



CARPENTARIA SHIRE

Outback by the Sea

BUSINESS PAPER

15 JUNE, 2022

BUSINESS PAPERS

NOTICE OF MEETING

COUNCILLORS:

Mayor Jack Bawden	Chairperson
Cr Ashley Gallagher	
Cr Bradley Hawkins	
Cr Andrew Murphy	
Cr Craig Young	
Cr Amanda Scott	
Cr Douglas Thomas	

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

Mark Crawley
CHIEF EXECUTIVE OFFICER

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

RECOMMENDATION

That the Minutes of the Ordinary Council Meeting held 18 May 2022 be confirmed.

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

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8 CONFIDENTIAL BUSINESS – ADJOURNMENT INTO CLOSED SESSION

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

RECOMMENDATION

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

8.1 Communications Offer - Peak Services

This item is classified CONFIDENTIAL under the provisions of clause 275(1)(g) of the Local Government Regulation 2012, which permits the meeting to be closed to the public for business relating to negotiations relating to a commercial matter involving the local government for which a public discussion would be likely to prejudice the interests of the local government.

8.2 Request for deferral of Loan Repayment - Normanton Rodeo Association

This item is classified CONFIDENTIAL under the provisions of clause 275(1)(e) of the Local Government Regulation 2012, which permits the meeting to be closed to the public for business relating to legal advice obtained by the local government or legal proceedings involving the local government including, for example, legal proceedings that may be taken by or against the local government.

8.3 Bynoe CACS Ltd - Account Reconciliation

This item is classified CONFIDENTIAL under the provisions of clause 275(1)(g) of the Local Government Regulation 2012, which permits the meeting to be closed to the public for business relating to negotiations relating to a commercial matter involving the local government for which a public discussion would be likely to prejudice the interests of the local government.

8.4 Request to Allow Discount and Waive Interest

This item is classified CONFIDENTIAL under the provisions of clause 275(1)(d) of the Local Government Regulation 2012, which permits the meeting to be closed to the public for business relating to rating concessions.:

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9 REPORTS FROM THE CHIEF EXECUTIVE OFFICER

9.1 CEO REPORT

Attachments:	9.1.1. Mining Permit Report 01062022 ↓
	9.1.2. Constrained Land Map 01062022 ↓
	9.1.3. Exploration Permits - Minerals Granted ↓
	9.1.4. Exploration Permits - Petroleum Application ↓
	9.1.5. LGAQ Annual Conference Motions Template ↓
	9.1.6. Survey Plan - Conversion to Freehold - Wren ↓
	9.1.7. Correspondence from QRA in relation to funding programs ↓
	9.1.8. Phase Four support programs - DRFA ↓
Author:	Mark Crawley - Chief Executive Officer
Date:	7 June 2022

Key Outcome: Day to day management of activities within the Office of the CEO

Key Strategy: As per the Departmental Plan for the Office of the CEO

Executive Summary:

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

RECOMMENDATION:

That Council:

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

MEETINGS SCHEDULE

Date	Time	Event	Location
Council			
15 June 2022	9:00am	Ordinary Meeting of Council	Boardroom
16 June 2022	8:30am	Workshop – Councillors, CEO, Directors and Managers	Boardroom
20 July 2022	9:00am	Ordinary Meeting of Council	Boardroom
21 July 2022	8:30am	Workshop – Councillors, CEO, Directors and Managers	Boardroom
NWQROC and LGAQ			
7-8 July		NWQROC Meeting	Cloncurry

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Date	Time	Event	Location
26-28 July		Bush Councils Convention	Barcaldine
11-12 August		Coastal Leaders and QCoast Forum	Gladstone
6-7 October		NWQROC Meeting	Julia Creek
17-19 October		LGAQ Annual Conference	Cairns
8-9 December		NWQROC Meeting	Hughenden
Local Government Professionals Australia			
2 nd half of 2022		Local Government Professionals Aust – National Congress	Queensland or N.T. (TBC)
6-8 September		Local Government Managers Australia – State Conference	Gladstone

FINANCIAL REPORT

Governance Income and Expenditure to 30 May 2022

Row Labels	Sum of Original Budget	Sum of YTD Actual	Sum of Order Value	Sum of Total Actual
Operating Expenditure				
Communications	50,000	62,691	7,384	70,075
Community Recovery	0	17,654	3,021	20,675
Disaster Events	0	89,503	50,000	139,503
Disaster Preparedness	7,000	68,119	14,819	82,937
Elected Members	548,207	441,465	4,565	446,030
Emergency Response	110,000	31,521	270	31,791
Governance	1,185,337	1,070,287	39,159	1,109,447
Operational Plan	145,000	0	44,023	44,023
Regional Economic Development	0	3,500	0	3,500
Operating Expenditure Total	2,045,544	1,784,740	163,241	1,947,981
Operating Income				
Communications	0	-6,601	0	-6,601
Disaster Preparedness	-7,000	-11,048	0	-11,048
Emergency Response	-18,000	-17,059	0	-17,059
Governance	0	-560	0	-560
Operational Plan	-10,000	0	0	0
Operating Income Total	-35,000	-35,268	0	-35,268
Grand Total	2,010,544	1,749,472	163,241	1,912,712

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Tourism Budget – LWBDC Centre Manager Discovery Centre and Hatchery

Row Labels	Sum of Original Budget	Sum of YTD Actual	Sum of Order Value	Sum of Total Actual
Operating Expenditure				
Barra Bites Café	0	5,965	1,400	7,365
Hatchery	399,565	335,567	2,967	338,534
Les Wilson Barramundi Discovery Centre	709,747	684,046	39,202	723,248
Visitor Information	265,901	154,831	5,019	159,850
Operating Expenditure Total	1,375,213	1,180,409	48,589	1,228,997
Operating Income				
Barra Bites Café	0	-3,063	0	-3,063
Hatchery	-13,000	-35,234	0	-35,234
Les Wilson Barramundi Discovery Centre	-316,500	-423,262	0	-423,262
Visitor Information	-10,000	-9,570	0	-9,570
Operating Income Total	-339,500	-471,128	0	-471,128
Grand Total	1,035,713	709,281	48,589	757,869

Tourism

Row Labels	Sum of Original Budget	Sum of YTD Actual	Sum of Order Value	Sum of Total Actual
Operating Expenditure				
Tourism Events	120,000	117,960	22,617	140,577
Operating Expenditure Total	120,000	117,960	22,617	140,577
Operating Income				
Tourism Events	-10,000	-8,000	0	-8,000
Operating Income Total	-10,000	-8,000	0	-8,000
Grand Total	110,000	109,960	22,617	132,577

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ACTIONS OUTSTANDING FROM PREVIOUS MEETINGS

Date:	Ref:	Action	Status	Comment
October 20	012	Concessions not granted. Upgrade the signage to provide passcode to airside traffic.	Part complete	Signage yet to be arranged. Someone scratched code on gate post.
February 21	023	approve the request subject to the conditions outlined in the Subordinate Local Law No. 1.2 Commercial use of LG controlled areas and roads	Progressing	Initial letter advising of Council support for use as requested. Follow up to be provided in relation to Local Law conditions
May 21	007	Recommend the process to finalise the Water Supply Easements in negotiation with Landholders and finalise all agreements for the water supply at Glenore.	Progressing (see below)	Met with Preston Law on 10/2/2022 to progress.
August 21	009	Advisory Committee Policy and Terms of Reference for Advisory Committees adopted	Complete for O/CEO.	TOR for the Office of the CEO Completed
August 21	GB	Pipeline Easement	Progressing in conjunction with Item from May Meeting	Contact made with Dean Patchett to progress the inclusion of the northern section of the easement/road in our asset register
December 21	GB	Promotional Material – development of a booklet for new residents	Progressing	Followed up with consultant working on preparing a booklet for Council. Working on it now the NWQROC project has concluded.
May 22	005	Endorse the Economic Impact Analysis of the Dixie Way and commence advocacy	Complete	Included in submissions and is highlighted in the Regional Priorities and Opportunities document. Will include as item in Tourism Strategy over time.
May 22	006	Adoption of Outback by the Sea Tourism Strategy	Complete	Strategy has been uploaded to website. Media release to be developed.
May 22	GB	Distribute spreadsheet template to Councillors for feedback	Complete	Some feedback received.
May 22	GB	Council meeting date to be changed for October meeting due to LGAQ Conference dates	Complete	Date highlighted for change in meeting schedule.
May 22	GB	Prepare EOI for desexing program for Carpentaria Shire	Progressing	Reached out to Burke Shire in relation to their recent program. No EOI called.

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MATTERS FOR COUNCIL CONSIDERATION

1. Covered in separate reports

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

Recommendation: NIL

MATTERS FOR COUNCIL INFORMATION

2. Mining Exploration Permits – Carpentaria Shire

Attached is a copy of the Mining Report for Carpentaria Shire and contains information about the permits applied for and those granted, also attached are copies of the appropriate maps.

Below is information in relation to the companies mentioned in the report: -

Yappar Resources Pty Ltd

North Queensland Resources (NQR) through its three subsidiaries Gamboola Resources, Lynd Resources and Yappar Resources acquired 100% of the mineral rights to a large tenement package in north Queensland in the 2016/17 period. Recognising the cyclical nature of the minerals commodity industry, NQR developed and executed their business strategy through the downturn. Metal commodity prices are now responding to a confluence of lower supply and increasing demand, setting the scene for NQR to farm-out this prospective tenement package.

NQR is owned by the RVF Investments (RVF) and the Romardo group

RVF is a small private equity group based in Melbourne that invests in mining exploration opportunities, principally base and precious metals. RVF has a world class exploration team led by Tom Whiting, one of Australia's best geophysicists. RVF has a rare combination of world class exploration expertise and resources deal making track record, coupled with patient risk capital.

The Romardo group are very experienced mineral prospect generators, comprising Douglas Haynes, Bob Skrzeczynski, Mark Dugmore and Darryn Hedger.

Red Metal Limited

RED METAL LIMITED is an Australian mineral explorer, combining proven exploration experience with a focused basemetal strategy over exploration tenements covering more than 10,000 sq km in Australia's most productive mineral provinces.

ASX code: RDM Ordinary Shares: 245,591,743 Unlisted Options: 10,975,000

DIRECTORS:

Rob Rutherford (Managing Director)

Russell Barwick (Chairman)

Joshua Pitt (Non-executive Director)

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Strategic Energy Resources Limited

The Board of Directors of Strategic Energy Resources Ltd is responsible for the corporate governance of the consolidated entity and is committed to applying ASX Corporate Governance Council's 'Principles of Good Corporate Governance and Best Practice Recommendations'.

The Board guides and monitors the business and affairs of Strategic Energy Resources Ltd on behalf of the shareholders by whom they are elected and to whom they are accountable. It is a requirement of the Board that the Company maintains at all times the highest standards of ethics and integrity.

<https://strategicenergy.com.au/projects/canobie-district/>

Aeon Walford Creek Limited

Aeon Metals Limited is an Australian-based mineral exploration company listed on the Australian Stock Exchange (ASX code: AML).

The Company has an extensive exploration tenement portfolio in the world-class Mount Isa mineral province in North West Queensland; as well as the Rawbelle district in South East Queensland.

Aeon Metals' tenements are prospective for Copper, Cobalt, Gold, Lead, Zinc, Molybdenum and Silver.

Aeon Metals' flagship asset, and highest priority tenement, is the 100% owned Walford Creek Project, which is an advanced world-class Copper-Cobalt project and one of the highest grade significant cobalt deposits in Australia.

Heavy Metal Exploration Pty Ltd

ACN: 163155913

HEAVY METAL EXPLORATION PTY LTD was incorporated on Apr 04 2013 as an Australian Private Company, Limited by Shares registered in Australia. The company's status is listed as " Active" now.

Heavy Metal Exploration Pty Ltd has been operating for 9 years 1 months, and 29 days.

Australian Company Number (ACN) 163155913

Company Name HEAVY METAL EXPLORATION PTY LTD

Australian Business Number (ABN) 63163155913

Date of Incorporation Apr 04 2013

Company Type & Class Australian Private Company, Limited by Shares

Active Status Active

Website: Website

Taragon Valley Pty Ltd

Taragon Valley Pty Limited is a Western Australia based Australian Private Company, its ABN was registered 1st September 2020. It is registered for GST.

Moho Resources Limited

<https://www.mohoresources.com.au/>

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Group 11 Minerals Pty Ltd

Address: Tennyson, QLD 4105, Australia

GROUP 11 MINERALS PTY LTD (Entity# 649477805) is a business entity registered with Australian Securities and Investments Commission (ASIC). The business registration date is *April 15, 2021*.

Recommendation: For information

3. Regional Strengths and Infrastructure Gaps

Councils' submission was submitted within the timeframes and with a follow up email to Infrastructure Australia we confirmed receipt of the submission and associated documents.

A copy of the submission was also provided to Townsville and North West RDA, Department of State Development, Infrastructure, Local Government and Planning (Mount Isa Office), Greg Hoffman NWQROC and Sen. Susan McDonald

Recommendation: For information

4. LGAQ

Couple of items for discussion and feedback, attached is a copy of the LGAQ Motions Template for motions for submission for the Annual Conference at the Cairns Convention Centre from Monday 17th – Wednesday 19th October. Mayor, Deputy Mayor and CEO regular attendees, are other Councillors wishing to attend.

The Bush Council Convention is scheduled for Barcaldine from Tuesday 26th – Thursday 28th July at the Town Hall. Full registration is \$990 per person. Does anyone wish to attend the Convention.

CEO Alison Smith, Nathan Ruhle and Simon Booth attended Council recently to provide update on LGAQ happenings and listed to some of the impacts on Local Government at the grass roots.

Recommendation: For feedback

5. Department of Resources – Advice re: conversion to Freehold

Council may recall that we requested, as part of the conversion to freehold, an area containing Ergon infrastructure to be excised from the application and identified for inclusion, at some time in the future, into the Council parcel. The power poles in the subject area provide power to the depot and residence in Karumba.

Copy of survey plan attached for information.

Recommendation: For information

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6. Fact Sheet – Changes to Water Levy

A fact sheet is in development and is nearing completion to allow us to advise the community of the proposed changes with the introduction of the two-part tariff in the next rate period. A copy will be distributed to Councillors at the meeting.

Recommendation: For information

7. DRFA Funding Programs

Correspondence has been received, and shared, in relation to funding available through the DRFA Support Packages.

Officers are requested to ensure we make the most of the opportunities for funding to progress projects requiring financial support and are eligible under the programs identified.

Recommendation: For information

8. COVID Active Cases - Update

Information in relation to active COVID cases and the statistics for each of the Regions and Local Government areas can be found at the link below.

[Queensland COVID-19 statistics | Health and wellbeing | Queensland Government \(www.qld.gov.au\)](https://www.qld.gov.au/health-and-wellbeing/queensland-covid-19-statistics).

Recommendation: For information

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Tourism Champions Update

Destination Marketing Activity

Social Media

Social media activity promoting tourism continues to increase across the region with more frequent posts now being seen from tourism businesses and major producers. Sharing and cross posting amongst this group is now common.

While this is very positive to see, the use of the regional tag @discovercarpentaria and hashtag #discovercarpentaria in these posts is very low, and a focus on increasing their use will be beneficial. The most direct method is to ask Council staff to use them when appropriate.

Another method that has proven easy to implement is when Council's ask their sponsored event organisers to include them in their posts. Given that events are major driver of awareness in the shire I would suggest that this is considered for future sponsorships.

Advertising

Advertising for the Outback by the Sea Festival commenced this month rolling into June and finishing on July 2nd. The marketing collateral produced has been provided for reference in this drop box link [HERE](#).

In region, the concert poster was distributed in print and online with ticket sales online via the Barra Centre website. They were also sent to the other Visitor Information Centres in the feeder markets.

Out of region, a \$3,000 paid digital marketing campaign using social media ads also commenced. The Carpentaria promotional video made by Vetta Productions was edited for this purpose and targeted travellers along the main travel routes to Carpentaria.

A \$7,000 TV and Radio campaign was also finalised with a 15 sec and 30 second TVC to be shown across the 7 Central network and 30 second radio commercial to be played on HIT 102.5 Mount Isa for the four weeks leading up to the event. \$5,000 of this campaign was sponsored by Austereo.

The Festival Program was compiled and drafted with a digital version to be published in mid-June followed by a print version that will be distributed to caravan parks and businesses in Normanton and Karumba in the week prior to the event.

RTO Memberships

Awaiting feedback on recommendation in February's report: that LWBDC maintains membership with both OQTA and TTNQ to leverage maximum benefit and value.

Gulf Savannah Development

Awaiting update on the progression of the LTO and then can determine how best to leverage the opportunities provided.

Influencers in Region

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Contract negotiations have continued to bring the influencers [Jessica Nguyen](#) a foodie blogger with almost 90,000 Instagram followers and a journalist from [Kidspot](#) one of the largest family publications in Australia to come to the Outback by the Sea Festival and in this process the outputs to be generated from their hosted visits was agreed. The itinerary will now be finalised for these visits. Time and activities in Normanton will be included in each itinerary although they may be different given the influencers focus.

Experience and Event Development

The 2022 OBTSE

Arrangements were made to relocate the festival to the carpark with a stage, fencing and portaloos sourced.

Expressions of interest were put out for food and beverage suppliers however this yielded little result due to the restricted use of the Barra Centre facilities i.e. no access to the kitchen. However, support from Candice Harris on the ground in Karumba has started to yield results.

Potential event activity providers including some who had previously expressed interest were approached by phone and email however this yielded little or no response. However, those that did respond were of a very good quality and there is now a blend of community led and operator led activities included in the program.

Unfortunately, the Festival Fishing app did not progress but will be progressed for future activation.

Local Area Mining Permit Report

Carpentaria Shire Council
All resources



This local area mining permit report has been prepared for the following area:

Selected area: **Carpentaria Shire Council**
 All resources

Information valid as at: **Sunday, May 29, 2022**

If you require more up-to-date information, please refer to the department's GeoResGlobe system.

Version 0.26

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Queensland's permit administration

The Queensland Government manages the allocation of land and resources through key legislation and permits that provides an administrative framework to regulate exploring for and mining of minerals, petroleum and gas under permits.

All permits are issued for a set period. Approval is conditional on applicants demonstrating a planned and structured program of activity and acceptance of environmental conditions.

Permit types are scaled according to the life cycle of resource development. Typically, large areas are made available for exploration. Only once a defined and commercially viable resource is found can an explorer apply for a production permit. Currently, less than 1 per cent of exploration permits for minerals or coal discover economic deposits that lead to a mining lease.

Typical rights and obligations under a permit include:

- the right to explore for, or extract, the mineral, petroleum or energy resource in a safe and responsible manner
- the obligation to manage the resource/s appropriately, including compensation to landholders and native title holders as appropriate
- the obligation to pay royalties to the state for the mineral, petroleum or energy produced
- the obligation to rehabilitate or restore areas disturbed by operations.

Permits are issued under the following Acts (and regulations):

- *Petroleum and Gas (Production and Safety) Act 2004*
- *Geothermal Energy Act 2010*
- *Greenhouse Gas Storage Act 2009*
- *Mineral Resources Act 1989*
- *Petroleum Act 1923.*

Permits can be divided into four types reflecting the differing levels of approved activity:

- exploration permits
- production permits
- infrastructure permits
- information permits.

Constrained areas

The industry is regulated under a variety of different Acts that pull together to form the regulatory framework for the sector. This regulatory framework limits, conditions or prohibits certain activities. An area where the activity may be limited is generally referred to as constrained. Generally, it is the Environmental Authority (EA), which is issued under the *Environmental Protection Act 1994* (EP Act), will impose conditions on the holder after having regard to the impact the proposed activity may have in the area.

Right to access land

Land access laws set out a framework for permit holders to engage with landholders about resource activities that may be authorised on private land. A Land Access Code sets best practice guidance for communication between landholders and permit holders and outlines mandatory conditions that permit holders must comply with when undertaking activities on private land. Affected landholders are entitled to know what activities are being undertaken, have input and receive compensation for impacts associated with those activities. Further information about land access laws and the Land Access Code is available on the department website.

1.0 CURRENT EXPLORATION PERMITS

Current exploration permit - summary

Resource	Application	Number of permits	
		Granted	Total
Minerals	4	31	35
Coal	0	0	0
Petroleum & gas	2	0	2
Geothermal	0	0	0
Greenhouse gas	0	0	0
Total	6	31	37

Exploration permits explained

Exploration permits are issued for finding out what minerals and gases exist in a particular area of land and the quality and quantity of the deposits, to improve the state’s knowledge and understanding of the resource base and to determine if it is economically viable to extract and commercialise the resource.

These permits allow a holder to undertake exploration activities including prospecting and surveying, sampling (water, rock and soil), drilling, ancillary environmental studies, conducting geophysical surveys and soil testing. The grant of an exploration permit does not always result in “on ground” exploration activities being undertaken on all land comprising the permit; exploration results may result in the holder deciding to focus activities in only certain parts of the permit area.

Generally, exploration permits **do not** allow holders to carry out production activities or make permanent changes to the landscape. At advanced exploration stage, production testing or bulk sampling may be permitted. Additional approvals will generally be required.

Exploration activities are regulated by the resource Act under which the permit was issued and the environmental authority issued under the *Environmental Protection Act 1994*. Exploration activities are also regulated under various safety and health Acts so as to protect the safety and health of persons at exploration sites and persons that may be affected by exploration activities.

A permit holder must provide a detailed work program for the activities they are intending to carry out under the permit. This allows the government to assess the appropriateness of the proposed activities, based on the geology, and to minimise land use conflict. Holders must also submit reports of what activity has taken place, to demonstrate compliance with the conditions of their permit and with the conditions under the issued environmental authority. The frequency and type of report varies under the different resource Acts.

Relinquishment applies to all exploration permits and means that land portions are relinquished (given up) periodically over the life of the permit. The rate of relinquishment varies under each resource Act.

Types of exploration permits:

- **Exploration permits for mineral** (EPM is all minerals and EPS is for a specified mineral) and **exploration permits for coal** (EPC) are generally granted for a period of up to 5 years and can be renewed.
- Exploration permits for petroleum (including coal seam gas) are referred to as **authorities to prospect** (ATP) and may be granted for a period of up to 12 years. An ATP generally cannot be renewed for a term ending more than 12 years after the ATP originally took effect.
- **Exploration permits for geothermal** (EPG) are generally granted for a period of up to 5 years. The renewed permit’s term cannot be more than 5 years or for a term ending more than 15 years after the permit originally took effect.
- **Exploration permits for greenhouse gas** (EPQ) are generally granted for a period of up to 12 years. If granted for a lesser term, the term of a renewed permit must not end more than 12 years from when it originally

took effect.

- A **mineral development licence** (MDL) is considered an advanced exploration permit, and allows the holder to further evaluate the potential for economic development of the mineral or coal resource. An MDL also provides for environmental, mining and marketing studies. It is granted for a period of up to 5 years and can be renewed
- A **potential commercial area** (PCA) is similar to an MDL in concept and is for petroleum, coal seam gas and geothermal resources. A PCA is a declaration made within a granted ATP, EPG or EPQ.

Key

EPM = exploration permit for minerals EPS = exploration permit for specified minerals. EPC = exploration permits for coal. MDL = mineral development licence. ATP = authority to prospect. EPG = exploration permit for geothermal. EPQ = greenhouse gas exploration permit.

1.1 Current application permits

Mineral exploration permit - applications

Number	Authorised holder	Term sought	Date lodged
EPM27940	RED OX COPPER PTY LTD	5 years	25/06/2021
EPM28306	CLARA RESOURCES PTY LTD	3 years	17/02/2022
EPM28449	FMG RESOURCES PTY LTD	5 years	26/05/2022
EPM28452	FMG RESOURCES PTY LTD	5 years	26/05/2022

Coal exploration permit - applications

Number	Authorised holder	Term sought	Date lodged
	No Records Found		

Petroleum and gas exploration permit - applications

Number	Authorised holder	Term sought	Date lodged
ATP1107	ARMOUR ENERGY LIMITED	12 years	14/11/2011
ATP1112	EUREKA PETROLEUM PTY LTD	12 years	14/11/2011

Geothermal exploration permit - applications

Number	Authorised holder	Term sought	Date lodged
	No Records Found		

Greenhouse gas exploration permit - applications

Number	Authorised holder	Term sought	Date lodged
	No Records Found		

1.2 Current granted permits

Mineral exploration permit - granted

Number	Authorised holder	Term sought	Date granted	Date expired
EPM26197	YAPPAR RESOURCES PTY LTD	2 years	12/06/2017	11/06/2023
EPM26206	YAPPAR RESOURCES PTY LTD	2 years	09/01/2017	08/01/2023
EPM26434	RED METAL LIMITED	5 years	29/06/2018	28/06/2023
EPM26436	RED METAL LIMITED	5 years	20/06/2017	Renewal lodged
EPM26440	STRATEGIC ENERGY RESOURCES LIMITED	5 years	24/04/2018	23/04/2023
EPM26442	STRATEGIC ENERGY RESOURCES LIMITED	5 years	24/04/2018	23/04/2023
EPM26654	RED METAL LIMITED	5 years	29/06/2018	28/06/2023
EPM26655	RED METAL LIMITED	5 years	29/06/2018	28/06/2023
EPM26656	RED METAL LIMITED	5 years	29/06/2018	28/06/2023
EPM26657	RED METAL LIMITED	5 years	29/06/2018	28/06/2023
EPM26672	RED METAL LIMITED	5 years	05/07/2018	04/07/2023
EPM26674	RED METAL LIMITED	5 years	06/07/2018	05/07/2023
EPM26941	RED METAL LIMITED	5 years	01/07/2019	30/06/2024
EPM26943	RED METAL LIMITED	5 years	04/03/2019	03/03/2024
EPM27082	YAPPAR RESOURCES PTY LTD	5 years	25/02/2020	24/02/2025
EPM27308	RED METAL LIMITED	5 years	10/02/2020	09/02/2025
EPM27309	RED METAL LIMITED	5 years	27/02/2020	26/02/2025
EPM27311	AEON WALFORD CREEK LIMITED	5 years	01/06/2020	31/05/2025
EPM27378	STRATEGIC ENERGY RESOURCES LIMITED	5 years	18/06/2020	17/06/2025
EPM27471	HEAVY METAL EXPLORATION PTY LTD	5 years	30/09/2020	29/09/2025
EPM27480	YAPPAR RESOURCES PTY LTD	5 years	27/01/2021	26/01/2026
EPM27481	YAPPAR RESOURCES PTY LTD	5 years	01/02/2021	31/01/2026
EPM27484	YAPPAR RESOURCES PTY LTD	5 years	22/01/2021	21/01/2026
EPM27513	TARAGON VALLEY PTY LIMITED	5 years	16/12/2020	15/12/2025
EPM27567	RED METAL LIMITED	5 years	09/02/2021	08/02/2026
EPM27568	RED METAL LIMITED	5 years	09/02/2021	08/02/2026
EPM27569	RED METAL LIMITED	5 years	18/05/2021	17/05/2026
EPM27586	STRATEGIC ENERGY RESOURCES LIMITED	5 years	11/02/2021	10/02/2026
EPM27588	STRATEGIC ENERGY RESOURCES LIMITED	5 years	11/02/2021	10/02/2026
EPM27819	Moho Resources Limited	5 years	30/08/2021	29/08/2026
EPM27936	GROUP 11 MINERALS PTY LTD	5 years	08/03/2022	07/03/2027

Coal exploration permit - granted

Number	Authorised holder	Term sought	Date granted	Date expired
	No Records Found			

Petroleum and gas exploration permit - granted

Number	Authorised holder	Term sought	Date granted	Date expired
	No Records Found			

Geothermal exploration permit - granted

Number	Authorised holder	Term sought	Date granted	Date expired
	No Records Found			

Greenhouse gas exploration permit - granted

Number	Authorised holder	Term sought	Date granted	Date expired
	No Records Found			

2.0 CURRENT PRODUCTION PERMITS

Current production permit - summary

Resource	Application	Number of Permits	
		Granted	Total
Minerals	0	0	0
Coal	0	0	0
Petroleum & Gas	0	0	0
Geothermal	0	0	0
Greenhouse Gas	0	0	0
Total	0	0	0

Production permits explained

A **prerequisite permit** is generally required before an application may be made for a production permit. The prerequisite permit would generally be an exploration permit or a prospecting permit.

Production permits authorise the extraction and recovery of resources. Royalties will generally be collected by the state calculated on the value of the resource extracted. Production activities are regulated by the resource Act under which the permit was issued, and by the Environmental Authority issued under the *Environmental Protection Act 1994*.

Mining and petroleum operations are also regulated under various safety and health Acts so as to protect the safety and health of persons at mines and persons that may be affected by mining operations.

These permits allow a holder to undertake a wide range of mining and petroleum activities, including high-impact mining, building of infrastructure and construction of temporary accommodation; restrictions exist on some machinery under a mining claim.

A permit holder must provide a detailed plan for the project describing how the site will operate. More onerous compliance obligations for permit holders exist with this type of permit, driven by the particular resource being targeted and the scale of the production operation. Obligations may include submission of development plans and social impact management plans, and environmental impact assessments. There may also be more detailed reporting requirements and regular site inspections.

All resource Acts provide for landholders to be compensated for impacts of approved resource activity on their land. All holders have an obligation to rehabilitate and restore land as a condition of their permit, and address any requirements under the Native Title Act 1993.

Production permits are renewable and the holder of a permit may continue to produce from the area until a decision on the renewal application is made. A production lease will generally remain current to provide the holder with access rights to decommission the operation and provide for rehabilitation and restoration works.

Types of Production Permits:

- Production permits for mineral and coal are called **mining leases (ML)**
- For small hand mining of minerals, the production permit is called a **mining claim (MC)**. Mining claims have not been included in this report.
- Production permits for petroleum (including coal seam gas) are called **petroleum leases (PL)**.
- Other types of production permits are **geothermal lease (GL)** and **greenhouse gas storage lease (QL)**.

Key

MC = mining claims. ML = mining lease for minerals / coal. PL = petroleum lease. GL = geothermal lease. QL = greenhouse gas storage lease

2.1 Current application permits

Mineral production permit - applications

Number	Authorised holder	Term sought	Date lodged
	No Records Found		

Coal production permit - applications

Number	Authorised holder	Term sought	Date lodged
	No Records Found		

Petroleum and gas production permit - applications

Number	Authorised holder	Term sought	Date lodged
	No Records Found		

Geothermal production permit - applications

Number	Authorised holder	Term sought	Date lodged
	No Records Found		

Greenhouse gas production permit - applications

Number	Authorised holder	Term sought	Date lodged
	No Records Found		

2.2 Current granted permits

Mineral production permit - granted

Number	Authorised holder	Term sought	Date granted	Date expired
	No Records Found			

Coal production permit - granted

Number	Authorised holder	Term sought	Date granted	Date expired
	No Records Found			

Petroleum and gas production permit - granted

Number	Authorised holder	Term sought	Date granted	Date expired
	No Records Found			

Geothermal production permit - granted

Number	Authorised holder	Term sought	Date granted	Date expired
	No Records Found			

Greenhouse gas production permit - granted

Number	Authorised holder	Term sought	Date granted	Date expired
	No Records Found			

3.0 CURRENT INFORMATION PERMITS

Information permits are issued for accessing land in the vicinity of an existing petroleum exploration permit or production permit, or for undertaking surveying activities for a petroleum pipeline or petroleum facility.

These permits allow a holder to undertake a range of activities to gather additional information about an area.

A permit holder must only undertake activities authorised by the information permits. Production activities are not permitted under an information permit.

Types of Information Permits:

- A **data acquisition authority** (DAA) allows access to vacant land contiguous to a petroleum permit or a greenhouse gas permit for the purpose of acquiring geophysical data relevant to the permit.
- A **water monitoring authority** (WMA) provides access to land outside a petroleum permit to allow the holder to comply with underground water monitoring obligations for the permit.
- A **petroleum survey licence** (PSL) allows the holder to access land to determine if it is suitable for a petroleum pipeline or petroleum facility
- An environmental authority is required prior to the approval of an information permit.

Key

DAA = data acquisition authority. WMA = water monitoring authority. PSL = petroleum survey licence.

Information permit - applications

Number	Authorised holder	Term sought	Date lodged
	No Records Found		

Information permit - granted

Number	Authorised holder	Term sought	Date granted	Date expired
	No Records Found			

4.0 CURRENT INFRASTRUCTURE PERMITS

Infrastructure permits are issued for the construction of infrastructure to support production permits

These permits allow a holder to access land to enable construction of infrastructure such as a pipeline, conveyors, storage depot, processing plant or refinery.

A permit holders must not carry out any production activities on an infrastructure permit.

Types of Infrastructure Permits:

- For petroleum there are two types of infrastructure-related permits, a **petroleum pipeline licence** (PPL) and a **petroleum facility licence** (PFL).
- For coal- and mineral-related developments, a **mining lease** can be issued for infrastructure purposes only, as required to support an existing production's operations

Key

PPL = petroleum pipeline licence . PFL = petroleum facility licence. ML = for infrastructure purposes

Infrastructure permit - applications

Number	Authorised holder	Term sought	Date lodged
	No Records Found		

Infrastructure permit - granted

Number	Authorised holder	Term sought	Date granted	Date expired
	No Records Found			

5.0 CURRENT CONSTRAINED AREAS

The industry is regulated under a variety of different Acts that pull together to form the regulatory framework for the sector. Generally, this is done through an environmental authority (EA) that is issued under the *Environmental Protection Act 1993* (EP Act). Under an EA, land is categorised based on the environmental sensitivity of the area and may be conditioned or constrained accordingly. The three categories, as defined in the Code of Environmental Compliance under the EP Act, are summarised below:

- **Category A—environmentally sensitive area.** Mining has been excluded from these areas. An environmental impact statement (EIS) could be triggered for a mining project that may have a significant impact on one of these areas.
- **Category B—environmentally sensitive area.** Standard mining and exploration activities are excluded from within 1 km of these areas, but non-standard mining activities may occur within these areas after an appropriate level of assessment. An EIS could be triggered for a mining project that may have significant impact on one of these areas.
- **Category C—environmentally sensitive area.** The holder of an EA must consult with the environmental regulator prior to conducting activities within this area. Access for mining activities may require the issuing of a permit, the imposition of additional conditions, the assessment of an EIS or environmental management plan in some cases.

The *Mineral Resources Act 1989* and the *Geothermal Energy Act 2010* also provide for conditions or limitations under a restricted area designation. Restricted areas are for specific purposes and are limited in operation to the Act they are made under. The majority of restricted areas are made under the *Mineral Resources Act 1989* and therefore only apply to mineral-related permits including coal.

Below is a list of additional regulatory obligations or constraints that may have been considered in assessing resource permits within the designated area.

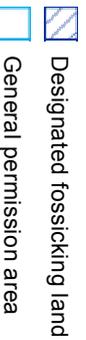
Constrained land

Type	Brief definition	Details on constraint
Endangered Regional Ecosystems	Regional ecosystem descriptions are maintained in the Regional Ecosystem Description Database (REDD). It accompanies the Queensland Herbarium regional ecosystem mapping.	Please refer to the Environmental Protection Regulation 2008 for more information.
Fish Habitat Area A	Fish Habitat areas are places where marine fauna are encouraged to survive and multiply. Recreational activities may be conducted in these areas.. These areas may not be used for resource activities.	Regulated under EA as a Category B Environmentally Sensitive Area. Generally not open for any resource activities.
Forest Consent Areas	A forest consent area is created when the lessee of a State land lease that is approved to be converted under the Land Act 1994 to freehold, and the chief executive for the Department of Agriculture and Fisheries, enter into a forest consent agreement that identified an area as a forest consent area.	Please refer to the Forestry Act 1959 for more information.
Moratorium Period Current	This land will be unavailable for 2 months after the expiry of the previous exploration permit, or the abandonment of a previous exploration permit application. This land will be made available on the first business day of the month following the end of the 2 calendar month period.	n/a
National Park	A National Park is a place where unique natural features have been identified for preservation by the Federal Government. These areas may not be used for resource activities.	Regulated under EA as a Category A Environmentally Sensitive Area
Nature Refuge	This is a region where the flora and fauna are being encouraged to flourish and strengthen. The area may be mined under carefully conditioned authority.	Category C Environmentally Sensitive Area. Additional conditions may be applied to any resource activities proposed in this area.
Restricted Area 384	Restricted Areas are areas of land that have varying conditions and restrictions placed over them. The restrictions vary according to areas, but relate primarily to the nature and type of Mining or Geothermal activity which may be undertaken in this area.	This RA on the Urban Encroachment Land area restricts specific types of mining tenements under the Mineral Resources Act 1989. For full details of the restriction refer to the RA Register.
Restricted Area 441	Restricted Areas are areas of land that have varying conditions and restrictions placed over them. The restrictions vary according to areas, but relate primarily to the nature and type of Mining or Geothermal activity which may be undertaken in this area.	Pursuant to the Mineral Resources Act 1989 and the Geothermal Energy Act 2010 this RA prohibits the application of all mining tenements except for tender-derived mining tenements. For full details of the restriction refer to the RA Register.

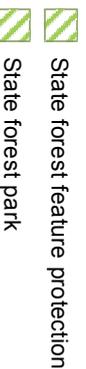
Restricted Area 452	Restricted Areas are areas of land that have varying conditions and restrictions placed over them. The restrictions vary according to areas, but relate primarily to the nature and type of Mining or Geothermal activity which may be undertaken in this area.	Pursuant to the Mineral Resources Act 1989 this RA prohibits new applications for mining claims that applies for the whole of the State of Queensland. The prohibition will only impact applications for mining claims lodged after gazette notice is published. Applications lodged prior to the gazette will continue to be assessed in accordance with the requirements of the MRA. Additionally, existing mining claims can still be renewed or transferred. For full details of the restriction refer to the RA Register.
State Heritage Place	A State Heritage Place is a place where specific features have been identified for heritage protection by the State Government. These areas may not be used for resource activities.	Regulated under EA as a Category B Environmentally Sensitive Area
Strategic Environmental Areas	Strategic Environmental Areas (SEAs) have been identified as containing regionally significant environmental attributes (for example bio-diversity, water catchments and ecological function).	Within these areas, protection of ecological integrity is the priority land use; however, this does not preclude development from occurring in these areas. Development will be facilitated where it can be demonstrated that the ecological integrity of SEAs is not jeopardised. For more information please contact the Department of State Development, Infrastructure and Planning.
Strategic Environmental Areas - Designated Precinct	Strategic Environmental Areas - Designated Precinct (SEAs) have been identified as containing regionally significant environmental attributes (for example bio-diversity, water catchments and ecological function). Within these areas, protection of ecological integrity is the priority land use; however, this does not preclude development from occurring in these areas. Development will be facilitated where it can be demonstrated that the ecological integrity of SEAs is not jeopardised. For more information please contact the Department of State Development, Infrastructure and Planning.	The following are unacceptable uses for a designated precinct in a SEA, open cut mining, broadacre cropping, water storage (dam) and if the designated precinct is in the Cape York strategic environmental area- a mining resource activity. For more information please read the Regional Planning Interest Regulation or contact the Department of State Development, Infrastructure and Planning.
Wild Rivers-Floodplain Management Area	Floodplain Management Area may be over preservation or high preservation areas designated urban area	Resource authorised activity in this area must comply with either the self-assessable or assessable requirements of the Wild Rivers Code
Wild Rivers-High Preservation Area	The area within and up to one kilometre each side of the wild river, its major tributaries and special off-stream features, such as floodplain wetlands.	Constrained under the Wild Rivers Act 2005. For more information contact the Environmental Regulator.
Wild Rivers-Nominated Waterway	Resource activities may be prohibited or limited in these waterways. Individual areas will contain different restrictions.	Waterways as nominated in the wild rivers declaration. Resource authorised activity will be limited or may be prohibited in a nominated waterway. Please review the declaration for each Wild Rivers area for further detail.

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Advised area geothermal

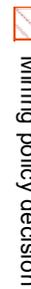


Designated fossicking land

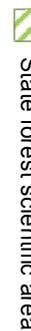


State forest feature protection

Advised area greenhouse gas

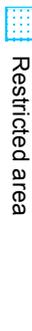


Mining policy decision

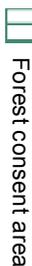


State forest scientific area

Advised area petroleum

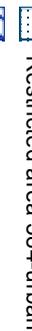


Restricted area

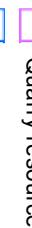


Forest consent area

Advised area coal

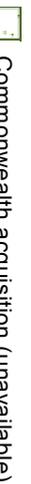


Restricted area 384-urban



Quarry resource

Advised area mineral

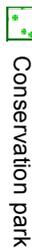


Fossicking area



Plantation licence area

Advised area fossil fuel



Commonwealth acquisition (unavailable)

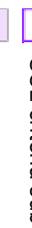


State heritage place

Advised area agricultural



Conservation park



SCL criteria zone

Advised area water

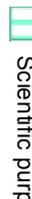


Fish habitat area A



SCL criteria sub-zone

Advised area wetland



Forest reserve



SCL trigger map

Advised area other



National park



SEA

Advised area heritage

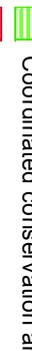


Scientific purposes reserve



SEA-designated precinct

Advised area environmental

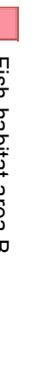


Torres Strait protection zone



Surat Basin transitional area

Advised area land use

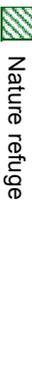


World heritage area



Commonwealth acquisition (constrained)

Advised area water

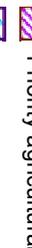


Coordinated conservation area



DAF research site

Advised area other

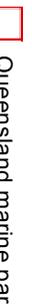


Fish habitat area B



Nature refuge

Advised area agricultural



Priority agricultural area



Priority living area

Advised area other



Queenstand marine park



Regional open space system

Advised area mineral



Reserve

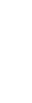


Resources reserve

Advised area other



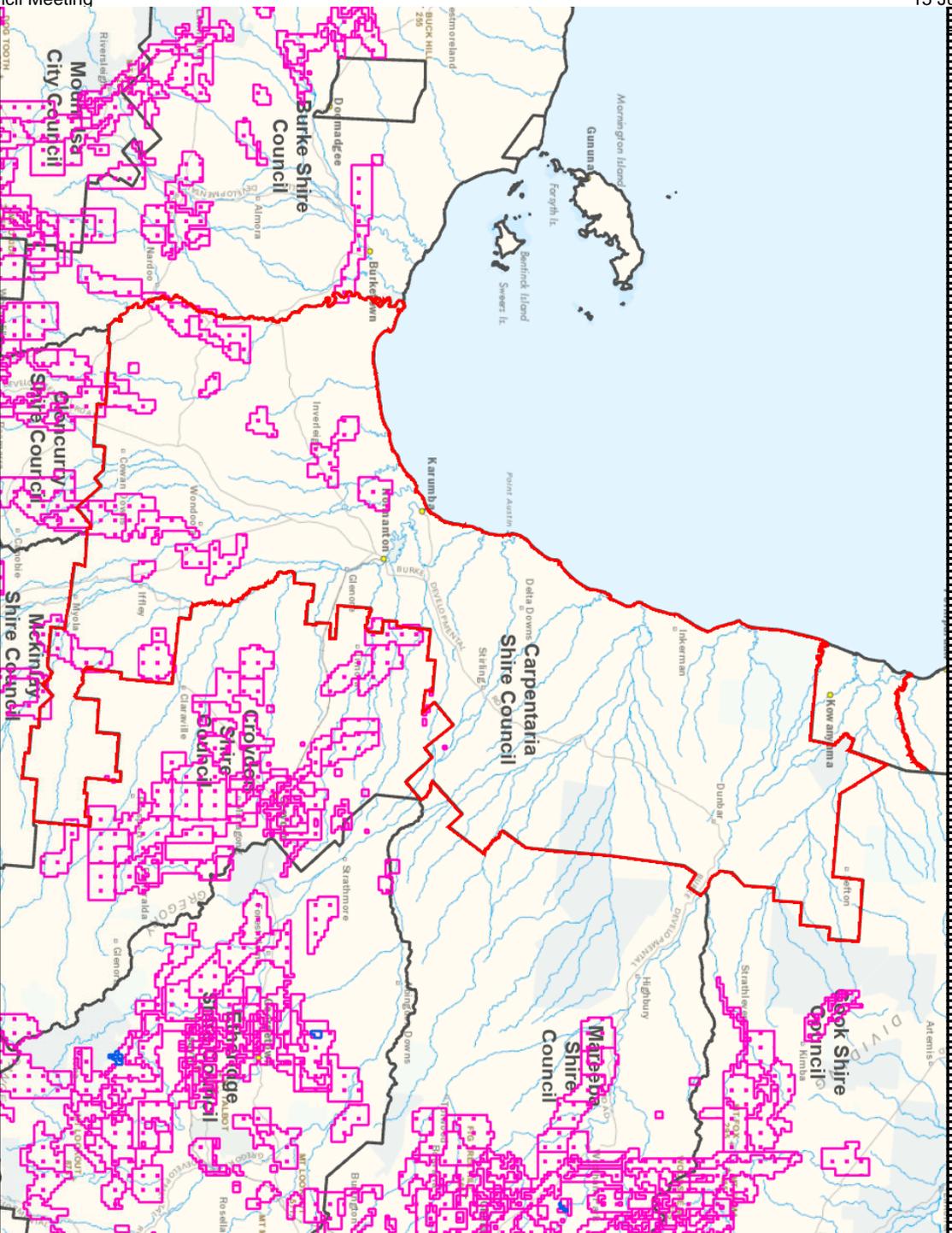
State development area



State forest

Exploration Permits Mineral (Granted)

138°26'0"E 138°44'0"E 139°20'0"E 139°20'0"E 139°38'0"E 139°56'0"E 140°14'0"E 140°32'0"E 140°50'0"E 141°8'0"E 141°26'0"E 141°44'0"E 142°2'0"E 142°20'0"E 142°38'0"E 142°56'0"E 143°14'0"E 143°32'0"E 143°50'0"E 144°8'0"E 144°26'0"E



Ordinary Council Meeting

NOTE - on small scale map prints, care should be taken when viewing features as their relative locations may not be discernable at that scale.

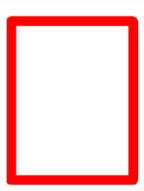
This map is a representation of the information recorded in this document (the Information) and should seek professional advice in relation to dealing with property. Mines and Energy (DNRM) best efforts, DNRM does not represent or warrant in relation to the information, and, to the extent permitted by law, exclude or limit all warranties relating to correctness, accuracy, completeness or currency and all liability for any direct and consequential costs, losses, damages and expenses incurred in any way (including but not limited to



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Mines and Energy

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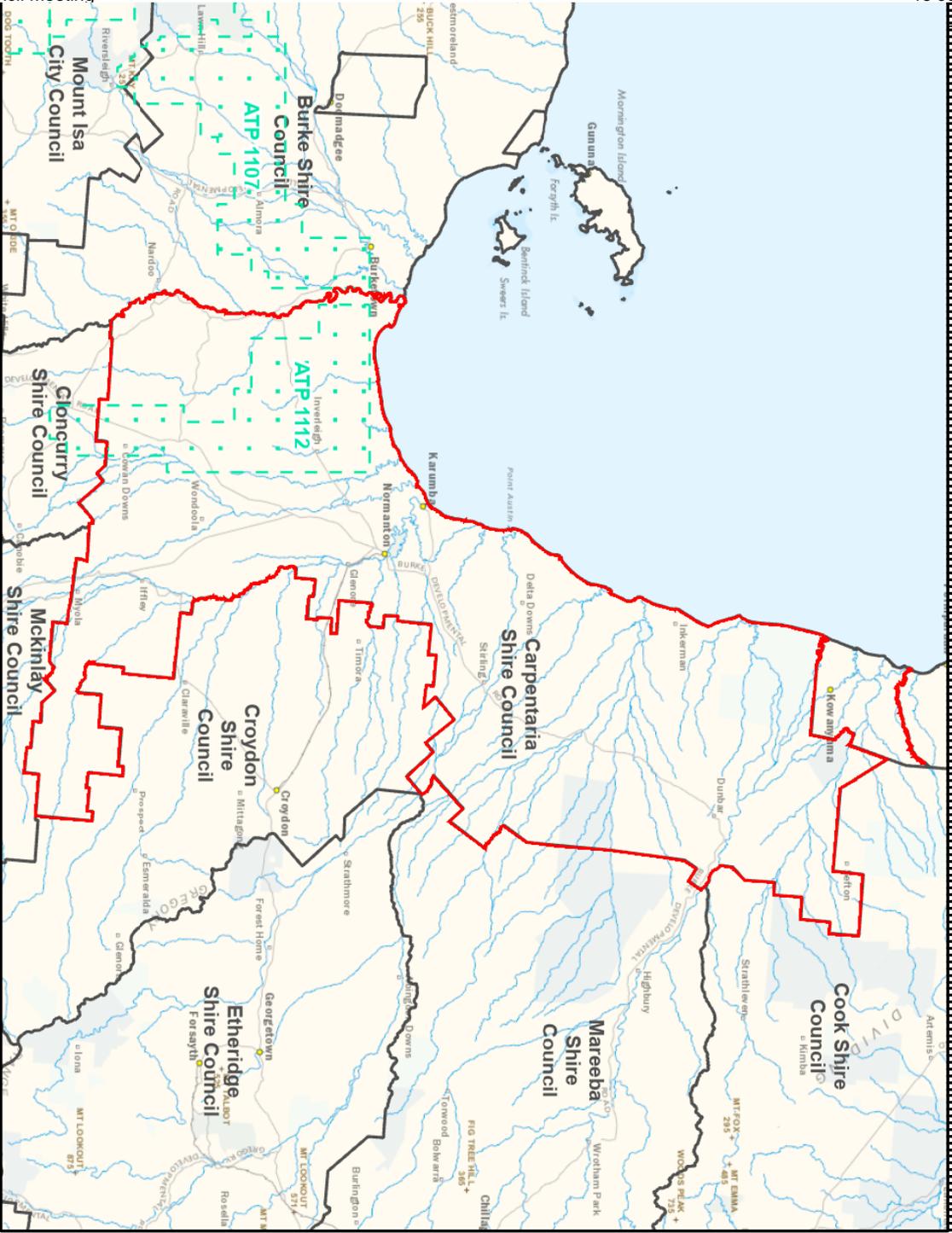
Datum: GDA2020
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- MDL permit granted Mineral
- EPM granted
- EPM special granted
- Local authority

END

Exploration Permits Petroleum (Application)

138°20'0"E 138°44'0"E 139°2'0"E 139°26'0"E 139°56'0"E 140°14'0"E 140°32'0"E 140°50'0"E 141°8'0"E 141°26'0"E 141°44'0"E 142°2'0"E 142°20'0"E 142°38'0"E 142°56'0"E 143°14'0"E 143°32'0"E 143°50'0"E 144°8'0"E 144°26'0"E



Scale - on small scale map prints, care should be taken when viewing features as their relative locations may not be discernable at that scale.

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Mines and Energy

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Date: 29/5/22 5:51:56 AM AES



Datum: GDA2020
Scale: 1:3,184,197
N 2N 4N 8N 12N 16N

- ATP application
- Petroleum PCA application
- OEP application
- Local authority

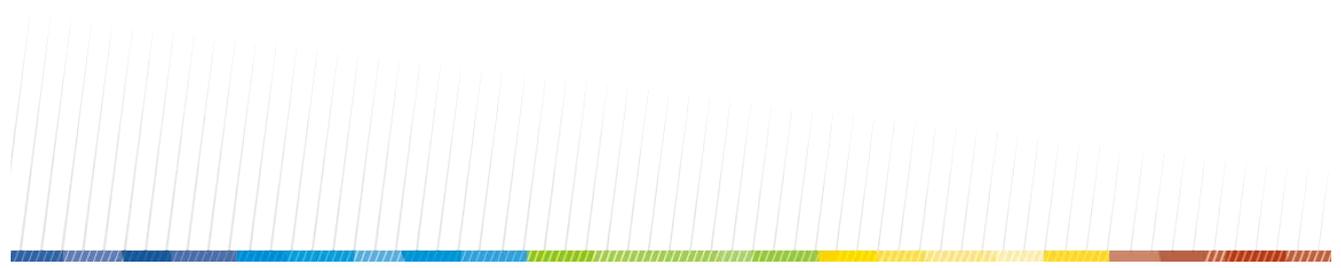


Every Queensland
 community deserves
 to be a liveable one

2022 LGAQ Annual Conference – Motions template

Please use this template to prepare and submit your motion using the link below.
 Please use text only – no images or tables.

Who is the key contact for this motion? (required)	
Do you have a contact at the LGAQ for this motion? (optional)	
Submitting council (required)	
Supporting organisation (if applicable)	
Council resolution # (required)	
Date of council resolution (required)	Please select the date of resolution here
<input type="checkbox"/> Does this motion have state-wide relevance? (This is a required field)	
Title of motion (required)	
Motion (required)	The LGAQ calls on the <State/Federal/State and Federal government(/s)> to
What is the desired outcome sought? (required) 200 word limit	
Background (required) 350 word limit	Placeholder text – To further explain the motion and illustrate the issue/s which need to be addressed, please include any relevant examples.



Land Title Act 1994; Land Act 1994
Form 21 Version 4

Sheet 1 of 2

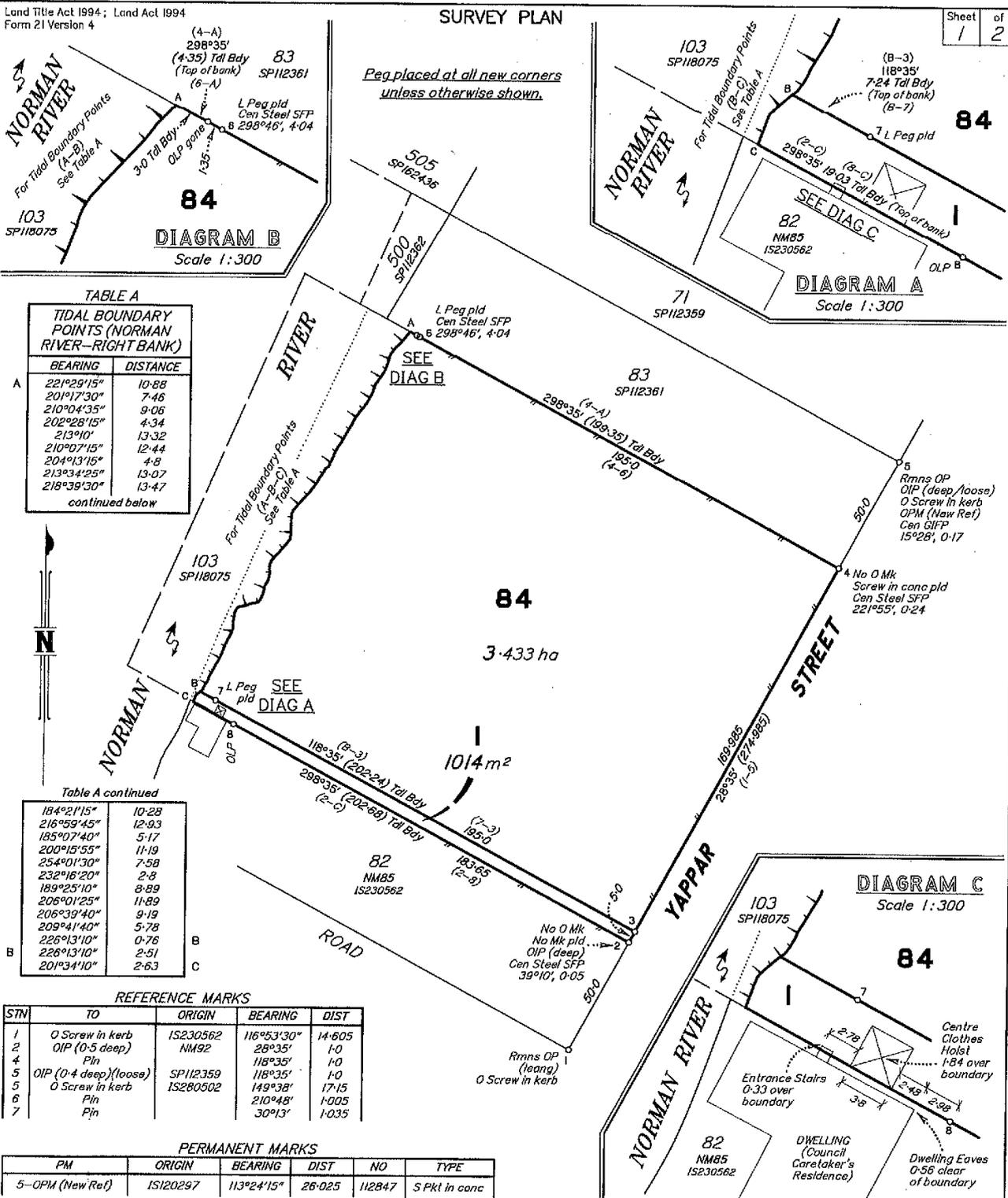


TABLE A
TIDAL BOUNDARY POINTS (NORMAN RIVER—RIGHT BANK)

BEARING	DISTANCE
221°29'15"	10.88
201°17'30"	7.46
210°04'35"	9.06
202°28'15"	4.34
213°10'	13.32
210°07'15"	12.44
204°13'15"	4.8
213°34'25"	13.07
218°39'30"	13.47

continued below

Table A continued

184°21'15"	10.28
216°59'45"	12.93
185°07'40"	5.17
200°15'55"	11.19
254°01'30"	7.58
232°16'20"	2.8
189°25'10"	8.89
206°01'25"	11.89
206°39'40"	9.19
209°41'40"	5.78
226°13'10"	0.76
226°13'10"	2.51
201°34'10"	2.63

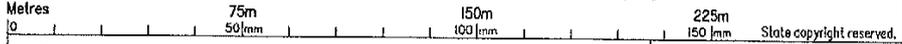
REFERENCE MARKS

STN	TO	ORIGIN	BEARING	DIST
1	O Screw in kerb	IS230562	116°53'30"	14.605
2	OIP (0.5 deep)	NM92	28°35'	1.0
4	Pin		118°35'	1.0
5	OIP (0.4 deep)(loose)	SP112359	118°35'	1.0
5	O Screw in kerb	IS280502	149°38'	17.15
6	Pin		210°48'	1.005
7	Pin		30°13'	1.035

PERMANENT MARKS

PM	ORIGIN	BEARING	DIST	NO	TYPE
5-OPM (New Ref)	IS120297	113°24'15"	26.025	112847	S PKt in conc

First New Plan of Survey under Section 80 of the Survey and Mapping Infrastructure Act.



AUSNORTH CONSULTANTS PTY LTD (ACN 116 510 026) hereby certify that the land comprised in this plan was surveyed by the corporation, by Brian James LANE, Cadastral Surveyor, for whose work the corporation accepts responsibility, and that the plan is accurate, that the said survey was performed in accordance with the Survey and Mapping Infrastructure Act 2003 and Surveyors Act 2003 and associated Regulations and Standards and that the said survey was completed on 27/09/2021.

29/09/2021 *[Signature]*
Date Director

PLAN OF
Lots 1 and 84
Cancelling Lot 84 on NM92
LOCAL GOVERNMENT: CARPENTARIA S.C. LOCALITY: KARUMBA
Meridian: IS280502 - Add 4°0'10" for MGA 2020 (Zone 54) vide RTK GNSS

Scale: 1:1500
Format: STANDARD
SP323732
Survey Records: NO

Land Title Act 1994; Land Act 1994
Form 21B Version 2

**WARNING : Folded or Mutilated Plans will not be accepted.
Plans may be rolled.
Information may not be placed in the outer margins.**

Sheet **2** of **2**

6/23/2022

(Dealing No.)

4. Lodged by

(Include address, phone number, reference, and Lodger Code)

Existing		Created		
Title Reference	Description	New Lots	Road	Secondary Interests
40055632	Lot 84 on NM92	1 and 84	-	-

EXISTING ADMINISTRATIVE ADVISE ALLOCATIONS

Administrative Advice	Lots to be Encumbered
719767646 (EXEMPT CONS)	1 and 84

Encroachment Notice issued to the owner(s) of Lot 84 on NM92 and Lot 82 on NM85 on 10/02/2022 in accordance with s.18 of the Survey and Mapping Infrastructure Regulation 2014.

SURVEY REPORT

The objective of Reconfiguration Survey Plan SP323732 is to provide the land boundary framework for the transition of part of the subject property from Term Lease (0/232041) to fee simple freehold title with balance lands being excised for the purposes of creating an Area of New Road in-and-around the existing formed access from Yappar Street to a Council-approved Caretakers Residence generally in accord with QLD Resources Offer 2019/002175 (refer to proposed Lot 1).

BOUNDARY REINSTATEMENT REPORT

- The survey document search has included the following plans : NM89, NM92, SP112361, SP112362, SP118075, SP125919, SP311929, IS120297, IS230562 & IS280502
- Survey datum and the associated alignment of Yappar Street (1-5) has been established vide recovery of cadastral infrastructure associated with IS280502 et al with excellent distance agreement being achieved
- The right-line surround boundaries of the subject lands have been established via the recovery of relevant cadastral infrastructure (refer IS280502 et al) with the area of proposed New Road (Lot 1) being determined via reference to relevant as-constructed property improvements (e.g. road formation, dwellings, etc) and QLD Resources Offer 2019/002175 thereby minimising the opportunity for the creation of as-yet unreported structural encroachments with respect to 3rd parties
- Additional matters pertaining to the representation of the ambulatory boundary are discussed below

AMBULATORY BOUNDARY REPORT

- It can be demonstrated that the Norman River – being the watercourse feature that defines the ambulatory boundary of the subject allotment – represents as a Tidal Watercourse
- It is also noted here that NM92 identifies the ambulatory feature defining the Tidal Boundary of the subject property as being the Top of Bank of the Norman River, with no reference being made to High Water Mark (HWM) or any other defined tidal plane
- The current (2021) coastline feature in this area represents as a well-defined Top of Bank. Being a natural feature, the position of the coastline is generally subject to imperceptible movements over time. Based on the historical survey record and relevant aerial imagery (e.g. Karumba-Normanton Road 1961 [QAP1244 Frame 22/Run 1C], Karumba 1974 [QAP2788 Frame 5109/Run 1A] and QSAT 2017 [240cm Planet Q3]) it can be demonstrated that the Top of Bank feature is being eroded and is retreating towards Yappar Street
- Further to the above, much of the ambulatory boundary feature that represents as the current river bank has also been subject to unregulated river bank stabilisation works since about 1980 via the creation of a dump/fill retaining wall comprising concrete blocks, metal/steel waste by-products and rocky fill materials. These actions have been triggered by the removal of natural vegetation along much of the river bank (hence creating the preconditions for accelerated river bank erosion) and as a direct consequence of Norman River flood events experienced during 1991, 1998, 2009, 2010 & 2019. Since about 2019 about 120 tonnes of this material has been removed in advance of the proposed construction of an engineered retaining wall, with part of a concrete retaining wall feature still existent (part of B-C).

It can therefore be demonstrated that the circumstances which have caused the coastal feature to be in its current geospatial location are a mixture of slow, imperceptible, naturally occurring river flow characteristics combined with regular bouts of riverine flooding and man-made structural intervention. Based on advice given by QLD Resources it has been concluded that given the combined circumstances outline above it is not possible to adopt the 1980-era Top of Bank feature as a tidal boundary (refer NM92) with the outcome being that the current (2021) river bank is deemed to represent as the true Tidal Boundary.

This approach is further supported by Sec 72 (Tidal Boundary Location) of the Survey & Mapping Infrastructure Act 2003 which precludes the creation of freehold land over areas subject to tidal inundation.

Amendments by Ausnorth Consultants Pty Ltd
(ACN 116 510 028).



10/02/2022
Date

Brian James LANE
Director

Date of Development Approval:

6. Building Format Plans only.

I certify that:

- * As far as it is practical to determine, no part of the building shown on this plan encroaches onto adjoining lots or road;
- * Part of the building shown on this plan encroaches onto adjoining lots and road

Cadastral Surveyor/Director* Date

*delete words not required

7. Lodgement Fees:

Survey Deposit \$

Lodgement \$

..... New Titles \$

Photocopy \$

Postage \$

TOTAL \$

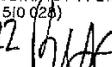
8. Insert Plan Number **SP323732**

Lots	Orig

1. Orig Grant Allocation:

3. References:
Dept File: 2019/002175
Local Govt:
Surveyor: 19014

5. Passed & Endorsed:

By: AUSNORTH CONSULTANTS PTY LTD
(ACN 116 510 028)
Date: 10/02/2022
Signed: 
Designation: Cadastral Surveyor/Director

Queensland Reconstruction Authority

For reply please quote: – QRATF/22/2313

25 May 2022

Mr Mark Crawley
Chief Executive Officer
Carpentaria Shire Council
PO Box 31
NORMANTON, QLD, 4890

Dear Mr Crawley

On 18 May 2022, the Commonwealth confirmed their support for further recovery and resilience measures under Category C and D of the Disaster Recovery Funding Arrangements (DRFA) for Queensland communities impacted by the *Central, Southern and Western Queensland Rainfall and Flooding, 10 November - 3 December 2021, Ex-Tropical Cyclone Seth, 29 December 2021 -10 January 2022, and South East Queensland Rainfall and Flooding, 22 February 2022 – 5 April 2022* disaster events.

The measures will support the Carpentaria Shire Council region with longer term recovery, and includes financial support for community/recreational assets, industry, business and tourism, environment and betterment of essential public infrastructure. Further detail around each package is enclosed for your reference.

While not all packages provide direct financial support to Council, each has been designed to support your broader community through recovery and build further resilience against future disaster events.

As per the requirements of packages funded under the DRFA, specific guidelines and implementation plans will now be developed in consultation with the Commonwealth. During this time, I ask that councils identify potential submissions under the Queensland Reconstruction Authority (QRA) led Community and Recreational Assets and Betterment programs.

For other measures, it is expected that delivery agents will be in contact with you as they develop their respective programs.

Your QRA Regional Liaison Officer (RLO) Dean Patchett is available to assist you with any further questions and can be contacted on 0427 587 679 or Dean.Patchett@qra.qld.gov.au.

Yours sincerely



Brendan Moon
Chief Executive Officer

Level 11, 400 George Street Brisbane
PO Box 15428 City East
Queensland 4002 Australia
Telephone **+61 7 3008 7200**
Facsimile **+61 7 3008 7299**
www.qra.qld.gov.au

DRFA support package – 2021-22 Rainfall and Flooding events

Proposed Assistance Packages	Value (\$M)
Human and Social	177.711
Flexible Funding Grants Support local recovery and resilience building activities through an open grants process, available to community and industry groups, local governments and incorporated organisations.	20.000
Community Health and Wellbeing To assist disaster-affected communities, including individuals, families and first responders, with mental health services and emotional well-being support through:	24.535
Accommodation Support <ul style="list-style-type: none"> • Rental security subsidy: to assist disaster impacted individuals and families obtain and sustain rental homes • Flexible housing solutions: short to medium term safe, stable homes for impacted individuals and families • Campaign: to increase private rentals in market 	121.100
Community Development Community Recovery and Resilience Officers to understand local recovery needs and implement community-led recovery activities.	12.076
Economic	177.000
Medium to large business – concessional recovery loans Loan scheme to support medium to large severely impacted businesses including primary producers and related agricultural supply chain businesses and other businesses critical to their supply chain.	150.000
Industry Recovery and Resilience Officers Industry Recovery and Resilience Officers (IRROs) to assist impacted primary producers with recovery	2.500
Small Business Recovery and Resilience Package <ul style="list-style-type: none"> • Small Business Support Service: Dedicated to flood-affected small business owners providing free, independent case management with mental health support • Skilling Queenslanders for Work: A funding round for community-based organisations in flood affected areas to undertake recovery-related projects • Buy Local / Go Local campaign: To encourage consumers to shop and visit locally within disaster impacted communities. 	14.500
Rural Landholder Recovery Grants Provide financial support to assist with the extraordinary clean-up and reinstatement activities on rural residential properties.	3.000
Tourism Recovery and Resilience Package <ul style="list-style-type: none"> • Building Resilient Tourism Infrastructure: Grants for impacted tourism businesses to build their resistance and aid their response to flooding and natural disasters through innovative solutions and bespoke engineering solutions. • Regional Tourism Product, Experience and Infrastructure Platform: To diversify the tourism offering in impacted areas by mapping existing tourism products, experiences and infrastructure against natural disaster metrics and identifying gaps for development to make the local industry more resilient. • Tourism Business Resilience Program: To help tourism businesses respond to the unique challenges and help them plan for and recover from natural disasters. • Solving Disaster Resilience Challenges with Open Innovation: to find solutions for disaster risk and resilience issues likely to impact the tourism industry. 	7.000

Proposed Assistance Packages	Value (\$M)
Environment	56.900
Environmental Recovery <ul style="list-style-type: none"> • Riverine Recovery: Grants to facilitate riverine recovery. • Weed and Pest Management: Grants to facilitate weed and pest management, including in national parks. • Biodiversity Conservation: Grants to facilitate recovery of river turtles and fish species in the Mary River Catchment, marine turtle and dugong rehabilitation, and seagrass management. • Environmental Assets: Grants to facilitate recovery of places of historical heritage and Nature Refuges. 	28.900
Flood Risk Management <ul style="list-style-type: none"> • Community engagement and education material: targeted information and education campaigns to enhance the disaster preparedness. • Lidar capture and floor level database: Lidar capture and dataset processing for identified areas will form key data underpinning flood studies and risk assessments. • Flood studies, risk assessment and management strategies: A program of works to develop floods studies for river, creek and/or overland flooding, risk assessments and management strategies. 	28.000
Building	150.000
Community and Recreational Assets (inc. sport, council parks, national parks) Funding for local governments, state agencies and non-profit organisations to clean-up, repair and improve the resilience of damaged community and recreational assets.	150.000
Roads and Transport	150.000
Betterment For state agencies and local governments to improve the resilience of essential public assets that were damaged and activated for Category B Restoration of Essential Public Assets.	150.000

BUSINESS PAPERS

9.2 TERMS OF REFERENCE - ADVISORY COMMITTEE

Attachments:	9.2.1. Mutton Hole Wetlands Advisory Committee Terms of Reference ↓ 9.2.2. Tourism Advisory Committee Terms of Reference ↓
Author:	Mark Crawley - Chief Executive Officer
Date:	1 June 2022

Key Outcome:	A well governed, responsive Council, providing effective leadership and management, and respecting community values
Key Strategy:	Maintain a focus on integrity, Accountability and Transparency in all that we do

Executive Summary:

At the August 2021 General Meeting the Council adopted a new Policy in relation to Advisory Committees and draft Terms of Reference for each of the committees in use by Council.

RECOMMENDATION:

That Council adopt the Terms of Reference for the Mutton Hole Wetland Advisory Committee and the Terms of Reference for the Tourism Advisory Committee

Background:

Council adopted the Advisory Committee Policy and Draft Terms of Reference at the Ordinary General Meeting held on 18 August 2021. Advisory Committee are established to provide recommendations to Council for consideration and decision on a variety of issues. Advisory committees provide Council with the opportunity to include members of the community on certain committees, the Terms of Reference provide scope for which the committee are to operate and report back to Council.

Legislation in accordance with section 265 of the *Local Government Regulation 2012* provides for the establishment of advisory committees. Draft Terms of Reference were established are now being prepared for each of the advisory committees formed to provide recommendations to Council.

Advisory Committees will be resourced with Council staff to ensure that notes are taken and any recommendations from the Advisory Committee are presented back to Council through a Committee Report (similar to an Officer's Report) for consideration and decision.

It should be noted that the Terms of Reference for the Local Disaster Management Group (LDMG) are to be in accordance with the provisions contained in Part 3 and 4 of the Local Disaster Management Plan. No other Terms of Reference will be developed for the LDMG.

Consultation (Internal/External):

- Mayor - Jack Bawden
- Councillors
- ELT

BUSINESS PAPERS

Legal Implications:

- Advisory Committees may be established in accordance with section 265
265 Advisory committees
 - (1) An advisory committee—
 - (a) must not be appointed as a standing committee; and
 - (b) may include in its members persons who are not councillors.
 - (2) A member of an advisory committee (whether or not they are a councillor) may vote on business before the committee.

Financial and Resource Implications:

- Not applicable

Risk Management Implications:

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



Mutton Hole Wetlands Advisory Committee

June 2022

*It's a great place to work,
live and play*



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www.carpentaria.qld.gov.au

Enquiries:

Email: council@carpentaria.qld.gov.au
Telephone: 07 4745 2200
Fax: 07 4745 1340
Street Address: 29 – 33 Haig Street Normanton
Postal Address: PO Box 31 Normanton QLD 4890

Carpentaria Shire Council would like to respectfully acknowledge the Gkuthaarn, Kukatj and Kurtijar peoples as the traditional owners of the lands and waters that form the Region. Council pays its respect to elders’ past, present and emerging and welcomes the ongoing role that indigenous people play within the Carpentaria community.



Name

The committee will be known as the Carpentaria Shire Council Mutton Hole Wetlands Advisory Committee.

Purpose

The purpose of the committee is to provide:

- Advice and recommendations to Council in relation to the ongoing management of the Wetlands in accordance with the Management Agreement;
- Advice and recommendations to Council on the Business Plan developed for the area (InfoXpert Document Number 296220); and
- Provide advice and recommendations on commercial opportunities that may be possible within the Recreational Park area.

