



Attachments

Ordinary Council Meeting

Tuesday, 8 August 2023

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Agenda Item 6.1 - Attachment 1

2023 PICCI Business Awards Sponsorship Letter



SPONSORSHIP REQUEST

2023 PICCI Business Awards

On Behalf of the Pilbara Inland Chamber of Commerce & Industry I am writing to personally invite you to financially support our annual Tom Price and Paraburdoo PICCI Business Awards for 2023.

Here at PICCI we feel it is vital to acknowledge these professionals to help encourage small and medium business start-ups, promote long term residency here in Tom Price and continue to celebrate our local professionals.

Our 2022 Business Awards was a huge success with many local businesses walking away with awards and receiving the recognition they deserve.

To ensure that our 2023 awards are successful we require your support.

Our event will be held on Saturday 7th October 2023 in Tom Price, this years theme will be Black Tie Formal!

OUR SPONSORSHIP PACKAGES ARE:

PLATINUM SPONSORSHIP \$5500.00

GOLD SPONSORSHIP \$3000.00

SILVER SPONSORSHIP \$2000.00





As sponsors of this event you will be recognised on the night.
Please see sponsor package inclusions below:

Platinum Sponsorship:

- › Opportunity to present platinum awards (Business of the year or Peoples choice)
- › Opportunity to share some of your businesses history
- › Award named after your company
- › Receive x4 tickets for you and your team to attend the event
- › Mentioned in all marketing materials
- › Recognised as a platinum sponsor

Gold Sponsorship

- › Opportunity to present gold awards
- › Award named after your company
- › Receive x2 tickets for you and your team to attend the event
- › Mentioned in all marketing materials
- › Recognised as a gold sponsor

Silver Sponsorship

- › Receive x1 ticket for you to attend the event
- › Mentioned in all marketing materials
- › Recognised as a silver sponsor

If you would like to sponsor our 2023 PICCI Business Awards
please contact Nicole Jeffery at pilbarainlandcci@gmail.com or 0499
559 494





Agenda Item 6.2 - Attachment 1

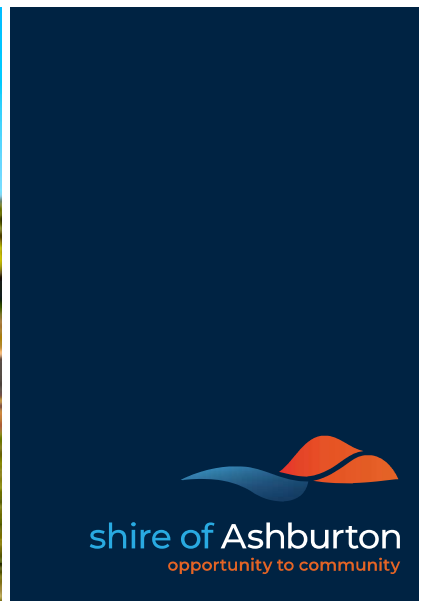
2024-2028 Tourism and Economic Development Strategy
Overview - Draft Update



2024-2028

**Tourism and
Economic
Development
Strategy
Overview**

DRAFT UPDATE



Shire of Ashburton Snapshot

A significant contributor to Australia's economy



7,832

resident population

10,000+

est. transit workforce

34

median age

10.5%

Aboriginal & Torres Strait
Islander population

58.1% / 41.9%

male / female



16,352

jobs in Ashburton

\$2,311

median weekly income

63,850

jobs supported in
the Pilbara region

73%

full-time workers

0.8%

unemployment rate



109,000 km²

square kms - almost half the
size of the state of Victoria

0.08

population density

top 3 industries

- 1) mining
- 2) constructions
- 3) education & training

Gross Regional Product

\$35.9 billion

Gross Regional Product

9.5%

of WA's GSP of \$377.6 billion

1.7%

of Australia's GDP of \$2.03 trillion

\$43.9 billion

industry output

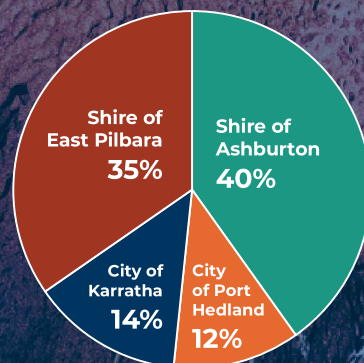
\$29.4 billion

resource sector output

\$13.3 billion

construction

Pilbara Region Gross Regional Product



Data Source: <https://economy.id.com.au> (2022)

Visit Ashburton Snapshot

The ultimate reef to range experience



303,000
annual visitors avg 2021+22

1,995,000
visitor nights avg 2021+22

\$184 million
annual avg spend 2019+20+21+22

7.1 days
average visitor stay

DOM.

79%
Business/
employment

19%
Vacation

2%
visiting friends
& family

INT'L.

11%
Business/
employment

84%
Vacation



Recreation
boating, camping, fishing, hiking,
4WDing, snorkelling, watersports

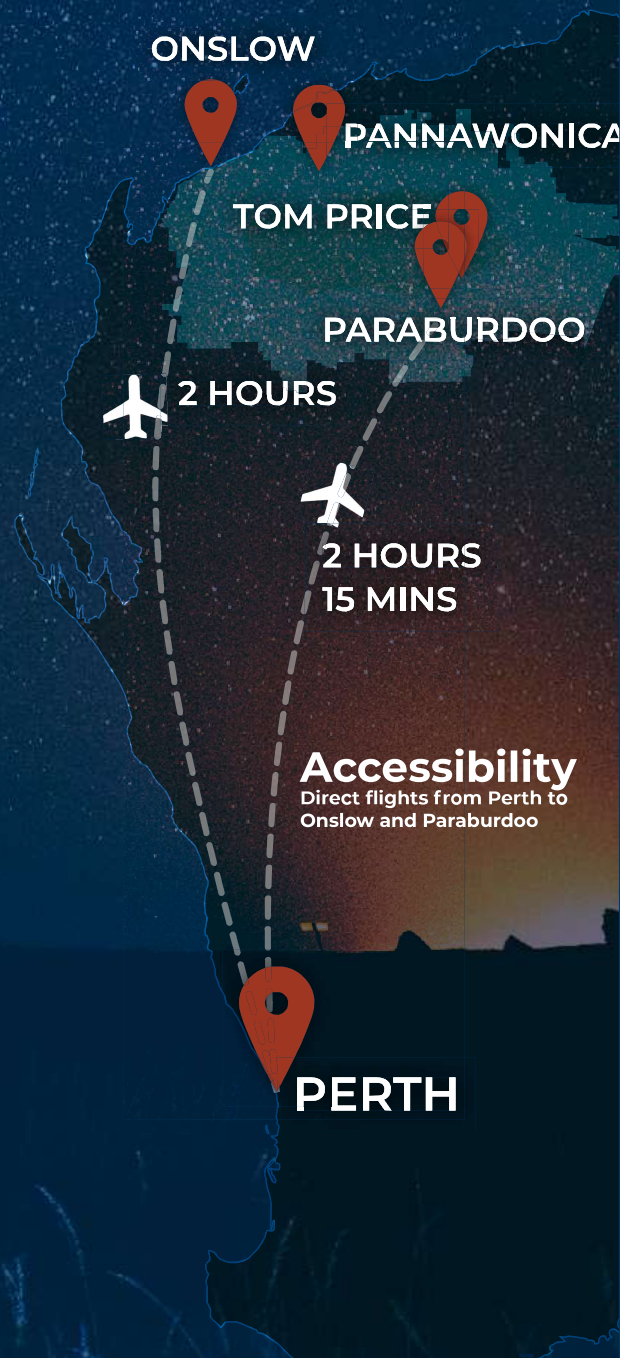


Self-Drivers
a large portion of holiday makers
to the region are self-drive



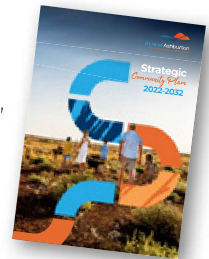
**Top
Destinations**

- Karijini and Millstream-Chichester National Parks
- Mackerell Islands
- Towns of Tom Price, Onslow, Pannawonica and Paraburdoo
- Station Stays



Why do we need a Tourism and Economic Development Strategy?

Prosperity is one of the four pillars included in the Shire of Ashburton Strategic Community Plan 2022-2032, which states that we will advocate and drive opportunities for the community to be economically desirable, resilient, and prosperous. Sustainable commerce and tourism opportunities is a key strategy adopted in the pursuit of this objective.



The Shire's Economic and Tourism Development Strategy 2019 was developed to compliment and assist with delivering outcomes aligned to the Strategic Community Plan.



What does Economic Development mean in the Shire of Ashburton - Liveability

In 2018, the Western Australian Local Government Association (WALGA) completed an Economic Development Framework project to facilitate a strategic approach to economic development (ED) in the sector. This project found that whilst economic development doesn't have a consistent definition, local economic development usually focuses on building up the economic capacity of an area in order to improve quality of life. Economic development therefore focuses on quality outcomes while economic growth focuses on the quantity of outcomes.

The Shire of Ashburton's economic development approach is therefore focused on delivering quality outcomes that ensure the community has the amenity, vibrancy and lifestyle in place to underpin the future of our region.

This approach can therefore be centred on creating a Liveable region.

The Regional Australia Institute's 'Understanding Regional Liveability Discussion Paper 2019' highlighted that there are six indicators of liveability:

- ▶ Health services
- ▶ Education services
- ▶ Cost of living
- ▶ Amenity
- ▶ Connections to community, friends and place
- ▶ Lifestyle and opportunity

The Institute found that liveability plays an important role in the decision-making process to move to or to stay in regional Australia.



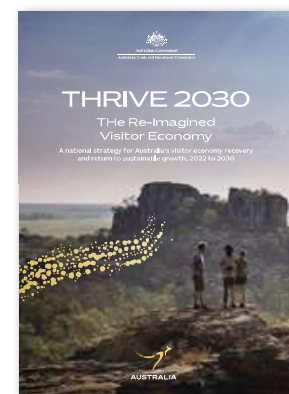
Why is there such a strong focus on Tourism and the Visitor Economy?

THRIVE 2030 Strategy: <https://www.austrade.gov.au/news/publications/thrive-2030-strategy>

A focus on the Visitor Economy bolsters liveability and delivers long term quality outcomes for the community and industry.

The term 'visitor economy' is used to reflect a more contemporary definition of tourism, that includes people travelling not just for leisure, but for business, work, education and visiting friends and relatives. It brings together those industries that directly service visitors, for example accommodation, transport providers, tour companies and attractions, as well as indirectly, such as retail, medical and food production.

'Australia's visitor economy plays a critical role in driving our economy, wellbeing and sense of national identity. It generates jobs, trade, investment, and creates opportunities in cities and regions. It also contributes to communities by driving socioeconomic development and inclusive growth – providing diversity in employment, opportunities for innovation, supporting the arts, culture and sport, and delivering amenities that benefit local populations as well as visitors.'



The Visitor Economy includes traveling for:



LEISURE



WORK OR
BUSINESS



EDUCATION



VISITING
FRIENDS OR
FAMILY

Western Australia and the Shire of Ashburton

In 2015, WALGA released the Local Government and Tourism Discussion Paper to identify the context of tourism in the economy and to address Local Government's roles in tourism and tourism development.

At the time, the tourism industry was gaining in prominence in Western Australia as a key opportunity to diversify the economy, as economic conditions in the State weakened with the slow down in the mining boom. Whilst the resources sector has rebounded strongly over the past few years, the need to diversify the Shire of Ashburton economy remains.

The Shire of Ashburton continues to be a driving force of the Pilbara region and the Western Australian economy. Our Shire delivered 9.5% or \$35.9B of WA's Gross Regional Product and 1.7% of Australia's Gross Domestic Product. The Shire of Ashburton economy is highly concentrated and dominated by the mining and resources sector which combined with the closely linked construction sector contributes 97.4% of the Shire's industry output.

With stunning natural assets including the Karijini and Millstream Chichester National Parks and the Mackerel Islands, the Tourism industry or Visitor Economy is seen as the industry with greatest potential to diversify the local economy.

Our Approach

The updated Tourism and Economic Development Strategy will focus delivery of objectives through the following Pillars:

Pillar 1 Promote the Shire

Pillar 2 Encourage Infrastructure Development & Deliver Investment Priorities

Pillar 3 Promote Business Development & Diversification



PILLAR 1:

Promote the Shire

The Shire of Ashburton is half the size of Victoria in Australia's largest state. We are a highly productive region that makes a nationally significant contribution to Australia's economy. Despite this, we are often asked at trade shows and through business networks, 'Where is Ashburton?'

Under this pillar, we will focus on growing the profile of the Shire of Ashburton as a great place to live, visit, work and invest through 3 streams:



TOURISM

Showcasing the region as a Visitor Destination



BUSINESS

Highlighting business opportunities and opportunities for development



COMMUNITY

Celebrating life in the Shire of Ashburton to our current and future residents

Example Actions

1.1 Tourism - Showcasing the region as a Visitor Destination

Deliverables	23/24	24/25	25/26	26/27
1.1.1 Grow the reach of the Visit Ashburton Brand	X	X	X	X
1.1.2 Implement a Visit Ashburton Digital Media Asset Renewal Program	X	X	X	X

1.2 Business - Highlighting business opportunities and opportunities for development

Deliverables	23/24	24/25	25/26	26/27
1.2.1 Develop a Business in Ashburton Brand	X			
1.2.2 Create a Shire business opportunities Prospectus		X		

1.3 Community - Celebrating life in the Shire of Ashburton to our current and future residents

Deliverables	23/24	24/25	25/26	26/27
1.3.1 Expand the 'Inside Ashburton' guide into a liveability Brand	X	X		
1.3.2 Develop a liveability campaign around 'Inside Ashburton'	X	X		

PILLAR 2:

Encourage Infrastructure Development & Deliver Investment Priorities

The Shire of Ashburton is a region of productivity and growth. We have significant projects on the horizon which present unique opportunities for our community.

The Shire of Ashburton is committed to securing the long-term future of our towns by ensuring the community has the amenities, vibrancy and lifestyle in place to underpin future growth.

Under this pillar, we will focus on:

- ▶ Encouraging Infrastructure Development and Major Project Investment
- ▶ Advocating on behalf of the community for increased State and Federal Government Services and Funding
- ▶ Delivering key infrastructure priorities for our community



Example Actions

2.1 Encouraging Infrastructure Development and Major Project Investment

Deliverables	23/24	24/25	25/26	26/27
2.1.1 Encourage investment in Transport infrastructure	X	X	X	X
2.1.2 Expand Air Access through the Onslow Airport	X	X	X	X
2.1.3 Work with industry partners to unlock investment in Major Industry Projects	X	X	X	X
2.1.4 Investigate a Town Centre and Project Investment contribution Grant Program to unlock private investment		X		

2.2 Advocating on behalf of the community for increased State and Federal Government Services and Funding

Deliverables	23/24	24/25	25/26	26/27
2.2.1 Maintain a priority projects prospectus	X	X	X	X
2.2.2 Conduct a government levels of service analysis to inform advocacy		X		

2.3. Delivering key infrastructure priorities for our community

Deliverables	23/24	24/25	25/26	26/27
2.3.1 Deliver Capital Works Budget	X	X	X	X
2.3.2 Develop business cases and cost benefit analysis documents to attract project funding	X	X	X	X
2.3.3 Unlock investment in community projects through the Industry Contribution to Social and Community Infrastructure Policy	X	X	X	X

PILLAR 3:

Promote Business Development & Diversification

The Shire of Ashburton is a driving force of the Pilbara region and the Western Australian economy. Our Shire delivered 9.5% or \$35.936B of WA's Gross Regional Product and 1.67% of Australia's Gross Domestic Product in 2022. This contribution is dominated by the mining and resources sector.

The Shire of Ashburton recognises that encouraging investment in local businesses, facilitating the growth of new businesses and assisting the diversification of industry will secure the development of our community.

Under this pillar we will focus on:

- ▶ Working with the Chambers of Commerce and Industry to support our business community.
- ▶ Promoting industry diversification by unlocking investment and removing barriers of entry.
- ▶ Attracting new business to the region.



Example Actions

3.1 Working with the Chambers of Commerce and Industry to support our business community

Deliverables	23/24	24/25	25/26	26/27
3.1.1 Become a Business Friendly Local Government in line with the State Government process	X			
3.1.2 Develop a Doing Business with Council Guide	X			
3.1.3 Support the Onslow Chamber of Commerce and Industry and Pilbara Inland Chamber of Commerce and Industry initiatives	X	X	X	X

3.2. Promoting industry diversification by unlocking investment and removing barriers of entry

Deliverables	23/24	24/25	25/26	26/27
3.2.1 Develop Tourism Destination Management Plans for the reef and range experiences	X			
3.2.2 Develop new tourism experiences and projects aligned to Destination Management Plans	X	X	X	X
3.2.3 Conduct an Ashburton Agriculture study building on the 'Growing the Pilbara' study to unlock new opportunities	X	X		
3.2.4 Undertake a barriers of entry study to investigate major impediments to business investment which may include land availability, planning processes and availability of water and services		X	X	

3.3 Attracting new business to the region

Deliverables	23/24	24/25	25/26	26/27
3.3.1 Develop Business Attraction Investment Prospectus	X	X		
3.3.2 Develop a Business Concierge Policy		X		
3.3.3 Investigate the establishment of Business Hubs		X	X	



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Agenda Item 6.1 - Attachment 2

Internal Audit Log - 25 July 2023

Date of Report	Auditor	Audit Topic	Finding Title	Recommendation	Risk Rating	Recommendation Owner	Overdue Status	Client Progress Update	Moore Australia / SOA IA Comment	Status After Assessment
22-Apr-21	Moore Australia	Review of FMR	Fixed Asset Register	1. Review systems to ensure practices for routine reviews of the Fixed Asset Register and reconciliations are undertaken and maintained as required by documented procedures.	Medium	Manager Finance	Overdue	Progress Update as at 2 May 2022 Request for Quote 07-21 Shire Property Assessments has been awarded that incorporates data collection on all shire owned property in Tom Price, Paraburdoo and Onslow, which will be used to verify data contained within the Shire's fixed asset register. Additional asset classes will be programmed in future years. Fixed Asset Register reconciliations are completed monthly and reviewed by the Manager Finance and Administration, with the task have been incorporated in end of month financial checklist. Status Completed	12 June 2022: Meeting request sent to RO to discuss the evidence required to finalise the implementation of the recommendation.	In Progress
22-Apr-21	Moore Australia	Review of FMR	Fixed Asset Register	2. Enforce individual accountability for compliance with the Shire's documented procedures.	Medium	Manager Finance	Overdue	Progress Update as at 2 May 2022 Request for Quote 07-21 Shire Property Assessments has been awarded that incorporates data collection on all shire owned property in Tom Price, Paraburdoo and Onslow, which will be used to verify data contained within the Shire's fixed asset register. Additional asset classes will be programmed in future years. Fixed Asset Register reconciliations are completed monthly and reviewed by the Manager Finance and Administration, with the task have been incorporated in end of month financial checklist. Status Completed	12 June 2022: Meeting request sent to RO to discuss the evidence required to finalise the implementation of the recommendation.	In Progress
22-Apr-21	Moore Australia	Review of FMR	Debtors	3. Implement checklists to evidence preparation, review and monitoring of tasks as required by Finance Manual procedures. This will allow for management to routinely monitor compliance and to assist with ensuring procedural requirements are adhered to in a timely manner.	Medium	Manager Finance	Overdue	Progress update as at 2 May 2022 •Rates and Sundry Debtors reconciliations are completed monthly and reviewed by the Manager Finance and Administration, with the task have been incorporated in end of month financial checklist. •Incorporated into the EOM process and checklist is the provision to review end of month reconciliations and ensure the checklists has been completed prior to the preparation and finalization of the monthly financial statements. Status Complete	12 June 2022: Meeting request sent to RO to discuss the evidence required to finalise the implementation of the recommendation.	In Progress
22-Apr-21	Moore Australia	Review of FMR	Bank Reconcilliations	4. Bank Reconciliations Review and update systems to facilitate compliance with the Finance Manual and agreed documented management actions noted in the FMR.	High	Manager Finance	Overdue	Progress update as at 2 May 2022: 28 February 2022 Prior period bank reconciliation issues are being addressed and cleared in order to bring Council's bank reconciliations up to date with a significant reduction in outstanding items. Bank Reconciliation tasks for all the Shire's bank accounts have been incorporated in end of month financial checklist. Currently Bank Reconciliations are performed manually and via excel. An upgrade to Itvision Altus Bank Reconciliations is schedule to be implemented in 2021/2022. Finance Manual to be updated in conjunction with the commencement of the new system. Status - Ongoing Progress Update: Prior period bank reconciliation issues are being addressed and cleared in order to bring Council's bank reconciliations up to date with a significant reduction in outstanding items. Bank Reconciliation tasks for all the Shire's bank accounts have been incorporated in end of month financial checklist. Currently Bank Reconciliations are performed manually and via excel. An upgrade to Itvision Altus Bank Reconciliations is schedule to be implemented in 2021/2022.Finance Manual to be updated in conjunction with the commencement of the new system. Update – September 2021. Funds to upgrade to Altus included in 2021-2022 budget. System to be implemented.	12 June 2022: Meeting request sent to RO to discuss the evidence required to finalise the implementation of the recommendation.	In Progress
22-Apr-21	Moore Australia	Procurement	Documented Policies & Procedures	5. Documented Policies and Procedures Review and update KCA 10 Purchasing, Creditors, Procurement and Payments and FIN22 Procurement Directive to align with and provide consistent and correct direction to staff for procurement activities.	High	Manager Finance	Closed	Progress Update: Staff are currently reviewing new procurement systems to be implemented in 2021/2022. The system implementation will incorporate the review and/or development of various council policies, processed and directives, that will be inbuilt into the system to ensure compliance. Additional review of transactions associated with Muzzy's is occurring with key stakeholders set to meet in the near future to resolved issues raised. Status Ongoing	12 December 2022: The Shire has provided an Updated FIN22 Authority to purchase or procure. Please refer to recommendation 181. 12 June 2022: Meeting request sent to RO to discuss the evidence required to finalise the implementation of the recommendation.	Validated by Moore Australia
22-Apr-21	Moore Australia	Procurement	Documented Policies & Procedures	6. Documented Policies and Procedures Create checklists for tasks and controls noted within documented policies and procedures to assist with and to evidence compliance	High	Manager Finance	Overdue	Progress Update: Staff are currently reviewing new procurement systems to be implemented in 2021/2022. The system implementation will incorporate the review and/or development of various council policies, processed and directives, that will be inbuilt into the system to ensure compliance. Additional review of transactions associated with Muzzy's is occurring with key stakeholders set to meet in the near future to resolved issues raised. Status Ongoing	12 June 2022: Meeting request sent to RO to discuss the evidence required to finalise the implementation of the recommendation.	In Progress

Date of Report	Auditor	Audit Topic	Finding Title	Recommendation	Risk Rating	Recommendation Owner	Overdue Status	Client Progress Update	Moore Australia / SOA IA Comment	Status After Assessment
22-Apr-21	Moore Australia	Procurement	Delegation of Authority	7. Delegation of Authority Enforce individual accountability for compliance with the Shire's recordkeeping requirements and documented procedures.	High	Manager Governance	Closed	2023 May 29: Procedure developed and available for staff on AIMS. Procedure details the requirement to enter use of delegation in Attain and also requires staff to include the Synergy record number as part of the Attain record. Progress Update: Current process to be reviewed which may result in amendments to employee delegations to mitigate the concerns raised by the reviewers. A new Record Keeping Program is currently being implemented. This program, in conjunction with reviewed process and procedures will be aligned to ensure best practice and compliance is met. Update – February 2022. A review of the proposed records keeping program has indicated that it may not be the recommended program for the Shire. A system health check is being conduct on the current Synergy Soft Records, to assess its suitability either short term or long term	2023 May 29: Shire provided evidence of instructions and location on intranet - closed. 12 June 2022: Meeting request sent to RO to discuss the evidence required to finalise the implementation of the recommendation.	Validated by Moore Australia
22-Apr-21	Moore Australia	Procurement	Delegation of Authority	8. Delegation of Authority Review delegation 1.1.21 and consider updates where required if there are impracticalities to a single officer being required to approve all payments made from the municipal and/or trust fund.	High	Manager Governance	Closed	Progress Update: Current process to be reviewed which may result in amendments to employee delegations to mitigate the concerns raised by the reviewers. A new Record Keeping Program is currently being implemented. This program, in conjunction with reviewed process and procedures will be aligned to ensure best practice and compliance is met. Update – February 2022. A review of the proposed records keeping program has indicated that it may not be the recommended program for the Shire. A system health check is being conduct on the current Synergy Soft Records, to assess its suitability either short term or long term.	12 December 2022: The Shire has provided a Delegation of authority (01.01.16 - Payments from the Municipal or Trust Funds) Documents. In the Document, we can see that the Council does give the CEO authority to make Payments from municipal fund or trust fund, restrictions on making. The CEO also gives Delegates this power to subdelegates. Was reviewed on 12 April 2022 12 June 2022: Meeting request sent to RO to discuss the evidence required to finalise the implementation of the recommendation.	Validated by Moore Australia
22-Apr-21	Moore Australia	Procurement	Delegation of Authority	9. Delegation of Authority Implement systems and controls where reviews of the record of exercise of delegated powers or duties are performed for compliance and accuracy verification.	High	Manager Governance	Overdue	28 Feb 23: The Shire has introduced Attain. Staff with delegated authority are required to record the use of their delegation in the system. The Internal Auditor will be required to conduct an audit on sample entries on a regular basis to ensure compliance with legislation and Shire procedure (attached). First audit to be conducted in April 2023.	28 Feb 23: As per mgmt progress update.	In Progress
22-Apr-21	Moore Australia	Procurement	Training	10. Training A risk based training matrix be implemented to assist with ensuring staff are offered relevant training to ensure their knowledge of legislative and operational requirements is maintained up to date.	Medium	Senior Procurement Officer	Closed	Progress update as at 2 May 2022: Procurement training for all staff is already in place, including new starter Procurement e-learning module (recently developed and implemented). This module has already been rolled out to the Shire's entire workforce as mandatory refresher training. In addition, LG and Shire procurement practices are covered in detail in our CEO 6 monthly Introduction to LG face to face compulsory training. This training is currently for new starters, but the aim is to get all staff enrolled in the near future. In addition, our procurement team regularly invites Shire staff to face procurement training on LG and Shire procurement practices. Our middle management group (MMG) and our Governance Officer recently attended a comprehensive, bespoke 3-day face to face LG Skills Development Programme, covering LG and Shire legislative and operational requirements in detail. Our training calendar for the remainder of this calendar year includes: LG Act (Essentials and Advanced) training (June & July), Procurement and Contract Essentials course and Procurement Planning and Risk course (facilitated by WALGA) (Sept/Oct) Progress Update: Shire is currently investigating a Human Resources online management solution, including the onboarding of new staff. This platform will assist with rolling out identified training requirements including those listed by the reviewer. Update – September 2021. Funds for HR online management system included in 2021-2022 budget. System has been sourced and currently being implemented. Update – February 2022. Pulse implementation being finalized, with training to cover modules scheduled for the end of March 2022 with Executive and Managers.	Moore received the evidence on training material, attendance logs. Closed on 12 June 2022.	Validated by Moore Australia
22-Apr-21	Moore Australia	Procurement	Conflict of Interest & Confidentiality	11. Conflict of Interest and Confidentiality Persons assessing or handling any significant procurement should be required to declare any matters which may impact or be perceived to impact on their independence prior to the evaluation being undertaken. Procedures for the declaration of interests prior to procurement assessments being undertaken should also be documented for high value purchases and tenders.	Medium	Senior Procurement Officer	Closed	Progress Update: Declarations of interest are completed by staff for RFQ and RFT. Formal procedures are under review to align with new requirement, including providing guidelines of types of interest and definition of significant procurement. A new procurement platform is currently being investigated which will include the ability to in-build shire requirements and reflect the shire's workflow for declarations. Update – September 2021. Funds to upgrade to Altus included in 2021-2022 budget, which may include upgrade to Altus procurement. System demonstration to be arranged to ensure it meets the requirements of the organization.	The Shire provided several copies of signed Declaration and Confidentiality and Interest forms on 5 different tenders / requests. Also included was the Code of Conduct for Tender Evaluation Panel Members. Closed on 12 June 2022.	Validated by Moore Australia

Date of Report	Auditor	Audit Topic	Finding Title	Recommendation	Risk Rating	Recommendation Owner	Overdue Status	Client Progress Update	Moore Australia / SOA IA Comment	Status After Assessment
22-Apr-21	Moore Australia	Procurement	Scope & Planning of Projects	12. Scope and Planning of Projects Cost Estimates including In addition to the implementation of a risk based training matrix, consider mechanism where project plans and cost estimates are reviewed by appropriately qualified personnel prior to invitations to provide goods/services being issued.	High	Senior Procurement Officer	Closed	<p>Progress Update as at 12 January 2023 Relevant Staff have received contract management and Risk management training from an external supplier. This is ongoing training the Shire are committed to. Procurement will support this training by providing refresher training for staff.</p> <p>Progress update as at 2 May 2022: In the 2020/21 year, we facilitated the following training: Understanding Building and Construction Tenders and Contracts (Questamon); Project Management (LG Pro); Contract Risk (LGIS); Project Management (AIMWA). 2021/22 - In addition to all of the LG and Procurement related training already mentioned, the following AIM WA training is scheduled: Manage Projects (Aug) and Applied Project Management (Oct).</p> <p>Progress Update: Contract management training has been delivered to project management staff. Ongoing training to be provided where identified. Third party consultants are engaged to review scope of works for major projects. Budget considerations are submitted by providing a business case, which outlines a detailed scope of works. This area is under ongoing improvement to ensure that the level of planning and budget estimates verified and accurate.</p>	31 January 2023: Validated.	Validated by Moore Australia
22-Apr-21	Moore Australia	Procurement	Tenders	13. Tenders Review systems and controls in relation to contract management and compliance with tenders to ensure processes remain compliant and align with general good governance principles. Training may also assist for staff involved in tender processes (including contract management) to understand their obligations in relation to legislative compliance.	High	Senior Procurement Officer	Closed	<p>Progress Update 12 January 2023 Shire is still receiving information around Contact management software. Procurement are canvassing other LG to gauge the opinion of software they may have.</p> <p>Progress as at 2 May 2022 In additional to LG training already mentioned, the following WALGA training is scheduled for Sept/Oct this year: Procurement and Contract Essentials and Procurement Planning and Risk.</p> <p>Progress Update: In addition to the new procurement platform, Altus Contract Management module has been released by Itvision and currently being investigated as a platform to provide ongoing systems improvements. Contract management training has been delivered to project management staff. Increase procurement and understanding of legislation training identified, with training being delivered over the next 12 months. Training will need to be delivered regularly to ensure new staff are aware of the requirements. Update – September 2021. Upgrade to Altus included in 2021-2022 budget, which may include upgrade to Altus procurement / Contract Management.</p>	23 February 2023: Training Register provided.	Validated by Moore Australia
22-Apr-21	Moore Australia	Procurement	Evaluations	14. Evaluations To help ensure probity and fairness when assessing high value procurement options, at least three persons should assess the procurement option independently of each other. Documented processes should require a higher level of probity and due diligence (including reference checking), the higher the value or risk associated with the purchase.	Medium	Senior Procurement Officer	Closed	<p>Progress Update: In addition to the new procurement platform, Altus Contract Management module has been released by Itvision and currently being investigated as a platform to provide ongoing systems improvements. Update – September 2021. Upgrade to Altus included in 2021-2022 budget, which may include upgrade to Altus procurement / Contract Management</p>	The Shire provided several Declaration of Confidentiality an Interest forms indicating that three or more employees performs evaluations on tenders and quotations. Meetings are set up after each individual evaluation and an overall evaluation is performed. Further, the Shire also appointed Santo Casilli from Avant Edge Consulting as the Shire's probity advisor and auditor. Closed on 12 June 2022.	Validated by Moore Australia
22-Apr-21	Moore Australia	Procurement	Panels & Pre Qualified Suppliers	15. Panels and Pre Qualified Suppliers Undertake a well considered, risk based approach prior to assessing the merits of establishing and subsequently complying with Pre-Qualified Supplier Panels. Ensure robust processes, systems and controls are in place to support and monitor compliance.	Medium	Senior Procurement Officer	Closed	<p>Progress Update: The induction of new systems improvements will incorporate a complete review of the overall procurement process, including considering the use of Panels of Pre-Qualified suppliers.</p>	As per the Purchasing Policy FIN 12, the Shire use WALGA or CUA for panel procurement. FIN 12 describes the procurement processes. Further, FIN 25 - Panels of Prequalified Suppliers has been implemented since 8 September 2020 which describe the process for panel procurement activities including record keeping requirements. Closed on 12 June 2022.	Validated by Moore Australia
22-Apr-21	Moore Australia	Procurement	Variations	16. Variations Review and update FIN22 Procurement Directive to remove the 'conditions of approvals for when entering into contract variations that consider the barter or exchange of services or facilities'. Any ability to enter into contract variations should align with FIN12 Purchasing policy as adopted by Council.	High	Senior Procurement Officer	Closed	<p>2023 April 27: Requested mention of bartering removed – Revised FIN22 yet to be released by Manager Governance – Yet to be indorsed by ELT</p> <p>Progress update as at 12 January 2023 FIN22 Authority to Purchase and Procure Directive has been approved as of October please see attachments, this will be reviewed on a monthly basis by Procurement and any changes that are required will be reported to CEO and Directors</p>	27 April 23: Fin 22 updated.	Validated by Moore Australia
22-Apr-21	Moore Australia	Procurement	Variations	17. Variations Enforce individual accountability with documented procurement policies and procedures and consider disciplinary action for repetitive compliance breaches.	High	Senior Procurement Officer	Closed	<p>Progress Update: The induction of new systems improvements will incorporate a complete review of the overall procurement process including the review of policies and directives as identified by the reviewer. A new procurement platform is currently being investigated which will include the ability to in-build shire requirements and reflect the shire's workflow for variations. Update – September 2021. Upgrade to Altus included in 2021-2022 budget, which may include upgrade to Altus procurement / Contract Management.</p>	FIN 12 Purchasing Policy Section 1.4.8 provide the requirements for Contract Renewals, Extensions and Variations. The Shire also implemented PP 099 - Exemption Form for employees to apply for exemptions (variations) The form must be completed, signed and approved by either a Director or the CEO, in accordance with their Financial Limits as set out in FIN 22. Closed on 12 June 2022.	Validated by Moore Australia

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22-Apr-21	Moore Australia	Procurement	Variations	18. Variations Update KCA 10 Purchasing, Creditors, Procurement and Payments to provide for current requirements in relation to variations and approvals.	High	Manager Finance	Overdue	Progress Update: The induction of new systems improvements will incorporate a complete review of the overall procurement process including the review of policies and directives as identified by the reviewer. A new procurement platform is currently being investigated which will include the ability to in-build shire requirements and reflect the shire's workflow for variations. Update – September 2021. Upgrade to Altus included in 2021-2022 budget, which may include upgrade to Altus procurement / Contract Management.	8 June 2022: Renae Lynch - This recommendation is the responsibility of the Finance Manager - Taryn Dayman.	In Progress	
22-Apr-21	Moore Australia	Procurement	Segregation of Duties	19 Segregation of Duties Review and update levels of permissions within the Shire's ERP to support segregation of duties	Medium	Manager Finance	Overdue	Progress Update: New application, eftsure, is being acquired and will be implemented in July 2021. This new application incorporates payment protection, compliance monitoring and vendor onboarding by a third party. Implementation of new system will reduce the Shire's exposure to fraudulent activities as well as increasing the segregation of duties within the accounts payable team. Processes and procedures will be updated at the time of implementation, which will include a review of controls. Update – November 2021. Procurement to suitable solution has been complete, new system to be implemented in the new year. Update – February 2020. EFTSure is currently being implemented and due to go live in April 2022.	12 June 2022: Meeting request sent to RO to discuss the evidence required to finalise the implementation of the recommendation.	In Progress	
22-Apr-21	Moore Australia	Procurement	Segregation of Duties	20. Segregation of Duties Update procedures to ensure appropriate interventions are available at various stages of the procurement process, including routine reviews of controls to ensure they are being observed and maintained as required.	Medium	Manager Finance	Closed	Progress Update: New application, eftsure, is being acquired and will be implemented in July 2021. This new application incorporates payment protection, compliance monitoring and vendor onboarding by a third party. Implementation of new system will reduce the Shire's exposure to fraudulent activities as well as increasing the segregation of duties within the accounts payable team. Processes and procedures will be updated at the time of implementation, which will include a review of controls. Update – November 2021. Procurement to suitable solution has been complete, new system to be implemented in the new year. Update – February 2020. EFTSure is currently being implemented and due to go live in April 2022.	28 Feb 23: Implemented 3rd party software EFTSure.	Validated by Moore Australia	
22-Apr-21	Moore Australia	Procurement	Approval of Invoices	21. Approval of Invoices, Compliance with Policies and Procedures Consider the implementation of authorised checklists and / or workflow diagrams to assist with compliance and understanding of systems and processes to be followed.	Medium	Manager Finance	Not Due	Progress Update: Continued monitoring of current practices to ensure compliance. Checklists and workflows will be inbuilt into the new procurement systems to ensure compliance and meeting of best practice.	12 June 2022: Meeting request sent to RO to discuss the evidence required to finalise the implementation of the recommendation.	Not Started	
22-Apr-21	Moore Australia	Procurement	Vendor/Supplier Masterfile & Maintenance	22. Vendor/Supplier Masterfile and Maintenance Review and update processes and forms for additions / amendments to the vendor / supplier Masterfile to include declarations to support the verification of change requests and their origin, authority to support the change request, validation checks for changes once completed (including routine monitoring of audit trails to ensure all changes performed have been authorised).	High	Manager Finance	Closed	Progress Update: New application, eftsure, is being acquired and will be implemented in July 2021. This new application incorporates payment protection, compliance monitoring and vendor onboarding by a third party. Implementation of new system will reduce the Shire's exposure to fraudulent activities as well as increasing the segregation of duties within the accounts payable team. Processes and procedures will be updated at the time of implementation, which will include a review of controls. Update – November 2021. Procurement to suitable solution has been complete, new system to be implemented in the new year. Update – February 2020. EFTSure is currently being implemented and due to go live in April 2022.	28 Feb 23: Implemented 3rd party software EFTSure.	Validated by Moore Australia	
22-Apr-21	Moore Australia	Procurement	Progress Payments and Purchase Order Tracking	23. Progress Payments and Purchase Order Tracking Update procedures to include review of the status of outstanding purchase orders as part of end of month processes. Ensure any controls developed are routinely and consistently applied.	Medium	Manager Finance	Overdue	Progress Update: Review being performed as part of end of financial year and will continue throughout the year. Frequent reviews incorporated in the monthly checklist. It is anticipated that new systems will also assist in the monitoring and tracking of progress payments and purchase orders. Update – September 2021. Upgrade to Altus included in 2021-2022 budget, which may include upgrade to Altus procurement / Contract Management.	12 June 2022: Meeting request sent to RO to discuss the evidence required to finalise the implementation of the recommendation.	In Progress	
22-Apr-21	Moore Australia	Procurement	Exemptions for Purchasing Activities	24. Exemptions for Purchasing Activities Update policies and procedures to provide clearer instruction and alignment for exemptions to occur.	Medium	Senior Procurement Officer	Closed	Progress Update: The induction of new systems improvements will incorporate a complete review of the overall procurement process including the review of policies and directives as identified by the reviewer. A new procurement platform is currently being investigated which will include the ability to in-build shire requirements and reflect the shire's workflow for exemptions. Ongoing procurement training to be delivered. Update – September 2021. Upgrade to Altus included in 2021-2022 budget, which may include upgrade to Altus procurement / Contract Management.	The Shire updated PP 099 - Exemption Form on 8 June 2021 and it requires employees to apply for exemptions. The form must be completed, signed and approved by either a Director or the CEO, in accordance with their Financial Limits as set out in FIN 22. Closed on 12 June 2022.	Validated by Moore Australia	
22-Apr-21	Moore Australia	Procurement	Credit Cards	25. Credit Cards Ensure processes exist to maintain adherence to and detect any deviation from established documented procedures and controls.	Medium	Manager Finance	Overdue	Progress Update: A review of credit card best practices currently in progress which may include the reduction of the number of card holders and the manner in which a credit card may be used. Corporate Credit Card conditions of use to be developed in line with updated policies, processes, and directives. Continued monitoring of practices to ensure compliance.	8 February 2023: Council Policy EMP24 Corporate Credit Card is currently under review. It is anticipated this policy will be submitted to Council in March 2023. 8 June 2022: Renae Lynch - This recommendation is the responsibility of the Finance Manager - Taryn Dayman.	In Progress	
22-Apr-21	Moore Australia	Procurement	Accounts for Payments Listing to Council	26. Accounts for Payments listing to Council The list of payments made by the CEO under delegated authority should be presented to Council with only the minimum information required by legislation, and not as a separate confidential attachment.	Medium	Manager Finance	Overdue	Progress update as at 2 May 2022 Not applicable	12 June 2022: Meeting request sent to RO to discuss the evidence required to finalise the implementation of the recommendation.	Not Started	

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22-Apr-21	Moore Australia	Procurement	Regional Price Preference Policy	27. Regional Price Preference Policy Where regional price preferencing is to be applied to tender considerations, ensure policies remain in place which have complied with legislative requirements.	Medium	Senior Procurement Officer	Closed	Progress Update: The induction of new systems improvements will incorporate a complete review of the overall procurement process including the review of policies and directives as identified by the reviewer. A new procurement platform is currently being investigated which will include the ability to in-build shire requirements and reflect the shire's workflow for applying Regional Price Preference Policy. Ongoing procurement training to be delivered. Update – September 2021. Upgrade to Altus included in 2021-2022 budget, which may include upgrade to Altus procurement / Contract Management.	The FIN 04 - Regional Price Preference Policy was approved on 10 November 2020 and implemented. Closed on 12 June 2022.	Validated by Moore Australia
22-Apr-21	Moore Australia	Risk Management	Resourcing	28. Resourcing Appointment of dedicated risk manager who is responsible for the coordination of risk management activities. Regularly consider the resourcing of the risk management function and if it currently meets expectations. This may include the convening of a risk management group to support the risk manager	Medium	CEO	Closed	Progress Update: Risk Management has been identified as a priority. The funding of a new Audit and Governance position has been included in budget considerations and incorporated in the organization review discussions. Update – September 2021. Organisational structure incorporating new position has been endorsed by Council and funded in the 2021-2021 budget. Recruitment to commence	The new Manager Governance, Jasmine Bray commenced at the Shire. She will take responsibility for risk mangement at the Shire. . Closed on 9 June 2022.	Validated by Moore Australia
22-Apr-21	Moore Australia	Risk Management	Alignment to Strategic Plan & Business Plan	29. Alignment to Strategic Plan and Business Plan Consider and document current and emerging risks in the Strategic Community Plan 2017-2027 and the Corporate Business Plan and how effective risk management is in place.	Medium	Manager Governance	Not Due	28 Feb 23: Strategic risks will be considered for inclusion in the Strategic Community Plan during its next review in 2024. A new Corporate Business Plan will be developed in the coming months.	28 Feb 23: As per mgmt progress update. 12 December 2022: Updated SCP adopted by council, mentions risk identification but does not specify risks identified. CBP review has not yet commenced. 12 June 2022: Meeting scheduled for 16 June 2022 to discuss the evidence required to finalise the implementation of the recommendation.	In Progress
22-Apr-21	Moore Australia	Risk Management	Council & Audit & Risk Mgmt Committee	30. Council and Audit and Risk Management Committee Review CORP5 Risk Management Policy to better define the responsibilities of the Council, the Audit & Risk Management Committee, management and other stakeholders.	Medium	Manager Governance	Overdue	25 January 2023: Status update Council adopted the review of the Risk Management Policy on 13 December 2022 12 December 2022: Status update – Workshops were held with ELT and MMG, facilitated by LGIS, to review Policy CORP5 Risk Management. This is proposed to be presented to Audit and Risk Management Committee in February 2023. Progress Update: Term of reference to be reviewed based on department guidelines and best practice. To be presented for discussion with the audit committee.	31 January 2023: Risk Framework does not cover responsibilities of all relevant roles required. Have not received Policy. No status change. 25 January 2023: Elrich: We may need to review again but it only tells you the responsibility of the CEO 12 December 2022: Workshops held to review CORP5 Risk Mgmt - No evidence received. 12 June 2022: Meeting scheduled for 16 June 2022 to discuss the evidence required to finalise the implementation of the recommendation.	In Progress
22-Apr-21	Moore Australia	Risk Management	Council & Audit & Risk Mgmt Committee	31. Council and Audit and Risk Management Committee Review the current Audit and Risk Management Committee Terms of Reference to Include risk management responsibilities and to align with better practice principles.	Medium	Manager Governance	Closed	25 January 2023: Council adopted the review of the Audit and Risk Management Committee Terms of Reference on 13 December 2022 12 December 2022: The Audit and Risk Management Committee Terms of Reference are currently under review and are proposed to be presented to Committee at its November 2022 meeting. Progress Update: Term of reference to be reviewed based on department guidelines and best practice. To be presented for discussion with the audit committee.	8 February 2023: Updated Audit and Risk Management Committee Terms of Reference were endorsed at the Council meeting held on 13 December 2023. 12 December 2022: The Audit and Risk Management Committee Terms of Reference are currently under review and are proposed to be presented to Committee at its November 2022 meeting - no evidence of such received. 12 June 2022: Meeting scheduled for 16 June 2022 to discuss the evidence required to finalise the implementation of the recommendation.	Validated by Moore Australia
22-Apr-21	Moore Australia	Risk Management	Risk Management	32. Risk Management Annual Work Plan and Calendar Develop, approve, document, monitor and report on a risk management calendar and annual work plan, which identifies the risk management events that are scheduled to occur to ensure that all deadlines are met.	Low	Manager Governance	Overdue	28 Feb 23: Annual Work Plan is currently being drafted for approval.	28 Feb 23: As per mgmt progress update. 12 June 2022: Meeting scheduled for 16 June 2022 to discuss the evidence required to finalise the implementation of the recommendation.	In Progress
22-Apr-21	Moore Australia	Risk Management	Risk Management	33. Risk Management Annual Work Plan and Calendar Develop, approve, monitor and report on a risk management training calendar and perform induction and regular training for management, staff, contractors and volunteers. Ensure that the risk manager and risk owners have induction and regular training to ensure they understand their role and responsibility and better practice principles. This can be performed via online training and be integrated with other training performed by the Shire.	Low	Manager Governance	Overdue	28 Feb 23: Risk Management Training program is currently being drafted for approval.	28 Feb 23: As per client progress update.	In Progress

