



Office of
Local Government

INVESTIGATION REPORT

MURRAY RIVER COUNCIL'S SUPPORT
FOR AN ETHANOL PLANT AT MOAMA

Response to Section 2: Recommendations



Murray River Council

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1. Background

On 16 April 2021, the Deputy Secretary, Local Government, Planning and Policy, under delegation from the Secretary, Department of Planning, Industry and Environment determined that an investigation under section 430 be undertaken into Murray River Council. (OLG Investigation) The Deputy Secretary appointed Angus Broad to conduct the investigation.

The Terms of Reference for the OLG Investigation were as follows:

- 1) *The dealings between Murray River Council (Council) and Murray River Energy Pty Ltd (ACN 628 094 879) (MRE) and any other entities or individuals relating to a proposed ethanol plant (the Plant) at Moama (the Project) and, in particular, in regard to:*
 - a. *The dealings between Council, MRE, any other entities or individuals and the promoters of the Project;*
 - b. *The circumstances in which Council acquired land (the Land) at Moama as a site for the Plant;*
 - c. *The circumstances in which Council provided a loan to MRE;*
 - d. *The advice provided to councillors and the community regarding the Project.*
- 2) *Whether, in its dealings relating to the Project, Council exercised appropriate probity, risk management and due diligence processes.*
- 3) *Whether in providing money to MRE or any other entity or individual, Council breached the Local Government Act 1993, the Local Government (General) Regulation 2005 and/or Ministerial Investment Order of 12 January 2011.*
- 4) *Whether Council adequately and properly considered the financial risks to Council when acquiring the Land and providing funds to MRE or any other entity or individual.*
- 5) *Any other matter that warrants mention, particularly where it may impact upon the effective administration of Council, councillors and its administration.*

As alluded to in the terms of reference, the OLG Investigation was into the manner in which Council conducted itself in relation to the transaction related to the establishment of an ethanol plant in Moama.

The final report (OLG Report) dated November 2022 and released to the public on the 14th of December 2022, (and also provided to Council in keeping with s433(1) of the Local Government Act 1993 (LG Act)) contained two sets of recommendations in Section 2; the first set, specifically for Council, and the second set in general to all local government entities in NSW.

s431(1) of the LG Act requires Council to intimate the Minister of Local Government, in writing, the action(s) taken or proposed to be taken, to address the recommendations contained in the OLG Report. This report has been compiled by Council to conform to the said s433(1) of the LG Act.

2. General Observations

- A. In general, Council accepts the findings and the recommendations made in the OLG Report.
- B. Council acknowledges that there were several procedural shortcomings in the manner in which Council managed its involvement in the Project, resulting in the contravention of the LG Act, and related regulations & directives.
- C. Council also acknowledges that the financial and managerial diligence exercised in relation to this Project fell short of what would generally be expected of a well governed and managed local government entity.
- D. In addition to (and prior to) the OLG Investigation, Council undertook several actions to review Council's involvement in the Project, which included:
 - i. commissioning an independent party to undertake an internal review, and
 - ii. referring the matter to the Independent Commission Against Corruption (ICAC) to assess whether any corrupt practices had taken place, and
 - iii. referring the matter to the NSW Police to assess whether any criminal activities had taken place.
- E. Council has accepted all of the recommendations made in the report, submitted to Council by the party undertaking the independent investigation. Council has initiated actions to implement almost all of the recommendations and is in the process of implementing the few that are yet to be actioned.
- F. Subsequent to an initial review, ICAC determined that there was no basis for them to undertake a full investigation.
- G. Subsequent to an initial review, NSW Police determined that there was unlikely to be any criminal activities that would be subject to prosecution in a court of law.
- H. Despite the procedural shortcoming, it is worthwhile to note that Council took adequate measures to protect its financial interests, resulting in the Council not suffering any financial losses as a result of its involvement in the Project.
 - i. Council fully recovered the loan made in relation to the Project, including all accumulated interest, as it had taken adequate security to cover the loan, and
 - ii. Council continues to own the land procured for the project, free of any encumbrances.

3. OLG Recommendations

MRC Specific Recommendations

Council be required to address the steps it has taken and/or proposes to take to:

Recommendation 1

Ensure it is open and transparent in responding to members of the public.

Recommendation 2

Keep full and accurate records as required by the State Records Act 1998.

General Recommendations

The following recommendations are not solely directed to Council, but to all councils in new South Wales.

Recommendation 3

All councils in New South Wales should carefully consider whether to provide in-kind and/or financial support for any private infrastructure project in their council area. In doing so, councils must ensure strict compliance with the Act.

Recommendation 4

Any application to provide in-kind or financial support should be done by way of a formal process.

Recommendation 5

Councils should also consider relevant guidelines, including those published by the ICAC and State Government

Recommendation 6

Before determining to provide in kind and/or financial support for any private infrastructure project Councils should obtain an independent assessment of the project, which should include:

- i Preparation of a probity plan ensuring fairness, impartiality, accountability, and transparency in Council's dealings with the proponent.
- ii Preparation of a risk management plan documenting the processes to be undertaken, due diligence considerations, and segregating responsibilities.
- iii A report setting out the entity's structure, the officeholders or principals of the business, the location of its principal place of business, its trading history, its experience in undertaking the same or similar projects; its senior management; its financial resources, its insurance and credit history; its history of regulatory or legal action (including adverse findings against key personnel); relevant licences, certifications and accreditations; and its media and social media profile.

Recommendation 7

Councils should consider any application to provide in kind and/or financial support for any private infrastructure project in their council area in an open meeting.

4. MRC Response to Recommendations

MRC Specific Recommendations

Recommendation 1

Council has established a process which has strengthened its assessment of the reports that are debated in closed confidential sessions. Council uses Infocouncil, a meeting, agenda, and minute software solution, to compile its meeting agenda, which includes the reports submitted for debate and resolution by the councillors.

In compiling the reports to be included in the meeting agenda, where a report is identified as a confidential report, Infocouncil has been configured to make it mandatory to specify the subsection under s10(A)(2) of the LG Act, due to which the report is being made confidential.

Thereafter, while providing final approval for the report, the CEO re-assesses the adequacy of the reasons provided for the report to be discussed in a closed session.

Case Study 1

At the Extraordinary Council Meeting of 2 November 2022, a report titled “Lot 1, DP 793207, Cobb Highway, Moama” was presented to Council for discussion and resolution. The report detailed options available to Council for a parcel of land in excess of 30 hectares. The discussion of the options contained several financial figures (valuations of the land, broad estimates of potential costs and revenues for given options etc.), which could be considered as confidential under section 10(a)(2)(d) of the LG Act.

Despite the initial consideration, a further assessment determined that on balance any financial or commercial harm to Council from disclosure of such information would be minimal, and in the interest of transparency, the report was presented, and the debate conducted, in an open session of Council.

Council also intends to commission an internal audit¹ on all reports discussed at closed sessions to assess the reasonableness of such decisions, and whether changes need to be made to such decision-making process. Council intends to undertake this audit within this financial year.

Recommendation 2

In early 2022, Council commissioned a full review of its Records and Information Management processes (RIM Review). Subsequent to an expression of interest (Eoi) process, Recordkeeping Innovation (RI) was selected as the external consultant to undertake the RIM Review. RI delivered their final report (Records and Information Management Strategy) in April 2022. The report is appended to this report as Annex 1.

Based on the RI report, Council developed its own Records and Information Management Strategy (RIM Strategy), associated with the Information and records Management Policy (POL-207). The primary reason for the development of a somewhat different strategy was the limited availability of resources to implement the strategy. While the RI strategy envisaged a delivery period of 4 years, the Council strategy aims to deliver the strategy in 6 years. The RIM Strategy can be found at Annex 2.

Council has also provisionally adopted a revised and updated Information & Records Management Policy. The policy is currently under public display and will see final adoption early in 2024. The provisional policy appears as Annex 3.

¹ Council's internal audit function is carried out by an external party, as an outsourced function.

It should be noted that the adopted RIM Strategy encompasses a range of activities, including the implementation of more modern software to improve the ease of records management and encompass records such as social media posts within the records management framework.

Council has ensured that Council is currently compliant with the State Records Act 1988. Council uses the Trim software to manage the electronic records. Council has also implemented e-signatures, using Adobe to ensure an accurate digital record of signatures, and to address security concerns.

General Recommendations

The general recommendation contained in the OLG Report (recommendation 3 through 7 in section 3) have all been addressed through a development and implementation of a Project Management Framework (PMF), over a period of around one year. All council projects are required to adhere to and follow this framework. Further, relevant staff have been trained in the use of the framework. The PMF is linked to Council's Risk Management Framework (RMF), where appropriate.

Council's PMF and associated documents can be found as Annex 4 while the RMF as Annex 5.

In addition to, but within the PMF, Council has also developed a Commercial Project Development Process, designed to ensure that the appropriate staff with required expertise are consulted when developing a commercial project. The said Commercial Project Development Process is appended as Annex 6.

Council also recently provisionally adopted a Land Acquisition and Disposal Policy (currently on public display), designed to ensure both compliance and transparency in all land dealings. The provisional policy is presented as Annex 7.

Case Study 2

Pursuant to the report present to councillors as detailed in Case Study 1, Council resolved to explore the possibility of undertaking a direct sale of the said land to an identified strategic buy. As per the Land Acquisition and Disposal Policy (Annex 70 such an approach would be considered an "Alternative Method of Disposal" to "Achieve Specific Policy Objectives". In order to give effect to the resolution, Council has since engaged both a legal advisor and a probity advisor. The process is in its early stages. The probity plan prepared by the Probity Advisor is presented as Annex 8.

Prior to the OLG Investigation, Council initiated its own internal investigation using an independent third party. That investigations generated several recommendations all but one of which has been actioned by Council. The remaining recommendation is expected to be actioned in early 2023.

The recommendations resulting from the internal investigation and the actions taken by Council to give effect to those recommendations are listed in Annex 9.

Annex 1: Records & Information Management Review



Records and Information Management Strategy

Murray River Council

Version 01
April 2022 FINAL

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1.0 Introduction

The Records and Information Management Strategy aims to support the Council's values of collaboration, responsibility integrity and excellence by providing a program that is responsive, consistent, clear, fair and transparent for the long-term strength, resilience and profitability of the Murray River Council.

An effective strategy will ensure that information assets will be accessible, usable and protected, where necessary, for as long as the Council needs them to support ongoing business processes and the needs of the community it serves.

This strategy and action plan provides a roadmap of initiatives that describe the tasks, outcomes and resources needed to implement recommendations made in the Current State Assessment. Work packages are addressed as part of an implementation plan and roadmap. Implementation of work packages will provide Council with greater consistency in information and records management practices and governance, and will support compliance with NSW State Archives and Records Authority recordkeeping requirements.

2.0 Strategic direction

Core to any government organisation are the information assets they create and manage. The Council's records and information assets can help achieve community outcomes for the benefit of its citizens. Managing records and information is an important activity for Council because records:

- are central to local government activities,
- provide evidence of the Council's business activities,
- support effective and informed decision making,
- support efficient service delivery to the community,
- capture corporate knowledge and history, and show past actions,
- are used every day in the conduct of business,
- enable the Council's ability to meet legislative obligations.

To support the above outcomes, records and information need to be:

- Trustworthy and managed accountably
 - Readily accessible, understandable and useable
 - Valued as critical to business operations
 - Maintained to meet business, government and community purposes.
-

2.1 Information and records management principles

The current state assessment and recommendations are in line with NSW State Archives and Records three key principles for effective records and information management identified in the Records Management Standard.

The three key principles for effective records and information management¹ are:

Principle	Requirement
1. Organisations take responsibility for records and information management	<ul style="list-style-type: none">• Corporate records and information management is directed by policy and strategy.• Records and information management is the responsibility of senior management who provide direction and support for records and information management.• Corporate responsibility for the oversight of records and information management is allocated to a designated individual (senior responsible officer)• Organisations have skilled records and information management staff or access to appropriate skills.• Responsibility for ensuring that records and information management is integrated into work processes, systems, and services is allocated to business owners and business units.• Staff and contractors understand the records management responsibilities of their role, the need to make and keep records, and are familiar with the relevant policies and procedures.• Records and information management responsibilities are identified and addressed in outsourced, cloud and similar service arrangements.• Records and information management is monitored and reviewed to ensure that it is performed, accountable and meets business needs.
2. Records and information management support business	<ul style="list-style-type: none">• Records and information required to meet short and long term needs are identified.• High risk and high value areas of business and the systems, records and information needed to support these business areas are identified.• Records and information management is a designed component of all systems and service environments where high risk and/or high value business is undertaken.• Records and information are managed across all operating environments.• Records and information management is designed to safeguard records and information with long term value.• Records and information are sustained through system and service transitions by strategies and processes specifically designed to support business and accountability.
3. Records and information are well managed	<ul style="list-style-type: none">• Records and information are routinely created and managed as part of normal business practice.• Records and information are reliable and trustworthy.

¹ <https://www.records.nsw.gov.au/recordkeeping/rules/standards/records-management>

Principle**Requirement**

- Records and information are identifiable, retrievable and accessible for as long as they are required.
- Records and information are protected from unauthorised or unlawful access, destruction, loss, deletion or alteration.
- Access to records and information is managed appropriately in accordance with legal and business requirements.
- Records and information are kept for as long as they are needed for business, legal and accountability requirements.
- Records and information are systematically and accountably destroyed when legally appropriate to do so.

Recommendations provide direction for the Council to achieve improved records and information management maturity in line with the above principles. The following action plan provides a roadmap to implement recommendations made in the Current State Assessment. Implementing the action plan will support compliance with NSW State Archives and Records Authority recordkeeping requirements.

3.0 Implementation Overview

The implementation plan is a program of improvements for information and records management (IRM) maturity across Council. The roadmap and implementation plan are comprised of 3 streams, over a 3-year period. Each stream comprises a series of work packages designed to improve information and records management practices.

The three streams are:

1. People & Governance
2. Systems & Business
3. Information Management

The following implementation plan comprises three parts:

1. Implementation strategy inclusive of:
 - a) High level implementation strategy, which outlines:
 - the project stream,
 - aims and objectives
 - work packages, and
 - outcomes
 - b) Roadmap at a glance, and
 - c) Implementation requirements.
2. Project implementation plan, which outlines:
 - a) Project streams and work packages,
 - b) Work package details:
 - Key tasks
 - Outputs / deliverables
 - Dependencies
 - Resources
 - Comms / Change Management
 - Priority
3. Appendices

4.0 Implementation Strategy

4.1 High-level Implementation Strategy

#	Project Stream	Aims & Objectives	Work Packages	Outcomes
1	People & Governance	<p>Development and implementation of appropriate governance tools, and embedding of good records management practices, to support more effective capture, use and management of records and information over time.</p> <p>This stream includes both ongoing and recurring activities related to:</p> <ul style="list-style-type: none"> • review and update of governance tools, • steering and monitoring of information governance program, • identification of Council information assets, • delivery of IRM training and aligning records management responsibilities with strategic, operational and personal work plans, and 	<p>Work packages in this project stream include:</p> <ul style="list-style-type: none"> 1.1 Change Management 1.2 Governance Framework 1.3 Information Asset Register 1.4 IRM Governance Group 1.5 IRM Planning 1.6 IRM Roles & Responsibilities 1.7 IRM Training 1.8 Monitoring & Compliance 1.9 IRM Outreach & Engagement 1.10 Outsourcing & Contracts 	<ul style="list-style-type: none"> • Change management activities for IRM improvements identified and planned for • Council staff have sufficient understanding of their information and records management responsibilities, and the skills to be able to meet these responsibilities • Council has a governed approach to creation, capture, use and management of information assets, and requirements for records and information management are clearly defined and communicated • IRM activities are planned for and routinely considered by a governance group • Council has greater visibility over owned information assets, ownership and information repositories

#	Project Stream	Aims & Objectives	Work Packages	Outcomes
		<ul style="list-style-type: none"> ongoing IRM outreach and engagement 	1.11 IRM Resourcing	<ul style="list-style-type: none"> Compliance with records and information requirements is routinely monitored and any gaps or issues addressed in a timely manner Council staff understand their records management responsibilities, and are held accountable for good records management practices Information and records management training is routinely delivered to staff Training addresses a range of skills and capabilities
2	Systems & Business	<p>Development of a structured and governed approach to design and use of Council systems will support more consistent and effective management of records over time.</p> <p>Better systems design and governance, including systems training, will also ensure staff have a better understanding of appropriate use of systems for records storage.</p> <p>Documenting Council's requirements for systems, including functional and metadata requirements, will ensure more consistent design and configuration of systems and aid interoperability. Having documented requirements will also support assessment of</p>	<p>Work packages in this project stream include:</p> <p>2.1 TechOne Governance</p> <p>2.2 TechOne Implementation</p> <p>2.3 Microsoft 365 Design Solution and Governance Plan</p> <p>2.4 Migration Planning</p> <p>2.5 Security & Access Model</p> <p>2.6 Systems Training & Guidance</p> <p>2.7 Systems Procurement</p> <p>2.8 Systems Assessment</p> <p>2.9 Systems Documentation</p>	<ul style="list-style-type: none"> Corporate systems training is routinely delivered to staff to support ongoing use and learning Information and records management process improvements implemented Council has a structured and governed approach to system governance and design, with records management requirements considered Access to and security of Council's systems and records is consistently managed Council has a structured and governed approach to governance, administration and use of TechnologyOne Council has a structured and governed approach to governance, administration and use of Microsoft 365

#	Project Stream	Aims & Objectives	Work Packages	Outcomes
		proposed new and existing systems to ensure they meet requirements, and allow identification of records management risks.	2.10 Business Process Mapping 2.11 Metadata Schema 2.12 Network Drive Shutdown 2.13 Data Quality	<ul style="list-style-type: none"> Proposed new systems and existing systems are assessed against records management functional requirements Key business processes are understood and mapped to support process and records management improvements Council's metadata needs are understood and documented Quality of Council's data assets is understood Decommissioning and migration of systems, including network drives, is planned for
3	Information Management	Increase the level of maturity for managing Council's hardcopy records. Consolidating repositories will assist in implementing better controls for tracking and storing physical records in Council's custody to more easily access and protect records.	Work packages in this project stream include: 3.1 Storage Area Assessment 3.2 Audit Storage Holdings 3.3 Storage Amalgamation 3.4 Disposal Guidelines 3.4 Access Directions	<ul style="list-style-type: none"> Council information assets are disposed of in a routine and timely manner, reducing overall storage and management costs. Risks associated with Council records storage areas are known and mitigated where possible Controls are in place to more effectively track and support access to physical records, with location of physical records in Council custody known Disposal requirements are known by general staff Access Directions for Council records are current

4.2 Roadmap at a Glance



4.3 Implementation Requirements

This implementation plan and roadmap requires clear prioritisation and support from Executive leadership for long term investments and ongoing management of the program and engagement of stakeholders to effect change. There are a number of key requirements for an effective implementation, such as:




- Resourcing with accountability / responsibility for project management and oversight of the program.
- Accountability for business owners in supporting / leading implementation of change activities at a local level.
- Ongoing budgets and funding.
- Work packages are run using project management methodology with clear activities, responsibilities, tasks, deliverables, scheduling, governance and reporting requirements.
- Where internal resources are used staff can focus on project activities and can be released from business-as-usual activities as required.
- Appropriate scoping and understanding of costs associated where external support is required to progress project activities.

It is important to note that while a number of project activities may be one-off, there are a range of ongoing or recurring activities that are required to support the embedding of an effective and compliant information and records management program at Council.

5.0 Implementation Plan


The implementation plan is comprised of project streams and work packages or projects, within each stream.



The implementation plan uses the following icons to indicate priority:

-  high priority
-  medium priority
-  low priority


5.1 Stream 1: People & Governance


#	Work Package	Key Tasks	Outputs / Deliverables	Dependencies	Resources	Communications / Change Management
1.1	Change Management Development of a change management plan (including required communication activities) to support implementation of information and records management improvement activities identified in this strategy.	Identification of key change and communication activities, and key stakeholders and change champions. Development of change management plan that identifies: <ul style="list-style-type: none"> - Desired changes in IRM behaviours and practices - Change model - Challenges 	IRM Change Management Plan	Executive support	External support may be required to develop Change Management Plan	Communications with key stakeholders and change champions identified within the plan to raise awareness of change management and communications roles and responsibilities Communication of Change Management




#	Work Package	Key Tasks	Outputs / Deliverables	Dependencies	Resources	Communications / Change Management
		<ul style="list-style-type: none"> - User adoption strategies - Roles and Responsibilities <p>Develop a communication plan that identifies:</p> <ul style="list-style-type: none"> - Communication principles and goals - Stakeholder engagement communication channels - Targeted priorities 				Plan to relevant internal stakeholders for review / approval
1.2	 Governance Framework Development and implementation of appropriate guiding information governance framework, information and records management (IRM) policy and supporting procedures and guidelines.	<p>Develop Council-wide Information Governance Framework that considers Council's approach to management of information assets across domains:</p> <ul style="list-style-type: none"> - Information & Records Management - Information Security - Data Management - Privacy <p>Update the Information and records management policy to provide direction for the management of information assets including the creation, capture, management, use and disposal of records. Identify staff responsibilities in the policy including the Senior Responsible Officer (SRO).</p> <p>Review current procedures, update and develop new guidance as required to cover the following broad categories:</p> <ul style="list-style-type: none"> - Creation, capture and sharing of information - Describing information - naming protocols - Disposing of information - Protecting information 	<p>Information Governance Framework</p> <p>Updated IRM Policy</p> <p>Supporting IRM procedures and guidelines</p>	Executive support	External support may be required to develop / review framework, policy and other documents	<p>Communication of proposed framework and policy documents to relevant internal stakeholders for review / approval</p> <p>Internal publication and communication of framework and policy to Council staff</p>

#	Work Package	Key Tasks	Outputs / Deliverables	Dependencies	Resources	Communications / Change Management
		<ul style="list-style-type: none"> – Normal Administrative Practice <p>Develop business rules or short guides to cover a variety of recordkeeping aspects. Tailor these as needed to meet specific requirements. Undertake review processes with relevant stakeholders.</p> <p>Publish procedures to intranet for easy access.</p>				
1.3	 Information Asset Register  An important tool in understanding where information assets are held, sensitivity requirements, retention needs, custodians and owners and system of record.	<p>Undertake a review of information assets, identifying high value / high risk assets</p> <p>Identify the types of information assets, system of record, owner, custodian, sensitivity, risk level and retention requirements</p> <p>Document in an information asset register:</p> <ul style="list-style-type: none"> – The information asset – Business system, repository – Business owners, custodians – Security requirements – Recordkeeping requirements, that is, linked to business function / activity and retention requirements. – Risks to information assets and determine mitigation activities. <p>Plan for periodic review of the IAR</p> <p>Identify responsibility and ownership of IAR</p>	<p>Information asset register</p> <p>System owners and information custodians identified</p>	<p>IAR is recognised as a key organisational tool supporting Information Governance Framework (1.2)</p>	<p>External support may be required to develop IAR</p>	<p>Communications with information asset owners and custodians to provide information about expectations for notifying of changes to information assets</p> <p>Communications with IAR owner/s to outline responsibility for periodic review and update of IAR</p>

#	Work Package	Key Tasks	Outputs / Deliverables	Dependencies	Resources	Communications / Change Management
1.4	IRM Governance Group Establishment of Council IRM governance group to consider and provide strategic direction on IRM matters and develop a collaborative approach to managing Council information assets.	Identify scope of governance group, including roles and responsibilities for IRM activities such as framework and policy development and review, and maintenance of the information asset register Establish IRM governance group (SRO to chair) with membership inclusive of representatives from across Information Governance Framework domains and key business functions	IRM governance group terms of reference	Information Governance Framework and supporting IRM Policy (1.2) Information Asset Register (1.3)	Internal membership from across Information Governance domains	Communication with members about scope of governance group, and roles and responsibilities
1.5	IRM Planning Ongoing strategic and operational IRM planning to ensure IRM improvement and operational activities are clearly identified, and aligned to broader Council delivery and operational plans.	Carry out routine IRM operational planning Carry out routine IRM strategic planning, and ensure strategic activities are aligned to / included in broader Council operational and delivery planning documents as required Identify resources required, including estimated budget, to support operational and strategic IRM activities	IRM operational plan IRM strategic plan (In development)	Council delivery / operational plans	Planning to be carried out internally	Communication with relevant stakeholders of roles and responsibilities for implementation of activities identified in operational and strategic IRM plans Communicating identified strategic IRM activities to relevant internal stakeholders for inclusion in Council corporate planning instruments
1.6	IRM Roles & Responsibilities Once roles and responsibilities for IRM are established, there is a need to ensure roles and	Inclusion of IRM responsibilities in position descriptions for all Council staff Update Code of Conduct to include IRM responsibilities	Updated Code of Conduct	Information Governance Framework / IRM Policy and identification of	Activities to be carried out internally	Communication with / to staff to raise awareness of their IRM roles and responsibilities

#	Work Package	Key Tasks	Outputs / Deliverables	Dependencies	Resources	Communications / Change Management
	responsibilities are clearly communicated and included in relevant governance / planning documents as required.	Inclusion of IRM activities and responsibilities in business unit operational plans and staff member performance plans	Updated Position Descriptions Operational plans (inclusive of IRM activities) Performance plans (inclusive of IRM responsibilities / activities)	roles and responsibilities for IRM (1.2)		Liaison with relevant internal stakeholders to ensure IRM responsibilities are included in relevant governance / planning documents
1.7	 IRM Training Training is a critical component of ensuring that staff understand their IRM roles and responsibilities, and are equipped with the skills to meet IRM responsibilities. Training helps to embed a consistent and effective information management culture.	Develop IRM training plan including identification of: <ul style="list-style-type: none"> – identification of training needs and delivery modes, and responsibilities for training – training gaps relating to information and records management – stakeholder groups for training, – the best training methods to support the stakeholders to maximise the results – training materials required to support the framework e.g., onboarding, attestation, records and information management refreshers, targeted team session, hot topics etc. – how training will be delivered e.g., eLearning, face to face or a combination. – IRM training and guidance collateral 	IRM Training Plan IRM training collateral Various training delivery methods Training reports	Information Governance Framework / IRM Policy and identification of roles and responsibilities for IRM (1.2)	External support may be required to support development of IRM training plan and collateral	Communication with relevant internal stakeholders to describe IRM training roles and responsibilities Communication with Executive / Managers regarding arrangements for or scheduling of training Communication with HR regarding alignment of training activities with other corporate training activities


#	Work Package	Key Tasks	Outputs / Deliverables	Dependencies	Resources	Communications / Change Management
		<p>Deliver mandatory training for new starters and consider approach and collateral to meet various staff needs including:</p> <ul style="list-style-type: none"> - eLearning - Short videos for time poor staff - Step by step processes for key business activities - Face to face training sessions for recordkeeping basics and systems training - One on one sessions for systems training <p>Include systematic and regular monitoring of staff IRM awareness as part of monitoring program.</p>				
1.8	<p> Monitoring & Compliance</p> <p>Ongoing monitoring and compliance of IRM program performance, risk identification will help to ensure that any issues or opportunities for improvement are identified and addressed in a timely manner.</p>	<p>Establish a monitoring and compliance program with controls and measures to review implementation progress, and effectiveness of IRM program</p> <p>Establish criteria for review and key performance indicators</p> <p>Carry out routine internal auditing and monitoring, including annual system health check</p> <p>Carry out routine assessment of IRM program against NSW State Archives and Records Authority RMAT tool</p> <p>Identify risks and develop plans for remediation of risks</p>	<p>Monitoring and compliance program supported by:</p> <ul style="list-style-type: none"> - Audit / monitoring measures - Audit / monitoring reports - Performance reports - RMAT assessments 	<p>Information Governance Framework and IRM Policy (1.2)</p> <p>IRM governance group establishment (1.4)</p>	<p>External support may be required for development of monitoring criteria / KPIs</p>	<p>Communications with staff responsible for ongoing monitoring to outline roles and responsibilities</p> <p>Ensuring results of monitoring are reported to the IRM governance group to support identification and rectification of issues</p>


#	Work Package	Key Tasks	Outputs / Deliverables	Dependencies	Resources	Communications / Change Management
		Assign responsibility for ongoing monitoring activities	– Risk management plans			
1.9	 IRM Outreach & Engagement Ongoing Records Team outreach and engagement activities to support implementation and adoption of improvements to information and records management practices.	Identification of need for outreach / liaison with business units through routine auditing / monitoring activities Ongoing outreach / liaison with business units to identify opportunities for improvements in information and records management Ongoing outreach / liaison with business units to provide support in adhering to roles and responsibilities	Business unit IRM process / practice improvements	Information Governance Framework and IRM Policy (1.2) IRM auditing / monitoring measures (1.8)	Activities to be carried out internally	Routine informal communications with business units
1.10	 Outsourcing & Contracts Inclusion of relevant recordkeeping requirements as part of outsourcing and contractual arrangements to ensure Council records are appropriately managed and available for as long as required.	Creation of standard recordkeeping clauses to be included in outsourcing agreements and contracts Ongoing inclusion of recordkeeping clauses in contracts Develop guidance for contractors regarding recordkeeping responsibilities	Recordkeeping contractual clause/s Executed contracts inclusive of recordkeeping clause/s Contractor recordkeeping guide	Information Governance Framework and IRM Policy (1.2)	Council's legal practitioners to develop clauses	Liaison with Council legal practitioners to develop clauses Communication with parties Council enters into agreements with to clearly articulate recordkeeping roles and responsibilities
1.11	 IRM Resourcing Consideration of resourcing required to support improvement of information	Review existing resourcing available, including staff resourcing, to determine whether resourcing is sufficient	Resourcing review	NA	Activities to be carried out internally	Liaison with relevant internal stakeholders



#	Work Package	Key Tasks	Outputs / Deliverables	Dependencies	Resources	Communications / Change Management
	and records management practices at Council is necessary to ensure sufficient resources and skills are available.	Where additional resources are required, develop business case for resourcing and seek approval through relevant internal channels	Resourcing business case			regarding existing / proposed resourcing



5.2 Stream 2: Systems & Business

#	Work Package	Key Tasks	Outputs / Deliverables	Dependencies	Resources	Communications / Change Management
2.1	<p>TechnologyOne Governance</p> <p>With planned future use of TechnologyOne as a core corporate system supporting critical Council functions, it is of utmost importance that design, configuration and governance of the system is well planned for.</p> <p>For further information, see Section 5.2.1.</p>	<p>Identify relationship between existing modules and proposed future modules to determine any required changes to existing configuration</p> <p>Liaise with key internal stakeholders to determine business requirements for TechnologyOne, including any metadata or access requirements</p> <p>Map TechnologyOne metadata fields to fields in systems from which records will be migrated</p> <p>Identify any required integrations between TechnologyOne and other Council systems</p>	<p>TechnologyOne Governance Plan</p> <p>TechnologyOne system design and configuration documentation</p>	<p>Related to work package 2.2</p> <p>Assessment of TechnologyOne-ECM and M365 have been completed and decisions around migration of content from CM9 have been determined.</p> <p>Configuration should be</p>	<p>Vendor support will be required in developing relevant governance, design and configuration documentation</p> <p>Other external support may be required in determining requirements for system</p>	<p>Liaison with relevant internal stakeholders regarding system requirements</p> <p>Liaison with relevant internal stakeholders supporting identification of system requirements, and system implementation</p> <p>Sharing of draft system governance / design documentation</p>



#	Work Package	Key Tasks	Outputs / Deliverables	Dependencies	Resources	Communications / Change Management
		<p>Identify specific recordkeeping requirements for TechnologyOne, including required metadata capture, custom indexes, security classes, etc.</p> <p>Develop system design documentation, and review with relevant internal stakeholders to identify any gaps</p> <p>Develop a TechnologyOne governance plan which identifies system roles and responsibilities, change management processes, retention and disposal requirements, and other matters as required</p> <p>Implement system and document system configuration</p>		<p>informed by Business process mapping (2.10) and metadata schema (2.11)</p> <p>Configuration could be informed by security & Access Model (2.4)</p>	governance / design	with relevant internal stakeholders for review and approval
2.2	<p>TechnologyOne Implementation</p> <p> There is a need to carry out appropriate planning to support implementation of the OneCouncil platform, and subsequent decommissioning of superseded corporate systems to ensure that records and associated metadata are migrated successfully and protected from loss.</p>	<p>Determine requirements and timeframe for TechnologyOne implementation, including required migration of data from other systems / integration with existing systems</p> <p>Develop TechnologyOne implementation plan</p> <p>UAT Testing. Develop a test plan that addresses the types of testing required, testing schedule, requirements, use cases, roles and responsibilities. Ensure enough time is allowed for testing configurations, integrations and data migrations.</p>	<p>TechnologyOne Implementation Plan</p> <p>UAT Test plan.</p>	Related to TechnologyOne governance (2.1)	<p>Vendor support will be required in developing both implementation and decommissioning plans</p> <p>Other external support may be required to support development of</p>	<p>Communications with Executive to seek authorisation for implementation and decommissioning plans</p> <p>Communications with relevant internal stakeholders regarding roles and responsibilities for systems</p>


#	Work Package	Key Tasks	Outputs / Deliverables	Dependencies	Resources	Communications / Change Management
	For further information, see Section .2.1.				planning documents	implementation and decommissioning General communications with system users / Council staff about timelines for implementation and decommissioning, and any action required to be undertaken
2.3 	Microsoft 365 (M365) solution design and governance Implementation of effective governance controls to ensure the M365 platform is well managed, including records stored in the platform. Design of M365 should be in line ISO16175 functional requirements For further information, see Section 5.2.2.	Develop a M365 solution design and governance plan, that details: <ul style="list-style-type: none"> – Integration with other systems (including governance tools such as AvePoint or RecordPoint) – Operational roles and responsibilities for SharePoint, Teams etc., – The governance model, site owners etc, – Information architecture, – Use of functionality such as content types, labels, metadata, – Relationships / integration with other corporate systems, and – Operational procedures Assessment of third-party products, including AvePoint and RecordPoint, that support	M365 solution design and governance plan Third-party vendor assessment	Assessment of TechnologyOne-ECM and M365 have been completed and decisions around migration of content from CM9 have been determined. Configuration should be informed by Business process mapping (2.10) and metadata schema (2.11)	External support may be required to develop and implement the M365 governance plan ISO16175 Information and documentation – Processes and functional requirements for software for managing records	Communications to staff about appropriate use of M365 Liaison with relevant internal stakeholders regarding implementation of governance controls



#	Work Package	Key Tasks	Outputs / Deliverables	Dependencies	Resources	Communications / Change Management
		<p>M365 governance against Functional Requirements for Managing Records in M365 (See section 5.2.2 for additional details).</p> <ul style="list-style-type: none"> • 		Configuration could be informed by security & Access Model (2.4)		
2.4	<p>Migration planning and digital preservation</p> <p> Planning for migration and system decommissioning is essential if Council is to ensure that high value / high risk information is retained and maintained for as long as required.</p> <p></p>	<p>Engage with the information technology team on migration plans for systems being decommissioned or upgraded and identify:</p> <ul style="list-style-type: none"> - Records to be migrated / transferred - Metadata requirements - Retention requirements so that migration is linked to retention policies <p>Develop system decommissioning and migration plans</p> <p>Test system migration plan</p> <p>Develop a preservation strategy and plan that identifies risks and mitigation activities associated with ensuring records are preserved for the period of time they must be retained. Identify mitigation activities including:</p> <ul style="list-style-type: none"> - appropriate file formats for all records to ensure digital records remain readable - identifying the metadata required to ensure records are accessible over time. 	<p>System decommissioning and migration plans</p> <p>Migration test plans</p> <p>Migration test reports</p> <p>Preservation strategy</p>	NA	External support may be required.	Liaison with relevant internal stakeholders and vendors where required.


