



# **AGENDA**

## **AUDIT COMMITTEE MEETING**

### **WEDNESDAY, 3 MARCH 2021**

Notice is given that the next Audit Committee Meeting of the Roper Gulf Regional Council will be held on:

Wednesday, 3 March 2021 at 10:00am  
The Roper Room, Roper Gulf Regional Council Support Centre,  
2 Crawford Street, Katherine, NT

Your attendance at the meeting will be appreciated.

Marc GARDNER  
**ACTING CHIEF EXECUTIVE OFFICER**

## PLEDGE

“We pledge to work as one towards a better future through effective use of all resources.

We have identified these key values and principles of Honesty, Equality, Accountability, Respect and Trust as being integral in the achievement of our vision, that the Roper Gulf Regional Council is Sustainable, Viable and Vibrant.”

## PRAMIS BLA WI

“Mela pramis bla wek gudbalawei bla meigim futja bla wi wanwei, en bla yusim ola gudwan ting bla helpum wi luk lida.

Mela bin luk ol dijlod rul, ebrobodi gada tok trubalawei, wi gada meik so wi gibit firgo en lisiin misalp, abum rispek en trastim misalp bla jinggabat bla luk lida, Roper Galf Rijinul Kaunsul deya maindim en kipbum bla wi pramis, dum wek brabli gudbalawei, en im laibliwan.”

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	Nil.	
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## 17.1 Confirmation of Confidential Previous Minutes

*The report will conducted in accordance with the Local Government Act 2008 s 65(2) and Local Government (Administration) Regulations 2008 reg 8(e).*

## 17.2 Evaluation of the Audit Tender

*The report will conducted in accordance with the Local Government Act 2008 s 65(2) and Local Government (Administration) Regulations 2008 reg 8(c)(i).*

## 17.3 Risk Management Plan and Register

*The report will conducted in accordance with the Local Government Act 2008 s 65(2) and Local Government (Administration) Regulations 2008 reg 8(c)(iii) (c)(iv) (d) (e).*

**RESUMPTION OF MEETING****18 CLOSE OF MEETING**

**CONFIRMATION OF PREVIOUS MINUTES**

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<b>ITEM NUMBER</b>	6.1
<b>TITLE</b>	Confirmation of Previous Minutes
<b>REFERENCE</b>	1051638
<b>AUTHOR</b>	Naomi HUNTER, Executive Manager

**RECOMMENDATION**

**That the Audit Committee confirms the minutes from the meeting held on 18 November 2020 and affirms them to be a true and accurate record of the meetings decisions and proceedings.**

**BACKGROUND**

The Audit Committee met on Wednesday, 18 November 2020 at 10:00am in Katherine. Attached are the recorded minutes from that meeting for the Committee to review.

The next Audit Committee Meeting is scheduled to be held on Wednesday, 09 June 2021 at 10:00am.

**ISSUES/OPTIONS/SWOT**

Nil.

**FINANCIAL CONSIDERATIONS**

Nil.

**ATTACHMENTS**

1 [↓](#) Audit Committee 2020-11-18 [1670] Minutes.DOCX



MINUTES OF THE ROPER GULF REGIONAL COUNCIL, AUDIT COMMITTEE  
MEETING HELD AT THE ROPER ROOM, ROPER GULF REGIONAL COUNCIL  
2 CRAWFORD STREET, KATHERINE, NT  
ON WEDNESDAY, 18 NOVEMBER 2020 AT 10.00AM

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**1 PRESENT MEMBERS/STAFF/GUESTS**

**1.1 Members**

- Independent Member Garry LAMBERT (Chairperson);
- Independent Member Carolyn EAGLE (via videoconference);
- Councillor Marlene KARADOO (via videoconference);
- Councillor David MURRUNUGUN; and
- Councillor Donald GARNER.

**1.2 Staff**

- Marc GARDNER, Acting Chief Executive Officer;
- Dave HERON, Acting General Manager Corporate Services and Sustainability;
- Cristian COMAN, Manager Corporate Information;
- Chloe IRLAM, Governance Officer; and
- Bhumika ADHIKARI, Executive Administration Support Officer.

**1.3 Guests**

- Cheryl CHASE, Partner, Deloitte; and
- Wasique ZAFAR, Audit Manager, Deloitte.

**2 MEETING OPENED**

The Audit Committee Meeting opened at 10:00am with quorum

**3 WELCOME TO COUNTRY**

**4 APOLOGIES AND LEAVE OF ABSENCE**

Nil.

**5 QUESTIONS FROM THE PUBLIC**

## 6 CONFIRMATION OF PREVIOUS MINUTES

### 6.1 CONFIRMATION OF PREVIOUS MINUTES

77/2020 RESOLVED (Donald GARNER/Carolyn EAGLE)

CARRIED

The Audit Committee confirmed the minutes from the meeting held on 16 September 2020 and affirmed them to be a true and accurate record of the meetings decisions and proceedings.

## 7 BUSINESS ARISING FROM PREVIOUS MINUTES

### 7.1 ACTION LIST

78/2020 RESOLVED (Donald GARNER/David MURRUNGUN)

CARRIED

The Audit Committee :

- a) Received and noted the Action List.

## 8 CALL FOR ITEMS OF GENERAL BUSINESS

Nil

## 9 DISCLOSURES OF INTEREST

There were no declarations of interest at this Audit Committee Meeting.

## 10 INCOMING CORRESPONDENCE

Nil.

## 11 OUTGOING CORRESPONDENCE

Nil.

## 12 GENERAL BUSINESS

### 12.1 TENDER FOR PROVISION FOR AUDIT SERVICES

79/2020 RESOLVED (David MURRUNGUN/Marlene KARKADOO)

CARRIED

The Committee endorsed the issue of the tender request of the provision for audit services for the next three years by the Acting CEO.

### 12.2 BUSINESS CONTINUITY PLAN

80/2020 RESOLVED (Donald GARNER/David MURRUNGUN)

CARRIED

The Audit Committee:

- (a) endorses the draft Business Continuity Plan;
- (b) notes changes required to the draft Business Continuity Plan; and
- (c) that the Business Continuity Plan is a standing item for every future Audit Committee Meeting.

### 12.3 AUDIT MANAGEMENT LETTER

81/2020 RESOLVED (Marlene KARKADOO/Carolyn EAGLE)

CARRIED

The Audit Committee accepted the Audit Management Letter and requested that the progress of the recommendations is reported at the next Audit Committee meeting.

*Cheryl CHASE and Wasique ZAFAR joined the meeting via teleconferencing at 10:34am  
Cheryl CHASE and Wasique ZAFAR left the meeting at 11:19am.*

## 12.4 SELF-ASSESSMENT OF AUDIT COMMITTEE

82/2020 RESOLVED (Donald GARNER/David MURRUNGUN)

CARRIED

The Audit Committee:

- (a) Noted the report in relation to the self-assessment of the Audit Committee; and
- (b) Recommended to the Council that the terms of reference for the Audit Committee are amended to include an own motion capability; and
- (c) Completed the Audit Committee Self-Assessment.

## 13 EXECUTIVE REPORTS

## 14 COMMUNITY SERVICES AND ENGAGEMENT DIVISIONAL REPORT

## 15 CORPORATE SERVICES AND SUSTAINABILITY DIVISIONAL REPORT

### 15.1 FINANCIAL REPORTING TO COUNCIL & MANAGEMENT

83/2020 RESOLVED (Marlene KARKADOO/Carolyn EAGLE)

CARRIED

The Audit Committee accepted the financial reporting templates for Council and Management.

