

# Northern Midlands Council Account Management Report

## Income & Expenditure Summary for the Period Ended 31 July 2018 (8% of Year Completed)

Line Item	Operating Statement		Corporate Services		Regulatory & Community Services		Development Services		Works & Infrastructure Services		Total Operating Statement		% of Budget
	2018/19 Budget	2018/19 Actual	2018/19 Budget	2018/19 Actual	2018/19 Budget	2018/19 Actual	2018/19 Budget	2018/19 Actual	2018/19 Budget	2018/19 Actual	2018/19 Budget	2018/19 Actual	
1 Wages	250,803	14,109	995,247	48,495	278,205	10,258	297,344	17,193	1,686,695	72,268	3,508,294.00	162,323.00	4.63%
2 Material & Services Expenditure	320,702	41,563	753,225	85,033	296,956	4,302	330,622	3,325	3,104,472	57,817	4,805,977.00	192,090.00	4.00%
3 Depreciation Expenditure	60,489	5,159	148,289	12,450	37,955	3,195	8,483	673	5,145,257	428,600	5,400,473.00	450,077.00	8.33%
4 Government Levies & Charges	36,870	0	671,502	0	1,760	0	0	0	62,930	497	773,062.00	497.00	0.06%
5 Interest Expenditure	0	0	235,992	1,813	0	0	0	0	0	0	235,992.00	1,813.00	0.77%
7 Councilors Expenditure	197,640	4,132	0	0	0	0	0	0	0	0	197,640.00	4,132.00	2.09%
8 Competitive Neutrality Expenditure	0	0	0	0	0	0	0	0	0	0	0.00	0.00	0.00%
9 Other Expenditure	467,027	53,366	494,908	426,652	152,422	7,037	6,770	1,144	131,258	17,039	1,252,385.00	505,240.00	40.34%
11 Oncost	112,861	6,331	274,189	13,686	107,313	4,164	129,377	7,737	664,496	28,771	1,288,236.00	60,689.00	4.71%
12 Internal Plant Hire/Rental	20,430	64	21,700	858	36,530	1,016	27,650	1,522	909,860	38,664	1,016,170.00	42,144.00	4.15%
13 Internal Rental/Rates	0	0	1,640	0	530	0	0	0	5,230	0	7,400.00	0.00	0.00%
10 Other Internal Transfers Expenditure	0	340	6,591,619	547,779	0	0	0	0	28,120	3,582	6,619,739.00	551,701.00	8.33%
14 Oncosts Paid - Payroll	57,289	53	224,531	9,950	57,941	5,006	64,907	701	356,976	12,142	761,624.00	27,652.00	3.66%
15 Oncost Paid - Non Payroll	81,803	2,833	259,959	10,026	77,238	2,048	84,335	19,035	489,494	34,299	988,829.00	33,945.00	3.43%
16 Plant Expenditure Paid	5,120	588	14,420	3,490	14,340	2,677	9,530	535	482,110	34,299	505,620.00	41,569.00	8.22%
<b>48</b>	<b>1,611,014</b>	<b>128,520</b>	<b>10,683,221</b>	<b>1,160,255</b>	<b>1,061,190</b>	<b>39,703</b>	<b>959,018</b>	<b>32,630</b>	<b>13,046,898</b>	<b>712,734</b>	<b>27,361,341.00</b>	<b>2,074,042.00</b>	<b>7.56%</b>
17 Rates Revenue	0	0	(9,985,941)	(9,772,430)	(23,762)	(22,977)	0	0	(738,969)	(738,804)	(10,748,672.00)	(10,534,211.00)	98.00%
18 Reimburse Grant Revenue	0	0	(1,776,066)	(36,638)	0	0	0	0	(2,355,552)	0	(4,131,618.00)	(36,638.00)	0.89%
19 Fees and Charges Revenue	(100)	0	(777,258)	(44,955)	(155,526)	(38,043)	(353,305)	(20,052)	(457,542)	(86,424)	(1,743,731.00)	(1,989,484.00)	10.87%
21 Interest Revenue	(416,850)	40,109	(212,450)	(8,204)	0	0	0	0	0	0	(629,300.00)	31,905.00	-5.07%
22 Reimbursements Revenue	(2,000)	(159)	(27,667)	(1,852)	(7,169)	0	0	0	(14,773)	0	(51,609.00)	(2,011.00)	3.90%
Interest Expenditure Reimbursed	0	0	(235,992)	0	0	0	0	0	0	0	(235,992.00)	0.00	0.00%
Oncost Recoveries - Internal Tier	(112,762)	(6,291)	(271,303)	(13,195)	(106,566)	(4,232)	(129,378)	(7,527)	(839,213)	(36,186)	(1,459,222.00)	(67,441.00)	4.62%
Plant Hire Income - Internal Tier	(11,270)	0	(20,480)	0	(22,530)	0	(22,810)	0	(1,183,940)	(110,263)	(1,110,263.00)	(110,263.00)	8.74%
10 Other Internal Transfers Income	(20,572)	(1,872)	(579,644)	(10,844)	(736,329)	(80,929)	(461,519)	(43,324)	(5,301,676)	(442,536)	(7,098,739.00)	(559,505.00)	7.88%
23 Other Revenue	(468,000)	(31,972)	(14,787)	(109)	(2,179)	(7)	0	0	(41,393)	(3,619)	(526,359.00)	(25,707.00)	6.78%
	(1,031,554)	(185)	(13,901,588)	(9,888,237)	(1,054,061)	(126,186)	(967,011)	(70,903)	(10,933,058)	(1,417,842)	(27,887,272.00)	(11,503,355.00)	41.25%
<b>Underlying (Surplus) / Deficit Before</b>	<b>579,460</b>	<b>128,335</b>	<b>(3,218,367)</b>	<b>(8,727,982)</b>	<b>7,129</b>	<b>(86,485)</b>	<b>(7,993)</b>	<b>(38,073)</b>	<b>2,113,840</b>	<b>(705,108)</b>	<b>(525,931)</b>	<b>(9,429,313)</b>	
20 Gain on sale of Fixed Assets	0	0	0	0	0	0	0	0	0	0	0	0	
6 Loss on Sale of Fixed Assets	0	0	0	0	0	0	0	0	520,505	0	520,505	0	
Net Loss On Disposal of Fixed Assets	0	0	0	0	0	0	0	0	520,505	0	520,505	0	
<b>Underlying (Surplus) / Deficit</b>	<b>579,460</b>	<b>128,335</b>	<b>(3,218,367)</b>	<b>(8,727,982)</b>	<b>7,129</b>	<b>(86,485)</b>	<b>(7,993)</b>	<b>(38,073)</b>	<b>2,634,345</b>	<b>(705,108)</b>	<b>(5,426)</b>	<b>(9,429,313)</b>	
Capital Grant Revenue	0	0	(11,000)	0	0	0	0	0	(1,242,521)	(50,000)	(1,253,521)	(50,000)	
Subdivider Contributions	0	0	0	0	0	0	0	0	(523,827)	0	(523,827)	0	
	0	0	(11,000)	0	0	0	0	0	(1,766,348)	(50,000)	(1,777,348)	(50,000)	
<b>Operating (Surplus) / Deficit</b>	<b>579,460</b>	<b>128,335</b>	<b>(3,229,367)</b>	<b>(8,727,982)</b>	<b>7,129</b>	<b>(86,485)</b>	<b>(7,993)</b>	<b>(38,073)</b>	<b>887,997</b>	<b>(755,108)</b>	<b>(1,782,774)</b>	<b>(9,479,313)</b>	