#	Work Package	Key Tasks	Outputs / Deliverables	Dependencies	Resources	Communications / Change Management
		<ul style="list-style-type: none"> ensure digital records can be exported from systems with metadata <p>Use the governance group as a mechanism to facilitate engagement. System decommissioning, system upgrades should be agenda items as part of the oversight group.</p>				
2.5	 Security & Access Model Development and implementation of a functional security and access model will support more consistent application of role-based security and access permissions across Council systems and records repositories. Development of security and access related guidance for staff will also help to embed understanding of the importance of, and requirements for, appropriately accessing, using and sharing information and records.	Review existing security and access permissions across systems Develop a holistic security and access model that aligns roles to functional security groups with access to information assets and repositories relevant to the business function (e.g., an HR staff member will belong to the HR Functional Security Group, which has access to the HR system, employee related indexes and security groups in ECM, physical employee file storage areas) Develop security and access related guidance for staff	Enterprise security & access model Security and access guidelines	Repositories identified in the IAR (1.3) may help inform development of security & access model	External support may be required for the development of the security & access model	Liaison with system owners and information custodians to determine system and information access requirements, and support implementation of security & access model Notifying any effected users of changes to security and access permissions
2.6	 Systems Training & Guidance Whilst IRM training is important in developing staff understanding of their	Identify training needs for Council systems Identify responsibilities for development and delivery of systems training	System training needs assessment	Council may wish to incorporate systems training needs in training	Existing systems vendor training collateral should	Liaison with system owners to identify / communicate responsibilities for

#	Work Package	Key Tasks	Outputs / Deliverables	Dependencies	Resources	Communications / Change Management
	information and records management responsibilities, there is a need to ensure appropriate training is provided in use of corporate systems to support capture and management of records.	Develop systems training collateral Ongoing: delivery of onboarding and refresher systems training	Systems training collateral	plan identified in work package 1.7	be leveraged where possible Vendor support may be required for development of training collateral	systems training development and delivery Liaison with HR to ensure relevant systems training is part of new starter onboarding Communication with Executive / Managers regarding arrangements for or scheduling of training
2.7	Systems Procurement Development and implementation of appropriate mechanisms to support assessment, evaluation and procurement of new systems (both on premise and cloud based).	Develop a set of minimum functional specifications, inclusive of recordkeeping and technology requirements, to support assessment of proposed new systems (Developed as part of this project) Include Business Intelligence, IT and the Records Team in panels for assessments of new systems to support assessment against minimum functional requirements Develop a requirements statement that vendors can respond to. Update any systems procurement related internal guidance (where relevant)	Minimum system functional requirements list Ongoing: Completed system assessments for proposed new systems	NA	ISO16175 Information and documentation – Processes and functional requirements for software for managing records Internal resourcing to carry out identification of technical	Communicate to relevant internal stakeholders change in systems procurement process

#	Work Package	Key Tasks	Outputs / Deliverables	Dependencies	Resources	Communications / Change Management
					functional requirements	
2.8	Systems Assessment  Carrying out assessment of systems (with priority to systems containing high-value or high-risk information assets) to ensure they meet NSW State Archives & Records Authority minimum compliance requirements. Priority should be given to assessing TechnologyOne and M365 to decide suitability of systems for managing records.	Carrying out assessment of corporate systems against ISO Functional Requirements. Configure system capabilities (where possible) to bring system into alignment with minimum compliance requirements Developing strategies for protecting high-value / high-risk information assets where systems are unable to meet compliance requirements (e.g., migrate / capture records for long-term management) Annual re-assessment of systems (or assessment in line with major system changes such as upgrades)	Completed system assessment checklists Updated system design / configuration documentation (where changes are made to system configuration) System recordkeeping strategy / planning documents (where required)	IAR (1.3) will support identification of repositories with high-value / high-risk information assets for prioritisation of assessments	ISO16175 Information and documentation – Processes and functional requirements for software for managing records System vendor support, or other external support, may be required in undertaking assessment of systems	Liaison with system vendors where required for information gathering Liaison with internal system owners / information custodians to support system assessments, and implementation of any required system configuration changes Liaison with system owners / information custodians to develop system recordkeeping strategies / plans (where required)
2.9	System Documentation  Centralising storage of Council system governance and design documentation and, where gaps in documentation exist, developing system governance and design	Centralising storage of existing system governance and design / configuration documentation Identifying gaps in system governance and design / configuration for core Council systems	Core system governance plans and system design / configuration documentation	TechnologyOne and M365 governance and design documentation considered in	System vendor support, or other external support, may be required in developing system governance and	Liaison with system owners / information custodians to support development of governance and design documentation

#	Work Package	Key Tasks	Outputs / Deliverables	Dependencies	Resources	Communications / Change Management
	documentation for core Council systems.	Documenting / updating system design / configuration of existing core systems, inclusive of recordkeeping functionality and information architectures Developing / updating system governance plans for core Council systems, inclusive of recordkeeping functionality and information architectures		work packages 2.1 & 2.3	design documentation	
2.10	 Business Process Mapping High level business process mapping to support identification of opportunities for improved information management practices, including appropriate points of capture for records and information supporting business processes. This should also include business process where there are ongoing or routine sharing requirements.	Engage with teams to map business processes. Conduct workshops Review & map high risk / high value business processes Identify opportunities for automation of approval processes through application of workflow and use of digital signatures.	Business process maps identifying: <ul style="list-style-type: none"> - Records created - Approval points - Business function / activity supported - System of capture - Security & access requirements - Sharing requirements - Metadata requirements 	Related to work package 2.1 and 2.2 Process mapping should feed into TechnologyOne profiles	External support may be required to support business process mapping activities IT input on workflow capability for automation	Communication with identified stakeholders regarding information / input required to support business process mapping Sharing process maps with relevant internal stakeholders

#	Work Package	Key Tasks	Outputs / Deliverables	Dependencies	Resources	Communications / Change Management
2.11	Metadata Schema  Metadata schemas support consistent use and application of metadata across systems, which in turn supports search and discovery and interoperability.	Develop a metadata schema that outlines the metadata requirements for the organisation's information assets based on AGRKMS, AGLS, and metadata specific to MRC Identify what metadata is necessary for the creation, capture and management of authoritative records Identify what metadata support Council's recordkeeping and business requirements. Develop a Council metadata scheme that includes: <ul style="list-style-type: none"> - Information categorisation (BCS) - Access and security controls - Encoding schemes for commonly used terms - Naming protocols - Retention controls 	Metadata schema	Related to work package 2.1 and 2.3 Metadata schema should feed into TechnologyOne and M365 design	External support may be required to support development of metadata schema	Liaison with internal stakeholders and system owners to identify existing metadata use and requirements
2.12	Network Drive Shutdown  Shutting down and transitioning away from use of the network drive, including migration of network drive content, will require sufficient planning and resourcing to be successful.	Develop network drive shutdown plan, which gives consideration to: <ul style="list-style-type: none"> - Mapping to M365 repositories - Requirements for 'tidy up' of records - Migration of content to M365 - Roles and responsibilities, and business unit involvement 	Network drive shutdown plan	Development of M365 governance plan and information architecture (see work package 2.3) May be included in system decommissioning and migration	External support may be required to support development of network drive shutdown plan, and migration activities	Liaison with internal stakeholders regarding requirements for network drive shutdown and use of M365 as replacement Routine communications to staff about shutdown,

#	Work Package	Key Tasks	Outputs / Deliverables	Dependencies	Resources	Communications / Change Management
				plans identified in work package 2.2		and staff role in supporting shutdown
2.13	Data Quality  Developing a better understanding of Council data assets will support identification of whether data is fit for purpose, how the data can be used and how it may compare to similar data held by other government bodies.	Create Data Quality Statements for Council data assets, using the Data.NSW Data Quality Reporting Tool	Data quality statements	IAR (1.3) will support identification of data sets	Activities to be carried out internally	Liaison with data set owners / custodians

5.2.1 TechnologyOne

Council intends on expanding use of TechnologyOne offerings through the implementation of the OneCouncil platform. Given the implementation of OneCouncil will also include the decommissioning of a number of key corporate systems, there is a need to ensure that the OneCouncil implementation is well planned for. This includes:

- Developing an implementation plan and timeline, which identifies key stakeholders and change agents and required internal resourcing requirements, and incorporates appropriate consultation with business stakeholders (including user acceptance testing)
- Developing a change management strategy to support change activities, given the significant impact of such largescale change in systems
- Developing a holistic system design and configuration approach and documentation, including identifying roles and responsibilities for ongoing administration and maintenance of the system
- Understanding the relationship between existing modules and those to be implemented, and any requirements for changes to configuration of existing modules to support implementation of new modules
- Understanding the relationship between OneCouncil and Council's broader information environment, and developing sufficient guidance as to which systems support particular business activities and which records, they should store
- Identifying business recordkeeping requirements and use cases to inform system design and configuration decisions (such as implementation of custom indexes, establishing workflows and development of system Quick Add Profiles)
- Identifying records and associated metadata stored in existing systems (such as CM9, and Civica Authority) that require migration to the TechnologyOne environment, and carrying out appropriate planning to ensure migration can occur without loss of records and any associated metadata
- Planning for capture of any records saved in existing modules to ECM to support ongoing management
- Identifying required integration between TechnologyOne and other line of business systems
- Identifying any required third-party tools, or additional TechnologyOne tools, to support integration (such as the RedOffice Microsoft Office and TechnologyOne add-in)
- Developing a UAT Test plan that will take a risk-based approach to the testing of the design, configuration data migrations etc.
- Developing a strategy for OneCouncil use, including developing sufficient guidance and training material to support uptake and appropriate use of the solution
- Delivering communications and training to staff in the lead-up to and after rollout of new modules
- Providing Business Intelligence staff, and identified module owners, training to support ongoing administration and use of the OneCouncil platform

OneCouncil is a complex solution that requires a significant amount of planning and forethought prior to roll-out to support system design and configuration, and uptake and use. Given the complexity of the solution, and added complication of some modules having already been implemented without a holistic plan and approach for implementation, it is strongly recommended that Council consider seeking the services of an external vendor to lead and support any further implementation. Without sufficient planning, resourcing (both internal and external), TechnologyOne expertise, and engagement with stakeholders there is risk that the OneCouncil solution will fail to meet both business and recordkeeping requirements. This could lead to similar levels of dissatisfaction felt by staff regarding the existing EDRMS CM9, and result in staff continuing to overly-rely on network drives, Outlook and hardcopy records to support business activities.

The scale of the OneCouncil implementation, and corresponding decommissioning of other line of business systems, is significant and requires adequate internal and external resourcing to ensure that existing records and associated metadata are protected from loss and that OneCouncil can support ongoing capture and management of records in line with business and recordkeeping requirements.

5.2.2 Microsoft 365 + 3rd party governance

Given Council's plan to increase usage of the M365 platform to support capture and sharing of records, there is a need for Council to establish a broader governance plan for the platform and implement more advanced governance controls within the environment to support more effective management of records and information.

This governance plan should cover topics including:

- Governance model for MRC environment
- Roles and responsibilities within environment
- Approach to change management (M365 an evergreen environment and there is a need to monitor upcoming changes so that amendments to system configuration can be made where required)
- Approach to creation and decommissioning of SPO sites, Teams and Groups
- Configuration and design decisions relating to solution capabilities and information architecture
- High-level overview of access model and permissions
- Security and compliance governance controls (such as retention policies and data loss prevention policies)
- Storage requirements / limits
- Service management and support
- Monitoring and reporting

Council is currently using E3 licensing to support its M365 environment, there are limitations on governance controls and functionality available in the M365 Security and Compliance Centre. This must be factored into Council's M365 Governance Plan. Specific records management governance limitations due to licensing include:

- Inability to implement event-based retention (e.g., Destroy 7 years after expiry of agreement, or Destroy 75 years after date of birth),
- Lack of disposition review feature with retention labels (i.e., ability to identify records past their retention period, and either approve destruction, extend retention, or apply a different retention label),
- Inability to automate application of retention labels based on conditions, and
- Inability to apply audit log retention policies (with E3 licensing unified audit log data is only retained for 90 days).

M365 as a standalone platform does not satisfy all functional requirements for a system used for recordkeeping. There are a range of vendors, including AvePoint and RecordPoint, that offer products and services that integrates with M365 to provide functionality that enables SharePoint to be used as a repository that meets recordkeeping requirements and best practice standards. Following is a short explanation of each of these vendor options.

AvePoint

AvePoint offers Cloud Records to establish the information governance when SharePoint is adopted as the corporate repository. AvePoint also provides associated tools that:

- Integrates Outlook with SharePoint to enable the capture of email seamless through Office Connect, and

- Facilitates the migration of records from network drives to SharePoint using Fly Migrator. An archiving tool to automatically move content to a secure location for future retention or secure disposal.
- Easily manage digital and physical content in a centralised platform.

Cloud Records

Cloud Records allows automation of business rules to manage content created and captured in M365 through the application of governance rules built within the Cloud Records solution. Cloud Records works with a robust information architecture in M365 to automate the application of the rules with minimal end user effort. Cloud Records can be configured to operate controls in the original application (e.g., Outlook) or move items to SharePoint Online. Cloud Records supports metadata and full text searching, role-based security, audit and dashboard reporting.

Office Connect

Office Connect enables the merging of content from Microsoft Outlook, Office, and Windows File Explorer into SharePoint and Office 365. Office Connect allows users to drag and drop emails or email attachments directly from Outlook into SharePoint, maintaining all associated metadata

AvePoint Fly Migrator

Fly Migrator consolidates and migrates on-premises Exchange, SharePoint, and file shares, or other cloud content in Microsoft Teams and other repositories into Microsoft 365 cloud.²

RecordPoint




Records365, is an information and records management software solution that helps organisations manage their regulatory, legal, and information governance requirements for electronic and physical content. Records365 provide connectors to a variety of content sources, including SharePoint, file shares, , Exchange Online to enable the “in-place” management of records in these location by the application of governance rules.



Key features of Records365 include:

- Rules are used to evaluate content created within SharePoint to identify how to classify, retain and treat content. Rules tie together one or more patterns with a specific outcome.
- Classification - Build your business classification scheme. Disposition schedules can be updated centrally for any records in SharePoint and/or Office 365.
- Appropriate security and auditing are crucial for a compliant records system. RecordPoint extends the SharePoint security model and in-built audit tracking by adding additional features to maintain the integrity of records.
- Centralised Dashboard - Monitor and assess adherence to policy objectives and compliance rules.

² <https://www.avepoint.com/au/products/hybrid/office-365-migration>

5.3 Stream 3: Information Management

#	Work Package	Key Tasks	Outputs / Deliverables	Dependencies	Resources	Communications / Change Management
3.1 	Storage Assessment Understanding and assessing the risks associated with hardcopy records storage locations is an important step in determining the suitability of storage locations. Use of suitable storage locations is critical to the protection and ongoing use of records.	Assessment of hardcopy records storage locations using compliance requirements identified in the NSW State Archives and Records Authority <u>Standard on the physical storage of State records</u> Address compliance gaps identified in hardcopy records storage assessment	Completed hardcopy records storage assessments	NA	Activities to be carried out internally	Communication with information custodians where owned physical records may need to be relocated
3.2 	Storage Holdings Register Having up-to-date hardcopy records register, inclusive of baseline metadata requirements, will support consistent retrieval, use and disposal of Council's hardcopy records.	Review, audit and update current hardcopy record register of hardcopy records stored at all locations Ensure register includes baseline metadata: <ul style="list-style-type: none"> - Unique identifier - Description - Business owner - Disposal class - Disposal due date 	Updated hardcopy records register	NA	Activities to be carried out internally	Liaison with record business owners as required
3.3 	Storage Amalgamation Having disparate stores of hardcopy records can make retrieval and management of records over time more challenging and costly.	Identify and process records due for disposal in all storage facilities.	Records disposal report	Updated hardcopy records register would support assessment (see work package 3.3)	Assessment to be carried out internally If amalgamation	Liaison with record business owners as required. Communication with information custodians to

	Amalgamation of storage repositories, where possible, would allow more consistent retrieval and management of records.	Assess viability / value of amalgamating remaining hardcopy records to one storage location Develop plan for amalgamation where required Implement amalgamation	Storage amalgamation assessment Storage amalgamation plan		proceeds, external support may be required	seek authorisation for disposal activities
3.4	 Disposal Guidelines Helping staff to identify low-value and short-term information as well as high value information will assist the Council in meeting it's recordkeeping obligations.	Develop Retention & Disposal Guidelines, inclusive of normal administrative practice and records transfer.	Retention & Disposal Guidelines	NA	Activities to be carried out internally	Communicate with staff where to find the guidelines.
3.5	 Access Directions Review, update and expansion (where required) of Council's <u>access directions</u> to ensure records of Council are sufficiently covered and access directions appropriate.	Review, update and expansion (where required) of Council's access directions	Updated access directions	Information Asset Register may help inform access direction review (1.3)	Activities to be carried out internally	Liaison with NSW State Archives and Records Authority regarding access directions review and update Liaison with information custodians to determine access requirements

Appendix 1: Related Documents

Related documents are provided as attachment to this strategy and roadmap report.

Document	Description
Information Management Roadmap	Roadmap detailing timeframes for work packages identified in this strategy. This document is to be read in conjunction with this strategy document.
Functional Requirements	ISO16175 and business functional requirements to support assessment and design of systems. These requirements should inform configuration of Council's chosen solution after decommissioning of the existing Content Manager 9 and Civica Authority.

Appendix 2:

Recommendations Mapping

#	Recommendation	Related Work Package/s
1	Develop an information asset register that: <ul style="list-style-type: none"> • Defines information assets • Identifies custodians of information assets • Identifies owners of systems • Establishes a risk profile for information assets • Identifies recordkeeping retention requirements • Establishes responsibilities of information asset owners 	1.3
2	Assign SRO responsibilities to senior member of the leadership team	1.2
3	Assign SRO to lead a governance forum ensuring compliance with legislation and standards.	1.4
4	Develop a governance structure with a cross functional membership, including representatives from <i>Business Intelligence, Technology and Digital Services</i> , core business teams and chaired by the SRO (<i>Director of Corporate Services</i>), that will provide strategic direction for information and records management.	1.4
5	Develop a Records and Information Management Strategy and Roadmap (Under development).	Ongoing strategic planning, 1.5
6	Develop an information and records management framework that establishes the organisations long term visions and goals, and identifies the strategies to meet them.	1.2
7	Develop framework guidelines to create a suite of guidance for staff so they understand how records should be managed and where records should be captured. Guidance may include, but is not limited to: <ul style="list-style-type: none"> • What records should be captured and into what authorised systems. • Management of email as business records • Management of digital records. • Information access • Digitising hardcopy documents • Use of network drives • Use of Microsoft Teams including chats, collaboration and sharing etc. • Preservation of digital records. • Scanning requirements • Digitisation planning • Decommissioning of systems • Normal Administrative Practice (NAP) • Transfer of records to NSW State Archives • Retrieval, handling, safe transport of records. 	1.2
8	Review and update the current Information and Records Management Policy ensuring staff clearly understand what is expected from them when managing the organisations information assets.	1.2
9	Develop a change management plan that incorporates communications and ongoing training to achieve staff awareness of core organisational recordkeeping expectations and understandings	1.1

#	Recommendation	Related Work Package/s
10	Create a training plan and develop training material for information and records management, focussed both on compliance, system training business rules and protocols. Optimise business partnering for tailored sessions.	1.7
11	Ensure delivery of mandatory training for new starters and consider making this training an annual event for all staff as a refresher	1.7
12	Include recordkeeping responsibilities in role descriptions and performance review processes to ensure accountability and assist in the understanding of responsibilities.	1.6
13	Acquire additional resources to support the improvement of records management practices at the Council.	1.11
14	An information and records management specialist should be involved in discussions, as part of the governance group, regarding new systems or system redesign where high value, high risk records will be managed to ensure functional requirements can be addressed.	2.6
15	Develop a monitoring and compliance program to assist the Council in ensuring the level of information management maturity is always improving.	1.8
16	Program an annual system health check review as part of the monitoring and compliance program. Recordkeeping functionality advice and input into information architectures and solution design for current and new systems	1.8
17	Include recordkeeping functionality in information architectures and solution design for current and new systems	2.1, 2.3, 2.7, 2.8, 2.10 & 2.11
18	Develop a governance model for M365 based on ADRI's Functional Requirements for Managing Records in M365.	2.3, 2.10 & 2.11
19	Ensure staff guidelines cover organisational security and access requirements including: Reporting Identification, protection and management of sensitive information	2.5
20	Develop a metadata schema that outlines the metadata requirements for the organisation's information assets based on AGRKMS, AGLS, and metadata specific to MRC.	2.1, 2.3 & 2.11
21	Undertake a comprehensive assessment of all business systems against SARA's Checklist for assessing business systems.	2.8
22	Include business system audit and assessment as part of an annual compliance program.	2.8
23	Ensure framework documentation includes business rules, procedures and other control mechanisms to ensure accuracy and quality of records created, captured and managed.	1.2
24	Plan to shut down shared drives	2.12
25	Develop business process mapping to determine requirements for capture of records.	2.1, 2.3, 2.10, 2.11
26	Review Data.NSW's Data Quality Reporting Tool and NSW Government Open Data Policy	2.13
27	Develop functional specifications based on <i>ISO 16175 Part 1: Functional requirements and associated guidance for any applications that manage digital records</i> , for implementation of new systems or upgrading of current systems (Under development as part of current project.)	2.7
28	Explore third party products, including AvePoint and RecordPoint, that will integrate with M365 to provide governance over Council records	2.3
29	Identify Council's unique metadata requirements for functional requirements (Under development as part of current project)	2.7
30	Document all system configuration designs.	2.9
31	Develop system migration plans for systems to be retired.	2.4

#	Recommendation	Related Work Package/s
32	Test system migration plans in a test environment before finalisation in a production environment.	2.4
33	Plan for decommissioning of systems and the migration of high risk, high value information from these systems to prevent technological change from compromising the accessibility or usability of information.	2.4
34	Review, audit and update current hardcopy record register of hardcopy records stored at all locations	3.2
35	Update hardcopy record register with base line metadata requirements including unique identifier, description, business owner, retention and disposal authority class, date due for destruction.	3.2
36	Conduct an assessment of the facility storing physical records using SARA's: <i>Standard on the physical storage of State records</i> .	3.1
37	Consider amalgamating the two significant storage locations to Mathoura which is the closest to the Records Team based in Moama.	3.3
38	Provide guidance to staff on what records can be destroyed according to NAP.	3.4
39	Develop additional access directions where required	3.5



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Annex 2: Information & Records Management Strategy

Information & Records Management Strategy

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1. INTRODUCTION

The Information and Records Management Strategy aims to support the Council's values of collaboration, responsibility integrity and excellence by providing a program that is responsive, consistent, clear, fair and transparent for the long-term strength, resilience and profitability of the Murray River Council.

An effective strategy will ensure that information assets will be accessible, usable and protected, where necessary, for as long as the Council needs them to support ongoing business processes and the needs of the community it serves.

This strategy and action plan provides a roadmap of initiatives that describe the tasks, outcomes and resources needed to implement recommendations made in the Current State Assessment. Work packages are addressed as part of an implementation plan and roadmap. Implementation of work packages will provide Council with greater consistency in information and records management practices and governance, and will support compliance with NSW State Archives and Records Authority recordkeeping requirements.

2. STRATEGIC DIRECTION

Core to any government organisation are the information assets they create and manage. The Council's records and information assets can help achieve community outcomes for the benefit of its citizens. Managing records and information is an important activity for Council because records:

- are central to local government activities,
- provide evidence of the Council's business activities,
- support effective and informed decision making,
- support efficient service delivery to the community,
- capture corporate knowledge and history, and show past actions,
- are used every day in the conduct of business,
- enable the Council's ability to meet legislative obligations.

To support the above outcomes, records and information need to be:

- Trustworthy and managed accountably
- Readily accessible, understandable and useable
- Valued as critical to business operations
- Maintained to meet business, government and community purposes.

2.1 INFORMATION AND RECORDS MANAGEMENT PRINCIPLES

The current state assessment and recommendations are in line with NSW State Archives and Records three key principles for effective records and information management identified in the Records Management Standard.

The three key principles for effective records and information management¹ are:

Principle	Requirement
1. Organisations take responsibility for records and information management	<ul style="list-style-type: none"> Corporate records and information management is directed by policy and strategy. Records and information management is the responsibility of senior management who provide direction and support for records and information management. Corporate responsibility for the oversight of records and information management is allocated to a designated individual (senior responsible officer) Organisations have skilled records and information management staff or access to appropriate skills. Responsibility for ensuring that records and information management is integrated into work processes, systems, and services is allocated to business owners and business units. Staff and contractors understand the records management responsibilities of their role, the need to make and keep records, and are familiar with the relevant policies and procedures. Records and information management responsibilities are identified and addressed in outsourced, cloud and similar service arrangements. Records and information management is monitored and reviewed to ensure that it is performed, accountable and meets business needs.
2. Records and information management support business	<ul style="list-style-type: none"> Records and information required to meet short and long term needs are identified. High risk and high value areas of business and the systems, records and information needed to support these business areas are identified. Records and information management is a designed component of all systems and service environments where high risk and/or high value business is undertaken. Records and information are managed across all operating environments. Records and information management is designed to safeguard records and information with long term value. Records and information are sustained through system and service transitions by strategies and processes specifically designed to support business and accountability.
3. Records and information are well managed	<ul style="list-style-type: none"> Records and information are routinely created and managed as part of normal business practice. Records and information are reliable and trustworthy. Records and information are identifiable, retrievable and accessible for as

¹ <https://www.records.nsw.gov.au/recordkeeping/rules/standards/records-management>

Principle	Requirement
	long as they are required.
	<ul style="list-style-type: none">Records and information are protected from unauthorised or unlawful access, destruction, loss, deletion or alteration.Access to records and information is managed appropriately in accordance with legal and business requirements.Records and information are kept for as long as they are needed for business, legal and accountability requirements.Records and information are systematically and accountably destroyed when legally appropriate to do so.

Recommendations provide direction for the Council to achieve improved records and information management maturity in line with the above principles. The following action plan provides a roadmap to implement recommendations made in the Current State Assessment. Implementing the action plan will support compliance with NSW State Archives and Records Authority recordkeeping requirements.

3. IMPLEMENTATION OVERVIEW

The implementation plan is a program of improvements for information and records management (IRM) maturity across Council. The roadmap and implementation plan are comprised of 3 streams, over a 3-year period. Each stream comprises a series of work packages designed to improve information and records management practices.

The three streams are:

1. People & Governance
2. Systems & Business
3. Information Management

The following implementation plan comprises three parts:

1. Implementation strategy inclusive of:
 - a) High level implementation strategy, which outlines:
 - the project stream,
 - aims and objectives
 - work packages, and
 - outcomes
 - b) Roadmap at a glance, and
 - c) Implementation requirements.
2. Project implementation plan, which outlines:
 - a) Project streams and work packages,
 - b) Work package details:
 - Key tasks
 - Outputs / deliverables
 - Dependencies
 - Resources
 - Comms / Change Management
 - Priority
3. Appendices

4. IMPLEMENTATION STRATEGY

4.1 High-level Implementation Strategy

#	Project Stream	Aims & Objectives	Work Packages	Outcomes
1	People & Governance	<p>Development and implementation of appropriate governance tools, and embedding of good records management practices, to support more effective capture, use and management of records and information over time.</p> <p>This stream includes both ongoing and recurring activities related to:</p> <ul style="list-style-type: none"> • review and update of governance tools, • steering and monitoring of information governance program, • identification of Council information assets, 	<p>Work packages in this project stream include:</p> <ul style="list-style-type: none"> 1.1 Change Management 1.2 Governance Framework 1.3 Information Asset Register 1.4 IRM Governance Group 1.5 IRM Planning 1.6 IRM Roles & Responsibilities 1.7 IRM Training 1.8 Monitoring & Compliance 	<ul style="list-style-type: none"> • Change management activities for IRM improvements identified and planned for • Council staff have sufficient understanding of their information and records management responsibilities, and the skills to be able to meet these responsibilities • Council has a governed approach to creation, capture, use and management of information assets, and requirements for records and information management are clearly defined and communicated • IRM activities are planned for and routinely considered by a governance group

#	Project Stream	Aims & Objectives	Work Packages	Outcomes
		<ul style="list-style-type: none"> delivery of IRM training and aligning records management responsibilities with strategic, operational and personal work plans, and ongoing IRM outreach and engagement 	1.9 IRM Outreach & Engagement 1.10 Outsourcing & Contracts 1.11 IRM Resourcing	<ul style="list-style-type: none"> Council has greater visibility over owned information assets, ownership and information repositories Compliance with records and information requirements is routinely monitored and any gaps or issues addressed in a timely manner Council staff understand their records management responsibilities, and are held accountable for good records management practices Information and records management training is routinely delivered to staff Training addresses are range of skills and capabilities
2	Systems & Business	Development of a structured and governed approach to design and use of Council systems will support more consistent and effective management of records over time.	Work packages in this project stream include: 2.1 TechOne Governance	<ul style="list-style-type: none"> Corporate systems training is routinely delivered to staff to support ongoing use and learning

#	Project Stream	Aims & Objectives	Work Packages	Outcomes
		<p>Better systems design and governance, including systems training, will also ensure staff have a better understanding of appropriate use of systems for records storage.</p> <p>Documenting Council’s requirements for systems, including functional and metadata requirements, will ensure more consistent design and configuration of systems and aid interoperability. Having documented requirements will also support assessment of proposed new and existing systems to ensure they meet requirements, and allow identification of records management risks.</p>	<p>2.2 TechOne Implementation</p> <p>2.3 Microsoft 365 Design Solution and Governance Plan</p> <p>2.4 Migration Planning</p> <p>2.5 Security & Access Model</p> <p>2.6 Systems Training & Guidance</p> <p>2.7 Systems Procurement</p> <p>2.8 Systems Assessment</p> <p>2.9 Systems Documentation</p> <p>2.10 Business Process Mapping</p> <p>2.11 Metadata Schema</p> <p>2.12 Network Drive Shutdown</p> <p>2.13 Data Quality</p>	<ul style="list-style-type: none"> • Information and records management process improvements implemented • Council has a structured and governed approach to system governance and design, with records management requirements considered • Access to and security of Council’s systems and records is consistently managed • Council has a structured and governed approach to governance, administration and use of TechnologyOne • Council has a structured and governed approach to governance, administration and use of Microsoft 365 • Proposed new systems and existing systems are assessed against records management functional requirements

#	Project Stream	Aims & Objectives	Work Packages	Outcomes
				<ul style="list-style-type: none"> • Key business processes are understood and mapped to support process and records management improvements • Council's metadata needs are understood and documented • Quality of Council's data assets is understood • Decommissioning and migration of systems, including network drives, is planned for
3	Information Management	Increase the level of maturity for managing Council's hardcopy records. Consolidating repositories will assist in implementing better controls for tracking and storing physical records in Council's custody to more easily access and protect records.	Work packages in this project stream include: <ul style="list-style-type: none"> 3.1 Storage Area Assessment 3.2 Audit Storage Holdings 3.3 Storage Amalgamation 3.4 Disposal Guidelines 	<ul style="list-style-type: none"> • Council information assets are disposed of in a routine and timely manner, reducing overall storage and management costs. • Risks associated with Council records storage areas are known and mitigated where possible • Controls are in place to more effectively track and support access to physical records, with location of physical records in Council custody

#	Project Stream	Aims & Objectives	Work Packages	Outcomes
			3.4 Access Directions	<p>known</p> <ul style="list-style-type: none"> • Disposal requirements are known by general staff • Access Directions for Council records are current

4.2 Roadmap at a Glance

 People and Governance

 Systems & Business

 Information Management

Year 1

July 2022 – June 2023

-  Develop IRM change management plan
-  Establish IRM Governance Group
-  Update IRM policy
-  Establish information governance framework
-  Develop information asset register
-  Develop TechnologyOne governance
-  Review IRM resourcing requirements
-  M365 solution design and governance plan
-  Third-party vendor assessment
-  Migration planning & digital preservation
-  Develop security & access model
-  Systems Assessment
-  Business unit IRM process / practice improvements
-  Develop business process mapping
-  ECM Design & Configuration













Year 2

July 2023 – June 2024

-  Establish information governance framework
-  Develop information asset register
-  Develop IRM training plan and collateral
-  Establish information governance framework
-  Develop TechnologyOne governance
-  Migration planning & digital preservation
-  Develop security & Access model
-  Systems Assessment
-  Business unit IRM process / practice improvements
-  Systems Documentation
-  Develop business process mapping
-  Develop metadata schema
-  Develop network drive shutdown plans
-  ECM Design & Configuration






Year 3

July 2024 – June 2025

-  Develop IRM training plan
-  Develop IRM procedures & guidelines
-  Systems Documentation
-  Develop TechnologyOne governance
-  Migration planning & digital preservation
-  Business unit IRM process / practice improvements
-  Develop metadata schema
-  Develop network drive shutdown plans
-  ECM design & configuration
-  Systems Documentation
-  Develop security & access model
-  Update Access Directions

Year 4

July 2025 – June 2026

-  Establish compliance monitoring program
-  Identify IRM roles & responsibilities
-  Develop IRM procedures & guidelines
-  Update Access Directions
-  Develop disposal guidelines




 People and Governance

 Systems & Business

 Information Management

Year 5

July 2026 – June 2027

-  Systems Procurement
-  Storage Holdings Register
-  Storage Assessment

Year 6

July 2027 – June 2028

-  Establish compliance monitoring program
-  Develop outsourcing & contracts guidance
-  Systems Procurement
-  Develop data quality statements
-  Storage Holdings Register
-  Storage Assessment
-  Storage Amalgamation

4.3 Implementation Requirements

This implementation plan and roadmap requires clear prioritisation and support from Executive leadership for long term investments and ongoing management of the program and engagement of stakeholders to effect change. There are a number of key requirements for an effective implementation, such as:




- Resourcing with accountability / responsibility for project management and oversight of the program.
- Accountability for business owners in supporting / leading implementation of change activities at a local level.
- Ongoing budgets and funding.
- Work packages are run using project management methodology with clear activities, responsibilities, tasks, deliverables, scheduling, governance and reporting requirements.
- Where internal resources are used staff can focus on project activities and can be released from business-as-usual activities as required.
- Appropriate scoping and understanding of costs associated where external support is required to progress project activities.

It is important to note that while a number of project activities may be one-off, there are a range of ongoing or recurring activities that are required to support the embedding of an effective and compliant information and records management program at Council.

5. Implementation Plan


The implementation plan is comprised of project streams and work packages or projects, within each stream.