## 16 INFRASTRUCTURE SERVICES AND PLANNING DIVISIONAL REPORT

## 17 CLOSED SESSION

### DECISION TO MOVE TO CLOSED SESSION

84/2020 RESOLVED (Donald GARNER/David MURRUNGUN)

CARRIED

*Members of the press and public be excluded from the meeting of the Closed Session and access to the correspondence and reports relating to the items considered during the course of the Closed Session be withheld. This action is taken in accordance with Section 65(2) of the Local Government Act, 2008 as the items lists come within the following provisions:-*

- 17.1 **Confirmation of Previous Minutes** - *The report will conducted in accordance with the Local Government Act 2008 s 65(2) and Local Government (Administration) Regulations 2008 reg 8(e).*
- 17.2 **Corporate Information System Update** - *The report will conducted in accordance with the Local Government Act 2008 s 65(2) and Local Government (Administration) Regulations 2008 reg 8(c)(iv).*
- 17.3 **Heavy Vehicle Matter** - *The report will conducted in accordance with the Local Government Act 2008 s 65(2) and Local Government (Administration) Regulations*



2008 reg 8(c)(iv).

**17.4 Assessment of Audit** - *The report will conducted in accordance with the Local Government Act 2008 s 65(2) and Local Government (Administration) Regulations 2008 reg 8(c)(i) (c)(iv).*

**17.5 Risk Management Plan and Register** - *The report will conducted in accordance with the Local Government Act 2008 s 65(2) and Local Government (Administration) Regulations 2008 reg 8(c)(iii) (c)(iv) (d) (e).*

## RESUMPTION OF MEETING

85/2020 RESOLVED (David MURRUNGUN/Marlene KARKADOO)

CARRIED

That the Audit Committee moved to return to the open session of the Audit Committee Meeting and declared the resolutions made in the confidential session not be available to the public in accordance with the *Local Government Act 2008*, section 201.

## 18 CLOSE OF MEETING

The meeting terminated at 12:45 pm.

This page and the preceding pages are the minutes of the Finance Committee Meeting of Council held on Wednesday, 18 November 2020 and will be confirmed at the next meeting.

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Chairperson Garry LAMBERT  
Confirmed on 3 March 2021

**BUSINESS ARISING FROM PREVIOUS MINUTES**

<b>ITEM NUMBER</b>	7.1
<b>TITLE</b>	Action List
<b>REFERENCE</b>	1047685
<b>AUTHOR</b>	Naomi HUNTER, Executive Manager

**RECOMMENDATION**

That the Audit Committee:

- a) That Receives and notes Action List; and
- b) Approves the removal of completed items.

**BACKGROUND**

The Action List is a summary of tasks that the Audit Committee meeting has requested be undertaken by Council staff. The table also identifies the Staff member assigned to the task by the Chief Executive Officer and the current status.

Date	Agenda Item #	Item Description	Responsible Person	Comments/ Details	Ongoing	Status Comments - Completion Date
19-09-2018	11.2	New Policies	Executive Manager	That the standard operating procedure applicable to the mandatory reporting policy be presented to the November Audit Committee.	Ongoing	Website has been updated to reflect the four (4) divisions within its operational structure. <b>Recommend remove action.</b>
19-09-2019	13.2	Information Rights Management	Manager Corporate Information	Contractor to overhaul entire EDRMS and records management processes, including IRM.	Ongoing	Project schedule has been developed and in action. Report updating of project in agenda. Regular reports provided in agendas. <b>Recommend remove action</b>
17-06-20	13.2	Audit Committee Self-Assessment	Marc Gardner	Referred to next meeting 16.09.20	Ongoing	Report in November agenda. Self-assessment complete and Terms of Reference amended. <b>Recommend remove actions</b>

17-06-20	13.2	Risk Management Plan	Marc Gardner	Referred to next meeting 16.09.20	Ongoing	Report in November agenda. Standing agenda item. <b>Recommend remove action</b>
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**ISSUES/OPTIONS/SWOT**

Nil

**FINANCIAL CONSIDERATIONS**

Nil

**ATTACHMENTS**

**GENERAL BUSINESS**

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<b>ITEM NUMBER</b>	12.1
<b>TITLE</b>	Audit Management Letter Update
<b>REFERENCE</b>	1060891
<b>AUTHOR</b>	Dave HERON, Finance Manager

**RECOMMENDATION**

**That the Audit Committee notes the Audit Management Letter Update and requests that the progress of the recommendations is reported at the next Audit Committee meeting.**

**BACKGROUND**

The auditor, Deloitte provided a draft management letter itemizing issues that they consider weaknesses in the financial management environment and processes of council that were identified during the conduct of the audit for the year ended 30 June 2020. The update to the points raised in that letter is attached.

**ISSUES/OPTIONS/SWOT**

Most of the issues have already been addressed and enacted. Those matters still outstanding at the last Audit Committee Meeting are updated accordingly:

- Project Gateway Planning Process to address project budgeting Completed
- Grants Module in Tech 1 to establish a better Grants Register June 2021
- Financial Calendar to allocate tasks to responsible officers Completed
- Allocation of internal costs review for programs to be completed Ongoing

**FINANCIAL CONSIDERATIONS**

Nil

**ATTACHMENTS**

- [1](#) Audit Management Update.docx
- [2](#) Project Gateway Report.pdf
- [3](#) Example Financial Reporting Calendar.pdf

# 1. Audit findings for the year ending 30 June 2020

Observation	Recommendation	Management's comments	Update
<p>We noted that during the year, the management identified a case of misrepresentation by an employee. It was found that an employee who provided incorrect information related to his qualifications was hired. It was subsequently found out through a tip-off and the employee was sacked during the probation period. We noted based on the discussion with the management that the employee was not in-charge of key assets or handling money.</p>	<p>It is recommended that management considers ways to enhance the robustness of the background checks to ensure that any false information is identified in a timely manner.</p>	<p><b>This is lesson learned by experience and the recruitment process now includes a specific instruction to sight and verify qualifications presented by applicants</b></p>	<p><b>A additional step in the recruitment process is to conduct due diligence and physically sight credentials that are deemed critical to the role</b></p>
<p>During our review of the budgets related to capital grants we noted that there is insufficient budgeting and feasibility process carried out prior to applying for the capital grant. This has resulted in delays in implementing capital plans due to inaccurate budgeting and lack of required approval to carry out the capital program.</p> <p>Lack of realistic budgets also inhibits the council's ability to track the performance of significant grants.</p>	<p>It is recommended that the budgeting process for capital grants should be enhanced to ensure a proper feasibility and costing has been carried out to ensure the project performance is tracked appropriately and in a timely manner. It will also ensure that capital projects are initiated and completed in a timely manner.</p>	<p><b>A project planning process is being implemented to include gateways that must be achieved before proceeding further. One of these gateways is the proper development of project feasibility costings before proceeding to council's approval and funding applications.</b></p>	<p><b>A Gated Process has been instigated and a Project Steering Committee established to ensure the proper processes are followed with appropriate authorities given during the lifecycle of a project.</b></p> <p><b>The Gates are title</b></p> <ol style="list-style-type: none"> <li><b>1. Strategic Assessment</b></li> <li><b>2. Preliminary Evaluation</b></li> <li><b>3. Business Case</b></li> <li><b>4. Readiness for Service</b></li> </ol> <p><b>A sample report for updating the Council on project progress is attached</b></p>

