



SHIRE OF

Chapman Valley

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Finance Policy, Procedures & Guidelines Manual

Version Control

This Is a Controlled Document of the Shire of Chapman Valley

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Version: 2

Amendments

Title new / removed policy	Replacing Policy	Date
Full Manual Review	Minute Reference:07/18-10	18 th July 2018
Full Manual Review	Minute Reference: 07/19-4	17 th July 2019
Revenue Reimbursements / Credits	Minute Reference: 11/19-11	20 th November 2019
Full Manual Review	Minute Reference: 03/20-13	18 th March 2020
Full Manual Review	Minute Reference: 03/21-10	17 th March 2021
Full Manual Review	Minute Reference 07/21-03	21 st July 2021
Full Manual Review	Minute Reference: 03/22-08	16 th March 2022
Community Enhancement Donations & Sponsorships	Minute Reference: 05/22-02	19 th May 2022
Financial Assistance	Minute Reference: 2023/04-6	20 th April 2023
Community Enhancement Donations & Sponsorship	Minute Reference: 2023/04-6	20 th April 2023
Community Growth Fund - Operational	Minute Reference: 2023/04-6	20 th April 2023
Annual Wage Case Decisions	Minute Reference: 2023/07-3	20 th July 2023
Full Manual Review	Minute Reference: 2024/04-8	18 th April 2024
Financial Hardship Policy & Corporate Transaction Cards Procedure.	Minute Reference: 2024/05-13	16 th May 2024
Full Manual Review	Minute Reference: 2025/05-10	6 th June 2025

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Key Documents, Policies / Procedures / Guidelines

These are Shire specific policies, procedures and guidelines relevant to the Finance & Corporate Services section of the organisation and form part of this manual to act a reference tool.

Policies

CP-021 Management Of Investments

POLICY NO	CP-021
POLICY	MANAGEMENT OF INVESTMENTS
RESPONSIBLE OFFICER	MANAGER FINANCE & CORPORATE SERVICES
PREVIOUS POLICY No.	5.40
LEGISLATION	LOCAL GOVERNMENT (FINANCIAL MANAGEMENT) REGULATION 19
RELEVANT DELEGATIONS	3003

OBJECTIVES:

To invest the local government's surplus funds, with consideration of risk and at the most favourable rate of interest available to it at the time, for that investment type, while ensuring that its liquidity requirement is being met.

While exercising the power to invest, consideration is to be given in preservation of capital, liquidity, and the return of investment.

- Preservation of capital is the principal objective of the investment portfolio. Investments are to be performed in a manner that seeks to ensure security and safeguarding the investment portfolio. This includes managing credit and interest rate risk within identified thresholds and parameters.
- The investment portfolio will ensure there is sufficient liquidity to meet all reasonably anticipated cash flow requirements, as and when they fall due, without incurring significant costs due to the unanticipated sale of an investment.
- The investment is expected to achieve a predetermined market average rate of return that takes into account the Shire's risk tolerance. Any additional return target set by Council will also consider the risk limitation and prudent investment principles.

POLICY STATEMENT/S:

Definitions

- *authorised institution* means —
 - a) an authorised deposit-taking institution as defined in the *Banking Act 1959* (Commonwealth) section 5; or
 - b) the Western Australian Treasury Corporation established by the *Western Australian Treasury Corporation Act 1986*;
- *foreign currency* means a currency except the currency of Australia.

Legislative Requirements

All investments are to comply with the following:

- *Local Government Act 1995* – Section 6.14;
- *The Trustees Act 1962* – Part III Investments;
- *Local Government (Financial Management) Regulations 1996* – Regulation 19, Regulation 19C, Regulation 28, and Regulation 49
- Australian Accounting Standards

Delegation of Authority

Authority for implementation of the Investment Policy is delegated by Council to the CEO in accordance with the *Local Government Act 1995*. The CEO may in turn delegate the day-to-day management of the Shire's Investment to senior staff or Chief Financial Officer subject to regular reviews.

Prudent Person Standard

The investment will be managed with the care, diligence and skill that a prudent person would exercise. Officers are to manage the investment portfolios to safeguard the portfolios in accordance with the spirit of this Investment Policy, and not for speculative purposes.

Ethics and Conflicts of Interest

Officers shall refrain from personal activities that would conflict with the proper execution and management of the Shire's investment portfolio. This policy requires officers to disclose any conflict of interest to the CEO.

Approved Investments

Without approvals from Council, investments are limited to:

- State/Commonwealth Government Bonds;
- Interest bearing deposits;
- Bank accepted/endorsed bank bills;
- Commercial paper;
- Bank negotiable Certificate of Deposits; and
- Managed Funds with a minimum long-term Standard & Poor (S&P) rating of "A" and short-term rating of "A2".

Prohibited Investments

This investment policy prohibits any investment carried out for speculative purposes including:

- Derivative based instruments;
- Principal only investments or securities that provide potentially nil or negative cash flow; and
- Stand-alone securities issued that have underlying futures, options, forwards contracts and swaps of any kind.

This policy also prohibits the use of leveraging (borrowing to invest) of an investment.

In accordance with section 6.14(1) of the *Local Government Act 1995* and Reg 19C of the *Local Government (Financial Management) Regulations 1996* this policy prohibits investing money in any of the following:

- (a) deposit with an institution except an authorised institution;
- (b) deposit for a fixed term of more than 12 months;
- (c) invest in bonds that are not guaranteed by the Commonwealth Government, or a State or Territory government;
- (d) invest in bonds with a term to maturity of more than 3 years;
- (e) invest in a foreign currency.

Risk Management Guidelines

Investments obtained are to comply with three key criteria relating to:

- a) Portfolio Credit Framework: limit overall credit exposure of the portfolio
- b) Counterparty Credit Framework: limit exposure to individual counterparties/institutions
- c) Term to Maturity Framework: limits based upon maturity of securities.

a) Overall Portfolio Limits

To control the credit quality on the entire portfolio, the following credit framework limits the percentage of the portfolio exposed to any particular credit rating category.

S&P Long Term Rating	S&P Short Term Rating	Direct Investment Maximum %	Managed Funds Maximum %
AAA	A-1+	100%	100%
AA	A-1	100%	100%
A	A-2	60%	80%

b) Counterparty Credit Framework

Exposure to an individual counterparty/institution will be restricted by its credit rating so that single entity exposure is limited, as detailed in the table below:

S&P Long Term Rating	S&P Short Term Rating	Direct Investment Maximum %	Managed Funds Maximum %
AAA	A-1+	45%	50%
AA	A-1	35%	45%
A	A-2	20%	40%

If any of the local government investments are downgraded such that they no longer fall within the investment policy, they will be divested as soon as practicable.

Investments fixed for greater than 12 months are to be approved by Council and reviewed on a regular term and invested for no longer than 5 years.

c) Term to Maturity Framework

The investment portfolio is to be invested within the following maturity constraints:

Overall Portfolio Term to Maturity Limits		
Portfolio % <1-year	Portfolio % >1 year	100 Max; 40% Min
60%		35%
Portfolio % > 3 year		25%
Portfolio % > 5 year		
Individual Investment Maturity Limits		
ADI		5 years
Non ADI		3 years

Investment Advisor

The local government's investment advisor must be approved by Council and licensed by the Australian Securities and Investment Commission. The advisor must be an independent person who has no actual or potential conflict of interest in relation to investment products being recommended; and is free to choose the most appropriate product within the terms and conditions of the investment policy.

Measurement

The investment return for the portfolio is to be regularly reviewed by an independent financial advisor by assessing the market value of the portfolio. The market value is to be assessed at least once a month to coincide with monthly reporting.

Benchmarking

Performance benchmarks need to be established.

Investment	Performance Benchmark
Cash	Cash Rate
Enhanced/Direct Investments	UBSWA Bank Bill
Diversified Funds	CPI + appropriate margin over rolling 3-year periods (depending upon composition of fund)

Reporting and Review

A monthly report will be provided to Council in support of the monthly statement of activity. The report will detail the investment portfolio in terms of performance, percentage exposure of total portfolio, maturity date and changes in market value.

An Investment Strategy will run in conjunction with the investment policy. The investment strategy will be reviewed with an independent investment adviser every six month with a more formal review once a year. The Strategy will outline:

- The Shire's cash flow expectations;
- Optimal target allocation of investment types, credit rating exposure, and term to maturity exposure and;
- Appropriateness of overall investment types for the Shire's portfolio.

This Investment Policy will be reviewed at least once a year or as required in the event of legislative changes.

Documentary evidence must be held for each investment and details thereof maintained in an investment Register.

Certificates must be obtained from the financial institutions confirming the amounts of investments held on the Shire's behalf as at 30 June each year and reconciled to the Investment Register.

ADDITIONAL EXPLANATORY NOTES:

ADOPTED/REVIEWED/AMENDED (OTHER THAN ANNUAL REVIEW OF ALL PROCEDURES:

Adopted – Council Resolution:	10/01-9
Reviewed/Amended – Council Resolution:	10/05-9; 05/15-23; 06/15-18; 03/17-32; 03/17-32

CP-022 Rate / Debt Recovery – Management of Debts Owing to the Shire

POLICY NO	CP-022
POLICY	RATE/DEBT RECOVERY - MANAGEMENT OF DEBTS OWING TO THE SHIRE
RESPONSIBLE OFFICER	MANAGER FINANCE & CORPORATE SERVICES
PREVIOUS POLICY No.	5.60
LEGISLATION	LOCAL GOVERNMENT (FINANCIAL MANAGEMENT) REGULATION 11
RELEVANT DELEGATIONS	

OBJECTIVES:

To assist in the timely and effective collection of debts the following shall be the process for the recovery of monies owing to the Shire of Chapman Valley.

POLICY STATEMENT/S:

RATES

Rate Notices

Rate Notices shall be sent out to all ratepayers as soon as possible after the budget has been set, or in the case of interim rates, as soon as possible after a revaluation has been received. Instalment Notices are to be sent at the specified dates.

Issue Final Notice – 14 Days After Due Date

A Final Notice is to be issued for all rates/charges remaining outstanding 14 days after the due date, (apart from those ratepayers who have opted to pay by instalments or special arrangement).

Letter-advising ratepayers of applicable interest charges on the outstanding amounts should be issued in lieu of a final notice.

14 Days After Final Notice – Notice of Intent to Summons

If payment not received within 14 days of final notice being issued, (allowing for postal delays), a Notice of Intent to Summons is to be issued, allowing 14 days for payment of the account, prior to commencement of legal action.

Debtors who have made an arrangement to pay - A Notice of Intent to Summons is to be issued 14 days after the default of an arrangement to pay.

Authority to Undertake Legal Action

The Chief Executive Officer is authorised to undertake legal action for the recovery of all current and arrears rates and charges remaining outstanding 14 days after the date of issue of the Notice of Intent to Summons (in note 4 above). Discretion is to be exercised on the amount owed and/or term outstanding when initiating such legal action.

Form of Legal Action

Legal Action for debts may be either through the Local Court, by the Shire's Solicitors or any Commercial Debt Collection Agencies with the CEO's approval.

Sale of Land

The Chief Executive Officer is to bring to the Council's attention, any rates which remain unpaid for a period of three years for: -

A determination on taking possession, or

Selling the land for the recovery of rates in accordance with the provisions of the Local Government Act 1995.

Or alternatively, placing a caveat against the land to secure Shire's interest.

Other Considerations

The Council would need to consider the following issues when determining whether to sell land for outstanding rates: -

Whether the cost to recover the rates or transfer the land outweighs the amount outstanding,

Whether it would be more cost effective to caveat the land rather than take possession.

SUNDRY DEBTORS

Initial Invoice

An invoice should be sent as soon as possible after the debt has been incurred.

Statement Issued at End of Month

Statements for all amounts outstanding should be issued at the end of each month.

After One Month - Second Statement and Letter of Demand

Sundry debtors should be sent a first statement at month's end, then a final account one month later. The second account is to be accompanied by a letter pointing out that if money is not paid, or reasons given why it cannot be paid within 14 days, legal action will be proceeded with in accordance with sections 4, 5 and 6 of the Rate Collection Policy.

Exceptions are employees who have arranged to have payments deducted from wages or salaries.

ADDITIONAL EXPLANATORY NOTES:

ADOPTED/REVIEWED/AMENDED (OTHER THAN ANNUAL REVIEW OF ALL PROCEDURES:

Adopted – Council Resolution:	10/01-9
Reviewed/Amended – Council Resolution:	05/04-35; 05/15-23; 06/15-18; 03/17-32; 03/17-32

CP-024 Purchasing

POLICY NO	CP-024
POLICY	PURCHASING
RESPONSIBLE OFFICER	MANAGER FINANCE & CORPORATE SERVICES
PREVIOUS POLICY No.	5.90
LEGISLATION	LOCAL GOVERNMENT ACT, 1995 LOCAL GOVERNMENT (FUNCTIONS & GENERAL) REGULATIONS, 1996
RELEVANT DELEGATIONS	3004

OBJECTIVES:

The Shire's purchasing activities will:

- (a) Achieve best value for money which considers sustainable benefits, such as; environmental, social and local economic factors;
- (b) Foster economic development by maximising participation of local businesses in the delivery of goods and services;
- (c) Use consistent, efficient and accountable purchasing processes and decision-making, including; competitive quotation processes, assessment of best value for money and sustainable procurement outcomes for all purchasing activity, including tender exempt arrangements;
- (d) Apply fair and equitable competitive purchasing processes to engage potential suppliers impartially, honestly and consistently;
- (e) Commit to probity and integrity, including the avoidance of bias and of perceived and actual conflicts of interest;
- (f) Comply with the *Local Government Act 1995*, *Local Government (Functions and General) Regulations 1996*, other relevant legislation, Codes of Practice, Standards and the Shire's Policies and Procedures;
- (g) Ensure purchasing outcomes contribute to efficiencies (time and resources) for the Shire of Chapman Valley
- (h) Identify and manage risks arising from purchasing processes and purchasing outcomes in accordance with the Shire's Risk Management framework;
- (i) Ensure records evidence purchasing activities in accordance with the *State Records Act 2000* and the Shire's Record Keeping Plan;
- (j) Ensure confidentiality protects commercial-in-confidence information and only releases information where appropriately approved.

POLICY STATEMENT:

1. ETHICS & INTEGRITY

The Shire's Code of Conduct applies when undertaking purchasing activities and decision making, requiring Council Members and employees to observe the highest standards of ethics and integrity and act in an honest and professional manner at all times.

2. VALUE FOR MONEY

The Shire will apply value for money principles in critically assessing purchasing decisions and acknowledges the lowest price may not always be the most advantageous.

2.1 Assessing Value for Money

Value for money assessment will consider:

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- (a) All relevant Total Costs of Ownership (TCO) and benefits including; transaction costs associated with acquisition, delivery, distribution, and other costs such as, but not limited to; holding costs, consumables, deployment, training, maintenance and disposal;
- (b) The technical merits of the goods or services being offered in terms of compliance with specifications, contractual terms and conditions and any relevant methods of assuring quality. This includes but is not limited to an assessment of compliances, the supplier's resource availability, capacity and capability, value-adds offered, warranties, guarantees, repair and replacement policies and response times, ease of inspection and maintenance, ease of after sales service, ease of communications, etc.
- (c) The supplier's financial viability and capacity to supply without the risk of default, including the competency of the prospective suppliers in terms of managerial and technical capabilities and compliance history;
- (d) A strong element of competition by seeking a sufficient number of competitive quotations consistent with this Policy, where practicable;
- (e) The safety requirements and standards associated with both the product design and the specification offered by suppliers and the evaluation of risk arising from the supply, operation and maintenance;
- (f) The environmental, economic and social benefits arising from the goods, services or works required, including consideration of these benefits in regard to the supplier's operations, in accordance with this Policy and any other relevant Shire Policy including Local Economic Benefit; and
- (g) Analysis and management of risks and opportunities which may be associated with the purchasing activity, potential supplier/s and the goods or services required.