**Policy Name:**

Access to Units Policy

**Originated Date:**

Adopted 13 June 2000 – Min No. 264/00 (as Policy 25)

**Amended Date/s:**

Reviewed 20 August 2018 – Min No. .... /18

Reviewed 21 September 2009 – Min No. 255/09

Reviewed 21 September 2015 – Min No. 270/15

**Applicable Legislation:****Dataworks Reference:**

44/001/001

**Objective**

To ensure that the:

- i) Consumer's access to a unit is determined according to his/her level of assessed need
- ii) Consumer's access to a unit is decided on a non-discriminatory basis
- iii) Consumer's refusal of a unit is respected and does not prejudice any future attempt in access
- iv) Consumers are made aware of and obtain private insurance, a requirement to cover contents/possession.

### 1. UNITS – WILLIAMS STREET, CAMPBELL TOWN & 2-4 MURRAY STREET, EVANDALE

Units located at Campbell Town and Evandale are owned by Northern Midlands Council (NMC).

Campbell Town Health Centre advises the NMC on management of the Campbell Town units.

Campbell Town Health Centre will recommend to the NMC in relation to Older Persons in the community who wish to rent/reside in Council units – William Street, Campbell Town.

### 2. NON-DISCRIMINATION

Services are available to all people within the target population without discrimination. People cannot be excluded from access on the grounds of their gender, marital status, religious or cultural beliefs, political affiliation, particular disability, ethnic background, sexual preference, or geographical location.

No consumer will be judged, denied or given preferential access to services based on any of the above.

Campbell Town Health Centre will conduct the initial interview/assessment and make recommendations in writing, to the NMC which will be the final arbiters.

### 3. CONSUMERS HAVE A RIGHT TO

- a) Dispute the outcome, they have a right to challenge or complain to the NMC.
- b) Consumers will be assisted to seek and access an advocate of their choice without fear of retribution through Campbell Town Health Centre.
- c) Consumers have a right to expect privacy as well as respect for their individual human worth and dignity.

**4. CONSUMERS HAVE A RESPONSIBILITY**

- a) Consumers are to abide by NMC lease agreement.
- b) Consumers are to have their own personal contents insurance.

**5. ACCESS TO UNITS**

- a) Consumers to be notified of the date when NMC's decision will be determined.
- b) Consumers to be notified in writing, within two weeks of decision being made by NMC of their application's success or failure.
- c) If unsuccessful a reason in writing should be provided by NMC.
- d) The person should be made aware of the complaints policy and procedure.

**6. ASSESSED NEEDS/PRIORITY OF ACCESS**

- a) Common indicators of higher level needs for frail elderly people residing within the NMC.
  - ◆ Lives alone or with a carer who is frail, ill, stressed or has a disability
  - ◆ Social contacts are limited or non-existent
  - ◆ Home environment is physically unsafe
  - ◆ Socially or geographically isolated
  - ◆ Financially disadvantaged/pensioner
  - ◆ Family support structure is at risk of breaking down
- b) Priority will be given to persons whose circumstances meet one or more of the above factors.

**Policy Name:****Rural Refuse Collection Service****Originated Date:**

Adopted 6 May 2002 – Min. No. 175/02 (as Policy 48)

**Amended Date/s:**

Reviewed 20 August 2018 – Min No. ..../18

Amended 21 September 2015 – Min. No. 270/15

**Applicable Legislation:****Dataworks Reference:**

44/001/001

**Objective**

Extend the current refuse collection and recyclable service to the proposed routes shown on the Rural Waste Collection area map with all property owners (316 in total) on the route charged for the new service and the costs spread evenly over all properties serviced within the scheme (rural & residential).

