



**EASTERN WASTE MANAGEMENT AUTHORITY  
AUDIT & RISK MANAGEMENT COMMITTEE MEETING**

**Wednesday 18 November 2020**

Notice is hereby given that a meeting of the Audit and Risk Management Committee of the Eastern Waste Management Authority will be held at the Mayor's Parlour, City of Norwood Payneham & St Peters, 175 The Parade, Norwood, on Wednesday 18 November 2020 commencing at 8:30am.

A handwritten signature in blue ink, appearing to read "Rob Gregory", with a long horizontal flourish extending to the right.

**ROB GREGORY  
GENERAL MANAGER**



## EASTERN WASTE MANAGEMENT AUTHORITY

### AGENDA

#### AUDIT AND RISK MANAGEMENT COMMITTEE

Meeting to be held on Wednesday 18 November 2020, commencing at 8:30am, at the Mayor's Parlour, City of Norwood Payneham & St Peters, 175 The Parade, Norwood

1. PRESENT
2. APOLOGIES
3. CONFLICTS OF INTEREST
4. CONFIRMATION OF THE MINUTES:
  - 4.1 MEETING HELD 16 SEPTEMBER 2020
5. MATTERS ARISING FROM THE MINUTES
6. QUESTIONS WITHOUT NOTICE
7. REPORTS
  - 7.1 FINANCIAL REPORT: BUDGET REVIEW ONE .....pg.4
  - 7.2 LONG TERM FINANCIAL PLAN .....pg.11
  - 7.3 TREASURY MANAGEMENT PERFORMANCE REPORT .....pg.17
  - 7.4 UNREASONABLE COMPLAINANT CONDUCT POLICY .....pg.19
  - 7.5 INVESTIGATION PROCEDURE VALIDATION AUDIT .....pg.29
  - 7.6 2021 MEETING SCHEDULE .....pg.44
8. CONFIDENTIAL REPORTS
  - 8.1 INDEPENDENT MEMBER .....pg.45
9. OTHER BUSINESS
10. NEXT MEETING OF THE AUDIT COMMITTEE  
The next Audit and Risk Management Committee Meeting is to be held on:  
February 2021 (Indicative)
11. CLOSURE OF MEETING

## MINUTES OF THE MEETING OF THE AUDIT & RISK MANAGEMENT COMMITTEE OF THE EASTERN WASTE MANAGEMENT AUTHORITY

Held on Wednesday 16 September 2020, at the City of Norwood Payneham & St Peters, 175  
The Parade, Norwood, SA 5067

Meeting opened at 8:30am.

### 1. PRESENT

Mr F Bell	Independent Chairperson
Mr T Muhlhausler	Independent Member
Ms S Di Blasio	Independent Member
Mr M Barone	Committee Member
Cr L Green	Committee Member (Via Zoom)

### IN ATTENDANCE

Mr R Gregory	General Manager
Mr S Raymond	Manager, Corporate Services
Miss K Vandermoer	Finance & Executive Administration Officer
Mr J Jovicevic	Dean Newbery & Partners
Mr D Papa	Bentleys
Mr Jayson Palomaria	Bentleys

### 2. APOLOGIES

Nil

### 3. CONFLICTS OF INTEREST

Nil

*Mr Barone entered the meeting at 8:31am.*

### 4. CONFIRMATION OF THE MINUTES – 17 JUNE 2020

Moved Ms Di Blasio that the Minutes of the previous meeting held on Wednesday 17 June 2020 be received and noted.

Seconded Cr Green

**Carried**

### 5. MATTERS ARISING FROM THE MINUTES

Nil

### 6. QUESTIONS WITHOUT NOTICE

Nil

### 7. REPORTS

#### 7.1 EAST WASTE FINANCIAL STATEMENTS YEAR ENIDNG 30 JUNE 2020

#### RECOMMENDATION

Moved Ms Di Blasio That the Committee recommend that the draft FY2020 audited Financial Statements as presented in Attachment A are endorsed and presented to the East Waste Board.

Seconded Mr Barone

**Carried**

## **7.2 REGULATION 10 FINANCIAL REPORT 2020**

### **RECOMMENDATION**

Moved Cr Green that the Committee recommend that the Regulation 10 Financial Report as presented in Attachment A is endorsed for presentation to the East Waste Board.

Seconded Ms Di Blasio

**Carried**

*Mr Papa left the meeting at 8:34am.*

*Mr Palomaria left the meeting at 8:34am.*

## **7.3 EAST WASTE STRATEGIC PLAN 2020-30 CONSULTATION REVIEW**

### **RECOMMENDATION**

Moved Mr Barone that the Committee:

1. Notes and receives the feedback received from stakeholders; and
2. Supports the presentation of the final document to the Board.

Seconded Ms Di Blasio

**Carried**

## **7.4 DRAFT BENCHMARKING CRITERIA REVIEW**

### **RECOMMENDATION**

Moved Mr Barone that the Committee supports the list of proposed metrics to guide the 2020 East Waste Benchmarking Assessment.

Seconded Ms Di Blasio

**Carried**

*Mr Muhlhausler entered the meeting at 8:42am.*

## **7.5 RISK MANAGEMENT FRAMEWORK**

### **RECOMMENDATION**

Moved Mr Muhlhausler that the Committee recommend that:

1. The updated *East Waste Risk Management Policy* as presented in Attachment A, with amendments, is endorsed for presentation to the East Waste Board.
2. The updated *East Waste Risk Management Framework* as presented in Attachment B, with amendments, is endorsed for presentation to the East Waste Board.

Seconded Ms Di Blasio

**Carried**

*Cr Green left the meeting at 9:05am.*

## **7.6 PRUDENTIAL MANAGEMENT POLICY REVIEW**

### **RECOMMENDATION**

Moved Mr Barone that the Committee recommend that the DRAFT Prudential Review Policy as presented in Attachment A, with amendments, is endorsed for presentation to the East Waste Board.

Seconded Mr Muhlhausler

**Carried**

## **7.7 COMPLAINT HANDLING POLICY**

### **RECOMMENDATION**

Moved Mr Barone that the Committee recommend that the DRAFT Complaint Handling Policy as presented in Attachment A, with amendments, is endorsed for presentation to the East Waste Board.

Seconded Mr Muhlhausler

**Carried**

## **8. CONFIDENTIAL REPORTS**

Nil

## **9. OTHER BUSINESS**

### **9.1 INDEPENDENT MEMBER TERM EXPIRY**

Mr Gregory sought feedback from the Committee regarding the recruitment process for a new Independent Member upon Mr Muhlhausler's term expiry in November 2020.

## **10. NEXT MEETING OF THE AUDIT AND RISK MANAGEMENT COMMITTEE**

The next Audit and Risk Management Committee Meeting is scheduled to be held on Wednesday 18 November 2020, Commencing at 8:30am, at the City of Norwood, Payneham, & St Peters, 175 The Parade, Norwood.

## **11. CLOSURE OF MEETING**

There being no other business the meeting closed at 9:20am.

**PRESIDING MEMBER**

\_\_\_\_\_

**DATE**

\_\_\_\_\_

## 7.1: FINANCIAL REPORT – BUDGET REVIEW ONE

**REPORT AUTHOR:** General Manager  
**ATTACHMENTS:** **A: Budgeted Statement of Comprehensive Income FY2021**  
**B: Budgeted Balance Sheet as at 30 June 2021**  
**C: Budgeted Statement of Cash Flow FY2021**  
**D: Budgeted Statement of Changes in Equity FY2021**  
**E: Budgeted Uniform Presentation of Finances Statement FY2021**

### Purpose of the Report

To provide the Committee with an opportunity to review the first review of the budgeted statutory Financial Statements (Budget Review One) for the financial year ending 30 June 2021 as prescribed by the Regulations.

### Background

At the meeting held 25 June 2020, the East Waste Board resolved (in part):

### **2020/21 ANNUAL BUSINESS PLAN & BUDGET**

*Moved Mr Bradley that the Board endorses the 2020/21 Annual Business Plan and revised Budget as presented in Attachment A, noting that an increase to the Education budget is to be considered through the quarterly budget review process.*  
*Seconded Cr Carbone* **Carried**

### Report

Budget Review One shows as at 30 September an operating surplus of \$307,000 which is principally the result of several projects yet to commence and favourable fuel pricing. The budget forecasts a revised FY2021 Operating Surplus of \$37,000, which is a \$26,000 increase on the Original Adopted Budget. Table 1 summarises the year to date performance as at 30 September 2020 against full year budget for key material budget items being monitored by the Administration along with commentary regarding the proposed budget variations.

**Table 1: Key Budget Item Year to Date and End of Year Forecast**

Item	YTD Actuals (as at 30/09/2020)	Proposed Budget Variation	Notes
Bin Supply/Maintenance	\$0.198M	\$-	Increased YTD costs principally due to the procurement of Kitchen Caddies and compostable bags for two key Member Council projects. Cost balanced through increased income.
Additional Bins	\$0.204	\$-	Second bin permits rolled out in first quarter of financial year. Increased costs balanced by income.
Recycling Processing Fee	\$0.623M	\$-	Favourable rise and fall (comparative to budget) and contamination rates results in a reduced cost. Reduction in costs balanced by reduced income. Importantly overall favourable result for Member Councils.
Fuel, Gas & Oil	\$0.282M	\$-	Depressed world oil markets as a result of COVID-19 have resulted in lower than budgeted fuel pricing. Expected to continue for at least the coming quarter.

Subject to the endorsement of the Long-Term Financial Plan (refer Report 7.2) and revised depreciation calculations of operational fleet, this favourable figure will be updated and reflected in the statements at Budget Review Two.

Of further note, the non-operating budget includes a \$60,000 increase associated with the Operations Office Upgrade. The bulk of the additional costs are associated with increased manufacturing costs resulting from COVID. This will not increase the overall capital budget as the total truck replacement costs are less than budgeted (not shown in the associated statement).

East Waste's operating cash balance is favourable, with an October closing cash balance of \$3.89M. This high balance is consistent with previous years and will be drawn down significantly over the coming months through loan repayments, wages and salaries, operational expenditure and ATO obligations.

