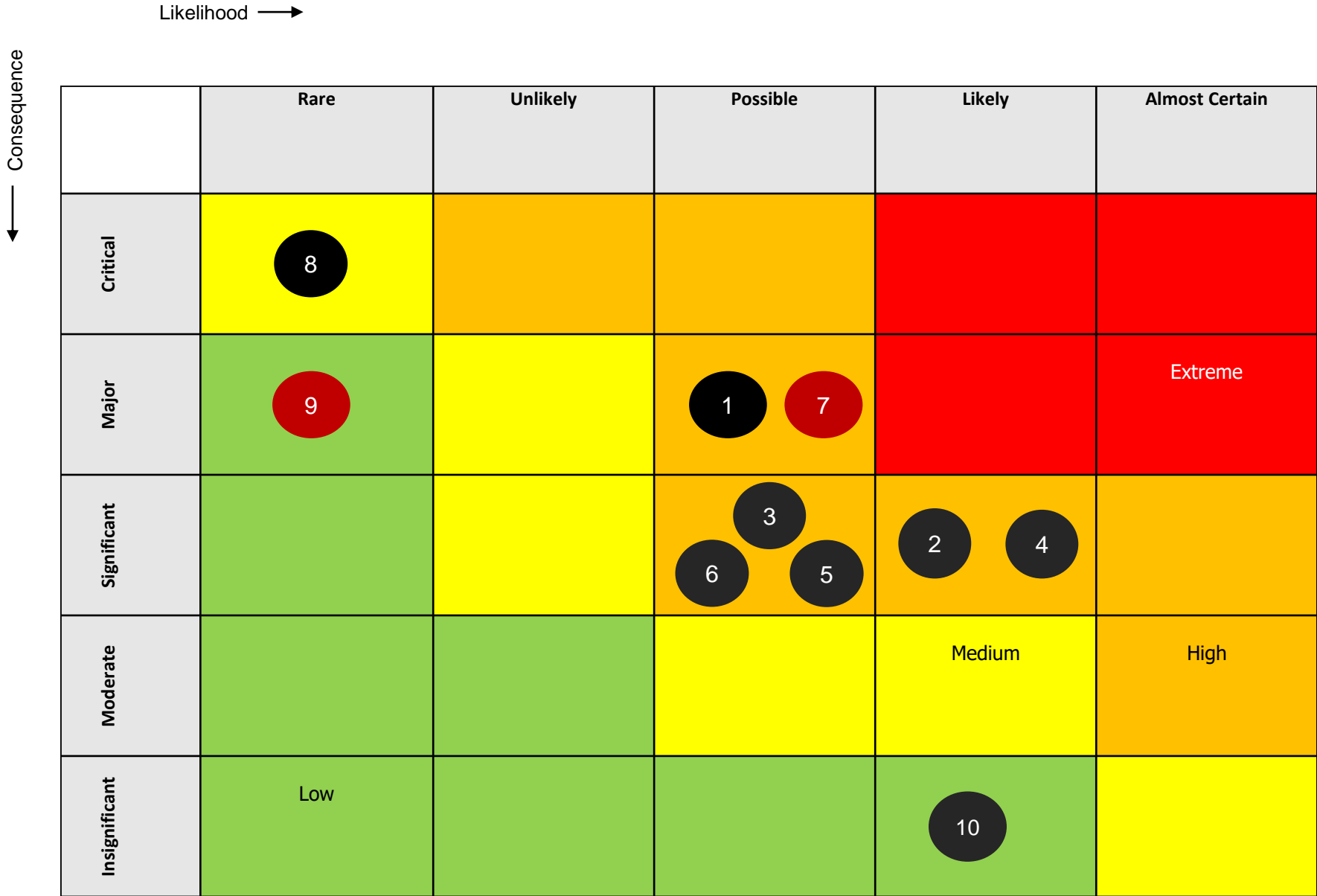


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Rank	RISK NAME
1	Degradation of Biodiversity
2	Contaminated Land
3	Rates
4	Asset Management
5	Housing Diversity & Lifestyle Choice
6	Community Engagement - Environmental
7	Occupational Health & Safety
8	Governance
9	Emergency Response & Recovery
10	Information Security

LEGEND

Fatality Risk

Target Risk Rating following implementation of treatment actions

City of Kalamunda 2019 Strategic Risk Register						
ID No.	Risk Description (revised)	Risk Owner	Treatment Actions in past 12 months	Current Risk Rating		
				Consequence	Likelihood	Current Risk Level
1	Significant degradation of the City's biodiversity profile occurs through inappropriate or not properly managed Development process	Director Development Services	New/modified risk. Policy review resulting in improved processes and resource allocation.	Major	Possible	High
2	A significant breach of environmental regulations occurs on contaminated land under the City's control through ineffective management	Director Development Services	Strong focus on management interventions such as register of contaminated sites, investigation and monitoring of priority sites, community education and increased insurance.	Significant	Likely	High
3	Adverse impact on future rates setting statements and project programs through ineffective engagement with policy makers at State and Federal levels	CEO	This risk is supported by ongoing advocacy activity at all levels of management. Specific focus in past 12 months includes Council endorsement of the advocacy strategy, regular meetings with politicians, ensuring shovel-ready projects are prepared, proactively identifying and seeking funding opportunities, plus building partnerships with community and stakeholders.	Significant	Possible	High
4	Unacceptable increase in unplanned operating cost increases, service failures or unplanned capital works due to ineffective asset management plans and process	Director Asset Services	There is a significant severity of consequence to reputation and safety which does not change. With the established asset management team and strong processes, the risk likelihood has decreased. Asset management practices have improved including condition inspections, resourcing of the asset team, production of two asset management plans (of 5), funding for asset management activities, and an asset enhancement reserve. The 2016/2017 financial year asset valuation was audited and cleared and asset ratios are understood and being improved. All activities are now guided by an Asset Management Strategy.	Significant	Likely	High

City of Kalamunda 2019 Strategic Risk Register						
ID No.	Risk Description (revised)	Risk Owner	Treatment Actions in past 12 months	Current Risk Rating		
				Consequence	Likelihood	Current Risk Level
5	Capacity of suitable housing stock for aged and persons with disability is constrained by adverse planning outcomes.	Director Development Services	Two aged persons sites approved, progress towards several additional sites underway, aged care advisory committee, disability advisory committee, ongoing and constant advocacy.	Significant	Possible	High
6	Adverse community action due to the Planning Development Process being incompatible with City environmental values.	Director Development Services	New/modified risk	Significant	Possible	High
7	Increase in lost time injuries and near misses by not properly identifying and managing workforce issues (aging workforce, mental health, drug & alcohol abuse)	CEO	Risk treatment includes regular audits, safety management plan, training, drug & alcohol testing and hazard management. Launched a culture and safety initiative.	Major	Possible	High
8	Unsatisfactory decision making occurs as a result of ineffective governance.	CEO	LG Act Review Policy Review	Major	Unlikely	Medium
9	The City fails to meet its requirements within Emergency Recovery phase of incidents due to inadequate processes in place	Director Development Services	Last year's actions included emergency recovery testing, monitoring and review of disaster recovery plan and bushfire risk management plan Additional staff, additional training.	Major	Rare	Low
10	The City suffers a material breach of Information Security through ineffective protocols and processes	Director Corporate Services	Risk treatment activities have included testing of Disaster Recovery Plan, Testing Business Continuity Plan, increased insurance, cloud migration, increased 3rd party penetration testing, backup environment, 2nd firewall, plus increased resourcing and capability of team.	Insignificant	Likely	Low

City of Kalamunda

Risk Appetite Statement

Purpose

The City of Kalamunda is strongly committed to risk management as part of its corporate governance framework. The City's Risk Management Strategy is focused on ensuring that the City makes informed decisions in terms of its strategies and operations ensuring that risks and opportunities are adequately considered.

Risk Appetite

Risk Appetite relates to the amount and type of risk that the City is willing to take in order to achieve its strategic objectives.

The City's overall risk appetite is "risk averse". When discussing risk appetite, acceptable tolerances will be defined using the following terminology:

- No tolerance
- Low tolerance
- Moderate tolerance
- High tolerance

The City's culture is focused on innovation and continuous improvement, and delivering innovation and focusing on opportunities to enhance service delivery carry risk. What is important is that the City takes calculated risks by ensuring that risks are properly identified, evaluated and managed to ensure that risk exposure is acceptable.

The City's risk appetite is generally higher when it can be demonstrated that the benefits created through innovative concepts outweigh the associated risks.

The City's Risk Appetite is assessed against the main areas of risk consequence expressed within the Risk Management Plan.

Health and Safety

The City has a low appetite for workplace injury to employees and contractors, acknowledging that the nature and diversity of work undertaken may result in minor injuries. Work safety practices are subject to ongoing review and there is no tolerance for employees not following safe work practices.

The City's safety management practices are designed to proactively identify and control workplace hazards and there is a no appetite for the non-effective use of this process. In the event of injury or near miss, these events are to be reported as soon as practically possible in order to provide appropriate support and to reduce the opportunity for reoccurrences.

There is also no appetite for incidents that are reasonably foreseeable and issues that may impact public safety. The City carries out routine inspections of land and public areas under the City's care and control and facilities in order to identify potential hazards, with mitigation works carried out according to the risk. Public notifications of potential hazards are also prioritised and scheduled according to the risk.

Financial

The City has no appetite for any actions that are known, or upon reasonable investigation, ought to be known, to unacceptably threaten the long term financial sustainability of the City. So as to achieve financial sustainability, the City may undertake investigation into alternate revenue streams hence there is a moderate appetite for activities that are likely to provide economic and revenue growth opportunities.

The City's Investment Policy outlines the risk appetite which is aligned with Local Government Legislative requirements. Focus is on maintaining liquidity, for which there is a low appetite to risk.

Materiality will be a guiding principle in assessing financial risk appetite.

Reputational

The City has no appetite for theft, fraud or misconduct by employees, Elected Members or external parties for which the City is vicariously liable.

The City has a low appetite for actions or activities that have a sustained adverse impact on the City's reputation, where those risks are avoidable through the application of good governance and practices.

The City regards customer service as vitally important and the appetite for inaccurate and untimely advice is low.

Operational

The City has no appetite for emergency service disruptions exceeding one business day relating to public health and safety. There is a low appetite for ongoing disruption to other core services that provide direct customer contact that exceed one business day.

In order to support service delivery across the business there is a low appetite for Information Technology and key corporate systems disruptions and the City's IT Assets must be secure, routinely backed up and maintained.

Environmental

The City operates within a diverse and complex natural environment. Maintaining its natural environment and focusing on long term sustainability is key focus for the City.

As such the City has no appetite for unauthorised activities that are known, or ought to be known to result in degradation of the natural environment.

The natural environment within Kalamunda presents a significant bushfire risk to the City. The City has a low appetite for inadequacies relating to natural hazard risk mitigation under its direct control and a medium appetite where risk is impacted by third parties and accordingly will seek to ensure proactive mitigation in all such risks in coordination with relevant state government agencies.

The City has a low appetite for ineffective contaminated site management.

Compliance

The City is subject to a number of statutory and regulatory obligations and there is no appetite for deliberate unlawful actions by Employees or Elected Members.


The City is reliant on a combination of policies, procedures and processes to maintain compliance. There is a low appetite for minor and unintentional breaches, or activities that may result in non-compliance by the City Employees or Elected Members.

The City has a low appetite for project cost or time variances exceeding 10%.

Project Delivery

The City has a low appetite for variations for significant or high risk projects that exceed 10% of cost or time and has a medium appetite to variations for other projects.

RISK APPETITE SUMMARY

Risk Appetite Range	Low Appetite	Moderate Appetite	High Appetite
			
Approach to Risk	Accept as little risk as possible and take a cautious approach towards risk	Balanced and Informed approach to risk taking	A more aggressive approach for increased benefit or to achieve a key Strategic Outcome
Risk Category			
Financial	Activities that impact financial liquidity	Activities with a low value	Activities with a low value that are likely to provide economic or revenue growth opportunities
Health & Safety	'Office' based staff	'Outside' staff undertaking manual labour / plant	Staff undertaking emergency service activities
Reputation	Activities that impact a large part of community	Activities that impact a small number of the community and are for the greater good.	Activities that impact one small group with overall benefits that far outweigh the pain
Operation	Activities that result in ongoing disruption to core services	Activities that result in minor disruption to a small number of services.	Minor service disruption that will enable improved delivery of services to the Community in the future
Environmental	Inadequate Natural hazard risk mitigation	Activities that may result in minor environmental impacts	Activities that may result in minor environmental impacts whilst providing improved services to the wider community
Compliance	Minor un-intentional breaches of legislation	Moderate unintentional breaches of policy or procedures	Moderate unintentional breaches of process that occur in an emergency situation
Project	Activities that result in 10% cost or time variations	Small value low profile	Innovation, Ongoing community benefit shared across other partners

City of Kalamunda Fraud and Corruption Control Plan



**city of
kalamunda**

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Introduction

The City of Kalamunda ('the City') is committed to the highest standards of respect, trust accountability and leadership throughout all its business practices.

The City has zero tolerance for fraud and corruption and is strongly committed to the prevention, detection of fraudulent and corrupt activities and will manage suspected fraud and corruption incidents in accordance with City policies, procedures and the Corruption, Crime and Misconduct Act 2003.

All City staff are responsible for the assessment of fraud and corruption risks within their business units, reporting incidents of suspected fraud or corruption and behaving ethically.

The City's Fraud and Corruption Control Plan ('the Plan') should be read in conjunction with the City's Fraud and Corruption Policy which has been established in accordance with the Fraud and Corruption Standards (AS 8001-2008).

The Plan applies to all City Staff and Elected Members.

Purpose of the Fraud and Corruption Control Plan

The purpose of this Plan is to outline the City's approach to implementing and monitoring fraud and corruption prevention, detection, response and monitoring initiatives.

The City's Fraud and Corruption Control Plan ('the Plan') should be read in conjunction with the City's Fraud and Corruption Policy which has been established in accordance with the Fraud and Corruption Standards (AS 8001-2008).

Key Definitions

The Fraud and Corruption Standard AS8001 – 2008 defines:

Fraud as

"Dishonest activity causing actual or potential financial loss to any person or entity including theft of monies or other property by employees or persons external to the entity and where deception is used at the time, immediately before or immediately following the activity. This also includes the deliberate falsification, concealment, destruction or use of falsified documentation used or intended for use for a normal business purpose or the improper use of information or position for personal financial benefit."

The Fraud and Corruption Standard AS8001 – 2008 defines:

Corruption as:

"Dishonest activity in which a director, executive, manager, employee or contractor of an entity acts contrary to the interests of the entity and abuses their position of trust in order to achieve some personal gain or advantage for themselves or for another person or entity. The concept of corruption can also involve corrupt conduct by the entity, or a person purporting to act on behalf of and in the interests of the entity, in order to secure some form of improper advantage for the entity either directly or indirectly."

It should be noted for the purpose of local government context a Councillor is considered in the same light as a Director.

Fraud and Corruption Control Plan

The Fraud and Corruption Control Plan provides guidance and direction to City officers, Elected Members and stakeholders on the processes for:

- Preventing fraud and corruption
- Detecting fraud and corruption; and
- Responding to fraud and corruption.

The Plan is focused on:

- Preventing fraud and corruption within and against the City;
- Building a culture aimed at preventing fraud and corruption;
- Explaining how suspected fraud and corruption is dealt with through risk management practices and;
- Providing guidance on how any suspected instances of fraud or corruption are dealt with.

The Plan is structured around four stages:

- Planning and resourcing
- Prevention
- Detection
- Response

Planning and Resourcing

This stage of the fraud and corruption control plan outlines the actions that the City will undertake to develop and implement the Fraud and Corruption Control Plan.

Component	Action	Responsibility	Timeframe
Planning	Executive endorsement and commitment to the plan	CEO	Ongoing
Planning	Council endorsement and commitment to the Plan	Council	
Communicating	Commitment to the plan communicated to stakeholders through the City's website	Manager Customer and Public Relations	
Reviewing	Review Fraud and Corruption Control Plan	Director Corporate Services	Every two years
Resourcing	Allocation of sufficient resources to assess allegations when breaches occur	Director Corporate Services	Ongoing
Internal Audit Activity	Strategic Audit Plan considers Fraud and corruption risks	Director Corporate Services	

Prevention

This stage of the fraud and corruption control plan outlines the systems, frameworks and processes that the City has in place to support the prevention of fraud and corruption.

Component	Action	Responsibility	Timeframe
Implementing and maintaining an ethical culture	Staff Code of Conduct reviewed, maintained and communicated	Manager People Services	Every 3 years
	Elected Members Code of Conduct reviewed, maintained and communicated	General Counsel	
	Demonstrate behaviours that promote ethical practices and drive an ethical culture	Senior Management Group and Elected Members	Ongoing
	Elected Members demonstrate ethical behaviours when dealing with community members and the City's administration	Mayor	Ongoing
	Code of Conduct training to incorporate fraud and corruption prevention awareness	Manager People Services	Every 3 years
	Review procedures for handling Declarations of Interest	General Counsel	
	Ensure that staff and elected members make appropriate declarations, and that statutory registers are maintained	General Counsel	As required
Committing to controlling Risk	Risk Management Framework to guide control of fraud and corruption risk	Director Corporate Services	Ongoing
	Fraud and Corruption Accountabilities are included in the City's and Elected Members induction training	Manager People Services	
Accountability	Where Fraud and Corruption Risks are known, processes are to be clearly documented and reviewed	Senior Management Group	Ongoing
	Management Team to adhere to work procedures and ensure appropriate training and advice is provided.	Senior Management Group	
	Sufficient scrutiny, verification is performed by business units ensuring compliance with policy and guidelines	Senior Management Group	

Component	Action	Responsibility	Timeframe
Internal Controls	Internal Audit regularly reviews processes and provides recommendations for improvement	Audit and Risk Committee	In accord with the Strategic Audit Plan
	Identify fraud and corruption risks as part of the risk review process.	Senior Management Group	Ongoing
Assessing Fraud and Corruption Risk	Fraud and Corruption to be addressed as presented	Executive Management Team	
	Ongoing communication of fraud and corruption awareness to all business units	Senior Management Group	
Communication and Awareness	Fraud and corruption prevention and control information to be provided to all staff	Manager People Services	
	Identify fraud and corruption risks as part of the risk review process.	Senior Management Group	
	Pre-employment screening to validate applicants qualifications and certifications	Manager People Services	
Employment Screening	Undertake relevant criminal history checks	Manager People Services	
Supplier Management	City Website to include policy and plan (Statement of Ethics)	Manager Customer and Public Relations	
	Suppliers declare actual or perceived conflicts of interest	Manager Financial Services	
Controlling the Risk	Ensure where practical that segregation of duties exist.	Business Unit Managers	
	High value and high-risk procurement is reviewed by the Tender and Procurement Steering Committee	Manager Financial Services	As required

Detection

This stage of the fraud and corruption plan outlines strategies in place to detect or expose fraud and corruption.

