



**SHIRE OF ASHBURTON
AUDIT AND RISK COMMITTEE MEETING**

**AGENDA
&
ATTACHMENTS
(Public Document)**

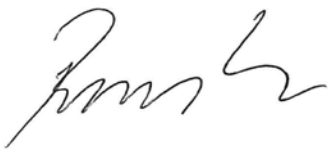
**Mayu Maya Centre, Pannawonica
19 September 2018
9.30 am**

SHIRE OF ASHBURTON
AUDIT AND RISK COMMITTEE MEETING

Dear Councillor

Notice is hereby given that an Audit and Risk Committee of the Shire of Ashburton will be held on 19 September 2018 at the Mayu Maya Centre, Pannawonica commencing at 9:30 am.

The business to be transacted is shown in the Agenda.



Rob Paull
CHIEF EXECUTIVE OFFICER

DISCLAIMER

The recommendations contained in the Agenda are subject to confirmation by the Committee and endorsement by the Council. The Shire of Ashburton warns that anyone who has any application lodged with Council must obtain and should only rely on written confirmation of the outcomes of the application following the Council meeting, and any conditions attaching to the decision made by the Council in respect of the application. No responsibility whatsoever is implied or accepted by the Shire of Ashburton for any act, omission or statement or intimation occurring during a Council meeting.

AGENDA - AUDIT AND RISK COMMITTEE MEETING 19 SEPTEMBER 2018

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1. DECLARATION OF OPENING

The Presiding Member declared the meeting open at _____ am.

1.1 ACKNOWLEDGEMENT OF COUNTRY

As representatives of the Shire of Ashburton Council, we respectfully acknowledge the local Indigenous people, the traditional custodians of this land where we are meeting upon today and pay our respects to them and all their elders both past and present.

2. ATTENDANCE

2.1 PRESENT

Members:	Cr P Foster Cr K White Cr M Lynch	Tom Price Ward (Presiding Member) Onslow Ward Tom Price Ward
Staff:	Mr R Paull Mr J Bingham Ms J Smith Mrs D Walkington	Chief Executive Officer Director Corporate Services Executive Officer Administration Officer
Guests:		
Members of Public:	There were _____ members of the public in attendance at the commencement of the meeting.	
Members of Media:	There were _____ members of the media in attendance at the commencement of the meeting.	

2.2 APOLOGIES

Cr D Dias Paraburdoo Ward

2.3 APPROVED LEAVE OF ABSENCE

There are no Councillors on approved leave of absence.

3. ANNOUNCEMENT OF VISITORS

4. DECLARATION BY MEMBERS

4.1 DUE CONSIDERATION BY COUNCILLORS TO THE AGENDA

Councillors Foster, White, and Lynch are requested to acknowledge during the meeting that they have given due consideration to all matters contained in the Agenda.

4.2 DECLARATIONS OF INTEREST

Councillors to Note

A member who has an Impartiality, Proximity or Financial Interest in any matter to be discussed at a Council or Committee Meeting, that will be attended by the member, must disclose the nature of the interest:

- (a) In a written notice given to the Chief Executive Officer before the Meeting or;
- (b) At the Meeting, immediately before the matter is discussed.

AGENDA - AUDIT AND RISK COMMITTEE MEETING 19 SEPTEMBER 2018

A member, who makes a disclosure in respect to an interest, must not:

- (a) Preside at the part of the Meeting, relating to the matter or;
- (b) Participate in, or be present during any discussion or decision-making procedure relative to the matter, unless to the extent that the disclosing member is allowed to do so under Section 5.68 or Section 5.69 of the Local Government Act 1995.

NOTES ON DECLARING INTERESTS (FOR YOUR GUIDANCE)

The following notes are a basic guide for Councillors when they are considering whether they have an interest in a matter.

These notes are included in each agenda for the time being so that Councillors may refresh their memory.

1. A Financial Interest requiring disclosure occurs when a Council decision might advantageously or detrimentally affect the Councillor or a person closely associated with the Councillor and is capable of being measure in money terms. There are exceptions in the Local Government Act 1995 but they should not be relied on without advice, unless the situation is very clear.
2. If a Councillor is a member of an Association (which is a Body Corporate) with not less than 10 members i.e. sporting, social, religious etc), and the Councillor is not a holder of office of profit or a guarantor, and has not leased land to or from the club, i.e., if the Councillor is an ordinary member of the Association, the Councillor has a common and not a financial interest in any matter to that Association.
3. If an interest is shared in common with a significant number of electors or ratepayers, then the obligation to disclose that interest does not arise. Each case needs to be considered.
4. If in doubt declare.
5. As stated in (b) above, if written notice disclosing the interest has not been given to the Chief Executive Officer before the meeting, then it **MUST** be given when the matter arises in the Agenda, and immediately before the matter is discussed.
6. Ordinarily the disclosing Councillor must leave the meeting room before discussion commences. The **only** exceptions are:
 - 6.1 Where the Councillor discloses the **extent** of the interest, and Council carries a motion under s.5.68(1)(b)(ii) or the Local Government Act; or
 - 6.2 Where the Minister allows the Councillor to participate under s.5.69(3) of the Local Government Act, with or without conditions.

Declarations of Interest provided:

Item Number/ Name	Type of Interest	Nature/Extent of Interest
There were no Declaration of Interests provided.		

5. CONFIRMATION OF MINUTES OF PREVIOUS MEETING

5.1 AUDIT AND RISK COMMITTEE MEETING HELD ON 19 JUNE 2018

Officers Recommendation

That the Minutes of the Audit and Risk Committee Meeting held on 19 June 2018, be confirmed as a true and accurate record.

ATTACHMENT 5.1

6. TERMS OF REFERENCE

Under the Local Government Act 1995, Local Governments are required to appoint an Audit Committee (section 7.1A of the Local Government Act 1995).

An Audit and Risk Committee is to provide guidance and assistance to the Local Government – as to the carrying out of its functions in relation to audits carried out under Part 7 of the Act and as to the development of a process to be used to select and appoint a person to be an auditor and may provide guidance and assistance to the Local Government as to – matters to be audited, the scope of audits, its functions under Part 6 of the Act and the carrying out of its functions relating to other audits and other matters related to financial management (clause 16 Local Government (audit) Regulations 1996).

7. AGENDA ITEMS

7.1 REGULATION 17 - RISK AUDIT PROGRESS REPORT SEPTEMBER 2018

FILE REFERENCE:	FM14.16.17
AUTHOR'S NAME AND POSITION:	Nicky Tyson Manager Governance & Corporate Strategy
AUTHORISING OFFICER AND POSITION:	Rob Paull Chief Executive Officer
NAME OF APPLICANT/RESPONDENT:	Not Applicable
DATE REPORT WRITTEN:	5 September 2018
DISCLOSURE OF FINANCIAL INTEREST:	The author and the authorising officer have no financial, proximity or impartiality interests in the proposal.
PREVIOUS MEETING REFERENCE:	Agenda Item 7.1 (Minute No. 17/2018) – Audit and Risk Committee Meeting 19 June 2018

Summary

The Shire's contracted Auditors, Moore Stephens Pty Ltd (MS) conducted the most recent Risk Audit and review process in late 2016. Its report contains a list of improvements/opportunities.

At the June 2018 Audit and Risk Committee meeting it was reported that a number of suggestions and opportunities had already been completed and planning had commenced and/or systems had been put in place to address the remaining.

The Committee is now informed that further items have been completed with almost all outstanding items in the final stages of progression.

Background

Local Government (Audit) Regulations 1996 includes 'Local Government Operational Guideline – 9 – Audit in Local Governments'. Regulation 17 prescribes a number of matters that are to be reviewed by local government Audit Committees. These functions now include reviewing the appropriateness and effectiveness of the local government's systems in regard to risk management, internal control and legislative compliance; and reporting the results of the Committee's consideration of that review, to the Council. This Risk Audit and review process is now to occur at least once every three calendar years.

The latest review / audit was conducted onsite, 24 – 25 October 2016, by MS and a report was presented to the Audit and Risk Committee in December 2016. Further progress reports were presented to the committee each quarter with the most recent being June 2018.

Comment

The attached report from the Chief Executive Officer is referred to the Audit and Risk Committee and contains progress of action taken on the recommendations from MS in the Regulation 17 Audit for the Shire of Ashburton's consideration in the areas covered by the audit, that being:

- Risk Management;
- Internal Controls; and
- Legislative Compliance.

There were no critical (i.e. legislative compliance) issues raised in the MS Regulation 17 Audit and attached is the CEO's report to the Audit and Risk Committee (which contains updated Officer Status/Progress Comments) outlining how the Shire's Governance propose to see the improvements recommended, progressed and finalised.

ATTACHMENT 7.1

As the attached report outlines, of the 43 improvement opportunities suggested in the report, all but 2 have been completed through new or existing actions, upon review and approval from the committee and Council. The remaining items are anticipated to be finalised by December 2018.

Consultation

Executive Management Team
Manager Governance & Corporate Strategy
Moore Stephens Australia (Pty) Ltd

Statutory Environment

Recent audit reforms have now been implemented with changes to the reporting period. This review is now only required once every three financial years.

Regulation 17 Local Government Audit Regulations 1996 requires the following:

A suitable allocation has been made in the budget for future reviews, with the next review due late 2019.

1. *The CEO is to review the appropriateness and effectiveness of a local government's systems and procedures in relation to:*
 - a) *risk management;*
 - b) *internal control; and*
 - c) *legislative compliance.*
2. *The review may relate to any or all of the matters referred to in sub regulation (1) (a), (b) and (c), but each of those matters is to be the subject of a review at least once every three calendar years.*
3. *The CEO is to report to the Audit Committee the results of that review.*

Financial Implications

Implementing the recommendations of the Report that have financial impacts will be processed through normal budgetary processes.

Strategic Implications

Shire of Ashburton 10 Year Community Strategic Plan 2017-2027

Goal 5 – Inspiring Governance

Objective 4 – Exemplary Team & Work Environment

Risk Management

Adoption of this item has been evaluated against the Shire of Ashburton’s Risk Management Policy CORP5 Risk Matrix. The perceived level of risk is considered to be “Medium” risk (largely due to the costs of developing/implementing new procedures, etc.) but can be managed by routine procedures and monitoring by the Director Corporate Services.

Policy Implications

Various policies have been amended to align with new processes.

Voting Requirement

Simple Majority Required

Officers Recommendation

That the Audit and Risk Committee with respect to *Review of Risk Management, Legislative Compliance and Internal Controls* recommend Council to:

1. Note the updated Chief Executive Officer (CEO)'s Report (as per **ATTACHMENT 7.1**) which describes how the suggested improvements/opportunities will be implemented, including actions completed.
2. Request the CEO to use all reasonable endeavours to address and complete all actions by December 2018.

7.2 CORPORATE BUSINESS PLAN – QUARTERLY PROGRESS REPORT

FILE REFERENCE:	CM03
AUTHOR'S NAME AND POSITION:	Nicky Tyson Manager Governance & Corporate Strategy
AUTHORISING OFFICER AND POSITION:	Rob Paull Chief Executive Officer
NAME OF APPLICANT/RESPONDENT:	Not Applicable
DATE REPORT WRITTEN:	5 September 2018
DISCLOSURE OF FINANCIAL INTEREST:	The author and the authorising officer have no financial, proximity or impartiality interests in the proposal.
PREVIOUS MEETING REFERENCE:	Agenda Item 12.4 (Minute No. 391/2018) – Ordinary Meeting of Council 18 June 2018

Summary

Council adopted its latest iteration of the Shire of Ashburton Corporate Business Plan (CBP) 2018 – 2022 on 18 June 2018.

While formal reporting of progress in relation to the Corporate Business Plan is to occur annually, via the Shire's Annual Report, it was recommended that progress reports are presented to Council on more regular basis.

The intention is to provide progress reports to Council on a three monthly basis. This is the first status report of the newly adopted CBP.

Background

The Corporate Business Plan (CBP) outlines the strategic and operational objectives to be achieved in the four year period. The CBP demonstrates activities and projects that are fully resourced and have appropriate timelines and performance measures.

This is underpinned by a series of informing strategies and plans which include:

- our 10 year Long-Term Financial Plan;
- our Workforce Plan that is reviewed every four years in conjunction with the CBP;
- our Asset Management Plans for the life cycle of all assets including maintenance and replacement programs;
- Our adopted Annual Budget; and
- Any relevant issue specific strategies and plans for major projects or key developments.

Comment

The Corporate Business Plan identifies five Focus Areas in line with our Strategic Community Plan, as shown below:

1. Vibrant and Active Communities;
2. Economic Prosperity;
3. Unique heritage and Environment;
4. Quality Services and Infrastructure; and
5. Inspiring Governance

The attached document is a condensed version of the adopted CBP that reports directly on each project included in the priority areas for the 18/19 financial year, with commentary on the relevant projects status.

Any projects or priorities not allocated or achieved within this financial year will be the focus of the following annual budget review for the subsequent years of the plan.

Each action links to our Strategic Community Plan and allows us to ensure we are meeting our requirements for the 'Plan for the Future'.

ATTACHMENT 7.2

Consultation

Executive Management Team
Manager Governance & Corporate Strategy

Statutory Environment

Local Government Act 1995

Section 5.56. Planning for the Future

(1) A local government is to plan for the future of the district.

(2) A local government is to ensure that plans made under subsection (1) are in accordance with any regulations made about planning for the future of the district

Local Government (Administration) Regulations 1996

Section 19DA Corporate Business Plans, requirements for (Act s 5.56)

Section 19DB (5) Corporate Business Plans, requirements for (Act s 5.56).

Financial Implications

All items as per the adopted 18/19 budget.

Strategic Implications

Shire of Ashburton 10 Year Community Strategic Plan 2017-2027

Multiple Goals and Objectives will be achieved over the course of the financial year. Attachment 7.3 references actions linked to the relevant Goal and Objective.

Risk Management

Adoption of this item has been evaluated against the Shire of Ashburton's Risk Management Policy CORP5 Risk Matrix. The perceived level of risk is considered to be 'Moderate' risk that will be managed by policy, procedures and monitoring by Governance and the CEO.

There is a level of reputational risk to the organisation in not achieving the proposed projects, this will be closely managed by the Chief Executive Officer, Manager Governance along with the individual responsible owners of each linked project.