## **RECOMMENDATION**

**The Committee notes and accepts the forecasted end of year FY2021 Operating Surplus increase of \$26,000 associated with the 2020/21 Budget Review One and recommends to the Board for endorsement.**

## EAST WASTE

## PROJECTED STATEMENT OF COMPREHENSIVE INCOME (BUDGET)

for the Financial Year Ending 30 June 2021

FY2020		FY 2021	FY2021
Audited Actuals		Adopted Budget	Proposed Budget
\$'000		\$'000	\$'000
	<b>INCOME</b>		
16,756	User Charges	17,635	17,635
21	Investment income	9	9
-	Grants, subsidies and contributions	30	30
677	Other	794	794
<b>17,454</b>	<b>TOTAL INCOME</b>	<b>18,467</b>	<b>18,467</b>
	<b>EXPENSES</b>		
5,851	Employee Costs	5,890	5,980
9,120	Materials, contracts & other expenses	9,935	9,845
2,069	Depreciation, amortisation & impairment	2,347	2,347
281	Finance costs	335	335
<b>17,321</b>	<b>TOTAL EXPENSES</b>	<b>18,506</b>	<b>18,506</b>
<b>133</b>	<b>OPERATING SURPLUS / (DEFICIT)</b>	<b>(39)</b>	<b>(39)</b>
60	Asset disposals & fair value adjustments	50	76
<b>193</b>	<b>NET SURPLUS / (DEFICIT)</b>	<b>11</b>	<b>37</b>
-	Other Comprehensive Income	-	-
<b>193</b>	<b>TOTAL COMPREHENSIVE INCOME</b>	<b>11</b>	<b>37</b>



**EAST WASTE****PROJECTED BALANCE SHEET (BUDGET)**

for the Financial Year Ending 30 June 2021

<b>FY2020</b>		<b>FY 2021</b>	<b>FY2021</b>
<b>Audited Actuals</b>		<b>Adopted Budget</b>	<b>Proposed Budget</b>
<b>\$'000</b>		<b>\$'000</b>	<b>\$'000</b>
<b>ASSETS</b>			
<b>CURRENT ASSETS</b>			
2,322	Cash & Cash Equivalents	2,156	2,314
1,019	Trade & Other Receivables	717	1,019
-	Other Financial Assets	-	
<b>3,341</b>	<b>TOTAL CURRENT ASSETS</b>	<b>2,873</b>	<b>3,333</b>
<b>NON-CURRENT ASSETS</b>			
7,652	Infrastructure, Property, Plant & Equipment	8,093	8,096
<b>7,652</b>	<b>TOTAL NON-CURRENT ASSETS</b>	<b>8,093</b>	<b>8,096</b>
<b>10,993</b>	<b>TOTAL ASSETS</b>	<b>10,966</b>	<b>11,429</b>
<b>LIABILITIES</b>			
<b>CURRENT LIABILITIES</b>			
1,205	Trade & Other Payables	771	1,224
1,929	Borrowings	2,176	2,287
597	Provisions	633	642
<b>3,731</b>	<b>TOTAL CURRENT LIABILITIES</b>	<b>3,580</b>	<b>4,153</b>
<b>NON-CURRENT LIABILITIES</b>			
6,221	Borrowings	6,192	6,153
77	Provisions	156	122
<b>6,298</b>	<b>TOTAL NON-CURRENT LIABILITIES</b>	<b>6,348</b>	<b>6,275</b>
<b>10,029</b>	<b>TOTAL LIABILITIES</b>	<b>9,928</b>	<b>10,428</b>
<b>964</b>	<b>NET ASSETS</b>	<b>1,038</b>	<b>1,001</b>
<b>EQUITY</b>			
964	Accumulated Surplus	1,038	1,001
<b>964</b>	<b>TOTAL EQUITY</b>	<b>1,038</b>	<b>1,001</b>

## EAST WASTE

## PROJECTED STATEMENT OF CASH FLOWS (BUDGET)

for the Financial Year Ending 30 June 2021

FY2020		FY 2021	FY2021
Audited Actuals		Adopted Budget	Proposed Budget
\$'000		\$'000	\$'000
<b>CASH FLOWS FROM OPERATING ACTIVITIES</b>			
<b>RECEIPTS</b>			
17,136	Operating Receipts	18,408	18,458
16	Investment Receipts	9	9
<b>PAYMENTS</b>			
(5,795)	Employee costs	(5,890)	(5,890)
(8,677)	Materials, contracts & other expenses	(9,845)	(9,845)
(291)	Interest Payments	(300)	(335)
<b>2,389</b>	<b>NET CASH PROVIDED BY (OR USED IN) OPERATING ACTIVITIES</b>	<b>2,382</b>	<b>2,398</b>
<b>CASH FLOWS FROM INVESTING ACTIVITIES</b>			
<b>RECEIPTS</b>			
81	Sale of Replaced Assets	50	95
<b>PAYMENTS</b>			
(2,297)	Expenditure on Renewal/Replaced Assets	(2,730)	(2,790)
-	Expenditure of New/Upgraded Assets	-	-
<b>(2,216)</b>	<b>NET CASH PROVIDED BY (OR USED IN) INVESTING ACTIVITIES</b>	<b>(2,680)</b>	<b>(2,696)</b>
<b>CASH FLOWS FROM FINANCING ACTIVITIES</b>			
<b>RECEIPTS</b>			
65	Capital Contributed by Member Councils	-	-
2,171	Proceeds from Borrowings	2,400	2,400
<b>PAYMENTS</b>			
(220)	Repayment of Lease Liabilities	(265)	(265)
(1,834)	Repayment of Borrowings	(1,845)	(1,845)
<b>182</b>	<b>NET CASH PROVIDED BY (OR USED IN) FINANCING ACTIVITIES</b>	<b>290</b>	<b>290</b>
<b>355</b>	<b>NET INCREASE (DECREASE) IN CASH HELD</b>	<b>(8)</b>	<b>(8)</b>
<b>1,967</b>	<b>CASH &amp; CASH EQUIVALENTS AT BEGINNING OF PERIOD</b>	<b>2,163</b>	<b>2,322</b>
<b>2,322</b>	<b>CASH &amp; CASH EQUIVALENTS AT END OF PERIOD</b>	<b>2,155</b>	<b>2,314</b>

**EAST WASTE**  
**PROJECTED STATEMENT OF CHANGES IN EQUITY (BUDGET)**  
 for the Financial Year Ending 30 June 2021

<b>FY2020</b>		<b>FY 2021</b>	<b>FY2021</b>
<b>Audited Actuals</b>		<b>Adopted Budget</b>	<b>Proposed Budget</b>
<b>\$</b>		<b>\$'000</b>	<b>\$'000</b>
706	<b>BALANCE AT END OF PREVIOUS REPORTING PERIOD</b>	1,026	964
193	Net Surplus / (Deficit) for Year	11	37
65	Contributed Equity	-	-
-	Distribution to Councils	-	-
<b>964</b>	<b>BALANCE AT END OF REPORTING PERIOD</b>	<b>1,037</b>	<b>1,001</b>

**EAST WASTE**

PROJECTED UNIFORM PRESENTATION OF FINANCES STATEMENT (BUDGET)

for the Financial Year Ending 30 June 2021

FY2020		FY 2021	FY 2020
Audited Actuals		Adopted Budget	Proposed Budget
\$'000		\$'000	\$'000
17,454	Income	18,467	18,467
(17,321)	Expenses	(18,506)	(18,506)
<b>133</b>	<b>Operating Surplus / (Deficit)</b>	<b>(39)</b>	<b>(39)</b>
<b>Net Outlays on Existing Assets</b>			
(2,297)	Capital Expenditure on Renewal and Replacement of Existing Assets	(2,730)	(2,790)
2,069	Depreciation, Amortisation and Impairment	2,347	2,347
81	Proceeds from Sale of Replaced Assets	50	95
<b>(147)</b>		<b>(333)</b>	<b>(349)</b>
<b>Net Outlays on New and Upgraded Assets</b>			
-	Capital Expenditure on New and Upgraded Assets	-	-
-	Amounts Specifically for New and Upgraded Assets	-	-
-	Proceeds from Sale of Surplus Assets	-	-
-		-	-
<b>(14)</b>	<b>Net Lending / (Borrowing) for Financial Year</b>	<b>(372)</b>	<b>(388)</b>

## 7.2: LONG TERM FINANCIAL PLAN

**REPORT AUTHOR:** Manager, Corporate Services  
**ATTACHMENTS:** A: East Waste Long Term Financial Plan

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### Purpose of the Report

To provide the Audit and Risk Management Committee (the Committee) with an opportunity to review and provide input into East Waste's Long Term Financial Plan.

### Background

Clause 43 of the *East Waste Charter* sets out the requirements for East Waste to prepare and adopt a ten-year business plan (East Waste Strategic Plan 2020-30). In support of the Business Plan, East Waste must develop a Long Term Financial Plan (LTFP).

East Waste's LTFP was last adopted in June 2017. A review of the LTFP was due to occur prior to June 2019, however due to the significant shift in the recycling industry market which was occurring at the time, the review of the LTFP was delayed until the completion of the tender process for the Receipt and Processing of Recyclables. In addition, commencing in and around May 2019, East Waste commenced the review and development of its 10-year Strategic Plan. The timing of the LTFP review therefore needed to coincide with the endorsement of the Strategic Plan.

As a result, in November 2019 the following DRAFT principles and assumptions in support of the LTFP were tabled before the Committee and East Waste Board:

### Principles

- Consistency with East Waste's:
  - ten-year business plan
  - asset management plan
  - annual plans; and
  - Charter.
- Alignment to East Waste's:
  - Treasury Management Policy; and
  - Cash-flow requirements.
- Use of CPI and LGPI forecasts
- Consistency with Member Council Service Level Agreements

### Assumptions

1. The cost of replacing fleet vehicles to be funded via fixed term external borrowings with the LGFA.
2. Lease of Ottoway depot to continue with an annual 4% lease cost increase.
3. Salaries and wages to increase by current EB Agreement rates or in accordance with relevant legislative instruments for the life of the LTFP.