Observation	Recommendation	Management's comments	Update
<p>While performing walk through with the acting management accountant, it was identified that there is no verification/ approval in place for the changes to bank details of the existing supplier upon request by the supplier.</p>	<p>It is recommended that management implements verification/approval processes in place for changes made to the supplier details.</p>	<p><b>An approval process is now in place where the Finance Officer seeks signed approval before changing any bank account details. Unfortunately this is not a secure workflow option available in Tech 1.</b></p>	<p><b>This process is now fully operational where approval is sought from the Finance Manager or Management Accountant before bank account details are changed</b></p>
<p>It was noted that a large value Telstra Finance Lease was entered into without approval from the relevant ministerial position. Secondly the agreement was signed by the delegate who were not authorised to approve the transaction without informing the current CEO on the matter.</p> <p>Once the matter was noted, it was brought to the attention of Department of local government, council members and the audit committee. The council undertook the process to rectify the transaction with Telstra to change the agreement from a lease agreement to an outright purchase agreement. The risk register was updated to include a risk related to such approvals and policies updated to avoid similar instances.</p>	<p>It is recommended that stricter controls are implemented to avoid similar incidents in future and ensure awareness to the team of the required approval process. Potential automation of the process may also help in reducing this risk.</p>	<p><b>Automated controls will be installed once the Project Gateway process is instigated. This may be by using the Tech 1 Works Module or by using another specialist project planning software. This is being led by the CEO.</b></p> <p><b>This particular incident involved personnel that are no longer with the council. Since then the financial delegation manual and procurement process has been reinforced to all managers.</b></p>	<p><b>This recommendation is addressed in the creation of the Project Steering Group which will make the necessary decisions based on full disclosure of information.</b></p>

It was identified that grants details including funding, refund, obligations etc. are managed manually in an excel sheet and the Magiq file management system. The Grant register has limited details about the nature, timing of grants, milestones and performance reporting.

It is recommended that the grants register include more details about the grant performance obligations and milestone payments to help with the oversight and management of grant reporting.

**This has been identified as an internal control weakness as well. Councilbiz advised March 2020 that the relevant grants module in Tech 1 would not be compatible for this use. However after recent discussions and similar requests from other councils, this position has changed and configuration of the Grants/Contract Module is Tech 1 is proceeding.**

**This will automate several processes and have all the relevant information available to all users.**

**A financial calendar is being prepared to allocate a process to a council officer and a due date when this is due be it weekly, monthly, quarterly, etc**

**The specific example sighted occurred when finance staff left without providing any handover which resulted in a period where regularly reconciliations for some accounts were not performed.**

**These tasks are now being done regularly by suitably trained accountants.**

**Delays have been encountered for various reasons but an initial configuration meeting was held on 25 February 2021 with the Grants Coordinator and A/GM Corporate Services and Councilbiz.**

**It is envisaged that the module will be operation from 1 July 2021.**

During our audit, we noted several deficiencies in the financial reporting process e.g. delay in preparation of reconciliations, multiple versions the schedules and error in the key schedules, not all the required schedules being prepared in the timely manner.

We recommend that a financial reporting work program be implemented to ensure that the list of financial reporting activities is known, and a timeline be communicated to the team. It will also assist in ensuring the accountability of the people responsible for performing the financial reporting activities.

**The reconciliation of financial information has been allocated to various members of the Finance Team which is to be done at a specified time each week/month/quarter**

**A complete calendar detailing processing responsibility of financial data has been developed.**

Observation	Recommendation	Management's comments	Update
<p>Per review of the Cash and Term Deposit Column it was noted that there are signatories who no longer work for the Council. It was also noted that some of the Signatories for Term Deposits had not been updated so the cash could not be transferred to Roper Gulf once the term deposit matured in a timely manner.</p> <p>Current recorded signatories:</p> <ul style="list-style-type: none"> <li>• Gregory Arnott (Resigned)</li> <li>• Mark Gardner</li> <li>• David Heron</li> <li>• Phillip Luck</li> <li>• Steven Sanderson (Resigned)</li> <li>• Sharon Hillen (Resigned)</li> <li>• Jasjit Rai (Resigned)</li> </ul>	<p>It is recommended that Roper update the record of their signatories in a timely manner as and when there is a change in the Council's personnel with signing authority.</p>	<p><b>The authorised signatories had not been amended for some time. As most of the Term Deposits were managed by the investment broker, Curve Securities, it was not noticed. These have now been reviewed and changed with council's investment broker and deposit recipients. Regular reviews will be scheduled.</b></p> <p><b>Note that Steve Sanderson is still employed.</b></p>	<p><b>The bank signatories have been amended.</b></p> <p><i>Audit Management Update.docx</i></p> <p><b>The need to amend these signatories as required has been advised to the Finance team who will be aware of the need as any changes to senior staff occur</b></p>

Per review of the journal process it was noted accountants can post journals in grants without review or approval if it doesn't involve a third party.

It is recommended that all journals posted in the system have a separate preparer and reviewer.

**This is true for the early part of 2019/20. The process was changed towards the end of 2019 is now that the Finance Manager approves all General Journals of any value.**

**A further process will be instigated where the Management Accountant will review and authorise any journals prepared by the Finance Manager.**

**General Journal entries are being reviewed by the Finance Manager or Management Accountant**

Observation	Recommendation	Management's comments	Update
<p>While performing substantive testing, it was noted that RGRC do not maintain the delivery docket or any sort of confirmation confirming that goods or services are received. RGRC just have a project manager approving the invoice under software Maqia which does not</p>	<p>The Council could emphasize the importance of obtaining delivery docket or any other form of confirmation to establish that the goods and services related to expense have been availed. Adherence to established policies</p>	<p><b>This process is impractical for the council's payment system. The reliance is on the relevant manager confirming the delivery of goods or service. Delivery dockets are often not provided with goods that are often freighted through several</b></p>	<p><b>Not instigated. Unfeasible with resources available</b></p>



Observation	Recommendation	Management's comments	Update
<p>While performing the reconciliation of the Property, Plant and Equipment balance to general ledger it was observed that Capital WIP is not classified separately instead it is clubbed with the fixed asset group.</p>	<p>It is recommended that RGRC maintains a separate CWIP account to track the CWIPs correctly and also to track the cost-to-complete for a complete and accurate records for CWIP.</p>	<p><b>Each asset class has its own account (51##) and its own WIP account (53##) that are reconciled on a monthly basis</b></p>	<p><b>Capital WIP is reconciled each month by the Management Accountant and completed projects are commissioned into the Asset Management system by the Financial Accountant</b></p>
<p>It was noted during the interim audit that the Property, Plant and Equipment register was not updated and reconciled at each month end. Due to this Roper had to reconcile the entire years Property, Plant and Equipment movement during the final audit procedures.</p>	<p>It is recommended that the council incorporates the Fixed Asset reconciliation process in their month-end reporting procedures so that the fixed assets register is updated and reconciled on monthly basis and any exception can be dealt with in a timely manner.</p>	<p><b>The Plant, Property &amp; Equipment Register had not been reconciled since the departure of the Finance Manager in November 2019. No handover had been conducted to any of the remaining staff. It was May 2020 by the time the new Financial Accountant was able to reconcile the register up to date. The register is now updated for new additions and disposals on a monthly basis</b></p>	<p><b>This reconciliation is performed monthly by the Financial Accountant</b></p>