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22-Apr-21	Moore Australia	Risk Management	Risk Expert	34. Risk Expert Document consideration of the need for a risk expert in the identification and management of key risks.	Low	CEO	Closed	Progress Update: This will be addressed on the appointment of the new Audit and Governance position Update – September 2021. Organisational structure incorporating new position has been endorsed by Council and funded in the 2021-2022 budget. Recruitment to commence	The new Manager Governance, Jasmine Bray commenced at the Shire. She will take responsibility for risk magement at the Shire. The Shire also introduced the "Employee Handbooks" covering on employee responsibilities, including aspects of risk management. Closed on 9 June 2022.	Validated by Moore Australia
22-Apr-21	Moore Australia	Risk Management	Risk Owners	35. Risk Owners Review off boarding processes and ensure risk management processes and controls are updated to remove terminated staff and to identify new risk owners.	Medium	Manager Organisational Development	Closed	Progress Update: This will be addressed on the appointment of the new Audit and Governance position Update – September 2021. Organisational structure incorporating new position has been endorsed by Council and funded in the 2021-2022 budget. Recruitment to commence	The new Manager Governance, Jasmine Bray commenced at the Shire. She will take responsibility for risk magement at the Shire. The Shire also introduced the "Employee Handbooks" covering on employee responsibilities, including aspects of risk management. Closed on 9 June 2022.	Validated by Moore Australia
22-Apr-21	Moore Australia	Risk Management	Risk Register	36. Risk Register Create, implement and maintain an organisational Risk Register and consider: - overlap, duplication and risk owners, shared risks and whether a residual risk falls within or outside the Shire's risk appetite- where business units risk registers can be used as ab effective risk management tool- more regular reviews of risks more than annually regular assessment of the shared risks and the impact on the Shire, - the risk management categories to ensure they are appropriate to assist with risk identification and management, -application of professional judgement in assessment of effectiveness of controls in line with documented systems and controls	High	Manager Governance	Not Due	12 December 2022: Status update – Workshops were held with ELT and MMG, facilitated by LGIS, to review and prepare the Shire's Risk Management Policy, Framework and Register in July 2022. The Operational Risk Register is currently being reviewed by staff and will be submitted to ELT for endorsement in the near future. Progress Update: Updating of the operation risk register and implementing strategic risk register to commence on the appointment of the new Audit and Government position Update – September 2021. Organisational structure incorporating new position has been endorsed by Council and funded in the 2021-2022 budget. Recruitment to commence	12 December 2022: Status update – Workshops were held with ELT and MMG, facilitated by LGIS, to review and prepare the Shire's Risk Management Policy, Framework and Register in July 2022. The Operational Risk Register is currently being reviewed by staff and will be submitted to ELT for endorsement in the near future - no evidence received. 12 June 2022: Meeting scheduled for 16 June 2022 to discuss the evidence required to finalise the implementation of the recommendation.	In Progress
22-Apr-21	Moore Australia	Risk Management	Risk Appetite, Risk Tolerance Statements & Treatment	37. Risk Appetite, Risk Tolerance Statements and Treatment Action Plans Develop, approve, monitor and report on a risk appetite, risk tolerance and treatment action plans and then consider these within documented risk management practices. Consider the effectiveness of controls to ensure that treatment action plans are not required to reduce risk to within risk appetite.	High	Manager Governance	Not Due	28 Feb 23: Risk Appetite Statements currently being drafted based on risk categories.	28 Feb 23: As per client progress update. 12 December 2022: Workshops were held with ELT and MMG, facilitated by LGIS, to review and prepare the Shire's Risk Management Policy, Framework and Register in July 2022. These documents are currently being reviewed by staff and are proposed to be presented to the Audit and Risk Management Committee in February 2023 - no evidence received. 12 June 2022: Meeting scheduled for 16 June 2022 to discuss the evidence required to finalise the implementation of the recommendation.	In Progress
22-Apr-21	Moore Australia	Risk Management	Risk Management Strategy	38. Risk Management Strategy Develop, a risk management strategy and review this at least on an annual basis or when material risks are identified.	Medium	Manager Governance	Not Due	12 December 2022: Workshops were held with ELT and MMG, facilitated by LGIS, to review and prepare the Shire's Risk Management Policy, Framework and Register in July 2022. These documents are currently being reviewed by staff and are proposed to be presented to the Audit and Risk Management Committee in February 2023. Progress Update: This will be addressed on the appointment of the new Audit and Governance position. Update – September 2021. Organisational structure incorporating new position has been endorsed by Council and funded in the 2021-2022 budget. Recruitment to commence	12 December 2022: Workshops were held with ELT and MMG, facilitated by LGIS, to review and prepare the Shire's Risk Management Policy, Framework and Register in July 2022. These documents are currently being reviewed by staff and are proposed to be presented to the Audit and Risk Management Committee in February 2023 - no evidence received. 12 June 2022: Meeting scheduled for 16 June 2022 to discuss the evidence required to finalise the implementation of the recommendation.	In Progress
22-Apr-21	Moore Australia	Risk Management	Special Activities & Project Risks	39. Special Activities and Project Risks Develop an approved risk assessment tool for special projects and activities which are being considered to be undertaken	High	Manager Governance	Not Due	25 January 2023: LGIS has developed a risk assessment tool for the Shire (attached) which can be adapted and used for events and projects. This will be circulated to staff in the first quarter of 2023. 12 December 2022: Workshops were held with ELT and MMG, facilitated by LGIS. As part of this work LGIS has developed a tool for the Shire to assess risks. This will be implemented following Council's adoption of the documents mentioned above. Progress Update: This will be addressed on the appointment of the new Audit and Governance position. Update – September 2021. Organisational structure incorporating new position has been endorsed by Council and funded in the 2021-2022 budget. Recruitment to commence	31 January 2023: Tool provided is for the Shire's Risk Profile and cannot be used for individual risk assesements. Proposed to revert status to In Progress. 25 January 2023: We have received the tool 12 December 2022: Workshops were held with ELT and MMG, facilitated by LGIS. As part of this work LGIS has developed a tool for the Shire to assess risks. This will be implemented following Council's adoption of the documents mentioned above - no evidence received. 12 June 2022: Meeting scheduled for 16 June 2022 to discuss the evidence required to finalise the implementation of the recommendation.	In Progress
22-Apr-21	Moore Australia	Risk Management	Embedded Risk Management	40. Embedded Risk Management Consider and document how the risk management is integrated and embedded within Shire processes. Strategies that can be considered include risk champions, workshops with management and staff.	High	Manager Governance	Not Due	Progress Update: This will be addressed on the appointment of the new Audit and Governance position. Update – September 2021. Organisational structure incorporating new position has been endorsed by Council and funded in the 2021-2022 budget. Recruitment to commence	12 June 2022: Meeting scheduled for 16 June 2022 to discuss the evidence required to finalise the implementation of the recommendation.	In Progress

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22-Apr-21	Moore Australia	Risk Management	Audit & Risk Management Committee	41. Audit and Risk Management Committee Include a summary of the risk management activities as an agenda paper for Audit & Risk Management Committee meetings.	Medium	Manager Governance	Overdue	28 Feb 23: Reporting requirements are being considered as part of the Risk Management Framework review.	28 Feb 23: As per client progress update. Client wishes to discuss with Moore. In Progress	In Progress	
22-Apr-21	Moore Australia	Risk Management	Executive Leadership Team	42. Executive Leadership Team Include a summary of the risk management activities as an agenda paper for Executive Leadership Team meetings.	Medium	Manager Governance	Overdue	28 Feb 23: Reporting requirements are being considered as part of the Risk Management Framework review.	28 Feb 23: As per client progress update. In Progress	In Progress	
22-Apr-21	Moore Australia	Risk Management	Compliance with Legislative Requirements	43. Compliance with Legislative Requirements Develop and implement a risk management framework / strategy and supporting systems and procedures aligned to the current risk Management Standard, ISO 31000:2018.	Medium	Manager Governance	Not Due	25 January 2023: LGIS has reviewed the Shire's current Risk Management Framework (attached). This will be circulated to staff for comment in the first quarter of 2023. This will be submitted to the Audit and Risk Committee for endorsement once finalised. 12 December 2022: Workshops were held with ELT and MMG, facilitated by LGIS, to review and prepare the Shire's Risk Management Policy, Framework and Register in July 2022. These documents are currently being reviewed by staff and are proposed to be presented to the Audit and Risk Management Committee in February 2023. Progress Update: Risk management framework / strategies, systems and procedures to be reviewed against and aligned with new standards, to be carried out by the new Audit and Governance Officer. Update – September 2021. Organisational structure incorporating new position has been endorsed by Council and funded in the 2021-2022 budget. Recruitment to commence	31 January 2023: Framework received accounts for ISO standard, yet to received Risk Management Policy. No status change. 12 December 2022: Workshops were held with ELT and MMG, facilitated by LGIS, to review and prepare the Shire's Risk Management Policy, Framework and Register in July 2022. These documents are currently being reviewed by staff and are proposed to be presented to the Audit and Risk Management Committee in February 2023 - no evidence received. 12 June 2022: Meeting scheduled for 16 June 2022 to discuss the evidence required to finalise the implementation of the recommendation.	In Progress	
22-Apr-21	Moore Australia	Risk Management	Staff Adherence and Audits	44. Staff Adherence and Audits Perform regular external or internal independent assessment of Risk Management to identify improvement opportunities.	Medium	Manager Governance	Not Due	28 Feb 23: Risk Management review is required to be undertaken every three years in accordance with the Local Government (Audit) Regulations 1996. The next review is due to be conducted in 2023.	28 Feb 23: As per client progress update.	Not Started	
22-Apr-21	Moore Australia	Risk Management	Performance Indicators	45. Performance Indicators Develop, approve, document, monitor and report risk management performance indicators or measures to allow expected performance and actual performance to be compared.	Low	Manager Governance	Not Due	Progress Update: To be incorporated as part of the above and coordinated by the new Audit and Governance Officer and development of a new system. Update – September 2021. Organisational structure incorporating new position has been endorsed by Council and funded in the 2021-2022 budget. Recruitment to commence	12 June 2022: Meeting scheduled for 16 June 2022 to discuss the evidence required to finalise the implementation of the recommendation.	Not Started	
22-Apr-21	Moore Australia	Risk Management	Survey of Risk Owners, Management, Staff, Contractors & Volunteers	46. Survey of Risk Owners, Management, Staff, Contractors and Volunteers Survey a selection of risk owners, management, staff, contractors and/ or volunteers to identify continuous improvement opportunities.	Low	Manager Governance	Not Due	Progress Update: To be incorporated as part of the above and coordinated by the new Audit and Governance Officer and development of a new system. Update – September 2021. Organisational structure incorporating new position has been endorsed by Council and funded in the 2021-2022 budget. Recruitment to commence	12 June 2022: Meeting scheduled for 16 June 2022 to discuss the evidence required to finalise the implementation of the recommendation.	Not Started	
22-Apr-21	Moore Australia	Grants Management	Application of Grants	47. Application of Grants Improve systems and controls through establishing set criterion to support decision making and authorisation for grant applications	Medium	Manager Finance	Not Due	Progress Update: Workflow to be developed that ensures that grant applications are assessed against council's priorities and integrated planning documents prior to submission. Grant Register to be expanded to incorporate the requirements of funding and monitor compliance and ensure best practice is met.	12 June 2022: Meeting request sent to RO to discuss the evidence required to finalise the implementation of the recommendation.	Not Started	
22-Apr-21	Moore Australia	Grants Management	Application of Grants	48. Application of Grants Enforce individual accountability for compliance with the Shire's documented procedures	Medium	Manager Finance	Not Due	Progress Update: Workflow to be developed that ensures that grant applications are assessed against council's priorities and integrated planning documents prior to submission. Grant Register to be expanded to incorporate the requirements of funding and monitor compliance and ensure best practice is met.	12 June 2022: Meeting request sent to RO to discuss the evidence required to finalise the implementation of the recommendation.	Not Started	
22-Apr-21	Moore Australia	Grants Management	Acquittal of Grants	49. Acquittal of Grants Review documented procedures to include clearer requirements to support grant acquittals to assist with a higher level review for the timely completion and submission of acquittals and audits.	Medium	Manager Finance	Not Due	Progress Update: Development of suitable reporting system to collate and monitor funding performance data which is reported regularly to each department for review and/or action to be delivered in the new financial year.	12 June 2022: Meeting request sent to RO to discuss the evidence required to finalise the implementation of the recommendation.	Not Started	
22-Apr-21	Moore Australia	Grants Management	Acquittal of Grants	50. Acquittal of Grants Establish authorised checklists to be completed by each department managing grants to evidence the routine review of grants and the provision of any required information as required by internal policies and procedures.	Medium	Manager Finance	Not Due	Progress Update: Development of suitable reporting system to collate and monitor funding performance data which is reported regularly to each department for review and/or action to be delivered in the new financial year.	12 June 2022: Meeting request sent to RO to discuss the evidence required to finalise the implementation of the recommendation.	Not Started	
22-Apr-21	Moore Australia	Grants Management	Compliance with Grant Conditions	51. Compliance with Grant Conditions Create a grants matrix to allow higher level analysis and review of compliance with grant conditions and clauses.	Medium	Manager Finance	Not Due	Progress Update: To be incorporated into the reporting system – as above.	12 June 2022: Meeting request sent to RO to discuss the evidence required to finalise the implementation of the recommendation.	Not Started	
22-Apr-21	Moore Australia	Grants Management	Compliance with Grant Conditions	52. Compliance with Grant Conditions In addition to the recording of compliance for grant programs, establish a register to maintain records of compliance and non-compliance.	Medium	Manager Finance	Not Due	Progress Update: To be incorporated into the reporting system – as above.	12 June 2022: Meeting request sent to RO to discuss the evidence required to finalise the implementation of the recommendation.	Not Started	
22-Apr-21	Moore Australia	Grants Management	Governance	53. Update internal resource library (intranet) to maintain live documents as required by documented procedures.	Low	Manager Governance	Not Due	Progress Update: To be incorporated into the reporting system – as above.	12 June 2022: Meeting scheduled for 16 June 2022 to discuss the evidence required to finalise the implementation of the recommendation.	Not Started	
22-Apr-21	Moore Australia	Grants Management	Governance	54. Governance Clarify KCA 3 Grants to define expected compliance requirements and create support documents as required to facilitate compliance.	Low	Manager Finance	Not Due	Progress Update: To be incorporated into the reporting system – as above.	12 June 2022: Meeting request sent to RO to discuss the evidence required to finalise the implementation of the recommendation.	Not Started	
22-Apr-21	Moore Australia	Grants Management	Governance	55. Enforce individual accountability with documented procedures.	Low	Manager Governance	Not Due	Progress Update: To be incorporated into the reporting system – as above.	12 June 2022: Meeting scheduled for 16 June 2022 to discuss the evidence required to finalise the implementation of the recommendation.	Not Started	

Shire of Ashburton

Date of Report	Auditor	Audit Topic	Finding Title	Recommendation	Risk Rating	Recommendation Owner	Overdue Status	Client Progress Update	Moore Australia / SOA IA Comment	Status After Assessment	
22-Apr-21	Moore Australia	Grants Management	Governance	56 Governance Undertake an evaluation of current grant programs to identify non-compliant grants and action as required.	Low	Manager Finance	Not Due	Progress Update: To be incorporated into the reporting system – as above.	12 June 2022: Meeting request sent to RO to discuss the evidence required to finalise the implementation of the recommendation.	Not Started	
22-Apr-21	Moore Australia	Grants Management	Governance	57. Governance Document appropriate procedures relating to management of community support grants.	Low	Manager Communities	Closed	Progress update as of 10 January 2023: Awaiting council approval Progress Update: Review of REC08 is currently being conducted.	28 Feb 23: Council Policy – Community Donations, Grants and Funding received and adopted by Council.	Validated by Moore Australia	
22-Apr-21	Moore Australia	Records Management	Record Keeping Practices	58. Record Keeping Practices The Shire investigate an automated approach to manage information that can detect and classify high risk and high value information across different repositories including Email, Shared Drives, SharePoint, One Drive etc.	Medium	Manager Governance	Not Due	28 Feb 23: An automated system that detects high risk documents across different repositories was considered and determined that this was in excess of the Shire's needs. A business case for a new Records Management System has been approved by the Executive Leadership Team. Funds are to be considered as part of the 2023/2024 Annual Budget.	28 Feb 23: As per client progress update.	In Progress	
22-Apr-21	Moore Australia	Records Management	Record Keeping Practices	59. The Executive Leadership Team reinforces the importance of recordkeeping with the relevant business units' Management. The message should cascade down from the top to all levels within the organisation.	Medium	Manager Governance	Closed	SOA IA 25 July 2023-Email sent on 18/07/2023 by the CEO advising of the updated Recordkeeping Plan and employee responsibilities. Progress Update: A new record keeping system has been identified and is currently in its implementation stage. The new system includes the capability to automatically capture data and records based on the Shire's record keeping requirements and will be aligned to the Shire's Record Keeping Plan as well as legislative requirements. Update – February 2022 – Record Keeping System is currently being reviewed, as a review of the proposed new system has indicated that it may not meet the Shire's requirements. The Shire's current record keeping system Synergy Soft Central records is currently being reviewed for its suitability short term and long term.	SOA IA 25 July 2023 - Transferred to Validated by SOA IA–CEO Email was verified of such communication. 12 June 2022: Meeting request sent to RO to discuss the evidence required to finalise the implementation of the recommendation.	Validated by SOA IA	
22-Apr-21	Moore Australia	Records Management	Record Keeping Practices	60. Record Keeping Practices Enforce individual accountability for compliance with the Shire's recordkeeping requirements.	Medium	Manager Governance	Closed	SOA IA 25 July 2023-Email sent on 18/07/2023 by the CEO advising of the updated Recordkeeping Plan and employee responsibilities. Progress Update: A new record keeping system has been identified and is currently in its implementation stage. The new system includes the capability to automatically capture data and records based on the Shire's record keeping requirements and will be aligned to the Shire's Record Keeping Plan as well as legislative requirements. Update – February 2022 – Record Keeping System is currently being reviewed, as a review of the proposed new system has indicated that it may not meet the Shire's requirements. The Shire's current record keeping system Synergy Soft Central records is currently being reviewed for its suitability short term and long term.	SOA IA 25 July 2023 - Transferred to Validated by SOA IA-CEO Email was verified of such communication. 12 June 2022: Meeting request sent to RO to discuss the evidence required to finalise the implementation of the recommendation.	Validated by SOA IA	
22-Apr-21	Moore Australia	Records Management	Record Keeping Practices	61. Record Keeping Practices Ensure any updates to the EDRMS comply with legislation and appropriate systems and controls are in place to facilitate its application throughout the organisation.	Medium	Manager Governance	Closed	Progress Update: A new record keeping system has been identified and is currently in its implementation stage. The new system includes the capability to automatically capture data and records based on the Shire's record keeping requirements and will be aligned to the Shire's Record Keeping Plan as well as legislative requirements. Update – February 2022 – Record Keeping System is currently being reviewed, as a review of the proposed new system has indicated that it may not meet the Shire's requirements. The Shire's current record keeping system Synergy Soft Central records is currently being reviewed for its suitability short term and long term.	8 February 2023: All updates to SynergySoft Central Records are actioned by its provider, IT Vision who are fully conversant and compliant with State and local government record keeping requirements.	Validated by Moore Australia	
22-Apr-21	Moore Australia	Records Management	Record Keeping Plan 2015040	62. Record Keeping Plan 2015040 The Shire consider and implement necessary resources to commence immediate review of the Recordkeeping Plan 2015040.	High	Manager Governance	Closed	Progress Update: The Shire's Record Keeping Plan is being reviewed in conjunction with the implementation of the Shire's new EDRMS and will incorporate requirements and strategies that align to the new systems capabilities. Staff are in regular contact with the State Records Office regarding the review status as well as ensuring that the shire's approach and implementation meets legislative and best practice requirements. It is envisioned that the Record Keeping plan will be finalized within the next 6 months. The plan will incorporate systems for continual monitoring and self-evaluation strategies.	Validated by Moore Australia and closed on 31 October 2022	Validated by Moore Australia	

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22-Apr-21	Moore Australia	Records Management	Record Keeping Plan 2015040	63. Record Keeping Plan 2015040 Develop appropriate systems to monitor the implementation of improvements within the Plan, including self evaluated improvements and any actions noted by the State Records Office.	High	Manager Governance	Overdue	<p>SOA IA 25 July 2023-A spreadsheet to track the progress of the implementation of improvements detailed in the Recordkeeping Plan has been created. The Records and Customer Service Coordinator has commenced populating this spreadsheet. Quarterly progress updates are proposed to be submitted to ELT commencing in October 2023.</p> <p>2023 April 27: A spreadsheet is being developed to manage the implementation of improvements listed in the Recordkeeping Plan. Following approval of the Plan by the State Records Commission, the spreadsheet will be finalised and it is proposed to report quarterly on the progress to the Executive Leadership Team.</p> <p>Progress Update: The Shire's Record Keeping Plan is being reviewed in conjunction with the implementation of the Shire's new EDRMS and will incorporate requirements and strategies that align to the new systems capabilities. Staff are in regular contact with the State Records Office regarding the review status as well as ensuring that the shire's approach and implementation meets legislative and best practice requirements. It is envisioned that the Record Keeping plan will be finalized within the next 6 months. The plan will incorporate systems for continual monitoring and self-evaluation strategies.</p>	<p>SOA IA 25 July 2023- Remains in Progress</p> <p>2023 May 29: Have not received update on spreadsheet development.</p> <p>12 June 2022: Meeting request sent to RO to discuss the evidence required to finalise the implementation of the recommendation.</p>	In Progress
22-Apr-21	Moore Australia	Records Management	Language Control	64. Language Control Review, improve and update the systems and controls for language control within record keeping systems.	High	Manager Governance	Overdue	<p>28 Feb 23: Improvements/standardised naming conventions are being implemented across the Shire's records management system. A documented approach will be considered in preparation for the implementation of a new records management system.</p>	<p>28 Feb 23: As per client progress update. In Progress</p>	In Progress
22-Apr-21	Moore Australia	Records Management	Language Control	65. Language Control Consider review of historic records to identify any high risk considerations which require examination and updates for compliance with approved record keeping practices.	High	Manager Governance	Overdue	<p>28 Feb 23: A review of historic records is currently being undertaken. As part of this review, naming conventions are being standardised to allow for documents to be easily located.</p>	<p>28 Feb 23: As per client progress update. In Progress</p>	In Progress
22-Apr-21	Moore Australia	Records Management	Training	66. Training Review and update systems and processes for records training to be routinely and consistently included with general commencement inductions.	High	Manager Governance	Closed	<p>Progress as at 2 May 2022: The following courses are being scheduled to run this calendar: Introduction to Managing Business Records in LG; Classification and Indexing of Business Records; Retention and Disposal of Business records - all facilitated by WALGA, to be delivered this calendar year still</p> <p>Progress Update: Organisational training on the new EDRMS will be conducted as part of its implementation. Training for new employees will be incorporated on induction utilising the appropriate platforms. Regular evaluation of the Shire's EDRMS performance, in line with the RKP, will provide guidance of the ongoing training requirements to be delivered.</p>	<p>8 February 2023: All new staff are provided with a records induction/training session within the first week of commencement. Records filing guides and instructions are provided together with follow up training as required.</p> <p>12 June 2022: Meeting request sent to RO to discuss the evidence required to finalise the implementation of the recommendation.</p>	Validated by Moore Australia
22-Apr-21	Moore Australia	Records Management	Training	67. Training In addition to the induction training, refresher training is conducted for all Management, staff, contractors and volunteers periodically. Records training could, for example, initially be undertaken annually then increased in timeframe when there is evidence of improvement in compliance posture.	High	Manager Governance	Closed	<p>Progress as at 2 May 2022: HR has requested Corporate Services to develop content in consultation with HR for an online e-learning course. With Corporate Services.</p> <p>Progress Update: Organisational training on the new EDRMS will be conducted as part of its implementation. Training for new employees will be incorporated on induction utilising the appropriate platforms. Regular evaluation of the Shire's EDRMS performance, in line with the RKP, will provide guidance of the ongoing training requirements to be delivered.</p>	<p>8 February 2023: Evidence of training provided</p> <p>12 June 2022: Meeting request sent to RO to discuss the evidence required to finalise the implementation of the recommendation.</p>	Validated by Moore Australia
22-Apr-21	Moore Australia	Records Management	Training	68. Training of a records management champion in either each core business unit, or as a general support function, to provide support and guidance to all staff on records management matters. This will allow for an "expert" in the field, with hands on understanding of the challenges of each system	High	Manager Governance	Closed	<p>Progress as at 2 May 2022: Appointed Records Coordinator, commencing in May. Also appointed Manager Governance, commencing 1 June. Once these new employees commence, we will identify a records champion and work with them to arrange for super user training for the identified employee. Part of our blended learning framework is knowledge share, including, not allowing employees to work in isolation.</p> <p>Progress Update: Organisational training on the new EDRMS will be conducted as part of its implementation. Training for new employees will be incorporated on induction utilising the appropriate platforms. Regular evaluation of the Shire's EDRMS performance, in line with the RKP, will provide guidance of the ongoing training requirements to be delivered.</p>	<p>8 February 2023: The Records and Customer Service Coordinator commenced 19 September 2022. This role is responsible for managing the Shire's records, systems and education of end users. The incumbent holds a Diploma in Recordkeeping.</p> <p>12 June 2022: Meeting request sent to RO to discuss the evidence required to finalise the implementation of the recommendation.</p>	Validated by Moore Australia
22-Apr-21	Moore Australia	Records Management	Training	69. Training Test backup procedures, usability and readability of backup tapes/discs on a regular basis.	Medium	Manager ICT	Not Due	<p>Progress update as at: Corporate Services to arrange via their external ICT or other consulting providers</p> <p>Progress Update: The proposed new system is backed up in accordance with industry best practices standards. Regular testing to take place one system is operational, in line with the Shire's Record Keeping Plan.</p>	<p>25 July 2023 SOA IA - No progress update</p> <p>12 June 2022: Meeting request sent to RO to discuss the evidence required to finalise the implementation of the recommendation.</p>	In Progress
22-Apr-21	Moore Australia	Records Management	Key Performance Indicators	70. Key Performance Indicators Refine and develop criteria to assess the performance of the recordkeeping program.	Medium	Manager Governance	Overdue	<p>Progress Update: Collection and review of statistics will commence on the implementation of the new EDRSM and will form part of the Shire's performance management platform and written into the Shire's reviewed Record Keeping Plan.</p>	<p>12 June 2022: Meeting request sent to RO to discuss the evidence required to finalise the implementation of the recommendation.</p>	Not Started

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22-Apr-21	Moore Australia	Records Management	Key Performance Indicators	71. Key Performance Indicators Implement a survey mechanism to measure levels of staff satisfaction with recordkeeping operations.	Medium	Manager Governance	Overdue	Progress Update: Collection and review of statistics will commence on the implementation of the new EDRSM and will form part of the Shire's performance management platform and written into the Shire's reviewed Record Keeping Plan.		12 June 2022: Meeting request sent to RO to discuss the evidence required to finalise the implementation of the recommendation.	Not Started
22-Apr-21	Moore Australia	Records Management	Website Management	72. Website Management Investigate appropriate system solution to capture corporate information published in social media, including internet website.	Medium	Manager Governance	Not Due	28 Feb 23: A business case for a new Records Management System has been approved by the Executive Leadership Team. Funds are to be considered as part of the 2023/2024 Annual Budget.		28 Feb 23: As per client progress update. In Progress	In Progress
15-Jul-22	Moore Australia	Records Management 22	Record Keeping Policies and supporting Procedures	Review the policies and guidelines and develop supporting operating procedures to ensure they reflect current practice requirements	Medium	Manager Governance	Closed	2023 April 27: •Digital Information and Records Policy (adopted by Council 11/10/22) •Elected Member Recordkeeping (adopted by Council 14/3/23) •Incoming and Outgoing Mail, Internal Mail and Records Disposal procedures (approved by Manager Governance 27/3/23) •Records Directive and User Guide review to commence in May 2023. 12 December 2022: Policy ADM04 Digital Information and Records has been reviewed and submitted to Council for adoption 11 October 2022. 31 October 22: Digital Information and Records Policy endorsed by Council 11 October 2022. Review of operating procedures and directives commenced. Council minutes – 11 October 2022 Council attachments – 11 October 2022		2023 April 12: Evidence of updated policies + procedures provided as a part of updated RKP. Closed. 12 December 2022: Policy ADM04 Digital Information and Records has been reviewed and submitted to Council for adoption 11 October 2022 - received - requires further evidence.	Validated by Moore Australia
15-Jul-22	Moore Australia	Records Management 22	Record Keeping Policies and supporting Procedures	Ensure the records management policies and guidelines and operating procedures are approved by the CEO or Executive Leadership Team	Medium	Manager Governance	Closed	2023 April 27: •Digital Information and Records Policy (adopted by Council 11/10/22) •Elected Member Recordkeeping (adopted by Council 14/3/23) •Incoming and Outgoing Mail, Internal Mail and Records Disposal procedures (approved by Manager Governance 27/3/23) •Records Directive and User Guide review to commence in May 2023. 31 October 22: Digital Information and Records Policy endorsed by Council 11 October 2022. Review of operating procedures and directives commenced. Council minutes – 11 October 2022 Council attachments – 11 October 2022		2023 April 27: Evidence of approved policies and procedures relating to Records received. Validated. 2023 April 12: Policies + procedures within RKP do not specify whom was the approver.	Validated by Moore Australia
15-Jul-22	Moore Australia	Records Management 22	Record Keeping Policies and supporting Procedures	Communicate the Records Management Policies and operating procedures to all staff within the organisation	Medium	Manager Governance	Closed	Records Coordinator sent email to all staff with procedure manual and guidelines.		12 December 2022: Moore Australia did Receive the Email the Shire sent out to the Shire Staff. The email did offer one on one training and also gave links to the Shire Records User Guide. It also talks about providing records induction training and follow up training.	Validated by Moore Australia
15-Jul-22	Moore Australia	Records Management 22	Record Keeping Policies and supporting Procedures	Copies of the Records Management Policies and operating procedures be made available and easily accessible to staff and relevant contractors at induction and ongoing basis	Medium	Manager Governance	Closed	31 October 2022: All Council policies are available on the Shire's website. Records User Guide, procedures and guidelines are available on AIMS.		8 February 2023: All current records management internal documents are available on the Shire's intranet (AIMS) under Governance. The Policy is available on the Shire's website and there is a link to all policies available via AIMS.	Validated by Moore Australia
15-Jul-22	Moore Australia	Records Management 22	Record Keeping Policies and supporting Procedures	Establish a program of reviewing the Records Management policies and procedures at a minimum every two years.	Medium	Manager Governance	Closed	28 Feb 23: Policy review due date set to 2 years (see attached policy). Directive and procedure templates also include a section in the document control box to detail the next review date. Directives will be reviewed every 2 years. Procedures will be reviewed annually at a minimum, or as and when required.		2023 April 12: Sufficient evidence of reviews being undertaken included with updated RKP. Closed. 28 Feb 23: As per client progress update.	Validated by Moore Australia
15-Jul-22	Moore Australia	Records Management 22	Record Keeping plan (Statutory obligation)	Review the Record Keeping Plan to ensure they reflect current practice requirements	High	Manager Governance	Closed	28 Feb 23: A review of the Recordkeeping Plan is currently underway. The plan will be submitted to the State Records Commission for consideration at its next meeting to be held May 2023.		2023 April 12: Updated RKP provided. Completed. 28 Feb 23: As per client progress update.	Validated by Moore Australia
15-Jul-22	Moore Australia	Records Management 22	Record Keeping plan (Statutory obligation)	Ensure that it is approved by the CEO or Executive management and the State Records Commission.	High	Manager Governance	Closed	28 Feb 23: A review of the Recordkeeping Plan is currently underway. The plan will be submitted to the State Records Commission for consideration at its next meeting to be held May 2023.		2023 April 12: Updated RKP provided, signed by CEO and provided to SRC for approval. Completed. 28 Feb 23: As per client progress update.	Validated by Moore Australia
15-Jul-22	Moore Australia	Records Management 22	Records Management System	Map all record keeping systems currently used within the Shire	High	Manager Governance	Closed	28 Feb 23: A review of all recordkeeping systems used at the Shire has been conducted and has been documented in the draft Recordkeeping Plan.		2023 April 12: Sufficient evidence provided within updated RKP. Closed. 28 Feb 23: As per client progress update.	Validated by Moore Australia
15-Jul-22	Moore Australia	Records Management 22	Records Management System	CEO approve which records systems should be used for records management	High	Manager Governance	Closed	SOA IA 25 July 2023-The CEO approved the Recordkeeping Plan on 2 May 2023. The Recordkeeping Plan details the Shire's approved record management system and business information systems.		SOA IA 25 July 2023-Transferred to Validated by SOA IA-Page 8 on RKP stated and Current RKP ITVision Synergy "Sourcing and implementation of a modern EDRMS with greater functionality and efficiency is being investigated. When sufficient funds are available and staff resourcing permits, a new EDRMS will be implemented. It is anticipated this may occur in the 2023/2024 financial year" 8 February 2023: The Shire has investigated alternative records management systems. A report is being prepared for the Executive Leadership Team to endorse a preferred new system.	Validated by SOA IA

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15-Jul-22	Moore Australia	Records Management 22	Records Management System	Communicate the approved list of records systems to all staff, including their responsibilities	High	Manager Governance	Closed	SOA IA 25 July 2023-Email sent on 18/07/2023 by the CEO advising of the updated Recordkeeping Plan and employee responsibilities.	SOA IA 25 July 2023-Transferred to Validated by SOA IA--CEO Email was verified of such communication.		Validated by SOA IA
15-Jul-22	Moore Australia	Records Management 22	Records Management System	Ensure that the systems are regularly maintained and key documents remain current.	High	Manager Governance	Closed	2023 April 27: Key documents have/are being reviewed as detailed above. System updates (provided by IT Vision) are being implemented as and when they are received.	2023 April 27: Evidence of synergy systems maintenance received. Validated.		Validated by Moore Australia
15-Jul-22	Moore Australia	Records Management 22	Systems access and records classification	Develop a document or register that classifies key records by access or confidential level and the associated security classification	Medium	Manager Governance	Overdue				Not Started
15-Jul-22	Moore Australia	Records Management 22	Systems access and records classification	Ensure that the document is approved by the CEO or the relevant delegated authority	Medium	Manager Governance	Overdue	31 October 2022: A review of the Shire's Recordkeeping Plan has commenced. This will be included in this review. It is anticipated the review will be finalised by 31 December 2022.			In Progress
15-Jul-22	Moore Australia	Records Management 22	Systems access and records classification	Communicate to relevant staff	Medium	Manager Governance	Overdue				Not Started
15-Jul-22	Moore Australia	Records Management 22	Systems access and records classification	Ensure that records are classified as per the approved document.	Medium	Manager Governance	Overdue				Not Started
15-Jul-22	Moore Australia	Records Management 22	Training Program for Records Management	Establish an ongoing training program for all staff on records management including refresher training	Medium	Manager Governance	Closed		8 February 2023: All new staff are provided with a records induction/training session within the first week of commencement. Records filing guides and instructions are provided together with follow up training as required.		Validated by Moore Australia
15-Jul-22	Moore Australia	Records Management 22	Training Program for Records Management	Ensure that the program is approved by the CEO or the delegated authority	Medium	Manager Governance	Closed		8 February 2023: All new staff are provided with a records induction/training session within the first week of commencement. Records filing guides and instructions are provided together with follow up training as required.		Validated by Moore Australia
15-Jul-22	Moore Australia	Records Management 22	Training Program for Records Management	Maintain an up to date log of when staff last completed their training	Medium	Manager Governance	Closed	31 October 2022: In August 2022, the Records team commenced recording training of staff in a register.	Validated by Moore Australia and closed on 31 October 2022		Validated by Moore Australia
15-Jul-22	Moore Australia	Records Management 22	Training Program for Records Management	Set minimum timeframes for when staff should attend the refresher training	Medium	Manager Governance	Overdue		8 February 2023: Minimum timeframes for staff refresher training will be included in the Recordkeeping Plan. The review of this document is in progress.		In Progress
15-Jul-22	Moore Australia	Records Management 22	Training Program for Records Management	Ensure staff the attend the training and refresher courses.	Medium	Manager Governance	Closed		8 February 2023: Validated by Moore through training register.		Validated by Moore Australia
15-Jul-22	Moore Australia	Records Management 22	Sustained program for Records disposal	Establish a sustained annual program of records disposal and retention	Medium	Manager Governance	Closed	31 October 2022: A review of the Shire's Recordkeeping Plan has commenced. This will be included in this review. It is anticipated the review will be finalised by 31 December 2022.	2023 April 27: Records Disposal procedure mentions annual calendar and financial year disposal programs + ad hoc disposals. Validated. 8 February 2023: Preparation of annual disposal of records due for destruction has commenced on the backlog of stored records. Future disposal programs will be on a financial year basis in general. Details will be documented in the Recordkeeping Plan which is currently under review.		Validated by Moore Australia
15-Jul-22	Moore Australia	Records Management 22	Sustained program for Records disposal	Conduct a risk assessment to determine which records will be retained as state archives or disposed	Medium	Manager Governance	Not Due	31 October 2022: A review of the Shire's Recordkeeping Plan has commenced. This will be included in this review. It is anticipated the review will be finalised by 31 December 2022.			In Progress
15-Jul-22	Moore Australia	Records Management 22	Sustained program for Records disposal	Ensure all approvals are sought and evidence and relevant records are maintained.	Medium	Manager Governance	Closed	SOA IA 25 July 2023-The Records team have commenced disposal of records with an aim to create an annual disposal schedule once the backlog has been cleared.	SOA IA 25 July 2023-Transferred to Validated by SOA IA-Approval is sought from Jasmine & Kenn for all Records Disposals. All records are assessed against the General Disposal Authority for Local Government Records (GDA) as per our approved Amended Recordkeeping Plan 2023014 and State Records requirements. File IM23 is where all records of Records Retention and Disposal Applications are captured. Please refer to Record 2350096 for our most recent Records Disposal documentation approved in May 2023.		Validated by SOA IA
15-Jul-22	Moore Australia	Records Management 22	Management Reporting on the Shire's Records Management Practices	Develop KPI's for monitoring compliance and performance of the records and information management function	Medium	Manager Governance	Overdue				Not Started
15-Jul-22	Moore Australia	Records Management 22	Management Reporting on the Shire's Records Management Practices	Ensure KPI's are approved by the Executive or relevant delegated authority	Medium	Manager Governance	Overdue				Not Started

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15-Jul-22	Moore Australia	Records Management 22	Management Reporting on the Shire's Records Management Practices	Have a standard agenda item on a regular basis to discuss records management matters; and	Medium	Manager Governance	Overdue				Not Started
15-Jul-22	Moore Australia	Records Management 22	Management Reporting on the Shire's Records Management Practices	Regularly report to the Executive and Audit and Risk Committee level	Medium	Manager Governance	Overdue				Not Started
15-Jul-22	Moore Australia	Records Management 22	Compliance Monitoring and Evaluation	Determine the frequency and method of monitoring compliance	Medium	Manager Governance	Overdue				Not Started
15-Jul-22	Moore Australia	Records Management 22	Compliance Monitoring and Evaluation	Regularly monitor; and report to executive and the Audit and Risk Committee the outcomes.	Medium	Manager Governance	Overdue				Not Started
15-Jul-22	Moore Australia	Records Management 22	Records Emergency Management Plan	Review the Records Emergency Management Plan	Medium	Manager Governance	Not Due	12 December 2022: The review of the Records Emergency Management Plan has commenced and is being undertaken in conjunction with the Recordkeeping Plan review. It is proposed these documents will be presented to the State Records Office by 31 December 2022. 31 October 2022: A review of the Shire's Recordkeeping Plan has commenced. This will be included in this review. It is anticipated the review will be finalised by 31 December 2022.	12 December 2022: The review of the Records Emergency Management Plan has commenced and is being undertaken in conjunction with the Recordkeeping Plan review. It is proposed these documents will be presented to the State Records Office by 31 December 2022 - no evidence received.		In Progress
15-Jul-22	Moore Australia	Records Management 22	Records Emergency Management Plan	Ensure it is approved by the CEO and the relevant delegated authority	Medium	Manager Governance	Not Due	31 October 2022: A review of the Shire's Recordkeeping Plan has commenced. This will be included in this review. It is anticipated the review will be finalised by 31 December 2022.			In Progress
15-Jul-22	Moore Australia	Records Management 22	Records Emergency Management Plan	Made available to all staff.	Medium	Manager Governance	Not Due				Not Started
01-Nov-22	Moore Australia	Cyber Security	Cyber Security Framework and Supporting Operational Procedures	Establish a Cybersecurity Framework and supporting procedures that align with the WA Government Cybersecurity Policy and the Australian Government Information Security Manual	High	Manager ICT	Overdue			25 July 2023 SOA IA - No progress update 8 February 2023: Cybersecurity Framework is currently being drafted.	In Progress
01-Nov-22	Moore Australia	Cyber Security	Cyber Security Framework and Supporting Operational Procedures	Ensure the Cyber Security Framework and supporting operating procedures are approved by the CEO, Executive Leadership Team or the relevant delegated authority	High	Manager ICT	Overdue			25 July 2023 SOA IA - No progress update 8 February 2023: Cybersecurity Framework is currently being drafted	In Progress
01-Nov-22	Moore Australia	Cyber Security	Cyber Security Framework and Supporting Operational Procedures	Ensure the Cyber Security Framework and supporting operating procedures are approved by the CEO, Executive Leadership Team or the relevant delegated authority	High	Manager ICT	Overdue			25 July 2023 SOA IA - No progress update 8 February 2023: Cybersecurity Framework is currently being drafted	In Progress
01-Nov-22	Moore Australia	Cyber Security	Cyber Security Framework and Supporting Operational Procedures	Communicate the framework and supporting operating procedures to all staff within the organisation	High	Manager ICT	Overdue			25 July 2023 SOA IA - No progress update 8 February 2023: Cybersecurity Framework is currently being drafted	In Progress
01-Nov-22	Moore Australia	Cyber Security	Cyber Security Framework and Supporting Operational Procedures	Copies of the framework and operating procedures be made available and easily accessible to staff and relevant contractors at induction and ongoing basis	High	Manager ICT	Overdue			25 July 2023 SOA IA - No progress update 8 February 2023: Cybersecurity Framework is currently being drafted	In Progress
01-Nov-22	Moore Australia	Cyber Security	Cyber Security Framework and Supporting Operational Procedures	Establish a program of reviewing framework and operating procedures at a minimum every two years	High	Manager ICT	Overdue			25 July 2023 SOA IA - No progress update 8 February 2023: Cybersecurity Framework is currently being drafted	In Progress
01-Nov-22	Moore Australia	Cyber Security	Staff Awareness and Training on Cyber Security	Establish cybersecurity training at induction, and an ongoing training program for all staff on cybersecurity awareness including refresher training	High	Manager ICT	Closed	25 July 2023 -New Cybersecurity induction completed		25 July 2023 SOA IA - Transferred to Validated by SOA IA	Validated by SOA IA
01-Nov-22	Moore Australia	Cyber Security	Staff Awareness and Training on Cyber Security	Maintain an up-to-date log of when staff last completed their training	High	Manager ICT	Closed	25 July 2023 -Part of Pulse training		25 July 2023 SOA IA - Transferred to Validated by SOA IA	Validated by SOA IA
01-Nov-22	Moore Australia	Cyber Security	Risk Assessment for Cyber Security threats	Conduct cyber security risk assessment at planned intervals (including using existing information to inform the assessments)	Medium	Manager ICT	Overdue	25 July 2023 -Reoccurring task to be set		25 July 2023 SOA IA - Remains in Not Started	Not Started
01-Nov-22	Moore Australia	Cyber Security	Risk Assessment for Cyber Security threats	Retain documented information of the results of the risk assessment	Medium	Manager ICT	Not Due	25 July 2023 -Reoccurring task to be set		25 July 2023 SOA IA - Remains in Not Started	Not Started