Component	Action	Responsibility	Timeframe
Detection System	Sufficient scrutiny, verification and reconciliation is undertaken to ensure the integrity of data	Business Unit Managers Manager Financial Services	Ongoing
	Internal Audit Plan adequately considers the city's risk profile	Manager Financial Services	
	Internal Audit conducts frequent reviews of the City's functions and processes	Audit and Risk Committee	In accordance with the Strategic Audit Plan
	Reporting of breaches to be encouraged through induction, training, planning policies and procedures.	Business Unit Managers	Ongoing
Avenues for Reporting	Any suspected incidents of improper conduct to be reported to the PID Officer	All Staff	
	Maintain and review Public Interest Disclosure policy and procedures	General Counsel	
Public Interest Disclosure	Ensure that allegations are treated and assessed confidentially	General Counsel	Ongoing

Response

This stage of the fraud and corruption control plan outlines the processes for responding to fraud and corruption within the City and the channels for ensuring improvements for exposed or potential fraud and corruption are made.

Component	Action	Responsibility	Timeframe
Policies and Procedures	Performance management process to be maintained and reviewed regularly	Manager People Services	Every Two Years
	Reporting process maintained and reviewed	General Counsel	
Investigation	As per legislative requirements	PID Officers	As required
	Investigations to be conducted according to the disciplinary policy and procedures or referred to external investigative agency as appropriate	Chief Executive Officer	As required
	Investigation outcomes/results supported and implemented by means determined by the Executive Management Team	EMT	As required
	All occurrences of alleged or proven fraud and/or corruption to be reported as a risk incident and recorded in the risk register.	Manager Financial Services	
Internal Reporting	Risk incidents and risk reporting to be undertaken. Strategic Risk Profile and identifying risk mitigation strategies	Manager Financial Services	
	Disciplinary process to be maintained and reviewed regularly	Manager People Services	Every two years
Disciplinary Procedures	The Chief Executive Officer to report any improper conduct that amounts to corrupt conduct as per the Corruption, Crime and Misconduct Act 2003 with appropriate actions taken in regard to CCC and PSC recommendations	Chief Executive Officer	As required
External Reporting	External auditing and financial statements to be consistent with relevant or applicable Standards	Audit & Risk Committee	Annually
	Policies and procedures to be reviewed taking into account risk incidents and/or in response to recommendations by the internal auditors	Policy Owners	Two years

Component	Action	Responsibility	Timeframe
Review of Internal Controls	Awareness of internal controls/prevention mechanisms to be reinforced through training on any new processes or procedures	Business Unit Managers	Ongoing and every two years
	Council stance on fraud and corruption to be stated in relevant corporate documents	–General Counsel	As required

Communication, Training and Awareness Overview:

City wide interaction and awareness is at the core of the fraud and corruption control plan.

Communication, training and awareness

Communication Elements		
The following communication elements are essential to the plan:		
x General awareness of the Fraud and Corruption Policy		
x Understanding of organisational expectation relating to fraud and corruption.		
x Understanding of the requirements and references contained in the plan		
x Awareness and ownership of the responsibilities referenced within the policy and plan.		
Key Messages		
x Council's stance on fraud and corruption is outlined in the policy.		
x The plan provides reference to the internal controls used within Council to prevent, detect and respond to fraud and corruption.		
x Fraud and corruption risks are assessed and mitigating options are developed through risk management processes.		
x Reporting requirements regarding fraud and corruption are aligned with and use, where possible, current complaints/PIDs/misconduct and risk reporting processes.		
Key Communication		
Communication	Channel	Frequency
Fraud and Corruption: Prevention and Control Plan	Intranet /Corporate Policy Register	Ongoing
Importance and mechanisms of fraud and corruption control	Code of Conduct for Employees' Training	Two years
Responsibilities of specific areas identified within the plan	Specific contact from plan owner	After review of plan
Responsibilities of specific areas		
Area	Outline of responsibility	
Director Corporate Services	Policy and Plan owner – maintenance and review with prevention input as required	
Audit & Risk Committee	Oversight of risk management function and assessment of risk management profiles/incident reports	
Other	As outlined in plan	
Other communications - Reporting		
Report Content	Report To	
Risk Incident Report	Audit & Risk Committee	
PIDs	Follow Public Interest Disclosure Policy and Procedures	

Monitoring Action Items

Responsible Officers as indicated above will review and report on the progress of items through to the Executive Management Team fraud and corruption risk reporting.

Framework Administration

Governance References

Statutory Compliance	Local Government Act 1995 Corruption, Crime and Misconduct Act 2003 Public Interest Disclosure Act 2003
Industry Compliance	AS 8001 - 2008 Fraud and Corruption Control AS 8003 - 2003 Good Governance Principals
Organisational Compliance	City of Kalamunda – Kalamunda Advancing - Strategic Community Plan 2017-2027 Priority 4 – Kalamunda Leads Objective 4.1 To provide leadership through transparent governance Strategy 4.1.1 Provide good governance
Decision Maker	Council
Process Links	Fraud and Corruption Policy

Framework Administration

Business Unit Name	Officer Title	Contact:
Governance	Governance Advisor	9257 9844
Risk Complexity Classification	3	Review Frequency Biennial
		Next Due

Version	Decision Reference	Synopsis
1.	Executive	
2.		
3.		

Governance 14: Fraud and Corruption Control Policy

1. Purpose

The purpose of this policy is to demonstrate the City of Kalamunda's (the City) commitment to the prevention, detection, response and monitoring of fraudulent and corrupt activities.

This policy together with the Fraud and Corruption Control Plan are core elements of good governance and establishes an effective structure to address fraud and misconduct risks and to detect and respond to fraud and corruption in accordance with the best practice guidelines as defined in the *Fraud and Corruption Standards (AS8001-2008)*.

2. Policy Scope

The policy applies to:

- Elected Members;
- All employees either by way of appointment, secondment, contract, temporary arrangements or volunteering, work experience, trainees and interns;
- External parties involved in the provision of goods, or services to the City, inclusive of contractors, consultants, outsources service providers and suppliers.

3. Definitions

The Australian Standard AS8001 – 2008 defines:

"Fraud" as:

"Dishonest activity causing actual or potential financial loss to any person or entity including theft of monies or other property by employees or persons external to the entity and where deception is used at the time, immediately before or immediately following the activity"

Fraud can take a number of forms:

- Misappropriation of funds and/or assets
- Manipulation of financial reporting (either internal or external to the City); and corruption involving the abuse of position for the purposes of personal gain

"Corruption" as:

Dishonest activity in which an employee or contractor of the entity acts contrary to the interests of the entity and abuses their position of trust in order to achieve some personal gain or advantage for themselves or for another person or organisation. The concept of corruption can also involve corrupt conduct by the entity, or a person purporting to act on behalf of and in the interests of the entity, in order to secure some form of improper advantage for the entity.

Corruption is any deliberate or intentional wrongdoing that is improper, dishonest or fraudulent and can include:

- Conflicts of interest;
- Failure to disclose acceptance of gifts or hospitality;
- Acceptance of a bribe;
- Misuse of the internet or email or;
- Release of confidential or private information or intellectual property.

Corrupt conduct typically shows a deliberate intent or an improper purpose and motivation and may involve conduct such as the deliberate failure to perform the functions of office properly; the exercise of power or duty for an improper purpose; or dishonesty.

4. Policy Statement

The City is firmly committed to a strong culture and sound governance that will protect and safeguard public funds and property. The City considers fraud, misconduct, and corruption to be serious matters and these activities are regarded as un-acceptable and a zero tolerance approach is adopted by the City to such behaviours.

Fraud and corruption can present a risk to the City in terms of:

- Reputational impact;
- Financial loss;
- Diversion of management energy;
- Impacting Organisational morale;
- Causing Organisational disruption;
- Leading to loss of employment;
- Reduced performance and;
- Diminished safety.

All of the City's employees are accountable for, and have a role to play in, fraud and corruption prevention and controls. Staff are encouraged to disclose actual or suspected fraudulent or corrupt activity.

Elected Members are responsible for demonstrating ethical behaviours when dealing with community members and the City's administration.

Suspected fraudulent or corrupt activities will be promptly investigated, and where appropriate legal remedies will be pursued. The City will protect the anonymity of staff reporting the activity where possible.

Consistent with the City's Public Interest Disclosure procedures, there will be no adverse consequences against anyone reporting suspected or known incidents.

A Fraud and Corruption Control Plan has been developed to assist the City meet the objectives of this policy by ensuring that it has thorough contemporary processes in place to mitigate the risk of fraud or corruption occurring in the City.

5. Managing Fraud and Corruption

The City will minimise fraud and corruption risk through:

- Adopting the Fraud and Corruption Control Plan which is aligned with the *Fraud and Corruption Control Standard (AS 8001-2008)*
- Integrating fraud and corruption risk identification and mitigation strategies as part of the City's governance framework;
- Educating employees in accountable conduct and fraud awareness issues, including ongoing performance assessment and counselling; and
- Monitoring, auditing and communicating processes.

6. Fraud and Corruption Control Plan

The objectives of the Fraud and Corruption Control Plan are to:

- Reduce the potential for fraud and corruption within and against the City;
- Build a culture which seeks to prevent fraud and corruption;
- Allocate resources to the prevention of fraud and corruption;
- Outline how suspected fraud and corruption is dealt with through risk management practices; and
- Provide guidance on how any suspected instances of fraud or corruption are dealt with.

The Plan is built around four components: planning and resourcing, prevention, detection and response and details of the City's intended actions in implementing and monitoring fraud and corruption control initiatives. The key strategies giving rise to the Plan include:

- Training and awareness;
- Pre-employment screening;
- Risk assessment;
- Internal and external audit;
- Whistleblowing and;
- Investigation procedures

7. Roles and Responsibilities

7.1 Council

Council is responsible for adoption of the Fraud and Corruption Control Policy. Council sets the tone by adhering to the Fraud and Corruption Control policy.

7.2 The Audit and Risk Committee

The Audit & Risk Committee plays a central role in relation to fraud control, with key responsibilities including:

- Reviewing risk management frameworks and associated procedures for the effective identification and management of fraud risks;
- Overseeing development and implementation of the fraud control plan, to provide assurance that the City has appropriate processes and systems in place to detect and effectively respond to fraud related information; and
- Providing leadership in the prevention of fraud and corruption.

7.3 Chief Executive Officer

The Chief Executive Officer (CEO) applies the City's resources to fraud prevention ensuring the adequacy of controls for managing fraud and corruption risks within the City.

In accordance with the *Corruption Crime and Misconduct Act 2003*, the CEO must notify the Corruption and Crime Commission or the Public Sector Commission if misconduct is suspected or identified.

7.4 Leadership Group

The Senior Management Group, consisting of the Executive, Managers and Co-ordinators is responsible for the implementation of the Fraud and Corruption Control Plan. Specific responsibilities of the Leadership Group is to:

- Provide leadership, guidance, training and support to employees in the prevention of fraud and corruption;
- Identify and manage high fraud risk areas;
- Participate in fraud and corruption risk assessment reviews;
- Monitor the continued operation of controls;
- Report suspected fraud and corruption promptly, maintaining confidentiality, and
- Ensure the protection of complainants who report fraudulent and corrupt activities.

7.5 Public Interest Disclosure Officer

Public Interest Disclosure Officers investigate disclosures, and take action following completion of investigations under the *Public Interest Disclosure Act 2003*.

7.6 Director Corporate Services

The Director Corporate Services is responsible for leading the development of the Fraud and Corruption Control Plan and coordinating fraud and corruption training.

7.7 Manager People Services

The Manager People Services or their delegated officer is responsible for managing the grievance and discipline process.

7.8 Employees

All employees have a responsibility to contribute to preventing fraud and corruption by adhering to the Code of Conduct, complying with controls and policies, processes, resisting opportunities to engage in fraudulent or corrupt behaviour and reporting suspected fraudulent or corrupt incidents or behaviour.

7.9 Internal Auditors

Internal Auditors provide an independent and objective review and advisory service to:

- Provide assurance to the Chief Executive Officer/Council that the financial and operational controls designed to manage the City's risks and achieve the City's objectives are operating in an efficient, effective and ethical manner; and
- Assist management in improving the City's business performance.

7.10 External Auditors

External Auditors provide an opinion on whether the Annual Report represents a true and fair view of the financial position of the City at financial year end.

The Annual External Audit of the Financial Reports assists in the detection of fraud under *Australian Auditing Standard ASA 240: The Auditors Responsibility to Consider Fraud in an Audit of a Financial Report*.

Status			
Related Local Law			
Related Council Policies			
Relevant Delegation			
Related Internal Procedures			
Related Budget Schedule			
Legislation	<i>Local Government Act 1995</i> <i>Fraud and Corruption Standards (AS8001-2008)</i>		
Conditions			
Authority			
Adopted		Next Review Date	

City of Kalamunda – Policy Review

Policies to be Withdrawn Summary

August 2019

1. Administration

<i>Old Policy No.</i>	<i>Description</i>	<i>Date Last Reviewed</i>	<i>Reasons for Withdrawal</i>	<i>New Classification</i>
C-ADM01	Provision and Management of Light Vehicles Council Policy	22-Sep-14	This is administrative requirement and managed by CEO.	CEO-I
C-ADM02	Complaint Handling Council Policy	22-Sep-14	This is administrative requirement and managed by CEO.	CEO-I
C-COMR 20	Community Funding Policy	26-Jun-17	This is now incorporated in Council Policy Service 10 Community Funding. Smaller requests are managed under \$1000 as a CEO Instruction.	S-10
C-COMR21	Capital Grants – Clubs and Community Groups Policy	26-Jun-17	This is now incorporated in Council Policy Governance 11 Capital Grants – Clubs and Community Policy. Smaller requests are managed under \$1000 as an CEO Instruction.	G-11
C-EM01	Conference Attendance and Professional Development for Elected Members	Dec-16	Merged these two policies. Reviewed and replaced with Council Policy Governance-3 Elected Members – Entitlements, Travel and Professional Development	G-3
C-EM02	Elected Members Entitlements – Council Policy	Dec-16		
C-FIN03	Payment and Reimbursement of Expenses	27-May-13	Relevant expense matters for Elected Members are included in Governance-3. The remainder are administrative.	CEO-I

City of Kalamunda – Policy Review

Policies to be Withdrawn Summary

August 2019

<i>Old Policy No.</i>	<i>Description</i>	<i>Date Last Reviewed</i>	<i>Reasons for Withdrawal</i>	<i>New Classification</i>
C-FIN05	Related Party Disclosures		This is an administrative policy that discusses the procedure followed in complying with AASB 124. Now a CEO Instruction.	CEO-I
C-HR01	Recognition of Service		Relates to staffing and is administrative. Becomes a CEO Instruction	CEO-I
C-HR02	Dealing with Family Members		Relates to staffing and is administrative. Becomes a CEO Instruction	CEO-I
C-HR03	Occupational Safety and Health		Elected member commitment to safety is new Council Policy - Governance 7. Safety policy relating specifically to staffing is administrative. Becomes a CEO Instruction.	G-7 & CEO-I
C-HR04	Travel		Staff Travel covered by CEO Instruction. Council travel covered by Council Policy Governance 3 – Elected Member entitlements, travel and professional development.	G-3
IT01	Mobile Phone and Tablet Device – Provision, Usage and Disposal	26-May-14	This is administrative and relates to provision of IT equipment to elected members. Becomes a CEO Instruction.	CEO-I
C-PP01	Purchasing	22-Oct-12	This is administrative and relates to purchasing processes. Becomes a CEO Instruction.	CEO-I
ADM6	Conferences – Attendance by Elected Members or Employees, and Payment of Expenses	16-Feb-09	Policy Reviewed. Now incorporated into Council Policy Governance 3 - Elected Members - Entitlements, Travel and Professional Development	G-3
ADM7	Corporate Uniforms	18-Oct-99	Employee related. Administrative in nature. Becomes a CEO Instruction.	CEO-I
ADM14	Nuclear Free Zone	16-Oct-95	Council direction sought. Long standing council policy.	Advice

City of Kalamunda – Policy Review

Policies to be Withdrawn Summary

August 2019

<i>Old Policy No.</i>	<i>Description</i>	<i>Date Last Reviewed</i>	<i>Reasons for Withdrawal</i>	<i>New Classification</i>
ADM20	Vandalism – Reward for Information	15-Sep-03	Operational in nature. CEO Instruction.	CEO-I
ADM23	Graffiti – Removal and Prevention	20-Sep-10	Operational in nature. CEO Instruction.	CEO-I

2. Art and Culture

<i>Policy No.</i>	<i>Description</i>	<i>Date Last Reviewed</i>	<i>Reasons for Withdrawal</i>	<i>New Classification</i>
ART1	Community Arts and Cultural Programmes	21-Apr-08	Now covered by Council Policy Service 6 Event Sponsorship; and Council Policy Service 7 Art Collection Acquisition and Management. [Public art contributions through the development assessment process will be dealt with by a Local Planning Policy]	S-6 & S-7
ART2	Display of Local Artists' Work for Sale in Council Buildings	Unknown	Operational in nature. Becomes CEO Instruction	CEO-I
ART3	Festivals and other High-Profile Community Events	Unknown	Operational in nature. Becomes CEO Instruction. See also S-6 – Event Sponsorship.	CEO-I
ART5	Stirk Cottage and Kalamunda Museum – Management Agreements	Unknown	This is operational. All conditions regarding maintaining and managing is now in the Lease Agreement which is approved by Council	CEO-I

3. Community Facilities and Recreation

<i>Policy No.</i>	<i>Description</i>	<i>Date Last Reviewed</i>	<i>Reasons for Withdrawal</i>	<i>New Classification</i>
FAC1	Adult Day Respite Services – Decline or Withdrawal of Service	15-Dec-03	No longer a service the city undertakes	N/A

City of Kalamunda – Policy Review

Policies to be Withdrawn Summary

August 2019

<i>Policy No.</i>	<i>Description</i>	<i>Date Last Reviewed</i>	<i>Reasons for Withdrawal</i>	<i>New Classification</i>
FAC2	Adult Respite Service – Equal Opportunity Statement	15-Dec-03	No longer a service the city undertakes	N/A
FAC3	Adult Day Respite Service – Review and Reassessment of Client Needs	15-Dec-03	No longer a service the city undertakes	N/A
FAC4	Circuses on Council Reserves	15-Sep-08	Consideration by EMT with respect to need and requirements for advice to Council if new Policy required.	
FAC5	Clubhouses and Facilities on Reserves	Unknown	Now covered by standard licence and leasing processes. Managed operationally.	CEO-I
FAC6	Community Bus	Unknown	Managed operationally. Becomes CEO Instruction.	CEO-I
FAC7	Education Department – Lease of Council Buildings for Use as Pre-Primary Education Centres	Unknown	Now covered by standard licence and leasing processes. Managed operationally.	CEO-I
FAC8	Fees and Charges for Facility Use – Free Usage and Exemption from Fees	Unknown	Managed operationally. Also, CEO delegation allows for fee waivers if required.	CEO-I
FAC9	Fees and Charges for Facility Use – General Principles	Unknown	Fees and charges are set annually through Council budget process. Processes managed operationally. Becomes CEO Instruction.	CEO-I
FAC10	Fees and Charges for Facility Use – Schedule of Fees	Unknown	Fees and charges are set annually through Council budget process. Processes managed operationally. Becomes CEO Instruction.	CEO-I
FAC11	Jack Healey Centre – Management and Use	Unknown	Now covered by standard licence and leasing processes. Managed operationally.	CEO-I
FAC12	Lease and License Terms and Conditions of Council Owned or Controlled Properties	15-Jun-09	Now covered by standard licence and leasing processes. Managed operationally.	CEO-I
FAC13	Meals on Wheels Vehicles	Unknown	This service is no longer operating in the City.	N/A