Policy Implications

ELM11 Integrated Planning Policy

Voting Requirement

Simple Majority Required

Officers Recommendation

That the Audit and Risk Committee with respect to *Corporate Business Plan – Quarterly Progress Report* recommend Council:

1. Accept the first quarterly report of the Shire of Ashburton Corporate Business Plan 2018 - 2022; and
2. Request the Chief Executive Officer to continue providing *Corporate Business Plan – Quarterly Progress Reports*, with the next report being made available to the December 2018 Audit and Risk Committee.

7.3 WESTERN AUSTRALIA NATURAL DISASTER RELIEF AND RECOVERY ARRANGEMENTS (WANDRRA) CASH FLOW THRESHOLDS – PROGRESS REPORT

FILE REFERENCE:	CM02.18
AUTHOR'S NAME AND POSITION:	Jamie Muir Technical Services Officer – Contractor
AUTHORISING OFFICER AND POSITION:	Ian Hamilton Director Infrastructure Services
NAME OF APPLICANT/RESPONDENT:	Not Applicable
DATE REPORT WRITTEN:	5 September 2018
DISCLOSURE OF FINANCIAL INTEREST:	The author and the authorising officer have no financial, proximity or impartiality interests in the proposal.
PREVIOUS MEETING REFERENCE:	Not Applicable

Summary

Delays with Western Australia Natural Disaster Relief and Recovery Arrangements (WANDRRA) recoup funding approvals have placed significant pressure on Council cash flow. Main Roads Western Australia (MRWA) and the Office of Emergency Management (OEM) are responsible for WANDRRA reimbursement funding.

The intention of this report is to provide Council with the understanding that we may have to cease works where the turnaround time of reimbursements significantly impacts cash flow.

Background

On 13 February 2017 the Western Australian Government proclaimed the flooding events which occurred in January and February 2017 is an eligible natural disaster event under WANDRRA.

WANDRRA is jointly funded by the State and Commonwealth Governments and administered by the OEM, with assistance from other agencies. Through WANDRRA, the Western Australian and Commonwealth Governments provide help to people who have suffered the direct impact of a proclaimed natural disaster event.

The Shire of Ashburton was listed as an authority subject to the above proclamation and the Australian Government Reference Number for the event is 743 (AGRN743).

Comment

Under the WANDRRA program flood damage works are carried out by an appointed construction contractor and Shire of Ashburton is reimbursed by OEM through MRWA. Typical approval times are four to six weeks.

Recently the Shire have been experiencing approval turnaround times of 12 weeks. MRWA have not been able to provide a response to these lengthy delays apart from that “they have been very busy”. It is a tiered approval process whereby MRWA approves and forwards to OEM for approval, which in turn forwards back to MRWA (Perth) for final checking and onto, MRWA Pilbara for Shire notification and submission of invoice. Payment of invoice usually takes two weeks.

Shire Administration has established mitigation measures to ensure appropriate escalation and resolution of the delays in recoup approval. Any cessation in works could potentially trigger litigation by the contractor and the Shire may be responsible for substantial stand down costs. MRWA has indicated that future approvals will be forthcoming in a timelier manner.

A review of the current WANDRRA process has recently been undertaken to determine what is required to meet the changes associated with the introduction of the new Disaster Recovery Funding Arrangements (DRFA), coming into effect 1 November 2018.

For all events prior to 1 November 2018 the process will remain the same apart from quarterly estimate figures which will now be managed by Department of Fire and Emergency Services (DFES). The main focus by DFES will be accurate estimates and precise variation reporting. This shall provide a more detailed process but deliver a smoother process for approval with elimination of unsubstantiated variations.

Consultation

Executive Management Team

Statutory Environment

Local Government Act 1995

3.57. Tenders for providing goods or services

- (1) *A local government is required to invite tenders before it enters into a contract of a prescribed kind under which another person is to supply goods or services.*
- (2) *Regulations may make provision about tenders.*

Local Government (Functions and General) Regulations 1996

- (1) *Tenders are to be publicly invited according to the requirements of this Division before a local government enters into a contract for another person to supply goods or services if the consideration under the contract is, or is expected to be, more, or worth more, than \$150, 000 unless sub-regulation (2) states otherwise.*
- (2) *Tenders do not have to be publicly invited according to the requirements of this Division if:*
 - (a) *the supply of the goods or services is to be obtained from expenditure authorised in an emergency under section 6.8(1)(c) of the Act; or*
 - (b) *the supply of the goods or services is to be obtained through the WALGA Preferred Supplier Program;*

Financial Implications

For 2018/19 the Shire is limited in terms of free cash-flow available to fund large projects. In the case of AGRN 743, a \$10.5M works program, the Shire has planned for:

AGENDA - AUDIT AND RISK COMMITTEE MEETING 19 SEPTEMBER 2018

- A cash-flow turnaround on re-coups of two months - i.e. from the date the re-coup is prepared and sent to MRWA to the time payment is received in the Shire's bank account; and
- A provisional maximum of \$2M negative cash-flow at any one time to ensure payments to our operational activities and cash reserve investment arrangements are not disrupted.

Re-coup no.1 was submitted on 30 May 2018. As at 22 August the recoup had not been paid – a period of 84 days or nearly three months. In addition the Shire had submitted recoup no's 2 to 6 in mid-July and early August resulting in the total accumulated outstanding recoups at around \$2.9M.

The main financial implication of recoups going beyond the set limits of two months and \$2M is to place significant strain on free cash-flow for operational and investment activities e.g. it becomes necessary to 'call' funds away from investment grade returns into working accounts. This results in a significant reduction to interest earnings and the potential requirement to access Restricted Funds.

Strategic Implications

Shire of Ashburton 10 Year Community Strategic Plan 2017-2027

Goal 4 – Quality Services and Partnerships

Objective 01 – Quality public infrastructure

Risk Management

Adoption of this item has been evaluated against the Shire of Ashburton's Risk Management Policy CORP5 Risk Matrix. The perceived level of risk is considered to be "High" (consequences "Major", likelihood "Possible"). This level of risk is being driven by the value of the WANDRRA Claim, and the fact that prolonged interruption of services will result from delays. It is considered that the likelihood of a risk event occurring is "possible" but it will be managed by specific monitoring response procedures by senior management/executive and subject to monthly reporting.

This item has been evaluated against the Shire of Ashburton's Risk Management Framework. The perceived level of risk from the Risk Matrix is considered to be "Moderate / Likely (12)" in light of the potential delays in recoup approval. As the Risk Acceptance is considered to be "High", the Executive Management Team will monitor progress of this item.

Policy Implications

CORP5 Risk management Policy

FIN06 Significant Accounting Policy

Voting Requirement

Simple Majority Required

Officers Recommendation

That with respect to *WANDRRA Cash Flow Thresholds – Progress Report* the Audit and Risk Committee recommend Council:

1. Receive the WANDRRA AGRN 743 report of the Shire of Ashburton; and
2. Request the Chief Executive Officer to report any delays in recoup approval of more than 12 weeks to the Audit and Risk Committee.

8. CONFIDENTIAL MATTERS

Under the Local Government Act 1995, Part 5, and Section 5.23, states in part:

(2) If a meeting is being held by a Council or by a committee referred to in subsection (1)(b), the Council or committee may close to members of the public the meeting, or part of the meeting, if the meeting or the part of the meeting deals with any of the following:

(a) a matter affecting an employee or employees;

(b) the personal affairs of any person;

(c) a contract entered into, or which may be entered into, by the local government and which relates to a matter to be discussed at the meeting;

(d) legal advice obtained, or which may be obtained, by the local government and which relates to a matter to be discussed at the meeting;

(e) a matter that if disclosed, would reveal:

(I) a trade secret;

(II) information that has a commercial value to a person; or

(III) information about the business, professional, commercial or financial affairs of a person,

Where the trade secret or information is held by, or is about, a person other than the local government.

(f) a matter that if disclosed, could be reasonably expected to:

(I) Impair the effectiveness of any lawful method or procedure for preventing, detecting, investigating or dealing with any contravention or possible contravention of the law;

(II) Endanger the security of the local government's property; or

(III) Prejudice the maintenance or enforcement of any lawful measure for protecting public safety;

(g) information which is the subject of a direction given under section 23(1a) of the Parliamentary Commissioner Act 1981; and

(h) such other matters as may be prescribed.

8.1 CONFIDENTIAL ITEM - UPDATE ON WITTENOOM LITIGATION AND APPOINTMENT OF DELEGATE ON THE WITTENOOM STEERING COMMITTEE

FILE REFERENCE:	LS34
AUTHOR'S NAME AND POSITION:	Keith Pearson Special Projects Advisor Janyce Smith Executive Officer
AUTHORISING OFFICER AND POSITION:	Rob Paull Chief Executive Officer
NAME OF APPLICANT/RESPONDENT:	Not Applicable
DATE REPORT WRITTEN:	3 September 2018
DISCLOSURE OF FINANCIAL INTEREST:	The authors and the authorising officer have no financial proximity or impartiality interests in the proposal.
PREVIOUS MEETING REFERENCE:	Confidential Agenda Item 8.1 (Minute No. 17/2018) – Audit and Risk Committee Meeting 19 June 2018 Confidential Agenda Item 8.1 (Minute: 21/2018) - Meeting of the Audit and Risk Committee 13 March 2018

REASON FOR CONFIDENTIALITY

The Chief Executive Officer's Report is confidential in accordance with s5.23 (2) *the Local Government Act 1995* because it deals with matters affecting s5.23 (2):

- (b) *the personal affairs of any person;*
- (d) *legal advice obtained, or which may be obtained, by the local government and which relates to a matter to be discussed at the meeting.*

Officers Recommendation

That the Audit and Risk Committee with respect to *Confidential Item – Update on Wittenoom Litigation and Appointment of Delegate on the Wittenoom Steering Committee* recommend Council:

1. Receive the *Confidential Item – Update on Wittenoom Litigation and Appointment of Delegate on the Wittenoom Steering Council* report and remain confidential in accordance s5.23 (2)(b) & (d) of the *Local Government Act 1995*;
2. Request Shire management continue to provide Wittenoom Litigation progress reports to the Audit and Risk Committee; and
3. Appoint the Chief Executive Officer as the delegate on the Department of Planning, Lands and Heritage's Wittenoom Steering Committee.

8.2 CONFIDENTIAL ITEM - SAFETY, RISK AND COMPLIANCE REPORT, SHIRE OF ASHBURTON

FILE REFERENCE:	GV05
AUTHOR'S NAME AND POSITION:	Rick Muller Safety and Wellbeing Coordinator
AUTHORISING OFFICER AND POSITION:	Rob Paull Chief Executive Officer
NAME OF APPLICANT/RESPONDENT:	Not Applicable
DATE REPORT WRITTEN:	3 September 2018
DISCLOSURE OF FINANCIAL INTEREST:	The author and the authorising officer have no financial proximity or impartiality interests in the proposal.
PREVIOUS MEETING REFERENCE:	Not Applicable

REASON FOR CONFIDENTIALITY

The Chief Executive Officer's Report is confidential in accordance with s5.23 (2) *the Local Government Act 1995* because it deals with matters affecting s5.23 (2):

- (b) *the personal affairs of any person;*
- (d) *legal advice obtained, or which may be obtained, by the local government and which relates to a matter to be discussed at the meeting.*

Officers Recommendation

That the Audit and Risk Committee with respect to *Confidential Item - Safety, Risk and Compliance Report, Shire of Ashburton* recommend Council:

1. Receive *Confidential Item - Safety, Risk and Compliance Report, Shire of Ashburton* report and remain confidential in accordance s5.23 (2)(b) & (d) of the *Local Government Act 1995*.

8.3 CONFIDENTIAL ITEM – ONSLOW AIRPORT LANDING FEES

FILE REFERENCE:	TT06
AUTHOR'S NAME AND POSITION:	Rob Paul Chief Executive Officer
AUTHORISING OFFICER AND POSITION:	Rob Paul Chief Executive Officer
NAME OF APPLICANT/ RESPONDENT:	Not Applicable
DATE REPORT WRITTEN:	10 September 2018
DISCLOSURE OF FINANCIAL INTEREST:	The author and the authorising officer have no financial proximity or impartiality interests in the proposal.
PREVIOUS MEETING REFERENCE:	Agenda Item 12.3 (Minute No. 303/2018) – Ordinary Meeting of Council 13 February 2018 Agenda Item 11.5 (Minute No. 345/2018) – Ordinary Meeting of Council 23 April 2018

REASON FOR CONFIDENTIALITY

The Chief Executive Officer's Report is confidential in accordance with s5.23 (2) *the Local Government Act 1995* because it deals with matters affecting s5.23 (2):

- (b) *the personal affairs of any person;*
- (d) *legal advice obtained, or which may be obtained, by the local government and which relates to a matter to be discussed at the meeting.*

Officers Recommendation

That the Audit and Risk Committee with respect to *Confidential Item – Onslow Airport Landing Fees* recommend to Council without prejudice, and after full consideration of all available facts and legal advice, that Council not seek to pursue reimbursement of any potential outstanding landing fees from Chevron at the Onslow Airport prior to 1 September 2017.

9. NEXT MEETING

The next Audit and Risk Committee Meeting will be held on 18 December 2018, at the Council Chambers, Onslow Shire Complex, Second Avenue Onslow, commencing at _____ am.

10. CLOSURE OF MEETING

The Presiding Member closed the meeting at _____ am.



**SHIRE OF ASHBURTON
AUDIT AND RISK COMMITTEE MEETING**

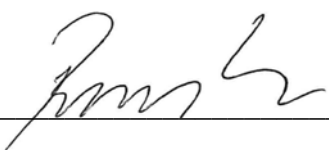
**MINUTES
(Public Document)**

**Ashburton Hall, Ashburton Avenue,
Paraburdoo
19 June 2018
11.00 am**

MINUTES - AUDIT AND RISK COMMITTEE MEETING 19 JUNE 2018

SHIRE OF ASHBURTON
AUDIT AND RISK COMMITTEE MEETING

The Chief Executive Officer recommends the endorsement of these minutes at the next Audit and Risk Committee Meeting.

CEO: 

Date: 19/06/2018

These minutes were confirmed by the Committee as a true and correct record of proceedings of the Audit and Risk Committee Meeting held on 19 June 2018.

