



# 2019

MID-WESTERN REGIONAL COUNCIL  
**COUNCIL BUSINESS PAPERS**

ORDINARY MEETING  
WEDNESDAY 21 AUGUST 2019

**SEPARATELY ATTACHED ATTACHMENTS**



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we proudly call home*

# ATTACHMENTS

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Mid-Western Regional Council  
Performance and Engagement Survey  
Comprehensive Report

Scope: All staff

March 2019

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## Introduction

### 1.1 Purpose of this Report

The purpose of this Performance and Engagement Survey Comprehensive Report (this “Report”) is to form the basis upon which the leadership of Mid-Western Regional Council can act to improve employee engagement and performance. It highlights areas of strength and areas where improvements can be made. It also acts as a baseline against which to measure initiatives that will increase performance.

It is important that this Report be interpreted correctly and be used in a constructive and sensitive manner. To gain maximum value from this Report, it is suggested that Mid-Western Regional Council consider retaining an Insync consultant to assist in forming a set of actionable and measurable responses to the challenges described herein.

This Report has been prepared at the request of Mid-Western Regional Council. It is based on the responses of the employees of Mid-Western Regional Council to the Performance and Engagement Survey (“the Survey”) that was completed in March 2019. This comprehensive report should be considered in conjunction with a presentation given by Insync’s consultant to Mid-Western Regional Council. See page 73 for considerations regarding the interpretation of this Report.

### 1.2 Data used to prepare this Report

This Report has been prepared from the responses by each of the employees of Mid-Western Regional Council that completed the Survey to each of the following categories of items and questions:

- the 62 core survey items
- any additional customised items chosen by Mid-Western Regional Council, and
- any qualitative questions chosen by Mid-Western Regional Council.

The responses referred to above have been used without adjustment.

### 1.3 Respondent confidentiality

Data were collected in accordance with the Privacy Policy of Insync which is based on the principles of anonymity and informed consent.

### 1.4 Invitees and respondents

A total of 360 people from Mid-Western Regional Council were invited to undertake the Survey and 214 completed responses were received, a response rate of 59%.

### 1.5 Restricted use of this Report

This Report has been prepared for the exclusive use of Mid-Western Regional Council for the purpose set out in Section 1.1. It may not be used for any other purpose, nor may it be provided to any third parties without our prior written consent.

This Report has been prepared in accordance with Insync’s standard terms and conditions. Insync, its directors, shareholders, employees, agents and representatives, each expressly exclude all responsibility and liability arising in any way from reliance placed by any third party on this Report.



## 1.6 About Insync

Insync is passionate about helping organisations achieve sustainable high performance by measuring and improving employee, customer, patient, board and other stakeholder engagement.

We have conducted over 1,000 survey, research and consulting assignments over the last five years for some of the largest organisations throughout Asia Pacific including: ACCC, ASX, Cathay Pacific, CSIRO, Energy Australia, Fairfax, GrainCorp, IOOF, John Holland, Johnson & Johnson, KPMG, Metro, Mission Australia, Nufarm, Orica, QBE, Swire, Toll, Visy, WorleyParsons, several federal and state government departments, many local councils and most Australian universities.

Visit [www.insyncsurveys.com.au](http://www.insyncsurveys.com.au) or call Melbourne +61 3 9909 9209 or Sydney +61 2 8081 2000.

## Background

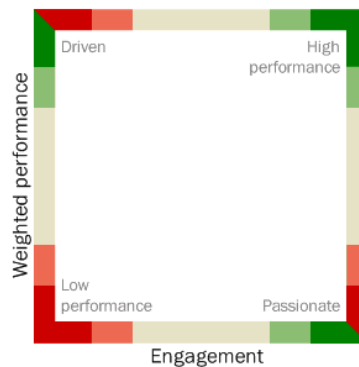
The Performance and Engagement Survey (the “Survey”) combines two approaches to measuring employee attitudes. The majority of the survey questions are taken from the Employee Opinion Survey, which was developed in the 1990s and owes a great deal to the Australian Quality Council and the Quality movement generally. Its best practice categories are well aligned with all the global models of performance including those now owned by The European Society for Quality Research, SAI Global and those of the National Institute of Standards and Technology.

The Survey also includes items from Insync’s Employee Engagement Survey, which measures engagement and the factors that drive it. An extensive, referenced white paper on this framework of employee engagement and a mathematical model of the drivers are available from your Insync project manager.

By combining the best of these two instruments Insync is able to offer both a scorecard on the best practice categories, plus insight into engagement levels and how to raise them.

## The Performance and Engagement framework

The Survey is based on our academically and statistically validated Performance and Engagement framework.



Insync’s framework is measured by seven best practice categories and an engagement factor. Each category measures the extent to which employees perceive that the organisation is achieving best practice in the relevant area.

## Performance

- **Leadership and innovation** – Explores how leadership interacts with and involves employees in the organisation. Also addresses how effective leadership creates a culture of innovation.
- **Strategy and planning processes** – Explores perceptions of how the organisation develops its strategies and plans, in particular the involvement of employees. Also reviews how strategies and plans are communicated.
- **Data, information and knowledge** – Examines how the organisation gathers, shares and uses data, information and knowledge. Also reviews perceptions regarding the use of data to measure performance.



- **People** – Assesses employees' perceptions of people-related issues. Reviews facets such as levels of satisfaction, pride, work conditions, development opportunities and staff relationships.
- **Customer and market focus** – This category reviews employees' level of understanding of customer needs and opinions. Also assesses whether employees perceive that this information is used by the organisation to improve performance.
- **Processes, products and services** – Examines perceptions of the processes and procedures that help the organisation run smoothly. Also assesses whether the organisation focuses on improving performance continuously.
- **Business results** – Examines how business results are communicated and employees' perceptions of the competitiveness of the organisation.

## Weighted Performance

- **Weighted Performance** – The Weighted Performance Index (WPI) is a summary score of performance across all core survey statements, which correspond to the Best Practice Categories. The survey is based around seven best practice categories which measure various aspects of the workplace. The score represents an aggregate performance score across each of the best practice categories. Each survey statement corresponds to one of the categories and is weighted according to that particular category. It is essential to compare your organisations performance against benchmarks in order to create meaningful measures of performance and process. Data presented by Insync enables these comparisons between your organisation and external company benchmarks to be made. These categories are recognised globally as indicators for business performance.

## Engagement

- **Engagement** – how committed are employees to the organisation and do they promote and act in its best interests? Are they engaged with the organisation and what it is trying to achieve? The engagement factor actually measures engagement of the heart, the head and the hand. Engaging employees' hearts refers to their positive emotional connection with the organisation; engagement of the head refers to positive thoughts about the organisation; and engagement of the hand refers to the discretionary efforts made by employees.

By assessing how well the organisation is performing on each of these items and categories, the Survey can identify what kind of issues are potentially acting as barriers to achieving an organisation's goals, where those problems are and what actions can be taken.



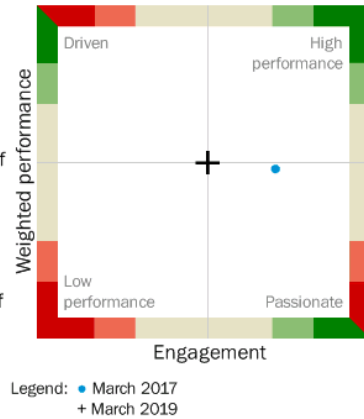


## Your Performance and Engagement scan

The Performance and Engagement scan below shows the performance and engagement results of Mid-Western Regional Council in both absolute and relative terms.

Results are displayed as the percentage of respondents who scored items either a six or a seven on the seven point rating scale. The colour coding indicates how the average raw score of Mid-Western Regional Council compares to organisations in Insync’s benchmark database.

The diagram to the right indicates where Mid-Western Regional Council is positioned on the Performance and Engagement framework, relative to Insync’s benchmark database. Groups of employees with high engagement and low performance are considered to be “passionate”, whereas those with low engagement and high performance are considered to be “driven”.



**Number of responses: 214**

		March 2017	March 2019
Best practice categories	Leadership and innovation	37%	38%
	Strategy and planning processes	31%	37%
	Data, information and knowledge	28%	36%
	People	33%	35%
	Customer and market focus	30%	28%
	Processes, products and services	33%	35%
	Business results	42%	32%
<b>Weighted performance</b>		<b>34%</b>	<b>34%</b>
Engage	<b>Engagement</b>	<b>65%</b>	<b>63%</b>

