



City of Busselton
Geographe Bay

Policy and Legislation Committee Agenda

29 September 2016

ALL INFORMATION AVAILABLE IN VARIOUS FORMATS ON REQUEST


CITY OF BUSSELTON

MEETING NOTICE AND AGENDA – 29 SEPTEMBER 2016

TO: THE MAYOR AND COUNCILLORS

NOTICE is given that a meeting of the Policy and Legislation Committee will be held in the Meeting Room A, City Administration Site, Harris Road, Busselton on Thursday, 29 September 2016, commencing at 1.00pm.

The attendance of Committee Members is respectfully requested.



MIKE ARCHER

CHIEF EXECUTIVE OFFICER

23 September 2016

CITY OF BUSSELTON

AGENDA FOR THE POLICY AND LEGISLATION COMMITTEE MEETING TO BE HELD ON 29 SEPTEMBER 2016

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1. **DECLARATION OF OPENING AND ANNOUNCEMENT OF VISITORS**

2. **ATTENDANCE**

Apologies

Approved Leave of Absence

Nil

3. **PUBLIC QUESTION TIME**

4. **DISCLOSURE OF INTERESTS**

5. **CONFIRMATION OF MINUTES**

5.1 **Minutes of the Policy and Legislation Committee Meeting held 18 August 2016**

RECOMMENDATION

That the Minutes of the Policy and Legislation Committee Meeting held 18 August 2016 be confirmed as a true and correct record.

6. REPORTS

6.1 COMPLAINTS HANDLING POLICY REVIEW

SUBJECT INDEX:	Complaints Handling
STRATEGIC OBJECTIVE:	An organisation that is managed effectively and achieves positive outcomes for the community.
BUSINESS UNIT:	Information Services
ACTIVITY UNIT:	Customer Service
REPORTING OFFICER:	Manager, Information Services - Hendrik Boshoff
AUTHORISING OFFICER:	Director, Finance and Corporate Services - Matthew Smith
VOTING REQUIREMENT:	Simple Majority
ATTACHMENTS:	Attachment A Complaints Handling Policy with Tracked Changes

PRÉCIS

The Complaints Handling Policy is presented for review and update as part of the ongoing policy review process. The policy has been reviewed and assessed as requiring only minor changes as outlined in this report. While only one minor alteration is recommended, the operation of the policy has been examined in detail to ensure no other changes are required. The opportunity has also been taken to provide information to Council on the work that has been undertaken in developing internal guidelines and procedures to bring the Policy into effect.

BACKGROUND

At the meeting of 24 April 2012 Council resolved (C1204/104) to adopt a policy (012) to provide a guiding document for Council and the City with regards to complaints management in order to most effectively meet their service provision obligations to the community, its residents and stakeholders.

As part of the implementation officers developed a complaint handling Operational Practise and Procedure (OPP), which set out the business rules for the City. Once approved, the OPP was used to develop a training program for all staff, a complaint register module within the City's information technology systems and a complaints reporting mechanism.

The training program included training to staff in relation to:

- The officer's role in customer service delivery;
- Identifying the circumstances of a true complaint;
- Obligations officers have to uphold the Customer Service Charter; and
- The officer's role in the complaint handling process.

The training has been delivered as part of an organisation wide training program and was adapted for inclusion to the City's new staff induction process, which is currently being delivered to all new employees.

The complaints register information technology system enables the City to track a complaint as it is:

- received;
- distributed to the appropriate officers;
- actioned;
- corresponded to; and
- resolved.

The information retained in this system forms the basis of the biannual report to Council as part of the organisational Key Performance Indicator (KPI) report. Over the past three (3) years the City has

experienced a fairly steady number of complaints each year. All complaints have all been tracked and resolved as at the close of the financial year 2015/16.

The policy is to be reviewed as required. As it has been four years since the implementation, this review is now being undertaken.

STATUTORY ENVIRONMENT

The policy itself includes provisions in order to comply with the State Records Act 2000.

RELEVANT PLANS AND POLICIES

This report recommends changes to an existing Council policy, the Complaints Handling Policy (012).

FINANCIAL IMPLICATIONS

Nil

Long-term Financial Plan Implications

Nil

STRATEGIC COMMUNITY OBJECTIVES

The ongoing policy review process is part of the City's governance systems which ensure responsible, ethical and accountable decision-making.

As the policy provides guidance for Council and the City with regards to complaints management, in order to most effectively meet its service provision obligations to the community, the policy aligns with Council's Strategic Priority Key Goal Area 6:

“Open and Collaborative Leadership”

and more specifically with the Community Objective 6.3:

“An organisation that is managed effectively and achieves positive outcomes for the community”.

RISK ASSESSMENT

Not required for this policy review.

CONSULTATION

Whilst there has been no specific consultation with the community in relation to the review of the policy, internal consultation have been undertaken with relevant officers as it relates to the operation of the complaints handling process.

OFFICER COMMENT

Generally, it is believed that the Complaints Handling Policy and in particular the internal procedures developed to give effect to that Policy, are operating effectively.

The Policy currently contains a requirement to develop a procedure for complaint handling as follows:

'Develop clear and accessible guidelines for dealing with vexatious and / or malicious complainant.'