The implementation plan uses the following icons to indicate priority:



-  high priority
-  medium priority
-  low priority



5.1 Stream 1: People & Governance

#	Work Package	Key Tasks	Outputs / Deliverables	Dependencies	Resources	Communications / Change Management
1.1	Change Management Development of a change management plan (including required communication activities) to support implementation of information and records management improvement activities identified in this strategy.	Identification of key change and communication activities, and key stakeholders and change champions. Development of change management plan that identifies: <ul style="list-style-type: none"> - Desired changes in IRM behaviours and practices - Change model - Challenges - User adoption strategies - Roles and Responsibilities Develop a communication plan that identifies:	IRM Change Management Plan	Executive support	External support may be required to develop Change Management Plan	Communications with key stakeholders and change champions identified within the plan to raise awareness of change management and communications roles and responsibilities Communication of Change Management Plan to relevant internal stakeholders



#	Work Package	Key Tasks	Outputs / Deliverables	Dependencies	Resources	Communications / Change Management
		<ul style="list-style-type: none"> - Communication principles and goals - Stakeholder engagement communication channels - Targeted priorities 				for review / approval
1.2	Governance Framework  Development and implementation of appropriate guiding information governance framework, information and records management (IRM) policy and supporting procedures and guidelines.	Develop Council-wide Information Governance Framework that considers Council's approach to management of information assets across domains: <ul style="list-style-type: none"> - Information & Records Management - Information Security - Data Management - Privacy <p>Update the Information and records management policy to provide direction for the management of information assets including the creation, capture, management, use and disposal of records. Identify staff responsibilities in the policy including the Senior Responsible Officer (SRO).</p> <p>Review current procedures, update and develop new guidance as required to cover the following broad categories:</p> <ul style="list-style-type: none"> - Creation, capture and sharing of information 	Information Governance Framework Updated IRM Policy Supporting IRM procedures and guidelines	Executive support	External support may be required to develop / review framework, policy and other documents	Communication of proposed framework and policy documents to relevant internal stakeholders for review / approval Internal publication and communication of framework and policy to Council staff



#	Work Package	Key Tasks	Outputs / Deliverables	Dependencies	Resources	Communications / Change Management
		<ul style="list-style-type: none"> - Describing information - naming protocols - Disposing of information - Protecting information - Normal Administrative Practice <p>Develop business rules or short guides to cover a variety of recordkeeping aspects. Tailor these as needed to meet specific requirements. Undertake review processes with relevant stakeholders.</p> <p>Publish procedures to intranet for easy access.</p>				
1.3	Information Asset Register  An important tool in understanding where information assets are held,  sensitivity requirements, retention needs, custodians and owners and system of record.	Undertake a review of information assets, identifying high value / high risk assets Identify the types of information assets, system of record, owner, custodian, sensitivity, risk level and retention requirements Document in an information asset register: <ul style="list-style-type: none"> - The information asset - Business system, repository - Business owners, custodians - Security requirements - Recordkeeping requirements, that is, linked to business function / activity and retention requirements. 	Information asset register System owners and information custodians identified	IAR is recognised as a key organisational tool supporting Information Governance Framework (1.2)	External support may be required to develop IAR	Communications with information asset owners and custodians to provide information about expectations for notifying of changes to information assets Communications with IAR owner/s to outline responsibility for periodic review and update of IAR

#	Work Package	Key Tasks	Outputs / Deliverables	Dependencies	Resources	Communications / Change Management
		<ul style="list-style-type: none"> – Risks to information assets and determine mitigation activities. <p>Plan for periodic review of the IAR</p> <p>Identify responsibility and ownership of IAR</p>				
1.4	IRM Governance Group  Establishment of Council IRM governance group to consider and provide strategic direction on IRM matters and develop a collaborative approach to managing Council information assets.	<p>Identify scope of governance group, including roles and responsibilities for IRM activities such as framework and policy development and review, and maintenance of the information asset register</p> <p>Establish IRM governance group (SRO to chair) with membership inclusive of representatives from across Information Governance Framework domains and key business functions</p>	IRM governance group terms of reference	Information Governance Framework and supporting IRM Policy (1.2)	Internal membership from across Information Governance domains	Communication with members about scope of governance group, and roles and responsibilities
1.5	IRM Planning  Ongoing strategic and operational IRM planning to ensure IRM improvement and operational activities are clearly identified, and aligned to broader Council delivery and operational plans.	<p>Carry out routine IRM operational planning</p> <p>Carry out routine IRM strategic planning, and ensure strategic activities are aligned to / included in broader Council operational and delivery planning documents as required</p> <p>Identify resources required, including estimated budget, to support operational and strategic IRM activities</p>	IRM operational plan IRM strategic plan (In development)	Council delivery / operational plans	Planning to be carried out internally	<p>Communication with relevant stakeholders of roles and responsibilities for implementation of activities identified in operational and strategic IRM plans</p> <p>Communicating identified strategic</p>

#	Work Package	Key Tasks	Outputs / Deliverables	Dependencies	Resources	Communications / Change Management
						IRM activities to relevant internal stakeholders for inclusion in Council corporate planning instruments
1.6	 IRM Roles & Responsibilities Once roles and responsibilities for IRM are established, there is a need to ensure roles and responsibilities are clearly communicated and included in relevant governance / planning documents as required.	Inclusion of IRM responsibilities in position descriptions for all Council staff Update Code of Conduct to include IRM responsibilities Inclusion of IRM activities and responsibilities in business unit operational plans and staff member performance plans	Updated Code of Conduct Updated Position Descriptions Operational plans (inclusive of IRM activities) Performance plans (inclusive of IRM responsibilities / activities)	Information Governance Framework / IRM Policy and identification of roles and responsibilities for IRM (1.2)	Activities to be carried out internally	Communication with / to staff to raise awareness of their IRM roles and responsibilities Liaison with relevant internal stakeholders to ensure IRM responsibilities are included in relevant governance / planning documents
1.7	 IRM Training Training is a critical component of ensuring that staff understand their IRM roles and responsibilities, and are equipped with the skills to meet IRM	Develop IRM training plan including identification of: <ul style="list-style-type: none"> – identification of training needs and delivery modes, and responsibilities for training – training gaps relating to information and 	IRM Training Plan IRM training collateral Various training delivery methods	Information Governance Framework / IRM Policy and identification of roles and	External support may be required to support development of IRM training plan	Communication with relevant internal stakeholders to describe IRM training roles and responsibilities Communication with



#	Work Package	Key Tasks	Outputs / Deliverables	Dependencies	Resources	Communications / Change Management
	responsibilities. Training helps to embed a consistent and effective information management culture.	<p>records management</p> <ul style="list-style-type: none"> - stakeholder groups for training, - the best training methods to support the stakeholders to maximise the results - training materials required to support the framework e.g., onboarding, attestation, records and information management refreshers, targeted team session, hot topics etc. - how training will be delivered e.g., eLearning, face to face or a combination. - IRM training and guidance collateral <p>Deliver mandatory training for new starters and consider approach and collateral to meet various staff needs including:</p> <ul style="list-style-type: none"> - eLearning - Short videos for time poor staff - Step by step processes for key business activities - Face to face training sessions for recordkeeping basics and systems training - One on one sessions for systems training 	Training reports	responsibilities for IRM (1.2)	and collateral	<p>Executive / Managers regarding arrangements for or scheduling of training</p> <p>Communication with HR regarding alignment of training activities with other corporate training activities</p>

#	Work Package	Key Tasks	Outputs / Deliverables	Dependencies	Resources	Communications / Change Management
		Include systematic and regular monitoring of staff IRM awareness as part of monitoring program.				
1.8	 Monitoring & Compliance Ongoing monitoring and compliance of IRM program performance, risk identification will help to ensure that any issues or opportunities for improvement are identified and addressed in a timely manner.	Establish a monitoring and compliance program with controls and measures to review implementation progress, and effectiveness of IRM program Establish criteria for review and key performance indicators Carry out routine internal auditing and monitoring, including annual system health check Carry out routine assessment of IRM program against NSW State Archives and Records Authority RMAT tool Identify risks and develop plans for remediation of risks Assign responsibility for ongoing monitoring activities	Monitoring and compliance program supported by: <ul style="list-style-type: none"> - Audit / monitoring measures - Audit / monitoring reports - Performance reports - RMAT assessments - Risk management plans 	Information Governance Framework and IRM Policy (1.2) IRM governance group establishment (1.4)	External support may be required for development of monitoring criteria / KPIs	Communications with staff responsible for ongoing monitoring to outline roles and responsibilities Ensuring results of monitoring are reported to the IRM governance group to support identification and rectification of issues
1.9	 IRM Outreach & Engagement Ongoing Records Team outreach and engagement activities to support	Identification of need for outreach / liaison with business units through routine auditing / monitoring activities Ongoing outreach / liaison with business units to identify opportunities for improvements in	Business unit IRM process / practice improvements	Information Governance Framework and IRM Policy (1.2)	Activities to be carried out internally	Routine informal communications with business units



#	Work Package	Key Tasks	Outputs / Deliverables	Dependencies	Resources	Communications / Change Management
	implementation and adoption of improvements to information and records management practices.	information and records management Ongoing outreach / liaison with business units to provide support in adhering to roles and responsibilities		IRM auditing / monitoring measures (1.8)		
1.10	 Outsourcing & Contracts Inclusion of relevant recordkeeping requirements as part of outsourcing and contractual arrangements to ensure Council records are appropriately managed and available for as long as required.	Creation of standard recordkeeping clauses to be included in outsourcing agreements and contracts Ongoing inclusion of recordkeeping clauses in contracts Develop guidance for contractors regarding recordkeeping responsibilities	Recordkeeping contractual clause/s Executed contracts inclusive of recordkeeping clause/s Contractor recordkeeping guide	Information Governance Framework and IRM Policy (1.2)	Council's legal practitioners to develop clauses	Liaison with Council legal practitioners to develop clauses Communication with parties Council enters into agreements with to clearly articulate recordkeeping roles and responsibilities
1.11	 IRM Resourcing Consideration of resourcing required to support improvement of information and records management practices at Council is necessary to ensure sufficient resources and skills are available.	Review existing resourcing available, including staff resourcing, to determine whether resourcing is sufficient Where additional resources are required, develop business case for resourcing and seek approval through relevant internal channels	Resourcing review Resourcing business case	NA	Activities to be carried out internally	Liaison with relevant internal stakeholders regarding existing / proposed resourcing


5.2 Stream 2: Systems & Business



#	Work Package	Key Tasks	Outputs / Deliverables	Dependencies	Resources	Communications / Change Management
2.1	<p>TechnologyOne Governance</p> <p>With planned future use of TechnologyOne as a core corporate system supporting critical Council functions, it is of utmost importance that design, configuration and governance of the system is well planned for.</p> <p>For further information, see Section 5.2.1.</p>	<p>Identify relationship between existing modules and proposed future modules to determine any required changes to existing configuration</p> <p>Liaise with key internal stakeholders to determine business requirements for TechnologyOne, including any metadata or access requirements</p> <p>Map TechnologyOne metadata fields to fields in systems from which records will be migrated</p> <p>Identify any required integrations between TechnologyOne and other Council systems</p> <p>Identify specific recordkeeping requirements for TechnologyOne, including required metadata capture, custom indexes, security classes, etc.</p> <p>Develop system design documentation, and review with relevant internal stakeholders to identify any gaps</p> <p>Develop a TechnologyOne governance plan</p>	<p>TechnologyOne Governance Plan</p> <p>TechnologyOne system design and configuration documentation</p>	<p>Related to work package 2.2</p> <p>Assessment of TechnologyOne-ECM and M365 have been completed and decisions around migration of content from CM9 have been determined.</p> <p>Configuration should be informed by Business process mapping (2.10) and metadata schema (2.11)</p> <p>Configuration could be informed by security & Access</p>	<p>Vendor support will be required in developing relevant governance, design and configuration documentation</p> <p>Other external support may be required in determining requirements for system governance / design</p>	<p>Liaison with relevant internal stakeholders regarding system requirements</p> <p>Liaison with relevant internal stakeholders supporting identification of system requirements, and system implementation</p> <p>Sharing of draft system governance / design documentation with relevant internal stakeholders for review and approval</p>



#	Work Package	Key Tasks	Outputs / Deliverables	Dependencies	Resources	Communications / Change Management
		<p>which identifies system roles and responsibilities, change management processes, retention and disposal requirements, and other matters as required</p> <p>Implement system and document system configuration</p>		Model (2.4)		
2.2	<p>TechnologyOne Implementation</p> <p> There is a need to carry out appropriate planning to support implementation of the OneCouncil platform, and subsequent decommissioning of superseded corporate systems to ensure that records and associated metadata are migrated successfully and protected from loss.</p> <p> For further information, see Section .2.1.</p>	<p>Determine requirements and timeframe for TechnologyOne implementation, including required migration of data from other systems / integration with existing systems</p> <p>Develop TechnologyOne implementation plan</p> <p>UAT Testing. Develop a test plan that addresses the types of testing required, testing schedule, requirements, use cases, roles and responsibilities. Ensure enough time is allowed for testing configurations, integrations and data migrations.</p>	<p>TechnologyOne Implementation Plan</p> <p>UAT Test plan.</p>	Related to TechnologyOne governance (2.1)	<p>Vendor support will be required in developing both implementation and decommissioning plans</p> <p>Other external support may be required to support development of planning documents</p>	<p>Communications with Executive to seek authorisation for implementation and decommissioning plans</p> <p>Communications with relevant internal stakeholders regarding roles and responsibilities for systems implementation and decommissioning</p> <p>General communications with system users / Council staff about timelines for</p>



#	Work Package	Key Tasks	Outputs / Deliverables	Dependencies	Resources	Communications / Change Management
2.3	<p>Microsoft 365 (M365) solution design and governance</p> <p>Implementation of effective governance controls to ensure the M365 platform is well managed, including records stored in the platform.</p> <p>Design of M365 should be in line ISO16175 functional requirements</p> <p>For further information, see Section 5.2.2.</p>	<p>Develop a M365 solution design and governance plan, that details:</p> <ul style="list-style-type: none"> - Integration with other systems (including governance tools such as AvePoint or RecordPoint) - Operational roles and responsibilities for SharePoint, Teams etc., - The governance model, site owners etc, - Information architecture, - Use of functionality such as content types, labels, metadata, - Relationships / integration with other corporate systems, and - Operational procedures <p>Assessment of third-party products, including AvePoint and RecordPoint, that support M365 governance against Functional</p>	<p>M365 solution design and governance plan</p> <p>Third-party vendor assessment</p>	<p>Assessment of TechnologyOne-ECM and M365 have been completed and decisions around migration of content from CM9 have been determined.</p> <p>Configuration should be informed by Business process mapping (2.10) and metadata schema (2.11)</p> <p>Configuration could be informed by security & Access</p>	<p>External support may be required to develop and implement the M365 governance plan</p> <p>ISO16175 Information and documentation – Processes and functional requirements for software for managing records</p>	<p>Communications to staff about appropriate use of M365</p> <p>Liaison with relevant internal stakeholders regarding implementation of governance controls</p>


#	Work Package	Key Tasks	Outputs / Deliverables	Dependencies	Resources	Communications / Change Management
		Requirements for Managing Records in M365 (See section 5.2.2 for additional details).		Model (2.4)		
2.4	Migration planning and digital preservation  Planning for migration and system decommissioning is essential if Council is to ensure that high value / high risk information is retained and maintained for as long as required. 	Engage with the information technology team on migration plans for systems being decommissioned or upgraded and identify: <ul style="list-style-type: none"> - Records to be migrated / transferred - Metadata requirements - Retention requirements so that migration is linked to retention policies Develop system decommissioning and migration plans Test system migration plan Develop a preservation strategy and plan that identifies risks and mitigation activities associated with ensuring records are preserved for the period of time they must be retained. Identify mitigation activities including: <ul style="list-style-type: none"> - appropriate file formats for all 	System decommissioning and migration plans Migration test plans Migration test reports Preservation strategy	NA	External support may be required.	Liaison with relevant internal stakeholders and vendors where required.


#	Work Package	Key Tasks	Outputs / Deliverables	Dependencies	Resources	Communications / Change Management
		<p>records to ensure digital records remain readable</p> <ul style="list-style-type: none"> - identifying the metadata required to ensure records are accessible over time. - ensure digital records can be exported from systems with metadata <p>Use the governance group as a mechanism to facilitate engagement. System decommissioning, system upgrades should be agenda items as part of the oversight group.</p>				
2.5	<p>Security & Access Model</p> <p> Development and implementation of a functional security and access model will support more consistent application of role-based security and access permissions across Council systems and records repositories.</p> <p>Development of security and access related guidance for staff will also help to embed</p>	<p>Review existing security and access permissions across systems</p> <p>Develop a holistic security and access model that aligns roles to functional security groups with access to information assets and repositories relevant to the business function (e.g., an HR staff member will belong to the HR Functional Security Group, which has access to the HR system, employee related indexes and security groups in ECM, physical employee file storage areas)</p>	<p>Enterprise security & access model</p> <p>Security and access guidelines</p>	<p>Repositories identified in the IAR (1.3) may help inform development of security & access model</p>	<p>External support may be required for the development of the security & access model</p>	<p>Liaison with system owners and information custodians to determine system and information access requirements, and support implementation of security & access model</p> <p>Notifying any effected</p>


#	Work Package	Key Tasks	Outputs / Deliverables	Dependencies	Resources	Communications / Change Management
	understanding of the importance of, and requirements for, appropriately accessing, using and sharing information and records.	Develop security and access related guidance for staff				users of changes to security and access permissions
2.6	 Systems Training & Guidance Whilst IRM training is important in developing staff understanding of their information and records management responsibilities, there is a need to ensure appropriate training is provided in use of corporate systems to support capture and management of records.	Identify training needs for Council systems Identify responsibilities for development and delivery of systems training Develop systems training collateral Ongoing: delivery of onboarding and refresher systems training	System training needs assessment Systems training collateral	Council may wish to incorporate systems training needs in training plan identified in work package 1.7	Existing systems vendor training collateral should be leveraged where possible Vendor support may be required for development of training collateral	Liaison with system owners to identify / communicate responsibilities for systems training development and delivery Liaison with HR to ensure relevant systems training is part of new starter onboarding Communication with Executive / Managers regarding arrangements for or scheduling of training
2.7	 Systems Procurement Development and implementation of	Develop a set of minimum functional specifications, inclusive of recordkeeping and technology requirements, to support	Minimum system functional	NA	ISO16175 Information and documentation –	Communicate to relevant internal stakeholders change

#	Work Package	Key Tasks	Outputs / Deliverables	Dependencies	Resources	Communications / Change Management
	 <p>appropriate mechanisms to support assessment, evaluation and procurement of new systems (both on premise and cloud based).</p>	<p>assessment of proposed new systems (Developed as part of this project)</p> <p>Include Business Intelligence, IT and the Records Team in panels for assessments of new systems to support assessment against minimum functional requirements</p> <p>Develop a requirements statement that vendors can respond to.</p> <p>Update any systems procurement related internal guidance (where relevant)</p>	<p>requirements list</p> <p>Ongoing: Completed system assessments for proposed new systems</p>		<p>Processes and functional requirements for software for managing records</p> <p>Internal resourcing to carry out identification of technical functional requirements</p>	<p>in systems procurement process</p>
2.8	 <p>Systems Assessment</p> <p>Carrying out assessment of systems (with priority to systems containing high-value or high-risk information assets) to ensure they meet NSW State Archives & Records Authority minimum compliance requirements. Priority should be given to assessing TechnologyOne and M365 to decide suitability of systems for managing records.</p>	<p>Carrying out assessment of corporate systems against ISO Functional Requirements.</p> <p>Configure system capabilities (where possible) to bring system into alignment with minimum compliance requirements</p> <p>Developing strategies for protecting high-value / high-risk information assets where systems are unable to meet compliance requirements (e.g., migrate / capture records for long-term management)</p>	<p>Completed system assessment checklists</p> <p>Updated system design / configuration documentation (where changes are made to system configuration)</p> <p>System recordkeeping strategy / planning</p>	<p>IAR (1.3) will support identification of repositories with high-value / high-risk information assets for prioritisation of assessments</p>	<p>ISO16175 Information and documentation – Processes and functional requirements for software for managing records</p> <p>System vendor support, or other external support, may be required</p>	<p>Liaison with system vendors where required for information gathering</p> <p>Liaison with internal system owners / information custodians to support system assessments, and implementation of any required system configuration changes</p>

#	Work Package	Key Tasks	Outputs / Deliverables	Dependencies	Resources	Communications / Change Management
		Annual re-assessment of systems (or assessment in line with major system changes such as upgrades)	documents (where required)		in undertaking assessment of systems	Liaison with system owners / information custodians to develop system recordkeeping strategies / plans (where required)
2.9	 System Documentation Centralising storage of Council system governance and design documentation and, where gaps in documentation exist, developing system governance and design documentation for core Council systems.	Centralising storage of existing system governance and design / configuration documentation Identifying gaps in system governance and design / configuration for core Council systems Documenting / updating system design / configuration of existing core systems, inclusive of recordkeeping functionality and information architectures Developing / updating system governance plans for core Council systems, inclusive of recordkeeping functionality and information architectures	Core system governance plans and system design / configuration documentation	TechnologyOne and M365 governance and design documentation considered in work packages 2.1 & 2.3	System vendor support, or other external support, may be required in developing system governance and design documentation	Liaison with system owners / information custodians to support development of governance and design documentation
2.10	 Business Process Mapping High level business process mapping to support identification of opportunities	Engage with teams to map business processes. Conduct workshops Review & map high risk / high value business processes	Business process maps identifying: – Records created	Related to work package 2.1 and 2.2	External support may be required to support business process	Communication with identified stakeholders regarding information / input required to

#	Work Package	Key Tasks	Outputs / Deliverables	Dependencies	Resources	Communications / Change Management
	for improved information management practices, including appropriate points of capture for records and information supporting business processes. This should also include business process where there are ongoing or routine sharing requirements.	Identify opportunities for automation of approval processes through application of workflow and use of digital signatures.	<ul style="list-style-type: none"> - Approval points - Business function / activity supported - System of capture - Security & access requirements - Sharing requirements - Metadata requirements 	Process mapping should feed into TechnologyOne profiles	<p>mapping activities</p> <p>IT input on workflow capability for automation</p>	<p>support business process mapping</p> <p>Sharing process maps with relevant internal stakeholders</p>
2.11	 Metadata Schema Metadata schemas support consistent use and application of metadata across systems, which in turn supports search and discovery and interoperability.	Develop a metadata schema that outlines the metadata requirements for the organisation's information assets based on AGRkMS, AGLS, and metadata specific to MRC Identify what metadata is necessary for the creation, capture and management of authoritative records	Metadata schema	Related to work package 2.1 and 2.3 Metadata schema should feed into	External support may be required to support development of metadata schema	Liaison with internal stakeholders and system owners to identify existing metadata use and requirements

#	Work Package	Key Tasks	Outputs / Deliverables	Dependencies	Resources	Communications / Change Management
		Identify what metadata support Council's recordkeeping and business requirements. Develop a Council metadata scheme that includes: <ul style="list-style-type: none"> - Information categorisation (BCS) - Access and security controls - Encoding schemes for commonly used terms - Naming protocols - Retention controls 		TechnologyOne and M365 design		
2.12	Network Drive Shutdown  Shutting down and transitioning away from use of the network drive, including migration of network drive content, will require sufficient planning and resourcing to be successful.	Develop network drive shutdown plan, which gives consideration to: <ul style="list-style-type: none"> - Mapping to M365 repositories - Requirements for 'tidy up' of records - Migration of content to M365 - Roles and responsibilities, and business unit involvement 	Network drive shutdown plan	Development of M365 governance plan and information architecture (see work package 2.3) May be included in system decommissioning and migration plans identified in work package 2.2	External support may be required to support development of network drive shutdown plan, and migration activities	Liaison with internal stakeholders regarding requirements for network drive shutdown and use of M365 as replacement Routine communications to staff about shutdown, and staff role in supporting shutdown
2.13	Data Quality	Create Data Quality Statements for Council data	Data quality	IAR (1.3) will	Activities to be	Liaison with data set

#	Work Package	Key Tasks	Outputs / Deliverables	Dependencies	Resources	Communications / Change Management
	Developing a better understanding of Council data assets will support identification of whether data is fit for purpose, how the data can be used and how it may compare to similar data held by other government bodies.	assets, using the Data.NSW Data Quality Reporting Tool	statements	support identification of data sets	carried out internally	owners / custodians

5.3 TechnologyOne

Council intends on expanding use of TechnologyOne offerings through the implementation of the OneCouncil platform. Given the implementation of OneCouncil will also include the decommissioning of a number of key corporate systems, there is a need to ensure that the OneCouncil implementation is well planned for. This includes:

- Developing an implementation plan and timeline, which identifies key stakeholders and change agents and required internal resourcing requirements, and incorporates appropriate consultation with business stakeholders (including user acceptance testing)
- Developing a change management strategy to support change activities, given the significant impact of such largescale change in systems
- Developing a holistic system design and configuration approach and documentation, including identifying roles and responsibilities for ongoing administration and maintenance of the system
- Understanding the relationship between existing modules and those to be implemented, and any requirements for changes to configuration of existing modules to support implementation of new modules
- Understanding the relationship between OneCouncil and Council's broader information environment, and developing sufficient guidance as to which systems support particular business activities and which records, they should store
- Identifying business recordkeeping requirements and use cases to inform system design and configuration decisions (such as implementation of custom indexes, establishing workflows and development of system Quick Add Profiles)
- Identifying records and associated metadata stored in existing systems (such as CM9, and Civica Authority) that require migration to the TechnologyOne environment, and carrying out appropriate planning to ensure migration can occur without loss of records and any associated metadata
- Planning for capture of any records saved in existing modules to ECM to support ongoing management
- Identifying required integration between TechnologyOne and other line of business systems
- Identifying any required third-party tools, or additional TechnologyOne tools, to support integration (such as the [RedOffice](#) Microsoft Office and TechnologyOne add-in)
- Developing a UAT Test plan that will take a risk-based approach to the testing of the design, configuration data migrations etc.
- Developing a strategy for OneCouncil use, including developing sufficient guidance and training material to support uptake and appropriate use of the solution
- Delivering communications and training to staff in the lead-up to and after rollout of new modules
- Providing Business Intelligence staff, and identified module owners, training to support ongoing administration and use of the OneCouncil platform

OneCouncil is a complex solution that requires a significant amount of planning and forethought prior to roll-out to support system design and configuration, and uptake and use. Given the complexity of the solution, and added complication of some modules having already been implemented without a holistic plan and approach for implementation, it is strongly recommended that Council consider seeking the services of an external vendor to lead and support any further implementation.

Without sufficient planning, resourcing (both internal and external), TechnologyOne expertise, and engagement with stakeholders there is risk that the OneCouncil solution will fail to meet both business

and recordkeeping requirements. This could lead to similar levels of dissatisfaction felt by staff regarding the existing EDRMS CM9, and result in staff continuing to overly-rely on network drives, Outlook and hardcopy records to support business activities.

The scale of the OneCouncil implementation, and corresponding decommissioning of other line of business systems, is significant and requires adequate internal and external resourcing to ensure that existing records and associated metadata are protected from loss and that OneCouncil can support ongoing capture and management of records in line with business and recordkeeping requirements.

5.4 Microsoft 365 + 3rd party governance

Given Council's plan to increase usage of the M365 platform to support capture and sharing of records, there is a need for Council to establish a broader governance plan for the platform and implement more advanced governance controls within the environment to support more effective management of records and information.

This governance plan should cover topics including:

- Governance model for MRC environment
- Roles and responsibilities within environment
- Approach to change management (M365 an evergreen environment and there is a need to monitor upcoming changes so that amendments to system configuration can be made where required)
- Approach to creation and decommissioning of SPO sites, Teams and Groups
- Configuration and design decisions relating to solution capabilities and information architecture
- High-level overview of access model and permissions
- Security and compliance governance controls (such as retention policies and data loss prevention policies)
- Storage requirements / limits
- Service management and support
- Monitoring and reporting

Council is currently using E3 licensing to support its M365 environment, there are limitations on governance controls and functionality available in the M365 Security and Compliance Centre. This must be factored into Council's M365 Governance Plan. Specific records management governance limitations due to licensing include:

- Inability to implement event-based retention (e.g., Destroy 7 years after expiry of agreement, or Destroy 75 years after date of birth),
- Lack of disposition review feature with retention labels (i.e., ability to identify records past their retention period, and either approve destruction, extend retention, or apply a different retention label),
- Inability to automate application of retention labels based on conditions, and
- Inability to apply [audit log retention policies](#) (with E3 licensing unified audit log data is only retained for 90 days).

M365 as a standalone platform does not satisfy all functional requirements for a system used for recordkeeping. There are a range of vendors, including AvePoint and RecordPoint, that offer products and services that integrates with M365 to provide functionality that enables SharePoint to be used as a repository that meets recordkeeping requirements and best practice standards. Following is a short explanation of each of these vendor options.

AvePoint

AvePoint offers Cloud Records to establish the information governance when SharePoint is adopted as the corporate repository. AvePoint also provides associated tools that:

- Integrates Outlook with SharePoint to enable the capture of email seamless through Office Connect, and
- Facilitates the migration of records from network drives to SharePoint using Fly Migrator. An archiving tool to automatically move content to a secure location for future retention or secure disposal.
- Easily manage digital and physical content in a centralised platform.

Cloud Records

Cloud Records allows automation of business rules to manage content created and captured in M365 through the application of governance rules built within the Cloud Records solution. Cloud Records works with a robust information architecture in M365 to automate the application of the rules with minimal end user effort. Cloud Records can be configured to operate controls in the original application (e.g., Outlook) or move items to SharePoint Online. Cloud Records supports metadata and full text searching, role-based security, audit and dashboard reporting.

Office Connect

Office Connect enables the merging of content from Microsoft Outlook, Office, and Windows File Explorer into SharePoint and Office 365. Office Connect allows users to drag and drop emails or email attachments directly from Outlook into SharePoint, maintaining all associated metadata

AvePoint Fly Migrator

Fly Migrator consolidates and migrates on-premises Exchange, SharePoint, and file shares, or other cloud content in Microsoft Teams and other repositories into Microsoft 365 cloud.²




RecordPoint


Records365, is an information and records management software solution that helps organisations manage their regulatory, legal, and information governance requirements for electronic and physical content. Records365 provide connectors to a variety of content sources, including SharePoint, file shares, , Exchange Online to enable the “in-place” management of records in these location by the application of governance rules.

Key features of Records365 include:

- Rules are used to evaluate content created within SharePoint to identify how to classify, retain and treat content. Rules tie together one or more patterns with a specific outcome.
- Classification - Build your business classification scheme. Disposition schedules can be updated centrally for any records in SharePoint and/or Office 365.
- Appropriate security and auditing are crucial for a compliant records system. RecordPoint extends the SharePoint security model and in-built audit tracking by adding additional features to maintain the integrity of records.
- Centralised Dashboard - Monitor and assess adherence to policy objectives and compliance rules.

5.5 Stream 3: Information Management

#	Work Package	Key Tasks	Outputs / Deliverables	Dependencies	Resources	Communications/Change Management
3.1	Storage Assessment  Understanding and assessing the risks associated with hardcopy records storage locations is an important step in determining the suitability of storage locations. Use of suitable storage locations is critical to the protection and ongoing use of records.	Assessment of hardcopy records storage locations using compliance requirements identified in the NSW State Archives and Records Authority Standard on the physical storage of State records Address compliance gaps identified in hardcopy records storage assessment	Completed hardcopy records storage assessments	NA	Activities to be carried out internally	Communication with information custodians where owned physical records may need to be relocated
3.2	Storage Holdings Register  Having up-to-date hardcopy records register, inclusive of baseline metadata requirements, will support consistent retrieval, use and disposal of Council's hardcopy records.	Review, audit and update current hardcopy record register of hardcopy records stored at all locations Ensure register includes baseline metadata: Unique identifier Description Business owner Disposal class Disposal due date	Updated hardcopy records register	NA	Activities to be carried out internally	Liaison with record business owners as required
3.3	Storage Amalgamation  Having disparate stores of hardcopy records can make retrieval and management of records over time more challenging and costly. Amalgamation of storage repositories, where possible, would allow more consistent retrieval and management of records.	Identify and process records due for disposal in all storage facilities. Assess viability / value of amalgamating remaining hardcopy records to one storage location Develop plan for amalgamation where required Implement amalgamation	Records disposal report Storage amalgamation assessment Storage amalgamation plan	Updated hardcopy records register would support assessment (see work package 3.3)	Assessment to be carried out internally If amalgamation proceeds, external support may be required	Liaison with record business owners as required. Communication with information custodians to seek authorisation for disposal activities
3.4	Disposal Guidelines	Develop Retention & Disposal Guidelines, inclusive of normal administrative practice	Retention & Disposal	NA	Activities to be carried out	Communicate with staff where to find the

	Helping staff to identify low-value and short-term information as well as high value information will assist the Council in meeting it's recordkeeping obligations.	and records transfer.	Guidelines	internally	guidelines.	
3.5	<p>Access Directions</p> <p>Review, update and expansion (where required) of Council's access directions to ensure records of Council are sufficiently covered and access directions appropriate.</p>	Review, update and expansion (where required) of Council's access directions	Updated access directions	Information Asset Register may help inform access direction review (1.3)	Activities to be carried out internally	<p>Liaison with NSW State Archives and Records Authority regarding access directions review and update</p> <p>Liaison with information custodians to determine access requirements</p>

6. Appendix 1: Related Documents

Related documents are provided as attachment to this strategy and roadmap report.

Document	Description
Information Management Roadmap	Roadmap detailing timeframes for work packages identified in this strategy. This document is to be read in conjunction with this strategy document.
Functional Requirements	ISO16175 and business functional requirements to support assessment and design of systems. These requirements should inform configuration of Council's chosen solution after decommissioning of the existing Content Manager 9 and Civica Authority.

7. Appendix 2: Recommendations Mapping

#	Recommendation	Related Work Package/s
1	Develop an information asset register that: <ul style="list-style-type: none"> • Defines information assets • Identifies custodians of information assets • Identifies owners of systems • Establishes a risk profile for information assets • Identifies recordkeeping retention requirements • Establishes responsibilities of information asset owners 	1.3
2	Assign SRO responsibilities to senior member of the leadership team	1.2
3	Assign SRO to lead a governance forum ensuring compliance with legislation and standards.	1.4
4	Develop a governance structure with a cross functional membership, including representatives from <i>Business Intelligence, Technology and Digital Services</i> , core business teams and chaired by the SRO (<i>Director of Corporate Services</i>), that will provide strategic direction for information and records management.	1.4
5	Develop a Information and Records Management Strategy and Roadmap (Under development).	Ongoing strategic planning, 1.5
6	Develop an information and records management framework that establishes the organisations long term visions and goals, and identifies the strategies to meet them.	1.2
7	Develop framework guidelines to create a suite of guidance for staff so they understand how records should be managed and where records should be captured. Guidance may include, but is not limited to: <ul style="list-style-type: none"> • What records should be captured and into what authorised systems. • Management of email as business records • Management of digital records. • Information access • Digitising hardcopy documents • Use of network drives • Use of Microsoft Teams including chats, collaboration and sharing etc. • Preservation of digital records. • Scanning requirements • Digitisation planning • Decommissioning of systems • Normal Administrative Practice (NAP) 	1.2

#	Recommendation	Related Work Package/s
	<ul style="list-style-type: none"> Transfer of records to NSW State Archives Retrieval, handling, safe transport of records. 	
8	Review and update the current Information and Records Management Policy ensuring staff clearly understand what is expected from them when managing the organisations information assets.	1.2
9	Develop a change management plan that incorporates communications and ongoing training to achieve staff awareness of core organisational recordkeeping expectations and understandings	1.1
10	Create a training plan and develop training material for information and records management, focussed both on compliance, system training business rules and protocols. Optimise business partnering for tailored sessions.	1.7
11	Ensure delivery of mandatory training for new starters and consider making this training an annual event for all staff as a refresher	1.7
12	Include recordkeeping responsibilities in role descriptions and performance review processes to ensure accountability and assist in the understanding of responsibilities.	1.6
13	Acquire additional resources to support the improvement of records management practices at the Council.	1.11
14	An information and records management specialist should be involved in discussions, as part of the governance group, regarding new systems or system redesign where high value, high risk records will be managed to ensure functional requirements can be addressed.	2.6
15	Develop a monitoring and compliance program to assist the Council in ensuring the level of information management maturity is always improving.	1.8
16	Program an annual system health check review as part of the monitoring and compliance program. Recordkeeping functionality advice and input into information architectures and solution design for current and new systems	1.8
17	Include recordkeeping functionality in information architectures and solution design for current and new systems	2.1, 2.3, 2.7, 2.8, 2.10 & 2.11
18	Develop a governance model for M365 based on ADRI's Functional Requirements for Managing Records in M365.	2.3, 2.10 & 2.11
19	Ensure staff guidelines cover organisational security and access requirements including: Reporting Identification, protection and management of sensitive information	2.5
20	Develop a metadata schema that outlines the metadata requirements for the organisation's information assets based on AGRkMS, AGLS, and metadata specific to MRC.	2.1, 2.3 & 2.11
21	Undertake a comprehensive assessment of all business systems against SARA's Checklist for assessing business systems.	2.8
22	Include business system audit and assessment as part of an annual compliance program.	2.8
23	Ensure framework documentation includes business rules, procedures and other control mechanisms to ensure accuracy and quality of records created, captured and managed.	1.2
24	Plan to shut down shared drives	2.12
25	Develop business process mapping to determine requirements for capture of records.	2.1, 2.3, 2.10, 2.11

#	Recommendation	Related Work Package/s
26	Review Data.NSW's Data Quality Reporting Tool and NSW Government Open Data Policy	2.13
27	Develop functional specifications based on <i>ISO 16175 Part 1: Functional requirements and associated guidance for any applications that manage digital records</i> , for implementation of new systems or upgrading of current systems (Under development as part of current project.)	2.7
28	Explore third party products, including AvePoint and RecordPoint, that will integrate with M365 to provide governance over Council records	2.3
29	Identify Council's unique metadata requirements for functional requirements (Under development as part of current project)	2.7
30	Document all system configuration designs.	2.9
31	Develop system migration plans for systems to be retired.	2.4
32	Test system migration plans in a test environment before finalisation in a production environment.	2.4
33	Plan for decommissioning of systems and the migration of high risk, high value information from these systems to prevent technological change from compromising the accessibility or usability of information.	2.4
34	Review, audit and update current hardcopy record register of hardcopy records stored at all locations	3.2
35	Update hardcopy record register with base line metadata requirements including unique identifier, description, business owner, retention and disposal authority class, date due for destruction.	3.2
36	Conduct an assessment of the facility storing physical records using SARA's: <i>Standard on the physical storage of State records</i> .	3.1
37	Consider amalgamating the two significant storage locations to Mathoura which is the closest to the Records Team based in Moama.	3.3
38	Provide guidance to staff on what records can be destroyed according to NAP.	3.4
39	Develop additional access directions where required	3.5

1. DOCUMENT CONTROL

Adopted by the CEO under Delegated Authority:

Version No.	Details	Dates	CM9 Reference
1	Initial Issue	DRAFT	
This procedure was adopted by the CEO, Terry Dodds			Date:

Council reserves the right to review, vary or revoke this procedure at any time

This procedure is scheduled for review in line with the Information and Records Management Policy.

NOTE: This is a controlled document. If you are reading a printed copy please check that you have the latest version by checking it on Councils Electronic Document system. Printed or downloaded versions of this document are uncontrolled.

DISCLAIMER: This document was formulated to be consistent with Murray River Council's legislative obligations and with the scope of Council's powers. This document should be read in conjunction with relevant legislation, guidelines and codes of practice. In the case of any discrepancies, the most recent legislation should prevail. This document does not constitute legal advice. Legal advice should be sought in relation to particular circumstances and liability will not be accepted for losses incurred as a result of reliance on this document.

Annex 3: Information & Records Management Policy

Annex 4: Project Management Framework (and Related Documentation)

MURRAY RIVER COUNCIL
OPERATIONAL POLICY

**INFORMATION
&
RECORDS
MANAGEMENT
POLICY**

POL-207.V#2



murray river
council

1. INTRODUCTION

This Information & Records Management Policy (the 'Policy') is to ensure the safe custody and proper preservation of Murray River Council (the 'Council') records as required by legislation.

As a public authority, Council has obligations under the State Records Act 1998 to maintain recordkeeping compliant with that Act. Council must ensure:

- › Records are made;
- › Records are accurate;
- › Records are authentic; and
- › Records have integrity.