Presiding Member: _____

Date: ___/___/2018

DISCLAIMER

The recommendations contained in the Agenda are subject to confirmation by the Committee and endorsement by the Council. The Shire of Ashburton warns that anyone who has any application lodged with Council must obtain and should only rely on written confirmation of the outcomes of the application following the Council meeting, and any conditions attaching to the decision made by the Council in respect of the application. No responsibility whatsoever is implied or accepted by the Shire of Ashburton for any act, omission or statement or intimation occurring during a Council meeting.

MINUTES - AUDIT AND RISK COMMITTEE MEETING 19 JUNE 2018

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MINUTES - AUDIT AND RISK COMMITTEE MEETING 19 JUNE 2018

1. DECLARATION OF OPENING

The Presiding Member declared the meeting open at 11.12 am.

1.1 ACKNOWLEDGEMENT OF COUNTRY

As representatives of the Shire of Ashburton Council, we respectfully acknowledge the local Indigenous people, the traditional custodians of this land where we are meeting upon today and pay our respects to them and all their elders both past and present.

2. ATTENDANCE**2.1 PRESENT**

Members:	Cr P Foster Cr K White Cr D Dias Cr M Lynch	Tom Price Ward (Presiding Member) Onslow Ward Paraburdoo Ward Tom Price Ward
Staff:	Mr R Paull Mr J Bingham Ms J Smith	Chief Executive Officer Director Corporate Services Executive Officer
Guests:	Cr L Rumble Cr D Diver	Paraburdoo Ward Tom Price Ward
Members of Public:	There were no members of the public in attendance at the commencement of the meeting.	
Members of Media:	There were no members of the media in attendance at the commencement of the meeting.	

2.2 APOLOGIES**2.3 APPROVED LEAVE OF ABSENCE****3. ANNOUNCEMENT OF VISITORS****4. DECLARATION BY MEMBERS****4.1 DUE CONSIDERATION BY COUNCILLORS TO THE AGENDA**

Councillors Foster, White, Dias and Lynch are requested to acknowledge during the meeting that they have given due consideration to all matters contained in the Agenda.

4.2 DECLARATIONS OF INTEREST**Councillors to Note**

A member who has an Impartiality, Proximity or Financial Interest in any matter to be discussed at a Council or Committee Meeting, that will be attended by the member, must disclose the nature of the interest:

- (a) In a written notice given to the Chief Executive Officer before the Meeting or;
- (b) At the Meeting, immediately before the matter is discussed.

A member, who makes a disclosure in respect to an interest, must not:

MINUTES - AUDIT AND RISK COMMITTEE MEETING 19 JUNE 2018

- (a) Preside at the part of the Meeting, relating to the matter or;
- (b) Participate in, or be present during any discussion or decision-making procedure relative to the matter, unless to the extent that the disclosing member is allowed to do so under Section 5.68 or Section 5.69 of the Local Government Act 1995.

NOTES ON DECLARING INTERESTS (FOR YOUR GUIDANCE)

The following notes are a basic guide for Councillors when they are considering whether they have an interest in a matter.

These notes are included in each agenda for the time being so that Councillors may refresh their memory.

1. A Financial Interest requiring disclosure occurs when a Council decision might advantageously or detrimentally affect the Councillor or a person closely associated with the Councillor and is capable of being measure in money terms. There are exceptions in the Local Government Act 1995 but they should not be relied on without advice, unless the situation is very clear.
2. If a Councillor is a member of an Association (which is a Body Corporate) with not less than 10 members i.e. sporting, social, religious and the Councillor is not a holder of office of profit or a guarantor, and has not leased land to or from the club, i.e., if the Councillor is an ordinary member of the Association, the Councillor has a common and not a financial interest in any matter to that Association.
3. If an interest is shared in common with a significant number of electors or ratepayers, then the obligation to disclose that interest does not arise. Each case needs to be considered.
4. If in doubt declare.
5. As stated in (b) above, if written notice disclosing the interest has not been given to the Chief Executive Officer before the meeting, then it **MUST** be given when the matter arises in the Agenda, and immediately before the matter is discussed.
6. Ordinarily the disclosing Councillor must leave the meeting room before discussion commences. The **only** exceptions are:
 - 6.1 Where the Councillor discloses the **extent** of the interest, and Council carries a motion under s.5.68(1)(b)(ii) or the Local Government Act; or
 - 6.2 Where the Minister allows the Councillor to participate under s.5.69(3) of the Local Government Act, with or without conditions.

Declarations of Interest provided:

Item Number/ Name	Type of Interest	Nature/Extent of Interest

MINUTES - AUDIT AND RISK COMMITTEE MEETING 19 JUNE 2018

5. CONFIRMATION OF MINUTES OF PREVIOUS MEETING**5.1 AUDIT AND RISK COMMITTEE MEETING HELD ON 13 MARCH 2018****Officers Recommendation and Committee Decision**

MOVED: Cr K White **SECONDED: Cr M Lynch**

That the Minutes of the Audit and Risk Committee Meeting held on 13 March 2018, be confirmed as a true and accurate record.

CARRIED 4/0
Crs Foster, White, Dias and Lynch voted for the motion

ATTACHMENT 5.1

6. TERMS OF REFERENCE

Under the Local Government Act 1995, Local Governments are required to appoint an Audit Committee (section 7.1A of the Local Government Act 1995).

An Audit and Risk Committee is to provide guidance and assistance to the Local Government – as to the carrying out of its functions in relation to audits carried out under Part 7 of the Act and as to the development of a process to be used to select and appoint a person to be an auditor and may provide guidance and assistance to the Local Government as to – matters to be audited, the scope of audits, its functions under Part 6 of the Act and the carrying out of its functions relating to other audits and other matters related to financial management (clause 16 Local Government (audit) Regulations 1996).

Committee Decision

MOVED: Cr K White **SECONDED: Cr M Lynch**

That Committee suspend standing orders at 11.13 am.

CARRIED 4/0
Crs Foster, White, Dias and Lynch voted for the motion

Committee Decision

MOVED: Cr K White **SECONDED: Cr D Dias**

That Committee reinstate standing orders at 11.31 am.

CARRIED 4/0
Crs Foster, White, Dias and Lynch voted for the motion

MINUTES - AUDIT AND RISK COMMITTEE MEETING 19 JUNE 2018

7. AGENDA ITEMS**7.1 REGULATION 17 - RISK AUDIT PROGRESS REPORT - JUNE 2018**

MINUTE: 17/2018

FILE REFERENCE:	FM14.16.17
AUTHOR'S NAME AND POSITION:	Nicky Tyson Procurement Coordinator
AUTHORISING OFFICER AND POSITION:	Rob Paull Chief Executive Officer
NAME OF APPLICANT/RESPONDENT:	Not Applicable
DATE REPORT WRITTEN:	5 June 2018
DISCLOSURE OF FINANCIAL INTEREST:	The author and the authorising officer have no financial, proximity or impartiality interests in the proposal.
PREVIOUS MEETING REFERENCE:	13 March 2018 – Audit and Risk Committee Meeting

Summary

This Risk Audit and review process is to occur at least once every two calendar years. The Shire's contracted Auditors, Moore Stephens Pty Ltd (MS) conducted the latest review in late 2016 and its report contains a list of improvements/opportunities.

At the March 2018 Audit and Risk Committee meeting it was reported that a number of suggestions and opportunities had already been completed and planning had commenced and/or systems had been put in place to address the remaining.

The Committee is now informed that further items have been completed with almost all outstanding items in the final stages of progression.

Background

Local Government (Audit) Regulations 1996 includes 'Local Government Operational Guideline – 9 – Audit in Local Governments'. Regulation 17 prescribes a number of matters that are to be reviewed by local government Audit Committees. These functions now include reviewing the appropriateness and effectiveness of the local government's systems in regard to risk management, internal control and legislative compliance; and reporting the results of the Committee's consideration of that review, to the Council. This Risk Audit and review process is to occur at least once every two calendar years.

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The latest review / audit was conducted onsite, 24 – 25 October 2016, by MS and a report was presented to the Audit and Risk Committee in December 2016. Further progress reports were presented to the committee each quarter with the most recent being March 2018.

Comment

The attached report from the Chief Executive Officer is referred to the Audit and Risk Committee and contains progress of action taken on the recommendations from MS in the Regulation 17 Audit for the Shire of Ashburton's consideration in the areas covered by the audit, that being:

Risk Management;
Internal Controls; and
Legislative Compliance.

There were no critical (i.e. legislative compliance) issues raised in the MS Regulation 17 Audit and attached is the CEO's report to the Audit & Risk Committee (which contains updated Officer Status/Progress Comments) outlining how the Shire's Governance propose to see the improvements recommended, progressed and finalised.

ATTACHMENT 7.1

As the attached report outlines, of the 43 improvement opportunities suggested in the report, all but 5 have been completed through new or existing actions, upon review and approval from the committee and Council. The remaining items are anticipated to be finalised in time for the September 2018 meeting.

Consultation

Chief Executive Officer
Director Corporate Services
Procurement Coordinator
Moore Stephens Australia (Pty) Ltd

Statutory Environment

Regulation 17 *Local Government Audit Regulations 1996* requires the following:

1. *The CEO is to review the appropriateness and effectiveness of a local government's systems and procedures in relation to:*
 - a) *risk management;*
 - b) *internal control; and*
 - c) *legislative compliance.*
2. *The review may relate to any or all of the matters referred to in sub regulation (1) (a), (b) and (c), but each of those matters is to be the subject of a review at least once every two calendar years.*
3. *The CEO is to report to the Audit Committee the results of that review.*

Financial Implications

Implementing the recommendations of the Report that have financial impacts will be processed through normal budgetary processes.

A suitable allocation will be made in the budget for future reviews, with the next review due late 2018.

MINUTES - AUDIT AND RISK COMMITTEE MEETING 19 JUNE 2018

Strategic Implications

Shire of Ashburton 10 Year Community Strategic Plan 2017-2027

Goal 5 – Inspiring Governance

Objective 4 – Exemplary Team & Work Environment

Risk Management

Adoption of this item has been evaluated against the Shire of Ashburton's Risk Management Policy CORP5 Risk Matrix. The perceived level of risk is considered to be "Moderate" risk (largely due to the costs of developing/implementing new procedures, etc.) but can be managed by routine procedures and monitoring by the Director Corporate Services.

Policy Implications

Various policies have been amended to align with new processes.

Voting Requirement

Simple Majority Required

Officers Recommendation and Committee Decision

MOVED: Cr K White

SECONDED: Cr M Lynch

That the Audit and Risk Committee with respect to the Review of Risk Management, Legislative Compliance and Internal Controls, Council:

- 1. Accept the Report (as per ATTACHMENT 7.1) which describes how the suggested improvements/opportunities will be implemented, including actions completed.**
- 2. Request the Chief Executive Officer to address and use best endeavours to complete all actions identified in ATTACHMENT 7.1 by September 2018.**

CARRIED 4/0

Crs Foster, White, Dias and Lynch voted for the motion

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7.2 LOCAL GOVERNMENT ROAD INVENTORY DATA

MINUTE: 18/2018

FILE REFERENCE:	GS05
AUTHOR'S NAME AND POSITION:	Kevin Hannagan Acting Director Infrastructure Services
AUTHORISING OFFICER AND POSITION:	Rob Paull Chief Executive Officer
NAME OF APPLICANT/RESPONDENT:	Local Government Grants Commission
DATE REPORT WRITTEN:	31 May 2018
DISCLOSURE OF FINANCIAL INTEREST:	The author and the authorising officer have no financial, proximity or impartiality interests in the proposal.
PREVIOUS MEETING REFERENCE:	Not Applicable

Summary

At the March 2018 meeting the Audit and Risk Committee resolved to request the Chief Executive Officer to provide an update on the resolutions adopted. This report gives an update on progression of the resolution items.

Background

At the 13 March 2018 Audit and Risk Committee meeting the following was resolved:

“Committee Decision:

MOVED: Cr P Foster

SECONDED: Cr M Lynch

That with respect to Local Government Road Inventory Data the Audit & Risk Committee recommend to Council, that Council:

- 1. Note this report; and*
- 2. Request an update report when the Local Government Grants Commission respond to the Shire's correspondence as outlined in this Report; and*
- 3. Request the Chief Executive Officer to provide further update to the Audit & Risk Committee when the Local Government Grants Commission responds to the Shire's correspondence as outlined in this Report; and*
- 4. Request the Chief Executive Officer to immediately review the road register and report back to the Audit and Risk Committee on 19 June 2018.*

CARRIED 4/0

Crs Foster, Lynch, White and Dias voted for the motion”

Comment

MINUTES - AUDIT AND RISK COMMITTEE MEETING 19 JUNE 2018

The following update information is provided in relation to Resolutions 2, 3 and 4 above:

Resolutions 2 & 3 – The Shire has not yet received a response from the Local Government Grants Commission (LGGC) in response to the Shire's correspondence as outlined in the March 2018 Report.

Resolution 4 - Shire staff have undertaken a comprehensive review of the Assetic database information and the Chief Executive Officer has signed the "Declaration of Road Inventory Data" and this has been provided to the Local Government Grants Commission.

ATTACHMENT 7.2**Consultation**

Not Applicable

Statutory Environment

There are no known statutory implications for this matter.

Financial Implications

There are no known financial implications for this matter.

Strategic Implications

Shire of Ashburton 10 Year Community Strategic Plan 2017-2027

Goal 4 – Quality Services and Infrastructure

Objective 01 – Quality Public Infrastructure

Risk Management

This item has been evaluated against the Shire of Ashburton's Risk Management Framework. The perceived level of risk from the Risk Matrix is considered to be "Moderate / Likely (12)" in light of the potential reduction in grants. As the Risk Acceptance is considered to be "High", the Executive Management Team will monitor progress of this item.

Policy Implications

There are no known policy implications identified.