3. PURCHASING THRESHOLDS AND PRACTICES

3.1 Defining the Purchasing Value

The Shire will apply reasonable and consistent methodologies to assess and determine Purchasing Values, which ensure:

- (a) The appropriate purchasing threshold and practice is applied in all purchasing activities; and
- (b) Wherever possible, purchasing activity for the same category of supply is aggregated into single contract arrangements to achieve best value and efficiency in future purchasing activities where the requirements are able to be provided by a single supplier.

A **category of supply** can be defined as groupings of similar goods or services with common: supply and demand drivers; market characteristics; or suppliers.

3.2 Strategic Purchasing Value Assessments

The Shire will periodically review recent past purchasing activity across its operations to identify categories of supply for which the Shire will have continuing need and which can be aggregated into single contract arrangements in order to achieve best value for money and efficiency in future purchasing activity.

The assessment of aggregated expenditure for the same category of supply capable of being supplied by a single supplier will determine the Purchasing Value threshold applicable to future purchasing activity.

3.3 Individual Purchasing Value Assessments

Where there is no relevant current contract, each purchasing activity is to assess the Purchasing Value based upon the following considerations:

- (a) Exclusive of Goods and Services Tax (GST); and
- (b) The estimated total expenditure for the proposed supply including the value of all contract extension options and where applicable, the total cost of ownership considerations.

(c) The appropriate length of a contract is to be determined based on market volatility, ongoing nature of supply, historical purchasing evidence and estimated future purchasing requirements.

(d) Requirements must not be split to avoid purchasing or tendering thresholds [F&G Reg. 12].

The calculated estimated Purchasing Value will determine the applicable threshold and purchasing practice to be undertaken.

Where a higher priced conforming offer is recommended, there should be clear and demonstrable benefits over and above the lowest total priced, conforming offer

3.4 Table of Purchasing Thresholds and Practices

3.4.1 Supplier Order of Priority

The Shire will consider and apply, where applicable, the following Supplier Order of Priority:

Priority 1:	Existing Prequalified Supplier Panel or other Contract Current contracts, including a Panel of Prequalified Suppliers or contracted supplier, must be used where the Shire's supply requirements can be met through the existing contract. If the Shire does not have a current contract relevant to the required supply, then a relevant WALGA PSA is to be used.
Priority 2:	Local Suppliers Where the Purchasing Value does not exceed the tender threshold and a relevant local supplier is capable of providing the required supply, the Shire will ensure, wherever possible, quotations are sought from local suppliers permanently located within the District as a first priority, and those permanently located within surrounding Districts as the second priority. If no relevant local supplier is available, then a relevant WALGA PSA may be used.
Priority 3:	Tender Exempt - WALGA Preferred Supplier Arrangement (PSA) Use a relevant WALGA PSA regardless of whether or not the Purchasing Value will exceed the tender threshold. However, if a relevant PSA exists but an alternative supplier is considered to provide best value, then the CEO, or an officer authorised by the CEO, may approve the alternative supplier. Reasons for not using a PSA may include: <ul style="list-style-type: none">i. Local supplier availability (not within the PSA); or,ii. Social procurement – preference to use Aboriginal business or Disability Enterprise. If no relevant WALGA PSA is available, then a relevant State Government CUA may be used.

Priority 4:	<p>Tender Exempt - WA State Government Common Use Arrangement (CUA)</p> <p>Use a relevant CUA regardless of whether or not the Purchasing Value will exceed the tender threshold.</p> <p>However, if a relevant CUA exists, but an alternative supplier is considered to provide best value for money, then the proposed alternative supplier may be approved by the CEO, or an officer authorised by the CEO.</p> <p>If no relevant CUA is available, then a Tender Exempt <i>[F&G Reg.11(2)]</i> arrangement may be used.</p>
Priority 5:	<p>Other Tender Exempt arrangement <i>[F&G Reg. 11(2)]</i></p> <p>Regardless of whether or not the Purchasing Value will exceed the tender threshold, the Shire will investigate and seek quotations from tender exempt suppliers, and will specifically ensure, wherever possible, quotations are sought from a WA Disability Enterprise and/or an Aboriginal Owned Business capable of providing the required supply.</p>
Priority 6:	<p><u>Other Suppliers</u></p> <p>Where there is no relevant existing contract or tender exempt arrangement available, purchasing activity from any other supplier is to be in accordance with relevant Purchasing Value Threshold and Purchasing Practice specified in the table below.</p>

3.4.2 Purchasing Practice Purchasing Value Thresholds

Where the value of procurement (excluding GST) for the value of the contract over the full contract period (including options to extend) is, or is expected to be:

	Amount of Purchase	Purchase Conditions	Recording Conditions
A	Up to \$10,000	Direct purchase from suppliers	Standard Purchase Order
B	\$10,001 - \$35,000	Seek one verbal or written quotation.	Endorse Purchase Order verbal or written quotes obtained or sought
C	\$35,001- \$85,000	Seek at least two written quotations containing price and specification of goods and services (with procurement decision based on all value for money considerations).	Written Quotes – Copies attached to Purchase Order or evidence of quotes being sought.
D	\$85,001- \$249,999	Seek at least three written quotations containing price and specification of goods and services (with	Written Quotes – Copies attached to Purchase Order or evidence of quotes being sought.

		procurement decision based on all value for money considerations).	
E	\$250,000 and above	Conduct a public tender process or use the WALGA Preferred Suppliers process.	Tender Register Requirements & Filing of Tender Documents
F	Emergency Purchases (Within Budget)	<p>Where goods or services are required for an emergency response and are within scope of an established Panel of Pre-qualified Supplier or existing contract, the emergency supply must be obtained from the Panel or existing contract using relevant unallocated budgeted funds.</p> <p>If there is no existing Panel or contract, then clause <i>Supplier Order of Priority</i> will apply wherever practicable.</p> <p>However, where due to the urgency of the situation; a contracted or tender exempt supplier is unable to provide the emergency supply <u>OR</u> compliance with this Purchasing Policy would cause unreasonable delay, the supply may be obtained from any supplier capable of providing the emergency supply. However, an emergency supply is only to be obtained to the extent necessary to facilitate the urgent emergency response and must be subject to due consideration of best value and sustainable practice.</p> <p>The rationale for policy non-compliance and the purchasing decision must be evidenced in accordance with the Shire's Record Keeping Plan.</p>	
G	Emergency Purchases (No budget allocation available)	<p>Where no relevant budget allocation is available for an emergency purchasing activity then, in accordance with s.6.8 of the <i>Local Government Act 1995</i>, the President must authorise, in writing, the necessary budget adjustment prior to the expense being incurred.</p> <p>The CEO is responsible for ensuring an authorised emergency expenditure under s.6.8 is reported to the next ordinary Council Meeting.</p> <p>The Purchasing Practices prescribed for Emergency Purchases (within budget) above, then apply.</p>	
H	LGIS Services Section 9.58(6)(b) Local Government Act	<p>The suite of LGIS insurances are established in accordance with s.9.58(6)(b) of the <i>Local Government Act 1995</i> and are provided as part of a mutual, where WALGA Member Local Governments are the owners of LGIS. Therefore, obtaining LGIS insurance services is available as a member-base service and is not defined as a purchasing activity subject to this Policy.</p> <p>Should Council resolve to seek quotations from alternative insurance suppliers, compliance with this Policy is required.</p>	

3.4.3 Emergency Purchases

Emergency purchases are defined as the supply of goods or services associated with:

- (a) A local emergency and the expenditure is required (within existing budget allocations) to respond to an imminent risk to public safety, or to protect or make safe property or infrastructure assets; OR
- (b) A local emergency and the expenditure is required (with no relevant available budget allocation) to respond to an imminent risk to public safety, or to protect or make safe property or infrastructure assets

in accordance with s.6.8 of the *Local Government Act 1995* and *Functions and General Regulation 11(2)(a)*; OR

- (c) A State of Emergency declared under the *Emergency Management Act 2005* and therefore, *Functions and General Regulations 11(2)(aa), (ja) and (3)* apply to vary the application of this policy.

Time constraints, administrative omissions and errors do not qualify for definition as an emergency purchase. Instead, every effort must be made to research and anticipate purchasing requirements in advance and to allow sufficient time for planning and scoping proposed purchases and to then seek quotes or tenders, as applicable.

3.4.4 Inviting Tenders Though not Required to do so

The Shire may determine to invite Public Tenders, despite the estimated Purchase Value being less than the \$250,000 prescribed tender threshold, but only where an assessment determines the purchasing requirement cannot be met through a tender exempt arrangement and the use of a public tender process will enhance; value for money, efficiency, risk mitigation and sustainable procurement benefits.

In such cases, the tender process must comply with the legislative requirements and the Shire's tendering procedures [F&G Reg.13].

3.4.5 Expressions of Interest

Expressions of Interest (EOI) will be considered as a prerequisite to a tender process [F&G Reg.21] where the required supply evidences one or more of the following criteria:

- (a) Unable to sufficiently scope or specify the requirement;
- (b) There is significant variability for how the requirement may be met;
- (c) There is potential for suppliers to offer unique solutions and/or multiple options for how the purchasing requirement may be sought, obtained, specified, created or delivered;
- (d) Subject to a creative element; or
- (e) Provides a procurement methodology which allows for the assessment of a significant number of potential tenderers leading to a shortlisting process based on non-price assessment.

All EOI processes will be based upon qualitative and other non-price information only.

3.4.6 Unique Nature of Supply (Sole Source Supplier) Local Government (Functions & General Regulation – 11(2)(f))

In the situation of any purchases above the legislated tender threshold amount from sole source providers the Chief Executive Officer is to present these to Council for endorsement, with evidence of due diligence as proof of there being a sole source provider situation, prior to progressing with the purchase.

An arrangement with a supplier based on the unique nature of the goods or services required or for any other reason, where it is unlikely there is more than one potential supplier may only be approved where the:

- (a) purchasing requirement has been documented in a detailed specification; and
- (b) specification has been extensively market tested and only one potential supplier has been identified as being capable of meeting the specified purchase requirement; and
- (c) market testing process and outcomes of supplier assessments have been evidenced in records, inclusive of a rationale for why the supply is determined as unique and why quotations / tenders cannot be sourced through more than one potential supplier.

An arrangement of this nature will only be approved for a period not exceeding one (1) year. For any continuing purchasing requirement, the approval must be re-assessed before expiry, to evidence only one potential supplier still genuinely exists.

3.4.7 Anti-Avoidance

The Shire will not conduct multiple purchasing activities with the intent (inadvertent or otherwise) of "splitting" the purchase value or the contract value, so the effect is to avoid a particular purchasing threshold or the need to call a Public Tender. This includes the creation of two or more contracts or creating multiple purchase order transactions of a similar nature.

3.4.8 Contract Renewals, Extensions and Variations

Where a contract has been entered into as the result of a publicly invited tender process, then *Functions and General Regulation 21A* applies (i.e. *Varying a contract for the supply of goods or services*) applies.

For any other contract, the contract must not be varied unless

- (a) The variation is necessary in order for the goods or services to be supplied and does not change the scope of the contract; or
- (b) The variation is a renewal or extension of the term of the contract where the extension or renewal options were included in the original contract.

Upon expiry of the original contract, and after any options for renewal or extension included in the original contract have been, the Shire is required to review the purchasing requirements and commence a new competitive purchasing process in accordance with this Policy.

4. SUSTAINABLE PROCUREMENT

The Shire is committed to implementing sustainable procurement by providing a preference to suppliers who demonstrate sustainable business practices (social advancement, environmental protection and local economic benefits).

The Shire will apply Sustainable Procurement criteria as part of the value for money assessment to ensure, wherever possible, our suppliers demonstrate outcomes which contribute to improved environmental, social and local economic outcomes.

Sustainable Procurement can be demonstrated as being internally focussed (i.e. operational environmental efficiencies or employment opportunities and benefits relating to special needs), or externally focussed (e.g. initiatives such as corporate philanthropy).

4.1 Local Economic Benefit

The Shire has adopted a Regional Price Preference Policy, which may be applied when undertaking all purchasing activities.

4.2 Socially Sustainable Procurement

The Shire will support the purchasing of requirements from socially sustainable suppliers such as Australian Disability Enterprises and Aboriginal businesses wherever a value for money assessment demonstrates benefit towards achieving the Shire's strategic and operational objectives.

A qualitative weighting will be used in the evaluation of Requests for Quotes and Tenders to provide advantages to socially sustainable suppliers in instances where the below tender exemptions are not exercised.

4.2.1 Aboriginal Businesses

Functions and General Regulation 11(2)(h) provides a tender exemption if the goods or services are supplied by a person on the Aboriginal Business Directory WA published by the Chamber of Commerce and Industry of Western Australia, or Australian Indigenous Minority Supplier Office Limited (trading as Supply Nation), where the consideration under contract is \$250,000 or less, or worth \$250,000 or less.

The Shire will first consider undertaking a quotation process with other suppliers (which may include other registered Aboriginal Businesses as noted in *F&G Reg.11(2)(h)*) to determine overall value for money for the Shire.

Where the Shire makes a determination to contract directly with an Aboriginal Business for any amount up to and including \$250,000 (ex GST), it must be satisfied through alternative means the offer truly represents value for money.

The rationale for making the purchasing decision must be recorded in accordance with the Shire's Record Keeping Plan.

4.2.2 Australian Disability Enterprises

Functions and General Regulation 11(2)(i) provides a tender exemption if the goods or services are supplied by an Australian Disability Enterprise.

The Shire will first consider undertaking a quotation process with other suppliers (which may include other Australian Disability Enterprises) to determine overall value for money for the Shire.

Where the Shire makes a determination to contract directly with an Australian Disability Enterprise for any amount, including an amount over the Tender threshold of \$250,000 (ex GST), it must be satisfied through alternative means the offer truly represents value for money.

The rationale for making the purchasing decision must be recorded in accordance with the Shire's Record Keeping Plan.

4.3 Environmentally Sustainable Procurement

The Shire will support the purchasing of recycled and environmentally sustainable products whenever a value for money assessment demonstrates benefit toward achieving the Shire's strategic and operational objectives.

5. PANELS OF PRE-QUALIFIED SUPPLIERS

The Shire will consider creating a Panel of Pre-qualified Suppliers ("Panel") when a range of similar goods and services are required to be purchased on a continuing and regular basis.

Part of the consideration of establishing a panel includes:

- there are numerous potential suppliers in the local and regional procurement related market sector(s) which satisfy the test of 'value for money';
- the purchasing activity under the intended Panel is assessed as being of a low to medium risk;
- the Panel will streamline and will improve procurement processes; and
- the Shire has the capability to establish a Panel, and manage the risks and achieve the benefits expected of the proposed Panel through a Contract Management Plan.

5.1 Establishing and Managing a Panel

If the Shire decides a Panel is to be created, it will establish the panel in accordance with the Regulations.