**1 INTRODUCTION**

At the Council Meeting held on 6 August 2001, Council agreed to seek public response on a proposal to extend the Refuse Collection Service to some rural areas of the municipality.

On the 17 September 2001, the General Manager circulated a report which analysed feedback received from residents and considered options on the proposal to extend the refuse collection service to the rural parts of the Council area.

The major issues raised by residents to the Rural Refuse Collection Discussion Paper were:

- ◆ The inclusion of the Devon Hills area in the rural classification.
- ◆ Proposed changes to the current recyclable service area.
- ◆ The compulsory participation of the rural service.
- ◆ Exclusion of a rural recyclable service if the new scheme was implemented.

**1 PURPOSE**

To extend the current refuse collection and recyclable service in the rural area with all property owners on the route charged for the new service and the costs spread evenly over all properties serviced within the scheme (rural & residential).

Extend the current refuse collection and recyclable service to the proposed routes shown on the Rural Waste Collection area map with all property owners (316 in total) on the route charged for the new service and the costs spread evenly over all properties serviced within the scheme (rural & residential).

**2-3 WASTE MANAGEMENT CHARGES**

The waste management charges are reviewed each year under the annual Budget and Rating process.

The increase for property owners currently serviced was estimated to increase from \$42 to \$45 for refuse collection and from \$13 to \$15 for a recyclable collection service. Under this option, all property owners would pay \$45 for the refuse collection service and \$15 for the recyclable collection.

A waste minimisation incentive based on the capacity of the larger mobile garbage bin to the smaller mobile garbage bin (i.e. 1.7 ratio), resulting in an increase for the \$45 Refuse Collection fee to \$76.50 for the 240 litre bin.

### 3.4 EXEMPTIONS

No exemptions apply for rural users on the designated collection route, except as follows: -

- (i) Exempt the charge in rural areas when a doctor has provided evidence that none of the property owner/tenants are capable of wheeling the mobile garbage bin from the property boundary (2 metres inside the entrance) to the roadside for collection.
- (ii) Exempt the waste collection service charge where houses are vacant and the service is not used, and an annual application has been provided.

### 4.5 EXTENSIONS

Any extensions to the service must consider the magnitude of any subsidy to collect a particular property. The Council stated that the waste management service becomes compulsory if a property containing a house is located on the extended designated route.

As a result any extension to the designated route must satisfy two essential criteria - these being:

1. that any Council subsidy is limited to 50% of the additional collection cost, and;
2. that every property (with a dwelling) located on the proposed extended route agree to the waste management service.

#### 4.1 Procedure

4.1.1 The Kerbside Collection Administration Officer assesses the degree of subsidy for a request to include a new route. The calculation is as follows:

##### Garbage

Length of road to gate & back again	=	.....km ('L')
Number of occupied properties along proposed route	=	..... ('No')
Formula 1	=	$L \times \$1.50 + No \times \$1.53$
	=	\$.....
Formula 2	=	$No \times \$1.53$
	=	\$.....
Subsidy Ratio	=	Formula 1
		Formula 2
	=	.....

If Subsidy Ratio > 2, then subsidy too great to provide service.

##### Recycling

Length of road to gate & back again	=	.....km ('L')
Number of occupied properties along proposed route	=	..... ('No')
Formula 1	=	$L \times \$1.50 + No \times \$1.71$
	=	\$.....
Formula 2	=	$No \times \$1.71$
	=	\$.....
Subsidy Ratio	=	Formula 1
		Formula 2
	=	.....

If Subsidy Ratio > 2, then subsidy too great to provide service.

4.1.2. If both subsidy ratio less than or equal to 2, then seek an accurate cost to collect services along proposed route from Waste Management Contractor and Recycling Contractor then recalculate subsidy ratio as shown below:

Formula 1	=	Collection cost provided by contractor + No x \$1.50
	=	\$.....
Formula 2	=	No x \$1.50
	=	\$.....
Subsidy Ratio	=	Formula 1
		Formula 2
	=	.....

4.1.3 If Subsidy Ratio confirms to be less than or equal to 2, then write to every property (containing a dwelling) along the proposed new route seeking their comments on being included within the waste management area.

4.1.4 Upon the return of all questionnaires, then extend waste management service to new area only if 100% support.

4.1.5 Advise rate collector of extended area to amend rate records and prepare invoices for part year services.

4.1.6 Send invoices and information brochures to properties.

4.1.7 Arrange for waste and recycling contractor to deliver wheelie bins and begin service.

**5 6- REVIEW**

The Council will review this policy at least every four years.

Policy Name:

Management of Donated Goods After a Disaster

Originated Date:

Adopted 19 July 2010, Min. No. 173/10 (as Policy 60)

Amended Date/s:

Reviewed 20 August 2018 – Min No. ..../18

Amended 21 September 2015 – Min. No. 270/15

Applicable Legislation:

Dataworks Reference:

44/001/001

Objective

- 1) To ensure best practice methods are employed to manage donated goods after a disaster
- 2) To inform Northern Midlands residents on Council's policy with regard to managing donated goods after a disaster.

## BACKGROUND:

The Australian Government released the report "*Management of Donated Goods after a disaster*" in February 2010. The report investigated the phenomenon of unsolicited donations following recent disasters across Australia. The researchers found that the management of unsolicited donated goods creates major problems after a disaster. A large proportion of what is donated is unusable but recovery managers are still required to put significant efforts into administration of the goods eg. unpacking, sorting, storing and distribution. Disposal at the end of the disaster also required major effort.

The 2009 Victorian bushfires illustrate this well.

