

# **BUSINESS PAPER**

## **ORDINARY MEETING**

**WEDNESDAY 24TH APRIL 2024**

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# WARREN SHIRE COUNCIL

## AGENDA - ORDINARY COUNCIL MEETING

24th April 2024 commencing at 8.30 am

**1. OPENING OF MEETING**

**2. ACKNOWLEDGEMENT OF COUNTRY**

Warren Shire Council acknowledges the traditional owners of the lands within Warren Shire and acknowledges the Aboriginal and Torres Strait Islander people who reside within this Shire.

**3. APOLOGIES AND APPLICATIONS FOR A LEAVE OF ABSENCE BY COUNCILLORS**

**4. CONFIRMATION OF MINUTES**

Ordinary Meeting held on Thursday, 28th March 2024.

**5. DISCLOSURES OF INTERESTS**

**6. MAYORAL MINUTE(S)**

Nil.

**7. REPORTS OF COMMITTEES**

Meeting of the Ewenmar Waste Depot Committee held on  
Monday, 8th April 2024 ..... (G2-5.4)

Meeting of Manex held on Tuesday, 16th March 2024 ..... (C14-3.4)

**8. REPORTS OF DELEGATES**

Item 1 Meeting of the Alliance Western Councils Board held on  
Friday, 15th March 2024 ..... (C14-6.5)

**9. REPORTS TO COUNCIL**

**POLICY**

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Item 1 Fraud and Corruption Policy and Framework ..... (P13-1, A1-3)

Item 2 Warren Shire Council Customer Service Ethos Policy ..... (S12-10, P13-1)

#### REPORTS OF THE GENERAL MANAGER

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|--------|---|----------|
| Item 1 | Outstanding Reports Checklist (C14-7.4) .....   | Page 1   |
| Item 2 | Committee/Delegates Meetings (C14-2) .....  | Page 19  |
| Item 3 | Works Progress Reports – Infrastructure Projects (C14-7.1, G4-1) .                                    | Page 20  |
| Item 4 | Internal Audit and Risk Management Framework (A1-3.1) .....   | Page 38  |
| Item 5 | Draft 2024/2025 Operational Plan (A4-4.1/1) .....   | Page 93  |
| Item 6 | Rural Fire Service (RFS) Warren Central Brigade Shed<br>Development and Land Use Report (B7-12) ..... | Page 99  |
| Item 7 | Disclosures of Interest – Councillors and<br>Designated Persons (A7-9) .....                          | Page 125 |

#### REPORTS OF THE DIVISIONAL MANAGER FINANCE AND ADMINISTRATION

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|--------|---|---------|
| Item 1 | Réconciliation Certificate – March 2024 (B1-10.16) .....                            | Page 1  |
| Item 2 | Statement of Rates and Annual Charges (R1-4) .....                                  | Page 4  |
| Item 3 | Works Progress Reports –<br>Finance & Administration Projects (C14-7.1, C9-1) ..... | Page 6  |
| Item 4 | 2024/2025 Draft Estimates (E4-44) .....   | Page 7  |
| Item 5 | Warren Shire Librarian’s Operations Report (L2-2) .....                             | Page 10 |

#### REPORTS OF THE DIVISIONAL MANAGER ENGINEERING SERVICES

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|--------|---|---------|
| Item 1 | Works Progress Reports – Roads (C14-7.2) .....          | Page 1  |
| Item 2 | Works Progress Reports – Town Services (C14-7.2) .....  | Page 13 |
| Item 3 | Works Progress Reports – Fleet/Workshop (C14-7.2) ..... | Page 34 |

#### REPORTS OF THE MANAGER HEALTH AND DEVELOPMENT SERVICES

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|--------|---|--------|
| Item 1 | Development Application Approvals (B4-9) .....  | Page 1 |
| Item 2 | Works Progress Reports –<br>Health and Development Services (C14-7.3) .....   | Page 2 |
| Item 3 | Development Application – Rural Fire Services<br>Warren Central Brigade Facility and Subdivision,<br>Lots 1 and 2 DP853548 Wilson Street Warren (P16-23.21) ..... | Page 7 |

**10. NOTICES OF MOTIONS/QUESTIONS WITH NOTICE**

Nil.

**11. MATTERS OF URGENCY**

Nil.

**12. CONFIDENTIAL MATTERS**

**Reports of the Divisional Manager Engineering Services**

Item 1 Provision of Casual Plant Hire and Minor Works (C13-87) ..... Page 1

Item 2 Replacement of Flood Gates on the  
Warren Town Flood Levee (C13 – 89) ..... Page 6

Item 3 Supply and Installation of Rubber Wet Pour Surfacing (C13 – 90) Page 30

**13. CONCLUSION OF MEETING**

**14. PRESENTATIONS**

Nil.

## **EWENMAR WASTE DEPOT COMMITTEE MEETING**

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Attached are the Minutes of the Ewenmar Waste Depot Committee Meeting held on Monday 8<sup>th</sup> April 2024.

**RECOMMENDATION:**

That the Minutes of the Ewenmar Waste Depot Committee Meeting held on Monday 8<sup>th</sup> April 2024 be received and noted and the following recommendations be accepted:

**ITEM 5.2      RECYCLING OPTIONS      (G2-5.4)**

2. The results of the survey be communicated to the Warren Shire Community;
3. Kerbside recycling services be placed on hold;
4. The Manager Health and Development Services to investigate the feasibility of implementing a return and earn facility and other recycling services in conjunction with NetWaste, on a regional basis and other organisations; and
5. Council re-assesses the community's satisfaction with recycling services in 2 years time.

**ITEM 5.3      RURAL ACCESS CHARGE SURVEY RESULTS      (G2-5.4)**

2. The Rural Access Charge be levied upon the rural assessments at \$10/rural farmland assessment annually within the draft 2024/2025 Operational Plan and Estimates for the commencement after 1<sup>st</sup> July, 2024.

**WARREN SHIRE COUNCIL**  
**Minutes of the Ewenmar Waste Depot Committee**  
**held in the Council Community Room, 115 Dubbo Street Warren**  
**on Monday 8th April 2024 commencing at 3.06pm**

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**Present:** Councillor Heather Druce (Chairperson)  
Councillor Katrina Walker  
Councillor Andrew Brewer (Observer)  
Gary Woodman (General Manager)  
Maryanne Stephens (Manager Health and Development Services)  
Raymond Burns (Town Services Manager)  
Cassy Mitchell (Administration Officer Health and Development)

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**ITEM 1 APOLOGIES**

An apology was received from Sylvester Otieno (Divisional Manager Engineering Services) who was absent due to external commitments, and it was **MOVED** Walker/Burns that the apology be accepted, and a leave of absence be granted for this meeting.

**Carried**

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**ITEM 2 CONFIRMATION OF THE MINUTES OF THE MEETING HELD 5<sup>th</sup> February 2024**

**MOVED** Druce/Stephens that the Minutes of the Meeting held on 5<sup>th</sup> February 2024 be accepted as a true and correct record of that meeting.

**Carried**

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**ITEM 3 BUSINESS ARISING FROM THE MINUTES OF THE MEETING HELD 5<sup>TH</sup> February 2024**

- New waste cell has been constructed however there has been some wall collapse perhaps from the wet weather. This issue has happened before.
  - A road is to be constructed at the new cell and the old cell is to be capped, a discussion is to be held with Councils Roads Section.
- 

**ITEM 4 ACTION CHECKLIST**

**MOVED** Stephens/Walker that the information be received and noted and those marked with an asterisk (\*) be removed.

**Carried**

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**ITEM 5.1 TRANSFER STATION (TOWN SERVICES MANAGER) (G2-5.4)**

**MOVED** Burns/Walker that the information be received and noted.

**Carried**

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**WARREN SHIRE COUNCIL**  
Minutes of the Ewenmar Waste Depot Committee  
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on Monday 8th April 2024 commencing at 3.06pm

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**ITEM 5.2      RECYCLING SURVEY RESULTS      (G2-5.4)**

**RECOMMENDATION TO COUNCIL:**

**MOVED** Druce/Stephens that:

1. The information be received and noted,
2. The results of the survey be communicated to the Warren Shire Community;
3. Kerbside recycling services be placed on hold;
4. The Manager Health and Development Services to investigate the feasibility of implementing a return and earn facility and other recycling services in conjunction with NetWaste, on a regional basis and other organisations; and
5. Council re-assess the community's satisfaction with recycling services in 2 years time.

**Carried**

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**ITEM 5.3      RURAL ACCESS CHARGE SURVEY RESULTS      (G2-5.4)**

**RECOMMENDATION TO COUNCIL:**

**MOVED** Walker/Stephens that:

1. The information be received and noted; and
2. The Rural Access Charge be levied upon the rural assessments at \$10/rural farmland assessment annually within the draft 2024/2025 Operational Plan and Estimates for the commencement after 1<sup>st</sup> July, 2024.

**Carried**

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**ITEM 6      GENERAL BUSINESS**

**ITEM 6.1      WASTE DEPOT CLOSURE SIGNS      (G2-5.4)**

- Tip closure signs need to be adjusted not just to relate to closure for fire as most of the time the tip is closed for wet weather.
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**ITEM 7      DATE OF NEXT MEETING**

8<sup>th</sup> July 2024

**There being no further business the meeting closed at 4.05pm.**

## **MANEX MINUTES**

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Attached are the Minutes of the Meeting of Manex Committee held on Tuesday, 16th April 2024.

**RECOMMENDATION:**

That the Minutes of the Meeting of the Manex Committee held on Tuesday, 16th April 2024 be received and noted.



**WARREN SHIRE COUNCIL**  
Minutes of the Manex Committee Meeting  
held in Council's Community Room on  
Tuesday, 16th April 2024 commencing at 2.34 pm

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**PRESENT:**

|                  |  |
|------------------|--|
| Gary Woodman     | General Manager (Chair)                        |
| Sylvester Otieno | Divisional Manager Engineering Services        |
| Raymond Burns    | Town Services Manager                          |
| Joe Joseph       | Infrastructure Projects Manager                |
| Mahmud Kaiser    | Roads Infrastructure Manager                   |
| Ray Egan         | Flood Restoration and Special Projects Manager |
| Jody Burtenshaw  | EA to the Mayor and General Manager            |
| Susan Balogh     | Economic Development and Visitation Manager    |
| Pamela Kelly     | Librarian                                      |
| Scott Hosking    | WHS/Risk Co-Ordinator (Observer)               |

The Chair formally welcomed Mahmud Kaiser to Council and the Manex Team and wished him well in his new position.

**1 APOLOGIES**

Apologies were received from Jillian Murray, Bradley Pascoe and Maryanne Stephens who were absent due to external commitments and it was **MOVED** Burns/Balogh that a leave of absence be granted for this meeting.

**Carried**

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**2 BUSINESS ARISING FROM MINUTES**

Nil.

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**3 ACTION CHECKLIST**

**MOVED** Woodman/Burns that the information be received and noted and the items marked with an asterisk (\*) be deleted.

**Carried**

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**4.1 EXECUTIVE OFFICE MATTERS**

4.1.1 WOW Agency – Communications and Content (GM)

**MOVED** Burns/Burtenshaw that the information be received and noted.

**Carried**

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4.1.2 The Western Plains App Monthly Report (GM)

**MOVED** Balogh/Burns that the information be received and noted.

**Carried**

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**WARREN SHIRE COUNCIL**  
 Minutes of the Manex Committee Meeting  
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**4.1 EXECUTIVE OFFICE MATTERS**

**CONTINUED**

4.1.3 Preparation of the May 2024 Council Newsletter (GM)

| Item   | Responsible Officer                     |
|--|---|
| Registration of Local Contractors on VendorPanel         | DMFA, CC                                |
| Women of Warren Shire                                    | GM                                      |
| Staff Profile  | GM                                      |
| ANZAC Day Service  | EA/GM                                   |
| Ewenmar Waste Depot Operational Changes                  | MHD                                     |
| VIC Volunteer Advertising                                | EDVM                                    |
| Softfall Tender Results                                  | TSM/DMES                                |
| Project upgrade updates                                  | GM/IPM/DMES/TSM/RIM/FRSPM               |
| Warren Levee Floodgate Replacement Tender Results        | TSM/DMES                                |
| Successful Grants  | GM/IPM/DMES/TSM                         |
| Recycling and Rural Waste Depot Access Charge Direction  | MHD                                     |
| Vacant Positions   | Finance Officer – Payroll/HR<br>Officer |
| Responsible Pet Ownership                                | MHD                                     |
| CMCC Weed Awareness Section (if available)               | CMCC                                    |
| New Roads Infrastructure Manager Mahmud Kaiser           | DMES                                    |
| Showground/Racecourse Amenities Facility                 | TSM                                     |
| Regional Council Leak Detection Program                  | TSM                                     |
| GROW Services Expo                                       | EA/GM                                   |
| Lease Warren Airport Terminal Building – Flying School   | IPM/GM                                  |
| Mt Foster Quarry Operations                              | DMES                                    |
| Draft 2024/2025 Operational Plan & Estimates Exhibition  | EA/GM/DMFA                              |
| CCTV Local Roads and Community Infrastructure Phase 4    | TSM                                     |
| <b>ROADS SECTION</b>                                     |   |
| Road Maintenance Construction Program for April/May 2024 | DMES/FRSPM/RIM                          |
| SH 11 Oxley Highway Heavy Patching Program               | DMES/FRSPM/RIM                          |

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**4.1 EXECUTIVE OFFICE MATTERS**

**CONTINUED**

4.1.3 Preparation of the May 2024 Council Newsletter (GM)

Continued

| Item                                     | Responsible Officer |
|--|---------------------|
| SR58 Nevertire-Bogan Road Reconstruction | DMES/FRSPM/RIM      |
| Flood Restoration Works                  | DMES/FRSPM/RIM      |

**MOVED** Otieno/Joseph that the information be received and noted.

**Carried**

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4.1.4 Suggestions in the Council Suggestion Boxes (GM)

Nil.

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4.1.5 Procurement Training – List of Items to be Considered (GM)

**MOVED** Woodman/Burns that the information be received and noted.

**Carried**

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**4.2 FINANCE & ADMINISTRATION DEPARTMENT MATTERS**

4.2.1 Warren Shire Council Contract Register (DMFA)

A review of the Contract Register to be provided to the May 2024 Manex Meeting.

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4.2.2 Grants Register (GM, DMFA)

The General Manager has prepared an initial Grants Register as detailed in the reported table. This will now be updated and reported monthly to Manex by the Divisional Manager Finance & Administration and the Treasurer.

Managers need to know the income arrangements/reporting requirements and to take action for income.

**MOVED** Burns/Otieno that the information be received and noted.

**Carried**

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**WARREN SHIRE COUNCIL**  
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**4.3 ENGINEERING DEPARTMENT MATTERS**

4.3.1 Warren Shire Council March 2021 Flood and Storm Damage Claim (AGRN 960) (DMES/FRSPM)

| Event           | Subcategory | Estimate   | Status   |
|-----------------|-------------|--|--|
| <b>AGRN 960</b> | EW          | \$462,000  | Works completed and claimed.   |
| <b>AGRN 960</b> | EPA RW      | \$1,871,786 – Package 1<br>\$349,686 – Package 2 | Submission approved.<br>Package 1 work is ongoing.<br>Package 2 is co-funded by an additional \$300,000 betterment under the DRRF program. Work is in final phase. |

- The Divisional Manager Engineering Services advised that the following roads have been commenced; SR25 Cullemburrawang Road, SR24 Hatton Road. SR31 Pigeonbah Lane, SR30 Wonbobbie Lane and SR10 Killaloo Lane, SR93 Yarrandale Road, SR50 Christies Lane, SR40 Merrigal Road, SR20 Nellievale Road, SR16 Notts Lane, SR9 Booka Road, SR4 Sullivans Road, SR5 Buckiinguy Road; SR27 Bullagreen Lane, SR43 Armatree Road, SR11 Catons Lane, SR17 Lamphs Road, SR37 Collie Road, SR58 Nevertire-Bogan Road and SR61 Elsinore Road.
- Dragon Cowal causeway is completed and approaches been progressed.
- AGRN 960 March 2021 EPA RW Essential Public Asset Restoration Work – need to apply for our extension from March 2024 for at least 6 months or more if possible (both Commonwealth Government and the State Government (Transport for NSW)) (FRSPM).

4.3.2 Warren Shire Council November 2021 to December 2022 Flood and Storm Damage Claim (AGRN 987 / 1025 / 1030 / 1034) (DMES/FRSPM)

| Event            | Subcategory | Estimate   | Status   |
|------------------|-------------|------------|--|
| <b>AGRN 987</b>  | EW          | \$475,945  | Works completed and claimed.   |
| <b>AGRN 987</b>  | IRW         | \$241,591  | Works completed and claimed.   |
| <b>AGRN 987</b>  | EPA RW      | N/A        | Submission has been lodged as part of AGRN 1034 EPA RW Submission 01 Rev. C. |
| <b>AGRN 1025</b> | IRW         | \$323,610  | Works on Ellengerah Road.<br>Completed.<br>Claim submitted.                  |
| <b>AGRN 1030</b> | N/A         | N/A        | Event was overlapped by AGRN 1034  |
| <b>AGRN 1034</b> | EW          | \$991,672  | Works completed.<br>Claim submitted.   |
| <b>AGRN 1034</b> | IRW         | \$899,965* | Claim being prepared.  |

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**4.3 ENGINEERING DEPARTMENT MATTERS**

**CONTINUED**

4.3.2 Warren Shire Council November 2021 to December 2022 Flood and Storm Damage Claim (ARGN 987 / 1025 / 1030 / 1034) (DMES/FRSPM)

| Event            | Subcategory | Estimate        | Status   |
|------------------|-------------|-----------------|--|
| <b>ARGN 1034</b> | EPA RW      | \$10,925,183.92 | Submission 01 Rev. C lodged includes AGRN 1034 IRW and AGRN 987 EPA-RW and has been submitted. |
| <b>ARGN 1025</b> | EW          | \$29,171.13     | Claim submitted.   |

\* This amount may vary, amount being finalised.

**Table Legend**

*AGRN – Australian Government's Registration Number*

*IRW – Immediate Reconstruction Works*

*EW – Emergency Works*

*EPA RW – Essential Public Asset Reconstruction Works*

- Follow-up on Council's Claim for Emergency Levee Operations (\$174,000), now with the NSW Government politicians.
- Email with original claim documents emailed to NSW SES 28th February 2023. Currently only \$73,000 of \$174,000 approved for payment.
- The Town Services Manager has provided the State Emergency Service (SES) a further copy of Council's Claim for Emergency Levee Operations (\$757,745.33) requesting payment. Advice has also been provided to the Member for Barwon requesting help for full reimbursement of Council's costs.
- AGRN 1034 Package has been submitted. Plus extras for AGRN 987.

**4.3.3 Road Maintenance Council Contract (RMCC)- State Highway 11 (DMES/FRSPM/RIM)**

| Project   | Budget         | Resp  | Comments   |
|---|----------------|-------|--|
| Five Mile Cowal                                       | \$249,905      | FRSPM | Works completed & claim submitted.   |
| Ewenmar & Tiger Bay Line marking                      | \$21,590       | FRSPM | Works completed & claimed.   |
| Tenandra Clear zone Tree trimming & CAMs Installation | \$50,140       | FRSPM | Works completed & claimed.   |
| Heavy Patching  | \$1,417,170.60 | FRSPM | 52 patches to be completed. 41 patches completed.<br><br>Work in Progress. |

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**4.3 ENGINEERING DEPARTMENT MATTERS**

**CONTINUED**

4.3.3 Road Maintenance Council Contract (RMCC)- State Highway 11 (DMES/FRSPM/RIM)

| Project                        | Budget   | Resp  | Comments  |
|--------------------------------|--|-------|---|
| Milawa Pavement Rehabilitation | \$2,100,000<br>(Approximate only.<br>Amount yet to be confirmed) | FRSPM | G1 received.<br><br>Ensuite meeting conducted. Final scoping is in progress by TfNSW. |
| RMAP Activities                | \$244,106  | FRSPM | <b>Quarter 1:</b> \$50,551 (Claimed)<br><br><b>Quarter 2:</b> \$67,437.84 (Claimed)   |
| Reseal                         | \$1,100,000  | FRSPM | Work proposal being prepared.   |

**MOVED** Egan/Otieno that the information be received and noted.

**Carried**

4.3.4 2024 Calendar of Events at the Showground/Racecourse (TSM/IPM)

**MOVED** Burns/Woodman that the information be received and noted.

**Carried**

**4.4 HEALTH & DEVELOPMENT DEPARTMENT MATTERS**

4.4.1 Warren Shire Council September to December 2022 Flood and Storm Damage Claim for Waste Facility/Garbage Matters (AGRN 1034) (MHD)

| Event     | Subcategory | Estimate    | Status  |
|-----------|-------------|-------------|---|
| AGRN 1034 | EW          | \$82,389.10 | Claim for temporary tip and waste disposal. Works completed. Claim re-submitted 4th April 2024. |
| AGRN 1034 | EPA RW      | \$220,500   | Claim for re-construct internal access road. Submitted 4th April 2024.                          |
| AGRN 1034 | EPA RW      | \$38,983.86 | Claim for other works associated with flooding of tip. Re-submitted 4th April 2024.             |

**Table Legend**

AGRN – Australian Government's Registration Number  
 EW – Emergency Works

IRW – Immediate Reconstruction Works  
 EPA RW – Essential Public Asset Reconstruction Works

**MOVED** Woodman/Burns that the information be received and noted.

**Carried**

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**4.4 HEALTH & DEVELOPMENT DEPARTMENT MATTERS** **CONTINUED**

4.4.2 Sustainability Reporting (MHD)

To be reported to a future Manex Meeting.

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**4.5 WORK HEALTH & SAFETY RISK MATTERS**

4.5.1 Staff Influenza Vaccination Arrangements for Winter (GM/WHS-RC)

Arrangements are in place to commence the Staff Influenza Vaccination Program on Monday, 22nd April 2024. Vaccination timeslots to start at 7 am at the Depot and 8.15 am at the Administration Office.

**MOVED** Woodman/Burns that the information be received and noted.

**Carried**

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4.5.2 Staff Immunity Blood Testing and Vaccination Program Arrangements (GM/WHS-RC)

At present, 33 out of 43 staff members have had their initial blood test undertaken with the remaining staff to be followed up by the Work Health Safety -Risk Co-ordinator.

**MOVED** Woodman/Burns that the information be received and noted.

**Carried**

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4.5.3 New Hearing Test Requirements (WHS-RC)

- From the 1st January 2024, Council needs to start preparing a Management Plan for the new hearing test requirements with those deemed employees undertaking an annual hearing test. The Work Health Safety - Risk Co-ordinator is working on a Draft Management Plan to be presented to the September 2024 Manex Meeting.

**MOVED** Otieno/Burns that the information be received and noted.

**Carried**

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**4.6 HUMAN RESOURCES**

4.6.1 Determination of Vacant Positions in accordance with the Workforce Plan (GM)

| Position                     | Responsible Officer | Status  |
|------------------------------|---------------------|---|
| Accountant                   | DMFA                | No action to be taken at present due to budget. |
| *Service NSW/Records Officer | DMFA                | New employee has commenced.                     |
| Librarian                    | DMFA                | To be advertised with an open closing date.     |

**WARREN SHIRE COUNCIL**  
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**4.6 HUMAN RESOURCES**

**CONTINUED**

4.6.1 Determination of Vacant Positions in accordance with the Workforce Plan (GM)

| Position   | Responsible Officer | Status                                 |
|--|---------------------|--|
| Team Leader Utilities Maintenance                        | DMES                | Advertising with an open closing date. |
| *Utilities Maintenance Team Member                       | DMES                | New employee has commenced.            |
| *Roads Infrastructure Manager                            | DMES                | New employee has commenced.            |
| Light Plant Operator - Relief                            | DMES                | Advertising with an open closing date. |
| Light Truck Driver (Water) – Contract (at least 2 years) | DMES                | Advertising with an open closing date. |
| Pavement Maintenance Team Leader                         | DMES                | Advertising with an open closing date. |
| Light Plant Operator – Roller (1 Permanent, 2 Contract)  | DMES                | Advertising with an open closing date. |
| Heavy Diesel Mechanic                                    | DMES                | Advertising with an open closing date. |
| *ATO – Roads   | DMES                | New employee has commenced.            |

- Where possible, Department Managers are to introduce any new Administration Office based staff to staff at other Council workplace areas (where possible). This is to be added to the induction process.
- A template is to be developed that includes a photograph and position information and short summary by the Human Resources Officer.

**MOVED** Woodman/Otieno that the information be received and noted.

**Carried**

4.6.2 38 Hour Week Breakdown (GM)

**MOVED** Woodman/Egan that the information be received and noted.

**Carried**

**5.1 OFFICE OF LOCAL GOVERNMENT CIRCULARS**

**(L5-3)**

Nil.



# WARREN SHIRE COUNCIL

Minutes of the Manex Committee Meeting held in Council's Community Room on  
Tuesday, 16th April 2024 commencing at 2.30 pm

## 5.2 OFFICE OF LOCAL GOVERNMENT STRATEGIC TASKS

(L5-3)

Councils are required to submit several reports and returns/surveys annually, as required by the [Local Government Act 1993](#) and by OLG policy. The [Integrated Planning and Reporting Framework](#) details the reporting requirements that are mandated in the Local Government Act.

The Calendar of Compliance includes key deadlines for strategic management tasks for all Councils and Joint Organisations in NSW. Statutory and other reporting deadlines are not limited to those included in the Calendar of Compliance.

|         |    | April 2024  | Status |    |   | May 2024 | Status   |
|---------|----|---|--------|----|---|----------|--|
| Finance | 30 | Public bodies to provide Council with a list of parcels of land to which rate rebate applies [LGA s 600(5)] | Noted  | 15 | Income Adjustments for Newly Rateable Crown Land due  |          | Noted  |
|         | 30 | Fourth quarter rates instalment notices to be sent [LGA s562(5)]  | Noted  | 31 | Last day for RAO to submit quarterly budget review statement to council [LG Reg cl 203(1)]. Councils are requested to send a copy of the QBRs to finance@olg.nsw.gov.au |          | DMFA to report to the May 2024 Council Meeting |
|         |    |   |        | 31 | Last day for requests to Valuer General for estimates of changes in the value of land for which supplementary valuations are required to be furnished [LGA s513]        |          | Noted  |
|         |    |   |        | 31 | Fourth quarterly rates instalment due [LGA s562(3)(b)]  |          | Noted  |

|            |  |  |  |  |  |  |  |
|------------|--|--|--|--|--|--|--|
| Governance |  |  |  |  |  |  |  |
|------------|--|--|--|--|--|--|--|

# WARREN SHIRE COUNCIL

Minutes of the Manex Committee Meeting held in Council’s Community Room on  
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**5.2 OFFICE OF LOCAL GOVERNMENT STRATEGIC TASKS**

**CONTINUED**

|                          | April 2024  | Status                 |   | May 2024  | Status   |              |
|--------------------------|---|------------------------|---|---|--|--------------|
| <b>Grants</b>            | Local Government Recovery Grants –AGRN 1012, 1025, 1030/34 -YTD Reporting due | <b>DMES to action.</b> | 1 | Low-cost Loan Initiative Interim Progress Report due  | <b>Noted</b>   |              |
|                          |   |                        | 4 | Local Infrastructure Renewals Scheme (LIRS) portal opens for claims for the month<br>LIRS Progress/Final Report Due | <b>Noted</b>   |              |
| <b>Companion Animals</b> |   |                        |   |   |  |              |
| <b>Other</b>             |   |                        |   | 16  | Expected third instalment of 2023-24 Financial Assistance Grants | <b>Noted</b> |

**MOVED** Woodman/Balogh that the information be received and noted.

**Carried**

**WARREN SHIRE COUNCIL**  
Minutes of the Manex Committee Meeting  
held in Council's Community Room on  
Tuesday, 16th March 2024 commencing at 2.30 pm

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**6 OPERATIONAL PROCEDURES (I2-11.1)**

6.1 Emergency Preparedness and Management Procedure

The Work Health Safety – Risk Co-ordinator to present this Procedure to the May 2024 Manex Meeting.

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**7 MARCH 2024 DRAFT MINUTES AND APRIL 2024 DRAFT BUSINESS PAPER**

The Committee previewed the April 2024 Business Paper and the March 2024 Draft Minutes and actions required were placed on the Action Checklist in Item 1 of the General Manager's Report.

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**8 CORRESPONDENCE AND CUSTOMER REQUESTS STATUS**

The correspondence list and the outstanding request/actions list were circulated. It was requested that the Responsible Officers update the outstanding complaints/actions list and return to the Engineering Administration Officer.

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**9 GENERAL BUSINESS WITHOUT NOTICE**

- The Divisional Manager Engineering Services advised that the Bridges Renewal Program (BRB) and Heavy Vehicle Safety and Productivity Program (HVSPP) will cease on the 30th June 2024, and applications under both Programs have been paused. A new Program, the Safer Local Roads Infrastructure Program (SLRIP), will commence on the 1st July 2024 and will incorporate the types of projects previously approved under BRP and HVSPP. Funding under SLRIP will also be available for projects which focus on betterment and resilience. The Guidelines for SLRIP are still in development, but will be available when the Program commences and will provide further information on how to apply etc.

This information is to be followed up by the General Manager and the Divisional Manager Engineering Services with Transport for NSW.

- The Librarian reminded everyone of the Official Opening for the "Doorways to an Open Air Library" scheduled for the 27th June 2024 at the Warren Library.
- The Librarian advised of some relevant advertising outlets that could be utilised to attract suitable applicants for the soon to be vacant position of Librarian. The General Manager requested that the Executive Assistant to the Mayor and GM forward a copy of Council's 'Advertising of a Vacant Position Checklist' to both the Divisional Manager Finance & Administration and Librarian for their review.
- The Economic Development and Visitation Manager advised that 28 students from Warren Central School participated in a Leadership Summit, facilitated by the Youth Leadership Academy Australia on the 8th April 2024. It was a good success, very engaging and she had received good feedback from the School. The next one is proposed for Term 3 and is focused on job markets and will include speed sessions covering the different areas of Council's workplace.

**There being no further business the meeting closed at 4.39 pm.**

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## Draft Minutes Board Meeting

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**Date:** 15 March 2024  
**Venue:** Western Plains Cultural Centre, Dubbo

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### ATTENDEES:

|                         |   |
|-------------------------|---|
| Cr Glen Neill           | Mayor Bogan Shire Council                           |
| Leonie Brown            | General Manager Bourke Shire Council                |
| Cr Barry Hollman        | Mayor Bourke Shire Council                          |
| Bob Stewart             | Administrator Central Darling Shire Council         |
| Peter Vlatko            | General Manager Cobar Shire Council                 |
| Cr Jarrod Marsden       | Mayor Cobar Shire Council                           |
| Bruce Quarmby           | Director Corporate Services Coonamble Shire Council |
| Luke Ryan               | Director Infrastructure Dubbo Regional Council      |
| Cr Mathew Dickerson     | Mayor Dubbo Regional Council                        |
| Brad Cam                | General Manager Mid-Western Regional Council        |
| Cr Des Kennedy          | Mayor Mid-Western Regional Council                  |
| Phil Johnston           | Acting General Manager Narromine Shire Council      |
| Cr Craig Davies (Chair) | Mayor Narromine Shire Council                       |
| Sally McDonnell         | Secretariat Narromine Shire Council                 |
| Gary Woodman            | General Manager Warren Shire Council                |
| Cr Milton Quigley       | Mayor Warren Shire Council                          |

### GUESTS:

|                        |   |
|------------------------|---|
| Peter Achterstraat     | NSW Productivity Commissioner   |
| Timothy Lisle-Williams | Principal Advisor, Strategy   |
| Representatives        | DCCEEW Water  |
| Erica Tudor            | Regional Development and Engagement Manager,<br>NBN Local Western NSW   |
| Trent Geddes           | Operations Officer, Regional Technical Hub  |
| Dugald Saunders MP     | Local Member for Dubbo, Shadow Minister for<br>Regional NSW, and Shadow Minister for Agriculture and<br>Natural Resources |

### 1 WELCOME

The Chair declared the meeting open at 9.00am.

### 2 ACKNOWLEDGEMENT OF COUNTRY

The Acknowledgement of Country was made by the Chair.



### 3 APOLOGIES

Apologies were received for:

|                       |   |
|-----------------------|---|
| Derek Francis         | General Manager Bogan Shire Council           |
| David Kirby           | General Manager Brewarrina Shire Council      |
| Cr Vivian Slack-Smith | Mayor Brewarrina Shire Council                |
| Greg Hill             | General Manager Central Darling Shire Council |
| Paul Gallagher        | General Manager Coonamble Shire Council       |
| Cr Tim Horan          | Mayor Coonamble Shire Council                 |
| Murray Wood           | CEO Dubbo Regional Council                    |
| David Neeves          | General Manager Gilgandra Shire Council       |
| Cr Doug Batten        | Mayor Gilgandra Shire Council                 |
| Jane Redden           | General Manager Narromine Shire Council       |
| Megan Dixon           | General Manager Walgett Shire Council         |
| Cr Jasen Ramien       | Mayor Walgett Shire Council                   |
| Cr Ambrose Doolan     | Mayor Warrumbungle Shire Council              |
| Roger Bailey          | General Manager Warrumbungle Shire Council    |

**RESOLVED** Crs Hollman/Quigley that the apologies be noted.

2024/01

### 4 DECLARATION OF INTEREST

There were no declarations of interest.

### 5 CONFIRMATION OF MINUTES OF AWC BOARD MEETING HELD 8 DECEMBER 2023

**RESOLVED** Bob Stewart/Cr Neill that the minutes of the AWC Board Meeting held on 8 December 2023 be adopted.

2024/02

### 6 CONFIRMATION OF MINUTES OF GMAC MEETING HELD 2 FEBRUARY 2024

**RESOLVED** Leonie Brown/Peter Vlatko that the minutes of the GMAC Meeting held on 2 February 2024 be adopted.

2024/03

Cr Dickerson joined the meeting at 9.04am.

## 7 PRESENTATIONS

### 7.1 *Peter Achterstraat AM, NSW Productivity Commissioner* *Timothy Lisle-Williams, Principal Advisor, Strategy*

The Commissioner provided an overview of the request from the Minister for Water, to investigate alternative funding models to strengthen the Local Water Utilities (LWUs) which provide essential water and sewerage services across regional and remote NSW. Discussions were held with the following points being noted:

- There needs to be more certainty in Grant Funding availability into the future, to ensure a systematic approach and allow better long term planning for Councils.
- Public Works are using Teir 1 contractors when quoting works and adding extra costs for remote areas. This then becomes too expensive for the area. If works in regional and rural NSW can be completed by Teir 3 Contractors along with local knowledge there could be significant cost savings and without the delays from Public Works.
- Price increases are a challenge and every time there are delays prices increase.
- There is a delay in NSW of embracing new technologies.
- Operators currently have to travel to Sydney for training. For some, this involves days out of the office, staff shortages and further costs.

### 7.2 *Erica Tudor - Regional Development & Engagement Manager, NBN Western NSW* *Trent Geddes - Operations Officer, Regional Technical Hub*

Erica Tudor delivered a powerpoint presentation (*Attachment No. 1*) to the group providing an update from NBN Local Western NSW. The following points were noted:

- Coverage will be expanding by almost double.
- The new Sky Muster Plus Premium will introduce the ability for people to access their network outside of their property.
- The School Student Broadband Initiative is available to help families get connected with broadband internet access at home.

Trent Geddes delivered a powerpoint presentation (*Attachment No. 2*) and gave an overview of the Regional Technical Hub who are an Australian Government initiative run by the National Farmers' Federation. They provide free, independent advise and support for rural, regional and remote individuals, businesses and communities on internet and voice options.

**7.3 Dugald Saunders MP** - Local Member for Dubbo Electorate, Shadow Minister for Regional NSW, and Shadow Minister for Agriculture and Natural Resources

Dugald Saunders MP provided an update to the group, with the following items noted and discussed:

- Rural Crime remains a focus for his office and they continue to support the Country Mayors Association for a parliamentary inquiry into regional and rural crime.
- The Nationals have launched a new website inviting people to share their stories and experiences in relation to regional and rural crime. [www.regionalcrime.com.au](http://www.regionalcrime.com.au)
- They are putting pressure on the Government to move forward with initiatives they started including working with PCYC and other agencies on early intervention, community and educational programs etc
- The newly introduced Bail and Crimes Amendment Bill 2024 only applies to two crimes, motor vehicle theft and break and enter. Not going far enough to address the issue of repeat offending by youths in regional and rural NSW.
- Scott Hansen, Director General of NSW Department of Primary Industries (DPI) has been relieved of his duties. It is assumed that DPI will be absorbed into the Department of Regional NSW and become the responsibility of the Secretary. Hope to receive an update in the next few weeks.

## 8 GENERAL BUSINESS

### 8.1 Executive Officer Position

**RESOLVED** Cr Dickerson/Gary Woodman

1. That the board approve the appointment of a contractor to fulfil the role of the Alliance of Western Council's Executive Officer.
2. That the role statement for the Executive Officer be endorsed.
3. That Narromine Shire Council conduct the expression of interests process.
4. That the selection committee consist of Chair (Cr Davies), Cr Dickerson, David Neeves and Jane Redden to assess the applications received.
5. That the selection committee report be presented to the June AWC Board meeting for a determination.

2024/04

**It was noted** that the General Managers are to determine the hours and costs involved.



## **8.2 Status of NSW Government Grants to Regional Local Government and Communities Discussion.**

Following a discussion outlining concerns in relation to the NSW Government Grants to Regional Local Government it was decided that General Managers are to collate statistics from their respective Councils outlining funding received from previous government compared to with this government.

Gary Woodman will provide a template to General Managers. Information from each Council is to be forwarded to Sally McDonnell who will collate the data, for the Chair to raise as a motion with Country Mayors Association.

## **9 CONFIRMATION OF DATE OF NEXT MEETING**

The next Alliance of Western Councils Board meetings will be held on 21 June 2024 and 2 August 2024.

## **10 CONCLUSION OF MEETING**

There being no further business the meeting closed at 12.18pm

The Minutes (pages 1 to 5) were confirmed at a meeting held on the day of \_\_\_\_\_ 2024, and are a full and accurate record of proceedings of the meeting held on 15 March 2024.

**CHAIR**



**WARREN SHIRE COUNCIL**  
Policy Report of the General Manager  
to the Ordinary Meeting of Council to be held in the  
Council Community Room on Wednesday, 24th April 2024

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**ITEM 1                      FRAUD AND CORRUPTION POLICY AND FRAMEWORK**

**(P13-1, A1-3)**

**RECOMMENDATION** that:

1. The information be received and noted;
2. The Draft Fraud and Corruption Policy and Fraud and Corruption Framework 2024 be placed on public exhibition for a minimum of 28 days; and
3. Subject to no adverse submissions being received, the Draft Fraud and Corruption Policy and Fraud and Corruption Framework 2024 as amended be adopted.

**PURPOSE**

To advise Council that a full review of the Fraud and Corruption Policy has been undertaken in conjunction with Council's Internal Auditor, Mr Keith Coates and a new Draft Policy has been written together with a new Fraud and Corruption Framework 2024 for Council's consideration.

**BACKGROUND**

Following the Fraud Control Review by the Internal Auditor in June/July 2023, it was determined by the Internal Audit and Risk Management Committee that a priority action would be the review of Council's Fraud Plan and Policy to align the Policy with the NSW Audit Office Tool Kit.

Council's Internal Auditor was engaged to undertake this review.

**REPORT**

The attached Draft Fraud and Corruption Policy and Draft Fraud and Corruption Framework 2024 are based on the Audit Office of NSW "*Fraud Control Improvement Kit: Managing Your Fraud Control Obligations*" which has been provided to Councillors and Manex under separate cover on the 31st March 2024.

The Policy and Framework will apply to all Council Officials – Councillors, Staff, Volunteers and Delegates.

**FINANCIAL AND RESOURCE IMPLICATIONS**

Following the eventual adoption of the Draft Policy and Framework, arrangements will be made for all relevant staff to be trained in fraud control etc. in accordance with the priorities/actions to be progressed by the Internal Audit and Risk Management Committee, soon to be the Audit, Risk and Improvement Committee.

**LEGAL IMPLICATIONS**

- Local Government Act 1993;
- ICAC Act 1988;
- Public Interest Disclosures Act 1994;
- Corporate Risk Register, January 2018;
- Fraud and Corruption Control Plan and Policy;
- Fraud and Corruption Policy, September 2018;
- Code of Conduct;

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**ITEM 1                      FRAUD AND CORRUPTION POLICY AND FRAMEWORK                      CONTINUED**

- Gifts and Benefit Policy;
- Internal Reporting Policy; and
- Statement of Business Ethics Policy, September 20218.

**RISK IMPLICATIONS**

The Audit Office of NSW is expecting that reviews of Policies such as Fraud and Corruption Policy will be completed by the end of 2023/2024.

Matters like fraud and corruption, perhaps not being too higher risk for Warren Shire Council needs to be considered.

The Policy and Framework need to be amended and followed.

**STAKEHOLDER CONSULTATION**

Consultation has been undertaken with Council's Internal Auditor.

Manex also considered the new Draft Policy and Framework at its April 2024 meeting.

**OPTIONS**

No real option, the new Draft Policy and Framework are a must.

**CONCLUSION**

Following the requirements of the Internal Audit and Risk Management Committee, the Fraud and Corruption Policy has been reviewed and a Framework developed in accordance with the Audit Office of NSW *Fraud Control Improvement Kit: Managing Your Fraud Control Obligations*.

The new draft documents are commended.

**LINK TO POLICY AND / OR COMMUNITY STRATEGIC PLAN**

- 5.2.2 Proactively manage known compliance risks.
- 5.3.2 Create a productive and cooperative working environment for Councillors to support their governance responsibilities

**SUPPORTING INFORMATION /ATTACHMENTS**

1. Draft Fraud and Corruption Policy;
2. Current Fraud and Corruption Policy (27th September 2018);
3. Previous Fraud and Corruption Control Plan and Policy (26th October 2017);
4. Draft Fraud and Corruption Framework 2024;
5. Audit Office of NSW : "*Fraud Control Improvement Kit: Managing Your Fraud Control Obligations*" – provided under separate cover.

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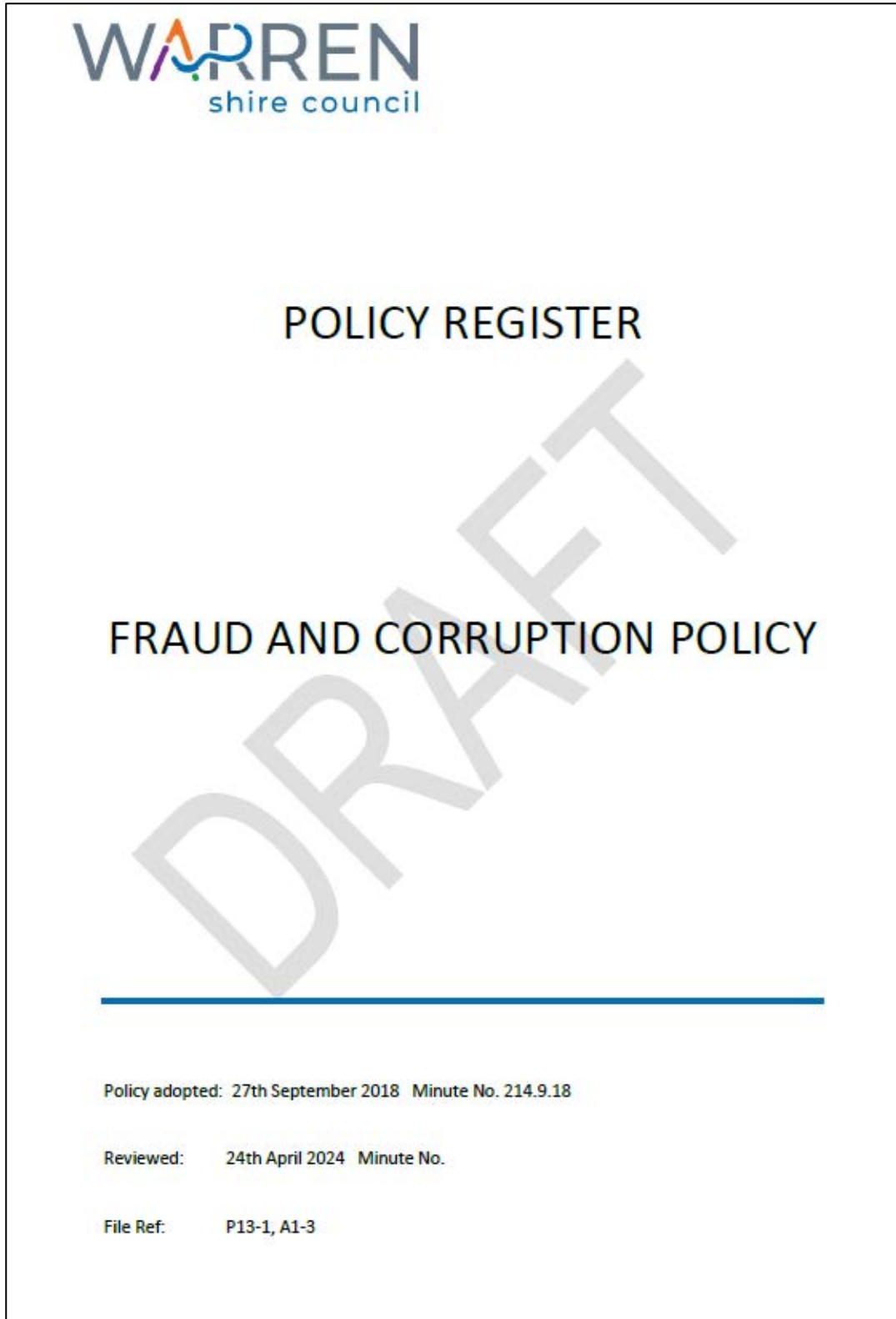
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ITEM 1

FRAUD AND CORRUPTION POLICY AND FRAMEWORK

CONTINUED

Attachment 1 – Draft Fraud and Corruption Policy



**WARREN SHIRE COUNCIL**  
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ITEM 1

**FRAUD AND CORRUPTION POLICY AND FRAMEWORK**

**CONTINUED**

| <small>Warren Shire Council – Fraud and Corruption Policy</small> |   |  |   |
|---|---|--|---|
| <b>DOCUMENT CONTROL</b>   |   |  |   |
| Issue   | Prepared/Revised By and Date                  | Action/Amendment Description   | Approved By and Date                              |
| 1.0   |   | First Edition  | Council Minute No. 214.9.18 (27th September 2018) |
| 2.0   | Gary Woodman<br>General Manager<br>April 2024 | Review undertaken to align the Policy with the Audit Office of NSW : <i>"Fraud Control Improvement Kit: Managing Your Fraud Control Obligations"</i> . | Council Minute No. ( 20XX)                        |

DRAFT

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ITEM 1

FRAUD AND CORRUPTION POLICY AND FRAMEWORK

CONTINUED

Warren Shire Council – Fraud and Corruption Policy

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**POLICY SCOPE**

This policy applies to all Council officials - Councillors, staff, volunteers and delegates.

**POLICY OBJECTIVES**

To state Warren Shire Council's commitment to the prevention of fraud and corruption and to outline the methodology to deter and detect fraudulent behaviour and corrupt conduct.

**POLICY STATEMENT**

Warren Shire Council will not tolerate any form of fraudulent or corrupt conduct by Councillors, staff, contractors, consultants or volunteer.

Warren Shire Council is committed to the:

- Development and maintenance of a sound ethical culture supported by appropriate policies, procedures and strategies that prevent fraudulent and corrupt behaviour.
- Regular conduct and review of fraud and corruption risk assessments to identify circumstances in which fraud and corruption could occur.
- Implementation of fraud and corruption prevention and mitigation procedures in day to day operations.
- Use of formal procedures for the investigation of allegations of corrupt and fraudulent behaviour.
- Maintenance of processes and procedures that encourage all business dealings with tenderers, suppliers, consultants and contractors are conducted in an ethical manner.
- Ongoing education and training of all Council officers and elected members in relation to their obligations in combating dishonest and fraudulent behaviour.

**DEFINITIONS**

Corruption is defined in accordance with section 8 of the Independent Commission Against Corruption Act 1988 as:

- a) any conduct of any person (whether or not a public official) that adversely affects, or that could adversely affect, either directly or indirectly, the honest or impartial exercise of official functions by any public official, any group or body of public officials or any public authority, or
- b) any conduct of a public official that constitutes or involves the dishonest or partial exercise of any of his or her official functions, or
- c) any conduct of a public official or former public official that constitutes or involves a breach of public trust, or
- d) any conduct of a public official or former public official that involves the misuse of information or material that he or she has acquired in the course of his or her official functions, whether or not for his or her benefit or for the benefit of any other person.

Fraud is a crime involving the dishonest obtaining of a financial or other benefit by deception. The benefit might be of direct value (e.g. money or easy access to money or other assets). The benefit might be indirect (e.g. obtaining information by deception and trading that information to obtain more tangible benefits).

**Council Official**

Council official includes Councillors, members of staff, volunteers and delegates of Council.

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ITEM 1

FRAUD AND CORRUPTION POLICY AND FRAMEWORK

CONTINUED

Warren Shire Council – Fraud and Corruption Policy

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**EXAMPLES OF FRAUDULENT AND CORRUPT ACTIVITY**

**Theft**

- Stationery and office supplies;
- Construction and maintenance equipment and tools;
- Lap top computers;
- Mobile phones;
- Technical equipment (mobile GPS, cameras etc.);
- Cash; and
- Intellectual property, including documents and data.

**Inappropriate or Misuse of Council Resources**

- Unauthorised use of corporate credit cards, petrol cards, Cabcharge or vouchers;
- Staff undertaking secondary paid work during work hours;
- Staff using telephones excessively for private purposes without appropriate reimbursement of costs;
- “Left-over” materials being taken by Council officers;
- Plant being used by staff for private use without authorisation or payment; and
- Use of Councils tools and equipment for private use.

**Gifts, Benefits and Bribes**

Any gifts or benefits provided to, or any attempt to give a gift or benefit to a Council officer, is managed by Council’s Code of Conduct. The Policy prescribes when a gift may or not be accepted and relevant processes for dealing with such matters.

Bribes are given to influence the way a recipient carries out their official functions. For example, not respond to or report an illegal or unauthorised activity or procure goods and services from a specific person or company.

**Higher risk areas for exposure to such behaviour includes:**

- Officers who approve or can influence decisions;
- Officers who procure goods and services for Council;
- Regulatory and compliance staff; and
- Staff who carry out work with the private sector.

**Zoning and Development**

- Coercion, intimidation and harassment of Council planning staff dealing with development applications (DAs); and
- Inducement from developers to modify DA conditions imposed.

**Procurement, Tendering and Contract Management**

Activities associated with procurement, tendering and contract management have traditionally been susceptible to fraud and corruption risks. Examples of such risks include:

- Order splitting to avoid tendering provisions or quotes;
- Collusion with suppliers (dummy quotes);
- Fraudulent contract variations; and
- False invoices.

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Page 2

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ITEM 1

FRAUD AND CORRUPTION POLICY AND FRAMEWORK

CONTINUED

Warren Shire Council – Fraud and Corruption Policy

---

**Human Resources**

- Creation of false employees on the payroll system;
- Job applicants falsifying career background details;
- Direct recruitment of friends and relatives breaching the legislative requirement of merit-based employment; and
- Claiming unworked overtime on timesheets.

**Information Technology**

- Unauthorised electronic transfer of funds;
- Unauthorised alteration of input data;
- Alteration or misuse of software; and
- Unauthorised sale or provision of information to 3rd parties.

**FRAMEWORK**

The administration of this policy is based around a holistic approach to fraud, and involves actions on the following fronts:

- Prevention – to establish and maintain a good governance framework through well established procedures that reduce the chances of fraud;
- Detection – sound auditing and checking procedures to deal with any transactions or activities that do not align with the expected procedures; and
- Response – detailed reporting and investigation procedures to deal with any potential fraud. A sound response system includes appropriate action to deal with any fraudulent activity.

The Audit Office has established a ten attribute framework to deal with fraud. The ten attributes are:

- Leadership;
- Ethical Framework;
- Responsibility structures;
- Fraud control policy;
- Prevention systems;
- Fraud awareness;
- Third party management systems;
- Notification systems;
- Detection systems; and
- Investigation systems.

The Council's fraud framework is built around the above ten attributes, as detailed in the Fraud Control Improvement Kit.

**Leadership**

A successful fraud control framework is led by a visibly committed and accountable General Manager and Management Executive (Manex) Team. The General Manager, Divisional Managers and Managers will lead the organisation in the development of the Fraud framework.

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ITEM 1

FRAUD AND CORRUPTION POLICY AND FRAMEWORK

CONTINUED

Warren Shire Council – Fraud and Corruption Policy

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#### **Ethical Framework**

The Council has adopted and established the following documents to guide the ethical behavior for Council Officials:

- The Code of Conduct as developed by the Office of Local Government;
- The Council has established a set of Values and Behaviours.
- Staff understand that fraud is not tolerated and there are significant consequences to those committing fraud.

#### **Responsibility Structure**

The General Manager, Divisional Managers and Managers are authorised to receive reports of fraud. If the suspected fraud relates to the General Manager, then the matter can be reported to the Mayor, as per the reporting regime for Code of Conduct complaints.

Reports regarding suspicious and / or illegal activities can also be reported to external agencies including:

- NSW Police Force
- Office of Local Government
- The NSW Independent Commission Against Corruption (ICAC)
- The NSW Ombudsman.

All staff are expected to report known or suspected fraud to the General Manager, Divisional Managers or Managers as soon as possible. Staff are made aware of the responsibility structure in the organisation.

#### **Fraud Control Policy**

This policy sets out the Warren Shire Council's system of fraud control and covers the responsibilities for managing fraud within Warren Shire Council. The policy is linked to other policies including code of conduct, internal reporting and business ethics.

#### **Prevention Systems**

The Council's prevention system consists of the following features:

- Risk Assessments – as detailed in the Risk Framework;
- Fraud and Corruption risk register;
- Fraud Database – to be established to record all incidents;
- Ethical workforce – pre-employment screening to ensure staff employed are of the highest ethical behaviour;
- Separation of duties – to ensure no one staff member controls a process entirely;
- I.T security strategy;
- Delegations of authority – to ensure measures are in place to control activities; and
- Position descriptions, Charters for Committees – limit the level of activity Council Officials can undertake.

#### **Fraud Awareness**

All Council officials are to be trained in fraud awareness, prevention responsibility and management, the message is continually repeated and reinforced using a variety of communication methods. Customers and the community are encouraged to report suspicions of fraud and can do this by a range of channels.



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ITEM 1

FRAUD AND CORRUPTION POLICY AND FRAMEWORK

CONTINUED

Warren Shire Council – Fraud and Corruption Policy

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#### Third Party Management Systems

The Council establishes appropriate controls, segregation of duties and delegations of authority to deal with third parties. Council will carry out due diligence before engaging contractors or third parties. Records of conflict of interest and secondary employment are reviewed and kept up to date.

The Council will maintain a Business Ethics Policy to reinforce the expected standards of behaviour for Council Officials.

#### Notification Systems

All staff are required to report suspected fraudulent activity and will be provided with the appropriate support and protection. Members of the public are encouraged to report suspected fraudulent activity.

Staff and members of the public can report fraud a number of ways including making a Public Interest Disclosure, reporting directly to Council or to external bodies. Serious Breaches are to be reported to the Council as soon as possible.

#### Detection Systems

Various internal control measures have been established to help detect fraud and these include:

- Segregation of duties;
- Approvals and authorisation;
- Verification;
- Reconciliations;
- Management reviews;
- Risk assessments;
- Physical security;
- Job rotation;
- Data checks; and
- Internal and external audits.

#### Investigation Systems

When an allegation of fraud is made against an employee, the General Manager and/or Divisional Manager(s)/Manager(s), will discuss the matter with the person making the allegation. This person may be asked to make a written statement regarding the allegations.

The staff member alleged to have committed the fraud may be interviewed during this preliminary stage. Staff members can be accompanied during the interview by their manager or other nominated member of staff.

The applicable Divisional Manager or Manager will organise a preliminary assessment of the allegation and provide details to the General Manager on the findings. If the matter concerns the General Manager then it shall be reported to be public officer who will deal with the matter in accordance with the code of conduct complaints handling procedures.

If the allegation is serious enough and / or the evidence is compelling, then the matter may warrant a full investigation.

If a full investigation is to be followed, the General Manager/independent investigator will need to determine whether the matter is referred to an external agency such as the Police, ICAC or the Ombudsman. The General Manager/independent investigator may wish to refer it

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ITEM 1

FRAUD AND CORRUPTION POLICY AND FRAMEWORK

CONTINUED

*Warren Shire Council – Fraud and Corruption Policy*

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to the Code of Conduct Complaints Coordinator and have the matter referred to using the Code of Conduct Investigation procedures.

Council is committed to taking action against the perpetrators of fraud.

**DISCIPLINARY PROCEDURES**

The determination of an investigation whether it be a preliminary or full investigation, will be referred to the General Manager if it is a staffing matter.

For Councillors the matter will follow the Code of Conduct procedures.

Any matter may still be referred to or dealt with by an outside agency, in addition to a matter considered by the above two matters. For instance a staff matter, dealt with by the General Manager may still be referred to the Police for further action.

**PRIVACY AND ACCESS TO INFORMATION**

Information provided through any allegation and subsequent investigation will be handled confidentially. This is designed to help prevent any action being taken against staff for reporting suspected fraud. However, there may be situations where confidentiality may not be possible or appropriate. This will be discussed with the staff member making the report.

While anonymous reports are not encouraged, there may be situations where someone may not want to identify themselves. The Council will accept anonymous reports; however anonymity may limit the Council's ability to seek further information to assess the report adequately. When the identity of the person making the allegation is known, the Audit Office is able to obtain any further necessary information, provide the person with protection and support and give feedback about the outcome of any investigation into the allegations.

**BREACH OF THIS POLICY**

A breach of this policy may lead to disciplinary action being taken. This will depend on the severity of the incident. A breach of this policy could also lead to criminal action.

Any report that turns out to be vexatious, frivolous or misleading will result in disciplinary action against the staff member making the allegation.

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ITEM 1

FRAUD AND CORRUPTION POLICY AND FRAMEWORK

CONTINUED

Attachment 2 - Current Fraud and Corruption Policy (27th September 2018)



## POLICY REGISTER

## FRAUD AND CORRUPTION POLICY

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Policy adopted: 27th September 2018 Minute No. 214.9.18

Reviewed:

File Ref: P13-1, A1-3

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**DOCUMENT CONTROL**

| Issue | Prepared/Revised By and Date | Action/Amendment Description | Approved By and Date                                    |
|-------|------------------------------|------------------------------|---|
| 1.0   |                              | First Edition                | Council<br>Minute No. 214.9.18<br>(27th September 2018) |
|       |                              |                              |   |

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Warren Shire Council – Fraud and Corruption Policy

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**POLICY SCOPE**

This policy applies to all Council officials - Councillors, staff, volunteers and delegates.

**POLICY OBJECTIVES**

To state Warren Shire Council's commitment to the prevention of fraud and corruption and to outline the methodology to deter and detect fraudulent behaviour and corrupt conduct.

**POLICY STATEMENT**

Warren Shire Council will not tolerate any form of fraudulent or corrupt conduct by Councillors, staff, contractors, consultants or volunteer.

Warren Shire Council is committed to the:

- Development and maintenance of a sound ethical culture supported by appropriate policies, procedures and strategies that prevent fraudulent and corrupt behaviour.
- Regular conduct and review of fraud and corruption risk assessments to identify circumstances in which fraud and corruption could occur.
- Implementation of fraud and corruption prevention and mitigation procedures in day to day operations.
- Use of formal procedures for the investigation of allegations of corrupt and fraudulent behaviour.
- Maintenance of processes and procedures that encourage all business dealings with tenderers, suppliers, consultants and contractors are conducted in an ethical manner.
- Ongoing education and training of all Council officers and elected members in relation to their obligations in combating dishonest and fraudulent behaviour.

**RESPONSIBILITIES**

Council officials are responsible for reporting cases of suspected fraud or corrupt conduct. Council officials have a responsibility to act honestly and to follow diligently Council's policies and procedures to prevent and mitigate fraud and corruption.

The General Manager is ultimately responsible for the prevention, detection and reporting of fraud and corruption through the implementation of appropriate and effective internal control systems. The General Manager must report "possible" corrupt conduct to the Independent Commission Against Corruption (ICAC) pursuant to the *ICAC Act 1988*.

Managers are also responsible for the prevention, detection and reporting of fraud and corrupt conduct by ensuring:

- There are mechanisms in place within their area of control to assess the risk of fraud and corrupt conduct and to manage such risks by appropriate internal controls.
- The promotion of employee awareness and training/education on the prevention of fraud and corruption.
- Compliance with all relevant policies and practices.
- Reporting of any fraud or corruption matters to the General Manager.
- That reasonable steps are undertaken to ensure that Council contractors within their area of control adhere to the provisions of this policy.

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Warren Shire Council – Fraud and Corruption Policy

All Council officials are responsible for:

- Performing their functions and duties with diligence, honesty, integrity and impartiality.
- Complying with this policy and all legislative requirements to ensure they are not participating in corrupt or fraudulent behaviour.
- Reporting any suspicion of fraudulent or corrupt behaviour to the General Manager, the appropriate Manager or the Mayor if such behaviour concerns the General Manager, or by utilisation of Council's Internal Reporting Policy.
- Reporting any identified weaknesses in internal controls that could potentially facilitate a fraudulent or corrupt act.