Panels will be established for one supply requirement, or a number of similar supply requirements under defined categories. This will be undertaken through an invitation procurement process advertised via a state-wide notice.

Panels may be established for a maximum of three (3) years. The length of time of a Local Panel is decided with the approval of the CEO.

Evaluation criteria will be determined and communicated in the application process by which applications will be assessed and accepted.

In an invitation to apply to become a pre-qualified supplier, the Shire may state the expected number of suppliers it intends to put on the panel.

If the Shire deems it needs additional suppliers to be added to a category within the panel, or the panel itself, to satisfy its needs or those of the local community, it will do so with the approval of the CEO.

Panel contract arrangements will be managed to ensure the performance of the Panel Contract and the Panel members under the contract are monitored and managed. This will ensure risks are managed and expected benefits are achieved. Contract Management Conditions will be established outlining the requirements for the Panel Contract and how it will be managed.

5.2 Distributing Work Amongst Panel Members

To satisfy Regulation 24AD(5) of the Regulations, when establishing a Panel of pre-qualified suppliers, the detailed information associated with the invitation to apply to join the Panel will prescribe one of the following as to whether the Shire intends to:

- seek quotations from each pre-qualified supplier on the Panel with respect to all discreet purchases; or
- purchase goods and services exclusively from any pre-qualified supplier appointed to the Panel, and under what circumstances; or
- develop a ranking system for selection to the Panel, with work awarded in accordance with the Regulations.
- When a ranking system is established, no one contract will be for more than 12 months and an annual review of pricing & ranking will be undertaken.

5.3 Purchasing from the Panel

The invitation to apply to be considered to join a panel of pre-qualified suppliers must state whether quotations are either to be invited to every Panel member (within each category, if applicable) of the Panel for each purchasing requirement, whether a ranking system is to be established, or otherwise.

Each quotation process, including the invitation to quote, communications with Panel members, quotations received, evaluation of quotes and notification of award communications must all be captured on the Shire's electronic records system. A record is to be maintained for each quotation process made under each Panel to capture all communications between the Shire and Panel members

6. RECORD KEEPING

All Local Government purchasing activity, communications and transactions must be evidenced and retained as local government records in accordance with the *State Records Act 2000* and the Shire's Record Keeping Plan.

In addition, the Shire must consider and will include in each contract for the provision of works or services, the contractor's obligations for creating, maintaining and where necessary the transferral of records to the Shire relevant to the performance of the contract.

7. PURCHASING POLICY NON-COMPLIANCE

The Purchasing Policy is mandated under the *Local Government Act 1995* and Regulation 11A of the *Local Government (Functions and General) Regulations 1996* and therefore the policy forms part of the legislative framework in which the Local Government is required to conduct business.

Where legislative or policy compliance is not reasonably able to be achieved, records must evidence the rationale and decision making processes to substantiate the non-compliance.

Purchasing activities are subject to internal and external financial and performance audits, which examine compliance with legislative requirements and the Shire's policies and procedures.

If non-compliance with; legislation, this Purchasing Policy or the Code of Conduct, is identified it must be reported to the Chief Executive officer or the Manager Finance & Corporate Services.

A failure to comply with legislation or policy requirements, including compliance with the Code of Conduct when undertaking purchasing activities, may be subject to investigation, with findings to be considered in context of the responsible person's training, experience, seniority and reasonable expectations for performance of their role.

Where a breach is substantiated it may be treated as:

- (a) an opportunity for additional training to be provided;
- (b) a disciplinary matter, which may or may not be subject to reporting requirements under the *Public Sector Management Act 1994*; or
- (c) where the beach is also identified as potentially serious misconduct, the matter will be reported in accordance with the *Corruption, Crime and Misconduct Act 2003*.

ADDITIONAL EXPLANATORY NOTES:

(Note: all figures mentioned in this Policy are to be considered as GST Exclusive)

ADOPTED/REVIEWED/AMENDED (OTHER THAN ANNUAL REVIEW OF ALL PROCEDURES:

Adopted – Council Resolution:	10/01-9
Reviewed/Amended – Council Resolution:	21/03-10; 09/13-9; 05/15-23; 06/15-18; 03/17-32; 03/17-32; 11/15-14; 06/18-7; 07/18-10; 07/19-4; 05/20-15; 03/21-10; 08/22-04

CP-025 Regional Price Preference

POLICY NO	CP-025
POLICY	REGIONAL PRICE PREFERENCE
RESPONSIBLE OFFICER	CHIEF EXECUTIVE OFFICER
PREVIOUS POLICY No.	5.100
LEGISLATION	LOCAL GOVERNMENT (FUNCTION AND GENERAL) -REGULATIONS 1995 - PART 4A
RELEVANT DELEGATIONS	

OBJECTIVES:

In order to promote sub-regional development, the Shire of Chapman Valley may provide a price preference to regional suppliers (located within the stipulated areas) when evaluating and awarding contracts with the Shire via the Tendering Process. Any price preference provided will comply with part 4A of the Local Government (Function and General) Regulations 1995 as amended.

POLICY STATEMENT/S:

- 1) Price preference may be given to all suppliers submitting conforming tenders for the supply of goods and services (including construction (building) services) to the Shire of Chapman Valley, unless Council resolves that this policy not apply to a particular tender.
- 2) The following price preference may be given to suppliers submitting tenders assessed in relation to this policy:
 - 2.1 Goods and Services – up to a maximum price reduction of \$50,000 unless a lesser amount is stipulated in the tender document.

Stipulated Area

10% to all suppliers located within the Shire of Chapman Valley.
5% to all suppliers located within the Mid-West Region.
 - 2.2 Construction (building) Services – up to a maximum price reduction of \$50,000 unless a lesser amount is stipulated in the tender document.

Stipulated Area

5% to all suppliers located within the Shire of Chapman Valley.
2.5% to all suppliers located within the Mid-West Region.
 - 2.3 Goods and Services, including Construction (Building) Services tendered for the first time where the Shire previously supplied the Goods or Services – up to a maximum price reduction of \$500,000 unless a lesser amount is stipulated in the tender document.

Stipulated Area

10% to all suppliers located within the Shire of Chapman Valley.
5% to all suppliers located within the Mid-West Region.
- 3) Regional Price Preference will only be given to suppliers located within the stipulated areas for more than 6 months prior to advertising date of the tender.

Located within the area stipulated is defined as a supplier having a physical presence in the way of a shop, depot, outlet, headquarters or other premises where the goods or services specifically being provided are supplied from. This does not exclude suppliers whose registered business is located outside the stipulated area. An example is franchisee of a multinational company.

- 4) Only those goods and services identified in the tender, as being from a source located within the stipulated area may have the price preference applied when assessing the tender.
- 5) Price is only one factor the Shire considers when evaluating a tender. There is nothing contained within this policy which compels the Shire to accept the lowest tender or any tender based on price offered.
- 6) The Chief Executive Officer may impose this policy upon other purchases undertaken under delegated authority if considered appropriate (i.e. not necessarily subject to the Tender Process).

ADDITIONAL EXPLANATORY NOTES:

ADOPTED/REVIEWED/AMENDED (OTHER THAN ANNUAL REVIEW OF ALL PROCEDURES:

Adopted – Council Resolution:	10/02-14
Reviewed/Amended – Council Resolution:	05/15-23; 06/15-18; 03/17-32; 03/17-32

CP-032 Financial Hardship Policy

POLICY NO	CP-032
POLICY	FINANCIAL HARDSHIP POLICY
RESPONSIBLE OFFICER	CHIEF EXECUTIVE OFFICER
PREVIOUS POLICY No.	N/A
LEGISLATION	LOCAL GOVERNMENT (FINANCIAL MANAGEMENT) REGULATIONS
RELEVANT DELEGATIONS	

OBJECTIVES:

This policy states the Council's position on allowing flexibility for payments on overdue debtor, and rates and service charges where extreme financial hardship is recognised, and outlines the scope and criteria for assessing applications of financial hardship.

POLICY STATEMENT/S:

Council recognises that there are cases of genuine financial hardship where additional charges would cause the debtor or ratepayer further financial hardship. This policy establishes guidelines to ensure all applicants are treated with respect, equality and confidentiality.

Definitions

'debtor' means any person who owes money to the Shire, including persons owing rates and service charges.

'Payment difficulties, or short term financial hardship' means where a change in a debtors circumstances result in an inability to pay a debt.

'financial hardship' occurs where:

- a) a natural person who is identified by themselves, by the Shire, or an accredited financial counsellor, or by a welfare agency as having the intention, but not the financial capability, to make required payments in accordance with the Shire's payment terms.
- b) a body corporate is experiencing financial hardship if it has:
 - i. a significant decline in revenue such that it is no longer profitable; and
 - ii. no reserves to draw upon such that payment to the Shire would require an increase in the businesses debt.

'residential ratepayer' means a person who is liable to pay a rate or service charge to the Shire on the basis that the land is used for residential purposes.

'small business' has the meaning given in the Small Business Development Corporation Act 1983.

'small business ratepayer' means a person who is liable to pay a rate or service charge to the Shire on land used by the person for the purpose of carrying out a small business owned or operated by the person.

Financial Hardship Examples

While evidence of hardship will be required, the Shire recognises that not all circumstances are alike. A flexible approach will be taken to a range of individual circumstances including, but not limited to, the following situations:

- Loss of a ratepayer's/debtor's (or their family member's) primary income;
- Sudden bereavement within a family;
- Severe/life threatening illness or medical condition;
- Physical or mental health problems;
- Domestic or family violence;
- A chronically ill child.

Conditions

Ratepayers and debtors are encouraged to provide any information about their individual circumstances that may be relevant for assessment. This may include demonstrating a capacity to make some payment and, where possible, entering into a payment proposal. The Shire will consider all circumstances, applying the principles of fairness, integrity and confidentiality whilst complying our statutory responsibilities. Documentation for assessment can include the following:

- A letter from a recognised financial counsellor (i.e. must be a member of a financial counselling association, for example Financial Counsellors' Association of WA (FCAWA) or financial planner confirming financial hardship or a Statutory Declaration from a ratepayer or debtor outlining reasons for applying for hardship;
- Copy of recent bank statements of all bank accounts;
- Any related Centrelink documentation (if applicable);
- A repayment proposal;
- Ratepayer or debtor is not a corporate or trustee;
- Ratepayer or debtor is not bankrupt or subject to a bankruptcy petition.

Debt Recovery

We will suspend our debt recovery processes whilst negotiating a suitable payment arrangement with a debtor. Where a debtor is unable to make payments in accordance with the agreed payment plan and the debtor advises us and makes an alternative plan before defaulting on the third due payment, we will continue suspension of debt recovery processes. The debt will need to be fully repaid by the end of the subsequent financial year of the debt repayment arrangement commencing, e.g. debt arrangement in place 2023/24 must be fully repaid by 30 June 2025.

Payment Arrangements

Payment arrangements facilitated in accordance with Section 6.49 of the Local Government Act 1995 will be of an agreed frequency and amount. These arrangements will consider the following:

- That a ratepayer or debtor has made genuine effort to meet rate and service charge obligations in the past;
- The payment arrangement will establish a known end date that is realistic and achievable;
- The ratepayer or debtor will be responsible for informing the Shire of Chapman Valley of any change in circumstance that affects the agreed payment schedule.
- The need to have the debt fully repaid by the end of the subsequent financial year.

In the case of severe financial hardship, the Shire reserves the right to consider waiving additional charges or interest (excluding the late payment interest applicable to the Emergency Services Levy).

Interest Charges

A ratepayer or debtor who meets the Financial Hardship Criteria and enters into a payment arrangement may request a suspension or waiver of interest charges. Applications will be assessed on a case-by case basis.

Deferment of Rates

Deferment of rates may apply for ratepayers who have a Pensioner Card, State Concession Card or Seniors Card and Commonwealth Seniors Health Care Card registered on their property. The deferred rates balance:

- remains as a debt on the property until paid;

- becomes payable in full upon the passing of the pensioner or if the property is sold or if the pensioner ceases to reside in the property;
- may be paid at any time, BUT the concession will not apply when the rates debt is subsequently paid (deferral forfeits the right to any concession entitlement); and
- does not incur penalty interest charges.

Communication and Confidentiality

We will maintain confidential communications at all times and undertake to communicate with a nominated support person or other third party at your request. We will advise ratepayers of this policy and its application, when communicating in any format (i.e. verbal or written) with a ratepayer that has an outstanding rates or service charge debt. We recognise that applicants for hardship consideration are experiencing additional stressors, and may have complex needs. We will provide additional time to respond to communication and will communicate in alternative formats where appropriate. We will ensure all communication with applicants is clear and respectful.

Review

The Shire will establish a mechanism for review of decisions made under this policy, and advise the applicant of their right to seek review and the procedure to be followed.

Conflict of Interest

Where the ratepayer or debtor has a close relationship with any staff member, or Councillor, that staff member or Councillor must remove themselves from any decision-making process.

ADDITIONAL EXPLANATORY NOTES:

Local government collection of overdue rates for people in situations of vulnerability: Good Practice Guide – Ombudsman Western Australia.

ADOPTED/REVIEWED/AMENDED (OTHER THAN ANNUAL REVIEW OF ALL PROCEDURES:

Adopted – Council Resolution:	2024/05-13
Reviewed/Amended – Council Resolution:	N/A

Procedures

MANAGEMENT PROCEDURE NO	CMP-006
MANAGEMENT PROCEDURE	USE OF ELECTRONIC SIGNATURE
RESPONSIBLE OFFICER	CHIEF EXECUTIVE OFFICER
PREVIOUS POLICY No.	NIL
RELEVANT DELEGATIONS	NIL

CMP-006 Use of Electronic Signature

OBJECTIVE

This Procedure establishes principles and processes for electronic signature (e-signature) implementation, application and management, whilst also recognising the requirements of Section 9.49A of the Local Government Act, 1995 and the State Records Act, 2000.

MANAGEMENT PROCEDURE STATEMENT/S:

Definitions:

Electronic Signatures (or e-signature) - A technology allowing a person to electronically affix a signature or its equivalent to an electronic document, i.e. may be text on an email or a scanned signature.

Digital Signatures - An encrypted digital code appended to an electronic message or document to verify it was created by a known sender (authentication) the sender cannot deny having sent the message (non-repudiation), and that the message was not altered in transit (integrity).

Approved use

E-Signatures CAN be used for once off/ low volume / low risk transactions as below:

Correspondence compiled to manage the day-to day administration relating to operational matters within the officer's area of responsibility;

Technical correspondence, standard and form letters relating to operational matters within the officer's area of responsibility.

Building and Planning applications and approvals;

Local Law permits / licenses – applications and approvals;

Supplier contracts;

Employment contracts, employee appointments and information acceptance records;

Elected Member declarations and reimbursement claims;

Employee declarations;

Certificates of Authorisation;

E-Signatures CANNOT be used for legal documents or high-risk transactions such as:

Common Seal – Local Laws, Local Planning Schemes, Land Transfer Forms

Legal Agreements – Deeds, Leases, Memorandums of Understanding

Giving Notices – Local Government Act - s.3.25 Notices, Impounding Notices, and Cat Act, Dog Act, etc.

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Infringement Notices

The CEO only will determine if a document can or cannot be endorsed by way of an e-signature

PROCESS TO BE FOLLOWED

The person from whom the signature is required must consent to the use of the electronic signature method (the 'consent requirement').

Method of signing must evidence signor's identity (digital signature) and their approval of the document's content (the 'reliability requirement') either in the transaction metadata or in the document itself.

