liaise with TMR to obtain approval to install a pedestrian crossing on Landsborough Street in the vicinity of the Stop Shop ➤ In Liaison with TMR	In Progress
1/11/2018	Relocate and extend tie-downs to northern side of a aircraft parking area. ➤ Materials for tie-downs delivered to stores. Put into works program. New boundary between RPT and light aircraft apron finalised on new line marking plans.	In Progress
1/11/2018	Investigate and prepare a report including scope of works and estimate of costs to reinstate the grid on the Old Croydon Road for Councils consideration. ➤	Not Started
April 19	Assess the possibility of closing this road area and creating a	Not

BUSINESS PAPERS

Reference	Action	Status
	playground/park in this area.	Started
Sept 19	Provide automotive air conditioner training to obtain R134a handling licence for fitters <ul style="list-style-type: none"> ➤ HR has arranged and booked the fitters next month to attend training 	Completed
Sept 19	Cr Bawden requested that the Director of Engineering arrange for an audit to be undertaken on all Council Buildings and Footpaths, with a strategy to be implemented to introduce disability access to these assets <ul style="list-style-type: none"> ➤ An audit has been completed. An estimate shall be prepared for June 2020 budget. Refer Attachment A – Normanton Sidewalk Accessibility 	In Progress

2. Miscellaneous Projects

- 2.1. Colin Charger and Council crew undertaking maintenance works in the Karumba on the pipeline and water plant road.
- 2.2. Smiley face speed restriction electronic sign installed in Karumba and set up by Tom Loadsman.
- 2.3. Hatchery Shed – Painting of the internal offices have started. Electrical and plumbing works are well advanced.
- 2.4. Wayne Miller's crew are currently installing the fence around the Kath Alexander Park in Karumba. The next job on their list is to complete the N150 pavers in Normanton.
- 2.5. Terry Casey's RMPC crew were busy monitoring flood levels, providing road condition reports and undertaking minor road repairs.
- 2.6. TMR Culverts Project – Asphalt works have started over the culverts on the Karumba Road. The works will be completed by 20th February 2020.
- 2.7. Glenore Bridge - Borals will place asphalt on Feb 21 at the sunken depression on the eastern approach. Once the work is completed and upon receiving TMR approval the 60km/hr speed restriction shall be lifted.
- 2.8. Glenore Weir – The repaired section have survived the current floods with minor scouring occurring in an area not impacting the new works.

BUSINESS PAPERS



Photo: New Hatchery, internal painting underway.

BUSINESS PAPERS



Photo: Plumbing works being installed at the new hatchery.



Photo: Slow down 62 - electronic speed sign in Karumba

BUSINESS PAPERS



Photo: Smiley face appears when doing below speed limit - electronic speed sign in Karumba

BUSINESS PAPERS



Photo: Asphaltting over the new culverts on the Karumba Road.

BUSINESS PAPERS



Photo: Installing fence posts and concrete footings at the Kath Alexander Park.

BUSINESS PAPERS



Photo: New rock work protection at Glenore Weir survived recent flooding.

BUSINESS PAPERS



Photo: Glenore Weir under flooding 29th January.

3. Update on Flood Damage Works

- 3.1. Council is preparing 5 camps for flood damage works. The 6th camp will go to the stabilizing crew.

4. Trades Report

- 4.1. General maintenance on camps housing and Council buildings.
- 4.2. 36 Woodward – 100% complete
- 4.3. 38 Woodward Street: 40% complete undertaking maintenance repairs.
- 4.4. 23 Woodward Street – 60% completed, completed strip out of internal due to vermin, rot and loose wall/ceiling sheeting. Malcolm rebuilding and straightening walls, electrical wiring and plumbing pipes replaced. Kitchen has been ordered through Gulf Constructions.
- 4.5. 2 Norman Street - 60% completed, Gulf constructions have completed new walls and ceilings. They are starting to install the new kitchen and working on the new toilet and bathroom.

BUSINESS PAPERS



Photo: Work being done on 23 Woodward Street

5. New Projects/Grant Applications

- 5.1. Council has been successful in its submission, under the DRFA category B and D, for \$3,401,774.73 of new bitumen betterment works on the Burketown Road. Council must contribute \$135,120.52. This funding in combination with the \$1,820,000 TIDS/R2R works restarting in July 2020 should deliver approximately 12km – 15km of new two lane bitumen works for the stabilising crew.
- 5.2. Council has submitted a project proposal to apply for the 2020-2021 ATSI TIDS funding to raise the Dunbar Creek on the Kowanyama Road. The estimated project cost is \$925,000.

BUSINESS PAPERS



Photo: Dunbar Creek Crossing – Kowanyama Road – 27/03/19.

6. Reports

- 6.1. Attachment A: Normanton Sidewalk Accessibility.

Normanton Sidewalk Accessibility

Inspected 10/12/2019.



- | | | | |
|--|-----------------------------|---------------------------------------|--|
| 1. Abrupt, steep concrete ramp. | 7. Standard concrete ramp. | 13. Standard concrete ramp. | 19. Metal ramp. Varying on too steep. |
| 2. Metal and asphalt ramp. Reasonable incline / decline. | 8. Standard concrete ramp. | 14. Standard concrete ramp. | 20. Metal ramp. Reasonable incline / decline. |
| 3. None. | 9. Standard concrete ramp. | 15. Standard concrete ramp. | 21. Metal ramp. Missing one ramp. Rough surface. Reasonable incline / decline. |
| 4. None. | 10. Standard concrete ramp. | 16. Standard concrete ramp. | 22. Metal ramp. Reasonable incline / decline. |
| 5. Good access, flat. Metal ramp. | 11. Standard concrete ramp. | 17. Standard concrete ramp. | |
| 6. Good access, flat. Metal ramp. | 12. Standard concrete ramp. | 18. Metal ramp. Varying on too steep. | |

BUSINESS PAPERS

11.2 NDRRA/QDRF REPORT

Attachments:	11.2.1. Appendix A - QRA18 Expenditure Summary ↓ 11.2.2. Appendix B - QRA18 Completion ↓ 11.2.3. Appendix C - QRA19 Expenditure Summary ↓ 11.2.4. Appendix D - QRA19 Completion ↓ 11.2.5. Appendix E - Betterment Projects ↓
Author:	John Martin - Consultant Engineering
Date:	20 February 2020
Key Outcome:	5.2 - A safe and sustainable road network
Key Strategy:	5.2.1 Plan and deliver a safe, sustainable and efficient road network.

Executive Summary:

QRA17 REPA acquittal process (including audits and inspections) has been completed.

QRA18 REPA is currently 97% complete with only minor roads remaining to be constructed prior to the June 30, 2020 deadline.

QRA19 EW has been acquitted and \$4,291,987.61 reimbursed to Council.

QRA19 REPA submissions (1, 2 & 3 approved - 4 & 5 approval in principal) have a total estimated RV in excess of \$60million. Submission 6 (town streets, flood gauges and the Mitchell River Crossing) has been submitted to QRA and is awaiting feedback.

QRA20 has been activated for CDO, EW and REPA.

QRA have approved four (4) Betterment projects with a further nine (9) under consideration.

TMR19 EW (\$3.7million) has been approved in full and paid to Council.

TMR18 and TMR19 REPA works are expected to be constructed in 2020.

TMR19 Betterment contract for 89B (\$5.5million) has been awarded to Council for construction in 2020.

The 2020 Plant Hire Tender has been assessed and a request for information sent to tenderers who had a minor non-conformance.

RECOMMENDATION:

That Council:

1. Accepts the NDRRA/QDRF Report as presented; and
2. That those matters not covered by resolution be noted.

Background:

2017 QRA Restoration

1. The QRA17 Program is completed with Council reimbursed for all eligible costs. \$598,700 was deemed not recommended expenditure as per the funding agreements (day labour contribution, ineligible plant costs, ineligible oncosts, incorrect gravel bookings and trigger point contribution).

BUSINESS PAPERS

2018 QRA Restoration

1. The QRA18 Program (\$13.8million construction value) is approximately 97% complete and has a forecast final construction cost of \$19.6million. Refer Appendix A and B.
2. Recent benchmarking (based on the 2018 construction season) confirmed the actual construction costs are approximately 40% higher than the RV rates. Updated benchmarking rates have been approved for the QRA19 program of works and the variance for the QRA18 project will be finalised during the close out process.
3. QRA18 construction work has ceased for the wet season. The remaining roads to be constructed prior to June 30, 2020 are Karumba Pipeline, Normanton Gun Club, Ten Mile, Warrenvale Access, Wernadinga Access, Glenore Pump Station Access, Rutland Plains Access and Sawtell Access for a total construction RV of approximately \$600K.
4. Construction will recommence as soon as possible in 2020 once roads dry out sufficiently and prior to the June 30 deadline.

2019 QRA Event

1. Due to significant rainfall and flooding from the North and Far North Queensland Monsoon Trough (25 January to 14 February), Carpentaria Shire has been “activated” for Counter Disaster Operations (CDO), Emergency Work (EW), Restoration of Essential Public Assets (REPA) and Category D betterment funding.
2. QRA19 Emergency Work claims have undergone a final acquittal assessment by QRA with \$4,291,987.61 reimbursed to Council. \$162,577.72 was considered not recommended expenditure as per the funding agreement. These costs included the day labour contribution, ineligible oncosts and ineligible plant costs.
3. QRA19 REPA is expected to be in excess of \$60million, distributed as follows:
 - Submission 1 (Principal Roads) RV \$23 million. Approved and 30% prepayment paid to Council.
 - Submission 2 (Dunbar to Kowanyama Road) – Project RV \$7.3million. Approved and 30% prepayment paid to Council.
 - Submission 3 (Secondary Roads) – Project RV \$12.1 million. Approved and 30% prepayment paid to Council.
 - Submission 4 (Southern Roads) – Project RV approx. \$13.6million. Initial VFM and Compliance review completed.
 - Submission 5 (Northern Roads) – Project RV approx. \$10.1million. Initial VFM and Compliance review completed.

BUSINESS PAPERS

- Submission 6 (Town Streets, Flood gauges, MR Crossing) – Project RV approx. \$0.85 million. Submitted and awaiting QRA feedback.
- 4. Works have ceased for the wet season with construction on Iffley Road reaching approximately 52% completion (refer Appendix C and D).
- 5. Construction will recommence as soon as possible in 2020 once roads dry out sufficiently.
- 6. QRA has approved the following four betterment projects:
 - Little Bynoe North Approach works (\$346,000.00 - 50% complete).
 - Critters Camp Communication (\$150,150.00 – 100% complete).
 - Monsoon Trough Flood Impact Study (\$60,000.00).
 - Desludging of the Normanton Sewerage Lagoon (\$734,508.00).
- 7. Nine (9) additional QRA Betterment projects (Category B & D Funding) have been submitted to QRA and are awaiting an outcome – refer Appendix E.

2020 QRA Event

1. Due to significant rainfall and flooding from the Queensland Monsoonal Flooding event (23 January to 3 February 2020), Carpentaria Shire has been “activated” for Counter Disaster Operations (CDO), Emergency Works (EW) and Reconstruction of Essential Public Assets (REPA).
2. Damage assessments of Principal roads has started prior to the commencement of Emergency works.

2019 TMR

1. TMR19 Emergency Works have been approved in full and payment of approx. \$3.7million received by Council.
2. Following a meeting with TMR in Cloncurry and a teleconference, all TMR18 and TMR19 REPA submissions will be reassessed and submitted to QRA for approval to allow construction to be completed in 2020. A construction value in the order of \$15million has been estimated for REPA works.
3. TMR 19 Betterment tender (\$5.5million) has been approved for construction in 2020. The project will include importing 200mm of base course material, stabilising and sealing the 15km section from CH45.5 – 60.3 located south of the Glencoe to Miranda Downs turnoff and connecting with the existing seal just north of the turnoff.