Council officials should read Council's Internal Reporting Policy in relation to the protection afforded officials who report or disclose information for specified matters (such as fraud and corruption) internally or to external agencies.

**FRAUD AND CORRUPTION RISK ASSESSMENT PROCESS**

Council's main objective is to minimise the occurrence of fraud and corruption within the Council by:

- Identifying fraud and corruption risks.
- Determining strategies to control these risks.

The Divisional Manager Finance and Administration will instigate a review of Council's fraud and corruption risk and control strategies every four years. The Divisional Manager will also ensure that periodic and comprehensive risk assessments are conducted by relevant Managers of each area of operation pursuant to Council's Enterprise Risk Management Policy. Regular internal audits will be conducted to test the fraud and corruption control framework.

**EXAMPLES OF FRAUDULENT AND CORRUPT ACTIVITY**

**Theft**

- Stationery and office supplies.
- Construction and maintenance equipment and tools.
- Lap top computers.
- Mobile phones.
- Technical equipment (mobile GPS, cameras etc.).
- Cash.
- Intellectual property, including documents and data.

**Inappropriate or Misuse of Council Resources**

- Unauthorised use of corporate credit cards, petrol cards, Cabcharge or vouchers.
- Staff undertaking secondary paid work during work hours.
- Staff using telephones excessively for private purposes without appropriate reimbursement of costs.
- Internet service being used extensively for non-work purposes.
- "Left-over" materials being taken by Council officers.
- Plant being used by staff for private use without authorisation or payment.

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**Gifts, Benefits and Bribes**

Any gifts or benefits provided to, or any attempt to give a gift or benefit to a Council officer, is managed by Council's Gifts and Benefits Policy. The Policy prescribes when a gift may or not be accepted and relevant processes for dealing with such matters.

Bribes are given to influence the way a recipient carries out their official functions. For example, not respond to or report an illegal or unauthorised activity or procure goods and services from a specific person or company.

Higher risk areas for exposure to such behaviour includes:

- Officers who approve or can influence decisions.
- Officers who procure goods and services for Council.
- Regulatory and compliance staff.
- Staff who carry out work with the private sector.

**Zoning and Development**

- Coercion, intimidation and harassment of Council planning staff dealing with development applications (DAs).
- Inducement from developers to modify DA conditions imposed.

**Procurement, Tendering and Contract Management**

Activities associated with procurement, tendering and contract management have traditionally been susceptible to fraud and corruption risks. Examples of such risks include:

- Order splitting to avoid tendering provisions or quotes.
- Collusion with suppliers (dummy quotes).
- Fraudulent contract variations.
- False invoices.

**Human Resources**

- Creation of false employees on the payroll system.
- Job applicants falsifying career background details.
- Direct recruitment of friends and relatives breaching the legislative requirement of merit-based employment.
- Claiming unworked overtime on timesheets.

**Information Technology**

- Unauthorised electronic transfer of funds.
- Unauthorised alteration of input data.
- Alteration or misuse of software.
- Unauthorised sale or provision of information to 3<sup>rd</sup> parties.

**DISCIPLINE AND INVESTIGATION**

Warren Shire Council has zero tolerance for corrupt or fraudulent behaviour. Council staff found guilty of such matters will face disciplinary matters pursuant to the Code of Conduct and the Local Government (State) Award. Other (non-staff) Council officers will be disciplined pursuant to Council's Code of Conduct.

Further, as stated above, all "possible" corruption matters, involving Council officers, have a mandatory statutory reporting requirement to ICAC. The ICAC or Council itself can also seek

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criminal prosecutions by reporting fraud and other corruption matters to the NSW Police Service.

The General Manager must make an initial determination as to whether the matter in question concerns or may concern corrupt conduct. This may entail his or her own analysis of the circumstances surrounding the matter or utilising another staff member or an investigator to carry out preliminary enquiries on which to base the determination.

After formal notification by the General Manager, the ICAC will normally determine if they will investigate the alleged corruption matter. Alternatively, the ICAC may instruct Council to carry out their own investigation and report the findings to the ICAC. In such circumstances Council should engage an experienced and suitably qualified investigator for the process.

**FRAUD AND CORRUPTION PREVENTION TRAINING**

Warren Shire Council acknowledges that a high level of awareness amongst all Council officers in relation to fraud and corruption issues is an essential element in identifying and combatting such behaviours. Awareness training will be implemented through the following programs:

- At induction for all new employees.
- At the induction program for all new councillors.
- Regular refreshers.
- Fraud and Corruption prevention information through meetings, memos and other internal publications.
- Follow up meetings with staff after internal and external audits where relevant.

**FRAUD AND CORRUPTION MITIGATION PRACTICES**

Warren Shire Council recognises that appropriate policies and procedures must be implemented in certain operational areas to regulate and enable the monitoring of particular activities. These areas within Council include:

**Risk Management**

- Risk Assessment pursuant to the Enterprise Risk Management Plan.

**Finance**

- Cash Handling Procedures
- Petty Cash Handling Procedures
- Corporate Credit Card Policy

**Governance**

- Procurement and Disposal Policy.
- Councillors' Expenses and Facilities Policy.
- Secondary Employment Policy.
- Use of Council Resources (Corporate Practice Guide).
- Internal Reporting Policy.

**Ethics**

- Code of Conduct.
- Fraud and Corruption Prevention Policy.
- Statement of Business Ethics.

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**Fraud Detection**

- Fraud detection mechanisms/controls to aid in the early detection of suspicious or fraudulent behaviours. Such mechanisms may include monitoring staff and transactions and internal audit activities.
- Stock take of equipment and resources provided for staff.

**DEFINITIONS**

**Fraud**

Can be defined as a deliberate and premeditated turn of events which involves the use of deception to gain advantage from a position of trust and authority. The type of events includes: acts of omission, theft, the making of false statements, evasion, manipulation of information and numerous other acts of deception (Audit Office of NSW).

**Corruption**

The ICAC Act 1988 at sections 7,8 and 9 defines corruption as:

- Any conduct of any person (whether or not a public official) that adversely affects, or that could affect, either directly or indirectly, the honest or impartial exercise of official functions by any public official, any group or body of public officials or any public authority, or
- Any conduct of a public official that constitutes or involves the dishonest or partial exercise of any of his or her official functions, or
- Any conduct of a public official or former public official that constitutes or involves a breach of public trust, or
- Any conduct of a public official or former public official that involves the misuse of information or material that he or she has acquired in the course of his or her official functions, whether or not for his or her benefit or the benefit of any other person.

**Council official**

Council official includes Councillors, members of staff, volunteers and delegates of council.

**Related Legislation and Policies**

- Local Government Act 1993
- Independent Commission Against Corruption Act 1988
- Public Interest Disclosure Act 1994 NSW
- Enterprise Risk Management Policy

**Review**

Council reserves the right to vary, replace or terminate this policy at any time. This policy will be reviewed every 4 years or following an ordinary election of Council, or earlier if there are relevant statutory or State Government policy changes.

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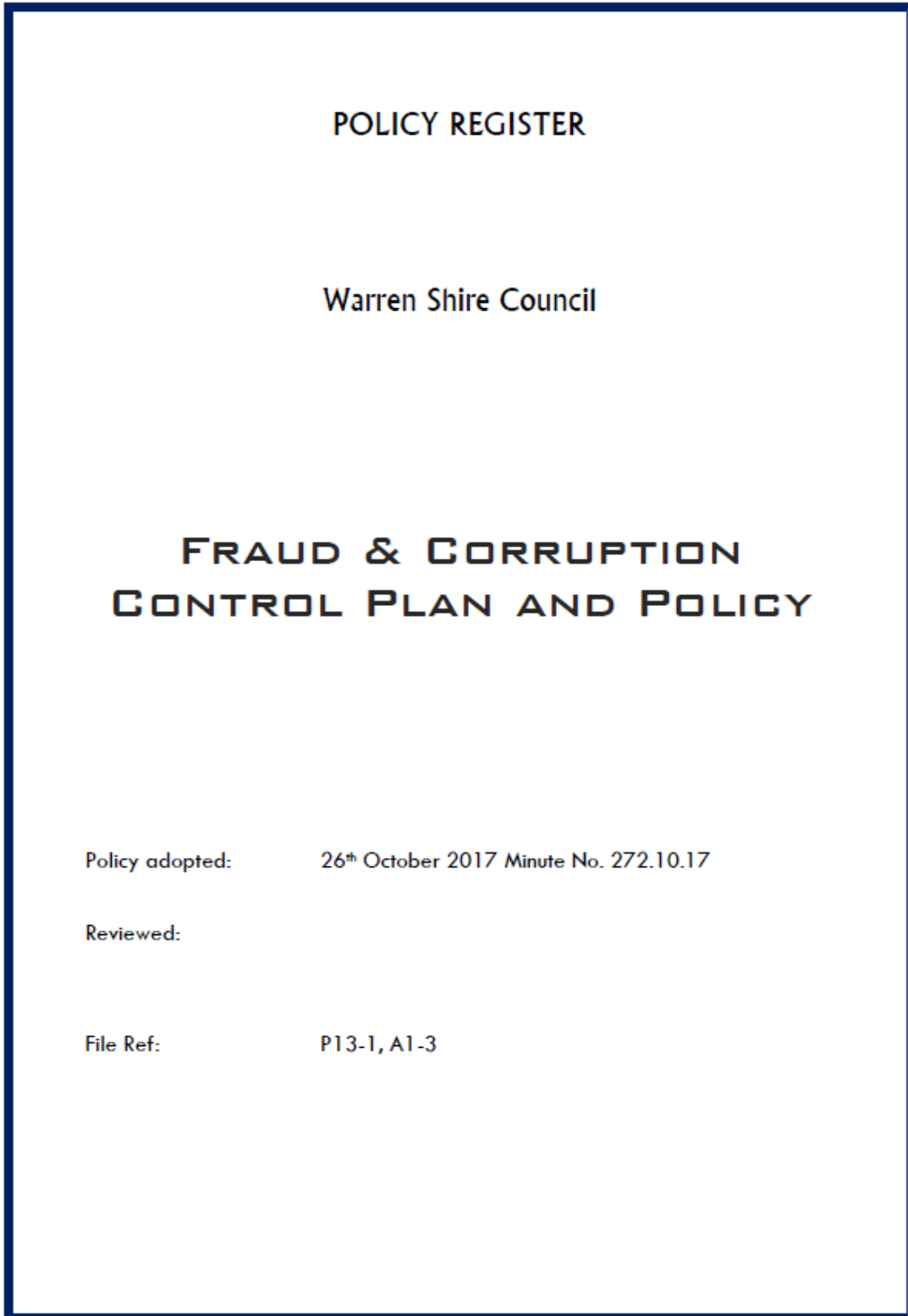
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**Attachment 3** - Previous Fraud and Corruption Control Plan and Policy (26th October 2017);



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| Plan Developed                                    | Plan Review Dates   | Plan Adopted by Council       |
|---|---|-------------------------------|
| Draft Plan August 2017                            |   | 26 <sup>th</sup> October 2017 |
| New Fraud & Corruption Policy added to Appendix 1 | Fraud & Corruption Policy adopted 27 <sup>th</sup> September 2018 |                               |
|   |   |                               |
|   |   |                               |
|   |   |                               |
|   |   |                               |

The following Plan has been developed from Plans across NSW Local Government including the Plans prepared by Ballina Council and Newcastle City Council. Warren Shire appreciates the efforts of these Councils to develop and make the plans publicly available. Reviews of investigations undertaken by the ICAC and Auditor General have been used to develop this plan.

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**Executive Summary**

This document sets out the Warren Shire Council's (the Council), Fraud and Corruption Control Plan (the Plan).

It provides the basis for various control strategies to address risk exposures associated with Fraud and Corruption. It also forms an integral part of the Corporation's integrity framework which consists of the following:

- Fraud and Corruption Control Plan
- Code of Conduct
- Corruption Prevention and Fraud Control Policy
- Statement of Business Ethics

The relationship of the above key drivers of integrity are presented in the following diagram:



A key element of the Fraud and Corruption Control Plan is the Corruption Prevention and Fraud Control Policy which is included at Appendix 1. The Plan follows the guidelines of the Australian Standard 8001, Fraud and Corruption Control (the Standard) and tailors the requirements of the Standard to the Council environment.

While it is recognised that even the most stringent of governance frameworks may not prevent all fraud and corruption, the Plan summarises the Council's framework for the prevention, detection, investigation and reporting of such activity.

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Strategic Intent

1. Contextual Background

Warren Shire Council is committed to building and sustaining an ethical, efficient and effective culture where opportunities for fraud and corruption are minimised. Council will change organisational features that are likely to allow corruption to occur or possibly go unnoticed or unreported.

Council recognises that its staff and Councillors understand what good conduct is and are committed to the highest standards of probity in management and operation of the Council.

This Plan aims to support Councillors and staff in achieving these standards.

2. Objective

The objective of the Plan is to outline our approach to controlling fraud and corruption against and by the Council.

It proposes an approach to controlling fraud and corruption through a process of:

- Establishing the Council's fraud and corruption control objectives and values;
- Setting the Council's policies to guide staff and Councillors across areas that include Credit Card use, Procurement and interactions with developers;
- Developing, implementing, circulating and maintaining an integrity framework;
- Fraud and corruption control planning and training;
- Risk management including all aspects of identification, analysis, evaluation treatment, implementation, communication, monitoring and reporting;
- Implementation of treatment strategies for fraud and corruption risks with a focus on intolerable risk;
- Ongoing monitoring and improvement;
- Awareness training;
- Establishing clear accountability structures in terms of response and escalation of the investigation;
- Establishing clear reporting policies and procedures;
- Setting guidelines for the recovery of the proceeds of fraud or corruption; and
- Implementing other relevant strategies.

Adoption of the Standard requires an appropriate level of forward planning and application of a structured risk management approach. The application of contemporary risk management principles is fundamental to the prevention of fraud and corruption.

The objective of the fraud and corruption control program outlined by the Standard is:

1. The elimination of internally and externally instigated fraud and corruption against the Council;
2. The timely detection of all instances of fraud and corruption against the Council if preventative strategies fail;
3. Recovery for the Council of all property dishonestly appropriated or secure compensation equivalent to any loss suffered because of fraudulent or corrupt conduct; and
4. The suppression of fraud and corruption by entities against other entities.

While 'elimination' of fraud and corruption remain the ultimate objective of this fraud and corruption risk mitigation program which is subject to the appropriate cost-benefit analysis.

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**3. Referenced Documents**

The Plan should be read, construed and applied in conjunction with the following Standards.

- Warren Shire Council Code of Conduct
- Warren Shire Council Policies and procedures
- AS 4811 Employment Screening
- AS 8000 Good governance principles;
- AS 8003 Corporate social responsibility;
- AS 8004 Whistle-blower protection programs for entities; and
- ISO 31000 Risk Management Principles and guidelines.

The Plan within this document contains the detailed procedural requirements necessary to develop, implement and maintain a formalised approach to fraud and corruption risk in the Council in accord with the provisions of the Standard.

**4. Definitions**

The Standard provides the definition for a range of matters fraud and corruption related but the two key definitions in the Standard are as follows:

- **Corruption**  
Dishonest activity in which a director, executive, manager, employee or contractor of a Council acts contrary to the interests of the Council and abuses his/her position of trust to achieve some personal gain or advantage for him or herself or for another person or Council.

The concept of 'corruption' within this standard can also involve corrupt conduct by the Council, or a person purporting to act on behalf of and in the interests of the Council, to secure some form of improper advantage for the Council either directly or indirectly.

- **Fraud**  
The dishonest activity causing actual or potential financial loss to any person or Council including the theft of moneys or other property by employees or persons external to the Council and where deception is used at the time, immediately before or immediately following the activity.

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

The theft of property belonging to Council by a person or persons internal to the Council but where deception is not used is also considered 'fraud' for the purposes of this Plan.

Note: The concept of fraud within the meaning of the Plan can involve fraudulent or corrupt conduct by internal or external parties targeting the Council or fraudulent or corrupt conduct by the Council itself targeting external parties.

- **Internal Review Committee**  
The Internal Review Committee is a committee of Council under the Local Government Act 1993 that is constituted to review and report on all areas of Councils process in relation to financial, governance and social responsibilities under the Act.

Note: The Internal Review Committee will not replace or override any requirement under the ICAC Legislation for reporting of Fraud or Corrupt Conduct and will not act as an investigative group under this legislation.

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**5. Risk Management Principles in Fraud and Corruption Control**

Fraud is inescapably a risk to all entities including the Council and can have a similar impact on the Council as other types of enterprise risk including:

- Financial loss;
- Reputational impact;
- Organisational morale; and
- Diversion of management energy.

The approach to managing this risk therefore is reflected in the Fraud and Corruption Control Plan and is the same as the Council has adopted in respect to its other operational risks.

Fraud and corruption risk is targeted by the strategic approach outlined in the standard AS 8001, the specific framework of which is detailed below.

**6. Standard Framework**

The Standard is divided into five parts:

- Scope and General;
- Planning and Resourcing;
- Prevention;
- Detection; and
- Response.

**7. Summary**

The Plan embraces the principles of the Standard and provides the Council with an effective mitigation plan to address the relevant risk exposures of fraud and corruption.

It uses the principles of sound risk management, planning, monitoring and remedial action.

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Section 2

1 Planning and Resourcing

1.1 Fraud and Corruption Control Planning

1.1.1 Implementing a Fraud and Corruption Control Plan

The Council has developed and implemented the following Fraud and Corruption Plan that documents the approach to controlling fraud and corruption exposure at strategic, tactical and operational levels.

The Plan details the Council's intended action in implementing and monitoring its fraud and corruption prevention, detection and response initiatives.

Accountability for the implementation and ongoing monitoring of the plan has been assigned to the General Manager. Council will review the establishment of an Internal Audit Review Committee, to oversight the review and reported fraud or risk concerns.

Action:

Council to establish an Internal Review Committee

1.1.2 Monitoring the Operation of the Plan

The operation of this Plan is monitored through the following processes:

- Internal audit reviews including
  - Review of the fraud control framework
  - Fraud awareness training
  - Fraud risk assessment
- Public Interest Disclosures and other complaints management procedures
- Review of actual incidents or allegations of fraud and corruption
- Employee assistance in the identification and reporting of suspected fraud and corruption

1.1.3 Communicating the Fraud and Corruption Control Plan

External communication

This Plan is to be communicated to external stakeholders by way of:

- a) An appropriate note in the Annual Report as part of a general declaration of integrity or corporate governance;
- b) Declarations in general terms and conditions of business dealings with external parties;
- c) Declarations in 'requests for tender' or similar invitations to propose to the Council; and
- d) On the Council's website.

It is considered that the requirement of the Standard for communicating with external stakeholders is addressed by comment in the governance statement in the Annual Report and a declaration within the requests for tender to external parties.

It also considered that the key stakeholders to whom this communication is addressed are suppliers and contractors who deal with the Council and may identify concerns of possible fraud or corruption.



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Action:

That Council provide a statement in its Annual Report, its Web Site and other documents to advise on its position concerning Fraud and Corruption behaviour.

**Internal Communication**

Regular internal communication is to be undertaken to ensure management and employees are informed of fraud and corruption control issues, policy and processes.

The Plan is to be accessible to all employees, via the web site and at Induction programs. Copies of this plan shall be provided to all staff meal room areas.

Key elements of the Plan are also communicated in the Corruption Prevention and Fraud Control Policy 2017, which is attached at Appendix 1 and available to employees.

**1.2 Review of the Fraud and Corruption Control Plan**

**1.2.1 Frequency of Review and Internal Review Committee**

The Plan is reviewed and amended at intervals appropriate to the Council but minimum, once every four years to take consideration of business and technological change.

Council will establish an Internal Review Committee that will consist of the Mayor and two (2) Councillors and the General Manager.

This Committee shall meet with Councils External Auditor two times each year to discuss audit reviews and inclusion of Fraud or corruption issues.

Action:

That the External Auditor shall meet with the Internal Review Committee twice a year prior to the required external audit process.

**1.3 Fraud and corruption control resources**

**1.3.1 Allocation of Resources**

The Standard requires the Council to ensure that an appropriate level of resources is applied to controlling fraud and corruption risk.

The Council has demonstrated its commitment to fraud and corruption control by allocating overall responsibility for implementing and overseeing the fraud and corruption control program to the Internal Review Committee.

**1.3.2 Other Fraud and Corruption Control Resources**

Other important resources within the Council in terms of managing fraud and corruption include—

- a) human resources/industrial relations;
- b) occupational health and safety personnel;
- c) compliance professionals;
- d) corporate counsel;
- e) quality assurance;
- f) records management;

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- g) corporate risk management;
- h) insurance management
- i) information security specialists and consultants;
- j) regulatory affairs managers; and
- k) environmental impact practitioners.

The Internal Review Committee has responsibility for ensuring that the process behind the Council's fraud and corruption control resources are coordinated so that they work together in a coordinated fashion in a way that achieves the objectives set out in the Plan.

The Internal Review Committee has overall responsibility for ensuring that fraud and corruption control outcomes are delivered, including responsibility for ensuring that fraud and corruption control resources are effectively coordinated.

#### 1.4 Provision of Internal Audit Services

##### 1.4.1 Utilising the Services of an Internal Auditor in detecting fraud

The Internal Review Committee shall have the ability to call on external Internal Audit resources as deemed necessary. Council will ensure that funding of these resources is available as requested.

Practice Advisory 1210.A2-2 provides—

Management and the internal audit activity have differing roles with respect to fraud detection. The normal course of work for the internal audit activity is to provide an independent appraisal, examination, and evaluation of an organisation's activities as a service to the organisation.

The objective of internal auditing in fraud detection is to assist members of the organisation in the effective discharge of their responsibilities by furnishing them with analyses, appraisals, recommendations, counsel, and information concerning the activities reviewed.

Management has a responsibility to establish and maintain an effective control system at a reasonable cost. Management will use the Internal Review Committee as its first level of review for potential fraud or corrupt actions review. Council may then call on the services of appropriately qualified Internal Audit service as deemed necessary.

A well designed internal control system should not be conducive to fraud. Tests conducted by auditors, along with reasonable controls established by management, improve the likelihood that any existing fraud indicators will be detected and considered for further investigation.

Practice Advisory 1210.A2-1 provides—

Detection of fraud consists of identifying indicators of fraud sufficient to warrant recommending an investigation. These indicators may arise as a result of controls established by management, tests conducted by auditors, and other sources both within and outside the organisation.

In conducting engagements, the Internal Auditor's responsibilities for detecting fraud are to—

- Have sufficient knowledge of fraud to be able to identify indicators that fraud may have been committed.
- Be alert to opportunities, such as control weaknesses, that could allow fraud. If significant control weaknesses are detected, additional tests conducted by Internal Auditors should include tests directed toward identification of other indicators of fraud.
- Evaluate the indicators that fraud may have been committed and decide whether any further action is necessary or whether an investigation should be recommended.

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- Notify the appropriate authorities within the organisation if a determination is made that there are sufficient indicators of the commission of a fraud to recommend an investigation.

1.4.2 Accordingly the Council will provide the Internal Audit function with sufficient knowledge, training, experience and resources to fulfil the role in deterring, detecting and responding to instances of fraud or suspected fraud.

**Action:**

Council will establish an annual budget to allow for an external Internal Auditor to be contracted as required by the Internal Review Committee and to provide funding towards training and resources required by the committee to undertake its role and function.

## 2 Prevention

### 2.1 Implementing and Maintaining an Integrity Framework

#### 2.1.1 Building an Ethical Culture

A key strategy in managing the risk of fraud and corruption within the Council is the implementation and maintenance of a sound ethical culture.

The Council will aim to ensure that it has a healthy and sustainable ethical culture through the implementation of an integrity and process framework.

If the Council's observable ethical culture falls below acceptable levels, remedial action including a broad-based communication and training program will be undertaken as a matter of priority.

Councillors, Management, employees and others concerned with the Council's business operations in any capacity, are required to confirm in writing, annually, that they have, over the previous twelve months complied with the Council's Code of Conduct and fraud and corruption policies and that they will so comply over the ensuing twelve months.

**Action:**

To prepare a Statement of Ethics and advertise this within the Council organisation and externally through the web site, annual report and include the statement with all tender documents.

#### 2.1.2 The Elements of an Integrity Framework

The Council takes the view that promoting an ethical culture is achieved by issuing a code of expected behaviour. Accordingly, the Council has adopted a Model Code of Conduct (2015).

Recent research has shown that promulgating a code of conduct will be more effective if it is implemented as part of a coordinated approach. A Code of Conduct is an important element, but not the only element, of an effective integrity framework.

In the Council, it is considered that commitment to the pillars of the Strategic Intent together with the employee and Councillor Codes of Conduct encapsulate the elements of the integrity framework required for compliance with the standard.

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The fundamental elements of a sound integrity framework are set out in Table 1 below.

This Plan requires Council to consider these concepts and implement them where appropriate.

TABLE 1 – Fundamental elements of an integrity framework

**Element Description**

Integrity Framework – Council shall develop an appropriate integrity framework using a participatory approach which builds commitment from all employees and is subject to ongoing monitoring and maintenance.

The Integrity framework will include the development and promulgation of the other fundamental elements set out below.

1. Example Setting - Observable adherence to the Council's integrity framework by senior management.
2. Senior Management - Senior management group that recognizes the need for establishing and maintaining an ethical culture and actively promotes such a culture.
3. Codes of Behaviour - A Comprehensive Statement of Business Ethics/Code of Conduct incorporating a high level aspirational statement of values with limited detail of unacceptable behaviour.
4. Allocation of Responsibility - Responsibility assigned to a senior person for ensuring the Council's integrity initiatives are implemented and monitored.

This person would have a direct line of reporting to the Internal Review Committee or another senior management body with overall responsibility for the Council's ethical culture.

In addition to allocation of specific responsibility for improving the Council's performance on this issue, it will be clearly communicated internally that every person associated with the Council has a role to play in driving integrity and ethical behaviour.

5. Internal Review Committee - The Internal Review Committee will be the final arbiter on issues of apparent misconduct and ethical dilemmas that cannot otherwise be resolved at line-management level.

It is also the body charged with overseeing the operation and maintenance of the Council's entire integrity framework.

6. Communication - A program for communicating the Council's Statement of Business Ethics/Code of Conduct.

Communication of the importance of ethical standards through regular dissemination of material via newsletters and web sites.

7. Training - Specific ongoing training in the use of codes of behaviour and ethical tools for decision-making. Feature ethics components in all training.

8. Reinforcement - Incorporation of an integrated ethical standard into performance management, e.g. 360-degree feedback, performance appraisal systems and remuneration strategies.

9. Benchmarking - A program for continuous benchmarking of ethical standards aimed at identifying improvement in the Council's ethical standards over time and between different elements of the Council.

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10. Reporting of Complaints - A mechanism for the communication of ethical concerns inside and outside the normal channels of communication.
11. Compliance - A policy requiring all personnel to sign an annual statement to the effect that they have complied with all necessary Council policies relating to conflict of interest, disclosure of confidential information and other relevant ethics related issues.

**Action:**

That Council staff are provided a copy of the Model Code of Conduct at each performance appraisal and that the appraisal acknowledges the Code to allow staff to ask questions of supervisors and managers about issues of concern.

**2.2 Internal Review Committee and Senior Management commitment to controlling the risks of Fraud and Corruption**

**2.2.1 Risk Consciousness**

The Council will ensure a high level of risk consciousness for the risks of fraud and corruption are present across the senior management group and, if found to be absent, will be the subject of appropriate awareness training at senior levels.

This awareness training may include awareness of new types of technology that could be used for the commission of fraud and technological measures that can be used by a Council to minimize new types of fraud.

**2.2.2 Consideration of fraud and corruption as a serious risk**

The Council acknowledges that an important factor contributing to a fraud and corruption prone environment in Australian business is a fundamental failure of senior management to treat the risks as a serious threat to the Council and a consequent failure to allocate sufficient resources to managing the problem.

The Council ensures that the risks of fraud and corruption are treated seriously and appropriate steps taken to minimise the risks of fraud and corruption occurring, as demonstrated by various policies and procedures including the following:

- Fraud and Corruption Control Plan
- Code of Conduct
- Corruption Prevention and Fraud Control Policy
- Public Interest Disclosures Policy
- Procurement policy and delegations of financial expenditure
- Quotation and Tendering Policy and Procedure
- Procedure for provision and hire of plant, equipment or services
- Approval process reviews for development applications and general approvals of Council.

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2.2.3 Senior management awareness of fraud and corruption issues

The Council will endeavour to ensure that senior management will, as a minimum, understand the following fraud and corruption issues:

- a) The incidence of fraud and corruption generally in Australia;
- b) The types of fraud and corruption common within the industry sector in which the Council operates and the losses typically associated with conduct of this type;
- c) The robustness of the Council's internal control environment in terms of its ability to prevent and detect the types of fraud and corruption likely to occur;
- d) A knowledge of the types of fraud and corruption that have been detected by the Council in the last five years and how those matters were dealt with in terms of disciplinary action and internal control enhancement;
- e) The Council's own fraud and corruption prevention and control plan and processes; and
- f) Knowledge of new technology tools for detecting and preventing fraudulent activity.

The Council will ensure that Fraud Awareness is regularly communicated to employees to address these requirements.

**Action:**

That Senior staff attend the State-Wide Insurers annual conference to keep up to date with issues around Fraud, Corruption and general insurance changes.

2.3 Line Management Accountability

2.3.1 Accountability for prevention and detection of fraud

The management of fraud and corruption is to be imbedded into the position description provisions of each line manager (i.e. compliance with legislative provisions) and is managed via the compliance and measurement processes;

- The Council considers that all employees have a responsibility for fraud and corruption control at the Council.
- The Council ensures that line managers are aware of their accountabilities for the prevention and detection of fraud and corruption through the discussions held at performance evaluations.

2.3.2 The need for a "whole of business" approach to controlling fraud and corruption

Fraud and corruption control is often seen as a 'corporate' responsibility (i.e. the responsibility of central management at the corporate level) rather than as a responsibility for local or line management.

It is an underlying principle of the Plan that no one strategy by itself can be effective in managing the risks of fraud and corruption and it follows therefore that no one person or category of person can be fully effective in managing the risks.

2.3.3 Achieving line management awareness of their accountability for controlling fraud and corruption

Line management within the Council will continue to be made fully aware that managing fraud and corruption is as much part of their responsibility as managing other types of enterprise risk.

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To reinforce this, the Council will develop, maintain and deliver a training program to reinforce awareness at regular intervals as agreed by the Internal Review Committee.

**Action:**

That all manager and supervisor position descriptions are reviewed to include requirements for reporting and control of fraud or corrupt behaviour and addressed at performance reviews.

**2.4 Internal control**

**2.4.1 Implementing an effective system of Internal Control**

The Council will ensure that all business processes, particularly those assessed as having a higher predisposition to the risks of fraud and corruption, are subject to a rigorous system of internal controls that are well documented, updated regularly and understood by all personnel.

Note: There is a strong link between the incidence of fraud and corruption and poor internal control systems within Councils.

It follows that tight internal control is an effective weapon in protecting the Council against fraud.

**2.4.2 The role of the Internal Control system in preventing fraud and corruption**

It is considered that whilst internal control is the first line of defence in the fight against fraud and corruption, management should take an active role in the internal control process.

**2.4.3 Issues for consideration in developing an internal control system that will be effective in preventing fraud**

The following are elements of the Council's internal control system that will assist it to protect itself against the risk of fraud and corruption:

- a) Internal controls that are, to an appropriate degree, risk focused, in other words, they have been developed considering the risks the Council faces and are aimed at mitigating those risks.
- b) Internal controls that are appropriately documented.
- c) A process of continuous improvement of internal controls that are reviewed and amended regularly.
- d) Internal controls that are communicated effectively to all personnel appropriate to their level of responsibility and position description.
- e) Internal controls that are accessible to personnel. The Council's personnel have ready access to the Council's intranet site or to hard copies of information and that the most recent version of a given internal control system can be quickly and efficiently accessed.
- f) A strong internal control culture in which all personnel understand the importance of adhering to internal control, this may include internal control adherence as an element of the regular performance review program.
- g) A program for assessing compliance with the Council's internal controls. This will be done by way of an online employee survey and Quality assurance audits.
- h) Senior management setting an example of internal control adherence.
- i) An internal audit program that incorporates a review of adherence to internal control.
- j) Assessments by external auditors and advice as to fraud control.

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**Actions:**

1. That all staff with delegations to procure items, plant and materials above \$10,000 or have a delegation to approve any application for development or construction, be required to submit the Personal Disclosure form under Section 449 Local Government Act 1993;
2. That all Councillors complete the personal disclosure forms annually under Section 449 Local Government Act 1993; and
3. All Councillors, Executive Staff, senior Managers are to complete and submit the Related Party Disclosure form as to any Business undertakings or associated persons or entity, with Council as required by the Australian Accounting Standard AASB 124 (policy amendment is required).

**2.5 Assessing Fraud and Corruption Risk**

**2.5.1 Implementing a Policy for assessing the risk of fraud and corruption**

The Council should adopt a policy and process for the systematic identification, analysis and evaluation ('risk assessment') of fraud and corruption risk and periodically conducts a comprehensive assessment of the risks of fraud and corruption within its business operations.

The frequency with which the Council should assess fraud and corruption risk is dependent upon factors such as the Council's size, diversity of business functions, geographic distribution, the extent to which the Council is monitored by other entities or regulators, the rate of technological change and the risks inherent within the industry sector in which the Council operates.

The Council to decide the timing of such assessments with a view to conduct assessments every two years.

**2.5.2 Application of Risk Management principles to assessment of fraud and corruption risk**

The Council acknowledges that AS/NZS ISO 31000:2009 Risk Management Principles and Guidelines contemplates a seven-stage process of risk assessment the main elements of which are:

- a) Communicate and consult - That is, communication and consultation with external and internal stakeholders should take place during all stages of the risk management process;
- b) Establish the context - That is, the organization articulates its objectives, defines the external and internal parameters to be considered when managing risk, and sets the scope and risk criteria for the remaining process;
- c) Identify risks – That is, the organization should identify sources of risk, areas of impacts, events (including changes in circumstances) and their cause and their potential consequences;
- d) Analyse risks – That is, developing an understanding of the risks;
- e) Evaluate risks – That is, to assist decision makers, based on the outcomes of risk analysis, about which risks need treatment and the priority for treatment implementation;
- f) Treat risks – That is, selecting one or more options for modifying risks, and implementing those options;
- g) Monitor and review – That is, this should be a planned part of the risk assessment process and involve regular checking or surveillance;

**Action:**

That Council undertake a desk top assessment of Fraud and Corruption procedures every two years or as more frequently as determined necessary.



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2.5.3 Fraud and Corruption risk assessment process

2.5.3.1 Methodologies for assessing fraud and corruption risk

It is noted that entities carrying out an assessment of fraud and corruption risk have traditionally used one of the following three alternative methodologies:

- a) Independent assessment of processes and procedures including a series of one-on-one interviews with relevant personnel and internal control documentation review.
- b) A survey of fraud and corruption risk by the issue and analysis of a questionnaire tailored for the Council or those business units or operational functions of the Council being assessed.
- c) A facilitated or consultative 'workshop' approach involving maximum input of personnel from the business unit being assessed wherein a 'risk assessment team' formed for each business unit identifies and assesses the risks relevant to the business unit.

The Council deploys each of these methods to facilitate compliance confidence and maintenance of awareness as follows:

- a) Fraud control framework review;
- b) Targeted fraud awareness training; and
- c) Fraud and corruption risk assessment.

2.5.3.2 Steps of the risk assessment process

The Council incorporates the following steps of the risk assessment process into the preparation of the Enterprise Risk Register having regard to the application of the process to the assessment of fraud and corruption risk:

- a) Risk identification;
- b) Risk analysis; and
- c) Risk evaluation.

2.5.4 Monitoring and Review

The Council will regularly monitor and review any changes to the context, its risk environment and the effectiveness and efficiencies of its controls as part of its overall risk management strategy.

2.6 Communication and Awareness

2.6.1 Awareness of fraud and corruption issues

The Council will ensure that every employee (management and non-management) will have general awareness of fraud and corruption and how he or she should respond if this type of activity is detected or suspected.

This is to be facilitated by the Fraud Awareness Program coordinated by the Internal Review Committee every two years (unless deemed necessary earlier).

2.6.2 The need for fraud and corruption awareness

The Council acknowledges that the primary purpose of fraud and corruption awareness training is to assist in the prevention and control of fraud by raising the general level of awareness amongst all employees.

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A significant proportion of fraud and corruption is not identified at an early stage because of the inability of Council's employees to recognize the warning signs, because they are unsure how to report their suspicions or they have a lack of confidence in the integrity of the reporting system or the investigation process.

**2.6.3 Fostering fraud and corruption awareness within the Council**

An awareness of the risk of fraud and corruption control techniques and the Council's attitude to control of fraud and corruption will be fostered by:

- a) Ensuring all appropriate employees receive training in the Council's Code of Conduct and other elements of its integrity framework at induction and throughout the period of their employment;
- b) Ensuring all employees receive regular fraud awareness training appropriate to their level of responsibility;
- c) Ensuring updates and changes to fraud-related policies, procedures, the Code of Conduct and other ethical pronouncements are effectively communicated to all employees;
- d) Ensuring employees are aware of the alternative ways in which they can report allegations or concerns regarding fraud or unethical conduct; and
- e) Encouraging employees to report any suspected incidence of fraud or corruption.

This is facilitated by the Fraud Awareness Training Program coordinated by the Internal Review Committee.

**2.7 Employment Screening**

**2.7.1 Implementing a robust employment screening program**

The Standard suggests that the pre-employment screening process, based on the employment screening standard AS 4811-2006 is an effective way of reducing a Council's potential exposure to internally focused fraud and corruption.

The objective of the screening process is to reduce the risk of a potential security breach and to obtain a higher level of assurance as to the integrity, identity and credentials of personnel employed by the Council.

Pre-employment screening is undertaken by the Human Resource function for all new employees before commencing employment.

**Actions:**

1. Employment screening is to be undertaken for all Senior Management positions.
2. Police checks are to be undertaken for any general management/ supervisor positions and may include working with children checks.

**2.8 Supplier and Customer Vetting**

**2.8.1 Verification of suppliers and customers**

The Council ensures the bona fides of suppliers by adhering to the Procurement Policy, Procedures and Practices developed in compliance with the Local Government Act (NSW) 1993 and Local Government (General) Regulations 2005.

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The Council will consider its ongoing commercial relationship with the other party if the enquiry finds a heightened risk of fraud or corruption in continuing to deal with that party.

There is a constant requirement via the established processes to maintain an awareness to any contracted party manipulating the procurement process or soliciting the payment of secret commissions.

**2.8.2 The case for vetting of suppliers and customers**

While much fraud and corruption in Australia is instigated by persons internal to an organisation, the Council acknowledges that there is a growing sense that Australian business is becoming increasingly susceptible to externally instigated fraud.

In addition, there is growing evidence of the involvement of organized crime in external fraudulent attack on Australian corporations and government agencies.

Corruption typically perpetrated by external parties involves manipulation of the procurement process by paying or offering bribes.

The risk of fraud or corruption will be reduced if the Council knows who it is dealing with in all significant commercial transactions.

**2.8.3 Enquiries to be undertaken**

The Council shall develop a process that provides for effective vetting of suppliers and customers which represents an extension of credit checks.

The Council acknowledges that if the customer or supplier is a corporation, the enquiries would typically include:

- a) Search of company register;
- b) ABN confirmation;
- c) Verification of the personal details of directors;
- d) Director bankruptcy search;
- e) Disqualified director search;
- f) Assessment of credit rating;
- g) Search of legal proceedings pending and judgments entered;
- h) Telephone listing verification;
- i) Trading address verification; and
- j) Media search.

Within the Council's procurement processes, various enquiries are made in respect to the bona fides of new suppliers.

It should be noted comprehensive review is undertaken of all proponents to contract and quotation award via the Procurement of Goods and Services Procedure.

**Actions:**

1. That Council every six months prior to audit; run a report on procurement of supplies to identify any trends in purchasing and the responsible officer.
2. Council will include in all tender documents some or all of the details contained in Section 2.8.3 of this plan as appropriate to the tender expenditure and type.

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2.9 Controlling the Risk of Corruption

2.9.1 Specific measures for countering the risk of corruption

The Council acknowledges that the following specific measures will be included in an anticorruption program:

- A program for corruption resistance wherein the Council makes a strong anticorruption statement (in terms of both incoming and outgoing corrupt conduct) which is properly communicated and then consistently applied throughout the Council;
- Implementing a policy of personnel rotation so that improper relationships are less likely to develop;
- Consideration of requiring 'vendor audits' of 'high-risk' providers;
- Enhanced probity and contracting procedures;
- Opening channels of communication within the Council so that employees have a range of alternative avenues for reporting concerns in relation to possible corrupt conduct; and
- Opening channels of communication with customers, vendors and other third parties aimed at encouraging those parties to come forward if there is an indication of corrupt conduct involving the Council or any person associated with the Council.

The Council's procurement and tendering policies and procedures developed with reference to the requirements of the Local Government Act (NSW) 1993 and Local Government (General) Regulations 2005, are subject to regular continuous monitoring and improvement.

3 Detection

3.1 Implementing a Fraud and Corruption Detection Program

3.1.1 Detection Systems

The Council has implemented systems aimed at detecting fraud and corruption as soon as possible after it has occurred if the Council's preventative systems fail.

These systems include the following:

- Whistleblowing procedures;
- Management system audits;
- Internal and external audit;
- Post-transactional review;
- Data mining and real-time computer system analysis to identify suspected fraudulent transactions; and
- Analysis of management accounting reports.

Note: Even in entities that have implemented a comprehensive fraud and corruption control program, it is possible that fraud or corruption will occur from time to time.

3.1.2 Responsibility for the fraud and corruption detection program

Responsibility for developing systems to investigate and detect fraud and corruption in the Council rests with the Internal Review Committee. The Committee may call on outside assistance if required.

A general awareness of the skills and techniques deployed in any detection program is considered of value at any opportunity including scheduled training sessions, management and Departmental meetings as appropriate.

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3.1.3 Post-transactional review

A review of transactions after they have been processed can be effective in identifying fraudulent or corrupt activity.

Such a review conducted by personnel unconnected with the business unit in which the transactions were effected, may uncover altered or missing documentation, falsified or altered authorisation or inadequate documentary support.

In addition to the possibility of detecting fraudulent transactions, such a strategy can also have a significant fraud prevention effect as the threat of detection may be enough to deter employees who would otherwise be motivated to engage in fraud and corruption.

3.1.4 Data mining and real-time computer systems analysis

The Council's information systems are an important source of information on fraudulent and, to a lesser extent, corrupt conduct.

By the application of sophisticated software applications and techniques, a series of suspect transactions can be identified and then investigated thus potentially detecting fraudulent and corrupt conduct at an early stage.

Strategic computer analysis may involve off-line and real-time techniques.

In off-line techniques, data is extracted from the computer system onto a personal computer system using appropriate software applications. Back up data should not be destroyed or over written to allow a historic record of data to ensure long term trends can be investigated.

Real-time techniques will involve analysis of live data within the system.

3.1.5 Analysis of management accounting reports to identify trends

Using relatively straightforward techniques in analysing the Council's management accounting reports, trends can be examined and investigated which may be indicative of fraudulent or corrupt conduct.

Some examples of the types of management accounting reports that can be utilized on a compare basis are monthly actual/budget comparison reports for individual cost centres, reports comparing expenditure against industry benchmarks and reports highlighting unusual trends in bad or doubtful debts.

**Actions:**

1. That an audit process is undertaken before the destruction of Computer Back up Files (monthly and yearly);
2. That off line and on-line data testing is undertaken to detect or investigate fraudulent or corrupt transactions.
3. That policies and procedures for credit card use, delegations and procurement are reviewed every two years or as deemed necessary.

3.2 Role of the External Auditor in the detection of fraud

3.2.1 Working with the External Auditor in the detection of fraud

As the Council's financial statements are audited, it is familiar with the role and responsibilities of the auditor in detecting fraud.

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Senior management and the Internal Review Committee will undertake a discussion with the auditor in terms of the audit procedures that will be carried out during the audit that are aimed at detecting material misstatements in the Council's financial statements due to fraud or error.

3.2.2 Leveraging from the external auditor fraud detection program

- a) The Council takes a proactive position in relation to the external audit fraud detection program; and
- b) Offering such assistance as they may require enabling a more comprehensive examination of any issues arising.

Action:

The Internal Review Committee shall meet with the External Auditor twice yearly to discuss audit process and to discuss issues around Fraud or Corrupt actions.

3.3 Avenues for Reporting Suspected Incidents

3.3.1 Implementation of a program for alternative reporting channels

The Council will ensure that adequate means for reporting suspicious or known illegal or unethical conduct are available to all employees.

3.3.2 The need for a formalised system of reporting

Reports of behaviour involving possible fraud or corruption can be communicated to senior management through:

- a) The employee's usual organisational structure (i.e. to senior management via the employee's immediate manager or supervisor); and
- b) To the Chair of the Internal Auditor Review Committee or Public Officer.

3.3.3 Alternative avenues for reporting

External alternative reporting channels are available and information can be obtained from ICAC or Ombudsman's Office. Information on alternate reporting is to be made available to staff and the public.

The normal reporting channels cannot be used if a staff member or member of the public has information that relates to the General Manager, the Mayor, a Councillor or a member of the Internal Audit Review Committee.

3.3.4 Implementing a whistleblowing procedure

The Council will implement an active protection of disclosers pamphlet and will ensure that the guideline is well communicated and understood by all personnel.

3.3.5 Further guidance on implementing a whistle-blower protection program

To encourage the prompt reporting of concerns and suspicions, the Council has adopted a policy of encouraging employees who have knowledge of fraudulent or corrupt conduct to come forward.

If employees do not feel able to report a fraud or corruption concern directly to their manager or supervisor they have alternative means of raising concerns and suspicions outside the usual channels (ICAC and Ombudsman).

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Details of the alternative means of reporting suspicious or known illegal or unethical conduct are to be posted on Notice Boards within staff areas.

**Actions:**

1. Council is to develop an active protection of disclosers pamphlet and will ensure that the guideline is well communicated and understood by all personnel.
2. Details of the alternative means of reporting suspicious or known illegal or unethical conduct are to be posted on Notice Boards within staff areas and available to the public.

**4 Response**

**4.1 Policies and Procedures**

The Council has installed appropriate policies, procedures and awareness for dealing with suspected fraud or corruption detected through its detection systems or otherwise coming to their notice.

This has included the development and implementation of:

- a) Appropriate measures for the comprehensive investigation of such matters based on the principles of independence, objectivity and the rules of natural justice;
- b) Systems for internal reporting of all detected incidents;
- c) Protocols for reporting the matters of suspected fraud or corruption to the Police and/or other appropriate law enforcement agencies/regulatory bodies; and
- d) Policies for the recovery of stolen funds or property.

**Action:**

That Council develops policies around procurement and disposal of assets, external business support, Land sales and risks associated with fraud and corruption as determined appropriate.

**4.2 Investigation**

Within the Council, the reporting channels for fraud or suspected fraud including the Procedures (flow chart of investigation) are clearly laid out in the Corruption Prevention and Fraud Control Policy. Investigations are undertaken independent of Internal Audit using appropriately qualified and experienced investigators.

**4.3 Internal Reporting and Escalation**

**4.3.1 Collating information in relation to fraud and corruption incidents**

The Council has considered whether it should establish a fraud and corruption incident register.

It is considered that the size of the Council does not warrant such a register being established as there is already reporting requirements of the NSW Ombudsman, Independent Commission Against Corruption and the Minister for Local for the various levels of fraud detected.

**4.4 Disciplinary Procedures**

**4.4.1 Disciplinary Procedures**

The Council have adopted the Disciplinary Policy of the NSW Local Government (State) Award 2014 which is available on the Council infontet.

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4.4.2 Implementing a Disciplinary Procedures Policy

The ultimate outcome of disciplinary proceedings may involve the admonition, termination, demotion, fining or reduction in seniority of an employee or other internal person.

An important element of the policy is the application of the rules of natural justice and fairness.

4.4.3 Separation of investigation and determination processes

It is important to separate the investigation and determination processes in relation to fraud or corruption incidents.

A description of the process followed in all disciplinary matters is provided in the NSW Local Government (State) Award 2014. (Note: The New Award 2017, should be consulted once released by the Industrial Relations Commission).

A decision relating to all disciplinary matters is made based on the evidence and after applying the Disciplinary and Procedure of the NSW Local Government (State) Award 2014.

Actions:

1. Development and implement:

- a) Appropriate measures for the comprehensive investigation of such matters based on the principles of independence, objectivity and the rules of natural justice;
- b) Systems for internal reporting of all detected incidents;
- c) Protocols for reporting the matters of suspected fraud or corruption to the Police and/or other appropriate law enforcement agencies/regulatory bodies; and
- d) Policies for the recovery of stolen funds or property.

2. Develop a Procedure (flow chart for investigation) for consideration of reported incidents.

4.5 External Reporting

4.5.1 Implementing a policy dealing with external reporting of fraud and corruption

The Council has a zero tolerance to fraud and corruption.

Where evidence is established of fraud and/or corruption, involving the Council, either internally or externally, it will be reported to the authority deemed appropriate in the circumstances, including, but not limited to, NSW Police, NSW Ombudsman and the Independent Commission Against Corruption (ICAC).

4.5.2 Format for reports to law enforcement agencies

Should it become necessary the Council will provide, as a minimum, the following items to the law enforcement agency in a manner required by the law enforcement agency to ensure minimal duplication of effort:

- a summary of the allegations.
- a list of witnesses and potential witnesses.
- a list of suspects and potential suspects.
- copies of all statements, depositions or affidavits obtained to that point including any written statement made by the subject of the investigation.
- a copy of the transcript of any interview conducted with a person suspected of involvement in the matters alleged.
- a copy of any electronic media on which such interviews have been recorded.



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- copies of all documentary evidence obtained to that point (ultimately the law enforcement agency will probably require the original documents, in which case copies should be retained by the Council).
- any charts or diagrammatical summaries of the allegations and evidence that the Council may have produced.

**4.5.3 Commitment to assist law enforcement**

If a decision is made to refer the matter to the appropriate law enforcement agency, the Council will give an undertaking to the law enforcement agency that it will do all that is reasonable in assisting the law enforcement agency to conduct a full and proper investigation.

This may involve the Council committing financial and other resources to an investigation either for or independently of the law enforcement agency.

**4.6 Civil action for recovery of losses – Policy for Recovery Action**

The Council will initiate appropriate recovery action where there is clear evidence of fraud or corruption and where the likely benefits of such recovery will exceed the funds and resources invested in the recovery action.

**4.7 Review of Internal Controls**

**4.7.1 Internal Control review following detection of a fraud or corruption incident**

In each instance where fraud is detected, the Internal Auditor and line management will reassess the adequacy of the internal control environment (particularly those controls directly impacting on the fraud incident and potentially allowing it to occur) and consider whether improvements are required.

Where improvements are required, these should be implemented as soon as practicable.

**4.7.2 Accountability for undertaking internal control review**

The responsibility for ensuring that the internal control environment is re-assessed and for ensuring that the recommendations arising out of this assessment are implemented will reside with the Internal Review Committee and the Senior Management of the Council.

A summary of recommendations or requirements for the modification of the internal control environment should be provided to the manager of the department concerned.

**Action:**

That any actions identified by the External Auditor or via other audit processes shall be implemented by the Management team as soon as practicable and a report prepared to the Internal Review Committee as to the action taken.

**4.8 Insurance – Consideration of the need for Fidelity Guarantee Insurance**

The Council maintains an extensive Fidelity Guarantee Policy that insures the Council against the risk of loss arising from internal fraudulent conduct.

**Action:**

That Council maintains Fidelity Guarantee Insurance

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ITEM 1

FRAUD AND CORRUPTION POLICY AND FRAMEWORK

CONTINUED

Appendix 1: Fraud and Corruption Policy 27 September 2018



## POLICY REGISTER

## FRAUD AND CORRUPTION POLICY

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Policy adopted: 27th September 2018 Minute No. 214.9.18

Reviewed:

File Ref: P13-1, A1-3

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**DOCUMENT CONTROL**

| Issue | Prepared/Revised By and Date | Action/Amendment Description | Approved By and Date                              |
|-------|------------------------------|------------------------------|---|
| 1.0   |                              | First Edition                | Council Minute No. 214.9.18 (27th September 2018) |
|       |                              |                              |   |

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FRAUD AND CORRUPTION POLICY AND FRAMEWORK

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**POLICY SCOPE**

This policy applies to all Council officials - Councillors, staff, volunteers and delegates.

**POLICY OBJECTIVES**

To state Warren Shire Council's commitment to the prevention of fraud and corruption and to outline the methodology to deter and detect fraudulent behaviour and corrupt conduct.

**POLICY STATEMENT**

Warren Shire Council will not tolerate any form of fraudulent or corrupt conduct by Councillors, staff, contractors, consultants or volunteer.

Warren Shire Council is committed to the:

- Development and maintenance of a sound ethical culture supported by appropriate policies, procedures and strategies that prevent fraudulent and corrupt behaviour.
- Regular conduct and review of fraud and corruption risk assessments to identify circumstances in which fraud and corruption could occur.
- Implementation of fraud and corruption prevention and mitigation procedures in day to day operations.
- Use of formal procedures for the investigation of allegations of corrupt and fraudulent behaviour.
- Maintenance of processes and procedures that encourage all business dealings with tenderers, suppliers, consultants and contractors are conducted in an ethical manner.
- Ongoing education and training of all Council officers and elected members in relation to their obligations in combating dishonest and fraudulent behaviour.

**RESPONSIBILITIES**

Council officials are responsible for reporting cases of suspected fraud or corrupt conduct. Council officials have a responsibility to act honestly and to follow diligently Council's policies and procedures to prevent and mitigate fraud and corruption.

The General Manager is ultimately responsible for the prevention, detection and reporting of fraud and corruption through the implementation of appropriate and effective internal control systems. The General Manager must report "possible" corrupt conduct to the Independent Commission Against Corruption (ICAC) pursuant to the *ICAC Act 1988*.

Managers are also responsible for the prevention, detection and reporting of fraud and corrupt conduct by ensuring:

- There are mechanisms in place within their area of control to assess the risk of fraud and corrupt conduct and to manage such risks by appropriate internal controls.
- The promotion of employee awareness and training/education on the prevention of fraud and corruption.
- Compliance with all relevant policies and practices.
- Reporting of any fraud or corruption matters to the General Manager.
- That reasonable steps are undertaken to ensure that Council contractors within their area of control adhere to the provisions of this policy.

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All Council officials are responsible for:

- Performing their functions and duties with diligence, honesty, integrity and impartiality.
- Complying with this policy and all legislative requirements to ensure they are not participating in corrupt or fraudulent behaviour.
- Reporting any suspicion of fraudulent or corrupt behaviour to the General Manager, the appropriate Manager or the Mayor if such behaviour concerns the General Manager, or by utilisation of Council's Internal Reporting Policy.
- Reporting any identified weaknesses in internal controls that could potentially facilitate a fraudulent or corrupt act.

Council officials should read Council's Internal Reporting Policy in relation to the protection afforded officials who report or disclose information for specified matters (such as fraud and corruption) internally or to external agencies.

**FRAUD AND CORRUPTION RISK ASSESSMENT PROCESS**

Council's main objective is to minimise the occurrence of fraud and corruption within the Council by:

- Identifying fraud and corruption risks.
- Determining strategies to control these risks.

The Divisional Manager Finance and Administration will instigate a review of Council's fraud and corruption risk and control strategies every four years. The Divisional Manager will also ensure that periodic and comprehensive risk assessments are conducted by relevant Managers of each area of operation pursuant to Council's Enterprise Risk Management Policy. Regular internal audits will be conducted to test the fraud and corruption control framework.

**EXAMPLES OF FRAUDULENT AND CORRUPT ACTIVITY**

**Theft**

- Stationery and office supplies.
- Construction and maintenance equipment and tools.
- Lap top computers.
- Mobile phones.
- Technical equipment (mobile GPS, cameras etc.).
- Cash.
- Intellectual property, including documents and data.

**Inappropriate or Misuse of Council Resources**

- Unauthorised use of corporate credit cards, petrol cards, Cabcharge or vouchers.
- Staff undertaking secondary paid work during work hours.
- Staff using telephones excessively for private purposes without appropriate reimbursement of costs.
- Internet service being used extensively for non-work purposes.
- "Left-over" materials being taken by Council officers.
- Plant being used by staff for private use without authorisation or payment.

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**Gifts, Benefits and Bribes**

Any gifts or benefits provided to, or any attempt to give a gift or benefit to a Council officer, is managed by Council's Gifts and Benefits Policy. The Policy prescribes when a gift may or not be accepted and relevant processes for dealing with such matters.

Bribes are given to influence the way a recipient carries out their official functions. For example, not respond to or report an illegal or unauthorised activity or procure goods and services from a specific person or company.

Higher risk areas for exposure to such behaviour includes:

- Officers who approve or can influence decisions.
- Officers who procure goods and services for Council.
- Regulatory and compliance staff.
- Staff who carry out work with the private sector.

**Zoning and Development**

- Coercion, intimidation and harassment of Council planning staff dealing with development applications (DAs).
- Inducement from developers to modify DA conditions imposed.

**Procurement, Tendering and Contract Management**

Activities associated with procurement, tendering and contract management have traditionally been susceptible to fraud and corruption risks. Examples of such risks include:

- Order splitting to avoid tendering provisions or quotes.
- Collusion with suppliers (dummy quotes).
- Fraudulent contract variations.
- False invoices.

**Human Resources**

- Creation of false employees on the payroll system.
- Job applicants falsifying career background details.
- Direct recruitment of friends and relatives breaching the legislative requirement of merit-based employment.
- Claiming unworked overtime on timesheets.

**Information Technology**

- Unauthorised electronic transfer of funds.
- Unauthorised alteration of input data.
- Alteration or misuse of software.
- Unauthorised sale or provision of information to 3<sup>rd</sup> parties.

**DISCIPLINE AND INVESTIGATION**

Warren Shire Council has zero tolerance for corrupt or fraudulent behaviour. Council staff found guilty of such matters will face disciplinary matters pursuant to the Code of Conduct and the Local Government (State) Award. Other (non-staff) Council officers will be disciplined pursuant to Council's Code of Conduct.

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Further, as stated above, all "possible" corruption matters, involving Council officers, have a mandatory statutory reporting requirement to ICAC. The ICAC or Council itself can also seek criminal prosecutions by reporting fraud and other corruption matters to the NSW Police Service.

The General Manager must make an initial determination as to whether the matter in question concerns or may concern corrupt conduct. This may entail his or her own analysis of the circumstances surrounding the matter or utilising another staff member or an investigator to carry out preliminary enquiries on which to base the determination.

After formal notification by the General Manager, the ICAC will normally determine if they will investigate the alleged corruption matter. Alternatively, the ICAC may instruct Council to carry out their own investigation and report the findings to the ICAC. In such circumstances Council should engage an experienced and suitably qualified investigator for the process.

#### FRAUD AND CORRUPTION PREVENTION TRAINING

Warren Shire Council acknowledges that a high level of awareness amongst all Council officers in relation to fraud and corruption issues is an essential element in identifying and combatting such behaviours. Awareness training will be implemented through the following programs:

- At induction for all new employees.
- At the induction program for all new councillors.
- Regular refreshers.
- Fraud and Corruption prevention information through meetings, memos and other internal publications.
- Follow up meetings with staff after internal and external audits where relevant.

#### FRAUD AND CORRUPTION MITIGATION PRACTICES

Warren Shire Council recognises that appropriate policies and procedures must be implemented in certain operational areas to regulate and enable the monitoring of particular activities. These areas within Council include:

##### Risk Management

- Risk Assessment pursuant to the Enterprise Risk Management Plan.

##### Finance

- Cash Handling Procedures
- Petty Cash Handling Procedures
- Corporate Credit Card Policy

##### Governance

- Procurement and Disposal Policy.
- Councillors' Expenses and Facilities Policy.
- Secondary Employment Policy.
- Use of Council Resources (Corporate Practice Guide).
- Internal Reporting Policy.

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**Ethics**

- Code of Conduct.
- Fraud and Corruption Prevention Policy.
- Statement of Business Ethics.

**Fraud Detection**

- Fraud detection mechanisms/controls to aid in the early detection of suspicious or fraudulent behaviours. Such mechanisms may include monitoring staff and transactions and internal audit activities.
- Stock take of equipment and resources provided for staff.

**DEFINITIONS**

**Fraud**

Can be defined as a deliberate and premeditated turn of events which involves the use of deception to gain advantage from a position of trust and authority. The type of events includes: acts of omission, theft, the making of false statements, evasion, manipulation of information and numerous other acts of deception (Audit Office of NSW).

**Corruption**

The *ICAC Act 1988* at sections 7,8 and 9 defines corruption as:

- Any conduct of any person (whether or not a public official) that adversely affects, or that could affect, either directly or indirectly, the honest or impartial exercise of official functions by any public official, any group or body of public officials or any public authority, or
- Any conduct of a public official that constitutes or involves the dishonest or partial exercise of any of his or her official functions, or
- Any conduct of a public official or former public official that constitutes or involves a breach of public trust, or
- Any conduct of a public official or former public official that involves the misuse of information or material that he or she has acquired in the course of his or her official functions, whether or not for his or her benefit or the benefit of any other person.

