



4 June 2021

Contact for Apologies: General Manager

Phone: (08) 8551 0720

Email: mwhibley@victor.sa.gov.au

Website: www.horsedrawntram.com.au

File Ref: GOV9.14.041

Dear Board Member

NOTICE OF MEETING

Notice is hereby given pursuant to the Victor Harbor Horse Tram Authority Charter and Section 87(4) of the Local Government Act, 1999, as amended that a meeting for the **Victor Harbor Horse Tram Authority** has been called for:-

DATE: Tuesday, 8 June 2021

TIME: 3:00pm

PLACE: Encounter Room, Civic Centre, 1 Bay Road, Victor Harbor

Please find enclosed a copy of the Agenda for the meeting.

Yours faithfully

Megan Whibley

General Manager

Victor Harbor Horse Tram Authority

Please be advised that filming, photography and audio recording may take place at this meeting when the public and media are not lawfully excluded under Section 90 of the Local Government Act 1999.



1. Open Meeting/Welcome

2. Attendance

Paul Brown (Chair)
Cr Carol Schofield AM
Nigel Catt
Rachel Kennedy
Natasha Hunt

Megan Whibley (General Manager VHHTA)
Tamar Herron (Minute Secretary VHHTA)

Karen Rokicinski (Director Corporate and Customer Service CVH)

3. Apologies

Nil

4. Minutes of Previous meeting

4.1 Board Meeting Minutes –13 April 2021 and 11 May 2021 3

5. Adjourned Item(s)

Nil

6. Reports for Receiving and Noting only

6.1 Audit Committee Public Minutes – 9 February 2021 and 11 May 2021 11
6.2 Outstanding Resolutions Register 23
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7. Reports for Decision

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7.2 Audit Committee review - Terms of Reference 57
7.3 Audit Committee Review - Financial and Risk Policies 67



8. Presentation(s)

- 8.1 'The economic and historic value of the Victor Harbor Horse Tram – Draft Report Presentation'
by Laura Hodgson, PhD Scholar - University of South Australia

9. Discussion Items – No decision(s)

- 9.1 Draft Deed of Gift and Personal Property Licence from CVH

10. Correspondence Received

Nil

11. Urgent Business without Notice

Nil

12. Confidential Reports

Nil

Next Meeting

Tuesday 10 August 2021, 3pm – Encounter Room

Meeting Close

Please be advised

- *That filming, photography and audio recording may take place at this meeting when the public and media are not lawfully excluded under Section 90 of the Local Government Act 1999.*
- *To comply with COVID-19 physical distancing requirements, places in the public gallery are limited and will be filled on a 'first in' basis.*



Meeting **Victor Harbor Horse Tram Authority**
Date **8 June 2021**
From **Megan Whibley**
Subject **Board Meeting Minutes –13 April 2021 and 11 May 2021**
Report Number **4.1**

RECOMMENDATION

- 1. That the minutes of the previous Victor Harbor Horse Tram Authority Board Meeting held Tuesday, 13 April 2021, be confirmed as a true and accurate record.**
- 2. That the minutes of the previous Victor Harbor Horse Tram Authority Board Special Meeting held Tuesday, 11 May 2021, be confirmed as a true and accurate record.**

INFORMATION

Purpose

The purpose of this report is to present the Victor Harbor Horse Tram Authority minutes for the meetings held on 13 April 2021 and 11 May 2021 for confirmation.

Background

A Board meeting of the Victor Harbor Horse Tram Authority was held on Tuesday, 13 April 2021 and a Special Board meeting was held on Tuesday, 11 May 2021.

Commentary

The minutes for the Victor Harbor Horse Tram Authority meeting held Tuesday, 13 April 2021 were distributed to Members on Friday, 16 April 2021. The minutes for the Victor Harbor Horse Tram Authority meeting held Tuesday, 11 May 2021 were distributed to Members on Friday, 14 May 2021.

A copy of the minutes are provided at attachments A and B to this report.

RISK ASSESSMENT

Legal and Compliance – The minutes were prepared and distributed to members in line with legislation. This risk is assessed as **low**.

REFERENCES

Nil

BUDGET IMPLICATIONS

Excluding endorsed budgeted staff resources there are no budget implications in confirming the Victor Harbor Horse Tram Authority minutes.

No additional funds are required.

CONSULTATION

Victor Harbor Horse Tram Authority Board members

Karen Rokicinski (Director Corporate and Customer Service)

Attachment A
Minutes of the Victor Harbor Horse Tram
Authority
Board Meeting
For meeting Tuesday 13 April 2021 Commencing
at 3:15pm Encounter Room



8. Presentations

Nil

9. Discussion Items – No decision(s)

Nil

10. Correspondence Received

Nil

11. Urgent Business without Notice

Signage – is there enough? People think VHHT is closed?

Something nostalgic re old causeway as a hook to get more people to ride the tram – last chance

Rachel Kennedy – call to Peter Calahan from Fleurieu Peninsula Tourism asking whether we can get VHHT back on SATC sign?

12. Confidential Item(s)

Nil

13. Next Meetings

Tuesday 8 June 2021, 2:30pm – Encounter Room

Planning Day 13 July 2021, 2.30pm – Encounter Room

14. Meeting Closed.

The Chair declared the meeting closed at 4.16pm

***Please be advised** that filming, photography and audio recording may take place at this meeting when the public and media are not lawfully excluded under Section 90 of the Local Government Act 1999.*

Minutes of the Victor Harbor Horse Tram Authority
Special Board Meeting
For meeting Tuesday 11 May 2021
Commencing at 3:00pm



Next Meeting

Tuesday 8 June 2021 at 3pm – Encounter Room

5. Meeting Closed

3:10pm

***Please be advised** that filming, photography and audio recording may take place at this meeting when the public and media are not lawfully excluded under Section 90 of the Local Government Act 1999.*



Meeting **Victor Harbor Horse Tram Authority**
Date **8 June 2021**
From **Megan Whibley**
Subject **Audit Committee Public Minutes – 9 February 2021 and 11 May 2021**
Report Number **6.1**

RECOMMENDATION

1. **That the Victor Harbor Horse Tram Authority:**
 - (a) receive and note the confirmed public minutes of the Inaugural Audit Committee meeting 9 February 2021 at attachment A to this report.**
 - (b) receive and note the unconfirmed public minutes of the Audit Committee meeting 11 May 2021 at attachment B to this report.**

INFORMATION

Purpose

The purpose of this report is to receive and note the minutes of the Audit Committee meetings held on Tuesday, 9 February 2021 and on Tuesday, 11 May 2021 and to consider recommendations from the Audit Committee in relation to changes to the Committee Terms of Reference and VHHTA policies.

Background

The Audit Committee minutes from the meeting held on Tuesday, 9 February 2021 were distributed to Members on Friday, 12 February 2021.

The Audit Committee minutes from the meeting held on Tuesday, 11 May 2021 were distributed to Members on Friday, 14 May 2021.

Commentary

During the meeting held 11 May 2021, the Audit Committee made recommendations for changes to the VHHTA Audit Committee Terms of Reference. The recommendations are the subject of a separate report at 7.2 in the 8 June 2021 Agenda.

The Audit Committee also considered a number of policies of the Authority that were received and noted with some formal recommendations for the Authority's consideration. The recommended Policy changes are the subject of two separate reports at 7.2 and at 7.3 in the 8 June 2021 Agenda.

A copy of the 9 February 2021 Audit Committee minutes are provided at attachment A to this report.

A copy of the 11 May 2021 Audit Committee minutes are provided at attachment B to this report.

RISK ASSESSMENT

Legal and Compliance – The minutes were prepared and distributed to members in line with legislative requirements. This risk is assessed as **low**.

REFERENCES

VHHTA Charter

The Local Government Act 1999

Local Government (Financial Management) Regulations 2011

BUDGET IMPLICATION

Excluding endorsed budgeted staff resources there are no budget implications in the preparation and receipt of this report.

No additional funds are required

CONSULTATION

Audit Committee Members

Karen Rokicinski – (Director Corporate and Customer Service CVH)

Attachment A
Minutes of the Victor Harbor Horse Tram Authority
Audit Committee Meeting
For meeting Tuesday 9 February 2021
Commencing at 1pm, Ground Floor Conference



1. Attendance

Present:

Paul Brown
Rachel Kennedy
John Morgan (Independent Member)

In attendance:

Megan Whibley (General Manager VHHTA)
Ms Megan Whibley, General Manager of the Victor Harbor Horse Tram will preside over the meeting held 9 February, 2021 pending the appointment of the Chair and Deputy of Chair.
Tamar Herron (Minute secretary VHHTA)
Kellie Knight-Stacey (Group Manager Governance & Finance CVH)

Commencement

The meeting commenced at 1:00pm

2. Apologies

Nil

3. Conflict of Interest

Nil

4. Minutes of the Previous Meeting

Nil

5. Action List

Nil

6. Reports for Receiving and Noting only

6.1 Review of Terms of Reference Report

AC001 Moved: Rachel Kennedy
 Seconded: Paul Brown

That the Committee receive and note the Review of Terms of Reference Report.

CARRIED

A handwritten signature in black ink, appearing to read "M. Whibley".

Attachment A
Minutes of the Victor Harbor Horse Tram Authority
Audit Committee Meeting
For meeting Tuesday 9 February 2021
Commencing at 1pm, Ground Floor Conference



Action: Make a working copy (or workshop) for alterations to the Terms of Reference and recommend them to the Board.

6.2 December Budget Review 2020/21 Report

AC002 Moved: Rachel Kennedy
 Seconded: Paul Brown

That the Victor Harbor Horse Tram Authority Audit Committee receive and note the December Budget Review 2020/21 report.

CARRIED

Action: Make a working copy (or workshop) for alterations to the Terms of Reference and recommend them to the Board.

Action: Adopt changes to meeting procedures and in Terms of Reference to enable meeting in person and/or virtually.

Action: Review VHHTA risk matrix.

Action: Perform Risk Assessment for new environmental conditions during construction period.

7. Reports for Decision

7.1 Appointment of Audit Committee Chairperson Report

AC003 Moved: Rachel Kennedy
 Seconded: Paul Brown

1. That the Victor Harbor Horse Tram Authority Audit Committee recommend to the Authority, subject to Council approval, the appointment of independent member John Morgan as Chairperson, for the term of 2 years, as specified at 5.1 of the Victor Harbor Horse Tram Authority Audit Committee Terms of Reference.

CARRIED

AC004 Moved: Paul Brown
 Seconded: John Morgan

1. That the Victor Harbor Horse Tram Authority Audit Committee recommend to the Authority, subject to Council approval, the appointment of Rachel Kennedy as Deputy Chairperson, for the term of 2 years, as specified at 5.1 of the Victor Harbor Horse Tram Authority Audit Committee Terms of Reference.

CARRIED

Attachment A
Minutes of the Victor Harbor Horse Tram Authority
Audit Committee Meeting
For meeting Tuesday 9 February 2021
Commencing at 1pm, Ground Floor Conference



Action: Organise Induction Training for Committee Members @ the LGA.

7.2 2021 Audit committee meeting Dates for Review Report

AC005 Moved: Paul Brown
 Seconded: Rachel Kennedy

1. That the Victor Harbor Horse Tram Authority Audit Committee receive and note the 2021 Audit committee meeting Dates for Review Report.

CARRIED

AC006 Moved: Paul Brown
 Seconded: Rachel Kennedy

2. That the Victor Harbor Horse Tram Authority Audit Committee recommend to change the Committee date in May to be changed to 5 May 2021 and the Committee date in August be changed to 4 August 2021.

CARRIED

Action: Amend Committee meeting dates and set dates for a 12 month period.

8. Presentations

Nil

9. Discussion Items – No decision(s)

- 9.1 Relevant policies / documents / financial statements to review.
- 9.2 Audit Committee induction training / LGA

10. Correspondence Received

Nil

11. Urgent Business without Notice

Nil

12. Confidential Item(s)

Nil

Attachment A
Minutes of the Victor Harbor Horse Tram Authority
Audit Committee Meeting
For meeting Tuesday 9 February 2021
Commencing at 1pm, Ground Floor Conference



13. Next Meetings

Tuesday 11 May 2021, 12:30pm – Encounter Room

14. Meeting Closed.

2:03pm

***Please be advised** that filming, photography and audio recording may take place at this meeting when the public and media are not lawfully excluded under Section 90 of the Local Government Act 1999.*

A handwritten signature in black ink, appearing to read "M. Whisley". The signature is written in a cursive style with a large, sweeping flourish at the end.

Attachment B
Minutes of the Victor Harbor Horse Tram Authority
Audit Committee Meeting
For meeting Tuesday 11 May 2021
Commencing at 12:30pm, Encounter Room



1. Attendance

Present

John Morgan (Independent Member)

Paul Brown

Rachel Kennedy

In attendance

Megan Whibley (General Manager VHHTA)

Tamar Herron (Minute secretary VHHTA)

Commencement

The meeting commenced at 12:36pm

2. Apologies

Katherine Christ (Independent Member)

Kellie Knight-Stacey (Group Manager Governance & Finance CVH)

3. Conflict of Interest

John Morgan declared a material conflict of interest and abstained from the meeting and debate for agenda item 7.1(3).

4. Minutes of the Previous Meeting

4.1 Minutes - VHHTA Board Meeting – 9 February 2021

AC007 Moved: Rachel Kennedy
 Seconded: Paul Brown

That the minutes of the previous Victor Harbor Horse Tram Authority Audit Committee meeting held on 9 February 2021, as per copies supplied to members, be adopted as a true and correct record of the meeting.

CARRIED

5. Business Arising

Nil

Attachment B
Minutes of the Victor Harbor Horse Tram Authority
Audit Committee Meeting
For meeting Tuesday 11 May 2021
Commencing at 12:30pm, Encounter Room



1. That the Victor Harbor Horse Tram Authority Audit Committee receive and note the Policy Review Report.

CARRIED

AC011 Moved: Rachel Kennedy
 Seconded: Paul Brown

2. That the Victor Harbor Horse Tram Authority Audit Committee review the policies at attachment A, B, C, D, E, F, and the corporate risk matrix as attached, and recommend any changes to the Authority.

CARRIED

John Morgan (Chair) declared a material interest and left the meeting at 1:35pm.

Rachel Kennedy (Deputy Chair) assumed the role as Chair.

AC012 Moved: Paul Brown
 Seconded: Rachel Kennedy

3. That the Victor Harbor Horse Tram Authority Audit Committee recommend to the Authority that the Allowances and Reimbursement of Expenses Policy be changed at provision 3 from "Payment of Board Members' to "Payment of Board Members and Audit Committee Members allowances and expenses', and that the definition of an Audit Committee Member be added to provision 5 so as to be consistent with other definitions.

CARRIED

John Morgan joined the meeting at 1:37pm and assumed the role as chair.

Attachment B
Minutes of the Victor Harbor Horse Tram Authority
Audit Committee Meeting
For meeting Tuesday 11 May 2021
Commencing at 12:30pm, Encounter Room



AC013 Moved: Paul Brown
 Seconded: Rachel Kennedy

4. That the Victor Harbor Horse Tram Authority Audit Committee recommend to the Authority that it make the following changes to policies reviewed;
- a) Budget Framework Policy at 6.4 amend the word Council to Authority;
 - b) Procurement Policy at 6.8.1 (a) amend to 'at least one verbal quotation sought';
 - c) Procurement Policy at (b) and (c) the addition of the word 'sought' to the end of each sentence;
 - d) Procurement Policy at page 7, Schedule 1 – Procurement Delegation Table, top row of table, the addition of the word 'sought' to 'Two Written Quotes' and 'Three Written Quotes';
 - e) Procurement Policy at 6.10 change the limit for one credit card per calendar month to \$5,000 to be consistent with schedule 1 of the policy;
 - f) Sponsorship Policy – Sponsorship Contract - at 7.3 remove the requirement to send by facsimile;
 - g) Sponsorship Policy remedy the absence of provisions 6.1, 7.2 and 8.2 and any other missing sections;
 - h) Corporate Risk Matrix - correct misspelled word 'likelihood'

CARRIED

Action: Organise a risk management session for October meeting/workshop.