Voting Requirement

Simple Majority Required

Officers Recommendation and Committee Decision

MOVED: Cr M Lynch

SECONDED: Cr D Dias

That the Audit and Risk Committee recommend to Council with respect to the Local Government Road Inventory Data, Council:

- 1. Notes this report, and**
- 2. Requests an updated report when the Local Government Grants Commission respond to the Shire's letter.**

CARRIED 4/0

Crs Foster, White, Dias and Lynch voted for the motion

MINUTES - AUDIT AND RISK COMMITTEE MEETING 19 JUNE 2018

7.3 INTERIM AUDIT 2017/18**MINUTE:** 19/2018

FILE REFERENCE:	FM0909
AUTHOR'S NAME AND POSITION:	John Bingham Director Corporate Services
AUTHORISING OFFICER AND POSITION:	Rob Paull Chief Executive Officer
NAME OF APPLICANT/RESPONDENT:	Not Applicable
DATE REPORT WRITTEN:	5 June 2018
DISCLOSURE OF FINANCIAL INTEREST:	The author and the authorising officer have no financial, proximity or impartiality interests in the proposal.
PREVIOUS MEETING REFERENCE:	Not Applicable

Summary

The Auditors conducted the 2017/18 Interim Audit during their visit to Tom Price in May 2018.

This report discusses the matters identified at the exit interview and also updates the Committee of recent changes made by the Office of Auditor General (OAG) in relation to the appointment of our External Auditor.

Background

The Auditors completed their fieldwork during a visit to Tom Price on 17 and 18 May 2018. An entry interview was conducted on 17 May 2018 via teleconference with Chai Wen Shien, Partner at Moore Stephens (MS).

Key Audit Risks and Focus Areas discussed during the interview included:

- Fixed Assets – Property Plant and Equipment plus Infrastructure Fair Value calculations;
- Provisions – Employee Benefits Provisions calculations using Net Present Values;
- Revenue – Grants and Rates; and
- Expenditure – Systems and procedures.

An Audit Strategy Memorandum for the Year Ending 30 June 2018 is attached.

CONFIDENTIAL ATTACHMENT 7.3A.

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NB: The Audit Strategy Memorandum is strictly confidential and is not to be published or made publicly available.

Also discussed was the role of the Auditors as specified by the *Local Government (Audit) Regulations 1996*. Amongst other things it was noted the Auditors are to give an opinion, in material respects, as to whether the internal controls of the organisation are efficient and effective.

The entry interview and subsequent exit interview are new steps for the Shire in the audit process and come off the back of the OAGs new legislative mandate to audit local governments. In essence it is OAG practice to conduct a formal entrance and exit meeting.

On 1 September 2017 Parliament amended the *Local Government Amendment (Auditing) Act 2017* and is now the authority in charge of auditing local governments. The Shire is currently in contract with MS until 30 June 2018 so they (MS) will audit the accounts for the 2017/18 financial year.

For the 2018/19 financial year however the OAG officially becomes the Shires auditor. Given the OAG is the Shire's auditor, as appointed by Parliament, approval from Council is not required re: the appointment of an auditor. At this stage the OAG has confirmed it wishes to extend Council's contract with MS for at least one more year which means they (MS) will audit the 2018/19 accounts too.

The Budget implication is Council can expect an increase of up to 100% on previous Annual Report audit fees. This expenditure will go through the normal budgeting process to provision for auditing fees. A separate report to Council is unnecessary.

Comment

An exit interview was held with the Auditors on 18 May 2018 and three areas of discussion took place:

1. Internal Controls;
2. Matters Identified; and
3. Annual and Primary Returns.

As part of the field work the Shires internal controls were tested resulting in no significant deficiencies detected. Further it was mentioned the Shire is a strong performer amongst its neighbouring Shires recently visited and tested by the Auditors.

A list of matters identified was presented with one non-compliance matter detected:

1. *The Rates Notice or brochure accompanying it did not contain the reasons for the difference between the proposed differential rates advertised and those adopted by Council as required by Financial Management Regulation 56 (4) (b).*

When considering the Proposed Differential Rates for 2017/18 at the 20 June 2017 Ordinary Meeting of Council (OMC) Shire Officers recommended a 2% increase on 2016/17. A further recommendation however was later proposed and adopted at the 18 August 2017 OMC reducing the increase from 2% to 1.75%.

When the public notice was issued notifying ratepayers of the proposed rates in the dollar the 2% increase on the 16/17 rate in the dollar was used and not 1.75%. *In other words the original public notice had not been fully updated.*

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Where a difference exists between the adopted rate in the dollar and those set forth in the local public notice a qualification is required to be given on the Rates Notice or in the brochure that accompanies it. This was not done.

As the rates non-compliance matter relates to a *Financial Management Regulation*, it will be reported as a non-compliance matter in the audit report at year end. A copy of this report will also be sent to the Department and the Shire President. A list of the matters identified is attached.

ATTACHMENT 7.3B

The Annual and Primary Returns for 2016/17 were also audited and in some instances found to have omitted information or used incorrect dates. A list of the omissions and incorrect dates is attached.

ATTACHMENT 7.3C

Post exit interview the Director Corporate Services and Manager Finance reviewed the matters identified with a view to how these areas will be addressed through improving procedures and monitoring of systems.

The Auditor will be available on a phone link to enable the Committee for interview purposes to discuss the Draft Interim Management Report as attached.

ATTACHMENT 7.3D**Consultation**

Executive Management Team
Finance Team
Moore Stephens Australia (Pty) Ltd

Statutory Environment

Local Government (Audit) Regulations 1996
Local Government (Finance) Regulations 1996

Financial Implications

No financial implications have been identified.

Strategic Implications

Shire of Ashburton 10 Year Community Strategic Plan 2017-2027
Goal 5 – Inspiring Governance
Objective 4 – Exemplary Team & Work Environment

Risk Management

Adoption of this item has been evaluated against the Shire of Ashburton's Risk Management Policy CORP5 Risk Matrix. The perceived level of risk is considered to be "Low" risk and can be managed by improved procedures and monitoring by the Corporate Services Directorate.

Policy Implications

FIN 07 – Investment Policy to be amended to reflect the change in *Financial Management Regulation* 19C allowing investment in Term Deposits with a maximum of three years.

Voting Requirement

Simple Majority Required

MINUTES - AUDIT AND RISK COMMITTEE MEETING 19 JUNE 2018

Officers Recommendation

That the Audit and Risk Committee recommend to Council with respect to the Interim Audit conducted on 17 and 18 May 2018, Council:

1. Note that the Committee conducted a phone interview with the Auditor in relation to the Report for the Interim Audit and the findings of the Audit; and
2. Receive the Report for the Interim Audit.

Committee Recommendation and Decision

MOVED: Cr K White

SECONDED: Cr M Lynch

That the Audit and Risk Committee recommend to Council with respect to the Interim Audit conducted on 17 and 18 May 2018, Council:

- 1. Note that the Committee conducted a phone interview with the Auditor in relation to the Report for the Interim Audit and the findings of the Audit;**
- 2. Receive the Report for the Interim Audit;**
- 3. That the Chief Executive Officer provide a schedule of issues identified in the Interim Audit Report to addressed and presented to the next Audit and Risk Committee Meeting; and**
- 4. The Chief Executive Officer to arrange appropriate training and guidance for elected members and relevant staff in relation to the preparation of primary and annual returns.**

CARRIED 4/0

Cr Foster, White, Dias and Lynch voted for the motion

Reason for Change: After discussion with the Auditor parts 3 and 4 are included for improvements for Audit arrangements.

MINUTES - AUDIT AND RISK COMMITTEE MEETING 19 JUNE 2018

7.4 2018-22 INFORMATION AND COMMUNICATIONS TECHNOLOGY STRATEGY

MINUTE: 20/2018

FILE REFERENCE:	IT01
AUTHOR'S NAME AND POSITION:	John Bingham Director Corporate Services
AUTHORISING OFFICER AND POSITION:	Rob Paull Chief Executive Officer
NAME OF APPLICANT/RESPONDENT:	Not Applicable
DATE REPORT WRITTEN:	5 June 2018
DISCLOSURE OF FINANCIAL INTEREST:	The author and the authorising officer have no financial, proximity or impartiality interests in the proposal.
PREVIOUS MEETING REFERENCE:	Not Applicable

Summary

Information and Communications Technology (ICT) is a strategic resource that underpins the key functions and decision making processes of a local government. This report introduces a strategy for the Shire describing how it can align its investment in ICT with its business objectives, while ensuring community expectations are met.

Background

The Integrated Planning and Reporting Framework (IPRF) sets out how local governments should plan for their future through the development of Strategic Community Plans (SCP) and Corporate Business Plans. The resources needed to implement these plans are identified and managed through Asset Management Plans, Workforce Plans and Long Term Financial Plans.

In a similar way, Information and Information Technology resources can be planned for and managed so that they support the strategic objectives and priorities of the organisation, as well as ensuring the business continuity of its day-to-day operations. ICT is also an important foundation for the other resourcing plans.

Comment

The 2018-2022 ICT Strategy incorporates the following visioning statement:

'The most effective role of ICT at the Shire of Ashburton is to enable the business to achieve operational excellence which in turn will drive customer satisfaction.'

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Due to the number of internal and external influences affecting ICT this strategy serves as an important control tool for the Shire ensuring influences and changes are captured and managed proactively. The document therefore can be regarded as organic, enabling the organisation to meet new challenges and expectations, while ensuring an inherent link to the Shire's strategic objectives. The strategy also ensures that ICT objectives and actions are prioritised, allowing the organisation to more accurately predict future investment in ICT over the next five years.

To ensure the ICT Strategy maintains alignment with the Shire's SCP annual reviews will be conducted. These reviews will be undertaken in conjunction with any planned reviews of the SCP and CBP as required.

The 2018-22 ICT Strategy is attached.

ATTACHMENT 7.4

Consultation

Executive Management Team
ICT Team

Statutory Environment

Local Government Act 1995

Section 5.56. Planning for the Future

- (1) A local government is to plan for the future of the district.*
- (2) A local government is to ensure that plans made under subsection (1) are in accordance with any regulations made about planning for the future of the district.*

Financial Implications

Investments made into ICT will be used to populate the Shire's ICT Asset Management Plan and Long Term Financial Plan.

Strategic Implications

Shire of Ashburton 10 Year Community Strategic Plan 2017-2027

Goal 5 – Inspiring Governance

Objective 4 – Exemplary Team & Work Environment

Risk Management

Adoption of this item has been evaluated against the Shire of Ashburton's Risk Management Policy CORP5 Risk Matrix. The perceived level of risk is considered to be "Low" risk and can be managed by routine procedures and monitoring.

Policy Implications

There are no policy implications for this matter.

Voting Requirement

Simple Majority Required

MINUTES - AUDIT AND RISK COMMITTEE MEETING 19 JUNE 2018

Officers Recommendation and Committee Decision**MOVED: Cr D Dias****SECONDED: Cr K White****That the Audit and Risk Committee recommend to Council with respect to the 2018-2022 Information and Communications Technology Strategy, Council:**

- 1. Receive the report Information and Communications Technology (ATTACHMENT 7.4) as an informing strategy of the Shire's Integrated Planning and Reporting Framework.**

CARRIED 4/0**Crs Foster, White, Dias and Lynch voted for the motion**

MINUTES - AUDIT AND RISK COMMITTEE MEETING 19 JUNE 2018

8. CONFIDENTIAL MATTERS

Under the Local Government Act 1995, Part 5, and Section 5.23, states in part:

(2) *If a meeting is being held by a Council or by a committee referred to in subsection (1)(b), the Council or committee may close to members of the public the meeting, or part of the meeting, if the meeting or the part of the meeting deals with any of the following:*

(a) a matter affecting an employee or employees;

(b) the personal affairs of any person;

(c) a contract entered into, or which may be entered into, by the local government and which relates to a matter to be discussed at the meeting;

(d) legal advice obtained, or which may be obtained, by the local government and which relates to a matter to be discussed at the meeting;

(e) a matter that if disclosed, would reveal:

(I) a trade secret;

(II) information that has a commercial value to a person; or

(III) information about the business, professional, commercial or financial affairs of a person,

Where the trade secret or information is held by, or is about, a person other than the local government.

(f) a matter that if disclosed, could be reasonably expected to:

(I) Impair the effectiveness of any lawful method or procedure for preventing, detecting, investigating or dealing with any contravention or possible contravention of the law;

(II) Endanger the security of the local government's property; or

(III) Prejudice the maintenance or enforcement of any lawful measure for protecting public safety;

(g) information which is the subject of a direction given under section 23(1a) of the Parliamentary Commissioner Act 1981; and

(h) such other matters as may be prescribed.

MINUTES - AUDIT AND RISK COMMITTEE MEETING 19 JUNE 2018

Council Decision**MOVED: Cr K White****SECONDED: Cr M Lynch**

That Council close the meeting to the public at 11.49 am pursuant to sub section 5.23 (2) of the Local Government Act 1995.

CARRIED 4/0**Crs Foster, White, Dias and Lynch voted for the motion**

Note: The Chairperson invited Councillors not part of the Committee and staff to remain in the room for this Confidential Item.

8.1 CONFIDENTIAL ITEM - UPDATE ON WITTENOOM LITIGATION**MINUTE:** 21/2018

FILE REFERENCE:	LS34
AUTHOR'S NAME AND POSITION:	Keith Pearson Special Projects Advisor
AUTHORISING OFFICER AND POSITION:	Rob Paull Chief Executive Officer
NAME OF APPLICANT/RESPONDENT:	Not Applicable
DATE REPORT WRITTEN:	6 June 20118
DISCLOSURE OF FINANCIAL INTEREST:	The author and the authorising officer have no financial proximity or impartiality interests in the proposal.
PREVIOUS MEETING REFERENCE:	Confidential Agenda Item 8.1 – Meeting of the Audit and Risk Committee 13 March 2018

REASON FOR CONFIDENTIALITY

The Chief Executive Officer's Report is confidential in accordance with s5.23 (2) *the Local Government Act 1995* because it deals with matters affecting s5.23 (2):

- (b) *the personal affairs of any person;*
- (d) *legal advice obtained, or which may be obtained, by the local government and which relates to a matter to be discussed at the meeting.*

MINUTES - AUDIT AND RISK COMMITTEE MEETING 19 JUNE 2018

Officers Recommendation and Committee Decision**MOVED: Cr K White****SECONDED: Cr M Lynch**

That the Audit and Risk Committee receive the “*Confidential Item – Update on Wittenoom Litigation*” report and that it remain confidential in accordance s5.23 (2)(b) & (d) of the *Local Government Act 1995*.

CARRIED 4/0**Crs Foster, White, Dias and Lynch voted for the motion****Council Decision****MOVED: Cr K White****SECONDED: Cr D Dias**

That Council re-open the meeting to the public at 11.51 am.

