



AGENDA

AUDIT COMMITTEE MEETING

WEDNESDAY, 9 JUNE 2021

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

Wednesday, 9 June 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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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) (d).

17.2 Business Continuity Plan

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 2021-22 Regional Plan & Budget

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 Risk Management 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).

17.5 Potential ICAC Recommendations for Local Government

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)(ii) (c)(iii) (c)(iv) (d) (e).

17.6 Interim Audit

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

RESUMPTION OF MEETING

18 CLOSE OF MEETING

CONFIRMATION OF PREVIOUS MINUTES



ITEM NUMBER	6.1
TITLE	Confirmation of Previous Minutes
REFERENCE	1183083
AUTHOR	Cristian COMAN, Manager Corporate Compliance

RECOMMENDATION

That the Committee confirms the draft minutes of the Audit Committee Meeting held on 03 March 2021 and affirms them to be a true and accurate record of that meetings decisions and proceedings.

BACKGROUND

The Audit Committee last met on 03 March 2021.



ISSUES/OPTIONS/SWOT

Attached are the unconfirmed minutes of the Audit Committee Meeting of 03 March 2021 for the Committee's review and confirmation.

FINANCIAL CONSIDERATIONS

Not Applicable

ATTACHMENTS

1   Audit Committee 2021-03-03 [1767] Minutes.DOCX



MINUTES OF THE ROPER GULF REGIONAL COUNCIL, AUDIT COMMITTEE
MEETING HELD AT THE ROPER ROOM, ROPER GULF REGIONAL COUNCIL
SUPPORT CENTRE,
2 CRAWFORD STREET, KATHERINE, NT
ON WEDNESDAY, 3 MARCH 2021 AT 10:00AM

1 PRESENT MEMBERS/STAFF/GUESTS

1.1 Members

- Independent Member Garry LAMBERT (Chairperson);
- Councillor Donald GARNER; and
- Independent Member Carolyn EAGLE.

1.2 Staff

- Marc GARDNER, Acting Chief Executive Officer;
- Dave HERON, Acting General Manager Corporate Services and Sustainability; and
- Chloe IRLAM, Governance Engagement Coordinator.

1.3 Guests

Nil.

2 MEETING OPENED

The Audit Committee Meeting opened at 10:06 am.

3 WELCOME TO COUNTRY

4 APOLOGIES AND LEAVE OF ABSENCE

4.1 APOLOGIES AND LEAVE OF ABSENCE

79/2021 RESOLVED (Donald GARNER/Carolyn EAGLE)

CARRIED

The Audit Committee accepted the tendered apologies from Councillor Marlene KARKADOO and Councillor David MURRUNGUN.

5 QUESTIONS FROM THE PUBLIC

6 CONFIRMATION OF PREVIOUS MINUTES

6.1 CONFIRMATION OF PREVIOUS MINUTES

80/2021 RESOLVED (Donald GARNER/Carolyn EAGLE)

CARRIED

The Audit Committee confirmed the minutes from the meeting held on 18 November 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

81/2021 RESOLVED (Carolyn EAGLE/Donald GARNER)

CARRIED

The Audit Committee:

- a) That Received and noted Action List; and
- b) Approved the removal of completed items.

8 CALL FOR ITEMS OF GENERAL BUSINESS

9 DISCLOSURES OF INTEREST

Independent Member Carolyn EAGLE declared interest that she is on the Audit Committee board for CouncilBIZ.

The Chair of the Committee and other members in attendance thanked Ms Eagle and deemed that there were no matters of direct conflict of interest within the agenda with her role as a member of the CouncilBiz Audit Committee.

10 INCOMING CORRESPONDENCE

11 OUTGOING CORRESPONDENCE

12 GENERAL BUSINESS

12.1 AUDIT MANAGEMENT LETTER UPDATE

82/2021 RESOLVED (Carolyn EAGLE/Donald GARNER)

CARRIED

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

12.2 BUSINESS CONTINUITY PLAN

83/2021 RESOLVED (Donald GARNER/Carolyn EAGLE)

CARRIED

The Audit Committee received and noted the progress of the draft Business Continuity Plan.

12.3 GATED PROJECT PROCESS

84/2021 RESOLVED (Donald GARNER/Carolyn EAGLE)

CARRIED

The Audit Committee supports the use of the Gated Project Process

13 EXECUTIVE REPORTS**14 COMMUNITY SERVICES AND ENGAGEMENT DIVISIONAL REPORT****15 CORPORATE SERVICES AND SUSTAINABILITY DIVISIONAL REPORT****15.1 CORPORATE INFORMATION SYSTEM UPDATE****85/2021 RESOLVED (Carolyn EAGLE/Donald GARNER)****CARRIED**

The Audit Committee received and noted this report pertaining to the Corporate Information System overhaul.

16 INFRASTRUCTURE SERVICES AND PLANNING DIVISIONAL REPORT

The Audit Committee Meeting Confidential Session opened at 10:38 am.

17 CLOSED SESSION**DECISION TO MOVE TO CLOSED SESSION****86/2021 RESOLVED (Donald GARNER/Carolyn EAGLE)****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 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).*

The Audit Committee Meeting resumed at 11:07am.

RESUMPTION OF MEETING**87/2021 RESOLVED (Donald GARNER/Carolyn EAGLE)****CARRIED**

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 11:08am.

This page and the preceding pages are the minutes of the Audit Committee Meeting held on Wednesday, 3 March 2021 and will be confirmed Wednesday, 9 June 2021.

Chairperson Garry LAMBERT
Confirmed on Wednesday, 9 June 2021.

BUSINESS ARISING FROM PREVIOUS MINUTES



ITEM NUMBER	7.1
TITLE	Action List
REFERENCE	1183211
AUTHOR	Cristian COMAN, Manager Corporate Compliance

RECOMMENDATION

That the Audit Committee receives and notes this report pertaining to the Action List

BACKGROUND

The Action List items were removed from the List in accordance with the Committee's decision at its previous meeting on 03 March 2021.

ISSUES/OPTIONS/SWOT

At present there are no outstanding items on the Action List that is currently vacant.

FINANCIAL CONSIDERATIONS

Nil

ATTACHMENTS

There are no attachments for this report.

GENERAL BUSINESS



ITEM NUMBER	12.1
TITLE	2019/2020 Audit Management Letter Update
REFERENCE	1182466
AUTHOR	Dave HERON, Finance Manager

RECOMMENDATION

That the Audit Committee notes the Audit Management Letter Update from the year ended 30 June 2020.