4. Fuel based on annual usage levels and price increases aligned with recent historic data and RAA modelling.
5. 2% growth allowed for in collected volumes of recycling, green organics, residual waste and hard waste.
6. CPI rate to be used as the common annual inflator rate to all costs that do not have a specific/unique cost driver inflator rate applied.
7. LGPI increase applied to the Administration Fee charged to Member Councils and for it to be charged equally.
8. CPI assumed to be 2.5%. p.a. for the life of the LTFP.
9. All fleet costs and replacement to be reflected in accordance with the Fleet Asset Management Plan.
10. Annual operating surplus budgeted on return on revenue in accordance with targets set within the Budget Framework Policy.

At their meeting held 19 November 2019, the Committee resolved:

#### **7.5 LONG TERM FINANCIAL PLAN – PRINCIPLES & ASSUMPTIONS**

*Moved Mr Muhlhausler that the Committee recommends the presented draft principles and assumptions, as reviewed, be presented to the East Waste Board for their consideration and input.*

*Seconded Cr Piggott*

**Carried**

At their meeting held The Board resolved:

#### **7.4 LONG TERM FINANCIAL PLAN – PRINCIPLES & ASSUMPTIONS**

*Moved Cr Fisher that the Board endorses the draft principles and assumptions presented to support the development of East Waste's Long Term Financial Plan.*

*Seconded Cr Green*

**Carried**

### **Report**

At their meeting held 24 September 2020, the Board endorsed East Waste's Strategic Plan 2020-30. In support of the newly endorsed Strategic Plan, East Waste's Asset Management Plan and the principles and assumptions, East Waste's LTFP is presented at Attachment A for review and consideration of the Committee.

Whilst the assumptions applied to the LTFP are consistent with what was presented to the Committee on 19 November 2019, there has been a slight variation made to the CPI of 2.5% being applied. In consideration of the impacts to the economy that have been experienced throughout 2020, the CPI rate has been reduced to 2%.

Following endorsement of the assumptions and financials by the Committee, a public facing document will be developed prior to presentation to the Board.

### **RECOMMENDATION**

**The Committee recommend that the Long Term Financial Plan assumptions and financial statements, as presented in Attachment A, is endorsed for inclusion in a public facing document and presentation to the East Waste Board.**

**EASTERN WASTE MANAGEMENT AUTHORITY INC**  
**PROJECTED STATEMENT OF COMPREHENSIVE INCOME**  
**LONG TERM FINANCIAL PLAN (LTFP): FY2021 - FY2030**

	FINANCIAL YEAR									
	1	2	3	4	5	6	7	8	9	10
	2021	2022	2023	2024	2025	2026	2027	2028	2029	2030
<b>INCOME</b>										
User Charges	17,634,900	18,593,748	19,659,337	20,397,923	21,179,288	21,881,670	22,578,718	23,152,617	23,603,183	24,330,103
Investment income	9,000	-	-	-	-	-	-	-	-	-
Grants, subsidies & contributions	30,000	-	-	-	-	-	-	-	-	-
Other	793,500	428,360	436,887	445,585	454,457	463,506	472,736	482,151	491,754	501,549
<b>TOTAL INCOME</b>	<b>18,467,400</b>	<b>19,022,108</b>	<b>20,096,224</b>	<b>20,843,508</b>	<b>21,633,745</b>	<b>22,345,176</b>	<b>23,051,453</b>	<b>23,634,768</b>	<b>24,094,937</b>	<b>24,831,652</b>
<b>EXPENSES</b>										
Employee Costs	5,979,500	6,186,810	6,336,608	6,489,924	6,646,837	6,807,431	6,943,580	7,082,451	7,224,100	7,368,582
Materials, contracts & other expenses	9,845,300	10,502,661	11,239,604	11,664,764	12,107,456	12,568,456	13,048,579	13,548,675	14,069,635	14,612,393
Depreciation, amortisation & impairment	2,346,500	2,075,455	2,289,570	2,460,914	2,582,225	2,665,606	2,748,976	2,754,528	2,554,434	2,602,737
Finance costs	335,000	277,182	250,441	247,906	317,227	323,682	330,319	269,114	266,767	267,940
<b>TOTAL EXPENSES</b>	<b>18,506,300</b>	<b>19,042,108</b>	<b>20,116,224</b>	<b>20,863,508</b>	<b>21,653,745</b>	<b>22,365,176</b>	<b>23,071,453</b>	<b>23,654,768</b>	<b>24,114,937</b>	<b>24,851,652</b>
<b>OPERATING SURPLUS / (DEFICIT)</b>	<b>- 38,900 -</b>	<b>20,000 -</b>	<b>20,000 -</b>	<b>20,000 -</b>	<b>20,000 -</b>	<b>20,000 -</b>	<b>20,000 -</b>	<b>20,000 -</b>	<b>20,000 -</b>	<b>20,000</b>
Asset disposals & fair value adjustments	76,000	20,000	20,000	20,000	20,000	20,000	20,000	20,000	20,000	20,000
<b>NET SURPLUS / (DEFICIT)</b>	<b>37,100 -</b>	<b>0</b>	<b>0</b>	<b>-</b>	<b>- -</b>	<b>0</b>	<b>0 -</b>	<b>0</b>	<b>0</b>	<b>0</b>
Other Comprehensive Income	-	-	-	-	-	-	-	-	-	-
<b>TOTAL COMPREHENSIVE INCOME</b>	<b>37,100 -</b>	<b>0</b>	<b>0</b>	<b>-</b>	<b>- -</b>	<b>0</b>	<b>0 -</b>	<b>0</b>	<b>0</b>	<b>0</b>

**EASTERN WASTE MANAGEMENT AUTHORITY INC**  
**PROJECTED STATEMENT OF CASH FLOWS**  
**LONG TERM FINANCIAL PLAN (LTFP): FY2021 - FY2030**

	FINANCIAL YEAR									
	1	2	3	4	5	6	7	8	9	10
	2021	2022	2023	2024	2025	2026	2027	2028	2029	2030
<b>CASH FLOWS FROM OPERATING ACTIVITIES</b>										
<b>RECEIPTS</b>										
Operating Receipts	18,458,400	19,022,108	20,096,224	20,843,508	21,633,745	22,345,176	23,051,453	23,634,768	24,094,937	24,831,652
Investment Receipts	9,000	-	-	-	-	-	-	-	-	-
<b>PAYMENTS</b>										
Operating Payments	(15,824,800)	(16,689,471)	(17,576,212)	(18,154,688)	(18,754,293)	(19,375,887)	(19,992,158)	(20,631,126)	(21,293,735)	(21,980,975)
Interest Payments	(335,000)	(277,182)	(250,441)	(247,906)	(317,227)	(323,682)	(330,319)	(269,114)	(266,767)	(267,940)
<b>NET CASH PROVIDED BY (OR USED IN) OPERATING ACTIVITIES</b>	<b>2,307,600</b>	<b>2,055,455</b>	<b>2,269,570</b>	<b>2,440,914</b>	<b>2,562,225</b>	<b>2,645,606</b>	<b>2,728,976</b>	<b>2,734,528</b>	<b>2,534,434</b>	<b>2,582,737</b>
<b>CASH FLOWS FROM INVESTING ACTIVITIES</b>										
<b>RECEIPTS</b>										
Sale of Replaced Assets	76,000	20,000	20,000	20,000	20,000	20,000	20,000	20,000	20,000	20,000
Capital Contributed by Members	-	-	-	-	-	-	-	-	-	-
<b>PAYMENTS</b>										
Expenditure on Renewal/Replaced Assets	(50,000)	(50,000)	(50,000)	(50,000)	(50,000)	(50,000)	(50,000)	(50,000)	(50,000)	(50,000)
Expenditure of New/Upgraded Assets	(1,972,525)	(2,065,194)	(1,674,607)	(2,492,327)	(2,797,752)	(2,671,280)	(2,515,633)	-	(2,369,277)	(2,404,497)
Distribution to Councils	-	-	-	-	-	-	-	-	-	-
<b>NET CASH PROVIDED BY (OR USED IN) INVESTING ACTIVITIES</b>	<b>(1,946,525)</b>	<b>(2,095,194)</b>	<b>(1,704,607)</b>	<b>(2,522,327)</b>	<b>(2,827,752)</b>	<b>(2,701,280)</b>	<b>(2,545,633)</b>	<b>(30,000)</b>	<b>(2,399,277)</b>	<b>(2,434,497)</b>
<b>CASH FLOWS FROM FINANCING ACTIVITIES</b>										
<b>RECEIPTS</b>										
Proceeds from Borrowings	2,284,000	2,000,000	1,600,000	2,490,000	2,800,000	2,670,000	2,500,000	-	2,370,000	2,400,000
<b>PAYMENTS</b>										
Repayment of Borrowings	(1,826,189)	(1,907,334)	(1,859,425)	(2,020,533)	(2,053,961)	(2,100,371)	(2,286,625)	(2,342,770)	(2,214,048)	(2,109,331)
Repayment of Lease Liability	(236,514)	(253,153)	(270,640)	(289,015)	(245,927)	(183,997)	(198,423)	(213,607)	(229,583)	(246,387)
<b>NET CASH PROVIDED BY (OR USED IN) FINANCING ACTIVITIES</b>	<b>221,297</b>	<b>(160,487)</b>	<b>(530,065)</b>	<b>180,452</b>	<b>500,112</b>	<b>385,632</b>	<b>14,952</b>	<b>(2,556,377)</b>	<b>(73,631)</b>	<b>44,282</b>
<b>NET INCREASE (DECREASE) IN CASH HELD</b>	<b>582,372</b>	<b>(200,227)</b>	<b>34,898</b>	<b>99,039</b>	<b>234,585</b>	<b>329,958</b>	<b>198,295</b>	<b>148,151</b>	<b>61,526</b>	<b>192,523</b>
<b>CASH &amp; CASH EQUIVALENTS AT BEGINNING OF PERIOD</b>	<b>2,321,883</b>	<b>2,904,255</b>	<b>2,704,028</b>	<b>2,738,926</b>	<b>2,837,966</b>	<b>3,072,551</b>	<b>3,402,509</b>	<b>3,600,804</b>	<b>3,748,955</b>	<b>3,810,480</b>
<b>CASH &amp; CASH EQUIVALENTS AT END OF PERIOD</b>	<b>2,904,255</b>	<b>2,704,028</b>	<b>2,738,926</b>	<b>2,837,966</b>	<b>3,072,551</b>	<b>3,402,509</b>	<b>3,600,804</b>	<b>3,748,955</b>	<b>3,810,480</b>	<b>4,003,003</b>