CARRIED 4/0**Crs Foster, White, Dias and Lynch voted for the motion****8. NEXT MEETING**

The next Audit and Risk Committee Meeting will be held on 19 September 2018, at the Mayu Mayu / Barry Lang Centre, Pannawonica, commencing at a time to be determined.

9. CLOSURE OF MEETING

The Presiding Member closed the meeting at 11.51 am.

CEO's Report

Review of Risk Management, Legislative Compliance and Internal Controls

Undertaken by Moore Stephens Australia Pty Ltd, Report Provided: 13 December 2016, Audit Date: 24-25 October 2016

This progressed report was last presented to the Audit and Risk Committee meeting [19 June 2018](#). Since this date, progress has been made as per below.

Deleted: 13 March

As at [5 September 2018](#):

Deleted: 19 June

Suggestions/Opportunities: 43

Completed: 41

Deleted: 38

Progressing: 2

Deleted: 5

This progressed report will be presented to the Audit and Risk Committee meeting to be held on the [18 September 2018](#). The intent is to report to the Committee that all the improvements/suggestions have been further reviewed and acted upon since the [June](#) meeting.

Deleted: 19 June

Deleted: March

Summary of Improvements (ref 9.1)

Extracted from the Review of Risk Management, Legislative Compliance and Internal Controls Report at the Shire of Ashburton, prepared by Moore Stephens (WA) Pty Ltd, 13 December 2016.

Key:

IS - AM – Airport Manager, SCD – Strategic & Community Development, EO-CEO – Executive Officer – Office of the CEO, CSO - CEO Councillor Support Officer, CS – Corporate Services, CSD – Corporate Services Director, CSFC – Corporate Services Finance Coordinator, CS-SC Corporate Services Support Coordinator (Tom Price), CS -LAM – Library & Administration Manager, CS – MIS – Corporate Services Manager of Information Services, DRS – Development & Regulatory Services, EMC – Emergency Management Coordinator, DSCD – Director Strategic & Community Development, CS - FM – Finance Manager, GES – Governance and Executive Services, GES – GM Manager of Governance & Corporate Strategy, IS – MSAM – Manager of Strategic Asset Management, MC&T – Manager Communications & Tourism, SCD - MCS – Manager Community Services, OD – Organisational Development, CS - PC - Procurement Coordinator, RC – Records Coordinator, S&WC – Safety & Wellbeing Coordinator, SODA - Senior Organisational Development Advisor, SCD-MCS – Strategic & Community Development Manager of Community Services

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Paragraph	Matter Noted	Improvements	Responsible Department/ Position	Responses	Date for completion	Potential Additional Costs	
6.2.1 (1)	CORP 5 Risk Management Policy	Risk recording and reporting is not currently occurring as required by Risk Management Policy.	We suggest risk recording and reporting be undertaken in accordance with the Risk Management Policy.	CS-LAM OD-S&WC	COMPLETED – New policy created along with relevant procedures – Adopted July 2017	Completed	Costs met by the pool scheme funds
6.2.2 (2)	CORP 5 Risk Management Policy	We note the rating of consequences of risks does not consider the context in which the risk is being assessed.	We suggest the use of percentages when assessing consequences to enable the risk rating to be based on the context of the assessment being undertaken.	CS-LAM OD-S&WC	COMPLETED – Considered and implemented with a percentage and numerical rating system. See new Risk Management Profile and Reporting tool that forms part of the new Risk Management Framework	Completed	
6.2.3 (3)	Internal Control Policy	Currently, no policy on internal controls has been adopted by Council.	We suggest an Internal Control Policy be formulated and adopted to formalise Council's commitment to internal controls, based on a risk management process.	GES	COMPLETED – This item has been reviewed by the CEO in conjunction with, Ron Back. CORP 5 Risk Management Policy addresses the area of internal Control so no policy required.	Completed	Nil

Paragraph	Matter Noted	Improvements	Responsible Department/ Position	Responses	Date for completion	Potential Additional Costs	
6.2.4 (4)	Legislative Compliance Policy	Currently, no policy on legislative compliance has been adopted by Council. We acknowledge a Governance Manual is available on the Shire website and covers the relevant matters, the administrative status of this document is however not clear.	We suggest a Legislative Compliance Policy be formulated and adopted to formalise Council's commitment to legislative compliance.	CS-LAM	COMPLETED Auditors have confirmed it is not a legislative requirement but a recommendation for "Best Practice" to ensure compliance is achieved. Governance Officer and Admin Manager have conducted extensive research, WALGA have provided essential feedback (email on request) stipulating no policy required given we have compliance systems in place, such as the automated Compliance Calendar and the CEO should also be assessed on the organisations achievement of compliance with the annual DLG Compliance Annual Report (CAR). Acting AM has reviewed other Local Governments Policies in this area, can produce an example if required.	Completed	Nil
6.2.5 (5)	Occupational, Health and Safety Policy	Currently, no policy on occupational safety and health has been adopted by Council. We acknowledge a Policy is contained within the Occupational Safety and Health Manual.	We suggest an Occupational Safety and Health Policy be formulated and adopted to formalise Council's commitment to occupational safety and health.	CS-LAM OD – S&WC	COMPLETED - EMP17 Occupational Safety & Health Management Directive – Approved EMTT 3/11/2016	Completed	Nil

Paragraph	Matter Noted	Improvements	Responsible Department/ Position	Responses	Date for completion	Potential Additional Costs
6.2.6 (6)	FIN12 Purchasing Policy	We note the following matters in relation to the policy: Requirements where an exemption for calling tenders applies are not provided within the Policy. It is not apparent if the exemption for calling public tenders from WALGA Preferred Suppliers under paragraph 9 of the Policy requires multiple quotations as is the case for lower value purchases in accordance with paragraph 15 and 18. Paragraph 16 refers to the use of Panel Tenders for purchases over \$150,000, this is not provided for or mentioned elsewhere in the Policy. No reference to Policy FIN19 Panels of pre-qualified suppliers is made within the Policy.	We suggest the Policy be reviewed and amended to clearly detail requirements for purchases over \$150,000 which are exempt from tender requirements under Regulation 11 of the Local Government (Functions and General) Regulations 1996.	CS-PC	COMPLETED – Policy modifications made. EMTT Reviewed. Agenda item adopted at November Council meeting.	Completed Nil
6.2.7 (7)	FIN12 Purchasing Policy	We note there are no requirements stated for instances where the scope of a contract is amended or extended.	We suggest the Policy be amended to provide requirements where there is an extension or variation of a contract's scope after a contract is signed.	CS-PC	COMPLETED – Policy modifications made. EMTT Reviewed. Agenda item adopted at November Council meeting.	Completed Nil
6.2.8 (8)	FIN14 Tender Assessment Criteria Policy	We noted the Policy was last reviewed on 9 December 2015 and makes reference to clauses in FIN12 which have subsequently been amended.	We suggest the Policy be reviewed and amended for changes in legislation and other associated policies.	CS-PC	COMPLETED - Policy adopted 14 March 2017 OMC	Completed Nil
6.2.9 (9)	FIN16 GRV Rating of Improvements on Mining Tenements and Petroleum Licence Sites Policy	We note the Policy was last reviewed by Council in 2014 and was developed in 2012 in response to a Policy of the Minister for Local Government to standardise the application of GRV rating of resource projects for a three year trial period.	We suggest the Policy be reviewed to ensure its remains relevant and appropriate.	CSD CS-FM	COMPLETED - Modifications approved by Council as part of the December 2016 Review.	Completed Nil

Paragraph	Matter Noted	Improvements	Responsible Department/ Position	Responses	Date for completion	Potential Additional Costs	
6.2.10 (10)	FIN19 Panels of Pre-Qualified Suppliers Policy	We note the Policy does not contain provisions in relation to how the local government will ensure clear, consistent and regular communication between the local government and pre-qualified suppliers, as required by the regulations.	We suggest the Policy be amended to set out all required matters.	CS-PC	COMPLETED – Policy modifications made. EMTT Reviewed. Agenda item adopted at November Council meeting.	Completed	Nil
6.2.11 (11)	ENG09 Asset Management Policy	We note there is no requirement within the Policy to utilise risk management techniques in the management of Shire assets.	We suggest the Policy be amended to require the use of risk management techniques in the management of Shire assets.	IS-MSAM	COMPLETED – Policy ENG 09 has been amended to include Risk Management techniques. Adopted 13 March 2018	Completed	Nil
6.2.12 (12)	REC05 Community Lease and Licence Agreements of Shire Assets Policy	We note the Policy was reviewed in December 2014. The Policy details set fee levels for various organisations for both leases and licenses. However, the setting of fees and charges is required to be done annually when adopting the annual budget by an absolute majority of Council (s6.16 (3) of <i>Local Government Act 1995</i>).	We suggest the Policy be reviewed, and levels of fees removed from the Policy.	SCD	COMPLETED - As fees are still relevant and are listed for and specifically referred as guide only (they do not purport to set the fees) – therefore a decision has been made to keep them for transparency	Completed	Nil
6.2.13 (13)	REC05 Community Lease and Licence Agreements of Shire Assets Policy	We note license fees do not appear to have been limited to the cost of providing the service as required by s6.17 (3) of <i>Local Government Act 1995</i> .	We suggest controls be developed to ensure license fees do not exceed the cost of issuing the license or providing the service.	SCD CS-FM	COMPLETED - - the licence fees referred to are not the licence fees that relate to S6.16 of the Local Government Act but licence fees permissible under the Land Administration Act as though they operated as a 'lease', therefore the concerns are not relevant or valid	Completed	NIL
7.1.1 (14)	Workforce Plan	No Workforce Plan was available.	We suggest a Workforce Plan to be developed for adoption by Council.	OD	COMPLETED - Organisational Development have developed a Work Force Plan, Updated as of 30 June 2017 by the OD Projects Coordinator.	Completed	WAGES

Paragraph	Matter Noted	Improvements	Responsible Department/ Position	Responses	Date for completion	Potential Additional Costs
7.1.2 (15)	Strategic Asset Management Strategy	We noted the Strategy does not include and assessment of risks associated with the delivery of assets to the community.	IS-MSAM	COMPLETED – Asset Management Strategy July 2017 including assessment of risks (pg. 38-41) adopted at September Council meeting.	Completed	\$100,000 Budget allocation
7.1.3 (16)	Strategic Asset Management Strategy	We note the Shire has not developed formal asset management plans.	IS-MSAM	COMPLETED – Current Asset Management Plan is adequate and compliant, however in line with the ISO 55000 IBWEA NAMS Plus Standards, we are revising each area of the plan to have a more comprehensive final document. This includes preparing each area of the plan for presentation to Council over the next 12-18 months.	Completed (ongoing)	As per 7.1.2 above
7.1.4 (17)	Local Emergency Management Arrangements	We note the Local Emergency Management Arrangements have not been reviewed in accordance with the requirements of the arrangements.	DRS-EMC	COMPLETED - EMC has reviewed documentation and are current. Reviews are to be every 5 years if significant changes are required, otherwise arrangement stands.	Completed	NIL
7.1.5 (18)	Onslow Local Emergency Management Arrangements	We note the document available on the Shire website is watermarked as 'Confidential Draft' yet is signed by the chairperson of the LEMC.	GES-MC&T	COMPLETED – Website version corrected. GES to review and implement controls proposed.	Completed	NIL
7.1.6 (19)	Business Continuity Management Arrangements	We noted that a Business Continuity Management Plan has been partially developed and remains in draft.	CS – D CS - AM	COMPLETED – Plan completed in November 2017 and distributed to organisation via AIMS.	Completed	Nil

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Deleted: All AMP's except Roads and Waste have been reviewed by Council with Remaining Plans to be put to Council for adoption upon completion, now proposed for September..

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Paragraph	Matter Noted	Improvements	Responsible Department/ Position	Responses	Date for completion	Potential Additional Costs
7.1.7 (20)	Record Keeping Plan We note the Plan contains an assessment of Risks however not all identified risks have been rated in accordance with the Risk Management Policy.	We suggest when the record keeping plan is next reviewed an assessment of risks be undertaken in accordance with the Risk Management Policy.	CS-RC	COMPLETED Full Plan review due in 2021.State Records Office have confirmed that the only risk assessment that is required within the Shires Recordkeeping Plan (due in 2021) is a Records Emergency Management Plan - Risk Assessment. Moore Stephens confirmed no need to review until due date of 2021.	2021 – form part of next review	NIL
7.2.1 (21)	Draft Risk Management Framework We note the framework is still in draft form and has not been finalised. The Risk Level Matrix and Assessment Criteria differs to the one contained within the Risk Management Policy.	To avoid possible misinterpretation of rated risks, we suggest the development of one context based risk level matrix and assessment criteria to be used for all risk assessments.	CS-LAM OD-S&WC	COMPLETED - New CORP 5 Policy and subsidiary Risk Management Framework procedures have been created and finalised. Approved by ARC and adopted by Council July 2017 OMC	Completed	NIL
7.2.2 (22)	Documented Procedures Limited documented procedures currently exist.	Opportunities exist to improve standard operating procedures and ensure they are documented and key controls clearly identified. Once these procedures are developed and implemented, they require constant monitoring for adherence and to ensure they are effective.	CEO Directors CS OD	COMPLETED – (ongoing) All staff positions are completing procedure manuals for their areas of responsibility. These manuals are constantly updated on an as-needs basis. This is monitored and managed by the relevant Supervisor/Manager/Director at each Performance review to ensure currency. Update to the next ARC with the view to have a manual commenced for each position. Procedure Manual Data base rolled out to each Directorate for dissemination to relevant Supervisors/Managers to monitor.	Completed <u>(Ongoing)</u>	NIL