BACKGROUND

The auditor, Deloitte provided an audit management letter itemising 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. At previous committee meetings progress was presented on how management was addressing these issues.

ISSUES/OPTIONS/SWOT

The only outstanding matter from the audit management letter was the establishment of a Grants Register within the Tech 1 system. Several meetings were held with the Grants Coordinator and the Lead Support Consultant with Councilbiz which provided a framework for the register. This would have provided an integrated process from application to contract to income recognition through to acquittal.

The Consultant has now left Councilbiz and the remaining consultants do not have sufficient skills at the moment to assist in the setup of the module. Technology 1 is also unable to assist as it no longer supports the version that RGRC uses.

The result is that the grants register for 2021/22 will again be an excel spreadsheet that does not have the integration with other information within the financial system. This is cumbersome and prone to human error but the finance team and the Grants Coordinator is aware of the issues and will need to take extra care to assist the auditors for the 2020/21 year.

The future Grants Register will depend on the decision of the future of the next enterprise system whether that is with Technology 1 or another provider. This decision is currently in the hands of the board of Councilbiz

FINANCIAL CONSIDERATIONS

Nil

ATTACHMENTS

EXECUTIVE REPORTS



ITEM NUMBER	13.1
TITLE	Roper Gulf Regional Council Strategic Plan 2022 to 2027
REFERENCE	1183209
AUTHOR	Marc GARDNER, Acting Chief Executive Officer

RECOMMENDATION

That the Audit Committee note the report in relation to the development of the Council's Strategic Plan from 2022 to 2027.

BACKGROUND

Council's current strategic plan was compiled following local government elections in 2017 and covers a period from 2018 to 2021. In preparation for a new Council following Local Government Elections in August 2021 as well as the requirement to have a new plan from 2022, the Council is undertaking an extensive project to ensure that the new plan is comprehensive and is based on the needs of Council's constituents, residents, ratepayers and stakeholders.

Attached is the project brief for the Audit Committee members perusal.

This matter has previously been reported to Council and the Council supports the project with a \$100,000 budget to ensure it is developed well.

The focus is on consulting with the existing Council prior to elections in August but also the new Council once it commences in September 2021. The project will also focus on extensive consultation and innovative consultation methodologies will be considered.

The difficulty that Council has experienced with the existing and previous strategic plan is that it has largely been developed internally by staff with limited consultation with local authorities and no other stakeholders or even other staff. The issues with this is that there has been little ownership of the document or strategic congruence and linkages between Council's operations and the goals and strategies outlined in the plan. As a result, there has been limited reporting back to Council about the achievement of the strategic plans in the past and little buy in from staff with reporting on KPIs back to Council.

Hopefully with a new plan that is relevant and been developed from the 'ground up', it will be very relevant and meaningful and be able to be useful for the organisation to follow as it grows.

ISSUES/OPTIONS/SWOT

Timeframes associated with the project are outlined in the brief. The Council has recently received six replies to the expression of interest for quotation, all from Northern Territory based firms. These are currently being assessed and the Chief Executive Officer will appoint a successful firm to undertake the work and report this to the Council.

FINANCIAL CONSIDERATIONS

Not Applicable at this stage.

ATTACHMENTS

[1](#) 210329 Project Brief - Strategic Plan 21-26.pdf



ROPER GULF REGIONAL COUNCIL

RFQ: 004/2021

Request for Quotation

ROPER GULF 2027

Development of a Strategic Plan for Roper Gulf
Regional Council 2022-2027

PART ONE – CONDITIONS OF QUOTATION AND PROJECT BRIEF

April 2021

CLOSING DATE: 31 MAY 2021

1/16

Roper Gulf Regional Council – RFQ 004/2021 – ROPER GULF 2027 – PART 1
CONDITIONS OF QUOTATION AND PROJECT BRIEF

1.0 Introduction and conditions of quotation

Background

Roper Gulf Regional Council is one of the Northern Territory's largest local governments with an annual budget of over \$43m and responsible for delivering a range of services from North of Katherine, across to the Gulf of Carpentaria, down to the Queensland border and back across through Borroloola, Daly Waters and Mataranka. This area alone is over 201,000km² and roughly the size of the state of Victoria.

Council covers service provision for major townships and communities including

- Barunga
- Beswick (Wugularr)
- Bulman
- Eva Valley (Manyalluluk)
- Numbulwar
- Ngukurr
- Borroloola
- Daly Waters
- Larrimah
- Mataranka
- Jilkminggan
- Minyerri (Hodgson Downs)
- Urapunga
- Robinson River

The Council is responsible for providing a range of community infrastructure and services from the provision of local roads to sports centres, libraries, swimming pools, street lighting, employment programmes, aged care, community safety and children's services. The responsibilities around this is quite diverse.

Council is seeking quotations of suitably qualified and experienced companies to undertake a strategic planning process to cover a period from the end of the 2021/22 financial year to 2026/27.

A project brief is attached at the end of this document which outline's Council's requirements and timeframes further.

The successful company will be working closely with the Acting Chief Executive Officer, General Managers and the Executive Manager in the implementation of this project.

The contact details for further information about the request for quotation and the projects are:

Project Contact:

Marc Gardner
Acting Chief Executive Officer
Ph: (08) 8972 9002
Email: marc.gardner@ropergulf.nt.gov.au

Alternate contact details are:

Naomi Hunter
Executive Manager
Ph: (08) 8972 9008
Email: naomi.hunter@ropergulf.nt.gov.au

**Roper Gulf Regional Council – RFQ 004/2021 – ROPER GULF 2027 – PART 1
CONDITIONS OF QUOTATION AND PROJECT BRIEF**

1.1 Selection criteria

Quotation proposals will be evaluated on the following criteria

1. Demonstrated previous experience – include details of works of similar previous projects, experience of working in the Northern Territory (20%);
2. Demonstrated commitment to high quality work e.g. your organisation/staff are accredited, professional memberships and assurances, previous awards for work conducted (10%);
3. Proposed project schedule and methodology of community engagement and marketing of the project considers innovative proposals and considers Indigenous communication (10%);
4. Appropriately qualified staff – please outline portfolios/resumes of staff you propose (5%);
5. Capacity to complete projects within requested timeframes (5%);
6. Commitment to safety (10%);
7. Costs – costs are reasonably competitive and are acceptable within Councils budget constraints (40%).

