NOTICE OF MEETING

Members are advised that THE BAROSSA COUNCIL AUDIT COMMITTEE meeting will be held on Tuesday 3 March 2020 in the Committee Room, 43-51 Tanunda Road, Nuriootpa, commencing at 3.00pm.

Martin McCarthy
CHIEF EXECUTIVE OFFICER
THE BAROSSA COUNCIL

AGENDA

1. Welcome
2. Present
3. Apologies: Ms Ellen Ewing
4. Conflict of Interest Declarations
5. Confirmation of Minutes of previous meeting
   Ordinary meeting held 16 December 2019
6. Business Arising from Previous Minutes
7. Consensus Agenda
   7.1 Reports for Information
      7.1.1 Audit Committee Workplan
      7.1.2 Mid-year Budget Review 2019/20 as at 31 December 2019
      7.1.3 Auditor Service Agreement Contract review
   7.2 Correspondence
      Nil
8. Adoption of Consensus Agenda
   8.1 Items for Exclusion from the Consensus Agenda
   8.2 Receipt of Consensus Agenda
9. Debate Agenda

9.1 Reports
9.1.1 Internal Financial Control Report 15
9.1.2 Treasury Management Review 19
9.1.3 2020/21 Audit Committee Draft Budget 23
9.1.4 Review Draft Budget 2020/21 and Annual Review Long 25
    Term Financial Plan Indexations and Assumptions
9.1.5 Quarter 2 2019/20 Performance and Activity Report 28
9.1.6 Update – Risk Management Programs and Projects 60

10. Presentation: Management, Update and Oversight of the Strategic Risk
    Register – Director Corporate and Community Services

11. Confidential Agenda
    Nil

12. Other Business

13. Next Meeting

14. Close

NOTE: Should any Member be unable to attend, please contact the Presiding Member, Peter Brass, with
    comments on the Agenda items, for discussion at the meeting.
MINUTES OF THE MEETING OF THE AUDIT COMMITTEE
OF THE BAROSSA COUNCIL
held on Monday 16 December 2019, commencing at 4.07pm
in the Council Chamber, 43-51 Tanunda Road, Nuriootpa

1. **WELCOME**
   Mr Brass declared the meeting open at 4.07pm and welcomed all in attendance.

2. **MEMBERS PRESENT**
   Mr Peter Brass, Mr Ian Swan, Ms Ellen Ewing, Cr Russell Johnstone
   **Invited Staff Members**
   Mr Martin McCarthy, Chief Executive Officer
   Mr Mark Lague, Manager Financial Services
   Ms Annette Randall, Executive Assistant (Minute Secretary)

3. **APOLOGIES**
   Cr John Angas

4. **CONFLICT OF INTEREST DECLARATIONS**
   Nil

5. **CONFIRMATION OF MINUTES FROM PREVIOUS MEETING**
   *MOVED* Cr Johnstone that the Minutes of the Audit Committee Meeting held
   29 October 2019 be confirmed as a true and correct record of the proceedings of that
   meeting.
   *Seconded* Mr Swan
   *CARRIED* 2019-20/13

6. **BUSINESS ARISING FROM PREVIOUS MINUTES**
   Nil

7. **CONSENSUS AGENDA**
   **7.1 ITEMS FOR EXCLUSION FROM THE CONSENSUS AGENDA**
   Nil

8. **RECEIPT OF CONSENSUS AGENDA**
   *MOVED* Ms Ewing that Reports for Information items 7.1.1 to 7.1.8 be received.
   *Seconded* Cr Johnstone
   *CARRIED* 2019-20/14
9. **DEBATE AGENDA**

9.1.1 **THE BAROSSA COUNCIL QUARTER 1 - 2019/20 PERFORMANCE & ACTIVITY REPORT**

19/66143  
Author: Manager Executive Services

Mr McCarthy spoke to the report and answered questions from the Members.

**MOVED**  Mr Swan that the Audit Committee receives and notes The Barossa Council Quarter 1 - 2019/20 Performance & Activity Report.  
**Seconded**  Ms Ewing  
CARRIED 2019-20/15

**PURPOSE**

**REPORT**

**Background**
Since November 2016, Council and the Audit Committee have been presented with Quarterly Performance Reports on measures adopted within the Corporate Plan.

**Introduction**
The Barossa Council Quarter 1 - 2019/20 Performance & Activity Report provides performance results against Corporate Plan measures as at 30 September 2019. The report also includes a suite of activity measures, providing a snapshot of activity undertaken over the quarter in the delivery of key internal and external Council services under each Community Plan Theme.

**Discussion**
As part of ongoing continuous improvement activity officers are continuing to refine counting rules and formulas for the extraction and analysis of data, which may result in the revision of previously reported results where the data has been refined or cleansed. Where this is the case, the report will include a disclaimer regarding the nature of any changes implemented and its impact on the data.

Additionally, where justification exists, performance targets may be amended to reflect a more realistic figure. As above, where this is the case, the report will include an explanation of the nature of and justification for any changes implemented and its impact on the data.

**ATTACHMENTS OR OTHER SUPPORTING REFERENCES**

**COMMUNITY PLAN / CORPORATE PLAN / LEGISLATIVE REQUIREMENTS**

**How We Work**

A6.3 Align operational strategy to strategic objectives and measure organisational performance to demonstrate progress towards achieving our goals.

**Legislative Requirements**
Nil

**FINANCIAL, RESOURCE AND RISK MANAGEMENT CONSIDERATIONS**
Current resources are sufficient to provide ongoing quarterly reporting.
COMMUNITY CONSULTATION

Community consultation is not required under the Act or Council’s Public Consultation Policy.

9.1.2 UPDATE - RISK MANAGEMENT PROGRAMS AND PROJECTS

B7531

Author: Risk Advisor

Mr McCarthy spoke to the report and answered questions from the Members.

MOVED Cr Johnstone that the Audit Committee receives and notes report 9.1.2 Update - Risk Management Programs and Projects.

Seconded Ms Ewing

CARRIED 2019-20/16

PURPOSE

To present a report on the progress of Risk Management programs and projects.

REPORT

Local Government Association Mutual Liability Scheme (LGAMLS)

Between 1 October 2019 and 9 December 2019, the following claims were submitted:

Motor Vehicle Claims:
1. Depot Vehicle collided with a deer near Springton - Repaired.
2. Community Transport Vehicle collided with a Kangaroo - Repaired.
3. Director Vehicle collided with a Kangaroo - Repaired.
4. Office Pool Vehicle collided with a Kangaroo - Repairs in Progress.
5. Community Transport Vehicle struck from behind, shunted into vehicle in front - financial write off; to be replaced.
6. Grader collided with 3rd Party Vehicle, no damage to Grader; dispute over liability.
7. Depot Vehicle - Damage to under body sliding toolbox, not appropriately latched before operating vehicle - Repaired.

Due to the large number of vehicle incidents involving Animals, the Risk Team has distributed advice to staff to raise awareness about the large number of kangaroos currently traversing our local road network and cautioning drivers to take care and drive to the conditions.

Mutual Liability Claims:
1. Damaged Fence, storm damage when tree branch snapped off and landed on front boundary fence; claim denied under Local Government Act
2. Damaged Fence and retaining wall - tree roots (planted by developer) lifted and cracked retaining wall bricks and twisted 2 fence panels. 1 fence panel damaged in the removal of the tree. Negotiating outcome with Director Works and Engineering, likely to deny claim for damages caused by tree root under Local Government Act.
4. Damage to SA Water infrastructure - damaged domestic water supply while cleaning drains. Less than excess, release and indemnity form completed, amount to be paid out of Works and Engineering budget.

Historic Mutual Liability Claim

Received communications from Duncan Basheer Hannon, representing a Claimant for injuries sustained on 22 November 2011 while riding on a Council managed cycle path. LGA Mutual Liability Scheme and The Barossa Council are represented by Wallmans Lawyers. The Claimant was a minor at the time of the injury providing him the opportunity to claim from 18 to 21 years of age; claim totals $105,348.75.

Risk Management Activities

• 2019/2020 KPI Action plan development underway.
• Drug and Alcohol Management Policy and Process drafted and out for consultation.
NOT CONFIRMED

- **Smarter Ways of Working Safely Project**
  - Hazard Management Policy and Process – significant review and redrafting of documents based on One System model and alignment with simplified electronic reporting and monitoring.
  - Skytrust – Organisational structure, security and user access requirements reviewed and reconfigured to allow development of workflows/system setup for electronic submission of hazard and incident reports, WHS inspections and corrective and preventative action monitoring.

- **Risk Management Policy and Process** – significant review and redrafting of documents based on One System model and alignment with enterprise level risk assessment methodology. It is anticipated a revised enterprise level risk management framework will be presented to the Audit Committee during Quarter 3 2019/20.

- **Emergency Management**
  - Business Continuity Plan – currently reviewing critical function identification methodology and Sub Plan Templates.
  - Council Ready Program – The following are either drafted or being drafted from templates provided through the Council Ready Program:
    - Action Plan for Council Ready
    - Community Emergency Management Policy
    - Incident Operations Arrangements
  - Internal Emergency Management
    - Policy under review
    - Emergency Planning Committee meeting regularly to progress training and internal exercises.
  - Zone Emergency Management Committee
    - Joint Meeting with Barossa & Yorke and Mid North regions held on 3 December 2019.

ATTACHMENTS OR OTHER SUPPORTING REFERENCES

Nil

COMMUNITY PLAN / CORPORATE PLAN / LEGISLATIVE REQUIREMENTS

**Corporate Plan**

- **How We Work – Good Governance**

  6.2 Ensure that Council’s policy and process frameworks are based on principles of sound governance and meet legislative requirements.

  6.3 Align operational strategy to strategic objectives and measure organisational performance to demonstrate progress towards achieving our goals.

**Legislative Requirements**

Local Government Act 1999
Work Health Safety Act 2012

FINANCIAL, RESOURCE AND RISK MANAGEMENT CONSIDERATIONS

Addressed within the Report.

COMMUNITY CONSULTATION

Not required under legislation or Council’s Public Consultation Policy.

10. **CONFIDENTIAL AGENDA**

Nil

11. **OTHER BUSINESS**

11.1 **PRESENTATION FROM CHIEF EXECUTIVE OFFICER ON STRATEGIC RISK REGISTER AND ACTIVITIES**

Mr McCarthy provided a Powerpoint presentation on Council’s Strategic Risk Register and Activities, in particular, those risks for which Executive
Mr Brass commented that the existing Controls for Council’s financial risks were being tested satisfactorily, but suggested that consideration be given to engaging a consultant to test non-financial risks, particularly any categorised as Extreme or High. The matter will be included in the next meeting agenda.

10. **NEXT MEETING**
February 2020 – Date to be advised

11. **CLOSURE OF MEETING**
There being no further business, Mr Brass wished everyone a very Merry Christmas and closed the meeting at 5.37pm.

Confirmed:

Chairman: ...........................................  Date: ...........................................
7.1 REPORTS FOR INFORMATION

7.1.1 AUDIT COMMITTEE WORK PLAN 2019/20
The Audit Committee Work Plan (attached) has been updated.

7.1.2 MID-YEAR BUDGET REVIEW (AS AT 31 DECEMBER 2019)
Council, at its meeting held 18 February 2020, adopted the Mid-year Budget Review 2019/20 (as at 31 December 2019) and the budget variations including reserve transfers contained therein. An excerpt from the Minutes is attached. The full Agenda report is available on Council’s website at www.barossa.sa.gov.au

7.1.3 AUDIT SERVICE AGREEMENT CONTRACT
The Audit contract period commenced from 1 July 2017 and will end on the 30 June 2022. An initial period was for two years ending 30 June 2019, with one right of renewal of three years from 1 July 2019 to 30 June 2022 subject to satisfactory performance.

The main objectives along with other general terms and conditions, include that the auditor provides and/or ensures:

- audit opinion(s) for both the accounts and annual financial statements/reports and internal financial controls for the Council,
- audit opinion for the accounts and annual financial statements/reports on Council subsidiary Nuriootpa Centennial Park Authority (NCPA),
- they meet statutory requirements, including the LG Act 1999 and associated regulations and Australian audit standards,
- certification of supplementary statements from accounting records for third parties and grant acquittals as required,
- audit management report(s) provided within 14 days of audit(s) on any matters identified during the audit(s) on financial practices, processes, trends and/or material irregularities in the financial position, internal control and risk management,
- an audit plan as to what will be examined for the annual audit,
- the final audit is within 30 days of the annual financial statements being available or an agreed date, and
- auditor independence.

Management have reviewed audit performance and services and confirm that the objectives and terms and conditions, have been met and the audit contract will be extended for the remaining three years.

The 2019/20 audit work, including the audit plan and the interim audit, will proceed in March and May following both the Council and Nuriootpa Centennial Park Authority Audit Committees’ endorsement.