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Deleted: September 2018

Paragraph	Matter Noted	Improvements	Responsible Department/ Position	Responses	Date for completion	Potential Additional Costs
7.2.3 (23)	Finance Department Procedures	We note the following matters in relation to the documented procedures: Key controls such as the prior authorisation of general journals, authorisation of creditor invoices for processing and payment and authorisation of credit limits for debtors are not documented within the procedures. Documented procedures for the processing of payroll are not included within the procedures.	We suggest the procedures be modified to clearly identify all key control requirements and procedures for processing and authorisation of payroll be documented.	CS-FM CS – FC OD	COMPLETED – A new Finance Procedure Manual has been created with the assistance of a Consultant.	Completed \$4,398.90
7.2.4 (24)	Draft Procurement Coordinator Procedure Manual JA71	We note the Tender Register is only required to be completed as the final stage of the tender procedure.	We suggest the Tender Register be completed at each stage of the tender process, to help ensure all tenders called are recorded within the Register at all times.	CS-PC	COMPLETED - Procurement has an internal Tender Register containing all details from beginning to end (both on AIMS and hard copy), there is also the Public Tender Register which contains the details as per our legislative requirement.	Completed Nil
7.2.5 (25)	EMP24 Credit Card Management Procedure	We noted the list of current credit card holders is not up to date, as required by the procedure.	We suggest the list of current credit card holders is updated.	CS-FM	COMPLETED	Completed Nil
7.2.6 (26)	Checklists	Checklists of key functions are not maintained.	Creation of standard checklists may assist in evidencing key points of control.	SoA CEO - GM	COMPLETED – Key checklists exist, however the bulk of each positions responsibilities is and will be addressed with the Position Procedure Manuals. See 7.2.2	Completed Nil
7.2.7 (27)	Workflow diagrams	Workflow diagrams have not been compiled.	In conjunction with the development of documented procedures and checklists, development of workflow process diagrams may assist in clearly identifying controls and processes to be followed.	CS OD SoA	COMPLETED – Workflow diagrams are not suitable in all areas of the organisation. Diagrams are existing in Finance, Procurement and Governance embedded within the relevant positions Procedure Manuals to ensure corporate knowledge is maintained.	Completed \$

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Deleted: September 2018

Paragraph	Matter Noted	Improvements	Responsible Department/ Position	Responses	Date for completion	Potential Additional Costs	
7.2.8 (28)	Procedures for the raising of Landing Fees	We noted no independent procedures exist for monitoring aircraft passenger numbers in order to raise landing fees. We view the current system of relying on the airline to report the number of flights and passengers as inappropriate.	We suggest procedures and processes be developed to ensure passenger numbers are independently verified before raising the fee.	IS-AM	COMPLETED NOTE: Landing fees are based on the weight of the planes and are monitored by AVDATA who are an independent company engaged by the Shire. Passenger Head Tax are the fees paid by the airlines to the SoA. These are generated on a monthly basis by the airlines based on the passenger numbers. The only way to monitor/verify this process would require a SoA staff member permanently based at the airport counting passengers for each flight. This is a common practice in all airports and is an "honour system". The recommendation is noted and a procedure will be created and implemented whereby "random" passenger counts will be undertaken by SoA staff and used to verify the fees paid each month. Confirmed that passenger numbers are provided as a monthly total and not on a flight by flight basis. Every flight in a reporting period would need to be counted to enable a verification. This is not practicable given costs.	Completed	Nil
7.2.9 (29)	Project Specific Risk Assessments	Documented risk assessments have been undertaken for a current major project and appear appropriate. However, the risk assessment was not in accordance with the Risk Management Policy.	We suggest the assessments be undertaken in accordance with the Risk Management framework.	SoA IS SCD	COMPLETED –Addressed in the new Risk Management Framework/Procedures	Completed	Nil
7.3.1 (30)	Code of Conduct	Volunteers and contractors are not bound by a Code of Conduct when performing functions on behalf of the Shire.	We suggest an expansion of the scope of the Code of Conduct to include actions by volunteers and contractors. Alternatively, a separate Code of Conduct be developed for volunteers and contractors.	GES – GM	COMPLETED –THG Consultant is no longer covering this area. Amendments to be made to the existing Policy ELM04 to mention Volunteers and Contractors by Governance. Adopted at 23 April 2018 OMC.	Completed	Nil

Paragraph	Matter Noted	Improvements	Responsible Department/ Position	Responses	Date for completion	Potential Additional Costs	
7.3.2 (31)	Occupational Safety and Health Manual EMP17	We note the manual contains comprehensive requirements for contractors. However, there is no requirement for contractors or volunteers to be inducted on the requirements contained in the Manual.	We suggest a requirement for the induction of volunteers and contractors be included in the Manual.	OD-S&WC CS - PC	PROGRESSING - Contractors' induction currently being considered by S&WB Team in consultation with stakeholders including Acting OD Manager and Procurement. Also see Item 7.3.4. RFQ 50.18 for Business Management Systems was requested from the WALGA Pre-Qualified Suppliers for a software system to include the provision of all Health & Safety including inductions. This is currently under evaluation with presentation to Council planned for October OMC.	September December 2018	Nil
7.3.3 (32)	Experienced Staff	Experienced senior staff are expected to have a sound understanding of the requirements of their roles. We noted cases where, due to external limitations, current staff have been elevated to positions for which they have limited experience and no formal qualification.	Key positions should be reserved for staff with relevant experience and qualification and where this is not possible, formal training and development plans should be mandated.	SoA	COMPLETED - Noted – for implementation on an "as needs" basis.	Completed	Combined with 7.1.1

Deleted: September

Paragraph	Matter Noted	Improvements	Responsible Department/ Position	Responses	Date for completion	Potential Additional Costs
7.3.4 (33)	Staff Training Training needs analysis and register have not been updated. A number of licences /skills accreditations have expired.	We suggest the Training Needs Analysis and Register be updated with procedures implemented to ensure licences/skills accreditations remain current.	OD-Manager	PROGRESSING – ELMO has failed to produce in this area. Acting OD Manager is in the process of drafting a request for a new software program. The outcome of this process will be put to Council for award in the second half of 2018. Following this, a risk based training needs analysis and training audit will be completed. This software package includes the provisions for staff, volunteers and contractors (addressing Item 7.3.2) RFQ 50.18 for Business Management Systems was requested from the WALGA Pre-Qualified Suppliers for a software system to include the provision of all Health & Safety including inductions. This is currently under evaluation with presentation to Council planned for October OMC. This system will replace ELMO.	September December 2018	Nil
7.5.1 (34)	Information Systems Plans We noted an IT Disaster Recovery Plan and IT Security Plan are in place, but have never been tested.	We suggest the IT Disaster Recovery Plan and IT Security Plan be tested.	CS-MIS	COMPLETED - With the changes we are making with Telstra to our network, our Disaster Recovery process will change dramatically. Once the changes are complete, the process will be much less labour intensive and more automatic. The Telstra estimate for completion 6 months, so the schedule the test is set for the Christmas break.	Completed	Nil
7.5.2 (35)	IT Resources No policy in place for the use of Shire IT equipment for private use.	We suggest a policy be created and implemented for the use of Shire IT equipment for private use.	CS-MIS OD	COMPLETED – EMP14 Equipment & Key Directive has been completed 21 December 2017	Completed.	\$Nil
8.1.1 (36)	Risk Register We noted risks documented within Council Meeting minutes are not maintained within a risk register.	We suggest risks documented within Council Meeting Minutes are recorded within the risk register.	GES - GM	COMPLETED – All risks are identified and monitored within our CORP5 Risk Management Policy Risk Profile and Reporting Tool managed by Governance.	Completed	Nil

Deleted: September

Paragraph	Matter Noted	Improvements	Responsible Department/ Position	Responses	Date for completion	Potential Additional Costs
8.2.1 (37)	Minutes of Executive Management Group Meetings	No minutes of the Executive Management Group meetings were available for inspection.	We suggest minutes of the Executive Management Group meetings be maintained with risks, internal control and legislative compliance weaknesses identified in the minutes.	GES - EO	COMPLETED Minutes are documented and recorded in secure file GV27.	Completed Nil
8.3.1 (38)	Risk Register	We reviewed a draft register and noted it is not being maintained up to date.	Risk Register to be reviewed/updated on a regular basis.	GES - GM	COMPLETED – Corporate Risk Register updated and to be maintained by Governance Manager	Completed Nil
8.3.2 (39)	OSH Audit Response Register	We note the register contains 29 recommendations rated as high priority. Of these only 4 recommendations are recorded as complete. No dates are provided as to when the audit was undertaken or when the recommendations were finalised.	We suggest recommendations are dated to assist in following up on long outstanding matters.	OD-S&WC	COMPLETED There are 129 recommendations total, 66 in progress, 8 not started, 47 complete, 8 awaiting other action. More detail can be provided if required. It should be noted not all recommendations are practical or necessary to implement. It should also be noted of those recommendations the “in progress” can include those that have been fully implemented in high risk departments but not completed elsewhere due to competing priorities. S&WC to implement recommendations.	Completed Nil
8.3.3 (40)	Incident Register	We note the register does not record any follow up measures to help prevent re-occurrence of incidents.	We suggest the Register records actions to be taken to help prevent re-occurrence of incidents.	OD-S&WC	COMPLETED The Action Register in system STEMS records all proactive and reactive actions (controls) following incidents; scheduled inspections; ad hoc observations and hazard reports etc. Auditors did not review this program.	Completed Nil
8.5.1 (41)	Employee Complaints / Grievance Handling	We note there are no procedures to ensure employee complaints remain confidential, recorded and responded to appropriately.	We suggest a documented procedure be developed to ensure all employee complaints are logged and followed up to ensure they are resolved.	OD-MOD	COMPLETED - EMP16 Grievances, Investigations and Resolution Management Directive modified accordingly (refer to Executive Team Meeting 1/12/2016). EMP22 Discrimination, Harassment and Bullying Management Directive modified accordingly (refer to Executive Team Meeting 24/11/2016)	Completed Nil

Paragraph	Matter Noted	Improvements	Responsible Department/ Position	Responses	Date for completion	Potential Additional Costs
8.5.2 (42)	Community Complaints Handling	Whilst we note there are procedures for community complaints in relation to assets, there are no procedures to ensure general community complaints are recorded and responded to appropriately within a defined timeframe.	We suggest a documented procedure be developed to ensure all community complaints are logged and forwarded to the appropriate officer then followed up to ensure they are resolved.	CS-LAM GES CEO - GM	COMPLETED - New Council Policy adopted by Council 21/9/17 and implemented December 2017.	Completed NIL
8.6.1 (43)	Internal Audit	Currently, no internal auditors have been appointed, and limited internal audit functions have been undertaken.	We suggest that as the level of documented procedures increases, an expanded internal audit function to confirm adherence to documented policies and procedures may be required.	GES-CEO	COMPLETED - Suggestion noted and included in the 2017/18 Budget. CEO's intention to establish a permanent internal auditor in the 2018/2019 Financial Year.	Completed Nil



CORPORATE BUSINESS PLAN

QUARTERLY STATUS REPORT

SEPTEMBER 2018

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Capital Program

A number of projects are forecast to be undertaken during the life of the Plan, which result in additional capital expenditure. The projects include new, expansion, upgrade and renewals of assets and are detailed in the forecast capital expenditure provided in the Long Term Financial Plan (LTFP).

A number of the projects listed in the LTFP are reliant on external contributions, should these not be received the project may be deferred until adequate funding is available.

Key projects included within this Plan are:

Action	Project
1.2.4.2	Tom Price Youth and Community Facility
1.3.1.3	Develop Child Care Facilities in Tom Price
1.3.1.4	Construction of the Paraburdoo CHUB
3.2.3.2	Development of Pilbara Regional Waste Management Facility
4.1.2.1	Tom Price Administration Building Upgrade
4.1.2.2	Plan and develop Onslow Marina
4.2.1.3	Road Infrastructure upgrades and renewals
4.2.5.2	Development of Emergency Services Precinct in Tom Price

Service Delivery

The Shire of Ashburton delivers services to its community in line with its values and the five key strategic goals set out within the Strategic Community Plan 2017-2027. Each of the five goals has several outcomes the Shire seeks to achieve over the 10+ years of the Strategic Community Plan.

The table below summarises the desired outcomes under each of the five key strategic goals. Strategies and detailed actions to achieve these outcomes have been developed and are detailed on the following pages. As the Shire strives to achieve these outcomes, the community will be kept informed of the progress by means of the Annual Report.

Objectives	Desired Outcomes
Goal 01 Vibrant and Active Communities	
01: Connected, caring and engaged communities	People feel connected and actively involved in the community
02: Sustainable Services, Clubs, Associations and Facilities	High levels of community involvement in supporting clubs and organisations to be successful and sustainable, while optimising community facility use
03: Quality education, healthcare, childcare, aged care and youth services	A cohesive approach to service development, delivery and access to quality education, healthcare, childcare, aged care and youth services and facilities.
04: A rich cultural life	High levels of community appreciation for, and involvement in Arts and Cultural activities
Goal 02 Economic Prosperity	
01: Strong local economies	A diverse and strong economy
02: Enduring partnerships with industry and government	Industry and government actively engaging with local communities and economies
03: Well-managed tourism	Sustainable tourism activity benefitting local economies and the Shire as a whole
Goal 03 Unique Heritage and Environment	
01: Flourishing natural environments	The integrity of the Shire's natural environments are maintained
02: Leading regional sustainability	The Shire of Ashburton supports and implements best practice sustainability practices
03: Celebration of history and heritage	The Aboriginal and European history and heritage of the Shire is celebrated and valued
Goal 04 Quality Services and Infrastructure	
01: Quality public infrastructure	Adequate, accessible and sustainable public infrastructure
02: Accessible and safe towns	Transportation into and throughout towns are improved
03: Well-planned towns	Distinctive and well-functioning towns
Goal 05 Inspiring Governance	
01: Effective Planning for the Future	Ensure that Shire resources are optimally applied to achieving community outcomes, whilst maintaining financial sustainability
02: Community ownership	An engaged and well-informed constituency
03: Council leadership	Council effectively governing the Shire, demonstrating effective governance and town leadership.
04: Exemplary team and work environment	Highly-functioning Shire team that effectively manages the Shires resources to build strong communities

GOAL 1

VIBRANT AND ACTIVE COMMUNITIES

The following tables reflect the future actions to be undertaken for each strategy. The prioritisation of the actions is reflected by a square indicating when the action is planned to be undertaken, or an arrow if the action will continue or be undertaken in the years beyond the four years of this Plan.