City of Kalamunda – Policy Review

Policies to be Withdrawn Summary

August 2019

<i>Policy No.</i>	<i>Description</i>	<i>Date Last Reviewed</i>	<i>Reasons for Withdrawal</i>	<i>New Classification</i>
FAC14	Naming of Parks, Reserves and Facilities	Unknown	Managed according to existing State Government Policy	
FAC15	Opening Hours – Libraries and Recreation Centres	Unknown	Operational in nature. Becomes CEO Instruction.	CEO-I
FAC18	Stirk Park – Conditions of Use	Unknown	Operational in nature. Becomes CEO Instruction.	CEO-I
FAC19	Storage Space in Council Facilities – Guidelines	Unknown	Operational in nature. Becomes CEO Instruction.	CEO-I
FAC20	Town Square Rotunda and Stirk Park Sound Shell – Guidelines for Use	Unknown	Operational in nature. Becomes CEO Instruction.	CEO-I
FAC21	Use and Development of Facilities	Unknown	Now covered by standard licence and leasing processes. Managed operationally.	CEO-I
FAC 25	Land Asset Management		Covered by POS Strategy	

4. Community Relations

<i>Policy No.</i>	<i>Description</i>	<i>Date Last Reviewed</i>	<i>Reasons for Withdrawal</i>	<i>New Classification</i>
COMR1	Awards – Council Awards to Residents	Unknown	Incorporated in Service 5 Communication and Engagement	S-5
COMR3	Banner Poles Owned by Council – Guidelines for Display of Banners	Unknown	CEO Instruction	CEO-I
COMR4	Citizenship Ceremonies	Unknown	Operational in nature. Becomes CEO Instruction.	CEO-I
COMR5	Civic Receptions	Unknown	Incorporated in Service 5 Communication and Engagement	S-5

City of Kalamunda – Policy Review

Policies to be Withdrawn Summary

August 2019

<i>Policy No.</i>	<i>Description</i>	<i>Date Last Reviewed</i>	<i>Reasons for Withdrawal</i>	<i>New Classification</i>
COMR6	Community Policing	Unknown	Out of date.	
COMR9	Draft Local Laws – Distribution to Ratepayers and Progress Associations	Unknown	Replaced by Service 5 Communication and Engagement; Information also now online.	S-5
COMR10	Financial Assistance to Local Organisations – Capital Works and Improvements	Unknown	Replaced by Governance 11 Capital Grants – Clubs and Community Groups Policy	G-11
COMR13	Memorials – Recognition of Residents	Unknown	Operational in nature. Becomes CEO Instruction.	CEO-I
COMR14	Private Sponsorship of Council Events	Unknown	This is now covered by the Council adopted Policy Service 6 Event and Sponsorship Policy	S-6
COMR15	Public Awareness and Publicity	Unknown	This is covered through the City's Communications Strategy – and operational procedures	CEO-I
COMR16	Seniors Card Holders – Discounts Available	Unknown	Operational in nature. Becomes CEO Instruction.	CEO-I
COMR17	Youth and Children's Organisations – Attendance at Council Functions	Unknown	Out of Date	
COMR18	Donations, Grants and Contributions	18-May-09	This is now covered by the Council adopted Policy Service 6 Event and Sponsorship Policy, plus specific Council decisions as required.	S-6

City of Kalamunda – Policy Review

Policies to be Withdrawn Summary

August 2019

5. Engineering

<i>Policy No.</i>	<i>Description</i>	<i>Date Last Reviewed</i>	<i>Reasons for Withdrawal</i>	<i>New Classification</i>
ENG6	Extractive Industry Permit Applications – Guidelines for Assessment	Unknown	An X use in all zones. Can be dealt with on a case by case basis should one arise.	
ENG13	Traffic Calming Programme – Setting of Priorities	28-May-01	This sets parameters for the assessment of traffic calming. Managed operationally and results reported to Council as required. Comprehensive review undertaken 2016 and reported to Council OCM 171/2016 however policy manual was never updated. This needs to be reassigned as a CEO Directive.	
ENG15	Asset Management Policy	18-Apr-11	Duplicates C-AS-01. Now Service 4 Asset Management.	S-4

6. Environment and Natural Resources

<i>Policy No.</i>	<i>Description</i>	<i>Date Last Reviewed</i>	<i>Reasons for Withdrawal</i>	<i>New Classification</i>
ENV1	Control and Eradication of Pest Plants	Unknown	Dealt with by the Local Law	
ENV2	Environmental Impact – Earthworks and Foundations	Unknown	Revised environmental management policy will be presented to council as an outcome of the local environmental strategy	
ENV3	Environmentally Sensitive Areas – Guidelines for Development	Unknown	Revised environmental management policy will be presented to council as an outcome of the local environmental strategy	

City of Kalamunda – Policy Review

Policies to be Withdrawn Summary

August 2019

ENV4	Flood and Stream Management	Unknown	Revised environmental management policy will be presented to council as an outcome of the local environmental strategy	
ENV5	Fruit Trees – Removal from Reserves	Unknown	Revised environmental management policy will be presented to council as an outcome of the local environmental strategy	
ENV6	Hillside Protection – Guidelines for Development	Unknown	Revised environmental management policy will be presented to council as an outcome of the local environmental strategy	
ENV7	Protection of the Environment	Unknown	Revised environmental management policy will be presented to council as an outcome of the local environmental strategy	
ENV8	Street Lawns and Gardens	Unknown	Refer Service 8 Street Tree and Streetscape Management	S-8
ENV9	Tree and Vegetation Preservation	16-Feb-09	Refer Service 8 Street Tree and Streetscape Management. May need further review. Does not include private tree and vegetation, which is assessed via town planning during development.	S-8

7. Finance

<i>Policy No.</i>	<i>Description</i>	<i>Date Last Reviewed</i>	<i>Reasons for Withdrawal</i>	<i>New Classification</i>
FIN1	Accounting Policies	20-Jul-09	Managed by CEO in accordance with Local Government Act, Regs, Aust Accounting Standards and Operational procedures.	CEO-I
FIN6	Asset Financing and Borrowings	19-Jul-10	Managed by CEO in accordance with Local Government Act, Regs, Aust Accounting Standards and Operational procedures.	CEO-I

City of Kalamunda – Policy Review

Policies to be Withdrawn Summary

August 2019

8. Community Safety

<i>Policy No.</i>	<i>Description</i>	<i>Date Last Reviewed</i>	<i>Reasons for Withdrawal</i>	<i>New Classification</i>
HLTH2	Trading in Public Places – General Principles	15-Jun-09	Incorporated into Service 9 Trading on Thoroughfares or Public Places – Permit Conditions	S-11

9. Human Resources

<i>Policy No.</i>	<i>Description</i>	<i>Date Last Reviewed</i>	<i>Reasons for Withdrawal</i>	<i>New Classification</i>
HR16	Asbestos Management Plan	21-Feb-11	Managed by CEO in accordance with statutory requirements and operational procedures.	CEO-I

10. Information Management

<i>Policy No.</i>	<i>Description</i>	<i>Date Last Reviewed</i>	<i>Comment/ Reasons for Withdrawal</i>	<i>New Classification</i>
INF1	Client Information Access – Kalamunda Adult Day Respite Centre	15-Jan-09	No longer a service provided by the City	N/A
INF2	Correspondence from the Parliamentary Commissioner (Ombudsman)	Unknown	Managed by CEO in accordance with statutory requirements and operational procedures.	CEO-I
INF3	Freedom of Information	Unknown	Managed by CEO in accordance with statutory requirements and operational procedures.	CEO-I

City of Kalamunda – Policy Review

Policies to be Withdrawn Summary

August 2019

INF4	Record Keeping Policy	Unknown	Managed by CEO in accordance with statutory requirements and operational procedures.	CEO-I
INF5	Councillor Record Keeping Policy	15.02.10	Managed by CEO in accordance with statutory requirements and operational procedures. Elected Member procedures included in the Code of Conduct.	CEO-I & Code of Conduct

11. Meetings of Council

<i>Policy No.</i>	<i>Description</i>	<i>Date Last Reviewed</i>	<i>Comment/ Reasons for Withdrawal</i>	<i>New Classification</i>
MTG2	Applicants & Objections with Items on Council or Committee Agenda – Notification	Unknown	Replaced by a Council Procedure	
MTG10	Standing Committee Meeting – Cut-Off Time for Inclusion of Items on Agenda	Unknown	No longer relevant	
MTG15	Withdrawal of an Application by an Applicant	Unknown	Managed via town planning processes	

12. Purchasing

<i>Policy No.</i>	<i>Description</i>	<i>Date Last Reviewed</i>	<i>Comment/ Reasons for Withdrawal</i>	<i>New Classification</i>
PUR1	Purchasing Policy	20-Oct-08	Managed by CEO in accordance with statutory requirements and operational procedures.	CEO-I

REVISED JUNE 2019

CITY OF KALAMUNDA COUNCIL POLICY MANUAL 2019

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City of Kalamunda – Combined Policies 2019**Part 1—Introduction****1. Purpose**

This document contains all the Council's policies relevant to good governance at the City of Kalamunda.

In this context, the term 'Governance' includes policies relating to the business of the Council; and elements relevant to fulfilling the City's statutory responsibilities under a range of State and Commonwealth Acts of Parliament.

Under the *Local Government Act 1995*, the general function of a local government is to provide for the good government of the persons in its district (Section 3.1(1)).

2. Governance and Policy Framework 2017

In December 2018 the Council established the *City of Kalamunda Governance and Policy Framework 2017*. This determines the City's policy framework and establishes the following levels of Policy:

(a) Council Policies

These are strategic policies that set governing principles to guide the direction of the organisation and to align with community values and aspirations. These policies have a strategic, external focus and align with the mission, vision and strategic direction of the City.

(b) CEO Instructions

These Instructions are developed for administrative and operational requirements. They have an internal focus.

(c) CEO Directives and Procedures

Council Policies and CEO Instructions may be supported by a Procedure or CEO Directive that outlines how the Council Policy or CEO Instruction will be implemented.

Many of the policy statements contained in this document are statutory requirements. Where necessary, the relevant Act or Regulation is cited for ease of reference.

Policies are generally reviewed every four (4) years, although in some instances this may be more frequent.

Should you find a policy where you need clarification, please don't hesitate to contact the City at enquiries@kalamunda.wa.gov.au.

Yours sincerely

Rhonda Hardy
Chief Executive Officer

City of Kalamunda – Council Policy Manual 2019**Part 2—Administration of this Policy Manual****1. Definitions**

For the purposes of this document the following definitions apply:

Act	<i>Local Government Act 1995</i>
Administration	Means both: (a) the process of administering the business of the City; and (b) the administrative body of the City itself, including employees of the local government, as headed by the CEO.
CEO	Means the Chief Executive Officer appointed by the Council who has statutory obligations as set out in the <i>Local Government Act 1995</i> along with the responsibilities of leadership and management required for the position. The most senior officer in the administration. He or she is directly accountable to the Council.
City	Means the administrative and management arm of the local government constituted as the City of Kalamunda.
CEO Instruction	A formal statement of the CEO that provides for operational imperatives to be established that provide consistency and transparency. Also known as a "Management Policy".
CEO Directive	A directive determined by the CEO detailing the specific tasks, processes and responsibilities, required to effectively implement instructions or regulations.
Community	The entire population of the City of Kalamunda. It could also be extended to those who work in, or visit, the area for recreational or similar reasons.
Council	The Elected Members sitting formally as a Council under the Act.
Councillor	Title given to an individual elected representative of a local government. Also known as "Elected member".
Council Policy	A formal statement or directive, strategic in nature, that gives effect to the City's legislation and external regulatory requirements. Policies guide decision making and govern the City's activities.
Council Procedure	A directive that supports a Council Policy by outlining the specific tasks, processes and responsibilities required to effectively implement a policy or regulation.

City of Kalamunda – Combined Policies 2019

Directors and General Counsel	The senior positions in the organisation directly responsible to the CEO.
Employee	Means a person directly employed by the local government, under section 5.36 of the Act, including casual or contract employees.
Elected member	Means an elected representative of the local government. Also known as "Councillor".
Local Government Act 1995	The <i>Local Government Act 1995</i> and associated amendments or regulations.
Mayor	A person elected by the Council to hold the position as the elected leader of the local government for a term, as specified by the Act.
Regulation	Made under the Act or other related Acts to regulate the interpretation and implementation of the Act.
Stakeholders	Individuals and organisations that have an impact on the strategic direction and decision-making processes of the City of Kalamunda.
Statutory Policy	Where there is a requirement under law for the Council to adopt a policy, spelling out the Council's position on a particular matter.

2. Policy Development

New policies will only be developed under the following circumstances:

- (a) Council, by resolution, has requested that a policy be developed;
- (b) The Strategic Community Plan identifies the need for a new policy;
- (c) There is a statutory obligation to prepare a policy statement; or
- (d) The CEO identifies the need for a policy.

In developing new policies, the following will be taken into consideration:

- (a) Council objectives;
- (b) Community expectations;
- (c) Statutory requirements;
- (d) Potential conflicts of interest;

City of Kalamunda – Council Policy Manual 2019

- (e) Duplication and relevancy; and
- (f) Efficiency and effectiveness of the City.

Each Council Policy will be adopted by Council as part of Council business.

3. Review

All policies will be reviewed every four years, or more frequently if required or requested.

After review by the CEO, Council will be required to formally adopt reviewed Council Policies prior to them coming into effect.

City of Kalamunda – Combined Policies 2019**Part 3—Governance Policies****Governance 1: Elected Member Communication and Contact with Staff**

1. Purpose

The purpose of this policy is to ensure that appropriate protocols and guidelines are in place to:

- Provide clearly defined communications and contact channels between Elected Members and City staff.
- Ensure that duplication and loss of productive time is minimised.
- Facilitate Elected Members performing their role effectively.

2. Policy Statement

The Council and the City are committed to establishing a respectful, harmonious and effective working relationship between the Elected Members and staff of the City through open communications between each party.

Whilst the provisions of the *Local Government Act 1995* provide that the Chief Executive Officer is the primary point of contact between Elected Members and the Administration, this is impractical and inefficient on a day to day operational basis.

Therefore, the CEO has delegated communication between Elected Members and Administration to be channelled through:

- (a) The Chief Executive Officer;
- (b) Directors;
- (c) General Counsel; or
- (d) Elected Member enquiries, through the Councillor Portal.

Contact with any other staff member must be approved by the CEO upon request.

Where the request entails the use of City resources (human or physical), to an extent that the Director or General Counsel believes it may impact on the effective management or day to day activities of the Directorate, the request is to be referred to the Chief Executive Officer for determination.

If Elected Members wish to have a matter dealt with confidentially, they should forward that directly to the Chief Executive Officer by email.

In all instances, if the Chief Executive Officer is unable to resolve the request, the matter will be referred to Council for determination.

The Elected Member's Code of Conduct provides further guidelines for Elected Members, their role within the City, and how to efficiently interact with Administration.

City of Kalamunda – Council Policy Manual 2019**3. Procedure – Council Support****3.1 Elected Member has a confidential request¹**

- (a) The Elected Member wishes to have their request addressed confidentially, they should forward the request directly to the CEO by email. The request should state why the request is confidential.
- (b) When the matter is confidential the CEO will respond directly to the Elected Member within 5 working days.
- (c) If the matter is determined NOT to be confidential, the CEO will advise the Elected Member of that outcome.
- (d) If the matter involves issues relating to other Elected Members, the CEO will advise the Elected Member that the Mayor will need to be informed as he is responsible for Elected Members.

3.2 Elected Member lodges a request²

- (a) The Elected Member lodges their request to the CEO, Director, General Counsel, or through the Councillor Portal.
- (b) If a request is received by the CEO, Director or General Counsel, it is then recorded in the Councillor Portal.
- (c) The Council Support Officer provides email notifications to that Elected Member and advises the relevant Director, or General Counsel, of the request.
- (d) If the request is easily resolved, the Elected Member and other interested persons will receive a response from the Chief Executive Officer or the relevant Director.
- (e) If the request requires more than 5 days to resolve, the Director will advise the Elected Member and other interested persons of the process to resolve this matter. Updates will be provided at regular intervals by Administration until the matter is resolved.
- (f) When the matter is resolved it will be closed on the Councillor Portal by the Council Support Officer.

¹ Promapp Reference: Governance 1-1

² Promapp Reference: Governance 1-2

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Status	Council Requirement		
Related Local Law			
Related Council Policies	Code of Conduct		
Relevant Delegation			
Related Internal Procedures	Customer Complaint Handling Processes		
Related Budget Schedule			
Legislation	Local Government Act 1995 – Regulation 10(1)(a) of the Local Government (Rules of Conduct Regulation 2007) State Records Commission – Local Government Elected Members Policy		
Notes and Conditions			
Authority	Council		
Adopted		Next Review Date	

 Version date and time - 11:10 AM Thursday, 1 August 2019

City of Kalamunda – Council Policy Manual 2019

Governance 2: Council Meeting Structure and Community Participation

1. Purpose

The purpose of the policy is to:

- Confirm the City's statutory obligations relating to Council meetings.
- Encourage transparency and community involvement in Council decision making forums, where practicable.

2. Policy

The Council is committed to being open, transparent and accountable in meeting its community obligation of providing good governance to the community of Kalamunda.

The Council values and encourages the participation of the community in its decision-making process and to meet this objective it has adopted a meeting structure comprising:

- (a) Public Agenda Briefing Sessions
- (b) Council Meetings
- (c) Standing Committee of Council - Audit and Risk Committee and Chief Executive Officer Performance Review Committee
- (d) Advisory Committees
- (e) Management Committees.

3. Public Agenda Briefing Sessions

The purpose of the Public Agenda Briefing Session is to provide an opportunity for the Community and Councillors to receive details on the reports that will be presented to the next Ordinary Council Meeting for decision.

This is an opportunity for Community and Councillors to ask questions of the City's administration about reports. Members of the Community can also make deputations, however, there are no decisions or debating to occur at this session as it is informational in nature.

4. Council Meetings

Council meetings are formal meetings of the Elected Members, as a decision-making body as defined under the Act. Generally, the meetings are open to the public, although there are situations where a meeting can be closed under specific provisions of the Act.

5. Standing Committees of Council

Due to the wide range of activities and functions of the Council, the Council will sometimes use Standing Committees. These Committees report to the Council

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and are subject to the requirements of the Act. These meetings are open to the public, unless the meeting is closed under specific provisions of the Act.

6. Advisory Committees

Advisory (and Management) Committees provide a vehicle for facilitating and improving community input and participation in the City's decision-making processes. Advisory Committees also assist in facilitating greater community consultation in accordance with the Act.