**Council official**

Council official includes Councillors, members of staff, volunteers and delegates of council.

**Related Legislation and Policies**

- Local Government Act 1993
- Independent Commission Against Corruption Act 1988
- Public Interest Disclosure Act 1994 NSW
- Enterprise Risk Management Policy

**Review**

Council reserves the right to vary, replace or terminate this policy at any time. This policy will be reviewed every 4 years or following an ordinary election of Council, or earlier if there are relevant statutory or State Government policy changes.



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Appendix 2: Internal Review Committee Constitution

**WARREN SHIRE COUNCIL**  
**INTERNAL REVIEW COMMITTEE CONSTITUTION**

**1. Objective**

The objective of the Internal Review Committee (Committee) is to provide independent assurance and assistance to the Warren Shire Council on fraud, corruption, risk management, control, governance, and external accountability responsibilities.

**2. Authority**

The Council authorises the Committee, within the scope of its role and responsibilities, to:

- Obtain any information it needs from any employee or external party (subject to their legal obligations to protect information).
- Discuss any matters with the external auditor or other external parties (subject to confidentiality considerations).
- Request the attendance of any employee or councillor at Committee meetings.
- Obtain external legal or other professional advice considered necessary to meet its responsibilities.

**3. Composition and Tenure**

**3.1 The Committee**

The Committee will consist of:

- The Mayor
- Two (2) Councillors and
- General Manager (non-Voting)

**3.2 Other Attendees**

Representatives of the external auditor and other officers may attend by invitation as requested by the Committee. Invitees do not have any voting rights.

**4. Role and Responsibilities**

The Committee has no executive powers, except those expressly provided by the Council. In carrying out its responsibilities, the Committee must always recognise that primary responsibility for management of Council rests with the Council and the General Manager as defined by the Local Government Act.

The responsibilities of the Committee may be revised or expanded by the Council from time to time.

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The Committee's responsibilities are:

**4.1 Risk Management**

- Review whether management has in place a current and comprehensive risk management framework, and associated procedures for effective identification and management of business and financial risks, including fraud.
- Review whether a sound and effective approach has been followed in developing strategic risk management plans for major projects or undertakings;
- Review the impact of the risk management framework on its control environment and insurance arrangements; and
- Review whether a sound and effective approach has been followed in establishing business continuity planning arrangements, including whether plans have been tested periodically.

**4.2 Control Framework**

- Review whether management has adequate internal controls in place, including over external parties such as contractors and advisors;
- Review whether management has in place relevant policies and procedures and these are periodically reviewed and updated;
- Progressively review whether appropriate processes are in place to assess whether policies and procedures are complied with;
- Review whether appropriate policies and procedures are in place for the management and exercise of delegations; and
- Review whether management has taken steps to embed a culture which is committed to ethical and lawful behaviour.

**4.3 External Accountability**

- Satisfy itself the annual financial reports comply with applicable Australian Accounting Standards and supported by appropriate management sign-off on the statements and the adequacy of internal controls.
- Review the external audit opinion, including whether appropriate action has been taken in response to audit recommendations and adjustments.
- Consider contentious financial reporting matters in conjunction with council's management and external auditors.
- Review the processes in place designed to ensure financial information included in the annual report is consistent with the signed financial statements.

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- Satisfy itself there are appropriate mechanisms in place to review and implement, where appropriate, relevant State Government reports and recommendations.
- Satisfy itself there is a performance management framework linked to organisational objectives and outcomes.

**4.4 Legislative Compliance**

- Determine whether management has appropriately considered legal and compliance risks as part of risk assessment and management arrangements.
- Review the effectiveness of the system for monitoring compliance with relevant laws, regulations and associated government policies.

**4.5 Internal Review**

- Act as a forum for communication between the Council, General Manager, senior management, and external audit.
- Review the Fraud and Corruption Plan, ensure the plan has considered the Risks, and approve the plan and Actions.
- Consider the adequacy of internal audit resources to carry out its responsibilities, including completion of the approved Fraud and Corruption Plan.
- Establish an Internal Audit program for review of procurement, application approvals, major projects and financial matters and recommend to Council the engagement of professional auditors to provide reports and advice to the committee as to improvements and actions.
- Review all audit reports and consider significant issues identified in audit reports and action taken on issues raised, including identification and dissemination of better practices.
- Monitor the implementation of internal audit recommendations by management.
- Periodically review the Internal Audit Charter to ensure appropriate organisational structures, authority, access and reporting arrangements are in place.
- Periodically review the performance of Internal Audit.

**4.6 External Audit**

- Act as a forum for communication between the Council, General Manager, senior management, and external audit.
- Provide input and feedback on the financial statement and performance audit coverage proposed by external audit, and provide feedback on the external audit services provided.
- Review all external plans and reports in respect of planned or completed external audits, and monitor the implementation of audit recommendations by management.
- Consider significant issues raised in relevant external audit reports and better practice guides, and ensure appropriate action is taken.

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**4.7 Responsibilities of Members**

Members of the Committee are expected to:

- Understand the relevant legislative and regulatory requirements appropriate to Warren Shire Council.
- Contribute the time needed to study and understand the papers provided.
- Apply good analytical skills, objectivity and good judgment.
- Express opinions frankly, ask questions that go to the fundamental core of issues, and pursue independent lines of enquiry.

**5. Reporting**

At the first Committee meeting after 30 June each year, the Committee will provide a performance report of:

- The performance of Internal Review Committee for the financial year as measured against agreed key performance indicators.
- The approved Internal Audit Plan of work for the previous financial year showing the status of each audit.

The Committee may, at any time, consider any other matter it deems of sufficient importance to do so. In addition, at any time an individual Committee member may request a meeting with the Chair of the Committee.

The committee will report after each meeting or at least annually to Council.

**6. Administrative arrangements**

**6.1 Meetings**

The Committee will meet at least two times per year, with one of these meetings to include review and endorsement of the annual audited financial reports and external audit opinion.

The need for any additional meetings will be decided by the Chair of the Committee, though other Committee members may make requests to the Chair for additional meetings.

A forward meeting plan, including meeting dates and agenda items, will be agreed by the Committee each year. The forward meeting plan will cover all Committee responsibilities as detailed in this Audit Committee Charter.

**6.2 Attendance at Meetings and Quorums**

A quorum will consist of a majority of Committee members, including at least one independent member. Meetings can be held in person, by telephone or by video conference.

The committee may request the Chief Finance Officer or any employees to participate for certain agenda items, as well as the external auditor.

The GM may attend each meeting but will permit the committee to meet separately with any person undertaking an internal audit and the external auditor in the absence of management at least twice a year.

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**6.3 Secretariat**

The General Managers Executive Assistant is to provide secretariat support to the Committee. The Secretariat will ensure the agenda for each meeting and supporting papers are circulated, at least one week before the meeting, and ensure minutes of the meetings are prepared and maintained. Minutes shall be approved by the Chair and circulated to each member within three weeks of the meeting being held.

Minutes of the Committee shall be forwarded to Council in the confidential (in camera) section of the Council business paper due to the possibility of future legal or other disciplinary actions occurring.

**6.4 Conflicts of Interest**

Committee members must declare any conflicts of interest at the start of each meeting or before discussion of a relevant agenda item or topic. Details of any conflicts of interest shall be appropriately minuted. Any member having a conflict of interest shall submit a written declaration for Councils records.

Where members or invitees at Committee meetings are deemed to have a real or perceived conflict of interest, it may be appropriate they be excused from Committee deliberations on the issue where the conflict of interest may exist. The final arbiter of such a decision is the Chair of the Committee.

**6.5 Induction**

New members will receive relevant information and briefings on their appointment to assist them to meet their Committee responsibilities.

**6.6 Assessment Arrangements**

The Chair of the Committee will initiate a review of the performance of the Committee at least once every two years. The review will be conducted on a self-assessment basis (unless otherwise determined by the Chair), with appropriate input from management and any other relevant stakeholders, as determined by the Chair.

**6.7 Review of Audit Committee Charter**

At least once every two years the Audit Committee will review this Audit Committee Charter.

The Audit Committee will approve any changes to this Audit Committee Charter.

|                     |                      |
|---------------------|----------------------|
| Approving Authority | Warren Shire Council |
| Contact             | General Manager      |
| Approval            |                      |
| Revision Date       | August 2019          |

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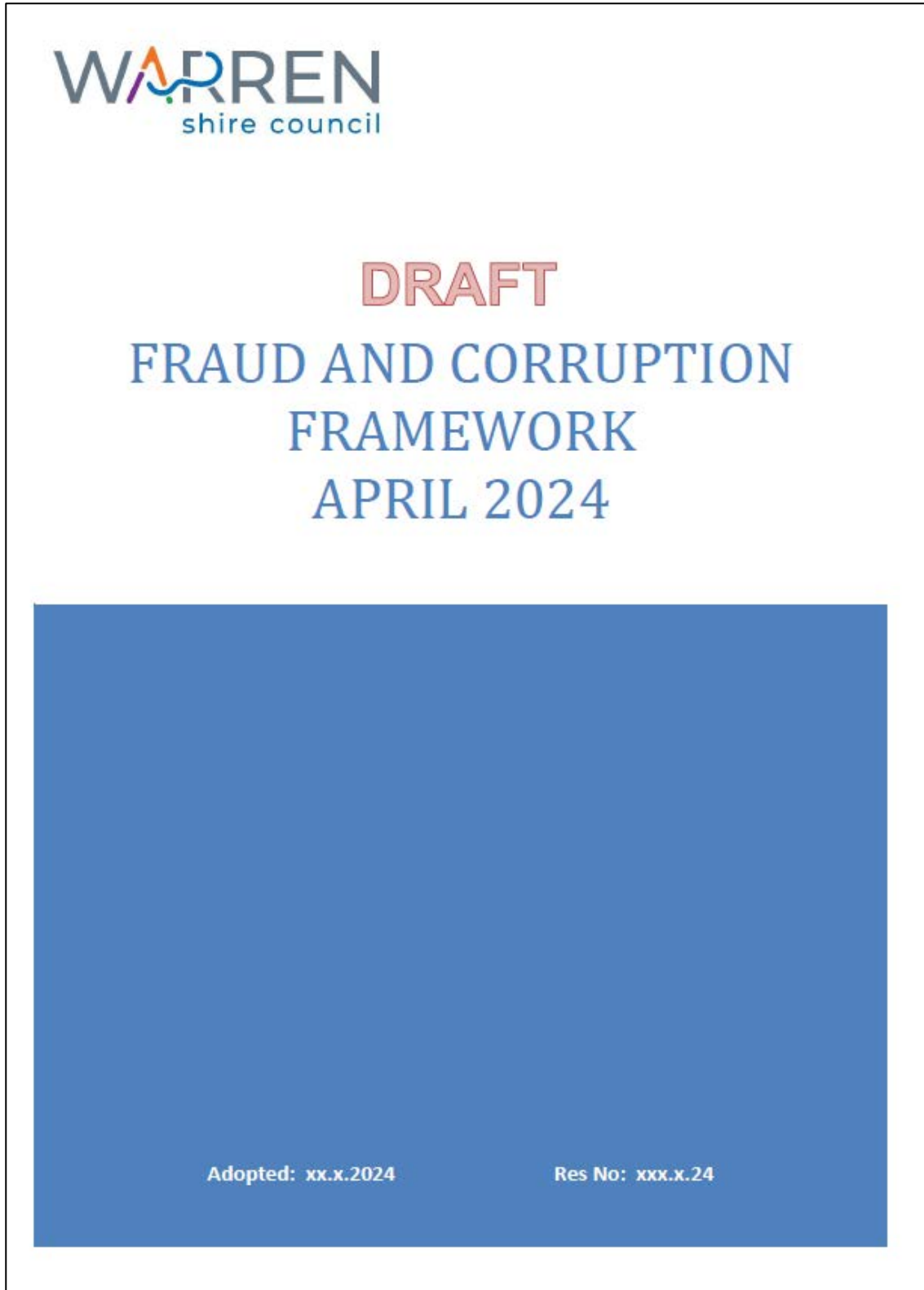
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Attachment 4 - Draft Fraud and Corruption Framework 2024;



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**References**

- *Standards Australia AS 8001-2008 - Fraud and Corruption Control.*
- Independent Commission Against Corruption
- *AS/NZS ISO 31000:2018 - Risk Management.*
- Audit Office of NSW - "*Fraud Control Improvement Kit February 2015): Managing Your Fraud Control Obligations*".
- ICAC - "*A Guide to Conducting Internal Investigations*" - Fact Finder 2009

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**Executive Summary**

Warren Shire Council has zero tolerance for corrupt conduct or fraudulent activities. Council is committed to preventing, deterring and detecting fraudulent and corrupt behaviour in the performance of Council activities.

This Fraud and Corruption Control Framework clearly documents Council's approach to controlling fraud and corruption at both strategic and operational levels and is to be read in conjunction with Council's Fraud and Corruption Policy, other relevant Councils policies and documents as well as related legislation and guidelines.

Council expects the co-operation of Councillors, staff members and key stakeholders, including customers and members of the community, in the successful implementation of this Control Plan in the pursuit of an environment that is free of fraudulent and corrupt behaviour at all levels of the organisation.

Gary Woodman  
General Manager



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FRAUD AND CORRUPTION POLICY AND FRAMEWORK

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**Definitions**

The following definitions are provided for key terms and phrases used in this Framework:

*Corruption* – is defined in Section 8 and 9 of the *Independent Commission Against Corruption Act 1988*. Corrupt Conduct is:

- Conduct of a person (whether or not a public official) that adversely affects, or could affect the honest and impartial exercise of public official functions; or
- Conduct of a public official that involves the dishonest or partial exercise of any of his or her public official functions; or
- A breach of public trust; or
- The misuse of information or material acquired in the course of a public official's functions.

Corrupt conduct can also include the conduct of any person (whether or not a public official) that adversely affects or could affect the exercise of official functions and involves conduct such as bribery, blackmail, fraud, forgery and various other crimes.

For conduct to be corrupt it must be covered by one of the conditions above and also any one of the following:

- A criminal offence; or
- A disciplinary offence; or
- Reasonable grounds for dismissal or dispensing or terminating the services of a public official.

*Fraud* – Fraud can be defined as a deliberate and premeditated turn of events which involves the use of deception to gain advantage from a position of trust and authority. The type of events include: acts of omission, theft, the making of false statements, evasion, manipulation of information and numerous other acts of deception (Audit Office of NSW).

*Maladministration* - Maladministration is defined as conduct that involves action or inaction of a serious nature that is contrary to law; or unreasonable, unjust, oppressive, improperly discriminatory; or based wholly or partly on improper motives (*Public Interest Disclosure Act 1994*). Refer Council Public Interest Disclosures Policy

*Serious or substantial waste* - refers to the uneconomical, inefficient or ineffective use of resources, authorised or unauthorised, which results in a loss/wastage of public funds/resources.

*Code of Conduct* - is Councils adopted code of conduct policy.

*Control (also 'internal control')* - is an existing process, policy, device, practice or other action that acts to minimise negative risks or enhance positive opportunities.

*Fraud & Corruption Risk Assessment* - is the application of risk management principles and techniques in the assessment of the risk of fraud and corruption within an entity.

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FRAUD AND CORRUPTION POLICY AND FRAMEWORK

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### Introduction

Council's adopted *Fraud & Corruption Control Policy* confirms Council's commitment to proactive and effective prevention, detection and investigation of fraud and corruption.

This Framework draws together all of the governance, policy and procedural elements to be applied throughout the organisation to manage the risk of fraud and corruption within and against Council, and details the responsibilities of Councillors, Senior Management and all staff members.

### Scope

This Framework applies to all Council staff members; Councillors; volunteers; Section 355 Committees; key stakeholders such as suppliers, contractors and consultants; customers; members of the community; and relevant third parties with regard to functions and operations undertaken for or on behalf of Council.

### Objectives

The objectives of this Framework are to:

- To support the overarching Governance Framework of Warren Shire Council;
- Eliminate or reduce opportunities for fraudulent or corrupt activities within or against Council;
- Promote an organisational environment that encourages professionalism, integrity and ethical conduct;
- Uphold a commitment to accountable and transparent decision making;
- Ensure that the identification and management of fraud and corruption risks are undertaken in line with the principles and procedures detailed in Council's Enterprise Risk Management Policy and Framework;
- Support the identification and implementation of appropriate internal controls, including procedures and policies, which support the prevention and detection of fraudulent or corrupt activities;
- Support the implementation and maintenance of effective reporting disclosure systems and investigation and disciplinary procedures for suspected or actual fraudulent or corrupt behaviour;
- Clearly define the responsibilities of Councillors, Senior Management, all staff and Committees of Council in relation to the prevention, detection, reporting and investigation of fraud and corruption; and
- Provide Councillors, Senior Management and all staff with the necessary tools and understanding to meet their responsibilities in this regard.

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### Relevant Guidelines

This Framework aligns with the following 'Best Practice' guidelines:

- *AS8000-2003 - Corporate Governance Standards Set, including AS 8001-2008 - Fraud and Corruption Control;*
- *AS/NZS ISO 31000:2018 - Risk Management; and*
- *NSW Audit Office Fraud Control Improvement Kit (2015). Specifically the ten (10) fraud control attributes developed by the Audit Office of NSW as below and detailed at [Annexure A](#):*
  1. Leadership;
  2. Ethical Framework;
  3. Responsibility Structures;
  4. Fraud Control Policy;
  5. Prevention Systems;
  6. Fraud Awareness;
  7. Third Party Management Systems;
  8. Notification Systems;
  9. Detection Systems; and
  10. Investigation Systems.

### Relevant Legislation

This Framework links with the following legislation:

- *Local Government Act 1993;*
- *Local Government (General) Regulation 2021;*
- *Independent Commission Against Corruption Act 1988; and*
- *Public Interest Disclosures Act 1994.*

### Relevant Council Policies and Documents

The following Council policies and procedures support this Framework:

- Fraud and Corruption Control Policy;
- Code of Conduct;
- Public Interest Disclosures Policy;
- Audit Office of NSW Fraud Control Improvement Kit;
- Risk Management Policy and Framework;
- Statement of Business Ethics and
- Grievance and Dispute Resolution Policy and Procedure.

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### **Responsibility Structure**

Council has clearly defined responsibilities for implementing and monitoring actions associated with fraud and corruption control across Council and in relation to this Framework. These responsibilities will be clearly communicated to Councillors, staff, management and relevant Council Committees and will be detailed in position descriptions and committee charters so that there is a common understanding of fraud and corruption control responsibilities and expectations.

#### **All Staff**

All Council staff are responsible to:

- Prevent and mitigate fraud, corruption, maladministration and waste within their area of operation and responsibility by, at a minimum, implementing and abiding by relevant internal controls and adhering to this Framework;
- Operate systems of internal control to prevent and detect fraud or corruption in accordance with instructions and established procedures;
- Report all instances of suspected or attempted fraudulent or corrupt conduct in accordance with Council's internal reporting procedures;
- Protect colleagues who have made reports of fraud or corruption from detrimental action;
- Have regard to fraud and corruption related risks when undertaking risk assessments in relation to Council's daily functions and operations, when specific projects or events are planned, or when changes to Council's systems, processes or functions occur;
- Provide co-operation and assistance to investigators or officials investigating suspected or reported fraud or corruption; and
- Undertake any responsibilities allocated to them in other relevant Council policies.

#### **Managers, Co-ordinators, and Team Leaders**

In addition to their responsibilities as Council staff members, Managers, Co-ordinators, and Team Leaders will:

- Assess the risks of fraud and corruption and the effectiveness of internal controls in place to mitigate such risks within their areas of operation and responsibility;
- Implement recommendations arising from fraud and corruption detection systems and internal audits;
- Monitor their workplaces to identify and address situations that are likely to raise ethical dilemmas or place staff in compromising situations (i.e. by establishing good procedural guidance for decision-making, including the exercise of discretion);
- Be available and support staff that require guidance on ethical dilemmas;
- Foster a work environment free of harassment, discrimination, victimisation, corruption, fraud, maladministration and waste;
- Ensure that staff are aware of the principles contained in Council's Code of Conduct and the established systems and procedures for addressing ethical problems;
- Support and protect staff who report, in good faith, instances of potentially unethical, fraudulent or corrupt practices;
- Ensure that staff are treated fairly, equitably and in accordance with legislation and policy (eg. access to training and other development possibilities); and
- Ensure that contractors, consultants, suppliers, and the like, engaged within their area of operation are aware of and have an understanding of Council's Fraud and Corruption Policy and Framework and related Council policies and procedures and that these documents are readily available to them.

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**Executive Services Section**

In addition to their responsibilities as Council staff members, Council's Executive Services Section is responsible to:

- Develop, implement and review fraud and corruption related Council policies, procedures and training proposals, including this Framework;
- Maintain a register of all reported actual or suspected fraudulent or corrupt activities and investigations and periodically report the register to Council's Audit, Risk and Improvement Committee (ARIC);
- Liaise with internal and external investigators;
- Ensure a high quality of fraud and corruption investigation procedures and reports; and
- Undertake internal reporting responsibilities in accordance with Council's *Internal Reporting (under Public Interest Disclosures Act 1994) Policy*. Council's Divisional Manager Finance and Administration is Council's nominated Disclosures Co-ordinator.

**Management Executive Team (Manex)**

In addition to their responsibilities as Council staff members (Manex) is responsible for actively fostering an ethical culture and supporting and promoting the objectives of this Framework throughout the organisation by:

- Setting an example of observable adherence to Council's Code of Conduct, Fraud and Corruption Framework and related Council policies and procedures;
- Supporting and promoting ongoing identification, analysis, mitigation and review of fraud and corruption risks and internal controls;
- Setting an example of internal control adherence in relation to identified fraud and corruption risks;
- Implementing recommendations arising from fraud and corruption detection systems and internal audits;
- Supporting fraud and corruption awareness programs for Councillors and staff;
- Supporting the continued operation of Council's Audit, Risk and Improvement Committee in the pursuit of successful enterprise risk management;
- Foster a work environment free of harassment, discrimination, victimisation, corruption, fraud, maladministration and waste; and
- Undertake internal reporting responsibilities in accordance with Council's *Internal Reporting (under Public Interest Disclosures Act 1994) Policy* and notify the Divisional Manager Finance and Administration of all fraud and corruption matters reported via the various channels.

**General Manager**

In addition to responsibilities as a Council staff member, the General Manager is responsible to:

- Implement Council's Fraud and Corruption Policy and Framework;
- Promote ethical behaviour and awareness that fraud and corruption will not be tolerated;
- Receive reports of suspected fraud and corrupt conduct, maladministration and serious and substantial wastage; and receive allegations of reprisal action, in accordance with Council's *Internal Reporting (under Public Interest Disclosures Act 1994) Policy*;
- Ensure that all reports of suspected fraud or corruption, maladministration, serious and substantial wastage are referred to the ICAC as required. *Refer section 11 ICAC Act*;
- Keep the Council informed in line with ICAC directions about confidentiality;
- Make decisions about reporting criminal matters to the New South Wales Police Force;
- Receive summary information about investigations undertaken into suspected fraud and corruption;

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- Ensure that Council's Fraud and Corruption Framework and related policies and procedures are adequate and that regular reviews and checks are undertaken to detect irregularities. The ARIC may assist in this process;
- Make decisions regarding restitution and criminal charges in all cases of fraud and corruption and
- Decide what disciplinary action is appropriate for employees involved in fraud and corruption.

#### The Council

The Council is responsible for:

- Implementing and promoting Council's overall approach to fraud and corruption control;
- Assessing and dealing with issues related to fraud and corruption control as the need arises; and
- Decide what disciplinary action is appropriate for Councillors involved in fraud and corruption in cases where it is not decided by the relevant Officer of the Office of Local Government.

#### Audit, Risk and Improvement Committee (ARIC)

Council's Audit, Risk and Improvement Committee is responsible to:

- Oversee Council's fraud and corruption control program;
- Approve reviews of the Fraud and Corruption Framework;
- Review and Council's Fraud and Corruption Risk Assessment and Register;
- Advise Councillors of all breaches of Fraud;
- Recommend Fraud and Corruption Control Health Checks and Improvement Workshops at least once every three years; and
- Other relevant responsibilities in accordance with the Audit, Risk and Improvement Committee Charter.

#### Internal Auditor

Council recognises that internal audit is an effective part of the overall control environment.

Whilst undertaking audits within Council the Internal Auditor is responsible to:

- Examine and evaluate the effectiveness of internal controls;
- Make recommendations to Council management to further enhance internal control design and effectiveness; and
- Make notifications of actual or suspected instances of fraud and corruption in accordance with relevant reporting procedures.

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**Principals of the Framework**

The principals of the framework are shown in the figure below and detailed in the following pages. They are:

1. Prevention
2. Detection
3. Response



Audit Office "Fraud Control and Improvement Kit" 2015

These principals are further guided by the ten attributes as detailed in the Audit Office of NSW Fraud Control Improvement Kit (February 2015), Managing your fraud control obligations.

1. Leadership
2. Ethical Framework
3. Responsibility Structures
4. Fraud Control Policy
5. Prevention Systems
6. Fraud Awareness
7. Third Party Management Systems
8. Notification Systems
9. Detection Systems
10. Investigation Systems

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## Prevention

This section of the document details the strategies that are in place to identify and prevent fraud and corruption risks within or against Council.

### Fraud and Corruption Control Policy

Council's adopted *Fraud and Corruption Policy* reinforces Council's commitment to fraud and corruption prevention by providing guidance regarding Council's actions and expectations in relation to fraud and corruption. The Policy also confirms that fraud and corruption prevention is the responsibility of Councillors, Senior Management and every Council employee.

### Responsibility Structure

The organisational responsibilities for implementing and managing Council's Fraud & Corruption Framework; and Councillor, staff and Senior Management responsibilities in relation to the prevention, detection and investigation of fraud and corruption; are clearly defined earlier in this document.

In addition, Council's *Public Interest Disclosures Policy* (under *Public Interest Disclosures Act 1994*) identifies the responsibilities of staff and Councillors, and provides procedures for reporting and handling of Public Interest Disclosures.

Fraud and corruption control responsibilities will be communicated to all levels of the organisation to ensure that there is a common understanding of fraud and corruption responsibilities and expectations. Further details of the responsibility structure is outlined in the Fraud and Corruption Policy.

### Fraud & Corruption Risk Assessment

Council will undertake high level Fraud and Corruption Risk Assessment workshops in relation to the various functions and operations of Council. These workshops will:

- Identify specific fraud and corruption risks;
- Rate the likelihood and consequence of each fraud and corruption risk with and without existing controls;
- Review the adequacy of existing internal controls; and
- Develop action plans to treat the identified risks.

Council's identified fraud and corruption risks, internal controls and proposed risk treatment action plans will be documented and recorded in Council's Corporate Risk Register.

Council will continue to assess fraud and corruption risks periodically as part of Council's enterprise wide approach to risk management. Furthermore, as resources and budget permits, Council will identify high fraud and corruption risk areas and activities and conduct a more detailed risk assessment involving key staff in each section.

A review of Council's Fraud & Corruption Risk Register will be undertaken on an annual basis to ensure that additional fraud and corruption risks are identified as they emerge and that Council's operations and functions, particularly those with a high predisposition to fraud and corruption, are subject to ongoing and effective internal controls.

Council recognises that internal audit complements internal assessment of fraud and corruption related risks and controls and therefore independent identification and assessment of Council's



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fraud and corruption risks will be arranged with Council's Internal Auditor and ARIC as warranted.

### **Employee and Councillor Awareness**

Council will make the following clear to staff, Councillors, volunteers and contractors:

- The ethical behaviours expected of them in the workplace; and
- That the organisation will not tolerate corruption, including fraudulent dealings, and that people are encouraged to provide information if they suspect corruption is occurring.

Council has the following processes in place to ensure awareness of Council's position in respect to fraud and corruption:

- Induction training that includes elements of fraud and corruption;
- Provision of Fraud and Corruption Control Training for Managers and Team Leaders;
- Provision of Code of Conduct training to ensure an understanding of the ethical behaviour expected in the workplace and the types of activities that may constitute fraudulent or corrupt behaviour and Council's response to this type of activity;
- Public Interest Disclosure Training for all staff; and
- Making Council's Fraud and Corruption Framework and related policies and procedures readily available.

### **Customer and Community Awareness**

Council will communicate the following to key stakeholders, including customers and members of the general and business community, to ensure confidence in the integrity of the organisation:

- That Council will not tolerate fraudulent and corruption behaviour and perpetrators will be prosecuted; and
- That key stakeholders are encouraged to provide information if they suspect fraud or corruption is occurring and that there are channels available for them to do so.

Council will communicate the above principles via the following:

- **Statement of Business Ethics**  
Council's Statement of Business Ethics outlines expected behaviour, key code of conduct principles, Council expectations, conflict of interest protocols, gifts and benefits protocols and how to report corruption, maladministration and wastage.

Council's Statement of Business Ethics is:

- Available on Council's website; and
- Incorporated into and referred to in tender invitations and/or contract documentation.

- **Policy Register**
  - Council's website includes a Policy Register of all key Council policies.

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## Detection

This section of the Framework deals with Council's approach to the early detection of fraudulent and corrupt behaviour within or against the organisation.

It is noted that Council's Fraud & Corruption Risk Assessment and Responsibility Structure detailed earlier in the document also support this part of Council's Framework.

### Detection Systems

Council recognises the importance of early warning systems to alert possible fraud and corruption and that the implementation and maintenance of a rigorous system of internal controls is the first line of defence against fraud and corruption within and against Council.

Council therefore requires all organisational activities to be designed with an awareness of the fraud and corruption risks that may arise and management controls to be put in place to reduce the risk to an acceptable level.

Council has identified a number of existing internal controls relevant to the fraud and corruption risks faced by Council. These controls include:

- Review by a senior officer;
- Segregation of duties;
- Authorisation / approval by a senior person;
- Supervisor checks;
- Visual inspections;
- Audit trails;
- Audits; and
- Reconciliations.

Council will review its internal controls in conjunction with its fraud and corruption risk assessment review on at least an annual basis in consultation with relevant Council staff to ensure that internal controls remain in place and effective and that additional internal controls are identified and recorded.

### Notification Systems (Reporting Suspected Fraud & Corruption)

Council recognises that ignoring fraud or corruption is tantamount to endorsement of the activity. As such Council will create and foster an organisational culture and environment:

- That supports reporting of suspect actions and behaviour.
- Where staff, volunteers and contractors feel comfortable reporting matters; and
- That promotes confidence in the fact that Council will address complaints genuinely and protect anyone who reports such an activity from reprisal.

The following policies, procedures, documents and systems establish and facilitate the notification of suspected or actual fraudulent and corrupt behaviour to Council.

#### Internal Reporting (under *Public Interest Disclosures Act 1994*) Policy

Council's adopted *Public Interest Disclosures Policy (under Public Interests Disclosures Act 1994)* complements normal communication channels between Council supervisors and staff members by providing the following:

- Appropriate avenues for reporting fraudulent and corrupt conduct internally and detailing options available for reports to be made to external authorities;
- An assurance that any person who makes disclosures receives protection from reprisals;

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and

- Confirming Council's commitment to appropriately investigating matters raised in public interest disclosures.

Council's Policy also details the responsibilities of Council's nominated Disclosure Co-ordinator, Disclosure Officers, General Manager and Mayor in relation to Council's Internal Notification and Reporting Systems.

**Statement of Business Ethics**

Council's Statement of Business Ethics is required to be written into the contracts of third parties dealing with Council, and those who may be seen by the public as representing Council, such as suppliers, consultants and contractors.

The statements makes third parties aware that they, and their employees, must adhere to Council's ethical standards; report any suspected or alleged fraud or corruption involving the Council to the General Manager; and that breaches of the Statement may result in penalties being imposed and possible cancellation of their contract.

**Code of Conduct**

Council's Code of Conduct establishes the standard of ethical behaviour expected of all Council staff and Councillors and therefore supports the objectives of this Framework.

Code of Conduct training is provided to Councillors and all staff upon induction and periodically throughout their term of employment to ensure awareness in this regard.

It is noted that in some cases a breach of Council's Code of Conduct may constitute fraudulent or corrupt behaviour. Such breaches will be investigated in accordance with relevant sections of this Framework and any relevant Human Resources policies and procedures. Where deemed necessary, Council will take the appropriate disciplinary action.

**Complaints Management**

Council's *Complaints Management Policy* sets out Council's approach and procedures for receiving and effectively and positively handling complaints from any person, group or organisation (or their representative) that uses Council's services or is impacted by Council's decisions, actions or lack of actions.

The Policy also details the avenues available for the lodgement of complaints to Council and reinforces that complainants will not be subject to disadvantage or victimisation.

**Grievance Handling Procedure**

Council's Grievance Procedure provides avenues for Council staff to report grievances and the manner in which such reports will be managed by Council.

The Procedure reinforces that Council will apply equity and confidentiality in dispute resolution processes and work towards expediting a return to productive and harmonious workplace relations for all involved.

**External Notification Systems**

Council recognises that it has a legal obligation to:

- Report fraudulent conduct to the police;
- Report suspected corruption to the Independent Commission against Corruption (ICAC); and
- Notify other external authorities as appropriate.

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The following policies and procedures detail Council's approach to notifying external authorities. Other external bodies may also be relevant in particular situations (eg. ATO) and will be notified where necessary.

**Internal Reporting (under *Public Interests Disclosures Act 1994*) Policy**

Council's adopted *Public Interest Disclosures Policy (under Public Interests Disclosures Act 1994)* details the procedures for external reporting to the Independent Commission Against Corruption (ICAC), NSW Ombudsman and Office of Local Government. It also defines the responsibilities of Council's nominated Disclosure Co-ordinator, Disclosure Officers, General Manager and Mayor in relation to external notification systems and associated procedures.

**Independent Commission Against Corruption (ICAC)**

Under section 11 of the *Independent Commission Against Corruption Act 1988*, the principal officer of a public authority has a duty to report to the Commission any matter that the officer suspects on reasonable grounds concerns, or may concern, corruption.

The *principal officer* is defined as the person who is the head of the authority, its most senior officer or the person normally entitled to preside at its meetings. The Council's *principal officer* is the General Manager.

When another person acts as the General Manager during periods of leave or other absence, the duty applies to that person who is acting.

The reference to *suspects on reasonable grounds*, according to ICAC means that there is a real possibility that corrupt conduct may be involved. Proof is not necessary.

The ICAC encourage organisations to contact the Commission to discuss particular matters if they are unsure about whether or not to report, and to seek clarification about other issues related to reporting.

Section 11 applies despite any duty of secrecy or other restriction on disclosure.

The requirement to report suspected corruption to ICAC does not affect the obligations to report or refer matters to other bodies, such as the Police, the Ombudsman, or to carry out disciplinary procedures as required.

The Independent Commission Against Corruption (ICAC) has stated that reporting criminal matters to the Commission should not delay the matter being reported to the Police.

ICAC has advised that the following items should be included in reports:

- details of the allegations;
- the name and position of any public official/s alleged to be involved;
- the name and role of any other people relevant to the matter;
- when the alleged conduct occurred;
- whether the alleged conduct appears to be a one-off event or part of a wider pattern or scheme;
- when the allegation was made or you became aware of the alleged conduct;
- what your organisation has done about the suspected conduct, including notification to any other agency;
- what further action is proposed;
- an indication of the estimated amount of money (if any) involved;
- any other indicators of seriousness; and

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- any other relevant information.

The Commission may use the matters reported to ICAC in the following ways:

- all information is assessed in terms of the contribution it may make to the work of the Commission;
- a small number of reports are selected for full investigation by ICAC;
- reports may form the basis of corruption prevention advice and project work; and
- reports may be referred to more appropriate investigative authorities.

**Police**

Where the General Manager reasonably believes that a Council employee, Councillor or related party has committed a criminal offence, the matter will be referred to the police.

According to Section 316 of the *Crimes Act 1900*, concealing a serious offence is a criminal offence:

*If a person has committed a serious offence and another person who knows or believes that the offence has been committed and that he or she has information which might be of material assistance in securing the apprehension of the offender or the prosecution or conviction of the offender for it fails without reasonable excuse to bring that information to the attention of a member of the Police Force or other appropriate authority, that other person is liable to imprisonment for 2 years.*

Where any other Council employee or Councillor suspects on reasonable grounds that a crime has been committed, this will be reported in accordance with Council's adopted *Public Interest Disclosures Policy (under Public Interests Disclosures Act 1994)*.

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## Response (Investigation)

Council will deal fairly with all parties in the course of investigating allegations of fraud or corruption, however if fraud or corruption is proven Council will apply the appropriate sanctions.

### Guiding Principles

The overall guiding principles of any investigation into alleged improper conduct will be independence, impartiality and objectivity; however it is noted that matters referred to the Independent Commission Against Corruption (ICAC) or NSW Police may lead to criminal proceedings.

Council's investigation standards are clearly documented in various Council policies and procedures, including Council's *Fraud & Corruption Control Policy*, *Code of Conduct*, *Public Interest Disclosures Policy (under Public Interests Disclosures Act 1994)* and *Workplace Investigations Policy and Procedure*.

### Investigation Systems

#### Internal Investigations Procedures

The investigation procedure undertaken by Council will ensure fairness and consistency in accordance with the rules of natural justice and with respect for the civil rights of staff members and citizens.

All Councillors, staff members and stakeholders are expected to fully co-operate in relation to such investigations.

When an allegation of fraud is made against an employee, the General Manager and / or Director(s), will discuss the matter with the person making the allegation. This person may be asked to make a written statement regarding the allegations.

The staff member alleged to have committed the fraud may be interviewed during this preliminary stage. Staff members can be accompanied during the interview by their manager or other nominated member of staff.

The applicable Divisional Manager or Manager will organise a preliminary assessment of the allegation and provide details to the General Manager on the findings. If the matter concerns the General Manager than it shall be reported to be public officer who will deal with the matter in accordance with the code of conduct complaints handling procedures.

If the allegation is serious enough and / or the evidence is compelling, then the matter may warrant a full investigation.

If a full investigation is to be followed, the General Manager/independent investigator will need to determine whether the matter is referred to an external agency such as the Police, ICAC or the Ombudsman. The General Manager/independent investigator may wish to refer it to the Code of Conduct Complaints Coordinator and have the matter referred to using the Code of Conduct Investigation procedures.

Where the matter concerns a Councillor the General Manager will refer the complaint to an independent investigator.

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**Responsibilities**

Internal investigations into potential fraud and corruption related activities will be undertaken by Council's suitably authorised and trained staff in accordance with Council's *Public Interest Disclosures Policy (under Public Interests Disclosures Act 1994)* and investigation procedures detailed in *AS8001- 2008 Fraud and Corruption Control* and ICAC's "*Guide to Conducting Internal Investigations*". This would normally be by Council's Divisional Managers, Managers or General Manager or if appropriate an independent investigator.

It is noted that when potential internal investigators have conflicts of interest, an external consultant will be engaged to assist with the conduct of the investigation. All persons engaged will be appropriately qualified by reason of formal qualifications and relevant experience.

**Record Keeping and Information Protection**

Council recognises that the manner in which evidence is collected and stored in relation to any fraud or corruption investigation will have a critical impact on its value as evidence in any later inquiries or court proceedings.

Council officers involved in internal investigations will keep records in accordance with Council's record keeping policies and procedures, the *State Records Act 1998 (NSW)* and the following procedure:

1. Investigation files and reports should be kept securely locked when not in use. They should not be left unattended on desks even for short periods;
2. Evidence collected will be stored and labelled systematically, and kept confidential. Additionally original documents will not be altered or annotated in any way;
3. Access to files and reports should only be given to people for official purposes and on a needs basis;
4. People to whom access is given must observe the same security procedures. This should be explained to them;
5. The name of the person suspected of the conduct should not be mentioned on the cover of any files;
6. The name of the person who reported the suspected conduct should not be mentioned on the cover of any file;
7. No information from the investigation report is to be attached to any employee's personnel file;
8. The Disclosure Co-ordinator is responsible for maintaining a record (Investigation Register) of any investigation conducted as a result of suspected instances of fraud and corrupt conduct being reported;
9. The Disclosure Co-ordinator is responsible for all investigation files dealing with suspected fraud, corruption, maladministration and wastage; and
10. All investigation files and related records will be retained and destroyed by Council in accordance with the *State Records Act 1998 (NSW)* and related Council record keeping policies and procedures.

**Investigation Register**

Council's Disclosure Co-ordinator (Director of Corporate and Community) will maintain a register of all investigations conducted as a result of suspected or actual instances of fraud and corruption being reported.

The Investigation Register will include the following information in relation to every reported fraud and corruption incident:

- Date and time of report;

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- Date and time that incident was detected;
- How the incident came to the attention of management (e.g. anonymous report, normal report, supplier report);
- The nature of the incident;
- Value of loss (if any) to the entity; and
- The action taken following discovery of the incident.

Each case will stay on the schedule and not be reported until all action is finalised. Once all action for a case is finalised, including all managerial action, it will be reported as finalised.

All investigation action, including any managerial disciplinary action, if applicable, is expected to be completed within 3 months of the allegation being received.

All preventative action, if any, required by management as recommended and agreed with the investigator, is to be implemented within 3 months of the investigation being completed.

The Disclosure Co-ordinator is responsible for analysing and undertaking trend analysis of information contained on the register/database, e.g. by location, by investigation type.

**Investigation Results**

Details of investigations will be communicated to the General Manager by the Disclosures Co-ordinator as per Council's *Public Interest Disclosures Policy (under Public Interests Disclosures Act 1994)* or by the Relevant Director. It is acknowledged that in many cases the General Manager may have been part of the investigation.

The General Manager will have access to:

- Council's Fraud and Corruption Risk Register; and
- Council's Management Investigation Report.

The General Manager shall also report to the Audit Risk and Improvement Committee all breaches of the Fraud and Corruption Policy in accordance with privacy and confidentiality requirements.

The General Manager will take relevant fraud and corruption information into account when reviewing Council's Fraud and Corruption Control Framework.



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**Conduct & Disciplinary Systems**

Fraud and corruption will not be tolerated by Council and perpetrators will face disciplinary action and will be prosecuted if necessary.

Where crimes have been committed Council will report the matters to the police and where appropriate criminal prosecution will be undertaken. Civil and administrative action may also be instituted to recover any losses to Council.

To support a sound conduct and disciplinary system, Council's related policies and procedures will ensure that staff members and Councillors understand that:

- Fraud is a crime and will not be tolerated;
- The rules and requirements, values and behaviour expected of them; and
- Those committing fraud or corruption will be prosecuted.

**Disciplinary Standards**

In all cases of fraud and corruption, consideration will be given to restitution and criminal charges. The General Manager is responsible for making the decision about these matters.

The General Manager will be responsible for deciding what disciplinary action is appropriate for staff members involved in fraud and corruption.

The Council and/or the relevant Officer of the Office of Local Government is responsible for deciding what disciplinary action is appropriate for Councillors involved in fraud and corruption.

Council's *Public Interest Disclose Policy (under Public Interests Disclosures Act 1994)* details Council's approach to the notification of instances of fraud and corruption to external authorities.

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FRAUD AND CORRUPTION POLICY AND FRAMEWORK

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## Implementation

The successful implementation and the achievement of Council's Fraud and Corruption Framework objectives relies heavily on the provision of effective staff and Councillor education and training.

Any person employed by Council and Councillors will be required to undertake training in relation to Council's Fraud and Corruption Framework, Code of Conduct; *Public Interest Disclosures Policy (under Public Interest Disclosures Act 1994)* and *Complaints Management Policy*. A copy of these documents will be provided to staff at that time.

Fraud and corruption investigation training will also be provided to relevant Council staff as appropriate.

Council undertakes regular culture surveys and it should be noted that if Council's observable ethical culture falls below acceptable levels, remedial action, including a broad-based communication and training program, will be undertaken as a matter of priority.

Council's Fraud and Corruption Framework, along with related Council policies and procedures, will be made readily available including at induction to Council staff, Councillors and stakeholders. Such availability will ensure a continued awareness and understanding of what constitutes fraudulent and corrupt conduct, reinforce Council's approach should such behaviour be suspected or substantiated, and ensure the continued promotion of ethical and professional conduct throughout the organisation.

Council will develop and maintain an Implementation Action Plan to ensure the appropriate implementation of this Framework.

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FRAUD AND CORRUPTION POLICY AND FRAMEWORK

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## Monitor and Review

Monitoring and reviewing Council's Fraud and Corruption Framework and associated procedures and systems will ensure effective ongoing implementation and improvement of all aspects of the Framework across the organisation, and in particular will:

- Identify specific work areas where implementation of some elements of the Framework may need modification or improvement;
- Identify elements of this Framework that may need attention across the entire organisation;
- Develop a targeted plan for improving implementation of this Framework;
- Monitor the ongoing extent of the implementation of the Framework across all areas within Council;
- Identify resourcing requirements and, in particular, ensuring that the anti-fraud and anti-corruption human resources are appropriately senior and skilled for the role and that they have a sufficient allocation of time to discharge their responsibilities; and
- Ensure Council meets its legislative obligations.

### Framework Review

Council's Fraud & Corruption Framework will be reviewed at minimum of once every two years by Council's Divisional Manager Finance and Administration to ensure it remains current and effective. During such reviews, regard will be given to the results of Council's fraud and corruption "Health Checks" and "Improvement Workshops".

### Health Checks and Improvement Workshops

Council will undertake fraud and corruption "Health Checks" at least once every 3 years in all work areas across the organisation, in line with the requirements of the Audit Office of NSW, Better Practice Guide "*Fraud Control Improvement Kit*". A Health Check may also be undertaken more regularly as deemed necessary by the Audit, Risk and Improvement Committee, particularly in areas that present a higher level of fraud and corruption related risks. Council may engage its Internal Auditor to conduct these health checks.

The results of the Health Check will be considered by Council's Audit, Risk and Improvement Committee and the results will assist in the identification of the areas of Council that require a fraud and corruption control "Improvement Workshop" to be undertaken. Such workshops will be undertaken in line with the requirements of the Audit Office of NSW, Better Practice Guide "*Fraud Control Improvement Kit*".

### Fraud and Corruption Risk Assessments

Council's enterprise wide fraud and corruption risk assessment will be reviewed on an annual basis by Council's Management Executive (Manex) Team and reported to Council's Audit, Risk and Improvement Committee, in order to ensure:

- Additional fraud and corruption related risks are identified and managed appropriately;
- Ensure the ongoing effectiveness of fraud and corruption prevention and detection related controls utilised throughout the organisation; and
- The ongoing awareness and commitment of Manex to fraud and corruption control throughout the organisation.

It is recommended that within their area of operations and responsibility, Managers continually monitor their fraud and corruption related risks to ensure that appropriate measures are being implemented to reduce those risks and that any amendments are reflected within Council's Corporate Risk Register.

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FRAUD AND CORRUPTION POLICY AND FRAMEWORK

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**Code of Conduct**

The Code is required to be revised on a regular basis to ensure that it remains relevant, comprehensive and continues to meet the standards of the Model Code of Conduct issued by the Office of Local Government.

DRAFT

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**Annexure A - Top 10 Attributes of Fraud**

The "critical factors for success" (top 10 attributes) suggested under the "Fraud Control Improvement Kit (February 2015): Managing Your Fraud Control Obligations" developed by the Audit Office of NSW, that underpin Council's Fraud and Corruption Control Framework are outlined below.

| EVENTION      |   |  |
|---------------|---|--|
| Attribute No. |   | <i>Aim of Attribute is to ensure that:</i>   |
| 1.            | <b>Leadership</b>   | <ul style="list-style-type: none"> <li>▪ Senior Management commitment is demonstrated through behaviour and allocation of resources.</li> </ul>  |
| 2.            | <b>Ethical Framework</b>  | <ul style="list-style-type: none"> <li>▪ A suite of Policies and procedures have been developed to establish a standard of behaviour; and</li> <li>▪ A strong governance framework has been developed and is entrenched in ethical and transparent decision making</li> </ul>  |
| 3.            | <b>Responsibility Structure</b>                                     | <ul style="list-style-type: none"> <li>▪ There is a clear accountability and responsibility for implementation and monitoring of the Fraud and Corruption Control Framework;</li> <li>▪ This accountability is well known by all staff at all levels and in all sections of the organisation; and</li> <li>▪ There is a common understanding that everyone in the organisation has a role to play in effective fraud management.</li> </ul>  |
| 4.            | <b>Fraud &amp; Corruption Policy</b>                                | <ul style="list-style-type: none"> <li>▪ Council has in place the necessary policies, systems and procedures to minimise fraud and corruption in all sections, and at all levels of an organisation; and</li> <li>▪ Policies, systems and procedures respond, and are proportionate, to the fraud risks faced by Council.</li> </ul>   |
| 5.            | <b>Prevention Systems</b>   | <ul style="list-style-type: none"> <li>▪ Proactive and integrated fraud risk assessments are conducted and reviewed in a timely manner;</li> <li>▪ High Risk areas are an organisational focus; and</li> <li>▪ There is a commitment to planning, accountability and reporting.</li> </ul>   |
| 6.            | <b>Fraud Awareness (Employees, Councillors &amp; the Community)</b> | <ul style="list-style-type: none"> <li>▪ All employees understand the ethical behaviours required of them in the workplace;</li> <li>▪ Training programs in ethical behaviours are in place across the organisation;</li> <li>▪ Training deals with the fraud risks faced by individuals in their workplaces;</li> <li>▪ Employees understand that fraud will not be tolerated and that perpetrators will face disciplinary action;</li> <li>▪ Employees have access to written information to assist them understand their ethical obligations; and</li> <li>▪ Approaches will be developed that are consistent with both perceived risks and the organisation's approach to human resources management.</li> </ul> |
| 7.            | <b>Third Party Management Systems</b>                               | <ul style="list-style-type: none"> <li>▪ Effective third party controls are in place particularly in the area of procurement and engaging contractors;</li> <li>▪ A secondary employment policy is implemented and communicated to third parties; and</li> <li>▪ A statement of business ethics sets expectations and mutual obligations</li> </ul>  |

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| <b>DETECTION</b>                |                       |   |
|---------------------------------|-----------------------|---|
| <i>Attribute No.</i>            |                       | <i>Aim of Attribute is to ensure that:</i>  |
| 8.                              | Notification Systems  | <ul style="list-style-type: none"> <li>▪ There is a culture within the organisation that supports and encourages reporting of actual and suspected fraud and corruption;</li> <li>▪ Reporting under section 11 of the ICAC Act is undertaken;</li> <li>▪ Policies, systems and procedures are in place to encourage the reporting of suspect behaviours;</li> <li>▪ Council has policies which clearly identify the nature of suspect actions which require reporting to the Police, the ICAC, the Ombudsman, etc;</li> <li>▪ External notification takes place as required in light of the above legal and policy requirements;</li> <li>▪ Fraud notification systems give the complainant the opportunity to report the suspect behaviours anonymously; and</li> <li>▪ "Whistle-blowers" are protected by the organisation Policies, systems and procedures and give equal opportunities to managers, staff, contractors, consultants, customers, suppliers etc. to notify the organisation of suspect behaviours.</li> </ul> |
| 9.                              | Detection Systems     | <ul style="list-style-type: none"> <li>▪ Available data is thoroughly monitored and reviewed to ensure that irregularities and warning signals are picked up at a very early stage and flagged for further detailed review;</li> <li>▪ Internal audits regularly examine samples of medium and high risk financial decision making across the organisation;</li> <li>▪ The ARIC make decisions and recommendations, based on risk, about key systems and decisions to be audited;</li> <li>▪ Outcomes of audits are reported to executive management on a quarterly basis;</li> <li>▪ A separate fraud risk assessment is undertaken by the organisation;</li> <li>▪ The fraud risk assessment quantifies the level, nature and form of the risks to be managed; and</li> <li>▪ Actions will be taken by the organisation to mitigate the risks identified in the fraud risk assessment.</li> </ul>   |
| <b>RESPONSE / INVESTIGATION</b> |                       |   |
| <i>Attribute No.</i>            |                       | <i>Aim of Attribute is to ensure that:</i>  |
| 10.                             | Investigation Systems | <ul style="list-style-type: none"> <li>▪ Procedures and other appropriate support (including training, where required) is provided to staff undertaking investigation activity on behalf of the organisation;</li> <li>▪ Investigation actions undertaken should be consistent with commonly used investigation standards;</li> <li>▪ Where appropriate expertise is not available internally, then external assistance should be sought;</li> <li>▪ All investigations consider what improvements can be made to policies, systems and procedures within the organisation; and</li> <li>▪ All investigation reports are referred to the ARIC or an equivalent, and the organisation's senior executive, for action.</li> </ul>   |

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**ITEM 2            WARREN SHIRE COUNCIL CUSTOMER SERVICE ETHOS POLICY    (S12-10, P13-1)**

**RECOMMENDATION** that:

1. The information be received and noted;
2. The Warren Shire Council Customer Service Ethos Policy be placed on public exhibition for minimum of 28 days; and
3. Subject to no adverse submissions being received, the Warren Shire Council Customer Service Ethos Policy, as amended be adopted.

**PURPOSE**

To establish Warren Shire Council's Customer Service Ethos Policy to ensure Council and its Staff are committed to providing quality customer service that is equitable to all customers.

**BACKGROUND**

For many years there has been a general consensus among Council's Senior Management Team and Elected Councillors that there is a need to improve customer service levels generally across the organisation and to make sure that a high quality of customer service was consistent across the organisation.

This Ethos is the start to ensure the consistent quality customer service across all Departments of Council.

This should also start to instil the customer service ethos and culture across the organisation – that is what we are here for.

**REPORT**

Attached is a copy of the final draft Customer Service Ethos Policy.

It has purposely been kept simple and has used input from Council's Internal Auditor, other similar Policies from Narromine Shire Council, Bellingen Shire Council, Uralla Shire Council and Moree Plains Shire Council.

Manex provided comment and further input at both its March and April 2024 Meetings.

The Ethos will also help to fulfil Council's vision which is:

*"To pursue excellence, to be responsive and pro-active in the promotion and improvement of our community through responsible and innovative leadership."*

**FINANCIAL AND RESOURCE IMPLICATIONS**

In the future it would be expected that relevant staff across the organisation will be provided training in customer service both in-house and professional training. This will be at some cost but, considered as part of the business of the organisation.

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**ITEM 2                      WARREN SHIRE COUNCIL CUSTOMER SERVICE ETHOS POLICY                      CONTINUED**

**LEGAL IMPLICATIONS**

Local Government Act 1993;  
Local Government (General) Regulation 2021;  
Privacy and Personal Information Protection Act 1998;  
Health Records and Information Privacy Act 2002;  
Government Information and Public Access Act 2009; and  
State Records Act 1998.

**RISK IMPLICATIONS**

There is a risk that it will take some time to ensure the Customer Service Ethos is instilled across the whole organisation.

**STAKEHOLDER CONSULTATION**

Currently comments were requested from Manex Members and Engineering Services Department Staff.

Part of any further consultation will involve other staff members as part of the minimum 28 days public notice.

Automatic adopting of the Policy would only be undertaken if no adverse submissions are received.

**OPTIONS**

Council does not necessarily have to adopt the Policy.

**CONCLUSION**

The object of the Customer Service Ethos Policy is to ensure that Council responds to all customers in a courteous, consistent, timely and fair manner and to ensure Council's resources are used efficiently and affectively when dealing with customers.

It would be expected that staff would use this Ethos to continue to enhance positively Council's reputation.

**LINK TO POLICY AND / OR COMMUNITY STRATEGIC PLAN**

- 5.2.6 Embrace a team centred culture of continual improvement to improve operational efficiency;
- 5.3.2 Create a productive and cooperative working environment for Councillors to support their governance responsibilities; and
- 5.3.3 Ensure a quality customer service focus by customer staff.

**SUPPORTING INFORMATION /ATTACHMENTS**

Customer Service Ethos Policy, April 2024.



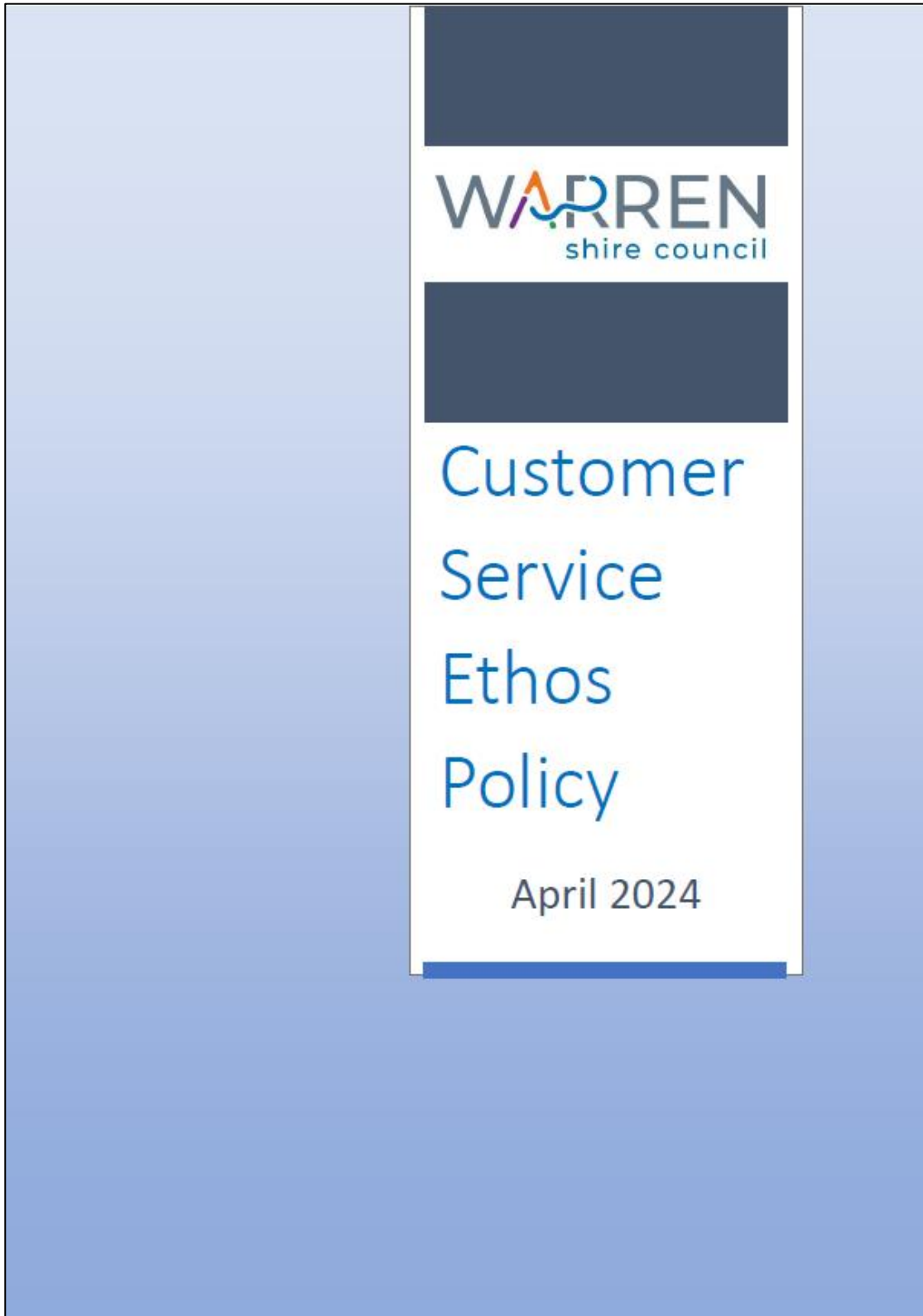
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ITEM 2

WARREN SHIRE COUNCIL CUSTOMER SERVICE ETHOS POLICY

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**GENERAL**

This Ethos sets out Warren Shire Council's commitment to providing excellent customer service, as we aim to deliver a welcoming, consistent, and positive customer experience on every interaction.

The objective of the Ethos is to ensure that Council responds to all customers in a courteous, consistent, timely and fair manner and to ensure that Council resources are used efficiently and affectively when dealing with customers.

This Ethos applies to all Councillors, Council Staff, Volunteers and Contractors of Warren Shire Council.

**WE AIM TO...**

- Treat all customers with courtesy, impartiality and respect;
- Assist customers with enquiries promptly and as completely as possible;
- Listen carefully to customers;
- Communicate clearly, accurately and in plain language;
- Record all customers enquiries and requests; and
- Ensure that all personal information is kept confidential.

**WHO ARE OUR CUSTOMERS?**

Any person or organisation that has any interaction with Warren Shire Council is a customer. This includes residents, ratepayers, business operators and contractors.

**OUR SERVICE COMMITMENT TO OUR CUSTOMERS...**

- Be friendly, efficient, and consistent on every interaction;
- Handle their enquiry with confidentiality and respect;
- Resolve their enquiry at first contact where we can, or explain how the matter will be progressed and who is responsible;
- Provide information which is timely, accurate and reliable;
- Provide them with a reference number and timeframe for their service requests; and
- Continually review and improve our services to our customers.

**WHAT DO WE ASK FROM OUR CUSTOMERS?**

- To provide information that is timely, accurate and complete to assist us in meeting our service levels and customer expectations;
- Be open and honest in their dealings with us;
- Treat our staff with courtesy and respect; and
- Provide us with honest and constructive feedback to help us improve service delivery.

**WHEN CUSTOMERS VISIT COUNCIL WE WILL...**

- Greet the customer at the contact counter within 3 minutes;
- Advise them if their appointment time is delayed and explain why; and
- Process their transactions efficiently with a courteous, helpful, and respectful approach.