BUSINESS PAPERS

2020 Plant Hire Tenders

1. The Request for Tender was released on Friday 22 November 2019 and tender submissions closed on 10th of January 2020.
2. The Tender Assessment list has been completed and submitted to Council. The tenders have been assessed against mandatory criteria and deemed either conforming or non-conforming. Due to the number of minor non-conforming tenders a request for information has been sent to tenderers to supply additional supporting information.

Consultation (Internal/External):

- Chief Executive Officer – Mark Crawley
- Director of Engineering – Michael Wanrooy
- ERSCON Consulting Engineers – John Martin and Nick Lennon

Legal Implications:

- Nil.

Financial and Resource Implications:

- QRA17 Trigger Point contribution - \$33,443
- QRA17 10% Council contribution to day labour - \$170,443.56
- QRA18 Trigger Point contribution - \$29,085
- QRA18 10% Council contribution to day labour - \$176,982.87
- QRA19 Trigger Point contribution - \$32,408
- QRA19 10% Council contribution to day labour - \$21,994.64

Risk Management Implications:

- Low – QRA18 – Impacts to the construction programme from other Council projects and absenteeism.
- Low – QRA19 – Large scope of work to be completed prior to the June 30, 2021 deadline. Additional resources can be engaged to ensure deadline is met.

CARPENTARIA SHIRE COUNCIL
 SUMMARY OF QRA18 EXPENDITURE

CURRENT
 Project Completed
 Forecast Project Expenditure to RV
 Ratio

12/02/2020
 96.5%
 1.67



Submission 1 - CIC 56, 18					
Road Name	Recommended Value	Expenditure	Complete (%)	Expected Expenditure Ratio	Notes
Glencoe to Miranda Downs Road	\$ 2,050,012.00	\$ 3,252,611.48	100%	1.59	Approved rates for construction too low. Variation to rates has been approved for QRA19 construction season.
TOTAL	\$ 2,050,012.00	\$ 3,252,611.48			

*Expected expenditure ratio is the ratio of final expenditure divided by the recommended value. (i.e. 1.5 is 50% over budget, 0.8 is 20% under budget)

Submission 2 - CIC 58, 18					
Road Name	Recommended Value	Expenditure	Complete (%)	Expected Expenditure Ratio	Notes
Inkerman Road	\$ 720,888.00	\$ 723,988.86	100%	1.02	
Death Island Access	\$ 650,025.00	\$ -	0%	1.00	
Pumpuraw Road	\$ 135,540.00	\$ 247.35	0%	1.00	
TOTAL	\$ 1,446,453.00	\$ 723,636.37			

Submission 3 - CIC 58, 18					
Road Name	Recommended Value	Expenditure	Complete (%)	Expected Expenditure Ratio	Notes
Klarville Road	\$ 885,291.00	\$ 888,143.56	100%	1.00	
Slomere Access (Surveyors)	\$ 15,415.00	\$ 30,339.34	100%	1.82	Ratio not representative due to small scope of work.
Broadwater to Ifley Road	\$ 3,213,620.00	\$ 1,937,267.39	100%	1.40	Approved rates for construction too low. Variation to rates has been approved for QRA19 construction season.
Wondoola Access	\$ 121,803.00	\$ 88,205.07	100%	0.73	Overlapping costs with Wondoola Bypass.
Wondoola Bypass Road	\$ 280,235.00	\$ 329,789.53	100%	1.18	Overlapping Costs with Wondoola Access.
Ifley Road	\$ 895,235.00	\$ 778,994.80	100%	1.97	Approved rates for construction too low. Incremental works increased costs due to multiple establishments/disestablishments. Variation to rates has been approved for QRA19 construction season.
TOTAL	\$ 2,754,619.00	\$ 3,858,672.67			

Submission 4 - CIC 54, 18					
Road Name	Recommended Value	Expenditure	Complete (%)	Expected Expenditure Ratio	Notes
Augustine Downs Access	\$ 8,599.00	\$ 4,258.27	100%	0.50	Ratio not representative due to small scope of work.
Cowan Downs Access	\$ 152,798.00	\$ 92,598.62	100%	0.79	Mobilisation costs shared with adjacent Donors Hill Access.
Donors Hill Access	\$ 85,624.00	\$ 156,498.11	100%	1.81	Approved rates for construction too low. Variation to rates has been approved for QRA19 construction season.
Donors Hill to Augustine Downs Road	\$ 954,839.00	\$ 809,943.35	100%	2.28	Constructed simultaneously with 2017 works with overlapping costs booked to this job. Issues with water access. Approved rates for construction too low. Variation to rates has been approved for QRA19 construction season.
Sornaire Access	\$ 46,397.00	\$ 65,140.36	100%	1.40	Approved rates for construction too low. Variation to rates has been approved for QRA19 construction season.
Naradoo to Leichardt Road	\$ 17,953.00	\$ 11,187.92	100%	1.74	Ratio not representative due to small scope of work.
Neumayer Valley Access	\$ 48,445.00	\$ 96,739.08	100%	1.99	Approved rates for construction too low. Variation to rates has been approved for QRA19 construction season.
Overleigh Access	\$ 13,694.00	\$ 11,922.00	100%	0.80	Overlapping costs with Neumayer to Burketown Road.
Kalwood Access	\$ 201,264.00	\$ 165,912.35	100%	0.82	Cost savings from proximity to Neumayer.
McAllister Road	\$ 472,115.00	\$ 1,329,702.34	100%	2.89	Approved rates for construction too low. Variation to rates has been approved for QRA19 construction season.
Karumba Pipeline Service Access	\$ 94,574.00	\$ 50,612.92	0%	1.00	
Sturmantown Gun Club Access	\$ 33,061.00	\$ -	0%	1.00	
Ten Mile Road	\$ 493,062.00	\$ 493,180.69	43%	2.26	Approved rates for construction too low. Variation to rates has been approved for QRA19 construction season.
Warrenvale Access	\$ 35,485.00	\$ 304.39	0%	1.00	
Warndunga Access	\$ 39,707.00	\$ 297.39	0%	1.00	
TOTAL	\$ 2,698,207.00	\$ 3,066,577.35			

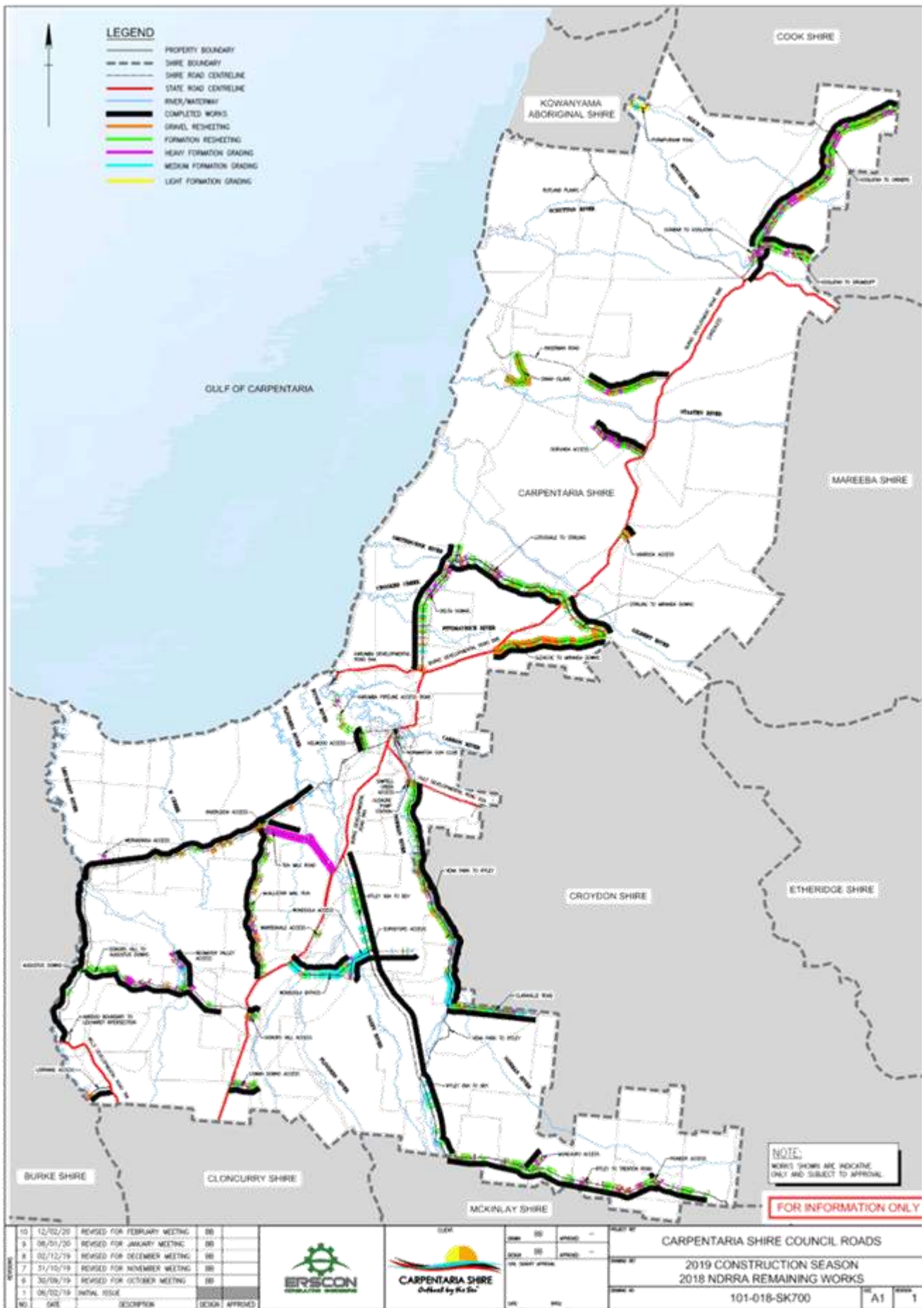
Submission 5 - CIC 53, 18					
Road Name	Recommended Value	Expenditure	Complete (%)	Expected Expenditure Ratio	Notes
Dononda Access	\$ 584,053.00	\$ 840,475.55	100%	1.44	Approved rates for construction too low. Variation to rates has been approved for QRA19 construction season.
Vainovik Access	\$ 122,744.00	\$ 179,263.88	100%	1.46	Approved rates for construction too low. Variation to rates has been approved for QRA19 construction season.
TOTAL	\$ 706,797.00	\$ 1,019,739.29			

Submission 6 - CIC 55, 18					
Road Name	Recommended Value	Expenditure	Complete (%)	Expected Expenditure Ratio	Notes
Neumanton to Burketown Road	\$ 600,885.00	\$ 1,877,626.07	100%	3.13	QRA19 works incorrectly booked to QRA18 and currently being assessed prior to transfer. Approved rates for construction too low. Variation to rates has been approved for QRA19 construction season.
TOTAL	\$ 600,885.00	\$ 1,877,626.07			

Submission 8 - CAC 5/1/18					
Road Name	Recommended Value	Expenditure	Complete (%)	Expected Expenditure Ratio	Notes
Whey to Trenton Road	\$ 804,195.00	\$ 843,269.20	100%	1.42	Approved rates for construction too low. Variation to rates has been approved for QRA18 construction season.
Mumferson Access	\$ 35,479.00	\$ 24,991.46	100%	0.70	Mobilisation and camp costs shared with adjacent Whey - Trenton Road.
Pioneer Access	\$ 16,622.00	\$ 14,480.74	100%	0.87	Mobilisation and camp costs shared with adjacent Whey - Trenton Road.
TOTAL	\$ 856,296.00	\$ 882,761.40			