Interest Rate	1.5%									
Interest Income										
Opening Balance	2,321,883	2,904,255	2,704,028	2,738,926	2,837,966	3,072,551	3,402,509	3,600,804	3,748,955	3,810,480
Interest Earned	34,828	43,564	40,560	41,084	42,569	46,088	51,038	54,012	56,234	57,157



**EASTERN WASTE MANAGEMENT AUTHORITY INC**  
**PROJECTED BALANCE SHEET**  
**LONG TERM FINANCIAL PLAN (LTFP): FY2021 - FY2030**

FY2020 CLOSING BALANCE		FINANCIAL YEAR									
		1 2021	2 2022	3 2023	4 2024	5 2025	6 2026	7 2027	8 2028	9 2029	10 2030
	<b>ASSETS</b>										
	<b>CURRENT ASSETS</b>										
2,321,883	Cash & Cash Equivalents	2,904,255	2,704,028	2,738,926	2,837,966	3,072,551	3,402,509	3,600,804	3,748,955	3,810,480	4,003,003
1,020,056	Trade & Other Receivables	1,020,056	1,020,056	1,020,056	1,020,056	1,020,056	1,020,056	1,020,056	1,020,056	1,020,056	1,020,056
-	Other Financial Assets	-	-	-	-	-	-	-	-	-	-
-	Inventory	-	-	-	-	-	-	-	-	-	-
<b>3,341,938</b>	<b>TOTAL CURRENT ASSETS</b>	<b>3,924,310</b>	<b>3,724,084</b>	<b>3,758,982</b>	<b>3,858,021</b>	<b>4,092,606</b>	<b>4,422,564</b>	<b>4,620,859</b>	<b>4,769,010</b>	<b>4,830,536</b>	<b>5,023,059</b>
	<b>NON-CURRENT ASSETS</b>										
7,652,406	Infrastructure, Property, Plant & Equipment	7,328,431	7,368,171	6,803,208	6,884,621	9,648,404	9,704,077	9,520,735	6,816,206	6,681,049	6,532,809
<b>7,652,406</b>	<b>TOTAL NON-CURRENT ASSETS</b>	<b>7,328,431</b>	<b>7,368,171</b>	<b>6,803,208</b>	<b>6,884,621</b>	<b>9,648,404</b>	<b>9,704,077</b>	<b>9,520,735</b>	<b>6,816,206</b>	<b>6,681,049</b>	<b>6,532,809</b>
<b>10,994,345</b>	<b>TOTAL ASSETS</b>	<b>11,252,742</b>	<b>11,092,255</b>	<b>10,562,190</b>	<b>10,742,642</b>	<b>13,741,010</b>	<b>14,126,641</b>	<b>14,141,594</b>	<b>11,585,216</b>	<b>11,511,585</b>	<b>11,555,867</b>
	<b>LIABILITIES</b>										
	<b>CURRENT LIABILITIES</b>										
1,205,942	Trade & Other Payables	1,205,942	1,205,942	1,205,942	1,205,942	1,205,942	1,205,942	1,205,942	1,205,942	1,205,942	1,205,942
1,929,000	Borrowings	2,160,487	2,130,065	2,309,548	2,299,888	2,284,368	2,485,048	2,556,377	2,443,631	2,355,718	1,937,504
596,596	Provisions	596,596	596,596	596,596	596,596	596,596	596,596	596,596	596,596	596,596	596,596
<b>3,731,538</b>	<b>TOTAL CURRENT LIABILITIES</b>	<b>3,963,025</b>	<b>3,932,602</b>	<b>4,112,085</b>	<b>4,102,426</b>	<b>4,086,906</b>	<b>4,287,585</b>	<b>4,358,915</b>	<b>4,246,169</b>	<b>4,158,255</b>	<b>3,740,042</b>
	<b>NON-CURRENT LIABILITIES</b>										
6,221,000	Borrowings	6,210,810	6,080,745	5,371,198	5,561,309	8,575,197	8,760,149	8,703,772	6,260,140	6,274,423	6,736,918
76,841	Provisions	76,841	76,841	76,841	76,841	76,841	76,841	76,841	76,841	76,841	76,841
<b>6,297,841</b>	<b>TOTAL NON-CURRENT LIABILITIES</b>	<b>6,287,651</b>	<b>6,157,586</b>	<b>5,448,039</b>	<b>5,638,150</b>	<b>8,652,038</b>	<b>8,836,990</b>	<b>8,780,613</b>	<b>6,336,981</b>	<b>6,351,264</b>	<b>6,813,759</b>
<b>10,029,379</b>	<b>TOTAL LIABILITIES</b>	<b>10,250,676</b>	<b>10,090,189</b>	<b>9,560,124</b>	<b>9,740,576</b>	<b>12,738,944</b>	<b>13,124,575</b>	<b>13,139,528</b>	<b>10,583,150</b>	<b>10,509,519</b>	<b>10,553,801</b>
<b>964,966</b>	<b>NET ASSETS</b>	<b>1,002,066</b>	<b>1,002,066</b>	<b>1,002,066</b>	<b>1,002,066</b>	<b>1,002,066</b>	<b>1,002,066</b>	<b>1,002,066</b>	<b>1,002,066</b>	<b>1,002,066</b>	<b>1,002,066</b>
	<b>EQUITY</b>										
964,966	Accumulated Surplus	1,002,066	1,002,066	1,002,066	1,002,066	1,002,066	1,002,066	1,002,066	1,002,066	1,002,066	1,002,066
<b>964,966</b>	<b>TOTAL EQUITY</b>	<b>1,002,066</b>	<b>1,002,066</b>	<b>1,002,066</b>	<b>1,002,066</b>	<b>1,002,066</b>	<b>1,002,066</b>	<b>1,002,066</b>	<b>1,002,066</b>	<b>1,002,066</b>	<b>1,002,066</b>

**EASTERN WASTE MANAGEMENT AUTHORITY INC**  
 PROJECTED STATEMENT OF CHANGES IN EQUITY  
 LONG TERM FINANCIAL PLAN (LTFP): FY2021 - FY2030

FY	FINANCIAL YEAR									
	1	2	3	4	5	6	7	8	9	10
	2021	2022	2023	2024	2025	2026	2027	2028	2029	2030
<b>707,151</b>	<b>BALANCE AT END OF PREVIOUS REPORTING PERIOD</b>									
193,236	37,100	-	0	0	-	-	0	0	0	0
64,579	-	-	-	-	-	-	-	-	-	-
-	-	-	-	-	-	-	-	-	-	-
<b>964,966</b>	<b>BALANCE AT END OF PERIOD</b>									

## 7.3: TREASURY MANAGEMENT PERFORMANCE REPORT

**REPORT AUTHOR:** Manager, Corporate Services  
**ATTACHMENTS:** A: Annual Performance Report

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### Purpose of the Report

To provide the Audit and Risk Management Committee (the Committee) with a performance report as required by Clause 4.7 of East Waste's Treasury Management Policy.

### Report

This Report (refer Attachment A) is provided in accordance with Clause 4.7 of East Waste's Treasury Management Policy:

#### **4.7 Reporting**

*On or before 30 November each year, the East Waste Board shall receive, via the Audit and Risk Management Committee, a specific report regarding treasury management performance relative to the criteria specified in this policy. This report will highlight:*

- *The amount of each East Waste borrowing and investment, its interest rate, maturity date and any changes in holdings since the previous report; and*
- *If applicable, the proportion of fixed interest rate and variable interest rate borrowings at the end of the reporting period.*
- 

The loan amounts listed in Attachment A are 'total amounts' borrowed and not what is remaining, with the rationale being that outstanding loan amounts are provided within the East Waste Financials, which are provided at each Committee and Board meeting.

Noting the low interest rates attached to East Waste's most recent loans (1.70%), East Waste Administration made an approach to the LGFA to ascertain whether any savings could be made if we were to break any loan agreements and re-enter new Agreements, thus attracting the lower rates. The following advice was provided to East Waste by the LGFA:

*"Any fixed debentures are fixed rate loans, when East Waste decided to fix the loans, the LGFA also fixed our exposure and if you were to 'refinance', we would need to pay a break cost to get out of these loans. The cost is essentially the difference of current rates & the rates that you locked in + the remaining term. So whilst you could pay a cost to get out of them, the board made a decision when taking out these loans that they wanted certainty with interest rates. Unless you wanted to pay back the debt, rarely is there actual benefit in paying costs to break a loan and entering into a lower rate."*

No information has been provided in accordance with Clause 4.7, dot point 2, as this is not applicable to East Waste at this time, as all borrowings are 100% fixed rates.

### RECOMMENDATION

**The Committee recommend that the Performance Report as presented in Attachment A is endorsed and presented to the East Waste Board.**



Audit & Risk Management Committee  
18 November 2020  
Item 7.3

## ANNUAL TREASURY MANAGEMENT PERFORMANCE REPORT

### Borrowings as at 30/10/2020

Loan #	Amount	Rate	Term	Maturity date
Loan Agreement 6	\$ 2,013,491.00	5.35%	7 years	15/01/2021
Loan Agreement 7	\$ 1,743,400.00	4.25%	7 years	15/01/2022
Loan Agreement 8	\$ 1,926,190.00	3.75%	7 years	15/07/2023
Loan Agreement 9	\$ 281,743.00	3.50%	7 years	17/10/2023
Loan Agreement 10	\$ 1,646,244.00	3.85%	7 years	17/07/2024
Loan Agreement 11	\$ 325,369.00	4.00%	7 years	15/09/2024
Loan Agreement 12	\$ 1,813,771.00	4.00%	7 years	15/11/2025
Loan Agreement 13	\$ 2,170,966.00	2.55%	8 years	17/02/2028
Loan Agreement 14	\$ 2,284,000.00	1.70%	8 years	15/10/2028

### Matured Loans between 30/10/2019 - 30/10/2020

Loan #	Amount	Rate	Term	Maturity date
Loan Agreement 2	\$ 873,000.00	6.85%	10 years	19/02/2020
Loan Agreement 4	\$ 1,626,650.00	4.80%	7 years	17/12/2019
Loan Agreement 5	\$ 378,804.00	4.90%	7 years	17/06/2020

### Investments as at 30/10/2020

Loan #	Amount	Rate	Term	Maturity date
NIL				

### Matured Investments from 30/10/2019 - 30/10/2020

Amount	Rate	Term	Maturity date	Interest Earned
\$ 1,000,000.00	1.00%	120 Days	6/07/2020	\$ 2,816.43
\$ 1,500,000.00	1.05%	90 Days	3/02/2020	\$ 4,056.16
\$ 500,000.00	0.90%	60 Days	6/01/2020	\$ 813.70
\$ 800,000.00	1.25%	90 Days	25/11/2019	\$ 2,520.55
				<b>\$ 10,206.84</b>

## 7.4: UNREASONABLE COMPLAINANT CONDUCT POLICY

**REPORT AUTHOR:** Manager, Corporate Services  
**ATTACHMENTS:** A: DRAFT Unreasonable Complainant Conduct Policy

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### Purpose of the Report

To provide the Audit and Risk Management Committee (the Committee) with an opportunity to review and provide input into the DRAFT *East Waste Unreasonable Complainant Conduct Policy*.