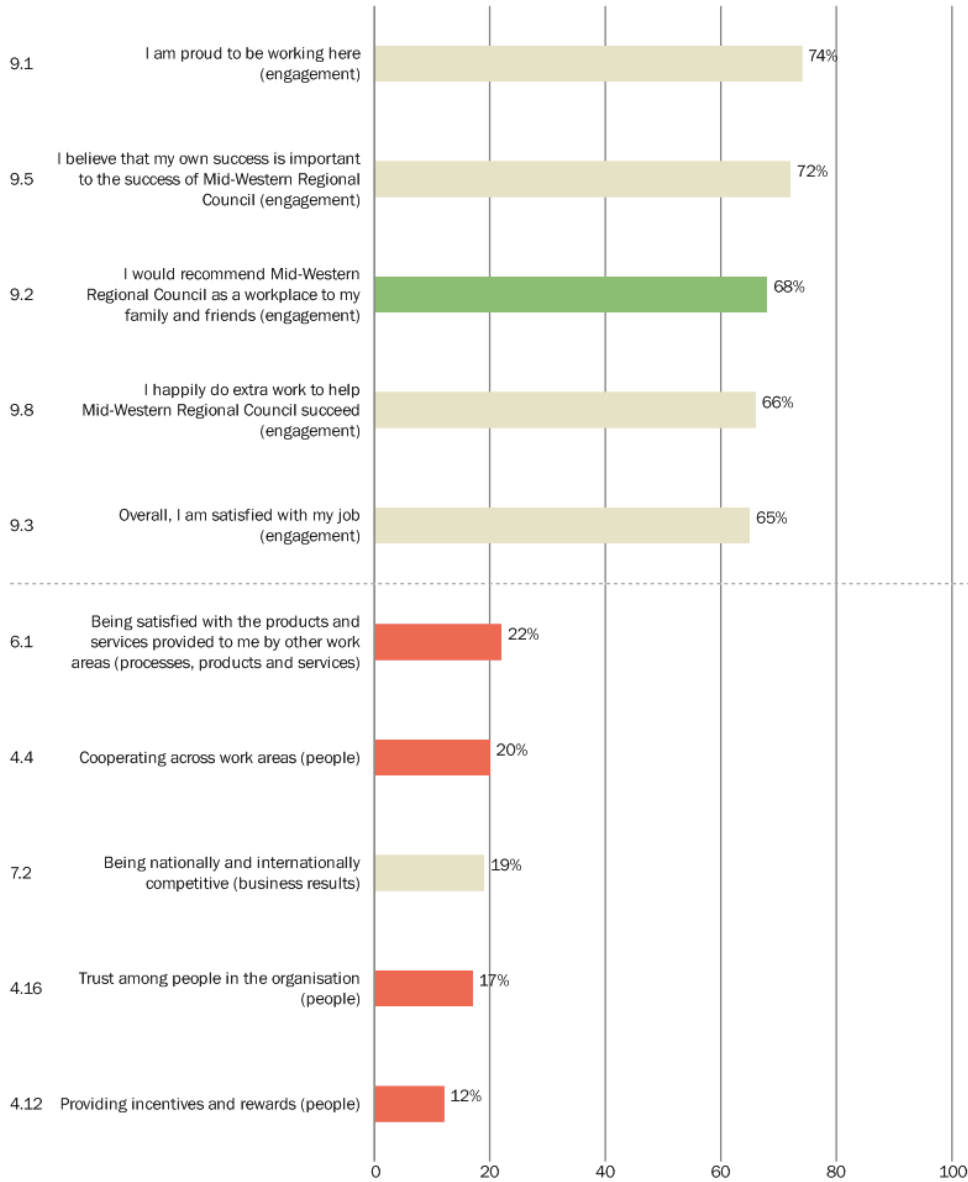
Your average raw score compared to Insync’s benchmark database.

Legend: # Bottom decile # Bottom quartile # 2nd and 3rd quartiles # Top quartile # Top decile



## Highs and lows

Of the core survey items, these are the five with the most and five with the least favourable responses (percentage of respondents who scored either a six or a seven on the seven point rating scale). The colour coding indicates how the average raw score of Mid-Western Regional Council compares to organisations in Insync’s benchmark database.



Your average raw score compared to Insync’s benchmark database.

Legend: # Bottom decile # Bottom quartile # 2nd and 3rd quartiles # Top quartile # Top decile \* Engagement driver

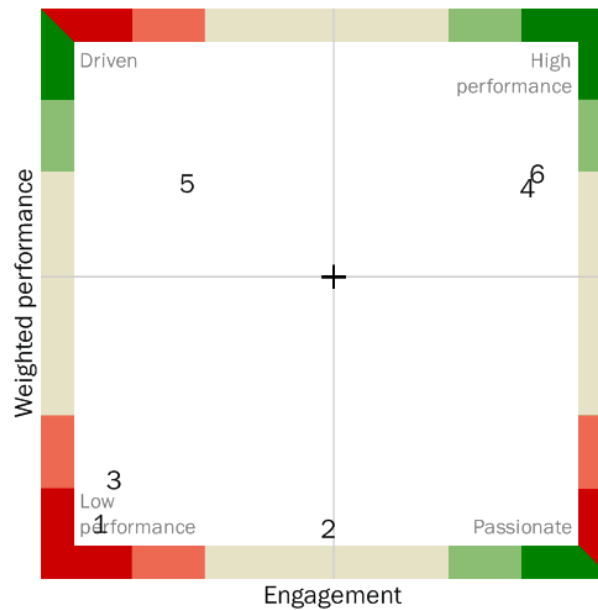


## Results by Intention to stay

These results show where each Intention to stay within Mid-Western Regional Council is positioned on the Performance and Engagement framework, relative to Insync’s benchmark database. Those with high engagement and low performance are considered to be “passionate”, whereas those with low engagement and high performance can be considered as “driven”.

In the table, results are displayed as the percentage of respondents who scored items either a six or a seven on the seven point rating scale. The colour coding indicates how the average raw score compares to organisations in Insync’s benchmark database.

At a glance, Mid-Western Regional Council can see where improvements can be made and where high performance can be celebrated.



ID	Intention to stay	Performance	Engagement	n
+	<b>All staff</b>	<b>34%</b>	<b>63%</b>	<b>214</b>
1	Less than 1 year	26%	49%	17
2	1-2 years	20%	55%	10
3	2-4 years	28%	53%	28
4	4-6 years	32%	64%	31
5	6-10 years	35%	52%	27
6	More than 10 years	39%	73%	101

Your average raw score compared to Insync’s benchmark database.

Legend: # Bottom decile # Bottom quartile # 2nd and 3rd quartiles # Top quartile # Top decile

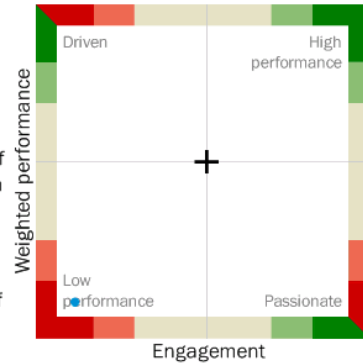


### Intention to stay: Less than 1 year

The Performance and Engagement scan below shows the performance and engagement results of Intention to stay: Less than 1 year.

Results are displayed as the percentage of respondents who scored items either a six or a seven on the seven point rating scale. The colour coding indicates how the average raw score of Intention to stay: Less than 1 year compares to organisations in Insync’s benchmark database.

The diagram to the right indicates where Intention to stay: Less than 1 year is positioned on the Performance and Engagement framework, relative to Insync’s benchmark database. Groups of employees with high engagement and low performance are considered to be “passionate”, whereas those with low engagement and high performance are considered to be “driven”.



Legend: • Less than 1 year  
+ All staff

**Number of respondents: 17**

		March 2017	March 2019
Best practice categories	Leadership and innovation	18%	33%
	Strategy and planning processes	20%	36%
	Data, information and knowledge	10%	23%
	People	20%	28%
	Customer and market focus	12%	12%
	Processes, products and services	28%	18%
	Business results	30%	30%
<b>Weighted performance</b>		<b>20%</b>	<b>26%</b>
Engage	<b>Engagement</b>	<b>41%</b>	<b>49%</b>

Your average raw score compared to Insync’s benchmark database.

Legend: # Bottom decile # Bottom quartile # 2nd and 3rd quartiles # Top quartile # Top decile

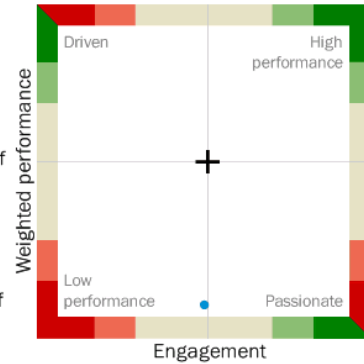


## Intention to stay: 1-2 years

The Performance and Engagement scan below shows the performance and engagement results of Intention to stay: 1-2 years.

Results are displayed as the percentage of respondents who scored items either a six or a seven on the seven point rating scale. The colour coding indicates how the average raw score of Intention to stay: 1-2 years compares to organisations in Insync's benchmark database.

The diagram to the right indicates where Intention to stay: 1-2 years is positioned on the Performance and Engagement framework, relative to Insync's benchmark database. Groups of employees with high engagement and low performance are considered to be "passionate", whereas those with low engagement and high performance are considered to be "driven".



Legend: ● 1-2 years  
 + All staff

**Number of respondents: 10**

		March 2017	March 2019
Best practice categories	Leadership and innovation	43%	25%
	Strategy and planning processes	33%	17%
	Data, information and knowledge	30%	17%
	People	39%	20%
	Customer and market focus	36%	27%
	Processes, products and services	39%	22%
	Business results	40%	11%
<b>Weighted performance</b>		<b>38%</b>	<b>20%</b>
Engage	<b>Engagement</b>	<b>72%</b>	<b>55%</b>

Your average raw score compared to Insync's benchmark database.

Legend: # Bottom decile # Bottom quartile # 2nd and 3rd quartiles # Top quartile # Top decile

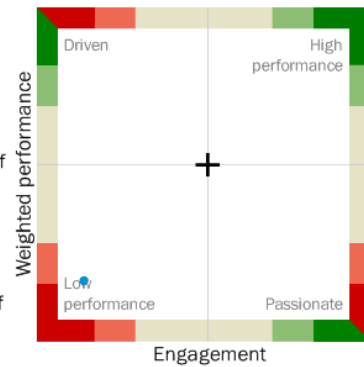


### Intention to stay: 2-4 years

The Performance and Engagement scan below shows the performance and engagement results of Intention to stay: 2-4 years.

Results are displayed as the percentage of respondents who scored items either a six or a seven on the seven point rating scale. The colour coding indicates how the average raw score of Intention to stay: 2-4 years compares to organisations in Insync’s benchmark database.

The diagram to the right indicates where Intention to stay: 2-4 years is positioned on the Performance and Engagement framework, relative to Insync’s benchmark database. Groups of employees with high engagement and low performance are considered to be “passionate”, whereas those with low engagement and high performance are considered to be “driven”.



**Number of respondents: 28**

		March 2017	March 2019
Best practice categories	Leadership and innovation	38%	36%
	Strategy and planning processes	38%	29%
	Data, information and knowledge	33%	33%
	People	34%	24%
	Customer and market focus	30%	20%
	Processes, products and services	36%	28%
	Business results	47%	26%
<b>Weighted performance</b>		<b>37%</b>	<b>28%</b>
Engage	<b>Engagement</b>	<b>60%</b>	<b>53%</b>

Your average raw score compared to Insync’s benchmark database.

Legend: # Bottom decile # Bottom quartile # 2nd and 3rd quartiles # Top quartile # Top decile

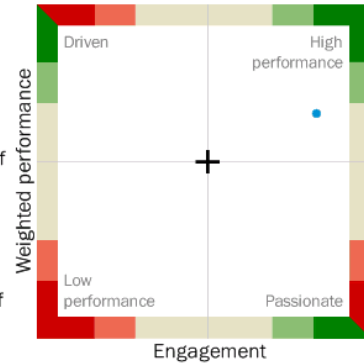


## Intention to stay: 4-6 years

The Performance and Engagement scan below shows the performance and engagement results of Intention to stay: 4-6 years.