Action: Utilise risk management specialist, staff, Authority and Audit Committee Members to tailor Corporate Risk Matrix to the Victor Harbor Horse Tram Authority.

Action: Check the Treasury Policy against the VHHTA Charter for consistency and seek advice regarding potential changes to policy.

7.2 March Quarterly Budget Review 2020/21 Report

AC014 Moved: Rachel Kennedy
 Seconded: Paul Brown

Attachment B
Minutes of the Victor Harbor Horse Tram Authority
Audit Committee Meeting
For meeting Tuesday 11 May 2021
Commencing at 12:30pm, Encounter Room



1. That the Victor Harbor Horse Tram Authority receive and note the March Quarterly Budget Review 2020/21 Report.
2. That the Victor Harbor Horse Tram Authority endorse the March Quarterly Budget Review 2020/21 as presented at attachment A to this report, noting an unchanged contribution from Council (operating deficit) of \$415,400.

CARRIED

Action: Review budget template from John Morgan for suitability and/or adaption.

8. Presentations

Nil

9. Discussion Items – No decision(s)

9.1 Future Audit Committee Dates

Date tentatively set for 12 October 2021 at 10:00am, availability to be confirmed by Katherine Christ.

9.2 LGA Quote for Training

Discussion that the quote appears reasonable and is less per member for training than the listed price on the LGA's website.

9.3 LGA Date for Training

Date tentatively set for 16 June 2021, availability to be confirmed by Katherine Christ and the LGA.

10. Correspondence Received

Nil

11. Urgent Business without Notice

Nil

Attachment B
Minutes of the Victor Harbor Horse Tram Authority
Audit Committee Meeting
For meeting Tuesday 11 May 2021
Commencing at 12:30pm, Encounter Room



12. Confidential Item(s)

Nil

13. Next Meetings

Tuesday 4 August 2021, 1:00pm – Encounter Room

14. Meeting Closed.

2:38pm

***Please be advised** that filming, photography and audio recording may take place at this meeting when the public and media are not lawfully excluded under Section 90 of the Local Government Act 1999.*

DRAFT

Meeting **Victor Harbor Horse Tram Authority**

Date **8 June 2021**

From **Megan Whibley**

Subject **Outstanding Resolutions Register**

Report Number **6.2**

RECOMMENDATION

That the Victor Harbor Horse Tram Authority receive and note the Outstanding Resolutions Register report.

INFORMATION

Purpose

The purpose of this report is to review the outstanding resolutions register and determine the best course of action for items where required.

Background

The General Manager is to maintain a register of outstanding resolutions and implement resolutions of the Board in a timely and efficient manner.

The outstanding resolutions report lists all the outstanding resolutions from previous Board meetings, with a progress note against each resolution. Completed items are removed from the register for the following Board meeting to ensure that the list remains a current working document of outstanding resolutions that require action.

Commentary

The current outstanding resolutions register is provided at attachment A.

RISK ASSESSMENT

Legal and Compliance –The Board must manage its governance risk of implementing decisions of the Board and associated actions as well as undertake duties as required by the Local Government Act 1999 Section 99(1)(a) and the Charter within approved budgets and required time frames. This report provides a mechanism for the Board to monitor progress of resolutions, work and actions and to manage the associated governance risk. The risk is assessed as **low**.

Reputation – There may be some concern from Board members, Council and the broader community if resolutions are not actioned in a timely manner or if the current Board

determines to resolve contrary to an earlier resolution. The Board have now worked through many of the longer term outstanding items. The risk is assessed as **low**.

BUDGET IMPLICATIONS

There are no budget implications associated with the Board receiving and noting this report.

The majority of tasks on the outstanding resolutions register will be undertaken by the General Manager Horse Tram Authority as scheduled and without requirement for additional funds. Where additional funds are required to achieve items on the resolutions register, endorsement by the Horse Tram Authority Board, or where applicable, budget bids to Council, will be applied to individual items as required.



Attachment A
VHHTA – Outstanding Resolutions Register – updated 3-Jun-21
 *newest at top

Date	Minute Number	Resolution	Status/Update
		<i>Leave blank</i>	
11 May 2021	VHHTA235	That the Victor Harbor Horse Tram Authority endorse the March Quarterly Budget Review 2020/21 as presented at attachment A to this report, noting an unchanged contribution from Council (operating deficit) of \$415,400.	Complete – Provided to Council on 24 May 2021
13 April 2021	VHHTA233	That the Victor Harbor Horse Tram Authority endorse the Draft Operating Budget 2021/22 Report and the accompanying financial statements as provided at attachment A to this report, and recommend it to Council for their approval.	Complete – Provided to Council and approved on 27 April 2021
13 April 2021	VHHTA232	That the Victor Harbor Horse Tram Authority Board endorse the Draft Business Plan 2021/23 Report and provide the plan to City of Victor Harbor.	Complete – Provided to Council on 27 April 2021
13 April 2021	VHHTA229	The Board to write a letter to thank Kellie Knight-Stacey for her support over the past eight months during the temporary City of Victor Harbor Organisational Restructure.	Alternative options being explored Provide a card for the Board to sign and gift for Kellie as a thankyou – Megs thoughts
1 December 2020	VHHTA209	That the General Manager present a report to the Victor Harbor Horse Tram Authority Board prior to the setting of the 2021/2022 budget, that includes information on our training policy and our budget requirements for training, so as to provide direction for the Board.	In Progress – Training Policy for VHHTA is in early stages of development, in consultation with CVH.



Attachment A

Date	Minute Number	Resolution	Status/Update
25 August 2020	VHHTA180	<p>That the Victor Harbor Horse Tram Authority recommend to Council’s Chief Executive Officer that the Horse known as Karni, who is currently retired from duties with the Victor Harbor Horse Tram, be the subject of a transfer of ownership, ensuring that the new owner has demonstrated capability, capacity and an appropriate environment that will provide for the horse’s ongoing care and wellbeing.</p> <p>That the Victor Harbor Horse Tram Authority support the rehoming of Karni to Aleysha Austin and recommend this option to Council’s Chief Executive Officer.</p> <p>That the conditions of sale include that Karni is not to be used for any commercial purpose.</p> <p>That the sale of Karni will proceed only after a successful trial period has been undertaken.</p>	<p>Signed documentation for the trial period was obtained and a trial period was undertaken with great results.</p> <p>The approval has been received from the CEO, Victoria MacKirdy for Karni’s retirement.</p> <p>The final process needs to be implemented with the purchase amount of \$1 to occur.</p> <p>Complete</p> <p>Complete</p>
16 June 2020	VHHTA175	<p>That the Victor Harbor Horse Tram Authority determines to engage an External Auditor and that the Board approves appointment of an external auditor for a three year period, with the possibility of a further two years if both parties are in agreement, through VHHTAs usual procurement processes as delegated to the General Manager or delegate; and that Council’s Audit Committee is utilised for oversight of the External Auditor engagement, pending the formation of the Authority’s Audit Committee.</p>	<p>In Progress - Quotes have been received from Dean Newberry Group and Galpins, with the latter being the cheaper of the two. Forms have been sent back to Galpins in order to engage them as the VHHTA External Auditor. Email acknowledgement has been received.</p>
17 Dec 2019	VHHTA147	<p>That with reference to minute VHHTA40 as detailed in this report regarding improvements to the Causeway Horse Tram Station, the matter be discontinued in light of the new causeway alignment and that the Authority</p>	<p>Ongoing – liaising with Council/DPTI regarding future of Causeway and infrastructure needs of VHHTA.</p>



Attachment A

Date	Minute Number	Resolution	Status/Update
		work with DPTI and/or Council to ensure that the future design of any new facilities and infrastructure are suitable to the ongoing needs of the VHHTA.	Meetings occurred with VHHTA GM and Adrian Cox 1.12.2020. Construction has begun and open communication via email and by phone are occurring almost daily.
17 Sept 2019	VHHTA108	That the Victor Harbor Tram Authority modify the works program by delaying the Tram 4 action for 12 months	In progress - To be a 2021/22 Budget Bid Current Capital budget bids are with Council for their consideration.
20 Aug 2019	VHHTA96	That the Victor Harbor Horse Tram Authority examine the policy associated with sales and Merchandise.	In progress – this needs to be developed.
20 Aug 2019	VHHTA97	That the Victor Harbor Horse Tram Authority review the volunteer policy.	In progress – email sent to Board with the policy to review.



Meeting **Victor Harbor Horse Tram Authority**
Date **8 June 2021**
From **Meg Whibley**
Subject **Horse Welfare Update**
Report Number **6.3**

RECOMMENDATION

That the Victor Harbor Horse Tram Authority receive and note the Horse Welfare Update report.

INFORMATION

Purpose

The purpose of this report is to provide an update regarding the health and welfare of Victor Harbor Horse Tram Authority horses to the Board.

Background

The Victor Harbor Horse Tram horses are required to undergo a Vet check each year for the purpose of Insurance of the Horse team and provide the certificates to the Victor Harbor Council.

Commentary

The Victor Harbor Horse Tram Authority horses have been located at Canton Place for the summer and autumn months. As the weather is starting to become wetter, staff have now moved the horses to the Gillespie land and they will be rotated through paddocks as needed.

The previous spray out of Salvation Jane was reasonably effective and staff have also been weeding the paddocks to remove other undesirable weeds. Boundary fences have been inspected and some repairs have been made. The electric fence has been tested and is working well.

During March the Annual Vet checks occurred for each of our horses, with certificates to be supplied for insurance purposes. The horses were all found to be in great health and condition. The veterinary report is at attachment A to this report.

RISK ASSESSMENT

A risk assessment has not been undertaken as this report is provided to the Board for receiving and noting only.

BUDGET IMPLICATIONS

There are no budget implications associated with the Board receiving and noting the Horses Welfare Update report.

Dr Lindsay Young B Sc. BVMS (Hons.)

Veterinary Surgeon

Trading as LS & ME Young

ABN 22 394 901 433

lindsayyoungvet@bigpond.com

Mobile 0408132742

Veterinary Inspection Report

24/3/2021

HORSE NAME: Isabella 10yr old Bay Mare

Procedures performed/medications : General Health Check, Routine Dentistry (under sedation), Deworm & Oil Drench, Vaccinate Strangles.

Eyes, head and neck: Good, No abnormalities

Body condition score: 9/10

Musculoskeletal: Good – toned 9/10

Hoof and leg examination:

Hoof cracks: Nil

Wall and Frog quality: Good

Farriery/Shoeing – Good

Evidence of Lameness/soreness present? Nil

Distal limb dermatitis: Very Mild Lesions present in all four limbs – Currently being well treated.

Overall general health : Excellent

24/3/2021

HORSE NAME: Elliott 9yr old Bay Gelding**Procedures performed/medications:** General Health Check, Routine Dentistry (under sedation), Deworm & Oil Drench, Vaccinate Strangles.

Eyes, head and neck: No abnormalities

Body condition score: 9/10

Musculoskeletal: Toned 7/10

Hoof and leg examination:

Hoof cracks: Off fore inside quarter

Wall and frog quality: Seedy toe inside quarter of near and off fore – receiving treatment currently

Farriery: Good

Evidence of Lameness/soreness present? Nil

Distal limb dermatitis: Nil

Overall general health: Very Good.

24/3/2021

HORSE NAME: Scotty 6yr old Bay Roan Gelding**Procedures performed/ required/medications:** General Health Check, Routine Dentistry (under sedation), Deworm & Oil Drench, Vaccinate Strangles.

Eyes, head and neck: Good

Body condition score: 9/10

Musculoskeletal: Good tone

Hoof and leg examination:

Hoof cracks: Nil

Wall and Frog quality: Good

Farriery: Good

Evidence of Lameness/soreness: Nil

Distal Limb Dermatitis: Nil

Overall general health: Excellent

24/3/2021

HORSE NAME: Murray 10yr old Bay Gelding**Procedures performed/medications:** General Health Check, Routine Dentistry (under sedation), Deworm & Oil Drench, Vaccinate Strangles.

Eyes, head and neck: Good – no abnormalities

Body condition score: 10/10

Musculoskeletal: Good - toned

Hoof and leg examination:

Hoof cracks: Nil

Wall and Frog quality: Good

Farriery: Good

Evidence of Lameness/soreness present? Nil

Distal limb dermatitis: Nil

Overall general health: Excellent

7/4/21

HORSE NAME: Jay Jay Roan Gelding**Procedures performed/medications:** General Health Check, Routine Dentistry (under sedation), Deworm & Oil Drench, Vaccinate Strangles.

Eyes, head and neck: Good – no abnormalities

Body condition score: 9/10

Musculoskeletal: Good

Hoof and leg examination:

Hoof cracks: Nil

Wall and Frog quality: Good

Farriery: Good.

Evidence of Lameness/soreness present- Nil.

Distal limb dermatitis: Off hind 13-14mm tumour - Monitor

Overall general health: Very good

7/4/2021

HORSE NAME: Chester 10yr old Bay Gelding**Procedures performed/medications:** General health check, Routine Dentistry (under sedation), Deworm & Oil Drench, Vaccinate Strangles.

Eyes, head and neck: Good

Body condition score: 9/10

Musculoskeletal: Improvement in hindquarters

Hoof and leg examination:

Hoof cracks: Nil

Wall and Frog quality: Seedy Toe, medial quarters – Near & Off fore

Farriery: Shod – fronts only

Evidence of Lameness/soreness present? Nil

Distal limb dermatitis: No irritation

Overall general health: Very Good.

7/4/2021

HORSE NAME: Albert 12yr old Roan Gelding**Procedures performed/medications:** General Health Check, Routine Dentistry (under sedation), Deworm & Oil Drench, Vaccinate Strangles.

Eyes, head and neck: Good

Body condition score: 9/10

Musculoskeletal: Good - toned

Hoof and leg examination:

Hoof cracks: Nil

Wall and Frog quality: Good

Farriery: Good

Evidence of Lameness/soreness present? No

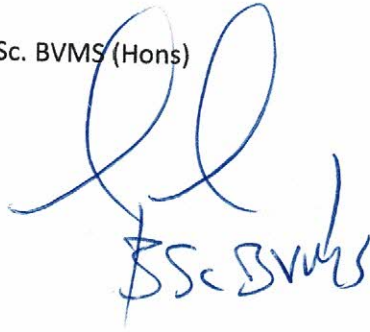
Distal limb dermatitis: Near hind, dry lesions – non active.

Overall general health: Very Good

Comment:

Overall the health and general condition of these horses has never been better. 5 stars. Keep up the good work.

Dr. Lindsay Young B Sc. BVMS (Hons)



Handwritten signature in blue ink, consisting of stylized initials 'LY' and the text 'BSc BVMS' written below.



Meeting **Victor Harbor Horse Tram Authority**
Date **8 June 2021**
From **Megan Whibley**
Subject **Equine Assisted Learning Certification for the General Manager**
Report Number **7.1**

RECOMMENDATION

- 1. That the Victor Harbor Horse Tram Authority receive and note the Equine Assisted Learning Certification for the General Manager report.**
- 2. That the Victor Harbor Horse Tram Authority Board approve the General Manager to participate in and attend all aspects of the Equine Assisted Learning Program, including during work hours, in recognition of the professional development opportunity that this program provides and the benefits for the Authority.**
- 3. That the Victor Harbor Horse Tram Authority Board approve payment of \$6,765 from the Authority operating budget towards fees for participation by the General Manager in the Equine Assisted Learning Program.**

INFORMATION

Purpose

The purpose of this report is to seek Board approval for the General Manager to complete Equine Assisted Learning Certification, funded from the operating budget of the Victor Harbor Horse Tram Authority.

Background

The Victor Harbor Horse Tram has always been limited to providing a single service, offering a passenger service to and from Granite Island. The service, whilst providing a world class experience, has encountered many obstacles outside of its control which have affected its ability to operate, not least of which have included structural issues relating to the causeway. Fortunately, a new causeway is currently under construction, which once completed will go some way to provide dependability for the tram service. Weather and other factors, however, will continue to impact the service financially, even after construction is complete.

Commentary

The Authority's latest Business Plan details a range of expanded services, to both improve its value to the Fleurieu region while also generating reliable, multiple income streams. The planned services can operate at the new stable complex, irrespective of weather and causeway construction realities.