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**WHEN CUSTOMERS PHONE US WE WILL...**

- Strive to answer their call within 60 seconds;
- Greet them courteously and introduce ourselves by name;
- Strive to have their enquiry resolved by the first person they speak to, otherwise direct them to the relevant person or department; and
- Return their phone calls and messages within 2 working days.

**WHEN CUSTOMERS WRITE TO US WE WILL...**

- Respond to them within 10 working days;
- For complex enquiries, requests will be acknowledged with the responsible officer noted, and regular updates will be provided along with a timeframe for completion; and
- Ensure we communicate with them using easy to understand language.

**COUNCIL'S OFFICIAL CONTACT DETAILS AND ADDRESSES ARE...**

- Email: [council@warren.nsw.gov.au](mailto:council@warren.nsw.gov.au)
- Website: [www.warren.nsw.gov.au](http://www.warren.nsw.gov.au)
- Post: General Manager, Warren Shire Council, PO Box 6, WARREN, NSW, 2824.
- Street Address: Administration Centre, 115 Dubbo Street, WARREN, NSW, 2824, open Monday to Friday 8.30 am to 4.30 pm.
- Telephone Number: 02 6847 6600.
- Out of Hours Emergency Telephone Number: 02 6847 6600.
- Councillors: Contact details for the Mayor and Councillors are located on Council's website [www.warren.nsw.gov.au](http://www.warren.nsw.gov.au)

**FOR OUT OF HOURS EMERGENCY CONTACT WE WILL...**

- Provide an appropriate after hours staff roster system for emergency telephone contact for Council services that provides an appropriate response to emergency situations.

**WITH WEBSITE AND SOCIAL MEDIA WE WILL...**

- Ensure regular monitoring of social media and respond if action is deemed necessary within 4 working days; and
- Continuously review our website to ensure it is easy to use, with clear navigation and content so that customers can quickly find the information they need.

**SHOULD YOU NOT BE SATISFIED WITH COUNCIL'S RESPONSE...**

- A review body such as the NSW Ombudsman may be able to assist you:  
Website: [www.ombo.nsw.gov.au](http://www.ombo.nsw.gov.au)  
Email: [info@ombo.nsw.gov.au](mailto:info@ombo.nsw.gov.au)  
Telephone Number: 02 9286 1000 or 1800 451 524.  
Facsimile: 02 9283 2911.

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**ITEM 1                      OUTSTANDING REPORTS CHECKLIST                      (C14-7.4)**

| <b>Date</b>            | <b>Resolution or Qwn</b> | <b>Outstanding Matter</b>  | <b>Officer Resp</b> | <b>Response/Action</b>   |
|------------------------|--------------------------|--|---------------------|--|
| <b>General Manager</b> |                          |  |                     |  |
| 25.2.21                | 41.2.21                  | Mobile and Internet Coverage in Nevertire  | GM                  | Bi-monthly advice requests to Telstra being undertaken. The 2024 Regional Telecommunications Review soon to be commenced.  |
| *22.7.21               | 153.7.21                 | Customer Service Policy  | GM                  | A Warren Shire Council Customer Service Ethos Policy has been presented to 24th April 2024 Council Meeting.  |
| 27.7.23                | 202.7.23                 | Warren Airport Projects  | DMFA/<br>GM/IPM     | A contract awarded on 31 July 2023. Site clearance, subgrade earthworks and gravel base completed and tested. Construction drawings issued to BRD. Foundation work by Contractor commenced in October 2023. Contractor resumed foundation works on 5th February 2024.<br><br>Programmed for completion May 2024.   |
| 23.6.22                | 158.6.22                 | Tender C13-73 – Design, Deliver and Construct a Prefabricated or Modular Sports Amenities Building for Carter Oval Youth Sports Precinct | GM/IPM              | Landmark commenced construction in February 2023.<br><br>Nonconformance on the foundation concreting and building realignment being remedied by the Contractor in accordance with the PEER Review report recommendations which have been agreed to by the contractor.<br><br>Landmark engaged new concreter and plumber to complete the works. Superstructure (post) misalignment (diagonal) corrected by Landmark.<br><br>Landmark conducted bearing capacity testing on foundations. Variation |

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CONTINUED

| Date                   | Resolution or Qwn | Outstanding Matter | Officer Resp | Response/Action  |
|------------------------|-------------------|--------------------|--------------|--|
| <b>General Manager</b> |                   |                    |              |  |
|                        |                   |                    |              | <p>submitted for additional plumbing works. Raft slab stiffening arranged to cater for tree effects.</p> <p>Landmark returned to site on 16th October 2023 to resume plumbing works.</p> <p>Below ground plumbing works completed on 11 November 2023. New sub structure (floor slab) contractor commenced works on site on the first week of December 2023.</p> <p>Raft slab concreting completed on 18 December 2023. Roof sheeting commenced on 8 January 2024. Defects associated with the finished floor level have been raised with Landmark to address. Landmark to nominate a solution for Council's consideration. Landmark Senior Management visited the site in January 2024 to work out a program of rectification works, which are scheduled to start on the week of 5th February 2024.</p> <p>Post cleaning conducted in March 2024 and tiling of the floor to follow before the wall paneling is to resume. Sample tiles presented for selection. Tiling works scheduled to happen in May 2024.</p> <p>New project completion forecasted at end of July 2024.</p> |

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| Date                   | Resolution or Qwn | Outstanding Matter  | Officer Resp | Response/Action  |
|------------------------|-------------------|---|--------------|--|
| <b>General Manager</b> |                   |   |              |  |
| 25.8.22                | 214.8.22          | Reactivation of Visitor Services Volunteers During Peak Periods | GM/<br>EDVM  | <p>Registration of Interest recruitment remains ongoing with a new recruitment drive being underway.</p> <p>Current volunteers will continue to provide for relief coverage where required such as when both the Economic Development and Visitation Manager and Tourism Information Officer are required to be outside the VIC.</p> <p>Recruitment for new suitably matched volunteers is continuing.</p> <p>Volunteer Onboarding Program Package is completed and new applications from Volunteers will be assessed against selection criteria. The VIC is progressing quickly towards Accreditation and it is important that all staff, including volunteers meet the requirements to maintain standards.</p> |
| 25.1.23                | 12.1.23           | Affordable Housing Opportunity – Housing Plus                   | GM/<br>DMES  | <p>Negotiations commenced to finalise the required agreement with Housing Plus for the eventual sale of all or most of the nine (9) vacant land lots in Gunningba Estate for a maximum five (5) year period. Waiting on a 'Remote' Round of funding from Housing Australia before considering going forward. Council blocks will be put on the market in the near future.</p>  |

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| Date                   | Resolution or Qwn | Outstanding Matter   | Officer Resp | Response/Action  |
|------------------------|-------------------|--|--------------|--|
| <b>General Manager</b> |                   |  |              |  |
|                        |                   |  |              | <p>Funding in 2023/2024 for investigations and design for the Stage 3 of Gunningba Estate including estimated costs and how Stage 3 would be funded, which will be reported to Council.</p> <p>Survey has been completed. Design is ongoing, including the industrial land near Stafford Street.</p> <p>Draft layout has been distributed for Council comment.</p>   |
| 25.1.23                | 13.1.23           | Warren and the Visitor Economy Community Consultation Report August 2022 - Executive Summary | GM/<br>EDVM  | <p>Council communicate to the community about the importance of visitors to the region – Action Plan being formulated.</p> <p>Council ensures that the reformed Destination Macquarie Marshes Taskforce has representation from every local government area that sees the Macquarie Marshes as an asset to their visitation, form a MOU with each Council to support the Economic Development of the region with this Taskforce having the potential to drive the regional destination promotion with consistent messaging, a reflection of values and increased engagement with the communities – in progress.</p> <p>Council collaborate on increasing the access to the Macquarie Marshes by commercial providers and</p> |

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| Date                   | Resolution or Qwn | Outstanding Matter                      | Officer Resp | Response/Action  |
|------------------------|-------------------|---|--------------|--|
| <b>General Manager</b> |                   |   |              |  |
|                        |                   |   |              | free-independent travellers (FITs) whilst working towards providing a diverse offering to the access and experience that the Macquarie Marshes can offer a variety of markets – Action Plan being formulated.  |
| 25.5.23                | 118.5.23          | Destination Macquarie Marshes Taskforce | GM/<br>EDVM  | <p>That within 12 months and, after the Taskforce’s short and long term goals and Destination Macquarie Marshes Action Plan, Macquarie Marshes Promotions Strategy and Stakeholder Engagement Strategy are formulated, other organisations/ community representatives be invited to be members of the Taskforce.</p> <p>Destination Macquarie Marshes Taskforce Workshops to progress the development of a Detailed Strategy and Action Plan are scheduled to commence on the 27th March, 2024. Workshops will be facilitated by the Economic Development and Visitation Manager.</p> <p>The first workshop has been undertaken with taskforce delegates progressing the first pillar strategy “Build the Brand”.</p> <p>The Economic Development and Visitation Manager will be progressing the Strategy and Action Plan further and future workshops will be scheduled to refine the</p> |



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| Date                    | Resolution or Qwn         | Outstanding Matter   | Officer Resp | Response/Action  |
|-------------------------|---------------------------|--|--------------|--|
| <b>General Manager</b>  |                           |  |              |  |
|                         |                           |  |              | actions within the document.   |
| 24.8.23<br><br>26.10.23 | 235.8.23<br><br>270.10.23 | Library Lobby Area Upgrade and Landscaping Works                         | GM/IPM       | Landscaping works expected to be completed by the end of March 2024.<br><br>Library lobby works was opened on the 6th February 2024. Official Launch of the 'Doorways to an Oper Air Library' scheduled for the 27th June 2024.  |
| 7.12.23                 | 293.12.23                 | Destination Macquarie Marshes Taskforce Meeting 7th June 2023            | GM/EDV<br>M  | 1. That grant funding opportunities to improve signage in the Macquarie Marshes be investigated - ongoing.<br><br>2. That neighbouring Councils to the Macquarie Marshes be requested to consider funding grant applications for appropriate signage to the Macquarie Marshes.   |
| 7.12.23                 | 294.12.23                 | Destination Macquarie Marshes Taskforce Meeting 2023 – 13 September 2023 | GM/<br>EDVM  | That workshops be scheduled with current members of the Destination Macquarie Marshes Taskforce to progress the development of the Draft Destination Macquarie Marshes Taskforce Action Plan 2023 together with determination of the high priority actions and short-term goals.<br><br>Goal is to have an updated Action Plan available for review and adoption prior to inviting new membership of the taskforce by the agreed 12 month period, i.e. May 2024.<br><br>Due to Taskforce Members unavailability, workshops |

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CONTINUED

| Date                   | Resolution or Qwn | Outstanding Matter   | Officer Resp | Response/Action  |
|------------------------|-------------------|--|--------------|--|
| <b>General Manager</b> |                   |  |              |  |
|                        |                   |  |              | <p>were postponed, with the first workshop currently being organised for the 27th March 2024. The number and frequency of the workshops will be determined at the first workshop.</p> <p>The first workshop has been held with taskforce delegates meeting on 27th March, 2024. Future workshops are to be scheduled.</p>  |
| 7.12.23                | 301.12.23         | Internal Auditor – Human Resources Review – June 2021  | GM           | The priorities as listed in the recommendation be actioned and progressed.   |
| 7.12.23                | 301.12.23         | Internal Auditor – Contract Management Processes Review – October, November, December 2021 And February 2022 | GM/IPM       | <p>The following priority and action be progressed:</p> <ul style="list-style-type: none"> <li>- Detailed Contracts Guideline which includes performance management processes.</li> </ul> <p>Contract Management Road Map being considered. Is in the desktop planning stage.</p>  |
| *7.12.23               | 301.12.23         | Internal Auditor – Council Enterprise - Wide Risk Management Review – June 2022                              | GM           | <p>The following priorities and actions be progressed:</p> <p>Internal Audit and Risk Management Committee Guidelines.</p> <p>A report has been presented to this meeting progressing Council’s obligations under the amended Local Government (General) Regulations 2022 and the Guidelines developed by the Office of Local Government.</p> <p>This report provides appropriate recommendations for:</p> |

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CONTINUED

| Date                   | Resolution or Qwn | Outstanding Matter                                  | Officer Resp | Response/Action   |
|------------------------|-------------------|---|--------------|---|
| <b>General Manager</b> |                   |   |              |   |
|                        |                   |   |              | <ul style="list-style-type: none"> <li>▪ The creation of the Warren Shire Council ARIC;</li> <li>▪ The eventual appointment of an Independent Chairperson and two (2) Independent Members of ARIC;</li> <li>▪ The appointment of a non-voting Councillor Member of ARIC;</li> <li>▪ Adoption of the ARIC Terms of Reference;</li> <li>▪ Adoption of the Internal Audit Charter; and</li> <li>▪ Appointment of the Internal Audit Co-ordinator and the responsibilities for the Risk Management Function.</li> </ul> |
| 7.12.23                | 316.12.23         | Regional Drought Resilience Plan Program            | GM/EDVM      | Documentation now being drafted by the Project Team and engaged Consultant. Further consultation sessions are upcoming and an online community survey, run over 3 days, closed on 11th April, 2024. Results are yet to be tabulated and distributed by the engaged Consultant.  |
| *22.2.24               | 38.2.24           | Review of Councillor Expenses and Facilities Policy | GM/EA        | The Policy was placed on public exhibition until 4.00 pm Thursday, 4th April 2024. No submissions were received and the Policy has been adopted.  |
| 22.2.24                | 56.2.24           | Relining of Warren War Memorial Swimming Pool       | IPM          | Council declines to accept any tenders received. Council continues to seek necessary funding from grant opportunities when available – in progress.   |

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| Date   | Resolution or Qwn | Outstanding Matter  | Officer Resp | Response/Action   |
|--|-------------------|---|--------------|---|
| <b>Divisional Manager Finance and Administration</b> |                   |   |              |   |
| 7.12.23  | 301.12.23         | Internal Auditor – Council Enterprise - Wide Risk Management Review – June 2022       | DMFA         | Review of the Risk Register to include Cyber Security – progressing.  |
| 7.12.23  | 301.12.23         | Internal Auditor – Media Communications Review – June 2023                            | DMFA         | The following priority and action be progressed:<br>- A new electronic document management system to be purchased and implemented.<br><br>A shortlist of providers has been made. A report will be presented when all information is at hand.<br>Progressing. |
| 7.12.23  | 301.12.23         | Internal Auditor – Fraud Control Review – June, July 2023                             | DMFA         | The following priorities and actions be progressed:<br>- *Review of Fraud Plan and Policy to align with the Audit Office Tool Kit (reported to April 2024 Council Meeting; and<br>- Fraud training to relevant staff.<br>Progressing.                         |
| 7.12.23  | 301.12.23         | Corporate Risk Register   | DMFA         | That the Corporate Risk Register be updated with ITC Governance Risks and Cyber Security – progressing.   |
| 7.12.23  | 337.12.23         | Warren Shire Council General Manager 2022-2023 Mid-Term and Annual Performance Review | DMFA         | Arrange for the General Manager’s Contract Employment Package to be increased as of 1st October 2023 by 3% - progressing.   |
| *28.3.24   | 68.3.24           | Investment Policy – Review March 2024   | DMFA         | Policy adopted and has been placed on Council’s website.  |

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CONTINUED

| Date   | Resolution or Qwn     | Outstanding Matter  | Officer Resp | Response/Action  |
|--|-----------------------|---|--------------|--|
| <b>Divisional Manager Engineering Services</b> |                       |   |              |  |
| 6.12.18  | 284.12.18             | Amendments to the Boundaries of Lot 79 & 80 DP 724585 Wambianna Street, Collie to provide for the existing Collie Hotel accommodation units | DMES         | Survey completed. This project is currently on hold until further discussions are held with the Hotel owners.  |
| 27.6.19<br>3.12.20                             | 129.6.19<br>256.12.20 | Warren Levee Rehabilitation (total project - \$7.1M)  | DMES         | <p>Application under the National Flood Mitigation Infrastructure 2021-2022 arranged and has been successful (\$5.325M).</p> <p>Resilience NSW has committed \$887,500 which is half of the required \$1.775M co-contribution.</p> <p>OLG has approved the \$887,500 grant.</p> <p>Tender for floodgates is on VendorPanel and closed on the 4th April 2024 and has been reported to Council's April 2024 Meeting.</p> <p>Final review of levee rehabilitation drawings is ongoing and followed by tender advertisement.</p> |
| 26.9.19  | 204.9.19              | Bundemar Street Warren Proposed Centre Median Alteration  | DMES         | Investigations are being undertaken to allow the submittal of plans, documents and detailed budget to Council for consideration and approval - ongoing.  |
| 24.9.20  | 214.9.20              | New Sewage Treatment Works  | TSM          | <p>Groundwater monitoring wells and flowmeter to be installed.</p> <p>Decommissioning Plan for STP &amp; SPS being developed however, recommencement of works during the later part of 2024 for evaporation</p>  |

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OUTSTANDING REPORTS CHECKLIST

CONTINUED

| Date   | Resolution or Qwn | Outstanding Matter   | Officer Resp                    | Response/Action  |
|--|-------------------|--|---------------------------------|--|
| <b>Divisional Manager Engineering Services</b> |                   |  |                                 |  |
|  |                   |  |                                 | lagoon construction will delay the decommissioning.  |
| 23.3.23  | 67.3.23           | Water and Sewerage Telemetry and Pump Funding Request  | DMES/<br>DMFA/<br>TSM           | Drafting of RFT documents in progress – ongoing.<br>Grant funding may be available in June/July 2024.  |
| 24.6.21  | 143.6.21          | Ewenmar Waste Management Facility  | DMES/<br>MHD/<br>TSM            | Budget amended by a further \$100,000 using the Domestic Waste Restricted funds, works in progress. Earthworks expected to commence early May 2024.<br><br>Currently arrangements in train for Council's Roads Crew to carry out civil works when they become available. |
| 22.7.21  | 148.7.21          | Warren CBD Upgrade Stage 2   | DMES                            | Seek necessary grants for this extensive 10 year project – ongoing. Commonwealth Government Grant Program Application submitted.   |
| *28.10.21                                      | 231.10.21         | Village Enhancement Plans Works – Extra Projects for Collie, Nevertire, Warren Finalisation (Murray-Darling Basin Economic Development – Improvement of Regional Structures Grant) | DMES/<br>GM/IPM/<br>TSM/<br>RIM | Works are complete. Final report and acquittal being finalised.  |
| 23.2.23  | 33.2.23           | Proposed Hale Street Crossing and Chester Street Crossing's No Stopping Zone   | DMES/<br>RIM                    | 1. The installation of a new children's (school) crossing on Hale Street, west of the Chester Street intersection be approved.<br><br>The required undertaking has been obtained from  |

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| Date   | Resolution or Qwn | Outstanding Matter  | Officer Resp          | Response/Action   |
|--|-------------------|---|-----------------------|---|
| <b>Divisional Manager Engineering Services</b> |                   |   |                       |   |
|  |                   |   |                       | the Principal of Warren Central School;<br>3. Funding be sought from Transport for New South Wales to implement the recommendations.<br><br>Design has been completed and sent to TfNSW.                            |
| 23.2.23  | 37.3.23           | Upgrade/Replacement of Play Equipment                     | DMES/<br>TSM          | Arrange a new Ext 1002 piper playground equipment setup and install the equipment in house.<br><br>Delivery of new equipment undertaken in September 2023. Equipment expected to be installed by end of April 2024. |
| 23.3.23  | 67.3.23           | Warren Shire Council Water Supply Bore Inspection Program | DMES/<br>DMFA/<br>TSM | All Bores have been inspected. Nevertire Bore to be cleaned in the colder months of 2024.   |
| 26.10.23                                       | 270.10.23         | Warren CBD Upgrade – Land Acquisition                     | DMES/<br>GM           | Further investigations be undertaken and reported on in regard the estimated cost of any proposed private land purchases, what could be developed and the estimated costs of the proposed use.                      |
| 26.10.23                                       | 272.10.23         | Replacement of P226 – Toyota Hilux Single Cab 2wd         | DMES                  | Arrange for the replacement of P226 – Toyota Hilux Single Cab 2WD using \$20,000 of available unrestricted cash and funds received from the expected insurance payout – replacement vehicle arrangements in train.  |
| 7.12.23  | 295.12.23         | Airport Operational Manual Update                         | TSM                   | That Council reallocates the current \$25,000 for RNAV contribution in the 2023/2024 Budget to undertake an appropriate Windshear Modelling   |

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| Date   | Resolution or Qwn | Outstanding Matter                             | Officer Resp | Response/Action  |
|--|-------------------|--|--------------|--|
| <b>Divisional Manager Engineering Services</b> |                   |  |              |  |
|  |                   |  |              | Assessment, Calculations and Report. Manual to be submitted to CASA for their review and approval. Synergetics Pty Ltd have been engaged to carryout the Windshear Modelling (\$27,000).   |
| 7.12.23  | 298.12.23         | Local Roads & Community Infrastructure Phase 3 | DMES/<br>RIM | That Council subject to approval of the Commonwealth Government (Department of Infrastructure, Transport, Regional Development, Communication and the Arts) reallocate \$176,815 from the SR58 Nevertire – Bogan Road Project to SR83 Rifle Range Road Intersections with the Ellengerah Road and Oxley Highway.<br><br>Variation has been approved by the Commonwealth Government (Department of Infrastructure, Transport, Regional Development, Communication and the Arts), work being programmed.<br>An application for extension of time has been submitted. Consultation with TfNSW is ongoing regarding the Rifle Range Road/Oxley Highway intersection. |
| 7.12.23  | 302.12.23         | River Water Tank for Carter Oval Irrigation    | DMES/<br>TSM | Irrigation storage tank at Bore Flat to improve irrigation of Carter Oval and minimise interference with the Warren River water supply was installed on the 2nd February 2024.   |



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| Date   | Resolution or Qwn | Outstanding Matter  | Officer Resp             | Response/Action  |
|--|-------------------|---|--------------------------|--|
| <b>Divisional Manager Engineering Services</b> |                   |   |                          |  |
| 7.12.23  | 302.12.23         | Collie Water Supply – Pumping Configuration   | DMES/<br>TSM             | <p>Arrange for modifications to the pumping configuration at the Collie Bore Site as reported.</p> <p>Equipment has arrived. Bore cleaning complete. Tank installed. New pumps installed, finalising control systems.</p>  |
| 7.12.23  | 302.12.23         | Additional Evaporation Lagoon – Warren STP  | DMES/<br>TSM             | <p>Arrange for the construction of a third evaporation lagoon at the new STP as reported. Public Works Authority (PWA) finalising RFT.</p> <p>Waiting on Geotech Report. Public Works are finalising design tender documents.</p> <p>Waiting on final design and tender documents from PWA.</p>  |
| 7.12.23  | 304.12.23         | Proposed National Polocrosse Titles Warren 2028 – Presentation By Phil Waterford And Simon Turnbull | DMES/<br>TSM/GM/<br>EDVM | <p>2. Council form a Sub-Committee consisting of the relevant Councillors from the Showground/ Racecourse Committee, Council Staff, General Manager, Town Services Manager, Divisional Manager Engineering Services, Economic Development and Visitation Manager, all Showground/ Racecourse User Groups, Regional Polocrosse Representatives (future), Phil Waterford, Simon Turnbull to determine whether the proposal could and should be progressed; and</p> <p>3. A Planning Group consisting of Phil</p> |

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|--|-------------------|---|--------------|---|
| <b>Divisional Manager Engineering Services</b> |                   |   |              |   |
|  |                   |   |              | Waterford, Simon Turnbull, Warren Polocrosse Club, Holly Turnbull and Katlyn Turnbull be formed for presentation to the Sub-Committee on the framework of the proposal and the required business case to undertake the proposed event.  |
| 7.12.23  | 315.12.23         | Local Roads and Community Infrastructure (LR & CI) Phase 4B Grant, Cap-070 Community Assets Program and Shire Roads Gravel Resheeting Program and LED Lights at Victoria Oval | RIM          | 1. The bitumen resealing of the Warren Walkways/Cycleways amounting to \$170,100 be undertaken using the CAP-070 Community Assets Program, programmed for April 2024, preparation work currently underway with most works nearing completion.   |
| *22.2.24                                       | 57.2.24           | RFT C13-83 Design & Construction of Marthaguy (Tenandra) and Newe Park (Merrigal) Bridges   | DMES         | 2. The Council accepts the tender from Murray Constructions Pty Limited and authorises the General Manager to enter the Contract C13-83 Design and Construction of Marthaguy (Tenandra) and Newe Park (Merrigal) Bridges, with Murray Constructions Pty Ltd for the contract sum of \$3,281,542.00 (Inc GST) subject to a positive financial assessment being conducted – contractor engaged. |
| 28.3.24  | 60.3.24           | Warren Shire Council IWCM Strategy Document   | DMES         | 2. Subject to funding approval by DCCEEW, Council proceed with the development of the Integrated Water Cycle  |

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| Date   | Resolution or Qwn | Outstanding Matter                        | Officer Resp | Response/Action  |
|--|-------------------|---|--------------|--|
| <b>Divisional Manager Engineering Services</b> |                   |   |              |  |
|  |                   |   |              | Management (IWCM) Strategic planning document as per the NSW Public Works proposal; and<br>3. Council approve up to \$60,000 be provided as its contribution to the development of the IWCM Strategic planning document.             |
| 28.3.24  | 60.3.24           | Warren Shire Council Drought Preparedness | TSM          | 2. Council monitor drought conditions, review water restrictions imposed by neighbouring Councils on the Macquarie River and impose water restrictions as required.  |
| 28.3.24  | 62.3.24           | Airport Operational Manual Update         | TSM          | 2. The Draft Aerodrome Manual be implemented on a trial basis with a review to be carried out at the next meeting of the Committee.  |
| *28.3.24                                       | 64.3.24           | Traffic Counter Summary and Trends        | RIM          | The traffic counter trends information now being provided to the Roads Committee only and the summary of traffic counter information for AADT and the percentage of heavy vehicles is being provided directly to Council each month. |

| Date   | Resolution or Qwn | Outstanding Matter        | Officer Resp | Response/Action                               |
|--|-------------------|---------------------------|--------------|---|
| <b>Manager Health and Development Services</b> |                   |                           |              |   |
| 27.2.20  | 36.2.20           | Draft Plans of Management | MHD          | 1. Categories assigned as detailed in report. |

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|--|-------------------|--|--------------|---|
| <b>Manager Health and Development Services</b> |                   |  |              |   |
|  |                   |  |              | <p>2. Crown Reserves classified identified as operational land.</p> <p>3. Draft Plans of Management nearing completion.</p> <p>The Victoria Oval and Oxley Park Plan complete.</p> <p>Draft Parks Plans of Management received. To be reviewed. Feedback provided.</p>  |
| 24.2.22  | 74.2.22           | Deacon Drive Homes Status and Progress Matters | MHD          | <p>Matter progressing in the District Court with required affidavits.</p> <p>Council authorises the Mayor, the General Manager, and the Manager Health and Development Services to formulate settlement terms if required.</p> <p>District Court Mediation date currently set as 30th April 2024. District Court dates set for 4 - 8 November 2024.</p> |
| 25.8.22  | 211.8.22          | CCTV Options at the Ewenmar Waste Facility     | MHD          | <p>Investigate better CCTV options and locations – in progress, but is subject to funds being available.</p>  |
| 22.6.23  | 181.6.23          | Warren War Memorial Swimming Pool              | MHD/<br>GM   | <p>Arrangements in train for the commencement of legal proceedings against Beaucorp Projects Pty Ltd for the unsatisfactory workmanship at the Warren War Memorial Swimming Pool;</p> <p>The Mayor, the General Manager, and the Manager Health and Development Services be authorised to</p>   |

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|--|-------------------|---|--------------|--|
| <b>Manager Health and Development Services</b> |                   |   |              |  |
|  |                   |   |              | formulate settlement terms if required.  |
| 7.12.23  | 301.12.23         | Internal Auditor – Waste Control Review – November 2022 – February 2023   | MHD          | The following priority and action be progressed:<br>- An overarching Operational Plan be developed to include risk assessments, procedures, control measures and future strategic actions – in progress.   |
| 7.12.23  | 328.12.23         | Warren LEP Health Check and Recommended Changes   | MHD          | Council progress the recommendations as reported – in progress.  |
| 22.2.24  | 33.2.24           | Recycling Options   | MHD          | Arrange for a community survey to determine the interest and resident's capacity to pay for a recycling service – surveys complete. Further investigations required.   |
| *22.2.24                                       | 53.2.24           | Development Application – Rural Fire Services Warren Central Brigade Facility and Subdivision, Lots 1 And 2 Dp853548 Wilson Street Warren | GM/<br>MHD   | Report this item to the April 2024 Ordinary Council Meeting following contact with the objectors for property valuation information – complete.<br>Contact to be made with the RFS to reconsider 36 Arthur Butler Drive for the development – complete.<br>More robust community consultation in what is proposed and in particular with Warren Central School – complete.<br>Report to 24th April 2024 Council Meeting. |

**RECOMMENDATION:**

That the information be received and noted and that the items marked with an asterisk (\*) be deleted.

**WARREN SHIRE COUNCIL**  
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**ITEM 2 COMMITTEE/DELEGATES MEETINGS**

**(C14-2)**

The following is a listing of various committee/delegates meetings of Council since the last meeting.

**MEETINGS HELD**

| <b>Date</b>   | <b>Committee / Meeting</b>  | <b>Location</b> |
|---------------|---|-----------------|
| 03.04.2024    | IPWEA NSW and ACT Board – Registration of Engineers Discussion                              | Online          |
| 04.04.2024    | LG Professionals – General Manager Discussion Circle  | Online          |
| 05.04.2024    | Central West Zone Public Libraries Meeting  | Cowra           |
| 08.04.2024    | Leadership Summit – Department of Education, Warren Central School and Warren Shire Council | Warren          |
| 08.04.2024    | Member for Parkes, Mark Coulton MP  | Warren          |
| 08.04.2024    | Ewenmar Waste Depot Committee Meeting   | Warren          |
| 09.04.2024    | IPWEA NSW & ACT Board Meeting   | Hunter Valley   |
| 10-11.04.2024 | IPWEA NSW & ACT State Conference  | Hunter Valley   |
| 11.04.2024    | Warren Interagency Support Services Meeting   | Warren          |
| 15.04.2024    | Regional Drought Resilience Plan Meeting  | Warren/Online   |
| 16.04.2024    | Outback Arts Annual General Meeting   | Coonamble       |
| 16.04.2024    | RiverSmart MOA Renewal Discussion   | Warren          |
| 16.04.2024    | Manex Committee Meeting   | Warren          |
| 17.04.2024    | Councillor Workshop Draft 2024/2025 Operational Plan & Estimates                            | Warren          |

**FUTURE MEETINGS NOT ON MEETING SCHEDULE**

| <b>DATE</b> | <b>COMMITTEE / MEETING</b>                    | <b>LOCATION</b>   |
|-------------|---|-------------------|
| 15.05.2024  | RFS North West Zone Liaison Committee Meeting | Online            |
| 03.06.2024  | 2024 Local Roads Congress – IPWEA (NSW)       | Sydney            |
| 25.04.2024  | Warren and Collie ANZAC Day Services          | Warren and Collie |

**RECOMMENDATION:**

That the information be received and noted.

# WARREN SHIRE COUNCIL

## Report of the General Manager to the Ordinary Meeting of Council to be held at Council Community Room, Warren on Wednesday, 24th April 2024

**ITEM 3            WORKS PROGRESS REPORTS – INFRASTRUCTURE PROJECTS**

**(C14-7.2, G4-1)**

**RECOMMENDATION:**

That the information be received and noted.

The following are details of Infrastructure Projects and Grant Applications that are being managed by the Executive Office including the Infrastructure Projects Manager for the period 9th March 2024 to 10th April 2024:

| Project   | Budget  | Expenditure/<br>Committed | Resp | Comment   |
|---|---------|---------------------------|------|---|
| <b>General</b>  |         |                           |      |   |
| Warren Airport Upgrade<br>(Drought Stimulus Package<br>Funding – RNIG2-004-NSW<br>DPIE)<br><br>Includes \$610,340 allocated<br>from restricted funds for<br>infrastructure improvement/<br>replacement.<br><br>JC 3400-2560-0 | 716,561 | 554,395                   | IPM  | Airport Operations Committee (AOC) in its meeting on 13/09/22 identified the need of extra drainage works on 03/21 runway, for consideration in the future funding. Scope revisiting is required and works to be scheduled for later 2024.<br><br>Terminal construction contract awarded to B & D Design & Construction P/L on 31st July 2023.<br><br>Terminal building floor plan being revised to ensure practical public access into toilet and kitchen area by other terminal users. Final set of “For Construction” drawings issued to the Contractor. Enlarging the windows on the runway side have been arranged.<br>- Site clearance and sub-grade earthworks started in September 2023;<br>- Foundation subbase work started in November 2023;<br>- Contractor BRD resumed foundation works on 5 February 2024.<br>- BRD flagged that the amount of changes in the building post tender close including with respect to the floor plan, window and door orientation changes and modifying the frames on site is not easily fixed according to Custom Steel. BRD will build the Terminal building with timber frames instead. It is considered that altering the frames could compromise the integrity of the bracing frames if not carried out properly. |

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**ITEM 3                      WORKS PROGRESS REPORTS – INFRASTRUCTURE PROJECTS**

**CONTINUED**

| Project | Budget | Expenditure/<br>Committed | Resp | Comment   |
|---------|--------|---------------------------|------|---|
|         |        |                           |      | <p>The alternative proposal is technically acceptable. BRD will commence the building frames provided at no cost to Council;</p> <ul style="list-style-type: none"> <li>- Piers are complete;</li> <li>- Slab poured on 5th March 2024;</li> <li>- Building Superstructure works commenced in March; and</li> <li>- Terminal works are scheduled to be completed by May 2024.</li> </ul> <p>Infrastructure Projects Manager presented a scope of works to the July 2023 Airport Operations Committee, detailing the proposed stormwater drainage improvement work on runway 03/21.</p> <p>Scope of works as follows:</p> <ul style="list-style-type: none"> <li>- Extension of existing stormwater open channel – Completed in September 2023.</li> <li>- Procurement of diesel pump to pump out excess runoff to Sandy Creek; and</li> <li>- Discharge line from pumping platform to Sandy Creek – these options have been deleted.</li> </ul> <p>Council at the July 2023 Meeting accepted the recommendations and additional funding required from the Infrastructure Reserve Fund.</p> <p>Options to gravitate excess runoff via the existing syphon pipe in the Nevertire Irrigation Scheme (NIS) channel was considered.</p> <p>Discussions with the Egelabra property manager, Councillor Greg Whiteley and the surveyor were held.</p> <p>Infrastructure Projects Manager presented a report to the November 2023 Airport Operations Committee. Report detailed the proposed scope of required works.</p> <ul style="list-style-type: none"> <li>- Excavating a channel along the Egelabra property approximately 500 metres;</li> <li>- Alignment of the channel is subject to concurrence of Egelabra;</li> </ul> |



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**ITEM 3                      WORKS PROGRESS REPORTS – INFRASTRUCTURE PROJECTS**

**CONTINUED**

| Project  | Budget  | Expenditure/<br>Committed | Resp                            | Comment  |
|--|---------|---------------------------|---------------------------------|--|
|  |         |                           |                                 | <ul style="list-style-type: none"> <li>- Providing piped overflow line from Airport land stormwater channel to proposed Egelabra channel such that the access along the boundary fence is not affected;</li> <li>- Checked the availability of contractor to use the scraper for the channel excavation and indicated available possibly towards the end of April 2024 subject to weather conditions; and</li> <li>- These works are scheduled to commence in May 2024 onwards depending on the availability of workers/contractors. Jim MacKay visited the site to provide a quote; Quotation pending.</li> </ul>   |
| <p>Village Enhancements for Warren, Nevertire and Collie (currently does not include \$395,800 budget provision for Warren Roundabout Reconstruction)</p> <p>(MDB Economic Development Program - Improvement of Regional Structures Grant)</p> <p>JC 2880-10-0</p> | 310,281 | 310,281                   | GM<br>IPM<br>DMES<br>TSM<br>RIM | <p>Works in Warren subject to funding by others of the Warren roundabout reconstruction – MDBEDP approved reallocation of the roundabout budget to Carter Oval concrete pathways.</p> <p>Contractor engaged to construct pathways and other miscellaneous concrete pavement works.</p> <p>Pathways are complete.</p> <p>Long jump pit works are progressing, completion and general tidy up by end of April 2024.</p> <p>Works Program for Project rescope and programmed by GM, DMES, IPM, TSM and RIM.</p> <p>Kerb, gutter and footpath works in Nevertire complete.</p> <p>Status and programming meeting undertaken and works program instigated to complete work.</p> <p>Some of the identified works are progressing and on track.</p> <p>MDBEDP funding body approved extension to all outstanding works, with all works to be completed by December 2023.</p> <p>Concrete pathways in Carter Oval as part of the MDBA Program fund are complete.</p> |

# WARREN SHIRE COUNCIL

## Report of the General Manager to the Ordinary Meeting of Council to be held in the Council Community Room, Warren on Wednesday, 24th April 2024

**ITEM 3                      WORKS PROGRESS REPORTS – INFRASTRUCTURE PROJECTS**

**CONTINUED**

| Project  | Budget  | Expenditure/<br>Committed | Resp | Comment   |
|--|---------|---------------------------|------|---|
| <p>Carter Oval and the Development of the Surrounds Carry Over</p> <p>(MDB Economic Development Program - Improvement of Regional Structures Grant)</p> <p>(Includes \$460,000 previously allocated from Council's Infrastructure Improvement Replacement Reserve)</p> <p>JC 104-108-0</p> | 233,052 | 163,972                   | IPM  | <p>Concrete (pathways, long jump pit, shot put and Discus, Junior cricket pitch and practice net base) works RFQ called on 6 September 2023. Contractor engaged for all concrete pathways and pavement works. Recent rain is delaying the project.</p> <p>Works on the long jump and junior cricket pitch are progressing; site tidy up to follow after all concrete works. Expected completion end of April 2024.</p> <p>Quotations for selected sand sourced from Dubbo Sand Supplies.</p> <p>Sprinkler irrigation system works and mowing of the Oval are ongoing.</p>   |
| <p>Change Rooms and Amenities Block at Carter Oval</p> <p>(Stronger Country Communities Round 4)</p> <p>JC 104-118-0</p>   | 301,830 | 281,090                   | IPM  | <p>Landmark resumed the works on site on 21 August 2023. The superstructure was disassembled, diagonal misalignment corrected and reorientated as part of correcting non-conformance.</p> <p>Plumbing works resumed on 1<sup>st</sup> November 2023. Council conducted a preliminary inspection on 10th November 2023. Contractor to complete the water line and electrical under slab installation in the coming weeks. Concreter is scheduled to start on the 4<sup>th</sup> December 2023.</p> <p>Floor slab reinforcement works commenced on 4th December 2023. Slab concreted on 18th December 2023. Roof sheet installation commenced on 8th January 2024.</p> <p>Landmark Senior Management visited the site in January 2024 to work out a program of rectification works, which are scheduled to start on the week of 5th February 2024.</p> <p>Plumbers on site from 5th February 2024 carrying out works – walls and ceiling.</p> |

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### ITEM 3 WORKS PROGRESS REPORTS – INFRASTRUCTURE PROJECTS

CONTINUED

| Project  | Budget | Expenditure/<br>Committed | Resp | Comment  |
|--|--------|---------------------------|------|--|
|  |        |                           |      | <ul style="list-style-type: none"> <li>- Contractor who did the concreting is planned to come to the site on the week of 12th February 2024 – Landmark to confirm, Landmark’s site Manager and concreting subcontractors visited the site twice during February 2024. But did not commence any rectification works other than attending to exposed bars on the concrete face.</li> <li>- Concerns were raised with Landmark’s General Manager on the proposed rectification works and also provided with questions received for tiling options, which is considered as best solution. Landmark confirmed that they are sourcing quotes for the tiling option. Landmark has engaged a local tiler to carry out the work. Landmark’s Project Manager and tiler visited the site on the 4th April 2024. Tile samples were presented to choose.</li> </ul> |
| Cricket Practice Nets<br>(Cricket Legacy Fund)<br><br>JC 104-117-0   | 15,000 | 15,000                    | IPM  | <p>Quotation for net being sought from Fencing Contractor.</p> <p>Base concrete pavement construction complete as part of concrete pathway construction at Carter Oval. Artificial turfing on pavement to follow on after concrete works are complete and practice net cage works are complete. Quotations are being sought currently for artificial turfing.</p> <p>Quotations received on 9th April 2024 for 30x7 (2 pitches) for the amount of \$45,000, being reviewed to align with budget.</p>   |
| *Warren Showground/<br>Racecourse Upgrade Project<br>(Regional Sports Infrastructure<br>Fund and \$10,182 from sale of<br>old McCalman Pavilion) |        |                           |      |  |
| <ul style="list-style-type: none"> <li>▪ Equestrian Arena</li> </ul> JC 108-120-0  | 47,260 | 47,260                    | IPM  | <p>Racecourse Showground Sub-Committee asked to have warm up area allocation/development near tanks and sand stockpile. It was agreed at the meeting that Club prepare the ground with specific woodchips and sand bedded warm up area. Council</p>  |

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**CONTINUED**

| Project  | Budget  | Expenditure/<br>Committed | Resp        | Comment  |
|--|---------|---------------------------|-------------|--|
|  |         |                           |             | <p>will make available necessary sand (150T available for use). Gator and rake operations training was completed on 11 August 2023 for user groups. A 2nd round of training is planned for 3rd September 2023 but was cancelled at Users groups request. Additional training to be arranged as requested by the User groups.</p> <p>One User groups member also inducted in December 2023.</p> <p>AquaWest came to site on 3rd April 2024 to complete irrigation sprinkler clean up.</p>                     |
| <ul style="list-style-type: none"> <li>▪ GBS Falkiner Lounge and Viewing Area</li> </ul> <p>JC 108-126-0</p>               | 28,486  | 28,486                    | IPM         | <p>Tactile indicators installation are yet to be completed, this work to be completed when disability ramp is built.</p> <p>Handrail installation completed.</p> <p>Disabled access from Lower Bar area being considered.</p> <p>A quote sourced from Library Lobby Works Contractor as part of Grant Application.</p> <p>Precinct Commercial asked to provide a firm quote for the ramp construction. Alternate quote being sourced from other contractors as well. Quotation closing on 12 April 2024.</p> |
| <ul style="list-style-type: none"> <li>• Replacement of the Showground Toilets</li> </ul> <p>JC 108-128-0</p>              | 149,553 | 149,553                   | IPM/<br>TSM | <p>Superstructure works started in mid-August 2023.</p> <p>Roof sheeting and external walling are complete.</p> <p>Internal fixtures are being installed.</p> <p>Works on the male toilet are now complete and likely to open in April 2024. The ladies section of the toilets opened in December 2023 just prior to the Twilight Races event.</p>   |
| <ul style="list-style-type: none"> <li>▪ Relocation of Cattle Yards (NSW Showgrounds Stimulus Program Phase 2B)</li> </ul> | 60,000  | Nil                       | IPM         | <p>Advice from P &amp;A (Justin Sanderson).</p> <p>Showground Racecourse Committee Members would like to see the yards refurbished and made suitable for both cattle and horses by making the relocated pens approximately 4mx4m in size. Need to investigate further and obtain advice. Stockpro to do a design and quote – organised by P&amp;A – completed.</p>   |

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**CONTINUED**

| Project  | Budget | Expenditure/<br>Committed | Resp        | Comment  |
|--|--------|---------------------------|-------------|--|
| JC 112-05-0  |        |                           |             | <p>(\$140k) Quote received (11/22) from Stockpro is over budget and other grant funds to be sourced. Additional funding is required to move forward.</p> <p>A revised quote has been received (9/10/23) from Stockpro. Revised quote received from Stockpro indicates that \$155k (inc GST) to be budgeted for. A second quote has been requested from the contractor who completed the Equestrian Arena safety rail.</p> <p>Future Crown Reserves Improvement Fund option or other grants to be explored when available.</p> <p>Quotation sourced for the Procurement of cattle pens (40+) with the grant funding being considered.</p> |
| <p>Warren Showground/<br/>Racecourse Upgrade Project<br/>(Showground Stimulus Funding<br/>Program Phase 2C) including:</p> <p>Update/Renovate Male &amp;<br/>Female Amenities in<br/>Cattleman’s &amp; Horse Sports<br/>Camping Area</p> <p>JC 120-5-0</p> | 81,980 | 51,112                    | IPM/<br>TSM | <p>Works program finalised following consultation with User Groups at the Showground/Racecourse Committee Meeting held on the 2nd August 2022 for Joint male and female toilet facility in one location.</p> <p>Superstructure works started in September and likely to open in March 2024.</p> <p>Roof sheeting and external walling are complete.</p> <p>Works on the male toilet are now complete. The ladies section of the toilets opened in December 2023 just prior to the Twilight Races event.</p> <p>Construction of concrete pathways in front of new amenities will commence late April - early May 2024.</p>                |

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### Report of the General Manager to the Ordinary Meeting of Council to be held in the Council Community Room, Warren on Wednesday, 24th April 2024

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**CONTINUED**

| Project  | Budget | Expenditure/<br>Committed | Resp        | Comment   |
|--|--------|---------------------------|-------------|---|
| <ul style="list-style-type: none"> <li>▪ Install New Septic Receiving Tank for Main Pavilion Toilets</li> </ul>          | 38,880 | 6,120                     | IPM/<br>TSM | <p>Balance of unspent funds to be used for sewer/toilet works. (Joint male &amp; female toilet facilities). Works on the male toilet are continuing.</p> <p>Scope of works being reassessed to complete the works within the budget.</p> <p>Balance of unspent funds to be used as part of alternative combined male and female toilet facilities in one location.</p>  |
| <ul style="list-style-type: none"> <li>▪ Re fence Showground Perimeter with Exclusion Fencing<br/>JC 120-35-0</li> </ul> | 57,788 | Nil                       | IPM         | <p>Scope/area determined by Showground/ Racecourse Committee on 7th October 2021 being revised. Length 4,100m and 3 double gates and 2 single gates. RFQ document being prepared to call for quotations.</p> <p>Exclusion fence like airport exclusion fence being considered but 2.1m high.</p> <p>Options and estimate prepared for 1.8m and 2.1m high fencing for Racing NSW considerations and funding supplement. (Other grant funds required).</p> <p>Details of proposed options being considered (2.1m high) sent to Warren Jockey Club for sourcing additional funding.</p> <p>Liaising with Matt Colwell/ Nicole McKay on possible funding support from Racing NSW. RFQ documents revised for seeking prices for 2.1m high chain wire and chain link fabric options.</p> <p>Quotation for exclusion fencing called in June 2023. Racing NSW is looking for firm quotes to ascertain the amount of financial support.</p> <p>Four (4) tenderers submitted and being analysed. Additional information sought from the preferred quoter with regards to their submission to RFQ compliance. The preferred quoter revised the price for the options. Prices changed the relativity of the quoters.</p> <p>Grant funding application Crown Reserve Improvement Fund (CRIF) submitted in November 2023.</p> |

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| Project | Budget | Expenditure/<br>Committed | Resp | Comment  |
|---------|--------|---------------------------|------|--|
|         |        |                           |      | <p>Lowest price received for the options are as follows:</p> <ol style="list-style-type: none"> <li>1. 2.1m chain wire - \$218,000; and</li> <li>2. 2.1m chain link fabric \$357, 000.</li> </ol> <p>Racing NSW will be supplied with the quotations and price revised as part of seeking funding their support.</p> <p>2.1m high chain link fabric is the preferred option and that meets Racing NSW requirements.</p> <p>Evaluations indicate that additional funding in the order of \$328k is needed to complete the work.</p> <p>Discussions with Racing NSW were held. It suggests that a formal ‘Application for Financial Assistance’ be submitted from the Club level as per Racing NSW letter dated 5 June 2023 for the boards consideration and approval. As 80:20 contribution ratio is the general norm applied based on the proportioned length of racing track area to be protected but subject to approval.</p> <p>Details of the quotes and tendering gap information was sent to the Warren Jockey Club for inclusion in the Funding Support Application to Racing NSW.</p> <p>Warren Jockey Club in it’s communication dated 19th January 2024, advised that no further progression on this matter as Racing NSW have advised that they can’t cover the amount (\$328,000) needed. Racing NSW would only look to contribute towards a fence that goes around the track.</p> <p>An analysis will be conducted for what Racing NSW would fund for both options.</p> <p>A further meeting is planned to discuss with the Warren Jockey Club and also with Racing NSW. A meeting is scheduled for 6th May 2024.</p> |

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**CONTINUED**

| Project  | Budget  | Expenditure/<br>Committed | Resp        | Comment  |
|--|---------|---------------------------|-------------|--|
| New Septic Centre Arena with Grease trap for Canteen<br><br>JC120-25-0   | 3,150   | Nil                       | IPM/<br>TSM | Works Complete, balance of unspent funds will be allocated to other works.   |
| Regional Racecourse Stimulus Funding Program 2022 – ‘Irrigation System’ Drought Proofing project and Public Area Fencing | 272,727 | Nil                       | IPM/<br>TSM | <p>Funding has been granted by the NSW Government towards drought proofing project and public area fencing.</p> <p>Rescoping in progress for an appropriate irrigation system and project may need further grants for the full scope of works.</p> <p>A concept and cost estimate report was received from the consultant in April 2023.</p> <p>Design consultant asked to break the estimate into two projects to maximise funding support by Racing NSW:</p> <ol style="list-style-type: none"> <li>1. Inner irrigation system and pumping upgrade (up to 80% funding by Racing NSW); and</li> <li>2. Construct outer irrigation system.</li> </ol> <p>Cost estimate indicates that substantial additional funding is needed to proceed with the project.</p> <p>Grant funding application Crown Reserve Improvement Fund (CRIF) submitted in November 2023.</p> |



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**CONTINUED**

| Project   | Budget    | Expenditure/<br>Committed | Resp | Comment  |
|---|-----------|---------------------------|------|--|
| <b>Water Supplies</b>   |           |                           |      |  |
| Groundwater Augmentation<br>(Critical Drought Initiative<br><br>Administered by – DPIE Safe<br>and Secure Program)<br><br>JC 191-39-0   | 245,616   | 218,993                   | TSM  | Works continuing.<br><br>8/10/2023:<br><br>Chlorination systems are fully operational at Bore Flat and Ellengerah Reservoir sites.<br><br>Some concrete works to be completed.   |
| <b>Sewerage Services</b>  |           |                           |      |  |
| Restart NSW Warren (STP)<br>Upgrade<br><br>JC 220-3-0   | 100,000   | Nil                       | TSM  | Rehabilitation program for Old Sewerage Treatment Plant and bore installation being formulated but will be delayed until evaporation pond construction is complete.  |
| Stronger Country Communities<br>Fund Round 5 (SCCFR5)<br>(\$856,903) – Upgrading of<br>Amenities, Change rooms,<br>Canteen and Club House<br>Facilities at the Warren<br>Memorial Pool, includes the<br>\$336,699.72 allocated from the<br>Infrastructure Reserves Fund<br><br>JC 3450-4300-0 | 1,193,603 | 1,131,627                 | IPM  | This project will replace the existing Male & Female with "All Access" modern facilities. Include Disabled and Ambulant toilets in the amenities.<br><br>Replace the existing entry, office and kiosk adding in a club house room with a modern compliant, fit for purpose fit out.<br><br>Construction work expected April-September 2024.<br><br>An open RFT was called on 5th December 2023 with the Tender closing 16th January 2024 and reported to the January 2024 Council Meeting.<br><br>Letter of Award to Precinct Commercial Pty Ltd was issued on 29th January 2024, Deed of Contract executed.<br><br>Final rescoped design specifications and works program has been concurred at the Sporting Facilities Committee meeting held 7th February 2024. |

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| Project   | Budget  | Expenditure/<br>Committed | Resp                     | Comment   |
|---|---------|---------------------------|--------------------------|---|
|   |         |                           |                          | <p>First site Meeting with the Contractor undertaken on 8th February 2024.</p> <p>Work on site commenced on 2nd April 2024.</p> <p>Demolition works are currently progressing. DA approval process completed and on schedule to complete as per the contract period.</p> <p>Asbestos removal works completed with the Clearance Certificate received.</p> <p>Earthworks for the club room and accessible changeroom scheduled to commence from 29th April 2024.</p>   |
| <p>NSW Severe Weather &amp; Flood Grant (\$1,000,000) for AGRN 1025<br/>(part of \$7,100,000 project reported elsewhere)</p> <p>Warren Town Levee Remediation</p> <p>JC 3300-4400-1</p> | 887,500 | 4,035                     | GM<br>IPM<br>DMES<br>TSM | <p>This project once implemented will ensure that the Warren town is prepared for major flooding and potentially immune from future natural disasters. This project will enable the resilience of the Warren Community as it equips the town with the mechanisms necessary to deal with future adverse environmental conditions.</p> <p><b>Funds have been paid however, works program has been approved by OLG in April 2024.</b></p> <p>Funding body requested five rounds of additional information; submission provided on 9th October 2023.</p> <p>Extension of time request sent to grant approval body to extend the works beyond June 2024.</p> <p>2022-23 Annual Report was submitted to the funding body and 2023-24 1<sup>st</sup> Quarterly report also submitted.</p> <p>Funding body was asked to confirm the Grant Approval or Deed to be signed.</p> <p>Additional information has been requested from OLG on the eligibility, co- contribution and project element alignment with the ARGN 1025 event. ARGN Program – confirmation letter has been received on 4th April 2024.</p> |

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| Project   | Budget  | Expenditure/<br>Committed | Resp                     | Comment  |
|---|---------|---------------------------|--------------------------|--|
| Macquarie Park Restoration<br><br>JC 3300-4430-0  | 112,500 | Nil                       | GM<br>IPM<br>DMES<br>TSM | This project once implemented will ensure that the Warren town is prepared for major flooding and potentially immune from future natural disasters. This project will enable the resilience of the Warren Community as it equips the town with the mechanisms necessary to deal with future adverse environmental conditions.<br><br><b>Funds have been paid, works program approved.</b><br><br>Funding body requested four rounds of additional information; submission provided by 18 August 2023.<br><br>Extension of time request sent to grant approval body to extend the works beyond June 2024.<br><br>2022-23 Annual Report was submitted to the funding body and 2023-24 1 <sup>st</sup> Quarterly report also submitted.<br><br>ARGN Program – confirmation letter has been received on 4th April 2024.<br><br>Tender for soft fall replacement works closed on the 4th April 2024 and reported to the April 2024 Council Meeting. |
| Office of Sport - Female Friendly Community Sport Facilities and Lighting Upgrades Grant Program Victoria Park Precinct New Female Amenities.<br><br>JC 3450-4310-0 | 500,000 | 21,560                    | IPM/<br>WSCC<br>M        | This project involves construction of new amenities building including two separate changerooms and public access toilets will be constructed to provide safe, equitable and accessible facilities for female participants within Victoria Park Precinct.<br><br>Planning and project initiations are progressing. <ul style="list-style-type: none"> <li>- Geotechnical investigations initiated; Site exploration completed in May 2023.</li> <li>- Awaiting Geotech report.</li> <li>- Final location determined.</li> </ul> Barnson has been engaged to develop a concept plan (2 options) for stakeholders review.  |

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| Project   | Budget  | Expenditure/<br>Committed | Resp        | Comment  |
|---|---------|---------------------------|-------------|--|
|   |         |                           |             | <p>First concept plan/design meeting with Barnson held in July 2023. Barnson presented a set of drawings plan, elevation and views.</p> <p>Comments on 1st draft issued.</p> <p>Final concept plan (1<sup>st</sup> issue) received in September 2023 and has been sent to stakeholders for review and comment.</p> <p>Comments received on the draft plan are being incorporated into the final concept plan, to be reissued to stakeholders for their comment.</p> <p>Sporting Facilities Committee considered the final plan at the 8 November 2023 meeting.</p> <p>Barnson was asked to complete the structural design to call a construct only tender with option for submitting alternative tender for superstructure. A tender is likely to be called by late-April 2024; once the design is fully complete in April 2024, expect construction completion in November/December 2024.</p> <p>Hydraulic and Electrical concept design inclusions in the RFT being looked at.</p> |
| <p>*Library Lobby Upgrade and Landscape Works \$315,723</p> <p>(State Library Grant)<br/>JC 3350-4310-0</p> <p>Including<br/>LRCI Round 4 \$4,519</p> <p>JC 3350.4.10</p> | 320,242 | 320,242                   | IPM/<br>Lib | <p>A contractor has been engaged for the external lobby upgrade works- as separable portion 1.</p> <p>Work onsite commenced on 9th October 2023.</p> <p>Work is expected to go on for 10 weeks.</p> <p>Landscaping works are being rescoped to fit within the remaining budget.</p> <p>Temporary Library located at the Old Visitor Information Centre, Burton Street, Warren.</p> <p>The rescoped landscaping and costing option will be considered at the next Town Improvements Committee meeting scheduled for 16th October 2023.</p> <p>Town Improvements Committee considered the recommendation to vary the Lobby construction to include the following Landscaping works:</p>  |

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| Project   | Budget | Expenditure/<br>Committed | Resp | Comment   |
|---|--------|---------------------------|------|---|
|   |        |                           |      | <ul style="list-style-type: none"> <li>- Fencing to space;</li> <li>- Driveway and pavement;</li> <li>- Concreting the Lobby, concourse and steps; and</li> <li>- Installation of water tanks and irrigation system to lawns and gardens.</li> </ul> <p>Lobby works completed.</p> <p>Landscaping now complete.</p>   |
| Local Roads and Community Infrastructure Grant Programs for Phase 4A and Phase 4B - Infrastructure Projects Management Office Projects: |        |                           |      |   |
| *Carter Oval EV Charging Station (up to 3) Contribution<br><br>JC 3350-18-0   | 45,000 | Nil                       | IPM  | Removed from the Program of Works. Funds used for CCTV Improvements.  |
| Equestrian Arena Operation Equipment<br>(Council 23/24 Budget Funding)<br><br>JC 6010-2-3   | 35,670 | 33,364                    | IPM  | <p>Gator, arena rake and edger procurement is completed. Operator training and induction to club users conducted on 11 August 2023. Cleaning and maintenance tools (wheel burrow, scoops, handheld rakes etc.) have been ordered.</p> <p>Second round of training scheduled for 3rd September 2023 but cancelled on User groups request. Additional training to be arranged if requested by User groups. One User group member inducted in December 2023.</p> <p>The balance of the funds to be spent on fully commissioning the storage container.</p> |

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| <b>Project</b>           | <b>Budget</b> | <b>Expenditure/<br/>Committed</b> | <b>Resp</b>       | <b>Comment</b>                  |
|--------------------------|---------------|-----------------------------------|-------------------|---------------------------------|
| Safety Management System | 75,825        | Nil                               | WHS-<br>RC<br>/GM | Works Program being formulated. |
| Asset Management & IPR   | 112,636       | Nil                               | GM/<br>DMES       | Works program being formulated. |

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| Project   | Budget  | Expend | Resp        | Comment  |
|---|---------|--------|-------------|--|
| <b>Grant Applications</b>   |         |        |             |  |
| Crown Reserves Improvement Fund Program 2023/24<br>Racecourse Irrigation Upgrade                    | 825,000 | N/A    | TSM/<br>IPM | An application was submitted on 17 November 2023. The upgrading will enhance operations sustainability by delivering water efficiency to optimize value, and enjoyment for the community. This upgrade will enhance Council's ability to work towards environmentally sustainable practices allowing watering of the racetrack and it will also eliminate manual handling issues for staff during watering activities.<br><b>Awaiting Notification</b>                     |
| Crown Reserves Improvement Fund Program 2023/24<br>Showground/Racecourse Disability Ramp            | 96,636  | N/A    | IPM         | An application was submitted on 17 November 2023. This project will enable the Council to provide a compliant accessible concourse within the Showground/ Racecourse complex. Disabled access to the GB Falkiner Lounge and Grandstand area is currently not available, these proposed improvements will enable the Council to address this lack of access for the Warren and visitor community.<br><b>Awaiting Notification</b>   |
| Crown Reserves Improvement Fund Program 2023/24<br>Racecourse Exclusion Fencing Improvements        | 361,364 | N/A    | IPM         | An application was submitted on 17 November 2023. The project for this Grant aims to improve the fencing that encloses the circumference of the Showground/Racecourse Complex encompassing Racecourse, Showground, Equestrian Arena, Pony Club, Country Horse Jump facilities etc. offering superior protection against potential kangaroo intrusion, thereby providing a safe workplace for riders on the racetrack and other facilities.<br><b>Awaiting Notification</b> |
| Transport for NSW (TfNSW)<br>The Open Streets Grant Program<br>- 2024 Warren Christmas Street Party | 60,000  | N/A    | GM/PAO      | An application was submitted on 26 February 2023. This grant is for a 2024 Warren Christmas Street Party, designed to spread holiday cheer with activities for the whole family, complete with a visit from Santa Claus, kid's rides and holiday market stalls showcasing unique gifts and crafts from local artisans, performances by local artists and ending the event with a fireworks display.<br><b>Successful Notification Received</b>                             |

# WARREN SHIRE COUNCIL

Report of the General Manager to the Ordinary Meeting of Council to be held in the  
Council Community Room, Warren on Wednesday, 24th April 2024

**ITEM 3                      WORKS PROGRESS REPORTS – INFRASTRUCTURE PROJECTS**

**CONTINUED**

| Project  | Budget | Expend | Resp   | Comment   |
|--|--------|--------|--------|---|
| <b>Grant Applications</b>  |        |        |        |   |
| Women NSW<br>The Investing in Women<br>Funding Program - Warren's<br>Women of the Future | 42,500 | N/A    | GM/PAO | An application was submitted 20 March 2024. This grant aims to create an inspirational one-day event that will bring together the young women of Warren. Featuring a keynote address by a prominent high achiever, on achieving goals, overcoming setbacks and adversity, and building resilience. Designed to celebrate diversity, motivate and drive our local youth community.<br><br><p style="text-align: right;"><b>Awaiting Notification</b></p> |

The items marked with an asterisk (\*) be deleted.