Method of signing must be as reliable and secure as is appropriate for the purposes for which the electronic document was generated.

If approval is given the officer authorised by the author is to insert the electronic signature to the document.

When printing is complete the officer authorised by the author must delete all copies of the e-signature and the copy inserted into the document.

On registering the document, the officer authorised by the author is to attach a note providing evidence of authority from the author to use the e-signature.

ADDITIONAL EXPLANATORY

The CEO or most senior officer available must be consulted if an officer is not completely sure which signatory method is to be used on a specific document.

ADOPTED/REVIEWED/AMENDED (OTHER

Adopted – Council Resolution:	07/18-10
Reviewed/Amended – Council Resolution:	03/21-10

CMP-007 Related Party Disclosure

MANAGEMENT PROCEDURE No.	CMP-007
MANAGEMENT PROCEDURE	RELATED PARTY DISCLOSURE
RESPONSIBLE OFFICER	MANAGER FINANCE & CORPORATE SERVICES
PREVIOUS PROCEDURE No.	NA
RELEVANT DELEGATIONS	NIL

OBJECTIVES:

The Shire must disclose certain related party relationships and related party transactions together with information associated with those transactions in its general purpose financial statements, to comply with Australian Accounting Standard AASB 124 Related Party Disclosures.

The objective of the Standard is to ensure an entity's financial statements contain disclosures necessary to draw attention to the possibility its financial position and profit or loss may have been affected by the existence of related parties and transactions.

The disclosure requirements apply to the existence of relationships regardless of whether a transaction has occurred or not. For each financial year, the Shire must make an informed judgement as to who is a related party and what transactions need to be considered, when determining if disclosure is required.

MANAGEMENT PROCEDURE STATEMENT/S:

The following definitions will apply to this procedure:

<i>Act</i>	Local Government Act 1995
<i>AASB 124</i>	The Australian Accounting Standards Board, Related Party Disclosures Standard
<i>Arm's length terms</i>	Terms between parties which are reasonable in the circumstances of the transaction which would result from: neither party bearing the other any special duty or obligation; and the parties being unrelated and uninfluenced by the other, and each party having acted in its own interest
<i>Associate</i>	In relation to an entity (the first entity), an entity over which the first entity has significant influence.
<i>Close family members of Key Management Personnel (KMP)</i>	Those family members who may be expected to influence, or be influenced by, a KMP in their dealings with the Shire e.g. <ul style="list-style-type: none">• the KMP's children, and spouse or domestic partner;• the KMP's parents or step-parents;• children of the KMP's spouse or domestic partner; and• dependants of the KMP or the KMP's spouse or domestic partner.
<i>Control</i>	The ability to direct the business' activities of an entity through rights or exposure to returns from its involvement with the entity.
<i>Entity</i>	Can include a body corporate, a partnership or a trust, incorporated association, or unincorporated group or body.

<i>Financial Benefit</i>	<p>A financial benefit includes giving a financial benefit indirectly through an interposed entity, making an informal, oral or non-binding agreement to give the benefit, and giving a benefit which does not involve paying money.</p> <p>Examples (not limited) of “giving a financial benefit” to a Related Party include the following: Giving or providing the Related Party finance or property. Buying an asset from or selling an asset to the Related Party. Leasing an asset from or to the Related Party. Supplying services to or receiving services from the Related Party. Issuing securities or granting an option to the Related Party. Taking up or releasing an obligation of the Related Party.</p>
<i>Joint Control</i>	The contractually agreed sharing of control of an arrangement, which exists only when decisions about the relevant activities require the unanimous consent of the parties sharing control.
<i>Joint Venture</i>	An arrangement of which 2 or more parties have joint control and have right to the net assets of the arrangement.
<i>Key Management Personnel or Key Management Person or KMP</i>	<p>Person(s) having authority and responsibility for planning, directing and controlling the activities of the Shire. Specifically, key management personnel of the Shire are:</p> <p>the shire president; councillors; the chief executive officer; Senior Managers with delegated authority</p>
<i>KMP Compensation</i>	All forms of consideration paid, payable, or provided in exchange for services provided.
<i>Material (materiality)</i>	The assessment of whether the transaction, either individually or in aggregate with other transactions, by omitting it or misstating it could influence decisions users make on the basis an entity's financial statements. For this procedure, it is not considered appropriate to set either a dollar value or a percentage value to determine materiality.
<i>Ordinary Citizen Transaction</i>	<p>Transactions an ordinary citizen would undertake with the Shire, which is undertaken on arm's length terms and in the ordinary course of carrying out Shire's functions and activities. Examples of ordinary citizen transactions assessed to be not material in nature are: paying rates and utility charges; Fines using Shire's public facilities after paying the corresponding fees/charges Attending Shire functions which are open to the public.</p>

<i>Related Party</i>	<p>A person or entity which is related to the Shire pursuant to the definition contained in the AASB 124.</p> <p>Examples of related parties of the Shire are: Shires' subsidiaries; key management personnel; close family members of key management personnel; entities controlled or jointly controlled by key management personnel or their close family members</p>
<i>Related Party Transactions</i>	<p>A transfer of resources, services or obligations between the Shire and a related party, regardless of whether a price is charged.</p> <p>Examples of related party transactions are: purchases or sales of goods; purchases or sales of property and other assets; rendering or receiving of services; rendering or receiving of goods; leases; transfers under licence agreements; transfers under finance arrangements (example, loans); provision of guarantees (given or received); commitments to do something if an event occurs or does not occur in the future; settlement of liabilities on behalf of Council or by the Shire on behalf of a related party.</p>
<i>Significant</i>	<p>Likely to influence the decisions users of the Shire's financial statements make having regard to both the extent (value and frequency) of the transactions, and the transactions have occurred between the Shire and related party outside a public service provider/ taxpayer relationship.</p>

The purpose of this procedure is to stipulate the information to be requested from related parties to enable an informed judgement to be made.

Identification of Related Parties

AASB 124 provides the Shire will be required to disclose in its Annual Financial reports, related party relationships, transactions and outstanding balances.

A related party is a person or entity to the entity preparing the financial statements. Related parties include a person who has significant influence over the reporting entity, a member of the Key Management Personnel (KMP) of the entity, or a close family member of the person who may be expected to influence the person.

KMPs are defined as persons having authority and responsibility for planning, directing and controlling the activities of the entity, directly or indirectly.

For the purposes of determining the application of the standard, the Shire has identified the following persons as meeting the definition of *Related Party*.

An Elected Council Member

Key Management Personnel (KMP) being a person employed under section 5.36 of the *Local Government Act 1995* in the capacity of Chief Executive Officer, Deputy CEO or Senior Staff with delegated authority.

Close members of the family or any person listed above, including the person's child, spouse or domestic partner, children of a spouse or domestic partner, dependents of the person or person's spouse or domestic partner.

Entities which are controlled or jointly controlled by a Council member, KMP or their close family members.

(Entities include companies, trusts, joint ventures, partnerships and non-profit associations such as sporting clubs).

The Shire will therefore be required to assess all transactions made with these persons or entities.

Identification of Related Party Transactions

A related party transaction is a transfer of resources services or obligations between the Shire (reporting entity) and the related party, regardless of whether a price is charged.

For the purposes of determining whether a related party transaction has occurred, the following transactions or provisions of services have been identified as meeting this criterion:

Ordinary Citizen Transactions	Related Party Transactions
Paying rates	Employee compensation whether it is for KMP or close family members of KMP
Fines	Application fees paid to the Shire for licenses, approvals or permits
Use of Shire owned facilities such as Recreation Centre, Civic Centre, library, parks, ovals and other public open spaces under the same terms, conditions and charges placed on the public for such use.	Lease agreements for housing rental (whether for a Shire owned property or property sub-leased by the Shire through a Real Estate Agent)
Attending council/shire functions which are open to the public	Lease agreements for commercial properties
	Monetary and non-monetary transactions between the Shire and any business or associated entity owned or controlled by the related party (including family) in exchange for goods and/or services provided by/to the Shire (trading arrangement).
	Sale or purchase of any property owned by the Shire, to a person identified above.
	Sale or purchase of any property owned by a person identified above, to the Shire
	Loan Arrangements
	Contracts and agreements for construction, materials, goods, consultancy or services

Some of the transactions listed above, occur on terms and conditions no different to those applying to the public and have been provided during delivering public service objectives. These transactions are those an ordinary citizen would undertake with council or the shire and are referred to as an Ordinary Citizen Transaction (OCT). Where the Shire can determine an OCT was provided at arm's length, and in similar terms and conditions to other members of the public and the nature of the transaction is immaterial, no disclosure in the annual financial report will be required.

Where any of the services OCTs were not provided at arm's length and under the same terms and conditions applying to the public, Council Elected Members and KMPs will be required to make a declaration in the Related Party Disclosures - Declaration form about the nature of any discount or special terms received.

All transactions which do not meet the criteria of arm's length transactions, Council Elected Members and KMPs (as identified above) will be required to complete a Related Party Disclosures - Declaration form.

Frequency of disclosures

Related Party Transactions Notification (RPT Notifications) - KMP must provide a RPT Notification, notifying any existing or potential related party transactions between Council or the shire and either themselves, their close family members or entities controlled or jointly controlled by them or any of their close family members, to the Chief Executive Officer no later than the 30 June each year.

Additional RPT Notifications - Also, during a financial year, if a KMP knows of:
any new or potential related party transaction which is required or likely to be required to be disclosed in the Shire's financial statements; or
any change to a previously notified related party transaction (including a change to a related party relationship),

the KMP must provide additional RPT Notifications notifying of the new or potential related party transactions or changes, by no later than 30 days after the KMP knows of the transaction or change.

Confidentiality

All information contained in a disclosure return, will be treated in confidence. Generally, related party disclosures in the annual financial reports are reported in aggregate and as such, individuals are not specifically identified. Notwithstanding, management is required to exercise judgement in determining the level of detail to be disclosed based on the nature of a transaction or collective transactions and materiality. Individuals may be specifically identified, if the disclosure requirements of AASB 124 so demands.

Materiality

Management will apply professional judgement to assess the materiality of transactions disclosed by related parties and their subsequent inclusion in the financial statements.

In assessing materiality, management will consider both the size and nature of the transaction, individually and collectively.

ADDITIONAL EXPLANATORY NOTES:

AASB 124 Related Party Disclosures
Local Government Act 1995
Local Government (Financial Management) Regulations 1996
Associated Policies/Procedures
Related Party Disclosures - Declaration form

ADOPTED/REVIEWED/AMENDED (OTHER THAN ANNUAL REVIEW OF ALL PROCEDURES:

Adopted – Council Resolution:	07/18-10
Reviewed/Amended – Council Resolution:	

CMP-018 Revenue Reimbursement/Credits

MANAGEMENT PROCEDURE No.	CMP-018
MANAGEMENT PROCEDURE	REVENUE REIMBURSEMENT/CREDITS
RESPONSIBLE OFFICER	CHIEF EXECUTIVE OFFICER
PREVIOUS POLICY No.	N/A
RELEVANT DELEGATIONS	NIL

OBJECTIVES:

To determine how surplus revenue/credits paid to the Shire are dealt with.

MANAGEMENT PROCEDURE STATEMENT:

1. In the event the Shire receives revenue reimbursements or credits (e.g. annual insurance premium surplus reimbursement) the Chief Executive Officer (at his/her discretion) is to place the revenue into the appropriate area(s) of the relevant Fund.
2. Any additional revenue reimbursements or credits above the materiality threshold (as determined by the Shire's Significant Accounting Policy) are to be included as part of the overall annual budget review process required to be undertaken by the end of March each financial year.
3. All other additional revenue reimbursements or credit items will simply be absorbed into the overall budget operations and included in the financial statements.

The Chief Executive Officer, at his/her discretion, may bring any specific item of revenue or expenditure budget line item(s) to Council for determination at any time of the year and not necessarily wait until the statutory annual budget review process

ADDITIONAL EXPLANATORY NOTES:

ADOPTED/REVIEWED/AMENDED (OTHER THAN ANNUAL REVIEW OF ALL PROCEDURES:

Adopted – Council Resolution:	11/19-11
Reviewed/Amended – Council Resolution:	

CMP-021 Corporate Transaction Cards

MANAGEMENT PROCEDURE No.	CMP-021
MANAGEMENT PROCEDURE	CORPORATE TRANSACTION CARDS
RESPONSIBLE OFFICER	MANAGER FINANCE & CORPORATE SERVICES
PREVIOUS POLICY No.	5.120
RELEVANT DELEGATIONS	3004

OBJECTIVES:

The purpose of this policy is to ensure effective controls, policies and procedures are in place with respect to use of Corporate Transaction Cards.

The objective of this policy is to:

- Fulfil all statutory requirements of the Local Government Act with respect to the use of Corporate Transaction Cards.
- Adopt best practice in developing a clear and comprehensive policy on the use of Corporate Transaction Cards.
- Reduce the risk of fraud and misuse of the corporate transaction card. All cardholders must have the authority of the Chief Executive Officer to commit Council to expenditure.

MANAGEMENT PROCEDURE STATEMENT:

1. Definitions

Cardholder means an employee who has been authorised by the Chief Executive Officer to incur expenditure by means of a transaction card.

Transaction Card means a card facility (which may include; credit, debit, store, parking, cab-charge and fuel cards) approved for use in lieu of cash transactions, to incur expenditure for goods and services for the purposes of the Shire of Chapman Valley business activities only in accordance with relevant Shire policies.

The Shire of Chapman Valley will hold two (2) Credit Cards, the custodians for which shall be:

Chief Executive Officer	Monthly Limit	\$6,000
Deputy Chief Executive Officer	Monthly Limit	\$4,000

The Shire of Chapman Valley will hold two (2) Store Cards, the custodians for which shall be:

Bunnings	Projects Officer	Monthly Limit	\$15,000
IGA Glenfield	Manager Finance & Corporate Services	Monthly Limit	\$500

2. Determining When Transaction Card Facilities are Appropriate

- a) Transaction Card facilities may be implemented and maintained where the card facility provides benefit to the Shire of Chapman Valley operations by ensuring –
 - i. goods and services can be obtained in a timely and efficient manner to meet the business needs of the Shire;
 - ii. financial management and accounting standards are met; and
 - iii. purchasing and payment functions are secure, efficient and effective.

- b) Transaction card facility providers will only be acceptable where, in the opinion of the Chief Executive Officer, they –
 - i. provide appropriate and sufficient statement, administration and acquittal controls that enable the Shire to sufficiently administer the facility; and
 - ii. provide the Shire with protection and indemnification from fraudulent unauthorised transactions.

3. Management Oversight

The Chief Executive Officer shall determine and implement systems and procedures that are adequate to ensure –

- a) assessment and selection of transaction card facilities suitable to the efficient and effective operations of the Shire;
- b) authorisation and appointment of suitably eligible cardholders;
- c) cardholder duties and responsibilities are documented; and
- d) cardholders provided with training; and
- e) monitoring and auditing of transactional card activities is planned and reported.

4. Reporting

The Chief Executive Officer will ensure that acquitted transaction statements for each transaction card facility are provided to Council as part of the monthly financial reporting regime.

5. Misuse, Misconduct and Fraudulent Use

- a) Any alleged misuse of transaction cards will be investigated, and may be subject to disciplinary procedures.
- b) Where there is reasonable suspicion of misconduct or fraudulent activity arising from transaction card facilities the matter will be reported to the appropriate regulatory agency, subject to the requirements of the *Public Sector Management Act 1994* and the *Corruption, Crime and Misconduct Act 2003*.