2. OBJECTIVES

The purpose of this Policy is to ensure that full and accurate records of all activities and decisions of Council are created, managed, and retained appropriately, and in accordance with relevant legislation. This will enable Council to achieve accountability and ensure that Council employees can easily access information, and the rights and interests of the organisation, its employees, customers, and the community are protected.

3. SCOPE

All Council Officers - employees, contractors, volunteers, and consultants must comply with this Policy and the associated Information and Records Management Business Rules, Procedures and Disposal Procedures in their conduct of official business for Council.

This Policy applies to records in all formats, including electronic records.

4. LEGISLATION

Council is committed to promoting consistency and accountability by managing its records in accordance with the following legislation and regulations:

- › Archives Act 1983 (CTH)
- › Copyright Act 1968 (CTH)
- › Electronic Transactions Act 2000 (NSW)
- › Environmental Planning & Assessment Act 1979 (NSW)
- › Evidence Act 1995 (CTH)
- › Government Information (Public Access) Act 2009 (NSW) (GIPA)
- › Health Records Information Privacy Act 2002 (NSW) (HRIPA)
- › Limitation Act 1969 NSW)
- › Local Government Act 1993 (NSW)
- › Privacy & Personal Information Protection Act 1998 (NSW) (PPIPA)
- › Public Service Act 1999 (CTH)
- › State Records Act 1998 (NSW) (including standards and retention & disposal authorities issued under the Act)
- › Work Health & Safety Act 2011 (NSW & CTH)

5. POLICY STATEMENT

Council is committed to:

- ▶ Meeting its responsibilities under the State Records Act 1998 and relevant standards;
- ▶ Implementing best practice in its information and records management system;
- ▶ Continuing to utilise an effective Recordkeeping system as its electronic document record management system (EDRMS); and
- ▶ Ensuring that recordkeeping systems used will support records that are full and accurate, authentic, accessible, reliable and useable and which are secure against unauthorised alteration and destruction.

Council recognises that records are a vital asset for ongoing operations, providing valuable evidence of business activities and decisions.

5.1 Information management / Recordkeeping systems

The management of records is an essential part of any organisation, and a well organised record system not only provides a capable and cost effective service for the general public, but also provides an effective and efficient workflow system for employees. Good record management practices are vital for the ongoing day-to-day Council business activities and for internal and public accountability.

Council records are both electronic and paper and they need to fully support Council's business activities, accountability and cultural and historical heritage. Council uses an EDRMS for storage of electronic records. The EDRMS is used to manage the registration, tracking, retrieval, workflow, security, storage and archiving of Council's files and documents.

A comprehensive Information and Records Management Program is being developed to ensure that Council follows sound procedures for the creation, maintenance, retention and disposal of records and meets its legislative responsibilities in respect to information and records management.

Council's record management is concerned with:

- ▶ Managing records from the time they are created, for as long as they are required;
- ▶ Designing and managing systems to ensure that records are authentic and reliable;
- ▶ Providing a service to meet the needs and protect the interests of the organisation, its employees, and its clients;
- ▶ Capturing complete, accurate, reliable, and useable documentation to meet accountability requirements; and
- ▶ Managing records as an asset and information resource.

The major activities within Council's record management are detailed in the Information Management Business Rules document and can be summarised as follows:

5.1.1 The capture of records

Ensuring that all activities that need to be documented are captured as records and stored physically or electronically, regardless of their format. These records must be accurate and authentic with procedures in place to ensure their integrity.

5.1.2 Control and accessibility of records

Establishing physical and intellectual control over records once they have been created to ensure that they can be easily found, retrieved and used and ensuring that records are easily accessible to users within and outside the organisation.

Unauthorised access, alteration, deletion or destruction of records is forbidden.

5.1.3 Appraisal and disposal of records

Ensuring that record disposal is carried out systematically and in a controlled manner in accordance with Council’s disposal procedures, in conjunction with General Retention and Disposal Authority for Local Government Records GA39, NAP (Normal Administrative Practice) and General Retention and Disposal Authority for imaged records GA36.

5.1.4 Maintenance of records

Ensuring that records are protected, preserved, housed appropriately and managed for as long as they are required, including maintaining the authenticity and integrity of records and restricting access to confidential files.

5.2 Depository for corporate records

The EDRMS is Council’s main depository for corporate records, however, it is not the only depository. Other areas of Council’s corporate records include:

- ▶ Technology One, Civica Authority, GIS, MapInfo, IntraMaps and other software programs
- ▶ On-site hardcopy records including legal documents, development applications, maps and plans, and personnel records
- ▶ Records storage shed houses archived old general files and records awaiting disposal
- ▶ Off-site State Records housed at Wagga Wagga Storage Repository and old personnel files awaiting disposal.

Adherence to Council’s Record Management Program will ensure that all record obligations are met. The Information and Records Management Program has been designed to support the principles of State Records Standard No. 12, namely:

- ▶ Is directed by policy;
- ▶ Is planned;
- ▶ Is staffed with skilled people;
- ▶ Is implemented; and
- ▶ Is monitored and reviewed.

6. RESPONSIBILITIES

This Policy applies to all Council employees engaged in any business and administrative functions for Council (regardless of physical location), including Councillors.

Position	Responsibility
Chief Executive Officer	<p>Ensures that Council complies with:</p> <ul style="list-style-type: none"> ▶ the requirements of the State Records Act 1998 and the standards and requirements issued under the Act. ▶ other legislation relating to information and records management and recordkeeping.
Director Corporate Services	<ul style="list-style-type: none"> ▶ Ensures that information and records management is adequately resourced. ▶ Represents information and records management interests at the Management Executive (ELT) level. ▶ Ensures Council’s compliance with the <i>State Records Act 1998</i> and the standards and requirements issued under the Act.

	<ul style="list-style-type: none"> ▶ Is the Senior Responsible Officer (SRO) within the organisation who has been assigned strategic and managerial responsibility for records and information management. The SRO is responsible for ensuring that records and information management is in place and operating effectively to support business operations.
Records Team Leader	<ul style="list-style-type: none"> ▶ Ensures that Council protects State Records in its control and maintain accessibility to equipment/technology dependent records and assist with providing an effective disaster recovery plan to protect Council's vital records. ▶ Responsible for the review of Council's Record Management Program annually, or as required by the introduction of, or changes in, legislation, technology and regulations. ▶ Operationally responsible for the efficient management of Council records (physical and electronic) incorporating sound record keeping principles and information and records management best practice guidelines. ▶ Identifies Council's vital records – creating and maintaining a register of such records. ▶ Provides assistance to Council employees in fulfilling their record keeping responsibilities and to provide advice and training as an ongoing process. The Records Team Leader is responsible for the training of all new employees and to ensure that follow-up training is given to all employees as needed.
Managers and Staff	<ul style="list-style-type: none"> ▶ Managers and staff, as public sector employees, need to be aware of record keeping requirements that affect the performance of their duties and maintain confidentiality of Council records, where appropriate. ▶ Have responsibilities to report and capture corporate memory. Staff that are allocated a EDRMS user profile are expected to comply with Council's <i>Information Management Business Rules</i>. In particular, they are expected to be able to: <ul style="list-style-type: none"> ▪ manage their 'In or Due Tray'; ▪ register corporate record documents (paper or electronic) that they receive into the recordkeeping systems; ▪ workflow a document to another staff member; ▪ effectively search for information in EDRMS; ▪ make records to support the conduct of their business activities; ▪ learn how and where records are kept within Council; ▪ not destroy Council records without authority from the Records Officer; ▪ not lose records or transfer possession or ownership of records; ▪ be aware of record management procedures ▪ files must be returned to the Records Officer as soon as action on the file is completed; ▪ must not alter or damage a State Record; and ▪ must use naming conventions as per Council's <u>Information Management Business Rules</u>.

7. EVALUATION AND REVIEW

It is the responsibility of the Records Team Leader, in conjunction with the Senior Responsible Officer, to monitor the adequacy of this Policy and recommend appropriate changes.

This Policy will be formally reviewed every four (4) years or as needed, whichever comes first.

8. ASSOCIATED DOCUMENTS, DEFINITIONS & ACRONYMS

External References

- Public Sector - Code of Ethics and Conduct
- NSW Ombudsman - Good Conduct & Administration Practice: Guidelines for Public Authorities & Officials
- NSW State Records - Guideline 3 – Destruction of records
- AIIM (Association for Information & Image Management) - Approach to Information Governance ARMA International (2009)
- Australian Standard ISO 15489 - Information & Records Management
- Australian Standard ISO 16175 - Digital Information & Records Management Systems
- Australian Standard ISO 23081 - Metadata for Records

Internal References

- MRC Policy - Code of Conduct (POL-100)
- MRC Policy - Information Security Policy (To be Adopted)
- MRC Policy - Privacy Management Plan (POL-206)
- MRC Framework - Information Governance Framework
- MRC Plan - Information & Records Management Strategic Plan (To be Adopted)
- MRC Procedure - Information Management Business Rules
- MRC Procedure - Security & Access Procedures
- MRC Procedure - Archiving & Disposal Procedures

Definitions

Term	Definition
Council Officer	<p>An officer is defined as being one of the following:</p> <ul style="list-style-type: none"> ‣ An employee, or ‣ A contractor or subcontractor, or ‣ An employee of a contractor or subcontractor, or ‣ An employee of a labour hire company who has been assigned to work in the person's business or undertaking, or ‣ An outworker, or ‣ An apprentice or trainee, or ‣ A student gaining work experience, or ‣ A volunteer

9. DOCUMENT CONTROL

Version No.	Details	Dates	CM9 Reference	Resolution No.
1	Initial Issue	15 Sept 2017 to 15 Jul 2019	VF/17/102820	N/A
1.1	Reformatted into Council's adopted policy template	15 Jul 2019 to 24 Jan 2023	VF/17/102820	N/A
2	Reviewed	24 Jan 2023 to	VF/17/102820	

Council reserves the right to review, vary or revoke this policy at any time
This Policy is scheduled for review in before 2026

NOTE:

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DISCLAIMER:

This document was formulated to be consistent with Murray River Council's legislative obligations and with the scope of Council's powers. This document should be read in conjunction with relevant legislation, guidelines and codes of practice. In the case of any discrepancies, the most recent legislation should prevail. This document does not constitute legal advice. Legal advice should be sought in relation to particular circumstances and liability will not be accepted for losses incurred as a result of reliance on this document.

Annex 5: Risk Management Policy & Framework

Murray River Council

Project Management Framework

Program Management Office

Release Date	29/06/2021
CM9	DOC/20/40766
Version	Final

Document Management

Version Control

Version	Date	Change Description	Author(s)
1.0	15/3/19	Draft for review and feedback	Scott Barber
2.0	16/4/2019	Final draft for PCG endorsement	Scott Barber
3.0	15/3/2021	2021 Draft for PMO Office Review	Matthew Sherman
3.1	1/4/2021	2021 Final Draft for Director Review	Matthew Sherman
3.2	22/06/2021	2021 Final Edits based on recommendations. Procedures added and comments resolved/removed.	Matthew Sherman
4.0	1/10/2021	Finalised Framework suitable for distribution	Matthew Sherman

Distribution

Version	Recipient(s)	Date	Notes
1.0	PCG members		Completed draft for review and feedback
1.0	MRC ELT		Draft for review and feedback
2.0			Final draft for review and endorsement.
2.2	Project Management Office	10/3/2021	draft for review
3	Project Governance Committee		Rollout
3.1	Director, Operations and Major Projects. Manager, Parks and Open Spaces.	22/6/2021	Distributed for final review and comments.
3.2	Executive Leadership Team	2/8/2021	
3.3	Audit Risk Management Committee	9/8/2021	
3.4	Director, Planning and Environment & Director, Community & Economic Development	18/8/2021-23/8/2021	
4.0	Murray River Energy Specific – Review and inclusion of recommendations	8/11/2021	Review Project Management Framework inline with MRE Recommendations
4.0	Directorate – Project Management Framework Roll Out	16/	

Notice

MRC governs projects using the PRINCE2™ Project Management Methodology. This is the foundation for the MRC Project Management Framework. The material in this document and framework is derived from PRINCE2™ Project Management Methodology and the publication Managing Successful Projects with PRINCE2, which is copyright of the UK Office of Governance Commerce.

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Part 1: Fundamental Principles

1.0 Purpose of the Project Management Framework

The Murray River Council (MRC) Project Management Framework (PMF) is intended to:

- Act as a reference and guide for all MRC staff involved in the delivery of projects.
- Provide best practice procedures to apply in the MRC project management environment.
- Standardise project management procedures and processes for all MRC projects supporting consistency.
- Centralise project management information and enable efficient project audits.
- Standardise the controls, toolsets, documentation, and reports used to govern MRC projects consistently and effectively.
- Reduce project delivery risks by encouraging the use of PRINCE2™ and PMBOK methodologies and management practices.
- Ensure all projects that commence are continually viable and justified.
- Support project compliance with MRC policies and procedures.
- Streamline processes according to project size and complexity.
- Support successful project closure and handover to relevant MRC Business Units.

The purpose of structured project management is to control the environment of projects while capturing a record of the decision-making process and lessons learned throughout the lifecycle of all MRC projects.

The use of a recognised project management methodology and adherence to the PMF is required for all projects, as directed the MRC Project Management Policy: [DOC/20/40799- POLICY - PROJECT MANAGEMENT \(UNDER DEVELOPMENT\)](#)

1.1 Project Control Group (PCG)

The Project Control Group (PCG) is established at Murray River Council to provide governance and oversight of the MRC Project and Program Portfolio. The PCG fulfils the PRINCE2™ role of Corporate Governance and Program Management. The PCG is responsible for ensuring MRC projects are properly prioritised, planned and managed to deliver agreed business benefits and outcomes.

The PCG at Murray River Council will consist of members from the Executive Leadership Team and Managers to support the governance of Council Projects and Programs.

The primary responsibilities of the PCG include:

- Approve the MRC Project Management Framework and ensure processes follow State guidelines and MRC policies and procedures.
- Review and endorse project and program proposals acting as the main decision-making body for Category 2 and 3 Projects.
- Ensure appropriate project and program governance structures are established and engagement has occurred.
- Undertake project and program planning and prioritisation.
- Monitor project progress against the approved project and program scope, schedule, budget and tolerances.
- Endorse project variances (scope, budget, quality and schedule) including access to project management reserve.
- Ensure benefits realisation processes are established and implemented.
- Ensure appropriate project risk management processes are developed and implemented.
- Ensure project Post Implementation Reviews (PIR) are conducted to identify lessons learnt and confirm that benefits have been realised.
- Ensure a Project Management Knowledge-Base is established and available to all MRC project staff, consisting of lessons learnt, risks, issues and project findings.
- Provide advice and direction as required to address project issues and risks.

1.2 PCG Meetings

The Project Control Group will convene monthly; the Project Management Office will publish and maintain a calendar containing meeting dates, corresponding project submission deadlines and relevant documentation.

During the Project or Program approval process, the Project Proponent is required to attend the PCG meeting to present the project.

2.0 What Constitutes a Project

A **project** is a temporary organisation created for the purpose of delivering change according to an approved Project Proposal. A Project is temporary in nature with a defined start and end date and is managed within the tolerances of scope, time, cost, risk, quality and benefits. A project must deliver a specific objective or product that is not considered business-as-usual (BAU).

All projects must adhere to the Project Management Framework outlined in this document.

Note: The purchase of Plant and Equipment which is not part of a project should follow the Plant and Equipment Policy.

2.1 Project Funding

MRC Projects may be funded by Council capital expenditure, operational (recurrent expenditure) or they may be funded fully or partially by external funding. Regardless of the funding source, projects are managed in accordance with this Project Management Framework.

Note: Changes to project budgets including reallocation of funds must be discussed with the Project Sponsor, the Manager of Finance and reviewed by the PCG.

2.2 Project Approval

All Council Projects are required to proceed through the formal approval process before resources can be allocated. Without approval, a Project cannot proceed to Project Initiation. Approvals must adhere to the Delegations of Authority. See Section 7.1.4 – Project Approval for further detail.

2.3 Out of Sessions Project Approval Requests

Where approval of an urgent project cannot be delayed until the next PCG meeting, the project may be considered in an out-of-session PCG meeting. Requests must be submitted to the Project Management Office (PMO) with justification for the immediate project approval.

Out of Sessions PCG meeting can be minimised by undertaking appropriate planning.

Project Management Office contact – PMO@murrayriver.nsw.gov.au

2.4 Emergent Works Project Approval Requests

If a situation exists where a project approval is required urgently, the emergent works process should be followed. This is applied when an imminent risk or opportunity which cannot be adequately addressed before the exception or project approval processes can be completed has been identified.

Once an emergent situation has been recognised, works must be approved by the appropriate financial delegate. It is the responsibility of the Asset Owner to justify the urgency of the issue to the delegated authority and record their approval. See: [CTL/17/42\[v4\] - DELEGATIONS OF AUTHORITY \(CEO to Staff\)](#)

Emergent situations should be communicated to the PMO and Finance as soon as possible. After the works have been conducted, Projects should be recorded in either a Project Proposal or Exception Report as appropriate and submitted to the PCG within a month of completion.

2.5 Linear Projects

A Linear Project refers to a specific group of projects that are identical in scope with varying delivery quantities and routinely delivered by Murray River Council to maintain or complete scheduled renewal/replacement of Assets, Transport Services or Water Services.

Accepted Linear Programs of Projects;

Transport Services

Project Type	Description
Road Seals	Re-sealing of road surfaces including associated tasks such as line marking, signage, ground preparation and batter works.
Unsealed Roads	Grading / Resurfacing / Signage / Batters
Kerb & Gutters	Repairs / Maintenance / Construction of New Kerbs & Gutters
Footpaths/Bike Paths	Repairs / Maintenance / Replacement

Water Services

Project Type	Description
Water Main Extensions / Renewal	Extension / Renewal of Filtered & Raw water main systems as required by asset management plans, service demands and subdivisions.
Sewer Rising Main Renewal	Renewal of Rising Main systems as part of asset management plans once an asset has expired or no longer meets the demands of Council.
Sewer Gravity CCTV	Inspection of Gravity Sewer systems with CCTV inspection devices. Council should complete these projects to monitor the network appropriately.
Pond/Dam Clean Cleaning	Draining and desilting of dams and ponds to maintain operation.

Waste & Environment

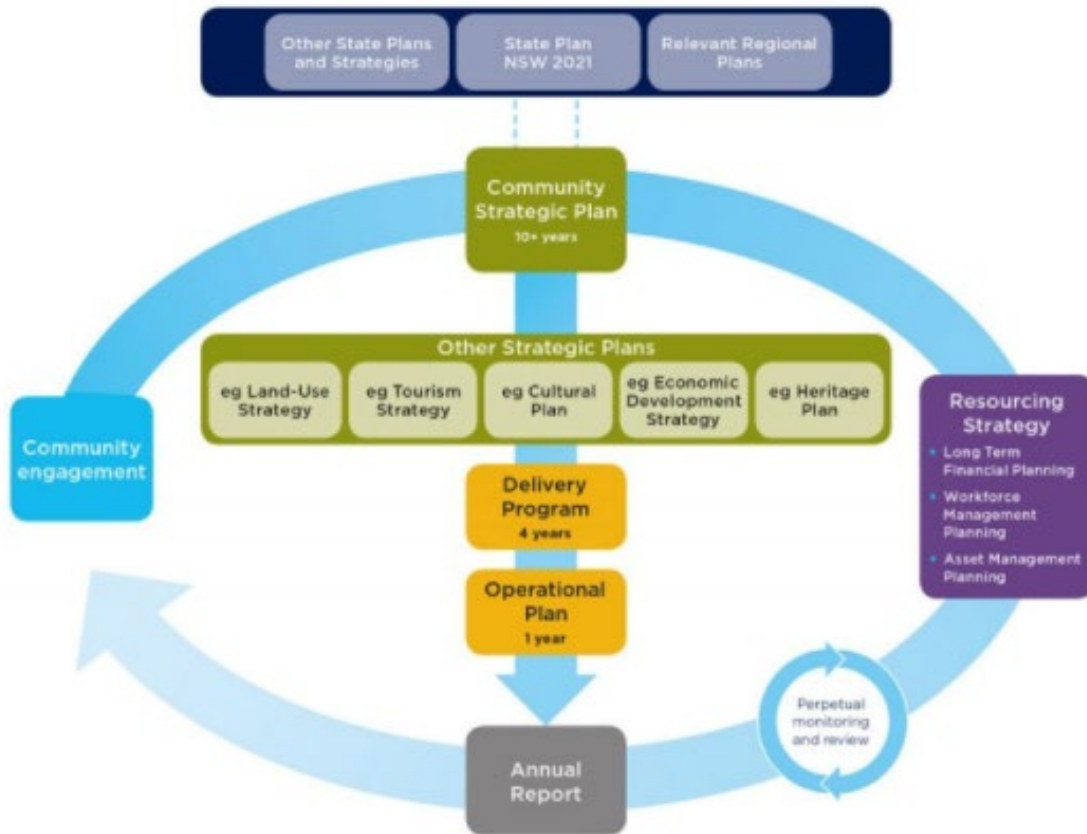
Project Type	Description
Land Fill Cell Construction	Construction of new Land Fill Cells for waste management/storage.

Parks & Gardens

Project Type	Description

Linear Projects ensure that Council's Services reliably meet the growing needs and demands of the Local Government Area and support the Community Strategic Plan and the Asset Management Plan. Projects of this nature will be delivered in-line with the Project Management Framework tailored to the size and complexity of the project.

Linear Projects will be submitted to Council within the Long-term Financial Plan, the 4-year Delivery Program and the Annual Operational Plan supporting the Integrated Planning and Reporting (IP&R) Framework.



Note: Linear Projects may be submitted for approval individually, or where appropriate, grouped as a Program. See section 3.0 – Programs for further information.

3.0 Programs and Projects

A Program is a temporary, flexible organisation created to coordinate, direct and oversee the implementation of a group of related projects.

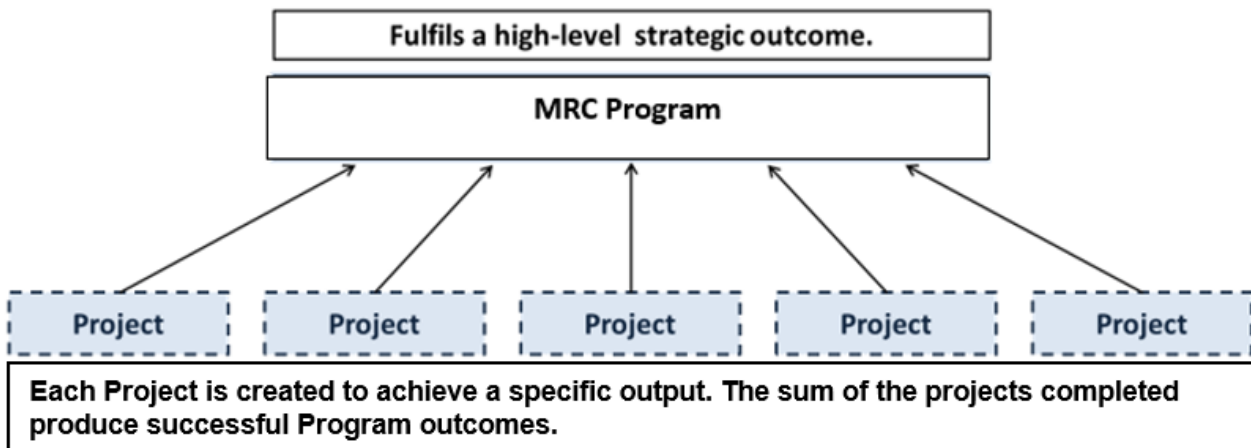


Figure 1 Program Composition

Program Management and Project Management are complimentary. During the program lifecycle, several related projects are planned, managed, and closed in a coordinated manner. A project usually exists for a much shorter duration and delivers one or more specific outputs whereas Programs often span several years delivering defined outcomes.

Programs allow for the coordination of similar projects; economies of scale can be found by combining projects of a similar type of work. Not all projects are part of a program and program management does not negate the need for proper project management for each constituent project.

Program Management should be considered where:

- A group of projects or activities undertaken will produce similar outputs or products.
- A group of projects or activities are undertaken to accomplish specific objectives or outputs that contribute to a broad goal or outcome such as a Strategic Objective.

Projects sized as a Category 2 or 3 should not be considered as part of a Program.

3.1 Program Approval

A Program must follow the same approval process as a Project. The Proponent or Program Sponsor is required to complete a Program Proposal and submit to a Program Steering Committee and PCG for review and approval. The Proposal must include justification as to why a Program is required and sufficient detail on the Projects that form the Program.

The PCG will assess the Program of work and decide whether to approve the Program.

The Proponent must use the Project Proposal Template: [CTL/21/37 - MRC – PROJECT PROPOSAL - 2021 TEMPLATE](#)

Note: The Proponent will present the Program Proposal to a Program Steering Committee instead of a Project Board where Programs are formed.

3.1.1 Program Steering Committees

Program Steering Committees (PSC) should be established for all Programs to provide a satisfactory level of Program Governance. The PSC membership is outlined in Section 3.1.2 including the responsibility of each role.

3.1.2 Program Steering Committee: Membership

A Program Steering Committee (PSC) comprises the following mandatory roles:

- **Program Sponsor** – The single individual with overall responsibility/accountability for ensuring that a Program meets its objectives and delivers the expected benefits. The Program Sponsor holds ultimate accountability and decision-making authority for the Program according to their delegation.
- **Program Manager** – Responsible/accountable for set up, management and delivery of a Program of works on a day-to-day basis. The Program Manager must ensure the Program remains on-track to deliver the planned benefits and outcomes as outlined in the proposal as well as supporting Project Managers to remain within defined tolerances for each project.
- **Program Quality Assurance** – Responsible/accountable for ensuring the products or services delivered meet the required Business, Supplier and User requirements including quality and technical design specifications. This role may be filled by one or more individuals.

The Program Steering Committee should consist of staff with suitable levels expertise, advice, and financial delegation to review and approve decisions required during Program Delivery.

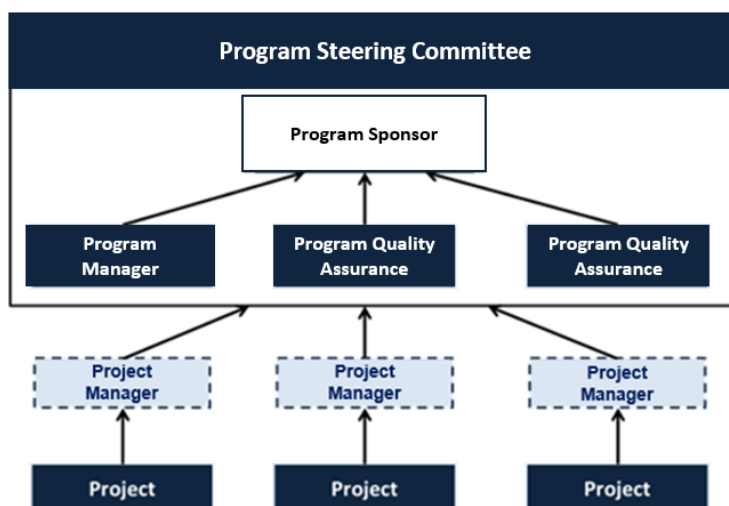


Figure 2 Program Steering Committee Structure

Examples of individuals who generally fill the roles on a PSC include:

- Chief Executive Officer, Director or Manager
- Staff Members with Technical Expertise
- Representatives from Corporate Functions (eg Corporate Risk, Finance, Economic Development, Technical Assurance, Safety)

3.2 Project & Program Funding

All projects and programs must be linked to at least one “Funding Source” to be approved. Where Funding is sourced from multiple services, the CEO and Director must approve an agreed budget for the Project or Program. Where funding amounts exceed approved delegations, funding allocations must be reviewed and approved by Council. Funding arrangements must be clearly outlined in the developed Project or Program Proposal remain transparent to the PCG and Finance throughout the lifecycle of the Project and Program including year-to-year breakdowns.

The Funding Source should either act as or nominate a representative to act as the Project Sponsor and/or Program Sponsor responsible for funding representation on the Project Board or PSC.

Figure 3 outlines an example of the hierarchical funding structure for managing programs:

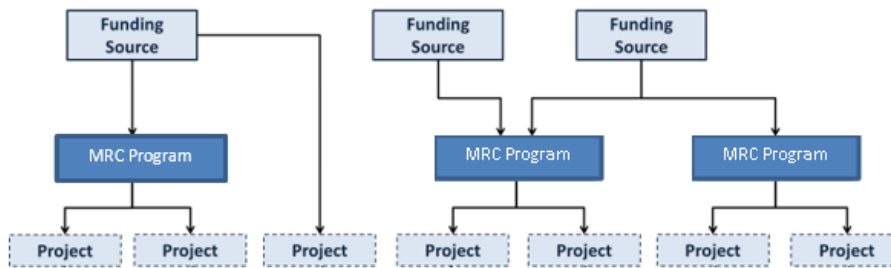


Figure 3 Examples of Funding Source Configurations

An MRC Program must be directly linked to the following to be approved:

Requirements:	Program:	Project:
At least one allocated budget for the Program	Yes	Yes
An approved or endorsed Strategic Plan or Framework at a Council or State Level e.g. Community Strategic Plan.	Yes	Yes
One or more projects with active TechOne Financial Project Number	Yes	N/A

3.2.1 Capital and Operational Expenditure

The following definitions have been provided to differentiate capital and operational expenditure.

- Capital Expenditure** – Expenditure which has economic benefits for MRC expected to last for more than 12 months. It includes new assets, renewal/replacement and expansion/upgrade of existing assets or expenditure which extends the original life of the asset. It must be possible to reliably measure the cost of capital expenditure. The threshold for capitalisation is \$2,000; (group assets i.e. some ICT assets and office equipment are an exception to this) assets worth less are deemed recurrent expenditure and expensed in the year purchased.
- Operational Expenditure** – Recurrent expenditure such as power, fuel, employee costs, materials, cleaning, minor equipment, maintenance and depreciation. These costs are the day-to-day expenses associated with providing a service during a year of operation.

Further information can be found in the [MRC POLICY - ASSET CAPITALISATION POLICY \(CTL/21/47\)](#)

4.0 PRINCE2™ Fundamental Principles

Murray River Council governs projects according to the fundamental principles of the PRINCE2™ methodology. These seven principles provide a framework that can be tailored to projects of all sizes and complexities. Adoption of these principles will help ensure sufficient management and controls are established and will contribute to the success of all projects undertaken.

The Project Management Framework addresses these principles by providing guidance for staff when managing a project, including policies procedures, templates, and checklists, to facilitate:

- An effective and consistent Project Management approach across Council
- Appropriate Project and Program Governance
- Effective Change, Communication and Risk Management approaches
- Improvement to Council's Project Management methodology through Post Implementation Reviews.

Note: Project delivery will be in accordance with statutory requirements and any existing MRC policies, procedures, or guidelines.

4.1 Continued Business Justification

All projects must maintain ongoing business justification:

- A valid, justifiable reason must exist for a project to commence outlined in the proposal.
- The justification must remain valid throughout the life of the project with the validity reviewed at the end of each stage.
- The justification must be documented, approved, and distributed to all stakeholders.

The Project Sponsor must ensure the project remains inextricably linked to its business justification. Projects or Programs that can no longer be justified should be stopped immediately.

4.2 Learn from Experience

Project teams should learn from previous project experiences at MRC. To facilitate this, Lessons Learned Logs should be documented, and previous projects with comparable elements should be reviewed, to determine any applicable lessons. During the closure of a Project, lessons should be documented use and optimisation of future projects.

4.3 Defined Roles and Responsibilities

All projects must apply a governance structure with defined and agreed roles and responsibilities that engage the business, user and supplier stakeholder interests. As projects are often cross-functional it is important that all stakeholder interests are represented in the project management team. Defined Roles and Responsibilities also ensure the appropriate steps are taken during all phases of the project including the completion of engagement, planning and business processes.

4.4 Manage by Stages

All projects are to be planned, monitored, and controlled in stages. Projects are divided into several management stages as outlined in a Project Plan.

Management stages provide the Project Board with control points at major intervals throughout the project. At the end of each stage it is the responsibility of the Project Board to assess the status of the project and ensure it continues to align with the approved Proposal. The Project Board should confirm that project is still viable and decide how the project should proceed.

4.5 Manage by Exception

All projects must have defined tolerances that establish the limits of delegated authority. These tolerances should be outlined in the Project Initiation Document (PID). It is effective to delegate authority from one management level to the next by setting tolerances against the following objectives for each stage of the project plan:

- **Time** – meeting project target dates
- **Cost** – staying within a planned budget
- **Quality** – quality variance for outputs
- **Scope** – permissible variation of products

Tolerances should be set for each project specifically; see Table 1 for suggested limits. If these tolerances are forecast to be exceeded, an Exception Report should be immediately submitted to the next management level (Project Manager, Project Board or PSC, and PCG).

The Exception Report informs management of the situation and offers options and recommendations to proceed: [DOC/20/41507 - MRC PROJECT MANAGEMENT - EXCEPTION REPORT](#)

Note: Exception Reporting is in addition to Project/Program Reporting outlined in Section 7.4.2.

Table 1 Recommended Exception Tolerances

	Managed by Project Board	Exception Report to the PCG ¹
Cost	Costs within a project vary but stay within overall PCG ¹ endorsed amount	Project expected to exceed the PCG ¹ endorsed amount
Time	Timeline changes do not impact on other projects.	If another project is impacted and is the responsibility another project board
Quality	Changes to quality do not impact the expected benefits.	Quality impacts realisable benefits.
Scope	Scope changes do not impact expected benefits.	Scope impacts realisable benefits.

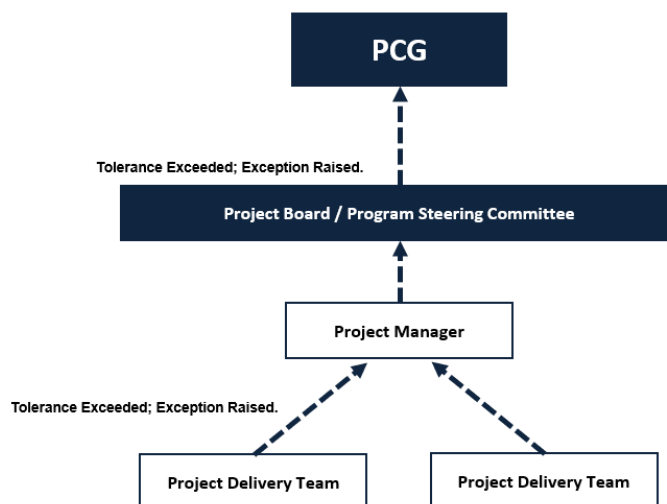


Figure 4 Exception Reporting

¹ The Director or Project Sponsor is responsible for approving exceptions in Category 1 projects; so long as exceptions do not alter project sizing.

4.6 Focus on Products and Outcomes

A product or outcome is an output, either tangible or intangible, which can be described in advance, created, and tested within a project. Projects should focus on defining and delivering products or outcomes in line with quality requirements. Successful projects are output orientated; where project products/outcomes are defined and agreed prior to undertaking the activities to produce them. Products or outcomes should be outlined in the Project Proposal and further detailed in the Initiation and Planning Phase.

4.7 Tailored to Suit MRC Project Environment

The Project Management Framework has tailored the Prince2 principles to the Murray River Council organisation through the use to management tools to control and manage projects of various scales, complexities, importance, and levels of risk.

Tailoring ensures that the planning and project delivery methodology suit the environment. Effective tailoring can create efficiencies throughout the project management process while ensuring the proper authority and controls are maintained.

4.7.1 Project Categorisation (Project Sizing Worksheet)

The Project Sizing Worksheet (PSW) has been designed to assess the size and scale of projects by assigning each project to a category. The categorisation of projects will:

- Ensure project controls are tailored to project size, complexity, stakeholders and risk.
- Create operational efficiencies.
- Outline the required governance procedures the proposed project must adhere too.
- Determine the level of documentation and controls required for all project stages.

The PSW categorises projects as Category 1, Category 2, or Category 3.