### Background

A DRAFT Complaint Handling Policy was tabled before the Committee at their meeting held 16 September 2020. This intention of this DRAFT Policy was to capture all things related to East Waste's approach to the complaint handling process. Identified within the Policy were different complaint types and East Waste's approach to handling these complaints.

Whilst supportive of the Policy, a good discussion ensued as to whether a further policy should be developed in relation to East Waste's approach and management towards unreasonable or vexatious complainants. The Committee was of the view that a detailed policy of this nature would better support East Waste in dealing with complainants of this type. The Committee resolved:

### **7.7 COMPLAINT HANDLING POLICY**

*Moved Mr Barone that the Committee recommend that the DRAFT Complaint Handling Policy as presented in Attachment A, with amendments, is endorsed for presentation to the East Waste Board.*

*Seconded Mr Muhlhausler*

***Carried***

In support of this recommendation, the DRAFT Complaint Policy and recommendation of the Committee were tabled before the East Waste Board at their meeting held 24 September 2020. The Board supported the Committee's discussion and recommendation, and resolved:

### **7.7 COMPLAINT HANDLING POLICY**

*Moved Cr Green that the Board:*

- 1. Endorse the DRAFT Complaint Policy as presented in Attachment A.*
- 2. Direct East Waste Administration to develop a DRAFT Persistent Complainant Policy, to be tabled before the East Waste Board at their November 2020 meeting.*

*Seconded Mr Bradley*


***Carried***

### Report

In accordance with the recommendations of the Committee and the Board, the DRAFT Unreasonable Complainant Conduct Policy is provided at Attachment A for consideration and input of Committee Members.

### Recommendation

**The Committee recommend that the DRAFT Unreasonable Complainant Conduct Policy, as presented in Attachment A, is endorsed for presentation to the East Waste Board.**

	<p align="center"><b>UNREASONABLE COMPLAINANT CONDUCT POLICY</b></p>	Version No: 1.0
		Issued:
		<p>Next Review: No later than November 2022</p>

**BACKGROUND**

East Waste is committed to being accessible and responsive to all complainants who approach East Waste for assistance or seek to lodge a complaint. At the same time, our ability to provide the range of essential services that we provide to our Member Councils and their residents depends upon:

- our ability to do our work and perform our functions in the most effective and efficient way possible;
- the health, safety and security of East Waste staff; and
- our ability to allocate resources fairly across our operations and all requests and complaints that we receive.

When complainants behave unreasonably in their dealings with us, their conduct can significantly affect our ability to do this. While infrequent, if not properly managed, unreasonable complainant conduct can become a significant drain on East Waste’s resources. As a result, East Waste will take proactive, fair and decisive action to manage any complainant conduct that negatively and unreasonably affects its operations or staff and will support East Waste staff to do the same.

This Policy provides a framework for recognising and managing unreasonable complainant conduct and outlines the roles and responsibilities of East Waste staff.

**KEY PRINCIPLES**

This Policy is based upon the following principles:

- all complainants are treated with fairness and respect;
- unreasonable complainant conduct does not prevent there being a valid issue;
- application of this Policy should not go beyond what is appropriate and necessary to manage a complainant’s conduct and must be proportionate to their personal circumstances;
- the substance and merits of a complaint govern the level of resources dedicated to it, not a complainant’s demands or behaviour; and
- staff safety and well-being are paramount when dealing with unreasonable complainant conduct.

**SCOPE**

This Policy applies to all East Waste staff, contractors, Board Members and Committee Members that receive complaints made by members of the public to or about East Waste, or otherwise deal with complainants.

The focus of this Policy is upon managing the conduct and behaviour of a complainant. That behaviour may be exhibited in person, over the phone, in writing, electronically (e.g. by email, social media or via submission forms on East Waste’s website), or a combination of these. The behaviour may occur on one occasion or over a number of occasions.

	<b>COMPLAINT HANDLING POLICY</b>	Version No: 1.0
		Issued:
		Next Review: No later than November 2022

The substance of any complaint will be dealt with under East Waste’s *Complaint Handling Policy* and supporting procedures, which provides a framework for receiving and responding to complaints made by members of the public to or about East Waste.

This Policy forms part of East Waste’s Complaint Handling Framework, which includes the following policies and procedures:

- *Complaints Handling Policy*; and
- *Complaint Handling Procedure*.

## **POLICY**

### **Unreasonable Complainant Conduct**

Unreasonable complainant conduct is any behaviour by a current or former complainant which, because of its nature or frequency raises substantial health, safety, resource or equity issues for East Waste, East Waste staff, contractors, Board Members or Committee Members, other service users and complainants, or the complainant themselves.

Unreasonable complainant conduct can be divided into five key categories of conduct:

1. unreasonable persistence;
2. unreasonable demands;
3. unreasonable lack of cooperation;
4. unreasonable arguments; and
5. unreasonable behaviours.

#### 1. Unreasonable Persistence


Unreasonable persistence is continued, incessant and unrelenting conduct by a complainant that has a disproportionate and unreasonable impact on East Waste, East Waste staff, contractors or Board Members, Committee Member, East Waste services, time and/or resources. Some examples of unreasonably persistent behaviour include:

- an unwillingness or inability to accept reasonable and logical explanations including final decisions that have been comprehensively considered and dealt with;
- persistently demanding a review simply because it is available and without arguing or presenting a case for one;
- pursuing and exhausting all available review options when it is not warranted and refusing to accept further action cannot or will not be taken on their complaints;
- reframing a complaint in an effort to get it considered again;
- bombarding East Waste or East Waste staff, contractors, Board Members or Committee Members, with phone calls, visits, letters, emails (including cc’d correspondence) after repeatedly being asked not to do so; or
- contacting different people within East Waste and/or externally to get a different outcome or more sympathetic response to their complaint (internal and external forum shopping).

#### 2. Unreasonable Demands

Unreasonable demands are any demands (express or implied) that are made by a complainant that have a disproportionate and unreasonable impact on East Waste, East Waste staff, contractors, Board Members, Committee Members, East Waste services, time and/or resources. Some examples of unreasonable demands include:

- issuing instructions and making demands about how East Waste has/should handle their complaint, the priority it was/should be given, or the outcome that was/should be achieved;

	<b>COMPLAINT HANDLING POLICY</b>	Version No: 1.0
		Issued:
		Next Review: <b>No later than November 2022</b>

- insisting on talking to the General Manager or Senior Manager personally when it is not appropriate or warranted;
- emotional blackmail and manipulation with the intention to intimidate, harass, shame, seduce or portray themselves as being victimised – when this is not the case;
- insisting on outcomes that are not possible or appropriate in the circumstances – e.g. for someone to be sacked or prosecuted, an apology and/or compensation when no reasonable basis for expecting this; or
- demanding services that are of a nature or scale that East Waste cannot provide when this has been explained to the complainant.

### 3. Unreasonable Lack of Cooperation

Unreasonable lack of cooperation is an unwillingness and/or inability by a complainant to cooperate with East Waste, East Waste staff, contractors, Board Members, Committee Members or East Waste’s complaint handling process that results in a disproportionate and unreasonable use of East Waste services, time and/or resources. Some examples of unreasonable lack of cooperation include:

- sending a constant stream of comprehensive and/or disorganised information without clearly defining any issues of complaint or explaining how they relate to the core issues of the complaint (where the complainant is capable of doing this);
- providing little or no detail with a complaint or presenting information in ‘dribs and drabs’;
- refusing to follow or accept East Waste’s instructions, suggestions, or advice without a clear or justifiable reason for doing so;
- arguing frequently and/or with extreme intensity that a particular solution is the correct one in the face of valid contrary arguments and explanations; or
- displaying unhelpful behaviour – such as withholding information, acting dishonestly or misquoting others.

### 4. Unreasonable arguments

Unreasonable arguments include any arguments that are not based in reason or logic, that are incomprehensible, false or inflammatory, trivial or delirious and that disproportionately and unreasonably impact upon East Waste, East Waste staff, contractors, Board Members, Committee Members, East Waste services, time, and/or resources. Arguments are unreasonable when they:

- fail to follow a logical sequence;
- are not supported by any evidence and/or are based on conspiracy theories;
- lead a complainant to reject all other valid and contrary arguments;
- are trivial when compared to the amount of time, resources and attention that the complainant demands; or
- are false, inflammatory or defamatory.

### 5. Unreasonable behaviour

Unreasonable behaviour is conduct that is unreasonable in all circumstances – regardless of how stressed, angry or frustrated a complainant is – because it unreasonably compromises the health, safety and security of East Waste staff, contractors, Board Members or Committee Members, other service users or the complainant themselves. Some examples of unreasonable behaviours include:



	<b>COMPLAINT HANDLING POLICY</b>	<b>Version No:</b> 1.0
		<b>Issued:</b>
		<b>Next Review:</b> No later than <b>November 2022</b>

- acts of aggression, verbal abuse, derogatory, racist, or grossly defamatory remarks;
- harassment, intimidation or physical violence;
- rude, confronting and threatening correspondence;
- threats of harm to self or third parties, threats with a weapon or threats to damage property, including bomb threats;
- stalking (in person or online); or
- emotional manipulation.