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Date of Report	Auditor	Audit Topic	Finding Title	Recommendation	Risk Rating	Recommendation Owner	Overdue Status	Client Progress Update	Moore Australia / SOA IA Comment	Status After Assessment	
01-Nov-22	Moore Australia	Cyber Security	Risk Assessment for Cyber Security threats	Update key governance documents and processes post performing the risk assessment	Medium	Manager ICT	Not Due		25 July 2023 SOA IA - No progress update	Not Started	
01-Nov-22	Moore Australia	Cyber Security	Testing for control weakness and Cyber security threats (including penetration testing)	Establish an annual program of testing vulnerabilities (including penetration testing) which can be performed in house by staff with appropriate skills and experience or externally by consultants	Medium	Manager ICT	Overdue	25 July 2023 -Reoccurring task to be set	25 July 2023 SOA IA - No progress update	Not Started	
01-Nov-22	Moore Australia	Cyber Security	Testing for control weakness and Cyber security threats (including penetration testing)	Develop processes for documenting and addressing identified vulnerabilities in a timely manner	Medium	Manager ICT	Overdue	25 July 2023 -Procedure developed. In review stage	25 July 2023 SOA IA - Transferred to In Progress	In Progress	
01-Nov-22	Moore Australia	Cyber Security	Physical security of key assets (including Server rooms)	Ensure that physical access to the server room is restricted to only those with authorised access to protected information systems and monitored to prevent unauthorised access and accidental damage	Medium	Manager ICT	Overdue		25 July 2023 SOA IA - No progress update 23 February 2023: With the current uses of the server room, it is not possible to restrict access in this way	In Progress	
01-Nov-22	Moore Australia	Cyber Security	Physical security of key assets (including Server rooms)	Ensure that physical access to the server room is restricted to only those with authorised access to protected information systems and monitored to prevent unauthorised access and accidental damage	Medium	Manager ICT	Not Due		25 July 2023 SOA IA - No progress update 23 February 2023: With the current uses of the server room, it is not possible to restrict access in this way	In Progress	
01-Nov-22	Moore Australia	Cyber Security	Reporting of Cyber Security Incidents and Threats	Establish processes for identifying recording and reporting cyber security incidents to the relevant external entities and internally to the relevant authority	Medium	Manager ICT	Overdue	25 July 2023 -Procedure developed. In review stage	25 July 2023 SOA IA - Remains In Progress 8 February 2023: Cybersecurity Framework is currently being drafted	In Progress	
01-Nov-22	Moore Australia	Cyber Security	Reporting of Cyber Security Incidents and Threats	Determine the frequency and key areas that the reporting will cover	Medium	Manager ICT	Overdue	25 July 2023 -Procedure developed. In review stage	25 July 2023 SOA IA - Remains In Progress 8 February 2023: Cybersecurity Framework is currently being drafted	In Progress	
01-Nov-22	Moore Australia	Cyber Security	Strategies and Plans for Recovery from Cyber security attacks and Threats	Develop an ICT Disaster Recovery Plan which outlines the overall strategy for recovery ICT (including Cybersecurity threats and incidents), reasons and the activities required to implement the strategy, including timeliness for recovering each specific technology component as required by the Shire	Medium	Manager ICT	Overdue		23 February 2023: First draft completed	In Progress	
01-Nov-22	Moore Australia	Cyber Security	Strategies and Plans for Recovery from Cyber security attacks and Threats	Review the end-of-life cycle of the backup Information and Communication Technology infrastructure installed at the airport in late 2016	Medium	Manager ICT	Closed	2023 June 15: Provided evidence of review conducted.	2023 June 15: Provided evidence of review conducted. Closed. 23 February 2023: No evidence provided to close the recommendation.	Validated by Moore Australia	
01-Nov-22	Moore Australia	Cyber Security	Strategies and Plans for Recovery from Cyber security attacks and Threats	Review the end-of-life cycle of the backup Information and Communication Technology infrastructure installed at the airport in late 2016	Medium	Manager ICT	Overdue	25 July 2023-Capital funding for replacement of hardware approved. Yet to be ordered	25 July 2023 SOA IA - Remains In Progress 2023 June 15: Insufficient evidence. 28 Feb 23: Management considers closed - no evidence received.	In Progress	
01-Nov-22	Moore Australia	Cyber Security	Strategies and Plans for Recovery from Cyber security attacks and Threats	Replace the backup infrastructure at the Shire's disaster recovery site (Onslow Airport) at end of its expected life cycle	Medium	Manager ICT	Not Due	25 July 2023-Capital funding for replacement of hardware approved. Yet to be ordered	25 July 2023 SOA IA - Transferred to In Progress	In Progress	
01-Nov-22	Moore Australia	Cyber Security	Management of removable media devices (USB and Flash drives) & Trusted Insider Program	Establish a removeable media arrangement or policy that outlines the Shires expectation on the use, handling and protection of removable media	High	Manager ICT	Overdue	25 July 2023-Still to be determined	25 July 2023 SOA IA - Remains In Progress 8 February 2023: Cybersecurity Framework is currently being drafted	In Progress	
01-Nov-22	Moore Australia	Cyber Security	Management of removable media devices (USB and Flash drives) & Trusted Insider Program	Establish arrangements for monitoring unauthorised data access and excessive use of removable media	High	Manager ICT	Overdue	25 July 2023-Still to be determined	25 July 2023 SOA IA - Remains In Progress 8 February 2023: Cybersecurity Framework is currently being drafted	In Progress	
01-Nov-22	Moore Australia	Business Continuity, Disaster Recovery and Incident Management	Business continuity management arrangements	Review the Shire's Business Continuity Management Arrangements (BCMA) to ensure they reflect current practice requirements and better practice principles from AS ISO 22301:2020 Security and Resilience	Medium	Manager Governance	Not Due			Not Started	

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01-Nov-22	Moore Australia	Business Continuity, Disaster Recovery and Incident Management	Business continuity management arrangements	Ensure the BCMA, are approved by the CEO or Executive Leadership Team	Medium	Manager Governance	Not Due				Not Started
01-Nov-22	Moore Australia	Business Continuity, Disaster Recovery and Incident Management	Business continuity management arrangements	Communicate the BCMA, to all staff within the organisation	Medium	Manager Governance	Not Due				Not Started
01-Nov-22	Moore Australia	Business Continuity, Disaster Recovery and Incident Management	Business continuity management arrangements	Copies of the BCMA, be made available and easily accessible to staff and relevant contractors at induction and ongoing basis; and hard copies to be retained by those with BCP role responsibilities within the Shire	Medium	Manager Governance	Not Due				Not Started
01-Nov-22	Moore Australia	Business Continuity, Disaster Recovery and Incident Management	Business continuity management arrangements	Establish a program of reviewing the Business Continuity Management Arrangements, at a minimum every one year	Medium	Manager Governance	Not Due				Not Started
01-Nov-22	Moore Australia	Business Continuity, Disaster Recovery and Incident Management	Risk and Business Impact Assessment	Conduct Risk Assessment and Business Impact Assessment	Medium	Manager Governance	Not Due				Not Started
01-Nov-22	Moore Australia	Business Continuity, Disaster Recovery and Incident Management	Risk and Business Impact Assessment	Use findings to update the business continuity arrangements	Medium	Manager Governance	Not Due				Not Started
01-Nov-22	Moore Australia	Business Continuity, Disaster Recovery and Incident Management	Disaster Recovery (ICT Infrastructure)	Develop an ICT Disaster recovery plan which outlines the overall strategy for recovery ICT reasons and the activities required to implement the strategy, including timeliness for recovering each specific technology component as required by the Shire	Medium	Manager ICT	Overdue			25 July 2023 SOA IA - No progress update 28 Feb 23: In progress - draft completed.	In Progress
01-Nov-22	Moore Australia	Business Continuity, Disaster Recovery and Incident Management	Disaster Recovery (ICT Infrastructure)	Review the end-of-life cycle of the backup Information and Communication Technology infrastructure installed at the airport in late 2016	Medium	Manager ICT	Closed	2023 June 15: Provided evidence of review conducted.		2023 June 15: Provided evidence of review conducted. Closed. 28 Feb 23: Management considers closed - no evidence received.	Validated by Moore Australia
01-Nov-22	Moore Australia	Business Continuity, Disaster Recovery and Incident Management	Disaster Recovery (ICT Infrastructure)	Review the end-of-life cycle of the backup Information and Communication Technology infrastructure installed at the airport in late 2016	Medium	Manager ICT	Overdue			25 July 2023 SOA IA - No progress update 2023 June 15: Insufficient evidence.	In Progress
01-Nov-22	Moore Australia	Business Continuity, Disaster Recovery and Incident Management	Disaster Recovery (ICT Infrastructure)	Replace the backup infrastructure at the Shire's disaster recovery site (Onslow Airport) at end of its expected life cycle	Medium	Manager ICT	Not Due	25 July 2023-Capital funding for replacement of hardware approved. Yet to be ordered		28 Feb 23: 25 July 2023 SOA IA - Remains In Progress	Not Started
01-Nov-22	Moore Australia	Business Continuity, Disaster Recovery and Incident Management	Scenario Testing and Post exercise review	Establish a program of exercising and testing of the BCP arrangements	Medium	Manager Governance	Not Due				Not Started
01-Nov-22	Moore Australia	Business Continuity, Disaster Recovery and Incident Management	Scenario Testing and Post exercise review	Ensure the program is performed on a timely basis	Medium	Manager Governance	Not Due				Not Started
01-Nov-22	Moore Australia	Business Continuity, Disaster Recovery and Incident Management	Scenario Testing and Post exercise review	Document post testing exercise reports that contain outcomes, recommendations and actions to implement improvements	Medium	Manager Governance	Not Due				Not Started

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01-Nov-22	Moore Australia	Business Continuity, Disaster Recovery and Incident Management	Staff awareness and training	Establish an ongoing training program for staff on business continuity including refresher training	Medium	Manager Governance	Not Due				Not Started
01-Nov-22	Moore Australia	Business Continuity, Disaster Recovery and Incident Management	Staff awareness and training	Ensure that the program is approved by the CEO or the delegated authority	Medium	Manager Governance	Not Due				Not Started
01-Nov-22	Moore Australia	Business Continuity, Disaster Recovery and Incident Management	Staff awareness and training	Maintain an up-to-date log of when staff last completed their training	Medium	Manager Governance	Not Due				Not Started
01-Nov-22	Moore Australia	Business Continuity, Disaster Recovery and Incident Management	Staff awareness and training	Set minimum timeframes for when staff should attend the refresher training	Medium	Manager Governance	Not Due				Not Started
01-Nov-22	Moore Australia	Business Continuity, Disaster Recovery and Incident Management	Staff awareness and training	Ensure staff the attend the training and refresher courses	Medium	Manager Governance	Not Due				Not Started
01-Nov-22	Moore Australia	Business Continuity, Disaster Recovery and Incident Management	Reporting to the Executive, Audit and Risk Committee and Council	Develop reporting and for monitoring compliance and performance of the Shire's business continuity management arrangements	Medium	Manager Governance	Not Due				Not Started
01-Nov-22	Moore Australia	Business Continuity, Disaster Recovery and Incident Management	Reporting to the Executive, Audit and Risk Committee and Council	Ensure the requirements are approved by the CEO, Executive or relevant delegated authority	Medium	Manager Governance	Not Due				Not Started
01-Nov-22	Moore Australia	Business Continuity, Disaster Recovery and Incident Management	Reporting to the Executive, Audit and Risk Committee and Council	Regularly report to the executive and Audit and Risk Committee level	Medium	Manager Governance	Not Due				Not Started
01-Nov-22	Moore Australia	Business Continuity, Disaster Recovery and Incident Management	Compliance Monitoring	Determine the frequency and method of monitoring compliance	Medium	Manager Governance	Not Due				Not Started
01-Nov-22	Moore Australia	Business Continuity, Disaster Recovery and Incident Management	Compliance Monitoring	Regularly monitor; and Report to executive and the Audit and Risk Committee the outcomes	Medium	Manager Governance	Not Due				Not Started
01-Nov-22	Moore Australia	Business Continuity, Disaster Recovery and Incident Management	Budget for Business Continuity Management	The Shire should allocate a budget for its business continuity, which covers activities such as training, scenario testing, hiring of consultants where required	Low	Manager Governance	Closed	SOA IA 25 July 2023-A budget of \$43,200 for Business Continuity (within GV23501 Consultancies) has been approved in the 2023/2024 Annual Budget.		SOA IA 25 July 2023-Transferred to Validated by SOA IA- Approved under GV23501 Consultancies for 2023/24.	Validated by SOA IA
01-Nov-22	Moore Australia	Business Continuity, Disaster Recovery and Incident Management	Budget for Business Continuity Management	The Shire should allocate a budget for its business continuity, which covers activities such as training, scenario testing, hiring of consultants where required	Low	Manager Governance	Closed	SOA IA 25 July 2023-A budget of \$43,200 for Business Continuity (within GV23501 Consultancies) has been approved in the 2023/2024 Annual Budget.		SOA IA 25 July 2023-Transferred to Validated by SOA IA- Approved under GV23501 Consultancies for 2023/24.	Validated by SOA IA
09-Jun-22	Moore Australia	Building Permit Application Process	Overarching Policy and Supporting procedures	Develop an overarching policy for building services including the management of development and demolition application process;	Medium	Executive Manager Land, Property and Regulatory Services	Overdue				Not Started
09-Jun-22	Moore Australia	Building Permit Application Process	Overarching Policy and Supporting procedures	Review the existing operating manual and include guidance on key aspects of the management of building permit application such as recording times and monitoring compliance;	Medium	Executive Manager Land, Property and Regulatory Services	Closed			12 December 2022: Administration Officer Building Services Procedures updated.	Validated by Moore Australia
09-Jun-22	Moore Australia	Building Permit Application Process	Overarching Policy and Supporting procedures	Ensure that the policy is approved by the CEO or Executive Leadership Team	Medium	Executive Manager Land, Property and Regulatory Services	Overdue				Not Started

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09-Jun-22	Moore Australia	Building Permit Application Process	Overarching Policy and Supporting procedures	Ensure that the operating procedure is approved by the CEO or Executive Leadership Team	Medium	Executive Manager Land, Property and Regulatory Services	Closed			27 April 23: Building Procedure Manual provided.	Validated by Moore Australia
09-Jun-22	Moore Australia	Building Permit Application Process	Overarching Policy and Supporting procedures	Communicate the policy to relevant staff.	Medium	Executive Manager Land, Property and Regulatory Services	Overdue				Not Started
09-Jun-22	Moore Australia	Building Permit Application Process	Overarching Policy and Supporting procedures	Communicate the policy to relevant staff.	Medium	Executive Manager Land, Property and Regulatory Services	Closed			2023 April 26: Evidence of email communicating procedure manual to relevant management for dispersion provided. Closed.	Validated by Moore Australia
09-Jun-22	Moore Australia	Building Permit Application Process	Staff Training	Establish an ongoing training program for all staff, including staff responsible for building application and demolition permit applications.	Medium	Executive Manager Land, Property and Regulatory Services	Closed			8 February 2023: The Building Application Process map was developed and is referenced in the Procedure Manual. 12 December 2022: Procedure includes reference to the "Building Checklist" which is a separate form.	Validated by Moore Australia
09-Jun-22	Moore Australia	Building Permit Application Process	Staff Training	Establish an ongoing training program for all staff, including staff responsible for building application and demolition permit applications.	Medium	Executive Manager Land, Property and Regulatory Services	Overdue				Not Started
09-Jun-22	Moore Australia	Building Permit Application Process	Staff Training	Establish an ongoing training program for all staff, including staff responsible for building application and demolition permit applications.	Medium	Executive Manager Land, Property and Regulatory Services	Overdue				Not Started
09-Jun-22	Moore Australia	Building Permit Application Process	Identification and Management of Conflict of Interest	Establish and implement processes for identifying, recording and managing potential conflicts of interest that arise when assessing building and demolition permit applications	High	Executive Manager Land, Property and Regulatory Services	Closed	1 March 2023: Started – identified in Approval Process.		27 April 23: Building Procedure Manual provided.	Validated by Moore Australia
09-Jun-22	Moore Australia	Building Permit Application Process	Identification and Management of Conflict of Interest	Establish and implement processes for identifying, recording and managing potential conflicts of interest that arise when assessing building and demolition permit applications	High	Executive Manager Land, Property and Regulatory Services	Closed	1 March 2023: Started - Conflict of Interest is declared in 'Building Approval process' by the Officer and Executive Manager. Email is also recorded against 'Approval and Interest Declared' Stage in Synergy then added to the 'Supporting Comments' section in Attain.		27 April 23: Building Procedure Manual provided.	Validated by Moore Australia
09-Jun-22	Moore Australia	Building Permit Application Process	Identification and Management of Conflict of Interest	Ensure its approved by the relevant delegated authority	High	Executive Manager Land, Property and Regulatory Services	Closed	1 March 2023: Started – currently updating approval process. Exec Manager to endorse once complete		27 April 23: Building Procedure Manual provided.	Validated by Moore Australia
09-Jun-22	Moore Australia	Building Permit Application Process	Identification and Management of Conflict of Interest	Communicate the procedures to the relevant staff and ensure they are adequately trained.	High	Executive Manager Land, Property and Regulatory Services	Closed			27 April 23: Building Procedure Manual provided.	Validated by Moore Australia
09-Jun-22	Moore Australia	Building Permit Application Process	Quality review of application by senior staff	Establish a risk-based process for independent quality reviewing applications by senior staff; and	Medium	Executive Manager Land, Property and Regulatory Services	Closed	1 March 2023: Completed - Building Checklist created as a stage in Synergy. Managers approval response is recorded and record number is added to the checklist confirming acknowledgement		1 March 2023: Client claims completed - no evidence provided to support.	Validated by Moore Australia
09-Jun-22	Moore Australia	Building Permit Application Process	Quality review of application by senior staff	Establish a risk-based process for independent quality reviewing applications by senior staff; and	Medium	Executive Manager Land, Property and Regulatory Services	Closed			27 April 23: Building Procedure Manual provided.	Validated by Moore Australia
09-Jun-22	Moore Australia	Building Permit Application Process	Quality review of application by senior staff	Implement and ensure that records of the review are maintained on a timely basis.	Medium	Executive Manager Land, Property and Regulatory Services	Closed			27 April 23: Building Procedure Manual provided.	Validated by Moore Australia
09-Jun-22	Moore Australia	Building Permit Application Process	Permit Application Timeframes	Ensure applications are processed within the required timeframes	High	Executive Manager Land, Property and Regulatory Services	Closed	1 March 2023: Started – Further information request and response is added to the 'FIR' stage in Synergy and recorded on the Building Checklist		27 April 23: Building Procedure Manual provided.	Validated by Moore Australia
09-Jun-22	Moore Australia	Building Permit Application Process	Permit Application Timeframes	Ensure timeframes are recorded including start, pause and stop of the clock as required by the Act	High	Executive Manager Land, Property and Regulatory Services	Closed	1 March 2023: Started – Building Checklist records stages where further information is requested (stop the clock) and once received, recorded again (start the clock). Uncertified Applications Register created and shared with external Building Surveyor (COK) to identify when further information is requested and the amount of days that have elapsed once further information is received		27 April 23: Building Procedure Manual provided.	Validated by Moore Australia
09-Jun-22	Moore Australia	Building Permit Application Process	Permit Application Timeframes	Identify the building and demolition applications which did not meet the required timeframes and consider where the Shire is required to refund the application fee, as required by legislation. Legal advice may have to be sought as to how far to go back if this has not been identified previously.	High	Executive Manager Land, Property and Regulatory Services	Closed			27 April 23: Building Procedure Manual provided.	Validated by Moore Australia
09-Jun-22	Moore Australia	Building Permit Application Process	Monitoring and Compliance and Enforcement	Develop risk-based business rules for staff articulating how monitoring activities will be prioritised given the limited resources and ensure staff are aware of the articulated arrangements	Medium	Executive Manager Land, Property and Regulatory Services	Overdue				Not Started
09-Jun-22	Moore Australia	Building Permit Application Process	Monitoring and Compliance and Enforcement	Develop a process to demonstrate compliance with relevant legislation governing the building and demolition permits including identification of relevant legislation, legislative owner, documentation to evidence of legislative compliance, frequency of how often the legislative compliance assessment should be undertaken	Medium	Executive Manager Land, Property and Regulatory Services	Overdue				Not Started

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09-Jun-22	Moore Australia	Building Permit Application Process	Performance Reporting	Develop KPI's for monitoring compliance and performance of the building and demolition permit application function	Medium	Executive Manager Land, Property and Regulatory Services	Closed	1 March 2023: Completed – Administrators KPI's reflect the compliance and performance of the permit application function	28 March 23: Validated	Validated by Moore Australia
09-Jun-22	Moore Australia	Building Permit Application Process	Performance Reporting	Ensure KPI's are approved by the Executive or relevant delegated authority;	Medium	Executive Manager Land, Property and Regulatory Services	Overdue			Not Started
09-Jun-22	Moore Australia	Building Permit Application Process	Performance Reporting	Have a standard agenda item on a regular basis to discuss building and demolition permit application matters; and	Medium	Executive Manager Land, Property and Regulatory Services	Closed		12 December 2022: We have received the Monthly reports from the Shire.	Validated by Moore Australia
09-Jun-22	Moore Australia	Building Permit Application Process	Performance Reporting	Regularly report to the Executive and Audit and Risk Committee level.	Medium	Executive Manager Land, Property and Regulatory Services	Closed		12 December 2022: We have received the Monthly reports from the Shire.	Validated by Moore Australia
09-Jun-22	Moore Australia	Building Permit Application Process	Staff Delegation	The Shire should review the delegation register and align the title of the relevant delegated authority to match existing positions within the Shire with the relevant responsibility.	Low	Manager Governance	Closed	25 January 2023: An internal review of the delegations/sub-delegations from the CEO to staff has been completed and approved on 10 January 2023 (updated Delegation Register attached). Positions have been updated in line with the recent restructure	31 January 2023: Validated by Moore Australia and proposed for closure.	Validated by Moore Australia
02-Dec-22	Moore Australia	Contract Management	Contract Management Framework	Develop and implement an overarching Contract Management Framework, including policies, procedures and guidelines in line with the Shire's strategic objectives and better practice principles such as the WA Australia Procurement Rules 2021/02, the WA Contract Management Framework Principles and the OAG tabled Report dated 2020 – Local Government Contract Extensions and Variations Ministerial Notice Not Required	High	Senior Procurement Officer	Closed	Progress update as at 12 January 2023 In progress, a Contractor Performance Review template has been created and Variation documents have been reviewed and edited as needed. Contract Management Directive and Procedures ongoing	28 March 23: Validated	Validated by Moore Australia
02-Dec-22	Moore Australia	Contract Management	Contract Management Framework	Review and update 3.3 FIN12 Purchasing Policy and FIN22 Procurement Directive in line with the annual review frequency requirement	High	Senior Procurement Officer	Closed	Progress Update as at 2023 FIN22 has been approved by CEO (Directive) FIN12 is now known as Purchasing and Procurement Policy this was adopted by Council at December 2022 OMC please see attached.	31 January 2023: Validated by Moore Australia and proposed for closure.	Validated by Moore Australia
02-Dec-22	Moore Australia	Contract Management	Contract Management Framework	Review and update 3.3 FIN12 Purchasing Policy and FIN22 Procurement Directive in line with the annual review frequency requirement	High	Senior Procurement Officer	Closed		12 December 2022: FIN 22 was reviewed and endorsed by the ELT on 13 October 2022. The following review date is also in 2023, which is relevant to the annual review frequency	Validated by Moore Australia
02-Dec-22	Moore Australia	Contract Management	Contract Register	Update the Contract Register to include information recommended for effective contract management and to reflect better practice principles and Department of Finance WA Procurement Rules Procurement Direction 2021/02	Medium	Senior Procurement Officer	Closed	Progress Update as at 2023 Please see attached most recent Contracts Register held by Procurement. Version on AIMS is to be updated, however unable to keep terminated contracts on AIMS.	23 February 2023: Updated Contract Register provided.	Validated by Moore Australia
02-Dec-22	Moore Australia	Contract Management	Contract Register	Update the Contract Register to include information recommended for effective contract management and to reflect better practice principles and Department of Finance WA Procurement Rules Procurement Direction 2021/03	Medium	Senior Procurement Officer	Closed	Progress Update 12 January 2023 Please see attached most recent Contracts Register held by Procurement. Version on AIMS is to be updated, however unable to keep terminated contracts on AIMS	23 February 2023: Updated Contract Register provided.	Validated by Moore Australia
02-Dec-22	Moore Australia	Contract Management	Contract Register	Develop comprehensive policies and procedures to manage and review the Contract Register	Medium	Senior Procurement Officer	Overdue	SOA IA 25 July 2023-Procedure is being developed, in Draft stage, yet to be approved by Director before ELT approval. No feedback as yet. 2023 July 4: Procedure is being developed, in Draft stage, yet to be approved by Director before ELT approval. No feedback as yet. 2023 May 23: Procedure is being developed, in Draft stage, yet to be approved by Director before ELT approval. 2023 April 27: Procedure – Contract Register, Still developing will have to be approved by Director. Progress Update as at 2023 In progress	SOA IA 25 July 2023 Remains in progress. 2023 July 4: Remains in progress. 2023 May 23: Remains in progress. 2023 April 27: Remains in progress. 28 March 23: Shire in process of developing procedures and Directive.	In Progress

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02-Dec-22	Moore Australia	Contract Management	Contract and Supplier Performance Management	Develop and implement comprehensive performance management policies and procedures for the purposes for contract and supplier management in line with the WA Contract Management Framework Principles published by the Department of Finance. This includes processes such as, but not limited to: •Regular and structured performance reviews; •Formal documentation requirements for performance review meetings and communication with suppliers; •Monitoring and resolving non-compliance or poor contract performance with contract conditions; and •Mechanisms to ensure consistent processes to ensure contract conditions and deliverables are assessed and recorded in a final review.	High	Senior Procurement Officer	Overdue	SOA IA 25 July 2023- Directive & Procedure is being developed, in Draft stage, yet to be approved by Director before ELT approval. No feedback as yet. 2023 July 4: Directive & Procedure is being developed, in Draft stage, yet to be approved by Director before ELT approval. No feedback as yet. 2023 May 23: Directive & Procedure is being developed, in Draft stage, yet to be approved by Director before ELT approval. 2023 April 27: Developing the procedures and review documents, yet to be reviewed by Director and ELT. Progress Update as at 2023 In progress, emails are sent out to project officers when contracts are completed with the requirements of the contract management. See attached template. Shire is making enquiries into a online Contact Management system.	SOA IA 25 July 2023 Remains in progress. 2023 July 4: Remains in progress. 2023 May 23: Remains in progress. 2023 April 27: Remains in progress. 28 March 23: Shire in process of developing procedures and Directive.	In Progress	
02-Dec-22	Moore Australia	Contract Management	Contract and Supplier Performance Management	Develop and implement comprehensive performance management policies and procedures for the purposes for contract and supplier management in line with the WA Contract Management Framework Principles published by the Department of Finance. This includes processes such as, but not limited to: •Regular and structured performance reviews; •Formal documentation requirements for performance review meetings and communication with suppliers; •Monitoring and resolving non-compliance or poor contract performance with contract conditions; and •Mechanisms to ensure consistent processes to ensure contract conditions and deliverables are assessed and recorded in a final review.	High	Senior Procurement Officer	Closed	Progress Update as at 2023 In progress, emails are sent out to project officers when contracts are completed with the requirements of the contract management. See attached template. Shire is making enquiries into a online Contact Management system.	28 March 23: Validated	Validated by Moore Australia	
02-Dec-22	Moore Australia	Contract Management	Contract Renewals and Extensions	Develop and implement comprehensive policy and procedures for a standardised and formal approach to contract extensions	Medium	Senior Procurement Officer	Closed	Progress Update as at 2023 On going	28 March 23: Validated	Validated by Moore Australia	
02-Dec-22	Moore Australia	Contract Management	Contract Renewals and Extensions	Ensure contractor performance are documented, assessed and reviewed before approving a contract extension	Medium	Senior Procurement Officer	Closed	Progress Update as at 2023 Ongoing, Procurement email project officers, ccing in the relevant Director to receive approval or rejection of an extension to contract (only if allowed under the contract) Reminders in Procurements calendar are at 6, 3 and 1 month intervals.	28 March 23: Validated	Validated by Moore Australia	
02-Dec-22	Moore Australia	Contract Management	Contract Variations	Develop and implement a set of comprehensive procedures to perform a contract variation which includes the following: •Step-by-step process of completing a contract variation; •Minimum requirements to ensure the PP 067 – Contract Variation Request form is completed appropriately; and •Considerations such as costs, risks, time, nature of variation, cumulative effects and specific requirements set out by council approved policies.	High	Senior Procurement Officer	Closed		12 December 2022: PP 067 – Contract Variation Request form provided which outlines the step by step process detailed on page 2.	Validated by Moore Australia	
02-Dec-22	Moore Australia	Contract Management	Contract Variations	Develop and implement a set of comprehensive procedures to perform a contract variation which includes the following: •Step-by-step process of completing a contract variation; •Minimum requirements to ensure the PP 067 – Contract Variation Request form is completed appropriately; and •Considerations such as costs, risks, time, nature of variation, cumulative effects and specific requirements set out by council approved policies.	High	Senior Procurement Officer	Closed	Progress Update as at 12 January 2023 See updated 067 – CEO067 this form is on the Shires AIMS (Ashburton Information Management System)	28 March 23: Validated (New Contract Mnaagement Procedure)	Validated by Moore Australia	

Date of Report	Auditor	Audit Topic	Finding Title	Recommendation	Risk Rating	Recommendation Owner	Overdue Status	Client Progress Update	Moore Australia / SOA IA Comment		Status After Assessment
02-Dec-22	Moore Australia	Contract Management	Contract Variations	Execute a review process for contract variations to determine whether the cumulative effect of variations requires a separate procurement process	High	Senior Procurement Officer	Overdue	<p>SOA IA 25 July 2023- Contract Management Software solutions are still being looked at, in the meantime a request to used Contract Management Forms is to be approved by ELT. No feedback as yet.</p> <p>2023 July 4: Contract Management Software solutions are still being looked at, in the meantime a request to used Contract Management Forms is to be approved by ELT. No feedback as yet.</p> <p>2023 May 23: Contract Management Software solutions are still being looked at, in the meantime a request to used Contract Management Forms is to be approved by ELT</p> <p>2023 April 27: Creating inhouse excel documents to track Contract Management while still investigating software. Documents are in draft stage, Director to provide feedback.</p> <p>Progress Update as at 12 January 2023 Ongoing</p>	<p>SOA IA 25 July 2023 Remains in progress.</p> <p>2023 July 4: Remains in progress.</p> <p>2023 May 23: Remains in progress.</p> <p>2023 April 27: Remains in progress.</p> <p>31 January 2023: No evidence of review.</p>		In Progress
02-Dec-22	Moore Australia	Contract Management	Training and Contract Manager Continuity	<p>The Shire should:</p> <ul style="list-style-type: none">•Establish an ongoing training program for all staff on basic and standardised approach to contract management including refresher training;•Establish an ongoing training program specifically for contract managers to ensure expectations and standards are maintained especially during a handover of responsibility;•Ensure that the program is approved by the CEO or the delegated authority;•Maintain an up-to-date log of when staff last completed their training;•Set minimum timeframes for when staff should attend the refresher training; and•Ensure staff the attend the training and refresher courses	Medium	Senior Procurement Officer	Not Due	<p>SOA IA 25 July 2023- To be introduced once approved by Director – No feedback as yet.</p> <p>2023 July 4: To be introduced once approved by Director – No feedback as yet.</p> <p>2023 May 23: To be introduced once approved by Director</p> <p>2023 April 27: To be incorporated with Procurement Training – as required staff. Draft Contract Management training slideshow done, awaiting feedback.</p> <p>Progress Update as at 12 January 2023 Ongoing, this will have to be discussed with Organisational Development (OD) as they facilitate all online training. Procurement will develop a draft training for OD to review</p>	<p>2023 July 4: Remains in progress.</p> <p>2023 May 23: Remains in progress.</p> <p>2023 April 27: Remains in progress.</p> <p>31 January 2023: No evidence provided.</p>		In Progress
02-Dec-22	Moore Australia	Contract Management	Performance Monitoring and Reporting	<p>The Shire Should:</p> <ul style="list-style-type: none">•Develop KPIs for monitoring compliance and performance of the contract management function based on policies, procedures and better practice principles and standards;•Ensure KPI's are approved by the Executive or relevant delegated authority;•Have a standard agenda item on a regular basis to discuss contract management matters; and•Regularly report to the Executive and Audit and Risk Committee level.	Medium	Senior Procurement Officer	Not Due	<p>SOA IA 25 July 2023- Draft stage, to consult with relevant departments</p> <p>2023 May 23: Draft stage, to consult with relevant departments</p> <p>2023 April 27: To be raised with ELT for Performance Review Period – Procurement creating a list of roles and the proposed KPI to be introduced.</p> <p>Progress Update as at 12 January 2023 Ongoing, Procurement to develop with Project officers and ELT</p>	<p>SOA IA 25 July 2023 Remains in progress.</p> <p>2023 July 4: Remains in progress.</p> <p>2023 April 27: Remains in progress.</p> <p>31 January 2023: No evidence provided.</p>		In Progress
02-Dec-22	Moore Australia	Contract Management	Performance Monitoring and Reporting	<p>The Shire Should:</p> <ul style="list-style-type: none">•Develop KPIs for monitoring compliance and performance of the contract management function based on policies, procedures and better practice principles and standards;•Ensure KPI's are approved by the Executive or relevant delegated authority;•Have a standard agenda item on a regular basis to discuss contract management matters; and•Regularly report to the Executive and Audit and Risk Committee level.	Medium	Senior Procurement Officer	Not Due	<p>SOA IA 25 July 2023- Once are KPI are finalised, suggestion is for these to be included into Performance review process.</p> <p>2023 May 23: Once are KPI are finalised, suggestion is for these to be included into Performance review process.</p> <p>2023 April 27: Ensure KPI for projects are included with any project software or forms.</p> <p>Progress Update as at 12 January 2023 Ongoing, Procurement to develop with Project officers and ELT</p>	<p>SOA IA 25 July 2023 Remains in progress.</p> <p>2023 July 4: Remains in progress.</p> <p>2023 April 27: Remains in progress.</p> <p>31 January 2023: No evidence provided.</p>		In Progress
02-Dec-22	Moore Australia	Contract Management	Performance Monitoring and Reporting	<p>The Shire Should:</p> <ul style="list-style-type: none">•Develop KPIs for monitoring compliance and performance of the contract management function based on policies, procedures and better practice principles and standards;•Ensure KPI's are approved by the Executive or relevant delegated authority;•Have a standard agenda item on a regular basis to discuss contract management matters; and•Regularly report to the Executive and Audit and Risk Committee level.	Medium	Senior Procurement Officer	Not Due	<p>SOA IA 25 July 2023- As per Audit and Risk Committee schedule and ELT. Completed as ongoing</p> <p>2023 April 27: As per Audit and Risk Committee schedule and ELT. Completed as ongoing</p> <p>Progress Update as at 12 January 2023 Ongoing, Procurement to develop with Project officers and ELT</p>	<p>SOA IA 25 July 2023 Remains in progress.</p> <p>2023 July 4: Remains in progress.</p> <p>2023 April 27: Remains in progress.</p> <p>31 January 2023: No evidence provided.</p>		In Progress

Shire of Ashburton

Date of Report	Auditor	Audit Topic	Finding Title	Recommendation	Risk Rating	Recommendation Owner	Overdue Status	Client Progress Update		Moore Australia / SOA IA Comment	Status After Assessment
01-Feb-23	Moore Australia	Fraud and Corruption FY22	Fraud and Corruption Control Framework Limitations	Review, update, approve and implement the Fraud and Corruption Control Plan;	Medium	Director Corporate Services	Not Due				Not Started
01-Feb-23	Moore Australia	Fraud and Corruption FY22	Fraud and Corruption Control Framework Limitations	Draft, approve and implement a Fraud and Corruption policy and procedure;	Medium	Director Corporate Services	Not Due			8 February 2023: Fraud and Corruption Policy currently being drafted. It is anticipated that this policy will be submitted to the March Ordinary Council Meeting.	In Progress
01-Feb-23	Moore Australia	Fraud and Corruption FY22	Fraud and Corruption Control Framework Limitations	Draft, approve and implement a Fraud and Corruption policy and procedure;	Medium	Director Corporate Services	Not Due				Not Started
01-Feb-23	Moore Australia	Fraud and Corruption FY22	Outdated Public Interest Disclosure Information and related Policies and Procedures	All outdated policies and procedures should be reviewed and updated to reflect better practice and compliance requirements;	High	Manager Governance	Overdue				Not Started
01-Feb-23	Moore Australia	Fraud and Corruption FY22	Outdated Public Interest Disclosure Information and related Policies and Procedures	Appoint a suitably qualified PID Officer and ensure appropriate awareness on this position is made to internal and external stakeholders including Public Sector Commission;	High	CEO	Closed	2023 May 29: Evidence of PID officer appointment provided.		2023 May 29: Evidence of PID officer appointment provided - closed. 27 March 23: CEO is PID Officer by default but will appoint new Director of Corporate Services as PID Officer once appointed.	Validated by Moore Australia
01-Feb-23	Moore Australia	Fraud and Corruption FY22	Outdated Public Interest Disclosure Information and related Policies and Procedures	Appoint a suitably qualified PID Officer and ensure appropriate awareness on this position is made to internal and external stakeholders including Public Sector Commission;	High	Manager Organisational Development	Closed	SOA IA 25 July 2023-The Shire's PID Officer attended the required Public Sector Commission training on 28 June 2023. 2023 July 4: Can close out once PID Officer has received training, as organised by Manager Governance 2023 May 29: Darren Kennedy has enrolled in the Navigating the Public Interest Disclosure Act 2003 course for 28 June 2023. 2023 May 24: Confirmed CEO elected PID Officer with Manager Governance on 27 March. Agreed that Manager Governance will source suitable PID training for PID Officer. Cost to sit within Directorate.		SOA IA 25 July 2023-Transferred to Validated by SOA IA- Accepted the representation by Manager Governance email to IA dated 20 July 2023 as DCS has completed training on 28 June 2023. 2023 May 29: As per client update - can close upon completion of relevant training. 2023 May 24: No evidence provided of appointment - PSC directorate has not been updated - Shire website PID contact details are still wrong. 27 March 23: CEO is PID Officer by default but will appoint new Director of Corporate Services as PID Officer once appointed.	Validated by SOA IA
01-Feb-23	Moore Australia	Fraud and Corruption FY22	Outdated Public Interest Disclosure Information and related Policies and Procedures	Appoint a suitably qualified PID Officer and ensure appropriate awareness on this position is made to internal and external stakeholders including Public Sector Commission;	High	Manager Governance	Closed	SOA IA 25 July 2023-The Public Sector Commission was notified of the appointment of a new PID Officer and requested to update their database on 29 May 2023. 2023 May 29: The CEO appointed Darren Kennedy, Director Corporate Services as the Shire's PID Officer on 26/05/2023. Communication provided to PSC.		SOA IA 25 July 2023-Transferred to Validated by SOA IA- https://www.wa.gov.au/system/files/2023-07/piddirectory.pdf 2023 May 29: PID Officer Darren Kennedy has been appointed - communications to PSC directory have been made but not yet update - can close upon update of public directory/register of PID officers. 27 March 23: CEO is PID Officer by default but will appoint new Director of Corporate Services as PID Officer once appointed.	Validated by SOA IA
01-Feb-23	Moore Australia	Fraud and Corruption FY22	Lack of Fraud and Corruption Resources	Consider appointing a dedicated Fraud Officer who will be responsible for all matters on FC, which may be a current employee, however the Shire should consider the employee's current roles and responsibilities.;	Medium	Manager Governance	Overdue				Not Started
01-Feb-23	Moore Australia	Fraud and Corruption FY22	Lack of Fraud and Corruption Resources	Consider appointing a dedicated Fraud Officer who will be responsible for all matters on FC, which may be a current employee, however the Shire should consider the employee's current roles and responsibilities.;	Medium	Manager Governance	Closed			8 February 2023: The Shire has appointed a permanent full time Internal Auditor commencing 15 February 2023.	Validated by Moore Australia
01-Feb-23	Moore Australia	Fraud and Corruption FY22	Lack of Oversight of Fraud and Corruption Risks	The ARMC should devote appropriate time for discussions on Fraud and Corruption risks during meetings;	Medium	Manager Governance	Not Due				Not Started
01-Feb-23	Moore Australia	Fraud and Corruption FY22	Lack of Oversight of Fraud and Corruption Risks	The ARMC should devote appropriate time for discussions on Fraud and Corruption risks during meetings;	Medium	Manager Governance	Not Due				Not Started
01-Feb-23	Moore Australia	Fraud and Corruption FY22	Lack of Oversight of Fraud and Corruption Risks	The ARMC should improve oversight over the Shire's Executive Management team in effectively approving and implementing the FC Control Plan;	Medium	Manager Governance	Not Due				Not Started
01-Feb-23	Moore Australia	Fraud and Corruption FY22	Lack of a Fraud and Corruption Risk Assessment and Alignment with Standards	The Shire should perform a comprehensive fraud and corruption risk assessment and ensure proper alignment with the Australian Standards for Fraud and Corruption, AS 8001:2021;	High	Manager Governance	Not Due				Not Started

Shire of Ashburton

Date of Report	Auditor	Audit Topic	Finding Title	Recommendation	Risk Rating	Recommendation Owner	Overdue Status	Client Progress Update		Moore Australia / SOA IA Comment	Status After Assessment
01-Feb-23	Moore Australia	Fraud and Corruption FY22	Lack of a Fraud and Corruption Risk Assessment and Alignment with Standards	The Shire should perform a comprehensive fraud and corruption risk assessment and ensure proper alignment with the Australian Standards for Fraud and Corruption, AS 8001:2021;	High	Manager Governance	Not Due				Not Started
01-Feb-23	Moore Australia	Fraud and Corruption FY22	Limited Awareness and Training for Ethics and Fraud and Corruption Control	Training and Induction programs should include Fraud and Corruption;	High	Director Corporate Services	Closed			8 February 2023: The CEO provides an induction to all new staff every 6 months.	Validated by Moore Australia
01-Feb-23	Moore Australia	Fraud and Corruption FY22	Limited Awareness and Training for Ethics and Fraud and Corruption Control	Training and Induction programs should include Fraud and Corruption;	High	Director Corporate Services	Not Due				Not Started
01-Feb-23	Moore Australia	Fraud and Corruption FY22	Vendor Master File with Incomplete Records	The Vendor Master files should be reviewed and updated on a timely basis to ensure all relevant information is included;	Medium	Manager Finance	Overdue				Not Started
01-Feb-23	Moore Australia	Fraud and Corruption FY22	Vendor Master File with Incomplete Records	Any missing information, including the ones identified in this audit should be reviewed with all relevant details included as identified;	Medium	Manager Finance	Overdue				Not Started
01-Feb-23	Moore Australia	Fraud and Corruption FY22	Duplicate Cheque / ERT References	Cheque processing should be closely monitored and reviewed by management to ensure that any duplicate reference numbers, including the ones identified in the audit must be investigated and appropriately adjusted;	High	Manager Finance	Overdue				Not Started
01-Feb-23	Moore Australia	Fraud and Corruption FY22	Employees Listed as Vendors in the Vendor Master File	Investigate the issues identified and assess the risk of fraud or error, and institute corrective action if necessary;	Medium	Manager Finance	Not Due				Not Started
01-Feb-23	Moore Australia	Fraud and Corruption FY22	Vendors Still Being Used after Being Suspension	Vendors being used after their suspension dates should be flagged and inspected to identify why they are still being used with appropriate actions taken to address;	High	Manager Finance	Not Due				Not Started
01-Feb-23	Moore Australia	Fraud and Corruption FY22	Exit Interview Process Opportunities	Consider designing the Exit Interview questionnaires to include questions that help identify and detect potential Fraud and Corruption risks the terminated staff may be aware of;	Low	Director Corporate Services	Not Due				Not Started
01-Feb-23	Moore Australia	Fraud and Corruption FY22	Exit Interview Process Opportunities	Consider designing the Exit Interview questionnaires to include questions that help identify and detect potential Fraud and Corruption risks the terminated staff may be aware of;	Low	Manager Organisational Development	Closed			28 Feb 23: Completed.	Validated by Moore Australia
01-Feb-23	Moore Australia	Fraud and Corruption FY22	Creditor Expenditure Transactions Concerns	All transactions identified in this report including those with the higher rate of usage in Appendix 5 should be monitored and reviewed on a timely basis to ensure they are free from fraud or error;	High	Manager Finance	Not Due				Not Started
01-Feb-23	Moore Australia	Fraud and Corruption FY22	Creditor Expenditure Transactions Concerns	Any transaction without descriptions, including the ones identified through this audit, should be reconfirmed against supporting documents and necessary descriptions made accordingly;	High	Manager Finance	Overdue				Not Started
01-Feb-23	Moore Australia	Fraud and Corruption FY22	Creditor Expenditure Transactions Concerns	Consider improving the requisition process to include details of officer raising and approving transactions.	High	Manager Finance	Not Due				Not Started
01-Feb-23	Moore Australia	Fraud and Corruption FY22	Absence of an Allegations and Incidents Register for FC	Consider developing a Fraud and Corruption register to capture fraud and corruption incidents or allegations reported either through a Public Interest Disclosure or through other avenues.	Medium	Manager Organisational Development	Closed			1 February 2023: Client provided incident register. Does not discern source of report (i.e., PID).	Validated by Moore Australia
01-Feb-23	Moore Australia	Payroll & HR FY22	Absence of Human Resources Payroll Management Framework, Policies and Procedures.	Develop, approve and implement a comprehensive Workforce Strategy, Workforce Plan, Human Resources and Payroll Management framework, including associated policies and procedures;	High	Manager Organisational Development	Not Due	2023 July 4: As previously mentioned, to action next year – include in 2023/2 budget – not for this FY 2023 May 24: Cost included in 2023/24 budget 28 Feb 23: Review of all HR policies complete (Governance can confirm), ready to commence with Directive review (await go ahead from Governance), yet to commence with OD Management Plan		2023 May 24: Not started. 28 Feb 23: In progress.	Not Started
01-Feb-23	Moore Australia	Payroll & HR FY22	Absence of Human Resources Payroll Management Framework, Policies and Procedures.	Ensure that within the Human Resources and Payroll team there is a nominated individual responsible for maintaining compliance with relevant legislation;	High	Manager Organisational Development	Closed	2023 July 4: Manager OD Responsible Officer 2023 May 24: Cost included in 2023/24 budget		2023 July 4: Manager OD Responsible Officer - closed. 2023 May 24: Not started.	Validated by Moore Australia