Submission 9 - CAC 6/1/18					
Road Name	Recommended Value	Expenditure	Complete (%)	Expected Expenditure Ratio	Notes
Koolatah to Dixie Road	\$ 1,627,301.00	\$ 2,331,552.54	100%	1.43	Approved rates for construction too low. Variation to rates has been approved for QRA18 construction season.
Dunbar to Koolatah Road	\$ 130,343.00	\$ 155,466.34	100%	1.41	Approved rates for construction too low. Variation to rates has been approved for QRA18 construction season.
Koolatah to Drumstuff Road	\$ 410,953.00	\$ 490,983.88	100%	1.58	Approved rates for construction too low. Variation to rates has been approved for QRA18 construction season.
Stirling to Miranda Downs Road	\$ 240,727.00	\$ 500,393.92	100%	2.08	Approved rates for construction too low. Variation to rates has been approved for QRA18 construction season.
Delta Downs Road	\$ 371,952.00	\$ 1,121,871.54	100%	3.02	Using gravel haul from Lilyvale Pit. Approved rates for construction too low. Variation to rates has been approved for QRA18 construction season.
Lilyvale to Stirling Road	\$ 777,306.00	\$ 1,297,623.87	100%	1.67	Approved rates for construction too low. Variation to rates has been approved for QRA18 construction season.
Ryeford Plains Access	\$ 2,757.00	\$ --	0%	1.00	
TOTAL	\$ 3,641,359.00	\$ 5,897,889.09			

Submission 11 - CAC 9/1/18					
Road Name	Recommended Value	Expenditure	Complete (%)	Expected Expenditure Ratio	Notes
Glencore Weir Road	\$ 31,352.00	\$ --	0%	1.00	
Swatfell Creek Access	\$ 6,660.00	\$ --	0%	1.00	
TOTAL	\$ 38,012.00	\$ --			



CARPENTARIA SHIRE COUNCIL
 SUMMARY OF QRA19 EXPENDITURE

CURRENT **12/02/2020**
Project Completed **12.3%**
Forecast Project Expenditure to RV Ratio **0.95**



Submission 1 - CSC 0004 1819 REC					
Road Name	Construction Recommended Value	Expenditure	Complete (%)	Expected Expenditure Ratio	Notes
Illey Road	\$ 7,965,253.97	\$ 3,678,212.80	52%	0.89	Expected re-establishment costs at the start of 2020 construction season is expected to align expenditure closer to Recommended Value.
Normanton to Burkettown Road	\$ 8,345,264.72	\$ -	0%	0.00	Costs incorrectly booked to 2018 Normanton to Burkettown Job. Costs to be transferred to this job for work completed.
Donors Hill to Augustus Downs Road	\$ 1,235,778.13	\$ -	0%	1.00	
Dunbar Koolatah Road	\$ 40,500.00	\$ 22,575.87	55%	1.01	Costs incurred to order flood camera parts, construction not yet commenced.
TOTAL	\$ 17,586,796.82	\$ 3,700,788.67			

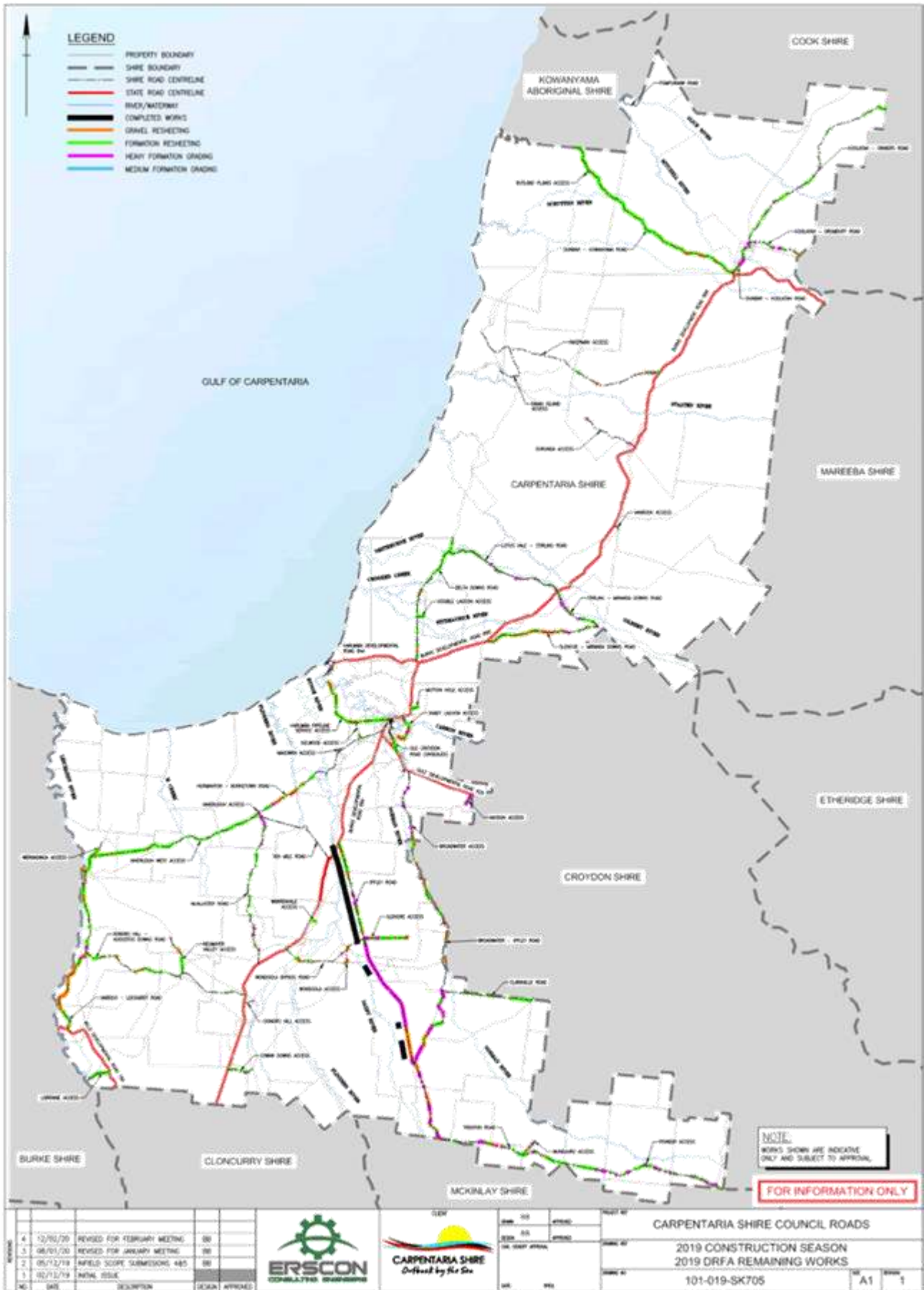
*Expected expenditure ratio is the ratio of final expenditure divided by the recommended value. (i.e. 1.5 is 50% over budget, 0.8 is 20% under budget)

Submission 2 - CSC 0010 1819 REC					
Road Name	Construction Recommended Value	Expenditure	Complete (%)	Expected Expenditure Ratio	Notes
Dunbar to Kowanyama Road	\$ 5,772,450.47	\$ -	0%	1.00	
TOTAL	\$ 5,772,450.47	\$ -			

Submission 3 - CSC 0008 1819 REC					
Road Name	Construction Recommended Value	Expenditure	Complete (%)	Expected Expenditure Ratio	Notes
Koolatah to Dixie Road	\$ 1,037,829.19	\$ -	0%	1.00	
Trenton Road	\$ 3,047,067.71	\$ -	0%	1.00	
Nardoo to Leichardt Road	\$ 5,457,880.01	\$ -	0%	1.00	
TOTAL	\$ 9,542,776.91	\$ -			

Submission 4 (CSC 0013 1819) REC					
Road Name	Construction Recommended Value	Expenditure	Complete (%)	Expected Expenditure Ratio	Notes
Delts Downs Road	\$ 1,234,193.09	\$ -	0%	1.00	
Dononda Access	\$ 63,638.91	\$ -	0%	1.00	
Double Lagoon Access	\$ 352,360.02	\$ -	0%	1.00	
Dunbar to Koolatah	\$ 623,749.80	\$ -	0%	1.00	
Glencoe to Miranda Downs	\$ 2,336,152.96	\$ -	0%	1.00	
Inkerman Access	\$ 375,844.83	\$ -	0%	1.00	
Koolatah to Drumbuff	\$ 400,021.44	\$ -	0%	1.00	
Lottovale to Stirling	\$ 886,520.02	\$ -	0%	1.00	
Mutton Hole Access	\$ 337,093.03	\$ -	0%	1.00	
Rutland Plains Access	\$ 63,784.92	\$ -	0%	1.00	
Shady Lagoon Access	\$ 706,726.20	\$ -	0%	1.00	
Stirling to Miranda Downs	\$ 714,067.74	\$ -	0%	1.00	
TOTAL	\$ 7,949,231.58	\$ -			

Submission 5 CSC 0019 1819 REC					
Road Name	Construction Recommended Value	Expenditure	Complete (%)	Expected Expenditure Ratio	Notes
Broadwater to Illey	\$ 5,317,286.59	\$ -	0%	1.00	
Broadwater Access	\$ 7,458.24	\$ -	0%	1.00	
Clarville	\$ 631,333.14	\$ -	0%	1.00	
Cowan Downs Access	\$ 192,966.61	\$ -	0%	1.00	
Donors Hill Access	\$ 72,467.83	\$ -	0%	1.00	
Glenroy Access	\$ 909,509.81	\$ -	0%	1.00	
Haydon Access	\$ 195,907.01	\$ -	0%	1.00	
Inverleigh Access	\$ 5,072.11	\$ -	0%	1.00	
Inverleigh Access (Secondary)	\$ 4,592.06	\$ -	0%	1.00	
Inverleigh West Access	\$ 76,059.05	\$ -	0%	1.00	
KBA Pipeline Service Access	\$ 1,631,989.21	\$ -	0%	1.00	
Kerwood Access	\$ 63,632.75	\$ -	0%	1.00	
Lorraine Access	\$ 608,535.79	\$ -	0%	1.00	
McAlister	\$ 917,761.37	\$ -	0%	1.00	
Mundjuro Access	\$ 240,585.23	\$ -	0%	1.00	
Nivunyer Valley Access	\$ 346,224.08	\$ -	0%	1.00	
Old Croydon (Unsealed)	\$ 407,864.35	\$ -	0%	1.00	
Pipers Access	\$ 43,036.66	\$ -	0%	1.00	
Warrenville Access	\$ 155,485.20	\$ -	0%	1.00	
Warrindings Access	\$ 358,899.18	\$ -	0%	1.00	
Woodsdale Access	\$ 224,682.17	\$ -	0%	1.00	
Woodsdale Bypass	\$ 364,937.20	\$ -	0%	1.00	
TOTAL	\$ 10,733,401.94	\$ -			