4.7.2 Category 1 Projects

Category 1 projects are typically smaller in size, have low exposure to risk and are less complex. These projects do not require PCG endorsement and can be initiated after Planning and Finance review, and approval by the nominated Project Sponsor. See below possible Category 1 structure:

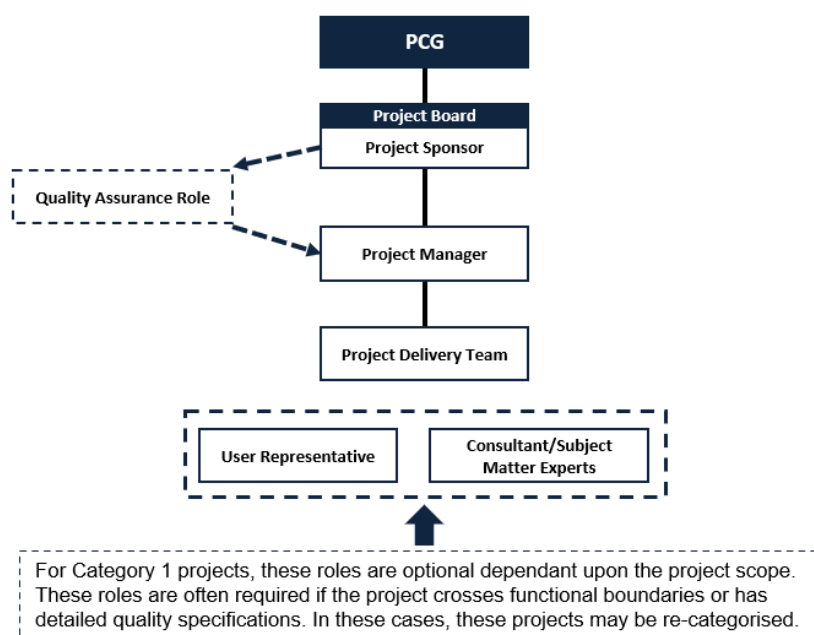


Figure 5 Category 1: Governance Structure

4.7.3 Category 2 Projects

Category 2 projects have a moderate exposure to risk. If risks occur, project outputs may be impacted. The following diagram provides an example as to how the Project Management Team Structure could be constructed for Category 2 projects.

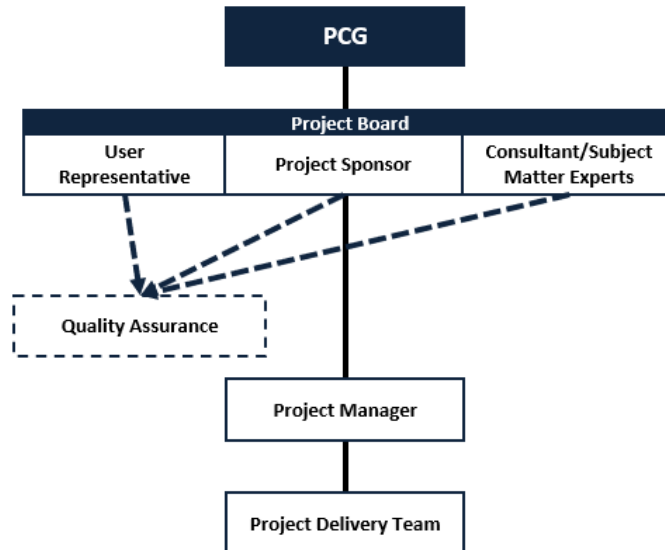


Figure 6 Category 2: Governance Structure

4.7.4 Category 3 Projects

Category 3 projects have a high exposure to risk. These projects are complex and feature various characteristics that create uncertainty. Risks inherent to the project are considered to have high probability of occurring and high consequences. Risks have the potential to severely impact project outputs.

The Figure 7 diagram provides an example as to how the Project Management Team Structure could be constructed for Category 3 projects.

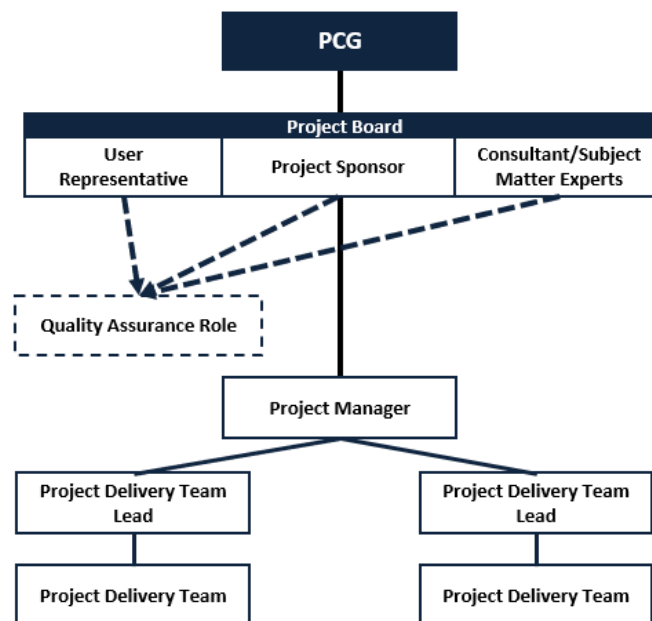


Figure 7 Category 3: Governance Structure

5.0 Technology One (TechOne)

Technology One is an Enterprise Resource Planning (ERP) System that will allow for the accurate management and monitoring of all projects being undertaken. TechnologyOne or 'TechOne', will be used across MRC to:

- Centralise project information, including financials, plans, work orders and supporting activities giving management a holistic view of all work being undertaken.
- Improve the transparency of projects
- Standardise processes, templates, reporting and procedures to create efficiencies.
- Standardise and create efficiencies within project delivery.
- Track project costs and budgets.
- Transition MRC to a cloud-base

Once TechOne is live, all projects must be recorded in TechOne including the processing of Work Orders and Budgets. It is a requirement to input project information to TechOne and use the system to support project planning and delivery.

As TechOne is rolled out in a phases approach, the Project Management Framework will be updated to support it's implementation across Council.

6.0 Governance

Governance defines the structure of accountability and responsibilities in a Project and Program. A successful governance structure enables projects to be effectively controlled with sound decision-making procedures. The appropriate governance structure ensures all Projects and Programs have effective direction, management and control measures established.

Successful MRC project governance structures must:

- Have business and end-user stakeholder representation along with Subject Matter Expertise
- Define responsibilities for directing, managing, and delivering the project by clearly documenting accountability at each level of management.
- Regularly review the governance structure to ensure stakeholder views are represented.

6.1 Levels of Management

All MRC Projects should include the following four levels of management:

- **Corporate Level** – Project Control Group & Executive Leadership Team
- **Directing Level** – Project/Program Steering Committee
- **Managing Level** – Project Manager
- **Delivering Level** – Project Delivery Team

Exceptions should progress through the project management levels; and direction may be provided from the corporate level down when broader impacts must be considered.

6.1.1 Corporate Level

The Project Control Group and Executive Leadership Team are responsible for commissioning projects, assigning the Project Sponsor, and defining project-level tolerances. This level sits above the Project Board and Project Manager.

6.1.2 Directing Level

The Project Board and Program Steering Committee is responsible and accountable for the overall direction and management of a project. The Directing Level is accountable for the success or failure of the project and is required to ensure that the project remains within the constraints set out by the Corporate Level of Management.

6.1.3 Managing Level

The Project Manager is responsible and accountable for the day-to-day management of the project and operates at the Managing Level. The Managing Level must ensure the project delivers the required products in accordance with the defined tolerances of time, cost, scope, and quality.

6.1.4 Delivering Level

The Project Delivery Team forms the Delivering Level and is responsible for delivering the products within the defined tolerances. The Delivering Level reports into the Project Manager during the project, and may consist of MRC Staff, Contractors and Consultants. Where appropriate, levels of authority may be delegated to members of the Delivering Level, such as Project Delivery Team Leaders to manage the production of products/outcomes.

The Delivering Level may be issued Work Orders to complete to produce a specified product or outcome developed by the Managing Level. The Delivering Level must complete the required work within the defined tolerances and may also be responsible for completing Checkpoint Reports and Exception Reports where tolerances are exceeded.

6.2 The Project Board

The Project Board directs the project. They are responsible for management of the project within the constraints set out by the PCG. The Project Board is accountable for project success by making key decisions and exercising overall control of the project while delegating day-to-day management to the Project Manager.

The Project Board must:

- Have complete authority and decision-making control for the project within the constraints (tolerances) outlined by the PCG.
- Act as the conduit between the PCG and the Project Manager.
- Approve the completion of each stage and authorise the start of the next stage.
- Delegate Project and Quality Assurance responsibilities as required.
- Authorise any deviation that exceeds or is forecasted to exceed stage tolerances within agreed PCG tolerances.
- Ensure post-project benefits are managed and realised.
- Ensure Risk Registers, Issue Registers and Lessons Learned Logs are appropriately maintained and actioned.
- Support identification and communication with relevant stakeholders.

6.2.1 Roles within Project Board

Project Boards at MRC should be comprised of the following roles with clearly defined accountabilities to support Project Governance. When appointing Project Board roles, The Project Proponent or Project Sponsor must consider project size, complexity, risks, and environmental factors as outlined in section 4.7.1.

6.2.2 Project Sponsor

The Project Sponsor, is the individual accountable for the success of a project, is responsible for project funding, and is the key decision maker. It is their responsibility to ensure the project remains focused on achieving its objectives and delivering a product that will achieve forecasted benefits.

The Project Sponsor is appointed by corporate management, usually by the proponent requesting the project. They are responsible for designing the project management team and the allocation of all project resources.

6.2.3 End User Representative

The End User Representative or User Representative is responsible for representing the interests and needs of those who will use the products/deliverables, those whom the products will achieve an objective, or those who will use the products to deliver benefits. The User Representative monitors project deliverables against user requirements and ensures the forecasted benefits are realised.

6.2.4 Consultants / Subject Matter Experts

The Project Board may also consist of Consultants or appointed Subject Matter Experts to support the project delivery. The roles may be filled by individuals who can represent the views and interests of those designing, developing, facilitating, procuring, implementing, and possibly operating and maintaining the project products or outputs. Further to this, individuals may also be appointed to ensure legislative or statutory requirements are met.

6.2.5 Project Assurance

Project Assurance is the process of ensuring the products or services delivered meet the Business, end user, technical, design and/or statutory requirements.

Project Assurance may be completed by the Project Board or delegated to a Project Assurance Role, but cannot be allocated to the Project Manager. The Project Manager may coordinate assurance activities but cannot be responsible for this process. This approach helps mitigate risks associated with technical inexperience and promotes continuity of quality assurance across MRC assets.

Issues raised through the assurance process must be documented and kept active until acknowledged as resolved and signed off by the Project Assurance resource or Project Board. These issues should be maintained and captured in the issues log for the project. Project Assurance will also ensure they key steps during the planning and closure phase, such as acquittal and asset handover are completed in a timely manner.

Note: Project Assurance must be tailored to size and complexity of a project and be clearly outlined in the Project Initiation Document (PID).

6.2.6 Water Services Assurance Role

For any project impacting water service infrastructure the Project Assurance requirements must be endorsed by the Manager Water Services.

Where a potential impact to water service infrastructure is identified, Project Assurance must ensure the following occurs:

- Ensure that sufficient consultation has occurred with the Manager, Water Services.
- Prior to project closure, ensure sufficient handover and engagement has occurred with the Manager Water Services and Manager Strategic Assets.
- Report identified issues during project delivery to the relevant stakeholders and Project Board
- Immediately notify the Manager, Water Services if water supply safety issues are identified.

6.3 Effective Stakeholder Engagement

Projects at Murray River Council frequently cross functional boundaries placing an importance on proper stakeholder engagement during all stages of the Project. To ensure effective engagement has occurred, it is critical that the Project Board is comprised of the right stakeholders to provide oversight in achieving agreed project outcomes. The PMO and PCG will further support project awareness through the sharing of proposals with Directors at MRC to identify any potential impacts, if not already identified by the Project Proponent.

In addition, projects must also ensure appropriate communication and engagement channels are established to maintain awareness and engagement from impacted stakeholders and surrounding functional divisions through communication and engagement plans.

MRC Organisational Structure is available here to support stakeholder identification:

[MRC - 2021 ORGANISATION STRUCTURE](#)

Part 2: Project Delivery Guidelines

7.0 Project Management Stages

Murray River Council (MRC) administers a process-based approach for project management which enables all projects to follow structured set of activities that have been designed to accomplish a specific outcome or objective.

The Project Management Framework divides this process into five management stages, that are each comprised of a set of activities and controls that incorporate the seven PRINCE2 project management processes of:

1. Directing a Project
2. Starting Up a Project
3. Initiating a Project
4. Managing a Stage Boundary
5. Controlling a Stage
6. Managing Product Delivery
7. Closing a Project

The Five Stages of the Project Management Framework are as followings:

- Concept (see section 7.1)
- Initiation (see section 7.2)
- Planning (See section 7.3)
- Manage (see section 7.4)
- Closure (see section 7.5)

To support the implementation of the Project Management Framework Stages, the procedures below have been developed. It is recommended MRC Staff favourite these documents in CM9 for ease of access and use. Please see procedures below:

[DOC/21/26644 – PROJECT MANAGEMENT FRAMEWORK – CONCEPT PROCEDURE](#)

[DOC/21/26650 – PROJECT MANAGEMENT FRAMEWORK – INITIATION PROCEDURE](#)

[DOC/21/26651 – PROJECT MANAGEMENT FRAMEWORK – PLANNING PROCEDURE](#)

[DOC/21/26653 – PROJECT MANAGEMENT FRAMEWORK – MANAGE PROCEDURE](#)

[DOC/21/26654 – PROJECT MANAGEMENT FRAMEWORK – CLOSURE PROCEDURE](#)

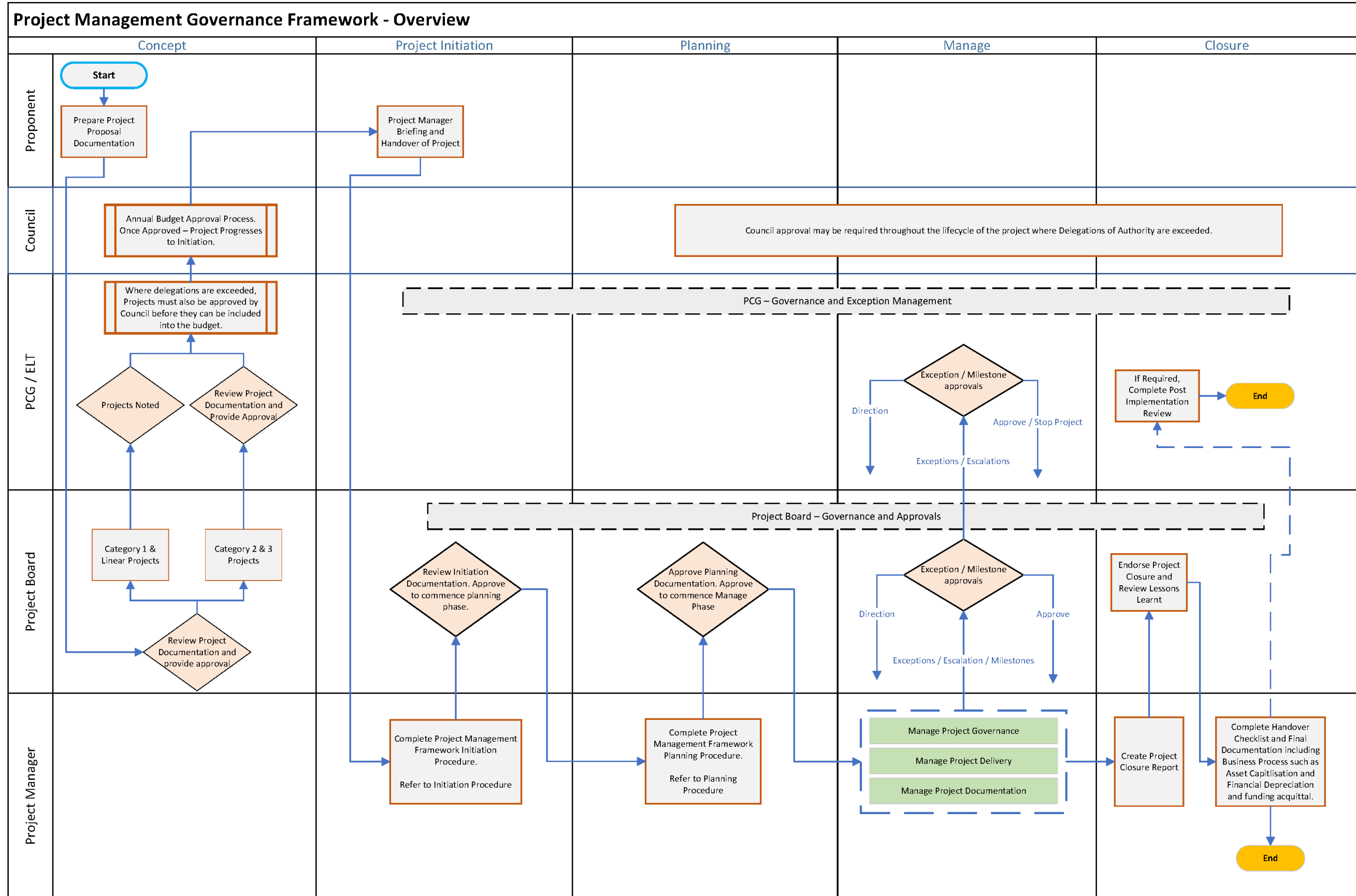


Figure 8 Project Management Activity Diagram

For easier viewing – please see the A3 Version viewable here [DOC/21/26660 CM9 – PROJECT MANAGEMENT FRAMEWORK – PROCESS OVERVIEW](#)

7.1 Concept Phase

The intent of the Concept phase is to enable a controlled start to the project that explains the expected benefits and resources required to deliver the specified products or benefits. Enough research, planning and information should be prepared to demonstrate to stakeholders and the community that the proposed project is a justified and worthwhile investment. For Projects to proceed through the Concept Phase, a suitable Project Board must be established, and appropriate approval must be received from the Project Board and PCG.

Note: MRC makes significant investment decisions on behalf of the community. To meet its obligations for sound financial management, the MRC must demonstrate its focus on community priorities and offer value-for-money to ratepayers.

The Concept phase of a project should be short in duration, and should achieve the following:

- Development of a Project Proposal supported by Project Sizing Worksheet and Capital Works Evaluation
- Engagement with Planning, Finance, Procurement and addition Project stakeholders
- Establishment of a Project Board/Program Steering Committee
- Project Board and PCG approval
- Grants / Funding Application

Once a Project is approved, a Project Approval Form or written evidence of approval will be provided to the Proponent by the Project Management Office to support progressing to Project Initiation.

During the Concept Phase, Project Proponents should work with Finance to ensure that the funds required are available, that accounting principles have been followed and that the project is a sound investment. The Project Proponent should also consult with Manager, Procurement.

7.1.1 Project Proposal

The **Project Proposal** outlines the background, purpose, strategic alignment, benefits, products, tolerances, risks and stakeholders of the proposed project. The Project Proposal should contain sufficient information to inform the Project Board and Project Control Group for project approval. The Project Proposal must also be supported by a Project Sizing Worksheet (PSW) and Capital Works Evaluation submission. Project Proposals should be stored in CM9 in the Project Proposals Folder located here: VF/21/1346 – ‘Proposed Projects’ until they are approved.

Note: Where Projects are eligible for funding by external agencies of funding bodies, this must be explicitly mentioned in the Project Proposal.

The **Project Sizing Worksheet** standardises the sizing of projects based on several factors including budget, risks, stakeholders, and political sensitivity. Project Sizing will help ensure Projects are managed with the appropriate level of governance and decision making.

The **Capital Works Evaluation Tool** supports evaluation of the Project from a financial point of view. The Capital Works Evaluation will contain all proposed and approved projects and will allow the PCG to appropriately review and prioritise works prior to Council Budget preparation. Project Proponents must liaise with the PMO to support the completion of the Capital Works Evaluation Tool.

Note: During the development of the Project/Program Proposal, the Proponent must engage with Finance and identified Project Stakeholders to gain input and feedback.

The Project Proposal, PSW and CWE are required for all MRC Projects. See:

[CTL/21/37 - MRC – PROJECT PROPOSAL - 2021 TEMPLATE](#)

[CTL/21/12 - MRC - PROJECT SIZING WORKSHEET - 2021 TEMPLATE](#)

7.1.2 Project Board

Following the development of the Project or Program Proposal, the Project Proponent must liaise with the PCG to nominate a suitable Project Sponsor. Please see Section 6.0 for further information regarding governance structures.

Once a Project Sponsor has been appointed, the Project Board must also be established and may include the following roles depending on project size and complexity:

- Project Sponsor
- End User Representative
- Consultants / Subject Matter Experts
- Project Assurance Role
- Project Manager

If a Program of work is being established, [please review section 3.0 - Programs and Projects](#).

Note: The Project Proponent and Project Sponsor may liaise with the PMO/PCG when identifying suitable staff for the Project Board.

7.1.3 Benefits Management Plan – (Category 3 Projects)

Benefits Realisation Management is a process of identifying, managing, and evaluating the intended benefits of a Project. A Benefits Management Plan aims to support investment decisions by outlining the derived benefits and dis-benefits from the successful delivery of a Project or Program. The Benefits Management Plan should be reviewed in the Closing stage of the Project to ensure all identified benefits were realised/delivered.

Note: The Benefits Management Plan is required for category 3 Projects or by request of the PCG. If a Benefits Management Plan is not developed, benefits and dis-benefits must be listed within the Proposal.

[CTL/21/8 - MRC – BENEFITS MANAGEMENT PLAN – 2021 TEMPLATE](#)

7.1.4 Project Approval

For Projects and Programs to be approved by the Project Board and PCG, the Project Proponent is required to complete the following steps:

1. Develop Project Proposal including Project Sizing Worksheet and Capital Works Evaluation.
2. Planning, Finance, Procurement and stakeholder review of Project Proposal documentation.
3. Nominate a Project Sponsor and establish a Project Board.
4. Project Board review of the Project Proposal including PSW and CWE. Category 1 Projects may be approved by the Project Board.
5. Submission to PCG for final approval of the Project Proposal and Capital Works Evaluation Tool. (Category 2 & 3 Projects)
6. Place into the upcoming MRC Budget for approval by Council (March each year).
7. If urgent prepare a report at next Ordinary Meeting of Council meeting seeking additional funds from ELT or Councillors depending on the Delegations of Authority CEO to Staff ([CTL/17/42](#)).

All Project Proposals must be sent to the PCG, regardless of categorisation (see 3.7.1); Category 2 and Category 3 projects must be approved by the PCG before they may proceed. Category 1 projects may proceed without the PCG endorsement but are still distributed for information.

7.1.5 Public Private Partnerships

Where a proposed project or program identifies a Public Private Partnership (PPP) Council and the PGC must take additional steps during complete lifecycle of delivery. Specifically:

Any council entering a Public Private Partnership must comply with the Guidelines on the Procedures and Processes to be followed by Local Government in Public-Private Partnerships – 1 September 2005.

Councils are required to submit an assessment of the project to be carried out under the PPP to the Office of Local Government before they enter an arrangement. The CEO must certify that this assessment has been carried out in accordance with the Public Private Partnership guidelines.

It is the responsibility of all staff to ensure potential Public Private Partnerships are identified and recorded prior to a Project being approved or during later stages of delivery.

7.1.6 Linear Projects

Linear Projects highlighted in Section 2.5, will undergo a tailored approval process during the Concept Phase. Due to the regular nature of Linear Projects and strong link to Council Strategic Plans and Services, Linear Projects will be treated as a Category 1 Project.

To be approved, Linear Projects are required to complete the following project documentation for Project Board Review and PCG noting.

- Project Proposal – See [CTL/21/37 – MRC – PROJECT PROPOSAL - TEMPLATE](#)
- Capital Works Evaluation

Note: Project documentation for linear projects should be streamlined, and where necessary grouped to form a program of works.

7.1.7 Grants & Funding Applications

Following the approval of a Project or Program by the Project Board or PCG, the Proponent may then also commence an application for external funding. **All projects applying for funding must be appropriately approved to ensure prioritisation and justification has occurred.**

The Proponent is recommended to liaise with the Economic Development and Tourism Department who can provide supporting during the Funding and Grants Application process.

7.1.8 Concept Checklist

The following checklists outline the required activities and documentation that should be completed within the Concept phase for each category of project.

Table 2 Checklist: Concept Phase

Concept					
Concept Stage Requirements	CAT 1	CAT 2	CAT 3	Responsibility of	CM9 Reference
Develop: <ul style="list-style-type: none"> Project Proposal Project Sizing Worksheet Capital Works Evaluation Submission 				Project / Program Proponent	CTL/21/37 CTL/21/12
Planning, Finance & Stakeholder Review Obtain feedback from Planning, Finance and Stakeholders on Project Proposal.				Planning, Finance & Impacted Stakeholders (Assets, Water or Community)	
Establish Project Board / PSC				Project/Program Proponent	
Project Board / PSC Approval Approval of Project Proposal				Project / Program Sponsor Project Board / PSC	
PCG Review / Approval Project Proposal Review				ELT / PCG	
Develop Project Approval Form / Written Evidence of Approval				PMO	
Develop Benefits Management Plan				Project / Program Proponent	CTL/21/8
Grants & Funding Application				Project / Program Proponent	
Council Approval				Council – Annual Budget Cycle	
Out of Cycle Budget Approval (if required)					
Progress to Project Initiation Phase				Project / Program Proponent	

7.2 Initiation

The Project Initiation phase establishes the foundations for the project delivery by creating a strong understanding of the work required to deliver project products before resources are allocated.

The objective of the Project Initiation is to ensure there is a common understanding of:

- Reason that MRC is undertaking the project.
- The scope of what is to be done.
- Stakeholders involved in project decision making.
- Products and benefits the project will deliver.
- Any constraints or dependencies.
- How the required quality will be achieved.
- How communication will take place, including the frequency, format, and recipients.

At the completion of the Project Initiation Phase, the following should be developed:

- Project Initiation Document (PID)
- 'Financial Project Number'
- TechOne Project

7.2.1 Project Initiation Document (PID)

The purpose of the Project Initiation Document (PID) is to define the project. It forms the basis for project management and later assessment of its success. Following the Completion of the Initiation and later planning phase, the PID will be supported by additional planning documents that form the **Project Management Plan**.

The PID provides the direction and scope of the project and forms the contract between the Project Manager and Project Board for what will be delivered. It is prepared by the Project Manager and must be authorised by the Project Board to proceed to the Planning phase.

The PID is primarily used to:

- Ensure the project has an underlying plan and controls in place prior to asking the Project Board to make any major commitment of resources to the project.
- Act as the baseline document which enables the Project Management Team to track project progress, assess issues, and determine the ongoing viability of the project.
- Act as the single source of reference for the project so that the Project Management Team and stakeholders involved can quickly and easily access key information about the project and how it is being managed.

The PID is a living product (collection of documents) that should always reflect the current status, plans, and controls of the project. The original PID should be preserved and act as a baseline to review project performance when assessing project performance during the Closure phase.

7.2.2 Components of PID

The detail provided in the PID should be tailored to suit the size and complexity of the project being delivered. The following mandatory components are to be included in the PID:

Existing information:

- **Project Proposal** – Provide reference to approved Project Proposal.

New information:

- **Brief** – Detailed summary of the Project Purpose, Objectives, Scope, Deliverables and Constraints building on that contained in the Project Proposal.
- **Project Board & Project Team** – An outline of the confirmed individuals involved in the Project Board and Project Team.
- **Communications Plan**– A plan detailing the channels and frequency used to communicate and engage with key stakeholders involved in the project delivery. This may include outlining reporting cycles, contractor meetings, toolbox meetings and community engagement.
- **Project Management Approach** – A summary of the project's approach including Milestones, Hold Points/Inspection Points, Stages and Costs.
- **Risks Identification and Management:** A summary of the identified risks and issues associated with the planning and delivery of the project.
- **Monitoring and Control** – A summary of how the projects quality will be managed throughout the lifecycle of delivery. This may be listed within the PID or outlined in a separate document such as the Quality Management Plan (below). *Note – this may be substituted by construction designs or detailed specification documents in construction projects.*

[CTL/21/18 – MRC – PROJECT INITIATION DOCUMENT \(PID\) – 2021 TEMPLATE](#)

[DOC/21/21898 – MRC – QUALITY MANAGEMENT PLAN – 2021 TEMPLATE](#)

7.2.3 Product Documentation (Category 2 & 3 Projects)

Product/Outcome Descriptions are developed to define the products or outcomes delivered by the project and gain acceptance from the user and Project Board. Product Documentation is critical as it defines what is being delivered and will support the development of plans and specifications during the Planning Phase.

- **Product/Outcome Description** – A Product/Outcome Description is developed for a single or individual product or outcome delivered during the Project Lifecycle. The Product/Outcome Description outlines the purpose, how it will be used, the skills required to deliver, and any design/quality specifications for acceptance.

[CTL/21/38 – MRC – PRODUCT DESCRIPTION - TEMPLATE](#)

7.2.4 Communications and Engagement

During the initiation stage of the project, stakeholders identified in the Project Initiation Document must be appropriately engaged. Levels of engagement may vary based on the nature of the project due to levels of involvement, influence and public interest in the Project. To support comprehensive engagement for Project Delivery, and Community Engagement using (International Association for Public Participation 2 – IAP2), templates have been linked below which support the Community Engagement Strategy.

Note: Projects requiring extensive engagement must consult the Community Engagement Team.

- **Project Communications Plan** – The Project Communications Plan support the planning and management of project specific communication throughout the project delivery. This could include reporting, toolbox meetings and key stakeholder updates.

[CTL/21/13 – Communications Plan Template](#)

- **Community Engagement Plan Template** – The Community Engagement Plan has been developed to support meaningful engagement and consultation with the community to facilitate project support. This template should be used for Category 2 and 3 Projects where community engagement and consultation prior to, during and post completion of project delivery. Please see the link below:

[CTL/21/145 – Community Engagement Plan Template](#)

7.2.5 Financial Project Number & TechOne Creation

Following the approval of the Project Initiation Document (PID), the Project Manager must create a Project within TechOne and obtain a Project Number.

[Link – Quick Reference Guide to creating Projects in TechOne.](#)

7.2.6 Project Initiation Checklist

The following checklists outline the required activities and documentation that should be completed within the Project Initiation phase for each category of project.

Table 3 Checklist: Initiate Phase

Project Initiation Phase					
Project Initiation Phase Requirements	CAT 1	CAT 2	CAT 3	Responsibility of	DOC/19/XXXXX Reference
Handover Concept documentation to Project Manager				Project Proponent	
Develop Project Initiation Document (PID) including any supporting documents.				Project Manager	CTL/21/18
Develop separate Quality Management Plan				Project Manager / Quality Assurance	DOC/21/21898
Develop (if required where multiple products exist) Product/Outcome Description				Project Manager	CTL21/38
Develop Project Communications Plan				Project Manager / Community Engagement Team	CTL/21/13 CTL/21/145
Develop Community Engagement Plan Template				Project Manager / Community Engagement Team	
Review & Approve Project Initiation Documentation				Project Board	
Create TechOne Project and obtain Project Number				Project Manager	
Proceed to Planning Phase					

7.3 Planning

The Project Planning Phase is the final step prior to commencing delivery of the project or program. During this phase, the Project Manager must complete the required planning documentation including obtaining relevant permits and approvals before delivery commences. The documents created during the Planning and Initiation Phases will form the **Project Management Plan** by combining the PID and relevant permits, approvals, plans and budgets.

During the Planning Phase, the Project Manager is to complete the following and add to the CM9 Project Folder, TechOne and Project Management Plan:

- Risk Management Strategy including how risks, issues, and lessons will be managed.
- Project Plan, Stage Plan, Work Packages and/or Work Orders (within TechOne)
- The Project Budget (within TechOne)
- Successful completion of relevant planning and approval documentation including plans, permits, Development Application and Consents (or Part 5 Assessments), Safe Work Method Statements (SWMS) and Traffic Management Plans
- Design and Procurement
- Obtain approval to commence delivery.

Note: Depending on the nature of the project, documentation requirements will vary. The Project Manager and Project Board must ensure that all required documentation is completed prior to commencing planned work.

7.3.1 Project Planning Documentation:

The following documents are must be completed by the Project Manager during the Planning Phase:

Risk Management Strategy – The Risk Management Strategy aims to identify, assess, and manage project specific risks using the tools below. During the Manage phase of the project, risk management documentation should be reviewed and updated as necessary.

- Risk Assessment
- Risk and Issues Register
- Lessons Learned Log

[CTL/21/4 – MRC PROJECT MANAGEMENT – RISK ASSESSMENT TOOL – 2021 TEMPLATE](#)

[CTL/21/39 – MRC – RISK AND ISSUE REGISTER – 2021 TEMPLATE](#)

[CTL/21/20 – MRC – LESSONS LEARNED LOG – 2021 TEMPLATE](#)

Project Plan – The Project Plan is a high-level plan, outlining the tasks and activities required to successfully deliver the project. The Project Plan is used by the Project Manager and Project Board to track project progress. The Project Plan should be developed in TechOne including the following:

- A schedule of tasks and Work Orders completed during the project lifecycle.
- A schedule of Project Milestones or deliverables including products.
- The resources completing each task.

The Project Plan will act as a baseline to monitor project progress and will inform the development of Stage plans (if required).

[CTL/21/41 MRC PROJECT PLAN – 2021 TEMPLATE \(MS Project\)](#) can be used to support planning.

Stage Plan (if required) – Where a Project is delivered in multiple stages, a Project Manager should consider utilising a Stage Plan in TechOne.

A Stage Plan is created for each stage of the project and is primarily used by the Project Manager to control the delivery of work on a day-to-day basis. Stage Plans are more detailed than the Project Plan and must only focus on an individual stage of delivery.

[CTL/21/42 – MRC STAGE PLAN – 2021 TEMPLATE \(MS Project\)](#) can be used to support planning.

Project Budget – The finalised project budget should be based on the PCG endorsed amount. Project budgets should be tailored to the project size and complexity, detailing expected costs into Tasks and Work Orders. Project Budgets should be developed in TechOne to simplify management of the Project.

Contingency funds must remain as a separate allocation only used if required; released by exception.

[CTL/21/43 – MRC PROJECT BUDGET – 2021 TEMPLATE](#) can be used to assist in budget creation.

Work Package – Work Packages are developed to outline a specific set of Tasks/Work Orders to develop or deliver and intended product or to reach a Project Milestone. Work Packages can be developed in a template for external/contractor use or TechOne for internal project team completion. Checkpoint Reports are then used within the same template to report on completed work.

[CTL/21/40 – MRC WORK PACKAGE / CHECK POINT REPORT TEMPLATE](#) – or in TechOne

Note: For works completed by an external resource, Work Packages may be supported by a Purchase Order or Contract outlining the required work.

Checkpoint Report – A Checkpoint Report is a document developed by the Team Manager to report progress back up the Project Manager based on the completion of the work package at agreed timelines. It should contain a summary of the work completed, reporting any issues or risks identified in the Manage Phase.

[CTL/21/40 – MRC WORK PACKAGE / CHECK POINT REPORT TEMPLATE](#)

7.3.2 Design/Plans (if applicable)

Project Managers may be required to obtain project designs, plans or specifications based on the nature of the Project. Where project designs are required, the Project Manager must work with the Project Board, Project Team and Stakeholders to prepare a Design Brief. Project Designs may be completed internally or contracted externally.

- **Design Brief** - The Design Brief outlines the specific project requirements based on the developed project documentation to date. Designs Completed, must be reviewed by the Project Board and Stakeholders prior to proceeding to a Final Design.
- **Final Design (Issue for Construction)** – The Final Design is to be at a standard suitable for Construction or Tendering, including specifications and quantities of materials to deliver the Project. Once the Final Project Design has been developed, it must be reviewed by the Project Board and Stakeholders to be approved to proceed to Procurement.

Note: Additional stages of design may include: Concept Design. Preliminary Design.

7.3.3 Procurement

All procurement at Murray River Council must be undertaken in a consistent manner compliant with the MRC Procurement Policy (CTL/17/45) and Procurement Manual (CTL/19/6). Project Managers are recommended to consult with Manager – Procurement, Contracts and Leases during the Procurement Process to ensure the correct procedures are followed when obtaining quotations, tenders and completing procurement activities. Procurement Thresholds include:

- Public Tender – Project Values that exceed \$250,000.
- Request for Quotation – Number of quotations required dependant on Project amount.
- Prescribed Agency – can be used to access suppliers and contracts as per the exemption provisions of Section 55(3) of the Local Government Act 1993.

The MRC Procurement Policy: [CTL/17/45 – MRC POLICY – PROCUREMENT POLICY](#).

The MRC Procurement Procedure: [CTL/19/6 – MRC MANUAL – PROCUREMENT MANUAL](#).

The MRC Procurement Plan Template: [CTL/21/54 – MRC – PROCUREMENT PLAN TEMPLATE](#)

7.3.4 Project Approvals, Permits and Safety Management Plan

It is the responsibility of the Project Manager and Project Board to ensure all required documentation and approvals are obtained before work commences to deliver the project. It is strongly advised that the Project Manager consults the Project Board, Safety, Planning, and Risk to ensure all permits are obtained and SWMS & SOPs are available.

Please see below some examples of approvals, permits and plans that may be applicable and should form the **Environmental Management Plan or Operational Management Plan**:

- Work, Health and Safety Coordination Plan
- Environmental Approvals Plan & Part 5 Assessment
- Development Application (DA)
- Traffic Management Plan/Traffic Control Plan
- Cultural Heritage Permits
- Quotations, Tenders, Purchase Orders, Payment Progress Certificates
- Dial Before You Dig
- Contractor Permits and SWMS (including Public Liability Insurance)
- Investigations, feasibility, and options studies
- Site Plans including Emergency Evacuation Permits.