Companies may provide information on any relevant factors addressing the selection criteria, which may assist the Principal in making an assessment of the quotation.

Assessments will also be based on:

- a. Completeness (basic contractual / commercial compliance);
- b. Conformity with specified requirements;
- c. Comparative evaluation based on achieving best value for money;
- d. Quality of product / service;
- e. Compliance with Sub-contractor / supplier provisions;
- f. Local factors eg. extent of support for Northern Territory business and industry;
- g. Company's technical, financial and managerial capacity;
- h. Company's willingness to engage Aboriginal and/or Torres Strait Islander people when delivering Services;
- i. Company's ability to demonstrate an understanding of the issues affecting Aboriginal and/or Torres Strait Islander people; and
- j. Company's ability to communicate sensitively and effectively with Aboriginal and/or Torres Strait Islander people.
- k. Company's level of supervision and safe work practices.
- l. Company's ability to produce high quality documents.

Principal recognises the benefits in dealing with companies who have quality systems formulated in accordance with relevant Australian Standards. Consequently, companies with accreditation will, subject to other relevant criteria, be considered favourably against companies who have no accreditation or those who do not intend to obtain accreditation.

The opportunity to outline your company's responses to these selection criteria are provided in Part Two - the attached response schedule.

1.2 Project Logistics

It is recognised that due to distances and other commitments that Council and the successful company have, the basis for quotations required will be only for delivery of the project and not include disbursements.

**Roper Gulf Regional Council – RFQ 004/2021 – ROPER GULF 2027 – PART 1
CONDITIONS OF QUOTATION AND PROJECT BRIEF**

Disbursements may include accommodation, airfares, charter flights, meals, title searches, motor vehicles hire and fuel. The Council recognises that these are variable costs that cannot be ascertained easily until the successful company is engaged and an appropriate methodology and project schedule is developed.

Council will provide logistical support and direction to the successful company upon awarding of the quotations.

1.3 Right to accept

Roper Gulf Regional Council reserves the right to accept all or part responses for quotations.

The quotation documents together with the notice in writing of acceptance of the quotation shall constitute the agreement between the Principal and the successful Company.

1.4 Services to be performed

- a. The Services to be provided are described in the Agreement.
- b. Companies may propose "Terms of Engagement" prior to Council formally accepting an offer.
- c. Companies replying to this request for quote MUST complete and return the documentation required including the response schedule and attach supporting documentation.

1.5 Form of Quotation

The Quotation Documents shall be these Conditions of Quotation and project brief, the response schedule and other documents as are issued by the Principal for the purpose of this Request for Quotation.

1.6 Quotation validity

The Quotation and associated documents will be valid for **90 days** from the lodgement of the quotation until appointment of a successful company.

1.7 Ownership of the quotations and quotation information

- a. Quotations lodged by the company will become the property of the Principal and on no account will they be returned to the company.
- b. The Principal reserves the right, in its absolute discretion, to require that at any stage all written information (whether confidential or otherwise) provided to companies (including all copies of the information) be:
 - i. returned to the Principal and companies shall promptly return all such information to the address identified by the Principal; or
 - ii. destroyed by the company in which case the company must promptly destroy all such information and provide the Principal with written certification that it has been destroyed.
- c. Without limiting the nature or effect of any other provisions of this Request For Quotations, the Principal reserves the right to disclose any or all information provided by companies where disclosure is:
 - iii. Required or compelled by any order of a Court;
 - iv. Required or compelled by any law;
 - v. Required or compelled by notice validly issued by any competent authority;

**Roper Gulf Regional Council – RFQ 004/2021 – ROPER GULF 2027 – PART 1
CONDITIONS OF QUOTATION AND PROJECT BRIEF**

- vi. Necessary for the conduct of any legal proceedings;
- vii. Necessary for the provision of advice by the Principal's legal advisers, accountants or other consultants;
- viii. Necessary to inform elected members of the quotation process or to enable Principal to respond to questions from the Northern Territory or Commonwealth Governments in relation to the quotation process; and
- ix. necessary for the evaluation of the quotations.

1.8 Disclosure

The Principal reserves the right and the company hereby licenses the Principal to make available to the Principal, the Principal's representatives and any advisers and others engaged to assist the Principal in this project a copy of any quotation or part of a quotation for the purposes of evaluation, clarification, negotiation and/or contract execution and anything else related to these purposes.

1.8 Amendent of request for quotation

The Principal reserves to itself the right to add to, vary or amend the information, terms, procedures and protocols, or the contract conditions or the technical specifications, set out in this Request for Quotation, in its sole discretion. Companies will have no claim against the Principal or its respective officers, employees or advisers with respect to the exercise of, or failure to exercise, such right.

1.9 Termination of the request for quotation process

The Principal reserves the right in its absolute discretion to suspend, terminate or abandon, in whole or in part, the quotation process at any time prior to the execution of a formal written agreement by the Principal. The Principal shall notify companies to this effect but is not obliged to provide any reasons.

1.10 Other conditions of quotations

Principal reserves the right in its absolute discretion at any stage of the quotation process to do all or any of the following:

- a. Add to, vary or amend the information, terms, procedures and protocols, or the Contract Conditions or any technical specifications;
- b. Suspend, terminate or abandon, in whole or in part, the quotation process at any time prior to the execution of a formal written agreement by the Principal;
- c. Require additional information from any company;
- d. Change the structure and timing of the quotation process;
- e. Terminate further participation in the quotation process by any company (without providing any reasons);
- f. Terminate any negotiations being conducted at any time with any company;
- g. Negotiate with one or more companies and to enter into an agreement (and other transaction documents) without prior notice to any other company;
- h. Change the scope of the Services, or other requirements of the RFQ;
- i. Vary or extend any time limit or period for all companies, at any time and for such period, as the Principal in its sole discretion considers appropriate; and
- j. Permit any person to participate as a company in the RFQ process prior to the final date for submission of quotations.

