

Richmond
Valley
Council



ATTACHMENTS

Tuesday, 19 March 2024

UNDER SEPARATE COVER

Ordinary Council Meeting

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Richmond
Valley
Council



MINUTES

Ordinary Council Meeting 20 February 2024

ORDINARY COUNCIL MEETING MINUTES

20 FEBRUARY 2024

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20 FEBRUARY 2024

**MINUTES OF RICHMOND VALLEY COUNCIL
ORDINARY COUNCIL MEETING
HELD AT THE COUNCIL CHAMBERS, 10 GRAHAM PLACE, CASINO
ON TUESDAY, 20 FEBRUARY 2024 AT 6PM**

Please note: these minutes are subject to confirmation at the next Council Meeting. Decisions recorded in the draft minutes are subject to the Council's Code of Meeting Practice in relation to rescinding decisions.

PRESENT: Cr Robert Mustow (Mayor), Cr Sam Cornish, Cr Robert Hayes, Cr Sandra Humphrys, Cr Patrick Deegan, Cr Debra McGillan

IN ATTENDANCE: Vaughan Macdonald (General Manager), Angela Jones (Director Community Service Delivery), Ryan Gaiter (Director Organisational Services), Ben Zeller (Director Projects & Business Development), Jenna Hazelwood (Chief of Staff), Hayley Martin (Principal Accountant), Julie Clark (Personal Assistant to the General Manager and Mayor), Simon Breeze (IT Support Coordinator)

1 ACKNOWLEDGEMENT OF COUNTRY

The Mayor provided an Acknowledgement of Country by reading the following statement on behalf of Council:

"Richmond Valley Council recognises the people of the Bundjalung Nations as Custodians and Traditional Owners of this land and we value and appreciate the continuing cultural connection to lands, their living culture and their unique role in the life of this region in the past, present and future."

2 PRAYER

The meeting opened with a prayer by the General Manager.

3 PUBLIC ACCESS

Nil

4 APOLOGIES

RESOLUTION 200224/1

Moved: Cr Robert Hayes
Seconded: Cr Debra McGillan

That the apology received from Cr Stephen Morrissey be accepted and leave of absence granted.

CARRIED

5 MAYORAL MINUTES

Nil

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6 CONFIRMATION OF MINUTES**6.1 MINUTES ORDINARY MEETING HELD 19 DECEMBER 2023****RESOLUTION 200224/2**

Moved: Cr Sandra Humphrys

Seconded: Cr Debra McGillan

That Council confirms the Minutes of the Ordinary Meeting held on 19 December 2023.

CARRIED

7 MATTERS ARISING OUT OF THE MINUTES

Cr Robert Hayes referred to Item 19.6 Correspondence – Minister for Planning and Public Spaces, Impacts of the Resilient Homes Program on Woodburn and enquired if Council have made contact with Ms Janelle Saffin MP (Parliamentary Secretary for Disaster Recovery), advocating for Mid Richmond residents in relation to the resilient homes program.

The General Manager advised that many forums and discussions have been held, and continue to occur, with Ms Saffin as Parliamentary Secretary for Disaster Recovery.

A meeting organised by Ms Saffin's office was held today in Ballina, with the Minister for Local Government, the Hon. Ron Hoenig MP, Mayors and General Managers from Northern Rivers councils attending.

Ms Saffin also hosts a regular online community leaders' meeting, which is attended by Council.

NSW Reconstruction Authority staff have offered to meet on 29 February with Richmond Valley Executive staff and Councillors, where community concerns will be raised.

Resilient Homes Program representatives will also be attending the upcoming Community Advisory group meetings scheduled for Coraki, Woodburn and Broadwater.

8 DECLARATION OF INTERESTS

Nil

9 PETITIONS

Nil

10 NOTICE OF MOTION

Nil

11 MAYOR'S REPORT**11.1 MAYORAL ATTENDANCE REPORT 13 DECEMBER 2023 - 12 FEBRUARY 2024****RESOLUTION 200224/3**

Moved: Cr Robert Mustow
Seconded: Cr Sandra Humphrys

That Council receives and notes the Mayoral Attendance Report for the period 13 December 2023 – 12 February 2024.

CARRIED**12 DELEGATES' REPORTS****12.1 DELEGATES' REPORT FEBRUARY 2024 - ROUS COUNTY COUNCIL****RESOLUTION 200224/4**

Moved: Cr Sandra Humphrys
Seconded: Cr Robert Mustow

That Council receives and notes the Delegates' Report – Rous County Council for February 2024.

CARRIED**13 MATTERS DETERMINED WITHOUT DEBATE****13.1 MATTERS TO BE DETERMINED WITHOUT DEBATE****RESOLUTION 200224/5**

Moved: Cr Sandra Humphrys
Seconded: Cr Sam Cornish

That items 15.3, 16.3, 17.2, 17.3 identified be determined without debate.

CARRIED

14 GENERAL MANAGER**14.1 SUPPORTING THE NEXT STAGE OF GROWTH FOR RICHMOND VALLEY****EXECUTIVE SUMMARY**

Council's Community Strategic Plan sets a clear direction to establish the Richmond Valley as an emerging growth centre in the Northern Rivers. With the release of the Richmond Valley Regional Jobs Precinct Masterplan for public exhibition, we have taken another major step towards achieving this goal. The RJP Masterplan is a key component of Council's economic strategy for the Richmond Valley, centring housing growth and industry on flood-safe lands in Casino while continuing to support diverse agricultural industries throughout the Valley and increasing service and tourism opportunities in the Mid Richmond communities. The next step in the RJP activation process is to deliver the critical community infrastructure required to consolidate long-term growth. Council has been progressing well with this direction and is now ready to begin the next phase of pre-construction investment.

RESOLUTION 200224/6

Moved: Cr Robert Mustow

Seconded: Cr Robert Hayes

That Council

1. Notes the NSW Government has commenced the public exhibition of the draft Richmond Valley Regional Jobs Precinct Masterplan;
2. Acknowledges the support of the NSW Government in progressing the Regional Jobs Precinct initiative;
3. Continues to work in partnership with all levels of government to secure additional funding for planning and construction of critical infrastructure to support the Richmond Valley's growth.

CARRIED

14.2 DELIVERY PROGRAM PROGRESS REPORT JULY - DECEMBER 2023**EXECUTIVE SUMMARY**

Richmond Valley Council has completed the first six months of its 2023-25 Delivery Program and has made significant progress across the four Key Directions and 80 Principal Activities of the plan. Highlights have included successful advocacy for more than \$57m in community grants, continued flood recovery works and completion of major community projects, such as the Casino Memorial Pool upgrade. Work is also nearing completion on the Casino-Bentley section of the Northern Rivers Rail Trail and the Casino Showground upgrade. This report outlines progress in delivering the program for the July-December 2023 reporting period.

RESOLUTION 200224/7

Moved: Cr Robert Mustow

Seconded: Cr Robert Hayes

That Council:

1. Receives and notes the July-December 2023 progress report on the 2023-25 Delivery

ORDINARY COUNCIL MEETING MINUTES

20 FEBRUARY 2024

- Program and Rebuilding the Richmond Valley Recovery Plan.
2. Notes the significant progress across the Program's four Key Directions and Council's successful advocacy to secure community funding during this period.
 3. Continues to advocate strongly for government assistance to support the Richmond Valley's ongoing flood recovery.

CARRIED**14.3 NORTHERN RIVERS LIVESTOCK EXCHANGE LEASE****EXECUTIVE SUMMARY**

Richmond Valley Council resolved at its December 2023 meeting to progress with leasing arrangements for the Northern Rivers Livestock Exchange (NRLX) and to receive a further report at its February meeting. Following a thorough independent evaluation of leasing proposals for the (NRLX) by renowned agribusiness leader JLL, Council announced on 22 December 2023 that Outcross Agri-Services Pty Ltd secured the facility's management rights for the next five years, with an option in its favour for an additional five years. The new lessees have commenced operations at the facility, with the first sale being held on 2 February 2024.

RESOLUTION 200224/8

Moved: Cr Robert Hayes

Seconded: Cr Sam Cornish

That Council:

1. Notes that the lease for the management and operation of the Northern Rivers Livestock Exchange (NRLX) has been finalised with Outcross Agri-Services Pty Ltd for the next five years, with an option in its favour for an additional five years in line with previous resolutions.
2. Notes that the lease commenced on 1 February 2024 with cattle sales resuming at the facility on 2 February 2024.
3. Continues to work with the new lessee of the facility to ensure that its vision to establish the NRLX as the leading cattle saleyards in northern NSW continues to be delivered.

CARRIED

15 COMMUNITY SERVICE DELIVERY**15.1 CASINO SEWER TREATMENT PLANT REPLACEMENT - DESIGN AND DEVELOPMENT PHASE****EXECUTIVE SUMMARY**

Council's 2023-25 Delivery Program includes a commitment to start the planning and design works for a new sewage treatment plant at Casino and to seek further funding for the construction phase. The Casino STP has reached the end of its design life and suffered further damage in the 2022 floods. It currently struggles to treat effluent effectively for its design loading of 12,000 equivalent persons (EP). With Casino's population expected to reach 16,700 by 2041, replacing and expanding the sewage treatment plant is a high priority. The new facility, estimated at \$65m, will allow full activation of the Regional Jobs Precinct, open the way for up to 1600 additional family homes in Casino and improve environmental performance.

To support further planning, design and development work on the project, Council is pursuing a \$5m funding opportunity under the Australian Government's Regional Precincts and Partnerships Program (RPPP). This funding would help to bring the project to "shovel ready" by 2025 and also support design works for associated water and sewer infrastructure for the RJP and housing development.

To take advantage of the funding and ensure the project meets Council's ambitious timeframe of completion by 2028, a further allocation of \$1.1m from the Sewer Fund would be required. It is recommended that Council approves this funding to progress this essential community project.

RESOLUTION 200224/9

Moved: Cr Robert Mustow

Seconded: Cr Sandra Humphrys

That Council:

1. Notes the progress on planning and design work for the new Casino Sewage Treatment Plant and the current funding opportunity under the Regional Precincts and Partnerships Program to help progress this work.
2. Approves the budget transfer of \$1,100,000 from the Sewer Fund to the Sewer Operational Budget to continue funding the planning, design and development works associated with the replacement of the Casino STP and enabling infrastructure for the Regional Jobs Precinct and future housing development.

CARRIED

15.2 OVERHEIGHT REPLACEMENT TANK AT BROADWATER SUGAR MILL**EXECUTIVE SUMMARY**

Council has received a development application seeking consent for the replacement of a molasses tank at the Broadwater Sugar Mill. The former tank was damaged during the 2022 flood and has been removed from the site. Approval is now sought for a new tank in the same location. The new tank proposes a maximum height of 10.06m which is above the height of buildings standard of 8.5m in accordance with *Richmond Valley Local Environmental Plan 2012*.

The proposal would result in an exceedance of the height standard of more than 10% and therefore it must be referred to Council for determination. The structure is replacing a former tank in the same location, is of lesser height than the former structure, is located within an industrial facility and is of similar appearance and height as other building within the Broadwater Sugar mill site, further it will not have impacts on neighbouring properties the variation is recommended for approval.

RESOLUTION 200224/10

Moved: Cr Robert Mustow

Seconded: Cr Sam Cornish

That Council pursuant to Clause 4.6 of *Richmond Valley Local Environmental Plan 2012* approves a variation in respect of Clause 4.3 Height of buildings for DA2024/0083, as outlined in this report.

CARRIED**15.3 SECTION 355 COMMITTEES MANUAL AND POLICY****EXECUTIVE SUMMARY**

Council's Managing Community Facilities Manual was adopted in May 2007 and requires review and updating. The revised manual complies with current statutory obligations, as well as clearly outlining the responsibilities of Section 355 Committees in managing community facilities on Council's behalf.

The Managing Council's Community Facilities and Hall Policy was adopted in March 2018 and is also due for review. The policy has been replaced with a new draft Section 355 Committees Policy to reflect changes in the revised Section 355 Committee Manual. The revised manual and policy are presented for Council's consideration.

RESOLUTION 200224/11

Moved: Cr Sandra Humphrys

Seconded: Cr Sam Cornish

That Council adopts the revised Section 355 Committees Policy and Manual.

CARRIED

16 PROJECTS & BUSINESS DEVELOPMENT**16.1 TOWN ENTRY SIGNAGE****EXECUTIVE SUMMARY**

Council received funding in 2021 to contribute to updating its town and boundary sign infrastructure to acknowledge Bundjalung Country. The weather events of 2022 severely impacted most of the valley's town entry and boundary signage, so the project scope has been expanded to replace all signage with updated designs, leveraging off the Discover Richmond Valley Brand. Design concepts have been through several iterations based on Councillor feedback and are in the final stages of approval. Local company Wild Honey Creative which created the Discover Richmond Valley brand was engaged to undertake the design process.

RESOLUTION 200224/12

Moved: Cr Robert Mustow

Seconded: Cr Robert Hayes

That Council approves the latest design concepts for town entry and boundary signage, as presented in this report.

CARRIED

16.2 ILLAWONG LANE STORMWATER EASEMENT ACQUISITION**EXECUTIVE SUMMARY**

Council has finalised design plans for the upgrade/replacement of the storm water infrastructure at Illawong Lane, Evans Head. As part of this project, an easement over NSW Crown Lands needs to be acquired for future access, maintenance purposes and for the legal discharge of stormwater.

The stormwater infrastructure on the Crown Land reserve was originally constructed in the 1940's. An easement has never been formalised over this public infrastructure. Council has been directed to compulsorily acquire an easement for storm water infrastructure as part of the Illawong Lane construction upgrade which impacts on the Crown Land.

Council is required to undertake the acquisition for an easement in accordance with the *Land Acquisition (Just Terms Compensation) Act 1993* and the *Local Government Act 1993*. It is recommended that Council proceeds with the acquisition.

RESOLUTION 200224/13

Moved: Cr Robert Hayes

Seconded: Cr Sandra Humphrys

That Council

1. Proceeds to acquire an easement over Part Lot 549 DP 1091080, Part Lot 550 DP 1091080, and Part Lot 7303 DP1136547 by compulsory acquisition per Section 186 of the *Local Government Act 1993* and in accordance with the requirements of the *Land Acquisition (Just Terms Compensation) Act 1993* (NSW).
2. Approves the making of an application to the Minister of Local Government for the issue of a proposed acquisition notice under Section 186 of the *Local Government Act 1993* (NSW) and *Land Acquisition (Just Terms Compensation) Act 1993* (NSW) with respect to the subject easement for the purpose of access and services.

CARRIED**16.3 TATHAM BRIDGES LAND ACQUISITION AND ROAD CLOSURES****EXECUTIVE SUMMARY**

Council has secured funding of \$18.7M through the Northern Rivers Recovery and Resilience Program to replace the two bridges traversing Shannon Brook and Spring Creek on Casino Coraki Road (known as the twin Tatham Bridges).

Part of this work includes land acquisitions and the permanent closure and disposal of unnecessary public road.

Council considered land acquisitions at its September 2023 Ordinary Meeting, and proposed road closures during the October 2023 Ordinary Meeting. This report further outlines details of the road closure following public exhibition and the land to be acquired following the completion of the detailed bridge and road alignment design.