The following documents can be referenced for detailed information regarding processes and requirements of projects wherever they are relevant:

[CONSTRUCTION CODE OF PRACTICE \(2019\) – NSW GOVERNMENT \(SAFEWORK NSW\)](#)

[CTL/20/9 - MRC PLAN – SAFETY MANAGEMENT PLAN](#)

[CTL/18/2 - MRC FORM – EVENT NOTIFICATION FORM](#)

[CTL/17/26 MRC POLICY - WORK HEALTH AND SAFETY POLICY](#)

[CTL/17/45 MRC POLICY – PROCUREMENT POLICY – POL-205 V#2](#)

[CTL/17/25 MRC POLICY – RISK MANAGEMENT POLICY - POL-200.V#2](#)

7.3.5 Approval to Commence Delivery

Once all Project Planning, Design and Procurement procedures have been completed, the Project Manager must gain approval to commence delivery from the Project Board.

The Project Board must ensure the appropriate planning activities have taken place including obtaining relevant permits, approvals, and SWMS.

7.3.6 Project Planning Checklist

The following checklists outline the required activities and documentation that should be completed within the Project Planning phase for each category of project.

Table 4 Checklist: Planning Phase

Project Planning Phase					
Project Planning Phase Requirements	CAT 1	CAT 2	CAT 3	Responsibility of	DOC/19/XXXXX Reference
Develop/Maintain Risk Management Strategy including: • Maintain Risk Assessment • Risk and Issue Log • Lessons Learned Log				Project Manager	
Develop Project Plan				Project Manager	CTL/21/41
Develop (as required) Stage Plan				Project Manager	CTL21/42
Develop (as required) Work Packages					CTL/21/40
Develop Project Budget				Project Manager	CTL/21/43
Develop (as required) Design Brief and Final Design				Project Manager	
Review (as required) Design Brief and Final Design				Project Board	
Complete (as required) Procurement				Project Manager	
Obtain Required permits, approvals and required documentation. This may include conditions of consent from Council or other agencies to be included in the specifications and or scope				Project Manager / Project Board	
Update and Maintain TechOne Project Documentation				Project Manager	
Authorise Project Progression to Manage Phase				Project Board	

7.4 Manage

The Manage phase focuses on the day-to-day management of the projects by the Project Manager. Throughout this stage it is expected that the tools and controls established during the Initiation and Planning Phase are used to effectively direct, manage and deliver the project as expected.

Where project delivery is divided into multiple stages, the Project Manager is required to manage the work within the approved Project Plan and Stage Plan and its defined tolerances. Where tolerances are exceeded, the Project Manager is required to follow the Manage by Exception process (see Section 4.5).

During the Manage Phase, the Project Manager is required to:

- Update and maintain project all project documentation
- Outline the work required from Project Teams through Product Descriptions and Work Packages
- Review Checkpoint Reports and schedule quality assurance activities.
- Complete regular Project Reporting including Exception Reports and Variation Requests
- Update & Maintain TechOne Project documentation
- Undertake reporting to Funding Bodies
- Manage Project Work Health and Safety (WH&S) requirements.

7.4.1 TechOne: Managing Project Delivery

TechnologyOne (TechOne) will be used by Murray River Council to support the consistent management and delivery of approved projects. During the Manage Phase, the Project Manager is required to maintain up-to-date information within TechOne.

This includes but is not limited to the following information:

- Project Plans and Stage Plans including Tasks/Work Orders.
- Risks, Issues and Lessons Learned
- Budgets including Tasks/Work Orders and Work Requisitions
- Percentage Complete, Time, Costs, Quality & Scope status indicators

It is important that the information above remains current throughout the delivery of the project.

7.4.2 Project Reporting

During the Manage Phase, Project Managers are required to complete regular reporting to the Project Board, Funding Bodies and Murray River Council to maintain awareness and transparency of Project progress. As a result, Project Managers will be required to complete the following:

- **Monthly Operational Reports** – Operational Report provided to Directorate & Council.
- **Stage Reports (CAT 2 & 3)** – Reports provide at the completion of each Project Stage or Monthly whichever is sooner. Please use the following template: [CTL21/46 - PROJECT STATUS REPORT](#)
- **Grants/Funding Reports** – Reporting requirements outlined in the Funding Deed.

Reports should be compiled based on the available information within TechOne and progress from Project Teams.

7.4.3 Manage Phase: Additional Responsibilities and Activities

The Manage Phase incorporates a variety of responsibilities and activities that differ from project to project including the following four PRINCE2™ processes:

- Directing a project
- Controlling a stage
- Managing product delivery
- Managing a stage boundary

These processes provide an overview of the responsibilities and activities that should be completed by the Levels of Management (see Section 6.1) during the Manage Phase to effectively control and deliver the project.

7.4.4 Directing a Project

The Project Board directs the project by making key decisions and exercising overall control of the project while delegating the day-to-day management of the project to the Project Manager. The Project Board needs to ensure that direction and control are provided throughout the life of a project, and that the project remains viable. The Project Board manages the project by exception using the reports and controls established during the Initiation Phase within the PID.

7.4.5 Controlling a Stage

Controlling a stage is the responsibility of the Project Manager where they are required to manage the day-to-day tasks to successfully complete a defined stage of work, including the following:

- Assigning work to be completed and monitor progress of delivered products
- Capturing and dealing with issues
- Reporting to the Project Board
- Taking corrective actions to ensure the stage remains within tolerance
- Raising an Exception Report to the Project Board where tolerances are exceeded.

Where a **Exception Report** is required, the Project Manager is recommended to utilise the following Exception Report Template. This must be then forwarded to the relevant area based on the agreed tolerances between the Project Board and PCG.

[DOC/20/41507 - MRC - EXCEPTION REPORT TEMPLATE](#)

Where a **Variation Request** is required, the Project Manager is recommended to utilise the following Variation Request Template and forward to the Project Board for approval. Once Approved, the variation register must be updated, and relevant changes made to the Project Management Plan.

[CTL/21/44 - MRC - VARIATION REQUEST & REGISTER TEMPLATE](#)

7.4.6 Managing Product Delivery

Managing Product Delivery is the set of interactions that take place between the Project Manager and individuals undertaking the work to deliver the project products. Managing Product delivery may include the following activities, but should be tailored to the project:

- Development of formal requirements/quality specifications for product delivery
- Establishment of a quality assurance process for the delivery and acceptance of products
- Development of Stage Plans, Work Packages and Check Point reports to outline work required and report progress.

7.4.7 Managing a Stage Boundary

Stage boundaries enable the Project Board to review the status of the current stage and decide on the future direction of the project if intervention is required.

During this process it is the responsibility of the **Project Manager** to:

- Provide Stage Reports to the Project Board.
- Develop the next Stage Plan or Exception Report.
- Update the Project Plan and additional project documentation as required.

During this process it is the responsibility of the **Project Board** to:

- Review the current state of the project.
- Approve the next Stage Plan and any amendments to the Project Plan.
- Confirm the project maintains continued business justification.
- Assess the acceptability of project risks or issues.
- Authorise commencement of next stage.

Project Managers are to utilise the Project Status Report Template when a Stage is completed which can be accessed here: [CTL21/46 - PROJECT STATUS REPORT](#)

7.4.8 Practical Completion

Practical Completion is indicated by the successful completion of all required works outlined in Project Plans, Stage Plans and Work Packages. Once a Project has reached Practical Completion, the Project Manager and Project Quality Assurance must ensure all quality requirements are met and the Quality Management Plan (if available) is updated before accepting Practical Completion.

Once Practical Completion is accepted, a final Project Status Report must be developed. Evidence of Practical Completion must be captured and stored in relevant systems and required site inspections must be completed. A Practical Completion Certificate may also be required. Please use [CTL/21/45 MRC – PRACTICAL COMPLETION CERTIFICATE](#)

If works are completed under a contract, contractual agreements must then be met as well as Funding Deed requirements. The Project Manager must also obtain available delivered Construction Plans including any variations made during delivery. Construction Plans will be used to update Council Asset Register and Systems during the Closure Phase.

7.4.9 Defects Liability Period

The Defects Liability Period is the period specified where the Contractor is legally required to return to a construction site to repair any defects which have appeared following Practical Completion.

Projects that contain a Defects Liability Period in the signed contract must be listed in the MRC – Defects Liability Register. The Project Manager is responsible for updating the register and arranging relevant inspections at the appropriate time. The Project Manager is also required to liaise with Finance to ensure appropriate action is taken for retention payments or bank guarantees.

The Project Management Office is responsible for reviewing the Defects Liability Register for assets to ensure appropriate inspections are undertaken.

[SharePoint – MRC – DEFECTS LIABILITY REGISTER](#)

7.4.10 Manage Checklist

The following checklists outline the required activities and documentation that should be completed within the Manage Phase for each category of project.

Table 5 Checklist: Manage Phase

Manage Phase					
Manage Phase Requirements	CAT 1	CAT 2	CAT 3	Responsibility of	DOC/19/XXXXX Reference
Update and Maintain TechOne & Project documentation				Project Manager	
Outline Work Required to Project Team				Project Manager	
Complete Required Work				Project Team	
Develop and Distribute Product Descriptions / Work Packages				Project Manager	CTL/21/38 CTL/21/40
Complete of Work Packages				Team Managers / Team Members / Project Support	
Checkpoint Reports				Team Managers / Project Support	CTL/21/40
Project/Quality Assurance activities; Maintenance of Quality Register				Project Assurance Role	
Exception Reports (if required)				Project Manager / Project Board	
Documentation of Ad Hoc Direction (if required)				Project Board / PCG	
Develop Project Reporting – (Stage, Monthly and Grants Reporting)				Project Manager	Status Report – CTL/21/46
Review and monitor expected Benefits				Project Assurance / Project Board	
Development and Maintenance of Other Project Requirements including any approvals/permits				Project Manager	
Development of next Stage Plan				Project Manager	CTL/21/42
Practical Completion (Once all works completed)				Project Manager / Project Quality Assurance	CTL/21/45
Update Defects Liability Register				Project Manager	DOC/21/23289
Authorisation to proceed to next Stage				Project Board	

7.5 Closure

Closure is the final project phase; its purpose is to review the overall success or failure of a Project or Program and handover the deliverables to the asset owner. During the Project Closure, the Project Manager and Project Board are responsible for ensuring benefits have been realised and the Project has been delivered within the defined tolerances outlined in the PID. For a Project or Program to proceed through the Closure phase, it must also receive sign off from relevant stakeholders and complete financial and asset business processes.

During the Closure of the Project the following tasks must be completed:

- Completion of Project Closure Report by the Project Manager including Project Board and Asset Owner acceptance
- TechOne Project Completion and Financial Project Number Closure
- Asset Capitalisation and Financial Depreciation
- Asset Handover and Asset Register Update
- Post Implementation Review (if required)

7.5.1 Project Closure Report

The Project Closure Report is the final document produced by the Project Manager Once the Manage Phase has been completed. The Project Closure Report summarises the success of the project against the Project Management Plan. The Project Closure Report must be completed within two months of the project being completed be submitted to the Project Board for review and approval.

The Project Closure Report must include the following:

- Summary of the Completed Project
- Project financial details
- Overview of Project outcomes (products delivered)
- Comparison of realised and planned business benefits
- Lessons learned and recommended future actions
- Sign off and endorsement from Project Board & Asset Owner.

Once the Project Closure Report has been developed, the Project Board must:

- Review Project Closure Report
- Develop strategies to address any open issues, risks, or unrealised benefits.
- Endorse the Project Closure Report and update the PCG summarising the Project Closure at the available next meeting.

For larger projects a detailed construction history that documents the technical aspects of the completed works may be required. It forms an important record, together with the 'as constructed' drawings and specification of the works. The various reports, drawings, photographic and video records and inspection reports should be catalogued and stored appropriately for future reference.

Once the Project Closure Report has been endorsed by the Project Board, the Project Manager can appropriately Close out the Project as per the Closure Checklist (see Section 7.5.7)

Please see: [MRC – PROJECT CLOSURE REPORT – 2021 TEMPLATE](#)

Note: The Project Closure Report Template is only a guide and can be tailored.

7.5.2 TechOne: Project Completion

Following Project Closure Report Endorsement, the Project Manager must then progress the Project in TechOne to completed to allow asset capitalisation.

7.5.3 Funding Completion

The Project Manager must complete all Funding Deed requirements which may include Completion Reports, Transaction Reports and additional evidence of completion required to acquit the project.

7.5.4 Asset Capitalisation & Financial Depreciation

Assets developed must be capitalised and depreciated. The Project Manager is required to advise Finance after the endorsement of the Project Closure Report to undertake Asset Capitalisation and Depreciation processes.

7.5.5 Asset Handover and Asset Register Update

The Project Manager is responsible for completing an Asset Handover with the Strategic Asset Management Team and Asset Owner. This process is to ensure the Murray River Council's Asset Register is up to date for future maintenance requirements as well as awareness of assets under Council's ownership.

Please advise the Manager, Strategic Assets to complete an Asset Handover.

7.5.6 Post Implementation Review Decision

Projects may be selected to undertake a Post Implementation Review (PIR) to undertake a review of the products, benefits, and costs of a project. The PCG is responsible for determining which projects require a PIR based on the scale of project and after reviewing the Project Closure Report.

The PCG is responsible for allocating the necessary budget and resources to conduct the PIR. The PIR is typically conducted approximately 12-18 months after the project is complete.

7.5.7 Overview of PIR Procedure

Capital investment is extremely important at MRC due to its impact on future profitability and operational performance. Strict control on investment decisions and implementation ensures all capital investment is appropriately appraised, monitored, and managed to deliver optimum outcomes for the community and staff.

A PIR is an important component of overall project governance for MRC. It is not intended to apportion blame for deviations from original forecasts. PIR is instead focused on understanding outcomes and building continuous improvement across all aspects of capital investment decisions and project implementation processes.

The objectives of the PIR are to:

- Determine whether the approved project or program achieved the intended outcomes both financial and non-financial.
- Assess and review project governance arrangements and management procedures.
- Support continuous improvement of Murray River Councils Project Management Framework by identifying key learnings and opportunities for improvement.

The Post Implementation Review template can be found here: [DOC/21/9651 - MRC POST IMPLEMENTATION REVIEW \(PIR\) - 2021 TEMPLATE](#)

7.5.8 Closure Checklist

The following checklists outline the required activities and documentation that should be completed within the Closure Phase for each category of project.

Table 6 Checklist: Closure Phase

Closure Phase					
Closure Phase Requirements	CAT 1	CAT 2	CAT 3	Responsibility of	DOC/19/XXXXX Reference
Develop: Project Closure Report				Project Manager	CTL/21/3
Receive Asset Owner Approval/Sign Off				Project Manager	
Endorse: Project Closure Report				Project Board	
Update PCG of Project Closure at next scheduled meeting				Project Board	
Mark TechOne Project as Complete. Attach Project Closure Report. Close Project from future costs.				Project Manager	
Complete Funding Acquittal / Completion Reports				Project Manager	
Capitalise Asset & Commence Depreciation.				Project Manager & Finance	
Asset Register Update and Handover to Asset Team.				Project Manager & Manager Strategic Assets	
Conduct Post Implementation Review (if required)				Project Control Group / PMO	DOC/21/9651

Part 3: Appendices

Abbreviations

	Definition
BAU	Business as Usual
CAT	Category
CM9	Document Management System
CWE	Capital Works Evaluator
ICT	Information Communications Technology
KPI	Key Performance Indicator
MRC	Murray River Council
PCG	Project Control Group
PID	Project Initiation Document
PIR	Post Implementation Review
PMF	Project Management Framework
PMO	Program Management Office
PRINCE2	PRojects IN a Controlled Environment framework, 2 nd version
PSC	Program Steering Committee
RAG	Red Amber Green (Traffic light ratings)
RFQ	Request for Quotation
RFT	Request for Tender

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1.3. Table of Referenced Documents


The documents referenced in this document are available on the MRC Intranet; the most recent version should always be used.

CM9 Reference	Document Title
CTL/21/47	MRC POLICY - ASSET CAPITALISATION POLICY (CTL/21/47)
CTL/21/8	BENEFITS MANAGEMENT PLAN – 2021 TEMPLATE
CTL/21/13	MRC - COMMUNICATIONS PLAN – 2021 TEMPLATE
CTL/21/145	COMMUNITY ENGAGEMENT PLAN TEMPLATE
SharePoint	DEFECTS LIABILITY REGISTER
CTL/17/42	DELEGATIONS OF AUTHORITY (CEO TO STAFF)
CTL/21/3	PROJECT CLOSURE REPORT – 2021 TEMPLATE
DOC/20/41507	EXCEPTION REPORT TEMPLATE
CTL/21/20	LESSONS LEARNED LOG – 2021 TEMPLATE
MRC S: Drive	ORGANISATION STRUCTURE - MRC 2021
DOC/21/9651	POST IMPLEMENTATION REVIEW (PIR) - 2021 TEMPLATE
DOC/20/40799	PROJECT MANAGEMENT - POLICY
DOC/21/26644	PROJECT MANAGEMENT FRAMEWORK – CONCEPT PROCEDURE
DOC/21/26650	PROJECT MANAGEMENT FRAMEWORK – INITIATION PROCEDURE

CM9 Reference	Document Title
DOC/21/26651	PROJECT MANAGEMENT FRAMEWORK – PLANNING PROCEDURE
DOC/21/26653	PROJECT MANAGEMENT FRAMEWORK – MANAGE PROCEDURE
DOC/21/26654	PROJECT MANAGEMENT FRAMEWORK – CLOSURE PROCEDURE
CTL/21/38	PRODUCT/OUTCOME DESCRIPTION - TEMPLATE
CTL/21/43	PROJECT BUDGET – 2021 TEMPLATE
CTL/21/46	PROJECT STATUS REPORT
CTL/21/18	PROJECT INITIATION DOCUMENT (PID) – 2021 TEMPLATE
CTL/21/41	PROJECT PLAN – 2021 TEMPLATE (MS PROJECT)
CTL/21/26	PROJECT PRODUCT/OUTCOME DESCRIPTION - TEMPLATE
CTL/21/37	PROJECT PROPOSAL - 2021 TEMPLATE
CTL/21/54	PROCUREMENT PLAN - TEMPLATE
CTL/21/12	PROJECT SIZING WORKSHEET - 2021 TEMPLATE
DOC/21/21898	QUALITY MANAGEMENT PLAN – 2021 TEMPLATE
CTL/21/4	RISK ASSESSMENT TOOL – 2021 TEMPLATE
CTL/21/39	RISK AND ISSUE LOG – 2021 TEMPLATE
CTL/21/42	STAGE PLAN – 2021 TEMPLATE (MS PROJECT)
DOC/XX/XXXX	TECHONE TRAINING MANUAL
CTL/21/44	MRC – VARIATION REQUEST & REGISTER TEMPLATE
CTL/21/40	WORK PACKAGE / CHECK POINT REPORT TEMPLATE

Tab Name:	Project Sizing and Complexity Worksheet
Tab Purpose:	Assess the appropriate category for the proposed project and determine the level of supporting assessment and documentation

PROJECT SIZING WORKSHEET

Project Title	<input Project Title> - Copy from Business Case			
Program Name	<input Program Name> - if applicable			
Business Area	Economic Development	Proposal Author		
Business Unit Manager	John Harvie	Project Number	(If Applicable)	
Date		Release	Draft	
Purpose	Other; please specify.....			

The Project Sizing Worksheet has been developed to appropriately scale projects based upon a project's risk and complexity. The sizing tool will categorise projects based upon the project's Risk Exposure Score. The Risk Exposure Score is a function of a projects complexity factors.

The Project Sizing Worksheet has been designed to help standardize MRC project management by categorising projects based on their exposure to risk. The categories will ensure that approved projects are governed with a level of control that fits the projects size and complexity. The worksheet is to be completed by the Project Proponent and submitted with Candidate Form and Business Case submissions.

Instructions: For each Decision Factor, put an X against the most appropriate description for the proposed project. Note that the Project Sizing Worksheet must be completed electronically to ensure Project Sizing Categorisation is accurately calculated.

Complexity Factors	Typical Characteristics of a Low Risk Project	Typical Characteristics of a Moderate Risk Project	Typical Characteristics of a High Risk Project	Comments
Cost				
1. Budget	Low, less than \$50K.	Medium, \$50K to \$250K.	More than \$250K.	
Complexity				
2. Scope	Easily understood scope and problem; the solution and required products are clearly defined and easily achievable.	The scope, and eventual solution, have been defined; scope involves multiple stages or products to be produced.	Initial project scope has been defined and is identified as complex. The problem and/or solution may be difficult to understand. Final products may not be defined.	
3. Quality	Final products have large tolerances.	Final product specifications have some permissible tolerance.	Final products must meet detailed specifications; minimal quality tolerance acceptable.	
4. Change	Few business units impacted by project solution; minimal impact on service delivery or operating procedures.	Multiple business units impacted by project solution; changes will impact service delivery and operating procedures.	Solution impacts entire organization; changes significantly impact the organizations service delivery and operating procedures.	
5. Understanding	Project expectations are clearly understood by all parties involved.	Project features detailed elements that are understood by subject matter experts. There is clarity in regards to the work being undertaken.	The expected deliverables are complex and their may not be a common understanding of the work to be undertaken. The business driver, problem, and/or solution require further clarity to be provided.	
Time				
6. Deadlines	Schedule has large time tolerance and therefore is negotiable; no specific timelines or externally imposed date imperative.	Schedule has set tolerances and therefore can undergo minor variations; however, deadlines are firm.	Deadline is fixed and cannot be changed; schedule has no room for flexibility.	
7. Dependencies	No major dependencies or inter-related projects.	Some major dependencies or inter-related projects but considered low risk.	Major high-risk dependencies or inter-related projects.	
Stakeholders				
8. Size of Project Team	1 or 2	3 to 5	more than 5	
9. Stakeholders	Few stakeholders/ stakeholder groups need to be engaged, consulted, and informed throughout the project; no external stakeholders.	Multiple stakeholders / stakeholder groups need to be engaged, consulted, and informed throughout the project; external stakeholders (customers, government organisations, etc.) may exist.	High levels of internal and external stakeholder engagement required; multiple lines of communication.	
10. Domain Experience	Project team has experience in the domain undertaking similar projects.	Project team has some experience in the domain undertaking similar projects.	Project team has no previous experience in the domain.	
11. Political Sensitivity	Limited political impact/sensitivity on project delivery.	Project subject to political sensitivity in the electorate requiring considerations for community communications and engagement throughout the project lifecycle.	Project subject to high levels of sensitivity requiring comprehensive communications and engagement documentation to support start up, initiation, delivery and closure of the project from Councilors, Council Staff and community.	
Risk				
12. Safety	Without appropriate controls and procedures in place: Incident resulting in minor first aid injuries. No LTI recorded.	Without appropriate controls and procedures in place: Incident resulting in medical treatment and recoverable injuries. LTI recorded and possible short term hospitalisation required	Without appropriate controls and procedures in place: Incident which results in multiple casualties, or a single fatality, not caused by MRC negligence. LTI recorded and long term hospitalisation and recovery required or fatality or permanent serious injury.	

13. Environment	<p>Without appropriate controls and procedures in place, impacts to the environment occur that:</p> <ul style="list-style-type: none"> • Are non-compliant with permit/approval where no species or cultural heritage has been damaged and/or • Are within the immediate area of the source of impact; and/or • Impair natural ecosystem function or commercial productivity of land across 10m²; and/or • Cause no human illness / effects requiring medical treatment; and/or • Have no detectable effect on waterways; and/or • Do not require third party involvement 	<p>Without appropriate controls and procedures in place, impacts to the environment occur that:</p> <ul style="list-style-type: none"> • Are non-compliant with permit/approval where indigenous species have been damaged, that has the potential to cost the organisation up to \$20k in offsets and/or • Are non-compliant with Cultural Heritage legislation and damage one or more items of cultural heritage and/or • May extend beyond the immediate area of the source of impact however still within the local area; and/or • Impair natural ecosystem function or commercial productivity of land across up to 10,000m²; and/or • Cause human illness / effects that require one person to require medical treatment. • Have major impact on waterways with impact detectable between 0 to 10 km downstream; and/or • Require notification of third party (e.g. EPA, DELWP, AAV or other parties) or minimal involvement 	<p>Without appropriate controls and procedures in place, impacts to the environment occur that:</p> <ul style="list-style-type: none"> • Are non-compliant with permit/approval where indigenous species have been damaged, that has the potential to cost the organisation < \$100k in offsets and/or • Extend regionally; and/or • Impair natural ecosystem function or commercial productivity of land across 10,000m² – 50,000m²; and/or • Cause human fatality or local area human health effects requiring multiple hospitalisations and/or permanent disabling effects on human health in one person; and/or • Have significant impact on aquatic biota and town water supplies with impact detectable between 10 and 100 km downstream – remediation and clean-up activities required; and/or • Require third party (e.g. EPA, DELWP, AAV or other parties) involvement necessary. 	
14. Credibility	<p>Without appropriate controls and procedures in place:</p> <p>Internal dissent /isolated external criticism against MRC. No external impact to reputation</p>	<p>Without appropriate controls and procedures in place:</p> <p>Criticism from Stakeholders, involving local community public reactions. Resulting in negative local press coverage</p>	<p>Without appropriate controls and procedures in place:</p> <p>Substantial active criticism from key Stakeholders, Resulting in national media coverage</p>	
Counts	# of Low Risk project characteristics	0.00	# of Moderate Risk project characteristics	0.00
Risk Exposure Score	0.00			
CHECK FACTORS	Risk Exposure Score is a function of complexity factors and risk characteristics.			
Project Sizing Categorisation	Category 1			
	Category 1 projects have a Risk Exposure Score less than 2.	Category 2 projects have a Risk Exposure Score of 2.0 to less than 7.	Category 3 projects have a Risk Exposure Score of 7.0 or greater.	
Refer to Category Governance Guidelines, within the Project Management Governance Framework, to determine the level of documentation and rigour required for a project within this Category.				

Project Title	<Enter a suitable name for the project or initiative that is being proposed>		
Program Name	<If applicable>		
Business Area	<Department Name & Unit Name>	Business Area	<Department Name & Unit Name>
Business Unit Manager	<Name>	Business Unit Manager	<Name>
Date	<Date>	Date	<Date>
Purpose	<Design / Go to Tender / Proceed to Works / Other (Please Specify)>		
Document Number	<CM9 Number>		

Revision History

Revision Date	Previous Revision Date	Summary of Changes	Version

Distribution

This document has been distributed to:

Name	Title	Date of Issue	Version

Approvals

This document requires the following approvals. A signed copy should be placed in the project files:

Name	Signature	Title	Date of Issue	Version

Overview

Purpose

To support the approval of a project, a Project Proposal, often referred to as a Project Charter or Brief, is required to outline the scope, background, objectives, measures of success and approach of a project. This information is to support the relevant approver in making an informed decision regarding the approval of a project.

This document must also be completed prior to applying for external funding. The Project Proposal must also be supported by a Project Sizing Worksheet and Capital Works Evaluation Submission.

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Project Proposal

1. Background & Purpose

Please document the background reasons why this project is being undertaken. This should include the rationale for why the project is being proposed. Please list key reasons including risks, benefits, efficiencies etc. Information here should provide a clear summary of the background information and why this project is being proposed at Murray River Council.

The Purpose should also include the following:

- Whether the Project is a **capital** or **non-capital project**.
- Whether the Project is a **Renewal Project** (ie. Renewing something that already exists or creating a new asset)
- Whether the Project once complete will **deliver revenue or income as a result**.

Please provide a ranking for the project based on the following criteria:

(1) Critical	Must be done to meet OH&S requirements or Council is ordered by a State of Federal Government Department to do the works.
(2) High	Project required to fix a defect or issue that if left for too much longer will become critical and/ or fail.
(3) Growth	Project required to increase Council's ability to meet current or future demand for services.
(4) Routine	Project that are as per Asset Management Plans or other plans and are schedule for renewal/ upgrade as part of those plans
(5) Low	Project that is a 'nice have' but not mandatory for Council to do.

Answer:

The Purpose should also include the following:

- Whether the Project is a capital or non-capital project.
- Whether the Project is a Renewal Project (ie. Renewing something that already exists or creating a new asset)
- Whether the Project once complete will deliver revenue or income as a result

2. Project Objectives

An Objective is an overarching description or statement that aims to outline the reason for undertaking the project. The Project Objectives should focus on what the project is going to achieve, rather than what's produced (as this is should be documented in the Product Description). Where possible, the Objectives should be linked to Council Plans or strategic priorities.

<Insert project objectives>

3. Strategic Alignment (Council & NSW Government)

Please outline how the proposal aligns or supports Murray River Council and/or the NSW Governments Strategic Priorities.

4. Expected Benefits and Dis-benefits:

Please clearly outline the benefits and dis-benefits of the proposed project.

Project Proposal

Benefits:

Please list the known benefits of undertaking the project

Disbenefits:

Please list the known disbenefits of undertaking the project

5. Project Product Description

Please provide description of the product/s or outcomes delivered during the Project Lifecycle. Please be specific and provide a sufficient description of the product or outcome.

Product/Deliverable	Description
<Example>	<Example Description>

6. Project Approach & Business Options:

Please provide a summary of how the project could be successfully delivered. Please include in this proposal possible funding approaches, whether the project will be using internal resources, contractors or other. Where possible, please include information around possible funding arrangements.

7. Project Specifications & Tolerances:

Please document the project specifications for Time, Cost, Quality, Scope, and Risk and any tolerances allocated to the Project Manager.

Time	Please include the estimated time for completion and tolerances (if any).
Cost	Please include the proposed project cost. Please include any tolerances.
Quality	Please include any quality requirements identified for the Project.
Scope	Please include a summary of the Project Scope. Please include any specific details in Section 8.
Risk	Please include any identified significant risks during the Project Proposal. Please use the Risk Assessment Template (Section 9) to document these.

Project Cost:

Please include the proposed Project Cost. Please also include any tolerances or contingencies included.

Total Project Cost:

Contingency Amount:

Cost Considerations:

8. Project Scope and Exclusions

Inclusions - detailed description of the products to be incorporated in the project:

Inclusion Title	Description

Exclusions - list of related tasks/products not to be undertaken/produced by the project:

Exclusion Title	Description

Project Constraints and Assumptions

Constraints – please detail any constraints/restrictions/limitations/controls regarding the project.

Constraint	Description

Assumptions – Please detail any assumptions/beliefs regarding the project.

Assumption	Description

9. Project Risks

Please utilise the table below to identify risks to Murray River Council by highlighting the relevant cells for risk type and consequence levels. For those that are not relevant, please ignore or delete the row not applicable.

Risk Type	Consequence				
	Extreme	Major	Moderate	Minor	Insignificant
ASSETS	Severe failure of an asset causing disruption for a considerable period to critical functions – particularly roads, bridges, water supply or offices	Major failure of an asset causing disruption for a limited period to critical functions – particularly roads bridges, water supply or offices	Failure of an asset causing temporary disruption or requiring a work around for important functions	Partial failure of an asset causing a minimal period of disruption	Failure of an asset causing minimal disruption or inconvenience
COMMUNICATION & INFORMATION	Cessation or severe disruption to critical function/s for a considerable period due to loss, damage or unauthorised access to property, assets records or information	Cessation or severe disruption to critical function/s for a limited period due to loss, damage or unauthorised access to property, assets, records or information	Temporary disruption to critical function/s due to loss, damage or unauthorised access to property, assets, records or information	Minor disruption to functions or minimal period of disruption. Minor loss or damage to property, assets, records or information	Minimal effect on services. No loss or damage to property, assets, records or information
SECURITY	Cessation or severe disruption to critical function/s for a considerable period due to loss, damage or unauthorised access to property, assets records or information	Cessation or severe disruption to critical function/s for a limited period due to loss, damage or unauthorised access to property, assets, records or information	Temporary disruption to critical function/s due to loss, damage or unauthorised access to property, assets, records or information	Minor disruption to functions or minimal period of disruption. Minor loss or damage to property, assets, records or information	Minimal effect on services. No loss or damage to property, assets, records or information
COMMUNITY EXPECTATIONS	Failure to meet/submit critical priorities and deadlines. Sustained adverse national or NSW wide publicity and media reporting. Significant loss of public confidence, loss of reputation.	Failure to meet/submit a significant number of priorities and deadlines. Sustained adverse publicity and media reporting. Considerable loss of public confidence, loss of reputation.	Failure to meet/submit a number of critical priorities and deadlines. Increasing and broadening adverse publicity at a local level, loss of community confidence, escalating	Failure to meet one or more deadlines or submission of reports. Periodic loss of public support. Higher than normal customer complaints	Minimal reports and/or deadlines missed. Occasional adverse local publicity
LEADERSHIP & MANAGEMENT	Failure to meet/submit critical priorities and deadlines. Sustained adverse national or NSW wide publicity and media reporting. Significant loss of public confidence, loss of reputation.	Failure to meet/submit a significant number of priorities and deadlines. Sustained adverse publicity and media reporting. Considerable loss of public confidence, loss of reputation.	Failure to meet/submit a number of critical priorities and deadlines. Increasing and broadening adverse publicity at a local level, loss of community confidence, escalating	Failure to meet one or more deadlines or submission of reports. Periodic loss of public support. Higher than normal customer complaints	Minimal reports and/or deadlines missed. Occasional adverse local publicity

	Major number of customer complaints	Significant number of customer complaints	customer complaints		
EMERGENCY MANAGEMENT	Council-wide disaster or situation resulting in total shutdown for a period of time	Disaster or situation resulting in functions being shutdown in parts of the Council area. Temporary relocation of staff and/or functions	Disruption to a number of services or work teams. Limited relocation of staff and/or functions	Some disruption at a particular location but manageable by temporary changes to work practises	Minimal effect on service delivery
ENVIRONMENTAL	Permanent effect on the environment or is unlikely to recover	Long-term effect on the environment. The environment will only recover through external assistance /intervention	Short-term effect on the environment. Environment likely to make a full recovery through local planning and response measures	Minor effect on the environment. Environment to make a full recovery by routine measures	No lasting effect on the environment
FINANCE	<p>Extreme financial mismanagement resulting in creditors and staff are unable to be paid</p> <p>More than 20% over budget</p> <p>Loss of major grant funding, major financial judgement or fraud event</p> <p>>\$1m recurrent reduction in operating budget, one off loss of > \$2m</p>	<p>Major financial mismanagement resulting in creditors not being paid within terms</p> <p>More than 10% over budget</p> <p>Loss of considerable grant funding or substantial financial judgement or significant fraud event</p> <p>\$500k-\$1m recurrent reduction in operating budget, one off loss of \$1m - \$2m</p>	<p>Financial mismanagement resulting in being more than 5% over budget</p> <p>Loss of grant funding or a financial judgement or fraud event</p> <p>\$250k-\$500k recurrent reduction in operating budget, one off loss of \$500k -\$1m</p>	<p>Financial mismanagement resulting in significant adjustments to budgets and a resulting impact on upcoming financial year</p> <p>\$100k-\$250k recurrent reduction in operating budget, one off loss of \$250k -\$500k</p>	<p>Temporary loss of income or unplanned expenditure related to a particular project</p> <p><\$100k recurrent reduction in operating budget, one off loss of <\$250k</p>
LEGAL	Legal judgement, claim or non-compliance with legislation resulting in prolonged suspension for service delivery or major fine	Legal judgement, claim or non-compliance with legislation resulting in medium term suspension for service delivery or considerable fine	Legal judgement, claim or non-compliance with legislation resulting in temporary suspension for service delivery or fine	Legal judgement, claim or non-compliance with legislation resulting in short term disruption to service delivery	Legal judgement, claim or legislative change but no impact on service delivery
WORKFORCE	Unplanned cessation of critical function/s that effect whole of Council. Lose key staff	Unplanned cessation of function/s that may flow on to other directorates or work teams. Staff turnover well above industry benchmark	Unplanned restrictions to function/s due to workforce shortages. Staff turnover slightly above industry benchmark	Unplanned restrictions or delays in providing service localised to a Directorate or work team	Minimal effect on service delivery. Staff turnover within industry benchmark

WORK HEALTH & SAFETY	Multiple deaths or life threatening injuries or illness to staff/public	Death or life threatening injury to illness causing hospitalisation of staff/public	Serious harm, injury or illness causing hospitalisation or multiple medical treatment cases	Minor to major harm, injury or illness to staff/public where treatment of First Aid is required	Harm, injury or illness not requiring immediate medical treatment
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10. Stakeholders

Please list stakeholders involved or impacted in the table below:

Stakeholder Name/Role	Involvement/Impact
Eg. Transport for NSW	Responsible for the management and delivery of State Road – Major Stakeholder

Please also complete the table below with potential project board members:

Project/Program Sponsor:	(Accountable for the Project and normally is a funding provider. Referred to as the Sponsor in PMBOK)
Project Quality Assurance Role:	(If an individual is allocated for Quality Assurance please list there name here, alternatively the broader Project Board may fill this role)
Project Manager:	(the person responsible for the management/delivery of the project)
Subject Matter Expert / Consultant	(A nominated representative of the supplier or resources)
End User Representative	(A nominated representative of the end users)
Add additional roles as necessary	

Glossary

Term	Definition
RFQ	Request for Quotation
NSW	New South Wales
CWE	Capital Works Evaluation – Tool Developed by CT Management
MRC	Murray River Council

Project Initiation Document (PID)



Project Title	<Enter a suitable name for the project or initiative that is being proposed>		
Program Name	<If applicable>		
Business Area	<Department Name & Unit Name>	Proposal Author	<Name>
Business Unit Manager	<Name>	Project Number	<If Applicable>
Date	<Date>	Release	<Draft/Final>
Purpose	<Design / Go to Tender / Proceed to Works / Other (Please Specify)>		
Document Number	<CM9 Number>		

Revision History

Revision Date	Previous Revision Date	Summary of Changes	Changes Marked

Distribution

This document has been distributed to:

Name	Title	Date of Issue	Version

Approvals

This document requires the following approvals. A signed copy should be placed in the project files:

Name	Signature	Title	Date of Issue	Version

Overview

Purpose

The Project Initiation Documentation (PID) is used to define the project and provide necessary information to support detailed planning and later delivery of the project. The Project Initiation Documentation gives the direction and scope of the project and forms the 'contract' between the Project Manager and the Project Board.

