



15 JANUARY 2026

Shire of Esperance

ORDINARY COUNCIL MEETING

27 JANUARY 2026

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POL 0018: Records Management

COUNCIL POLICY

Purpose

To ensure that the Shire meets the statutory requirements of the *State Records Act 2000* and associated legislation.

To provide record keeping principles and processes that identify, capture, and protect the Shire's corporate records of continuing value for legal, financial, administrative, accountability, and historical purposes.

Scope

This policy applies to all Shire of Esperance employees, ~~e~~Elected ~~m~~Members, ~~volunteers~~, and contractors performing services on behalf of the Shire of Esperance, ~~to~~ It ensures that all records, regardless of format, which are made-created or received in the course of their duties for the organisation, regardless of format, are captured accurately.

Roles and Responsibilities

1. Chief Executive Officer: ~~The Chief Executive Officer is~~ to ensure that an organisational system for the capture and management of corporate records is maintained by the Shire which is compliant with current legislative requirements and best practice standards.
2. Directors, Managers, and ~~O~~ther Supervisors: ~~All supervisors are~~ to ensure record keeping policy and procedures are known and adhered to within their area of responsibility.
3. All ~~Staff~~Employees and Volunteers: ~~All staff are~~ required to create, collect, and retain records relating to the business activities they perform on behalf of the Shire. These records shall be handled in a manner appropriate with the Shire's record keeping requirements and captured into the Shire's ~~r~~Record kKeeping ~~s~~Systems.
4. Elected Members: Elected members are required, as representatives of the Shire of Esperance, to capture or create records of any significant activities, interactions and advice or commitments they provide to, or receive from, the community and forward these records onto the Shire.
5. Contractors and Outsourcing: Contractors and organisations performing outsourced functions on behalf of the Shire are to create full and accurate records, as directed by specific contractual arrangements.

Definitions

Corporate Record: ~~see Government Records is a~~ A record that holds ongoing administrative, fiscal, legal, evidential, or historical value for the organisation.

Council: ~~in this document means the Local Government Office and the Council of the Shire of Esperance.~~

Ephemeral Records: ~~is a~~ records ~~and/or those~~ that ~~have only~~ has short-term value to the Shire of Esperance, with little or no on-going administrative, fiscal, legal, evidential, or historic value. ~~They~~ may include insignificant drafts and rough notes, ~~duplicate~~ records or routine enquiries.

~~Officers~~Employees and contractors may dispose of ~~such~~ ephemeral records when reference to them ceases. ~~(in accordance with the General Disposal Authority for Local Government Records).~~

General Retention and Disposal Authority (GRDA): ~~is a~~ list of mandatory minimum retention periods for different classes of corporate records which has been approved by the State Records Commission. This document identifies the minimum periods of time different classes of electronic and/or hardcopy records must be kept (retention periods) before they may be appropriately disposed. ~~legally disposed or permanently archived.~~

~~Government Organisation Employee:~~ means –

- ~~1. a person who, whether or not an employee, alone or with others governs, controls or manages a government organisation;~~
- ~~2. a person who, under the Public Sector Management Act 1994, is a public service officer of a government organisation; or~~
- ~~3. a person who is engaged by a government organisation, whether under a contract for services or otherwise;~~

~~and includes, in the case of a government organisation referred to in item 5 or 6 of Schedule 1, a ministerial officer, (as defined in the Public Sector Management Act 1994) assisting the organisation, (State Records Act 2000).~~

~~Government Record:~~ ~~is a record created or received by or for a government organisation or a government organisation employee or contractor in the course of the work for the organization (State Records Act 2000);~~

~~Local Government Office:~~ ~~the civic and administration office of the Shire of Esperance;~~

~~Records:~~ ~~information recorded in any form~~at, created or received, and maintained by an organisation in the transaction of business and kept as evidence of such activity.

~~State Archive:~~ ~~is a State record that is to be either retained permanently or transferred to the State archives collection. (State Records Act 2000)~~

~~Vital Record:~~ ~~is a record that is essential for the ongoing business of an agency, and without which the agency could not continue to function effectively. The identification and protection of such records is a primary objective of records management and disaster planning.~~

Practice

Corporate records provide fundamental evidence of the decisions and actions undertaken by the Shire whilst also serving as a tool for planning for the future. It is for these reasons that legislation exists to ensure that records are properly maintained and preserved for future generations. The most significant legislation impacting the

management of Shire corporate records is the *State Records Act 2000*. Other legislation governing records management includes the:

1. *Electronic Transactions Act 2011*;
2. *Evidence Act 1906*;
3. *Financial Management Act 2006*;
4. *Freedom of Information Act 1992*;
5. *Limitation Act 1935*;
6. *Local Government Act 1995*; and
7. State Records Commission Standards.

Corporate Records are recognised as an important information resource for the Shire of Esperance, and it is accepted that sound record management practices will contribute to the overall efficiency and effectiveness of the Shire.

The Shire's corporate records are to be managed in accordance with the Shire's Record Keeping Plan. All elected members, ~~employees~~officers, ~~volunteers~~, and contractors are responsible for maintaining complete, accurate, and reliable records as evidence of the actions, decisions, and transactions they make or undertake whilst performing their duties on behalf of the Shire.

All ~~records~~ created or received ~~during the course of business~~ (including those from outsourced bodies or contractors), belong to the Shire of Esperance and not to the individuals who created them.

Ephemeral records are recognised only as short term in value and may be destroyed when reference ceases. If an ephemeral record is confidential in nature, it must be disposed in a provided confidential bin.

Capture and Control of Corporate Records

~~All elected members, staff and contractors will capture or create full and accurate records, in required formats, of the business decisions, actions and transactions they make or undertake on behalf of the Shire. Corporate Records created and received in the course of Shire business~~ are to be captured with required metadata, into the Shire's recordkeeping systems, and maintained to be kept current and accurate managed in accordance with sound recordkeeping principles.