The location of the bridges over the two creeks have changed alignment multiple times with road closure and land acquisitions processes dating back to 1933, 1965, and 2000. The land acquisitions procedures were not finalised following the last realignment in 2000 and as a result the affected landowners have been impacted by a road traversing through private land. The land acquisitions subject to this report will resolve the road alignment of the existing and the new bridge's location resolving the encroachment of public road on private land.

Council has commenced discussions with affected landholders and aims to achieve the land acquisition through genuine agreement of all parties. Council will be required to compulsory acquire this land should negotiations become unachievable. Land that is owned by The State of NSW (Crown Land) must be acquired through the provisions of the *Land Acquisition (Just Terms Compensation) Act 1991*.

RESOLUTION 200224/14

Moved: Cr Sandra Humphrys

Seconded: Cr Sam Cornish

That Council:

1. In accordance with Section 38D of the *Roads Act 1993*, resolves to close the Council public Road identified as Lot 27, 29, 31 and part Lot 28 in Deposited Plan 1189548 (shown on Map 1) to be classified as operational land and disposed to the adjoining landowner.
2. Acquires the private ownership land by private agreement, acquisition by consent or through the compulsory acquisition process under the *Land Acquisition (Just Terms Compensation) Act 1991* by the authority contained in the *Roads Act 1993*. This being the land identified as needed for public road in attachment 1. The land described as Part Lots 1-8 Section 2 DP1494, Part Lots 20-21 DP1125446, Part Lots 201-202 DP815264, and Part Lots 2-3 DP706888.
3. Acquires Lot 16 DP1189548, Lot 32 DP1189548, and part Lot 132 DP726553 by the compulsory acquisition process under the *Land Acquisition (Just Terms Compensation) Act 1991* by the authority contained in the *Roads Act 1993* (shown on Map 2).
4. Approves the making of an application to the Minister for Local Government for the issue of a Proposed Acquisition Notice under the *Land Acquisition (Just Terms Compensation) Act 1991* with respect to the subject land.
5. Authorises the General Manger to:
 - Negotiate the final boundaries of the proposed road closure and land acquisition in

ORDINARY COUNCIL MEETING MINUTES

20 FEBRUARY 2024

- accordance with this report;
- Negotiate the compensation of land acquisition and road closure disposal under the provisions of the *Land Acquisition (Just Terms Compensation) Act 1991* to achieve genuine agreement between all parties.
 - Sign the necessary documentation to implement this resolution, including affixing the Seal of Council as required.
6. In accordance with Section 44 of the *Roads Act 1993*, that Lot 32 DP1189548 upon vesting to Council being former public road be provided in compensation to the adjoining landowner for other land acquired for the purposes of the *Roads Act 1993*.
7. Dedicates the acquired land, with exception of Lot 32 DP1189548 as public road.

CARRIED

17 ORGANISATIONAL SERVICES**17.1 QUARTERLY BUDGET REVIEW STATEMENT FOR THE QUARTER ENDED 31 DECEMBER 2023****EXECUTIVE SUMMARY**

This report outlines the proposed adjustments for the 2023/2024 budget for the quarter ended 31 December 2023.

Council's projected operating result from continuing operations for 2023/2024 is proposed to increase by \$2,387,776 to a surplus of \$33,143,349. The net operating result before capital grants and contributions has decreased slightly from a deficit of \$1,929,065 to a deficit of \$1,986,917.

Income from continuing operations has increased by \$3,084,969 from the revised budget, with total income now projected to be \$109,386,737. This is largely due to an increase in grant funding being announced in 2023/2024 for road reconstruction works such as \$2,719,484 for the Regional Emergency Road Repair Fund.

Expenses from continuing operations have increased by \$697,193 to a projected cost of \$76,243,388. Of this, \$210,000 relates to projected operational expenditure increases in line with funding being announced for the Rural Fire Fighting Fund allocation for 2023/2024 and a further \$199,800 to deliver place and adaptation plans for Mid Richmond communities.

Council's capital works program has been reviewed, resulting in a projected program for 2023/2024 of \$70,774,367, decreasing the 2023/2024 programmed works by \$956,826. This program of works continues to be largely focused on disaster recovery works and the restoration of essential public infrastructure following the February 2022 flood event along with key grant funded projects such as the Betterment Community Asset Program announced under the Northern Rivers Recovery and Resilience funding to ensure Council's assets are more resilient for future disasters. The decrease from the revised capital program budget is largely due to a reduction in the Stormwater Management budget of \$1,400,000. The delivery of this program of works will be heavily reliant on the availability of contractors and materials as well as favourable weather conditions for the remainder of 2023/2024. Council will continue to ensure its capital works program is closely monitored, with any adjustments required to be included in future quarterly budget reviews or monthly budget adjustment reports to Council.

Council's unrestricted cash surplus has remained unchanged at \$212,574 as of 31 December 2023.

A detailed Quarterly Budget Review Statement for the second quarter of 2023/2024 has been circulated separately to each Councillor. These changes are disclosed by priority areas on pages 4-8 of the Quarterly Budget Review Statement and detailed explanations are provided on pages 9-14.

A Powerpoint presentation was provided by the Principal Accountant on the Quarterly Budget Review.

RESOLUTION 200224/15

Moved: Cr Robert Mustow

Seconded: Cr Sam Cornish

That Council:

1. Receives the Quarterly Budget Review Statement as at 31 December 2023; and
2. Approves the recommended budget variations.

CARRIED

ORDINARY COUNCIL MEETING MINUTES

20 FEBRUARY 2024

17.2 FINANCIAL ANALYSIS REPORT - DECEMBER 2023 AND JANUARY 2024**EXECUTIVE SUMMARY**

The purpose of this report is to inform Council of the status and performance of its cash and investment portfolio in accordance with the *Local Government Act 1993* s.625, Local Government (General) Regulation 2021 cl.212, Australian Accounting Standard (AASB 9) and Council's Investment Policy.

The value of Council's cash and investments at 31 December 2023 and 31 January 2024 is shown below:

Month	Bank Accounts	Term Deposits	Floating Rate Notes	Fixed Rate Bonds	TCorp IM Funds	Total
December 2023	\$18,386,780	\$36,000,000	\$6,750,390	\$4,500,000	\$15,968,206	\$81,605,377
January 2024	\$20,021,585	\$34,000,000	\$6,750,390	\$4,500,000	\$16,111,533	\$81,383,507

The weighted average rate of return on Council's cash and investments at 31 December 2023 was 10.06% which was above the Bloomberg AusBond Bank Bill Index for December of 0.37%, which is Council's benchmark.

The weighted average rate of return on Council's cash and investments for January 2024 was 6.08% which was above the Bloomberg AusBond Bank Bill Index for January of 0.37%.

RESOLUTION 200224/16

Moved: Cr Sandra Humphrys

Seconded: Cr Sam Cornish

That Council adopts the Financial Analysis Report detailing the performance of its cash and investments for the months of December 2023 and January 2024.

CARRIED**17.3 REVIEW OF CHILD SAFETY AND WELLBEING POLICY****EXECUTIVE SUMMARY**

Councils in NSW have obligations to ensure child safety and wellbeing, as well as mandatory requirements under the NSW Child Safe Scheme. The first step in Council's implementation of the scheme was to adopt a Child Safety and Wellbeing Policy in October 2022. A review of the policy has now been undertaken to ensure ongoing compliance with Council's obligations.

RESOLUTION 200224/17

Moved: Cr Sandra Humphrys

Seconded: Cr Sam Cornish

That Council notes its ongoing responsibilities under the NSW Child Safe Scheme and adopts the revised Child Safety and Wellbeing Policy.

CARRIED

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18 GENERAL BUSINESS

Nil

19 MATTERS FOR INFORMATION**RESOLUTION 200224/18**

Moved: Cr Sandra Humphrys

Seconded: Cr Sam Cornish

Recommended that the following reports submitted for information be received and noted.

CARRIED

19.1 REVIEW OF REGIONAL DEVELOPMENT ACT - SUBMISSION**RESOLUTION 200224/19**

Moved: Cr Sandra Humphrys

Seconded: Cr Sam Cornish

That Council receives and notes the response provided to the Review of Regional Development Act.

CARRIED

19.2 DEVELOPMENT APPLICATIONS DETERMINED UNDER THE ENVIRONMENTAL PLANNING AND ASSESSMENT ACT FOR THE PERIOD 1 DECEMBER 2023 - 31 JANUARY 2024**RESOLUTION 200224/20**

Moved: Cr Sandra Humphrys

Seconded: Cr Sam Cornish

That Council receives and notes the Development Application report for the period 1 December 2023 to 31 January 2024.

CARRIED

19.3 CUSTOMER EXPERIENCE REPORT 1 OCTOBER - 31 DECEMBER 2023**RESOLUTION 200224/21**

Moved: Cr Sandra Humphrys

Seconded: Cr Sam Cornish

That Council receives and notes the Customer Experience Report for the period 1 October – 31 December 2023.

CARRIED

ORDINARY COUNCIL MEETING MINUTES

20 FEBRUARY 2024

19.4 GRANT APPLICATION INFORMATION REPORT - DECEMBER 2023 AND JANUARY 2024

RESOLUTION 200224/22

Moved: Cr Sandra Humphrys
Seconded: Cr Sam Cornish

That Council receives and notes the Grant Application Information Report for the months of December 2023 and January 2024.

CARRIED

19.5 WRITE OFF OF MONIES UNDER DELEGATION

RESOLUTION 200224/23

Moved: Cr Sandra Humphrys
Seconded: Cr Sam Cornish

That Council receives and notes the write-off of monies totalling \$2,973.23 under the General Manager’s delegation.

CARRIED

20 QUESTIONS ON NOTICE

Nil

21 QUESTIONS FOR NEXT MEETING (IN WRITING)

Nil

The Meeting closed at 7.30 pm.

The minutes of this meeting were confirmed at the Ordinary Council Meeting held on 19 March 2024.

.....
CHAIRPERSON



Concise Investment Report Pack

Richmond Valley Council

1 February 2024 to 29 February 2024



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1. Portfolio Valuation As At 29 February 2024
2. Portfolio Valuation By Categories As At 29 February 2024
3. Investment Revenue Received For 1 February 2024 to 29 February 2024
4. Comparison of Investment Revenue Earned to Original Budget and Investment Portfolio by Month 2023 - 2024 YTD
5. Environmentally Sustainable Investment Performance Report for the Period Ending 29 February 2024 Relative To 31 January 2024



1. Portfolio Valuation As At 29 February 2024

	Security Rating	Face Value Original	Face Value Current	Market Value	% Total Value	Running Yield	Weighted Running Yield
Fixed Interest Security							
At Call Deposit							
CBA Business Online Saver Acct RVC At Call	S&P ST A1+	9,270,000.00	9,270,000.00	9,270,000.00	11.59%	4.35%	
CBA General Fund Bk Acct RVC At Call	S&P ST A1+	1,042,674.63	1,042,674.63	1,042,674.63	1.30%	3.35%	
CBA Trust Acct RVC At Call	S&P ST A1+	87,050.17	87,050.17	87,050.17	0.11%	3.05%	
MACQ 940323454 At Call	Moodys A2	8,029,497.17	8,029,497.17	8,029,497.17	10.04%	4.70%	
NAB Business Cheque Acct RVC At Call	S&P ST A1+	24.71	24.71	24.71	0.00%	0.00%	
		18,429,246.68	18,429,246.68	18,429,246.68	23.04%		1.02%
Floating Rate Note							
Auswide 0.6 22 Mar 2024 FRN	Moodys	1,500,000.00	1,500,000.00	1,500,000.00	1.88%	4.94%	
Auswide 1.5 17 Mar 2026 FRN	Moodys	1,000,000.00	1,000,000.00	1,000,000.00	1.25%	5.84%	
CACU 1.7 21 Sep 2026 FRN	S&P BBB-	1,750,000.00	1,750,000.00	1,750,000.00	2.19%	6.04%	
MACQ 0.48 09 Dec 2025 FRN	Moodys A2	1,000,390.00	1,000,390.00	1,000,390.00	1.25%	4.81%	
MYS 0.65 16 Jun 2025 FRN	Moodys	1,500,000.00	1,500,000.00	1,500,000.00	1.88%	4.99%	
		6,750,390.00	6,750,390.00	6,750,390.00	8.44%		0.45%
Fixed Rate Bond							
NTTC 1.1 15 Dec 2025 - Issued 10 September 2021 - Richmond Council Fixed	Moodys Aa3	2,000,000.00	2,000,000.00	2,000,000.00	2.50%	1.10%	
JUDO 6.4 26 Sep 2025 Fixed	S&P BBB-	1,500,000.00	1,500,000.00	1,500,000.00	1.88%	6.40%	
BOQ 4.7 27 Jan 2027 Fixed	S&P BBB+	1,000,000.00	1,000,000.00	1,000,000.00	1.25%	5.60%	
		4,500,000.00	4,500,000.00	4,500,000.00	5.63%		0.25%
Unit Trust							
NSWTC Long Term Growth Fund UT		3,000,000.00	3,361,504.43	3,361,504.43	4.20%	31.20%	
NSWTC Medium Term Growth Fund UT		11,005,029.35	12,958,107.07	12,958,107.07	16.20%	11.52%	
		14,005,029.35	16,319,611.50	16,319,611.50	20.40%		3.18%