Objective 1.1

Connected, caring and engaged communities

Outcome

People feel connected and actively involved in the community

STRATEGY	ACTIONS	PROJECTS	2018/19	2019/20	2020/21	2021/22	Budget allocation	
1.1.1	Encourage and provide a range of opportunities to community members and stakeholders to inform and participate in decision making	1.1.1.1 Develop communication and engagement strategy	Strategy to be developed in line with ADM08 Community Engagement Policy					TBA
		1.1.1.2 Engage community and stakeholders in accordance with Communication and Engagement Strategy	Community Survey planned for early 2019 as part of desktop review for Strategic Community Plan, can be incorporated.					\$10,000
1.1.2	Establish a strategic approach to community development planning that focuses on building social capital, developing community capability and addresses social isolation and dislocation all residents across the Shire	1.1.2.1 Undertake strategic planning to ensure integration of informing plans for adequate resourcing and service delivery	The Shire's current Integrated Planning Framework comprises of up to date strategic documents to assist service delivery requirements					Ongoing
1.1.3	Continue to develop programs that welcome and induct new residents and transient workers into their host communities; Engage and celebrate local culture, both Indigenous and non-Indigenous	1.1.3.1 Continue to develop programs welcoming new residents and transient workers into the community	Community Showcase/Welcome Events planned for late 2018					\$39,500
		1.1.3.2 Engage and celebrate local culture, both Indigenous and non-Indigenous	Naidoc Activities held in July/August 2018					\$32,000

STATUS LEGEND: NOT YET COMMENCED IN PROGRESS ONGOING/ADVOCATE COMPLETED

GOAL 1

VIBRANT AND ACTIVE COMMUNITIES

Objective 1.2

Sustainable Services, Clubs, Associations and Facilities

Outcome

High levels of community involvement in supporting clubs and organisations to be successful and sustainable, while optimising community facility use

STRATEGY	ACTIONS	PROJECTS	2018/19	2019/20	2020/21	2021/22	Budget allocation
1.2.1	Develop and implement a cohesive, whole Shire strategy to encourage and support club and community group development through a focus on increased volunteerism and capacity building that utilises the skills and experience of residents and visitors	1.2.1.1 Develop and implement a cohesive strategy to encourage and support club and community group development Strategy developed for Tom Price, Paraburdoo and Pannawonica through RTIO Partnership. Opportunity to revise and incorporate Onslow.		■	■	■	Partnerships
1.2.2	Review existing club and community organisations' governance and operating processes to identify possible synergies, collaborations or alternative models that can increase community involvement, reduce workloads and increase sustainability	1.2.2.1 As per action 1.2.1.1 As above		■	■	■	Partnerships
1.2.3	Collaborate with industry to encourage FIFO participation in their host communities through a concerted campaign to increase engagement in community activities; leisure and recreation pursuits	1.2.3.1 Collaborate with partners, key stakeholders and other organisations where appropriate Collaboration with Sodexo for events to incorporate FIFO inclusion.		■	■	■	Partnerships
1.2.4	Prepare plans, programs and schedules that provide cost effective access and optimisation of existing community facilities – and provide new or upgraded facilities to accommodate future needs	1.2.4.1 Seek to deliver community facility services and outcomes within resource capacity As per 1.2.1.1		■	■	■	Partnerships
		1.2.4.2 Provide community facilities as per asset management planning Sports courts upgrades completed July 2018. CHUB on track for late 2018		■	■	■	Multiple

STATUS LEGEND: NOT YET COMMENCED IN PROGRESS ONGOING/ADVOCATE COMPLETED

OAL 1





VIBRANT AND ACTIVE COMMUNITIES

Objective 1.3

Quality education, healthcare, childcare, aged care and youth services

Outcome

A cohesive approach to service development, delivery and access to quality education, healthcare, childcare, aged care and youth services and facilities

STRATEGY	ACTIONS	PROJECTS	2018/19	2019/20	2020/21	2021/22	Budget allocation		
1.3.1	Play a leadership role in advocating to, and engaging with, relevant government and private sector stakeholders to foster a whole of Shire approach to the provision of quality education, training, healthcare, childcare, aged care, youth services and facility provision.	1.3.1.1	Continue to advocate on behalf of the community	In collaboration with the President, the CEO and Directors to advocate directly with corporate partners, Federal and State governments to promote improved service delivery across the Shire		■	■	■	NA
		1.3.1.2	Provision of aged care services and housing	Planned 19/20		■	■		NA
		1.3.1.3	Develop child care facilities in Tom Price	RFT 08.18 awarded to HCP for the Architectural design phase.					\$250,000
		1.3.1.4	Construction of the Paraburdoo CHUB	RFT 17.17 under construction, completion due late 2018					\$9,528,914
1.3.2	Ensure the needs of changing communities are understood, planned and budgeted for and contributed to by government, industry and the private sector.	1.3.2.1	As per action 1.1.2.1	The Shire's current Integrated Planning Framework comprises of up to date strategic documents including SCP, CBP, WFP, AMP's and the LTFP to assist service delivery requirements		■	■	■	Ongoing

STATUS LEGEND:  NOT YET COMMENCED  IN PROGRESS  ONGOING/ADVOCATE  COMPLETED

GOAL 1






VIBRANT AND ACTIVE COMMUNITIES

Objective 1.4

A rich cultural life

Outcome

High levels of community appreciation for, and involvement in Arts and Cultural activities

STRATEGY	ACTIONS	PROJECTS	2018/19	2019/20	2020/21	2021/22	Budget allocation
1.4.1	Encourage and support community involvement with and appreciation of, arts and culture	1.4.1.1 Encourage and support community involvement with and appreciation of, arts and culture In collaboration with the President, the CEO and Directors to advocate directly with corporate partners, Federal and State governments to promote support community involvement with and appreciation of, arts and culture.		■	■	■	\$120,000
1.4.2	Develop and deliver a whole of Shire Cultural Plan that includes 'place management' approaches	1.4.2.1 Develop and deliver a whole of Shire Cultural Plan Tourism Strategy currently under construction addressing cultural link.		■	■	■	Previous allocation
1.4.3	Continue to work collaboratively with the community to deliver town events	1.4.3.1 Continue to work collaboratively with the community to deliver town events Multiple events planned for the 18/19 year including School Holiday activities, Anzac Day, Australia Day. NAIDOC, Nameless, Competitions		■	■	■	Multiple
1.4.4	Increase opportunities for children, youth and Indigenous residents to be part of the wider community	1.4.4.1 As per Action 1.4.2.1 Tourism Strategy currently under construction addressing children, youth and indigenous link.		■	■	■	Previous allocation
1.4.5	Continue to foster industry and government social investments and participation in community arts and cultural initiatives	1.4.5.1 As per Action 1.4.2.1 Strengthening relationships with key stakeholders. Plans to collaborate with organisations on future cultural activities. Karijini Experience is the region's biggest cultural initiative.		■	■	■	Multiple

STATUS LEGEND:



NOT YET COMMENCED



IN PROGRESS



ONGOING/ADVOCATE



COMPLETED

GOAL 2





ECONOMIC PROSPERITY

Objective 2.1

Strong local economies

Outcome

A diverse and strong economy

STRATEGY	ACTIONS	PROJECTS	2018/19	2019/20	2020/21	2021/22	Budget allocation
2.1.1	Develop local capability and capacity to understand and adapt to economic trends and better meet needs of local businesses	2.1.1.1 As per action 2.2.2.1 As part of Economic & Tourism Development Strategy. PICCI is also working on a capability statement for inland Pilbara businesses and OCCI has one for Onslow and the Coast.		■	■	■	Previous allocation
2.1.2	Develop policies and programs to support existing businesses and encourage business attraction to meet the changing needs of local and regional areas	2.1.2.1 As per action 2.2.2.1 Being considered high priority as per Economic & Tourism Strategy. Have attracted interest in a couple of industry development workshops to Tom Price.		■	■	■	Previous allocation
2.1.3	Proactively engage with government and industry to support business development and community enterprise and to plan for present and future training and employment needs	2.1.3.1 As per action 2.2.2.1 As above, some workshops have occurred, working in collaboration with community stakeholders to hold more throughout the FY		■	■	■	Consultancy
2.1.4	Facilitate timely release of land to support the local economy	2.1.4.1 Facilitate timely release of land to support the local economy Continue to liaise with corporate partners, Federal and State governments to identify and promote land release where available		■	■	■	NA

STATUS LEGEND:



NOT YET COMMENCED



IN PROGRESS



ONGOING/ADVOCATE



COMPLETED

GOAL 2









ECONOMIC PROSPERITY

Objective 2.2

Enduring partnerships with industry and government

Outcome

Industry and government actively engaging with local communities and economies

STRATEGY	ACTIONS	PROJECTS	2018/19	2019/20	2020/21	2021/22	Budget allocation	
2.2.1	Partner with industry and government to target their investment in stimulating more diversified business and economic development to benefit communities and the local economy	2.2.1.1 Advocate for more diversified business and economic development in accordance with Economic Development Strategy	Work in Progress – currently in consultation stage with presentation set for November 2018					\$43,483
2.2.2	Develop a Shire Economic Development Strategy that includes engagement with industry and government to support local economic development initiatives	2.2.2.1 Develop and implement Shire Economic Development Strategy	As above					As above

STATUS LEGEND:  NOT YET COMMENCED  IN PROGRESS  ONGOING/ADVOCATE  COMPLETED

GOAL 2





















ECONOMIC PROSPERITY

Objective 2.3

Well-managed tourism

Outcome

Sustainable tourism activity benefiting local economies and the Shire as a whole

STRATEGY	ACTIONS	PROJECTS	2018/19	2019/20	2020/21	2021/22	Budget allocation
2.3.1	Work with the tourism industry, key stakeholders and agencies to collaboratively develop a regional Tourism Strategy that promotes the unique Pilbara offering of distinctive landscapes, seascapes and communities.	2.3.1.1 Develop Tourism Strategy Work in Progress – currently in consultation stage with presentation set for November 2018					As above
2.3.2	Continue to plan for, invest in, and advocate for the development of key tourist infrastructure including increased accommodation options; tourism attractions and signage	2.3.2.1 Continue to plan for, invest in, and advocate for the development of key tourist infrastructure in accordance with Tourism Strategy Work in Progress – currently in consultation stage with presentation set for November 2018					As above
2.3.3	Explore Aboriginal tourism opportunities	2.3.3.1 Encourage Aboriginal tourism opportunities in accordance with Tourism Strategy Work in Progress – currently in consultation stage with presentation set for November 2018					As above
2.3.4	Plan for improved tourism accommodation, camping grounds and associated facilities	2.3.4.1 Plan for improved tourism accommodation, camping grounds and associated facilities in accordance with Tourism Strategy Will form part of the Strategy, but also incorporates large project of Tom Price Tourist Bay					\$478,600
2.3.5	Engage with industry to manage the interface with tourism to optimise opportunities and minimise competing interests	2.3.5.1 As per action 1.1.1.1 In progress. Developed Strategic Plan for TPVC. Implementing enhanced online booking services including website visitor guide.					Multiple

STATUS LEGEND:



NOT YET COMMENCED



IN PROGRESS



ONGOING/ADVOCATE



COMPLETED

GOAL 3



UNIQUE HERITAGE AND ENVIRONMENT

Objective 3.1

Flourishing natural environments

Outcome

The integrity of the Shire's natural environments are maintained

STRATEGY	ACTIONS	PROJECTS	2018/19	2019/20	2020/21	2021/22	Budget allocation
3.1.1	Partner with government agencies, industry, traditional owners, non-government organisations, local governments, research institutions, pastoralists and the community to better manage natural assets and deliver improved conservation outcomes that reflect the region's high biodiversity and landscape values	3.1.1.1 Advocate for the protection of natural assets and sustainable use of resources and utilities Whole of Shire ongoing action		■	■	■	NA
3.1.2	Improve recreational access to natural environments with a focus on signage, access and safety	3.1.2.1 Improve recreational access to natural environments with a focus on signage, access and safety Ian Blair Boardwalk Signage – currently with designers for final draft before construction of signs and installation		■	■	■	\$146,116

STATUS LEGEND:  NOT YET COMMENCED  IN PROGRESS  ONGOING/ADVOCATE  COMPLETED

GOAL 3





UNIQUE HERITAGE AND ENVIRONMENT

Objective 3.2

Leading regional sustainability

Outcome

The Shire of Ashburton supports and implements best practice sustainability practices

STRATEGY	ACTIONS	PROJECTS	2018/19	2019/20	2020/21	2021/22	Budget allocation
3.2.1	Promote and encourage protection of natural assets and sustainable use of resources and utilities	3.2.1.1 As per Action 3.1.1.1 Whole of Shire ongoing action		■	■	■	NA
3.2.2	Collaborate with State Government and Rio Tinto (the providers of water resources in the Shire) to promote water-wise practices across the Shire	3.2.2.1 Collaborate with stakeholders to promote water-wise practices across the Shire Continue to encourage providers of water rehuses within the Shire to promote water-wise practices		■	■	■	NA
3.2.3	Encourage and implement improved waste minimisation practices, including proactive approaches to recycling and reuse	3.2.3.1 Encourage and implement improved waste minimisation practices Shire to establish a waste strategy which will address recycling and waste minimisation		■	■	■	Multiple
		3.2.3.2 Development of Pilbara Regional Waste Management Facility RFQ 69.17 awarded to TALIS for consultancy. Waiting on EPA & DWER Department Approvals		■	■	■	\$11,602,548

STATUS LEGEND:  NOT YET COMMENCED  IN PROGRESS  ONGOING/ADVOCATE  COMPLETED

GOAL 3

UNIQUE HERITAGE AND ENVIRONMENT

Objective 3.3

Celebration of history and heritage

Outcome

The Aboriginal and European history and heritage of the Shire is celebrated and valued

STRATEGY	ACTIONS	PROJECTS	2018/19	2019/20	2020/21	2021/22	Budget allocation
3.3.1	Develop strategies to recognise and celebrate the Aboriginal and Non-Aboriginal history and heritage of the Shire, including providing cultural awareness training opportunities	3.3.1.1 Recognise and celebrate the Shire's Aboriginal and Non-Aboriginal history and heritage	Continue to support NADOC week and other celebrations of aboriginal history and culture. 	■	■	■	Previous allocation
		3.3.1.2 Support and encourage cultural awareness opportunities	Continue to support NADOC week and other celebrations of aboriginal history and culture. 	■	■	■	Previous allocation