Shire of Ashburton

Date of Report	Auditor	Audit Topic	Finding Title	Recommendation	Risk Rating	Recommendation Owner	Overdue Status	Client Progress Update	Moore Australia / SOA IA Comment	Status After Assessment	
01-Feb-23	Moore Australia	Payroll & HR FY22	Lack of Delegation of Authority Framework for Payroll Functions	Draft, approve and implement a comprehensive Delegation of Authority Framework for payroll functions, including policy and procedures;	High	Manager Organisational Development	Closed	2023 May 24: Completed. 28 Feb 23: Policies done, ready to commence with Directives. CEO delegations relating to OD done – see attached.	2023 May 24: Evidence provided of suitable approval delegations - policy/procedures covered by 224 - validated. 23 February 2023: Signature and Other Authorisations relating to Shire of Ashburton Organisational Development" provided, however, this does not satisfy the recommendation.	Validated by Moore Australia	
01-Feb-23	Moore Australia	Payroll & HR FY22	Lack of reporting on Human Resources and Payroll activities	Draft approve and implement a performance measurement and reporting framework for human resources and payroll activities, including self-assessment protocols;	High	Manager Organisational Development	Not Due	2023 July 4: As previously mentioned, to action next year – include in 2023/2 budget – not for this FY 2023 May 24: Using existing data, which the CEO has access to for monthly reporting (EAP, EES, Exit, Onboarding, Incidents, Leave Accruals, PRP and Workers Comp). ELT receives a weekly Incident Management Report. Request for new workforce planning software submitted to ICT Committee and budget proposal submitted for 2023/24. Have been working with Pulse for a while on enhancement requests relating to their analytics capability.	2023 May 24: In progress.	In Progress	
01-Feb-23	Moore Australia	Payroll & HR FY22	Inconsistencies in payroll process and documentation	Develop, approve and implement a comprehensive Workforce Strategy, Workforce Plan, Human Resources and Payroll Management framework, including associated policies and procedures;	High	Manager Organisational Development	Not Due	2023 July 4: As previously mentioned, to action next year – include in 2023/2 budget – not for this FY 2023 May 24: OD policy/directive review has commenced. Cost for WFP included in 2023/24 budget.	2023 May 24: In progress.	In Progress	
01-Feb-23	Moore Australia	Payroll & HR FY22	Lack of Control Procedures for Shire Access and Assets	Draft, approve and implement a comprehensive staff exit controls policy and procedures;	Medium	Manager Organisational Development	Overdue	2023 July 4: Busy with Directive review. Offboarding Checklist already in place. 2023 May 24: OD policy/directive review has commenced. Pulse Offboarding Module implementation in 2023/24 FY 28 Feb 23: Ready to review OD Directives – await go ahead and access from Governance. Checklist developed in in use – attached.	2023 May 24: In progress. 28 Feb 23: In progress.	In Progress	
01-Feb-23	Moore Australia	Payroll & HR FY22	Inappropriate System Access Control	Revoke inappropriate access to the payroll system and remove ex-employee user profiles from the system; and	Low	Manager ICT	Overdue	25 July 2023-Procedure has been drafted. Still to be reviewed. Regularly reoccurring task has been set 2023 May 24: A business case for new workforce planning software has been presented to the ICT Committee - outcome yet to be determined. Cost of this software has been included in the proposed 2023/24 budget.	25 July 2023 SOA IA - Remains In Progress 2023 May 24: In progress.	In Progress	
01-Feb-23	Moore Australia	Payroll & HR FY22	Inappropriate System Access Control	Implement a process to regularly review, monitor and maintain system access control to all Shire information systems.	Low	Manager ICT	Overdue	25 July 2023-Procedure has been drafted. Still to be reviewed. Regularly reoccurring task has been set	25 July 2023 SOA IA - Transferred to In Progress	In Progress	



Agenda Item 6.1 - Attachment 3

OAG Audit Log - 25 July 2023

Shire of Ashburton

Current Review Date:												
Date of Report	Auditor	Audit Topic	Finding Topic	Recommendation	Risk Rating	Recommendation Owner	Management Comment in Report	Agreed Action	Overdue Status	Client Progress Update	Moore Australia/ SOA IA Comment	Status After Assessment
30-Jun-16	OAG	Financial	Comment on Ratios (Asset sustainability Ratio)	<p>Summary</p> <p>The Shire's Ration position, after adjustment for FAGs and Onslow tip closure expenditure, appears reasonably consistent with prior years with improvements in the Current ration but deterioration in both Asset Sustainability and Operating Surplus ratios.</p> <p>Whilst some ratios are below the accepted industry benchmark, given the relative strength of the other ration and the Shire's balance sheet, lower ratios may be expected and acceptable in the short term, provided other measure/ strategies are maximised.</p> <p>Notwithstanding this a number of the ratios do appear to be trending downwards over the longer term and this should be considered moving forward.</p> <p>We would like to take this opportunity to stress one off assessments of ratios at a particular point in time can only provide a snap shot of the financial position and operating situation of the Shire. As is the case with all ratios and indicators, their interpretation is much improved if they are calculated as an average over time with the relevant trends being considered.</p> <p>We will continue to monitor the financial position and ratios in the future financial years and suggest it is prudent for Council and management to do so also as they strive to manage the scarce resources of the Shire</p>	Medium	Not identified	Not identified		Closed	Not provided	28 Feb 23: Ratios no longer required to be reported - recommendation closed.	Validated by Moore Australia
30-Jun-17	OAG	Financial	Comment on Ratios (Asset sustainability Ratio and Operating Surplus Ratio)	<p>Summary</p> <p>The Shire's Ration position, after adjustment for FAGs, appears reasonably consistent with prior years except the deterioration in the Operating Surplus Ratio.</p> <p>We also note a number of the ratios appear to be trending downwards over the longer term and this should be considered moving forward.</p> <p>We would like to take this opportunity to stress one off assessments of ratios at a particular point in time can only provide a snap shot of the financial position and operating situation of the Shire. As is the case over time with the relevant trends being considered.</p> <p>We will continue to monitor the financial position and ratios in future financial years and suggest it is prudent for Council and management to do so also as they strive to manage the scarce resources of the Shire</p>	Medium	Not identified	Not identified		Closed	Not provided	28 Feb 23: Ratios no longer required to be reported - recommendation closed.	Validated by Moore Australia
30-Jun-18	OAG	Financial	Asset Sustainability Ratio	<p>Summary</p> <p>As detailed above, the asset sustainability relation is below the accepted industry benchmark. Given the relative strength of the other ratios and the Shire's balance sheet, a lower ration may be acceptable in the short term provided other measure /strategies are maximised. Notwithstanding this, a number of ratios appear to be trending downwards over the longer term and this should be carefully considered moving forward to avoid the development of an adverse trend.</p> <p>We would like to take this opportunity to stress one off assessments of ratios at a particular point in time can only provide a snap shot of the financial position and operating situation of the Shire. As is the case with all ratios and indicators, their is much improved if they are calculated as an average over time with the relevant trends being considered.</p>	Medium	Not identified	Not identified		Closed	Not provided	28 Feb 23: Ratios no longer required to be reported - recommendation closed.	Validated by Moore Australia
30-Jun-19	OAG	Financial	General Journals	To help maintain the integrity of the accounting information, supporting documentation should be maintained for all journals. In addition, someone more senior than the preparer should authorise all journal entries to be processed in the system, review the correctness of posting after being processed and evidence their approval and review.	High	Manager Finance	Procedure to be updated in the current Finance Manual. Approval to in line financial approval delegations. Investigate options to restrict access o update and approve journals in Synergy.		Closed	28 Feb 23: Journals are reviewed by someone more senior than preparer, with the exception of manager preparing journals in which a senior member of finance will review journal. A register is maintained and all approved journals with supporting evidence is included in file.	28 Feb 23: As per mgmt comments. Closed.	Validated by Moore Australia
30-Jun-19	OAG	Financial	Valuation of land held for resale	The Shire should obtain up to date evidence of the value of the land to ensure it is recorded at the lower of cost and net realisable value	Medium	Manager Finance	Investigate current market value based on latest Valuer General information	The Shire should obtain up to date evidence of the value of the land to ensure it is recorded at the lower of cost and net realisable value	Overdue	28 Feb 23: Valuation is taking place prior to 30 April 2023 in relation to RFT 22.22	28 Feb 23: As per mgmt comments.	In Progress
30-Jun-19	OAG	Financial	Excessive annual leave	The Shire should manage and monitor the excessive annual leave accruals to reduce the financial liability, risk of business interruption and fraud.	Medium	Manager Organisational Development	Excessive and high annual leave accruals are reported on the quarterly Human Resources report, per Directorate. Each Director has previously been requested to have discussions with the relevant employee to reduce their annual leave or cash out some of the leave in accordance with clause 10.2. As leave has not decreased for some employees Human Resources will be writing to employees to request that they reduce their annual leave accruals, as outlined in the report. The intention is to do this in January following employees taking leave over Christmas period.		Closed	Not provided	7 September 2022 - Evidence received indicating that this done on a regular basis through information provided to Directors and Managers.	Validated by Moore Australia
30-Jun-19	OAG	Financial	Related party declarations	All Shire Councillors and key management staff complete Related Party Disclosure forms for any period that they held office or were employed by the Shire during a financial year. The declaration should also indicate the period of coverage. The shire should ensure these are obtained from councillors and staff prior to them leaving the Shire.	Medium	Manager Governance	Review Governance Procedures relating to Related Party Declarations		Closed	Not provided	Jasmine provided evidence on 24 October 2022	Validated by Moore Australia

Shire of Ashburton

Current Review Date:												
Date of Report	Auditor	Audit Topic	Finding Topic	Recommendation	Risk Rating	Recommendation Owner	Management Comment in Report	Agreed Action	Overdue Status	Client Progress Update	Moore Australia/ SOA IA Comment	Status After Assessment
30-Jun-20	OAG	Financial	Management of excessive leave	Management should ensure staff comply with the Leave Management Policy and ensure long outstanding leave balances are cleared in a timely manner. Managers should be reminded of their responsibility to manage excessive leave balances and ensure that leave management plans are implemented and enforced.	Medium	Manager Organisational Development	We can confirm that any excessive leave balances are highlighted in the monthly Human Resources report for Executive Leadership Team distribution, awareness and action, with the following: "Directors should discuss the above leave liability with their Managers in order to develop a plan between the Manager and Employee to reduce the leave." The Human Resources Team, work with Managers to issue letters relating to excess leave and we are about to conduct a complete review of all Shire Human Resources Directives, which will include leave management. The Human Resources Team have also developed a formal training program for Managers, consisting of various mandatory courses to support them in the effective management of staff.		Closed	Not provided	7 September 2022 - Evidence received indicating that this done on a regular basis through information provided to Directors and Managers.	Validated by Moore Australia
30-Jun-20	OAG	Financial	Related party declarations	Management should implement procedures to ensure all KMP declarations are completed and returned in a timely manner.	Medium	Manager Governance	In September 2020, the Shire implemented the Attain Compliance Management system. This electronic system will assist with the timely collation of returns and declarations in the future.		Closed	28 Feb 23: Attain manages all KMP declarations. The system has been configured (attached) that it the form becomes available to submit at the end of the financial year with a due date of 30 September. Attain is configured to send a weekly reminder to the relevant person every Monday until it is completed. The Governance Team monitors the system to ensure completion and makes individual contact with the relevant person to ensure it is completed by the due date.	28 Feb 23: As per mgmt comments. Completed.	Validated by Moore Australia
30-Jun-20	OAG	Financial	Incorrect capitalisation of minor assets	The Shire should review its fixed asset register to ensure that all items acquired for less than \$5,000 have been removed from the register maintain an 'attractive items register' to prevent loss or theft.	Medium	Manager Finance	Along with the monthly reconciliation of asset movements Shire officers review the fixed asset register to ensure items under \$5,000 are excluded. To improve the tracking of small or minor assets an items register is currently being created and will be maintained by the finance team.	The Shire should review its fixed asset register to ensure that all items acquired for less than \$5,000 have been removed from the register maintain an 'attractive items register' to prevent loss or theft. Along with the monthly reconciliation of asset movements Shire officers review the fixed asset register to ensure items under \$5,000 are excluded. To improve the tracking of small or minor assets an items register is currently being created and will be maintained by the finance team.	Overdue	Not provided	No evidence provided	Not Started
30-Jun-20	OAG	Financial	Procurement controls	The Shire should implement a more robust process to identify year end accruals and perform monthly reviews of open purchase orders and close off any long outstanding purchase orders if they are no longer required	Medium	Manager Finance	Open Purchase Orders are reviewed annually around the month of May to assist with preparation of the annual budget. A new process of monthly review is now being implemented.	The Shire should implement a more robust process to identify year end accruals and perform monthly reviews of open purchase orders and close off any long outstanding purchase orders if they are no longer required. Open Purchase Orders are reviewed annually around the month of May to assist with preparation of the annual budget. A new process of monthly review is now being implemented.	Overdue	Not provided	No evidence provided	Not Started
30-Jun-20	OAG	Financial	Petty cash controls	It is recommended that when petty cash is used for purchases above the \$100.00 limit formal documentation and approval is retained with the petty cash claim form to ensure the expense was used for appropriate business purposes. Petty cash recoup forms should be updated to reflect the Shire's policy for dual verification and staff should be reminded of the petty cash policy.	Low	Manager Finance	A review of the approval process and supporting documentation requirements has been undertaken alongside staff being informed of what is required when using petty cash, in particular those instances of transactions over \$100.	It is recommended that when petty cash is used for purchases above the \$100.00 limit formal documentation and approval is retained with the petty cash claim form to ensure the expense was used for appropriate business purposes. Petty cash recoup forms should be updated to reflect the Shire's policy for dual verification and staff should be reminded of the petty cash policy. A review of the approval process and supporting documentation requirements has been undertaken alongside staff being informed of what is required when using petty cash, in particular those instances of transactions over \$100.	Overdue	28 Feb 23: No Purchases above \$100 made with Petty Cash	28 Feb 23: Updated petty cash recoup forms to reflect the Shire's policy for dual verification not received.	In Progress
30-Jun-21	OAG	Financial	AASB 15 and AASB 1058 revenue recognition	The Shire should ensure that every grant is reviewed for its compliance with the relevant accounting standards. The assessment should be properly documented and readily available for review by audit.	High	Manager Finance	A review of the shire's contract liabilities transactions, with RSM, identified a number of incorrect transactions included in the prior years audited statements that had not been correctly assessed under accounting standard AASB15 and AASB1058. These transactions have been re-classified and resulted in re-instatements for the 2019 and 2020 financial years. An assessment of revenue classified as a contract liability against the applicable accounting standard to be reviewed and include the recording of the evaluation of assessment.	The Shire should ensure that every grant is reviewed for its compliance with the relevant accounting standards. The assessment should be properly documented and readily available for review by audit.	Not Due			Not Started
30-Jun-21	OAG	Financial	Incorrect depreciation rates	We recommend that a full review of the full asset group to ensure compliance with accounting policy and recognise the relevant depreciation expenses in FY22.	High	Manager Finance	A review of the "Onslow Airport Assets" fair value report completed in 2018 identified annual depreciation on one of the components was omitted from the report. Since 2018 an annual depreciation rate of 1.6% has been applied. The depreciation calculation methodology has been reviewed and a rate of 1.76% calculated. An adjustment for the under depreciation on the "Onslow Airport Assets" will be included in FY22.	A review of the "Onslow Airport Assets" fair value report completed in 2018 identified annual depreciation on one of the components was omitted from the report. Since 2018 an annual depreciation rate of 1.6% has been applied. The depreciation calculation methodology has been reviewed and a rate of 1.76% calculated. An adjustment for the under depreciation on the "Onslow Airport Assets" will be included in FY22.	Overdue			Not Started

Shire of Ashburton

Current Review Date:												
Date of Report	Auditor	Audit Topic	Finding Topic	Recommendation	Risk Rating	Recommendation Owner	Management Comment in Report	Agreed Action	Overdue Status	Client Progress Update	Moore Australia/ SOA IA Comment	Status After Assessment
30-Jun-21	OAG	Financial	Payroll controls	We recommend the Shire to: 1. Ensure that evidence of changes to the employee master file data are matched to the audit trail report as part of an independent review process; 2. Ensure that officers with a role to independently review changes in master file data do not also have the ability to modify master file data; 3. Implement a procedure to produce audit trail reports from SynergySoft, which are independently reviewed by an independent officer; and 4. Consideration be given to developing appropriate segregation of duties around payroll processes.	High	Manager Finance	A number of increase control measures have been implemented as part of the payroll review process, including the action of independent reviews of amendments to payroll Masterfile data. Review of payroll processes and procedures to be reviewed and documented, including addressing the above matters raised.	A number of increase control measures have been implemented as part of the payroll review process, including the action of independent reviews of amendments to payroll Masterfile data. Review of payroll processes and procedures to be reviewed and documented, including addressing the above matters raised.	Not Due			Not Started
30-Jun-21	OAG	Financial	Rehabilitation provision	The Shire should ensure that all valuations are reviewed and processed in the financial report in the financial year which they relate to.	High	Manager Waste Services	The waste rehabilitation provision had not been included in prior financial years, despite having a report in 2017 from an independent valuer. A provision has now been recognized which resulted in re-instatements for the 2019 and 2020 financial years. The adjustment for rehabilitation provision is now forming part of the end of financial year process.	The waste rehabilitation provision had not been included in prior financial years, despite having a report in 2017 from an independent valuer. A provision has now been recognized which resulted in re-instatements for the 2019 and 2020 financial years. The adjustment for rehabilitation provision is now forming part of the end of financial year process.	Overdue			Not Started
30-Jun-21	OAG	Financial	Legal expenses accruals	The Shire should develop procedures to assist with identification and accrual of invoices received after balance date, which relate to the prior year.	Medium	Manager Finance	The Shire has a number of legal matters that are in progress each year, in particular in respect to Wittenoon matters. These have previously been reflected as operating expenditure in the year that the accounts have been paid. This matter was discussed with RSM, where it was agreed to reflect ongoing and current legal matters as an accrued legal expense. A review of legal expenses is now forming part of the end of financial year process.	The Shire has a number of legal matters that are in progress each year, in particular in respect to Wittenoon matters. These have previously been reflected as operating expenditure in the year that the accounts have been paid. This matter was discussed with RSM, where it was agreed to reflect ongoing and current legal matters as an accrued legal expense. A review of legal expenses is now forming part of the end of financial year process.	Not Due			Not Started
30-Jun-21	OAG	Financial	General journal review	We recommend that all manual journals raised undergo independent review from a staff member different from the one who raised the journal.	High	Manager Finance	Journals prepared by the Finance Manager are now reviewed by the Financial Accountant.	Journals prepared by the Finance Manager are now reviewed by the Financial Accountant.	Not Due			Not Started
30-Jun-21	OAG	Financial	Regular review of policies and procedures	We recommend that the Shire review outdated policies and procedures, identifying those that require immediate action and establish a process to monitor the review.	Medium	Manager Governance	A review of Council's policies has commenced and is being presented to Council in a staged approach for endorsement.	We recommend that the Shire review outdated policies and procedures, identifying those that require immediate action and establish a process to monitor the review.	Overdue	2023 May 29: All policies have been reviewed with the exception of ENG08 Bush Fire Policy which will be revoked when the implementation of a Bush Fire Brigades Local Law is completed (anticipated in August 2023). The new policy template sets out the due date for the review of each policy and the Shire maintains a Policy Register. A directive will be developed to document the review process.	2023 May 29: In progress.	In Progress
30-Jun-21	OAG	Financial	Review of property values input into SynergySoft	The Shire should implement an independent review system, to ensure all Landgate valuations are correctly entered into the SynergySoft. This will ensure Landgate valuation reports always reconcile with SynergySoft	Medium	Manager Finance	Staff have been working through investigating and correcting previous period property values variances. Workflow practices to be amended to include an independent reviewer and frequent balancing to documents provided by Landgate.	The Shire should implement an independent review system, to ensure all Landgate valuations are correctly entered into the SynergySoft. This will ensure Landgate valuation reports always reconcile with SynergySoft.	Overdue			Not Started
30-Jun-21	OAG	Financial	Fees and charges cut-off	We recommend that management formalise the review of invoices processed after year-end to ensure that all invoices related to the audited financial year are captured and accurately recognised.	Medium	Manager Finance	Airport landing fees income received in July for the prior year was not identified and included in accrued income. A review of fees and charges received in July and August now forms part of the end of financial year process.	We recommend that management formalise the review of invoices processed after year-end to ensure that all invoices related to the audited financial year are captured and accurately recognised.	Not Due			Not Started
30-Jun-21	OAG	ITGC	Network Access Management	The Shire should: Develop, document, and implement access management policies / procedures that should include: o Onboarding & offboarding of users, including privileged and generic accounts o Privileged and generic account management o Deactivate inactive/dormant accounts Ensure new user provisions are adequately documented and appropriate management approval is received before account creation Perform regular privilege user access reviews to ensure appropriate access is maintained Perform regular user access review to ensure terminated users is removed timely and identify and remove redundant or dormant accounts.	Medium	Manager ICT	A recent internal audit has identified the requirement for the review and development of several plans, including Cybersecurity Framework. Recommendations to be incorporated into the reviewed Cybersecurity Framework and will include access management principals. Operating procedures to be develop and aligned to the framework and include workflow and record keeping requirements for new, terminated and change in user accounts.	The Shire should: Develop, document, and implement access management policies / procedures that should include: o Onboarding & offboarding of users, including privileged and generic accounts o Privileged and generic account management o Deactivate inactive/dormant accounts Ensure new user provisions are adequately documented and appropriate management approval is received before account creation Perform regular privilege user access reviews to ensure appropriate access is maintained Perform regular user access review to ensure terminated users is removed timely and identify and remove redundant or dormant accounts.	Not Due	25 July 2023 - Procedure has been drafted. Still to be reviewed. Regularly reoccurring task has been set	25 July 2023 SOA IA - Transferred to In Progress	In Progress
30-Jun-21	OAG	ITGC	SynergySoft Financial Application Access Management	The Shire should: Document, review, approve and implement an access management policy that should include: o Onboarding & offboarding of users, including privileged and generic accounts o Generic account management o User access review requirements Ensure new user provisions are adequately documented and appropriate management approval is received before account creation Regularly review user access to the SynergySoft application to ensure terminated users are disabled timely. Ensure SoD requirements and controls are appropriately defined and implemented for the SynergySoft application.	High	Manager ICT	A recent internal audit has identified the requirement for the review and development of several plans, including Cybersecurity Framework. Recommendations to be incorporated into the reviewed Cybersecurity Framework and will include access management principles for SynergySoft. Operating procedures to be develop and aligned to the framework.	The Shire should: Document, review, approve and implement an access management policy that should include: o Onboarding & offboarding of users, including privileged and generic accounts o Generic account management o User access review requirements Ensure new user provisions are adequately documented and appropriate management approval is received before account creation Regularly review user access to the SynergySoft application to ensure terminated users are disabled timely. Ensure SoD requirements and controls are appropriately defined and implemented for the SynergySoft application.	Not Due	25 July 2023 - Procedure has been drafted. Still to be reviewed. Regularly reoccurring task has been set	25 July 2023 SOA IA - Transferred to In Progress	In Progress

Shire of Ashburton

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Date of Report	Auditor	Audit Topic	Finding Topic	Recommendation	Risk Rating	Recommendation Owner	Management Comment in Report	Agreed Action	Overdue Status	Client Progress Update	Moore Australia/ SOA IA Comment	Status After Assessment
30-Jun-21	OAG	ITGC	IT Governance - Standards, Policies & Procedures	The Shire should: Develop, document, and publish policies / procedures / guidelines / governance documents as required and ensure these documents are appropriately governed Periodically review and endorse all Shire policies / procedures / governance documents ensuring they have a documented review frequency Define, document, and implement a risk management framework that outlines key risk management processes Design and implement the BCP and IT DRP to align with the Shire's recovery requirements (i.e., Recovery scenarios, processes, and timeframes). To help maintain the effectiveness of these plans it should be regularly reviewed and appropriately tested. The IT DRP tests should be used to confirm key IT systems and services can be recovered in accordance with the agreed recovery requirements.	Medium	Manager ICT	A recent internal audit has identified the requirement for the review and development of several plans, including: Shire's Business Continuity Management Arrangements ICT Disaster Recovery Plan Cybersecurity Framework The Shire has made a commitment to review and develop the above-mentioned documents, incorporating the required standards as well as developing and documenting processes and procedures.	The Shire should: Develop, document, and publish policies / procedures / guidelines / governance documents as required and ensure these documents are appropriately governed Periodically review and endorse all Shire policies / procedures / governance documents ensuring they have a documented review frequency Define, document, and implement a risk management framework that outlines key risk management processes Design and implement the BCP and IT DRP to align with the Shire's recovery requirements (i.e., Recovery scenarios, processes, and timeframes). To help maintain the effectiveness of these plans it should be regularly reviewed and appropriately tested. The IT DRP tests should be used to confirm key IT systems and services can be recovered in accordance with the agreed recovery requirements.	Not Due			Not Started
30-Jun-21	OAG	ITGC	Network Security Management	The Shire should: Develop, document, review and implement a security / vulnerability assessment policy / procedure which contains the requirement to periodically perform vulnerability assessments and periodic penetration (security) testing Define, document, and implement a process for performing periodic reviews of firewall event logs and updating firewall rules accordingly.	Medium	Manager ICT	A recent internal audit has identified the requirement for the review and development of the Shire's Cybersecurity Framework and supporting operating procedures that align with the WA Government Cybersecurity Policy and the Australia Government Information Security Manual. The framework will incorporate risk assessments, monitoring, testing, and reporting requirements, which will be included in operating procedures	The Shire should: Develop, document, review and implement a security / vulnerability assessment policy / procedure which contains the requirement to periodically perform vulnerability assessments and periodic penetration (security) testing Define, document, and implement a process for performing periodic reviews of firewall event logs and updating firewall rules accordingly.	Not Due	25 July 2023 - Procedure has been drafted. Still to be reviewed. Regularly reoccurring task has been set	25 July 2023 SOA IA - Transferred to In Progress	In Progress
30-Jun-21	OAG	ITGC	Physical and Environmental Security Management	The Shire should: Define and document a datacentre access policy / procedure which includes the requirements to periodically perform access reviews to ensure staff are only allowed access to the datacentre based on business needs Investigate and implement appropriate physical security measures to protect against unauthorised access and modification, such as access and operation logs Investigate and implement appropriate environmental measures to protect physical sites and the data centre against environmental threats and damage. Remove potentially flammable materials from the datacentre. Document and maintain a datacentre operator logbook to record any significant events/incidents in the Data Centre and corrective action taken to solve issues.	Medium	Manager ICT	The physical security of key assets (including server rooms) has been identified as a finding within a recent Cybersecurity audit. Security measures and access restrictions to be reviewed and incorporated into the Shire's Cybersecurity Framework and implemented. This will include the monitoring and reporting of approved security measures.	The Shire should: Define and document a datacentre access policy / procedure which includes the requirements to periodically perform access reviews to ensure staff are only allowed access to the datacentre based on business needs Investigate and implement appropriate physical security measures to protect against unauthorised access and modification, such as access and operation logs Investigate and implement appropriate environmental measures to protect physical sites and the data centre against environmental threats and damage. Remove potentially flammable materials from the datacentre. Document and maintain a datacentre operator logbook to record any significant events/incidents in the Data Centre and corrective action taken to solve issues.	Not Due	25 July 2023 - Reviewing possibilities	25 July 2023 SOA IA - Transferred to In Progress	In Progress
30-Jun-21	OAG	ITGC	Change Management	The Shire should consider: Developing, implementing, and endorsing a change management policy to ensure that changes are appropriately requested, logged, approved, and tested. Create a change register to track and monitor all changes made to the Shire's IT infrastructure Ensuring all changes are adequately documented containing: o Approvals o Implementation testing o Backout plans o Post implementation reviews.	Medium	Manager ICT	The recommendations will be included in the review and development of the Shire's Cybersecurity Framework. The framework will incorporate risk assessments, approvals, monitoring, testing, and reporting requirements, which will be included in operating procedures	The Shire should consider: Developing, implementing, and endorsing a change management policy to ensure that changes are appropriately requested, logged, approved, and tested. Create a change register to track and monitor all changes made to the Shire's IT infrastructure Ensuring all changes are adequately documented containing: o Approvals o Implementation testing o Backout plans o Post implementation reviews	Not Due	25 July 2023 - Procedure has been drafted. Still to be reviewed.	25 July 2023 SOA IA - Transferred to In Progress	In Progress
30-Jun-21	OAG	ITGC	Password Management	The Shire should: Develop, document, and publish an appropriate password policy, that aligns with industry best practice, to govern password configuration and management. Assess and configure appropriate password parameters within the network.	Medium	Manager ICT	The shire has recently amended the password configuration to align with industry best practice of 6. The review and development of the Shire's Sybersecurity Framework will incorporate password configuration principals and standards. Operating procedures to be reviewed and aligned to revised framework.	The Shire should: Develop, document, and publish an appropriate password policy, that aligns with industry best practice, to govern password configuration and management. Assess and configure appropriate password parameters within the network.	Overdue	25 July 2023 - Procedure has been drafted. Still to be reviewed.	25 July 2023 SOA IA - Transferred to In Progress	In Progress

Shire of Ashburton

Current Review Date:												
Date of Report	Auditor	Audit Topic	Finding Topic	Recommendation	Risk Rating	Recommendation Owner	Management Comment in Report	Agreed Action	Overdue Status	Client Progress Update	Moore Australia/ SOA IA Comment	Status After Assessment
30-Jun-22	OAG	Financial	Fair Value of Infrastructure, land and building Assets - Frequency of Valuations	The Shire should consider implementing as part of the preparation of financial statements a formal robust process to determine whether indicators exist annually, that would trigger a requirement to perform a formal revaluation of Infrastructure, land and building assets. Where indicators exist a robust fair value assessment should be performed capturing the requirements of AASB 13 Fair Value Measurements. This process is to ensure that the Shire's infrastructure, land and buildings assets are recoded at fair value in compliance with AASB 13 Fair Value Measurement and the Regulations. This may entail obtaining relevant input from an independent valuer as to whether or not they consider there are any prevailing market factors which may indicate that the fair value of relevant assets is likely to have been impacted to any significant / material extent from the prior year. Where a fair value assessment has been performed internally the Shire may consider having this assessment peer reviewed by an independent valuer to obtain assurance over the valuation methodology applied, inputs and the reasonableness of the valuation model applied.	High	Manager Finance	Revaluations are carried out in accordance with the legislation requirements in place from time to time and adjusted to ensure the fair value of any asset in each class reflects the appropriate carrying amount. In accordance with legislation requirements Infrastructure assets are scheduled for revaluations in the 2023 Financial year. Process to be determined for the AASB 13 fair value measurement to be applied annually for future years	The Shire should consider implementing as part of the preparation of financial statements a formal robust process to determine whether indicators exist annually, that would trigger a requirement to perform a formal revaluation of Infrastructure, land and building assets. Where indicators exist a robust fair value assessment should be performed capturing the requirements of AASB 13 Fair Value Measurements. This process is to ensure that the Shire's infrastructure, land and buildings assets are recoded at fair value in compliance with AASB 13 Fair Value Measurement and the Regulations. This may entail obtaining relevant input from an independent valuer as to whether or not they consider there are any prevailing market factors which may indicate that the fair value of relevant assets is likely to have been impacted to any significant / material extent from the prior year. Where a fair value assessment has been performed internally the Shire may consider having this assessment peer reviewed by an independent valuer to obtain assurance over the valuation methodology applied, inputs and the reasonableness of the valuation model applied.	Overdue			Not Started
30-Jun-22	OAG	Financial	Recognition of depreciation of current year fixed assets additions	The Shire should review the asset management procedures to ensure timely recording of newly acquired assets and ensure accuracy of records in the asset register based on the underlying acquisition records.	High	Manager Finance	An error had occurred with the data entry of assets additions. This resulted in depreciation not being correctly calculated from the actual addition date. End of year process to be reviewed to ensure accuracy of additions and correct depreciation applied.	An error had occurred with the data entry of assets additions. This resulted in depreciation not being correctly calculated from the actual addition date. End of year process to be reviewed to ensure accuracy of additions and correct depreciation applied.	Overdue			Not Started
30-Jun-22	OAG	Financial	Fixed Asset Depreciation Rates	The Shire should conduct a full review of the FAR to verify that the depreciation rates are consistent with the Shire's depreciation policy. The review should also include an evaluation of the asset's useful life.	High	Manager Finance	A full review of depreciation rates will be conducted in FY23 and will utilise the infrastructure valuation report due by 30 June 2023. This valuation report containing useful life and valuation will form a major part of the depreciation rates assessment.	The Shire should conduct a full review of the FAR to verify that the depreciation rates are consistent with the Shire's depreciation policy. The review should also include an evaluation of the asset's useful life.	Overdue			Not Started
30-Jun-22	OAG	Financial	Procurement obtaining quotations	For purchases below the tender threshold, management should ensure that sufficient quotes are obtained and evidenced in accordance with the Shire's purchasing policy and procedures. If instances arise where the City is unable to obtain the required number of quotations, the reasons should be recorded and attached to the purchase order at the time of the purchase being made.	Medium	Senior Procurement Officer	Requirements to adhere to purchase policy to be enforced to staff. Systems to be reviewed to audit purchase orders and address issues of no-compliance.	For purchases below the tender threshold, management should ensure that sufficient quotes are obtained and evidenced in accordance with the Shire's purchasing policy and procedures. If instances arise where the City is unable to obtain the required number of quotations, the reasons should be recorded and attached to the purchase order at the time of the purchase being made.	Overdue			Not Started
30-Jun-22	OAG	Financial	Outstanding Employee debts	The Shire should review the current debt recovery process to ensure timely follow-up of overdue employee debts and developing a payroll deduction form which meets the requirements of the Act and have each employee complete that form.	Medium	Manager Finance	The shire attempts to recover the listed debts have been unsuccessful. Deductions from payroll is not permitted without the employee's authority. Further advice to be sought regarding legal position for employee contracts containing repayment clauses on relocation amounts and if the shire can automatically enforce this provision and deduct from payroll. The Shire has transferred all electricity accounts from the Shire to the individual tenants' names, and no longer receives electricity expenses.	The shire attempts to recover the listed debts have been unsuccessful. Deductions from payroll is not permitted without the employee's authority. Further advice to be sought regarding legal position for employee contracts containing repayment clauses on relocation amounts and if the shire can automatically enforce this provision and deduct from payroll. The Shire has transferred all electricity accounts from the Shire to the individual tenants' names, and no longer receives electricity expenses.	Overdue			Not Started
30-Jun-22	OAG	Financial	Review of Open Purchase Orders (PO)	The current process could be enhanced by putting in some specific measures to address the slow response or lack of response from business owners. Some of the examples of the specific measures for the Shire to consider could be: a. If a PO is >15 months old and has not had any transaction in the past 6 months, then the PO should be closed by default; b. If a PO is >18 months old, then it should be closed by default unless the business provides express request and is approved by the (say) the Director Corporate Services. Although the individual open PO amounts are not material, the enhancement will ensure all old purchase orders are closed promptly and reduces resources in continuous followup.	Low	Senior Procurement Officer	Open purchase orders are reviewed by the authorising officers in May / June as part of the end of financial year and budget process. This process results in a number of inactive purchase orders being closed, with the theory of only leaving current purchase orders active. Some open purchase orders are in relation to major ongoing project spanning over multiple financial years. Systems to be reviewed to incorporate higher level of review / authorisation and record keeping of purchase orders exceeding acceptable timeframes.	Open purchase orders are reviewed by the authorising officers in May / June as part of the end of financial year and budget process. This process results in a number of inactive purchase orders being closed, with the theory of only leaving current purchase orders active. Some open purchase orders are in relation to major ongoing project spanning over multiple financial years. Systems to be reviewed to incorporate higher level of review / authorisation and record keeping of purchase orders exceeding acceptable timeframes.	Overdue			Not Started
30-Jun-22	OAG	ITGC	Risk management	The Shire should: Define, document, and implement an IT risk management policy and/or procedure Create an IT risk register and use it to track/manage newly identified and existing risks. It should also detail their mitigating controls and resolution status.	Medium	Manager ICT	A recent internal audit has identified the requirement for the review and development of several plans, including Cybersecurity Framework. Recommendations have been incorporated into the reviewed Cybersecurity Framework including assessment of Risk. The document is in its final review to ensure it meets all applicable standards, best practices and matters raised within the audit process Operating procedures to be developed and aligned to the frameworks and include workflow and record keeping requirements for An internal audit road map 2023-2026 has been developed and includes implementing Risk Management Framework ISO 31000, including develop / update operational risk registers. This will include IT Risk Management.	The Shire should: Define, document, and implement an IT risk management policy and/or procedure Create an IT risk register and use it to track/manage newly identified and existing risks. It should also detail their mitigating controls and resolution status.	Not Due			Not Started

Shire of Ashburton

Current Review Date:												
Date of Report	Auditor	Audit Topic	Finding Topic	Recommendation	Risk Rating	Recommendation Owner	Management Comment in Report	Agreed Action	Overdue Status	Client Progress Update	Moore Australia/ SOA IA Comment	Status After Assessment
30-Jun-22	OAG	ITGC	Human resources employee list	The Shire should investigate HR's inability to provide a full employee list and implement an appropriate solution to track who is employed at the Shire.	Medium	Manager Organisational Development	Human Resource systems to be investigated for Organisation Development department to be able to maintain an up-to-date employee listing. Processes and procedures to be development to audit against payroll and IT listings data.	Human Resource systems to be investigated for Organisation Development department to be able to maintain an up-to-date employee listing. Processes and procedures to be development to audit against payroll and IT listings data.	Not Due	25 July 2023 -This is incorrect as HR has always been able to pull / provide an employee list - very confused when I heard of this approximately 1 week ago only. Recently provided full, up to date employee list to ICT in support of OAG audit. See attached. Confirming again that the below is in place (and always have been) and not an issue as OD has always been able to provide an employee list either directly or via payroll. As commented, the information provided by the Shire to the auditors were incorrect (not sure by whom). It was not provided by OD.	SOA IA 25 July 2023 Status Changed to In Progress Based on email dated 25 July from OD to IA, issue remains disputed and need external auditors confirmation on the basis of issue and expectation on (agreed) management comment. "I was only made aware of "Process and Procedures to be development to audit against payroll and IT listing data" outcome about a week ago and not sure what is expected here. It sounds like a payroll and IT action, but happy to be guided by you. Feel free to arrange a meeting so we can discuss, if required."	In Progress
30-Jun-22	OAG	ITGC	Business continuity management	The Shire should: Define, document and publish a backup policy Develop, document, test and publish a Disaster Recovery Plan and IT Business Continuity Plan Develop, document and publish an Incident Response Plan. Periodically review the above mentioned plans to ensure that they are relevant and adequate to support the Shire's operations.	Medium	Manager ICT	A recent internal audit has identified the requirement for the review and development of several plans including. Business Continuity Management Arrangements ICT Disaster recovery Plan Cybersecurity Framework. The Shire has made a commitment to review and develop the above-mentioned documents, incorporating the required standards as well as developing and documenting processes and procedures. The Cybersecurity Framework document has been prepared and is in its final review to ensure it meets all applicable standards, best practices and matters raised within the audit process. Business Continuity Plans and ICT disaster recovery plan is scheduled to commence development shortly.	The Shire should: Define, document and publish a backup policy Develop, document, test and publish a Disaster Recovery Plan and IT Business Continuity Plan Develop, document and publish an Incident Response Plan. Periodically review the above mentioned plans to ensure that they are relevant and adequate to support the Shire's operations.	Not Due			Not Started



Agenda Item 6.2 - Attachment 1

Draft Internal Audit Charter



Internal Audit Charter

Shire of Ashburton

August 2023



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Purpose and Mission

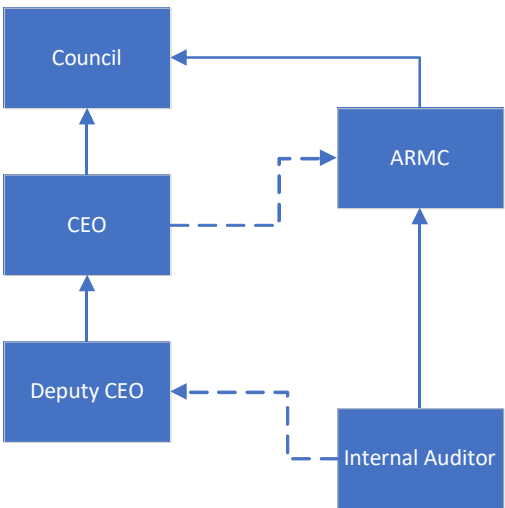
The purpose of Shire of Ashburton's internal audit department is to provide independent, objective assurance and consulting services designed to add value and improve Shire of Ashburton's operations. The mission of internal audit is to enhance and protect organisational value by providing risk-based and objective assurance, advice, and insight. The internal audit department helps Shire of Ashburton accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of governance, risk management, and control processes.

Standards for the Professional Practice of Internal Auditing

The internal audit department will govern itself by adherence to the mandatory elements of The Institute of Internal Auditors' International Professional Practices Framework, including the Core Principles for the Professional Practice of Internal Auditing, Code of Ethics, International Standards for the Professional Practice of Internal Auditing, and Definition of Internal Auditing. The Internal Auditor will report periodically to the Executive Leadership Team (ELT), Chief Executive Officer (CEO) and Audit and Risk Management Committee regarding the internal audit department's conformance to the Code of Ethics and Standards.

Authority

The Internal Auditor (IA) will report functionally to the Audit and Risk Management Committee and administratively (i.e., day-to-day operations) to the Chief Executive Officer or their delegate.



To establish, maintain, and assure that Shire of Ashburton's internal audit department has sufficient authority to fulfill its duties, the Audit and Risk Management Committee will:

- Review / Recommend the internal audit department's charter for Council to adopt.
- Review / Recommend the risk-based internal audit plan for Council to adopt.
- Review / and Recommend for Council to adopt internal auditors remunerations, internal audit department's budget and resource plan are appropriate in terms of the capability and capacity need to carryout work plan.
- Review / Recommend communications from the Internal Auditor on the internal audit department's performance relative to its plan and other matters for Council to receive.
- Review / Recommend decisions regarding the appointment and removal of the Internal Auditor for Council to adopt.
- Make appropriate inquiries of management and the Internal Auditor to determine whether there is inappropriate scope or resource limitations.

The Internal Auditor will have unrestricted access to, and communicate and interact directly with, the Audit and Risk Management Committee, including in private meetings without management present at or after ARMC meeting.

The Audit and Risk Management Committee Review / Recommend the internal audit department to:

- Have full, free, and unrestricted access to all functions, records, property, and personnel pertinent to carrying out any engagement, subject to accountability for confidentiality and safeguarding of records and information.
- Allocate resources, set frequencies, select subjects, determine scopes of work, apply techniques required to accomplish audit objectives, and issue reports.
- Obtain assistance from the necessary personnel of the Shire of Ashburton, as well as other specialised services from within or outside the Shire of Ashburton, in order to complete the engagement.