1. Portfolio Valuation As At 29 February 2024

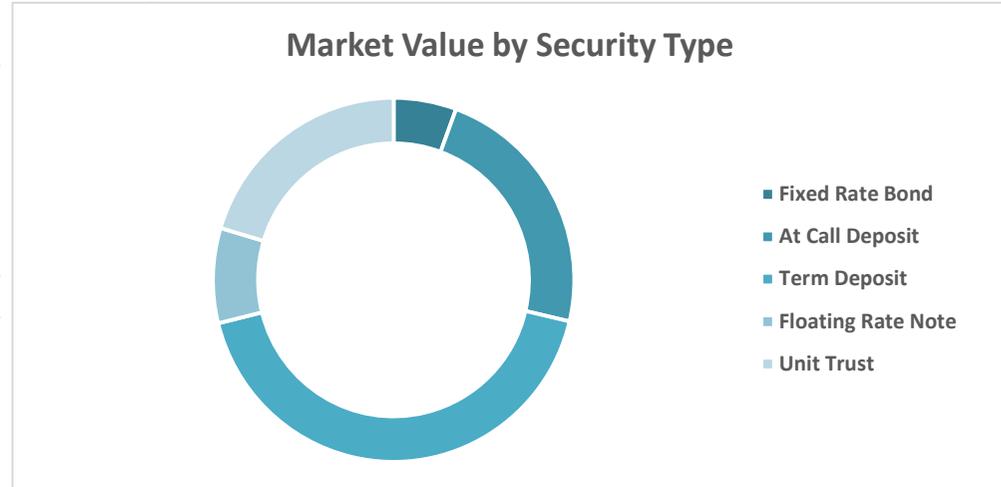
Term Deposit

Auswide 5.2 28 Mar 2024 120DAY TD	Moody's ST	2,000,000.00	2,000,000.00	2,000,000.00	2.50%	5.20%
BOQ 5.2 02 Apr 2024 123DAY TD	Moody's ST	3,000,000.00	3,000,000.00	3,000,000.00	3.75%	5.20%
BOQ 5.15 03 Apr 2024 183DAY TD	Moody's ST	2,000,000.00	2,000,000.00	2,000,000.00	2.50%	5.15%
BOQ 5.15 22 Apr 2024 181DAY TD	Moody's ST	2,000,000.00	2,000,000.00	2,000,000.00	2.50%	5.15%
CCU 5.5 05 Dec 2024 366DAY TD	Moody's ST	2,000,000.00	2,000,000.00	2,000,000.00	2.50%	5.50%
CACU 5.15 05 Mar 2024 91DAY TD	S&P ST A3	2,000,000.00	2,000,000.00	2,000,000.00	2.50%	5.15%
ING 5.41 21 Nov 2024 366DAY TD	S&P ST A1	1,000,000.00	1,000,000.00	1,000,000.00	1.25%	5.41%
ING 5.22 22 Jan 2025 366DAY TD	S&P ST A1	2,000,000.00	2,000,000.00	2,000,000.00	2.50%	5.22%
JUDO 5.1 05 Apr 2024 91DAY TD	S&P ST A3	2,000,000.00	2,000,000.00	2,000,000.00	2.50%	5.10%
JUDO 5.1 28 Aug 2024 182DAY TD	S&P ST A3	1,000,000.00	1,000,000.00	1,000,000.00	1.25%	5.10%
JUDO 5.1 29 Aug 2024 182DAY TD	S&P ST A3	2,000,000.00	2,000,000.00	2,000,000.00	2.50%	5.10%
JUDO 5.45 02 Dec 2024 367DAY TD	S&P ST A3	2,000,000.00	2,000,000.00	2,000,000.00	2.50%	5.45%
NAB 5.05 30 Apr 2024 91DAY TD	S&P ST A1+	3,000,000.00	3,000,000.00	3,000,000.00	3.75%	5.05%
NAB 5.05 28 May 2024 92DAY TD	S&P ST A1+	2,000,000.00	2,000,000.00	2,000,000.00	2.50%	5.05%
NAB 5.1 30 Jul 2024 182DAY TD	S&P ST A1+	2,000,000.00	2,000,000.00	2,000,000.00	2.50%	5.10%
SCC 5.15 05 Mar 2024 91DAY TD	Unrated ST	2,000,000.00	2,000,000.00	2,000,000.00	2.50%	5.15%
SCC 5.25 12 Mar 2024 91DAY TD	Unrated ST	2,000,000.00	2,000,000.00	2,000,000.00	2.50%	5.25%
		34,000,000.00	34,000,000.00	34,000,000.00	42.50%	2.21%
Portfolio Total		77,684,666.03	79,999,248.18	79,999,248.18	100.00%	7.10%



2. Portfolio Valuation By Categories As At 29 February 2024

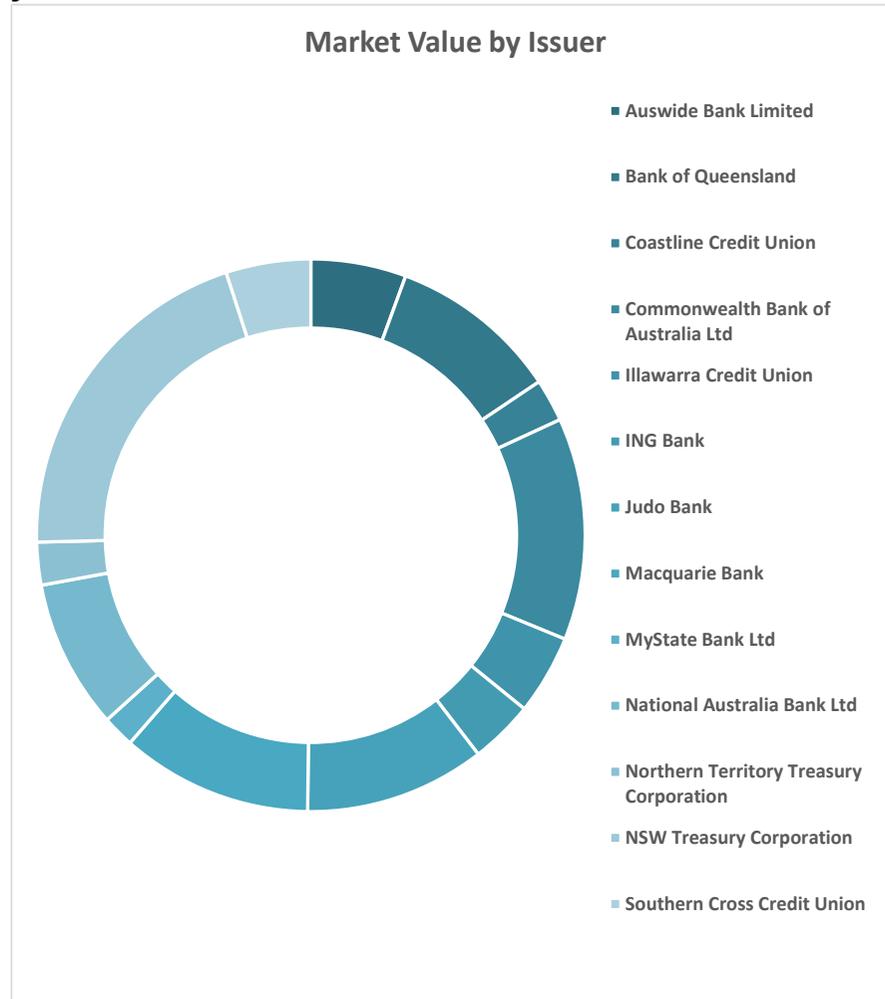
Security Type	Market Value	% Total Value
Fixed Rate Bond	4,500,000.00	5.63%
At Call Deposit	18,429,246.68	23.04%
Term Deposit	34,000,000.00	42.50%
Floating Rate Note	6,750,390.00	8.44%
Unit Trust	16,319,611.50	20.40%
Portfolio Total	79,999,248.18	100.00%





2. Portfolio Valuation By Categories As At 29 February 2024

Issuer	Market Value	% Total Value
Auswide Bank Limited	4,500,000.00	5.63%
Bank of Queensland	8,000,000.00	10.00%
Coastline Credit Union	2,000,000.00	2.50%
Commonwealth Bank of Australia Ltd	10,399,724.80	13.00%
Illawarra Credit Union	3,750,000.00	4.69%
ING Bank	3,000,000.00	3.75%
Judo Bank	8,500,000.00	10.63%
Macquarie Bank	9,029,887.17	11.29%
MyState Bank Ltd	1,500,000.00	1.88%
National Australia Bank Ltd	7,000,024.71	8.75%
Northern Territory Treasury Corporation	2,000,000.00	2.50%
NSW Treasury Corporation	16,319,611.50	20.40%
Southern Cross Credit Union	4,000,000.00	5.00%
Portfolio Total	79,999,248.18	100.00%



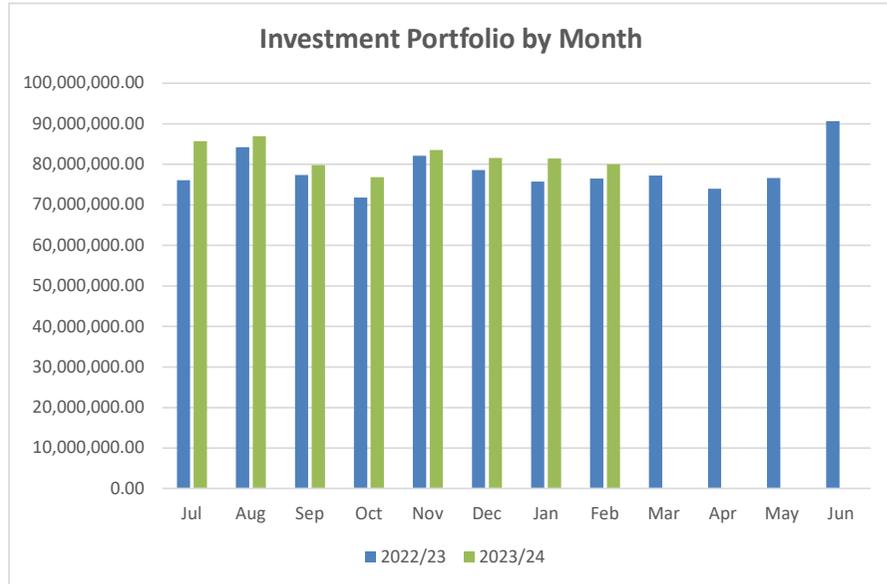
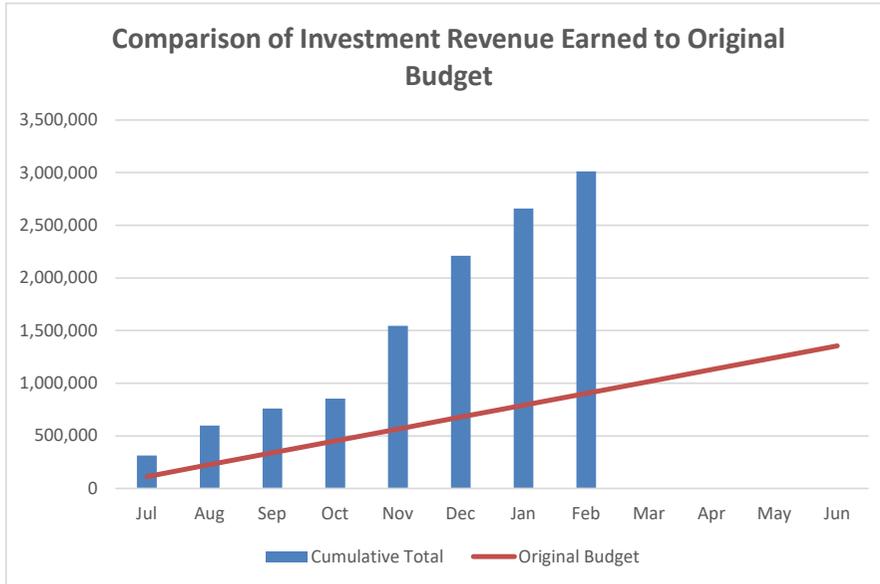


3. Investment Revenue Received For 1 February 2024 to 29 February 2024

Security	Issuer	Settlement Date	Face Value (Basis of Interest Calculation)	Consideration Notional	Income Type
BOQ 4.95 26 Feb 2024 122DAY TD	Bank of Queensland Ltd	26 Feb 2024	2,000,000.00	33,090.41	Security Coupon Interest
JUDO 5.1 28 Feb 2024 92DAY TD	Judo Bank	28 Feb 2024	1,000,000.00	12,854.79	Security Coupon Interest
JUDO 5.1 29 Feb 2024 91DAY TD	Judo Bank	29 Feb 2024	2,000,000.00	25,430.14	Security Coupon Interest
Other	Macquarie Bank	29 Feb 2024		29,497.17	Bank Interest
Other	Commonwealth Bank	29 Feb 2024		28,704.04	Bank Interest
Other	Commonwealth Bank	29 Feb 2024		2,261.45	Bank Interest
Other	Commonwealth Bank	29 Feb 2024		210.95	Bank Interest
				132,048.95	
Medium Term Growth Fund	NSW Treasury Corporation			122,970.45	Fair Value Gain/(Loss)
Long Term Growth Fund	NSW Treasury Corporation			85,108.46	Fair Value Gain/(Loss)
				208,078.91	
TOTAL				340,127.86	



4. Comparison of Investment Revenue Earned to Original Budget and Investment Portfolio by Month 2023 - 2024 YTD

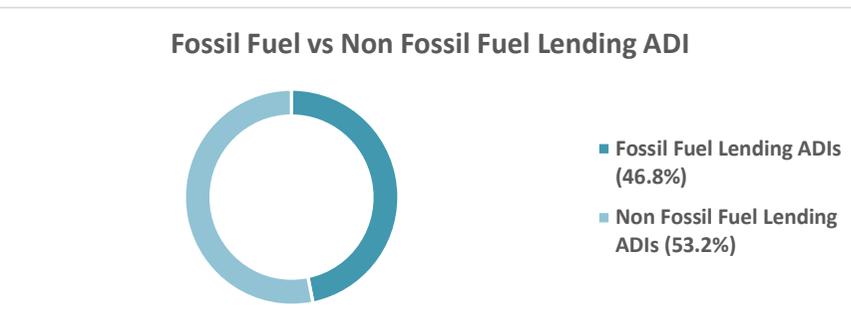




5. Environmentally Sustainable Investment Performance Report for the Period Ending 29 February 2024 Relative To 31 January 2024

Portfolio Summary by Fossil Fuel Lending ADIs

ADI Lending Status	% Total	Current Period	% Total	Prior Period
Fossil Fuel Lending ADIs				
Bank of Queensland	10.0%	8,000,000.00	12.3%	10,000,000.00
Commonwealth Bank of Australia Ltd	13.0%	10,399,724.80	14.7%	11,987,284.09
ING Bank Australia Limited	3.8%	3,000,000.00	3.7%	3,000,000.00
Macquarie Bank	11.3%	9,029,887.17	11.1%	9,034,665.93
National Australia Bank Ltd	8.8%	7,000,024.71	6.1%	5,000,024.71
	46.8%	37,429,636.68	47.9%	39,021,974.73
Non Fossil Fuel Lending ADIs				
Auswide Bank Limited	5.6%	4,500,000.00	5.5%	4,500,000.00
Coastline Credit Union	2.5%	2,000,000.00	2.5%	2,000,000.00
Illawarra Credit Union	4.7%	3,750,000.00	4.6%	3,750,000.00
Judo Bank	10.6%	8,500,000.00	10.4%	8,500,000.00
MyState Bank Ltd	1.9%	1,500,000.00	1.8%	1,500,000.00
Northern Territory Treasury Corporation	2.5%	2,000,000.00	2.5%	2,000,000.00
NSW Treasury Corporation	20.4%	16,319,611.50	19.8%	16,111,532.59
Southern Cross Credit Union	5.0%	4,000,000.00	4.9%	4,000,000.00
	53.2%	42,569,611.50	52.1%	42,361,532.59
Total Portfolio		79,999,248.18		81,383,507.32



All amounts shown in the table and charts are Current Face Values.



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RICHMOND VALLEY COUNCIL

AUDIT, RISK AND

IMPROVEMENT COMMITTEE

TERMS OF REFERENCE

Adopted by Council :

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Richmond Valley Council (Council) has established an Audit, Risk and Improvement Committee (ARIC) in compliance with section 428A of the *Local Government Act 1993*, the *Local Government (General) Regulation 2021* and the Office of Local Government's *Guidelines for risk management and internal audit for local government in NSW*. These terms of reference set out the ARIC's objectives, authority, composition and tenure, roles and responsibilities, reporting and administrative arrangements.

1. Definitions

Internal Audit Function – the function which provides internal audit services to the Council

Internal Audit Provider – the external third-party provider of internal audit services
Executive Officer – Council employee internally responsible for the Internal Audit Function of the Council

2. Objective

The objective of the ARIC is to provide independent assurance to the Council by monitoring, reviewing and providing advice about the Council governance processes, compliance, risk management and control frameworks, external accountability obligations and overall performance.