Upon review, it is believed that the complaint handling processes and guidelines that have been put in place already allow the opportunity to assess each complaint based on its own circumstances and enable vexatious and/or malicious complaints to be dealt with as part of the investigation process.

For example, in situations where a complainant might make contact with the City via multiple channels or on multiple occasions in relation to the same complaint, the process allows for each to be recorded under the original complaint and dealt with as a singular complaint. Where a complaint might be found to lack substance during any stage of the investigation, there is an opportunity to resolve the complaint and communicate the findings at that time. Similarly, if a complaint is received the subject of which has already been investigated and resolved, in the absence of new information or any change of circumstances surrounding the matter, the process allows for the complaint to be noted as resolved and the resolution communicated to the complainant.

On this basis it is seen as unnecessary and perhaps counterproductive to produce a specific procedure dealing with vexatious or malicious complaints. Ultimately the complaint investigation process will determine whether or not a complaint is substantiated and generally specifically identifying a complaint as vexatious or malicious is unnecessary and would not add to the process or assist to meet the objectives of the Policy. Thus it is proposed that the requirement to develop this procedure be deleted.

CONCLUSION

The Complaints Handling Policy is a mechanism to support the City in meeting its complaints management obligations, with the ultimate aim of improving the City's overall customer service. Given the work that has been done in developing complaint handling guidelines in the form of an Operational Practice and Procedure, it is not considered necessary to develop a further procedure to deal with vexatious and malicious complaints. Other than removing the specific requirement to develop this procedure, no further changes are recommended to the Complaints Handling Policy as part of this review.

OPTIONS

The Council could choose not to change the policy or to make additional changes to the policy.

TIMELINE FOR IMPLEMENTATION OF OFFICER RECOMMENDATION

The policy amendments will be effective immediately upon adoption by the Council.

OFFICER RECOMMENDATION

That the Council adopts the following updated Complaints Handling Policy:

012	Complaints Handling	V2 Draft
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STATEMENT

Council recognizes and acknowledges the importance of providing impartial, equitable and timely complaint resolution to the community, its residents and stakeholders.

PURPOSE

The intent of the Policy is to provide the guiding document for Council and the City with regards to complaints management in order to most effectively meet their service provision obligations to the community, its residents and stakeholders.

SCOPE

This policy applies to all Employees of the City of Busselton.

POLICY CONTENT

The City of Busselton regards the provision of excellent complaint resolution services as a core strategic responsibility. In development of this policy, the Council has considered community feedback and expectations, relevant internal and external processes, organizational risks and officer recommendations. In addition, this policy takes into consideration the existing City of Busselton Code of Conduct and Customer Service Policy, which broadly outlines responsible behavior for all City Officers.

This policy applies directly to the delivery of services as documented in the City of Busselton Customer Service Charter. This policy is to ensure that everyone within the organization understands the duties and responsibilities applicable at all levels.

The City of Busselton Complaint Handling Policy is our commitment to the community to address their complaints in a manner that is:

- Customer focused;
- Responsive and empathetic;
- Objective and fair;
- Confidential;
- Accountable and transparent;
- Outcome focused;
- Free of reprisals; and
- Accessible for review and improvement.

Complaint Definition

The City of Busselton recognizes a complaint to be:

Any expression of dissatisfaction with a level of service, repeated lack of promised service or response, or the conduct and/or behavior of any person employed by the City of Busselton, which is not anonymous, made to the City of Busselton through its Councilor, Chief Executive Officer or any of its employees in writing or verbally, where a response or resolution is explicitly or implicitly expected.

A complaint is therefore not:

- A request for service;

A request for information is:

- A request for an explanation of a policy or procedure;
- The lodging of an appeal in accordance with a standard procedure or policy;
- A freedom of information enquiry;
- An allegation of a breach of the law by a third party; or
- An expression of dissatisfaction with a decision.

Responsibilities:

Councilors will:

- Ensure guidelines for complaint handling service delivery as stated in this policy and the Customer Service Charter are current and relevant and that these guidelines continue to be customer and outcome focused;
- Review this policy on a periodic basis as required by changing community needs;
- Identify performance indicators for expected complaint resolutions, including expected levels of compliance and reporting requirements;
- Support the CEO and Executives in the provision of excellent complaint resolution services;

CEO and Executives will:

- Endorse and support all standards documented in this policy;
- Promote a positive attitude towards complaint and complainant handling;
- Endorse and support an organizational complaint handling procedure which includes, but is not limited to:
 - Processes to capture complaints;
 - Investigation methods and results;
 - Guidelines for resolution decisions;
 - Training requirements;
- Contribute to the regular periodic review of this policy by:
 - Engaging in regular community consultation to ensure current and future customer needs are adequately addressed;
 - Identifying opportunities for improvements to complaint handling procedures;
 - Support Managers and other staff in the provision of customer-focused complaint resolution;
 - Establish mechanisms to monitor compliance with this policy;
 - Establish processes to deal with failure to meet endorsed standards;
 - Report to Council on performance indicators for Complaint resolution. Managers will:
 - Optimize and support complaint handling and resolution mechanisms in place to comply with this policy;
 - Ensure officers under direct and indirect supervision are aware of and are following guidelines detailed in this policy and related procedures.
 - Ensure new employees are made aware of the complaint policy and procedure and their requirements.
 - Ensure ongoing training to foster and develop conflict resolution and other customer service related skills;
 - Implement endorsed procedures to deal with failure to meet the standards of this policy;
 - Report to the CEO and Executives on performance indicators for complaint resolution. All Employees will:
 - Comply with this policy and associated procedures;
 - Actively support others in compliance with this policy and associated procedures;
 - Undertake training and performance management as required to maintain an appropriate level of skill in conflict resolution and other customer service related skills;
 - Report to Managers as required on performance indicators for complaint handling responsibilities.
 - Support complainants through the complaints process as required;
 - Seek and report on customer feedback, positive and negative, during the course of

customer interaction.