STATUS LEGEND:  NOT YET COMMENCED  IN PROGRESS  ONGOING/ADVOCATE  COMPLETED

GOAL 4





QUALITY SERVICES AND INFRASTRUCTURE

Objective 4.1

Quality public infrastructure

Outcome

Adequate, accessible and sustainable public infrastructure

STRATEGY	ACTIONS	PROJECTS	2018/19	2019/20	2020/21	2021/22	Budget allocation
4.1.1 Advocate to, and partner with, government to facilitate the development of the Tom Price – Karratha Road to link Tom Price and Paraburdoo to the Pilbara Cities	4.1.1.1 Advocate to, and partner with stakeholders to facilitate the development of the Tom Price – Karratha Road to link Tom Price and Paraburdoo to the Pilbara Cities	In collaboration with the President, the CEO and Directors to advocate for the facilitation of the development of the Tom Price – Karratha Road		■	■	■	NA
4.1.2 Provide and maintain affordable infrastructure that serves the current and future needs of the community, environment, industry and business	4.1.2.1 Provide and maintain infrastructure in accordance with asset management plans	Multiple RFQ's and RFT's for renewals and upgrades of roads, drainage, and buildings as per budget.		■	■	■	Multiple
	4.1.2.2 Plan and develop Onslow Marina	Planned for 21/22				■	NA
4.1.3 Actively engage with State Government, Aboriginal Corporations and communities to support strategies to effectively manage the planned transition of municipal services in Aboriginal communities (upon the completion of the Aboriginal Communities Review by the WA State Government)	4.1.3.1 Advocate for the provision of appropriate services to all of the community	In collaboration with the President, the CEO and Directors to advocate for support strategies to effectively manage the planned transition of municipal services in Aboriginal communities		■	■	■	NA
4.1.4 Actively advocate for the effective supply of utilities and services that meet commercial, industrial and retail needs.	4.1.4.1 As per Action 4.1.2.1	Continue to advocate for supply of utilities and services that meet commercial, industrial and retail needs		■	■	■	NA

STATUS LEGEND:



NOT YET COMMENCED



IN PROGRESS



ONGOING/ADVOCATE



COMPLETED

GOAL 4



















QUALITY SERVICES AND INFRASTRUCTURE

Objective 4.2

Accessible and safe towns

Outcome

Transportation into and throughout towns are improved

STRATEGY	ACTIONS	PROJECTS	2018/19	2019/20	2020/21	2021/22	Budget allocation
4.2.1 Advocate to, and partner with, key government and industry to develop an air strip at Tom Price and improve public transport and roads between the Shire's towns	4.2.1.1 Advocate and partner with key stakeholders to develop an air strip at Tom Price	Council by resolution agreed to remove all funding and advocate only					NA
	4.2.1.2 Advocate to improve public transport and roads between the Shire's towns	In collaboration with the President, the CEO and Directors to advocate for improved public transport and roads between the Shire's towns					NA
	4.2.1.3 Maintain and improve road infrastructure in accordance with asset management plans	Multiple road renewal programs for the 18/19 financial year as per budget					\$9,058,321
	4.2.1.4 Maintain and improve air transport infrastructure in accordance with asset management plans	Multiple projects (7 in total) for the Onslow Airport upgrades as per adopted budget					\$1,440,000
4.2.2 Continue to improve and maintain condition of footpaths, cycleway, kerbs and signage to provide enhanced amenities and connections with towns	4.2.2.1 Maintain and improve footpaths, cycleway, kerbs and signage in line with asset management planning	Footpath and kerb renewals as planned.					Multiple
4.2.3 Maintain and improved existing public lighting and increase coverage of lighting where appropriate	4.2.3.1 Advocate for improved public lighting where appropriate	Onslow Street lighting project. Multiple Oval lighting upgrades planned					Multiple

STATUS LEGEND:



NOT YET COMMENCED



IN PROGRESS







ONGOING/ADVOCATE



COMPLETED

GOAL 4

QUALITY SERVICES AND INFRASTRUCTURE

STRATEGY	ACTIONS	PROJECTS	2018/19	2019/20	2020/21	2021/22	Budget allocation	
4.2.4	Shire to continue to work with police, stakeholders and the community to promote positive crime prevention and safety initiatives	4.2.4.1 Continue to work with police, stakeholders and the community to promote positive crime prevention and safety initiatives	In collaboration with the President, the CEO and Directors to advocate for positive crime prevention and safety initiatives		■	■	■	NA
4.2.5	Effectively communicate and manage natural hazards, risks and other community emergencies through the development of an emergency management strategy that includes educating stakeholders and community on how to prevent and address emergencies	4.2.5.1 Continue to effectively communicate emergency management plans and educate stakeholders and community on how to prevent and address emergencies	In collaboration with LEMC's, Shire staff and DEFS to improve and implement emergency management strategies that includes educating stakeholders and community on how to prevent and address emergencies		■	■	■	NA
		4.2.5.2 Development of Emergency Services Precinct in Tom Price	Budget allocation for land release in 18/19		■			\$20,000
		4.2.5.3 Develop RFDS Airstrip infrastructure	Advocacy only		■			NA

STATUS LEGEND:  NOT YET COMMENCED  IN PROGRESS  ONGOING/ADVOCATE  COMPLETED

GOAL 4





QUALITY SERVICES AND INFRASTRUCTURE

Objective 4.3

Well-planned towns

Outcome

Distinctive and well-functioning towns

STRATEGY	ACTIONS	PROJECTS	2018/19	2019/20	2020/21	2021/22	Budget allocation
4.3.1	Continue to monitor industry and economic trends and ensure town planning schemes respond appropriately to future housing, accommodation and commercial needs	4.3.1.1 Continue to monitor industry and economic trends and ensure town planning schemes respond appropriately to future housing, accommodation and commercial needs Local Planning Strategy addressing and incorporating, planned for completion early 2019		■	■	■	\$45,392
4.3.2	Ensure any new buildings and developments are sensitive to an integrate appropriately with the natural and built environments	4.3.2.1 Continue to ensure any new buildings and developments are sensitive to, and integrate appropriately with the natural and built environments Onslow Coastal Process Study will address this area. Due for completion June 2019		■	■	■	\$40,000
4.3.3	Incorporate social planning and ecological sustainable development principles in planning strategies and policies	4.3.3.1 Consider social planning and ecological sustainable development principles in planning strategies and policies Local Planning Policies under review. Planned for 2019		■	■	■	Multiple Consultancy Budgets
4.3.4	Continue to provide and maintain a range of public open spaces with high quality amenities.	4.3.4.1 Continue to provide and maintain a range of public open spaces in accordance with asset management plans Multiple public spaces and recreational facility upgrades and maintenance programs planned for 18/19 FY as per budget		■	■	■	Multiple

STATUS LEGEND:  NOT YET COMMENCED  IN PROGRESS  ONGOING/ADVOCATE  COMPLETED

GOAL 5








INSPIRING GOVERNANCE

Objective 5.1

Effective Planning for the Future

Outcome

Ensure that Shire resources are optimally applied to achieving community outcomes, whilst maintaining financial sustainability

STRATEGY	ACTIONS	PROJECTS	2018/19	2019/20	2020/21	2021/22	Budget allocation
5.1.1	Ensure the Strategic Community Plan and Corporate Business Plan are used effectively to guide all planning and decision making in the delivery of quality services and facilities	5.1.1.1 As per Action 1.1.2.1 SCP and CBP considered and used to drive the final adopted annual budget.		■	■	■	NA
		5.1.1.2 Review, update and implement asset management plans Asset management plans are nearing completion. Final plans due end of 2018		■	■	■	Wages
5.1.2	Regular communication and engagement with stakeholders and community to generate a sound understanding, support and buy-in to the Shire's plans and strategies	5.1.2.1 As per Action 1.1.1.1 Survey as planned for early 2019 in line with review periods.		■	■	■	\$10,000
5.1.3	Monitor trends, anticipate needs and capitalise on opportunities to build strong communities	5.1.3.1 As per Action 1.2.4.1 As per 1.2.4.1		■	■	■	Partnerships
5.1.4	Develop a Reconciliation Action Plan and seek greater Aboriginal engagement and representation in decision making	5.1.4.1 Develop a Reconciliation Action Plan and seek greater Aboriginal engagement and representation in decision making Establish a direct liaison with Council to commit to a timeline to commence a Reconciliation Action Plan with greater Aboriginal engagement		■	■	■	TBA
5.1.5	Regular monitor, review and revise the Strategic Community Plan and develop a four year Corporate Business Plan that reflects the evolving community needs and aspirations	5.1.5.1 As per Action 1.1.2.1 SCP desktop review planned and budgeted for early 2019		■	■	■	\$10,000
		CBP adopted June 2018 and reviewed every quarter					Complete for 18/19

STATUS LEGEND:  NOT YET COMMENCED  IN PROGRESS  ONGOING/ADVOCATE  COMPLETED

GOAL 5 INSPIRING GOVERNANCE

Objective 5.2

Community ownership

Outcome

An engaged and well-informed constituency

STRATEGY	ACTIONS	PROJECTS	2018/19	2019/20	2020/21	2021/22	Budget allocation
5.2.1	Ensure equitable and broad representation on committees and in community engagement activities to ensure there is well informed decision making	5.2.1.1 As per Action 1.1.1.1 Strategy to be developed in line with ADM08 Community Engagement Policy		■	■	■	TBA
5.2.2	Ensure broad participation and diverse representation in research, planning and decision making	5.2.2.1 As per Action 1.1.1.1 Strategy to be developed in line with ADM08 Community Engagement Policy, along with engagement projects planned for 2019.		■	■	■	TBA
5.2.3	Develop a communications and engagement strategy that ensures the provision of quality information on Shire activities and uses modern methods to foster high levels of community awareness and involvement	5.2.3.1 As per Action 1.1.1.1 Strategy to be developed in line with ADM08 Community Engagement Policy, along with engagement projects planned for 2019.		■	■	■	TBA
5.2.4	Be a strong voice and advocate for the local community in regional, state and federal settings	5.2.4.1 As per Action 1.3.1.1 In collaboration with the President, the CEO and Directors, continue to advocate directly with Federal and State governments on local community in regional, state and federal settings		■	■	■	NA

STATUS LEGEND:  NOT YET COMMENCED  IN PROGRESS  ONGOING/ADVOCATE  COMPLETED






GOAL 5 INSPIRING GOVERNANCE

Objective 5.3

Council leadership

Outcome

Council effectively governing the Shire, demonstrating effective governance and town leadership

STRATEGY	ACTIONS	PROJECTS	2018/19	2019/20	2020/21	2021/22	Budget allocation
5.3.1 Support and strengthen the effectiveness of Councillors, and educate the community on their roles, responsibilities and achievements	5.3.1.1 As per Action 1.3.1.1	Continue elected representative training through WALGA and internal Shire support		■	■	■	Multiple
	5.3.1.2 Support and strengthen the effectiveness of Councillors	As above		■	■	■	Multiple
	5.3.1.2 Seek to educate the community on the roles, responsibilities and achievements of Council	Continue to provide information to local government candidates on the roles and responsibilities of Council		■	■	■	Ongoing
		Continue to promote Council achievements through Shire publications and website/social media					
5.3.1.3 Continue to provide quality regulatory services	Continue to provide and improve Shire regulatory services and establish service standards		■	■	■	TBA	
5.3.2 Improve civic engagement and leadership to increase the involvement of under-represented groups including youth, the Aboriginal community and seniors	5.3.2.1 As per Action 1.1.1.1	Strategy to be developed in line with ADM08 Community Engagement Policy		■	■	■	TBA

STATUS LEGEND:  NOT YET COMMENCED  IN PROGRESS  ONGOING/ADVOCATE  COMPLETED





GOAL 5 INSPIRING GOVERNANCE

Objective 5.4

Exemplary team and work environment

Outcome

Highly-functioning Shire team that effectively manages the Shire's resources to build strong communities

STRATEGY	ACTIONS	PROJECTS	2018/19	2019/20	2020/21	2021/22	Budget allocation	
5.4.1	Develop an inspired and engaged workforce through the provision of a targeted workforce development plan that includes strategies to attract and retain skilled and capable staff	5.4.1.1 Undertake staff engagement survey to identify strategies to attract and retain staff	Staff survey planned to be rolled out by December 2018 with responses to staff before second quarter 2019		■	■	■	TBA
		5.4.1.2 Review and maintain Workforce Plan and associated plans	Commence a review of the Workforce Plan before second quarter 2019		■	■	■	TBA
		5.4.1.3 Implement strategies with Workforce Plan	Implementation strategies as an outcome of the Workforce Plan review		■	■	■	TBA
5.4.2	Promote an innovative and engaging corporate culture underpinned by the organisation's vision and mission.	5.4.2.1 Promote an innovative and engaging corporate culture underpinned by the organisation's vision	The CEO and Directors to continue to liaise with staff and lead by example in the role of the Shire and the need to provide outstanding customer service		■	■	■	NA

STATUS LEGEND:  NOT YET COMMENCED  IN PROGRESS  ONGOING/ADVOCATE  COMPLETED

Services and Facilities

Services and facilities provided by the Shire have been linked with the relevant strategies in the Strategic Community Plan in the following table. The table provides a connection between the services and facilities and the desired outcomes and community vision for the Shire of Ashburton.

Services Facilities Support	1. Vibrant and Active Communities	2. Economic Prosperity	3. Unique Heritage and Environment	4. Quality Services and Infrastructure	5. Inspiring Governance
Aged seniors' services	1.3				
Building approval process control				4.3	5.3
Caravan park				4.1	
Cemetery				4.1	
Childcare playgroup	1.3				
Community engagement	1.1				
Community halls				4.1	
Council buildings heritage assets				4.1	
Customer service					5.1 5.2 5.3
Economic development		2.1 2.2 2.3			
Emergency services				4.2	
Festival event support	1.4				
Health administration inspection	1.3			4.3	5.3
Library library services				4.1	
Medical health services	1.3				
Natural resource management			3.1 3.2		
Parks gardens reserves				4.3	
Public toilets				4.1	
Ranger services				4.3	5.3
Regional collaboration	1.2				
Roads infrastructure				4.2	
Rubbish recycling kerbside collection			3.2		5.3
Sport recreation facilities				4.1	
Strategic planning	1.1				5.1
Street lighting				4.2	
Support for volunteers	1.2				
Tourism management		2.3			
Town beautification landscaping				4.3	
Town planning				4.3	5.3
Waste management			3.2		
Youth services	1.3 1.4				