



## AUDIT COMMITTEE MEETING

### AGENDA

28 SEPTEMBER 2021

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**CITY OF GREATER GERALDTON**

**AUDIT COMMITTEE MEETING  
TO BE HELD ON TUESDAY 28 SEPTEMBER 2021 AT 3.30PM  
IN THE GREENOUGH ROOM – CIVIC CENTRE**

**A G E N D A**

**1 DECLARATION OF OPENING**

The meeting was declared open at \_\_\_\_\_ by Chairman Mayor Van Styn

**2 ATTENDANCE**

Present:

Officers:

By Invitation:

Apologies:

Leave of Absence:

**3 CONFIRMATION OF PREVIOUS MINUTES**

Recommendation: That the minutes of the City of Greater Geraldton Audit Committee meeting held on 31 May 2021 as attached be accepted as a true and correct record of proceedings.



AUDIT COMMITTEE MEETING  
MINUTES

31 MAY 2021

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**CITY OF GREATER GERALDTON**  
**AUDIT COMMITTEE MEETING**  
**TO BE HELD ON MONDAY 31 MAY 2021 AT 11AM**  
**IN THE EXECUTIVE MEETING ROOM – CIVIC CENTRE**

**A G E N D A**

**1 DECLARATION OF OPENING**

The meeting was declared open at 11.02 by Chairman Mayor Van Styn.

**2 ATTENDANCE**

Attendance by Electronic Means

In accordance with the *Local Government (Administration) Regulations 1996* regulation 14C (2) - *Attendance by electronic means in public health emergency or state of emergency (Act s.5.25(1)(ba))* the Mayor authorised Cr Thomas and himself to attend the meeting by electronic means.

Present:

Mayor S Van Styn (by electronic means)  
Cr T Thomas (by electronic means)

Officers:

R McKim, CEO  
N Jane, Acting Chief Financial Officer  
T Machukera, Financial Accountant  
M Adam, Governance Coordinator (*Minutes*)

By Invitation:

Auditors	OAG – M Ambrose	(by electronic means)
	RSM – AK Neo	(by electronic means))
	RSM – Alasdair Whyte	(by electronic means)

Apologies:

Cr Colliver  
Cr Caudwell  
P Radalj, Director Corporate and Commercial Services

Leave of Absence:

Nil

**3 CONFIRMATION OF PREVIOUS MINUTES**

Recommendation: That the minutes of the City of Greater Geraldton Audit Committee meeting held on 27 January 2021 as attached be accepted as a true and correct record of proceedings.

Signed \_\_\_\_\_ Dated \_\_\_\_\_

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**COMMITTEE DECISION**

**MOVED Cr Thomas**

**SECONDED Mayor Van Styn**

**That the minutes of the City of Greater Geraldton Audit Committee meeting held on 27 January 2021, as attached, be accepted as a true and correct record of proceedings**

**CARRIED 2 /0**

Signed \_\_\_\_\_ Dated \_\_\_\_\_

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#### 4 ITEMS FOR AUDIT COMMITTEE REVIEW

AC102	ENTRANCE MEETING – OAG & RSM
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<b>AGENDA REFERENCE:</b>	<b>D-21-049042</b>
<b>AUTHOR:</b>	<b>N Jane, Acting Chief Financial Officer</b>
<b>EXECUTIVE:</b>	<b>P Radalj, Director Corporate &amp; Commercial Services</b>
<b>DATE OF REPORT:</b>	<b>14 May 2021</b>
<b>FILE REFERENCE:</b>	<b>GO/11/0025</b>
<b>ATTACHMENTS:</b>	<b>Yes (X1)</b> <b>Audit Planning Memorandum</b>

#### **EXECUTIVE SUMMARY:**

The purpose of this report is to provide the Committee with the Audit Planning Memorandum for the year ending 30 June 2021.

#### **EXECUTIVE RECOMMENDATION:**

That the Audit Committee by Simple Majority pursuant to Section 7.1C of the Local Government Act 1995 RESOLVES to:

1. RECEIVE the Audit Planning Memorandum for the year ending 30 June 2021.

#### **PROPONENT:**

The proponent is the City of Greater Geraldton.

#### **BACKGROUND:**

The *Local Government Amendment (Auditing) Act 2017* makes legislative changes giving the Auditor General the mandate to audit Western Australian local governments. The Act allows the Auditor General to contract out some or all of the financial audits, but all audits remain the responsibility of the Auditor General.

Each year the Office of the Auditor General (OAG) undertake an audit of the City's financial report. The OAG recently advised the appointment of RSM as the contract auditor who will undertake the audits for the period 2020-21 to 2022-23.

The interim audit for the 2020-21 year is scheduled for June 2021, and prior to this an Entrance meeting is required to discuss the Audit Planning Memorandum (draft attached). This document provides detail of the proposed approach by RSM Australia in undertaking the financial audit.

#### **COMMUNITY, ENVIRONMENT, ECONOMY AND GOVERNANCE ISSUES:**

##### **Community:**

There are no adverse community impacts.

Signed \_\_\_\_\_ Dated \_\_\_\_\_

**Environment:**

There are no adverse environment impacts.

**Economy:**

There are no adverse economic impacts.

**Governance:**

Holding an Entrance Meeting provides the opportunity for the Audit Committee to undertake its functions including to support the auditor to conduct an audit.

**RELEVANT PRECEDENTS:**

Each year an audit entrance and exit meeting is held with OAG, the audit committee and the contract auditor.

**COMMUNITY/COUNCILLOR CONSULTATION:**

There has been no community/councillor consultation.

**LEGISLATIVE/POLICY IMPLICATIONS:**

*Local Government (Audit) regulations 1996*, section 16:

An audit committee has the following functions —

- (a) to guide and assist the local government in carrying out —
  - (i) its functions under Part 6 of the Act; and
  - (ii) its functions relating to other audits and other matters related to financial management;
- (b) to guide and assist the local government in carrying out the local government's functions in relation to audits conducted under Part 7 of the Act;
- (c) to review a report given to it by the CEO under regulation 17(3) (the **CEO's report**) and is to —
  - (i) report to the council the results of that review; and
  - (ii) give a copy of the CEO's report to the council;
- (d) to monitor and advise the CEO when the CEO is carrying out functions in relation to a review under —
  - (i) regulation 17(1); and
  - (ii) the *Local Government (Financial Management) Regulations 1996* regulation 5(2)(c);
- (e) to support the auditor of the local government to conduct an audit and carry out the auditor's other duties under the Act in respect of the local government;

Signed \_\_\_\_\_ Dated \_\_\_\_\_

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- (f) to oversee the implementation of any action that the local government —
- (i) is required to take by section 7.12A(3); and
  - (ii) has stated it has taken or intends to take in a report prepared under section 7.12A(4)(a); and
  - (iii) has accepted should be taken following receipt of a report of a review conducted under regulation 17(1); and
  - (iv) has accepted should be taken following receipt of a report of a review conducted under the *Local Government (Financial Management) Regulations 1996* regulation 5(2)(c);
- (g) to perform any other function conferred on the audit committee by these regulations or another written law.

#### **FINANCIAL AND RESOURCE IMPLICATIONS:**

Provision in the budget is made to undertake the audit.

#### **INTEGRATED PLANNING LINKS:**

Title: Governance	Good Governance & Leadership
Strategy 4.5.2	Ensuring finance and governance policies, procedures and activities align with legislative requirements and best practice

#### **REGIONAL OUTCOMES:**

There are no impacts to regional outcomes.

#### **RISK MANAGEMENT**

The audit entrance meeting assists both the Committee and the OAG to undertake the annual financial audit.

#### **ALTERNATIVE OPTIONS CONSIDERED BY CITY OFFICERS**

No alternative options were considered.

#### **COMMITTEE DECISION**

**MOVED Mayor Van Styn SECONDED Cr Thomas**

**That the Audit Committee by Simple Majority pursuant to Section 7.1C of the Local Government Act 1995 RESOLVES to:**

- 1. RECEIVE the Audit Planning Memorandum for the year ending 30 June 2021.**

**CARRIED 2 /0**

Signed \_\_\_\_\_ Dated \_\_\_\_\_

**NOTE**

**Clause 6.2 of the Audit Planning Memorandum provides that the Mayor and CEO are to sign the Management Representation Letter.**

**Mayor Van Styn requested that this clause be amended to provide that the Management Representation Letter is signed off by the CEO and the Director of Corporate and Commercial Services, instead of being signed off by the Mayor and CEO. The reason for the amendment is that the Mayor has no operational oversight of the finance function.**

Signed \_\_\_\_\_ Dated \_\_\_\_\_

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**5 GENERAL BUSINESS , LATE ITEM Nil**

**6 MEETING CLOSURE**

There being no further business the meeting was declared closed at 11.28am

Signed \_\_\_\_\_ Dated \_\_\_\_\_

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Audit Committee Action Items –28 September 2021

<b>Title</b>	<b>Item/ References</b>	<b>Action</b>	<b>Item# or Date Completed</b>	<b>Outcome</b>
Application of the Council Policy 4.28 Managing Unreasonable Customer Conduct	AC096	1. NOTE the information provided below in relation to Council Policy 4.28 Managing Unreasonable Customer Conduct. 2. REQUIRE the CEO to report back annually to the Audit Committee at the first meeting held after the close of the relevant financial year.	AC109 – 28 September 2021	

#### 4 ITEMS FOR AUDIT COMMITTEE REVIEW

AC103	INTERIM AUDIT REPORT 2020-21
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<b>AGENDA REFERENCE:</b>	<b>D-21-100250</b>
<b>AUTHOR:</b>	<b>N Jane, A/Chief Financial Officer</b>
<b>EXECUTIVE:</b>	<b>P Radalj, Director Corporate and Commercial Services</b>
<b>DATE OF REPORT:</b>	<b>10 September 2021</b>
<b>FILE REFERENCE:</b>	<b>GO/11/0020</b>
<b>ATTACHMENTS:</b>	<b>Yes (x2) Confidential</b>
	<b>A. Interim Audit Results – Letter to CEO</b>
	<b>B. Interim Audit Results - Findings</b>

#### **EXECUTIVE SUMMARY:**

The purpose of this report is to present the findings of the Interim Audit for 2020-21, together with responses from Management for the Committee's review and endorsement.

#### **EXECUTIVE RECOMMENDATION:**

That the Audit Committee by Simple Majority pursuant to Section 7.1C of the Local Government Act 1995 RESOLVES to recommend that Council:

1. RECEIVE the Interim Audit report for 2020-21; and
2. ENDORSE the Management Responses to those matters as contained within the report.

#### **PROPONENT:**

The proponent is the City of Greater Geraldton.

#### **BACKGROUND:**

The Interim Audit was conducted by RSM on behalf of the Office of the Auditor General (OAG). The interim audit was conducted from 8-11 June 2021. At the conclusion of this audit, a Management Letter and Findings Identified document were issued and are attached for the information of the audit committee.

#### **COMMUNITY, ECONOMY, ENVIRONMENT AND LEADERSHIP ISSUES:**

##### **Community:**

There are no adverse community impacts.

##### **Economy:**

There are no adverse economic impacts.

##### **Environment:**

There are no adverse environmental impacts.

##### **Leadership:**

A review of the Management Letter and Findings for the interim audit allows the Audit Committee to fulfil its governance and oversight responsibilities in relation to the financial reporting of the City.

*Disclosure of Interest:*

No Officer involved in the preparation of this report has a declarable interest in this matter.

**RELEVANT PRECEDENTS:**

The Audit Committee received the 2019-20 Interim Audit report at their meeting on 27 January 2021 (AC093).

**COMMUNITY/COUNCILLOR CONSULTATION:**

There has been no community/councillor consultation.

**LEGISLATIVE/POLICY IMPLICATIONS:**

*Local Government (Audit) regulations 1996, section 16:*

An audit committee has the following functions —

- (a) to guide and assist the local government in carrying out —
  - (i) its functions under Part 6 of the Act; and
  - (ii) its functions relating to other audits and other matters related to financial management;
- (b) to guide and assist the local government in carrying out the local government's functions in relation to audits conducted under Part 7 of the Act;
- (e) to support the auditor of the local government to conduct an audit and carry out the auditor's other duties under the Act in respect of the local government;
- (f) to oversee the implementation of any action that the local government —
  - (i) is required to take by section 7.12A(3); and
  - (ii) has stated it has taken or intends to take in a report prepared under section 7.12A(4)(a); and
- (g) to perform any other function conferred on the audit committee by these regulations or another written law.

**FINANCIAL AND RESOURCE IMPLICATIONS:**

Provision is made each year in the budget for the interim and annual financial audits conducted by the Office of the Auditor General.

**INTEGRATED PLANNING LINKS:**

<b>Strategic Direction: Leadership</b>	<b>Aspiration: A strong local democracy with an engaged community, effective partnerships, visionary leadership and well informed decision-making.</b>
Outcome 4.2	Decision making is ethical, informed and inclusive
Outcome 4.3	Accountable leadership supported by a skilled and professional workforce
Outcome 4.4	Healthy financial sustainability that provides capacity to respond to changes in economic conditions and

	community priorities
Outcome 4.7	Council understands its roles and responsibilities and leads by example

**REGIONAL OUTCOMES:**

There are no impacts to regional outcomes.

**RISK MANAGEMENT:**

Findings outlined in the management letter have been assigned a risk rating by the Office of Auditor General. These ratings are based on the audit team's assessment of risks and concerns with respect to the probability and/or consequence of adverse outcomes if action is not taken. Consideration is given to these potential adverse outcomes in the context of both quantitative impact (for example financial loss) and qualitative impact (for example inefficiency, non-compliance, poor service to the public or loss of public confidence).

Management have provided responses to each of the findings.

**ALTERNATIVE OPTIONS CONSIDERED BY CITY OFFICERS:**

No alternative options were considered by City officers.

AC104	PROGRESS REPORT - MANagements ACTIONS ON AUDITS
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<b>AGENDA REFERENCE:</b>	<b>D-21-100332</b>
<b>AUTHOR:</b>	<b>N Jane, A/Chief Financial Officer</b>
<b>EXECUTIVE:</b>	<b>P Radalj, Director Corporate &amp; Commercial Services</b>
<b>DATE OF REPORT:</b>	<b>10 September 2021</b>
<b>FILE REFERENCE:</b>	<b>GO/11/0020</b>
<b>ATTACHMENTS:</b>	<b>Yes (x1) Confidential Management Actions on Audits – September 2021</b>

**EXECUTIVE SUMMARY:**

The purpose of this report is to provide an update on management actions resulting from various audits.

**EXECUTIVE RECOMMENDATION:**

That the Audit Committee by Simple Majority pursuant to Section 7.1C of the Local Government Act 1995 RESOLVES to:

1. RECEIVE the Progress Report on management actions related to audits.

**PROPONENT:**

The proponent is the City of Greater Geraldton.

**BACKGROUND:**

This report provides an update on actions arising from audits and progress made since the report provided to the Committee in January 2021. The updated schedule includes actions resulting from the Financial Management Systems Review and Audit Regulation 17 Review undertaken in June 2021.

**COMMUNITY, ECONOMY, ENVIRONMENT AND LEADERSHIP ISSUES:****Community:**

There are no adverse community impacts.

**Economy:**

There are no adverse economic impacts.

**Environment:**

There are no adverse environmental impacts.

**Leadership:**

Monitoring the actions resulting from various audits allows the Audit Committee to fulfil its governance and oversight responsibilities.

*Disclosure of Interest:*

No Officer involved in the preparation of this report has a declarable interest in this matter.

**RELEVANT PRECEDENTS:**

AC100 – Management Actions on Internal Audit – 27 January 2021

AC088 – Management Actions on Internal Audits – 2 December 2019

AC078 – Management Actions on Internal Audits – 12 March 2019

**COMMUNITY/COUNCILLOR CONSULTATION:**

There has been no community/councillor consultation.

**LEGISLATIVE/POLICY IMPLICATIONS:**

*Local Government (Audit) regulations 1996*, section 16:

An audit committee has the following functions —

(a) to guide and assist the local government in carrying out —

(i) its functions under Part 6 of the Act; and

(ii) its functions relating to other audits and other matters related to financial management;

(b) to guide and assist the local government in carrying out the local government's functions in relation to audits conducted under Part 7 of the Act;

(c) to review a report given to it by the CEO under regulation 17(3) (the **CEO's report**) and is to —

(i) report to the council the results of that review; and

(ii) give a copy of the CEO's report to the council;

(d) to monitor and advise the CEO when the CEO is carrying out functions in relation to a review under —

(i) regulation 17(1); and

(ii) the *Local Government (Financial Management) Regulations 1996* regulation 5(2)(c);

(e) to support the auditor of the local government to conduct an audit and carry out the auditor's other duties under the Act in respect of the local government;

(f) to oversee the implementation of any action that the local government —

(i) is required to take by section 7.12A(3); and

(ii) has stated it has taken or intends to take in a report prepared under section 7.12A(4)(a); and

(iii) has accepted should be taken following receipt of a report of a review conducted under regulation 17(1); and

(iv) has accepted should be taken following receipt of a report of a review conducted under the *Local Government (Financial Management) Regulations 1996* regulation 5(2)(c);

(g) to perform any other function conferred on the audit committee by these regulations or another written law.

*Local Government (Audit) regulations 1996, section 17:*

- (1) The CEO is to review the appropriateness and effectiveness of a local government's systems and procedures in relation to —
  - (a) risk management; and
  - (b) internal control; and
  - (c) legislative compliance.
- (2) The review may relate to any or all of the matters referred to in subregulation (1)(a), (b) and (c), but each of those matters is to be the subject of a review not less than once in every 3 financial years.
- (3) The CEO is to report to the audit committee the results of that review.

*Local Government (Financial Management) regulations 1996, section 5:*

- (1) Efficient systems and procedures are to be established by the CEO of a local government —
    - (a) for the proper collection of all money owing to the local government; and
    - (b) for the safe custody and security of all money collected or held by the local government; and
    - (c) for the proper maintenance and security of the financial records of the local government (whether maintained in written form or by electronic or other means or process); and
    - (d) to ensure proper accounting for municipal or trust —
      - (i) revenue received or receivable; and
      - (ii) expenses paid or payable; and
      - (iii) assets and liabilities;and
    - (e) to ensure proper authorisation for the incurring of liabilities and the making of payments; and
    - (f) for the maintenance of payroll, stock control and costing records; and
    - (g) to assist in the preparation of budgets, budget reviews, accounts and reports required by the Act or these regulations.
  - (2) The CEO is to —
    - (a) ensure that the resources of the local government are effectively and efficiently managed; and
    - (b) assist the council to undertake reviews of fees and charges regularly (and not less than once in every financial year); and
    - (c) undertake reviews of the appropriateness and effectiveness of the financial management systems and procedures of the local government regularly (and not less than once in every 3 financial years) and report to the local government the results of those reviews.
-

**FINANCIAL AND RESOURCE IMPLICATIONS:**

There are no financial or resource implications.