**ACRONYMS**

|  |                                       |  |
|--|---------------------------------------|--|
| GM - General Manager                               | TSM - Town Services Manager           | PO – Projects Officer                              |
| DMFA - Divisional Manager Finance & Administration | RIM - Roads Infrastructure Manager    | WSCCM – Warren Sporting & Cultural Centre Manager  |
| DMES - Divisional Manager Engineering Services     | IPM - Infrastructure Projects Manager | EDVM - Economic Development and Visitation Manager |
| MHD - Manager Health and Development Services      | PAO - Projects Administration Officer |  |



**WARREN SHIRE COUNCIL**  
Report of the General Manager  
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**ITEM 4**

**INTERNAL AUDIT AND RISK MANAGEMENT FRAMEWORK**

**(A1-3.1)**

**RECOMMENDATION** that:

1. The information be received and noted; and
2. The Warren Shire Council Internal Audit and Risk Management Committee be replaced by the Warren Shire Council Audit, Risk and Improvement Committee (ARIC) that consists of an Independent Chairperson, two (2) Independent Members and a Non-Voting Councillor Member;
3. The Deputy Mayor be appointed as the Non-Voting Councillor Member of the Warren Shire Council Audit, Risk and Improvement Committee (ARIC) to the end of term of both the current Council and the Council elected in September, 2024;
4. Council adopt the Warren Shire Council Audit, Risk and Improvement Committee (ARIC) Terms of Reference as amended and attached to this Report;
5. Council adopt the Internal Audit Charter for Warren Shire Council as amended and attached to this Report;
6. Council note that there will be further reporting on the appointment of an Independent Chairperson and the two (2) Independent Members of the Warren Shire Council Audit, Risk and Improvement Committee (ARIC);
7. Council note that the Risk Management Function will be managed by the Senior Management Team in conjunction with the Work Health and Safety/Risk Co-ordinator; and
8. Council note that the Divisional Manager Finance and Administration will be the appointed Internal Audit Co-ordinator.

**Purpose**

To advise Council of the implications of the recent Regulation amendments prescribing requirements for Audit, Risk and Improvement Committees, internal audit and risk management and to formulate an action plan for appropriate implementation of the Risk Management and Internal Audit for Local Government in NSW Guidelines.

**Background**

For many years, Warren Shire Council has had an Internal Audit and Risk Management Committee that has consisted of the following persons:

- Mayor;
- Deputy Mayor;
- General Manager or nominee; and
- Divisional Manager Finance & Administration (Chief Financial Officer) or nominee.

The Quorum of the Committee was two (2) and Minutes were reported to Council following each meeting.

The Mayor and Deputy Mayor only have a vote on all matters and the responsible officer was the General Manager or nominee.

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**ITEM 4                      INTERNAL AUDIT AND RISK MANAGEMENT FRAMEWORK                      CONTINUED**

**Attachment 1** is a copy of the Office of Local Government (OLG) Circular 23-15 Regulation amendments prescribing requirements for Audit, Risk and Improvement Committees and internal audit and risk management, that includes OLG Circular 23-15 Attachment – Membership of Audit, Risk and Improvement Committees (ARICs).

**Attachment 2** is a copy of the relevant Regulation amendments.

Under separate cover Councillors and Manex were provided a copy electronically on the 1st April 2024 of the updated version of the Guidelines that have been published on the OLG's website.

**Attachment 3** is a copy of the Risk Management and Internal Audit for Local Government in NSW Guidelines – Compliance Guide – February 2024 produced by Council's Internal Auditor to help Council action plan requirements to be ready for the future.

The Local Government (General) Regulation 2022 (the Regulations) has been amended to give statutory force to key elements of the OLG's Guidelines for Risk Management and Internal Audit for Local Government in NSW (the Guidelines).

The Amendment Regulation commences 1st July 2024 and the Guidelines have been updated to reflect the Regulation amendments as drafted.

**Report**

**Council Information and Action Plan Matters**

**Committee**

The ARIC must consist at minimum of a Chairperson and two (2) Independent Members appointed by Council who must be able to satisfy the independent and eligibility criteria prescribed by Regulation Clauses 216D, 216E and 217F. In this regard, investigations are underway to finalise the reporting most probably in May 2024 for the appointment of an Independent Chairperson and the two (2) Independent Members.

The set up of the ARIC is recommended.

The Independent Chairperson must be someone who understands the limitations of small rural Councils in regard to resources etc, for Internal Audit and Risk Functions.

Originally it was hoped that the two (2) Independent Members would be two (2) Senior Officers from another similar Council on a reciprocal basis however, this has not been possible. Accordingly arrangements are in train for the obtaining of a suitable Independent Chairperson and two (2) Independent Members with reporting expected in May 2024.

Practically it would be expected that most or all of the Quarterly Meetings of the ARIC's would be done virtually.

Council may appoint a Non-Voting Member of its ARIC such as a Councillor however, the Councillor can not be the Mayor. Accordingly it is suggested that the Deputy Mayor be appointed as the Non-Voting Councillor Member of our ARIC.

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**ITEM 4                      INTERNAL AUDIT AND RISK MANAGEMENT FRAMEWORK                      CONTINUED**

Council must adopt a Terms of Reference based on the Model Terms of Reference for the ARIC in accordance with Regulation Clause 216K. The OLG has produced the Model and Warren Shire Council's Terms of Reference is **Attachment 4** and is commended to be adopted by Council. It must be reviewed annually by Council.

A Strategic Work Plan must be developed every four (4) years and be operational by 1st July, 2024. Council's Contract Internal Auditor is working on finalising the Four (4) Year Strategic Work Plan for reporting to the ARIC before 1st July 2024 if possible.

The ARIC must develop Annual Work Plans in consultation with the Governing Body, General Manager, Audit Co-ordinator and Senior Managers that must be compliant with the Professional Practices Framework. Council's Contract Internal Auditor is working on finalising the Annual Work Plan for 2024/2025 for reporting to the ARIC before 1st July 2024 if possible.

Other matters such as Performance Measurement, Annual Assessment, Strategic Assessment, Review of Committee Performance and Annual Attestation are contained within **Attachment 3 – Compliance Guide – February 2024**.

**Risk Management**

Council in the near future will consider a renewed/amended Risk Management Plan and Risk Management Policy.

Council's Risk Management Function is managed by the Senior Management Team in conjunction with the Work Health and Safety/Risk Co-ordinator position.

Council's Internal Audit Function which is responsible for reviewing and providing advice to the ARIC and Council on the effectiveness of Council's Risk Management Framework will be undertaken by the Contract Internal Auditor with a slightly expanded role.

The ARIC is to support the Governing Body and General Manager to ensure that Council's Risk Management Framework is appropriate and operationally effective.

Reviewing and Reporting is detailed further in **Attachment 3 - Compliance Guide – February 2024**.

**Internal Audit**

The Internal Audit Charter needs to be adopted by Council. The Model Charter has been produced by the OLG and has been used to produce the Warren Shire Council Internal Audit Charter, which is **Attachment 5** and is commended to be adopted by Council.

The General Manager must appoint an employee as the Internal Audit Co-ordinator. Key responsibilities of this position will be as follows:

- Contract management;
- Managing the internal audit budget;
- Ensuring the external provider completes internal audits in line with the ARIC's Annual and four (4) year Strategic Work Plans;
- Forwarding Audit Reports by the external provider to the ARIC;

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**ITEM 4                      INTERNAL AUDIT AND RISK MANAGEMENT FRAMEWORK                      CONTINUED**

- Acting as a liaison between the external provider and the ARIC;
- Monitoring the Council's implementation of corrective actions that arise from the findings of audits and reporting progress to the ARIC; and
- Assisting the ARIC to ensure the Council's internal audit activities comply with the Local Government Regulation and these Guidelines.

The position must have appropriate delegated authority to undertake duties and tasks. In larger Councils this has been a new position or a function of the Internal Auditor (employee) however, in small Councils this is not possible. The Divisional Manager Finance & Administration will be the appointed Internal Audit Co-ordinator.

The Internal Audit Co-ordinator in conjunction with the Senior Management Team and General Manager in consultation with the ARIC, will develop and maintain policies and procedures such as following:

- The structure and resourcing of the internal audit function;
- How internal audits will be conducted, reporting, implemented and monitored;
- Audit methodology;
- Timeframes for reporting and the Council's response to recommendations;
- How any internal audit-related disputes are to be resolved;
- The internal audit function's access to Council staff, resources and information;
- How the performance of the internal audit function will be reviewed;
- Communication between the ARIC and internal audit function, and the internal audit function and the General Manager; and
- Information management including document retention, security and access to audit reports.

**FINANCIAL AND RESOURCE IMPLICATIONS**

It has been suggested that the extra cost of the new Internal Audit and Risk Management Framework for small Councils such as Warren Shire Council could be between \$60,000 up to \$150,000 per annum. This is only a guesstimate and would include the cost of an Independent Chairperson, the two (2) Independent Members and the extra duties required of the Contracted Internal Auditor.

An amount of \$60,000 has been placed in the Draft 2024/2025 Estimates.

Council's Contract Internal Auditor is rather critical that the Guidelines do not take into account the limitations of smaller rural Councils such as Warren Shire Council. Both the Mayor and General Manager have met with the Member for Barwon, Roy Butler MP asking him to make representations to the Minister for Local Government to have changes made to the Regulations and the Guidelines to take into account the practicalities of smaller rural Councils.

The costs of the Independent Chairperson and two (2) Independent Members are expected to be known by the May 2024 Council Meeting.

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**ITEM 4                      INTERNAL AUDIT AND RISK MANAGEMENT FRAMEWORK                      CONTINUED**

Also, the changes that the Mayor is no longer involved in the Internal Audit function until the ARIC Minutes are reported to Council, shows that both the OLG and perhaps the Minister are not understanding the relationships that are involved with small rural Councils.

**LEGAL IMPLICATIONS**

- Local Government Act, 1993;
- Local Government (General) Regulation, 2022;
- Local Government (General) Amendment (Audit, Risk and Improvement Committees) Regulation 2023; and
- Risk Management and Internal Audit for Local Government in NSW Guidelines, November 2023.

**Attestation**

- From 2024/2025, Councils and Joint Organisations must publish in their Annual Reports, an attestation signed by the General Manager or the Executive Officer in the case of a Joint Organisation, that specifies whether the Council or Joint Organisation has complied with the Regulation; and
- In preparing an attestation, the General Manager or Executive Officer must give the Chairperson of the ARIC an opportunity to comment on it. If the Chairperson of the ARIC is not satisfied with the attestation, they may prepare an alternative attestation and provide it to OLG.

**Exemption**

- A Council or Joint Organisation is not required to comply with a requirement under the Regulation where:
  - The Council or Joint Organisation cannot comply with the requirement because of temporary extenuating circumstances or resourcing constraints that will significantly impact the Council's or Joint Organisation's budget; **and**
  - The Council or Joint Organisation cannot enter into an agreement with another Council or Joint Organisation to share the performance of activities necessary to satisfy the requirement; **and**
  - Current or proposed alternative arrangements will achieve outcomes equivalent to the requirement under the Regulation; **and**
  - The Council or Joint Organisation notifies OLG of the failure to comply with the Regulation within 28 days; **and**
  - The Council or Joint Organisation publishes a statement in its Annual Report about the non-compliance that includes details of the above matters.
- Councils and Joint Organisations are no longer required to seek the prior approval of OLG to be exempt as previously foreshadowed in the draft Guidelines. They will automatically be exempt if they satisfy all of the above requirements.

It is believed that Warren Shire Council will not be able to provide evidence that it can not comply with the requirements under the Regulation i.e. not have an ARIC at all. The Exemptions most probably are set to enable a Council to transition to the requirements.

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**ITEM 4                      INTERNAL AUDIT AND RISK MANAGEMENT FRAMEWORK                      CONTINUED**

**RISK IMPLICATIONS**

There is a concern that Council will not be able to have appointed an appropriate ARIC Independent Chairperson and two (2) Independent Members and this concern will be hopefully negated by the May 2024 Council Meeting.

Costs will also be a risk and it is not known if sufficient funds will be able to be allocated for 2024/2025 to properly enable an Audit and Risk Management Function.

There is also the risk due to timing of not having everything in place by the 1st July 2024.

**STAKEHOLDER CONSULTATION**

Small rural Councils have never been listened to in regard to the relevant Regulations and Guidelines.

Both the Mayor and General Manager have made representations to the Member for Barwon to take the matter up with the Minister for Local Government.

Our neighbouring Councils such as Bogan Shire Council, Coonamble Shire Council and Gilgandra Shire Council have been consulted.

Council's Contract Internal Auditor, Mr Keith Coates has been consulted.

Council's Senior Management Team and Work Health and Safety/Risk Co-ordinator have been consulted.

**OPTIONS**

Council does not have the option of not following the Regulations and the Guidelines developed by the OLG.

**CONCLUSION**

Arrangements need to be put in place for the commencement of Warren Shire Council's ARIC by 1st July 2024.

This report provides appropriate recommendations for:

- The creation of the Warren Shire Council ARIC;
- The eventual appointment of an Independent Chairperson and two (2) Independent Members of ARIC;
- The appointment of a non-voting Councillor Member of ARIC;
- Adoption of the ARIC Terms of Reference;
- Adoption of the Internal Audit Charter; and
- Appointment of the Internal Audit Co-ordinator and the responsibilities for the Risk Management Function.

**LINK TO POLICY AND / OR COMMUNITY STRATEGIC PLAN**

- 5.22 Proactively manage known compliance risks;
- 5.2.4 Explore partnerships with others to share costs; and

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**ITEM 4                      INTERNAL AUDIT AND RISK MANAGEMENT FRAMEWORK                      CONTINUED**

5.3.2    Create a productive and cooperative working environment for Councillors to support their governance responsibilities.

**SUPPORTING INFORMATION /ATTACHMENTS**


- OLG Circular 23-15 Regulation Amendments Prescribing Requirements for Audit, Risk and Improvement Committees, Internal Audit and Risk Management (**Attachment 1**);
- Local Government (General) Amendment (Audit, Risk and Improvement Committees) Regulation 2023 (**Attachment 2**);
- Risk Management and Internal Audit for Local Government in NSW Guidelines November, 2023 (provided under separate cover electronically on 1st April 2024);
- Risk Management and Internal Audit for Local Government in NSW Guidelines – Compliance Guide – February 2024 – Keith Coates, Internal Auditor (**Attachment 3**);
- Warren Shire Council Audit, Risk and Improvement Committee Terms of Reference (**Attachment 4**); and
- Internal Audit Charter for Warren Shire Council (**Attachment 5**).

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ITEM 4                      INTERNAL AUDIT AND RISK MANAGEMENT FRAMEWORK                      CONTINUED

**Attachment 1 - OLG Circular 23-15 Regulation Amendments Prescribing Requirements for Audit, Risk and Improvement Committees, Internal Audit and Risk Management**

Strengthening local government



**Office of  
Local Government**

Circular to Councils

|                             |  |
|-----------------------------|--|
| <b>Circular Details</b>     | 23-15 / 4 December 2023 / A860774  |
| <b>Previous Circular</b>    | <i>22-41 Update on the Guidelines for Risk Management and Internal Audit for Local Government in NSW</i>                               |
| <b>Who should read this</b> | General Managers / Councillors / Council governance staff / Audit, risk and improvement committee members and internal audit personnel |
| <b>Contact</b>              | Council Governance Team / (02) 4428 4100 / <a href="mailto:olg@olg.nsw.gov.au">olg@olg.nsw.gov.au</a>                                  |
| <b>Action required</b>      | Council to Implement   |

**Regulation amendments prescribing requirements for audit risk and improvement committees, internal audit and risk management**

**What's new or changing**

- As foreshadowed in circular 22-41, the Local Government (General) Regulation 2022 (the Regulation) has been amended to give statutory force to key elements of the Office of Local Government's (OLG) Guidelines for Risk Management and Internal Audit for Local Government in NSW (the Guidelines).
- The Amendment Regulation, which is attached to this circular, commences on 1 July 2024 to give councils and joint organisations time to implement the new requirements.
- The Guidelines have been updated to reflect the Regulation amendments as drafted.

**What this will mean for your council**

- The requirements prescribed under the Regulation are largely the same as those set out in the draft Guidelines issued in December last year.
- Some minor modifications have been made for legal reasons, but these largely give effect to the same outcomes set out in the draft Guidelines issued in December last year.
- An overview of the amendments and any modifications are set out in the attachment to this circular.

**Key points**

- The amendments do not take effect until 1 July 2024 to allow councils and joint organisations time to implement them.
- Councils and joint organisations will be required to report on their compliance with the Regulation in their annual reports from 2024/25.
- Councils and joint organisations are exempt from compliance with the Regulation in certain circumstances subject to their reporting their non-compliance, the reasons for their non-compliance and the alternative steps taken to achieve the same outcomes prescribed by the Regulation to OLG and in their annual reports.

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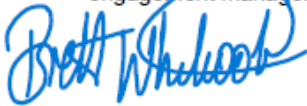
ITEM 4

INTERNAL AUDIT AND RISK MANAGEMENT FRAMEWORK

CONTINUED

**Where to go for further information**

- The Amendment Regulation is attached to this circular.
- An overview of the Amendment Regulation is set out in the attachment to this circular.
- An updated version of the Guidelines has been published on OLG's website [here](#).
- The model terms of reference for audit risk and improvement committees, an example risk management policy and the model internal audit charter are available in Word format for use by councils and joint organisations on OLG's website [here](#).
- Templates for the attestation and non-compliance statements required to be published in councils' and joint organisations' annual reports from 2024/25 is available in Word format for use by councils and joint organisations on OLG's website [here](#).
- For further information please contact the Council Governance Team on 02 4428 4100 or by email at [olg@olg.nsw.gov.au](mailto:olg@olg.nsw.gov.au).
- If councils or joint organisations require assistance in establishing an ARIC or shared arrangements for an ARIC, they should contact their council engagement manager at OLG.



1 December 2023

Brett Whitworth  
Deputy Secretary, Local Government

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ITEM 4

INTERNAL AUDIT AND RISK MANAGEMENT FRAMEWORK

CONTINUED

**ATTACHMENT**

**Membership of audit risk and improvement committees (ARICs)**

- The Amendment Regulation prescribes the membership of councils' and joint organisations' ARICs.
- As foreshadowed in circular 22-21 and the draft Guidelines for Risk Management and Internal Audit for Local Government in NSW (the Guidelines), ARICs must comprise of an independent chairperson and at least two independent members.
- Councils and joint organisations may appoint one councillor (who must not be the Mayor) as a non-voting member of the ARIC.
- Members of ARICs must be appointed by resolution.
- The Amendment Regulation prescribes the same eligibility criteria and independence requirements for chairpersons and independent members of ARICs previously set out in circular 22-21 and the draft Guidelines.
- As previously foreshadowed, council staff may serve as independent members of another council's or joint organisation's ARIC if they satisfy the eligibility criteria and independence requirements but not as chairperson.
- Council staff cannot be appointed as an independent member of another council's or joint organisation's ARIC where the ARIC is shared by the council or joint organisation that employs that person. However, staff may now be appointed as an independent member of another councils' or joint organisation's ARIC where that council or joint organisation shares an internal audit function with the council or joint organisation that employs that person (NB, this softens a restriction previously foreshadowed in circular 22-21 and the draft Guidelines).
- ARIC chairpersons and members are to be appointed for a term of no more than 4 years. They may be re-appointed if eligible but must not be a member of the ARIC for more than 8 years in any 10-year period.
- Councils and joint organisations may remove chairpersons and independent members of the ARIC at any time but must notify OLG within 28 days of doing so.
- Councils may pay remuneration to the chairperson and independent members of the ARIC.

**Operations of ARICs**

- ARICs must meet at least quarterly.
- The chairperson may decide the procedure for calling meetings and their conduct (NB, guidance on ARIC meetings is provided in the Guidelines).
- Councils and joint organisations must adopt terms of reference for the ARIC by resolution. In doing so, they must consider the model terms of reference approved by OLG (NB, these are provided in the Guidelines and are available on OLG's website in Word format for use by councils and joint organisations).
- ARICs must exercise their functions in accordance with the adopted terms of reference.

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INTERNAL AUDIT AND RISK MANAGEMENT FRAMEWORK

CONTINUED

- General managers of councils and executive officers of joint organisations must ensure that the ARIC has the resources necessary to properly exercise its functions and is readily able to access the staff, information and records the ARIC considers necessary to exercise those functions.
- ARICs are to keep under the review the council's or joint organisations internal audit functions.

**Internal audit**

- Councils and joint organisations must adopt an internal audit charter by resolution. In doing so, they must consider the model internal audit charter approved by OLG (NB, this is provided in the Guidelines and is available on OLG's website in Word format for use by councils and joint organisations).
- Councils and joint organisations must exercise their internal audit functions in accordance with the adopted internal audit charter.
- General managers of councils and executive officers of joint organisations must appoint a member of staff (who may be an existing staff member) to be the internal audit coordinator for the council or joint organisation (NB, this role was previously referred to as the "head of the internal audit function" in the draft Guidelines).
- Councils and joint organisations may enter into an arrangement with another council or joint organisation to share that council's or joint organisation's internal audit coordinator. Where a council or joint organisation enters into such an arrangement with another council or joint organisation, they are not required to appoint their own internal audit coordinator.
- The internal audit coordinator must report to and comply with directions of the ARIC in relation to the exercise of internal audit functions. The internal audit coordinator is not to be subject to direction by the council or a member of staff of the council in relation to the exercise of internal audit functions.
- The general manager of a council or executive officer of a joint organisation must consult with the chairperson of the ARIC about a proposed decision affecting the employment of the internal audit coordinator.
- General managers of councils and executive officers of joint organisations must ensure the internal audit coordinator has the resources necessary to properly exercise their functions and is readily able to access the staff, information, and records necessary to exercise those functions and is able to access the ARIC.
- The ARIC must oversee internal audit activities.
- The ARIC must review the performance and efficacy of internal audit activities over each period of 4 years and prepare a report for the governing body which may include recommendations.

**Risk management**

- Councils and joint organisations must adopt and implement a system for managing risk (NB, councils and joint organisations are required under section 23A of the *Local Government Act 1993*, to consider OLG's Guidelines when doing so).

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ITEM 4

INTERNAL AUDIT AND RISK MANAGEMENT FRAMEWORK

CONTINUED

- The ARIC must monitor and review the implementation of the system for managing risk and report to the governing body on its operation and efficacy.

**Attestation**

- From 2024/25, councils and joint organisations must publish in their annual reports, an attestation signed by the general manager or the executive officer in the case of a joint organisation, that specifies whether the council or joint organisation has complied with the Regulation (NB, a template for the attestation is provided in the Guidelines and is available on OLG's website in Word format for use by councils and joint organisations).
- In preparing an attestation, the general manager or executive officer must give the chairperson of the ARIC an opportunity to comment on it. If the chairperson of the ARIC is not satisfied with the attestation, they may prepare an alternative attestation and provide it to OLG.

**Exemption**

- A council or joint organisation is not required to comply with a requirement under the Regulation where:
  - the council or joint organisation cannot comply with the requirement because of temporary extenuating circumstances or resourcing constraints that will significantly impact the council's or joint organisation's budget, **and**
  - the council or joint organisation cannot enter into an agreement with another council or joint organisation to share the performance of activities necessary to satisfy the requirement, **and**
  - current or proposed alternative arrangements will achieve outcomes equivalent to the requirement under the Regulation, **and**
  - the council or joint organisation notifies OLG of the failure to comply with the Regulation within 28 days, **and**
  - the council or joint organisation publishes a statement in its annual report about the non-compliance that includes details of the above matters (NB, a template for this statement is provided in the Guidelines and is available on OLG's website in Word format for use by councils and joint organisations).
- Councils and joint organisations are no longer required to seek the prior approval of OLG to be exempt as previously foreshadowed in the draft Guidelines. They will automatically be exempt if they satisfy all the above requirements.

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ITEM 4                      INTERNAL AUDIT AND RISK MANAGEMENT FRAMEWORK                      CONTINUED

**Attachment 2 - Local Government (General) Amendment (Audit, Risk and Improvement Committees) Regulation 2023**



**Local Government (General) Amendment  
(Audit, Risk and Improvement Committees)  
Regulation 2023**

under the  
Local Government Act 1993

Her Excellency the Governor, with the advice of the Executive Council, has made the following regulation under the *Local Government Act 1993*.

RON HOENIG, MP  
Minister for Local Government

**Explanatory note**

The object of this regulation is to make provision about Audit, Risk and Improvement Committees and the internal auditing functions of councils.

This regulation is made under the *Local Government Act 1993*, including sections 428(4)(b), 428A(2)(i), 428B and 748, the general regulation-making power, and Schedule 6, clauses 8A, 13, 18 and 19B.

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Local Government (General) Amendment (Audit, Risk and Improvement Committees) Regulation 2023  
[NSW]

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**Local Government (General) Amendment (Audit, Risk and Improvement Committees) Regulation 2023**

under the

Local Government Act 1993

**1 Name of regulation**

This regulation is the *Local Government (General) Amendment (Audit, Risk and Improvement Committees) Regulation 2023*.

**2 Commencement**

This regulation commences on 1 July 2024.

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Local Government (General) Amendment (Audit, Risk and Improvement Committees) Regulation 2023  
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**Schedule 1 Amendment of Local Government (General) Regulation 2021**

Part 9 Management and accountability

Insert after Division 6—

**Division 6A Auditing and Audit, Risk and Improvement Committees**

**216A Definitions**

In this division—

*chairperson*, for an Audit, Risk and Improvement Committee, means the chairperson of the committee.

*independent member*, for an Audit, Risk and Improvement Committee, means a person appointed to the committee under section 216C(1)(b).

*internal audit co-ordinator*—see section 216P(4).

**216B Application of division to joint organisations**

This division applies to a joint organisation in the same way as it applies to a council.

**216C Composition of Audit, Risk and Improvement Committee—the Act, Sch 6, cl 19B**

- (1) The Audit, Risk and Improvement Committee for a council must comprise—
  - (a) a chairperson, and
  - (b) at least 2 independent members.
- (2) One councillor, who must not be the mayor, of the council may also be appointed to the Audit, Risk and Improvement Committee for a council.
- (3) The appointment of a member to the Audit, Risk and Improvement Committee must be made by resolution of the council.
- (4) A councillor appointed to the Audit, Risk and Improvement Committee must not vote on a matter being considered by the committee.
- (5) A person may be appointed to more than 1 Audit, Risk and Improvement Committee if otherwise eligible.

**216D Eligibility for appointment as chairperson—the Act, Sch 6, cl 19B**

A council must not appoint a person as the chairperson of the council's Audit, Risk and Improvement Committee unless the council is reasonably satisfied the person—

- (a) has leadership qualities, and
- (b) is able to promote effective working relationships in complex organisations, and
- (c) is able to communicate complex and sensitive assessments in a tactful way, and
- (d) has a sound understanding of the principles of good organisational governance, and
- (e) is able to understand local government accountability, including financial reporting, and

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- (f) has a sound understanding of the business of the council or the environment in which it operates, and
- (g) has a sound understanding of the council's internal audit operations, including the selection and review of the internal audit co-ordinator for the council, and
- (h) has a sound understanding of risk management principles, and
- (i) has extensive senior level experience in governance and management of complex organisations, and
- (j) is eligible to be appointed as an independent member of the Audit, Risk and Improvement Committee, and
- (k) is not an employee of a council or a joint organisation.

**216E Eligibility for appointment as independent member—the Act, Sch 6, cl 19B**

A council must not appoint a person as an independent member of the council's Audit, Risk and Improvement Committee unless the council is reasonably satisfied the person—

- (a) is able to read and understand financial statements, and
- (b) is able to understand the ethical requirements of government, including conflicts of interest, and
- (c) is able to form independent judgements, and
- (d) is willing to constructively challenge and question management practices and information, and
- (e) is professional and ethical in the exercise of the person's duties, and
- (f) is able to devote the necessary time and effort to the person's functions as a member of the committee, and
- (g) has knowledge in one or more of the following that is relevant to the person's role on the Audit, Risk and Improvement Committee—
  - (i) risk management,
  - (ii) performance management,
  - (iii) human resources management,
  - (iv) internal and external auditing,
  - (v) financial reporting,
  - (vi) accounting,
  - (vii) management control frameworks,
  - (viii) internal financial controls,
  - (ix) governance of organisations,
  - (x) business operations, and
- (h) is independent of the council.

**216F Persons taken not to be independent of council—the Act, Sch 6, cl 19B**

- (1) The following persons are taken not to be independent of a council for the purposes of section 216E(h)—
  - (a) a person who is a councillor of a council in New South Wales,
  - (b) a person who was a candidate for election to the council in the last election of the council,
  - (c) a person who was a councillor during the term of the council ending at the last election of the council,



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- (d) for a joint organisation or council that is a member council of a joint organisation—a person who is a non-voting representative of the board of the joint organisation,
- (e) for a council that has entered an arrangement under the Act, section 428B with another council or body—a person who is an employee of the other council or body,
- (f) a person who is employed by the council or was employed by the council in the previous 12 months,
- (g) a person who conducts audits of the council for the Audit Office of NSW,
- (h) a person who has a close personal or business relationship with a councillor or a person who has a senior role in the council that may lead to an actual or perceived conflict of interest,
- (i) a person who provides, or has in the previous three years provided, material goods or services which directly affect matters considered by the Audit, Risk and Improvement Committee,  
**Example**— consultancy, legal, internal audit or advisory services
- (j) a person who is a shareholder, owner, officer or employee of a company if—
  - (i) the company has a business relationship with the council or a related entity, and
  - (ii) the business relationship comprises—
    - (A) a material business relationship, or
    - (B) a contractual relationship, or
    - (C) a direct financial interest, or
    - (D) a material indirect financial interest, and
  - (iii) the business relationship could reasonably be considered to be an actual or perceived conflict of interest,
- (k) a person who is a relative of a person referred to in paragraph (i),
- (l) a person who acts, or has previously acted, as an advocate for the council or a related entity, if the advocacy—
  - (i) relates to a material interest, and
  - (ii) could reasonably be considered to be an actual or perceived conflict of interest.

- (2) In this section—  
*related entity*, of a council, means an entity formed by the council or an entity which the council participated in forming.

**216G Term of office—the Act, Sch 6, cl 19B**

- (1) A council may appoint a member of the council's Audit, Risk and Improvement Committee for a term of no more than 4 years.
- (2) A person who continues to be eligible for appointment may be reappointed.
- (3) A person must not be a member of an Audit, Risk and Improvement Committee for a particular council for more than 8 years in a 10-year period.
- (4) The Departmental Chief Executive may exempt a person from the requirement in subsection (3) if satisfied the council—

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- (a) took reasonable steps to find another person to take the place of the person, and
  - (b) has been unable to find a suitable person.
- 216H Removal of members—the Act, Sch 6, cl 19B**
  - (1) A council may remove a member from the council's Audit, Risk and Improvement Committee at any time.
  - (2) The council must give written notice to the Departmental Chief Executive if it removes the chairperson or an independent member from the council's Audit, Risk and Improvement Committee.
  - (3) The notice must be given within 28 days after the removal of the person.
- 216I Remuneration—the Act, Sch 6, cl 19B**

A council may pay remuneration to the chairperson and independent members of the council's Audit, Risk and Improvement Committee.
- 216J Meetings of Audit, Risk and Improvement Committee—the Act, Sch 6, cl 19B**
  - (1) An Audit, Risk and Improvement Committee must meet at least once in each quarter.
  - (2) The chairperson of an Audit, Risk and Improvement Committee may decide on the procedure for—
    - (a) the calling of meetings of the Audit, Risk and Improvement Committee, and
    - (b) the conduct of business at meetings.
- 216K Terms of reference—the Act, Sch 6, cl 19B**
  - (1) A council must adopt terms of reference for the council's Audit, Risk and Improvement Committee.
  - (2) The adoption must occur by resolution of the council.
  - (3) The council must consider model terms of reference approved by the Departmental Chief Executive before adopting terms of reference.
  - (4) Terms of reference must be consistent with the Act and this regulation.
  - (5) An Audit, Risk and Improvement Committee must exercise its functions in accordance with the adopted terms of reference.
- 216L Assistance to Audit, Risk and Improvement Committee—the Act, Sch 6, cl 19B**
  - (1) The general manager of a council must ensure the Audit, Risk and Improvement Committee of the council—
    - (a) has the resources necessary to properly exercise its functions in relation to the council, and
    - (b) is readily able to access the staff, information and records of the council the Audit, Risk and Improvement Committee considers necessary for the exercise of its functions in relation to the council.
  - (2) If the council has entered an arrangement under the Act, section 428B with another council or body, this section extends to the general manager of the other council or the chief executive of the other body to the extent the Audit, Risk and Improvement Committee exercises functions in relation to the other council or body.

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- 216M Matters committee must keep under review—the Act, s 428A**  
For the Act, section 428A(2)(i), the council's internal audit functions are prescribed.
- 216N Joint internal audit arrangements—the Act, s 428B**  
A joint organisation of which a council is a member is prescribed as a body the council may enter into an arrangement with.
- 216O Internal audit charter—the Act, Sch 6, cl 8A**
- (1) A council must adopt an internal audit charter setting out how the council will exercise its internal audit functions.
  - (2) The adoption must occur by resolution of the council.
  - (3) The council must consider a model internal audit charter approved by the Departmental Chief Executive before adopting an internal audit charter.
  - (4) An internal audit charter must be consistent with the Act and this regulation.
  - (5) The council must exercise its internal audit functions in accordance with the adopted internal audit charter.
- 216P Internal audit co-ordinator—the Act, Sch 6, cl 8A**
- (1) The general manager of a council must appoint a member of staff of the council to be the internal audit co-ordinator for the council unless—
    - (a) the council has entered an arrangement with another council for the sharing of internal audit activities, and
    - (b) the general manager of the other council has appointed a person under this section, and
    - (c) the person will direct and co-ordinate the internal audit activities in relation to the first council under the arrangement.
  - (2) An internal audit co-ordinator who exercises functions under this section for a council—
    - (a) must, in relation to the exercise of the functions—
      - (i) report to the Audit, Risk and Improvement Committee for the council, and
      - (ii) comply with a direction of the Audit, Risk and Improvement Committee, and
    - (b) is not subject to a direction of the council or a member of staff of the council in relation to the exercise of the functions.
  - (3) The general manager of a council must consult with the chairperson of the Audit, Risk and Improvement Committee for the council about a proposed decision affecting the employment of the internal audit co-ordinator for the council.
  - (4) In this section—  
*internal audit co-ordinator*, for a council, means a person appointed to direct and co-ordinate internal audit activities in relation to the council.
- 216Q Persons exercising internal audit functions—the Act, Sch 6, cl 8A**  
The general manager of a council must ensure a person exercising internal audit functions in relation to the council—

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- (a) has the resources necessary to properly exercise the functions, and
  - (b) is readily able to access—
    - (i) staff, information and records of the council necessary to properly exercise the functions, and
    - (ii) the Audit, Risk and Improvement Committee for the council.
- 216R Audit, Risk and Improvement Committee to oversee and report on internal audit activities—the Act, s 428A(2)(i)**
- The Audit, Risk and Improvement Committee for a council must—
- (a) oversee the internal audit activities carried out in relation to the council, and
  - (b) review the performance and efficacy of the activities over each period of 4 years, and
  - (c) prepare a report on the review that may include recommendations, and
  - (d) give a copy of the report to the governing body of the council.
- 216S Risk management—the Act, Sch 6, cl 18**
- (1) A council must adopt and implement a system for managing risk.  
**Note—** The Act, section 23A requires a council to take relevant guidelines by the Departmental Chief Executive into consideration before exercising its functions.
  - (2) The Audit, Risk and Improvement Committee for the council must—
    - (a) monitor and review the implementation of the system, and
    - (b) report to the council on the operation and efficacy of the system.
- 216T Attestation in annual report—the Act, s 428(4)(b)**
- (1) The annual report for a council under the Act, section 428 must include an attestation signed by the general manager of the council specifying whether the council has complied with this division during the year to which the report relates.
  - (2) In preparing the attestation, the general manager must give the chairperson of the Audit, Risk and Improvement Committee for the council an opportunity to comment on the attestation.
  - (3) The chairperson, if not satisfied with the attestation in the annual report, may—
    - (a) prepare an alternative attestation signed by the chairperson, and
    - (b) give the alternative attestation to the Departmental Chief Executive.
  - (4) This section does not apply to an annual report prepared before 1 July 2025.
- 216U Contravention of division permitted in certain circumstances—the Act, Sch 6, cl 8A**
- A council is not required to comply with a provision of this division if—
- (a) the council is unable to comply because compliance—
    - (i) was unreasonable due to a temporary circumstance, or
    - (ii) would have had a significant impact on the council's budget, and
  - (b) the council was unable to enter an agreement with another council or joint organisation to ensure compliance, and

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- (c) the council proposes an alternative arrangement to ensure an equivalent outcome to the requirement, and
- (d) the council notifies the Departmental Chief Executive of the failure to comply within 28 days, and
- (e) the annual report of the council contains a statement about the non-compliance with details of the matters set out in paragraphs (a)–(c).

**WARREN SHIRE COUNCIL**

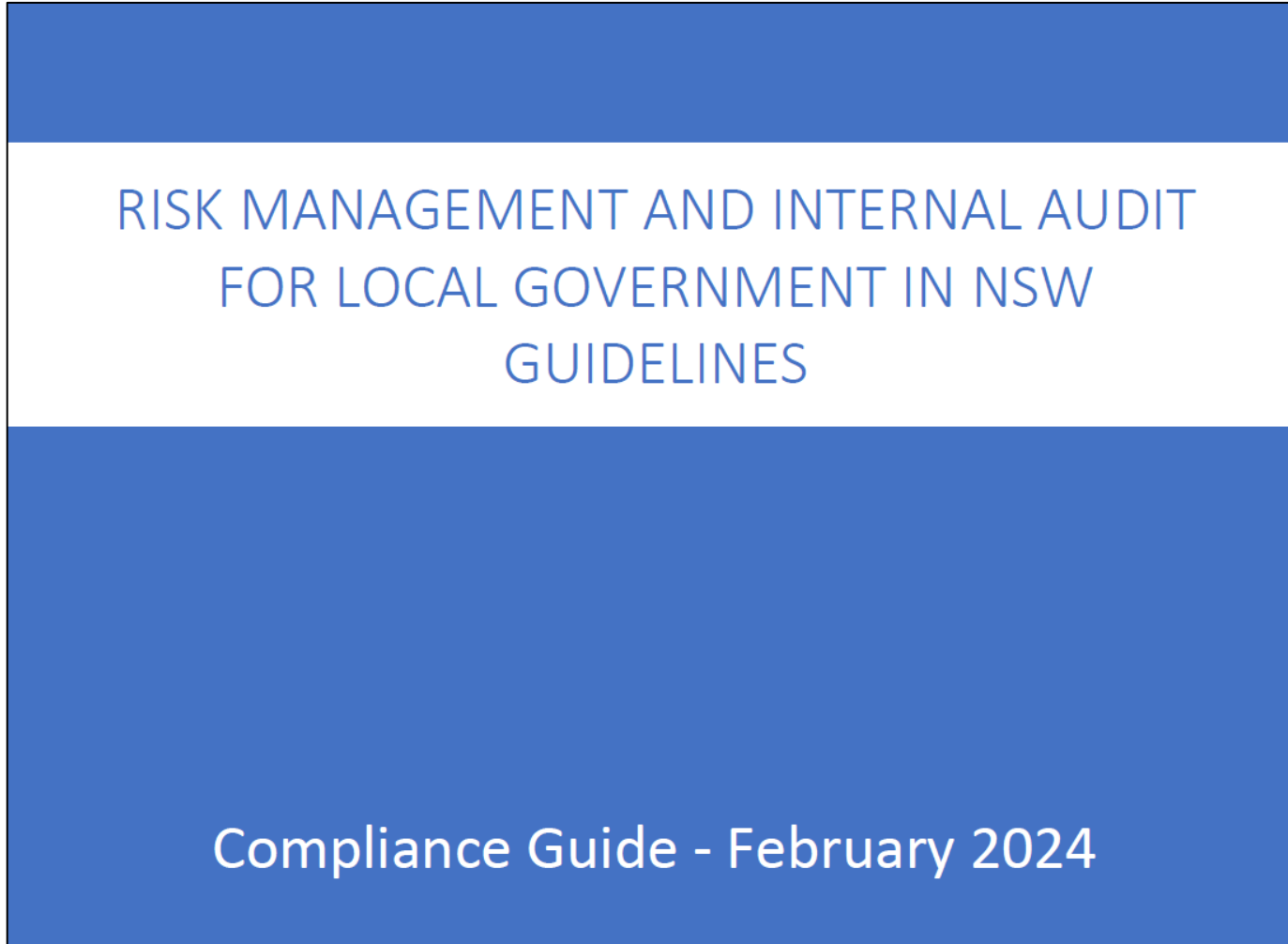
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**ITEM 4            INTERNAL AUDIT AND RISK MANAGEMENT FRAMEWORK**

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**Attachment 3 -** Risk Management and Internal Audit for Local Government in NSW Guidelines – Compliance Guide – February 2024 – Keith Coates, Internal Auditor (Attachment 3)



# WARREN SHIRE COUNCIL

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### Risk Management & Internal Audit Guidelines – Guideline Compliance Requirements

#### Core Requirement 1 – Audit Risk and Improvement Committee

|                                      | Action   | Who   | Date  |
|--------------------------------------|--|---|---|
| Eligibility<br>(Page 21)             | <p>Council must appoint by resolution a Chair and two independents.<br/>Council may also appoint a non-voting member such as a Councillor (Cannot be the Mayor).</p> <p>The Chairperson and the other two voting members must satisfy the independence and eligibility criteria prescribed by regulation clauses 216D, 216E and 216F.</p>  | Council   | May 2024  |
| Terms of Reference<br>(Page 15)      | <p>Model Terms of Reference (Page 15)– Council must adopt the model terms of reference (216K) it must be adopted by Council and reviewed annually by the ARIC.<br/>(Available - Appendix 3 in Guidelines)</p>  | IA to assist  | May 2024  |
| ARIC Strategic Workplan<br>(Page 33) | <p>The Strategic Workplan must be developed every four years. (Operational 1 July 2024).</p> <p>It must cover all the matters listed in section 428A of the Act, reviewed by the committee and considered by the Internal Audit Function when developing their risk-based program for the internal audits.</p> <p>The four-year plan must be developed by the ARIC in consultation with the governing body, General manager, audit coordinator and senior managers where appropriate <b>and adopted by governing body at the start of the term.</b></p> <p>The ARIC must review the four-year strategic plan annually. Any decision to vary the strategic workplan will rest with the committee in consultation with the governing body.</p> | IA to assist (unless ARIC chooses to undertake the drafting of the Plan). | Reviewed annually and adopted every term by governing body. |

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|  |   |  |  |
|--|---|--|--|
| <p>ARIC Annual Workplan<br/>(Page 34)</p>                | <p>The ARIC must develop annual workplans in consultation with the governing body, General manager, audit coordinator and senior managers.</p> <p>The Annual Plan must be compliant with Professional Practices Framework.</p> <p>The Annual Workplan must:</p> <ul style="list-style-type: none"> <li>• Identify the internal audits that will be carried out during the year to support the work of the ARIC.</li> <li>• Identify the key goals, objectives and scope of the proposed audits.</li> <li>• Identify the resources needed for each audit.</li> </ul> | <p>IA to assist (unless ARIC chooses to undertake the drafting of the Plan).</p> | <p>Commence planning with the new ARIC in May/June</p> |
| <p>Performance Measurement<br/>(Page 34)</p>             | <p>The ARIC must establish key performance indicators for the Council's four-year strategic workplan and annual workplan to measure progress against (the matters listed in 428A).</p>  | <p>ARIC</p>  | <p>June 2024</p>                                       |
| <p>Annual Assessment<br/>(Page 35)</p>                   | <p>ARIC to provide an annual assessment to the governing body each year (self-assessment).</p>  | <p>ARIC</p>  | <p>June 2025</p>                                       |
| <p>Strategic Assessment<br/>(Page 36)</p>                | <p>ARIC to provide to the governing body a comprehensive independent assessment every Council every term of all the matters listed in section 428A of the Act that have been reviewed during the Council term.</p>  | <p>ARIC</p>  | <p>July 2028</p>                                       |
| <p>Review of the Committee Performance<br/>(Page 37)</p> | <p>At least once each Council term the governing body of the council is to conduct a review of the effectiveness of the ARIC committee in conformance with the International Professional Framework.</p>  | <p>Council</p>   | <p>By July 2028</p>                                    |



# WARREN SHIRE COUNCIL

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**ITEM 4 INTERNAL AUDIT AND RISK MANAGEMENT FRAMEWORK**

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|                                 |   |    |              |
|---------------------------------|---|----|--------------|
| Annual Attestation<br>(Page 38) | Commencing with the 24/25 annual report the General Manager will be required to attest each year as to whether Council has complied with the regulations and a template for the attestation is available at appendix 1 of the guidelines. | GM | October 2025 |
|---------------------------------|---|----|--------------|

**Core Requirement 2 – Risk Management**

|                                       | <b>Action</b>  | <b>Who</b>                | <b>Date</b> |
|---------------------------------------|--|---------------------------|-------------|
| Framework/Standards<br>(Page 42)      | Each Council must manage its strategic and operational risks and implement a risk management framework that is consistent with the current Australia Risk management standard and appropriate for Council risks.<br><br>To be formally adopted by the respective Council utilising the IA example Risk Management Strategy/Plan.   | IA in conjunction with GM | Early May   |
| Policy<br>(Appendix 4)                | Adopt the OLG example Risk Policy at Appendix 4 of the Guidelines.   | IA to assist GM/Council   | May         |
| Risk Management Function<br>(page 46) | Council must establish a risk management function responsible for the day to day activities required to implement the Council’s risk management framework.<br>The risk management function should include: <ul style="list-style-type: none"> <li>- Providing clear and concise risk information, advice and or reports that can be used in planning or decision making</li> <li>- Coordinate the various activities relating to risk management within the council.</li> <li>- Facilitating and driving risk management at the strategic and operational level within Council ensuring consistency in practice</li> </ul> | IA/GM                     | June        |

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|   |  |             |               |
|---|--|-------------|---------------|
|   | <ul style="list-style-type: none"> <li>- Ensuring there are easily accessible systems and processes in place to enable all staff to conveniently undertake risk management in their day to day work.</li> <li>- Ensuring risk management processes are applied consistently across the council.</li> <li>- Organising appropriate staff risk management training and development</li> <li>- Developing and maintaining a risk reporting framework to enable regular advising/reporting of key risks and the management of those risks to the GM or their delegate.</li> <li>- Supporting Council staff with their risk management obligations and providing staff with the advice and tools to ensure risk management compliance</li> <li>- Implementing effective risk management mechanisms and information systems</li> <li>- Establishing and maintaining an ongoing monitoring system to track the risk management activities undertaken within the council and assessing the need for further action.</li> <li>- Assessing risk management information for completeness, accuracy and consistency (risk registers and risk treatment plans)</li> <li>- Prepare advice/reports and attending ARIC meeting where requested.</li> </ul> |             |               |
| <p>Risk Mgt - Internal Audit Function<br/>(Page 47)</p> | <p>Councils Internal Audit function is responsible for reviewing and providing advice to the ARIC and the Council on the effectiveness of the Councils risk management framework.</p>  | <p>IA</p>   | <p>Annual</p> |
| <p>ARIC<br/>(Page 47)</p>                               | <p>Is to support the governing body and general manager to ensure that the Council's risk management framework is appropriate and operationally effective.</p>   | <p>ARIC</p> |               |

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|   |   |  |  |
|---|---|--|--|
| <p>Review and Reporting<br/>(Page 48)</p> | <p><b>Quarterly reporting:</b><br/>         Each Council should ensure its risk management framework is regularly monitored and reviewed to ensure relevant, effective and complies with the current Australian risk management standard.<br/>         And this should include as a minimum providing quarterly advice from the Risk Management Function to the General Manager or their delegate – to ensure that risks are being correctly identified, prioritised and treated.</p> <p><b>Annual Assessment:</b><br/>         By way of self-assessment reported to the general manager whether the risk management framework: -</p> <ul style="list-style-type: none"> <li>• Complies with the guidelines</li> <li>• Is sufficiently resourced</li> <li>• And operates effectively which includes:             <ul style="list-style-type: none"> <li>○ The internal control framework appropriately reflects council risk criteria/appetite</li> <li>○ Risks are formally considered when developing and implementing all Council policies, programs, projects and other activities, including procurement.</li> <li>○ Risk management covers all relevant risk categories including strategic, operational, compliance, reputational and reporting risks</li> <li>○ Major risks have been identified and assessed by the Council and appropriate risk treatments have been implemented that reflect the councils risk criteria</li> <li>○ o the council’s internal controls are effective and appropriate</li> <li>○ o the council’s risk register and risk profile are current and appropriate</li> <li>○ o risk information is captured and communicated in a timely manner across the council, enabling management and staff to carry out their responsibilities, and</li> <li>○ o the council’s risk management policies, procedures and plans are being complied with.</li> </ul> </li> </ul> |  |  |
|---|---|--|--|

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INTERNAL AUDIT AND RISK MANAGEMENT FRAMEWORK

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|  |  |  |  |
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|  | <p><b>Annually - July 2025 first assessment</b></p> <p>Strategic Assessment:<br/>         A Council's ARIC must provide an assessment of the effectiveness of the Council's risk management framework to the governing body, each Council term as part of the committee's four yearly strategic assessment.</p> <p>The General Manager is to develop and action plan for the governing body to address any risk management issues identified by the Committee.<br/> <b>(end of Council term i.e. 2026)</b></p> <p><b>Performance Measures:</b><br/>         Council must ensure that it assigns performance targets to risk management activities that can be measured against goals and objectives and can obtain the data needed to meet the impact of Council's risk management framework.<br/> <b>(to be determined after implementation of frameworks)</b></p> <p><b>Annual Attestation:</b><br/>         The general manager is required to provide an annual attestation to whether Council is compliant with the risk management processes prescribed with the guideline. To be included in Annual Report.<br/> <b>Appendix 1 – Attestation Template</b><br/>         GM</p> <p><u>NOTE: IA is preparing a Risk Maturity Assessment (formal review document) and IA will visit each Council to undertake the assessment during April, May and early June 2024.</u></p> |  |  |
|--|--|--|--|

# WARREN SHIRE COUNCIL

## Report of the General Manager to the Ordinary Meeting of Council to be held in the Council Community Room, Warren on Wednesday, 24th April 2024

ITEM 4 INTERNAL AUDIT AND RISK MANAGEMENT FRAMEWORK

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### Core Requirement 3: Internal Audit

|  | Action  | Who   | Date       |
|--|---|---|------------|
| Internal Audit Charter<br>(Page 53)  | <p>Draft Internal Audit Charter (Model Internal Audit Charter Appendix 5)</p> <ul style="list-style-type: none"> <li>- needs to be adopted by the governing body.</li> <li>- Needs to be reviewed annually by the ARIC in consultation with the GM and IA Coordinator</li> </ul>  | IA in consultation with ARIC, GM & IA coordinator | April/May  |
| Internal Audit Coordinator (for an outsourced/contractor IA function)<br>(Page 59) | <p>Appoint a Council employee as the Internal Audit Coordinator. Key Responsibilities include:</p> <ul style="list-style-type: none"> <li>- Contract Management</li> <li>- Managing the internal audit budget</li> <li>- Ensures the external provider completes audits in line with the ARIC annual and four-year strategic work plans.</li> <li>- Forwarding audit reports to the ARIC</li> <li>- Acting as a liaison between IA and the ARIC</li> <li>- Monitoring the Council's implementation of corrective actions that arise from the findings of the audit reports and reporting the progress to the ARIC</li> <li>- Assisting the ARIC to ensure IA activities comply with the regulations and guidelines.</li> </ul> <p>The GM to ensure appropriate delegated authority for the IA Coordinator to undertake duties and tasks.</p> <p><b>The IA Coordinator must be a council employee.</b></p> | GM  | Early June |

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|  |  |                               |                      |
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| <p>Role of the ARIC<br/>(Page 54)</p>          | <p>Set the Annual and Four-Year Strategic Work Plans for the Internal Audit function, <b>including the audits that will be completed.</b></p> <p>Assess the findings and recommendations of audits.</p> <p>Must develop the Internal Audit Charter</p> <p>Review the performance of the Internal Audit function annually (self-assessed IA coordinator and as a group at the end of the Council term – <b>to be advised once guidelines are formally adopted by the OLG</b>).</p>  | <p>IA to assist ARIC</p>      | <p>May/June 2024</p> |
| <p>Policies &amp; Procedures<br/>(Page 63)</p> | <p>The GM (option to delegate to IA Coordinator) in consultation with ARIC develop and maintain policies and procedures that:</p> <ul style="list-style-type: none"> <li>- Prescribe how internal audits will be conducted, reported, implemented and monitored.</li> <li>- States timeframe for reporting and the Council's response to recommendations</li> <li>- State how any internal audit related disputes are to be involved (in model charter)</li> <li>- Provides IA with access to staff, resources and information.</li> <li>- States how the performance of the IA function will be reviewed.</li> <li>- Prescribes how communication between the ARIC, IA and the GM will be undertaken.</li> <li>- States how information management will take place; i.e. document retention, security and access to audit reports.</li> </ul> | <p>IA and IA Coordinator.</p> | <p>End June 2024</p> |

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|  |   |                                    |                  |
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| <p>Quarterly updates<br/>(Page 64)</p>   | <p>The IA coordinator is to ensure that the ARIC is advised at each of the committees' quarterly meetings of:</p> <ul style="list-style-type: none"> <li>- Internal Audits completed that quarter</li> <li>- Progress in implementing the annual workplan</li> <li>- Progress made implementing corrective actions</li> </ul>                                       |                                    |                  |
| <p>Internal Audit Documents<br/>(Page 64)</p>  | <p>Full implementation to be considered once OLG guidelines are finalised.</p> <p><b><u>IA has concerns with some of the legalities governing the proposed rights of who owns certain intellectual property (working papers etc). IA will research and advise in due course.</u></b></p>  | <p>IA &amp; IA<br/>Coordinator</p> | <p>July 2024</p> |
| <p>IA 4-Year Rolling Audit Plan and IA Annual Audit Plan<br/>(Page 62 and International Professional Practices Framework).</p> | <p>IA will develop a strategic rolling IA Plan and an Annual Plan.</p> <p><b><u>However, IA notes that the Guidelines appear to state that ARIC will also set the Plans and the audits to be completed.</u></b></p> <p><b><u>IA will attempt to clarify this with OLG and then determine how the plans in question will be drafted and by whom?????????</u></b></p> | <p>IA and ARIC</p>                 | <p>June 2024</p> |
| <p>Annual Attestation</p>  | <p>The GM is required to provide an annual attestation to whether Council is compliant with the IA Function processes prescribed within the Regulation.</p> <p>To be included in Annual Report.<br/><b>Appendix 1 – Attestation Template</b></p>  | <p>GM</p>                          | <p>June 2025</p> |

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**Attachment 4** - Warren Shire Council Audit, Risk and Improvement Committee Terms of Reference



**WARREN SHIRE COUNCIL  
AUDIT, RISK AND IMPROVEMENT  
COMMITTEE**

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**TERMS OF REFERENCE**

**APRIL 2024**

File Ref: A1-3.1



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*Warren Shire Council – Terms of Reference for Warren Shire Council Audit, Risk and Improvement Committee*

Warren Shire Council has established an Audit, Risk and Improvement Committee in compliance with Section 428A of the *Local Government Act 1993*, the *Local Government (General) Regulation 2021* and the Office of Local Government's *Guidelines for Risk Management and Internal Audit for Local Government in NSW*. These Terms of Reference set out the Committee's objectives, authority, composition and tenure, roles and responsibilities, reporting and administrative arrangements.

### Objective

The objective of Warren Shire Council's Audit, Risk and Improvement Committee is to provide independent assurance to Warren Shire Council by monitoring, reviewing and providing advice about the Warren Shire Council governance processes, compliance, risk management and control frameworks, external accountability obligations and overall performance.

### Independence

The Committee is to be independent to ensure it has no real or perceived bias or conflicts of interest that may interfere with its ability to act independently and to provide Warren Shire Council with robust, objective and unbiased advice and assurance.

The Committee is to have an advisory and assurance role only and is to exercise no administrative functions, delegated financial responsibilities or any management functions of the Warren Shire Council. The Committee will provide independent advice to Warren Shire Council that is informed by the Warren Shire Council's internal audit and risk management activities and information and advice provided by staff, relevant external bodies and subject matter experts.

The Committee must always ensure it maintains a direct reporting line to and from the Warren Shire Council's internal audit function and act as a mechanism for internal audit to report to the governing body and the General Manager on matters affecting the performance of the internal audit function.

### Authority

Warren Shire Council authorises the Committee, for the purposes of exercising its responsibilities, to:

- Access any information it needs from the Warren Shire Council;
- Use any Warren Shire Council resources it needs;
- Have direct and unrestricted access to the General Manager and Senior Management Team of the Warren Shire Council;
- Seek the General Manager's permission to meet with any other Warren Shire Council staff member or contractor;
- Discuss any matters with the External Auditor or other external parties;
- Request the attendance of any employee at Committee meetings; and
- Obtain external legal or other professional advice in line with Councils' Procurement Policies.

Information and documents pertaining to the Committee are confidential and are not to be made publicly available. The Committee may only release Warren Shire Council information

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Warren Shire Council – Terms of Reference for Warren Shire Council Audit, Risk and Improvement Committee

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to external parties that are assisting the Committee to fulfil its responsibilities with the approval of the General Manager, except where it is being provided to an external investigative or oversight agency for the purpose of informing that agency of a matter that may warrant its attention.

#### Composition and Tenure

The Committee consists of an Independent Chairperson and two (2) Independent Members who have voting rights and one (1) non-voting Councillor (Deputy Mayor), as required under the *Local Government (General) Regulation 2021*.

The Governing Body is to appoint the Chairperson and Members of the Committee. Current Committee Members are:

|                 |  |
|-----------------|--|
| [To be advised] | Independent Chairperson (voting)                                     |
| [To be advised] | Independent Member (voting)  |
| [To be advised] | Independent Member (voting)  |
| [To be advised] | Councillor Member (non-voting) Deputy Mayor<br>(cannot be the Mayor) |

All Committee members must meet the independence and eligibility criteria prescribed under the *Local Government (General) Regulation 2021*.

Members will be appointed for up to a four-year term. Members can be reappointed for one further term, but the total period of continuous membership cannot exceed eight years. This includes any term as Chairperson of the Committee. Members who have served an eight-year term (either as a member or as Chairperson) must have a two-year break from serving on the Committee before being appointed again. To preserve the Committee's knowledge of the Warren Shire Council, ideally, no more than one member should retire from the Committee because of rotation in any one year.

The terms and conditions of each member's appointment to the Committee are to be set out in a letter of appointment. New members will be thoroughly inducted to their role and receive relevant information and briefings on their appointment to assist them to meet their responsibilities.

Prior to approving the reappointment or extension of the Chairperson's or an Independent Member's term, the Governing Body is to undertake an assessment of the Chairperson's or Committee Member's performance. Reappointment of the Chairperson or a Committee Member is also to be subject to that person still meeting the independence and eligibility requirements prescribed under the *Local Government (General) Regulation 2021*.

Members of the Committee must possess and maintain a broad range of skills, knowledge and experience relevant to the operations, governance and financial management of the Warren Shire Council, the environment in which the Warren Shire Council operates, and the contribution that the Committee makes to the Warren Shire Council. At least one member of the Committee must have accounting or related financial management experience with an understanding of accounting and auditing standards in a local government environment. All members should have sufficient understanding of the Warren Shire Council's financial

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*Warren Shire Council – Terms of Reference for Warren Shire Council Audit, Risk and Improvement Committee*

reporting responsibilities to be able to contribute to the Committee's consideration of the Warren Shire Council's Annual Financial Statements.

#### **Role**

As required under section 428A of the *Local Government Act 1993* (the Act), the role of the Committee is to review and provide independent advice to the Warren Shire Council regarding the following aspects of the Warren Shire Council's operations:

- Compliance;
- Risk management;
- Fraud control;
- Financial management;
- Governance;
- Implementation of the Strategic Plan, Delivery Program and Strategies;
- Service Reviews;
- Collection of performance measurement data by the Warren Shire Council; and
- Internal audit.

The Committee must also provide information to the Warren Shire Council for the purpose of improving the Warren Shire Council's performance of its functions.

The Committee's specific audit, risk and improvement responsibilities under section 428A of the Act are outlined in Schedule 1 to these Terms of Reference.

The Committee will act as a forum for consideration of the Warren Shire Council's internal audit function and oversee its planning, monitoring and reporting to ensure it operates effectively.

The Committee has no power to direct external audit or the way it is planned and undertaken but, will act as a forum for the consideration of external audit findings.

The Committee is directly responsible and accountable to the Governing Body for the exercise of its responsibilities. In carrying out its responsibilities, the Committee must at all times recognise that primary responsibility for management of the Warren Shire Council rests with the Governing Body and the General Manager.