References

Management Agreement for the Trusteeship of Mutton Hole Wetlands Regional Park between Department of National Parks, Recreation, Sport and Racing and Carpentaria Shire Council (InfoXpert Document Reference Number 294354)

Membership

In the interest of operational efficiency, membership of the committee will generally be limited to Council staff and Councillors and representatives from the Department of National Parks:

Agency

Carpentaria Shire Council

Representative/s

Mayor Jack Bawden

Cr

Chief Executive Officer

Director of Engineering

Department of National Parks

A quorum will exist if at least five (?) representatives are in attendance and the chair deems there is adequate representation. Recommendations to Council will not be made without a quorum.

Where the membership is unable to reach a majority decision on any particular issue, the chairperson may make a determination.

From time to time, the committee may consult with other agencies or staff and Council on specific issues and/or invite a representative to attend a working group meeting.

Tenure

<insert who will chair> will be the chairperson.

All members should hold a position within their respective agencies that allows them to:

- Contribute to the effective management of the Mutton Hole Wetlands Regional Park in accordance with the Management Agreement; and
- Contribute to the development of a business plan and future commercial operations (i.e. Indigenous Tourism) that may be possible within the Regional Park area.



Key Responsibilities of Members

All members are responsible for being an active committee member by:

- a. attending meetings, may be via virtual attendance or in-person
- b. providing timely advice to the chairperson about non-attendance at meetings together with the name of your proxy
- c. ensuring your proxy is adequately prepared for meetings by providing all relevant documentation and comprehensive advice about current activities and this Terms of Reference
- d. working collaboratively with other team members to accomplish desired outcomes
- e. raising awareness within your agency to foster increased support for initiatives and improve opportunities for synergies across agencies

In addition, the Chairperson will be responsible for:

- a. ensuring the proper conduct of committee members during meetings
- b. ensuring that the minutes and a Committee Report containing any recommendations is presented to the Council for consideration.

Meetings

- Meetings will generally be held half yearly.
- Meetings will generally be held at the Council Boardroom.
- Out of session meetings between specific members are encouraged to progress actions and take advantage of opportunities for presentation of reports for the consideration of the Mutton Hole Wetlands Advisory Committee.

Secretariat

Secretariat support will be provided by Council.

Agendas and Minutes

The secretariat will be responsible for the following:

- Distributing the agenda and any relevant papers to all members at least two full working days prior to the meeting date.
- Accurate minutes including key discussion points, recommendations and actions to be distributed to all members within 15 working days of the meeting date.
- Minutes and any recommendations from the Committee are to be presented back to Council by way of a Committee Report immediately following the Meeting.



Review

The operation of the committee, this Terms of Reference and the overall effectiveness of the committee will be reviewed annually to ensure efficiency is maintained. This review will be carried out by the committee. The review will include, but is not limited to:

- effectiveness of the committee
- effectiveness of this Terms of Reference
- a review of the committee membership

Contact Details

All communications should be addressed to:

Secretariat
Mark Crawley
Chief Executive Officer
PO Box 31
Normanton, Queensland, 4890
Telephone: 4745 2206
Email: mark.crawley@carpentaria.qld.gov.au

Document control sheet

Contact for enquiries and proposed changes

If you have any questions regarding this document or if you have a suggestion for improvements, please contact:

Mark Crawley
Chief Executive Officer
4745 2206

Version History

Version No.	Date	Changed by	Nature of Amendment	Review Date
1	June 2022	Council	Approved document	June 2024
2				
3				
4				

Document sign off

This Document was **approved** by: Council via formal resolution





Tourism Advisory Committee

June 2022

*It's a great place to work,
live and play*



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Name

The committee will be known as the Carpentaria Shire Council Tourism Advisory Committee.

Purpose

The purpose of the committee is to provide:

- Advice to council on the progress against strategic items identified in the Outback by the Sea® Tourism Strategy;
- Advice and recommendations on the promotion of the Outback by the Sea® brand;
- Review the Outback by the Sea® Tourism Strategy and make recommendations for new initiatives; and
- Provide feedback and recommendations to Council on Tourism Industry matters and initiatives proposed.

References

Relevant Tourism Strategies and Initiatives to advance tourism in the Region.

Membership

In the interest of operational efficiency, membership of the committee will generally be limited to key Council staff and Councillors, Industry Representative Bodies, and representative from the local Tourist Industry:

Agency

Carpentaria Shire Council

Gulf Chamber of Commerce

Les Wilson Barramundi Discovery Centre

Local Industry Representative – Karumba

Local Industry Representative – Normanton

OQTA Representative

TTNQ Representative

Representative/s

Mayor Jack Bawden

Cr

Mark Crawley Chief Executive Officer

By invitation

Amanda O'Malley – Centre Manager

By Expression of Interest

By Expression of Interest

Denise Brown

Mark Olsen (or his delegate)

A quorum will exist if at least five (5) representatives are in attendance and the chair deems there is adequate representation. Recommendations to Council will not be made without a quorum.

Where the membership is unable to reach a majority decision on any particular issue, the chairperson may make a determination.

From time to time, the committee may consult with other agencies or staff and Council on specific issues and/or invite a representative to attend a working group meeting.

Tenure

<insert who will chair> will be the chairperson.

All members should hold a position within their respective agencies that allows them to:

- Contribute to the advancement of the Strategies identified in the Outback by the Sea® Tourism Strategy
- Promotion of the Outback by the Sea® brand



Key Responsibilities of Members

All members are responsible for being an active committee member by:

- a. attending meetings, may be via virtual attendance or in-person
- b. providing timely advice to the chairperson about non-attendance at meetings together with the name of your proxy
- c. ensuring your proxy is adequately prepared for meetings by providing all relevant documentation and comprehensive advice about current activities and this Terms of Reference
- d. working collaboratively with other team members to accomplish desired outcomes
- e. raising awareness within your agency to foster increased support for initiatives and improve opportunities for synergies across agencies

In addition, the Chairperson will be responsible for:

- a. ensuring the proper conduct of committee members during meetings
- b. ensuring that all members have the opportunity to participate and share their views and ideas.
- c. ensuring that the minutes and a Committee Report containing any recommendations is presented to the Council for consideration.

Meetings

- Meetings will generally be held on a quarterly basis.
- Meetings will generally be held at the Les Wilson Barramundi Discovery Centre, and the Council Boardroom (alternate locations for alternate meetings).
- Out of session meetings between specific members are encouraged to progress actions and take advantage of opportunities for presentation of reports for the consideration of the Tourism Advisory committee.

Secretariat

Secretariat support will be provided by Council.

Agendas and Minutes

The secretariat will be responsible for the following:

- Distributing the agenda and any relevant papers to all members at least two full working days prior to the meeting date.
- Accurate minutes including key discussion points, recommendations, and actions to be distributed to all members within 15 working days of the meeting date.
- Minutes and any recommendations from the Committee are to be presented back to Council by way of a Committee Report immediately following the Meeting.



Review

The operation of the committee, this Terms of Reference and the overall effectiveness of the committee will be reviewed annually to ensure efficiency is maintained. This review will be carried out by the committee. The review will include, but is not limited to:

- effectiveness of the committee
- effectiveness of this Terms of Reference
- a review of the committee membership

Contact Details

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Secretariat
Mark Crawley
Chief Executive Officer
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Mark Crawley
Chief Executive Officer
4745 2206

Version History

Version No.	Date	Changed by	Nature of Amendment	Review Date
1	June 2022	Council	Approved document	June 2024
2				
3				
4				

Document sign off

This Document was **approved** by: Councillors at General Meeting via Resolution.



BUSINESS PAPERS

9.3 COUNCIL VIEWS SOUGHT

Attachments: 9.3.1. Survey Plan for views from Council on conversion to freehold.[↓](#)

Author: Mark Crawley - Chief Executive Officer

Date: 6 June 2022

Key Outcome: Day to day management of activities within the Office of the CEO

Key Strategy: As per the Departmental Plan for the Office of the CEO

Executive Summary:

The Department is seeking Council's views on the conversion from leasehold to freehold of a rural parcel of land described as Lot 1 on SP280701.

RECOMMENDATION:

That Council offer no objection to the conversion from leasehold to freehold of Lot 1 on SP280701 and requests that all the roads within the property are defined and recorded on survey plans on their current alignment.

Background:

Council may recall we were approached by Stanbroke in relation to the possible conversions to Freehold and views were sought from Councillors from the survey plans provided. We provided feedback to Stanbroke following that original request. It appears that the process is now continuing formally.

It is advised the Department of Resources (the department) has made an offer to the lessee for the conversion of Term Lease 242151 to freehold, described as Lot 1 on SP280701.

One of the requirements of the offer is for the lessee to liaise with the Carpentaria Shire Council for a road to be dedicated over the formed road which leads to Glenore Homestead within Lot 1 on SP280701 and to provide the department written confirmation from the Carpentaria Shire Council agreeing to the proposed survey plan.

The above requirement is due on 26 August 2022.

Consultation (Internal/External):

- Mayor - Jack Bawden
- Councillors
- Chief Executive Officer - Mark Crawley
- Stanbroke
- Department of Resources

Legal Implications:

- Conversion in accordance with Land Act

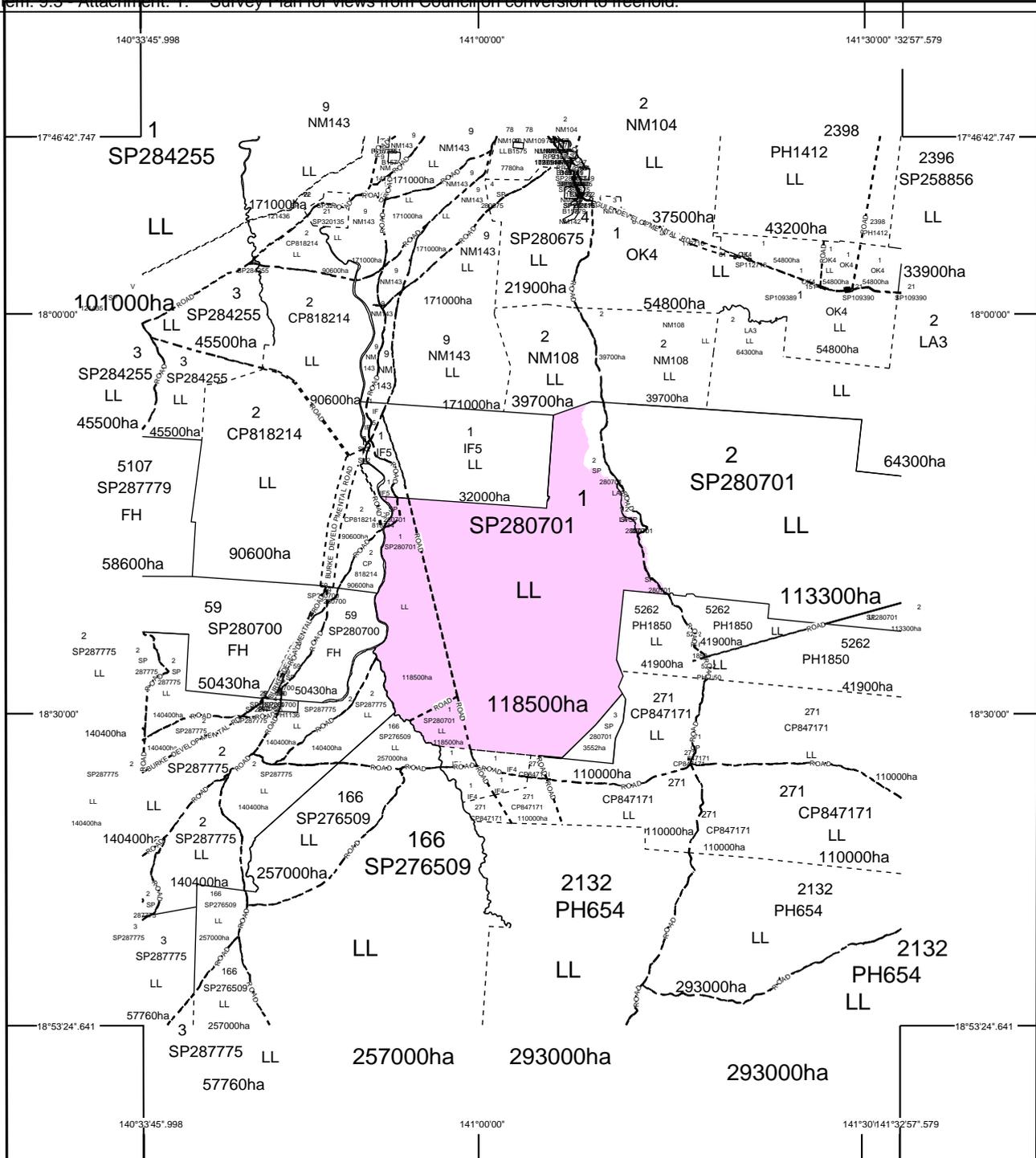
BUSINESS PAPERS

Financial and Resource Implications:

- Not applicable, any work required in relation to surveys would be at applicant's expense

Risk Management Implications:

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



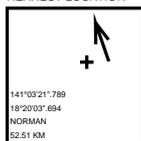
STANDARD MAP NUMBER
7161-34312



SmartMap

An External Product of
SmartMap Information Services
Based upon an extraction from the
Digital Cadastral Data Base

MAP WINDOW POSITION &
NEAREST LOCATION



SUBJECT PARCEL DESCRIPTION

DCDB	
Lot/Plan	1/SP280701
Area/Volume	118500ha
Tenure	LANDS LEASE
Local Government	CARPENTARIA SHIRE
Locality	STOKES
Segment/Parcel	79/7

CLIENT SERVICE STANDARDS

PRINTED 27/05/2022
For additional information regarding this SmartMap see page 2.
Shading Rules have been applied.

DCDB 26/05/2022 (Lots with an area less than 10,000ha are not shown)

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Additional Information Page

Shading Rules

Lot Number = 1 and Plan Number = SP280701

Layer Suppression

Strata - Linework and Text are not shown

BUSINESS PAPERS

9.4 HUMAN RESOURCES REPORT

Attachments: 9.4.1. DA Tests May 2022 [↓](#)
9.4.2. SafePlan Progress Report May 2022 [↓](#)
9.4.3. Staff Housing List June 2022 [↓](#)

Author: Lisa Ruyg - Manager Human Resources

Date: 7 June 2022

Key Outcome: 1.1 – Responsive and effective service delivery

Key Strategy: 1.1.1 Foster appropriate corporate culture that aligns with Council's Mission, Values and Behaviours.

Executive Summary:

This report provides information on the progress of SAFEPLAN, Council's safety management system, and an update on general human resource matters.

RECOMMENDATION:

That Council considers a Staff Housing application and accepts the remainder of the Human Resources Report for information.

1. Staff Housing

Application received from Michael (Trinity) Mudd

Trinity is currently residing in Bynoe Housing, however, would like to secure Council housing as the Bynoe tenancy is of only 12 months duration.

Trinity has applied for housing on behalf of himself, his partner, and a young child.

Trinity is employed as a 2nd year apprentice plumber

A listing of current staff tenancies and vacancies is attached.

2. Work, Health & Safety Report (including Drug and Alcohol Testing)

The Safeplan progress report to May 2022 and Drug and Alcohol Testing Statistics for May 2022 are attached.

3. Work Experience Placements

Council will be hosting two work experience students from the Normanton State School from 13 – 17 June 2022. One student will be placed in Administration and the other student will be placed with our Electrician, Tom Loadsman.

4. Recruitments

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We continue to feel the pressure from a tight labour market and are struggling to attract suitable candidates to several of our vacant positions.

a) Child Care Positions

Council has received a limited number of applications and we are currently working through those, predominantly through 'phone screening.

b) Community Support Officer

This position did not attract a suitable candidate and we are currently re-advertising.

c) Apprentice Diesel Fitter

We received a few applications; however, candidates were either non-contactable or withdrew their applications prior to aptitude testing and/or interview.

The position will be re-advertised in December 2022.

d) Technical Officer - Water

An offer of employment has been made.

5. Budget Report

Row Labels	Sum of Original Budget	Sum of Order Value	Sum of YTD Actual	Sum of Total Actual
Operating Expenditure				
Apprenticeships / Traineeship	67,000	42,010	9,321	51,331
Enterprise Bargaining	35,000	546	8,013	8,559
Human Resource Operations	561,855	46,375	432,612	478,987
Learning & Development	185,000	55,539	131,248	186,786
Workplace Health And Safety	612,715	158,768	421,884	580,652
Operating Expenditure Total	1,461,060	270,548	1,035,767	1,306,315
Operating Income				
Apprenticeships / Traineeship	(85,000)		(124,759)	(124,759)
Human Resource Operations			(474)	(474)
Learning & Development			(1,773)	(1,773)
Workplace Health & Safety			(110,570)	(110,570)
Operating Income Total	(85,000)		(237,576)	(237,576)
Grand Total	1,376,060	270,548	798,191	1,068,739

Consultation (Internal/External):

- Executive Leadership Team
- The Drug Detection Agency
- WHS Advisor

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- Local Government Workcare

Legal Implications:

- Within normal operational parameters.

Financial and Resource Implications:

- Within allocated budget.

Risk Management Implications:

- Within normal operational parameters.

Type of testing	
Oral	141
Total	141

NOTE; 2 x urine Tests Conducted for retests

Reason for test	Date						
	23.05.2022	24/05/2022	25/05/2022	26/05/2022	27/05/2022	28/05/2022	29/05/2022
Random		30	24	17	29	18	21
Post Incident	Travel Day						
Reasonable							
Re-test/ Second			1				1
Total	0	30	25	17	29	18	22

Detections	Date	Date	Date	Date	Date	Date	Date
	24/05/2022	25/05/2022	26/05/2022	27/05/2022	28/05/2022	29/05/2022	
AMP							
BZO							
COC							
MET							
OPI						1	
THC			1				
ALC >.05							
ALC .01-.049							
ALC <.01							
	0	0	1	0	0	1	0

Camps Tested						
Delta	89B	Karumba	Admin	Bang Bang	McAlister	
Lillyvale		Normanton	7 Mile	Reaphook	Wondoola	

Staff Housing List - Current as at 7 June 2022

Address	Tenant		Bedrooms
2 Airport Road, Normanton	Michael Wanrooy	Director of Engineering	3 Bedroom
12 Airport Road, Normanton	Ben Hill	Manager Water & Waste	3 Bedroom
1/4 Brodie St, Normanton	John Martin	Consultant Engineers	2 Bedroom
2/4 Brodie St, Normanton	John Martin	Consultant Engineers	2 Bedroom
1 Brodie St, Normanton	Alfred Thomas	Plant Operator	3 Bedroom
3 Burke Dev Rd, Normanton	Phillip Grieve	Council Ranger	2 Bedroom
52 Green St, Normanton	Allocated	Graduate Positions	3 Bedroom
55 Green St, Normanton	Aniba Waianga	Water Treatment Plant	2 Bedroom
57 Green St, Normanton	Johannes Sugundo	Plant Operator	2 Bedroom
17 Greenaway St, Normanton	Julianne Meier	Director Community Services	3 Bedroom
19 Greenaway St, Normanton	John Martin	Consultant Engineers	4 Bedroom
16 Henrietta St, Normanton	Soon to be vacant		3 Bedroom
30 Landsborough St, Normanton	Malcolm Pollard	Carpenter	3 Bedroom
32 Landsborough St, Normanton	Allocated	Lead Educator	2 Bedroom
72 Landsborough St, Normanton	Nicole Nash	Child Care Director	3 Bedroom
74 Landsborough St, Normanton	Angeline Pascoe	Executive Assistant	3 Bedroom
76 Landsborough St, Normanton	Robert Beard	Plumber	3 Bedroom
78 Landsborough St, Normanton	Brenton Murray	Foreman	3 Bedroom
37 Matilda St, Normanton	Mark Crawley	Chief Executive Officer	4 Bedroom
2 Norman St, Normanton	Cameron Young	Foreman	3 Bedroom
22 Norman St, Normanton	Jade Nacario	Manager Finance & Admin	3 Bedroom
24 Norman St, Normanton	Mick Sceresini	Works Coordinator	3 Bedroom
3 Norman St, Normanton	Will Bollen	Workshop Foreman	3 Bedroom
12 Norman Street, Normanton - Single Men's Quarters			
Units 1, 2, 3 & 4			Single Rooms
17 Palmer St, Normanton	Ashley Monaghan	Leading Hand Town Crews	2 Bedroom
1/81 Philp St, Normanton	Allocated	ICT Officer	2 Bedroom
2/81 Philp St, Normanton	Allocated	Child Care	2 Bedroom
34 Philp St, Normanton	Contractor	Stores	3 Bedroom
1/41 Sutherland St, Normanton	Grant Miller	Plant Operator	2 Bedroom
2/41 Sutherland St, Normanton	Clarence Bynoe	Plant Operator	2 Bedroom
23 Woodward St, Normanton	Kerrod Giles	Engineer	4 Bedroom
36 Woodward St, Normanton	Michael Suhan	Water Treatment Plant	3 Bedroom
38 Woodward St, Normanton	Allocated	Child Care	
Burns Philp Caretaker Unit	Contractor	Finance	1 Bedroom
140 Yapper St, Karumba	Shane Stark	Senior Foreman	3 Bedroom
Karumba Depot Accommodation			
Depot Room 1, 2, 3, 4 & 5			Single Rooms
35 Karumba Dev Rd, Karumba	Amanda O'Malley	Barra Centre Manager	3 Bedroom
1/150 Yappar St, Karumba	Barra Centre		1 Bedroom
2/150 Yappar St, Karumba	Barra Centre		1 Bedroom
17 Col Kitching Drive	Waianga Waianga	Treatment Plant Operator	3 Bedroom

BUSINESS PAPERS

10 REPORTS FROM DIRECTOR OF CORPORATE & COMMUNITY SERVICES

10.1 DCS REPORT

Attachments: 10.1.1. Local Laws Report May [↓](#)
Author: Julianne Meier - Director Corporate Services
Date: 6 June 2022

Key Outcome: A well governed, responsive Council, providing effective leadership and management, and respecting community values

Key Strategy: Maintain a focus on integrity, Accountability and Transparency in all that we do

Executive Summary:

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

RECOMMENDATION:

That Council:

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

Background:

1. Actions Outstanding from Previous Meetings

Date:	Action	Status	Comment
	Liaise with relevant parties to improve connectivity at Normanton Rodeo Grounds	Ongoing	Ongoing – reported fault with Telstra about service dropouts. Officers to discussed issue with Telstra to see if we can increase bandwidth during specific events, however, have been advised we already have the maximum bandwidth. Officers are preparing to submit another grant for connectivity.
Jan-20	Abandoned Vehicles – Identify and secure a site.	In Progress	Abandoned vehicles cannot be towed unless to a secure site. There is little room at Council Depot so engineering are identifying a suitable site at the Normanton tip and will obtain quotations to fence so the area can be secured. A contractor has been engaged.
Jan-21	Lease / Water Agreements	In Progress	Awaiting meter location maps, to finalise water agreements.

BUSINESS PAPERS

Nov-21	Walkers Creek – Tourism Signage	In Progress	It seems an information sign has been stolen from the Walkers Creek area. The Karumba Progress Association members were disappointed that it was taken, and suggested funding may be sought to replace the sign with a larger sign so it could not be stolen. On discussing the matter with officers, a replacement sign would cost \$350 as we still have proofs, so it was decided to replace with the same sign, from the maintenance budget. The signs have arrived and expected installation when crews can access site.
Nov-21	Karumba Progress Association	Complete	Karumba Progress Association have requested Council consider the following projects: 1. Karumba Walking Track Improvements 2. Footpath – Karumba Town to Barra Centre ELT have considered these projects can be progressed under the LRCIP Grant Program. In the meantime, the engineering team are considering some temporary directional signage. It is expected these jobs will be picked up in the operational and capital budgets moving forward.

2. Budget

The 2021/2022 budget was adopted at the 30 June 2021 Special Meeting. An extract of the budget areas of responsibility are shown below.

Row Labels	Sum of Original Budget	Sum of YTD Actual	Sum of Order Value	Sum of Total Actual
Operating Expenditure				
Animal Control	108,216	69,584	0	69,584
Cemeteries	79,191	30,314	4,344	34,658
Environmental Health	73,481	1,343	0	1,343
Information Technology	458,759	410,154	39,965	450,119
Local Laws	162,716	92,376	13,887	106,263
Major Opex	400,000	649,555	293,585	943,139
Mosquito Control	67,083	3,796	0	3,796
Pest Management Operations	77,943	27,850	12,521	40,371
Property And Leases	15,000	3,596	500	4,096
Stores & Purchasing	-19,568	115,548	63,260	178,808
Weed Control	119,083	222,322	29,256	251,577
Operating Expenditure Total	1,541,904	1,626,438	457,317	2,083,755
Operating Income				
Animal Control	-2,000	-3,071	0	-3,071
Cemeteries	0	-5,010	0	-5,010
Environmental Health	0	-2,882	0	-2,882
Information Technology	0	-45	0	-45
Local Laws	-89,000	-55,226	0	-55,226
Major Opex	-400,000	-10,651	0	-10,651
Pest Management Operations	0	-49,136	0	-49,136
Property And Leases	-68,000	-73,614	0	-73,614
Stores & Purchasing	0	-180	0	-180
Weed Control	0	-67,000	0	-67,000
Operating Income Total	-559,000	-266,814	0	-266,814
Grand Total	982,904	1,359,624	457,317	1,816,941

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The above budget of \$982,904 includes the Cemetery budget compared to the previous month; and appears significantly overspent with total expenditure of just over \$1.8 million. At the time the budget was prepared in May there was only one project anticipated – Lilyvale Subdivision Sliplane. The project cost was estimated at \$400,000 which was fully funded by LRCIP, so the outlay for Council was expected to be nil. However, some projects were not quite finalised at 30 June 2021, so they have carried over to the new budget. Additionally, extra grants have been sourced. More detail is provided in the Major Op Ex line below.

Animal Control - Tracking well against Budget, although there have been more registrations than budgeted.

Cemeteries - Tracking well against Budget, and as variable costs they are also recoverable, so as expenses increase, there should be a corresponding increase in revenue which means the outcome should almost be cost neutral. It is the additional cemetery maintenance of grounds that costs Council.

Environmental Health - Budget not yet expended but will need to use a contractor for various food business and caravan park inspections prior to 30 June.

Information Technology - Budget expected to be fully expended. ICT items such as laptops, desktop computers and monitors have not been replaced at estimated end of life and have lasted beyond expected lives. This may result in greater than usual purchases in the current year as several computers, monitors and printers have failed and have had to be replaced. The additional expenditure on hardware may be offset by the ICT position being vacant for a period of time.

Local Laws - Some wages shall be offset against the Illegal Dumping Grant Round 2, for monitoring illegal dumping. The total grant is for 0.25 of an FTE and is only able to fund wages. The local laws budget is expected to be underspent.

Major Op Ex - This expenditure typically includes operational projects, that are not business as usual. These projects may also have a funding component to offset expenditure.

Cost Account	Job Description	Actual	Orders	Total	CSC	Comments
CO2101	Karumba Foreshore Sand Replacement	13,793	0	13,793	13,793	Carryover Partially funded by LRCIP, Council
LRCIP6	Shire Office - External Repaint	108,000	0	108,000	58,000	Contribution \$58,000
OP1901	Itvision Synergy Soft Implementation	71,749	0	71,749	71,749	Carryover
OPEX2001	Major Op Ex - The Energy Project	1,496	0	1,496	1,496	Carryover
OPEX2102	Tv & Radio Transmission Project	350	6,924	7,274	7,274	Carryover
OPEX2012	QDRF-Flinders River Floodplain Investigation	55,000	0	55,000	0	Fully Funded by QRA
OPEX2201	Lrcip - Tmr - Lilyvale Subdivison Sliplane	289,305	57,228	346,533	0	Fully Funded by LRCIP Carryover, partially funded by savings from
OPEX2202	Gwip Infrastructure (Telstra To Terrecom Migration)	31,767	9,975	41,742	41,742	Telstra
OPEX2203	Ict Governance Strategy	13,000	0	13,000	13,000	Carryover Fully Funded by QRA Flood Warning
OPEX2210	Curry PM - Flood Warning Infrastructure Network	52,850	219,457	272,308	0	Infrastructure
OPEX2220	Surepact System Implementation	10,000	0	10,000	0	Funded from Telstra TIF
		647,310	293,585	940,894	207,054	

There is a carryover project IT Vision Synergy Soft Implementation - Definitiv (Online Timesheet Program), where current expenditure is \$71,749. Unfortunately, due to Covid delays this project was not fully implemented prior to June 30. This project is completed but has no corresponding budget.

BUSINESS PAPERS

Two projects impacting the budget are Lilyvale Subdivision Sliplane and Curry PM, but these projects are expected to be fully funded, so grants will be received as milestones are met and the net cost will be nil.

Whilst the carryover's amount to \$207,054, at this stage officers anticipate these costs may be able to be absorbed into the current budget, and no further budget is requested at this time.

Mosquito Control - Budget not yet expended but will need to use a contractor to carry out fogging work regularly during wet season.

Pest Management Operations - Budget not yet expended but will need to use a contractor to carry out 1080 Baiting Program in June, expect some savings from this budget.

Weed Control - Budget fully expended, due to works carried out in Karumba to clear woody weeds and pest from Col Kitching Drive and Walker St areas. Most of the expenditure related to cultural monitoring of the areas during the clearing period.

Works are continuing, in this area to try to control the regrowth. Some works shall be completed by a contractor, and some shall be carried out by Council's depot teams when time permits.

3. Program Update

Local Laws

Local Laws Report

The statistics for local laws are attached. The table below shows there is still 62% of the budget remaining for the bounty scheme, which is unlikely to be fully spent this year.

Month	Bounty Scheme 2021to 2022		
	Wild dogs (Qty claimed)	Monthly Total	Budget Remaining
Jul		0	6,500
Aug		0	6,500
Sep		0	6,500
Oct	3	150	6,350
Nov		0	6,350
Dec	37	1,850	4,500
Jan	6	300	4,200
Feb	3	150	4,050
Mar		0	4,050
Apr		0	4,050
May		0	4,050
Jun		0	4,050
Total	49	2,450	4,050

The Local Laws officer continues to do illegal dumping patrols. Monitoring cameras have arrived so over the next month there will be a focus on installing these in various known dumping spots.

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The loading zone at the Gilbert River Boat Ramp in Karumba is being monitored regularly, as the tourists are often parking in the loading zone. This causes issues with commercial fisherman as they then must park further away to access the river. Signage is there but the road needs painting in yellow, with loading zone to support the signage.

For feedback.

Pest and Weed Management

Round 1 1080 Baiting Program

Property owners have been notified the first-round of 1080 baiting is in planning and have been provided with a proposed schedule. Carpentaria Land Council will facilitate the 1st Round of baiting. There has been some rain in the Shire so there have been some cancellations.

Weed Program Update – Karumba Township

A large amount of weed clearing has occurred in and around the Karumba township. Council is planning to conduct follow up treatment to manage the regrowth.

Discussions are underway with a contractor to conduct aerial spraying of the affected areas. This work won't be undertaken where conditions are too windy, and the late spraying can often give a less than satisfactory outcome during cooler months.

The supplier of the required chemicals has advised the estimated lead time to supply the product is greater than four weeks. Council intends to purchase the chemicals and hold in stock to ensure it has available stock when the works are carried out.

Upcoming Gulf Catchments Pest Task Force Meeting

The Gulf Catchments Pest Task Force meeting has been postponed and is expected to be held in Mt Isa on 21st and 22nd of June.

Environmental Health

Council has conducted annual inspections of Food Premises and Caravan Parks in Normanton and Karumba townships. All businesses made time for the inspections and are expected to be issued with appropriate licenses.

4. Other Items

Strategic and Operational Risk Registers

There has been a site visit by Pacifica and ongoing work to review and update Council's Strategic and Operational Risk Registers. This work has involved many officers involved in Council operations. Communications have been ongoing, and another workshop is scheduled for the week of the 16th May to finalise the registers.

The Fraud Risk Register will also be updated as part of the process.

A separate report has been prepared to adopt these registers.

Interim Audit

The finance team have been preparing for Council's Audit. Auditors will be onsite the week of 20th June. Council's External Audit Plan is attached for review. It includes an analysis of key audit risks, our planned audit response, a timetable for financial reporting and audit deliverables, and other matters.

Stores and Purchasing Operations

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There has been a move to improve services at Council stores. Part of this has been to locate the Procurement Coordinator at the Store. This has worked well for the current stores officer having worked alone for many years. Council has recently recruited a Business Support Officer who will provide support services to the stores officer and take on purchase requests from workshop staff.

This approach moves to centralise the purchasing function for procurement > \$200,000. In time the Procurement Coordinator shall establish Preferred Supplier Arrangements where multiple goods are purchased, their combined values exceeding medium contract or large size contracts.

Stores Stocktake – Fuel

A stocktake was conducted at the end of the last swing, however responses have not yet been received, due to a number of staff being away from work due to Covid-19. It is expected a report will be provided to Council next month.

A full stocktake has been conducted and a separate report shall be prepared for any write off that occurs.

Consultation (Internal/External):

- Mark Crawley - Chief Executive Officer
- Carpentaria Land Council Aboriginal Corporation
- Environmental Health Officer - Contract

Legal Implications:

- *Local Government Regulation 2012*
- *Local Government Act 2009*

Financial and Resource Implications:

- Any capital expenditure will need a new budget provided; however operational expenditure is expected to be managed within budget.

Risk Management Implications:

- Risk is considered low, to ordinary operations of Council.

Local Laws Reporting														
Month	New Animal Registrations				Impounded Animals				Euthanized Animals					
	Ntn	Kba	Ntn	Kba	Ntn	Kba	Ntn	Kba	Ntn	Kba	Ntn	Kba	Ntn	Kba
Jul	3	7			7	2	45	30	5	45	30			
Aug	9	5			6		30	25	5	30	25			
Sep	5	3			7		24	19	5	24	19			
Oct	5	0			3		26	16	3	26	16			
Nov	2	3			6	3	35	22	4	35	22			
Dec	3	1			4	1	20	19	4	20	19			
Jan	4	3					on	leave						
Feb	1	10			8	0	38	10	6	38	10			
Mar	2	1			6	1	23	15	5	23	15			
Apr	1	3			5	1	20	19	3	20	19			
May	4	1			4	0	19	12	4	19	12			
Jun														
Total	39	37	0	0	56	8	280	187	44	0	280	187	0	0

Local Laws Reporting														
Month	Illegal Campers		Snakes removed		Overgrown Allotment notices		Abandoned Vehicles		Pound Release fees		Infringements Issued		Fines Collected	
	Ntn	Kba	Ntn	Kba	Ntn	Kba	Ntn	Kba	Ntn	Kba	Ntn	Kba	Ntn	Kba
Jul	10	12	1						-	-	-	-	-	-
Aug	5	6	2						-	-	-	-	-	-
Sep	3	2							-	-	-	-	-	-
Oct	0	0						\$265.00	-	-	-	-	-	-
Nov	0	0						-	-	-	-	-	-	-
Dec	0	0						-	-	-	-	-	-	-
Jan	0	0						-	-	-	-	-	-	-
Feb	0	0	10					-	-	-	-	-	-	-
Mar	0	0	8					-	-	-	-	-	-	-
Apr	0	0	10	4				-	-	-	-	-	-	-
May	0	0	5					\$330.00	-	-	-	-	-	-
Jun								-	-	-	-	-	-	-
Total	18	20	36	4	0	0	0	0	595	0	0	0	0	0

BUSINESS PAPERS

10.2 MONTHLY FINANCIAL REPORT - MAY 2022

Attachments:	10.2.1. Monthly Statements May 2022 ↓ 10.2.2. Cash May 2022 ↓
Author:	Jade Nacario - Manager Finance and Administration
Date:	8 June 2022
Key Outcome:	7.3 - Strategic management of Council
Key Strategy:	7.3.3 Implement sustainable financial management and effective procurement practices.

Executive Summary:

Presentation of the financial report for 31 May 2022 as required under section 204 of the *Local Government Regulation 2012*. The report is presented for noting and indicates whether Council is progressing satisfactorily against its current budget.

RECOMMENDATION:

That Council accepts the Monthly Financial Report, as required under section 204 of the *Local Government Regulation 2012* for the period ended 31 May 2022.

FINANCIAL REPORT

The Monthly Finance Reports are prepared in accordance with the reporting requirements of the *Local Government Act 2009* and *Local Government Regulation 2012 s204*.

The following reports for 31 May 2022 are attached for Council's information.

- Statement of Comprehensive Income
- Statement of Comprehensive Income by Category
- Statement of Financial Position
- Cashflow Statement
- Accounts Summary

BUSINESS PAPERS

Sustainability Ratios

Indicator	Target		31 May 2022	Comment
Current Ratio Is Council able to pay off its short-term liabilities with its current assets?	1.5-3.0	Current Assets/Current Liabilities	2.7	Council has 2.7 times more current assets than current liabilities
Operating Surplus Ratio Does Council have sufficient operating revenue to meet Council operating costs?	Between 0 & 10%	Surplus/(Deficit) from council operations / Revenue generated from Council	-14%	The budget projection is at -8%. Actual ratio is lower due to recognition of revenue for grants received will be adjusted in June 2022.
Cash Expense Ratio Has Council properly planned for when payments associated with Council activities are due? Indicates the number of months council can continue paying its immediate expenses without additional cash flows	3 months	Cash at Bank / Expected cash operating costs for one month	4.55	Indicates council can continue paying its immediate expenses without additional cash flows in the next four months.

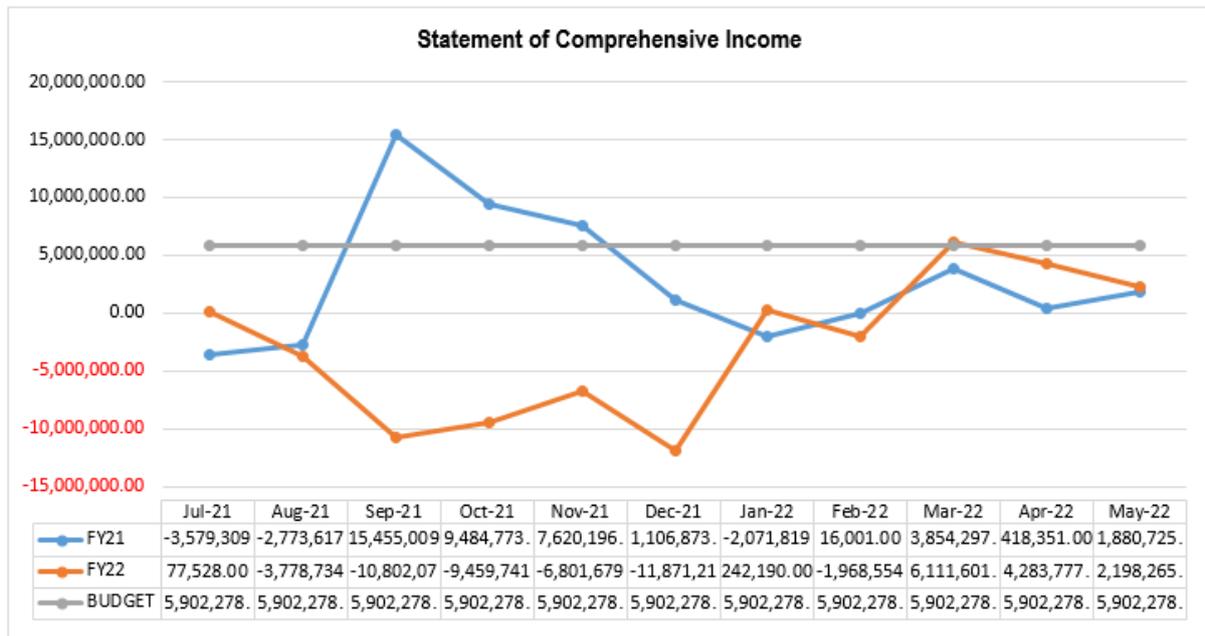
Statement of Comprehensive Income

For the eleventh month of the financial year 2021/2022, the financial year had elapsed 83.33% for the Operating Revenues and Expenditures budget. The comprehensive income statement indicated a net result of \$2,198,265 in surplus which is the sum of \$ 53,129,897 in recurrent revenue, \$ 60,569,391 in recurrent expenditure and \$9,637,759 in capital income. Further analysis is provided below.

	Actual (from 1 July 2021 to 31 May 2022)	Budget (from 1 July 2021 to 30 June 2022)
Recurrent Revenue	53,129,897	66,418,831
Recurrent Expenses	60,569,391	71,660,312
Net Operating	(7,439,494)	(5,241,481)
Capital Income	9,637,759	11,143,759
Net Result	2,198,265	5,902,278

*Please see attached Comprehensive Income Statement for details.

BUSINESS PAPERS



Comprehensive Income Budgets Vs Actuals Variance Analysis

The items noted below are the items with significant variance between actual amounts and the forecasted budget at the start of the financial year.

Item	Actual	Budget	%	Analysis
Fees and Charges	863,538	539,000	160%	<p>↑ Actual is Higher than budgeted amount due to conservative budgeting.</p> <p>The favorable variance of fees and charges actuals compared to the annual budget is mainly due to conservatively forecasting at the start of the year. Here are some of the sections that had low or conservative budgets:</p> <p>Childcare – has reached 120% of its annual budget</p> <p>LWBDC Tours – is currently at 158% of its annual budget</p> <p>Water Connection, Sewerage Installation, Landfill, Building Search, Rates Search, Rodeo Grounds, Sports and Recreation etc. – had zero budget at the start of the year however had a combined fees and charges income of 165,983. A current review of these transaction is in progress.</p>

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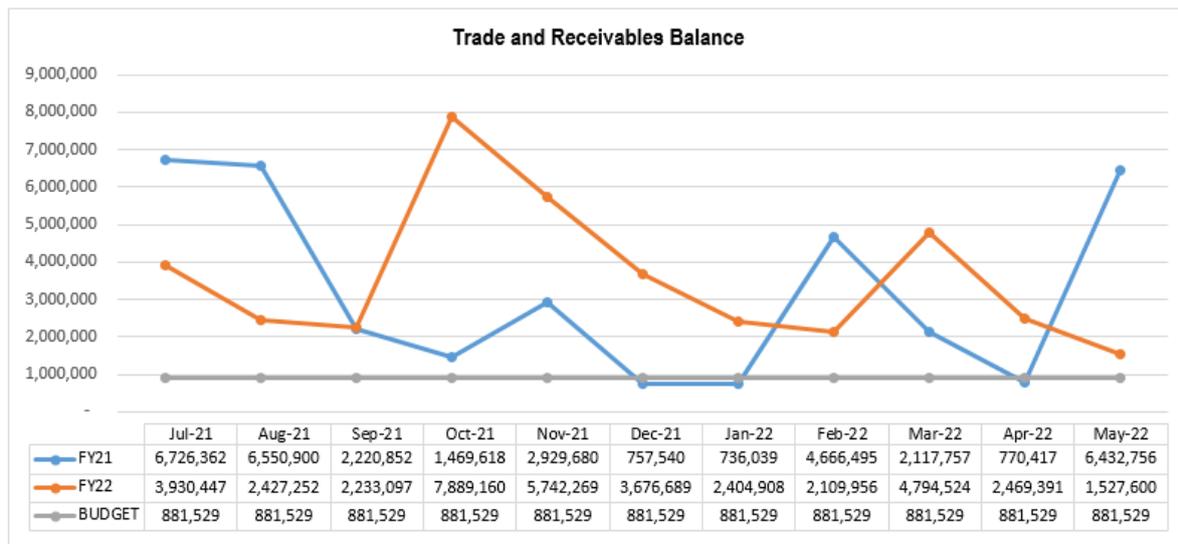
Income from Operation and Sales	10,690,946	10,408,500	102.71%	<p>↑ Actual is Higher than budgeted amount. This is usually due to more contracts being sourced from TMR or variations than initially budgeted.</p> <p>The favorable variance is mainly due to the nature of sourcing contracts for Main Roads Projects. The actual income received is based on council's eligibility to process claims.</p> <p>RMPC 134%</p> <p>TMR Recoverable Works 90.31%</p>
Operating Grants	32,458,332	46,487,331	69.82%	<p>↓ Actual is Lower than budgeted amount</p> <p>Forty million dollars of the total operating grants annual budget is for DRFA restoration works. In the last three months, Council had paused its DRFA restoration works due to the extended wet season. This means that there were minimal progress claims submitted to QRA in the last couple of months. As of the end of this month, the total income recognize for DRFA works is 23,538,190 which is 59% of the annual budget. It is anticipated that this will increase when the revenue recognition of grants adjustments is complete.</p>
Non-Operating Grants	9,408,380	11,143,759	84.43%	<p>↓ Actual is Lower than budgeted amount.</p> <p>Non-operating grants are funding received for the purpose of constructing roads, buildings and other infrastructure assets, and purchasing equipment. Due to the nature of this income, It is anticipated that this will have changes when the revenue recognition of grants adjustments is complete.</p> <p>As the funding amount is material, variance against its annual budget has significant impact on the overall net result. The decrease from the previous month is a result</p>

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				of adjustments as per revenue standard.
Materials and Services Expenses	42,227,636	50,441,285	83.63%	<div style="border: 1px solid red; display: inline-block; padding: 2px;">↓</div> Actual is Lower than budgeted amount The variance on Materials and services operating expenses is expected as Council had paused most of its road operations due to the extended wet season.

Financial Position Reports

The graph below shows Council's *Trade and Receivables* balance of \$ 1,527,600. The receivables balance is made up of rates receivable \$921,857 and the remaining balances are receivables from community loans, Main Roads recoverable works and airport charges.



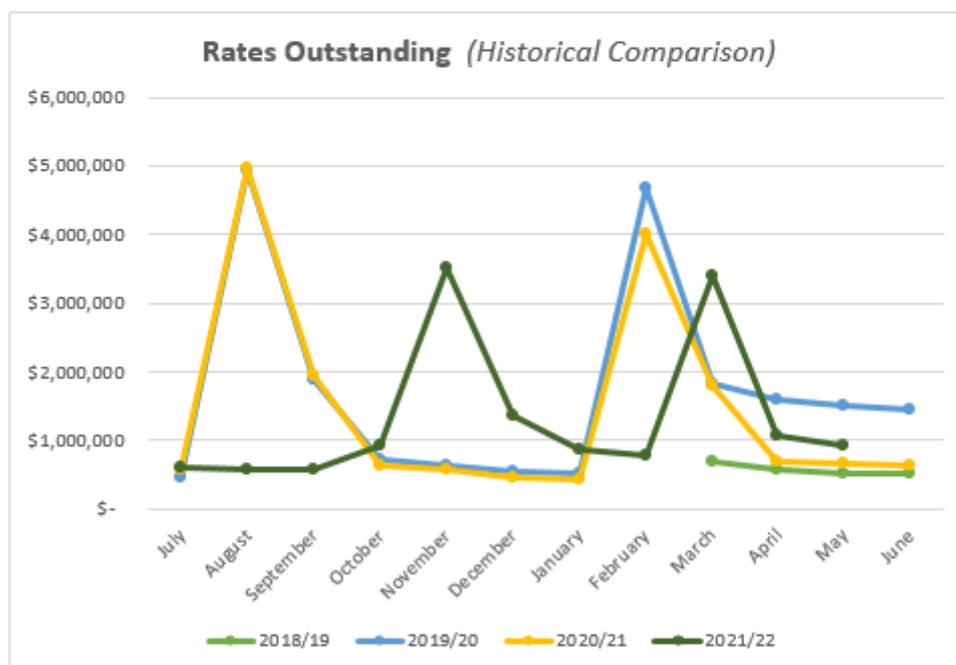
Rates and Service Charges Receivables

The Final Reminder letters were emailed and posted to ratepayers on the 10th of May, 2022. After the second levy discount period, the team noticed that some ratepayers were using incorrect references when making online payments, this resulted to some property owners having a credit balance in one property and outstanding balances on the rest of their properties. Correspondence was sent to ratepayers to notify of this issue.

The Rates team has been working towards preparing documentations for the incoming interim audit. The rates team is currently finalizing the Debt Recovery listing for the referral to the Debt Recovery Agent and sale of land as per Council Debt Recovery Policy.

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Rates Outstanding					
	%	May-22	Apr-22	Mar-22	May-21
Current Year	40%	423,388	608,542	2,580,650	310,116
1 Year Arrears	15%	163,862	165,792	174,113	121,713
2 Year Arrears	10%	105,971	110,179	111,977	51,715
3+ Year Arrears	16%	170,659	171,259	173,236	149,079
Interest	19%	198,148	192,265	174,765	141,167
Credits		(140,171)	(175,481)	(81,788)	(115,604)
Balance	100%	921,857	3,132,953	788,448	658,186



Community Loans

Council currently has two community loans, and these are reflected as assets in Council's accounts. Below are the outstanding balances as of 31 May 2022. The figures below do not include future interest charges.

Community Organization	Balance	Maturity Date
Normanton Rugby League Club	\$ 42,962	30 June 2025
Normanton Rodeo Association	\$ 56,067	31 December 2024

Capital Expenditure Report 2021/2022

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Council has a capital budget of \$16.1 million for the 2021/2022 financial year. Some projects have been added since the original budget, and these also have a Council contribution. The attached capital expenditure report shows some projects are multi-year projects and identifies how the project is funded and how the project is tracking against the budget. Council is heavily reliant on grant funding for most capital expenditure, however the following items are fully funded by Council:

- | | |
|--|-------------|
| • Fleet and Plant Replacement | \$1,557,699 |
| • Gilbert St Pontoon Repairs | \$ 15,000 |
| • Disability Access Footpaths in Karumba and Normanton | \$ 105,000 |

The following projects are partly funded by Council:

- Disaster Coordination Centre
- Normanton-Burketown Sealing
- Glenore Weir Rectification Stage 2
- Raw Water Irrigation
- Shire Office – External Repaint
- Normanton Stormwater Upgrade
- Karumba Point Shoreline

As of the month of May 2022, the following capital projects are now complete and are ready for capitalization in Council's Asset Register.

1. Demolition of Old Trades Shed
2. Karumba Airport Power Supply Upgrade
3. Normanton Sports Centre Fan
4. Ablution Block Karumba Boat Ramp
5. Depot 48 Port Switch Board
6. Shire Admin Office Photocopier
7. Karumba Truckstop Rectification
8. Normanton Entry Signage
9. Normanton Showgrounds, Racecourse & Rodeo Grounds - Lighting in Arena Upgrade
10. Dunbar Kowanyama Road Floodway
11. Magnificent Creek (Topsy Creek) Causeway Upgrade Kowanyama Rd
12. Normanton-Burketown Seal Project 11/12 CSC.0017.1819E.REC
13. Normanton-Burketown Seal Project 13 CSC.0016.1819E.REC
14. Normanton to Burketown - Sealing Works TIDS/R2R/Council
15. De-sludging of Sewerage Lagoon
16. Inlet Screen- Kba
17. Normanton Sewerage Treatment Plant Effluent Irrigation Replacement
18. BBRF - Raw Water Irrigation
19. BBRF - Raw Water Irrigation - Delivery Line Replacement
20. Caterpillar 140M Motor Grader

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21. Forklift - P4500 - Karumba Sewerage Treatment Plant
22. Toyota Hilux SR DC Styleside Ute – WPHS
23. Toyota Hilux SR Dual Cab 4x4 Utility – Engineer
24. Toyota Hilux SR 4x4 Single Cab Utility – Carpenter
25. Toyota Landcruiser Workmate Utility – Workshop
26. Toyota Hilux Double Cab – Foreman
27. Toyota Landcruiser Dual Cab Utility - Lone Patrol – Works
28. Toyota Landcruiser Single Cab Workmate – Plumber
29. Toyota Landcruiser Prado GXL Wagon (M Pickering)
30. Toyota Hilux SR Dual Cab 4x4 Utility
31. Toyota Hilux SR 4x4 Dual Cab Utility – Foreman
32. Toyota Hilux SR TD 4x4 Dual Cab Utility – Foreman
33. Ford Ranger Extra Cab 4x4 Utility - Local Laws
34. Toyota Hilux SR 4x4 Dual Cab Utility – Foreman
35. Toyota Landcruiser Dual Cab – Mayor
36. Toyota Hilux SR TD 4x4 Dual Cab Utility – Foreman
37. Caterpillar 936E Landfill Compactor
38. Kubota F3680 Front Deck Mower
39. Graco LineLazer IV 250SPS (linemarker)

QTC Loans

Council currently has three loans with Queensland Treasury Corporation (QTC), the details are shown below:

Loan Purpose	Balance	Maturity Date
Glenore Weir	4,486,923	15 March 2035
Karumba Sewerage	1,708,213	15 June 2030
Normanton Water	944,102	15 March 2031
TOTAL	7,139,237	

Consultation (Internal/External):

- Executive Leadership Team
- Managers and relevant officers

Legal Implications:

- *Local Government Regulation 2012*, section 204:
 1. The local government must prepare a financial report.
 2. The chief executive officer must present the financial report –
 - a. if the local government meets less frequently than monthly—at each meeting of the local government; or
 - b. otherwise — at a meeting of the local government once a month.

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3. The financial report must state the progress that has been made in relation to the local government's budget for the period of the financial year up to a day as near as practicable to the end of the month before the meeting is held.

Local Government Act 2009

Financial and Resource Implications:

- The report identifies how Council is tracking against the adopted operational and capital budgets for the financial year.

Risk Management Implications:

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



Statement of Comprehensive Income by Category
for the period ended 31 May 2022

	Core \$	QRA \$	Non-Core \$	Total \$	Budget \$
Income					
Revenue					
Recurrent revenue					
Rates, levies and charges	8,101,773	-	-	8,101,773	8,183,000
Fees and charges	427,659	-	435,879	863,538	539,000
Rental income	75,121	-	433,595	508,716	581,000
Interest received	182,656	-	-	182,656	200,000
Sales revenue	10,604,952	-	85,994	10,690,946	10,408,500
Other income	323,936	-	-	323,936	20,000
Grants, subsidies, contributions and donations	8,665,275	23,538,190	254,866	32,458,332	46,487,331
	28,381,373	23,538,190	1,210,334	53,129,897	66,418,831
Capital revenue					
Grants, subsidies, contributions and donations	5,727,921	3,680,460	-	9,408,380	11,143,759
Total revenue	34,109,294	27,218,650	1,210,334	62,538,277	77,562,590
Capital income	229,378	-	-	229,378	-
Total income	34,338,672	27,218,650	1,210,334	62,767,656	77,562,590
Expenses					
Recurrent expenses					
Employee benefits	(6,734,854)	(1,222,407)	(809,649)	(8,766,909)	(10,852,910)
Materials and services	(17,198,778)	(24,329,507)	(699,351)	(42,227,636)	(50,491,285)
Finance costs	(358,814)	-	-	(358,814)	(369,824)
Depreciation	(8,361,459)	-	(854,572)	(9,216,031)	(9,946,292)
	(32,653,905)	(25,551,914)	(2,363,572)	(60,569,391)	(71,660,312)
Capital expenses	0	0	0	0	-
Total expenses	(32,653,905)	(25,551,914)	(2,363,572)	(60,569,391)	(71,660,312)
Net result	1,684,767	1,666,736	(1,153,238)	2,198,265	5,902,278
Other comprehensive income					
Items that will not be reclassified to net result					
Increase / (decrease) in asset revaluation surplus	-	-	-	-	-
Total other comprehensive income for the year	-	-	-	-	-
Total comprehensive income for the year	1,684,767	1,666,736	(1,153,238)	2,198,265	5,902,278

Non Core activities include Les Wilson Barra Discovery Centre, Hatchery, Child Care, Gym, Staff Housing and Penisoner Housing



Statement of Comprehensive Income
 for the period ended 31 May 2022

	31 May 2022	2021.2022
	Actual	Adopted Budget
	\$	\$
Income		
Recurrent Revenue		
Rates and Charges	8,101,773	8,183,000
Fees and Charges	863,538	539,000
Rental Income	508,716	581,000
Interest Received	182,656	200,000
Sales & Recoverable Works	10,690,946	10,408,500
Other Recurrent Income	323,936	20,000
Grants, Subsidies and Contributions	32,458,332	46,487,331
Total Recurrent Revenue	53,129,897	66,418,831
Capital Revenue		
Grants, Subsidies and Contributions	9,408,380	11,143,759
Capital Income	229,378	0
Total Income	62,767,656	77,562,590
Expenses		
Recurrent Expenses		
Administration and Governance	(5,068,021)	(5,040,129)
Community	(1,907,351)	(2,907,107)
Engineering	(4,308,777)	(4,474,418)
Fleet and Plant	1,026,399	4,877,878
Recoverable Works	(10,586,349)	(9,096,300)
Environment	(941,460)	(1,283,144)
DRFA	(25,551,914)	(40,031,791)
Tourism	(920,133)	(1,254,213)
Water and Sewerage	(2,736,939)	(2,134,971)
Finance Costs	(358,814)	(369,824)
Depreciation	(9,216,031)	(9,946,292)
Total Expenses	(60,569,391)	(71,660,312)
Capital Expenses		
	-	-
Total Expenses	(60,569,391)	(71,660,312)
Net Result	2,198,265	5,902,278



Statement of Financial Position
 as at 31 May 2022

	31 May 2022	2021.2022
	Actual	Adopted Budget
	\$	\$
Current Assets		
Cash and Equivalents	33,474,702	36,376,615
Trade and Other Receivables	1,527,600	881,529
Inventories	553,593	424,693
Other Financial Assets	501,050	433,982
Contract Assets	7,188,541	14,435,566
Total Current Assets	43,245,485	52,552,385
Non-Current Assets		
Receivables	90,571	90,571
Property, Plant and Equipment	259,908,463	344,165,589
Capital Works in Progress	11,211,298	16,157,389
RUA Accumulated Depreciation	143,171	0
Total Non-Current Assets	271,353,502	360,413,549
TOTAL ASSETS	314,598,987	412,965,934
Current Liabilities		
Trade and Other Payables	800,374	7,530,468
ATO Payable	591,159	198,786
Interest Bearing Liabilities	502,189	512,809
Provisions	1,035,749	1,285,765
Other Accounts Payable	100,000	100,000
Contract Liabilities	13,103,660	20,415,906
Lease Liabilities	78,000	0
Total Current Liabilities	16,211,130	30,043,734
Non-Current Liabilities		
Interest Bearing Liabilities	6,637,049	6,439,150
Provisions	1,379,761	1,937,954
Other Accounts Payable	100,000	100,000
Lease Liabilities	68,152	0
Total Non-Current Liabilities	8,184,961	8,477,104
TOTAL LIABILITIES	24,396,092	38,520,838
NET COMMUNITY ASSETS	290,202,896	374,445,096
Community Equity		
Asset Revaluation Reserve	171,429,127	269,621,280
Retained Surplus	118,773,769	104,823,816
TOTAL COMMUNITY EQUITY	290,202,896	374,445,096



Cash Flow Statement
 for the period ended 31 May 2022

	31 May 2022 Actual \$	2021-2022 Adopted Budget \$
Cash Flows From Operating Activities:		
Receipts From Customers	23,246,175	19,185,439
Payments to Suppliers and Employees	(58,984,410)	(61,444,195)
	<u>(35,738,235)</u>	<u>(42,258,756)</u>
Interest Received	182,656	200,000
Rental Income	508,716	581,000
Non Capital Grant and Contributions	32,458,332	46,487,331
Borrowing Costs	(358,814)	(369,824)
Net Cash Flows From Operating Activities	<u>(2,947,345)</u>	<u>4,639,751</u>
Cash Flows From Investing Activities:		
Payments for Property, Plant and Equipment	(10,513,029)	(16,157,389)
Proceeds From Sale of Property, Plant and Equipment	1,092,197	2,184,000
Grants, Subsidies and Contributions	9,408,380	11,143,759
Net Cash Flows From Investing Activities	<u>(12,451)</u>	<u>(2,829,630)</u>
Cash Flows From Financing Activities		
Repayment of Borrowings	(334,832)	(487,349)
Net Cash Flows From Financing Activities	<u>(334,832)</u>	<u>(487,349)</u>
Net Increase (Decrease) in Cash Held	(3,294,629)	1,322,772
Cash at Beginning of Reporting Period	36,769,331	35,053,843
Cash at End of Reporting Period	<u>33,474,702</u>	<u>36,376,615</u>

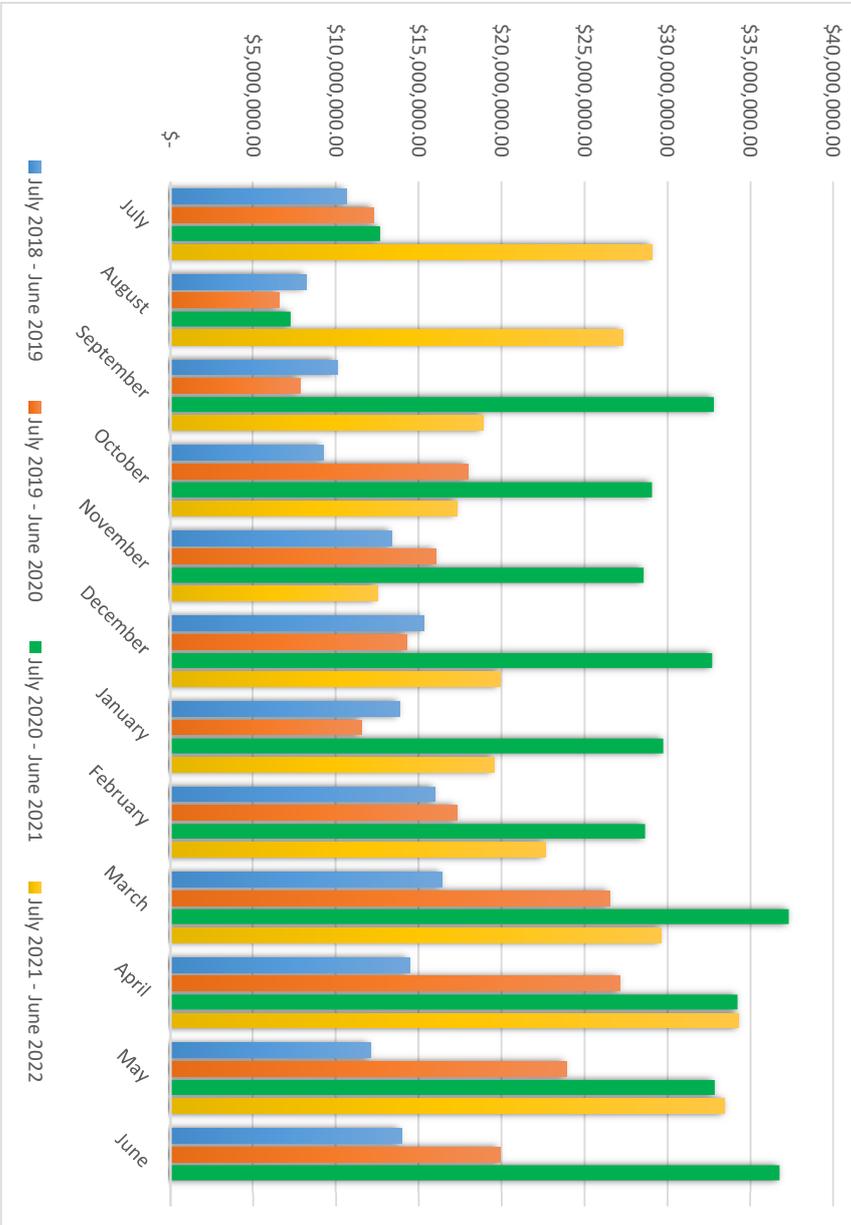


Accounts Summary

	31 May 2022	30 April 2022
	\$	\$
General Accounts		
Westpac General Operating Accounts	303,629	592,714
QTC General Fund	30,251,267	30,787,861
QTC Sewerage Reserve	477,745	477,745
QTC Airport Reserve	132,275	132,275
QTC Water Supply Reserve	716,313	716,313
QTC Land Development Reserve	12,453	12,453
QTC Plant Replacement Reserve	1,577,306	1,577,306
QTC Flood Damage Event 2021 Reserve	0	0
Total balance held in banks	33,470,988	34,296,667
Trust Accounts		
Queensland Treasury Corporation	91,378	91,378
Westpac Bank	38,009	36,579
Total balance held in trust	129,387	127,957
Other Balances		
CSC Reserves	11,070,235	11,070,235
CSC Provisions	2,415,510	2,378,168
Net of Contract Assets and Liabilities	5,915,119	5,915,119
Total balance reserves, provisions and contract liabilities	19,400,863	19,363,521
QTC Borrowings		
Karumba Sewerage	1,708,213	1,699,151
Normanton Water Upgrade	944,102	939,201
Glenore Weir	4,486,923	4,471,781
Total balance QTC borrowings	7,139,237	7,110,134
Net Council Position	6,930,888	7,823,012

CASH

Cash	July	August	September	October	November	December	January	February	March	April	May	June
2019	\$10,624,212.00	\$8,210,979.00	\$10,052,874.00	\$9,230,314.00	\$13,365,287.00	\$15,294,953.00	\$13,866,629.00	\$16,004,746.00	\$16,406,721.00	\$14,429,103.00	\$12,076,778.00	\$13,940,891.00
2020	\$12,280,567.00	\$6,538,396.00	\$7,802,385.00	\$17,986,246.00	\$16,045,726.00	\$14,253,941.00	\$11,534,551.00	\$17,310,350.00	\$26,505,321.00	\$27,149,119.00	\$23,891,105.00	\$19,895,041.00
2021	\$12,668,763.00	\$7,267,828.00	\$32,799,197.00	\$29,061,031.00	\$28,569,461.00	\$32,701,782.00	\$29,755,429.00	\$28,656,349.42	\$37,318,356.00	\$34,226,338.00	\$32,854,549.00	\$36,769,988.00
2022	\$29,066,133.00	\$27,305,252.00	\$18,876,147.00	\$17,306,164.00	\$12,501,484.00	\$19,906,129.00	\$19,521,847.00	\$22,627,835.00	\$29,625,892.00	\$34,300,881.00	\$33,474,702.00	



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10.3 RISK MANAGEMENT FRAMEWORK

Attachments:	10.3.1. Risk Management Policy ↓ 10.3.2. Risk Management Guidelines ↓ 10.3.3. Corporate Risk Register ↓ 10.3.4. Operational Risk Registers ↓
Author:	Julianne Meier - Director Corporate Services
Date:	6 June 2022
Key Outcome:	A well governed, responsive Council, providing effective leadership and management, and respecting community values
Key Strategy:	Develop systems that promote continuous improvement

Executive Summary:

The Risk Management Framework has been reviewed in accordance with AS/NZS ISO 31000:2018 and is presented to Council for adoption.

RECOMMENDATION:

That Council:

1. adopts the Risk Management Policy; and
2. adopts the Risk Management Guidelines; and
3. notes the contents of the Corporate and Operational Risk Registers.

Background:

Council has previously adopted the Risk Management Policy and Risk Management Guidelines on 26 February 2020.

This Risk Management Policy outlines Council's commitment to the development and maintenance of an Enterprise Risk Management Framework and Risk Management Process in accordance with AS/NZS ISO 31000:2018. This framework will be the basis for decisions on how best to identify, assess and manage risk throughout all of Council. This will ensure a consistent approach to risk management processes that will protect the Council, its employees, and the community against loss from foreseeable risks, and create an environment where Council, management and staff assume responsibility for risk management.

The suite of risk documents present in this report include:

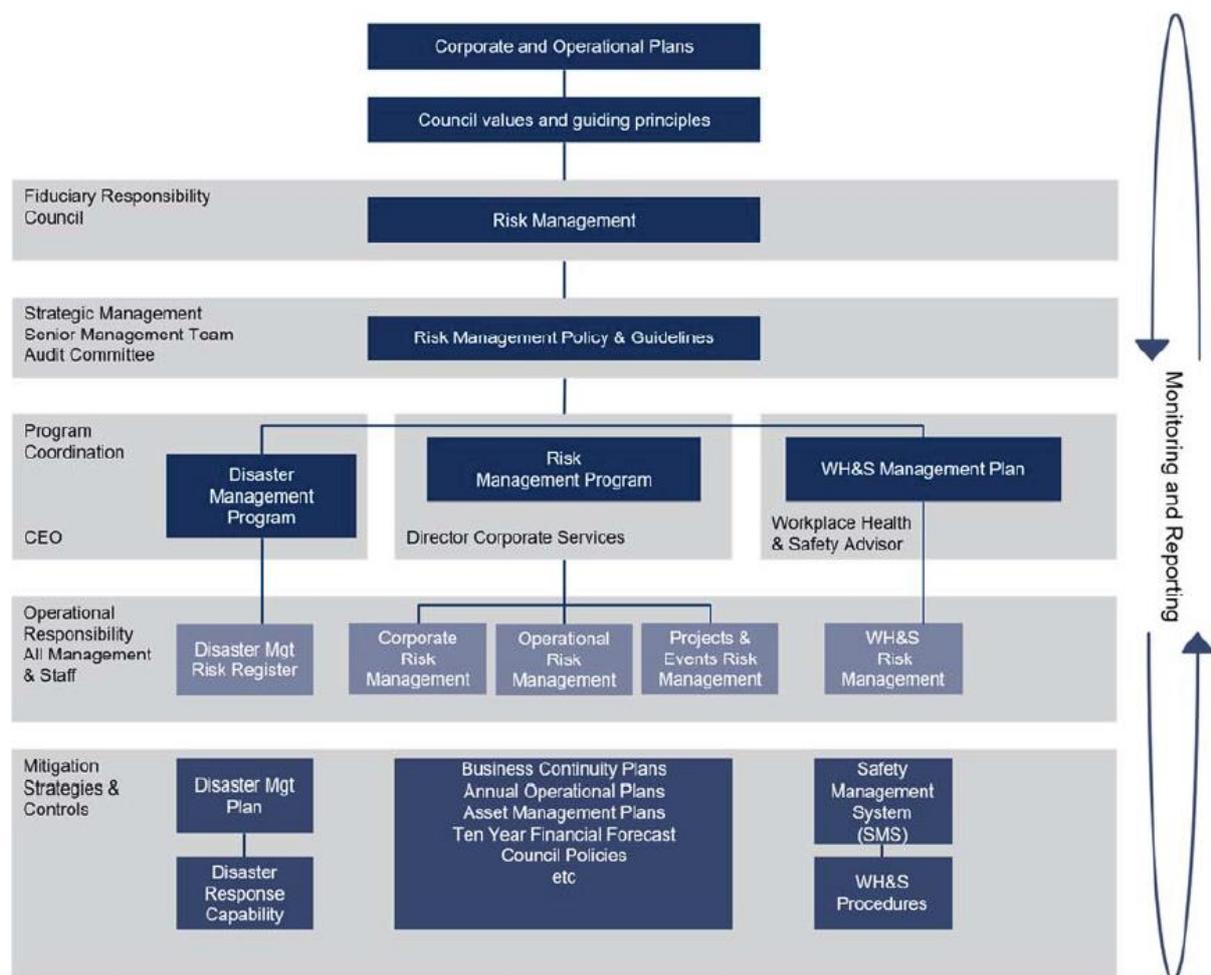
- Risk Management Policy
- Risk Management Guideline
- Risk Registers:
 - Corporate Risk Register
 - Operational Risk Registers

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Whilst the following areas pose a significant risk to Council they are mostly dealt with separately in their frameworks:

- Workplace Health and Safety
- Disaster Management
- Fraud Risks

The diagram below is a good illustration of the Risk Management Framework and shows the relationship between Council's risk management components and other management systems and frameworks.



Source: Australian Standard ISO 31000:2018 Risk management – Guidelines

The process

Council engaged a consulting firm to assist with the review and modernization of its Risk Framework and review of risk registers. This involved a significant number of individual meetings and follow up with relevant managers to finalise. There was a wide inclusion of staff involved, and all registers have now been updated.

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A number of identified risks were considered operation workplace health and safety risks and these have been passed on to the Workplace Health and Safety Advisor to review against current risks. Otherwise risks within the registers have been updated and rated.

Part of the process was to ensure the staff had time to work through the risks and understand any treatments that might need to be implemented in future. This was an important step for Council to bring the team on the Risk journey to empower them to know the contents of these registers and work towards reducing risks.

To continue this educational process we expect to again review these registers next year. Some risks may actually have budgetary impacts to mitigate, so it is important these are identified.

The reviewing of the registers was a significant body of work, in addition to business as usual and it was positive to see the staff genuinely interested in the process.

Risk appetite

Council is committed to creating an environment where all workers assume responsibility for risk management, through standardised risk management processes and practices.

As an organisation we seek to balance our risk position between investing in risky activities that may drive substantial growth and opportunity whilst maintaining a stable organisation with the capacity to continue to work for our community long into the future.

Council has no tolerance for risks that may compromise the safety and welfare of staff, the community, contractors and volunteers. Similarly, Council has no appetite for risks that cause significant and irreparable damage to the environment and seeks to preserve and enhance it for future generations.

The table below describes Council's risk appetite against it's risk criteria:

Risk Criteria	Risk Appetite
Health & Safety	We seek to ensure that our people work in a safe environment. However, we acknowledge accidents occur. We have zero appetite for medium to major risks that could affect our people.
Organisation Reputation	Our reputation for transparency, integrity, and competence should not be compromised with our key stakeholders and Government. There should be no incidences of major breaches of our integrity.
Service Delivery	We have a low tolerance for the interruption to critical services where vulnerable members of our community are affected.
Financial	Our appetite for operational financial risk is high providing that the opportunity or return provides a demonstrated benefit or return for the organisation/community.

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Risk Criteria	Risk Appetite
Legal/Regulatory Compliance	We have a low tolerance for compliance breaches. While minor breaches may occur from time to time due to the complexity of our business, there is no appetite for statutory breaches at any time.
Corporate Information	Our priority data is core to our organisation. We have zero appetite for loss of priority 1 and 2 data or unauthorised access to sensitive/private information.
Infrastructure Assets	We have a moderate tolerance for the loss of assets and infrastructure providing that the impact is short term, and the asset/infrastructure is not defined as critical.
Organisation	We have a minor appetite for risks associated to organisational satisfaction. We have a zero appetite for significant to high risks that could result in strike of key personnel that exceeds four (4) weeks or increase in turnover of staff of more than 25% in increase in absenteeism by more than 15%-25%.