**Roper Gulf Regional Council – RFQ 004/2021 – ROPER GULF 2027 – PART 1
CONDITIONS OF QUOTATION AND PROJECT BRIEF**

1.11 Acknowledgement by the company

The Company submitting a quotation acknowledges that:

- a. The Principal makes no representations and offers no undertakings in issuing this Request for Quotation;
- b. The Principal is not bound to accept the lowest quotation or required to accept any quotation;
- c. The Principal may consider and may accept non-conforming quotations if accompanied by a conforming quotation or if the non-conformity is merely technical or minor in nature;
- d. The Principal may accept a single quotation to provide all Services under the Agreement or may consider and negotiate with one or more companies to provide separate parts of the Services;
- e. The Principal may require a company to supply further information and/or attend a conference or interview;
- f. A Quotation cannot be withdrawn without the consent of the Principal unless it is withdrawn in writing before the Closing Time by placing the withdrawal in the Tenderlink portal;
- g. The Principal may undertake 'due diligence' checks, including, but not limited to, verifying references and/or referees, and undertaking company searches and credit checks;
- h. The Principal will not be responsible for any costs or expenses incurred by a company arising in any way from the preparation or submission of quotations;
- i. Each company bears the sole risk, cost and expense associated with the preparation of the quotation and participation in this quotation process; and
- j. The Principal accepts no responsibility for a company misunderstanding or failing to respond correctly to this Request for quotation.

1.12 Discrepancies and omissions

Should a company find discrepancies, errors and/or omissions in the Request for Quotation, or should there be any doubt as to their meaning, the Company should at once notify in writing the contact person nominated in the Request for Quotations above.

1.13 Conflict of Interest

Companies and their respective officers, employees, agents and advisers must not place themselves in a position that may, or does, give rise to a conflict of interest (or a potential conflict of interest) between the interests of the Principal (on the one hand) or any other interests (on the other hand) during the quotation process.

1.14 Unlawful Inducements

Companies and their respective officers, employees, agents or advisers must not have violated any applicable laws or policies of the Principal regarding the offering of unlawful inducements in connection with the preparation of their quotation or in the quotation process.

1.15 Canvass of Mayor, Councillors and Staff

Any company canvassing the Mayor, Councillors or staff of Roper Gulf Regional Council with respect to the preparation, lodgement or assessment of the quotations shall have that quotations automatically disqualified and rejected.

**Roper Gulf Regional Council – RFQ 004/2021 – ROPER GULF 2027 – PART 1
CONDITIONS OF QUOTATION AND PROJECT BRIEF**

1.16 Companies to be fully self-informed

The Principal does not represent or warrant that the information in this Request for Quotation, or any information communicated or provided to companies during due diligence or at any other time during the request process is or will be accurate, current or complete. Without limiting the generality of the foregoing:

- a. Companies must, prior to submitting their quotations, inform themselves regarding the nature and extent of the Agreement, the Services to be undertaken and the resources and materials to be recovered, and make all necessary examinations, investigations, inspections and deductions;
- b. No claims arising from a failure to take any such actions will be considered and the Principal does not accept any responsibility if a company fails to make its own enquiries, interpretations, deductions and conclusions when preparing its quotation;
- c. The company should satisfy itself that it has sufficient and complete information to prepare its quotation and no claims will be accepted that information is missing or incomplete once quotations have been submitted;
- d. Companies are required to familiarise themselves with all regulatory requirements relating to the Services and the elements necessary to perform the Services. This includes the extent, if any, of any GST payable for the supply of any goods and services;
- e. Companies must form their own assessment of the amount of the Services, the materials, plant and all other items necessary to perform the true intent of the Agreement, the conditions, difficulties and hazards that may attend the performance of the Services and the resources and materials to be recovered. Companies are responsible for obtaining all further information that is obtainable by making reasonable inquiries and that is relevant to the risks, contingencies and other circumstances having an effect on their quotation submission, including environmental and/or contamination matters;
- f. The Principal will accept no responsibility for a company's failure to make its own enquiries, interpretations and conclusions from information contained within the quotation documents or otherwise.

1.17 Public access to quotation information

As Roper Gulf Regional Council is a Local Government, Companies should note that any information submitted within quotation may be made public, unless it is clearly marked commercial in confidence.

1.18 Company/bankruptcy searches

The following applies with the submission of quotations:

- a. The company must provide to the Principal, a Company Search, at the time the quotation is lodged.
- b. The company must also provide to the Principal, at the time the quotation is lodged, a Bankruptcy Clearance Search for each Director of the Company and may, as a condition of their selection as finalists, be required to undergo such security clearance checks and procedures as the Principal in its sole discretion may determine are necessary.
- c. To obtain these searches contact:
 - Australian Business Research – phone: 07 38371333 or 1300 366 402
 - Website address: www.abr.com.au

Roper Gulf Regional Council – RFQ 004/2021 – ROPER GULF 2027 – PART 1
CONDITIONS OF QUOTATION AND PROJECT BRIEF

1.18 Lodgement of Quotations

Quotations must be lodged through the Localbuy Portal or directly with the Chief Executive Officer and sent to by the closing date and time:

Marc Gardner
Acting Chief Executive Officer
PO Box 1815
KATHERINE NT 0850

Or via email: ceo@ropergulf.nt.gov.au

**Closing Date: MONDAY 31 MAY 2021 AT 2:00PM
(1400HRS CENTRAL STANDARD TIME)**

1.19 Extension of Time

The Principal, at its absolute discretion, may extend the Quotation Closing Time for the submission of quotations.

1.20 Information provided by the principal

Information provided in this Request for Quotation or imparted to any company as part of the quoting process is confidential and must not be used by the company for any other purpose, or distributed to, or shared with any other person or organisation.

1.21 Interpretation of Terms

In these Conditions of Quotation:

'Addenda' means addenda to this Request for Quotation issued by the Principal from time to time. Addenda may be issued to amend, alter, clarify, add to or remove from the form and contents of the Request for Quotation or to effect modifications to the Request for Quotation.

'Company' means a person or corporation who lodges a quotation in accordance with this Request for Quotation and prior to the closing date means any person or corporation who applies to the Principal for and is given a copy of this Request for Quotation.

'Person' means a natural person, or a corporation, partnership, joint venture, incorporated association, government, local government authority or agency.

'Quotation' includes any response to the Request for Quotation signed by the company comprising the quotation response schedules comprised in the Quotation Documents and all required documentation and information.

'Request for Quotation (RFQ)' means all the documents issued by the Principal which comprise the Quotation Documents.

'Services' means the Services described in the Agreement.

'the Principal' means the Roper Gulf Regional Council the address of the Principal for the service of notices is Chief Executive Officer, PO Box 1321 Katherine, Northern Territory, 0851.

'the Superintendent' means the administrator of the Contract on behalf of the Principal.