Elected members are required to forward ~~on to the Shire records they create or receive which document significant discussions, actions or advice provided as representatives of the Shire. This includes written and verbal communications such as work diaries, presentations, speeches, emails, community submissions, complaints and requests relating to Shire matters. Hardcopy records~~ y records should be forwarded on a monthly basis to the Shire ~~Records Team via the CEO's Executive Assistant in packets provided,~~ and electronic records ~~forwarded~~ as created or received ~~or created~~ to the Records team at shire@esperance.wa.gov.au.

Appraisal and Retention of Records

Records are assessed and categorised according to their functional classification as they are captured into the Shire's records management system.

Where permitted, all records held by the Shire of Esperance will be retained and disposed of in accordance with the General Retention and Disposal Authority for Local Government Information Records, produced by the State Records Office of WA, following authorisation from the Chief Executive Officer.

~~Records are assessed and categorised according to their functional classification as they are captured into the Shire's records management system.~~

Security and Access to Records

All records held by the Shire of Esperance shall be stored in electronic and/or hardcopy formats in accordance with legislative requirements and protected from violation, unauthorised access, or destruction.

Access to Shire of Esperance records will be controlled in accordance with the level of security and classification of the record, regardless of format (electronic or hardcopy).

It is the responsibility of the employee capturing the record to advise whereif additional security may be applicable to the record.

~~Access to the Shire of Esperance's records by the general public will be in accordance with the *Freedom of Information Act 1992* and Shire of Esperance's *Freedom of Information Statement*.~~

~~Access to the Shire of Esperance's records by elected members will be via the Chief Executive Officer in accordance with the *Local Government Act 1995*.~~

.....End.....

Document Information

Responsible Position	Information Management Coordinator
Risk Rating	Medium

Referencing Documents

- Local Government Act 1995
- State Records Act 2000
- *Electronic Transactions Act 2011*;
- *Evidence Act 1906*;
- *Financial Management Act 2006*;
- *Freedom of Information Act 1992*;
- *Limitation Act 1935*; and
- State Records Commission Standards
- General Retention and Disposal Authority for Local Government Information

Revision History

Date	Version	CM Reference	Reason for Change	Resolution #	Next Review
Jul 2010	1	D12/64	New policy	O0710-1481	Jul 2012
Aug 2015	2		Rewrite of policy	O0815-010	Aug 2017

Mar 2018	3	D16/28991	Update document status and controller, minor formatting changes.	O0318-073	Mar 2020
Jan 2020	4	D16/28991[v2]	Biennial review, no change	O0120-013	Jan 2022
Feb 2022	5	D16/28991[v3]	Biennial review, no change – to be reviewed following release of new state records commission standards	O0222-033	Feb 2024
Dec 2023	6	D16/28991[v4]	Inclusion of the ownership of records, document flow and readability improved, impacting legislation and standards updated, and migrated to new corporate template.	O1223-202	Dec 2025
<u>Jan 2026</u>	<u>7</u>	<u>D16/28991[v5]</u>	<u>Biennial review. Removed redundant sections and updated wording for better readability.</u>		



POL 0019: Complaint Handling

COUNCIL POLICY

Purpose

The policy sets the guidelines with regard to handling customer complaints ensuring that the Shire of Esperance -

1. Recognises, promotes and protects the customer's right to comment on their dealings with the Shire of Esperance;
2. Provides for natural justice and procedural fairness to ensure that the Shire officer is able to respond to any complaint and is not subject to unfair, unfounded or inappropriate allegations;
3. Provides an efficient, fair and accessible framework for resolving customer complaints;
4. Sets standard for dealing with customer complaints;
5. Increases the level of satisfaction among customers through the delivery of effective and consistent services; and
6. Enhances the Shire's image and reputation, particularly its reputation for customer service.

Scope

This policy relates to customer complaints only.

The Shire's Dealing with Difficult People policy provides a guide for handling behavioural incidents.

Definitions

Complaint: a grievance against a process or the quality of service that a customer receives when dealing with the Shire (i.e. poor customer service, inappropriate staff behaviour etc.)

Service Request: a request for the Shire to undertake certain works or rectify a particular problem (i.e. notification of a pot hole in road; dangerous tree branches; stray dogs/livestock etc.).

*Service requests are lodged through the Customer Request Management (CRM) system and directed to the relevant Officer for action as soon as they are received.

Practice

A complaint can be received either -

1. in writing;
2. in person;
3. by telephone; or
4. by email.

All complaints must be recorded in the Shire's record management system for record keeping purposes.

Anonymous and vexatious complaints may not be investigated as it is not possible to undertake due process to ensure procedural fairness.

Commitment

1. All complaints will be handled quickly, fairly, effectively and courteously and in a manner which ensures natural justice and due process.
2. Responses should always be in positive terms and never retaliatory.
3. The rights of complainants are protected as are those of staff who receive a complaint, or who may be subject of a complaint.

Record Keeping

1. The Shire's record management system will be used to record all Customer complaints.
2. As soon as a complaint is received, a copy of the complaint must be forwarded to the relevant Manager who will monitor the process.
3. The physical record of all complaints and supporting documentation will be recorded in the Shire's Records Management System to allow for accountability and audit.

Responsibility

1. All staff are charged with the responsibility of dealing with customer complaints in a courteous manner and to provide customers with information on the Shire of Esperance's complaint handling policy.
2. Staff have a responsibility to record all customer complaints and incidents in compliance with this policy.
3. All issues should be referred to the relevant Manager/Director who will assign the investigation to an appropriate Officer. In some instances it may be appropriate to engage someone external to the organisation to conduct the investigation. This will be a decision of the Executive Management Team.
4. All complaints will be acknowledged in writing, detailing the action to be taken, within 5 working days.
5. Complaints which are unresolved after 5 working days will be referred back to the relevant Manager.
6. Complaints which are unresolved after 15 working days will be referred to the Chief Executive Officer.

Verbal Complaints

Complaints received in person or by telephone will be handled by the staff member receiving the complaint if possible, or be referred to someone who can resolve the matter. Verbal complaints which are resolved immediately must be recorded in the Shire's record management system and actioned to the relevant Manager/Director.

When the complaint cannot be resolved immediately, the complaint will be managed as for a written complaint.