3. Independence

The ARIC is to be independent to ensure it has no real or perceived bias or conflicts of interest that may interfere with its ability to act independently and to provide the Council with robust, objective and unbiased advice and assurance.

The ARIC is to have an advisory and assurance role only and is to exercise no administrative functions, delegated financial responsibilities or any management functions of the Council. The ARIC provides independent advice to the Council that is informed by the Council internal audit and risk management activities and information and advice provided by staff, relevant external bodies and subject matter experts.

The ARIC must always ensure it maintains a direct reporting line to and from the Internal Audit Function and act as a mechanism for internal audit to report to the governing body and the General Manager on matters affecting the performance of the Internal Audit Function.

4. Authority

The Council authorises the ARIC, for the purposes of exercising its responsibilities, to:

- access any information it needs from the Council
- use any Council resources it needs
- have direct and unrestricted access to the General Manager and senior management of the Council
- seek the General Manager's permission to meet with any other Council staff member or contractor
- discuss any matters with the external auditor or other external parties
- request the attendance of any employee at ARIC meetings, and

→ seek approval from the General Manager to obtain external legal or other professional advice in line with the Councils' procurement policies.

Information and documents pertaining to the ARIC are confidential and are not to be made publicly available. The ARIC may only release Council information to external parties that are assisting the ARIC to fulfil its responsibilities with the approval of the General Manager, except where it is being provided to an external investigative or oversight agency for the purpose of informing that agency of a matter that may warrant its attention.

5. Committee Composition and Tenure

The ARIC consists of an Independent Chair and two Independent Members who have voting rights with the option of one non-voting Councillor, as required under the *Local Government (General) Regulation 2021*.

The governing body is to appoint the Chair and members of the ARIC. Current ARIC members are:

Ron Gillard	Independent Chair (voting)
Emma Fountain	Independent Member (voting)
Jesse Jo	Independent Member (voting)

All ARIC members must meet the independence and eligibility criteria prescribed under the *Local Government (General) Regulation 2021*.

Members will be appointed for up to a four-year term. Members can be reappointed for one further term, but the total period of continuous membership cannot exceed eight years. This includes any term as Chair of the ARIC. Members who have served an eight-year term (either as a member or as Chair) must have a two-year break from serving on the ARIC before being appointed again. To preserve the ARIC's knowledge of the Council, ideally, no more than one member should retire from the ARIC because of rotation in any one year.

The terms and conditions of each member's appointment to the ARIC are to be set out in a letter of appointment. New members will be thoroughly inducted to their role and receive relevant information and briefings on their appointment to assist them to meet their responsibilities.

Prior to approving the reappointment or extension of the Chair's or an Independent Member's term, the governing body is to undertake an assessment of the Chair's or Independent Member's performance. Reappointment of the Chair or an Independent Member is also to be subject to that person still meeting the independence and eligibility requirements prescribed under the *Local Government (General) Regulation 2021*.

Members of the ARIC must possess and maintain a broad range of skills, knowledge and experience relevant to the operations, governance and financial management of the Council, the environment in which the Council operates, and the contribution that the ARIC makes to the Council. At least one member of the ARIC must have accounting or related financial management experience with an understanding of

accounting and auditing standards in a local government environment. All members should have sufficient understanding of the Council financial reporting responsibilities to be able to contribute to the committee's consideration of the Council annual financial statements.

6. Role

As required under section 428A of the *Local Government Act 1993* (the Act), the role of the ARIC is to review and provide independent advice to the Council regarding the following aspects of the Council operations:

- compliance
- risk management
- fraud control
- financial management
- governance
- implementation of the strategic plan, delivery program and strategies
- service reviews
- collection of performance measurement data by the Council, and
- internal audit.

The ARIC must also provide information to the Council for the purpose of improving the Council performance of its functions.

The ARIC's specific audit, risk and improvement responsibilities under section 428A of the Act are outlined in Schedule 1 to this document.

The ARIC will act as a forum for consideration of the Internal Audit Function and oversee its planning, monitoring and reporting to ensure it operates effectively.

The ARIC has no power to direct external audit or the way it is planned and undertaken but will act as a forum for the consideration of external audit findings.

The ARIC is directly responsible and accountable to the governing body for the exercise of its responsibilities. In carrying out its responsibilities, the ARIC must at all times recognise that primary responsibility for management of the Council rests with the governing body and the General Manager.

The responsibilities of the ARIC may be revised or expanded in consultation with, or as requested by, the governing body from time to time.

7. Responsibilities of Members

7.1. Independent Members

The Chair and members of the ARIC are expected to understand and observe the requirements of the Office of Local Government's *Guidelines for risk management and internal audit for local government in NSW*. Members are also expected to:

- make themselves available as required to attend and participate in meetings
- contribute the time needed to review and understand information provided to it
- apply good analytical skills, objectivity and judgement
- act in the best interests of the Council

- have the personal courage to raise and deal with tough issues, express opinions frankly, ask questions that go to the fundamental core of the issue and pursue independent lines of inquiry
- maintain effective working relationships with the Council
- have strong leadership qualities (Chair)
- lead effective ARIC meetings (Chair), and
- oversee the Internal Audit Function (Chair).

7.2. Councillor Members (where applicable)

To preserve the independence of the ARIC, the Councillor Member (where nominated) of the ARIC is a non-voting member. Their role is to:

- relay to the ARIC any concerns the governing body may have regarding the Council and issues being considered by the ARIC
- provide insights into local issues and the strategic priorities of the Council that would add value to the ARIC's consideration of agenda items
- advise the governing body (as necessary) of the work of the ARIC and any issues arising from it, and
- assist the governing body to review the performance of the ARIC.

Issues or information the Councillor Member raises with or provides to the ARIC must relate to the matters listed in Schedule 1 and issues being considered by the ARIC.

The Councillor Member of the ARIC must conduct themselves in a non-partisan and professional manner. The Councillor Member of the ARIC must not engage in any conduct that seeks to politicise the activities of the ARIC or the Internal Audit Function or that could be seen to do so.

If the Councillor Member of the ARIC engages in such conduct or in any other conduct that may bring the ARIC and its work into disrepute, the Chair of the ARIC may recommend to the Council, that the Councillor Member be removed from membership of the ARIC. Where the Council does not agree to the ARIC Chair's recommendation, the Council must give reasons for its decision in writing to the Chair.

7.3. Conduct

Independent Members are required to comply with the Council's Code of Conduct.

Complaints alleging breaches of the Council's Code of Conduct by an independent ARIC member are to be dealt with in accordance with the *Procedures for the Administration of the Model Code of Conduct for Local Councils in NSW*. The General Manager must consult with the governing body before taking any disciplinary action against an independent ARIC member in response to a breach of the Council's Code of Conduct.

7.4. Conflicts of Interest

Once a year, ARIC members must provide written declarations to the Council stating that they do not have any conflicts of interest that would preclude them from being members of the ARIC. Independent ARIC members are 'designated persons' for the

purposes of the Council's Code of Conduct and must also complete and submit returns of their interests.

ARIC members and observers must declare any pecuniary or non-pecuniary conflicts of interest they may have in a matter being considered at the meeting at the start of each meeting or as soon as they become aware of the conflict of interest. Where an ARIC member or observer declares a pecuniary or a significant non-pecuniary conflict of interest, they must remove themselves from ARIC deliberations on the issue. Details of conflicts of interest declared at meetings must be appropriately minuted.

7.5. Standards

ARIC members are to conduct their work in accordance with the International Standards for the Professional Practice of Internal Auditing issued by the Institute of Internal Auditors and International Standard on Risk Management – ISO 31000:2018, where applicable.

8. Work Plans

The work of the ARIC is to be thoroughly planned and executed. The ARIC must develop a strategic work plan every four years to ensure that the matters listed in Schedule 1 are reviewed by the ARIC and considered by the Internal Audit Function when developing their risk-based program of internal audits. The strategic work plan must be reviewed at least annually to ensure it remains appropriate.

The ARIC may, in consultation with the governing body, vary the strategic work plan at any time to address new or emerging risks. The governing body may also, by resolution, request the ARIC to approve a variation to the strategic work plan. Any decision to vary the strategic work plan must be made by the ARIC.

The ARIC must also develop an annual work plan to guide its work, and the work of the Internal Audit Function over the forward year.

The ARIC may, in consultation with the governing body, vary the annual work plan to address new or emerging risks. The governing body may also, by resolution, request the ARIC to approve a variation to the annual work plan. Any decision to vary the annual work plan must be made by the ARIC.

When considering whether to vary the strategic or annual work plans, the ARIC must consider the impact of the variation on the Internal Audit Function's existing workload and the completion of pre-existing priorities and activities identified under the work plan.

9. Assurance Reporting

The ARIC must regularly report to the Council to ensure that it is kept informed of matters considered by the ARIC and any emerging issues that may influence the strategic direction of the Council or the achievement of the Council's goals and objectives.

The ARIC will provide an update to the governing body and the General Manager of its activities and opinions after every ARIC meeting.

The ARIC will provide an annual assessment to the governing body and the General Manager on the ARIC's work.

The ARIC will provide a comprehensive assessment every Council term of the matters listed in Schedule 1 to the governing body and the General Manager.

The ARIC may at any time report to the governing body or the General Manager on any other matter it deems of sufficient importance to warrant their attention. The mayor and the Chair of the ARIC may also meet at any time to discuss issues relating to the work of the ARIC.

Should the governing body require additional information, a request for the information may be made to the Chair of the ARIC by resolution. The Chair is only required to provide the information requested by the governing body where the Chair is satisfied that it is reasonably necessary for the governing body to receive the information for the purposes of performing its functions under the Local Government Act. Individual Councillors are not entitled to request or receive information from the ARIC.

10. Administrative Arrangements

10.1. Meetings

The ARIC will meet at least quarterly at a time as agreed by the ARIC. One meeting held will be a special meeting to review the Council's annual financial statements.

The ARIC can hold additional meetings when significant unexpected issues arise, or if the Chair is asked to hold an additional meeting by an ARIC member, the General Manager or the Council.

ARIC meetings can be held in person, by telephone or videoconference. Proxies are not permitted to attend meetings if an ARIC member cannot attend.

A quorum will consist of a majority of independent voting members. Where the vote is tied, the Chair has the casting vote.

The Chair of the ARIC will decide the agenda for each ARIC meeting in consultation with the Executive Officer. Each ARIC meeting is to be minuted to preserve a record of the issues considered and the actions and decisions taken by the ARIC.

The General Manager and the Executive Officer should attend ARIC meetings as non-voting observers. The internal auditor and external auditor (or their representative) is to be invited to each ARIC meeting as an independent observer. The Chair can request any employee/contractor of the Council and any subject matter expert to attend ARIC meetings. Where requested to attend a meeting, persons must attend the meeting where possible and provide any information requested. Observers have no voting rights and can be excluded from a meeting by the Chair at any time.

The ARIC can hold closed meetings whenever it needs to discuss confidential or sensitive issues with only voting members of the ARIC present.

The ARIC must meet separately with the Executive Officer and the Council's external auditor at least once each year.

10.2. Dispute Resolution

Members of the ARIC and the Council's management should maintain an effective working relationship and seek to resolve any differences they may have in an amicable and professional way by discussion and negotiation.

In the event of a disagreement between the ARIC and the General Manager or other senior managers, the dispute is to be resolved by the governing body.

Unresolved disputes regarding compliance with statutory or other requirements are to be referred to the Departmental Chief Executive of the Office of Local Government in writing.

10.3. Secretariat

The General Manager will nominate a staff member to provide secretariat support to the ARIC. The secretariat will ensure the agenda for each meeting and supporting papers are circulated after approval from the Chair at least 1 week before the meeting and ensure that minutes of meetings are prepared and maintained. Minutes must be approved by the Chair and circulated within 1 week of the meeting to each member.

10.4. Remuneration

Remuneration will be reviewed by the Council at least once every Council term and more frequently where required.

The fees paid to independent ARIC members will increase annually by the percentage allocated to Councillors by the Independent Pricing and Regulatory Tribunal determination. This will take effect for each independent ARIC member, including the Chair, on the anniversary date each year commencing at the completion of the first year.

As required by the *Guidelines for risk management and internal audit for local government in NSW*, Council will pay the superannuation guarantee liability on independent ARIC members meeting fees directly into the individual member's designated fund under the Superannuation Guarantee (Administration) Act 1992 (Cth).

With prior approval from the General Manager, the Council will reimburse reasonable travel and accommodation expenses associated with attending ARIC meetings in person. Wherever possible, the Council will book services directly with providers of its choosing, and members travelling by car will be reimbursed for their return trip using the current Australian Tax Office cents per kilometre rate.

The Council encourages independent ARIC members to keep their skills current and supports professional development. The Council will consider reimbursement of, or pro-rated contribution to, related professional development expenses upon approval by General Manager.

10.5. Public Liability and Professional Indemnity Insurance

The Council will provide Public Liability and Professional Indemnity Insurance to the Independent Chair and Independent Members under the same arrangements as provided to Councillors. This coverage provides indemnification in respect of claims

for all loss or damage potentially made against them in their capacity as members of the ARIC.

10.6. Resignation and Dismissal of Members

Where the Chair or an ARIC member is unable to complete their term or does not intend to seek reappointment after the expiry of their term, they should give 4 weeks' notice to the Chair and the governing body prior to their resignation to allow the Council to ensure a smooth transition to a new Chair or ARIC member.

The governing body can, by resolution, terminate the appointment of the Chair or an independent ARIC member before the expiry of their term where that person has:

- breached the Council's Code of Conduct
- performed unsatisfactorily or not to expectations
- declared, or is found to be in, a position of a conflict of interest which is unresolvable
- been declared bankrupt or found to be insolvent
- experienced an adverse change in business status
- been charged with a serious criminal offence
- been proven to be in serious breach of their obligations under any legislation, or
- experienced an adverse change in capacity or capability.

The position of a Councillor Member on the ARIC can be terminated at any time by the governing body by resolution.

10.7. Review Arrangements

At least once every Council term, the governing body must review or arrange for an external review of the effectiveness of the ARIC.

These terms of reference must be reviewed annually by the ARIC and once each Council term by the governing body. Any substantive changes are to be approved by the governing body.

11. Further information

For further information on Richmond Valley Council's ARIC, contact Director of Organisational Services [Ryan Gaiter](mailto:ryan.gaiter@richmondvalley.nsw.gov.au) at ryan.gaiter@richmondvalley.nsw.gov.au

Reviewed by Chair of the ARIC

[signed]

[date]

Reviewed by Council in accordance with a resolution of the governing body.

[signed]

[date]

[resolution reference]

Next review date: [date]

Schedule 1 – Audit, Risk and Improvement Committee Responsibilities

Audit

Internal Audit

Principle: The Council has an effective internal audit function and receives maximum value from its internal audit activities.