**INTEGRATED PLANNING LINKS:**

<b>Strategic Direction: Leadership</b>	<b>Aspiration: A strong local democracy with an engaged community, effective partnerships, visionary leadership and well informed decision-making.</b>
Outcome 4.2	Decision making is ethical, informed and inclusive
Outcome 4.3	Accountable leadership supported by a skilled and professional workforce
Outcome 4.4	Healthy financial sustainability that provides capacity to respond to changes in economic conditions and community priorities.
Outcome 4.7	Council understands its roles and responsibilities and leads by example

**REGIONAL OUTCOMES:**

There are no impacts to regional outcomes.

**RISK MANAGEMENT:**

Findings outlined in audit reports are assigned a risk rating. These ratings are based on the audit team's assessment of risks and concerns with respect to the probability and/or consequence of adverse outcomes if action is not taken. Preparation of a schedule of management actions and reporting progress to the Audit Committee ensures findings are appropriately addressed.

**ALTERNATIVE OPTIONS CONSIDERED BY CITY OFFICERS:**

No alternative options were considered by City officers.

AC105	STRATEGIC INTERNAL AUDIT PLAN 2021-2025
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<b>AGENDA REFERENCE:</b>	<b>D-21-100111</b>
<b>AUTHOR:</b>	<b>N Jane, A/Chief Financial Officer</b>
<b>EXECUTIVE:</b>	<b>P Radalj, Director Corporate and Commercial Services</b>
<b>DATE OF REPORT:</b>	<b>10 September 2021</b>
<b>FILE REFERENCE:</b>	<b>GO/11/0020</b>
<b>ATTACHMENTS:</b>	<b>Yes (x1) Confidential Strategic Internal Audit Plan 2021-2025</b>

**EXECUTIVE SUMMARY:**

The purpose of this report is to seek endorsement of the draft Strategic Internal Audit Plan for 2021-2025. The key purpose of the plan is to ensure the implementation and establishment of adequate control systems, appropriate risk management and governance procedures to meet the City's objectives and statutory requirements.

**EXECUTIVE RECOMMENDATION:**

That the Audit Committee by Simple Majority pursuant to Section 7.1C of the Local Government Act 1995 RESOLVES to:

1. ENDORSE the Strategic Internal Audit Plan for 2021-2025 as presented; and
2. REQUEST an update on progress at the next Audit Committee meeting.

**PROONENT:**

The proponent is the City of Greater Geraldton.

**BACKGROUND:**

Internal audit provides independent, objective assurance over an organisation's risk management, internal control, governance and the processes in place for ensuring effectiveness, efficiency and economy.

In 2017, a Strategic Internal Audit Plan 2017-2021 was endorsed to ensure we meet the statutory requirement to conduct regular reviews as required by Local Government (Financial Management) Regulation 5 and Local Government (Audit) Regulation 17 and to review specific processes and controls as identified in the Plan.

In October 2020 the Audit Committee endorsed the development of a new Strategic Internal Audit Plan 2021-2025. A Request for Quote was issued to the WALGA Preferred Supplier Panel PSP004-02 Compliance and Audit Services on 6 April 2021 and closed on 27 April 2021. Five responses were received and evaluated on relevant experience, key personnel skills and experience, respondent's resources, demonstrated understanding and price. The successful respondent was AMD Chartered Accountants.

A draft Strategic Internal Audit Plan 2021-2025 has been prepared and is presented in the attachment.

**COMMUNITY, ECONOMY, ENVIRONMENT AND LEADERSHIP ISSUES:****Community:**

There are no adverse community impacts. Implementing this plan will assist in ensuring we are accountable for our actions to the community.

**Economy:**

There are no adverse economic impacts.

**Environment:**

There are no adverse environmental impacts.

**Leadership:**

The Audit Committee plays a key role in assisting a local government to fulfil its governance and oversight responsibilities in relation to risk management, internal controls, and legislative compliance. The Strategic Internal Audit Plan outlines the required and proposed actions over the period of the plan.

*Disclosure of Interest:*

No Officer involved in the preparation of this report has a declarable interest in this matter.

**RELEVANT PRECEDENTS:**

The Audit Committee endorsed the proposed scope of the Strategic Internal Audit Plan 2021-2025 at the meeting on 27 January 2021 (AC095) and endorsed the previous Strategic Internal Audit Plan 2017-2021 at the meeting on 21 February 2017 (AC051).

**COMMUNITY/COUNCILLOR CONSULTATION:**

There has been no community/councillor consultation.

**LEGISLATIVE/POLICY IMPLICATIONS:**

*Local Government (Audit) regulations 1996, section 16:*

An audit committee has the following functions —

- (a) to guide and assist the local government in carrying out —
  - (i) its functions under Part 6 of the Act; and
  - (ii) its functions relating to other audits and other matters related to financial management;
- (b) to guide and assist the local government in carrying out the local government's functions in relation to audits conducted under Part 7 of the Act;
- (c) to review a report given to it by the CEO under regulation 17(3) (the **CEO's report**) and is to —
  - (i) report to the council the results of that review; and
  - (ii) give a copy of the CEO's report to the council;
- (d) to monitor and advise the CEO when the CEO is carrying out functions in relation to a review under —
  - (i) regulation 17(1); and

- (ii) the *Local Government (Financial Management) Regulations 1996* regulation 5(2)(c);
- (e) to support the auditor of the local government to conduct an audit and carry out the auditor's other duties under the Act in respect of the local government;
- (f) to oversee the implementation of any action that the local government —
  - (i) is required to take by section 7.12A(3); and
  - (ii) has stated it has taken or intends to take in a report prepared under section 7.12A(4)(a); and
  - (iii) has accepted should be taken following receipt of a report of a review conducted under regulation 17(1); and
  - (iv) has accepted should be taken following receipt of a report of a review conducted under the *Local Government (Financial Management) Regulations 1996* regulation 5(2)(c);
- (g) to perform any other function conferred on the audit committee by these regulations or another written law.

*Local Government (Audit) regulations 1996, section 17:*

- (1) The CEO is to review the appropriateness and effectiveness of a local government's systems and procedures in relation to —
  - (a) risk management; and
  - (b) internal control; and
  - (c) legislative compliance.
- (2) The review may relate to any or all of the matters referred to in subregulation (1)(a), (b) and (c), but each of those matters is to be the subject of a review not less than once in every 3 financial years.
- (3) The CEO is to report to the audit committee the results of that review.

*Local Government (Financial Management) regulations 1996, section 5:*

- (1) Efficient systems and procedures are to be established by the CEO of a local government —
  - (a) for the proper collection of all money owing to the local government; and
  - (b) for the safe custody and security of all money collected or held by the local government; and
  - (c) for the proper maintenance and security of the financial records of the local government (whether maintained in written form or by electronic or other means or process); and
  - (d) to ensure proper accounting for municipal or trust —
    - (i) revenue received or receivable; and
    - (ii) expenses paid or payable; and

- (iii) assets and liabilities;
  - and
  - (e) to ensure proper authorisation for the incurring of liabilities and the making of payments; and
  - (f) for the maintenance of payroll, stock control and costing records; and
  - (g) to assist in the preparation of budgets, budget reviews, accounts and reports required by the Act or these regulations.
- (2) The CEO is to —
- (a) ensure that the resources of the local government are effectively and efficiently managed; and
  - (b) assist the council to undertake reviews of fees and charges regularly (and not less than once in every financial year); and
  - (c) undertake reviews of the appropriateness and effectiveness of the financial management systems and procedures of the local government regularly (and not less than once in every 3 financial years) and report to the local government the results of those reviews.

#### **FINANCIAL AND RESOURCE IMPLICATIONS:**

Provision is made in the budget to undertake reviews as required.

#### **INTEGRATED PLANNING LINKS:**

<b>Strategic Direction: Leadership</b>	<b>Aspiration: A strong local democracy with an engaged community, effective partnerships, visionary leadership and well informed decision-making.</b>
Outcome 4.2	Decision making is ethical, informed and inclusive
Outcome 4.3	Accountable leadership supported by a skilled and professional workforce
Outcome 4.4	Healthy financial sustainability that provides capacity to respond to changes in economic conditions and community priorities.
Outcome 4.7	Council understands its roles and responsibilities and leads by example

#### **REGIONAL OUTCOMES:**

There are no impacts to regional outcomes.

#### **RISK MANAGEMENT:**

Preparation and implementation of a Strategic Internal Audit Plan assists with ensuring we meet the requirements of Audit Regulation 17 and Financial Management Regulation 5.

#### **ALTERNATIVE OPTIONS CONSIDERED BY CITY OFFICERS:**

No alternative options were considered.

AC106	FINANCIAL MANAGEMENT SYSTEMS REVIEW 2021
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<b>AGENDA REFERENCE:</b>	<b>D-21-100064</b>
<b>AUTHOR:</b>	<b>N Jane, A/Chief Financial Officer</b>
<b>EXECUTIVE:</b>	<b>P Radalj, Director Corporate and Commercial Services</b>
<b>DATE OF REPORT:</b>	<b>10 September 2021</b>
<b>FILE REFERENCE:</b>	<b>GO/11/0020</b>
<b>ATTACHMENTS:</b>	<b>Yes (x1) Confidential</b>
	<b>Financial Management Systems Review</b>

**EXECUTIVE SUMMARY:**

The purpose of this report is to present to the Audit Committee the Financial Management Systems Review 2021.

**EXECUTIVE RECOMMENDATION:**

That the Audit Committee by Simple Majority pursuant to Section 7.1C of the Local Government Act 1995 RESOLVES to:

1. RECEIVE the Financial Management Systems Review 2021
2. ENDORSE actions taken or proposed to be taken by staff to resolve items identified in the report; and
3. REQUIRE progress updates on implementation of the proposed management actions at the next Audit Committee Meeting.

**PROPONENT:**

The proponent is the City of Greater Geraldton.

**BACKGROUND:**

In accordance with Regulation 5(2)(c) of the Local Government (Financial Management) Regulations 1996, local government CEO's are to undertake reviews of the appropriateness and effectiveness of the financial management systems and procedures of the local government not less than once in every three financial years and report to the local government the results of those reviews.

AMD Chartered Accountants were engaged to undertake the review in June 2021. Their report is attached.

**COMMUNITY, ECONOMY, ENVIRONMENT AND LEADERSHIP ISSUES:****Community:**

There are no adverse community impacts. Undertaking this review ensures that we are accountable for our actions to the community.

**Economy:**

There are no adverse economic impacts.

**Environment:**

There are no adverse environmental impacts.

**Leadership:**

The Audit Committee plays a key role in assisting a local government to fulfil its governance and oversight responsibilities in relation to financial reporting.

***Disclosure of Interest:***

No Officer involved in the preparation of this report has a declarable interest in this matter.

**RELEVANT PRECEDENTS:**

The Audit Committee regularly reviews reports relating to the auditing processes of the City. The previous Financial Management Systems Review was presented to the Audit Committee on 12 March 2019 – AC075.

**COMMUNITY/COUNCILLOR CONSULTATION:**

There has been no consultation.

**LEGISLATIVE/POLICY IMPLICATIONS:**

*Local Government (Audit) regulations 1996, section 16:*

An audit committee has the following functions —

- (a) to guide and assist the local government in carrying out —
  - (i) its functions under Part 6 of the Act; and
  - (ii) its functions relating to other audits and other matters related to financial management;
- (b) to guide and assist the local government in carrying out the local government's functions in relation to audits conducted under Part 7 of the Act;
- (c) to review a report given to it by the CEO under regulation 17(3) (the **CEO's report**) and is to —
  - (i) report to the council the results of that review; and
  - (ii) give a copy of the CEO's report to the council;
- (d) to monitor and advise the CEO when the CEO is carrying out functions in relation to a review under —
  - (i) regulation 17(1); and
  - (ii) the *Local Government (Financial Management) Regulations 1996* regulation 5(2)(c);
- (e) to support the auditor of the local government to conduct an audit and carry out the auditor's other duties under the Act in respect of the local government;
- (f) to oversee the implementation of any action that the local government —
  - (i) is required to take by section 7.12A(3); and
  - (ii) has stated it has taken or intends to take in a report prepared under section 7.12A(4)(a); and

- (iii) has accepted should be taken following receipt of a report of a review conducted under regulation 17(1); and
- (iv) has accepted should be taken following receipt of a report of a review conducted under the *Local Government (Financial Management) Regulations 1996* regulation 5(2)(c);
- (g) to perform any other function conferred on the audit committee by these regulations or another written law.

*Local Government (Financial Management) regulations 1996, section 5:*

- (1) Efficient systems and procedures are to be established by the CEO of a local government —
  - (a) for the proper collection of all money owing to the local government; and
  - (b) for the safe custody and security of all money collected or held by the local government; and
  - (c) for the proper maintenance and security of the financial records of the local government (whether maintained in written form or by electronic or other means or process); and
  - (d) to ensure proper accounting for municipal or trust —
    - (i) revenue received or receivable; and
    - (ii) expenses paid or payable; and
    - (iii) assets and liabilities;and
  - (e) to ensure proper authorisation for the incurring of liabilities and the making of payments; and
  - (f) for the maintenance of payroll, stock control and costing records; and
  - (g) to assist in the preparation of budgets, budget reviews, accounts and reports required by the Act or these regulations.
- (2) The CEO is to —
  - (a) ensure that the resources of the local government are effectively and efficiently managed; and
  - (b) assist the council to undertake reviews of fees and charges regularly (and not less than once in every financial year); and
  - (c) undertake reviews of the appropriateness and effectiveness of the financial management systems and procedures of the local government regularly (and not less than once in every 3 financial years) and report to the local government the results of those reviews.

**FINANCIAL AND RESOURCE IMPLICATIONS:**

Provision was made in the budget to undertake this required review.

**INTEGRATED PLANNING LINKS:**

<b>Strategic Direction: Leadership</b>	<b>Aspiration: A strong local democracy with an engaged community, effective partnerships, visionary leadership and well informed decision-making.</b>
Outcome 4.2	Decision making is ethical, informed and inclusive
Outcome 4.3	Accountable leadership supported by a skilled and professional workforce
Outcome 4.4	Healthy financial sustainability that provides capacity to respond to changes in economic conditions and community priorities
Outcome 4.7	Council understands its roles and responsibilities and leads by example

**REGIONAL OUTCOMES:**

There are no impacts to regional outcomes.

**RISK MANAGEMENT:**

Undertaking a Financial Management Systems Review is a statutory compliance requirement for local governments and requires a report to the Audit Committee and Council at least once every three financial years. This review assesses the adequacy and effectiveness of systems and controls. It identifies and evaluates the level of risk exposure and recommends actions for improvement.

**ALTERNATIVE OPTIONS CONSIDERED BY CITY OFFICERS:**

No alternatives have been considered.

AC107	CYBERSECURITY AND INFORMATION SECURITY
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<b>AGENDA REFERENCE:</b>	<b>D-21-098408</b>
<b>AUTHOR:</b>	<b>D Duff, Manager ICT Services</b>
<b>EXECUTIVE:</b>	<b>P Radalj, Director Corporate and Commercial Services</b>
<b>DATE OF REPORT:</b>	<b>September 2021</b>
<b>FILE REFERENCE:</b>	<b>D-21-098408</b>
<b>ATTACHMENTS:</b>	<b>Yes 2 x Confidential</b>
	<b>A. RSM IT Audit – Factual Validation V1.0</b>
	<b>B. Audit Management Letter</b>

**EXECUTIVE SUMMARY:**

Frequent internal and external Information Communication and Technology (ICT) and financial systems audits, along with ICT security testing have highlighted gaps in the City's Cybersecurity and Information Security posture and its ability to respond to cyber threats and recover from incidents.

The aforementioned audits and testing reports are:

- **2017 Penetration and Vulnerability Assessment** aimed to test the resilience of the external facing network attack surface, internal vulnerable systems and services, and 'hardness' of the Windows Standard Operating Environment.
- **2017 Information Technology Internal Audit Report**, requested by the City to audit the procedures and items within the 2016-2021 Strategic Internal Audit Plan.
- **2020 Financial Systems Internal Audit**, reviews the appropriateness and effectiveness of the financial management systems and procedures.
- **2020 Penetration and Vulnerability Assessment** aimed to test the resilience of the external facing network attack surface, internal vulnerable systems and services, validation of network segmentation controls, and assessment of City websites.
- **2021 Information Technology Internal Audit**, requested by the City to audit a large range of IT processes and controls to validate their effectiveness.
- **2021 Office of the Auditor General (OAG) Performance Audit**, initiated by the Auditor General to audit the state of cybersecurity in local government, such as security controls and the capacity to respond cyber threats.

Actions so far completed or planned, as a consequence of these audits and reports are detailed in the background section of this report.

In recognition of these gaps in its Cybersecurity posture, and its ability to respond to increased cybersecurity threats, the City has also prioritised resources to implement a Cybersecurity function and framework. Such a framework will encompass controls to better identify, protect, detect, respond and recover from Cybersecurity incidents going forward.

The purpose of this report is to update the Audit Committee on actions so far completed and planned, which are a result of findings from these audits and tests as well as internally identified risks, to uplift the City's Cybersecurity & Information Security posture and reduce risk.

In addition, the purpose of this report is to update the Audit Committee on the establishment of a Cybersecurity function and framework to meet the ongoing and persistent threat that bad actors, intent on causing disruption, pose to the organisation.

**EXECUTIVE RECOMMENDATION:**

That the Audit Committee by Simple Majority pursuant to Section 7.1C of the Local Government Act 1995 RESOLVES to:

1. NOTE the actions completed and planned to uplift the City's Cybersecurity & Information Security posture and reduce IT risk.
2. NOTE the City of Greater Geraldton's establishment of a Cybersecurity function and development of a Cybersecurity framework.

**PROPONENT:**

The proponent is the City of Greater Geraldton.