RECOMMENDATION:
That Reports for Information items 7.1.1 to 7.1.3 be received.
# The Barossa Council Audit Committee Work Plan 2019/20

(4 meetings each financial year - October, December, February, June)

<table>
<thead>
<tr>
<th>Activity</th>
<th>Responsible Officer</th>
<th>Estimated Timing</th>
<th>Frequency</th>
<th>Current Status</th>
<th>Date Completed</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Financial Reporting</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Review and establish Audit Committee budget</td>
<td>Manager Financial Services</td>
<td>Feb Meeting</td>
<td>Annually</td>
<td></td>
<td></td>
<td>Refer Agenda item 9.1.3</td>
</tr>
<tr>
<td>Review draft Budget &amp; LTFP - assumptions and indexation</td>
<td>Manager Financial Services</td>
<td>Feb meeting</td>
<td>Annually</td>
<td></td>
<td></td>
<td>Refer Agenda item 9.1.4</td>
</tr>
<tr>
<td>Review draft AB&amp;BP document</td>
<td>Manager Financial Services</td>
<td>June meeting</td>
<td>Annually</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Review Treasury Management performance</td>
<td>Senior Accountant</td>
<td>Feb Meeting</td>
<td>Annually</td>
<td></td>
<td></td>
<td>Refer Agenda item 9.1.2</td>
</tr>
<tr>
<td>Review Budget Update – Quarterly as at 31 March</td>
<td>Manager Financial Services</td>
<td>June meeting</td>
<td>Annually</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Review Budget Update – Quarterly as at 30 September</td>
<td>Manager Financial Services</td>
<td>Dec meeting</td>
<td>Annually</td>
<td>16/12/2019</td>
<td>Refer Agenda item 7.1.3</td>
<td></td>
</tr>
<tr>
<td>Review Mid-year Budget Review – Quarterly as at 31 December</td>
<td>Manager Financial Services</td>
<td>Feb Meeting</td>
<td>Annually</td>
<td></td>
<td></td>
<td>Refer Agenda item 7.1.2</td>
</tr>
<tr>
<td>Receive draft Financial Statements for last financial year - Council and Nuriootpa Centennial Park Authority including Auditor attendance</td>
<td>Manager Financial Services</td>
<td>Oct meeting</td>
<td>Annually</td>
<td>29/10/2019</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Draft Report on Financial Results, including carry forwards</td>
<td>Manager Financial Services</td>
<td>Oct meeting</td>
<td>Annually</td>
<td>29/10/2019</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Receive adopted Financial Statements and Report on Financial Results for last year - Council and Nuriootpa Centennial Park Authority</td>
<td>Manager Financial Services</td>
<td>Dec meeting</td>
<td>Annually</td>
<td>16/12/2019</td>
<td>Refer Agenda item 7.1.2</td>
<td></td>
</tr>
<tr>
<td>Review of Finance / Accounting Policies</td>
<td>Manager Financial Services</td>
<td>As required</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Internal Controls and Risk Management Systems</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Activity</td>
<td>Responsible Officer</td>
<td>Estimated Timing</td>
<td>Frequency</td>
<td>Current Status</td>
<td>Date Completed</td>
<td>Comments</td>
</tr>
<tr>
<td>-------------------------------------------------------------------------</td>
<td>---------------------</td>
<td>------------------</td>
<td>-----------</td>
<td>----------------</td>
<td>----------------</td>
<td>----------------------------------</td>
</tr>
<tr>
<td>Review and recommend the approval of statements to be included in the annual report on internal control (Audit Committee TOR requirement)</td>
<td>Coordinator Internal Controls</td>
<td>Oct Meeting</td>
<td>Annually</td>
<td></td>
<td>29/10/2019</td>
<td></td>
</tr>
<tr>
<td>Review and recommend the approval of statements to be included in the annual report on risk management.</td>
<td>Risk Manager</td>
<td>Oct Meeting</td>
<td>Annually</td>
<td></td>
<td>29/10/2019</td>
<td></td>
</tr>
<tr>
<td>Receive Internal Financial Controls Compliance report from Internal Control Co-ordinator</td>
<td>Coordinator Internal Controls</td>
<td>Each normal meeting</td>
<td>Quarterly</td>
<td></td>
<td>29/10/2019</td>
<td></td>
</tr>
<tr>
<td>Receive quarterly Performance and Activity Reports</td>
<td>CEO</td>
<td>Each normal meeting</td>
<td>Quarterly</td>
<td></td>
<td>29/10/19, 16/12/19, 3/3/20</td>
<td>Refer Agenda item 9.1.5</td>
</tr>
<tr>
<td>Receive Risk Management report from Risk Manager - Reports regarding WHS Planning Review, in particular, improvements made to the Organisational Risk Register</td>
<td>Risk Manager</td>
<td>Each normal meeting</td>
<td>Quarterly</td>
<td></td>
<td>29/10/19, 16/12/19, 3/3/20</td>
<td>Refer Agenda item 9.1.6</td>
</tr>
<tr>
<td>Receive directorate risk reports showing relevant risks and how they are being managed</td>
<td>CMT Members / Risk Manager</td>
<td>As required</td>
<td></td>
<td></td>
<td>16/12/19, 3/3/20</td>
<td>Refer Agenda item 10</td>
</tr>
<tr>
<td>Report on Local Government Mutual Liability Risk Management Review</td>
<td>Risk Manager</td>
<td>As required</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Review decisions on interpretations of accounting standards taking into account the views of management and the external auditors.</td>
<td>Manager Financial Services</td>
<td>As required</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**External Audit**

<table>
<thead>
<tr>
<th>Activity</th>
<th>Responsible Officer</th>
<th>Estimated Timing</th>
<th>Frequency</th>
<th>Current Status</th>
<th>Date Completed</th>
</tr>
</thead>
<tbody>
<tr>
<td>Review any representation letter(s) requested by the external auditors</td>
<td>Manager Financial Services</td>
<td>As required</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Discuss with management and/or external auditors any matters arising from the interim audits</td>
<td>Manager Financial Services</td>
<td>As required</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Discuss with management and/or external auditors any matters arising from the year end audit</td>
<td>Audit Committee</td>
<td>Oct Meeting</td>
<td>Annually</td>
<td></td>
<td>29/10/2019</td>
</tr>
<tr>
<td>Activity</td>
<td>Responsible Officer</td>
<td>Estimated Timing</td>
<td>Frequency</td>
<td>Current Status</td>
<td>Date Completed</td>
</tr>
<tr>
<td>-------------------------------------------------------------------------</td>
<td>------------------------</td>
<td>------------------</td>
<td>-----------</td>
<td>----------------</td>
<td>----------------</td>
</tr>
<tr>
<td>Oversee the selection process for new auditors or reappointment of existing auditors</td>
<td>Audit Committee</td>
<td>prior to 30/6/17</td>
<td>By 30/6/17 and as required</td>
<td>Completed</td>
<td></td>
</tr>
<tr>
<td><strong>Reporting Responsibilities</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Establish meeting schedule and work plan</td>
<td>Manager Financial Services</td>
<td>June Meeting</td>
<td>Annually</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Propose and provide information relevant to the review of Council's Strategic Management Plans</td>
<td>CEO</td>
<td></td>
<td>As required</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Risk Management/ Governance/Strategic/Finance policies review as required</td>
<td>Various Officers</td>
<td></td>
<td>As required</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Review Council's Public Disclosure Policy and Process (refer 29/10/19 meeting)</td>
<td>CEO</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Annual report on Audit Committee activities to Council</td>
<td>Audit Committee Chairperson</td>
<td>Oct meeting</td>
<td>Annually</td>
<td>29/10/2019</td>
<td></td>
</tr>
<tr>
<td>Chairperson to present Audit Committee Annual Report to Council</td>
<td>Audit Committee Chairperson</td>
<td>Nov/Dec Council meeting</td>
<td>Annually</td>
<td>29/10/2019</td>
<td></td>
</tr>
<tr>
<td>Review Council Annual Report</td>
<td>CEO</td>
<td>Oct Meeting</td>
<td>Annually</td>
<td>29/10/2019</td>
<td></td>
</tr>
<tr>
<td>Complete Audit Committee annual self-assessment</td>
<td>Audit Committee</td>
<td>Dec Meeting</td>
<td>Annually</td>
<td>29/10/2019</td>
<td></td>
</tr>
<tr>
<td>Business Continuity Plan update</td>
<td>Risk Manager</td>
<td></td>
<td>As required</td>
<td></td>
<td></td>
</tr>
<tr>
<td>The annual LGAWCS KPI Audit Report</td>
<td>Risk Manager</td>
<td></td>
<td>Annually</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Other</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Review Terms of Reference</td>
<td>CEO</td>
<td></td>
<td>Annually</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>From Audit Committee Self Assessment 2019</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Induction/training of new Committee members</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Activity</td>
<td>Responsible Officer</td>
<td>Estimated Timing</td>
<td>Frequency</td>
<td>Current Status</td>
<td>Date Completed</td>
</tr>
<tr>
<td>-------------------------------------------------------------------------</td>
<td>---------------------</td>
<td>------------------</td>
<td>-----------</td>
<td>----------------</td>
<td>----------------</td>
</tr>
<tr>
<td>Council to consider internal audit function expansion beyond financial controls</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Audit Committee Membership - recruiting to ensure appropriate skill set and ability</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Meeting Actions**

| (12/6/13 and 8/6/16 meetings) Policy and Process for treatment of Attractive Assets and review of current controls to ensure they are adequate | MFS                 |                  |            | Work in progress |                  | Stock takes held; ICT and Depot Registers started; work progressing but considered low priority. |
| (5/10/17 meeting) Strategic Corporate Risks - CEO continue to provide reports and updated risk assessments to the Audit Committee as works are undertaken. | CEO                 | Quarterly         |            |                    | 29/10/2019 16/12/2019 3/3/20 | Refer Director presentation - Agenda item 10 |
| (5/10/17 meeting) Service Review and Continuous Improvement - CEO continue to provide reports and findings to the Audit Committee as works are undertaken. | CEO                 |                  |           |                    | 29/10/2019 |                                                                                                                                          |
| (29/10/19 meeting) Further governance be incorporated into the Audit Committee Terms of Reference at the next review of the document. | CEO                 |                  |           |                    |                |                                                                                                                                          |
| (16/12/19 meeting) Consideration be given to engaging a consultant to test non-financial risks, particularly any categorised as Extreme or High | CEO                 |                  |           |                    |                | Wait until all Director presentations completed and see what we need to include in the annual audit plan thereafter |
Additionally, where justification exists, performance targets may be amended to reflect a more realistic figure. As above, where this is the case, the report will include an explanation of the nature of and justification for any changes implemented and its impact on the data.

Summary and Conclusion

**ATTACHMENTS OR OTHER SUPPORTING REFERENCES**

**COMMUNITY PLAN / CORPORATE PLAN / LEGISLATIVE REQUIREMENTS**
Community Plan

- How We Work – Good Governance

Corporate Plan
A6.3 Align operational strategy to strategic objectives and measure organisational performance to demonstrate progress towards achieving our goals.

Legislative Requirements
Nil

**FINANCIAL, RESOURCE AND RISK MANAGEMENT CONSIDERATIONS**
Current resources are sufficient to provide ongoing quarterly reporting.

**COMMUNITY CONSULTATION**
Community consultation is not required under the Act or Council’s Public Consultation Policy.

**7.2.2 DEBATE AGENDA – FINANCE**

**7.2.2.1 MID – YEAR BUDGET REVIEW (AS AT 31 DECEMBER 2019)**

**BB923**
Author: Senior Accountant

**MOVED** Cr Johnstone that the Mid-year Budget Review for 2019/2020 (as at 31 December 2019) be received and the budget variations including reserve transfers contained therein be adopted.

**Seconded** Cr de Vries  
CARRIED 2018-22/30

**PURPOSE**
The Mid-year Budget Review for 2019/2020 (as at 31 December 2019) is attached for Council consideration and adoption of budget variations.

**REPORT**

**Discussion**
The report provides information as to the financial position of Council, containing budget update reports which include Executive Summary, Uniform Presentation of Finances, Key Performance Indicators, Summary of Operating Budget Variance Adjustments, Summary of Capital Budget Variance Adjustments and the Financial Statements.
The proposed variances between the Original Budget and this budget update are listed on the operating and capital budget adjustment pages. The report also includes details of new initiatives and capital expenditure adjustments.

**ATTACHMENTS OR OTHER SUPPORTING REFERENCES**

Attachment 1: Mid-year Budget Review 2019/20 as at 31 December 2019

**Policy**

Budget & Business Plan and Review Policy

**COMMUNITY PLAN / CORPORATE PLAN / LEGISLATIVE REQUIREMENTS**

**Corporate Plan**

- How We Work – Good Governance

6.2 Ensure that Council’s policy and process frameworks are based on principles of sound governance and meet legislative requirements.

6.3 Align operational strategy to strategic objectives and measure organisational performance to demonstrate progress towards achieving our goals.

6.4 Ensure that decisions regarding expenditure of Council’s budget are based on an assessment of whole of life costs, risks associated with the activity and advice contained within supporting plans.

6.9 Provide access to Council’s plans, policies and processes and communicate with the community in plain English.

6.16 Provide contemporary internal administrative and business support services in accordance with mandated legislative standards and good practice principles.