The responsibilities of the Committee may be revised or expanded in consultation with, or as requested by, the Governing Body from time to time.

#### **Responsibilities of members**

##### **Independent Members**

The Chairperson and Members of the Committee are expected to understand and observe the requirements of the Office of Local Government's *Guidelines for Risk Management and Internal Audit for Local Government in NSW*. Members are also expected to:

- Make themselves available as required to attend and participate in meetings;
- Contribute the time needed to review and understand information provided to it;

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*Warren Shire Council – Terms of Reference for Warren Shire Council Audit, Risk and Improvement Committee*

- Apply good analytical skills, objectivity and judgement;
- Act in the best interests of the Warren Shire Council;
- Have the personal courage to raise and deal with tough issues, express opinions frankly, ask questions that go to the fundamental core of the issue and pursue independent lines of inquiry;
- Maintain effective working relationships with the Warren Shire Council;
- Have strong leadership qualities (Chairperson);
- Lead effective Committee meetings (Chairperson); and
- Oversee the Warren Shire Council's internal audit function (Chairperson).

**Councillor Members**

To preserve the independence of the Committee, the Councillor Member of the Committee is a Non-Voting Member. Their role is to:

- Relay to the Committee any concerns the Governing Body may have regarding the Warren Shire Council and issues being considered by the Committee;
- Provide insights into local issues and the strategic priorities of the Warren Shire Council that would add value to the Committee's consideration of agenda items;
- Advise the Governing Body (as necessary) of the work of the Committee and any issues arising from it; and
- Assist the Governing Body to review the performance of the Committee.

Issues or information the Councillor member raises with or provides to the Committee must relate to the matters listed in Schedule 1 and issues being considered by the Committee.

The Councillor Member of the Committee must conduct themselves in a non-partisan and professional manner. The Councillor Member of the Committee must not engage in any conduct that seeks to politicise the activities of the Committee or the internal audit function or that could be seen to do so.

If the Councillor Member of the Committee engages in such conduct or in any other conduct that may bring the Committee and its work into disrepute, the Chairperson of the Committee may recommend to the Warren Shire Council, that the Councillor Member be removed from membership of the Committee. Where the Warren Shire Council does not agree to the Committee Chairperson's recommendation, the Warren Shire Council must give reasons for its decision in writing to the Chairperson.

**Conduct**

Independent Committee Members are required to comply with the Warren Shire Council's Code of Conduct.

Complaints alleging breaches of the Warren Shire Council Code of Conduct by an Independent Committee Member are to be dealt with in accordance with the *Warren Shire Council Procedures for the Administration of the Code of Conduct for Local Councils in NSW*. The General Manager must consult with the Governing Body before taking any disciplinary action against an Independent Committee Member in response to a breach of the Warren Shire Council's Code of Conduct.

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Warren Shire Council – Terms of Reference for Warren Shire Council Audit, Risk and Improvement Committee

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#### Conflicts of Interest

Once a year, Committee Members must provide written declarations to the Warren Shire Council stating that they do not have any conflicts of interest that would preclude them from being members of the Committee. Independent Committee Members are 'designated persons' for the purposes of the Warren Shire Council's Code of Conduct and must also complete and submit returns of their interests.

Committee members and observers must declare any pecuniary or non-pecuniary conflicts of interest they may have in a matter being considered at the meeting at the start of each meeting or as soon as they become aware of the conflict of interest. Where a Committee Member or observer declares a pecuniary or a significant non-pecuniary conflict of interest, they must remove themselves from Committee deliberations on the issue. Details of conflicts of interest declared at meetings must be appropriately minuted.

#### Standards

Committee Members are to conduct their work in accordance with the International Standards for the Professional Practice of Internal Auditing issued by the Institute of Internal Auditors and current Australian Risk Management Standard, where applicable.

#### Work Plans

The work of the Committee is to be thoroughly planned and executed. The Committee must develop a Strategic Work Plan every four years to ensure that the matters listed in Schedule 1 are reviewed by the Committee and considered by the internal audit function when developing their risk-based program of internal audits. The Strategic Work Plan must be reviewed at least annually to ensure it remains appropriate.

The Committee may, in consultation with the Governing Body, vary the Strategic Work Plan at any time to address new or emerging risks. The Governing Body may also, by resolution, request the Committee to approve a variation to the Strategic Work Plan. Any decision to vary the Strategic Work Plan must be made by the Committee.

The Committee must also develop an Annual Work Plan to guide its work, and the work of the internal audit function over the forward year.

The Committee may, in consultation with the Governing Body, vary the Annual Work Plan to address new or emerging risks. The Governing Body may also, by resolution, request the Committee to approve a variation to the Annual Work Plan. Any decision to vary the Annual Work Plan must be made by the Committee.

When considering whether to vary the Strategic or Annual Work Plans, the Committee must consider the impact of the variation on the internal audit function's existing workload and the completion of pre-existing priorities and activities identified under the Work Plan.

#### Assurance Reporting

The Committee must regularly report to the Warren Shire Council to ensure that it is kept informed of matters considered by the Committee and any emerging issues that may influence the strategic direction of the Warren Shire Council or the achievement of the Warren Shire Council's goals and objectives.

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The Committee will provide an update to the Governing Body and the General Manager of its activities and opinions after every Committee meeting.

The Committee will provide an annual assessment to the Governing Body and the General Manager on the Committee's work and its opinion on how the Warren Shire Council is performing.

The Committee will provide a comprehensive assessment every Council term of the matters listed in Schedule 1 to the Governing Body and the General Manager.

The Committee may at any time report to the Governing Body or the General Manager on any other matter it deems of sufficient importance to warrant their attention. The Mayor and the Chairperson of the Committee may also meet at any time to discuss issues relating to the work of the Committee.

Should the Governing Body require additional information, a request for the information may be made to the Chairperson by resolution. The Chairperson is only required to provide the information requested by the Governing Body where the Chairperson is satisfied that it is reasonably necessary for the Governing Body to receive the information for the purposes of performing its functions under the Local Government Act. Individual Councillors are not entitled to request or receive information from the Committee.

#### **Administrative Arrangements**

##### **Meetings**

The Committee will meet at least four times per year, including a special meeting to review the Warren Shire Council's Financial Statements.

The Committee can hold additional meetings when significant unexpected issues arise, or if the Chairperson is asked to hold an additional meeting by a Committee Member, the General Manager or the Governing Body.

Committee meetings can be held in person, by telephone or videoconference (virtual). Where possible most meetings will be held virtually. Proxies are not permitted to attend meetings if a Committee Member cannot attend.

A quorum will consist of a majority of independent voting members. Where the vote is tied, the Chairperson has the casting vote.

The Chairperson of the Committee will decide the agenda for each Committee meeting. Each Committee meeting is to be minuted to preserve a record of the issues considered and the actions and decisions taken by the Committee.

The Chairperson, General Manager and the Divisional Manager Finance and Administration should attend Committee meetings as non-voting observers. The External Auditor (or their representative) is to be invited to each Committee meeting as an independent observer. The Chairperson can request the Warren Shire Council's Chief Finance Officer (Divisional Manager Finance & Administration), Work Health and Safety – Risk Co-Ordinator who is responsible for the Risk Management function of Council, other Senior Management Team Members, any Councillors, any employee/contractor of the Council and any subject matter expert to attend Committee meetings. Where requested to attend a meeting, persons must attend the meeting

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where possible and provide any information requested. Observers have no voting rights and can be excluded from a meeting by the Chairperson at any time.

The Committee can hold closed meetings whenever it needs to discuss confidential or sensitive issues with only voting members of the Committee present.

The Committee must meet separately with the Divisional Manager Finance & Administration and the Warren Shire Council's External Auditor at least once each year.

**Dispute Resolution**

Members of the Committee and the Warren Shire Council's management should maintain an effective working relationship and seek to resolve any differences they may have in an amicable and professional way by discussion and negotiation.

In the event of a disagreement between the Committee and the General Manager or other Senior Managers, the dispute is to be resolved by the Governing Body.

Unresolved disputes regarding compliance with statutory or other requirements are to be referred to the Departmental Chief Executive of the Office of Local Government in writing.

**Secretariat**

The General Manager will nominate a staff member to provide secretariat support to the Committee. The secretariat will ensure the agenda for each meeting and supporting papers are circulated after approval from the Chairperson at least one week (where practical) before the meeting and ensure that minutes of meetings are prepared and maintained. Minutes must be approved by the Chairperson and circulated within one week (where practical) of the meeting to each member.

**Resignation and Dismissal of Members**

Where the Chairperson or a Committee Member is unable to complete their term or does not intend to seek reappointment after the expiry of their term, they should give at least three months notice to the Chairperson and the Governing Body prior to their resignation to allow the Warren Shire Council to ensure a smooth transition to a new Chairperson or Committee Member.

The Governing Body can, by resolution, terminate the appointment of the Chairperson or an Independent Committee Member before the expiry of their term where that person has:

- Breached the Council's Code of Conduct;
- Performed unsatisfactorily or not to expectations;
- Declared, or is found to be in, a position of a conflict of interest which is unresolvable ;
- Been declared bankrupt or found to be insolvent;
- Experienced an adverse change in business status;
- Been charged with a serious criminal offence;
- Been proven to be in serious breach of their obligations under any legislation; or
- Experienced an adverse change in capacity or capability.

The position of a Councillor member on the Committee can be terminated at any time by the Governing Body by resolution.

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Warren Shire Council – Terms of Reference for Warren Shire Council Audit, Risk and Improvement Committee

**Review Arrangements**

At least once every Council term, the Governing Body must review or arrange for an external review of the effectiveness of the Committee.

These Terms of Reference must be reviewed annually by the Committee and once each Council term by the Governing Body. Any substantive changes are to be approved by the Governing Body.

**Further Information**

For further information on Warren Shire Council's Audit, Risk and Improvement Committee, contact Council's General Manager on [council@warren.nsw.gov.au](mailto:council@warren.nsw.gov.au) or by phone 02 6847 6600.

Reviewed by the Chairperson of the Audit, Risk and Improvement Committee

[signed]

[date]

Reviewed by Warren Shire Council in accordance with a resolution of the Governing Body.

[signed]

[date]

[resolution reference]

Next review date: [date]



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**Schedule 1 – Audit, Risk and Improvement Committee Responsibilities**

**Audit**

**Internal Audit**

- Provide overall strategic oversight of internal audit activities;
- Act as a forum for communication between the Governing Body, General Manager, Senior Management, the internal audit function and external audit;
- Coordinate, as far as is practicable, the work programs of internal audit and other assurance and review functions;
- Review and advise the Warren Shire Council:
  - On whether the Warren Shire Council is providing the resources necessary to successfully deliver the internal audit function;
  - If the Warren Shire Council is complying with internal audit requirements, including conformance with the International Professional Practices Framework;
  - If the Warren Shire Council's Internal Audit Charter is appropriate and whether the Internal Audit Policies and Procedures and audit/risk methodologies used by the Warren Shire Council are suitable;
  - Of the Strategic Four-year Work Plan and Annual Work Plan of internal audits to be undertaken by the Warren Shire Council's internal audit function;
  - If the Warren Shire Council's internal audit activities are effective, including the performance of the internal audit coordinator and the internal audit function;
  - Of the findings and recommendations of internal audits conducted, and corrective actions needed to address issues raised;
  - Of the implementation by the Warren Shire Council of these corrective actions
  - On the appointment of the Internal Audit Coordinator and external providers; and
  - If the internal audit function is structured appropriately and has sufficient skills and expertise to meet its responsibilities.

**External Audit**

- Act as a forum for communication between the Governing Body, General Manager, Senior Management, the internal audit function and external audit;
- Coordinate as far as is practicable, the work programs of internal audit and external audit;
- Provide input and feedback on the Financial Statement and performance audit coverage proposed by external audit and provide feedback on the audit services provided;
- Review all external plans and reports in respect of planned or completed audits and monitor Council's implementation of audit recommendations; and
- Provide advice to the Governing Body and/or General Manager on action taken on significant issues raised in relevant external audit reports and better practice guides.

**Risk**

**Risk Management**

Review and advise the Warren Shire Council:

- If the Warren Shire Council's has in place a current and appropriate risk management framework that is consistent with the Australian Risk Management Standard;

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INTERNAL AUDIT AND RISK MANAGEMENT FRAMEWORK

CONTINUED

Warren Shire Council – Terms of Reference for Warren Shire Council Audit, Risk and Improvement Committee

- Whether the Warren Shire Council is providing the resources necessary to successfully implement its risk management framework;
- Whether the Warren Shire Council's risk management framework is adequate and effective for identifying and managing the risks the Warren Shire Council faces, including those associated with individual projects, programs and other activities;
- If risk management is integrated across all levels of the Warren Shire Council and across all processes, operations, services, decision-making, functions and reporting;
- Of the adequacy of risk reports and documentation, for example, Warren Shire Council Risk Register and risk profile;
- Whether a sound approach has been followed in developing Risk Management Plans for major projects or undertakings;
- Whether appropriate Policies and Procedures are in place for the management and exercise of delegations;
- If the Warren Shire Council has taken steps to embed a culture which is committed to ethical and lawful behaviour;
- If there is a positive risk culture within the Warren Shire Council and strong leadership that supports effective risk management;
- Of the adequacy of staff training and induction in risk management;
- How the Warren Shire Council's risk management approach impacts on the Warren Shire Council's insurance arrangements;
- Of the effectiveness of the Warren Shire Council's management of its assets; and
- Of the effectiveness of business continuity arrangements, including Business Continuity Plans, Disaster Recovery Plans and the periodic testing of these plans.

**Internal Controls**

Review and advise the Warren Shire Council:

- Whether the Warren Shire Council's approach to maintaining an effective internal audit framework, including over external parties such as contractors and advisors, is sound and effective;
- Whether the Warren Shire Council has in place relevant Policies and Procedures and that these are periodically reviewed and updated;
- Whether appropriate Policies and Procedures are in place for the management and exercise of Delegations;
- Whether staff are informed of their responsibilities and processes and procedures to implement controls are complied with;
- If the Warren Shire Council's monitoring and review of controls is sufficient; and
- If internal and external audit recommendations to correct internal control weaknesses are implemented appropriately.

**Compliance**

Review and advise the Warren Shire Council of the adequacy and effectiveness of the Warren Shire Council's compliance framework, including:

- If the Warren Shire Council has appropriately considered legal and compliance risks as part of the Warren Shire Council's risk management framework;
- How the Warren Shire Council manages its compliance with applicable Laws, Regulations, Policies, Procedures, Codes, and contractual arrangements; and
- Whether appropriate processes are in place to assess compliance.

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INTERNAL AUDIT AND RISK MANAGEMENT FRAMEWORK

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Warren Shire Council – Terms of Reference for Warren Shire Council Audit, Risk and Improvement Committee

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**Fraud and Corruption**

Review and advise the Warren Shire Council of the adequacy and effectiveness of the Warren Shire Council's fraud and corruption prevention framework and activities, including whether the Warren Shire Council has appropriate processes and systems in place to capture and effectively investigate fraud-related information.

**Financial Management**

Review and advise the Warren Shire Council:

- If the Warren Shire Council is complying with accounting standards and external accountability requirements;
- Of the appropriateness of the Warren Shire Council's accounting Policies and Disclosures;
- Of the implications for the Warren Shire Council of the findings of external audits and performance audits and the Warren Shire Council's responses and implementation of recommendations;
- Whether the Warren Shire Council's financial statement preparation procedures and timelines are sound;
- The accuracy of the Warren Shire Council's annual Financial Statements prior to external audit, including:
  - Management compliance/representations;
  - Significant accounting and reporting issues;
  - The methods used by the Warren Shire Council to account for significant or unusual transactions and areas of significant estimates or judgements;
  - Appropriate management signoff on the Statements;
- If effective processes are in place to ensure financial information included in the Warren Shire Council's Annual Report is consistent with signed financial statements;
- If the Warren Shire Council's financial management processes are adequate;
- The adequacy of Cash Management Policies and Procedures;
- If there are adequate controls over financial processes, for example:
  - Appropriate authorisation and approval of payments and transactions;
  - Adequate segregation of duties;
  - Timely reconciliation of accounts and balances; and
  - Review of unusual and high value purchases.
- If Policies and Procedures for management review and consideration of the financial position and performance of the Warren Shire Council are adequate; and
- If the Warren Shire Council's grants and tied funding Policies and Procedures are sound.

**Governance**

Review and advise the Warren Shire Council regarding its governance framework, including the Warren Shire Council's:

- Decision-making processes;
- Implementation of governance Policies and Procedures;
- Reporting lines and accountability;
- Assignment of key roles and responsibilities;
- Committee structure;
- Management oversight responsibilities;
- Human resources and performance management activities;
- Reporting and communication activities;

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Warren Shire Council – Terms of Reference for Warren Shire Council Audit, Risk and Improvement Committee

- Information and communications technology (ICT) governance; and
- Management and governance of the use of data, information and knowledge.

### Improvement

#### Strategic Planning

Review and advise the Warren Shire Council:

- Of the adequacy and effectiveness of the Warren Shire Council's Integrated, Planning and Reporting (IP&R) processes;
- Of appropriate reporting and monitoring mechanisms are in place to measure progress against objectives; and
- Whether the Warren Shire Council is successfully implementing and achieving its IP&R objectives and strategies.

#### Service Reviews and Business Improvement

- Act as a forum for communication and monitoring of any audits conducted by external bodies and the implementation of corrective actions (for example, NSW Government Agencies, Commonwealth Government Agencies, Insurance Bodies);
- Review and advise the Warren Shire Council:
  - If the Warren Shire Council has robust systems to set objectives and goals to determine and deliver appropriate levels of service to the community and business performance;
  - If appropriate reporting and monitoring mechanisms are in place to measure service delivery to the community and overall performance; and
  - How the Warren Shire Council can improve its service delivery and Warren Shire Council's performance of its business and functions generally.

#### Performance Data and Measurement

Review and advise the Warren Shire Council:

- If the Warren Shire Council has a robust system to determine appropriate performance indicators to measure the achievement of its strategic objectives;
- If the performance indicators the Warren Shire Council uses are effective; and
- Of the adequacy of performance data collection and reporting.

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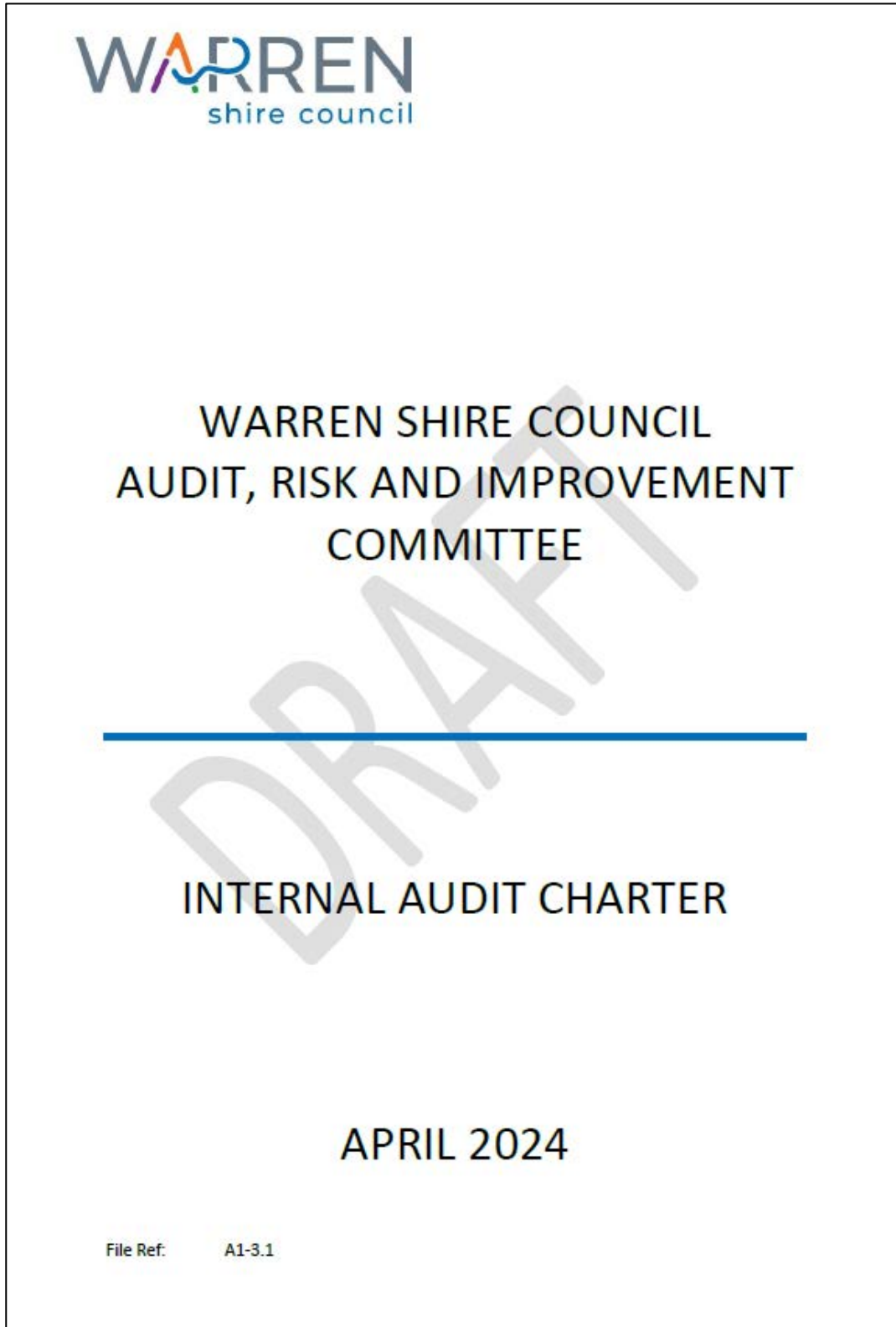
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INTERNAL AUDIT AND RISK MANAGEMENT FRAMEWORK

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**Attachment 5** - Internal Audit Charter for Warren Shire Council



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*Internal Audit Charter for Warren Shire Council*

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Warren Shire Council has established the internal audit function as a key component of the Warren Shire Council governance and assurance framework, in compliance with the *Local Government (General) Regulation 2021* and the Office of Local Government's *Guidelines for Risk Management and Internal Audit for Local Government in NSW*. This charter provides the framework for the conduct of the internal audit function in the Warren Shire Council and has been approved by the governing body taking into account the advice of the Warren Shire Council Audit, Risk and Improvement Committee.

#### **Purpose of Internal Audit**

Internal audit is an independent, objective assurance and consulting activity designed to add value and improve the Warren Shire Council's operations. It helps the Warren Shire Council accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control and governance processes<sup>1</sup>.

Internal audit provides an independent and objective review and advisory service to provide advice to the governing body, General Manager and Audit, Risk and Improvement Committee about the Warren Shire Council's governance processes, risk management and control frameworks and its external accountability obligations. It also assists the Warren Shire Council to improve its business performance.

#### **Independence**

Warren Shire Council internal audit function is to be independent of the Warren Shire Council so it can provide an unbiased assessment of the Warren Shire Council's operations and risk and control activities.

The internal audit function reports functionally to the Warren Shire Council's Audit, Risk and Improvement Committee on the results of completed audits, and for strategic direction and accountability purposes, and reports administratively to the General Manager to facilitate day-to-day operations. Internal audit activities are not subject to direction by the Warren Shire Council and Warren Shire Council's management has no role in the exercise of the Warren Shire Council's internal audit activities.

The Audit, Risk and Improvement Committee is responsible for communicating any internal audit issues or information to the governing body. Should the governing body require additional information, a request for the information may be made to the Chairperson by resolution. The Chairperson is only required to provide the information requested by the governing body where the Chairperson is satisfied that it is reasonably necessary for the governing body to receive the information for the purposes of performing its functions under the Local Government Act. Individual Councillors are not entitled to request or receive information from the Committee.

The General Manager must consult with the Chairperson of the Warren Shire Council's Audit, Risk and Improvement Committee before appointing or making decisions affecting the employment of the Divisional Manager Finance and Administration (Chief Financial Officer).

Where the Chairperson of the Warren Shire Council's Audit, Risk and Improvement Committee has any concerns about the treatment of the Divisional Manager Finance and Administration,

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<sup>1</sup> As defined by the International Standards for the Professional Practice of Internal Auditing (2017)

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Internal Audit Charter for Warren Shire Council

or any action taken that may compromise their ability to undertake their functions independently, they can report their concerns to the governing body.

The Divisional Manager Finance and Administration is to confirm at least annually to the Audit, Risk and Improvement Committee the independence of internal audit activities from the Warren Shire Council.

### Authority

Warren Shire Council authorises the internal audit function to have full, free and unrestricted access to all functions, premises, assets, personnel, records and other documentation and information that the Divisional Manager Finance and Administration considers necessary for the internal audit function to undertake its responsibilities.

All records, documentation and information accessed while undertaking internal audit activities are to be used solely for the conduct of those activities. The Divisional Manager Finance and Administration and individual internal audit staff are responsible and accountable for maintaining the confidentiality of the information they receive when undertaking their work.

All internal audit documentation is to remain the property of Warren Shire Council, including where internal audit services are performed by an external third-party provider.

Information and documents pertaining to the internal audit function are not to be made publicly available. The internal audit function may only release Warren Shire Council information to external parties that are assisting the internal audit function to undertake its responsibilities with the approval of the General Manager, except where it is being provided to an external investigative or oversight agency for the purpose of informing that agency of a matter that may warrant its attention.

### Role

The internal audit function is to support the Warren Shire Council's Audit, Risk and Improvement Committee to review and provide independent advice to the Warren Shire Council in accordance with section 428A of the *Local Government Act 1993*. This includes conducting internal audits of Warren Shire Council and monitoring the implementation of corrective actions.

The internal audit function is to also play an active role in:

- Developing and maintaining a culture of accountability and integrity;
- Facilitating the integration of risk management into day-to-day business activities and processes; and
- Promoting a culture of high ethical standards.

Internal audit function has no direct authority or responsibility for the activities it reviews. Internal audit function has no responsibility for developing or implementing procedures or systems and does not prepare records or engage in Warren Shire Council functions or activities (except in carrying out its own functions).

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INTERNAL AUDIT AND RISK MANAGEMENT FRAMEWORK

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Internal Audit Charter for Warren Shire Council

In-house internal audit function

Warren Shire Council's internal audit function is to be led by a member of Warren Shire Council's staff with sufficient skills, knowledge and experience to ensure it fulfils its role and responsibilities to the Warren Shire Council and the Audit, Risk and Improvement Committee. The Divisional Manager Finance and Administration must be independent, impartial, unbiased and objective when performing their work and free from any conflicts of interest.

Responsibilities of the Divisional Manager Finance and Administration include:

- Managing the day-to-day activities of the internal audit function;
- Managing the Warren Shire Council's internal audit budget
- Supporting the operation of the Warren Shire Council's audit, risk and improvement committee
- Approving internal audit project plans, conducting or supervising audits and assessments and providing independent advice to the audit, risk and improvement committee
- Monitoring the Warren Shire Council's implementation of corrective actions that arise from the findings of audits
- Implementing the audit, risk and improvement committee's annual work plan and four-year strategic work plan
- Ensuring the Warren Shire Council's internal audit activities comply with the Office of Local Government's *Guidelines for risk management and internal audit for local government in NSW*, and
- Contract management and oversight of supplementary external providers (where appropriate).

Out-Sourced Internal Audit Team

Warren Shire Council is to contract an external third-party provider to undertake its internal audit activities. To ensure the independence of the external provider, the Divisional Manager Finance and Administration is to ensure the external provider:

- Does not conduct any audits on specific Warren Shire Council operations or areas that they have worked on within the last two years;
- Is not the same provider conducting the Warren Shire Council's external audit;
- Is not the auditor of any contractors of the Warren Shire Council that may be subject to the internal audit; and
- Can satisfy the requirements of the Office of Local Government's *Guidelines for Risk Management and Internal Audit for Local Government in NSW*.

The Divisional Manager Finance and Administration must consult with the Audit, Risk and Improvement Committee and General Manager regarding the appropriateness of the skills, knowledge and experience of any external provider before they are engaged by the Warren Shire Council.

**Performing internal audit activities**

The work of the internal audit function is to be thoroughly planned and executed. The Warren Shire Council's Audit, Risk and Improvement Committee must develop a Strategic Work Plan every four years to ensure that the matters listed in Schedule 1 are reviewed by the Committee and considered by the internal audit function when developing their risk-based program of

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INTERNAL AUDIT AND RISK MANAGEMENT FRAMEWORK

CONTINUED

*Internal Audit Charter for Warren Shire Council*

internal audits. The Strategic Work Plan must be reviewed at least annually to ensure it remains appropriate.

The Committee must also develop an Annual Work Plan to guide the work of the internal audit function over the forward year.

All internal audit activities are to be performed in a manner that is consistent with relevant professional standards including the International Standards for the Professional Practice of Internal Auditing issued by the Institute of Internal Auditors and current Australian risk management standard.

The Divisional Manager Finance and Administration is to provide the findings and recommendations of internal audits to the Audit, Risk and Improvement Committee at the end of each audit. Each report is to include a response from the Senior Management Team.

The Divisional Manager Finance and Administration is to establish an ongoing monitoring system to follow up Warren Shire Council's progress in implementing corrective actions.

The General Manager, in consultation with the Audit, Risk and Improvement Committee, is to develop and maintain Policies and Procedures to guide the operation of the Warren Shire Council internal audit function.

The Divisional Manager Finance and Administration is to ensure that the Audit, Risk and Improvement Committee is advised at each of the Committee's meetings of the internal audit activities completed during that quarter, progress in implementing the annual work plan and progress made implementing corrective actions.

### **Conduct**

Internal audit personnel must comply with the Warren Shire Council's Code of Conduct. Complaints about breaches of Warren Shire Council Code of Conduct by internal audit personnel are to be dealt with in accordance with the *Warren Shire Council Procedures for the Administration of the Code of Conduct for Local Councils in NSW*. The General Manager must consult with the Warren Shire Council's Audit, Risk and Improvement Committee before any disciplinary action is taken against the Divisional Manager Finance and Administration in response to a breach of the Warren Shire Council's Code of Conduct.

Internal Auditors must also comply with the Code of Ethics for the Professional Practice of Internal Auditing issued by the Institute of Internal Auditors.

### **Administrative Arrangements**

#### **Audit, Risk and Improvement Committee Meetings**

The Divisional Manager Finance and Administration will attend Audit, Risk And Improvement Committee meetings as an independent non-voting observer. The Divisional Manager Finance and Administration can be excluded from meetings by the Committee at any time.

The Divisional Manager Finance and Administration must meet separately with the Audit, Risk and Improvement Committee at least once per year.

The Divisional Manager Finance and Administration can meet with the Chairperson of the Audit, Risk and Improvement Committee at any time, as necessary, between Committee meetings.

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Internal Audit Charter for Warren Shire Council

**External Audit**

Internal and external audit activities will be coordinated to help ensure the adequacy of overall audit coverage and to minimise duplication of effort.

Periodic meetings and contact between internal and external audit shall be held to discuss matters of mutual interest and to facilitate coordination.

External audit will have full and free access to all internal audit plans, working papers and reports.

**Dispute Resolution**

The internal audit function should maintain an effective working relationship with the Warren Shire Council and the Audit, Risk and Improvement Committee and seek to resolve any differences they may have in an amicable and professional way by discussion and negotiation.

In the event of a disagreement between the internal audit function and the Warren Shire Council, the dispute is to be resolved by the General Manager and/or the Audit, Risk and Improvement Committee. Disputes between the internal audit function and the Audit, Risk and Improvement Committee are to be resolved by the Governing Body.

Unresolved disputes regarding compliance with statutory or other requirements are to be referred to the Departmental Chief Executive of the Office of Local Government in writing.

**Review Arrangements**

The Warren Shire Council's Audit, Risk and Improvement Committee must review the performance of the internal audit function each year and report its findings to the Governing Body. A strategic review of the performance of the internal audit function must be conducted each council term that considers the views of an external party with a strong knowledge of internal audit and reported to the Governing Body.

This Charter is to be reviewed annually by the Committee and once each Council term by the Governing Body. Any substantive changes are to be approved by the Governing Body.

**Further information**

For further information on Warren Shire Council's internal audit activities, contact Council's General Manager on [council@warren.nsw.gov.au](mailto:council@warren.nsw.gov.au) or by phone 02 6847 6600.

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Internal Audit Charter for Warren Shire Council

Reviewed by the Divisional Manager Finance and Administration

[sign and date]

Reviewed by the Chairperson of Warren Shire Council's Audit, Risk and Improvement Committee

[sign and date]

Reviewed by General Manager.

[sign and date]

Reviewed by Warren Shire Council in accordance with a resolution of the Governing Body.

[sign and date]

[resolution reference]

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Internal Audit Charter for Warren Shire Council

**Schedule 1 – internal audit function responsibilities**

**Audit**

**Internal Audit**

- Conduct internal audits as directed by the Warren Shire Council's Audit, Risk and Improvement Committee;
- Implement the Warren Shire Council's Annual and Four-year Strategic Internal Audit Work Plans;
- Monitor the implementation by the Warren Shire Council of corrective actions;
- Assist the Warren Shire Council to develop and maintain a culture of accountability and integrity;
- Facilitate the integration of risk management into day-to-day business activities and processes; and
- Promote a culture of high ethical standards.

**External Audit**

- Provide input and feedback on the financial statement and performance audit coverage proposed by external audit and provide feedback on the audit services provided;
- Review all external plans and reports in respect of planned or completed audits and monitor the Warren Shire Council's implementation of audit recommendations; and
- Provide advice on action taken on significant issues raised in relevant external audit reports and better practice guides.

**Risk**

**Risk Management**

Review and advise:

- If the Warren Shire Council's has in place a current and appropriate risk management framework that is consistent with the Australian risk management standard;
- Whether the Warren Shire Council's risk management framework is adequate and effective for identifying and managing the risks the Warren Shire Council faces, including those associated with individual projects, programs and other activities;
- If risk management is integrated across all levels of the Warren Shire Council and across all processes, operations, services, decision-making, functions and reporting;
- Of the adequacy of risk reports and documentation, for example, the Warren Shire Council's Risk Register and risk profile;
- Whether a sound approach has been followed in developing Risk Management Plans for major projects or undertakings;
- Whether appropriate policies and procedures are in place for the management and exercise of delegations;
- If the Warren Shire Council has taken steps to embed a culture which is committed to ethical and lawful behaviour;
- If there is a positive risk culture within the Warren Shire Council and strong leadership that supports effective risk management;
- Of the adequacy of staff training and induction in risk management;
- How the Warren Shire Council's risk management approach impacts on the Warren Shire Council's insurance arrangements;

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- Of the effectiveness of the Warren Shire Council's management of its assets; and
- Of the effectiveness of business continuity arrangements, including Business Continuity Plans, Disaster Recovery Plans and the periodic testing of these plans.

**Internal controls**

Review and advise:

- Whether the Warren Shire Council's approach to maintaining an effective internal audit framework, including over external parties such as contractors and advisors, is sound and effective;
- Whether the Warren Shire Council has in place relevant Policies and Procedures and that these are periodically reviewed and updated;
- Whether appropriate Policies and Procedures are in place for the management and exercise of delegations;
- Whether staff are informed of their responsibilities and processes and procedures to implement controls are complied with;
- If the Warren Shire Council's monitoring and review of controls is sufficient; and
- If internal and external audit recommendations to correct internal control weaknesses are implemented appropriately.

**Compliance**

Review and advise of the adequacy and effectiveness of the Warren Shire Council's compliance framework, including:

- If the Warren Shire Council has appropriately considered legal and compliance risks as part of the Warren Shire Council's risk management framework
- How the Warren Shire Council manages its compliance with applicable laws, regulations, policies, procedures, codes, and contractual arrangements, and
- Whether appropriate processes are in place to assess compliance.

**Fraud and Corruption**

Review and advise of the adequacy and effectiveness of the Warren Shire Council's fraud and corruption prevention framework and activities, including whether the Warren Shire Council has appropriate processes and systems in place to capture and effectively investigate fraud-related information.

**Financial Management**

Review and advise:

- If the Warren Shire Council is complying with accounting standards and external accountability requirements;
- Of the appropriateness of the Warren Shire Council's accounting Policies and Disclosures;
- Of the implications for the Warren Shire Council of the findings of external audits and performance audits and the Warren Shire Council's responses and implementation of recommendations;
- Whether the Warren Shire Council's Financial Statement preparation procedures and timelines are sound;
- The accuracy of the Warren Shire Council's Annual Financial Statements prior to external audit, including:
  - Management compliance/representations;
  - Significant accounting and reporting issues;

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- The methods used by the Warren Shire Council to account for significant or unusual transactions and areas of significant estimates or judgements; and
- Appropriate management signoff on the statements.
- If effective processes are in place to ensure financial information included in the Warren Shire Council's report is consistent with signed Financial Statements;
- If the Warren Shire Council's financial management processes are adequate;
- The adequacy of Cash Management Policies and Procedures;
- If there are adequate controls over financial processes, for example:
  - Appropriate authorisation and approval of payments and transactions;
  - Adequate segregation of duties;
  - Timely reconciliation of accounts and balances; and
  - Review of unusual and high value purchases.
- If Policies and Procedures for management review and consideration of the financial position and performance of the Warren Shire Council are adequate; and
- If the Warren Shire Council's grants and tied funding Policies and Procedures are sound.

**Governance**

Review and advise of the adequacy of the Warren Shire Council governance framework, including the Warren Shire Council's:

- Decision-making processes;
- Implementation of Governance Policies and Procedures;
- Reporting lines and accountability;
- Assignment of key roles and responsibilities;
- Committee structure;
- Management oversight responsibilities;
- Human resources and performance management activities;
- Reporting and communication activities;
- Information and communications technology (ICT) governance; and
- Management and governance of the use of data, information and knowledge.

**Improvement**

**Strategic Planning**

Review and advise:

- Of the adequacy and effectiveness of the Warren Shire Council's Integrated, Planning and Reporting (IP&R) processes;
- If appropriate reporting and monitoring mechanisms are in place to measure progress against objectives; and
- Whether the Warren Shire Council is successfully implementing and achieving its IP&R objectives and strategies.

**Service Reviews and Business Improvement**

Review and advise:

- If the Warren Shire Council has robust systems to set objectives and goals to determine and deliver appropriate levels of service to the community and business performance;
- If appropriate reporting and monitoring mechanisms are in place to measure service delivery to the community and overall performance; and

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Internal Audit Charter for Warren Shire Council

- How the Warren Shire Council can improve its service delivery and the Warren Shire Council's performance of its business and functions generally.

**Performance Data and Measurement**

Review and advise:

- If the Warren Shire Council has a robust system to determine appropriate performance indicators to measure the achievement of its strategic objectives;
- If the performance indicators the Warren Shire Council uses are effective; and
- Of the adequacy of performance data collection and reporting.

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**ITEM 5                      DRAFT 2024/2025 OPERATIONAL PLAN**

**(A4-4.1/1)**

**RECOMMENDATION:**

That Council advertise the Draft 2024/2025 Operational Plan in conjunction with the Draft 2024/2025 Estimates inviting written public submissions and comments up until 4.00 pm Thursday 30th May, 2024.

**PURPOSE**

To seek Council endorsement to advertise the Draft 2024/2025 Operational Plan in conjunction with the Draft 2024/2025 Estimates inviting written public submissions and comments up until 4.00 pm Thursday 30th May 2024.

**BACKGROUND**

Section 405 of the Local Government Act 1993 (as amended) requires Council to prepare an Operational Plan each year. Prior to adoption of the Plan, Council must give a period of not less than 28 days inviting written public submissions and comment on the Plan.

**REPORT**

Included with the April 2024 Council Meeting Business Paper is a copy of the Draft 2024/2025 Operational Plan and Draft 2024/2025 Estimates that were presented to the Councillor and Senior Management Team Workshop on Wednesday 17th April, 2024 for information, comment and any amendments.

The Draft 2024/2025 Estimates will be subject to a separate report to the April 2024 Council Meeting by the Divisional Manager Finance and Administration.

2024/2025 and into 2025/2026 is expected to be an extremely busy year with a great deal of capital improvement works to be completed or commenced together with a large flood restoration program (up to \$11 million) on Council's road network and other programs/projects, at least as follows:

- Bushfire Hazard Reduction - \$326,500;
- Administration – ICT Strategic Plan Program that includes managed services and new financial services software - \$157,000;
- Warren Street Christmas Party 2024 - \$66,000;
- Website Creation for Discover Warren - \$12,000;
- Warren Sporting & Cultural Complex – Gym Equipment Renewals - \$7,500;
- Stoney Creek/Reddenville Break - Signage Disaster Readiness Grant - \$53,000;
- Urban Roads – Bitumen Resealing - \$210,000;
- Urban Roads – Gravel Resheeting - \$15,750;
- Rural Roads – Bitumen Resealing - \$1,100,000;
- Rural Roads – Gravel Resheeting - \$430,500;
- Regional Roads – Bitumen Resealing - \$290,000;
- Regional Roads – Recycling - \$450,000;



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**ITEM 5**

**DRAFT 2024/2025 OPERATIONAL PLAN**

**CONTINUED**

- Regional Emergency Roads Repair Program Local Roads - Industrial Access Roads, Urban Reseals and Shire Roads Reseals - \$716,060;
- Regional Emergency Roads Repair Program Regional Roads – Carinda Road, Warren Road - \$1,711,577;
- Carter Oval Youth Sports Precinct/Depot Electrical Upgrade - \$122,375;
- Warren Tennis Court Light Poles Refurbishment - \$10,000;
- Animal Shelter Replacement - \$140,000 to be carried over;
- Plant Replacement 2024/2025 (Net Purchase Cost) - \$868,000 (estimated);
- Regional and Local Roads Repair Program (Industrial Access Road / Old Warren Road Intersection Reconstruction - \$266,000 estimated, carried over;
- Warren Medical Centre Cabinetry Improvement/Replacement Works - \$24,200;
- RR7515 (Warren Road) Newe Park Bridge and Tenandra Bridge Replacement - \$4,262,000 estimated, mostly carried over;
- September 2022 AGRN 1034 Flood and Storm Damage Essential Public Asset Reconstruction Work Shire and Regional Roads - \$10,900,000 (estimated over 2 years);
- September 2022 AGRN 1034 Flood and Storm Damage Essential Public Asset Reconstruction Work Ewenmar Waste Depot Access Road Restoration - \$220,500;
- Stronger Country Communities Fund Round 5 and Infrastructure Reserves Upgrading of Amenities, Change Rooms, Canteen and Club Room Facilities at the Warren War Memorial Swimming Pool - \$1,200,000 most carried over;
- Warren Town Levee Upgrading - \$6,617,000, most carried over;
- NSW Severe Weather and Flood Grant for ARGN 1025 Macquarie Park Restoration - \$112,500;
- Office of Sport – Female Friendly Community Sports Facilities and Lighting Upgrade Grant Program Victoria Park Precinct New Female Amenities - \$475,000 most carried over;
- CCTV and Smoke Testing of Sewer Mains at Warren and Nevertire - \$200,000 carried over;
- Local Roads and Community Infrastructure Program – Phase 4 – approximately \$400,000 carried over;
- Warren Lawn Cemetery Improvements approximately - \$64,000 including carry overs;
- Warren Sewerage Treatment Plant Project Finalisation, including new pond - \$867,000 carried over;
- Sewerage Pump Station Hatch Covers - \$99,750 most carried over;
- Thornton Avenue Sewerage Pump Station Refurbishment - \$107,000 most carried over;
- Water Valve Replacement Program - \$100,000;
- Water Supply Pump Station Motor Control Centre Replacement - \$75,000;
- Water Supply Pump Station Valve Chambers Refurbishment - \$10,000;
- Gunningba Estate Stage 3 Development - \$424,000, subject to land sales or grant;
- Gillendoon Street Pump Station and STP Restoration - \$125,000;
- Warren Airport Exclusion Fencing - \$139,000, subject to grants;
- Warren Airport Improvement Works - \$50,000, subject to grants;

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**ITEM 5**

**DRAFT 2024/2025 OPERATIONAL PLAN**

**CONTINUED**

- Warren Parks Fencing Replacement - \$53,000;
- Preparation of Discover Warren and for Discover Macquarie Marshes Website and Social Media Program - \$12,000;
- Strategic Planning / Integrated Water Cycle Management Plan - \$1,015,000 subject to a grant;
- Street Lighting Improvement - \$11,662 most carried over; and
- Warren Showground/Racecourse Drought Proof Irrigation/Fencing Project - \$272,727, carry over and subject to further grants.

Included in the budget are various allocations towards maintenance works to be undertaken in the areas of town services (parks, gardens, water and sewerage), in the roads area and for other Council assets.

Having such a sizeable capital improvement budget together with Council's normal maintenance program and expected flood restoration program will necessitate the employment of both extra management and operational resources to ensure works and programs are efficiently, safely and effectively facilitated together with other members of Council's Management Executive Team.

Where possible, an increased operational staff level (both permanent and temporary) will also be used to undertake most works in house in conjunction with extra contracted works (local and tendered projects where special expertise is required).

Major grants to be sought include Warren Bore Water Storage Increase, Warren CBD Upgrade, Heavy Vehicle Safety and Productivity Program and Bridges Renewal Program.

Currently, no loans are required for the 2024/2025 however, this may change for a required increased bore water storage in Warren. Alternatively, a loan most probably will be proposed in the 2025/2026 Operational Plan & Estimates to fund increased bore water storage in Warren, if grant funds are not forthcoming.

An appropriate allocation (\$60,000) has also been provided for what is necessary with the new Audit, Risk and Improvement Committee (ARIC).

An appropriate charge of \$10.00 per assessment for farmland rates has been included for rural access to the Ewenmar Waste Depot.

**Operational Plan Legislative Requirements and Compliance**

|                         |  |   |
|-------------------------|--|---|
| <b>Operational Plan</b> | Identify projects, programs or activities that Council will undertake within the financial year towards addressing actions in the Delivery Program | The actions in this document include actions planned for the 2023/2024 financial year |
|                         | Allocate responsibilities for each project, program or activity and measures to determine effectiveness  | The actions in this document include responsibilities and measurements                |
|                         | Include the Statement of Revenue Policy  | The actions in this document include responsibilities and measurements                |

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**ITEM 5**

**DRAFT 2024/2025 OPERATIONAL PLAN**

**CONTINUED**

|  |   |   |
|--|---|---|
|  | <p>Include provisions relating to the content of Council’s annual statement of Revenue Policy:</p> <ul style="list-style-type: none"> <li>• Estimated income and expenditure</li> <li>• Ordinary rates and special rates</li> <li>• Proposed fees and charges</li> <li>• Council’s proposed pricing methodology</li> <li>• Proposed borrowings</li> </ul> | <p>The actions in this document include responsibilities and measurements</p> |
|--|---|---|

Unfortunately at the time of formulating the Draft 2024/2025 Operational Plan and Estimates, the Office of Local Government (OLG) was yet to provide advice on the maximum interest rate payable on overdue rates and charges for 2024/2025, the section 603 certificate fee for 2024/2025 or the statutory limit on the maximum amount of minimum rates for 2024/2025 for commencement on 1st July 2024.

Accordingly, the interest rate and section 603 certificate fee has been marked to be amended when the advice is provided and will hopefully be finalised when Council adopts the Draft 2024/2025 Operational Plan and Estimates at the June 2024 Council Meeting.

There are no concerns in regard to the maximum minimum rate as Council’s minimum rate is low.

The Operational Plan Actions are addressed under the following categories:

1. **Social** (coloured Yellow)
2. **Economic** (coloured Grey)
3. **Infrastructure** (coloured Red)
4. **Environmental** (coloured Green)
5. **Governance** (coloured Blue)

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**ITEM 5                      DRAFT 2024/2025 OPERATIONAL PLAN**

**CONTINUED**

Each of these categories outlines a summary of the community views as outlined in the Community Strategic Plan “Warren Shire 2035”.

**FINANCIAL AND RESOURCE IMPLICATIONS**

Under the Integrated Planning and Reporting process, Council prepares a rolling Long Term Financial Plan. From this Plan, Council prepares a single year Financial Plan from its Delivery Program to identify its day to day operational needs and to determine future capital and maintenance works across all the service areas of Council.

The Draft 2024/2025 Operational Plan and Estimates importantly has included the additional costs that will come about with the increased or redeveloped assets that have been starting to come on line over the past 12 months or will soon come on line such as:

- Lions Park toilet amenities;
- Warren CBD toilet amenities;
- Victoria Park and Oval toilet and changeroom amenities;
- Other toilet amenities;
- Carter Oval Youth Sports Precinct Development;
- Window on the Wetlands Centre Precinct (Visitor Information Centre/toilet amenities);
- Warren Showground/Racecourse Equestrian Arena; and
- Warren Airport Terminal building amenities.

These additional costs are now financially affecting budgets and will need to be monitored to determine if extra ways of funding maintenance is required in the near future to ensure services are not needed to be reduced in other areas of the budget.

Where possible, use of Council’s Internal Restricted Funds has been undertaken to reduce any impact on the overall budget.

**LEGAL IMPLICATIONS**

Section 405 Local Government Act 1993 (as amended).

**RISK IMPLICATIONS**

Nil, unless the Draft 2024/2025 Operational Plan is not complete and adopted by Council by 1st July 2024.

**STAKEHOLDER CONSULTATION**

This report is provided to commence the appropriate consultation process by advertising the Draft 2024/2025 Operational Plan in conjunction with the Draft 2024/2025 Estimates inviting written public submissions and comments up until 4.00 pm Thursday, 30th May 2024.

**OPTIONS**

Nil as the Draft Operational Plan must be progressed.

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**ITEM 5                    DRAFT 2024/2025 OPERATIONAL PLAN**

**CONTINUED**

**CONCLUSION**

This report is provided to recommend to Council the advertising of the Draft 2024/2025 Operational Plan in conjunction with the Draft 2024/2025 Estimates prior to adoption at the June 2024 Council Meeting.

**LINK TO POLICY AND / OR COMMUNITY STRATEGIC PLAN**

- 5.2.3    Seek new sources of income for Council;
- 5.3.2    Create a productive and cooperative working environment for Councillors to support their governance responsibilities. (Provide timely, accurate and relevant reporting and information to Councillors to enable informed decision making); and
- 5.4.3    Actively seek external support (financial and in-kind) from Government, alliance partners, the community and philanthropists to support the provision of new services and amenities for the community.

**SUPPORTING INFORMATION /ATTACHMENTS**

Draft 2024/2025 Operational Plan (under separate cover).































**WARREN SHIRE COUNCIL**  
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ITEM 6

**RURAL FIRE SERVICE (RFS) WARREN CENTRAL BRIGADE SHED DEVELOPMENT  
AND LAND USE REPORT**


**CONTINUED**

**WARREN SHIRE COUNCIL**  
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ITEM 6      LAND ALLOCATION FOR NSW RURAL FIRE SERVICE – NEW STATION FOR CENTRAL  
WARREN BRIGADE      CONTINUED

**Attachment 1: RFS letter 1st March 2021 – Land allocation for NSW RFS – New Station for  
Central Warren Brigade**



**NSW RURAL FIRE SERVICE**



---

Mr Stephen Glen  
Interim General Manager Warren Shire Council  
PO Box 6  
WARREN NSW 2824

Our reference 12803  
  
1 March 2021

Dear Stephen,

**Land Allocation for NSW Rural Fire Service – New Station for Central Warren Brigade**

As per our recent discussion on Friday 26/3/21 I am formally writing to Council seeking written confirmation and support for a new brigade Station for the Central Warren Brigade.

The current station is a shared facility with SES and is now considered no longer suitable for the brigade operations. This is primarily due to the fact that the brigade has out grown the space available with the advancement in equipment and vehicle now available to the brigade. There are also a number of Work Health and Safety matters that require ongoing attention such as the operation of the large sliding manual doors. The NSW Rural Fire Service (RFS) has provided seed funding to commence works on the development of a new Station for the Central Warren Brigade during 2021 with additional funding being bid for to complete a new Station to be built during the 21/22 financial year.

However before any works can proceed confirmation of Council Commitment and support for the project is required along with acknowledgement that the Station can be built on the following block of Council owned land.

- DPT46572 Lot 10 located on land adjacent to the Warren Airport. (Map/photo attached)

This site has been identified as the preferred site based on an extensive search and discussion with the local Central Warren Rural Fire Brigade and the local district. Support has been endorsed by the Central Warren brigade for this site. We understand the preferred option was within the town, however the NSW RFS appreciates and supports Council support and the provision of land at the Warren Airport.

A new Station at the Airport site provides options to link the Brigade with other assets such as the work that has already occurred to support the advancement in aviation support for firefighting operations. The plan will include building a facility that will serve the community well into the future considering current and future operational requirements within Warren and the surrounding area. Land around the new site could also be used for Brigade training and enhance community engagement. There is a real need to grow the membership of the Central Warren Rural Fire Brigade and a new facility in a new location will go a long way to help fill the profile of the brigade and links to local industry within the area.

---

Postal address  
NSW Rural Fire Service  
PO Box 370  
COONAMBLE NSW 2809

Street address  
NSW Rural Fire Service  
Lot 3 Buckley Drive  
COONAMBLE NSW 2809

www.rfs.nsw.gov.au  
T (02) 5822 4422  
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E gnd.motofrfs@rfs.nsw.gov.au

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**ITEM 6 RURAL FIRE SERVICE (RFS) WARREN CENTRAL BRIGADE SHED DEVELOPMENT AND LAND USE REPORT CONTINUED**

**WARREN SHIRE COUNCIL**  
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**ITEM 6 LAND ALLOCATION FOR NSW RURAL FIRE SERVICE – NEW STATION FOR CENTRAL WARREN BRIGADE CONTINUED**

PRELIMINARY PROJECT PLAN RFS Central Warren Headquarters



**INTRODUCTION**

NSW Rural Fire Service North West Zone and Bogan District (Client) has engaged Lyons Advantage to provide project advice and management for a new headquarters for the Central Warren Rural Fire Service brigade located at Warren Airport.

The focus of this Preliminary Project Plan is to outline the likely project costs. The project has design drawings, specifications and Development Application approval from Warren Shire Council (Council).

\$30,000.00 grant was approved for seed funding to develop the design, carry out site investigations and submit a Development Application.

**METHOD**

**DESIGN AND APPROVAL COSTS**

These costs are based on quoted works from various suppliers. Some of the works have been carried out with the available seed funding.

**CONSTRUCTION WORKS COSTS**

The estimate of construction costs is based on a previous project of the same size and scope for the Coonamble headquarters. The tenders were received for this project in August 2019 and a summary of how this has been applied to this project estimate is below:

| SHED PRICE CALCULATION                                 |                      |
|--|----------------------|
| Based on Coonamble HQ - same layout and specifications |                      |
| Average Tender Price received August 2019              | \$650,000.00         |
| Variations and additional works                        | \$25,150.00          |
| <b>Construction Price 2019</b>                         | <b>\$675,150.00</b>  |
| Building Price Index                                   | 8.08%                |
| Forecast Construction Price June 2021                  | \$729,707.02         |
| Budgeted Allowance for build costs                     | \$730,000.00         |
| Additional works required differing to Coonamble HQ    |                      |
| - Demolition of existing buildings                     | \$30,000.00          |
| - Relocation of CMCC from site                         | \$7,500.00           |
| - Septic Tank  | \$15,000.00          |
| - External Works & Site Hardstand Area                 | \$35,000.00          |
| <b>TOTAL FORECAST BUILDING PRICE IN 2021</b>           | <b>\$817,500.00*</b> |

\*Please note this does not include any escalation costs

All building price indices are sourced from the Rawlinsons Australian Construction Handbook 2021 (Handbook) and its associated quarterly updates.

**ADDITIONAL DEVELOPMENT COSTS**

To indicate the overall development expenses, additional costs have been added to the costs outline above. These are based on available figures, percentages or provisional allowances and are indicative of market value.

Additional costs include:

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**ITEM 6 RURAL FIRE SERVICE (RFS) WARREN CENTRAL BRIGADE SHED DEVELOPMENT AND LAND USE REPORT CONTINUED**

**WARREN SHIRE COUNCIL**  
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**ITEM 6 LAND ALLOCATION FOR NSW RURAL FIRE SERVICE – NEW STATION FOR CENTRAL WARREN BRIGADE CONTINUED**

**PRELIMINARY PROJECT PLAN RFS Central Warren Headquarters**



- Contingency – an allowance for unforeseeable issues and minor changes in scope. 5% has been nominated at this stage of the project. Generally, this would be higher at DA stage but given the known construction methods and structural requirements of the area this amount is suitable.
- Escalation Costs – as noted in the Shed Price Calculation, the building price index over the last two years is much higher than in previous periods. This is due to global shipping issues, Covid-19 and general influx of work into the industry from stimulus packages. An additional 5% is applied to the overall budget to cater for the next 12 month period of potential price increase.

**TOTAL DEVELOPMENT COSTS**

The table below represents the collection of data outline above and the costs to date for the project. Please note that all costs exclude GST.

| Item / Activity / Task                      | Progress | Budget Total \$ Ex GST | Committed \$ Ex Gst | Actuals (Invoiced) \$ Ex GST | Estimate to Complete | Budget Variance |
|---|----------|------------------------|---------------------|------------------------------|----------------------|-----------------|
| <b>DESIGN AND APPROVAL</b>                  |          |                        |                     |                              |                      |                 |
| <b>Project Management fees</b>              |          |                        |                     |                              |                      |                 |
| Design                                      | 100%     | \$6,000.00             | \$6,000.00          | \$6,000.00                   | \$0.00               | \$0.00          |
| Development                                 |          |                        |                     |                              |                      |                 |
| Early Works Package                         | 24%      | \$2,100.00             | \$2,100.00          | \$500.00                     | \$0.00               | \$0.00          |
| Council Approval                            | 100%     | \$2,100.00             | \$2,100.00          | \$2,100.00                   | \$0.00               | \$0.00          |
| Tender Evaluation and contractor engagement | 0%       | \$5,500.00             | \$5,500.00          | \$0.00                       | \$0.00               | \$0.00          |
| Construction and handover                   | 0%       | \$9,000.00             | \$9,000.00          | \$0.00                       | \$0.00               | \$0.00          |
| Completion                                  | 0%       | \$3,000.00             | \$3,000.00          | \$0.00                       | \$0.00               | \$0.00          |
| <b>Consultants</b>                          |          |                        |                     |                              |                      |                 |
| Geotechnical                                | 100%     | \$2,000.00             | \$1,815.00          | \$1,815.00                   | \$0.00               | \$185.00        |
| Survey                                      | 100%     | \$3,000.00             | \$2,654.00          | \$2,654.00                   | \$0.00               | \$346.00        |
| Hygienist                                   | 100%     | \$6,800.00             | \$6,503.00          | \$6,503.00                   | \$0.00               | \$297.00        |
| <b>Certification and approvals</b>          |          |                        |                     |                              |                      |                 |
| Septic Tank                                 | 0%       | \$1,000.00             | \$0.00              | \$0.00                       | \$1,000.00           | \$0.00          |
| DA/CC Council Fees                          | 100%     | \$10,000.00            | \$6,656.00          | \$6,656.00                   | \$0.00               | \$3,344.00      |
| <b>CONSTRUCTION</b>                         |          |                        |                     |                              |                      |                 |
| Demolition of existing buildings            | 0%       | \$30,000.00            | \$0.00              |                              | \$30,000.00          | \$0.00          |
| Relocation of CMCC from site                | 0%       | \$7,500.00             | \$0.00              |                              | \$7,500.00           | \$0.00          |
| <b>Main Building</b>                        |          |                        |                     |                              |                      |                 |
| Shed kit                                    | 0%       | \$90,000.00            | \$0.00              |                              | \$90,000.00          | \$0.00          |

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**ITEM 6 RURAL FIRE SERVICE (RFS) WARREN CENTRAL BRIGADE SHED DEVELOPMENT AND LAND USE REPORT CONTINUED**

**WARREN SHIRE COUNCIL**  
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**ITEM 6 LAND ALLOCATION FOR NSW RURAL FIRE SERVICE – NEW STATION FOR CENTRAL WARREN BRIGADE CONTINUED**

PRELIMINARY PROJECT PLAN RFS Central Warren Headquarters



| Item / Activity / Task                      | Progress    | Budget Total \$ Ex GST | Committed \$ Ex Gst | Actuals (Invoiced) \$ Ex GST | Estimate to Complete | Budget Variance   |
|---|-------------|------------------------|---------------------|------------------------------|----------------------|-------------------|
| Earth works                                 | 0%          | \$30,000.00            | \$0.00              |                              | \$30,000.00          | \$0.00            |
| Slabs and general hardstand                 | 0%          | \$80,000.00            | \$0.00              |                              | \$80,000.00          | \$0.00            |
| Labour and fitout                           | 0%          | \$410,000.00           | \$0.00              |                              | \$410,000.00         | \$0.00            |
| Solar, locks, gates and other miscellaneous | 0%          | \$120,000.00           | \$0.00              |                              | \$120,000.00         | \$0.00            |
| <b>Additional Works</b>                     |             |                        |                     |                              |                      |                   |
| Septic Tank                                 | 0%          | \$15,000.00            | \$0.00              |                              | \$15,000.00          | \$0.00            |
| External Works & Site Hardstand Area        | 0%          | \$35,000.00            | \$0.00              |                              | \$35,000.00          | \$0.00            |
| Signage                                     | 0%          | \$2,000.00             |                     |                              | \$2,000.00           | \$0.00            |
| <b>SUBTOTAL</b>                             | <b>3.0%</b> | <b>\$870,000.00</b>    | <b>\$45,328.00</b>  | <b>\$26,228.00</b>           | <b>\$820,500.00</b>  | <b>\$4,172.00</b> |
| Contingency 5%                              |             | \$43,500.00            |                     |                              | \$43,500.00          | \$0.00            |
| Escalation 5%                               |             | \$45,675.00            |                     |                              | \$45,675.00          | \$0.00            |
| <b>TOTAL</b>                                |             | <b>\$959,175.00</b>    |                     |                              |                      |                   |

**SUMMARY**

Total proposed building development, based on above methodology is an estimated cost of:  
**\$960,000.00 GST Exclusive.**







**WARREN SHIRE COUNCIL**  
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**ITEM 7                    DISCLOSURES OF INTEREST – COUNCILLORS AND DESIGNATED PERSONS**

**(A7-9)**

**RECOMMENDATION:**

That the tabled Disclosures of Interest Returns for Councillors and Designated Persons be received and noted.