6. Principles for usage – Allowable transactions

- a. Transaction card facilities may only be used where –
 - i. the expenditure is directly arising from a Shire operational business activity for which there is an Annual Budget provision;
 - ii. the expenditure is in accordance with legislation, the Shire Purchasing Policy, Code of Conduct for Employees and any conditions or limitations applicable to the individual Cardholder.
 - iii. the procurement of the required goods or services is impractical or inefficient if undertaken via a purchase order or is not able to be obtained other than by a transaction card;
 - iv. supplier surcharges (fees) on transactions are minimised and only allowable where the alternative method of obtaining the supply (i.e. by purchase order) is more onerous, not cost effective or there is no alternative mode of supply.
 - v. hospitality expenditure may only occur when it is in accordance with any Shire Hospitality Policy or is undertaken with the express permission of the Chief Executive Officer.
 - vi. official travel, accommodation and related expenses may only occur in accordance with Shire policies and procedures;
 - vii. a sufficient record of each transaction is obtained and retained in the local government record.

- b) Allowable transaction modes include –
 - i. in-person and over the counter retail purchases;
 - ii. telephone or facsimile purchasing;
 - iii. mail order purchasing and subscriptions;
 - iv. internet purchasing.

7. Principles for usage – Prohibited transactions

- a. The Shire prohibits the use of transaction card facilities for –
 - i. cash advances;
 - ii. incurring expenses which are personal or private (i.e. any expenditure which is not an approved local government activity);
 - iii. making deposits onto the card, whether to offset misuse or otherwise;
 - iv. incurring capital expenditure;
 - v. incurring expenditure for goods or services which are subject to a current supplier contract;
 - vi. incurring expenses which are not in accordance with legislation, the Shire's Purchasing Policy, the Annual Budget and / or the conditions or limitations relevant to the individual cardholder;
 - vii. Apart from approved credit cards, expenses cannot be incurred for which another transaction card is the approved facility;
 - viii. splitting expenditure to avoid compliance with the Purchasing Policy or to negate limits or conditions applicable to the Cardholder; and
 - ix. incurring expenses for the primary purpose of obtaining personal advantage through the transaction (i.e. membership or loyalty rewards).
- b. For clarity, elected members are prohibited from using Shire transaction cards as the *Local Government Act 1995* does not provide authority for an elected member to incur liabilities on behalf of the local government. The Act limits local governments to only paying elected member allowances and reimbursing elected member expenses.

8. Cardholder duty of care and responsible use obligations

- a. A cardholder is required to –
 - i. keep the transaction card and access information in a safe manner; protected from improper use or loss.
 - ii. only use the transaction card for allowable purposes and not for prohibited purposes.
 - iii. obtain, create and retain local government records that evidence transactions.
 - iv. acquit the reconciliation of transaction card usage in the required format and within required timeframes. The onus is on the cardholder to provide sufficient detail for each transaction to avoid any potential perception that a transaction may be of a personal nature.
 - v. return the transaction card to the Shire before termination of employment, inclusive of reconciliation records.
 - vi. reimburse the Shire the full value of any unauthorised, prohibited or insufficiently reconciled expenditure.
 - vii. Comply with all cardholder responsibilities as outlined by the card provider.
- b. Benefits obtained through use of a transaction card (i.e. membership or loyalty rewards) are the property of the Shire and may only be used for Shire business purposes. Such benefits must be relinquished by the cardholder to the Shire. Under no circumstances may such benefits be retained as a personal benefit.

9. Transaction evidence

- a. A sufficient transaction record must include the following minimum information –
 - i. invoice and / or receipt that includes; the date, company name, address, ABN, amount and any GST amount included;
 - ii. where an invoice and / or receipt cannot be obtained, the cardholder must provide a signed statement, detailing the nature of the expense and sufficient information to satisfy the requirements of subclause (i) above.
 - iii. approval of the expense in (ii) above is to be referred to the Chief Executive Officer for a decision.
- b. Where a transaction card is used to incur an expense for hospitality, the transaction record must include for the purposes of Fringe Benefits Tax calculations and probity –
 - i. the number of persons entertained;
 - ii. the names of any employees in that number; and
 - iii. the purpose of providing the entertainment or hospitality.

10. Card Reconciliation Procedures

- a) Card statement accounts will be issued to the relevant cardholder who will, within 7 days, acquit the transactions on the account.
- b) Transactions will be supported by a GST invoice stating the type of goods purchased, amount of goods purchased and the price paid for the goods. The receipt shall meet the requirements of the *Goods and Services Tax Act 1999* to enable a GST rebate to be applied.
- c) Transactions shall be accompanied by a job number for costing purposes.
- d) Should approval of expenses be refused by the Chief Executive Officer recovery of the expense shall be met by the cardholder.
- e) The cardholder shall sign and date the card statement with supporting documentation attached stating all expenditure is of a business nature.

11. Disputed Transactions

- a) The Shire is responsible for paying all accounts on the monthly card statement and the bank processes a direct debit from Council's operating bank account for such.
- b) When a Cardholder believes that charges are incorrect they should first contact the supplier to determine the causes of the discrepancy and if necessary the Creditors Officer will notify the bank in writing.
- c) Any amounts in dispute must be highlighted on the copy of the Cardholders statement and a copy of the written notification to the bank attached.

12. Cancelled Cards

Cancellation of a Card may be necessary where the –

- a) cardholder changes job function within the local government;
- b) cardholder terminates employment with local government;
- c) the employment of the Cardholder is terminated;
- d) card is no longer required;

- e) cardholder has not adhered to set procedures;
- f) misuse of the Card; or
- g) other sufficient reason in the opinion of the CEO.

13. Review of Card Use

All receipts and documentation will be reviewed and any expenses that do not appear to represent fair and reasonable business expenses shall be referred to the Chief Executive Officer for a decision.

14. Procedures for Lost, Stolen and Damaged Cards

- a) The cardholder must formally advise the Executive Manager Corporate & Community Services of the loss or theft without delay.
- b) The loss or theft of a transaction card must be reported to the card provider as a matter of priority.
- c) Advice of a damaged card is to be provided to the Executive Manager Corporate & Community Services who will arrange a replacement.

15. Additional Cardholders

- a) The Chief Executive Officer is the primary cardholder for the Shire and may authorise additional cardholders within the Shire's approved total credit limit.
- b) Individual transaction card limits are as approved by the CEO.

16. Cardholder Agreement

- a) The Cardholder Agreement is as determined by the CEO.
- b) Failure to comply with any of these requirements could result in the card being withdrawn from the employee.
- c) In the event of loss or theft through negligence or failure to comply with the Shire of Chapman Valley Card Policy any liability arising may be passed on to the cardholder.

17. Consequences of Non-Compliance

Failure to comply with the Delegations, Policy or Executive Instructions may result in disciplinary action up to and including termination of employment.

ADDITIONAL EXPLANATORY NOTES:

Local Government Act 1995 –

s.6.5(a) – Chief Executive Officer duty to ensure that proper accounts and records of the transactions and affairs are kept in accordance with regulations.

Local Government (Financial Management) Regulations 1996 –

r.5, the Chief Executive Officer's duties to ensure efficient systems and procedures are established for the proper authorisation of incurring of liabilities and the making of payments.

r.11(1)(a) and (2) – requirement to develop procedures that ensure effective security for the authorisation and payment of accounts and for the authorised use of payment methods, including transaction cards.

ADOPTED/REVIEWED/AMENDED (OTHER THAN ANNUAL REVIEW OF ALL PROCEDURES:

Adopted – Council Resolution:	11/05-4
Reviewed/Amended – Council Resolution:	05/15-23; 06/15-18; 03/17-32; 07/18-10; 07/19-4, 2024/05-13

CMP-045 Staff Payment of Expenses

MANAGEMENT PROCEDURE No.	CMP-045
MANAGEMENT PROCEDURE	STAFF PAYMENT OF EXPENSES
RESPONSIBLE OFFICER	CHIEF EXECUTIVE OFFICER
PREVIOUS POLICY No.	14.60
RELEVANT DELEGATIONS	

OBJECTIVES:

To determine expenses paid to staff to attend various conferences, training, events, etc.

MANAGEMENT PROCEDURE STATEMENT/S:

Where a Member of Staff is required to travel on approved Shire business, the Shire shall pay travelling, meals and accommodation costs of the Staff Member only.

Travelling costs shall be -

- In the case of travel by motor vehicle, travel shall be in a Shire vehicle unless agreed between the Chief Executive Officer and the staff member.
- A condition of agreement will be that in the absence of the above the following applies: -
 - ~ In the case of travel by motor vehicle (other than Shire owned), travelling expenses will be in accordance with the relevant Award rates.
- All other expenses to be authorised by the Chief Executive Officer.
- Any additional cost associated with a Staff Members partner and/or family must be fully covered by the Staff Member and not the Shire.

ADDITIONAL EXPLANATORY NOTES:

ADOPTED/REVIEWED/AMENDED (OTHER THAN ANNUAL REVIEW OF ALL PROCEDURES:

Adopted – Council Resolution:	10/01-9
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Reviewed/Amended – Council Resolution:	05/15-23; 06/15-18; 03/17-32, 03/20-13; 03/21-10
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CMP-046 Relocation Expenses

MANAGEMENT PROCEDURE No.	CMP-046
MANAGEMENT PROCEDURE	RELOCATION EXPENSES
RESPONSIBLE OFFICER	CHIEF EXECUTIVE OFFICER
PREVIOUS POLICY No.	14.70
RELEVANT DELEGATIONS	

OBJECTIVES:

To set staff relocation expense levels and conditions.

MANAGEMENT PROCEDURE STATEMENT/S:

The successful applicant will be eligible for relocation expenses, negotiable to \$5,000 or as otherwise determined by the Chief Executive Officer.

Should the employee resign or employment is terminated within 12 months, 50% is repayable to the Shire or as otherwise determined by the Chief Executive Officer.

ADDITIONAL EXPLANATORY NOTES:

The Chief Executive Officer, as the authority for the appointment and termination of staff, is able to determine the need for flexibility in each relocation event under the restriction of staying within the annual overall budget constraints for this expenditure.

ADOPTED/REVIEWED/AMENDED (OTHER THAN ANNUAL REVIEW OF ALL PROCEDURES:

Adopted – Council Resolution:	10/01-9
Reviewed/Amended – Council Resolution:	05/15-23; 06/15-18; 03/17-32; 03/21-10

CMP-047 Superannuation

MANAGEMENT PROCEDURE No.	CMP-047
MANAGEMENT PROCEDURE	SUPERANNUATION
RESPONSIBLE OFFICER	MANAGER FINANCE & CORPORATE SERVICES
PREVIOUS POLICY No.	14.90
RELEVANT DELEGATIONS	

OBJECTIVES:

To set levels of Superannuation payment to staff, whilst ensuring all legislative conditions are adhered to for such payments.

MANAGEMENT PROCEDURE STATEMENT/S:

Non- Contract Employees - The Shire will make superannuation guarantee (SG) contributions based on legislation of the Employee's base wage/salary, to the Local Government Superannuation Plan on behalf of the employee. (known as AWARE Super)

Providing the Employee makes voluntary contributions of at least 5% of their base wage/salary, the Shire will provide an additional superannuation contribution of 3%, of the Employee's base wage/salary.

Contract Employees - As determined by the Employee Contract

Salary Sacrifice Arrangements and Variation of Cash Component

All Employees - As long as the Officer advises the Chief Executive Officer in writing that the remaining cash component is adequate for the Officer's ongoing living expenses, the Officer may, at the Officer's request, receive future payment of a portion of the cash component in such manner as suits the Officer's personal circumstances. The method of payment must comply with all relevant State and Commonwealth laws and any liability with respect to the taxation implications including, without limitation, fringe benefits tax, shall be borne by the Local Government and reimbursed by the Officer. In this regard the Local Government may deduct such amounts from any outstanding sum due from the Local Government to the Officer.

ADDITIONAL EXPLANATORY NOTES:

ADOPTED/REVIEWED/AMENDED (OTHER THAN ANNUAL REVIEW OF ALL PROCEDURES:

Adopted – Council Resolution:	10/09-1
Reviewed/Amended – Council Resolution:	05/15-23; 06/15-18; 03/17-32; 03/21-10; 2024/04-8

CMP-050 Annual Wage Case Decisions

MANAGEMENT PROCEDURE No.	CMP-050
MANAGEMENT PROCEDURE	ANNUAL WAGE CASE DECISIONS
RESPONSIBLE OFFICER	CHIEF EXECUTIVE OFFICER
PREVIOUS POLICY No.	14.120
RELEVANT DELEGATIONS	

OBJECTIVES:

To stipulate how the annual wage case decision reviews are handed down to staff, irrespective of over-award payments already being made.

MANAGEMENT PROCEDURE STATEMENT:

All annual reviewed wage case decisions (Commonwealth or State) relevant to this Local Government Authority will be passed onto all staff, unless otherwise resolved by Council to absorb all or part of any increase into existing above Award payments in place as part of the annual budget adoption process.

ADDITIONAL EXPLANATORY NOTES:

Current relevant awards affecting local government include Local Government Officers (WA 2021); Municipal Employees (WA 2021)

ADOPTED/REVIEWED/AMENDED (OTHER THAN ANNUAL REVIEW OF ALL PROCEDURES:

Adopted – Council Resolution:	10/01-9
Reviewed/Amended – Council Resolution:	05/15-23; 06/15-18; 03/17-32; 07/19-4; 2023/07-3

CMP-064 Financial Assistance

MANAGEMENT PROCEDURE No.	CMP-064
MANAGEMENT PROCEDURE	FINANCIAL ASSISTANCE
RESPONSIBLE OFFICER	CHIEF EXECUTIVE OFFICER
PREVIOUS POLICY No.	NA
RELEVANT DELEGATIONS	3008

OBJECTIVES:

To set the categories, type and amount of Financial Assistance that shall be provided by the Shire to Community Organisations and individuals in the local community. To provide guidelines for the application, assessment and determination of requests received for financial assistance and to ensure expenditure of all funds are appropriately accounted for and reported on.

MANAGEMENT PROCEDURE STATEMENT/S:

This Procedure provides an overarching framework for the Shire of Chapman Valley to provide Financial Assistance to Community Organisations and individuals within our local Community to enhance community values and aspirations.

In determining the requests for Waiver of Fees and Charges under this Procedure, the approval is governed by the Delegation No 3008 Write Off Debts.

Delegation No 3008 Write Off debts

The exercise of powers and the discharge of duties under section 6.12 of the Local Government Act 1995 to waive or grant concessions (excluding rate concessions) and to write off debts not exceeding \$1000. In cases where the request for Fee Waivers exceed \$1,000 a report needs to be submitted to an Ordinary Council Meeting for Council's consideration and approval.

Strategy

- The Shire receives a number of requests throughout the year for financial assistance from Community Organisations and Individuals. A Procedure for the assessment of the applications ensures:
- Transparency and accountability to the Community;
- Fairness and equity to all applicants;
- Eligibility criteria is applied to each type of Financial Assistance;
- The amount of Financial Assistance available;
- Guidelines are in place to assist applicants in completion and lodgement of forms;
- Applications are assessed by a Delegated Officer;
- Effective reporting mechanisms and administrative procedures advise the Shire of the type and total value of financial assistance provided for the financial year.