Betterment Projects Submitted

Project no.	Asset	Category	Start CH	End CH	Length	Associated NEPA Funding	Betterment Funding	Aplicant Contribution	Estimated TOTAL Project Cost
CSC-EOI-0454	Glenore Weir Scour	Water					\$ 60,000.00	\$ -	\$ 60,000.00
CSC-EOI-0455	Glenore Weir Pumps	Water					\$ 50,000.00	\$ -	\$ 50,000.00
CSC-EOI-0483	Normanton-Burktown	Betterment	37.42	46.661	9.241	\$ 380,000.00	\$ 1,800,000.00	TIDS	\$ 2,180,000.00
CSC-EOI-0488	Normanton-Burktown	Betterment	53.218	55.742	2.524	\$ 170,000.00	\$ 510,000.00	TIDS	\$ 680,000.00
CSC-EOI-0492	Dunbar-Kowaryama	Betterment	2.342	6.431	4.089	\$ 240,000.00	\$ 650,000.00	\$ -	\$ 890,000.00
CSC-EOI-0493	Dunbar-Kowaryama	Betterment	9.336	11.642	2.306	\$ 170,000.00	\$ 380,000.00	\$ -	\$ 550,000.00
CSC-EOI-0494	Dunbar-Kowaryama	Betterment	12.585	14.069	1.484	\$ 90,000.00	\$ 270,000.00	\$ -	\$ 360,000.00
CSC-EOI-0495	Dunbar-Kowaryama	Betterment	17.76	20.775	3.015	\$ 210,000.00	\$ 480,000.00	\$ -	\$ 690,000.00
CSC-EOI-0496	Dunbar-Kowaryama	Betterment	28.964	31.555	2.591	\$ 145,000.00	\$ 420,000.00	\$ -	\$ 565,000.00

BUSINESS PAPERS

11.3 WATER AND WASTE REPORT - JANUARY 2020

Attachments: 11.3.1. Letter to Residents [↓](#)
Author: Ben Hill - Manager Water and Sewerage
Date: 20 February 2020

Key Outcome: 5.3 - A safe and sustainable water network
Key Strategy: 5.3.1 Plan, deliver and manage efficient and sustainable, high quality, water supply systems.

Executive Summary:

Normanton Water Treatment Plant (WTP), Karumba Sewage Treatment Plant (STP) and Normanton STP are operating effectively. The following items of interest are discussed in further detail within the report:

- Glenore Weir is overflowing with an approximate height of 5.45m AHD.
- Total treated water was 62.8ML for the month.
- A shutdown to repair raw water line leaks and plant maintenance occurred.
- Filters #2 refurbishment has been completed.
- Betterment funding has been approved to do works at Normanton STP.
- The current vacancy at Normanton Landfill has been filled.
- Efforts are being made to prevent and clean up the illegal dumping in Karumba.
- Eight E-one pumps were replaced in Karumba during the month.

RECOMMENDATION:

That Council:

1. accepts the Water and Wastewater Report as presented for the period ending 31st January 2020; and
2. that those matters not covered by resolution be noted.

Background:

Glenore Weir

The river level at Glenore Weir was estimated to be 9.85m (AHD 5.45m) on the 31st of January 2020, representing a significant increase in water levels due to recent rainfall (see Figure 1). The Bureau of Meteorology recorded 489.6mm rainfall at Normanton Airport during the month.

BUSINESS PAPERS

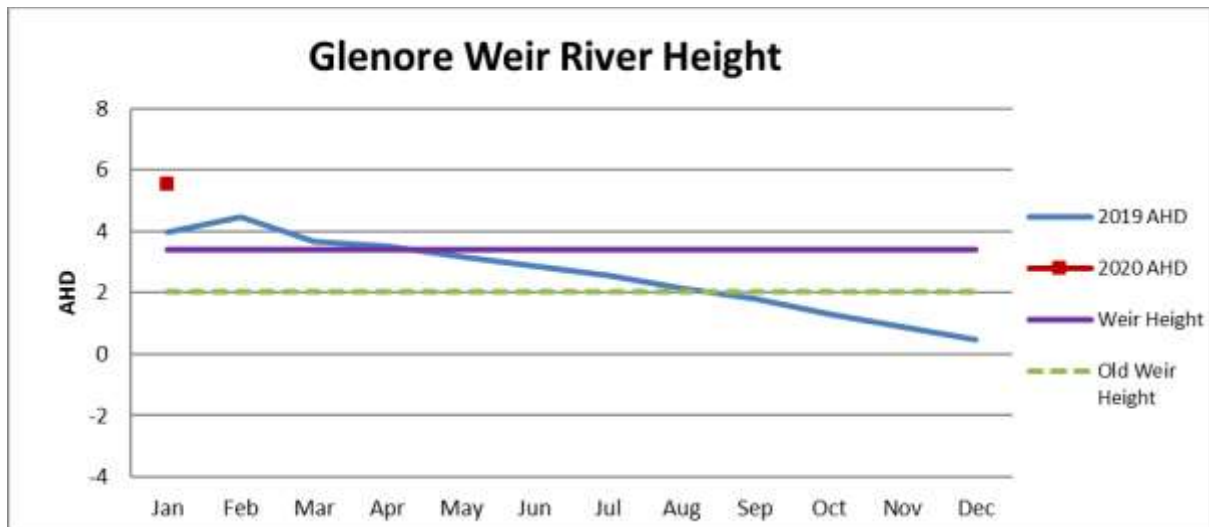


Figure 1: River height on last day of the month

Normanton Water Treatment Plant

For the month, 59.6ML was pumped from Glenore Weir and 3.2ML from the Normanton bore for a total of 62.8ML of raw water. As can be seen in Figure 2, water consumption is much lower than the same time last year due to the rainfall received.

Normanton consumed 32.8ML (52.3%) and 21.7ML (34.6%) was pumped to Karumba, 3.3ML (5.3%) was used for backwashing and bulk water supply with the remaining 7.8% recorded to treatment losses.

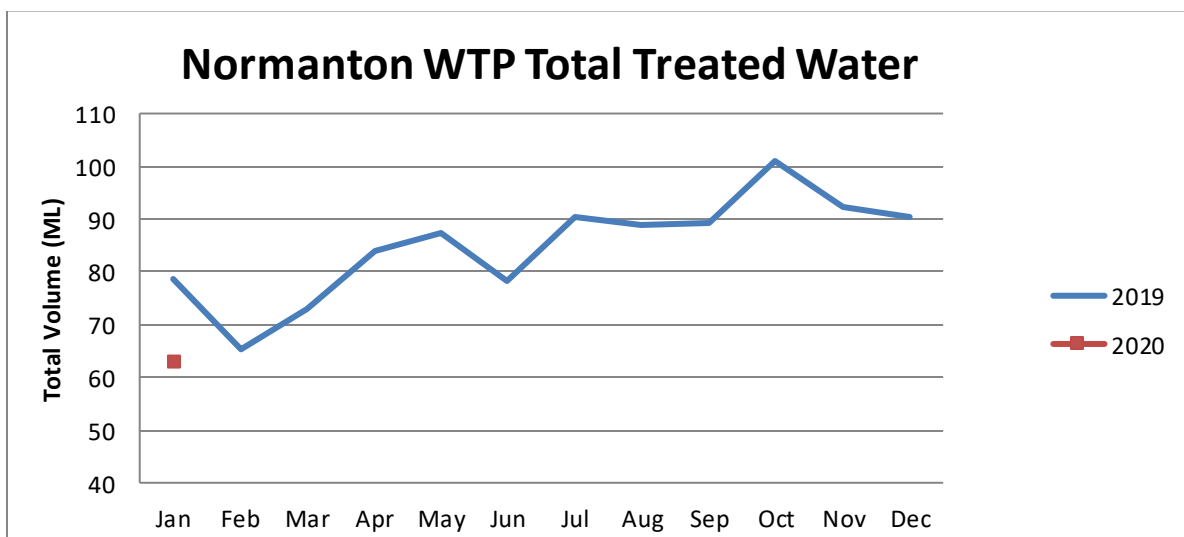


Figure 2: Total raw water treated

Maintenance and Upgrades

The water plant has been shut-down during the month to perform repairs on the raw water line coming from Glenore weir pipeline. As previously discussed, the pipeline is aging and unable to handle the increased demand as well as increasing pumping costs due to the

BUSINESS PAPERS

friction losses caused by the smaller pipe. Investigations will continue into appropriate sizing and for opportunities to secure funding for installation of a new larger pipe which will also create increased redundancy.

During the shutdowns, all chemical dosing equipment has been cleaned and flushed as well as other mechanical equipment having general maintenance performed. The changing water characteristics (due to river flushing) and regular power outages have led to an increase in call outs to make adjustments. This is a normal occurrence at this time of year, however, efforts will be made to better automate the process to prevent some of the call outs for next year.

Water Treatment Australia (WTA) have now completed the Filter 2 refurbishment and along with Filter 1 is operating quite well. They are contracted to complete Filters 3 and 4 with an option in Council's favour to complete Filters 5 and 6. The two filters that have been completed are operating far superior to the others and improvements to their configuration have provided operations staff with greater flexibility and will improve water quality, including disinfection by-products which seem to be a significant area of interest to the regulators in the short-term future.

Normanton STP and Sewerage Reticulation Network

Normanton Sewerage Treatment Plant (STP) received an estimated 10.0ML (see Figure 3) of wastewater in January which was evaporated or used for irrigation.

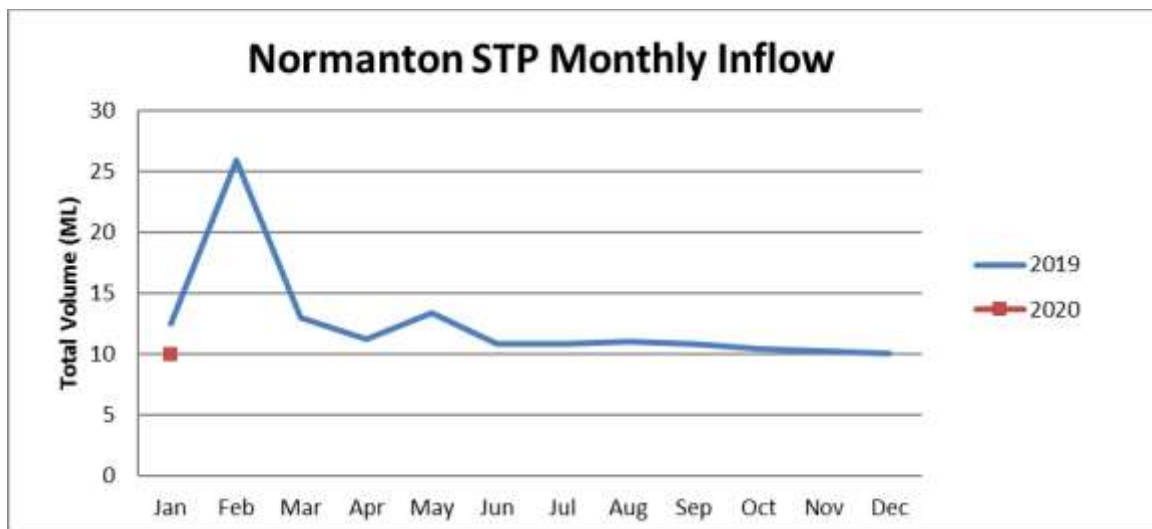


Figure 3: Total volume treated at Normanton STP

Maintenance and Upgrades

General maintenance tasks and repairs were carried out by operations staff members throughout the month. The pump stations and STP have pumped/received more volume than usual due to the extra rainfall and infiltration within the system. Pump station 2 experienced a breakdown during a storm which required electrical components to be replaced and a replacement pump to be installed. The standby pump was then able to be removed and refurbished by the new senior operator and reinstated into the well.

BUSINESS PAPERS

Karumba STP and Low Pressure Network

Karumba sewage treatment facility treated approximately 4.2ML (see Figure 4) for January.