- Provide overall strategic oversight of internal audit activities
- Act as a forum for communication between the governing body, General Manager, senior management, the Internal Audit Function and external audit
- Coordinate, as far as is practicable, the work programs of internal audit and other assurance and review functions
- Review and advise the Council:
 - on whether the Council is providing the resources necessary to successfully deliver the Internal Audit Function
 - if the Council is complying with internal audit requirements, including conformance with the International Professional Practices Framework
 - if the Council's internal audit charter is appropriate and whether the internal audit policies and procedures and audit/risk methodologies used by the Council are suitable
 - of the strategic four-year work plan and annual work plan of internal audits to be undertaken by the Council's Internal Audit Function
 - if the Council's internal audit activities are effective, including the performance of the Executive Officer and the Internal Audit Function
 - of the findings and recommendations of internal audits conducted, and corrective actions needed to address issues raised
 - of the implementation by the Council of these corrective actions
 - on the appointment of the Executive Officer and Internal Audit Providers, and
 - if the Internal Audit Function is structured appropriately and has sufficient skills and expertise to meet its responsibilities

External Audit

Principle: The Council receives maximum value from its external audit activities.

- Act as a forum for communication between the governing body, General Manager, senior management, the internal audit function and external audit
- Coordinate as far as is practicable, the work programs of internal audit and external audit
- Provide input and feedback on the financial statement and performance audit coverage proposed by external audit and provide feedback on the audit services provided

- Review all external plans and reports in respect of planned or completed audits and monitor the Council's implementation of audit recommendations
- Provide advice to the governing body and/or General Manager on action taken on significant issues raised in relevant external audit reports and better practice guides

Risk

Risk Management

Principle: The Council has an effective risk management framework and internal controls that successfully identify and manage the risks it faces.

Review and advise the Council:

- if the Council has in place a current and appropriate risk management framework that is consistent with the Australian risk management standard
- whether the Council is providing the resources necessary to successfully implement its risk management framework
- whether the Council's risk management framework is adequate and effective for identifying and managing the risks the Council faces, including those associated with individual projects, programs and other activities
- if risk management is integrated across all levels of the Council and across all processes, operations, services, decision-making, functions and reporting
- of the adequacy of risk reports and documentation, for example, the Council's risk register and risk profile
- whether a sound approach has been followed in developing risk management plans for major projects or undertakings
- whether appropriate policies and procedures are in place for the management and exercise of delegations
- if the Council has taken steps to embed a culture which is committed to ethical and lawful behaviour
- if there is a positive risk culture within the Council and strong leadership that supports effective risk management
- of the adequacy of staff training and induction in risk management
- how the Council's risk management approach impacts on the Council's insurance arrangements
- of the effectiveness of the Council's management of its assets, and
- of the effectiveness of business continuity arrangements, including business continuity plans, disaster recovery plans and the periodic testing of these plans.

Internal Controls

Principle: The Council has an effective risk management framework and internal controls that successfully identify and manage the risks it faces.

Review and advise the Council:

- whether the Council's approach to maintaining an effective internal audit framework, including over external parties such as contractors and advisors, is sound and effective
- whether the Council has in place relevant policies and procedures and that these are periodically reviewed and updated
- whether appropriate policies and procedures are in place for the management and exercise of delegations
- whether staff are informed of their responsibilities and processes and procedures to implement controls are complied with
- if the Council's monitoring and review of controls is sufficient, and
- if internal and external audit recommendations to correct internal control weaknesses are implemented appropriately.

Compliance

Principle: The Council has an effective compliance framework that ensures it is complying with its legal obligations and other governance and contractual requirements when undertaking its functions.

Review and advise the Council of the adequacy and effectiveness of the Council's compliance framework, including:

- if the Council has appropriately considered legal and compliance risks as part of the Council's risk management framework
- how the Council manages its compliance with applicable laws, regulations, policies, procedures, codes, and contractual arrangements, and
- whether appropriate processes are in place to assess compliance.

Fraud and Corruption

Principle: The Council has an effective fraud and corruption control framework in place that minimises the incidence of fraud and corruption.

Review and advise the Council of the adequacy and effectiveness of the Council's fraud and corruption prevention framework and activities, including whether the Council has appropriate processes and systems in place to capture and effectively investigate fraud-related information.

Financial Management

Principle: The Council has an effective financial management framework, sustainable financial position and positive financial performance.

Review and advise the Council:

- if the Council is complying with accounting standards and external accountability requirements
- of the appropriateness of the Council's accounting policies and disclosures
- of the implications for the Council of the findings of external audits and performance audits and the Council's responses and implementation of recommendations
- whether the Council's financial statement preparation procedures and timelines are sound
- the accuracy of the Council's annual financial statements prior to external audit, including:
 - management compliance/representations
 - significant accounting and reporting issues
 - the methods used by the Council to account for significant or unusual transactions and areas of significant estimates or judgements
 - appropriate management signoff on the statements
- if effective processes are in place to ensure financial information included in the Council's annual report is consistent with signed financial statements
- if the Council's financial management processes are adequate
- the adequacy of cash management policies and procedures
- if there are adequate controls over financial processes, for example:
 - appropriate authorisation and approval of payments and transactions
 - adequate segregation of duties
 - timely reconciliation of accounts and balances
 - review of unusual and high value purchases
- if policies and procedures for management review and consideration of the financial position and performance of the Council are adequate
- if the Council's grants and tied funding policies and procedures are sound.

Governance

Principle: The Council has an effective governance framework to ensure it is appropriately directing and controlling the management of the Council.

Review and advise the Council regarding its governance framework, including the Council's:

- decision-making processes
- implementation of governance policies and procedures
- reporting lines and accountability

- assignment of key roles and responsibilities
- committee structure
- management oversight responsibilities
- human resources and performance management activities
- reporting and communication activities
- information and communications technology (ICT) governance, and
- management and governance of the use of data, information and knowledge

Improvement

Strategic Planning

Principle: The Council has an effective framework that ensures it achieves its strategic plans and objectives under the integrated planning and reporting (IP&R) framework.

Review and advise the Council:

- of the adequacy and effectiveness of the Council's integrated, planning and reporting (IP&R) processes
- if appropriate reporting and monitoring mechanisms are in place to measure progress against objectives, and
- whether the Council is successfully implementing and achieving its IP&R objectives and strategies.

Service Reviews and Business Improvement

Principle: The Council has an effective framework to ensure it is delivering services and conducting its business and functions to an expected standard.

- Act as a forum for communication and monitoring of any audits conducted by external bodies and the implementation of corrective actions (for example, NSW government agencies, Commonwealth government agencies, insurance bodies)
- Review and advise the Council:
 - If the Council has robust systems to set objectives and goals to determine and deliver appropriate levels of service to the community and business performance
 - if appropriate reporting and monitoring mechanisms are in place to measure service delivery to the community and overall performance, and
 - how the Council can improve its service delivery and the Council's performance of its business and functions generally

Performance Data and Measurement

Principle: The Council's performance management framework ensures the Council can measure its performance and if it is achieving its strategic goals.

Review and advise the Council:

- if the Council has a robust system to determine appropriate performance indicators to measure the achievement of its strategic objectives
- if the performance indicators the Council uses are effective, and
- of the adequacy of performance data collection and reporting.



Richmond Valley Council

AGENCY INFORMATION GUIDE

Government Information (Public Access) Act 2009



This document was affirmed by Council on [insert date], under Resolution [insert Resolution Number].

DRAFT

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1. Overview

This Agency Information Guide has been prepared and published in accordance with the requirements of the *Government Information (Public Access) Act 2009*. It describes the structure and functions of Council, the various types of information Council holds and how the public can access the information.

Council is committed to the principles of open, accountable, fair and effective government and recognises the right of the public to access Council information. Council holds a wide range of information concerning both the Richmond Valley local government area and the operation of Council. Much of this information is available on Council's website.

This publication provides members of the public, community organisations, the media, government agencies and staff with information about:

- Council's vision, values, principles and our commitment to the community;
- The structure and functions of Council;
- The ways in which the functions of Council (in particular, the decision-making functions) affect members of public;
- The avenues available to the public to participate in the formulation of Council policies and the exercise of its functions;
- The kinds of information held by Council and in particular, the information Council makes publicly available;
- The manner in which Council makes information publicly available; and
- The kind of information that is free of charge and that for which a charge is imposed.

2. Structure and functions

Richmond Valley Council is a duly constituted body under the Australian *Constitution Act 1902*, *Local Government Act 1993* and associated legislation. This legislation provides the legal framework for an effective, efficient, environmentally responsible and open system of local government.

Our Council Representatives

At the Richmond Valley Council Local Government Election held on 4 December 2021, the following seven Councillors were elected to represent the Richmond Valley for the council term which will conclude in September 2024.



L to R (back row): Cr Stephen Morrissey (Deputy Mayor), Cr Robert Hayes, Cr Patrick Deegan,
Cr Sam Cornish

L to R (front row): Cr Sandra Humphrys, Cr Robert Mustow (Mayor), Cr Debra McGillan

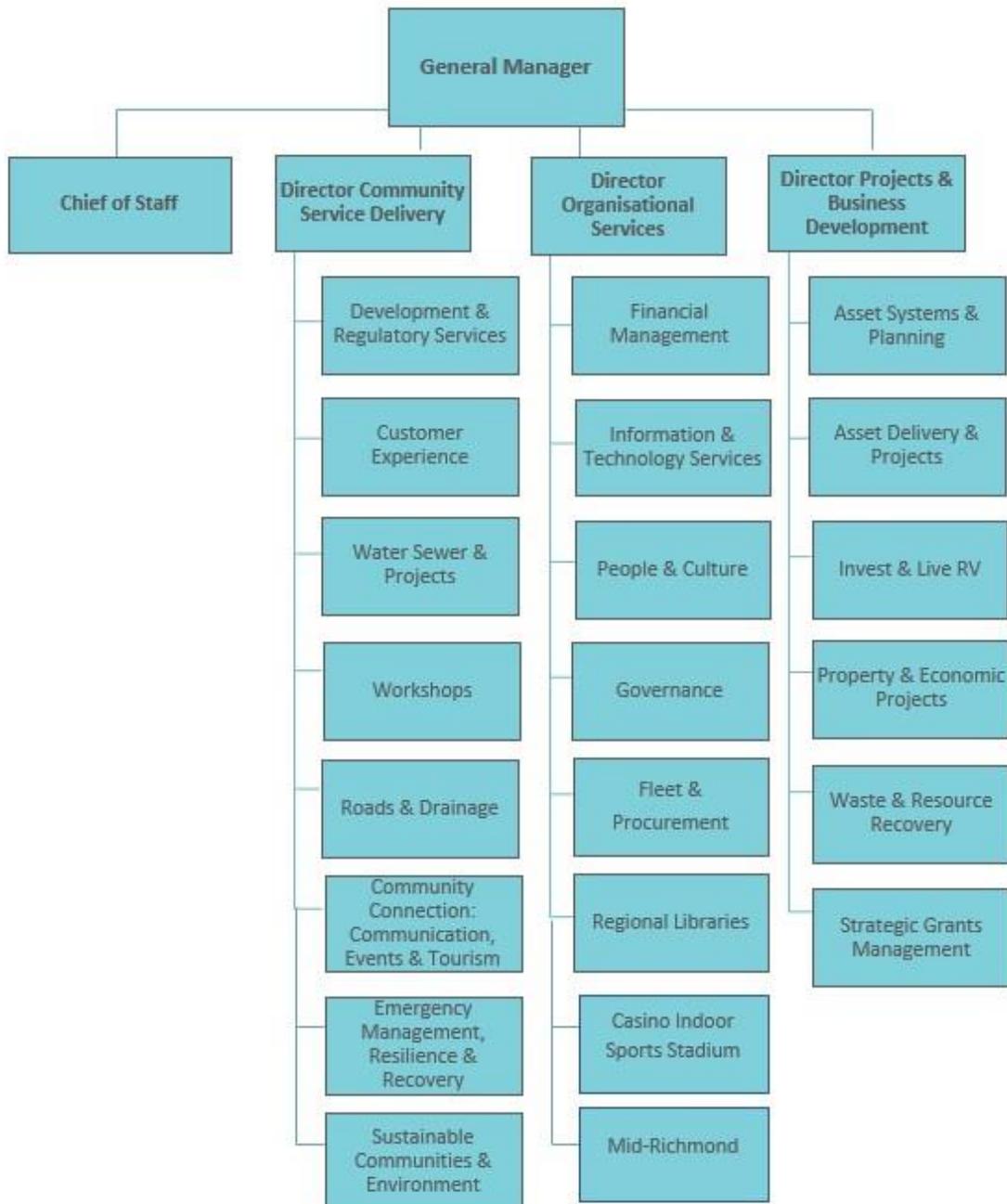
The elected Council is responsible for the direction and control of Council's affairs in accordance with the *Local Government Act* and associated legislation.

Councillors represent the interests of our residents and ratepayers. They provide leadership and guidance to the community; and facilitate communication between the community while maintaining the broader vision, needs and aspirations of the wider Richmond Valley.

Our Council Structure

Council adopts an organisational structure that will support the General Manager in implementing the actions identified in the Delivery Program and Operational Plan. The structure and functions of Council are determined by the provisions of the *Local Government Act 1993*, Chapter 6.

Council operates under the following structure:



3. Principles

The following guiding principles are to be utilised as part of the everyday decision-making processes, actions and management of Richmond Valley Council:

- Good governance - delivers good performance, minimises risks, ensures transparency and accountability and promotes efficiency and effectiveness.
- Representative democracy and community support - Council's direction and activities are to broadly reflect its community demographics and to have community support.
- Sound policy - clear direction via a policy and planning framework.
- Sufficient resources - human and financial resources to implement its decisions and to fulfil statutory obligations.
- Meaningful planning - a process to translate community needs and aspirations into Council services; to be meaningful, plans must result in actions and outcomes for the community.
- Connectedness - high level of connectivity across all of the community.
- Strong leadership - effective local government and outcomes can only be achieved via strong community leadership through councillors and staff.

4. Our vision for the future

Our Vision and Values

Our community has agreed upon the values and principles to guide the future of the Richmond Valley.

As part of the consultation for development of the Community Strategic Plan, we asked people what they wanted the Richmond Valley to be like in the future and this is what the community identified as being important to them:

- Everyone in our community should feel safe, valued and respected;
- People should be proud of where they live;
- Everyone should be treated fairly and have the same opportunities in life;
- Everyone should have a home;
- People should be able to live here all their life – they shouldn't have to move away to get an education, find a home, or get a job; and
- All of us should leave this place better than we found it for the generations to come.

5. Roles and functions

Mayor

In accordance with the *Local Government Act 1993* section 226, the role of the mayor is to exercise the policy-making functions of the governing body of the council between meetings of the council (in cases of necessity), to exercise other functions of the council as the council determines, to preside at meetings of the council and to carry out the civic and ceremonial functions of the mayoral office.

Councillors

In accordance with the *Local Government Act 1993* section 232, the role of councillors includes:

- to provide a civic leadership role in guiding the development of the community strategic plan;
- monitor the implementation of the council's delivery program;
- to direct and control the affairs of the council;
- to participate in the optimum allocation of the council's resources for the benefit of the local government area;
- to play a role in the creation and review of council's policies and objectives relating to the exercise of council's regulatory functions; and
- to review the performance of the council and its delivery of its services.