Scope

- This Procedure applies to requests for financial assistance towards:
- An activity, event, competition, project or celebration;
- Programs with a charitable or community service oriented purposes;
- Disaster relief funds for humanitarian reasons;
- An organisation's development;
- Provision of services and maintenance of facilities within the Shire;
- The establishment of new facilities or improvements to existing facilities of a capital nature.

Each application for financial assistance is considered on its individual merits. The Shire of Chapman Valley reserves the right to determine eligibility for financial assistance based on information provided in the application.

Recipients of support will be asked to assess their performance in line with this Procedure and requirements set out in Shire Corporate Management Procedures CMP-065 Donations, CMP-066 Waiver of Fees & Charges, CMP-067 Community Growth Fund Grants and CMP 068 Self Supporting Loans.

Failure to satisfactorily complete the performance valuation requirements may disqualify recipients from future funding assistance from the Shire and or require the funds to be returned.

Implications

The implementation of this Procedure is supported by funds allocated through the Shire's annual budget of each financial year. The Shire has demonstrated a long-term commitment to the provision of financial assistance to eligible Community Organisations who operate as a not-for-profit organisation and individual Community members chosen to represent the shire.

Acquittal of Funding

Recipients of financial assistance for the categories of Community Development Grants, Shire Contributions and Interest Free Loans must complete an acquittal process, including provision of requested supporting information, within one (1) month of the completion of the projects, or by the date detailed in the guidelines.

Funding acquittal requirements applicable to the Financial Assistance category will be detailed in the category guidelines and may incorporate:

- A completed Acquittal Form (if applicable);
- Copies of all relevant invoices and receipts;
- Copies of promotional materials and/or other supporting information to show how the Shires funding was acknowledged.

Failure to fully complete and lodge the required acquittal will result in a demand for the return of the funds, and will result in ineligibility for future funding rounds. Until all existing grants or funds are acquitted the organisation is not eligible to apply for an additional grant or funding from the Shire.

An organisation that cannot demonstrate that funds have been expended in accordance with the purpose for which the funds were granted, will be required to return the funds to the Shire within six months of the proposed completion date, and will be subject to an ineligibility period for future grants if funds are judged to have been misused.

Table 1 Financial Assistance Categories

Please note that each category of financial assistance must meet specific eligibility criteria which are provided in the Guidelines accompanying the application form. Sponsorship, Community Enhancement Donation & Sponsorship allocated from account 0212, Community Growth Fund -Operational from account 3222 or as listed in budget profile text.

TYPE OF FINANCIAL ASSISTANCE	AMOUNT OF ASSISTANCE	DETERMINATION
Sponsorship	\$200 per School, Association or Club per annum	Chief Executive Officer

Community Enhancement Donation & Sponsorship	Maximum of \$5,000	Tier 1 – CEO (Delegation) Tier 2 – CEO (Delegation) Tier 3 – CEO with TEAG Tier 4 - Council
Waiver of Fees and Charges	A maximum of 50% of the applicable fees & charges	\$1,000 or less – Chief Executive Officer Over \$1,000 – Council
Community Growth Fund - Operational	As determined by CGF Guidelines	Committee Recommendation to Council for decision
Council Contribution	Council consideration	Council
Interest Free Loan	Maximum of \$20,000	Council
Self-Supporting Loans	Council consideration	Council

Dispute Resolution

All disputes in regard to this Procedure will be handled according to the Shire's Complaint Handling Procedures

Application

Responsibility for the implementation of this Procedure rests with the Chief Executive Officer. The Procedure is to be reviewed as part of Council periodical review of all Policies & Procedures.

LEGISLATION

LGA s5.42 Delegation of some powers and duties to CEO

A local government may delegate* to the CEO the exercise of any of its powers or the discharge of any of its duties under this Act other than those referred to in section 5.43

*Absolute majority required

A delegation under this section is to be in writing and may be general or as otherwise provided in the instrument of delegation

LGA s6.12 Power to defer, grant discounts, waive or write off debts

Subject to subsection (2) and any other written law, a local government may –

When adopting the annual budget, grant* a discount or other incentive for the early payment of any amount of money

Waive or grant concessions in relation to any amount of money; or

Write off any amount of money, which is owed to the local government.

	<p>*Absolute majority required</p> <p>Subsection (1) (a) and (b) do not apply to an amount of money owing in respect of rates and service charges</p> <p>The grant of a concession under subsection (1) (b) may be subject to any conditions determined by the local government</p> <p>Regulations may prescribe circumstances in which a local government is not to exercise a power under subsection (1) or regulate the exercise of that power</p>
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DEFINITIONS	
Charitable Organisation	Is a not-for-profit organisation that has a charitable purpose for the sole benefit of the public (e.g. religious groups, aged care homes, homeless shelters, disability services, universities and colleges, animal welfare societies and artistic or cultural groups).
Community Organisation	A group of people that come together to pursue a common cause or interest for the benefit of the Community and may include an Association, Centre, Club, Committee, Group, Incorporated Body or Society.
Council Contribution	An amount of money given to Community Organisations by the Shire in return for acknowledgement of assistance in the operation of Shire facilities.
Donation	A gift given by the Shire, typically for charitable purposes and/or to benefit a cause. A Donation may take various forms, including cash offering, services, new or used goods. It may also consist of emergency, relief or humanitarian aid items.
Fee and Charge	Is a set monetary amount levied by the Shire for the use of Shire owned facilities and resources or the staging of a particular event or activity as adopted by Council.
Grant	Contribution, gift, or subsidy (in cash or kind) bestowed by the Shire (grantor) for specified purposes to an eligible recipient (grantee). Grants are usually conditional upon certain qualifications as to the use, maintenance of specified standards, or a proportional contribution by the grantee or other grantor(s).
In Kind Support	<p>In-kind support can be defined as:</p> <p>Monies / financial assistance which is not a loan, and does not need to be paid back;</p> <p>Administration support;</p> <p>Equipment support;</p> <p>Infrastructure support;</p>

	Venue hire; Office supplies support; Fees and charges for Icon Events.
Interest Free Loan	Means of borrowing where no interest is charged on repayment to the Shire.
Not-for-Profit Organisation	An organisation that is not operating for the profit or gain of its individual members, whether these gains would have been direct or indirect whilst in operation.
Self-Supporting Loans	Means of borrowing where loans are repaid to Shire (See CMP-068)
Schools	Primary or Secondary educational institutions.
Shire Facility	Means all Shire owned and operated facilities and reserves across the Shire that are included as available for hire or use in the Shire's Annual Schedule of Fees and Charges as adopted by Council.
Sponsorship	A cash and/or in-kind fee paid to a person, organisation or group (typically in sports, arts or entertainment) in return for acknowledgement and recognition of the Shire during the Activity or Event.
Legislation	Local Government Act 1995

ADDITIONAL EXPLANATORY NOTES:

Corporate Management Procedures CMP-065 Donations, CMP-066 Waiver of Fees & Charges and CMP-067 Community Growth Fund Grants.

ADOPTED/REVIEWED/AMENDED (OTHER THAN ANNUAL REVIEW OF ALL PROCEDURES:

Adopted – Council Resolution:	
Reviewed/Amended – Council Resolution:	05/15-23; 06/15-18; 03/17-32; 2023/04-6

CMP-065 Community Enhancement Donations & Sponsorships

MANAGEMENT PROCEDURE No.	CMP-065
MANAGEMENT PROCEDURE	COMMUNITY ENHANCEMENT DONATIONS & SPONSORSHIPS
RESPONSIBLE OFFICER	CHIEF EXECUTIVE OFFICER
PREVIOUS POLICY No.	N/A
RELEVANT DELEGATIONS	3005

OBJECTIVES:

These guidelines provide prospective applicants with information about financial assistance from the Shire of Chapman Valley by way of a donation or sponsorship towards events, activities and projects that are considered to provide community benefit.

The Shire of Chapman Valley recognises the value of donations and sponsorship to deliver activation, vitality and participation benefits to the local community. The Shire's vision in its Strategic Community Plan is of 'a thriving community, making the most of our coastline, ranges and rural settings to support us to grow and prosper.'

Providing support to community activities and events aligns with the key theme included in the Strategic Community Plan to 'nurture the sense of community.'

The intention of the donations and community event sponsorship procedure is to provide support to a broad range of events, activities and projects occurring throughout the year, based in the Shire boundaries to enhance the sense of community in the Valley.

Please read these guidelines carefully before submitting an application. You may direct any questions to the Shire by phoning us on 08 999 205011.

MANAGEMENT PROCEDURE STATEMENT/S:

Restrictions on Funding

Each year, the Shire of Chapman Valley donations and sponsorship procedure will provide support to events, activities and projects assessed as providing community benefit and are successful through an application process.

Donation and sponsorship support may be financial or in-kind. In-kind support may include (but is not limited to) waiving of venue hire fees, cleaning costs, or access to Shire equipment.

Included in the Shire's annual financial budget will be a specific line item amount for Community Enhancement Donations/Sponsorship. The budgeted amount will be determined by Council as part of the annual budget preparation process and may vary depending on affordability.

The Community Organisation is encouraged to have made application to source additional funding for the activity or event.

Applications

- Application are open all year round;
- Application forms can be completed online through the Shire of Chapman Valley website;
- Hardcopy application forms can be accessed by customer service at the Shire offices, or mailed out by calling 9920 5011;
- Applications should be received at least 8 weeks prior to the scheduled event/activity/project commencement date to ensure processing and evaluation procedures can be implemented (a shorter time period may be accepted for Tier One applications)

Process

- Application to be submitted for assessment.
- Community Development Officer (CDO) to ensure all application components are completed;
- Chief Executive Officer (CEO) can use delegated authority through Delegation 3005 or present applications to Council for determination;
- If considered necessary the CEO may consult with the Shire President and Tourism & Events Advisory Group members prior to exercising delegated authority on the final outcome of donation/sponsorship applications;
- CEO will provide correspondence to applicants on the outcome of their request;
- A list community donations/sponsorships approved in the prior month will be presented to Council as part of the CEO's Staff Information Report.

Tiers of funding

The minimum funding request is \$100. The maximum funding request is \$5,000.

1. Tier One, funding of \$100-\$500 for individuals participating in National Sporting competitions outside of WA (upon proof of selection) that may/may not be eligible for DSR (Regional Athlete Travel Subsidy) or ASC Local Sporting Champions) can be dealt with by the CEO under Delegation 3005;
2. Tier Two, funding of \$100-\$1,000 can be dealt with by the CEO under Delegation 3005;
3. Tier Three, funding of \$1,001-\$2,500 can be dealt with by the CEO in consultation with the Tourism & Events Advisory Group under Delegation 3005; and
4. Tier Four, funding of \$2,501-\$5,000 will require presentation to Council for consideration.

Who can apply

- Applications are welcome from incorporated community organisations and not for profit organisations that have a demonstrated significant connection to Chapman Valley.
- Applications from incorporated community organisations and not-for-profit organisations based outside of Chapman Valley may be considered where the event/activity/project is considered to demonstrate community benefit and/or positive public exposure for Chapman Valley (applications should detail the benefit/exposure outcomes)
- Applications from private enterprises and for-profit organisations (based either in or outside Chapman Valley) may be considered where the event/activity/project is considered to demonstrate community benefit and/or positive public exposure for Chapman Valley (applications should detail the benefit/exposure outcomes).
- If not an incorporated organisation, an auspicing role must be taken on by an appropriate incorporated body.
- Individuals residing in or demonstrated significant connection to Chapman Valley that are participating in National Sporting competitions outside of WA (upon proof of selection) that may/may not be eligible for DSR (Regional Athlete Travel Subsidy) or ASC Local Sporting Champions). Allocations (Tier 1) are limited to one allocation per financial year.

Eligibility

- Events, Activities and Projects must be held in the Shire of Chapman Valley Local Government boundaries (with exception of Tier 1 applicants);
- The organisation must have no outstanding debts to the Shire of Chapman Valley;
- Submit a completed application including risk management and activity/event budget;
- Funding will not be provided to more than one organisation for the same event.

Ineligibility

- Individuals (with exception of Tier 1 applicants) and government agencies (including schools) are not eligible for support;
- Funding will not be provided for operating costs (with exception of Tier 1 applicants) or staff costs associated with an event/activity/project;

- Activities or Events the Shire of Chapman Valley already operate;
- Recurrent funding for the same event/activity/project expenditure will not be supported, applicants can not apply for support for the same activity or event in consecutive years;
- Events/Activities/Projects with a sole political or religious purpose.
- Retrospective funding: activity/events started prior to being awarded the donation/sponsorship support, will be ineligible (with exception of projects/activities/events that demonstrate community benefit that are related to recovery from natural disaster e.g. cyclone/bushfire/flooding).

Assessment criteria

Criteria will include an assessment of all elements of the application form, including activity/event budget.

Criteria to be addressed include:

- **Sense of community:** to what extent does the event/activity/project nurture a sense of community in Chapman Valley?
- **Activation:** To what extent does the event/activity/project activate a public or private space in Chapman Valley?
- **Economic:** To what extent does the event/activity/project deliver economic benefits to the local businesses in Shire of Chapman Valley?
- **Activity/Event Management:** To what extent does the applicant have a capacity to deliver a successful event/activity/project?

Donation/Sponsorship conditions

- Funding must be used for the purpose and items as outlined in the application and approval letter;
- Successful applicants may be required to enter into a funding agreement with the Shire and agree to the terms and conditions included in that funding agreement;
- Organisations will be required to provide the Shire a tax compliant invoice(s) for the agreed amount of funding;
- Funding cannot be transferred to another organisation;
- Funding amounts approved may not reflect the full amount requested;
- If applicable, all required licences and permits must be approved by the appropriate government agency (e.g. event, venue hire, temporary food, road and traffic management if required);
- Applicants are encouraged to seek additional funding from other sources;
- Requests to change the purpose of the donation/sponsorship must be made in writing to the CEO;
- Request for extension to the approved donation/sponsorship timeline must be made in writing to the CEO prior to the activity/event;
- The Shire of Chapman Valley must be recognised as a sponsor of the activity/event in all relevant signage, media, speeches, MC notes, advertising and programming. Approved Shire logos will be supplied to the grant recipient if necessary.
- If requested, supporting documentation must be included with the application including:
 - A most recent financial statement certified by the President/Treasurer;
 - Current certificate of currency for Public Liability Insurance to the value of \$10 million;
 - Certificate of incorporation;
 - Evidence of other cash or in-kind support (where applicable);
 - Letters of support (where applicable); and
 - Organisations minutes endorsing the event.
- Activity/event is open for attendance by the local community.

Acquittal

- Acquittal instructions will be sent to the sponsorship recipient at the time of donation/sponsorship approval;
- Acquittal documents must be completed within 12 weeks of the event/activity/project being completed;
- Copies of all paid invoices and receipts may be required to be submitted;
- Unspent funds at the time of the acquittal deadline (12 weeks from event date) must be returned to the Shire within 7 days of the acquittal submission;
- If applicable, it is a requirement to have all acquittals for funding completed before applying for new

funding;

- Failure to complete acquittal requirements as requested may disqualify recipients from receiving further financial assistance and support from the Shire into the future.