Roper Gulf Regional Council – RFQ 004/2021 – ROPER GULF 2027 – PART 1
CONDITIONS OF QUOTATION AND PROJECT BRIEF

2.0 Project Brief

Background

At the very basis of Roper Gulf Regional Council’s direction is a Strategic Plan that outlines the Vision, Mission, goals and strategies of the organisation. The primary role of the Council, amongst other things is “to act as a representative, informed and responsible decision maker in the interests of its constituency; and to represent the interest of its area to the wider community” (Local Government Act s11). The way the Council plans to undertake these responsibilities is expressed through a Strategic Plan.

The Strategic Plan is extremely important to the Council as it sets the framework for decision making and direction of the Council and will impact annual regional plans and subordinate plans of the Council as outlined below. Without a Strategic Plan it becomes unclear exactly what the Council is planning for the future in order to achieve its purpose and ultimate vision, as per the requirements of the Local Government Act.

A strategic plan is also the starting point for the Council’s Chief Executive Officer to design the organisation and engage the correct resources to deliver on the Council’s intent. The Strategic Plan is important to ensure that day to day decisions are in line with the spirit of long term goals. From the Strategic Plan (Vision, Mission, Goals and Objectives over 4 years) comes the Regional Plan (Targeted Outcomes and Outputs for the next 12 months), Divisional Plans (Programs, Projects and Business Units Resource plans), Activity Operational Plans (for each business activity), Organisational Charts, Annual Budgets, Position Descriptions, as per diagram below:



The current Council’s Strategic Plan was formulated in 2017 following the election of Councillors, it outlines the four years strategic direction from 2018 to 2021. The Council will again have general elections in August 2021 where there is a requirement for the Council to develop a new strategic plan from 2021/22 to 2025/26, a period covering 5 years.

Council’s management proposes that a specific project is developed with clear milestones and timeframes to ensure that it is achieved for the new Council within a

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reasonable period of their commencement. It is also important that the both the current Council and a new Council have an opportunity to have input into the development of the plan. The current Council has a wealth of knowledge of current community needs and issues, and the new Council will potentially contain new members with new ideas and future community priorities.

As part of the process to establish a new Strategic Plan for Council, community consultation is also a critical component. The Strategic Plan project must involve a 'bottom up' approach and include extensive community engagement particularly with residents, Local Authorities, businesses and other stakeholders.

The amount of work that is required to undertake this process has been identified to be beyond the workloads of current employees. It is therefore recommended that a community engagement consultant/company with skills and experience in running similar projects is engaged.

The aims of the project will include:

- Develop a strategic plan for the Council for the years 2021/22 to 2025/27 (five year term);
- Engage with residents, community stakeholders, industries and businesses in the development of the plan;
- Community engagement (marketing) of the entire process.

The Roper Gulf Regional Council (current Councillors) have endorsed this approach, allowing the commencement of the process now to encapsulate as much community engagement and support from the constituents as possible. It will also maintain high levels of corporate governance and compliance with ensuring that a Strategic Plan is current and also relevant to Council's constituents.

The reason the Council is seeking to outsource the development of the strategic plan is that the project will be enhanced if it is managed by an external expert consultant/company. It will also give the newly elected council members confidence that an element of independence has been applied to the process and that data and its analysis has been gathered by outside of the current management and accurately represents community needs and aspirations without bias.

Project Locations

It is expected that the project will involve conducting community consultation sessions and visits to all major communities and townships in the Council area and involve a range of consultation methods from hosting community meetings, stakeholder consultation and possibly even direct consultation with community leaders and elders at times. As a minimum, consultation will need to occur in the following communities:

- | | |
|----------------------------|----------------------------|
| • Barunga | • Mataranka |
| • Beswick | • Jilkminggan |
| • Bulman/Weemol | • Daly Waters |
| • Borroloola | • Larrimah |
| • Manyalluluk (Eva Valley) | • Urapunga |
| • Numbulwar | • Minyerri (Hodgson Downs) |
| • Ngukurr | • Robinson River |

Aims/Outcomes

- To develop a comprehensive strategic plan for the Council, based on extensive community consultation, community/population analysis etc, to cover the

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period from the end of the 2021/2022 financial year to the end of the 2026/2027 financial year;

- Undertake a range of stakeholder engagement activities and marketing of the project in each of the above communities/locations;
- Produce a high quality, professional looking, well presented strategic plan including revised vision and mission statements, values statement, swot and or pestle analysis, goals, outcomes, strategies, actions and suggested key performance indicators.
- Provide the strategic plan in a high quality electronic version to enable placement on websites, electronic records management system and the ability to reprint if needed.

Preferred timeframe

Start Date: 15 June 2021
Completion Date: 31 January 2021

Special Considerations

- Travel timeframes between each community
- Liaison with Elected members, Local Authorities and Council Managers
- Seasonal access and travel hazards
- Land Council Permits (where required)

Proposed Methodology

Proposed strategic plan project timeframe/methodology:

Milestone	Date
Appointment	By 15 June 2021
Undertake project planning and analysis of internal and external Council environment	30 June 2021
Undertake community consultations and workshops with current Council members	By 31 July 2021
Workshops with new Council members and additional community consultation	By 29 October 2021
Draft strategic plan and final consultation	By 30 November 2021
Final strategic plan (soft copy)	By 13 December 2021
Final strategic plan (hard copies x 200)	By 31 January 2021

**CORPORATE SERVICES AND SUSTAINABILITY
DIVISIONAL REPORT**



ITEM NUMBER	15.1
TITLE	Policy and Corporate Document Development for Compliance with the Local Government Act 2019
REFERENCE	1182468
AUTHOR	Cristian COMAN, Manager Corporate Compliance

RECOMMENDATION

That the Audit Committee receives and notes this report outlining Council's policy and corporate document development to ensure compliance with the *Local Government Act 2019* and prescribed requirements.

BACKGROUND

The *Local Government Act 2019* gained Assent in December 2019, and was due for introduction on 01 July 2020, to replace the current *Local Government Act 2008* as the governing Act for Local Government in the Northern Territory.

The *Local Government Act 2019* (the Act)'s introduction was delayed by 12 months due to the COVID-19 pandemic event. The Act is scheduled to come into force on 01 July 2021.

Despite gaining Assent in December 2019, and having its introduction delayed to 01 July 2021, the Act as of 01 June 2021, does not have any accompanying statutory instruments.

The-then Department of Local Government, Housing and Community Development (the Department) engaged in stakeholder consultation by providing Council with draft statutory instruments for review in March-April 2020, and again in November 2020 – January 2021.