Consultation (Internal/External):

- This policy and guidelines were reviewed by senior management prior to presentation to Council for adoption.
- Pacifica
- JLT
- ELT
- Managers and Supervisors
- Relevant Staff

Legal Implications:

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

Financial and Resource Implications:

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

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Risk Management Implications:

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



Risk Management Policy

Policy Details

Policy Category	Council Policy
Date Adopted	15 th June 2022
Endorsed by	Chief Executive Officer
Approval Authority	Council
Effective Date	15 th June 2022
Policy Version Number	3
Policy Owner	Director Corporate Services
Contact Officer	Director Corporate Services
Review Date	Every 4 years within six months of Local Govt. Elections

Supporting documentation

Legislation	<ul style="list-style-type: none"> Local Government Act 2009 Local government Regulation 2012
Policies	<ul style="list-style-type: none"> Risk Management Guidelines
Delegations	<ul style="list-style-type: none">
Forms	<ul style="list-style-type: none"> Corporate Risk Register Operational Risk Register
Supporting Documents	<ul style="list-style-type: none"> AS/NZS ISO 31000:2018 Risk Management – Guidelines

Version History:

Version	Adopted	Comment	eDRMS #
3	15/06/2022	Council Resolution xxx/xxx	
2	26/02/2020	Council Resolution 0220/020	



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Intent

This policy outlines Council's commitment to the development and maintenance of an Enterprise Risk Management Framework and Risk Management Process in accordance with AS/NZS ISO 31000:2018. This framework will be the basis for decisions on how best to identify, assess and manage risk throughout all of Council. This will ensure a consistent approach to risk management processes that will protect the Council, its employees, and the community against loss from foreseeable risks, and create an environment where Council, management and staff assume responsibility for risk management.

Scope

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

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

Policy Statement

Carpentaria Shire Council recognises that as a public authority it is exposed to a broad range of risks which, if not managed, could adversely impact on the organisation achieving its strategic objectives. Therefore, Council will implement a systematic risk management methodology to identify and address, where practical, areas of potential risk within Council. This policy aims to ensure that a consistent approach is taken across the organisation in the identification, assessment and management of risks and that risk management is a normal part of the decision-making process at all levels and in all sections of Council.

Objectives

The objectives of this policy are:

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



- Create a culture of risk management across the Council.

Principles

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

- Apply a risk management framework which is consistent with the current *AS/NZS ISO 31000:2018 Risk Management – Guidelines* for making decisions on how best to identify, assess and manage risk throughout all departments of Council.
- Evaluate identified risks and implement treatments progressively based on the level of risk assessed and the effectiveness of the current treatments.
- Integrate risk management with existing planning and operational processes, including the Corporate Plan.
- Consider relevant legislative requirements and political, social and economic environments in managing risks.
- Create a culture of risk awareness throughout the organisation through training, induction, promotion and risk review and reporting mechanisms; and
- Ensure resources and operational capabilities are identified and responsibility for managing risk is allocated.

Roles and Responsibilities

Council adopts the policy and ensures sufficient resources are applied to managing the risks identified. Council adopts a “three lines of defence model” to implement best practice risk management. This model is summarised in Appendix A.

Council	Council is responsible for adoption of this policy and ensuring sufficient resources are applied to managing the risks identified.
Chief Executive Officer	<p>Council’s Chief Executive Officer is responsible for identifying, evaluating, and managing risk in accordance with this policy through a formal enterprise-wide risk management framework. Formal risk assessments must be performed at least once a year as part of the business planning and budgeting process.</p> <p>The Chief Executive Officer will report to Council annually on the progress made in implementing a sound system of risk management and internal compliance and control across Council’s operations.</p>
Executive Leadership Team	<p>Council’s Executive Leadership Team will perform the function of the Risk Management Committee which has oversight of developing the risk management framework and monitoring risk treatment.</p> <p>The Executive Leadership Team will ensure the risk management framework identifies high level strategic risks and aligns with the Internal Audit Plan.</p> <p>The Executive Leadership Team will ensure that the results of its reviews are provided to Council for update of the Council’s risk profile as appropriate.</p> <p>The Executive Leadership Team will ensure periodic reviews of the risk management framework are carried out by Internal Audit pursuant to the Internal Audit Plan.</p>



	Council's Executive Leadership Team is responsible for the accuracy and validity of risk information reported to the Council. In addition, it will ensure clear communication throughout the Council of the Council's and senior management's position on risk.
Employees including casual staff, contractors, and volunteers.	All employees are responsible for management of risks within their areas of responsibility as determined under any risk treatment plans. Employees will be responsible for the timely completion of activities conducted routinely to ensure that employees are familiar with risk management and how it is applied within Carpentaria Shire Council.
Risk Monitoring	Council utilises several functions, including Internal Audit, to perform independent and objective monitoring over its risk areas, including if necessary, conducting reviews over Council's operations and risk areas by external agencies. The scope of the work undertaken by all these functions and the reviews by external agencies, will be considered in conjunction with Council's risk profile at least annually. This will assess the independent monitoring of key risk areas within Council's risk profile.

Policy Review

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

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

Notwithstanding the above, this policy and Council's risk management framework will be reviewed at least every four years, within six months of the Local Government Election, by Council's Executive Leadership Team to review its effectiveness and to ensure its continued application and relevance.

Definitions

TERM	DEFINITION
Enterprise Risk Management	Enterprise risk management encompasses all the major risk categories (including financial, environmental, health and safety, fraud, information technology, compliance, security, and business continuity) and includes the coordination, integration, consolidation, and consistency of reporting by the various Council's business functions and activities with identified risks.
Risk	Risk is defined by the Australian Standard for Risk Management as "effect of uncertainty on objectives". An effect is a deviation from the expected.



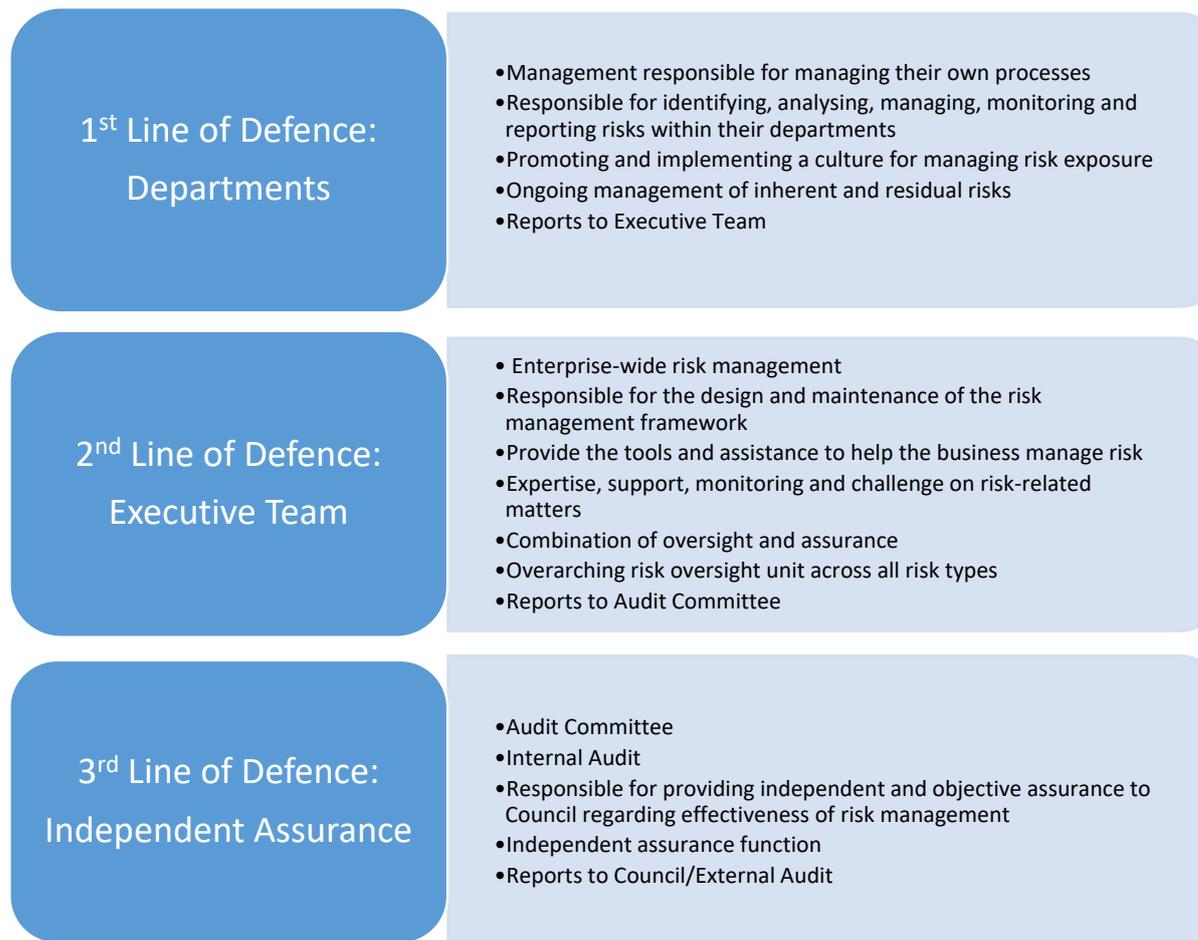
TERM	DEFINITION
	It can be positive, negative or both, and can address, create, or result in opportunities and threats. Objectives can have different aspects and categories and can be applied at different levels. Risk is usually expressed in terms of <i>risk sources</i> , potential <i>events</i> , their <i>consequences</i> , and their <i>likelihood</i> .
Risk Management	Risk management is the coordinated activities to direct and control an organisation with regards to risk. Risk management for Council refers to the culture, processes and structures developed to effectively manage potential opportunities and adverse effects for any activity, function or process undertaken by the Council. Managing risk is achieved through the systematic application of policies, procedures, and practices to identify, analyse, evaluate, treat, monitor, and communicate risk.
Risk Register	The risk register lists identified and assessed risks.

Adopted by Council 15th June 2022 by Resolution "Number"

Mark Crawley
Chief Executive Officer



APPENDIX A - Three Lines of Defence Model





Risk Management Guidelines

Policy Details

Policy Category	Council Policy
Date Adopted	15 th June 2022
Endorsed by	Chief Executive Officer
Approval Authority	Council
Effective Date	15 th June 2022
Policy Version Number	2
Policy Owner	Director of Corporate Services
Contact Officer	Director of Corporate Services
Review Date	Every 4 years within six months of Local Govt. Elections

Supporting documentation

Legislation	<ul style="list-style-type: none"> Local Government Act 2009 Local government Regulation 2012
Policies	<ul style="list-style-type: none"> Risk Management Policy
Delegations	<ul style="list-style-type: none"> Nil
Forms	<ul style="list-style-type: none"> Risk Assessment Template Risk Management Action Plan
Supporting Documents	<ul style="list-style-type: none"> Corporate Plan 2021 - 2025

Version History:

Version	Adopted	Comment	eDRMS #
2	15/06/2022	Council Resolution xxx/xxxx	
1	11/08/2015	Enterprise Risk Management Guidelines	GDL_I_EX GC



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Intent

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

Scope

This guideline applies to Councilors and Council staff.

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

Statement of Commitment

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

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

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

In addition, the Guidelines have been developed to:

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



Introduction

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

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

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

Effective risk management is governed by an organisation's commitment to risk management and this process is outlined in this document which has been developed to align with the Australian Standard AS ISO 31000:2018 Risk management – guidelines.

Risk Management Principles

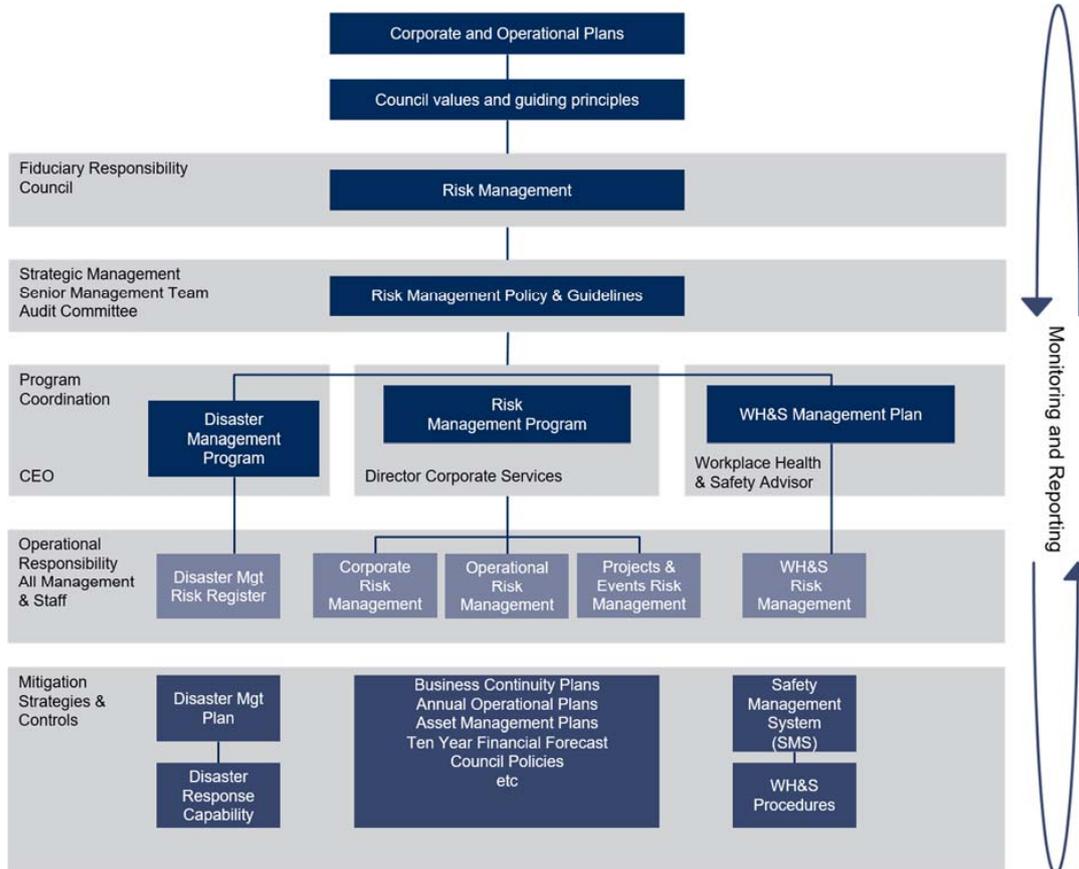
For risk management to be effective, an organisation should comply with the following principles.

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



Risk Management Framework

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



Basis, Roles and Responsibilities

Please refer to Council's Risk Management Policy (Appendix A), available on Council's website www.carpentaria.qld.gov.au

Risk Management Process

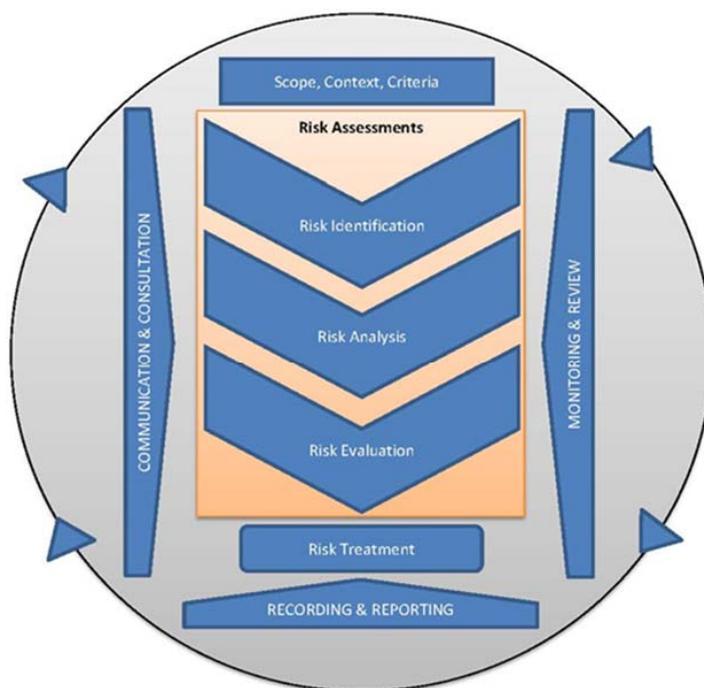
The process adopted by Carpentaria Shire Council to manage risks is in accordance with *AS ISO 31000:2018 Risk management – Guidelines*. This process is the application of the structured risk management methodology to be used to assess; prioritise; treat and monitor risks identified. The risk management process may capture inherent risk (prior to considering controls in place), residual risk (after considering controls in place), or both.

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

- Communicate and Consult
- Establish the Context
- Risk Assessment

- Identify Risks
- Analyse Risks
- Evaluate Risks
- Treat Risks
- Monitor and Review

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



Source: Australian Standard ISO 31000:2018 Risk management – Guidelines

Communicate and Consult

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

Establish the Context

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

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



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

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

Risk Assessment

Risk Appetite Statement

Carpentaria Shire Council's (Council) Strategic objectives are to provide services and assets responsibly through building and maintaining quality infrastructure, strong governance, protecting our people and environment, strong vibrant communities, proactive, engaged leadership, supporting our local community, and providing a workplace of excellence.

Council has an obligation to the community to ensure that it does not accept high levels of risk that might impact on community wellbeing, amenity or the ongoing sustainability and viability of Council. Accordingly, Council generally has a low appetite for unmitigated risks across all of its operations, assets and objectives. However, to encourage growth in the region, Council may need to take some calculated risks to ensure that infrastructure and services meet the needs of its current and future communities.

At Council we are committed to creating an environment where all workers assume responsibility for risk management, through standardised risk management processes and practices.

As an organisation we seek to balance our risk position between investing in risky activities that may drive substantial growth and opportunity whilst maintaining a stable organisation with the capacity to continue to work for our community long into the future.

Council has no tolerance for risks that may compromise the safety and welfare of staff, the community, contractors and volunteers. Similarly, Council has no appetite for risks that cause significant and irreparable damage to the environment and seeks to preserve and enhance it for future generations.

Therefore, our risk appetite is necessarily towards the middle of the risk-taking spectrum to ensure opportunities are maximised by effectively managing risks. As a dynamic organisation we may choose to increase or decrease our appetite for higher risk activities depending on the viability of our position.

The appetite for risk is described in the table below against our risk criteria:

Risk Criteria	Risk Appetite
Health & Safety	We seek to ensure that our people work in a safe environment. However, we acknowledge accidents occur. We have zero appetite for medium to major risks that could affect our people.



Risk Criteria	Risk Appetite
Organisation Reputation	Our reputation for transparency, integrity, and competence should not be compromised with our key stakeholders and Government. There should be no incidences of major breaches of our integrity.
Service Delivery	We have a low tolerance for the interruption to critical services where vulnerable members of our community are affected.
Financial	Our appetite for operational financial risk is high providing that the opportunity or return provides a demonstrated benefit or return for the organisation/community.
Legal/Regulatory Compliance	We have a low tolerance for compliance breaches. While minor breaches may occur from time to time due to the complexity of our business, there is no appetite for statutory breaches at any time.
Corporate Information	Our priority data is core to our organisation. We have zero appetite for loss of priority 1 and 2 data or unauthorised access to sensitive/private information.
Infrastructure Assets	We have a moderate tolerance for the loss of assets and infrastructure providing that the impact is short term, and the asset/infrastructure is not defined as critical.
Organisation	We have a minor appetite for risks associated to organisational satisfaction. We have a zero appetite for significant to high risks that could result in strike of key personnel that exceeds four (4) weeks or increase in turnover of staff of more than 25% in increase in absenteeism by more than 15%-25%.

Risk Identification

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

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

- **Safety** – injuries, lost time, LGW & LGM claims, fatalities
- **Reputation and image** – negative media exposure, staff morale, community perception
- **Assets** – damage or loss of information, property, or assets



- **Environment** – impact or harm to natural environment, potential for future damages claims and DES prosecution
- **Service Delivery** – ability to service the community and meet customer expectations
- **Regulatory** – breaches of legislation (“ignorance is no excuse”)
- **Management effort** – senior management effort directed away from achieving strategic objectives and impacting on overall performance (i.e., focused on day-to-day tasks)

Risk Analysis

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

Determining Likelihood

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

Likelihood Table

Rating	Description	Indicative Frequency Values	Description	Probability
1	Rare	Event may occur once in every 50 to 100 years	The event may occur only in exceptional circumstances.	<5%
2	Unlikely	Event may occur once between 10 to 50 years	Event could occur at some time but is not considered likely.	<35%
3	Possible	Event may occur once in every 3 to 10 years.	The event might occur at some time.	>35%
4	Likely	Will probably occur on one occasion in the coming year.	The event will probably occur in most circumstances.	>65%
5	Almost Certain	Greater than one or more per annum.	The event is expected to occur in most circumstances.	>95%



Determining Consequence

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

Consequence Table

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

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

Consequence Matrix



Consequence	Rating	Operational – Business Continuity	Environmental	Information Technology	Strategic/Corporate Governance – Political Reputation	Human Resources	Infrastructure, Asset & Property	Workplace Health & Safety	Financial and Economic	Management Effort
Catastrophic	5	The continuing failure of Council to deliver essential services. The removal of key revenue generation. Loss of grant funding.	Widespread and irreversible environmental damage attributed by the courts to be negligent or incompetent actions of Carpentaria Shire Council.	Widespread, long-term loss of IT network/hardware.	Loss of State Government support with scathing criticism and removal of the Council. National media exposure. Loss of power and influence restricting decision making and capabilities. State media and public concern/exposure with adverse attention and long-term loss of support from Carpentaria Shire residents. Adverse impact and intervention by State Government.	Staff issues cause continuing failure to deliver essential services.	Widespread, long-term loss of substantial key assets and infrastructure.	Fatality or significant irreversible disability.	Huge financial loss, for example: ->1M of revenue or budget Economic loss of a very large business or ratepayer and flow on effects.	A critical event or disaster that could lead to the collapse of the business.
Major	4	Widespread failure to deliver several major strategic objectives and service plans. Long-term failure of Council causing lengthy service interruption.	Severe environmental impact requiring remedial action. Penalties and/or compliance order incurred.	Widespread, short to medium term loss of IT network/hardware.	Significant state-wide concern/exposure and short to medium term loss of support from Carpentaria Shire residents. Adverse impact and intervention by another local government & LGAQ.	Staff issues cause failure to deliver several major strategic objectives and long-term failure of day-to-day service delivery.	Widespread, short to medium term loss of key assets and infrastructure.	Extensive injuries. Lost time of more than 4 working days.	Major financial loss, for example: \$500,000 to \$1M of revenue or budget and/or Economic loss of 4 large businesses or ratepayers and flow on effects.	A critical event that with appropriate management can be overcome.
Moderate	3	Failure to deliver minor strategic objectives and service plans. Temporary & recoverable failure of Council causing intermittent service interruption for a week.	Moderate impact on the environment; no long term or irreversible damage. May incur cautionary notice or infringement notice.	Short to medium term loss of key IT network/hardware.	Minor local community concern manageable through good public relations. Adverse impact by another local government.	Staff issues cause failure to deliver minor strategic objectives and temporary and recoverable failure of day-to-day service delivery.	Short to medium term loss of key assets and infrastructure.	Medical treatment. Lost time of up to 4 working days.	High financial loss, for example: \$250,000 to \$499,999 of revenue or budget and/or Economic loss of 2 large businesses, or 6 medium businesses and flow on effects.	A significant event which can be managed under normal circumstances.
Minor	2	Temporary and recoverable failure of Council causing intermittent service interruption for several days.	Minor environmental damage such as remove temporary pollution.	Minor loss/damage. Repairs required.	Transient matter, e.g., Customer complaint resolved in day-to-day management. Negligible impact from another local government.	Staff issues cause several days interruption of day-to-day service delivery.	Minor loss/damage. Repairs required.	First aid treatment. No lost time.	Minor financial loss, for example: \$50,000 to \$250,000 of revenue or budget and/or Economic loss of 6 small businesses and flow on effects.	An event, the impact of which can be absorbed, but management efforts required.
Insignificant	1	Negligible impact of Council, brief service interruption for several hours to a day.	Brief, non-hazardous, transient pollution, or damage.	Damage where repairs are required however equipment still operational.	Negligible impact from another local government.	Staff issues cause negligible impact of day-to-day service delivery.	Damage where repairs are required however facility or infrastructure is still operational.	No injury.	Low financial loss, for example: Below \$50,000; and/or Economic loss of 2 small businesses.	An event the impact of which can be absorbed through normal activity.



Determining the overall Risk Rating

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

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

Risk Assessment Matrix

Likelihood	Rating	Consequence				
		1	2	3	4	5
		Insignificant	Minor	Moderate	Major	Catastrophic
Almost certain	5	M52	H64	E76	E88	E100
Likely	4	M44	H56	H68	E80	E92
Possible	3	L36	M48	H60	E72	E84
Unlikely	2	L28	L40	M52	H64	E76
Rare	1	L20	L32	M44	H56	H68

Evaluate Risks

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

This can lead to a decision to: -do nothing further; -consider risk treatment options; -undertake further analysis to better understand the risk; -maintain existing controls; -reconsider objectives.

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

Control Assessment	Description
Excellent	<ul style="list-style-type: none"> Effective treatments implemented, communicated, and monitored on a regular basis to determine the level of effectiveness.
Adequate	<ul style="list-style-type: none"> Controls are well documented and implemented



Control Assessment	Description
	<ul style="list-style-type: none"> The controls address the identified risk and there is little scope for improvement There is no convincing cost/benefit justification to change the approach.
Fair	<ul style="list-style-type: none"> Controls have been determined, but not well implemented, documented, or monitored to determine their level of relevance.
Opportunities for Improvement	<ul style="list-style-type: none"> Information is inconsistent, not well communicated, implemented in an ad hoc manner The controls contain some inadequacies and scope for improvement can be identified There is some cost/benefit justification to change the approach.
Inadequate/Poor	<ul style="list-style-type: none"> The controls do not appropriately address the identified risk and there is an immediate need for improvement actions. There is a significant cost/benefit justification to change the approach.

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

Risk Register

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

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

Risk Profile diagram

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

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



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

Treatment of Risks

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

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

Determine the most effective treatment options by considering the:

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

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

The decision to accept a risk will be determined by the agreed table indicating proposed corrective action and the risk appetite criteria established by the Council. For Carpentaria a Low risk is accepted and only requires monitoring should circumstances change. For other risks, a specific



management plan may be required to be developed and implemented which may include consideration of funding. Risk treatment strategies need to also be considered to ensure that no new risks are introduced.

Escalation Plan

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

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

The approach for treatment of risks is:

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

Monitor and Review

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

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

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



- **Monitoring** – assess whether current risk management objectives are being achieved. Council can use inspections, incident reports, self-assessments, and audits to monitor its risk management plan.
- **Review** – assess whether the current risk management plan still matches Carpentaria Shire Council's risk profile. The risk management plan may be reviewed by studying incident patterns, legislative changes, and organisational activities.

Possible methods for review:

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

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

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

Recording and Reporting the Risk Management Process

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

Review

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

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

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



Communication

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

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

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

Definitions

TERM	DEFINITION
Risk	Risk is defined as effect of uncertainty on objectives. A risk to the business is any action or event that has the potential to impact on the achievement of our corporate objectives. Risk also arises as much from the possibility that opportunities will not be realised as it does from the possibility that threats will materialise or that errors will be made.
Risk Management	Risk management for Council refers to the culture, processes and structures developed to effectively manage potential opportunities and adverse effects for any activity, function or process undertaken by the Council. Managing risk is achieved through the systematic application of policies, procedures, and practices to identify, analyse, evaluate, treat, monitor, and communicate risk.
Enterprise Risk Management (ERM)	Enterprise risk management encompasses all the major risk categories (including financial, environmental, health and safety, fraud, information technology, compliance, security, and business continuity) and includes the coordination, integration, consolidation, and consistency of reporting by the various Council functions with identified risks.
Risk Register	A list of identified and assessed risks directly related to either a particular department of Council or to the whole of Council. Risk Registers can be held at either Corporate, Operational, Project or Event level.
Likelihood	The chance of something happening, whether defined, measured, or determined objectively or subjectively (probability or frequency).
Consequence	The outcome of an event affecting objectives (impact/magnitude). An event can lead to a range of consequences. A consequence can be certain or uncertain and can have a positive or negative effect on objectives. Consequences can be expressed qualitatively or quantitatively.
Risk Owner	The person with the accountability and authority to manage a risk. The owner may delegate some duties in relation to managing the risks for



TERM	DEFINITION
	which they are responsible, however they are ultimately accountable for the risks allocated to them.
Risk Treatment	The process to modify existing risks or create new risks. Some options for treating a risk can include Retaining, Transferring, Sharing, Avoiding or Controlling.
Risk Treatment Action Plans	The document that outlines the steps to be taken to reduce unacceptable risks to achievable and acceptable levels. This includes details on current controls; required risk treatments; improvement opportunities; resources; timing; reporting and accountabilities. Action Plans must be reviewed on a regular basis to ensure controls are working.

Adopted by Council 15 June 2022 by Resolution "Number"

Mark Crawley
Chief Executive Officer



Appendix A

Enterprise Risk Management - Risk Assessment Template

Enterprise Risk Management - Risk Assessment Template												
Division/Group		Date		Function/Activity		Critical BCP Process		Yes/No				
Department												
Section												
Risk Type												
Risk	Risk Category	L	C	Inherent Level of Risk	Inherent Priority Rating	Control Measures	L	C	Residual Level of Risk	Residual Priority Rating		



Appendix B

Risk Management Action Template

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

Ordinary Council Meeting
Item: 10.3 - Attachment 3: Corporate Risk Register

No.	Risk	Impacted Strategic Outcomes Identified in Corporate Plan	Possible Causes	Consequences	Likelihood	Conseq. Level	Inherent Risk Rating	Existing Risk Treatments (Specific and measurable)	Assessment of Controls / Evaluate Risks	Treatment of Risk	Likelihood	Conseq. Level	Residual Risk Rating	Responsible Officer	Treatment Plan		Action Date	Record/Ref Number	Target Risk Rating				
															Treatment Mitigation Action Plan (actionable and time based)	Completion			Likelihood	Consequence	Trajectory	Review Interval Frequency	Date of Last Review
COB1	Failure to deliver Corporate and Operational Plan initiatives	4 Corporate Governance 4.1 A well governed, responsive Council, providing effective leadership and management, and respecting community values 4.2 Maintain a focus on excellence in customer service and improvements in service delivery	- Lack of skills / training - Inadequate resources - Inconsistent of equidistribution in operational matters and just focus on big picture - Poor communication - Changing community values and needs - Ineffective communication with internal and external stakeholders - Ineffective corporate and operational planning - Excessive commitments - Overrun/spending budget blowouts - Weather - Regulation changes - Environmental - Project scope	- Failure to implement policy objectives of council - Community dissatisfied - Litigation - Loss of key objectives - Reputation loss - Loss of public confidence	2 Unlikely	3 Moderate	M 52	- Strategic planning - Social profile (ASIS) - Corporate planning processes - Corporate planning processes - Staff - Effective Community engagement policy	Adequate	Retain the risk	2 Unlikely	2 Minor	L 40	CEO DCS DCS MKS	Quarterly review of Operational Plan and Annual review of Corporate Plan	Ongoing		2 Unlikely	2 Minor	L 40	Stable	Yearly	Jun-22
COB2	Failure to comply with statutory and/or organisational obligations and responsibilities	4 Corporate Governance 4.1 A well governed, responsive Council, providing effective leadership and management, and respecting community values 4.1.1 Maintain a focus on integrity, Accountability and Transparency in all that we do	- Lack of skills / training - Increased compliance costs, e.g. cost of third party certification of quality management system now that State govt doesn't provide this service. - Lack of consultation - Inadequate systems to capture and distribute information - Lack of resources - Lack of expertise - Amount of legislative change/compliance - Individual non-compliance with responsibilities and research of changes - Workforce apathy/culture - Volume and rate of changes to legislation impacting on activities of Council	- Financial exposure - Possible fines and breaches - Illegal action (State backlash) - Reputation and public image - Political / State backlash - Community backlash - Potential litigation	3 Possible	3 Moderate	H 60	- Attendance training/seminars/regional forums - Specially qualified staff - Audits - internal & external - Legal opinion if required - Implemented Wides plan	Adequate	Retain the risk	2 Unlikely	2 Minor	M 52	CEO DCS DOE MKS	- Consider local legislative Compliance - Review of local laws - Revision of local laws - Training and increased resources	Ongoing		2 Unlikely	2 Minor	L 40	Stable	Yearly	Jun-22
COB3	Inability to effectively coordinate response to disaster	1.1 Corporate Governance 1.1.1 A safe, healthy and equitable community that celebrates diversity and enjoys a quality lifestyle 1.1.7 Maintain the ability to respond to natural disaster events	- Damage to Disaster Recovery Centre (IT infrastructure) - Major / Prolonged loss of telecommunications caused by damage to - Lack of trained staff - Severity and type of disaster - Inadequate resources and training - Communication breakdown - Confusion over roles - Shortage of personnel	- Potential loss of life - Financial loss - Delay in community recovery - Loss of reputation - Loss of communication - Property damage - Failure of Disaster Recovery Centre - Potential litigation	3 Possible	4 Major	E 72	- Local Disaster Management Group - Trained personnel including backup for each position - Dedicated resources including SIS - Disaster Coordination Centre - Disaster management software - Website communication with community	Adequate	Retain the risk	2 Unlikely	3 Moderate	M 52	CEO LDC MKS	- Alternative LDC location (eg Library with dedicated 'hot' desks) - Identify training needs for all DM positions	Ongoing		2 Unlikely	3 Moderate	M 52	Stable	Yearly	Jun-22
COB4	Diminished status of Council as 'Employer of Choice'	4 Corporate Governance 4.1 A well governed, responsive Council, providing effective leadership and management, and respecting community values 4.1.6 Ensure that workforce planning is in place and the safety of employees is maintained and improved	- Council lacks ongoing relationship with stakeholders - Lack of engagement, skills/tools - Ad-hoc planning without considering the needs of other areas across Council - Poor processes and systems	- Inability to meet legislative requirements - Reputation - Impact on adopted objectives and priorities - Fragmentation of the organisation - Loss of staff - Loss of confidence by community	3 Possible	3 Moderate	H 60	- Communication plan - Employee surveys - Training and opportunities for improvement - Regular internal meetings across organisation - Policies and procedures	Opportunities for improvement	Retain the risk	2 Unlikely	3 Moderate	M 52	CEO ET	- Development of Workforce Plan	Dec-22		2 Unlikely	2 Minor	L 40	Stable	Yearly	Jun-22
	Loss of political influence with state and federal governments	4 Corporate Governance 4.1 A well governed, responsive Council, providing effective leadership and management, and respecting community values 4.1.6 Continue to represent the community through active advocacy efforts - (State and Federal Government, regional bodies and others)	- Failure to recognise lobbying as an important aspect of corporate and strategic planning - Failed to adapt, lobbying strategy - Lack of strategic plans to identify Council's priorities, misalignment of views of government of the day and Council priorities - Lack of participation and presence in state and federal government forums.	- Reduction in funding	4 Likely	3 Moderate	H 68	- Strong relationships with state governments - Well timed messages and proactive strategic planning - West regional Organisation of Councils, Gulf Savannah development and Regional Roads Group.	Adequate	Retain the risk	2 Unlikely	3 Moderate	M 52	CEO	- Adopt a lobbying strategy - Develop relationships with state government - Sponsor and recreation facilities with state priorities/funding initiatives.	Ongoing		2 Unlikely	3 Moderate	M 52	Stable	Yearly	Jun-22

Ordinary Council Meeting
Item: 10.3 Attachment: 3: Corporate Risk Register

CAMPZEMBA SHIRE
COUNCIL

Corporate Risk Register

No.	Risk	Impacted Strategic Outcomes Identified in Corporate Plan	Possible Causes	Consequences	Likelihood	Conseq. Level	Inherent Risk Rating	Existing Risk Treatments (Specific and measurable)	Assessment of Controls / Evaluate Risks	Treatment of Risk	Likelihood	Conseq. Level	Residual Risk Rating	Responsible Officer	Treatment Plan				Target Risk Rating			
															Treatment Mitigation Action Plan (actionable and time based)	Action Date	Record/Ref Number	Likelihood	Consequence	Target Risk Rating	Trajectory	Review Interval Frequency
COB6	Political influence impacting operational management of organisation	4.1 A Well governed, responsive Council, providing effective leadership and management, and respecting community values 4.1.1 Maintain a focus on integrity, accountability and transparency in all that we do 4.1.3 Develop systems that promote continuous improvement	- Changing community requirements - Changing demographic requirements - Lack of State review of impacts on local governments when developing their responsibilities - Inadequate funding provided	- Failure to comply with legislative requirements - Public image - Impact on council's delivering own services - Potential financial consequences	3 Possible	3 Moderate	H 60	- Social Profiling - Community consultation - Use of existing corporate knowledge - Internal meeting across organisation - Council training/education	Adequate	Retain the risk	2 Unlikely	3 Moderate	M 52	CEO - High Quality Reports to Council - Continued briefing sessions for Council/Officers - Councils relying on facts and advice from staff rather than rumor. - Ensure compliance with reasonable request - Adoption of risk based Decision Making model	Ongoing		2 Unlikely	3 Moderate	M 52	Stable	Yearly	Jun-22
COB7	Lack of general capacity on operational management to meet emerging needs	4.1 A Well governed, responsive Council, providing effective leadership and management, and respecting community values 4.1.6 Ensure that workforce planning is in place and the safety of employees is maintained and improved	- Lack of corporate knowledge due to turnover of staff - High turnover of skilled employees - Lack of training and development - Lack of succession planning - Uncompetitive remuneration - Major disasters putting strain on resources - Shortage of skills within region - Inadequate project management skills - Poor financial management - Excessive commitments - Loss of staff - Removal of location	- Mixed opportunities - Reduced efficiency in key areas - Impact on adapted objectives and priorities - Reduced funding - Increased the difficulty of contracting being business - Poor public image	4 Likely	3 Moderate	H 68	- Long term planning (including succession planning) - Commitment and training of staff - Maintaining operational procedures - Defined roles and responsibilities - Defined communication strategy with Councils - Establish relationships with other Councils - Participate in regional forums and networks - E.G. leadership - Defined communication strategy with Councils - Establish relationships with other Councils - Lobbying strategy - Training and networking - Executive support - Increased councilor awareness - Officers alert councilors to opportunities	Opportunities for improvement	Retain the risk	2 Unlikely	3 Moderate	M 52	CEO - Flexible remuneration policies - On-going review of structure, positions - DCS - descriptions and alignment of duties - MJK - Performance appraisals	Ongoing		2 Unlikely	3 Moderate	M 52	Stable	Yearly	Jun-22
COB8	Poor relationships with other Councils, State and/or Federal governments	4.1 A Well governed, responsive Council, providing effective leadership and management, and respecting community values 4.1.8 Continue to represent the community through active advocacy efforts - (State and Federal Government, regional bodies and others)	- Poor/ no compliance - Communication channels not being adhered to - Lack of effort into building relationships - Lack of skills/training	- Mixed opportunities - Reduced efficiency in key areas - Impact on adapted objectives and priorities - Reduced funding - Increased the difficulty of contracting being business - Poor public image	2 Unlikely	3 Moderate	M 52	- Participate in regional forums and networks - E.G. leadership - Defined communication strategy with Councils - Establish relationships with other Councils - Lobbying strategy - Training and networking - Executive support - Increased councilor awareness - Officers alert councilors to opportunities	Adequate	Retain the risk	2 Unlikely	3 Moderate	M 52	CEO - Maintain relationships and attend regular meetings and briefings - DCS - DOE	Ongoing		2 Unlikely	3 Moderate	M 52	Stable	Yearly	Jun-22
COB9	Ineffective understanding of lobbying and advocacy	4.1 A Well governed, responsive Council, providing effective leadership and management, and respecting community values 4.1.8 Continue to represent the community through active advocacy efforts - (State and Federal Government, regional bodies and others)	- Council lacks ongoing relationship with stakeholders - Lack of skills / training - Lack of strategic planning enabling clear advocacy to states for funding or change - Inadequate resources	- Mixed opportunities - Reduced efficiency in key areas - Impact on adapted objectives and priorities - Reduced funding - Increased the difficulty of contracting being business - Poor public image	3 Possible	3 Moderate	H 60	- Strong awareness within Council - Review of record keeping practices on all contractual documents - Strategic Record plan - Trained staff	Opportunities for improvement	Retain the risk	3 Possible	3 Moderate	H 60	CEO - Implementation of systems that ensures MJKs - Use of the Support systems to manage projects and contract management	Ongoing		3 Possible	3 Moderate	H 60	Stable	Yearly	Jun-22
COB10	Absence of essential records and information required by legislation, contracts knowledge	4.1 A Well governed, responsive Council, providing effective leadership and management, and respecting community values 4.1.3 Develop systems that promote continuous improvement	- Poor staff knowledge of requirements - Public image/confidence issues - Potential financial consequences, litigation, fines - Contract litigation	- Qualified audit - Budget blowouts and roll on effects - Reputation and community backlash - Loss of significant investment income - Failure to achieve a sustainable long-term financial position - Loss of contracts or other related funding - Over-commitment of employees	3 Possible	3 Moderate	H 60	- Regular budget reviews - Monthly reporting - Over financial recording - Monthly financial reporting - Sustainably qualified professional staff - Assess management - Financial system in place - Separation of duties	Opportunities for improvement	Retain the risk	3 Possible	3 Moderate	H 60	CEO - Continued training and up skilling of staff to ensure robust financial reporting - DCS - Finance training for Councilors	Ongoing		3 Possible	3 Moderate	H 60	Stable	Yearly	Jun-22
COB11	Potential for poor financial management	4.1 A Well governed, responsive Council, providing effective leadership and management, and respecting community values 4.1.3 Develop systems that promote continuous improvement	- Failure to monitor forward estimates / lifecycle costs / long-term financial sustainability - Poor Budget control - Council decision-making - Poor internal controls, poorly managed financial delegations - Inadequate skills - Lack of communication - Lack of project management skills	- Qualified audit - Budget blowouts and roll on effects - Reputation and community backlash - Loss of significant investment income - Failure to achieve a sustainable long-term financial position - Loss of contracts or other related funding - Over-commitment of employees	3 Possible	3 Moderate	H 60	- Regular budget reviews - Monthly reporting - Over financial recording - Monthly financial reporting - Sustainably qualified professional staff - Assess management - Financial system in place - Separation of duties	Adequate	Retain the risk	2 Unlikely	3 Moderate	L 40	CEO - Continued training and up skilling of staff to ensure robust financial reporting - DCS - Finance training for Councilors	Ongoing		2 Unlikely	3 Moderate	L 40	Stable	Yearly	Jun-22

Ordinary Council Meeting Item: 10.3 - Attachment: 3: Corporate Risk Register																						
No.	Risk	Impacted Strategic Outcomes Identified in Corporate Plan	Possible Causes	Consequences	Likelihood	Conseq. Level	Inherent Risk Rating	Existing Risk Treatments (Specific and measurable)	Assessment of Controls / Evaluate Risks	Treatment of Risk	Target Risk Rating											
											Likelihood	Consequence	Target Risk Rating	Trajectory								
COB12	Financial sustainability	4 Corporate Governance 4.1 A well governed, responsive Council, providing effective leadership and management, and respecting community values 4.2 Maintain a focus on excellence in customer service and improvements in service delivery 4.3 Develop a 5-year plan towards meeting the financial sustainability targets	Global market influence (ie. resources, commodity prices) Diminished income from development and investment Loss of major state government and other contracts Economic downturn (eg. drought, flood, natural disaster) Aggressive tendering by external contractors Change in State Government policy (eg. DFR) Loss of income from external suppliers reliance on unlet grants & contract work	- Loss of population - Reduction in business confidence - Reduction in rates income - Reduction in community health - Reduction in employees - Depreciation of plant & equipment	3 Possible	4 Major	E 72	- Regular budget reviews - Monthly Reporting - 10 year financial modelling - 20 year financial modelling - Sustainably qualified professional staff - Asset management - Financial system in place - Separation of duties	Adequate	Retain the risk	2 Unlikely	3 Moderate	M 52	ELT	Develop regional economic development strategy to facilitate investment	Ongoing	2 Unlikely	3 Moderate	M 52	Stable	Yearly	Jun-22
COB13	Ability to effectively engage with the community Community's perception of Council's direction and value is poor	4 Corporate Governance 4.1 A well governed, responsive Council, providing effective leadership and management, and respecting community values 4.2 Maintain a focus on excellence in customer service and improvements in service delivery 4.3 Develop systems that promote continuous improvement	- Council lacks ongoing relationship with stakeholders - Lack of engagement activities - Ad-hoc planning without considering the needs of other areas across Council - Poor processes and systems - Inconsistent messages being delivered to public via media and other channels - Inappropriate controls in town planning scheme, particularly with regard to housing in new subdivisions - Non compliance with legislation - Removal of technology or systems not adequate to support employee requirements - Inefficient resource - Poor leadership/planning - Lack of community feedback	- Inability to meet legislative requirements - Impact on adopted objectives and priorities - Fragmentation of the organisation - Loss of staff - Loss of confidence and support by community - Being source of complaints - Reduced opportunities for funding - Possible community isolation - Low morale - Ill formed decision making	2 Unlikely	2 Minor	L 40	- Communication plan - Planning and opportunities for improvement - Public consultation across organisation - Policies and procedures - Good governance systems - Internal audit functions - Provision of Training - Council response to contentious issues	Opportunities for improvement	Retain the risk	2 Unlikely	2 Minor	L 40	CEO DCS DOE MKS MKS	- Continued training in legislative requirements, policy and procedures	Ongoing	2 Unlikely	2 Minor	M 52	Stable	Yearly	Jun-22
COB14	Fluctuating demand for services not typically delivered by Council	1. Capertura Community 1.1 A safe, healthy, and equitable community that celebrates diversity and enjoys a quality of life 1.1.4 undertake a review of the 2010 Sport and Recreation plan and implement remaining strategies to best utilise the facilities and encourage further use by the community 1.1.5 Adopt and implement a Community Health and Wellbeing Plan for the Shire	- Changing community - Changing demographics - Lack of state/federal review of impact on local Gov. - Inadequate funding - Storage of salted salt!	- Potential financial consequences - Customer unhappiness - Ad-hoc coping strategies are developed - Council reputation could suffer - Health stress on employees	3 Possible	3 Moderate	H 60	- Social Profiling (AS) - Community & Corporate Planning processes - Community consultation/surveys - Use of existing Corporate Knowledge	Fair	Retain the risk	2 Unlikely	3 Moderate	M 52	CEO DCS DOE MKS	- Ensure community are advised on costs and ongoing costs to implement additional services - Lobby to ensure service are delivered by appropriate service providers - Avoid becoming the providers of last resort	Ongoing	2 Unlikely	3 Moderate	M 52	Stable	Yearly	Jun-22
COB15	Poor environmental performance	2. Capertura Environment 2.1 The region's environmental assets including agricultural land, are conserved and enhanced for future generations 2.1.4 Manage development within the Capertura Shire in accordance with the desired environmental outcomes	- Lack of management plans and systems - Poor attitude/lack of desire toward achieving environmental outcomes	- Loss of community trust - Frises from regulator - Impairment of executive officer	4 Likely	4 Major	E 80	- Consolidation of Environmental Licences - Development of management plans for activities impacting on environment - Streamlined Transfer Station/formation landfill redevelopment	Opportunities for improvement	Retain the risk	3 Possible	2 Minor	M 48	CEO DOE		Ongoing	3 Possible	2 Minor	M 48	Stable	Yearly	Jun-22
COB16	Inadequate compliance with WHS8 systems	4. Corporate Governance 4.1 A well governed, responsive Council, providing effective leadership and management, and respecting community values 4.2 Maintain a focus on integrity, Accountability and Transparency in all that we do	- Lack of WHSO - Lack of procedures - Lack of skills / training - Inadequate budget - Lack of systems - Lack of leadership / senior officers support - Loss of Main roads contact work	- Workers compensation premiums increase - Financial loss - Increase workplace injury/illness, and death - Litigation	3 Possible	4 Major	E 72	- Employed QA/WHS Officer - WHS8 plan - Training - System preventative - Internal & External audits	Adequate	Retain the risk	2 Unlikely	3 Moderate	M 52	CEO DCS DOE MKS		Ongoing	2 Unlikely	3 Moderate	M 52	Stable	Yearly	Jun-22

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No.	Risk	Impacted Strategic Outcomes Identified in Corporate Plan	Possible Causes	Consequences	Likelihood	Conseq. Level	Inherent Risk Rating	Existing Risk Treatments (Specific and measurable)	Assessment of Controls / Evaluate Risks	Treatment of Risk	Likelihood	Conseq. Level	Residual Risk Rating	Responsible Officer	Treatment Plan				Target Risk Rating			
															Treatment Mitigation Action Plan (actionable and time based)	Action Date	Record/Ref Number	Likelihood	Consequence	Target Risk Rating	Trajectory	Review Interval Frequency
COBH7	Infrastructure planning and delivery to meet delivery and service standards	4 Corporate Governance 4.1 A well governed, responsive Council, providing effective leadership and management, and respecting community values 4.1.4 Provision of safe and reliable infrastructure (roads, water and sewer, buildings and facilities, etc.)	- Due to ineffective corporate and operational planning - Inadequate funding - Ineffective asset management - Inadequate resource practices - Inadequate resources - Lack of training	- Standard of service not meeting reasonable community expectations - Not meeting core service delivery - Public's confidence of Council declines - Degrading condition of infrastructure and corresponding increase in maintenance liability	3 Possible	4 Major	£ 72	- Annual and forward work programs - In-house capital funding - Asset management plans - Skilled workforce and operators - Practice guides and standards - Mechanism for feedback - In-house condition assessment.	Adequate	Retain the risk	2 Unlikely	3 Moderate	M 52	CEO DCS DOE	Ongoing		2 Unlikely	3 Moderate	M 52	Stable	Yearly	Jun-22
COBH8	Failure of Corporate business Systems, technology/ Infrastructure, business systems and data)	4 Corporate Governance 4.1 A well governed, responsive Council, providing effective leadership and management, and respecting community values 4.1.4 Provision of safe and reliable infrastructure (roads, water and sewer, buildings and facilities, etc.)	- Disaster event - fire, flood etc - Poor Physical security or system security - Data corruption - Partial progress with technology - Poor equipment failure - Inherent failure - Lack of support by software providers	- Inability to conduct core business - Limited data communications (eg email, essential records) - Financial impacts	2 Unlikely	3 Moderate	M 52	- Regular system backups (stored on & off site) includes a backup of financial system every 15 mins - Security and system audits - Progress with new technology & equipment - Financial & records system	Adequate	Retain the risk	2 Unlikely	3 Moderate	M 52	CEO DCS EIT	Ongoing		2 Unlikely	3 Moderate	M 52	Stable	Yearly	Jun-22
COBH9	Failure to deliver Council's essential services (water, sewerage, roads & waste) Critical asset failure	4 Corporate Governance 4.1 A well governed, responsive Council, providing effective leadership and management, and respecting community values 4.1.4 Provision of safe and reliable infrastructure (roads, water and sewer, buildings and facilities, etc.)	- Major equipment failure - Failure by external provider (eg Egon) - Disaster event - cyclone, flood - Lack of resources - Age of critical assets - Lack of maintenance and lack of planning	- Public health risk on residents - Loss of community confidence - Compliance failure, litigation - Commercial damage - DPM	2 Unlikely	4 Major	H 64	- Operational procedures - Training staff - Asset Management Plans - Generators automatic for power failure - Drinking Water Management Plan - Monitoring systems	Adequate	Retain the risk	2 Unlikely	3 Moderate	M 52	DOE MMW	Ongoing		2 Unlikely	3 Moderate	M 52	Stable	Yearly	Jun-22
COBH0	Loss of income from external and other income sources	4 Corporate Governance 4.1 A well governed, responsive Council, providing effective leadership and management, and respecting community values	- Flow on effects from economic downturn - Loss of Federal/State Grants - Loss of contract work - Natural disasters (e.g. Drought) - Failure of community to pay rates/fees and charges - Loss of major State Government and other contracts (MMP)	- Financial implications/loss - Reduction in maintenance - Reduction in maintenance	2 Unlikely	4 Major	H 64	- Strong budget controls - Increasing capacity for own source revenue - Strong relationships with other's source income providers	Fair	Retain the risk	2 Unlikely	3 Moderate	M 52	EIT	Ongoing		2 Unlikely	3 Moderate	M 52	Stable	Yearly	Jun-22
COBH1	Failure to deliver projects	4 Corporate Governance 4.1 A well governed, responsive Council, providing effective leadership and management, and respecting community values	- Major disasters putting strain on resources - Inadequate project management skills - Poor financial management (budget blowouts) - Inadequate resources - Inadequate planning - Lack of planning	- Loss of contracts - Financial loss - Litigation - Reputation loss - Inadequate service delivery - Create operational backlog	2 Unlikely	4 Major	H 64	- Project planning systems, planning and training - Dedicated resources - Contingency Plans - Risk assessments - Increase in in-house knowledge - Management of expectations	Opportunities for improvement	Retain the risk	2 Unlikely	3 Moderate	M 52	EIT	Ongoing		2 Unlikely	3 Moderate	M 52	Stable	Yearly	Jun-22



*Consequence Table

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

m CSC Risk Management Guidelines

Corporate Risk Register

Keys

*Likelihood Table

Rating	Description	Indicative Frequency Values	Description	Probability
1	Rare	Event may occur once in every 50 to 100 years	The event may occur only in exceptional circumstances.	<5%
2	Unlikely	Event may occur once between 10 to 50 years	Event could occur at some time but is not considered likely.	<35%
3	Possible	Event may occur once in every 3 to 10 years.	The event might occur at some time.	>35%
4	Likely	Will probably occur on one occasion in the coming year.	The event will probably occur in most circumstances.	>65%
5	Almost Certain	Greater than one or more per annum.	The event is expected to occur in most circumstances.	>95%



Corporate Risk Register

Risk Assessment Data

Assessment of Risk: Consequence Matrix (taken from Carpentaria Shire Council's Risk Management Guideline)

Consequences	Rating	Operational – Business Continuity	Environmental	Information Technology	Strategic/Corporate Governance – Reputation - Political	Human Resources	Infrastructure, Asset & Property	Workplace Health & Safety	Financial and Economic	Management Effect
Catastrophic	5	The continuing failure of Council to deliver essential services, the removal of key revenue generation, loss of grant funding.	Widespread and irreparable environmental damage attributed by the actions of Carpentaria Shire Council.	Widespread, long-term loss of IT network/hardware.	Loss of State Government support with scathing criticism and removal of the Council; National media exposure; Loss of power and influence restricting decision making and capabilities; Severe exposure to adverse state-wide and long-term loss of support from Carpentaria Shire residents; Adverse impact and intervention by State Government.	Staff issues cause continuing failure to deliver essential services.	Widespread, long-term loss of key assets and infrastructure.	Fatality or significant irreversible disability.	Major financial loss, for example: \$1M of revenue or budget; and/or Economic loss of a very large business or employer and low on effects.	A critical event or disaster that could lead to the collapse of the business.
Major	4	Widespread failure to deliver several major strategic objectives and service plans; long-term failure of Council causing lengthy service interruption.	Severe environmental impact requiring significant remedial action; Partial or complete loss of compliance obligations.	Widespread, short to medium term loss of IT network/hardware.	Significant state-wide concern exposure and short to medium term loss of support from Carpentaria Shire residents; Adverse impact and intervention by State Government.	Staff issues cause widespread failure to deliver strategic objectives and long-term failure of day-to-day service delivery.	Widespread, short to medium term loss of key assets and infrastructure.	Extensive injuries. Lost time of more than 4 working days.	Major financial loss, for example: \$500,000 to \$1M of revenue or budget; and/or Economic loss of a large business or employer and low on effects.	A critical event that with appropriate management can be overcome.
Moderate	3	Failure to deliver minor strategic objectives and service plans; Temporary & recoverable failure of Council causing intermittent service interruption for a week.	Moderate impact on the environment; long term or recoverable damage; May require remedial action or mitigation measures.	Start to medium term loss of IT network/hardware.	Significant state-wide concern exposure and short to medium term loss of support from Carpentaria Shire residents; Adverse impact and intervention by another local government & LGAs.	Staff issues cause failure to deliver minor strategic objectives and temporary and recoverable failure of day-to-day service delivery.	Start to medium term loss of key assets and infrastructure.	High financial loss, for example: \$250,000 to \$499,999 of revenue or budget; and/or Economic loss of 2 large businesses, or 8 medium businesses and low on effects.	A significant event which can be managed under normal circumstances.	
Minor	2	Temporary and recoverable failure of Council causing intermittent service interruption for several days.	Minor environmental damage such as remote temporary pollution.	Minor loss/damage; Repair required.	Minor local community concern manageable through good public relations; Adverse impact by another local government.	Staff issues cause several days interruption of day-to-day service delivery.	Minor loss/damage; Repair required.	First aid treatment. No lost time.	Minor financial loss, for example: \$50,000 to \$250,000 of revenue or budget; and/or Economic loss of 6 small businesses and low on effects.	An event, the impact of which can be absorbed through normal activity.
Insignificant	1	Negligible impact of Council, brief service interruption for several hours to a day.	Brief, non-hazardous, transient pollution, or damage.	Damage where repairs and replacement equipment will operational.	Transient matter – eg. Customer complaint resolved in day-to-day management; Negligible impact from another local government.	Staff issues cause negligible interruption of day-to-day service delivery.	Damage where repairs are required or minor loss/damage; Repair required.	No injury.	Low financial loss, for example: \$10,000 to \$50,000 of revenue or budget; and/or Economic loss of 2 small businesses.	An event the impact of which can be absorbed through normal activity.



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Director of Engineering	DOE
Works Coordinator	WM
Director of Engineering	DOE
Manager of Finance and Administration	MFAA
Manager of Economic & Community Development	MEC
Manager of Economic & Community Development	MEC
Director of Engineering	DOE
Director of Corporate Services	DCS
Manager of Finance and Administration	MFAA
Executive Leadership Team	ELT
Chief Executive Officer	CEO
Manager of Human Resources	MHR
Executive Leadership Team	ELT
Manager Les Wilson Barramundi Discovery Centre	MLWBDC
Director of Engineering	DOE
Works Coordinator	WM
Manager of Economic & Community Development	MEC
Manager of Water and Waste	MWW



Operational Risk Register

*Consequence Table

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

*taken from CSC Risk Management Guidelines

*Likelihood Table

Rating	Description	Indicative Values	Frequency	Description	Probability
1	Rare	Event may occur once every 50 to 100 years	Event may occur once in between 10 to 50 years	The event may occur only in exceptional circumstances.	<5%
2	Unlikely	Event may occur once every 3 to 10 years.	Event may occur once in between 10 to 50 years	Event could occur at some time but is not considered likely.	<35%
3	Possible	Event may occur once every 3 to 10 years.	Event may occur once in between 10 to 50 years	The event might occur at some time.	>35%
4	Likely	Will probably occur on one occasion in the coming year.	Event may occur once in between 10 to 50 years	The event will probably occur in most circumstances.	>65%
5	Almost Certain	Greater than one or more per annum.	Event may occur once in between 10 to 50 years	The event is expected to occur in most circumstances.	>95%



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Assessment of Risk: Consequence Matrix (taken)

Consequence	Rating	Operational – Business Community	Environmental	Information Technology	Strategic/Corporate Governance – Reputation – Political	Human Resources	Infrastructure, Asset & Property	Workplace Health & Safety	Financial and Economic	Management Effort
Catastrophic	5	The continuing failure of Council to deliver essential services. The removal of key revenue generation. Loss of grant funding.	Widespread and irreversible environmental damage attributed by the courts to be regretted by the members of Cape Peninsula Shire Council.	Widespread, long-term loss of IT network/hardware.	Loss of State Government support with scathing criticism and removal of the Council. National media exposure. Loss of power and influence restricting decision making and capabilities.	Staff issues cause continuing failure to deliver essential services.	Widespread, long-term loss of substantial key assets and infrastructure.	Fatality or significant, irreversible, or long-term loss of staff.	High financial loss, for example: \$1M of revenue or budget; and/or economic loss of a very large business or multiple and low on effects.	A critical event or disaster that could lead to the collapse of the business.
Major	4	Widespread failure to deliver several major strategic objectives and service plans. Long-term failure of Council causing lengthy service interruption.	Severe environmental impact requiring significant remedial action. Penalties and/or direction of compliance order incurred.	Widespread, short to medium term loss of IT network/hardware.	State media and public concern expressed with adverse attention from long-term loss of support from Cape Peninsula Shire residents. Adverse impact and intervention by State Government.	Staff issues cause widespread failure to deliver several major strategic objectives and long-term failure of day-to-day service delivery.	Widespread, short to medium term loss of key assets and infrastructure.	Extensive injuries. Lost time of more than 4 working days.	Major financial loss, for example: \$500,000 to \$1M of revenue or budget; and/or economic loss of 4 large businesses or ratepayers and flow on effects.	A critical event that with appropriate management can be overcome.
Moderate	3	Failure to deliver minor strategic objectives and service plans. Temporary & recoverable failure of Council causing intermittent service interruption for a week.	Adequate impact on the environment, no long term or irreversible damage. May incur cautionary notice or infringement notice.	Short to medium term loss of key IT network/hardware.	Significant statewide concern expressed and short medium term exposure from Cape Peninsula Shire residents. Adverse impact and intervention by another local government & LGAO.	Staff issues cause failure to deliver minor strategic objectives and temporary and recoverable failure of day-to-day service delivery.	Short to medium term loss of key assets and infrastructure.	Medical treatment. Lost time of up to 4 working days.	High financial loss, for example: \$250,000 to \$500,000 of revenue or budget; and/or economic loss of 2 large businesses or 6 medium businesses and flow on effects.	A significant event which can be managed under normal circumstances.
Minor	2	Temporary and recoverable failure of Council causing intermittent service interruption for several days.	Minor environmental damage such as remote temporary pollution.	Minor loss/damage. Repairs required.	Minor local community concern manageable through good public relations. Adverse impact by another local government.	Staff issues cause several days interruption of day-to-day service delivery.	Minor loss/damage. Repairs required.	First aid treatment. No lost time.	Minor financial loss, for example: \$50,000 to \$250,000 of revenue or budget; and/or economic loss of 6 small businesses and flow on effects.	An event, the impact of which can be absorbed, but management effort is required.
Insignificant	1	Negligible impact of Council, brief service interruption for several hours to a day.	Shield, non-hazardous, transient pollution, or damage.	Damage where repairs are required, however equipment still operational.	Transient matter, e.g. Customer complaint, resolved in day-to-day management. Negligible impact from another local government.	Staff issues cause negligible impact of day-to-day service delivery.	Damage where repairs are required, however facility or infrastructure is still operational.	No injury.	Low financial loss, for example: Below \$50,000; and/or economic loss of 2 small businesses.	An event the impact of which can be absorbed through normal activity.