**BACKGROUND:**

The City undergoes frequent Information Communication & Technology (ICT) and financial systems audits as well as independent ICT network & systems security testing which highlight gaps in the City's information security posture. In addition, it receives alerts and notifications for action from the Australian Cyber Security Centre (ACSC) of global and local Cybersecurity threats and is active in the ACSC community, amongst others.

The following is a list of completed, ongoing, in-progress and so far planned actions to increase the City's cybersecurity posture.

**COMPLETED OR ONGOING ACTIONS**

- Developed the ICT Strategic Plan 2021-2024. Endorsed by the Executive Management Team in April 2020.
- Developed the Cybersecurity Incident Response Plan (CIRP) to respond and recover from security events. Endorsed by the EMT in March 2021
- Enforced minimum 15-character pass phrases on all user, system, and service accounts
- Developed an internal user account and password management standard
- Implemented multi-factor authentication (MFA) for external access to the internal network
- Developed a Remote Access operational policy and revised other operational policies where required
- Completed an Information Security Risk Assessment on the Geraldton Airport, prioritised risks and implemented treatments

- Upgraded Email Gateway/Filtering and applied assurance protocols to incoming and outgoing emails
- Re-introduced staff security awareness training (SAT) and simulated phishing campaigns
- Reviewed the use of privileged service accounts and aligned accounts with the methodology of least privilege
- Restricted the use of USB storage devices on City computers
- Developed guidelines for staff to work securely from home
- Entered into a memorandum of Understanding (MoU) with Geraldton Regional TAFE to assist with uplifting the cybersecurity posture of the region

### **IN-PROGRESS or PLANNED ACTIONS**

- Develop a Cybersecurity Strategy/Framework
- Develop Information Security Policies, Standards, and Guidelines
- Perform annual network wide Information Security Risk Assessment and prioritise risks for treatment
- Conduct annual Penetration and Vulnerability Assessment and prioritise vulnerabilities for treatment
- Implement a Security Information and Event Management (SIEM) system to capture, parse and alert on security logs
- Implement a vulnerability management system to proactively detect and respond to vulnerable systems and services
- Implement privileged access management (PAM) to reduce the risk these accounts introduce by way of 'just in time' provisioning and management oversight
- Review and strengthen data backup procedures to protect from malicious activity
- Test the CIRP for effectiveness and apply improvements
- Review and update the ICT risk register to align with current and emergent risks, current controls and future treatments
- Improve system patch management processes
- Expand the use of MFA to include more systems, services and users

During the previous 12 months, as a corporate priority, the City has initiated and applied additional resources to the implementation of an effective Cybersecurity framework, policies, procedures, and systems to apply best practice in cyber and information security and to provide adequate information systems and technology protection and resilience.

In its establishment of a cybersecurity framework the City has, and will continue to be, guided by the following frameworks, standards and policies;

- National Institute of Standards and Technology (NIST) Cybersecurity Framework
- Australian Signals Directorate (ASD) Essential 8
- AS/NZS 31000:2018 Risk Management – Principles and Guidelines

- AS/ISO 27001-2015 Information Technology Security Techniques - Information Security Management Systems Requirements
- AS/ISO 27005-2012 Information Technology Security Techniques - Information Security Risk Management
- CGG Risk Management Framework 2018
- Council Policy 4.7 Risk Management v3
- Council Policy 4.24 Risk Appetite and Tolerance v2

Future audits, security testing and internal reports will reflect the City's commitment to Cybersecurity and validate its matured capability to better identify, protect, detect, respond and recover from Cybersecurity incidents.

### **COMMUNITY, ECONOMY, ENVIRONMENT AND LEADERSHIP ISSUES:**

#### **Community:**

The establishment of a cybersecurity function and associated framework of systems, controls, policy and processes provides the community with assurance that their information is kept private and secure.

#### **Economy:**

To partner with local providers to uplift cybersecurity capabilities within the region will assist to maintain a resilient economy due to the flow on effect to businesses.

#### **Environment:**

There are no adverse environmental impacts.

#### **Leadership:**

The establishment of a cybersecurity function and associated framework of systems, controls, policy and processes provides for good governance of enterprise IT and ensures the City can better protect itself from a cybersecurity incident and continue business as usual.

### **RELEVANT PRECEDENTS:**

There are no relevant precedents.

### **COMMUNITY/COUNCILLOR CONSULTATION:**

There has been no community/councillor consultation.

### **LEGISLATIVE/POLICY IMPLICATIONS:**

The remediation or mitigation of vulnerabilities, along with the implementation of security controls, addresses past audit and test findings and highlights the City's commitment to cyber and information security.

### **FINANCIAL AND RESOURCE IMPLICATIONS:**

Financial and resource implications as the Cybersecurity program develops and matures is not yet known. However, ongoing risk assessments (annual and per project) will ensure the cost of treatments and controls never outweigh the cost of the consequence should that risk eventuate.

**INTEGRATED PLANNING LINKS:**

<b>Strategic Direction: Leadership</b>	<b>Aspiration: A strong local democracy with an engaged community, effective partnerships, visionary leadership and well informed decision-making.</b>
Outcome 4.7	Council understands its roles and responsibilities and leads by example
Outcome 4.8	Deliver secured technology that supports sustainability, the environment, service delivery and the community

**REGIONAL OUTCOMES:**

There are no impacts to regional outcomes.

**RISK MANAGEMENT:**

The establishment of a Cybersecurity function and associated framework of systems, controls, policy and processes is to manage Cyber risk.

**ALTERNATIVE OPTIONS CONSIDERED BY CITY OFFICERS:**

No alternative options were considered. This report seeks to update the committee on the City's progress to better identify, protect, detect, respond and recover from Cybersecurity incidents.

<b>AC108 WORK HEALTH &amp; SAFETY UPDATE</b>
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<b>AGENDA REFERENCE:</b>	<b>D-21-096116</b>
<b>AUTHOR:</b>	<b>B Pearce, Manager Corporate Compliance &amp; Safety</b>
<b>EXECUTIVE:</b>	<b>P Radalj, Director Corporate &amp; Commercial Services</b>
<b>DATE OF REPORT:</b>	<b>03 September 2021</b>
<b>FILE REFERENCE:</b>	<b>RM/6/0012</b>
<b>ATTACHMENTS:</b>	<b>Yes (x1) Safety Management System Document Control Register</b>

**EXECUTIVE SUMMARY:**

The purpose of this report is to update the Audit Committee of the status of the City of Greater Geraldton safety management system ahead of the anticipated implementation of the Work Health & Safety legislation in January 2022.

**EXECUTIVE RECOMMENDATION:**

That the Audit Committee by Simple Majority pursuant to Section 7.1C of the Local Government Act 1995 RESOLVES to:

1. ACKNOWLEDGE receipt of the Internal Audit Safety Management Systems report:
2. REQUIRE the status of the Internal Audit Safety Management Systems Improvement Action Plan to be provided to the Audit Committee.

**PROPONENT:**

The proponent is the City of Greater Geraldton.

**BACKGROUND:****Work Health & Safety Legislation:**

In November of 2020, the Work Health & Safety Act was enacted in WA. This was the first step in the implementation of harmonised safety legislation in WA. As the regulations supporting the WHS Act have not yet been enacted, the Occupational Safety & Health Act and Regulations are in operation in WA.

Worksafe WA in August 2021 issued an industry update confirming that the WHS regulations are scheduled for implementation in January 2022. At the time of this report, the City's understanding is that WHS full legislation will go live at this time with no grace period.

As detailed in AC091 there are significant changes brought about by the transition from OSH to WHS. These changes are summarised as follows.

WHS requirements	Implication for the City
PCBU	The term employee under WHS has been replaced by the broader term Person conducting a business or undertaking (PCBU).

Officer Due Diligence	<p>WHS outlines six core elements that officers under the Act must proactively manage, summarised as follows.</p> <ol style="list-style-type: none"> <li>1. Acquire and keep up-to-date knowledge of WHS matters beyond the workplace;</li> <li>2. Understand the nature of the operations of the organisation and the hazards and risks associated with those operations;</li> <li>3. Ensure appropriate resources and processes are available for use and are actually used, to eliminate or minimise risks;</li> <li>4. Provide appropriate processes to obtain information regarding incidents, hazards and risks and ensure response in a timely way to that information;</li> <li>5. Implement a process for ensuring ongoing legal compliance with all duties; and</li> <li>6. Verify the provision and use of these resources and processes</li> </ol>
Worker	<p>In place of the OSH defined employee WHS has expanded this to be Worker.</p> <p>A Worker is any person who carries out work for a PCBU, including work as an employee, contractor, subcontractor, self-employed person, outworker, apprentice or trainee, work experience student, an employee of a labour-hire company placed with a 'host employer' and <b>volunteers</b>.</p>
Volunteers	<p>Volunteers are deemed to be Workers under the new WHS laws and are owed a primary duty of care by a PCBU i.e. volunteers are to be treated the same as a paid worker.</p>
Duty to all people affected by the work	<p>The type of people owed a duty under the proposed new WHS laws by PCBU's and other duty holders, is broadened from 'employees' to 'workers' and other 'people affected by the work'.</p> <p>This includes all directly employed and indirectly engaged workers. It also includes customers, patrons, residents, tenants, students, visitors, spectators, and passers-by.</p>
Increased consultation requirements	<p>Increased internal and external organisational WHS consultation requirements. This includes Volunteers and Contractor consultation obligations which they require PCBU's with common interests, to 'consult, cooperate and coordinate' in relation to health and safety matters.</p>
Inability to insure or contract out liability	<p>Prohibited from purchasing insurance to pay a WHS fine or liability. This would require the PCBU or the individual to incur fines directly.</p>
Increase of Penalties	<p>Penalties under WHS have increased, with breaches of a health and safety duty ranging from to \$570,000 to \$3.5 million for a corporation and for an individual \$120,000 to \$680,000 and imprisonment for 5 years.</p>
Industrial manslaughter provisions	<p>Industrial manslaughter provisions state individuals being liable for a maximum fine of \$5,000,000 and/or up to 20 years imprisonment and corporations for a maximum fine of \$10,000,000.</p>

**Safety Management System:**

The City as detailed previously in AC091, the City over the last 12 months has been developing a WHS aligned safety management system. As an example and per attached Document Control Register significant work has been undertaken in developing the system which in summary is structured as follows:

- Policy – Strategic safety directions.
- Plan – Details the implementation of safety management.
- Procedures –Detailed directions on specific safety activities detailed in the plan.
- Templates – templates used to document a safety activity.

This system following completion had a phased implementation during 2020 – 2021. To ensure the suitability of the City's safety management systems, a full internal audit of safety was undertaken. This audit made use of the Worksafe WA Worksafe plan audit tool. This audit tool is used by Worksafe WA to determine the effectiveness of an organisations safety system. The internal desktop audit has identified a number of areas requiring improvement. A draft improvement action plan to address issues with the City's management of the system has been developed and is currently under review by EMT. This improvement action plan in summary will:

- ensure all staff understand the safety system; and
- ensure the safety system is practiced by staff.

The primary method of ensuring staff understand the City's safety systems will be completed during the national safe work month (October 2021). This will have all staff complete a full induction of the City's safety management plan. Following this induction process, managers and the City's safety teams shall follow up and ensure that the safety system is imbedded in City operations.

The City's safety committee (which includes CEO, Directors, managers and safety representatives from across City operations) shall ensure the successful implementation of the safety management plan in conjunction with ensuring completion of the improvement action plan.

**COMMUNITY, ECONOMY, ENVIRONMENT AND LEADERSHIP ISSUES:****Community:**

Volunteers from the community who are involved in Council based activities are deemed to be Workers under the new WHS laws and are to be managed and treated the same as a paid worker.

**Economy:**

The cost of compliance with WHS will affect the City, local businesses and community associations. This will be due to the increase in administration for all who must proactively manage and document effective safety management.

**Environment:**

There are no adverse environmental impacts.

**Leadership:**

Effective safety management under WHS requires the establishment of robust safe systems of work. The City's implementation of the WHS compliant Safety Management System shall ensure effective management and government of the City's safety.

*Disclosure of Interest:*

No Officer involved in the preparation of this report has a declarable interest in this matter.

**RELEVANT PRECEDENTS:**

The Audit Committee previously considered WHS on 03 March 2020, AC091

**COMMUNITY/COUNCILLOR CONSULTATION:**

There has been no community/councillor consultation.

**LEGISLATIVE/POLICY IMPLICATIONS:**

Occupational Safety & Health Act 1984  
Occupational Safety & Regulation 1996  
Work Health & Safety Act 2020  
Operational Policy OP041 Occupational Health & Safety  
City of Greater Geraldton Safety Management Plan  
City of Greater Geraldton Safety Management System

**FINANCIAL AND RESOURCE IMPLICATIONS:**

The implementation and ongoing management of the new WHS requirements will require the application of additional resources to meet compliance obligations.

In addition, as WHS requires that the City ensure the safety of all workers (including volunteers & contractors) this will require significant resourcing to ensure these categories of workers are managed in accordance with WHS requirements.

**INTEGRATED PLANNING LINKS:**

<b>Strategic Direction: Leadership</b>	<b>Aspiration: A strong local democracy with an engaged community, effective partnerships, visionary leadership and well informed decision-making.</b>
Outcome 4.3	Accountable leadership supported by a skilled and professional workforce
Outcome 4.5	A culture of safety, innovation and embracing change

**REGIONAL OUTCOMES:**

There are no impacts to regional outcomes.

**RISK MANAGEMENT:**

The implementation of the WHS aligned Safety Management Plan and System is a critical risk management and compliance control for the City.

**ALTERNATIVE OPTIONS CONSIDERED BY CITY OFFICERS:**

No alternatives have been considered.

**TRIM - SAFETY MANAGEMENT SYSTEM DOCUMENT CONTROL REGISTER**

FOLDER	DOCUMENT TITLE	INITIAL ISSUE DATE	CURRENT VERSION	NEXT REVIEW DATE	DOCUMENT OWNER	TRIM	COMMENT	DOCUMENT SUITE
<b>(RM/10/0001) OSH Standard 1- <u>OSH Improvement Planning</u></b>								
<b>(RM/10/0002) OSH Standard 2- <u>System Framework Management</u></b>								
	HS-SMS-Implementation Toolkit	6/07/2020	REF TRIM	ADHOC	Manager CCS	<a href="#">D-20-076533</a>	Live Document	
	HS-IND-036 Induction Toolkit - Safety Auditing	29/05/2020	REF TRIM	29/05/2025	Manager CCS	<a href="#">D-20-060154</a>	Live Document	Audit of Safety Processes
	HS-PRO-036 Safety Auditing Procedure	29/05/2020	REF TRIM	29/05/2025	Manager CCS	<a href="#">D-20-060153</a>	Live Document	Audit of Safety Processes
	HS-FRM-050 Evaluation of Safe Work Method Statements	29/05/2020	REF TRIM	29/05/2025	Manager CCS	<a href="#">D-20-060152</a>	Live Document	Audit of Safety Processes
	HS-FRM-032 Safety Sign Audit Form	29/05/2020	REF TRIM	29/05/2025	Manager CCS	<a href="#">D-20-060151</a>	Live Document	Audit of Safety Processes
	HS-FRM-043 Audit Report Template Score Type	29/05/2020	REF TRIM	29/05/2025	Manager CCS	<a href="#">D-20-060150</a>	Live Document	Audit of Safety Processes
	HS-FRM-042 Safety Audit Checklist	29/05/2020	REF TRIM	29/05/2025	Manager CCS	<a href="#">D-20-060149</a>	Live Document	Audit of Safety Processes
	HS-FRM-044 Audit Report Template Descriptive Type	29/05/2020	REF TRIM	29/05/2025	Manager CCS	<a href="#">D-20-060146</a>	Live Document	Audit of Safety Processes
	HS-FRM-041 Safety Audit Plan	29/05/2020	REF TRIM	29/05/2025	Manager CCS	<a href="#">D-20-060145</a>	Live Document	Audit of Safety Processes
	HS-PRO-037 Safety Accountabilities and Responsibilities Procedure	29/05/2020	REF TRIM	29/05/2025	Manager CCS	<a href="#">D-20-060107</a>	Live Document	Accountabilities & Responsibilities
	HS-IND-037 Induction Toolkit - Safety Accountability and Responsibilities	29/05/2020	REF TRIM	29/05/2025	Manager CCS	<a href="#">D-20-060106</a>	Live Document	Accountabilities & Responsibilities
	HS-IND-009 Induction Toolkit-Safety Performance Measures	29/05/2020	REF TRIM	29/05/2025	Manager CCS	<a href="#">D-20-060022</a>	Live Document	Safety Performance Measures
	HS-PRO-039 SMS Document Management Procedure	29/05/2020	REF TRIM	29/05/2025	Manager CCS	<a href="#">D-20-060012</a>	Live Document	Record & Document Management
	HS-IND-039 Induction Toolkit-SMS Document Management	29/05/2020	REF TRIM	29/05/2025	Manager CCS	<a href="#">D-20-060011</a>	Live Document	Record & Document Management
	HS-PRO-040 Safety (SMS) Records Management Procedure	29/05/2020	REF TRIM	29/05/2025	Manager CCS	<a href="#">D-20-059928</a>	Live Document	Record & Document Management
	HS-IND-040 Induction Toolkit Safety (SMS) Records Management	29/05/2020	REF TRIM	29/05/2025	Manager CCS	<a href="#">D-20-059927</a>	Live Document	Record & Document Management
	HS-PRO-041 Safety Document Formalisation Procedure	29/05/2020	REF TRIM	29/05/2025	Manager CCS	<a href="#">D-20-059900</a>	Live Document	Record & Document Management
	Safety Management System Document Control Register	19/02/2020	REF TRIM	ADHOC	Manager CCS	<a href="#">D-20-023529</a>	Live Document	
	Register - Compliance of Evaluation - CGG 2021	18/03/2021	REF TRIM	ADHOC	Manager CCS	<a href="#">D-21-029206</a>	Live Document	Legislative Register
	Register - Procedure Definitions	26/11/2018	REF TRIM	ADHOC	Manager CCS	<a href="#">D-18-097357</a>	Review and update / Formatting	Legislative Register
<b>(RM/10/0003) OSH Standard 3 - <u>Consultation and Communication</u></b>								
	HS-FRM-027 Health and Safety information Template	26/05/2020	REF TRIM	26/05/2025	Manager CCS	<a href="#">D-20-058318</a>	Live Document	Consultation and Communication
	HS-FRM-039 Pre-Start Meeting	22/07/2020	REF TRIM	22/07/2025	Manager CCS	<a href="#">D-20-084589</a>	Live Document	Consultation and Communication
	HS-FRM-068 Health and Safety Notice	26/05/2020	REF TRIM	26/05/2025	Manager CCS	<a href="#">D-20-058316</a>	Live Document	Consultation and Communication
	HS-FRM-067 Toolbox Meeting Agenda Template	26/05/2020	REF TRIM	26/05/2025	Manager CCS	<a href="#">D-20-058315</a>	Live Document	Consultation and Communication
	HS-FRM-066 Safety Alert Template	26/05/2020	REF TRIM	26/05/2025	Manager CCS	<a href="#">D-20-058314</a>	Live Document	Consultation and Communication
	HS-FRM-065 Election of Health and Safety Representative	26/05/2020	REF TRIM	26/05/2025	Manager CCS	<a href="#">D-20-058312</a>	Live Document	Consultation and Communication
	HS-FRM-064 Health and Safety Representative Nomination Form	26/05/2020	REF TRIM	26/05/2025	Manager CCS	<a href="#">D-19-079884</a>	Live Document	Consultation and Communication
	HS-FRM-059 Agenda Minute template for Health and Safety Committee Meetings	26/05/2020	REF TRIM	26/05/2025	Manager CCS	<a href="#">D-20-058310</a>	Live Document	Consultation and Communication
	HS-FRM-049 Notification of OSH Representative (WorkSafe)	30/04/2020	REF TRIM	ADHOC	Manager CCS	<a href="#">D-20-058309</a>	Live Document	Consultation and Communication
	HS-FRM-070 HSC Terms of Reference	26/05/2020	REF TRIM	26/05/2025	Manager CCS	<a href="#">D-20-058308</a>	Live Document	Consultation and Communication
	HS-FRM-071 Lessons Learned Template	26/05/2020	REF TRIM	26/05/2025	Manager CCS	<a href="#">D-20-069621</a>	Live Document	Consultation and Communication
	HS-IND-031 Induction Toolkit-Consultation and Communication	15/05/2020	REF TRIM	15/05/2025	Manager CCS	<a href="#">D-20-054958</a>	Live Document	Consultation and Communication
	HS-PRO-031 Consultation and Communication Procedure	15/05/2020	REF TRIM	15/05/2025	Manager CCS	<a href="#">D-18-085268</a>	Live Document	Consultation and Communication
<b>(RM/10/0004) OSH Standard 4 - <u>OSH Training</u></b>								
	HS-Training_Compentency Records	19/11/2020	REF TRIM	ADHOC	Manager CCS	<a href="#">D-20-139430</a>	Live Document	Training
	HS-FRM-074 Training Attendance Record	8/03/2021	REF TRIM	8/03/2025	Manager CCS	<a href="#">D-21-024370</a>	Live Document	Training
	HS-PRO-030 Safety Induction and Training Procedure	28/05/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-059659</a>	Live Document	Training
	HS-IND-030 Induction Toolkit-Verification of Competency	28/05/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-059656</a>	Live Document	Training
	HS-GUI-002 Verification of Competency Guideline	28/05/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-059655</a>	Live Document	Training
	HS-FRM-054 Competency Sign-off	28/05/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-070419</a>	Live Document	Training
	HS-FRM-075 Training Log Sheet	31/05/2021	REF TRIM	31/05/2026	Manager CCS	<a href="#">D-21-054340</a>	Live Document	Training
	HS-FRM-CTO Wood Chipper	28/05/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-070418</a>	Live Document	Training/Competency to Operate
	HS-FRM-CTO Wacka Packa	28/05/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-070415</a>	Live Document	Training/Competency to Operate
	HS-FRM-CTO Ride on Mower	28/05/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-070413</a>	Live Document	Training/Competency to Operate
	HS-FRM-CTO Pressure Washer	28/05/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-070408</a>	Live Document	Training/Competency to Operate