Independence and Objectivity

The Internal Auditor will ensure that the internal audit department remains free from all conditions that threaten the ability of internal auditors to carry out their responsibilities in an unbiased manner, including matters of audit selection, scope, procedures, frequency, timing, and report content. If the Internal Auditor determines that independence or objectivity may be impaired, in fact or appearance, the details of impairment will be disclosed to appropriate parties.

The Internal Auditor will maintain an unbiased mental attitude that allows them to perform engagements objectively and in such a manner that they believe in their work product, that no quality compromises are made, and that they do not subordinate their judgment on audit matters to others.

The Internal Auditor will have no direct operational responsibility or authority over any of the activities audited. Accordingly, the Internal Auditor will not implement internal controls, develop procedures, install systems, prepare records, or engage in any other activity that may impair their judgment, including:

- Assessing specific operations for which they had responsibility within the previous year.
- Performing any operational duties for the Shire of Ashburton.
- Initiating or approving transactions external to the internal audit department.
- Directing the activities of any Shire of Ashburton employee not employed by the internal audit department, except to the extent that such employees have been appropriately assigned to auditing teams or to otherwise assist internal auditors.

Where the Internal Auditor has or is expected to have roles and/or responsibilities that fall outside of internal auditing, safeguards will be established to limit impairments to independence or objectivity.

The Internal Auditor will:

- Disclose any impairment of independence or objectivity, in fact or appearance, to appropriate parties.
- Exhibit professional objectivity in gathering, evaluating, and communicating information about the activity or process being examined.
- Make balanced assessments of all available and relevant facts and circumstances.
- Take necessary precautions to avoid being unduly influenced by their own interests or by others in forming judgments.

The Internal Auditor will confirm to the Audit and Risk Management Committee, at least annually, the organisational independence of the internal audit department.

The Internal Auditor will disclose to the Audit and Risk Management Committee any interference and related implications in determining the scope of internal auditing, performing work, and/or communicating results.

Scope of Internal Audit Activities

The scope of internal audit activities encompasses, but is not limited to, objective examinations of evidence for the purpose of providing independent assessments to the Audit and Risk Management Committee, management, and outside parties on the adequacy and effectiveness of governance, risk management, and control processes for the Shire of Ashburton. Internal audit assessments include evaluating whether:

- Risks relating to the achievement of the Shire of Ashburton's strategic objectives are appropriately identified and managed.
- The actions of the Shire of Ashburton's officers, directors, employees, and contractors are in compliance with the Shire of Ashburton's policies, procedures, and applicable laws, regulations, and governance standards.

- The results of operations or programs are consistent with established goals and objectives.
- Operations or programs are being carried out effectively and efficiently.
- Established processes and systems enable compliance with the policies, procedures, laws, and regulations that could significantly impact the Shire of Ashburton.
- Information and the means used to identify, measure, analyse, classify, and report such information are reliable and have integrity.
- Resources and assets are acquired economically, used efficiently, and protected adequately.

The Internal Auditor will report periodically to the ELT, CEO and Audit and Risk Management Committee regarding:

- The internal audit department's purpose, authority, and responsibility.
- The internal audit department's plan and performance relative to its plan.
- The internal audit department's conformance with The IIA's Code of Ethics and Standards, and action plans to address any significant conformance issues.
- Significant risk exposures and control issues, including fraud risks, governance issues, and other matters requiring the attention of, or requested by, the Audit and Risk Management Committee.
- Results of audit engagements or other activities.
- Resource requirements.
- Any response to risk by management that may be unacceptable to the Shire of Ashburton.

The Internal Auditor also coordinates activities, where possible, and considers relying upon the work of other internal and external assurance and consulting service providers as needed. The internal audit department may perform advisory and related client service activities, the nature and scope of which will be agreed with the client, provided the internal audit department does not assume management responsibility.

Opportunities for improving the efficiency of governance, risk management, and control processes may be identified during engagements. These opportunities will be communicated to the appropriate level of management.

Responsibility

The Internal Auditor has the responsibility to:

- Submit, at least annually, to the ELT, CEO and Audit and Risk Management Committee a risk-based internal audit plan for review and approval.
- Communicate to the ELT, CEO and Audit and Risk Management Committee the impact of resource limitations on the internal audit plan.
- Review and adjust the internal audit plan, as necessary, in response to changes in the Shire of Ashburton's business, risks, operations, programs, systems, and controls.
- Communicate to the ELT, CEO and Audit and Risk Management Committee any significant interim changes to the internal audit plan.

- Ensure each engagement of the internal audit plan is executed, including the establishment of objectives and scope, the assignment of appropriate and adequately supervised resources, the documentation of work programs and testing results, and the communication of engagement results with applicable conclusions and recommendations to appropriate parties.
- Follow up on engagement findings and corrective actions, and report periodically to the ELT, CEO and Audit and Risk Management Committee any corrective actions not effectively implemented.
- Ensure the principles of integrity, objectivity, confidentiality, and competency are applied and upheld.
- Ensure the internal audit department collectively possesses or obtains the knowledge, skills, and other competencies needed to meet the requirements of the internal audit charter.
- Ensure trends and emerging issues that could impact the Shire of Ashburton are considered and communicated to the ELT, CEO and Audit and Risk Management Committee as appropriate.
- Ensure emerging trends and successful practices in internal auditing are considered.
- Establish and ensure adherence to policies and procedures designed to guide the internal audit department.
- Ensure adherence to the Shire of Ashburton's relevant policies and procedures, unless such policies and procedures conflict with the internal audit charter. Any such conflicts will be resolved or otherwise communicated to the ELT, CEO and Audit and Risk Management Committee.
- Ensure conformance of the internal audit department with the Standards, with the following qualifications:
 - If the internal audit department is prohibited by law or regulation from conformance with certain parts of the Standards, the Internal Auditor will ensure appropriate disclosures are made and will ensure conformance with all other parts of the Standards.
 - If the Standards are used in conjunction with requirements issued by *Local Governments Act 1995*, the Internal Auditor will ensure that the internal audit department conforms with the Standards, even if the internal audit department also conforms with the more restrictive requirements of *Local Governments Act 1995*.

Quality Assurance and Improvement Program

The internal audit department will maintain a quality assurance and improvement program that covers all aspects of the internal audit department. The program will include an evaluation of the internal audit department's conformance with the Standards and an evaluation of whether internal auditors apply The IIA's Code of Ethics. The program will also assess the efficiency and effectiveness of the internal audit department and identify opportunities for improvement.

The Internal Auditor will communicate to the ELT, CEO and Audit and Risk Management Committee on the internal audit department's quality assurance and improvement program, including results of internal assessments (both ongoing and periodic) and external assessments conducted at least once every five years by a qualified, independent assessor or assessment team from outside the Shire of Ashburton.

Approval

Internal Auditor	Date	20 July 2023	
Chief Executive Officer	Date	20 July 2023	
Audit and Risk Management Committee	Date		
Council	Date		Resolution #



Agenda Item 10.1.1 - Attachment 1

Minutes of the Ordinary Council Meeting held 11 July 2023



Published Minutes

Ordinary Council Meeting

Tuesday, 11 July 2023

Date:	Tuesday 11 July 2023
Time:	1:00pm
Location:	Ashburton Hall, Ashburton Avenue, Paraburdoo
Distribution Date:	Friday 14 July 2023



**Shire of Ashburton
Ordinary Council Meeting**

The Chief Executive Officer recommends the endorsement of these minutes at the next Ordinary Council Meeting.

K Donohoe
Chief Executive Officer
12 July 2023

These minutes were confirmed by Council as a true and accurate record of proceedings at the Ordinary Council Meeting held on Tuesday, 11 July 2023.

Presiding Member _____

Date _____

Disclaimer

The Shire of Ashburton warns anyone who has an 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 Council in respect of the application. No responsibility whatsoever is implied, or accepted, by the Shire of Ashburton for any act, omission, statement, or intimation occurring during a Council meeting.

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1 Declaration Of Opening

The Presiding Member declared the meeting open at 1:00pm.

Presiding Member Recommendation

In accordance with regulation 14C(2)(b) of the *Local Government (Administration) Regulations 1996*, approves Councillor A Sullivan to attend the meeting via electronic means, noting she is in instantaneous communication with the meeting.

Cr A Sullivan Declaration

In accordance with regulation 14CA(5) of the *Local Government (Administration) Regulations 1996*, I declare that I can maintain confidentiality during the meeting or the closed part of the meeting.

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 past, present and emerging.

2 Announcement Of Visitors

Nil

3 Attendance

3.1 Present

Elected Members:	Cr K White	Shire President (Presiding Member), Onslow Ward
	Cr M Lynch	Deputy Shire President, Tom Price Ward
	Cr R De Pledge	Ashburton Ward
	Cr M Gallanagh	Pannawonica Ward
	Cr L Rumble JP	Paraburdoo Ward
	Cr A Sullivan	Paraburdoo Ward (via electronic means)
	Cr A Smith	Tom Price Ward
	Cr T Mladenovic	Tom Price Ward

Employees:	K Donohoe C McGurk D Kennedy R Miller A Sheridan A Furfaro N Cochrane	Chief Executive Officer Director Community Development Director Corporate Services Director Infrastructure Services Project Manager Governance Officer Council Support Officer
Guests:	Nil	
Members of Public:	There were two 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.	

3.2 Apologies

Nil

3.3 Approved Leave Of Absence

Cr J Richardson Tableland Ward From 11 July 2023 to 8 August 2023

4 Question Time

4.1 Response To Previous Public Questions Taken On Notice

4.1.1 Response - Tom Price BMX Club

Melissa Wright

Ordinary Council Meeting – 13 June 2023 – Item 4.2.

Question 1

Would Council support new toilets being constructed on the Club's site, as no facilities are available. If new toilets were supported, they could potentially be shared with the adjacent Tom Price Motor Sport Club.

Response 1

The Shire's understanding is there are already toilet amenities onsite at the Tom Price BMX Club. If the Club wishes to renew or refurbish the existing toilet amenities at the Club's cost, the Shire would support the Club, subject to relevant statutory approvals. It is recommended the Club explore grant opportunities.

Question 2

Would Council support installing potable water facilities such as a drinking fountain on the Clubs site to enable safe drinking water to be available for users.

Response 2

The Shire understands the Club has access to potable water as Rio Tinto has installed a new water meter.

Question 3

Would Council investigate the situation with water accounts for the property, as the Club receive three different accounts for the same site.

Response 3

The Shire is in communication with Rio Tinto utilities and is working through the accounts on the Club's behalf. Once Rio Tinto has responded the Shire will be able to advise the Club further.

Question 4

Would Council investigate the current situation with public road access to the Clubs leased site and formalise public road access.

Response 4

The Shire can advise that work is ongoing with Department Planning, Lands and Heritage on formalising public road access. Finalisation is imminent once formal approval has been received. This information when available, will be passed onto the Club.

4.2 Public Question Time

Doughlas Ivan Dias

Question:

Will the council consider implementing a 'Good Neighbour Recognition Program' Similar to the City of Glen Eira in Victoria.

My understanding is this award is different to the volunteer of the month we presently have. Any resident can nominate a neighbour/friend for an act of kindness towards them which could simply doing their lawns or getting then their groceries while they are sick or helping them out in a time of need.

The Council can determine how often to have the Award and can determine the appropriate prize.

Response

The Chief Executive Officer advised that the question would be taken on notice and a written response will be provided.

Dalton Mcilroy – Manger of Bedford, Paraburdoo

Question:

Hi, I am Dalton Mcilroy, Manager of the Bedford Paraburdoo, I would like to put in a request for new chairs/seating areas to complement the new red dog plaque that has become a great tourist/public attraction at Paraburdoo.

Response

The Chief Executive Officer advised that the question would be taken on notice and a written response will be provided.

5 Declaration By Members

5.1 Due Consideration By Councillors To The Agenda

Councillors noted they have given due consideration to all matters contained in this agenda.

The Presiding Member requested the Chief Executive Officer to read aloud the following correspondence from the Department of Local Government, Sport and Cultural Industries and noted each Councillor had been provided a copy.



Department of
Local Government, Sport
and Cultural Industries

Our ref E23080025
Enquiries Kimberley Craik
Phone (08) 8562 1408
Email legislation@dlgsc.wa.gov.au

Mr Kenn Donohoe
Chief Executive Officer
Shire of Ashburton

Email: governance@ashburton.wa.gov.au

Dear Mr Donohoe

I refer to your correspondence dated 5 July 2023 and advise that, in accordance with the authority delegated by the Minister for Local Government, I have approved your application, under section 5.69(3) of the *Local Government Act 1995* (the Act).

It has been noted that the Shire requires a minimum approval of three members in order to achieve quorum. Accordingly, approval has been granted for three members, Cr Lynch, Cr Mladenovic and Cr Smith, to fully participate in the discussion and decision making relating to the following agenda item at the Shire's Ordinary Council Meeting, to be held on 11 July 2023:

15.3 – ACCEPTANCE OF SIGNATURE EVENT AND ACTIVITY LATE APPLICATIONS 2023/2024

Conditions of approval:

1. *The approval is only valid for the 11 July 2023 Ordinary Council Meeting when agenda item 15.3 is considered;*
2. *The abovementioned councillors must declare the nature and extent of their interests at the abovementioned meeting when the matter is considered, together with the approval provided;*
3. *The Chief Executive Officer (CEO) is to provide a copy of the Department of Local Government, Sport and Cultural Industries (DLGSC) letter of approval to the abovementioned councillors;*
4. *The CEO is to ensure that the declarations, including the approval given and any conditions imposed, are recorded in the minutes of the abovementioned meeting, when the item is considered;*
5. *The CEO is to provide a copy of the confirmed minutes of the abovementioned meeting to the DLGSC, to allow the DLGSC to verify compliance with the conditions of this approval; and*
6. *The approval granted is based solely on the interests disclosed by the abovementioned councillors, made in accordance with the application. Should other interests be identified, these interests will not be included in this approval and the financial interest provisions of the Act will apply.*

Should you require further information in relation to this matter, please contact Kimberley Craik, A/Senior Legislation Officer, via the details provided above.

Yours sincerely

BANA BRAJANOVIC
A/EXECUTIVE DIRECTOR – LOCAL GOVERNMENT

6 July 2023

5.2 Declaration Of Interest

A member who has an Impartiality, Proximity or Financial interest in any matter to be discussed at this meeting must disclose the nature of the interest either in a written notice, given to the Chief Executive Officer, prior to the meeting, or at the meeting immediately before the matter is discussed.

A member who makes a disclosure in respect to an interest must not preside at the part of the meeting which deals with the matter, or participate in, or be present during any discussion or decision-making process relative to the matter, unless the disclosing member is permitted to do so under Section 5.68 or Section 5.69 of the *Local Government Act 1995*.

The following declarations of interest are disclosed –

15.3 Acceptance of Signature Event and Activity Late Applications 2023/2024	
Name	Cr M Gallanagh
Nature of interest	Direct Financial
Interest description	My husband and I both work for Rio Tinto, live in company housing, we own shares in Rio Tinto both individually and collectively to a greater value than the prescribed amount.
Name	Deputy Shire President M Lynch
Nature of interest	Indirect Financial
Interest description	I am an employee and tenant of Rio Tinto. I am paid a salary by Pilbara Iron.
Name	Cr T Mladenovic
Nature of interest	Direct Financial
Interest description	My partner is employed by Rio Tinto and we live in subsidised housing provided as part of his employment. My partner has Rio Tinto shares under the prescribed amount.
Name	Cr L Rumble JP
Nature of interest	Direct Financial
Interest description	I hold Rio Tinto shares greater than the prescribed amount.
Name	Cr A Smith
Nature of interest	Direct Financial
Interest description	My husband is an employee of Rio Tinto, and owns shares over the prescribed amount of Rio Tinto shares. My husband employment with Rio Tinto provides him with subsidised housing and utilities in which I reside too.
Name	Cr A Sullivan
Nature of interest	Direct Financial
Interest description	I and my husband hold shares above the prescribed amount. I and my husband live in subsidised housing provided by Riotinto. I and my husband are employees of Riotinto.

7.1 Chief Executive Officer Key Performance Indicators

Name	Kenn Donohoe
Nature of interest	Direct Financial
Interest description	CEO Performance Annual Review. Contract of employment.

6 Announcements By The Presiding Member And Councillors Without Discussion

Nil

7 Petitions / Deputations / Presentations

7.1 Petitions

Cr Audra Smith presented the following Petition received:

"Pool heating petition to the Shire of Ashburton on behalf of Tom Price Amateur Swimming Club, Desert Frogs Swim School, and Paraburdoo Amateur Swimming Club.

We, the undersigned are requesting the Shire of Ashburton upgrade the pool facilities at Tom Price and Paraburdoo with an adequate pool heating system to allow for maximum pool usage during the swim season."

The Petition, will be forwarded to the appropriate department for consideration and the appropriate action.

7.2 Deputations

Nil

7.3 Presentations

Nil

8 Applications for Leave of Absence

Leave of Absence

Council Decision **116/2023**

Moved **Cr M Lynch**

Seconded **Cr A Smith**

That Council approve the request for Leave of Absence, for Cr Rory De Pledge of Ashburton Ward for the period from 8 August 2023 to 12 September 2023 inclusive.

Carried 8/0

9 En Bloc Council Resolutions

9.1 Agenda Items Adopted En Bloc

The following confirmation of minutes and receipt of minutes were adopted en bloc:

- 10.1.1 Minutes of the Ordinary Council Meeting Held on 13 June 2023
- 10.2.1 Minutes of The Chief Executive Officer's Performance Review Occasional Committee Meeting Held On 13 June 2023
- 10.2.2 Minutes Of The Ashburton Economic And Tourism Development Committee Meeting Held On 13 June 2023
- 10.2.3 Minutes Of The Annual General Electors Meeting Held On 13 June 2023
- 10.2.4 Minutes Of The Inland Local Emergency Management Committee Meeting Held on 15 June 2023
- 10.2.5 Minutes Of The Onslow Local Emergency Management Committee Meeting Held on 20 June 2023
- 10.2.6 Minutes Of The Pannawonica Local Emergency Management Committee Meeting Held on 21 June 2023

10 Confirmation Of Minutes

10.1 Confirmation Of Council Minutes

10.1.1 Minutes Of The Ordinary Council Meeting Held On 13 June 2023

Council Decision 117/2023

Moved Cr L Rumble JP

Seconded Cr M Gallanagh

That the Minutes of the Ordinary Council Meeting held 13 June 2023 (Item 10.1.1 Attachment 1) be confirmed as a true and accurate record.

Carried 8/0

Resolved en bloc

10.2 Receipt Of Committee And Other Minutes

10.2.1 Minutes Of The Chief Executive Officer's Performance Review Occasional Committee Meeting Held On 13 June 2023

Council Decision 118/2023

Moved Cr L Rumble JP

Seconded Cr M Gallanagh

That the Minutes of the Chief Executive Officer's Performance Review Occasional Committee Meeting held 13 June 2023 (Item 10.2.1 Attachment 1) be received.

Carried 8/0

Resolved en bloc

10.2.2 Minutes Of The Ashburton Economic And Tourism Development Committee Meeting Held On 13 June 2023

Council Decision 119/2023

Moved Cr L Rumble JP

Seconded Cr M Gallanagh

That the Minutes of the Ashburton Economic And Tourism Development Committee Meeting held 13 June 2023 (Item 10.2.2 Attachment 1) be received.

Carried 8/0

Resolved en bloc

10.2.3 Minutes Of The Annual General Electors Meeting Held On 13 June 2023**Council Decision** **120/2023****Moved** **Cr L Rumble JP****Seconded** **Cr M Gallanagh****That the Minutes of the Annual General Electors Meeting held 13 June 2023 (Item 10.2.3 Attachment 1) be received.****Carried 8/0****Resolved en bloc****10.2.4 Minutes Of The Inland Local Emergency Management Committee Meeting Held On 15 June 2023****Officer Recommendation****That the Minutes of the Inland Local Emergency Management Committee Meeting held 15 June 2023 (Item 10.2.4 Attachment 1) be received.****10.2.5 Minutes Of The Onslow Local Emergency Management Committee Meeting Held On 20 June 2023****Council Decision** **121/2023****Moved** **Cr L Rumble JP****Seconded** **Cr M Gallanagh****That the Minutes of the Onslow Local Emergency Management Committee Meeting held 20 June 2023 (Item 10.2.5 Attachment 1) be received.****Carried 8/0****Resolved en bloc**

10.2.6 Minutes Of The Pannawonica Local Emergency Management Committee Meeting Held On 21 June 2023

Council Decision **122/2023**

Moved **Cr L Rumble JP**

Seconded **Cr M Gallanagh**

That the Minutes of the Pannawonica Local Emergency Management Committee Meeting held 21 June 2023 (Item 10.2.6 Attachment 1) be received.

Carried 8/0

Resolved en bloc

11 Recommendations From Committee

Nil

12 Office of the Chief Executive Officer Reports

12.1 Assignment of Retail Lease Paraburdoo

File Reference	ASH.0811
Applicant or Proponent(s)	Ms McManus – Scorched Retina Gallery
Author	N Niven, Lease and Accommodation Officer
Authorising Officer	K Donohoe, Chief Executive Officer
Previous Meeting Reference	Ordinary Council Meeting 14 June 2022 - Item 18.2 – 086/2022
Disclosure(s) of interest	Author – Nil
	Authorising Officer – Nil
Attachments	Nil

Report Purpose

Council is required to consider the assignment of an existing lease for a retail tenancy at Lot 811 (84) Ashburton Court, Paraburdoo from Scorched Retina Gallery to Hair by Liv for a remaining period of approximately four years (inclusive of options).

Background

Scorched Retina Gallery is located on a portion of Lot 811 (84) Ashburton Court, Paraburdoo. The subject Lease is located within the retail precinct of Paraburdoo comprising an area of approximately 105 metres squared as shown as Lease Area 'B' (refer to Figure 1).

Ms Leah McManus, the current owner of Scorched Retina Gallery notified the Shire of Ashburton (the Shire) in June 2023 that she intends to assign the lease and sell the internal fit out and assets (as required) from the Gallery to Ms Olivia Halliday.

Ms Halliday currently owns 'Hair By Liv', an already established hair salon situated in the same shopping precinct. It is the intention of Ms Halliday to relocate the existing salon into the assigned lease space. Ms Halliday also owns the successful café 'The Vault' which is shown in Lease Area 'A' (refer to Figure 1).

Ms McManus has elected to assign the lease in accordance with clause 15.1 of the Lease, which requires written consent of the lessor (Council) as follows:

"The rights in this lease are personal to the Lessee, and Lessee may not transfer, assign, sublet, or otherwise part with possession or any way dispose of any of its rights or obligations under this Lease without the written consent of the Lessor which consent of the Lessor shall not be unreasonably withheld, subject to the Lessee's compliance with clause 15.3."

The Lease has a further four years and two months remaining with the first term ending on 1 September 2023. The intended trading name would become 'Hair By Liv'.

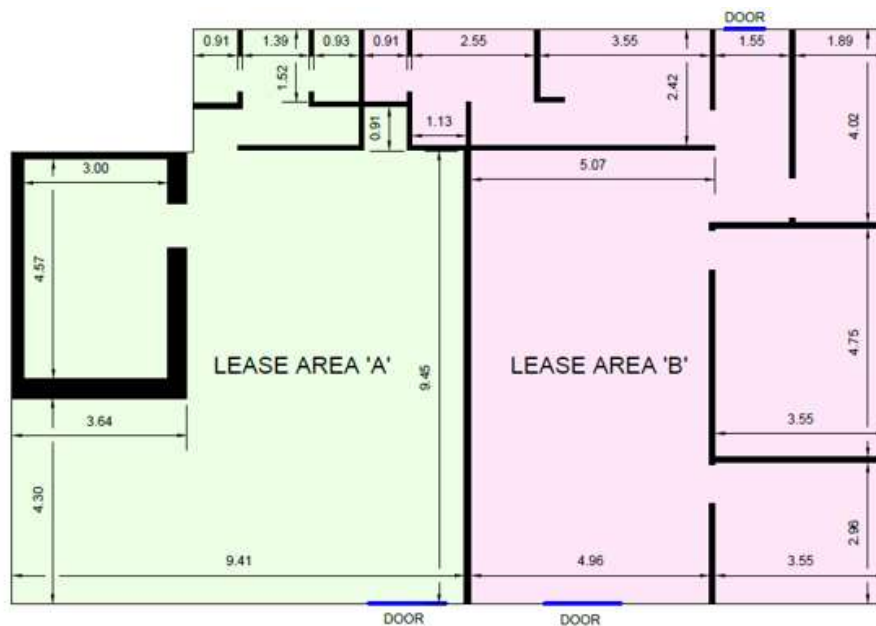


Figure 1: Leased Premises “Lease Area B”

Comments

Shire officers have been advised that Ms McManus is unable to fulfill the remainder of the first term of the Lease however, information provided indicates that Ms Halliday is willing to take on the current lease through assignment, noting the proposal will be subject to Council approval.

The remaining term is two months with four further terms being one year per term.

Shire officers support the proposal of assignment of lease to Ms Halliday for the remainder of the Lease based on her submission which advised the following:

- Proposed lease to be assigned to an overarching Hair and Beauty Salon, namely Hair By Liv. The hairdressing component will provide haircuts, colours and hair extensions.
- Ms Halliday has requested to sublease two of the existing gallery rooms to “Wildflower Beautique” who currently sublease from her in the current salon. They will provide beauty services including waxing, lashes, nail services, and massage.
- The intention is to *“create a space to allow community members to relax, have time out and be pampered, continuing, and growing a much-needed business for Paraburdoo.”*
- Ms Halliday is the owner/operator of two successful businesses in Paraburdoo. Currently the owner of The Vault Café which is adjoining the proposed lease space, Lease Area ‘A’ (refer to Figure 1) also leased by the Shire.
- Hair By Liv is an already established business with 15 years hair dressing experience with an established and a regular, growing clientele base which requires a bigger space allowing for more services to be provided to the community of Paraburdoo.

- Ms Halliday has proposed longer trading hours, Monday to Saturday 8.30am – 6pm, and late-night trading available for shift workers (close by 9pm).
- The proposed fit out will include plumbing at a total cost of \$4,850, a quote has been provided and will be paid for at Ms Halliday's expense. All other salon equipment is movable in the space such as chairs, mirrors, benches etc and has been negotiated for purchase or otherwise between Ms McManus and Ms Halliday.
- Ms Halliday is further proposing increased social media presence.

Consultation

Ms Leah McManus

Ms Olivia Halliday

Strategic Community Plan

Shire of Ashburton Strategic Community Plan 2022-2032

Strategic Objective	2. Place - We will provide sustainable, purposeful, and valued built and natural environment opportunities for the community.
Strategic Outcome	2.3 Attractive and sustainable townscapes offering opportunities for all communities
Strategy	3 Maintain town centres for the enjoyment of locals and visitors, which the community can take pride in.

Council Policy

Nil

Financial ImplicationsCurrent Financial Year

The current Rent under the existing lease is \$9,450 per annum.

Should the lease not be assigned it has become apparent that Ms McManus will not take up any further options on the existing lease. This will mean that the property will become vacant from September 2023 until another tenant is established. By agreeing to the lease assignment, the Shire will continue to derive a rental income from the space.

Future Financial Year(s)

The Rent will continue to be derived annually in accordance with the lease for the next four years.

Legislative Implications

Section 3.58 of the *Local Government Act 1995* (Disposing of Property) does not apply through assignment of lease as the previous lease allows for assignment and was previously advertised.

Risk Management

Risk has been assessed against the Shire of Ashburton Risk Management Framework.

Theme	Risk	Likelihood	Consequence	Inherent Risk Rating	Risk Treatment
Financial impact	Lease not assigned to the new lessee, rent unpaid and space becomes vacant.	Unlikely (2)	Minor (2)	Low (1-4)	Enter into an assignment of lease with the new tenant at the proposed location.

Based on the inherent risk rating and risk treatments, the residual risk to the Shire is considered to be low.

Voting Requirements

Simple Majority

Officer Recommendation

That with respect to the Assignment of a Retail Lease in Paraburdoo, Council,

1. Authorises the assignment of lease of a portion of Lot 811 (84) Ashburton Court, Paraburdoo, from Ms McManus trading as Scorched Retina Gallery to Ms Olivia Halliday trading as Hair By Liv.
2. Authorises the sublease of two rooms to Wildflower Beautique in accordance with the lease agreement; and
3. Authorises the Chief Executive Officer to execute and engross all documentation as required to effect item 1. above.

Council Decision **123/2023**

Moved **Cr A Smith**

Seconded **Cr M Gallanagh**

That with respect to the Assignment of a Retail Lease in Paraburdoo, Council,

1. **Authorises the assignment of lease of a portion of Lot 811 (84) Ashburton Court, Paraburdoo, from Ms McManus trading as Scorched Retina Gallery to Ms Olivia Halliday trading as Hair By Liv.**
2. **Authorises the sublease of two rooms to Wildflower Beautique in accordance with the lease agreement; and**
3. **Authorises the Chief Executive Officer to execute and engross all documentation as required to effect item 1. above.**

Carried 8/0

12.2 Liquor Control Amendment (Banned Drinkers Register) Bill 2023

File Reference	PH23
Applicant or Proponent(s)	Not Applicable
Author	P Kuhne, Manager Regulatory Services
Authorising Officer	K Donohoe, Chief Executive Officer
Previous Meeting Reference	Nil
Disclosure(s) of interest	Author – Nil
	Authorising Officer – Nil
Attachments	1. Liquor Control Amendment (Banned Drinkers Register) Bill 2023

Report Purpose

The purpose of this report is to inform Council about the *Liquor Control Amendment (Banned Drinkers Register) Bill 2023* which will amend the *Liquor Control Act 1988* received from the Department of Local Government, Sport, and Cultural Industries (DLGSCI).

Council is requested to consider the correspondence as it relates to the Bill and provide comment back to the DLGSCI.

Background

The Shire received correspondence from the DLGSCI on the proposed Liquor Control Amendment (Banned Drinkers Register) Bill 2023 (the Bill), requesting comment by 15 July 2023 (**Attachment 1** refers).

The Banned Drinkers Register (BDR) aims to reduce alcohol related harm and ill-health to individuals and communities within identified areas of Western Australia impacted by excessive alcohol consumption by restricting access to takeaway alcohol.

Legislation was introduced by the State government in 2013 and amended in 2022 with trials initiated in the Pilbara, Kimberley, Goldfields and Gascoyne Junction regions.

The correspondence from the DLGSCI advises the Shire that the Bill is passing through Parliament and as part of the consultation process, DLGSCI is seeking comment from all stakeholders.

The legislation will be in force from its proclamation date for two years and a review will be undertaken in late 2023 to inform the future of the program.

The Shire has been consulted in the past on related legislation and invited to comment.

Comments

The intent of the amended legislation is to further reduce unacceptable levels of liquor related harm by further restricting individuals on the BDR access to packaged liquor.

Additional measures in the Bill include:

1. Establishment of a Banned Drinkers Area (BDA).
2. Issuing of Banned Drinker Orders (BDO).
3. People issued with a BDO registered on the BDR.

4. Additional pathways included on the BDR.
5. A broader range of professionals who can seek to place someone on the BDR (e.g., medical practitioners, social workers).
6. Mandatory participation for licensees and staff in BDAs to ensure the identification system is used, and packaged liquor is not sold to anyone listed on the BDR.
7. Penalties included for breaches of the Bill.
8. Penalties for people who supply alcohol to people on the BDR, known as secondary supply (purchasing on their behalf).
9. Allowance to seize and dispose of liquor found in possession of a person listed on the BDR.
10. Consultation will occur with local government, WA Police, and other relevant people before BDAs are prescribed.

Consultation

Community Development

DLGSC is responsible to undertake consultation with all relevant stakeholders.

Strategic Community Plan

Shire of Ashburton Strategic Community Plan 2022-2032

Strategic Objective	3. Prosperity - We will advocate and drive opportunities for the community to be economically desirable, resilient, and prosperous.
Strategic Outcome	3.3 Clean, safe, and accessible communities
Strategy	3 Lead, and partner with, other agencies on community safety and programs for community wellbeing.

Council Policy

Nil.

Financial Implications

Current Financial Year

Nil

Future Financial Year(s)

Nil

Legislative Implications

Nil

Risk Management

Risk has been assessed against the Shire of Ashburton Risk Management Framework.

Theme	Risk	Likelihood	Consequence	Inherent Risk Rating	Risk Treatment
Reputation (social/community)	Risk that Council is not involved in discussion on social issues that impact the community.	Unlikely (2)	Minor (2)	Low (1-4)	Council to consider and comment on the Bill as requested.

Based on the inherent risk rating and risk treatments, the residual risk to the Shire is considered to be low.

Voting Requirements

Simple Majority

Officer Recommendation

That with respect to the *Liquor Control Amendment (Banned Drinkers Register) Bill 2023* correspondence, Council:

1. Note the correspondence received from the Department of Local Government, Sport and Cultural Industries; and
2. Support the *Liquor Control Amendment (Banned Drinkers Register) Bill 2023*.

Council Decision **124/2023**

Moved **Cr T Mladenovic**

Seconded **Cr L Rumble JP**

That with respect to the *Liquor Control Amendment (Banned Drinkers Register) Bill 2023* correspondence, Council:

1. **Note the correspondence received from the Department of Local Government, Sport and Cultural Industries; and**
2. **Support the *Liquor Control Amendment (Banned Drinkers Register) Bill 2023*.**

Carried 7/1

13 Corporate Services Reports

13.1 Monthly Schedule of Accounts Paid - May 2023

File Reference	FM03
Applicant or Proponent(s)	Not Applicable
Author	T Dayman, Manager Finance
Authorising Officer	D Kennedy, Director Corporate Services
Previous Meeting Reference	Nil
Disclosure(s) of interest	Author – Nil
	Authorising Officer – Nil
Attachments	1. Schedule of Accounts Paid - May 2023

Report Purpose

Council is required to have produced a Schedule of Accounts Paid each month containing relevant information, as legislated.

The purpose of this report is to present the:

- Schedule of Creditor Accounts Paid for May 2023,
- Trust Fund Payments for May 2023, and
- Corporate Credit Card Reconciliations for April 2023.

Council is requested to confirm the Monthly Schedule of Accounts Paid, as presented.

Background

The *Local Government (Financial Management) Regulations 1996* require Shire officers, monthly and within a prescribed timeframe, to prepare a schedule of payments made from the Municipal Fund and the Trust Fund and present this to Council for confirmation.

Comments

Shire officers have prepared the Monthly Schedule of Accounts Paid, in accordance with legislative requirements, and this is attached.

For the month under review the following summarised details are presented:

Description	Amount \$
<u>Municipal Fund</u>	
Electronic Funds Transfers	5,769,495.31
Superannuation / Payroll (Direct Debits)	220,759.75
Cheques	-
Credit Cards	13,312.68

Bank Fees and Charges	1,655.27
<u>Municipal Fund Total</u>	6,005,223.01
<u>Trust Fund</u>	
Electronic Funds Transfers	0.00
<u>Trust Fund Total</u>	0.00

Consultation

Executive Leadership Team

Finance Team

Strategic Community Plan

Shire of Ashburton Strategic Community Plan 2022-2032

Strategic Objective 4. Performance - We will lead the organisation, and create the culture, to deliver demonstrated performance excellence to the community.

Strategic Outcome 4.2 Appropriate, sustainable, and transparent management of community funds

Strategy 4 Ensure financial transactions are accurate and timely.

Council Policy

Nil

Financial ImplicationsCurrent Financial Year

Payments included on the Schedule of Accounts Paid have been undertaken in accordance with appropriate processes and the Annual Budget.

Future Financial Year(s)

Nil

Legislative Implications*Local Government (Financial Management) Regulations 1996**Regulation 13 (Payments from municipal fund or trust fund by Chief Executive Officer, Chief Executive Officer's duties as to etc.)*

Where the Chief Executive Officer has been delegated the exercise of power to make payments from the Municipal Fund or the Trust Fund, a list of accounts authorised for payment by the Chief Executive Officer is to be presented each month to Council.

Risk Management

Risk has been assessed against the Shire of Ashburton Risk Management Framework.

Theme	Risk	Likelihood	Consequence	Inherent Risk Rating	Risk Treatment
Compliance	Council does not accept the officer recommendation.	Unlikely (2)	Minor (2)	Low (1-4)	Provide Council with adequate information to make an informed decision.

Based on the inherent risk rating and risk treatments, the residual risk to the Shire is considered to be low.

Voting Requirements

Simple Majority

Officer Recommendation

That with respect to Monthly Schedule of Accounts Paid, Council, in accordance with *Local Government (Financial Management) Regulations 1996* Regulation 13, confirms the Monthly Schedule of Accounts Paid for May 2023, as included at Attachment 1.

Council Decision **125/2023**

Moved **Cr A Smith**

Seconded **Cr M Lynch**

That with respect to Monthly Schedule of Accounts Paid, Council, in accordance with *Local Government (Financial Management) Regulations 1996* Regulation 13, confirms the Monthly Schedule of Accounts Paid for May 2023, as included at Attachment 1.

Carried 8/0

13.2 Monthly Financial Statements - May 2023

File Reference	FM03
Applicant or Proponent(s)	Not Applicable
Author	T Dayman, Manager Finance
Authorising Officer	D Kennedy, Director Corporate Services
Previous Meeting Reference	Nil
Disclosure(s) of interest	Author – Nil
	Authorising Officer – Nil
Attachments	1. Monthly Financial Statements - May 2023

Report Purpose

Council is required to have produced a Statement of Financial Activity each month containing relevant information, as legislated.

The purpose of this report is to present the Statement of Financial Activity for the month ended May 2023 as well as provide budget amendment recommendations.

Council is requested to accept the Statement of Financial Activity and any recommended budget amendments.

Background

The *Local Government (Financial Management) Regulations 1996* require Shire officers, monthly and within a prescribed timeframe, to prepare financial reports covering prescribed information and present these to Council.

Comments

Shire officers have prepared the Statement of Financial Activity, and supporting documentation, in accordance with legislative requirements (as attached).

There are no further 2022/2023 Budget amendments recommended.

Consultation

Executive Leadership Team

Middle Management Group

Finance Team

Strategic Community Plan

Shire of Ashburton Strategic Community Plan 2022-2032

Strategic Objective	4. Performance - We will lead the organisation, and create the culture, to deliver demonstrated performance excellence to the community.
Strategic Outcome	4.2 Appropriate, sustainable, and transparent management of community funds
Strategy	4 Ensure financial transactions are accurate and timely.

Council Policy

Nil

Financial ImplicationsCurrent Financial Year

Commentary on the current financial position is outlined within the body of the attached reports.

Future Financial Year(s)

Nil

Legislative Implications*Local Government Act 1995**Section 6.4 (Financial report)*

Local governments are required to prepare and present financial reports, on an annual basis and at any other time, and in any other format, as prescribed.

Regulation 34 (Financial activity statement required each month (Act s.6.4))

Shire officers are to prepare each month a statement of financial activity reporting on the revenue and expenditure as set out in the annual budget. Each statement of financial activity is to be accompanied by information explaining the composition of net assets less committed and restricted assets, any material variances and any other supporting information considered relevant.

Risk Management

Risk has been assessed against the Shire of Ashburton Risk Management Framework.

Theme	Risk	Likelihood	Consequence	Inherent Risk Rating	Risk Treatment
Compliance	Material misstatement or significant error in the financial statements.	Unlikely (2)	Moderate (3)	Moderate (5-9)	Review of financial position information to be undertaken regularly and by multiple Shire officers.
Compliance	Council does not accept the officer recommendation.	Unlikely (2)	Minor (2)	Low (1-4)	Provide Council with sufficient information for decision making.

Based on the inherent risk rating and risk treatments, the residual risk to the Shire is considered to be low.

Voting Requirements

Simple Majority

Officer Recommendation

That with respect to Monthly Financial Statements, Council, In accordance with *Local Government (Financial Management) Regulations 1996* regulation 34, accepts the Statement of Financial Activity, and associated documentation, for May 2023, as included at Attachment 1.

Council Decision **126/2023**

Moved **Cr A Smith**

Seconded **Cr M Lynch**

That with respect to Monthly Financial Statements, Council, In accordance with *Local Government (Financial Management) Regulations 1996* regulation 34, accepts the Statement of Financial Activity, and associated documentation, for May 2023, as included at Attachment 1.

Carried 8/0

13.3 Proposed Bush Fire Brigades Local Law 2023

File Reference	LE52
Applicant or Proponent(s)	Not Applicable
Author	J Bray, Manager Governance
Authorising Officer	D Kennedy, Director Corporate Services
Previous Meeting Reference	Nil
Disclosure(s) of interest	Author – Nil
	Authorising Officer – Nil
Attachments	<ol style="list-style-type: none"> 1. Proposed Bush Fire Brigades Local Law 2023 2. Shire of West Pilbara By-laws Relating to the Establishment, Maintenance and Equipment of Bush Fire Brigades

Report Purpose

Council is requested to consider the proposed Shire of Ashburton Bush Fire Brigades Local Law 2023 (refer to Attachment 1), which has been prepared following the recent local law review and enquiries by the Western Australian Local Government Association (WALGA).

The purpose of this report is to seek Council approval to commence the process to make this local law pursuant to the requirements of the *Local Government Act 1995* by commencing the statutory local public notice consultation requirements.

Background

The *Shire of West Pilbara By-laws Relating to the Establishment, Maintenance and Equipment of Bush Fire Brigades* (refer to Attachment 2) was published in the *Government Gazette* on 24 April 1981.

The Shire of Ashburton (Shire) has a bush fire brigade operating in its district, managed on behalf of the Shire through a Memorandum of Understanding with the Department of Fire and Emergency Services (DFES), which has recently been renewed.

Comments

Sometime ago the WALGA sought legal advice on the validity of Bush Fire Brigade Local Laws made prior to the commencement of the *Bush Fires Act 1954* and/or the *Local Government Act 1995*.

Based on the advice received from WALGA, it has been determined that the Shire's current local law, the *Shire of West Pilbara By-laws Relating to the Establishment, Maintenance and Equipment of Bush Fire Brigades* would not be fit for purpose and it would be timely to establish a new local law to ensure legal protection and good governance for the Shire and its bush fire brigade volunteers.

The proposed Shire of Ashburton Bush Fire Brigades Local Law 2023 will enhance and support the management and operation of its bush fire brigade/s.

Having a fit for purpose local law is essential to the Memorandum of Understanding (MoU) between the Shire and DFES for the overall management of the bush fire brigade and for operational responsibilities. The local law further supports bush fire brigade/s in the event the MoU is not in effect.

The proposed Shire of Ashburton Bush Fire Brigades Local Law 2023 has been prepared first based on the Shire of Serpentine-Jarrahdale's local law, with additional amendments to deal with the local situation, where DFES generally administer and manage the local bush fire brigade on the Shire's behalf.

The draft local law prepared has been reviewed by McLeods Lawyers to ensure a contemporary functional document.

The process to make the local law is set out in section 3.12 of the *Local Government Act 1995*.

The results of the public consultation and any feedback from the Minister for Local Government or Minister for Emergency Services will be presented to Council for its consideration before making the local law.

Consultation

Section 3.12(3) of the *Local Government Act 1995* requires a local government to give local public notice stating that it proposes to make a local law, the purpose and effect of which is summarised in the notice, for a period of not less than six weeks after it first appears. A copy of the proposed local law must be given to the Minister for Local Government and the Minister for Emergency Services.

The purpose and effect of the proposed local law is:

Purpose

The purpose of the local law is to make provisions about the organisation, establishment, maintenance and equipment of bush fire brigades.

Effect

The effect of the local law is to have clear guidance about the management of bush fire brigades within the Shire of Ashburton.

Strategic Community Plan

Shire of Ashburton Strategic Community Plan 2022-2032

Strategic Objective	4. Performance - We will lead the organisation, and create the culture, to deliver demonstrated performance excellence to the community.
Strategic Outcome	4.6 Visionary community leadership with sound, diligent and accountable governance
Strategy	3 Deliver best practice governance and risk management.

Council Policy

Nil

Financial Implications

Current Financial Year

Costs associated with the public notice requirements are provided within the Annual Budget.

Future Financial Year(s)

Nil

Legislative Implications

Section 3.12 of the *Local Government Act 1995* sets out the process to be followed when making, amending, or repealing local laws.

Section 62 of the *Bush Fires Act 1954* provides the power to local government to make a local law in relation to:

- the appointment, employment, payment, dismissal and duties of bush fire control officers;
- the organisation, establishment, maintenance and equipment with appliances and apparatus of bush fire brigades to be established and maintained by the local government; and
- any other matters affecting the exercise of any powers or authorities conferred and the performance of any duties imposed upon the local government by this Act.

Risk Management

Risk has been assessed against the Shire of Ashburton Risk Management Framework.

Theme	Risk	Likelihood	Consequence	Inherent Risk Rating	Risk Treatment
Compliance	Non-compliance with the <i>Bush Fires Act 1954</i> , if the proposed local law is not enacted.	Unlikely (2)	Moderate (3)	Moderate (5-9)	Council commences the process to make the proposed Bush Fire Brigades Local Law 2023.

Based on the inherent risk rating and risk treatments, the residual risk to the Shire is considered to be low.