Procedures:

Procedures developed for complaint handling will:

- Provide for various methods by which complaints can be lodged, taking into account complainants with disabilities, language issues and literacy issues.
- Include links to the Customer Service Charter agreed levels of service provision that incorporate appropriate timeframes and communication requirements.
- Be customer and outcome focused.
- Adhere to the standardized definition of 'complaint' as stated in the Policy.
- Give means to ensure as many true complaints are captured as is reasonably practical, including relevant documentation, investigation outcomes and resolutions.
- Outline a centralized complaint register format.
- Develop clear responsibilities for all officers across all levels within the organisation as set out in the Policy.
- Develop clear and accessible guidelines for appropriate complaint resolution.
- Comply with the State Records Act 2000.
- Provide clear guidelines for staff training requirements including:
 - New staff inductions;
 - Complaint handling training;
 - Conflict Resolution.
 - Periodic refresher courses;
- Provide guidelines to senior officers delegated to review all complaints, investigations and their resolutions on a regular basis with the goal of identifying trends and issues and providing guidance for service delivery.

Policy Background

Policy Reference No. – 012 Owner Unit – Corporate Services

Originator – Customer Service Coordinator Policy Approved by – Council

Date Approved – 24 April 2012 Review Frequency – As required

Related documents – Customer Service Policy and Customer Service Charter

History

Council Resolution	Date	Information
		Adjustment made to remove the line item relating to dealing with vexatious and/or malicious complainants. Version 2
C1204/104	24 April, 2012	Date of Implementation Version 1

6.1 Attachment A Complaints Handling Policy with Tracked Changes

Last updated 24/04/2012 (implementation)

012	Complaints Handling	V1 Current
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STATEMENT

Council recognises and acknowledges the importance of providing impartial, equitable and timely complaint resolution to the community, its residents and stakeholders.

PURPOSE

The intent of the Policy is to provide the guiding document for Council and the City with regards to complaints management in order to most effectively meet their service provision obligations to the community, its residents and stakeholders.

SCOPE

This policy applies to all Employees of the City of Busselton.

POLICY CONTENT

The City of Busselton regards the provision of excellent complaint resolution services as a core strategic responsibility. In development of this policy, the Council has considered community feedback and expectations, relevant internal and external processes, organisational risks and officer recommendations. In addition, this policy takes into consideration the existing City of Busselton Code of Conduct and Customer Service Policy, which broadly outlines responsible behaviour for all City Officers.

This policy applies directly to the delivery of services as documented in the City of Busselton Customer Service Charter. This policy is to ensure that everyone within the organisation understands the duties and responsibilities applicable at all levels.

The City of Busselton Complaint Handling Policy is our commitment to the community to address their complaints in a manner that is:

- Customer focused;
- Responsive and empathetic;
- Objective and fair;
- Confidential;
- Accountable and transparent;
- Outcome focused;
- Free of reprisals
- Accessible for review and improvement.

Complaint Definition

The City of Busselton recognises a complaint to be:

Any expression of dissatisfaction with a level of service, repeated lack of promised service or response, or the conduct and/or behaviour of any person employed by the City of Busselton, which is not anonymous, made to the City of Busselton through its Councillor, Chief Executive Officer or any of its employees in writing or verbally, where a response or resolution is explicitly or implicitly expected.

A complaint is therefore not:

- A request for service;
- A request for information;
- A request for an explanation of a policy or procedure;
- The lodging of an appeal in accordance with a standard procedure or policy;
- A freedom of information enquiry;

6.1 Attachment A Complaints Handling Policy with Tracked Changes

Last updated 24/04/2012 (implementation)

- *An allegation of a breach of the law by a third party;*
- *An expression of dissatisfaction with a decision.*

Responsibilities:

Councillors will:

- Ensure guidelines for complaint handling service delivery as stated in this policy and the Customer Service Charter are current and relevant and that these guidelines continue to be customer and outcome focused;
- Review this policy on a periodic basis as required by changing community needs;
- Identify performance indicators for expected complaint resolutions, including expected levels of compliance and reporting requirements;
- Support the CEO and Executives in the provision of excellent complaint resolution services;

CEO and Executives will:

- Endorse and support all standards documented in this policy;
- Promote a positive attitude complaint and complainant handling;
- Endorse and support an organisational complaint handling procedure which includes, but is not limited to:
 - Processes to capture complaints;
 - Investigation methods and results;
 - Guidelines for resolution decisions;
 - Training requirements;
- Contribute to the regular periodic review of this policy by:
 - Engaging in regular community consultation to ensure current and future customer needs adequately addressed;
 - Identifying opportunities for improvements to complaint handling procedures;
- Support Managers and other staff in the provision of customer-focused complaint resolution;
- Establish mechanisms to monitor compliance with this policy;
- Establish processes to deal with failure to meet endorsed standards;
- Report to Council on performance indicators for Complaint resolution.