East Waste has a zero-tolerance policy towards any harm, abuse or threats directed towards East Waste staff, contractors, Board Members or Committee Members. Any conduct of this kind will be dealt with in accordance with East Waste’s duty of care and health and safety responsibilities, and may result in a refusal to take further action on a complaint or to have further dealings with a complainant. Matter may be referred to the police and in certain cases, legal action considered.

### **Roles and Responsibilities**

#### Responsible Officer

East Waste’s General Manager is responsible for oversight of East Waste’s management of unreasonable complainant conduct under this Policy and is the primary contact for East Waste staff in relation to the application of this Policy & supporting procedures.

#### East Waste staff

All East Waste staff are responsible for familiarising themselves with this Policy and East Waste’s *Complaint Handling Policy & Supporting Procedure* and their obligations under each Policy.

Staff should be mindful to identify the early warning signs of unreasonable complainant conduct when dealing with complainants and are encouraged to explain this Policy to complainants. Staff are empowered and authorised to deal with complainants in accordance with the strategies and processes set out in this Policy and East Waste’s *Complaints Handling Policy*. Matters will not be escalated to a Senior Manager or the General Manager simply because this is requested by a complainant. This can establish a precedent for future dealings with the complainant, can give an inaccurate indication of the importance of their complaint, and does little to manage the behaviour of the complainant.

All staff members are responsible for ensuring that all corporate records in relation to unreasonable complainant conduct and any action taken under this Policy are recorded within East Waste’s Records Management System.

#### Contractors, Board Members & Committee Members

Board Members or Committee Members who experience or witness unreasonable complainant conduct must report this to East Waste’s General Manager and should not engage further with the complainant.

Contractors who experience or witness unreasonable complainant conduct must report this to their relevant contact (management) at East Waste. The matter will be dealt with by the relevant East Waste staff member from that point onwards in accordance with this Policy.

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### Managers

Managers and the General Manager are responsible for overseeing, reviewing and monitoring all cases of unreasonable complainant conduct where this Policy is applied. Managers, in consultation with the General Manager, also have the responsibility and authority to change or restrict a complainant's access to East Waste services in accordance with this Policy.

Lastly, Managers and Team Leaders are also responsible for supporting and appropriately training staff to deal with unreasonable complainant conduct and ensuring compliance with this Policy.

Following an incident of unreasonable complainant conduct, Managers are responsible for providing affected staff members with appropriate support and assistance, including the opportunity to debrief their concerns (formally or informally), medical or police assistance, or support through East Waste's Employee Assistance Program, as required.

### **Managing Unreasonable Complainant Conduct**

In considering the measures to be put in place to manage a complainant's conduct, a combination of informal strategies and more formal restrictions on access to East Waste's services may be used. In many cases, East Waste staff will need to continue corresponding or dealing with a complainant in relation to an existing complaint or other matters, and so practical strategies for managing such interactions 'on the frontline' are needed.

In addition, unreasonable complainant conduct can be managed by limiting or adapting the ways that East Waste interacts with and/or delivers services to complainants, including by restricting:


1. who they have contact with;
2. what they can raise with us;
3. when they can have contact;
4. where they can make contact; and
5. how they can make contact.

Discretion should be used to adapt the following restrictions so that they are proportionate and reasonable considering the nature of the complainant's conduct and their personal circumstances (e.g. their level of competency, literacy skills etc.). Restrictions should be applied in the least restrictive way possible and the aim should not be to punish the complainant, but rather to manage the impacts of their conduct. In some circumstances, more than one strategy may be needed to ensure the efficacy of East Waste's management of the unreasonable complainant conduct.

The restrictions set out below can only be implemented by the relevant Manager in consultation with the General Manager.

#### **1. Who – limiting the complainant to a sole contact point**

Where a complainant tries to forum shop internally within East Waste, changes their issues of complaint repeatedly, reframes their complaint, or raises an excessive number of complaints it may be appropriate to restrict their access to a single staff member (a sole contact point) who will

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exclusively manage their complaint(s) and interactions with East Waste. This helps to ensure they are dealt with consistently and may minimise the chances for misunderstandings, contradictions and manipulation.

The sole contact officer will be selected on the basis of relevant subject matter expertise and seniority (and any other relevant factors in the circumstances), in order to manage the unreasonable complainant conduct effectively.

Complainants who are restricted to a sole contact person will also be given the contact details of the relevant Manager or General Manager who they can contact if their primary contact is unavailable (e.g. if they go on leave or are otherwise unavailable for an extended period of time).

## **2. What – restricting the subject matter of communications that East Waste will consider**

Where complainants repeatedly make written or verbal communications (including, e.g., letters, emails, online forms, social media) that raise trivial or insignificant issues, contain inappropriate or abusive content or relate to a complaint/issue that has already been comprehensively considered and/or reviewed by East Waste, then East Waste may restrict the issues/subject matter the complainant can raise with East Waste and/or that East Waste will respond to. For example, East Waste may:

- refuse to respond to correspondence that raises an issue that has already been dealt with comprehensively, that raises a trivial issue, or that is not supported by clear/any evidence. The complainant will be advised that future correspondence of this kind will be read and filed without acknowledgement unless East Waste determines that it needs to be pursued further (e.g. if new information is presented), in which case, East Waste may do so at its own discretion.
- restrict the complainant to one (1) complaint/issue per month. Any attempts to circumvent this restriction, for example by raising multiple complaints/issues in the one complaint letter may result in modifications or further restrictions being placed on the complainant's access.
- return correspondence to the complainant (or in the case of East Waste's social media platforms, hide or remove the relevant content) and require the complainant to remove any inappropriate content before East Waste will agree to consider its contents. A copy of the inappropriate correspondence will also be made and kept for East Waste's records to identify repeat/further unreasonable complainant conduct incidents.

## **3. When and how – limiting when and how a complainant can contact East Waste**

If a complainant's contact with East Waste places an unreasonable demand on East Waste's time or resources because it is overly lengthy, irrelevant or disorganised, occurs frequently, or affects the health, safety or security of East Waste staff because it involves behaviour that is persistently rude, threatening, abusive or aggressive, East Waste may limit when and/or how the complainant can interact with East Waste. This may include:

- limiting their telephone calls or face-to-face interactions to a particular time of the day or days of the week;
- limiting the length or duration of telephone calls, written correspondence or face-to-face interactions
- limiting the frequency of their telephone calls, written correspondence, emails or face-to-face interactions; and/or

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- restricting access to East Waste’s website and social media platforms and/or hiding or removing content generated by the complainant on East Waste’s social media platforms.

East Waste may also:

- require the complainant to revise their request so that it is clear and concise, in order for East Waste to perform an effective review of their complaint;
- require the complainant to clearly identify how the information or supporting materials they have sent to East Waste relates to the central issues that East Waste has identified in their complaint; and/or
- restrict a complainant to sending emails to a particular email account (e.g. the organisation’s main email account or a designated account) or block their email access altogether and require that any further correspondence be sent through Australia Post only.

East Waste may consider imposing a ‘writing only’ restriction, which means that the complainant’s communications to East Waste are restricted to written communications.

If a complainant’s contact is restricted to ‘writing only’, East Waste will clearly identify the specific means that the complainant can use to contact East Waste’s office (e.g. Australia Post only, or email only to a designated East Waste email account). If it is not appropriate for a complainant to enter East Waste’s premises to hand deliver their written communication, this must be communicated to them.

Any communications that are received by East Waste in a manner that contravenes a ‘write only’ restriction or any of the restrictions imposed above will either be returned to the complainant or read and filed without acknowledgement.

#### **4. Where – limiting face-to-face interaction to secure areas**

If a complainant is violent or overtly aggressive, unreasonably disruptive, threatening or demanding or makes frequent unannounced visits to East Waste’s premises, East Waste may consider restricting face-to-face contact with the complainant at one or more of its premises. These restrictions may include:

- restricting access to particular secured premises or areas of the office – such as the reception area or a secured room/facility;
- restricting attendance at East Waste’s premises to specified times of the day and/or days of the week only – for example, when additional security is available or to times/days that are less busy;
- allowing the complainant to attend East Waste’s premises on an ‘appointment only’ basis and only with specified staff (note – during these meetings staff should always seek support and assistance of a colleague for added safety and security); and/or
- banning the complainant from attending East Waste’s premises altogether and allowing some other form of contact – eg ‘writing only’ or ‘telephone only’ contact.

In cases where East Waste cannot completely restrict contact with a complainant and their conduct is particularly difficult to manage, East Waste may also limit their contact to contact through a support person or representative only. The support person may be nominated by the complainant but must be approved by the relevant Manager in consultation with the General Manager.

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When assessing a representative or support person's suitability, the authorised East Waste staff should consider factors including: the nominated representative/support person's competency and literacy skills, their demeanour and behaviour, and their relationship with the complainant. If the authorised East Waste staff determine that the representative/support person may exacerbate the situation with the complainant, the complainant will be asked to nominate another person or East Waste may assist them in this regard.

#### **5. Terminating a complainant's access to East Waste's services**

In rare cases, and as a last resort when all other strategies have been considered and/or attempted, East Waste's General Manager may decide that it is necessary for East Waste to completely restrict a complainant's contact/access to East Waste's services.

Such a decision will only be made if it appears that the complainant is unlikely to modify their conduct and/or their conduct poses a significant risk for East Waste staff or other parties because it involves one or more of the following types of conduct:

- acts of aggression, verbal and/or physical abuse, threats of harm, harassment, intimidation, stalking or assault;
- damage to property while on East Waste's premises;
- threats with a weapon or other items that could be used to harm another person or themselves;
- physically preventing a staff member from moving around freely either within their office or during an off-site visit (e.g. entrapping them in their home); and/or
- conduct that is otherwise unlawful.

A complainant's access to East Waste's services and its premises may also be restricted (directly or indirectly) using legal mechanisms and orders including in relation to trespass or to protect East Waste staff, contractors, Board Members or Committee Members from personal violence, intimidation or stalking by a complainant.

East Waste also has the discretion to use alternative dispute resolution strategies such as mediation and conciliation with an independent third party as a management strategy in relation to unreasonable complainant conduct. However, East Waste recognises that in some circumstances, alternative dispute resolution may not be an appropriate or effective strategy, particularly if the complainant is uncooperative or resistant to compromise.