*"The Victorian bushfires resulted in the donation of in excess of 40,000 pallets of goods from across Australia that took up more than 50,000 square metres of storage space. The costs for managing these donations i.e. 3 central warehouses, 5 regional distribution points, approximately 35 paid staff, material handling equipment and transport costs to distribute the material aid, has amounted to over 8 million dollars. In addition, volunteer numbers reached 1,500 during the first 3 months provided through over 40 shop fronts. Resources in the fire affected areas immediately after the event were severely stretched as a result of the material aid arriving without warning and without adequate resources to sort, store, handle and distribute."*

Experience from this and other disasters indicates that a large proportion of what was donated may be either unwanted or unusable and eventually have to be disposed of, causing further expenditure and possible outrage from the public.

The report contains the viewpoints of community recovery personnel as well as the recipients of donated goods. It concludes with recommendations for the improved management of donated goods in the future.

One of the key recommendations for managing the communities desire to donate is to establish a Hotline phone/website and registry. Council has resolved to implement this recommendation.

## POLICY

Council has a Hotline phone/website that local community members and businesses can access after a disaster to register their offers of assistance.

At this point of contact very clear scripts are used that include the following key messages:

- ◆ Thanking people for their concern and offer of assistance;
- ◆ The best way to assist is to provide cash donations;
- ◆ Advice about what is not required e.g. individual donations of food, second-hand clothing and furniture, tents etc.;
- ◆ If people register their contact details and offer of donation, they will be contacted if there is an identified need for the offer they have made;
- ◆ Other community options for the donation of second hand goods, such as local charities.

Information on this policy is included in the new residents kit and is publicised regularly in the local community newspapers.

<b>Policy Name:</b>	<b>Audit Committee</b>
<b>Originated Date:</b>	Adopted 21 September 2015 – Min. No. 270/15 (Replacing previous Audit Committee Policy adopted 18 February 2013 – Min. No. 43/13 (as Policy 68) and last reviewed 9 December 2013 – Min. No. 354/13)
<b>Amended Date/s:</b>	Reviewed 20 August 2018 – Min No. ..../18
<b>Applicable Legislation:</b>	<i>Local Government Act 1993 &amp; Local Government (Meeting Procedures) 2005, Audit Act 2008</i>
<b>Dataworks Reference:</b>	44/001/001
<b>Objective</b>	To establish the role, responsibility, structure and process of the Audit Committee.

## 1. PURPOSE

To set out the objectives, authority, composition, tenure, functions, reporting and administrative arrangements of the Audit Committee.

## 2. OBJECTIVE

The objective of the Audit Committee is to review the council's performance under section 85A of the Act and report to the council its conclusions and recommendations.

## 3. AUTHORITY

The Council authorises the audit panel, within its responsibilities, to:

- obtain any information it requires from any employee or external party (subject to any legal obligation to protect information);
- discuss any matters with the Tasmanian Audit Office (TAO), or other external parties (subject to confidentiality considerations);
- request the attendance of any employee, including members of the Council, at audit panel meetings; and
- obtain legal or other professional advice, as considered necessary to meet its responsibilities, to a pre-approved limit set in the annual budget.

## 5. COMPOSITION AND TENURE

The audit panel comprises two councillors and two independent members, appointed by the council.

The Council will appoint an independent member as the chairperson of the panel.

Audit panel members are appointed for a period of not less than one year, and not exceeding four years.

Audit panel members may be re-appointed at the approval of the Council.

## 6. FUNCTIONS

To comply with the Audit Panels Order, when reviewing the Council's performance the audit panel is to consider:

- the Council's financial system, financial governance arrangements and financial management;
- whether the annual financial statements of the Council accurately represent the state of affairs of the council;
- whether and how the strategic plan, annual plan, long-term financial management plan and long-term strategic asset management plans of the Council are integrated and the processes by which, and assumptions under which, those plans were prepared;
- the accounting, internal control, anti-fraud, anti-corruption and risk management policies, systems and controls that the Council has in relation to safeguarding its long-term financial position;
- whether the Council is complying with the provisions of the Act and any other relevant legislation; and whether the Council has taken any action in relation to previous recommendations provided by the audit panel to the Council and, if it has so taken action, what that action was and its effectiveness.

## **6.1 Key Areas**

In fulfilling its functions, the audit panel should consider the following key areas:

- corporate governance;
- human resource management, including policies, procedures and enterprise agreements;
- information and communications technology governance;
- management and governance of the use of data, information and knowledge; and
- internal and external reporting requirements.

## **7. RESPONSIBILITIES OF PANEL MEMBERS**

Members of the audit panel are expected to understand and observe the legal requirements of the Act and the Audit panels Order. Members are also expected to:

- act in the best interests of the council;
- apply sound analytical skills, objectivity and judgment;
- express opinions constructively and openly, raise issues that relate to the audit panel's functions and pursue independent lines of enquiry; and
- contribute the time required to review the papers provided.

## **8. REPORTING**

The audit panel is to provide a copy of its meeting minutes to the Council as soon as practicable after each audit panel meeting.

If the audit panel has conducted a review under section 85A of the Act, the audit panel must provide a written report of its conclusions and recommendations to the Council as soon as practicable after the review is completed.

## **9. ADMINISTRATIVE ARRANGEMENTS**

### **9.1 Meetings**

The audit panel will meet at least four times per year.

The audit panel is to regulate its own proceedings in accordance with this charter.

The chairperson may determine that a meeting is to be held in private.

The general manager and financial manager, or their delegates, are to attend audit panel meetings unless the chairperson determines a meeting is to be held in private.

The audit panel may invite any councillor and/or employee of the Council and/or representative of the TAO to attend meetings of the audit panel.