Results are displayed as the percentage of respondents who scored items either a six or a seven on the seven point rating scale. The colour coding indicates how the average raw score of Intention to stay: 4-6 years compares to organisations in Insync’s benchmark database.

The diagram to the right indicates where Intention to stay: 4-6 years is positioned on the Performance and Engagement framework, relative to Insync’s benchmark database. Groups of employees with high engagement and low performance are considered to be “passionate”, whereas those with low engagement and high performance are considered to be “driven”.



Legend: ● 4-6 years  
 + All staff

### Number of respondents: 31

		March 2017	March 2019
Best practice categories	Leadership and innovation	43%	32%
	Strategy and planning processes	36%	35%
	Data, information and knowledge	34%	31%
	People	36%	36%
	Customer and market focus	38%	27%
	Processes, products and services	38%	35%
	Business results	47%	32%
<b>Weighted performance</b>		<b>39%</b>	<b>32%</b>
Engage	<b>Engagement</b>	<b>69%</b>	<b>64%</b>

Your average raw score compared to Insync’s benchmark database.

Legend: # Bottom decile # Bottom quartile # 2nd and 3rd quartiles # Top quartile # Top decile

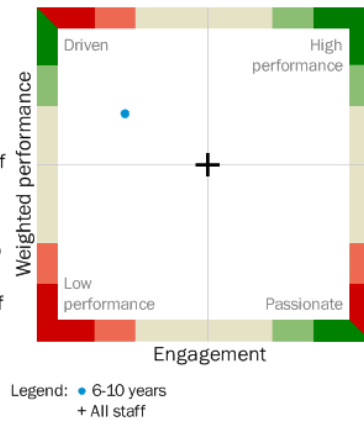


## Intention to stay: 6-10 years

The Performance and Engagement scan below shows the performance and engagement results of Intention to stay: 6-10 years.

Results are displayed as the percentage of respondents who scored items either a six or a seven on the seven point rating scale. The colour coding indicates how the average raw score of Intention to stay: 6-10 years compares to organisations in Insync’s benchmark database.

The diagram to the right indicates where Intention to stay: 6-10 years is positioned on the Performance and Engagement framework, relative to Insync’s benchmark database. Groups of employees with high engagement and low performance are considered to be “passionate”, whereas those with low engagement and high performance are considered to be “driven”.



**Number of respondents: 27**

		March 2017	March 2019
Best practice categories	Leadership and innovation	37%	41%
	Strategy and planning processes	34%	42%
	Data, information and knowledge	34%	41%
	People	34%	38%
	Customer and market focus	30%	24%
	Processes, products and services	34%	36%
	Business results	41%	29%
<b>Weighted performance</b>		<b>35%</b>	<b>35%</b>
Engage	<b>Engagement</b>	<b>64%</b>	<b>52%</b>

Your average raw score compared to Insync’s benchmark database.

Legend: # Bottom decile # Bottom quartile # 2nd and 3rd quartiles # Top quartile # Top decile



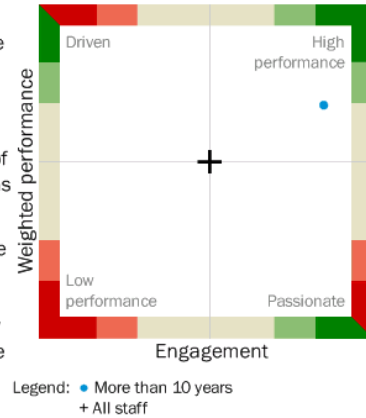


## Intention to stay: More than 10 years

The Performance and Engagement scan below shows the performance and engagement results of Intention to stay: More than 10 years.

Results are displayed as the percentage of respondents who scored items either a six or a seven on the seven point rating scale. The colour coding indicates how the average raw score of Intention to stay: More than 10 years compares to organisations in Insync’s benchmark database.

The diagram to the right indicates where Intention to stay: More than 10 years is positioned on the Performance and Engagement framework, relative to Insync’s benchmark database. Groups of employees with high engagement and low performance are considered to be “passionate”, whereas those with low engagement and high performance are considered to be “driven”.



**Number of respondents: 101**

		March 2017	March 2019
Best practice categories	Leadership and innovation	39%	41%
	Strategy and planning processes	30%	40%
	Data, information and knowledge	27%	41%
	People	33%	39%
	Customer and market focus	31%	34%
	Processes, products and services	32%	39%
	Business results	43%	38%
<b>Weighted performance</b>		<b>34%</b>	<b>39%</b>
Engage	<b>Engagement</b>	<b>71%</b>	<b>73%</b>

Your average raw score compared to Insync’s benchmark database.

Legend: # Bottom decile # Bottom quartile # 2nd and 3rd quartiles # Top quartile # Top decile

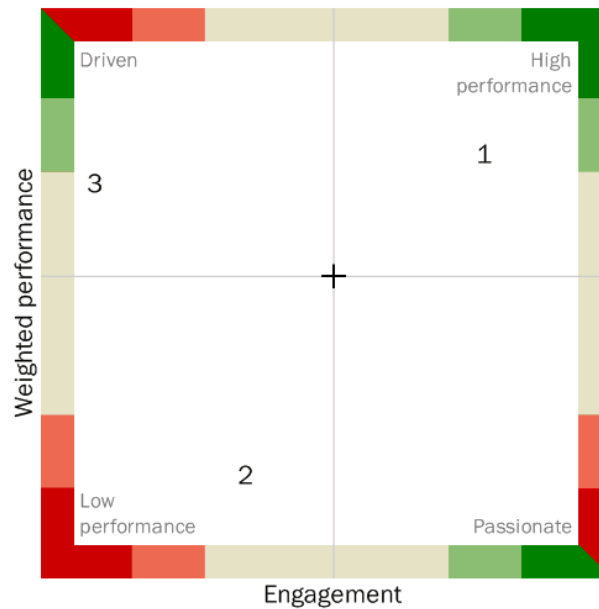


## Results by Face-to-face conversation about work with immediate manager/supervisor

These results show where each Face-to-face conversation about work with immediate manager/supervisor within Mid-Western Regional Council is positioned on the Performance and Engagement framework, relative to Insync’s benchmark database. Those with high engagement and low performance are considered to be “passionate”, whereas those with low engagement and high performance can be considered as “driven”.

In the table, results are displayed as the percentage of respondents who scored items either a six or a seven on the seven point rating scale. The colour coding indicates how the average raw score compares to organisations in Insync’s benchmark database.

At a glance, Mid-Western Regional Council can see where improvements can be made and where high performance can be celebrated.



ID	Face-to-face conversation about work with immediate manager/supervisor	Performance	Engagement	n
+	<b>All staff</b>	<b>34%</b>	<b>63%</b>	<b>214</b>
1	Daily	40%	69%	125
2	Once a week or fortnight	25%	57%	75
3	Once a month	36%	50%	9

Your average raw score compared to Insync’s benchmark database.

Legend: # Bottom decile # Bottom quartile # 2nd and 3rd quartiles # Top quartile # Top decile

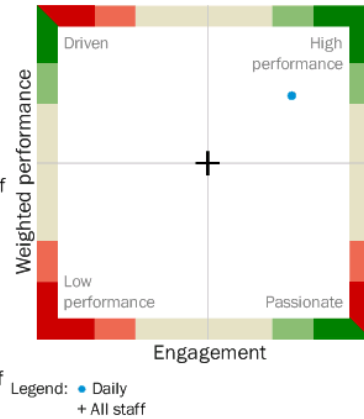


## Face-to-face conversation about work with immediate manager/supervisor: Daily

The Performance and Engagement scan below shows the performance and engagement results of Face-to-face conversation about work with immediate manager/supervisor: Daily.

Results are displayed as the percentage of respondents who scored items either a six or a seven on the seven point rating scale. The colour coding indicates how the average raw score of Face-to-face conversation about work with immediate manager/supervisor: Daily compares to organisations in Insync's benchmark database.

The diagram to the right indicates where Face-to-face conversation about work with immediate manager/supervisor: Daily is positioned on the Performance and Engagement framework, relative to Insync's benchmark database. Groups of employees with high engagement and low performance are considered to be "passionate", whereas those with low engagement and high performance are considered to be "driven".



**Number of respondents: 125**

		March 2017	March 2019
Best practice categories	Leadership and innovation	42%	45%
	Strategy and planning processes	33%	45%
	Data, information and knowledge	33%	44%
	People	35%	40%
	Customer and market focus	31%	33%
	Processes, products and services	34%	39%
	Business results	45%	39%
<b>Weighted performance</b>		<b>37%</b>	<b>40%</b>
Engage	<b>Engagement</b>	<b>69%</b>	<b>69%</b>

Your average raw score compared to Insync's benchmark database.

Legend: # Bottom decile # Bottom quartile # 2nd and 3rd quartiles # Top quartile # Top decile

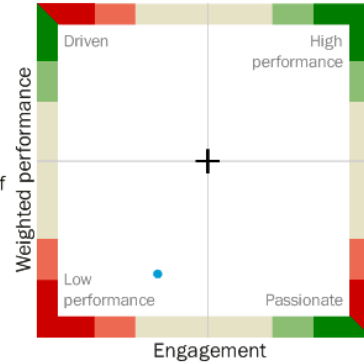


## Face-to-face conversation about work with immediate manager/supervisor: Once a week or fortnight

The Performance and Engagement scan below shows the performance and engagement results of Face-to-face conversation about work with immediate manager/supervisor: Once a week or fortnight.

Results are displayed as the percentage of respondents who scored items either a six or a seven on the seven point rating scale. The colour coding indicates how the average raw score of Face-to-face conversation about work with immediate manager/supervisor: Once a week or fortnight compares to organisations in Insync’s benchmark database.

The diagram to the right indicates where Face-to-face conversation about work with immediate manager/supervisor: Once a week or fortnight is positioned on the Performance and Engagement framework, relative to Insync’s benchmark database. Groups of employees with high engagement and low performance are considered to be “passionate”, whereas those with low engagement and high performance are considered to be “driven”.