Managers will:

- Optimize and support complaint handling and resolution mechanisms in place to comply with this policy;
- Ensure officers under direct and indirect supervision are aware of and are following guidelines detailed in this policy and related procedures.
- Ensure new employees are made aware of the complaint policy and procedure and their requirements.

6.1 Attachment A Complaints Handling Policy with Tracked Changes

Last updated 24/04/2012 (implementation)

- Ensure ongoing training to foster and develop conflict resolution and other customer service related skills;
- Implement endorsed procedures to deal with failure to meet the standards of this policy;
- Report to the CEO and Executives on performance indicators for complaint resolution.

All Employees will:

- Comply with this policy and associated procedures;
- Actively support others in compliance with this policy and associated procedures;
- Undertake training and performance management as required to maintain an appropriate level of skill in conflict resolution and other customer service related skills;
- Report to Managers as required on performance indicators for complaint handling responsibilities.
- Support complainants through the complaints process as required:
- Seek and report on customer feedback, positive and negative, during the course of customer interaction.

Procedures:

Procedures developed for complaint handling will:

- Provide for various methods by which complaints can be lodged, taking into account complainants with disabilities, language issues and literacy issues.
- Include links to the Customer Service Charter agreed levels of service provision that incorporate appropriate timeframes and communication requirements.
- Be customer and outcome focused.
- Adhere to the standardised definition of 'complaint' as stated in the Policy.
- Give means to ensure as many true complaints are captured as is reasonably practical, including relevant documentation, investigation outcomes and resolutions.
- Outline a centralised complaint register format.
- Develop clear responsibilities for all officers across all levels within the organisation as set out in the Policy.
- Develop clear and accessible guidelines for appropriate complaint resolution.
- ~~Develop clear and accessible guidelines for dealing with vexatious and / or malicious complainant.~~
- Comply with the State Records Act 2000.
- Provide clear guidelines for staff training requirements including:
 - New staff inductions;
 - Complaint handling training;
 - Conflict Resolution.

6.1 Attachment A Complaints Handling Policy with Tracked Changes

Last updated 24/04/2012 (implementation)

- Periodic refresher courses;
- Provide guidelines to senior officers delegated to review all complaints, investigations and their resolutions on a regular basis with the goal of identifying trends and issues and providing guidance for service delivery.

Policy Background

Policy Reference No. – 012
Owner Unit – Corporate Services
Originator – Customer Service Coordinator
Policy Approved by – Council
Date Approved – 24 April 2012
Review Frequency – As required
Related documents – Customer Service Policy and Customer Service Charter

History

Council Resolution	Date	Information
C1204/104	24 April, 2012	Date of Implementation Version 1

6.2 ORGANISATIONAL WIDE RISK MANAGEMENT POLICY

SUBJECT INDEX:	Risk
STRATEGIC OBJECTIVE:	An organisation that is managed effectively and achieves positive outcomes for the community.
BUSINESS UNIT:	Corporate Services
ACTIVITY UNIT:	Employee Services and Risk
REPORTING OFFICER:	Manager, Corporate Services - Sarah Pierson
AUTHORISING OFFICER:	Director, Finance and Corporate Services - Matthew Smith
VOTING REQUIREMENT:	Simple Majority
ATTACHMENTS:	Attachment A Organisation Wide Risk Management Policy with Track Changes

PRÉCIS

The Council has an existing Organisation Wide Risk Management Policy. This policy has been reviewed as part of the City's rolling review of Council policies and is now presented for updating.

BACKGROUND

The purpose of the Organisation Wide Risk Management Policy (the Policy) is to demonstrate the City's commitment to the development of a culture of risk based decision making aimed at the effective management of potential opportunities and reduction of potential impacts of risk.

Council adopted version 1 of the Organisation Wide Risk Management Policy on 10 May 2006, with further improvements being adopted in:

- Version 2 on 27 July 2011; and
- Version 3 on 12 August 2015.

STATUTORY ENVIRONMENT

In accordance with Section 2.7(2)(b) of the *Local Government Act 1995* it is the role of the Council to determine the local government's policies. The Council does this on the recommendation of a Committee it has established in accordance with Section 5.8 of that Act.

RELEVANT PLANS AND POLICIES

This report recommends the update of Policy 234 – Organisational Wide Risk Management.

As per the requirements of the Policy, the City has a Risk Management Framework which was endorsed by the Senior Management Group in December 2011. The framework outlines the City's formal risk management system and processes for the management of risks. Specifically it outlines:

- The definition of risk and risk management
- The City's risk reference tables
- The risk tolerance levels
- The risk management processes and procedures

FINANCIAL IMPLICATIONS

There are no financial implications associated with this matter.

Long-term Financial Plan Implications

Nil

STRATEGIC COMMUNITY OBJECTIVES

This policy will contribute to the achievement of the key goal area of Open and Collaborative Leadership, and the community objectives of:

- “Governance systems that deliver responsible, ethical and accountable decision making”, and
- “An organisation that is managed effectively and achieves positive outcomes for the community.”