These committees may comprise Elected Members, community members and staff, and are resourced by the City.

Committees are able to make recommendations to the Council as part of the advisory process.

The CEO, as part of their role in advising Council, will ensure the Council also receives professional advice on the recommendations of the Advisory Committee, which may include alternative recommendations to the Advisory Committee.

Status	Council Requirement		
Related Local Law			
Related Council Policies			
Relevant Delegation			
Related Internal Procedures			
Related Budget Schedule			
Legislation			
Conditions			
Authority			
Adopted		Next Review Date	

City of Kalamunda – Council Policy Manual 2019

Governance 3: Elected Members – Entitlements, Travel and Professional Development

1. Purpose

The purpose of this policy is to support Elected Members to:

- Effectively represent the community and carry out their role by providing equitable fees, allowance and reimbursement of out-of-pocket expenses.
- Develop and enhance their knowledge pertaining to their role, understand their obligations, make well informed decisions and effectively represent their constituents.
- Be clear about their entitlements under both the Act and Council's adopted policies.

2. Policy Statement

The City of Kalamunda's Elected Members are required to carry out certain functions and responsibilities under the *Local Government Act 1995* (Act). In order to adequately perform their duties of office, the City provides a range of support and entitlements.

This policy makes transparent the range of support and entitlements provided by the City and complies with the Act and Regulations in the nature and scope of entitlements provided. It ensures Elected Members are provided with appropriate facilities, equipment, material and information to support them in performing their duties of office.

3. Definitions

Conference or Training	Means conferences, seminars, congresses, forums, workshops, courses, meetings, deputations, information and training sessions and events related to the industry of Local Government.
Elected Member Fees	Means a fee entitled to be paid to an Elected Member as defined by section 5.98 and 5.99 of the Act, and at a rate determined by the Salaries and Allowances Tribunal under the <i>Salaries and Allowances Act 1975</i> .
ICT Expenses	Means expenses that may include: <ul style="list-style-type: none"> • rental charges in relation to one telephone and one facsimile machine, as prescribed by regulation 31(1)(a) of the Regulations; or • any other expenses that relate to information and communications technology (for example, telephone call charges and internet service provider fees) and that are a kind of expense prescribed by regulation 32(1) of the Regulations.

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Travel and Accommodation Expenses

Means:

- travel costs, as prescribed by regulation 31(1)(b) of the Regulations; or
- any other expense that relates to travel or accommodation and that are a kind of expense prescribed by regulation 32(1) of the Regulations.

4. Provision of Support

4.1 Mayor

The Mayor shall, in carrying out the duties and responsibilities of office, receive the benefit of the following:

- (a) access to suitable office accommodation allocated by the CEO;
- (b) services and facilities of an Elected Member (as per Clause 4.2); and
- (c) access to other services and facilities relevant to the position as determined by the CEO.

4.2 Elected Members

All Elected Members shall, in carrying out the duties and responsibilities of office, receive the benefit of the following:

- (d) administrative support from the Council Support Officer;
- (e) conference/meeting rooms within the Administration Building (with prior timely booking being made through the CEO's Office);
- (f) limited use of photocopying, printing, facsimile, internet and telephone facilities within the Administration Building;
- (g) 24-hour security access card to the Council Chamber, Committee Room 1 and Function Room;
- (h) one Apple iPad, or equivalent tablet technology to a standard determined by the City's IT staff;
- (i) two Councillor name badges;
- (j) business cards; and
- (k) access to other services and facilities relevant to the position as determined by the CEO.

4.3 Election campaigns excluded

The support and entitlements described in this policy must not be used for any election purpose.

City of Kalamunda – Council Policy Manual 2019**5. Fees and Allowances****5.1 Elected Member Fees and Allowances**

- (a) Elected Member Fees shall be approved by Council, according to the standards set by the Salaries and Allowances Tribunal, and as applicable for the City of Kalamunda.
- (b) Unless otherwise stated in clause 5, all fees and allowances will be approved by Council, will comply with the Local Government (Administration) Regulations, and will comply with the standards set by the Salaries and Allowances Tribunal as applicable for the City of Kalamunda.

5.2 Mayor and Deputy Mayor allowance

The Mayor's Allowance and Deputy Mayor's Allowance is payable in addition to the entitlement to Elected Member Fees in clause 5.1(a).

5.3 Information, Communication and Technology (ICT) allowance

The City will pay all Elected Members an allowance for ICT Expenses.

5.4 Travel and Accommodation allowance

The City will pay all Elected Members an allowance for Travel and Accommodation Expenses relating to approved Council Business activities.

5.5 Reimbursement claims in excess of annual allowances

- (a) Claims by Elected Members for ICT Expenses, and Travel and Accommodation Expenses, are to be:
 - (i) supported by documentation, such as receipt or invoice, and
 - (ii) submitted to the CEO on the relevant reimbursement form.
- (b) Where an Elected Member exceeds the allowance, a request for reimbursement shall be referred to Council for approval.

5.6 Elected Member may refuse fees and allowances

- (a) If an Elected Member does not want to claim any part of these fees and allowances then he/she will advise the CEO in writing, including a date the request is to take effect.
- (b) Subsequent to clause 5.6(a), if an Elected Member later requests full or additional payment of fees and allowances, it will not be back-paid, but will accrue from the date of the Chief Executive Officer receiving such subsequent request in writing.

5.7 Taxation implications

The taxation liability arising from payment of any Elected Member fees or allowance is the individual responsibility of each Elected Member.

City of Kalamunda – Combined Policies 2019**6. Eligible Payments and Reimbursements****6.1 Cost of attending functions**

The City will pay for the registration cost or ticket cost for the Elected Members attending any breakfast, dinner or similar function, where invited in their role as Elected Member, provided it is not for an election purpose.

6.2 Child care

- (a) In accordance with Regulation 31, child care costs will be paid at the rate set by the Salaries and Allowances Tribunal for an Elected Member's attendance at:
 - (i) an Ordinary Council Meeting,
 - (ii) Special Council meeting,
 - (iii) Committee meeting of which he/she is a member,
 - (iv) Council function or Council-related activity.
- (b) Child care costs are applicable for children, either of natural birth or guardianship determined by a legal process.
- (c) Child care costs will not be paid in the event that the care is provided by a member of the immediate family or relative living in the same premises as the Elected Member.

7. Payment Arrangements**7.1 Time and Method of Payment**

- (a) Payment of the Elected Member Fees and Allowances, other than those outlined under clause 5, are to be:
 - (i) made every month in arrears paid by the 20th of the month; and
 - (ii) calculated on a pro-rata basis in those years where an Elected Member's term of office expires due to election or an Elected Member retires before their term of office expires.
- (b) All fees and allowances shall be paid automatically into a nominated bank account.

7.2 Time limit on claims and approval process

Elected Members should submit the appropriate expense claim form to the CEO, together with supporting documentation:

- (a) within two calendar months of incurring the expense,
- (b) except that at the end of each financial year, claims must be provided by the 7th July of the following financial year.

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7.3 Supporting documentation

Claims for reimbursement should include a tax invoice or tax receipt.

8. Professional Development, Conference and Training

8.1 Requirement to attend Professional Development and Training

Elected Members will participate in mandatory Professional Development and Training requirements, as defined within the Act.

8.2 Professional Development Allowance

- (a) Each Elected Member will be allocated a maximum of \$2000 per financial year to pay for all training, conferences or memberships, including mandatory training.
- (b) If an Elected Member wishes to exceed the value of this allowance in a financial year, they may either:
 - (i) Seek Council approval to exceed the allowance; or
 - (ii) Pay the difference.

8.3 Types of Conference or Training

- (a) In addition to mandated training, Elected Members are encouraged to participate in continuing professional development including:
 - (i) any City of Kalamunda Elected Member Induction Program; and
 - (ii) Western Australia Local Government Association (WALGA) - Elected Member Courses.
- (b) Further Conferences or Training to which this policy applies shall generally be limited to:
 - (i) Western Australian Local Government Association (WALGA) and Australian Local Government Association (ALGA) conferences;
 - (ii) special 'one off' conferences sponsored by WALGA or ALGA on important issues;
 - (iii) annual conferences of the major professions in local government and other institutions of relevance to local government activities;
 - (iv) training relating to the role of Elected Members;
 - (v) Australian Institute of Company Directors;
 - (vi) Australian Institute of Management.

8.4 Reimbursement of Memberships

The City will reimburse memberships to professional associations relevant to the role of Elected Members.

City of Kalamunda – Combined Policies 2019**8.5 Approval to attend Conference or Training**

- (a) An Elected Member must advise the CEO of his/her intention to attend training at least three weeks prior to the event. The CEO will then advise the Elected Member whether there are sufficient budgeted funds for the participation in the training to occur, and approve the expenditure.
- (b) Approval of Council is required for any Elected Member attendance at for any Conference or Training outlined under Clause 8 of this policy.

8.6 Report back on Conference or Training

With the exception of mandated training, upon return from attending a Conference or Training, within two months the Elected Member is required to provide:

- (a) a written or verbal report for Council on the Conference or Training;
- (b) copies of all discussion papers and notes; and
- (c) outline of the benefits, lessons and actions for the City.

8.7 Professional Development Attendance and Reimbursements

- (a) Registration, travel and accommodation for Elected Members will be arranged through the CEO's Office.
- (b) In general, all expenses including airfares, registration fees, and accommodation will be paid directly by the City.
- (c) All accommodation and travel expenses shall be warranted, reasonable and practical:
 - (i) Air travel shall be at economy rates, via the most direct route;
 - (ii) Accommodation should be for a standard room with a basic breakfast option, and upgrades are at the Elected Member's expense.
- (d) Taxi vouchers and car hires may be requested and approved prior to travel.
- (e) Normally accepted living expenses will be reimbursed where they are reasonable, such as:
 - (i) Meals and refreshments not already provided.
 - (ii) Dry-cleaning and laundry expenses.
 - (iii) Reasonable telephone, internet and facsimile charges.
- (f) An Elected Member wishing to take an accompanying person to a Conference or Training is required to pay all associated costs for the other person.

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- (g) If an Elected Member wishes to use a private vehicle, they will be reimbursed a mileage allowance, using the Australian Taxation Office's cents per kilometre method.
- (h) Expenses shall only be reimbursed from the time an Elected Member leaves home to attend an event to the time the Elected Member returns home (including cost of travel to and from the airport).
- (i) Any personal travel shall be at the expense of the Elected Member.

8.8 Insurance

An Elected Member travelling for a Conference or Training shall be covered by the City's Travel Insurance Policy.

Status	Council requirement		
Related Local Law			
Related Council Policies			
Relevant Delegation			
Related Internal Procedures			
Related Budget Schedule			
Legislation	Local Government (Administration) Regulations 1996 Local Government Act 1995 WA Salaries and Allowances Act 1975		
Conditions			
Authority			
Adopted		Next Review Date	

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Governance 4: Legal Representation for Elected Members, Committee Members and Employees

1. Purpose

The purpose of this policy is to support the smooth administration of the local government by protecting the interests of Elected Members, Committee Members and Employees where they have become involved in legal proceedings as a result of their official function or duties.

2. Policy Statement

- (a) Under the Local Government Act 1995, the general function of a local government is to provide for the good government of the persons in its district.
- (b) Money held by the local government may be applied towards this purpose, within the strategic and policy frameworks approved by Council, the CEO and the Act.
- (c) Where the City believes it is reasonable to do so, and the scope of the matter reflects the function of local government, the City may approve the expenditure of funds to provide legal advice and representation for Elected Members and/ or Employees.
- (d) This policy document sets the criteria for assessing the appropriateness of City funds being expended for this purpose.

3. Definitions

Application for Payment of Legal Representation	Also referred to in this Policy as an 'Application', means a written application in the Approved Form by a Relevant Person to the City pursuant to clause # of this Policy for payment by the City of Legal Representation Costs.
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Approved Form	Means the application form annexed to this Policy and marked ' <i>Application for Payment of Legal Representation</i> '.
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Lawyer	Means: <ul style="list-style-type: none"> (a) a 'an Australian lawyer who holds a current local practising certificate or a current interstate practising certificate' under the Legal Profession Act 2008 (WA); and (b) from a law firm on the Western Australian Local Government Association's panel of preferred legal service providers, unless otherwise approved by Council.
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Committee Member	Means a person who is a member of a committee appointed by Council who is not an Elected Member.
Legal Proceedings	Means civil, criminal or investigative legal matters.
Approved Legal Representation	<p>Is the provision of legal services, the scope of which is expressly approved by the Council or the CEO under delegation, to or on behalf of an Elected Member or Employee, by an Approved Lawyer in respect of:</p> <ul style="list-style-type: none"> (a) a matter or matters arising directly or indirectly, from the performance of the functions of the Relevant Person as an Elected Member or Employee of the City of Kalamunda, but excluding any matter that is, or may be construed as being, against the City of Kalamunda, any of its Elected Members, or any Employee; and (b) legal proceedings involving the Relevant Person that have been, or may be, commenced.
Legal Representation Costs	Means the costs, including fees and disbursements, reasonably incurred by the Relevant Person from the Approved Lawyer, in the provision of the Approved Legal Representation.
Legal Services	Means any aspect of the Approved Legal Representation provided to the Relevant Person by the Approved Lawyer.
Payments	<p>Means payment by the City of Legal Representation Costs, that may be either by:</p> <ul style="list-style-type: none"> (a) a direct payment to the Approved Lawyer (or the relevant firm); or (b) a reimbursement to the Relevant Person.
Relevant person	Means an Elected Member, Committee Member or Employee.

4. Payment Criteria**(a) Five Criteria**

There are five major criteria that apply as the basis for approval of whether the City will pay the Legal Representation Costs of a Relevant Person. These are:

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- (i) the Legal Representation Costs relate to a matter that arises directly or indirectly, from the performance, by the Relevant Person, of his or her functions with the City of Kalamunda;
 - (ii) the Legal Representation Costs are in respect of Legal Proceedings that have been, or may be, commenced;
 - (iii) in performing his or her functions, to which the Legal Representation relates, the Relevant Person has acted in good faith and has not acted unlawfully or in a way that constitutes improper conduct;
 - (iv) the Legal Representation Costs do not relate to a matter that is of a personal or private nature where that matter is not related to the Relevant Person's functions with the City of Kalamunda;
 - (v) notwithstanding any approval by the City to pay the Relevant Person's Legal Representation Costs, or any part thereof, the Relevant Person acknowledges and agrees that he or she will at all times remain personally liable for any and all Legal Representation Costs and by making the Application, irrevocably indemnifies the City against all claims for any such costs, and/ or any claims by the Relevant Person or any third party, including the Relevant Person's Lawyer, for any matter whatsoever in regard to, or arising out of the City's approval of the Application.
- (b) If the five criteria in clause 1.4 of this Policy are satisfied, the City may approve the payment of the Relevant Person's Legal Representation Costs to the extent permitted by this Policy.
- (c) The City will not approve, unless under exceptional circumstances and at the sole discretion of the Council, or CEO under delegation, the payment of Legal Representation Costs for a defamation action, or a negligence action, instituted by a Relevant Person.
- (d) The City will not approve, unless under exceptional circumstances, the payment of Legal Representation Costs for any matter being considered before a Local Government Standards Panel for an alleged breach of the Local Government Act 1995 (WA) or regulations.

5. Application for payment of Legal Representation

- (a) If a Relevant Person wishes to seek payment of Legal Representation under this Policy, they must make an Application in the Approved Form and submit their Application to the CEO, or the Council if the Relevant Person is the CEO.
- (b) The Application must include details of:
 - (i) the matter for which Legal Representation is sought, including particulars of all party names;
 - (ii) how the matter relates to the functions of the Relevant Person in performing their role for the City of Kalamunda;
 - (iii) the proposed Lawyer (or law firm) to be asked to provide the Legal Representation;

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- (iv) the scope of Legal Representation to be sought;
 - (v) an estimated cost of the Legal Representation as provided by the Lawyer in writing to the Relevant Person; and
 - (vi) why it is in the interest of the City for the Relevant Person's Legal Representation Costs to be paid by the City.
- (c) The Application is to contain a declaration by the applicant that he or she has acted in good faith and has not acted unlawfully or in a way that constitutes improper conduct in relation to the matter to which the Application relates.
- (d) As far as possible, the Application is to be made before commencement of the Legal Representation to which the Application relates, or if not, the Application must include an explanation as to why the Relevant Person considers the City should consider any retrospective Legal Representative Payment that may be sought and explanation of the reason for delay in the Application.
- (e) The Relevant Person must sign on the Approved Form that he or she:
 - (i) has read and understands the terms of this Policy;
 - (ii) acknowledges that any approval of Legal Representation Costs is conditional on the repayment provisions of clause 8 of this Policy and any other conditions to which the approval is subject; and
 - (iii) undertakes to:
 - (A) inform the Lawyer acting for the Relevant Person that pursuant to this Policy and any approval by the City to pay the Relevant Person's Legal Representation Costs, the City agrees to be and is to be considered as a Non-Associated Third-Party Payer only, as per the definition of that term in section 253(1)(c) of the Legal Profession Act 2008 (WA);
 - (B) provide the City with all cost estimates and updates, together with all invoices and receipts from the Relevant Person's Lawyer at least 14 days prior to any payment being due by the Relevant Person;
 - (C) execute all documentation reasonably requested by the City in respect of the Application as may be required by the City;
 - (D) repay the City any Legal Representation Costs in accordance with the provisions of clause 8 of this Policy.
- (f) An Application must be accompanied by a report to Council for either noting if the Application is approved by the CEO under delegated authority, or approval of the Application by the Council, or where the CEO is the applicant, by the City's Director of Corporate Services and the City's General Counsel.

City of Kalamunda – Combined Policies 2019**6. Legal Representation Costs – Limit**

- (a) Council, or the CEO under delegated authority, as the case may be, in approving an Application shall set a limit on the costs to be paid based on the estimated costs in the Application.
- (b) A Relevant Person may make a further Application to Council, or to the CEO as the case may be, in respect of the same matter.

7. Matters to be determined by the Council or CEO under delegation

- (a) In considering an Application, Council, or the CEO as the case may be, may–
 - (i) refuse the Application;
 - (ii) grant the Application; or
 - (iii) grant the Application subject to conditions.
- (b) Conditions under clause 7(a) may include, but are not restricted to, a financial limit and/or a requirement to enter into a formal agreement, including a security agreement, relating to the payment, and repayment, of Legal Representation Costs.
- (c) In assessing an Application, Council may have regard to any insurance benefits that may be available to the Applicant under the City's Councillors and Officers liability policy or its equivalent.
- (d) Council may at any time vary an approval, or any conditions of approval, for the payment of Legal Representation Costs and may revoke approval in the event that the Relevant Person breaches their obligations or undertakings as required by this Policy or any conditions of the Council's approval.
- (e) Council may determine that a Relevant Person whose application for Legal Representation Costs has been approved has, in respect of the matter for which Legal Representation Costs were approved:
 - (i) not acted in good faith, or has acted unlawfully or in a way that constitutes improper conduct; or
 - (ii) given false or misleading information in respect of the application.
- (f) A determination under clause 7(e), may be made by Council only on the basis of, and consistent with, the findings of a court, tribunal or inquiry.
- (g) Where Council makes a determination under clause 7(e), the Legal Representation Costs paid by the City are to be repaid by the Relevant Person in accordance with clause 8, of this policy.