Operational Risk Register

Airports

No	Risk	Corporate Plan Ref. (Outcome)	Operational Plan Ref (KPI)	Causes	Consequences	Likelihood	Conseq. Level	Inherent Risk Rating	Existing Risk Treatments	Assessment of Controls / Evaluate Risks	Treatment of Risk	Likelihood	Conseq. Level	Residual Risk Rating	Responsible Officer	Treatment Plan				Target Risk Rating				
																Treatment Mitigation Action Plan (actionable and time-based)	Action Date	Record/Ref Number	Likelihood		Consequence	Target Risk Rating		
AR1	Standard of Airport Infrastructure	4.1 A well governed, responsive Council, providing effective leadership and management, and respecting community values	4.1.4 Provision of safe and reliable infrastructure (roads, water and sewer, buildings and facilities, etc.)	- Change in Airline volume - Non-compliance - Inadequate inspection regime	- Increased wear and tear - Personal or property damages - Financial costs	3 Possible	3 Moderate	H 60	Regular checks to ensure safe to use Council asset management plans Liaison with CASA to ensure compliance Annual Audits Daily Checks of Airfield/APO inspections	Excellent	Retain the risk	1 Rare	2 Minor	L 32	DOE	- Maintain Mandatory Inspections - Maintain Budget to cover upgrades and maintenance.			1 Rare	2 Minor	L 32	Stable	Ongoing	17/05/22
AR2	Non-compliance with CASA requirements	4.1 A well governed, responsive Council, providing effective leadership and management, and respecting community values	4.1.4 Provision of safe and reliable infrastructure (roads, water and sewer, buildings and facilities, etc.)	- Untrained staff - Lack of resources - Equipment failure - Financial constraints	- Compliance breach - Personal or property damages - Reputational Damage - Loss of Community Confidence - Loss of Emergency Services	2 Unlikely	5 Catastrophic	E 76	- Contracted qualified ARO - Regular Inspectors & testing - Comply with CASA standards/ passed CASA audit - Pass annual safety audits - Plan and inspect night landings - Back up generator for lighting - Back up parts for lighting - Back up manual/portable lighting - Conduct regular inspection to ensure equipment is in working order	Excellent	Retain the risk	1 Rare	2 Minor	L 32	DOE				1 Rare	2 Minor	L 32	Stable	Ongoing	17/05/22
AR3	Air crash	4.1 A well governed, responsive Council, providing effective leadership and management, and respecting community values	4.1.4 Provision of safe and reliable infrastructure (roads, water and sewer, buildings and facilities, etc.)	- Accident with aircraft using the airport	- Loss of life/injury - Damage to infrastructure - Financial loss	1 Rare	5 Catastrophic	H 68	- CASA standards compliance - Regular training - Lighting for night landings - Aerodrome Manuals Normation and Kurumbula Airports	Fair	Retain the risk	1 Rare	5 Catastrophic	H 68	DOE				1 Rare	5 Catastrophic	H 68	Stable	Ongoing	17/05/22
AR4	Terrorism	4.1 A well governed, responsive Council, providing effective leadership and management, and respecting community values	4.1.4 Provision of safe and reliable infrastructure (roads, water and sewer, buildings and facilities, etc.)	- Failure in Airport Screening	- Loss of life/injury - Damage to infrastructure - Financial loss	1 Rare	5 Catastrophic	H 68	- Aviation Security Identification Cards (ASIC) Cards - Issued by State Government - Airport and appropriately qualified and trained - Aerodrome Manuals Normation and Kurumbula Airports - Airstie procedures in place and enforced - External agency advice i.e. Coast Watch	Adequate	Retain the risk	1 Rare	5 Catastrophic	H 68	DOE	- Rural fire have expressed concern about ability to fight - This is to be taken up within rural fire to QFES about appropriateness of training etc. - New building with improved and modernised safety requirements			1 Rare	5 Catastrophic	H 68	Stable	Ongoing	17/05/22
AR5	Ground or Building Fire	4.1 A well governed, responsive Council, providing effective leadership and management, and respecting community values	4.1.4 Provision of safe and reliable infrastructure (roads, water and sewer, buildings and facilities, etc.)	- Naked flames - Ignition source - Unauthorized works - Smoking - Electrical - Lighting - Precaution storage of tools	- Loss of life/injury - Damage to infrastructure - Financial loss	2 Unlikely	5 Catastrophic	E 76	- Aerodrome Manuals Normation and Kurumbula Airports - Restriction on smoking in and around airport buildings - Preventing unauthorized works by monitoring outside access (ASIC Cards, radio security key system) - Ensuring that electrical works is sound by monitoring under building maintenance program - Appropriate training for lighting risks - Rural fire have fire lighting team for treating fuel fires. - Emergency Evacuation Plan in Place.	Fair	Retain the risk	1 Rare	5 Catastrophic	H 68	DOE				1 Rare	5 Catastrophic	H 68	Stable	Ongoing	17/05/22
AR6	Chemical or Fuel Spill	4.1 A well governed, responsive Council, providing effective leadership and management, and respecting community values	4.1.4 Provision of safe and reliable infrastructure (roads, water and sewer, buildings and facilities, etc.)	- Accident with aircraft using the airport	- Loss of life/injury - Damage to infrastructure - Financial loss	1 Rare	4 Major	H 56	- Aerodrome Manuals Normation and Kurumbula Airports - Regulatory Oversight - Fuel spill response available for cleanup. - Fuel managed by appropriately trained personnel - Adequate fuel storage	Adequate	Retain the risk	1 Rare	3 Moderate	M 44	DOE				1 Rare	3 Moderate	M 44	Stable	Ongoing	17/05/22
AR7	Bird Strik/Animal Hazards - Kurumbula	4.1 A well governed, responsive Council, providing effective leadership and management, and respecting community values	4.1.4 Provision of safe and reliable infrastructure (roads, water and sewer, buildings and facilities, etc.)	- Environmental/ seasonal conditions attracting wildlife to airport areas	- Delayed service - Loss of life/injury - Damage to infrastructure - Liability	4 Likely	3 Moderate	H 68	- CASA standards compliance - Wildlife management plan - Use of bird flight ammunition - Regular training of ARO - Daily checks for excess pre-landing/take-off inspections for RPT or charter flight services	Adequate	Retain the risk	3 Possible	2 Minor	M 48	DOE				3 Possible	2 Minor	M 48	Stable	Ongoing	17/05/22
AR8	Bird Strik/Animal Hazards - Normanton	4.1 A well governed, responsive Council, providing effective leadership and management, and respecting community values	4.1.4 Provision of safe and reliable infrastructure (roads, water and sewer, buildings and facilities, etc.)	- Environmental/ seasonal conditions attracting wildlife to airport areas	- Delayed service - Loss of life/injury - Damage to infrastructure - Liability	4 Likely	3 Moderate	H 68	- CASA standards compliance - Wildlife management plan - Use of bird flight ammunition - Regular training of ARO - Daily checks inspections/pre-landing/take-off inspections for RPT or charter flight services	Adequate	Retain the risk	3 Possible	2 Minor	M 48	DOE				3 Possible	2 Minor	M 48	Stable	Ongoing	17/05/22



Operational Risk Register

Airports

No	Risk	Corporate Plan Ref. (Outcome)	Operational Plan Ref (KPI)	Causes	Consequences	Likelihood	Conseq. Level	Inherent Risk Rating	Existing Risk Treatments	Assessment of Controls / Evaluate Risks	Treatment of Risk	Treatment Plan			Target Risk Rating									
												Treatment Mitigation Action Plan (actionable and time-based)	Action Date	Record/Ref Number	Likelihood	Consequence	Target Risk Rating	Trajectory	Review Interval Frequency	Date of Last Review				
AR9	Landing Lights Failure	4.1.1 A well governed, responsive Council, providing effective leadership and management, and respecting community values	4.1.4 Provision of safe and reliable infrastructure (roads, water and sewer, buildings and facilities, etc.)	- Faulty remote system - Failure to maintain remote system	- Air crash - Loss of life/injury - Damage to infrastructure	2 Unlikely	5 Catastrophic	E 76	- ARQs on-call to rectify faults/ manual switch on lights if required - Spare stock of replacement globe kept in both Normanton and Karumba - Annual electrical inspections. - Routine maintenance per mandatory inspection requirements.	Adequate	Retain the risk	1 Rare	2 Minor	L 32	DOE				1 Rare	2 Minor	L 32	Stable	Ongoing	17/05/2022
AR10	Natural Disaster	4.1.1 A well governed, responsive Council, providing effective leadership and management, and respecting community values	4.1.4 Provision of safe and reliable infrastructure (roads, water and sewer, buildings and facilities, etc.)	- Cyclone / flood event	- Loss of revenue - Financial impact to repair damages	3 Possible	2 Minor	M 48	- BOM early warning system - Evacuate for major flooding event - Business Continuity Management Plan - Adequate insurance	Adequate	Retain the risk	3 Possible	2 Minor	M 48	DOE				3 Possible	2 Minor	M 48	Stable	Ongoing	17/05/2022
AR11	Staff Shortage	4.1.1 A well governed, responsive Council, providing effective leadership and management, and respecting community values	4.1.4 Provision of safe and reliable infrastructure (roads, water and sewer, buildings and facilities, etc.)	- Lack of skilled personnel available - Inability to attract and retain personnel	- Reliance on part time or casual employment	3 Possible	4 Major	E 72	- Outsource to contractors - ARQ / Rex / World Fuels - Recruiting - Upskill 3-4 employees to backfill ARQ - Succession planning	Adequate	Retain the risk	2 Unlikely	2 Minor	L 40	DOE				2 Unlikely	2 Minor	L 40	Stable	Ongoing	17/05/2022



Operational Risk Register

Childcare

No.	Risk	Corporate Plan Ref. (Outcome)	Operational Plan Ref (KPI)	Causes	Impact	Likelihood	Conseq. Level	Inherent Risk Rating	Existing Risk Treatments	Assessment of Controls / Evaluate Risks	Treatment of Risk	Likelihood	Conseq. Level	Residual Risk Rating	Responsible Officer	Treatment Plan									
																Treatment Mitigation Action Plan (actionable and time-bound)	Action Date	Record/Ref Number	Target Risk						
1	Inability to recruit and retain appropriately/qualified staff	1.1 A safe, healthy, and equitable community that celebrates diversity and enjoys a quality lifestyle	1.1.2 Continue to support activities and programs that provide for the youth within the Shire	<ul style="list-style-type: none"> - Shortage of skill base - Housing shortage - Staff not willing or prepared to undertake further - Remoteness of location - Level of wages - Inefficient places to cater for the communities needs - Insufficient staff to care for 2/3 children - No room to expand Centre 	<ul style="list-style-type: none"> - Temporary or permanent closure of centre - Community impact - Stress on other staff / impact on staff morale - Unable to have statutory breaks - Financial impact - Service delivery impact - Children on waiting list - No room to move children from baby and to pre school - Unable to return to work - Reduction in fee revenue 	5 Almost Certain	3 Moderate	E 76	<ul style="list-style-type: none"> - Advertise for staff both local and external in widely circulated papers - Staffing offered - Networking with other centres - Promote working parents as to stay at home parents - Monitor waiting list 	Fair	Retain the risk	4 Likely	3 Moderate	H 68	MEC	<ul style="list-style-type: none"> - Consider moving staff package - Increase hourly paid to attract staff if possible - Current, unqualified staff gaining further experience - Work with schools and kindy to share resources where possible - Consider contacting out Daycare Centre - Consider assisting community to provide additional staff - Consider changing opening hours to alleviate stress on staff 			3 Possible	3 Moderate	H 60		Stable	Ongoing	18/05/2022
2	Non compliance with legislation ACECA	1.1 A safe, healthy, and equitable community that celebrates diversity and enjoys a quality lifestyle	1.1.2 Continue to support activities and programs that provide for the youth within the Shire	<ul style="list-style-type: none"> - Time needed to undertake new regulator - Read and write new documents - Training and induction not carried out - National Quality Standard - Inability to meet operating requirements - Staff shortage / Director working in room and not able to attend to other duties - Inability to maintain staff:child ratios 	<ul style="list-style-type: none"> - Fines - Loss of funding - Damage to relationships - Centre closure - Temporary or permanent closure of centre - Community impact - Potential for current staff to leave because of low morale / pressure / lack of support from Council 	4 Likely	3 Moderate	H 68	<ul style="list-style-type: none"> - Reviewing policy - Reviewing procedures - Induction staff with new policy and procedure - Carrying out risk assessments 	Fair	Retain the risk	3 Possible	3 Moderate	H 60	MEC	<ul style="list-style-type: none"> - Improve staffing to allow Director to keep updated - Refresher training - Employee administration officer to ease clerical burden on childcare staff 			3 Possible	3 Moderate	H 60		Stable	Ongoing	18/05/2022
3	Permanent closure of Centre	1.1 A safe, healthy, and equitable community that celebrates diversity and enjoys a quality lifestyle	1.1.2 Continue to support activities and programs that provide for the youth within the Shire	<ul style="list-style-type: none"> - Lack of grants - resulting in loss in sustainability - Closure due to non-compliance caused by lack of staff - Lack of funding opportunities to support operational costs 	<ul style="list-style-type: none"> - Loss of community service and service for employees - Unable to attract qualified staff to Council - Council incurs financial loss - Community services/business unable to operate due to closure of centre - New businesses may not come to the region due to limited childcare facility 	3 Possible	4 Major	E 72	<ul style="list-style-type: none"> - Continue to seek funding - Continuing to offer high quality care 	Fair	Retain the risk	2 Unlikely	4 Major	H 64	MEC	<ul style="list-style-type: none"> - Budget considerations for increased wages or employing additional staff 			2 Unlikely	4 Major	H 64		Stable	Yearly	18/05/2022



Operational Risk Register

Community

No.	Risk	Corporate Plan Ref. (Outcome)	Operational Plan Ref (KPI)	Causes	Consequences	Likelihood	Conseq. Level	Inherent Risk Rating	Existing Risk Treatments	Assessment of Controls / Evaluate Risks	Treatment of Risk	Likelihood	Conseq. Level	Residual Risk Rating	Responsible Officer	Treatment Plan								
																Treatment Mitigation Action Plan (actionable and time-based)	Action Date	Record/Ref Number						
																Target Risk Rating								
																Likelihood	Consequence	Target Risk Rating						
																Stable	Stable	Trajectory						
																Review Interval	Frequency	Review Interval						
																Date of Last Review	Frequency	Date of Last Review						
C301	Inability or failure to deliver community events	4.1.1 A well governed, responsive Council, providing effective leadership, management, and respecting community values	4.1.2 Maintain a focus on excellence in customer service and improvements in service delivery	<ul style="list-style-type: none"> - Inefficient resources - Lack of financial resources - Poor planning - Loss of external funding 	<ul style="list-style-type: none"> - Reputation of organisation - Loss of community confidence - Lost time and effort - Financial loss - Loss of public/benefit on economic benefits 	3 Possible	3 Moderate	H 60	<ul style="list-style-type: none"> - Regular Project Meetings - Training - Available resourcing - Budget - Policies and procedures for community events 	Adequate	Retain the risk	2 Unlikely	2 Minor	L 40	ELT MEC	<ul style="list-style-type: none"> - Regular Meetings - Improve awareness of Camberley Policy and Site Plan between stakeholders - Improve awareness of issue between relevant staff and contractors. 			2 Unlikely	2 Minor	L 40	Stable	Ongoing	17/05/2022
C302	Major injury at Community Event or Council Facility	4.1.1 A well governed, responsive Council, providing effective leadership, management, and respecting community values	4.1.4 Provision of safe and enable water and sewer buildings and facilities, etc.)	<ul style="list-style-type: none"> - Human error - Equipment failure - Poor maintenance - Contractor failure - Compliance - Failure to observe WHS - Inappropriate behaviour by officers or public 	<ul style="list-style-type: none"> - Injury (possible death) - Financial loss - Reputation damage - Loss of public/benefit on economic benefits 	4 Likely	4 Major	E 80	<ul style="list-style-type: none"> - Insurance / Public Liability - CRPS, OAS, SES - Signage - Procedures and instructions - Code of Conduct - WHS Hazard Inspections prevent - Follow up on all lessons learned 	Adequate	Retain the risk	2 Unlikely	3 Moderate	M 52	ELT MEC	<ul style="list-style-type: none"> - Budget to upgrade old buildings - Respond to maintenance issues in a timely manner - Consideration of alternative rectification options 			2 Unlikely	3 Moderate	M 52	Stable	Yearly	17/05/2022
C303	Non-compliant Council facilities and premises	4.1.1 A well governed, responsive Council, providing effective leadership, management, and respecting community values	4.1.4 Provision of safe and enable water and sewer buildings and facilities, etc.)	<ul style="list-style-type: none"> - Old buildings - Engineering Standards not updated - Parking issues 	<ul style="list-style-type: none"> - Injury (possible death) - Financial loss - Reputation damage - Loss of public/benefit on economic benefits 	3 Possible	4 Major	E 72	<ul style="list-style-type: none"> - WHS Hazard Inspections - Maintenance inspections of old buildings 	Fair	Retain the risk	3 Possible	3 Moderate	H 60	ELT	<ul style="list-style-type: none"> - Adequate understanding of JLT Guidelines - Update of Fire Forms - Update of Risk Registers - Users Public Liability Reviewed and special insurance obtained if not a Casualty - Staff training - Unrestricted access and check against JLT Guidelines 			2 Unlikely	2 Minor	L 40	Stable	Quarterly	17/05/2022
C304	Lack of understanding of Council procedures for Council Facilities	4.1.1 A well governed, responsive Council, providing effective leadership, management, and respecting community values	4.1.2 Maintain a focus on excellence in customer service and improvements in service delivery	<ul style="list-style-type: none"> - Obsolete or outdated Council procedures, forms being used - Lack of staff training - Loss of corporate knowledge - Inefficient understanding of insurance information - JLT Guidelines (casualty level) 	<ul style="list-style-type: none"> - Inability to adequately plan - Loss of knowledge - Inability to strategically manage facilities - Insurance loss of coverage - Public image and reputation 	3 Possible	3 Moderate	H 60	<ul style="list-style-type: none"> - Documentation regarding Facility usage - Booking processes (donor) - Donation (MECD) 	Opportunities for improvement	Retain the risk	3 Possible	3 Moderate	H 60	ELT	<ul style="list-style-type: none"> - Adequate understanding of JLT Guidelines - Update of Fire Forms - Update of Risk Registers - Users Public Liability Reviewed and special insurance obtained if not a Casualty - Staff training - Unrestricted access and check against JLT Guidelines 			2 Unlikely	3 Moderate	M 52	Stable	Yearly	17/05/2022
C305	Lack of community engagement	4.1.1 A well governed, responsive Council, providing effective leadership, management, and respecting community values	4.1.3 Continue to represent the community through Federal Government, regional bodies and others)	<ul style="list-style-type: none"> - Inadequate planning by Council - Lack of responsiveness by Community - Community over-reliance on Councilors 	<ul style="list-style-type: none"> - Failure to understand and meet community expectations - Reputation damage - Loss of community confidence in Council 	4 Likely	2 Minor	H 56	<ul style="list-style-type: none"> - Have your say section on Council website - Uses of public notices - Council media releases - Letter drops 	Adequate	Retain the risk	4 Likely	2 Minor	H 56	ELT	<ul style="list-style-type: none"> - Have your say section on Council website - Uses of public notices - Council media releases - Letter drops 			4 Likely	2 Minor	H 56	Stable	Ongoing	17/05/2022
C306	Damage to Cemeteries (underpinning of burial sites)	4.1.1 A well governed, responsive Council, providing effective leadership, management, and respecting community values	4.1.2 Maintain a focus on excellence in customer service and improvements in service delivery	<ul style="list-style-type: none"> - Vandalism - Parking on unmarked grass - Lack of maintenance to grounds - Damage caused to grave markers by maintenance activities - Lack of grave site planning / consistent grave site marking 	<ul style="list-style-type: none"> - Reputation risk - Cost of Council of rectifying - Loss of public/benefit on economic benefits - Loss of historic information relating to sites 	3 Possible	2 Minor	M 48	<ul style="list-style-type: none"> - Regular inspections - Cemetery Policy - Cemetery Site Plan 	Opportunities for improvement	Retain the risk	3 Possible	2 Minor	M 48	ELT	<ul style="list-style-type: none"> - Regular Meetings - Improve awareness of Camberley Policy and Site Plan between stakeholders - Improve awareness of issue between relevant staff and contractors. 			2 Unlikely	2 Minor	L 40	Stable	Ongoing	17/05/2022



Operational Risk Register

Engineering

No.	Risk	Corporate Plan Ref. (Outcome)	Operational Plan Ref (KPI)	Causes	Consequences	Likelihood	Conseq. Level	Inherent Risk Rating	Existing Risk Treatments	Assessment of Controls / Evaluate Risks	Treatment of Risk	Likelihood	Conseq. Level	Residual Risk Rating	Responsible Officer	Treatment Plan (actionable and time-based)	Action Date	Record/Ref Number	Likelihood	Consequence	Target Risk Rating	Trajectory	Review Interval	Date of Last Review
1	Inability to maintain the road network	4.1 A well governed, responsive Council, providing effective leadership and management, and respecting community values	4.1.4 Provision of safe infrastructure (roads, water and sewer, buildings and facilities, etc.)	- Availability of funding (DBFA, limited rates base to - Environmental Conditions - Existing road quality - Unaddressed works/large - Poor design	- Reputation - Economic loss to community - Reduction in service level	4 Likely	4 Major	E 80	- Long term financial forecasting/budgeting - Improved road design - Strategic planning of priority road network. - Advocate for funding via RRTG, CRFA, TMR, AG - Contract specifications to include: - Terms of engagement - Requirement for insurers - Requirement to develop policies and procedures - Purchasing policies - Objective selection criteria - Use PQL, PSA lists - Council provides access to training - Regularly update specifications to maximize operator skillset within available budget	Adequate	Retain the risk	2 Unlikely	M 52	DOE CEO	- Seek additional funding options. - Use of alternate construction methodology.			2 Unlikely	3 Moderate	M 52	Stable	Ongoing	17/05/2022	
2	Inability to engage suitably qualified contractors	4.1 A well governed, responsive Council, providing effective leadership and management, and respecting community values	4.1.4 Provision of safe infrastructure (roads, water and sewer, buildings and facilities, etc.)	- Remote location/limited local contractors - Poorly maintained machinery and plant - Poorly skilled operators - Poor contract management - Political influence - Community expectation	- Higher cost or reworking resulting in financial loss - Rejection of funding bodies to remove fit cost of works - Poor quality work - Poor quality work - Legislative breaches/enquiries	4 Likely	4 Major	E 80	- Visual observation during routine maintenance - Maintenance budget - Public Liability insurance is maintained	Fair	Retain the risk	3 Possible	3 Moderate	H 60	DOE			3 Possible	3 Moderate	H 60	Stable	Ongoing	17/05/2022	
3	Inability to maintain channel and flow and	4.1 A well governed, responsive Council, providing effective leadership and management, and respecting community values	4.1.4 Provision of safe infrastructure (roads, water and sewer, buildings and facilities, etc.)	- Heavy reliance on grants to fund maintenance and upgrades of material - Aging assets - Outdated design	- Reputation - Reduction in service level - Litigation/public liability	3 Possible	3 Moderate	H 60	- Visual observation during routine maintenance - Maintenance budget - Public Liability insurance is maintained	Fair	Retain the risk	3 Possible	3 Moderate	H 60	DOE	- Inspection Programs			3 Possible	3 Moderate	H 60	Stable	Yearly	17/05/2022
4	Inability to maintain stormwater/drainage	4.1 A well governed, responsive Council, providing effective leadership and management, and respecting community values	4.1.4 Provision of safe infrastructure (roads, water and sewer, buildings and facilities, etc.)	- Heavy reliance on grants to fund maintenance and upgrades of material - High cost of material - Aging assets - Outdated design	- Reputation - Reduction in service level - Litigation/public liability	3 Possible	3 Moderate	H 60	- Visual observation during routine maintenance - Maintenance budget - Public Liability insurance is maintained	Fair	Retain the risk	3 Possible	3 Moderate	H 60	DOE	- Inspection Programs			3 Possible	3 Moderate	H 60	Stable	Yearly	17/05/2022
5	Fail to deliver project expectations	4.1 A well governed, responsive Council, providing effective leadership and management, and respecting community values	4.1.4 Provision of safe infrastructure (roads, water and sewer, buildings and facilities, etc.)	- Poor site/terrain/availability - Staff shortages/ lack of skills, experience - Lack of understanding of project requirements/expectations by either Council, community and staff - Failure to identify components to job site - Poor planning - Failure to adequately manage project	- Increased costs - Loss of productivity - Loss of revenue - Failure to deliver community expectations - Reduced capacity to maintain funding	3 Possible	3 Moderate	H 60	- Use of suitable qualified resources - Pre-emptive planning/ check calls - Hire plan - Forthrightly project status review - PMP's for large projects (TMR) - Regular inspections, meetings - Value brought out projects, prior to applying for funding - Business Case - Audit of grant funded programs - Training in Policy and Procedures - Procurement PQL, PSA, Local Buy - Suppliers in place, when Council resources not available. - Reassessment and reallocation of - Regular communication and oversight	Adequate	Retain the risk	3 Possible	3 Moderate	H 60	ELT	- Quality Assurance programs for Council Projects - Implementation of recommendations from Management Councils and communities expectations			3 Possible	3 Moderate	H 60	Stable	Yearly	17/05/2022
6	Lack of adherence to Policies and Procedures relating to service delivery	4.1 A well governed, responsive Council, providing effective leadership and management, and respecting community values	4.1.2 Maintain in focus customer services and improvements in service delivery	- Failure to adhere to existing Policies and Procedures - Lack of understanding of Policy and Procedures - Unrealistic deadlines, inadequate responses	- Financial impact - Public liability - Loss of Reputation - Loss of Community Confidence - Legal action	4 Likely	4 Major	E 80	- Training in Policy and Procedures - Procurement PQL, PSA, Local Buy - Suppliers in place, when Council resources not available. - Reassessment and reallocation of - Regular communication and oversight	Fair	Retain the risk	3 Possible	3 Moderate	H 60	DOE	- Additional PM			2 Unlikely	2 Minor	L 40	Stable	Yearly	17/05/2022
7	Roles assigned to staff do not match capabilities	4.1 A well governed, responsive Council, providing effective leadership and management, and respecting community values	4.1.6 Ensure that workforce planning is in place and the safety of employees is improved	- Distance, location, inability to attract and retain appropriately qualified personnel - Lack of experience of staff - Failure to consider staff capabilities when assigning work - Legacy issues - No early retirement plan or voluntary redundancies - Lack of training, either formal or on the job	- Financial impact - Time impact - Risk of injury or damage to assets - Litigation - Failure to deliver services to the community - Reputation risk	3 Possible	3 Moderate	H 60	- Adequate recruitment practices - Ongoing training - Questioning of inability to obtain relevant skills/experience - Appropriate training - Failure to deliver services to the community - Organisational Review	Fair	Retain the risk	3 Possible	2 Minor	M 48	ELT	- Implementation of the Workforce Plan and recommendations outlined within.			3 Possible	2 Minor	M 48	Stable	Yearly	17/05/2022
8	Hitting underground services	4.1 A well governed, responsive Council, providing effective leadership and management, and respecting community values	4.1.4 Provision of safe infrastructure (roads, water and sewer, buildings and facilities, etc.)	- Lack of attention to task at hand - Lack of operator experience - Failure to adhere to work processes - Inaccurate information (a lot of service locations inaccurate for older work)	- Financial impact - Legal action - Loss of Service - Reputation damage	3 Possible	3 Moderate	H 60	- Dig before you Dig - Signage/ Markings - Robust risk assessment - Using sensors to increase opposed to mechanical - Updated As-built Plans - Cable location, color-coded	Adequate	Retain the risk	2 Unlikely	3 Moderate	M 52	DOE				2 Unlikely	3 Moderate	M 52	Stable	Yearly	17/05/2022
9	Break-in/ theft in Road Gang camp	4.1 A well governed, responsive Council, providing effective leadership and management, and respecting community values	4.1.4 Provision of safe infrastructure (roads, water and sewer, buildings and facilities, etc.)	- People behaving unethically and inappropriately - Lack of site security	- Financial impact - Legal action - Loss of Council property/assets - Reputation damage	3 Possible	2 Minor	M 48	- Looks as needed - Robust tasks - Camp calendar - Regular monitoring - Central monitoring	Fair	Retain the risk	3 Possible	2 Minor	M 48	DOE	- Independently installed cameras.			3 Possible	2 Minor	M 48	Stable	Yearly	17/05/2022



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Engineering

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																Treatment Mitigation Action (actionable and time-based)	Action Date						
10	Vehicles / plant / equipment stuck in remote areas	4.1. A well governed, responsive Council, providing effective leadership and management, and respecting community values	4.1.6. Ensure that the safety of employees is maintained and improved	Breakdown - Bogging - Lack of planning - Lack of attention to task at hand	- Inability to deliver works - Availability of plant - Financial impact - Idle time	3 Possible	3 Moderate	H 60	- Fuel use / Leaking and leaking - Foreman have satellite and - Adequate spare parts / kits - Travel in convoy (avoid individual travel)	Adequate	Retain the risk	3 Possible	2 Minor	M 48	DOE			3 Possible	2 Minor	M 48	Stable	Yearly	17/05/2022
11	Dropping spoil near / in wetcourse	2.1. The region's environmental resources, open spaces, and agricultural land, are conserved and enhanced for future generations	2.1.4. Manage development within the Cape-Town Water Catchment area in accordance with the objectives	- Failure to adhere to work practices - Lack of understanding of environmental issues	- Financial impact / fines - Reputational damage - Wasted time in clean up	3 Possible	3 Moderate	H 60	- Workforce management - Environmental Plan - Safety cases - Cultural Heritage Assessments	Adequate	Retain the risk	2 Unlikely	2 Minor	L 40	DOE			2 Unlikely	2 Minor	L 40	Stable	Yearly	17/05/2022
12	Not finishing contract on time	4.1. A well governed, responsive Council, providing effective leadership and management, and respecting community values	4.1.3. Develop systems that promote continuous improvement	- Poor Planning - Lack of experience - Poor Contract Management - Contractor takes shortcuts, goes broke - Unskilled workforce - Lack of understanding of works required - Adverse local conditions	- Financial impact - Reputational damage - Inability to deliver services to the community	4 Likely	4 Major	E 80	- Project program / timeline - Regular project meetings - Regular interaction with contractors - Contract management - Experienced PMs and team - Pre-start for each specific site	Adequate	Retain the risk	3 Possible	3 Moderate	H 60	ELT			3 Possible	3 Moderate	H 60	Stable	Yearly	17/05/2022
13	Underpricing contracts	4.1. A well governed, responsive Council, providing effective leadership and management, and respecting community values	4.1.3. Develop systems that promote continuous improvement	- Lack of experience - Lack of understanding the body of work - Poor and / or poor approvals - No allowance for contingency	- Inability to deliver services to the community - Financial impact - Reputational damage	4 Likely	4 Major	E 80	- Reference to recent similar projects - Sufficient quotes for materials / cartage / contingency and knowledge - Valuation request - Revised scope of work and principal approval	Adequate	Retain the risk	3 Possible	2 Minor	M 48	DOE			3 Possible	2 Minor	M 48	Stable	Yearly	17/05/2022
14	Breakdown of plant and/or fleet	4.1. A well governed, responsive Council, providing effective leadership and management, and respecting community values	4.1.3. Develop systems that promote continuous improvement	- Plant / fleet inadequately maintained - Operator failure (high incidence of labour hire) - Accidental damage - Willful damage	- Financial impact - Inability to complete works - Operator failure (high incidence of labour hire) - Increased insurance premiums	3 Possible	4 Major	E 72	- Maintenance programme - Use of external contractors - Workshop with Qualified Staff - Annual Plant Replacement Program - Fleet Audit by External Plant Assessor - Pre-start checks, daily toolbox	Adequate	Retain the risk	3 Possible	3 Moderate	H 60	DOE			3 Possible	3 Moderate	H 60	Stable	Yearly	17/05/2022



Operational Risk Register

Finance

No.	Risk	Corporate Plan Ref. (Outcome)	Operational Plan Ref (KPI)	Causes	Consequences	Likelihood	Conseq. Level	Inherent Risk Rating	Existing Risk Treatments	Assessment of Controls / Evaluate Risks	Treatment of Risk	Likelihood	Conseq. Level	Residual Risk Rating	Responsible Officer	Treatment Plan								
																Action Date	Record/Ref Number	Target Risk						
1	Failure to perform Grant Admin in a timely manner	4.1.1 Well governed, responsive Council, providing effective leadership and management, and respecting community values	4.1.1 Maintain a focus on integrity, accountability and transparency in all that we do	No system in place grant acquisition - Poor record keeping - Lack of communication between departments - Failure to follow the grant conditions/agreement	- Loss of or incorrect funding sought - Financial impact - Reputation - Failure to deliver the service to the community - Failure to support the community - Inadequate use of grant funds for other purposes	4 Likely	4 Major	E 80	- Ongoing resource allocation to financial statement preparation - Conduct of annual audit/programmed time to complete audit - Sufficiently qualified / experienced resource available - Improved communication and action between departments	Opportunities for improvement	Retain the risk	3 Possible	4 Major	E 72	ETI	- Grants register (finance) in place and accessible by all relevant parties / system in place nomination, underway - Effective review of transactions by DRFA Contractor - Internal audit monitoring	30/9/22	FIN1	2 Unlikely	3 Moderate	M 52	Decreasing	Quarterly	16/5/22
2	Financial Statement preparation	4.1.1 Well governed, responsive Council, providing effective leadership and management, and respecting community values	4.1.1 Maintain a focus on integrity, accountability and transparency in all that we do	- Audit costs - Resources to correct outdated financial system	- Financial loss - Non compliance with standards - Reputation - Departmental action	3 Possible	3 Moderate	H 60	- Regular monitoring and reconciling system and financials - Senior level of checking by Supervisor - Appropriately skilled resources utilised - External reviews as required	Opportunities for improvement	Avoid the risk	3 Possible	2 Minor	M 48	DCS	- Upgrade Snyerg Shift finance system	30/6/24	FIN6	1 Rare	2 Minor	L 32	Decreasing	Yearly	17/5/22
3	Failure to comply with ATO obligations	4.1.1 Well governed, responsive Council, providing effective leadership and management, and respecting community values	4.1.3 Develop systems that promote continuous improvement	- Lack of internal process and procedures - Lack of suitably experienced staff - Incomplete documentation, PAYG, superannuation, GST / EBT	- Financial Loss - Penalties / overpayments - Reputational loss - Loss of staff morale	3 Possible	3 Moderate	H 60	- Opening stocktake - Obsolete inventory write-offs to be reviewed by Council - Control surrounding fuel cards and identities - Inventory Management Policy - Control at council fuel system - Portable and attractive item register - Public nearest Disposal policy - Documented reconciliation and process - Improved staff training	Opportunities for improvement	Retain the risk	3 Possible	2 Minor	M 48	MFA A	- Implement recommendations of external reviews - Consideration of purchase of FBT software relevant policies as required - Staff training	17/05/22		2 Unlikely	2 Minor	L 40	Stable	Yearly	17/05/22
4	Loss or theft of inventory	4.1.1 Well governed, responsive Council, providing effective leadership and management, and respecting community values	4.1.1 Maintain a focus on integrity, accountability and transparency in all that we do	- Poor security - Inadequate inventory control - Lack of documented processes - Uncontrolled access to store - Low staff morale - Failure to properly reconcile GL to subsidiary ledgers	- financial loss - Reputation loss - Disciplinary action taken - Loss of time and production	4 Likely	2 Minor	H 56	- Debt recovery policy for uniform treatment - Debt recovery organisation (third party) utilised - Signed scope of works and signed contract for all works. - Public nearest Disposal policy - Documented reconciliation and process - Improved staff training	Opportunities for improvement	Avoid the risk	4 Likely	3 Moderate	H 88	DCS	- Develop Portable and attractive item register process - Implement CCTV	30/6/23		2 Unlikely	2 Minor	L 40	Decreasing	Monthly	17/5/22
5	Debt Issues	4.1.1 Well governed, responsive Council, providing effective leadership and management, and respecting community values	4.1.1 Maintain a focus on integrity, accountability and transparency in all that we do	- Delay in invoicing - Disputes in amounts - Inadequate resourcing	- Financial loss - Bad Debts provision - Reputation loss	3 Possible	5 Catastrophic	E 84	- Reconciliation and clearing of Pay run by MHR - Clearing of PAYG / System summaries and GST returns - External review of FBT - Outsourcing / Outbidding from HR - Materiel Change Review	Opportunities for improvement	Avoid the risk	3 Possible	3 Moderate	H 60	MFA A	- Establish private works policy - Review and update DCS - Payment certification - Reconciliations by finance.	31/7/22		2 Unlikely	2 Minor	L 40	Decreasing	Quarterly	17/5/22
6	Payroll	4.1.1 Well governed, responsive Council, providing effective leadership and management, and respecting community values	4.1.1 Maintain a focus on integrity, accountability and transparency in all that we do	- Overpayment of staff - Underpayment of staff	Financial implications/losses	2 Unlikely	3 Moderate	M 52	- Improved recording of finance team - Automation of system changes (QMS, Wite OPI) - Improved reconciliation - Communication and education to employees - Streamlined drafting methodologies	Adequate	Avoid the risk	2 Unlikely	2 Minor	L 40	MFA A			2 Unlikely	2 Minor	L 40	Stable	Ongoing	17/5/22	
7	Rates	4.1.1 Well governed, responsive Council, providing effective leadership and management, and respecting community values	4.1.1 Maintain a focus on integrity, accountability and transparency in all that we do	- Lack of resources to QMS effect changes - Financial loss - Lack of suitably qualified / experienced resources	- Financial Loss - Reputational Risk - Loss of Community Confidence	5 Almost Certain	3 Moderate	E 76	- Annual review of replacement value of assets in comparison to carrying value in accounts - Guidelines on public liability coverage - Broker assistance - Departmental communication	Opportunities for improvement	Avoid the risk	2 Unlikely	2 Minor	L 40	DCS	- Upgrade Finance System	30/6/24		1 Rare	2 Minor	L 32	Decreasing	Yearly	17/5/22
8	Insurance levels and selection of appropriate provider	4.1.1 Well governed, responsive Council, providing effective leadership and management, and respecting community values	4.1.1 Maintain a focus on integrity, accountability and transparency in all that we do	- Underinsurance - Documentation and/or programs - Lack of ownership of schedules	- financial implications	3 Possible	3 Moderate	H 60	- Ongoing resource allocation to financial statement preparation - Conduct of annual audit/programmed time to complete audit - Sufficiently qualified / experienced resource available - Improved communication and action between departments	Opportunities for improvement	Avoid the risk	2 Unlikely	2 Minor	L 40	DCS	- Ownership of schedules - Revisit commitment to updating schedules from relevant Departments - Update Part Register for fixed plant - Insured in a timely manner			2 Unlikely	2 Minor	L 40	Decreasing	Yearly	17/5/22



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Finance

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										Treatment of Risk	Likelihood	Conseq. Level	Residual Risk Rating	Responsible Officer	Treatment Mitigation Action Plan (actionable and measurable)	Action Date	Record/Ref Number	Likelihood	Consequence	Target Risk Rating	Trajectory	Review Interval Frequency	Date of Last Review	
9	Control of budgeting, cash and reserves including maintenance budgets	4.1.1 Well governed responsive Council, providing effective leadership and responding community values	4.1.1.1 Maintain a focus on integrity, accountability and transparency in all that we do	<ul style="list-style-type: none"> - Loss of financial flexibility - Inadequate planning - Borrowing when not necessary - Lack of commitment to set budgets - Lack of adequate planning - Fiscal prudence not aligned with affordability 	<ul style="list-style-type: none"> - Financial implications - Loss of confidence in Council 	4 Likely	4 Major	E 80	<ul style="list-style-type: none"> - Community Consultation - Induction process to Councilors - Adequate reporting - Regular Budgeting Controls 	Opportunities for improvement	Retain the risk	3 Possible	3 Moderate	H 60	DCS	<ul style="list-style-type: none"> - 10 year financial plan linked to AMP - Continued commitment to raising 			2 Unlikely	3 Moderate	M 52	Stable	Yearly	17/05/22
10	Poor financial management	4.1.1 Well governed responsive Council, providing effective leadership and responding community values	4.1.1.1 Maintain a focus on integrity, accountability and transparency in all that we do	<ul style="list-style-type: none"> - Inexperienced / unqualified staff - Inadequate / ineffective budget controls - Lack of planning - Inadequate reporting for effective decision making - Inadequate governance over financial position - Provision of so many services to the community without corresponding increase in revenue - Lack of asset management planning - Lack of decision making and approval for sub-optimal projects 	<ul style="list-style-type: none"> - Limited confidence in staff - Budget overruns - Financial losses - Reputational risk - Inadequate staff from operational functions or meet Council objectives - Re-orientation of budget funds - Community backlash - Council risk 	3 Possible	4 Major	E 72	<ul style="list-style-type: none"> - Induction of new Councilors and ELT to CSC - Workshops for Councilors and staff re financial statements and financial management, QIC - Reporting and analysis of numbers and variances - Experience of Finance team - Recruiting of additional suitably experienced staff - Mentoring / succession planning / staff training - ERM-orientin processes - Improved budgeting framework - Improved reporting - Regular project meetings 	Adequate	Retain the risk	2 Unlikely	3 Moderate	M 52	DCS	<ul style="list-style-type: none"> - Upgrade existing finance system for better third party integration and reporting - Fully integrated Corporate Plan to fully integrated Council Plan - Increase staff training - Improved capturing of capital projects - Linking of AMPs to financial forecast 			2 Unlikely	2 Minor	L 40	Decreasing	Ongoing	17/05/22



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																Treatment Mitigation Action (actionable and time-based)	Action Date	Record/Ref Number	Likelihood	Consequence	Target Risk Rating	Trajectory	Review Interval Frequency
1	Exposure of confidential information	4.1.1 A well governed, responsive Council providing effective leadership and management, and respecting community values	4.1.1 Maintain a focus on integrity, Accountability and Transparency in all that we do	- Inappropriate physical location - Open access to other staff - Poor secure storage - Inadequate requirements - Over-reliance on IT - Poor community communication - Poor internal communication - Poor secure information spread by staff/Councillors - Failure to address minor or mis-information	- Damage to Council's reputation - Disruption of staff and/or public - Loss of public confidence	3 Possible	4 Major	E 72	- Council policy in place - Secure lockable area for physical storage of hard copies - Secure storage of files in records management system - Password user access system in place - Inadequate requirements to change passwords - Adopt permissions of least privilege - Confidential session within Council meetings - Code of Conduct	Adequate	Retain the risk	3 Possible	2 Minor	M 48	ELT - Re-training of staff - Promote awareness of Policy provisions			3 Possible	2 Minor	M 48	Stable	Yearly	17/05/22
2	Reputers and inferences in the community	4.1.1 A well governed, responsive Council providing effective leadership and management, and respecting community values	4.1.1 Maintain a focus on integrity, Accountability and Transparency in all that we do	- Poor community communication - Poor internal communication - Poor secure information spread by staff/Councillors - Failure to address minor or mis-information	- disgruntled staff / loss of staff morale - Loss of reputation - Rumour could become 'fact'	3 Possible	4 Major	E 72	- Council policy in place - Community consultation meeting as required - Mayor's Newsletter - Training	Opportunities for improvement	Retain the risk	3 Possible	3 Moderate	H 60	ELT - Engagement Media & Communications Officer			2 Unlikely	2 Minor	L 40	Stable	Yearly	17/05/22
3	Non-compliance with legislative obligations	4.1.1 A well governed, responsive Council providing effective leadership and management, and respecting community values	4.1.1 Maintain a focus on integrity, Accountability and Transparency in all that we do	- Lack of training for staff in relevant legislative instruments - Lack of policies, procedures, guidelines - Lack of resourcing	- loss of community confidence - penalties or fines to serious breaches - reputational damage - Loss of certain licenses - Government intervention / removal of access privileges	3 Possible	3 Moderate	H 60	- LGAG legislative compliance service - regular review of policies and procedures - training for staff regarding legislative changes - independent legal advice sought regarding controversial matter - utilising the State Government or relevant authority compliance checklist	Adequate	Retain the risk	2 Unlikely	3 Moderate	M 52	ELT			2 Unlikely	3 Moderate	L 40	Stable	Yearly	17/05/22
4	Staff Acting without authority	4.1.1 A well governed, responsive Council providing effective leadership and management, and respecting community values	4.1.1 Maintain a focus on integrity, Accountability and Transparency in all that we do	- Lack of clarity in position description - Not acting within parameters of delegated authority i.e financial and non-financial	- civil liability eg. trespass - ineffective enforcement action - court overriding enforcement - Loss of public confidence	3 Possible	3 Moderate	H 60	- Training and development - process implemented to maintain delegation registers - third party consultants used for advice when required - Code of Conduct / Induction	Adequate	Retain the risk	2 Unlikely	2 Minor	L 40	ELT			2 Unlikely	2 Minor	L 40	Stable	Yearly	17/05/22
5	Councillors interfering with operational matters/directing staff	4.1.1 A well governed, responsive Council providing effective leadership and management, and respecting community values	4.1.1 Maintain a focus on integrity, Accountability and Transparency in all that we do	- Lack of training of Councillors on Local Government Act requirements - Government not advising staff the capacity when dealing with staff	- CCC / OIA enquiries - Potential penalties / financial loss - Breakdown of relationships	3 Possible	4 Major	E 72	- Induction for new Councillors - Code of Conduct - when new term of office - Accrable Request Guidelines	Opportunities for improvement	Retain the risk	3 Possible	2 Minor	M 48	- Training for ELT members in the CEO Acceptable Request Guidelines and interaction with Councillors			3 Possible	2 Minor	M 48	Stable	Yearly	17/05/22
6	Lack of understanding of local government processes and procedures	4.1.1 A well governed, responsive Council providing effective leadership and management, and respecting community values	4.1.1 Maintain a focus on integrity, Accountability and Transparency in all that we do	- Inadequate training of staff - Inadequate training for Councillors - Insufficient information provided / shared - Access to checklists and guidelines	- Poor decision making - Poor non-compliance with legislation - Lack of confidence in Council within the Community	3 Possible	3 Moderate	H 60	- Training and Development - Policies and Procedures - Links to LGAG and State Government - Accrable Request Guidelines	Adequate	Retain the risk	2 Unlikely	3 Moderate	M 52	ELT			2 Unlikely	3 Moderate	M 52	Stable	Yearly	17/05/22
7	Outdated website	4.1.1 A well governed, responsive Council providing effective leadership and management, and respecting community values	4.1.1 Maintain a focus on integrity, Accountability and Transparency in all that we do	- Inadequate training of staff - Staff failing to maintain website - Staff failing to take ownership of section of website - Staff failing to identify maintenance requirements	- Lack of information available to community - Increase phone enquiries - Inefficient staff having to address routine enquiries - Lack of legislative compliance	3 Possible	4 Major	E 72	- Training and development provided to staff across all sections of Council - Regular updates to website - Content Change Checklist available from Department	Opportunities for improvement	Retain the risk	3 Possible	4 Major	E 72	ELT - Departments to take ownership on website and ensure legislative compliance			2 Unlikely	2 Minor	L 40	Stable	Yearly	17/05/22
8	Destruction of historical records	4.1.1 A well governed, responsive Council providing effective leadership and management, and respecting community values	4.1.1 Maintain a focus on integrity, Accountability and Transparency in all that we do	- Disaster event - Poor staff knowledge of requirements - Lack of backups - Historical practices - Absence of policy or corporate direction - Maintaining records in accordance with Business Rules	- Inability to meet legislative - Public image - Political back lash - Damage to integrity of records history - Potential financial loss - Reputation and loss of confidence by community	3 Possible	4 Major	E 72	- Records management plan - Business Rules - Internal controls including access to records - Dedicated resources and training - Physical security of paper records	Fair	Retain the risk	3 Possible	3 Moderate	H 60	ELT - Review of record keeping practices and all storage records - Digitisation Policy			3 Possible	2 Minor	M 48	Stable	Yearly	17/05/22



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																Treatment Mitigation Action (actionable and time-based)	Action Date	Record/Ref Number	Likelihood	Consequence	Target Risk Rating			
9	Information and Intellectual Property Loss - Right to Information Act/ Information Privacy Act	4.1 A well governed responsive Council providing effective leadership and management, and respecting community values	4.1.1 Maintain a focus on integrity, Accountability and Transparency in all that we do	<ul style="list-style-type: none"> Release of information outside of the Act with Business Rules Non return of information / records upon staff exit from organisation 	<ul style="list-style-type: none"> Reputation loss Loss of information - Loss or misuse of intellectual property - Legal and litigation costs 	1 Rare	3 Moderate	M 44	<ul style="list-style-type: none"> Staff induction process - Confidentially agreements - Information Management Security - Mail Mailsail - Information Management / Inflation - Network logs 	Adequate	Retain the risk	1 Rare	2 Minor	L 32	ELT	<ul style="list-style-type: none"> - Intellectual property to be included on exit checklist - Development of central control over exit interview checklist items - IVE's security review - Information master review 			1 Rare	2 Minor	L 32	Stable	Yearly	17/5/22
10	Local Laws enforcement	4.1 A well governed, responsive Council, providing effective leadership and management, and respecting community values	4.1.1 Maintain a focus on integrity, Accountability and Transparency in all that we do	<ul style="list-style-type: none"> Community not aware of compliance requirements under local laws Penalties and Cans - responsible pet - Parking issues - Bad Trailers - Kauriana 	<ul style="list-style-type: none"> Social effect - Additional infringements - Financial loss - Liability - Injury to persons or damage to property 	3 Possible	4 Major	E 72	<ul style="list-style-type: none"> Registration of dogs - Community Education program - Enforcement - Inspections/penalties - (manual) - Spot checks - Responsible re-homing - Signage for parking areas 	Adequate	Retain the risk	3 Possible	3 Moderate	H 60	ELT	<ul style="list-style-type: none"> - 2 local laws officers - recruit additional officer 			2 Unlikely	2 Minor	L 40	Stable	Yearly	17/5/22
11	Noise complaints	4.1 A well governed, responsive Council, providing effective leadership and management, and respecting community values	4.1.1 Maintain a focus on integrity, Accountability and Transparency in all that we do	<ul style="list-style-type: none"> Complaints due to unlawful noise Unauthorized building works - out of hours power tools etc. 	<ul style="list-style-type: none"> Non compliance with approvals given - Non compliance with local law provisions - Complaints from the community - Loss of confidence if not acted upon 	3 Possible	3 Moderate	H 60	<ul style="list-style-type: none"> Education - Public Education/Awareness 	Adequate	Retain the risk	3 Possible	3 Moderate	H 60	ELT	<ul style="list-style-type: none"> - Development of Fact Sheets for information sharing 			2 Unlikely	2 Minor	L 40	Stable	Yearly	17/5/22
12	Loss of corporate knowledge	4.1 A well governed responsive Council providing effective leadership and management, and respecting community values	4.1.1 Maintain a focus on integrity, Accountability and Transparency in all that we do	<ul style="list-style-type: none"> Information not captured in accordance with Business Rules - Poor documentation of official records - Poor record keeping system not properly utilised - Limited number of staff knowing corporate processes eg. ceremonial/burial process, minute taking and Council meeting procedures 	<ul style="list-style-type: none"> Duplication of records - Poor decision making - Poor records keeping and renewal 	3 Possible	3 Moderate	H 60	<ul style="list-style-type: none"> Records procedures - Reporting for officers - Team meetings 	Opportunities for improvement	Retain the risk	3 Possible	3 Moderate	H 60	ELT	<ul style="list-style-type: none"> - Review of record keeping practices and all storage requirements - Implement new FMS that includes automation/correlation of registers and processes 			3 Possible	2 Minor	M 48	Stable	Yearly	17/5/22
13	Injury to staff, visitors and members of the public	4.1 A well governed, responsive Council, providing effective leadership and management, and respecting community values	4.1.1 Maintain a focus on integrity, Accountability and Transparency in all that we do	<ul style="list-style-type: none"> Incomplete or inadequate WHS register and compliance - Lack of understanding of responsibilities - WHS Management Plan not well understood 	<ul style="list-style-type: none"> Litigation - Government intervention - Financial loss - Reputation damage - Prosecution 	3 Possible	4 Major	E 72	<ul style="list-style-type: none"> - WHS register and work procedures - Business units' controls and reviews - Toolbox talks - Safety Committee and HS Representatives across Council 	Adequate	Retain the risk	3 Possible	3 Moderate	H 60	ELT				3 Possible	3 Moderate	H 60	Stable	Yearly	17/5/22
14	Lack of awareness of Native Title and Cultural Heritage	1.1 A safe, healthy, and equitable community that enjoys a quality lifestyle	4.1.1 Maintain a focus on integrity, Accountability and Transparency in all that we do	<ul style="list-style-type: none"> Lack of awareness - Lack of understanding implications 	<ul style="list-style-type: none"> Financial risk - Litigation risk - Confidential implications - Reputation risk - Government intervention 	3 Possible	4 Major	E 72	<ul style="list-style-type: none"> - Negotiate with native land holders - use agreement to set out responsibilities - Cultural Awareness Training - Map to identify of Native Title - Legal team for training 	Fair	Retain the risk	3 Possible	3 Moderate	ELT	<ul style="list-style-type: none"> - Training with TO Groups in relation to Cultural Awareness 			2 Unlikely	2 Minor	L 40	Stable	Yearly	17/5/22	



Operational Risk Register

No.	Risk	Corporate Plan Ref. (Outcome)	Operational Plan Ref (KPI)	Causes	Consequences	Likelihood	Conseq. Level	Inherent Risk Rating	Existing Risk Treatments	Assessment of Controls / Evaluate Risks	Treatment of Risk	Likelihood	Conseq. Level	Residual Risk Rating	Responsible Officer	Treatment Plan			Target Risk		Trajectory	Review Interval Frequency	Date of Last Review		
																Action Plan (actions to be taken)	Action Date	Record/Ref Number	Likelihood	Consequence					
1	Payroll discrepancies	4.1 A well governed, responsive Council, providing effective leadership and management, and respecting community values	4.1.3 Develop systems that promote continuous improvement	<ul style="list-style-type: none"> - Pay ghost employees - Award related risks - Deductions / business - Reconciliations - Allowances - Overtime level and approval - Timeliness processing (accuracy and deadlines) 	<ul style="list-style-type: none"> - Financial loss - Non compliance with policies and legislation - Loss of confidence 	2 Unlikely	3 Moderate	M 52	<ul style="list-style-type: none"> - Authorisation of timecards - Approval for new employees 	Adequate	Retain the risk	2 Unlikely	2 Minor	M 52	MHR MFR				2 Unlikely	2 Minor	L 40	Stable	Yearly	17/5/22	
2	Recruiting the wrong people	4.1 A well governed, responsive Council, providing effective leadership and management, and respecting community values	4.1.3 Develop systems that promote continuous improvement	<ul style="list-style-type: none"> - Failure of recruitment process - Failure to manage behaviour - Failure of induction process - Limited labour market due to remote area 	<ul style="list-style-type: none"> - Rework recruitment - Productivity and outcomes loss - Staff demotory - Employee loss to departing - Staff training costs - Reputation loss for decision maker - Legal liability - Reputation loss 	1 Rare	4 Major	H 56	<ul style="list-style-type: none"> - Position descriptions - Interview process - Reference checking - Probation periods 	Adequate	Retain the risk	1 Rare	4 Major	H 56	MHR DCS				1 Rare	4 Major	H 56	Stable	Yearly	17/5/22	
3	Inadequately trained staff	4.1 A well governed, responsive Council, providing effective leadership and management, and respecting community values	4.1.3 Develop systems that promote continuous improvement	<ul style="list-style-type: none"> - Poor of lack of training - Not upskilling employees - Not using internal training opportunities 	<ul style="list-style-type: none"> - Impact on safety standards - Non compliance with policies and legislation - Inefficiencies 	2 Unlikely	4 Major	H 64	<ul style="list-style-type: none"> - Budget allocation for training - Identification of appropriate training - Good culture of offering training - Seek input from staff what training is required - External input what training is required 	Adequate	Retain the risk	2 Unlikely	3 Moderate	H 64	DCS MHR				2 Unlikely	3 Moderate	M 52	Stable	Yearly	17/5/22	
4	Staff turnover/self absences	4.1 A well governed, responsive Council, providing effective leadership and management, and respecting community values	4.1.6 Ensure that workforce planning is in place and the safety of employees is maintained	<ul style="list-style-type: none"> - Culture/turnover - Unhealthy work environment - Health of staff - Political influences 	<ul style="list-style-type: none"> - Low productivity - Accountability - Culture of absenteeism - Low morale - Inability to meet operational and corporate plan objectives 	3 Possible	4 Major	E 72	<ul style="list-style-type: none"> - Training and development - Communication - Counselling (EAP) - Occupational support from HR - Mentoring individual staff - Front Line Management program - Open door policy/management - Separations of powers/responsible request guidelines 	Adequate	Retain the risk	3 Possible	3 Moderate	E 72	MHR DCS	Reduce Council interference in operational matters through training.				3 Possible	3 Moderate	H 60	Stable	Yearly	17/5/22
5	Staff Strikes/Industrial action	4.1 A well governed, responsive Council, providing effective leadership and management, and respecting community values	4.1.6 Ensure that workforce planning is in place and the safety of employees is maintained	<ul style="list-style-type: none"> - Health of staff - Union industrial relations action 	<ul style="list-style-type: none"> - Public perception - Staff morale 	2 Unlikely	3 Moderate	M 52	<ul style="list-style-type: none"> - HR policies - EBA regulations - Employee enquiry - Good relationship with Union 	Adequate	Retain the risk	1 Rare	2 Minor	M 52	MHR DCS				1 Rare	2 Minor	L 32	Stable	Yearly	17/5/22	
6	Performance management	4.1 A well governed, responsive Council, providing effective leadership and management, and respecting community values	4.1.3 Develop systems that promote continuous improvement	<ul style="list-style-type: none"> - No action taken to address behaviour - Inappropriate behaviour not reported - Ineffective management staff - Official Misconduct 	<ul style="list-style-type: none"> - Low staff morale - Poor behaviour - not addressed - Low quality of work - Rework - Inefficiency 	3 Possible	4 Major	E 72	<ul style="list-style-type: none"> - HR policies - Open door policies - HR staff managers - Encouraged to report without reprisal 	Fair	Retain the risk	3 Possible	3 Moderate	E 72	MHR DCS	Documented procedure to assist with the process management of staff				2 Unlikely	2 Minor	L 40	Stable	Yearly	17/5/22
7	Staff Planning- not having sufficient or the right qualifications	4.1 A well governed, responsive Council, providing effective leadership and management, and respecting community values	4.1.3 Develop systems that promote continuous improvement	<ul style="list-style-type: none"> - Poor planning - Lack of succession planning - Outdated Position Descriptions 	<ul style="list-style-type: none"> - Financial loss - Inefficiencies - Staff morale - Additional workloads for supervisors 	3 Possible	4 Major	E 72	<ul style="list-style-type: none"> - HR policies - Training and development - Annual staff reviews - Position descriptions - Workforce plan - Capability assessments - Organisational chart 	Opportunities for improvement	Retain the risk	2 Unlikely	3 Moderate	E 72	MHR DCS CEO	Development of DCE Workforce Plan				2 Unlikely	2 Minor	L 40	Stable	Yearly	17/5/22
8	Workforce injuries / Physical injury to Customer Service officers	4.1 A well governed, responsive Council, providing effective leadership and management, and respecting community values	4.1.6 Ensure that workforce planning is in place and the safety of employees is maintained	<ul style="list-style-type: none"> - Rate / violent customer - Robbery 	<ul style="list-style-type: none"> - Injury to staff - Financial loss - Insurance premiums - Missing funds / assets - Psychological damage to staff 	3 Possible	3 Moderate	H 60	<ul style="list-style-type: none"> - Locks on doors - Passwords / confidentiality 	Fair	Retain the risk	3 Possible	2 Minor	H 60	ELT	Install panic button				2 Unlikely	2 Minor	L 40	Stable	Yearly	17/5/22



Operational Risk Register

No.	Risk	Corporate Plan Ref. (Outcome)	Operational Plan Ref (KPI)	Causes	Consequences	Likelihood	Conseq. Level	Inherent Risk Rating	Existing Risk Treatments	Assessment of Controls / Evaluate Risks	Treatment of Risk	Likelihood	Conseq. Level	Residual Risk Rating	Responsible Officer	Treatment Plan		Action Date	Record/Ref Number	Target Risk			Trajectory	Review Interval Frequency	Date of Last Review
																Treatment Mitigation Action Plan (activities over time - years)	Residual Risk			Likelihood	Consequence	Target Risk Rating			
1	Failure of Corporate Business Systems	4.1 A well governed providing effective leadership and management, and respecting community values	4.1.3 Develop systems that promote continuous improvement	<ul style="list-style-type: none"> - Major / unpatched type of telecommunications infrastructure - Power outage - Poor change in computer (hardware / software) software and hardware - Inadequate planning strategy for replacements of inadequate systems security - Cyber attack 	<ul style="list-style-type: none"> - Inability to conduct core business - Financial impacts - Reputation and community backlash - Loss of critical information - Loss of services, e.g. SOGA, communications 	3 Possible	3 Moderate	H 60	<ul style="list-style-type: none"> - Use of facilities at other sites - Full back-up system (on & off site) - Outsourced IT managed services - Improved capacity to work remotely - Ongoing system maintenance - Improved planning of system upgrades - Security and system audits - Cyber insurance with access to expert advice - Priority action by third parties for major outages 	Fair	Retain the risk	3 Possible	2 Minor	M 48	ELT	<ul style="list-style-type: none"> - Developing Council-wide Business Continuity Plan based on current practices - External audit of ICT security practices - Review of ICT operations of ICT strategy as required 			3 Possible	2 Minor	M 48	Stable	Yearly	17/05/2022	
2	Failure to keep adequate Records	4.1 A well governed responsive Council leadership and management, and respecting community values	4.1.3 Develop systems that promote continuous improvement	<ul style="list-style-type: none"> - Loss of records - Inefficient records management system - Lack of training in records management system - Incomplete or inconsistent recording of the importance of record keeping - Lack of staff commitment - Staff saving information on desktop or personal drives rather than using Councils EDMS 	<ul style="list-style-type: none"> - Records not available - Reduced capacity to respond to OIA and other legislative request for information - Reduced capacity to defend allegations - Time lost searching for documents internally - Non-compliance with the Public Records Act 2002 and other legislative requirements 	4 Likely	4 Major	E 80	<ul style="list-style-type: none"> - Back up policies and procedures - Record keeping procedure - Determination of retention policies - Time lost searching for documents internally - Non-compliance with the Public Records Act 2002 and other legislative requirements 	Inadequate/Poor	Retain the risk	4 Likely	4 Major	E 80	ELT	<ul style="list-style-type: none"> - Improve system integration - Review of record keeping software for compliance with legislative requirements - Consideration to the up record keeping module contained within enterprise software yet to be implemented - Development of record keeping policy 			3 Possible	2 Minor	M 48	Increasing	Yearly	17/05/2022	
3	Investment made in IT systems or software not fit for purpose	4.1 A well governed providing effective leadership and management, and respecting community values	4.1.3 Develop systems that promote continuous improvement	<ul style="list-style-type: none"> - Poor planning - Lack of strategic/operational direction - Lack of forward oriented overview - Decision making without awareness of consequences 	<ul style="list-style-type: none"> - Financial loss - Operational inefficiencies (all requirements not met) - Costly to replace - Loss of staff morale - Reputation risk 	3 Possible	3 Moderate	H 60	<ul style="list-style-type: none"> - ICT Strategy - Centralised purchasing allowing ICT purchasing through one department with multiple decision makers 	Opportunities for improvement	Retain the risk	2 Unlikely	3 Moderate	M 52	ELT	<ul style="list-style-type: none"> - Implement procurement procedure - Conduct staff training - Commission ICT Strategy 			1 Rare	2 Minor	L 32	Decreasing	Yearly	17/05/2022	



Operational Risk Register

MLWBDC

No.	Risk	Corporate Plan Ref. (Outcome)	Operational Plan Ref (KPI)	Causes	Impact	Likelihood	Conseq. Level	Inherent Risk Rating	Existing Risk Treatments	Assessment of Controls / Evaluate Risks	Treatment of Risk	Treatment Plan			Target Risk							
												Action Date	Record/Ref Number	Likelihood	Consequence	Target Risk Rating	Trajectory	Review Interval	Date of Last Review			
1	Inability to recruit and retain self-qualified staff	3.1 A dynamic and diverse economy creating industry development and employment opportunities	3.1.3 Provision of support for a sustainable Tourism sector	- Shortage of skill base - Staff not willing or prepared to undertake further Remuneration - Level of wages	- Temporary or permanent closure of centre - Permanent inability to meet operating - Financial loss to Council and the community	5 Almost Certain	3 Moderate	E 76	Daily testing - Routine maintenance including water pumpage, backwashing and clearing of filters - Strict operating procedures - Approval for replacing unsuitable and/or damaged/updated equipment - Adequate stock prediction and emergency equipment	Adequate	Retain the risk	4 Likely	3 Moderate	H 68	MLWBDC MHR	Consider a traineeship program to encourage young local residents to enter alternative salary and occupational conditions / housing options	4 Likely	3 Moderate	H 68	Stable	Ongoing	20/05/2022
2	Barramundi in the tourism tasks de	3.1 A dynamic and diverse economy creating industry development and employment opportunities	3.1.3 Provision of support for a sustainable Tourism sector	- Equipment failure leads to disease, malnutrition, dirty water and poor water quality - Staff has insufficient technical skills to adequately maintain equipment - Staff has insufficient technical skills to adequately tend to the barramundi	- Non-compliance issues - Financial loss - Closure of tour and loss of income generated - Reputation damage	3 Possible	4 Major	E 72	Carry out dry-ground - Carry out maintenance on all equipment including pumps, backwashing and clearing of filters, backwashing and clearing of filters - Strict operating procedures - New Biosecurity Plan	Adequate	Retain the risk	2 Unlikely	2 Minor	L 40	MLWBDC	Improve biosecurity - Implement the new Biosecurity Plan and Training - Investigate chemical to ensure reliable reproduction (underway)	2 Unlikely	2 Minor	L 40	Stable	Ongoing	20/05/2022
3	Failure to breed Barramundi	3.1 A dynamic and diverse economy creating industry development and employment opportunities	3.1.3 Provision of support for a sustainable Tourism sector	- Unsuitable breeding Stock - Lack of suitably qualified staff - Seasonal weather conditions - Inadequate planning, e.g. ordering hormones at the correct time, etc	- Financial Loss - Loss of reputation - Reversal/impairments with fish - Tourism impacts	3 Possible	3 Moderate	H 60	Reduce number of fish to only what is required - Cleanse in maintenance officer - Marketing professional / tourism - Consider installation of efficient pumps and equipment - i.e. Variable speed motor pump - Consider installation of solar panels to reduce electricity costs.	Adequate	Retain the risk	3 Possible	3 Moderate	M 48	MLWBDC	Improve biosecurity - Implement the new Biosecurity Plan and Training - Investigate chemical to ensure reliable reproduction (underway)	2 Unlikely	2 Minor	L 40	Decreasing	Monthly	20/05/2022
4	Hourly higher operational costs	3.1 A dynamic and diverse economy creating industry development and employment opportunities	3.1.3 Provision of support for a sustainable Tourism sector	- Specialised staffing requirements - Building maintenance costs, not fit for purpose - Inefficient use of solar power leading to high - Ineffective marketing campaign	- Financial straitenedness not sustaining itself - Potential closure of MLWBDC	3 Possible	3 Moderate	H 60	Take out of lease of cafe - Trading and attracting staff - Regular menu offerings to suit skilled - of own staff	Opportunities for improvement	Retain the risk	3 Possible	3 Moderate	H 60	MLWBDC DOE	Attempt to move some operations to new built-in industry - Design and rebuild a life-of-purpose	2 Unlikely	2 Minor	L 40	Increasing	Ongoing	20/05/2022
5	Failure to submit Discovery Centre under development to turn a profit	3.1 A dynamic and diverse economy creating industry development and employment opportunities	3.1.3 Provision of support for a sustainable Tourism sector	- Lack of tourists to the MLWBDC - Limited diversification from political prohibitions - Ineffective marketing campaign - Lack of appropriately skilled staff	- Failure to generate revenue/financial loss - Loss of income generated from group tours - Potential for closure of MLWBDC	3 Possible	2 Minor	M 48	Customer complaints policy - Customer Standards Policy - Regular reporting to Council of - Tourism changes - Sealing and widening of roads to allow more access during bad weather - Regular hazard inspections - Risk Assessment completed - SWMS implemented - Trained and qualified staff - Adequate supervision of the public during activities	Fair	Retain the risk	3 Possible	2 Minor	M 48	MLWBDC ELT	Assessment of whether to submit	2 Unlikely	2 Minor	L 40	Stable	Yearly	20/05/2022
6	Poor patronage/quick turnover of visitors to the region	3.1 A dynamic and diverse economy creating industry development and employment opportunities	3.1.3 Provision of support for a sustainable Tourism sector	- Poor marketing - Poor customer support - Bad reviews - Weather and other events leading to limited access to the area - COVID-19 leading to limited - Economic conditions	- Financial Loss - Loss of reputation - Lack of interest from tourists to attend the facility - Potential for closure of value centre	3 Possible	3 Moderate	H 60	Regain hazard inspectors - Risk Assessment completed - SWMS implemented - Trained and qualified staff - Adequate supervision of the public during activities	Adequate	Retain the risk	3 Possible	3 Moderate	H 60	MLWBDC ELT	Council to provide positive representation to visitors	3 Possible	3 Moderate	H 60	Stable	Yearly	20/05/2022
7	Public involvement in activities	3.1 A dynamic and diverse economy creating industry development and employment opportunities	3.1.3 Provision of support for a sustainable Tourism sector	- Activity-based injury - Risks not yet identified and therefore not yet controlled - Inadequately skilled staff leading to poor supervision of the public during activities	- Financial loss due to loss of tourism - Loss of reputation - Potential for litigation - Lower staff morale	3 Possible	4 Major	E 72	Regain hazard inspectors - Risk Assessment completed - SWMS implemented - Trained and qualified staff - Adequate supervision of the public during activities	Adequate	Retain the risk	2 Unlikely	2 Minor	L 40	MLWBDC		2 Unlikely	2 Minor	L 40	Stable	Yearly	20/05/2022
8	Failure to maintain infrastructure	3.1 A dynamic and diverse economy creating industry development and employment opportunities	3.1.3 Provision of support for a sustainable Tourism sector	- Poorly designed facility/sub-projects - Inadequate maintenance funding	- Potential for structural/financial loss - Ongoing costs of remediation - Potential loss of visitor - Potential for litigation - Potential closure of facility	3 Possible	3 Moderate	H 60	Sufficient budget - Urgent / remediation underway - supported by the CEO - Scheduled maintenance	Opportunities for improvement	Retain the risk	3 Possible	3 Moderate	H 60	MLWBDC CEO	Escalate highway and pond remediation Plan	2 Unlikely	2 Minor	L 40	Decreasing	Yearly	20/05/2022
9	Loss of recreation permits	3.1 A dynamic and diverse economy creating industry development and employment opportunities	3.1.3 Provision of support for a sustainable Tourism sector	- State Government legislative changes - Failure to comply with permit conditions	- Loss of income-generating activity - Loss of reputation - Potential for litigation - Potential for closure	2 Unlikely	4 Major	H 64	Maintain industry standards - Maintain compliance to stock collection operations - Maintain compliant wildlife stock - Ongoing staff training - Strengthening relationships with legislative bodies	Opportunities for improvement	Avoid the risk	2 Unlikely	3 Moderate	M 52	MLWBDC	Diversify offerings - Foster relationships with other Government agencies	2 Unlikely	2 Minor	L 40	Decreasing	Yearly	20/05/2022



Operational Risk Register

Water, Sewer Waste

No.	Risk	Corporate Plan Ref. (Outcome)	Operational Plan Ref (KPI)	Causes	Impact	Likelihood	Conseq. Level	Inherent Risk Rating	Existing Risk Treatments	Assessment of Controls / Evaluate Risks	Treatment of Risk	Likelihood	Conseq. Level	Residual Risk Rating	Responsible Officer	Treatment Plan			Target Risk Rating					
																Treatment Mitigation Action (actionable and time-based)	Action Date	Record/Ref Number	Likelihood	Consequence	Target Risk Rating	Trajectory	Review Interval Frequency	Date of Last Review
Water & Sewerage																								
1	Failure to deliver essential services (water, sewerage & waste)	4.1 A well governed, responsive Council, providing effective leadership and respecting community values	4.1.4 Provision of safe and reliable infrastructure (roads, buildings and sewer, facilities, etc.)	<ul style="list-style-type: none"> -Major equipment failure -Power event - system, flood, drought -Failure of external service provider (eg electricity) -Failure of external supplier to deliver materials, etc -Lack of planning budget 	<ul style="list-style-type: none"> -Penalty fines -Adverse publicity -Health impact on residents -Financial loss -Political fallout -Environmental damage -Reputation damage 	2 Unlikely	4 Major	H 64	<ul style="list-style-type: none"> -Sufficiently qualified and trained staff -Contingency plans - stand up generators and pumps -Policies -Back up power supply at critical installations -Contractor standby plan -Preventive Maintenance Schedule 	Adequate	Retain the risk	2 Unlikely	3 Moderate	M 52	MMW				2 Unlikely	3 Moderate	M 52	Stable	Yearly	17/05/2022
2	Inability to conduct planning and other water and sewer future inspections	4.1 A well governed, responsive Council, providing effective leadership and respecting community values	4.1.4 Provision of safe and reliable infrastructure (roads, buildings and sewer, facilities, etc.)	<ul style="list-style-type: none"> -Storage of skilled staff -Disaster event -Inadequate scheduling/planning 	<ul style="list-style-type: none"> -Reputation loss -Financial loss -Impact on balance of water and sewerage infrastructure -Compliance issues 	2 Unlikely	3 Moderate	M 52	<ul style="list-style-type: none"> -Routine daily inspections -Online monitoring with remote capability 	Adequate	Retain the risk	1 Rare	3 Moderate	M 44	MMW	Increase online instrumentation			1 Rare	2 Minor	L 32	Stable	Yearly	17/05/2022
3	Storage of Qualified staff to maintain and operate water and sewerage assets	4.1 A well governed, responsive Council, providing effective leadership and respecting community values	4.1.4 Provision of safe and reliable infrastructure (roads, buildings and sewer, facilities, etc.)	<ul style="list-style-type: none"> -Inability to attract and retain staff -Loss of skilled staff -Isolated treatment location 	<ul style="list-style-type: none"> -Financial Costs -Inability to provide services -Loss of community confidence -Impact on Council's reputation 	4 Likely	3 Moderate	H 68	<ul style="list-style-type: none"> -Maintaining adequate numbers of trained staff -Use of external employment agencies during absences 	Fair	Retain the risk	3 Possible	3 Moderate	H 60	MHR - Review NWCORC Industry Skills MMW Cap Analysis			3 Possible	3 Moderate	H 60	Stable	Six Monthly	17/05/2022	
Water																								
4	Lack of Water supply	4.1 A well governed, responsive Council, providing effective leadership and respecting community values	4.1.4 Provision of safe and reliable infrastructure (roads, buildings and sewer, facilities, etc.)	<ul style="list-style-type: none"> -Failed/wat season -Failure of electricity supply -Reliability of equipment -Access to critical assets -Staff continuity and training -Unreliable supply of chemicals -Malfunction of gas data (flowing and transmission) 	<ul style="list-style-type: none"> -Health risks -Reputation loss -Loss of community confidence -Impact on Council's reputation 	3 Possible	4 Major	E 72	<ul style="list-style-type: none"> -Water restrictions -Duplicated Pipeline -Community Education -Increased capacity of Water / Treatment plants -Reducing water waste at WTP 	Fair	Retain the risk	2 Unlikely	4 Major	H 64	MMW - WTP	Increase water storage at the WTP			2 Unlikely	4 Major	H 64	Stable	Yearly	17/05/2022
5	Water Quality	4.1 A well governed, responsive Council, providing effective leadership and respecting community values	4.1.4 Provision of safe and reliable infrastructure (roads, buildings and sewer, facilities, etc.)	<ul style="list-style-type: none"> -Contamination (ie stock, algae, fish, etc) -Failure of equipment -Storage of skilled staff -Inadequate monitoring 	<ul style="list-style-type: none"> -Health risks -Reputation loss -Loss of community confidence -Regulation loss 	3 Possible	4 Major	E 72	<ul style="list-style-type: none"> -Drinking Water Quality Management Plan -Regular Review DQMMP -Skilled staff -Online monitoring -Early warning to public for known issues 	Adequate	Retain the risk	2 Unlikely	4 Major	H 64	MMW			2 Unlikely	4 Major	H 64	Stable	Yearly	17/05/2022	
6	Total failure of water treatment plant	4.1 A well governed, responsive Council, providing effective leadership and respecting community values	4.1.4 Provision of safe and reliable infrastructure (roads, buildings and sewer, facilities, etc.)	<ul style="list-style-type: none"> -Fire / burnt out electricals -Disaster event -Terrorism / Cyber Risk 	<ul style="list-style-type: none"> -Health risks -Financial costs -Loss of community confidence -Non-compliance/ability 	2 Unlikely	5 Catastrophic	E 76	<ul style="list-style-type: none"> -Regular maintenance carried out -Daily water quality monitoring staff -Water quality management plan -Cyber insurance and support 	Adequate	Retain the risk	1 Rare	2 Minor	L 32	MMW - CCTV			1 Rare	2 Minor	L 32	Stable	Yearly	17/05/2022	
7	Partial failure of water treatment plant	4.1 A well governed, responsive Council, providing effective leadership and respecting community values	4.1.4 Provision of safe and reliable infrastructure (roads, buildings and sewer, facilities, etc.)	<ul style="list-style-type: none"> -Equipment failure -Loss of power board essential -Burnout of switchboard -Failure of electricity supply -Reliability of equipment -Staff continuity and training -Disaster event or drought -Loss of chemicals during flood/drought disaster -Terrorism / Cyber Risk 	<ul style="list-style-type: none"> -Health risks -Financial costs -Loss of community confidence -Reputation damage -Non-compliance/ability 	3 Possible	4 Major	E 72	<ul style="list-style-type: none"> -Spare electrical parts -Back up generator for power failure -Online monitoring system provides alarms -Daily water quality monitoring -Water quality management plan -Operational procedures -Cyber insurance and support 	Adequate	Retain the risk	2 Unlikely	3 Moderate	M 52	MMW - CCTV			2 Unlikely	3 Moderate	M 52	Stable	Yearly	17/05/2022	
8	Inability to adequately control source water quality	4.1 A well governed, responsive Council, providing effective leadership and respecting community values	4.1.4 Provision of safe and reliable infrastructure (roads, buildings and sewer, facilities, etc.)	<ul style="list-style-type: none"> -Contamination -Terrorism 	<ul style="list-style-type: none"> -Financial costs -Compliance issues -Health issues -Loss of confidence in Council -Reputation damage -Non-compliance/ability 	2 Unlikely	4 Major	H 64	<ul style="list-style-type: none"> -Monitoring of water quality -Operational procedures -Drinking water Quality Management plan -Staff training 	Adequate	Retain the risk	1 Rare	3 Moderate	M 44	MMW			1 Rare	3 Moderate	M 44	Stable	Yearly	17/05/2022	
Sewerage																								
9	Sewage pool failure - Keruruba	4.1 A well governed, responsive Council, providing effective leadership and respecting community values	4.1.4 Provision of safe and reliable infrastructure (roads, buildings and sewer, facilities, etc.)	<ul style="list-style-type: none"> -Equipment failure -Loss of power -Fit for purposes system -Leak error 	<ul style="list-style-type: none"> -Financial Costs -Compliance issues -Loss of services -Health issues -Reputation damage -Non-compliance/ability 	5 Almost Certain	2 Minor	H 64	<ul style="list-style-type: none"> -Shift on call -Budget for replacement pumps and repairs -Onsite education at site during call out 	Fair	Retain the risk	5 Almost Certain	2 Minor	H 64	MMW	Increase budget for pump replacements			4 Likely	2 Minor	H 56	Stable	Yearly	17/05/2022



Operational Risk Register

Water, Sewer Waste

10	Failure of ponds or sewage treatment process - Karamba	4.1.4 A well governed, effective leadership and management, and respecting community values	4.1.4 Provision of safe and reliable infrastructure (roads, buildings and facilities, etc.)	- Equipment failure - Failure to adequately maintain infrastructure - Excess rain events / disasters - Lack of controls and skilled staff	- Financial Costs - Environmental damage - Reputation damage	3 Possible	4 Major	E 72	- Staff on call - Budget for replacement pumps and repairs - Online monitoring of equipment - Routine inspections - Annual review (SWM)	Adequate	Retain the risk	3 Possible	2 Minor	M 48	MWV	- Increased monitoring equipment - Increased resourcing capacity	3 Possible	2 Minor	M 48	Stable	Yearly	17/05/2022
11	Failure of STP - Karamba	4.1.4 A well governed, effective leadership and management, and respecting community values	4.1.4 Provision of safe and reliable infrastructure (roads, water and sewer, wastewater treatment facilities, etc.)	- Equipment failure - Failure to adequately maintain infrastructure - Excess rain events / disasters - Lack of controls and skilled staff	- Financial Costs - Environmental damage - Reputation damage	3 Possible	4 Major	E 72	- Staff on call - Budget for replacement pumps and repairs - Online monitoring of equipment - Annual review (SWM)	Adequate	Retain the risk	3 Possible	2 Minor	M 48	MWV	- Increased monitoring equipment - Increased resourcing capacity	3 Possible	2 Minor	M 48	Stable	Yearly	17/05/2022
Contracted Services																						
12	Failure to maintain landfill	4.1.4 A well governed, effective leadership and management, and respecting community values	4.1.2 Maintain a focus on excellence in customer service and improvements in service delivery	- Failure of contractor to provide services as per the contract - Inadequate contract management practices by Council	- Financial costs - Environmental damage - Reputation damage	3 Possible	3 Moderate	H 60	- Contract Management - Routine inspections - Compliance monitoring	Adequate	Retain the risk	2 Unlikely	3 Moderate	M 52	MWV		2 Unlikely	3 Moderate	M 52	Stable	Yearly	17/05/2022
13	Transfer station	4.1.4 A well governed, effective leadership and management, and respecting community values	4.1.2 Maintain a focus on excellence in customer service and improvements in service delivery	- Failure of contractor to provide services as per the contract - Inadequate contract management practices by Council	- Financial costs - Environmental damage - Reputation damage	3 Possible	3 Moderate	H 60	- Contract Management - Routine inspections - Compliance monitoring	Adequate	Retain the risk	2 Unlikely	3 Moderate	M 52	MWV		2 Unlikely	3 Moderate	M 52	Stable	Yearly	17/05/2022



Operational Risk Register

Parks and Gardens

No.	Risk	Corporate Plan Ref. (Outcome)	Operational Plan Ref (KPI)	Causes	Consequences	Likelihood	Conseq. Level	Inherent Risk Rating	Existing Risk Treatments	Assessment of Controls / Evaluate Risks	Treatment of Risk	Treatment Plan			Target Risk									
												Likelihood	Conseq. Level	Residual Risk Rating	Responsible Officer	Treatment Mitigation Action Plan (Actionable and time-based)	Action Date	Record/Ref Number	Likelihood	Consequence	Target Risk Rating	Trajectory	Review Interval Frequency	Date of Last Review
1	Damage to property	4.1 A wall governed, providing effective leadership and management, and respecting community values	4.1.4 Provision of safe and reliable roads, water and sewer, buildings and facilities, etc.)	Vandalism	- Financial Loss - Injury or death - Reputational damage - Loss of amenity - Loss of service to community - Loss of parks, gardens, grass	5 Almost Certain	2 Minor	H 64	- Regular inspections and maintenance (road to confirm water or gas is not leaking) - Community education	Fair	Retain the risk	5 Almost Certain	2 Minor	H 64	W/C	- Consideration of vandal proof infrastructure			5 Almost Certain	2 Minor	H 64	Stable	Yearly	17/05/2022
2	Loss of or Damages to plants, gardens, grass	4.1 A wall governed, providing effective leadership and management, and respecting community values	4.1.4 Provision of safe and reliable roads, water and sewer, buildings and facilities, etc.)	- Low water supply - Wasting equipment failure - Inadequate equipment - Vandalism - Natural disaster	- Financial loss - Loss of amenity - Reputational damage - Loss of service to community - Loss of parks, gardens, grass	4 Likely	3 Moderate	H 68	- Exemptions from water restrictions systems - Regular maintenance of watering systems	Opportunities for improvement	Retain the risk	3 Possible	2 Minor	M 48	DOE	- Fix irrigation issues			2 Unlikely	2 Minor	L 40	Decreasing	Quarterly	17/05/2022
3	General public accessing parks and open spaces and procedures	4.1 A wall governed, providing effective leadership and management, and respecting community values	4.1.4 Provision of safe and reliable roads, water and sewer, buildings and facilities, etc.)	- Inadequate signage - Inappropriate work practices	- Injury or damage to persons or property - Reputational damage - Financial costs	2 Unlikely	2 Minor	L 40	- Signage training including regular tool box talks - Improved safety equipment - Regular maintenance of facility (ie not scheduling work during known high use times)	Adequate	Retain the risk	2 Unlikely	2 Minor	L 40	W/C	- Adequate supervisory checks to ensure site is safe for public use			2 Unlikely	2 Minor	L 40	Stable	Yearly	17/05/2022
4	Trees or vegetation on Council property	4.1 A wall governed, providing effective leadership and management, and respecting community values	4.1.4 Provision of safe and reliable roads, water and sewer, buildings and facilities, etc.)	- Severe weather conditions - Inability to manage all land controlled by Council - Unlawful damage by third party - pest invasion	- Injury/death to persons and/or property - Reputational damage - Financial costs	2 Unlikely	2 Minor	L 40	- Regular inspections by Council after winter event - Regular maintenance of facility (ie not scheduling work during known high use times) - Adequate response to community complaints	Adequate	Retain the risk	2 Unlikely	1 Insignificant	L 28	DOE				2 Unlikely	1 Insignificant	L 28	Stable	Yearly	17/05/2022
5	Injury to public on Council Controlled recreational areas	4.1 A wall governed, providing effective leadership and management, and respecting community values	4.1.4 Provision of safe and reliable roads, water and sewer, buildings and facilities, etc.)	- Aging equipment - Poor maintenance - Misuse of equipment - Uneven pathways - Pops up irrigation - Organised sporting events	- Litigation - Financial Loss - Injury - Reputational Risk	3 Possible	4 Major	E 72	- Responder/Repair as required - Not for Profit Groups required to have insurance - W/S Routine Hazard Inspections	Adequate	Retain the risk	2 Unlikely	3 Moderate	M 52	ELT	- Review systems to record and manage defects			2 Unlikely	3 Moderate	M 52	Stable	Yearly	17/05/2022
6	Bio hazards	4.1 A wall governed, providing effective leadership and management, and respecting community values	4.1.4 Provision of safe and reliable roads, water and sewer, buildings and facilities, etc.)	- Sharps - Chemicals - Disposable amenities	- Sickness / death - Ongoing health issues - Financial cost - Potential litigation	4 Likely	4 Major	E 80	- Staff training, Take 5 - Schedule disposal bins - sharps, sanitary - Signage	Adequate	Retain the risk	2 Unlikely	3 Moderate	M 52	ELT	- Community education			2 Unlikely	3 Moderate	M 52	Stable	Yearly	17/05/2022



Operational Risk Register

Swimming Pools

No.	Risk	Corporate Plan Ref. (Outcome)	Operational Plan Ref (KP)	Causes	Consequences	Likelihood	Conseq. Level	Inherent Risk Rating	Existing Risk Treatments	Assessment of Controls / Evaluate Risks	Treatment of Risk	Likelihood	Conseq. Level	Residual Risk Rating	Responsible Officer	Treatment Plan			Target Risk	Trajectory	Review Interval Frequency	Date of Last Review		
																Treatment Mitigation Action Plan (due within one time-frame)	Action Date	Record/Ref Number						
1	Lack of supervision in a public pool	4.1.1 A well governed, responsive Council, providing effective leadership and management, and respecting community values	4.1.2 Maintain a focus on excellence in customer service and economic in service delivery	- Unable to recruit and retain suitably qualified staff - Lack of supervision by staff in attendance	- Loss of Life - Litigation - Inability to meet community expectations - Image & Reputation	5 Almost Certain	5 Catastrophic	E 100	- Pool is closed when qualified staff are not available - Regular training hours - Regular staff training - Indemnity from signed by adult patrons using the pool facility after hours - Public Liability Insurance is maintained	Adequate	Retain the risk	2 Unlikely	3 Moderate	M 52	MEC	- EOI to outsource to contractor to transfer risk	3/09/2022		2 Unlikely	3 Moderate	M 52	Stable	Yearly	17/05/2022
2	Failure to ensure the health and wellbeing of the public	4.1.1 A well governed, responsive Council, providing effective leadership and management, and respecting community values	4.1.2 Maintain a focus on excellence in customer service and economic in service delivery	- Equipment failure - Reduction in water quality - Poor or inappropriate operational procedures	- Health issues - Litigation - Inability to meet community expectations - Public Image & Reputation	3 Possible	3 Moderate	H 60	- Routine monitoring and maintenance of assets - Public Liability Insurance is maintained - WHS Regular Hazard Inspections - Adequate Signage - Staff training/monitoring of patrons - Pool closure as required - Public Notice	Adequate	Retain the risk	2 Unlikely	3 Moderate	M 52	MEC	- EOI to outsource to contractor to transfer risk	3/09/2022		2 Unlikely	3 Moderate	M 52	Stable	Yearly	17/05/2022
3	Failure to maintain water quality	4.1.1 A well governed, responsive Council, providing effective leadership and management, and respecting community values	4.1.2 Maintain a focus on excellence in customer service and economic in service delivery	- Equipment failure - Reduction in water quality - Poor or inappropriate operational procedures - Contamination	- Health issues - Litigation - Inability to meet community expectations - Public Image & Reputation	4 Likely	3 Moderate	H 68	- Routine monitoring - Trained staff as required - Public Notice	Fair	Retain the risk	3 Possible	3 Moderate	H 60	MEC	- EOI to outsource to contractor to transfer risk	3/09/2022		2 Unlikely	3 Moderate	M 52	Stable	Yearly	17/05/2022
4	Equipment failure	4.1.1 A well governed, responsive Council, providing effective leadership and management, and respecting community values	4.1.5 Provision of safe and reliable infrastructure (roads, water and sewer, buildings and other facilities, etc.)	- Poor or inappropriate operational procedures - Poor Asset Management - Lack of reasonable budget - Poor or inappropriate maintenance procedures - Ongoing equipment parts	- Health issues - Financial loss - Inability to meet community expectations - Public Image & Reputation	3 Possible	3 Moderate	H 60	- Regular maintenance performed - Routine inspections - Pool closure as required - Public Notice	Fair	Retain the risk	3 Possible	3 Moderate	H 60	MEC	- Implement online monitoring equipment - Adequate Asset management			2 Unlikely	3 Moderate	M 52	Stable	Yearly	17/05/2022

BUSINESS PAPERS

10.4 FRAUD AND CORRUPTION PREVENTION POLICY

Attachments:	10.4.1. Fraud and Corruption Prevention Policy ↓ 10.4.2. Fraud and Corruption Prevention Control Plan ↓ 10.4.3. Fraud Risk Register ↓
Author:	Julianne Meier - Director Corporate Services
Date:	6 June 2022
Key Outcome:	A well governed, responsive Council, providing effective leadership and management, and respecting community values
Key Strategy:	Maintain a focus on integrity, Accountability and Transparency in all that we do

Executive Summary:

The Fraud Framework, including Fraud and Corruption Prevention Policy, Fraud and Corruption Prevention Control Plan, and Fraud Risk Register documents have been reviewed and updated, and are presented to Council for adoption.