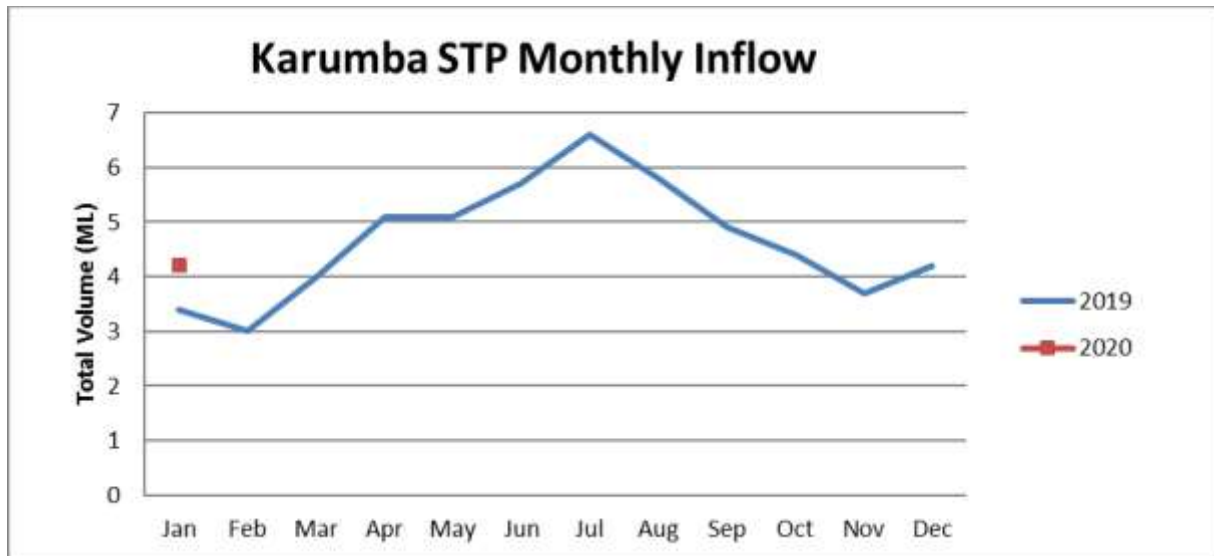


Figure 4: Total Monthly inlet flow for Karumba STP

Compliance

During the month, all samples collected and analysed were within licence requirements.

Maintenance and Upgrades

Karumba STP had general maintenance carried out as necessary. For the month, eight e/one pumps were replaced.

Karumba Waste Transfer and Normanton Landfill

As stated in the previous monthly report, the Normanton Landfill operator is no longer working with Council which has led to a return to the previous practice of using town crew staff when they are available to perform maintenance. A suitable applicant has been selected to take over the role, he is expected to commence in mid-February and will start to clean up the facility again. He will also recommence landfill compaction and sorting of materials including erecting signage and educating the general public.

Works have commenced behind the Karumba Transfer Station to remove and prevent illegal dumping/littering. Council has been successful in receiving funding for two projects related to preventing illegal dumping which are for installation of cameras and monitoring equipment and another for a compliance officer to periodically patrol the region and administer fines/warnings. In addition to this, signage and investigation tape has been put up in an attempt to prevent people dumping. Letters have also been distributed to the public regarding the penalties and fines that can result if people are caught illegally dumping (attached). The transfer station operator is also spending time on the machinery sorting/cleaning the rubbish, however, wet weather has halted progress.

BUSINESS PAPERS

Consultation (Internal/External):

- Director of Engineering - Michael Wanrooy.
- Manager Water and Waste - Ben Hill.

Legal Implications:

- Low – within normal operational parameters.

Financial and Resource Implications:

- Medium – upgrades required for 2019/20 financial year to remain compliant.

Risk Management Implications:

- Nil.

Enquiries: Ben Hill – 4745 2200
 Carpentaria Shire Council
 PO Box 31
 Normanton QLD 4890

Tuesday 21st January 2020

Waste Reduction and Recycling Act 2011 – Enforceable Fines

Dear Resident,

Carpentaria Shire Council is currently experiencing a spike in illegal dumping and as a result will be enforcing fines to all residents under the Waste Reduction and Recycling Act 2011. The Waste Reduction and Recycling Act provides legislation to manage litter and illegal dumping in Queensland. Under this Act it is an offence for a person to unlawfully deposit waste.

The Waste Reduction and Recycling Act 2011, allows authorised persons, which under the delegation register is the Chief Executive Officer, to issue penalty infringement notices (fines) as well as compliance notices for the clean-up of the illegal dumping. This may involve the collection, transportation, storage, treatment or disposal of the waste to ensure the impact on the environment is minimised and the person responsible does not impose a cost to the Council.

The penalty unit and their associated infringements are dependant on the type and size of the waste and are highlighted in the below table;

Section of Waste Reduction & Recycling Act	Offence description	PIN		Maximum penalty	
		Units	\$	Units	\$
103(1)(a)	Deposit dangerous litter* - individual	4	\$533	40	\$5,338
103(1)(a)	Deposit dangerous litter - corporation	16	\$2,135	200	\$26,690
103(1)(b)	Deposit litter - individual	2	\$266	30	\$4,003
103(1)(b)	Deposit litter - corporation	10	\$1,334	150	\$20,017
104(1)(a)	Illegally dump waste less than 2500L - individual	16	\$2,135	400	\$53,380
104(1)(a)	Illegally dump waste less than 2500L - corporation	50	\$6,672	2000	\$266,900
104(1)(b)	Illegally dump waste greater than 2500L - individual	20	\$2,669	1000	\$133,450

104(1)(b)	Illegally dump waste greater than 2500L - corporation	75	\$10,008	5000	\$667,250
110(5)	Advice to Chief Executive about placing or attaching documents - individual	3	\$400	40	\$5,338
110(5)	Advice to Chief Executive about placing or attaching documents - corporation	10	\$1,334	200	\$26,690
111(5)	Advice to Chief Executive about delivering or distributing advertising material - individual	3	\$400	40	\$5,338
111(5)	Advice to Chief Executive about delivering or distributing advertising material - corporation	10	\$1,334	200	\$26,690
112(2)	Avoiding accumulations of waste – does not become waste - individual	5	\$667	100	\$13,345
112(2)	Avoiding accumulations of waste – does not become waste - corporation	25	\$3,336	500	\$66,725
112(3)	Avoiding accumulations of waste – collect material from the premises - individual	5	\$667	100	\$13,345
112(3)	Avoiding accumulations of waste – collect material from the premises - corporation	25	\$3,336	500	\$66,725
238(1)	Contravention of an information requirement			50	\$6,672
238(1)	Contravention of an information requirement - organisation			250	\$33,362
242	Person must not give false or misleading information – authorised person			1665	\$222,194
243 (1)	Person must not obstruct an authorised person exercising their power under the Act			165	\$22,019
244	Person must not impersonate an authorised person.			50	\$6,672
251(a)	Person must comply with a compliance notice – Sections 107(1), 108, 109(1) and 109(2) – individual	3	\$400	40	\$5,338
251(a)	Person must comply with a compliance notice – Sections 107(1), 108, 109(1) and 109(2) – corporation	10	\$1,334	200	\$26,690
251(c)	Person must comply with a compliance notice – individual	10	\$1,334	300	\$40,035

251(c)	Person must comply with a compliance notice – corporation	50	\$6,672	1500	\$200,175
265	Person must not give false or misleading information – chief executive			1665	\$222,194

Please note: Penalties are current at the time of publication and may be subject to change.

Carpentaria Shire Council takes a strong position on illegal dumping and will be ensuring any reportable incidents are followed up and fines issued in accordance with the delegation under the Waste Reductions and Recycling Act 2011.

Any Concerns or queries can be directed to the Manager of Water and Waste on 4745 2200 or ben.hill@carpentaria.qld.gov.au.

Regards,

Mark Crawley

BUSINESS PAPERS

11.4 BUILDING AND PLANNING REPORT

Attachments: NIL
Author: Georgia Kilah - Building Planning Property Administration
Date: 20 February 2020

Key Outcome: 4.1 - Sustainable urban and rural development
Key Strategy: 4.1.1 Ensure development accords with Carpentaria Shire Council's planning scheme, planning instruments, codes and legislation.

Executive Summary:

The report is to advise Council of relevant planning and building activities within the Shire for the month of January 2020.

RECOMMENDATION:

That Council note and accept the content of the Building and Planning Report as presented.

Background:

Planning Applications Received

DA No.	Applicant	Address	Application Type	Status
Nil				

Planning Applications Approved

DA No.	Applicant	Address	Application Type	Status
Nil				

Building Applications Received

DA No.	Applicant	Address	Application Type	Value
Nil				

Building Permits Issued

DA No.	Applicant	Address	Application Type	Value
Nil				

Applications pending waiting on further information (Applicants advised)

DA No.	Applicant	Address	Application Type	Date Received
Nil				

BUSINESS PAPERS

Consultation (internal/external)

- N/A

Legal implications

- N/A

Policy Implications

- N/A

Financial and Resource Implications

- N/A

Risk Management Implications

- Low – risks are within normal operational parameters

BUSINESS PAPERS

11.5 MATERIAL CHANGE OF USE - EXTRACTIVE INDUSTRY 5

Attachments:	11.5.1. Attachment 1 - Pit Site Layout Plans ↓
Author:	Georgia Kilah - Building Planning Property Administration
Date:	18 February 2020
Key Outcome:	4.1 - Sustainable urban and rural development
Key Strategy:	4.1.1 Ensure development accords with Carpentaria Shire Council's planning scheme, planning instruments, codes and legislation.

Executive Summary:

The Council is in receipt of an Application for Material Change of Use (MCU) for Extractive Industry, four (4) gravel pits, on three (3) sites:

- Cow Creek Pit – Lot 3 SP181805;
- Goat Creek Pit – Lot 3 SP284255
- Range Creek Pit – Lot 2 WON4; and
- Stapleton Tank Pit – Lot 2 WON4.

The Extractive Industries will operate under an Environmental Authority issued separately by the State:

- Environmentally Relevant Activities (ERA's):
 - 16 2(a) Extracting rock or other material: 5,000 – 100,000 t/yr; and
 - 16 3(a) Screening rock or other material: 5,000 – 100,000 t/yr.

The MCU Application is generally in accordance with the Carpentaria Shire Planning Scheme and is recommended for approval, subject to conditions.

RECOMMENDATION:

That Council resolve:

In accordance with the *Planning Act 2016*, the applicant be notified that the Application for a Development Permit for a Material Change of Use for Extractive Industry at:

- Cow Creek Pit – Lot 3 SP181805;
- Goat Creek Pit – Lot 3 SP284255
- Range Creek Pit – Lot 2 WON4; and
- Stapleton Tank Pit – Lot 2 WON4.

CO-ORDINATES:

BUSINESS PAPERS

LONGITUDE(S)	LATITUDE(S)	DATUM
140.5525910	-18.0285155	WGS84
140.0981353	-18.1522294	GDA94
140.5724561	-18.5724449	GDA94
140.5621720	18.5275690	GDA94
		GDA94

is approved subject to the conditions detailed below.