Legend: ● Once a week or fortnight  
+ All staff

**Number of respondents: 75**

		March 2017	March 2019
Best practice categories	Leadership and innovation	37%	29%
	Strategy and planning processes	35%	27%
	Data, information and knowledge	26%	25%
	People	34%	28%
	Customer and market focus	34%	17%
	Processes, products and services	37%	27%
	Business results	44%	23%
<b>Weighted performance</b>		<b>36%</b>	<b>25%</b>
Engage	<b>Engagement</b>	<b>65%</b>	<b>57%</b>

Your average raw score compared to Insync’s benchmark database.

Legend: # Bottom decile # Bottom quartile # 2nd and 3rd quartiles # Top quartile # Top decile

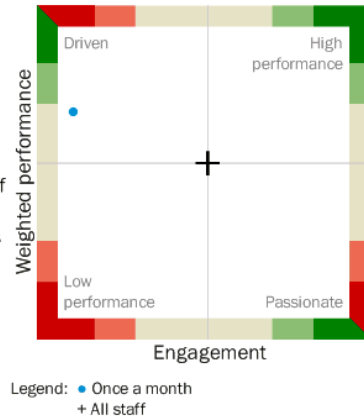


## Face-to-face conversation about work with immediate manager/supervisor: Once a month

The Performance and Engagement scan below shows the performance and engagement results of Face-to-face conversation about work with immediate manager/supervisor: Once a month.

Results are displayed as the percentage of respondents who scored items either a six or a seven on the seven point rating scale. The colour coding indicates how the average raw score of Face-to-face conversation about work with immediate manager/supervisor: Once a month compares to organisations in Insync's benchmark database.

The diagram to the right indicates where Face-to-face conversation about work with immediate manager/supervisor: Once a month is positioned on the Performance and Engagement framework, relative to Insync's benchmark database. Groups of employees with high engagement and low performance are considered to be "passionate", whereas those with low engagement and high performance are considered to be "driven".



**Number of respondents: 9**

		March 2017	March 2019
Best practice categories	Leadership and innovation	27%	23%
	Strategy and planning processes	23%	31%
	Data, information and knowledge	21%	38%
	People	25%	30%
	Customer and market focus	28%	43%
	Processes, products and services	30%	45%
	Business results	36%	43%
<b>Weighted performance</b>		<b>28%</b>	<b>36%</b>
Engage	<b>Engagement</b>	<b>58%</b>	<b>50%</b>

Your average raw score compared to Insync's benchmark database.

Legend: # Bottom decile # Bottom quartile # 2nd and 3rd quartiles # Top quartile # Top decile

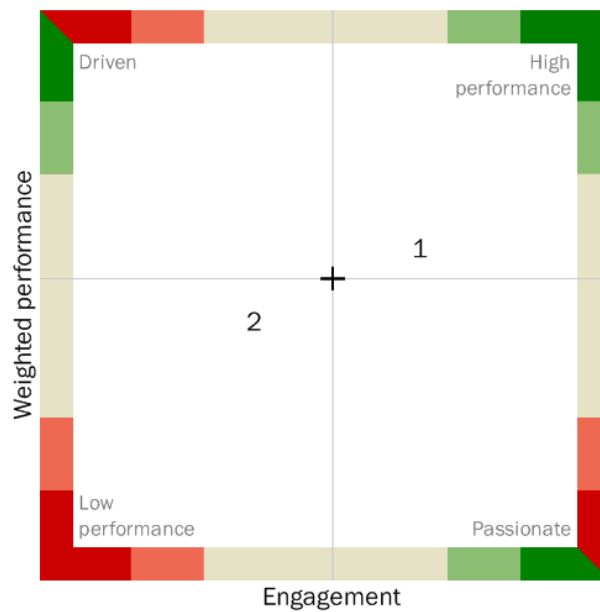


## Results by Did you respond to the 2017 survey?

These results show where each Did you respond to the 2017 survey? within Mid-Western Regional Council is positioned on the Performance and Engagement framework, relative to Insync’s benchmark database. Those with high engagement and low performance are considered to be “passionate”, whereas those with low engagement and high performance are considered as “driven”.

In the table, results are displayed as the percentage of respondents who scored items either a six or a seven on the seven point rating scale. The colour coding indicates how the average raw score compares to organisations in Insync’s benchmark database.

At a glance, Mid-Western Regional Council can see where improvements can be made and where high performance can be celebrated.



ID	Did you respond to the 2017 survey?	Performance	Engagement	n
+	All staff	34%	63%	214
1	Yes	37%	65%	138
2	No	29%	60%	76

Your average raw score compared to Insync’s benchmark database.

Legend: # Bottom decile # Bottom quartile # 2nd and 3rd quartiles # Top quartile # Top decile

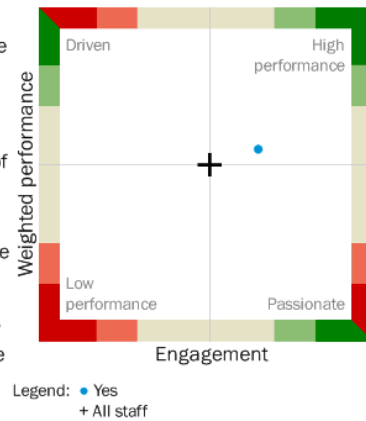


## Did you respond to the 2017 survey?: Yes

The Performance and Engagement scan below shows the performance and engagement results of Did you respond to the 2017 survey?: Yes.

Results are displayed as the percentage of respondents who scored items either a six or a seven on the seven point rating scale. The colour coding indicates how the average raw score of Did you respond to the 2017 survey?: Yes compares to organisations in Insync's benchmark database.

The diagram to the right indicates where Did you respond to the 2017 survey?: Yes is positioned on the Performance and Engagement framework, relative to Insync's benchmark database. Groups of employees with high engagement and low performance are considered to be "passionate", whereas those with low engagement and high performance are considered to be "driven".



**Number of respondents: 138**

		March 2017	March 2019
Best practice categories	Leadership and innovation	39%	40%
	Strategy and planning processes	33%	39%
	Data, information and knowledge	31%	38%
	People	34%	37%
	Customer and market focus	31%	30%
	Processes, products and services	34%	38%
	Business results	42%	36%
<b>Weighted performance</b>		<b>35%</b>	<b>37%</b>
Engage	<b>Engagement</b>	<b>66%</b>	<b>65%</b>

Your average raw score compared to Insync's benchmark database.

Legend: # Bottom decile # Bottom quartile # 2nd and 3rd quartiles # Top quartile # Top decile

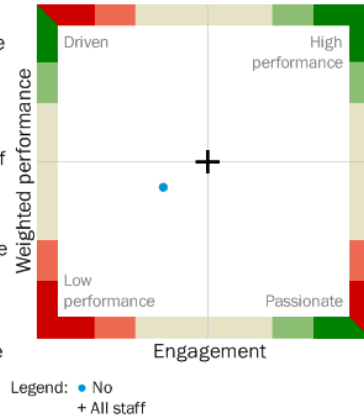


## Did you respond to the 2017 survey?: No

The Performance and Engagement scan below shows the performance and engagement results of Did you respond to the 2017 survey?: No.

Results are displayed as the percentage of respondents who scored items either a six or a seven on the seven point rating scale. The colour coding indicates how the average raw score of Did you respond to the 2017 survey?: No compares to organisations in Insync's benchmark database.

The diagram to the right indicates where Did you respond to the 2017 survey?: No is positioned on the Performance and Engagement framework, relative to Insync's benchmark database. Groups of employees with high engagement and low performance are considered to be "passionate", whereas those with low engagement and high performance are considered to be "driven".



**Number of respondents: 76**

		March 2017	March 2019
Best practice categories	Leadership and innovation	34%	32%
	Strategy and planning processes	29%	32%
	Data, information and knowledge	20%	31%
	People	31%	32%
	Customer and market focus	29%	22%
	Processes, products and services	33%	28%
	Business results	44%	25%
<b>Weighted performance</b>		<b>32%</b>	<b>29%</b>
Engage	<b>Engagement</b>	<b>64%</b>	<b>60%</b>

Your average raw score compared to Insync's benchmark database.

Legend: # Bottom decile # Bottom quartile # 2nd and 3rd quartiles # Top quartile # Top decile





## Performance and Engagement tables by category

Results are displayed as the percentage of respondents who scored items either a six or a seven on the seven point rating scale. Change from previous survey is indicated where available e.g. [+5%] means an increase of 5% over time. The colour coding indicates how the average raw score compares to organisations in Insync's benchmark database.

	Performance								Weighted performance score	9. Engagement score
	Number of respondents	1. Leadership and innovation	2. Strategy and planning processes	3. Data, information and knowledge	4. People	5. Customer and market focus	6. Processes, products and services	7. Business results		
All staff	214 [+11]	38% [0%]	37% [+6%]	36% [+8%]	35% [+2%]	28% [-3%]	35% [+1%]	32% [-9%]	34% [0%]	63% [-2%]
<b>Intention to stay</b>										
Less than 1 year	17 [+7]	33% [+15%]	36% [+16%]	23% [+13%]	28% [+8%]	12% [0%]	18% [-10%]	30% [0%]	26% [+5%]	49% [+8%]
1-2 years	10 [-9]	25% [-18%]	17% [-17%]	17% [-13%]	20% [-19%]	27% [-9%]	22% [-17%]	11% [-29%]	20% [-18%]	55% [-17%]
2-4 years	28 [+5]	36% [-3%]	29% [-9%]	33% [0%]	24% [-9%]	20% [-10%]	28% [-8%]	26% [-21%]	28% [-9%]	53% [-7%]
4-6 years	31 [+2]	32% [-11%]	35% [-1%]	31% [-3%]	36% [-1%]	27% [-11%]	35% [-3%]	32% [-15%]	32% [-7%]	64% [-5%]
6-10 years	27 [+2]	41% [+3%]	42% [+7%]	41% [+7%]	38% [+5%]	24% [-6%]	36% [+2%]	29% [-12%]	35% [0%]	52% [-12%]
More than 10 years	101 [+13]	41% [+2%]	40% [+11%]	41% [+14%]	39% [+6%]	34% [+3%]	39% [+7%]	38% [-6%]	39% [+4%]	73% [+2%]
<b>Face-to-face conversation about work with Immediate manager/supervisor</b>										
Daily	125 [+15]	45% [+3%]	45% [+11%]	44% [+10%]	40% [+6%]	33% [+3%]	39% [+5%]	39% [-6%]	40% [+4%]	69% [0%]
Once a week or fortnight	75 [+12]	29% [-8%]	27% [-8%]	25% [-1%]	28% [-6%]	17% [-17%]	27% [-10%]	23% [-21%]	25% [-11%]	57% [-8%]
Once a month	9 [-7]	23% [-5%]	31% [+8%]	38% [+17%]	30% [+5%]	43% [+15%]	45% [+15%]	43% [+7%]	36% [+8%]	50% [-8%]
<b>Did you respond to the 2017 survey?</b>										
Yes	138 [-13]	40% [+1%]	39% [+7%]	38% [+7%]	37% [+3%]	30% [-1%]	38% [+3%]	36% [-6%]	37% [+2%]	65% [-1%]
No	76 [+30]	32% [-1%]	32% [+3%]	31% [+11%]	32% [+1%]	22% [-7%]	28% [-5%]	25% [-19%]	29% [-3%]	60% [-4%]