Executive Staff

The General Manager, and by delegation, the Executive staff, are responsible for the efficient and effective operation of the Council's organisation and for ensuring the implementation, without undue delay, of decisions of council. Richmond Valley Council's Executive staff include:

Vaughan Macdonald	General Manager
Angela Jones	Director Community Service Delivery
Ryan Gaiter	Director Organisational Services
Ben Zeller	Director Projects and Business Development
Jenna Hazelwood	Chief of Staff

In accordance with the *Local Government Act 1993* section 335, the functions of the General Manager include:

- to assist the council in connection with the development and implementation of the community strategic plan, resourcing strategy, delivery program and operational plan, together with the preparation of its annual report and state of the environment report;
- the day-to-day management of the council;
- to exercise such functions as delegated by the council;
- to appoint staff in accordance with the organisational structure and resources approved by the council; and
- to implement the council's equal employment opportunity management plan.

Functions of Council

Local Government Act 1993 (Chapter 5) confers the following functions upon Council:

- Service functions (Chapter 6)
- Regulatory functions (Chapter 7)
- Ancillary functions (Chapter 8)
- Revenue functions (Chapter 15)
- Administrative functions (Chapters 11, 12 and 13), and
- Enforcement functions (Chapters 16 and 17).

Council's priorities and services provided are outlined below:

Strengthening our role in the region	
OBJECTIVE 1: REBUILD AND RECONNECT OUR COMMUNITIES	<ul style="list-style-type: none"> • Recovery
OBJECTIVE 2: ESTABLISH THE RICHMOND VALLEY AS A REGIONAL GROWTH CENTRE	<ul style="list-style-type: none"> • Economic Development • Real Estate Development • Strategic Planning
OBJECTIVE 3: GROW AND DIVERSIFY OUR ECONOMY	<ul style="list-style-type: none"> • Tourism • NRLX
Creating great places to live	
OBJECTIVE 4: CELEBRATE OUR LOCAL IDENTITY AND LIFESTYLE	<ul style="list-style-type: none"> • Festivals & Events • Libraries • Community Programs & Grants • Sports Grounds, Parks & Facilities • Community Centres & Halls • Pools & Cemeteries
OBJECTIVE 5: LIVE SUSTAINABLY IN A CHANGING CLIMATE	<ul style="list-style-type: none"> • Planning & Development • Emergency Management
OBJECTIVE 6: PROVIDE INFRASTRUCTURE THAT MEETS COMMUNITY NEEDS	<ul style="list-style-type: none"> • Roads • Stormwater Management • Water & Sewerage Services • Engineering Support & Asset Management
Protecting our unique environment	
OBJECTIVE 7: PRESERVE NATIVE BUSHLAND AND BIODIVERSITY	<ul style="list-style-type: none"> • Environmental Health
OBJECTIVE 8: MAINTAIN HEALTHY RIVERS, BEACHES AND WATERWAYS	<ul style="list-style-type: none"> • Environmental Management

Delivering for our community	
OBJECTIVE 9: TRANSITION TO A CIRCULAR ECONOMY	<ul style="list-style-type: none"> • Waste Management
OBJECTIVE 10: LEAD AND ADVOCATE FOR OUR COMMUNITY	<ul style="list-style-type: none"> • Governance & Advocacy • Community Connection
OBJECTIVE 11: MANAGE RESOURCES RESPONSIBLY	<ul style="list-style-type: none"> • Financial Services • People & Culture • Work Health & Safety • Fleet Management • Quarries • Private Works
OBJECTIVE 12: PROVIDE GREAT SERVICE	<ul style="list-style-type: none"> • Customer Service • Information Technology Services

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In addition to the *Local Government Act 1993*, Council has a range of functions under other legislation, including but not limited to:

- *Biosecurity Act 2015*
- *Biodiversity Conservation Act 2016*
- *Boarding Houses Act 2012*
- *Building and Development Certifiers Act 2018*
- Building Code of Australia
- *Cemeteries and Crematoria Act 2013*
- *Cemeteries and Crematoria Regulation 2022*
- *Children and Young Persons (Care and Protection) Act 1998*
- *Children's Guardian Act 2019*
- *Civil Liability Act 2002*
- *Coastal Management Act 2016*
- *Community Land Development Act 2021*
- *Community Land Management Act 2021*
- *Companion Animals Act 1998*
- *Companion Animals Regulation 2018*
- *Contaminated Land Management Act 1997*
- *Conveyancing Act 1919*
- *Crimes Act 1900*
- *Crown Land Management Act 2016*
- *Disability Inclusion Act 2014*
- *Dividing Fences Act 1991*
- *Environmental Planning and Assessment Act 1979*
- *Environmental Planning and Assessment Regulation 2021*
- *Fines Act 1996*
- *Fluoridation of Public Water Supplies Act 1957*
- *Food Act 2003*
- *Government Information (Public Access) Act 2009*
- *Graffiti Control Act 2008*
- *Health Records and Information Privacy Act 2002*
- *Heritage Act 1977*
- *Land and Environment Court Act 1979*
- *Land Acquisition (Just Terms Compensation) Act 1991*
- *Library Act 1939*
- *Liquor Act 2007*
- *Local Government (General) Regulation 2021*
- *Local Government (State) Award 2020*
- *Native Title Act 1993 (Cth)*
- *Native Title Act 1994 (NSW)*
- *Ombudsman Act 1974*
- *Plumbing and Drainage Act 2011*
- *Privacy and Personal Information Protection Act 1998*
- *Protection of the Environment Operations Act 1997*
- *Protection of the Environment Operations (Clean Air) Regulation 2022*
- *Protection of the Environment Operations (Noise Control) Regulation 2017*
- *Protection of the Environment Operations (Waste) Regulation 2014*
- *Public Health Act 2010*
- *Public Health Regulation 2022*
- *Public Interest Disclosures Act 2022*
- *Public Spaces (Unattended Property) Act 2021*
- *Public Spaces (Unattended Property) Regulation 2022*
- *Public Works and Procurement Act 1912*
- *Radiocommunications Act 1992 (Cth)*
- *Real Property Act 1900*
- *Recreation Vehicles Act 1983*
- *Roads Act 1993*
- *Road Transport Act 2013*
- *Road Transport (General) Regulation 2021*
- *Roads Regulation 2018*
- *Road Rules 2014*
- *State Records Act 1998*
- *Strata Schemes Development Act 2015*
- *Strata Schemes Management Act 2015*
- *Surveying and Spatial Information Act 2002*
- *Swimming Pools Act 1992*
- *Unclaimed Money Act 1995*
- *Waste Avoidance and Resource Recovery Act 2001*
- *Water Management Act 2000*
- *Work Health and Safety Act 2011*
- *Workplace Injury Management and Workers Compensation Act 1998*

6. Integrated Planning and Reporting

Councils in NSW are required to develop an Integrated Planning and Reporting (IPR) framework under legislative requirements prescribed in the *Local Government Act 1993*, Chapter 3. This framework has been put in place to encourage councils, the community and other organisations to work together to plan for the future in an efficient and collaborative manner. The IPR has five main components:

- Community Strategic Plan
- Delivery Program and Operational Plan
- Resourcing Strategy incorporating Asset Management Plan
- Annual Report
- State of the Valley Report (formerly End of Term Report)

Community Strategic Plan

Council's Community Strategic Plan (CSP) 'Richmond Valley Made 2040' was adopted in June 2023. The CSP identifies the community's main priorities and aspirations for the future and establishes broad strategies for achieving these goals. In order to plan and monitor these goals, Council has an established IPR framework consisting of a Resourcing Strategy, Delivery Program and Operational Plan. In order to facilitate community involvement in the ongoing planning processes, Council has adopted a Community Engagement Strategy.

Delivery Program and Operational Plan

The Delivery Program is Council's commitment to its community over the length of Council's term and addresses the major areas council will focus on to address the strategies and actions that will be undertaken to address the program. The Operational Plan is a one-year plan that outlines the actions council will undertake in the financial year to implement the Delivery Program and allocates the resources necessary to achieve the actions over the twelve-month period.

Resourcing Strategy

The Resourcing Strategy consists of the Long-Term Financial Plan, Organisational Development Plan and Asset Management Plans. They contain information on the time, money, assets and people required by council to progress the projects within the Delivery Program and move towards achieving our community outcomes.

Annual Report

The Annual Report focuses on Council's implementation of the Delivery Program and Operational Plan. The report includes information prescribed by the Local Government (General) Regulation 2021. The Annual Report assists the community in understanding how council has performed over the financial year.

State of the Valley

The State of the Valley reports on progress of implementation and the effectiveness of the Community Strategic Plan, (the State of our Valley (formerly referred to as the End of Term Report)) must be presented to and endorsed at the second meeting of a newly elected council.

7. Public Participation

Council encourages and provides community members with opportunities to supply input into decision-making processes and participate in the formulation of its policies in the following ways:

- Standing for election as a councillor - the next local government election is due in September 2024;
- Talking to your Councillors - for current contact information please refer to Council's website www.richmondvalley.nsw.gov.au;
- Attendance at Council Meetings - Ordinary Meetings of Council are usually held on the third Tuesday of each month, commencing at 6pm in the Richmond Valley Council Chambers, corner of Walker Street and Graham Place, Casino;
- Viewing Business Papers for Council Meetings - these are published on Council's website as well as being available at Council's Casino and Evans Head offices;
- Addressing Council on an agenda item during the Public Access Session at the commencement of Ordinary Council Meetings;
- Writing to Council on any matter - all correspondence should be addressed to:
General Manager
Richmond Valley Council
Locked Bag 10
CASINO NSW 2470
or emailed to council@richmondvalley.nsw.gov.au
If the matter is outside the policies or delegations on which staff or the General Manager can make a decision, the matter will be referred to the next appropriate Council Meeting.
- Submissions to Community Strategic Plans, Operational Plans, Delivery Program, codes and policies on exhibition;
- Submissions to advertised or notified Development or Subdivision Applications;
- Community surveys; and
- Community Advisory Committees and Section 355 Committees for some functions of Council.

8. Council Committees

Audit Risk and Improvement Committee

Richmond Valley Council (Council) has established an Audit, Risk and Improvement Committee (ARIC) in compliance with section 428A of the *Local Government Act 1993*.

The objective of the ARIC is to provide independent assurance to the Council by monitoring, reviewing and providing advice about the Council governance processes, compliance, risk management and control frameworks, external accountability obligations and overall performance.

Council's Audit, Risk and Improvement Committee (ARIC) comprises:

- One Independent Chair
- Two Independent members
- Council also have the option of appointing a non-voting council member.

Richmond Valley Council Local Traffic Committee

The Richmond Valley Council Local Traffic Committee is a statutory committee with operating arrangements covered by the *Roads Act 1993* and the Roads and Traffic Authority Engineering Manual. The function of the committee is to advise Council on traffic related matters referred to it by Council. The committee acts as an advisory body only.

Memberships consists of one Councillor (Cr Robert Hayes), Director Community Service Delivery, one representative each from the NSW Police and Transport for NSW, and the Member for Clarence.

Section 355 Committees

The function of the following Section 355 Committees is care, control and management of Council halls or sporting facilities:

- Broadwater Community Hall Committee
- Coraki Youth Hall Committee
- Evans Head Recreation Hall Committee
- Fairy Hill Hall Committee
- Rappville Hall Committee
- Rappville Sporting Facilities Committee
- Rileys Hill Community Centre Committee
- Stan Payne Memorial Oval Committee
- Woodburn Memorial Hall Committee
- Woodview Piora Hall Committee.

Staff Committees

Internal committees include the Health and Safety Committee (promotion of the safety and welfare of workers) and the Consultative Committee (a forum of communication between the employer and its employees).

Delegates to External Organisations and Committees

Organisation	Delegate/Member
Rous County Council	Cr Robert Mustow (Mayor) Cr Sandra Humphrys
Arts Northern Rivers	Cr Patrick Deegan Manager Community Connection
Northern Rivers Joint Organisation Board	Cr Robert Mustow (Mayor)
Evans Head and District Workspace Committee	Director Organisational Services (or nominee)
Local Government NSW (Annual Conference)	Mayor (or nominee)
Northern Rivers Regional Organisation of Councils (NOROC)	Mayor General Manager
Northern Rivers Zone Liaison Committee	Cr Robert Mustow (Mayor) General Manager (or nominee)
Local Emergency Management Committee (LEMC) Local Emergency Management Officer (LEMO)	General Manager (or nominee) Director Community Service Delivery

9. Information available from Council

Council holds a wide range of information that is available for inspection at Council's Administration Office in Casino. This Agency Information Guide describes the information which members of the public can inspect for free. Reasonable photocopying charges will be charged in accordance with Council's Revenue Policy.

Information may be made available by mandatory open access proactive release, informal release and formal application. Access to information may be subject to an overriding public interest test against disclosure under certain circumstances in accordance with the *Government Information (Public Access) Act 2009*.

Policy Documents

Policy documents are available for members of the public to access free of charge from Council's website: <https://richmondvalley.nsw.gov.au/council/access-to-council-information/policy-documents/>

- Access to Council Records & Privacy Management Plan
- Adverse Event Plan (October 2021)
- Asbestos
- Asset Capitalisation
- Banking Services
- Bitumen Sealing adjacent to Residences on Unsealed Roads
- Business Ethics
- Cattle Grids – Public Gates and Bypasses Policy and Procedure
- Cemeteries and Burial
- Change of Name – Rates and Water/Sewer
- Child Safety and Wellbeing
- Code of Conduct – Councillors and Personnel
- Code of Meeting Practice
- Community Engagement
- Community Financial Assistance Program
- Complaints Management and Mandatory Reporting
- Concealed Water Leaks – Granting of Allowance and Application
- Conference Attendance
- Contributions for Kerb and Guttering and Footpath Paving
- Council Website
- Councillor Access to Information
- Councillor Induction and Professional Development Policy
- Customer Service Charter & Standards
- Dealing with Difficult People
- Debt Recovery
- Development Principles and Development Assessment Panel (DAP)
- Discharge of Liquid Trade Waste to the Sewerage System
- Disclosure of Interest Returns
- Effluent Reuse (Evans Head)
- Election Candidate Signage Policy
- Equal Employment Opportunity (EEO)
- Event Support
- Financial Assistance – On-Site Sewerage and Wastewater Management
- Financial Hardship and Application – Residential and Application – Commercial/Business
- Financial Hardship – Natural Disaster and Application
- Fraud and Corruption Control Plan
- Fraud Prevention
- Gathering Information for Legal and Insurance Matters

- Gifts and Benefits
- Heritage Incentives
- Installation of Street Lights and Street Lighting Fact Sheet
- Internal Reporting (Public Interest Disclosures)
- Investments
- Kerbside Dining
- Lease of Road Reserve
- Management of Contaminated Land
- Managing Conflicts of Interest for Council-related Development
- Managing Council's Community Facilities and Halls
- Media
- Modern Slavery Prevention Policy
- Naming of Public Parks, Reserves, Sporting Fields and Council Facilities
- Naming of Roads and Bridges
- Payment of Expenses and Provision of Facilities to Councillors
- Permanent Road Closures
- Pressure Sewerage
- Private Works – Charges for Works Under Section 67, Local Government Act 1993
- Purchase Order – Standard Terms and Conditions
- Purchasing
- Recognition of Milestones
- Related Party Disclosure
- Risk Management
- Revenue Policy 2023-24
- Road Management
- Roadside and Reserve Memorials
- Section 355 Committees Policy and Manual
- Signature Event
- Signs as Remote Supervision
- Stormwater Management Charge Discount and Exemption
- Use of Council Aerodromes
- Volunteer
- Water and Sewerage Charges – Application of S552 of the Local Government Act
- Welcome to Country
- Write-Off of Debtors
- Write-Off of Rates and Charges

Members of the public wishing to obtain a copy will be charged reasonable photocopying charges in accordance with Council's Revenue Policy in force as at the date of the request.