**Legislative Requirements**

Local Government Act 1999 Sect 123 (13)

Local Government (Financial Management) Regulations 2011 Regulation 9 (1)(a)

**FINANCIAL, RESOURCE AND RISK MANAGEMENT CONSIDERATIONS**

**Financial**

To enable Council to make effective and strategic financial decisions, a Quarterly Budget Review Report is provided. This report contains budget adjustments for decisions Council has made since the last review and other adjustments to meet financial changes in capital and/or operational areas. The document contains comments and implications for the Long Term Financial Plan as a result of this review.

**COMMUNITY CONSULTATION**

Community Consultation was part of the Original Budget adoption process in June 2019, as per legislation.

**7.2.2.2**

**MONTHLY FINANCE REPORT (AS AT 31 JANUARY 2020)**

**B411**

Author: Senior Accountant

**MOVED** Cr de Vries that the Monthly Finance Report as at 31 January 2020 be received and noted.

**Seconded** Cr Miller

CARRIED 2018-22/31

**PURPOSE**

The Uniform Presentation of Finances report provides information as to the financial position of Council, including notes on material financial trends and transactions.
9.1.1
INTERNAL FINANCIAL CONTROL REPORT
B3705

PURPOSE
To provide an update on the status of Internal Financial Control work.

RECOMMENDATION
That the report from the Coordinator Internal Control on the status of Internal Financial Control work, be received and noted.

REPORT
Attached is a copy of the Internal Financial Control Report for October 2019 to February 2020.

ATTACHMENTS OR OTHER SUPPORTING REFERENCES
Internal Financial Control Report – October 2019 to February 2020

COMMUNITY PLAN / CORPORATE PLAN / LEGISLATIVE REQUIREMENTS

Community Plan
How We Work – Good Governance

Corporate Plan
How We Work – Good Governance
6.2 Ensure that Council’s policies and process frameworks are based on principles of sound governance and meet legislative requirements.
6.4 Ensure that decisions regarding expenditure of Council’s budget are based on an assessment of whole of life costs, risks associated with the activity and advice contained within supporting plans.

Legislative Requirements
Local Government Act 1999 – Section 125, 126, 129 (1) (b)
Local Government (Financial Management) Regulations 2011, 14(e)

FINANCIAL, RESOURCE AND RISK MANAGEMENT CONSIDERATIONS
The regular monitoring and review of Council’s financial internal controls and risk assessments will significantly facilitate the on-going safeguarding of Council assets. The control and review of risks is a core officer function and responsibility.

COMMUNITY CONSULTATION
Not required under legislation or Council’s Public Consultation Policy.
INTERNAL FINANCIAL CONTROL REPORT

Date: 27 February 2020
To: CMT and Audit Committee
From: Nicole Rudd – Coordinator Internal Control
Subject: Internal Control activity – October 2019 to February 2020
Response: For information only

Legislative Requirement
Local Government Act, 1999
• Section 125
• Section 129(1)(b)
• Section 129 (3) (b)
• Section 130
Local Government (Financial Management) Regulations 2011
- Part 2, Regulation 4(2), (4), (5) (a-c)
- Part 6, Division 1, Regulation 19 (1)(b), (2), (3)

The following report has been developed to assist the Corporate Management Team (CMT) in the monitoring, action and review of the Internal Financial Control function of Council.

This report is also provided to the Audit Committee for information on the status of Internal Financial Control.

1. Internal Financial Control Self-Assessments (ControlTrack)

The self-assessment tool Council uses to manage the assessment and review of Risks and Controls is ControlTrack (contract expires December 2020).

The 3 year residual risk review and control self-assessment cycle is as follows:

1st yr – 2019/20
• all financial controls from the Better Practice Model to be assessed/reviewed and rated.

2nd yr – 2020/21
• all extreme/high/medium rated risks and their associated controls to be assessed/reviewed and rated; and
• progress any incomplete actions plans from previous assessments; and
• any controls that were assigned to new assessors (eg new staff, role changes).

3rd yr – 2021/22
• all extreme/high rated risks and associated controls to be assessed/reviewed and rated; and
• progress any incomplete actions plans from previous assessments; and
• any controls that were assigned to new assessors (eg new staff, role changes); and
• residual risk assessment of all financial risks from the Better Practice Model – in preparation for the control self-assessment of all financial controls in the following year.

2. External audits/correspondence from Auditors

Nothing to report
3. Summary of previous testing carried out

3.1 Apr to Aug 2018 (see 18/43346 for further details)
- Cash and Petty Cash Float EOY Reconciliations
- Banking - Review of Daily Limit
- Accounts Payable transactional compliance checking
- Payment Method Review including cash transaction review

3.2 Sept 18 to Feb 2019 (see 18/59677 for further details)
- Payment Card Industry Data Security Standards review
- Barossa Visitor Centre Stock Adjustment Process review

3.3 Mar to May 2019
- Rates and Property - development of a master list of processes for the rating area.
- Full review of the Risk Assessments recorded in ControlTrack with the result shown below:

<table>
<thead>
<tr>
<th>Inherent Risks</th>
<th>Residual Risks</th>
</tr>
</thead>
<tbody>
<tr>
<td>Extreme 21 risks 22.8%</td>
<td>Extreme 0 risks 0.0%</td>
</tr>
<tr>
<td>Low 7 risks 7.6%</td>
<td>High 2 risks 2.2%</td>
</tr>
<tr>
<td>Medium 15 risks 17.0%</td>
<td>Medium 19 risks 20.7%</td>
</tr>
<tr>
<td>High 41 risks 44.6%</td>
<td>Low 71 risks 77.2%</td>
</tr>
</tbody>
</table>

The review shows that Council is left with no extreme risks, 2 high risks, 19 medium risks and 71 low risks due to the level of control that are in place.

3.4 June to Sept 2019
- Accounts Payable annual review
- Commencement of control self-assessment cycle

4. This periods Inspections/Internal Audits/Compliance Testing/Reviews

4.1 2019/2020 Control Self Assessment cycle - 58% complete
Control Assessment: Completed
- 1 October 2019 to 1 February 2020
- 24 Assessors
- 311 Controls assessed by those assessors
- The average assessor rating for the 311 controls is 4.29 out of 5
- Only 1 out of the 311 controls were rated less than a 3

Control Review: In progress
- 1 February 2020 to 28 March 2020
- 15 Reviewers
- 311 Controls to be reviewed by those reviewers
- As at 27/2/20 – 25% of the review is completed

Following completion of the control review phase on 28 March 2020, a reassessment of the Risk Ratings will be carried out. Reports will be provided detailing the Risks and their ratings together with any Treatment Plans that have come out of the control self-assessment cycle will be provided.

4.2 Budget and Business Plan (and Review) Policy and Process.

Extensive work has been carried out on the review of the budget and business plan process to align it with the current practices as well as the Policy. The Process document will be presented to the next Audit Committee meeting for review.
4.3 Items on the go which will be reported at subsequent meetings:

- **Fees and Charges Register review** (18/35565)
  Checking of the 2018/19 fees and charges adopted by Council against the receipt codes and the general ledger to ensure the GST treatment is consistent and that the correct fees are being charged. It is also noted that the LG Financial Management Group has also sought a ruling from the ATO in relation to the GST treatment of all SA LG Fees and Charges. The first stage of the ruling was provided to Council during October 2019. A review of Council fees and charges will be undertaken during the 2019/20 year.

- **Fraud and Corruption Risk Assessment** - review of the signed off document in line with:
  - a ‘Sample Testing of our Organisations ability to prevent fraud’;
  - information from a document ‘Conducting a fraud risk scenario assessment’ which was presented by the Institute of Internal Auditors at the International conference in May 2018; and
  - The Fraud and Corruption Prevention Policy adopted by Council 20/5/2014

5. **Finance Policy & Process Development/Review**

<table>
<thead>
<tr>
<th>Document Register Code</th>
<th>Finance Document</th>
<th>Council Approval Date</th>
<th>Audit Committee Date</th>
<th>Review Date</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>TBCPOC4050</td>
<td>Non-Current Asset Accounting Policy</td>
<td>27/6/18</td>
<td>29/10/19</td>
<td>26/6/19</td>
<td>Current</td>
</tr>
<tr>
<td>TBCPOC4400</td>
<td>Budget and Business Plan and Review Policy **</td>
<td>15/5/18</td>
<td>16/5/18</td>
<td>14/5/22</td>
<td>Current</td>
</tr>
<tr>
<td>TBCPOC4650</td>
<td>Debt Recovery Policy</td>
<td>21/7/15</td>
<td>24/6/15</td>
<td>1/11/18</td>
<td>Under review</td>
</tr>
<tr>
<td>TBCPOC4750</td>
<td>Disposal of Land and Other Assets Policy</td>
<td>6/11/18</td>
<td>30/10/18</td>
<td>1/10/22</td>
<td>Current</td>
</tr>
<tr>
<td>TBCPOC4200</td>
<td>Funding Policy</td>
<td>21/7/15</td>
<td>24/6/15</td>
<td>1/6/19</td>
<td>Under review</td>
</tr>
<tr>
<td>TBCPOC4050</td>
<td>Procurement Policy **</td>
<td>19/6/18</td>
<td>19/6/22</td>
<td></td>
<td>Current</td>
</tr>
<tr>
<td>TBCPOC4700</td>
<td>Prudential Management Policy</td>
<td>15/5/18</td>
<td>16/5/18</td>
<td>14/5/22</td>
<td>Current</td>
</tr>
<tr>
<td>TBCPOC4350</td>
<td>Rates Hardship Policy</td>
<td>21/6/17</td>
<td>1/3/19</td>
<td></td>
<td>Under review</td>
</tr>
<tr>
<td>TBCPOC</td>
<td>Supplementary Hardship Policy for Residential Water Service Customers</td>
<td>21/6/17</td>
<td>1/9/19</td>
<td></td>
<td>Current</td>
</tr>
<tr>
<td>TBCPOC4550</td>
<td>Rating Policy</td>
<td>21/7/15</td>
<td>24/6/15</td>
<td>1/11/18</td>
<td>Under review</td>
</tr>
<tr>
<td>TBCPOC4150</td>
<td>Treasury Management Policy</td>
<td>21/7/15</td>
<td>24/6/15</td>
<td>1/6/19</td>
<td>Under review</td>
</tr>
</tbody>
</table>

Comments:
As per 2.1.2(i) of the Audit Committee’s Terms of Reference, the accounting policies of Council together with any changes to them are to be reviewed and questioned by the Audit Committee.

** Both the process documents (which are extensive documents) for the Budget and Business Plan and Review Policy, Treasury Management Policy and the Procurement Policy are currently under review and are almost to consultation stage.

6. **South Australian Local Government Internal Audit Network (SALGIAN) - Internal Auditors**

Attended a meeting held at the City of Tea Tree Gully on the 12 February 2020.

Various topics discussed were:

- External Auditor Presentations:
  - Agile Internal Auditing
  - Risk Based Internal Auditing
  - Client Relations – Auditors and Councils
- City of Playford’s ICAC Report
Pursuant to Section 140 of the Local Government Act 1999, and in accordance with Council’s Treasury Management Policy, Council must undertake an annual performance review of its Treasury Management activities.

RECOMMENDATION
That the report on Council’s 2019 Treasury Management activities be received and noted.

The key principles within Council’s Treasury Management Policy are as follows:

Council will:

- Maintain target ranges for its Net Financial Liabilities ratio;
- Generally only borrow funds when it needs cash and not specifically for particular projects;
- Not retain and quarantine money for particular future purposes unless required by legislation or agreement with other parties;
- Apply any funds that are not immediately required to meet approved expenditure (including funds that are required to be expended for specific purposes but are not required to be kept in separate bank accounts) to reduce its level of borrowings or to defer and/or reduce the level of new borrowings that would otherwise be required.

Comments regarding the 2019 performance with regard to the above principles are outlined below:

**Net Financial Liabilities Ratio**
Council’s policy regarding its net financial liabilities is that they shall not exceed 100% of total operating revenue (adopted February 2010).

As at 30 June 2019, Council’s net financial liabilities represented 10% of total operating revenue, and it is projected to increase to 32% as at 30 June 2020 (as per Mid-year Budget Review as at 31 December 2019). Accordingly, Council is currently operating within its policy threshold.

**Loan Borrowings**
Council’s policy relative to loan borrowings states that the use of internal reserves be considered prior to consideration of external loan borrowings. The total variable borrowings for Nuriootpa Centennial Park Authority are currently $1,160,000. No new fixed debenture loans were borrowed by Council in 2019.
The use of internal cash reserves has continued to be used in funding Council’s capital works programs and has subsequently minimised the net interest cost to Council.