Council has compiled detailed submissions on both occasions, however due to an administrative error, only the second consultation response was forwarded onto the Department for consideration.

Council commenced a major policy review in August 2020 with the goal of reviewing and updating its policies to ensure that they meet its strategic requirements and whilst being reflective of, and compliant with applicable law.

As part of this review, Council adopted a revised Policy Framework that made specific provisions for Organisational and Divisional directives as authoritative corporate documents so as to enable its policies to remain strategic rather than operational documents.

Since the commencement of the review, 52 obsolete policies have been rescinded, 12 policies have been amalgamated into five (5) new policies that are reflective of strategic requirements and applicable law.

This review is ongoing.

ISSUES/OPTIONS/SWOT

The new Act does have specific policy requirements, however it should be noted that most legislative requirements arising from legislation are prescribed in statutory instruments rather than acts themselves.

This applies to the new Act, however as of the start of June 2021, these statutory instruments have not yet been finalised. This has posed significant problems to Council's policy development and corporate planning.

The Department has informed Council that statutory instruments for the new Act are due to be introduced sometime in June 2021, and as this would leave less than one (1) month's transition period, the Department has extended the transition period to 12 months after the instruments' introduction.

Council's policies comply with most of the new Act's requirements, however progress is limited by the lack of statutory instruments.

Several administrative revisions have been made to Council's:

- (1) Corporate Processes Policy;
- (2) Caretaker Policy; and
- (3) Shared Services Policy;

And a substantial revision has been made to Council's Casual Vacancy Policy. This will be tabled before Council at its June Ordinary Meeting.

Policy review is ongoing and an attached summary is provided to the Audit Committee as a reference point.

The attached policy list was provided to Council in September 2020 as an overview of the proposed policy review, and grouped policies by concepts with a view to amalgamation and the separation of strategic and operational.

Operational matters are to be managed by way of directives rather than policies, as prescribed at the first addendum of the COR001 Policy Framework (attached).

As of 02 June 2021, the Manager Corporate Compliance's focus is on reviewing the policy provisions pertaining to Elected Members, including meeting, attendance, and logistics arrangements.

As stated above, in lieu of authoritative statutory instruments this has proven to be a challenging undertaking.

The Manager Corporate Compliance expects all policy requirements pertaining the new Act's provisions to be completed by no later than the July 2021 Ordinary Meeting of Council.

FINANCIAL CONSIDERATIONS

Yet to be ascertained.

ATTACHMENTS

- 1  Policy Amalgamation V2.docx
- 2  COR001 Policy Framework.pdf

Council's current policies can be amalgamated into fifteen policies as follows to cover a range of matters. These policies will be strategic in nature, and state Council's formal position on the subjects and principles as listed below.

- (1) Employee Code of Conduct** **Adopted 24/02/21**
- Code of Conduct;
 - Bullying and Harassment;
 - Confidentiality;
 - Public Interest;
 - Conflict of Interest;
 - Secondary Employment;
 - Standards.
- (2) Employee Probity and Integrity** **Needs Development**
- Working with Children;
 - Criminal History Check;
 - Criminal Offences;
 - Visa.
- (3) Employee Performance and Process** **Needs Development**
- Probation;
 - Performance Management;
 - Promotion;
 - Disciplinary;
 - Training and Development;
 - Redundancy.
- (4) Employee Recruitment and Selection** **Needs Development**
- Recruitment;
 - Relocation;
 - Special Measures (inc. Aboriginality).
- (5) Employee Execution of Duties** **Needs Development**
- Leave;
 - Allowances;
 - Higher Duties;
 - Travel.
- (6) Chief Executive Officer** **Partially complete,**
- Recruitment;
 - Appointment (including Acting);
 - Leave;
 - Allowances;
- (7) Corporate Practices:** **Adopted 28/10/20**
- Communications;
 - Corporate Image;
 - Media;
 - Shared Services;
 - Legislative Compliance;

(8) Corporate Administration

- Records Management;
- Contracts and Agreements;
- Procurement;
- Assets;
- Vehicles;
- Commercial Commitments;

(9) Corporate Processes: Adopted 28/10/20

- Complaints;
- Administrative Review;
- Regulatory Compliance.

(10) Financial Processes (Finance and Policy Manual): Needs Development

- Transactions;
- Cards;
- Investment;
- Borrowing;
- Reserves;
- Concessions;
- Debt Collection;
- Purchasing;

(11) Financial Administrative: Needs update for LGA19

- Fraud Protection;
- Audit;

(12) Member Code of Conduct Partially Adopted 28/04/21

- Code of Conduct for Elected and Appointed Members;
- Expectations;
- Appointment;
- Rescindment;

(13) Member Processes Needs update for LGA19

- Function and Role;
- Meetings – attendance, process, function;
- Agenda and Minutes;
- Caretaker;

(14) Member Administrative Needs update for LGA19

- Allowances;
- Travel and Accommodation;
- Interests;
- Gifts;
- Asset allocation (e.g. mobile telephone);

(15) Work Health and Safety Execution of Duties

- Fatigue;
- Personal Protective Equipment;
- Alcohol and other Drugs ;
- Emergency Evacuation;

- Firearms and tranquilisers;

N.B. this is a prima facie assessment rather than an exhaustive list.

The policy statements themselves ought to be strategic in nature, with the particular implementation of listed concepts to be handled as separate corporate documents including procedures and manuals.

- **Adopted – to standard required by LGA19;**
- **Needs to be amended to accommodate LGA19;**
- **Needs to be developed.**

Priority Summary:

- (1) **Members' Administrative ss 54, 95, 98, 109, 112, 161;**
- (2) **Financial Processes – especially Rating, Concessions, Investment (update for LGA19;**
- (3) **Staff Allowances – s174**

Roper Gulf Regional Council Policy Framework



1. POLICY CERTIFICATION

Policy title:	Policy Framework
Policy number:	COR001
Category:	Council Policy
Classification:	GOVERNANCE
Status:	Approved

2. PURPOSE

This Policy Framework outlines the development, classification, and categorisation of all policy and related corporate documents for Roper Gulf Regional Council. It sets levels of policy and related corporate documents, and associated authority and responsibility for each level.

This document is the authoritative framework setting consistency, control, clarity, and quality in the development, approval and review processes associated with policy, and prevails over all other corporate documents of Council to the extent of the conflict or inconsistency.