As these services will be immune from Horse Tram closure and cancellation factors, the Authority will, for the first time, be able to offer services and bookings with confidence, reliability and sustainability, generating income with certainty, and creating the potential to significantly reduce the Victor Harbor Horse Tram Authority's financial reliance on City of Victor Harbor.

One such service identified by the Authority is the provision of equine assisted therapy. Equine-assisted therapy encompasses a range of treatments that involve activities with horses to promote human physical and mental health, as well as offering clients personal development and growth opportunities.

Equine therapy, and the various forms it can take, offers an exciting and unique opportunity for service expansion. It is an area that requires specific and comprehensive training in order to perform and / or oversee the service. Client safety is crucial, and competency is required.

The Authority has been fortunate to have two permanent staff members volunteer to undertake the study, unpaid, and in their own time. One staff member has already commenced and is expected to be a qualified equine assisted learning provider by the start of 2022. A second staff member is expected to complete the qualification by April 2022

The General Manager is also preparing to undertake the study in order to be qualified to both manage and facilitate the equine therapy program. The next study block begins on 27 July 2021, which will see the General Manager attain the qualification also by April 2022.

Upon completion, the General Manager and trained staff members will be qualified to offer Equine Assisted Learning sessions (EAL). The course itself provides a ready to go, seven session EAL program, as well as training and certification to develop the Authority's own programs and learning sessions.

The course comprises three modules, priced at \$1,800 + GST each, and 5 personal sessions costing \$150 + GST each. Course attendance is via a 3 hour zoom session, once a week, for 40 weeks.

The General Manager is seeking Board approval for payment of \$6,765 from the Authority operating budget 2021/22 towards fees for participation by the General Manager in the Equine Assisted Learning Program, and approval to participate in and attend all aspects of the Equine Assisted Learning Program during work hours.

RISK ASSESSMENT

Legal and Compliance – The Board have a responsibility in accordance with the Charter to manage the performance of the General Manager, and this opportunity would provide professional development and networking opportunities which will benefit the VHHTA. This is assessed as **low**.

REFERENCES

VHHTA Charter

VHHTA Business Plan 2021/23

BUDGET IMPLICATION

There are sufficient funds in the Victor Harbor Horse Tram Authority Budget– (training and development Expenses) 2021/22 to support the costs of the Equine Assisted Learning program.

2021/22 operational Budget	=	\$16,000
Less Expenditure to date	=	\$0
Less Report Expenditure	=	\$6,765
Budget Remaining	=	\$9,235

No additional funds are required.

CONSULTATION

Karen Rokicinski (Director - Corporate and Customer Service, CVH)

The Equine Psychotherapy Institute

Equine Assisted Learning (EAL) Foundation Training

LIVE AND INTERACTIVE ONLINE FOUNDATION EAP/ EAL TRAINING

EAP Students are **registered** allied health, mental health and clinical professionals (psychologists, psychiatrists, social workers, counsellors, psychotherapists, mental health occupational therapists and credentialed nurses).

EAL Students are teachers, disability support workers, youth workers, horse riding instructors, coaches, organisational consultants, and people interested in helping people learn new skills, with the horses as engaging partners in the process.



WHO IS THIS ONLINE EAP / EAL TRAINING FOR?

This unique training is available for both Australian and English-speaking International students.

This program incorporates our successful Foundation 15-day intensive EAP/ EAL Training Program and offers an engaging and accessible online format over 40 weeks, perfect for those fitting their study in around work, family and other commitments.



HOW IS THE TRAINING DELIVERED?

Our online EAP/EAL Foundation Training is delivered live every week on Zoom, by our senior trainer and EPI founder, Meggin Kirby.

Over a total of 120 Contact Hours (plus Accrued Learning Hours), you will learn a sophisticated and comprehensive model of equine assisted practice.



WHAT ARE THE LEARNING OBJECTIVES?

- To understand the theory and practice of the EPI Model EAL and Aware Therapy™.
- To understand and apply experiential and creative principles and practices.
- To understand ethical issues and professional standards in delivering social-emotional learning and personal development practices.
- To understand and apply safety practices with horses and clients.
- To develop here and now assessment, process and closure skills.
- To create appropriate and graded equine experiences to offer clients based on appropriate assessment, with professionalism and sensitivity.
- To understand and be guided by self-awareness and 'self as practitioner', understanding the impact of practitioner core themes or personal styles on clients and the change process.

Attachment A

- To understand horse psychology, herd behaviour and appreciate the subjective and relational dynamics that horses bring to the process.
- To understand the relationship between practitioners and their horses and the impact on safety and efficacy of the work for clients, horses and practitioners.
- To understand and practice I – Thou Horse-person-ship.
- To understand and practice EPI Horse Wisdom® psycho-education programs
- To design and implement a range of equine assisted learning sessions and programs
- To develop a commitment to continuing personal and professional development.
- To begin EAL practice with support and supervision!



WHAT ARE THE ONLINE TRAINING REQUIREMENTS?

- Attendance is a Certification Requirement as online classes are live and are not recorded.
- Students must be available to attend up to 40 weeks of training. Please note class size dictates final training length.
- You need a reliable internet connection, computer or laptop, private study/desk for online class attendance, and safe access to your horse/herd for practicals.
- You need IT skills or access to support to upload videos for assessment, participate and interact virtually.
- You will need to set aside 3 hours for classes in privacy and without distraction, as well as additional time for weekly reading and homework (as well as time for assessment and

Attachment A

certification requirements – i.e. integration papers during training and exam at completion of training).

- Students must participate in classes using a laptop or similar device with camera enabled. Participating on a phone is not suitable due to the activities involved in training.
- This is a relationally-based training with a large focus upon personal development and it is expected that students are able to attend online classes with 100% presence and focus.



WHAT WILL YOU LEARN?

- The core competencies of Equine Assisted Practice, specifically Equine Assisted Psychotherapy and Equine Assisted Learning, including: Theory and Practice
- Equine Studies, I- Thou Horse-person-ship, Horse safety and Safety guidelines
- The unique dynamics that occur in equine assisted psychotherapy and equine assisted learning
- An overview of The Equine Psychotherapy Institute (EPI) Model, a unique relational, trauma-informed, experiential, ethical and horse-wisdom based model founded in psychotherapy theory and practice and neuroscience.
- Underpinning Psychotherapy theory including gestalt therapy, awareness and mindfulness, phenomenology, developmental, trauma-informed, and somatic experiencing, principles and practices.
- Practice methodology, including somatic, emotional, cognitive, behavioural, brain-body, relationship-focused methodology.
- The 'what' and 'how' in EAP and EAL processes – the theoretical and experiential foundations, including applications at liberty, on-line and led mounted sessions with horses.
- The Role of the Horse and Nature in contributing to client change. I-Thou Horse-person-ship and the 8 Keys to including horses in psychotherapy and experiential learning.
- An Introduction to different applications – working with individuals and groups.
- EPI Model theory of change – this includes understanding how people grow and change generally, and how change happens therapeutically in equine-assisted processes.
- EPI Code of Ethics, Ethical practice and Horse Welfare.
- Introduction to Business and Professional practice in the context of equine assisted practice, and much, much more!



WHAT ARE THE CERTIFICATION REQUIREMENTS?

- Attend Online Classes with a maximum of 2 absences
- Submission of 3 Integration Papers
- Facilitate and Video Submission of 1 EAP/ EAL Practice Assessment Session
- Complete 2 EAP/ EAL Clinical/Practice Sessions and keep case notes
- Complete 5 Phone / Online Supervision Sessions with EPI Supervisor (\$120 plus GST per Supervision, \$150 plus GST after July 1st 2021)
- Satisfactory completion of open book Theory Exam (must be completed within 3 months of training completion)
- Completion of Online Equine Studies course (included in course fees)
- Satisfactory completion of Equine Studies and Horse-person-ship Assessment, consisting of Exam, Horse-person-ship Plan and I-Thou Horse-person-ship Video
- Signed/compliance with Institute Code of Ethics
- Includes Required Reading and active participation during training

All completed within 12 months.



WHAT IS THE INVESTMENT?

Online EAP / EAL Training:

Module One - \$1500 plus GST

Module Two - \$1500 plus GST

Module Three - \$1500 plus GST

For training commencing after 1st July 2021, Course Fees will increase as follows:

Module One - \$1800 plus GST

Module Two - \$1800 plus GST

Module Three - \$1800 plus GST

Zoom/Skype/Phone Supervision Sessions: Sessions are \$120 per session (x5) (invoiced and paid at time of session)

As of 1st July 2021, Supervision Fees will increase as follows:

\$150 per session (invoiced and paid at time of session)

TRAINING DATES

27 July 2021 – 3 April 2022

Online EAL Foundation Training

Tuesday 9:30am - 12:30pm*

****Melbourne, Australia time***



WHAT SUPPORT WILL YOU GET?

After completion of training students/practitioners will:

- Join EPI Online Network Group
- Join EPI Closed Facebook Group
- Access EPI Supervision
- Access EPI Model Psychotherapy (as needed)
- Access ongoing Professional Development opportunities – Advanced / Specialist Training, Conferences, Assisting in training etc.
- Have lifetime access to the EPI Community of Practitioners

WHY TRAIN WITH US?

We are uniquely placed given our training is pitched at the standard you would expect from a post graduate training. The standard of training is high, aimed at a post degree level or equivalent.

We are celebrating our 10th year of training in EAP! We are an established training organisation and have been successfully training hundreds of practitioners since 2011.

We have a unique approach to EAP. Our EPI Model is a *psychotherapy model*, that is fundamentally founded on ethical practice with both clients and horses. Our faculty is highly qualified and experienced in EAP, and live and breathe this work.

This training program is designed to support you as a practitioner to be personally and professionally competent in working with horses and humans for the purpose of human growth, development and healing, where the horses are honoured as teacher, assistant and co-facilitator.

We will support and challenge you to grow and feel 'held' as you grow into grounded and authentic practitioners. Our program sets a high standard for students, practitioners and the wider international community.

As a graduate of our training, you can choose to become a member of our EPI *community of practitioners* and get access to *ongoing support, supervision and advanced, high quality specialist psychotherapy training*.



PLEASE NOTE: This training includes personal growth and development work, as it is a psychotherapy model and requires 'inside out learning' to understand and apply. It is not an information or knowledge-based training, rather an experiential learning process, that incorporates psychotherapy theory, principles and practice methodology. If you have trauma or significant psychological issues, it does not preclude you from the training, however, please discuss your needs and the demands of the program in a phone interview/conversation to assess suitability and approach to keeping you safe.

Contact Information

Name:			
Street Address:			
Suburb/Town:			
		State:	Postcode:
Mobile/Phone:			
Email:			
Age:			
<p>Do you have: (circle / delete as appropriate)</p> <p>(NOTE – these are all requirements of the online training and failure to meet all or any prior to or during the duration of the course may result in ineligibility to begin or continue in the program.)</p>		<p>a) Safe access to horses for practice and assessment throughout the training? YES / NO</p> <p>b) A reliable internet connection? YES / NO</p> <p>c) A private area to participate in the training (eg. Study or Office) to maintain confidentiality, without interruption and other individuals present? This is essential for student safety and wellbeing and is each student's responsibility to maintain throughout the duration of the training. YES / NO</p> <p>d) A laptop, tablet or PC to attend online training. Note mobile devices are not suitable and any devices used must be fixed (on desk or stand) and not moving throughout the duration of training? YES / NO</p> <p>e) Basic skills in filming and uploading assessment videos to YouTube to share (or a commitment to learning and practicing these skills prior to training commencement)? YES / NO</p>	
Training Interest:		EAL / EAP (circle / delete as appropriate)	

Class you are registering for:

Tuesday morning 9:30am – 12:30pm Melbourne, Australia Time

Delivery Mode	Dates
Online	27/07/2021 – 03/04/2021 Please note – Class size will dictate course length. Students must be prepared for training to run for up to 40 weeks.

Medical Conditions

Please indicate any relevant health conditions that you think would be useful for us to know throughout this online training.

--

Person to Notify in Case of Emergency

Name:			
Street Address:			
Suburb/Town:			
	State:		Postcode:
Mobile/Phone:			

Qualifications and Professional Work Experience

Please briefly list relevant areas of expertise and work skills, including areas of horsemanship, counselling, psychotherapy/mental health, equine assisted psychotherapy/learning, coaching, etc.

If you are applying for the **EAP Training**, please supply proof of registration as a Mental Healthcare Professional (eg. Registration/Membership with AASW, APA, AHPRA, ACAS, PACFA etc.)

--

Psychotherapist/Facilitator

Do you have experience as a Psychotherapist/Facilitator? If yes, please list.

Horses

Do you have any experience with horses?

(beginner, intermediate, advanced, understanding of horse psychology, experience in liberty, groundwork and ridden work – please be specific)

Objectives

What do you hope to achieve from completing this Practitioner Training?

(wants, goals, vision, etc.)

Interest

What has drawn you to this work with horses?

Client Background

Have you ever seen a Counsellor/Psychotherapist? If yes, what was your experience of the therapeutic process? How long, focus of work, usefulness?

Participation

Please list your experience of participation in groups. Specifically, please outline your experience and ability to support yourself within group settings, to stay safe within discussions of personal nature and to reach out for support if needed.

Strengths and Talents

What do you see as your strengths/talents and underdeveloped areas/limitation? Personally and professionally?

Support

What supports you to learn and how can we best support you?

PLEASE NOTE: This training includes personal growth and development work, as it is a psychotherapy model and requires 'inside out learning' to understand and apply. It is not an information or knowledge-based training, rather an experiential learning process, that incorporates psychotherapy theory, principles and practice methodology. If you have trauma or significant psychological issues, it does not preclude you from the training, however we will contact you to discuss your needs and the demands of the program in a phone interview/conversation to assess suitability and approach to keeping you safe.

Psychiatric History

Have you ever received a formal psychiatric diagnosis (if so, what was the diagnosis, when was it given and what treatment have you received)

Trauma History

Have you experienced trauma or any traumatic events? (Please briefly describe the trauma diagnosis, treatment and traumatic events that you have been exposed to).

Other

Is there anything further you feel is important for us to know about you personally or professionally?
(Including any trauma you have experienced, unique/important experiences, feelings, wants, etc.)

How did you hear about us?

Medical Conditions

Please indicate any relevant medical conditions that you think would be useful for us to know.

Please also include any known allergies.

Other

Is there anything further you feel is important for us to know about you personally or professionally?
(Including any trauma you have experienced, unique/important experiences, feelings, wants, etc.)

How did you hear about us?

Payment

Payment for the course is per Module, as follows:

Module 1 Foundation Training \$1,800 (plus GST)

Module 2 Foundation Training \$1,800 (plus GST)

Module 3 Foundation Training \$1,800 (plus GST)

You will be invoiced for payment prior to commencement of training.

Payment of the course fee is required prior to commencement of each Module in the Foundation Training.

If students withdraw from the program after commencement, course fees will not be credited to future training.

Fees are non-refundable.

Please sign below to indicate you have read and agree to the Payment and refund conditions.

Name (printed):	
Signature:	
Date:	

Intellectual Property

Enrolment and participation in the program are conditional upon the student accepting and agreeing to the following:

Students do not intend to utilise any of the intellectual property provided, the EPI model or their position as a student for any reason, including (but not limited to) conducting their own training in Equine or Animal Assisted Psychotherapy/ Learning or Interventions, providing content to other training organisations or any other activity not explicitly authorised by the Equine Psychotherapy Institute.

Name (printed):	
Signature:	
Date:	

Certification details

Components to receive Certification are:

- Attendance at 40 x 3 hour Online Live Training Sessions
- 5 x Supervision Sessions (\$150+GST per supervision. These will be invoiced following the session. These 5 sessions must be completed within 12-month period)
- Satisfactory completion of Virtual Equine Studies Online Program, including satisfactory submission of horse-person ship recorded footage (basic horse-person-ship skills 5 min video, equine exam and horse-person-ship plan)
- Open Book Exam (must be completed within 3 months of receiving via email, after module 3)

Upon successful completion of the above training and supervision in Equine Assisted Psychotherapy and Equine Assisted Learning, you will receive your EPI Model Certification, Certificate of Completion and Membership.