RECOMMENDATION:

That Council adopts:

1. the Fraud and Corruption Prevention Policy; and
2. the Fraud and Corruption Prevention Control Plan; and
3. note the Fraud Risk Register.

Background:

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

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

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

The fraud risk register sets out the risk ratings but also:

- Risks
 - Causes
 - Consequences
 - Existing Risk Treatments
 - Improvements
-

BUSINESS PAPERS

Almost every risk can be reduced somewhat by educating the organisation on what Fraud is and conducting Fraud Awareness Training. Officers had planned this training, but unfortunately it was cancelled this year. This training according to the control plan should be carried out annually, but this has not been the case for quite some years. Page 8 of the Fraud and Corruption Control Plan sets out a number of elements that promote and support the prevention of fraud and corruption.

Fraud Awareness Training is imperative so that all staff, Supervisors and Managers understand why there are various system controls in place or need to be in place. The business currently displays little tolerance for procedural change, and segregation of duties so implementing the improvements is going to be a consultative process.

There has not been a lot of changes to the Policy and Plan documents other than the tables within that show who has oversight over various elements and timelines. The Fraud Risks have been reviewed and updated. Responsible officers shall implement the improvements in the Fraud Risk Register during the year.

The Fraud Risk Register is a living document and shall be updated during the year from time to time as improvements are implemented.

Consultation (Internal/External):

- Executive Leadership Team
- External Contractor Pacifica

Legal Implications:

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

Financial and Resource Implications:

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

Risk Management Implications:

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



Fraud and Corruption Prevention Policy

Policy Details

Policy Category	Council Policy
Date Adopted	15 June 2022
Endorsed by	Chief Executive Officer
Approval Authority	Council
Effective Date	17 June 2015
Policy Version Number	3
Policy Owner	Director Corporate Services
Contact Officer	Director Corporate Services
Review Date	As required by legislation

Supporting documentation

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

Version History:

Version	Adopted	Comment	eDRMS #
1	17/06/2015	Council Resolution 0615/008	
2	26/02/2020	Council Resolution 0220/018	
3	15/06/2022	Council Resolution xxxx/xxx	



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Intent

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

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

Scope

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

Policy Objective

The policy objective is to:

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

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

Introduction

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

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

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

Policy Statement

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



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

All allegations and suspicions of fraud will receive attention. All substantiated cases will be dealt with appropriately either by criminal, disciplinary or administrative mechanisms suitable to the particular case (having due regard for the rights of all persons, including any person reporting a fraud and of any alleged perpetrator of fraud).

Fraud and Corruption Management Framework

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

The ten elements are:

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

Risk assessment

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

Internal Controls

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

Reporting

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

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



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

Investigation

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

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

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

External Reporting

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

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

Public Interest Disclosure

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

Definitions

TERM	DEFINITION
Corrupt Conduct	Conduct that involves the exercise of a person's official powers in a way that: <ul style="list-style-type: none">• Is not honest or impartial; or• Involves a breach of trust placed in the person as a public officer, either knowingly or recklessly; or• Involves a misuse of Council assets, materials or information; and is for the purposes of providing a benefit to the person or another person or causing a detriment to another person;• Would, if proven constitute a criminal offence or is serious enough to justify a dismissal.
False Disclosure	Disclosure of information relating to fraud or corruption that is made by a person who knows the information to be false or, who is reckless as to whether it is false



TERM	DEFINITION
Fraud	Is the misappropriation of assets, cash or property, through deliberate deception.
Public officer	Includes: <ul style="list-style-type: none">• A Council member• A member of a Local Government body (including a subsidiary of a Council established under the Local Government Act 2009)• An employee or officer of the Council
Public Interest Disclosure	A disclosure made under the Public Interest Disclosure Act 2010 (PID Act) and includes all information and help given by the discloser to the proper authority for the disclosure.
Risk	The effect of uncertainty on objectives in consideration of fraud and corruption risk. This will generally be a negative impact.

Adopted by Council 15th June 2022 by Resolution **0220/018**.

Mark Crawley
Chief Executive Officer



Fraud and Corruption Prevention Control Plan

Policy Details

Policy Category	Council Policy
Date Adopted	15 June 2022
Endorsed by	Chief Executive Officer
Approval Authority	Council
Effective Date	17 June 2015
Policy Version Number	3
Policy Owner	Director Corporate Services
Contact Officer	Director Corporate Services
Review Date	As required by legislation

Supporting documentation

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Policies	<ul style="list-style-type: none"> • Code of Conduct for Employees • Code of Conduct for Councillors • Risk Management Policy • Risk Management Guidelines • Complaints Management Process Policy • Grievance Management Policy • Disciplinary Action Policy
Delegations	<ul style="list-style-type: none"> • Nil
Forms	<ul style="list-style-type: none"> • Nil
Supporting Documents	<ul style="list-style-type: none"> • Crime and Corruption Commission – Fraud and Corruption Control Best Practice Guide • Australian Standard, AS 8001-2008 - Fraud and Corruption Control

Version History:

Version	Adopted	Comment	eDRMS #
1	17/06/2015	Council Resolution 0615/008	
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Intent

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

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

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

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

Scope

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

Policy Objective

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

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

The Plan objectives are to:

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

Responsibilities

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

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



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

Specific Responsibilities

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



	<ul style="list-style-type: none"> • creating an environment in which fraud and corruption is discouraged and readily reported by employees. This should be fostered by the manager's own attitude and behaviours to fraud and corruption and, by the accountability and integrity they both display and encourage from other employees; • ensuring that new employees for whom they are responsible are aware of their responsibilities in relation to fraud and corruption and, of the standard of conduct expected from all employees as outlined in the Carpentaria Shire Council's Code of Conduct and Fraud and Corruption Prevention Policy; • identifying potential fraud and corruption risks; and • leading by example to promote ethical behaviour.
Employees	<p>Employees are responsible for:</p> <ul style="list-style-type: none"> • performing their functions and duties with care, diligence, honesty and integrity; • conducting themselves in a professional manner at all times; • adhering to these guidelines and other Council procedures that have been established to prevent fraud or corruption; • taking care of Council's property which includes avoiding the waste or misuse of Carpentaria Shire Council's resources; • maintaining and enhancing the reputation of Council: • remaining scrupulous in the use of Council information, assets, funds, property, goods or services; and • reporting suspicions of fraud in accordance with the "Reporting Allegations of Fraud" section of this Plan.

Fraud Risk Assessment

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

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

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

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



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

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

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

Reporting Allegations of Fraud

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

A number of reporting options are available, including:

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

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

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

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

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

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

Vexatious, Misleading or False Reporting

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



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

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

Further information may be obtained from the Grievance Management Policy.

Investigation Process

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

It is a reasonable and lawful workplace direction for Council to ask that employees participate in the investigation process. Witnesses are informed of their rights and obligations before an investigation, including information about the terms of reference of the investigation, employee's legislative obligations, the investigation process, natural justice, interviews and what each party can expect from the other during an investigation.

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

Fraud Awareness

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

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

Carpentaria Shire Council will increase community awareness by:

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

Actions to Prevent, Detect and Respond to Fraud



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

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

Phase 1 – Prevention of Fraud and Corruption

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

What		How	Who	When
Element	Component	Action Plan	Oversight	Timeline
Integrated Policy	Fraud and Corruption Prevention Policy and Control Plan	ELT to endorse and promote the Plan and to ensure staff awareness of the plan on an ongoing basis.	CEO	Ongoing
		Include relevant staff who are involved in prevention activities in reviews of the Plan.	CEO	Ongoing
Risk assessment	Risk profile and management	Consider and assess fraud and corruption risk and include in the overall Corporate Risk Register.	CEO	Ongoing
Internal Controls	Corporate Governance Framework	Develop, approve, review and update various governance policies: <ul style="list-style-type: none"> • Code of Conduct – Employees • Code of Conduct - Councillors • Conflict of Interest • Public Interest Disclosure Policy • Fraud and Corruption Prevention Policy • Procurement Policy • Entertainment & Hospitality Policy 	CEO	Ongoing



What		How	Who	When
Element	Component	Action Plan	Oversight	Timeline
		<ul style="list-style-type: none"> • Gifts and Benefits Policy • Related Party Disclosure Policy 		
		Outline clear accountability and reporting responsibilities in staff position descriptions.	CEO	
		Where fraud risks are known to exist (e.g. procurement, capital expenditure management, payroll, travel, entertainment recruitment etc), clearly document work processes and make available to council officers.	Managers	
		Conduct screening of potential new employees. As a minimum all employees should be subject to referee checks, but also consider undertaking Police checks and other relevant background checks.	MHR	
	Accountability and responsibility structures	Monitor recordkeeping for adherence to record keeping and document management policies.	CEO	As required
		Supervisors to monitor compliance with work procedures.	Managers Supervis.	Ongoing
		Supervisors to ensure proper and adequate advice and support is provided to staff on procedures where needed.	Managers Supervis.	
		ELT and managers to demonstrate adherence to work procedures.	ELT Managers	
		Organisation chart to be kept updated and available to all officers.	MHR	
		Include prevention of fraud and corruption as part of job description documentation for all staff	MHR	As required
		Review and update delegations register regularly.	CEO	Ongoing
	Internal Audit	Internal Audit to regularly review governance, risk management and internal control processes, and issue and provide recommendations for improved systems.	DCS	Ongoing



What		How	Who	When
Element	Component	Action Plan	Oversight	Timeline
	Conflicts of Interest and Personal disclosures	Regularly review Conflict of Interest Policy and procedures and keep up to date.	CEO	Ongoing
		Register of Interests for councillors and senior executives must be kept up to date and disclosed where appropriate.	CEO Mayor	Ongoing
		Staff making recommendations to Council to maintain a register of interest and record of any related party transactions.	CEO	Annually
Staff Education and awareness	Policies and procedures	Policies and procedures and other related processes and information must be made available on intranet	CEO	Ongoing
	Training and awareness	Provide appropriate training to all staff on the contents and purposes of the Fraud and Corruption Prevention Policy and Fraud Control Plan	MHR	Annually
		Corporate Plan to refer to values and ethical conduct and how the local government tracks this aspect.	CEO	Ongoing
Code of Conduct	Induction program	Provide each new employee information on fraud and corruption control.	MHR DCS	Within one month of arrival
	Staff training	Promote ethical culture and awareness of fraud and corruption prevention and controls through the code of conduct training.		Annually
	Staff performance and development	Include culture, values and an organisational understanding in the performance appraisal and performance development processes of each council employee.		Annually
Supplier and Community Awareness	Policies and procedures	Include Fraud and Corruption Prevention Policy and Fraud Control Plan on the website. Keep it available for anyone who requests a copy.	CEO	Ongoing
	Training and awareness	Make external parties dealing with the local government aware of the Fraud and Corruption Prevention Policy and Plan.	ELT	



What		How	Who	When
Element	Component	Action Plan	Oversight	Timeline
		Publish guidance on Council website on how to make a complaint or report suspicions of fraud.		
	RTI, Privacy requests and RTI Disclosure Log	Promptly actions requests for information on the plan and publish required information on website.	CEO	

Phase 2 – Detection of Fraud and Corruption

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

What		How	Who	When
Element	Component	Action Plan	Oversight	Timeline
Internal Controls	Work processes	Each functional area should develop clearly documented work procedures which are communicated to staff. Awareness and training of workflows and work processes must be provided	Managers	Ongoing
		Specific functional area processes must be complied with.	Managers	
Public Interest Disclosures	Management of Public Interest Disclosure	Public Interest Disclosure policy and processes will be reviewed and kept updated	CEO	As required
		Management to take all reasonable steps to protect disclosers and ensure all victimisation is dealt with swiftly and appropriately	ELT	Ongoing
		All staff must comply with the policy and procedures	Managers	Ongoing
Internal Reporting	Fraud allegations	Make Fraud Allegation Reporting form readily available to all staff to allow reporting of suspicions of fraud.	DCS	Ongoing
		Maintain appropriate register and records of all allegations received.		
	Internal audit	Ensure that the internal audit plan takes into account fraud risk incidents as reported in the Risk Register.	DCS	Ongoing but minimum as per the Internal Audit Plan
Council to respond promptly to audit findings and recommendations.		CEO		



What		How	Who	When
Element	Component	Action Plan	Oversight	Timeline
	Informal reporting	Culture of reporting to be supported and promoted through induction, training, the intranet, organisational planning and policies and procedures.	Managers	Ongoing
Investigations	Investigation process and procedures	Staff must report all suspected instances of misconduct to the HR Manager or DCS or directly to the CEO	CEO	As required

Phase 3 – Response to Fraud and Corruption

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

What		How	Who	When
Element	Component	Action Plan	Oversight	Timeline
Risk assessment and internal reporting	Fraud Incident Register	Report all alleged or proven fraud and/or corruption instances as a risk incident and record in the Fraud Incident Register.	CEO	Report Incident within 24 hours of identification Update Register within 48 hours of incident reporting
	Fraud Risk reporting	Risk incidents and periodical risk reports are to be used to identify risks, review risks mitigation strategies.	CEO DCS	As required
Investigations	Conduct investigations	Conduct investigations according to Disciplinary Policy and Procedures, Public Interest Disclosures Policy & Procedures.	CEO	Ongoing as required
		The HR Manager, DCS and CEO will decide whether the allegation constitutes improper conduct.		
	Report investigations	Investigation outcomes are to be supported and implemented by such means as are determined by ELT.	ELT	



What		How	Who	When
Element	Component	Action Plan	Oversight	Timeline
Internal Controls	Policies and Procedures	Review policies and procedures taking into account recent risk incidents and in response to recommendations made by investigators, internal or external audit.	CEO	Ongoing as required
Staff education and awareness	Training Awareness program	Reinforce awareness of internal controls/prevention mechanism through training on any new processes or procedures	MHR	Ongoing as required
		State and reinforce Council's stance on fraud and corruption through relevant corporate communications.	CEO	
External reporting	Mandatory reporting	Report fraud and corruption to following agencies in line with legislation: <ul style="list-style-type: none"> • Report suspected corrupt conduct, which includes fraud, to CCC • Notify reportable losses to Auditor General, Minister and Police if relevant. Implement all CCC recommendations	CEO	Ongoing as required
	Governance publications	Report fraud prevention and control matters in Annual Report, Corporate Plan and Operational Plan.	CEO	Annually and as required

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

Review

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

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



Definitions

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

Adopted by Council 15th June 2022 by Resolution **0220/018**.

Mark Crawley
Chief Executive Officer



Fraud Risk Register

No.	Risk	Corporate Plan Ref. (Outcome)	Operational Plan Ref (KPI)	Cause	Consequences	Likelihood	Conseq. Level	Inherent Risk Rating	Existing Risk Treatments	Assessment of Controls / Evaluate Risks	Treatment of Risk	Likelihood	Conseq. Level	Residual Risk Rating	Responsible Officer	Improvements	Treatment Number	Target Risk Rating	Review Interval	Date of Last Review
F01	Theft of Council property, assets, particularly assets such as power tools, equipment, stationary, laptops, consumables, fuel carrying the damage to Council.	4.1 A well governed responsive Council, leading and responding to community values	4.1.3 Develop systems that promote continuous improvement	- Lack of adequate systems to track minor assets - Organisational Culture - Failure to undertake stocktake - Measure of powers and duties - People acting inappropriately - Inadequate security measures	- Financial loss/increased operating costs - Reputation risk - Loss of community confidence - Production /rigging - Inefficiencies due to idle time on jobs - Loss of staff confidence	5 Most Certain	2 Minor	H 64	- Maintain vehicles equipment register to keep track of laptops, etc. that are used by individual staff on a temporary basis. - Loss of staff confidence	Opportunities for improvement	Retain the risk	2 Unlikely	2 Minor	L 40	DCS - Regular Fraud Awareness training to include controls, such as who can procure these items. - Update procurement procedure to include controls, such as Develop a PMA Policy and documented processes			Yearly	16/5/22	
F02	Unauthorised removal or disposal of assets e.g. of obsolescence.	4.1 A well governed responsive Council, leading and responding to community values	4.1.1 Maintain a responsive Council, leading and responding to community values	- Lack of adequate systems to track minor assets - Organisational Culture - Failure to undertake stocktake - Measure of powers and duties - People acting inappropriately - Inadequate security measures	- Financial loss/increased operating costs - Reputation risk - Loss of community confidence - Loss of staff confidence	4 Likely	2 Minor	H 56	- Management to approve asset disposal and details documented and retained as per Asset Disposal Policy.	Opportunities for improvement	Retain the risk	4 Likely	2 Minor	H 56	ELT - Regular Fraud Awareness training to advise staff, removal of Council assets by staff is not appropriate event /damaged. - Asset Disposal Policy to be communicated / understood.			Yearly	16/5/22	
F03	Unauthorised private use of motor vehicles. Falsification of vehicle log.	4.1 A well governed responsive Council, leading and responding to community values	4.1.3 Develop systems that promote continuous improvement	- Measure of powers and duties - Inadequate internal controls - People acting inappropriately - Inadequate security measures	- Financial loss/increased operating costs - Reputation risk - Loss of community confidence	4 Likely	2 Minor	H 56	- Policy and consequence not enforced	Inadequate/Poor	Retain the risk	3 Possible	2 Minor	M 48	- External review of FBTT Return underway - ELT work to implement relevant recommendations. - All Policy to convey expectations to staff regarding careful use of Council assets. - Register of MY personal, commuter use established. - Log book's mandated for personal use.			Quarterly	16/5/22	
F04	Use of petrol card for private vehicle or unauthorised purchases.	4.1 A well governed responsive Council, leading and responding to community values	4.1.3 Develop systems that promote continuous improvement	- Measure of powers and duties - Inadequate internal controls - People acting inappropriately - Inadequate security measures	- Financial loss/increased operating costs - Reputation risk - Loss of community confidence	3 Possible	2 Minor	M 48	- Reconciliations of purchases on petrol cards.	Opportunities for improvement	Retain the risk	2 Unlikely	2 Minor	L 40	DCS - Regular Fraud Awareness training to advise staff this behaviour is a violation. - Implement relevant recommendations. - Register of fuel cards - Implement controls directly with supplier to require Employee number, Customer Reference, Plant Number			Quarterly	16/5/22	
F05	Fraudulent travel allowance claims.	4.1 A well governed responsive Council, leading and responding to community values	4.1.1 Maintain a responsive Council, leading and responding to community values	- Measure of powers and duties - Inadequate internal controls - People acting inappropriately	- Financial loss/increased operating costs - Reputation risk - Loss of community confidence - Loss of staff confidence	2 Unlikely	2 Minor	L 40	- Monitor all travel allowances for reasonableness, with any expenses supported with original receipts.	Opportunities for improvement	Retain the risk	2 Unlikely	2 Minor	L 40	ELT - Regular Fraud Awareness training - Implement recommendations from External Contract Review					
F06	Accounts Payable False invoices accepted for goods not received.	4.1 A well governed responsive Council, leading and responding to community values	4.1.3 Develop systems that promote continuous improvement	- Measure of powers and duties - Inadequate internal controls - People acting inappropriately - Inadequate security measures	- Financial loss - Reputation risk	3 Possible	4 Major	E 72	- Validate invoice prices with supporting documentation - Payment made on the basis of third party confirmation - Segregation of duties in some areas.	Opportunities for improvement	Retain the risk	2 Unlikely	4 Major	H 64	- Review purchasing process to ensure adequate segregation of goods received on ground from purchasing requisition and approvals. - Implement Procurement Procedure, forcing actual Goods - Regular Fraud Awareness training. - Implement new software, with better controls			Six Monthly	16/5/22	
F07	Collusive practice between supplier and purchasing officer resulting in money spent on ordering.	4.1 A well governed responsive Council, leading and responding to community values	4.1.3 Develop systems that promote continuous improvement	- Measure of powers and duties - Inadequate internal controls - People acting inappropriately - Inadequate security measures	- Financial loss - Reputation risk	2 Unlikely	3 Moderate	M 52	- Segregation of duties between purchasing officer and officer authorising payment. - Management sign off of invoices.	Opportunities for improvement	Retain the risk	2 Unlikely	3 Moderate	M 52	ELT - Invoiced and Procurement Procedure, requiring explanations on invoices. - Regular Fraud Awareness training.			Six Monthly	16/5/22	
F08	Accounts Payable: System is manipulated to ensure credits to non-student supplier.	4.1 A well governed responsive Council, leading and responding to community values	4.1.3 Develop systems that promote continuous improvement	- Measure of powers and duties - Inadequate internal controls - People acting inappropriately - Inadequate security measures	- Financial loss - Reputation risk	2 Unlikely	4 Major	H 64	- Payment requires the authorisation of two designated individuals - Prior part authorisation EFTSurre required for changes to Masterfile changes reviews.	Adequate	Retain the risk	2 Unlikely	4 Major	H 64	MFA - Regular Fraud Awareness training.			Yearly	16/5/22	
F09	Accounts Receivable: Non collection of revenue from students. Inadequate provided meticulously in regard to releases or friends. Unchecked from release for services provided may be misappropriated by collecting officer.	4.1 A well governed responsive Council, leading and responding to community values	4.1.3 Develop systems that promote continuous improvement	- Measure of powers and duties - Inadequate internal controls - People acting inappropriately - Inadequate security measures	- Financial loss - Reputation risk	2 Unlikely	2 Minor	L 40	- Person independent of the collection process to reconcile fees and charges receivable based on clear records of services provided to money actually received from customer/member or public to money actually received. - Adequate segregation of duties	Adequate	Retain the risk	2 Unlikely	2 Minor	L 40	MFA - Regular Fraud Awareness training.			Yearly	16/5/22	



Fraud Risk Register

No.	Risk	Corporate Plan Ref. (Outcome)	Operational Plan Ref (KPI)	Causes	Consequences	Likelihood	Conseq. Level	Inherent Risk Rating	Existing Risk Treatments	Assessment of Controls / Evaluate Risks	Treatment of Risk	Likelihood	Conseq. Level	Residual Risk Rating	Responsible Officer	Improvements	Record/Ref Number	Target Risk Rating	Review Interval	Date of Last Review
F10	Cash handling theft	4.1 A well governed responsive Council providing effective leadership and management, and respecting community values	4.1.3 Develop systems that promote continuous improvement	<ul style="list-style-type: none"> - Petty Cash/ Cash Receipts not being used - Receipts not issued for money received - Under-stating or failure to bank cash receipts - Inadequate internal controls - People acting inappropriately - Poor physical security - Poor segregation of duties - Staff member fraudulently uses Council funds for an alternative purpose. 	<ul style="list-style-type: none"> - Financial Loss - Reputational Risk - Government Intervention 	2 Unlikely	2 Minor	L 40	<ul style="list-style-type: none"> - Policy on what can be claimed through petty cash. - Claims not paid without authorisation. - Petty cash claims should contain details of the item - Adequate physical security over cash holdings e.g. access to locked box or safe and combination limited, safe locked etc. in place to enable regular reconciliation - Management oversight of client funds process - Management of duties among staff dealing with client funds 	Adequate	Retain the risk	2 Unlikely	2 Minor	L 40	MFA A	<ul style="list-style-type: none"> - Regular Fraud Awareness training. - Encourage payment by electronic means. - Remove of easy cash where not required. 		Yearly	16/5/22	
F11	Statement of procurement policy using credit cards	4.1 A well governed, responsive Council providing effective leadership and management, and respecting community values	4.1.3 Develop systems that promote continuous improvement	<ul style="list-style-type: none"> - Misuse of credit card for private or unauthorised purchases. - Inadequate internal controls - Inappropriate financial delegation levels - Lack of monitoring and testing - Overpayment of employees due to - Unauthorised overtime worked - Inadequate internal controls - Payments above approved entitlements - Fraudulent recording of attendance/time. - Leave taken exceeds entitlement. - Inadequate internal controls - People acting inappropriately - Fabrication of timesheets and other payroll-related documents - Suspicious payments - Deceitful conduct and approval of fraudulent payroll claims - Unauthorised expenditure of council resources - Misuse/misrepresentation of contract - Collusion between staff to cover unauthorised absence/leave, tied employment conditions - Unauthorised employee expenses - Unauthorised / inappropriate changes to master file details - Leave taken exceeds entitlement (without approval) - Collusion between staff to cover unauthorised absence/leave. 	<ul style="list-style-type: none"> - Reputational Risk - Financial Loss - Increase in public service costs - Claims and dismissal 	3 Possible	3 Minor	M 48	<ul style="list-style-type: none"> - Policy on credit card use. - Regular reviews of purchases on credit card statements. - Card transaction limits 	Opportunities for improvement	Retain the risk	3 Possible	2 Minor	M 48	DCS	<ul style="list-style-type: none"> - Review use of credit cards, and reduce the number of employees that does not show approved signpost and approval of timesheets - Regular Fraud Awareness training. - Better Definition/reporting for supervisors to review prior to approval of timesheets. 		Yearly	16/5/22	
F12	Payroll	4.1 A well governed, responsive Council providing effective leadership and management, and respecting community values	4.1.3 Develop systems that promote continuous improvement	<ul style="list-style-type: none"> - Unauthorised expenditure of council resources - Misuse/misrepresentation of contract - Collusion between staff to cover unauthorised absence/leave, tied employment conditions - Unauthorised employee expenses - Unauthorised / inappropriate changes to master file details - Leave taken exceeds entitlement (without approval) - Collusion between staff to cover unauthorised absence/leave. 	<ul style="list-style-type: none"> - Efficiency and productivity lost - Failure to deliver services or projects - Reputational Risk - Financial Loss - Poor Customer Service 	3 Possible	3 Moderate	H 60	<ul style="list-style-type: none"> - Principle of least privileges access permissions - Supervisors approve staff timesheets or attendance records - Supervisors review timesheets/records of major cost fluctuations - overtime worked > set levels. - Independent review of payment file and reports by MHR prior to authorisation. - Exception reporting available for Management Review. 	Opportunities for improvement	Retain the risk	3 Possible	2 Minor	M 48	DCS	<ul style="list-style-type: none"> - Regular Fraud Awareness training. - Better Definition/reporting for supervisors to review prior to approval of timesheets. 		Quarterly	16/5/22	
F13	Branch of financial delegations	4.1 A well governed, responsive Council providing effective leadership and management, and respecting community values	4.1.3 Develop systems that promote continuous improvement	<ul style="list-style-type: none"> - Misuse of powers and duties - Inadequate internal controls - People acting inappropriately 	<ul style="list-style-type: none"> - Financial Risk - Reputational Risk - Regulatory sanction - Theft of assets 	3 Possible	3 Moderate	H 60	<ul style="list-style-type: none"> - Financial delegations published to organisation. - Payables Officer review prior to payment. - Budget centres in place to review expenditure. - Expenditure over \$50k to \$250k for approval. 	Opportunities for improvement	Retain the risk	3 Possible	3 Moderate	H 60	DCS	<ul style="list-style-type: none"> - Upgraded financial system to a modernised online system that does not allow approvals beyond set delegation limits. - Implement Fraud Awareness Procedure. 		Six Monthly	16/5/22	
F14	Human Resources	4.1 A well governed, responsive Council providing effective leadership and management, and respecting community values	4.1.3 Develop systems that promote continuous improvement	<ul style="list-style-type: none"> - Misuse of powers and duties - Inadequate internal controls - False claims / references / employment history / qualifications - Lack of rigor in recruitment - Applications for employment using false personal details - Unauthorised appointments. 	<ul style="list-style-type: none"> - Reputational Risk - Inadequate provision of Community services - Regulatory Risk - Adverse community effect - Poor employee skills and fit. 	2 Unlikely	3 Moderate	M 52	<ul style="list-style-type: none"> - Appropriate delegations and procedures for appointment of staff. - Policies for new staff, terminations and OMS. - Carry out thorough references checks and provide independent references as written records checks on potential new employees. - Obtain copies of original documentation to verify personal details including qualifications. - Recruitment and Selection Procedure - Anti-Bribe and Equal Employment Opportunity Policy - Employee Development Policy - Directors sign-off letter of Offer prior to CEO Appointment. - Managers interviewing staff 	Adequate	Avoid the risk	2 Unlikely	2 Minor	L 40	ELT			Yearly	16/5/22	



Fraud Risk Register

No.	Risk	Corporate Plan Ref. (Outcome)	Operational Plan Ref (KPI)	Cause	Consequences	Likelihood	Conseq. Level	Inherent Risk Rating	Existing Risk Treatments	Assessment of Controls / Evaluate Risks	Treatment of Risk	Likelihood	Conseq. Level	Residual Risk Rating	Responsible Officer	Improvements	Treatment	Record/Ref Number	Target Risk Rating	Review Interval	Date of Last Review
F15	WHS	4.1 A well governed, responsive Council, providing effective leadership and management, and respecting community values	4.1.3 Develop systems that promote continuous improvement	<ul style="list-style-type: none"> - Misuse of powers and duties - People acting inappropriately/ - Active discouragement/retaliate to report WHS incidents/ hazards / near misses - Not reporting or covering up negligent or unsafe work - Fraudulent practices associated with workers compensation claims 	<ul style="list-style-type: none"> - Reputational Risk - Financial Risk - Less productive workforce - Efficacy and productivity lost 	3 Possible	3 Moderate	H 60	<ul style="list-style-type: none"> - Suspicion of fraudulent worker's compensation claims - WHS is promoted within the Council and regular meetings take place. 	Adequate	Retain the risk	2 Unlikely	3 Moderate	M 52	ELT					Yearly	16/5/22
F16	ICT system manipulation	4.1 A well governed, responsive Council, providing effective leadership and management, and respecting community values	4.1.3 Develop systems that promote continuous improvement	<ul style="list-style-type: none"> - Misuse of powers and duties - People acting inappropriately/ - Inappropriate employee access to systems - Using system tools to act in a corrupt way - Information obtained by misappropriation of Council software or digital information - Unauthorized access to power log-in details - Unauthorised access to electronic records - Unauthorised/unintended backdoor/secret access to information - Installation of illegal software - Inefficient user protection against Malware / Ransomware 	<ul style="list-style-type: none"> - Breaches, gaining computer access or inappropriate access by staff, leading to: - Exposure of confidential information - Tampering with administrative/financial - Illegal (grain) software installed - Loss of data following incident, resulting in people taking unfair advantage of situation (e.g. stealing assets not recorded, etc) - Efficacy and productivity lost - Failure to deliver services or projects 	3 Possible	4 Major	E 72	<ul style="list-style-type: none"> - Restrict access to specific records e.g. payroll, general ledger - Physical security of computers at times, particularly during periods of unattended workstations when unattended for long periods e.g. lunchtime - Delete computer access for staff leaving council, as soon as they leave - Regular updating and proper labeling and disk storage of important systems and data - External organisation employed to provide Managed Services - Insurance to support Council if a major event occurred 	Opportunities for improvement	Transfer the risk	3 Possible	4 Major	E 72		<ul style="list-style-type: none"> - Implement training for phishing, spam etc to educate staff - Review ICT systems 			Six Monthly	16/5/22	
F17	Misuse / misappropriation of physical and/or financial assets	4.1 A well governed, responsive Council, providing effective leadership and management, and respecting community values	4.1.3 Develop systems that promote continuous improvement	<ul style="list-style-type: none"> - Deliberate theft - Inadequate internal controls - People acting inappropriately - Property obtained by misappropriation of Council - Poor physical security - Lack of segregation of duties - Inappropriate internet funds transfer by unscrupulous employee - Confidential (internet banking details stolen and misused by outsiders. 	<ul style="list-style-type: none"> - Financial Loss - Reputational Risk - Prosecution /Litigation Risk - Government intervention 	3 Possible	4 Major	E 72	<ul style="list-style-type: none"> - Legislated responsibility of employees to safeguard and secure all Council assets - Employee and Council Code of Conduct - Restrict internet banking access to limited number of authorized individuals, whose passwords are confidential when those people leave the organisation. - Require internet funds transfer to have the approval of two designated individuals. - Third Party authentication of BSB and Account changes 	Opportunities for improvement	Retain the risk	2 Unlikely	3 Moderate	M 52	<ul style="list-style-type: none"> - Regular Fraud Awareness Training - Develop and implement procurement procedure - Communicate Asset Disposal Policy 			Yearly	16/5/22		
F18	Inventory/Stores: Goods taken for personal use, Unauthorized disposal of goods.	4.1 A well governed, responsive Council, providing effective leadership and management, and respecting community values	4.1.1 Maintain a focus on integrity, Accountability Transparency/in all that we do	<ul style="list-style-type: none"> - Deliberate theft - Inadequate internal controls - People acting inappropriately/ - Benefit obtained by misappropriation of Council property - Poor physical security - Lack of segregation of duties - Inadequate internal controls 	<ul style="list-style-type: none"> - Financial loss - Reputational risk 	3 Possible	3 Moderate	H 60	<ul style="list-style-type: none"> - Adequate physical security maintained at the stores - Regular reviews of the reasonableness of stores - Regular store takes with results documented and reported to line management. - Persons independent of the stores to be involved in stock takes where possible - Written management approval required for disposal. 	Opportunities for improvement	Retain the risk	3 Possible	2 Minor	M 48	<ul style="list-style-type: none"> - Regular Fraud Awareness Training - Develop and implement procurement procedure - DCS - Enforce supervisory responsibility of items issued, ie fuel - Install CCTV 			Yearly	16/5/22		
F19	Breach of Procurement Policy	4.1 A well governed, responsive Council, providing effective leadership and management, and respecting community values	4.1.3 Develop systems that promote continuous improvement	<ul style="list-style-type: none"> - Misuse of powers and duties - Inadequate internal controls - People acting inappropriately/ - Benefit of financial advantage - Collusion - Conflicts of interest - Favoritism - Procurement measures of gift and benefits by suppliers - Staff with personal pecuniary interests in purchases or contracts - Collusive practices between supplier and purchasing - Kickbacks or sporting fees paid to staff for preferential selection. - Purchasing goods for private use - Works proceeding without a Contract in place. 	<ul style="list-style-type: none"> - Reputational Risk - Financial Loss (not best price) - Regulatory sanction (transparency) - Inappropriate decision-making (greedy and Government intervention 	3 Possible	3 Moderate	H 60	<ul style="list-style-type: none"> - Procurement Co-ordinator oversees procurement process - Policy lists established to simplify procurement process for large contracts. 	Opportunities for improvement	Retain the risk	2 Unlikely	3 Moderate	M 52	<ul style="list-style-type: none"> - Regular Fraud Awareness Training - Improved use of VPS System - Decrease reliance on Print Here Rate PSL for large jobs that require a PSL - Request Quotations for Mardin to Large Size Contracts, where a PSL exists. - Adoption of online requisitioning to trace all purchases request and all purchasing items in computer system 			Yearly	16/5/22		
F20	Lack of respect for Policy Management Issues	4.1 A well governed, responsive Council, providing effective leadership and management, and respecting community values	4.1.3 Develop systems that promote continuous improvement	<ul style="list-style-type: none"> - Misuse of powers and duties - Inadequate internal controls - People acting inappropriately/ - Overriding of financial and operational delegations - Promoting and delegation for manipulation/purchase orders also signing for goods delivered/ - Orders fraudulently changed 	<ul style="list-style-type: none"> - Financial Risk - Regulatory sanction - Litigation Risk 	3 Possible	3 Moderate	H 60	<ul style="list-style-type: none"> - Financial Policy and Peoples Framework for report guidelines - Adequate Policy and Procedure documents in place. 	Adequate	Retain the risk	2 Unlikely	2 Minor	L 40	<ul style="list-style-type: none"> - Regular Fraud Awareness Training - Bullying and Harassment Training 			Yearly	16/5/22		



Fraud Risk Register

No.	Risk	Corporate Plan Ref. (Outcome)	Operational Plan Ref (KPI)	Cause	Consequences	Likelihood	Conseq. Level	Inherent Risk Rating	Existing Risk Treatments	Assessment of Controls / Evaluate Risks	Treatment of Risk	Likelihood	Conseq. Level	Residual Risk Rating	Responsible Officer	Improvements	Record/Ref Number	Target Risk Rating	Review Interval	Date of Last Review
F21	Inappropriate secondary employment; a.g. staff provide additional services to client in return for cash.	4.1.1 A well governed providing effective management, and reporting community values	4.1.1 Maintain a focus on integrity, Accountability and Transparency in all that we do	- Misuse of powers and duties - Inadequate internal controls - People acting inappropriately - Collusion	- Financial Risk - Reputational risk - Litigation risk	3 Possible	M 48	H 48	- Human policy on Secondary employment made available - Register of secondary employment maintained	Adequate	Retain the risk	2 Unlikely	2 Minor	L 40	CEO	- Regular Fraud Awareness Training			Yearly	16/5/22
F22	Staff member running business from council (using council equipment, facilities and/or supplies during employment hours)	4.1.1 A well governed providing effective management, and reporting community values	4.1.1 Maintain a focus on integrity, Accountability and Transparency in all that we do	- Misuse of powers and duties - Inadequate internal controls - People acting inappropriately - Collusion	- Financial Risk - Reputational risk - Litigation risk	3 Possible	M 48	M 48	- Distribute council's code of conduct to all staff. - Leave policy/memo available to all staff. - Adequate management supervision.	Adequate	Retain the risk	2 Unlikely	2 Minor	L 40	MHR	- Regular Fraud Awareness Training			Ongoing	16/5/22
F23	Obtaining a benefit	4.1.1 A well governed providing effective management, and reporting community values	4.1.1 Maintain a focus on integrity, Accountability and Transparency in all that we do	- Staff member accepts personal gift or benefit from client - Staff member seeks a gift or benefit from a client. - Supplier Fraudulent - People acting inappropriately - Obtaining benefit by deceit - Inadequate internal controls - Misuse of powers and duties - Corruption conduct	- Influence over decision-making - Reputational Risk - Financial Impact - Protection risk - Financial risk - Failure to deliver services or projects - Poor Customer Service - Government Intervention	3 Possible	H 60	H 60	- Distribute council's code of conduct to all staff. - Gifts and benefits policy made available to all staff and - Public Interest Disclosure Policy - (Original) evidence of claims required to be submitted with appropriate request for reimbursement forms - Council Remuneration, Expenses Reimbursement and Resource Policy - Guidelines Managing Conflicts of Interest & Material personal interests	Opportunities for improvement	Avoid the risk	3 Possible	3 Moderate	H 60	ELT	- Regular Fraud Awareness Training - Implement Procurement Procedure			Yearly	16/5/22
F24	Breach of confidentiality	4.1.1 A well governed providing effective management, and reporting community values	4.1.1 Maintain a focus on integrity, Accountability and Transparency in all that we do	- Misuse of confidential information - Unauthorised access or release of confidential information - Inadequate internal controls - People acting inappropriately - Poor records management	- Reputational Risk - Financial Loss - Regulatory sanction - Prosecution / Legal actions	4 Likely	H 68	H 68	- Code of conduct - Permissions of least privilege	Fair	Avoid the risk	3 Possible	3 Moderate	H 60	CEO	- Regular Fraud Awareness Training			Yearly	16/5/22
F25	Forgery and falsification of documents	4.1.1 A well governed providing effective management, and reporting community values	4.1.1 Maintain a focus on integrity, Accountability and Transparency in all that we do	- Unauthorised approval of documents by staff member as if on behalf of person - Forgery of documents or forms - Misuse of powers and duties - Inadequate internal controls - Payments to fictitious supplier or agency - Forgery to mislead or misrepresent - Failure to obtain benefit - False claims on applications for order or grants	- Financial Risk - Reputational Risk - Prosecution - Decrease in community services delivered - Government intervention	2 Unlikely	M 52	M 52	- Segregation of duties/supervisor authorisation required - Quality checks - Document signing policy - Fraud and Corruption Prevention Policy - Fraud and Corruption Control Plan - Public Interest Disclosure Policy - Fraud and Corruption Control Plan - Public Interest Disclosure Policy - Employee and Council Codes of Conduct - Records management system protocols	Adequate	Avoid the risk	2 Unlikely	3 Moderate	M 52	CEO	- Regular Fraud Awareness Training			Yearly	16/5/22
F26	Failure to declare conflict of interest	4.1.1 A well governed providing effective management, and reporting community values	4.1.1 Maintain a focus on integrity, Accountability and Transparency in all that we do	- Misuse of powers and duties - Inadequate internal controls - People acting inappropriately	- Reputational Risk - Financial Loss - Influence over decision-making - Decrease in community services delivered - Government Commission intervention	3 Possible	H 60	H 60	- Fraud and Corruption Prevention Policy - Fraud and Corruption Control Plan - Public Interest Disclosure Policy - Employee and Council Codes of Conduct - Guidelines Managing Conflicts of Interest and Material Personal Interests - Councils of Conduct and Staff when approached by a Lobbyist - Related Party Disclosure Policy - Related Party Disclosure Guide - Conflict of Interest Register in Procurement	Adequate	Avoid the risk	2 Unlikely	3 Moderate	M 52	CEO	- Regular Fraud Awareness Training			Yearly	16/5/22
F27	Misrepresentation of Council	4.1.1 A well governed providing effective management, and reporting community values	4.1.1 Maintain a focus on integrity, Accountability and Transparency in all that we do	- People acting inappropriately - Inappropriate expression of personal views of Council - Inadequate internal controls - Systemic, communication and social media	- Reputational Risk - Legal Risk - Loss of Confidential Information	2 Unlikely	L 40	L 40	- Code of Conduct	Opportunities for improvement	Avoid the risk	2 Unlikely	2 Minor	L 40	MHR	- Regular Fraud Awareness Training - Implement Social Media Policy			Yearly	16/5/22
F28	Misuse and abuse of position.	4.1.1 A well governed providing effective management, and reporting community values	4.1.1 Maintain a focus on integrity, Accountability and Transparency in all that we do	- Misuse of powers and duties - Inadequate internal controls - Failure to disclose Conflicts of Interest or Material Personal Interests - Corruption conduct - Organizational culture allows - Inadequate figure in recruitment	- Reputational risk - Financial loss - Inadequate provision of Community services - Inadequate skills and experience	2 Unlikely	L 40	L 40	- Policies for new staff, inductions and OKS. - Carry out thorough reference checks and pre-employment screening such as criminal record checks on all staff. - Obtain copies of original documentation to verify personal details including qualifications. - Recruitment and Selection Procedures - Anti-Corruption and Staff Employment Opportunity Policy - Probationary Employment Policy	Adequate	Avoid the risk	2 Unlikely	2 Minor	L 40	MHR	- Regular Fraud Awareness Training			Yearly	16/5/22



Fraud Risk Register

No.	Risk	Corporate Plan Ref. (Outcome)	Operational Plan Ref (KPI)	Cause	Consequences	Likelihood	Conseq. Level	Inherent Risk Rating	Existing Risk Treatments	Assessment of Controls / Evaluate Risks	Treatment of Risk	Likelihood	Conseq. Level	Residual Risk Rating	Responsible Officer	Improvements	Record/Ref Number	Target Risk Rating	Review Interval	Date of Last Review
F29	Absence of debt collection	4.1.1 A well governed responsive Council providing effective management, and respecting community values	4.1.1 Maintain a focus on integrity, Accountability and Transparency in all that we do	<ul style="list-style-type: none"> Inadequate internal controls Deliberate evasion of payments owing to Council 	<ul style="list-style-type: none"> Financial Risk Reputational Risk Loss of revenue 	2 Unlikely	2 Minor	L 40	<ul style="list-style-type: none"> Appropriate and documented processes for requests for the reduction/concessions Approval of Write off required Independent review of outstanding amounts 	Adequate	Avoid the risk	2 Unlikely	2 Minor	L 40	MFA A	Regular Fraud Awareness Training			Yearly	16/5/22
F30	Document destruction	4.1.1 A well governed responsive Council providing effective management, and respecting community values	4.1.1 Maintain a focus on integrity, Accountability and Transparency in all that we do	<ul style="list-style-type: none"> Inadequate internal controls People acting inappropriately Unauthorized alteration / destruction / removal of records 	<ul style="list-style-type: none"> Reputational Risk Prevention Risk Regulatory Sanction Financial Loss Potential service destruction 	2 Unlikely	3 Moderate	M 52	<ul style="list-style-type: none"> Records Management Business Rules Document Disposal Policy Code of Conduct 	Adequate	Retain the risk	2 Unlikely	2 Minor	L 40	MFA A	Regular Fraud Awareness Training			Yearly	16/5/22
F31	Insurance Fraud	4.1.1 A well governed responsive Council providing effective management, and respecting community values	4.1.1 Maintain a focus on integrity, Accountability and Transparency in all that we do	<ul style="list-style-type: none"> Inadequate internal controls People acting inappropriately Fabrication of insurance claims Hidden insurance claims 	<ul style="list-style-type: none"> Financial Risk Prevention Risk Reputational Risk Uninsurable for future events 	2 Unlikely	2 Minor	L 40	<ul style="list-style-type: none"> Claims process Policyholder maintained for Property, Motor Vehicles, Marine Hill 	Adequate	Avoid the risk	2 Unlikely	2 Minor	L 40	DCS	Regular Fraud Awareness Training			Yearly	16/5/22
F32	Grant Fraud	4.1.1 A well governed responsive Council providing effective management, and respecting community values	4.1.1 Maintain a focus on integrity, Accountability and Transparency in all that we do	<ul style="list-style-type: none"> Inadequate internal controls People acting inappropriately Misuse of powers and duties Fabrication of information to gain grant funding 	<ul style="list-style-type: none"> Financial Risk Reputational Risk Litigation / legal challenge Ability to fund legitimate projects Community improvements not made Envelope and resending in undigested cost to Council Manual or government intervention 	2 Unlikely	2 Minor	L 40	<ul style="list-style-type: none"> Maintain a Grant Register in the Budget Regular Project Meetings PM's encouraged to monitor eligibility of expenditure Grant Audits 	Adequate	Avoid the risk	1 Rare	2 Minor	L 32	ELT	Regular Fraud Awareness Training			Yearly	16/5/22
F33	Selection	4.1.1 A well governed responsive Council providing effective management, and respecting community values	4.1.1 Maintain a focus on integrity, Accountability and Transparency in all that we do	<ul style="list-style-type: none"> People acting inappropriately Misuse of powers and duties Payment / receipts of secret commissions to achieve an outcome / influence a decision 	<ul style="list-style-type: none"> Reputational risk Financial Risk Litigation / Legal Risk Floor value for money Regulatory sanction 	3 Possible	3 Moderate	H 60	<ul style="list-style-type: none"> Gifts and Benefits Policy Procurement Policy Code of Conduct 	Adequate	Retain the risk	2 Unlikely	2 Minor	L 40	MFR	Regular Fraud Awareness Training			Yearly	16/5/22



Fraud Risk Register

***Consequence Table**

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

**taken from CSC Risk Management Guidelines*

***Likelihood Table**

Rating	Description	Indicative Frequency Values	Description	Probability
1	Rare	Event may occur once in every 50 to 100 years	The event may occur only in exceptional circumstances.	<5%
2	Unlikely	Event may occur once between 10 to 50 years	Event could occur at some time but is not considered likely.	<35%
3	Possible	Event may occur once in every 3 to 10 years.	The event might occur at some time.	>35%
4	Likely	Will probably occur on one occasion in the coming year.	The event will probably occur in most circumstances.	>65%
5	Almost Certain	Greater than one or more per annum.	The event is expected to occur in most circumstances.	>95%



Fraud Risk Register

Assessment of Risk: Consequence Matrix (taken from Carpentaria Shire Council's Risk Management Guideline)

Consequence	Rating	Open/known – Business Continuity	Environmental	Information Technology	Strategic/Corporate Governance – Political	Human Resources	Infrastructure, Asset & Property	Workplace Health & Safety	Financial and Economic	Management Effort
Catastrophic	6	The continuing failure of Council to deliver essential services. The removal of key revenue generation sources of Carpentaria Shire Council. Loss of grant funding.	Widespread and irreversible environmental damage attributed by the State Government to the actions of Carpentaria Shire Council.	Widespread, long-term loss of IT services/hardware. Widespread, long-term loss of IT network/hardware.	Loss of State Government support with seating criticism and removal of the Council. National media exposure. Loss of power and influence restricting decision making and capabilities.	Staff issues cause continuing failure to deliver essential services.	Widespread, long-term loss of substantial key assets and infrastructure.	Fatalty or significant disability. Irreversible.	High financial loss, for example: \$1M of revenue or budget and/or large business or flow on effects. Irreversible and flow on effects.	A critical event or disaster that could lead to the collapse of the business.
Major	4	Widespread failure to deliver services through strategic objectives and service plans. Long-term failure of Council causing lengthy service interruption.	Severe environmental impact requiring significant remedial action. Potential for significant breach of compliance codes of practice.	Widespread, short to medium term loss of key IT services/hardware. Widespread, short to medium term loss of IT network/hardware.	State, media and public concern. Significant adverse attention and long term loss of support from Carpentaria Shire residents. Adverse impact and intervention by Government.	Staff issues cause widespread failure to deliver services through strategic objectives and service plans. Significant failure of day-to-day service delivery.	Widespread, short to medium term loss of key assets and infrastructure.	Significant injuries. Lost time of more than 1 working day.	High financial loss, for example: \$500,000 to \$1M of revenue or budget and/or economic loss of large businesses or employees and flow on effects.	A critical event, that, with appropriate management can be overcome.
Medium	3	Failure to deliver minor strategic objectives and service plans. Temporary & recoverable failure of Council causing intermittent service interruption for a week.	Moderate impact on the environment, not long term or recoverable damage. May require remedial action or mitigation measures.	Short to medium term loss of key IT services/hardware. Short to medium term loss of IT network/hardware.	Significant state-wide concern exposure and short term loss of support from Carpentaria Shire residents. Adverse impact and intervention by another local government & GAO.	Staff issues cause severe day to day service delivery.	Short to medium term loss of key assets and infrastructure.	Medical treatment. Lost time of up to 4 working days.	High financial loss, for example: \$250,000 to \$499,999 of revenue or budget and/or economic loss of 2 large businesses or employees and flow on effects.	A significant event which can be managed under normal circumstances.
Minor	2	Temporary and recoverable failure of Council causing intermittent service interruption for several days.	Minor environmental damage such as minor soil/water/air pollution.	Minor loss/damage. Repairs required.	Minor local community concern manageable through good public relations. Adverse impact by another local government.	Staff issues cause severe day to day service delivery.	Minor loss/damage. Repairs required.	First aid treatment. No lost time.	Minor financial loss, for example: \$50,000 to \$249,999 of revenue or budget and/or economic loss of 2 small businesses and flow on effects.	An event, the impact of which can be managed, but management effort is required.
Insignificant	1	Negligible impact of Council brief service-interruption for several hours to a day.	Damage where repairs are required however equipment still operational.	Transient matter e.g. Customer complaint, resolved in day-to-day management.	Negligible impact from another local government.	Staff issues cause negligible impact on day-to-day service delivery.	Damage where repairs are required however safety or infrastructure is still operational.	No injury.	Low financial loss, for example: below \$50,000 and/or economic loss of 2 small businesses.	An event, the impact of which can be absorbed through normal activity.

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10.5 PROCUREMENT POLICY

Attachments:	10.5.1. Procurement Policy ↓
Author:	Julianne Meier - Director Corporate Services
Date:	6 June 2022
Key Outcome:	A well governed, responsive Council, providing effective leadership and management, and respecting community values
Key Strategy:	Maintain a focus on integrity, Accountability and Transparency in all that we do

Executive Summary:

Pursuant to section 198 of the *Local Government Regulation 2012*, Council has a statutory obligation to have a Procurement Policy and this policy is to be reviewed annually. The revised Procurement Policy is presented for adoption.

RECOMMENDATION:

That Council adopts the Procurement Policy as presented.

Background:

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

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

In undertaking the review of the Procurement Policy, it has been confirmed that this policy complies with legislative requirements and there have been changes to the Policy. The most notable change is from now on, all procurement over \$200,000 will need to be processed through the Vendor Panel portal using the multi party evaluation functionality.

This requirement is to protect staff, contractors and other parties and is good governance as the software records all parties to the evaluation, individual scoring, comments etc. and all records are available for retrieval in future.

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

Consultation (Internal/External):

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

Legal Implications:

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

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

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

Financial and Resource Implications:

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

Risk Management Implications:

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



Procurement Policy

Policy Category	Council Policy
Date Adopted	15 June 2022
Endorsed by	Chief Executive Officer
Approval Authority	Council
Effective Date	1/7/2022
Policy Version Number	8
Policy Owner	Director of Corporate Services
Contact Officer	Procurement Coordinator
Review Date	June 2023

Supporting documentation

Legislation	<ul style="list-style-type: none"> • <i>Local Government Act 2009</i> • <i>Local Government Regulation 2012</i> • <i>Public Sector Ethics Act 1994</i> • <i>ISO 26000 Guidance on Social Responsibility</i>
Policies	<ul style="list-style-type: none"> • Code of Conduct for Officers • Corporate Credit Card Policy • Local Preference Policy • Procurement Procedure • Gifts and Benefits Policy • Fraud and Corruption Prevention Policy
Delegations	<ul style="list-style-type: none"> • Financial Delegations to Staff
Forms	<ul style="list-style-type: none"> • Authority to Tender Form
Supporting Documents	<ul style="list-style-type: none"> • Corporate Plan 2021 - 2025

Version History:

Version	Adopted	Comment	eDRMS #
8	15/06/2022	Draft presented to Council 15/06/2022	
7	16/06/2021	Council Resolution 0621/???	
6	26/02/2020	Council Resolution 0220/023	
5	7/12/2016	Council Resolution 1216/011	

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Intent

To satisfy Council's statutory obligations under Section 198 of the Local Government Regulation 2012 and to establish Council's intent with respect to Procurement. This document sets out Council's policy for the Procurement of goods and services, construction, and services contracts.

- Council's Procurement activities aim to achieve advantageous Procurement outcomes by:
- Promoting value for money with probity and accountability; and
- Advancing Council's economic, social, and environmental policies; and
- Providing reasonable opportunity for competitive local business that comply with relevant legislation to supply to Council;
- Adhering to the sound contracting principles; and
- Promoting compliance with relevant legislation.

In accordance with Section 198 of the *Local Government Regulation 2012*, this policy incorporates relevant requirements regarding the procurement of goods and services and the carrying out of the sound contracting principles.

Scope

This policy applies to employees, agents and contractors (including temporary contractors) of Council, collectively referred to in this policy as "officers".

Policy Statement

Centre-Led Procurement Structure

Council has adopted a center led procurement approach for procurement over \$200,000. This allows everyday procurement to take place, without disruption, whilst the higher value more technical procurement is controlled and managed by a procurement professional to ensure compliance with the legislation. Procurement shall manage the Vendor Panel process for each Department, including:

- a) Review scope, specifications etc. and liaise with legal as required;
- b) Ensure probity is followed throughout the process and conflicts are identified;
- c) Multi Party Evaluation functionality is utilised in Vendor Panel;
- d) Any departures to the contract are clarified to achieve optimal outcomes;
- e) Review submissions, and assist in identification of any non-conformances are identified;
- f) Vendor Panel report is released to requesting Department, so they may prepare the Council Report;
- g) Preparation of successful, unsuccessful letters;
- h) Preparation of contracts
- i) Recording of all information in Councils EDMS.

Sound Contracting Principles

Council officers must have regard to the following sound contracting principles when procuring goods and services on behalf of Council:

- a) Value for money;
- b) Open and effective competition;
- c) Development of competitive local business and industry;
- d) Environmental protection; and
- e) Ethical behaviour and fair dealing.

Value for Money

Council must harness its purchasing power to achieve the best value for money. The concept of value for money is not restricted to price alone. The value for money assessment must include consideration of:

- (i) Contribution to the advancement of Council's priorities;
- (ii) Fitness for purpose, quality, services and support; and whole-of-life costs including costs of acquiring, using and maintaining and disposal;
- (iii) Internal administration costs;
- (iv) Technical compliance issues;
- (v) Risk exposure;
- (vi) The value of any associated environmental benefits; and
- (vii) Advantages of local knowledge, networks and relationships, availability and access to after sales servicing and support.

Obtaining value for money does not mean Council is obliged to accept the lowest price, but rather the one most advantageous to it having regard to the sound contracting principles. Not all the above factors will be relevant to all procurement activity, but all relevant factors are to be considered. Wherever the lowest price is not accepted, a documented justification from the delegate will be provided.

Open and Effective Competition

Purchasing should be open and result in effective competition in the provision of goods and services. Council must give fair and equitable consideration to all prospective suppliers.

Development of Competitive Local Business and Industry

In accordance with Section 104(3)(c) of the *Local Government Act 2009*, Council wishes to pursue the principle of development of competitive local business and industry as part of the process of making its purchasing decisions.

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

- To assist local businesses enhance their competitive standards and performance;

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

See Council's Local Preference policy.

Environmental Protection

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

- Prevention or minimisation of waste;
- Use of recycled products and recycling facilities;
- Conservation of energy in buildings and use of equipment;
- Control of order of quantities to avoid stock build-up, minimise storage requirements and reduce possible obsolescence;
- Promote the purchase of environmentally friendly goods and services that satisfy value for money criteria;
- Foster the development of products and processes of low environmental and climatic impact;
- Encourage environmentally responsible activities.

Ethical Behaviour and Fair Dealing

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

- Identifying, declaring and seeking advice on any perceived and/or actual situation that may give rise to a conflict of interest by any Officer involved in the end-to-end procurement process, and ensuring perceived conflicts of interest are documented and recorded;
- Council officers involved in purchasing are to behave with impartiality, fairness, independence, openness, integrity and professionalism in their discussions and negotiations with suppliers and their representatives.
- Officers are to facilitate the ethical procurement of goods and services for Council in the timeliest and cost effective manner and ensure that all procurement activities are within Council's legal and statutory obligations.

Goods and Services Tax

All values quoted in this policy are exclusive of GST.

Optimisation of Value in Procurement - Aggregation

To optimise value in procurement, where applicable, Council will establish annualised or bi-annual purchasing arrangements. This is generally to occur where multiple similar purchases are likely to be required, the total value of goods for the financial year is expected to exceed \$50,000, and the cost of obtaining quotes for each purchase is high in value of time and effort. This may include entering into arrangements for, **preferred suppliers**.

An **approved contractor list** may be compiled after inviting expressions of interest from suitably qualified persons and assessing those expressions based on sound contracting principles as required under Section 231 of the *Local Government Regulation 2012*.

A **pre-qualified supplier register** may be compiled only after inviting tenders in accordance with Section 232 of the *Local Government Regulation 2012*.

A **preferred supplier arrangement** may be enacted only after inviting tenders in accordance with Section 233 of the *Local Government Regulation 2012*.

Order Splitting

Council Officers are prohibited from splitting purchase orders to avoid financial procurement thresholds of quotes or in any way attempting to split the full purchase cost across different or multiple requisitions or budget items.

Recurring Operational Expenditure

In some cases, it can be considered impractical to issue a requisition or purchase order where such purchasing activities are recurring and operational in nature. Recurring operational expenditure is limited to certain categories of spend, see definitions for examples.

Any queries regarding recurring operational expense should be directed to the Procurement Coordinator.

Acquisition of Goods and Services

The process and procedures to be used for entering into contracts for the acquisition of goods and services are as follows:

- a) maintaining **confidentiality** and respect for commercial-in-confidence material;
- b) maintaining appropriate **records** available for inspection at any time;
- c) inviting **quotations** from suppliers that can meet Council's requirements at competitive prices;
- d) ensuring selection and appointment of contractors is evidenced by the issuing of a **letter of appointment** and purchase order;
- e) Purchase orders are to be generated for all purchases of goods and services other than those that meet the definition of recurring operational expenditure;
- f) other purchases where a director or the CEO has determined that a genuine emergency has occurred.

If a Local Government Arrangement is used, the LocalBuy contract number must be stated on the order requisition for entering onto Council’s Purchase Order.

In the event the Council’s Register of Pre-Qualified Suppliers (RoPS) is used the RoPS category number/s must be stated on the order requisition for entering onto Council’s Purchase Order.

Purchasing Thresholds

Purchasing thresholds recognise that different values of procurement carry differing levels of risk. The *Local Government Regulation 2012* details procurement requirements for contracts with a value in excess of \$15,000.

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

Table 1: Purchasing Thresholds (excluding GST)

Amount excl. GST	Policy
Up to \$2,000	<ul style="list-style-type: none"> For purchases under the value of \$2,000 at least one verbal quote must be obtained. Where the officer believes (or reasonably should believe) that the quote does not represent a fair price, additional quotes should be sought.
\$2,000 or more but less than - \$15,000	<ul style="list-style-type: none"> Purchases between \$2,000 and \$15,000 requires two (or more) written quotes be sought. Copies of the quotes and/or the requests for quotes must be attached to Council’s copy of the Purchase Order. If not possible to obtain a second quote, record of suppliers approached must be recorded.
\$15,000 or more but less than \$200,000 s104 LGA s225 LGR s230-s235 LGR	<ul style="list-style-type: none"> Council cannot enter into a medium sized contract unless Council first invites written quotes for the contract. Refer s225 LGR. The invitation must be to at least three (3) persons who Council considers can meet Council’s requirements, at competitive prices. Council may decide not to accept any quotes it receives. If Council does decide to accept a quote, Council must accept the quote most advantageous to it having regard to the sound contracting principles. Refer s104 LGA. There are limited exceptions to this requirement. Refer s230 to 235 LGR)
\$200,000 and above S226 LGR	<ul style="list-style-type: none"> Council cannot enter into a large-sized contract unless Council first invites written tenders for the contract under s228 LGR. Pursuant to s228(2), Council must either invite written tenders under section 228(4) or invite expressions of interest under s228(5) before considering whether to invite written tenders under s228(7)(b). There are limited exceptions to this requirement. Refer s230 to 235 LGR)

Acceptance of Quotations

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

Tender Process

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

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

The invitation for tenders must —

- a) be published on the local government's website for at least 21 days; and
- b) allow written tenders to be given to the local government for at least 21 days after the advertisement is published.

Records of tender must be kept on file and registered in council electronic record management system, Magiq.

Vendor Panel

To ensure tenders meet probity requirements, and protections are afforded to Council officers and respondents, all procurement with a value greater than \$200,000 must be released and evaluated via Council's procurement software Vendor Panel.

The multi-party evaluation **must** be utilised for all requests for tender, without exception. The quick response can be utilised where a list exists, such as a RoPS, or for any procurement under \$200,000. Where the quick response option is utilised, all records must be maintained, referenced, and attached to the Purchase Order.

There are two types of evaluations that can be utilised within the software:

- Multi Party Evaluations – suitable for procurement over \$200,000 – RFT (Tenders)
- Quick Response – suitable of procurement under \$200,000 – RFQ (Quotations)

Officers will be required to complete the Authority to Tender Form and forward to the Procurement Coordinator to commence the tender process.

The Procurement Coordinator shall oversee the procurement processes.

Exceptions

Section 236 of the LGR identifies exceptions for medium and large-sized contracts. The exceptions are —

- a) if quote or tender consideration plan and adopted by Council - s230 of the LGR; or
- b) the contract is made with a person who is on an approved contractor list established by Council - s231 of the LGR; or
- c) the contract is entered into with a supplier from a register of pre-qualified suppliers established by Council - s232 of the LGR; or
- d) the contract is entered into with a preferred supplier under a preferred supplier arrangement - s233 of the LGR; or

- e) a contract under an LGA arrangement - s234 of the LGR; or
- f) entering into a medium-sized contract or a large-sized contract if —
 - i. Council resolves that it is satisfied that there is only one supplier who is reasonably available; or
 - ii. Council resolves that, because of the specialised or confidential nature of the services that are sought, it would be impractical or disadvantageous for Council to invite quotes or tenders; or
 - iii. a genuine emergency exists; or
 - iv. the contract is for purchase of goods and is made by auction; or
 - v. the contract is for the purchase of second-hand goods; or
 - vi. the contract is made with, or under an arrangement with, a government agency (See s235 of the LGR).

Legislation obligates Council to utilise a public tender process or an expression of interest before entering into a contract for the carrying out of work, or the supply of goods or services, involving a cost of \$200,000 or more, unless there is a legislative exception.

Local Buy Arrangements

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

If a Local Government Arrangement is used, the Local Buy contract number must be stated on the order requisition for entering onto Council's Purchase Order.

Sustainable and Social Procurement

Sustainable Procurement

Sustainable procurement is the purchase of goods or services that have a reduced negative impact on the environment when compared with competing products or services that serve the same purpose.

When compiling any procurement documentation including tenders, contracts, quotes or purchasing arrangements, Council's sustainability (environmental policy) requirements must be clearly identified.

Priority areas should give consideration but not be limited to the following:

- wood and paper products from sustainable sources;
- safe chemical-based products, e.g. cleaning products, pesticides or soil enhancers; products with a high degree of durability, i.e. avoiding disposable products where possible, and
- energy efficient products.

Social Procurement

Social Procurement focuses on human aspects and social equity. Social procurement considers diversity, ethics, acceptance, fairness, compassion, inclusiveness and access for people of

diverse abilities. It generates positive outcomes for people and contributes towards building stronger and more resilient communities.

Priority areas should give consideration but not be limited to the following:

- products and services that can improve the overall quality of life in the local community; and
- products and services that improve equity of access to services and opportunities.

Any sustainable and social procurement must be conducted in line with consideration to the sound contracting principles and legislative requirements.

Financial Delegations

In accordance with section 257 of the *Local Government Act 2009*, Council delegates the Chief Executive Officer (CEO) the power to enter into a contract on behalf of Council under the following provisions:

- The expenditure has been provided for in the approved annual budget; or
- The contractual action has been taken because of genuine emergency or hardship.

Council officers listed in Appendix B are entitled to sign orders up to their stated purchasing limit. Council officers are responsible for ensuring all required paperwork (including if applicable, the required number of written quotes) as per this policy is provided to them by the requisitioning officer prior to signing the order.