Observation	Recommendation	Management's comments	Update
<p>During the review of the grant acquittals, we noted that certain expenses have been allocated to particular grants based on the approved budgets. The Council does not maintain the supporting documents for the actual expenses incurred. These expenses could only be supported by an approved budget for each grant. In the absence of supporting documents related to allocated expenses the correctness of the amount could not be verified.</p>	<p>We recommend that the Council should improve the documentation related to allocated expenses to the grants to ensure that the correct expenses have been allocated to the grants and there are adequate documents to trace the expense allocation.</p>	<p><b>The internal allocations are not materially inaccurate but many have not been reviewed and updated for many years. The Finance Manager and Management Accountant began a processes of reviewing, correcting and documenting the internal allocations from July 2020. This review has included analysing the rationale behind each charge and eliminating allocations that are deemed unnecessary.</b></p>	<p><b>The review of internal cost allocation is a continual process throughout the year and has been undertaken by the Management Accountant.</b></p> <p><b>Errors and issues have been revealed and corrected.</b></p>

PROJECT GATEWAY REPORT

Date Started	Project Name	Officer	Gates				Budget 20/21	Actual YTD	Funding	Notes
			1	2	3	4				
<b>Barrage</b>										
	Lot 221 Relocate Night Patrol	RG					20,000.00		RGRC	
	Lot 198 New Library @ Council Office									
	Lot 287 Upgrade to ablution block						100,000.00	30,615.00	RGRC	Completed
	Lot 222 Relocate Ablution Block	RG					20,000.00		RGRC	
	Dual - 2 x Coaches Boxes	RG					70,000.00		RGRC	
	Telecommunications Upgrades	DH					130,000.00	61,917.00	RGRC	
	Bottom Camp and Bargala Road	VI					51,510.00	38,632.50	RGRC	Survey
<b>Banack</b>										
	Telecommunications Upgrades	DH					130,000.00	61,917.00	RGRC	
	Madigan Road Intersection	VI					110,000.00	19,404.91	RGRC	
<b>Barricola</b>										
	Lot 391 - VOI Development	DH								
	Dump - Office and ablutions	RG								
	Sports Courts	MG					500,000.00		Grant	Project Managed by MFG
	Cyclone Shelter	MG					3,500,000.00		Grant	Project Managed by MFG
	Lot 784 Showground Power Upgrade	RG						4,000.00	RGRC	Currently in procurement process
	Mans Yard - Caged Shed						40,000.00	38,877.86	RGRC	Completed
	Business Hub	MG						11,518.75	RGRC	
	Lot 784 Dual underground irrigation	RG								Currently in procurement process
	Barricola street lighting	VI					120,000.00		RGRC	Need to engage a consultant
	Telecommunications Upgrades	DH					130,000.00	61,917.00	RGRC	
	Lot 793 New street lighting	DH					12,000.00		RGRC	
	Toilet at Airport	KK					252,610.00		LA	
	Rocky Creek Bridge	MG					600,000.00	600,000.00	Grant	
	Anjala Street Blackspot	VI					531,577.00		Grant	
<b>Bullman</b>										
	Dump fence	DH					60,000.00		RGRC	
	Telecommunications Upgrades	DH					130,000.00	61,917.00	RGRC	
	Community Ablution Block	KK					140,000.00		Grant/LA	
	Local roads drainage & renewal	VI					710,600.00		RGRC	
<b>Manayefak</b>										
	Telecommunications Upgrades	DH					130,000.00	61,917.00	RGRC	
	Playground softfall	KK					40,000.00		RGRC	
	Access Road Resheet	VI					500,000.00	81,020.00	RGRC	
	Stage 1 road drainage works	VI					430,000.00		RGRC	
	Sealing of Road jam up from Entry	VI								
	Staff Housing	DH								
<b>Hikimagan</b>										
	Council office upgrades	DH					100,000.00		RGRC	
	Roof over Basketball Court	DH					75,000.00		LA	Cancelled
	Telecommunications Upgrades	DH					130,000.00	61,917.00	RGRC	
<b>Mataraka</b>										
	Community Services Hub	MG					434,659.50	8,472.00	Grant	
	Upgrade Aged Care	SS					125,000.00	470.50	Grant	
	Staff house purchase	MG					450,000.00		RGRC	
	Telecommunications Upgrades	DH					130,000.00	61,917.00	RGRC	
	Ginty Astrip Resurfacing	VI					108,460.00	5,600.00	RGRC	
	Park Statures	MG					200,000.00	100,000.00	RGRC/LA	
	Secretary Upgrades						48,551.47	48,551.47	RGRC	Completed
	Secretary Car Park	VI					327,957.00	9,797.50	RGRC	
<b>Rigabert</b>										
	Aged Care upgrade	KK					265,000.00	1,207.91	Grant	
	Sports Courts	MG						11,439.10	Grant	Project Managed by MFG
	Sports Courts Drainage	VI					150,000.00		RGRC	
	River Pump Spurline	DH					100,000.00		RGRC	
	Freight Hub	VI					1,514,624.00	1,254,985.06	Grant	
	Telecommunications Upgrades	DH					130,000.00	61,917.00	RGRC	
	Outdoor Stage	KK					161,772.73		LA	
	Basketball Court	MG					238,262.00		LA	
<b>Numbulwar</b>										
	Lot 158 Staff house renovation	RG					125,000.00		RGRC	
	Lot 156 Staff House rebuild	DH					300,000.00		RGRC	Working with CDP
	Lot 217 New Workshop	DH								
	Aged Care upgrade	KK					110,000.00		Grant	No tenders received
	Ablution Block	KK					150,000.00		Grant/LA	
	Telecommunications Upgrades	DH					130,000.00	61,917.00	RGRC	
	Playground Equipment	KK					106,305.04		LA	
	Local Roads upgrade	VI					489,289.00		Grant	
<b>Robinson River</b>										
	Dual Upgrade	KK					500,000.00	174,810.00	Grant	
<b>Natherine</b>										
	Chardon St Outstations Shed	KK					165,000.00		RGRC	
	Enclose Crib room						22,000.00		RGRC	Completed
	2 Crawford St Internal works	DH					180,000.00		RGRC	
	29 Crawford St upgrades	KK					150,000.00		RGRC	

Gate #	Project Phase
Gate 1	Idea
Gate 2	Concept
Gate 3	Design
Gate 4	Construct

Officer Names	
MG	Marc Gardner
DH	Dave Heron
SS	Steve Sanderson
KK	Keerthi Kumarawade
RG	Rob Grayson
VI	Vikrant Jagarlamudi

Department	Task Detail	Due Date	Responsible Person	Provided to
	Requests to raise invoices from the NTG PO for maintenance works	7 days after month end	Contract Manager	Accounts Receivable
Finance	Provision of credit card statements to card holders	1 day after month end	Senior Finance Officer	Card Holders
Finance	Coded and authorised credit card statements	7 days after month end	Card Holders	Accounts Payable
Finance	Posting of coded credit card statements	10 days after month end	Accounts Payable	
Workshop	Requests to raising of invoices for workshop external works	7 days after month end	Fleet Manager	Accounts Receivable
Workshop	Internal workshop charges	7 days after month end	Fleet Manager	Accounts Receivable
Finance	Accrued charges from Alawa	7 days after month end	Management Accountant	
Finance	Run monthly depreciation	10 days after month end	Financial Accountant	
Finance	Reconcile Asset purchases and disposals	7 days after month end	Financial Accountant	
Contracts	Airport inspection forms	4 days after month end	CSC	Contracts Manager
Aged Care	Reconcile E-Tools	7 days after month end	Aged Care Administrator	Management Accountant
Finance	Update LA Projects Register	7 days after month end	Finance Manager	Projects Manager
Finance	LA Project Revenue Recognition Journal	7 days after month end	Finance Manager	
Finance	Monthly Council Reports	14 days after month end	Management Accountant	Finance Manager