**PURPOSE**

Under the Warren Shire Council's Code of Conduct (Code of Conduct) Section 4.21 all Councillors and Designated Persons, must lodge a written return of interest with the General Manager within (3) months after:

- a) Becoming a Councillor or Designated Person:
- b) 30 June of each year: and
- c) The Councillor or Designated Person becoming aware of an interest they are required to disclose under Schedule 1 that has not been previously disclosed in a return lodged under paragraphs (a) or (b).

**BACKGROUND**

Returns of interests are an important accountability mechanism for promoting community confidence in decision making by Councillors and others and for ensuring that they disclose and appropriately manage conflicts of interest they may have in matters dealt with by the Council.

It is important that Councillors and others complete their returns of interests correctly and disclose all relevant interests and provide additional Returns as their circumstances warrant.

**REPORT**

This report is presented to Council in accordance with Council's Code of Conduct requirements and to advise of an updated Disclosures of Interest Return for Councillors and Designated Persons received from Councillor Heather Druce and primary Disclosures of Interest Returns for Councillors and Designated Persons received from Council's Flood Restoration and Special Projects Manager, Mr Raymond Egan and Roads Infrastructure Manager, Mr Mahmud Kaiser.

The General Manager is required to keep a register of returns, and these need to be tabled at the first meeting of the Council after the last day for lodgement.

These returns have been tabled for Council's information and have been uploaded to Council's website with relevant information redacted as determined by the General Manager.

**FINANCIAL AND RESOURCE IMPLICATIONS**

Nil.

**LEGAL IMPLICATIONS**

Code of Conduct Section 4.21.

**RISK IMPLICATIONS**

Nil – the returns have been completed and lodged with the General Manager and will be tabled at the meeting in accordance with legislative requirements.



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**ITEM 7                    DISCLOSURES OF INTEREST – COUNCILLORS AND DESIGNATED PERSONS**  
**CONTINUED**

**STAKEHOLDER CONSULTATION**

Consultation with Councillors and Designated Persons.

**OPTIONS**

This is a requirement of Councillors and Designated Persons.

**CONCLUSION**

In accordance with Council's Code of Conduct, all Councillors and Designated Persons have completed and lodged their returns with the General Manager as required within the appropriate timeframe. The additional Disclosures of Interest Return for Councillors and Designated Persons by Councillor Druce is to inform Council of new information that she has disclosed.

The returns have been uploaded to Council's website with appropriate redaction.

Accordingly, the returns are tabled for Council's information.

**LINK TO POLICY AND / OR COMMUNITY STRATEGIC PLAN**

5.3.2 Create a productive and cooperative working environment for Councillors to support their governance responsibilities. (Provide timely, accurate and relevant reporting and information to Councillors to enable informed decision making).

**SUPPORTING INFORMATION /ATTACHMENTS**

Tabled Disclosures of Interest Returns for Councillors and Designated Persons as submitted by Councillor Druce, Mr Raymond Egan and Mr Mahmud Kaiser.

# WARREN SHIRE COUNCIL

Report of the Divisional Manager of Finance and Administration  
to the Ordinary Meeting of Council to be held in the  
Council Chambers, Warren on Wednesday 25<sup>th</sup> April 2024

ITEM 1 RECONCILIATION CERTIFICATE – MARCH 2024

(B1-10.16)

## RECOMMENDATION:

That the Statements of Bank and Investments Balances as at 31<sup>st</sup> March 2024 be received and noted.

## PURPOSE

To certify that the internal and external cash and investments position of Council is reconciled each month.

## BACKGROUND

Clause 212 of the Local Government (General) Regulation 2021 requires the Responsible Accounting Officer to provide a written report setting out details of all money that the Council has invested under Section 625 of the Local Government Act.

## REPORT

Following is the reconciled internal funds of Council that have been reconciled with the Bank Statements as at 31<sup>st</sup> March 2024.

Council is reviewing the current Investment Policy to allow for more flexibility and future compliance from investing activities on this basis, currently the array of investments held are strictly speaking not compliant with counterparty limits applied. Once the AMP and Judo investments end, Council will be compliant in either case, my professional opinion is that this presents minimal risk to Council with loss of any cash assets or otherwise adverse impact.

## INTERNAL LEDGER ACCOUNT RECONCILIATION

|                         | Balance<br>29-Feb-24 | Transactions      | Balance<br>31-Mar-24 |
|-------------------------|----------------------|-------------------|----------------------|
| General                 | 7,240,331.11         | (233,879.83)      | 7,006,451.28         |
| Water Fund              | 521,980.52           | 85,486.39         | 607,466.91           |
| Sewerage Fund           | 1,775,177.71         | 125,109.44        | 1,900,287.15         |
| North Western Library   | 28,358.55            | 192,387.97        | 220,746.52           |
| Trust Fund              | 88,151.10            | 1,445.58          | 89,596.68            |
| Investment Bank Account | (6,239,488.28)       | 0.00              | (6,239,488.28)       |
|                         | <b>3,414,510.71</b>  | <b>170,549.55</b> | <b>3,585,060.26</b>  |

# WARREN SHIRE COUNCIL

Report of the Divisional Manager of Finance and Administration  
to the Ordinary Meeting of Council to be held in the  
Council Chambers, Warren on Wednesday 25<sup>th</sup> April 2024

ITEM 1

RECONCILIATION CERTIFICATE – MARCH 2024

CONTINUED

## BANK STATEMENT RECONCILIATION

|  |                     |
|--|---------------------|
| <b>Balance as per Bank Statement =</b>                   | <b>3,585,060.26</b> |
| Add: Outstanding Deposits for the Month                  | 0.00                |
| Less: Outstanding Cheques & Autopays                     | 0.00                |
| <b>Balance as per Ledger Accounts less Investments =</b> | <b>3,585,060.26</b> |

## INVESTMENTS RECONCILIATION

### Investments as at 31st March 2024

| No.                        | Institution             | Amount              | Term & Rate     | Maturity Date |
|----------------------------|-------------------------|---------------------|-----------------|---------------|
|                            | National Australia Bank | 229,488.28          | Variable        | On Call A/c   |
| 1                          | National Australia Bank | 1,000,000.00        | 91 days @ 5.0%  | 29-Apr-24     |
| 2                          | Judo Bank               | 1,000,000.00        | 91 days @ 5.2%  | 9-May-24      |
| 3                          | AMP                     | 1,500,000.00        | 182 days @ 5.0% | 29-Apr-24     |
| 4                          | AMP                     | 1,500,000.00        | 182 days @ 5.0% | 29-Jul-24     |
| 17                         | National Australia Bank | 1,000,000.00        | 181 days @ 5.2% | 9-May-24      |
| 40                         | National Australia Bank | 10,000.00           | 60 days @ 1.45% | TBA           |
| <b>TOTAL INVESTMENTS =</b> |                         | <b>6,239,488.28</b> |                 |               |

## BANK AND INVESTMENT ACCOUNTS BREAKDOWN

|  |                     |
|--|---------------------|
| Externally Restricted Funds Invested                   | 3,518,097.26        |
| Internally Restricted Funds Invested                   | 5,765,017.00        |
| 2023/24 General Fund Operating Income & Grants         | 541,434.28          |
| <b>TOTAL BANK &amp; INVESTMENTS ACCOUNTS BALANCE =</b> | <b>9,824,548.54</b> |

As Councils Responsible Accounting Officer, this notification outlines a measure of non-compliance within current Council Investment Policy, however changes in ratings for institutions and maturation dates will allow full compliance into the future.

# WARREN SHIRE COUNCIL

Report of the Divisional Manager of Finance and Administration  
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**ITEM 1 RECONCILIATION CERTIFICATE – MARCH 2024**

**CONTINUED**

**FINANCIAL AND RESOURCE IMPLICATIONS**

N/A.

**LEGAL IMPLICATIONS**

N/A.

**RISK IMPLICATIONS**

There is a risk that the measure of non-compliance with Council Investment Policy, specifically counterparty limits, may impact TCorp risk assessment of Council and potentially limit future borrowing ability. This may also extend to TCorp reporting to other governing bodies, such as the Office of Local Government.

**STAKEHOLDER CONSULTATION**

N/A.

**OPTIONS**

N/A.

**CONCLUSION**

This report is provided to advise Council of its financial position.

**LINK TO POLICY AND / OR COMMUNITY STRATEGIC PLAN**

5.3.2 Create a productive and cooperative working environment for Councillors to support their governance responsibilities. (Provide timely, accurate and relevant reporting and information to Councillors to enable informed decision making.)

**SUPPORTING INFORMATION / ATTACHMENTS**

N/A.

# WARREN SHIRE COUNCIL

Report of the Divisional Manager of Finance and Administration  
to the Ordinary Meeting of Council to be held in the  
Council Chambers, Warren on Wednesday 25<sup>th</sup> April 2024

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## ITEM 2 STATEMENT OF RATES & ANNUAL CHARGES

(R1-4)

### RECOMMENDATION:

That the Statement of Rates and Annual Charges information as at 15<sup>th</sup> April 2024 be received and noted.

### PURPOSE

To advise Council of the rates and annual charges levied, collected and currently outstanding as at the report date.

### BACKGROUND

A major source of revenue Council receives each year is through the levying of rates and annual charges on property owners in the Warren Shire Council local government area to provide and maintain services to the Warren Shire community.

### REPORT

Attached to this report is the statement of rates and annual charges as at 15<sup>th</sup> April 2024 including comparisons over the last four years.

### FINANCIAL AND RESOURCE IMPLICATIONS

Nil.

### LEGAL IMPLICATIONS

Nil.

### RISK IMPLICATIONS

N/A.

### STAKEHOLDER CONSULTATION

N/A.

### OPTIONS

N/A.

### CONCLUSION

This report is provided to advise Council of the balance of rates and annual charges for the current financial year.

### LINK TO POLICY AND / OR COMMUNITY STRATEGIC PLAN

5.3.2 Create a productive and cooperative working environment for Councillors to support their governance responsibilities. (Provide timely, accurate and relevant reporting and information to Councillors to enable informed decision making.)

### SUPPORTING INFORMATION / ATTACHMENTS

Statement of Rates and Annual Charges as at 15<sup>th</sup> April 2024.

# WARREN SHIRE COUNCIL

Report of the Divisional Manager of Finance and Administration to the Ordinary Meeting of Council to be held in the Council Chambers, Warren on Wednesday 25<sup>th</sup> April 2024

ITEM 2

STATEMENT OF RATES & ANNUAL CHARGES

CONTINUED

15-Apr-24

| Name of Rate             | NETT           |                  |                  | COLLECTIONS FOR YEAR |                  | NETT ARREARS     |               |
|--------------------------|----------------|------------------|------------------|----------------------|------------------|------------------|---------------|
|                          |                |                  |                  | ARREARS              | NETT LEVY        | TOTAL            | COLLECT       |
|                          | 1st JULY       |                  | RECEIVABLE       | AMOUNT               | AS % AGE         | AMOUNT           | AS % AGE      |
|                          | \$             | \$               | \$               | \$                   | OF TOTAL         | \$               | OF TOTAL      |
|                          |                |                  |                  |                      | REC'ABLE         |                  | REC'ABLE      |
| General Fund Rates       | 265,784        | 5,460,340        | 5,726,124        | 4,262,640            | 74.44%           | 1,467,217        | 25.62%        |
| Warren Water Fund        | 85,336         | 568,892          | 654,228          | 453,918              | 69.38%           | 199,919          | 30.56%        |
| Warren Sewerage Fund     | 94,484         | 601,488          | 695,972          | 474,643              | 68.20%           | 223,119          | 32.06%        |
| <b>TOTAL 2023/2024</b>   | <b>445,604</b> | <b>6,630,720</b> | <b>7,076,324</b> | <b>5,191,201</b>     | <b>73.36%</b>    | <b>1,890,255</b> | <b>26.71%</b> |
| <b>TOTAL 2022/2023</b>   | <b>290,303</b> | <b>6,339,624</b> | <b>6,629,927</b> | <b>5,030,305</b>     | <b>75.87%</b>    | <b>1,599,622</b> | <b>24.13%</b> |
| <b>TOTAL 2021/2022</b>   | <b>303,871</b> | <b>7,171,097</b> | <b>7,474,968</b> | <b>4,845,399</b>     | <b>64.82%</b>    | <b>2,629,569</b> | <b>35.18%</b> |
| <b>TOTAL 2020/2021</b>   | <b>318,952</b> | <b>6,995,578</b> | <b>7,314,530</b> | <b>4,665,588</b>     | <b>63.79%</b>    | <b>2,648,942</b> | <b>36.21%</b> |
| <b>TOTAL 2019/2020</b>   | <b>178,732</b> | <b>6,761,551</b> | <b>6,940,283</b> | <b>4,417,281</b>     | <b>63.65%</b>    | <b>2,523,002</b> | <b>36.35%</b> |
|                          |                | <b>08-Apr-20</b> | <b>09-Apr-21</b> | <b>13-Apr-22</b>     | <b>16-Apr-23</b> | <b>15-Apr-24</b> |               |
| COLLECTION FIGURES AS \$ |                | 4,417,281        | 4,665,588        | 4,845,399            | 5,030,305        | 5,191,201        |               |
| COLLECTION FIGURE AS %   |                | 63.65%           | 63.79%           | 64.82%               | 75.87%           | 73.36%           |               |

# WARREN SHIRE COUNCIL

Report of the Divisional Manager of Finance and Administration  
to the Ordinary Meeting of Council to be held in the  
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## ITEM 3 WORKS PROGRESS REPORT – FINANCE & ADMINISTRATION PROJECTS (C14-7.1, C9-1)

### RECOMMENDATION:

That the information be received and noted.

The following are details of the projects undertaken by the Finance and Administration Department for the 2023/2024 financial year.

| Project   | Budget    | Expend    | Resp               | Comment   |
|---|-----------|-----------|--------------------|---|
| Public Library Infrastructure Grants – “Doorways to Open-Air Library”.  | \$320,242 | \$320,242 | DMFA<br>LIB<br>IPM | This value represents total carry over funds available from 2022/23 year.<br><br>The project is near completion, once invoices are fully reconciled and paid, the acquittal process will be commenced shortly.<br><br>This project includes LRCI funding, also an in-kind value from Council. |
| Office Equipment Purchases – PC Purchases – Electronic Records Management System Investigation/Implementation | \$101,840 | \$32,673  | DMFA               | New office equipment purchases, PC’s and other as needed. Initial investigations for Electronic Records Management System together with other ICT Strategic Action matters has occurred recently.   |

### ACRONYMS

GM - General Manager

DMFA - Divisional Manager Finance & Administration

ICT – Finance Clerk – Rates & Water / Information Communication Technology

MHDS – Manager Health & Development Services

LIB – Librarian

IPM – Infrastructure Projects Manager

# WARREN SHIRE COUNCIL

Report of the Divisional Manager of Finance and Administration  
to the Ordinary Meeting of Council to be held in the  
Council Chambers, Warren on Wednesday 25<sup>th</sup> April 2024

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ITEM 4      2024/2025 DRAFT ESTIMATES

(E4-44)

## RECOMMENDATION

That Council advertise the Draft 2024/2025 Estimates inviting written public submissions and comment up until 4.00 pm on Thursday 30<sup>th</sup> May 2024.

## PURPOSE

To seek Council endorsement to advertise the Draft 2024/2025 Estimates inviting written public submissions and comment up until 4.00 pm on Thursday 30<sup>th</sup> May 2024.

## BACKGROUND

Section 405 of the Local Government Act 1993 (as amended) requires Council to prepare an Operational Plan each year, prior to adoption of the plan Council must give a period of not less than 28 days inviting written public submissions and comment on the plan.

## REPORT

Included with the April 2024 Business Paper is a copy of the Draft 2024/2025 Estimates that was presented to the Councillor workshop on Wednesday 17<sup>th</sup> April 2024 for information and comment.

The Draft 2024/2025 Estimates is submitted to Council with a balanced budget (excluding depreciation) in General Fund, a \$208,378 deficit in Water Fund and a \$1,238,470 deficit in Sewerage Fund, Water and Sewer Funds cash at bank (accumulated surplus) is funding the deficit indicated.

The Draft 2024/2025 Estimates have been prepared based on the below rates and charges: -

1. General rate increase of 4.5% subject to final approval by IPART, this will generate additional income of \$242,985.00 on the actual 2023/2024 rates levied.
2. a \$27.00 or 5% increase in the Warren water availability charge to \$562.00,
3. a \$35.00 or 5% increase in the Nevertire water availability charge to \$744.00,
4. a \$27.00 or 5% increase in the Collie water availability charge to \$569.00,
5. a \$33.00 or 5% increase in the Warren residential sewerage charge to \$702.00,
6. a \$35.00 or 5% increase in the Nevertire residential sewerage charge to \$735.00,
7. a \$21.00 or 5% increase in the of Non-residential sewerage charge to \$645.00,
8. a \$17.00 or 5% increase in the garbage charge (Warren, Nevertire & Collie) to \$351.00,
9. a \$3.00 or 5% increase in vacant land garbage charge on all residential and business assessments to \$59.00,
10. a \$6.00 increase on the Waste Depot Access Charge for all occupied land categorised as Rural Residential, Business – Other and Business - Airport outside the current waste collection area to \$126.00,



# WARREN SHIRE COUNCIL

Report of the Divisional Manager of Finance and Administration  
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## ITEM 4 2024/2025 DRAFT ESTIMATES

CONTINUED

11. a \$3.00 increase on all vacant land categorised as Rural Residential, Business – Other and Business - Airport outside the current waste collection area charged the Warren Domestic Waste Vacant charge of \$59.00,
12. Rural Waste Depot Access Charge, \$10 per assessment, total estimated revenue of \$7,240,
13. Warren Bore Water Usage Charge - (Up to 450kl) increased by \$0.07 to \$1.56/kl  
- (Over 450kl) increased by \$0.11 to \$2.37/kl
14. Warren River Water Usage Charge - (Up to 450kl) increased by \$0.03 to \$0.57/kl  
- (Over 450kl) increased by \$0.05 to \$1.00/kl
15. Nevertire Bore Water Usage Charge - (Up to 450kl) increased by \$0.04 to \$0.90/kl  
- (Over 450kl) increased by \$0.06 to \$1.31/kl
16. Collie Bore Water Usage Charge - (Up to 450kl) increased by \$0.09 to \$1.86/kl  
- (Over 450kl) increased by \$0.14 to \$2.85/kl
17. Warren Airport Bore Water Supply - (Up to 450kl) increased by \$0.07 to \$1.56/kl  
- (Over 450kl) increased by \$0.11 to \$2.37/kl
18. Non-residential Sewer Usage Charge – increase by \$0.11 to \$2.37/kl

The increases in rates and charges for 2024/2025 in the towns and villages are as follows: -

1. Warren residential rates and charges will have varying increases, due to different land valuations. The minimum increase for 2024/2025 is \$103.00 which equates to a total minimum rate account of \$2,211.00,
2. Nevertire residential rates and charges have increased by \$98.00 on 2023/2024 which equates to a total rate account of \$2,077.00,
3. Collie residential rates and charges have increased by \$55.00 on 2023/2024 which equates to a total rate account of \$1,167.00,
4. Business rates and charges will have varying rate increases dependent on the land value and number of garbage services they have.

Other factors applied when preparing the Draft 2024/2025 Estimates were:

1. a 3.5% increase in wages as required under the Local Government (State) Award together with an Award Bonus for long term employees,
2. a 0.5% increase in the superannuation guarantee levy to 11.5%,
3. a 4.0% CPI increase in other recurrent income,
4. a 4.0% CPI increase in expenditure unless the actual amounts are known,
5. a 5.5% increase in Council Fees and Charges income, unless subject to a statutory or other regulatory limitation,
6. the capital works program has been developed in line with Council's asset management strategies and associated plans, and

# WARREN SHIRE COUNCIL

Report of the Divisional Manager of Finance and Administration  
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## ITEM 4 2024/2025 DRAFT ESTIMATES

CONTINUED

7. Carryover projects have been included in the document where possible; these will be made more accurate in the September 2024 Budget Review when the 2023/2024 Financial Statements are finalised.

It is a requirement under Section 405 of the Local Government Act 1993 to advertise the Draft 2024/2025 Estimates for a period of not less than 28 days seeking public comment before adoption.

To comply with the Local Government Act & Regulations the Draft 2024/2025 Estimates will be advertised in the Wednesday 1<sup>st</sup> May 2024 edition of the local paper and on Council's website and Facebook page seeking written public submissions or comment up until 4.00 pm on Thursday 30<sup>th</sup> May 2024.

### FINANCIAL AND RESOURCE IMPLICATIONS

Nil.

### LEGAL IMPLICATIONS

Nil.

### RISK IMPLICATIONS

N/A.

### STAKEHOLDER CONSULTATION

Advertise in the local newspaper and on Council's website and Facebook page seeking written public comment or submissions up until 4.00pm on Thursday 30<sup>th</sup> May, 2024.

### OPTIONS

N/A.

### CONCLUSION

This report is provided to recommend to Council the advertising of the Draft 2024/2025 Estimates prior to adoption at the June 2024 Council Meeting.

### LINK TO POLICY AND / OR COMMUNITY STRATEGIC PLAN

5.2.3 Seek new sources of income for Council;

5.3.2 Create a productive and cooperative working environment for Councillors to support their governance responsibilities. (Provide timely, accurate and relevant reporting and information to Councillors to enable informed decision making); and

5.4.3 Actively seek external support (financial and in-kind) from Government, alliance partners, the community and philanthropists to support the provision of new services and amenities for the community.

### SUPPORTING INFORMATION / ATTACHMENTS

Draft 2024/2025 Estimates (under separate cover).

# WARREN SHIRE COUNCIL

Report of the Divisional Manager of Finance and Administration  
to the Ordinary Meeting of Council to be held in the  
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## ITEM 5 WARREN SHIRE LIBRARIAN'S OPERATIONS REPORT

(L2-2)

### RECOMMENDATION

That the information be received and noted.

### PURPOSE

To inform Council of the services the Warren Shire Library has been undertaking.

### BACKGROUND

The Warren Library continues to supply a customer focused service which constantly meets the needs of the Warren community. The Library is currently working towards our Official Launch of our grant project "Doorways to an Open-Air Library" and welcoming members back to our refurbished Library. It is pleasing to see Wi-Fi and public access computers are being well utilised since reopening.

### REPORT

The Library has had an extremely busy start to 2024 with Outreach Programs continuing to grow.

We now have a mix of outreach and Library events which further meets the needs of our community. We have welcomed Catholic Care Playgroup to our Storytime program while continuing to provide a service to Barnardo's, Little Possums, Warren Preschool, Warren Central School and St Mary's School.

We celebrated Senior's Week with a Paint n Sip presented by Erica Arthur and a Local History Workshop presented by Lianne Clarke.

Stock rotation will be held during May, this process allows items to rotate around the North Western Library branches and is held bi-annually.

### FURNITURE AND FITTINGS

We are now looking at furnishings to complement and enhance the new library entrance including shelving display and seating along with a bench seat in the entry with room for bags and boots below.

### E-RESOURCES

The Library continues to provide a large range of e-resources 24/7, including e-book, audio books, video streaming and music. All you need is a library card! Our e-magazines usage continues to grow and will be enhanced by the addition to our consortia agreement with the Central West Zone we have recently added \$12,000 worth of new digital resources to our catalogue across all collections. This funding is provided by North Western Library Member Councils to support e-resources with all Councils allocating an additional \$3,000 per annum from 2023/2024 State Library Priority Grant funding. This funding is placed into a value plan with Bolinda to add popular items to Borrow box.

### CENTRAL WEST ZONE MEETING

The Librarian attended the Central West Zone meeting in Cowra on 5th April 2024 and items discussed included:

- Importance of including Library staffing in local career days, best avenues for advertising new positions;
- Promotion of Zone Meeting to Councillors to increase attendance – promotion to new Delegates after Local Government elections in September;

# WARREN SHIRE COUNCIL

Report of the Divisional Manager of Finance and Administration  
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## ITEM 5 WARREN SHIRE LIBRARIAN'S OPERATIONS REPORT

CONTINUED

- State Library and NSWPLA Reports were tabled; and
- Zone Library Reports showed the wide range of activities utilised in libraries across our zone.

Full Minutes of this Meeting will be supplied when available.



Back row: Cr Erin Watt – Cowra; Kathryn McAlister - Dubbo Library; Rachel Gill – Mid Western Library (Mudgee); Pam Kelly – Warren Library; Cr Paul Smith – Cowra; Roslyn Cousins – Orange City Library; Jane Siermans – Cobar Library; Cr Phillip Diprose – Weddin; Cr Dallas Tout Mayor (Wagga Wagga);

Front row: Sharon Lewis – Lithgow Library; Kerry Jones – Parkes Library; Cr Les Lambert – Narromine; Cr Ruth Fagan – Mayor (Cowra); Cr Nikki Kriss – Cowra.

Some libraries operate regional library services/other council functions.

### UPCOMING EVENTS

- April – School Holiday Program;
- April – Card Making Workshops;
- May – Library and Information Week including National Simultaneous Story Time; and
- June – Launch – Doorways to an Open-Air Library.

# WARREN SHIRE COUNCIL

Report of the Divisional Manager of Finance and Administration  
to the Ordinary Meeting of Council to be held in the  
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## ITEM 5 WARREN SHIRE LIBRARIAN'S OPERATIONS REPORT

CONTINUED

### STAFF TRAINING

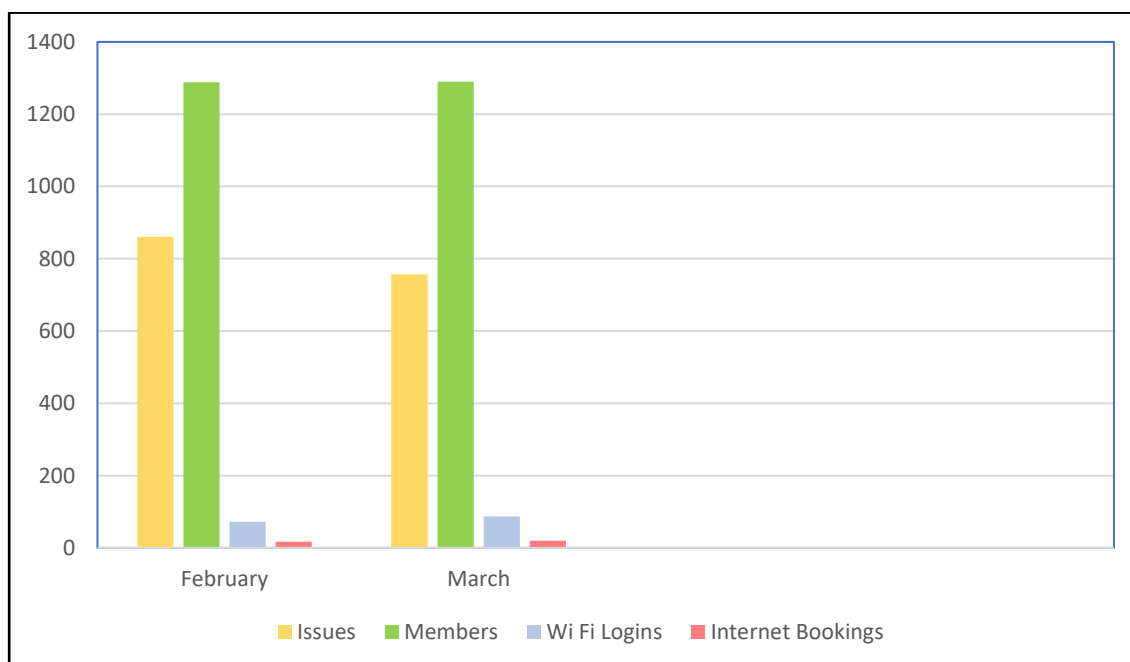
- All permanent staff will be participating in specific targeted Spydus modules during 2024;
- The Library will be upgraded to Spydus 11 during 2024 with additional training provided;
- The Library Manager to attend additional training in Boolean searching and queries; and
- One staff member to attend Reference Excellence training program.

### MEETINGS

- Librarians Meeting to be held in May 2024
- Central West Zone Meeting to be held 11<sup>th</sup> October 2024

### STATISTICS FOR FEBRUARY 2024 – MARCH 2024

| Month    | Issues | Members | Wi Fi Logins | Internet Bookings |
|----------|--------|---------|--------------|-------------------|
| February | 860    | 1288    | 72           | 17                |
| March    | 757    | 1290    | 87           | 20                |



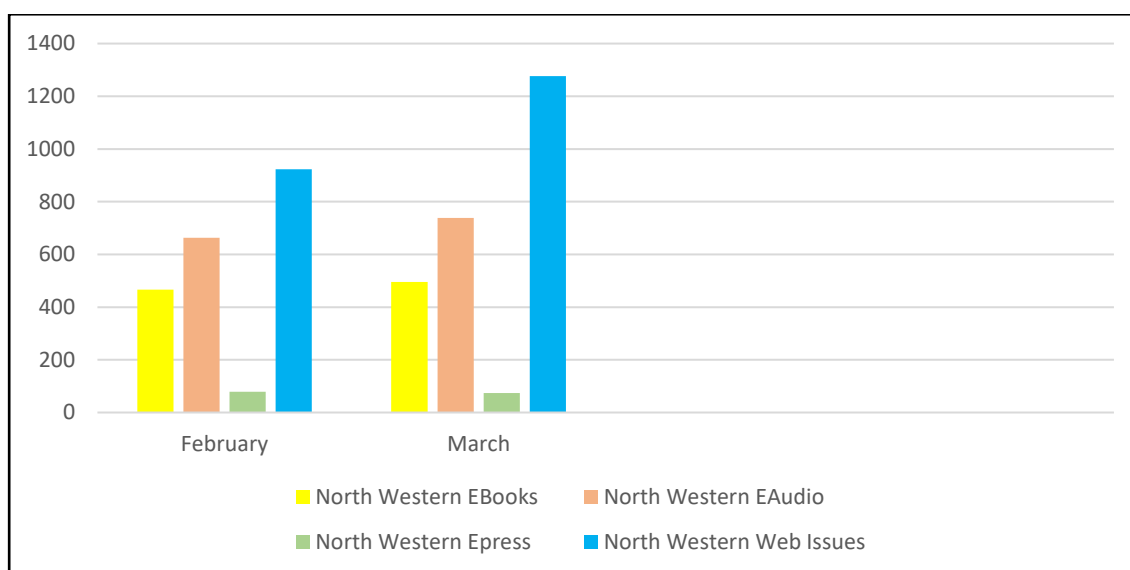
# WARREN SHIRE COUNCIL

Report of the Divisional Manager of Finance and Administration  
to the Ordinary Meeting of Council to be held in the  
Council Chambers, Warren on Wednesday 25<sup>th</sup> April 2024

## ITEM 5 WARREN SHIRE LIBRARIAN'S OPERATIONS REPORT

CONTINUED

| Month    | North Western EBooks | North Western EAudio | North Western Epress | North Western Web Issues |
|----------|----------------------|----------------------|----------------------|--------------------------|
| February | 466                  | 663                  | 79                   | 923                      |
| March    | 495                  | 738                  | 74                   | 1277                     |



| Events   |                                  |
|--|----------------------------------|
| Events   | No. of Target Audience Attending |
| Feb: Library Re-opening Event                                  | 30                               |
| Feb: Storytime - Valentine's Day - Preschool                   | 10                               |
| Feb: Storytime - Gruffalo - Possums                            | 8                                |
| Feb: Storytime - Gruffalo - Warren Central School Kindergarten | 22                               |
| March: Storytime - Gruffalo - St Mary's                        | 19                               |
| March: Storytime - Gruffalo - Catholic Care Playgroup          | 2                                |
| March: Storytime - Easter - Warren Central School Kindergarten | 24                               |
| March: Storytime - Easter - Little Possums                     | 7                                |
| March: Sip & Paint - for NSW Seniors Festival                  | 14                               |
| March: Family History Workshop                                 | 5                                |
| March: Storytime - Easter - Warren Central School Kindergarten | 22                               |

# WARREN SHIRE COUNCIL

Report of the Divisional Manager of Finance and Administration  
to the Ordinary Meeting of Council to be held in the  
Council Chambers, Warren on Wednesday 25<sup>th</sup> April 2024

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**ITEM 5      WARREN SHIRE LIBRARIAN'S OPERATIONS REPORT**

**CONTINUED**

**LEGAL IMPLICATIONS**

N/A.

**RISK IMPLICATIONS**

N/A.

**STAKEHOLDER CONSULTATION**

N/A.

**OPTIONS**

N/A.

**CONCLUSION**

This report is to provide Council with an update of Council Library Services.

**LINK TO POLICY AND / OR COMMUNITY STRATEGIC PLAN**

- 1.1.3 Improve educational services within the community.
- 1.1.6 Recognise and support our wide range of local community groups.
- 1.2.2 Support and promote community-based lifestyle and social events.
- 1.3.1 Support programs and services that support and assist young people in our community.

**SUPPORTING INFORMATION / ATTACHMENTS**

N/A.

**WARREN SHIRE COUNCIL**  
**Report of the Divisional Manager Engineering Services**  
**to the Ordinary Meeting of Council to be held in the**  
**Council Community Room on Wednesday 24th April 2024**

**ITEM 1                      WORKS PROGRESS REPORTS – ROADS**

**(C14-7.2)**

**RECOMMENDATION:**

That the information be received and noted.

The following are details of Projects, Programs and Grant Applications that are being managed by the Divisional Manager Engineering Services, Roads Infrastructure Manager and Flood Restoration and Special Projects Manager.

**ACRONYMS**

|      |   |       |  |
|------|---|-------|--|
| DMES | Divisional Manager Engineering Services | GR    | Gravel Resheet                                 |
| RIM  | Roads Infrastructure Manager            | BRL   | Bitumen Reseal Local Road                      |
| RO   | Roads Overseer                          | BRR   | Bitumen Reseal Regional Road                   |
| PO   | Projects Officer - Assets               | FRSPM | Flood Restoration and Special Projects Manager |

**Roads M & R (Maintenance and Repair) Budget and Works**  
**11<sup>th</sup> April 2024**

| PROGRAM  | BUDGET                                     | EXPENDITURE/ COMMITTED |
|--|--|------------------------|
| Urban Sealed Roads   | \$61,576                                   | \$27,608               |
| Parking Areas  | \$5,677                                    | Nil                    |
| Kerb and Guttering   | \$20,000                                   | \$20,000               |
| Footpaths  | \$39,738                                   | \$12,761               |
| Urban Unsealed Roads   | \$29,455                                   | \$2,398                |
| Rural Sealed Roads   | \$408,738                                  | \$266,075              |
| Rural Unsealed Roads   | \$1,135,383                                | \$446,027              |
| Rural Bridges  | \$15,000                                   | Nil                    |
| Regional Sealed Roads  | *\$565,945                                 | \$260,146              |
| Regional Unsealed Roads  | \$119,061                                  | \$127,880              |
| Regional Bridges   | \$18,439                                   | Nil                    |
| Bushfire Hazard Reduction Works (Shire Roads, Regional Roads and Council Facilities) | \$326,404.75                               | \$70,766               |
| Fixing Local Roads Pothole Repair Round  | \$199,079.53<br>(Carryover from 2022/2023) | \$199,079.53           |
| <b>Total</b>   | <b>\$3,194,051.28</b>                      | <b>\$1,432,740.53</b>  |

\*\$249,555 has been spent on Warren Road Rehabilitation Project as part of Council construction.



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WORKS PROGRESS REPORTS – ROADS

CONTINUED

| PROGRAM  | BUDGET   |               |                    | EXPEND/COMM    |
|--|--|---------------|--------------------|----------------|
| March 2021 AGRN 960<br>Flood and Storm<br>Damage Essential<br>Public Asset<br>Reconstruction   | \$1,252,622.95   |               |                    | \$1,087,403.30 |
|  | <b>Road Name</b>   | <b>Budget</b> | <b>Expenditure</b> |                |
|  | Yarrandale Road  | \$32,629      | \$15,561.47        |                |
|  | Elsinore Road  | \$128,551     | \$85,582.81        |                |
|  | Christies Road   | \$102,259     | \$100,327.33       |                |
|  | Merrigal Road  | \$63,945      | \$63,945           |                |
|  | Pigeonbah Road   | \$1,315       | \$1,315            |                |
|  | Wonbobbie Road   | \$10,731      | \$10,731           |                |
|  | Cullemburrawang<br>Road  | \$7,062       | \$7,062            |                |
|  | Hatton Road  | \$93,019      | \$91,426.54        |                |
|  | Nellievale Road  | \$131,396     | \$124,167.40       |                |
|  | Notts Lane   | \$128,928     | \$111,527.64       |                |
|  | Killaloo Lane  | \$91,813      | \$64,291.42        |                |
|  | Catons   | \$3,778       | \$3,778.14         |                |
|  | Booka  | \$51,035.77   | \$51,035.77        |                |
|  | Lamphs   | \$90,651      | \$70,028.51        |                |
|  | Sullivans  | \$20,916      | \$13,907.84        |                |
|  | Gibsons Way  | \$247,000     | \$247,000          |                |
|  | Buckiinguy Road  | \$2,326.84    | \$2,325.84         |                |
|  | Bullagreen   | \$11,846.56   | \$11,846.56        |                |
| Armatree   | \$6,923  | \$6,923.35    |                    |                |
| Gunnegaldra  | \$20,916   | Nil           |                    |                |
| Nevertire - Bogan  | \$4,105.96   | \$3,891.68    |                    |                |
| Collie Road  | \$728  | \$728         |                    |                |
| Coonamble Street   | \$740  | \$0           |                    |                |
| March 2021 AGRN 960<br>Flood and Storm<br>Damage Essential<br>Public Asset<br>Reconstruction Works<br>– Regional Roads –<br>Package 1  | \$619,162.88   |               |                    | \$619,162.88   |
|  | <b>Road Name</b>   | <b>Budget</b> | <b>Expenditure</b> |                |
|  | Carinda  | \$199,476.74  | \$199,476.74       |                |
|  | Billybingbone  | \$419,010.48  | \$419,010.48       |                |
| Collie - Trangie   | \$675.66   | \$675.66      |                    |                |
| March 2021 AGRN960<br>Flood and Storm<br>Damage Essential<br>Public Asset<br>Reconstruction Works<br>– Package 2 Merrigal<br>Road (Dragon Cowal) -<br>Disaster Risk<br>Reallocation Fund | \$649,685.88<br>(\$14,729.83 Retention money is due to contractor<br>at end of DLP.) |               |                    | \$627,985.42   |

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WORKS PROGRESS REPORTS – ROADS

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| PROGRAM   | BUDGET   |                      |                    | EXPEND/COMM |
|---|--|----------------------|--------------------|-------------|
| Regional and Local Roads Repair Program   | \$2,415,175  |                      |                    | \$2,149,115 |
|   | <b>Road or/Suburb Name</b>   | <b>Expected Cost</b> | <b>Expenditure</b> |             |
|   | Old Warren Road Rehabilitation   | \$400,000            | \$400,000          |             |
|   | Industrial Access Road/Old Warren Road intersection  | \$533,924            | \$267,864          |             |
|   | Dubbo Street Rehabilitation  | \$898,287            | \$898,287          |             |
|   | Carinda Road Rehabilitation  | \$119,911            | \$119,911          |             |
|   | Collie -Trangie Road Rehabilitation  | \$134,221            | \$134,221          |             |
|   | Marthaguy Road Rehabilitation  | —                    | —                  |             |
|   | Warren Road Rehabilitation   | —                    | —                  |             |
|   | Urban Streets in Warren, Nevertire and Collie Rehabilitation                                       | \$183,479            | \$183,479          |             |
|   | Marthaguy Road Heavy Patching  | \$145,353            | \$145,353          |             |
|   | <b>Total</b>   | <b>\$2,415,175</b>   | <b>\$2,149,115</b> |             |
| September, October, November, December 2022 ARGN 1034 Flood and Storm Damage – Immediate Reconstruction Works | <b>Road Name</b>   | <b>Budget</b>        | <b>Expenditure</b> | \$899,965   |
|   | Carinda Road   | \$904,120            | Nil                |             |
|   | Collie – Trangie Road  | \$238,875            | \$138,417          |             |
|   | Marthaguy Road   | \$258,300            | \$258,300          |             |
|   | Udora Road   | \$570,150            | \$503,248          |             |
|   | Wambianna Road   | \$366,240            | Nil                |             |
|   | This subcategory has reached its deadline. All work is now being considered under AGRN 1034 EPA RW |                      |                    |             |

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| PROGRAM   | BUDGET                         |                    |                          |  | EXPEND/COMM  |
|---|--------------------------------|--------------------|--------------------------|--|--------------|
| Warren Shire Council<br>November 2021 to<br>December 2022 Flood<br>and Storm Damage<br>Claim (ARGN 987 /<br>1025 / 1030 / 1034)<br>(DMES/FRSPM/RIM) | <b>Event</b>                   | <b>Subcategory</b> | <b>Estimate / Budget</b> | <b>Status</b>  | \$14,100,682 |
|   | AGRN 987                       | EW                 | \$475,945                | Works completed and claimed.   |              |
|   | AGRN 987                       | IRW                | \$241,591                | Works completed and claimed.   |              |
|   | AGRN 1025                      | IRW                | \$334,729                | Works on Ellengerah Road. Completed. Claim submitted.                          |              |
|   | AGRN 1030                      | N/A                | N/A                      | Event was overlapped by AGRN 1034  |              |
|   | AGRN 1034                      | EW                 | \$991,672                | Works completed. Payment claim submitted.                                      |              |
|   | AGRN 1034                      | IRW                | \$899,965                | Works completed. Claim being prepared.   |              |
|   | AGRN 1034                      | EPA RW             | \$11,428,959             | Contains submission 1,2 & 3 and included items re-damaged in AGRN 960 & 987.   |              |
|   | AGRN 1025                      | EW                 | \$29,171                 | Payment Claim Submitted.   |              |
| Road Maintenance<br>Council Contract<br>(RMCC)- State<br>Highway 11<br>(DMES/FRSPM/RIM)   | <b>Project</b>                 |                    | <b>Estimate / Budget</b> | <b>Comments</b>  |              |
|   | Heavy Patching                 |                    | \$1,466,247              | 52 patches to be completed. Work in Progress                                   |              |
|   | Milawa Pavement Rehabilitation |                    | \$2,299,500 (Approx)     | G1 received. Ensuite meeting conducted. Final scoping is in progress by TfNSW. |              |

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|   |                    |           |  |  |
|---|--------------------|-----------|--|--|
| Road Maintenance<br>Council Contract<br>(RMCC)- State<br>Highway 11<br>(DMES/FRSPM/RIM) | RMAP<br>Activities | \$244,106 | <b>Quarter 1:</b><br>\$50,551<br>(Claimed) |  |
|   |                    |           | <b>Quarter 2:</b><br>\$67,437<br>(Claimed) |  |

**MAINTENANCE**

| WORK CREW                         | LOCATION                  | ACTIVITY             | WORK COMPLETED       |
|-----------------------------------|---------------------------|----------------------|----------------------|
| Grader Crew 1<br>(Three-man crew) | SR16 Notts                | Grading (Flood Work) | 6KM Completed        |
|                                   | SR10 Killaloo Lane        | Grading (Flood Work) | 8KM Completed        |
|                                   | R333 Carinda Road         | Grading Shoulders    | 4KM Completed        |
| Grader Crew 2<br>(Three-man crew) | SH11 Oxley Highway        | Heavy Patching       | 47 Patches Completed |
| Grader Crew 3<br>(Three-man crew) | SR56 Tabratong Lane       | Grading              | 6KM Completed        |
| Grader Crew 4<br>(Three-man-crew) | SR7516 Billybingbone Road | Grading              | 4km Completed        |

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| WORK CREW                  | LOCATION            | ACTIVITY              | EMULSION USED | STONE USED |
|----------------------------|---------------------|-----------------------|---------------|------------|
| Paveline<br>(Tar Patching) | SH 11 Oxley Highway | Sealing heavy patches | 4,500L        | 40T        |
|                            | RR333 Carinda       | Patching              | 800L          | 8T         |

| WORK CREW                 | LOCATION           | ACTIVITY       | WORK UNDERTAKEN  |
|---------------------------|--------------------|----------------|--|
| Roadside Maintenance Team | SH11 Oxley Highway | Heavy Patching | Ongoing<br>(The team is understaffed, so available staff are assisting Grader Crew 2 which is also understaffed) |

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**UPCOMING WORKS (APRIL - JUNE)**

| WORK CREW                         | LOCATION               | ACTIVITY                           |
|-----------------------------------|------------------------|------------------------------------|
| Grader Crew 1<br>(Three-man crew) | Nevertire-Bogan        | Rehabilitation (Team understaffed) |
| Grader Crew 2<br>(Three-man crew) | Milawa (Oxley Highway) | Rehabilitation                     |
| Grader Crew 3<br>(Three-man crew) | Nevertire-Bogan        | Rehabilitation (Team understaffed) |
| Grader Crew 4<br>(Three-man crew) | SR48 Ringorah Road     | Grading                            |
| Grader Crew 5<br>(Three-man crew) | Being Arranged         |                                    |

| Project   | Budget      | Expend/<br>Comm | Resp         | Comment  |
|---|-------------|-----------------|--------------|--|
| <b>Capital Works In Progress</b>  |             |                 |              |  |
| CBD Improvements  | \$5,462     | \$1,645         | DMES         | Investigation and design work for CBD Improvement Program is complete. Grant application submitted.              |
| RR 7515 Warren Road Reconstruction  | \$3,684,320 | \$3,648,396     | DMES/<br>RIM | Completed. Expenditure includes retention money due to contractor (\$29,266.05). Ongoing.                        |
| Gunningba Estate Stage 3 Investigation and Design   | \$30,000    | \$26,620        | DMES         | Survey completed. Design ongoing.  |
| Gravel Resheeting Priority Roads<br>1. Old Warren Road  | \$239,900   | \$226,581       | DMES/<br>RIM | Old Warren Road Completed.   |
| Bridges Renewal Program<br>RR 7515 Warren Road Replacement of Newe Park Bridge and Marthaguy Creek Bridge | \$5,010,000 | \$247,574       | DMES/<br>RIM | Tender Closed: 5/12/23.<br><br>Tender evaluation presented at February 2024 Council Meeting, contractor engaged. |

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| Project   | Budget      | Expend/<br>Comm | Resp         | Comment  |
|---|-------------|-----------------|--------------|--|
| Footpath Replacement  | \$15,756    | \$622           | DMES/<br>RIM | Ongoing.   |
| Kerb and Gutter Renewal   | \$15,545    | Nil             | DMES/<br>RIM | Ongoing.   |
| Urban Unsealed Roads Resheeting   | \$15,000    | \$1,012         | DMES/<br>RIM | Ongoing.   |
| Regional Emergency Roads Repair Program<br>(This program will be spread out over 4 years until 2027.) | \$3,386,576 | Nil             | DMES/<br>RIM | Assessment and final scoping currently being undertaken-<br>1. Carinda Road widening (\$1,200,000)<br>2. Warren Road Heavy Patching (\$511,576)<br>3. Bullagreen Road Shoulder Widening (\$1,000,000)<br>4. Nevertire Bogan Road Rehabilitation (Reseal) (\$175,000)<br>5. Tottenham Road Rehabilitation (Reseal) (\$175,000)<br>6. Gillendoon Street Heavy patching (\$125,000)<br>7. Cobb Lane Heavy patching (\$100,000)<br>8. Stubbs, Burton, and Zora Streets Rehabilitation (Reseal) (\$100,000) |

**Local Roads and Community Infrastructure Grant Programs for Phase 3, Phase 4A and Phase 4B**

| Project  | Budget   | Expend/<br>Comm | Resp      | Comment                              |
|--|----------|-----------------|-----------|--------------------------------------|
| Victoria Oval and Park Roadway Bitumen Reseal<br>JC: 3350-24-510 | \$69,930 | \$32,902        | DMES/ RIM | Completed.<br>Line marking complete. |

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| Local Roads and Community Infrastructure Grant Programs for Phase 3, Phase 4A and Phase 4B             |  |                 |           |  |
|--|--|-----------------|-----------|--|
| Project  | Budget   | Expend/<br>Comm | Resp      | Comment  |
| Macquarie Park Roadway Bitumen Reseal<br>JC: 3350-25-510   | \$12,285   | \$2,139         | DMES/ RIM | Works being rescoped.  |
| Bore Flat/Depot Parking Area Reseal<br>JC: 3350-20-510   | \$18,900   | \$10,377        | DMES/ RIM | Completed.   |
| Oxley Park Drive Through Area Reseal<br>JC: 3350-21-510  | \$8,505  | \$4,801         | DMES/ RIM | Completed.   |
| Ebert Park U-Turn Bay Area Reseal<br>JC: 3350-22-510   | \$5,670  | \$4,022         | DMES/ RIM | Completed 4 November 2023.   |
| Warren Cemetery Access Road Reseal<br>JC: 3350-23-510  | \$9,450  | \$4,117         | DMES/ RIM | Completed 4 November 2023.   |
| Monkeygar Creek Bird Viewing Platform Contribution   | \$65,000   | \$54,492        | DMES      | Platform and toilet completed.<br><br>Carpark completed.<br><br>Expenditure includes \$9,559 retention money due to Central Industries at end of DLP.<br><br>(\$4096.52 - Job Number 33.50.27 & \$5462.73 - Job Number 34.60.10) |
| Local Roads and Community Infrastructure Program Phase 3 (Commonwealth) and Fixing Local Roads Round 4 | \$3,496,725<br><b>Made up of \$2,797,380 grant &amp; \$699,345 Council</b> | \$640,183       | DMES/ RIM | Scoping completed.<br>32,000t of gravel being hauled.<br>Tree work complete.<br>Culvert replacement being rescoped.  |



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| Local Roads and Community Infrastructure Grant Programs for Phase 3, Phase 4A and Phase 4B   |  |                 |                  |  |
|--|--|-----------------|------------------|--|
| Project  | Budget   | Expend/<br>Comm | Resp             | Comment  |
| Nevertire – Bogan Road, Segment 4,6,8 and 10 Rehabilitation.   |  |                 |                  |  |
| Gravel Resheeting of SR62 Buddabadah Road  | \$170,100  | Nil             | DMES/RIM         | Being scoped and programmed.   |
| Local Roads and Community Infrastructure Program Phase 3 (Commonwealth) Rifle Range Road, Oxley Highway and Ellengerah Road Intersections Construction | \$176,815  | Nil             | DMES/RIM /FRSPM  | Being scoped and programmed.<br>Approved from TfNSW is being sought.<br><br>Extension of Time from LRCI is being negotiated. |
| Rehabilitation of Marthaguy Road Segment 0 to Segment 6.   | \$450,000 Block Grant and \$3 Million AGRN 1034 EPARW (TBA)              | Nil             | RIM              | AGRN 1034 EPARW funding pending approval by TfNSW.<br>Gravel haulage being organised.  |
| Grant Applications   |  |                 |                  |  |
| Regional Precincts and Partnership Program – Precinct Delivery – Warren CBD Upgrade Grant Application  | \$13,244,452   | Nil             | DMES/ TSM        | Pending grant approval.  |
| Heavy Vehicle Safety and Productivity Program - Warren Road Rehabilitation Segments 12,14 and 16.  | \$2,500,000<br><b>Co-contribution of \$500,000 from RERRF allocation</b> | Nil             | DMES/ RIM/ FRSPM | Pending grant approval.  |
| Heavy Vehicle Safety and Productivity Program -  | \$2.1 Million<br><b>Co-contribution</b>                                  | Nil             | DMES/ RIM/ FRSPM | Pending grant approval.  |

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WORKS PROGRESS REPORTS – ROADS

CONTINUED

| <b>Local Roads and Community Infrastructure Grant Programs for Phase 3, Phase 4A and Phase 4B</b> |   |                         |                        |                         |
|---|---|-------------------------|------------------------|-------------------------|
| <b>Project</b>  | <b>Budget</b>                           | <b>Expend/<br/>Comm</b> | <b>Resp</b>            | <b>Comment</b>          |
| Industrial Access Road Rehabilitation   | <b>of \$400,000 from RTR allocation</b> |                         |                        |                         |
| Bridges Renewal Program - Replacement of Beleringar Bridge, Ellengerah Road                       | \$2 Million                             | Nil                     | DMES/<br>RIM/<br>FRSPM | Pending grant approval. |

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WORKS PROGRESS REPORTS – ROADS

CONTINUED

| <b>TRAFFIC COUNTERS REPORT</b>   |         |       |      |     |      |
|--|---------|-------|------|-----|------|
| <i>4 March - 16 April</i>  |         |       |      |     |      |
| Road   | Segment | Class | AADT | V%  | Days |
| Dubbo St.  | 0       | Light | 555  | 88% | 43   |
|  |         | Heavy | 77   | 12% | 43   |
| RR202 Marthaguy  | 10      | Light | 135  | 85% | 41   |
|  |         | Heavy | 24   | 15% | 41   |
| RR7515 - Warren  | 4       | Light | 185  | 87% | 41   |
|  |         | Heavy | 28   | 13% | 41   |
| RR7515 - Warren  | 36      | Light | 117  | 70% | 41   |
|  |         | Heavy | 50   | 30% | 41   |
| SR27 Bullagreen  | 30      | Light | 21   | 83% | 41   |
|  |         | Heavy | 4    | 17% | 41   |
| SR53 Thornton  | 0       | Light | 36   | 86% | 43   |
|  |         | Heavy | 6    | 14% | 43   |
| SR58 Nevertire - Bogan   | 4       | Light | 151  | 82% | 43   |
|  |         | Heavy | 32   | 18% | 43   |
| SR58 Nevertire - Bogan   | 14      | Light | 22   | 44% | 43   |
|  |         | Heavy | 28   | 56% | 43   |
| SR64 Ellengerah  | 4       | Light | 111  | 80% | 41   |
|  |         | Heavy | 27   | 20% | 41   |
| SR91 Industrial Access   | 2       | Light | 348  | 80% | 43   |
|  |         | Heavy | 86   | 20% | 43   |
| <i>Note: The traffic counter for Tottenham was not working and had inaccurate data, but it has already been repaired</i> |         |       |      |     |      |

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**ITEM 2**

**WORKS PROGRESS REPORTS – TOWN SERVICES**

**(C14-7.2)**

**RECOMMENDATION:**

That the information be received and noted.

The following are details of Projects, Programs and Grant Applications that are being managed by the Town Services Manager for the budget and works period up to and including 10th April 2024.