Written Complaints

Complaints received by letter, email or feedback form will be forwarded to the relevant Manager or Director for resolution. The Chief Executive Officer will be notified of any complaint of a serious nature involving inappropriate behaviour of staff (rudeness, discrimination or harassment).

Response to the Complainant

The complainant will be advised of receipt of the complaint within 5 working days. After the complaint has been investigated and a resolution agreed to, the complainant will be notified.

Empowering Staff

All staff will have access to the complaint handling policy.

All staff will be made aware of updates to the policy.

Where possible staff will receive training in aspects of customer service relevant to this policy, including the differentiation between complaints and service requests.

Monitoring Customer Complaints

The Records Coordinator shall be responsible for -

1. Monitoring all Customer complaints and ensuring their completion.
2. Reporting to the Executive Management Team monthly on complaints lodged.

.....End.....

Document Information

Responsible Position	Manager Financial Services
Risk Rating	Low

Referencing Documents

- *Local Government Act 1995*

Revision History

Date	Version	CM Reference	Reason for Change	Resolution #	Next Review
Aug 2010	1	D12/23	New policy	O0810-1498	Aug 2012
Aug 2015	2		Removal of Customer Feedback Form (to be included in Supplementary Management Practices document.	O0815-010	Aug 2017
Mar 2018	3	D16/28992	Minor changes, update document controller	O0318-073	Mar 2020
Aug 2018	4	D16/28992[v2]	Change title name and rewording to include unacceptable behaviour	O0818-091	Aug 2020
Jan 2020	5	D16/28992[v3]	Remove references to behavioural incidents as this is included in the new Dealing	O0120-013	Jan 2022

			with Difficult People policy. Wording changes to make clear and remove reference to feedback form as this is not used.		
Jan 2022	6	D16/28992[v4]	Update responsible officer. Minor grammatical changes.	O0222-033	Jan 2024
Dec 2023	7	D16/28992[v5]	Biennial Review. No change.	O1223-202	Dec 2025



POL 0020: Debt Collection

COUNCIL POLICY

Purpose

The Shire of Esperance will actively pursue all outstanding rates and sundry debtors. All outstanding rates and sundry debtors will be collected in accordance with the *Local Government Act 1995* and associated regulations.

Scope

This Policy will be applied to all -

1. Ratepayers with balances outstanding 14 days after the due date of rates (excluding ratepayers that have elected the instalment option)
2. Sundry debtors with balances greater than 30 days

Definitions

N/A

Practice

The ~~Corporate~~ Debt Collection Policy will be administered in accordance with the ~~Corporate~~ Debt Collection Guidelines contained in the Debt Collection Management Practice.

.....End.....

Document Information

Responsible Position	Manager Financial Services
Risk Rating	Medium

Referencing Documents

- *Local Government Act 1995*

Revision History

Date	Version	CM Reference	Reason for Change	Resolution #	Next Review
Feb 2014	1	D14/2205	New policy	O0214—033	Feb 2016
Aug 2015	2		Biennial review, no change	O0815-010	Aug 2017
Mar 2018	3	D16/28995	Multiple changes to bring in line with current processes	O0318-073	Mar 2018
Jan 2020	4	D16/28995[v2]	Minor changes to wording, amendment of pensioners and seniors point 4	O0120-013	Jan 2022
Feb 2022	5	D16/28995[v3]	Remove guidelines and include reference to management practice.	O0222-033	Feb 2024
Dec 2023	6	D16/28995[v4]	Remove 'corporate' from document references in Practice section.	O1223-202	Dec 2025



POL 0021: Computer and Mobile Devices

COUNCIL POLICY

Purpose

To provide guidelines for the acceptable usage of all of the Shire of Esperance's Information Technology Systems including Mobile Devices.

To ensure the security and integrity of the Shire's electronic data and technology infrastructure.

Scope

All Shire employees, Elected Members, contract personnel, and volunteers, including workplace students.

Definitions

N/A

Practice

All Shire employees, Elected Members, contract personnel, and volunteers who access computer resources provided by, facilitated by, or funded by the Shire, or is made available through equipment owned or leased by the Shire; must abide by the document located in the supplementary *Management Practices: Computer System Usage - Code of Practice*

Additionally, all Shire employees, Elected Members, contract personnel, and volunteers who have been provided a mobile device by the Shire, or are using a personal mobile device to access the Shire's electronic resources via internal or external networks; must abide by the document located in the supplementary *Management Practices: Mobile Devices - Code of Practice*.

.....End.....

Document Information

Responsible Position	Manager Information Services
Risk Rating	High

Referencing Documents

- *Local Government Act 1995*
- *Mobile Devices - Code of Practice*
- *Computer System Usage - Code of Practice*

Revision History

Date	Version	CM Reference	Reason for Change	Resolution #	Next Review
Aug 2015	1		New policy	O0815-010	Aug 2017
Mar 2018	2	D16/28997	Minor rewording to make it easier to read	O0318-073	Mar 2020

Jan 2020	3	D16/28997[v2]	Biennial review, no change	O0120-013	Jan 2022
Feb 2022	4	D16/28997[v3]	Biennial review, no change	O0222-033	Feb 2024
Dec 2023	5	D16/28997[v4]	Include scope paragraph and comma after first word of second paragraph in Practice section.	O1223-203	Dec 2025



POL 0022: Centenarian Waiver of Rates

COUNCIL POLICY

Purpose

To provide criteria for when to waiver rates and service charges for a ratepayer who is 100 years of age or older.

Scope

This policy was created as Council considered it a respectful gesture to provide a waiver of rates for any ratepayer who reaches the hundred year milestone. This policy provides a guide to the rates officers and finance manager.

Definitions

Centenarian: a person who is hundred or more years old

Ratebook: a listing of all Shire of Esperance rate assessments

Rate Zone: this is the classification of rate assessments

Practice

Waiver of rates to be provided to a ratepayer if they are a centenarian and meet the following criteria -

1. Proof of centenarian status
2. The centenarian's name is on the title of the property
3. Determine what percentage of the property is the centenarian's ownership
4. The centenarian resides at the property
5. Rate Zone for property must be GRV Residential

Criteria

Proof of Centenarian status – this can be in the form of one of the following; birth certificate, passport, letter of congratulations from the ~~Queen-King~~ or something similar.