HS-FRM-CTO Petrol picket driver	28/05/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-070406</a>	Live Document	Training/Competency to Operate
HS-FRM-CTO Petrol Blower	28/05/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-070402</a>	Live Document	Training/Competency to Operate
HS-FRM-CTO Petrol Post Hole Digger or Petrol Auger Driver	28/05/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-070396</a>	Live Document	Training/Competency to Operate
HS-FRM-CTO Pedestal Bench Grinder	28/05/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-070395</a>	Live Document	Training/Competency to Operate
HS-FRM-CTO Oxy-Acetylene Plant	28/05/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-070393</a>	Live Document	Training/Competency to Operate
HS-FRM-CTO Metal Lathe	28/05/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-070387</a>	Live Document	Training/Competency to Operate
HS-FRM-CTO Jackhammer	28/05/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-070380</a>	Live Document	Training/Competency to Operate
HS-FRM-CTO Hydraulic Press	28/05/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-070372</a>	Live Document	Training/Competency to Operate
HS-FRM-CTO Grip Hydraulic Bender	28/05/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-070364</a>	Live Document	Training/Competency to Operate
HS-FRM-CTO Endurequip Hydraulic Hoist	28/05/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-070356</a>	Live Document	Training/Competency to Operate
HS-FRM-CTO Bruch Cutter	28/05/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-070347</a>	Live Document	Training/Competency to Operate
HS-FRM-CTO Boom Gun	28/05/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-070346</a>	Live Document	Training/Competency to Operate
HS-FRM-CTO Belt Linisher	28/05/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-070345</a>	Live Document	Training/Competency to Operate
HS-FRM-CTO Drill Press Pedestal Drill	28/05/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-070344</a>	Live Document	Training/Competency to Operate
HS-FRM-CTO Concrete Saw	28/05/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-070342</a>	Live Document	Training/Competency to Operate
HS-FRM-CTO Circular Saw	28/05/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-070340</a>	Live Document	Training/Competency to Operate
HS-FRM-CTO Mini Skid Steer-SK755	18/03/2021	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-21-028871</a>	Live Document	Training/Competency to Operate
HS-FRM-CTO Chainsaw	28/05/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-070339</a>	Live Document	Training/Competency to Operate
HS-FRM-VOC Excavator	28/05/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-070043</a>	Live Document	Training/Verification of Competency
HS-FRM-VOC Elevated Work Platform	28/05/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-070042</a>	Live Document	Training/Verification of Competency
HS-FRM-VOC Dozer	28/05/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-070041</a>	Live Document	Training/Verification of Competency
HS-FRM-VOC Broom	28/05/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-070040</a>	Live Document	Training/Verification of Competency
HS-FRM-VOC Backhoe	28/05/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-070039</a>	Live Document	Training/Verification of Competency
HS-FRM-VOC Content Expert Approval	28/05/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-070038</a>	Live Document	Training/Verification of Competency
HS-FRM-VOC Wheel Loader	28/05/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-070037</a>	Live Document	Training/Verification of Competency
HS-FRM-VOC Water Truck	28/05/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-070036</a>	Live Document	Training/Verification of Competency
HS-FRM-VOC Tractor	28/05/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-070034</a>	Live Document	Training/Verification of Competency
HS-FRM-VOC Tip truck	28/05/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-070033</a>	Live Document	Training/Verification of Competency
HS-FRM-VOC Telescopic Handler	28/05/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-070032</a>	Live Document	Training/Verification of Competency
HS-FRM-VOC Skid steer	28/05/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-070031</a>	Live Document	Training/Verification of Competency
HS-FRM-VOC Service Truck	28/05/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-070030</a>	Live Document	Training/Verification of Competency
HS-FRM-VOC Roller	28/05/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-070029</a>	Live Document	Training/Verification of Competency
HS-FRM-VOC Rockbreaker	28/05/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-070027</a>	Live Document	Training/Verification of Competency
HS-FRM-VOC Mini Excavator	28/05/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-070026</a>	Live Document	Training/Verification of Competency
HS-FRM-VOC IT Carrier	28/05/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-070025</a>	Live Document	Training/Verification of Competency
HS-FRM-VOC Grader	28/05/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-070024</a>	Live Document	Training/Verification of Competency
HS-FRM-VOC Forklift	28/05/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-070023</a>	Live Document	Training/Verification of Competency
Key Services Induction-Occupational Safety Health Induction PPT	10/10/2018	REF TRIM	ADHOC	Manager CCS	<a href="#">D-18-090474</a>	Live Document	Training
OSH - WHS - Creating a Healthy & Safe Working Environment PPT	1/12/2020	REF TRIM	ADHOC	Manager CCS	<a href="#">D-21-016288</a>	Live Document	Training
OSH - TRA - JHA Training PPT	12/03/2020	REF TRIM	ADHOC	Manager CCS	<a href="#">D-21-024333</a>	Live Document	Training
OSH-TRA - Chemical SDS Awareness PPT	22/02/2021	REF TRIM	ADHOC	Manager CCS	<a href="#">D-21-024392</a>	Live Document	Training
OSH - TRA - Supervisor Training PPT	14/07/2020	REF TRIM	ADHOC	Manager CCS	<a href="#">D-21-023284</a>	Live Document	Training
OSH-TRA-Spotter Training	24/02/2021	REF TRIM		Manager CCS	<a href="#">D-21-054259</a>	Draft	Training
OSH - TRA - Asbestos Awareness PPT	6/05/2021	REF TRIM	ADHOC	Manager CCS	<a href="#">D-21-049398</a>	Live Document	Training
OSH-TRA - Trenching and Excavation PPT	24/05/2021	REF TRIM		Manager CCS	<a href="#">D-21-052031</a>	Draft	Training

**(RM/10/0005) OSH Standard 5 - Hazard / Activity Management**

HS-FRM-001 High Risk Activity HRA Request	11/06/2020	REF TRIM	11/06/2025	Manager CCS	<a href="#">D-20-068155</a>	Live Document	Construction and High Risk Works / Contractor Management
HS-FRM-002 Working at Height Assessment Form	28/05/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-068153</a>	Live Document	Working at heights
HS-PRO-002 Working at Height Procedure	28/05/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-068151</a>	Live Document	Working at heights
HS-SWMS-002 Working at Heights	28/05/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-068150</a>	Live Document	Working at heights
HS-FRM-059 Working at Heights Emergency Plan-Template	28/05/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-068149</a>	Live Document	Working at heights
HS-IND-002 Induction Toolkit-Working at Height	28/05/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-068148</a>	Live Document	Working at heights
HS-FRM-013 Working In,On,Over or Adjacent to Water-Checklist	28/05/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-062446</a>	Live Document	Working In,On,Over or Adjacent to Water
HS-IND-013 Induction Toolkit-Working In,On,Over or Adjacent to Water	28/05/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-062445</a>	Live Document	Working In,On,Over or Adjacent to Water
HS-SWMS-013 Working In,On,Over or Adjacent to Water	28/05/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-062444</a>	Live Document	Working In,On,Over or Adjacent to Water
HS-PRO-013 Working In,On,Over or Adjacent to Water Procedure	28/05/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-062443</a>	Live Document	Working In,On,Over or Adjacent to Water
HS-IND-012 Induction Toolkit Sharps,Hypodermic Syringe Handling and Disposal	6/05/2020	REF TRIM	6/05/2025	Manager CCS	<a href="#">D-20-062407</a>	Live Document	Sharps, Hypodermic Syringe
HS-PRO-012 Sharps,Hypodermic Syringe Handling and Disposal Procedure	29/01/2020	REF TRIM	28/03/2024	Manager CCS	<a href="#">D-21-003074</a>	Live Document	Sharps, Hypodermic Syringe
HS-PRO-010 Vehicle Management on Worksites Procedure	5/06/2020	REF TRIM	5/06/2025	Manager CCS	<a href="#">D-20-062404</a>	Live Document	Vehicle Management on Worksites
HS-IND-010 Induction Toolkit-Vehicle Management on Worksites	5/06/2020	REF TRIM	5/06/2025	Manager CCS	<a href="#">D-20-062403</a>	Live Document	Vehicle Management on Worksites
HS-PRO-007 Working in Hazardous Atmosphere Procedure	28/05/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-062339</a>	Live Document	Working in Hazardous Atmosphere

HS-IND-007 Induction Toolkit-Working in Hazardous Atmosphere	28/05/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-062332</a>	Live Document	Working in Hazardous Atmosphere
HS-IND-019 Induction Toolkit-Lockout and Tagout		REF TRIM		Manager CCS	<a href="#">D-20-062247</a>	Draft	Lockout and Tagout
HS-FRM-019 Emergency Personal Lock Removal Request Form		REF TRIM		Manager CCS	<a href="#">D-20-062246</a>	Draft	Lockout and Tagout
HS-PRO-019 Lockout and Tagout Procedure		REF TRIM		Manager CCS	<a href="#">D-20-062245</a>	Draft	Lockout and Tagout
HS-IND-011 Induction Toolkit Working On or Adjacent to a Road	5/06/2020	REF TRIM	5/06/2025	Manager CCS	<a href="#">D-20-062196</a>	Live Document	Working On or Adjacent to a Road
HS-SWMS-011 Working On or Adjacent to a Road	7/04/2020	REF TRIM	7/04/2025	Manager CCS	<a href="#">D-20-062195</a>	Live Document	Working On or Adjacent to a Road
HS-PRO-011 Working On or Adjacent to a Road Procedure	5/06/2020	REF TRIM	5/06/2025	Manager CCS	<a href="#">D-20-062192</a>	Live Document	Working On or Adjacent to a Road
HS-FRM-021 Electrical Hazard Preventative Actions Checklist	29/05/2020	REF TRIM	29/05/2025	Manager CCS	<a href="#">D-20-059753</a>	Live Document	Electrical Safety
HS-PRO-018 Electrical Safety Procedure	29/05/2020	REF TRIM	29/05/2025	Manager CCS	<a href="#">D-20-059752</a>	Live Document	Electrical Safety
HS-IND-018 Induction Toolkit Electrical Safety	29/05/2020	REF TRIM	29/05/2025	Manager CCS	<a href="#">D-20-059751</a>	Live Document	Electrical Safety
HS-SWMS-004 Working On or Near Energised Electrical Installations	6/05/2020	REF TRIM	6/05/2021	Manager CCS	<a href="#">D-20-059797</a>	Live Document	Electrical Safety Working Near Electrical Installations
HS-PRO-004 Working On or Near Energised Electrical Installations	29/05/2020	REF TRIM	29/05/2025	Manager CCS	<a href="#">D-20-059796</a>	Live Document	Electrical Safety Working Near Electrical Installations
HS-IND-004 Induction Toolkit-Working On or Near Energised Electrical Installations	29/05/2020	REF TRIM	29/05/2025	Manager CCS	<a href="#">D-20-059795</a>	Live Document	Electrical Safety Working Near Electrical Installations
HS-IND-027 Induction Toolkit-Lone, Remote or Isolated Work	28/05/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-059577</a>	Live Document	Lone, Remote or Isolated Work
HS-PRO-027 Lone, Remote or Isolated Work	28/05/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-059576</a>	Live Document	Lone, Remote or Isolated Work
HS-FRM-068 Journey Management Form	27/08/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-103254</a>	Live Document	Lone, Remote or Isolated Work
HS-FRM-024 Hot Work Permit	28/05/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-059571</a>	Live Document	Hot Works
HS-IND-024 Induction Toolkit Hot Work	28/05/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-059570</a>	Live Document	Hot Works
HS-PRO-024 Hot Work Procedure	28/05/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-059569</a>	Live Document	Hot Works
HS-FRM-023 Hazardous Manual Task Risk Assessment	28/05/2020	REF TRIM	28/05/2025	Manager CCS	<a href="#">D-20-059567</a>	Live Document	Hazardous Manual Tasks
HS-IND-023 Induction Toolkit Hazardous Manual Tasks	5/06/2020	REF TRIM	5/06/2025	Manager CCS	<a href="#">D-20-059566</a>	Live Document	Hazardous Manual Tasks
HS-PRO-023 Hazardous Manual Tasks Procedure	5/06/2020	REF TRIM	5/06/2025	Manager CCS	<a href="#">D-20-059565</a>	Live Document	Hazardous Manual Tasks
LGIS Job Dicitonary - Common LG Roles				Manager CCS	<a href="#">D-21-067761</a>	Resource	Hazardous Manual Tasks
HS-IND-016 Induction Toolkit Workplace Risk Assessment	5/06/2020	REF TRIM	5/06/2025	Manager CCS	<a href="#">D-20-051502</a>	Live Document	Managing Risk to Safety and Health
HS-FRM-022 Work Compliance Checklist	5/06/2020	REF TRIM	5/06/2025	Manager CCS	<a href="#">D-20-051489</a>	Live Document	Managing Risk to Safety and Health
HS-FRM-005 Safe Operating Procedure-Template	5/06/2020	REF TRIM	5/06/2025	Manager CCS	<a href="#">D-20-051413</a>	Live Document	Managing Risk to Safety and Health
HS-PRO-016 Workplace Risk Assessment Procedure	5/06/2020	REF TRIM	5/06/2025	Manager CCS	<a href="#">D-20-010672</a>	Live Document	Managing Risk to Safety and Health
HS-FRM-073 Hazard Report Form	4/03/2021	REF TRIM	4/03/2026	Manager CCS	<a href="#">D-21-023302</a>	Live Document	Managing Risk to Safety and Health
HS-FRM-061 Safe Work Method Statement-Template	4/06/2020	REF TRIM	4/06/2025	Manager CCS	<a href="#">D-20-061656</a>	Live Document	Managing Risk to Safety and Health
HS-FRM-016 Job Hazard Analysis-Template	31/10/2018	REF TRIM	31/10/2021	Manager CCS	<a href="#">D-18-090482</a>	Live Document	Managing Risk to Safety and Health
HS-FRM-040 CRAW Template	26/02/2021	REF TRIM	26/02/2023	Manager CCS	<a href="#">D-21-021640</a>	Live Document	Managing Risk to Safety and Health
HS-PRO-003 Trenching and Excavation Procedure	22/06/2020	REF TRIM	22/06/2025	Manager CCS	<a href="#">D-20-069479</a>	Live Document	Trenching and Excavation
HS-FRM-069 Underground Asset Location Checklist	20/07/2020	REF TRIM	20/07/2025	Manager CCS	<a href="#">D-20-082612</a>	Live Document	Trenching and Excavation
HS-SWMS-003 Trenching and Excavation SWMS	22/06/2020	REF TRIM	22/06/2025	Manager CCS	<a href="#">D-20-069477</a>	Live Document	Trenching and Excavation
HS-FRM-003 Trenching and Excavation Permit	22/06/2020	REF TRIM	22/06/2025	Manager CCS	<a href="#">D-20-069479</a>	Live Document	Trenching and Excavation
HS-IND-003 Induction Toolkit Trenching and Excavation	22/06/2020	REF TRIM	22/06/2025	Manager CCS	<a href="#">D-20-069480</a>	Live Document	Trenching and Excavation
HS-PRO-020 Pressurised Equipment Safety Procedure	6/07/2020	REF TRIM	6/07/2025	Manager CCS	<a href="#">D-20-076378</a>	Live Document	Pressurised Equipment Safety
HS-IND-020 Induction Toolkit Pressurised Equipment Safety	6/07/2020	REF TRIM	6/07/2025	Manager CCS	<a href="#">D-20-023529</a>	Live Document	Pressurised Equipment Safety
HS-PRO-006 Confined Space Entry Procedure	24/07/2020	REF TRIM	24/07/2025	Manager CCS	<a href="#">D-20-085557</a>	Live Document	Confined Space Entry
HS-SWMS-006 Confined Space Entry SWMS	24/07/2020	REF TRIM	24/07/2025	Manager CCS	<a href="#">D-20-085437</a>	Live Document	Confined Space Entry
HS-FRM-006 Confined Space Entry Permit	24/07/2020	REF TRIM	24/07/2025	Manager CCS	<a href="#">D-20-085440</a>	Live Document	Confined Space Entry
HS-PLN-006 Confined Space Entry Emergency Rescue Plan Template	24/07/2020	REF TRIM	24/07/2025	Manager CCS	<a href="#">D-20-085438</a>	Live Document	Confined Space Entry
HS-IND-006 Induction Toolkit Confined Space	24/07/2020	REF TRIM	24/07/2025	Manager CCS	<a href="#">D-20-085439</a>	Live Document	Confined Space Entry
HS-PRO-008 Demolition Procedure	24/07/2020	REF TRIM	24/07/2025	Manager CCS	<a href="#">D-20-085682</a>	Live Document	Demolition
HS-SWMS-008 Demolition SWMS	24/07/2020	REF TRIM	24/07/2021	Manager CCS	<a href="#">D-20-085683</a>	Live Document	Demolition
HS-FRM-018 Demolition Safety Checklist	24/07/2020	REF TRIM	24/07/2020	Manager CCS	<a href="#">D-20-085680</a>	Live Document	Demolition
HS-IND-008 Induction Toolkit Demolition	24/07/2020	REF TRIM	24/07/2020	Manager CCS	<a href="#">D-20-085681</a>	Live Document	Demolition
HS-PRO-014 Lifting Operations Procedure	24/07/2020	REF TRIM	24/07/2020	Manager CCS	<a href="#">D-20-085619</a>	Live Document	Lifting Operations
HS-FRM-014 Lifting Operations Checklist	24/07/2020	REF TRIM	24/07/2025	Manager CCS	<a href="#">D-20-085616</a>	Live Document	Lifting Operations
HS-IND-014 Induction Toolkit Lifting Operations	24/07/2020	REF TRIM	24/07/2025	Manager CCS	<a href="#">D-20-085618</a>	Live Document	Lifting Operations
HS-PRO-005 Working Near Live Services Procedure	20/07/2020	REF TRIM	20/07/2025	Manager CCS	<a href="#">D-20-082611</a>	Live Document	Working Near Live Services
HS-FRM-011 Overhead Wire Assessment	20/07/2020	REF TRIM	20/07/2025	Manager CCS	<a href="#">D-20-082610</a>	Live Document	Working Near Live Services
HS-SWMS-005 Working-Near-Live-Services-SWMS	20/07/2020	REF TRIM	20/07/2025	Manager CCS	<a href="#">D-20-082609</a>	Live Document	Working Near Live Services
HS-IND-005 Induction Toolkit Working Near Live Services	20/07/2020	REF TRIM	20/07/2025	Manager CCS	<a href="#">D-20-082608</a>	Live Document	Working Near Live Services