3. ORGANISATIONAL SCOPE

The Policy Framework applies to the Policy and associated corporate document development and adoption process. It prevails over all other Policy and corporate documents of Council.

4. POLICY STATEMENT

Policy statements (policies) are Council's formal position on a particular subject matter, and are strategic in nature rather than operational. As such, Policy is made (adopted) by Council.

Organisational Directives carry the same weight of policy, however they are standing instructions to the Organisation and made by the Chief Executive Officer. They are more prescriptive and operational in nature than policies.

Council policy prevails over all directives and corporate documents on event of inconsistency, to the extent of the inconsistency.

Divisional Directives are a smaller, divisional versions of their Organisational counterparts, and are made by General Managers for application to their own divisions.

In the Roper Gulf Regional Council Policy Framework, there are two (2) types of corporate document with the weight and authority of policy:

- Council Policies; and
- Organisational Directives

Policies and Directives have subordinate corporate documentation, which support their implementation and compliance.

The Policy Framework aims to support the development of policy statements which:

- Comply with, and are reflective applicable law;
- Are capable of withstanding close judicial and ministerial scrutiny;
- Is well written, clear, concise and fit for purpose manner;
- Has clearly defined objectives, legislative requirements, and compliance mechanisms;
- Has a standardised layout;
- Conforms to applicable standards and guidelines;

Roper Gulf Regional Council
Policy Framework



5. DEFINITIONS

Approval levels	A policy document will be endorsed and approved by different people within the organisation. See the diagram at the end of this document for clarification of who has authority to endorse and approve different types of policy documents.
Categorisation	Selection of the appropriate category of policy, according to its level, content and purpose. The category allocated by the Policy Coordination Officer will be either Council Policy, Organisational Directive or Supporting Document.
CEO	Chief Executive Officer
Classification	Allocation of the appropriate classification of the policy, according to the content and limitations of the policy: (1) Office of the Chief Executive Officer (OCEO); (2) Corporate (COR); (3) Services (SERV); (4) Infrastructure (INF).
Consultation	Consultation is the compulsory process of meeting with identified, relevant stakeholders to seek information, advice and feedback. It must take place prior to, and during development of any policy document and supporting documents.
Council Policy	A formal statement of Council outlining strategic directions and/or adherence to statutory or other corporate requirements.
Corporate Document	Official and authoritative documents of Council which prescribe strategic goals and their execution, being of an operational, implementation or compliance nature. Examples include Standard Operating Procedures, Manuals, Method Statements, Templates and Pro Formae.
Endorsement	Formal support for the applicable corporate document from relevant stakeholders. Endorsement should be seen as an essential step on the way to formal approval.
Formal approval	The authoritative process by way of which corporate documents attain official status.
Organisational Directive	A specific, Organisation-wide instruction made by the Chief Executive Officer, which carries the authoritative weight of Policy but is Operational rather than Strategic in nature. It is an executive counterpart to Policy.
Policy Coordination Officer	The Policy Coordination Officer is a staff member appointed by the Chief Executive Officer to ensure Policy and Corporate Documents are compliant with applicable authorisation and review requirements.
Policy Development and Review Cycle	The stages of the policy development cycle are: <ul style="list-style-type: none"> • Identification of a policy need; • Development of the draft policy document and supporting documents; • Consideration and endorsement; • Consideration and approval; • Implementation; and • Ongoing monitoring and review of the policy.
Policy Drafter	The author of the draft policy document.
Policy Owner	The staff member responsible for the implementation and integrity of the applicable policy.
SLT	Strategic Leadership Team
Standard Operating Procedures(SOP)	A specific, prescriptive document which outlines the execution of a specific task and/or implementation of a prescribed goal.
WHS	Work, Health and Safety

Roper Gulf Regional Council Policy Framework



6. PRINCIPLES

6.1 Compliance

Policies must comply with, and be reflective of all applicable law including Acts, their statutory instruments, and case law.

6.2 Consistency

Terminology used in the policy should reflect used in any applicable legislation, standard, guideline, or Council's Strategic and Regional Plans.

6.3 Clarity

There are two (2) aspects of clarity are important in the development of policy documents and supporting documents. They are: purpose and scope.

- Policy needs to have a specific purpose and goal;
- Policy needs to have a specific, outlined scope.

6.3.1 Clarity of approval: All policy and corporate documents are to clearly state the date of authorisation, the authoriser, the date(s) of any amendment(s), and the date policy is due for review.

6.3.2 Clarity of writing: All policy and corporate documents are to be written in a clear and concise manner, capable of withstanding close judicial and ministerial scrutiny. Applicable law is to be cited concisely in the policy statement, and in full in the reference section of the policy document.

6.4 Stages of Policy Development

The five (5) stages of policy document development are:

6.4.1 Identification of policy need: The policy must have a specific purpose. It is based on an identified and scoped strategic need rather than an idle wondering into whether or not a proposition is required.

6.4.2 Draft of policy document development: This stage includes scoping and mapping applicable law, relevant stakeholders, commencing the consultation process, gathering background information, writing the policy document and supporting documents and incorporating feedback into later drafts.

The draft policy must identify applicable law and address any arising compliance requirements.

Draft policies which lack legal referencing and citation may not pass beyond this stage.

The Draft documents must go to the Policy Coordination Officer for final checks against template, formatting and compliance requirements before progressing to the next phase.

6.4.3 Policy consideration and endorsement: This stage involves presenting the policy document to the appropriate endorser as per the diagram at the end of this document for evaluation and endorsement:

- Council Policies - Strategic Leadership Team (SLT),
- Organisational Directive - Strategic Leadership Team (SLT),
- Supporting documents such as SOPs - Consideration by Manager, and endorsed by General Manager.

Consultation and endorsement are a desirable part of the policy and the corporate document development process, and must be undertaken save in exigent circumstances.

Roper Gulf Regional Council Policy Framework



Organisational Directives are made by the Chief Executive Officer and do not require SLT agreement for authorisation.

Council adopts policies, and as such, it may adopt policies which are not endorsed by SLT, however it must provide compelling reasons for doing so, as part of the adoption resolution.

6.4.4 Policy authorisation (adoption): This stage involves presenting the policy document to the Council or CEO for formal approval.

Policies are Council's formal position on a particular subject matter and strategic in nature. As such Policies require the approval of Council by way of specific adoption via formal resolution. This is also applicable to substantive amendments to existing policies which do not fall within the realm of minor administrative change.

All new policies and reviewed/updated policies with significant changes must be presented to the Council for approval.