The Equine Psychotherapy Institute requires all training to be completed within a certain timeframe. All supervision and training **must** be completed within 12 months. The date of your first training session will become your commencement date.

You can choose to complete training, and not certify as an EPI Model Practitioner. In this case trainees will not be promoted on the Institute 'Find a Practitioner' page and will not have access to EPI Networking Groups, EPI Community Networking, EPI Conferences and Members only Continuing Professional Development (CPD) activities.

EPI Model Practitioners continue Membership with the Institute via completion of 10 Hours CPD per annum (e.g. in attending Network Meetings, Peer Supervision, Supervision, EPI 2 Day Refresher Courses, Advanced Intensives (covers 2 years CPD requirements), EPI Conference (covers 2 years CPD)).

Agreement and Signature

By submitting this application, I affirm that the facts set forth in it are true and complete, I understand the Certification process and consent to the refund policy.

Name (printed):	
Signature:	
Date:	

Required Texts

As a requirement to complete the exam at the end of your Intensive Training you will also need to purchase the following four books (eg. online bookstores such as Booktopia, Amazon or other bookstores):

Required Reading:

1. Skills in Gestalt Counselling & Psychotherapy, Joyce & Sills (2018)
2. An Introduction to Equine Assisted Psychotherapy, M Kirby (2016)
3. Equine Therapy Exposed, M Kirby (2021)
4. How to Think Like a Horse, C Hill (2006)

Recommended Reading (not compulsory):

1. The Clinical Practise of Equine Assisted Therapy: Including Horses in Human Healthcare, L Hallberg (2017)
2. Gestalt Therapy: 100 Key Points & Techniques, Dave Mann (2020)

Personal Attributes of Equine Assisted Practitioners (Drawn from PACFA Code of Ethics 2017)

Reference - <https://www.pacfa.org.au/wp-content/uploads/2017/11/PACFA-Code-of-Ethics-2017.pdf>

Everyone brings their own personal attributes to their decisions and actions. These are internalised values that shape how we relate to others and to our environment, and may operate consciously or unconsciously. Our personal attributes are conveyed through our communication and behaviour in our relationships with clients and colleagues. It is beneficial to be aware of and examine our own personal attributes in order to support our ethical development. Many of the personal attributes considered important in counselling and psychotherapy have ethical components and are worth cultivating. As ethical virtues are enacted through particular behaviours, these virtues can be taught and practised.

There are twelve personal attributes to which people who train and practice in Equine Assisted Psychotherapy and Equine Assisted Learning are encouraged to aspire.

1. **Authenticity:** the capacity to be true to ourselves and to relate to others based on who we truly are
2. **Care:** attending to and serving the needs of others and ensuring they are protected from harm
3. **Courage:** making decisions and interventions that are in the best interests of our clients, despite personal discomfort
4. **Curiosity:** taking an active and genuine interest in, and desire to understand, the lives and experiences of others
5. **Diligence:** using counselling and psychotherapy skills and knowledge effectively to achieve the desired outcomes
6. **Empathy:** the ability to take the perspective of another and to connect compassionately with their experience of the world
7. **Honesty:** a personal commitment to being truthful, consistent, straightforward and trustworthy in all dealings with others
8. **Humility:** awareness of our own beliefs, values, strengths and limitations without needing to claim superiority or correctness over others

9. **Resilience:** the capacity to work with the client's concerns, whatever they are, and to grow stronger as a result of unexpected challenges
10. **Respect:** responding to and treating others as fully and equally human for who they are, and accepting, without judgement, all forms of human diversity
11. **Sincerity:** a personal commitment to consistency between what is professed and what is done
12. **Wisdom:** having sound judgement and insight in the practice of counselling and psychotherapy and in related fields of work

Please share your reflections regarding these personal attributes and your commitment to developing these qualities throughout your interactions with the Institute, during training and in the wider community. Please sign below to indicate your understanding and commitment.

Name (printed):	
Signature:	
Date:	

Photographic / Media Consent

INFORMATION

I hereby consent to the collection and use of my personal images by photography or video recording.

I acknowledge these may be used on The Equine Psychotherapy Institute website, in newsletters and publications as well as distributed to members.

I further acknowledge that my image may be used by The Equine Psychotherapy Institute and other media, to promote events in the future.

I understand that no personal information, such as names, will be used in any publications unless express consent is given.

I also understand that my consent can be withdrawn at any time in writing to Meggin Kirby, The Equine Psychotherapy Institute at admin@equinepsychotherapy.net.au or 459 Telegraph Road, Mt Prospect, VIC, 3364.

CONSENT FORM

I consent to the use of photographs or video footage for use on The Equine Psychotherapy Institute website, in newsletters and publications as well as for distribution to members.

I consent to the use of photographs or video footage being used to promote future events by The Equine Psychotherapy Institute and other media.

I further understand that this consent may be withdrawn by me at any time, upon written notice.

I give this consent voluntarily.

Name (printed):	
Signature:	
Date:	

Queries

For all queries contact The Equine Psychotherapy Institute at admin@equinepsychotherapy.net.au or phone 0437 882 600.

The content of your application will be considered with the utmost respect to your privacy.

Thank you for completing this application form and your interest in The Equine Psychotherapy Institute.



Meeting **Victor Harbor Horse Tram Authority**

Date **8 June 2020**

From **Megan Whibley**

Subject **Audit Committee review - Terms of Reference**

Report Number **7.2**

RECOMMENDATION

- 1. That the Victor Harbor Horse Tram Authority Board receive and note the Audit Committee review - Terms of Reference report.**
- 2. That the Victor Harbor Horse Tram Authority Board endorse changes to the VHHTA Audit Committee Terms of Reference, as detailed at attachment A to this report.**

INFORMATION

Purpose

The purpose of this report is for the VHHTA Board to review and approve changes recommended by the Victor Harbor Horse Tram Authority Audit Committee for the Audit Committee's own Terms of Reference.

Background

One role of an Audit Committee is to provide recommendations to the Authority regarding financial, strategic or corporate risk. The VHHTA Audit Committee Terms of Reference provides the framework and particulars regarding Audit Committee membership, meeting procedures, the scope and duties of Audit Committee members and how and when the Committee communicates to the Authority regarding managing those risks.

At its inaugural meeting on 9 February 2021 the Audit Committee requested to review the VHHTA Audit Committee Terms of Reference. On 11 May 2021 the VHHTA Audit Committee reviewed the Terms of Reference and have provided recommendations for the Authority to consider regarding changes to the Terms of Reference.

Commentary

A working copy of the VHHTA Audit Committee Terms of Reference was created and distributed via email and dropbox to Audit Committee members. On Tuesday, 11 May 2021, the VHHTA Audit Committee made the following recommendations to the Authority Board;

That the Audit Committee recommends that the Victor Harbor Horse Tram Authority update the Audit Committee Terms of Reference to

1. reflect the resolution of Council that pertains to the Committee Membership of the General Manager (at provision 3.1.2);
2. allow for attendance for committee meetings to include both physical and virtual attendance (at provision 8), and;
3. make grammatical improvements as agreed upon in the working copy for alterations to the Terms of Reference.

The reviewed Terms of Reference are provided at attachment A to this report, and incorporate the recommended changes from the Audit Committee for endorsement by the Board, with tracking and mark up for clarity.

RISK ASSESSMENT

The risks associated with the recommendation have been assessed as follows:

Legal and Compliance – The Victor Harbor Horse Tram Authority Audit Committee are tasked with reviewing policies and documents pertaining to the functions of the Authority and the Audit Committee. The recommended changes to the Terms of reference meet the requirements of the Local Government Act 1999, the Local Government (Financial Management) Regulations 2011 and the VHHTA Charter. The risk is assessed as **low**.

REFERENCES

VHHTA Charter

The Local Government (Financial Management) Regulations 2011

The Local Government Act 1999

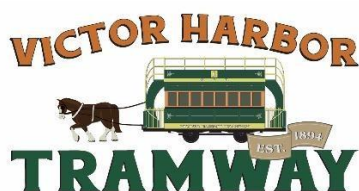
BUDGET IMPLICATION

Excluding endorsed budgeted staff resources there are no budget implications in the Authority approving the changes to the VHHTA Audit Committee Terms of Reference as recommended by the Audit Committee.

No additional funds are required.

CONSULTATION

Karen Rokicinski (Director Corporate & Customer Service, CVH)



THE VICTOR HARBOR HORSE TRAM AUTHORITY

AUDIT COMMITTEE

TERMS OF REFERENCE

1. ESTABLISHMENT

- 1.1 The Victor Harbor Horse Tram Authority ('the Authority') is a single council subsidiary established under Section 42 of the *Local Government Act 1999* ('the Act') by the Constituent Council, the City of Victor Harbor ('the Council').
- 1.2 At a meeting held on 16 June 2020, the Authority resolved to establish the Audit Committee ('the Committee') pursuant to Clause 4.1.1 of the Authority Charter.

2. PURPOSE

- 2.1 The Committee is established for the purposes of Section 13(4) of Schedule 2 of the *Local Government Act 1999* and *Local Government (Financial Management) Regulations 2011* to:
 - 2.1.1 reviewing annual financial statements to ensure that they provide a timely and fair view of the state of affairs of the Authority; and
 - 2.1.2 reviewing the adequacy of Authority risk management systems; and
 - 2.1.3 proposing, and providing information relevant to, a review of the Authority's strategic management plans or annual business plan; and
 - 2.1.4 liaising with the Authority's external auditor; and
 - 2.1.5 reviewing the adequacy of the accounting, internal control, reporting and other financial management systems and practices of the Authority on a regular basis.

3. MEMBERSHIP

- 3.1 The membership of the Committee shall consist of:
 - 3.1.1 Up to two Independent Members who are not a member of the board of management of the Authority and have recent and relevant financial, risk management and internal audit experience; and
 - ~~3.1.2 The Authority General Manager.~~
 - 3.1.23 Two Authority Board Members nominated by the Authority for consideration by Council.
- 3.2 The Authority's external auditors may be invited to attend meetings of the Committee.
- 3.3 Persons appointed under this Clause 3.1 are referred to as 'Member/Members' throughout the Terms of Reference.

3.4 The current Committee membership is as per Schedule 1 to the Terms of Reference.

4. APPOINTMENT OF MEMBERS

- 4.1 The term of appointment of a member of the Committee shall be for a term not exceeding two (2) years at the expiry of which such member will be eligible for reappointment.
- 4.2 Nominations for the Independent Member position/s will be publicly advertised and considered, on the recommendation of the Authority Board, by the Council for appointment on a biennial basis.
- 4.3 The Board shall submit recommendations to the Council pursuant to Schedule 2, Part 1, Section 13(3) of the *Local Government Act 1999* for appointment.
- 4.4 The filling of any vacancy occurring by resignation or removal of a member shall be at the discretion of the Council.
- 4.5 The Council may at any time remove a member of the Committee but shall observe the principles of natural justice.
- 4.6 Any member absent for three or more consecutive meetings without apology or leave of the Committee, shall have their position declared vacant and clause 4.3 shall be invoked.
- 4.7 At least two members of the Committee must be neither elected members nor employees of Council in accordance with clause 4.1.2.3 of the Authority Charter.
- 4.8 Payment of sitting fees for Committee meetings will be paid as follows:
- 4.8.1 Council Officer or Horse tram Authority Officer members of the Committee will not be paid a sitting fee;
 - 4.8.2 An Independent Authority Board Member who is also a member of the Committee will not be paid a sitting fee per meeting
 - 4.8.3 A Council Authority Board Member who is also a member of the Committee will not be paid a sitting fee in line with non-payment of sitting fees for meetings of the Authority Board; and
 - 4.8.4 An Independent Chairperson of the Committee will not be paid a sitting fee per meeting.

5. APPOINTMENT OF OFFICE BEARERS

- 5.1 Council shall appoint a Chairperson and Deputy Chairperson and the term of office shall be two (2) years.
- 5.2 The Chairperson and Deputy Chairperson must not be a Council Member or Employee of the Council.

6. ROLE AND RESPONSIBILITIES OF MEMBERS

- 6.1 The role of a Committee Member is to:
- 6.1.1 Participate in the deliberations of the Committee, with regard to the business which is before it;

- 6.1.2 Be mindful of the objectives and policies of the Authority as they relate to the business of the Committee;
- 6.1.3 Give due consideration to laws and regulations of the *Local Government Act 1999*;
- 6.1.4 Participate in induction and ongoing training as required;
- 6.1.5 Be aware of the Committee resources and budget, and the need for efficiency and effectiveness in the activities for which the Committee has been established;
- 6.1.6 Be well informed on issues before the Committee; to prepare adequately for meetings and seek additional information if required;
- 6.1.7 Be mindful of the potential for a Conflict of Interest to occur through participation on the Committee and to declare such Interests as and when they arise; and
- 6.1.8 Observe confidentiality when it is required.

7. Role of the Audit Committee

7.1 Financial reporting:

- 7.1.1 The committee shall monitor the integrity of the financial statements of the Authority, including its annual report, reviewing significant financial reporting issues and judgments which they contain.
- 7.1.2 The committee shall review and challenge where necessary:
 - 7.1.2.1 the consistency of, and/or any changes to, accounting policies;
 - 7.1.2.2 the methods used to account for significant or unusual transactions where different approaches are possible;
 - 7.1.2.3 whether the Authority has followed appropriate accounting standards and made appropriate estimates and judgments, taking into account the views of the external auditor;
 - 7.1.2.4 the clarity of disclosure in the Authority's financial reports and the context in which statements are made; and
 - 7.1.2.5 all material information presented with the financial statements, such as the operating and financial review and the corporate governance statement (insofar as it relates to the audit and risk management).

7.2 Internal controls and risk management systems:

- 7.2.1 The Committee shall:
 - 7.2.1.1 keep under review the effectiveness of the Authority's internal controls and risk management systems; and
 - 7.2.1.2 review and recommend the approval, where appropriate, of statements to be included in the annual report concerning internal controls and risk management.

7.3 External Audit:

7.3.1 The Committee shall:

7.3.1.1 consider and make recommendations to the Authority Board, in relation to the appointment, re-appointment and removal of the Authority's external auditor. The committee shall oversee the selection process for new auditors and if an auditor resigns the committee shall investigate the issues leading to this and decide whether any action is required;

7.3.1.2 oversee the Authority's relationship with the external auditor including, but not limited to:

7.3.1.2.1 recommending the approval of the external auditor's remuneration, whether fees for audit or non-audit services, and recommending whether the level of fees is appropriate to enable an adequate audit to be conducted;

7.3.1.2.2 recommending the approval of the external auditor's terms of engagement, including any engagement letter issued at the commencement of each audit and the scope of the audit;

7.3.1.2.3 assessing the external auditor's independence and objectivity taking into account relevant professional and regulatory requirements and the extent of the Authority's relationship with the auditor, including the provision of any non-audit services;

7.3.1.2.4 satisfying itself that there are no relationships (such as family, employment, investment, financial or business) between the external auditor and the Authority (other than in the ordinary course of business);

7.3.1.2.5 monitoring the external auditor's compliance with legislative requirements on the rotation of audit partners; and

7.3.1.2.6 assessing the external auditor's qualifications, expertise and resources and the effectiveness of the audit process (which shall include a report from the external auditor on the audit committee's own internal quality procedures);

7.3.3 meet as needed with the external auditor. The committee shall meet the external auditor at least once a year, with the option to not have the Authority General Manager being present; to discuss the external auditor's report and any issues arising from the audit;

7.3.4 review and monitor the findings of the audit with the external auditor. This shall include, but not be limited to, the following;

7.3.4.1 discussion of any major issues which arose during the external audit;

7.3.4.2 any accounting and audit judgments; and

7.3.4.3 levels of errors identified during the external audit;

The committee shall also review the effectiveness of the external audit.

- 7.3.5 review any representation letter(s) requested by the external auditor before they are signed;
- 7.3.6 review the management letter and management's response to the external auditor's findings and recommendations.