**(RM/10/0006) OSH Standard 6 -  
Incident Management**

HS-PRO-034 Incident Management Procedure	4/05/2020	REF TRIM	4/05/2025	Manager CCS	<a href="#">D-20-050136</a>	Live Document	Incident Management
HS-IND-034 Induction Toolkit-Incident Management	4/05/2020	REF TRIM	4/05/2025	Manager CCS	<a href="#">D-20-050294</a>	Live Document	Incident Management
HS-FRM-007 Witness Statement	4/05/2020	REF TRIM	4/05/2025	Manager CCS	<a href="#">D-20-050333</a>	Live Document	Incident Management
HS-FRM-055 Confidential Incident Report	20/01/2021	REF TRIM	20/01/2021	Manager CCS	<a href="#">D-21-006276</a>	Live Document	Incident Management

ICAM Resources 2019 (Incident Cause Analysis Method)				Manager CCS	<a href="#">D-20-014130</a>	Resource	Incident Management
ICAM Investigation Spreadsheet Tool Template	15/02/2021	REF TRIM	15/02/2025	Manager CCS	<a href="#">D-21-021477</a>	Live Document	Incident Management

**(RM/10/0007 ) WHS Management System**

LGIS OSH MANAGEMENT SYSTEM - 2015 Reference use only					<a href="#">D-20-012796</a>	Reference purposes only	
2017 DRAFT SAFETY DOCUMENTATION REFERENCE ONLY NOTE FOR USE					<a href="#">D-20-012794</a>	Reference purposes only	
IFAP Injury Management Course Material 2011					<a href="#">D-20-007631</a>	Reference purposes only	
Work Health_Safety Manual (WHSM)					<a href="#">D-18-083846</a>	Reference purposes only	
WHS-OHS Manual - Instructions on implementing your WHS-OHS Management System					<a href="#">D-18-083845</a>	Reference purposes only	
WHS Tools_Forms Kit					<a href="#">D-18-083844</a>	Reference purposes only	
WHS Emergency Plan					<a href="#">D-18-083843</a>	Reference purposes only	
Tools & Forms - Instructions on Implementing your WHS-OHS Management System					<a href="#">D-18-083842</a>	Reference purposes only	
Environmental Management Plan					<a href="#">D-18-083841</a>	Reference purposes only	
Environmental Management Plan - Instructions on Implementing your WHS-OSH Management System					<a href="#">D-18-083840</a>	Reference purposes only	
Emergency Plan - Instructions on Implementing your WHS-OSH Management System					<a href="#">D-18-083839</a>	Reference purposes only	

**(RM/10/0008) Policies**

City Safety Strategy 2021 – 2023		REF TRIM		Manager CCS	<a href="#">D-21-079320</a>	Draft	Plan & Policies
HS- MANAGEMENT PLAN 2018 - 2020	3/01/2019	REF TRIM		Manager CCS	<a href="#">D-19-000632</a>		Plan & Policies
HS-PLN-039 Safety Management Plan	23/07/2020	REF TRIM	23/07/2022	Manager CCS	<a href="#">D-20-085140</a>		Plan & Policies
HS-PLN-040 Site SMP Addendum	2/03/2021	REF TRIM	23/07/2022	Manager CCS	<a href="#">D-21-024671</a>		Plan & Policies
Operational Policy-OP041-Version 3 - Occupational Safety and Health - Version 3	7/01/2021	REF TRIM	7/01/2026	Manager CCS	<a href="#">D-21-002925</a>		Plan & Policies
Operational Policy-OP043 - Version 3 - Fitness for Work - February 2021	2/02/2021	REF TRIM	27/11/2020	Manager CCS	<a href="#">D-21-002677</a>		Plan & Policies
Operational Policy-OP050 - Version 5 - Smoking in the Workplace - August 2020	3/09/2020	REF TRIM	1/02/2022	Manager CCS	<a href="#">D-20-099177</a>		Plan & Policies

**(RM/10/0009) OSH Standard 7 - Contractor Management**

HS-FRM-051 Evaluation of OSH Management Plan	29/05/2020	REF TRIM	29/05/2025	Manager CCS	<a href="#">D-20-060147</a>	Live Document	Contract Management
HS-FRM-034 Contractor OSH Pre-Qualification Questionnaire	29/05/2020	REF TRIM	29/05/2025	Manager CCS	<a href="#">D-20-049599</a>	Live Document	Contract Management
HS-FRM-045 Post Contract (Supplier) Evaluation	29/05/2020	REF TRIM	29/05/2025	Manager CCS	<a href="#">D-20-049587</a>	Live Document	Contract Management
HS-FRM-046 Contractor's Monthly Safety Report	29/05/2020	REF TRIM	29/05/2025	Manager CCS	<a href="#">D-20-049585</a>	Live Document	Contract Management
HS-FRM-047 Project Site Induction	29/05/2020	REF TRIM	29/05/2025	Manager CCS	<a href="#">D-20-049576</a>	Live Document	Contract Management
HS-FRM-048 Project Site Induction Assessment	29/05/2020	REF TRIM	29/05/2025	Manager CCS	<a href="#">D-20-049575</a>	Live Document	Contract Management
HS-MAN-001 Contractor Safety Manual	29/05/2020	REF TRIM	29/05/2025	Manager CCS	<a href="#">D-20-049035</a>	Live Document	Contract Management
HS-FRM-052 Contractor Spot Check	29/05/2020	REF TRIM	29/05/2025	Manager CCS	<a href="#">D-18-090580</a>	Live Document	Contract Management
HS-FRM-053 Contractor Safety Feedback Survey	29/05/2020	REF TRIM	29/05/2025	Manager CCS	<a href="#">D-18-090578</a>	Live Document	Contract Management
HS-PRO-029 Contractor Management Procedure	4/06/2020	REF TRIM	4/06/2025	Manager CCS	<a href="#">D-18-090576</a>	Live Document	Contract Management
HS-IND-029 Induction Toolkit Contractor Management	4/06/2020	REF TRIM	4/06/2025	Manager CCS	<a href="#">D-20-071060</a>	Live Document	Contract Management
HS-FRM-056 Visitor Attendance Log	4/03/2021	REF TRIM	4/03/2026	Manager CCS	<a href="#">D-21-023161</a>	Live Document	Contract Management

**(RM/10/0010) OSH Standard 8 - Plant and Equipment**

HS-PRO-015 Plant Procedure	4/06/2020	REF TRIM	4/06/2025	Manager CCS	<a href="#">D-20-049035</a>	Live Document	Plant & Equipment
HS-FRM-009 Plant Risk Assessment Template	4/06/2020	REF TRIM	4/06/2025	Manager CCS	<a href="#">D-20-062807</a>	Live Document	Plant & Equipment
HS-SWMS-015 Movement of Powered Plant-SWMS	4/06/2020	REF TRIM	4/06/2025	Manager CCS	<a href="#">D-20-062806</a>	Live Document	Plant & Equipment
HS-IND-015 Induction Toolkit Plant	4/06/2020	REF TRIM	4/06/2025	Manager CCS	<a href="#">D-20-062805</a>	Live Document	Plant & Equipment
HS-IND-017 Induction Purchasing Safety Controls	5/06/2020	REF TRIM	5/06/2025	Manager CCS	<a href="#">D-20-059587</a>	Live Document	Purchasing Safety Controls
HS-GUI-004 Purchasing Safety Controls Guideline	5/06/2020	REF TRIM	5/06/2025	Manager CCS	<a href="#">D-20-059586</a>	Live Document	Purchasing Safety Controls
HS-FRM-035 Application for Prescription Safety Spectacles	5/06/2020	REF TRIM	5/06/2025	Manager CCS	<a href="#">D-20-056473</a>	Live Document	Personal Protective Equipment
HS-FRM-025 Glove Risk Assessment	5/06/2020	REF TRIM	5/06/2025	Manager CCS	<a href="#">D-20-056472</a>	Live Document	Personal Protective Equipment
HS-IND-025 Induction Toolkit Personal Protective Equipment	5/06/2020	REF TRIM	19/11/2025	Manager CCS	<a href="#">D-20-056471</a>	Live Document	Personal Protective Equipment
HS-PRO-025 Personal Protective Equipment Procedure	5/06/2020	REF TRIM	19/11/2025	Manager CCS	<a href="#">D-20-056468</a>	Live Document	Personal Protective Equipment
HS-PRO-028 Barricading and Safety Signage Procedure		REF TRIM		Manager CCS	<a href="#">D-20-079047</a>	Draft	Barricading and Safety Signage
HS-IND-028 Induction Toolkit Barricading and Safety Signage		REF TRIM		Manager CCS	<a href="#">D-20-079046</a>	Draft	Barricading and Safety Signage

**(RM/10/0011) OSH Standard 9 -  
Hazardous Substances and Dangerous  
Goods**

HS-PRO-001 Hazardous Chemicals Management Procedure	27/07/2020	REF TRIM	27/07/2025	Manager CCS	<a href="#">D-20-086497</a>	Live Document	Hazardous Chemical Management
HS-FRM-036 Dangerous Goods Signage	27/07/2020	REF TRIM	27/07/2025	Manager CCS	<a href="#">D-20-086037</a>	Live Document	Hazardous Chemical Management
HS-FRM-063 Notification of a Manifest Quantity Workplace - Template	27/07/2020	REF TRIM	27/07/2025	Manager CCS	<a href="#">D-20-086040</a>	Live Document	Hazardous Chemical Management
HS-FRM-062 Hazardous Substance Request Form	27/07/2020	REF TRIM	27/07/2025	Manager CCS	<a href="#">D-20-086036</a>	Live Document	Hazardous Chemical Management
HS-IND-001 Induction Toolkit Hazardous Chemicals Management	27/07/2020	REF TRIM	27/07/2025	Manager CCS	<a href="#">D-20-086048</a>	Live Document	Hazardous Chemical Management
HS-FRM-070 Hazardous Substance Risk Assessment	27/07/2020	REF TRIM	27/07/2025	Manager CCS	<a href="#">D-20-086021</a>	Live Document	Hazardous Chemical Management

**(RM/10/0012) OSH Standard 10 -  
Workplace and Work Sites**

HS-PLN-038 COVID 19 OSH Management Plan	28/05/2020	REF TRIM	28/08/2020	Manager CCS	<a href="#">D-20-059239</a>	Live Document	COVID 19 Safety
HS-IND-022 Induction Toolkit-COVID 19 Facility Safety Plan	28/05/2020	REF TRIM	15/08/2020	Manager CCS	<a href="#">D-20-054869</a>	Live Document	COVID 19 Safety
HS-FRM-033 Working from Home Arrangement Asset and Equipment List-Schedule 2	25/03/2020	REF TRIM	25/03/2025	Manager CCS	<a href="#">D-20-037014</a>	Live Document	Working from Home
HS-FRM-028 Working from Home Request	25/03/2020	REF TRIM	25/03/2025	Manager CCS	<a href="#">D-20-035665</a>	Live Document	Working from Home
HS-PRO-022 Working from Home Procedure	25/03/2020	REF TRIM	25/03/2025	Manager CCS	<a href="#">D-20-035664</a>	Live Document	Working from Home
HS-FRM-029 Working from Home Arrangement Self-Assessment Checklist-Schedule 1	25/03/2020	REF TRIM	25/03/2025	Manager CCS	<a href="#">D-20-035663</a>	Live Document	Working from Home
HS-PLN-007 Asbestos Management Plan	5/05/2021	REF TRIM	25/06/2026	Manager CCS	<a href="#">D-20-051734</a>	Live Document	Asbestos Management
HS-PRO-009 Asbestos Management Procedure	30/03/2019	REF TRIM	25/06/2026	Manager CCS	<a href="#">D-21-049353</a>	Live Document	Asbestos Management
HS-FRM-020 Asbestos Removal Control Plan Template	22/04/2021	REF TRIM	25/06/2026	Manager CCS	<a href="#">D-21-049375</a>	Live Document	Asbestos Management
HS-SWMS-009 Working with Non-Friable (Bonded) Asbestos - SWMS	22/04/2021	REF TRIM	25/06/2026	Manager CCS	<a href="#">D-21-049386</a>	Live Document	Asbestos Management
HS-IND-039 Induction Toolkit Asbestos Management	22/04/2021	REF TRIM	25/06/2026	Manager CCS	<a href="#">D-21-049393</a>	Live Document	Asbestos Management

**(RM/10/0013) OSH Standard 11 - Health  
Wellbeing and Injury Management**

HS-FRM-031 Medical Advice Form	5/06/2020	REF TRIM	5/06/2025	Manager CCS	<a href="#">D-20-059585</a>	Live Document	Occupational Hygiene
HS-IND-035 Induction Toolkit Occupational Health	5/06/2020	REF TRIM	5/06/2025	Manager CCS	<a href="#">D-20-059584</a>	Live Document	Occupational Hygiene
HS-GUI-003 Occupational Health Guideline	5/06/2020	REF TRIM	5/06/2025	Manager CCS	<a href="#">D-20-059583</a>	Live Document	Occupational Hygiene
HS-FRM-026 Noise Hazard Identification Checklist	5/06/2020	REF TRIM	5/06/2025	Manager CCS	<a href="#">D-20-059582</a>	Live Document	Noise Management
HS-IND-026 Induction Toolkit Noise Management	5/06/2020	REF TRIM	5/06/2025	Manager CCS	<a href="#">D-20-059584</a>	Live Document	Noise Management
HS-PRO-026 Noise Management Procedure	5/06/2020	REF TRIM	5/06/2025	Manager CCS	<a href="#">D-20-059580</a>	Live Document	Noise Management
HS-FRM-010 Record of Testing	23/07/2018	REF TRIM	23/07/2023	Manager CCS	<a href="#">D-20-059563</a>	Live Document	Fitness for Work
HS-FRM-072 Breathalyser Recording Form	4/03/2021	REF TRIM	4/03/2026	Manager CCS	<a href="#">D-21-023183</a>	Live Document	Fitness for Work
HS-PRO-017 Fitness for Work Procedure	23/07/2018	REF TRIM	23/07/2023	Manager CCS	<a href="#">D-20-059562</a>	Live Document	Fitness for Work
HS-FRM-011 Employee Medical Declaration	23/07/2018	REF TRIM	23/07/2023	Manager CCS	<a href="#">D-20-059561</a>	Live Document	Fitness for Work
HS-FRM-015 Worker Fatigue Assessment	5/06/2020	REF TRIM	5/06/2025	Manager CCS	<a href="#">D-20-059533</a>	Live Document	Fatigue Management
HS-IND-032 Induction Toolkit Fatigue Management	5/06/2020	REF TRIM	5/06/2025	Manager CCS	<a href="#">D-20-059532</a>	Live Document	Fatigue Management
HS-GUI-005 Fatigue Management Guideline	5/06/2020	REF TRIM	5/06/2025	Manager CCS	<a href="#">D-20-059531</a>	Live Document	Fatigue Management