## **9.2 Quorum**

A quorum of an audit panel meeting is two members, including an independent member.

## **9.3 Work Plan**

The audit panel is to develop an annual work plan that includes, but is not limited to, a schedule of meetings and the known objectives for each meeting.

The forward meeting schedule should include the dates, location, and proposed agenda items for each meeting.

## **9.4 Secretariat**

The Council, in consultation with the audit panel, will appoint a person to provide secretariat support to the audit panel. The secretariat will:

- ensure the agenda for each meeting is approved by the chairperson;
- ensure the agenda and supporting papers are circulated at least one week prior to the meeting; and
- ensure the minutes of the meetings are prepared and submitted to the Council as soon as practicable after each meeting.

## **9.5 Interests**

Audit panel members must declare to the chairperson any pecuniary or non-pecuniary interests that may affect them carrying out their functions. Details of any pecuniary or non-pecuniary interests declared by members will be appropriately minuted.

Independent members are to consider past employment, consultancy arrangements and related party issues in making these declarations.

At the beginning of each audit panel meeting, members are required to declare any potential or actual pecuniary or non-pecuniary interest that may apply to specific matters on the meeting agenda. Where required by the chairperson, the member will be excused from the meeting or from the audit panel's consideration of the relevant agenda item(s). Details of potential or actual pecuniary or non-pecuniary interests declared by members will be appropriately minuted.

## **9.6 Induction**

The Council will provide new audit panel members with relevant information and briefings on their appointment to assist them to meet their audit panel responsibilities.

## **9.7 Remuneration**

Independent members of the audit panel shall be paid an annual sitting fee per meeting attended.

The chairperson of the audit panel shall be paid a sitting fee of per meeting attended.

**10. REVIEW**

The Council will review this charter at least every four years.

**Policy Name:****Reduction in Planning Application Fees for Community Projects**

<b>Originated Date:</b>	Adopted 22 February 2010 – Min. No. 55/10 (as Policy 58)
<b>Amended Date/s:</b>	Reviewed 8 December 2014 – Min. No. 336/14 Reviewed 15 February 2016 – Min. No. 44/16
<b>Applicable Legislation:</b>	<i>Local Government Act 1993, s.207</i>
<b>Dataworks Reference:</b>	44/001/001
<b>Objective</b>	To establish a policy relating to the reduction in application fees for planning approval by not for profit community organizations for projects with a community benefit.

**1 INTRODUCTION**

Each year a number of not-for-profit, community-based, voluntary organizations undertake a number of minor projects with a community benefit. It is normal for these projects to be funded either by grants, donations or by monies raised by their volunteer members of the organisation.

Given the ongoing difficulties associated with fund raising, this policy seeks to minimise the impact of Council fees on qualifying projects.

**2 DEFINITIONS**

For the purposes of this policy:

Minor project refers to projects such as, but not limited to, pergolas, barbeques, fences, play equipment (in an existing playground), monuments, street furniture and the like.

Not-for-profit organisation refers to individuals, recognised groups, clubs or organisations within the community whose work is principally to improve the environment or lifestyle of the community or quality of life of individuals/families at either no or nominal cost to the recipients.

**3 OPERATION**

Where a not-for-profit organisation applies for planning approval for a minor project, applicable planning assessment and building assessment fees shall be waived.

Where such a planning application requires public exhibition in accordance with s.57 of the Land Use Planning and Approvals Act 1993, the advertising fee shall be reduced to 50% of the scheduled fee.

**4 ACCOUNTING**

For the purposes of record keeping, where fees are waived or reduced in accordance with clause 3, the relevant accounts for that section shall record the full fees as if they had been paid with corresponding adjustment entries to record the waived component as a donation.

Council shall be advised, in the information section of its meeting agenda, of all such donations.

**Policy Name:**

Information Management Policy

**Originated Date:**

Adopted 21 September 2015 – Min. No. 271/15

**Amended Date/s:**

Reviewed ... August 2018 – Min. No. ..../18

**Applicable Legislation:****Dataworks Reference:** 44/001/001**Objective**

The objective of this policy is to provide guidance and direction on the creation and management of information and records and to clarify staff responsibilities. Northern Midlands Council is committed to establishing and maintaining information and records management practices that meet its business needs, accountability requirements and stakeholder expectations.

The benefits of compliance with this policy will be trusted information and records that are well described, stored in known locations and accessible to staff and clients when needed.

This policy is written within the context of Northern Midlands Council information and records management framework which is attached as Appendix A. This policy is supported by complementary policies and additional guidelines and procedures which include Appendix B.

**Policy statement**

Northern Midlands Council's information and records are a corporate asset, vital both for ongoing operations and also in providing valuable evidence of business decisions, activities and transactions.

All agency records must be managed and maintained regardless of their format in an authorised information management system.

All Council staff are required to create and maintain authentic, reliable and useable information, documents and records, and protect their integrity for as long as they are required through:

- Ensuring that full and accurate records are created and maintained for each business process followed in the Council
- Preserving records, whether hard copy or electronic, safely and securely
- Ensuring that electronic records are saved and stored in the Council's recordkeeping system, or other approved system, with appropriate metadata captured and naming conventions used to enable their efficient retrieval and use

- Ensuring records are accessible over time to support the conduct of business, and that they are only retained for as long as required by the Council and relevant legislation
- Assigning responsibilities for recordkeeping in the Council.

The agency aspires to proactively implement systems and processes which will enable records and information to be stored in an electronic format wherever possible.

This Policy is to be read in conjunction with the Information Management Framework and Records Management Manual. All practices and procedures concerning records management within the Council must be in accordance with this Policy.