Your average raw score compared to Insync's benchmark database. Legend: # Bottom decile # Bottom quartile # 2nd and 3rd quartiles # Top quartile # Top decile

## Performance and Engagement tables by item

### 1. Leadership and innovation (items 1 to 6 of 12)

This table shows the survey items that make up the *leadership and innovation* index for Mid-Western Regional Council. Results are displayed as the percentage of respondents who scored items either a six or a seven on the seven point rating scale. Change from previous survey is indicated where available e.g. [+5%] means an increase of 5% over time. The colour coding indicates how the average raw score compares to organisations in Insync's benchmark database.

1. Leadership and innovation (items 1 to 6 of 12)							
Number of respondents	1.1	1.2	1.3	1.4	1.5	1.6	
	Being aware of the organisation's environmental and social impact on the community	Being listened to by the Directors	Change being led by the Directors	Demonstration of leadership by the Directors	Demonstration of leadership by the person to whom I report	Encouraging innovation	
All staff	214 [+11]	35% [-2%]	33% [+1%]	28% [-1%]	32% [-3%]	48% [+3%]	31% [+3%]
<b>Intention to stay</b>							
Less than 1 year	17 [+7]	30% [0%]	30% [+30%]	20% [+20%]	30% [+30%]	40% [+10%]	20% [+10%]
1-2 years	10 [-9]	17% [-28%]	17% [-33%]	17% [-44%]	17% [-28%]	17% [-31%]	33% [+11%]
2-4 years	28 [+5]	26% [-10%]	35% [+4%]	30% [-4%]	35% [0%]	43% [-4%]	26% [-9%]
4-6 years	31 [+2]	23% [-20%]	31% [-9%]	23% [-5%]	31% [-12%]	42% [-6%]	38% [-4%]
6-10 years	27 [+2]	35% [-4%]	30% [0%]	22% [-4%]	26% [-10%]	61% [+30%]	35% [-7%]
More than 10 years	101 [+13]	45% [+6%]	35% [+2%]	34% [+5%]	35% [-2%]	52% [-1%]	31% [+8%]
<b>Face-to-face conversation about work with immediate manager/supervisor</b>							
Daily	125 [+15]	42% [+2%]	40% [+8%]	34% [0%]	38% [-1%]	56% [+5%]	35% [+2%]
Once a week or fortnight	75 [+12]	25% [-3%]	25% [-15%]	23% [-8%]	27% [-10%]	40% [-8%]	27% [0%]
Once a month	9 [-7]	29% [-25%]	14% [-6%]	14% [0%]	14% [-6%]	29% [-3%]	29% [+2%]
<b>Did you respond to the 2017 survey?</b>							
Yes	138 [-13]	40% [+1%]	35% [0%]	33% [+1%]	35% [-2%]	47% [0%]	36% [+4%]
No	76 [+30]	25% [-10%]	28% [+1%]	19% [-7%]	26% [-6%]	51% [+7%]	23% [+2%]

Continued on next page.

Your average raw score compared to Insync's benchmark database. Legend: # Bottom decile # Bottom quartile # 2nd and 3rd quartiles # Top quartile # Top decile \* Engagement driver



## Performance and Engagement tables by item

### 1. Leadership and innovation (items 7 to 12 of 12)

This table shows the survey items that make up the *leadership and innovation* index for Mid-Western Regional Council. Results are displayed as the percentage of respondents who scored items either a six or a seven on the seven point rating scale. Change from previous survey is indicated where available e.g. [+5%] means an increase of 5% over time. The colour coding indicates how the average raw score compares to organisations in Insync's benchmark database.

1. Leadership and innovation (items 7 to 12 of 12)								
	Number of respondents	1.7 Having clear goals for the organisation	1.8 Having the organisational structure to achieve our vision, mission and goals	1.9 Having the person to whom I report listen and respond to me	1.10 Receiving regular feedback on my job performance from the person to whom I report	1.11 Receiving regular recognition for my efforts at work from the person to whom I report	1.12 Understanding where my work team fits into the organisation	Leadership and innovation factor
All staff	214 [+11]	35% [-3%]	31% [0%]	51% [-2%]	37% [+2%]	38% [0%]	52% [+6%]	38% [0%]
<b>Intention to stay</b>								
Less than 1 year	17 [+7]	30% [+20%]	40% [+29%]	40% [-10%]	30% [+10%]	40% [+18%]	40% [+10%]	33% [+15%]
1-2 years	10 [-9]	33% [-6%]	17% [-28%]	33% [-14%]	17% [-20%]	17% [-20%]	67% [+22%]	25% [-18%]
2-4 years	28 [+5]	22% [-17%]	30% [-4%]	43% [-9%]	43% [+9%]	48% [+9%]	43% [+4%]	36% [-3%]
4-6 years	31 [+2]	23% [-13%]	19% [-9%]	46% [-11%]	27% [-16%]	31% [-19%]	54% [-3%]	32% [-11%]
6-10 years	27 [+2]	35% [-13%]	35% [+9%]	65% [+11%]	48% [+13%]	39% [+9%]	57% [+4%]	41% [+3%]
More than 10 years	101 [+13]	43% [+2%]	34% [0%]	53% [-3%]	37% [+3%]	39% [-2%]	53% [+6%]	41% [+2%]
<b>Face-to-face conversation about work with immediate manager/supervisor</b>								
Daily	125 [+15]	45% [+4%]	38% [+2%]	61% [+3%]	45% [+2%]	47% [+2%]	60% [+8%]	45% [+3%]
Once a week or fortnight	75 [+12]	25% [-11%]	22% [-8%]	37% [-21%]	28% [-2%]	28% [-7%]	42% [-4%]	29% [-8%]
Once a month	9 [-7]	0% [-47%]	29% [+7%]	43% [+12%]	14% [+2%]	14% [+2%]	43% [+5%]	23% [-5%]
<b>Did you respond to the 2017 survey?</b>								
Yes	138 [-13]	39% [0%]	34% [+1%]	51% [-3%]	39% [+3%]	41% [0%]	52% [+3%]	40% [+1%]
No	76 [+30]	25% [-8%]	25% [-3%]	51% [-4%]	32% [+3%]	32% [0%]	53% [+12%]	32% [-1%]

Your average raw score compared to Insync's benchmark database. Legend: # Bottom decile # Bottom quartile # 2nd and 3rd quartiles # Top quartile # Top decile \* Engagement driver

## 2. Strategy and planning processes

This table shows the survey items that make up the *strategy and planning processes* index for Mid-Western Regional Council. Results are displayed as the percentage of respondents who scored items either a six or a seven on the seven point rating scale. Change from previous survey is indicated where available e.g. [+5%] means an increase of 5% over time. The colour coding indicates how the average raw score compares to organisations in Insync's benchmark database.

2. Strategy and planning processes						
	2.1	2.2	2.3	2.4	2.5	Strategy and planning processes factor
	Having the resources to achieve my work team's goals	Involving me in the development of plans for my work team	Planning for the future of the organisation	Planning in my work area being linked to the organisation's plans	Understanding why the organisation makes changes	
All staff	37% [+3%]	39% [+7%]	35% [-5%]	43% [+13%]	31% [+9%]	37% [+6%]
<b>Intention to stay</b>						
Less than 1 year	10% [-20%]	40% [+20%]	40% [+20%]	60% [+30%]	30% [+30%]	36% [+16%]
1-2 years	17% [-25%]	17% [-10%]	17% [-39%]	33% [+7%]	0% [-16%]	17% [-17%]
2-4 years	35% [-11%]	26% [-17%]	26% [-4%]	39% [+9%]	17% [-22%]	29% [-9%]
4-6 years	31% [+2%]	46% [0%]	35% [-8%]	31% [-5%]	31% [+6%]	35% [-1%]
6-10 years	43% [-2%]	48% [+17%]	35% [-9%]	48% [+22%]	35% [+9%]	42% [+7%]
More than 10 years	43% [+13%]	40% [+11%]	38% [-2%]	45% [+15%]	36% [+16%]	40% [+11%]
<b>Face-to-face conversation about work with immediate manager/supervisor</b>						
Daily	47% [+11%]	48% [+13%]	42% [0%]	52% [+19%]	34% [+14%]	45% [+11%]
Once a week or fortnight	22% [-16%]	30% [-7%]	23% [-16%]	33% [+2%]	25% [-2%]	27% [-8%]
Once a month	43% [+24%]	14% [+2%]	43% [+3%]	29% [+4%]	29% [+10%]	31% [+8%]
<b>Did you respond to the 2017 survey?</b>						
Yes	40% [+6%]	41% [+8%]	39% [-2%]	43% [+10%]	35% [+12%]	39% [+7%]
No	30% [-4%]	36% [+4%]	26% [-8%]	43% [+22%]	23% [+2%]	32% [+3%]

Your average raw score compared to Insync's benchmark database. Legend: # Bottom decile # Bottom quartile # 2nd and 3rd quartiles # Top quartile # Top decile \* Engagement driver



### 3. Data, information and knowledge

This table shows the survey items that make up the *data, information and knowledge* index for Mid-Western Regional Council. Results are displayed as the percentage of respondents who scored items either a six or a seven on the seven point rating scale. Change from previous survey is indicated where available e.g. [+5%] means an increase of 5% over time. The colour coding indicates how the average raw score compares to organisations in Insync's benchmark database.