Officers with a financial delegation are authorised to order / approve orders for goods and services (up to their financial delegation) against jobs over which they have clear operational authority and budget responsibility. For example:

- Plant parts may only be procured at the request of the Workshop Manager;
- ICT Items must only be procured by the ICT Officer.

It is a requirement as an officer with a purchasing limit that you are aware of, and apply, Council's Procurement Policy. Failure to do so may lead to disciplinary action.

Local Preference

Please refer to Council's Local Preference Policy.

Segregation of Duties

The accounting functions of authorisation, custody and recording must be separated to minimise the opportunity or ability to commit fraud. The separation of assigned duties and responsibilities is necessary so that no single Officer can both perpetrate and conceal errors or irregularities.

Goods Receipts

Council officers must ensure there is a separation of duties between the officer who orders goods and materials and the officer who certifies receipt of those goods or materials. Ideally the officer who certifies receipt of the goods should be the person who physically inspects the items.

State or Federal Government Grants

Where Council expenditure is funded from State or Federal Government grant monies, the requirement to comply with Section 224 to 235 of the regulation remains unless there are grant conditions which provide alternative arrangements. This may arise where Council's role in the funding arrangement is that of "fund manager" and passes on funds from another level of government or other body.

Conflict of Interest

Any matter that may result in a conflict or perceived conflict of interest should be referred to the Chief Executive Officer for an appropriate resolution as soon as the conflict arises.

All officers must perform their duties in a fair and unbiased way, ensuring that decisions made are not impacted by self-interest, private affiliations, or the likelihood of gain or loss for them or others that they may wish to benefit or disadvantage.

A conflict of interest occurs when private interests interfere or appear to interfere with the performance of official duties.

Private interests include personal, professional or business interests, as well as the interests of individuals that you associate with, such as family, dependants and friends.

Conflicts of interest fall into three categories.

- Actual – there is a direct conflict between your current duties and your existing private interests
- Potential – your duties and private interests could conflict in the future.
- Perceived – it could appear that your private interests could improperly influence the performance of your duties.

All procurement transactions with related persons must be notified immediately to the Director Corporate Services to provide for appropriate disclosure under AASB 124.

Responsibilities

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

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

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

Council officers are required to:

- a) adhere to the "Sound contracting principles" as stipulated in the *Local Government Act 2009*;
- b) preserve Council's integrity in the procurement process to ensure that Council may be

- seen to have acted beyond reproach in all dealings;
- c) abide by Council’s Code of Conduct and all applicable policies and instructions; and
- d) source quotations and raise purchase orders prior to receiving goods and services.

Compliance with this Policy

Compliance with Council’s Procurement Policy is mandatory. Any instances of non-compliance shall be brought to the attention of appropriate Manager and Director for remedial action. Appendix A contains examples of what constitutes policy breaches.

Definitions

TERM	DEFINITION
Approved contractor	Approved contractor is a person or company who Council considers to be appropriately qualified to provide the services. Quotes are still required.
Authority to Tender Form	Identifies the requirement for the RFQ/RFT, budget, funding, justification, evaluation criteria and is approved by the relevant authority responsible for the budget. The form with accompanying documents (scope/specification/brief/drawings/pricing schedule, and other supporting information), is forwarded to Procurement Team for actioning by the user department.
Contract	An agreement, written or otherwise, that creates an obligation that is enforceable by law.
Financial Delegation	means a formal delegation allowing an officer to authorise / approve expenditure or reimbursement of money within an approved budget and delegation limit
Genuine Emergency	Includes: <ul style="list-style-type: none"> (a) a critical or emergency incident, that a reasonable person could not have planned or foreseen, and requires the supply of goods or services to reduce the immediate risk; or (b) any time that the Local Disaster Coordinator is performing a function under the Disaster Management Act 2003; or (c) any time an event occurs resulting in actual or likely loss of life or serious injury to person/s and where action from Council may prevent or reduce the actual or likely loss of life or serious injury to person/s, or aid and assist in response to the event; or (d) any time an event occurs resulting in actual or likely serious damage to property and where action from Council may prevent or reduce the actual or likely serious damage, or aid and assist in response to the event.
Goods	means an inherently useful and tangible item (article, commodity, material, merchandise)

TERM	DEFINITION
Government Agency	Government agency includes: <ul style="list-style-type: none"> • The State, a government entity, a corporatised business entity, or another local government; or • The Australian Federal government or an entity of the Australian Government; or • A local government of another State.
Large-Sized Contract Arrangement	Is a contractual arrangement with a supplier that is expected to be worth, exclusive of GST, \$200,000 or more in a financial year, or over the proposed term of the contractual arrangement.
Local Supplier	As defined in the Carpentaria Shire Council Local Preference Policy
LGA	<i>Local Government Act 2009</i>
LGR	<i>Local Government Regulation 2012</i>
Medium-Sized Contractual Arrangement	Is a contractual arrangement with a supplier that is expected to be worth, exclusive of GST, \$15,000 or more but less than \$200,000 in a financial year, or over the proposed term of the contractual arrangement.
Pre-qualified supplier	Pre-qualified supplier is a supplier who has been assessed as having the financial, technical, and managerial capability to perform on time and within agreed requirements. Quotes are still required.
Preferred Supplier Arrangement	Preferred supplier arrangement (PSA) means an arrangement set up by Council to allow contracts to be entered into with one or more suppliers (the preferred suppliers) for the supply of goods or services. The PSA is a contract for a period, usually 12 months with options for a further two periods of 12 months each. The contract locks in the rates for the goods and services for the first 12 months. The review after 12 months includes the supplier's performance and, if considered suitable for the continuing of the arrangement, an opportunity for the supplier to adjust their rates is offered. This is usually based on the CPI unless the supplier can justify a larger increase.
Procurement	The purchase, hire, lease, rental, exchange or any other commercial transaction involving the outlay of funds in return for the provision of goods, equipment and related services, construction contracts and service contracts to Council, Council officers and agents unless specifically exempted under the provisions of this policy.
Request for Quotation (RFQ)	Request for Quotation (RFQ) - a request for quotation is used for medium-sized contracts and is by invitation unless an exception applies.
Recurring Operational Expenditure	It can be considered impractical to issue a requisition or purchase order where such purchasing activities are recurring and operational in nature. Examples of recurring expenditure are: <ul style="list-style-type: none"> • Payments to regularity authorities such as QAO, ATO • DNRME – valuation rolls, lease

TERM	DEFINITION
	<ul style="list-style-type: none">• Legal Fees• Subscriptions, Software Licenses• Insurance and Registration• Utilities• Bank fees and direct payments• Travel and accommodation• Credit card, fuel card and petty cash
Request for Tender (RFT)	Request for Tender (RFT) - a request for tender is used for large-sized contracts and is by public tender unless an exception applies.
Services	means intangible products including but not limited to accounting, banking, cleaning, consultancy, education, expertise, medical treatment and transportation
Sound Contracting Principles	means the sound contracting principles set out in section 104(3) of the Local Government Act 2009

Adopted by Council by Resolution

Mark Crawley
Chief Executive Officer

Appendix A – Common examples of a Breach of this Policy

The following list represents examples of common procurement practices that constitute a breach of this policy. This list is not intended to be exhaustive and provides guidance only.

- Procuring items without a purchase order – Subsequently creating or directing the creation of a purchase order after the invoice has been received. This example does not apply to recurring operational expenditure.
- Requisition/Order splitting – Where the total value of a procurement transaction is broken into smaller pieces (“split”) to bring the value under a certain level, to remain within an officer’s delegation limit, or fall into a less rigorous procurement category.
- Invoice Splitting by Suppliers – Where the total value of the work of a supplier is expected to be above the payment frequency threshold or the line manager’s delegation of authority. Yet officers are complicit and signing off invoices for the supplier that can result in a more favourable outcome for the supplier/contractor than ought to have been the case if Council procedures had been followed as intended. This type of supplier preferential treatment is not appropriate.
- Failure to utilise stock, consumables and standardised equipment acquired by Council. In an attempt to achieve value for money and standardise equipment, Council aggregates common use items to the extent possible. Common use items may be acquired in bulk, such as stationery, for all officers to utilise on an as needed basis. Failure to use the items already procured by Council and acquire similar items to suit individual preferences represents unnecessary, inappropriate expenditure (irrespective of whether a budget exists for such items) and does not represent a legitimate business need.
- Inaccurate/inappropriate use of sole supplier provision – The use of the term “sole supplier” to justify procurement where an officer feels that there is only one qualified supplier in the market is inaccurate and inappropriate and fails to abide by the sound contracting principles within this policy. Sole supplier status can usually only be demonstrated by testing the market through request for quotations or tenders from various parties.
- Inappropriate use of “emergency” procurement provisions – Failure to adequately plan or schedule projects and procurement needs resulting in the inability to undertake formal tendering and quotations due to time pressure does not constitute “emergency” procurement.
- Deliberately avoiding the use of procurement software Vendor Panel Multi Party Evaluation for procurement over \$200,000.
- Historical or informal contracting arrangements – Ad hoc, informal or historical supplier arrangements that have developed over many years are likely to be a breach of this policy. All arrangements with suppliers must be contracted either through quotation or tender or satisfy the tests for exceptions detailed in the policy.
- Unauthorised or implicit contract extensions – Failure to track and renew contracts that have expired, whilst continuing to utilise the supplier’s services. All contracting arrangements entered by Council have expiry dates including preferred supplier and

pre-qualified supplier arrangements. The expiry dates may be detailed within the contract or cease when a specific procurement activity or project is fulfilled.

- Knowingly creating inaccurate purchase orders - To generate a purchase order number simply to provide to a supplier and then amending/varying the purchase order at a later time to reflect the actual price on the invoice.
- Acceptance of low value gifts, promotional material, items of interest, giveaways, hospitality, loyalty bonuses, prizes, supplier events, free or discounted tickets etc – Could be perceived to engender favour or promote bias when inviting quotations or awarding contracts, irrespective of value, or when aggregated these items exceed the dollar thresholds for declaration in Council's Gifts and Interests register. Refer Council's Gifts and Benefit's Policy

Appendix B – Financial Delegations

CARPENTARIA SHIRE COUNCIL - Financial Delegations Schedule - Ver 8

Position	Financial Authority Procurement Section 198 LGR / Entering into Contracts Section 224-235 LGR	Comments
Governance & Executive Services		
Chief Executive Officer	Unlimited	Council resolution to support procurement above \$200,000
Manager Human Resources	15,000	
Manager of Barra & Hatchery	15,000	
Corporate & Community Services		
Director of Corporate Services	100,000	
Manager Economic & Community Development	15,000	
Manager Finance & Administration	15,000	
Stores Officer / Stores Business Support	25,000	Stores/Inventory purchases only
Engineering		
Director of Engineering	100,000	
Engineer	50,000	
Works Coordinator	50,000	
Senior Foreman	25,000	
Town Foreman	1,000	
Karumba Town Crew Leading Hand	1,000	
Manager Water and Sewerage	50,000	
Karumba Senior Water Treatment Plant Operator	1,000	
Normanton Senior Water Treatment Plant Operator	1,000	
Workshop Foreman	15,000	Workshop & Fleet items only
Electrician	1,000	
Carpenter	1,000	
Plumber	1,000	

Approved by:

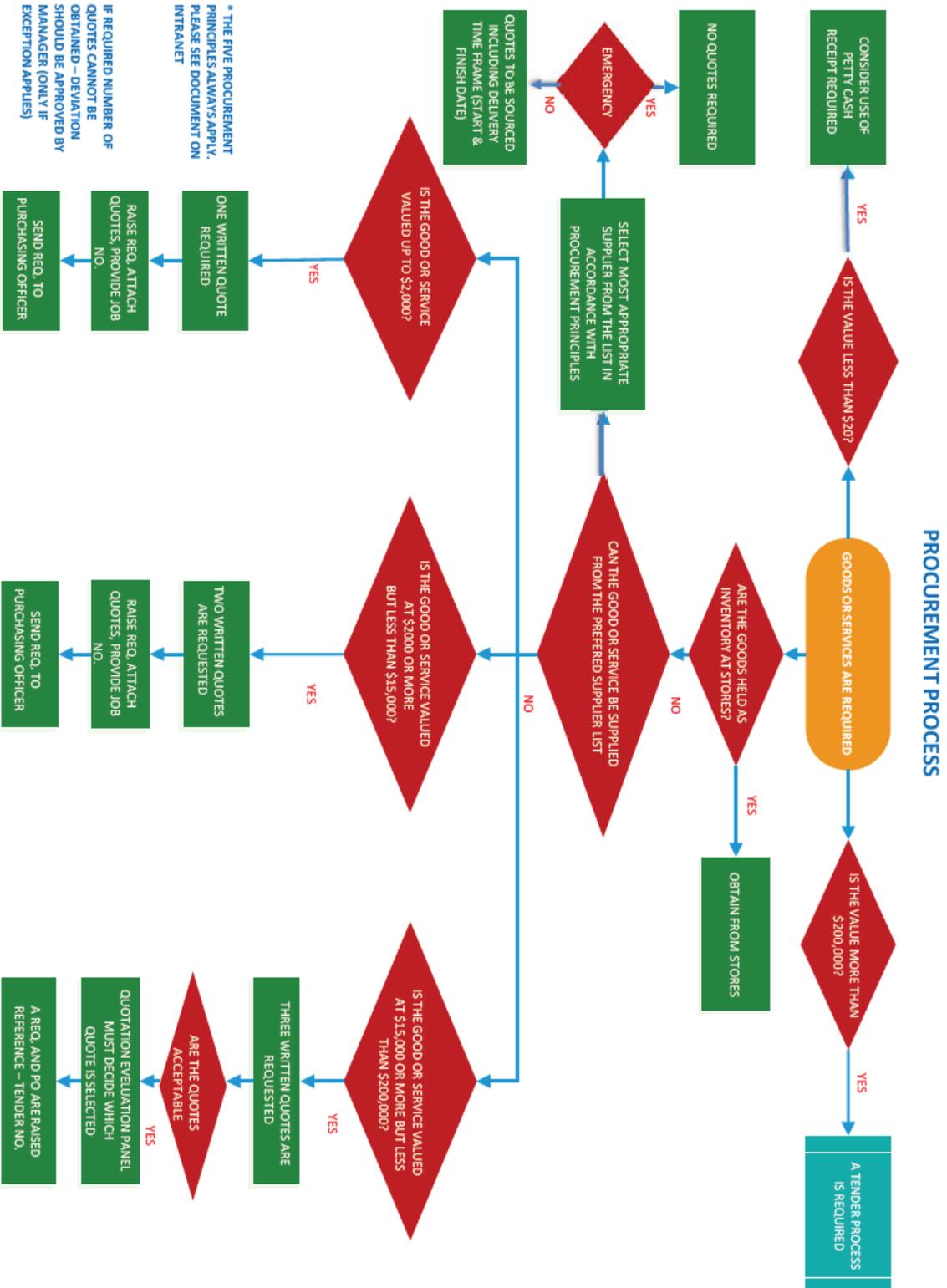
Mark Crawley
 Chief Executive Officer

15-Jun-22
 Date

Appendix C – Authority to Tender

AUTHORITY FORM – TENDERS / EXPRESSIONS OF INTEREST		
1) Tender/EOI title		
2) Contract term (Where applicable eg. 2 yrs, 3yrs etc) and include any options		
3) Approximate Value of Tender/EOI (including GST and for the full term of the Contract)	\$	
4) Have funds been approved?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
If No, funds need to be approved by Council		
5) Funding approved through Budget	<input type="checkbox"/> Yes <i>Details:</i>	
OR through a Council Resolution	<input type="checkbox"/> Yes <i>Details:</i>	
6) Are the Specifications / drawings complete?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
If NO, please specify the date when they will be available:		
7) Are there any other parties involved in this Tender/EOI process?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
8) Have all necessary approvals been obtained from the statutory organisation(s)?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Description of Engagement		
Selection Criteria		Weighting
(a) <insert criteria>	%	
(b) <insert criteria>	%	
(c) <insert criteria>	%	
(d) <insert criteria>	%	
(e) Price	%	
Proposed Timetable		
10) Proposed tender release date		
11) Proposed Tender Closing Time: Note: Close of Tenders MUST be at least 21 days from the first advertising date		
12) Proposed pre-tender / probity & evaluation plan briefing		
13) Evaluation completed by		
14) Council approval		
13) Award of Contract		
Evaluation Team Members (Note: at least three (3) required)		Title/Organisation

Appendix D – Procurement Flowchart



BUSINESS PAPERS

10.6 COUNCIL RESERVES ACCOUNTS FOR FUTURE USE

Attachments:	NIL
Author:	Julianne Meier - Director Corporate Services
Date:	7 June 2022
Key Outcome:	A well governed, responsive Council, providing effective leadership and management, and respecting community values
Key Strategy:	Maintain a focus on integrity, Accountability and Transparency in all that we do

Executive Summary:

Council has a number of Reserve Accounts. There is no current policy to guide the use of these reserves, nor are they all cash backed. This report proposes to transfer auction proceeds to reserve.

RECOMMENDATION:

That Council:

1. resolve to transfer \$3,223,202.12 to QTC Cash Reserves accounts; and
2. provide feedback in respect of a Cash Reserves Policy.

Background:

Council holds several Reserve accounts in its accounting ledgers. Some years ago, it was usual for Councils to have Reserve accounts and transfer to and from reserves, without having a corresponding cash account.

There is little point having several Reserve accounts in the accounting ledgers if they are not backed up by a cash account, because Council cannot do anything with them.

In 2020, Council had \$11,070,234.53 in Reserves in its ledger accounts, but did not have any corresponding cash set aside. Understanding Council wished to maintain these reserves, in 2020/2021 officers started to cashback the smaller reserves and moved \$2.4 million into QTC cash accounts with surplus cash. Another \$500,000 was moved to plant reserves as the usual budget was not provided in 2020/2021 for plant purchases. This was somewhat due to the challenges sourcing plant during COVID-19. At the time, a cash transfer for \$500,000 was made to the QTC Plant Reserve cash fund, but no corresponding journal was processed to the reserve account.

Officers propose to transfer a further \$2,073,202, being proceeds from the recent auction, and profit on sale of plant. This cash represents mostly a decrease in plant assets held and should be saved to be utilised in future years, should Council wish to purchase those plant back. This will become important if Council does not have surplus cash in a future budget to purchase these plant items.

The table below shows the proceeds from plant sales through Pickles Auctions and the proceeds from the onsite sale of plant and equipment. A total of \$1,827,615.62 was received from the sales. The accounting profit on sale of plant items represented a further \$245,586.50. The total auction proceeds and profit on sale of plant and equipment was \$2,073,202.12.

BUSINESS PAPERS

Payee	Receipt Value (inc)GST
10754 Pickles Auctions	963,950.27
10143 KRM Douglas Trust A/C	626,041.35
10865 Pickles Auctions	93,390.00
10837 Pickles Auctions	47,890.00
10765 Pickles Auctions	41,802.00
10837 KRM Dougla Trust A/C	24,750.00
10914 Pickles Auctions	22,945.00
11412 Pickles Auctions	5,847.00
10827 Pickles Auctions	1,000.00
	1,827,615.62
Loss on Disposal per Synergy	235,284.89
Add non fleet item (write off)	10,301.61
	245,586.50
Auction proceeds + profit on sale	2,073,202.12

Additionally, should Council wish to retain these reserves, it should move towards slowly cash backing them over the coming years. It is proposed to remove 2 of the reserves (Capital Grants Reserve and Operating Expenditure Reserve) and collapse the balances back to a single reserve Future Capital Grants Reserve. The table below illustrates the recommended transfers to reserves.

	Cash Balances			
	Reserve Closing Balance	QTC Cash Balance	QTC Cash Transfers in	Cash Backed Reserves
Reserve - Land Development	12,453.00	12,453.00	-	12,453.00
Reserve - Sewerage Reserve	477,744.82	477,745.00	-	477,745.00
Reserve - Plant Replacement	1,077,305.50	1,577,306.00	2,073,202.12	3,650,508.12
Reserve - Future Capital Grants	1,247,180.00	-	150,000.00	150,000.00
Reserve - Water Supply	716,313.00	716,313.00	-	716,313.00
Reserve - Airports	132,275.00	132,275.00	-	132,275.00
Reserve - Capital Grants	61,984.00	-	-	-
Reserve - Operating Expenditure	80,000.00	-	-	-
Reserve - Sustainability	7,264,979.21	-	1,000,000.00	1,000,000.00
	11,070,234.53	2,916,092.00	3,223,202.12	6,139,294.12
			6,139,294.12	

The table below shows the opening balance of reserves, with the proposed transfers, the closing balances and the cash backed reserves after these movements. There will still be a cash shortfall of \$7.5 million to the reserve balances, however this is something Council can work to cash back in future years.

BUSINESS PAPERS

	Reserve Balances				Cash Backed Reserves after	
	Opening Balance	Transfers In	Transfers Out	Closing Balance	Movements	Cash Shortfall
Reserve - Land Development	12,453.00	-	-	12,453.00	12,453.00	-
Reserve - Sewerage Reserve	477,744.82	0.18	-	477,745.00	477,745.00	-
Reserve - Plant Replacement	1,077,305.50	2,573,202.12	-	3,650,507.62	3,650,508.12	0.50
Reserve - Future Capital Grants	1,247,180.00	141,984.00	-	1,389,164.00	150,000.00	1,239,164.00
Reserve - Water Supply	716,313.00	-	-	716,313.00	716,313.00	-
Reserve - Airports	132,275.00	-	-	132,275.00	132,275.00	-
Reserve - Capital Grants	61,984.00	-	61,984.00	-	-	-
Reserve - Operating Expenditure	80,000.00	-	80,000.00	-	-	-
Reserve - Sustainability	7,264,979.21	-	-	7,264,979.21	1,000,000.00	6,264,979.21
	11,070,234.53	2,715,186.30	141,984.00	13,643,436.83	6,139,294.12	7,504,142.71
			2,573,202.30			

Proposed Cash Reserves Policy:

The profit on sale or revenue generated from the sale of assets should generally be transferred to a reserve, where it is surplus to the operational budget.

The sale of these items should be transferred to the reserve that best represents the type of asset disposed.

This could include:

- Auction proceeds – Plant Replacement Reserve
- Sale of surplus or other items
- Sale of land from developments – Land Development Reserve

Any movements in and out of the reserves should be by Council Resolution, so the responsible officer should prepare a report seeking permission to use the reserves.

The reserve balances may be utilised where:

- there is no cash surplus in that budget year to fund replacements
- a grant has been sourced that requires a co-contribution

For feedback.

Consultation (Internal/External):

- Finance Manager
- Chief Executive Officer

Legal Implications:

- Nil.

Financial and Resource Implications:

- The cash is surplus to Council's usual operational requirements, and the transfer is not expected to have an impact on operations.

Risk Management Implications:

- Nil.

BUSINESS PAPERS

10.7 2022/2023 FEES AND CHARGES - ADDITIONAL FEES

Attachments:	NIL
Author:	Julianne Meier - Director Corporate Services
Date:	7 June 2022

Key Outcome: A well governed, responsive Council, providing effective leadership and management, and respecting community values

Key Strategy: Maintain a focus on excellence in customer service and improvements in service delivery

Executive Summary:

The Fees and Charges were adopted in April 2022. This report presents an additional resolution for an amnesty period for animal registration renewals and fees not included in the April 2022 Schedule of Fees and Charges.

RECOMMENDATION:

That Council:

1. Adopts the additional fees for inclusion in the 2022/2023 Schedule of Fees and Charges; and
2. Provide a fourteen (14) day amnesty period for animal registration renewals (excluding Restricted and Regulated Dogs)

Background:

Under Section 98 of the *Local Government Act 2009*, Council must adopt and maintain a register of its cost recovery fees.

Council's regulatory and commercial fees and charges were reviewed in preparation for the 2022/2023 Financial Year. The Schedule of Fees and Charges for 2022/2023 were adopted at the April 2022 Council meeting.

There were some omissions from this report and these are presented below for consideration to include in the Schedule of Fees and Charges for 2022/2023 financial year.

Amnesty period for animal registration renewals

Historically, with the introduction of Council Local Laws and Animal Registration Fees, Council have provided a 14 day amnesty period for the renewal of animal registration, the exemption to this being Restricted/ Regulated dogs. The proposed Dog Registration fees are as follows:

DOG REGISTRATION FEES			
Male / female per dog	Cost Recovery Fee	<i>Local Government Act 2009, s 97(2)(a)</i>	\$22.00

BUSINESS PAPERS

Desexed Male or Female per dog	Cost Recovery Fee	<i>Local Government Act 2009, s 97(2)(a)</i>	\$11.00
<i>[NOTE: At the time of registration of a desexed animal, proof of desexing (i.e. veterinary certificate or ear tattoo) must be shown to the registration officer.]</i>			
Aged Person Dog [Limit to one dog - guide dogs no fee]	Cost Recovery Fee	<i>Local Government Act 2009, s 97(2)(a)</i>	\$4.00

Council has an estimated 500 registered animals, and by offering the 14 day amnesty period, Council may forego \$5,000 in animal registration revenue.

Historically, Council have provided this amnesty to all registrations during this period including unregistered animals. It is recommended however that this change to only include renewals of existing registration as by allowing unregistered animal free registration during this period it is providing an incentive for animals to go unregistered for extended periods of time until such time the amnesty is provided. Under Section 44(3) of the *Animal Management (Cats and Dogs) Act 2008*, 'a person who becomes an owner of a dog must comply with section 46 to register the dog in the relevant local government's area within 14 days unless the person has a reasonable excuse.'

Additional Fees and Charges

6 month Gym Access (Includes one gym key)	Commercial/Service Fee	<i>Local Government Act 2009, s262(3)(c)</i>	190.00
6 month Access – Gym Access - Age Pension Concession Card holder/Qld Repatriation Health (Gold) Card holder	Commercial/Service Fee	<i>Local Government Act 2009, s262(3)(c)</i>	90.00

It is recommended we expand the discounted fees and charges for the gym to include a six monthly fee, which is slightly more than half the annual fee, because some users cannot afford the full fee.

Consultation (Internal/External):

- Chief Executive Officer
- Other Council Managers and Officers - Various

Legal Implications:

- *Local Government Act 2009*
- *Local Government Regulation 2012*

Financial and Resource Implications:

- Within budget.

Risk Management Implications:

- Nil.

BUSINESS PAPERS

10.8 COMMUNITY DEVELOPMENT REPORT

Attachments:	NIL
Author:	Cherie Schafer - Manager Economic & Community Development
Date:	6 June 2022
Key Outcome:	A safe, healthy, and equitable community that celebrates diversity and enjoys a quality lifestyle
Key Strategy:	Continue to support activities and programs that provide for the youth within the Shire

Executive Summary:

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

RECOMMENDATION:

That Council:

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

1. MATTERS FOR INFORMATION:

1.1 Budget

The 2021/2022 budget was adopted at the 30 June 2021 Special Meeting. An extract of the budget areas of responsibility are shown below.

Overall the budget is tracking well with some areas over budget and some areas well underspent. Revenues have already exceeded budget expectations, and expenditure budgets are most likely to be underspent by year end.

BUSINESS PAPERS

Row Labels	Sum of Original Budget	Sum of YTD Actual	Sum of Order Value	Sum of Total Actual
Operating Expenditure				
Arts & Culture	29,500	15,118	4,600	19,718
Child Care	729,317	518,045	11,131	529,176
Community Development	249,821	159,418	619	160,037
Community Donations	97,500	64,254	0	64,254
Community Events	120,320	125,281	8,456	133,737
Cultural & Natural Heritage	108,500	124,763	0	124,763
Gym	146,000	51,716	162	51,878
Halls	188,000	196,839	12,977	209,815
Libraries	228,866	108,442	3,259	111,701
Recreational Sports Centre	21,000	405,863	12,810	418,672
Rodeo Grounds	110,500	84,029	3,560	87,589
Sports & Recreation	570,000	134,907	0	134,907
Swimming Pools	630,592	503,276	15,002	518,279
Operating Expenditure Total	3,229,916	2,491,949	72,575	2,564,525
Operating Income				
Arts & Culture	-24,500	-24,500	0	-24,500
Child Care	-335,000	-413,706	0	-413,706
Community Development	0	-315	0	-315
Community Events	-96,320	-164,947	2,810	-162,137
Cultural & Natural Heritage	0	-55	0	-55
Gym	-20,000	-39,810	0	-39,810
Halls	-14,000	-31,981	0	-31,981
Libraries	-5,749	-7,221	0	-7,221
Rodeo Grounds	-3,000	0	0	0
Sports & Recreation	0	-34,635	0	-34,635
Swimming Pools	-20,000	-10,726	0	-10,726
Operating Income Total	-518,569	-727,896	2,810	-725,086
Grand Total	2,711,347	1,764,053	75,385	1,839,439

1.2 Normanton Childcare

The Normanton Childcare Centre provides an important service to the community and is operated by Council Monday to Friday from 7.30am to 5.30pm. The Centre is licensed for 29 children, 8 in the babies end and 21 in the big kids end.

- The Centre has received another resignation of a fulltime qualified staff member who is due to finish on the 24 June, 2022
- Council has been advertising for eight weeks to replace previous resignations of staff without any success. SEEK shows there is currently 19,000 childcare jobs going in Australia, with around 4,500 of these within Queensland. This is resulting in recruitment issues.
- The Centre may be closed from the 24th June until Council is able to recruit fully qualified staff members. The centre may also open with a different operating model of reduced hours.
- The public notice advising of the Centre closure has been shared by many community members and has proven to be quite effective, resulting in childcare workers contacting Council directly asking about the positions and salary packages.
- Council is in the process of removing the large wood feature at the childcare as it is becoming a risk to the children. Council has treated the wood item over the years for white ants, sanded and oiled the feature however the deterioration has continued due to being exposed to weather elements.

BUSINESS PAPERS

The picture on the left shows the back of the wooden item and the damage due to white ants and weather damage.



The picture on the right shows the front of the wooden items, to show it is splitting all the way through from back to front.

1.3 Normanton and Karumba Pool Statistics

Both the Normanton and Karumba pools have been shut over the winter period and will re-open 3 September 2022.

Council has started to reduce the chemicals and the running of the pumps in both pools to reduce the running cost during the closure period. The reduction of chemicals and water circulation will result in the pools turning green. Members of the community should not be alarmed as a few weeks out from re-opening the chemicals will be added and the pumps run to full capacity which will bring the pools up nice and clean as pre previous years.

1.4 Normanton and Karumba Library Statistics

Statistics and general information for the Normanton and Karumba Library's for the month of May have been provided in the table below.

- The Normanton Library and VIC new open teardrop signs have arrived, and these have been placed out the front of each of the main doors so members of the public and tourist know when the centre is open.

<u>Statistics</u>	Normanton	Karumba
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BUSINESS PAPERS

	May-20	May-21	May-22	May-20	May-21	May-22
1.5 Monthly Walk-Ins	42	57	N/A	47	105	93
Number of library loans	13	169	164	55	141	263
Number of people utilising the internet	29	12	8	3	4	9
Number of new members	0	3	6	0	0	8
Total Hours Public Internet Usage	14.5	3	2	2.5	1.5	32
Total hours open to the public	40	60	66	40	68	76

Normanton Cemetery Beautification

I have had consultation with members of the community and staff involved with the cemetery. Last week I met with Hywel Jones, a concept designer from Design in Principle while they were in Normanton. Hywel was taken to the cemetery, and we discussed the feedback provided by community and staff, around items they would like to see incorporated into to beautification Concept designs.

Over the coming months there will be some designs presented back to the community and the elected members for consideration.

1.6 Carpentaria Youth Strategy

Peak Services have been engaged by Council to develop a five-year Youth Strategy. The Youth Strategy will enable Council to strategically meet the current and future needs of its young people and their families. It will also provide overall direction for Council to guide programs, initiatives, advocacy and support work for youth and their families.

Peak Services have started works on the Youth Strategy and will be visiting the Shire between the 14th and 16th June to completed community consultation. It is expected that the youth Survey completed and adopted by Council by December 2022.

The following items have been completed to assist with the visit so far.

- Youth Surveys have been provided to all three schools in the shire. Council has been assisting with manually entering the surveys into survey monkey for the schools. The Gulf Christian College is still working on their surveys and hope to have them returned to Council soon.
- A public notice has gone out advising the two consultations meetings to be held on the 15th June at the Shire Hall.
- A meeting invitation has been sent to the Service providers to attend the meeting at the Shire Hall on the 15th June for 3.30 session.

BUSINESS PAPERS

- We have spoken to both the schools to enable Peak Services to meet with the older students to go over the survey results in more detail. The Normanton State school have responded and the years 7/8 will be meeting with Peak Services.

Upcoming Events organised by Council:

TRAIC Project – Your life, Your Story:

Filming for the TRAIC project took place from the 27th May to the 3rd June. Residents from Normanton and Karumba were filmed during the week sharing their personal stories around life, history and growing up in the Shire.

The footage will now be taken and turned into a short 5 minute clips that can be shown through different avenues in the Shire including the VIC. There has been enough information filmed to produce a longer 30-minute documentary of all the information taken, however this would require additional funding which could be sourced at a later date.

The current funding was sourced through the Queensland Health tackling Regional Adversity through Integrated Care Scheme.



Grant applications and updates:

Gulf Trust Ladies Fitness equipment - Approved

The Normanton Ladies Fitness Committee have been successful in receiving \$30,000 in funding to purchase gym and exercise equipment.

The Normanton and Karumba fitness ladies have come to an agreement to split the funding between the two towns to enhance fitness for females.

The Normanton Ladies Fitness Committee request to place the new gym items purchased from the funding at the Karumba Sports Centre Gym and the Normanton Gym and will be happy to donate these items so that all of community may use them in the future.

Should Council agree, the Committee also requests that when a structured ladies fitness class is held at either of the Gym's, Council agree non-members may attend classes held in the gym without becoming a member of the gym in keeping with terms of the funding agreement. This would only be for a period of 12 months after the equipment is installed.

BUSINESS PAPERS

The Fitness instructor will be responsible for letting the ladies in to attend the class and ensure they leave once the class is completed. The non-members would still be covered by insurance.

First Nations Sport and Recreation Program – Waiting an outcome

The First Nations Sport and Recreation Program aims to provide physical activity opportunities for Aboriginal and Torres Strait Islander peoples throughout Queensland.

The program provides funding to organisations in non-discrete communities to coordinate and facilitate the delivery of community-identified physical activity opportunities for Aboriginal and Torres Strait Islander peoples to increase physical activity participation.

The program empowers Aboriginal and Torres Strait Islander peoples to work with local community groups, sporting organisations and Councils when making decisions about the type of sport, active recreation or cultural activities that are delivered. While the program is open to all eligible organisations, funding was prioritised to the 22 non-discrete Aboriginal and Torres Strait Islander communities transitioning from the previous Indigenous Community Sport and Recreation Program.

Council has submitted an application for \$50,000 in funding to support the non-for-profit sporting clubs in the Shire. If successful, the funding will be used to hire casual Sport and Recreation officers who will be rostered to assist club in training and game days when required.

Sports AUS funding for regional sporting events- DECLINED

Stream One (non-competitive)– Small community sporting events

Local Government Areas in Very Remote, Remote, Outer Regional and Inner Regional areas. Potential grant amount: between \$1,000 - \$10,000 (GST ex)

Stream Two (competitive) – Large regional sporting events

Local Government Areas in Very Remote, Remote, Outer Regional and Inner Regional areas. Potential grant amount: between \$15,000 - \$50,000 (GST ex)

Council has submitted an application to assist non-for-profit sporting groups run a weeklong event showcasing a different sport on each day between Normanton and Karumba. If successful the funds will be used to assist running of the event, purchase sporting equipment, pay for catering and other items needed. The weeklong sporting event will kick off on the 25th June and finish on the 3rd July, 2022.

Consultation (Internal/External):

- Chief Executive Officer – Mark Crawley
- Director Corporate Services – Julianne Meier

Legal Implications:

- Nil

BUSINESS PAPERS

Financial and Resource Implications:

- Within budget.

Risk Management Implications:

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

BUSINESS PAPERS

10.9 COMMUNITY DONATIONS AND SUPPORT

Attachments: NIL
Author: Cherie Schafer - Manager Economic & Community Development
Date: 9 June 2022

Key Outcome: 2.2 – Council supports our community organisations
Key Strategy: 2.2.2 Council provides support for local community organisations.

Executive Summary:

Council receives numerous requests for donations throughout the year. The applications listed in the recommendation have been received in the month of February.

RECOMMENDATION:

That Council approves the following requests for Donations and Support and waivers of fees and charges:

1. A fee waiver of \$2,110 be provided to Bynoe CACS Ltd for the NAIDOC week celebrations in July 2022, for:

- Use of the John Henry Oval and lights x 2 \$ 360.00
- Tables and chairs trailer \$ 580.00
- Use of the Shire Hall, including the kitchen x 3 \$ 1,170.00

Background:

Council holds Community Donations and Support funding program for events held in the Carpentaria Shire. The table below contains a list of the expenditure \$70,507 against the budget of \$96,000 related to local non-profit groups for the financial year.

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Acct Code	Account	Actual
IK1000	In Kind - Bynoe	10264.28
IK1020	In Kind - Country Womans Association	1418.18
IK1040	In Kind - Gulf Christian College	6997.92
IK1070	In Kind - Karumba Recreation Club	1409.09
IK1080	In Kind - Karumba State School	21.82
IK1090	In Kind - Normanton Bowls Club	712.77
IK1110	In Kind - Normanton Police	354.55
IK1120	In Kind - Normanton Rodeo	2289.44
IK1130	In Kind - Normanton State School	7383.68
IK1140	In Kind - Normanton Stingers	6698.59
IK1150	In Kind - Normanton Swim Club	90.91
IK1200	In Kind - Normanton Cricket Club	2727.27
IK1230	In Kind - Kurtijar Aboriginal Corporation	153.44
IK1250	In Kind - Riverside Christian College	1136.36
IK1252	In Kind - Junior Rugby League	3737.80
IK1254	In Kind - Go Gulf	354.55
IK1258	In Kind - Normanton Athletics Club	9536.68
IK1259	In Kind - Karumba Social Netball	2727.27
IK1260	In Kind - Mount Isa School of the Air	2959.09
IK1263	In Kind - Normanton Hope	272.73
IK1268	In Kind - Savannah Guides Limited	970.00
IK1290	In Kind - Karumba Markets Chair Installation	347.00
IK1558	In Kind - Mougibi Buddaries	227.27
IK1559	In Kind - Department of Seniors and Disability Services	354.55
IK1660	In Kind - Normanton Arts Council	527.27
IK1661	In Kind - Queenslanders with Disability Network	1236.37
IK1662	In Kind - Gulf Savanna NRM	709.10
IK1663	In Kind - Sister House	3980.00
IK1710	In Kind - Normanton Hospital COVID	909.09
	* Total *	70507.70

Donations and Fee Waivers for Council consideration.

- The Bynoe CACS Ltd organises and facilitate the NAIDOC Week Celebrations for the community. Several events are held over the week to benefit youth, the elderly generation, and the general community.

Bynoe has requested Council provide fees waivers for the below items:

• Use of the John Henry Oval and lights x 2	\$ 360.00
• Table and chair trailer	\$ 580.00
• Use of the Shire Hall, including the kitchen x 3	\$ 1,170.00
Total	\$ 2,110.00

BUSINESS PAPERS

The officers recommendation is that Council provide the fee waiver to Bynoe CACS Ltd as there is no cash outlay required from Council and the waiver falls within the budgeted amount.

Consultation (Internal/External):

- Mark Crawley - Chief Executive Officer
- Julianne Meier - Director Corporate Services
- Cherie Schafer - Manager Economic and Community Services
- External Stakeholders (applicants)

Legal Implications:

- Community Donation and Support Policy

Financial and Resource Implications:

- Within budget.

Risk Management Implications:

- Risks are within normal operational parameters.

BUSINESS PAPERS

10.10 KARUMBA CHILDRENS CENTRE FUNDING AGREEMENT AND LEASE

Attachments:	10.10.1. Executed Lease ↓ 10.10.2. Draft funding agreement ↓
Author:	Cherie Schafer - Manager Economic & Community Development
Date:	6 June 2022
Key Outcome:	A safe, healthy, and equitable community that celebrates diversity and enjoys a quality lifestyle
Key Strategy:	Continue to support activities and programs that provide for the youth within the Shire

Executive Summary:

Council provides \$45,000 funding to the Karumba Childrens Centre Inc. each year, then invoices the Centre \$15,000 each year for a lease on Lot 105 on SP 112353. A Funding Agreement is presented for consideration that replaces the previous expired Memorandum of Understanding.

RECOMMENDATION:

That Council:

1. accept the Funding Agreement with the Karumba Children's Centre Inc; and
2. delegate to the CEO the power to negotiate any terms of the Funding Agreement; and
3. continues to fund the amount of \$45,000.00 for the term of the Agreement.

Background:

Previously a Memorandum of Understanding (MOU) between Council and the Karumba Childrens Centre Inc. (KCC) existed. Council provided \$45,000 funding to KCC. each year to support it to pay operational costs and lease costs, then Council invoiced KCC \$15,000 each year for a lease on Lot 105 on SP 112353. That meant there was a net outlay of \$30,000.

In September 2020 (Council Resolution No. 0920/008), Council resolved:

To renew the Memorandum of Understanding with Karumba Children's Centre and continue to fund the amount of \$45,000 for 2020/2021 financial year.

Officers have liaised with legal to prepare a new Funding Agreement. All the terms and conditions from the existing MOU have been incorporated into the new Funding Agreement and no additional terms and conditions have been added.

BUSINESS PAPERS

The Agreement outlines the current arrangements of Council assisting the Karumba Children's Centre with an annual financial co-contribution of \$45,000. The payment is made up of the following:

- \$30,000 plus GST for operational costs; and
- \$15,000 plus GST for lease/rent costs.

Council subsequently then invoices the KCC for \$15,000 lease fees for Lot 105 on SP 112353. The net outlay is \$30,000 from Council. A copy of the lease is attached.

The Funding Agreement for review is attached. Items that need to be decided are:

1. Commencement Date; and
2. Expiry Date; and
3. Item 3.1 Funding Payment
4. Lease – There is no insert to suggest there is a lease in place where Council invoices KCC \$15,000 per year. This should be noted in the Agreement.

For discussion, to enable officers to finalise the Funding Agreement.

Consultation (Internal/External):

- Mark Crawley - Chief Executive Officer
- Cherie Schafer - Manager Community and Economic Development
- Julianne Meier - Director Corporate Services
- External Stakeholders (applicants)

Legal Implications:

- Nil

Financial and Resource Implications:

- Within budget

Risk Management Implications:

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

QUEENSLAND LAND REGISTRY
Land Title Act 1994, Land Act 1994 and Water Act 2000

LEASE/SUB LEASE

Duty Imprint

FORM 7 Version 6
Page 1 of 31

Dealing Number



OFFICE USE ONLY

Privacy Statement

Collection of this information is authorised by the Land Title Act 1994 the Land Act 1994 and the Water Act 2000 and is used to maintain the publicly searchable registers in the land registry and the water register. For more information about privacy in DERM see the department's website.

1. Lessor COUNCIL OF THE SHIRE OF CARPENTARIA	Lodger (Name, address E-mail & phone number) Preston Law 1,59 McLeod Street, Cairns, Qld, 4870 Phone: 07 4052 0700 Fax: 07 4031 0282 Email: info@prestonlaw.com.au Reference: AMK:POL:120114	Lodger Code 789
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2. Lot on Plan Description Lot 105 on SP 112353	County Norman	Parish Kimberley	Title Reference 49011506
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3. Lessee Given names	Surname/Company name and number Karumba Children's Centre Inc	(include tenancy if more than one)
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4. Interest being leased
Reserve

5. Description of premises being leased
Lease A on SP218129 on part of Lot 105 on SP112353

6. Term of lease Commencement date/event: 1 July 2012 Expiry date: 30 June 2042 Options: Nil #Insert nil if no option or insert option period (eg 3 years or 2 x 3 years)	7. Rental/Consideration \$15,000.00 per annum + GST
--	---

8. Grant/Execution
The Lessor leases the premises described in item 5 to the Lessee for the term stated in item 6 subject to the covenants and conditions contained in the attached schedule and document no. 711932933.

Witnessing officer must be aware of his/her obligations under section 162 of the Land Title Act 1994

.....signature
PHILIP MICHAEL TURNER full name
SOLICITOR qualification

.....signature
Mayor
.....signature
Chief Executive Officer
Lessor's Signature

(4/08/2012)
Execution Date

(Witnessing officer must be in accordance with Schedule 1 of the Land Title Act 1994 eg Legal Practitioner, JP, C Dec)

9. Acceptance
The Lessee accepts the lease and acknowledges the amount payable or other considerations for the lease.

.....signature
PHILIP MICHAEL TURNER full name
SOLICITOR qualification / 11/08/2012 Execution Date

Karumba Children's Centre Inc
.....signature
Lessee's Signature SECRETARY

(Witnessing officer must be in accordance with Schedule 1 of the Land Title Act 1994 eg Legal Practitioner, JP, C Dec)

Title Reference [49011506]

REFERENCE SCHEDULE

Item 1	Trustee Address for Notices Telephone Number Facsimile Number Contact	Council of the Shire of Carpentaria PO Box 31, Normanton, Qld, 4890 (07) 4745 2200 (07) 4745 1340 Chief Executive Officer
Item 2	Trustee Lessee Address for Notices Telephone Number Facsimile Number Contact	Karumba Children's Centre Inc PO Box 110, Karumba, Qld, 4891 (07) 4745 9175 (07) 4745 9487 Director
Item 3	Description Area	Lease A on SP218129 part of Lot 105 on SP112353 4,852 m2
Item 4	Term of Lease	30 years
Item 5	Annual Rental	\$15,000.00 per annum plus GST
	CPI Review	Not applicable
	Market Review (if option exercised)	Not applicable
Item 6	Outgoings	As outlined in clause 23
Item 7	Options and Extended Terms	Nil
Item 8	Permitted Use of Premises	Child care centre
Item 9	Insurance Requirements	As outlined in clause 15
Item 10	Amount of Bond/Bank Guarantee	Not applicable

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1. PARTS OF TRUSTEE LEASE

1.1 This Trustee Lease is divided into three (3) parts:

PART A – DEFINITIONS AND INTERPRETATION

PART B – MANDATORY STANDARD TERMS

PART C – ADDITIONAL TRUSTEE LEASE CONDITIONS

1.2 To the extent that a provision in PART A – DEFINITIONS AND INTERPRETATION or PART C – ADDITIONAL TRUSTEE LEASE CONDITIONS is inconsistent with a provision in PART B – MANDATORY STANDARD TERMS, the provision in PART B – MANDATORY STANDARD TERMS will prevail.

PART A – DEFINITIONS AND INTERPRETATION

2. DEFINITIONS AND INTERPRETATION

2.1 Definitions

In this Trustee Lease unless the contrary intention appears:

Appurtenances means all mechanical ventilation stop-cocks hydrants fire hoses alarm systems or other fire prevention and extinguishing equipment water closets lavatories grease traps water apparatus wash basins washrooms gas fittings electrical fittings and apparatus and other services contained in or about the Building or the Premises as the context requires;

Authority means any local, state or federal government statutory or public authority or corporation having jurisdiction over the Premises;

Building means all improvements from time to time existing on the Land and any other improvements which the Trustee (as owner, lessee or licensor) develops in conjunction with the Land and where appropriate shall be deemed to include the Land;

Business Day means any day in the State of Queensland which is not a Saturday, Sunday or public holiday either in the locality of the Premises or Brisbane;

Consumer Price Index means the All Groups Consumer Price Index published from time to time by the Australia Bureau of Statistics in relation to the City of Brisbane;

CPI Review means a review of Rental calculated by using the following formula:-

$$R = Z \frac{XY}{100}$$

Where:

- R = The Rental payable for the Rental Year in respect of which the Rental is being calculated;
- X = Consumer Price Index figure for the quarter ended immediately prior to the commencement of the Rental Year in respect of which the Rental is being calculated;
- Y = Rental payable during the Rental Year immediately preceding the Rental Year in respect of which the Rental is being calculated;
- Z = Consumer Price Index figure for the quarter ended immediately prior to the commencement of the Rental Year immediately preceding the Rental Year in respect of which the Rental is being calculated.

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PROVIDED ALWAYS that the rental in any one Rental Year shall not be less than the Rental paid by the Trustee Lessee in the previous Rental Year;

Default Rate means the rate which is two percent (2%) per annum above the highest overdraft rate charged as at the due date for payment of the relevant monies by the Trustee's principal bankers for commercial loans in excess of one hundred thousand dollars (\$100,000.00);

Environmental Laws means all laws relating to the Environment (whether statute law or common law or otherwise), including, but not limited to, a law relating to land use; planning; environmental assessment; the environmental heritage; coastal protection; water catchments; pollution of air and water; noise; soil or ground water contamination; chemicals; pesticides; hazardous substances; the ozone layer; waste; dangerous goods; building regulation; occupation of buildings; fire safety; public health; occupational health and safety; noxious traders; any Environmental Hazard; any aspect of protection of the Environment, or the enforcement or administration of any of those laws; and includes the Environmental Act.

Environmental Liabilities means any of the following liabilities:

- (a) any compensation payable under Environmental Laws;
- (b) any fines or penalties payable under Environmental Laws;
- (c) all costs (including, without limitation, legal costs and expenses on a full indemnity basis or solicitor and own client basis) and expenses incurred in complying with any Environmental Laws; and
- (d) all other claims, demands, suits, proceedings, causes of action, losses (including consequential losses) damages, costs and expenses, legal consulting fees and interest payable under Environmental Laws.

Expiry Date means the expiry date in **Item 6 of the Form 7**;

Form 7 means the Form 7 to the *Land Title Act 1994* (Qld) to which this schedule is attached;

Item unless otherwise stated means the relevant Item number of the Form 7;

GST means any tax, levy, charge or impost implemented under the GST Act or an Act of the Parliament of the Commonwealth of Australia substantially in the form of, or which has a similar effect to, the GST Act;

GST Act means the *A New Tax System (Goods and Services Tax) Act 1999*;

Lease Year means the period of 12 months starting on and including the Commencement Date and then each succeeding period of 12 months;

Mandatory Standard Terms Document means the mandatory standard terms document lodged by the Minister in the land registry for a trustee lease under the Act bearing registration number 711932933;

Market Review means a review of Rental carried out as follows:

- (a) The Trustee may, but is not obliged to, give to the Trustee Lessee a Trustee's Notice nominating the amount which the Trustee considers to be the current market Rental for the Premises at the review date and which shall apply for the following Rental Year;
- (b) If within one (1) month after the review date the Trustee and Trustee Lessee cannot agree on the current market Rental, then the current market Rental shall be determined in the manner provided for in the clause headed "Rent Review Disputes" and the Rental so determined shall be the Rental for the following Rental Year;

Month or **Monthly** means respectively calendar month or calendar monthly;

Permitted Use means the use stated in **Item 8 of the Reference Schedule**;

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Person includes any corporation and vice versa;

Reference Schedule means the reference schedule forming part of the Trustee Lease;

Rental means the rental stated in **Item 6 of the Form 7**;

Rental Day means the Commencement Date of this Lease and the anniversary of that day in each subsequent year throughout the Term;

Rental Year means each separate year of the Term the first of such rental years commencing on the Commencement Date and each subsequent rental year commencing on the corresponding day of each succeeding year.

Review Date means each CPI, market or fixed percentage rental review date in **Item 5 of the Reference Schedule**;

Services means all services or systems of any nature from time to time provided as the context requires to the Premises and/or the Building and/or the Land or available for use, and includes the provision of any electronic medium, electricity, lighting, gas, fuel, power, water sewerage drainage plant rooms, fire services, sprinkler systems or devices, air-conditioning and the fittings fixtures appliances plant and equipment utilised for such services;

Trustee Lessee's Property means all property inside the Premises (including fixtures) owned, constructed or brought into the premises by the Trustee Lessee (for example, fixtures, fittings, signs, equipment, stock) that is not the Trustee's property;

Trust Land means the land described in **Item 2 of the Form 7**;

Trustee's Fixtures includes all Appurtenances plant equipment fittings fixtures furniture and furnishings of whatever nature from time to time in the Premises and supplied by the Trustee.

Trustee Lease means the Mandatory Standard Terms Document and any other document (including the Form 7, any schedule, plans and attachments) for a lease by the Trustee to the Trustee Lessee of the Premises for the Term;

2.2 Interpretation

In this Trustee Lease:

- (a) a person includes any other entity recognised by law and vice versa;
- (b) the singular number includes the plural and vice versa;
- (c) an agreement, representation or warranty in favour of two or more persons is for the benefit of them jointly and severally, and on the part of two or more persons binds each of them jointly and severally;
- (d) headings and the index (if any) are for convenience and do not affect interpretation;
- (e) each example is descriptive only and not exhaustive; and
- (f) every obligation by the Trustee Lessee is taken to include an obligation by the Trustee Lessee to ensure that each of the Trustee Lessee's employees, agents, contractors, invitees, sublessees and others under the Trustee Lessee's control comply with that obligation;
- (g) a reference to:
 - (i) a person includes the person's executors, administrators, successors and assigns;

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- (ii) exhibit, annexure or schedule is a reference to the corresponding exhibit, annexure or schedule to this Trustee Lease;
- (iii) a thing or period includes the whole and each part of it;
- (iv) any body (for example, an institute, association or Authority) that ceases to exist or whose powers or functions are transferred refers to the body that replaces it or substantially succeeds to its powers or functions; and
- (v) a law or legislation includes all regulations and other instruments under it and amendments or replacements of any of them.

PART B – MANDATORY STANDARD TERMS FOR A TRUSTEE LEASE

3. INTRODUCTION

- 3.1 This Trustee Lease is subject to the provisions of the Act and if any clause or condition of this Trustee Lease is inconsistent with the Act, the provisions of the Act prevail.
- 3.2 A Mandatory Standard Terms Document forms part of the Trustee Lease under the Act.
- 3.3 If there is a conflict between the Mandatory Standard Terms Document and the terms of another document for this Trustee Lease, the Mandatory Standard Terms Document prevails as provided for under section 320A of the Act.

4. SUPERSEDED ACTS ET CETERA

- 4.1 Where a law, person or body or other thing referred to in this Trustee Lease is renamed, superseded or replaced with another law, person or body or other thing (as the case may be), references in this Trustee Lease will be taken to be changed in a corresponding manner, except where the context requires otherwise.

5. MINISTERIAL APPROVAL

- 5.1 This Trustee Lease is subject to and conditional on:
 - (a) the Minister's written 'in principle' approval on this Trustee Lease under section 57(1) of the Act;
 - (b) endorsement of the Minister's approval on this Trustee Lease under section 57(4) of the Act;
 - (c) compliance with any conditions of an approval of the Ministers that must be complied with before the Trustee may lease the Premises to the Trustee Lessee under this Trustee Lease; and
 - (d) registration under the Act, as required by section 57(3) of the Act, of this Trustee Lease in the land registry.

Until paragraphs (a), (b), (c) and (d) are satisfied and despite the definitions of "Commencement Date" and "Term" in clause 2.1, the (purported) Trustee Lease does not take effect as a lease of the Premises and the Trustee Lessee has no right to the possession, occupation or use of the Premises.

6. GRANT OF TRUSTEE LEASE

- 6.1 Subject to clause 5.1, the Trustee leases the Premises to the Trustee Lessee for the Term under this Trustee Lease.

7. USE AND DEVELOPMENT, ACCESS AND SERVICES

- 7.1 The Trustee Lessee may only use or develop the Premises:

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- (a) according to all relevant laws including, without limitation, any planning and environmental laws and any local laws;
 - (b) where an Approval of any entity is required to undertake or carry out a use or development of the Premises, with the prior Approval of the relevant entity and according to that Approval;
 - (c) subject to the terms of this Trustee Lease, according to any management plan for the Trust Land under section 48 of the Act.
- 7.2** Without limiting clause 7.1, if the purpose of this Trustee Lease is inconsistent with the purpose for which the Trustee Land was dedicated or granted, all improvements built or placed by the Trustee Lessee on the Premises must first be approved by the Minister under section 59(2) of the Act.
- 7.3** In clause 7.1, 'develop' includes the construction of Improvements on the Premises.
- 7.4** Despite anything else, the Trustee Lessee holds this Trustee Lease so that the Trust Land (including the Premises) may be used for the purpose which the Trust Land was dedicated or granted without undue interruption or obstruction.
- 7.5** Clause 7.4 does not apply to a building permitted to be built on the Trust Land.
- 7.6** If the Trustee Lease does not adjoin a dedicated road, or have some other legal access, the Trustee Lessee may access and provide services (including electricity, telephone, water and like services) to the Trustee Lease and Premises through the Trust Land via the most convenient route or location as determined by the Trustee and on any terms and conditions of the Trustee.
- 8. DECLARED PEST PLANTS AND ANIMALS**
- 8.1** The Trustee Lessee must control pest plants and animals on the Premises during the Term in accordance with the *Land Protection (Pest Stock Route Management) Act 2002* and any requirements of the local government in whose local government area the Premises are situated.
- 9. CLEARING OF VEGETATION**
- 9.1** The Trustee Lessee may only clear, remove or destroy any native vegetation ('clear') on the Premises if the:
- (a) clearing is permitted or not prohibited by law or, if required by law, the Trustee Lessee may under a development permit under the *Sustainable Planning Act 2009* clear; and
 - (b) Trustee has given its consent to the clearing.
- 10. ENVIRONMENT PROTECTION AND DUTY OF CARE**
- 10.1** The Trustee Lessee must not dispose of or allow to be disposed of, any substance or thing (including refuse, garbage, oil or chemical) into any watercourse, the sea or onto the Trust Land (including the Premises). For this clause and without limitation, a substance or thing is disposed of if it leaks, or is washed, blown or otherwise enters, into any watercourse, the sea or onto the Trust Land (including the Premises).
- 10.2** Without limiting clause 9.1, the Trustee Lessee must:
- (a) store and keep all trade refuse and trade garbage in proper containers; and
 - (b) dispose of all refuse and trade garbage regularly and hygienically at an approved rubbish dump without causing pollution or damage to the Trust Land (including the Premises), any land adjoining the Trust Land, a watercourse or the sea.

For this clause and without limitation, trade refuse and trade garbage includes debris from building works, chemicals from chemical works, medical waste and other waste of this nature but does not include general refuse and garbage that is collected regularly by or for the relevant local government.

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10.3 The Trustee Lessee must:

- (a) use all reasonable endeavours to overcome and minimise any harmful effects on the environment arising from its use of the Premises; and
- (b) rehabilitate the Premises, and any watercourse, the sea, the Trust Land and any other land (the "affected areas") if there is any damage caused to the Premises and the affected areas by its use of the Premises and any other area of the Trust Land.

10.4 The Trustee Lessee has a responsibility for a duty of care for the Premises.**11. LIQUOR OR GAMING AND OTHER LICENCE****11.1** The Trustee Lessee must not store, sell or supply, or allow to be stored, sold or supplied, any liquor on or from the Premises:

- (a) except with the prior written consent of the Trustee and the Minister; and
- (b) according to any required licence or other authority under the *Liquor Act 1992*.

11.2 The Trustee Lessee must not operate the Premises under a gaming machine licence (as defined in the *Gaming Machine Act 1991*) without the prior written consent of the Trustee and the Minister.**11.3** The Trustee Lessee must not operate KENO facilities on the Premises. With the prior written consent of the Trustee and the Minister, this clause 11.3 will not apply if KENO facilities have been operating on the Premises under a previous lease from the Trustee for the Premises and where all necessary Approvals were obtained.**11.4** The Trustee Lessee must not operate TAB facilities on the Premises. With the prior consent of the Trustee and the Minister, this clause 11.4 will not apply if TAB facilities have been operating on the Premises under a previous lease from the Trustee for the Premises and where all necessary Approvals were obtained.**12. TRANSFER, MORTGAGE OR SUBLEASE****12.1** The Trustee Lessee must not transfer, assign, sublet, mortgage, charge, licence or part with possession of the premises or its interests in the Trustee Lease without the prior consent of the Trustee and the Minister.**12.2** The Trustee must not unreasonably withhold consent for the purposes of clause 12.1.**13. NO HOLDING OVER AND OTHER DEALINGS****13.1** The Trustee Lessee may not:

- (a) hold over, possess or occupy the Premises after the expiry of this Trustee Lease;
- (b) renew this Trustee Lease;
- (c) convert this Trustee Lease to another form of tenure; or
- (d) buy the Premises.

14. THE MINISTER AND STATE OF QUEENSLAND NOT BOUND**14.1** The Parties may not bind or subject the Minister or the State of Queensland to any agreement, or liability for costs, fees or expenses under this Trustee Lease.**15. INSURANCE****15.1** The Trustee Lessee must effect a public liability insurance policy with an insurer authorised under the *Insurance Act 1973 (Cth)* or, in any other case, to the satisfaction of the Minister, naming the Trustee Lessee as the insured

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covering legal liability for any loss of or damage to any property and for the injury (including death) to any person arising out of anything done or omitted on or about the Premises and against all claims, demands, proceedings, costs, charges and expenses whatsoever in respect thereof subject to the terms and conditions of the insurance policy.

Such policy must:

- (a) be for an amount of not less than twenty million dollars (\$20,000,000.00) in respect of all claims arising out of a single event or such higher amounts the Minister may reasonably require; and
 - (b) be effected on a "claims occurring" basis so that any claim made by the Trustee Lessee under the policy after the expiration of the period of policy cover but relating to an event occurring during the currency of the policy will be covered by the policy subject to the claim meeting the policy's other terms and conditions; and
 - (c) be maintained at all times during the currency of this Trustee Lease, and upon receipt of any Notice of Cancellation, the Trustee Lessee must immediately effect another public liability insurance policy in accordance with the terms and conditions of this Trustee Lease.
- 15.2** The Trustee Lessee must forward a certificate of currency to the Trustee within ten (10) business days of the commencement of each respective renewal period.
- 15.3** The Trustee must, within ten (10) business days of becoming aware of any of the following occurrences, inform the Minister in writing, of any such occurrences:
- (a) the Trustee Lessee's failure to renew the public liability insurance cover as required under the terms and conditions of this Trustee Lease;
 - (b) the Trustee Lessee's failure to forward to the Trustee within ten (10) business days after the commencement of a renewal period for such cover, a copy of the certificate of currency as required under this Trustee Lease;
 - (c) receipt by the Trustee of a Notice of Cancellation in relation to such cover.
- 15.4** Clauses 15.1 to 15.3 will be satisfied if the Trustee Lessee is the State of Queensland or a statutory authority eligible for cover under the Queensland Government Insurance Fund and is insured and continues to be insured by the Queensland Government Insurance Fund.
- 15.5** Clause 15.1 to 15.3 will be satisfied if the Trustee Lessee is the Commonwealth of Australia or a statutory authority eligible for cover under the Comcover Insurance Fund and is insured and continues to be insured by Comcover.
- 15.6** Clauses 15.1 to 15.3 will be satisfied if the Minister approves by separate letter a replacement clause or clauses for inclusion in another document that forms part of this Trustee Lease. For this clause 15.6 to have effect, the replacement clause or clauses must be included in that other document and the original of the letter of approval must have been lodged in the land registry with a document that forms part of this Trustee Lease.
- 15.7** The Trustee Lessee must, as soon as practicable, inform the Minister and Trustee, in writing, of the occurrence of any event that the Trustee Lessee considers is likely to give rise to a claim under the policy of insurance effected and must ensure that the Minister and Trustee are kept fully informed of subsequent actions and developments concerning the claim.
- 15.8** To remove doubt, the requirements of clause 15 apply to any other area of the Trustee Land used by the Trustee Lessee.
- 16. RELEASE AND INDEMNITY**
- 16.1** The Trustee Lessee indemnifies and agrees to keep indemnified the Minister, the State of Queensland, and the Trustee ("the Indemnified parties") against all actions, proceedings, claims, demands, costs, losses, damages and

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expenses ("Claim") arising out of or in any way connected to or resulting from the granting of this Trustee Lease to the Trustee Lessee or which is connected to or resulting from the Trustee Lessee's use and occupation of the Premises (all of which are referred to as "the indemnified acts or omissions") save to the extent that the Claim arises as a result of any negligent act or omission of the Indemnified parties, however, any negligent act or omission of one of the Indemnified parties does not negate the indemnity to any of the other Indemnified parties.

- 16.2** The Trustee Lessee hereby releases and discharges the Indemnified parties from any Claim relating to the indemnified acts or omissions which may be made against the Indemnified parties, save to the extent that the Claim arises as a result of any negligent act or omission of the Indemnified parties, however, any negligent act or omission of one of the Indemnified parties does not negate the release and discharge in favour of any of the other Indemnified parties.
- 16.3** To remove doubt, the Trustee Lessee specifically agrees that the indemnity provided by the Trustee Lessee in this clause 16 extends to any Claim (as defined by this clause 16) arising from use of any other area of the Trust Land by the Trustee Lessee.

17. POWER OF ATTORNEY

- 17.1** The Trustee Lessee, other than if the Trustee Lessee is the Commonwealth of Australia or the State of Queensland, appoints the Trustee to act as the Trustee Lessee's attorney and authorises the Trustee to execute all such documents and to perform such acts on the Trustee Lessee's behalf as are necessary to procure the registration of a surrender of this Trustee Lease to the Trustee.

- 17.2** The Trustee must not use its power pursuant to this clause unless:

- (a) the Trustee Lessee has breached a term or condition of this Trustee Lease;
- (b) the Trustee has given written notice of the breach to the Trustee Lessee and has allowed the Trustee Lessee twenty (20) business days (or such other time as the Trustee may allow after taking into account what needs to be done and the time required to remedy the breach) from the delivery of that written notice to remedy the breach; and
- (c) the Trustee Lessee has not remedied the breach by the expiration of the twenty (20) business day period (or such other time as the Trustee has allowed);

and the Trustee is entitled to end this Trustee Lease as provided for under this clause 17 and take possession of the Premises.

18. SURRENDER

- 18.1** The Trustee Lessee, with the Trustee's consent, may, at any time during the Term, surrender this Trustee Lease. On surrender, clause 19 applies.

19. TRUSTEE LESSEE'S OBLIGATIONS AT THE END OF THIS TRUSTEE LEASE

- 19.1** At the end of this Trustee Lease, if the Trustee Lessee removed its Improvements from the Premises under this Trustee Lease or otherwise, the Trustee Lessee must restore and otherwise make good the Premises to a similar condition the Premises were in before the Commencement Date to the satisfaction of the Trustee.
- 19.2** At the end of this Trustee Lease, the Trustee Lessee must leave the Premises in a clean and tidy condition to the satisfaction of the Trustee.
- 19.3** The Trustee Lessee must maintain any insurance it is required to effect under clause 15 during any period in which it may remove its Improvements (the 'removal period').
- 19.4** During the removal period, the Trustee Lessee indemnifies, releases and discharges those persons stated in clause 16 to the same extent provided for under clause 16.

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20. CANCELLATION OF TRUSTEE LEASE**20.1** If this Trustee Lease is cancelled under section 65 of the Act:

- (a) this Trustee Lease ends and no person has a right to a claim for compensation; and
- (b) any Improvements not removed from the Trust Land become the property of the Trustee.

21. REVOCATION OF DEDICATION OF WHOLE OR PART OF RESERVE OR CANCELLATION OF A DEED OF GRANT IN TRUST**21.1** If the Trust Land is a reserve under the Act:

- (a) the Minister may revoke the dedication of all or part of the reserve under section 33 of the Act;
- (b) on revocation of all or part of the reserve, this Trustee Lease, in relation to the land the subject of the revocation, is cancelled from the day the revocation of the dedication of the reserve takes effect under section 34D of the Act;
- (c) if this Trustee Lease is cancelled, no person has a right to a claim for compensation for the revocation (as provided under section 34(f) of the Act), and the Trustee Lessee must immediately vacate the Premises as required under section 34G of the Act;
- (d) on cancellation of this Trustee Lease under section 34F, improvements (as defined in the Act) that have not been removed from the Trust Land become the property of the State subject to section 34H of the Act.

21.2 If the Trust Land is a deed of grant in trust under the Act:

- (a) the Governor in Council may cancel the deed of grant in trust under section 38 of the Act;
- (b) on cancellation of the deed of grant in trust, the Trustee Lease is cancelled from the day the cancellation takes effect under section 38(6) of the Act;
- (c) if this Trustee Lease is cancelled, no person has a right to a claim for compensation for the cancellation (as provided by section 38E(e) of the Act) and the Trustee Lessee must immediately vacate the Premises as required under section 38F of the Act;
- (d) on cancellation of this Trustee Lease under section 38E, improvements (as defined in the Act) that have not been removed from the Trust Land become the property of the State subject to section 38G of Act.

PART C – ADDITIONAL LEASE PROVISIONS**22. RENTAL****22.1 Payment of Rental**

The Trustee Lessee must pay the Rental to the Trustee annually, in advance, on the anniversary of the Commencement Date. The Rental is the amount in **Item 6 of the Form 7**.

22.2 Rental Reviews

Rental Reviews shall occur on the date and in the manner set out in the Reference Schedule.

22.3 Rental Review Disputes

Where the Rental is reviewed by a Market Review, if the Trustee Lessee disagrees with the proposed rental set out in a Trustee's Notice, then the following procedure applies:

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- (a) Within twenty-one (21) days of the delivery of the Trustee's Notice (in which regard time is of the essence), the Trustee Lessee must give written notice to the Trustee that it disputes the Rental proposed;
- (b) Following the Trustee Lessee's Notice, given in accordance with sub-clause (a) of this clause, the annual market Rental will be determined by a valuer to be appointed by the President for the time being of the Australian Institute of Valuers and Land Economists (Qld Division) ("the Institute") on the application of either party;
- (c) The valuer to be appointed under sub-clause (b) of this clause must have been a member of the Institute for at least five (5) years;
- (d) The determination of the annual market Rental will be completed and notified by the valuer to the Trustee and the Trustee Lessee within thirty (30) days of submission of the question to the valuer. If the valuer does not comply with this paragraph either party may apply to the President of the Institute for appointment of a replacement valuer. The determination of the first valuer is of no effect unless it is received prior to the appointment of a replacement valuer.
- (e) In determining the annual market Rental any valuer will:-
 - (i) be deemed to be acting as an expert and not as an arbitrator;
 - (ii) exclude any deleterious condition of the Premises if that condition results from any breach of any term of this Lease by the Trustee Lessee;
 - (iii) have regard to the terms and conditions of this Lease;
 - (iv) have regard to the annual market rental of comparable premises in the vicinity of the Premises;
 - (v) value the Premises as being fit for immediate occupation and use even if work has been carried out by the Trustee Lessee or any sub-lessee, licensee or assignee which has diminished the annual market rental of the Premises and if the Premises are destroyed or damaged as if they had been fully restored and were in leasable repair;
 - (vi) value the Premises as being available to be let by a willing Trustee to a willing Trustee Lessee as a whole without a premium but with vacant possession and subject to the provisions of this Lease (other than the amount of Rental reserved by this Lease but including the provisions for Rental review) for a term equal to the original term of this Lease;
 - (vii) assume that all covenants on the part of the Trustee Lessee contained in this Lease have been fully performed and observed;
 - (viii) where the annual market Rental is to be determined for more than one office, value the Premises on an office by office basis;
 - (ix) make no reduction on account of any concession otherwise required to secure a tenant or any period of Rental abatement;
- (f) The costs of the valuation will be borne equally by the Trustee and the Trustee Lessee.
- (g) Any variation in Rental resulting from the determination takes effect on and from the review date.

22.4 Obligation To Pay Pending Determination

Pending determination of the Rental for any Rental Year, Rental will be paid at the rate payable during the Rental Year last concluded and will be adjusted retrospectively to the date of commencement of the Rental Year under review.

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22.5 Broken Periods

In the event of the Term commencing on a day other than the first day of a year or expiring on a day other than the last day of a year the Trustee Lessee shall pay to the Trustee in respect of the broken periods prior to the first complete year of the Term and subsequent to the last complete year of the Term on the first day of each of such broken periods a proportionate part of the yearly instalments payable on account of the rental. In the event of the determination of this Lease at any time other than the end of a Rental Year, the Trustee Lessee shall pay to the Trustee that proportion of the rental due prior to the date of determination and any moneys found to be due and owing by either party to the other under the provisions of this Clause shall (subject to any right of set-off) be paid within one (1) month of the date of determination.

23. OTHER CHARGES**23.1 Rates**

The Trustee Lessee shall pay all rates, taxes, charges, impositions and levies (not including land tax) assumed, charged or imposed under any Federal or State law or by any Federal, State or local authority which are, at any time during the Term assessed, charged, imposed or levied upon or in respect of the Premises, or the use or occupation of the Premises:-

- (a) If charged or assessed directly by the assessment authority, to the assessment authority by the due date for payment; or
- (b) If charged or assessed against the Trustee, to the Trustee.

23.2 Charges for Electricity

The Trustee Lessee shall pay all charges for electricity which may from time to time during the Term be imposed or charged in respect of electric current consumed in or about the Premises to the assessing authority on or before the due date for payment if assessed directly against the Trustee Lessee but otherwise to the Trustee within fourteen (14) days of being billed therefor by the Trustee. In the latter case the Trustee Lessee shall be billed in accordance with the Schedule of Tariffs from time to time issued by the appropriate Electric Authority to which shall be added any fee payable by the Trustee for the reading of the meter.