A. ASSESSMENT MANAGER CONDITIONS (COUNCIL)

General

- The development shall be undertaken substantially in accordance with the approved Plans, the supporting documentation submitted with the application and the approved GPS Coordinates, except as modified by this approval:

PLAN NAME	DRAWING NUMBER	DATE	PREPARED BY
SITE LAYOUT PLAN: COW CREEK PIT	C013	11/10/2019	HUGHES CONSULTING
SITE LAYOUT PLAN: GOAT CREEK PIT	C014	11/10//2019	HUGHES CONSULTING
SITE LAYOUT PLAN: RANGE CREEK PIT	C015	11/10/ /2019	HUGHES CONSULTING
SITE LAYOUT PLAN: STAPLETON TANK PIT	C016	11/10//2019	HUGHES CONSULTING

- This approval, granted under the provisions of the *Planning Act 2016*, shall lapse six (6) years from the day the approval takes effect in accordance with the provisions of Section 85(1) of the *Planning Act 2016*, if the development has not been commenced.

Permits and Fees

- The quarry operator is required to apply for an Extractive Industry Permit/Licence and pay all relevant Council fees required to operate an Extractive Industry in the Shire.
- The quarries are required to operate in compliance with the conditions of the Environmental Authorities issued by the State of Queensland.

BUSINESS PAPERS

5. The applicant shall ensure the quarry sites and the immediate surrounds are maintained, during and after operations commence, in a clean and tidy condition at all times, to the satisfaction of the Chief Executive Officer or delegate.
6. Upon cessation of quarry activities rehabilitation is to be completed in accordance with an approved Rehabilitation Plan, within a one (1) year period from the date of cessation, or other timeframe specified in the Rehabilitation Plan, whichever is the lesser, to the satisfaction of the Chief Executive Officer or delegate.

Vehicle Access

7. Haul routes and on-site access roads/tracks to quarry sites are to be maintained at all times by the proponent in a serviceable and trafficable condition and to an acceptable standard:
 - be regularly graded and maintained by the quarry operator;
 - any damage to the road/s caused by heavy machinery is to be repaired and made good on a regular, 2 monthly bases; and
 - upon cessation of the quarry use on the site the road/s used to access the quarry are/is to be graded and left in an acceptable and trafficable condition suitable for rural purposes;

to the satisfaction of the Chief Executive Officer or delegate.

Storage of Fuel

8. A maximum of 10,000 litres of diesel can be brought to a quarry site for the operation of plant and equipment. Fuel must be stored in a self-bunded containment system and handled in accordance with Australian Standard AS 1940 – 2004. The fuel tank and any refuelling must be located at least 100 metres away from any drainage line, to the satisfaction of the Chief Executive Officer or delegate.

Hours of Operation

9. Quarry operations are carried out between 6am and 6pm seven (7) days per week, unless an emergency necessitates out of hours operations, to be authorised by the Chief Executive Officer or delegate.

B. REFERRAL AGENCY CONDITIONS - NIL

CONCURRENCE AGENCY- NIL

C. SUBMISSIONS

None properly made, one (1) not properly made, addressed below.

D. FURTHER DEVELOPMENT PERMITS REQUIRED

BUSINESS PAPERS

Environmental Authority for:

- Environmentally Relevant Activities (ERA's):
- 16 2(a) Extracting rock or other material: 5,000 – 100,000 t/yr; and
- 16 3(a) Screening rock or other material: 5,000 – 100,000 t/yr.

E. APPLICABLE CODES FOR SELF ASSESSABLE DEVELOPMENT

- Shire of Carpentaria Planning Scheme
- Standard Building Regulation 1993
- Building Act 1975
- Building Code of Australia
- Water and Sewerage Act 1949

F. RIGHT OF APPEAL

Appeal Rights from the *Planning Act 2016* are attached.

TOWN PLANNING REPORT

This report has been prepared by Council's Consultant Planner, in consultation with Council Officers. The application is recommended for approval.

MATERIAL CHANGE OF USE

The application seeks approval for Extractive Industry four (4) pits to establish at three (3) different sites, to facilitate the legal operation of gravel quarries in the Shire.

1.0 SITE AND APPLICATION SUMMARY

FILE NUMBER:	I/1925
APPLICANT:	Carpentaria Shire Council
REGISTERED LAND OWNER:	State of Queensland – Department of Agriculture and Fisheries

BUSINESS PAPERS

REAL PROPERTY DESCRIPTION AND LAND AREA	<ul style="list-style-type: none"> • Cow Creek Pit – Lot 3 SP181805; • Goat Creek Pit – Lot 3 SP284255 • Range Creek Pit – Lot 2 WON4; and • Stapleton Tank Pit – Lot 2 WON4.
EXISTING USE:	Cattle Stations, Rural land and Quarries/Gravel Pits
PROPOSED USE:	Extractive Industry (in addition to existing rural uses)
TYPE OF APPLICATION:	Material Change of Use
TOWN PLANNING ZONING:	Rural
SUBMISSIONS:	None properly made, one (1) not properly made, addressed below.
CONCURRENCE AGENCY	Nil

2.0 BACKGROUND

The Council is in receipt of an Application for Material Change of Use for Extractive Industry, which was lodged with Council on 14th October 2020 and 'properly made' on 1st November 2019

The Application did not triggered referral to the State.

Public Notification was required and was completed on 31 January 2020 and no submissions were received.

The Application is now tabled for the final determination of the Council.

3.0 SITES

The proposed pit sites are located as follows:

- Cow Creek Pit – Lot 3 SP181805;
- Goat Creek Pit – Lot 3 SP284255
- Range Creek Pit – Lot 2 WON4; and
- Stapleton Tank Pit – Lot 2 WON4.

SITE 1 Cow Creek Pit	Burketown Normanton Road, 115 km west of Normanton, on Lot 3 SP181805, North Wernadinga Lands Lease, 175,000 ha and an elevation of 45 – 56 metres.
-------------------------	---

BUSINESS PAPERS

SITE 2 Goat Creek Pit	Burketown Normanton Road, 67 km south-west of Normanton, on Lot 3 SP284255, Lands Lease - 45,000 ha and an elevation of 10 – 20 metres.
SITE 3 Range Creek Pit	Burke Developmental Road, 112 km south-south-west of Normanton, on Lot 2 WON4, Donors Hills Land lease, 198,000 ha and an elevation of 54 – 59 metres.
SITE 4 Stapleton Tank Pit	McAllister mail run, 107 km south-south-west of Normanton, on Lot 2 WON4, Donors Hills Land Lease, 198,000 ha and an elevation of 60 metres.

Plans showing the quarry pit sites are attached at **Attachment 1**.

The resources at each site generally consist of either duricrust or sand and gravel deposits.

The proposed Environmentally Relevant Activities (ERAs) for the sites are as follows;

- ERA 16(2a) – Extracting rock or other material: 5,000 – 100,000 t/yr;
- ERA 16(3a) – Screening rock or other material: 5,000 – 100,000 t/yr.

The location of the four (4) quarry pit sites is identified on the plan below.



4.0 PROPOSAL

BUSINESS PAPERS

The four (4) Extractive industry pits will provide a local source of road construction material for maintenance of local roads.

Extractive industry processes, ERA 16(2a) and ERA 16(3a) extracting and screening rock or other material, will be carried out as part of the project. Quarrying of deposits will be undertaken using open cut extraction techniques comprising the following basic elements:

- Progressive removal of vegetation as required and stripping of topsoil. Topsoils will be stored separately and used for rehabilitation works;
- Stripping of overburden by dozer to reveal competent rock;
- Winning of competent rock, in line with recommendations of Quarry Management Plan;
- Extraction of the reserves to take place on an 'as needed' basis with a maximum stockpile of 40,000 tonnes stored at any one time.

The quarries are planned to operate as demand dictates within the annual threshold of 100,000 tonnes. Once extracted the rock will be transported via a site haul road to the stockpile area on site adjacent to the local road. To minimise the extractive and cleared land footprint during development, the quarry is to be progressively worked.

All pit sites are adjacent to a Council road, except Range Creek Pit which has access from Burke Developmental Road, which is a State-controlled Road (SCR). Any impact to the SCR will be minimal as it will be used to access McAllister Mail Run, a Council road, and any activities are likely to represent less than 1% increase in traffic.

Quarry development and planning will be on-going as ground conditions and Council operational demands dictate. As a result, each quarry will evolve with the development and needs of the operations. During the life of each quarry, there will inevitably be times when demand is high and conversely periods of inactivity. The quarries will be managed according to these different circumstances. Operations will occur as and when the resources are required.

While there are four (4) pits the subject of this application, the properties form part of a larger integrated operation for Carpentaria Shire Council, with other MCU Applications previously made and also being made in the future.

The projects, proposed rock quarries/pits, will be operated in the same manner and provide resource for maintenance of local roads. The site establishment and construction are relatively simple and will only occur intermittently as a response to the Shires requirements for road maintenance. It includes improvement of site access and internal roads, establishment of the stockpile areas by clearing and levelling where necessary. Development of the processing area will involve extraction of materials.

Although both ERA 16 (2)(a) and 16 (3)(a) are applied for, ERA 16(2)(a - screening is only likely to be used on rare occasions and has been applied for as a future proofing exercise. Water, if required for dust suppression will be brought by water truck or sourced from an excavation pit.

The following Extractive industry processes will be carried out as part of the project:

BUSINESS PAPERS

- Excavation by bulldozer and excavator;
- Stockpiling;
- Stabilisation and rehabilitation of disturbed areas.

It is anticipated that the quarries will be operated on an as-required basis to service resource demand, at a rate not exceeding the annual threshold of 100,000 tonnes. Material will be extracted using diesel powered machinery (e.g. excavator, loader). Once extracted, the rock will be transported via the site roads to the main stockpile area. Extraction activities may occur at any time of the year, unless seasonal rainfall prevents safe operation and access and may result in undue disturbance to the environment.

Rock will be extracted in a staged approach to minimise disturbance to land. Vegetation buffer zones and bund walls (including diversion banks where appropriate) will be maintained at the margins of the excavation and stockpile areas. Prior to commencement of quarry operations, the disturbance boundary will be defined on the ground by metal pickets. Material extracted from the excavation area is planned to be stockpiled on-site.

Fuel will not ordinarily be stored on site, however there may be a requirement for fuel to be transported to site to facilitate temporary refuelling of equipment. It is expected that less than 10,000 litres of diesel will be brought to site for the operation of plant and equipment. Fuel will be stored in a self-bunded containment system and will be handled in accordance with Australian Standard AS 1940 – 2004. The fuel tank and any refuelling will be at least 100 metres away from any drainage line. Minor fuel spills may be remediated on-site via bioremediation, all other spill material will be removed as regulated waste. A spill kit will be retained on the project site for the duration of the works.

5.0 STATUTORY PLANNING CONSIDERATIONS

Under the provisions of the Shire of Carpentaria Planning Scheme, the sites are all located within the Rural Zone.

The intent of this zone relevant to this application is as follows: -

The Rural Zone contains the Rural Activities of the Shire, predominantly grazing (cattle breeding and fattening), as well as agriculture and extractive activities of mineral and extractive resources and Aboriginal traditional uses and activities, together with their immediate support facilities such as Station Homesteads and Dwelling Houses.

.....

In assessing any proposal to establish new land uses or expand and intensify existing land uses within the Rural Zone, there will be a focus on the avoidance or minimization of adverse impacts on the environment or adjacent and nearby Rural Activities. Defined uses or use classes along major tourist routes (road or rail) are to avoid any adverse impacts on Tourism experiences.

BUSINESS PAPERS

Known mineral and extractive resources and existing and potential haulage routes will be protected from incompatible uses.

There is a clear intent to protect extractive industry resources in the Shire and to also ensure any such activities have minimal environmental impact.