**GENERAL BUSINESS**

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<b>ITEM NUMBER</b>	12.2
<b>TITLE</b>	Business Continuity Plan
<b>REFERENCE</b>	1060899
<b>AUTHOR</b>	Dave HERON, Finance Manager

**RECOMMENDATION**

**That the Audit Committee endorse the draft Business Continuity Plan.**

**BACKGROUND**

The Covid-19 outbreak early in 2020 exposed every organisation to an extraordinary event that challenged Council's response to the crisis and highlighted many critical issues that had not been previously considered. As part of council's response and ongoing attention to risk management, a Business Continuity Committee was established to manage the crisis and to create a Business Continuity Plan that can be referred to for future crisis events.

**ISSUES/OPTIONS/SWOT**

The feedback from the last Audit Committee has been passed to the Business Continuity Committee. But that Committee has not met since due to unavailability of required staff. It is intended that the Committee meet by the end of March to discuss and develop scenarios to test the Plan.

**FINANCIAL CONSIDERATIONS**

Nil.

**ATTACHMENTS**

**GENERAL BUSINESS**

<b>ITEM NUMBER</b>	12.3
<b>TITLE</b>	Gated Project Process
<b>REFERENCE</b>	1060928
<b>AUTHOR</b>	Dave HERON, Acting General Manager Corporate Services & Sustainability

**RECOMMENDATION**

**That the Audit Committee support the use of the Gated Project Process**

**BACKGROUND**

A control weakness that has been identified by the Auditors and current council management has been the projects management process. From inception to closure the lifecycle of a project was disjointed with little or no documented reason for it, and then a haphazard approach to its delivery. This lack of control resulted in less than a third of annually budgeted capital projects being delivered and had a range of other risks.

In response to these failings, management sought the assistance of Byrne Consultants, who are experienced Project Managers, to develop a gateway system by which each project gets assessed and managed through a series of gates. The process has just begun and teething problems are expected, but overall, management and the Projects team are happy with the outcome.

Attached are the Standard Operating Procedures (SOP) and basic templates for the progress through the gates. The current list of projects has been assessed to its current stage so the next stage and new projects are required to meet the conditions of each relevant gate.

**ISSUES/OPTIONS/SWOT**

The system has been introduced to reduce the risks of Project Management, some of which has been a feature of previous processes.

- Projects being delivered not in line with Council's Strategic Goals. This can result in projects being instigated without Council's knowledge and approval.
- Projects not being properly scoped and budgeted. This can result in budget variations needed to cover over expenditure.
- Grants being sought and received without a proper scope of works and achievable delivery date. This may result in projects not being completed in time and grants needing to be returned to the funding body.
- An appropriate level of communication to stakeholders. This ensures that Local Authorities, community members and government agencies are included in any proposed projects.

The process is still being refined, specifically

- The establishment of a Project Steering Group (PSG) that would review and discuss the relevant documents, and approve the progress of a project to the next gate.
- The format of the governance of the PSG guiding things on how projects are proposed, Project Holders interaction with the group, and the reporting mechanisms back to Council.

**FINANCIAL CONSIDERATIONS**

The cost of the consultancy was included in the annual budget for assets and projects.

**ATTACHMENTS**

- 1 [↓](#) SOP Capital Works.doc
- 2 [↓](#) Gate1-StrategicAssessment.doc
- 3 [↓](#) Gate2-PreliminaryEvaluation.doc
- 4 [↓](#) Gate3-BusinessCase.doc
- 5 [↓](#) Gate4-ReadinessforService.doc

**1. STANDARD OPERATING PROCEDURE CERTIFICATION**

Procedure Title:	<b>Capital Works Governance</b>
SOP Number:	<b>TBA</b>
Classification :	<b>TBA</b>
Business Unit:	<b>TBA</b>
Date:	<b>29 February 2021</b>
Status:	<b>Revision D</b>

**2. INTRODUCTION / SCOPE**

This procedure sets out Roper Gulf Regional Council’s framework to efficiently and effectively manage and control capital works projects. It prescribes the processes for managing capital works projects to achieve:

- Efficient use of Council’s resources.
- Delivery of Council’s strategic objectives.
- Prioritisation of capital works projects based upon Council’s needs.

**3. THE PROCEDURE**

The capital works project lifecycle is typically delivered through five process groups including:

- Initiating – The project is created and approved to proceed.
- Planning – The project scope, schedule and budget are defined.
- Executing – The project works are delivered.
- Monitoring and controlling – The project progress is monitored and risks are mitigated.
- Closing – The project is finalised and assets are transitioned to operations and maintenance.

A gateway approach is used throughout a capital works project’s lifecycle to ensure that it is well positioned to enter the next process. Approval is given to proceed to the next process only when key deliverables are completed.





The table below summarises the Gate approach including the Gate name, description, position in project lifecycle, key deliverables and key tasks.

Gate 1	Gate 2	Gate 3	Gate 4
Strategic Assessment	Preliminary Evaluation	Business Case	Readiness for Service
Description			
A review based upon in-house studies to assess the overall feasibility of the project and recommend whether the project should proceed to concept design.	A review based upon concept design to assess the feasibility of the project with a focus on the scope and cost and recommend whether the project should proceed to detailed design.	A review based upon detailed design to assess the feasibility of the project with a focus on delivery and procurement and recommend whether the project should proceed to construction.	A review based upon substantial construction completion to assess and recommend strategies for construction close out and transition to service.
Project Lifecycle			
Before: Initiating	After: Initiating Before: Planning	After: Planning Before: Executing	After: Executing, monitoring and controlling Before: Closing
Key Deliverables			
Needs analysis Strategic justification Related projects Key stakeholders and expectations Risks and Opportunities Whole of life assessment Regulatory approvals Long lead items and tasks Scope - Options Magnitude of cost Magnitude of time Delivery strategy Funding sources Budget and resource required for Preliminary Evaluation Recommendation	Needs analysis Strategic justification Related projects Consultation strategy Risks and Opportunities Whole of life assessment Regulatory approvals Long lead items and tasks Scope - Concept design Cost estimate Schedule Options assessment Delivery strategy Funding sources Budget and resource required for Business Case Recommendation	Needs analysis Strategic justification Related projects Consultation strategy Risks and Opportunities Whole of life assessment Regulatory approvals Long lead items and tasks Scope - Detailed design and specification Cost estimate Schedule Delivery and procurement strategy Funding sources Budget and resource required for Readiness for Service Recommendation	Needs analysis Strategic justification Related projects Consultation strategy Risks and Opportunities Whole of life assessment Regulatory approvals Contract close-out strategy Hand over strategy Operations and maintenance procurement strategy Operational resource strategy Funding sources Budget and resource required for Operations and Maintenance Lessons learned register Recommendation
Key Tasks			
In-house desktop studies Cost estimate for next phase	Concept design (30%) for options Preliminary cost estimate (+/- 25%) Cost estimate for next	Detailed design (100%) Cost estimates (+/- 10%) Cost estimate for next phase	Hand over plan Lessons learned register Operational strategies Cost estimate for next phase

	phase		
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The documentation for each Gate must be robust, well developed and accurate to ensure that all risks, opportunities and constraints are considered. The aim is to reduce the level of uncertainty of the project scope, budget and schedule to an acceptable level.