Disclaimer

- The Shire may receive more funding applications than the available budget and funding may be exhausted prior to the end of the financial year;
- If the funding allocation is achieved before the end of the financial year, new event/activity/project donation/sponsorship funding will not be available until the adoption of the Council budget in the new financial year;
- The Shire reserves the right to refuse any application in the interests of appropriate public safety and where the event/activity/project is not considered to align with the values of Council and its Strategic Community Plan;
- All decisions of the Shire are final.

Application Timeframes

Applications may be lodged with the Shire of Chapman Valley at any time during the year.

Completing and Lodging your application

Once you have completed all sections of the form and signed the declaration, please take a copy for your records. The Shire requires the original signed Application Form be submitted by either of the following methods:

By Post:

Chief Executive Officer
Shire of Chapman Valley
PO Box 1
Nabawa WA 6532

In Person:

Shire of Chapman Valley Administration Centre
3270 Chapman Valley Road, Nabawa, WA 6532
Office Hours: 9:00am – 4:00pm

What happens when your application is received?

Your application will be reviewed by the Shire and we will notify you in writing of the outcome of our assessment.

Acknowledging the Shire's support

If considered appropriate by the CEO the successful applicants will be required to liaise with the Shire's CDO and provide for marketing and media opportunities during the Event/Activity/Project.

ADDITIONAL EXPLANATORY NOTES:

ADOPTED/REVIEWED/AMENDED (OTHER THAN ANNUAL REVIEW OF ALL PROCEDURES:

Adopted – Council Resolution:	
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Reviewed/Amended – Council Resolution:

**05/15-23; 06/15-18; 03/17-32; 07/21-03; 03/22-08;
05/22-02; 2023/04-6**

CMP-066 Waiver of Fees & Charges

MANAGEMENT PROCEDURE No.	CMP-066
MANAGEMENT PROCEDURE	WAIVER OF FEES & CHARGES
RESPONSIBLE OFFICER	CHIEF EXECUTIVE OFFICER
PREVIOUS POLICY No.	NA
SECTOR	ADMINISTRATION
RELEVANT DELEGATIONS	

OBJECTIVES:

These procedures provide prospective applicants with information about financial assistance from the Shire of Chapman Valley by way of a Waiver of Fees and Charges.

Please read these procedures carefully before submitting an application. You may refer to the *Completing your Application* section for Shire Officer contact information.

MANAGEMENT PROCEDURE STATEMENT/S:

Restrictions on Funding

All fees and charges must be paid upfront and if a "Waiver of Fees and Charges" is granted, a reimbursement for the approved amount will be forwarded to the successful applicant.

The approval of a Waiver for a Fee and Charge is governed by Delegation, and specifically Delegation 3008

Write Off Debts.

The exercise of powers and the discharge of duties under section 6.12 of the Local Government Act 1995 to waive or grant concessions (excluding rate concessions) and to write off debts not exceeding \$1,000. In cases where the request for Fee Waivers exceed \$1,000 a report needs to be submitted to an Ordinary Council Meeting for Council's consideration and approval.

Where a Fee and/or Charge is due to the Shire under another Act, regulatory body or Australian Law in respect of a service, then the Shire will not consider any application to waive that Fee and/or Charge.

A maximum of 50% of the Fee and Charge will be considered for waiver as listed in the annual Schedule of Fees and Charges adopted by Council or as otherwise determined by Council.

The Shire may at its own discretion determine an individual application on its merits and give consideration to natural disasters or a declared State of Emergency.

The activity, event, competition, project or celebration must be offered within the Shire of Chapman Valley local government boundaries.

The Community Organisation is not to have already received funding from the Shire by way of a Sponsorship, Donation, Community Development Grant or Shire Contribution or received financial assistance from the Shire under any existing written agreement during the current financial year.

Where an activity, event, competition, project or celebration occurs on a regular basis within a financial year July to June, then application for financial assistance shall be based on the full financial year.

One application per financial year (July to June) may be submitted at any time during the year for Financial Assistance.

Reimbursement for utility charges such as water and electricity will not be considered for waivers.

Recurrent annual or seasonal fees for sporting groups such as the Sporting Club Levy, court hire and line marking will not be considered for waivers.

Applications are to be lodged on the Shire's official application form and retrospective applications will not be considered where they are submitted after the activity, event, competition, project or celebration.

Once the Delegated Shire Officer has determined that the application for financial assistance be approved, a request for payment for the approved percentage of the fee waiver will be submitted to the Creditors Officer for payment.

If circumstances surrounding a successful applicant change during the financial year the Shire reserves the right to review and cancel any or all of the approved financial assistance.

Eligibility - Who can apply?

To be eligible for a Waiver of Fees and Charges the applicant must meet all of the following criteria:

- Operate in the Shire of Chapman Valley;
- Community Organisation which is an Incorporated body;
- Not-for-profit organisation;
- Educational Institution.

Waiver of Fees and Charges

Fee Waivers will be considered for:

- Shire Fees and Charges that are not due to the Shire as an Australian Tax under Australian law in respect of a service;
- Events that occur as a result of natural disasters or declared State of Emergency;

Fee Waivers under Delegated Authority will not be considered for or provided to:

- Individual persons*;
- State or Federal Government bodies;
- Commercial Organisations or Businesses*;
- Fees and Charges levied and collected by the Shire under any written law;
- Support for organisational or general operating costs;
- Activities that will financially benefit the Community Organisation (i.e. entry charge);
- Activities that are already covered by an existing service agreement with the Shire of Chapman Valley;
- Community Organisations that receive funding from the Shire of Chapman Valley by way of Donation, Community Development Grant or Shire Contribution in the current financial year.

- * *Individual persons, Commercial Organisations or Businesses can apply to Council for a waiver or reduction in the fee and charges for community health & wellbeing events for a maximum three month trial period to determine the viability of the event. Fees and charges will remain payable in full until a determination is made by Council on an application for waiver or reduction.*
- * *Individual persons may seek the assistance of an Advocacy Agent to submit an application on their behalf. Note: Applications submitted by an Advocacy Agent will not impact the agent's ability to apply for financial assistance within that financial year.*

Application Timeframes

Community Organisations may make application for a Fee Waiver from the Shire of Chapman Valley at any time during the year.

Completing and Lodging your application

Once you have completed all sections of the form and signed the declaration, please take a copy for your records. The Shire requires the original signed Application Form be submitted by either of the following methods:

By Post: Chief Executive Officer
Shire of Chapman Valley
PO Box 1
Nabawa WA 6532

In Person: Shire of Chapman Valley Administration Centre
3270 Chapman Valley Rd, Nabawa, WA 6532
Office Hours: 9.00am – 4.00pm

By Email: ceo@chapmanvalley.wa.gov.au

What happens when your application is received?

Your application will be reviewed by the Shire and we will notify you in writing of the outcome of our assessment.

Acknowledging the Shire's support

Successful applicants will be required to liaise with the Shire's Community Development Officer and provide for marketing and media opportunities during the Project or Event.

ADDITIONAL EXPLANATORY NOTES:

ADOPTED/REVIEWED/AMENDED (OTHER THAN ANNUAL REVIEW OF ALL PROCEDURES:

Adopted – Council Resolution:	
Reviewed/Amended – Council Resolution:	05/15-23; 06/15-18; 03/17-32, 07/20-12

CMP-067 Community Growth Fund – Operational

MANAGEMENT PROCEDURE No.	CMP-067
MANAGEMENT PROCEDURE	COMMUNITY GROWTH FUND – OPERATIONAL
RESPONSIBLE OFFICER	CHIEF EXECUTIVE OFFICER
PREVIOUS POLICY No.	5.20
RELEVANT DELEGATIONS	

OBJECTIVES:

INTRODUCTION

The Shire of Chapman Valley allocates an annual budget amount to form the Community Growth Fund (CGF). The fund provides the Shire of Chapman Valley the opportunity to support and assist services, activities and programs throughout the Shire.

The intention of the CGF is for funds to be fully allocated within each financial year and there will not be any accrual of unallocated funds beyond the 30th June each year.

In the event there are residual unallocated funds at the 30th June each year (unless an extension is granted by Council or under delegation by the Chief Executive Officer), these funds will form part of the Shire's End of Financial position and a new amount placed into the Draft Budget for Council consideration for the forthcoming financial year.

AIM

The Shire of Chapman Valley Community Growth Fund is to provide funds to not for profit community based organisations, event organisers and individuals to support the promotion and development of social, economic, recreational, art and cultural projects for the benefit of residents of the Shire of Chapman Valley.

1. OBJECTIVES

The Objectives of the Chapman Valley Community Growth Funds are to:

- Assist the efficiency of operations of community groups by improving organisational development, asset purchases, marketing and management.
- Encourage partnerships fostering cooperative planning between groups to maximise effective use of resources
- Increase the range of and access to quality events, activities, services and groups within the Shire of Chapman Valley.
- Support community development initiatives and socially responsible community approaches.
- Encourage the community to actively promote Chapman Valley's positive attributes.
- Encourage the development of excellence and leadership in recreational, sporting, economic, tourist, environmental, skill/capacity building and cultural pursuits.

One of the most effective means of promoting community development is through the use of volunteers and non-government organisations. The Shire of Chapman Valley acknowledges and supports the contribution that community members make of their time, labour and expertise toward improving our community's quality of living.

MANAGEMENT PROCEDURE STATEMENT/S:

2. RESPONSIBILITY

The responsibility for the selection and approval of successful grant applications rests with the Chapman Valley Shire Council who will meet to determine funding allocations. Shire staff plays an important role liaising with CGF applicants to ensure submissions meet criteria described in this guide, and to manage the payment of grants.

It is the responsibility of the project contact person in the submission to ensure their community project is completed on time, within budget and reporting documents completed.

3. CRITERIA

- Arts, culture & entertainment
- Disability Services
- Youth & family services
- Seniors
- Event management & sponsorship
- Natural environment & cultural heritage
- Tourism & promotion
- Sport and recreation
- Health
- Crime prevention & community safety
- Monuments & projects to commemorate
- Events or people
- Upgrading community facilities
- Skill & capacity building

4. ESSENTIAL ELIGIBILITY CRITERIA

In order to be eligible for funding an organisation must:

- Council shall consider requests for donations on their individual merit however, generally will decline appeals for applications:
 - ~ of a State or National nature, or
 - ~ if they are not concerned or connected with the Chapman Valley area.
- Be a non-profit organisation and, depending on amount of grant requested, be able to supply audited accounts and annual reports.
- Demonstrate a substantial degree of community support and representation
- Undertake to give due recognition to the Shire of Chapman Valley for its contribution to their activities
- Reflect the objectives and strategy of the larger association (Local, Regional, State or National). E.g. Tennis West ...and Shire of Chapman Valley Strategic Community Plan <http://www.chapmanvalley.wa.gov.au>
- Agree to complete a specified evaluation/project completion report including an invoice for agreed project grant amount. *Failure to do so may render the applicant ineligible for future funding.*
- As a general principle, funds for any project may only be considered where maximum Government (State and Federal) funding has been obtained, the Club, or Organisation, is ineligible for Government funding, or Government funding has been refused (in whole or part).
- The Shire will be seeking evidence of procurement of, or attempted procurement of, Government grant monies.
- It must be demonstrated the Shire funding is necessary to the success of the project.
- Detailed project financial information including budget estimates, quotes etc. accompanied by project drawings and specifications, to a satisfactory standard, must be provided.
- Detailed financial information about the Club or Organisation will also need to be provided. Such information will need to include financial statements.

In order to be eligible for funding an individual must:

- Achieve or demonstrate recognition in their field of endeavour at a State, National or International level. Recognition at a regional level may be considered in special circumstances.
- Demonstrate a substantial degree of community support.
- Provide a letter of support from the Association or Organisation relevant to their field of endeavour
- Provide the names and contact details of two referees.
- Undertake to give due recognition to the Shire of Chapman Valley for its contribution to their activities.

- Agree to complete a specified evaluation report. *Failure to do so may render the person ineligible for future funding.*
- Funding application requests for individuals will only be to a maximum of \$1000.00.

5. APPLICATIONS

Applications will only be considered if they are submitted on the CGF Application Form and completed in full. Projects are expected to be conducted within the Shire of Chapman Valley with possible exception of funding to outstanding individuals. Check the Application Form to see if you are required to provide additional information such as:

- Membership information
- Funding profile and non-profit status
- Clear description of your project's broad community benefits
- Marketing intentions and acknowledgment of Shire of Chapman Valley contribution
- Project budget including details of matching funding

6. FUNDING REQUIREMENTS

A. MINOR GRANTS - Requests under \$2000

Typically used for small purchases. Written applications must clearly state:

- amount requested;
- grant purpose;

Other documents we may require are:

- Financial statement for the most recently completed financial year
- The most recent annual report or an equivalent document, such as the President's report, outlining activities of the organisation
- Quotations for all items

B. GENERAL GRANTS and EVENT SPONSORSHIP– Over \$2,000

Grant requests over \$2,000 will suit community-based organisations seeking management funding (to assist with the running of your organisation – including wages & honorariums) or project funding (to help your organisation plan and conduct activities).

Some applications for grants in excess of \$10,000 may be deemed inappropriate under the Community Growth Fund guidelines and redirected to other funding avenues, such as the Ministry of Sport and Recreation 'Community Sporting and Recreation Facilities Fund' (CSRFF), or Lotterywest. Please discuss grant applications for major capital works (e.g. clubroom renovations/upgrades, new facilities) with the Community Development Officer.

Your event need not be considered a major cultural or sporting activity to qualify for funding. For example, you may plan to coordinate a conference or forum aimed at a specific audience or addressing a particular issue. Because your event is likely to attract visitors to the district, and help your organization build networks and broaden its knowledge base, it is likely to be considered as worthy of funding assistance.

Sponsorship can also be provided in the form of wages for an event co-ordinator or honorarium.

Please discuss your event plans with the Community Development Officer.

C. WHAT WON'T BE FUNDED

- Private and commercial business' and organisations
- Applications which are not completed on the CGF form.
- General *ongoing* operational costs of organisations such as, wages, salaries, rent, utilities, etc.
- Political organisations or events.
- Projects or facilities which have none or limited public access.
- Projects or activities which are considered to be hazardous.
- Organisations who have failed to comply with the acquittal process or guidelines for previous grants.

7. ASSESSMENT AND APPROVAL PROCESS

ACKNOWLEDGMENT OF APPLICATIONS

Applications for grants received by the Shire of Chapman Valley on or before the closing date will be registered and an acknowledgment of their receipt sent to applicants.

ASSESSMENT PROCESS

The Community Growth Fund Committee members will have access to a full copy of all valid applications.

ASSESSMENT CRITERIA

- All applications will be assessed against the following criteria at a minimum: Ability to achieve tangible and/or measurable outcomes for the benefit of the Shire of Chapman Valley community;
- Effort for cooperative and partnership arrangements with others;
- Relevance to the current issues and status of the community;
- Evidence of consultations with relevant others in and out of Chapman Valley;
- Levels of volunteer participation and wider community participation;
- Funding history and profile, and capacity to make a significant financial or in-kind contribution to the project;
- Other state/ federal funding available to the applicant;
- Alignment and/or linkages with Local, Regional, State or National Strategic Plans or Objectives of associated organisations.

Additional criteria including the following may be assessed:

- Quotes as relevant to the project being provided or not provided;
- Asset ownership and ongoing whole of life maintenance and replacement responsibility;
- Applicants ability to fund a project upfront through a reimbursement process once project completion is achieved or if the Shire is required to auspice the process on the applicant's behalf;

NOTIFICATION OF OUTCOME

All applicants will be notified in writing of the success or otherwise of their application, as soon as Council has finalised its funding commitment. Commencement of the project or expenditure of expected funds must not take place until this notification is received in writing.