23.3 Charges for Gas

The Trustee Lessee shall pay all charges for gas which may from time to time during the Term be imposed or charged in respect of gas consumed in the Premises to the assessing authority on or before the due date for payment if assessed directly against the Trustee Lessee but otherwise to the Trustee within fourteen (14) days of being billed therefor by the Trustee,

23.4 Charges for Water

If a separate water meter shall at any time at the option of the Trustee be installed in respect of water consumed on the Premises the Trustee Lessee shall pay to the Trustee within fourteen (14) days of being billed therefor by the Trustee the water meter rental (if any) and all charges and assessments for water as are from time to time payable to any Local or other Authority in respect of water supplied to and/or consumed on the Premises.

23.5 Cleansing Dues

In the event of any Local or other Authority providing any cleansing or refuse service exclusively for the Premises or any additional cleansing service to accommodate the business conducted in the Premises (whether at the request of the Trustee or the Trustee Lessee or by direction of any officer of such authority) the Trustee Lessee shall pay the cost thereof to the assessing authority on or before the due date for payment if assessed directly against the Trustee Lessee but otherwise to the Trustee within fourteen (14) days of being billed therefor by the Trustee.

Title Reference [49011506]**23.6 Costs Of Lease**

The Trustee Lessee shall pay upon demand the following expenses:-

- (a) the usual and proper costs (on a solicitor and our client basis) of the Trustee's solicitors of and incidental to the preparation and execution of this Lease;
- (b) survey fees associated with the registration of the Lease;
- (c) the costs of registration of this Lease.

23.7 Stamp Duties

The Trustee Lessee shall upon demand pay all stamp duties from time to time assessed on this Lease and all other duties which may from time to time be assessed (whether generally or against the Trustee or against the Trustee Lessee) in respect of this Lease. The Trustee Lessee shall also if so demanded by the Trustee in the last Rental Year of the Term pay to the Trustee the estimated amount of any stamp duties or other duties which would be payable after the expiration of the Term calculated on the basis that the rental in the last Rental Year of the Term will be the same as for the Rental Year last concluded. Any refund of stamp duties received at any time shall belong to the party who bore the expense of same.

23.8 Costs of Notices Re-Entry and Consents

The Trustee Lessee shall upon demand by the Trustee pay all costs (as between solicitor and client) and expenses incurred by the Trustee in relation to any notice lawfully given to the Trustee Lessee pursuant to this Lease, the lawful determination or attempted determination of this Lease, the lawful re-entry or attempted re-entry by the Trustee into the Premises, the surrender of this Lease (including any stamp duties and registration fees thereon) and the granting of any consents by the Trustee as provided herein and of any proceedings lawfully brought by the Trustee to enforce the performance by the Trustee Lessee of his covenants and obligations under this Lease.

23.9 Legal Fees

If the Trustee shall without fault on its part be made a party to any litigation commenced by or against the Trustee Lessee (other than litigation between the Trustee and the Trustee Lessee) and arising directly or indirectly out of the Trustee Lessee's occupancy of the Premises, the Trustee Lessee shall pay to the Trustee on demand by the Trustee all legal fees and disbursements (as between solicitor and client) incurred by the Trustee in connection therewith.

23.10 Excess On Trustee's Insurance

The Trustee Lessee shall from time to time on demand by the Trustee pay to the Trustee all extra or excess premiums and other charges (if any) for insurances effected by the Trustee payable on account of extra risk caused by the use to which the Premises are put by the Trustee Lessee.

23.11 Valuation Fees

Any fees payable to a Valuer for determination of Rental hereunder shall be paid and shared equally by the Trustee and the Trustee Lessee.

23.12 Goods And Services Tax

- (a) In this sub-clause:-

"Act" means the *A New Tax System (Goods and Services Tax) Act 1999*;

"Creditable Acquisition" has the meaning attributed to that term in the GST Law;

Title Reference [49011506]

“**GST**” has the meaning attributed to that term in the GST Law;

“**GST Date**” means the date upon which this Lease becomes subject to GST for the purposes of the GST Law;

“**GST Exclusive Market Value**” has the meaning attributed to that term in the GST Law;

“**GST Free**” has the meaning attributed to that term in the GST Law;

“**GST Law**” has the meaning given to that term in the Act or should the Act be repealed, means any act of parliament imposing or relating to the imposition or administration of a goods and services tax in Australia and any subordinate legislation made under that act of parliament;

“**GST Rate**” means the rate of GST applicable to the Supply under the GST Law at the time of Supply;

“**Input Tax Credit**” has the meaning attributed to that term in the GST Law;

“**Payee**” means the party receiving the Payment;

“**Payer**” means the party making the Payment;

“**Payment**” means:-

- i) the amount of monetary consideration (exclusive of GST) or
- ii) the GST Exclusive Market Value of any non-monetary consideration (including any act or forbearance)

required to be paid or provided by the Payer to the Payee for a Supply in accordance with the terms of this Lease;

“**Supply**” has the meaning attributed to that term in the GST Law;

“**Tax Invoice**” has the meaning attributed to that term in the GST Law.

- (b) Subject to paragraph (d) of this sub-clause, any Payment required to be made under this Lease after the GST Date which is not otherwise expressed to be GST inclusive, and excepting all Payments which are not subject to GST, shall be increased by the GST Rate.
- (c) The Payee must deliver a Tax Invoice for a Payment to the Payer before or at the time the Payment is due.
- (d) Where a Payment is a repayment of, or contribution to, a Creditable Acquisition made by the Payee (including any repayment or contribution to levies, charges, expenses or other outgoings in respect of the Premises), the Payment shall, prior to the increase provided for by paragraph (b) of this sub-clause, be discounted by an amount equal to the Input Tax Credit to which the Payee is entitled for that Creditable Acquisition under the GST Law.

24. USE OF PREMISES

24.1 Permitted Use

The Trustee Lessee shall not use the Premises or any part thereof or permit the same to be used for any purpose other than that specified in the Reference Schedule without the consent in writing of the Trustee and the Minister first had and obtained which consent may be granted or refused or granted subject to conditions at the absolute discretion of the Trustee and the Minister.

Title Reference [49011506]

24.2 Source of Light and Power

The Trustee Lessee shall not use any form of light power or heat other than electric current or gas supplied through meters provided however this covenant shall not prevent the use of auxiliary power of lighting (other than an exposed flame) during any period of power failure or power restrictions.

24.3 Heating Apparatus

The Trustee Lessee shall not use any apparatus which radiates heat (other than apparatus for the heating of beverages) without the prior consent in writing of the Trustee (which consent may be withdrawn at any time) and then only in such positions and subject to such conditions as may be specified in such consent.

24.4 Auction Sales

The Trustee Lessee shall not in any circumstances hold or permit to be held any auction, bankrupt or fire sale on the Premises.

24.5 Overloading of Services

The Trustee Lessee shall not install any equipment or system in the Premises that overloads or may overload any Services to the Premises. If the Trustee at the request of the Trustee Lessee upgrades the Services to accommodate the equipment which the Trustee Lessee desires to install including carrying out any alterations which may be necessary to comply with the requirements of the insurance underwriters of the Building and any statutes, regulations, ordinances or by-laws relating thereto the entire cost to the Trustee of such alterations shall be paid by the Trustee Lessee upon demand by the Trustee provided always that the Trustee may require the Trustee Lessee to deposit with the Trustee the estimated cost thereof before any such alterations are commenced.

24.6 Overloading of Floors

The Trustee Lessee shall observe the maximum floor loading weights nominated from time to time by the Trustee and shall not permit the floors of the Premises to be broken strained or damaged by overloading in any manner howsoever. In particular the Trustee Lessee shall not install any safes or other heavy equipment except in such positions and subject to such conditions as the Trustee may in writing approve.

24.7 Use of Appurtenances

The Trustee Lessee shall not use or permit to be used the appurtenances for any purpose other than those for which they were constructed and shall not place or permit to be placed therein any substances which they were not designed to receive.

24.8 Air-Conditioning and Fire Alarm Equipment

Where any airconditioning or fire alarm system of the Trustee is installed in the Premises, the Trustee Lessee shall not interfere with any such system or in any way obstruct or hinder access to it.

24.9 Interference with Services

The Trustee Lessee shall not interfere with any Services contained in or about the Premises or any of the Appurtenances without the prior consent in writing of the Trustee.

24.10 Upgrading Services

The Trustee Lessee will be responsible at its own cost for upgrading or providing any Services to the Premises required to properly carry out the Trustee Lessee's business.

Title Reference [49011506]

24.11 Erection of Signs

The Trustee Lessee shall not paint, erect or affix or permit to be painted, erected or affixed any signs, notices or advertisements to any part of the Premises without the prior consent in writing of the Trustee which consent may be granted or refused or granted subject to conditions in the discretion of the Trustee provided that the Trustee shall not withhold its consent to or impose arbitrary or unreasonable conditions on the erection of the Trustee Lessee's trading sign.

24.12 Erection of Fittings

The Trustee Lessee shall not erect or affix any blinds, awnings, partitions or other fittings to the Premises or any part thereof without the prior consent in writing of the Trustee which consent may be granted or refused or granted subject to conditions in the discretion of the Trustee.

24.13 Holing of Walls

The Trustee Lessee shall not cut, make holes in, mark, deface, drill, damage nor suffer to be cut, holed, marked, defaced, drilled or damaged any of the floors, walls, ceilings or other parts of the Premises except so far as may be reasonably necessary for the erection of approved signs, blinds, awnings, partitions or other fittings and on the removal of any such signs, blinds, awnings, partitions or other fittings the Trustee Lessee shall reinstate, repair and make good any damage caused in or about the erection or removal thereof notwithstanding that the Trustee may have consented thereto.

24.14 Cleaning of the Premises

The Trustee Lessee will:-

- (a) keep the Premises (including the whole of the interior of the Building and internal and external surfaces of the windows and glass) in a thorough state of cleanliness;
- (b) not allow any accumulation of useless property or rubbish; and
- (c) at its own expense, employ staff for the regular daily cleaning of the Interior of the Building and interior and exterior surfaces of windows and glass on every day during which the Premises are open for business.

24.15 External Areas

The Trustee Lessee will maintain all areas outside the Building in good order and condition and will:-

- (a) weed all gardens and landscaped areas;
- (b) mow all lawns and keep them neat and tidy; and
- (c) generally maintain the grounds and keep them neat and free from rubbish.

24.16 Refuse

The Trustee Lessee shall at his own cost and expense cause all wet refuse (if any) to be removed daily outside of normal trading hours and shall also at his own cost and expense cause to be removed from time to time all packing materials, cartons, containers and other waste material of every description which do not form part of the normal refuse removed by the local authority. Refuse which is removed by the local authority shall be properly wrapped and placed in the bins provided for the Premises.

Title Reference [49011506]

24.17 Rodents and Vermin

The Trustee Lessee at its own must keep the Premises tidy and free of vermin and noxious plants and weeds subject to the provisions contained in clause 8 and 9.

24.18 Infectious Disease

In the event of any infectious disease happening upon the Premises which may require notification by virtue of any statute, regulation or ordinance, the Trustee Lessee shall give all the necessary notices and any other information which may be required in respect thereof to the proper authorities and shall give notice in writing thereof to the Trustee and shall at his own expense thoroughly fumigate and disinfect the Premises.

24.19 Inflammable Substances

The Trustee Lessee shall not bring upon or store in the Premises any explosive or any inflammable or corrosive fluids or chemicals except such as are normally consumed or sold by the Trustee Lessee in the conduct of his business, and then only as long as the same are confined in containers in which the same are normally sold to the public.

24.20 Conduct Voiding Insurance

The Trustee Lessee shall not at any time do, permit or suffer to be done or omit to do any act, matter or thing upon the Premises whereby any insurances effected by the Trustee in respect of the Building may be vitiated or rendered void or voidable or (except with the approval in writing of the Trustee) whereby the rate of premium on any such insurance policies shall be liable to increase. The Trustee Lessee shall do, permit or suffer to be done immediately upon the request of the Trustee all things necessary to continue in force any insurances which have been effected by the Trustee.

24.21 Notice of Damage

The Trustee Lessee shall advise the Trustee promptly in writing of any damage sustained to the Premises or any part thereof which is reasonably apparent or the defective operation of any of the Appurtenances therein.

24.22 Security

The Trustee Lessee shall cause all exterior doors and windows in the Building to be securely locked and fastened at all times when the Premises are not being used.

24.23 Annoying or Injurious Conduct

The Trustee Lessee shall not carry on or permit to be carried on in any part of the Premises any annoying, noxious, offensive or illegal business, occupation or practice nor shall the Trustee Lessee do or permit to be done therein any act or thing which shall or may be or grow to the annoyance, nuisance, grievance, damage or disturbance of the Trustee or of the occupiers of neighbouring premises.

24.24 Public Address Systems

The Trustee Lessee shall not operate or permit to be operated within the Premises any radio or television received loud speaker amplifier or other similar device in such manner that the sound therefrom may be heard in any part of the common areas or in the premises occupied by others.

24.25 Regulations Ordinances and Local Laws

The Trustee Lessee shall at the Trustee Lessee's expense observe, perform and fulfil all the requirements of any statutes, regulations, ordinances or local laws so far as the same may apply to the Premises or to any business or businesses from time to time being conducted therein and in particular but without limiting the generality of the foregoing shall comply with the requirements of all such statutes, regulations, ordinances or local laws relating to health, water supply, sewerage and fire (save and except such of them as may require structural alterations or

Title Reference [49011506]

additions to the Premises unless such alterations or additions be occasioned by the nature of the Trustee Lessee's business or the number or gender of the Trustee Lessee's employees) and shall not knowingly or wilfully do or permit to be done anything which may conflict with any such statutes, regulations, ordinances or local laws.

24.26 Compliance with Requirements

The Trustee Lessee shall at the Trustee Lessee's expense observe, perform and fulfil all the requirements of any health, local or other authority relating to the Premises and other improvements, buildings and other structures thereon.

24.27 Town Planning Consents

If the use intended to be made by the Trustee Lessee of the Premises requires the consent of the relevant local authority under the Town Planning Scheme for that local authority the Trustee Lessee shall at his own cost and expense apply for such consent and the Trustee shall as the registered proprietor of the land consent to any such application. The failure of the Trustee Lessee to obtain such consent shall not in any way affect the obligations of the Trustee Lessee under this Lease PROVIDED ALWAYS that upon such failure and whilst it persists the Trustee may determine this Lease by notice in writing to the Trustee Lessee.

24.28 Environmental Protection Act Provisions

- (a) The Trustee does not warrant that the Land is not contaminated land or has not been used for a Notifiable Activity within the meaning of the Environmental Act.
- (b) The Trustee Lessee acknowledges and agrees that it has made such inspections and enquiries as it has desired to make to satisfy itself whether or not the Land is contaminated land or has not been used for a Notifiable Activity within the meaning of the Environmental Act.
- (c) The Trustee Lessee shall not cause, and shall not permit its employees, agents, contractors, customers, invitees, clients or others (with or without invitation) who may at any time be in or upon the Premises to cause the Land to become contaminated land within the meaning of the Environmental Act.
- (d) The Trustee Lessee shall indemnify and keep indemnified the Trustee in respect of any claim, remedy, damage, loss, liability, cost, charge, expense, payment or other expenditure for which the Trustee shall or may be or become liable, whether during or after the Term, in respect of or arising from the Trustee Lessee causing, or permitting its employees, agents, contractors, customers, invitees, clients or others (with or without invitation) who may at any time be in or upon the Premises to cause the Land or any land or place to become contaminated land within the meaning of the Environmental Act.
- (e) If the Trustee Lessee causes or permits its employees, agents, contractors, customers, invitees, clients or others (with or without invitation) who may at any time be in or upon the Premises to cause the Land to become contaminated land or that a Notifiable Activity has been, is being or is likely to be carried on the Premises, unless the Notifiable Activity is permitted under the Permitted Use clause, within the meaning of the Environmental Act, the Trustee Lessee must immediately notify the Trustee in writing (in addition to any notification requirements under the Environmental Act) and shall forthwith take such remediation measures (in addition to any remediation measures which the Trustee Lessee may be required to take by the Chief Executive as defined in the Environmental Act) as the Trustee may reasonably require.
- (f) If the Trustee Lessee fails to take the remediation measures referred to in sub-clause (e) above, the Trustee may elect to take such remediation measures as the agent of the Trustee Lessee and the total amount of all costs, charges, expenses, payments or other expenditure incurred by the Trustee shall constitute a liquidated debt due and owing by the Trustee Lessee to the Trustee and shall be paid by the Trustee Lessee to the Trustee on demand by the Trustee.
- (g) The Trustee Lessee must, at the request of the Trustee, provide all relevant information to enable the Trustee to respond to a notice or requirement given to the Trustee by the Administering Authority under the Environmental Act.

Title Reference [49011506]

24.29 Environmental Protection Act Provisions

- (a) The Trustee Lessee must ensure the Trustee Lessee's occupation and use of the Premises complies with the Environmental Laws to the extent that such laws are applicable to the Trustee Lessee's use and occupation of the Premises.
- (b) The Trustee Lessee must not carry out and shall not permit the Trustee Lessee's employees, agents, contractors, customers, invitees, clients or others (with or without invitation) to carry out any activity on the Premises that causes, or is likely to cause, Environmental Harm.
- (c) If the Trustee Lessee becomes aware that Environmental Harm is caused or threatened by an activity being carried out on the Premises, the Trustee Lessee must immediately notify the Trustee in writing (in addition to any notification requirements under the Environmental Act) and shall forthwith take such remediation measures (in addition to any remediation measures which the Trustee Lessee may be required to take by the Chief Executive as defined in the Environmental Act) as the Trustee may reasonably require.
- (d) If the Trustee Lessee fails to take the remediation measures referred to in sub-clause (c) above, the Trustee may elect to take such remediation measures as the agent of the Trustee Lessee and the total amount of all costs, charges, expenses, payments or other expenditure incurred by the Trustee shall constitute a liquidated debt due and owing by the Trustee Lessee to the Trustee and shall be paid by the Trustee Lessee to the Trustee on demand by the Trustee.
- (e) The Trustee Lessee must immediately notify the Trustee in writing if a complaint is made or proceedings are instituted or a notice, order or other directive is issued against the Trustee Lessee in connection with any issues relating to the Environment or any non-compliance with Environmental Laws in respect of the Premises or in connection with the Trustee Lessee's occupation or use of the Premises or the Trustee Lessee's activities carried out in the Premises.
- (f) Without limiting the generality of clause 16 of this Lease, the Trustee Lessee indemnifies the Trustee against all Environment Liabilities, whether arising before during or after the Term or any renewed term, incurred by the Trustee as a result of the Trustee's occupation or use of the Premises or the Trustee Lessee's activities carried on in the Premises or the Trustee Lessee's failure to comply with clause 16 and this clause, either directly or indirectly.

25. MAINTENANCE AND REPAIR OF PREMISES**25.1 Trustee Lessee's Obligation to Repair**

Save as aforesaid the Trustee Lessee shall at its own cost and expense keep and maintain the Premises and all Services thereto in good and substantial repair, order and condition as at the Commencement Date except for fair wear and tear and damage by fire, flood, storm, tempest, explosion, riot, civil commotion, war or otherwise by inevitable accident or act of God or by any structural or other defect in the Premises or any part thereof and without any neglect or default on the part of the Trustee Lessee provided always that the exception in respect of fair wear and tear shall apply subject to the express obligations of the Trustee Lessee in this Clause headed "Maintenance and Repair of Premises" and then only if the Trustee Lessee shall have taken all reasonable measures and precautions as required by this Lease to ensure that any damage, defect or dilapidation which at any time shall be attributable to fair wear and tear shall not give, cause or contribute to any further consequential damage to the Premises and provided that the Trustee Lessee must first submit details of all proposed repairs and the identity of the contractors engaged to undertake them, to the Trustee for approval, which approval shall not be unreasonably withheld.

25.2 Trustee Lessee's Property and Improvements or Alterations

The Trustee Lessee must maintain the Trustee Lessee's Property and any Improvements or Alterations owned or made by the Trustee Lessee to the Premises in good and tenantable repair, fair wear and tear excepted.

Title Reference [49011506]

25.3 Responsibility for Employees, Contractors and Agents

The Trustee Lessee is responsible for any damage caused to the Premises by the Trustee Lessee's Employees or Contractors.

25.4 Inspection by Trustee

The Trustee may by itself or its agents and with or without workmen and others at all reasonable times enter upon and view the state of repair and condition of the Premises and leave upon the Premises a notice in writing requiring the Trustee Lessee to carry out any repair, maintenance, replacement, cleaning or other defect which is the Trustee Lessee's obligation under this Lease within a stated period of time (the Trustee in specifying such time to have reasonable regard to the extent of the repairs to be effected) PROVIDED THAT should the Trustee Lessee not remedy such defects within such stated period of time in such notice it shall be lawful for (but not obligatory on) the Trustee without prejudice to its rights of re-entry to enter upon the Premises and repair the same at the expense of the Trustee Lessee in accordance with the conditions herein contained and the Trustee shall not be responsible for any loss or damage which may result therefrom to the business conducted on the Premises or to the Trustee Lessee, its servants, agents, licensees or invitees and the expense of such repairs shall be repaid by the Trustee Lessee to the Trustee on demand.

25.5 Doors Locks and Windows

The Trustee Lessee shall at all times during the Term and at his own cost and expense keep and maintain the doors, locks, windows and window fittings of the Premises in good and efficient working order and condition as at the Commencement Date and at the expiration or sooner determination of the Term return all keys of the Premises to the Trustee.

25.6 Bulbs and Tubes

The Trustee Lessee shall at his own expense from time to time replace all broken or faulty light bulbs and tubes in the Premises.

25.7 Drains and Wastes

The Trustee Lessee shall keep and maintain the waste pipes, drains and conduits originating within the Premises in a clean, clear and free flowing condition between their points of origin and their entry into any truck drain and shall at his own expense employ licensed tradesmen to clear any blockages which may occur therein.

25.8 Appurtenances

The Trustee Lessee shall at his own cost and expense keep and maintain the Appurtenances on the Premises in good and efficient working order and condition and shall employ competent and licensed tradesmen to effect all necessary repairs provided that the Trustee must first submit details of all proposed repairs, and the identity of the contractors undertaking them, to the Trustee for approval, which approval shall not be unreasonably withheld.

25.9 Air-Conditioning Equipment

Where any airconditioning system of the Trustee is installed in the Premises the Trustee Lessee shall enter into and keep current at the Trustee Lessee's cost such maintenance service and repair contracts as are reasonably required by the Trustee for that purpose with contractors approved by the Trustee.

25.10 Plate Glass

The Trustee Lessee shall promptly and at its own expense repair or replace all broken, cracked or damaged plate or other glass in the Premises provided that the Trustee must first submit details of all proposed repairs, and the identity of the contractors undertaking them, to the Trustee for approval, which approval shall not be unreasonably withheld.

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25.11 Tap Washers and Minor Toilet Fittings

The Trustee Lessee shall replace all broken or faulty tap washers, toilet seats cistern flushing components in the Premises at its own expense and employ licence competent and licensed tradesmen to effect all necessary repairs provided that the Trustee must first submit details of all proposed repairs, and the identity of the contractors undertaking them, to the Trustee for approval, which approval shall not be unreasonably withheld.

25.12 Signs

The Trustee Lessee shall at his own expense and to the reasonable satisfaction of the Trustee keep and maintain any signs painted, erected or affixed to the exterior of the Premises or any part thereof in good repair and of good appearance.

25.13 Painting of Interior

The Trustee Lessee shall, at its own cost and expense immediately prior to the Expiry Date or earlier determination of the Term, paint the walls, ceilings and other parts of the interior of the Building, which have any time been previously painted with no less than two (2) coats of first quality paint in a proper and workmanlike manner in such colour as approved in writing by the Trustee provided that the Trustee must first submit details of all proposed repairs, and the identity of the contractors undertaking them, to the Trustee for approval, which approval shall not be unreasonably withheld.

25.14 Fencing

The Trustee Lessee must fence the Premises in accordance with any directions of the Trustee to do so.

25.15 Livestock

The Trustee Lessee shall not graze or permit or suffer to be grazed on any part of the Premises any livestock or other animals except as may be approved in writing by the Trustee.

25.16 Digging and Removal

The Trustee Lessee shall not dig or remove or cause or allow to be dug or removed from the Premises without the previous consent in writing of the Trustee and the Minister any turf, clay, sand, soil, gravel or stone.

25.17 Improvements or Alterations

The Trustee Lessee shall not make or cause to be made any alterations, additions or improvements to the Premises or to the Services thereto or Appurtenances therein contained without the prior consent in writing of the Trustee which consent may be granted or refused or granted subject to conditions at the discretion of the Trustee. Any consent granted by the Trustee under this clause shall be conditional upon the following procedures and conditions being complied with except to the extent that the Trustee may in writing waive compliance:

- (a) the Trustee Lessee shall submit detailed drawings and other specifications of the proposed works to the Trustee;
- (b) the Trustee may refer the drawings and specifications to a consultant ("the Trustee's Consultant") for his approval who in approving the proposed works or otherwise shall have regard to the manner in which and the extent to which the same may affect the Building or the Services thereto or the Appurtenances therein;
- (c) if the consent of any local or other authority is required for any such alterations, additions or improvements approved of by the Trustee such consent shall be obtained by and at the cost of the Trustee Lessee before any work is commenced but the Trustee shall as necessary sign or endorse its consent as proprietor of the Land on any application for such consent;

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- (d) the works, if approved, shall be carried out at the cost of the Trustee Lessee by contractors who have a current public liability policy for an amount of not less than TWENTY MILLION DOLLARS (\$20,000,000.00) and who are previously approved of in writing by the Trustee or the Trustee's Consultant;
- (e) the works shall be carried out in a proper and workmanlike manner to the satisfaction of the Trustee's Consultant and if the Trustee so requires under the supervision of the Trustee's Consultant;
- (f) the Trustee Lessee shall pay the Trustee upon demand the costs of the Trustee's Consultant relating to such approvals (whether the proposed works are approved or not) and supervision.

25.18 Minister's Consent to Improvements Required

If the Minister's consent to this Lease is given pursuant to s 59(2) of the Act in addition to any other approvals or consents required pursuant to this Lease, the Trustee Lessee must obtain the Minister's approval prior to the construction or placement by the Trustee Lessee of any improvements on the Premises. If and once obtained the Trustee Lessee must evidence such approval to the Trustee upon request by the Trustee.

25.19 Removal of Improvements or Alterations

The Trustee Lessee must not remove any part of the Improvements or Alterations to the Premises without the prior written approval by the Trustee.

25.20 Refurbishment

The Trustee Lessee shall at the expiration of the first five (5) years of the Term refurbish the Premises to such extent as is necessary to restore the Premises to an attractive state of appearance to the satisfaction of the Trustee.

26. DAMAGE OR DESTRUCTION OF THE PREMISES**26.1 Abatement of Rental and Suspension of Covenant of Repair**

If the Premises or any part thereof shall at any time be damaged or destroyed by any disabling cause including fire, flood, storm, tempest, explosion, riot, civil commotion, war or otherwise by inevitable accident or act of God and without any neglect or default on the part of the Trustee Lessee so as to render the Premises or any part wholly or partially unfit for occupation or use by the Trustee Lessee in the conduct of his business payment of the rental or a proportionate part thereof according to the extent of the damage sustained and the covenants to repair herein contained so far as they relate to any such destruction or damage shall be suspended until the Premises shall have been restored and again put in a proper condition fit for use by the Trustee Lessee for the purpose of his business but nothing herein contained or implied shall oblige the Trustee to restore or rebuild the Premises or any part thereof or to restore or rebuild the Premises according to the former specifications thereof so long as the layout and dimensions of the Premises and the services thereto be not substantially different from the layout and dimensions of the Premises and the services thereto prior to such damage or destruction and the materials employed therein be not of inferior quality or aesthetic appearance to the materials formerly used therein.

26.2 Trustee Lessee May Determine If No Reinstatement

If the Premises shall be destroyed or so damaged by any of the causes or agencies last mentioned and without any neglect or default on the part of the Trustee Lessee so that the Premises are wholly unfit for the occupation and use of the Trustee Lessee and the restoration of the Premises shall not have been substantially commenced within a reasonable time from the date of such destruction or damage the Trustee Lessee may give notice in writing to the Trustee of his intention to cancel this Lease at the expiration of three (3) months from the giving of such notice and if such restoration has not been substantially commenced within such period of three (3) months the Trustee Lessee may thereafter at any time before such restoration has been substantially commenced forthwith cancel this Lease by executing a surrender in registrable form on the prescribed form and delivering the same together with the Trustee Lessee's copy of this Lease to the Trustee and this Lease shall thereupon be determined without prejudice to any claim by either party against the other in respect of any antecedent breach of any of the provisions or agreements herein contained or implied

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26.3 Trustee May Determine

If the Premises or part thereof shall be destroyed or so damaged by any of the causes or agencies aforesaid so that the Premises are wholly or substantially unfit for the occupation and use of the Trustee Lessee the Trustee may in lieu of restoring or causing the Premises to be restored give notice in writing to the Trustee Lessee cancelling this Lease and this Lease shall thereupon be determined but without prejudice to any claim by either party against the other in respect of any antecedent breach of any of the provisions or agreements herein contained or implied.

26.4 Arbitration of Disputes

If any dispute, question or difference shall arise between the parties as to the meaning, operation or effect of the preceding clauses of this clause headed "Damage or Destruction of Premises" or as to the rights or liabilities of either of the parties hereto under such clauses such dispute, question or difference shall be referred to the arbitration of an independent arbitrator to be appointed by the President or by the person for the time being fulfilling the office of President of the Queensland Law Society Incorporated whose decision or award shall be conclusive and binding on the parties and any such submission or arbitration shall be deemed to be a submission to arbitration within the meaning of the *Commercial Arbitration Act 1990* and subject to the provisions of that Act an award pursuant to a reference to arbitration in accordance with the provisions hereof shall be a condition precedent to any action or other legal proceedings between the parties relating to such dispute, question or difference.

27. RESERVATIONS**27.1 Trustee Reservation**

The Trustee reserves the right to make the Premises available free of charge for use of school sporting activities and by charitable, service or other community groups for special occasions for such period as the Trustee may in its discretion allow but in a way likely to cause little disruption as practicable to the Trustee Lessee's use of the Premises.

27.2 Right Of Entry To Effect Works

The Trustee expressly reserves the right and the Trustee Lessee shall permit the Trustee with contractors workmen and others and with all necessary materials, machinery and appliances at all times to enter upon the Premises for all or any of the following purposes:-

- (a) Effecting any alterations, remodelling or repairs which may be incumbent upon the Trustee by law or which the Trustee may wish to carry out for ensuring the safety and preservation of the Premises or any part thereof; or
- (b) Erecting, laying or installing in or under or over the Premises any poles, masts, posts, drains, conduits, pipes, mains, cables, electric or other wires which may from time to time be required for any existing or future services to the Premises or any part thereof; or
- (c) Inspecting, removing, installing, maintaining, repairing, altering or adding to the appurtenances and to any of the Services to the Premises or any part thereof;

PROVIDED ALWAYS that except in an emergency (as to which the Trustee shall be the sole judge) when this right of entry may be exercised at any time the Trustee shall carry out such works in such a manner as to minimise so far as may be practicable any inconvenience or interruption to the business of the Trustee Lessee caused thereby.

27.3 Viewing

The Trustee reserves the right and the Trustee Lessee shall permit at all reasonable times of the day prospective purchasers of the Premises (and also prospective trustee lessees of the Premises during the period of three (3)

Title Reference [49011506]

calendar months immediately preceding the Expiry Date) either bearing the written authority of or accompanied by the Trustee or its agents to view the Premises.

27.4 Additions to the Building

The Trustee may at any time during the Term at its absolute discretion build additions to the Building and for that purpose may (without incurring any liability to the Trustee Lessee) interrupt the Services to the Premises provided always that the Trustee shall carry out such works in such a manner as to minimise so far as may be practicable any inconvenience to or interruption to the business of the Trustee Lessee caused thereby.

27.5 Other Interests

The Trustee Lessee will at all times during the Term permit any person having any estate or interest in the Premises superior to or concurrent with the Trustee to exercise the Trustee's or such other person's powers to enter and view the Premises and to carry out repairs, renovations, maintenance and other work thereon and otherwise to exercise or perform their lawful rights or obligations in regard thereto.

27.6 Benefit of Trustee Lessee's Covenants

In the event of a person other than the Trustee becoming entitled to receive the rental either by operation of law or otherwise such person shall have the benefit of all covenants and agreements on the part of the Trustee Lessee hereunder and the Trustee Lessee at the cost of the Trustee will enter into such covenants with such other persons in this regard as the Trustee may reasonably require.

28. TRUSTEE'S LIABILITIES AND INDEMNITIES**28.1 Quiet Enjoyment**

Subject to the rights, powers, remedies and reservations of or to the Trustee, the Trustee covenants that if the Trustee Lessee pays the Rental and observes and performs the terms, covenants and conditions on its part contained in this Lease, the Trustee Lessee may occupy and enjoy the Premises during the Term without any interruption by the Trustee or by any person rightfully claiming through, under or in trust for the Trustee.

28.2 Rates Taxes and Outgoings

The Trustee shall pay promptly as and when they fall due all rates taxes charges assessments and other outgoings assessed or chargeable in respect of the Land except as otherwise provided in this Lease.

28.3 Suitability of Premises

The Trustee does not expressly or impliedly warrant that the Premises are at the Commencement Date or will remain fit, suitable or adequate for all or any of the purposes of the Trustee Lessee and all warranties (if any) as to the suitability, fitness and adequateness of the Premises implied by law are negated.

28.4 Assumption of Risk By Trustee Lessee

The Trustee Lessee agrees to occupy and use the Premises at the risk of the Trustee Lessee and the Trustee shall not in any circumstances and notwithstanding anything contained in this Lease to the contrary be liable to the Trustee Lessee for any damage to the plant, equipment, fixtures, fittings, merchandise, stock-in-trade or any other property of any description of or in the possession of the Trustee Lessee and contained in or about the Premises howsoever occurring or for any loss of profits resulting therefrom.

28.5 Interruption of Services

Notwithstanding any implication or rule of law to the contrary the Trustee shall not in any circumstances be liable to the Trustee Lessee for any loss or damage suffered by the Trustee Lessee for any malfunction, failure to function or interruption of or to any Services or the Appurtenances contained in the Premises from any cause whatsoever.

Title Reference [49011506]

28.6 Condition of Trustee's Liability

Notwithstanding anything herein contained or implied to the contrary the Trustee shall not in the case of a remediable breach be or be deemed to be in default in the observance and performance of its obligations hereunder unless the Trustee Lessee shall have given notice in writing to the Trustee of such default and the Trustee has failed within a reasonable time thereafter to take proper steps to rectify such default.

29. DEFAULT OF TRUSTEE LESSEE**29.1 Trustee May Rectify**

If the Trustee Lessee shall fail to pay any moneys or charges as required hereunder to any person other than the Trustee or if the Trustee Lessee shall fail to perform any affirmative covenant on the part of the Trustee Lessee under this Lease the Trustee may at its option as the agent of the Trustee Lessee make any such payment or do all such acts and things and incur such expenses as may be necessary to perform such covenants and the full amount of any payments made or expenses incurred shall constitute a liquidated debt due and owing by the Trustee Lessee to the Trustee and shall be paid by the Trustee Lessee to the Trustee on demand by the Trustee.

29.2 Interest on Overdue Payments

- (a) If the Trustee Lessee shall fail to pay to the Trustee the Rental or any part thereof or any other moneys which are payable by the Trustee Lessee to the Trustee under this Lease within seven (7) days from the due date for the payment thereof the Trustee Lessee shall pay to the Trustee interest at the Default Rate thereon or on so much thereof as shall remain unpaid from the due date or dates for the payment thereof until the same shall be actually paid and also upon any judgment which the Trustee may obtain against the Trustee Lessee from the date of any such judgment until the same shall be satisfied.
- (b) Rental or other moneys falling due for payment but unpaid as a result of consecutive breaches of the same covenant shall bear interest at the rate applicable to the Rental or other moneys (as appropriate) which were due and unpaid on the breach of the covenant which first occurred.
- (c) Such interest shall:
- i) accrue from day to day;
 - ii) be capitalised on the last day of each month;
 - iii) be payable on the first day of each month where an amount arose in the preceding month or months;
 - iv) be computed from the due date for payment of the rental or other moneys (as appropriate) until payment of such rental or other moneys in full; and
 - v) be recoverable in the same manner as rental in arrears.

29.3 Separate Suits

The Trustee may without prejudice to any other remedy sue the Trustee Lessee for any moneys which may from time to time become due and owing by the Trustee Lessee to the Trustee hereunder and in particular the Trustee may sue for any instalments of Rental as and when the same become due and by a separate suit or suits sue for any further sum or sums which may be found to be due and owing by the Trustee Lessee to the Trustee upon the completion of the calculations required to be made at the end of each Rental Year and neither the institution of any such suit nor the entering of judgment therein shall bar the Trustee from bringing a separate or subsequent suit or suits for the balance of any rental or other moneys due to the Trustee hereunder.

Title Reference [49011506]

29.4 Definition of Default

If:-

- (a) **Rental in arrears** – the rental or any part thereof is in arrears and unpaid for seven (7) days after the same shall have become due whether demanded or not; or
- (b) **Failure to pay moneys** – any moneys (other than rental) payable by the Trustee Lessee to the Trustee hereunder on demand are not paid within fourteen (14) days of the making of demand therefor or if any other moneys payable by the Trustee Lessee to the Trustee are not paid by the due date for payment; or
- (c) **Failure to effect repairs** – the Trustee Lessee fails or refuses to effect any repairs required by any Notice given in terms of the clause headed "Inspection by Trustee" within the time specified in the Notice; or
- (d) **Breach of covenants** – the Trustee Lessee fails to perform or observe any of the other covenants or conditions contained in this Lease on the part of the Trustee Lessee whether positive or negative; or
- (e) **Insolvency** – the Trustee Lessee being a company enters into liquidation (whether voluntary, compulsory or provisional or is wound up or dissolves or enters into a scheme of arrangement for creditors or is placed under official management) or a receiver and/or manager or provisional liquidator is appointed; or
- (f) **Execution against lease** – the interest of the Trustee Lessee under this Lease is attached or taken in execution under any legal process,

then and in any such cases the Trustee Lessee shall be deemed to have made default.

29.5 Essential Terms

The covenants contained in the clauses headed "Payment of Rental", "Permissible Use", "Trustee Lessee's Obligation to Repair", "Insurance", "Release and Indemnity" and in the clause headed "Transfer Mortgage Or Sublease" are essential covenants of this Lease the breach of any of which will amount to a fundamental breach of an essential term of this Lease and which shall entitle the Trustee to any one or more of the following remedies namely:-

- (a) to re-enter the Premises;
- (b) to forfeit the Lease;
- (c) to sue for and recover damages from the Trustee Lessee for loss occasioned by the breach

AND the Trustee Lessee further covenants and agrees with the Trustee that the Trustee's rights hereunder shall be without prejudice to any other rights of the Trustee under this Lease or at law or in equity. The failure to refer to a clause herein shall not of itself mean the clause is not essential.

Should the Trustee terminate this Lease following any such fundamental breach or otherwise then, without prejudice to any other right or remedy of the Trustee herein contained or implied, it is expressly agreed and declared that the Trustee shall be entitled to recover from the Trustee Lessee as and by way of liquidated damages for such breach arrears of rental, all expenses of and incidental to re-letting and the difference, if any, between the rental and any other moneys which would have been payable by the Trustee Lessee for the unexpired residue of the Term, but for such determination calculated from the date of such determination to the Expiry Date and the rental and other moneys which the Trustee shall obtain by re-letting the Premises for the unexpired residue of the Term, provided the Trustee shall not be required or obliged to offer or accept in respect of such re-letting terms, covenants or conditions which are the same or similar to the terms, covenants or conditions herein contained or implied.

Title Reference [49011506]

29.6 Trustee Lessee's Right to Remove Fittings

Provided the Trustee Lessee shall have duly paid the rental and duly observed, performed and fulfilled all the terms, covenants and conditions on his part to be duly observed, performed and fulfilled under this Lease the Trustee Lessee shall have the right to remove any removable improvements from the Premises which have been erected or installed by the Trustee Lessee during or prior to the Term or purchased with the consent of the Trustee from any previous Trustee Lessee of the Premises (other than shop fronts or any other fixtures the cost of which has been paid by or subsidised by the Trustee or its predecessors in title) within thirty (30) days prior to the Termination (other than Cancellation under Clause 20) of this Lease PROVIDED THAT such removal can be effected without causing any substantial damage to the Premises and provided further that the Trustee Lessee shall make good any damage whatsoever caused to the Premises by such removal.

29.7 Trustee Lessee's Obligations to Remove Fittings

If the Trustee Lessee shall not have done so as of right under the provisions of the preceding clause the Trustee Lessee shall if required so to do by the Trustee remove from the Premises within forty-eight (48) hours from the expiration or sooner determination of the Term any such removable improvements (to which such requirements shall relate) and will make good any damage whatsoever caused to the Premises by such removal and if required by the Trustee shall re-alter any alterations made by the Trustee Lessee so that the Premises shall be converted back to their original layout provided always that the Trustee may at its option itself cause any such removable improvements to be removed and any such damage to be made good and any such alterations to be so re-altered and may recover the costs thereof from the Trustee Lessee as a liquidated debt payable on demand.

29.8 Abandoned Fittings Belong To Trustee

Any fixtures or fittings not removed by the Trustee Lessee either as of right or by requirement of the Trustee as aforesaid shall be deemed abandoned by the Trustee Lessee and shall be and become the property of the Trustee.

29.9 Antecedent Breaches

The determination of this Lease shall not prejudice nor affect any rights or remedies of the Trustee against the Trustee Lessee on account of any antecedent breach by the Trustee Lessee of any of the covenants and restrictions on the part of the Trustee Lessee hereunder.

30. GENERAL PROVISIONS**30.1 Notice to Trustee Lessee**

Any notice or demand in writing required to be given by the Trustee to the Trustee Lessee shall be sufficiently served if:-

- (a) served personally or left addressed to the Trustee Lessee on the Premises;
- (b) sent by facsimile machine to the Trustee Lessee's facsimile machine; or
- (c) forwarded by prepaid security post addressed to the Trustee Lessee at the Trustee Lessee's last known place of business or abode or the Trustee Lessee's registered office if the Trustee Lessee is a corporation.

The Trustee Lessee shall forthwith provide the Trustee with full written particulars of the address and facsimile information of the Trustee Lessee and of any Guarantors and shall update such particulars in the event of any change.

30.2 Notice to Trustee

Any notice or demand in writing required to be given by the Trustee Lessee to the Trustee shall be sufficiently served if:-

Title Reference [49011506]

- (a) served personally; or
- (b) sent by facsimile machine to the Trustee's facsimile machine; or
- (c) forwarded by prepaid security post addressed to the Trustee.

All such notices must be addressed to the Trustee at the address specified in the Reference Schedule or at such other address as the Trustee shall from time to time nominate.

30.3 Time of Service

Any notice, demand or application given under this Lease if sent by post shall be deemed to have been given on the week day other than a public holiday next following the day on which the same was posted and if sent by facsimile shall be deemed to have been served at the time and on the day that the whole of the notice, demand or application has been transmitted from the sending facsimile machine and the receiving machine does not forthwith indicate any malfunction in the transmission.

30.4 Moratorium Negatived

Unless application is mandatory by law, any statute, proclamation, order, regulation or moratorium present or future shall not apply to this Lease so as to abrogate, extinguish, impair, diminish, fetter, delay or otherwise prejudicially affect any rights, powers, remedies or discretions given or accruing to the Trustee.

30.5 Property Law Act

If and when any inconsistency exists between these provisions and those expressed or implied by the *Property Law Act 1974* as amended, the provisions herein shall prevail over those expressed or implied by the said Acts subject always to the provisions of the *Land Act 1994*.

30.6 Lease Contains Entire Agreement

The Trustee Lessee acknowledges that the terms, covenants and conditions set out in this Lease and any consent in writing given pursuant to any of the provisions herein contain the entire agreement as concluded between the Trustee and the Trustee Lessee and that there are no other oral or collateral agreements between the parties relating to the Premises notwithstanding any negotiations or discussions between the parties prior to the execution hereof. No representation made by the Trustee, its servants or agents concerning the Premises shall be an implied term of this Lease or form the subject matter of a separate agreement subsidiary to or collateral with this Lease. The Trustee Lessee further acknowledges that it has not been induced to accept this Lease by any representation oral or otherwise made by or on behalf of the Trustee, its servants or agents which is not included in this Lease.

30.7 Mortgagee's Consent

- (a) The Trustee agrees that if any person or authority (including any mortgagee) whose consent is required to the execution or registration of this Lease or any Lease granted pursuant to the option(s) if any contained herein requires the Trustee Lessee to execute and deliver any deed, covenant or other instrument in favour of such person or authority as a condition of its consent the Trustee Lessee will forthwith upon request by the Trustee or such person or authority execute and deliver the same.
- (b) The Trustee Lessee agrees that any consent by the Trustee to an assignment of this Lease shall be subject to the consent of any person or authority (including any mortgagee) whose consent is required to the assignment.

Title Reference [49011506]

30.8 Management Plan

Where there is a management plan for the Land under section 48 of the Act, the Premises shall be used in accordance with that plan.

30.9 Native Title Act

This Trustee Lease is entered into in accordance with provisions of section 24JA of the *Native Title Act 1993* (Cth). In accordance with section 24JA of the *Native Title Act 1993* (Cth), the non-extinguishment principle applies.

SCOTLAND LAND REGISTRY
Land Title Act 1994, Land Act 1994 and Water Act 2000

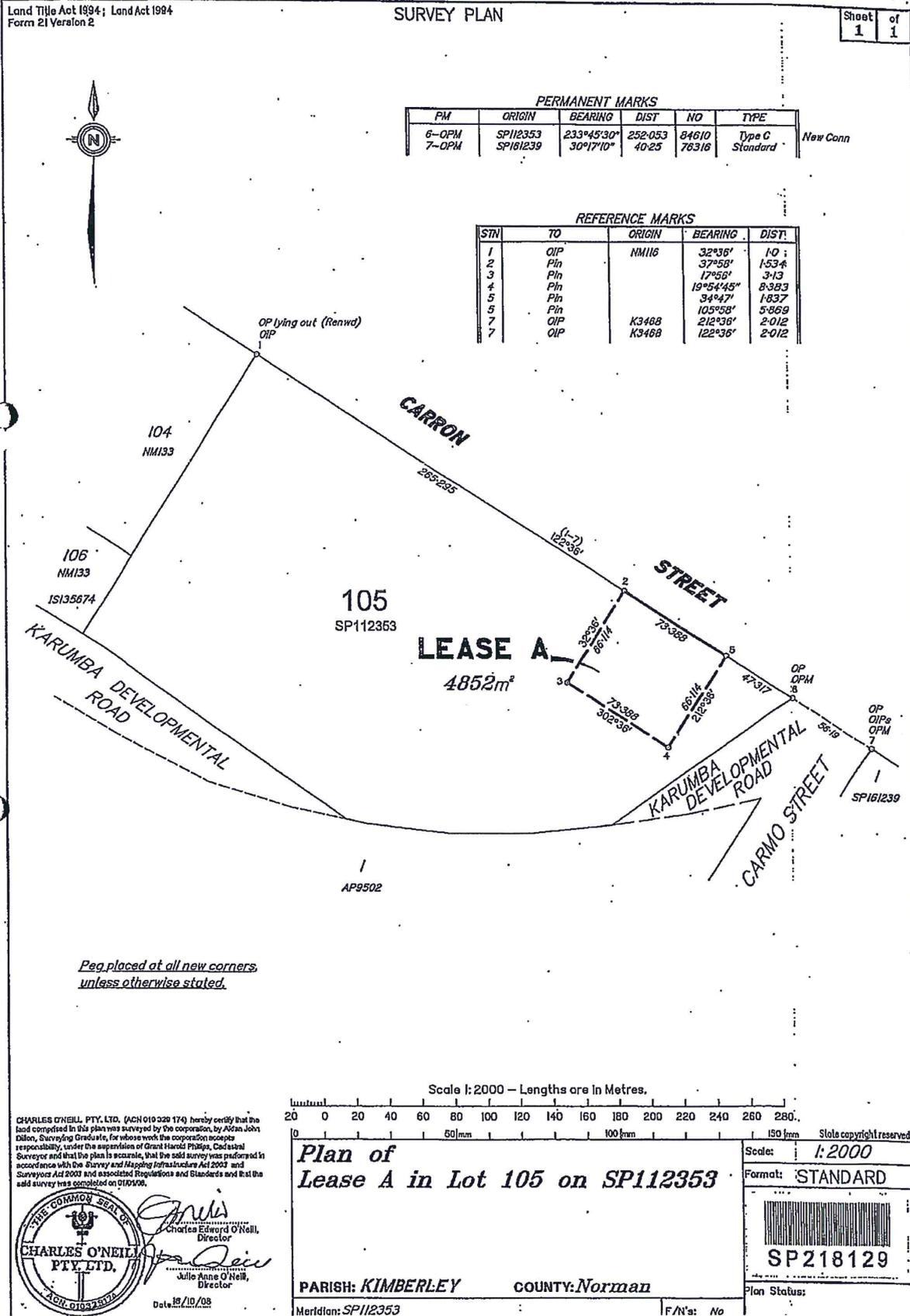
SCHEDULE

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SCHEDULE

Survey Plan



**WARNING : Folded or Mutilated Plans will not be accepted.
Plans may be rolled.
Information may not be placed in the outer margins.**

(Dealing No.)

Registered

Lodged by

(Include address, phone number, reference, and Lodger Code)

1. Certificate of Registered Owners or Lessees.

I/We

6. Existing		Created				
Title Reference	Description	Lease	Road	Emts	Cov.	Profit a prendre
4901508	Lot 05 on SP12353	A				

(Names in full)

* as Registered Owners of this land agree to this plan and dedicate the Public Use Land as shown hereon in accordance with Section 50 of the Land Title Act 1994.

* as Lessees of this land agree to this plan.

Signature of * Registered Owners * Lessees

.....

.....

* Rule out whichever is inapplicable

2. Local Government Approval.

.....

hereby approves this plan in accordance with the :
%

Dated this day of

..... #

..... #

* Insert the name of the Local Government. % Insert Integrated Planning Act 1997 or
Insert designation of signatory or delegation Local Government (Planning & Environment) Act 1990

3. Plans with Community Management Statement :

CMS Number :

Name :

4. References :

Dept File :

Local Govt :

Surveyor : 7822CAR

7. Portion Allocation :

Lots	Orig

8. Map Reference :

7063-23223

9. Locality :

KARUMBA

10. Local Government :

CARPENTARIA SHIRE COUNCIL

11. Passed & Endorsed :

By : CHARLES O'NEILL PTY LTD
Date : 18/10/08
Signed :
Designation : Cadstral Surveyor/Director

12. Building Format Plans only.

I certify that :

* As far as it is practical to determine, no part of the building shown on this plan encroaches onto adjoining lots or road.

* Part of the building shown on this plan encroaches onto adjoining * lots and road

Cadstral Surveyor/Director *
Delete words not required Date

13. Lodgement Fees :

Survey Deposit \$.....

Lodgement \$.....

..... New Titles \$.....

Photocopy \$.....

Postage \$.....

TOTAL \$.....

14. Insert Plan Number

SP218129

Funding Agreement

Carpentaria Shire Council

ABN 59 242 797 822

(Council)

Karumba Children's Centre Inc

ABN 52 202 439 178

(Association)

PARTIES

1. Carpentaria Shire Council ABN 59 242 797 822

(Council)
2. Karumba Children's Centre Inc ABN 52 202 439 178

(Association)

RECITALS

- A. Council has resolved to provide funding to the Association on the terms and conditions of this Agreement.
- B. The Association accepts the funding in accordance with the terms and conditions of this Agreement.

OPERATIVE PROVISIONS

1. DEFINITIONS AND INTERPRETATION

1.1 Definitions

In this Funding Agreement unless inconsistent with the context or subject matter:

- (a) **Agreement** means this Funding Agreement as varied or amended from time to time.
- (b) **Business** means the operation of a child care centre by the Association.
- (c) **Commencement Date** means [INSERT].
- (d) **Confidential Information** means the existence, subject-matter and terms of this Agreement and all information, documents, material, data and technology disclosed or provided in any form by or on behalf of a party to another party in connection with this Agreement, its subject-matter or the Discloser's affairs.
- (e) **Discloser** means the party who owns Confidential Information.
- (f) **Event of Default** means failure by the Association to perform, keep or fulfil any other covenant, undertaking, obligation or condition in this Agreement.
- (g) **Expiry Date** means [INSERT].
- (k) **Funding Amount** means \$45,000.00 plus GST per annum.
- (l) **Lease** means [INSERT].
- (m) **Party** means Council and the Association individually and **Parties** means Council and the Association collectively.

- (n) **Purpose** means for the provision of the child care services to the Karumba community.
- (o) **Recipient** means the party in receipt of Confidential Information.
- (p) **Requirement** means any requirement, notice, order, direction, recommendation, stipulation or similar notification received from or given by any Authority, including Australian Standards prepared by Standards Australia, whether written or otherwise and regardless of to whom it is addressed or directed.
- (q) **Term** means the period commencing on the Commencement Date and ending on the Expiry Date.

1.2 Interpretation

In this Funding Agreement unless inconsistent with the context or subject matter:

- (a) a reference to a person includes any other legal entity;
- (b) a reference to a legal entity includes a person;
- (c) words importing the singular number include the plural number;
- (d) words importing the plural number include the singular number;
- (e) the masculine gender must be read as also importing the feminine or neuter gender;
- (f) a reference to a Party includes the Party's heirs, executors, successors and permitted assigns;
- (g) headings are for reference purposes only and must not be used in interpretation;
- (h) where any word or phrase is given a defined meaning any other part of speech or other grammatical form concerning the word or phrase has a corresponding meaning;
- (i) a reference to a statute includes all regulations and subordinate legislation and amendments;
- (j) references to writing include any mode of representing or reproducing words in tangible and permanently visible form, and includes e-mail and fax;
- (k) a reference to a monetary amount is a reference to an Australian currency amount;
- (l) an obligation of two or more Parties binds them jointly and each of them severally;
- (m) an obligation incurred in favour of two or more Parties is enforceable by them severally;
- (n) references to time are to local time in Queensland;
- (o) where time is to be reckoned from a day or event, the day or the day of the event must be excluded;
- (p) a reference to a business day means any day on which trading banks are open for business in Normanton;
- (q) if any time period specified in this Funding Agreement expires on a day which is not a business day, the period shall expire at the end of the next business day;

- (r) a reference to a month means a calendar month.

2. AGREEMENT AND TERM

- (a) Council agrees to provide the Funding Amount to the Association for the Purpose for the Term and the Association accepts the funding subject to the terms and conditions of this Agreement.
- (b) The Term of this Agreement begins on the Commencement Date and ends on the Expiry Date.

3. PAYMENT OF FUNDING

3.1 Funding Payment

- (a) The Council shall pay the Funding Amount to the Association bi-annually in advance for the Term on 1 July and 1 January each year of the Term.

4. THE ASSOCIATION TO ACT ON OWN BEHALF

- (a) Nothing in this Agreement shall constitute or be construed to create a partnership or joint venture between Council and the Association. All debts and liabilities to third persons incurred by the Association in the course of the operation of the Association's Business shall be the debts and liabilities solely of the Association and Council shall not be liable for any such debts and liabilities by reason of this Funding Agreement.
- (b) Each employee engaged by the Association shall be an employee of the Association and every person performing services in connection with this Funding Agreement, including any agent or employee of the Association or any agent or employee of Council hired by the Association, shall be acting as the agent of the Association.

5. INSURANCE

- (a) The Association shall, at its cost, from the Commencement Date, provide and maintain a standard public liability insurance policy with an insurance company approved by Council for an amount of at least \$20,000,000.00 per claim in relation to the operation of the Association's Business. If required by Council the Association must extend this policy to cover risks of an insurable nature regarding any indemnities that the Association has provided to Council under this Agreement.
- (b) All insurances shall be in such form and for such amounts and with such companies as approved by Council, which approval shall not be unreasonably withheld.
- (c) The Association assumes all risks in connection with the adequacy of any insurance and waives any claim against Council (in the absence of negligence of Council) for any liability, cost or expense arising out of any uninsured claims, in part or in full, of any nature whatsoever.
- (d) Prior to the Commencement Date, and on further occasions upon request of Council, the Association must provide evidence satisfactory to the Council of the terms and currency of each of the insurance policies referred to in this clause.

6. RISK AND INDEMNITY

- (a) Council (including its employees, representatives, contractors or any associated entity who performs services on behalf of Council hereunder) is not liable to the Association in contract, tort or otherwise whatsoever for any loss or damage (including consequential loss) to any person or property arising from operation of the Association's Business.
- (b) The Association indemnifies Council from and against any claim, damage, loss or expense suffered by Council or others as a result of or arising out of the grant of, or the exercise of, this Agreement, save to the extent the loss or damage is a consequence of the negligent acts or omissions of Council.

7. REPORTING

- (a) The Association must provide Council with the following:
 - (i) Audited financial statements, in relation to the operation of the Business, by 31 May each year of the Term for the previous financial year;
 - (ii) Information regarding client numbers and service delivery every 6 months from the Commencement Date.

8. OPERATION OF THE ASSOCIATIONS BUSINESS

- (a) The performance of the Association under this Agreement is subject to regular assessments by Council representatives. Council may use external sources to determine if performance meets Council policies and satisfies the requirements of this Agreement. The Association must, at all times, adhere to the following general performance standards:
 - (i) The Association must at all times operate its Business to the satisfaction of Council.
 - (ii) The Association warrants that the Association has and will utilise the necessary skills, experience and expertise to operate its Business.
 - (iii) The Association warrants that the Association and all staff or volunteers holds and will maintain for the Term all relevant qualifications, permits, licences and other approvals that may be required in order to operate the Business.
 - (iv) The Association shall ensure that the services offered by the Business are performed with due care, skill and diligence in a professional and ethical manner and to Council's reasonable satisfaction.
 - (v) The Association must adhere to any legislative standards that may apply to the operation of the Business, including but not limited to, the maintenance of any accreditations.
 - (vi) The Association must comply with any work health and safety requirements applicable under legislation or directed by Council.
 - (vii) The Association must conduct itself, and ensure that its personnel conduct themselves, in a manner that maintains or enhances good relations with persons attending, using, or seeking to use the Business.

9. EVENTS OF DEFAULT AND TERMINATION

9.1 Termination upon provision of notice

- (a) If an Event of Default occurs, Council shall give the Association a notice in writing requesting that the Event of Default be remedied.
- (b) If the Event of Default is not remedied within fourteen (14) days of the date of the notice provided pursuant to paragraph (a) of this clause, Council may give to the Association notice of its intention to terminate its obligations under this Agreement after the expiration of fourteen (14) days from the date such notice is served.
- (c) Upon the expiration of such period referred to in sub-clause (b) of this clause, Council shall (without prejudice to any rights arising prior to such date) have no further obligations to the Association under this Agreement and this Agreement shall be deemed to be terminated.
- (d) If upon receipt of such notice the Association cures the default within the said fourteen (14) day period then such notice shall be of no force and effect.

9.2 Rights in Addition to Other Remedies

The rights contained in this clause shall be in addition to any and all rights and remedies for breach of contract or otherwise available to Council.

9.3 Termination

- (a) Despite any other provision of this Agreement Council may terminate the Agreement immediately if the Association:
 - (i) ceases to operate the Business;
 - (ii) Becomes insolvent or an application to wind up the association is made;
 - (iii) Breaches the Lease or if the Lease is terminated.
- (b) If the Agreement is terminated the Association must immediately refund the Funding Amount paid for the terminated period calculated on a pro rata basis if necessary.

10. GENERAL

10.1 Confidentiality

The Recipient must maintain in confidence all Confidential Information disclosed to it and must ensure that the Confidential Information is kept absolutely secret and confidential.

10.2 Exceptions to confidentiality

A Recipient may reveal Confidential information if:

- (a) the Recipient first obtains the Discloser's consent; or
- (b) the Recipient is required by law or by any stock exchange to disclose the Confidential Information, in which case the Recipient must:
 - (i) immediately notify the Discloser of the Requirement;

- (ii) first obtain the Discloser's consent to the terms of that disclosure; and
 - (iii) permit and assist the Discloser to oppose or restrict the disclosure to preserve, as far as possible, the confidentiality of the Confidential Information; or
- (c) the Confidential information is already in the public domain for reasons other than a breach of this Agreement; or
- (d) the Confidential Information is disclosed to the Recipient by a third party legally entitled to disclose that information who is not under an obligation of confidentiality to the Discloser.

10.3 Sharing Information

Confidentiality may not be used by a party as a reason for refusing to provide information concerning this Agreement to the other party.

10.4 Goods and Services Tax

- (a) In this clause:
- "GST" means the same as in the GST Law; and
- "GST Law" means the same as "GST law" means in *A New Tax System (Goods and Services Tax) Act 1999* (Cth).
- (b) A recipient of a taxable supply made under this Agreement must pay to the supplier, in addition to the consideration for the taxable supply, any GST paid or payable by the supplier in respect of the taxable supply.
- (c) The recipient must pay the GST to the supplier:
- (i) if there is a due date for the consideration for the taxable supply, either on that date or within fourteen (14) days of receiving a tax invoice for the taxable supply whichever is the later; or
 - (ii) if there is no due date, within fourteen (14) days of receiving a tax invoice for the taxable supply.
- (d) A Party's obligation to reimburse another Party for an amount paid or payable to a third party (for example a Party's obligation to pay another Party's legal costs) includes GST on the amount paid or payable to the third Party except to the extent that the Party being reimbursed is entitled to claim an input tax credit for that GST.
- (e) Each Party making a taxable supply under this document must issue a tax invoice to the other Party for each taxable supply within fourteen (14) days after the due date for payment of the consideration of the supply under this Agreement.
- (f) Each Party must issue an adjustment note to the other Party as soon as it becomes aware of an adjustment event relating to a taxable supply by it under this document.

10.5 Notices

- (a) Any notice, statement or demand required or permitted under this Agreement shall be in writing and may be served in any manner recognised by law or by email or mail addressed as follows:
- (i) **Council**
CEO
Phone: 07 4745 2200
Email: mark.crawley@carpentaria.qld.gov.au
Address: 29-33 Haig Street, Normanton Qld 4890
 - (ii) **The Association**
Rebekah Tempany
President
Email: admin@karumbachildrenscentre.com.au
Address: PO Box 110, Karumba QLD 4891
- (b) If notice is sent by:
- (i) email, it shall be deemed to have been served on the business day following transmission (unless evidence of a failed transmission is immediately received by the party transmitting the email);
 - (ii) mail, it shall be sent by registered post and shall be deemed to have been served seven (7) days after date of posting.

10.6 Governing Law

The laws of Queensland (and so far as applicable of the Commonwealth of Australia) shall govern this Agreement and each Party hereby expressly accepts and acknowledges the jurisdiction of the Courts of Queensland and of Australia and all Courts to which appeals from those Courts may be taken.

10.7 Further Instruments

Council and the Association shall execute and deliver all such further agreements and other instruments, do all things and take any other action necessary to make this Agreement fully effective, binding and enforceable as between them and as against third Parties.

10.8 Headings

Headings are inserted for convenience only and are not intended to govern the meaning of any of the provisions of this Agreement.

10.9 Waiver

The waiver of any term or condition on any occasion shall not be deemed a waiver of such term or condition on any other occasion.

10.10 Severance

If a provision of this Agreement is void or unenforceable it must be severed from this Agreement and the provisions that are not void or unenforceable are unaffected by the severance.

10.11 Whole Agreement

This Agreement constitutes the whole of the agreement between the Parties relating to the subject matter hereof.

10.12 Amendment

This Agreement can only be amended, supplemented, replaced or novated by another document signed by the Parties.

10.13 Liability for Expenses

- (a) Each Party must pay its own expenses subject to sub-clause (b) of this Clause.
- (b) The Association must pay the total legal costs incurred by Council on a solicitor and own client basis as a result of the negotiation and execution of this Agreement.

10.14 Counterparts, Fax and Email

This Agreement may be executed in any number of counterparts and when executed communication of the fact of execution to the other parties may be made by sending evidence of execution by email.

DATED THIS _____ day of _____ 2022

EXECUTED AS AN AGREEMENT

**EXECUTED by Carpentaria Shire Council ABN 59)
242 797 822 in accordance with the *Local)
Government Act 2009 (Qld) the presence of:)***

Chief Executive Officer

**Witness: _____)
)
)**

Dated: _____)

**EXECUTED by Karumba Children’s Centre Inc)
ABN 52 202 439 178 in accordance with the)
*Associations Incorporation Act 1981 (Qld):)***

President

Dated: _____)

Secretary

BUSINESS PAPERS

11 REPORTS FROM DIRECTOR OF ENGINEERING - ROADS & SERVICES

11.1 DOE REPORT

Attachments: NIL

Author: Michael Wanrooy - Director of Engineering

Date: 9 June 2022

Key Outcome: 5.1 - Integrated and timely provision and management of sustainable infrastructure and assets

Key Strategy: 5.1.3 Plan and implement urban improvement works which enhance local character and identify, conserve and improve the region's streetscapes and provide iconic parkland.

Executive Summary:

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

RECOMMENDATION:

That Council:

1. receive and note the Director of Engineering Report as presented; and
2. that those matters not covered by resolution be noted.

1. Actions Arising from Previous Meetings

Reference	Action	Status
1/11/2018	Investigate and prepare a report including scope of works and estimate of costs to reinstate the grid on the Old Croydon Road for Council's consideration. ➤ The Grid is programed to start June Monday 13 th .	In Progress
9/12/20	Install "No boat trailer" signs along Massey Drive to Clarina Street ➤ Terry Casey's crew has installed the boat trailer parking signs advertising the new boat trailer park. ➤ Additional signage ordered	In Progress
October Meeting	Undertake a sign audit on Carpentaria LRRS network and present at December Meeting ➤ Audit is completed for Burketown Road. Audits ➤ Wet season delaying audits on Iffley Road, Kowanyama Road and the Dunbar to Koolatah to Oriners Road.	In Progress
December Meeting	Add Premix to grooves at the Scrutton River Floodway.	Not Started
January Meeting	Repair copper log fencing at NTN Cemetery ➤ A replacement for the existing dilapidated copper log barrier	In Progress

Reference	Action	Status
	made from composite materials has been ordered and will be installed by Malcolm when the materials arrive. A wallaby proof fence to replace the existing old perimeter fence at the back and sides has been ordered. Rotunda kit ordered.	
March Meeting	Are there alternatives to repair scour on the footpath in Philp Street besides filling with gravel as every wet season it erodes repeatedly ➤ Council to investigate and undertake solutions	Not Started

2. Miscellaneous Projects

- 2.1. COVID is continually impacting works and depot office operations.
- 2.2. 89B – Shane Stark has been undertaking regular road inspections on this road. The Mitchell River is un-crossable due to a large washout and Hughes crossing is uncrossable due to large sand debris over the floodway. Emergent access grade will start after this weekend.
- 2.3. Disaster Coordination Centre – The slab has been completed. The shed kit will arrive by Friday 10th with erection starting on Monday 13th. The works will progress through till the end of June.
- 2.4. Lilyvale Subdivision Intersection works – Cameron Young’s crew are undertaking works there currently.
- 2.5. TMR Emergent works have been affected by the wet weather during May. A new event has been declared for Carpentaria Shire Council. All existing emergent works will cease by 4th of July and new emergent works will start after this date. Grant Miller and crew ready to head north doing emergent works after this weekend.
- 2.6. CN-17815 - 2021 DRFA works on 89B Ch. 0 to Ch. 180. One third of the works have been completed. Wet weather and road conditions have delayed this works. The project will be brought forward to the next financial year.
- 2.7. 558K RMPC variation – Line marking have been completed over the recently completed patches on 89A. The works are located approximately 100km – 130km south of Normanton and involves treating 7 patches between 60m to 640m long.
- 2.8. CN-17937 89B (Ch. 63.49km to Ch. 69.37km). The stabiliser crew under Shaun Henry have completed the subgrade works for the 5.88km section. Pavement material have been carted to the job and laid. 3km of the road has been stabilised and sealed. Shaun is also supervising CN-18809 package.
- 2.9. CN-18809 - A pre-start conference meeting to pave and seal 89B Ch 70.40 Km to Ch 77.70 Km Package E was held in Normanton 23rd of May with TMR representatives. This 7.3km section will have to be completed by the end of June. Council is currently undertaking subgrade works and carting gravel to the site.
- 2.10. Stop Shop Crossing – Concrete islands have been completed. Line marking is expected to be completed during June. We are nearly there with Ergon for the extra LED luminaires. Our electrical consultant now has a login to their system. We have been requested to get the TMR street lighting account as the ergon system will not accept a street address for the data input of the proposed luminaires.
- 2.11. Reef Project: Council is working with Catchment Solutions to obtain approvals and required reports for the delivery of the reef project. The project includes installing 10 habitat concrete reef structures 20km of shore.
- 2.12. Weather Station in Karumba – Council has engaged QTEC to install the Weather Station at the Karumba Aerodrome. Equipment for the weather station will be brought up to site by the end of May with Construction expected to start within the first week of June. The weather station will monitor wind speed, wind direction, temperature,

BUSINESS PAPERS

relative humidity, air pressure, solar radiation, and rainfall. The rain gauge will include a tipping bucket and all the multi-parameter weather sensors will be connected to a 4G telemetry communications system. The sensors will be mounted on a 3m BOM ALERT galvanised prefab tower and will include a 100W solar panel with controller and batteries. The public can access the data via Council's Guardian dashboard.

- 2.13. Terry's RMPC crew are undertaking maintenance work on State Controlled Roads. 98% of RMPC works have been completed to date.

Table: TMR Projects progress report for 2021 – 2022

Projects	Value	Claimed	Progress
CN-12529 2019 TMR DRFA REPA Works on 84A, 89A, 89B and 92A - Total Value \$2,146,085.20, claimed to June 2021 \$1997,841.66	\$ 148,243.54	\$ 148,243.54	100% completed
ATSI TIDS - Dunbar Creek - New Causeway and approach on the Kowanyama Road - Total Value \$925,000, claimed to June 2021 \$157,430.12	\$ 767,569.88	\$ 767,569.88	100% completed
89B CN-15386 Aus. Government Stimulus - Ch. 30680 - Ch. 35800 - Total Value \$2,215,489.68, claimed to June 2021 \$2,090,163.68	\$ 125,326.00	\$ 125,326.00	100% Completed
2021 TMR Emergent Works - Total Value \$1,450,000, claimed to June 2021 \$336,225.13	\$1,113,774.87	\$ 1,113,774.87	100% Completed
Additional 2021 TMR Emergent variation approved.	\$ 591,532.71	\$ 591,532.71	100% Completed
89B – CN16288 Aus. Government Stimulus - Ch. 35800 - Ch. 40800- Total Value \$2,387,935.00, claimed to June 2021 \$1,372,600.00	\$1,015,335.00	\$ 1,015,335.00	100% Completed
89A – CN16065 (North and South Approach of Flinders River)- Total Value \$5,433,960.70, claimed to June 2021 \$4,812,778.69	\$ 621,182.01	\$ 621,182.01	100% Completed
89A – CN1607 (Donors Hill, Approx. 130km south of Normanton) - Total Value \$4,516,126.80, claimed to June 2021 \$3,999,438.60	\$ 439,205.20	\$ 439,205.20	100% Completed
89A – Variation to CN1607 (Augustus Downs Intersection seal upgrade)- Total Value \$374,838, claimed to June 2021 \$262,386.60	\$ 112,451.40	\$ 112,451.40	100% completed
2021 - 2022 RMPC	\$2,044,550.00	\$2,005,963.00	98% Completed

2021 - 2022 RMPC Variation 1 - Rehabilitation works 89A	\$558,000.00	\$558,000.00	100% completed -
2020 - 2021 TIDS (TMR Contribution) - Burketown Road Sealing	\$910,000.00	\$910,000.00	100% Completed
ATSI-TIDS Magnificent Creek	\$989,212.00	\$989,212.00	100% completed.
TIDS - 2/1200x450 new culverts at gully 1 to 2km past the Gilbert River	\$67,000.00	\$24,315.40	Culverts ordered
CN-17673 Pedestrian Crossing at Stop Shop	\$439,913.10	\$312,828.50	71% completed
CN-17218 - Pave and Seal AG Stimulus Package 3 on 89B (Last remaining 4.8km section between the Karumba turnoff and Glencoe)	\$2,393,605.80	\$2,318,080.80	99% Complete. Linemarking remaining
CN-17815 - 2021 DRFA works on 89B Ch. 0 to Ch. 180	\$2,551,476.10	\$879,185.30	32% Completed
Variation to CN-17815 - 2021 DRFA works on 89B Ch. 180 to Ch. 303	\$606,412.60		Not Started
CN-17937 - Pave and Seal AG Stimulus Package 4 on 89B (Ch.63.49 to 69.37) approx. 6km past the Glencoe turnoff	\$2,924,640.60	\$634,508.00	New claims being prepared
CN-18809 Pave and Seal AG Stimulus Package 5 on 89B Ch. 70.4km to 77.70km	\$3,416,320.60		New claims being prepared
CN-18939 - 2022 89B DRFA Emergent Works - to the Gilbert River - requesting variation to 500K	\$200,000.00		New claims being prepared
Total	\$22,035,751.41	\$13,566,713.61	62%

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Photo: Works started on the Lilyvale access road



Photo: 89B - CN17937 89B Sealing Works



Photo: 89B – CN17937 89B Sealing Works



Photo: Pedestrian refuge – Stop Shop

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Photo: Pedestrian refuge – Stop Shop



Photo: Pedestrians using the crossing from the stop shop

3. Update on Shire Flood Damage Works

- 3.1. COVID affecting staff seems to be settling down and attendance is up.
- 3.2. McAllister Camp – Brenton Murray and Crew – undertaking ongoing 2020 DRFA Works on the McAllister Road. This crew is back on site and works is now progressing well catching up on mix and lay of previously delivered material. By Monday 13th the gravel delivery will start up again. The gravel is sourced from the McAllister Pit.
- 3.3. Wondoola Camp – Carl Pickering and Crew - works on the Iffley Road. Works were delayed due to flooding of the camp last month. They have managed to get into their camp and recommenced work on the Iffley Road. The equipment/machines were out of wet areas.
- 3.4. Delta Camp – Colin Charger and Crew are at this camp working on the Delta Road and carting from Lilyvale. Rain delayed works last month and the crew is catching up.
- 3.5. 7 Mile camp – Gavin Delacour and Crew – are working on the Normanton Burketown Road. This camp was also affected by the wet weather last month with their work between M Creek to Wernadinga section having come to a stop. They are currently working towards Wernadinga access. Next swing, the crew will shift camp to Alexandra to complete the Wernadinga works and then move on to the Leichhardt Augustus Road.
- 3.6. The Bang Bang camp is set up and ready to go. Cameron Young's crew had to be brought back to town as the Broadwater Road and Wondoola Bypass is too wet. Cameron's crew are currently working on the Lilyvale road by completing the intersection.