**(RM/10/0014) OSH Standard 12 -  
Emergency Management**

HS-FRM-008 First-Aid Officer Nomination Form	5/06/2020	REF TRIM	5/06/2025	Manager CCS	<a href="#">D-20-059552</a>	Live Document	First Aid
HS-Register-First Aid Kit Types and Contents	5/06/2020	REF TRIM	5/06/2025	Manager CCS	<a href="#">D-20-059551</a>	Live Document	First Aid
HS-IND-033 Induction Toolkit First Aid	5/06/2020	REF TRIM	5/06/2025	Manager CCS	<a href="#">D-20-059550</a>	Live Document	First Aid
HS-PRO-033 First-Aid Procedure	5/06/2025	REF TRIM	5/06/2025	Manager CCS	<a href="#">D-20-059549</a>	Live Document	First Aid
HS-FRM-030 First-Aid Risk Assessment	5/06/2025	REF TRIM	5/06/2025	Manager CCS	<a href="#">D-20-059547</a>	Live Document	First Aid
HS-FRM-038 Fire Warden and First Aid Officers Poster- Template	10/07/2019	REF TRIM	ADHOC	Manager CCS	<a href="#">D-19-046553</a>	Live Document	Emergency Management (Workplace)
HS-FRM-037 Personal-Emergency-Evacuation-Plan	12/11/2020	REF TRIM	3/05/2021	Manager CCS	<a href="#">D-20-137569</a>	Live Document	Emergency Management (Workplace)
HS-PLN-040 Emergency Management Plan	28/01/2021	REF TRIM	5/05/2021	Manager CCS	<a href="#">D-21-016816</a>	Live Document	Emergency Management (Workplace)
HS-PLN-039 Safety Management Plan	25/02/2021	REF TRIM	25/02/2025	Manager CCS	<a href="#">D-20-085140</a>	Live Document	Emergency Management (Workplace)
HS-PLN-039 Safety Management Plan - ADDENDUM	10/11/2020	REF TRIM	25/02/2025	Manager CCS	<a href="#">D-20-135650</a>	Live Document	Emergency Management (Workplace)
HS-FRM-017 Drill Observers Report Template	13/03/2020	REF TRIM	3/05/2021	Manager CCS	<a href="#">D-20-070246</a>	Live Document	Emergency Management (Workplace)

HS-CGG Emergency Cards	25/02/2021	REF TRIM	25/02/2025	Manager CCS	<a href="#">D-20-143461</a>	Live Document	Emergency Management (Workplace)
HS-FRM-061 Emergency Planning Committee Agenda / Minutes Template	22/06/2020	REF TRIM	22/06/2025	Manager CCS	<a href="#">D-20-069627</a>	Live Document	Emergency Management (Workplace)

(RM/10/0015) OSH Standard - Redundant Records

[Refer to folder](#)

## SMS Training Matrix

Colour Code for training priority	Definitions				
High priority - within 2 months	HRA - High Risk Activity	HS - Health & Safety	GUI - Guideline		
Medium priority - within 4 months	SWMS - Safe Work Method Statement	PRO - Procedure			
Low priority - within 6-9 months	HRW - High Risk Work ( Regulated Licence term)	PLN - Plan			
Document Suite	Procedure	Managers / Coordinators	Supervisors / Project Managers	Timeframe	Comment / Subject
<b>COVID 19</b>	HS-PLN-038-COVID 19 OSH Management Plan	Facility Managers			operational management of facilities to minus and responded to COVID 19 risk in the workplace
<i>Safety Accountabilities and Responsibilities</i>	HS -PRO-037 - Safety Accountabilities and Responsibilities Procedure	All	All		WHS responsibilities / Duties of all levels within the organisation
<i>Managing Risk to Safety and Health</i>	HS-PRO-016-Workplace Risk Assessment Procedure	All	All		Covers the risk management process of identification of hazards, assessing risks, applying adequate controls to risks and reviewing the control measures in place. Procedure covers JHA's , SWMS for high risk activities and simultaneous operations ( multiple work crews / work activities)
<i>Incident Management</i>	HS-PRO-034-Incident Management Procedure	All	All		Covers incident response steps from making the area safe, rendering aid, preserving incident site, notifications to stakeholders /and regulators, incident reporting and investigation processes
<i>Contractor Management</i>	HS-PRO-029-Contractor Management Procedure	All (except Urban and Regional Development)	All		Covers all safety requires / risk identification( profile) from tender stage, through the construction and evaluation of Safe work systems
<i>Verification of Competency</i>	HS-GUI-002-Verification of Competency Guideline	Maintenance Operations	Maintenance Operations		Covers the Training, assessment and approval processes for operating a specific item of plant or equipment
<i>Vehicle Management on Worksites</i>	HS-PRO-010-Vehicle Management on Worksites Procedure		All		Covers general vehicle movement on a worksite ( Routes, parking, reversing, communication etc)
<i>Fitness for Work</i>	HS-PRO-017 Fitness for Work Procedure	All	All		Covers drug and Alcohol processes for notifications of medications, testing methods ( Breath , saliva, urine) testing types (blanket, for cause, incident)
<i>Fatigue Management</i>	HS-GUI-005 Fatigue Management Guideline	All	All		Provides identification of factors that contribute to fatigue, managing the risks and responsibilities of Fatigue management
<i>Personal Protective Equipment</i>	HS-PRO-025 Personal Protective Equipment Procedure	All	All		Cover the minimum requirements for PPE used in City worksites or projects
<i>Consultation and Communication</i>	HS-PRO-031-Consultation and Communication Procedure	All	All		Communication /Distribution / sharing / feedback of H&S issues within the organisation
<i>Safety Induction and Training</i>	HS-PRO-030 - Safety Induction and Training Procedure	Facility Managers			Covers the requirements of corporate and site specific inductions, training needs of workers based on risk assessment and evaluation
<i>Working at heights</i>	HS-PRO-002-Working at Height Procedure		All		Covers HRA of working at Heights ( Non-Permit) (SWMS) - Covering risk assessment, hazards, controls and emergency response when WAH

<i>Working On or Adjacent to a Road</i>	HS-PRO-011-Working On or Adjacent to a Road Procedure		Maintenance Operations , Project design & Delivery, Sports & leisure		Covers HRA of working on or adjacent to roads ( short term included) (SWMS) - Covering risk assessment, TMP/TGS (CITY APPROVED), general hazards, controls and qualifications for traffic management setup / alterations
<i>Electrical Safety</i>	HS-PRO-018-Electrical Safety Procedure		Building Maintenance , Maintenance operations , Fleet Services / Workshop		Covers general electrical safety in workplaces, tagging, inspections, hire equipment. Also covers exclusion to electrical works ( where only qualified electricians can undertake electrical work)
<i>Lone, Remote or Isolated Work</i>	HS-PRO-027-Lone, Remote or Isolated Work	All			Covers risk assessment , communication protocols, emergency response and equipment / supplies for working alone / remote or isolated
<i>Hot Works</i>	HS-PRO-024-Hot Work Procedure		Fleet Services / Workshop		Covers HRA of Hot works, (permit system) - Covering risk assessment, Approved areas for hot works (permit not required), general hazards and precautions, controls and PPE when cutting, grinding, welding
<i>Hazardous Manual Tasks</i>	HS-PRO-023-Hazardous Manual Tasks Procedure	All	All		Covers Hazard identification, risk assessment / risk control and monitor / review of controls regarding hazardous tasks that involve repetitive, sustained, high or sudden force, repetitive movements, exposure to vibration or awkward posture
<i>Trenching and Excavation</i>	HS-PRO-003 Trenching and Excavation Procedure		Maintenance Operations, Project design & delivery		Covers HRA of trenching and excavation works deeper than 1.5 mtrs ( Permit) (SWMS) - Covering legislated requirements, training and competency ,risk assessment, hazards, controls and emergency response , should be used in conjunction with Confined space procedure
<i>Confined Space</i>	HS-PRO-006 Confined Space Entry Procedure		Maintenance Operations, Project design & delivery, Sports and Leisure		Covers HRA of working in confined spaces ( Permit) (SWMS) - Covering legislated requirements, training and competency ,risk assessment, hazards, controls and emergency response for Confined space work
<i>Lifting Operations</i>	HS-PRO-014 Lifting Operations Procedure		Building Maintenance , Maintenance operations , Fleet Services / Workshop		Covers inspections / certifications , equipment registers, training and HRW licencing requirements , Simple lifts Vs complex lifts (requiring a lift plan) , risk assessment , hazards and controls and lifting checklist
<i>Pressurised Equipment Safety</i>	HS-PRO-020 Pressurised Equipment Safety Procedure		Building Maintenance , Maintenance operations , Fleet Services / Workshop		Covers safety regarding equipment such as Water jetting / blasting, gas cylinders, air compressors, pressurised pipes and hydraulics etc. Risk assessment , isolations , risk controls maintenance and legislative requirements for certain types and classes of equipment and pressure vessels.

<i>Working Near Live Services</i>	HS-PRO-005 Working Near Live Services Procedure		Maintenance Operations, Project design and delivery, Building maintenance , Sports and Leisure)		Covers HRA of working Near live services (SWMS) - when working in the vicinity of all underground and overhead service lines ( mains and connection) Covering preparation, DBYD, risk assessment, approvals (service providers), general hazards, controls and emergency response to damaging an asset of a service provider. ( this procedure should be read in conjunction with all HRA's)
<i>Plant</i>	HS-PRO-015 Plant Procedure	Maintenance Operations	Fleet services / Maintenance operations / project design and delivery		Covers legislative requirements of plant registration and duties of suppliers and PCBU's, the purchasing of new plant . Covers HRA of powered mobile plant on worksites (SWMS). Risk assessment, interaction, hazards , control measures. Maintenance and inspections.
<i>Hazardous Chemical Management</i>	HS-PRO-001-Hazardous Chemicals Management Procedure		All		Covers the request for chemicals, Risk assessments for hazardous chemicals, handling, transport, storage and management of chemicals and dangerous goods, provides the legislated requirements for signage / manifests and chemical registers. Medical health monitoring for legislated chemicals and emergency response
<i>First Aid</i>	HS-PRO-033 First-Aid Procedure	All	Nominated first aid officers / Work crew first aid officers		Covers first aid requirements, risk assessments, training and equipment required to manage first aid in the workplace.
<i>Emergency Management Plan</i>	HS-PLN-040 Emergency Management Plan	All	All		Covering City and site specific emergency response to various scenarios ( Fire, bomb threat etc) ,including evacuation and first aid processes and key emergency personnel's roles / responsibilities
<i>Working In,On,Over or Adjacent to Water</i>	HS-PRO-013-Working In,On,Over or Adjacent to Water Procedure		All		Covers HRA of working on, in over Water ( Non-Permit) (SWMS) - Covering risk assessment, hazards, controls and rescue when WOW
<i>Occupational Health</i>	HS-PRO-012-Sharps,Hypodermic Syringe Handling and Disposal Procedure		All		Covers handling,storage and disposal of needles / sharps / syringes
<i>Working in Hazardous Atmosphere</i>	HS-PRO-007-Working in Hazardous Atmosphere Procedure		Maintenance Operations, Workshop		Covers oxygen deficient or enriched , toxic or explosive atmospheres ( should be read in conjunction with other high risk activities CONFINED SPACES ,HOT WORKS, HAZCHEMS etc)
<i>Lockout and Tagout</i>	HS-PRO-019-Lockout and Tagout Procedure		All		Covers the isolations of Plant, equipment including (Mechanical & Electrical isolation) covers City's tagging system ( out of Service, Danger etc) and personal LOCKS
<i>Working On or Near Energised Electrical Installation</i>	HS-PRO-004-Working On or Near Energised Electrical Installations		Maintenance Operations , Project design & Delivery, Building Maintenance		Covers HRA of working on or near Energised Electrical Parts, overhead / underground electrical services & <b>Live electrical work NOT TO BE PERFORMED BY CGG PERSONNEL</b> ) ( Non-Permit) (SWMS) - Covering risk assessment, hazards, controls and response when WNEEI

<i>Asbestos Management</i>	HS-PRO-009-Asbestos Management Plan	Land and Property, Project design (where contractors are engaged for building works)			Covers City activities such as health monitoring, exposure to , removal, disposal of Asbestos ( <b>by Authorised /qualified contractors or staff</b> ), risk assessment , hazards, controls when handling, also explains city records and registers of assets with asbestos or presumed asbestos in them
<i>Demolition</i>	HS-PRO-008 Demolition Procedure		Building Maintenance , Project design and delivery		Covers HRA - High risk demolition works (SWMS) structural demolition works , legislated notifications to the regulator, hazards - Asbestos etc) risk assessment, risk control and review process of controls regarding demolition work
<i>Laser Safety</i>	HS-PRO-021 Laser Safety Procedure		Project design and delivery, Events and venues		Covers laser usage for construction and entertainment purposes, covering laser class / classifications , risk assessment and control measures for different laser classes to prevent injury / blindness
<i>Purchasing Safety Controls</i>	HS-GUI-004 Purchasing Safety Controls Guideline	Maintenance manager	Fleet services / stores		Covers process of managing the risks to health and safety and the environment by the introduction / purchase of new equipment, substance or plant
<i>Working from Home</i>	HS-PRO-022-Working from Home Procedure	All	All		Covers approval/authorisation processes, OSH requirements, ergonomics of workstations.
<i>Occupational Hygiene</i>	HS-GUI-003 Occupational Health Guideline	All	All		Gives guidance on range of Occupational Health related hazards - to identify, assess and control exposures to chemical, physical, biological and psychosocial (guidance on how to control risks).
<i>Noise Management</i>	HS-PRO-026 Noise Management Procedure	All	Maintenance Operations, Fleet Services, Sports & Leisure		Covers Noise processes of risk identification, assessment and control, it provide industry standards of noise exposure levels & times as well as health monitoring (Audiological) and PPE

## DOCUMENT NUMBERING

Procedure	Form	Induction Toolkits	Guidance	SWMS	Manuals	Plans	Formal Risk Assessments
1	1	1	2	2	1	38	1
2	2	2	3	3		39	
3	3	3	4	4		40	
4	4	4	5	5		6	
5	5	5	6	6			
6	6	6		8			
7	7	7		11			
8	8	8		13			
9	9	9					
10	10	10		15			
11	11	11					
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## SAFE OPERATING PROCEDURES