8. Repayment of Legal Representation Costs

- (a) If a determination under clause 7(e) above is made by the Council, the Relevant Person whose Legal Representation Costs have been paid by the City is to repay the City all or part of those costs, as determined by the Council.

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- (b) Repayment by the Relevant Person, if required under this clause, may be made by way of set-off, where the Relevant Person receives monies paid for costs, damages or settlement, in respect of the matter for which the City paid the Legal Representation Costs.
- (c) The City may take action in a court of competent jurisdiction to recover any monies due to it under this Policy.

9. In-house legal advice and confidentiality

- (a) All in-house legal advice from the City's General Counsel in whatever form, and any and all correspondence to and from the City's General Counsel, provided to Elected Members and Committee Members, is to be considered as marked confidential by the CEO, and as such shall be considered a confidential document for the purposes of Regulation 6 of the *Local Government (Rules of Conduct) Regulations 2007*.
- (b) Elected Members and Committee Members shall not disclose in-house legal advice without the prior written permission of the CEO.

Status	Statutory Requirement		
Related Local Law			
Related Council Policies			
Relevant Delegation			
Related Internal Procedures			
Related Budget Schedule			
Legislation	Local Government (Rules of Conduct) Regulations 2007 Legal Profession Act 2008 5.36(1)(a) and 5.41(g) <i>Local Government Act 1995</i>		
Conditions			
Authority			
Adopted		Next Review Date	

City of Kalamunda – Combined Policies 2019

Governance 5: Investments

1. Purpose

The purpose of this policy is to invest the City's surplus funds in a manner that maximises returns whilst balancing social and environmental benefits, with due consideration of risks, whilst protecting the initial capital investment and future cash flows.

2. Principles

The City investments are subject to the following principles:

- (a) preservation of capital is the principal objective of the investment portfolio;
- (b) the investment portfolio will ensure that there is sufficient liquidity to meet all reasonably anticipated cash flow requirements as and when they fall due, without incurring significant costs due to the unanticipated recall of an investment;
- (c) preference is given to investment in non-fossil fuel lending institutions;
- (d) investments will be managed with care, diligence, and skill that a prudent person will exercise.

3. Policy Statement

- 3.1 The Chief Executive Officer or their delegate under the powers delegated is to invest surplus funds in accordance with Council Policy and Management Procedure, and Section 6.14(1) of the *Local Government Act 1995* and the associated Regulations.
- 3.2 It is incumbent upon the Chief Executive Officer or their delegate to ensure:
 - (a) That funds surplus to immediate requirements may be placed in any of the following authorised deposit taking institutions (ADI's), being licensed banks as defined under the *Banking Act 1995*, for a period not exceeding 12 months:
 - (i) Western Australian Treasury Corporation
 - (ii) Australian and New Zealand Banking Group
 - (iii) National Australian Bank
 - (iv) Westpac
 - (v) Bank West
 - (vi) Commonwealth Bank
 - (vii) IMB Ltd
 - (viii) St George Bank Ltd
 - (ix) Bendigo Bank

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- (x) ING Bank Australia Limited
- (xi) Suncorp Bank
- (xii) Bank of Queensland
- (xiii) Rabobank

3.3 The Banks as listed in clause 3.2 may be amended by Council from time to time.

4. Investment Preference

In order to reduce overall carbon footprint and the wasteful use of natural resources, the City will give preference to those institutions that do not invest in or finance non-sustainable energy sources where:

- (a) the investment is compliant with the City's investment policy;
- (b) the investment rate of interest is comparable to the City relative to other investments that may be on offer to the City at the time of investment.

5. Prohibitions

The investment policy prohibits any investment carried out for speculative purposes including:

- (a) derivative based instruments;
- (b) principal only investments or securities that provide potentially nil or negative cash flow; and
- (c) stand-alone securities issued that have underlying futures, options, forward contracts and swaps of any kind.

6. Investment Limitations

That Council's investment in any one institution as per 3.2 above is limited to a maximum of:

- (a) 25% of the total investment portfolio where the amount in any one institution exceeds;
- (b) \$200,000. If the amount of \$200,000 or less is placed in any one institution, the 25% spread may not apply.

7. Annual Review

The combined level of Commonwealth and State Government Guarantee on funds invested should be reviewed annually.

City of Kalamunda – Combined Policies 2019**8. Council Review**

- 8.1 The Short Term Investment Portfolio schedule shall be presented monthly to Councillors as part of the Monthly Financial Statements Report.
- 8.2 Funds invested are required to be in Australian currency.

Status	Council and Statutory Requirement		
Related Local Law			
Related Council Policies			
Relevant Delegation	LGA 8 Investment of Surplus Funds		
Related Internal Procedures	CM-FIN02 – Investments		
Related Budget Schedule			
Legislation	Section 6.14 of the <i>Local Government Act 1995</i> Regulation s 19, Regulation 19C, Regulation 28 and Regulation 49 of the <i>Local Government (Financial Management) Regulations 1996</i> Australian Accounting Standards Part III Investments – <i>The Trustees Act 1962</i> <i>Banking Act 1959</i>		
Conditions			
Authority			
Adopted		Next Review Date	

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Governance 6: Self-Supporting Loans

1. Purpose

The purpose of this policy is to define the principles by which Council will assist community clubs and sporting groups seeking financial assistance to undertake capital works projects by way of self-supporting loans on land owned by or vested in the City of Kalamunda.

2. Policy Statement

The City of Kalamunda values the contribution to the community of Kalamunda by its community clubs and sporting groups and may provide financial assistance to these groups through the provision of self-supporting loans for approved capital work programs, subject to the following conditions:

- (a) The project is assessed as meeting a need required within the community.
- (b) The community group or sporting club is assessed as being financially viable and able to meet all loan repayments.
- (c) The community group or sporting club agrees to maintaining 'open book' accounts to be provided to the City and that they are audited annually by a practicing auditor.
- (d) The loan for capital improvements is only to be undertaken on land owned by or vested in the City.
- (e) Self-supporting loans being for a period of no longer than 5 years to a limit of \$100,000.
- (f) The community group or sporting club signing a Self-Supporting Loan Agreement, which includes a requirement for the payment of all loan repayments, interest on outstanding debts, administration or other fees incurred by the City with respect to the agreement.

3. Definition

"Self-Supporting Loan" is an amount of money raised by the City in its own name through a specific loan for a period of no longer than 5 years to a maximum of \$100,000 and provided to an approved community group or sporting club through a Self-Supporting Loan Agreement.

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Status	Council and Statutory Requirement		
Related Local Law			
Related Council Policies			
Relevant Delegation			
Related Internal Procedures	Risk Management Policy ADM25 – provides a matrix and consistence means to assess the level of risk associated with each site assessed. CM-FIN04 – Self-Supporting Loans – Council Procedures		
Related Budget Schedule			
Legislation			
Conditions			
Authority			
Adopted	27 October 2014	Next Review Date	

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Governance 7: Elected Member Commitment to Occupational Health and Safety

1. Purpose

The purpose of this policy is to confirm that Elected Members and Council have responsibilities as both individuals and as a collective decision making body to create a safe work culture and to encourage the City's compliance with section 19 of the Occupational Safety and Health Act 1984 and section 5.40(e) of the Local Government Act 1995.

2. Policy Statement

Under the Local Government Act 1995, there are general principals affecting employment within the City of Kalamunda. One key principle is that employees are to be provided with safe and healthy working conditions in accordance with the Occupational Safety and Health Act 1984.

Elected members and Council encourage a physically and mentally safe and healthy working culture by:

- (a) Ensuring the Chief Executive Officer has safe and healthy working conditions as an employee of the City;
- (b) Monitoring safety risk, safety hazards and safety performance through the Audit and Risk Committee;
- (c) Ensuring adequate resourcing is provided to maintain a safe and healthy work place through budget and planning processes;
- (d) Monitoring employee safety at Council meetings and functions;
- (e) Encouraging safe work mental health by monitoring employee exposure to bullying, harassment and stress, particularly in relation to their interactions with Elected Members and members of the public;
- (f) Not undertaking any actions that could adversely impact the physical and mental wellbeing of the CEO or any employees.

While Elected Members are not employees, the City acknowledges that Elected Members are also entitled to perform their role in a physically and mentally safe and healthy working environment. They are encouraged to raise personal concerns about safe working practices to the Mayor and Chief Executive Officer.

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Status	Statutory Requirement		
Related Local Law			
Related Council Policies			
Relevant Delegation			
Related Internal Procedures			
Related Budget Schedule			
Legislation	Section 5.40(e) Local Government Act 1995 WA; Occupational Safety and Health Act 1984		
Conditions			
Authority			
Adopted	New	Next Review Date	

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Governance 8: Risk Management

1. Purpose

The purpose of this policy is to establish organisation-wide risk management principles, systems and processes that ensure consistent, efficient, and effective assessment of risk in all planning, decision making and operational processes.

2. Policy Statement

The City of Kalamunda is committed to ensuring that risk is managed in accordance with AS/NZS/ISO 31000:2018. Risk Management is embedded in all aspects of management ensuring that the principles of risk management are applied to all relevant levels and functions of the organisation.

The City of Kalamunda manages its risks continuously using a process that involves the identification, analysis, evaluation, treatment, monitoring and review of risks. It will be applied to decision making through all levels of the organisation in relation to planning or executing any function, service or activity.

The City has a low appetite for risks that relate to:

- (a) Health, safety and the wellbeing of staff and the community;
- (b) Administration of finances and assets
- (c) Legislative compliance

The City has a potentially higher risk appetite where benefits created by innovation or new initiatives outweigh the risks.

The Council will adopt a Risk Management Framework comprising of:

- (a) Risk Policy;
- (b) Risk Appetite;
- (c) Risk Matrix;
- (d) Risk Profile;
- (e) Risk Register; and
- (f) Risk Management Plan

and will be regularly reviewed and reported through the Audit & Risk Committee.

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Status	Council and Statutory Requirement		
Related Local Law			
Related Council Policies			
Relevant Delegation			
Related Internal Procedures	This Risk Management Policy should be read in conjunction with the Integrated Risk Management Plan.		
Related Budget Schedule			
Legislation			
Conditions			
Authority			
Adopted	February 2019	Next Review Date	

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Governance 9: Whistleblower (Public Interest Disclosure)

1. Purpose

The purpose of this policy is to:

- (a) Encourage Employees, Elected Members, contractors, consultants and members of the public, to report unlawful unethical, or undesirable conduct (Misconduct) that they genuinely believe has been committed by a person or persons in breach of the City of Kalamunda's Code of Conduct, policies or the law.
- (b) Demonstrate the City's commitment to a fair workplace and outline the process for managing matters of Misconduct.
- (c) Protect individuals who in good faith report conduct which they reasonably believe to be Misconduct, on a confidential basis, without fear of reprisal, dismissal or discriminatory treatment.
- (d) Assist in ensuring that matters of Misconduct and / or unethical behaviour are identified and dealt with appropriately.
- (e) State the City of Kalamunda's commitment to the aims and objectives of the *Public Interest Disclosure Act 2003*, the purpose of which is to facilitate the disclosure of information in the public interest, and to provide protection to those who make a disclosure or who are the subject of a disclosure.

2. Policy Statement

- (a) The City of Kalamunda (City) is committed to the aims and objectives of the Public Interest Disclosure Act 2003. It recognises the value and importance of Employees and others to enhance administrative and management practices, and strongly supports disclosures being made as to alleged Misconduct.
- (b) The City will not tolerate Misconduct and has developed this policy to assist Elected Members, Employees, contractors, consultants and members of the public to raise concerns through a constructive and safe process.
- (c) The City will achieve this through the creation of an open working environment in which Elected Members, Employees (whether they are full-time, part-time or casual), contractors and consultants, as well as members of the public, are able to raise concerns regarding actual or suspected Misconduct.
- (d) The City recognises that any genuine commitment to detecting and preventing Misconduct must include a mechanism whereby Employees and others can report their concerns freely and without fear of reprisal or intimidation. This policy provides such a mechanism and encourages the reporting of such conduct.
- (e) The City will endeavour to provide protection to Whistleblowers from any detrimental action in reprisal for the making of a public interest disclosure.

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- (f) The City's Code of Conduct (Code) requires Elected Members and Employees to observe high standards of business and personal ethics in the conduct of their duties and responsibilities.
- (g) As Elected Members, Employees and representatives of the City, everyone has a responsibility to practice honesty and integrity in fulfilling their responsibilities and to comply with all applicable laws and regulations

Status	Council and Statutory Requirement		
Related Local Law			
Related Council Policies			
Relevant Delegation			
Related Internal Procedures			
Related Budget Schedule			
Legislation	<p>This policy has been drafted to comply with the:</p> <ul style="list-style-type: none"> AS 8004–2003 (Whistle blower Protection Programs for Entities) AS 8001–2008 (Fraud and Corruption Control). Public Interest Disclosure Act 2003 of Western Australia 		
Conditions	<p>The Whistleblower Policy and Procedures will be reviewed periodically by the Audit Committee. A report will be made to the Council on the outcome of each review and all recommended changes to the Policy.</p> <p>All information, documents, records and reports relating to the investigation of reported Misconduct will be confidentially stored and retained in an appropriate and secure manner, in accordance with the Public Disclosure Act 2003.</p>		
Authority			
Adopted		Next Review Date	

City of Kalamunda – Council Policy Manual 2019**Governance 10: Cash-in-lieu Assessment Criteria**

1. Purpose

The purpose of this policy is to ensure consistency, equity and transparency across the City's approval process for all cash-in-lieu applications.

2. Policy Statement

Community applications seeking cash-in-lieu funds to develop facilities should demonstrate the following principles:

- (a) Alignment with the City's Strategic Plan.
- (b) Be in accordance with the Western Australian Planning Commission's Policy DC 2.3 acceptable uses for expenditure.
- (c) Sound financial management.
- (d) Viability of the project.
- (e) Significant community benefit, specifically within the area in which the cash-in-lieu funds have been derived from.
- (f) Demonstrate a direct link to improved community access and inclusion.
- (g) Justification for the proposed project.
- (h) Alternatives considered.
- (i) Multi-functionality.
- (j) Project budget, including quotations.

Status			
Related Local Law			
Related Council Policies			
Relevant Delegation			
Related Internal Procedures			
Related Budget Schedule			
Legislation	<i>Planning and Development Act 2005, Section 153 and 154</i>		
Conditions			
Authority			
Adopted		Next Review Date	

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Governance 11: Capital Grants - Clubs and Community Groups

1. Purpose

The purpose of this policy is to guide the forward planning and development of sport, recreation and other community infrastructure in alignment with key principles to ensure responsiveness to the long term needs of the community and consistency with strategic and corporate objectives.

2. Policy Statement

The City will consider requests for capital funding toward community infrastructure improvements from local clubs and community groups.

Applications must be submitted in accordance with the Capital Grants process for consideration and prioritisation of the Strategic Sport and Recreation Committee and final decision making by Council, as part of the annual budget deliberation process.

Capital funding will not be provided outside of this process, to retrospective projects or within the financial year that the application is made. Requests outside of this process will only be considered under extenuating circumstances and with the approval of Council through the budget process.

2.1 Council Support

Council may endorse a club or community groups community infrastructure project without providing funding support, however it will not be responsible for funding any under scoped project items. If Council provides funding support, it will generally be on the basis of providing a grant of up to 1/3 of the total project cost.

2.2 External Funding

Clubs and community groups seeking external funding should ensure that their project is fully scoped, costed and where appropriate, any necessary approvals are sought prior to submitting their application. As land owner, it is essential that the City has been provided sufficient advance notification of the proposed project and has cited and supported the funding application, scope of works and costings. An application will not be supported should the details conflict with any Council adopted reserve Master Plan or is not fully scoped and costed.

If the City is requested to contribute funding toward the project, then an application is to be submitted through the Capital Grants process.

Should the external funding application be successful prior to applying through the City's Capital Grants process, this will not necessarily commit Council to funding their project.

2.3 Priorities

To ensure the financial support it provides is effectively targeted to achieve maximum community benefit, Council will consider the following as key priorities:

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- (a) Strategic Alignment – All projects are required to align with and support relevant strategic plans including, but not limited to; the City's Strategic Community Plan, any relevant Reserve Master Plans, State Sporting Associations Strategic Facilities Plans and other relevant strategic directions.
- (b) Demonstrated Community Need - All projects are required to clearly demonstrate the current and projected community need and a project sustainability that provides clear direction with regard to future community benefit and utilisation. This will include, but is not limited to, City of Kalamunda resident membership of the applicant club or community group (total and proportional), support for junior activities and the level of community accessibility and inclusive participation.
- (c) Community Health and Wellbeing - Infrastructure or improvements that increase opportunities for physical activity and social wellbeing as well as recognising the value of accessibility and inclusive participation, will be highly regarded.
- (d) Co-Location and Shared Use – Priority will be given to developing infrastructure that will be used by more than one club or community group, particularly where such groups are not yet sharing infrastructure. This is to facilitate the intent of reducing duplication, maximising utilisation and encouraging clubs and community groups to share infrastructure while still retaining their separate management and identity.
- (e) Functionality - Any proposed projects must meet relevant Australian Standards and ensure fit for purpose.
- (f) Availability of Existing Infrastructure - All projects are required to identify similar infrastructure within close proximity and explain how participation will be impacted at each location. The City will actively seek to rationalise infrastructure where duplication and/or shared use opportunities for community participation are clearly evident. There should be no similar commercial facilities nearby which could meet these needs.
- (g) External Funding Opportunities – To ensure overall financial viability of projects, priority will be given to projects that are eligible for funding from other government bodies such as the Department of Local Government, Sport and Cultural Industries – Community Sporting and Recreation Facilities Fund (CSRFF), Lotterywest or Sport Australia Funding. Applicants need to identify all funding sources and clearly demonstrate their level of financial (cash & in-kind) contribution.
- (h) Demonstrated sustainable club or community group – The applicant will need to provide evidence of sustainable operations by providing the following:
 - (i) all City debts have been settled by due dates;
 - (ii) financial statements for three years with the latest financials being no older than 12 months;
 - (iii) bank statements showing current status; and

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- (iv) minutes showing amounts committed towards the project and reflected in the financials as restricted funds.

Status			
Related Local Law			
Related Council Policies			
Relevant Delegation			
Related Internal Procedures			
Related Budget Schedule			
Legislation			
Conditions			
Authority			
Adopted		Next Review Date	

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Governance 12: CEO Performance and Salary Review

1. Purpose

The purpose of this policy is to set out the principles and criteria under which the Council will review the Chief Executive Officer's Performance and Salary, in compliance with the *Local Government Act 1995*, *Salaries and Allowances Act 1975* requirements and the relevant employment contract.

2. Policy Statement

The City of Kalamunda (City) recognises that Council holds statutory and contractual obligations to review the performance and salary of the Chief Executive Officer (CEO) on an annual basis.