The Project Initiation Document should summarise key information from the approved Project Proposal and support this with further information outlining how the project will be initiated, managed, and closed.

The Project Initiation Document should be tailored in size in relation to the Project Sizing Worksheet. Larger projects may wish to use this document to summarise information for appended/linked documents, where smaller projects may wish to document information within the PID template.

The Project Initiation Documentation is a living document in that it should always reflect the status, plans and controls of the project. Its component parts (or documents) may need to be updated and re-baselined (as necessary) at the end of each stage to reflect the status of the project.

The original document should be saved and compared during the closing phase of the project.

Please delete once the PID is finalised.

Project Initiation Document (PID)

Please complete all sections below:

Project Brief

Purpose

Please document the background reasons why this project is being undertaken and what it will deliver once completed. **This section should be informed by or copied from the approved Project Proposal.**

Project Objectives

Please outline the objectives of the project:

1. Please List
2. Please List

Where possible include details of how each objective will be measured.

Project Scope and Exclusions

Inclusions - detailed description of the products to be incorporated in the project:

Inclusion Title	Description

Exclusions - list of related tasks/products not to be undertaken/produced by the project:

Exclusion Title	Description

Project Deliverables

Please list below the tangible or intangible outputs or outcomes from the successful delivery of the Project.

Deliverable/Output	Description

Project Constraints

Please list any restrictions, limitations and controls imposed on the project. This may be cost, time, deadlines, or additional restrictions.

Constraints	Description

Project Assumptions

Please list any assumptions or beliefs regarding the project.

Assumption	Description

Project Tolerances

Project Initiation Document (PID)



Please document any variations allowed for Time, Cost, Quality, Scope, and Risk that can be authorised by the Project Manager before escalation to the Project Board.

Time	Maximum extension of time:
Cost	Project Budget
Quality	Please outline any specified quality requirements.
Scope	
Risk	The default tolerance is that ALL High and Extreme risks (as defined by the Risk Management Plan) MUST be escalated to the Project Board.

RISK (note any extension to the default tolerances): The default tolerance is that ALL High and Extreme risks (as defined by Risk Policy MUST be escalated to the Project Board.

Project Board & Team

Project Board:

Please utilise the table below to list members of the project board. Where a role is not filled, please leave blank.

Role:	Name of Staff Member:
Project Sponsor/Program Sponsor	
End User Representative	
Subject Matter Expert / Consultant	
Project Quality Assurance	
Project Manager	

Project Team:

Please utilise the table below to list members of the project team. Update names and add rows as necessary.

Role:	Name of Staff Member
Team Manager:	
Project Team:	
Contractor:	
Consultants:	
Suppliers:	

Communications Plan

Stakeholders:

Stakeholder Name	Role in Project	Level of Influence

Engagement Plan

Engagement Activity	Responsible	When	Who
Examples			
Community Consultation – Town Meeting	PM	3/4/21	Tooleybuc community
Public Exhibition of Master Plan (28 Days)	PM	15/14/21	MRC Website
Toolbox Meeting	Site Manager	Daily	Project Team and Contractors

Project Management

Approach

Please summarise how the project will be managed to successfully deliver the outlined objectives and deliverables. Please include any key information such as stages of delivery, contractor involvement and whether the project is a Design and Construct or Construct project.

Project Milestones and Stages

Please utilise the tables below to list project Milestones and Deliverables

Milestone/Stage Detail	Delivery Date

Costs:

Please include a high-level breakdown of the costs involved in the project based on the approved budget.

Category	Item / Activity / Task	QTY	Amount	Cost

Monitoring and Control

Quality Management Strategy

Project Initiation Document (PID)

Please describe how the project will be managed to ensure the products and services are delivered are of an acceptable quality. Please list any design standards along with responsible staff for ensuring these standards are met. For larger projects, a Quality Management Plan and Project Quality Assurance Role may be required. Where necessary, please link to external documents and resources.

Appendix

CM9 Reference	Document	Link

Glossary

Term	Definition
PM	Project Manager
PSC	Program Steering Committee
QTY	Quantity

Community Engagement Plan



Project: <Insert Project Title>

Project Number - <Insert Project Number from TechOne>

Project Manager - <Insert Project Manager>

Project Background –

Please summarise the background of the project being completed (Copy from Project Proposal or Project Initiation Document if required)

The aim of this communication and engagement plan is to:

Please summarise the aim of this communication and engagement plan based on the project being delivered. Aims will vary based on the type of impact, number of stakeholders affected, level of interest/influence and risk.

Engagement will be based upon the following:

- Four key dot points about what the engagement will focus on
- This may be for awareness, feedback, input or due to impacts on the community such as a road closure.
-

Decision Makers / Influencers

- This will be populated out of the Stakeholder Map (page 3)

Desired Outcome (project drivers) –

- Please list the desired outcomes/objectives of the project
- Please list the desired outcomes of the engagement plan/engagement activities

Key Messages –

- 4-6 key dot points about what you want to convey to the community
- These points will be used to formulate the media releases, website content, social media messages, Mayoral columns etc

Community Engagement Plan

Engagement Constraints / parameters

Geographic boundaries	What area will the project cover? Whole of LGA, Moama, Meninya Street, Old Wakool Shire....
Timelines	When will the project start and finish include timeline start of planning for the project as well as time to complete the closure reports and final feedback to the community. Please list any milestones/hold points of the project.
Budget	\$ XX (total budget amount for the project) (\$XX funded by XXX (grant))
In Scope - negotiables	What are the elements that are negotiable from a community perspective??
Out of scope – non-negotiables	What elements are non-negotiable

Project Team – list all project team members including Communications and Engagement. Copy from Project Proposal.

Project/Program Executive:

Project Quality Assurance Role:

Project Manager:

Senior Supplier:

Senior User:

Water Services:

Project Team: (Please list as required)

Communications/Engagement Manager:

Community Engagement Plan

Stakeholders / Community Groups / Interested, affected or potentially affected parties

Organisation / Association / Contact name	Public Expectation – Level of Participation (use IAP2 spectrum)	Internal MRC Expectation –Level of Participation (use IAP2 spectrum)	Maximum (up to) level of engagement (use IAP2 spectrum)	Comments (why is there a difference in the two – if required)
Decision Makers				
Influencers				
Community Groups				
Specific Interest Groups				
Government Agencies				
Non-Government agencies				
Consultants / Developer				
Customers – Residential				
Customers – Business				

Community Engagement Plan

General Community				
Other				

Project Managers are to complete too here. Then set a meeting with the Community Engagement Team for the next steps.

Public Participation Goal - [linked to the IAP2 spectrum](#).

Promise to the Public - [linked to the IAP2 spectrum](#).

Community Engagement Plan

IAP2 Spectrum of Public Participation.

IAP2's Spectrum of Public Participation was designed to assist with the selection of the level of participation that define the public's role in any public participation process. The Spectrum is used internationally, and it is found in public participation plans around the world.

	Inform	Consult	Involve	Collaborate	Empower
Public Participation Goal	To provide the public with balanced and objective information to assist them in understanding the problem, alternatives, opportunities and/or solutions	To obtain public feedback on analysis, alternatives and/or decisions.	To work directly with the public throughout the process to ensure concerns and aspirations are understood and considered.	To partner with the public in each aspect of the decision including the development of alternatives and the identification of a preferred solution.	To place the final decision making in the hands of the public.
Promise to the public	We will keep you informed	We will keep you informed, listen to and acknowledge concerns and aspirations, and provide feedback on how public input influenced the decision.	We will work with you to ensure that your concerns and aspirations are directly reflected in the alternatives developed and provide feedback on how public input influenced the decision.	We will look to you for advice and innovation in formulating solutions and incorporate your advice and recommendations into the decisions to the maximum extent possible	We will implement what you decide.
Role of the Community	Listen	Contribute	Participate	Partner	Decide
Example Techniques	Factsheet Website	Public comment Surveys	Workshops Deliberative polling	Citizen advisory committees	Citizen juries Ballots

Community Engagement Plan

Engagement / Promotional Materials

List here any give-aways

Item	Message / Theme (how does the item fit with the project?)	How many items initially planned on being used / purchased?	How many items were actually used / given to community?	What events were they provided at? How were they received?
Pen				
Pencils				
Colour-ins				
Mini footy				
Calendar				
Calico bag / Reusable bag				

Community Engagement Monitoring

This section of the document tracks all engagement activities in a succinct table and provides commentary in relation to monitoring and measurement for the success or implementation of the action.

1. EG - Initial Media Release – relating to Council report – 24 May 2021	Monitoring and Measurement
 <p style="text-align: center;">MEDIA RELEASE</p> <p>FOGO a go at Murray River</p> <p>Residents from right across Murray River Council can expect to have a Food Organics Garden Organics waste collection service – known as FOGO - from mid-2022, after Council received funding under the <i>NSW Environment Protection Authority's Waste Less Recycle More</i> program.</p> <p>The \$321,914 grant will ensure all customers who currently have access to kerbside waste collection will have a green bin service introduced to their collection schedules from mid next year.</p> <p>This will also expand the green bin service currently operating in Moama and Mathoura to include both food and garden organics.</p> <p>"We have had lots of requests to expand our current garden organics collection service right across the council area, so it is exciting that we can now start planning the implementation of this initiative thanks to the EPA funding," Mayor Chris Bilkey said.</p> <p>"The 3-bin Food Organics Garden Organics system will provide residents with more options for separating their waste, with the aim of improving recovery rates, increasing diversion from landfill and reducing costs of processing material."</p> <p>"Residents can also expect a comprehensive education program so they know what to put in each bin and how the system will work. Keep an eye on Council's website and Facebook page for more information as it comes to hand."</p> <p>The introduction of the new service will be rolled out across the council area in 'one go' to avoid any confusion with implementation and start dates.</p> <p>Cr Bilkey said this will also assist in the harmonisation of waste services across the Council area.</p> <p>As part of the implementation of FOGO, customers can expect the following:</p> <ul style="list-style-type: none"> All residential kerbside waste customers will be provided a 240L green-lidded FOGO bin, kitchen caddy (small benchtop scraps bin) and compostable liners to fit the caddy All residential kerbside waste customers that currently have access to the residential kerbside waste collection service will have the following services: <ul style="list-style-type: none"> Weekly FOGO (240L green lid) organics collection Fortnightly (240L yellow lid) recycling collection Fortnightly (140L red lid) general waste collection. <p>"Customers can expect to start receiving the caddies, liners, information packages and green lid bins if they don't already have one during May and June next year," Cr Bilkey said.</p> <p>FOGO collection will begin across the entire Council area for residential kerbside customers on the 1st of July 2022.</p> <p>There will be no changes to collection schedules until this time.</p> <p>Commercial kerbside waste customers will not be receiving a FOGO (green lid) bin at this time, with plans to roll out separate FOGO program for this service in the future.</p> <p style="text-align: center;">-ends-</p> <hr/> <p>Further information: Courtney Dean Communications Coordinator 0428 329 545 cdean@murrayriver.nsw.gov.au</p> 	<p>Media release sent to 20 outlets.</p> <p>Picked up by Riverine Herald (Echuca) – page 7 (see insert)</p> <p>Published on Riverine Herald Facebook page</p> <p>Reactions –</p> <p>👍 22 🤔 15 😲 5 😬 1</p> <p>Shares – 5</p> <p>Comments – 79 (ref DOC/21/23624 for log of all comments – downloaded 2.15pm 1-6-2021)</p> <p>Published in Waste management Review – 27-5-2021</p> <p>https://waste-management-eview.com.au/murray-river-fogo-waste-collection-service-announced/</p>
2.	
3.	Monitoring and Measurement

Community Engagement Monitoring

4.	Monitoring and Measurement
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21.	Monitoring and Measurement

Community Engagement Monitoring

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Community Engagement Monitoring

40.	Monitoring and Measurement
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42.	Monitoring and Measurement
43.	Monitoring and Measurement
44.	Monitoring and Measurement
45.	Monitoring and Measurement

Community Engagement Monitoring

Place copies of any additional materials here which reference the table above but are un-readable in the table format.

Project Status Report: <Insert Project Title>

Date	Click or tap to enter a date.	Reporting Period	eg. Monthly or Stage	Project Manager:		RAG Status	Choose an item.
Project Summary:				Project Progress			Overall % Complete
<p>Please provide a summary update for the reporting period. This should focus on the overall Project Progress.</p> <p>Any achievements should be highlighted in the 'Key Achievements' section below.</p>				Stages	Progress	Status	Finish Date
				Concept	%	Green	Enter Date
				Initiation	%	Amber	Enter Date
				Planning	%	Red	Enter Date
				Design	%	Choose an item.	Enter Date
				Procurement	%	Choose an item.	Enter Date
				Construction/Delivery	%	Choose an item.	Enter Date
				Closure	%	Choose an item.	Enter Date
Key Achievements:				Financials			
<p>Please list any key achievements from the previous reporting period. This may include any milestones met, risks and issues mitigated, or approvals/permits/plans completed.</p>				Project Budget		\$	
				Life-to-Date (LTD)		\$	
				Percentage Spent		%	
Next Steps:				Risks and Issues			
<p>Please summarise upcoming activities for the Project including expected dates of completion and any products or milestones achieved.</p>				ID	Insert Risk/Issue Description	Status	Due Date
						Select	Enter Date
						Select	Enter Date
						Select	Enter Date
						Select	Enter Date
						Select	Enter Date

Project Closure Report



Project Title	Insert Project Title		
Program Name			
Business Area	<Insert Department>	Proposal Author	<Insert name>
Business Unit Manager	<Insert Name>	Project Number	<If Applicable>
Date	3/11/2020	Release	Draft
Document Number	<DOC/21/xxxxx>		

Revision History

Revision Date	Previous Revision Date	Summary of Changes	Changes Marked

Distribution

This document has been distributed to:

Name	Title	Date of Issue	Version

Approvals

This document requires the following approvals. A signed copy should be placed in the project files:

Name	Signature	Title	Date of Issue	Version

Overview

Purpose

The Project Closure Report is developed during the closing stage of a project to report on the overall success of a Project. This document should highlight the outcomes of the project and compare what was delivered against that mentioned in the Project Proposal and Project Initiation Document. This Project Closure Report may include the following:

- Objectives
- Benefits
- Products
- Financials
- Lessons
- Supporting commentary

Advice

The Project Closure Report should summarise the delivery of the project to the Project Executive and Project Governance Committee in a concise manner. As this is a report, it must only focus on the facts or outcomes of the Project.

The Project Closure Report should highlight what went well, what didn't go well and any outstanding items such as benefits yet to be realised or risks. Once Completed, the Project Closure Report must be approved by the relevant role.

Please Delete once finalised

Project Closure Report

Project Description

Copy from Project Proposal or Project Initiation Document.

Project Objectives

Please list the objectives from the Project Initiation Document and list how they were achieved or any variations that occurred during the Project. If any items were not delivered, please outline why this was the case including evidence of variations.

Project Benefits

Summary outlining all benefits delivered during the lifecycle of the project. This should be reviewed against the approved Project Proposal and Benefits Management Plan (if developed). Please ensure any residual benefits are also included.

Project Products

Please list all Products delivered during the project including approvals. For any Products which were not delivered, please outline why and include approved variations.

Financial Summary

Items	Project Budget (\$)	Project Actual (\$)
Please list items such as goods, services, or milestones		
Total:		

Commentary:

Lessons Learned

A summary of any key lessons learnt during the Project. This is particularly important for improving processes and future projects.

Project Manager Comments

Please list any commentary to support to the approval of this report

Project Closure Approval:

Role & Name	Signed	Date
Project Manager – Name		DD/MM/YYYY
Project Executive – Name		DD/MM/YYYY

Annex 6: Commercial Project Development Process

Project Management Framework

Commercial Project Development Process

Project Management Framework (PMF)

Project Concept Phase

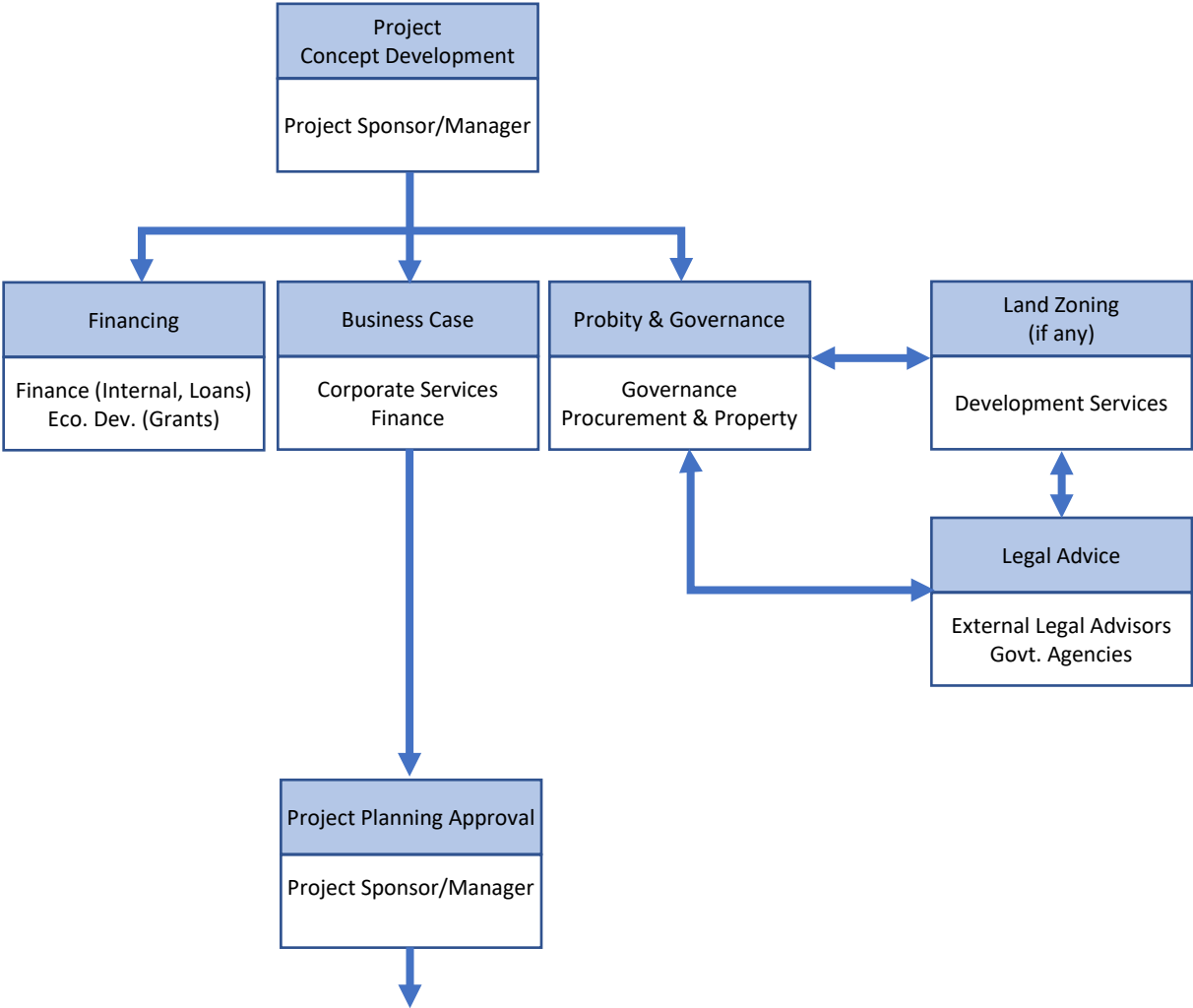
Identify Scope, Risk/Benefit, and Proposed PCB. Project Proposal Developed

Project Proposal should establish the Business Case, and identify any Technical, Financial, Governance, Legal and Probity Issues. Identify all Legislative and Policy requirements

Gateway 1 : Project Planning Approval

CEO/ELT Approval
Budget Allocation

Responsibilities & Accountabilities



Consultations

Project Initiation Phase

Establish Project Control Board.
 Compile Project Initiation Document (PID)
 Obtain Project Budget Allocation

Project Planning Phase

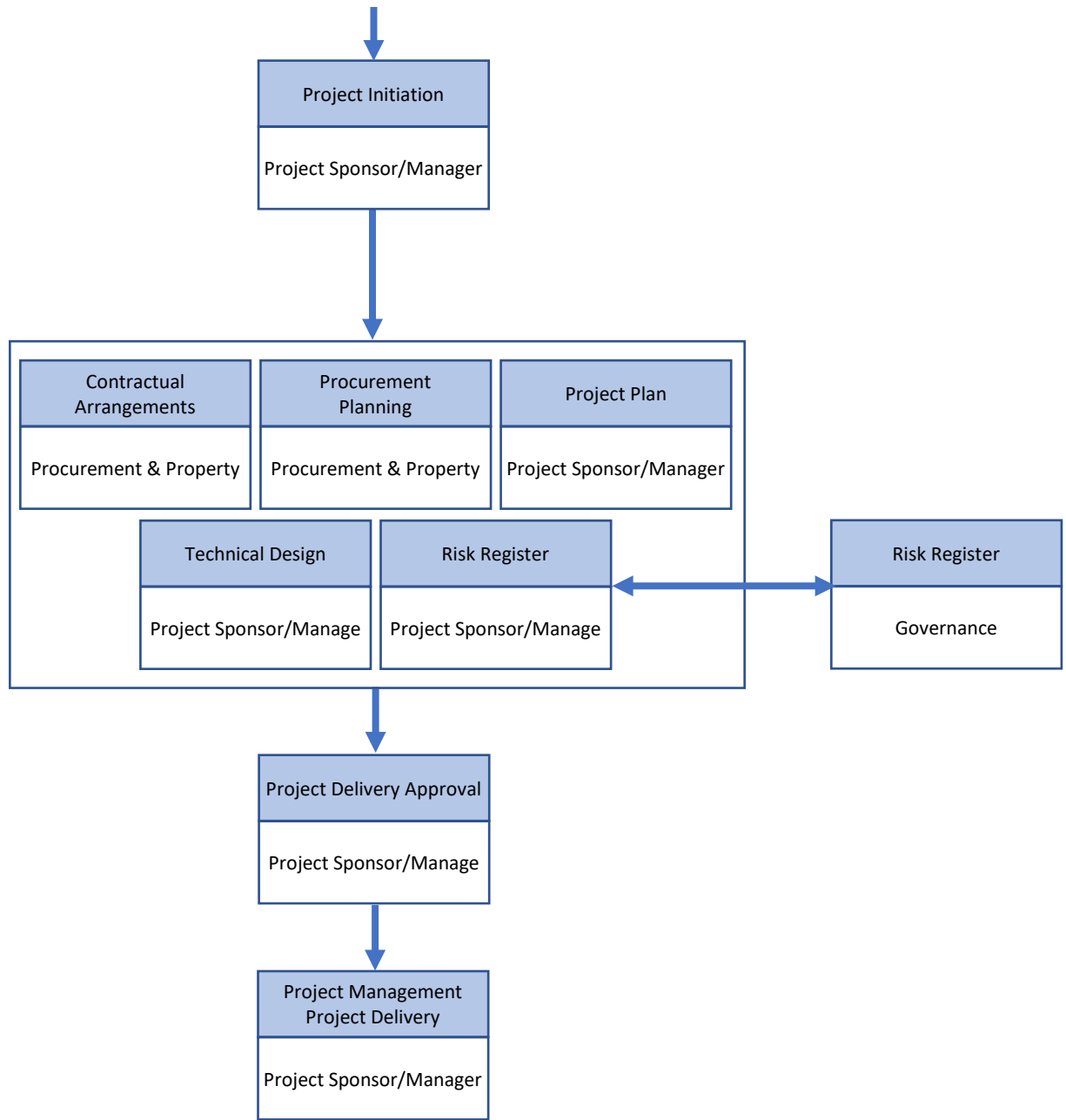
Establish Project Control Board.
 Obtain Project Budget Allocation

Gateway 2 : Project Delivery Approval

PCB Approval for Project Delivery

Project Manage Phase

Establish Project Control Board.
 Obtain Project Budget Allocation



Annex 7: Land Acquisition and Disposal Policy (Provisional)

MURRAY RIVER COUNCIL
COUNCIL POLICY

PROVISIONAL
LAND
ACQUISITION
AND
DISPOSAL
POLICY

POL-601 V#1



murray river
council

1. INTRODUCTION

From time to time, Council will need to acquire land (as permitted under section 186 of the LG Act) and dispose of land for the purpose of exercising its functions under the LG Act.

Council has duties and obligations under a range of legislation applicable to land acquisition and disposal. This Policy has been developed in order to provide the framework for a transparent process that adheres to the relevant legislation.

2. OBJECTIVES

The objectives of the Policy are to:

- ▶ ensure that Council has a transparent and accountable process to consider the Acquisition and Disposal;
- ▶ establish the criteria under which Council will consider Acquisitions and Disposals;
- ▶ establish the policy for granting Community Leases;
- ▶ ensure best value is achieved in Council land dealings; and
- ▶ ensure that Council meets its obligations under relevant legislation and regulations.

3. SCOPE

This Policy applies to all Acquisitions and Disposals undertaken by Council (subject to the exclusions stated herein).

This Policy will NOT apply to sale of land undertaken to recover unpaid and overdue Rates & Charges. Sale of land undertaken for such purpose will be in accordance with the LG Act (Chapter 17, Part 2, Division 5) and the Regulation.

4. LEGISLATION

This policy complies with the requirements of the *Local Government Act 1993 (LG Act)* and the accompanying *Local Government (General) Regulation 2021 (Regulation)*.

In implementing this Policy, Council must have regard to the legislative parameters of the following:

- ▶ *Community Land Development Act 2021*
- ▶ *Conveyancing Act 1919*
- ▶ *Crown Land Management Act 2016*
- ▶ *Environmental Planning and Assessment Act 1989*
- ▶ *Land Acquisition (Just Terms Compensation) Act 1991*
- ▶ *Real Property Act 1900*
- ▶ *Roads Act 1993*
- ▶ *Strata Schemes Development Act 2015*

5. POLICY STATEMENT

In accordance with section 377 of the LG Act, all Acquisitions and Disposals will be conducted only based on a specific resolution of Council. Such authority cannot be delegated to the CEO.

As a first principle, all resolutions for the Acquisition or Disposal will be made in the open section of a general meeting of Council. Where the information relating to the Acquisition or Disposal falls within the

parameters of sections 10A(2)(c), 10A(2)(d), or 10A(2)(g) of the LG Act, deliberations relating to such matters may be made at a meeting of Council that is closed to the public.

Where a report recommending an Acquisition or Disposal has been deliberated in a meeting closed to the public (for the reasons set out above), such confidentiality will be deemed lifted once all transactions related to the Acquisition or Disposal has been completed, unless the resolution specifically states that the report is to continue to be maintained as confidential even after the transaction has been completed. Where such a statement is included in the resolution, the report shall clearly identify the reasons why the confidentiality should not be lifted on completion of the transaction(s).

5.1 General compliance

Sections 25 and 26 of the LG Act require all “Public Land” to be classified as either community or operational.

The purpose of this classification is to identify clearly that land which should be kept for use by the general public (community) and that land which need not (operational).

Classification (or reclassification) of Public Land will be done either through an LEP or through a specific resolution of Council.

Section 45 of the LG Act provides that Council has no power to sell, exchange or otherwise dispose of community land.

The LG Act places certain limitations on how community land can be leased. Classification or reclassification of land does not affect any estate or interest that Council has in the land.

In accordance with section 53 of the LG Act, Council will maintain a register of all land vested in Council or under its control.

Prior to any Acquisition or Disposal, a process of internal consultation will be undertaken with relevant directorates and departments, to determine the need for acquisition or that the land identified for disposal is deemed surplus, as the case may be. Where a Disposal of land classified as community is being considered, such consultation shall take place prior to the reclassification of the land to operational.

Council, as custodian of public assets, in furthering public accountability and transparency and to ensure that Council receives best value, will endeavour to undertake all Acquisitions and Disposals through an open market process such as an auction, public tender, open call for offers to sell/purchase, or an expression of interest process, except in circumstances where a direct negotiation is considered more practical (i.e. where it may be impossible to test the market or to use a competitive process or where it may be so impractical or expensive that direct negotiations are the most acceptable way to transact).

Where deemed necessary, Council may undertake the Acquisitions and Disposals through direct negotiations. In such instances, the Council shall specify that the transaction is to be made through direct negotiation. The Council report accompanying the said resolution will lay out the reasons justifying proceeding through direct negotiation, instead of an open market process. Such report will address the matters set out in the ICAC Guideline.

5.2 Acquisition of Land:

The acquisition of land whether for community or operational purposes, shall be undertaken in accordance with the following procedures aimed at ensuring an accountable and transparent process that will deliver optimum value for Council.

Acquisitions are to be identified taking into consideration:

- (a) the purpose for which they needed to be acquired;
- (b) the strategic nature of such properties; and
- (c) the value that such properties have to the community.

Valuation

Unless there is a pressing reason which makes it impractical to do so, a valuation by a Certified Practising Valuer shall be commissioned, in accordance with Council's procurement requirements, for all Acquisitions prior to any negotiations with the Landowner or the adoption of a Council resolution for Acquisition. Such valuation report shall indicate a specified value range for the land being valued. Council reports related to Acquisitions shall be accompanied by the relevant valuation report that is no older than six months from the date of the Council meeting. Where a valuation report does not accompany a Council report, that fact, and the reasons justifying not undertaking a valuation, shall be included in the report.

Where the expected value of the Acquisition exceeds One Million dollars (\$1,000,000), two valuation reports shall be commissioned, independent from each other, and both reports shall be appended to the Council report accompanying the resolution authorising the Acquisition.

Method of Acquisition

In instances where the purpose of the proposed Acquisition makes it viable for the land to be located in more than one specified location, such Acquisitions shall be undertaken through an open market process such as calling for offers or expressions of interest. Such open market process shall specify the criteria which would make the land suitable for the identified Acquisition and any other conditions that may be applicable to the acquisition.

Where an open market process is not viable, and subject to the other provisions of this Policy, Council may undertake Acquisitions either:

- ▶ at an auction;
- ▶ by agreement with the Landowner; or
- ▶ by compulsory acquisition in accordance with the requirements of the LAJTC Act.

It is acknowledged that it may not always be possible to adopt a Council resolution prior to commencement of negotiations with the Landowner. In such instances, Council Officers may:

- ▶ enter into negotiations, subject to notifying the Landowner in writing that any negotiations are subject to adopting a Council resolution for the acquisition of the land; and
- ▶ where necessary make a conditional offer for the Acquisition, subject to the Council adopting a resolution for the Acquisition under the agreed terms and conditions.

No Council Officer shall make an unconditional offer for an Acquisition without a Council resolution authorising such Acquisition.

When an Acquisition is a compulsory acquisition, such acquisitions shall be made strictly in keeping with all relevant legislation (including the Act, the LAJTC Act and the *Roads Act 1993*).

Council Resolution

A Council resolution for the acquisition of the land will be adopted prior to commencing negotiations or making an offer. In such instances, either the maximum price to be paid for the land or a range of prices will be identified in the Council report accompanying the resolution. Such a Council report will be deemed to be falling within the definition of s10A(c) of the LG Act.

All Council resolutions for Acquisitions shall resolve to classify the land as either community or operational post-acquisition. Unless the Acquisition is specifically for use by the general public, the classification of the land shall be identified as operational.

Where the Council report recommending an Acquisition is recommending a maximum purchase price above the upper limit identified in the valuation report, that fact and the amount by which the recommendation exceeds the upper limit specified in the valuation report, shall be clearly stated in the Council report.

Council Officers shall not participate in an auction for an Acquisition unless a Council resolution has been adopted prior to participating in the auction. Such resolution shall clearly identify that the acquisition is to be undertaken through an auction and the report accompanying the resolution shall indicate the maximum

value to be bid for the Acquisition. It is acknowledged that such a report will fall within s10A(2)(c) of the LG Act and as such may be deliberated at a meeting closed to the public.

Delegated Authority

A Council resolution for an Acquisition shall include a delegation to the CEO to negotiate the purchase price (below the maximum price or within the set limits), if necessary negotiate any minor conditions, and to execute any documents deemed necessary for the Acquisition by Council's legal advisors.

A Council resolution for an Acquisition through an auction shall make a specific delegation of authority to the CEO to participate in and make bids at the auction, subject to any limitations (including the maximum value to be bid) that applies to the delegation.

The CEO may sub-delegate the authority to participate in and make bids at a specific auction to another Council Officer who is a director (or equivalent) who directly reports to the CEO.

5.3 Disposal of Land:

Council will undertake a Disposal only if the land is classified as operational under Chapter 6, Part 2 of the LG Act. Where a land classified as community is identified for disposal, Council shall undertake the process, in keeping with the LG Act, to reclassify the land as operational, before a Disposal.

Disposal of public road

Where the proposed Disposal is a surplus public road, such road must be closed under the *Roads Act 1993* and consent obtained from Department of Primary Industries, Crown Lands Division (if required). Where relevant such proposal shall also be subject to compliance with local service authorities whose utilities are located within the area affected by the proposed Disposal. For classified roads, the approval of Transport for NSW must be obtained. All of the above activities must be undertaken prior to the matter being referred to Council for consideration and resolution.

Criteria for Disposal

Disposals are to be tested against several criteria to determine the need for disposal and the ability to be disposed.

- › Statutory Influences (restrictions or limitations): Are there statutory reasons for the Council ownership of the property? This will extend to actual or implied trusts that have been established as a result of Council's acquisition of the land.
- › Existing and Potential Usage: Is the land used or likely to be used to meet operational, community or commercial needs now or in the foreseeable future?
- › Spatial Distribution: Are there adequate similar facilities that can meet current and future needs in the area and serve the local community?
- › Conservation Value: Does the land or road have cultural, natural or heritage value that should be maintained?
- › Site constraints: Are there site constraints which may extend to (but are not restricted to) contamination, flood liability, land slip, mine subsidence, or other physical impairment?
- › Maintenance & Operational Issues: What is the cost benefit to Council of retaining or disposing of the land?

Should the proposed Disposal be adversely impacted by any of these matters, such Disposal should not proceed unless it can be demonstrated that there is a public and/or economic benefit and the sale conditions are able to be structured in a manner to ensure that such issues are addressed.

Once the Disposal has been assessed by a relevant Council Officer, such officer shall present a proposal for approval by the CEO, demonstrating that the proposed Disposal has been satisfactorily assessed against the above criteria and identifying the internal consultations that has been undertaken in the course making the assessment. Where deemed necessary, at his/her discretion, the CEO may make his/her own assessments and consultations before approving or rejecting the proposal.

Valuation

Once CEO approval has been obtained for the proposed Disposal, a valuation of the identified land by a Certified Practising Valuer, shall be commissioned in accordance with Council's procurement requirements.

The valuation instructions to the valuer(s) must clearly state:

- ▶ the purpose of the valuation being "disposal",
- ▶ the basis of valuation being "market value highest and best use" unless an alternative basis is considered more appropriate in the circumstances,
- ▶ that the valuation is to be marked confidential,
- ▶ that the valuation includes market commentary, details of sales evidence and adjustments, valuation rationale and methodology, a valuation range (for negotiations) and comments on marketability, most appropriate method of disposal and opportunities to add value.
- ▶ any conditions that Council proposes to place on the proposed Disposal,
- ▶ any other property information relevant to the preparation of a valuation which may not generally be available or known to a valuer (e.g., existence of underground infrastructure not covered by an easement, contamination or subsidence issues or new public infrastructure to be constructed on site prior to disposal), and
- ▶ that the valuation report includes a statement that the valuer has no actual or perceived conflict of interest in undertaking the valuation.

The valuations may indicate a value range, provided such range is within a reasonable upper and lower limit. Where the value of the land exceeds One Million dollars (\$1,000,000), a second valuation, independent of the first, shall be commissioned.

Where two valuations are required, and the valuations are within 10% of each other, an average value or the lower of the low value and the higher of the higher value range may be adopted as the value or the value range, as the case may be.