### **Scope**

This policy applies to the management and maintenance of records through their life cycle from creation, receipt or capture, to preservation and disposal under the provision of the *Archives Act 1983*. It includes records in any format held in the Council's information systems. This policy covers the work practices of staff and consultants who:

- Create information
- Access information
- Have responsibility for information including storage, retrieval, dissemination and disposal
- Have management responsibilities for officers engaged in any of these activities
- Manage or have design input into information technology infrastructure.

The key distinction between Council records and other types of information is that records provide evidence of business activities.

Records exist in a variety of formats including, but not limited to paper documents, electronic messages, word processed letters, web-pages, information in databases, photographs, film, maps etc.

Regardless of format, records must be created, captured, maintained, secured and disposed of in accordance with the requirements of this Policy.

### **Goals**

The goals of this Policy are

- to ensure effective Council records management, covering the creation and maintenance of authentic, reliable and useable records.
- to ensure the Council's records support the accountability and transparency of its business functions and activities for as long as those records are required.
- to provide evidence of the Council's commitment to best practice records management.

- to set out the responsibilities of staff, clarifying their accountability for records and information management.
- to ensure that records and information management is done in accordance with our business and legislative requirements.

### **Rationale**

The Council records are our corporate memory, providing evidence of actions and decisions and representing a vital asset to support our daily functions and operations. Records support policy formulation, decision-making and protect the interests of Council.

In addition to this, records help us to make good use of precedents and organisational experience. They support consistency, continuity, efficiency and productivity in program delivery, management and administration.

State legislation and Australian Standards have been adopted as a requirement and code of best practice for the management of information and records within the agency.

They provide details of the conditions and standards by which information management and recordkeeping practices at the agency will be guided.

The following information provides an overview of key standards and legislation applicable to Council.

**Archives Act 1983** establishes the requirement for Tasmanian government agencies to create and keep State records.

**AS:ISO-15489.1 – Information and Documentation – Records Management** provides clear guidelines for the establishment and application of records management practices, procedures and systems that have been incorporated into the agency's information management program.

**Corporations Act 2001** defines the agency's responsibilities for keeping financial records which correctly record and explain its transactions and financial position and performance; and that enable true and fair financial statements to be prepared and audited.

**Crimes Act 1924** covers criminal activity including fraud.

**Electronic Transactions Act 2000** facilitates and promotes business and community confidence in the use of electronic transactions. It recognises the legal validity of transactions carried out electronically, and so permits the "recording and retention of information and documents in electronic form". Recordkeeping practices should be applied to all records regardless of the format of those records. Where records are created electronically they should be managed appropriately.

**Evidence Act 2001** describes the ways in which documents may be admitted as evidence into court. The Act describes the more acceptable formats and the features that would give more value or "weight" to records. Recordkeeping practices must ensure that the more appropriate format of the record is preserved.

**Financial Management Act 1990 and Audit Act 2008** cover accounting and auditing requirements. The 1990 Act has since been amended to strengthen the powers of the Auditor-General. *(these Acts are not relevant to Councils)*.

**Financial Transaction Reports Act 1988** provides for the reporting of certain transactions and monetary transfers to the Australian Transaction Reports and Analysis Centre (AUSTRAC) and specifies minimum retention periods for account and signatory information.

**Income Tax Assessment Act 1997** requires the agency to keep records of income tax returns and assessments, and any related accounting documentation such as calculations, income and expenditure records.

**Limitations Act 1974** Sets out time periods in which legal action can be taken in various instances. The Act imposes a number of limitations on specific types of actions.

**Local Government Act 1993** – Imposes a duty on Councils to create a wide variety of records.

**Personal Information Protection Act 2004** sets out rules about information handling, including how the agency may collect, use, store and disclose personal information.

**Right to Information Act 2009** provides for greater access to information held by Tasmanian government bodies and encourages proactive disclosure of information held by the agency as well as giving the public access to information upon request.

**State Service Act 2000** provides a legislative framework that has been designed to support a contemporary workforce and to provide the best possible services to the Government, the Parliament and the community *(not relevant to Councils)*.

**Tasmanian Government Information Security Policy** is based upon the following information security policy principles:

- Availability: information is accessible and usable to authorised entities.
- Integrity: the accuracy and completeness of information is protected.
- Confidentiality: information is not made available or disclosed to unauthorised individuals, entities or processes.
- Proportionality: measures to protect information are relative to the risk of loss or failure of availability, integrity and confidentiality.

## Definitions

### ***Business Classification Scheme***

A hierarchical model of the relationship between the Council's functions, activities and transactions. It provides the core foundation for the development of the Council's recordkeeping tools including a retention and disposal schedule.

### ***Destruction Authority***

A once-off authorisation from the State Archivist that permits destruction for a defined set of records.

***Disposal***

Involves either the destruction of records; their transfer to the Tasmanian Archive & Heritage Office for retention as part of the State archives; their transfer to another custodian; or some other process approved by the State Archivist which removes them from the custody of the agency.

***Metadata***

Data that describes the context, content and structure of records and their management through time.

***Record***

Information created, received and maintained as evidence and information by an organisation or person, in the pursuance of legal obligations or in the transaction of business. (Source: *International Standard ISO 15489 – 2002, Records Management, Part 1: General, Clause 3.15*)

***Retention and Disposal Schedule***

An ongoing authorisation from the State Archivist that specifies minimum retention periods and consequent disposal actions for a defined set of records.

***State archive***

State record or any other record which is deposited and preserved permanently in the Tasmanian Archive & Heritage Office.

***State records***

Records of State government agencies/departments, State authorities, or local authorities. These public bodies are defined in Section 3 of the *Archives Act 1983*.