A summary of the fixed interest rate borrowings provided though the Local Government Finance Authority are shown below:

**Debenture Loan Summary**

<table>
<thead>
<tr>
<th>No.</th>
<th>Loan Amount</th>
<th>Interest Rate</th>
<th>Final Payment Date</th>
<th>Principal Outstanding as at 31 December 2019</th>
</tr>
</thead>
<tbody>
<tr>
<td>100</td>
<td>1,954,200</td>
<td>6.45%</td>
<td>15/03/20</td>
<td>99,417</td>
</tr>
<tr>
<td>101</td>
<td>2,500,000</td>
<td>6.24%</td>
<td>15/03/21</td>
<td>365,559</td>
</tr>
<tr>
<td>102</td>
<td>5,000,000</td>
<td>6.62%</td>
<td>16/10/21</td>
<td>979,336</td>
</tr>
<tr>
<td>103</td>
<td>100,000</td>
<td>6.80%</td>
<td>15/11/21</td>
<td>19,768</td>
</tr>
<tr>
<td>104</td>
<td>2,900,000</td>
<td>6.90%</td>
<td>15/03/22</td>
<td>708,469</td>
</tr>
<tr>
<td>105</td>
<td>7,000,000</td>
<td>7.02%</td>
<td>16/11/24</td>
<td>4,661,707</td>
</tr>
<tr>
<td>106</td>
<td>2,000,000</td>
<td>6.85%</td>
<td>15/04/26</td>
<td>1,115,106</td>
</tr>
<tr>
<td>107*</td>
<td>113,000</td>
<td>4.75%</td>
<td>16/07/22</td>
<td>39,622</td>
</tr>
<tr>
<td>108*</td>
<td>515,000</td>
<td>6.20%</td>
<td>15/01/34</td>
<td>429,045</td>
</tr>
<tr>
<td>109*</td>
<td>125,000</td>
<td>5.30%</td>
<td>15/09/29</td>
<td>93,642</td>
</tr>
<tr>
<td>112*</td>
<td>180,000</td>
<td>4.25%</td>
<td>15/12/27</td>
<td>149,788</td>
</tr>
<tr>
<td>113*</td>
<td>80,000</td>
<td>4.50%</td>
<td>15/02/28</td>
<td>70,148</td>
</tr>
<tr>
<td>114</td>
<td>1,750,000</td>
<td>3.60%</td>
<td>15/08/28</td>
<td>1,601,738</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td><strong>10,333,345</strong></td>
</tr>
</tbody>
</table>

* Loans approved by Council, provided for the Community to Clubs, Societies or Groups. The repayments to Council are on schedule for the community loans outstanding - a total principal balance at 31 December 2019 of $782,245.

A summary of the variable interest rate borrowings are shown below:

**Cash Advance Loan Summary**

(Nuriootpa Centennial Park Authority)

<table>
<thead>
<tr>
<th>No.</th>
<th>Total Facility Loan Amount</th>
<th>Current Interest Rate</th>
<th>Facility End Date</th>
<th>Principal Outstanding as at 31 December 2019</th>
</tr>
</thead>
<tbody>
<tr>
<td>CA110</td>
<td>1,000,000</td>
<td>2.70%</td>
<td>15/06/20</td>
<td>1,000,000</td>
</tr>
<tr>
<td>CA111</td>
<td>260,000</td>
<td>2.70%</td>
<td>15/03/21</td>
<td>160,000</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td><strong>1,160,000</strong></td>
</tr>
</tbody>
</table>

**Council Funded Loans**

Council has approved external loans not included in the Debenture Loan Summary table that have been paid from Council funds. Two existing loans are in place:

1) Barossa Valley Machinery Preservation Society Inc
2) Nuriootpa Centennial Park Authority (NCPA). The current adopted long term financial plan (LTFP) includes a $130k repayment in June 2020 and the loan is to be fully repaid during 2025/26. The NCPA loan repayment schedule is subject to an annual review of their LTFP, checking the operational and capital expenditure, cash flow requirements and the financial sustainability of the business. The NCPA loan is charged at the current cash advance loan interest rate. The Council Funded loan summary is shown in the following table:
Council Funded Loan Summary

<table>
<thead>
<tr>
<th>Name.</th>
<th>Total Facility Loan Amount</th>
<th>Current Interest Rate</th>
<th>Facility End Date</th>
<th>Principal Outstanding as at 31 December 2019</th>
</tr>
</thead>
<tbody>
<tr>
<td>Barossa Valley Machinery Preservation Society Inc</td>
<td>25,000</td>
<td>4.30%</td>
<td>8/11/28</td>
<td>22,940</td>
</tr>
<tr>
<td>Nuriootpa Centennial Park Authority</td>
<td>650,000</td>
<td>2.70%</td>
<td>per LTTP 2025/26</td>
<td>520,000</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>542,940</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Investments**
Council currently holds investments with National Australia Bank (NAB) and the Local Government Finance Authority (LGFA). Council’s total investments as at 31 December 2019 were:

<table>
<thead>
<tr>
<th></th>
<th>Variable Interest Rate $’000</th>
<th>Fixed $’000</th>
<th>&gt; 1 year ≤ 5 years $’000</th>
<th>&gt; 5 years $’000</th>
<th>TOTAL $’000</th>
<th>Interest Rate Range 2019</th>
</tr>
</thead>
<tbody>
<tr>
<td>LGFA</td>
<td>2,131</td>
<td>7,481</td>
<td>0</td>
<td>0</td>
<td>9,612</td>
<td>1.05% to 2.20%</td>
</tr>
<tr>
<td>NAB Investment A/c</td>
<td>5,395</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>5,395</td>
<td>1.25% to 2.00%</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>7,526</strong></td>
<td><strong>7,481</strong></td>
<td><strong>0</strong></td>
<td><strong>0</strong></td>
<td><strong>15,007</strong></td>
<td></td>
</tr>
</tbody>
</table>

The level of funds invested during the year is presented in the graph below. The graph excludes Council’s separate operating bank account which was maintained at minimum working capital levels in accordance with the Policy.
Corporate Plan
6.2 Ensure that Council's policy and process frameworks are based on principles of sound governance and meet legislative requirements.
6.3 Align operational strategy to strategic objectives and measure organisational performance to demonstrate progress towards achieving our goals.
6.16 Provide contemporary internal administrative and business support services in accordance with mandated legislative standards and good practice principles.

Legislative Requirements
Local Government Act 1999, Section 140

<table>
<thead>
<tr>
<th>Financial, Resource and Risk Management Considerations</th>
</tr>
</thead>
<tbody>
<tr>
<td>Financial</td>
</tr>
<tr>
<td>A review of investments and borrowings is required as per the Treasury Management Policy and Local Government Act</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Community Consultation</th>
</tr>
</thead>
<tbody>
<tr>
<td>No separate consultation is required under Council’s Public Consultation Policy.</td>
</tr>
</tbody>
</table>
AUDIT COMMITTEE
MANAGER FINANCIAL SERVICES
3 MARCH 2020

9.1.3
2020/21 AUDIT COMMITTEE BUDGET
B9880

PURPOSE
To consider a draft 2020/21 budget for the Audit Committee’s operations.

RECOMMENDATION:
That for the 2020/21 draft Audit Committee budget, the Audit Committee recommend Council:

(1) Include an amount for Consultants of $XXX and Training of $XXX,
(2) Consider and approves the other budgets listed in this report during the budget processes.

REPORT
The budget for 2020/21 is being prepared by completing the base budget for activities that are externally and internally required by the Audit Committee.

In the Audit Committee budget, two items that require review are Consultant and Training/Seminar expenditure.

In the past, consultants have been used to undertake reviews and compliance checks for taxation and accounting, along with purchase and implementation of the internal control tracking tool. The training budget has previously been used by independent members to attend LGA programs.

A proposed 2020/21 budget to support the operations of the Audit Committee is outlined in the following table:

Audit Committee Financial Statement as at 24 February 2020:

<table>
<thead>
<tr>
<th>496 - Audit Committee</th>
<th>February YTD Actuals</th>
<th>Budget Review 2019/20 Q2</th>
<th>Budget % YTD</th>
<th>Draft 2020/21 Budget</th>
</tr>
</thead>
<tbody>
<tr>
<td>Salaries &amp; related costs (preparation of reports/agendas, attendance at meetings - CEO, Director C&amp;CS, Manager Financial Services, Minute Secretary)</td>
<td>15,275</td>
<td>22,195</td>
<td>60%</td>
<td>22,776</td>
</tr>
<tr>
<td>Consultants (provision for sundry project work undertaken as part of Committee work plan or specifically requested by Council)</td>
<td>0</td>
<td>0</td>
<td>0%</td>
<td>0</td>
</tr>
<tr>
<td>Training / Seminar expenses</td>
<td>0</td>
<td>1,000</td>
<td>0%</td>
<td>1,000 ~</td>
</tr>
<tr>
<td>Sitting Fees (Independent Members)</td>
<td>3,205</td>
<td>5,835</td>
<td>48%</td>
<td>5,965 #</td>
</tr>
<tr>
<td>Advertising</td>
<td>0</td>
<td>700</td>
<td>93%</td>
<td>700 ~</td>
</tr>
<tr>
<td>Total 496 - Audit Committee</td>
<td>18,480</td>
<td>29,730</td>
<td>57%</td>
<td>30,441</td>
</tr>
</tbody>
</table>
* Provides for expected increase for salary costs for Enterprise Agreement. Depending on cost centre allocations, this amount may change when the budget is finalised.
~ Training and advertising expenses provide for one independent member appointment if required.
# Provides for Sitting Fees as follows: Chairperson $585 and Independent Members x 2 - $380 to attend 4 meetings each and annual report attendance at Council meeting for the Chairperson; to be considered and approved by Council – only provided for Audit Committee members' information.

**ATTACHMENTS OR OTHER SUPPORTING REFERENCES**

**Policy**
Budget & Business Plan and Review Policy

**COMMUNITY PLAN / CORPORATE PLAN / LEGISLATIVE REQUIREMENTS**

**Corporate Plan**

How We Work – Good Governance

6.4 Ensure that decisions regarding expenditure of Council’s budget are based on an assessment of whole of life costs, risks associated with the activity and advice contained within supporting plans.

6.16 Provide contemporary internal administrative and business support services in accordance with mandated legislative standards and good practice principles.

**Legislative Requirements**
Local Government (Financial Management) Regulations 2011 - Reg 9(1)(b)
LGA Information paper no. 25 – Monitoring Council Budget Performance

**FINANCIAL, RESOURCE AND RISK MANAGEMENT CONSIDERATIONS**

**Financial**
Funding to support the operations of the Audit Committee is required to ensure resources are adequate to undertake this vital role within Council and is included in the annual budget.

As part of the draft Budget 2020/21, Council has approved budget process where costs should be reviewed with actual $ required for that ongoing service provision. Selected costs are increased by indexation where agreements, contracts, EBA, licensing, arranged service charges, etc. provide for that option, along with costs outside of our control, can be increased where the service provider(s) initiate increases, ie fuel, postages.

The Independent Members - Sitting Fee is not subject to agreement or contract but should ensure Council can attract and retain qualified and experienced people and receive value for service provision. It is recommended that Council increase the fee by the CPI for Adelaide, September 2019 being 1.9% (December 2019 at 2.1%), rounded to the nearest $5. In 2019/20, the sitting fee for the Chairperson is $575 and Independent Members is $370. The proposed amount for 2020/21 financial year is $585 and $380 respectively. The Sitting Fee will be included in the draft 2020/21 budget to be considered and approved by Council.

**COMMUNITY CONSULTATION**
Public Consultation will be included as part of the draft 2020/21 Budget/Business Plan consultation and adoption process.
**PURPOSE**
As per the 2020/21 Annual Budget/Business Plan timetable endorsed by Council in January 2020, the Audit Committee needs to receive and can provide comment on the indexation and assumptions for the Annual Budget & Business Plan (AB&BP) 2020/21 and Long Term Financial Plan (LTFP) 2020/21 to 2029/30.

**RECOMMENDATION**
That the Audit Committee notes the indexation and assumptions for the Annual Budget & Business Plan 2020/21 and Long Term Financial Plan 2020/21 to 2029/30.

**REPORT**

**Overview**
The review of indexing and assumptions for the Annual Budget & Business Plan 2020/21 and Long Term Financial Plan (LTFP) 2020/21 to 2029/30 has been considered by Council at the information briefing Workshop on 27 January 2020. This process enables Council to take a long term view and ‘set the big picture’ before starting the annual budget process.

**Key Assumptions and Enhancements**
Each annual review process provides an opportunity to introduce new assumptions or enhance the information base as required, using the existing indexation and assumptions.

The main assumptions and indexation being considered during this early stage of budget preparation is the income and expenditure indexation. As included in the presentation paper, Council reviews the proposed rate increase and the indexation application to operational expenditure.

The LGPI (Local Government Price Index) is used as a base for the plan(s) and considering local needs and requirements to meet service levels, including external influences such as service contracts where fuel prices and employment costs may vary the service cost. The Local Government Price Index (LGPI) increase for 12 months to 30 September 2019 was 1.9% (noting the Adelaide CPI for the 31 December 2019 period was 2.1%).

As the cost indexation has been reducing from previous adopted Long Term Financial Plans, Council will reconsider the cost of delivering services and any changes to the level of service to ensure income or charges for the services are appropriate. The following indexation is sourced from the adopted LTFP.

**Income**
Rate increases to fund and ensure service level provision is maintained in line with revised sustainability requirements.
Both the residential and non-residential rate revenue (excluding growth) were budgeted to increase at 2.25% from 2020/21 to 2022/23, and the years following 2023/24 to 2028/29 at 2.50% per annum plus growth at 1%.