The delivery of capital works projects requires the management of a range of issues across a number of considerations such as feasibility, engineering, architecture, environmental constraints, town planning and product suitability. The project development process is required to address the technical issues and also commercial, economic and social issues.

The gateway approach provides the Council with the greatest ability to influence the outcome of capital works projects. The ability to define and shape a project early in the project lifecycle will generate efficiencies. The gateway approach provides key benefits of:

- Alignment of projects to Council’s corporate documents.
- Reduced cost overruns.
- Realistic estimates and understanding of scope, budget and schedule.
- Efficient use of resources.
- Projects that are ready to progress to the next phase.

**4. AUTHORISATIONS AND APPROVALS**

A project steering group will be made up of Council staff and are selected for their relevant experience and expertise in relation to the capital works project. The project steering group will work cooperatively and collaboratively to review, amend as required and approve the Gate forms for the capital works project. The Gate approval by the project steering group does not remove the need to achieve organisational approvals for the capital project such as financial and procurement.

**5. CHANGE MANAGEMENT**

Capital works projects will undergo a minimum of four Gate approvals during its lifecycle. Gate approvals may be repeated for a capital works project. This is on the basis that projects often encounter significant constraints, risks and uncertainty which may result in a change from the project’s approved scope, cost and time requirements. A revised Gate approval must be sought prior to any project changes, if the changes are inconsistent with the most recent Gate approval.

**6. FORMS**

The relevant forms include:

- Strategic Assessment
- Preliminary Evaluation
- Business Case
- Readiness for Service

**7. REFERENCES / DOCUMENTS**

<p>Related Policies and Procedures</p>	<ul style="list-style-type: none"> <li>• ADM023 - Risk Management Policy</li> <li>• FIN001 - Financial Delegations Manual</li> <li>• FIN006 - Accounting and Policy Manual</li> <li>• GOV012 - Organisational Delegations Manual</li> <li>• GOV014 - Good Governance Policy</li> <li>• GOV029 - Records Management Policy</li> </ul>
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	<ul style="list-style-type: none"> <li>• GOV031 - Procurement Policy</li> <li>• HR001 - Employee and Contractor Code</li> </ul>
Related Publications	<ul style="list-style-type: none"> <li>• Local Government Act</li> <li>• Local Government (Administration) Regulations</li> <li>• PMBOK Guide and Standards</li> <li>• Gateway Review Process Overview, Queensland Treasury</li> <li>• Gateway Review Process Overview, Victoria Treasury and Finance</li> </ul>
Other Relevant Documentation	Nil

## 8. DOCUMENT CONTROL

InfoXpert ID	TBA
Revisions	Revision A
Next revision due	TBA

## 1. PROJECT DETAILS

Project Name:	
Project ID:	
Project Lead:	

## 2. INTRODUCTION

This Strategic Assessment form is a review based upon in-house studies to assess the overall feasibility of the project and recommend whether the project should proceed to concept design.

## 3. PROJECT ASSESSMENT

### 3.1 Overview

#### Purpose

[Describe the purpose of the project and describe what is to be delivered.]

#### Background

[Describe the information on the history of the project including approvals and works to date, such as in-house studies.]

### 3.2 Justification

#### Needs Analysis

[Describe the problem that the project will solve and assess whether this will be a satisfactory solution. Consider data analysis (such as population statistics, road usage statistics, road safety statistics, assets per community, assets per resident, asset utilisation, maintenance/operations costs, capital costs), survey (such as public questionnaire, interview of key stakeholders, internal workshop/focus group, interview of technical specialist), literature review (such as reports from other jurisdictions) and direct observation (such as asset audits and inspections).]

#### Strategic Justification

[Describe how the project purpose and need can be linked to a specific item within Council corporate documentation such as the strategic plan.]

### **3.3 Relationships**

#### **Related Projects**

[Describe related projects from Council and other organisations. Outline the impact and what tasks need to be considered to coordinate projects.]

#### **Key Stakeholders and Expectations**

[Describe key stakeholders and outline expectations and sensitivities that need to be considered.]

#### **Governance**

[Describe whether the project will trigger specific governance arrangements with other organisations and whether there will be additional responsibilities for Council. Consider the requirements for working groups and reporting to other organisations.]

### **3.4 Risks, Opportunities and Constraints**

#### **Risks**

[Describe the key risks that could result from the project. Consider community expectations, stakeholders, environment, safety, security, scope, design, construction, cost, schedule, legal, weather, site conditions, labour, resources, handover, operations and maintenance.]

#### **Opportunities**

[Describe the key opportunities that could result from the project. Consider efficiencies that could be achieved.]

#### **Whole of Life Assessment**

[Describe the strategy for ownership, operations maintenance of the new assets. List what new/additional resources, capital and operational/maintenance funds, contracts and approvals will be required for the through life support of the asset.]

#### **Regulatory Approvals**

[Describe the regulatory approvals that will be required, such as planning approvals (development permit, subdivision permit, building permit), AAPA Authority Certificate, environmental approvals, service authority approvals.]

#### **Long Lead Items and Tasks**

[Describe long lead items that will be required, such as specialist equipment, materials and seasonal impacts on access. Describe long lead tasks, such as land tenure.]

### **3.5 Planning and Delivery**

#### **Scope - Options**

[Describe the proposed scope of works. Consider whether there are a range of options that could be considered, it is preferred that few options could be reviewed in the next process. If

there is a preferred option, justify the selection of a preferred option.]

### **Magnitude of Cost**

[Describe the anticipated magnitude of cost for the project design, capital works and operations/maintenance. Consider direct costs such as design, construction, maintenance; indirect costs such as travel, accommodation, contingency and risks. Consider recent projects as a reference, there may be limited information to estimate costs at this point in time.]

### **Magnitude of Time**

[Describe the anticipated magnitude of time for the project design, capital works and transition to operations/maintenance. Consider recent projects as a reference.]

### **Delivery Strategy**

[Describe the proposed strategy for resourcing and procurement of the project design, capital works and operations/maintenance.]

## **3.6 Resourcing**

### **Funding Sources**

[Describe the likely funding sources for the project.]

### **Budget and Resources**

[Describe the budget and resources required for the next process which includes concept design.]

## **3.7 Recommendation**

[Describe whether the project is recommended to proceed to the next process which includes concept design.]

## **4. PROJECT APPROVAL**

[SIGNATURE BLOCKS COULD BE INCLUDED HERE OR THE FORM CAN BE COVERED WITH A MINUTE SEEKING APPROVAL.]

## **5. ATTACHMENTS**

A	[ATTACHMENT NAME]
B	[ATTACHMENT NAME]
C	[ATTACHMENT NAME]

## 1. PROJECT DETAILS

Project Name:	
Project ID:	
Project Lead:	

## 2. INTRODUCTION

This preliminary evaluation form is a review based upon concept design to assess the feasibility of the project with a focus on the scope and cost and recommend whether the project should proceed to detailed design.