8. MEETINGS

8.1 Ordinary meetings

- 8.1.1 The Committee shall meet at least three times per annum at appropriate times in the budgeting and reporting cycle.
- 8.1.2 For the purpose of Term 8.1.1, the contemporary linking together by telephone, audio-visual or other instantaneous means of the Audit Committee Members provided that at least a quorum is present, is deemed to constitute a meeting of the Audit Committee. Each of the Audit Committee Members taking part in the telecommunications meeting, must at all time during the telecommunications meeting be able to hear and be heard by each of the other Members present. At the commencement of the meeting, each Audit Committee Member must announce his/her presence to all other Members taking part in the meeting. An Audit Committee Member must not leave a telecommunications meeting by disconnecting his/her telephone, audio-visual or other communication equipment, unless that Member has previously notified the Chair of the meeting.
- 8.1.32 The Committee shall resolve by majority a 12 month schedule of the meetings including the date, time and location in accordance with Section 87(2) of *the Local Government Act 1999*.

8.2 Special Meetings

- 8.2.1 Special Meetings may be called by the Presiding Member or by at least two members of the Committee at any time in accordance with the conditions of the Terms of Reference.

8.3 Meeting Procedures

- 8.3.1 The procedures and protocols to be observed at the Committee meetings shall be as provided in Part 3 of *the Local Government (Procedures at Meetings) Regulations 2013*, unless varied by these Terms of Reference.

8.4 Quorum

- 8.4.1 A quorum for the Committee shall constitute three members, one of whom shall be a Board Member.

8.5 Notice of Meetings –

- 8.5.1 A Notice of each meeting is to be provided to each member in writing, setting out the date, time and location of the meeting and be accompanied by an agenda.
- 8.5.2 The agenda for Ordinary Meetings of the Committee shall be forwarded to members of the Committee electronically no later than three clear days prior to the meeting.

8.5.3 A minimum of four hours' notice shall be given for any Special Meetings of the Committee.

8.5.3 A copy of the notice of meeting, agenda and accompanying reports shall be placed on public display at the principle office of the City of Victor Harbor and the Authority on the Victor Harbor Horse Tram website as soon as practicable following circulation to members of the Committee and shall be kept on display for a period of one month

8.6 Minutes

8.6.1 Minutes shall be kept of all meetings of the Committee

8.6.2 Each Member shall receive a copy of the minutes within five days of the meeting of the Committee.

8.6.3 The minutes shall be confirmed at the next regular meeting with or without amendments.

8.6.4 One copy of all minutes shall be supplied to the Authority Board before its next meeting following that of the Committee. Resolutions of the Committee are to be presented to a formal meeting of Authority Board for endorsement before they can be enacted.

8.6.4 A copy of the minutes shall be placed on public displayed at the Principal Office of the City of Victor Harbor and the Authority on the Victor Harbor Horse Tram website within five days of the meeting of the Committee and kept on public display for a period of one month

9. VOTING

9.1 A matter for decision at a meeting of the Committee will be decided by simple majority of the members present at the meeting and entitled to vote on the matter.

9.2 Each member of the Committee present at the meeting and entitled to vote on a shall have one vote on any matter.

9.3 The Chairperson or Deputy Chairperson shall have a deliberative vote only.

9.4 Each member present at a meeting of the Committee must vote on all matters arising for a decision at that meeting.

10. CONFLICT OF INTEREST

10.1 Section 73-75 of *the Local Government Act 1999* (inclusive) refers to conflict of interest provisions.

10.2 Members need to be aware of the circumstances under which a conflict of interest may arise and declare that interest to the membership present at the meeting.

11. COMMITTEE RESOURCES

11.1 The Authority's General Manager shall provide support to and attend Committee meetings. Other invited guests may attend meetings as required.

11.2 An officer(s) of the Council nominated by the Chief Executive Officer of the Council may attend Audit Committee meetings as an observer in accordance with the Authority Charter clause 4.1.2.2.

11.3 The Authority's General Manager will provide administrative/secretarial support as required.

12. REPORTING

12.1 The Committee shall supply to the Authority Board a copy of all Committee minutes pursuant to clause 8.6.2, and the Chairperson (or other member in their absence) shall draw to the attention of the Board any significant issues when the minutes are presented.

12.2 The Committee shall supply to the Chief Executive Officer of the Council a copy of all Committee minutes within 5 days of the Committee meeting in accordance with Clause 4.1.2.6 of the Authority Charter.

12.3 The Committee's yearly activities shall be reported in Authority's Annual Report.

12.4 The committee shall make whatever recommendations to the Authority it deems appropriate on any area within its terms of reference where in its view action or improvement is needed.

13. PUBLIC ACCESS

13.1 Meetings of the Committee shall be held in public.

13.2 The Committee may resolve to exclude the Public from attendance at the meeting if it is considered necessary to receive, discuss or consider in confidence any information or matter listed in Section 90(3) of the *Local Government Act 1999*.

13.3 Minutes, Agendas, Reports and Documents produced by the Committee may be inspected at the Principle Office of the City of Victor Harbor.

14. LIABILITY OF MEMBERS

14.1 In accordance with Section 39 of the *Local Government Act 1999*, no civil liability attaches to a member of the Committee for an honest act or omission in the exercise, performance or discharge, or purported exercise, performance or discharge, of the member's or Committee's powers, functions or duties.

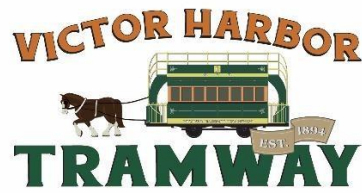
15. REVIEW

15.1 The Committee shall at least once a year, review its own performance in line with the purpose for establishing the Committee; and review its Terms of Reference to ensure it is operating at maximum effectiveness and recommend changes it considers necessary to the Authority for approval.

15.2 These Terms of Reference shall be reviewed by the Authority annually.

16. Document History

Version	Date	Resolution No.	Description
1.0	16 June 2020		Draft Terms of Reference



Schedule 1

Victor Harbor Horse Tram Authority

Audit Committee

Committee Membership

Member	Representative	Appointed	Expires
Independent Member(s)	John Morgan	23 November 2020	23 November 2022
Victor Harbor Horse Tram Authority Board Member	Paul Brown	23 November 2020	23 November 2022
Victor Harbor Horse Tram Authority Board Member	Rachel Kennedy	23 November 2020	23 November 2022
Independent Member(s)	Kate Christ	22 February 2021	22 February 2023
Office Bearers			
Chairperson	John Morgan	22 February 2021	23 November 2022
Deputy Chairperson	Rachel Kennedy	22 February 2021	23 November 2022



Meeting **Victor Harbor Horse Tram Authority**
Date **8 June 2021**
From **Megan Whibley**
Subject **Audit Committee Review - Financial and Risk Policies**
Report Number **7.3**

RECOMMENDATION

- 1. That the Victor Harbor Horse Tram Authority receive and note the Audit Committee Review - Financial and Risk Policies report.**
- 2. That the Victor Harbor Horse Tram Authority approve policy changes recommended by the Audit Committee, as detailed at attachments A, B, C, D, E and F to this report.**

INFORMATION

Purpose

The purpose of this report is to review and approve recommendations from the Audit Committee for changes to financial and risk Policies of the VHHTA.

Background

One role of an Audit Committee is to provide recommendations to the Authority regarding financial, strategic or corporate risk. Policies of the Authority provide details and particulars as to how the Authority is managing those risks. At the 9 February 2021 Audit Committee meeting the Audit Committee requested to review the policies of the Authority that relate to risk and financial matters. On 11 May 2021 the VHHTA Audit Committee reviewed the following policies and risk matrix of the Authority.

- Allowances & Reimbursements of Expenses Policy
- Budget Framework Policy
- Procurement Policy
- Records Management Policy
- Sponsorship Policy
- Treasury Management Policy
- Corporate Risk Matrix

Commentary

At the 11 May 2021 Audit Committee meeting the Audit Committee identified policy provisions requiring improvement, removal, updating and correcting. The Audit Committee recommendations are as follows;

1. That the Allowances and Reimbursement of Expenses Policy, at attachment A, be changed at provision 3 from “Payment of Board Members’ to “Payment of Board Members and Audit Committee Members allowances and expenses’, and that the definition of an Audit Committee Member be added to provision 5 so as to be consistent with other definitions.
2. Budget Framework Policy, at attachment B, at 6.4 amend the word Council to Authority;
3. Procurement Policy, at attachment C, at 6.8.1 (a) amend to ‘at least one verbal quotation sought’;
4. Procurement Policy, at attachment D, at (b) and (c) the addition of the word ‘sought’ to the end of each sentence;
5. Procurement Policy, at attachment E, at page 7, Schedule 1 – Procurement Delegation Table, top row of table, the addition of the word ‘sought’ to ‘Two Written Quotes’ and ‘Three Written Quotes’;
6. Procurement Policy at 6.10 change the limit for one credit card per calendar month to \$5,000 to be consistent with schedule 1 of the policy;
7. The Sponsorship Contract within the Sponsorship Policy, at attachment F, at 7.3 remove the requirement to send by facsimile;
8. Sponsorship Policy remedy the absence of provisions 6.1, 7.2 and 8.2 and any other missing sections;
9. Corporate Risk Matrix, at attachment G, correct misspelled word ‘likelihood’.

The reviewed policies are provided at attachments A, B, C, D, E & F to this report, and incorporate the recommended changes from the Audit Committee for endorsement by the Board, with tracking and mark up for clarity.

RISK ASSESSMENT

Legal and Compliance – The Victor Harbor Horse Tram Authority Audit Committee are tasked with reviewing policies and documents pertaining to the functions of the Authority. The recommended changes to policies seek to improve these documents and their functionality for the Authority. The risk is assessed as **low**.

REFERENCES

The Local Government Act 1999

VHHTA Charter

VHHTA Audit Committee Terms of Reference

BUDGET IMPLICATIONS

Excluding endorsed budgeted staff resources there are no budget implications in the Authority endorsing the policy changes recommended by the Audit Committee.

No additional funds are required.



Policy

Policy Name	<i>Allowances & Reimbursements of Expenses</i>
Policy/File Number	ED4.12.012
Review Frequency	Every Three Years
Attachments	<i>Nil</i>

1. Purpose

The purpose of this policy is to:

- set out the legislative provisions in respect to Board Members allowances and expenses
- ensure that the payment of Board Members reimbursement of expenses is accountable and transparent, and in accordance with the *Local Government Act 1999* and the *Local Government (Members Allowances and Benefits) Regulations 2010*.
- specify the types of expenses that will be reimbursed without the prior approval of the Board every time a claim is made.
- provide guidance to the General Manager to ensure that allowances and the reimbursements of expenses is carried out in a consistent and fair manner in accordance with this Policy and the legislative provisions.
- explain the information that must be recorded within the Board's Register of Allowances and Benefits to ensure compliance with *Section 79 of the Local Government Act 1999*.

2. Scope

This policy applies to all Board Members, who have an obligation to abide by this policy and the General Manager who is responsible for implementing and monitoring expenses reimbursement procedures in accordance with the *Local Government Act 1999* and *Local Government (Members Allowances and Benefits) Regulations 2010*.

3. Policy Statement (Summary)

The Victor Harbor Horse Tram Authority is committed to ensuring that payment of Board Members allowances and expenses are made in accordance with the legislative provisions

4. Legislation and Compliance

Pursuant to *Clause 2.12.2 of the Victor Harbor Horse Tram Authority* a Board Member is entitled to claim for any travelling and other expenses that are properly incurred in connection with the Authority's business and with the prior approval of the Board as recorded in minutes of a Board Meeting.

The *Local Government Act 1999* and *Local Government (Members Allowances and Benefits) Regulations 2013* prescribe that all members are entitled to receive reimbursement of expenses actually necessarily incurred in performing or discharging official functions and duties as follows:

:

- (a) travelling expenses actually and necessarily incurred by the member in travelling to or from a prescribed meeting if –
 - (i) the journey is an eligible journey; and
 - (ii) the journey is by the shortest or most practicable route
- (b) expenses for the care of –
 - (i) a child of the member; or
 - (ii) a dependant of the member requiring full-time care;

Additionally the act provides provisions for the Board to resolve, on a discretionary basis, to reimburse members for a range of additional expenses incurred in performing or discharging official functions and duties eg reimbursement for travel outside the Council area and/or to attend functions in addition to Board meetings.

These discretionary expenses can only be reimbursed with specific Board approval either by establishing a formal policy or alternatively by the Board approving each claim for reimbursement on a case by case basis by resolution.

5. Definitions

Authority means an Authority established by Council under Section 42 of the Local Government Act 1999.

Board Member means at any time a member of the Board appointed in accordance with Subclause 2.9 of the Victor Harbor Horse Tram Authority Charter.

CEO means the Chief Executive Officer of the City of Victor Harbor

Eligible Journey means a journey (in either direction) between the principal place of residence, or a place of work, of a member of the Victor Harbor Horse Tram Authority and the place of a prescribed meeting.

General Manager means the General Manager of the Authority and includes a person acting in that position.

Prescribed Meeting means a meeting of the Authority or a committee of the Authority, or an informal gathering, discussion, workshop, briefing, training course or similar activity which is directly or closely related to the performance or discharge of the roles or duties of the member.

The Act means the *Local Government Act 1999*

The Regulations means the *Local Government (Members Allowances and Benefits) Regulations 2010*

6. Policy Content

6.1 Allowances

Board Members receive a sitting fee as determined by the City of Victor Harbor, in accordance with the Guidelines for Agencies and Board Directors, published by the department of Premier and Cabinet for Government Boards and Committees (or such publication as may succeed the Guidelines).

6.2 Reimbursement

To ensure Board Members of the authority, reimbursement of expenses properly incurred in performing or discharging official functions and duties are determined and approved by the Authority and set out this policy.

Prior to expenditure being undertaken, consideration must be given to any potential reimbursement restrictions such as budget allocation for travel, the production of relevant documentation and receipts or other required evidence of expenditure.

6.2.1 Approved expenses

These may be, but are not limited to:

- An expense incurred in the use of a telephone, facsimile or other telecommunications device, or in the use of a form of electronic communication, on the business of the Authority.
- Travelling expenses incurred by the Board Member as a consequence of the Member's attendance at a function or activity on the business of the Authority.
- Expenses for the care incurred by the Board Member as a consequence of the Member's attendance at a function or activity on the business of the Authority for:
 - A child of the Board Member
 - A dependent of the Board Member requiring full-time care
- Expenses incurred by the Member as a consequence of attendance at an approved conference, seminar, training course or other similar activity which is directly related to the roles and duties of the Authority.

6.2.2 Other Reimbursements

Any additional reimbursements, or facilities and support not detailed in this policy will require the specific approval of the Board of Management prior to any payments being made, benefits received, facilities and/or support being provided.

6.2.3 Travel

Where other communication tools, such as teleconferencing and videoconferencing, are ineffective and there is a demonstrated business need for travel:

- Reimbursement will be restricted to the shortest or most practicable route
- Board Members should travel in groups wherever possible
- Travel by private motor vehicle will be reimbursed at the rate per kilometre prescribed for the purposes of calculating deductions for car expenses using the current year ATO cents per kilometre method.
- Car parking fees will be reimbursed upon the provision of receipts, and where they are a consequence of a Board Member attending a function or activity on the approved business of the Authority.
- Travel by taxi, bus, plane or other means of public transport will be reimbursed on the basis of being expenses where they are incurred as a consequence of the Member's attendance at a function or activity on the

business of the authority, however such travel must still be by the shortest or most practicable route.

6.2.4 Air Travel

Necessity of air travel should only be considered where other communications tools such as teleconferencing and videoconferencing are unavailable. The Board must be satisfied that there is a demonstrated business need for the travel, and that prior approval has been provided in writing from the Authority. The Lowest Practical Fare Guide (Attachment A) must be used at all times when ascertaining airfares. Reimbursements will only be made at the rate of the Lowest Practical Fare regardless of the actual fare paid, unless a satisfactory reason can be provided in writing.

6.2.5 Child/Dependant Care (Section 77(1)(a) of the Act)

Expenses for the care incurred by the Member as a consequence of the Members attendance at a function or activity on the business of the Authority for a child of the member, or a dependent of the member requiring full-time care

6.3 Claims for Reimbursement

All claims for reimbursement must be submitted to the General Manager on the form/s provided for the purposes of maintaining the Register of Allowances and Benefits.

Claims for reimbursement may only be paid to all Board Members upon presentation of the form/s and adequate evidence (such as receipts) supporting the claims made.