Integrated Planning and Reporting

- Annual Reports
- Community Strategic Plan
- Delivery Program and Operational Plan
- Asset Management Policy
- Asset Management Plans
- Asset Management Strategy
- Revenue Policy
- Resourcing Strategy
- State of the Valley (formerly End of Term Report)
- State of the Environment Report
- Annual Reports of bodies exercising delegated Council functions

Council Meetings

Agendas, Minutes and Business Papers of Council Meetings (excluding items conducted under closed meeting conditions) are available on Council's website.

Financial Information

- Quarterly Budget Review Statements
- Financial Statements
- Operational Plan including Financial Estimates
- Long Term Financial Plan
- Contracts Register
- Annual Financial Statements (including independent Auditor's Reports)
- Monthly Financial Analysis Report

Registers

- Land Register
- Register of Investments
- Returns of the Interests of Councillors, Designated Persons and Delegates
- Disclosures of Political Donations (*Local Government Act 1993, Section 328A*)
- Delegations Register
- Councillor Voting on Planning Matters (*Local Government Act 1993, Section 375A*)
- Register of Graffiti Removal Work kept in accordance with the *Graffiti Control Act 2008, section 13*

Planning documents

- Development Applications (within the meaning of the *Environmental Planning and Assessment Act 1979*) and associated documents
- Local policies adopted by the Council concerning approvals and orders
- Records of approvals granted, any variation from local policies with reasons for the variation, and decisions made on appeals concerning approvals
- Records of Building Information Certificates under *Environmental Planning & Assessment Act 1979*
- Plans of land proposed to be compulsorily acquired by the Council
- Leases and licences for use of public land classified as Community Land
- Plans of Management for Community Land
- Bushfire Prone Land Mapping
- Richmond Valley Local Environmental Plan 2012
- Richmond Valley Development Control Plan 2021
- Section 7.12 Contributions Plan
- Section 94/7.11 Contributions Plan (Heavy Haulage)
- Richmond Valley Growth Management Strategy and Casino Place Plan
- Richmond Valley Heritage Study 2007
- Richmond Valley Flood Study
- Casino Stormwater Drainage Study

Members of the public who wish to be provided with a copy of any of the above information may be charged reasonable photocopying charges in accordance with the Council's Revenue Policy current as at the time of the request.

Many of the above documents may also be viewed on Council's website: www.richmondvalley.nsw.gov.au.

Publications available for purchase

The following publications are available as hardcopies for purchase from Council and will be charged in accordance with Council's Revenue Policy current at the time of the request:

- Richmond Valley LEP (Comprehensive LEP) #
- Richmond Valley LEP Maps – A3 print size #
- Richmond Valley LEP Maps – A1 print size #
- Richmond Valley Development Control Plan 2021 *
- Section 7.12 Contributions Plan *
- Section 94/7.11 Heavy Haulage Contributions Plan
- Richmond Valley Growth Management Strategy and Casino Place Plan *
- Richmond Valley Heritage Study 2007
- Thematic History of Richmond Valley Local Government Area, Brett J. Stubbs, published by Richmond Valley Council 2007
- Stormwater Asset Management Plan*
- Bush Fire Prone Land Maps *
- On-site Sewage Management Strategy (OSMS) *
- Northern Rivers Local Government Development Design and Construction Manual
- Section 64 Water and Sewerage Development Servicing Plans

Note: Electronic copies of publications marked * are available to download free of charge via Council's website www.richmondvalley.nsw.gov.au

Note: Electronic copies of publications marked # are available to download free of charge via NSW legislation's website www.legislation.nsw.gov.au and NSW Planning Portal's website www.planning.nsw.gov.au

10. Access to documents

Council is committed to the objectives of the *Government Information (Public Access) Act 2009* and will strive to achieve the development, maintenance and advancement of a system of responsible and representative democratic government that is open, accountable, fair and effective. The objective of this Act is to open government information to the public by:

- authorising and encouraging the proactive public release of government information by agencies,
- giving members of the public an enforceable right to access government information, and
- providing that access to government information is restricted only when there is an over-riding public interest against disclosure.

Council Policy No. 1.19 - Access to Council Records and Privacy Management Plan, guides the processing of requests/applications to access or amend information, in accordance with the *Government Information (Public Access) Act 2009*, the *State Records Act 1998*, and the *Privacy and Personal Information Protection Act 1998*.

Members of the public can access Council information for free from Council's website www.richmondvalley.nsw.gov.au

Members of the public will be able to make informal requests for access to information, and they may also make formal applications by completing the relevant application forms, describing the records or information which is the subject of their application, and the legislation under which they make the application, and they may be charged a fee in accordance with the relevant legislation.

Enquiries concerning inspecting or purchasing Council documents and records can be made to by visiting our friendly Customer Experience staff, contacting Council on 6660 0300 or email council@richmondvalley.nsw.gov.au Customer Experience staff will assist members of the public with enquiries and completion of applications for access to Council information.

Casino Office Opening Hours	Monday to Friday 8:00am - 4:30pm
Evans Head Opening Hours	Monday to Friday 8:30am - 4:30pm Saturday 9:00am - 12:00pm

Complex applications requiring further assistance will be referred to:

The Public Officer
Richmond Valley Council
Locked Bag 10
CASINO NSW 2470

All applications for access to, or amendment of, Council's records must be made in writing to:

The General Manager
Richmond Valley Council
Locked Bag 10
CASINO NSW 2470

This is the most recent Agency Information Guide published by Richmond Valley Council and was approved by the elected body on [insert date]. This document can be obtained from Council's website www.richmondvalley.nsw.gov.au or by contacting Council's Public Officer.

Further information is also available by contacting the Information and Privacy Commission NSW:

Phone: 1800 472 679
Email: ipcinfo@ipc.nsw.gov.au
Website: www.ipc.nsw.gov.au

DRAFT

COMMUNITY GREENING PROGRAM

VISION:

To create a vibrant and resilient Richmond Valley by strategically planting trees to mitigate urban heat, engaging the community, fostering climate adaptation and preserving existing urban trees.

KEY PRINCIPLES:

RIGHT TREE, RIGHT PLACE, RIGHT REASON

STRATEGIC RESILIENT TREES

IMPROVE LIVEABILITY

AT A GLANCE:

- **Community engagement** - to gauge community expectation, identify barriers and pinpoint high priority areas.
- **Pilot program** - pilot new species to improve preferred tree species list to include more climate adaptive natives.
- **The "Growing On" program**, aimed at schools and not for profit organisations, emphasis on sourcing and nurturing local plants to enhance adaptability and strength for healthier growth. Through collaboration with schools, we aim to raise awareness and appreciation for trees, thereby increasing their value within the community.



WHAT THE COMMUNITY SAID...

The Richmond Valley community was invited to participate in the Community Greening Program survey, their valuable feedback will help shape the program's future. The insights shared by the community will help inform decisions regarding tree planting, maintenance, and community engagement initiatives moving forward.

Participants in the Community Greening Program Survey emphasised the lack of shade in public spaces. They expressed a desire for increased planting of trees with climate adaptation capabilities and the promotion of more native and indigenous flora. The primary areas identified for tree expansion by the community include public parks and playgrounds, walking and cycling paths, waterways, and residential streets.



189 PEOPLE RESPONDED TO THE COMMUNITY GREENING PROGRAM SURVEY.



91% OF RESPONDENTS SAID THERE IS INSUFFICIENT SHADE IN PUBLIC PLACES IN THE RICHMOND VALLEY.

KEY THEMES THAT EMERGED FROM THE SURVEY:



80% stated there is a high need for more trees to be planted in public parks and playgrounds.



63% want to see more trees planted to support biodiversity. 75% also emphasised the importance of planting indigenous and native species.



70% expressed a strong need for more trees to be planted in residential streets.



76% highlighted the important role trees play in combating climate change.



40% highlighted the need from more trees in new developments, along walkways and cycling paths.



There is a strong interest for food producing and flowering trees to support pollinators and sustainable food systems.



56% OF RESPONDENTS EXPRESSED A DESIRE TO WORK WITH COUNCIL IN VARIOUS CAPACITIES TO FACILITATE THE PLANTING OF MORE TREES. THIS UNDERSCORES A ROBUST COMMUNITY BACKING AND DEDICATION TO IMPROVING GREEN AREAS WHILE PROMOTING ENVIRONMENTAL SUSTAINABILITY WITHIN THE RICHMOND VALLEY.

Richmond
Valley
Council



MINUTES

Audit, Risk & Improvement Committee Meeting 21 February 2024

AUDIT, RISK & IMPROVEMENT COMMITTEE MEETING MINUTES

21 FEBRUARY 2024

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AUDIT, RISK & IMPROVEMENT COMMITTEE MEETING MINUTES

21 FEBRUARY 2024

**MINUTES OF RICHMOND VALLEY COUNCIL
AUDIT, RISK & IMPROVEMENT COMMITTEE MEETING
HELD ONLINE VIA ZOOM,
ON WEDNESDAY, 21 FEBRUARY 2024 AT 4PM**

PRESENT: Chairperson Ron Gillard, Member Jesse Jo, Member Emma Fountain

IN ATTENDANCE: Ryan Gaiter (Director Organisational Services), Ben Zeller (Director Projects & Business Development), Jenna Hazelwood (Chief of Staff), Hayley Martin (Principal Accountant), Latoya Cooper (Executive Assistant), Ben Rodgers (Thomas Noble & Russell), Quentin Wong (Audit Office NSW), Carla Dzendolet (Manger Sustainable Communities and Environment)

1 WELCOME

2 APOLOGIES

Vaughan Macdonald (General Manager), Angela Jones (Director Community Service Delivery), Adam Bradfield (Thomas Noble & Russell)

3 DECLARATION OF INTERESTS

4 CONFIRMATION OF MINUTES

4.1 MINUTES OF THE AUDIT, RISK & IMPROVEMENT COMMITTEE MEETING HELD ON 29 NOVEMBER 2023

COMMITTEE RESOLUTION IA210224/1

Moved: Member Emma Fountain

Seconded: Member Jesse Jo

That the Minutes of the Audit, Risk & Improvement Committee Meeting, held on 29 November 2023, be taken as read and confirmed as a true record of proceedings.

CARRIED

5 MATTERS FOR CONSIDERATION

5.1 UPDATE ON THE PROGRESS OF THE INTERNAL AND EXTERNAL AUDIT ACTIONS AS AT 31 DECEMBER 2023

COMMITTEE RESOLUTION IA210224/2

Moved: Member Jesse Jo

Seconded: Member Emma Fountain

That the Committee

1. Receives the Progress of Internal and External Audit Action Items report and the Meeting Actions update.
2. Notes the verbal update provided by the Manager of Sustainable Communities and Environment on IA202007.8 Cemetery Strategy and Licence.

CARRIED

Page 3

5.2 MANAGEMENT LETTER ON THE FINAL PHASE OF THE EXTERNAL AUDIT FOR THE YEAR ENDED 30 JUNE 2023**COMMITTEE RESOLUTION IA210224/3**

Moved: Member Emma Fountain

Seconded: Member Jesse Jo

That the Committee receive and notes the Management Letter on the Final Phase of the External Audit for the year ended 30 June 2023.

CARRIED

5.3 ANNUAL AUDIT ENGAGEMENT PLAN**COMMITTEE RESOLUTION IA210224/4**

Moved: Member Jesse Jo

Seconded: Member Emma Fountain

That the Committee receives and notes the External Audit Annual Engagement Plan for the year ended 30 June 2024.

CARRIED

5.4 TECHONE CLOUD MIGRATION**COMMITTEE RESOLUTION IA210224/5**

Moved: Member Emma Fountain

Seconded: Member Jesse Jo

That Committee notes the information provided in the TechOne Cloud Migration report.

CARRIED

5.5 STATE COVER WHS SELF-AUDIT REPORT**COMMITTEE RESOLUTION IA210224/6**

Moved: Member Jesse Jo

Seconded: Member Emma Fountain

That the Committee notes the positive outcome of the State Cover WHS Self-Audit report and requests the action plan items to be added to the Progress of the Internal and External Audit action items report for future tracking.

- CARRIED

5.6 UPDATE ON THE NORTHERN RIVERS REGIONAL LIVESTOCK EXCHANGE**COMMITTEE RESOLUTION IA210224/7**

Moved: Member Emma Fountain

Seconded: Member Jesse Jo

That the Committee notes the verbal update on the recent changeover of the Northern Rivers Livestock Exchange following a successful tender process, provided by Ben Zeller, (Director of Projects and Business Development).

CARRIED

5.7 EXPRESSION OF INTEREST - AUDIT ON SECURITY OF COUNCILS PHYSICAL ASSETS**COMMITTEE RESOLUTION IA210224/8**

Moved: Member Jesse Jo

Seconded: Member Emma Fountain

That the Committee

1. Notes the unsuccessful Expression of Interest – Audit on Security of Councils Physical Assets process;
2. Supports Council in directly negotiating with suitably qualified companies.

CARRIED

5.8 OPERATIONAL AND STRATEGIC RISK REGISTER**COMMITTEE RESOLUTION IA210224/9**

Moved: Member Emma Fountain

Seconded: Member Jesse Jo

That the Committee notes the information provided in the Operational and Strategic Risk Registers report.

CARRIED

5.9 DEVELOPMENT OF INTERNAL AUDIT PLAN**COMMITTEE RESOLUTION IA210224/10**

Moved: Member Jesse Jo

Seconded: Member Emma Fountain

That the Committee:

1. Endorse management to proceed to an expression of interest for internal audit services;
2. Supports Council in the development of an internal audit plan;
3. Notes the assurance mapping is unlikely to occur by 30 June 2024.

CARRIED

AUDIT, RISK & IMPROVEMENT COMMITTEE MEETING MINUTES

21 FEBRUARY 2024

5.10 OLG GUIDELINES & LEGISLATION UPDATE**COMMITTEE RESOLUTION IA210224/11**

Moved: Member Emma Fountain

Seconded: Member Jesse Jo

That the Committee notes the updated Terms Of Reference 2024 (OLG Legislation Revision), and requests the revised Terms of Reference to be endorsed by Council at the March 2024 Ordinary Council Meeting.

CARRIED**6 GENERAL BUSINESS****6.1 ARIC WORKPLAN****COMMITTEE RESOLUTION IA210224/12**

Moved: Member Jesse Jo

Seconded: Member Emma Fountain

That the Committee receives and notes the ARIC Workplan provided by the Chairperson and requests feedback of the independent committee members to be provided to the Chairperson by the end of March 2024.

CARRIED**6.2 ANNUAL REPORT****COMMITTEE RESOLUTION IA210224/13**

Moved: Member Emma Fountain

Seconded: Member Jesse Jo

That the Committee endorses the draft annual report being provided to Council in compliance with the requirements of the Terms Of Reference.