RISK ASSESSMENT

The proposed improvements do not present any risks to Council.

CONSULTATION

Nil

OFFICER COMMENT

The review of the Policy has resulted in minor improvements aimed at ensuring a clear policy statement and a clear set of responsibilities at all levels.

The Policy Statement currently reads “The Risk Management Committee has been established to be responsible for developing, maintaining and assisting in the implementation of the City’s Risk Management Framework.” Developing and maintaining the Risk Management Framework is undertaken by Responsible Officers within Corporate Service, with the Framework endorsed by the Senior Management Group and ultimately the CEO. The Risk Management Committee’s role is to assist in the Framework’s development and to generally provide advice and champion the implementation of risk management systems and processes across the organisation. Hence the Policy Statement has been edited to reflect this and now reads “The Risk Management Committee has been established to assist in developing, maintaining and implementing the City’s Risk Management Framework and is responsible for championing risk management processes throughout the organisation.”

The Policy also included a statement - “The Risk Management Committee is to ensure that all of the risk management processes are fully documented and managed through the records management system.” This is recommended for deletion as this may cause ambiguity with the responsibility of Management for the identification and documentation of risks.

CONCLUSION

The changes being proposed, while minor, seek to strengthen the Policy’s intent and provide a clear overview of responsibilities.

OPTIONS

The Council could choose not to change the policy or to make additional changes to the policy.

TIMELINE FOR IMPLEMENTATION OF OFFICER RECOMMENDATION

The policy update would be effective immediately.

OFFICER RECOMMENDATION

That the Council adopts the following updated Organisational Wide Risk Management Policy:

234	Organisation Wide Risk Management	V4
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PURPOSE

The purpose of this policy is to demonstrate the City of Busselton's commitment to the development of a culture of risk based decision making directed towards the effective management of potential opportunities and reduction of potential impacts of risk.

SCOPE

This policy applies to all Councillors and employees of the City of Busselton and covers all City operations.

POLICY STATEMENT

Risk Management is the systematic application of management policies, practices and procedures in order to identify, analyse, evaluate, treat and monitor risk.

The City of Busselton is committed to the effective management of risk and will implement a Risk Management Framework based on the AS/NZS ISO 31000:2009 Standard to achieve this. The Council recognises that adequate resources are needed to effectively manage risks. The Risk Management Committee has been established to assist in developing, maintaining and implementing the City's Risk Management Framework and is responsible for championing risk management processes throughout the organisation.

Responsibilities

The Council is responsible for:

- * Ensuring that a Risk Management Policy has been developed, adopted and communicated throughout the City.
- * Ensuring that the CEO has implemented the Risk Management Framework using Standard AS/NZS ISO 31000:2009.
- * Communicating with the community about the City's approach to risk
- * Establishment of an Audit Committee

The Audit Committee is responsible for:

- * Assisting the Council to fulfil its corporate governance, stewardship, leadership and control responsibilities in relation to risk management.
- * Providing guidance and assistance in relation to risk management initiatives and the effective conduct of risk management activities.

CEO and the Senior Management Group are responsible for:

- * As part of the Risk Management Framework establishing the risk tolerance level of the City.
- * Conducting risk assessments as part of decision making & future planning.

Risk Management Committee is responsible for:

- * Communicating the policy and framework to all employees.
- * Developing and managing the risk management plan for the City.
- * Development of Risk Management skills through training and education.
- * Establishing and maintaining an appropriate risk register or risk registers for the City.

Management are responsible for:

- * Identifying and assessing all the risks in their area of responsibility as part of business planning reporting, project management and daily decision making.
- * Collating, assessing, treating and reporting to the Risk Management Committee in relation to areas and tasks under their responsibility.

All Employees are to:

- * Comply with the City's risk management policy and procedures.
- * Attend relevant risk management training.
- * Actively participate in the risk management programme.

Policy Background

Policy Reference No. - 234

Owner Unit – Employee Services and Risk

Originator – Risk and OHS Officer

Policy approved by – Council

Date Approved – 12 August, 2015

Review Frequency – As required

References

Australian and New Zealand Standard AS/NZS ISO 31000:2009 - Risk Management Principles and Guidelines.

History

Council Resolution	Date	Information
C1508/217	12 August, 2015	Version 3
C1107/229	27 July, 2011	Version 2
C0605/146	10 May, 2006	Date of implementation. Version 1

234	Organisation Wide Risk Management	V4 Draft
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PURPOSE

The purpose of this policy is to demonstrate the City of Busselton's commitment to the development of a culture of risk based decision making directed towards the effective management of potential opportunities and reduction of potential impacts of risk.

SCOPE

This policy applies to all Councillors and employees of the City of Busselton and covers all City operations.

POLICY STATEMENT

Risk Management is the systematic application of management policies, practices and procedures in order to identify, analyse, evaluate, treat and monitor risk.

The City of Busselton is committed to the effective management of risk and will implement a Risk Management Framework based on the AS/NZS ISO 31000:2009 Standard to achieve this. The Council recognises that adequate resources are needed to effectively manage risks. The Risk Management Committee has been established to assist in developing, maintaining and implementing the City's Risk Management Framework and is responsible for championing risk management processes throughout the organisation.