6.4 Register of Allowances and Benefits

Pursuant to *Section 79(1) and (2) of the Act*, the General Manager must maintain a public Register of Allowances and Benefits where all records are kept and updated on a quarterly basis detailing:

- the annual allowance payable to a Board Member
- any expenses reimbursed under Section 77(1)(b) of the Act
- other benefits paid or provided for the benefit of the Member by the Authority.
- to make a record of the provision of a reimbursement or benefit not previously recorded in the Register.

Reimbursements paid under *Section 77(1)(a) of the Act* are not required to be recorded in the Register.

The General Manager is required to record in the Register, any changes in the allowances or a benefit payable to or provided for the benefit of Board Members. Accordingly, the General Manager will update the Register each quarter and therefore each Board Member is required to provide his or her claim form for reimbursement to the General Manager on the last business day of each quarter.

7. Risk Management

This policy meets the Authority's obligations under *Section 77(1)(b) Reimbursement of expenses and Section 79(1) Register of Allowances and Benefits* and ensures that Board Members are informed of entitlements for the reimbursement of expenses.

8. Implementation/Delegations

The General Manager of the Victor Harbor Horse Tram Authority is provided with the delegated authority to implement this policy.

9. Related Documents

Local Government Act 1999
 Local Government (Members Allowances and Benefits) Regulations 2013
 Victor Harbor Horse Tram Authority Charter

10. Availability of Policy

This policy and Register of Allowances and Benefits is available on Victor Harbor Horse Tram website at www.horsedrawntram.com.au. It may also be inspected or purchased at the Principal Office of the City of Victor Harbor, 1 Bay Road, Victor Harbor.

Document History

Version	Document	Action	Date
1.0	Approved version	Victor Harbor Horse Tram Authority endorsement VHHTA104	20/08/2019



POLICY

Policy Name	<i>Budget Framework Policy</i>
Policy/File Number	ED4.12.012
Review Frequency	Every Three Years
Attachments	nil

1. Purpose

The purpose of this policy is to provide a clear direction to guide the Victor Harbor Horse Tram Authority in relation to the preparation, review and reporting of performance against the adopted budget. The intention of the Policy is to provide the framework for the General Manager and Board in regards to the following:

- Responsibilities in regards to preparation and review of annual budgets;
- Content, timing and process to be followed for reporting to the Board on performance against budget;
- The scope and conditions associated with variations to the budget that can be approved by the General Manager

2. Scope

The General Manager is responsible for the preparation and presentation of the Annual Business Plan & Budget, Budget Updates, Budget Review and Budget Reporting to the Board.

The Board is responsible for reviewing and adopting the Annual Business Plan & Budget, Budget Updates, Budget Review, Budget Reporting and ensuring that the required documents are provided to Council.

3. Policy Statement (Summary)

The Victor Harbor Horse Tram Authority is committed to implementing effective processes for the preparation of the annual budget, undertaking budget reviews in line with legislation and containing spending within adopted budgets.

4. Legislation and Compliance

Local Government Act 1999

Local Government (Financial Management) Regulations 2011

5. Definitions

Annual Budget means the Authority's statement of its intended expenditure, revenue and cashflow that give effect to meeting the objectives of its Annual Business Plan.

Annual Business Plan means the Authority's statement of its intended activities and outcomes for the year.

Capital means expenditure or income directly related to the creation, renewal or upgrade of an asset.

Operating means expenditure or income related to the ongoing provision of Authority services including recurring activities, programs, maintenance and depreciation.

General Manager means the General Manager of the Authority and includes a person acting in that position.

6. Policy Content

6.1 Original Budget

The annual budget will be prepared in conjunction with the Annual Business Plan to ensure strong linkages and will be prepared in accordance with relevant legislation including public consultation requirements.

The draft Annual Business Plan and Budget will be presented to Council before 31 March of each year as per the Charter. The budget presented will include a set of the four principal Financial Statements, the Uniform Presentation of Finances and Financial Indicators consistent with the requirement of the Model Financial Statements.

The Authority will adopt the Budget after 31 May and within six (6) weeks of consideration of the draft by Council.

The Authority will provide a copy of the adopted Budget to Council within five (5) business days of adoption by the Authority.

6.2 Budget Updates

A Budget update report is to be prepared and presented to the Board at least twice between 30 September and 31 May. The reports must provide a summary of the financial position and performance of the Authority against the Budget.

The reports will be presented to the Board within thirty days of the conclusion of the first and fourth quarter and copies provided to Council.

The report will provide:

- At summary level – the original budget, revised budget and year to date information.
- The report will provide details and explanations of significant changes to the budget.

Amendments to the Budget that result in a change to either the Net Capital or Net Operating Result will be presented to Council for endorsement.

6.3 Mid-Year Budget Review

A mid-year budget review reflecting budget progress as at 31 December is to be prepared and presented to the Board within thirty days of the conclusion of the second quarter and copies provided to Council.

The review will provide:

- a written report outlining the Original Budget, subsequent Budget Updates, significant changes and impact analysis;
- a detailed listing of capital items and summarised operating items, showing the Original Budget, Revised Current Budget, Actual to Date, Revised Budget and explanations of significant changes; and
- A set of the four principal Financial Statements, Uniform Presentation of Finances note and principal Financial Indicators, consistent with the requirements of the Model Financial Statements.

Amendments to the Budget that result in a change to either the Net Capital or Net Operating Result will be presented to Council for endorsement.

6.4 Report on Financial Results

The Annual Report incorporating audited results of the previous financial year is to be presented to Council by 30 September each year.

An analysis report shall accompany the Annual Report and will provide a comparison between Original Budget and actual amounts, with explanation for material variances for each of the following:

- A full set of the four Principal Statements and Uniform Presentation of Finances note, consistent with the requirements of the Model Financial Statements.
- A Financial Indicators Supplementary Report; and
- A Summary Report on the Capital and Operating Activities for the year.

6.5 Approval of Variations outside the scope of the Budget

Council approval must be sought and obtained before commitments are made that would result in financial activity outside net capital or net operating limits.

6.6 Approval of Variations within the scope of the Budget - Delegation

The Authority has exercised the powers contained in Section 44 of the Act delegating the General Manager the power pursuant to Section 36 (1)(c) of the Act, whereby the General Manager: *“has the power to do anything necessary, expedient or incidental to performing or discharging its function or duties or to achieving its objectives”*

The General Manager, in consultation with the Board, may authorise variations in activity that are within the scope of approved limits (i.e. net capital or net operating) providing that variations made do not:

- materially impact the quality, quantity, frequency, range or level of service previously provided for or implicitly intended to the original allocation; and

- materially impact the maintenance and replacement requirements of assets held by the Authority; and
- impact on any explicit proposals the Authority has included in its Annual Business Plan or has otherwise publicly committed to and accommodated in its budget.

Whenever such changes are made, the next Budget Update Report / Review to presented to the Board and subsequently to Council must include the variations and an explanation and rationale for the decision.

7. Risk Management

The Victor Harbor Horse Tram Authority General Manager has the responsibility for ensuring that budget preparation and reviews are conducted in accordance with legislation, Accounting Standards and Authority policies and that expenditure does not exceed adopted budgets at any given time.

8. Implementation/Delegations

The General Manager of the Victor Harbor Horse Tram Authority is provided with the delegated authority to implement this Policy

9. Related Documents

Local Government Act 1999
Local Government (Financial) Regulations 2010
Victor Harbor Horse Tram Authority Charter

10. Availability of Policy

This policy is available on Victor Harbor Horse Tram website at www.horsedrawntram.com.au. It may also be inspected or purchased at the Principal Office of the City of Victor Harbor, 1 Bay Road, Victor Harbor.

Document History

Version	Document	Action	Date
1.0	Approved version	Victor Harbor Horse Tram Authority endorsement VHHTA08	3/12/18



Policy

Policy Name	<i>Procurement Policy</i>
Policy/File Number	ED4.12.012
Review Frequency	Every Three Years
Attachments	<i>Schedule 1 – Procurement Delegation Table</i>

1. Purpose

The purpose of this policy is to set out a clear direction to guide the Victor Harbor Horse Tram Authority for the acquisition of goods and services and carrying out of the procurement principles. This policy applies to the procurement of all goods, equipment and related services, construction contracts and service contracts (including maintenance).

2. Scope

The Authority's purchasing activities aim to achieve advantageous procurement outcomes by:

- promoting value for money with probity and accountability
- advancing the Authority's economic, social and environmental policies
- providing reasonable opportunity for competitive local businesses to supply to the Authority
- appropriately manages risk
- providing a framework to meet compliance with relevant legislation

3. Policy Statement (Summary)

The Victor Harbor Horse Tram Authority will strive to achieve value for money whilst taking into consideration probity and accountability, effective risk management including risks to health and safety of board members, employees, supporting local business, and efficiency in the procurement process.

4. Legislation and Compliance

Section 49 (1) of the *Local Government Act 1999* requires to prepare and adopt policies on contracts and tenders, including policies on the following:

- the contracting out of services
- competitive tendering and the use of other measures to ensure that services are delivered cost effectively
- the use of local goods and services
- the sale or disposal of land or other assets

The power and duty pursuant to *Section 49 (2)* of the *Local Government Act* to ensure that any policies on contracts and tenders

5. Definitions

General Manager means the General Manager of the Authority and includes a person acting in that position.

Local Supplier means a supplier of goods and/or services who conducts their business from the Victor Harbor area.

Purchase Order means a record generated by the Victor Harbor Horse Tram Authority used to engage a supplier to deliver work, goods or services.

6. Policy Content

Authority staff must have regard to the following procurement principles in all purchasing activities:

6.1 Open and effective competition

Purchasing should be open and result in effective competition in the provision of goods and services. The Authority must give fair and equitable consideration to all prospective suppliers.

6.2 Value for money

This is not restricted to price alone. An assessment of value for money must include, where possible, consideration of:

- a) the contribution to Victor Harbor Horse Tram Authority long term plan and strategic direction;
- b) any relevant direct and indirect benefits to Victor Harbor Horse Tram Authority, both tangible and intangible;
- c) efficiency and effectiveness of the proposed procurement activity;
- d) the performance history, quality, scope of service and support of each prospective supplier;
- e) fitness for purpose;
- f) whole of life costs - including costs of acquiring, using, maintaining and disposal;
- g) council's internal administration costs;
- h) technical compliance issues;
- i) risk exposure; and
- j) the value of any associated environmental benefits.

6.3 Probity, Ethical Behaviour, Fair Dealing and Professional Integrity

The Victor Harbor Horse Tram Authority will act with impartiality, fairness, openness, integrity, and professionalism in all discussions and negotiations with suppliers and their representatives.

At all stages of the procurement process the Victor Harbor Horse Tram Authority will ensure appropriate management of confidential information, conflicts of interest, gifts and gratuities (managed in accordance with Victor Harbor Horse Tram Authority Code of Conduct for Board Members, conflict of interest and gifts and benefits procedures, and Fraud and Corruption Policy).

6.4 Accountability, Transparency and Reporting

To ensure appropriate probity standards are met, Council will operate with consistency and transparency in all procurement dealings. Procurement transactions will be undertaken in a manner that will withstand external scrutiny.

The Victor Harbor Horse Tram Authority must, in accordance with legislative and organisational requirements, keep appropriate records of all purchases.

The Victor Harbor Horse Tram Authority's Contracts and Tenders Registers should include a summary of contracts including contract values.

6.5 Encouragement of the development of competitive local business and industry

The Authority encourages the development of competitive local businesses within the City of Victor Harbor areas and within the Fleurieu Region.

Where price, performance, quality, suitability and other evaluation criteria are comparable, the following areas may be considered in evaluating offers:

- environmentally friendly/ low impact considerations
- creation of local employment opportunities
- more readily available servicing support
- more convenient communications for contract management
- economic growth within the local area
- benefit to the Authority and/or the constituent communities of associated local commercial transaction

6.6 Environmental protection

The Authority promotes environmental protection through its purchasing procedures.

In undertaking any purchasing activities the Authority will:

- promote the purchase of environmentally friendly goods and services that satisfy value for money criteria
- foster the development of products and processes of low environmental and climatic impact
- provide an example to business, industry and the community by promoting the use of climatically and environmentally friendly goods and services
- encourage environmentally responsible activities

6.7 Contractors

Contractors are obliged to comply with the Board's policies on Workplace, Health and Safety and environmental protection.

6.8 Purchase Orders

Purchase orders authorise the purchase of goods and services and need to be provided for all purchases except for:

- Government utilities
- Lease or contracts purchasing where the amount of use and/or the cost and/or the frequency is set in the agreement.
- Minor procurement via petty cash under \$100
- Minor procurement via credit card under \$100
- Credit card purchases for air fares and accommodation.

Standing Orders can be used to allow for minor regular purchases. The standing order needs to adhere to the purchasing policy and state the amount of authorised spending per month and the type of expenditure to be incurred.

6.8.1 Purchases under \$10,000.00 (Exclusive of GST) Per Purchase

- (a) for purchases under \$1,000 at least one verbal quote
- (b) for purchases between \$1,000 to \$5,000.00 at least one written quotation

- (c) for purchases between \$5,000.00 and \$10,000.00 at least two written quotations

Records of quotations must be registered and filed.

6.8.2 Purchases between \$10,001.00 and \$50,000.00 (exclusive of gst) per purchase

The Authority requires inviting written quotations before making a service agreement or contract for the carrying out of work or the supply of goods or services involving a cost of between \$10,001.00 and \$50,000.00. The invitation must be given to at least three persons/organisations who the Authority considers can meet its requirements at competitive prices.

Records of offers received must be registered and filed.

6.8.4 Purchases above \$50,001.00 (exclusive of gst) per purchase

This Policy requires inviting tenders before making a contract for the carrying out of work, or the supply of goods or services involving a cost of more than \$50,001.00.

The invitation must be via electronic method such as Tenders SA or alternative as nominated by the Authority allowing at least 21 days from the day of the advertisement for the submission of tenders.

Records of tenders received must be registered and filed.

6.9 EXCEPTIONS

Generally, open and fair competition is best achieved by undertaking a full public tender call so all interested parties have an opportunity to bid on the call. However, there may be procurements in which a full public tender will not necessarily deliver best value for money and other market approaches may be more appropriate.

The Authority may be exempt from the requirement to seek tenders or quotations, in the following circumstances:

- there may be significant public risk if the procurement is delayed by process requirements, such as emergency situations threatening life and property
- a small, stable and well documented supply market exists such that the Authority can ensure that all potential suppliers are invited to participate
- the pressures of time are such that an open call is not feasible, such as where there has been an unanticipated VHHT Authority or Government policy decision
- the Authority purchases goods at an auction
- the Authority purchases second-hand goods
- the contract is made with, or under an arrangement with or made by:
 - the State, a government entity, a local government owned corporation, another local government body, Local Government Corporate Services (LGCS Pty Ltd) or Strategic Purchasing (MAPS Group)
 - another Australian Government, an entity of another Australian Government or a local government of another State or a Territory.

- The Authority resolves to enter into a contract using a significant purchasing activity plan which must state:
 - the objectives of the purchase and how they will be achieved
 - any alternative ways of achieving the objectives, and why the alternative ways were not adopted
 - a risk analysis of the market from which the goods or services are to be procured.

When assessing the most effective method of obtaining goods and/or services, the Authority staff should consider the administrative resources required and monetary costs to the Authority of seeking tenders or quotations independently, and the reduction of these costs which can be achieved by use of approved alternative arrangements outlined above.

A request for waiver of competitive process should not be viewed as a mechanism to speed processes in a way that will not stand up to rigorous scrutiny or as a mechanism to obviate the need for careful forward planning. The granting of waiver of competitive process must be appropriately documented and approved by the General Manager and Chairperson.

6.10 CREDIT CARD FACILITIES

The Authority has a Board approved limit for one credit card of \$3,000 per calendar month approved for allocation to the General Manager position.