Due to the State Government waste disposal levy, a review of the service charge for 2020/21 will be required to ensure the cost recovery is currently adequate. The adopted Waste Service Rate Revenue indexation rate in the LTFP last year was budgeted to increase at:

<table>
<thead>
<tr>
<th>Year</th>
<th>Indexation Rate</th>
</tr>
</thead>
<tbody>
<tr>
<td>2020/21</td>
<td>6.50%</td>
</tr>
<tr>
<td>2021/22</td>
<td>2.10%</td>
</tr>
<tr>
<td>2022/23 to 2024/25</td>
<td>2.25%</td>
</tr>
<tr>
<td>2025/26 to 2028/29</td>
<td>2.50%</td>
</tr>
</tbody>
</table>

The adopted Community Wastewater Management Systems Service Rate Revenue (excluding growth) indexation rates in the LTFP from last year was budgeted to increase at 2.25% for 2020/21 to 2025/26 and from 2.00% to 2.25% for the remaining years. An ongoing review of the service charge is underway for requirements from ESCOSA, including the cost of Capital and Risk, along with internal review of executive, administration and governance operating costs.

Other income indexation has a base increase of 2.0%.

**Expenditure**

Operating expenditure indexation will be assessed individually for internal and external factors as follows:

- **Employee costs**: adopted LTFP indexation is at 2.25% from 2020/21 to 2022/23 and at 2.50% from 2023/24 to 2028/29. The ASU enterprise bargaining agreement approved November 2019 increases salary costs at 2.00% from 2020/21 and 2021/22.

- **Contractors and materials**: will be reviewed to meet service requirements, using the 2019/20 budget and last two previous years actual costs as a base for the 2020/21 year draft budget (the adopted LTFP for 2020/21 was at 2.10%, from 2021/22 to 2022/23 at 2.25% and from 2023/24 to 2028/29 at 2.50%);

- **Selected costs**: are increased by indexation where agreements, contracts, licensing, arranged service charges, etc provide for that option, along with costs outside of our control; these will be considered where the service provider(s) initiate increases, ie. fuel, postage;

- **Other operating costs**: have been isolated as increases to these are unique, eg. power – 2.50%, water and insurance – from 2020/21 to 2022/23 at 2.10% and from 2023/24 to 2028/29 at 2.5% plus changes to service provision, ie. increased number of services provided (eg. number of waste collection(s)) or usage (eg. water usage at parks and gardens). All indexation quoted is from the adopted LTFP, to be reviewed.

Long term plans for Capital expenditure will be reassessed, ensuring funding is allocated for renewal and replacement assets along with an allowance for new discretionary projects.

**ATTACHMENTS OR OTHER SUPPORTING REFERENCES**

Nil
Policy
Budget & Business Plan and Review Policy

COMMUNITY PLAN / CORPORATE PLAN / LEGISLATIVE REQUIREMENTS

Corporate Plan

How We Work – Good Governance

6.2 Ensure that Council’s policy and process frameworks are based on principles of sound governance and meet legislative requirements.

6.3 Align operational strategy to strategic objectives and measure organisational performance to demonstrate progress towards achieving our goals.

6.4 Ensure that decisions regarding expenditure of Council’s budget are based on an assessment of whole of life costs, risks associated with the activity and advice contained within supporting plans.

6.9 Provide access to Council’s plans, policies and processes and communicate with the community in plain English.

6.16 Provide contemporary internal administrative and business support services in accordance with mandated legislative standards and good practice principles.

Legislative Requirements
Local Government Act 1999 Section 123
Local Government (Financial Management) Regulations 2011

FINANCIAL, RESOURCE AND RISK MANAGEMENT CONSIDERATIONS

Financial
Long term financial planning is an ongoing regular process. As new information is included in the planning process, the plans are reviewed and updated.

Each annual review process provides an opportunity to introduce new assumptions or enhance the information base as required.

COMMUNITY CONSULTATION

Included as part of the draft 2020/21 Budget/Business Plan consultation and adoption process.
PAPER

9.1.5
THE BAROSSA COUNCIL QUARTER 2 - 2019/20 PERFORMANCE & ACTIVITY REPORT
20/5796
Author: Manager Executive Services

PURPOSE

RECOMMENDATION:
That the Audit Committee receives and notes The Barossa Council Quarter 2 – 2019/20 Performance & Activity Report.

REPORT
Background
Since November 2016, Council and the Audit Committee has been presented with Quarterly Performance Reports on measures adopted within the Corporate Plan.

Introduction
The Barossa Council Quarter 2 – 2019/20 Performance & Activity Report provides performance results against Corporate Plan measures as at 31 December 2019. The report also includes a suite of activity measures, providing a snapshot of activity undertaken over the quarter in the delivery of key internal and external Council services under each Community Plan Theme.

Discussion
In an effort to improve the relevance and currency of information shared within Quarterly Performance Reports, a new approach has been developed to only report on Annual Measures within Quarter 4 and 1 reports at which time provisional and final annual figures are available. This change will result in more streamlined reports at the Quarter 2 and 3 intervals where only those measures featuring quarterly data and the ongoing activity snapshots will be presented. An appendix has been added to the end of the attached report providing an overview of the total suite of performance measures and the frequency that they are reported on.

In addition to the above, as part of ongoing continuous improvement activity officers are continuing to refine counting rules and formulas for the extraction and analysis of data, which may result in the revision of previously reported results where the data has been refined or cleansed. Where this is the case, the report will include a disclaimer regarding the nature of any changes implemented and its impact on the data.

Further, where justification exists, performance targets may be amended to reflect a more realistic figure. As above, where this is the case, the report will include an explanation of the nature of and justification for any changes implemented and its impact on the data.
Summary and Conclusion
The Barossa Council Quarter 2 – 2019/20 Performance & Activity Report is presented for consideration.

ATTACHMENTS OR OTHER SUPPORTING REFERENCES

COMMUNITY PLAN / CORPORATE PLAN / LEGISLATIVE REQUIREMENTS
Community Plan

-how-we-work-good-governance

Corporate Plan
A6.3 Align operational strategy to strategic objectives and measure organisational performance to demonstrate progress towards achieving our goals.

Legislative Requirements
Nil

FINANCIAL, RESOURCE AND RISK MANAGEMENT CONSIDERATIONS
Current resources are sufficient to provide ongoing quarterly reporting.

COMMUNITY CONSULTATION
Community consultation is not required under the Act or Council’s Public Consultation Policy.
Contents

Theme 1 – Natural & Built Heritage ......................................................... 4
   Building Rules Consent Processing 4
   Measure under review due to data limitations.
   Planning Consent Processing 4
   Measure under review due to data limitations.
   Activity Snapshot 5

Theme 2 – Community & Culture............................................................. 7
   Activity Snapshot 7

Theme 3 – Infrastructure........................................................................ 9
   Activity Snapshot ................................................................................ 9

Theme 4 – Health & Wellbeing ................................................................. 11
   Waste Disposal Rate 11
   Target of < 60.8% surpassed with a total of 58% of waste disposed to landfill during the 2nd Quarter
   Recycling Rate 11
   Target of > 39.2% exceeded with 42% of waste recycled during Quarter 2
   Activity Snapshot 15

Theme 5 – Business & Employment .......................................................... 18
   Visitor Information Centre Bookings 18
   Quarter 2 revenue collected showed a continuing downturn compared to the same period in 2018/19.
Cycle Hub – Bike Hire Revenue 20
Quarter 2 Bike Hire Revenue is consistent with historical seasonal results

Activity Snapshot 21

How We Work – Good Governance 22

Customer Request Completion Rate 22
Quarter 2 target exceeded.

Customer Request Resolution Rate 23
Quarter 2 target not met

Operational Expenditure Against Budget 25
Quarter 2 target range met

Capital Expenditure Against Budget 26
Quarter 1 targeted actual spend not met and actual plus commitments fell just below the target range.

Activity Snapshot 27

Legend

Target not met
Target at risk or not improving
Heading toward target or progress acceptable
Target achieved
Measure under review
Theme 1 - Natural & Built Heritage

Building Rules Consent Processing

The percentage of Building Rules Consent Applications completed within legislative timeframe.

Measure under review due to data limitations.

Planning Consent Processing

The percentage of Planning Consent Applications completed within legislative timeframe.

Measure under review due to data limitations.

EXPLANATION

During Quarter 2, the Lodgement to Inspection Change Program Project completed significant re-configuration of Pathway in accordance with agreed business rules regarding stop the clock activities and global status and decision parameters. These changes, applied from late December, will result in reliable, comparable and accurate data to monitor ongoing performance for the remainder of 2019/20.

An analysis of preliminary data still undergoing testing indicates that Officers will shortly be able to accurately determine the ‘real’ number of active applications by excluding those on hold for reasons out of our control (ie requests for further information from the applicant, external referrals and fees outstanding) and also reliably report on the number of applications processed within statutory timeframes and those incomplete and overdue.

The above improvements have resulted from both a cleansing of system processes and workflows and also clarification of the organisation’s business rules for the assessment of applications where discretionary decision making exists.

It should be noted that planning and building application reporting will also be included in the state-wide ePlanning system from 1 July 2020 providing a consistent basis for future reporting benchmarked across the State.
Activity Snapshot

Development Applications

Development Applications Activity - Quarter 2

- **187 Development Applications Lodged**
  - 167 Approvals, 4 Withdrawals and 6 Refused

- **149 Planning Consent Applications Lodged**
  - 140 Planning Consents Approved - 13 of these being privately certified

- **168 Building Rules Consent Applications Lodged**
  - 152 Building Rules Consents Approved (90 issued by Council and 62 issued by Private Certifiers)

Applications Lodged by Quarter

<table>
<thead>
<tr>
<th>Quarter</th>
<th>2016/17</th>
<th>2017/18</th>
<th>2018/19</th>
<th>2019/20</th>
</tr>
</thead>
<tbody>
<tr>
<td>Jul-Sep</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Oct-Dec</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Jan-Mar</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Apr-Jun</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Number of Applications Approved by Type - Quarter 2

- **Sch 1A Bld Rules Consent Only**
  - 91

- **Sch 4 Complying**
  - 15

- **Sch 4 Res Code Complying**
  - 4

- **Merit**
  - 2

Applications Approved Per Development Type - Quarter 2

- Residential
- Industrial
- Commercial
- Public & Institutional

<table>
<thead>
<tr>
<th>Development Type</th>
<th>Applications Lodged</th>
</tr>
</thead>
<tbody>
<tr>
<td>91</td>
<td>15</td>
</tr>
<tr>
<td>15</td>
<td>4</td>
</tr>
<tr>
<td>4</td>
<td>2</td>
</tr>
</tbody>
</table>
Est. Value of Applications Approved Per Development Type - Quarter 2

Percentage of Building Rules Consents Granted by Private Certifiers - Quarter 2

42%

Building Rules Consent Activity

- Building Rules Consent Applications Approved
- Building Rules Consents Receive from Private Certifiers
- Total Building Rules Consent Applications
Theme 2 - Community & Culture

Activity Snapshot

Community Assistance Grants

Grants Activity - Quarter 2 Results

- 12 Applications Received
  - 1 Community Grant, 3 Youth Grants & 8 Heritage Grants
- 12 Applications Approved
  - 1 Community Grant, 3 Youth Grants & 8 Heritage Grants
- $13,700 Grant Funds Approved
  - $3,000 for Community Grants, $600 for Youth Grants & $10,100 for Heritage Grants

Value of Grant Funds Approved

Volunteer Management

Volunteer Activity - Quarter 2

- 395
  - Registered Council Volunteers as at 31 December 2019
- 5,100
  - Council Volunteer Hours
- 122
  - Flyers Provided to Prospective Volunteers
- 55
  - Visitors to Volunteer Resource Centre
- 51
  - Phone Calls to Volunteer Resource Centre
- 9
  - New Council Volunteer Inductions

Youth

Youth Activity - Quarter 2

- 9
  - Number of young people on Youth Advisory Committee
- 2
  - Youth Advisory Committee meetings held
- 110
  - Young people attended events
* The above charts do not represent Council’s full volunteering profile, with additional volunteers currently contributing to the community committees and other programs which don’t currently formally collect volunteer data.
Theme 3 - Infrastructure

Activity Snapshot

Traffic, Road & Footpath Management

Footpath Maintenance Activity - Quarter 2

- 5 Reports Relating to Trip Hazards on Footpaths compared to 2 during the same period in 2018/19
- 21 Reports Regarding Footpath Maintenance compared to 34 during the same period in 2018/19
- 3 Reports of Injuries Sustained on Footpaths compared to 2 at the same time in 2018/19

Traffic & Road Activity - Quarter 2

- 21 Requests for Street Sweeping 1 more than the same period in 2018/19
- 8 Requests for Repairs to Unsealed Roads 2 more than at the same time in 2018/19
- 6 Requests for Repairs to Sealed Roads 35 less than the same period in 2018/19
- 5 Requests for Repairs to Road Shoulders & Edges the same as Quarter 2 in 2018/19
- 21 Requests for Grading of Council Roads 3 more than the same period in 2018/19
- 18 Reports Regarding Potholes 1 more than the same period in 2018/19
- 3 Reports Regarding Township Drain Cleaning 12 less than at the same time in 2018/19

Cemetery Management

Cemetery Enquiries
Parks, Gardens & Reserves Maintenance

Requests for Parks, Gardens & Reserves Maintenance - Quarter 2

- 36 Requests for Parks, Gardens or Reserves Maintenance
  - 6 more than the same period in 2018/19

- 14 Requests for Playground Maintenance
  - 8 more than the same period in 2018/19

- 13 Reports Relating to Sprinklers or Irrigation
  - 1 more than at the same time in 2018/19

Community Facility Management

Community Facility Lease & Licensing - Quarter 2

Council Venue Hire Quarter 2

- 168 Venue Bookings
- $11,395 Hire Fees Collected
- $4,490 Hire Fees Discounted

Rex Usage - Quarter 2

- 50,206 Centre Attendances
- 0 Pool Closures
- $474,187 Centre Revenue
Theme 4 – Health & Wellbeing

Waste Disposal Rate

Percentage of waste disposed to landfill

| Target of <60.8% surpassed with a total of 58% of waste disposed to landfill during the 2nd Quarter |

RESULTS

During the second quarter for 2019/20, Council recorded a waste to landfill rate of 58%, beating the target of less than 60.8% waste to landfill.