Voting Requirements

Simple Majority

Officer Recommendation

That with respect to the proposed Shire of Ashburton Bush Fire Brigades Local Law 2023, Council, instructs the Chief Executive Officer to,

1. In accordance with sections 3.12(3)(a) of the *Local Government Act 1995*, give local public notice stating that:
 - (a) It is proposed to make a Shire of Ashburton Bush Fire Brigades Local Law 2023 (as shown in Attachment 1), and a summary of its purpose and effect;
 - (b) Copies of the proposed local law may be inspected at the Shire offices; and
 - (c) Submissions about the proposed local law may be made to the Shire within a period of not less than six weeks after the notice is given.
2. In accordance with section 3.12(3)(b) of the *Local Government Act 1995*, as soon as public notice is given, send a copy of the proposed local law to the Minister for Local Government and the Minister for Emergency Services;
3. In accordance with section 3.12(3)(c) of the *Local Government Act 1995*, supply a copy of the proposed local law to any person requesting it; and
4. Present the results of the public consultation to Council for consideration of submissions received and final adoption.

Council Decision **127/2023**

Moved **Cr L Rumble JP**

Seconded **Cr A Smith**

That with respect to the proposed Shire of Ashburton Bush Fire Brigades Local Law 2023, Council, instructs the Chief Executive Officer to,

- 1. In accordance with sections 3.12(3)(a) of the *Local Government Act 1995*, give local public notice stating that:**
 - (a) It is proposed to make a Shire of Ashburton Bush Fire Brigades Local Law 2023 (as shown in Attachment 1), and a summary of its purpose and effect;**
 - (b) Copies of the proposed local law may be inspected at the Shire offices; and**
 - (c) Submissions about the proposed local law may be made to the Shire within a period of not less than six weeks after the notice is given.**
- 2. In accordance with section 3.12(3)(b) of the *Local Government Act 1995*, as soon as public notice is given, send a copy of the proposed local law to the Minister for Local Government and the Minister for Emergency Services;**
- 3. In accordance with section 3.12(3)(c) of the *Local Government Act 1995*, supply a copy of the proposed local law to any person requesting it; and**
- 4. Present the results of the public consultation to Council for consideration of submissions received and final adoption.**

Carried 8/0

13.4 Proposed Cats Local Law 2023

File Reference	LE50
Applicant or Proponent(s)	Not Applicable
Author	R Marlborough, Senior Governance Officer
Authorising Officer	D Kennedy, Director Corporate Services
Previous Meeting Reference	Ordinary Council Meeting 11 October 2022 – Item 12.6 – 142/2022 Ordinary Council Meeting 13 December 2022 – Item 12.7 – 173/2022 Ordinary Council Meeting 9 May 2023 – Item 12.5 – 075/2023
Disclosure(s) of interest	Author – Nil
	Authorising Officer – Nil
Attachments	1. Proposed Cats Local Law 2023 2. Local Law Relating to the Control of Cats 1998

Report Purpose

Council is required to consider formally making the proposed *Shire of Ashburton Cats Local Law 2023* as provided at Attachment 1, pursuant to section 3.12(4) of the *Local Government Act 1995* (the Act).

The purpose of this report is to affirm the results of the public submissions invited during the initial consultation process, and formally consider making this local law.

Council is requested to formally make the Shire of Ashburton Cats Local Law 2023 as provided and detailed in Attachment 1 by absolute majority, and to give the necessary directions to complete the local law making process, pursuant to the Act.

Background

The current *Shire of Ashburton Local Law Relating to the Control of Cats* was published in the *Government Gazette* on 3 June 1998 (refer to Attachment 2).

This local law was reviewed in October 2022, and it was determined that many of the provisions within the local law are now dealt with or overridden by the *Cat Act 2011*, *Cat Regulations 2012* and *Cat (Uniform Local Provisions) Regulations 2013*.

The report on the review of the districts local laws was presented to the Ordinary Council Meeting on 11 October 2022, and Council resolved in part, as follows:

“Considers the outcome of local law reviews undertaken pursuant to section 3.16 of the Local Government Act 1995 and determines the:

- (a) Following local laws be repealed and replaced with new local laws:*
 - (iv) Control of Cats Local Law 1998.”*

Following this decision, a further report was prepared and presented to the Ordinary Council Meeting on 13 December 2022 to consider making a new local law to deal with matters associated with cats in the district.

Council was provided broad information and presented a draft of the proposed Shire of Ashburton Cats Local Law 2023 (that included boxed guidance notes that would not form part of the local law) for consideration. Council resolved as follows:

“That with respect to the proposed Shire of Ashburton Cats Local Law 2023, Council, instructs the Chief Executive Officer to,

- 1. In accordance with section 3.12(3)(a) of the Local Government Act 1995, give local public notice stating that:*
 - (a) It is proposed to make a Shire of Ashburton Cats Local Law 2023, and a summary of its purpose and effect,*
 - (b) Copies of the proposed local law may be inspected at the Shire offices,*
 - (c) Submissions about the proposed local law may be made to the Shire within a period of not less than six weeks after the notice is given,*
- 2. In accordance with section 3.12(3)(b) of the Local Government Act 1995, as soon as public notice is given, send a copy of the proposed local law to the Minister for Local Government,*
- 3. In accordance with section 3.12(3)(c) of the Local Government Act 1995, supply a copy of the proposed local law to any person requesting it, and*
- 4. Present the results of the public consultation to Council for consideration of any submissions received”.*

Following Council's decision on 13 December 2022, the proposed Shire of Ashburton Cats Local Law 2023 was advertised by way of local public notice in the Pilbara News on 18 January 2023, on the Shire's website, on various social media platforms, and on the Shire administration office and library noticeboards in order to comply with the requirements of section 3.12(3) of the Act.

A copy of the proposed local law was sent to the Minister for Local Government on 18 January 2023. Submissions were invited on the first proposed local law until 4:30pm on 10 March 2023. No public submissions were received on the local law then proposed. However, the Department of Local Government, Sport and Cultural Industries (DLGSC) provided a formal response on the proposed local law on 23 March 2023, as follows:

“1. Lack of penalty

The Shire's local law does not contain any specified penalty for clause 3.1. This will have two main consequences:

- (a) No penalty can be enforced if the matter is prosecuted at trial; and*
- (b) No infringement notice can be issued, as the fine for an infringement cannot exceed 10% of the unmodified penalty (which is effectively zero).*

The Shire will need to add a penalty for this offence, either by setting out a penalty under clause 3.1 or by adding an appropriate general penalty clause at the end of the local law.

Unfortunately, adding a penalty is likely to constitute a “significant difference” for the purposes of section 3.13 of the Local Government Act 1995, since the Shire will be adding a penalty where none would otherwise exist. As a result, the Shire will most likely need to restart the local law process for this local law.

2. Minor edits

The following minor comments are suggested:

- *Contents page: It is suggested that page numbers be omitted from the final gazettal version, as these numbers may clash with the Gazette's existing page system. However, the page numbers can be retained in any unofficial versions kept on the Shire website.*
- *Ensure that all references and cross-references are double checked prior to sending the final version to council for approval."*

After taking into consideration the Department's comments, the proposed local law was reviewed and amended to address the concerns and comments expressed. However, the amendments recommended were considered major change, which meant that the process to make the local law had to be recommenced.

A further report about the proposed Cats Local Law 2023 was presented to the Ordinary Council Meeting on 9 May 2023. Council resolved to recommence the local law making process.

Following this Council decision, the proposed Shire of Ashburton Cats Local Law 2023 was advertised by way of local public notice in the Pilbara News on 17 May 2023, on the Shire's website, on various social media platforms, and on the Shire administration office and library noticeboards in order to comply with the requirements of section 3.12(3) of the Act. A copy of the proposed local law was sent to the Minister for Local Government on 18 May 2023. Submissions on the proposed local law were invited until 4.30 pm on 30 June 2023.

Comments

At the close of the public submission period on 30 June 2023, no public feedback was received on proposed local law. On 7 June 2023, the Department of Local Government provided very similar feedback to the comments provided on 23 March 2023, as follows:

"1. Note boxes

The draft local law contains grey boxes containing references to the Cat Act and Regulations. It is advisable to remove these boxes from the gazettal version of the local law, due to the fact that:

- (a) *They have no legal effect in themselves; and*
- (b) *They risk becoming misleading if this legislation is amended.*

2. Clause 3.1 – Cats causing nuisance

Clause 3.1 appears to prescribe an offence. However, unlike clause 2.7, it does not appear to contain a penalty clause.

The modified penalty for an offence is limited to 10% of the unmodified penalty for that offence. Accordingly, if clause 3.1 lacks an unmodified penalty, the modified penalty for that clause will be rendered invalid and the clause itself will be unenforceable.

3. Minor edits

The following minor edits are suggested:

- *Contents page: Remove the page numbers from the gazettal version as they are likely to clash with the Gazette's existing page system. The page numbers can be retained in any administrative versions kept by the Shire.*

- *Clause 2.10 appears to grant a right of review in relation to renewals, transfers and cancellations, but not in relation to initial approvals. The Shire should ensure this reflects the Shire's intentions".*

The comments made about clause 3.1 having no penalty/offence clause were previously actioned. There were no boxed notes in the local law sent to the DLGSC on 17 May 2023. The minor edits suggested to clause 2.10 have already been actioned.

On 21 June 2023, the DLGSC were invited to provide further feedback on the proposed local law. At the close of the submission period no further comment had been received.

The purpose and effect of the local law remains as first proposed, as follows:

Purpose

To set a 'standard number' of cats that may be kept on premises and deal with cats that may be a nuisance as defined in the local law.

Effect

Persons must not keep more than the standard number of cats unless provided for by the local law, the *Cat Act 2011* or its associated Regulations, or be a nuisance as defined in the local law to persons in the district.

In support of the position that the Shire's current cat local law adopted in 1998 is no longer consistent with the provisions of the *Cat Act 2011*, *Cat Regulations 2012* or the *Cat (Uniform Local Provisions) Regulations 2013*, it is recommended that Council supports the adoption of the proposed Shire of Ashburton Cats Local Law 2023, as provided at Attachment 1.

Consultation

The public consultation process on the proposed Shire of Ashburton Cats Local Law 2023 supported at the May 2023 Ordinary Council Meeting was advertised by way of local public notice in the Pilbara News on 17 May 2023, on the Shire's website, on various social media platforms, and on the Shire administration office and library noticeboards in order to comply with the requirements of section 3.12(3) of the Act.

A copy of the proposed local law was sent to the Minister for Local Government on 18 May 2023.

Submissions on the proposed local law were invited until 4.30 pm on 30 June 2023. At the close of the public consultation period, no submissions were received.

Strategic Community Plan

Shire of Ashburton Strategic Community Plan 2022-2032

Strategic Objective	4. Performance - We will lead the organisation, and create the culture, to deliver demonstrated performance excellence to the community.
Strategic Outcome	4.6 Visionary community leadership with sound, diligent and accountable governance
Strategy	3 Deliver best practice governance and risk management.

Council Policy

Nil

Financial ImplicationsCurrent Financial Year

Costs associated with the publishing the local law in the *Government Gazette* and the final local public notices are provided for in the Annual Budget. It is estimated that these final costs will be approximately \$1,900.

Future Financial Year(s)

Nil

Legislative Implications

The power to make local laws relating to cats is provided for in section 79 of the *Cat Act 2011*. Section 3.12 of the *Local Government Act 1995* sets out the process to be followed when making, amending, or repealing local laws.

Risk Management

Risk has been assessed against the Shire of Ashburton Risk Management Framework.

Theme	Risk	Likelihood	Consequence	Inherent Risk Rating	Risk Treatment
Compliance	Non-compliance with 'higher' regulatory requirements.	Unlikely (2)	Insignificant (1)	Low (1-4)	Council make the new local law, as recommended.

Based on the inherent risk rating and risk treatments, the residual risk to the Shire is considered to be low.

Voting Requirements

Absolute Majority

Officer Recommendation

That with respect to the proposed Shire of Ashburton Cats Local Law 2023, Council:

1. Makes the local law as detailed in Attachment 1, pursuant to section 3.12(4) of the *Local Government Act 1995*.
2. Authorises the Shire President and Chief Executive Officer to engross the local law and affix the Common Seal.
3. Instructs the Chief Executive Officer to:
 - (a) publish this local law in the *Government Gazette* in accordance with section 3.12(5) the *Local Government Act 1995*;
 - (b) provide a copy of this local law, to the Minister for Local Government once published in the *Government Gazette*;
 - (c) give local public notice pursuant to section 1.7 of the *Local Government Act 1995* following publication in the *Government Gazette*, stating the title and purpose and effect of this local law, and that the local law is published on the Shire website and that copies may be inspected at, or obtained from the Shire's administration offices; and
 - (d) prepare and submit to the Joint Standing Committee on Delegated Legislation, a copy of this local law, an explanatory memorandum (jointly signed by the Shire

President and Chief Executive Officer) along with a checklist and any other supporting information on the local law made.

Alternate Recommendation

That with respect to the proposed Shire of Ashburton Cats Local Law 2023, Council:

1. Makes the local law as tabled at the meeting, pursuant to section 3.12(4) of the *Local Government Act 1995*.
2. Authorises the Shire President and Chief Executive Officer to engross the local law and affix the Common Seal.
3. Instructs the Chief Executive Officer to:
 - (a) publish this local law in the *Government Gazette* in accordance with section 3.12(5) the *Local Government Act 1995*;
 - (b) provide a copy of this local law, to the Minister for Local Government once published in the *Government Gazette*;
 - (c) give local public notice pursuant to section 1.7 of the *Local Government Act 1995* following publication in the *Government Gazette*, stating the title and purpose and effect of this local law, and that the local law is published on the Shire website and that copies may be inspected at, or obtained from the Shire's administration offices; and
 - (d) prepare and submit to the Joint Standing Committee on Delegated Legislation, a copy of this local law, an explanatory memorandum (jointly signed by the Shire President and Chief Executive Officer) along with a checklist and any other supporting information on the local law made.

Council Decision **128/2023**

Moved **Cr L Rumble JP**

Seconded **Cr T Mladenovic**

That with respect to the proposed Shire of Ashburton Cats Local Law 2023, Council:

1. **Makes the local law, as tabled at the meeting, pursuant to section 3.12(4) of the *Local Government Act 1995*.**
2. **Authorises the Shire President and Chief Executive Officer to engross the local law and affix the Common Seal.**
3. **Instructs the Chief Executive Officer to:**
 - (a) **publish this local law in the *Government Gazette* in accordance with section 3.12(5) the *Local Government Act 1995*;**
 - (b) **provide a copy of this local law, to the Minister for Local Government once published in the *Government Gazette*;**
 - (c) **give local public notice pursuant to section 1.7 of the *Local Government Act 1995* following publication in the *Government Gazette*, stating the title and purpose and effect of this local law, and that the local law is published on the Shire website and that copies may be inspected at, or obtained from the Shire's administration offices; and**

- (d) prepare and submit to the Joint Standing Committee on Delegated Legislation, a copy of this local law, an explanatory memorandum (jointly signed by the Shire President and Chief Executive Officer) along with a checklist and any other supporting information on the local law made

Reason for Change. Late advice from the Department of Local Government on the proposed Cats Local Law 2023.

Carried By Absolute Majority 8/0

13.5 Undertaking and Proposed Public Places and Local Government Property Amendment Local Law 2023

File Reference	LE51
Applicant or Proponent(s)	Not Applicable
Author	R Marlborough, Senior Governance Officer
Authorising Officer	D Kennedy, Director Corporate Services
Previous Meeting Reference	Ordinary Council Meeting 4 April 2023 – Item 12.5 – (052/2023)
Disclosure(s) of interest	Author – Nil
	Authorising Officer – Nil
Attachments	<ol style="list-style-type: none"> 1. Joint Standing Committee on Delegated Legislation correspondence - Confidential 2. Proposed Shire of Ashburton Public Places and Local Government Property Amendment Local Law 2023 3. Current - Public Places and Local Government Property Local Law 2023

Report Purpose

Council is required to consider:

- the advice received from the Joint Standing Committee on Delegated Legislation (JSCDL) as detailed in Attachment 1 (under confidential cover) that seeks a formal undertaking to amend the *Shire of Ashburton Public Places and Local Government Property Local Law 2023*, which was adopted on 4 April 2023.
- commencing the process under the *Local Government Act 1995* to make a new local law titled the *Shire of Ashburton Public Places and Local Government Property Amendment Local Law 2023* (refer to Attachment 2) to address the concerns raised by the JSCDL on the *Shire of Ashburton Public Places and Local Government Property Local Law 2023*.

The purpose of this report is to provide all relevant information about the undertaking sought and present the proposed local law that has been drafted to address the concerns raised by the JSCDL, and to authorise the Shire President to provide a written response to the JSCDL by 19 July 2023, confirming the undertaking requested.

Council is requested to support the recommendation presented to approve the Shire President formally providing a written undertaking on behalf of Council to the JSCDL and to commence the process to make the proposed *Shire of Ashburton Public Places and Local Government Property Amendment Local Law 2023*, for the purpose of amending the *Shire of Ashburton Public Places and Local Government Property Local Law 2023* (Refer to Attachment 3).

Background

Following an external consultant preparing the *Shire of Ashburton Public Places and Local Government Property Local Law 2023*, Council adopted this local law on 4 April 2023. Part of the statutory local law making process is to provide the JSCDL prescribed information on local laws, after they are made.

In brief, the JSCDL's function is to generally scrutinise the content of local laws (subsidiary legislation) made to ensure the content is within power, that no unintended effect on any person's existing rights or interests are impacted, to ensure effective mechanisms for reviews of administrative decisions are provided, and to ensure only matters that are appropriate for subsidiary legislation are provided.

During the local law review process by the JSCDL, a number of minor and consequential concerns were identified. These matters are detailed in full in Attachment 1, which is provided under confidential cover at the direction of the JSCDL.

Comments

The concerns raised by the JSCDL and other minor inconsistencies subsequently identified can be effectively resolved by making the proposed *Shire of Ashburton Public Places and Local Government Property Amendment Local Law 2023*. It is recommended that Council commence the local making process required under the *Local Government Act 1995*.

It is good governance to ensure the districts local laws are well managed and compliant.

The results of the public consultation process and any feedback from the Minister for Local Government will be presented to Council for its consideration, prior to making this proposed amendment local law.

Consultation

Section 3.12(3) of the *Local Government Act 1995* requires a local government to give local public notice stating that it proposes to make a local law, the purpose and effect of which is summarised in the notice, for a period of not less than six weeks after it first appears. A copy of the proposed local law must be given to the Minister for Local Government.

The purpose and effect of the proposed local law is:

Purpose

To amend the *Shire of Ashburton Public Places and Local Government Property Local Law 2023* to correct minor grammatical and formatting errors, clause and schedule references, clarify the process to dispose of lost property, update inconsistencies in certain definitions, exclude cats from the application of clause 8.2 and for other minor consequential amendments.

Effect

The effect of amendments proposed will be to ensure that this local law is effective and functional, as first intended.

Strategic Community Plan

Shire of Ashburton Strategic Community Plan 2022-2032

Strategic Objective	4. Performance - We will lead the organisation, and create the culture, to deliver demonstrated performance excellence to the community.
Strategic Outcome	4.6 Visionary community leadership with sound, diligent and accountable governance
Strategy	3 Deliver best practice governance and risk management.

Council Policy

Nil

Financial Implications

Current Financial Year

Costs associated with the public notice requirements are provided in the Annual Budget.

Future Financial Year(s)

Nil

Legislative Implications

The functions of the JSCDL include the ability to present a Motion of Notice in the Legislative Council to disallow the Shire's *Public Places and Local Government Property Local Law 2023*, should the undertaking requested to amend this local law not be supported or actioned within the timeframe requested (six months).

Section 3.5 of the *Local Government Act 1995* provides the head of power to make local laws. Section 3.12 of the *Local Government Act 1995* sets out the process to be followed when making, amending, or repealing local laws.

Risk Management

Risk has been assessed against the Shire of Ashburton Risk Management Framework.

Theme	Risk	Likelihood	Consequence	Inherent Risk Rating	Risk Treatment
Compliance	Not actioning the local law amendments or the undertaking sought will result in the local law not being functional, statutorily compliant or potentially disallowed.	Possible (3)	Minor (2)	Low (1-4)	Formally acknowledging the undertaking sought and actioning the local law amendments will achieve compliance.

Based on the inherent risk rating and risk treatments, the residual risk to the Shire is considered to be low.

Voting Requirements

Simple Majority

Officer Recommendation

That with respect to the Undertaking and the proposed Shire of Ashburton Public Places and Local Government Property Amendment Local Law 2023, Council:

1. Resolves to authorise the Shire President to formally write to the Joint Standing Committee on Delegate Legislation and confirm agreement to complete the Undertaking sought in relation to the Shire of Ashburton Public Places and Local Government Property Local Law 2023 –
 - (a) Within 6 months, to –
 - delete clause 5.5.
 - amend clause 5.11 to ensure that any lost property covered by the regulatory gap is dealt with appropriately, such as being handed to WA Police.
 - exclude cats from the operation of clause 8.2.
 - amend the definition of 'Liquor Control Act' in clause 1.5 to italicise the word 'Act'.
 - delete the reference to clause 8.4(2) in the definition of 'permissible verge treatment' in clause 1.5 and replace it with clause 7.4(2).
 - delete the words 'Part 37' from clause 2.2(3)(b).
 - amend clause 4.1 so the definition of 'portable sign' is separated from the definition of 'portable direction sign'.
 - amend clause 7.4(5) to delete the reference to clause 8.5 and replace it with clause 7.5.
 - delete the full stop after the word 'disease' in clause 8.2(2)(b).
 - (b) Not enforce the local law to the contrary before it is amended in accordance with undertaking 1.
 - (c) Ensure all consequential amendments arising from the undertaking will be made.
 - (d) Where the local law is made publicly available by the Shire, whether in hard copy or electronic form, ensure that it is accompanied by a copy of the undertaking.
2. Supports commencing the process to make the proposed Shire of Ashburton Public Places and Local Government Property Amendment Local Law 2023, as detailed in Attachment 2, and instructs the Chief Executive Officer to,
 - (a) In accordance with section 3.12(3)(a) of the *Local Government Act 1995*, give local public notice, stating that:
 - (i) it proposes to make Shire of Ashburton Public Places and Local Government Property Amendment Local Law 2023 which is to contain a summary of its purpose and effect;
 - (ii) copies of the proposed local law may be inspected at the Shire offices; and,
 - (iii) submissions about the proposed local law may be made to the Shire within a period of not less than six weeks, after the notice is given;

- (b) In accordance with section 3.12(3)(b) of the *Local Government Act 1995*, as soon as public notice is given send a copy of the proposed local law to the Minister for Local Government.
- (c) In accordance with section 3.12(3)(c) of the *Local Government Act 1995*, supply a copy of the proposed local law to any person requesting it.
- (d) Present the results of the public consultation process to Council to consider submissions received, prior to making the local law proposed.

Council Decision 129/2023

Moved Cr T Mladenovic

Seconded Cr L Rumble JP

That with respect to the Undertaking and the proposed Shire of Ashburton Public Places and Local Government Property Amendment Local Law 2023, Council:

- 1. Resolves to authorise the Shire President to formally write to the Joint Standing Committee on Delegate Legislation and confirm agreement to complete the Undertaking sought in relation to the Shire of Ashburton Public Places and Local Government Property Local Law 2023 –**
 - (a) Within 6 months, to –**
 - delete clause 5.5.
 - amend clause 5.11 to ensure that any lost property covered by the regulatory gap is dealt with appropriately, such as being handed to WA Police.
 - exclude cats from the operation of clause 8.2.
 - amend the definition of 'Liquor Control Act' in clause 1.5 to italicise the word 'Act'.
 - delete the reference to clause 8.4(2) in the definition of 'permissible verge treatment' in clause 1.5 and replace it with clause 7.4(2).
 - delete the words 'Part 37' from clause 2.2(3)(b).
 - amend clause 4.1 so the definition of 'portable sign' is separated from the definition of 'portable direction sign'.
 - amend clause 7.4(5) to delete the reference to clause 8.5 and replace it with clause 7.5.
 - delete the full stop after the word 'disease' in clause 8.2(2)(b).
 - (b) Not enforce the local law to the contrary before it is amended in accordance with undertaking 1.**
 - (c) Ensure all consequential amendments arising from the undertaking will be made.**
 - (d) Where the local law is made publicly available by the Shire, whether in hard copy or electronic form, ensure that it is accompanied by a copy of the undertaking.**

2. **Supports commencing the process to make the proposed Shire of Ashburton Public Places and Local Government Property Amendment Local Law 2023, as detailed in Attachment 2, and instructs the Chief Executive Officer to,**
- (a) **In accordance with section 3.12(3)(a) of the *Local Government Act 1995*, give local public notice, stating that:**
 - (i) **it proposes to make Shire of Ashburton Public Places and Local Government Property Amendment Local Law 2023 which is to contain a summary of its purpose and effect;**
 - (ii) **copies of the proposed local law may be inspected at the Shire offices; and,**
 - (iii) **submissions about the proposed local law may be made to the Shire within a period of not less than six weeks, after the notice is given;**
 - (b) **In accordance with section 3.12(3)(b) of the *Local Government Act 1995*, as soon as public notice is given send a copy of the proposed local law to the Minister for Local Government.**
 - (c) **In accordance with section 3.12(3)(c) of the *Local Government Act 1995*, supply a copy of the proposed local law to any person requesting it.**
 - (d) **Present the results of the public consultation process to Council to consider submissions received, prior to making the local law proposed.**

Carried 8/0

13.6 2023-2024 Annual Budget

File Reference	GV04
Applicant or Proponent(s)	Not Applicable
Author	T Dayman, Manager Finance
Authorising Officer	D Kennedy, Director Corporate Services
Previous Meeting Reference	Ordinary Council Meeting 9 May 2023 - Item 12.7 – 077/2023 Ordinary Council Meeting 13 June 2023 - Item 13.8 – 106/2023
Disclosure(s) of interest	Author – Nil
	Authorising Officer – Nil
Attachments	1. 2023-2024 Annual Budget

Report Purpose

Council is required to adopt an annual budget for each financial year for the purposes of allocating resources towards the provision of works and services.

The purpose of this report is to present the 2023-2024 Annual Budget for adoption, which includes information as workshopped by Council.

Council is requested to adopt the Annual Budget, by an absolute majority, which includes –

- The Municipal Fund Budget for 2023–2024;
- General differential rates, minimum payments, and instalment arrangements;
- Fees and Charges;
- Councillor payments; and

by Simple majority, the Material variance reporting parameters.

Background

The development of the 2023-2024 Annual Budget has been developed over several months, and has included –

- Workshops for Elected Members aimed at delivering information, exploring concepts and clarifying options,
- The approval by Council of a Statement of Objects and Reasons for Differential Rating for public advertising/ submission period,
- Endorsement to seek Ministerial approval for the UV Non-Pastoral Differential Rate category in accordance with section 6.33(3) of the Act,
- Endorsement to cease providing the UV Pastoral Differential Rate category with a concession under section 6.47 of the Act, and
- Referral to Council's Integrated Planning framework.

The development and consideration of all budget documentation has had regard for the directions as provided in the Strategic Community Plan 2022 – 2032, Corporate Business Plan (2019 – 2023), Long-Term Financial Plan July 2022, Asset Management Plans and Workforce Requirements 2023-2024.

The proposed differential general rates were approved by Council on 9 May 2023 and advertised for public comment. One submission was received by 5 June 2023 when the public comment period closed which was considered by Council at the 13 June 2023, Ordinary Council Meeting.

Ministerial approval to impose differential rates/minimum payments for the UV – Non Pastoral category more than twice the lowest differential rate imposed is expected to be received prior to the meeting.

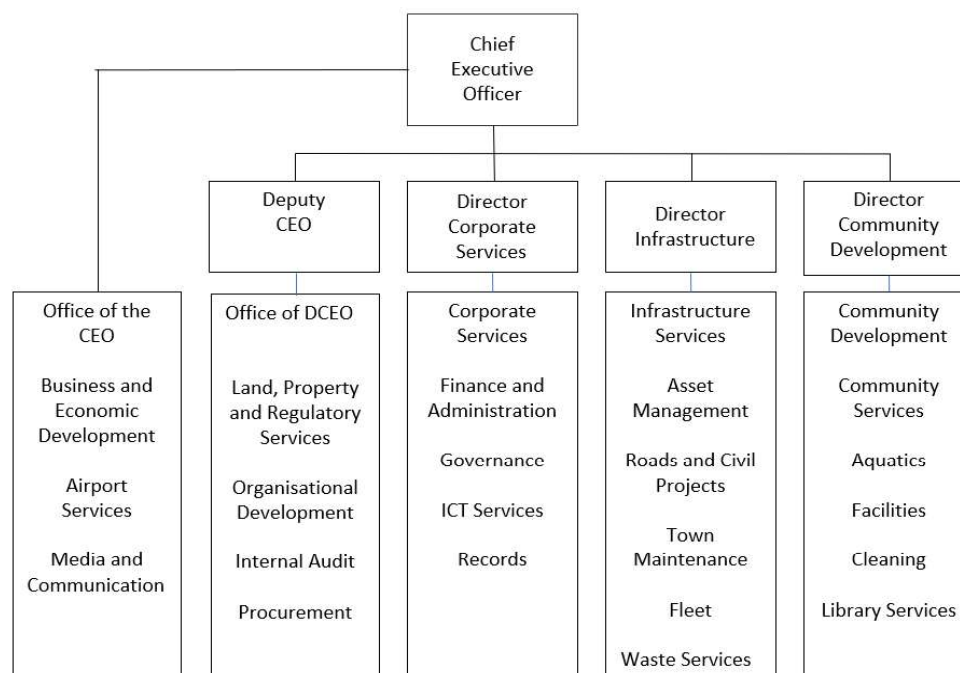
The 2023-2024 Annual Budget has been provided under separate cover. (Attachment 1)

Comments

Annual Budget

The 2023-2024 Annual Budget has been prepared to include information required by the *Local Government Act 1995*, *Local Government (Financial Management) Regulations 1996* and the Australian Accounting Standards. The main features of the draft budget include:

- The budget has been prepared with a 3.95% rate increase. This aligns with the LTFP forecast rate of 3% and is well below current CPI. The average rate increase over the last 5 years is 1.3%;
- Total rate revenue estimated at \$55.2 million, with outlook positive for interim rate growth from new developments.
- Interest revenue up \$2 million on prior year due to higher investment interest rates and new banking arrangements.
- Fees and charges which account of 12% of revenue were approved by Council at the 13 June 2023 Ordinary Meeting of Council and came into effect on 1 July 2023.
- Total capital expenditure budget of \$82.3 million, representing \$67.5 million in new initiatives and \$14.8 million of projects funded and carried forward;
- Headline new projects being \$15 million for Minna Oval Sports Pavilion, \$15 million for Onslow Jetty, \$8 million for Ocean View Caravan Park Stage 3, \$7 million for Bike Tracks in Onslow, Pannawonica and Paraburdoo, \$5 million to extend the seawall in Onslow, \$5 million to commence Tom Price Administration Facility renewal and \$5 million to progress Council's accommodation strategy.
- Total operating expense estimated at \$72.6 million.
- No new loans are proposed.
- An estimated surplus of \$18.5 million is anticipated to be brought forward from 30 June 2023. This is an unaudited figure that includes the prepayment of the Shire's annual Financial Assistance Grants of \$3.6 million. The balance of the surplus is predominately the initial net estimate of committed capital projects that will run into 2023-2024. Any change will be brought back to Council as part of a future budget review.



Workforce Requirements

Council approved the above workforce structure at the 13 December 2023, Ordinary Meeting of Council.

This is the basis with which employment expenses have been forecast for 2023-2024. As full employment is not expected in the current climate the budget represents 85% of the total cost of the above structure.

Contained within the overall approved headcount and total salary budget are two new positions necessary to meet immediate operational needs.

1. Technical Officer - Infrastructure Directorate
Position will progress road projects and reduce reliance on external consultants.
2. Lands & Heritage Officer – Office of DCEO
Position will assist with risk management and due diligence assessment requirements of the new *Aboriginal Cultural Heritage Act 2021* that came into effect on the 1 July 2023.

Determination of material variance

Each year Council is required to adopt a percentage or value for the purposes of reporting material variances in the consolidated monthly Statement of Financial Activity.

This value or percentage is then used throughout the financial year to identify potential areas in Council's actual revenue and expenses which may not be in keeping with Council's budget.

The early identification of those potential issues can assist in better utilisation and allocation of Council funds and resources.

It is proposed to keep the material variance reporting limit at 10% or \$40,000 whichever is the greater. This is consistent with a review of other similar local governments.

It should be noted that internally, responsible officers are monitoring variances at a more granular general ledger or job level, and that Finance and Costing Reviews by Business Unit are conducted throughout the year.

Statement of calculation of the Annual Budget

In compiling the Annual Budget, Shire officers have, in accordance with the Local Government Accounting Manual, -

- Identified and reviewed recurring operating revenue and expenditure,
- Prepared salary and wage schedules, including proposed new employees, employee increment changes, enterprise agreement increases, and the mandated increase from 10.5% to 11.0% for Superannuation Guarantee Scheme (SGC),
- Prepared water, power and other essential cost estimates and increase assumptions,
- Prepared capital expenditure forecast based where possible, on reasonably assumed estimates for construction and/or purchase, together with indicative timing taking into account resourcing requirements,
- Confirmed grants reasonably expected to be received for both operating and capital projects,
- Forecast the opening Net Current Assets position at 30 June 2023 based on the most currently available information,
- Identified committed carry forward projects from the previous financial year,
- Flagged committed funds (contract liabilities) and treated these in accordance with accounting standards,
- Obtained revenue estimates for the disposal of non-current assets,
- Obtained estimates from LGIS for insurance, including workers compensation,
- Reviewed Fees and Charges,
- Prepared the Statutory Budget document in accordance with the standard format recommended by the Department of Local Government.

Consultation

Community

Councillors

All Budget Responsible Officers

Finance Team

Strategic Community Plan

Shire of Ashburton Strategic Community Plan 2022-2032

Strategic Objective	4. Performance - We will lead the organisation, and create the culture, to deliver demonstrated performance excellence to the community.
Strategic Outcome	4.2 Appropriate, sustainable, and transparent management of community funds
Strategy	3 Plan effectively for financial sustainability.

Council Policy

Nil

Financial ImplicationsCurrent Financial Year

Carryover estimates from the 2022/23 Financial Year have been included in the draft budget presented for adoption. These estimates are subject to change pending outcomes from the final audit. Any required adjustments will be brought back to Council for endorsement.

Future Financial Year(s)

Specific financial implications are as outlined in the body of this report and as itemised in the draft 2023-2024 budget attached for adoption.

Legislative Implications*Local Government Act 1995*

Section 6.2 requires that not later than 31 August in each financial year, or such extended time as the Minister allows, each local government is to prepare and adopt, (Absolute Majority required) in the form and manner prescribed, a budget for its municipal fund for the financial year ending on the next following 30 June.

Divisions 5 and 6 of Part 6 of the Act refer to the setting of budgets and raising of rates and charges. The *Local Government (Financial Management) Regulations 1996* details the form and content of the budget. The draft 2023-2024 budget as presented is considered to meet statutory requirements. A copy of the Annual Budget is to be submitted to the Department responsible for Local Government within 30 days of adoption by Council.

Section 5.98 of the Act sets out fees etc payable to Council members.

Section 5.98A of the Act sets out allowance payable to the deputy President.

Regulations 30-34AD of the *Local Government (Administration) Regulations 1996* sets the limits, parameters and types of allowances that can be paid to elected members.

Regulation 34 of the *Local Government (Financial Management) Regulations 1996* requires Council to adopt a percentage or value, calculated in accordance with the Australian Accounting Standard, to be used in monthly statements of financial activity for reporting material variances.

Section 67 of the *Waste Avoidance and Resource Recovery Act 2007* enables a local government to impose an annual charge in respect of premises provided with a waste service by the local government.

Risk Management

Risk has been assessed against the Shire of Ashburton Risk Management Framework.

Theme	Risk	Likelihood	Consequence	Inherent Risk Rating	Risk Treatment
Financial impact	Potential cash flow issues may result if the Annual Budget is not adopted.	Unlikely (2)	Moderate (3)	Moderate (5-9)	Provide Councillors with sufficient information for decision making including budget workshops and community submission period for differential rates.
Reputation (social/community)	Potential reduction in service levels and assets provided to the community if the Annual Budget is not adopted	Unlikely (2)	Moderate (3)	Moderate (5-9)	Provide Councillors with sufficient information for decision making including budget workshops and community submission period for differential rates.
Compliance	Failing to adopt Annual Budget by 31 August is a compliance breach without Ministerial approval	Unlikely (2)	Moderate (3)	Moderate (5-9)	Provide Councillors with sufficient information for decision making including budget workshops and community submission period for differential rates.

Based on the inherent risk rating and risk treatments, the residual risk to the Shire is considered to be low.

Voting Requirements

Absolute Majority

Officer Recommendation

That with respect to the adoption of the 2023-2024 Annual Budget, Council,

Recommendation 1 – Budget for 2023-2024

Pursuant to the provisions of Section 6.2 of the *Local Government Act 1995 and Part 3 of the Local Government (Financial Management) Regulations 1996*, Council adopt the Budget as contained in Attachment 1 for the Shire of Ashburton for the 2023-2024 financial year which includes the following:

- Statement of Comprehensive Income by Nature and Type.
- Statement of Cashflows.
- Rating Setting Statement.
- Notes to and Forming Part of the Budget

Absolute Majority Required

Recommendation 2 – General and Minimum Rates, Instalment payment arrangements, and interest

1. For the purpose of yielding the deficiency disclosed by the Municipal Fund Budget adopted at Recommendation 1 above, Council pursuant to Sections 6.32, 6.33, 6.34 and 6.35 of the *Local Government Act 1995* impose the following differential general rates and minimum payments on Gross Rental and Unimproved Values.

A. General Rates

- | | | |
|----------------------------------|-------|-------------------------------|
| • Residential and Community | (GRV) | \$0.09756 cents in the dollar |
| • Commercial and Industrial | (GRV) | \$0.08907 cents in the dollar |
| • Transient Worker Accommodation | (GRV) | \$0.17814 cents in the dollar |
| • Pastoral | (UV) | \$0.13529 cents in the dollar |
| • Non-Pastoral | (UV) | \$0.38568 cents in the dollar |

B. Minimum Payments

- | | | |
|----------------------------------|-------|---------|
| • Residential and Community | (GRV) | \$1,310 |
| • Commercial and Industrial | (GRV) | \$1,310 |
| • Transient Worker Accommodation | (GRV) | \$1,310 |
| • Pastoral | (UV) | \$1,310 |
| • Mining | (UV) | \$1,310 |

2. Pursuant to Section 6.45 of the *Local Government Act 1995* and Regulation 64(2) of the *Local Government (Financial Management) Regulations 1996*, Council nominates the following due dates for the payment in full by instalments:

Option 1 (Full Payment)

Full amount of rates and charges including arrears, to be paid on or before 8 September 2023 or 35 days after the date of issue appearing on the rates notice whichever is the later.

Option 2 (Two Instalments)

- First instalment to be made on or before 8 September 2023 or 35 days after the date of issue appearing on the rate notice whichever is later, including all arrears and half the current rates and service charges; and
- Second instalment to be made on or before 8 January 2024, or 2 months after the due date of the first instalment, whichever is later.

Option 3 (Four Instalments)

- First instalment to be made on or before 8 September 2023 or 35 days after the date of issue appearing on the rate notice, whichever is later, including all arrears and a quarter of the current rates and service charges;
 - Second instalment to be made on or before 9 November 2023, or 2 months after the due date of the first instalment, whichever is later;
 - Third instalment to be made on or before 8 January 2024, or 2 months after the due date of the second instalment, whichever is later; and
 - Fourth instalment to be made on or before 7 March 2024, or 2 months after the due date of the third instalment, whichever is later.
3. Pursuant to Section 6.45 of the *Local Government Act 1995*, and Regulation 67 of the *Local Government (Financial Management) Regulations 1996*, Council adopts an instalment administration charge where the owner has elected to pay rates (and service charges) through an instalment option of \$16.50 for each instalment after the initial instalment is paid.
 4. Pursuant to Section 6.45 of the *Local Government Act 1995* and Regulation 68 of the *Local Government (Financial Management) Regulations 1996*, Council adopts an interest rate of 5.5% where the owner has elected to pay rates and service charges through an instalment option.
 5. Pursuant to Section 6.51(1) and subject to Section 6.51(4) of the *Local Government Act 1995* and Regulation 70 of the *Local Government (Financial Management) Regulations 1996*, Council adopts an interest rate of 11% for rates (and service charges) and costs of proceedings to recover such charges that remains unpaid after becoming due and payable.

Absolute Majority Required

Recommendation 3 – Fees and Charges for 2023-2024

Pursuant to Section 6.16 of the *Local Government Act 1995* and other relevant legislations, Council adopts the Fees and Charges included at pages 67 to 119 inclusive of the draft 2023 – 2024 budget included as Attachment 1.

Absolute Majority Required

Recommendation 4 – Elected Members’ Fees and Allowances for 2023-2024

In accordance with Section 5.98(1)(b) and Section 5.99 of the *Local Government Act 1995* and Regulation 30 of the *Local Government (Administration) Regulations 1996*, Council adopts the following annual meeting attendance fees for Councillors:

- i. Shire President \$32,410
- ii. Councillors \$24,170

In accordance with Section 5.98(1)(b) of the *Local Government Act 1995* the annual allowance for the Shire President be set at \$65,915.

In accordance with Section 5.98A(1) of the *Local Government Act 1995* the annual allowance for the Deputy Shire President be set at \$16,478.

In accordance with Section 5.99A of the *Local Government Act 1995* and Regulation 32 of the *Local Government (Administration) Regulations 1996* the annual allowance for ICT expenses for Councillors be set at \$3,000.

In accordance with Section 5.98(2)(a) of the *Local Government Act 1995* and Regulation 31 of the *Local Government (Administration) Regulations 1996* the childcare / child minding reimbursement rate be set at actual cost per hour or \$30 per hour, whichever is the lesser, for Councillors requiring childcare services whilst undertaking their role as a Councillor.

Absolute Majority Required

Recommendation 5 – Material Variance Reporting for 2023 - 2024

In accordance with Regulation 34(5) of the *Local Government (Financial Management) Regulations 1996*, the level to be used in statements of financial activity in 2023-2024 for reporting material variances shall be 10% or \$40,000, whichever is the greater.

Simple Majority Required

Council Decision 130/2023

Moved Cr M Lynch

Seconded Cr R De Pledge

**That with respect to the adoption of the 2023-2024 Annual Budget, Council,
Recommendation 1 – Budget for 2023-2024**

Pursuant to the provisions of Section 6.2 of the *Local Government Act 1995 and Part 3 of the Local Government (Financial Management) Regulations 1996*, Council adopt the Budget as contained in Attachment 1 for the Shire of Ashburton for the 2023-2024 financial year which includes the following:

- **Statement of Comprehensive Income by Nature and Type.**
- **Statement of Cashflows.**
- **Rating Setting Statement.**
- **Notes to and Forming Part of the Budget**

**Absolute Majority Required
Carried By Absolute Majority 8/0**

Council Decision 131/2023

Moved Cr L Rumble JP

Seconded Cr A Smith

1. For the purpose of yielding the deficiency disclosed by the Municipal Fund Budget adopted at Recommendation 1 above, Council pursuant to Sections 6.32, 6.33, 6.34 and 6.35 of the *Local Government Act 1995* impose the following differential general rates and minimum payments on Gross Rental and Unimproved Values.

A. General Rates

- | | | |
|----------------------------------|-------|-------------------------------|
| • Residential and Community | (GRV) | \$0.09756 cents in the dollar |
| • Commercial and Industrial | (GRV) | \$0.08907 cents in the dollar |
| • Transient Worker Accommodation | (GRV) | \$0.17814 cents in the dollar |
| • Pastoral | (UV) | \$0.13529 cents in the dollar |
| • Non-Pastoral | (UV) | \$0.38568 cents in the dollar |

B. Minimum Payments

- | | | |
|----------------------------------|-------|---------|
| • Residential and Community | (GRV) | \$1,310 |
| • Commercial and Industrial | (GRV) | \$1,310 |
| • Transient Worker Accommodation | (GRV) | \$1,310 |
| • Pastoral | (UV) | \$1,310 |
| • Mining | (UV) | \$1,310 |

2. Pursuant to Section 6.45 of the Local Government Act 1995 and Regulation 64(2) of the *Local Government (Financial Management) Regulations 1996*, Council nominates the following due dates for the payment in full by instalments:

Option 1 (Full Payment)

Full amount of rates and charges including arrears, to be paid on or before 8 September 2023 or 35 days after the date of issue appearing on the rates notice whichever is the later.

Option 2 (Two Instalments)

- First instalment to be made on or before 8 September 2023 or 35 days after the date of issue appearing on the rate notice whichever is later, including all arrears and half the current rates and service charges; and
- Second instalment to be made on or before 8 January 2024, or 2 months after the due date of the first instalment, whichever is later.