Centenarian's name on the title of the property – the Ratebook will have the name of all property owners on the property title as per Landgate.

Centenarian's ownership percentage – percentage of ownership of property is as per the Ratebook.

Centenarian resides at the property – centenarian to sign a declaration stating they reside at the property. Centenarian is only eligible for waiver of rates whilst they are residing at the property.

Rate Zone for property – the rate zone for the property must be GRV Residential.

Waiver applies to all rates and service charges on rate notice.

Effective Date

Effective date for waiver is the next annual rates due date post the centenarian's birthday.

No pro-rata waiving of rates is to occur.

If centenarian no longer lives at the property or dies after the annual rates due date and before the end of the next financial year there will be no requirement to refund the waiver of rates to the Shire.

Each subsequent year after the first year's waiver, the centenarian must inform the Shire, in writing, they are still residing at the property and of any changes to the other criteria to continue to receive a waiver of rates. This needs to be done prior to the annual rates due date.

Pension and Senior Card Holders

Current Pension and Senior Card holders are eligible for a rebate on property rates if the property is their residence at the 1 July of each year.

When calculating the waiver of rates the Shire will continue to claim the rebate from the Office of State Revenue and waiver the remaining balance of rates.

Multiple Owners

In instances of multiple owners the centenarian will only receive a waiver for their portion of rates in accordance to the *Rates and Charges (Rebates and Deferments) Act 1992*.

.....End.....

Document Information

Responsible Position	Manager Financial Services
Risk Rating	Low

Referencing Documents

- *Local Government Act 1995*

Revision History

Date	Version	CM Reference	Reason for Change	Resolution #	Next Review
Mar 2018	1	D18/8063	New policy	O0318-082	Mar 2020
Jan 2020	2	D18/8063[v2]	Biennial review, no change	O0120-013	Jan 2022
Feb 2022	3	D18/8063[v3]	Update to include reference to service charges	O0222-033	Feb 2024
Dec 2023	4	D18/8063[v4]	Inclusion of scope and definitions.	O1223-203	Dec 2025



POL 0024: Asset Disposal

COUNCIL POLICY

Purpose

To ensure that assets surplus to Council's needs are disposed of in an appropriate manner.

Scope

This policy was created to provide guidance to all Shire employees to ensure that disposal of any Council property is disposed appropriately and within the Council's objectives.

Definitions

Assets: any property owned by Council

Obsolescence: outdated and no longer used

Practice

The following principles apply to disposal of assets -

1. Assets surplus to Council's needs are disposed promptly
2. That Council achieves the best value for money
3. Ensure that transparency and accountability is achieved

This policy does not apply to sale of land, refer to *Local Government Act 1995* s.3.59 Commercial Enterprises by Local Governments

Reasons for Disposal

1. Obsolescence
2. Operationally inefficient
3. Uneconomical to repair
4. Surplus to current and foreseeable future needs
5. Non-compliance with occupational health and safety standards
6. Technologically obsolete
7. Part of an asset replacement plan
8. Unsustainable costs associated with the retaining of goods such as storage, insurance, security and management
9. Confiscated, impounded or uncollected goods

Preparing assets for Disposal

Prior to disposal a check must be carried out to ensure assets do not contain -

1. Additional items not intended for sale
2. Confidential documents
3. Documents on Council letterhead which may be used for fraudulent purposes
4. Council owned software

5. Hazardous materials
6. Any Shire of Esperance identifying mark if practical and/or possible

Methods of Disposal of Assets

The method of disposal chosen must be appropriate to the value, nature, quantity, location and any grant conditions made at purchase time of the assets. One of the following methods are to be utilised -

1. \$0 - \$500 internal estimated value of assets
 - a. Donation to a registered charity or community group
 - b. Destruction to landfill
 - c. CEO discretion
 - d. Manager/Coordinator discretion for sale of stock purchased for resale. Recommended retail price (RRP) to be considered
2. \$501 - \$19,999 internal estimated value of assets
 - a. Trade-in
 - b. Auction (including on-line auction)
 - c. Advertised for sale
 - d. Minimum of two quotes to be obtained from different parties
 - e. Public tender
 - f. CEO discretion
3. >\$20,000
 - a. Refer to Delegated Authority Register 1.12 Disposing of Property
 - b. Refer to Local Government Act 1995 s.3.58 - Disposing of Property

Authority to Dispose of Assets

1. Refer to Delegated Authority Register 1.12 Disposing of Property
2. CEO has delegated authority to dispose of assets <\$20,000

Record Keeping

If a person is exercising a delegated power of duty, r.19 of the *Local Government (Administration) Regulations 1996* requires records be kept relating to the exercise of the power or discharge of the duty. The written record is to contain -

1. how the person exercised the power or discharged the duty; and
2. when the person exercised the power or discharged the duty; and
3. the persons or classes of persons, other than council or committee members or employees of the local government, directly affected by the exercise of the power or the discharge of the duty.

(Note: All amounts are GST exclusive)

.....End.....

Document Information

Responsible Position	Manager Financial Services
Risk Rating	Medium

Referencing Documents

- *Local Government Act 1995*

Revision History

Date	Version	CM Reference	Reason for Change	Resolution #	Next Review
Jan 2020	1	D20/1092	New policy	O0120-013	Jan 2022
Feb 2022	2	D20/1092[v2]	Biennial review, no change	O0222-033	Feb 2024
Dec 2023	3	D20/1092[v3]	Include scope and definitions	O1223-203	Dec 2025



POL 0025: Financial Hardship

COUNCIL POLICY

Purpose

To give effect to our commitment to support the whole community to meet the unprecedented challenges arising from financial hardship.

This Policy is intended to ensure that we offer fair, equitable, consistent and dignified support to ratepayers suffering hardship, while treating all members of the community with respect and understanding financial difficulties.

Scope

This policy applies to -

1. Outstanding rates and service charges as at the date of adoption of this policy; and
2. Rates and service charges levied for the financial year.