Through the timely and smooth operation of the performance and salary review processes, Council ensures the CEO's performance objectives are aligned to the delivery of the City's Corporate Strategic Plan.

As an employee of the City, the CEO's performance and salary review is an important opportunity for Council to motivate and encourage excellent work performance, while providing feedback for areas of change or improvement.

Council will constitute the CEO Performance Review Committee (CEOPRC) to facilitate the timely and effective oversight of the performance and salary review processes.

2.1 Principles of Performance Management

All parties agree to the following principles:

- (a) Confidential – The CEO's employment contract stipulates that he/she is entitled to have performance and salary discussions be treated in confidence;
- (b) Courteous – All parties agree that the performance and salary reviews will be conducted in a respectful and courteous manner;
- (c) Constructive – Where opportunities for change or improvement are identified for the CEO, Elected Members will provide constructive feedback and will provide examples of a preferred approach from the CEO;
- (d) Procedurally Fair - Council will ensure the CEO has the right to review and respond to any feedback provided in the course of the performance review. The CEO will have the opportunity to ask clarifying questions and respond to constructive feedback.
- (e) Absence of bias – Councillors agree –
 - (i) to actively consider whether they or any other Councillor who is a member of the CEOPRC, has, or could reasonably be perceived to have, an interest in any matter for consideration before the CEOPRC that could adversely affect their impartiality, or cause their decisions to be tainted by actual or perceived bias; and

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- (ii) should any Councillor consider that they may have any such interest, or bias in any matter that comes before the CEOPRC, or if any third party, including any Councillor, informs the CEOPRC in writing of their reasonable apprehension of the same, that Councillor shall immediately declare an impartiality interest and thereafter withdraw from the CEOPRC, and not vote on any part of the CEO Performance and Salary Review Process.

2.2 Setting and Evaluating Performance

The CEOPRC will facilitate the performance review process as follows:

- (a) Council will ensure the CEO has clear and objective standards of performance defined at the beginning of the financial year;
- (b) Performance Standards will reflect the CEO's role, responsibilities and strategic priorities;
- (c) Feedback and evaluation of performance will reference the performance standards set out at the beginning of the financial year under review.
- (d) Performance evaluations will be supported by relevant data, evidence and examples.

2.3 Salary Review

The CEO's employment contract requires that the review of salary and other benefits must occur annually and must have regard to:

- (a) The CEO's performance, as determined in the performance review;
- (b) Any changes to the work value or responsibilities of the CEO's position;
- (c) The hours of work, including hours worked outside normal working hours;
- (d) The condition of the market and economy generally;
- (e) The relevant determination from time to time made under the *Salaries and Allowances Act 1975*; and
- (f) The capacity of the City to pay an increase.

The Council is not obliged to increase the amount of salary or benefits but must not, other than with the CEO's consent, reduce the amount of the total salary and benefits package (also called 'Remuneration Package').

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Status	Council and Statutory Requirement		
Related Local Law			
Related Council Policies			
Relevant Delegation			
Related Internal Procedures			
Related Budget Schedule			
Legislation			
Conditions			
Authority			
Adopted	26 June 2017	Next Review Date	

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Governance 13: Appointment of Community Members to Advisory Committees and Reference Groups

1. Purpose

The purpose of this policy is to provide a clear and understandable expectation as to the requirements of community members to achieve appointment to Advisory Committees and Reference Groups established by the Council.

This policy outlines the criteria, role and responsibilities required of a member of the public to be appointed to an Advisory Committee or Reference Group as well as how the assessment will be evaluated and reported to Council for appointment to be ratified

2. Policy Statement

- 2.1 The City of Kalamunda has a long record of strong community engagement. We recognise the importance and value of engaging with our community and seek to act in a participatory manner. The City has maintained strong ties with local environmental community groups, cultural community groups and demographic specific groups and believe that being in close contact with the views of community leads to good governance and effective decision making.
- 2.2 The City is committed to engaging with its community in a collaborative manner to resolve issues and achieve goals. In order to pursue this goal, Council will establish a range of community-led Advisory Committees and Reference Groups to assist in dealing with specific service areas or issues.
- 2.3 The establishment of these committees and groups requires a City-wide advertising period to receive nominations and a selection process to identify the most suitable candidates for each role. Council requires clarity in how it selects members of the community.
- 2.4 Nominations must be based on a set criterion, with diversity amongst applicants being reflected at all times.
- 2.5 Collaborating involves the City engaging with community members on an issue that will become the basis for the development of a plan, project, facility or service.
- 2.6 Collaboration:
 - (a) generally, occurs in the form of working groups or advisory committees;
 - (b) is either for the duration of the project (working groups) or on-going if issue related (advisory committees);
 - (c) can be used in conjunction with inform, consult and involve strategies; and
 - (d) involves communication, not just between the community and the local government, but also amongst stakeholders and community members.
- 2.7 This level of engagement provides participants with a level of influence over outcomes in the City. It should be noted that the final decision ultimately remains

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with the Council. These participants may be interested members of the community or may represent specific stakeholder groups.

2.8 Participants have a responsibility to:

- (a) actively listen to the opinions of a wide range of stakeholders;
- (b) adopt and adhere to the values and code of conduct of the City;
- (c) commit sufficient time to the process;
- (d) represent the interests of other people, including those who might be less vocal or harder to reach;
- (e) recommend the best-fit solution that meets the needs of all people with an interest or those likely to be affected, including those from minority groups; and
- (f) keep people informed on the progress of the process.

2.9 It is essential to the balanced operation of any collaborative group that membership is reflective of all views, and is regularly refreshed, and does not become dominated by the strongly held thoughts of a small group of residents.

2.10 The Advisory Committees and Reference Groups are established by Council to provide input into particular issues.

2.11 Membership is by invitation of the Council and expressions of interest are advertised via media channels and on the City's homepage.

- (a) Advisory Committees and Reference Groups shall all have terms of reference which are to include:
 - (i) the purpose and objectives of the Committee/Group;
 - (ii) the membership of the Committee/Group;
 - (iii) meeting times – usually up to three times per annum, at a time of day that suits members;
 - (iv) review periods – usually annually in September;
 - (v) meeting procedures - including nomination and role of the Committee/Group Chair and Deputy Chair, process for decision making and recording of that decision, Disclosure of any Non-Pecuniary or Pecuniary Interests, adherence to any Code of Conduct etc; and
 - (vi) the recording of minutes and any associated proposals or suggestions is to be in accordance with the Terms of Reference of each Committee or Group as the case may be.

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- 2.12 Once publicly advertised, all interested members of the public are required to apply before the deadline date.
- 2.13 Any late applications will not be considered.

3. Terms of Reference and Advertising

- 3.1 When a committee or reference group is to be established, the following will occur.
- 3.2 Terms of reference will be developed and adopted by Council, and are to include:
- (a) the purpose;
 - (b) the objective;
 - (c) reporting periods/frequency;
 - (d) constitution of the committee (numbers, background, skills base);
 - (e) meeting times and frequency;
 - (f) review periods (for on-going committees this is generally in September);
 - (g) meeting procedures - including nomination and role of the Committee/Group Chair and Deputy Chair, process for decision making and recording of that decision, Disclosure of any Non-Pecuniary or Pecuniary Interests, adherence to any Code of Conduct etc;
 - (h) Officer responsible for support, if required;
 - (i) Councillor's sponsoring the Committee; and
 - (j) the recording of minutes and any associated proposals or suggestions to be submitted to Council.
- 3.3 Expressions of Interest to participate in the committee will be advertised for a minimum of three weeks, throughout the City, including via the City's web site and social media.
- 3.4 Expressions of Interest will request the following general information:
- (a) General background and life experience of the Nominee;
 - (b) The Nominees ability to:
 - (i) commit sufficient time to the process;
 - (ii) act as an advocate for the City displaying positive intent at all times;
 - (iii) represent the interests of other people, including those who might be less vocal or harder to reach;
 - (iv) choose the best-fit solution that meets the needs of all people with an interest or those likely to be affected, including those from minority groups;
 - (v) have a level of general knowledge relevant to the Committee's responsibility;

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- (vi) keep people informed on the progress of the process
- (vii) comply with the requirements of the LGA Act 1995 and to adhere to the Code of Conduct.

4. Assessment of Nominations

4.1 Evaluation Process and Report

- (a) City officers will undertake an assessment against the selection criteria of each application for a committee or group. The assessment will be undertaken by a panel of up to five City officers appointed by the CEO.
- (b) A designated officer will produce an evaluation report outlining the selection process and will identify the candidates that best met the criteria.
- (c) The evaluation report will be a confidential attachment to the Council report. Council, upon receipt of the confidential evaluation report will have the ability to review and change the recommendations of officers should Council see the need.

4.2 Confidentiality

- (a) All applications will remain confidential and names of the recommended appointments will also remain confidential.
- (b) All applicants will receive a letter outlining the result of their application as to whether they were successful or unsuccessful. The City has no requirement to provide feedback on the status of any application.

5. Selection Criteria

A community member's application to be on an Advisory Committee or Reference Group will be assessed and their final score weighted against the following selection criteria:

	Selection Criteria	Weighting
1.	Knowledge and experience of the topics the Committee/Group will be required to address.	25%
2.	Ability to work in teams and groups.	25%
3.	The ability to allocate the necessary time to attend meetings and read documentation prior to the meeting.	25%
4.	Whether the application addresses a knowledge/skills gap on the Committee/Group, with consideration given to the balance of the Committee/Group ensuring broad and diverse community representation).	15%
5.	Representation from all wards within the City will be considered important to provide a balance of membership from the different communities of interest. Should there be more than one candidate from a ward the candidate with the highest scores in points 1-4 will receive an additional ward score of 10%.	10

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Score	Assessment
21 – 25%	Excellent
16 – 20%	Very Good
11 – 15%	Satisfactory
6 – 10%	Poor
1 – 5%	Unsuitable

Related Local Law	Nil.		
Related Council Policies	Nil.		
Relevant Delegation	Nil.		
Related Budget Schedule	Nil.		
Legislation	Local Government Act 1995		
Conditions	Nil.		
Authority	Council		
Adopted		Next Review Date	

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Governance 14: Fraud and Corruption Control

1. Purpose

The purpose of this policy is to demonstrate the City of Kalamunda's (City) commitment to the prevention, detection, response and monitoring of fraudulent and corrupt activities.

This policy together with the Fraud and Corruption Control Plan are core elements of good governance and establishes an effective structure to address fraud and misconduct risks and to detect and respond to fraud and corruption in accordance with the best practice guidelines as defined in the *Fraud and Corruption Standards (AS8001-2008)*.

2. Policy Scope

The policy applies to:

- (a) Elected Members;
- (b) all employees either by way of appointment, secondment, contract, temporary arrangements or volunteering, work experience, trainees and interns;
- (c) external parties involved in the provision of goods, or services to the City, inclusive of contractors, consultants, outsources service providers and suppliers.

3. Definitions

The Australian Standard AS8001 – 2008 defines:

"Fraud" as:

"Dishonest activity causing actual or potential financial loss to any person or entity including theft of monies or other property by employees or persons external to the entity and where deception is used at the time, immediately before or immediately following the activity"

Fraud can take a number of forms:

- (a) Misappropriation of funds and/or assets
- (b) Manipulation of financial reporting (either internal or external to the City); and
- (c) Corruption involving the abuse of position for the purposes of personal gain.

City of Kalamunda – Combined Policies 2019**“Corruption” as:**

Dishonest activity in which an employee or contractor of the entity acts contrary to the interests of the entity and abuses their position of trust in order to achieve some personal gain or advantage for themselves or for another person or organisation. The concept of corruption can also involve corrupt conduct by the entity, or a person purporting to act on behalf of and in the interests of the entity, in order to secure some form of improper advantage for the entity.

Corruption is any deliberate or intentional wrongdoing that is improper, dishonest or fraudulent and can include:

- (a) Conflicts of interest;
- (b) Failure to disclose acceptance of gifts or hospitality;
- (c) Acceptance of a bribe;
- (d) Misuse of the internet or email or;
- (e) Release of confidential or private information or intellectual property.

Corrupt conduct typically shows a deliberate intent or an improper purpose and motivation and may involve conduct such as the deliberate failure to perform the functions of office properly; the exercise of power or duty for an improper purpose; or dishonesty.

4. Policy Statement

The City is firmly committed to a strong culture and sound governance that will protect and safeguard public funds and property. The City considers fraud, misconduct, and corruption to be serious matters and these activities are regarded as un-acceptable and a zero-tolerance approach is adopted by the City to such behaviours.

Fraud and corruption can present a risk to the City in terms of:

- (a) Reputational impact;
- (b) Financial loss;
- (c) Diversion of management energy;
- (d) Impacting Organisational morale;
- (e) Causing Organisational disruption;
- (f) Leading to loss of employment;
- (g) Reduced performance and;
- (h) Diminished safety.

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All of the City's employees are accountable for, and have a role to play in, fraud and corruption prevention and controls. Staff are encouraged to disclose actual or suspected fraudulent or corrupt activity.

Elected Members are responsible for demonstrating ethical behaviours when dealing with community members and the City's administration.

Suspected fraudulent or corrupt activities will be promptly investigated, and where appropriate legal remedies will be pursued. The City will protect the anonymity of staff reporting the activity where possible.

Consistent with the City's Public Interest Disclosure procedures, there will be no adverse consequences against anyone reporting suspected or known incidents.

A Fraud and Corruption Control Plan has been developed to assist the City meet the objectives of this policy by ensuring that it has thorough contemporary processes in place to mitigate the risk of fraud or corruption occurring in the City.

5. Managing Fraud and Corruption

The City will minimise fraud and corruption risk through:

- (a) Adopting the Fraud and Corruption Control Plan which is aligned with the Fraud and Corruption Control Standard (AS 8001-2008)
- (b) Integrating fraud and corruption risk identification and mitigation strategies as part of the City's governance framework;
- (c) Educating employees in accountable conduct and fraud awareness issues, including ongoing performance assessment and counselling; and
- (d) Monitoring, auditing and communicating processes.

6. Fraud and Corruption Control Plan

The objectives of the Fraud and Corruption Control Plan are to:

- (a) Reduce the potential for fraud and corruption within and against the City;
- (b) Build a culture which seeks to prevent fraud and corruption;
- (c) Allocate resources to the prevention of fraud and corruption;
- (d) Outline how suspected fraud and corruption is dealt with through risk management practices; and
- (e) Provide guidance on how any suspected instances of fraud or corruption are dealt with.

The Plan is built around four components: planning and resourcing, prevention, detection and response and details of the City's intended actions in implementing and monitoring fraud and corruption control initiatives. The key strategies giving rise to the Plan include:

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- (a) Training and awareness;
- (b) Pre-employment screening;
- (c) Risk assessment;
- (d) Internal and external audit;
- (e) Whistleblowing; and
- (f) Investigation procedures.

7. Roles and Responsibilities

7.1 Council

Council is responsible for adoption of the Fraud and Corruption Control Policy. Council sets the tone by adhering to the Fraud and Corruption Control policy.

7.2 The Audit and Risk Committee

The Audit & Risk Committee plays a central role in relation to fraud control, with key responsibilities including:

- (a) Reviewing risk management frameworks and associated procedures for the effective identification and management of fraud risks;
- (b) Overseeing development and implementation of the fraud control plan, to provide assurance that the City has appropriate processes and systems in place to detect and effectively respond to fraud related information; and
- (c) Providing leadership in the prevention of fraud and corruption.

7.3 Chief Executive Officer

The Chief Executive Officer (CEO) applies the City's resources to fraud prevention ensuring the adequacy of controls for managing fraud and corruption risks within the City.

In accordance with the *Corruption Crime and Misconduct Act 2003*, the CEO must notify the Corruption and Crime Commission or the Public Sector Commission if misconduct is suspected or identified.

7.4 Leadership Group

The Senior Management Group, consisting of the Executive, Managers and Co-ordinators is responsible for the implementation of the Fraud and Corruption Control Plan. Specific responsibilities of the Leadership Group are to:

- (a) provide leadership, guidance, training and support to employees in the prevention of fraud and corruption;
- (b) identify and manage high fraud risk areas;

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- (c) participate in fraud and corruption risk assessment reviews;
- (d) monitor the continued operation of controls;
- (e) report suspected fraud and corruption promptly, maintaining confidentiality; and
- (f) ensure the protection of complainants who report fraudulent and corrupt activities.

7.5 Public Interest Disclosure Officer

Public Interest Disclosure Officers investigate disclosures, and take action following completion of investigations under the Public Interest Disclosure Act 2003.

7.6 Director Corporate Services

The Director Corporate Services is responsible for leading the development of the Fraud and Corruption Control Plan and coordinating fraud and corruption training.

7.7 Manager Strategy, People and Performance

The Manager Strategy, People and Performance or their delegated officer is responsible for managing the grievance and discipline process.

7.8 Employees

All employees have a responsibility to contribute to preventing fraud and corruption by adhering to the Code of Conduct, complying with controls and policies, processes, resisting opportunities to engage in fraudulent or corrupt behaviour and reporting suspected fraudulent or corrupt incidents or behaviour.

7.9 Internal Auditors

Internal Auditors provide an independent and objective review and advisory service to:

- (a) Provide assurance to the Chief Executive Officer/Council that the financial and operational controls designed to manage the City's risks and achieve the City's objectives are operating in an efficient, effective and ethical manner; and
- (b) Assist management in improving the City's business performance.

7.10 External Auditors

External Auditors provide an opinion on whether the Annual Report represents a true and fair view of the financial position of the City at financial year end.

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The Annual External Audit of the Financial Reports assists in the detection of fraud under *Australian Auditing Standard ASA 240: The Auditors Responsibility to Consider Fraud in an Audit of a Financial Report*.

Status			
Related Local Law			
Related Council Policies			
Relevant Delegation			
Related Internal Procedures			
Related Budget Schedule			
Legislation	<i>Local Government Act 1995</i> <i>Fraud and Corruption Standards (AS8001-2008)</i>		
Conditions			
Authority			
Adopted		Next Review Date	

City of Kalamunda – Council Policy Manual 2019**Part 4—Service Delivery Policies****Service 1: Managing Unreasonable Conduct by Customers**

1. Purpose

The purpose of this policy is to provide guidance as to the basis for a fair, equitable and transparent mechanism for dealing with unreasonable conduct by customers, achieving a balance between:

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

2. Policy Statement

2.1 The City of Kalamunda is committed to being accessible and responsible to all customers who approach the City for assistance, raising legitimate and important concerns, enquiries or requests.

2.2 The Council and the City's Administration also have a responsibility to:

- (a) ensure the equitable allocation of the City's resources across all the enquiries, requests, concerns and complaints received;
- (b) ensure the health, safety and security of its employees and volunteers; and
- (c) consider the net public benefit for the community as a whole in the allocation of time and resources.

2.3 Customer satisfaction

This is an aspiration and priority for the City of Kalamunda, reflected in a variety of Customer Strategies and measures we have in place. However, at times the expectations or demands of a person may exceed the City's ability to deliver.

2.4 Unreasonable Behaviour

It is acknowledged that regardless of the standard of professional and positive customer service the City achieves, there will be a small percentage of customers whose issues cannot be dealt with to their satisfaction and engage in unreasonable behaviour in an attempt to obtain their desired outcome.