The holder of a credit card is responsible for all transactions and that receipts are provided for each transaction with the following details:

- Name of supplier and ABN number
- Date of issue
- Description of goods or services
- Total cost including of GST
- Words: 'Tax Invoice'

Credit card purchases will be consolidated within Authority accounts monthly

6.11 INVOICE APPROVAL

6.11.1 Purchase Order Invoices

Invoice received where a purchase order has been raised must be authorised by staff with the appropriate delegation that:

- Goods have arrived in good condition as per purchase order
- Invoice amounts are correct
- Payment is authorised.

6.11.2 Contract Invoices

Where a contract is in place and details show purchasing frequency, purchase quantity and cost the invoice should be checked against the contract and signed stating that:

- Services were performed according to the contract
- Fees and charges were according to the contract

6.12 Store Accounts

Store Accounts can be established with local businesses. Purchase orders are to be raised for all purchases with these businesses as per the Purchasing guidelines and Delegation Schedule.

For small regular purchases such as milk etc. a standing order is to be raised by an Officer listed in the Purchasing Delegations Schedule to cover these purchase types. A receipt for all purchases raised against standing purchase orders are to be obtained and retained for reconciliation with the monthly account. The standing order can then be used by staff to purchase these small items, without this standing order being in place, staff without purchasing delegation, do not have the authority to purchase small items against the account.

7. Risk Management

The Victor Harbor Horse Tram Authority General Manager has the responsibility for ensuring that budget preparation and reviews are conducted in accordance with legislation, Accounting Standards and Authority policies and that expenditure does not exceed adopted budgets at any given time.

8. Implementation/Delegations

Only the Authority officers listed in the attached Schedule 1 are entitled to sign requisitions, and then only in accordance with their financial delegation limits as set out in the schedule. By signing a purchase order officers are confirming that they have taken full notice of this policy and will comply with all of the requirements of this policy.

The General Manager of the Victor Harbor Horse Tram Authority is provided with the delegated authority to implement this Policy

9. Related Documents

Budget Framework Policy
Code of Conduct for Board Members
Code of Conduct for Employees
Local Government Act 1999
Local Government (Financial) Regulations 2010
Victor Harbor Horse Tram Authority Charter
Work Place Health and Safety Act 2012

10. Availability of Policy

This policy is available on Victor Harbor Horse Tram website at www.horsedrawntram.com.au. It may also be inspected or purchased at the Principal Office of the City of Victor Harbor, 1 Bay Road, Victor Harbor.

Document History

Version	Document	Action	Date
1.0	Approved version	Victor Harbor Horse Tram Authority endorsement VHHTA08	3/12/18

Schedule 1

Procurement Delegation Table

	Verbal Quote	One (1) Written Quote	Quotes dependent on cost	Two (2) Written Quotes	Three (3) Written Quotes	Request for Tender	Request for Tender	
	Delegation subject to budget limits							
Position	<\$1,000	\$1,000 - \$5,000	Credit Card \$5,000 monthly limit	\$5,001 - \$10,000	\$10,001 - \$50,000	\$50,001 - \$100,000	Above \$100,000	Emergency expenditure outside of budget limits Up to \$10,000
General Manager	Yes	Yes	Yes	Yes	Yes			
General Manager in consultation with Chairperson					Yes	Yes		Yes
Board Decision							Yes	
City of Victor Harbor Staff	Yes	Yes						

All limits are exclusive of GST.



Policy

Policy Name	Records Management
Policy/File Number	ED4.12.012
Review Frequency	Every Two Years or as required by legislation
Attachments	nil

1. Purpose

The aim of this Policy is to support the commitment of the Victor Harbor Horse Tram Authority (the Authority), to sound records management practices, ensuring information is managed appropriately and is available to support its functions and operations, meeting legal, evidential and accountability requirements

2. Scope

This Policy applies to all Board Members, employees, volunteers, contractors and sub-contractors working on behalf of the Authority.

All records and information, both new and existing, of any format, generated or received in the conduct of Authority business are within the scope of this policy.

3. Policy Statement (Summary)

The Authority recognises the value of information and records to its operations and performance, and considers it a core strategic asset that needs to be actively managed and maintained across the organisation.

4. Legislation and Compliance

The Authority is a subsidiary of the Council established under Section 42 of the Local Government Act 1999. Section 3.1.2.5 of the Victor Harbor Horse Tram Authority Charter requires the General Manager of the VHHTA to ensure that records required under the Act or in other legislation are properly managed and maintained.

The Authority is required to comply with the State Records Act 1997 (the Act). It must ensure that official records in its custody are maintained in good order and condition. This obligation applies to the capture, storage, maintenance and disposal of physical and electronic records.

The Authority is obliged to keep adequate records in order to fulfil its responsibilities under other acts such as the Freedom of Information Act 1991. Records may also be required by Royal Commissions, the Ombudsman, the Courts, auditors and other people or bodies to whom or which they may be subject.

In accordance with Section 17 of the State Records Act, if a person, knowing that he or she does not have proper authority to do so, intentionally damages or alters an official record, or

disposes of an official record or removes an official record from official custody, that person commits an offence under the Act (Maximum penalty: \$10,000 or imprisonment for 2 years).

Relevant Legislation

State Records Act 1997

Freedom of Information Act 1991

Local Government Act 1999

Ombudsman Act 1972

Independent Commissioner Against Corruption Act 2012

Whistleblowers Protection Act 1993

Copyright Act 1968

Evidence Act 1929 (as amended)

Electronic Transactions Act 2000

5. Definitions

Continuing Value – records of continuing value are those that contain information that is of administrative, legal, fiscal, evidential or historical value to the Authority.

Victor Harbor Horse Tram Authority Business – May include the provision of services and the delivery of programs, development of policies, making of decisions, performance of Authority functions and other similar types of activities.

Authority Staff - persons employed (full time, part time and casual), volunteers, trainees, work experience placements, independent consultants and contractors and other authorised personnel offered access to the Authority's resources.

Board Member – a member of the Victor Harbor Horse Drawn Tram Authority's board of management.

Disposal of – to dispose of a record means:

Transfer and retention of permanent records at the State Records storage facility;

Transfer of temporary records to temporary storage;

Destruction of records no longer required for current administrative purposes in accordance with an approved disposal schedule (and once the minimum retention period has been met);

Transfer of ownership and custody of a record to a non-government entity.

Normal Administrative Practice - a provision for the routine destruction of drafts, duplicates and publications created, acquired or collected by Authority staff in the course of their official duties, with the test that it is obvious that no information of more than transitory or temporary value will be destroyed.

Record – AS-ISO 15489-1:2002 defines a record as "information created, received, and maintained as evidence and information by an organization or person, in pursuance of legal obligations or in the transaction of business". This information can take any form (for example, written documents, metadata in a software program, audio- or video tapes, digital files on a DVD or CD, e-mails, social media and other forms), but is always connected to a business process. Conversely, if a record is missing, a business process or legal procedure cannot be fully reconstructed.

6. Policy Content

6.1 *Obligations of Record Users*

All Victor Harbor Horse Tram Authority staff have a responsibility to ensure records are created, captured and managed.

The records and information of the Authority will be managed in accordance with relevant legislation and regulations, Authority approved policies, guidelines and procedures, reflecting best practice standards.

The Authority is committed to capturing and preserving records and information that is of significant historical or cultural value to Victor Harbor and the State.

6.2 Records Security

The Horse Tram Authority is committed to ensuring access to data and information is one of openness and transparency, while ensuring that access to sensitive and personal information is handled responsibly.

6.3 Disposal of records

Records will be retained and disposed of according to the approved records disposal schedule and Normal Administrative Practice.

7. Risk Management

This Policy addresses legislative risk and promotes a consistency in the creation, storage and access of records, in order to prevent unauthorised access, destruction, alteration or removal of Authority records.

8. Implementation/Delegations

The Victor Harbor Horse Tram Authority General Manager is the delegated authority to implement this Policy.

9. Related Documents

Charter of the Victor Harbor Horse Tram Authority
Records Management Procedures – Victor Harbor Horse Tram Authority
What is a Record – Fact Sheet
Records File Structure Document – Victor Harbor Horse Tram Authority

10. Availability of Policy

This policy is available on Victor Harbor Horse Tram website at www.horsedrawntram.com.au. It may also be inspected or purchased at the Principal Office of the City of Victor Harbor, 1 Bay Road, Victor Harbor.

Document History

Version	Document	Action	Date
1.0	Approved version	Victor Harbor Horse Tram Authority endorsement VHHTA008	3/12/18



P O L I C Y

Policy Name	<i>Sponsorship Policy</i>
Policy/File Number	ED4.12.012
Review Frequency	Every Three Years
Attachments	nil

1. Purpose

To provide procedures for the Victor Harbor Horse Tram Authority to enter into sponsorship arrangements.

2. Scope

This Policy applies to all sponsorship monies received that become the monies of the Victor Harbor Horse Tram Authority and must be treated in accordance with the procedures laid down in the Victor Harbor Horse Tram Authority's financial procedures.

3. Policy Statement (Summary)

The sponsorship activity must be consistent with the values, corporate purpose and goals of the Victor Harbor Tram Authority.

All sponsorship monies received become the monies of the Victor Harbor Horse Tram authority and must be treated in accordance with the procedures laid down in the Victor Harbor Horse Tram Authority's financial procedures

Staff and Board Members must not individually benefit as a result of sponsorship.

4. Legislation and Compliance

Local Government Act 1999

5. Definitions

Board Member means at any time a member of the Board appointed in accordance with Subclause 2.9 of the Victor Harbor Horse Tram Authority Charter.

General Manager means the General Manager of the Authority and includes a person acting in that position.

Sponsorship is the negotiated provision of funds, goods or services to the Victor Harbor Horse Tram Authority for exchange for advertising, publicity or other benefits.

Sponsorship Agreement means a written document outlining the negotiated terms for a sponsorship.

6. Policy Content

6.1 Sponsorship

May take the form of cash support and / or provision material goods or other resources, such as labour or facilities in the exchange for agreed acknowledgement:

- May be between one or more organisations
- Does not include direct commercial dealings between organisations, or simple donations of cash, good or services.

6.2 Sponsorship Agreement

A Sponsorship Agreement may be:

- With a business or organisation
- The first step, or the outcome of, links formed with business and other organisations; or
- Part of, or an outcome of, a much wider relationship.

A Sponsorship Agreement may take the form of an exchange of letters a sponsorship agreement (C), Sponsorship Contract and Schedule (D) or a full legal Agreement.

6.3 General Manager

The General Manager is required to:

- Advise the Board of all sponsorships when they are in the process of being negotiated
- Seek the approval of the sponsorship from the Board
- Ensure details of the sponsorship income and expenditure are forwarded to the Board

6.4 Board

The Board are required to:

- Maintain a record of all sponsorships
- Provide advice on and, at times assist with the negotiation for sponsorship; and
- Monitor adherence to the principals and procedures of all sponsorship proposals.

6.5 Financial Accountability

Where a commercial agent is involved in arranging sponsorship the General Manager must:

- Ensure any commission arrangements are between the commercial agent and Victor Harbor Horse Tram Authority are under contract;
- Ensure the Victor harbor Horse tram Authority incurs no liability from any commission arrangements;
- Seek advice from the board where there is a doubt about any issues raised in the contract.

6.6 Assistance with Agreements

Assistance such as the provision of sample letters or formal agreements can be obtained from the Board.

6.7 Mandatory Procedures

- The negotiation of sponsorship agreements must proceed according to the following procedures no matter what size and scope of the sponsorship arrangement.
- The sponsorship must be seen as an opportunity to enhance the Victor Harbor Horse Tram Authority and not rely upon as a major source of funds
- Any sponsorship agreements must not compromise the professional standard and ethics of the staff or board.
- Direct sponsorship agreements should only be negotiated with organizations/or businesses whose public image, products and services are consistent with the values corporate purpose, goals and policies of the Victor Harbor Horse Tram Authority
- Any company or organization whose name is associated with the manufacture, distribution or sale of tobacco products, alcoholic beverages, pornography or armaments is not regarded as an appropriate sponsor. This would not necessarily preclude involvement with local clubs, supermarkets and other businesses, provided that their name is not linked to inappropriate products.
- When considering an organization as a potential sponsor, the General Manager/Board should evaluate the appropriateness of:
 - The type of product and services the organization/business markets;
 - The marketing methods used;
 - Its public image as an employer and the impact its product and services have on the environment.
- Where there is doubt as to the suitability of an organisation/business, the sponsorship negotiations should not proceed until advice has been sought from the Victor Harbor Horse Tram Authority Board.

6.8 Legal Advice Contracts and written Agreements

- Sponsorship documents must be retained for at least seven years after the expiration of the sponsorship
- Each sponsorship agreement (including the letters or full legal agreement) shall be made for a specific period and purpose.
- The agreement should ensure that the Victor Harbor Horse Tram Authority will not be out of pocket in the event that a sponsor withdraws
- Every sponsorship agreement shall contain a clause which allows for the cancellation of an agreement without penalty, where information questioning the appropriateness of the organization as a sponsor comes to light after the agreement has been signed.
- The Victor Harbor Horse Tram authority Board should insure all acknowledgement arrangements are detailed in the agreement to avoid any future dispute over the nature of the obligations.

6.9 Acknowledgement

The extent and acknowledgment should reflect the level of sponsorship. Sponsorship acknowledgement should also be in a form consistent with the standards and values of the Victor Harbor Horse Tram Authority. While the forms of acknowledgement may vary the following methods are acceptable:

- Placement of a plaque
- As per agreement

6.10 Endorsement

Although sponsorship agreements may provide exposure of the sponsor's corporate logo or name, the written agreement must not endorse or recommend any product or service.

6.11 Reporting procedure

The Board will be required to include in the Council reports and regular financial statements of the Victor Harbor Horse Tram authority at the end of each financial year the sponsorship agreements entered into during the year.

6.12 Final Authority

Final authority over any sponsorship agreement, sponsorship contract or full legal contract ultimately rests with the Board of the Victor Harbor Horse Tram Authority.

7. Risk Management

This Policy endeavours to promote high ethical standards and professional behaviour by the Board Members and fulfils the Victor Harbor Horse Tram Authority Charter.

8. Implementation/Delegations

The General Manager of the Victor Harbor Horse Tram Authority is provided with the delegated authority to implement this Policy

9. Related Documents

Local Government Act
Victor Harbor Horse Tram Authority Charter

10. Availability of Policy

This policy is available on Victor Harbor Horse Tram website at www.horsedrawntram.com.au. It may also be inspected or purchased at the Principal Office of the City of Victor Harbor, 1 Bay Road, Victor Harbor.

Document History

Version	Document	Action	Date
1.0	Approved version	Victor Harbor Horse Tram Authority endorsement VHHTA08	3/12/18

Dated: _____ 20 _____

SPONSORSHIP CONTRACT

Between

Victor Harbor Horse Tram Authority

And

Victor Harbor Horse Tram Authority

horsetram@victor.com.au

THIS AGREEMENT is made on the _____ day of _____ 20_____

- 3.4 All advertising and promotional material produced or published, broadcast, displayed or exhibited by the Sponsor under the sponsorship rights shall first be approved by the Board in accordance with corporate sponsorship policy and guidelines of the Board and such approval shall not be unreasonably withheld.

4 USE OF NAME OR LOGO

- 4.1 All advertising and promotional material produced, published, broadcast, displayed or exhibited by the Board in respect of the Sponsorship shall acknowledge the Sponsors sponsorship in the manner agreed by both parties.
- 4.2 The Board shall immediately on the termination or expiration of this Agreement cease to use or otherwise refer to the Sponsors name/ or logo.
- 4.3 The Board shall use the Sponsor`s name and/or logo if appropriate in good faith and in such a manner as to enhance and promote the goodwill and reputation of the Sponsor.
- 4.4 The Board shall not use the Sponsors name and/or logo in association with or in relation to any other activity which does not or may be likely to adversely or detrimentally effect the goodwill and reputation of the Sponsor.

5 BREACH AND TERMINATION

- 5.1 If either party breaches any of the terms and conditions of this Agreement and fails to rectify such a default in accordance with a written notice by the non-defaulting party within 14 days after the date of such notice, the non-defaulting party may terminate the Agreement at any time thereafter.
- 5.2 The Board may terminate the Agreement immediately if any of the following events occur:
- 5.2.1 If the Sponsor is wound up, becomes insolvent or enters into an agreement with its creditors, or if a receiver, manager or liquidator is appointed in respect of the Sponsor
- 5.2.2 If the Sponsors business operations or the business or activities of any associated company are contrary to any government policy of the Board if the Council of the Board determines that for what ever reason it should no longer use the product or be associated with the Sponsor.
- 5.3 The termination or expiration of this Agreement shall not prevent either party from taking action to enforce a term condition of this agreement in respect of any breach occurring prior to such expiration or termination.