4. Trades Report

- General housing plumbing, electrical and carpentry maintenance in Normanton and Karumba
- Rodeo grounds – installment of new water valves.
- Reinstalling septic tank at the Sterling camp.
- Installed new down pipes and completed protection slab at the Karumba Sport Centre to protect the existing foundation from existing severe scouring.
- Repairing water meter leaks and unblocked sewerage issues at the Council office.
- Installed solar lights at Normanton Entry Sign
- Working at the Rodeo grounds checking existing electrical
- Maintenance at the Glenore weir pumps
- Oval irrigation checks
- Pensioner housing maintenance
- Undertook maintenance and checks on camps ready to go out.
- Checked and serviced sewerage pumps in Karumba

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Photo: New rock LED light housing at Normanton Entry Sign.

5. New Projects/Grant Applications

- Nil

6. Reports

6.1. Budget

Row Labels	Sum of Original Budget	Sum of YTD Actual	Sum of Order Value	Sum of Total Actual
Operating Expenditure	16,203,467	19,836,648	5,863,745	25,700,393
Airports	352,782	395,162	91,935	487,097
Asset Management	46,000	41,056	65,011	106,067
Building Services	212,239	292,897	3,256	296,153
Depots & Workshop	563,826	832,687	55,326	888,013
Engineering Services	1,075,064	898,081	217,047	1,115,127
Fleet & Plant	-3,907,878	-282,305	3,284,945	3,002,641
Main Roads (RMPC and Pw)	9,096,300	10,586,349	1,988,735	12,575,084
Parks & Gardens	1,244,181	1,063,409	41,729	1,105,138
Pensioner Housing	304,000	177,816	9,863	187,679
Private Works	-10,000	-3,916	0	-3,916
Public Conveniences	204,618	175,991	9,461	185,452

Quarries	83,000	7,441	0	7,441
Reserves	6,000	21,197	3,630	24,827
Road	6,078,811	4,962,234	26,514	4,988,749
Staff Housing	823,012	623,224	22,688	645,912
Stormwater Maintenance	0	789	0	789
Town Planning	31,512	44,536	43,605	88,141
Operating Income	-11,958,000	-12,725,145	0	-12,725,145
Airports	-230,000	-172,902	0	-172,902
Building Services	0	-17,119	0	-17,119
Coastal Management	0	-100,000	0	-100,000
Engineering Services	0	-7,353	0	-7,353
Fleet & Plant	-100,000	-605,859	0	-605,859
Main Roads (Rmpc And Pw)	-10,107,000	-11,248,476	0	-11,248,476
Pensioner Housing	-63,000	-66,291	0	-66,291
Road	-1,043,000	-141,190	0	-141,190
Roads (Tids)	0	-22,105	0	-22,105
Staff Housing	-410,000	-339,409	0	-339,409
Town Planning	-5,000	-4,441	0	-4,441
Grand Total	4,245,467	7,111,503	5,863,745	12,975,248

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11.2 NDRRA/QDRF REPORT

Attachments:	11.2.1. Appendix A - 2019 Expenditure Summary ↓
	11.2.2. Appendix B - QRA19 Completion Sketch ↓
	11.2.3. Appendix C - 2020 Expenditure Summary ↓
	11.2.4. Appendix D - QRA20 Completion Sketch ↓
	11.2.5. Appendix E - Betterment Projects ↓
	11.2.6. Appendix F - EOT Approvals ↓

Author: John Martin - Consultant Engineering

Date: 7 June 2022

Key Outcome: 5.2 - A safe and sustainable road network

Key Strategy: 5.2.1 Plan and deliver a safe, sustainable and efficient road network.

Executive Summary:

QRA19: The QRA19 project is approximately 99.8% complete. Submission is the only active submission within the QRA19 Project and currently has an EOT until 30 June 2022. Three (3) submissions have been acquitted by QRA and Council have received the final payments. The two (2) remaining submissions have been submitted for acquittal with one (1) of them in the final outcome phase pending final approval by QRA.

QRA20: The QRA20 project is approximately 63.1% complete. Setout and construction has commenced on the remaining roads with five (5) crews currently mobilised in camps, with a temporary sixth crew expected to be in operation in the coming weeks. The original deadline for the QRA20 works is 30 June 2022. EOT's have been approved for two (2) submissions until 30 September 2022. An additional EOT request has been submitted for Submission 2 until 30 September 2022 with a decision from QRA expected shortly.

QRA21: Four (4) submissions have now been approved by QRA and Council has received the 30% prepayments. The remaining submission has been lodged on QRA MARS system and has received the final outcome report. The expected construction budget is \$32.6million and \$41.5million including overheads. Construction work will commence once all QRA20 scope has been completed with the deadline for the QRA21 works being 30 June 2023.

QRA22: Carpentaria Shire Council was activated for REPA, Emergency Works and CDO relief measures for three (3) flooding events Ex-Tropical Cyclone Seth, Far North Queensland Low Pressure Trough and Northern and Central Western Queensland Rainfall and Flooding. Damage pickup and emergency works are in progress throughout the Shire on roads that are currently accessible from Normanton. Damage assessments have commenced, and submissions are currently being prepared in the QRA MARS system.

OTHER: The Desilting of the Normanton Sewerage Lagoons and Normanton to Burketown Road betterment projects have been submitted for acquittal with the Desilting of the Normanton Sewerage Lagoons in the final outcome phase pending final approval by QRA.

RECOMMENDATION:

That Council:

1. accepts the NDRRA/QDRF Report as presented; and
 2. that those matters not covered by resolution be noted.
-

Background:

2019 QRA Event

1. The QRA19 REPA submissions have a total RV of approx. \$68million (construction budget of \$54.2million).
2. Approximately 99.8% of the project has been completed with an estimated Expenditure Ratio of 0.96. Refer to Appendix A and B for construction progress.
3. Submission 6 (Mitchell River and Town Streets) is the only active submission within the QRA19 Project with an EOT until 30 June 2022. The full list of projects is detailed in Appendix F.
4. Three (3) submissions have been acquitted by QRA and Council have received the final payments. Two (2) submissions have been submitted for acquittal with one (1) of them in the final outcome phase pending final approval by QRA.

2020 QRA Event

1. Four (4) REPA submissions have been approved with a total RV of \$48.7million (construction budget of \$38.2million).
2. Approximately 63.1% of the project has been completed with an estimated Expenditure Ratio of 0.92. Refer Appendix C and D for construction progress.
5. The QRA20 project has an original deadline of June 30 2022. EOT's have been approved for two (2) submissions until 30 September 2022. An additional EOT request has been submitted for Submission 2 until 30 September 2022 with a decision from QRA expected shortly. The full list of projects is detailed in Appendix F.
3. Setout for remaining roads within the QRA20 project is currently underway and construction has commenced on accessible roads to Normanton. Five (5) crews have mobilised in camps around the Shire to construct works within the QRA20 program. A temporary sixth crew is expected to be in operation in the coming weeks.
4. QRA has approved a total of fifteen (15) betterment projects for construction. The full list of projects is provided in Appendix E.

2021 QRA Event

1. Submission 1 (Eastern Roads), Submission 3 (Northern Roads), Submission 4 (Far Northern Roads) and Submission 5 (Koolatah – Dixie Road) have now been approved by QRA and Council has received the prepayments for these submissions. Submission 2 (Western Roads) has been lodged on QRA MARS system and awaiting approval by QRA.
2. The expected construction budget is \$32.6million and \$41.5million including overheads.

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3. QRA21 construction work will commence once all QRA20 scope has been completed in the 2022 construction season to ensure that submission deadlines for the QRA20 project are met.
4. The QRA21 program of work has a deadline of 30 June 2023.

2022 QRA Event

1. Carpentaria Shire Council was activated for REPA, Emergency Works and CDO relief measures for three (3) flooding events on the 17 February 2022 (Ex-Tropical Cyclone Seth), 18 February 2022 (Far North Queensland Low Pressure Trough) and 20 May 2022 (Northern and Central Western Queensland Rainfall and Flooding).
2. Approx. \$103k has been expended on Emergency Works throughout the Shire on roads that are currently accessible and will continue in the upcoming months to restore access where required.
3. Damage pickup is in progress throughout the Shire on roads that are currently accessible from Normanton. The only remaining damage pickup within the Shire is North of the Mitchell River Crossing which will be completed once accessible.
4. Damage assessments are in progress with submissions currently being prepared in the QRA MARS system.

Other

1. The Desilting of the Normanton Sewerage Lagoons and. Normanton to Burketown Road betterment projects have been submitted to QRA for acquittal, with a final outcome report received for the Normanton Sewerage Lagoons project.
2. QRA have advised that there will be possible funding packages available to Council that include betterment funding. A short list of projects is currently being compiled and will be assessed against the guidelines once they become available.

Consultation (Internal/External):

- Mark Crawley - Chief Executive Officer
- Michael Wanrooy - Director of Engineering
- John Martin and Nick Lennon - ERSCON Consulting Engineers

Legal Implications:

- Nil.

Financial and Resource Implications:

- QRA 19 Trigger Point contribution - \$32,408
- QRA 20 Trigger Point contribution - \$29,363
- QRA 21 Trigger Point contribution - \$30,180

Risk Management Implications:

- Moderate – QRA20 – EOT's have been approved for two (2) submissions until 30 September 2022, with a further EOT requested for Submission 2. There is a moderate risk that work will not be completed by the deadlines based on current programming and number of crews.
- Moderate – QRA21 – Construction has a deadline of 30 June 2023. There is a moderate risk that work will not be completed by this deadline based on current programming the number of crews.

CARPENTARIA SHIRE COUNCIL

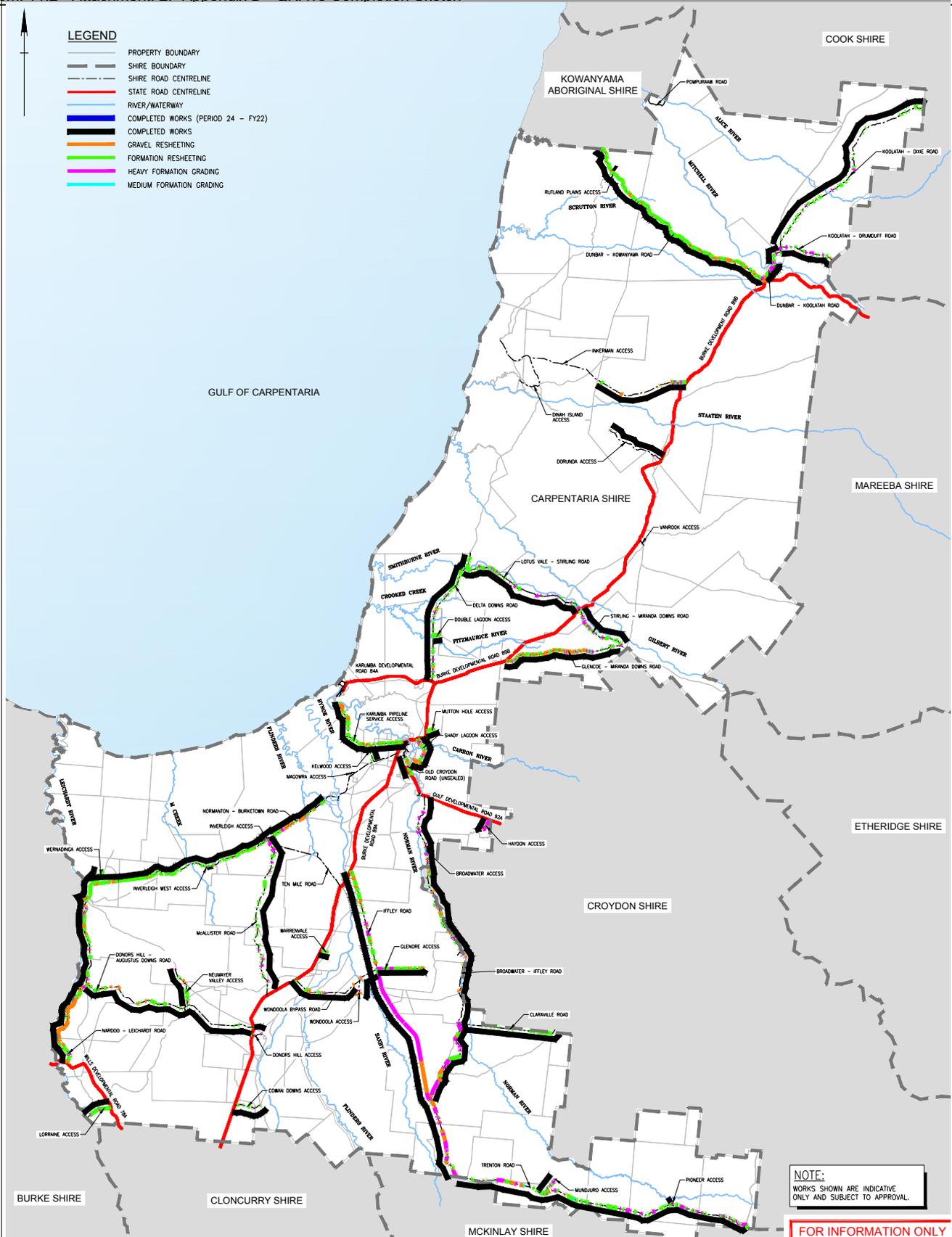
SUMMARY OF QRA19 EXPENDITURE

CURRENT **31/05/2022**
Project Completed **99.8%**
Forecast Project Expenditure to RV Ratio **0.96**



NOTE: Only remaining active submissions shown

Submission 6 CSC.0025.1819E.REC					
Road Name	Construction Recommended Value	Expenditure	Complete (%)	Expected Expenditure Ratio	Notes
Wondoola Access (Flood Gauge)	\$ 50,000.00	\$ 36,383.00	100%	0.73	Market rate to be adjusted to reflect the actual cost of Flood Gauge.
Col Kitching Drive	\$ 5,611.27	\$ 1,958.07	100%	0.35	Expenditure incorrectly booked, expected to align closer to RV.
Dunbar - Koolatah Road (Mitchell River Crossing)	\$ 503,158.00	\$ -	100%	0.00	QRA19 Mitchell River Crossing scope of works to be rolled over and restored under QRA22 event funding.
Ellis Street	\$ 88.56	\$ -	0%	1.00	No construction has commenced.
Jubilee Way	\$ 239.11	\$ -	0%	1.00	No construction has commenced.
Old Hospital Road	\$ 1,434.10	\$ 811.24	0%	1.00	Expenditure incorrectly booked, no construction has commenced.
Palmer Street KBA	\$ 6,025.50	\$ 1,958.07	0%	1.00	Expenditure incorrectly booked, no construction has commenced.
Russell Street	\$ 1,176.50	\$ -	0%	1.00	No construction has commenced.
Simpson Street	\$ 117.65	\$ 811.24	0%	1.00	Expenditure incorrectly booked, no construction has commenced.
TOTAL	\$ 567,850.69	\$ 41,921.62			



NOTE:
 WORKS SHOWN ARE INDICATIVE
 ONLY AND SUBJECT TO APPROVAL.

FOR INFORMATION ONLY

NO.	DATE	DESCRIPTION	DESIGN	APPROVED
32	07/06/22	REVISED FOR JUNE MEETING	AB	
31	10/05/22	REVISED FOR MAY MEETING	MG	
30	13/04/22	REVISED FOR APRIL MEETING	MG	
29	08/03/22	REVISED FOR MARCH MEETING	LV	
28	15/02/22	REVISED FOR FEBRUARY MEETING	LV	
1	02/12/19	INITIAL ISSUE		



CLIENT	BB	APPROVED
DESIGN	BB	APPROVED
CIVIL SKETCH APPROVAL		
DATE:	07/06/22	

PROJECT REF	CARPENTARIA SHIRE COUNCIL ROADS		
DRAWING REF	2019 CONSTRUCTION SEASON COMPLETED WORKS		
DRAWING NO	101-019-SK705	SIZE	A1
REVISION			32

CARPENTARIA SHIRE COUNCIL

SUMMARY OF QRA20 EXPENDITURE

CURRENT

Project Completed

Forecast Project Expenditure to RV Ratio

31/05/2022

63.1%

0.92



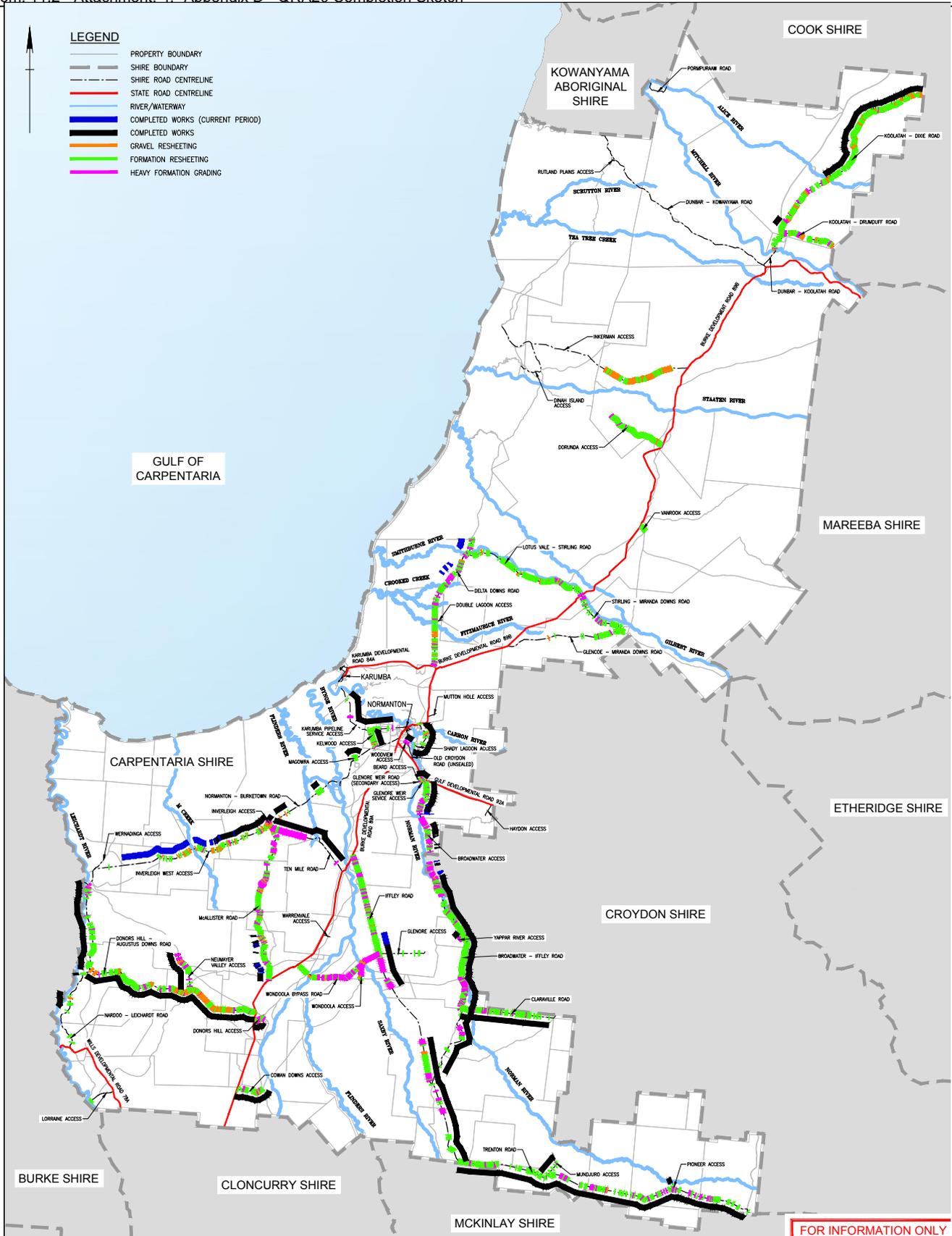
Submission 1 - CSC.0039.1920E.REC					
Road Name	Construction Recommended Value	Expenditure	Complete (%)	Expected Expenditure Ratio	Notes
Magowra Access	\$ 83,030.08	\$ 57,567.40	100%	0.69	Savings incurred due to crew working from town and no camp establishment required.
Cowan Downs Access	\$ 295,151.76	\$ 290,955.99	100%	0.99	
Donors Hill Access	\$ 205,044.23	\$ 150,138.72	100%	0.73	Overlapping camp and establishment costs with simultaneously constructed QRA19/20 Cowan Downs, QRA19/20 Donors Hill to Augustus Downs and QRA19 Donors Hill Access. When assessing roads together expenditure is expected to align closely with the combined RV.
Kelwood Access	\$ 327,771.72	\$ 1,451.21	100%	0.00	All expenditure booked to the simultaneously constructed QRA19 Kelwood Access.
Ten Mile Road	\$ 540,570.23	\$ 364,454.09	100%	0.67	Savings incurred due to crew working from town and no camp establishment required.
Karumba Pipeline Service Access	\$ 168,026.92	\$ 100,430.79	100%	0.60	Overlapping camp and establishment costs with simultaneously constructed QRA19 Karumba Pipeline Service Access. When assessing roads together expenditure is expected to align closely with the combined RV.
Neumayer Valley Access	\$ 371,655.57	\$ 344,797.15	100%	0.93	Overlapping camp and establishment costs with simultaneously constructed Donors Hill - Augustus Downs Road. When assessing roads together expenditure is expected to align closely with the combined RV.
Inverleigh Access	\$ 27,275.28	\$ 2,405.86	100%	0.09	Overlapping camp and establishment costs with simultaneously constructed Ten Mile Road. When assessing roads together expenditure is expected to align closely with the combined RV.
Donors Hill - Augustus Downs Road	\$ 4,556,053.77	\$ 3,930,927.43	100%	0.86	Overlapping camp and establishment costs with simultaneously constructed Neumayer Valley Access. When assessing roads together expenditure is expected to align closely with the combined RV.
Augustus Downs Access	\$ 28,213.06	\$ 4,675.13	100%	0.17	Overlapping camp and establishment costs with simultaneously constructed Nardoo to Leichardt Road. When assessing roads together expenditure is expected to align closely with the combined RV.
Nardoo - Leichardt Road	\$ 1,169,208.38	\$ 916,071.04	95%	0.82	Road partially constructed before wetseason shutdown, re-establishment costs required to construct remaining works are expected to increase expenditure and align closer to RV.
Normanton - Burketown Road	\$ 1,630,691.51	\$ 1,331,922.54	89%	0.92	Accrued costs processing, currently under construction.
McAllister Road	\$ 2,474,714.58	\$ 1,051,565.51	45%	0.94	Accrued costs processing, currently under construction.
Lorraine Access	\$ 43,982.34	\$ 194.73	0%	1.00	
TOTAL	\$ 11,921,389.43	\$ 8,547,557.59			

*Expected expenditure ratio is the ratio of final expenditure divided by the recommended value. (i.e. 1.5 is 50% over budget, 0.8 is 20% under budget)

Submission 3 CSC.0037.1920E.REC					
Road Name	Construction Recommended Value	Expenditure	Complete (%)	Expected Expenditure Ratio	Notes
Shady Lagoon Access	\$ 73,713.47	\$ 38,902.73	100%	0.53	Overlapping camp and establishment costs with simultaneously constructed QRA19 Shady Lagoon Access. When assessing roads together expenditure is expected to align closely with the combined RV.
Delta Downs Road	\$ 1,598,239.95	\$ 1,154,259.38	65%	1.12	Accrued costs processing, currently under construction.
Dorunda Access	\$ 1,288,533.76	\$ 6,439.06	0%	1.00	
Glencoe - Miranda Downs Road	\$ 516,884.05	\$ 6,276.85	0%	1.00	
Inkerman Access	\$ 1,804,651.21	\$ 120,982.10	0%	1.00	
Lotus Vale - Stirling Road	\$ 1,627,243.38	\$ 150,358.80	0%	1.00	
Stirling - Miranda Downs Road	\$ 389,425.85	\$ 1,724.19	0%	1.00	
Vanrook Access	\$ 149,018.33	\$ 659.78	0%	1.00	
TOTAL	\$ 7,447,710.00	\$ 1,479,602.89			

Submission 4 CSC.0038.1920E.REC					
Road Name	Construction Recommended Value	Expenditure	Complete (%)	Expected Expenditure Ratio	Notes
Koolatah - Dixie Road	\$ 4,041,152.28	\$ 2,869,659.20	67%	1.06	Road partially constructed before wetseason shutdown, remaining works will be completed as soon as accessible in the 2022 construction season.
Dunbar - Koolatah Road	\$ 217,384.80	\$ 48,156.89	0%	1.00	
Koolatah - Drumduff Road	\$ 793,815.29	\$ 6,294.09	0%	1.00	
TOTAL	\$ 5,052,352.37	\$ 2,924,110.18			

Submission 2 - CSC.0036.1920E.REC					
Road Name	Construction Recommended Value	Expenditure	Complete (%)	Expected Expenditure Ratio	Notes
Woodview Access	\$ 27,893.25	\$ 12,173.40	100%	0.44	Savings incurred due to crew working from town and no camp establishment required.
Beard Access	\$ 25,561.73	\$ 7,809.22	100%	0.31	Construction completed in less than one day, savings incurred due to crew working from town and no camp establishment required.
Glenore Weir Service Access	\$ 41,470.85	\$ 31,310.36	100%	0.75	Overlapping costs with adjacent Glenore Weir Road (Secondary Access), when assessing together expenditure is expected to align closely with the combined RV.
Glenore Weir Road (Secondary Access)	\$ 11,743.38	\$ 13,417.00	100%	1.14	Overlapping costs with adjacent Glenore Weir Service Access, when assessing Assets together expenditure is expected to align closely with the combined RV.
Pioneer Access	\$ 34,977.91	\$ 44,640.35	100%	1.28	Overlapping camp and establishment costs with simultaneously constructed Trenton Road and Mundjuro Access. When assessing roads together expenditure is expected to align closely with the combined RV.
Claraville Road	\$ 1,229,536.07	\$ 773,201.90	100%	0.63	Overlapping camp and establishment costs with simultaneously constructed Broadwater - Iffley Road. When assessing roads together expenditure is expected to align closely with the combined RV.
Trenton Road	\$ 2,751,917.36	\$ 1,854,996.64	100%	0.67	Overlapping camp and establishment costs with simultaneously constructed Mundjuro Access and Pioneer Access. When assessing roads together expenditure is expected to align closely with the combined RV.
Mundjuro Access	\$ 94,246.86	\$ 38,273.42	100%	0.41	Overlapping camp and establishment costs with simultaneously constructed Trenton Road and Pioneer Access. When assessing roads together expenditure is expected to align closely with the combined RV.
Yappar River Access	\$ 72,257.77	\$ 43,886.93	100%	0.61	Overlapping camp and establishment costs with simultaneously constructed Broadwater - Iffley Road. When assessing roads together expenditure is expected to align closely with the combined RV.
Yappar River Access (Secondary Access)	\$ 43,445.97	\$ 1,158.33	100%	0.03	Overlapping camp and establishment costs with simultaneously constructed Broadwater - Iffley Road. When assessing roads together expenditure is expected to align closely with the combined RV.
Broadwater - Iffley Road	\$ 3,524,272.79	\$ 2,712,065.03	91%	0.84	Accrued costs processing, currently under construction.
Iffley Road	\$ 4,365,707.86	\$ 2,523,922.95	52%	1.12	Accrued costs processing, currently under construction.
Glenore Access	\$ 52,564.27	\$ 1,019.93	0%	1.00	
Wondoola Access	\$ 471,158.12	\$ 257,461.65	0%	1.00	
Wondoola Bypass Road	\$ 1,021,560.02	\$ 103,430.80	0%	1.00	
TOTAL	\$ 13,768,314.21	\$ 8,418,767.91			



FOR INFORMATION ONLY

REVISIONS NO. DATE DESCRIPTION DESIGN APPROVED	15	07/06/22	REVISED FOR JUNE MEETING	AB	
	14	10/05/22	REVISED FOR MAY MEETING	MG	
	13	13/04/22	REVISED FOR APRIL MEETING	MG	
	12	07/03/22	REVISED FOR MARCH MEETING	LV	
	11	15/02/22	REVISED FOR FEBRUARY MEETING	LV	
1	08/04/21	INITIAL ISSUE FOR APRIL MEETING			

	CLIENT	DATE	ISSUE

PROJECT REF CARPENTARIA SHIRE COUNCIL ROADS	DRAWING REF 2020 CONSTRUCTION SEASON COMPLETED WORKS
DRAWING NO 101-020-SK713	SIZE A1

PROJECT REF CARPENTARIA SHIRE COUNCIL ROADS	DRAWING REF 2020 CONSTRUCTION SEASON COMPLETED WORKS
DRAWING NO 101-020-SK713	SIZE A1

Appendix E - Approved Betterment Projects

Project	Value
Normanton to Burketown Pavement Improvements and Sealing (Project 11/12)	Project RV \$3.1million Construction value \$2.5million
Normanton to Burketown Pavement Improvements and Sealing (Project 13)	Project RV \$0.96million Construction value \$0.76million
Desludging of the Normanton Sewerage Lagoon	\$974,558
Disaster Coordination Shed	\$375,000
Karumba Airport Weather Station	\$87,000
Karumba Chlorine Generator	\$180,000
Normanton Water Treatment Plant Pipework Upgrades	\$150,000
Normanton Water Treatment Plant Storage Upgrades	\$40,000
Investigation into New Karumba Sewage System	\$80,000
Glenore Weir Intake, Pipework and Valve Set Upgrades	\$320,000
Karumba Foreshore	\$500,000
Normanton Stormwater Upgrades	\$228,882
Armstrong Creek Causeway	\$793,339
Iffley Road gravel upgrade	\$4,206,687
Koolatah – Dixie Road widening	\$2,477,642

Project has been completed

Appendix F – EOT Approvals

Submission Reference	Funding Type	Project	Previous Time Limit	EOT Duration (months)	EOT approval
CSC.0025.1819E:REC	QRA19 REPA	Submission 6	30-Jun-21	12	30-Jun-22
CSC.0037.1920E:REC	QRA20 REPA	Submission 3	30-Jun-22	3	30-Sep-22
CSC.0038.1920E:REC	QRA20 REPA	Submission 4	30-Jun-22	3	30-Sep-22
CSC.0036.1920E:REC	QRA20 REPA	Submission 2	30-Jun-22	3	Pending

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11.3 WATER AND WASTE REPORT

Attachments:	NIL
Author:	Ben Hill - Manager Water and Sewerage
Date:	7 June 2022

Key Outcome:	5.3 - A safe and sustainable water network
Key Strategy:	5.3.1 Plan, deliver and manage efficient and sustainable, high quality, water supply systems.

Executive Summary:

Normanton Water Treatment Plant (WTP), Karumba Sewage Treatment Plant (STP) and Normanton STP are operating effectively. The following items of interest are discussed in further detail within the report:

- Water levels at Glenore Weir are approximately 3.69m (AHD).
- Total treated water was 75.9ML for the month.
- Pipe repairs were completed at Karumba Water Tower.
- Burst pipe occurred on Yappar Street on the 250mm main.
- Glenore pump replacement to occur early June.
- Karumba caravan park pump stations underwent maintenance ahead of the tourist season.
- Green waste has been treated by contractors, considering removing to Lilyvale for pit rehabilitation.
- Wanless site manager will be on site for a week in June to have a look at the site operations.
- Eight low pressure sewer pumps were replaced in Karumba.

RECOMMENDATION:

That Council:

1. accepts the Water and Wastewater Report as presented for the period ending 31st May 2022; and
2. that those matters not covered by resolution be noted.

Background:

Glenore Weir

The water level at Glenore Weir was measured at 7.99m on the DNRME gauge (3.69m AHD). The Bureau of Meteorology recorded 32mm rainfall at Normanton Airport during the month.

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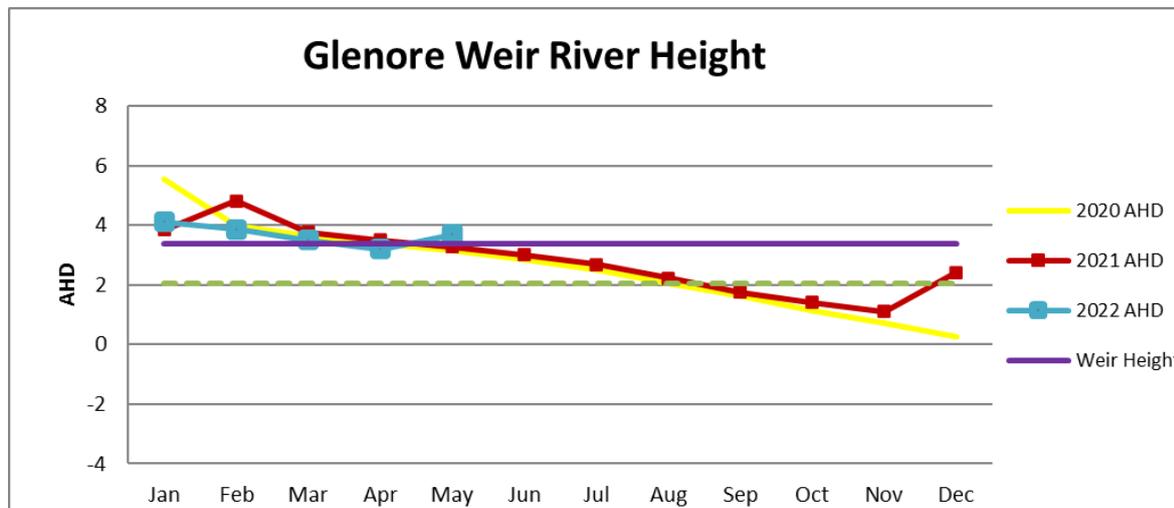


Figure 1: Glenore Weir River Height on the last day of the month.

Normanton Water Treatment Plant

For the month, 75.4ML was pumped from Glenore Weir and 4.1ML from the Normanton bore for a total of 79.5ML of raw water (see Figure 1).

Normanton consumed 47.8ML (60.1%) and 25.8ML (32.5%) was pumped to Karumba, approximately 4.4ML (5.5%) was used for backwashing and bulk water supply/storage. The remaining 1.9% was recorded as systems losses.

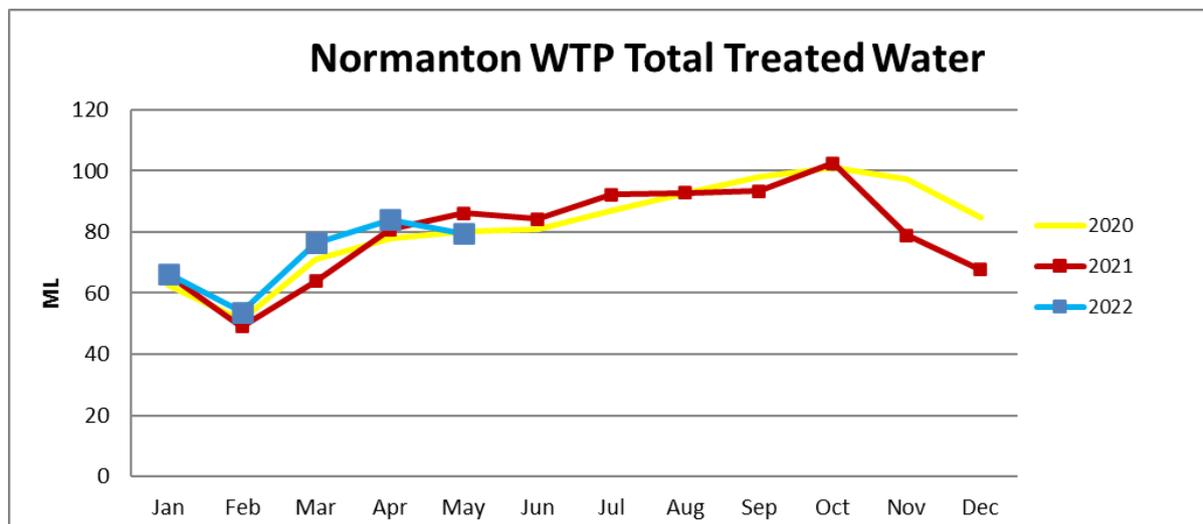


Figure 2: Total raw water treated

Maintenance and Upgrades

A leak at Karumba water reservoirs was repaired with new fittings and dosing points installed. Due to the nature of the pipeline, a large section was unable to be isolated, Council took the opportunity to install a new valve that was left over from a previous job which will allow any future work to take place much more easily

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Replacement pumps at Glenore Weir are scheduled to be replaced early June. It is anticipated that they will be installed prior to the June Council meeting and updates will be given during the meeting. This work will be completed under the LGGSP funding for the Glenore Weir Rectification grant funding.

Another burst pipe occurred on Yappar Street in Karumba. It was along the same section of pipe that previous bursts have happened, fortunately the new valves significantly reduced the impact on the rest of the town. The repairs are costly as they usually occur on weekends and out of hours and future consideration needs to be given to look at replacing a section of pipe to reduce the likelihood of future bursts.

Normanton Sewage Treatment Plant and Reticulation Network

Normanton Sewerage Treatment Plant (STP) received approximately 11.8ML (see Figure 3) of wastewater for the month.

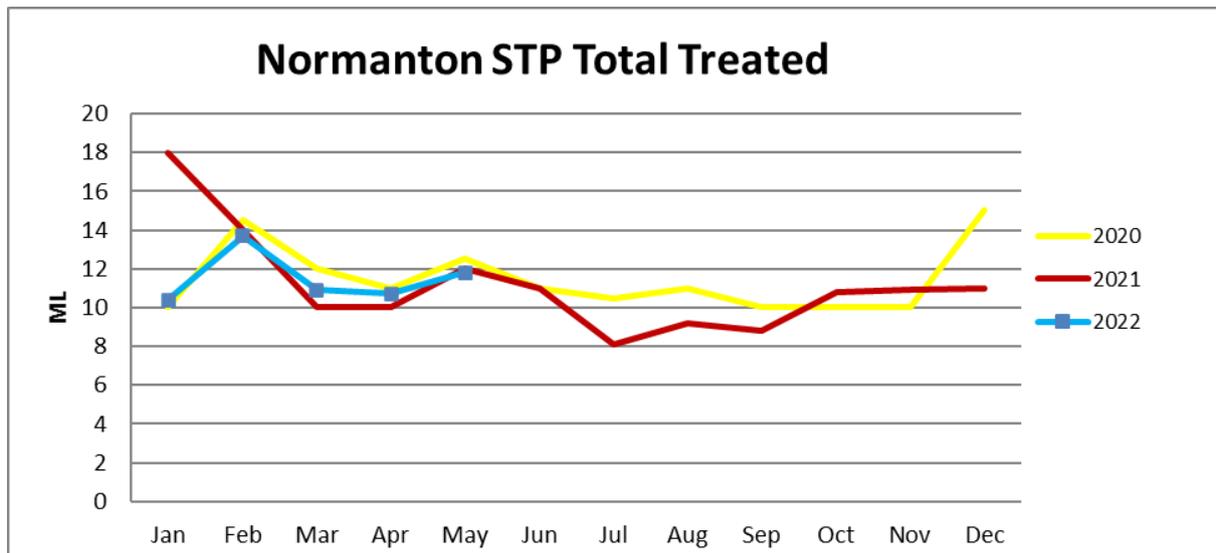


Figure 3: Total volume treated at Normanton STP

Maintenance and Upgrades

Plant performance and clarity continue to improve since the de-silting project has been completed. Additional maintenance work is now being carried out with the new operator being engaged to assist in Normanton.

More vetiver pontoons have been built and deployed into the maturation pond. They have been set up at the end of the races to ensure that the wastewater needs to travel past the root systems. Large floating pontoon platforms were acquired from the Barra Centre last year and have been installed for easier access to perform maintenance.

Karumba STP and Low Pressure Network

Karumba Sewage Treatment facility treated approximately 5.5ML (see Figure 4) for the month.

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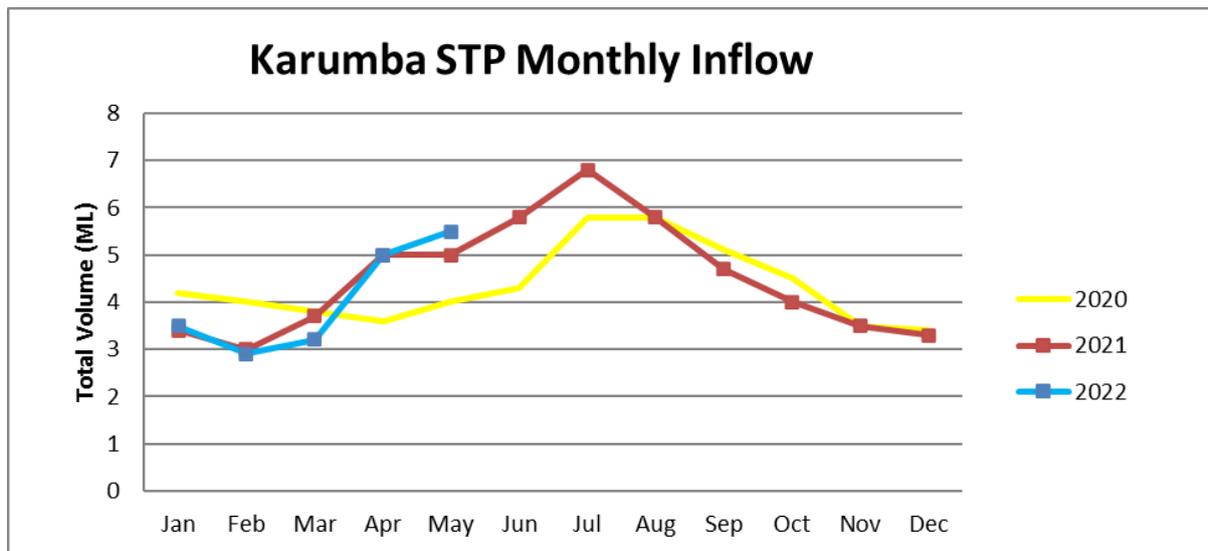


Figure 4: Total Monthly inlet flow for Karumba STP.

Compliance

Samples from the treatment plant were analysed and found to be within range of all parameters as set out in the Environmental Authority.

Maintenance and Upgrades

For the month, eight low pressure pumps were replaced in the field after failing. The sewer options report for the recommendations and forward plan will be presented in a separate report. There is a small amount of grant funding available leftover from the options study, Council opinion is being sought to vary the scope to start implementing some of the recommendations within the report.

During the month, plumbing staff attended each of the pump stations at the Karumba caravan parks and removed the pumps for inspection and maintenance. The wells were also cleaned and in some cases pumped out by contractors to remove any rag and debris.

The membranes will need to be replaced in the 2022/23 financial year and preparations are being made to allow for this to take place. It is anticipated that the replacement will reduce maintenance costs and will also have significantly reduce electricity costs.

Karumba Waste Transfer and Normanton Landfill

Regular discussions continue with the site supervisors to maintain operations as well as monthly virtual meetings with managers and directors. As discussed previously, Wanless are looking at installing ramps to allow easier access to residents to place waste in the bins. In the meantime, waste that cannot be put into the bins can be placed neatly on the ground for the operator to collect, it has been requested that a sign be installed to signify the lay-down point.

Finance

Table 1 below shows the Water and Waste budget and expenditure for the year to date.

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Table 1. Finance and budget for the year to date

Row Labels	Sum of Original Budget	Sum of YTD Actual	Sum of Order Value	Sum of Total Actual
Operating Expenditure				
Landfill/ Waste Transfer Operations	751,328	682,244	281,420	963,664
Refuse Collection	262,536	194,398	0	194,398
Sewerage	1,510,568	1,957,464	43,709	2,001,172
Water	2,567,893	2,097,875	40,037	2,137,912
Operating Expenditure Total	5,092,324	4,931,981	365,166	5,297,147
Operating Income				
Landfill/ Waste Transfer Operations	-845,960	-920,801	0	-920,801
Sewerage	-1,599,000	-2,225,811	0	-2,225,811
Water	-1,840,000	-1,828,474	0	-1,828,474
Operating Income Total	-4,284,960	-4,975,086	0	-4,975,086
Grand Total	807,364	-43,105	365,166	322,061

Consultation (Internal/External):

- Michael Wanrooy - Director of Engineering.
- Ben Hill - Manager Water and Waste.
- Executive Leadership Team
- Trades and operational staff.

Legal Implications:

- Low – within normal operational parameters.

Financial and Resource Implications:

- Medium – upgrades required for 2022/23 financial year to remain compliant.

Risk Management Implications:

- Nil.

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11.4 KARUMBA SEWERAGE SYSTEM OPTIONS REVIEW

Attachments: 11.4.1. Karumba Sewerage Options Review Report Extract [↓](#)

Author: Ben Hill - Manager Water and Sewerage

Date: 6 June 2022

Key Outcome: Day to day management of activities within the Water and Waste Department

Key Strategy: As per the Departmental Plan for Water and Waste

Executive Summary:

The Karumba sewerage network was installed and commissioned in 2010 and has been problematic ever since it was first installed. With the increasing maintenance costs and number of breakdowns, Council used grant funding to have an options review study undertaken by a suitably qualified independent engineering consultant.

The assessment found that replacing the existing system with a conventional gravity sewerage network would be beyond the financial capabilities of a small council. While a vacuum sewer network would be approximately half the cost of a gravity sewer installation, it would still be cost prohibitive with an estimated total of \$15 million to install.

It was therefore recommended that the existing system remain in place with some additional requirements implemented, as follows:

- Education of the public to not flush wet wipes
- Six year rolling replacement of pump fleet
- Additional record keeping and monitoring
- Telemetry/SCADA monitoring of high-risk pump stations
- Additional staff resources

RECOMMENDATION:

That Council accepts the recommendations in the report and implements the six year changeover of the pump fleet.

Background:

Council installed a new sewerage pumping network approximately twelve years ago and have been plagued with breakdowns and pump issues. There were numerous issues with how the system was originally installed which has significantly contributed to the issues, in no particular order as follows:

- a) The pumps were stored in shipping containers for a long period of time prior to installation and became infested with termites.
- b) The original control panels had a faulty batch of printed circuit boards that were replace FOC.

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- c) The original installations did not have any venting which led to issues with the pressure switches and corrosion.
- d) An automatic shut-off valve was installed at the plant that would pressurize the entire network every time the inlet tank filled (multiple times per day)

Council officers have worked on the issues above and they have all been rectified over time, however the issues are ongoing and Council has sought to find out if there were suitable options to reduce the maintenance and operational impacts. For this purpose, Jeff Ballard of Northern Water Management was engaged to provide an assessment and recommendations on how best to proceed with the system.

Alternative options were found to be too costly and the recommendation was to continue on with the existing system. Due to the prohibitive costs of any suitable alternative (see Table 1) and the introduction of new problems with any new system, it was recommended that the current system be retained. This is on the proviso that the existing pump fleet be replaced with new pumps over an approximate six year period, meaning approximately 65 new replacement pumps be installed per year.

Option Type	Estimated costs	Comments
Gravity sewer – 3m maximum depth	\$34,000,000	Extremely high installation costs makes this option unfeasible.
Gravity sewer – 6m maximum depth	\$28,000,000	Extremely high installation costs makes this option unfeasible.
Vacuum system	\$15,000,000	Lower installation cost than gravity sewer options, however the system would likely bring similar issues to the current system.
Replacement program using existing system	\$900,000 over six years	Currently replacing a number of pumps each year as needed. Bulk purchase of pumps may allow for additional savings. May reduce some of the breakdowns. Would require additional monitoring equipment.

Over recent years, approximately 20 new pumps are installed every year under maintenance. For the 2022/23 financial year, an additional \$100,000 has been requested in the budget, which will purchase approximately forty new additional pumps. This will reduce the amount of spare parts and repair costs enough to allow for the remaining five pumps to be purchased. The pumps will be purchased in bulk to take advantage of any price breaks and will be used to replace failed to avoid additional work.

The report provided by the consultant was extremely comprehensive and too large to include. Due to these constraints, the attached contains the Executive Summary and Conclusion/Recommendations. A full copy of the report can be provided to any interested elected members.

Consultation (Internal/External):

- Jeff Ballard – Northern Water Management
- Trades and operational staff

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Legal Implications:

- Nil

Financial and Resource Implications:

- Additional spend of approximately \$150,000 per year for six years.

Risk Management Implications:

- Nil



Executive Summary

ES.1 Project Requirements

The existing Karumba sewerage collection and pumping system is a pressure sewer system.

It has experienced many operational and maintenance issues and can be grouped into system availability, pump blockages and pump faults. This is due to several reasons including energy provider power failure, and system/pump/control design, including the ability to remotely monitor the pumps.

NWM was engaged by CSC to provide a concept design and options report to recommend whether to:

- Abandon the existing system and introduce a conventional gravity sewer system or vacuum sewer system, but aim to retain as much as the current system as possible to reduce costs; or,
- Keep the existing pressure sewer system but recommend changes to minimise maintenance costs.

As a result of a preliminary gravity system cost estimate, it was apparent that this alternative gravity system was not viable. A pressure sewer system was then investigated and was also considered unviable. The existing system was then reviewed in detail.

ES.2 Existing Sewerage System

The system is comprised of many individual onsite wet wells and pumps, discharging into common rising mains, which eventually flow to the STP. Larger sites have multiple pumps in their wells and the caravan parks also have more than one well. Each wet well has its own power and is provided by the customer.

The client advised that power outages are common and the wet wells overflow (larger wells) or back up (smaller sealed wells) when the outages occur.

The on-site capacity was calculated to be 17.7 hours per household. This has a liveability standard concern as this is considered lower than accepted industry practice in terms of public health engineering and personal hygiene due to the power reinstatement time.

The client utilises 3 pumps in their fleet, E-One, Aquatec, and Xylem. Each has its own issues however the E One pump has performed the best however this is due to pump revisions by the supply to remedy specific issues. The Aquatec pumps are still in service however they have a higher rate of blockages compared to the E One pump and an issue with their float. The Aquatec pumps have also faulted generally due to an incompatibility issue with using the E One control board, which is likely to be easily fixed by pairing it with the correct board. The Xylem pump is no longer manufactured, and most of the pumps installed had faulted.

Several system issues were also identified including power outages, blockages, pump and controller faults, and customer complaints.

The maintenance level required to keep this system going has been high relative to the staffing level.

ES.3 Constraints Assessment

Several mapping constraints and design requirements were identified to produce a concept gravity sewer system design. Only minor and expected issues were identified in this task which caused no significant impediment to this design.



ES.4 Gravity Sewer Concept Design

A 6 m and 3 m maximum sewer depth design was investigated with the latter intended to avoid the water table as much as possible.

This option was compared to the existing system to identify benefits and issues, and the high water table was generally the only real issue with this system.

The cost estimates for the 6 m and 3 m maximum sewer depth designs were \$34,140,113.96 and \$28,863,409.09 (plus GST) respectively. Both cost estimates were sent to the client for review. They advised that either option was cost prohibitive and advised that a gravity option was no longer worth investigating.

ES.5 Vacuum Sewer System Conversion Option

It was assessed that the change from a pressure system to a vacuum system would require most of the existing system to be abandoned.

Without undertaking a cost estimate and concept design, this type of system would likely be at least the cost of the existing system and the price escalated to current year values. It would also likely require the demolition of much of the existing system to allow construction to occur. Therefore, in the author's opinion, the system could be at least \$12M - \$15M. There is also a risk of cost escalation as tradesman costs and supply prices have significantly increased over the past 2 years.

It is also noted that this option may still present a similar range of issues as currently experienced in the existing system unless properly addressed during design. Some external issues will still be present such as power outages and wet wipes. This option may also present new challenges given its complexity.

ES.6 Continuation of the Pressure Sewer System

The main objectives of this assessment were to:

- To identify existing issues and ensure as far as practically possible, these are avoided in the future;
- Check design requirements for choosing future pumps to identify any failure modes that may be contributing to the issues identified.

20 technical requirements were identified to assess the system and are presented in Section 6.3. From this, a series of O&M and pump selection criteria recommendations were identified for the existing pumps and an alternative pump.

A suggested asset renewal profile was presented and includes the expected costs provided preventative maintenance occurs and new pumps and controls are purchases that have the required characteristics.

ES.7 Conclusion and Recommendations

A systematic method of assessing the existing pressure sewer system, and possible alternatives such as a conventional gravity sewerage system, vacuum sewer system, and hybrid solutions was undertaken. It is apparent that the existing system has limitations however replacing the system would come at an extraordinary cost and would present its own challenges. The existing system is also relatively young and its useful life has only been partially consumed making a decision to abandon it difficult.

Town power loss and individual power (surge) faults are a significant concern for the township and likely contribute to many of the faults. Despite the cost, management of each pump station via SCADA/telemetry is likely to have a positive effect on managing issues in terms of avoiding night time call outs, and environmental overflows.



What goes into the toilet is a major concern. Education, policy, and physical controls are important aspects.

The issues combined present a liveability concern. The 17.7 hours of storage during prolonged power outages prevent people from either using the system at all at the end of the first day of a power outage or prevents people from showering unless they use an outdoor shower. The use of washing machines is not available during this time. Whilst infrequent for an individual dwelling, if the system clogs the customer must find alternative sanitation. Due to these disruptions, the level of service is much lower than people living on the eastern coast, and the free and available use of community showers and washing facilities should be considered by council. Backup generators at these sites are therefore essential. This may already align with council's disaster management plan.

In the author's view, changes in pump assets and enhanced management of the existing system are considered the only viable options. The challenge for this report has been in deciding what strategies to use to fix or manage these issues. Given that the council has small capital and operational budgets, and personnel time is limited, a targeted action plan is recommended as discussed below. This report found that there are generally 6 areas to manage:

1. Ensure that the pump make and model(s) are chosen appropriately and replaced in a planned manner. It is acknowledged that the revisions of the E One pumps have resolved most of the pump-related faults, however other pumps could be trialed;
2. System monitoring be improved by installing telemetry at all high risk sites, and preferably at all sites;
3. Critical assets should have backup generators;
4. Council will need to adopt a trade waste policy;
5. Customers are properly regulated and educated in the use of what is an alternative sewer system;
6. A system maintenance regime is adopted in line with this report.

It is recommended that:

1. Mostly due to cost, a gravity option is not chosen;
2. Due to cost, system reconfiguration complexity, and customer impacts, a vacuum system option is not chosen;
3. Council retains the existing pressure sewer system;
4. Council undertakes a series of actions as identified in Section 7.2 in the following areas:
 - a. Level of Service (Customer Disturbance and Complaints);
 - b. Customer Education and Asset Policy;
 - c. Asset Management;
 - d. Maintenance Management.

A suggested 20-year expenditure profile is provided in this report to assist in planning.

7 Conclusion and Recommendations

7.1 Conclusion

A systematic method of assessing the existing pressure sewer system, and possible alternatives such as a conventional gravity sewerage system, vacuum sewer system, and hybrid solutions was undertaken. It is apparent that the existing system has limitations however replacing the system would come at an extraordinary cost and would present its own challenges. The existing system is also relatively young and its useful life has only been partially consumed making a decision to abandon it difficult.

Town power loss and individual power (surge) faults are a significant concern for the township and likely contribute to many of the faults. Despite the cost, management of each pump station via SCADA/telemetry is likely to have a positive effect on managing issues in terms of avoiding night time call outs, and environmental overflows.

What goes into the toilet is a major concern. Education, policy, and physical controls are important aspects.

The issues combined present a liveability concern. The 17.7 hours of storage during prolonged power outages prevent people from either using the system at all at the end of the first day of a power outage or prevents people from showering unless they use an outdoor shower. The use of washing machines is not available during this time. Whilst infrequent for an individual dwelling, if the system clogs the customer must find alternative sanitation. Due to these disruptions, the level of service is much lower than people living on the eastern coast, and the free and available use of community showers and washing facilities should be considered by council. Backup generators at these sites are therefore essential. This may already align with council's disaster management plan.

In the author's view, changes in pump assets and enhanced management of the existing system are considered the only viable options. The challenge for this report has been in deciding what strategies to use to fix or manage these issues. Given that the council has small capital and operational budgets, and personnel time is limited, a targeted action plan is recommended as discussed below. This report found that there are generally 6 areas to manage:

7. Ensure that the pump make and model(s) are chosen appropriately and replaced in a planned manner. It is acknowledged that the revisions of the E One pumps have resolved most of the pump-related faults, however other pumps could be trialled;
8. System monitoring be improved by installing telemetry at all high risk sites, and preferably at all sites;
9. Critical assets should have backup generators;
10. Council will need to adopt a trade waste policy;
11. Customers are properly regulated and educated in the use of what is an alternative sewer system;
12. A system maintenance regime is adopted in line with this report.

7.2 Recommendations and Associated Costs

It is recommended that:

1. Mostly due to cost, a gravity option is not chosen;
2. Due to cost, system reconfiguration complexity, and customer impacts, a vacuum system option is not chosen;
3. Council retains the existing pressure sewer system;
4. Council undertakes the following:



Table 7.1 – Recommendations and Associated Costs (+ GST)

Item	Area and Recommendation	Budget Cost
1	Level of Service (Customer Disturbance and Complaints)	
1.1	Power outages: <ul style="list-style-type: none"> ▪ Council should consider providing or encouraging backup generators to vulnerable sites where not already installed including caravan parks and commercial kitchens. 	\$200,000
1.2	Alarms Generally: <ul style="list-style-type: none"> ▪ All of the on-site control boards be updated to have silent alarms during say 10 pm to 6 am; ▪ Inform residents of this change and provide details of tell-tail signs during the silent alarm such as the inability for flushed water to drain; ▪ If telemetry is installed at all sites, audible alarms are not considered necessary. 	Internal Wages
2	Customer Education and Asset Policy	
2.1	Power outages: <ul style="list-style-type: none"> ▪ Council should consider providing information to dwellings on limiting disposal to sewer, particularly showers unless they have backup generators 	Internal Wages
2.2	To avoid blockages: <ul style="list-style-type: none"> ▪ Commence an education campaign in line with the voluntary standard DR AS/NZS 5328:2022 Flushable Products, by Standards Australia (refer to link) to reduce the number of wet wipes being introduced to the system, including pamphlets, public toilet and caravan park signage; ▪ Consider asking local shops to stop selling wet wipes; ▪ Consider introducing a charge or fee where individual premises are invoiced if the call out and or repair is linked to wet wipe clogging. 	Internal Wages
2.3	To avoid trade waste issues: <ul style="list-style-type: none"> ▪ Council should recommence formalised trade waste management including the creation of a trade waste policy and at least minimum annual compliance checks including trap capacity. 	Internal Wages
3	Asset Management	
3.1	Power outages: <ul style="list-style-type: none"> ▪ Consider a strategy where the pump outs are staggered to avoid a peak flow at the STP and that some groups of additional pump sites are on backup generators to assist with avoiding flood faults. 	Internal Wages
3.2	Product Selection and Purchases: <ul style="list-style-type: none"> ▪ To avoid pump/product faults, ensure that all products have stainless steel nipples for all electrical connections; ▪ Consider thermal cut-out switches on all pumps; ▪ Consider using the Aquatec pump models if it can be managed using the compatible controller and the issues identified in this report can be rectified; ▪ Purchase of the E One pumps is generally considered a close but not exact match to the technical requirements and may be acceptable in the short term (see below for assessment). In the long term, the manufacturer should revise the model in line with the technical requirements highlighted. Otherwise, an alternative pump should be sought; ▪ When purchasing pumps, ensure they have a protective coating; ▪ The float must be situated where it cannot crack from vibration. ▪ The power cable connection to the pump must be secured using a strong stainless steel nipple or equivalent; 	\$762,272.00 (over 6 years)



Item	Area and Recommendation	Budget Cost
	<ul style="list-style-type: none"> The power cable connection must not be subject to fraying from vibration. Require larger impellers to allow more perimeter for rags to get through the gap between the impellor and the cutter. 	
3.3	Alternative Pumps: <ul style="list-style-type: none"> A trial should be undertaken to determine the InviziQ Mono pump robustness before purchasing in volume. This is subject to existing wells being able to be retrofitted. 	Included in replacement program
3.4	To avoid blockages: <ul style="list-style-type: none"> Consider an interception well at all of the larger pump stations (mainly the caravan parks) to capture extraneous objects such as wet wipes. 	\$200,000
3.5	To avoid trade waste issues (protection devices): <ul style="list-style-type: none"> Auto timed cut-out switches with SCADA capable alarms should be installed on vulnerable pumps; Consider telemetry on these pumps; Consider overpressure switches, low voltage protection, and no-flow switches. This may be installed on the control board. 	\$50,000
3.6	Telemetry: <ul style="list-style-type: none"> As a minimum and due to expense, install telemetry on larger and high risk sites including caravan parks and commercial kitchens; Although expensive, consider telemetry on all pump stations so that failures are known immediately which is likely to reduce night time call outs, and avoid customer complaints. This upgrade is cheaper than capital replacement and in accordance with industry standards. 	\$400,000
4	Maintenance Management	
4.1	To avoid electrical short circuits: <ul style="list-style-type: none"> Ensure the electrical connections in the wells are properly undertaken during repairs. 	Internal Wages
4.2	To avoid pump/product faults: <ul style="list-style-type: none"> Ensure that all pumps are handled correctly by avoiding being picked up at the electrical cable. 	Internal Wages
4.3	Maintenance Regime: <ul style="list-style-type: none"> Continue with the existing pumps until they fail twice. This will require maintaining records. The alternative is to replace all pumps however this is expensive and a staggered replacement regime, say over 5-7 years in alignment with asset life expectancy is considered sensible; To minimise reactive maintenance interruptions, preventative maintenance is undertaken at 50% through the pump's life (approximately 7.5 years). 	\$143,750.00 (over 6 years) See expenditure Profile – Occurs after 7 years
4.4	Record Keeping: <ul style="list-style-type: none"> Ensure maintenance records are kept to understand the failure mechanisms and to know which pumps have failed more than once. 	Internal Wages
4.5	Staffing: <ul style="list-style-type: none"> Allocate a permanent 0.5 FTE maintenance position to maintain the pumps and to provide assistance during call-outs. 	\$99,000/yr

A suggested 20-year expenditure profile is provided in **Appendix N – Suggested 20 Year Expenditure Profile**.

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11.5 WORKSHOP REPORT

Attachments: NIL

Author: William Bollen - Workshop Foreman

Date: 6 June 2022

Key Outcome: 5.1 - Integrated and timely provision and management of sustainable infrastructure and assets

Key Strategy: 5.1.1 Develop a Strategic Infrastructure and Asset Management Plan to guide the provision, maintenance, decommissioning, replacement and enhancement of Council assets and infrastructure.

Executive Summary:

This report provides information and updates to Council on various maintenance and repairs that are facilitated within the Workshop.

RECOMMENDATION:

That Council:

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

Background:

Service, repairs and maintenance

Completed Tasks:

Below is the works carried out over the last month.

Please note majority of these service and repairs include travel time and some minor defects are not recorded below.

Current and Completed Tasks	
P3811 Wirtgen Stabiliser	250hr service completed onsite, workshop staff and machine operator have completed machine familiarisation and maintenance recommendations with WIRTGEN coming up and doing onsite training. @ (89B)
P3810 Skid steer	500hr service completed. Replaced alternator and AC belts.
P9930 Fleet Crew Landcruiser Dual Cab Ute	80k service and rear shock absorbers replaced
P9923 Fleet Crew Landcruiser Dual Cab Ute	20k service and checks
P9932 Fleet Crew Landcruiser Dual Cab Ute	60k service and checks

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Current and Completed Tasks (contd.)	
P9101 CAT Hired Grader	uncontrolled articulation, travel to site and inspected, found machine artic sensor and control arm blocked with mud, cleaned out mud and straightened control arm, recalibrated articulation sensor, made note that both tandems are leaking, steer tyres and circle loose, (advised Hastings).
P2036 Isuzu Tipper	Rear tyres US, Changed out rear tyres and fit spare to rack
P3137 Karumba Backhoe	Replaced bucket edges.
P2512 Isuzu Giga	connect scan tool to do a forced DPF regen, replaced 2x front steer tyres and 2x rear drive tyres, greased all points (awaiting jack shaft to turn up)
P9101 Cat Hired Grader	travel to site to inspect tyres further to give report to Hastings, fit a spare tyre up in workshop in case of tyre failure
P1165 Landcruiser Single Cab Ute	replace rear tyre and re-wire beacons
P6902 Fuel Trailer	re-wire battery harness to include circuit breaker
P1566 Karumba Mitsubishi Triton	fit new battery, wouldn't start, serviced
P1169 Hilux Dual Cab Ute	starting issue, diagnosed starter issue, replaced starter motor, remove and replace all 4 tyres on vehicle
P3118 Cat Grader	hose rubbing on steering, adjusted hoses to clear steer and fit spiral wrap to protect hoses
P2626 Street Sweeper	replace wiring to rear beacons on body, replace plug on side flap harness, reconnect plug on reverse camera, replaced relay and switch on hopper vibration, replace plug and rewire boom control. High pressure water pump failed (awaiting the arrival of new).
P1979 Hilux Dual Cab Ute	Replace all 4 tyres.
P4016 Karumba Tri-Deck Mower	inspect machine for oil leak, removed failed return oil line, made hydraulic lines in workshop and fitted, pumped tyres and sealed leaks
P4013 Kubota Mower	remove front deck lift arms, make up new pins and fit new lift arms, refit front mower deck
P1938 Prado	80k service and checks, windscreen cracked (awaiting windscreen)
P1909 Hilux Dual Cab Ute	50k service and checks
P1979 Hilux Dual Cab Ute	130k service and tyres
P1907 Hilux Dual Cab Ute	logbook service and replace 4x tyres

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P2036 Isuzu tipper	AC fan US, replace AC fan and cleaned evaporator
P3011 Karumba Skid steer	accelerator pedal repairs
P3137 Karumba Backhoe	remove and strip bonnet, fit new bonnet, fit new side covers
P3717 Cat Grader	circle adjustment
P4013 Kubota Mower	gearbox output shaft seal replaced
P4500 Karumba Forklift	repairs to steering system and deliver to Karumba
P1582 Hilux	diagnose and repair electrical in the lighting system
P7722 Backup Generator	service, check wheel bearings and adjust, repair trailer wiring harness.
P2626 Street Sweeper	carry out logbook service and checks
P3717 Cat Grader	carry out 250h service and checks
P3811 Wirtgen Stabiliser	fault at water sensor repaired. Air filter and housing assembly ordered
P3531 Case Tractor	LH steer tyre flat replaced and repaired damaged tyre
P5056 Wash Bay	re-fit gennie to wash down bay
P3531 Case Tractor	carry out 250h service and checks, carry out inspection of slasher and blades.
P4016 Jacobsen Mower	Complete service and radiator repairs
P4408 Trailer	new bearings grease, pads and tyres
P3811 Stabilizer	Repair hydraulic pressure sensor and complete familiarisation with Wirtgen employee
P2402 Isuzu Tipper	replace rear callipers and pads and check engine fault
P3701 Loader	A/C fault replaced compressor and drier
P1955 Prado	Log Book service 90K

Plant currently on the waiting list for repairs for either parts or diagnosing:

Plant not currently being used:

Consultation (Internal/External):

- Nil.

Legal Implications:

- Nil.

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Financial and Resource Implications:

- Nil.

Risk Management Implications:

- Within normal operating parameters.

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11.6 BUILDING AND PLANNING REPORT

Attachments:	NIL
Author:	Elizabeth Browning - Engineering Records Operator
Date:	8 June 2022
Key Outcome:	4.1 - Sustainable urban and rural development
Key Strategy:	4.1.1 Ensure development accords with Carpentaria Shire Council's planning scheme, planning instruments, codes and legislation.

The report is to advise Council of relevant planning and building activities within the Shire for the month of May 2022.

RECOMMENDATION:

That Council note and accept the content of the Building and Planning Report as presented.

Background:

Planning Applications Received

DA No.	Applicant	Address	Application Type	Status
I/2205	Lyu Family Investments Pty Ltd	67 Yappar Street, Karumba QLD 4891	MCU (New warehouse and Café)	Receiving
I/2209	D Wren Pty Ltd & F Wren Pty Ltd c/- RPS Australia East Pty Ltd	132-138 Yappar Street, Karumba QLD 4891 (Lot 84 on SP323732)	Operational Works (Karumba Revetment Wall – Karumba Seawall)	Receiving

Planning Applications Approved

DA No.	Applicant	Address	Application Type	Status
N/A				

Building Applications Received by Building Certifier

DA No.	Applicant	Address	Application Type	Value
I/2208	Barto's Construction Pty Ltd	39 Landsborough Street, Normanton QLD 4890 (Lot 1 on SP218122)	Change Rooms	\$935,055.00

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Building Permits Issued

DA No.	Applicant	Address	Application Type	Value
N/A				

Applications pending waiting on further information (Applicants advised)

DA No.	Applicant	Address	Application Type	Date Received
N/A				

Consultation (internal/external)

- Elizabeth Taylor – Consultant Town Planner
- Jennifer Roughan – Consultant Town Planner
- Ian Doust – Town Planner
- Garry Jeffries – Building Designer

Legal implications

- N/A

Policy Implications

- N/A

Financial and Resource Implications

- N/A

Risk Management Implications

- Low – risks are within normal operational parameters

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11.7 OUTBACK AIR RACE

Attachments:	11.7.1. Request for Exemption from Airfield Charges ↓
Author:	Michael Wanrooy - Director of Engineering
Date:	9 June 2022
Key Outcome:	5.2 - A safe and sustainable road network
Key Strategy:	5.2.1 Plan and deliver a safe, sustainable and efficient road network.

Executive Summary:

Council have received a request from an organization known as the Australian Air Race Events (AARE) trading as The Outback Air Race. The organization are an Incorporated not-for-profit Association registered in Western Australia with ABN 84 634 282 096. They are raising funds for the Royal Flying Doctor Service and request Council to waiver landing and parking fees at the Normanton and Karumba Aerodromes for approximately 40 light aircrafts.

RECOMMENDATION:

That Council:

1. Waiver the landing fees as the Outback Air race event is used to fund raise for the Royal Flying Doctor Service; and
2. Get a confirmed list of planes with their call signs so that AVDATA will not charge the participants.

Background:

Please refer to the attached letter from the organizers.

Council can arrange with our Aerodrome Reporting Officers in Normanton and Karumba to find available parking spaces on the grassed areas within the fenced areas. The event will benefit both Karumba and Normanton through exposure and local business opportunities such as fuel supply, accommodation, and meals.

Consultation (Internal/External):

- Michael Wanrooy - Director of Engineering.
- Mark Crawley – Chief Executive Officer

Legal Implications:

- Low – within normal operational parameters.

Financial and Resource Implications:

- Nil.

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Risk Management Implications:

- Nil.



THE LOTTERY OFFICE
**OUTBACK
AIR RACE 2022**

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OFFICE**



23 May, 2022

Normanton Shire Council
ATT: The Airport Manager
Shire of Carpentaria
PO Box 31
Normanton QLD 4890

REQUEST FOR EXEMPTION FROM AIRFIELD CHARGES

Dear Sir / Madam

The Outback Air Race is a triennial fund-raising event, raising funds for the Royal Flying Doctor Service. This August/September, some forty aircraft will be travelling from Darwin NT to Coffs Harbour NSW in the eleventh Outback Air Race, over a period of two weeks. They will be landing on your airfields at Karumba and Normanton over three days from Thu 1st Sept 2022 to Sat 3rd Sept 2022 inclusive.

To date this event has raised over \$3.2M for the RFDS, and this year we seek to add \$600,000 to that total. Participants in the event do so at their own cost, and donations and fundraising proceeds go 100% to the RFDS.

We would like to ask you to please consider granting waivers to our fleet of aircraft (mostly two and four seat light aircraft) for landing charges and (if applicable) aircraft parking fees.

Should you agree to this (as have the vast majority of airports involved in the previous ten Outback Air Races), we will supply you with a final list of aircraft and their callsigns a few weeks from the event, so that you may advise your accounts people in charge of invoicing accordingly.

We look forward to hearing from you soon, and thank you for considering our request.

Warm Regards,

Location Coordinator - Karumba/Normanton

Outback Air Race 2022
www.outbackairrace.com.au

Email: johnmar2554@gmail.com
Mobile: 0403 432 179

Australian Air Race Events Inc. (AARE), trading as The Outback Air Race, is an Incorporated not-for-profit Association registered in Western Australia (ABN 84 634 282 096), and is unregistered for GST.
AARE exists to raise funds for the Royal Flying Doctor Service, but is not itself a registered charity.
Mail: 40 Holland St Wembley WA 6014 Web: www.outbackairrace.com.au Email: manager@outbackairrace.com.au

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