FOLDER	DOCUMENT TITLE	INITIAL ISSUE DATE	CURRENT VERSION	NEXT REVIEW DATE	DOCUMENT OWNER	TRIM#	LOCATION	Comments
	<b>SOP'S</b>							
RM/8/0027	HS-SOP-001- Use of Small Vehicle Loading Cranes (up to 1.5 tonnes)	12/09/2019	V 0.1		Maintenance Operations	D-19-067583	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-002-Stockpiling with a Loader	12/09/2019	V 0.1		Maintenance Operations	D-19-067581	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-003-Spray Sealing	12/09/2019	V 0.1		Maintenance Operations	D-19-067580	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-004-Slab Laying	12/09/2019	V 0.1		Maintenance Operations	D-19-067579	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-005-Sign Repair	12/09/2019	V 0.1		Maintenance Operations	D-19-067578	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-006-Service Locations	12/09/2019	V 0.1		Maintenance Operations	D-19-067577	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-007-Road Pavement Installation	12/09/2019	V 0.1		Maintenance Operations	D-19-067576	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-008-Road Patching	12/09/2019	V 0.1		Maintenance Operations	D-19-067575	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-009-Road Island Construction	12/09/2019	V 0.1		Maintenance Operations	D-19-067574	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-010-Road Crossing	12/09/2019	V 0.1		Maintenance Operations	D-19-067572	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-011-Removal and Replacement of Lids (Manhole Covers)	12/09/2019	V 0.1		Maintenance Operations	D-19-067571	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-012-Reinstate Service Trench	12/09/2019	V 0.1		Maintenance Operations	D-19-067570	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-013-Pram Ramp Construction (including tactiles)	12/09/2019	V 0.1		Maintenance Operations	D-19-067568	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-014-Pavement Sweeping	12/09/2019	V 0.1		Maintenance Operations	D-19-067567	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-015-New Curbing Installation Prep	12/09/2019	V 0.1		Maintenance Operations	D-19-067566	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-016-Mixing Materials (Road Base)	12/09/2019	V 0.1		Maintenance Operations	D-19-067564	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-017-Manual Handling	12/09/2019	V 0.1		Maintenance Operations	D-19-067563	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-018-Loading and Unloading Water Tanks (9000 litres)	12/09/2019	V 0.1		Maintenance Operations	D-19-067562	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-019-Loading and Unloading Machinery	12/09/2019	V 0.1		Maintenance Operations	D-19-067561	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-020-Installing fibro fencing	12/09/2019	V 0.1		Maintenance Operations	D-19-067560	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-021-Installation of Guide Posts and Bollards	12/09/2019	V 0.1		Maintenance Operations	D-19-067559	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-022-Installation of Concrete Pads	12/09/2019	V 0.1		Maintenance Operations	D-19-067556	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-023-In situ concrete pit construction	12/09/2019	V 0.1		Maintenance Operations	D-19-067554	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-024-Gully Repairs_ Replacement	12/09/2019	V 0.1		Maintenance Operations	D-19-067553	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-025-Gravel Re-Sheeting	12/09/2019	V 0.1		Maintenance Operations	D-19-067552	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-026-Fitting and Removal of Spreader Boxes	12/09/2019	V 0.1		Maintenance Operations	D-19-067550	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-027-Emptying Trucks at Landfill Site	12/09/2019	V 0.1		Maintenance Operations	D-19-067549	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-028-Dust Suppression	12/09/2019	V 0.1		Maintenance Operations	D-19-067548	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-029-Drainage Installation	12/09/2019	V 0.1		Maintenance Operations	D-19-067546	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-030-Dewatering Installation	12/09/2019	V 0.1		Maintenance Operations	D-19-067545	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-031-Culling of Feral Cats	12/09/2019	V 0.1		Maintenance Operations	D-19-067542	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-032-Crossover Construction	12/09/2019	V 0.1		Maintenance Operations	D-19-067536	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-033-Crack Patching	12/09/2019	V 0.1		Maintenance Operations	D-19-067527	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-034-Construct Retaining Wall	12/09/2019	V 0.1		Maintenance Operations	D-19-067525	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-035-Concrete Pavement Repairs	12/09/2019	V 0.1		Maintenance Operations	D-19-067523	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-036-Cleaning Gullies	12/09/2019	V 0.1		Maintenance Operations	D-19-067521	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-037-Chainmesh Fencing	12/09/2019	V 0.1		Maintenance Operations	D-19-067520	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-038-Banner Installation	12/09/2019	V 0.1		Maintenance Operations	D-19-067519	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-039-Vehicle Pre Starts	12/09/2019	V 0.1		Maintenance Operations	D-19-067517	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-040-Tree Planting	12/09/2019	V 0.1		Maintenance Operations	D-19-067516	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-041- Sewer Lid Adjusting and Resetting	12/09/2019	V 0.1		Maintenance Operations	D-19-067515	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-042-Set Up Traffic Management Devices	12/09/2019	V 0.1		Maintenance Operations	D-19-067514	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-043-Service Bracing	12/09/2019	V 0.1		Maintenance Operations	D-19-067513	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-044-Road sign installation	12/09/2019	V 0.1		Maintenance Operations	D-19-067512	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-045-Road Profiling	12/09/2019	V 0.1		Maintenance Operations	D-19-067511	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-046-Refuelling at Depot	12/09/2019	V 0.1		Maintenance Operations	D-19-067510	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-047-Pruning Shrubs	12/09/2019	V 0.1		Maintenance Operations	D-19-067509	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-048-Paving	12/09/2019	V 0.1		Maintenance Operations	D-19-067508	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-049-Litter Collection	12/09/2019	V 0.1		Maintenance Operations	D-19-067507	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-050-Curb Maintenance	12/09/2019	V 0.1		Maintenance Operations	D-19-067505	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-051-Installation of Ring lock Fencing	12/09/2019	V 0.1		Maintenance Operations	D-19-067502	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-052-High Pressure Jetting Pipelines	12/09/2019	V 0.1		Maintenance Operations	D-19-067501	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-053-Handrail Maintenance	12/09/2019	V 0.1		Maintenance Operations	D-19-067500	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-054-Graffiti Removal	12/09/2019	V 0.1		Maintenance Operations	D-19-067499	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-055-Footpath Construction	12/09/2019	V 0.1		Maintenance Operations	D-19-067498	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-056-Fitting of Standard Pit lids	12/09/2019	V 0.1		Maintenance Operations	D-19-067494	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-057-Erecting Barrier Fence (1.8 Metre in Height)	12/09/2019	V 0.1		Maintenance Operations	D-19-067493	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-058-Cleaning of Public Ablutions	12/09/2019	V 0.1		Maintenance Operations	D-19-067491	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-059-Cleaning of In-Situ Storm Water Pits	12/09/2019	V 0.1		Maintenance Operations	D-19-067489	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-060-Chemical Use (Sanitation)	12/09/2019	V 0.1		Maintenance Operations	D-19-067487	TRIM	Document Control and Consultation Required

RM/8/0027	HS-SOP-061-Brick Work Construction of Pits and Minor Structures	12/09/2019	V 0.1		Maintenance Operations	D-19-067485	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-062-Tree Pruning	12/09/2019	V 0.1		Maintenance Operations	D-19-067484	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-063-Footpath Spraying (Motorcycle)	12/09/2019	V 0.1		Maintenance Operations	D-19-067467	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-064-Bus Seat Maintenance	12/09/2019	V 0.1		Maintenance Operations	D-19-067454	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-065-Handling, Storage and Maintenance of Liquefied Chlorine Gas	17/07/2018	V 0.1		Maintenance Operations	D-18-072944	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-066-Gas Detector Use and Maintenance	17/07/2018	V 0.1		Maintenance Operations	D-18-072943	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-067-Gas Cylinders Storage, Transport and Handling	17/07/2018	V 0.1		Maintenance Operations	D-18-072942	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-068-Flushing Low Pressure Sewer System Mains For Routine Cleaning	17/07/2018	V 0.1		Maintenance Operations	D-18-072941	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-069-Dust Control - Waste Depots	17/07/2018	V 0.1		Environmental Health & Waste	D-18-072940	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-070-Working Over and Around Open Liquid Filled Pits or Ponds and Basins	24/07/2018	V 0.1		Maintenance Operations	D-18-072939	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-071-Working from Boats	24/07/2018	V 0.1		Maintenance Operations	D-18-072938	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-072-Working Around Open Wastewater Pumping Station Wet Wells and Pits	24/07/2018	V 0.1		Maintenance Operations	D-18-072937	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-073-Wildlife Removal from Trees	24/07/2018	V 0.1		Maintenance Operations	D-18-072935	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-074-Use of Cranes as Personal Attachment Points for Confined Space Entry	24/07/2018	V 0.1		Maintenance Operations	D-18-072934	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-075-Trenching and Ground Support	24/07/2018	V 0.1		Maintenance Operations	D-18-072933	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-076-Tag Out	24/07/2018	V 0.1		Maintenance Operations	D-18-072932	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-077-Site Inspection	23/07/2018	V 0.1		Maintenance Operations	D-18-072931	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-078-Measuring Clearance to Overhead Power Lines	23/07/2018	V 0.1		Maintenance Operations	D-18-072930	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-079-Load Restraint	23/07/2018	V 0.1		Maintenance Operations	D-18-072929	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-080-Lifting of Sewer Manhole Lid - Manual	17/07/2018	V 0.1		Maintenance Operations	D-18-072928	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-081-Lifting Gatic Covers Using Trolley Gatic Lifter	17/07/2018	V 0.1		Maintenance Operations	D-18-072927	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-082-Installation of, Repairs and Cut-ins to Wastewater and Water Mains	17/07/2018	V 0.1		Maintenance Operations	D-18-072926	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-083-Hypodermic Needle and Syringe- Handling and Disposal	17/07/2018	V 0.1		Maintenance Operations	D-18-072923	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-084-Heat Stress	17/07/2018	V 0.1		Maintenance Operations	D-18-072921	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-085-Installation of Water Service	17/07/2018	V 0.1		Maintenance Operations	D-18-072925	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-086-Removal of Asbestos Dust and Labelling of Electrical Switchboard	17/07/2018	V 0.1		Maintenance Operations	D-18-072924	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-087-How and when to use	17/07/2018	V 0.1		Maintenance Operations	D-18-072922	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-088-Truck- Hook Lift	24/07/2018	V 0.1		Maintenance Operations	D-18-072919	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-089-Trolleys and Compactus	24/07/2018	V 0.1		Maintenance Operations	D-18-072918	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-090-Trailers - Towing	24/07/2018	V 0.1		Maintenance Operations	D-18-072917	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-091-Tractor	23/07/2018	V 0.1		Maintenance Operations	D-18-072916	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-092-Star Picket Driver	23/07/2018	V 0.1		Maintenance Operations	D-18-072915	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-093-Soldering Iron	23/07/2018	V 0.1		Maintenance Operations	D-18-072914	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-094-Slasher	23/07/2018	V 0.1		Maintenance Operations	D-18-072913	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-095-Self Propelled Mower	23/07/2018	V 0.1		Maintenance Operations	D-18-072912	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-096-Self Contained Breathing Apparatus		V 0.1		Maintenance Operations / Sports & Leisure	D-18-072911	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-097-Saw - Reciprocating	23/07/2018	V 0.1		Maintenance Operations	D-18-072910	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-098-Saw-Power Hack Saw	23/07/2018	V 0.1		Maintenance Operations	D-18-072909	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-099-Saw-Pole	23/07/2018	V 0.1		Maintenance Operations	D-18-072908	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-100-Saw-Jig	23/07/2018	V 0.1		Maintenance Operations	D-18-072907	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-101-Saw-Drop Mitre	23/07/2018	V 0.1		Maintenance Operations	D-18-072906	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-102-Saw-Compound Mitre	23/07/2018	V 0.1		Maintenance Operations	D-18-072904	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-103-Saw-Cold	23/07/2018	V 0.1		Maintenance Operations	D-18-072903	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-104-Saw-Circular	23/07/2018	V 0.1		Maintenance Operations	D-18-072902	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-105-Saw-Circular Bench	23/07/2018	V 0.1		Maintenance Operations	D-18-072901	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-106-Saw-Brick	23/07/2018	V 0.1		Maintenance Operations	D-18-072900	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-107-Saw-Band	23/07/2018	V 0.1		Maintenance Operations	D-18-072899	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-108-Sander-Linisher Bench	23/07/2018	V 0.1		Maintenance Operations	D-18-072898	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-109-Sander- Belt or Disc	23/07/2018	V 0.1		Maintenance Operations	D-18-072897	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-110-Sample Collection Waste Water	23/07/2018	V 0.1		Maintenance Operations	D-18-072896	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-111-Rubber Softtail Mixer	23/07/2018	V 0.1		Maintenance Operations	D-18-072895	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-112-Rotary Soil Tiller Walk Behind	23/07/2018	V 0.1		Maintenance Operations	D-18-072894	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-113-Roller	23/07/2018	V 0.1		Maintenance Operations	D-18-072893	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-114-Pump - Sykes	23/07/2018	V 0.1		Maintenance Operations	D-18-072892	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-115-Pressure Washer - Petrol	23/07/2018	V 0.1		Maintenance Operations	D-18-072891	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-116-Pressure Washer - Electric	23/07/2018	V 0.1		Maintenance Operations	D-18-072890	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-117-Power Screed Board	23/07/2018	V 0.1		Maintenance Operations	D-18-072889	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-118-Overhead Gantry Crane	23/07/2018	V 0.1		Maintenance Operations	D-18-072888	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-119-Nail Gun - Pneumatic	23/07/2018	V 0.1		Maintenance Operations	D-18-072887	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-120-Nail Gun - Gas	23/07/2018	V 0.1		Maintenance Operations	D-18-072886	TRIM	Document Control and Consultation Required
RM/8/0027	HS-SOP-121-Mower - Wing Ride On	23/07/2018	V 0.1		Maintenance Operations	D-18-072885	TRIM	Document Control and Consultation Required

## PLANT RISK ASSESSMENTS

FOLDER	DOCUMENT TITLE	INITIAL ISSUE DATE	CURRENT VERSION	NEXT REVIEW DATE	DOCUMENT OWNER	TRIM#	Comments
<b>PLANT RISK ASSESSMENTS</b>							
RM/8/0027	HS-FRM-009-Plant Risk Assessment Template	16/06/2020	v1.0	16/12/2021	Manager CCS	D-20-062807	
RM/8/0027	HS-PRA-001-Water Cart	16/06/2020	v1.0	16/12/2021	Manager CCS	D-20-067028	
RM/8/0027	HS-PRA-002-Steel Drum Roller	16/06/2020	v1.0	16/12/2021	Manager CCS	D-20-067032	
RM/8/0027	HS-PRA-003-Skid Steer Loader	16/06/2020	v1.0	16/12/2021	Manager CCS	D-20-067037	
RM/8/0027	HS-PRA-004-Side Tipper	16/06/2020	v1.0	16/12/2021	Manager CCS	D-20-067065	
RM/8/0027	HS-PRA-005-Service Truck	16/06/2020	v1.0	16/12/2021	Manager CCS	D-20-067072	
RM/8/0027	HS-PRA-006-Semi Water Cart	16/06/2020	v1.0	16/12/2021	Manager CCS	D-20-067076	
RM/8/0027	HS-PRA-007-Padfoot Roller	16/06/2020	v1.0	16/12/2021	Manager CCS	D-20-067098	
RM/8/0027	HS-PRA-008-Multi-Tyre Roller	16/06/2020	v1.0	16/12/2021	Manager CCS	D-20-067102	
RM/8/0027	HS-PRA-009-Light Vehicle	16/06/2020	v1.0	16/12/2021	Manager CCS	D-20-067109	
RM/8/0027	HS-PRA-010-Grader	16/06/2020	v1.0	16/12/2021	Manager CCS	D-20-067110	
RM/8/0027	HS-PRA-011-Front End Loader	16/06/2020	v1.0	16/12/2021	Manager CCS	D-20-067111	
RM/8/0027	HS-PRA-012-Float Trailer	16/06/2020	v1.0	16/12/2021	Manager CCS	D-20-067114	
RM/8/0027	HS-PRA-013-Excavator	16/06/2020	v1.0	16/12/2021	Manager CCS	D-20-067118	
RM/8/0027	HS-PRA-014-Flat Top Truck	16/06/2020	v1.0	16/12/2021	Manager CCS	D-20-067119	
RM/8/0027	HS-PRA-015-Forklift	16/06/2020	v1.0	16/12/2021	Manager CCS	D-20-067121	
RM/8/0027	HS-PRA-016-Sweeper Cart	16/06/2020	v1.0	16/12/2021	Manager CCS	D-20-067123	
RM/8/0027	HS-PRA-017-Tipper Truck	16/06/2020	v1.0	16/12/2021	Manager CCS	D-20-070642	
RM/8/0027	HS-PRA-018-Prime Mover (Without Trailer)	16/06/2020	v1.0	16/12/2021	Manager CCS	D-20-070645	
RM/8/0027	HS-PRA-019-Light Truck	16/06/2020	v1.0	16/12/2021	Manager CCS	D-20-070652	
RM/8/0027	HS-PRA-020-Mini Skid Steer-DitchWitch-SK755	18/03/2021	v1.0	18/03/2022	Manager CCS	D-21-028857	
RM/8/0027	HS-PRA-021-Wood Chipper	15/06/2021	v1.0	15/06/2022	Manager CCS	D-21-060230	

### CITY OSH REGISTERS

DOCUMENT TITLE	INITIAL ISSUE DATE	CURRENT VERSION	NEXT REVIEW DATE	DOCUMENT OWNER	TRIM#	LOCATION	Comments
CGG Hazard Register	18/04/2019	REF TRIM	Ongoing	OSH	D-19-026870	TRIM	Requires review and update
JHA Register	15/05/2018	REF TRIM	Ongoing	N/A	D-18-072804	TRIM	Generic JHA's - <b>OBSELETE</b>
CGG OSH Risk Register	13/07/2021	REF TRIM	Ongoing	OSH	D-21-073234	TRIM	Requires review and update
CGG Electrical Test and Tag Register	13/08/2019	REF TRIM	Ongoing	OSH / Facility Managers	D-19-056131	TRIM	City Facility Register
CGG OSH Defibrillators_Oxy_SOK Servicing Register	5/04/2019	REF TRIM	Ongoing	OSH	D-19-023459	TRIM	City Facility Register
CGG OSH Equipment Calibration & Classified Plant Register	10/08/2016	REF TRIM	Ongoing	OSH	D-18-073365	TRIM	FFW testing equipment
CGG First Aid Kit Register	4/10/2018	REF TRIM	Ongoing	OSH	D-19-002941	TRIM	Vehicle and Facility Register
Register - Emergency Control Personnel	13/08/2018	REF TRIM	Ongoing	OSH	D-18-073413	TRIM	Warden and First Aid Officers
CGG Asbestos Register	24/09/2018	REF TRIM	Ongoing	OSH / Land and Property	D-21-064063	TRIM	Facility Register of NATA confirmed or PACM present
CGG Asbestos Exposure Register	6/07/2021	REF TRIM	Ongoing	OSH / HR	D-21-069973	TRIM	Exposure to Asbestos Records
CGG - Chemical Exposure Register - From 2019	15/04/2019	REF TRIM	Ongoing	OSH / HR	D-19-025712	TRIM	Exposure to Regulated Chemicals
CGG- Confined Space Register (In Development)	15/07/2021	REF TRIM	Ongoing	OSH / Branch	D-21-074250	TRIM	Locations of identified Confined Spaces
Blanket FFW Schedule 2019,2020,2021	12/03/2019	REF TRIM	Ongoing	OSH	D-19-017580	TRIM	Drug and Alcohol testing work groups and records (Password required)
SHRep Register - Current	26/11/2018	REF TRIM	Ongoing	OSH	D-18-097965	TRIM	Safety Representatives and Committee members
CGG Chemical Register	N/A	N/A	Ongoing	OSH	N/A	CHEMALERT	Chemical Register for all Facilities
CGG-OSH INSPECTION SCHEDULE 2021	Jan-20	REF TRIM	Ongoing	OSH	D-20-009155	TRIM	Facility & Project Inspections
OSH Registers from 2020 (Nintex)	6/11/2020	REF TRIM	Ongoing	OSH	D-20-134468	TRIM	Incident Report, Hazard Report & Non-Conformance Report Register



AC109	APPLICATION OF COUNCIL POLICY 4.28 MANAGING UNREASONABLE CUSTOMER CONDUCT
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<b>AGENDA REFERENCE:</b>	<b>D-21-096950</b>
<b>AUTHOR:</b>	<b>N Hope, Manager Organisational Development</b>
<b>EXECUTIVE:</b>	<b>P Radalj, Director Corporate and Commercial Services</b>
<b>DATE OF REPORT:</b>	<b>6 September 2021</b>
<b>FILE REFERENCE:</b>	<b>GO/19/0008</b>
<b>ATTACHMENTS:</b>	<b>No</b>

**EXECUTIVE SUMMARY:**

The purpose of this report is to update the Audit Committee on the application of Council Policy 4.28 Managing Unreasonable Customer Conduct, listing the number of customers to whom the policy has applied.

**EXECUTIVE RECOMMENDATION:**

That the Audit Committee by Simple Majority pursuant to Section 7.1C of the Local Government Act 1995 RESOLVES to:

1. NOTE the information provided below in relation to Council Policy 4.28 Managing Unreasonable Customer Conduct.
2. REQUIRE the CEO to report back annually to the Audit Committee at the first meeting held after the close of the relevant financial year.

**PROPONENT:**

The proponent is the City of Greater Geraldton.