It is a reasonable community expectation, as we deal with the effects of financial hardship that those with the capacity to pay rates will continue to do so. For this reason, the Policy is not intended to provide rate relief to ratepayers who are not able to evidence financial hardship and the statutory provisions of the *Local Government Act 1995* and *Local Government (Financial Management) Regulations 1996* will apply.

Definitions

N/A

Practice

1. Payment difficulties, hardship and vulnerability

Payment difficulties, or short term financial hardship, occur where a change in a person's circumstances result in an inability to pay a rates or service charge debt.

Financial hardship occurs where a person is unable to pay rates and service charges without affecting their ability to meet their basic living needs, or the basic living needs of their dependants. This policy is intended to apply to all ratepayers experiencing financial hardship regardless of their status, be they a property owner, tenant, business owner etc.

2. Financial Hardship Criteria

While evidence of hardship will be required, we recognise that not all circumstances are alike. We will take a flexible approach to a range of individual circumstances including, but not limited to, the following situations -

- a. Recent unemployment or under-employment
- b. Sickness or recovery from sickness
- c. Low income or loss of income

- d. Unanticipated circumstances such as caring for and supporting extended family

Ratepayers 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 arrangement. We will consider all circumstances, applying the principles of fairness, integrity and confidentiality whilst complying our statutory responsibilities.

3. Payment Arrangements

Payment arrangements facilitated in accordance with Section 6.49 of the Act are of an agreed frequency and amount. These arrangements will consider the following -

- a. That a ratepayer has made genuine effort to meet rate and service charge obligations in the past;
- b. The payment arrangement will establish a known end date that is realistic and achievable;
- c. The ratepayer will be responsible for informing the Shire of Esperance of any change in circumstance that jeopardises the agreed payment schedule.

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

4. Interest Charges

A ratepayer that 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.

5. 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 -

- a. Remains as a debt on the property until paid;
- b. 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;
- c. 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
- d. Does not incur penalty interest charges.

6. 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, then we will continue to suspend debt recovery processes.

Where a ratepayer has not reasonably adhered to the agreed payment plan, then for any Rates and Service Charge debts that remain outstanding, we will offer the ratepayer one further opportunity of adhering to a payment plan that will clear the total debt by the end of the financial year.

Rates and service charge debts that remain outstanding at the end of the financial year, will then be subject to the rates debt recovery procedures prescribed in the *Local Government Act 1995*.

Review

We 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.

Communication and Confidentiality

We will maintain confidential communications at all times and we 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.

.....End.....

Document Information

Responsible Position	Director Corporate and Community Services
Risk Rating	Low

Referencing Documents

- *Local Government Act 1995*

Revision History

Date	Version	CM Reference	Reason for Change	Resolution #	Next Review
Apr 2020	1	D20/10271	New policy	O0420-114	Apr 2022
Feb 2022	2	D20/10271[v2]	Update responsible officer title and dates throughout	O0222-033	Feb 2024
Dec 2023	3	D20/10271[v3]	Amend title and remove references to COVID. Amend 'payment proposal' to 'payment arrangement' in section 2.	O1223-203	Dec 2025



POL 0026: Regional Price Preference

COUNCIL POLICY

Purpose

To encourage the use of local businesses in goods and services purchased or contracted on behalf of the Shire of Esperance.

Scope

This policy will apply to quotations of \$~~75~~250,000 value or greater unless Council resolves otherwise.

Definitions

Prescribed Area: means within the boundaries of the Shire of Esperance.

Regional Price Preference: involves assessing a tender as if the proposed tender price were discounted in accordance with this policy.

Regional Tenderer: means a supplier of goods or services who meets criteria 1 of the Applicable Criteria listed within this policy.

Practice

Levels of Price Preferences to be applied

A price preference may be given to a Regional Tenderer by assessing their tender as if the price bids were reduced by -

1. Goods and Services

Up to 10% where the contract is for goods or services, up to a maximum price reduction of \$50,000;

2. Construction

Up to 5% where the contract is for construction (building) services, up to a maximum price reduction of \$50,000; or

3. Outsourcing

Up to 10% where the contract is for goods or services (including construction (building) services), up to a maximum price reduction of \$500,000, if the Shire is seeking tenders for the provision of those goods or services for the first time, due to those goods or services having been until then undertaken by the Shire.

Applicable Criteria

In order to be eligible for consideration under this policy, a supplier must meet the following criteria -

1. The supplier must have been operating a business continuously out of premises located within the Prescribed Area for at least 6 months before the time after which further offers cannot be submitted; or

2. Some or all of the goods or services are to be supplied from regional sources

Although goods or services that form part of a tender submitted by a supplier may be wholly or partly supplied from regional sources, only those goods or services identified as being obtained from regional sources may be included in the discounted calculations that form a part of the assessments of a tender when this policy is in operation.

Conditions

Suppliers who claim the regional price preference should indicate their intention to claim in their tender and identify on which criteria they wish to claim.

Price is only one factor the Shire considers when evaluating a tender. There is nothing contained within this policy that compels acceptance of the lowest price.

The tender that is determined to offer the best value for money to the Shire will be the most likely to be accepted.

If, in the opinion of the Shire, a supplier has deliberately provided false or misleading information in order to benefit from this policy, their tender may be disqualified.

Roles and Responsibilities

Shire Employees will use a competitive market for their local requirements and encourage the development of suppliers and local industry. Local suppliers with the capacity to compete should be provided with the opportunity to bid for work with the Shire.

Employees are to ensure the application of a Regional Price Preference is clearly identified within tender documents to which the preference is to be applied and that this policy be available to businesses as part of the tender process.

Examples of Application

1. The following three tenders, to supply goods or services, are received by a local government that has chosen a 10% rate of price preference.
 - a. Tender 1 is from a regional tenderer (as defined by the Council in its policy).
 - b. Tender 2 is from a metropolitan based firm and uses goods and services sourced from the metropolitan area.
 - c. Tender 3 is from a metropolitan based firm but uses \$60,000 worth of goods and services sourced from the region defined in the local government's regional price preference policy.