Rural Zone Objectives which are relevant to the application are:

- (a) *The primary uses established in the Rural Zone will be Animal Husbandry and Agriculture, together with Station Homesteads and Dwelling Houses. Where adequate and economically viable mineral and extractive resources are identified, the provision of the necessary infrastructure to extract and market these resources will be supported;*
- (b)
- (c) *It is recognised that the Shire contains natural features, natural resources (including extractive and mineral resources), cultural features and homestay activities which are of interest to tourists. Where such features and facilities exist and it can be shown that:-*
 - (i) *the necessary facilities for tourists to view, experience or appreciate these resources and features cannot reasonably be established in a town area; and*
 - (ii) *tourist based facilities can be established in close proximity to the relevant resource, feature or existing property Station Homesteads without adverse environmental or amenity impacts, then the establishment of such facilities will not be opposed;*
- (d)
- (e) *The health and safety of residents in, and visitors to, the rural area, and the amenity they enjoy, are maintained;*
- (f) *Uses and works are located and designed to maximize the efficient use, extension and safe operation of infrastructure wherever possible;*
- (g) *Uses and works are located, designed and managed to be compatible with other uses and works and to avoid significant adverse effects on the natural environment;*
- (h)
- (i) *Extractive and mineral extraction operations and resources will be protected from inappropriate development or encroachment that might result in a loss of natural resource values.*

The Rural Zone Objectives also seek to support Extractive Industry in the Shire. Extractive Industries are a valuable asset and an important contributor to the economy of the Shire.

6.0 DEVELOPMENT REQUIREMENTS

BUSINESS PAPERS

The application is Impact Assessable and so is required to be assessed against the whole of the Planning Scheme.

6.1 Desired Environmental Outcomes

3.1.1 Valuable Features

- (e) To protect significant extractive and mineral resources as well as Good Quality Agricultural Land from an adverse defined use or use class.

3.1.2 Land Use and Defined Uses or Use Classes

- (e) To protect the area from loss of vegetation, soil degradation, plant and animal pests, and water pollution due to erosion, chemical contamination, effluent disposal and the like;

.....

- (h) To maximise the economic base of the Shire by increasing the Shire's Tourism, Business, Commercial, Industrial and Agricultural potential;

.....

- (j) To protect extractive and mining resource areas, associated haul routes and major transport corridors from incompatible land use.

3.1.3 Infrastructure

- (e) To provide for the integration and safe operation of all transport modes.

(My emphasis)

The DEO's also support Extractive Industry in rural areas of the Shire, provided the environment, water ways, adjacent rural activities and transport routes are protected or not compromised.

6.2 Codes

The applicable Planning Scheme Code is the Rural Zone Code.

Rural Zone Code

The Overall Outcomes are the purpose of the Rural Zone Code and those that are relevant to this application are as follows:-

- (a) *to minimise the adverse impacts of a defined use or use class on rural activities and resources which underpin and support the economic base of the Shire;*
- (b) *to ensure all new defined uses or use classes implement and continue appropriate measures to maintain the existing biodiversity, natural and semi-natural habitats of the Shire;*
- (c)
- (d)

BUSINESS PAPERS

- (e) *to ensure that a defined use or use class does not adversely impact on the Shire's National Parks and landscape areas;*
- (f)
- (g)
- (h)
- (i) *to protect known mineral and extractive resources and existing and potential haulage routes; and*
- (j) *to ensure that a defined use or use class does not adversely impact on existing transport infrastructure.*

(My emphasis)

The Overall Outcomes of the Rural Zone Code support the establishment of Extractive Industries in the rural area of the Shire.

Column 1 Specific Outcomes	Column 2 Probable Solutions for Assessable Development ¹	Comment
<p><i>Consistent and Inconsistent Activities in the Rural Zone</i></p> <p>The following defined uses or use classes are consistent with the Overall Outcomes sought by the Zone:-</p> <ul style="list-style-type: none"> (i) Accommodation Building(where associated with Tourism); (ii) Aerodromes and Aviation Facilities; (iii) Agriculture; (iv) Animal Husbandry; (v) Caretaker's Residence; (vi) Community Facilities; (vii) Community Infrastructure; (viii) Dwelling House; (ix) Extractive Industry; (x) Home-based Industry; (xi) Industry (where located adjacent to an associated natural resource or known mineral or extractive 	<p>No Probable Solutions are prescribed.</p>	<p>Extractive Industry is a consistent use in the Rural Zone</p>

¹ Refer to Section 1.1.4 (Probable Solutions).

BUSINESS PAPERS

<p>Column 1</p> <p>Specific Outcomes</p>	<p>Column 2</p> <p>Probable Solutions for Assessable Development¹</p>	<p>Comment</p>
<p>resources);</p> <p>(xii) Intensive Agriculture;</p> <p>(xiii) Minor Aquaculture;</p> <p>(xiv) Service Station;</p> <p>(xv) Special Industry;</p> <p>(xvi) Sport and Recreation;</p> <p>(xvii) Station Homestead;</p> <p>and</p> <p>(xviii) Tourism - minor and major.</p> <p>The following defined uses or use classes are inconsistent with the Overall Outcomes sought by the Zone:-</p> <p>(i) Accommodation Building (except where associated with Tourism);</p> <p>(ii) Business;</p> <p>(iii) Duplex Dwelling;</p> <p>(iv) Hotel;</p> <p>(v) Industry (except where located adjacent to an associated natural resource or known mineral or extractive resources);</p> <p>(vi) Medical Centre;</p> <p>(vii) Motel;</p> <p>(viii) Multiple Dwelling;</p> <p>(ix) Shop;</p> <p>(x) Showroom; and</p> <p>(xi) A use that could be located in another Zone, within a town area, where the population is better served by the closer proximity of the use.</p>	<p>No Probable Solutions are prescribed.</p>	
<p>Amenity, Public Health or Safety</p> <p>There are no significant adverse effects on amenity,</p>	<p>No Probable Solutions are prescribed.</p>	<p>The proposed development complies with the</p>

BUSINESS PAPERS

Column 1 Specific Outcomes	Column 2 Probable Solutions for Assessable Development ¹	Comment
<p>public health or safety with regard to the following:-</p> <ul style="list-style-type: none"> (i) sewage disposal; (ii) water supply for human use; (iii) permanent or temporary occupation of, or access to, areas subject to natural hazards; or (iv) Agriculture or Extractive Industry or works located in close proximity to towns, roads, or other occupied places (such as accommodation or other facilities for Residential Activities or Tourism). 		Performance Outcome.
<p>Operation and Provision of Infrastructure</p> <p>Uses are of a type and scale that maintain the standards of service identified in Schedule 1, Part 12.</p> <p>Water supply, sewerage and roads are provided to:-</p> <ul style="list-style-type: none"> (i) meet appropriate standards at the least whole-of-life cost, including avoiding unnecessary duplication; (ii) be robust and fit for the purposes and intended period of operation; (iii) be easily maintained without unnecessarily requiring specialist expertise or equipment; 	<p>No Probable Solutions are prescribed.</p> <p>Water supply, sewerage and roads are constructed to relevant standards stated in Schedule 1, Part 33.</p>	N/A

BUSINESS PAPERS

<p>Column 1</p> <p>Specific Outcomes</p>	<p>Column 2</p> <p>Probable Solutions for Assessable Development¹</p>	<p>Comment</p>
<p>(iv) be comprised of components and materials that are readily accessible and available from numerous local sources; and</p> <p>(v) be readily integrated with existing systems and facilitate the orderly provision of future systems.</p> <p>The safe and efficient operation of roads and railways is maintained having regard to:-</p> <p>(i) the nature of vehicles using the road;</p> <p>(ii) the location of uses that may be adversely affected by noise and dust generated from use of the road or railway;</p> <p>(iii) the location and design of access points; and</p> <p>(iv) the design of stormwater drainage.</p>	<p>No Probable Solutions are prescribed.</p>	<p>The haul routes to and from the quarries will be maintained by the quarry operator</p>
<p>Uses and works are located and designed to avoid significant adverse effects on safe aircraft operations due to:-</p> <p>(i) physical intrusions;</p> <p>(ii) reduced visibility;</p> <p>(iii) collisions with birds;</p> <p>(iv) electromagnetic interference with aircraft navigation systems; or</p> <p>(v) other functional problems for aircraft</p>	<p>No Probable Solutions are prescribed.</p>	<p>N/A</p>

BUSINESS PAPERS

Column 1 Specific Outcomes	Column 2 Probable Solutions for Assessable Development ¹	Comment
(including artificial lighting hazards).		
<p>Gravel Pits, Resource Reserves, etc</p> <p>The continuing or new use of gravel pits, resource reserves, mining lease areas and other areas of known mineral interest is not significantly constrained by the siting of incompatible uses or works².</p>	<p>Tourism facilities and Station Homesteads are:-</p> <p>(i) located more than 1km from mineral sources and more than 500m from gravel pits; and</p> <p>(ii) located so they are not visible from tracks and roads providing access to mineral resources or gravel pits.</p>	<p>Complies</p> <p>Complies</p>
<p>Tourism - minor</p> <p>Tourism - minor facilities are only in areas remote from an established town area.</p>	<p>Tourism - minor facilities are:-</p> <p>(i) located more than 500 metres from a road; and</p> <p>(ii) located so that they are more than 20 kilometres by road from an established town area.</p>	<p>N/A</p>
<p>Residential</p> <p>Residential Activities that are not ancillary to other uses in the Rural Zone, are a minor use in the Rural Zone and do not locate to create clusters with other Residential Activities.</p>	<p>No Probable Solutions are prescribed.</p>	<p>N/A</p>
<p>Home-based Industries</p> <p>If a Home-based Industry, the</p>	<p>If a Home-based Industry</p>	<p>N/A</p>

BUSINESS PAPERS

Column 1 Specific Outcomes	Column 2 Probable Solutions for Assessable Development ¹	Comment
<p>predominance of the primary Residential Activity is retained and there are no significant adverse effects on local amenity.</p>	<p>providing visitor accommodation - up to 10 visitors are accommodated:-</p> <p>(i) the floor area used either in a separate building or a separate part of the main building, is not greater than 50m²;</p> <p>(ii) display goods and stored goods or materials are not visible from outside the building;</p> <p>(iii) there is only one sign and the sign is:-</p> <ul style="list-style-type: none"> • not greater than 0.5m² in area; • not illuminated; and • wholly within the premises or on a fence facing the road; <p>(iv) there is no hiring out of materials, goods, appliances or vehicles; and</p> <p>(v) there is no repairing, servicing, cleaning, or loading of vehicles not normally associated with use of premises as a Dwelling House.</p>	
<p>Water Quality Maintenance</p> <p>All activities maintain the water quality of Carpentaria Shire's groundwater, waterways and Surface water storages.</p>	<p>Any activities which:-</p> <p>a) involve the handling of water-borne pollutants are provided with bunded, impervious surfaces linked to an</p>	<p>N/A</p>

BUSINESS PAPERS

Column 1 Specific Outcomes	Column 2 Probable Solutions for Assessable Development ¹	Comment
	b) integrated drainage and treatment system; involve the storage of waste water are provided with properly designed and constructed, secure, sealed storage facilities; or c) contain all liquid wastes and discharge them to a sewer or removed from the site for treatment and disposal to an approved facility.	N/A N/A
<p>Built Form</p> <p>The built form is compatible with the desired character and amenity of the surrounding area and does not adversely affect the visual amenity.</p>	<p>The maximum height of a building, structure or object, or height at which an activity is carried out, is 11m.</p>	<p>N/A</p>
<p>Other Uses</p> <p>Uses other than Residential, Home-based Industry and those stated inconsistent defined uses or use classes are accommodated in the Rural Zone if, in each case, the use satisfies a community need or takes advantage of an economic opportunity, and:-</p> <p>(i) the nature and scale of the use is such that there are no suitable sites available within Normanton or Karumba;</p> <p>(ii) the effects of the use mean that it cannot practicably be made</p>	<p>No Probable Solutions are Prescribed.</p>	<p>N/A</p>

BUSINESS PAPERS

Column 1 Specific Outcomes	Column 2 Probable Solutions for Assessable Development¹	Comment
(iii) compatible with other uses in the towns except by location outside the town area; or in order to operate effectively the use needs to be located close to a particular cultural feature, natural feature or resource, infrastructure item or activity that occurs in the locality.		