A report must be written to introduce the policy document and must be included in the Council meeting agenda, which outlines the reasons for introducing the policy, and outlines applicable law.

Council must not adopt a policy which lacks legal referencing or citation.

Organisational Directives are authoritative documents and carry the weight of Council policy, however they are operational rather than strategic in nature and as such they are made by the Chief Executive Officer.

Subordinate and supporting documentation such as Procedures, Divisional Directives, Method Statements etc. are made by General Managers and Managers as outlined in the Corporate Documents Instructional Hierarchy.

6.4.5 Policy implementation: Once Council adopts a new or amended policy, it will be formally registered by the Office of the Chief Executive Officer, recorded in the Corporate Information System, and promulgated by way of being made publicly available on Council's website, and a formal email with explanatory notes being sent out to Council, all staff, and applicable stakeholders.

6.4.6 Policy review: The default validity period for policies is for the Term of Council, however they may be reviewed earlier if necessary for whatever reason including legislative, organisational, or operational changes.

The Policy Owner is responsible for the ongoing monitoring, review and updating of policy.

A reviewed policy document which requires administrative, formatting or other insignificant changes which are not substantive may be amended as required with Chief Executive Officer authorisation.

6.5 Classification

When formulating corporate documents at policy level, the appropriate classification needs to be ascertained.

Classifications are used to group similar policy documents and to broadly describe the content. Classifications are subject to review.

There are four (4) classifications of Council policy documents:

- (1) Office of the Chief Executive Officer (OCEO);
- (2) Corporate (COR);

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- (3) Services (SERV);
- (4) Infrastructure (INF).

Classifications are to be discussed with the Policy Coordination Officer and must be ascertained as part of the initial scoping process.

Supporting documents will use the same grouping classifications as policy documents.

6.6 Policy Owner

A Policy Owner will be designated for each policy document and supporting document. The Policy Owner will bear responsibility for regular monitoring and review of the policy and for incorporating necessary changes.

The Policy Owner is also responsible to assess the revised policy document and decide whether any significant changes have been made. If it is, formal endorsement and approval needs to be gained again.

The Policy Owner is also responsible to coordinate a process to notify the necessary staff and stakeholders after a policy document has been revised.

All reviews of the documents must go to the Policy Coordination Officer for final review against compliance requirements.

6.7 Policy access

Council Policies are public documents and as such are published on Council's website.

Council's Policies are stored and managed within the Corporate Information System in a manner ensures integrity and authenticity.

All Directives and subsequent corporate documents are managed in the Corporate Information System and promulgated as required by operational considerations.

6.8 Relationship/impact on other policies

The Policy development process must identify and assess any potential overlap with current policies, and in the event of inconsistency, a clear hierarchy relationship must be developed.

6.9 Policy currency

The current version of any policy document will be considered to be the electronic version which is publicly available on Council's website.

6.10 Policy numbering

Policy document numbering will reflect the category and classification of the policy. The Policy Coordination Officer will allocate numbers during the checks done prior to presentation for formal approval.

6.11 Policy review

Policies are reviewed at least once during a Term of Council, and may be done so as necessity arises.

6.12 Rescindment of Policies

Policies may be rescinded if no longer current, or if they become unnecessary. The rescindment process is the same as the adoption process, and must be put to Council with an explanatory report stating the reason for rescindment.

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The actual rescindment of a policy must be done by way of a formal Council resolution. Organisational Directives may be rescinded by the Chief Executive Officer as required.

7. POLICY CONTENT

The content of the body of the *Council Policy*, or the *Organisational Directive*, will be organised under the following headings:

1. Policy/Directive Title;
2. Purpose;
3. Scope;
4. Policy/Directive Statement;
5. Definitions;
6. Principles;
7. Applicable Law; (including Case Law);
8. Document Control.

8. APPLICABLE LAW

Acknowledgements (original author/source documents)	
Related Policies	All RGRC policies
Related Publications	<ul style="list-style-type: none"> • <i>Interpretation Act 1978</i> • <i>Local Government Act 2008</i> • <i>Information Act 2002</i>

9. DOCUMENT CONTROL

Policy number	COR001
Policy Owner	General Manager Corporate Services and Sustainability
Endorsed by	Council
Date approved	21 October 2009
Revisions	October 2010 May 2017 July 2017 August 2017 July 2020
Amendments	May 2017 July 2017 August 2017 July 2020
Next revision due	August 2021

Roper Gulf Regional Council
Policy Framework



Corporate Documents Instructional Hierarchy

<p>Level 1</p>	<p>Policy – Council</p> <ul style="list-style-type: none"> • Overarching, Organisation-wide principles; • Based on applicable law; • Strategic. <p>Manuals – Council</p> <ul style="list-style-type: none"> • Organisation-wide application; • Collation of principles and instructions • Based on applicable law. 	<p>Organisational Directive – CEO</p> <ul style="list-style-type: none"> • Standing Orders for the Organisation; • Strategic in nature; • Sets parameters / boundaries
<p>Level 2</p>	<p>Procedures – GM</p> <ul style="list-style-type: none"> • Operational; • Goal / task – based and specific; • Implementation instructions; • Sets parameters and boundaries for specific tasking; <p>Division / Unit Plans (GM / Manager)</p> <ul style="list-style-type: none"> • Objectives; • Operational; • Parameters; <p>Contracts - GM</p> <ul style="list-style-type: none"> • Specific; • Goals and deliverables; • Taskings and responsibilities 	<p>Divisional / Managerial / Unit Directive – GM (Division), Manager (unit)</p> <ul style="list-style-type: none"> • Standing Orders for Division / Business Unit; • Can be strategic or operational; • Procedural
<p>Level 3</p>	<p>Method Statements – GM / Manager</p> <ul style="list-style-type: none"> • Task-specific implementation guides • Operational <p>Pro Formae</p> <ul style="list-style-type: none"> • Operational; • Pre-determined parameters in accordance with L1 or L2 requirements; <p>Templates</p> <ul style="list-style-type: none"> • Operational; 	<p>Specific Directives – GM / Manager</p> <ul style="list-style-type: none"> • Specific Orders / Taskings for Unit or Individual; • Task based

**Roper Gulf Regional Council
Policy Framework**



	<ul style="list-style-type: none">• Pre-determined parameters in accordance with L1 or L2 requirements;	
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Roper Gulf Regional Council Policy Framework

Policy Development and Review Cycle