Option 3 (Four Instalments)

- First instalment to be made on or before 8 September 2023 or 35 days after the date of issue appearing on the rate notice, whichever is later, including all arrears and a quarter of the current rates and service charges;
- Second instalment to be made on or before 9 November 2023, or 2 months after the due date of the first instalment, whichever is later;
- Third instalment to be made on or before 8 January 2024, or 2 months after the due date of the second instalment, whichever is later; and
- Fourth instalment to be made on or before 7 March 2024, or 2 months after the due date of the third instalment, whichever is later.

3. Pursuant to Section 6.45 of the *Local Government Act 1995*, and Regulation 67 of the *Local Government (Financial Management) Regulations 1996*, Council adopts an instalment administration charge where the owner has elected to pay rates (and service charges) through an instalment option of \$16.50 for each instalment after the initial instalment is paid.
4. Pursuant to Section 6.45 of the *Local Government Act 1995* and Regulation 68 of the *Local Government (Financial Management) Regulations 1996*, Council adopts an interest rate of 5.5% where the owner has elected to pay rates and service charges through an instalment option.
5. Pursuant to Section 6.51(1) and subject to Section 6.51(4) of the *Local Government Act 1995* and Regulation 70 of the *Local Government (Financial Management) Regulations 1996*, Council adopts an interest rate of 11% for rates (and service charges) and costs of proceedings to recover such charges that remains unpaid after becoming due and payable.

Absolute Majority Required
Carried By Absolute Majority 8/0

Council Decision **132/2023**

Moved **Cr T Mladenovic**

Seconded **Cr M Lynch**

Pursuant to Section 6.16 of the *Local Government Act 1995* and other relevant legislations, Council adopts the Fees and Charges included at pages 67 to 119 inclusive of the draft 2023 – 2024 budget included as Attachment 1.

**Absolute Majority Required
Carried By Absolute Majority 8/0**

Council Decision **133/2023**

Moved **Cr L Rumble JP**

Seconded **Cr A Smith**

In accordance with Section 5.98(1)(b) and Section 5.99 of the *Local Government Act 1995* and Regulation 30 of the *Local Government (Administration) Regulations 1996*, Council adopts the following annual meeting attendance fees for Councillors:

- i. Shire President \$32,410**
- ii. Councillors \$24,170**

In accordance with Section 5.98(1)(b) of the *Local Government Act 1995* the annual allowance for the Shire President be set at \$65,915.

In accordance with Section 5.98A(1) of the *Local Government Act 1995* the annual allowance for the Deputy Shire President be set at \$16,478.

In accordance with Section 5.99A of the *Local Government Act 1995* and Regulation 32 of the *Local Government (Administration) Regulations 1996* the annual allowance for ICT expenses for Councillors be set at \$3,000.

In accordance with Section 5.98(2)(a) of the *Local Government Act 1995* and Regulation 31 of the *Local Government (Administration) Regulations 1996* the childcare / child minding reimbursement rate be set at actual cost per hour or \$30 per hour, whichever is the lesser, for Councillors requiring childcare services whilst undertaking their role as a Councillor.

**Absolute Majority Required
Carried By Absolute Majority 8/0**

Council Decision **134/2023**

Moved **Cr T Mladenovic**

Seconded **Cr L Rumble JP**

In accordance with Regulation 34(5) of the *Local Government (Financial Management) Regulations 1996*, the level to be used in statements of financial activity in 2023-2024 for reporting material variances shall be 10% or \$40,000, whichever is the greater.

**Simple Majority Required
Carried 8/0**

14 Infrastructure Services Reports

14.1 Pilbara Regional Waste Management Facility - Contract Letter of Intent Extension and Status Update

File Reference	CM23.20
Applicant or Proponent(s)	Not Applicable
Author	R Miller, Director Infrastructure Services
Authorising Officer	R Miller, Director Infrastructure Services
Previous Meeting Reference	Ordinary Council Meeting 13/12/22 - Item 13.1– 75/2022 Ordinary Council Meeting 13/04/21 - Item 7.1 – 67/2021 Ordinary Council Meeting 13/10/19 - Item 15.1 – 175/2019
Disclosure(s) of interest	Author – Nil
	Authorising Officer – Nil
Attachments	1. Draft Letter of Intent extension to 30 September 2023 - Confidential

Report Purpose

Council is required to note the status update provided in this report and the letter of intent for signing with Pilbara Environmental Services, as provided at Attachment 1.

The purpose of this report is to advise Council of the current status of the Pilbara Regional Waste Management Facility in regard to projects and the Waste Services Agreement contract.

Council is requested to note and accept the Pilbara Regional Waste Management Facility status update provided and authorise the CEO to engross the extension to letter of intent with Pilbara Environmental Services for the period to 30 September 2023.

Background

In May 2021, Shire of Ashburton (Shire) officers submitted a licence application under Part V, Division 3 of *Environmental Protection Act 1986* for the operation of the Pilbara Regional Waste Management Facility (PRWMF).

A draft licence was issued by Department of Water and Environmental Regulation (DWER) on 25 November 2021, which required comment to be provided to DWER on the draft nature of the licence.

Following consideration of the comments, a final licence was issued on 22 December 2021 allowing the PRWMF to accept waste to the site, subject to conditions.

Pilbara Environmental Services Pty Ltd (PES) and the Shire have been working through the identified issues at the facility, in order for the facility to become fully operational.

In June 2022, Council amended the Alliance Board structure to include the Shire President as the Chair of the Board. In December 2022 Council through resolution 175/2022 the CEO was directed to negotiate to amend the Letter of Intent to include Marcus Geisler as the nominated independent representative. This has been actioned.

Comments

The PRWMF facility is operating under a Letter of Intent (LOI) which provides a mechanism for the facility to operate and for the contractor, PES to establish the site without formally entering a full operational contract.

Both the LOI and draft Contract refers to the establishment of an Alliance Board to create an operational and decision-making platform between the Shire and PES. The aim of the Alliance Board is to ensure the parties work together effectively and that the agreement (contract) will be implemented in the future, with the spirit and intent to facilitate a successful commercial enterprise.

The current agreed membership of Alliance Board is four Shire representatives and four PES representatives plus the Shire President as the Chair.

The draft contract refers to the following Alliance Board members:

Chair: Shire of Ashburton President.

Shire: Chief Executive Officer, Director Infrastructure Services, Director Corporate Services, Manager Waste Services.

PES: PES Director, Joint Venture Manager, Environmental and Technical Manager, Landfill and Logistics Manager.

The LOI has been extended several times while PES and Shire officers work through the constraints of licence approvals, issues identified in the draft contract and operational matters experienced by both parties. The LOI has allowed the PRWMF facility to be open and to operate and also includes the removal of waste from the Onslow Transfer Station (currently transported to Tom Price).

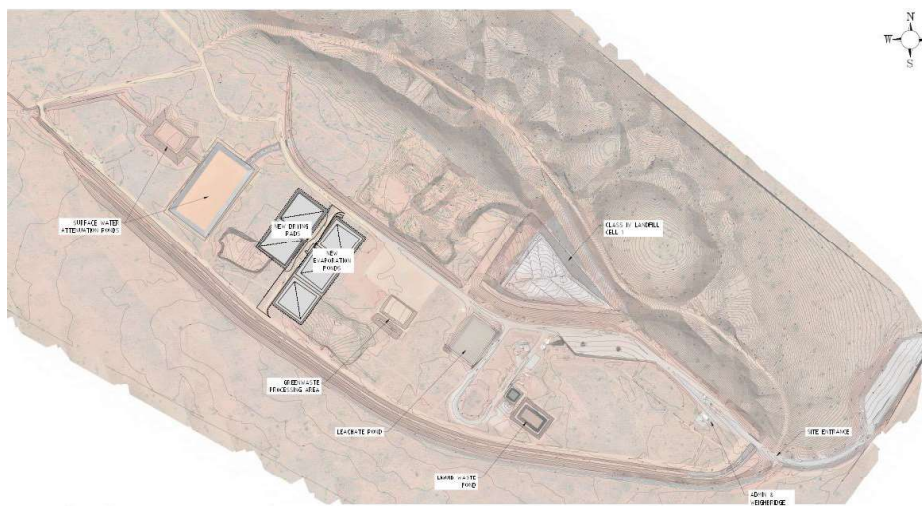
The current LOI expired on the 30 June 2023 but, there are still matters to be worked through in regards to the agreement and to ensure the facility operates effectively.

The signing of a LOI extension, engages PES to supply specific waste management services (early works and limited operations) subject to the draft Waste Services Agreement and further terms as set out in the LOI (which would prevail in the event of conflict between the two). The LOI extension will allow projects in the pipeline to achieve increased revenue, to be implemented and to continue to explore the opportunities of the partnership. It acknowledges PES as the preferred tenderer but does not bind either party to proceed with a long term supply of waste management services if good faith discussions to finalise the contract don't materialise. With recent works completed it has allowed with the main cell to receive class IV waste with the first delivery received on the 26 June 2023.

Despite some of the challenges being experienced, current significant activities are in process of being implemented to assist in bringing the facility to unrestricted operating capacity. These being:

- RFT 23.22 for the high flow pumping system - contract awarded with project delivery expected by December 2023. Interim measures in place to reduce risk of leachate overflow to acceptable level while waiting for pump delivery.
- RFT 01.23 Intra cell (between cell1 and proposed cell 2) bund wall construction contract awarded with project built and delivered 30 June 2023.

- RFT 30.22 Waste Cell 2 detailed design quotation submissions received and declined. Review and reissue as a Tender in July 2023.
- Works Approval for Evaporation Ponds and Drying Bed being assessed by Department of Water and Environmental Regulation. Advertising for submissions closed end of June 2023 and waiting on further advice on approval for construction. Project is listed for consideration in 2023/24 budget. Site plan showing some proposed projects (below)



Based on information presented, officers recommend the Chief Executive Officer (under delegation and acting through) to seek an extension to the LOI with PES until 30 September 2023.

Consultation

Executive Leadership Team

Pilbara Environmental Services

Strategic Community Plan

Shire of Ashburton Strategic Community Plan 2022-2032

Strategic Objective	2. Place - We will provide sustainable, purposeful, and valued built and natural environment opportunities for the community.
Strategic Outcome	2.1 Coordinated delivery of natural and built environment services and projects for the community
Strategy	1 Develop and maintain key natural and built environment services partnerships, both internally and externally, to support Council's vision.

Council Policy

Nil

Financial ImplicationsCurrent Financial Year

Commits Council to funding of operations until LOI expires or changes through signing of waste agreement.

Future Financial Year(s)

Agreement with infrastructure improvements will facilitate increased revenue.

Legislative Implications

Nil

Risk Management

Risk has been assessed against the Shire of Ashburton Risk Management Framework.

Theme	Risk	Likelihood	Consequence	Inherent Risk Rating	Risk Treatment
Interruption to service	The operator, PES, does not agree to LOI extension	Unlikely (2)	Major (4)	Moderate (5-9)	Engage in early discussions with the operator to agree on the benefits to both parties.

Based on the inherent risk rating and risk treatments, the residual risk to the Shire is considered to be medium.

Voting Requirements

Simple Majority

Officer Recommendation

That with respect to Pilbara Regional Waste Management Facility, Council

- Notes the status update provide within this report, and
- Supports the Chief Executive Officer's engrossing the Extension to the Letter of Intent with Pilbara Environmental Services Pty Ltd for the period to 30 September 2023, as provided at Attachment 1.

Council Decision **135/2023**

Moved **Cr R De Pledge**

Seconded **Cr M Lynch**

That with respect to Pilbara Regional Waste Management Facility, Council

- Notes the status update provide within this report, and**
- Supports the Chief Executive Officer's engrossing the Extension to the Letter of Intent with Pilbara Environmental Services Pty Ltd for the period to 30 September 2023, as provided at Attachment 1.**

Carried 8/0

14.2 Onslow Flood Studies

File Reference	SD01
Applicant or Proponent(s)	Not Applicable
Author	A Sheridan, Project Manager
Authorising Officer	R Miller, Director Infrastructure Services
Previous Meeting Reference	Nil
Disclosure(s) of interest	Author – Nil
	Authorising Officer – Nil
Attachments	<ol style="list-style-type: none"> 1. Onslow Flood Study Report 2. Technical Memorandum - Pumping Options 3. Stormwater CCTV and Condition Assessment Report

Report Purpose

Council is required to consider the outcome of recent flood modelling within the town of Onslow as detailed in this report and the supporting attachments.

The purpose of this report is to identify those issues which require addressing in order to provide for an acceptable level of flood immunity within the town.

Council is requested to endorse the key findings contained within this report and to direct the Chief Executive Officer to proceed with further investigations and technical work with a view to presenting a program of upgrade works to Council for endorsement.

Background

Given the history of severe storm events in and around Onslow over the past 140 years, including major cyclones in 1918, 1926, 1934, 1953, 1961, 1962, 1963, 1975, 1995 and 1999, it is no surprise that there have been a number of studies relating to the impact of cyclone activity and flooding in the town. One of the earlier plans on record is the 1994 Onslow Coastal Plan, prepared by the State Department of Planning and Urban Development. More recently there have been flood studies and drainage plans from 2010, 2014, 2017 and 2019.

The most recent of those, the 2019 Onslow Drainage Assessment Report, prepared by consultants Cardno, made recommendations regarding improvements to the gravity based detention and drainage system at the southern end of the town (refer to Figure 1B). The report recommended a series of incremental improvements in order to improve the functioning of the detention basin and ocean outfall system.

The proposed improvements from that report included regrading of the existing basins, installation of a box culvert stormwater pipe between Basins 2 and 3 and the possibility of a new stormwater pipe linking Third Avenue direct to Basin 3 (along Cameron Avenue). While those works, had they been designed and implemented, would have improved the performance of the system during moderate rainfall events, they would have had no impact on flooding during extreme weather events (as explained later in this report).

The same report included a stormwater jetting and CCTV inspection report detailing the condition of the existing stormwater network. Unfortunately, the pipe identification and classification system used by the contractor at the time, made it difficult to develop a schedule of upgrade works based on the inspection results. Over time, the value of that work has diminished, conditions change, and constant updates and inspections are necessary on an ongoing basis. Importantly however, the stormwater tidal flaps at the major ocean outfalls have been upgraded since 2019.

In January 2023, the Shire commissioned Stantec (formerly Cardno) to undertake updated stormwater modelling using current LiDAR survey data and to identify flooding issues and potential flood mitigation options for the town of Onslow. In part, this work was commissioned as the Shire is about to embark on a number of significant projects within the town and a better understanding of flooding issues is necessary to support both those projects and the future development of the town. In particular, this information is necessary for the proposed Staircase to the Moon Project and the proposed Streetscape Project (refer separate report in this Agenda).

Specifically, the following key areas of focus were identified:

- Assess the existing stormwater infrastructure in the northern part of Second Avenue in preparation for a proposed streetscape project.
- Assess the impact of a proposed artistic installation (Staircase to the Moon) in terms of its effect on stormwater/flood management.
- Assess existing issues associated with stormwater drainage in Third Avenue.
- Assess the performance of the three detention basins at the southern end of Second Avenue.

The findings of the Stage 1 study are provided in the Executive Summary (refer to Attachment 1). A copy of the full report is available on request.

In summary, the Stage 1 work involves a comprehensive review of existing data and the development of a hydraulic model using the latest available LiDAR (drone survey) data. The outputs of stormwater flow and flooding throughout the town have been presented in a series of maps ranging from 1% Annual Exceedance Probability (AEP) - typically referred to as a 1 in 100 year storm; through to a 63.2% AEP (which would occur annually).

The assessment of flood impacts was based on surface water level, velocity of flow and hazard classification as per the recognised standard (Australian Rainfall and Runoff 2019). A model run was also produced that encompassed the Staircase to the Moon footprint.

As the study has progressed, it has been necessary to undertake further assessments to determine the condition of the stormwater pipe network (via CCTV pipe inspections). For example, it would not be practical to construct a streetscape project only to find that the pipe network required replacing soon after the project was complete.

As a consequence, a full CCTV inspection of the entire stormwater network in the main part of the town and a full feature survey of the town streets (including Second and Third Avenue) was completed in May 2023.

It is also necessary to have accurate survey data (commissioned in May 2023) for both the Streetscape Project and for accurate stormwater modelling purposes. LiDAR survey data has been useful but is simply not accurate enough and cannot pick up information on the invert level of underground pipes or precise pit levels for example. Accurate survey data is also necessary for detailed design purposes.

Further modelling work has also been necessary to determine options for dealing with network deficiencies. One possible solution is a proposed pump based system to discharge stormwater direct to the ocean. This aspect of the work will be discussed further in the comments section of the report.

The following location maps (Figures 1A and 1B) show the areas as referenced in the discussion below.



Figure 1A – Location Map / Direction of Stormwater Flows – Northern Precinct



Figure 1B – Location Map/Direction of Stormwater Flows – Southern Precinct

Comments**Existing Flood Conditions**

In summary:

Stormwater along the northern part of Second Avenue – from the caravan park down to the Onslow Beach Resort (refer to Figure 1A) – discharges through twin 600 mm diameter pipes via an ocean outlet at the end of Simpson Street (near the Beadon Bay Hotel). A number of smaller ocean outlets exist near the caravan park to drain those areas.

To mitigate flooding in the town, a series of three interconnected detention basins have been constructed at the southern end of the town (refer to Figure 1B). The first basin flows into the second, which is then linked to the third via a stormwater pipe. Finally, the water is able to discharge into the ocean from the third basin.

Stormwater from the southern part of Second Avenue and from Third Avenue – generally from the Onslow Beach Resort south (refer to Figure 1B) – discharges to the detention basins and then to the ocean.

Due to the town's low-lying geography, the basin network can only drain when downstream water levels are not elevated. During extreme rainfall events like a cyclone, coastal storm surge often coincides with heavy rain, preventing the basins from effectively draining excess water. As an example of the flood modelling outputs, the 1% AEP depth results from the flood model/simulation are shown in Figure 2 below.



Figure 2 – Peak Flows / Depths for the 1% AEP Event

The flood simulation shows that:

Ponding occurs within the low lying residential areas and the existing Police Precinct at the northern end of Second Avenue.

Slow moving flows occupy a large portion of Third Avenue (south from the intersection with Third Street near the Onslow Beach Resort). The detention basins fill up from a combination of overland flow and stormwater flows at the start of the simulation. In all events, the detention basins are full at the start of the simulation.

The last of the detention basins (Basin 3) does not drain to the ocean due to the configuration of the sand dunes (which create a natural barrier) and the ocean water level – which effectively block stormwater from discharging to the ocean.

A cross section through the detention basins shows the relative height of the basins compared to ocean levels (refer to Figure 3). Water only drains to the ocean when the ocean level goes down enough for that to occur. During storm events, ocean water levels can remain elevated for extended periods of time.

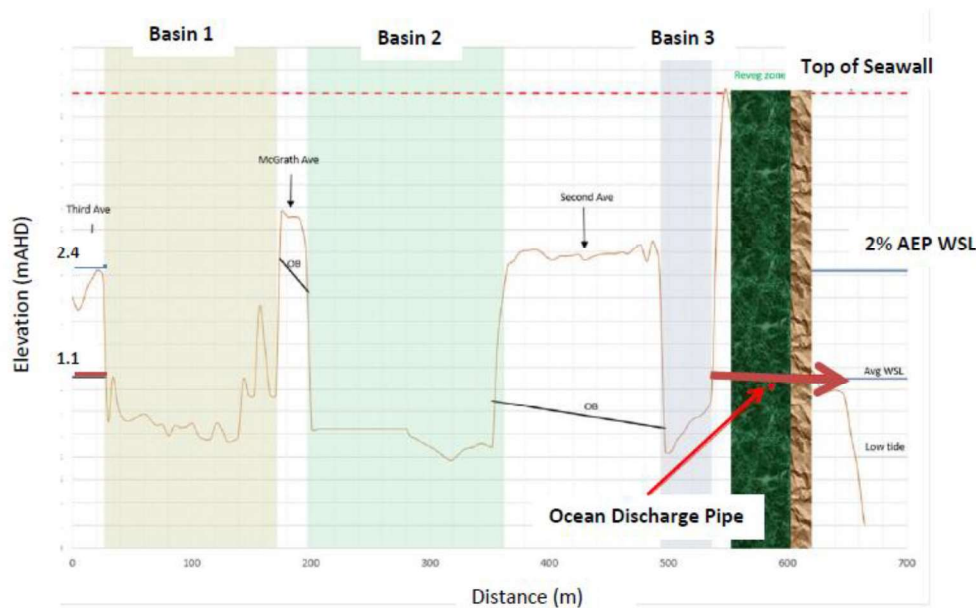


Figure 3 – Cross Section through Detention Basin

Critical Storm Event

In the majority of cases, the critical stormwater (flooding) event is based on the 30 minute storm event; an event where there is a higher intensity but shorter duration of heavy rainfall. Stage 1 of the study (refer to Attachment 1) assumed that the 30 minute storm event reflected the critical stormwater event for Onslow.

However, considering the location and minimal elevation change of the Onslow township, it was considered possible that a low intensity but constant rainfall event could have a greater impact in terms of flooding. As part of Stage 2 of the study (refer to Attachment 2), it has been found that the 18-hour storm event (less heavy rainfall but over an extended period of time) produces the highest flood level for Onslow township.

A comparison of flood heights based on the 30 minute storm event and the 18 hour storm event is shown in Figure 4:

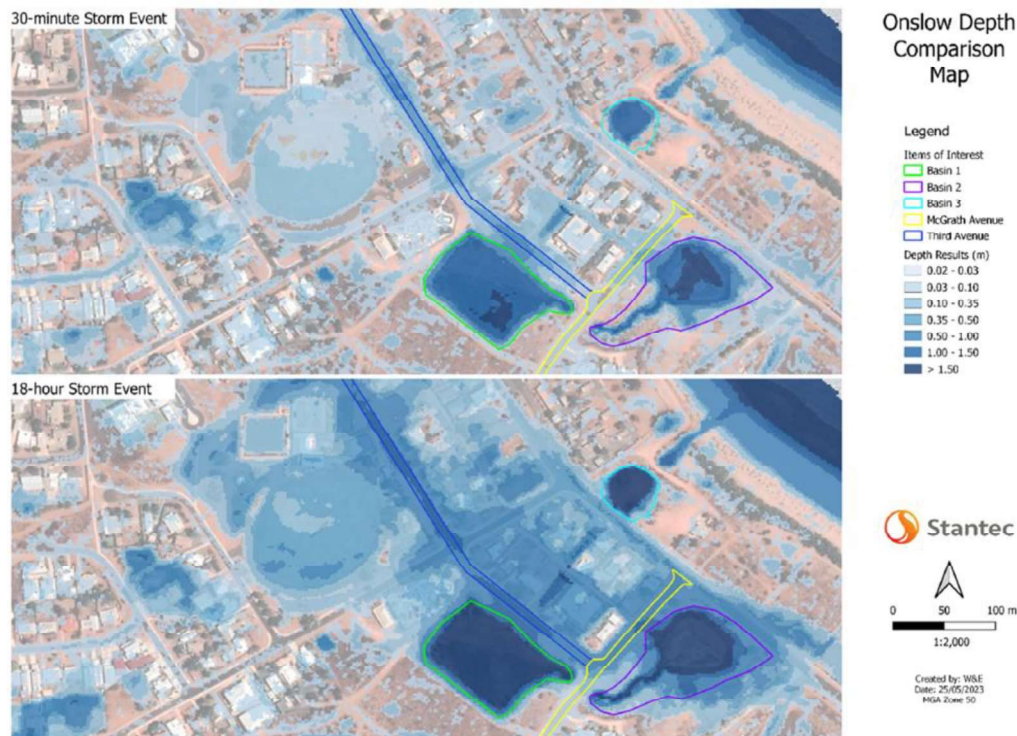


Figure 4 – Critical Duration Comparison

The 18 hour storm event was therefore used as a basis for considering pumping design options. The proportion of the 18 hour storms that will completely overlap with the storm surge is unknown at this point of time as it is unique to the location. In reality however, the critical storm event for Onslow would most likely lie somewhere between the 30 minute storm event and the 18 hour storm event.

The 18 hour storm surge heights are shown in Figure 5, together with the level of the ocean outlet. As can be seen, for a period of 18 hours there is only a period of approximately 3-4 hours where some water can discharge to the ocean. For the remainder of that time, water is effectively blocked from discharging and is retained in the system, leading to flooding in and around Third Avenue.

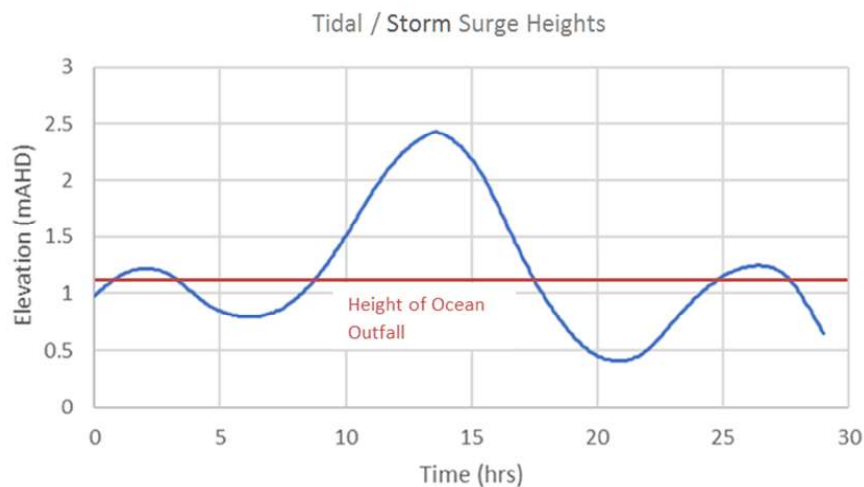


Figure 5 – Storm Surge Heights compared to Ocean Outfall

Performance of the Existing Stormwater Pipe System

Second Avenue Stormwater Pipes

The modelling indicates that the configuration and size of the stormwater pipes in the northern part of Second Avenue perform adequately and as would be expected for a typical urban street. Based on the modelling, upgrading the pipe sizes to cater for higher flows is not warranted. Second Avenue experiences up to 0.3m of ponding in the 1% AEP event and clears the majority of ponding in the 20% AEP event.

Ponding currently occurs at road intersections and at locations along the street due to the uneven nature of the pavement. It is proposed to rectify these issues as part of the streetscape project. In particular, the intersections will be reconfigured and graded so that water flows to stormwater pits rather than collecting in the middle of the intersections.

Third Avenue Stormwater Pipes

In the 1% AEP event, up to 0.6m of ponding and 0.5 m/s of moving water enters Third Avenue from the north-west. Due to the flat terrain, runoff from Third Avenue also tends to move over to Second Avenue. The model shows that the system from the sports club to the intersection with Third Street is at full capacity in all events, but also displays consistent surcharging. Note in particular that Third Avenue in this location is very flat and is not particularly conducive to the effective dissipation of stormwater.

Detention Basin Performance

Due to the town's low-lying geography, the basin network can only drain when downstream water levels are not elevated. Ocean water levels are elevated during storm events and stormwater flowing into the system is effectively blocked from discharging to the ocean.

Based on the modelling results, the elevation of the town and the ocean levels make gravity driven mitigation options largely ineffective.

In addition, to reduce the occurrence of mosquito breeding, it would be preferable if the basins did not retain water (which they do at present).

One possible option is to pump the water from the basin system direct to the ocean, allowing for a free-flowing condition at the outfall and reducing water levels in the basins.

Staircase to the Moon

Designed in 2022, this installation is intended to beautify the area within Basin 2 by reshaping the detention basin and installing an artistic oval shaped feature with footpaths encircling the basin and extended carparks with a viewing area overlooking the installation. The footprint of the proposed installation is shown in Figure 6.

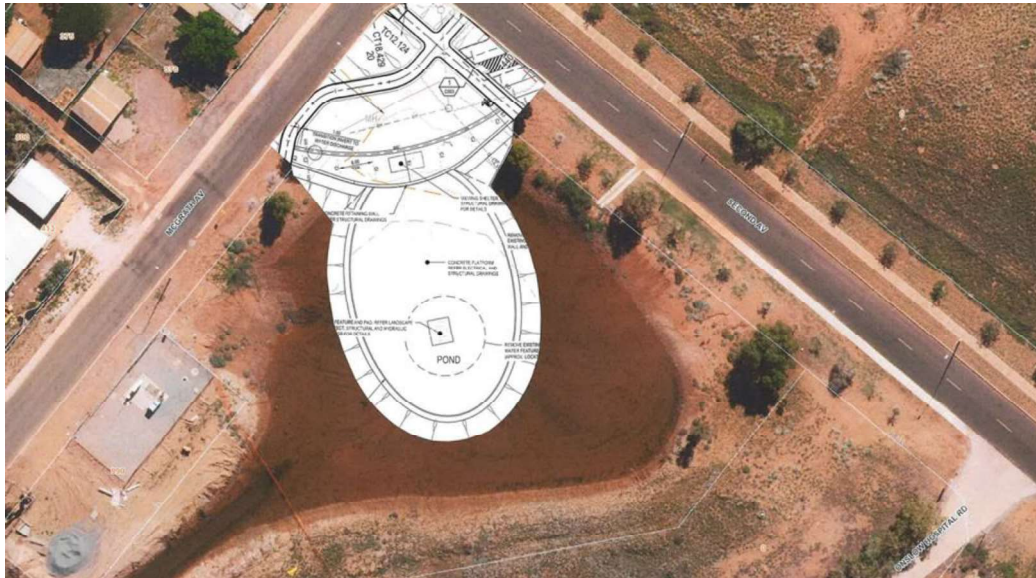


Figure 6 – Footprint of the Staircase to the Moon Structure in Basin 2

The simulation indicates that for the 20% AEP event (1 in 5 years) flows are relatively contained within the Basin 1 and Basin 2, whereas in the 10% AEP event (1 in 10 years), the basins overflow. The results also indicate a relative increase in flood level associated with the Staircase to the Moon structure by up to 0.1m. Any increase in flood levels is highly undesirable and should be avoided.

The report states that the placement of the Staircase to the Moon structure in Basin 2 is not recommended as it would remove flood storage from the system and cause an increase in flood levels in that area.

Should Council agree, it is also proposed to simplify the installation so that it is more cost effective to both construct and maintain by reducing the size of the water feature and using paving features and lighting which simulate the “staircase” effect.

There would of course be a number of potential locations within the town, but it is suggested to combine the Staircase to the Moon with other planned or existing parkland areas.

In lieu of the Staircase to the Moon structure in Basin 2, it is proposed to install dense screening planting and landscaping around Basin 2 along Second Avenue and near the intersection with McGrath Avenue in order to minimise the visual impact of the detention basin. It is also proposed to decommission the existing pump, leave the existing rock in place and remove the metal sculpture from the centre of Basin 2.

CCTV Inspection Report

In terms of pipe condition, an extract from the recent CCTV inspection report is attached with a sample drainage line 29 information reported. Refer Attachment 3.

The CCTV inspection report indicates the existing stormwater pipe network is generally in good condition. However:

- 10 individual stormwater pipe runs have a structural rating of 4 or 5 (fair or poor).
- 27 individual pipe runs have a service rating of 4 or 5 (fair or poor).

A structural defect is one which has an impact on the structural integrity of the pipe itself. Commonly recognised structural defects include cracking, breaking, or surface damage. Over time, structural defects may worsen significantly to the point that the pipe requires significant repair work, or even replacement.

Service defects are those that have an impact on the operational capacity of a pipe, impairing the pipes effectiveness to convey wastewater through the pipe network. Commonly recognised service defects include displaced joints, debris or root intrusions.

It is likely that all pipes with a 4 or 5 structural rating will need relining; which is significantly more cost effective than replacement. Pipes with a low service rating will most likely require specialist cleaning (water jetting).

However, the full extent of work required will need to be reviewed in detail and a schedule of works developed based on the detailed inspection reports. The works can then be costed and programmed as necessary.

In addition, a number of the existing ocean outfalls require work due to erosion and deterioration over time. The ocean outfall at the end of Simpson Street in particular, requires an outlet structure which can be easily cleaned and maintained on a regular basis. That outlet is critical to the drainage in that area and must be properly maintained so that is kept operational and free from sand build up at all times.

Feature Survey of Pits and Pipes

At the time of writing this report, information was not and will be tabled if received and reviewed. The primary aim of the survey was two-fold:

- Provide more accurate data for entering into the flood model
- Provide accurate data for detailed design of the streetscape project.

Further review of the survey data is required to confirm that the invert level of pipes is such that water is able to flow constantly in a downstream direction, without any anomalies such as incorrect pipe levels or unintended jump-ups.

Mitigation Options**Ponding in northern part of the Precinct**

At the intersection with First Street and Second Avenue, where ponding runoff is observed near the Police Precinct, a bund could prevent overland ingress from the northern precinct onto the service road parallel to First Street. Runoff could potentially be redirected directly to a new ocean outfall through a proposed pit and associated underground pipe. Figure 6 shows the approximate location of the proposed bund and stormwater drain on a 1% AEP flood map.

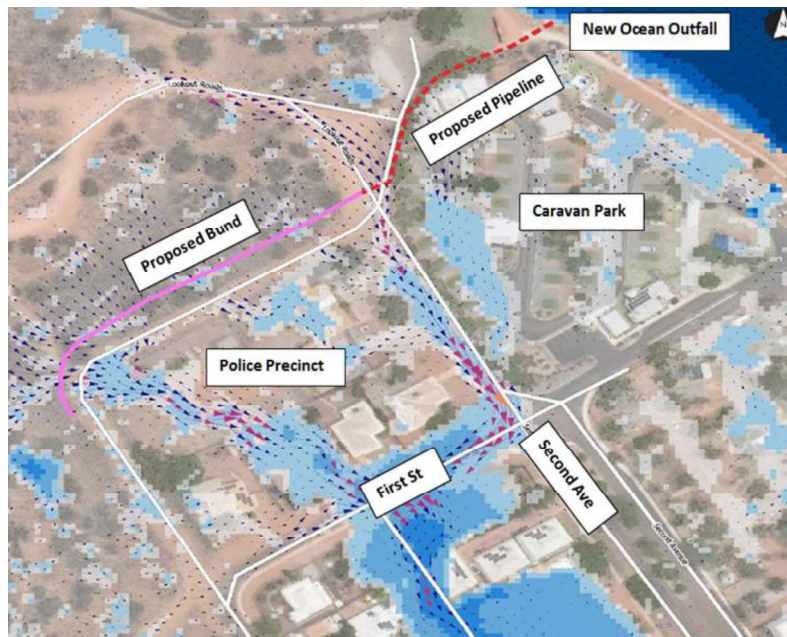


Figure 6 – Location of Proposed Bund and New Ocean Outfall

Detention Basins

The detention basin system at the bottom end of Second Avenue sits below the high tide and storm surge water levels and does not work effectively in severe weather events. The detention basins are significantly lower than the 1% AEP ocean surface level. As a result, stormwater is effectively blocked from discharging to the ocean by high tides and storm surges. The basins are all linked and once they fill to overflowing, the water has nowhere to go until the ocean water level recedes.

The detention basins are also believed to have been constructed with the intention of infiltrating stormwater into the water table, as would be the case in Perth for example. However, in recent years, groundwater levels have risen to the point where the water table is effectively at ground level. As a result, the ability of the basins to infiltrate stormwater is very low - effectively zero.

A pumped system or a combined system (pump ocean discharge and gravity-based ocean discharge) presents a possible solution. The Flood Study Report (refer to Attachment 1) refers to the intention to run an order of magnitude model of these options as a variation to the existing commission. The result of that work (refer to Attachment 2) is summarised below under the heading "Order of Magnitude – Pumping".

Upgrades to Existing Pipe Systems

The CCTV inspection recommends that the Shire prioritises stormwater relining work to limit future impacts on the upgraded streetscape. It is proposed to develop a program of future works based on the detailed inspection reports.

Additionally, a number of the existing ocean outfalls require work due to erosion and deterioration over time. The ocean outfall at the end of Simpson Street in particular, requires an outlet structure which can be easily cleaned and maintained on a regular basis.

Order of Magnitude Model - Pumping

A separate technical memorandum from the consultants (refer to Attachment 2) presents the findings of a stormwater pumping assessment, which is intended to mitigate flooding in the town of Onslow.

The consultants were instructed to model two separate pumping scenarios as depicted in Figures 7A and 7B. These options were selected as representing a logical and common-sense outcome to provide for a pump based system, rather than starting with a blank sheet of paper. The proposed location of the pump is at the lowest point in the system and the primary variation between the two options is that one is based on a pumped system with a gravity back-up and the other involves the removal and filling of Basin 3, thereby relying totally on a pump based ocean outfall.

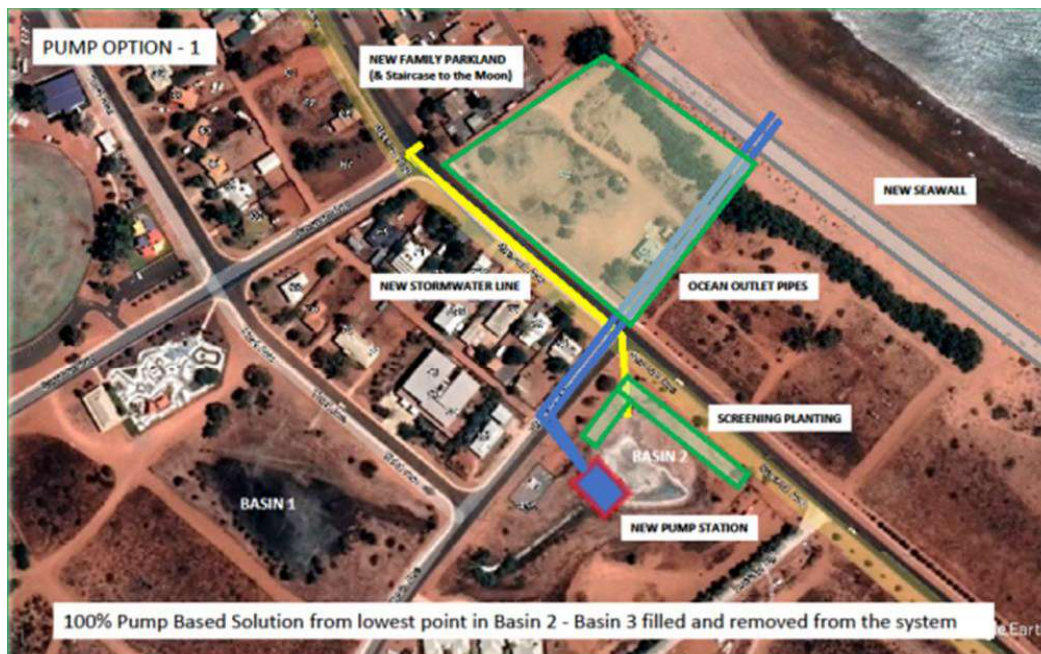


Figure 7A - Pump Option 1

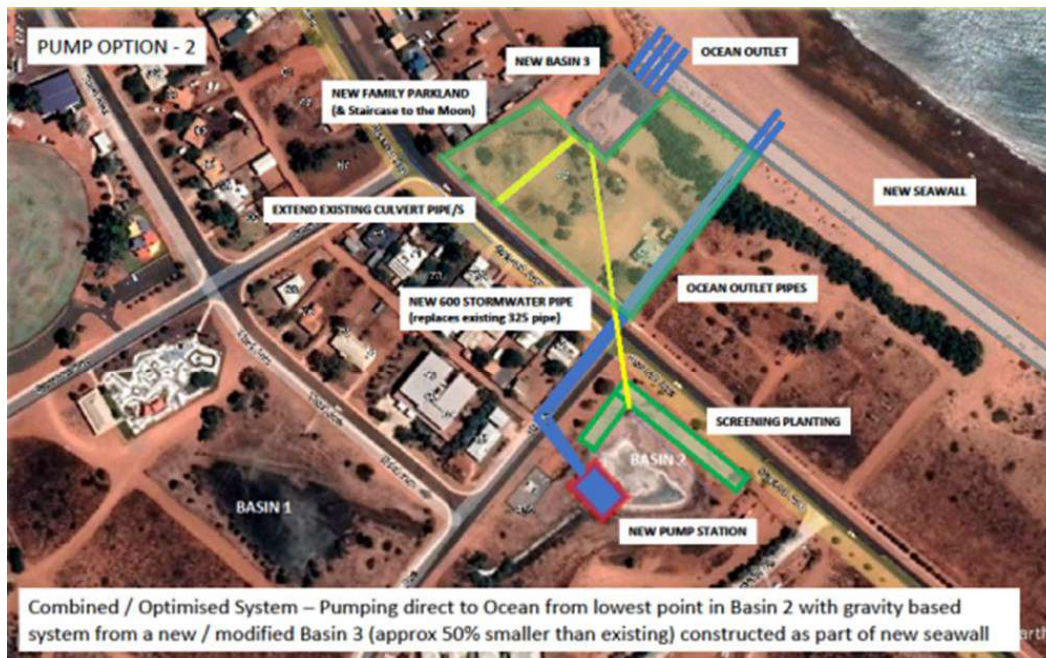


Figure 7B – Pump Option 2

Technical Analysis

A review of various pump flowrates was carried out and a peak flow of 7,000 litres/second has been selected as the optimum pump rate; additional pumping capacity produces negligible or no additional benefits to the flood hazard. Both Options 1 and 2 decrease the flood levels for the 1% AEP 18-hour event by approximately 0.5m, thereby reducing the majority of the flooding to public open spaces and road reserves and also minimising the flooding within private residences.

The proposed pump system would involve a wet pump well (4.5m deep) with four submersible pumps (225 kW each) operating in parallel and discharging to a submerged ocean outfall via a single 1800mm diameter Mild Steel Cement Lined (MSCL) discharge pipeline. As the pumps would also be required to operate at lower flow rates, a Variable Speed Drive pump motor control would be installed at the pump station. The pumps have been selected based on cost effectiveness, availability and efficiency of operation.

A high-level concept assessment was carried out for the pumped systems to provide order of magnitude estimates and to identify any fatal flaws in these options. The cost estimate (with 50% contingency) for the proposed options are as follows; Option 1 \$7,300,000, Option 2 \$8,700,000.

However, the estimates make no allowance for the discharge pipe and diffuser array which is complex infrastructure requiring significant environmental approvals and costing many millions of dollars. The consultant has been requested to provide further information regarding this matter.

The main differentiating element between the two options is the additional (new) ocean outfalls at Basin 3 – as proposed in Option 2. To install the four new outfall pipes as indicated in the concept sketch (refer to Figure 7), approximately 480m of pipework would be required as well as valving to prevent backflow from the ocean during storm surges.

The report also indicates that locating the pumps within Basin 1 may also reduce the flood hazard without increasing the pump capacity. This was an additional option that was assessed at a high-level and which should now be reviewed in further detail as part of follow up work.

Practicality of the Proposed Pump Based Ocean Discharge System

The consultant has been asked to provide further information regarding the proposed pumping solution in terms of order of cost and practicality. At the time of writing this report, that information was not available and if received in time it will be tabled at Council Meeting.

The infrastructure as mentioned above, while it may be technically feasible, may not be particularly practical. The Shire may have difficulty planning, delivering and operating infrastructure of this scale and complexity. The environmental approvals for the ocean outfall (1.8m diameter MSCL pipe discharging into the ocean at a rate of 7,000 litres/second) would be complex and could well take up to two years at considerable cost. Design costs for this type of infrastructure would also be significant.

There would be a significant lead time in obtaining environmental approvals, ordering pipes and arranging for construction (up to five years). The discharge pipe, at 1.8m in diameter, would probably need to be laid beneath the ocean floor and connected to an extensive diffuser array at the ocean outlet; to dissipate flows and eliminate any adverse environmental impact. The infrastructure would also be subject to ongoing maintenance and environmental compliance monitoring and reporting.

At this stage a pumped based solution of this scale, while technically feasible, may not be practical. However, further technical assessment is necessary as pumping may well be one of the few options for dealing with flooding in low lying areas of the town.

Summary of Key Outcomes

The key outcomes are summarised as follows:

- The drainage basin system at the southern end of the town is largely ineffective in discharging stormwater to the ocean during a significant storm event. Ocean water levels are elevated during storm events and stormwater flowing into the system is effectively blocked from discharging to the ocean. One possible option is a pump based solution which discharges stormwater directly to the ocean; however such a system must be practical as well as technically feasible.
- The placement of the Staircase to the Moon structure in Basin 2 is not recommended as it would remove flood storage from the system and cause an increase in flood levels in that area. In addition, the current design is costly and would be difficult to maintain. An alternative location is recommended together with a review of the existing design.
- The configuration and size of the stormwater pipes in the northern part of Second Avenue perform adequately and as would be expected for a typical urban street. Based on the modelling, upgrading the pipe sizes to cater for higher flows is not warranted.
- Third Avenue experiences significant flooding in the 1% AEP event. For most of its length, Third Avenue is very flat and the ability of stormwater to flow through the system relies on the stormwater pipe network in that area. However, the controlling factor is likely to be the detention basin system, which does not have the ability to effectively discharge water in a major event.

- Flooding occurs in low lying residential areas at the northern end of the town (near the Police Precinct). A bund in that location could prevent overland ingress from the northern precinct into that area and runoff could potentially be redirected directly to a new ocean outfall through a proposed pit and associated underground pipe. Further investigations would be necessary to confirm that this is a viable option.
- A number of the existing ocean outfalls require work due to corrosion and deterioration over time. The ocean outfall at the end of Simpson Street requires an outlet structure which can be easily cleaned and maintained on a regular basis.
- Further assessment of the CCTV inspection report is necessary to determine remedial actions required to either reline, repair or clean and maintain existing stormwater pipes.