Differences in valuation in excess of 10% requires a written assessment of the factors contributing to the differences in the valuations and a detailed justification of the recommended minimum price in the Council report.

Council Resolution

No Disposal shall take place without a specific Council resolution for such Disposal. The report accompanying the Council resolution shall specifically indicate the minimum price for the Disposal. The required valuation reports shall be attached to the report accompanying the Council resolution. Valuation reports so attached shall be dated no more than six months prior to the date of the Council meeting.

The report accompanying the Council resolution shall also clearly specify the proposed method of disposal and contain extensive justification if the proposed method is an "alternative method of disposal", i.e., not a transparent open market process.

Delegated Authority

A Council resolution for a Disposal shall include a delegation to the CEO to undertake the Disposal using the identified method of disposal, negotiate the sale price (above the minimum price or within the set limits), if necessary negotiate any minor conditions, and to execute any documents deemed necessary for the Disposal by Council's legal advisors.

Method of Disposal

Subject to the "alternative methods of disposal" identified later in this section, where a subject property of a Disposal is able to be developed independently of any other property, the Disposal shall be undertaken through one of the following transparent and competitive open market methods.

- › Auction: the most open and public method, favoured by government, but reliant on high levels of competition. This method often achieves a quick sale but can fail in poor market conditions.
- › Expression of Interest: usually used for unusual properties capable of a variety of different types of development and/or where it is difficult to determine a market value. This method also lends itself to assessing factors other than price (community benefit, economic development, job creation etc.) in the selection of the successful buyer. It also enables the specification of additional conditions of the sale of the land (e.g., specified development to be undertaken within a certain period of time, placing caveats on the land etc.).
- › Tender: least common and used predominately in high value, limited market situations.
- › Competitive Direct Sale: where the Disposal is advertised using mass media (including online real estate marketplaces). An asking price is set and negotiated with individuals, usually through a real estate agent (who can be an independent third party to the negotiation process). This method can also be used after an unsuccessful auction.

Alternative Method of Disposal

Council may resolve to undertake a Disposal using an alternative method of disposal under one or more of the following scenarios. Alternative methods of disposal are non-competitive processes that do not involve an open market process.

- › Costs Exceed Value: Where the total costs of undertaking an open market method exceeds the value of the Disposal. This may occur where the disposal is of very low value.
- › One (or Limited Number of) Buyers: For example, where a site is not large enough for development in its own right or where a site adjoins two owners such as laneways, and each owner is offered the option of buying the whole or a portion of the Disposal.
- › Contractual Obligation: Such as with a tenant with a first right of refusal, where that tenancy has been entered into as a result of a competitive open market process.
- › Disposal to Government or Utility: Where the disposal is to a state or federal governmental entity or to a utility (such as water, sewer, electricity, gas, telecommunications) for the purpose of infrastructure provision.
- › Extenuating Circumstances: Where, because of extenuating circumstances, remoteness of locality or the unavailability of competitive or reliable tenderers, Council decides by resolution (which states the reasons for the decision) that a satisfactory result would not be achieved by inviting tenders.
- › Achieve Specific Policy Objectives: Where the primary and overwhelming purpose of the proposed Disposal is to achieve one or more specified significant policy objectives of Council. This provides the Council with the required flexibility to negotiate an identified set of objectives.

Where such a method is proposed to be adopted, the report accompanying the Council resolution for the Disposal shall articulate in detail:

- › the proposed activity to be undertaken at the land to be disposed,
- › how such activities will contribute to the policy objectives to be achieved, and
- › have appended to it two independent valuation reports (irrespective of the value of the land).

In such instances, the resolution of Council shall contain the disposal price. If the recommended disposal price is below the value identified in the valuation reports, that fact shall also be contained in the resolution.

Where such an approach is being envisaged the following information shall be made public at least twenty one (21) days before the date of the Council meeting where the resolution for the Disposal is being tabled.

- › details of the land proposed for Disposal (location, extent etc.)
- › the fact that the Disposal will be through a direct, non-competitive process,
- › basic description of the activities to be undertaken at the identified location
- › how such activities will contribute to the policy objectives of Council

- › the proposed buyer,
- › the proposed disposal price, and
- › the valuation of the land as identified by the valuers.

Any objection to the proposed Disposal received by Council shall be presented to councillors at the Council meeting where the resolution for the disposal of the land is to be debated.

- › Failed Open Market Process: Where a transparent open market process undertaken within the last 12 months in accordance with this Policy has failed to achieve the desired outcome.

Where Council proceeds with an alternative method of Disposal, the ICAC Guideline must be adhered to.

Probity Plan

A probity plan shall be developed and implemented in relation to all Disposals meeting the following criteria:

- › the value of the Disposal is in excess of \$250,000, and
- › where the disposal method is an “Alternative Method of Disposal”

Where the Alternative Method of Disposal is to Achieve Specific Policy Objectives, an independent probity officer shall be appointed to review the plan and report on the manner in which the probity plan was adhered to. The report of the independent probity officer shall be tabled at a Council meeting that is open to the public.

Where deemed appropriate, a probity plan may be established for Disposals outside of the identified criteria.

The probity plan shall address the following matters:

- › obtaining best value for money,
- › demonstrating accountability and transparency,
- › dealing with conflicts of interest,
- › providing a fair chance for multiple participants, and
- › where Disposal is subject to a development application, assessing that application independently of the Disposal.

Disposal Below Market Value

In rare circumstances Disposals may be considered and made to achieve strategic outcomes. In such situations, “best value” may comprise non-monetary factors such as economic, environmental or social elements, with the price falling below the “market value” range.

In such an instance, the report seeking resolution of Council shall:

- › be tabled at a meeting open to the general public,
- › have a valuation undertaken in keeping with the requirements of the Policy, appended to the report,
- › clearly state the reasons for such Disposal and the non-monetary strategic objective being achieved through the Disposal, and
- › quantify the amount below market value attributable to each element.

5.4 Community Leases

Where Council proposed to enter into a Community Lease, it must comply with its obligations under Part 2 of Division 2 of the LG Act as summarised in the Flowchart attached hereto at Annexure A.

6. RESPONSIBILITIES

Position	Responsibility
Chief Executive Officer	To lead staff (either directly or through delegated authority) in their understanding of, and compliance with, this policy and related Procedures.
Directors, Managers and Supervisors	To communicate, implement and comply with this policy and related Procedures.
Council Officers	To be aware of and ensure compliance with this Policy.
Council Committees	To be aware of and adhere to this Policy.

7. EVALUATION AND REVIEW

It is the responsibility of the Director Corporate Services to monitor the adequacy of this Policy and recommend appropriate changes.

This Policy will be formally reviewed every four (4) years or as needed, whichever comes first.

8. ASSOCIATED DOCUMENTS, DEFINITIONS AND ACRONYMS

Associated Documents

- › MRC Asset Management Policy (POL-305)
- › MRC Delegations of Authority (General Manager & Mayor) Policy (POL-102)
- › MRC Delegations of Authority (General Manager to Staff) Policy (POL-107)
- › MRC Statement of Business Ethics Policy (POL-111)
- › MRC Procurement Policy (POL-205)

Definitions and Acronyms

Term:	Description:
Acquisition (of land)	The following: <ul style="list-style-type: none"> (a) purchase of land (whether vacant land or not) resulting in freehold title being transferred to Council; or (b) the lease of a land (whether vacant land or not) for a period greater than or equal to ten (10) years.
Chief Executive Officer or CEO	the General Manger of Council appointed under section 334 of the LG Act.
Community Lease	Lease of land which has been classified as community land under the LG Act.
Council	Murray River Council
Council Officer	A Council Officer is defined as being one of the following: <ul style="list-style-type: none"> › an employee of Council, or › a contractor or subcontractor retained by Council including an employee of such contractor or subcontractor, or

	<ul style="list-style-type: none"> › an employee of a labour hire company who has been assigned to work for Council, or › an apprentice or trainee of Council, or › a student gaining work experience at Council, or › a volunteer of Council.
Disposal (of land)	<p>The following:</p> <ul style="list-style-type: none"> (a) sale of land owned by Council (whether vacant land or not); and (b) the lease of land which has been classified as operational land under the LG Act for a period greater than or equal to ten (10) years.
Easement	A right over a property for party other than the owner of the land (usually Council) to use land for a specific purpose (e.g., drainage easement, easement in gross for access) and can be in the form of a covenant restricting the use of land (e.g., no vegetation permitted) or a positive covenant that requires the landowner to use and or maintain the site for a specific use (e.g., maintain detention basins).
ICAC Guideline	Independent Commission Against Corruption (ICAC) New South Wales – Direct Negotiations: Guidelines for Managing Risk (August 2018) (or any successor document).
LAJTC Act	<i>Land Acquisition (Just Terms Compensation) Act 1991</i>
Landowner	Registered owner of the land being considered for acquisition by Council or an authorised agent representing the owner of the land.
LEP	Local Environmental Plan
LG Act	<i>Local Government Act 1993</i>
Policy	Land Acquisition and Disposal Policy (this Policy)
Public Land	<p>any land (including a public reserve) vested in or under the control of the council, but does not include:</p> <ul style="list-style-type: none"> (a) a public road (being a road which the public are entitled to use); or (b) land to which the <i>Crown Land Management Act 2016</i> applies; or (c) a common (as defined in the <i>Commons Management Act 1989</i>); or (d) a regional park under the <i>National Parks and Wildlife Act 1974</i>.
Rates & Charges	General Rates, Utility Charges and other amounts due to Council that are capable of being registered as a charge against the ratepayer property.
Regulation	<i>Local Government (General) Regulation 2021</i>

9. DOCUMENT CONTROL

Version No.	Details	Dates	CM9 Reference	Resolution No.
1	Initial Issue	DRAFT		

Council reserves the right to review, vary or revoke this policy at any time
This Policy is scheduled for review in or before 2027.

NOTE:

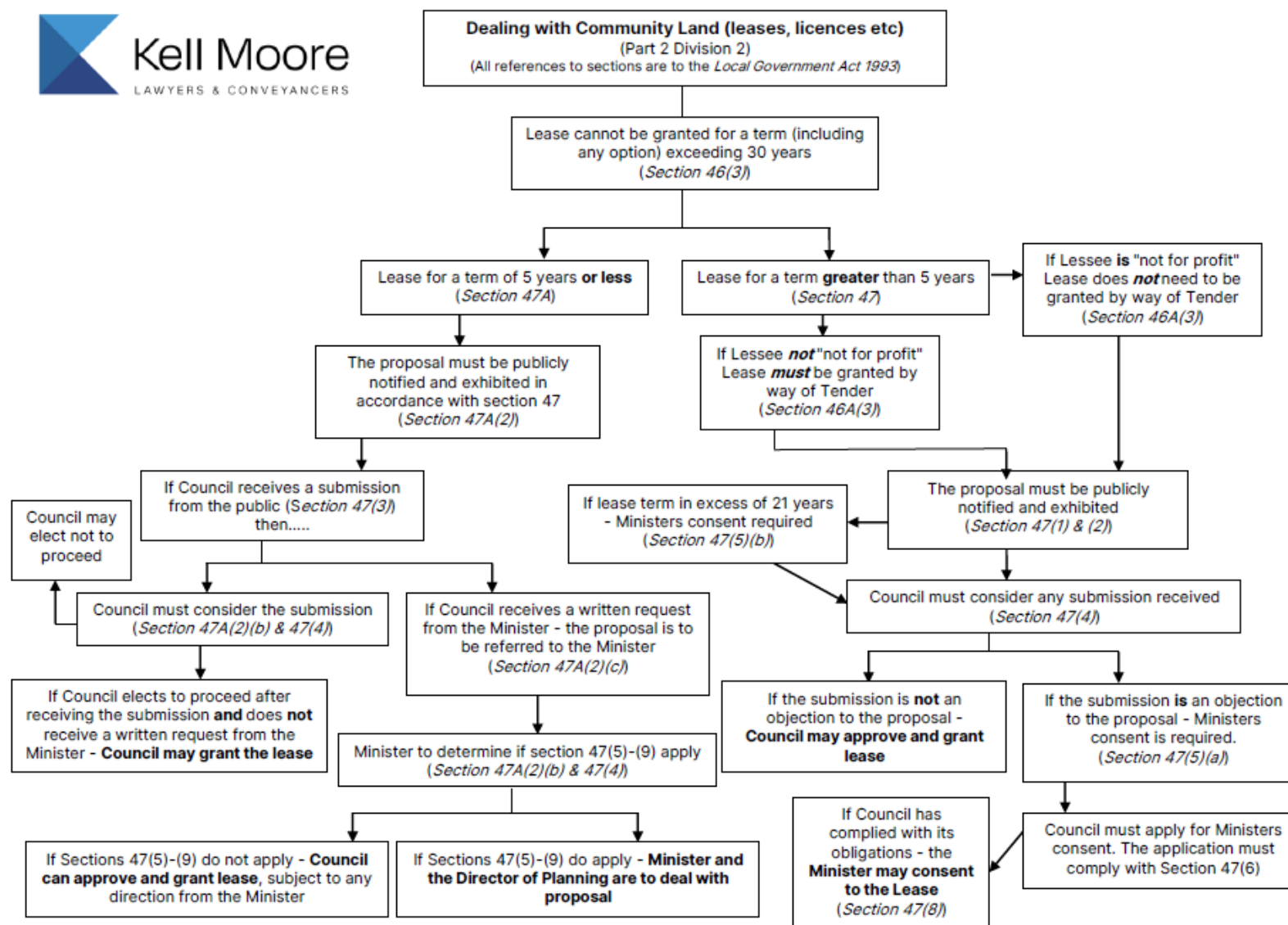
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DISCLAIMER:

This document was formulated to be consistent with Murray River Council's legislative obligations and with the scope of Council's powers. This document should be read in conjunction with relevant legislation, guidelines and codes of practice. In the case of any discrepancies, the most recent legislation should prevail. This document does not constitute legal advice. Legal advice should be sought in relation to particular circumstances and liability will not be accepted for losses incurred as a result of reliance on this document.

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Annexure A



This guide is intended to provide general information only. It is not a complete guide to the area of law and should not be relied upon as legal advice. Further advice should be obtained before applying this Guide to individual circumstances.

Annex 8: Probity Plan- Proposed Disposal of Land

Probity Plan

Sale of Industrial Land - Lot 1 DP 793207 Cobb Highway, Moama

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Overview

Project Lead	Peter Beaumont		
Project Sponsor	Stephen Fernando		
Project Category	Land Disposal		
Document Version	Version	Author	Date
	1.0	Alison Lee	14/12/22
	1.1		
	1.2		
Document Number			

Introduction & Background

The probity plan is a key document for high value activities to ensure that all probity issues are considered and addressed prior to the commencement of the project/activity.

Murray River Council has duties and obligations under a range of legislation and regulations applicable to land acquisition and disposal to adhere to the relevant legislation and complies with the requirements of the Local Government Act 1993 (Act) and the accompanying Local Government (General) Regulation 2021 (Regulation).

Major legislative requirements that may be relevant include the following:

- Community Titles Act 1996
- Conveyancing Act 1919
- Crown Lands Act 1989
- Land Acquisition (Just Terms Compensation) Act 1991
- Real Property Act 1900
- Roads Act 1993
- Strata Titles Act 1988

Purpose

To ensure Murray River Council probity principles are maintained throughout the project by providing a project specific probity action plan for completion. The objective of this plan is to maintain the utmost level of integrity and observe the highest degree of probity, ensuring confidence is preserved in our processes and decisions.

Probity Principles

Murray River Council, as a statutory body and administrative decision-maker, is required to exercise its functions in accordance with all duties and obligations imposed upon it by statute and the common law. Our probity principles are based on our Charter, Code of Conduct and common law requirements. They are:

- Obtain value for money and maintain fairness and impartiality.
- Manage actual, perceived and potential conflicts of interest.
- Maintain accountability, consistency and transparency of our processes.
- Maintain confidentiality and security

The land acquisition and disposal policy has the following objectives:

- ensure that Council has a transparent and accountable process to consider the Acquisition and Disposal,
- establish the criteria under which Council will consider Acquisitions and Disposals,
- ensure best value is achieved in Council land dealings, and
- ensure that Council meets its obligations under relevant legislation and regulations.

Responsibilities

In the delivery of this project, the Project Lead, Project Sponsor, Project Team and any other Council Officer involved with the project will:

- abide by all relevant and applicable laws and regulations with transparency and accountability;
- respect and where required and able, work within each Council's own Code of Conduct, Policies and Procedures;
- deal fairly, honestly and ethically with all individuals and organisations;
- assess all project related matters objectively and while considering all relevant and material factors;
- address, and effectively manage all actual, potential or perceived conflicts of interest;
- secure and handle all confidential information to the expectations of the relevant stakeholders;
- never solicit or accept remuneration, gifts or other benefits from an applicant in the discharge of official duties; and
- respond promptly to reasonable requests for information.

Roles

Council Officers, consultants and contractors who are directly involved with the process are identified below

Project Steering Committee Murray River Council

- Terry Dodds - CEO (CEO) - Project Sponsor
- Stephen Fernando - Director Corporate Services (DCS) - Project Lead
- Jack Bond - Director of Infrastructure (DI)
- Sarah Ryan - Director of Community and Economic Development (DC&ED)
- John Harvie - Director of Special projects (DSP)
- Peter Beaumont - Manager Procurement and Property (MPP)
- Sandra Gordon - Manager Governance (MG)
- Jan Donald - Executive Administration Officer (EAO)
- Lindy Leyonhjelm - Executive Assistant to CEO (EA)

- The Director Planning and Environment has been excluded from the Project Steering Committee to avoid any conflict of interest should the buyer submit a development application

External Advisors

- Alison Lee - Crowe Probitry Advisor (Crowe)
- Matthew Rogers - Kell Moore – Legal Advisor (KM)

Methodology – Disposal of Land

In keeping with s 377 of the Act, all Acquisitions and Disposals will be conducted only based on a specific resolution of Council. Such authority cannot be delegated to the CEO.

Disposals are to be tested against several criteria to determine the need for disposal and the ability to be disposed.

- Statutory Influences (restrictions or limitations): Are there statutory reasons for the Council ownership of the property? This will extend to actual or implied trusts that have been established as a result of Council's acquisition of the land.
- Existing and Potential Usage; Is the land used or likely to be used to meet operational, community or commercial needs now or in the foreseeable future?
- Spatial Distribution: Are there adequate similar facilities that can meet current and future needs in the area and serve the local community?
- Conservation Value: Does the land or road have cultural, natural or heritage value that should be maintained?
- Site constraints: Are there site constraints which may extend to (but are not restricted to) contamination, flood liability, land slip, mine subsidence, or other physical impairment?
- Maintenance & Operational Issues: What is the cost benefit to Council of retaining or disposing of the land?

Should the proposed Disposal be adversely impacted by any of these matters, such Disposal should not proceed unless it can be demonstrated that there is a public and/or economic benefit and the sale conditions are able to be structured in a manner to ensure that such issues are addressed.

Alternative Method of Disposal

Council may resolve to undertake a Disposal using an alternative method of disposal under one or more of the following scenarios. Alternative methods of disposal are non-competitive processes that does not involve an open market process.

- Costs Exceed Value: Where the total costs of undertaking an open market method exceeds the value of the Disposal. This may occur where the disposal is of very low value.
- One (or Limited Number of) Buyers: For example, where a site is not large enough for development in its own right or where a site adjoins two owners such as laneways, and each owner is offered the option of buying the whole or a portion of the Disposal.
- Contractual Obligation: Such as with a tenant with a first right of refusal, where that tenancy has been entered into as a result of a competitive open market process.
- Disposal to Government or Utility: Where the disposal is to a state or federal governmental entity or to a utility (such as water, sewer, electricity, gas, telecommunications) for the purpose of infrastructure provision.
- Achieve Specific Policy Objectives: Where the primary and overwhelming purpose of the proposed Disposal is to achieve one or more specified significant policy objectives of Council. This provides the Council with the required flexibility to negotiate an identified set of objectives.

Where Alternative Method of Disposal is proposed to be adopted, the report accompanying the Council resolution for the Disposal shall articulate in detail:

- the proposed activity to be undertaken at the land to be disposed,
- how such activities will contribute to the policy objectives to be achieved, and
- have appended to it two independent valuation reports (irrespective of the value of the land).

In such instances, the resolution of Council shall contain the disposal price. If the recommended disposal price is below the value identified in the valuation reports, that fact shall also be contained in the resolution.

Where such an approach is being envisaged the following information shall be made public at least twenty one (21) days before the date of the Council meeting where the resolution for the Disposal is being tabled.

- details of the land proposed for Disposal (location, extent etc.)
- the fact that the Disposal will be through a direct, non-competitive process,
- basic description of the activities to be undertaken at the identified location
- how such activities will contribute to the policy objectives of Council
- the proposed buyer,
- the proposed disposal price, and
- the valuation of the land as identified by the valuers.

Any objection to the proposed Disposal received by Council shall be presented to councillors at the Council meeting where the resolution for the disposal of the land is to be debated.

- Failed Open Market Process: Where a transparent open market process undertaken within the last 12 months in accordance with this Policy has failed to achieve the desired outcome.

Probity Plan

A probity plan shall be developed and implemented in relation to all Disposals meeting the following criteria:

- the value of the Disposal is in excess of \$250,000, and
- where the disposal method is an "Alternative Method of Disposal"

Where the Alternative Method of Disposal is to achieve Specific Policy Objectives, and independent probity officer shall be appointed to review the plan and report on the manner in which the probity plan was adhered to. The report of the independent probity officer shall be tabled at a Council meeting that is open to the public.

Where deemed appropriate, a probity plan may be established for Disposals outside of the identified criteria.

The probity plan shall address the following matters:

- obtaining best value for money,
- demonstrating accountability and transparency,
- dealing with conflicts of interest,
- providing a fair chance for multiple participants, and
- where Disposal is subject to a development application, assessing that application independently of the Disposal.

Timelines

Discussions will commence in January 2023, with the aim for finalisation in the 2022/23 financial year.

Conflicts of Interest and Confidentiality

Appendix 1 contains the Conflict of Interest Declaration & Confidentiality Undertaking. Each person involved in the sale must complete and return the form to Council.

Risks

A risk register – with ratings and mitigations will be developed.

Roles and responsibilities

Party	Role/Responsibilities
Council	The Council will be required to sign off on the reports and recommendations. This will be supported by a probity assurance report from the Probity Auditor.
Project Steering Committee	Ensure appropriate probity measures have been identified and put in place prior to the commencement of procurement activities. Oversee high level probity requirements throughout procurement period.
Peter Beaumont - Manager Procurement and Property	Provide advice on asset disposal process in line with government and corporation requirements.
Stephen Fernando - Director Corporate Services	Ensure probity plan has been implemented and report any probity issues or concerns to the Project Steering Committee. Address probity risks and issues throughout the procurement process.
Probity Auditor (externally appointed)	Provide independent assurance that the probity plan has been effectively implemented. Provide probity audit report at end of procurement process. Report to Project Steering Committee any breaches or probity risks in procurement process.
Kell Moore	Legal Advisors

Project Probity Plan

Item	Required?	Responsible Officer	Status
1. Risk Management Plan			
1.1. All probity risks will be identified, assessed, controlled and reviewed as part of the Risk Register and mitigation actions.	Yes	DCS, MG	To Commence
1.2. Probity risks, including control plans, will be recorded within the Risk Register.	Yes	DCS, MG	To Commence
1.3. The Project Risk Register will be reviewed (including the Probity related risks) on a regular basis.	Yes	DCS, MG	To Commence
2. Conflicts of Interest			
2.1. All Council Officers and Consultants associated with the project will submit a "Conflict of Interest Declaration and Confidentiality Undertaking".	Yes	MPP, All Participants	In Progress
2.2. A process will be followed to ensure the appropriate separation of functions. This process will include engaging an external independent probity advisor.	Yes	CEO, DCS	Ongoing
3. Independent Probity Advisor			
3.1. An external and impartial Probity Advisor will be appointed to provide advice on an "as needs" basis.	Yes	CEO, DCS	Completed
3.2. Probity compliance reports will be presented at the completion of the sale.	Yes	CEO, DCS	Not Yet Due

Item	Required?	Responsible Officer	Status
3.3. presenting to Council a report from the probity manager, identifying the compliance activities undertaken by Council in relation to the intended sale of the said land, and confirming that all legislative and regulatory requirements have been complied with.			
4. Roles and Responsibilities			
4.1. Roles and responsibilities, in relation to probity, of Council Officers and Consultants associated with the project are defined within the Probity Plan.	Yes	CEO, DCS	Completed
4.2. All Council Officers and Consultants associated with the project will be informed of their obligation to raise any identified Probity Risks with the Project Lead and/or Project Sponsor immediately.	Yes	CEO, DCS	To Commence
4.3. All Council Officers and Consultants associated with the project will be informed of their obligations to report any suspected breaches of this Probity Plan to the Probity Advisor and/or the Project Lead and/or Project Sponsor.	Yes	CEO, DCS	To Commence
4.4. All Council Officers and Consultants associated with the project will be informed of their obligations not to discuss the project with any media.	Yes	CEO, DCS	To Commence
5. Security, Record Keeping and Confidentiality			
5.1. The project will follow the Murray River Council Land Acquisition and Disposal Policy (currently provisionally adopted) for all project related documentation.	Yes	CEO, DCS	Ongoing
5.2. Only Council Officers with a direct "need to know" will be provided access to commercially sensitive information.	Yes	CEO, DCS	Ongoing
5.3. All meetings will be minuted with the discussion accurately recorded and circulated in a timely manner.	Yes	CEO, DCS	Ongoing
5.4. All meetings involving external stakeholders will be minuted with the discussion accurately recorded and circulated in a timely manner.	Yes	CEO, DCS	Ongoing
5.5. Any emails of significance will be registered into the Murray River Council document management system.	Yes	All Participants	Ongoing
5.6. All Council Officers and Consultants associated with the project will submit a "Confidentially Agreement" form.	Yes	MPP, All Participants	In Progress
5.7. Any project information, that is not publicly available, will only be communicated in accordance with the Murray River Council Land Acquisition and Disposal Policy.	Yes	All Participants	Ongoing
6. Probity Plan per Land Acquisition and Disposal Policy			
6.1. obtaining best value for money.	Yes	CEO, Project Steering Committee	Ongoing
6.2. demonstrating accountability and transparency.	Yes	CEO, Project Steering Committee	Ongoing
6.3. dealing with conflicts of interest.	Yes	CEO, Project Steering Committee	Ongoing
6.4. providing a fair chance for multiple participants, and	Yes	CEO, Project Steering Committee	Ongoing
6.5. where Disposal is subject to a development application, assessing that application independently of the Disposal.	Yes	CEO, Project Steering Committee	Ongoing

Item	Required?	Responsible Officer	Status
7. Council Resolution – Final Report			
7.1. a) if more than one party has been engaged in discussion or negotiations, the parties so engaged with, and	Yes	CEO	Not Yet Due
7.2. b) the party being recommended as the purchaser, justifying the reasons therefor including details of activities to be undertaken at the said land and the proposed investments during the first 24 months, and	Yes	CEO	Not Yet Due
7.3. c) an analysis how the direct sale to the proposed buyer will further the strategic objectives within Council's Community Strategic Plan, and	Yes	CEO	Not Yet Due
7.4. d) a comprehensive analysis of economic benefits that can be expected for the region from the proposed sale, including a quantification of the likely economic benefit, and	Yes	CEO	Not Yet Due
7.5. c) the contractual conditions to be placed on the buyer, together with details of redress available to Council through the contract of sale, should the buy not adhere to their obligations, and	Yes	CEO	Not Yet Due
7.6. d) any activities that would need to be undertaken by Council prior to or immediately after the sale, and	Yes	CEO	Not Yet Due
7.7. e) the proposed price for the sale,	Yes	CEO	Not Yet Due
7.8. f) the proposed timing of the sale.	Yes	CEO	Not Yet Due

Appendix 1 - CONFLICT OF INTEREST DECLARATION & CONFIDENTIALITY UNDERTAKING

Transaction Direct Sale of Land - Cobb Highway, Moama

CONFLICT OF INTEREST DECLARATION

- I confirm that I do not have any direct or indirect conflict of interest, actual or perceived in relation to the Transaction.
- I undertake as a matter of urgency, to bring to the notice of the Manager Procurement or the Chief Executive Officer, any event or development that may create a conflict of interest, direct or indirect, actual or perceived, while I am involved in the Tender Evaluation.
- I understand my obligations to comply with the Code of Conduct Policy (POL – 100. V#3).

CONFIDENTIALITY UNDERTAKING

- I understand that matters related to and surrounding the Tender will be commercially sensitive and will need to be treated in commercial confidence.
- I undertake to maintain strict confidentiality of all Confidential Information relating to and matters pertaining to the Tender, unless I am required by law to disclose such information, or such information is already publicly available or becomes publicly available through another means, without my direct involvement.
- I will take all possible precautions to prevent any unauthorised disclosure of Confidential Information.
- I understand that I am to maintain such confidentiality even after I cease to have any role in the Tender and even after the completion of the Tender process and awarding of the contract(s). It is a perpetual obligation that survives beyond the term of employment.

For the purposes of this Tender, *Confidential Information* includes all documents and information, including tender submissions, reports, financial information, research, designs, programs and plans that are intentionally or unintentionally provided to me (whether electronically, visually, verbally or by other means and whether or not marked as confidential).

Name

Position

Date

CONFIRMATION OF RECEIPT

Name

Peter Beaumont

Position

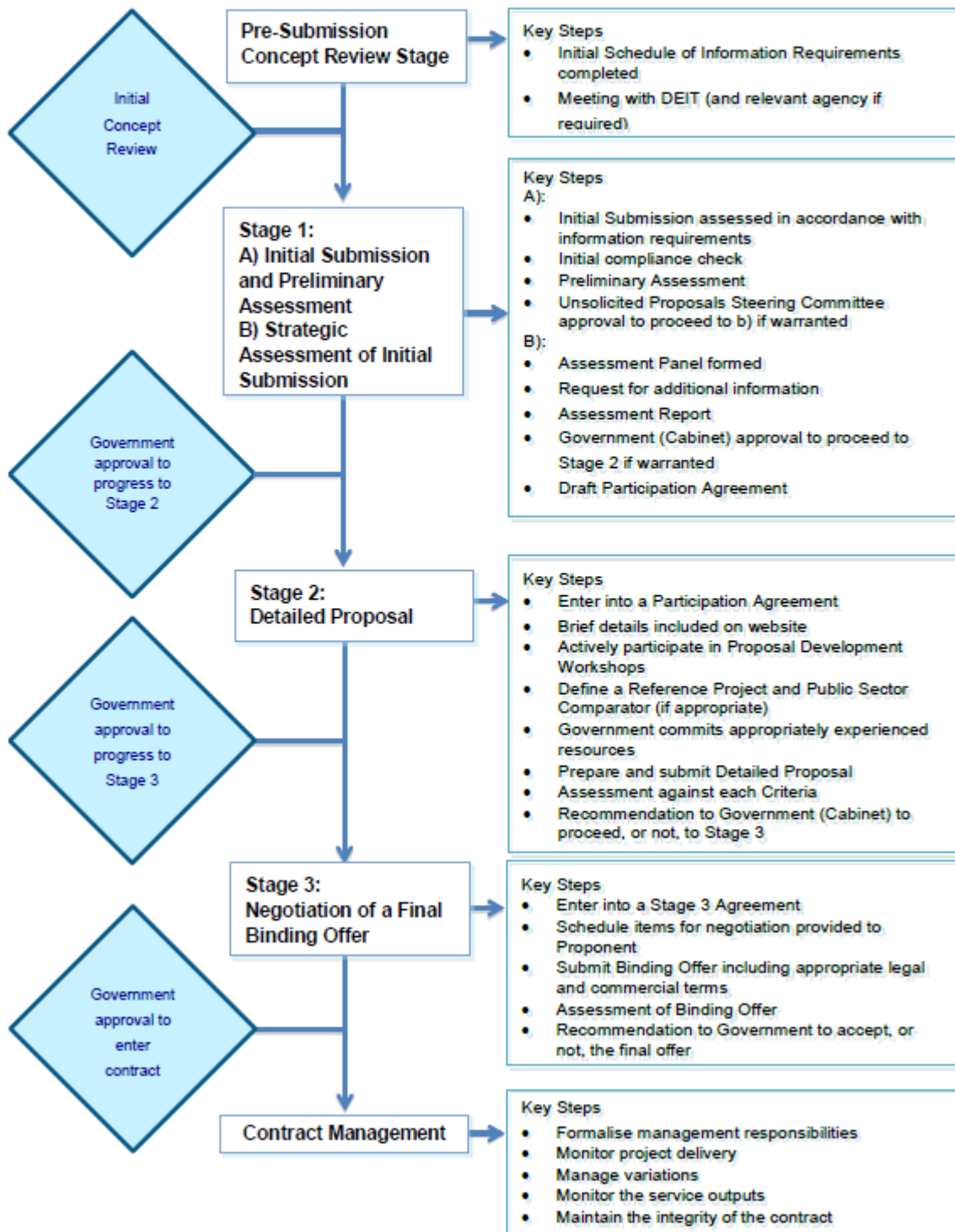
Manager Procurement

Date

Appendix 2 - Key Stages in the Consideration of Unsolicited Proposals – Guide for Submission and Assessment - NSW Government 2022

5 PROCESS FLOWCHART

Key Stages in the Consideration of Unsolicited Proposals



Annex 9: Recommended Action from Internal Investigation (conducted by Centium Pty Ltd) and Implementation Progress

Recommended Actions from Internal Investigation

Conducted by Independent Party Centium Pty Ltd

Category	Recommendation	Action
Further Investigations	Undertake an investigation of the introduction of the MRE project into MRC, in particular matters involving ERC and all persons involved in its introduction, to establish roles and representations made to MRC.	<p>The matter has been referred to both Independent Commission Against Corruption (ICAC) and the NSW Police. Both parties have concluded that there is insufficient evidence to launch formal investigations.</p> <p>The matter has also been the subject of an investigation by the Office of Local Government (OLG). The report on the investigation has been published by the OLG dated November 2022.</p>
	The identified anomalies relating to the Loan Agreement should be subject to formal investigation, including (but not limited to) formal interviews of witnesses and examination of all relevant MRC records.	
	Further investigation to verify If MRC has complied with the <i>Local Government Act 1993 No 30</i> in relation to the provision of loan funds to MRE.	
	Further investigation to verify whether funds provided by Kell Moore were actually used as intended	
	Further investigation to verify the specific circumstances of caveats in place and in particular how funds paid relating to these were dispersed by Sofra Solicitors	
	MRC should further consider the documentation provided by legal advisors acting for the proponents and claimants against the proponents, to determine whether these matters are of relevance and should be subject to investigation.	
	The acquisition of the land by MRC be subject to investigation to establish if there have been any breaches of the law.	
	Council should provide updated advice on these matters to the ICAC, under the Independent Commission Against Corruption Act 1988 No 35.	
	Council should investigate further if engagements between Council officers, the proponents and community members have complied with the obligations of Council officers to maintain records to support business decisions (including but not limited to the State Records Act 1998)	
	Further investigation of meetings with the proponents and opponents to the project be undertaken to establish what was disclosed on key matters relevant to the project.	

Recommended Actions from Internal Investigation

Conducted by Independent Party Centium Pty Ltd

Category	Recommendation	Action
Internal Procedures	Develop and implement policies and procedures to ensure that any proposed involvement with commercial activities or joint private partnership projects is appropriately evaluated and documented, prior to committing Council funds or entering into any binding agreement.	Incorporated into the Project Management framework developed as a result of these recommendations. The framework has been communicated to staff and relevant staff have been trained in the requirements embedded within the framework.
	The recommended evaluation process should also involve community consultation and a comprehensive risk assessment, utilising MRC's risk management framework	
	Ensure that developed policies and procedures for the management of significant Council projects include appropriate expertise and probity processes to protect MRC from project risks.	
	MRC develop and implement policies and procedures to ensure that all Council projects involving the commitment of Council resources (including economic development projects) are subject to: formal business plans, ongoing financial and non-financial risk assessment within the Council risk management framework, ongoing financial and non-financial risk assessment within the Council risk management framework, proactive and regular reassessment of delivery of project benefits, proactive and regular reassessment of delivery of project benefits, and Detailed file notes of all engagements with the proponents by Council officers.	
	MRC review existing policies to ensure that engagement by Council staff outside the MRC is subject to appropriate review and supervision.	
	The existing Economic Development and Assistance Policy be reviewed for completeness.	
MRE Project	MRC provide regular advice to Councillors on costs already incurred and those likely to arise in any engagement with the proponents.	All transactions related to the MRE Project has been completed. The collateral has been liquidated to recover the loan amounts including interest accumulated thereon.
	MRC should obtain independent legal advice as to the enforceability of the Loan Agreement against the guarantors and the related advice provided to MRC by Kell Moore in the handling of these matters.	
	MRC undertake regular reviews of the adequacy of security for funds advanced to the proponents.	