**Requirements**

**Creation and maintenance of records**

Business records must be created and captured by everyone subject to this policy. Business records should provide a reliable and accurate account of business decisions and actions. Therefore it is necessary to include all necessary information to support business needs including the names, dates and time, and other key information needed to capture the business context.

Records can be folders, documents or data created, received or maintained as evidence and information of work done for or on behalf of the Council. Records may be either hard copy or electronic.

Examples of the Council's records include (but are not limited to):

- Agendas, minutes and papers
- Case files

- Complaint correspondence
- Contracts and agreements
- Correspondence received from members of the public, private and public sector organisations that require action
- Documents related to events organised with or for external organisations, students etc.
- Facilities hire forms and documentation
- Media releases and articles
- Personnel recruitment and appointment documentation
- Policies and guidelines
- Reports and submissions
- Risk management registers and documentation
- Training program documentation
- WorkCover documents and files

Ultimately, if the record contains a business transaction or evidence of any decision that has been made on behalf of the Council it must be kept for the required time as per an approved Retention and Disposal Schedule authorised by the State Archivist.

Where no Retention and Disposal Schedule exists for the records they must be retained until such a time as they can be either destroyed according to a Destruction Authority authorised by the State Archivist, or transferred to the Tasmanian Archive & Heritage Office as State archives.

### **Records that do not have to be kept**

Some records do not belong in the Council's recordkeeping system, including:

- External advertising material
- Externally published newsletters that do not contain material created by or referencing the Council
- Internal e-mails received by "carbon copy" (cc) or "blind carbon copy" (bcc)
- Junk e-mail
- Personal items including e-mail
- Rough notes, working papers and calculations used solely to assist in the preparation of other records such as correspondence, non-auditable reports and statistical tabulations
- Copies of any documents, preserved solely for reference
- Published material preserved solely for reference

- Electronic revisions of documents in the Council's recordkeeping system which can be purged/deleted when finalising documents

Documents of this nature may be destroyed, as defined by the Tasmanian Archive & Heritage Office *Retention and Disposal Schedule for short-term value records (DA2158)*

### **Systems used to maintain records**

Records generated within the Council in the course of normal business practice or received from an external source are to be registered and captured in the agency's recordkeeping system.

The following business and administrative databases and software applications are endorsed for the capture and storage of specific information and records. These include:

- Information and records management system – Technology One
- Business system – Outlook, Various Registers & User Drive
- Finance system – Open Office
- Payroll - Payroll.net

A full register of endorsed systems used to create or manage information and records can be found at Appendix C. These endorsed systems appropriately support information and records management processes such as creation and capture, storage, protection of integrity and authenticity, security, access and retention, destruction and transfer.

Corporate records must not be maintained in email folders, shared folders, personal drives or external storage media as these lack the necessary functionality to protect business information and records over time.

Records created when using social media applications or mobile devices may need to be captured into an endorsed system.

### **Access to records: sharing corporate information within Council**

Information is a corporate resource to which all staff may have access, except where the nature of the information requires restriction. Access restrictions should not be imposed unnecessarily but should protect:

- individual staff, or client privacy
- sensitive material such as security classified or material with dissemination limiting markings, for example any records information security classified 'Cabinet in Confidence' or above.

When handling information, staff are reminded of their [obligations outlined in their statements of duties and under the Employee Code of Conduct](#).

### **Release of publicly available information**

In accordance with our obligations under the Right to Information Act 2009 access to publicly available information will be provided on our website and social media. This is the responsibility of Records Officer.

The public have legislative rights to apply for access to information held by our organisation under the Right to Information Act 2009. This applies to all information held by the agency, whether in officially endorsed records management systems or in personal stores such as email folders or shared and personal drives. Responses to applications for access under Right to Information legislation are the responsibility of the General Manager.

### **Retention or destruction of records**

Council records are destroyed when they reach the end of their required retention period set out in Records Retention and Disposal Schedules issued by the Tasmanian Archive and Heritage Office (TAHO). Retention periods in disposal schedules take into account all business, legal and government requirements for the records.

Records cannot be disposed of other than in accordance with all relevant Retention and Disposal Schedules and Destruction Authorities authorised by the State Archivist. In addition to this, records cannot be disposed of without the approval of the Records Management Officer and the Corporate Services Manager of the business unit that is the owner or is responsible for the records.

Some records can be destroyed in the normal course of business. These are records of a short-term, facilitative or transitory value that are destroyed as short term value records. Examples of such records include rough working notes, drafts not needed for future use or copies of records held for reference. See the TAHO website for the Retention and Disposal Schedule for Short Term Value Records. To discuss Business Units needs contact Council's Records Manager Officer.

Central to the Council's accountability process is the requirement it maintains a Register of Records Destroyed. This is the agency's formal evidential record of destruction and must be retained permanently by Council. The Register must be clearly identified as the Register of Records Destroyed under Section 20(2)(b) of the Archives Act 1983.

### **Transfer of records**

At times certain records may be required to be transferred out of the custody of Council. This occurs when records of archival value are no longer being actively used and/or are 25 years or older. In this instance Council transfers them to TAHO. We are still able to access records if a subsequent need arises to consult records in TAHO's custody.

Another instance where records may be transferred is when records are affected by administrative change and are transferred to an inheriting Council or to a private body. In either case, permission must be sought from TAHO before the records are transferred.

Contact our Council's Records Manager Officer to discuss the procedures for transferring records.

### **Monitoring the Records Management program**

The records management program will be monitored for breaches of this Policy by the Records Management Officer and Information Technology Officer who will facilitate training as required.

Day-to-day records management audit activities will be coordinated by the Records Management Officer.