7.0 PUBLIC NOTIFICATION

During Public Notification, no properly made submissions were received. However, a not properly made submission was received from Ms Judith Fry, who raised concerns about the Goat Creek pit, which in her view represented high ground for cattle in flooding which may be lost if the pit is actively used for extraction.

Council's consultant, Ms Kathy Hughes, who prepared the Application for Council has advised in relation to the concerns raised:

- The site was endorsed by DAF in 2016.
- The site is located on Inverleigh East.
- Council has made a conscious decision to refrain from using the Inverleigh East site and as preference has opted to utilise the Goat Creek Pit for road maintenance, including work to improve the Inverleigh Access routes.
- The contention is that the site covers the only area of high ground for some distance and is important for the sheltering of cattle during the wet season.....*“that is the only ridge that is out of water in floods and monsoonal weather”*. Also - *“The trees have been removed which is a big protection element*

BUSINESS PAPERS

for the cattle when the monsoons come. The weather gets very cold and the cattle. if they can get into the trees. seem to cope better. In a normal wet the ridge is completely surrounded by water.”

- In terms of Goat Creek, the surrounding topography is flat to gently undulating, that is between 10 and 22m above sea level. Duricrust forms some resistant mild topographical highs, mesas and plateaus throughout the northern part of the Shire. Gravel of sufficient quality suitable for road maintenance can be sourced from the duricrust areas where they are accessible. Goat Creek Pit is located on the periphery of one of these topographical highs. It lies some 33km east of an alternative pit site on Burketown Normanton Road and over 40km from the nearest suitable site on McAllister Mail Run. Council would not be able to gain adequate quantities of material for the maintenance without access to this material.
- The Goat Creek Pit site is on the western downward slope of the ridge forming the topographical high in the area. The site is not on the highest part of the land available. While there are no permanent creeks on site, run-off from rainfall events generally flows west towards Goat Creek. Goat Creek flows northerly past the western boundary of the site and on the opposite side of the Burketown Normanton Road. It is likely therefore that cattle would be on the higher land to the east of the site.
- Elevation specific to the Goat Creek pit site is generally between 12 m and 15 m above sea level compared with the greater surrounding area where elevations reach 16m to 22m on the higher ground directly to the east and south. One small area at the south east corner of the site, comprising 0.5 hectares, is mildly elevated to 16m however this accounts for less than 0.45 hectares. The Goat Creek pit site in total comprises 6.84 hectares of the available elevated area, which totals over 100 hectares and therefore amounts to less than 6% of the immediately available land.

Based on the advice of Council's consultant it is considered that Goat Creek pit can proceed.

8.0 CONCLUSION

The proposal to formalise land use approvals over four (4) quarry pits in the Shire and facilitate ongoing extraction is compliant with the Planning Scheme. The quarry operations can be controlled by the imposition of Council conditions, and any

BUSINESS PAPERS

conditions applying to the Environmental Authority for the operation of the quarry sites under the ERA's.

The application is recommended to the Council for approval, subject to reasonable and relevant conditions.

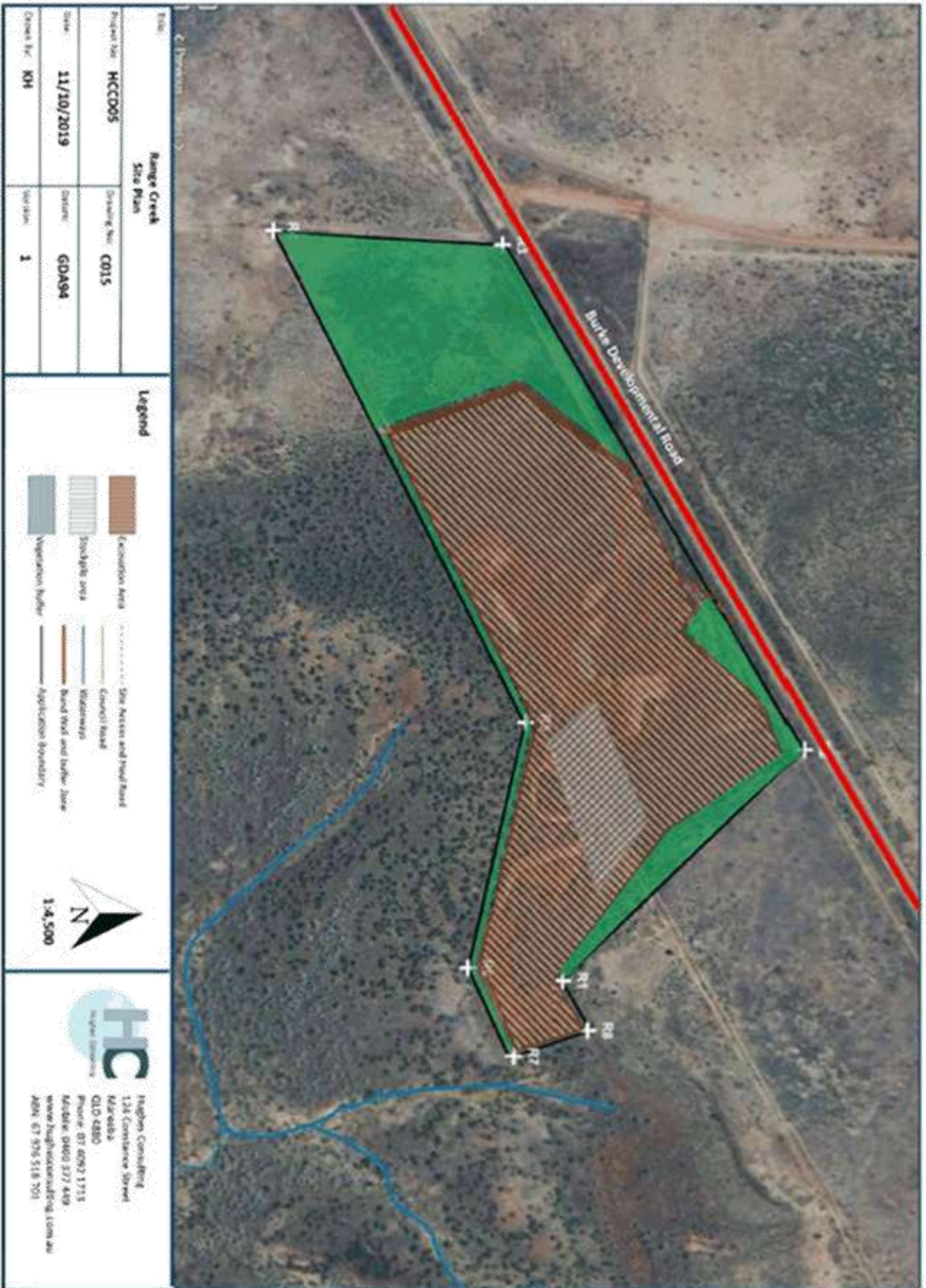


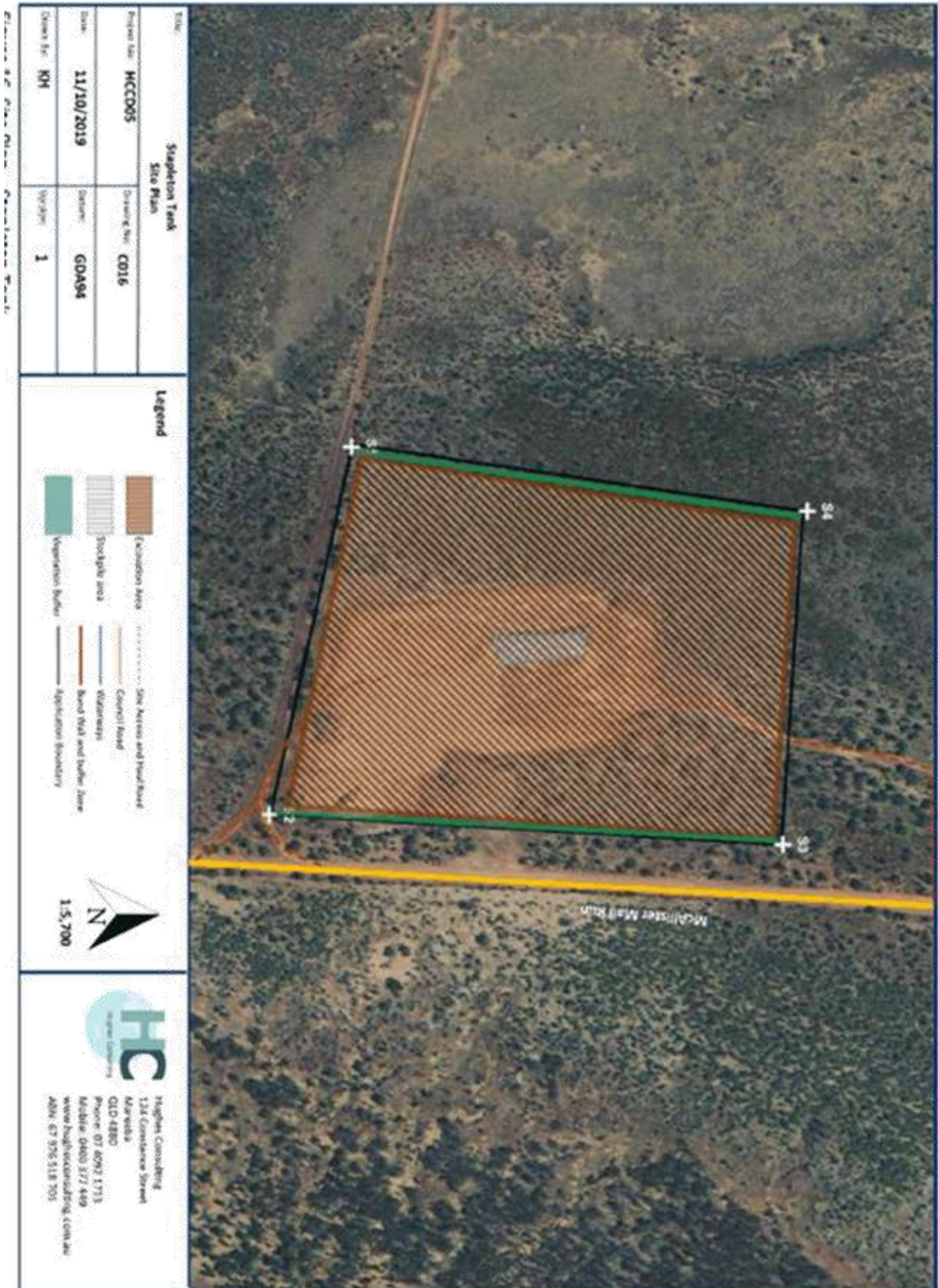
Figure 13. Site Plan – Cow Creek



Figure 14. Site Plan – Goat Creek

Figure 15. Site Plan – Range Creek





BUSINESS PAPERS

- 12 GENERAL BUSINESS**
- 13 CLOSURE OF MEETING**