Responsibilities

The Council is responsible for:

- * Ensuring that a Risk Management Policy has been developed, adopted and communicated throughout the City.
- * Ensuring that the CEO has implemented the Risk Management Framework using Standard AS/NZS ISO 31000:2009.
- * Communicating with the community about the City's approach to risk
- * Establishment of an Audit Committee

The Audit Committee is responsible for:

- * Assisting the Council to fulfil its corporate governance, stewardship, leadership and control responsibilities in relation to risk management.
- * Providing guidance and assistance in relation to risk management initiatives and the effective conduct of risk management activities.

CEO and the Senior Management Group are responsible for:

- * As part of the Risk Management Framework establishing the risk tolerance level of the City.
- * Conducting risk assessments as part of decision making & future planning.

Risk Management Committee is responsible for:

- * Communicating the policy and framework to all employees.
- * Developing and managing the risk management plan for the City.

6.2 Attachment A Organisation Wide Risk Management Policy with Track Changes

- * Development of Risk Management skills through training and education.
- * Establishing and maintaining an appropriate risk register or risk registers for the City.

Management are responsible for:

- * Identifying and assessing all the risks in their area of responsibility as part of business planning reporting, project management and daily decision making.
- * Collating, assessing, treating and reporting to the Risk Management Committee in relation to areas and tasks under their responsibility.

All Employees are to:

- * Comply with the City's risk management policy and procedures.
- * Attend relevant risk management training.
- * Actively participate in the risk management programme.

Policy Background

Policy Reference No. - 234

Owner Unit – Corporate Services

Originator – Risk and OHS Officer

Policy approved by – Council

Date Approved – 12 August, 2015

Review Frequency – As required

Related Documents –

Australian and New Zealand Standard AS/NZS ISO 31000:2009 - Risk Management Principles and Guidelines.

History

Council Resolution	Date	Information
C1508/217	12 August, 2015	Version 3
C1107/229	27 July, 2011	Version 2
C0605/146	10 May, 2006	Date of implementation. Version 1

7. GENERAL DISCUSSION ITEMS**7.1 POLICY REGARDING THE USE OF THE MAYOR'S VEHICLE**

SUBJECT INDEX:	City Vehicles
STRATEGIC OBJECTIVE:	Governance systems that deliver responsible, ethical and accountable decision-making.
BUSINESS UNIT:	Finance and Corporate Services
ACTIVITY UNIT:	Council
REPORTING OFFICER:	Director, Finance and Corporate Services - Matthew Smith
AUTHORISING OFFICER:	Director, Finance and Corporate Services - Matthew Smith
VOTING REQUIREMENT:	Simple Majority
ATTACHMENTS:	Attachment A Policy 001 - Fees Allowances and Expenses for Elected Members

Information will be presented at the meeting relating to the use of the Mayor's vehicle.

7.1 Attachment A Policy 001 - Fees Allowances and Expenses for Elected Members

Last updated 10 August 2016

001	Fees, Allowances and Expenses for Elected Members	V8 Current
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1. PURPOSE

In accordance with Division 8 of Part 5 of the *Local Government Act 1995* elected members are entitled to receive a fee for meeting attendance, be reimbursed for expenses and/or be paid an allowance for certain types of expenses. Certain payments are an automatic entitlement in accordance with the Act, while others require specific local government approval. The Fees, Allowances and Expenses for Elected Members policy provides the approval framework under which all fees, allowances and reimbursements to elected members will be made.

2. SCOPE

"Elected member" - Any person who holds the office of Councillor on the Council of the City of Busselton, including the Mayor and Deputy Mayor;

"Schedule" – Information describing the current Local Government Band Allocation and fees and allowances established within that Band in accordance with any *Local Government Elected Council Members Determination* under the *Salaries and Allowances Act 1975*.

The Fees, Allowances and Expenses for Elected Members policy is to apply to the purchase of all local government-owned equipment for the specific and individual use of an elected member, the reimbursement of any expenses incurred by an elected member in the performance of their functions and duties, and fees and allowances provided to all elected members.

This policy provides the approval framework to enable the provision of equipment and certain payments to be made to elected members to enable them to carry out their role as an elected member effectively. All matters approved in this policy are in accordance with the relevant legislation and determinations, being the *Local Government Act 1995* and *Local Government Elected Council Members Determinations* in accordance with the *Salaries and Allowances Act 1975*.

3. POLICY CONTENT

3.1 Elected members

3.1.1 Provision of equipment

Without limiting the application of any other clause in this policy, the local government will provide to elected members of the City of Busselton access to resources to enable them to carry out their duties efficiently and effectively. In accordance with Section 3.1 of the *Local Government Act 1995*, in order to provide for the good government of persons in the District, any newly elected member will have the opportunity to be furnished with the following equipment:

- A standard-issue mobile telephone;
- A standard City-owned laptop computer or tablet that will be upgraded from time to time, inclusive of standard equipment associated with the day-to-day use of the laptop computer or tablet.

The laptop computer or tablet provided remains at all times the property of the City of Busselton. Any mobile telephone purchased in accordance with this policy can be retained by the elected member at the completion of their term of office if they serve a minimum of 12 months as an elected member.