During the second quarter, 1,180 tonnes of rubbish (landfill waste) was collected.

INTERPRETATION

A Kerbside Waste Audit was completed by KESAB Environmental Solutions in late September 2019. The Audit took place over four collection days across four townships. Individual households were not identified within the audit as all the material was collected in one truck and the contents of the truck was sorted collectively.
A total of 2,007 kg of materials were sorted to Green Industries SA specified categories over the four collection days; 1,112 kg of landfill bin contents (11.1 kg per household per week) and 895 kg from the recycling bins (9.0 kg per household per fortnight).

By weight 34% of the material in general waste bins was identified as appropriate landfill material. An additional 47% was organic material, and 9% was recyclable. The final 10% of material from the general waste bins could have been diverted through other collections systems, or should not have been disposed of into kerbside bins. The main example of this waste e-waste and light globes.

The recommendations from the Audit consistently link to education around recyclable material and the correct use of all kerbside waste streams.
Recycling Rate

Percentage of waste recycled

| Target of >39.2% exceeded with 42% of waste recycled during Quarter 2 |

RESULTS

Interpretation

Recycling statistics consist of both co-mingled recycling collected via Council’s yellow lidded bins and organic material collected via the currently voluntary green lidded bin green waste collection service.

During the second quarter for 2019/20, Council recorded a recycling rate of 42% (24% yellow lidded waste and 18% green waste), surpassing the target of greater than 39.2%.

During the second quarter, 484 tonnes of yellow lidded recycling and 378 tonnes of green waste was collected, which represents an increase in both recycling and green waste compared to the same period in 2018/19 (yellow - 450 and green - 343). Over the same period the total tonnes of rubbish has only grown marginally compared to 2018/19 resulting in the overall favorable result.

RESPONSE

A Kerbside Waste Audit was completed by KESAB Environmental Solutions in late September 2019. The Audit took place over four collection days across four townships. Individual households were not identified within the audit as all the material was collected in one truck and the contents of the truck was sorted collectively.
No organic bins were audited, however truck collections were separated between households with green organics bins and those without, to allow for comparison and to see if this had an effect on the contents of recycling or general waste bins. Streets and bins were selected by KESAB at random.

A total of 2,007 kg of materials were sorted to Green Industries SA specified categories over the four collection days; 1,112 kg of landfill bin contents (11.1 kg per household per week) and 895 kg from the recycling bins (9.0 kg per household per fortnight).

15% of the recycling bin contents were identified as contamination. Most of this was in the form of bagged material. Some of the bagged material was recyclable (e.g. 10 cent containers) however had been put into a plastic bag rather than loose.

Residents are doing a good job when it comes to recycling. This is evident based on the volume of material collected in the recycling bins and that contamination rates are on par when compared with KESAB Audit results from nine Adelaide metropolitan councils.

The recommendations from the Audit consistently link to education around recyclable material and the correct use of all kerbside waste streams.

In January 2020, Council endorsed the submission of a grant application for the Green Industries Kerbside Performance Plus Food Organics Incentives Program. The program encourages the diversion of food waste from Landfill and provides funding to assist in the implementation of food waste programs.

If the Grant application is successful, a report will be put forward to Council proposing the introduction of a Mandatory Green Organic service for all households in Townships where the optional service is currently available.
**Activity Snapshot**

**Animal Management**

Dog Management Activity

*Note – large increase in Jan-Mar 2018 was due to 66 reports relating to wasps.*

**Animal Based Customer Requests**

(Excluding Dog Management)

*Note – overall recycling rate reported on page 13 includes both recycling and green waste as recyclable materials diverted from landfill.*

**Waste Management**

Waste Activity - Quarter 2

- 1,180 tonnes of Landfill Waste
- 484 Tonnes of Recycling
- 376 Tonnes of Organic Waste
- 2,042 Total Tonnes of Waste (All Three Streams) Collected

% of Waste Per Category

- Landfill Waste
- Recycling
- Green Waste

*Note – overall recycling rate reported on page 13 includes both recycling and green waste as recyclable materials diverted from landfill.*
**Community Transport**

**Community Transport Activity - Quarter 2**

- **263 Individual Clients Provided with Car Transport**
  Equal to 87 Clients Per Month
- **1,265 One Way Client Trips**
  Equals approximately 21 Trips Per Business Day
- **219 One Way Carer Trips**
  Equal to approximately 18 Carer Trips Per Week
- **445 Car Trips**
  Equal to approximately 37 Trips Per Week
- **68,353 Kilometers Travelled**
  Equivalent to 1.7 Laps of the Earth
- **418 Shopping Bus Client Trips**
  Delivered over 24 Occasions.

**Home Assist & Social Support**

**Quarter 2 Activity**

- **1,733 Total Hours of Support**
- **395 Clients Assisted**
- **903 Domestic Assistance Hours**
- **987 Home Maintenance Hours**
- **50 Shopping & Individual Social Support Hours**
- **865 Men's Shed Hours**

**Tree Management**

**Quarter 2 Results**

- **83 Tree Inspections Requested**
  compared to 99 during the same period in 2018/19
- **66 Reports Relating to Fallen Trees & Limbs**
  compared to 55 during the same period in 2018/19

**Tree Management Activity**
Parking Complaints

Private Pool Inspections

Waste Water

Quarter 2 Result

Health Services

Quarter 2 Result

Fire Safety

Fire Safety - Quarter 2 Activity
Visitor Information Centre Bookings

Booking Revenue (Accommodation/Tours/Tickets)

Quarter 2 revenue collected showed a continuing downturn compared to the same period in 2018/19.

RESULTS

Visitor Information Centre Booking Revenue for Accommodation/Tickets & Tours

INTERPRETATION

Total booking revenue for the second quarter equaled $81,574.

Overall a number of external factors continue to impact booking sales performance. These include strong and aggressive competition for our booking site from Air BnB, Bookings.com, wotif, Expedia, stayz, Trip Advisor etc. Many of these international companies spend billions of dollars in google advertising and digital marketing to ensure their websites are within the top 3 search results. Barossa.com has in fact seen an overall decline in visitation as a result. The Tourism Services team are currently working with key regional stakeholders on a redevelopment of the Barossa.com to improve overall website performance, usability and booking functionality – particularly on mobile devices. The new Barossa.com website has been delayed and is now due to be completed in March 2020.

Whilst booking revenue has continued to decrease, Quarter 2 saw a significant increase in visitation to the visitor centre following the opening of the new Centre. A total of 15,180
visitors were recorded at the Centre during the period, which far exceeds quarterly results over the past two years which never exceeded 10,800. Barossa Made Shop sales have also significantly increased from $27,109 in the same quarter of previous year to $39,305.

**RESPONSE**

No response required.
Cycle Hub - Bike Hire Revenue

Sales Revenue

Quarter 2 Bike Hire Revenue is consistent with historical seasonal results

RESULTS

Cycle Hub - Bike Hire Revenue

INTERPRETATION

During Quarter 2 the Cycle Hub recorded $8,280 in bike hire revenue, which is consistent with revenue collected during the same period in 2018/19 ($8,138).

Over the second quarter, 216 bikes were hired.

In addition to the revenue being generated by this initiative, Council’s ongoing investment and service delivery in cycling creates strong destination awareness of the Barossa leading to greater visitor yield and length of stay.

RESPONSE

No response required.
Activity Snapshot

Visitor Information
Centre & Cycle Hub

Cycle Hub & Visitor Information Centre Activity - Quarter 2

- 16,373 Total Visitor Enquiries
- 15,180 Face to Face Enquiries at the Barossa Visitor Information Centre
- 5,311 Interstate Visitors
- 3,823 Intrastate Visitors
- 3,528 International Visitors
- 375 Tour, Accommodation, Ticket & Sealink Bookings
- 1,313 Merchandise Sales Transactions
- 216 Bikes Hired
- 366 Cycle Hub - Bike Enquiries

Visitor Origin - Domestic - Quarter 2

Visitor Origin - International - Quarter 2

Value of Visitor Information Centre Sales - Quarter 2

- Merchandise
- Tours
- Accommodation
- Events
- Sealink
How We Work – Good Governance

Customer Request Completion Rate

Percentage of Customer Requests Completed (On Time and Overdue)

RESULTS

Quarter 2 target exceeded.

INTERPRETATION

The second Quarter for 2019/20 saw a 103.78% request completion rate, exceeding the target of 85%. This measure is calculated using the number of requests completed year to date (regardless of when they were logged or due) versus the number of requests due for the same period. As a result, it is possible for the number of requests completed during the period to exceed the number logged.

RESPONSE

Council is continuing to focus on the improvement of customer request response times, particularly in relation to administrative process optimisation within the customer service supply chain via the Customer Service Reboot Project. The Project includes a full review of customer request configuration, roles and responsibilities within the lifecycle of a request, arrangements for updating Customers and closing the loop on the status of request and broadening of mobility options for both staff and customer's in responding to and tracking requests.
Customer Request Resolution Rate

Percentage of Customer Requests Resolved on Time

| Quarter 2 target not met |

RESULTS

Customer Request Resolution Rate

INTERPRETATION

The targeted resolution rate was again not met during Quarter 2, with 72.83% of requests completed by the nominated due date.

As reported in the previous quarter, despite the notable improvements being seen over the past 12 months in the resolution rate as a result of efforts under the Change Program to improve processes and systems within the customer request lifecycle, Officers understand there are still a number of factors affecting the integrity of data used to calculate this measure. The counting rules and scope of data currently in place are very broad, bringing all request types within the calculation. However, a number of request types are not customer initiated, instead being entered into the request system by Officers to drive and monitor internal work processes. This is having a significant effect on the resolution rate where the timeframes for internal request completion are not necessarily aligned to agreed service levels for customer facing requests.
As identified in the previous measure, key strategic projects currently being implemented to address customer request close out issues, to identify system and administrative process improvements and the review of customer service methodologies more broadly, and the implementation of Pathway Smart Mobile applications will result in continued progress towards achieving the nominated target.

New Customer Request entry and status communication functionality will also be introduced during the third Quarter with the implementation of improved online services via Council’s website. It is anticipated that this functionality, along with increased capacity to close out requests in the field, more accurate customer request data and clarification of roles and responsibilities will result in an improved customer experience.

In addition to this broader project work, Officers are working to refine the counting rules for this measure to ensure that it reflects true performance in relation to the close out of Customer initiated requests. Further, work will continue to align the configuration of requests within Council’s Customer Request Management System with approved service levels ensuring that the timeframes to respond are accurate and measurable.
Operational Expenditure Against Budget

Actual Operating Expenditure as a % of Budgeted Operating Expenditure

RESULTS

Quarter 2 target range met

INTERPRETATION

As at 31 December 2019, 90.17% ($17,696K) of the quarterly operational budget had been spent, with performance falling within the target range.

RESPONSE

No response required.
**Capital Expenditure Against Budget**

Actual Capital Expenditure as a percentage of Budgeted Capital Expenditure

Quarter 1 targeted actual spend not met and actual plus commitments fell just below the target range.

---

**RESULTS**

**INTERPRETATION**

As at 31 December 2019, 17.9% ($4,644K) of the $25,997K capital budget had been spent, with actual spend falling short of the target range. An analysis of actual spend plus commitments (where a purchase order has been released but payment not made) shows a result of $10,606K or 41% which is just below the target range.