6 CONFIDENTIALITY

- 6.2 The Sponsor hereby acknowledges and agrees to keep confidential and not disclose, duplicate, use or permit the use of any confidential or commercially sensitive information relating to the Board of which the Sponsor may become aware.
- 6.3 The obligations set out in this clause 6 shall apply at all times during and after the termination or conclusion of the term of this agreement.

- 6.4 Should the Sponsor so require the Board shall within three months of the end of the term of the Agreement provide to the Sponsor a form of acquittal detailing, in a form acceptable to both parties, the amount of the Sponsorship Fee, the manner in which the Sponsorship Fee has been applied and attach any relevant financial statements, accounts and receipts.

7 NOTICES

- 7.2 Notices may be served on either party by delivering them by hand, prepaid registered post or facsimile to the other party at the address or facsimile number specified below or such alternative address or number notified in writing by the party to the other party from time to time.

The Board

The Sponsor

- 7.3 A notice forwarded by facsimile shall be deemed to be received by the addressee when recorded on the transmission result report as being a complete transmission.

8 ASSIGNMENT AND VARIATION

- 8.2 Any variation to this Agreement shall be valid if the variation is in writing and signed by both parties.
- 8.3 Neither party shall assign, transfer, change or purport to assign, transport or change this Agreement or any of its rights or obligations without the prior written consent of either party, which shall not be unreasonably withheld.

EXECUTED by the parties on the date first written above this Agreement [c]

Signed by]
]]
]]
for and on behalf of the]
Victor Harbor Horse Tram]
Authority] _____
In the presence of:]

Witness:

FOR SPONSOR

Signed by]
]]
]]
in the presence of:] _____

Witness



POLICY

Policy Name	<i>Treasury Management Policy</i>
Policy/File Number	ED4.12.012
Review Frequency	Every Three Years
Attachments	nil

1. Purpose

This Policy provides direction to the Board, Management and Staff in relation to the treasury function and underpins the Authority's decision making process regarding the financing of its operations as documented in its annual budget and long term financial plan.

This policy establishes a decision framework to ensure that:

- Funds are available as required to support approved outlays;
- Interest rate and other risks are acknowledged and responsibly managed;
- A process is in place to monitor cash and anticipated future cash flows with surplus funds invested or disburse in accordance with this policy;
- The net interest costs, of the Authority and Council, associated with borrowing and investing are responsibly likely to be minimised on average over the longer term

2. Scope

This Policy applies to all investments, reserves and borrowings and ensures that the Authority maximises the return on surplus funds and minimises financial costs by:

- Assessing levels of risk;
- Utilising surplus funds to reduce or defer borrowings that would otherwise be necessary;
- Investing and borrowing in accordance with its legislative and common law responsibilities.

3. Policy Statement (Summary)

The Authority is committed to adopting and maintaining a long term financial plan and operating in a financially sustainable manner

4. Legislation and Compliance

The Victor Horse Tram Authority is subject to Local Government Act 199 and Local Government (Financial Management) Regulations 2011.

Borrowings

Section 44 of the Local Government Act (the Act) provides that the Authority cannot delegate the power “to borrow money or to obtain other forms of financial accommodation”.

Pursuant to *Section 122 of the Act*, the Authority must have a long-term financial plan as part of its suite of strategic management plans.

These documents must include:

- The sustainability of a the Authority’s financial performance and position;
- The maintenance, replacement or development needs for infrastructure within this area;
- Proposals with respect to debt levels; and
- The identification of any anticipated or predicted changes that will have a significant effect upon the cost of the Authority’s activities/operations.

Section 134 of the Act requires the Authority to consider independent expert advice before entering into particularly complex and sophisticated types of borrowing arrangements.

Investments

Section 47 of the Act, the Authority is prohibited from directly acquiring shares in a company.

Section 139 of the Act empowers the Authority to invest and requires that the power of investment be exercised with the care, diligence and skill that a prudent person of business would exercise in managing the affairs of other persons and to avoid investments that are speculative or hazardous in nature.

Section 140 of the Act requires the Authority to review the performance of its investments at least annually.

5. Definitions

Financial Sustainability occurs when expenditure, revenue raising and service level decisions are made such that planned long term service and infrastructure levels and standards can be achieved without unplanned increases in Council contributions.

6. Policy Content

6.1 Treasury Management Strategy

The Authority’s operating and capital expenditure decisions are made based on:

- identified need and benefit relative to other expenditure options;
- cost effectiveness of the proposed means of service delivery; and
- affordability of proposals having regard to the Authority’s long term financial sustainability, including consideration of the cost of capital.

The Authority manages its finances holistically in accordance with its Charter and overall financial sustainability strategies and targets. This means the Authority will:

- not retain and quarantine money for particular future purposes unless required by legislation or agreement with other parties;
- borrow funds in accordance with the requirements set out in its long term financial plan;
- apply any funds that are not immediately required to meet approved expenditure (including funds that are required to be expended for specific purposes but are not required to be kept in separate bank accounts) to reduce its level of borrowings or to defer and/or reduce the level of new borrowings that would otherwise be required.

6.2 Borrowings

The Authority has the power to borrow money as per the Charter as follows:

- 1.9.3.1 in accordance with a Budget adopted by the Authority and approved by Council as required by the Act or this Charter;
- 1.9.3.2 with the prior approval of Council

All borrowings taken out by the Authority, unless otherwise approved by Council, as per the Charter:

- 1.9.4.1 must be from the Local Government Finance Authority; and
- 1.9.4.2 in the case of fixed term loans, must be drawn down within a period of 24 months from the date of approval

Borrowing requirements will be included in the Budget each year for approval by Council.

6.2.1 Fixed Interest Rate Borrowings

To ensure an adequate mix of interest rate exposures, the Authority will structure its portfolio of borrowings to progressively achieve and thereafter maintain on average in any year, not less than 30% of its gross debt in the form of fixed interest rate borrowings.

To spread its exposure to interest rate movements, the Authority will aim to have a variety of maturity dates on its fixed interest rate borrowings over the available maturity spectrum.

In circumstances where the Authority needs to raise new fixed interest rate borrowings it will consider using medium to long-term borrowings (3 years or more duration) that:

- require interest payments only; and
- allow the full amount of principal to be repaid (or rolled over) at maturity.

The Authority also will ensure that no more than 30% of its fixed interest rate borrowings mature in any year.

6.2.2 Variable Interest Rate Borrowings

The Authority will structure its portfolio of borrowings to progressively achieve, and then maintain, not less than 30% of its gross debt on average in any year in the form of variable interest rate borrowings.

6.3 Investments

The Authority has the power to:

- 1.8.1.5 open and operate bank accounts
- 1.8.1.10 invest surplus funds in the manner described in Section 139 of the Act as if the Authority were a 'council' and review those investments in the manner described in Section 140 of the Act as if the Authority were a 'council'.

Authority funds that are not immediately required for operational needs and cannot be applied to either reduce existing borrowings or avoid the raising of new borrowings will be invested. The balance of funds held in any operating bank account that does not provide investment returns at least consistent with 'at call' market rates shall be kept at a level that is no greater than is required to meet immediate working capital requirements.

The Authority's funds available for investment will be lodged 'at call' or, having regard to differences in interest rates for fixed term investments of varying maturity dates, may be invested for a fixed term. In the case of fixed term investments, the term should not exceed a point in time where the funds otherwise could be applied to cost-effectively either defer the need to raise a new borrowing or reduce the level of the Authority's variable interest rate borrowing facility. Investments fixed for a period greater than 12 months are to be approved by the Council.

When investing funds, the Authority will select the investment type which delivers the best value, having regard to investment returns, transaction costs and other relevant and objectively quantifiable factors.

The Authority may from time to time invest surplus funds in:

- deposits with the Local Government Finance Authority; and/or
- bank interest bearing deposits.

Any other investment requires the specific approval of the Council. Where the Council authorises any investments of a type outside of those specified above, the amount so invested will be cumulatively limited to no more than 20% of the average level of funds expected to be available for investment by the Authority over the duration of the specific authorised investments.

6.4 Reporting

At least once a year the Authority Board shall receive a specific report regarding treasury management performance relative to this policy document.

The report shall highlight:

- for each borrowing and investment - the quantum of funds, its interest rate and maturity date, and changes in the quantum since the previous report;

- the average balance of funds held in non-investment accounts for the reporting period;
- the proportion of fixed interest rate and variable interest rate borrowings at the end date of the reporting period and an estimate of the average of these proportions across this period along with key reasons for significant variances compared with the targets specified in this policy.

7. Risk Management

The management of cash and investments is a high risk activity and the Authority must ensure that sound strategies are in place to minimise exposure to unfavourable interest rates and restrictions on their availability. Similarly, the Authority should ensure that borrowings are managed to minimise exposure to unfavourable interest rates and repayment terms. The utilisation of the Local Government Finance Authority provides guaranteed facilities for both investment and borrowing activities.

8. Implementation/Delegations

The General Manager is delegated authority to implement this policy.

The Authority cannot delegate the power to borrow money or to obtain other forms of financial accommodation, therefore all proposed borrowings are approved via the budget in order to comply with *Section 44 of the Local Government Act 1999*.

9. Related Documents

Long Term Financial Plan (to be developed)
Asset Management Plans (to be developed)

10. Availability of Policy

This policy is available on Victor Harbor Horse Tram website at www.horsedrawntram.com.au. It may also be inspected or purchased at the Principal Office of the City of Victor Harbor, 1 Bay Road, Victor Harbor.

Document History

Version	Document	Action	Date
1.0	Approved version	Victor Harbor Horse Tram Authority endorsement VHHTA08	3/12/18

2020 CORPORATE RISK MATRIX					
LIKEIHOOD	CONSEQUENCE				
	5	4	3	2	1
	Insignificant	Minor	Moderate	Major	Catastrophic
CERTAIN TO OCCUR	Medium	High	High	Extreme	Extreme
VERY LIKELY	Medium	Medium	High	High	Extreme
POSSIBLE	Low	Medium	Medium	High	High
UNLIKELY	Low	Low	Medium	Medium	High
RARE	Low	Low	Medium	Medium	High
CONSEQUENCE TABLE					
	Insignificant	Minor	Moderate	Major	Catastrophic
Legal and Compliance	Negligible impact - impact can be managed through routine activities. Dispute resolved through internal process or expertise. Use of words "breach".	Additional internal management efforts required to manage impact. Dispute resolved through legal advice. Legal risk in Council not adopting a report recommendation.	Minor impact of critical Council's Corporate Governance and Accountability Strategic objectives. Significant adjustment to manage impact. Corporation directed to undertake specific activities to remedy breaches in legislation that may require the involvement of legal firms.	Major impact on Council ability to achieve its Corporate Governance and Accountability Strategic objectives. Impact cannot be managed within Council framework. Deliberate breach or gross negligence / formal investigations from third party (Ministerial Involvement, Ombudsman or ICAC).	Significant impact on Council ability to achieve its Corporate Governance and Accountability strategic objectives. Major breach of legislation resulting in major corporation penalties, fines, ICAC investigation that may result in imprisonment of corporation staff; or class action.
Employee and Public Safety	Issue causes negligible impact. Minor injuries requiring first aid or incidence of non-treatment injuries.	General morale and attitude problems. Injury in the workplace.	Widespread issues cause failure to deliver several minor strategic objectives and recoverable failure of day to day service. Doctor attendance for injury.	Issues cause widespread failure to deliver essential services. Temporary disability or hospital admission for 1-3 days.	Death or permanent disability or long term hospital admissions.
Environmental	Minor adverse event that can be remedied immediately or within 24 hours.	Isolated instances of environmental damage requiring effort to fix in the short term within 3 months.	Adverse events that cause widespread damage but reversible in the short to medium term within 3-6 months. May incur cautionary notice of infringement notice.	Significant adverse event causing widespread damage which may be reversed through appropriate remedial action in the medium term - 6-12 months. Penalties may apply.	Major adverse environmental event requiring continual long term remedial action. Significant penalties may apply. Impact lasting greater than 12 months.
Financial Management	Financial impact on total budget (income or expenditure) <\$20,000. Financial impact on activity area budget (income or expenditure) <0.5%. Budget variation manageable within the activity area.	Financial impact on total budget (income or expenditure) between \$20,001 and \$100,000. Financial impact on activity area budget (income or expenditure) between 0.5% and 1%. Budget variation manageable with the activity area or department.	Financial impact on total budget (income or expenditure) between \$101,000 and \$250,000. Financial impact on activity area budget (income or expenditure) between 1.1% and 2%. Budget variation manageable within the department or total council budget. Budget amendment advised through regular budget reviews.	Financial impact on total budget (income or expenditure) between \$250,000 and \$1,000,000. Financial impact on activity area budget (income or expenditure) between 2.1% and 5%. Budget variation requires additional funding, notification to CEO and report to Council. Budget recovery within next financial year.	Financial impact on total budget (income or expenditure) > \$1,000,000. Financial impact on activity area budget (income or expenditure) > 5%. Budget variation requires additional funding, report to CEO and report to Council. Budget recovery over the next two or more years.

2020 CORPORATE RISK MATRIX					
LIKEIHOOD	CONSEQUENCE				
	5	4	3	2	1
	Insignificant	Minor	Moderate	Major	Catastrophic
CERTAIN TO OCCUR	Medium	High	High	Extreme	Extreme
VERY LIKELY	Medium	Medium	High	High	Extreme
POSSIBLE	Low	Medium	Medium	High	High
UNLIKELY	Low	Low	Medium	Medium	High
RARE	Low	Low	Medium	Medium	High
CONSEQUENCE TABLE					
	Insignificant	Minor	Moderate	Major	Catastrophic
Information Technology	Interruption to an IT service not requiring any further remedial action and with minimal impact on customers for a few hours.	Interruption to an IT service requiring further remedial action and with moderate impact on customers up to 24 hours.	Interruption to core business functions or an IT service with significant customer impact for up to 48 hours.	Interruption to core business function or an IT service for 2-7 days.	Interruption to core business function or an IT service for more than 7 days.
Infrastructure and Assets	Some damage where repairs are required however facility or infrastructure is still operational, or alternative is available.	Short term loss or damage where repairs required to allow the infrastructure to remain operational using existing internal resources and maintenance budgets.	Short to medium term loss of key assets and infrastructure where repairs required to allow the infrastructure to remain operational. Cost outside of budget allocation. <\$100,000.	Widespread, short term to medium term loss of key assets and infrastructure where repairs required to allow the infrastructure to remain operational. Cost significant and outside of budget allocation. >\$100,000.	Widespread, long term loss of substantial key assets and infrastructure where infrastructure requires total rebuild or replacement.
Reputation	Political activity that requires minor change in operations. Negligible adverse impact upon social health and wellbeing of the community which has little of no impact upon the community. Issue may result in a number of adverse community concerns.	Political activity that requires changes in operations. Minor adverse impact upon social health and wellbeing of the community which may have minor impact upon the community. Issue may attract limited media coverage and community complaints.	Political activity that requires changes in operations with budget and resource implications. Moderate level of community concern and moderate impact on community wellbeing.	Political activity that requires changes in operations with significant ongoing budget or resource implications. Significant level of community concern and complaints.	Political activity that results in irreparable damage. Major community unrest. Community outrage. Prolonged adverse media attention. Staff and Elected Members forced to resign.
Service Delivery	Interruption to a service (internal or external) not requiring any further remedial action and with minimal delays or impact on customers for a few hours.	Interruption to a service (internal or external) requiring further remedial action and with moderate impact on customers for up to one (1) day.	Non-essential business functions with moderate customer impact from 2-7 days. Limited staff compliance to Customer Service Framework service standards.	Non-essential business functions with significant customer impact for more than 7 days. Widespread staff non-compliance to Customer Service Framework standards.	Interruption to core business function or essential service for more than 7 days. Non-essential business function criteria.