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Last updated 10 August 2016

3.1.2 Meeting attendance fees

An elected member is entitled to receive an annual fee for attending Council and Committee meetings in accordance with the *Local Government Act 1995*. This payment is in lieu of any entitlement established for a fee per meeting under that Act.

The annual fee will be established during the annual budget process within the Band established in the relevant *Local Government Elected Council Members Determination* . .

The annual meeting attendance fee is full and final satisfaction of an elected member's meeting entitlements and no other claims can be made for attendance at meetings, with the exception that an elected member's expenses incurred for travelling to and from the meeting can be reimbursed in accordance with clause 3.1.5 of this policy or childcare expenses incurred can be reimbursed in accordance with clause 3.1.4 of this policy.

Meeting attendance fees will be paid monthly or quarterly in arrears. The fee will be calculated on a pro-rata basis for any elected member who commences or ceases office during the month or quarter. Upon commencement of office, elected members, for the purposes of budget development, will be requested to indicate whether it is their intention to claim meeting attendance fees and their preferred payment method. Nothing in the relevant legislation or this policy prevents an elected member from changing their intention at any time.

3.1.3 Information and Communications Technology allowance

In accordance with the relevant *Local Government Elected Council Members Determination*, all elected members are eligible to claim an annual information and communications technology allowance the amount of which will be included in the Schedule. This allowance is to cover an elected member's costs in relation to the following equipment and services:

- Telephone rental charges;
- 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 *Local Government (Administration) Regulations 1996*.

The information and communications technology allowance will be paid monthly or quarterly in arrears. The allowance will be calculated on a pro-rata basis for any elected member who commences or ceases office during the month or quarter. Upon commencement of office, elected members, for the purposes of budget development, will be requested to indicate whether it is their intention to claim the information and communications technology allowance and their preferred payment method. Nothing in the relevant legislation or this policy prevents an elected member from changing their intention at any time.

3.1.4 Reimbursement of childcare expenses

In accordance with the *Local Government Act 1995* an elected member who incurs childcare expenses due to their attendance at a Council meeting or a meeting of a formally constituted Council Committee of which they are a member is entitled to be reimbursed. The extent to which the childcare expenses incurred will be reimbursed will be in accordance with the relevant *Local Government Elected Council Members Determination*. For the purposes of this section, the number of hours claimed shall be limited to the actual length of the meeting, with a nominal time allowance for partaking in refreshments and travel to and from the place of care.

3.1.5 Reimbursement of travel expenses

In accordance with the *Local Government Act 1995* an elected member who incurs expenses to travel to a Council meeting or a meeting of a formally constituted Council Committee of which they are a member is

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entitled to be reimbursed. Elected members can also be reimbursed for other types of travel in accordance with Regulation 32 of the *Local Government (Administration) Regulations 1996*. The extent to which travel expenses can be reimbursed is in accordance with the *Public Service Award 1992*. The following list represents the meetings and events at which the attendance of an elected member is required for which the elected member will be able to claim reimbursement in accordance with the *Public Service Award 1992* for incurring travel expenses.

- Council meetings - ordinary and special;
- Committee meetings of a formally constituted Council committee of which they are a member or a deputy member acting in the capacity of a member;
- Electors' meetings - annual general and special;
- Civic receptions hosted by the City of Busselton;
- Visits by Ministers of the Crown;
- Inspection tours of matters arising before the Council;
- Any City-convened meeting requiring elected member attendance, including briefing sessions, workshops and other forums;
- Elected member training courses;
- Officially convened meetings with ratepayers;
- Attendance at community functions with a formal invitation as an elected member;
- Seminars and conferences attended in the capacity of an elected member;
- Meetings of community groups or other external organisations of which the elected member has been appointed the Council's representative by Council resolution (except where the other body pays the elected member for meeting attendance and/or travel eg ministerial appointment to State Advisory Boards).

The reimbursement will be made available to the elected member on the receipt of a certified claim form and in accordance with the rates set out in the *Public Service Award 1992*. Nothing in this section prevents an elected member from utilising a City-owned motor vehicle for the types of travel approved under this section and this is encouraged where practical for the elected member's purposes. Subject to the approval of the Chief Executive Officer, the elected member is entitled to use the City-owned motor vehicle for travel for personal reasons during the time when the vehicle is being used for City purposes, provided such use does not go beyond use of a minor incidental nature. Where a City vehicle is utilised, the travel reimbursement or travel allowance cannot be claimed.

3.1.6 Reimbursement of expenses while away from home on sanctioned activities

Expenses incurred for conferences, training, seminars and similar occasions requiring an elected member to stay overnight away from their place of residence will be reimbursed to the elected member or paid directly by the City in accordance with the following guidelines.

Air travel and accommodation will be arranged and paid for by the City in consultation with the elected member and the key considerations will be cost effectiveness and for accommodation also proximity to the location at which the conference, training, seminar or similar occasion is being held.

While staying in the accommodation provided by the City for the purpose of enabling attendance at the approved conference, training or seminar, the expenses to be met by the City will be:

Expenses and Restrictions	Elected Member	Spouse
Laundry > 2 nights	Y	Y
Taxi fares or other public transport - only where these directly relate to the activity and no other transport is provided	Y	Y
Daily sustenance per day allowance in accordance with the <i>Public Service Award 1992</i> (1)	Y	N
Specific conference related dinners/meals	Y	Y
(1) Limited authority exists (refer to Mayor for prior approval) to purchase alcohol for networking		

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purposes in a similar manner to the way the Council offers community members an invitation to share a drink after a Council meeting.