**RESPONSE**

Performance will continue to improve as capital projects are delivering during Q3 such as completing the road re-sheet program that was put on hold during January as operations staff were committed to significant community events. Q2 capital budget adjustments are yet to be adopted, this will also improve performance as the budget will be adjusted down when significant funds are carried forward to FY20/21 from project savings and Barossa Trail provisions.
Activity Snapshot

Rate Management

Rate Activity - Quarter 2

- 12,916 Number of Rateable Properties
- $5,259,788,454 Value of Rateable Properties
- 0.44% Rate Enquiry & Adjustment Request Rate

Searches Completed on Time

- 97.57% Searches Completed On Time

Search Process Turnaround Time

- Average Turnaround Time = 2 Days

Customer Requests

Customer Request Activity

Local Government Records Searches

Local Government Search Requests Vs Completions

- 2017/18
- 2018/19
- 2019/20
Procurement Activity as at 31 December 2019

Knowledge & Technology Services - Quarter 2

- 1,186 Helpdesk Requests Logged
- 1,113 Helpdesk Requests Resolved
- 141 Outstanding Requests as at 31 December 2019
- 43,307 Documents registered in Council’s Record Management System by all staff
- 2,280 Documents registered in Council’s Record Management System by Records Staff

Help Desk Resolution Rate - Quarter 2

- 78% of Requests Resolved

Human Resources & Payroll

Workforce Demographics

- 159 Total Headcount
- 98 Females
- 71 Males

HR Activity - Quarter 2

- 13 Positions Vacant
- 9 New Starters
- 11 Inductions Completed
- 4 Probation Periods Completed
- 6 Staff Exits

Council Decision Making

Council Decisions - Quarter 2

- 91 Decisions made at Council meetings
- 7.69% Decisions made at meetings closed to the public

Elected Member Attendance - Quarter 2

- 97.22% Elected Member Council Meeting Attendance Rate
Communications & Engagement

Communications & Engagement Activity - Quarter 2

- 8 Community Responses Received for Consultation
- 2,507 Facebook Followers
  130 Posts and 1,049 Facebook followers clicked through to Council's website
- 237 E-News Subscribers
  338 E-News Opens & Reads
- 34,218 Website Visits
  Accessed 17,581 times from desktop devices and 16,637 times from mobile devices
- 18 Media Releases Prepared
  15 News Items Published
- 3 Videos Developed
  1,046 Views of Video Content and an overall Video Reach of 1,573

Risk Management

Risk Management Activity - Quarter 2

- 34
  Active Corrective and Preventative Action Items in Council's Risk Register - 11 new items added in Quarter 2
- 1
  Hazard/Near Miss Reports Submitted
- 13
  WHS Incidents Reported
- 10
  Incidents Involving Property or Equipment
- 4
  Mutual Liability Claims Made Against Council - Zero Successful
Appendix 1 - Measure Reporting Frequency

**Theme 1 - Natural & Built Heritage**
Building Rules Consent Processing - Quarterly
Planning Consent Processing - Quarterly

**Theme 2 - Community & Culture**
Library Visits - Annual

**Theme 3 - Infrastructure**
Asset Sustainability - Annual
Asset Spending Ratio - Annual

**Theme 4 - Health & Wellbeing**
Waste Disposal Rate - Quarterly
Recycling Rate - Quarterly

**Theme 5 - Business & Employment**
Tourism Customer Satisfaction with Visitor Information Services - Quarterly
Visitor Information Centre Booking - Quarterly
Cycle Hub - Bike Hire Revenue - Quarterly

**How We Work - Good Governance**
Operating Surplus/(Deficit) Ratio - Annual
Net Financial Liabilities Ratio - Annual
Customer Request Completion Rate - Quarterly
Customer Request Resolution Rate - Quarterly
Operational Expenditure Against Budget - Quarterly
Capital Expenditure Against Budget - Quarterly
Organisational Culture Improvement - Biennial
Staff Development - Training - Annual
Staff Development - Performance Partnering - Annual
Staff Retention - Annual
9.1.6 UPDATE – RISK MANAGEMENT PROGRAMS AND PROJECTS
B7531
Author: Risk Advisor

PURPOSE
To present a report on the progress of Risk Management programs and projects.

RECOMMENDATION
That the Audit Committee receives and notes report 9.1.2 Update – Risk Management Programs and Projects.

REPORT
Risk Management Quarterly Report
Council’s Risk Management Quarterly Report for Quarter 2 - 2019/2020, provided to the Corporate Management Team (CMT) for consideration at its weekly meeting of 5 February 2020. The Report is provided in Attachment 1 for the Audit Committee to review.

Local Government Association Mutual Liability Scheme (LGAMLS)
No new claims submitted to the LGAMLS between 9 December 2019 and 25 February 2020, the following potential claims were submitted to Council; these have either been rejected by Council under the Civil Liability or Local Government Acts or no formal submission has been received:

Mutual Liability Claims:
1. Damaged Fence, blown over in storm event, property bounds on a stormwater reserve. Director has communicated with property owner and rejected claim.
2. Fall Injury – 10 February 2020 – Angaston, member of public tripped over raised section of concrete footpath. Works department attended site and painted raised section to highlight hazard, CRM entered to grind concrete back to level with rest of path. Risk Advisor discussed potential claim with injured person and explained Council’s indemnity under the Civil Liability Act. No claim has been received to date
3. Fall Injury – 24 February 2020 – Mt Pleasant – member of public tripped over raised paver, Works department have inspected areas as described by caller and not been able to identify hazard; an e-mail has been sent to the caller asking for clarification. Caller informed by Customer Support if they wish to make a claim to submit details to Council in writing. No claim received to date

Risk Management Activities
• 2019/2020 KPI Action plan developed and approved by Local Government Risk Services.
• Drug and Alcohol Management Policy and Process – Lots of feedback received during consultation period, redrafting to take feedback into account. Due to extensive consultation this may not meet the 30 March 2020 planned completion date.
• Smarter Ways of Working Safely Project
  o Project team have agreed the scope of the project work is complete and Risk can now manage the remaining tasks as par part of usual activities.
  o Hazard Management Policy and Process – review drafted ready for Consultation, current drafted versions take into consideration future use of Skytrust as a hazard management tool.
o Duplicate vehicle inspection books developed, printed, distributed and training provided for operational vehicles. Provides clarity to operators on what has been reported previously.

o Skytrust - Organisational structure, security and user access requirements configuration to allow development of workflows/system setup for electronic submission of hazard and incident reports, WHS inspections and corrective and preventative action monitoring.

o Skytrust - Development of Asbestos and workplace safety inspections, contractor inductions and performance monitoring tools

- Risk Management Policy and Process - Draft review will be ready for consultation with organisation in March 2020.
- Emergency Management
  - Operational Staff called on to provide support emergency services during recent community emergencies within Council area and in neighbouring Councils.
    - Debriefings conducted with those involved, additional risk assessments to be conducted and actions developed
    - Emergency “Go Kits” prepared for workers and supervisors
  - Zone Emergency Management Committee
    - 4 February 2020.

**ATTACHMENTS OR OTHER SUPPORTING REFERENCES**

Risk Management Quarterly Report – Qtr 2, 1 October 2019 to 31 December 2020

**COMMUNITY PLAN / CORPORATE PLAN / LEGISLATIVE REQUIREMENTS**

**Corporate Plan**

How We Work – Good Governance

6.2 Ensure that Council’s policy and process frameworks are based on principles of sound governance and meet legislative requirements.

6.3 Align operational strategy to strategic objectives and measure organisational performance to demonstrate progress towards achieving our goals.

**Legislative Requirements**

- Local Government Act 1999
- Work Health Safety Act 2012

**FINANCIAL, RESOURCE AND RISK MANAGEMENT CONSIDERATIONS**

Addressed within the Report.

**COMMUNITY CONSULTATION**

Not required under legislation or Council’s Public Consultation Policy.
QUARTERLY RISK MANAGEMENT REPORT
Quarter 2 - 2019/2020
Contents

Risk Management / Risk Plan .................................................................3
Strategic and Operational Risk Registers .............................................4
LGRS (LGA MLS/WCS/AMF) .................................................................4
WHS Committee ..................................................................................5
Workplace Emergency Management ......................................................5
Community Emergency Management ....................................................6
Risk/WHS Incidents .............................................................................7
Corrective and Preventative Actions ......................................................8
Training and Induction .........................................................................9
Workplace Inspection Schedule ...........................................................10
Legislative Changes .............................................................................11

Legend

 Target not met
 Target at risk or not improving
 Heading toward target or progress acceptable
 Target achieved
 Parked/Not Applicable (N/A) this quarter
Quarterly Risk Management Report

The following report has been developed to assist Council’s Corporate Management Team (CMT) in monitoring and reviewing their Risk, Work Health Safety and Injury Management (Return to Work) duties. It is comprised of Risk/WHS monitoring information, current WHS Plan actions, and insurance data.

Risk Management / Risk Plan

RESULTS/INTERPRETATION

The Barossa Council Key Performance Indicator (KPI) Action Plans (WHS/IR & Risk) for October 2019 to September 2020 were endorsed by CMT on 15 January 2020, and presented to the Regional Risk Coordinator (from LGRS) on 17 January 2020 for review. The plans have been forwarded to LGRS for approval.

The WHS/IR KPI Action Plan contains 38 actions covering the following topics:

- Drug and Alcohol Management Policy & Process
- Hazard Management for Chemicals and Plant
- Vehicle inspection process
- Hazard and Incident Reporting
- WHS Inspections
- Contractor Management
- WHS Training
- Workplace Emergency Management

The Risk KPI Action Plan contains seven actions covering the following topics:

- Enterprise Level Risk Management
- Section 221 Permits
- Works and Maintenance
- Workplace and Community Emergency Management

Quarter two actions.

Five actions were identified for completion in the second quarter, all five actions were completed as per scheduled milestones. The Barossa Council Key Performance Indicator (KPI) Action Plans (WHS/IR & Risk) can be accessed here.

Target achieved

RESPONSE

No response required
Strategic and Operational Risk Registers

RESULTS/INTERPRETATION

The CEO Martin McCarthy gave a presentation on the Strategic and Operational Risk registers to the Audit Committee on 16 December 2019.

Heading toward target or progress acceptable

RESPONSE

No response required.

LGRS (LGA MLS/ WCS/ AMF)

RESULTS/INTERPRETATION

Liability claim from October 2011 - the Claimant was injured while riding a bicycle on the Angaston bike track at the Stockwell Road intersection.

The claimant was granted an extension on his claim submission (usually only have until 21 years of age to claim). The litigation continues with a Directions Hearing scheduled for 3 February 2020. Wallmans Lawyers are representing on behalf of the Mutual Liability Scheme and The Barossa Council. A request for additional information was received 21 January 2020, a response has been provided.

Public Sector Construction Facility

A short presentation followed by a Q&A in regards to the merits of the Public Sector Construction Facility was provided on 23 January 2020. The information was presented to directors and a follow up session with project managers will be arranged if required.

Claims History

Please refer to Appendix A for graphical analysis of insurance claims

Heading toward target or progress acceptable

RESPONSE

Consideration is being given to the inclusion of itemised products and works liability insurance costs within tender and quote templates to provide an understanding of the cost of insuring construction works via the contractor versus the Public sector Construction Facility, noting the contractor will always be required to hold Public Liability insurance.
WHS Committee

RESULTS/INTERPRETATION

Following a detailed review, significant re-write and broad consultation, updated WHS Committee Terms of Reference were approved at the December 2019 WHS Committee Meeting.

When the WHS Committee was restructured in 2018 it was agreed that a review of the structure would be conducted after 12 months. Both the DES/ES & CCS sub-committees conducted a functionality review as a result they have now amalgamated as a single sub-committee.

There is now a clear line of escalation from the sub-committees to and from the Organisational WHS Committee and OMG. Actions the Organisational WHS Committee cannot implement are raised with OMG and a summary of the minutes from the WHS meetings is presented to OMG for information and action; where appropriate.

While still new this arrangement appears to be working well and is assisting OMG level management in communication and consultation of WHS Matters.

RESPONSE

No response required.