## 3. PROJECT ASSESSMENT

### 3.1 Overview

#### Purpose

[Describe the purpose of the project and describe what is to be delivered. Consider the outcome of consultation and the concept design.]

#### Background

[Describe the information on the history of the project including approvals and works to date, such as concept design. Consider the outcome of consultation and the concept design.]

### 3.2 Justification

#### Needs Analysis

[Describe the problem that the project will solve and assess whether this will be a satisfactory solution. Consider data analysis (such as population statistics, road usage statistics, road safety statistics, assets per community, assets per resident, asset utilisation, maintenance/operations costs, capital costs), survey (such as public questionnaire, interview of key stakeholders, internal workshop/focus group, interview of technical specialist), literature review (such as reports from other jurisdictions) and direct observation (such as asset audits and inspections).]

#### Strategic Justification

[Describe how the project purpose and need can be linked to a specific item within Council corporate documentation such as the strategic plan. Consider the outcome of consultation and the concept design.]

### **3.3 Relationships**

#### **Related Projects**

[Describe related projects from Council and other organisations. Outline the impact and what tasks need to be considered to coordinate projects. Consider the outcome of consultation and the concept design.]

#### **Consultation Strategy**

[Describe stakeholders, consultation strategies (objectives, forums, key messages) and controls (risks, sensitivities, record keeping, approvals and reporting). Consider the outcome of consultation and the concept design.]

#### **Governance**

[Describe whether the project will trigger specific governance arrangements with other organisations and whether there will be additional responsibilities for Council. Consider the requirements for working groups and reporting to other organisations. Consider the outcome of consultation and the concept design.]

### **3.4 Risks, Opportunities and Constraints**

#### **Risks**

[Describe the key risks that could result from the project, consider community expectations, stakeholders, environment, safety, security, scope, design, construction, cost, schedule, legal, weather, site conditions, labour, resources, handover, operations and maintenance. Consider the outcome of consultation and the concept design.]

#### **Opportunities**

[Describe the key opportunities that could result from the project, consider efficiencies that could be achieved. Consider the outcome of consultation and the concept design.]

#### **Whole of Life Assessment**

[Describe the strategy for ownership, operations and maintenance of the new assets. List what new/additional resources, capital and operational/maintenance funds, contracts and approvals will be required for the through life support of the asset. Consider the outcome of consultation and the concept design.]

#### **Regulatory Approvals**

[Describe the regulatory approvals that will be required, such as planning approvals (development permit, subdivision permit, building permit), AAPA Authority Certificate, environmental approvals, service authority approvals. Consider the outcome of consultation and the concept design.]

#### **Long Lead Items and Tasks**

[Describe long lead items that will be required, such as specialist equipment, materials and seasonal impacts on access. Describe long lead tasks, such as land tenure. Consider the outcome of consultation and the concept design.]



### **3.5 Planning and Delivery**

#### **Scope**

[Describe the proposed scope of works, this may be for one or several concept design options. The project development report (design report) for the concept designs should summarise the key design elements.]

#### **Cost Estimate**

[Describe the cost estimate for the project design, capital works and operations/maintenance. The project development report (design report) for the concept designs should include preliminary quantities and cost estimates for each option. Consider direct costs such as design, construction, maintenance; indirect costs such as travel, accommodation, contingency and risks.]

#### **Schedule**

[Describe the estimated schedule for the project design, capital works and transition to operations/maintenance. The project development report (design report) for the concept designs should include an estimated works schedule.]

#### **Options Assessment**

[Describe options that have been considered for the project and justify the preferred option. The project development report (design report) for the concept design should include an options assessment.]

#### **Delivery Strategy**

[Describe the proposed strategy for resourcing and procurement of the project detailed design, capital works and operations/maintenance.]

### **3.6 Resourcing**

#### **Funding Sources**

[Describe the likely funding sources for the project. Consider the outcome of consultation and the concept design.]

#### **Budget and Resources**

[Describe the budget and resources required for the next process which includes detailed design. Consider the outcome of consultation and the concept design.]

### **3.7 Recommendation**

[Describe whether the project is recommended to proceed to the next process which includes detailed design.]

**4. PROJECT APPROVAL**

[SIGNATURE BLOCKS COULD BE INCLUDED HERE OR THE FORM CAN BE COVERED WITH A MINUTE SEEKING APPROVAL.]

**5. ATTACHMENTS**

A	[ATTACHMENT NAME]
B	[ATTACHMENT NAME]
C	[ATTACHMENT NAME]

## 1. PROJECT DETAILS

Project Name:	
Project ID:	
Project Lead:	

## 2. INTRODUCTION

This Business Case form is a review based upon detailed design to assess the feasibility of the project with a focus on delivery and procurement and recommend whether the project should proceed to construction.

## 3. PROJECT ASSESSMENT

### 3.1 Overview

#### Purpose

[Describe the purpose of the project and describe what is to be delivered. Consider the outcome of consultation and the detailed design.]

#### Background

[Describe the information on the history of the project including approvals and works to date, such as detailed design. Consider the outcome of consultation and the detailed design.]

### 3.2 Justification

#### Needs Analysis

[Describe the problem that the project will solve and assess whether this will be a satisfactory solution. Consider data analysis (such as population statistics, road usage statistics, road safety statistics, assets per community, assets per resident, asset utilisation, maintenance/operations costs, capital costs), survey (such as public questionnaire, interview of key stakeholders, internal workshop/focus group, interview of technical specialist), literature review (such as reports from other jurisdictions) and direct observation (such as asset audits and inspections).]

#### Strategic Justification

[Describe how the project purpose and need can be linked to a specific item within Council corporate documentation such as the strategic plan. Consider the outcome of consultation and the detailed design.]

### **3.3 Relationships**

#### **Related Projects**

[Describe related projects from Council and other organisations. Outline the impact and what tasks need to be considered to coordinate projects. Consider the outcome of consultation and the detailed design.]

#### **Consultation Strategy**

[Describe stakeholders, consultation strategies (objectives, forums, key messages) and controls (risks, sensitivities, record keeping, approvals and reporting). Consider the outcome of consultation and the detailed design.]

#### **Governance**

[Describe whether the project will trigger specific governance arrangements with other organisations and whether there will be additional responsibilities for Council. Consider the requirements for working groups and reporting to other organisations. Consider the outcome of consultation and the detailed design.]

### **3.4 Risks, Opportunities and Constraints**

#### **Risks**

[Describe the key risks that could result from the project, consider community expectations, stakeholders, environment, safety, security, scope, design, construction, cost, schedule, legal, weather, site conditions, labour, resources, handover, operations and maintenance. Consider the outcome of consultation and the detailed design.]

#### **Opportunities**

[Describe the key opportunities that could result from the project, consider efficiencies that could be achieved. Consider the outcome of consultation and the detailed design.]

#### **Whole of Life Assessment**

[Describe the strategy for ownership, operations and maintenance of the new assets. List what new/additional resources, capital and operational/maintenance funds, contracts and approvals will be required for the through life support of the asset. Consider the outcome of consultation and the detailed design.]

#### **Regulatory Approvals**

[Describe the regulatory approvals that will be required, such as planning approvals (development permit, subdivision permit, building permit), AAPA Authority Certificate, environmental approvals, service authority approvals. Consider the outcome of consultation and the detailed design.]

#### **Long Lead Items and Tasks**

[Describe the status of long lead items that will be required, such as specialist equipment, materials and seasonal impacts on access. Describe the status of long lead tasks, such as land tenure. Consider the outcome of consultation and the detailed design.]