PUBLICITY

The Shire of Chapman Valley may use your event, project or activity for publicity purposes and if so will ask for promotional material to be used.

FREEDOM OF INFORMATION

Applications for funds and other written information provided to the Shire will be treated confidentially. However, the provisions of the *Freedom of information Act, 1982*, apply to all documents held by the Shire of Chapman Valley.

8. DISBURSEMENT OF GRANTS

Where Council considers the information provided by the applicant in accordance with these guidelines to be satisfactory, the provision of any funds will be in accordance with the following;

- At the time of approving the grant, Council may elect to act as an auspicing body for the grant recipient. All expenditure for grant funding is to be discussed with the administration prior to any transactions being undertaken.
- If not auspicing for the grant recipient, payment will only be made at the conclusion of the project, subject to supply of final report and tax invoice, in strict accordance with the determination as to amount and conditions set by Council; unless otherwise agreed upon.

Council reserves the right to approve/decline any application irrespective of previous decisions of a similar nature and no prior decision in any way or manner can be construed as setting a precedent.

9. GRANT CONDITIONS

PERIOD OF FUNDING

Community Growth Fund grants will follow an annual timeline as outlined below:

- a) February – Applications open;
- b) March - Applications close;
- c) March/April - Advisory Group determination & recommendation to Council;
- d) April – Council determination on projects to be placed into draft budget;
- e) July – Council endorsement of Draft budget and confirmation of successful CGF submissions;
- f) July/August – Successful & Unsuccessful applicant formally advised.

Grant funding confirmed in the Shire budget in the July must be expended by 20th June the following year, unless agreed otherwise at the outset OR a written request for an extension and carry-over of funds is made to, and approved by, the Chapman Valley Shire Council. This extension may be dealt with under delegation to the Chief Executive Officer and presented to Council as part of the CEO's Staff Information Report.

If Council endorse the carry-over of grant funds into the next financial year these funds will be transferred to a Reserve Fund under the conditions:

- a) Funds must be spent and acquitted in the next financial year (i.e. funds will not be carried over again beyond this year);
- b) Any unspent funds after the initial carry-over into the next financial year are to be placed back into the Municipal Fund before the end of that year; and
- c) the grant recipient will only be eligible to receive further CGF grants subject to the approved rollover and subsequent funding cannot be attached to the previous years funding.

PURPOSE OF GRANT

Funds are allocated only for the purpose of the project as described in the application and must not be used for any other purpose or transferred or assigned to any other party without the prior approval of the Council.

UNSPENT FUNDS

Funds which are unspent at the conclusion of the funding period must be returned to the Shire within 60 days of the completion of the project, activity or event, or the end of the financial year, whichever occurs first. If you anticipate a surplus of funds and have plans for its expenditure you are advised to seek Council/CEO approval, bearing in mind the expectation that any secondary project will also have broad benefits to the community.

ABN/GST REGISTERED

Incorporated applicants must have an ABN. GST registration is not essential; however, the Shire is obliged to meet all relevant GST legislative requirements. Please ensure your budget figures included in your application are **GST EXCLUSIVE**.

MANAGEMENT LICENCE OR SIMILAR ARRANGEMENT

Any application made which is subject to a Management Licence or similar arrangement will only be approved subject to the condition the applicant endorses any amendments required to the Management Licence or similar arrangement relevant to the application and project.

STATUTORY PERMITS/APPROVALS

All projects subject to statutory permits/approvals (e.g. planning, building, environmental, heritage, events applications, etc.) will only approved upon the condition all such approvals are in place before project is to commence.

10. EVALUATION AND ACQUITTAL

Groups, organisations or individuals receiving grants from the Community Growth Fund must submit to the Shire acquittal and evaluation of the outcomes of the grant provided by Council within 30 days of either the conclusion of the project or activity, or the end of the financial year, whichever falls first.

Information to be provided will include:

FINANCIAL REPORT

- A statement of actual and budgeted expenditure in relation to the grant. For grants of \$10,000 and over an independent audit may be required as determined by the Chief Executive Officer.
- Copies of supporting documentation such as of receipts, invoices, accounts and financial statements

GRANT EVALUATION/COMPLETION REPORT

Recipients of the grant will be asked to assess their performance according to the following indicators:

- Be a non-profit organisation and, depending on amount of grant requested, be able to supply audited accounts and annual reports.
- The level of public awareness of their activity or project.
- Public presentations (number held / attendance levels).
- Amount/type of media coverage generated.
- Involvement of volunteers.
- Demonstrate a substantial degree of community support and representation.
- Reflect the objectives and strategy of the larger association (Local, Regional, State or National).

- Agree to complete a specified evaluation report. *Failure to do so may render the applicant ineligible for future funding.*
- Maximum Government (State and Federal) funding has been obtained.
- Undertake to give due recognition to the Shire of Chapman Valley for its contribution to their activities
- To be used for projects upon land under the care, or control, of the Shire; unless it otherwise determines
- Demonstrated the Shire funding is necessary to the success of the project

Tangible evidence to support performance indicators should be included such as photos, press clippings, copies of fliers, newsletters, documents produced etc.

Failure to satisfactorily complete performance evaluation and acquittals may disqualify recipients from further grants from the Community Growth Fund.

APPLICATION FORM – COMMUNITY GROWTH FUND

Contact Details

Name of Organisation:	Click here to enter text.
Contact Person:	Click here to enter text.
Contact number/s:	Click here to enter text.
Address:	Click here to enter text.
Postal Address:	Click here to enter text.
Website:	Click here to enter text.
Email:	Click here to enter text.

Organisation Business Details

Please select

Is your organisation an incorporated body? If yes please attach proof	Yes <input type="checkbox"/>	No <input type="checkbox"/>
If no, have you attached a letter from a sponsoring committee?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Are you registered for GST?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Do you have "Public Liability Insurance" If yes, please attach a copy of "Certificate of Currency"	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Have you applied for funding from the Shire for this project previously? If yes, in what year was the application made? Please attach information	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Is the project dependant on Shire funding to proceed?	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Has the Shire previously assisted your organisation? If yes, please attach information	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Have you applied or are you intending to apply for other funding sources for this project? If yes, please provide details under "Project Summary"	Yes <input type="checkbox"/>	No <input type="checkbox"/>

Banking Details

ABN:	Click here to enter text.
Name of Account:	Click here to enter text.
Name of Bank:	Click here to enter text.

BSB:	Click here to enter text.
Account Number:	Click here to enter text.
Branch Name:	Click here to enter text.
Account Holders Signature:	Click here to enter text.
Please provide a brief description of your organisation:	
Click here to enter text.	

Project Summary

Project Title: [Click here to enter text.](#)

Proposed Start Date: [Click here to enter text.](#)

Proposed Finish Date:
(**must be prior to 20th June**) [Click here to enter text.](#)

Location/Venue: [Click here to enter text.](#)

Is the project being undertaken on private land or Shire of Chapman Valley owned property?

Please provide a brief description of the project that you require funding assistance for and its objectives (attach extra sheet if you need more space):

[Click here to enter text.](#)

1. Community Growth Fund Grants must be eligible projects as identified in the Shire of Chapman Valley *Community Growth Fund Operational Procedures* (copy attached). Please identify eligibility criteria(s) relevant to your application below.

[Click here to enter text.](#)

2. Please describe how the outcomes of the project will be measured.

[Click here to enter text.](#)

3. Has your organisation secured or made attempts to secure financial assistance from other sources such as fundraising, other grants, commercial sponsorship etc. for this project? Please outline below and include details in the budget.

[Click here to enter text.](#)

Acknowledgement

Recipients of a Community Growth Fund Grant must recognise the Shire of Chapman Valley sponsorship in any advertising, promotion and media publicity related to its grant funding (e.g. newspaper article, flyers, invites, verbal recognition). How will your organisation acknowledge the Shire of Chapman Valley funding?

[Click here to enter text.](#)

Financial Information

Does your organisation have the ability to fund this project upfront and receive grant funding through a reimbursement process? Y/N

Does your organisation require the Shire of Chapman Valley to act as an auspicing body for your grant funds? Y/N

It is important to show how you plan to spend the grant and whether you expect any other income to support your project.

Use the table below to show where the money for your project is coming from and how it will be spent. **Include the Community Growth Fund Grant in these tables and specifically outline where the grant will be spent.**

Income		
Funding Source	\$ (EX. GST)	Confirmed Y/N
Amount Requested from the Shire of Chapman Valley	\$	N/A
Amount Contributed by your Organisation (Cash)	\$	\$
Amount Contributed by other Grants or Sponsorships:	\$	\$
•	\$	\$
•	\$	\$
•	\$	\$
In-Kind Contribution (e.g.: volunteer time @ \$30 hour)	\$	\$
•	\$	\$
•	\$	\$
*TOTAL	\$	\$
Expenditure (please specifically outline how Shire funds will be used)		
Project Costs	\$ (EX. GST)	Confirmed Y/N
In-Kind Contribution (Matched to income above)	\$	\$
Shire funding (please itemise below):	\$	\$
•	\$	\$
•	\$	\$
•	\$	\$
Other (please list below):	\$	\$
•	\$	\$
•	\$	\$
•	\$	\$
*TOTAL	\$	\$

NB: Income and expenditure totals should be the same.

Authorisation by President/Secretary

I [Click here to enter text.](#) (President/Secretary) authorise this application for a Community Growth Fund Grant to be considered for approval.

If approved, I acknowledge that the project must be acquitted within 1 month of project completion.

I also authorise to being contacted by the Shire's and consent for the Shire using images of me and quotes provided by me for promotional purposes, including but not limited to news reports, articles, media releases and the Shire website.
[Click here to enter text.](#) Day/Month/Year

Signature

Date



**Before you send your application – please ensure that you have completed the following.
Please answer each item when it has been completed or attached.**

- ☐ Completed all questions in the application form, including a detailed Budget that indicates where Shire funds will be spent.
 - ☐ Application has been signed by President/Secretary. Where an application is being submitted by a non-incorporated organisation that has a sponsoring organisation, please ensure the sponsoring organisation signs the Declaration.
 - ☐ Support letters or testimonials (optional).
 - ☐ A copy of this application has been retained for your records.
 - ☐ Proof of Incorporation (or letter from sponsoring organisation).
 - ☐ Public Liability Insurance (Certificate of Currency).
 - ☐ Quotes
- Y/N Is Project subject to an existing Management Licence or similar arrangement
- Y/N Is Project subject to a Statutory Permit/Approval (e.g. Building, Planning; Event; etc.)
- Y/N Is Project to be undertaken on Shire of Chapman Valley owned property?

For any assistance, please contact:

Shire of Chapman Valley's Community Development Officer

Phone: (08) 99 205011

Email: community@chapmanvalley.wa.gov.au

Application submission

By post:

Chief Executive Officer
Shire of Chapman Valley
PO Box 1
Nabawa WA 6532

Email:

community@chapmanvalley.wa.gov.au

Hand delivery:

Shire Offices - Reception
3270 Chapman Valley Road, Nabawa, WA 6532
9.00am – 4.00pm

Closing date

All applications must be received by _____ 201

SHIRE OFFICE USE ONLY

Outcome of the Assessment Recommendation to the Shire by Shire of Chapman Valley Community Growth

Fund Committee:

<input type="checkbox"/> Approved for receipt of Community Growth Fund Grant	<input type="checkbox"/> Declined for receipt of Community Growth Fund Grant
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Amount of Funds released \$

FILE No.:

Name of Authorised Officer

Signature and Stamp

Date

ADDITIONAL EXPLANATORY NOTES:**ADOPTED/REVIEWED/AMENDED (OTHER THAN ANNUAL REVIEW OF ALL PROCEDURES:**

Adopted – Council Resolution:

Reviewed/Amended – Council Resolution:

03/21-10; 2023/04-6

CMP-068 Self Supporting Loans

MANAGEMENT PROCEDURE No.	CMP-068
MANAGEMENT PROCEDURE	SELF SUPPORTING LOANS
RESPONSIBLE OFFICER	CHIEF EXECUTIVE OFFICER
PREVIOUS POLICY No.	5.50
RELEVANT DELEGATIONS	NA

OBJECTIVES:

To provide a fair, equitable and balanced process to considering the provision of self-supporting loans to groups within the community.

MANAGEMENT PROCEDURE STATEMENT/S:

Council will consider requests from all local organisations for self-supporting loan funds to be made available to the organisation, with the following matters and/or actions being taken:

The organisations to apply in writing, advising of the following information:

- Amount of loan principal required;
- Purpose for which loan is to be expended;
- Term of proposed loan;
- The last annual audited financial statements of the organisation;
- Current monthly financial statement of the organisation;
- Number of financial members of the organisation;
- Financial viability of group to repay loan;
- Whether the group is incorporate or not;
- Name of guarantees or other acceptable security; and
- Other information considered appropriate and requested by the Shire.

The Shire may request a delegation to meet with Councillors and staff to discuss the request.

Self-supporting loans will only be made available for capital type projects, i.e. construction or extensions to buildings, construction or resurfacing of tennis courts, reticulation of golf fairways etc and not for maintenance of facilities.

The Shire requires a loan agreement to be drawn up by Council's Solicitors between the organisation and the Shire, committing the group to repay the loan.

All costs associated with the raising of the loan and preparation and stamping of loan agreements to be at the group's expense.

Organisations applying to Council for a self-supporting loan are to make available, on request by the Shire, a copy of their Audited Financial Statements.

ADDITIONAL EXPLANATORY NOTES:

ADOPTED/REVIEWED/AMENDED (OTHER THAN ANNUAL REVIEW OF ALL PROCEDURES:

Adopted – Council Resolution:	10/01-9
Reviewed/Amended – Council Resolution:	05/15-23, 06/15-18; 03/17-32

CMP-070 Disposal of Surplus & Minor Assets

MANAGEMENT PROCEDURE No.	CMP-070
MANAGEMENT PROCEDURE	DISPOSAL OF SURPLUS & MINOR ASSETS
RESPONSIBLE OFFICER	CHIEF EXECUTIVE OFFICER
PREVIOUS POLICY No.	NA
RELEVANT DELEGATIONS	2004

OBJECTIVES:

To appropriately dispose of unwanted minor assets with no recognisable value whilst build the capacity of community groups and organisations as a beneficiary.

MANAGEMENT PROCEDURE STATEMENT/S:

The Shire will dispose of surplus and minor assets when determined by the CEO to be obsolete, surplus to requirements and hold no real value to the Shire.

The disposal of such assets shall be by offer to a community based not for profit group(s) and/or within the Shire of Chapman Valley at no cost.

The method of disposal process may involve an offer to one or more of the entities at the discretion of the CEO.

In offering an asset(s) to a community entity the CEO will have regard to:

- a) the demonstrated need;
- b) proposed use of the minor asset; and
- c) financial capacity of the requesting entity.

Prior to disposal:

- a. If applicable, all software or copyright licences shall be removed from a IT items.
- b. The recipient is to acknowledge in writing that no liability is accepted by the Shire for the minor asset.

ADDITIONAL EXPLANATORY NOTES:

ADOPTED/REVIEWED/AMENDED (OTHER THAN ANNUAL REVIEW OF ALL PROCEDURES:

Adopted – Council Resolution:	
Reviewed/Amended – Council Resolution:	05/15-23; 06/15-18; 03/17-32