3. Data, information and knowledge				
	3.1	3.2	3.3	Data, Information and knowledge factor
	Encouraging me to share what I have learnt with others in the organisation	Measuring my work team's progress	Using collected data and information as a basis for decision-making	
All staff	33% [+9%]	38% [+4%]	38% [+11%]	<b>36% [+8%]</b>
<b>Intention to stay</b>				
Less than 1 year	30% [+30%]	10% [-10%]	30% [+20%]	<b>23% [+13%]</b>
1-2 years	17% [+1%]	17% [-31%]	17% [-10%]	<b>17% [-13%]</b>
2-4 years	30% [0%]	39% [+3%]	30% [-1%]	<b>33% [0%]</b>
4-6 years	27% [-14%]	27% [-12%]	38% [+17%]	<b>31% [-3%]</b>
6-10 years	30% [+8%]	48% [+16%]	43% [-4%]	<b>41% [+7%]</b>
More than 10 years	37% [+15%]	44% [+10%]	41% [+16%]	<b>41% [+14%]</b>
<b>Face-to-face conversation about work with immediate manager/supervisor</b>				
Daily	39% [+10%]	46% [+5%]	46% [+16%]	<b>44% [+10%]</b>
Once a week or fortnight	23% [+3%]	27% [-4%]	25% [-2%]	<b>25% [-1%]</b>
Once a month	29% [+10%]	29% [+4%]	57% [+38%]	<b>38% [+17%]</b>
<b>Did you respond to the 2017 survey?</b>				
Yes	35% [+8%]	41% [+4%]	40% [+10%]	<b>38% [+7%]</b>
No	28% [+12%]	32% [+5%]	34% [+16%]	<b>31% [+11%]</b>

Your average raw score compared to Insync's benchmark database. Legend: # Bottom decile # Bottom quartile # 2nd and 3rd quartiles # Top quartile # Top decile \* Engagement driver

#### 4. People (items 1 to 9 of 18)

This table shows the survey items that make up the *people* index for Mid-Western Regional Council. Results are displayed as the percentage of respondents who scored items either a six or a seven on the seven point rating scale. Change from previous survey is indicated where available e.g. [+5%] means an increase of 5% over time. The colour coding indicates how the average raw score compares to organisations in Insync's benchmark database.

4. People (Items 1 to 9 of 18)									
	4.1	4.2	4.3	4.4	4.5	4.6	4.7	4.8	4.9
	Balancing work and life demands	Being proud of the organisation	Being satisfied in my job	Cooperating across work areas	Developing personally and professionally	Having the skills and knowledge to improve what I do and how I do it	Making use of my abilities	My pay and conditions	Providing a safe work environment
All staff	53% [+7%]	37% [-3%]	44% [+9%]	20% [-3%]	34% [+5%]	40% [+11%]	34% [+4%]	29% [-1%]	57% [-1%]
<b>Intention to stay</b>									
Less than 1 year	60% [+40%]	30% [-10%]	30% [+10%]	20% [0%]	20% [+10%]	20% [0%]	20% [0%]	10% [-10%]	60% [+40%]
1-2 years	33% [-25%]	17% [-25%]	17% [-15%]	0% [-22%]	17% [-15%]	33% [-11%]	33% [+7%]	17% [-19%]	17% [-61%]
2-4 years	35% [-11%]	22% [-13%]	22% [-13%]	13% [-19%]	13% [-14%]	17% [-9%]	13% [-9%]	22% [-17%]	48% [-4%]
4-6 years	58% [+6%]	42% [+4%]	46% [+8%]	19% [-9%]	38% [+11%]	50% [+18%]	31% [-11%]	27% [-20%]	54% [-9%]
6-10 years	43% [-4%]	35% [-11%]	43% [+2%]	9% [-17%]	39% [0%]	48% [+23%]	43% [+14%]	30% [+10%]	65% [+6%]
More than 10 years	60% [+14%]	43% [+1%]	55% [+18%]	28% [+6%]	41% [+10%]	44% [+14%]	40% [+9%]	36% [+9%]	61% [+1%]
<b>Face-to-face conversation about work with immediate manager/supervisor</b>									
Daily	56% [+12%]	43% [-1%]	53% [+18%]	24% [-1%]	41% [+9%]	47% [+16%]	35% [+1%]	34% [+1%]	59% [0%]
Once a week or fortnight	48% [+1%]	27% [-13%]	32% [-10%]	15% [-16%]	27% [-4%]	27% [-5%]	32% [+5%]	22% [-10%]	55% [-7%]
Once a month	43% [-7%]	57% [+26%]	43% [+12%]	29% [+22%]	14% [-6%]	57% [+38%]	29% [+4%]	29% [+15%]	57% [+4%]
<b>Did you respond to the 2017 survey?</b>									
Yes	49% [+2%]	40% [0%]	44% [+8%]	20% [-5%]	35% [+4%]	45% [+13%]	34% [+3%]	33% [+2%]	56% [-3%]
No	60% [+16%]	30% [-9%]	45% [+7%]	21% [0%]	32% [+6%]	30% [+7%]	34% [+8%]	23% [-8%]	58% [+1%]

Continued on next page.

Your average raw score compared to Insync's benchmark database. Legend: # Bottom decile # Bottom quartile # 2nd and 3rd quartiles # Top quartile # Top decile \* Engagement driver

## 4. People (items 10 to 18 of 18)

This table shows the survey items that make up the *people* index for Mid-Western Regional Council. Results are displayed as the percentage of respondents who scored items either a six or a seven on the seven point rating scale. Change from previous survey is indicated where available e.g. [+5%] means an increase of 5% over time. The colour coding indicates how the average raw score compares to organisations in Insync's benchmark database.

4. People (items 10 to 18 of 18)										People factor
4.10	4.11	4.12	4.13	4.14	4.15	4.16	4.17	4.18		
Providing career opportunities	Providing for the health and wellbeing of employees	Providing incentives and rewards	Providing me with the opportunity to develop new technical and job skills	Providing me with the opportunity to make changes to my work area	Keeping skilled employees	Trust among people in the organisation	Valuing employees in the organisation	Working as a team in my work area		
All staff	30% [+7%]	38% [-8%]	12% [-2%]	36% [+8%]	40% [+10%]	22% [-2%]	17% [-4%]	28% [-3%]	61% [+10%]	<b>35% [+2%]</b>
<b>Intention to stay</b>										
Less than 1 year	30% [+10%]	30% [0%]	0% [0%]	30% [+20%]	40% [+10%]	10% [-10%]	10% [+10%]	30% [+10%]	60% [+20%]	<b>28% [+8%]</b>
1-2 years	17% [-11%]	33% [-28%]	17% [0%]	33% [+2%]	17% [-20%]	17% [-22%]	0% [-16%]	17% [-28%]	33% [-25%]	<b>20% [-19%]</b>
2-4 years	17% [9%]	35% [-17%]	9% [9%]	22% [-4%]	35% [6%]	17% [-16%]	17% [-4%]	26% [+4%]	52% [0%]	<b>24% [-9%]</b>
4-6 years	31% [+9%]	35% [-12%]	15% [7%]	35% [+4%]	42% [+11%]	27% [+9%]	19% [5%]	19% [10%]	54% [10%]	<b>36% [-1%]</b>
6-10 years	35% [+13%]	43% [-7%]	17% [+8%]	43% [+14%]	43% [+22%]	26% [1%]	22% [4%]	30% [-6%]	74% [+26%]	<b>38% [+5%]</b>
More than 10 years	32% [+9%]	41% [-4%]	11% [-2%]	39% [+10%]	43% [+12%]	23% [+1%]	17% [-6%]	31% [-2%]	64% [+13%]	<b>39% [+6%]</b>
<b>Face-to-face conversation about work with immediate manager/supervisor</b>										
Daily	36% [+11%]	40% [-12%]	14% [-1%]	44% [+17%]	48% [+14%]	30% [+6%]	20% [-1%]	35% [-1%]	67% [+10%]	<b>40% [+6%]</b>
Once a week or fortnight	23% [-3%]	35% [-9%]	7% [-5%]	27% [-5%]	33% [+5%]	13% [-14%]	15% [-10%]	20% [-11%]	50% [-3%]	<b>28% [-6%]</b>
Once a month	14% [+8%]	29% [-11%]	29% [+9%]	14% [-11%]	14% [-11%]	0% [-20%]	0% [-13%]	14% [+1%]	71% [+28%]	<b>30% [+5%]</b>
<b>Did you respond to the 2017 survey?</b>										
Yes	29% [+3%]	39% [-10%]	15% [0%]	36% [+8%]	45% [+14%]	28% [+3%]	19% [-2%]	30% [-3%]	62% [+12%]	<b>37% [+3%]</b>
No	30% [+18%]	36% [4%]	6% [-6%]	34% [+9%]	32% [+2%]	11% [-12%]	13% [8%]	23% [-3%]	58% [-1%]	<b>32% [+1%]</b>

Your average raw score compared to Insync's benchmark database. Legend: # Bottom decile # Bottom quartile # 2nd and 3rd quartiles # Top quartile # Top decile \* Engagement driver

## 5. Customer and market focus

This table shows the survey items that make up the *customer and market focus* index for Mid-Western Regional Council. Results are displayed as the percentage of respondents who scored items either a six or a seven on the seven point rating scale. Change from previous survey is indicated where available e.g. [+5%] means an increase of 5% over time. The colour coding indicates how the average raw score compares to organisations in Insync's benchmark database.