Workplace Emergency Management

RESULTS/INTERPRETATION

Emergency Planning Committee (EPC)
- Meeting held 22 November
- Process chart for worker response when the emergency alarm sounds developed and distributed to office staff by Chief Warden
- Nuriootpa office evacuation exercise planned
  - Exercise postponed due to extreme weather
- Barossa Bushgardens evacuation exercise held 17 December 2019
  - Deficiencies identified
    - Megaphone required – supplied
    - Duress Alarm – test of functional distance from base
  - Follow up exercise to be held in 3rd Quarter
- When new worker is on board
- On a high volunteer attendance day
- Test communications
  - Mega phone and UHF radio
- Test Personal Emergency Evacuation Plans (PEEPs)

**Heading toward target or progress acceptable**

**RESPONSE**

No response required

**Community Emergency Management**

**RESULTS/INTERPRETATION**

**Zone Emergency Management Committee (ZEMC)**
- 3 December 2019 – Joint Yorke, Mid North & Barossa ZEMC Meeting held at Clare
  - Attended by Risk Advisor and Director of Works and Engineering
- Next scheduled meeting is 4 February 2020

Council provided emergency services operational support
- 20 November 2019 – Angaston Grass fire
- 20 December 2019 – Hillier
- 21 – 29 December 2019 – Cudlee Creek

Training and preparedness
- i-Responda Bushfire and Bushfire – Plant provided in accordance with the TNA in November
- “Go Bags” prepared for supervisors and workers providing emergency services operational support, included on first aid kit inspection schedule; bags contain:
  - Full body fire blankets
  - Water bottles
  - Battery powered radio with spare batteries
  - LED torch
  - Phone charger packs
  - Small first aid kits
  - ’Take 5‘ risk assessment booklets
  - Protective gloves
  - Protective Eye Wear
  - Hard Hat with broad rim and replacement sweat bands
  - P2 respirators
  - Cotton hi-vis vests
  - Note pad and clipboard
  - Folder with operational information
**Heading toward target or progress acceptable**

**RESPONSE**

No response required

**Risk/ WHS Incidents**

**RESULTS**

<table>
<thead>
<tr>
<th>Type</th>
<th>CCS</th>
<th>DES</th>
<th>ES</th>
<th>WES</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Hazards</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Near Misses</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>2</td>
<td>2</td>
</tr>
<tr>
<td>*WHS Incidents</td>
<td>7</td>
<td>5</td>
<td>1</td>
<td>10</td>
<td>16</td>
</tr>
<tr>
<td>Property / Equipment Damage</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>9</td>
<td>11</td>
</tr>
<tr>
<td>Total of Incidents for this Quarter</td>
<td>8</td>
<td>5</td>
<td>2</td>
<td>21</td>
<td>29</td>
</tr>
</tbody>
</table>

*WHS Incidents

<table>
<thead>
<tr>
<th>Type</th>
<th>CCS</th>
<th>DES</th>
<th>ES</th>
<th>WES</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Business Process</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Environmental Impact</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>ICT</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Member of Public</td>
<td>2</td>
<td>2</td>
<td>0</td>
<td>0</td>
<td>2</td>
</tr>
<tr>
<td>Motor Vehicle</td>
<td>1</td>
<td>1</td>
<td>0</td>
<td>3</td>
<td>4</td>
</tr>
<tr>
<td>Non-work related</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Occupational illness / disease</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Other</td>
<td>1</td>
<td>1</td>
<td>0</td>
<td>2</td>
<td>3</td>
</tr>
<tr>
<td>Personal Injury</td>
<td>2</td>
<td>0</td>
<td>1</td>
<td>2</td>
<td>5</td>
</tr>
<tr>
<td>Personal Injury (Report Only)</td>
<td>0</td>
<td>1</td>
<td>0</td>
<td>1</td>
<td>3</td>
</tr>
<tr>
<td>Pre-existing medical condition</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>1</td>
</tr>
<tr>
<td>Total WHS Incident</td>
<td>7</td>
<td>5</td>
<td>0</td>
<td>10</td>
<td>16</td>
</tr>
</tbody>
</table>
**RESULTS/INTERPRETATION**

Nil significant incidents in this quarter

Heating toward target or progress acceptable

**RESPONSE**

No response required.

**Corrective and Preventative Actions**

**RESULTS/INTERPRETATION**

<table>
<thead>
<tr>
<th>Corrective And Preventative Actions (CAPAs)</th>
<th>Corporate &amp; Community Services</th>
<th>Development &amp; Environmental Services</th>
<th>Executive Services</th>
<th>Works &amp; Engineering Services</th>
</tr>
</thead>
<tbody>
<tr>
<td>Risk Rating</td>
<td>New</td>
<td>Closed</td>
<td>Active</td>
<td>New</td>
</tr>
<tr>
<td>Extreme</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>High</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td>Moderate</td>
<td>1</td>
<td>1</td>
<td>5</td>
<td>7</td>
</tr>
<tr>
<td>Low</td>
<td>1</td>
<td>1</td>
<td>5</td>
<td>7</td>
</tr>
<tr>
<td>Total</td>
<td>11</td>
<td>1</td>
<td>5</td>
<td>7</td>
</tr>
</tbody>
</table>

11 New CAPA item entered  
13 CAPA items closed  
36 CAPA entries remain Active

Heating toward target or progress acceptable

**RESPONSE**

Active Extreme Risk rated CAPA:

OMG was actioned with the task of clearing all outstanding CAPA items and reminded via email with links to the CAPA register. To assist in this process, Risk sent follow up emails in late January 2020 to each responsible person with an excerpt of the outstanding actions, requesting an email response with an update on the status of the CAPA. Once received, Risk will update the CAPA register. A review of the actions indicates a number of the actions are complete however the register has not been updated to close out the action by the owner of the action.
Training and Induction

RESULTS/INTERPRETATION

<table>
<thead>
<tr>
<th>Course</th>
<th>Date</th>
<th>Attendance No.</th>
<th>HPE Ref</th>
</tr>
</thead>
<tbody>
<tr>
<td>Inspect and clean machinery for plant animal and soil material (TAFE SA)</td>
<td>21/10/19</td>
<td>28</td>
<td>19/64546</td>
</tr>
<tr>
<td>i-Responda Bushfire</td>
<td>7/11/19</td>
<td>25</td>
<td>19/42060</td>
</tr>
<tr>
<td>i-Responda Bushfire - Plant</td>
<td></td>
<td>15</td>
<td>19/42062</td>
</tr>
<tr>
<td>Emergency Planning Committee Training</td>
<td>11/11/19</td>
<td>3</td>
<td>19/67017</td>
</tr>
<tr>
<td>Warden Training</td>
<td>11/11/19</td>
<td>5</td>
<td>19/67019</td>
</tr>
<tr>
<td>Chief Warden Training</td>
<td></td>
<td>1</td>
<td>19/67022</td>
</tr>
<tr>
<td>ChemAlert - Fundamentals</td>
<td>13/11/19</td>
<td>5</td>
<td>19/67462</td>
</tr>
<tr>
<td>ChemAlert - Hazardous Chemical Risk Assessments</td>
<td></td>
<td>10</td>
<td>19/67464</td>
</tr>
<tr>
<td>Mandatory - Public Interest Disclosure Awareness Training – Online via Skytrust</td>
<td>Initial request 04/12/19</td>
<td>58% completion as at 25/02/2020</td>
<td>Records maintained in Employee Containers</td>
</tr>
<tr>
<td>KiikStart Training Library Staff</td>
<td>5/12/19</td>
<td>8</td>
<td>19/72267</td>
</tr>
<tr>
<td></td>
<td>6/12/19</td>
<td>5</td>
<td>19/72264</td>
</tr>
<tr>
<td>Emergency Control Organisation</td>
<td>19/12/19</td>
<td>7</td>
<td></td>
</tr>
<tr>
<td>Equal Opportunity, Diversity and inclusion</td>
<td>18/12/19</td>
<td>8</td>
<td></td>
</tr>
</tbody>
</table>

RESULTS/INTERPRETATION

Heading toward target or progress acceptable

RESPONSE

No response required.
## Workplace Inspection Schedule

<table>
<thead>
<tr>
<th>ITEM</th>
<th>Frequency</th>
<th>2019</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Oct</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Wk1</td>
</tr>
<tr>
<td></td>
<td>Weekly, Monthly, 3M, 6M, 12M</td>
<td></td>
</tr>
</tbody>
</table>

### ITEMS COMPLETED IN GREEN

- Nuriootpa Office 6M
- Bushgardens - Nuriootpa 6M
- Dog Pound - Nuriootpa 6M
- Barossa Regional Gallery - Tanunda 6M
- Library - Angaston 6M
- Library - Mt Pleasant 6M
- Library - Lyndoch 6M
- Springton Transfer Station & Quarry 6M
- Library - Nuriootpa 6M
- Men’s Shed - Tanunda 6M
- Altona Landcare Trail 12M

### WILLIAMSTOWN

- Williamstown Waste Water Treatment Plant 12M
- Little Adams - Pump Station 12M
- Williamstown - Wild Street Pump Station 12M
- Williamstown - South Terrace Pump Station 12M
- Williamstown - Yettie Road Pump Station 12M
- Williamstown - Caravan Park 12M

### MT PLEASANT

- Mt Pleasant Williamstown Rd Pump Station 12m
- Mt Pleasant Waste Water Treatment Plant 12M
- Springton Waste Water Treatment Plant 12m
- Springton Redford Rd Pump Station 12m
- Springton William Street Pump Station 12M
- Stockwell Sturt Highway Waste Water Treatment Plant 12M

### Parks/Halls/Men’s Shed

- Williamstown Queen Victoria Jubilee Park, Williamstown 12M
- Angas Recreation Park, Angaston 12M


### RESULTS/INTERPRETATION

**Target achieved**

**RESPONSE**

100% complete.

No response required

## Legislative Changes

### Traffic Management

Austroads have released a series of standards in conjunction with the Australian Standard 1742 Series, in response SA Standards have release version 5 of the Workzone Traffic Management Guide this guide refers to AS1742.3. Correspondence from DPTI indicated that AS1742.3 is now obsolete. Risk is seeking clarification from DPTI, TAFE and the LGA due to this conflicting information.

### RESULTS/INTERPRETATION

Risk is seeking clarification from DPTI, TAFE and the LGA due to the conflicting information.
Heading toward target or progress acceptable

RESPONSE

No response required.
Appendix 1

Insurance Claim Graphical Analysis
2018/2019 Financial Year Insurance Claims:

The Barossa Council Dashboard – 19/20 Financial Year to date

Class of Business % of Claims

- Motor: 50%
- Liability: 30%
- Personal Injury: 8%
- Property: 4%

Class of Business % of Paid

- Motor: 40%
- Liability: 20%
- Personal Injury: 10%
- Property: 10%
- Liability: 2%

Total Paid

- Jul-19: $X
- Aug-19: $Y
- Sep-19: $Z
- Oct-19: $A
- Nov-19: $B
- Dec-19: $C

Total Number of Claims - Open & Closed

- Jul-19: Open: $D, Closed: $E
- Aug-19: Open: $F, Closed: $G
- Sep-19: Open: $H, Closed: $I
- Oct-19: Open: $J, Closed: $K
- Nov-19: Open: $L, Closed: $M
- Dec-19: Open: $N, Closed: $O
Injury by Body Location – 19/20 Financial Year to date

Total Claims: 2
Total Paid: $1,581
Average Paid: $1,662
Workers Compensation - Claims Count 2- Net Paid $3,363 - Financial Year to Date

Costs are relevant to injuries that occurred in the month, not when the cost was incurred. All open claims will continue to accumulate costs.
Blue represents The Barossa Council, Red represents the average of similar sized councils.
Motor Claims - Claim Count 12 - Net Paid $10,655 - Financial Year to Date
Motor Claims – Claim Count 12 – By Cause - Financial Year to Date

Blue represents The Barossa Council, Red represents the average of similar sized councils
## Property Claims - Claim Count 1 - Net paid $2,235 - Financial Year to Date

### Filters
- **Member Class of Business**: The Barossa Council
- **Year**: 2020
- **Month**: Aug

### Summary of Claims

<table>
<thead>
<tr>
<th>Over Time - Number &amp; Paid</th>
<th>Number of Claims</th>
<th>Paid</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>2,000</td>
<td>-</td>
</tr>
<tr>
<td></td>
<td>2,400</td>
<td>-</td>
</tr>
<tr>
<td></td>
<td>- 2,200</td>
<td>- 2,200</td>
</tr>
<tr>
<td></td>
<td>- 1,300</td>
<td>- 1,300</td>
</tr>
<tr>
<td></td>
<td>- 1,600</td>
<td>- 1,600</td>
</tr>
<tr>
<td></td>
<td>- 1,400</td>
<td>- 1,400</td>
</tr>
<tr>
<td></td>
<td>- 1,000</td>
<td>- 1,000</td>
</tr>
<tr>
<td></td>
<td>- 800</td>
<td>- 800</td>
</tr>
<tr>
<td></td>
<td>- 900</td>
<td>- 900</td>
</tr>
<tr>
<td></td>
<td>- 400</td>
<td>- 400</td>
</tr>
<tr>
<td></td>
<td>- 300</td>
<td>- 300</td>
</tr>
</tbody>
</table>

### Over Time - Number & Paid

- **Aug 19**: 1 claim
  - Net paid: $2,235

---

*The Barossa Council*
Property Claims - Claim Count 1 - By Cause Comparison - Financial Year to Date

Blue represents The Barossa Council, Red represents the average of similar sized councils.
**Mutual Liability Scheme – Claim Count 7 - Net paid inclusive of costs incurred $0 - Financial Year to Date**

**Quarter Two Claim**

- 1 x Damage caused because of a tree - denied
### Mutual Liability Scheme - Claim Count 7 - By Cause Comparison - Financial Year to Date

Blue represents The Barossa Council, Red represents the average of similar sized councils.

<table>
<thead>
<tr>
<th>Cause</th>
<th>Number of Claims for Member</th>
<th>Number of Claims for All Members</th>
</tr>
</thead>
<tbody>
<tr>
<td>Act/Decision by Contractor</td>
<td>0</td>
<td>3</td>
</tr>
<tr>
<td>Tree Branch/Debris</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Maintenance/Repairs</td>
<td>0</td>
<td>2</td>
</tr>
<tr>
<td>Uneven Surface</td>
<td>0</td>
<td>1</td>
</tr>
<tr>
<td>Admin Procedures</td>
<td>0</td>
<td>1</td>
</tr>
<tr>
<td>Failure to Supervise</td>
<td>0</td>
<td>1</td>
</tr>
<tr>
<td>Playground Equipment</td>
<td>0</td>
<td></td>
</tr>
<tr>
<td>Insufficient or Incorrect Barrier/Loggs</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Planning/Building Approvals</td>
<td>0</td>
<td></td>
</tr>
<tr>
<td>Chemical Spill/Spill</td>
<td>0</td>
<td></td>
</tr>
</tbody>
</table>

Blue represents The Barossa Council, Red represents the average of similar sized councils.