Tender Received	Tendered Price	Price Reduction	Adjusted price for evaluation
Tender 1	\$150,000	\$15,000 (10% of \$150,000)	\$135,000 (\$150,000 less \$15,000)
Tender 2	\$145,000	No preference available	\$145,000

Tender 3	\$148,000	\$6,000 (10% of \$60,000)	\$142,000 (\$148,000 less \$6,000)
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As shown in the table above, Tender 1 (Regional Tenderer) is the most cost effective once the price preference has been applied.

2. This example determines how the maximum price reduction is applied in accordance with this policy.

The following two tenders, to supply construction (building) services, are received by a local government that has chosen a 5% rate of price preference.

- a. Tender 1 is from a regional tenderer
- b. Tender 2 is from a metropolitan based firm that sources materials from the metropolitan area

Tender Received	Tendered Price	Price Reduction	Adjusted price for evaluation
Tender 1	\$1,500,000	5% of \$1,500,000 = \$75,000. Maximum price reduction limited to \$50,000.	\$1,450,000 (\$1,500,000 less \$50,000)
Tender 2	\$1,445,000	No preference available	\$1,445,000

As shown in the table above, Tender 2 is the most cost effective once the price preference has been applied.

Note: price is only one criteria used to determine a successful tenderer, however the adjusted price, following the application of any preference, shall be used when evaluating tender criteria.

.....End.....

Document Information

Responsible Position	Director Corporate and Community Services
Risk Rating	Medium

Referencing Documents

- *Local Government Act 1995*

Revision History

Date	Version	CM Reference	Reason for Change	Resolution #	Next Review
Jun 2020	1	D20/6972	New policy	O0620-188	Jun 2022
Feb 2022	2	D20/6972[v2]	Amend responsible officer	O0222-033	Feb 2024
Dec 2023	3	D20/6972[v3]	Biennial review, no change.	O1223-203	Dec 2025



POL 0027: Civic Centre Hire Fees Not to be Waived

COUNCIL POLICY

Purpose

~~To ensure that Civic Centre Hire Fees are not waived unless in extenuating circumstances and with the express approval of Council.~~

Scope

~~This policy applies to all Civic Centre bookings.~~

Definitions

~~N/A~~

Practice

~~That the Esperance Civic Centre hire fees not be waived for any organisation unless extenuating circumstances can be shown to exist to the satisfaction of Council.~~

.....End.....

Document Information

Responsible Position	Manager Community Development and Events
Risk Rating	Low

Referencing Documents

- *Local Government Act 1995*

Revision History

Date	Version	CM Reference	Reason for Change	Resolution #	Next Review
Sept 1999	1		New policy	O0999-152	
Sept 2007	2	D12/18			
Mar 2016	3	D16/29057 (rev 01)	Biennial review, no change	O0316-008	Mar 2018
Apr 2018	4	D16/29057 (rev 02)	Updated document controller title	O0418-075	Apr 2020
Mar 2020	5		No change, council item laid on table	O0320-073	
Jun 2020	6	D16/29057[v2]	Policy moved to Executive Services area reflecting the reporting line under the organisational structure.	O0620-183	Jun 2022
Jan 2022	7	D16/29057[v3]	No change to wording – moved to Corporate	O0122-012	Jan 2024
Dec 2023	8	D16/29057[v4]	Update responsible officer title.	O1223-203	Dec 2025



POL 0028: Budget Control

COUNCIL POLICY

Purpose

1. To ensure that shire officers work within set annual budget parameters
2. To outline parameters for efficient and effective budget management in relation to interim overdraft conditions which prevail in the early and closing parts of each financial year
3. To outline when a budget amendment is required to be presented to Council

Scope

This policy is for shire officers who have budget responsibility to provide them with direction and guidance regarding budget matters.

Definitions

Responsible officer: a shire employee who has a general ledger or work order assigned to them

Account: a general ledger or work order

Cost centre: a shire department

Practice

Budget Control

All officers are to be instructed that where any account, for which they are responsible to keep expenditure within budget limits, becomes overspent or will evidently become overspent, the officer concerned must halt spending until a report is made to the departmental manager for appropriate action.

Owing to interim overdraft conditions which may prevail in the early and closing parts of the financial year, officers will give regard to cash flow imperatives in the timing of procurement of high cost plant items, and fixed assets.

Budget Review

1. A budget review is to be conducted for the first six months of the financial year, as per the Local Government (Financial Management) Regulation 1996 – 33(a) Review of Budget. To be presented to Council by end of March of each year for their adoption.
2. Responsible officers will review their accounts and recommend adjustments (budget increases/decreases or additions/deletions) as necessary.
3. The Chief Executive Officer and Directors may approve expenditure in excess of that estimated for any expenditure item listed in the adopted budget provided that -
 - a. the expenditure does not exceed the adopted budget by more than \$100,000 or 10% of expenditure, whichever is the lesser amount;

- b. there is an off-setting saving in budget over actual expenditure within the same budget cost centre is also identified; or
- c. such approvals are ratified by Council via the budget review process.

Budget Amendments

For any variations to budget that exceed the adopted budget by more than \$100,000 or 10% of expenditure whichever is the lesser amount will be required to be presented to Council as a budget amendment. This will need to be done via an agenda report to Council.

.....End.....

Document Information

Responsible Position	Manager Financial Services
Risk Rating	Medium

Referencing Documents

- *Local Government Act 1995*

Revision History

Date	Version	CM Reference	Reason for Change	Resolution #	Next Review
Feb 2022	1	D22/5420	New policy	O0222-033	Feb 2024
Dec 2023	2	D22/5420[v2]	Include scope and definitions	O1223-203	Dec 2025



POL 0029: Corporate Credit Card

COUNCIL POLICY

Purpose

To provide clear direction on appropriate use of the Shire's corporate credit cards to approved cardholders.

Scope

This policy affects all officers who have a shire corporate credit card and outlines the general practices and obligations for those officers.

Definitions

N/A

Practice

The issue and use of corporate credit cards should be strictly in accordance with this policy and the *Procurement Policy*.