#### **Periodic Review of Restrictions on Access**

All cases of unreasonable complainant conduct where this Policy is applied to restrict access to East Waste services will be reviewed every **three (3) months**, unless a longer period of time is justified in the circumstances (considering the nature of the unreasonable complainant conduct and the East Waste service to which access has been restricted), but in any event, not more than 12 months after the restriction was initially imposed or continued.

East Waste has the discretion to conduct a periodic review of restrictions on access at any other time, including upon request by the complainant or following a further incident of unreasonable complainant conduct by the complainant.

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The complainant will be invited to participate in the review process unless it is determined that this invitation will provoke further unreasonable complainant conduct from the complainant. The review and any correspondence or communication in relation to it will be conducted in accordance with the complainant's access restrictions (e.g. if contact is restricted to writing only).

The review may result in the complainant's restrictions being retained, modified or removed, further restrictions being imposed, or the complainant's access to East Waste's services being completely removed, depending upon the circumstances of the case.

#### **Review of a Decision to Restrict Access**

If the complainant is dissatisfied with a decision made by East Waste to restrict the complainant's access to East Waste's services in accordance with this Policy, the complainant may request a review of the decision under Section 270 of the *Local Government Act 1999* which enables East Waste to reconsider all the evidence relied on to make the decision, including new evidence if relevant.

All requests for a review of a decision will be referred to an East Waste Member Council, whereby the appropriate resources and supporting policies and procedures are in place to facilitate this process. must be referred to the General Manager, Governance & Community Affairs.

If a complainant continues to be dissatisfied with the outcome of the s270 referral review process, or would like to have their case considered by an external agency, they may seek an external review from an oversight agency such as the Ombudsman SA.

#### **Delegation**

The General Manager has the delegation to:

- Approve, amend and review any procedures that shall be consistent with this Policy; and
- Make any formatting, nomenclature or other minor changes to the Policy during the period of its currency.

#### **Policy Review**

This Policy will be reviewed every two (2) years.

<b>Document History:</b>	<b>Version No:</b>	<b>Issue Date:</b>	<b>Description of Change:</b>
	1.0		

## 7.5: PROCEDURE VALIDATION – INCIDENT REPORTING AND INVESTIGATION PROCEDURE

**REPORT AUTHOR:** Manager, Corporate Services

**ATTACHMENTS:** A: Procedure Validation Report – Incident Reporting and Investigation Procedure

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### **Purpose of the Report**

To provide the Audit and Risk Management Committee (the Committee) with the outcome and report of the audit undertaken by Local Government Risk Services (LGRS) in relation to East Waste’s Incident Reporting and Investigation Procedure.

### **Background**

East Waste holds membership with the Local Government Association Worker’s Compensation Scheme (LGAWCS) under the classification of self-insured employer. East Waste was notified in early 2020 that it had been selected for a random audit to be undertaken of its Incident Reporting and Investigation Procedure.

An audit of East Waste’s Incident Reporting and Investigation Procedure was undertaken in early October 2020 and the audit report is provided at Attachment A.

### **Report**

The purpose of the audit is to demonstrate conformance with the Return to Work SA Performance Standards for self-insurers, which allow the maintenance of the scheme self-insured licence. Whilst there is no penalty for non-conformances, they have been identified to assist East Waste with continuous improvement and best practice activities.

Overall, East Waste performed well, with 11 conformances and 5 non-conformances. Whilst not outlined in the report, the auditor verbally indicated to East Waste that we were one of the highest performers across local government with respect to this validation audit. The procedure is a robust one that is strongly adhered to and complied with by all East Waste staff. Staff have a strong working knowledge of incident reporting and investigation requirements and this is well managed by East Waste’s Risk and WHS Coordinator, Mr Ian Lampre.

Whilst accepting of the non-conformances identified, East Waste would argue that some of the non-conformances identified were quite harsh on the basis that they were largely minor administrative or systems errors, rather than procedural issues. Nevertheless, East Waste has remedied all the non-conformances identified.

The report is provided for information of the Committee.

### **Recommendation**

**That the Committee note and receive the Procedure Validation Report.**



# Procedure Validation *Draft* Report Eastern Waste Management Authority Incident Reporting and Investigation Procedure

Bob Raymond, Internal Auditor  
Procedure Validation Team  
Local Government Risk Services  
20/10/2020



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## Supplementary Evidence:

- LGAWCS Procedure Validation Evidence Tool

## Executive Summary

East Waste participated in a procedure validation for the Incident Reporting and Investigation procedure on 7-8 October 2020.

The procedure validation indicates that is still in the process of embedding system and operational requirements from their Incident Reporting and Investigation procedure.

The findings are as follows:

Conformance	Conformance With an Observation	Non-Conformance	Out of Scope Comments
11	0	5	0

The following pages provide a summary of the findings and recommendations that need to be considered in light of the evidence presented.

It is recommended that these findings are considered as part of East Waste's planning and management review processes, (in line with the core component requirements contained within the LGAWCS One System Model Planning and Program Development procedure) to prioritise Incident Reporting and Investigation requirements within the wider WHS program at East Waste.

Bob Raymond  
Internal Auditor, Procedure Validation Team  
Local Government Risk Services

## Introduction

Bob Raymond, on behalf of the Local Government Association Workers Compensation Scheme (LGAWCS), conducted a procedure validation for Eastern Waste Management Authority (East Waste) focusing on the Incident Reporting and Investigation Procedure over 2 days on 7-8/10/2020. The validation was undertaken as part of the LGAWCS centralised procedure validation process. East Waste was randomly selected to take part in this procedure validation.

The procedure validation involved testing 16 defined criteria from East Waste's Incident Reporting and Investigation Procedure. As well as the criteria, out of scope comments may be provided that East Waste should consider.

A desktop review was undertaken off site, which considered a range of information including:

- Copies of WHS Committee Meeting minutes for the last two years.
- Copies of three sample incident and investigation reports, numbers 430, 435 and 439.
- Copy of the Authority organisation chart.
- Incident report database for the period 24/08/19 to 24/08/20.
- Various position descriptions indicating WHS accountabilities and responsibilities.
- Copies of the Incident Reporting and Investigation procedure, WHS Document Management procedure and the WHS Consultation and Communication procedure.
- Copy of the Document Implementation flowchart.
- Risk assessments relating to mobile plant.
- Training records and data relating to incident investigation training and the Communication and Consultation procedure.
- Completed desktop documentation request

The aim of the desktop review process is to limit the time required for the LGAWCS procedure validators to be on site, and so limit the impact to Council business.

A timeframe of two days on site was allocated. Evidence was collected by appropriate sampling to determine whether the validation criteria had been met. Methods to collect evidence included:

- Conducting interviews,
- Observation of incident location
- The review of documents and records.

The site/s visited and the degree of testing and sampling that occurred is outlined below:

- Worksite locations visited:
  - Eastern Waste Management Administration office.
- Review of relevant system elements, including the incident reporting and investigation system.
- Discussion (and clarification) of particular elements with employees.

## Methodology

The procedure validation process commences with the development of a generic validation tool for the One System Model procedure for the Incident Reporting and Investigation procedure. The generic tool was tailored to reflect the individual procedural requirements of the East Waste's Incident Reporting and Investigation procedure, version 6.0, issued 20/04/20 date, next review 20/04/23.

An opening meeting outlining the procedure validation process was held on 07/10/20 with:

- Rob Gregory, General Manager
- Ian Lampre, Risk and WHS Coordinator

Workers involved in the procedure validation process included:

- Rob Gregory, General Manager
- Brian Krombholz, Manager Operational Services
- Shane Raymond, Manager Corporate Services
- Roger Priess, Driver
- Shane Drury, Team Leader/HSR
- Darren Carnell, HSR – Workshop
- Ian Lampre, Risk & WHS Coordinator

A closing meeting outlining the key validation findings was held on 08/10/20 with:

- Rob Gregory, General Manager
- Ian Lampre, Risk & WHS Coordinator

It should be recognised that the findings of this report should be used:

- For planning and continuous improvement activities by Scheme Members in relation to the findings for the validated topic;
- To demonstrate conformance with the ReturnToWorkSA Performance Standards for Self-Insurers, which will allow the maintenance of the Scheme self-insured licence, and
- To enhance the capacity of Scheme Members to meet their WHS legislative obligations, with particular reference to the obligations contained within Sections 19 and 27 of the SA WHS Act 2012.

## Findings

The procedure validation assessed the East Waste's Incident Reporting and Investigation processes in relation to the requirements of its current WHS procedure for Incident Reporting and Investigation.

The validation process demonstrated that the Incident Reporting and Investigation procedure is in place however, not all activities observed were compliant with procedural requirements. The workers interviewed indicated that they were aware of their roles and responsibilities for the activities they were involved in.

Some key highlights were:

- Responsibilities accountabilities for incident reporting and investigation are documented and explained to relevant workers.
- The TNA identifies the Authorities incident reporting and investigation training needs.
- New workers have been informed of incident reporting responsibilities at induction.
- Good evidence of the implementation of immediate hazard control actions once an incident has occurred where required.
- Statutory reporting requirements being met where required.
- The detail provided in incident investigations, such as notes, records of interviews and evidence gathering.
- Communication and consultation with workers in relation to corrective actions following incidents
- Monitoring and review of corrective actions following incident investigations.

Areas of concern were noted and included:

- Documented evidence of procedure implementation will assist in ensuring all requirements of the Document Management procedure have been provided for.
- Not all relevant workers have been trained in incident reporting and investigation methodology.
- Sample incidents indicated the requirement for closer vetting of some of the information documented to ensure the reports have been completed accurately. A review of the incident register provided as evidence indicated not all incidents were documented within 24 hours of notification.
- Review of completed risk assessments or completion of new risk assessments following an incident is recommended determine severity and likelihood of harm and whether existing control measures are effective.
- Documented consideration of higher level controls having regard for the hierarchy of controls will assist in ensuring hazards are minimised as far as reasonably practicable.

The LGAWCS Procedure Validation Evidence Tool, which supplements this report, contains the evidence and a specific explanation of the findings for each criterion validated. It provides a reference to the relevant section of Eastern Waste Management Authority Incident Reporting and Investigation procedure, as well as showing references to the relevant section of the One System Model Incident Reporting and Investigation procedure and the core components.