5. Customer and market focus						
	5.1	5.2	5.3	5.4	5.5	Customer and market focus factor
	Communicating the level of external customer satisfaction to employees	Providing products and services that deliver competitive value for money	Satisfying external customers	Understanding of external customer needs by employees	Using customer feedback to improve what we do	
All staff	25% [-2%]	28% [-1%]	31% [-7%]	27% [-6%]	28% [+3%]	<b>28% [-3%]</b>
<b>Intention to stay</b>						
Less than 1 year	10% [+10%]	10% [-1%]	10% [-20%]	20% [+20%]	10% [-10%]	<b>12% [0%]</b>
1-2 years	33% [0%]	17% [-22%]	33% [0%]	33% [0%]	17% [-22%]	<b>27% [-9%]</b>
2-4 years	9% [-17%]	30% [0%]	22% [-9%]	17% [-17%]	22% [-8%]	<b>20% [-10%]</b>
4-6 years	27% [-4%]	27% [-9%]	31% [-23%]	19% [-23%]	31% [+4%]	<b>27% [-11%]</b>
6-10 years	17% [-16%]	30% [0%]	30% [-6%]	26% [-4%]	17% [-5%]	<b>24% [-6%]</b>
More than 10 years	32% [+6%]	30% [+2%]	36% [-4%]	34% [-3%]	36% [+12%]	<b>34% [+3%]</b>
<b>Face-to-face conversation about work with immediate manager/supervisor</b>						
Daily	28% [+2%]	32% [+5%]	35% [-5%]	37% [+3%]	35% [+8%]	<b>33% [+3%]</b>
Once a week or fortnight	17% [-13%]	17% [-22%]	20% [-19%]	13% [-21%]	17% [-11%]	<b>17% [-17%]</b>
Once a month	43% [+21%]	71% [+48%]	57% [+17%]	14% [-21%]	29% [+9%]	<b>43% [+15%]</b>
<b>Did you respond to the 2017 survey?</b>						
Yes	29% [0%]	29% [+1%]	35% [-4%]	28% [-5%]	30% [+4%]	<b>30% [-1%]</b>
No	15% [-4%]	25% [-7%]	23% [-13%]	25% [-9%]	25% [0%]	<b>22% [-7%]</b>

Your average raw score compared to Insync's benchmark database. Legend: # Bottom decile # Bottom quartile # 2nd and 3rd quartiles # Top quartile # Top decile \* Engagement driver



## 6. Processes, products and services

This table shows the survey items that make up the *processes, products and services* index for Mid-Western Regional Council. Results are displayed as the percentage of respondents who scored items either a six or a seven on the seven point rating scale. Change from previous survey is indicated where available e.g. [+5%] means an increase of 5% over time. The colour coding indicates how the average raw score compares to organisations in Insync's benchmark database.

6. Processes, products and services							Processes, products and services factor
6.1	6.2	6.3	6.4	6.5	6.6		
Being satisfied with the products and services provided to me by other work areas	Continuously improving the way we do things	Producing or delivering quality products and services within my work team	Trying out new ideas	Using external suppliers and contractors who deliver quality products or services	Using quality procedures and work practices in my work area		
All staff	22% [-8%]	27% [-2%]	55% [+6%]	35% [+9%]	28% [+1%]	40% [+2%]	<b>35% [+1%]</b>
<b>Intention to stay</b>							
Less than 1 year	20% [0%]	20% [0%]	30% [-20%]	20% [0%]	10% [-20%]	10% [-20%]	<b>18% [-10%]</b>
1-2 years	17% [-28%]	17% [-22%]	33% [-14%]	17% [-4%]	33% [-2%]	17% [-31%]	<b>22% [-17%]</b>
2-4 years	22% [-15%]	17% [-21%]	43% [-7%]	26% [-1%]	30% [-3%]	26% [-2%]	<b>28% [-8%]</b>
4-6 years	23% [-10%]	31% [-10%]	58% [+6%]	27% [-5%]	27% [-4%]	42% [+3%]	<b>35% [-3%]</b>
6-10 years	17% [-19%]	39% [+16%]	52% [0%]	43% [+17%]	22% [+4%]	43% [-4%]	<b>36% [+2%]</b>
More than 10 years	24% [-1%]	27% [+2%]	63% [+14%]	41% [+12%]	32% [+4%]	48% [+11%]	<b>39% [+7%]</b>
<b>Face-to-face conversation about work with immediate manager/supervisor</b>							
Daily	27% [-3%]	32% [+4%]	62% [+10%]	37% [+8%]	29% [+1%]	47% [+9%]	<b>39% [+5%]</b>
Once a week or fortnight	15% [-21%]	22% [-12%]	43% [-9%]	35% [+8%]	22% [-9%]	25% [-16%]	<b>27% [-10%]</b>
Once a month	29% [+2%]	29% [-5%]	57% [+20%]	29% [+10%]	57% [+30%]	71% [+31%]	<b>45% [+15%]</b>
<b>Did you respond to the 2017 survey?</b>							
Yes	27% [-5%]	30% [0%]	59% [+9%]	39% [+12%]	28% [+2%]	42% [+2%]	<b>38% [+3%]</b>
No	13% [-16%]	21% [-6%]	45% [-4%]	26% [0%]	28% [-5%]	36% [+4%]	<b>28% [-5%]</b>

Your average raw score compared to Insync's benchmark database. Legend: # Bottom decile # Bottom quartile # 2nd and 3rd quartiles # Top quartile # Top decile \* Engagement driver

## 7. Business results

This table shows the survey items that make up the *business results* index for Mid-Western Regional Council. Results are displayed as the percentage of respondents who scored items either a six or a seven on the seven point rating scale. Change from previous survey is indicated where available e.g. [+5%] means an increase of 5% over time. The colour coding indicates how the average raw score compares to organisations in Insync's benchmark database.

7. Business results				
	7.1	7.2	7.3	Business results factor
	Achieving my work team's goals and objectives	Being nationally and internationally competitive	Knowing how the organisation is performing	
All staff	56% [+7%]	19%	23% [-12%]	<b>32% [-9%]</b>
<b>Intention to stay</b>				
Less than 1 year	50% [0%]	20%	20% [+10%]	<b>30% [0%]</b>
1-2 years	17% [-25%]	0%	17% [-22%]	<b>11% [-29%]</b>
2-4 years	48% [-7%]	9%	22% [-18%]	<b>26% [-21%]</b>
4-6 years	62% [+8%]	19%	15% [-25%]	<b>32% [-15%]</b>
6-10 years	52% [+4%]	9%	26% [-7%]	<b>29% [-12%]</b>
More than 10 years	61% [+11%]	26%	26% [-10%]	<b>38% [-6%]</b>
<b>Face-to-face conversation about work with immediate manager/supervisor</b>				
Daily	65% [+11%]	22%	29% [-7%]	<b>39% [-6%]</b>
Once a week or fortnight	42% [-9%]	13%	13% [-23%]	<b>23% [-21%]</b>
Once a month	71% [+40%]	29%	29% [-11%]	<b>43% [+7%]</b>
<b>Did you respond to the 2017 survey?</b>				
Yes	59% [+12%]	23%	27% [-10%]	<b>36% [-6%]</b>
No	49% [-8%]	9%	15% [-16%]	<b>25% [-19%]</b>

Your average raw score compared to Insync's benchmark database. Legend: # Bottom decile # Bottom quartile # 2nd and 3rd quartiles # Top quartile # Top decile \* Engagement driver



## 8. Satisfaction

Results are displayed as the percentage of respondents who scored items either a six or a seven on the seven point rating scale. Change from previous survey is indicated where available e.g. [+5%] means an increase of 5% over time. The colour coding, if provided, indicates how the average raw score compares to organisations in Insync's benchmark database.

8. Satisfaction		
	8.1	8.2
	My overall satisfaction with the organisation	My overall satisfaction with the person to whom I report
All staff	34% [-8%]	64% [+2%]
<b>Intention to stay</b>		
Less than 1 year	30% [0%]	50% [-10%]
1-2 years	17% [-33%]	67% [0%]
2-4 years	26% [-14%]	57% [-3%]
4-6 years	35% [-23%]	54% [-12%]
6-10 years	30% [-18%]	70% [+26%]
More than 10 years	40% [-1%]	69% [-1%]
<b>Face-to-face conversation about work with immediate manager/supervisor</b>		
Daily	42% [-1%]	75% [+7%]
Once a week or fortnight	27% [-22%]	50% [-9%]
Once a month	14% [-19%]	43% [-10%]
<b>Did you respond to the 2017 survey?</b>		
Yes	34% [-9%]	63% [0%]
No	36% [-13%]	66% [0%]

Your average raw score compared to Insync's benchmark database. Legend: # Bottom decile # Bottom quartile # 2nd and 3rd quartiles # Top quartile # Top decile \* Engagement driver

## 9. Engagement

This table shows the survey items that make up the *engagement* index for Mid-Western Regional Council. Results are displayed as the percentage of respondents who scored items either a six or a seven on the seven point rating scale. Change from previous survey is indicated where available e.g. [+5%] means an increase of 5% over time. The colour coding indicates how the average raw score compares to organisations in Insync's benchmark database.

9. Engagement											Engagement factor
9.1	9.2	9.3	9.4	9.5	9.6	9.7	9.8	9.9	9.10		
I am proud to be working here	I would recommend Mid-Western Regional Council as a workplace to my family and friends	Overall, I am satisfied with my job	I have a strong sense of belonging to Mid-Western Regional Council	I believe that my own success is important to the success of Mid-Western Regional Council	Most challenges I face at work are good learning experiences	I volunteer to do extra work on special projects and initiatives	I happily do extra work to help Mid-Western Regional Council succeed	I can envisage a fulfilling future for myself at Mid-Western Regional Council	I look forward to coming to work each day		
All staff	74% [-3%]	68% [-2%]	65% [-6%]	57% [+2%]	72% [+6%]	63% [+2%]	57% [-5%]	66% [-8%]	60% [+4%]	50% [-11%]	<b>63% [-2%]</b>
<b>Intention to stay</b>											
Less than 1 year	60% [+20%]	60% [+40%]	53% [+23%]	47% [+27%]	53% [+3%]	47% [-3%]	47% [-33%]	60% [-20%]	27% [+16%]	40% [+10%]	<b>49% [+8%]</b>
1-2 years	63% [-21%]	63% [-21%]	63% [-21%]	38% [-29%]	75% [+3%]	63% [-10%]	63% [+1%]	50% [-28%]	38% [-13%]	38% [-35%]	<b>55% [-17%]</b>
2-4 years	80% [+10%]	60% [-5%]	53% [-12%]	47% [-6%]	67% [-3%]	53% [-1%]	53% [-3%]	47% [-27%]	27% [-16%]	47% [-3%]	<b>53% [-7%]</b>
4-6 years	76% [-9%]	57% [-13%]	71% [-13%]	71% [+16%]	76% [+6%]	62% [-3%]	52% [-9%]	71% [+5%]	57% [-4%]	48% [-23%]	<b>64% [-5%]</b>
6-10 years	65% [-2%]	71% [+4%]	53% [-14%]	41% [-21%]	71% [0%]	47% [-15%]	29% [-25%]	47% [-28%]	53% [-5%]	41% [-15%]	<b>52% [-12%]</b>
More than 10 years	78% [-5%]	75% [-3%]	72% [-2%]	65% [+6%]	77% [+11%]	74% [+12%]	69% [-2%]	77% [0%]	80% [+12%]	58% [-9%]	<b>73% [+2%]</b>
<b>Face-to-face conversation about work with immediate manager/supervisor</b>											
Daily	78% [-2%]	77% [+3%]	67% [-8%]	67% [+6%]	76% [+9%]	72% [+6%]	63% [-1%]	68% [-8%]	63% [+1%]	56% [-11%]	<b>69% [0%]</b>
Once a week or fortnight	67% [-6%]	56% [-13%]	65% [-5%]	44% [-10%]	67% [+3%]	54% [-4%]	48% [-18%]	63% [-13%]	60% [+4%]	48% [-13%]	<b>57% [-8%]</b>
Once a month	67% [-7%]	50% [-3%]	50% [-17%]	50% [+17%]	67% [-13%]	33% [-27%]	83% [+17%]	67% [+7%]	17% [-19%]	17% [-30%]	<b>50% [-8%]</b>
<b>Did you respond to the 2017 survey?</b>											
Yes	72% [-5%]	66% [-4%]	66% [-7%]	61% [+2%]	75% [+6%]	66% [+7%]	62% [-3%]	66% [-8%]	63% [+6%]	53% [-9%]	<b>65% [-1%]</b>
No	77% [-2%]	71% [-1%]	63% [-2%]	52% [+5%]	67% [+9%]	58% [-7%]	50% [-10%]	65% [-11%]	54% [-4%]	46% [-17%]	<b>60% [-4%]</b>