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In a small number of cases, customers behave in a way that is inappropriate and may demonstrate the following unreasonable behaviour:

- (a) Acting aggressively, including verbal abuse or threatening harm;
- (b) Bombarding employees with unnecessary and excessive phone calls and emails;
- (c) Making excessive and inappropriate demands of employee time and the City's resources; and/or
- (d) Refusing to accept decisions, explanations and recommendations, even after exhausting all internal and external review processes.

2.5 The Impact of Unreasonable Behaviour

The small percentage of customers who behave unreasonably consume a disproportionate amount of the City's time and resources and cause serious stress to employees and others.

2.6 Guiding Principles in Responding to Unreasonable Behaviour

All community members have the right to:

- (a) ask questions about the City and the services it provides;
- (b) express opinions about the City about the City's services; and
- (c) lodge complaints about the City and the City's services.
- (d) The right to ask questions, express opinions and lodge complaints is not unqualified. The City may, and in some cases is legally obligated to, take action when faced with unreasonable behaviour.
- (e) All members of staff, volunteers and Elected Members have the right to be treated with respect and courtesy by members of the community.
- (f) The City has a responsibility to eliminate and reduce risks to mental and physical health and safety under Occupational Safety and Health legislation.
- (g) The City has a statutory responsibility to ensure resources are allocated efficiently, effectively and equitably. This includes minimizing excessive diversion of resources to the personal benefit of individuals.
- (h) At all times, the City's responses will remain reasonable and proportionate to the nature of the behaviour and its impact on the City's employees and resources. This includes having a due regard to the person's personal circumstances.
- (i) As a last resort, the City may limit the person's access to City services in the interest of protecting the City's employees and resources. Such decisions will be made at a Director level and the

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person will be informed about the limits, the reasons for the decision and the options for review.

- (j) Nothing in this policy limits the capacity and legal requirement of the City to take immediate appropriate action where the unreasonable conduct involves:
- (i) an imminent and readily apparent threat to the mental or physical health or well-being of Elected Members, employees, volunteers or others; and/or
 - (ii) failure to obey a lawful instruction.

Status	Council Requirement		
Related Local Law			
Related Council Policies	Customer Service Policy Code of Conduct		
Relevant Delegation			
Related Internal Procedures	Customer Complaint Handling Processes		
Related Budget Schedule			
Legislation	Equal Opportunity Act 1984 (WA) Local Government Act 1995 (WA) Occupational Safety and Health Act 1984 (WA)		
Notes and Conditions	Ombudsman Western Australia – Managing Unreasonable Complainant Conduct Ombudsman New South Wales – Managing Unreasonable Complainant Conduct – Practice Manual 2 nd Edition Ombudsman New South Wales – Managing Unreasonable Complainant Conduct – a model policy and procedure Victorian Ombudsman – Good Practice Guide to Dealing with Challenging Behaviour City of Melville – Policy CP-107 – Managing Unreasonable Conduct by Customers – Adopted 17 July 2018		
Authority			
Adopted	NEW	Next Review Date	

City of Kalamunda – Combined Policies 2019

Service 2: Neighbour Mediation

1. Purpose

The purpose of this policy is to establish a neighbourhood mediation service which is fair, user friendly and neutral from the council's perspective and which supports strategies to resolve differences between neighbours related to matters relevant to council.

2. Policy Statement

This policy is intended for smaller scale matters including (but not limited to):

- (a) Unauthorised development
- (b) Non-compliant development
- (c) Amenity issues including noise and odour
- (d) Drainage issues
- (e) Pets
- (f) Privacy
- (g) Fences and retaining walls
- (h) Trees

where no more than 2 adjoining neighbours (in addition to the applicant) are involved.

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- 2.1 The City recognises that while it has a statutory obligation to uphold the requirements of various legislative instruments in an effective and efficient manner, in many cases it is preferable that neighbours develop their own solutions using mediation and discussion.
- 2.2 The City may defer compliance action for a period of up to 2 months to enable the parties to attend mediation.
- 2.3 The City will meet the costs of up to 3 mediation sessions conducted by a professional mediator appointed by the City during the deferral period where these sessions are agreed to and attended by all parties and where the matter falls within the statutory jurisdiction of the City.
- 2.4 In determining whether mediation is necessary the City shall take into consideration the nature of the issues raised by neighbours and any history of compliance issues on the respective sites, and whether there are reasonable arguments on both sides (i.e. where the merits of the case and specific impacts could both reasonably be argued).
- 2.5 The City cannot compel neighbours to participate in mediation. After Council has formally invited neighbours to attend mediation and one or more neighbours do not wish to attend, the matter will be determined in accordance with relevant legislation.
- 2.6 Where mediation has occurred, the matter will be determined taking into account the outcome of the mediation as well as the statutory obligations of the City. This does not affect the City's ability to issue an infringement notice or take other legal action. Where mediation is proposed, regard is to be given to the statutory time frames associated with infringements and legal action.
- 2.7 Where mediation has previously occurred, unless the current matter is significantly different to the previously mediated matter, further mediation may not be offered.

Status	Council and Statutory Requirement		
Related Local Law			
Related Council Policies			
Relevant Delegation			
Related Internal Procedures			
Related Budget Schedule			
Legislation			
Conditions			
Authority			
Adopted	23 November 2015	Next Review Date	

City of Kalamunda – Combined Policies 2019**Service 3: Disability Access and Inclusion**

1. Purpose

The purpose of this policy is to state the City of Kalamunda's position regarding the provision of an accessible, inclusive community for everyone including people with disabilities, their families and carers while meeting the requirements of the Disability Services Act 1993 and Regulations 2004

2. Policy Statement

The City of Kalamunda is committed to ensuring that the community is accessible for and inclusive of people with disability, their families and carers.

The City of Kalamunda interprets an accessible and inclusive community as one in which all Council functions, facilities and services (both in-house and contracted) are open, available and accessible to people with disabilities, providing them with the same opportunities, rights and responsibilities as other people in the community.

3. City of Kalamunda's Guiding Principle**3.1 The City of Kalamunda:**

- (a) recognises that people with disabilities are valued members of the community who make a variety of contributions to local social, economic and cultural life;
- (b) believes that a community that recognises its diversity and supports the participation and inclusion of all its members contributes to a richer community life;
- (c) believes that people with disabilities, their families and carers should be supported to remain in the community;
- (d) is committed to consulting with people with disabilities, their families and carers and disability organisations and service providers in addressing barriers to access and inclusion;
- (e) will ensure its agents and contractors work towards the desired outcomes in the Disability Access and Inclusion Plan (DAIP);
- (f) is committed to supporting local community groups and businesses to provide access and inclusion of people with disabilities; and
- (g) is committed to achieving the seven desired outcomes of its DAIP.

3.2 Seven Desired Outcomes for the Disability Access and Inclusion Plan

The Seven Desired Outcomes are:

- (a) People with disabilities have the same opportunities as other people to access the services of, and any events organised by, the City of Kalamunda.

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- (b) People with disabilities have the same opportunities as other people to access the buildings and other facilities of the City of Kalamunda.
- (c) People with disabilities have access to information from the City of Kalamunda in a format that appropriate to their needs.
- (d) People with disabilities receive the same level and quality of service from the staff of the City of Kalamunda.
- (e) People with disabilities have the same opportunities as other people to make complaints to the City of Kalamunda.
- (f) People with disabilities have the same opportunities as other people to participate in any public consultation by the City of Kalamunda.
- (g) People with disabilities have the same opportunities as other people regarding employment practices (recruitment and retention) with the City of Kalamunda.

The Council will establish a Disability Access and Inclusion Advisory Committee to provide guidance and advice to the Council and the City.

Status	Council Requirement		
Related Local Law			
Related Council Policies			
Relevant Delegation			
Related Internal Procedures			
Related Budget Schedule			
Legislation	Disability Services Act 1993 and Regulations 2004		
Conditions			
Authority			
Adopted		Next Review Date	

Service 4: Asset Management

1. Purpose

The purpose of this policy is to define the requirements for management of the City's assets, reflecting a sustainable approach to service delivery and to meet current and future needs of the community.

2. Policy Statement

In strategically managing the City's asset portfolio, the City will:

- (a) Consult with the community and customer groups to determine the acceptable levels of service provided by assets, including community and customer willingness to pay.
- (b) Manage asset performance, aligned with the levels of service, such that assets are cost effective, safe, capable, usable, high in amenity, and supportive of community values.
- (c) Ensure asset management planning is practiced across the organisation and supports the City of Kalamunda Strategic Community Plan.
- (d) Consider the life cycle cost, environmental and social impact, and sustainability implications of decisions relating to the maintenance of assets, renewal of assets, upgrade of assets and new assets.
- (e) Manage assets to support optimised service delivery.
- (f) Undertake asset management practices, valuation and reporting as specified by accounting standards and relevant legislation.
- (g) Develop procedures and processes for asset management practices as part of an asset management system, including data management, condition inspections, asset valuations, maintenance planning, consultation, capital works planning, performance management, asset management plans, and definition of roles and responsibilities.
- (h) Review the strategic approach to asset management every five years or earlier, including financial ratios.
- (i) Follow contemporary asset management practices such as provided by the Institute of Public Works Engineers Australasia's International Infrastructure Management Manual and associated publications.
- (j) Investigate alternative service and funding models including "non-asset" solutions, private partnerships, service sharing, and benefit cost models, as part of asset management decision making.
- (k) Manage long term asset management practices through a strategy for asset management, asset management plans for key asset classes, informing strategies to reflect changing asset needs, and by integrating with the Long Term Financial Plan and Workforce Plan.

Where possible, in a constrained funding environment, prioritise funding towards maintaining existing assets that are to be retained rather than creation of new assets

3. Measures of Success

The success of the policy will be measured through the:

- (a) Publication and review of Asset Management Plans for all key asset classes.
- (b) Achievement of the Asset Management Strategy's primary objective.
- (c) Achievement of Asset Ratios.

Status	Council and Statutory Requirements		
Related Local Law	Nil		
Related Council Policies	Asset Management Plans Asset Management Strategy 2017-2021 Kalamunda Advancing 2027 Strategic Community Plan		
Relevant Delegation	Nil		
Related Internal Procedures	Pending		
Related Budget Schedule	Nil		
Legislation	Local Government Act 1995 (WA) Local Government (Administration) Regulations 1996 and the Integrated Planning and Reporting Framework and Guidelines		
Conditions	Nil		
Authority	Director Asset Services		
Adopted		Next Review Date	August 2020

Service 5: Communication and Engagement

1. Purpose

The purpose of this policy is to:

- (a) Encourage the use of engagement analysis tools to inform on the performance of communications and engagement activities.
- (b) Encourage consultation and communication planning to meet stakeholder needs and expectations.
- (c) Ensure communication and community engagement is proactively planned around each major project and issue that arises.
- (d) Improve communication and brand consistency across the organisation.
- (e) Increase the timeliness and effectiveness of communication and engagement internally and externally.
- (f) Ensure the City is guided by relevant best practice principles and industry standards including the core values of the International Association of Public Participation (iap2) as outlined in the adopted Community Engagement Strategy 2017.
- (g) Increase employee communications, community engagement, and public confidence in the City and its management of local resources.

2. Policy Statement

The City of Kalamunda is committed to clear, consistent and timely communications, providing stakeholders with opportunities to be informed, participate, engage and contribute to the decisions made by Council on issues that affect them.

This policy addresses the key elements of both **communication** and **engagement** and outlines the City's objectives to deliver timely, meaningful and appropriate communication and engagement opportunities and to clearly show when and how stakeholders have contributed to the decision-making process.

3. Methodology

The City uses the iap2 Spectrum (as shown below) to assist and guide in the communication and engagement process. The model identifies five levels where communication and interactive opportunities are selected, depending on project purpose, audience and the expected influence of each.

4. The City's Commitments

The City commits to:

- (a) open and transparent communication. Unless something is commercially confidential, it should be communicated in a complete, unambiguous and timely manner;
- (b) communicating about significant happenings in a thoroughly planned manner. Care should be taken to decide and plan what requires formal communication by

whom, and by when, through what channel – and how effectiveness will be measured;

- (c) communicating both good and bad news quickly, even if the full impact of the decision or message may not be clear;
- (d) recognising those who are affected by a decision have a right to be involved in the decision-making process;
- (e) seeking out and enabling the involvement of those potentially affected;
- (f) involving participants in choosing and defining how they receive information or participate;
- (g) communicating to participants how their input affected the decision;
- (h) providing participants with the information they need to participate in a meaningful way; and
- (i) providing an ongoing relationship between Council and the community.

5. Engagement Spectrum

Each project or issue being managed will have varying resource implications and various levels of potential influence within one activity, with a need to move up and down the engagement spectrum.

Inform	Consult	Involve	Collaborate	Empower
Public Participation Objective				
To provide the public with balanced and objective information to assist them in understanding the problems, alternatives, opportunities and/or solution.	To obtain public feedback on analysis, alternatives and/or decisions.	To work directly with the public throughout the process to ensure that public concerns and aspirations are consistently understood and considered.	To partner with the public in each aspect of the decision including the development of alternatives and the identification of the preferred solution	To place final decision making in the hands of the public.
Obligations to the Public				
We will keep you informed.	We will keep you informed, listen to and acknowledge concerns and aspirations, and provide feedback on how public input influenced the decision. We will seek your feedback on drafts and proposals.	We will work with you to ensure that your concerns and aspirations are directly reflected in the alternatives developed and provide feedback on how public input influenced the decision.	We will work together with you to formulate solutions and incorporate your advice and recommendations into the decisions to the maximum extent possible.	We will implement what you decide.

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Source – International Association of Public Participation

6. Communication and Engagement Principles

- (a) The communication and engagement program will be interesting, equitable, inclusive, adequately resourced and specifically tailored to each project or issue.
- (b) Communication and engagement activity will begin early and be part of project scoping and milestones identification, rather than being a one-off event or undertaken after a final decision
- (c) The history of previous communications and engagement programs will be taken into account
- (d) The purpose, expected outcomes and decision-making process will be clearly communicated to all parties participating.
- (e) Diverse communication and engagement techniques will be implemented to maximise opportunity for participation and flexibility of choice on how to engage.
- (f) Communication and engagement approaches will be constantly evaluated against objectives and modified accordingly to meet changing needs.
- (g) Participants will be provided with 'Feedback Summaries' following consultation activities.

7. Roles and Responsibility

7.1 Role of Elected Members

Elected Members are to ensure Community Engagement principles are encompassed in the decision-making process of Council.

Stakeholder engagement does not replace Council decision-making responsibility, rather it is designed to ensure Council has access to a range of information about stakeholder and community needs, opinions and options, prior to making decisions.

Stakeholder feedback is one part of the information gathering process upon which decisions are based. Other information which may be taken into account includes technical advice, legal advice, third party expert advice and other stakeholder advice as necessary.

As one of the City's roles is Advocacy, there may be circumstances where public participation is not undertaken by the City, such as major infrastructure projects delivered by the State or Federal Government. These projects will be outlined in the City's annual advocacy program.

When a decision is mandatory, Council shall comply with statutory requirements, such as for strategic planning documents or Development Applications.

Status	Council and Statutory Requirements		
Related Local Law			
Related Council Policies and Strategies	Kalamunda Advancing 2027 Strategic Community Plan		
Relevant Delegation			
Related Internal Procedures			
Related Budget Schedule			
Legislation	Local Government Act 1995 (WA) Local Government (Administration) Regulations 1996		
Conditions			
Authority			
Adopted		Next Review Date	

Service 6: Event Sponsorship and Donations

1. Purpose

The purpose of this policy is to provide an assessment framework for event sponsorship applications and donation requests made to Council.

Council will consider sponsorship of organisations and individuals to hold events in the City that reflect the eligibility criteria in the *Kalamunda Events Strategy: Making Kalamunda a Destination of Choice 2014-2018*.

This policy aims to ensure the Council can fairly assess applications for sponsorship, donations and in-kind support, against criteria that ensures mutually beneficial, pre-determined community outcomes.

This document applies to events and activities held in the City of Kalamunda only.

2. Policy Statement

The City of Kalamunda is an active supporter of community events.

We aim to provide our people with enjoyment and actively engage in innovative ways. Supporting a wide range of events will enhance liveability and the City's reputation as a destination of choice.

3. Principles

- 3.1 Council will consider sponsorship of organisations and individuals to hold events in the City that meet the Kalamunda Events Strategy: Making Kalamunda a Destination of Choice 2014-2018, eligibility criteria.
- 3.2 Event sponsorships and donations requests should demonstrate how they contribute to building capacity for community groups to achieve a position of longer-term self-sufficiency.
- 3.3 Support may range from in-kind, to seed funding, up to substantial support for event delivery. Applications for financial support can only be made once a year.
- 3.4 Applications with requests for a donation or waiving of fees must be received at least three months prior to the event.
- 3.5 Sponsorship requests can be made at any time during the year but will only be considered in relation to the annual budget cycle.
- 3.6 Applications for Sponsorship must be submitted each year by March 30 for the following financial year. Specific donation amounts and sponsorship packages available are predetermined. Sponsorship differs from a Partnership.

4. Partnerships

Partnerships are specific agreements made under a Memorandum of Understanding (MOU) with a longer-term commitment, and a broader range of significant outcomes to achieve, in collaboration with an external stakeholder. Partnerships are not governed by this policy.

5. Sponsorships

- 5.1 Sponsorships specifically relate to covering some of the costs associated with an event program in exchange for a level of recognition.
- 5.2 All sponsorship activity should:
 - (a) meet the Kalamunda Events Strategy objectives;
 - (b) provide positive exposure for the City's brand image locally and regionally;
 - (c) meet mutually beneficial, reciprocal business benefits outlined in the application criteria, to provide adequate return on investment for the City;
 - (d) show potential toward sustainability with the development of viable long-term relationships and community outcomes; and
 - (e) enhance a strong sense of community to benefit residents and attract visitors.
- 5.3 An event or activity must:
 - (a) be accessible, free or low-cost;
 - (b) demonstrate benefit to the wider community or a specifically targeted community group;
 - (c) align with the City's values and objectives as set out in the Kalamunda Events Strategy: Making Kalamunda a Destination of Choice 2014-2018; and
 - (d) provide promotional opportunities for the City relative to the level of sponsorship package.
- 5.4 Examples of events that may be supported include, but are not limited to:
 - (a) cultural or community events;
 - (b) sporting or recreation events;
 - (c) carnivals, festivals or fairs held within the City; and
 - (d) community development and welfare events or programs for specific target groups, for example Seniors, Youth, Disability Groups.
- 5.5 Categories of Donation and Sponsorship

Applicants may apply for one category of monetary support each financial year at the following levels. The Event Sponsorship and Donations budget only allows for approval of applications to a maximum monetary value.

Donation/ Waiving of Fees	Sponsorship
Up to \$250	Bronze (up to \$5,000)
Up to \$500	Silver (up to \$10,000)
Up to \$1,000	Gold (up to \$15,000)
	Platinum (up to \$20,000)

5.6 Eligibility

To be eligible to apply an organisation must be registered within the City of Kalamunda and provide a service/activity primarily for residents of Kalamunda.