Consultation

Director Infrastructure Services

Director Community Development

Strategic Community Plan

Shire of Ashburton Strategic Community Plan 2022-2032

Strategic Objective	2. Place - We will provide sustainable, purposeful, and valued built and natural environment opportunities for the community.
Strategic Outcome	2.4 Effective, compliant, and sustainable management of community assets and infrastructure
Strategy	3 Develop and deliver a fit-for-purpose asset maintenance management strategy and systems solution.

Council Policy

Nil

Financial ImplicationsCurrent Financial Year

Further technical investigations, concept designs and costings are required over the next 12 months. A specific allocation of \$500,000 (based on 5% of \$10m) has been included in the draft 2023/2024 Annual Budget to progress the necessary technical work and design studies. It is also intended to explore grant funding options to assist with this work.

Future Financial Year(s)

It is recommended that major works be incorporated into future budget considerations. It is proposed to develop a longer term stormwater investment program for Onslow (5-10 years), to present that plan to Council for endorsement and to commence implementation of that program in the 2024/2025 Financial Year.

Legislative Implications

Nil

Risk Management

Risk has been assessed against the Shire of Ashburton Risk Management Framework.

Theme	Risk	Likelihood	Consequence	Inherent Risk Rating	Risk Treatment
Property (plant, equipment, buildings)	Significant damage requiring internal and external resources to rectify.	Possible (3)	Catastrophic (5)	High (10-16)	Plan, fund and implement significant improvements and upgrades to the stormwater systems in Onslow on an ongoing basis over a period of 5 – 10 years. It should also be noted that through the additional flood modelling that it has identified that retaining the Moon project in its current scope and location will elevate the risk of flooding with the townsite alternative locations and scope to be investigated.
Reputation (social/community)	Substantiated public embarrassment, widespread high impact on community trust, high media profile, third party actions.	Possible (3)	Major (4)	High (10-16)	As above. The Stairway to the Moon project has been a high profile project and any change of scope and location will need to include clear reasons and justification.

Based on the inherent risk rating and risk treatments, the residual risk to the Shire is considered to be medium.

Voting Requirements

Simple Majority

Officer Recommendation

That with respect to the Onslow Flood Study Report, Council:

1. Directs the Chief Executive Officer to further investigate technical design studies, preliminary design work and costings for:
 - (a) A proposed pump based ocean discharge system to be incorporated as part of the detention basin system at the southern end of Second Avenue near the intersection with McGrath Avenue;
 - (b) A proposed diversion bund and ocean outfall at the northern end of Second Avenue as outlined in this report;
 - (c) New outlet structures and discharge pipes for existing ocean outfalls north of Simpson Street;
 - (d) Other alternatives or variations to the proposed pump based system referred to in 1(a) above;
 - (e) Develop a pipe asset improvement and renewal program supported by the Stormwater Closed Circuit Television inspection and condition assessment report (June 2023).
2. Agrees that the proposed Staircase to the Moon structure, is not to be constructed in Detention Basin 2.
3. Requests the Chief Executive Officer to:
 - (a) Develop an alternative concept for the Staircase to the Moon art installation at a different location and provide a further report to Council on the outcome of those investigations.
 - (b) Decommission the pump in Basin 2 and remove the existing artwork/sculpture.
 - (c) Develop a strategic asset improvement and renewal plan (5-10 years) for upgrade works associated with the Onslow stormwater network and present to Council for consideration and inclusion in the Councils Long Term Financial Plan and future budgets before 30 June 2024.

Council Decision **136/2023**

Moved **Cr L Rumble JP**

Seconded **Cr T Mladenovic**

That with respect to the Onslow Flood Study Report, Council:

- 1. Directs the Chief Executive Officer to further investigate technical design studies, preliminary design work and costings for:**
 - (a) A proposed pump based ocean discharge system to be incorporated as part of the detention basin system at the southern end of Second Avenue near the intersection with McGrath Avenue;**
 - (b) A proposed diversion bund and ocean outfall at the northern end of Second Avenue as outlined in this report;**
 - (c) New outlet structures and discharge pipes for existing ocean outfalls north of Simpson Street;**
 - (d) Other alternatives or variations to the proposed pump based system referred to in 1(a) above;**
 - (e) Develop a pipe asset improvement and renewal program supported by the Stormwater Closed Circuit Television inspection and condition assessment report (June 2023).**
- 2. Agrees that the proposed Staircase to the Moon structure, is not to be constructed in Detention Basin 2.**
- 3. Requests the Chief Executive Officer to:**
 - (a) Develop an alternative concept for the Staircase to the Moon art installation at a different location and provide a further report to Council on the outcome of those investigations.**
 - (b) Decommission the pump in Basin 2 and remove the existing artwork/sculpture.**
 - (c) Develop a strategic asset improvement and renewal plan (5-10 years) for upgrade works associated with the Onslow stormwater network and present to Council for consideration and inclusion in the Councils Long Term Financial Plan and future budgets before 30 June 2024.**

Carried 8/0

15 Community Development Reports

15.1 Endorsement of the proposed Community Access and Inclusion Plan 2023-2027

File Reference	CS08
Applicant or Proponent(s)	Not Applicable
Author	C Galliers, Manager Community Services
Authorising Officer	C McGurk, Director Community Development
Previous Meeting Reference	Ordinary Council Meeting 21 November 2017 - Item 12.1 262/2017
Disclosure(s) of interest	Author – Nil
	Authorising Officer – Nil
Attachments	1. Draft Community Access and Inclusion Plan 2023-2027

Report Purpose

Council is required to review the draft Community Access and Inclusion Plan 2023-2027.

The purpose of this report is to present the draft Community Access and Inclusion Plan (the Plan), composed by Wicked Strategies, for Council review.

Council is requested to endorse the document as the Shire of Ashburton's (the Shire) Community Access and Inclusion Plan 2023-2027.

Background

At the Ordinary Meeting of Council held on 21 November 2017, Council endorsed the Disability Access and Inclusion Plan 2018-2022 which is now due for review.

Under the *Disability Services Act 1993*, local governments are required to develop a Disability Access and Inclusion Plan to ensure that people with disability can access services provided by public authorities in Western Australia.

The 2021 Census conducted by the Australian Bureau of Statistics (ABS), collected information from people in the Shire and their need for assistance in these categories:

- Self-care
- Communication
- Mobility due to disability
- Long-term health conditions
- The effects of old age.

The ABS notes a person is considered to be living with disability if they have at least one limitation, restriction or impairment, which will last for at least six months and restricts everyday activities.

The groups of disability defined in the ABS are -

1. Sensory: vision, hearing, speech, touch.
2. Intellectual.
3. Physical: breathing difficulties, blackouts/seizures, chronic pain, incomplete use of limbs, difficulty gripping, restriction in physical activities, disfigurement or deformity.
4. Psychosocial: nervous or emotional, mental illness, memory, social or behavioural.
5. Head injury, stroke or acquired brain injury.
6. Other: conditions or ailments restricting everyday activities.

According to the 2021 Census, 1.2% or 89 people in the Shire reported needing help in their day-to-day lives due to disability, which was very similar to 2016.

The Census also looked for the first time at the level of incidence of selected long-term health conditions. Almost 9% or 869 in the Shire noted one or more long-term condition. The most prevalent were Asthma 426 (5.8%), Mental Health 341 (4.6%), Arthritis 207 (2.8%), Diabetes 198 (2.7%), Heart Disease 113 (1.5%) and Cancer 91 (1.2%).

However, the community consultation revealed a significantly greater number of people across the Shire with a high need for assistance, particularly children. While the Census identified 30% or 27 of those living with disability are young people, with 10 under the age of 9 and 17 aged 10-19, educators across each of the six Primary and Secondary schools in the Shire tell a different story. The numbers of children reported by schools to have psychosocial disorders totals approximately 120, indicating the Census data is grossly under reported, and could be up to three times higher.

In November 2022, the Shire engaged Wicked Strategies to connect with our internal and external stakeholders to review and develop a draft Disability Access and Inclusion Plan that spans over a five-year period. Based on the data relating to disability and feedback from the community, the Plan has been titled as a Community Access and Inclusion Plan to more accurately reflect its vision for our communities it includes.

Comments

The Shire plays an important role in relation to access and inclusion as it undertakes an array of responsibilities which impact on the quality of life of people with disability, their families and carers. These include infrastructure provision, facilities management and the delivery of a wide range of services and programs. People with disability have the same rights as other community members to access the Shire's services and participate fully in community life.

The purpose of the proposed Plan is to develop and enrich outcomes that create vibrancy in the places we live, work, and visit. To aim to build a stronger social wellbeing, promote greater access and inclusion, foster creative cultures and increase economic impact.

The proposed Plan's key theme is "small changes make a big difference" with a practice of starting small, including everyday people with a goal of community wide benefits.

The proposed Plan is based on a five-year plan, with some actions more likely to be achieved in shorter timeframes. The draft document includes the seven outcome areas as prescribed in the *Disability Services Act 1993*:

1. People with disability have the same opportunities as other people to access the services of, and any events organised by, a public authority.
2. People with disability have the same opportunities as other people to access the buildings and other facilities of a public authority.
3. People with disability receive information from the relevant public authority in a format that will enable them to access the information as readily as other people are able to access it.
4. People with disability receive the same level and quality of service from the staff of a public authority as other people receive from staff of that public authority.
5. People with disability have the same opportunities as other people to make complaints to a public authority.
6. People with disability have the same opportunities as other people to participate in any public consultation by a public authority.
7. People with disability can obtain and maintain employment with a public authority.

Following the proposed Plan being presented to Council at the June Briefing Session, the Plan was advertised for public comment for a period of 14 days.

Consultation

From late 2022 to mid-2023, the Shire sought feedback across the community to identify areas for improvement and guide the development of the new Community Access Inclusion Plan (CAIP). Consultation included people with disability, families and carers, medical and allied health providers, educators, residents, key stakeholders and Shire employees.

The process included a series of activities to better understand current levels of accessibility and inclusion in the Shire. A total of 145 people including 26 Shire staff and 119 community members participated in the following ways:

- Community Survey, printed and online
- Community Pop ups in all four towns
- Stakeholder Interviews
- Community group meetings
- Shire staff workshops and focus groups.

The activities were promoted in the following ways:

- Shire website
- Shire Facebook
- Posters at community hub locations
- Stakeholder email
- Media release
- Newsletter.

The Shire's intention to develop the Community Access and Inclusion Plan 2023-2027 was also formally advertised in the Pilbara News, the Notice of Public Advertisement was published on the 25 January 2023 for a period of 21 days.

Strategic Community Plan

Shire of Ashburton Strategic Community Plan 2022-2032

Strategic Objective	1. People - We will support opportunities for the community to be safe, socially active, and connected.
Strategic Outcome	1.2 Communities connected with opportunities
Strategy	2 Drive community engagement to provide input to enhance opportunities aligned with community needs.

Council Policy

Nil

Financial Implications

Current Financial Year

\$29,700 (ex GST) expended in consultancy costs for the development of the draft Community Access and Inclusion Plan.

Future Financial Year(s)

Once formalised, the funds required to implement the actions and outcomes outlined in the Plan will be presented to Council through the Annual Budget process, for the five-year duration.

Legislative Implications

Disability Services Act 1993 – *mandates* that all local governments are required to develop a Disability Access and Inclusion Plan.

Disability Discrimination Act 1992 - makes it unlawful to discriminate against a person, in many areas of public life, including employment, education, getting or using services, renting or buying a house or unit, and accessing public places, because of their disability.

The Equal Opportunities Act (WA) 1984 - to promote equality of opportunity between the citizens of this State; to prevent certain kinds of discrimination based on sex, race, disability, age or various other grounds; to facilitate the participation of citizens in the economic and social life of the community.

Risk Management

Risk has been assessed against the Shire of Ashburton Risk Management Framework.

Theme	Risk	Likelihood	Consequence	Inherent Risk Rating	Risk Treatment
People	Complaints from community relating to inability to access services.	Possible (3)	Minor (2)	Moderate (5-9)	Active engagement with key stakeholders that relate to access and inclusion, to ensure community needs are being met.

Based on the inherent risk rating and risk treatments, the residual risk to the Shire is considered to be medium.

Voting Requirements

Simple Majority

Officer Recommendation

That with respect to the proposed Community Access and Inclusion Plan 2023-2027, Council,

1. Endorses the Plan as shown in Attachment 1, and
2. Authorises the Chief Executive Officer to formalise and publish the Plan and associated actions identified.

Council Decision **137/2023**

Moved **Cr A Smith**

Seconded **Cr M Lynch**

That with respect to the proposed Community Access and Inclusion Plan 2023-2027, Council,

- 1. Endorses the Plan as shown in Attachment 1, and**
- 2. Authorises the Chief Executive Officer to formalise and publish the Plan and associated actions identified.**

Carried 8/0

15.2 Onslow Streetscape Project - Preliminary Concept

File Reference	LP45
Applicant or Proponent(s)	Not Applicable
Author	A Sheridan, Project Manager
Authorising Officer	C McGurk, Director Community Development
Previous Meeting Reference	Nil
Disclosure(s) of interest	Author – Nil
	Authorising Officer – Nil
Attachments	<ol style="list-style-type: none"> 1. Civil Design Concept 2. Landscape Concept 3. Pre-Tender Estimate 4. Project Timeline

Report Purpose

Council is required to consider the Concept Design, as presented in this report for the proposed Streetscape Project in Onslow.

The purpose of this report is to present concepts and cost estimates for the proposed Onslow Streetscape Project prior to seeking community input into the design of the project.

Council is requested to endorse the proposed concept as a basis for proceeding to public consultation.

Background

A number of significant developments are to occur in and around Onslow over the next few years. In addition, the popularity of Onslow as a tourist destination has increased significantly in recent years with caravan parks filled to overflowing during peak holiday periods. It is expected that the provision of new tourist infrastructure will continue to deliver an increase in tourist numbers. However, the town's main street, which has some major features that set it apart from other locations, is showing its age and is in need of a significant makeover.

The purpose of streetscape projects is to not only renew and enhance the existing features of the street, but to provide a range of amenity improvements which create a vibrant and pedestrian friendly environment which caters to the needs of both residents and visitors. As has been proven with similar projects around the country, streetscape renewal projects of this kind provide for multiple benefits, but in particular, they stimulate new opportunities for private investment within the town; creating a better mix of businesses which cater to the growing population and growing popularity of the town.

In January 2023, consultants were engaged to develop civil and landscape concepts for the main part of the town; essentially Second Avenue from Anzac Memorial down to the Onslow Sun Chalets. That work has been underway for the last four months and has included a number of related bodies of work:

- A CCTV inspection of the stormwater pipe network within the subject area to determine its condition and structural rating.
- A flood modelling exercise to determine if the configuration and capacity of the pipe network is adequate (as reported in a separate report in this Agenda).

- A detailed feature survey of the subject area (pipes, pits, kerb lines, services infrastructure etc) which will be necessary for detailed design purposes.
- A Safety Audit of the proposed road layout.

The Civil and Landscape Concept Designs are provided at Attachments 1 and 2 to this report.

For the purpose of design, cost estimating and sequencing of works, the streetscape has been broken into three distinct Stages as follows (and as depicted in Figure 1):

- Northern Precinct – north from the existing caravan park entrance.
- Stage 1 – from the Caravan Park to the Onslow Beach Resort.
- Stage 2 – from the Onslow Beach Resort south to Cameron Avenue.

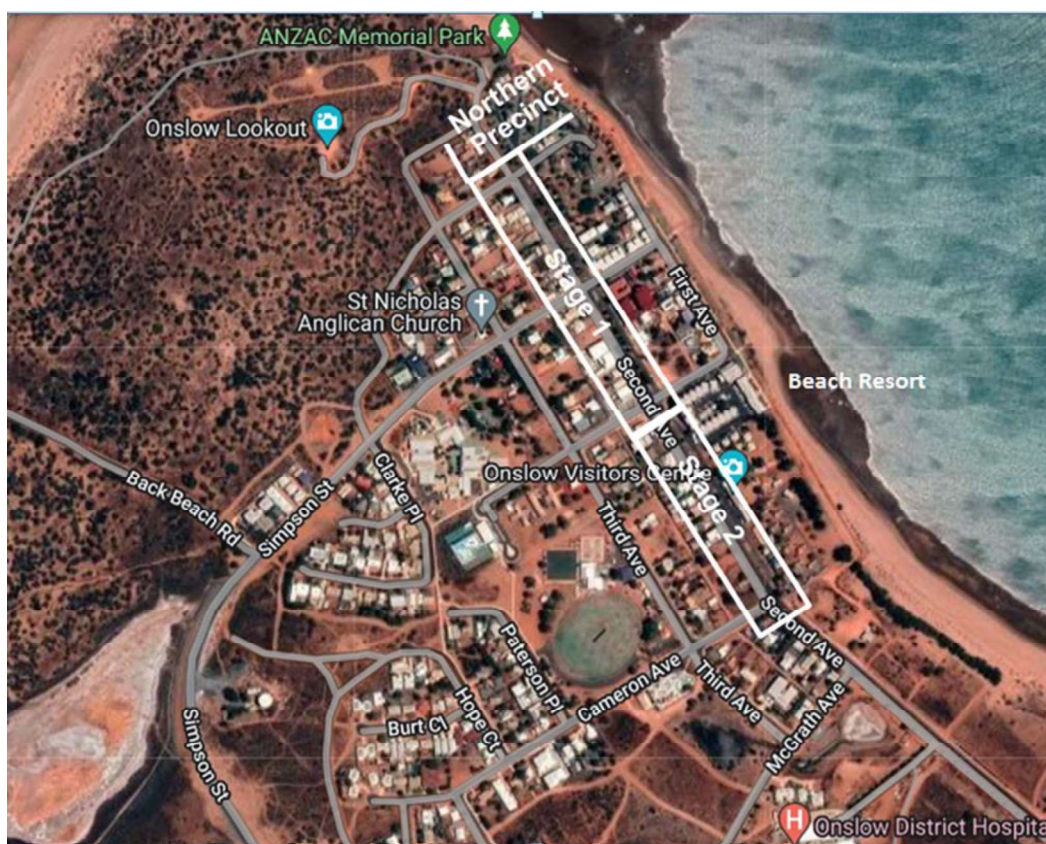


Figure 1 – Proposed Staging/Onslow Streetscape Works

Comments**Overall Design Objectives**

The Design Objectives for the Streetscape are summarised as follows:

- Reinforce the major avenue of tree plantings along the street (refer to Figure 2).
- Create a pedestrian friendly and low speed traffic environment.
- Provision of shade, seating and gathering spaces along the street.
- Provide for convenient and accessible parking.
- Create a sense of place through landscape planting and public art.
- Create an environment that will assist in stimulating private investment.
- Affordability and ease of maintenance.



Figure 2 – Existing Mature Trees (Red River Gums) along Second Avenue

Specific Design Principles

Note that the following Design Principles were developed prior to, and concept work being undertaken.

General Principles

- Existing Horizon Power street lighting is in good condition and is considered adequate for the new streetscape project.
- Generally, retain all existing street trees and vegetation.
- Extend and enhance the tree planting theme along Second Avenue south of Third Street.

- Install new garden beds/plantings within available spaces (refer below).
- Retain existing kerb lines and street levels where possible (except at intersections).
- Road surface to be AC – pothole patching and corrector course followed by AC overlay.
- Carpark at intersection of Third Street and Second Avenue to be delivered as part of Stage 1 works (25 car bays and eight caravan/boat bays).
- Install small roundabouts at key intersections (First, Simpson and Third).
- Footpaths (existing - generally 1.2m) to be widened to a minimum of 2.5m for entire length of streetscape – on both sides of road.
- Create an enhanced “public plaza/gathering space” (seating, vegetation, public art etc) outside the supermarket – which is a key gathering/meeting point in the town.
- Enhance the existing public space outside the Council Administration Centre with more soft landscaping.

Road Layout

Road widths are generous and provide scope for extending footpaths or median garden beds.

- Lane widths are 6m plus for most of the street. Aim for a minimum lane width of 4m (which is still wider than an average lane width of 3.5 metres).
- Carpark parallel parking bays:
 - North of Third Street– generally retain existing bays (width 2.6m, length 6.6m)
 - South of Third Street – remove every third bay (depending on crossovers) and replace with a tree planting bed containing a white stem gum tree.
- Retain angle parking bays on western side of street and allow sufficient road width for vehicles to manoeuvre.
- Roundabouts:
 - Design generally as per examples from Bunbury streetscape (small/semi mountable with central artwork installation). Roundabouts to be checked for caravan turning movements.
 - Roundabout at First Street requires lane re-orientation heading south from the new Ocean View Caravan Park – so that traffic is diverted onto the southbound lane.
 - Possible art options include (note that the Shire is also working on a Shire Arts Strategy which may have some bearing on this):
 - engage with local community for an indigenous artwork/sculpture at the main entrance to the town on Simpson Street.
 - relocate existing artwork from median (between First and Simpson) and place in the new roundabout at First Street.
 - nautical/fishing/fish theme for the Third Street roundabout.
- Pedestrian crossing points to be provided – offset from roundabouts at each intersection (on each leg) and one mid-block crossing on each block of Second Avenue.

- Demolish and replace all kerbing with new.

Detailed set of line-marking drawings required as part of 15% design.

Footpaths

- Widen on both sides of road to minimum of 2.5m.
- Preference is for concrete (easy to maintain and repair) with Ochre colouring – reflecting the Pilbara landscape.
- New footpaths to be either created against the property boundary or out from the kerb (as suited to the particular area).
- Install new garden beds/irrigation to complement the new footpaths.
- Install new footpath heading south from Third Street on eastern side of road – past the Museum and Sun Chalets.

Stormwater

- Existing stormwater pipes in Stage 1 (north of Third Street) have been assessed as adequate in terms of capacity although there is still a question mark over serviceability/condition (this is being assessed further).
- Existing stormwater pipes in Stage 2 (south of Third Street) will likely require work (to be confirmed following stormwater modelling and CCTV inspection).
- Asset system indicates there are a few Asbestos pipe runs in Stage 1 which may need to be replaced prior to the streetscape project commencing.
- If pipe condition is poor, then intention is to reline using “Interflow” or similar product rather than replacing.
- It is noted that some of the grated pits become heavily blocked with leaves from street trees in Second Avenue (refer to figure 2).
- Wherever possible, convert existing pits to combination side entry and grated configuration (to improve water flow into the pipe system).

Street Trees/Vegetation

- Some street trees are already contained within a kerbed border. Intention is to expand the existing median planting beds where possible (to provide growing space for tree roots).
- All trees to have a kerbed garden bed border to improve infiltration and enhance volume of growing media. Install root barriers to existing trees where possible.
- New tree planting to be provided with designed planting median beds and root barriers as opposed to simply putting the trees into a hole.
- Install more “Tropical” type trees along the street if possible (introducing heavy green foliage and shade).
- Relocate existing (hidden) public artwork from median between Simpson Street and First Street and put it somewhere where it can be seen (perhaps at the proposed roundabout on First Street).
- Enhance the existing tree plantings on the eastern side of the road south from Third Street past the Museum and Sun Chalets

- Install irrigated garden beds/plantings between property boundaries and footpath or between footpath and kerb (as per individual circumstances).

Maintenance

Note that when all of this is in place, it will warrant an extra full time employee in the Town Maintenance area to specifically maintain the street/streetscape and to ensure that the garden beds and trees grow and are maintained.

Concept Designs

Civil Concept Design drawings based on LiDAR survey imaging are provided at Attachment 1. Note that the drawing base will be updated with detailed feature survey data for the next iteration. The text boxes have been included to indicate key elements of the Concept Design.

Landscape Concept drawings are provided at Attachment 2. Note that these are concept drawings only, sufficient for the purpose of identifying the scope of works and producing a cost estimate. More detailed landscape drawings will be developed during the next phase of the design.

A 3D Model of the proposed streetscape has been developed (but was not available at the time of writing this report) to show how the street will look and feel following the implementation of the proposed works. The 3D Model will include a fly-through simulation of the street, together with a number of still images at various locations along the street. 3D modelling is an essential component of almost every modern streetscape project. Many people have difficulty reading and interpreting 2D plans, so 3D visualisations are an essential tool for conveying the intended outcome of the proposed works.

Car parking

An audit of existing and proposed car parking bays is as follows:

- Existing bays along the street: 85
- New bays along street: 101
- New bays in Chemist car park: 25 cars and eight caravan bays
- Oversize vehicle bays adjacent to Visitor Information Centre: four bays.

Based on the above, the proposed scheme increases the number of car parking bays by 41 bays, which represents a 48% increase over the existing. It should, however, be noted that many of the existing bays in the street are poorly marked or not marked at all. Taking this into account, the increase in car parking bays is probably closer to 30%, which is nevertheless, significant.

In addition, eight new caravan bays have been provided in the proposed new carpark near the Chemist and a further four bays adjacent to the Visitor Information Centre. Also, there is nothing to stop caravans parking in the parallel car parking bays south of the Onslow Beach Resort. The bays will of course be marked for cars and that may deter some from using them, but it won't stop them from being used by larger vehicles.

In addition, there is a proposed area of Shire owned land on the way into town which has been suggested as a possible Visitor Information Bay and overflow carpark (refer to Figure 2). That area of land would be sufficient for up to 60 large parking bays, should that be required in the future. That facility is not part of the streetscape at this time.



Figure 2 – Location of Future Visitor Information Bay and Overflow Carparking

Cost Estimate

A pre-tender estimate of the 15% concept design for both the civil works and landscape works has been developed. A copy of that costing is provided at Attachment 3. The cost of major items such as concrete and asphalt have been checked with local suppliers and rates are generally taken from recent tenders – so they reflect the current market and Pilbara prices (which are considerably in excess of Perth prices).

In summary, the three components of the Concept Design have been estimated as follows (refer to Figure 1 for general location):

- Northern Precinct Works - \$4.8m (excl GST)
- Stage 1 Streetscape Works - \$10.8m (excl GST)
- Stage 2 Streetscape Works - \$6.0m (excl GST).

Stormwater Works

The condition of the existing stormwater system has been addressed as part of a separate Onslow Flood Studies report (refer to report in this Agenda).

Stormwater modelling indicates that the configuration and size of the stormwater pipes in the northern part of Second Avenue perform adequately and as would be expected for a typical urban street. Based on the modelling, upgrading the pipe sizes to cater for higher flows is not warranted.

However, ponding also occurs at road intersections and at locations along the street due to the uneven nature of the pavement. It is proposed to rectify these issues as part of the streetscape project. In particular, the intersections will be reconfigured and graded so that water flows to stormwater pits rather than collecting in the middle of the intersections. It is also proposed to upgrade stormwater pits to incorporate both a grated and side entry configuration – so that they more efficiently capture stormwater along the street.

A recent CCTV inspection (refer to Onslow Flood Studies report in this Agenda) has revealed that the stormwater pipes are generally in good condition, however some of the pipes have been rated as poor in terms of both condition and structural rating. Those pipes will need either maintenance works (cleaning) or renewal works (possibly relining) prior to the streetscape works progressing.

In addition, a number of the existing ocean outfalls require work due to erosion and deterioration over time. The ocean outfall at the end of Simpson Street in particular, requires an outlet structure which can be easily cleaned and maintained on a regular basis – preferably by machine. That outlet is critical to the drainage in that area and must be properly maintained so that is kept operational and free from sand build up at all times.

The works as outlined above are considered as maintenance and asset renewal works and should form part of the Infrastructure Services budget for those assets. The CCTV report will need to be reviewed in detail and a schedule of works developed based on the inspection reports. The works can then be costed and programmed as necessary.

A new stormwater ocean outlet and associated works is also proposed for the northern end of Second Avenue to mitigate the effect of flooding in low lying areas in that part of the town. Further details are contained in the Onslow Flood Studies report with a recommendation that Council make provision for further technical investigations and design work as part of the 2024/2025 Annual Budget.

Project Timeline

An updated Project Timeline for the proposed streetscape project is provided at Attachment 4. The project timeline is based on the current budget allocation and phasing of the project over the following three financial years.

Consultation

Chief Executive Officer

Director Community Development

Strategic Community Plan

Shire of Ashburton Strategic Community Plan 2022-2032

Strategic Objective	2. Place - We will provide sustainable, purposeful, and valued built and natural environment opportunities for the community.
Strategic Outcome	2.3 Attractive and sustainable townscapes offering opportunities for all communities
Strategy	1 Provide attractive, well-maintained streetscapes, verges, parks, and reserves.

Council Policy

Nil

Financial Implications

Current Financial Year

Design costs for the current financial year have been met from existing allocations.

Future Financial Year(s)

An allocation of \$1.5m has been included for consideration in the draft 2024/2025 Annual Budget. This will be sufficient for limited preliminary works (approx. \$1m) with the balance being for detailed design and community consultation. The scope of the preliminary works is to be confirmed.

The following future budget allocations are proposed:

- Financial Year 2025/2026 – Stage 1 - \$10.8m
- Financial Year 2026/2027 – Stage 2 - \$6.0m
- Financial Year 2027/2028 – Northern Precinct - \$4.8m.

Legislative Implications

Nil

Risk Management

Risk has been assessed against the Shire of Ashburton Risk Management Framework.

Theme	Risk	Likelihood	Consequence	Inherent Risk Rating	Risk Treatment
Reputation (social/community)	Substantiated public embarrassment, moderate impact on community trust or moderate public media profile	Possible (3)	Moderate (3)	Moderate (5-9)	Detailed project planning and ongoing project management during the delivery phase of the works.
Financial impact	Exceeds deadline by 15% or exceeds project budget by 25%.	Possible (3)	Moderate (3)	Moderate (5-9)	Continual refining of cost estimates, comprehensive and detailed project planning and engagement of a capable and experienced contractor.

Based on the inherent risk rating and risk treatments, the residual risk to the Shire is considered to be medium.

Voting Requirements

Simple Majority

Officer Recommendation

That with respect to the Onslow Streetscape Preliminary Design Concept, Council,

1. Endorses the Concept Design as presented in this report, as a basis for proceeding to public consultation.
2. Requests the Chief Executive Officer to provide a further report to Council following the public consultation process.
3. Notes that an amount of \$1.5m for the project has been included in the draft 2023/2024 Annual Budget and that this amount will only be sufficient for preliminary works (the scope of which is to be further defined) and ongoing design/community consultation
4. Notes that the majority of construction works are proposed to be delivered in stages commencing in the 2024/2025 financial year.

Council Decision **138/2023**

Moved **Cr L Rumble JP**

Seconded **Cr M Lynch**

That with respect to the Onslow Streetscape Preliminary Design Concept, Council,

- 1. Endorses the Concept Design as presented in this report, as a basis for proceeding to public consultation.**
- 2. Requests the Chief Executive Officer to provide a further report to Council following the public consultation process.**
- 3. Notes that an amount of \$1.5m for the project has been included in the draft 2023/2024 Annual Budget and that this amount will only be sufficient for preliminary works (the scope of which is to be further defined) and ongoing design/community consultation**
- 4. Notes that the majority of construction works are proposed to be delivered in stages commencing in the 2024/2025 financial year.**

Carried 8/0

At 1:27 pm, Cr Linton Rumble JP left the meeting.

At 1:28 pm, Cr Melanie Gallanagh left the meeting.

At 1:28 pm, Cr Alana Sullivan left the meeting.

Cr M Gallanagh disclosed a direct financial interest in Item 15.3 (detailed in Item 5.2).

Deputy Shire President Cr M Lynch disclosed an indirect financial interest in Item 15.3 (detailed in Item 5.2).

Cr T Mladenovic disclosed a direct financial interest in Item 15.3 (detailed in Item 5.2).

Cr L Rumble JP disclosed a direct financial interest in Item 15.3 (detailed in Item 5.2).

Cr A Smith disclosed a direct financial interest in Item 15.3 (detailed in Item 5.2).

Cr A Sullivan disclosed a direct financial interest in Item 15.3 (detailed in Item 5.2).

15.3 Acceptance of Signature Event and Activity Late Applications 2023/2024

File Reference	GS01
Applicant or Proponent(s)	Not Applicable
Author	T Staley, Grants and Communities Administrator
Authorising Officer	C McGurk, Director Community Development
Previous Meeting Reference	Ordinary Council Meeting 9 May 2023 - Item 14.2 - (082/2023)
Disclosure(s) of interest	Author – Nil
	Authorising Officer – Nil
Attachments	1. North West Tee Ball 2023 2. Nameless Festival Event Summary 2024

Report Purpose

Council is required to consider the two late applications for Signature Event and Activities Grants in accordance with Council Policy – Community Donations, Grants and Funding.

The purpose of this report is to provide the late submissions to Council for review.

Council is requested to receive and approve the late applications submitted from the Tom Price Tee Ball Association (refer to Attachment 1) and the Nameless Jarndunmunha Festival Committee (refer to Attachment 2).

Background

The Shire supports the following grants under Council Policy – Community Donations, Grants and Funding as follows:

Signature Events and Activities Grant (SEA)

Applications are available to incorporated and unincorporated associations for events and activities that provide a broad community benefit. Applications and amounts are assessed and determined by Council. Approved applications are set an allocation in the following years budget.

The closing date for applications was the 28 March 2023, nine applications were received for Signature Events and Activities during this application period. An additional two applications have since been received as follows:

- Tom Price Tee Ball Association (received 1 June 2023) for the North West Tee Ball Tournament 2023.
- Nameless Jarndunmunha Festival Committee (received 21 June 2023) for the proposed Nameless Jarndunmunha Festival 2024.

At its meeting held 9 May 2023, Council approved eight applications to the value of \$69,000 as follows –

- (a) Pannawonica Gala Association - \$10,000
- (b) Ashburton Anglers Inc - \$10,000 for three years
- (c) Tom Price Campdraft Inc - \$10,000
- (d) Paraburdoo Red Dirt Rocks - \$10,000 for three years
- (e) Tom Price Baptist Church - \$5,000 for three years
- (f) Onslow Rodeo Association - \$10,000 for three years
- (g) Karingal Neighbourhood Centre - \$4,000
- (h) Pannawonica Rodeo Association - \$10,000 for three years.

Council declined the Yinhawangka Aboriginal Corporation application for \$13,000.

The Nameless Jarndunmunha Festival Committee had submitted and withdrew an application for the proposed 2023 Nameless Jarndunmunha Festival, requesting \$85,000 from the Shire of Ashburton, with \$5,000 in kind support, and a matching \$85,000 from Partnership funding.

The Committee were asked to review the details and associated funding request given the details presented in their original submission. The Committee then reduced their funding request to \$65,000 from the Shire of Ashburton and a matching \$65,000 from Partnership funding. Due to the committee's capacity and resourcing at the time, they withdrew their application for the proposed 2023 event prior to it being received by Council at the 9 May 2023 Council meeting.

On 18 April 2023, the Committee requested an extension to provide an application for a proposed 2024 Nameless Jarndunmunha Festival to be presented to Council at the June 2023 Council meeting, to allow more time to provide relevant details for Council's review.

Following multiple follow-ups via email to receive this information, the late application was received on the 21 June 2023 (refer to Attachment 2).

Comments

The two late applications have been assessed on the:

- Criteria outlined in Council Policy – Community Donations, Grants and Funding,
- General conditions, and
- Criteria and compliance information provided.

The table below provides a summary of the applications received.

Town:	Tom Price	Tom Price
Club/Organisation:	Tom Price Tee Ball Association	Nameless Jarndunmunha Festival Committee
Project:	Northwest Tee Ball Tournament, Regional Event 2023	Nameless Jarndunmunha Festival 2024
Funding Sought:	\$11,083.50 financial donation to cover the costs of Shire facilities hire, extra bins and accommodation for six umpire officials for three nights.	\$65,000.00 financial donation towards The Nameless Festival four-day event comprising of the Nameless Ball and a full festival weekend with twilight markets and entertainment. \$5,000.00 in-kind donation for costs of Community Hall hire and waste management.
Is this Compliant?	Yes	Yes
Suggested Action:	Approve application.	Approve application.

North West Tee Ball Tournament Regional Event 2023 (refer to Attachment 1)

Tom Price Tee Ball Association (the Association) are requesting a total of \$11,083.50 financial donation to cover the costs of Shire facilities hire, extra bins over the weekend and accommodation for umpire officials. Extra bins are requested for Clem Thompson Memorial Pavilion and Tjiluna Softball Oval to ensure the area remains tidy and clean with the expected number of patrons. Accommodation in the transit house is requested for six umpire officials for three nights to allow for appropriate and professional officiation of the weekend's tournament.

In total, the Association expect between 150 to 250 competitors from juniors through to seniors, as well as six officials from Tee Ball WA travelling from Perth to officiate the event. They also expect to have approximately 400 spectators from competitor towns including those participating from Tom Price.

The Association are also seeking alternative corporate sponsorship and planning fundraising events to help with the costs of hosting the weekend's regional tournament. Extra costs include – travel for their officials, accommodation and meals for team players, player trophies and perpetual trophy engraving. The Association are also securing service providers to accommodate meals for all participants over the weekend.

Nameless Jarndunmunha Festival 2024 (refer to Attachment 2)

The proposed 2024 Nameless Jarndunmunha Festival follows the absence of this signature event in 2022 and 2023 due to the capacity and resourcing of the committee. This has resulted in the proposed 2024 Festival being the first four-day event since 2021. At present the current committee are recruiting new committee members, seeking corporate sponsorship and grants in the hope this historical event can be delivered to the community in the coming year.

The late application submitted by the Nameless Jarndunmunha Festival Committee requests \$65,000 from the Shire of Ashburton, with \$5,000 in-kind. The proposed Festival encompasses a four-day event comprising of the Nameless Ball and a full festival weekend with twilight markets and entertainment.

The \$5,000 in-kind donation is to cover the costs of the Community Hall hire and additional waste management requirements. The application also requests a matching amount of \$65,000 from Rio Tinto Partnership funding, with an additional cost towards prizes that the committee are sourcing funding elsewhere.

The total cost to deliver the proposed 2024 Nameless Jarndunmunha Festival four-day event equates to \$154,496.

Consultation

Executive Leadership Team

North West Tee Ball Association

Nameless Jarndunmunha Festival Committee

Strategic Community Plan

Shire of Ashburton Strategic Community Plan 2022-2032

Strategic Objective	1. People - We will support opportunities for the community to be safe, socially active, and connected.
Strategic Outcome	1.2 Communities connected with opportunities
Strategy	4 Support and develop sustainable clubs and groups, providing opportunities for meaningful participation in arts, culture, sport, and recreation.

Council Policy

Council Policy – Community Donations, Grants and Funding provides the guidelines for the applications and the criteria for assessment.

Financial Implications

Current Financial Year

Nil

Future Financial Year(s)

If the above recommendations for the two late applications are adopted by Council, there would be an additional \$81,083.50 allocated to the 2023/2024 Financial Year for the already approved Signature Events and Activities budget for Council adoption in July 2023.

Legislative Implications

Section 6.7 of *Local Government Act 1995*

Money held in the municipal fund may be applied towards the performance of functions and the exercise of the powers conferred on the local government by the *Local Government Act 1995* or any other written law.

Risk Management

Risk has been assessed against the Shire of Ashburton Risk Management Framework.

Theme	Risk	Likelihood	Consequence	Inherent Risk Rating	Risk Treatment
Reputation (social/community)	Unsuccessful applicants publicly criticise the Shire.	Possible (3)	Insignificant (1)	Low (1-4)	Ensure appropriate Policy procedures are in place and followed. Ensure applications are approved based on the criteria in the policy. Officers to collaborate with clubs/groups to improve future applications.

Based on the inherent risk rating and risk treatments, the residual risk to the Shire is considered to be low.

Voting Requirements

Simple Majority

Officer Recommendation

That with respect to Acceptance of the Signature Event Activities Late Applications 2023/2024 for the summarised purposes above, Council approves the following:

1. Tom Price Tee Ball Association - \$11,083.50, and
2. Nameless Jarndunmunha Festival Committee - \$65,000 financial assistance, \$5,000 in-kind donation, \$65,000 Rio Tinto Partnership funding.

Council Decision **139/2023**

Moved **Cr R De Pledge**

Seconded **Cr A Smith**

That with respect to Acceptance of the Signature Event Activities Late Applications 2023/2024 for the summarised purposes above, Council approves the following:

1. **Tom Price Tee Ball Association - \$11,083.50, and**
2. **Nameless Jarndunmunha Festival Committee - \$65,000 financial assistance, \$5,000 in-kind donation, \$65,000 Rio Tinto Partnership funding.**

Carried 5/0

At 1:31 pm, Cr Linton Rumble JP returned to the meeting.

At 1:31 pm, Cr Melanie Gallanagh returned to the meeting.

At 1:31 pm, Cr Alana Sullivan returned to the meeting.

16 Councillor Agenda Items / Notices of Motion

Nil

17 New Business Of An Urgent Nature Introduced By Council Decision

Nil

18 Confidential Matters

Procedural Motion

Moved Cr A Smith

Seconded Cr T Mladenovic

That Council move behind closed doors at 1:32pm, pursuant to clause 6.2 of the *Shire of Ashburton Standing Orders Local Law 2012* to consider the following confidential items.

18.1 Appointment of Deputy Chief Executive Officer

7.1 Chief Executive Officer Key Performance Indicators 2023/2024

Pursuant to sub section 5.23 (2) (c) of the Local Government Act 1995 which provides:

- (a) a matter affecting an employee or employees

Carried 8/0

18.1 Appointment of Deputy Chief Executive Officer

File Reference	PE.CEO01
Applicant or Proponent(s)	Not Applicable
Author	A Heraty, Manager Organisational Development
Authorising Officer	K Donohoe, Chief Executive Officer
Previous Meeting Reference	Ordinary Council Meeting 13 December 2022 – Item 19.3 – 188/2022
Disclosure(s) of interest	Author – Nil
	Authorising Officer – Nil
Attachments	1. Summary Report to Council - Deputy Chief Executive Officer

Reason for Confidentiality

Section under the Act	<i>This matter is to be considered behind closed doors pursuant to s.5.23(2)(a) of the Local Government Act 1995 as the subject matter relates to:</i>
Sub-clause and Reason:	<i>“s.5.23(2)(a) a matter affecting an employee or employees.”</i>

Report Purpose

The purpose of this report is to recommend the appointment of the identified preferred candidate for the Senior Designated position of Deputy Chief Executive Officer (DCEO) for a contract term of five years.

Council is requested to accept the Chief Executive Officer's (CEO) recommendation.

Voting Requirements

Simple Majority

Council Decision **140/2023**

Moved **Cr A Smith**

Seconded **Cr T Mladenovic**

That with respect to the Appointment of Deputy Chief Executive Officer, Council, accepts the Chief Executive Officer's recommendation to, subject to the successful completion of due diligence checks, appoint the preferred candidate (as outlined in the report) to the position of Deputy Chief Executive Officer for a contract term of five years as a Senior Designated Employee

Carried 8/0

At 1:37pm, Shire Officers staff left the meeting.

Chief Executive Officer's Performance Review Occasional Committee Meeting held on 11 July 2023

7.1 Chief Executive Officer Key Performance Indicators 2023/2024

File Reference	PE.1808
Applicant or Proponent(s)	Not Applicable
Author	A Heraty, Manager Organisational Development
Authorising Officer	A Heraty, Manager Organisational Development
Previous Meeting Reference	Chief Executive Officer's Performance Review Occasional Committee 13 June 2023 – Item 6.1 Ordinary Council Meeting 13 June 2023 - Item 6.1 – 115/2023
Disclosure(s) of interest	Author – Nil
	Authorising Officer – Nil
Attachments	1. CEO Review 2023 Consultant Report to Council - Confidential

Reason for Confidentiality

Section under the Act	<i>This matter is to be considered behind closed doors pursuant to s.5.23(2)(a) of the Local Government Act 1995 as the subject matter relates to:</i>
Sub-clause and Reason:	<i>"s.5.23(2)(a) a matter affecting an employee or employees."</i>

Report Purpose

Council is requested to adopt the amended Key Performance Indicators (refer to Attachment 1), as measurement criteria for the Chief Executive Officer (CEO) to complete during the 2023/2024 financial year.

Council Decision **141/2023**

Moved **Cr M Lynch**

Seconded **Cr L Rumble JP**

That with respect to the Chief Executive Officer's Key Performance Indicators 2023/2024, the Chief Executive Officer's Performance Review Occasional Committee recommends that Council, adopts the amended Chief Executive Officer Key Performance Indicators as detailed in Attachment 1, as the measurement criteria for the 2023/2024 financial year.

Carried 8/0

Council Decision 142/2023

Moved Cr M Lynch

Seconded Cr M Gallanagh

That Council re-open the meeting to the public at 1:38pm.

Carried 8/0

At 1:38pm, Shire Officers return to the meeting.

Shire President read aloud decision made behind closed doors.

19 Next Meeting

The next Ordinary Council Meeting will be held at 1:00pm on Tuesday 8 August 2023 at Council Chambers, Onslow Shire Complex, Second Avenue, Onslow.

20 Closure Of Meeting

There being no further business, the Presiding Member closed the meeting at 1:39pm.