CARRIED**The Meeting closed at 6.13pm.**.....
CHAIRPERSON



**Richmond Valley Council
Audit, Risk and Improvement Committee**

**2023
Annual Report
to Council**

Report prepared by the Chair of the
Richmond Valley Council Audit, Risk and Improvement Committee

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1. Introduction

The Terms of Reference (“TOR”) for the Audit, Risk and Improvement Committee (“Committee”) adopted by Richmond Valley Council (“Council”) requires the Committee to provide an annual assessment to Council each year.

This report covers the period of the full calendar year of 2023 plus the Committee’s initial meetings of October and November 2022. Prior to its submission to Council, the report was reviewed and endorsed by the Members of the Committee.

The Committee has been established and supported by Council as a key component of its governance framework. The Committee’s TOR has been developed with reference to guidelines issued over time by the NSW Office of Local Government and the NSW Department of Premier and Cabinet.

The TOR sets out the roles and responsibilities of the Committee, its authority and operational guidelines, membership and the tenure of its members, and their reporting responsibilities. The TOR was adopted by Council on 18 July 2023, and is reviewed annually with changes recommended to Council for adoption.

During 2023, the core membership of the Committee comprised three Independent Members, with one of the Independent Members appointed as the Chair by Council. Independent Members are appointed for a specified term by Council following selection through an expression of interest process.

2. Audit, Risk and Improvement Committee Report

2.1 From IARC to ARIC

Through an expression of interest process for independent members in mid-2022, Council initiated the process of retiring/converting their existing Internal Audit and Risk Committee ("IARC"), consisting of all Councillor members, and establishing an independent Audit, Risk and Improvement Committee ("ARIC") as mandated through an amendment to the *Local Government Amendment (Governance and Planning) Act 2016 (NSW)*. The amendment also required (amongst other things) a range of aspects of Council's operations that the Committee must keep under review.

Following the confirmation of the selected Independent Members at the Ordinary Council Meeting of 16 August 2022, the inaugural meeting of the 'new' Committee was held on 19 October 2022.

The 'Draft Guidelines for Risk Management and Internal Audit for Local Government in NSW' governing the Committee were initially released for discussion in September 2019, followed by further revisions in both August 2021 and December 2022. Accompanying the latest revision, the Office of Local Government issued a Circular to Councils advising that the recently updated draft of the 'Guidelines for Risk Management and Internal Audit for Local Government in NSW' had been approved, with the legislative amendments giving statutory force to elements of the Guidelines expected to be made in early 2023.

In anticipation of the latest revision of the Guideline's requirements being proclaimed, Council utilising the models contained therein drafted and presented the TOR and Internal Audit Charter to the Committee at the May 2023 meeting. Following a review and some minor amendments/improvements, the Committee then endorsed both draft documents out of session via circular resolution on 7 July 2023 for them to be presented to Council for adoption. Council subsequently adopted both documents at the Ordinary Council Meeting of 18 July 2023 and the IARC officially became the ARIC.

Unfortunately, the required legislative amendments were not adopted by the NSW Government until quite late in 2023, along with some final (but immaterial) amendments being incorporated into the Guidelines shortly thereafter. The commencement date for the 'new' regulations is 1 July 2024, however it is noted that Council's adopted TOR is already materially compliant. Despite this, the immaterial amendments resulting from the finalisation of the 'new framework' will be considered and included as part of the Committee's annual review in early 2024.

The Committee will continue to work with Council to ensure that all new (and old) requirements under the legislation are appropriately considered as part of the continuous improvement process.

2.2 Committee Membership

The Committee Members during the period covered by this report were:

Independent Members:

- Ron Gillard – appointed Chair (since October 2022)
- Emma Fountain (since October 2022)
- Jesse Jo (since October 2022)

Background of Independent Members:

Ron Gillard has attained a broad range of commercial experience in the Australian manufacturing and investment sectors, as well as from participating in significant business ventures in Australia, the

US and Europe. Since commencing his management consulting business in 2005, he has also held a number of honorary executive positions on boards and/or committees for not-for-profits, community organisations, and other institutions. At various times during this same period, Ron has been appointed as an Independent Member or Chair to Audit, Risk and Improvement Committees of twenty-one regional and rural councils and/or JO's. He is currently the Chair of seven and a Member of a further nine (with three shared ARIC's representing ten of the total current). Ron holds a Masters Degree in Commerce.

Emma Fountain was born and raised in the northern rivers and is an active member of the local community. Emma has 15 years of legal, governance, risk and compliance experience across both the public and private sectors, including education and local government. She holds a Bachelor of Laws (LLB) and a Graduate Diploma (Legal Practice), and worked for many years as an in-house lawyer and legal consultant before enhancing her career as a governance specialist, taking on leadership roles in corporate governance, compliance and enterprise risk management. Emma also holds a Graduate Diploma (Applied Corporate Governance) with the Governance Institute of Australia and has completed the Australian Institute of Company Directors (AICD) Course. Emma has significant experience working with councils, boards and committees and is the Company Secretary for Diocese of Lismore Catholic Schools Limited.

Jesse Jo is a leader in governance, risk, assurance and compliance. Jesse has significant experience in these areas across multiple sectors and industries including in government, not for profit and ASX-listed organisations. In addition to being an ARIC Member at Richmond Valley Council, Jesse holds several board and committee positions including Chair of the ARIC at Blue Mountains City Council. Jesse is a Chartered Accountant, who has held senior positions in governance as well as audit, risk and compliance roles for NSW Treasury, Transport for NSW, NSW Health entities, Roads and Maritime Services, Sydney Trains and NSW Trains. He has a Bachelor of Commerce (Accounting and Finance) from the University of Sydney, as well as several diplomas and certifications including the Graduate Certificate in Compliance and Risk Management and Graduate Certificate in Internal Auditing.

2.3 Committee Meeting Attendance

The table below sets out the meetings of the Committee held during the reporting period and the attendance of Committee members at these meetings.

Meeting Date	R Gillard	E Fountain	J Jo
19 th Oct 2022	✓	✓	✓
22 nd Nov 2022	✓	✓	✓
15 th Feb 2023	✓	✓	✓
3 rd May 2023	✓	✓	✓
31 st Aug 2023	✓	✓	✓
12 th Oct 2023	✓	✓	✓
29 th Nov 2023	✓	✓	✓

Table 1: Summary of Committee Meetings and Member Attendance

The meetings of 22 November 2022 and 12 October 2023 were held as 'special meetings' primarily to review the Council's audited annual financial statements in line with the Guidelines.

It is also acknowledged that the General Manager (apology May, Aug and Oct 2023), Director Organisational Services, Director Community Service Delivery (apology Nov 2022 and Feb 2023), Chief of Staff/Leader Strategy (apology Nov 2022, Feb and May 2023), Director Projects and Business Development (apology Oct 2023), Principal Accountant, and Executive Assistant all attended the above meetings, along with the internal audit contactor and representative(s) of the Audit Office of NSW from time to time.

2.4 Role of the Committee

The primary role of the Committee, as required under section 428A of the *Local Government Act 1993 (NSW)* (the "Act"), is to review and provide independent advice to Council regarding the following aspects of Council's operations:

- compliance;
- risk management;
- fraud control;
- financial management;
- governance;
- implementation of the strategic plan, delivery program and strategies;
- service reviews;
- collection of performance measurement data by Council; and
- internal audit.

In addition, the Committee:

- must also provide information to Council for the purpose of improving Council's performance of its functions;
- must fulfil its specific responsibilities under section 428A of the Act as outlined in Schedule 1 of the TOR;
- acts as a forum for consideration of Council's internal audit function and oversee its planning, monitoring and reporting to ensure it operates effectively;
- acts as a forum for the consideration of external audit findings;
- is directly responsible and accountable to the Governing Body for the exercise of its responsibilities; and
- recognises at all times that the primary responsibility for the management of Council rests with the General Manager and the Governing Body.

The Committee achieves this by:

- examining and commenting on Council's enterprise risk management framework and practices, including review of internal control mechanisms;

- reviewing financial reporting, including reviewing the work of Council's external auditors;
- monitoring legislative compliance, including compliance with policies and guidelines issued by the Office of Local Government;
- developing, executing and monitoring a four year workplan for each Council term to ensure that all matters listed in Schedule 1 of the TOR are reviewed by the Committee and considered by the internal audit function when developing their risk-based program of internal audits;
- reviewing the work of Council's internal audit function, including achievement of Council's Strategic Internal Plan and advising management on the annual and long term program of internal audits, as well as overseeing progress with the implementation of the recommendations of completed audits;
- monitoring progress of internal process improvement projects, including the implementation of internal and external audit recommendations;
- provide advice on the scope of each project to ensure that each audit or review addresses the breadth of detail expected; and,
- reporting to Council on significant governance, risk, and internal control issues.

The Committee has also instituted key compliance declarations with Council management and these are monitored and reported on progressively throughout the year at Committee meetings, as well as via the scope and deliverables from internal and external audits.

2.5 Internal Audit

Council, under the previous Committee, had contracted Grant Thornton Australia Limited to provide internal audit services to the Council, with the existing contract term and Internal Audit Plan expiring in June 2023. In consultation with the Committee, Council decided not to extend the existing contract to allow realignment of the internal audit program with the next council term and the commencement of tasks required under the then draft Guidelines. In its place, Council will undertake a significant review of Council's physical asset security. This 'pause' will enable Council to prioritise and address the significant list of open internal audit findings and recommendations, as well as allow time to consider the most appropriate and effective internal audit model for Council.

For the period through to June 2023, the Committee experienced the independent and productive internal audit service of Grant Thornton and the value it added to Council's activities. The Committee is satisfied with the quality of internal audit work undertaken during the reporting period, the reported outcomes, and management's response/progress toward corrective action where necessary.

Internal Audits Undertaken During 2022/23

- Heavy Haulage;
- Cash Handling;
- Fees & Charges (Planning & Development); and
- Corporate Credit Cards.

Progress of Internal Audit Recommendations/Actions

Progress against agreed actions resulting from the recommendations of internal audit reports (current and prior years) are reviewed at every Committee meeting, with any necessary revisions to targeted implementation dates approved by the General Manager or the Committee.

Number of Actions:	2023	2022*
Open at start of year	49	67
Added from audits completed during year	42	-
Resolved/addressed during year	-67	-18
Open at end of year	24	49
<i>Total Actions Overdue</i>	<i>nil</i>	<i>nil</i>

*2022 period is 30 September through 31 December 2022

Internal Audit Plan

During the period, the Committee reviewed the Internal Audit Plan to confirm the schedule of audits through to 30 June 2023. As part of the annual review, consideration for the development of a new Strategic Internal Audit Plan was undertaken in early 2023 following input and assessments from Council and the internal audit service provider based on the updated deemed risks and priorities. The decision was made to defer the development to early 2024 in order to align the Strategic Internal Audit Plan with the next Council term and the commencement of the legislated Guidelines.

Other Internal Audit Activities

During the reporting period, the Committee:

- reviewed and approved the scope for the Internal Audits of;
 - Fees & Charges;
 - Cash Handling;
 - Credit Cards; and
- reviewed the RFQ for the Physical Asset Security Audit.

2.6 Enterprise Risk**Risk Register and Risk Management Framework**

Work is progressing on the risk management framework and it is being monitored by the Committee. The Committee is routinely informed about any issues or matters that have arisen since their last meeting that could affect Council's risk profile. The Committee receives an annual presentation of Council's risk register, as well as receives regular updates about the ongoing performance of Council's integrated management system, which includes risk management as part of its core functions.

Business Continuity Plan

The Business Continuity Plan ("BCP") was effectively enacted at various points in recent years given the natural disasters experienced by Council, as well as the global impact of the COVID-19 pandemic. The Committee will continue to monitor the currency and status of the BCP, including simulation testing of its components from time to time.

2.7 External Audit

The introduction of the *Local Government Amendment (Governance and Planning) Act 2016 (NSW)* also gave the Auditor-General the mandate to audit NSW local government. During the reporting period, the Audit Office of NSW undertook the external audit of Council's financial statements for the fiscal year ended 30 June 2023 ("FY23"). The Committee reported to the Governing Body that they are not aware of any issues that would preclude Council from adopting the Annual Financial Statements for FY23.

During the year, the Committee met with the Audit Office of NSW and/or their contractor and oversaw the delivery of the Annual Engagement Plan for the financial year ending 30 June 2023, as well as monitored Council's progress in addressing the actions agreed in response to matters raised in current and historical External Audit Management Letters.

The Audit Office of NSW and its contractor are invited to attend and participate in all Committee meetings (by videoconference, telephone, or in person wherever possible) for the full agenda if their schedule(s) permit.

Progress of External Audit Recommendations/Actions

Progress against agreed actions resulting from the recommendations of Audit Management Letters (current and prior years) are reviewed at every Committee meeting, with any necessary revisions to targeted implementation dates approved by the General Manager or the Committee.

Number of Actions:	2023	2022*
Open at start of year	5	3
Added from audits undertaken during year	2	2
Resolved/addressed during year	-4	-
Open at end of year	3	5
<i>Total Actions Overdue</i>	<i>nil</i>	<i>nil</i>

*2022 period is 30 September through 31 December 2022

2.8 Other Key Activities Undertaken During the Reporting Period

The Committee continually receives reports and updates on Council activities as they relate to risk management and mitigation strategies. During the year, the Committee received the following reports/updates:

- introduction to Council and the Executive Team;
- presentation of "Rebuilding the Richmond Valley";
- organisational structure;
- compliance with Modern Slavery Act;
- progress of ICT Strategy;
- impact to Council of ESL and other cost shifting activities from the NSW state government;
- NRLX;
- obtained an overview of other mandatory audits (ie. not initiated by the Committee) and their findings/recommendations; and
- results of a gap analysis performed by Council against the NSW Audit Office Performance Audit on Financial Management and Governance in MidCoast Council.

3. Committee Priorities for 2024

The key priorities for the Committee in this coming year will be:

- reconsider and advise Council on the impacts to the Committee in respect of the OLG's revised amendments to the recently legislated 'new framework', propose workable options that will allow the Committee to meet its obligations and minimise any adverse impact on Council's internal audit function, and assist in updating the new Terms of Reference with the recent changes;
- develop a four year workplan covering all of the Committee's responsibilities contained within Schedule 1 of the TOR to ensure they are fulfilled on a cyclical basis;
- assist with the review, determination, and implementation of Council's internal audit model;
- assist in the development of the Strategic Internal Audit Plan for the next Council term;
- monitor the current internal audit projects to ensure they are completed in a timely manner;
- monitor management's responses to audit findings and recommendations, and to advise on the appropriateness of the responses and proposed implementation timeframes;
- assess the benefits/effectiveness for Council in utilising the 'additional special meeting' of the Committee for reviewing the financial statements post-audit versus potentially reviewing draft statements prior to their referral to audit;
- monitor progress of the risk management framework;
- monitor the arrangements to review and test Council's BCP and IT disaster recovery plans; and
- receive and question the functional heads of Council from time to time to provide real-time updates on programs, initiatives, risks and controls from their operations.

Ron Gillard

Chair – Richmond Valley Council Audit, Risk and Improvement Committee

21 February 2024