5.7 Exclusions

Council will not provide sponsorship to any event, activity or organisation where, in the view of the Council, the proposal:

- (a) does not meet with the Council's expectations of contributing to a just, fair and equitable society; and
- (b) the City's values in general or where activities; or
- (c) other sponsors are engaged in the promotion of tobacco, alcohol (see Clause 6.3 below), fire arms, politics, specific religious doctrines or for-profit activities.

5.8 Organisations which have previously received sponsorship but have either not completed their sponsorship reporting or have failed to provide an adequate outcomes report will not be eligible.

5.9 Events where alcohol is served responsibly as part of your event e.g. wine tasting, stakeholder cocktail party, are permitted and will be reviewed on a case-by-case basis:

- (a) Low strength alcohol and non-alcoholic choices must also be available where alcohol is available at the event.
- (b) Activities or promotions that encourage rapid consumption of alcohol (e.g. discounted drink prices, happy hours, drinking competitions) will not be supported.

5.10 Organisations are also ineligible for donations and event sponsorship if the application is for:

- (a) an organisation that has previously submitted, and been successful, with an application for sponsorship, contribution or donation within the same financial year;
- (b) an event that has already occurred or will occur during the application assessment timeframe;
- (c) the total cost of the event;
- (d) general business operating expenses;
- (e) costs already being covered by another sponsor or government body. Evidence of other sponsorships e.g. Healthway, Lotterywest or private companies, are to be stated within your application

5.11 The City will assess the risk of any co-sponsorship arrangement(s) which may undermine City objectives.

Status	Council Requirement		
Related Local Law			
Related Council Policies			
Relevant Delegation			
Related Internal Procedures	Community Engagement Strategy Community Funding Procedures		
Related Budget Schedule			
Legislation			
Conditions	This policy replaces: ART3 Festivals and other High Profile Community Events COMR14 Private sponsorship of Council Events		
Authority			
Adopted		Next Review Date	

Service 7: Art Collection Acquisition and Management

1. Purpose

The purpose of this policy is to develop and maintain an art collection representing the unique culture, history and environment of the City of Kalamunda which is suitable to Council's available exhibition space, other exhibition opportunities, available storage space and Council's capacity to maintain and restore works.

In acquiring works, the City will endeavour to contribute to the cultural development of the City and promote and support local and regional artists whose work is relevant to the City, the times and the community.

2. Policy Statement

The City of Kalamunda shall develop, maintain and manage an Art Collection which is representative of the diversity of artistic expression within the community.

2.1 Criteria for Acquisition

Criteria for art work selection shall include, but not be limited to the following:

- (a) Art objects exploring the history, local identity, environment, sense of place and cultural diversity of Kalamunda.
- (b) Artwork which interprets some aspect of Kalamunda.
- (c) Artwork which enhances the integrity and internal cohesion of the current collection in painting, works on paper or photography by relating to one of the aesthetic, thematic or conceptual strands within the Collection.
- (d) Artwork which fills a gap in the artistic history of Kalamunda.
- (e) Artwork which relates to a specific locality, architectural feature or Council building within the City environs.

2.2 Acquisition

- (a) Acquisitions of art works shall include a range of art work that, through display, enhance public buildings, spaces, and corporate areas.
- (b) An acquisition process will be established which utilises independent assessment from individuals selected by the Arts Management Committee working within an annual budgeted acquisition program.
- (c) All art and object acquisitions, donations and gifts should wherever practical have the endorsement of the Executive Manager Community Services.
- (d) Acquisition must be authenticated and supported by adequate documentation including but not limited to curation & maintenance advice, engineering assessments (where relevant) and interpretive description of the artwork.
- (e) Items in poor or questionable condition should only be considered in exceptional circumstances and after condition issues are resolved through a condition report.
- (f) Artworks with specialised installation requirements must have these resolved before acquisition.

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2.3 Gifts and Donations of Artwork

From time to time Council receives or is offered gifts or donations of artworks and notes:

- (a) Council reserves the right to respectfully decline such offers on the basis that the collection is already well represented in that capacity, there is insufficient or inadequate exhibition or storage capacity, or the work is of a form which does not suit the scale and mix of the City's collection.
- (b) The City may accept a gift which it later chooses to dispose of as part of the regular collection review program.
- (c) These gifts or donations are deemed unconditional gifts unless otherwise agreed and documented.

2.4 Display of Artwork

- (a) The Collection shall be displayed in public areas, libraries and designated office areas in an aesthetically pleasing and appropriate context which maximises and enhances public enjoyment and education, giving due recognition to the artists' intent.
- (b) In recognition that not all works may be on display at any one time, Council will ensure that works are stored in a manner which meets archival storage guidelines set out by the WA Art Gallery or equivalent authority.

2.5 Collection management

- (a) The Collection will be properly documented and catalogued to enable identification, informed management decisions and the provision of information to the public.
- (b) The Collection will be independently assessed and valued in compliance with Local Government Regulations.
- (c) The Collection will be subject to periodic review.
- (d) The Council reserves the right to dispose of works as a necessary part of developing the collection to its fullest potential, and of responsible collection management; or where a work requires such attention that it unreasonably drains resources needed for the care of the rest of the Collection.
- (e) Council will be sensitive to religious beliefs and cultural significance relating to certain objects originating in various societies.

Service 8: Street Tree and Streetscape Management

1. Purpose

The purpose of this policy is to provide a framework for the provision, maintenance and removal of street trees and development of streetscapes to meet the needs and expectations of the City of Kalamunda (City) and community which is consistent with the City's strategic objectives and operational requirements.

2. Application

This policy does not apply to trees or landscaping on private property or on City reserves or land under the care or management of Federal or State Government instrumentalities.

3. Policy Statement

The City recognises the significance of streetscapes and naturally occurring and planted trees as integral to the identity of the City. Also, having an urban forest is shown to contribute to the health and wellbeing of the community.

The City is committed to (wherever possible):

- (a) The conservation and preservation of existing healthy street trees.
- (b) The protection of significant trees and remnant bushland on the roadside.
- (c) The enhancement of streetscapes through street tree planting and landscaping with suitable species.
- (d) The reduction of risk through pruning, canopy reduction, tree removal and verge treatments, as appropriate.
- (e) Vegetation care principles to aid the health and resilience of plants.

In achieving these principles, the City will:

- (a) Take a proactive asset management approach to the management of street trees and streetscapes.
- (b) Recognise and manage budget limitations and ensure decisions reflect the principles of financial sustainability.
- (c) Achieve utility and infrastructure requirements.
- (d) Minimise risk and meet its duty of care legal obligations.
- (e) Deliver broader ecological, social and aesthetic benefits to present and future generations.
- (f) Retain healthy trees wherever possible.
- (g) Undertake assessment of the need to remove street trees where:
- (h) All or part of the tree is dead, suffering termite or other damage or is determined by the City or its arborist to be declining in health. In some cases, dead trees may provide habitat for local fauna and will be assessed accordingly for possible retention.

- (i) It is a cultivated street tree and is considered a hazard to residents, motorists or property.
- (j) The street tree was planted without approval from the City and is determined to be unsuitable in the area.
- (k) As part of the development approval process the tree is considered, by the City, appropriate to remove.
- (l) The tree causes reoccurring damage to public infrastructure that outweighs its public benefit.
- (m) The tree has adverse impact on access.
- (n) The tree presents an unacceptable risk in regard to the City's Bushfire Management Plan and procedures
- (o) A subsequent decision to remove a street tree will require documentation of the assessment above and where deemed appropriate an independent Arborist assessment

The implementation of this policy reinforces the strategic priorities, as set out in the Kalamunda Advancing: Strategic Community Plan to 2023.

Status	Council Requirement		
Related Local Law	Street Lawns and Gardens (1964)		
Related Council Policies and Strategies			
Relevant Delegation			
Related Internal Procedures	Street Tree Preservation Procedure Streetscape Planting Procedure Verge Development Procedure Roadside Fire Mitigation Procedure		
Related Budget Schedule			
Legislation	Local Government Act 1995 (WA) Local Government (Administration) Regulations 1996 Bushfire Act 1954 (WA)		
Conditions			
Authority	Director Asset Services		
Adopted		Next Review Date	

Service 9: Community Group Leases

1. Purpose

To provide spaces for community groups within the City and ensure consistency and transparency for all leasing activities. This Policy will also ensure that lessees maintain a sense of responsibility toward City assets and provide for the effective use and efficient management of those facilities to the benefit of the community.

2. Policy Statement

The City is committed to providing long-term leased facilities to community groups within the City to support their activities for the benefit of the community.

Lease terms should not generally be negotiated for a total term, including options, longer than 10 years. Such leases are available only to associations formed under the *Associations Incorporation Act 1987*, all other long-term leases will be considered as Commercial Leases.

Leases are on the basis that the community group will be responsible for the consumables they use, minor maintenance and other nominal costs, except those costs identified within the Management Procedures to this Policy as being the responsibility of the City. In recognition of the community benefit provided by Associations, the lease fee applicable will be \$1.00 per annum (peppercorn).

Community Groups that are unwilling to sign a Lease Agreement in accordance with this Policy, will be required to hire their facilities in accordance with the City's Casual Facility Hire Agreement at the rate applicable for that facility.

Status			
Related Local Law			
Related Council Policies	Governance 7 – Capital Grants – Clubs and Community Groups Policy		
Relevant Delegation			
Related Internal Procedures			
Related Budget Schedule			
Legislation			
Conditions			
Authority			
Adopted		Next Review Date	

Service 10: Community Funding

1. Purpose

The purpose of this policy is to provide a framework to ensure the effective, consistent and fair provision of grant funding to recognise and assist individuals and groups in the City of Kalamunda, in line with the City's Strategic Community Plan.

2. Policy Statement

The City of Kalamunda, through the delivery of a Community Funding Program, is committed to actively supporting individuals and groups in recognition of the key role that they play in developing vibrant and diverse communities.

This policy guides how the City responds to requests for financial assistance from individuals and groups in line with the City's Strategic Community Plan.

The Community Funding Program is divided into three (3) principal areas in order to encourage a range of applications and activities, as follows:

- (a) Sport and Recreation Development
- (b) Community Development
- (c) Youth
- (d) Citizenship (Schools)
- (e) Achievement

This policy applies to the types of grant funding nominated under each principal area of the program. This policy does not consider funding requests from the community for prizes, annual or special appeals, cash donations, waiver of fees and charges.

Capital funding requests will be considered by Council through the Capital Grants – Clubs and Community Groups Policy.

Status			
Related Local Law			
Related Council Policies	Capital Grants – Clubs and Community Groups Policy		
Relevant Delegation			
Related Internal Procedures			
Related Budget Schedule			
Legislation			
Conditions			
Authority			
Adopted		Next Review Date	

Service 11: Trading on Thoroughfares or Public Places – Permit Conditions

1. Purpose

The purpose of this policy is to ensure a consistent approach is taken during the assessment of trading permits under clause 3.6(1) of the City's Trading in Thoroughfares and Public Places Local Law 2008.

2. Policy

2.1 Trading in Public Places and Thoroughfares – Permit Conditions

In order to provide an efficient application process for trading in public places, approvals are limited to the locations prescribed within the table in Schedule 1 and the maps within Schedule 2 of this Policy, unless otherwise approved by the Director Development Services.

2.2 Alfresco Dining Area

Alfresco Dining Permits are required within the proposed dining area is to be located on land administered by the City. Alfresco dining areas are to be located adjacent to the associated business and not the locations within Schedules 1 and 2, unless otherwise approved by the Chief Executive Officer

Schedule 1

Location	Reference Number
Fleming Reserve, 111 Newburn Road, High Wycombe	1
Lesmurdie Lions Lookout, 2 Welshpool Road, Lesmurdie	2
Elizabeth Street Car Park, Stirk Park, 18 Kalamunda Road, Kalamunda	3
Zig Zag Car Park, 1 Zig Zag Scenic Drive, Gooseberry Hill	4
Corner of Midland Road and Ridge Hill Road, Maida Vale	5
Jorgenson Park, 2 Crescent Road, Kalamunda	6
Corner of Hawtin Road and Norwood Road, Maida Vale	7
Lesmurdie Falls Car Park, 186 Falls Road, Lesmurdie	8

Schedule 2

Location 1



Location 2



Location 3



Location 4



Location 5



Location 6



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Location 7



Location 8



Version date and time - 11:10 AM Thursday, 1 August 2019

Status	Council Requirement		
Related Local Law			
Related Council Policies			
Relevant Delegation			
Related Internal Procedures	Street Tree Preservation Procedure Streetscape Planting Procedure Verge Development Procedure Roadside Fire Mitigation Procedure		
Related Budget Schedule			
Legislation			
Conditions			
Authority			
Adopted		Next Review Date	

Service 12: Sporting Reserves Usage

1. Purpose

The purpose of this policy is to ensure the effective, consistent and fair management of the City's sporting reserves for the benefit of the community.

2. Policy Statement

Council aims to maximise the use of its sporting reserves and wherever possible, accommodate a diverse range of activities and user groups on both a casual and regular basis, rather than provide exclusive use for a single user group or activity.

3. Definitions

3.1 Casual Hirer

One off or short term hire is available to organisations or individuals, subject to availability and the activity suitability for the reserve. Casual Hirers are required to have Public Liability Insurance when part of an organisation. Individuals are not required to have Public Liability Insurance unless requested.

3.2 Regular Hirer

Regular hire (11 bookings or more annually) is available to organisations or individuals, subject to availability and the activity suitability for the reserve. All Regular Hirers are required to have Public Liability Insurance.

3.3 Seasonal Hirer

Seasonal hire of reserves is available to sport and active recreation clubs for the duration of the season. All Seasonal Hirers are required to have Public Liability Insurance.

(a) Summer season: 1 November to 31 March

(b) Winter season: 1 April to 31 October

Preference will be given to Seasonal Hirers who have previously accessed the reserve, subject to the activity suitability.

A two week reserve maintenance program is scheduled between seasons. Reserves may not be available for this period by any Hirers with consideration given to the nature of use and the expected wear and tear on the reserve, and the recognised maximum usage amount of 25 hours per week.

Pre-season applications will only be accepted and subject to change in consideration of the 'in season' club requirements.

3.1 Application to hire

Any request for hire of a reserve will be referred to the Community Development Department. Applications must be received at least two weeks prior to the booking. The minimum time for any booking is one (1) hour.

Once an application is received a two week processing time is required to process and confirm or decline the request. All applicants will be notified in writing the outcome of the application. The City reserves the right to decline or refuse hire of its reserves.

In addition, the City reserves the right to request an Event Application Form to assess the impact on the surrounding community.

3.2 Fees and Charges

A schedule of Fees and Charges applicable to reserves is determined annually through Council's budget process in accordance with the Local Government Act 1995 Section 6.16 (Imposition of Fees and Charges) and Section 6.17 (Setting Fees and Charges).

Use of reserves by juniors (under 18 years of age) will be subsidised 100%.

3.3 Non-Compliance of Conditions of Hire

The City reserves the right to cancel any booking where it has been determined that the Hirer has either breached the Conditions of Hire, has outstanding hire fees for 120 days or when the Hirer has accessed the reserve outside of allocated hire times without prior permission.

In exercising its rights, the City will:

- (a) Issue a first warning in writing to the Hirer in regard to the non-compliance/s.
- (b) Suspend use for a period of up to one month in the event of a second non-compliance.
- (c) Cancel use in the event of a third non-compliance.

The Hirer will have the right of appeal in accordance to the Local Government Property Local Law.

Status			
Related Local Law			
Related Council Policies	Event Sponsorship and Donation Policy		
Relevant Delegation			
Related Internal Procedures			
Related Budget Schedule			
Legislation	Local Government Act 1995 Section 6.16 (Imposition of Fees and Charges) Local Government Act 1995 Section 6.17 (Setting Fees and Charges). Local Government Property Local Law (clause 7.1).		
Conditions			
Authority			
Adopted		Next Review Date	

Service 13:Reserves Sports Floodlighting

1. Purpose

The purpose of this policy is to guide the forward planning and development of sports floodlighting infrastructure on reserves within the City of Kalamunda.

2. Policy Statement

- 2.1 The City will consider requests for capital funding for reserve sports floodlighting from local community and sporting groups through the Capital Grants – Clubs and Community Groups Policy (C-COMR21).
- 2.2 This policy guides the provision and operational impact of sports floodlighting on the City's sporting reserves.

3. Compliance with Relevant Standards and Other Policies

- 3.1 Australian Standards - Any new sports floodlighting or upgrade of sports floodlighting must comply with the relevant Australian Standards.
- 3.2 Other Relevant Standards- In the event that no Australian Standard exists to determine the sports floodlighting requirements for specific purposes, the Council in consultation with relevant stakeholders (e.g. State Sporting Association, State Government (Department of Local Government, Sport and Cultural Industries (DLGSCI)), local sporting groups etc.) shall determine an appropriate standard to which the sports floodlighting must comply. In this case, the Australian Standard for activities of a similar nature may be referenced. The determination of appropriate standards shall give due consideration to the nature and speed of the activities likely to occur on the City's sporting reserves.

4. Level of Provision

- 4.1 Standard Provision - The City will provide floodlighting infrastructure to a "training level only" on the City's sporting reserves that comply with the appropriate Australian Standards, this policy, and in accordance with the City's available resources and budgetary priorities. The City will maintain these assets, in accordance with its Asset Management Plan.
- 4.2 Competition Level – Where identified through relevant Reserve Master Plans and/or demonstrated through a relevant business case, the City may support floodlighting to a "competition level" for large ball sports.
- 4.3 Small Ball Sports – The provision of floodlighting for small ball sports will be identified through the City's relevant Reserve Master Plans and/or demonstrated through a relevant business case.

5. Funding

- 5.1 External Funding – To leverage City funding, external funding assistance will be sought through the DLGSCI's Community Sporting and Recreation Facilities Fund program or other funding sources.

- 5.2 Sporting Club/Community Group Contribution - Clubs and community groups who are likely to benefit from a proposed sports floodlighting project, will be expected to contribute financially towards the project.

6. Sports Lighting Operation

- 6.1 New sports floodlighting to be installed on the City's Ovals, Reserves and Outdoor Sporting Facilities shall include suitable devices such as timing switches, SMS controls, sub meters, light sensors and glare shields) to manage the effectiveness of the floodlights and address concerns of nearby residents.
- 6.2 The ongoing electricity costs for the operation of sports floodlighting shall be borne by the hirer, as per the City's schedule of Fees and Charges.

7. Ownership

- 7.1 Sports floodlighting on the City's Reserves and Outdoor Sporting Facilities, (whether funded by a Sporting Club, Community Group or otherwise) shall be recognised as an asset of the City.
- 7.2 The City shall have the absolute discretion to allow other hirers to utilise the sports floodlighting, with charges to be in accordance with the City's schedule of fees and charges.

Status			
Related Local Law			
Related Council Policies	C-COMR21 – Capital Grants – Clubs and Community Groups Policy		
Relevant Delegation			
Related Internal Procedures			
Related Budget Schedule			
Legislation			
Conditions			
Authority			
Adopted		Next Review Date	