The procurement of goods or services using corporate credit cards ~~shall only occur in is~~ limited to low value, high volume purchases or instances when the standard method of raising purchase orders/invoices and/or manual EFT/cheque practices are not available from the preferred supplier.

The overall limit of the Shire's corporate credit card facility shall not exceed \$80,000.

General Practices

1. Corporate credit cards will only be issued to employees of the Shire of Esperance on approval of the Chief Executive Officer (CEO).
2. In the case of the CEO, Council may approve the issuing of a corporate credit card as provided for in the contract of employment.
3. The maximum credit limit on any card shall not exceed \$5,000, unless specifically approved by the Chief Executive Officer (CEO) for sound demonstrable purposes.
4. The corporate credit cards are to be used for official shire business only and may not be used for personal or private purposes under any circumstances.
5. The corporate credit cards are not to be linked to a reward points program.
6. Corporate credit cards are not to be used for cash advances and this facility will be barred on all cards with the shire's financial institution.
7. It is the cardholder's responsibility to ensure, prior to any purchase, that there are sufficient funds/credit limit available on their corporate credit card so as not to exceed the card's limit.
8. The remaining credit limit can be ascertained at any time by contacting the Finance Department.
9. A tax invoice is required to be obtained for every purchase made.
10. At the end of each month, each credit card statement is authorised by -
 - a. In the case of the Chief Executive Officer, the Shire President;

- b. In the case of the Directors, the Chief Executive Officer;
 - c. In the case of other officers, the supervising Director.
11. All purchases using a corporate credit card shall be included in the monthly list of accounts paid by delegated authority that is presented to Council.

Restrictions on Use

Purchasing cards must not be used for the following:

- 1. Personal, non-work-related expenditure.
- 2. Splitting purchases in order to negate purchasing delegation limits.
- 3. To purchase goods and services where the Cardholder will gain private advantage through the transaction (e.g. special offers that benefit individuals such as loyalty reward schemes).
- 4. To purchase goods and/or services which are higher in value than the cardholder's purchasing delegation limit.

Terms of Corporate Credit Card Use by Cardholder

- 1. An agreement between the cardholder and the Shire of Esperance shall be signed prior to the issue of corporate credit card.
- 2. The agreement will outline the cardholder's responsibilities as follows -
 - a. Acknowledges receipt of the Shire of Esperance corporate credit card
 - a-b. Confirmation of knowledge and understanding of the Corporate Credit Card Policy.
 - b-c. Will use the corporate credit card for official shire business only
 - c-d. Will ensure the security of the corporate credit card at all times
 - e. Will immediately report to the Financial Institution and Manager Financial Services if corporate credit card is lost, damaged or stolen
 - d-f. Notification of disputed transactions.
 - e-g. If position at the Shire of Esperance changes, or employment terminates or there is a request to surrender the corporate credit card, the card will be immediately returned to Finance Department
 - f-h. Retain all original tax invoices supporting purchases made on corporate credit card
 - g-i. Reconciling monthly statements, with supporting documentation and provide cost codes for processing to Finance Department in a timely manner
 - h-j. Any misuse of the Corporate Credit Card may lead to disciplinary action.

Administration

- 1. Finance will have a delegated card administrator who will be the main point of contact for and card related issues/queries.
- 4-2. The outstanding balance of each corporate credit card will be automatically debited to Shire's municipal bank account at the end of each month.

- ~~2-3.~~ Monthly statements listing all transactions will be provided to each cardholder for their review. They will provide to the Finance Department tax invoices and cost accounts for processing.
- ~~3-4.~~ The Finance Department will ensure that corporate credit card agreements are signed and returned before providing the card to the cardholder.
- ~~4-5.~~ Cardholder is responsible to correct any disputes with the merchant.
- ~~5-6.~~ Finance Department will report fraudulent transactions to the Commonwealth Bank.

.....End.....

Document Information

Responsible Position	Manager Financial Services
Risk Rating	High

Referencing Documents

- *Local Government Act 1995*

Revision History

Date	Version	CM Reference	Reason for Change	Resolution #	Next Review
Feb 2022	1	D22/5421	New policy	O0222-033	Feb 2024
Dec 2023	2	D22/5421[v2]	Include scope, remove procurement policy reference number	O1223-203	Dec 2025



POL 0030: Investment

COUNCIL POLICY

Purpose

The objective of this policy is to -

1. Take a conservative approach to investments, but with a focus to adding value through prudent investment of funds.
2. Achieve an adequate level of diversification to spread risk.
3. Achieve a high level of security by using recognised ratings criteria.
4. Have ready access to funds for day to day requirements without penalty.

Scope

This policy provides guidance to the finance manager and assistant accountant when investing Council surplus funds.

Definitions

Authorised investments: funds held in term deposits or bonds. Does not include funds held in savings accounts with the Council's preferred banking service provider.

Standard & Poor: large credit rating agency

More definitions have been provided in Attachment A and B.

Practice

Delegated Authority to Invest

Officers authorised to make investment decisions and sign investment lodgements and withdrawals, having full delegated authority are -

1. Chief Executive Officer
2. Director Corporate and Community Services
3. Manager Financial Services

Authorised Institutions

Investments are limited to authorised institutions, in accordance with *Local Government (Financial Management) Regulations 1996* Section 19C, being -

1. Authorised deposit taking institution (ADI) as defined in the *Banking Act 1959* (Cth) section 5 or (See attachment A for example of Banks)
2. Western Australian Treasury Corporation

Authorised Investments

Authorised investments shall be limited to Australian currency (AUD)

1. Term Deposit
2. Bonds guaranteed by the Commonwealth Government, or a State or Territory government

3. Fixed term no longer than 1 year
4. Investments to be equal to or above the Shire's minimum credit rating based on Standard & Poor's classification

Risk Management Controls

Risk management controls include -

1. Delegated Authority to invest
2. Documented investment procedures
3. Management reporting (monthly investment reports)
4. Utilisation of Standard & Poor's credit rating

Risk Profile

To control the credit risk the following table limits the percentage of the portfolio exposed to any particular credit rating category.