The procedure validation findings are defined as follows:

**Conformance** - Activities undertaken and results achieved fulfil the specified requirements.

**Non-conformance** - Activities undertaken and the results achieved do not fulfil the specified requirements of the elements. This may be due to the substantive absence or inadequate implementation of a system or documented systems or procedures not being followed.

**Observation** - Activities undertaken and results achieved fulfil the specified requirements of the elements however an opportunity for improvement exists due to minor deficiencies identified.

**Out of scope comments** - are provided where an opportunity for improvement exists, but may not legitimately sit within the validation scope.

INCIDENT REPORTING AND INVESTIGATION PROCEDURE VALIDATION FINDINGS		
FINDING	RECOMMENDATION	
<b>1. PROCEDURE</b>		
<b>A. A procedure to manage Incident Reporting and Investigation has been documented, implemented and is current</b>		
Implementation Process Flow checklist. The Authority has advised that the document has only just been developed and has not been used to implement a procedure. Therefore the Authority have not been able to provide evidence of a documented implementation process to confirm that all requirements relating to the implementation of the Incident Reporting and Investigation procedure have been undertaken as documented in 4.6.1, 4.7.1 of the WHS Document Management procedure. This procedure states that each WHS document should have a formal implementation process (section 4.6). The implementation checklists as contained in the One System WHS Document Management procedure are not attached to the Authority procedure and would assist in ensuring that all implementation requirements are completed.	It is recommended that the Authority develop a formal documented implementation process for all WHS policies and procedures to ensure that all implementation requirements as documented in Section 4.6 of the WHS Document Management procedure are completed.	<b>NC</b>
<b>2. RESPONSIBILITIES</b>		
<b>A. Responsibilities for and accountabilities for incident reporting and investigation have been allocated and communicated.</b>		
The Authority conform to this procedure requirement.		<b>C</b>
<b>3. TRAINING</b>		
<b>A. The training needs analysis (TNA) will identify the training needs required for incident reporting and incident investigation.</b>		
The Authority conform to this procedure requirement.		<b>C</b>
<b>B. The incident reporting and investigation procedure will be explained during the induction process.</b>		

INCIDENT REPORTING AND INVESTIGATION PROCEDURE VALIDATION FINDINGS		
FINDING	RECOMMENDATION	
The Authority conform to this procedure requirement.		C
<b>C. Managers, Coordinators, HSRs and the HSC should be trained in the incident reporting process and incident investigation methodology in use in the organisation.</b>		
Not all managers have completed incident reporting and investigation training i.e. Manager Corporate Services. HSR Darren Carnell is still to complete HSR training Level 2 that includes incident Reporting and Investigation training.		NC
<b>4. INCIDENT REPORTING</b>		
<b>A. Workers must notify their manager or coordinator as soon as reasonably practicable after the incident has occurred. Where the incident involves a contractor, the contractor's manager or supervisor must inform the Risk &amp; WHS Coordinator or Manager, Corporate Services Manager as soon as reasonably practicable.</b>		
The Authority conform to this procedure requirement.		C
<b>B. Once an incident has occurred the person(s) involved should (if possible) take whatever steps are necessary to control the hazard in order to prevent further incidents/injury and seek first aid assistance, if required.</b>		
The Authority conform to this procedure requirement.		C
<b>C. Ensure statutory and other reporting requirements are met.</b>		
The Authority conform to this procedure requirement.		C
<b>D. The relevant manager or coordinator must consult with the HSR (if one exists for the work group) on work health and safety matters, including the occurrence of an incident.</b>		
The Authority conform to this procedure requirement.		C



## INCIDENT REPORTING AND INVESTIGATION PROCEDURE VALIDATION FINDINGS

FINDING	RECOMMENDATION	
<b>5. DOCUMENTATION</b>		
<b>A. An incident should be recorded on the Incident Report and Investigation form or within the online reporting platform “Skytrust” by the person who was involved in the incident, or, if this is not possible, by their manager and supervisor, as soon as possible after it has occurred or at least within 24 hours of it occurring.</b>		
<p>The three sample incidents indicate that some of the documented information provided was not correct. Incident No. 430 documented that the injured worker notified himself as the supervisor/manager. Incident number 435 documents one of the controls as PPE for the trip incident. Closer vetting of completed incident report and investigation documentation by those persons accountable for this function should be undertaken to ensure correct completion of these reports as they may become discoverable (able to be requested by an opposing party through a legal process) at a future date.</p> <p>Given the time lapse between when the incident occurred and when it was reported in the online reporting platform (&gt;. 24 hours) on a number of occasions during the period 01/07/19 to 30/06/20, the Authority should review the incident reporting database to determine if any trends exist in relation to the completion of incident reports in the online reporting platform outside of the 24 hour timeframe and take appropriate action as required.</p>		<b>NC</b>
<b>6. INCIDENT INVESTIGATION</b>		
<b>A. The investigation should obtain an accurate picture of what occurred (this includes the actions set out in step 4.7.4 (a)-(c) of the procedure) and the findings should be recorded on the Incident Report and Investigation form or within the online reporting platform.</b>		
The Authority conform to this procedure requirement.		<b>C</b>
<b>7. RISK ASSESSMENT</b>		

## INCIDENT REPORTING AND INVESTIGATION PROCEDURE VALIDATION FINDINGS

FINDING	RECOMMENDATION	
<p><b>A. The relevant manager or coordinator and members of the investigation team will review the relevant risk assessment if one exists or conduct a risk assessment if one does not exist to determine severity and likelihood of harm and whether existing control measures are effective.</b></p>		
<p>The Authority were unable to provide documented evidence of the review of existing risk assessments or completion of new risk assessments when incidents occurred to determine severity and likelihood of harm and whether existing control measures are effective.</p>		<b>NC</b>
<p><b>8. CORRECTIVE AND PREVENTATIVE ACTIONS</b></p>		
<p><b>A. The relevant manager or coordinator will identify corrective and preventative actions, consult with workers and other key stakeholders in relation to those actions and communicate CAPAs to all relevant persons across the organisation</b></p>		
<p>The Authority conform to this procedure requirement.</p>		<b>C</b>
<p><b>B. The findings should demonstrate that any risks to health and safety are eliminated, or where that is not reasonably practicable, minimised so far as is reasonably practicable, by applying the Hierarchy of Control and prioritising action in accordance with the Hazard Management Procedure. There needs to be an emphasis on the use of higher level controls and the rationale for utilising a particular control in preference to others should be evident.</b></p>		
<p>Incident investigation reports and any risk assessments undertaken or reviewed should provide documented reasons on those occasions where administration and PPE controls have been identified as to why higher level controls are not considered appropriate.</p>	<p>It is recommended that when developing corrective actions following incident investigations that documented rationale is provided for as to why particular controls are utilised in preference to others.</p>	<b>NC</b>
<p><b>9. MONITOR AND REVIEW</b></p>		
<p><b>A. The Risk &amp; WHS Coordinator will monitor incident statistics and present a report to the management team and the HSC. This should include outstanding items on the Corrective Action Register</b></p>		
<p>The Authority conform to this procedure requirement.</p>		<b>C</b>

## INCIDENT REPORTING AND INVESTIGATION PROCEDURE VALIDATION FINDINGS

FINDING	RECOMMENDATION	
B. The management team will review incident statistics and reports and direct action when required. Minutes should record outcomes of discussions and proposed actions.		
The Authority conform to this procedure requirement.		<b>C</b>

The Risk Evaluation of November 2019 did not outline findings that have a direct relationship to the Incident Reporting and Investigation procedure.

## Conclusion

I would like to thank all those involved in the East Waste procedure validation. It has been a positive experience with workers and management involved keen to put forward what they are doing in relation to Incident Reporting and Investigation.

The procedure validation findings can only be provided against the evidence presented at the time and within the validation scope. As part of the scope, I conducted a desktop review of evidence provided against the procedure validation criteria, followed by some testing of implementation via worker and management interviews and site inspections. The timeframe provided on-site is two days and hence this can only be a sampling process.

The desktop findings indicate that East Waste is still in the process of embedding system requirements for the Incident Reporting and Investigation procedure.

The expectation is that this report will be presented to the executive management team and health and safety committee (or other consultative group) and findings discussed with relevant workers. I will be seeking evidence to confirm this communication has taken place. I am available to discuss the findings with senior management if required.

Following acceptance of this report, East Waste will be offered assistance to identify and implement appropriate preventative and corrective actions relevant to the procedure validation findings. If support is not required, corrective actions will be reviewed to check that the actions selected are appropriate for closing out the identified issues in a prioritised, structured and systemic way. Actions will be monitored to ensure they are being closed out.

It is recommended that the validation findings are considered as part of the organisation's planning and management review processes, (in line with the core component requirements contained within the LGAWCS One System Model Planning And Program Development Procedure) to prioritise Incident Reporting and Investigation Procedure requirements within the wider WHS program at East Waste .

Bob Raymond  
Internal Auditor, Procedure Validation Team  
Local Government Risk Services

## 7.6: 2021 PROPOSED MEETING SCHEDULE

**REPORT AUTHOR:** Finance & Executive Administration Officer  
**ATTACHMENTS:** Nil

### Purpose of the Report

To provide the Committee with the proposed Audit & Risk Management Committee and Board meeting dates for 2021.

### Background

Nil

### Report

Table 1 details proposed meeting dates for the Audit and Risk Management Committee and Board for 2021.

**Table 1: 2021 Proposed Meeting Dates**

Audit & Risk Management Committee	Board	Legislative requirement
Wednesday 17 February 8:30am	Thursday 25 February 5:30pm	Budget Review 2 Draft Annual Plan & Budget
Wednesday 21 April 8:30am	Thursday 29 April 5:30pm	Budget Review 3
Wednesday 16 June 8:30am	Thursday 24 June 5:30pm	Annual Plan & Budget Endorsement
Wednesday 22 September 8:30am	Thursday 30 September 5:30pm	Audited Financials
Wednesday 17 November 8:30am	Thursday 25 November 5:30pm	Budget Review 1

Subject to endorsement by the East Waste Board, calendar invites for 2021 meetings shall be sent out prior to Christmas.

### Recommendation

**That the Committee receives and notes the report.**