**BACKGROUND:**

The City of Greater Geraldton Council Policy - *4.28 Managing Unreasonable Customer Conduct* has a set of strategies to manage the risks to the City's resource management, staff health and productivity, posed by a growing prevalence of unreasonable conduct by a small number of high-demand customers.

The policy objectives are to provide the overarching principles and guidance as the basis for a fair, equitable and transparent mechanism for dealing with unreasonable conduct by customers that will achieve an effective balance between:

- Meeting the genuine needs of customers fairly and equitably;
- Providing a safe working environment for staff, volunteers and elected members;
- Providing a safe experience for customers of the City; and
- Ensuring that City resources are used efficiently, effectively and equitably, to manage the City's responsibilities to discharge its statutory functions and represent the interests of all persons in the District.

Council Policy 4.28 Managing Unreasonable Customer Conduct, reporting requirements list that annually, at the first Audit Committee meeting held after the close of the relevant financial year, the Chief Executive Officer (CEO) will report to the committee.

In the 2020/2021 financial year, the City of Greater Geraldton reports the following:

<i>The number of customers to whom this policy has been applied:</i>	<i>0</i>
<i>The nature of the unreasonable conduct:</i>	<i>n/a</i>
<i>The action taken or limits imposed:</i>	<i>n/a</i>
<i>The number of reviews undertaken and their outcomes:</i>	<i>n/a</i>

Although the City still experiences unreasonable conduct by customers with a noted escalating trend, the City so far, has not had to implement this policy due to security or police attendance (where serious enough) and the enforcement of orders placed on individuals by the courts prohibiting their attendance at the Council office.

## **COMMUNITY, ECONOMY, ENVIRONMENT AND LEADERSHIP ISSUES:**

### **Community:**

This policy is aimed at unreasonable conduct that falls well outside of community norms and is expected to affect only a very few persons, who will receive prior warning of the consequences of their conduct or behaviour.

### **Economy:**

This policy addresses growing issues that left unattended may result in unnecessary costs to the productivity and operational efficiency of the City, as well as costs associated with stress-related impacts on employee's health and productivity as well as the requirement to provide a safe workplace.

### **Environment:**

There are no adverse environmental impacts.

### **Leadership:**

The Local Government Act requires that Councils establish good governance principles through the introduction of policies and guidelines.

### *Disclosure of Interest:*

No Officer involved in the preparation of this report has a declarable interest in this matter.

## **RELEVANT PRECEDENTS:**

Council review or amend Council Policies as and when required.

## **COMMUNITY/COUNCILLOR CONSULTATION:**

On development of the Council Policy 4.28 Managing Unreasonable Customer Conduct, Councillors were consulted via briefing note in 23 July 2019.

**LEGISLATIVE/POLICY IMPLICATIONS:**

Pursuant to section 2.7 of the Local Government Act 1995 the role of Council includes determination of Council Policies:

**2.7. Role of council**

- (1) *The council —*
- (a) *governs the local government's affairs; and*
  - (b) *is responsible for the performance of the local government's functions.*
- (2) *Without limiting subsection (1), the council is to —*
- (a) *oversee the allocation of the local government's finances and resources; and*
  - (b) *determine the local government's policies.*

**FINANCIAL AND RESOURCE IMPLICATIONS:**

There are no financial or resource implications.

**INTEGRATED PLANNING LINKS:**

<b>Strategic Direction: Community</b>	<b>Aspiration: Our Culture and heritage is recognised and celebrated. We are creative and resilient. We can all reach our full potential.</b>
Outcome 1.2	We are a community accountable for our actions
Outcome 1.4	Community safety, health and well-being is paramount
<b>Strategic Direction: Economy</b>	<b>Aspiration: A healthy thriving and resilient economy that provides opportunities for all whilst protecting the environment and enhancing our social and cultural fabric.</b>
Outcome 2.4	A desirable place to live, work, play, study, invest and visit
<b>Strategic Direction: Leadership</b>	<b>Aspiration: A strong local democracy with an engaged community, effective partnerships, visionary leadership and well informed decision-making.</b>
Outcome 4.1	Meaningful customer experiences created for the people we serve
Outcome 4.3	Accountable leadership supported by a skilled and professional workforce
Outcome 4.5	A culture of safety, innovation and embracing change
Outcome 4.6	A community that is genuinely engaged and informed in a timely and appropriate manner
Outcome 4.7	Council understands its roles and responsibilities and leads by example

**REGIONAL OUTCOMES:**

There are no impacts to regional outcomes.

**RISK MANAGEMENT:**

Ensuring that the Council Policy Register is current and comprehensive supports the role of Council in the good government of the City of Greater Geraldton. Council Policy 4.28 and its associated processes is wholly associated with mitigating the risk to City employees and the users or attendees at City facilities.

**ALTERNATIVE OPTIONS CONSIDERED BY CITY OFFICERS:**  
No alternative options were considered by City Officers.

AC110	AUDIT REGULATION 17 REVIEW 2021
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<b>AGENDA REFERENCE:</b>	<b>D-21-100082</b>
<b>AUTHOR:</b>	<b>N Jane, A/Chief Financial Officer</b>
<b>EXECUTIVE:</b>	<b>P Radalj, Director Corporate and Commercial Services</b>
<b>DATE OF REPORT:</b>	<b>10 September 2021</b>
<b>FILE REFERENCE:</b>	<b>GO/11/0020</b>
<b>ATTACHMENTS:</b>	<b>Yes (x1) Confidential Audit Regulation 17 Review</b>

**EXECUTIVE SUMMARY:**

The purpose of this report is to present to the Audit Committee the Audit Regulation 17 Review 2021.

**EXECUTIVE RECOMMENDATION:**

That the Audit Committee by Simple Majority pursuant to Section 7.1C of the Local Government Act 1995 RESOLVES to:

1. RECEIVE the Audit Regulation 17 Review 2021
2. ENDORSE actions taken or proposed to be taken by staff to resolve items identified in the report; and
3. REQUIRE progress updates on implementation of the proposed management actions at the next Audit Committee Meeting.

**PROPONENT:**

The proponent is the City of Greater Geraldton.

**BACKGROUND:**

In accordance with Regulation 17 of the Local Government (Audit) Regulations 1996, local government CEO's are to undertake reviews of the appropriateness and effectiveness of the local government's systems and procedures in relation to risk management, internal control and legislative compliance not less than once in every three financial years and report to the local government the results of those reviews.

AMD Chartered Accountants were engaged to undertake the review in June 2021. Their report is attached.

**COMMUNITY, ECONOMY, ENVIRONMENT AND LEADERSHIP ISSUES:****Community:**

There are no adverse community impacts. Undertaking this review ensures that we are accountable for our actions to the community.

**Economy:**

There are no adverse economic impacts.

**Environment:**

There are no adverse environmental impacts.

**Leadership:**

The Audit Committee plays a key role in assisting a local government to fulfil its governance and oversight responsibilities in relation to financial reporting.

***Disclosure of Interest:***

No Officer involved in the preparation of this report has a declarable interest in this matter.

**RELEVANT PRECEDENTS:**

The Audit Committee regularly reviews reports relating to the auditing processes of the City. The previous Audit Regulation 17 Review was presented to the Audit Committee on 15 March 2018 – AC066.

**COMMUNITY/COUNCILLOR CONSULTATION:**

There has been no consultation.

**LEGISLATIVE/POLICY IMPLICATIONS:**

*Local Government (Audit) regulations 1996, section 16:*

An audit committee has the following functions —

- (a) to guide and assist the local government in carrying out —
  - (i) its functions under Part 6 of the Act; and
  - (ii) its functions relating to other audits and other matters related to financial management;
- (b) to guide and assist the local government in carrying out the local government's functions in relation to audits conducted under Part 7 of the Act;
- (c) to review a report given to it by the CEO under regulation 17(3) (the **CEO's report**) and is to —
  - (i) report to the council the results of that review; and
  - (ii) give a copy of the CEO's report to the council;
- (d) to monitor and advise the CEO when the CEO is carrying out functions in relation to a review under —
  - (i) regulation 17(1); and
  - (ii) the *Local Government (Financial Management) Regulations 1996* regulation 5(2)(c);
- (e) to support the auditor of the local government to conduct an audit and carry out the auditor's other duties under the Act in respect of the local government;
- (f) to oversee the implementation of any action that the local government —
  - (i) is required to take by section 7.12A(3); and
  - (ii) has stated it has taken or intends to take in a report prepared under section 7.12A(4)(a); and

- (iii) has accepted should be taken following receipt of a report of a review conducted under regulation 17(1); and
- (iv) has accepted should be taken following receipt of a report of a review conducted under the *Local Government (Financial Management) Regulations 1996* regulation 5(2)(c);
- (g) to perform any other function conferred on the audit committee by these regulations or another written law.

*Local Government (Audit) regulations 1996*, section 17:

- (1) The CEO is to review the appropriateness and effectiveness of a local government's systems and procedures in relation to —
  - (a) risk management; and
  - (b) internal control; and
  - (c) legislative compliance.
- (2) The review may relate to any or all of the matters referred to in subregulation (1)(a), (b) and (c), but each of those matters is to be the subject of a review not less than once in every 3 financial years.
- (3) The CEO is to report to the audit committee the results of that review.

#### **FINANCIAL AND RESOURCE IMPLICATIONS:**

Provision was made in the budget to undertake this required review.

#### **INTEGRATED PLANNING LINKS:**

<b>Strategic Direction: Leadership</b>	<b>Aspiration: A strong local democracy with an engaged community, effective partnerships, visionary leadership and well informed decision-making.</b>
Outcome 4.2	Decision making is ethical, informed and inclusive
Outcome 4.3	Accountable leadership supported by a skilled and professional workforce
Outcome 4.4	Healthy financial sustainability that provides capacity to respond to changes in economic conditions and community priorities
Outcome 4.7	Council understands its roles and responsibilities and leads by example

#### **REGIONAL OUTCOMES:**

There are no impacts to regional outcomes.

#### **RISK MANAGEMENT:**

Undertaking this review is a statutory compliance requirement for local governments and requires a report to the Audit Committee and Council at least once every three financial years. This review assesses the adequacy and effectiveness of systems and procedures. It identifies and evaluates the level of risk exposure and recommends actions for improvement.

**ALTERNATIVE OPTIONS CONSIDERED BY CITY OFFICERS:**

No alternatives have been considered.

**5 COMPLIANCE REVIEW – STANDING ITEM****AC111 AUDIT COMMITTEE ANNUAL REPORT TO COUNCIL**

<b>AGENDA REFERENCE:</b>	<b>D-21-090425</b>
<b>AUTHOR:</b>	<b>M Adam, Coordinator Governance</b>
<b>EXECUTIVE:</b>	<b>P Radalj, Director Corporate and Commercial Services</b>
<b>DATE OF REPORT:</b>	<b>8 September 2021</b>
<b>FILE REFERENCE:</b>	<b>GO/11/0020</b>
<b>ATTACHMENTS:</b>	<b>No</b>

**EXECUTIVE SUMMARY:**

The purpose of this report is to seek Audit Committee endorsement of the summary of activities, for the period 1 July 2020 to 30 June 2021 for submission as the annual report to Council.

**EXECUTIVE RECOMMENDATION:**

That the Audit Committee by Simple Majority pursuant to Section 7.1C of the Local Government Act 1995 RESOLVES to:

1. ENDORSE the summary of the Audit Committee activities for the period 1 July 2020 to 30 June 2021
2. SUBMIT the summary of Audit Committee activities for the period 1 July 2020 to 30 June 2021 to Council as the Audit Committee annual report of activities.

**PROPONENT:**

The proponent is the City of Greater Geraldton.

**BACKGROUND:**

In accordance with the *Local Government Act 1995* section 7.1A (1):

*“A local government is to establish an audit committee of 3 or more persons to exercise the powers and discharge the duties conferred on it”.*

The City of Greater Geraldton Audit Committee Charter incorporates the following reporting requirements:

*5.2 The Committee shall report annually to the Council summarising its activities during the previous financial year.*

Below is a summary of the activities of the Audit Committee for the period 1 July 2020 to 30 June 2021 for the purposes of providing the above mentioned report to Council:

**Audit Committee Meeting – 27 January 2021**

<b>Report Number</b>	<b>Title</b>	<b>Decision</b>
N/A	Exit Meeting with Audit Committee and Auditors	Completed 27 January 2021

AC093	2019-20 Annual Financial Report	<ol style="list-style-type: none"> <li>1. RECEIVE the Annual Financial Report for the financial year ended 30 June 2020;</li> <li>2. RECEIVE the Audit Report for the financial year ended 30 June 2020;</li> <li>3. NOTE that for the Annual Financial Report for the year ended 30 June 2020 the Auditor has provided an unqualified audit opinion;</li> <li>4. RECOMMEND to Council the adoption of the audited Financial Report for the year ended 30 June 2020;</li> <li>5. NOTE the findings identified during the Interim Audit and REQUEST they be listed for review until completed. <ol style="list-style-type: none"> <li>a. Payroll Masterfile accuracy and validity</li> <li>b. Income Statement per Trading Undertaking</li> <li>c. General Journals – supporting documentation</li> <li>d. Daily Banking Reconciliations – Art Gallery</li> </ol> </li> <li>6. NOTE the findings identified during the Final Audit and REQUEST they be listed for review until completed. <ol style="list-style-type: none"> <li>a. High annual leave accrual at year end</li> </ol> </li> </ol>
AC094	Fraud and Corruption Plan Audit	<ol style="list-style-type: none"> <li>1. RECEIVE The Fraud &amp; Corruption Control Plan Audit</li> </ol>
AC095	Strategic Internal Audit Plan	<ol style="list-style-type: none"> <li>1. ENDORSE the development and delivery of the Strategic Internal Audit Plan 2021-2025.</li> <li>2. ENDORSE the scope for the plan to include: <ol style="list-style-type: none"> <li>a. Financial Management Systems Review (as required by Financial Management Regulation 5).</li> <li>b. Review of systems and procedures (as required by Audit Regulation 17).</li> <li>c. Follow up on previous internal, external and performance audit recommendations.</li> <li>d. Fraud &amp; Corruption Control Plan Audit.</li> <li>e. Procurement and Contract management.</li> <li>f. Lease and agreement management.</li> <li>g. Disposal of assets.</li> <li>h. Information Technology – Cyber Risks and controls.</li> <li>i. Management of Compliance Obligations.</li> <li>j. Asset Management</li> </ol> </li> </ol>
AC096	Application of the Council Policy 4.28 Managing Unreasonable Customer Conduct	<ol style="list-style-type: none"> <li>1. NOTE the information provided below in relation to Council Policy 4.28 Managing Unreasonable Customer Conduct.</li> <li>2. REQUIRE the CEO to report back annually to the Audit Committee at the first meeting held after the close of the relevant financial year.</li> </ol>
AC097	Procurement Update	<ol style="list-style-type: none"> <li>1. RECEIVE the update regarding the status of the City of Greater Geraldton's procurement activities.</li> </ol>

AC098	Business Continuity Management	1. RECEIVE the update on the City of Greater Geraldton's Business Continuity Management Plan
AC099	Audit Committee Annual Report to Council	1. ENDORSE the summary of Audit Committee activities for the period 1 July 2019 to 30 June 2020. 2. SUBMIT the summary of Audit Committee activities for the period 1 July 2019 to 30 June 2020 to Council as the Audit Committee annual report of activities.
AC100	Management Actions on Internal Audit	1. RECEIVE the Progress Report on the current status of management actions related to Internal Audits.
AC101	Compliance Audit Return	1. REVIEW the results of the Compliance Audit Return 2020. 2. REPORT to Council the results of the Audit Committee review of the Compliance Audit Return 2020, at the Ordinary Meeting of Council on 23 February 2021

### Audit Committee Meeting – 31 May 2021

Report Number	Title	Decision
AC102	Entrance Meeting – OAG & RSM	1. RECEIVE the Audit Planning Memorandum for the year ending 30 June 2021.  <u>NOTE</u> Clause 6.2 of the Audit Planning Memorandum provides that the Mayor and CEO are to sign the Management Representation Letter. Mayor Van Styn requested that this clause be amended to provide that the Management Representation Letter is signed off by the CEO and the Director of Corporate and Commercial Services, instead of being signed off by the Mayor and CEO. The reason for the amendment is that the Mayor has no operational oversight of the finance function.

### COMMUNITY, ECONOMY, ENVIRONMENT AND LEADERSHIP ISSUES:

#### Community:

The annual report to the council on Audit Committee activities provides transparency to the Community in the undertakings of the committee.

#### Economy:

There are no adverse economic impacts.

#### Environment:

There are no adverse environmental impacts.

#### Leadership:

The submission of the annual Audit Committee report to the Council, under the provisions of the Audit Committee Charter clause 5.2, provides accountable

governance, and transparency of decision making to the Council and the Community.

*Disclosure of Interest:*

No Officer involved in the preparation of this report has a declarable interest in this matter.

**RELEVANT PRECEDENTS:**

The provisions of the Audit Committee Charter require the Committee to report annually to Council summarising the activities of the previous financial year. The Audit Committee Annual Report was last reviewed by the Committee 27 January 2021, Item Number AC099, and the Council on 23 February 2021, CCS565.

**COMMUNITY/COUNCILLOR CONSULTATION:**

There has been no community/councillor consultation.

**LEGISLATIVE/POLICY IMPLICATIONS:**

*Local Government Act 1995 section 7.1A*

*Local Government (Audit) Regulations regulation 16*

**FINANCIAL AND RESOURCE IMPLICATIONS:**

There are no financial or resource implications.

**INTEGRATED PLANNING LINKS:**

<b>Strategic Direction: Leadership</b>	<b>Aspiration: A strong local democracy with an engaged community, effective partnerships, visionary leadership and well informed decision-making.</b>
Outcome 4.2	Decision making is ethical, informed and inclusive
Outcome 4.7	Council understands its roles and responsibilities and leads by example

**REGIONAL OUTCOMES:**

There are no impacts to regional outcomes.

**RISK MANAGEMENT:**

The provision of an annual summary of Audit Committee activities, to Council ensures that the committee meets compliance requirements of the *Audit Committee Charter s.5.2* and reporting recommendations of the Department of Local Government and Communities *Audit in Local Government Operational Guideline number 09- 2013*.

**ALTERNATIVE OPTIONS CONSIDERED BY CITY OFFICERS:**

No alternatives have been considered.

**6 GENERAL BUSINESS**

**7 MEETING CLOSURE**