Investment Type	Minimum Credit Rating*	Maximum Term	Minimum %	Maximum %
Term Deposits	A-1	1 year	0	80
Government Bonds	A-1	1 year	0	100

* Based on Standard & Poor's credit ratings

"A-1" rating is the highest category for short term investing (up to 1 year). The obligor's capacity to meet its financial commitments on the obligation is strong. (See attachment B for Standard and Poor's short term credit ratings classifications.)

Council recognises its obligations under the "Prudent Person" rule by seeking to adhere to an investment policy with a conservative bias. Council also seeks to add value to the investment portfolio through product selection and diversification.

Diversification

No more than 80% of Shire funds are to be invested in one Authorised Institution.

Prohibited Investments

This investment policy prohibits any investment in the following -

1. Deposits with an institution except an authorised institution
2. Deposits for a fixed term of more than 1 year
3. Investment in bonds that are not guaranteed by the Commonwealth Government, or a State or Territory Government
4. Investment in bonds with a maturity of more than 1 year
5. Investment in foreign currency
6. Investment in crypto currency (includes Bitcoin and CoinDesk)

Management Reporting

Each month an investment report, including details of the Authorised Institution, maturity date, interest rate, and actual return vs budget.

A report will be provided to Council in support of the monthly Financial Activity Statement. The report will detail the investment portfolio in terms of performance, percentage exposure of total portfolio, and changes in value.

Documentary evidence must be held for each investment and details thereof maintained in an Investment Register retained in the Shire's Corporate Record Keeping Systems.

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

Liquidity

Cash flow report to be monitored at least weekly to ensure cash funds are available to meet commitments.

Maturity analysis report to be monitored at least monthly.

Any surplus cash not required for operating needs will be maintained in an interest earning account with Council's preferred banking service provider if not in a long term investment.

Attachment A

Examples of ADI (Banks) are:

Australia & New Zealand Bank Ltd.

Bendigo and Adelaide Bank.

Bank of Queensland Ltd.

Bank of Sydney Ltd.

Bank of Western Australia Ltd (New Statutory Deposits unavailable)

Commonwealth Bank of Australia.

Greater Bank Ltd.

Macquarie Bank Ltd.

National Australia Bank Ltd

St George Bank Ltd

Westpac Banking Corporation

Attachment B

Standard and Poor's Short Term Issue Credit Ratings

A-1: A short-term obligation rated "A-1" is rated in the highest category by S&P Global Ratings. The obligor's capacity to meet its financial commitment on the obligation is strong. Within this category, certain obligations are designated with a plus sign (+). This indicates that the obligor's capacity to meet its financial commitment on these obligations is extremely strong.

A-2: A short-term obligation rated "A-2" is somewhat more susceptible to the adverse effects of changes in circumstances and economic conditions than obligations in higher rating categories. However, the obligor's capacity to meet its financial commitment on the obligation is satisfactory.

A-3: A short-term obligation rated "A-3" exhibits adequate protection parameters. However, adverse economic conditions or changing circumstances are more likely to lead to a weakened capacity of the obligor to meet its financial commitment on the obligation.

B: A short-term obligation rated "B" is regarded as vulnerable and has significant speculative characteristics. The obligor currently has the capacity to meet its financial commitments, however it faces major ongoing uncertainties which could lead to the obligor's inadequate capacity to meet its financial commitments.

C: A short-term obligation rated "C" is currently vulnerable to non-payment and is dependent upon favourable business, financial and economic conditions for the obligor to meet its financial commitment on the obligation.

D: A short-term obligation rated "D" is in default or in breach of an imputed promise. For non-hybrid capital instruments, the "D" rating category is used when payments on an obligation are not made of the date due, unless S&P Global Ratings believes that such payments will be made within any stated grace period. However, any stated grace period longer than five business days will be treated as five business days. The "D" rating also will be used upon the filing of a bankruptcy petition or the taking of a similar action and where default on an obligation is a virtual certainty, for example due to automatic stay provisions. An obligation's rating is lowered to "D" if subject to a distressed exchange offer.

.....End.....

Document Information

Responsible Position	Manager Financial Services
Risk Rating	High

Referencing Documents

- *Local Government Act 1995*

Revision History

Date	Version	CM Reference	Reason for Change	Resolution #	Next Review
Feb 2022	1	D22/5422	New policy	O0222-033	Feb 2024

Dec 2023	2	D22/5422[v2]	Include scope and definitions, minor spelling change in attachment B, section D.	O1223-203	Dec 2025
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POL 0031: Small Grants Approval

COUNCIL POLICY

Purpose

This policy aims to ensure the transparency of funding decisions made in relation to the Small Grants funding which forms part of the Shire of Esperance's Community Grants Program.

Scope

This policy applies to all eligible applications as determined by the Community Grants Program Guidelines.

Definitions

N/A

Practice

A Small Grants budget will be set as part of the budget approval process.

The CEO shall shortlist a Small Grants panel. The panel will be responsible for receiving and assessing Small Grant applications with reference to Community Grants Guidelines which are to be made publicly available.

No less than two panel members shall assess each individual application.

The CEO and Shire President, or their delegate, will be jointly responsible for the final approval.

For the purpose of this policy, the CEO's delegate may be any Director position and the Shire President's delegate is the Deputy Shire President. Delegates may approve Small Grants when the CEO or Shire President are absent or have a declarable interest.

Following approval, outgoing grant agreements are to be executed in line with Council Policy: Execution of Documents and Common Seal Usage

Approved grants will be reported back to Council monthly through the Information Bulletin.

.....End.....

Document Information

Responsible Position	Manager Community Development and Events
Risk Rating	Low

Referencing Documents

- *Local Government Act 1995*
- Community Grants Program Guidelines

Revision History

Date	Version	CM Reference	Reason for Change	Resolution #	Next Review
Jun 2022	1	D22/18876	New policy	O0622-148	Jun 2024
Dec 2022	2	D22/18876[v2]	Amend responsible officer title and include reference to CEO and Shire President delegates.	O1222-113	Dec 2024
Dec 2023	3	D22/18876[v3]	Update responsible officer title, remove policy number referenced in Practice section.	O1223-203	Dec 2025