### **3.5 Planning and Delivery**

#### **Scope**

[Describe the proposed scope of works for the preferred option. The design basis report for the detailed design should summarise the key design elements.]

#### **Cost Estimate**

[Describe the cost estimate for the project capital works and operations/maintenance. The design basis report for the detailed design should include quantities and cost estimates. Consider direct costs such as design, construction, maintenance; indirect costs such as travel, accommodation, contingency and risks.]

#### **Schedule**

[Describe the estimated schedule for the project design, capital works and transition to operations/maintenance. The design basis report for the detailed design should include an estimated works schedule.]

#### **Delivery Strategy**

[Describe the proposed strategy for resourcing and procurement of the project detailed design, capital works and operations/maintenance.]

### **3.6 Resourcing**

#### **Funding Sources**

[Describe the proposed funding sources for the project. Consider the outcome of consultation and the detailed design.]

#### **Budget and Resources**

[Describe the budget and resources required for the next process which includes construction works. Consider the outcome of consultation and the detailed design.]

### **3.7 Recommendation**

[Describe whether the project is recommended to proceed to the next process which includes construction works.]

## **4. PROJECT APPROVAL**

[SIGNATURE BLOCKS COULD BE INCLUDED HERE OR THE FORM CAN BE COVERED WITH A MINUTE SEEKING APPROVAL.]

## **5. ATTACHMENTS**

A	[ATTACHMENT NAME]
---	-------------------

B	[ATTACHMENT NAME]
C	[ATTACHMENT NAME]

## 1. PROJECT DETAILS

Project Name:	
Project ID:	
Project Lead:	

## 2. INTRODUCTION

This Readiness for Service form is a review based upon substantial construction completion to assess and recommend strategies for construction close out and transition to service.

## 3. PROJECT ASSESSMENT

### 3.1 Overview

#### Purpose

[Describe the purpose of the project and describe what is to be delivered. Consider the outcome of consultation and construction works.]

#### Background

[Describe the information on the history of the project including approvals and works to date, such as construction works. Consider the outcome of consultation and construction works.]

### 3.2 Justification

#### Needs Analysis

[Describe the problem that the project will solve and assess whether this will be a satisfactory solution. Consider data analysis (such as population statistics, road usage statistics, road safety statistics, assets per community, assets per resident, asset utilisation, maintenance/operations costs, capital costs), survey (such as public questionnaire, interview of key stakeholders, internal workshop/focus group, interview of technical specialist), literature review (such as reports from other jurisdictions) and direct observation (such as asset audits and inspections).]

#### Strategic Justification

[Describe how the project purpose and need can be linked to a specific item within Council corporate documentation such as the strategic plan. Consider the outcome of consultation and construction works.]

### **3.3 Relationships**

#### **Related Projects**

[Describe related projects from Council and other organisations. Outline the impact and what tasks need to be considered to coordinate projects. Consider the outcome of consultation and construction works.]

#### **Consultation Strategy**

[Describe stakeholders, consultation strategies (objectives, forums, key messages) and controls (risks, sensitivities, record keeping, approvals and reporting). Consider the outcome of consultation and construction works.]

#### **Governance**

[Describe the status of specific governance arrangements with other organisations and whether there will be additional responsibilities for Council, consider the requirements for working groups and reporting to other organisations. Consider the outcome of consultation and construction works.]

### **3.4 Risks, Opportunities and Constraints**

#### **Risks**

[Describe the key risks that could result from the project, consider community expectations, stakeholders, environment, safety, security, scope, design, construction, cost, schedule, legal, weather, site conditions, labour, resources, handover, operations and maintenance. Consider the outcome of consultation and construction works.]

#### **Opportunities**

[Describe the key opportunities that could result from the project, consider efficiencies that could be achieved. Consider the outcome of consultation and construction works.]

#### **Whole of Life Assessment**

[Describe the strategy for ownership, operations and maintenance of the new assets. List what new/additional resources, capital and operational/maintenance funds, contracts and approvals will be required for the through life support of the asset. Consider the outcome of consultation and construction works. Consider direct costs such as maintenance; indirect costs such as travel, accommodation, contingency and risks.]

#### **Regulatory Approvals**

[Describe the status of regulatory approvals that will be required, such as planning approvals (development permit, subdivision permit, building permit), AAPA Authority Certificate, environmental approvals, service authority approvals. Consider the outcome of consultation and construction works.]

#### **Long Lead Items and Tasks**

[Describe the status of long lead items that will be required, such as specialist equipment, materials and seasonal impacts on access. Describe the status of long lead tasks, such as



land tenure. Consider the outcome of consultation and construction works.]

### **3.5 Transition to Service**

#### **Construction Contract Close Out Strategy**

[Describe the strategy to close out the construction contract. Consider completion of deliverables/scope, documentation (such warranties, manuals, as-constructed drawings, certification), finalisation of variations, final payment and defect liability period.]

#### **Hand Over Take Over Strategy**

[Describe the strategy for hand over of assets. Consider service authorities (such as drawings, certification, manuals, warranties, reports), maintenance staff (such as manuals, warranties, drawings) and other organisations that may be accepting assets (such as permits, tenure arrangements).]

#### **Operational Resource and Procurement Strategies**

[Describe the strategies for resourcing and procurement of operations/maintenance. Consider new resources, new contracts and changes to the management of existing resources and contracts.]

### **3.6 Resourcing**

#### **Funding Sources**

[Describe the proposed funding sources for operations and maintenance.]

#### **Budget and Resources**

[Describe the budget and resources required for the next process which operations and maintenance.]

### **3.7 Recommendation**

[Describe whether the project is recommended to proceed to the next process which includes operations and maintenance.]

## **4. PROJECT APPROVAL**

[SIGNATURE BLOCKS COULD BE INCLUDED HERE OR THE FORM CAN BE COVERED WITH A MINUTE SEEKING APPROVAL.]

## **5. ATTACHMENTS**

A	[ATTACHMENT NAME]
B	[ATTACHMENT NAME]
C	[ATTACHMENT NAME]



**CORPORATE SERVICES AND SUSTAINABILITY  
DIVISIONAL REPORT**

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<b>ITEM NUMBER</b>	15.1
<b>TITLE</b>	Corporate Information System update
<b>REFERENCE</b>	1061018
<b>AUTHOR</b>	Cristian COMAN, Manager Corporate Information

**RECOMMENDATION**

**That the Audit Committee receives and notes this report pertaining to the Corporate Information System overhaul.**

**BACKGROUND**

At the previous Audit Committee Meeting the Manager Corporate Information informed the Committee that the overhaul process had all but ceased due to the exhaustion of available storage space.

The Manager Corporate Information further informed the Audit Committee that additional networked storage was being sourced and solutions were being drafted.

**ISSUES/OPTIONS/SWOT**

As of mid-February 2020 additional network storage has been sourced and installed as a networked drive, with non-critical, large-sized files being migrated onto the new drive.

Further clean-up of duplicate and triplicate data has been undertaken, and is still underway, with an additional 120GB of storage being freed.

The Community Development Programme (CDP) business unit has partially transitioned to the new-pattern system, and the Assets business unit is currently underway.

Full-transition to the new pattern BCS for all Katherine-based staff is anticipated by end of financial year.

**FINANCIAL CONSIDERATIONS**

N/A

**ATTACHMENTS**

There are no attachments for this report.