### **Responsibilities**

All Council staff, consultants, and contractors employed or engaged by the Council are responsible for the management of all records created in the course of their work. This includes complying with this Policy at all times.

Staff must always be mindful that all records created in the course of their employment are the property of Council.

Specific responsibilities and accountabilities for information and records management at the agency include:

#### **General Manager**

The General Manager is responsible for:

- Ensuring that the Council's records management program satisfies operational and legislative requirements and obligations
- Implementing and continually improving the Council's information management program
- Defining the Council's requirements for information, records and document management
- Ensuring that staff are aware of their roles and responsibilities relating to the management of information
- Maintaining and reviewing this Policy and relevant documentation as required

#### **Department Managers of Council**

Department Managers are responsible for:

- including records management training in induction programs
- arranging for refresher training sessions as required
- Ensuring their staff have an appropriate awareness of information management systems and requirements
- Ensuring that staff attend training in information management systems or procedures relevant to their work area where necessary

#### **Records Management Officer**

The Records Management Officer is responsible for the efficient management of Council's recordkeeping system, ensuring that sound recordkeeping principles and records management best practice guidelines are followed and adhered to.

This involves initiating and maintaining control over daily records management activities and services in accordance with the document and records management procedures, including providing support to staff in the use of Council's recordkeeping system.

The Records Management Officer is also responsible for:

- Arranging training sessions for staff in the use of the Council's recordkeeping system
- Ensuring records are captured uniformly across the Council and stored in approved corporate systems
- Maintaining the integrity and authenticity of records
- Managing the storage of hardcopy records located onsite and offsite
- Managing the disposal of records under approved disposal schedules and maintaining the register of destroyed records
- Making and documenting configuration changes to the system as deemed necessary and via change control processes
- Ongoing review and amendment of Retention and Disposal Schedules
- Ensuring the system is accessible and performing appropriately on a day to day basis
- Responding to user requests for assistance with the Council's recordkeeping system or other records management issues

#### **Human Resources / Payroll Staff**

Human Resources / Payroll Staff of Council are responsible for:

- Administration and management of employee records
- Administration and management of records within Payroll.net
- Requesting the creation of personnel files

#### **Information Technology Staff**

Information Technology staff are responsible for:

- Ensuring new users are added to the Council's recordkeeping system as part of the new user induction program
- Providing technical support for the ongoing operation and maintenance of Council's systems
- Providing technical support to all staff on the use of Council's systems/applications
- Publishing and updating information onto the intranet and internet in consultation with the content owners
- Undertaking system backups
- Developing, maintaining and testing the Council's disaster recovery plan

#### **Departmental Employees**

Staff members should take care to handle records sensibly, with care and respect to avoid damage to them and to prolong their lifespan. Staff must not damage, alter or destroy information and records of the Council, without authorisation.

Staff members are responsible for using, maintaining and managing records in accordance with this Policy and the document and records management procedures.

This includes complying with these policies at all times by:

- Creating records that document their activities and decisions and saving them into Council's recordkeeping system or other approved systems (see Appendix C)
- Undertaking electronic document management activities within Council's recordkeeping system to ensure revision and version controls are captured
- Ensuring e-mail records are saved in Council's recordkeeping system
- Ensuring paper records are scanned to electronic format and saved in Council's recordkeeping system
- Recording folder movement for hard copy records in the Council's recordkeeping system
- Storing hard copy folders securely
- Ensuring hard copy records are not hoarded in work areas and are captured in a corporate system in a timely fashion
- Learning how and where records are kept within Council
- Not destroying records without authorisation and adhering to Council's disposal requirements
- Not losing records
- Being aware of and following records management procedures as outlined in this document.



**APPENDIX B**

Appendix B will be supplied on request to the Records Management Officer.

**APPENDIX C****Register of Endorsed Systems**

For the purposes of Northern Midlands Council's Information Management Policy, the only systems that are endorsed for the storage of council records and information are:

- Technology One ECM<sup>1</sup>
- Outlook<sup>2</sup>
- User Drive (F Drive)<sup>2</sup>
- SharePoint (for councillor data specifically – data also must be in ECM)
- OpenOffice software (for example, Payroll.NET for payroll data, Finesse for financial data, Procure.Gov for creditors data, Collect for debtors data, Property.Gov for property and rating data)
- IntraMaps (GIS data)
- OpenOffice web modules (planning/building/health/customer service)
- Registers (eg Contractors Register, Asbestos Register, Risk Register, etc)
- OpenOffice ApproveTAS (planning/building/plumbing Applications)
- ProMaster Key Manager (electronic key management system)

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<sup>1</sup> ECM is the primary storage of electronic records for council. All council data should be stored here wherever possible, regardless of whether the data is also stored elsewhere.

<sup>2</sup> Storage in these systems is only permitted for the purposes of ease of access/communication, and **only if the data is also registered in ECM.**

## NORTHERN MIDLANDS COUNCIL

CORP 3

## AUDIT COMMITTEE MEMBER REGISTER (Section 55D)

Member	From	To	Interests
Ben Coull	1 Jan 2014	31 Dec 2017 (Term 1)	
Carol Scholes-Robinson	1 Jan 2014	31 Dec 2017 (Term 1)	
Cr Richard Goss	1 Jan 2014	30 Nov 2014	
Cr Dick Adams	1 Dec 2014		
Cr Ian Goninon	1 Jan 2014	31 Dec 2017 (Term 1)	
Ben Coull	1 Jan 2018	(Term 2)	
Carol Scholes-Robinson	1 Jan 2018	(Term 2)	
Cr Ian Goninon	1 Jan 2018	(Term 2)	