**ACRONYMS**

DMES Divisional Manager Engineering Services  
TSM Town Services Manager  
MHD Manager Health & Development Services  
IPM Infrastructure Projects Manager  
TSO Town Services Overseer

**TOWN SERVICES OPERATIONS AND MAINTENANCE BUDGET TO 10th April 2024**

| Project   | Budget   | Expend/<br>Comm | Resp | Comment   |
|---|----------|-----------------|------|---|
| <b>General</b>  |          |                 |      |   |
| Generator and Transfer Switch Warren Airport<br>GL: 3420-4320-0120<br>JC: 2550-0-10 | \$31,710 | \$22,408        | TSM  | Removed from LR&CIGP.<br>Now funded from internal Council reserves, see Manex Committee Recommendation.<br>11/08/23<br>Generator and transfer switch ordered.<br>28/11/2023<br>Generator Delivered. |
| Install Swing to Nevertire Park.<br>JC: 96-50-100                                   | \$10,080 | \$7,040         | TSM  | 4/09/23<br>Swing to be ordered.<br>26/09/23<br>Swing ordered.<br>12/12/23<br>Swings delivered.  |

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WORKS PROGRESS REPORTS – TOWN SERVICES

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| Project   | Budget    | Expend/<br>Comm | Resp                 | Comment  |
|---|-----------|-----------------|----------------------|--|
| Community Local Infrastructure Recovery Package (CLIRP 2022)<br><br>Community Assets Program CAP – 070<br><br>JC: 74-9999-510 | \$191,511 | \$28,850        | DMES/<br>RIM/<br>TSM | Replacement of signage at Tiger Bay Wetlands and the Bitumen reseal of Various Walk and Cycle Ways.<br><br>8/10/2023<br>Approved.<br><br>Preparation work has commenced for bitumen reseal of the various walkways and cycleways to be undertaken in April/May 2024. |

| Project  | Budget    | Expend/<br>Comm   | Resp | Comment   |
|--|-----------|---|------|---|
| <b>Water Supplies</b>  |           |   |      |   |
| Oxley Park Flowmeter replacement.  | \$15,000  | \$9,457   | TSM  | NRAR Meter at Oxley Park to be replaced.<br>Quote for replacement meter has been requested.<br><br>5/03/24<br>Flowmeter purchased.<br>Aquawest to install, commission and validate the meter. |
| Water Extraction Meter Compliance<br>GL: 4580-4320-0003<br>JC: 0190-0010-0000                    | \$3,217   | Nil   | TSM  | 12/07/23<br>Application for Water Access Licence for Ellengerah Bore has been lodged with DPE Water. Awaiting Outcome.  |
| Bore Flat Groundwater Augmentation.<br><br>JC: 191-41-5 (Ellengerah)<br><br>191-44-5 (Bore Flat) | \$245,616 | \$218,993<br><br>(\$78,879)<br>Ellengerah<br><br>(\$160,954)<br>Bore Flat | TSM  | 8/10/2023<br>Chlorination systems are fully operational at Bore Flat and Ellengerah Reservoir sites.<br><br>28/11/2023<br>All plants running.<br>Concrete works to be completed.              |

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| <b>Water Supplies</b>   |           |          |     |  |
|---|-----------|----------|-----|--|
| <b>(Also contained within the Infrastructure Projects Manager's Report)</b> |           |          |     | 10/1/24<br>MLB to construct concrete apron to new Chlorination shed.   |
| Clean New Bore – Nevertire.<br>JC: 0171-0001-0005                           | \$31,586  | \$31,586 | TSM | 4/09/23<br>Cleaning postponed until Autumn 2024 due to increased water use at Nevertire.<br><br>10/04/24<br>Cleaning programmed for the first week of May 2024.  |
| Reconfigure Pumping Arrangements at Collie Bore.<br>GL: 4580-4320-0060      | \$80,000  | \$1,528  | TSM | New pumps installed and operating.<br><br>Waiting on Invoices.   |
| Bore Flat – Carter Oval Irrigation Tank<br>GL: 4580-4320-0045               | \$80,000  | \$23,409 | TSM | 5/02/24 New 250,000 litre River water tank has been installed.<br><br>5/03/24<br>Connection to river water supply and Carter Oval ring main and relocation of irrigation pump to be carried out as contractors become available. |
| Upgrade Water Network Telemetry System.<br>JC: 0190-0020-0005               | \$200,000 | \$17,034 | TSM | Design and implement a new Telemetry System for the water Network.<br><br>7/06/23<br>Technical Specification and tender documents being developed.<br><br>11/08/23<br>Draft RFT Documents received and being assessed.           |

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| <b>Water Supplies</b>   |           |           |     |   |
|---|-----------|-----------|-----|---|
|   |           |           |     | <p>17/10/23<br/>Tender Documents to be developed.</p> <p>10/1/24<br/>Tender Documents being developed.</p> <p>10/1/24.<br/>Project will be held over until July.</p> <p>A Federal Grant, Connections Pathway will open in July 2024. Possibility for 50% grant funding.</p>   |
| <p>Regional Leakage Reduction Program – Local Water Utilities Projects.</p> <p>GL: 4580-4320-0004</p> <p>JC: 0190-0340-0000</p> <ul style="list-style-type: none"> <li>- Pressure 0005</li> <li>- Leak 0015</li> <li>- Metering 0025</li> </ul> | \$174,742 | \$105,465 | TSM | <p>The project involves the installation of equipment to assist in locating leaking water pipes before they become problematic.</p> <p>DPE Total Funding \$150,000</p> <p>Council Contribution \$24,742.50.</p> <p>12/07/23<br/>Sourcing monitoring equipment.</p> <p>11/08/23<br/>Equipment ordered.</p> <p>17/10/23<br/>ETA of equipment early January 2024.</p> <p>10/1/24<br/>Equipment has been delayed by Australian Customs.</p> <p>11/03/24<br/>Data loggers have arrived. Flowmeters still to arrange.</p> |

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| Water Supplies                  |          |     |     |   |
|---------------------------------|----------|-----|-----|---|
|                                 |          |     |     | 10/04/2024<br>Pressure Data Loggers being installed at 20 locations Warren, Nevertire and Collie. |
| Water Valve Replacement Program | \$43,420 | Nil | TSM | Water Valve Replacement Program on-going.   |

| Project   | Budget    | Expend/Comm | Resp | Comment   |
|---|-----------|-------------|------|---|
| Sewerage Services   |           |             |      |   |
| CCTV and Smoke Testing of Sewer at Warren and Nevertire<br>GL: 5580-4320-0002 | \$200,000 | Nil         | TSM  | Quotation documents under development.<br><br>10/1/24 Documents nearing completion.<br><br>10/04/2024 Deferred until 2024/2025  |
| Upgrade Sewerage Network Telemetry System<br>JC: 0226-0010-0005               | \$150,000 | \$11,356    | TSM  | Design and implement a new Telemetry System for the Sewerage Network.<br><br>7/06/23 Technical Specification and tender documents being developed.<br><br>11/08/23 Draft RFT Documents received and being assessed.<br><br>17/10/23 Tender Documents to be developed.<br><br>12/12/23 Documents nearing completion.<br><br>10/1/24. |



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| Project   | Budget    | Expend/<br>Comm | Resp | Comment   |
|---|-----------|-----------------|------|---|
| <b>Sewerage Services</b>  |           |                 |      |   |
|   |           |                 |      | Project will be held over until July, 2024.<br><br>A Federal Grant, Connections Pathway, will open in July 2024. Possibility for 50% grant funding.   |
| Warren Sewerage Treatment Plant Replacement<br><br>JC: 220-3-0  | \$100,000 | Nil             | TSM  | Rehabilitation Program for Old Sewerage Treatment Plant and bore installation being formulated.<br><br>10/1/24<br>On hold until Evaporation Lagoon is constructed.  |
| Warren Sewerage Treatment Plant Construction of Additional Evaporation Lagoon<br><br>JC: 5580-4320-1010 | \$780,000 | Nil             | TSM  | 10/1/24<br>Public Works Authority (PWA) are developing the design and tender documents for the new lagoon.<br>Waiting for Geotech results for the excavated spoil.<br><br>10/04/2024<br>Geotech report provided to PWA. |
| Lifting Gantry Tiger Bay Sewer Pump Station.<br><br>JC: 201-90-45                                       | \$29,400  | \$1,200         | TSM  | 17/10/23<br>Barnson to be engaged to design new footings for gantry.<br><br>12/12/23<br>Draft footing design completed.<br><br>10/04/2024<br>Footings in progress.  |
| Thornton Avenue Sewer Pump Station Refurbishment.   | \$275,000 | \$168,170       | TSM  | Pump purchase arrangement in train. Switchboard ordered.  |

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| Project   | Budget   | Expend/<br>Comm | Resp | Comment   |
|---|----------|-----------------|------|---|
| <b>Sewerage Services</b>  |          |                 |      |   |
| JC: 201-90-10   |          |                 |      | RFQ for fit out being developed.<br><br>8/10/2023<br>Pumps, Discharge connections, Flushing valves and guide rails delivered.<br><br>10/1/24<br>RFQ for the fit-out works being developed.<br>New starter ordered.<br><br>10/04/2024<br>RFQ for the fit-out works closes 2/05/2024. |
| Sewer Pump Stations Safety Improvements.<br><br>JC: 201-90-0000 | \$99,750 | Nil             | TSM  | On-going<br><br>10/04/2024<br>Deferred until 2024/2025.   |

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| Project   | Budget      | Expend/ Comm | Resp                |
|---|-------------|--------------|---------------------|
| Levee Restoration   |             |              |                     |
| Warren Levee Rehabilitation   |             |              | DMES/TSM/IPM/<br>GM |
| JC: 3300-4400-0000 - Federal Government:  | \$5,325,000 | \$72,950     |                     |
| 3300-4410-0000 - State Government:  | \$887,500   | \$6106       |                     |
| 3300-4410-0000 - OLG AGRN 1025:   | \$887,500   | \$4,036      |                     |
| <p><b>Comments</b></p> <ol style="list-style-type: none"> <li>1. Funding currently being pursued for repairs to the reported section of the Warren levee.</li> <li>2. Consulted with State Government Representatives</li> <li>3. seeking financial assistance to rectify deteriorated section.</li> <li>4. Works to be undertaken in-house using Council staff and local contractors.</li> <li>5. Local contractors have been liaised with regarding the methods of repair.</li> </ol> <p>Fresh applications have been submitted to the Federal Government Department of Home Affairs, waiting on confirmation of success or not. The matter is also with Resilience NSW who are also considering the application. Further application being arranged. Meeting &amp; site inspections 15/12/21, between GM, ADMES and Tammy Greer from The National Recovery and Resilience regarding levee repairs and improved disaster preparation through the NSW Minister for Emergency Services. New application under the Commonwealth Government National Flood Mitigation Infrastructure Program (NFMIP) with a required 25% contribution from Council arranged.</p> <p>\$5.325 million Commonwealth Funding</p> <p>announced on the 4th of May 2022. Staff attempting to secure \$1.775 million co-contribution from State. Meeting held with Resilience NSW directors where they asked for original application and correspondence with respect to the application. This has been sent. Awaiting response. State Program information request provided 19th August 2022.</p> <p>Resilience NSW met GM and DMES on 9th September 2022 and 16th September 2022. See report to October 2022 Council meeting concerning the Council contribution Funding, currently the NSW Government has only been able to fund \$887,500 of the required Council contribution of \$1,775,000. Council may have the option of using \$887,500 from the NSW Severe Weather Flood Grant for AGRN 1025 that is yet to be approved by OLG, however this is not preferred.</p> <p>Project Kick-off meeting held 18/01/23. Work program submitted to funding body.</p> <p>Inspection of levee by boat conducted 24/01/2023.</p> <p>Scope variation has been submitted to funding body.</p> <p>Staff to meet design consultant for a final meeting before tendering.</p> <p>12/07/23</p> <p>Scope variation has been approved.</p> <p>- Specifications are being prepared in readiness for tendering.</p> |             |              |                     |

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| Project   | Budget | Expend/ Comm | Resp |
|---|--------|--------------|------|
| <p>- \$887,500 funding by OLG has been approved in principle.</p> <p>10/01/24</p> <p>RFT for new floodgates under development.</p> <p>1/02/2024</p> <p>RFT for the supply and installation of new levee flood gates advertised.</p> <p>Mandatory pre - tender site meeting 15/02/2024 &amp; 14/03/2024</p> <p>RFT closes 4:00pm Thursday 4/04/2024.</p> <p>To be reported to Council Meeting 24/04/2024</p> <p>10/04/2024</p> <p>Tender evaluation report attached to Report.</p> |        |              |      |

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| Local Roads and Community Infrastructure Grant Programs for Phase 4A and Phase 4B   |   |                 |      |  |
|---|---|-----------------|------|--|
| Project   | Budget  | Expend/<br>Comm | Resp | Comment  |
| Saunders Park –<br>Replacement of Picnic<br>Shelter. (LRCI)<br><br>GL: 3360-4040-0005<br>JC: 3350-3-10  | \$25,200  | \$11,335        | TSM  | Included in the LR&CIGP to offset<br>the Airport Generator. Previously<br>funded from Parks Infrastructure<br>Reserve, see Manex Committee<br>Recommendation.<br><br>11/08/23<br>Approved in the LRCI Grant<br>Program of Works<br><br>RFQ sent out.<br><br>17/10/23<br>Items ordered.<br><br>12/12/23<br>Items delivered. Installation works<br>will commence early 2024. |
| Oxley Park Electric<br>Barbeques (2) (LRCI)<br><br>GL: 3360-4040-0005<br>JC: 3350-10-10   | \$19,950  | \$11,335        | TSM  | 11/08/23<br>Approved in the LRCI Grant<br>Program of Works<br>RFQ sent out.<br><br>17/10/23<br>Items ordered.<br><br>12/12/23<br>Items delivered. Installation works<br>will commence early 2024.  |
| Macquarie Park Flying<br>Fox and Playground<br>Equipment Softfall<br>Further Contribution.<br>(LRCI)<br><br>GL: 3360-4040-0005<br>JC: 3350-5-10 | \$89,625 (LRCI)<br><br>\$112,500 OLG<br><br>Total Budget<br>\$202,125 | Nil             | TSM  | 11/08/23<br>Approved in the LRCI Grant<br>Program of Works.<br><br>17/10/23<br>OLG funds approved In-Principle.<br><br>5/03/24<br>RFT will open Thursday<br><br>14/04/2024<br>with a closing date of 4/04/2024.  |

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| Local Roads and Community Infrastructure Grant Programs for Phase 4A and Phase 4B                  |          |                 |      |   |
|--|----------|-----------------|------|---|
|  |          |                 |      | To be reported to Council Meeting on Wednesday 24 <sup>th</sup> April, 2024.<br><br>10/04/2024<br><br>Tender evaluation report attached to Council Report.                                      |
| Project  | Budget   | Expend/<br>Comm | Resp | Comment   |
| Warren Cemetery Seating Covering. (LRCI)<br><br>GL: 3360-4040-0005<br>JC: 3350-7-10                | \$15,750 | \$11,335        | TSM  | 11/08/23<br>Approved in the LRCI Grant Program of Works<br><br>RFQ sent out.<br><br>17/10/23<br>Items ordered.<br><br>12/12/23<br>Items delivered. Installation works will commence early 2024. |
| Nevertire Cemetery Seating Covering. (LRCI)<br><br>JC: 3350-8-10                                   | \$10,500 | \$6,620         | TSM  | 11/08/23<br>Approved in the LRCI Grant Program of Works.<br>RFQ sent out.<br><br>17/10/23<br>Items ordered.<br><br>12/12/23<br>Items delivered. Installation works will commence early 2024.    |
| Nevertire Park – Installation of Irrigation System. (LRCI)<br>GL: 3360-4040-0005<br>JC: 3350-19-10 | \$14,700 | Nil             | TSM  | 11/08/23<br>Approved in the LRCI Grant Program of Works.  |
| Warren Cemetery Entrance Gates Refurbishment. (LRCI)<br><br>GL: 3360-4040-0005<br>JC: 3350-6-10    | \$21,000 | Nil             | TSM  | 11/08/23<br>Approved in the LRCI Grant Program of Works   |

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| Local Roads and Community Infrastructure Grant Programs for Phase 4A and Phase 4B |           |          |     |   |
|---|-----------|----------|-----|---|
| Warren Parks and Gardens CCTV System<br><br>JC: 3350-9-10                         | \$100,000 | \$90,909 | TSM | 11/08/23<br>Approved in the LRCI Grant Program of Works<br><br>8/10/2023<br>Draft camera locations were discussed at the October 2023 Town Improvement Committee Meeting.<br><br>22/11/23<br>Trial cameras to be set up at the Sporting Centre 1 <sup>st</sup> week of December 2023.<br><br>12/12/23<br>Trial camera set up at the Council Administration Building.<br><br>10/1/24<br>Equipment ordered.<br><br>5/03/24<br>Adjustments to the SOW to include some requests by NSW Police where possible.<br><br>10/04/2024<br>An amendment to the scope of Works has been requested from the funding body to increase the number of cameras being installed from 27 to 40.<br>\$207,334 will be the amended budget with \$204,063 funded from the LRCI Phase 4 with the balance from operational budget. |
| Ravenswood Park Softfall Installation. (LRCI)<br><br>JC: 3350-12-10               | \$89,145  | Nil      | TSM | 11/08/23<br>Approved in the LRCI Grant Program of Works   |

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| Local Roads and Community Infrastructure Grant Programs for Phase 4A and Phase 4B |  |  |  |   |
|---|--|--|--|---|
|   |  |  |  | <p>17/10/23<br/>Preparing tender documents</p> <p>5/03/24<br/>RFT will open Thursday,<br/>14/04/2024<br/>with a closing date of 4/04/2024.<br/>To be reported to Council Meeting<br/>on Wednesday 24<sup>th</sup> April, 2024.</p> <p>10/04/2024<br/>Tender evaluation report attached<br/>to Council Report.</p> |



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| Activity  | Required Interval            | Details  |  |
|---|------------------------------|--|--|
| <b>Water System Planned Maintenance</b>   |                              |  |  |
| River mains flushing  | As required                  | Flushing occurs three monthly when hydrants are flushed.<br><br>Additionally, river water mains are flushed when problems such as poor pressure/flow are identified.   |  |
| Water main flushing (Bore)  | As required                  | Sections are done where and when found necessary.  |  |
| Fire hydrants.<br>Covers checked, painted, flushed, and replaced where necessary, Blue reflective indicators, HP and HR signs installed | Quarterly                    | Flushing every 3 months as agreed with NSW RFS and Fire and Rescue NSW.  |  |
| Bore Inspections  | 5 Year Rolling Program       | The new Bore Flat bore was inspected and cleaned in November 2022. The old Nevertire bore was inspected in late November 2022. The condition of the Nevertire bore was imminent failure of the bore casing was possible. Condition 5. To prevent the loss of the pump if the bore collapsed, the pump will be removed from the bore and stored.<br><br>The new bore at Nevertire and both bores at Ellengerah inspected late February 2023.<br><br>Details of the pumping equipment in the new bores will be collected so that spare pumps can be purchased.<br><br>The Natural Resource Access Regulator (NRAR) carries out inspections of the bores and river extraction points on a random basis. |  |
| Warren, Nevertire and Collie water chlorine, turbidity, temperature, and pH testing   | Weekly at specific locations | Testing carried out daily  |  |
| Warren river pumps  |                              | Ellengerah Rd<br>Oxley Park<br>Macquarie Park<br>Racecourse  | Breakdown maintenance only.                  |
| Reservoir cleaning  | 3 to 5 years                 | Ellengerah and Nevertire Bore reservoirs   | Inspected and cleaned in December 2022. Next |

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|--|-------------------|--|---|
|  |                   |  | Diver inspection December 2025.   |
|  |                   | Oxley Park River<br>Ellengerah River   | Investigate using Remotely Operated Vehicle (ROV) to inspect 2023/2024. |
| <b>Sewerage System Planned Maintenance</b>                   |                   |  |   |
| Old and New Warren Sewerage Treatment Works                  | Quarterly         | <p>28/11/23</p> <p>The original design of the new STP required two evaporation lagoons be constructed each with a surface area of 48,400M2 at normal operating level giving a total surface area of 96,800M2. The actual size of the two constructed evaporation lagoons is 44,440m2, less than half the necessary area. To return the plant to the original design criteria, a third evaporation lagoon of 52,360M2 needs to be constructed. As the original design for the new STP was commenced by Public Works Advisory, Council has engaged them to design the new lagoon. Awaiting Geotechnical results regarding the suitability of the excavated spoil for construction use.</p> |   |
| Sewer gravity main CCTV Inspection and Smoke Testing program |                   | <p>Develop a program to carry out CCTV inspections and smoke testing of all gravity sewer mains in Warren and Nevertire.</p> <p>Develop a sewer main replacement/relining program.</p> <p>Identify stormwater infiltration locations.</p> <p>Develop a program to educate property owners and residents about stormwater infiltration prevention.</p> <p>Develop a stormwater infiltration rectification program for Council assets and private property. Tender documents being prepared.</p>   |   |

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|---|---|------------------------|-------------|---|
| <b>Water and Sewerage Works Subject to Funding</b>  |   |                        |             |   |
| Location  | Work Under Development  |                        |             |   |
| <b>Collie Water Supply</b><br>(Reliability, Quality and Chlorination)   | Relocation of the two, large Pioneer tanks to a new site located West of the Village. Construct a 10m high tank stand to support one or two, 25,000 litre water tanks at the Pioneer tank location. Installation of small package Water Treatment Plant and new gaseous chlorination equipment to return water supply to potable status. Install pressure pumps into a new building at the base of the new elevated tanks. Decommission and remove the old, elevated tanks. |                        |             |   |
| Project   | Grant Requested   | Estimated Project Cost | Resp        | Comment   |
| <b>Grant Applications</b>   |   |                        |             |   |
| <b>Crown reserves Improvement Fund (CRIF) General 2023-2024</b><br>Showground/Racecourse Irrigation Upgrade                   | \$825,000   | \$1,100,000            | TSM         | Installation of inner & outer automatic irrigation system to Warren Racetrack.<br><br>Pending grant approval. |
| <b>Water and Sewer – Routine Works Budget vs Expenditure To 10th April 2024</b>   |   |                        |             |   |
| Account   | Budget  |                        | Expend/Comm |   |
| Water Fund Maintenance and Repair   | \$819,538   |                        | \$634,056   |   |
| *High expenditure due to unexpected cleaning of Oxley Park Reservoir and river water mains, total cost for both is \$116,000. |   |                        |             |   |
| GL's: 4200-0003, 4220-0003, 4230-0003, 4240-0003, 4250-0003, & 4300-0003  |   |                        |             |   |
| Sewer Fund Maintenance and Repair   | \$464,604   |                        | \$177,227   |   |
| GL's: 5200-0003, 5250-0003, 5280-0003 & 5300-0003.  |   |                        |             |   |

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**Water and Sewer Works**

**Service Leaks**

- Corner of Milson and Stubbs Avenue
- 70 Dubbo St.
- Cremona St., Nevertire
- Corner Dubbo St. & Readford St.
- 24 River Street
- Car Readford & Chester
- Michelle St., Nevertire
- 208 Dubbo St.
- 9 Narromine St. at Nevertire
- 11 Readford St.
- Dubbo St. (Council's Side)

| Warren Sewerage Treatment Works inflow |                      | Sewerage Year – 1st June 2023 to 31st May 2024 |                   |                             |
|--|----------------------|--|-------------------|-----------------------------|
| Month                                  | Peak Daily Flow (KL) | Average Daily Flow (KL)                        | Monthly Flow (ML) | Cumulative Annual Flow (ML) |
| June 2023                              | 6558                 | 3401   | 13.60             | 13.60                       |
| July 2023                              | 2154                 | 717  | 12.91             | 26.52                       |
| August 2023                            | 786                  | 420  | 12.69             | 39.20                       |
| September 2023                         | 762                  | 490  | 14.68             | 53.88                       |
| October 2023                           | 1349                 | 499  | 13.50             | 67.38                       |
| November 2023                          | 1241                 | 437  | 13.11             | 80.49                       |
| December 2023                          | 568                  | 396  | 12.28             | 92.77                       |
| January 2024                           | 918                  | 411  | 12.75             | 105.52                      |
| February 2024                          | 1175                 | 521  | 15.12             | 120.64                      |
| March 2024                             | 706                  | 423  | 13.02             | 133.66                      |
| April 2024                             | 357                  | 357  | 0.36              | 134.02                      |

**As of the 2/4/2024**

\*Figures based on available Data.

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## Bulk Water Reading per Quarter

| Water Source                          | FIRST QUARTER READING<br>1/07/23-31/09/23 | BULK USAGE TO DATE (ML) | SECOND QUARTER READING<br>1/10/23 - 31/12/23 | BULK USAGE TO DATE (ML) | THIRD QUARTER READING<br>1/01/24-31/03/24 | BULK USAGE TO DATE (ML) | FOURTH QUARTER READING<br>1/04/24 - 30/06/24 | BULK USAGE TO DATE (ML) | % OF ANNUAL ALLOCATION | Max. Allocation (ML) |
|---------------------------------------|---|-------------------------|--|-------------------------|---|-------------------------|--|-------------------------|------------------------|----------------------|
| <b>Warren Bores</b>                   |   |                         |  |                         |   |                         |  |                         |                        |                      |
| Bore 1 (Bore Flat) Lic. 80AL703155    | 66.56                                     | 66.56                   | 56.92  | 123.47                  | 75.01                                     | 198.48                  | 0.77   | 199.24                  |                        |                      |
| Bore 2 (Ellengerah) Unlicensed        | 0.00                                      | 0.00                    | 9.65   | 9.65                    | 0.00                                      | 9.65                    | 0.00   | 9.65                    |                        |                      |
|                                       | <b>66.56</b>                              | <b>66.56</b>            | <b>66.56</b>                                 | <b>133.12</b>           | <b>75.01</b>                              | <b>208.12</b>           | <b>0.77</b>                                  | <b>208.89</b>           | <b>29.84%</b>          | 700                  |
| <b>Warren River</b>                   |   |                         |  |                         |   |                         |  |                         |                        |                      |
| Oxley Park Lic. 80AL700017            | 0.00                                      | 0.00                    | 0.00   | 0.00                    | 0.00                                      | 0.00                    | 0.61   | 0.61                    |                        |                      |
| Ellengerah Rd Lic. 80AL700017         | 45.98                                     | 45.98                   | 73.16  | 119.14                  | 51.29                                     | 170.43                  | 0.59   | 171.02                  |                        |                      |
|                                       | <b>45.98</b>                              | <b>45.98</b>            | <b>73.16</b>                                 | <b>119.14</b>           | <b>51.29</b>                              | <b>170.43</b>           | <b>1.21</b>                                  | <b>171.63</b>           | <b>22.88%</b>          | 750                  |
| <b>Showground (Racetrack)</b>         |   |                         |  |                         |   |                         |  |                         |                        |                      |
| Lic. 80AL700645                       | <b>4.85</b>                               | <b>4.85</b>             | <b>20.05</b>                                 | <b>24.90</b>            | <b>17.01</b>                              | <b>41.91</b>            | <b>9.12</b>                                  | <b>51.03</b>            | <b>27.14%</b>          | 188                  |
| <b>Nevertire Bore Lic. 80AL703158</b> | <b>6.16</b>                               | <b>6.16</b>             | <b>10.83</b>                                 | <b>16.99</b>            | <b>9.60</b>                               | <b>26.59</b>            | <b>0.09</b>                                  | <b>26.68</b>            | <b>66.70%</b>          | 40                   |
| <b>Collie Bore Lic. 80CA724011</b>    | <b>0.94</b>                               | <b>0.94</b>             | <b>2.64</b>                                  | <b>3.58</b>             | <b>2.49</b>                               | <b>6.07</b>             | <b>0.00</b>                                  | <b>6.07</b>             | <b>24.28%</b>          | 25                   |
| <b>Macquarie Park 80AL700996</b>      | <b>0.00</b>                               | <b>0.00</b>             | <b>0.00</b>                                  | <b>0.00</b>             | <b>0.00</b>                               | <b>0.00</b>             | <b>0.00</b>                                  | <b>0.00</b>             | <b>0.00%</b>           | 14.2                 |

\*Rainfall for April: 0mm

\*Rainfall to date: 214.7mm

\*Burrendong Dam Level: 56% As of 2/4/24

\*Figures based on available Data

**WARREN SHIRE COUNCIL**  
**Report of the Divisional Manager Engineering Services**  
**to the Ordinary Meeting of Council to be held in the**  
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ITEM 2

WORKS PROGRESS REPORTS – TOWN SERVICES

CONTINUED

| <b>Parks And Gardens – Routine Works Budget Vs Expenditure to 10th April 2024</b>  |               |                    |
|--|---------------|--------------------|
| <b>Account</b>   | <b>Budget</b> | <b>Expend/Comm</b> |
| Parks & Gardens, Cemeteries & Racecourse   | \$1,983,934   | \$782,199          |
| GL's: 0701-0003, 1151-0003, 1651-0003, 1701-0003, 2655-0003, 2660-0003 & 2670-0003 |               |                    |

The maintenance mowing and weeding of the Parks and Gardens are carried out on a 2-week rotating cycle with the following areas generally grouped together.

| <b>Site or location</b>   | <b>Works carried out</b>          |
|---------------------------|-----------------------------------|
| <b>Week One and Three</b> |                                   |
| Macquarie Park            | Mown, whipper snipped and weeding |
| Victoria Park             | Mown, whipper snipped and weeding |
| Ravenswood Park           | Mown, whipper snipped and weeding |
| Oxley Park                | Mown, whipper snipped and weeding |
| Ebert Park                | Mown, whipper snipped and weeding |
| Gillendoon Street         | Mown, whipper snipped and weeding |
| Orchard Street levee      | Mown, whipper snipped and weeding |
| Bob Christian Reserve     | Mown, whipper snipped and weeding |
| Lawson Street Levee       | Mown, whipper snipped and weeding |
| Family Health Centre      | Mown, whipper snipped and weeding |
| Collie Village            | Mown, whipper snipped and weeding |
| <b>Week Two and Four</b>  |                                   |
| Saunders Park             | Mown, whipper snipped and weeding |
| Skate Park                | Mown, whipper snipped and weeding |
| Splash Park               | Mown, whipper snipped and weeding |
| Lions Park                | Mown, whipper snipped and weeding |
| Rotary Park               | Mown, whipper snipped and weeding |
| Warren Lawn Cemetery      | Mown, whipper snipped and weeding |
| Median Strips             | Mown, whipper snipped and weeding |
| Library                   | Mown, whipper snipped and weeding |
| Len Woolnough Levee       | Mown, whipper snipped and weeding |
| Mary Stubbs Levee         | Mown, whipper snipped and weeding |
| Boston Street Levee       | Mown, whipper snipped and weeding |
| Macquarie Drive Levee     | Mown, whipper snipped and weeding |
| Nevertire Village         | Mown, whipper snipped and weeding |

**WARREN SHIRE COUNCIL**  
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**ITEM 2**

**WORKS PROGRESS REPORTS – TOWN SERVICES**

**CONTINUED**

The Play Equipment at Macquarie and Ravenswood Parks are inspected, and sand pit areas are raked daily.

BBQs at Macquarie Park, Oxley Park, Skate Park, and Splash Park are cleaned twice a week.

The following locations are mown, whipper snipped and weeded as needed:

- Bore Flat
- Bore Flat Levee
- Carter Oval
- Other Reserves
- Readford Street Levee
- WOW Centre
- Sewer Pumping Stations
- Shire Housing
- Town Medians and approaches
- Water Pumping Stations and Reservoirs
- Weed Spraying
- Tiger Bay Walking Track

**Parks and Gardens Works**

- Skate/Splash Park mow/snip
- Town approaches mowing
- Stubbs levee mow/snip
- Woolnough levee mow/snip
- Ravenswood Park mow/snip
- Victoria Oval mow/snip/line marking
- CBD area weeding/pruning/spraying
- Lawn Cemetery mow/snip
- Shire chambers mow/snip
- Bob Christensen Reserve mow/snip
- Inspect irrigation systems (on going)
- Boston St. levee mow/snip
- Warren Medical Centre mow/snip
- Warren median strip's mow/snip
- Tiger Bay pump station mow/snip
- Library mow/snip
- Bore Flat mow/snip
- CBD area tidy up weeding
- Victoria Oval Cricket pitch preparation
- Lions Park mow/snip
- Orchard St. Park mow/snip
- Ebert Park mow/snip
- Oxley Park mow/snip
- Rotary Park mow/snip
- Macquarie Park mow/snip
- Macquarie Drive mow/snip

**WARREN SHIRE COUNCIL**  
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**ITEM 2**

**WORKS PROGRESS REPORTS – TOWN SERVICES**

**CONTINUED**

**Town Crew Works**

|                                     |                              |
|-------------------------------------|------------------------------|
| Bogmat to Racecourse                | Flush Drains in gutters      |
| Tiding Tiger Bay walkways & Carpark | Dubbo Street Roundabout      |
| Spraying Walkways                   | Trim trees Gunningbar Estate |

**Non-Roads November/ December 2021 Flood and Storm Damage Works**

| Description  | Expenditure/ Committed  |
|--|---|
| Non-Roads November/ December 2021 Flood and Storm Damage Levee and Flood Gate Emergency Operation Works.<br><br><b>(Application for reimbursement submitted 8/03/2022)</b> | \$173,456.91<br><br>Note: \$36,330 per event will be funded by Council as per the agreement. This includes the Roads Flood and Storm Damage Claim contribution.<br><br>Waiting on full reimbursement. |
| 0700-0050-0500, 0700-0050-0510, 0700-0050-0520, 0700-0050-0530, 0700-0050-0540   |   |

**Non-Roads July, August, September, October, November, and December 2022 Flood Damage Works**

| Description  | Expenditure/ Committed   |
|--|--|
| Non-Roads July, August, September, October, November and December 2022 Flood and Storm Damage Levee and Flood Gate Emergency Operation Works.<br><br><b>(Application for reimbursement submitted 28/2/2023).</b> | \$757,745.33<br><br>Note: \$36,330 per event will be funded by Council as per the agreement. This includes the Roads Flood and Storm Damage Claim contribution.<br><br>Waiting on reimbursement. |
| 0700-0055-0500, 0700-0055-0510, 0700-0055-0520, 0700-0055-0530, 0700-0055-0540   |  |

**Aerodrome – Routine Works Budget vs Expenditure to 10th April 2024**

| Account              | Budget           | Expenditure/ Committed |
|----------------------|------------------|------------------------|
| Aerodrome Operations | <b>\$175,322</b> | <b>\$106,886</b>       |
| GL's: 2555-0003      |                  |                        |



**WARREN SHIRE COUNCIL**  
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**ITEM 3**

**WORKS PROGRESS REPORTS – FLEET – WORKSHOP**

**CONTINUED**

**RECOMMENDATION**

That the information be received and noted.

The following are details of Projects and Programs that are being managed by the Workshop Coordinator for the budget and works period to 10th April 2024.

| Plant Number                                       | Description              | Repairs  | Plant Down Time | Re pair Time (Man Hours) |
|--|--------------------------|--|-----------------|--------------------------|
| <b>Plant Repairs to 10<sup>th</sup> April 2024</b> |                          |  |                 |                          |
| P70  | Iseki Mower              | Steering defect. Tie rod end loose. Repaired, tested. All ok now.                                  | 2hrs            | 2hrs                     |
| P90  | Isuzu Truck              | Clutch rework.   | 1hr             | 1hr                      |
| P2122  | John Deere 5093E Tractor | Repairs made at H&P Warren Hitch failure, pick up test function. Checks made for carrying weights. | 1 week          | 2hrs                     |
| P2123  | John Deere 5093E Tractor | Transmission pip done by Hutchinson & Pearce Warren transmission concerns tested and all ok.       | 1week           | 1hr                      |
| 1023   | John Deere 770GP Grader  | 6750 hrs service done; general checks all ok.  | 5hrs            | 5hrs                     |
| P2340  | Isuzu Tender Truck       | 40,000 KM service done; general checks made all seems ok for now.                                  | 4hrs            | 4hrs                     |
| P8   | Caterpillar 432F Backhoe | 4-in-1 bucket rams removed, resealed, and tested. All ok.  | 8hrs            | 8hrs                     |
| P36  | Isuzu large Tipper       | Air leak in brake system.  | 2hrs            | 2hrs                     |
| P2802  | Iseki Mower              | Deck level adjustment and repairs.   | 2hrs            | 2hrs                     |
| P2341  | Isuzu Tender Truck       | Assist change flat tyre on the side of the road.   | 1hr             | 1hr                      |

**WARREN SHIRE COUNCIL**  
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**ITEM 3**

**WORKS PROGRESS REPORTS – FLEET – WORKSHOP**

**CONTINUED**

| <b>Plant Number</b> | <b>Description</b>        | <b>Repairs</b>   | <b>Plant Down Time</b> | <b>Re pair Time (Man Hours)</b> |
|---------------------|---------------------------|--|------------------------|---------------------------------|
| P2383               | Mack Superliner           | Install and commission phone kit into unit. Remove and replace exhaust elbow RHS.  | 4hrs                   | 4hrs                            |
| P2082               | Caterpillar CW34 Roller   | Air leak in tyre system. Diagnose and repair.  | 4hrs                   | 4hrs                            |
| P3621               | Toyota Hilux Twin Cab     | Service done on unit, general checks carried out as per manufacturers handbook.  | 3hr                    | 3hrs                            |
| P2081               | Caterpillar CW34 Roller   | Air leak in tyre system diagnose and repair leak.  | 3hrs                   | 3hrs                            |
| P2251               | Bartco Sign Board         | Repair damage done during break in attempt. Replace two battery taken.   | 6hrs                   | 6hrs                            |
| P2850               | Wipper Snipper            | Delivered for use at the waste depot.  | 1hr                    | 1hr                             |
| P2142               | Superior Slasher          | Repairs to side guard and wheel bearing replaced.  | 6hrs                   | 6hrs                            |
| P93                 | Caterpillar CW34 Roller   | Make air intake extensions for other rollers.  |                        | 2hrs                            |
| P3610               | Toyota Hilux Twin Cab 4x2 | Repairs to flashing beacons fallen off.  | 1hr                    | 1hr                             |
| P2040               | Caterpillar 432F Backhoe  | Diagnose A/C system fan speed function problem. Wiring issue yet to be found A/C still currently working. Cleaned out radiator and general check over of machine all ok. | 2hrs                   | 2hrs                            |
| P2440               | 8,000L Fuel Tank          | Repairs to filter tower, diagnose and repair all diesel leaks.   |                        | 10hrs                           |

**WARREN SHIRE COUNCIL**  
Report of the Divisional Manager Engineering Services  
to the Ordinary Meeting of Council to be held in the  
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**ITEM 3                      WORKS PROGRESS REPORTS – FLEET – WORKSHOP                      CONTINUED**

**ACRONYMS**

WC      Workshop Coordinator  
TBD     To be determined.  
DTC     Diagnostic trouble code  
DPD     Diesel particulate diffuse.

**WARREN SHIRE COUNCIL**  
Report of the Manager Health & Development Services  
to the Ordinary Meeting of Council to be held in the  
Council Community Room on Wednesday 24th April 2024

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**ITEM 1                      DEVELOPMENT APPLICATION APPROVALS**

**(B4-9)**

**RECOMMENDATION:**

That the information be received and noted.

**PURPOSE**

To inform the Councillors of the approved Development Applications by Council for the previous month.

**BACKGROUND**

Council received Development Applications from residents in the Warren Shire area to seek approval.

**REPORT**

Development Applications that have been received for approval for March 2024.

| <b>FILE</b> | <b>LOCATION</b>                              | <b>WORKS</b>     | <b>RECEIVED</b> | <b>APPROVED</b> |
|-------------|--|------------------|-----------------|-----------------|
| P16-23.18   | 130 Nevertire Bogan Rd<br>NEVERTIRE NSW 2826 | Micro Solar farm | 23/9/2023       | 22/3/2024       |
| P16-24.03   | 286 Gunnegaldra Rd<br>WARREN NSW 2824        | Erection of Shed | 12/2/2024       | 13/3/2024       |

**LEGAL IMPLICATIONS**

Council is required under the EPA Act to assess and determine applications within established timeframes.

**RISK IMPLICATIONS**

The EPA Act provides appeal mechanisms for applicants who believe that their application requires review.

**STAKEHOLDER CONSULTATION OPTIONS**

Council issues a S101 EPA Act list of approvals monthly for the community to review.

**CONCLUSION**

This report is provided to allow Council and the community to see the applications determined each month.

**LINK TO POLICY AND / OR COMMUNITY STRATEGIC PLAN**

- 1.1.4 Ensure current and future housing needs for the community are met.
- 5.2.1 Ensure that this strategic planning framework becomes an integral part of our operating culture.
- 5.2.6 Embrace a team centred culture of continual improvement to improve operational efficiency.

**SUPPORTING INFORMATION/ ATTACHMENT**

Nil.

**WARREN SHIRE COUNCIL**  
**Report of the Manager Health & Development Services**  
**to the Ordinary Meeting of Council to be held at**  
**Council Community Room, Warren on Wednesday 24th April 2024**

**ITEM 2           WORKS PROGRESS REPORTS – HEALTH AND DEVELOPMENT SERVICES (C14-7.3)**

**RECOMMENDATION:**

That the information be received and noted.

The following are details of the projects and grant applications that are being managed by the Manager Health and Development Services.

**Budget and Works from 13<sup>th</sup> March 2024 – 10<sup>th</sup> April 2024**

| <b>2020 Projects</b>  | <b>Budget</b> | <b>Expend.<br/>/Comm</b> | <b>Resp</b> | <b>Comment</b>  |
|---|---------------|--------------------------|-------------|---|
| Construction of two (2) x Council dwellings.<br><br>21 Deacon Drive and 8 Deacon Drive. | 56,145        | 40,896.87                | MHD         | <p>Completed July 2020.</p> <p>New complaint lodged with Department of Fair-Trading 18th May 2021. Additional information provided 2nd and 7th June 2021.</p> <p>Formal complaint lodged with Department of Fair-Trading 4th March 2021. Additional information provided 11th March 2021. A further report provided to Council in August 2021.</p> <p>Rectification order issued. Expired 26/10/2021 Builder expected at the end of November to complete requested maintenance and repair works which has not progressed.</p> <p>Report provided to February 2022 Committee of the Whole Closed Council Meeting concerning directions on this project.</p> <p>Council resolved that: Council proceeds to a hearing before The NSW Civil and Administrative Tribunal (NCAT) Consumer Division and if required the District Court.</p> <p>Proceedings have commenced on 28th July 2022, in NCAT in respect of both properties.</p> <p>Case has been lodged with District Court.</p> |

**WARREN SHIRE COUNCIL**  
 Report of the Manager Health & Development Services  
 to the Ordinary Meeting of Council to be held at  
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**ITEM 2                   WORKS PROGRESS REPORTS – HEALTH AND DEVELOPMENT SERVICES**  
**CONTINUED**

| 2021 Projects   | Budget  | Expend.<br>/Comm | Resp     | Comment  |
|---|---------|------------------|----------|--|
| Construction of the Waste Transfer Station at Ewenmar Waste Depot.  | 271,116 | 106,982          | MHD/TSM  | Final design complete. Contractor engaged to install drainage pipework at the end of November. Concreting works listed on vendor panel closed 3rd February 2022 contractor appointed. Due to time lapse, new quotations obtained and reassessed. MLB to commence once Equestrian Centre path is complete. No progress during September, October, November, December, January and February due to site being flooded and wet weather. Works commenced Wednesday 31 <sup>st</sup> May 2023. Footings for the retaining wall were poured on the 12 <sup>th</sup> July 2023. Wall completed December 2023. Unable to source contractor to date. Quotation obtained from Battleline as a possible suitable contractor. Quotation not accepted. Working towards completing works with Council staff and employees. |
| Completion of Tiger Bay Wetlands Walkway (Central West Councils Environment and Waterways Alliance 2021 Small Grants). (700-1400-5) | 4,545   | Nil              | MHD/DMES | Works program to be determined. Site inspection completed 5 <sup>th</sup> January 2023. Contractor engaged. Site preparation works commenced April 2024. Works delayed due to wet weather.   |

**WARREN SHIRE COUNCIL**  
 Report of the Manager Health & Development Services  
 to the Ordinary Meeting of Council to be held at  
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**ITEM 2 WORKS PROGRESS REPORTS – HEALTH AND DEVELOPMENT SERVICES**  
 CONTINUED

| 2023 Projects  | Budget | Expend. /Comm | Resp     | Comment   |
|--|--------|---------------|----------|---|
| Completion of Tiger Bay Wetlands Walkway.<br>(3310-4120-250)                               | 30,218 | 30,000        | MHD/DMES |   |
| Ewenmar Waste Depot Road repairs.  | 20,000 | Nil           | MHD/DMES | 306 claim complete for \$220,500.   |
| <b>Warren Support Services (Targeted Early Intervention)</b>                               |        |               |          |   |
| 2.22 Warren Chamber of Music Festival.   | 4,380  | Nil           | MHD      | To be held February 2023 through to September 2023. Waiting on acquittal. |
| 2.27 St Mary's Naidoc Week 2023.   | 5,000  | Nil           | MHD      | To be held July 2023. Waiting on acquittal.                               |
| 2.28 Warren Junior Soccer 2023.  | 5,000  | Nil           | DMFA     | To be held over a period of 12 months.                                    |
| 2.31 Warren Youth Group - Psychology service.  | 50,000 | Nil           | MHD      | To be held over a period of 12 months.                                    |
| 2.32 MPS Speech and Literacy intervention.   | 5,000  | Nil           | MHD      | To be held over 12 months.  |
| 2.38 Barnardos - swimming lessons  | 1,200  | Nil           | MHD      | Waiting on acquittal.   |
| 2.39 Piano Lessons   | 3,000  | Nil           | MHD      | To be held over 12 months.  |
| 2.40 Warren performing Arts and Language Place Inc Warraan Widji Arts Youth Chior          | 5,000  | Nil           | MHD      | 13/2/2024 – 23/4/2024   |
| 2.41 Warren performing Arts and Language Place Inc Warraan Widji Arts Dance and Grow       | 5,000  | Nil           | MHD      | 14/2/2024 - 4/12/2024   |
| *2.42 Zheng Fu Tai Chi and Wellness sound wave Meditiation Therapy.                        | 2,143  | 2143          | MHD      | Complete and acquitted.   |
| 2.44 Warren Pastural and Ag Association, Free Entertainment for the children for the show. | 5,000  | Nil           | MHD      | 25/5/2024   |

**WARREN SHIRE COUNCIL**  
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**ITEM 2                      WORKS PROGRESS REPORTS – HEALTH AND DEVELOPMENT SERVICES**  
**CONTINUED**

| <b>Warren Support Services (Targeted Early Intervention)</b>  |         |        |         |  |
|---|---------|--------|---------|--|
| 2.45 Warren Pastural and Ag Association, Free Entertainment for the children for the show.  | 5,000   | Nil    | MHD     | 25/5/2024  |
| 2.46 Grow Expo Warren Youth Group.  | 5,000   | Nil    | MHD     | 7/5/2024   |
| <b>Capital Expenses</b>   |         |        |         |  |
| *Dwelling Renewals – 1 Pittman Parade. Replacement of kitchen.  | 60,000  | 59,511 | MHD     | Complete.  |
| Council Housing M & R.<br><br>(Includes \$20,000 for 2023/2024)<br><br>Dwelling renewal, reserve \$56,145 and \$11,741 specific M&R | 87,886  | 50,513 | MHD     | 56 Garden Avenue, Heavy Maintenance 90% Completed.<br><br>Purchase order for kitchen issued.<br><br>Kitchen ordered.   |
| <b>Capital Renewal</b>  |         |        |         |  |
| Warren War Memorial Swimming Pool relining project.   | 405,455 | Nil    | MHD     | Further report provided to the June 2023 Committee of the Whole Closed Council. Tenders closed 30 <sup>th</sup> January 2024 and reported to the February Council Meeting. On hold subject to grant funding. |
| Animal Shelter Replacement.<br>(Includes \$80,000 for 2023/2024).   | 140,000 | Nil    | MHD/IPM | Project in planning stage.   |
| <b>Town Planning</b>  |         |        |         |  |
| LEP Review.   | 45,000  | 22,132 | MHD     | Consultant engaged. Draft report provided, reviewed. Feedback provided. Progressing with the recommendations.  |



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**ITEM 2                      WORKS PROGRESS REPORTS – HEALTH AND DEVELOPMENT SERVICES**  
**CONTINUED**

| <b>LOCAL ROADS AND COMMUNITY INFRASTRUCTURE PROGRAM – PHASE 4 – LOCAL ROADS AND COMMUNITY INFRASTRUCTURE PROJECTS (G4-1.70, G4-1.84)</b> |               |                      |             |  |
|--|---------------|----------------------|-------------|--|
|  | <b>Budget</b> | <b>Expend. /Comm</b> | <b>Resp</b> | <b>Grant funding successful 8<sup>th</sup> August 2023</b>   |
| Solar Panel Installation Warren Swimming Pool.   | 40,000        | 25,570               | MHD         | Contractor commenced onsite 2 <sup>nd</sup> November 2023. Stage 1 completed 7 <sup>th</sup> November 2023.    |
| Victoria Oval Park Permanent Scoreboard Contribution.  | 35,000        | 23,612.50            | MHD         | \$20,000 grant funds (\$15,000 contribution from the Warren Rugby Club). Scoreboard arrived end December 2023. |
| Trailer Mounted Scoreboard Contribution. (2)   | 45,000        | 33,877.50            | MHD         | Purchase order issued. Scoreboard arrived end December 2023.   |
| Warren Sporting and Cultural Centre Retaining Wall (Stage 2).  | 30,000        | 15,680               | MHD         | Purchase order issued. Contractor commenced onsite January 2024. Complete February 2024.                       |
| Windows on the Wetlands Centre Precinct EV Charging Station (up to 3) and Power Upgrade Contribution.                                    | 37,996        | Nil                  | MHD/IPM     |  |













































# WARREN SHIRE COUNCIL

Report of the Manager Health & Development Services  
to the Ordinary Meeting of Council to be held at  
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ITEM 3 DEVELOPMENT APPLICATION – RURAL FIRE SERVICES WARREN CENTRAL  
BRIGADE FACILITY AND SUBDIVISION, LOTS 1 AND 2 DP853548 WILSON STREET  
WARREN CONTINUED

## ATTACHMENT D

to Gary + Mary Anne Warren Shire Council.

I am writing this letter to follow up on my objections to the proposed erection of the bush fire Brigade Storage & Training facility building that is planned for Wilson St Warren.

The building is much larger than my home and therefore will spoil my outlook and the outlook of future homes that may be built.

Also as this is a Residential Area and this is Bush fire Brigade, which I am led to believe, do not fight fires in town. This is also close to the school and could possibly be a future disaster occurrence.

Would the also mean, for future housing being built. That the entrance for that would be on the other side of my home.

As a mate payer of long standing, I feel that you are disrespecting my children and wellfare. And the ~~detention~~ home.

There are other suitable sites for this Storage & Training facility to be built on.



**WARREN SHIRE COUNCIL**  
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**ITEM 3 DEVELOPMENT APPLICATION – RURAL FIRE SERVICES WARREN CENTRAL BRIGADE FACILITY AND SUBDIVISION, LOTS 1 AND 2 DP853548 WILSON STREET WARREN CONTINUED**

**ATTACHMENT F PLANS**

**NSW RURAL FIRE SERVICE  
 NORTHWEST CENTRAL  
 CAT 4B STATION  
 330 WILSON STREET, WARREN**

DATE DRAWN: 16.06.2023  
 SCALE:  
 DRAWING NO.: 1  
 ISSUE: E 308 IN: B23-14

DRAWING TITLE:  
**COVER SHEET**

THIS DRAWING IS SUBJECT TO THE DEVELOPMENT APPLICATION AND THE LOCAL GOVERNMENT'S WRITTEN PERMISSION OF BEJCO PTY LTD (ABN 29 695 200 207) ©

PROJECT: WARREN RFS STATION - CAT 4B  
 ADDRESS: 330 WILSON STREET, WARREN NSW 2824  
 CLIENT: RFS NORTHWEST CENTRAL

GENERAL NOTE: DETAILS SHOWN ON THESE PLANS ARE INTENDED TO BE USED AS A GUIDE ONLY. CONTRACTORS SHALL TAKE PRECEDENCE OVER PLANS.  
 • ALL DIMENSIONS ARE IN MILLIMETRES UNLESS OTHERWISE SPECIFIED.  
 • ALL DIMENSIONS ARE TO STRUCTURAL FRAMES ONLY EXCLUDING FINISHED SURFACES

733 HAYTHORN STREET  
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**SHEET LIST**

|    |                                    |
|----|------------------------------------|
| 1  | COVER SHEET                        |
| 2  | FLOOR LAYOUT & NOTES               |
| 3  | ELEVATIONS                         |
| 4  | SECTIONS                           |
| 5  | TOILET PLAN & ELEVATIONS           |
| 6  | DETAILS                            |
| 7  | SITE PLAN & SECTIMENT CONTROL PLAN |
| 8  | WINDOW, DOOR & FINISHES SCHEDULES  |
| 9  | STRUCTURAL FRAMES - SHEET          |
| 10 | SHADOW DIAGRAMS - JUNE             |





# WARREN SHIRE COUNCIL

## Report of the Manager Health & Development Services to the Ordinary Meeting of Council to be held at Council Community Room, Warren on Wednesday 24th April 2024

### ITEM 3      DEVELOPMENT APPLICATION – RURAL FIRE SERVICES WARREN CENTRAL BRIGADE FACILITY AND SUBDIVISION, LOTS 1 AND 2 DP853548 WILSON STREET WARREN      CONTINUED

**LEGEND**

- B - BOLLARD
- TV - TUBO VENT AND DOWN ROOF VENTILATION
- FB - FIBREBOARD INSULATION
- VB - VULNERABLE INSULATION
- ESM - SHEET METAL ROOFING
- ESM - SHEET METAL WALL CLADDING
- RSC - ROOF RIDGE CAPTING
- RMS - MAIN WATER GUTTER
- RNF - RAINWATER FAN
- PA - PERSONAL ACCESS DOOR
- SA - SUN DOOR
- SAH - PRE-FORMED METAL LOUVER
- SAV - VENTILATING

**ELEVATION 1**  
SCALE: 1:100  
BM SCALE

**ELEVATION 2**  
SCALE: 1:100  
BM SCALE

**ELEVATION 3**  
SCALE: 1:100  
BM SCALE

**ELEVATION 4**  
SCALE: 1:100  
BM SCALE

**GENERAL NOTES:**

- PLEASE NOTE DETAILS SHOWN ON THESE PLANS ARE INTENDED TO BE USED AS A GUIDE ONLY.
- INDIVIDUAL CONTRACTORS WILL TAKE PRECEDENCE OVER PLANS.
- ALL DIMENSIONS ARE TO STRUCTURAL FRAMES ONLY INCLUDING FINISHED SURFACES.
- DO NOT SCALE. USE DIMENSION LINES.

7/13 HAYTHORN STREET  
CHERRY HILL NSW 2186  
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**BEJJCO**

PROJECT: WARREN RFS STATION - CAT 4B  
ADDRESS: 330 WILSON STREET, WARREN NSW 2824  
CLIENT: RFS NORTHWEST CENTRAL

DATE DRAWN: 16.06.2023  
SCALE: 1:100  
DRAWING No: 3  
ISSUE: E JOB No: B23-14

DRAWING TITLE:  
**ELEVATIONS**

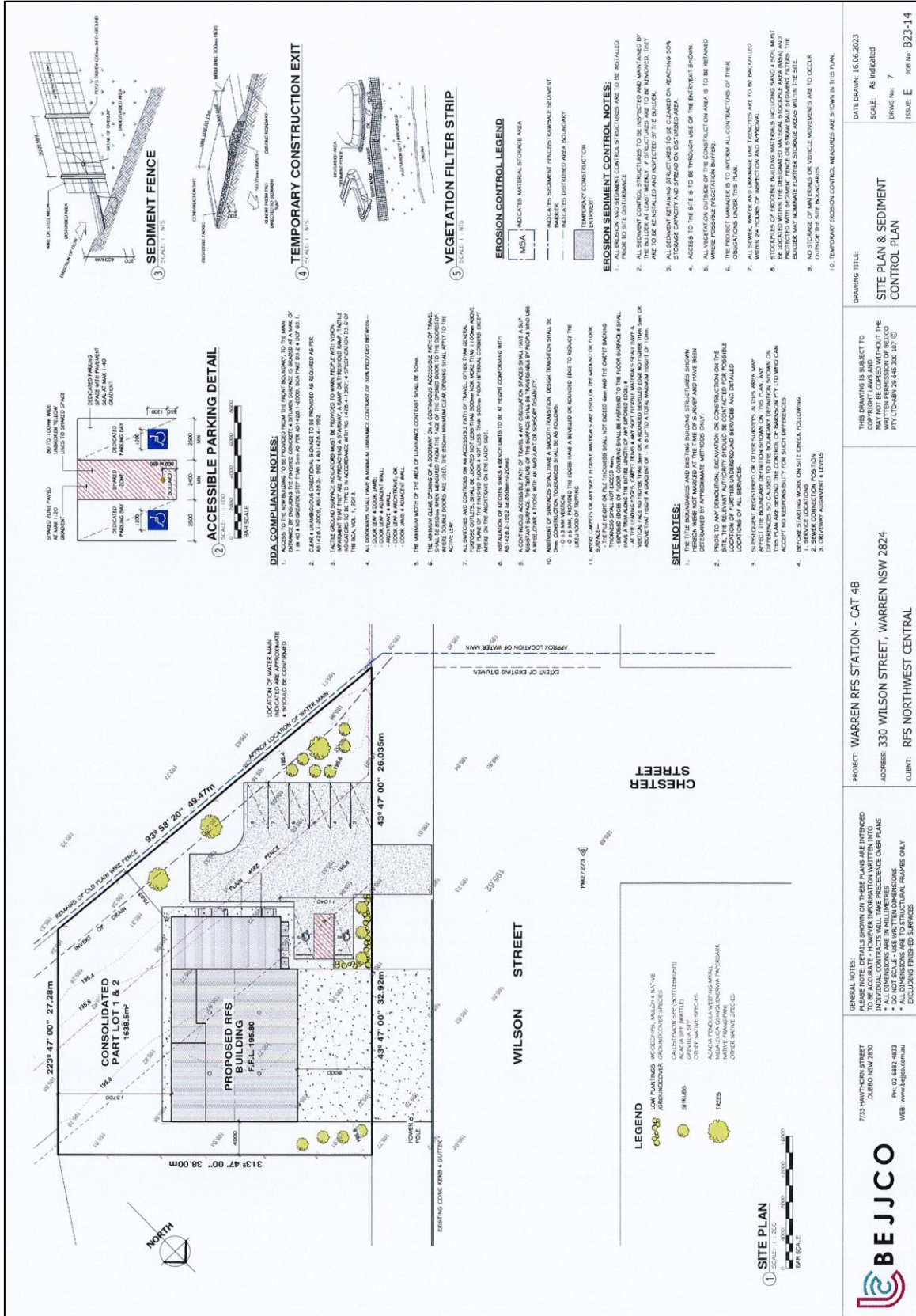
THIS DRAWING IS SUBJECT TO  
CHANGES. IT MAY NOT BE COPIED WITHOUT THE  
WRITTEN PERMISSION OF BEJJCO PTY LTD. MARK 28 448 300 407 00



# WARREN SHIRE COUNCIL

## Report of the Manager Health & Development Services to the Ordinary Meeting of Council to be held at Council Community Room, Warren on Wednesday 24th April 2024

### ITEM 3 DEVELOPMENT APPLICATION – RURAL FIRE SERVICES WARREN CENTRAL BRIGADE FACILITY AND SUBDIVISION, LOTS 1 AND 2 DP853548 WILSON STREET WARREN CONTINUED

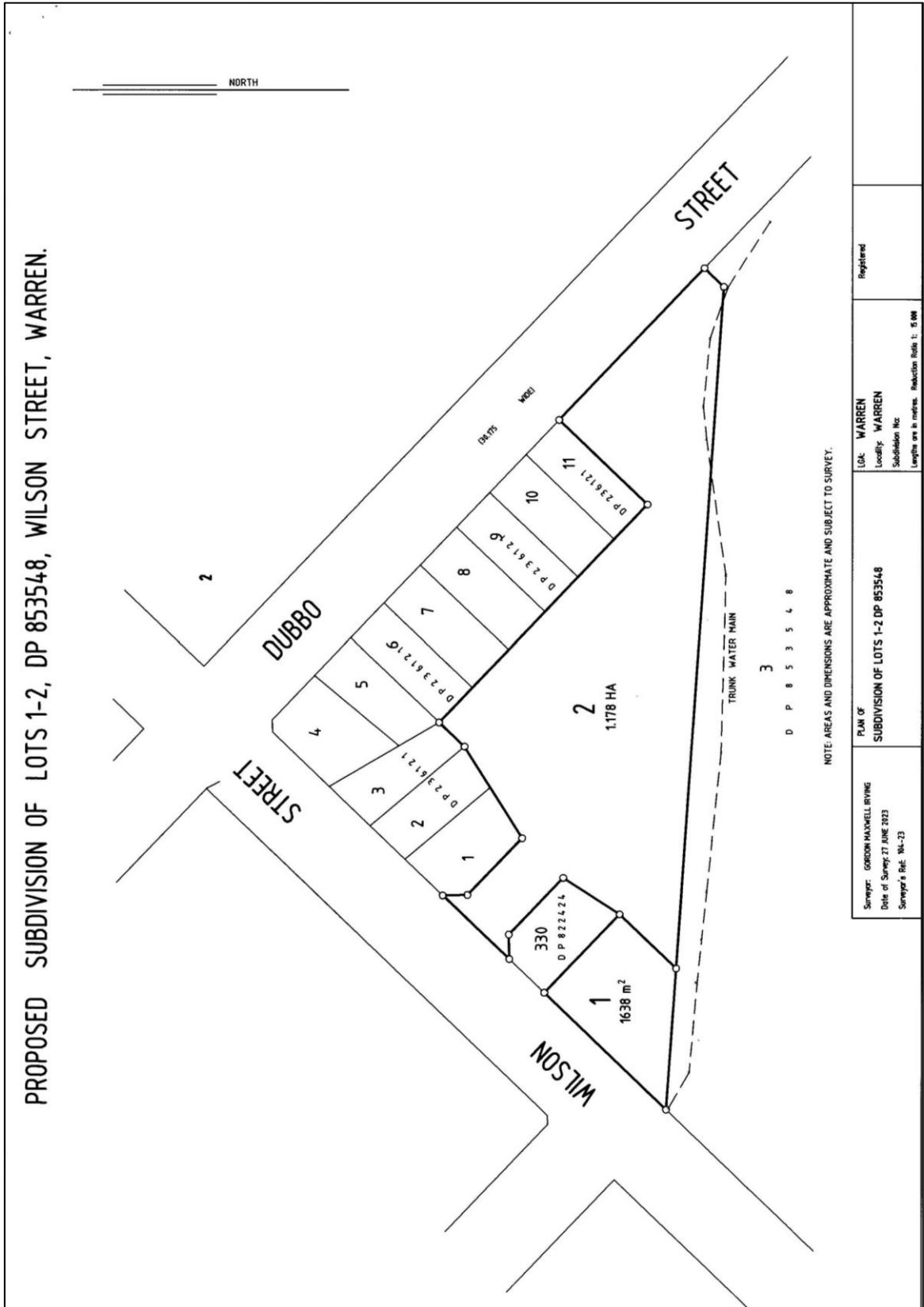


|  |  |  |
|--|--|--|
| <p><b>GENERAL NOTES:</b></p> <p>PLEASE NOTE - DIMENSIONS SHOWN ON THESE PLANS ARE INTENDED TO BE ACCURATE - HOWEVER INFORMATION WRITTEN INTO DIMENSIONS ARE IN MILLIMETRES</p> <p>• ALL DIMENSIONS ARE IN MILLIMETRES</p> <p>• DO NOT SCALE - USE WRITTEN DIMENSIONS</p> <p>• EXCLUDING FINISHED SURFACES</p> <p>7/13 HAVTHORNE STREET<br/>DUBBO NSW 2830<br/>PH: 02 8882 4833<br/>WEB: <a href="http://www.bejjco.com.au">www.bejjco.com.au</a></p> <p style="text-align: right;"><b>BEJJCO</b></p> | <p><b>PROJECT:</b> WARREN RFS STATION - CAT 4B</p> <p><b>ADDRESS:</b> 330 WILSON STREET, WARREN NSW 2824</p> <p><b>CLIENT:</b> RFS NORTHWEST CENTRAL</p> | <p><b>DRAWING TITLE:</b></p> <p style="text-align: center;"><b>SITE PLAN &amp; SEDIMENT CONTROL PLAN</b></p> <p>DATE DRAWN: 16.06.2023<br/>SCALE: As indicated<br/>DRAWN BY: 7<br/>ISSUE: E JOB No: B23-14</p> |
|--|--|--|



**WARREN SHIRE COUNCIL**  
 Report of the Manager Health & Development Services  
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 Council Community Room, Warren on Wednesday 24th April 2024

**ITEM 3                      DEVELOPMENT APPLICATION – RURAL FIRE SERVICES WARREN CENTRAL BRIGADE FACILITY AND SUBDIVISION, LOTS 1 AND 2 DP853548 WILSON STREET WARREN                      CONTINUED**



**WARREN SHIRE COUNCIL**  
**Report of the Manager Health & Development Services**  
**to the Ordinary Meeting of Council to be held at**  
**Council Community Room, Warren on Wednesday 24th April 2024**

**ITEM 3                    DEVELOPMENT APPLICATION – RURAL FIRE SERVICES WARREN CENTRAL BRIGADE FACILITY AND SUBDIVISION, LOTS 1 AND 2 DP853548 WILSON STREET WARREN**  
**CONTINUED**

**ATTACHMENT G**

**RECOMMENDATION:**

- That the information be received and noted, and
- Development application P16-23.21 for the construction of a new rural fire services station and subdivision located at 2 Wilson St WARREN NSW 2824, is approved subject to the following conditions:

**3.** The work must be carried out in accordance with the requirements of the National Construction Code 2022.

**Reason:** Statutory requirement.

**4.** A sign must be erected in a prominent position on the site:

- showing the name, address and telephone number of the principal certifying authority for the work, and
- showing the name of the principal contractor (if any) for any building work and a telephone number on which that person may be contacted outside working hours, and
- stating that unauthorised entry to the work site is prohibited, and
- the GPS location of the work site for emergency situations.

Any such sign is to be maintained while the building work is being carried out but must be removed when the work has been completed.

**Reason:** Statutory requirement.

**Conditions imposed by Council**

**Approved Plans and Supporting Documentation**

**3.** The development must be implemented in accordance with the approved plans, specifications and supporting documentation listed below which have been endorsed by Council’s approved stamp, except were amended by conditions of this consent:

| Statement of Environmental Effects, V1.2, prepared by Wakefield Planning.   |         |                                   |              |
|---|---------|-----------------------------------|--------------|
| The following plans, studies and reports submitted with Development Application Number P16-23.21, and prepared by Bejjco (unless otherwise stated): |         |                                   |              |
| Drawing Document Project No.  | Version | Content                           | Date of Plan |
| 23054   | A       | Section J BCA Assessment Report   | 16 June 2023 |
| 41410-GR01_A  | A       | Geotechnical Investigation Report | 14 June 2023 |
| B23-14.1  | E       | Cover page                        | 16 June 2023 |



















