3.1.7 Reimbursement of other expenses

3.1.7.1 Reimbursement of hospitality expenses

Elected members may seek reimbursement of the reasonable costs of beverages or snack items provided during any meeting or networking opportunity that relates to City activities, subject to the provision of receipts to the CEO.

3.1.7.2 Corporate attire reimbursement

Each elected member is eligible to claim up to \$1,000 reimbursement for the purchase of corporate attire, which may include a brief case or travel case. Payment will be made on the production of receipts for clothing, shoes or a case, but will be limited to \$500 for the period November to April and a further \$500 for the period May to October.

3.2 Mayor

3.2.1 Mayoral allowance

In addition to their entitlements as an elected member under Section 3.1 of this policy, the Mayor is eligible for a Mayoral allowance in accordance with the *Local Government Act 1995*. In accordance with the relevant *Local Government Elected Council Members Determination* the Mayor of the City of Busselton shall be paid an allowance within the Band established, payable monthly or quarterly in arrears.

The allowance will be calculated on a pro-rata basis for any Mayor who commences or ceases office during the month or quarter. Upon commencement of office, the Mayor, for the purposes of budget development, will be requested to indicate whether it is their intention to claim a Mayoral allowance and their preferred payment method. Nothing in the relevant legislation or this policy prevents the Mayor from changing their intention at any time.

3.2.2 Provision of a City-owned vehicle

The Mayor shall be provided with a City-owned motor vehicle for use in his or her official capacity. The Mayor is entitled to use the City-owned motor vehicle for travel for personal reasons during the time when the vehicle is being used for City purposes, provided such use does not go beyond use of a minor incidental nature. Nothing in this section prevents the vehicle from being utilised in accordance with City fleet guidelines by other elected members or officers with the agreement of the Mayor.

3.3 Deputy Mayor

3.3.1 Deputy Mayor's allowance

In addition to their entitlements as an elected member under Section 3.1 of this policy, the Deputy Mayor may be paid a Deputy Mayor's allowance in accordance the *Local Government Act 1995*. In accordance with the relevant *Local Government Elected Council Members Determination* the Deputy Mayor can be paid up to 25% of the Mayoral allowance. The Deputy Mayor of the City of Busselton shall be paid the maximum percentage of the Mayoral allowance of 25%, payable monthly or quarterly in arrears.

The allowance will be calculated on a pro-rata basis for any Deputy Mayor who commences or ceases office during the month or quarter. Upon commencement of office, the Deputy Mayor, for the purposes of budget development, will be requested to indicate whether it is their intention to claim a Deputy

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Mayor's allowance and their preferred payment schedule. Nothing in the relevant legislation or this policy prevents the Deputy Mayor from changing their intention at any time.

4. APPLICATION OF THE POLICY

Any request for reimbursement in accordance with the relevant clauses of this policy must be accompanied by an original supplier receipt.

Policy Background

Policy Reference No. - 001
 Owner Unit – Governance
 Originator – Manager, Governance Services
 Policy approved by – Council
 Date Approved – For consideration
 Review Frequency – As required
 Related Documents –
 Local Government Act 1995
 Local Government (Administration) Regulations 1996
 Local Government Elected Council Members Determinations
 Background/History - Initiated June 2008 to replace former policies:
 054/1 - Councillors' Travelling Expenses;
 055/1 - Attendance at Conferences, Training and Seminars;
 193 - Communications Allowances - Councillors;
 212/1 - Vehicle for Use by Shire President and Councillors;
 226 - Laptop Computers - Councillors and Officers;
 227 - Printer Consumables.

History

Council Resolution	Date	Information
C1608/200	10 August, 2016	Adjustments to schedulise fees and allowances determined in accordance with any <i>Local Government Elected Council Members Determination</i> Version 8
C1411/292	12 November, 2014	Adjustments to recognise increases made in determinations of the Salaries and Allowances Tribunal via the <i>Local Government Elected Council Members Determination No. 1 of 2014</i> Version 7
C1307/182	10 July, 2013	Adjustments to recognise the determinations made by the Salaries and Allowances Tribunal via the <i>Local Government Elected Council Members Determination No. 1 of 2013</i> Version 6

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C1206/168	27 June, 2012	Increase to the Mayor and Deputy Mayor's allowances to maximums available under the Act; change of terminology to City / Mayor / Deputy Mayor; and removal of outdated reimbursement proposals for mobiles and internet connections Version 5
C1111/362	23 November, 2011	Ability provided for Councillors to be remunerated monthly Version 4
C1007/238	14 July, 2010	Clarification regarding use of the vehicle assigned to the Shire President Version 3
C1005/157	12 May, 2010	Increase to the allowance payable to the Shire President (and therefore Deputy) to be effective from 1 July, 2010 Version 2
C0808/267	27 August, 2008	New policy to replace former policies 054/1; 055/1; 193; 212/1; 226 and 227 Version 1

8. NEXT MEETING DATE

Thursday, 20 October 2016

9. CLOSURE