Your average raw score compared to Insync's benchmark database. Legend: # Bottom decile # Bottom quartile # 2nd and 3rd quartiles # Top quartile # Top decile \* Engagement driver

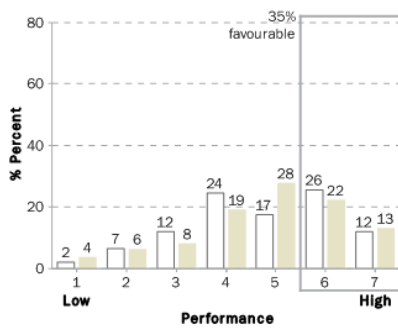


## Performance charts

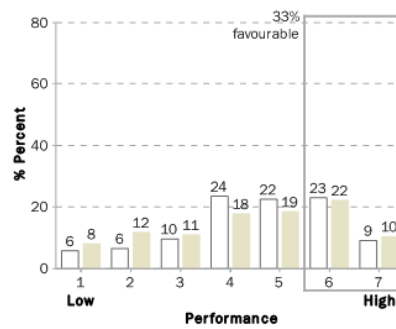
These charts show the survey participants' responses to each survey item. The columns show the percentage of respondents that chose each option on the seven point performance scale, from 1 (low) to 7 (high). The colour coding indicates how the average raw score compares to organisations in Insync's benchmark database.

### 1. Leadership and innovation

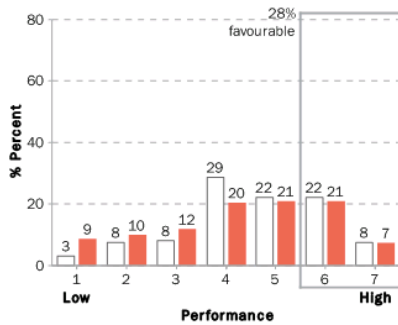
1.1 Being aware of the organisation's environmental and social impact on the community



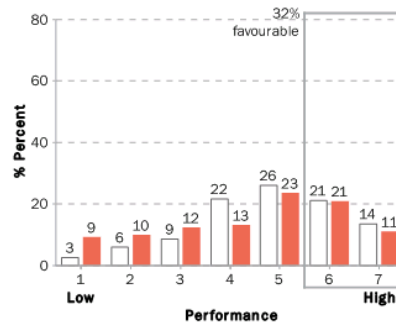
1.2 Being listened to by the Directors



1.3 Change being led by the Directors



1.4 Demonstration of leadership by the Directors

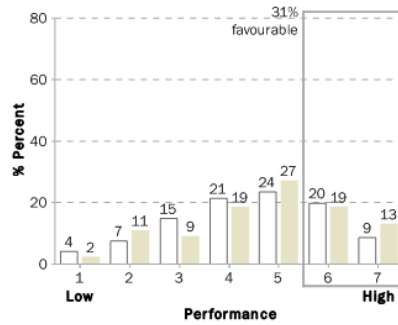
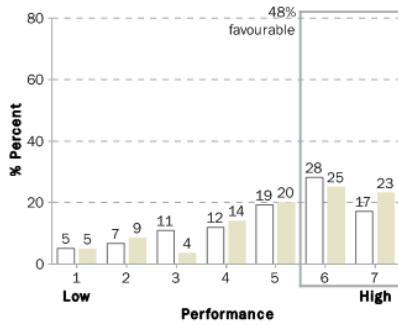


Your average raw score compared to Insync's benchmark database.

Legend: # Bottom decile # Bottom quartile # 2nd and 3rd quartiles # Top quartile # Top decile \* Engagement driver  
 # March 2017 results

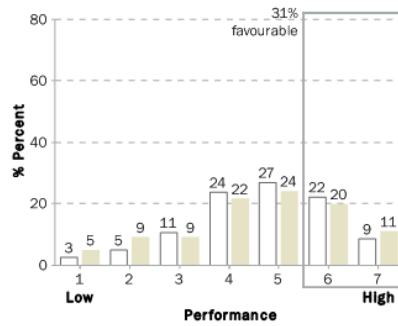
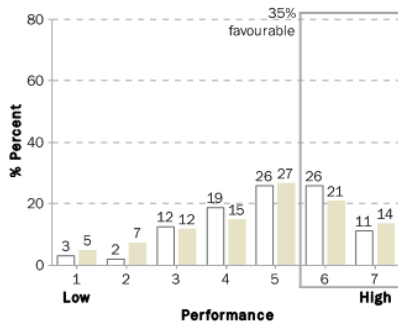


1.5 Demonstration of leadership by the person to whom I report    1.6 Encouraging innovation



1.7 Having clear goals for the organisation

1.8 Having the organisational structure to achieve our vision, mission and goals

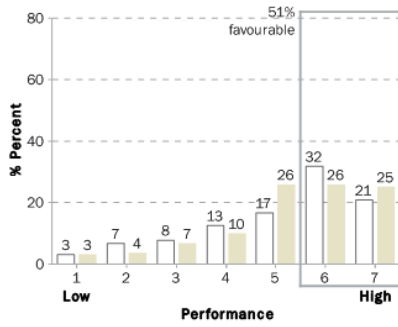


Your average raw score compared to Insync's benchmark database.

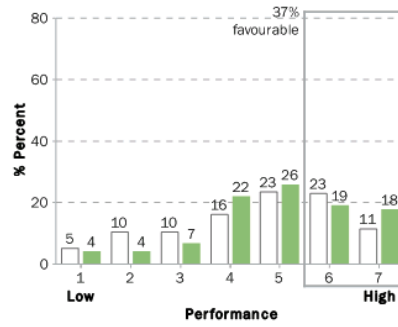
Legend: # Bottom decile # Bottom quartile # 2nd and 3rd quartiles # Top quartile # Top decile \* Engagement driver  
# March 2017 results



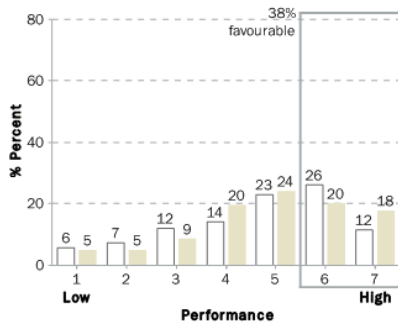
1.9 Having the person to whom I report listen and respond to me



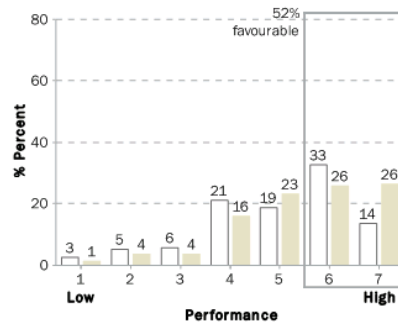
1.10 Receiving regular feedback on my job performance from the person to whom I report



1.11 Receiving regular recognition for my efforts at work from the person to whom I report



1.12 Understanding where my work team fits into the organisation



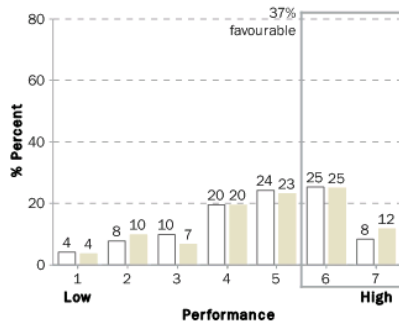
Your average raw score compared to Insync's benchmark database.

Legend: # Bottom decile # Bottom quartile # 2nd and 3rd quartiles # Top quartile # Top decile \* Engagement driver  
 # March 2017 results

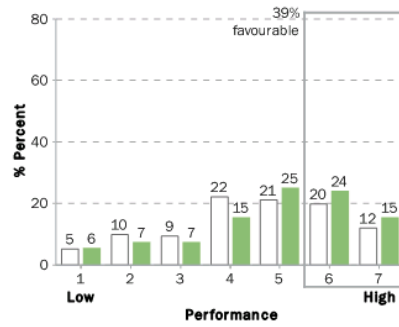


## 2. Strategy and planning processes

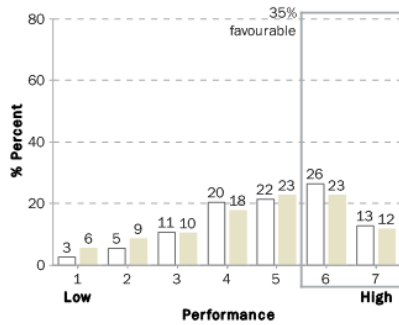
2.1 Having the resources to achieve my work team's goals



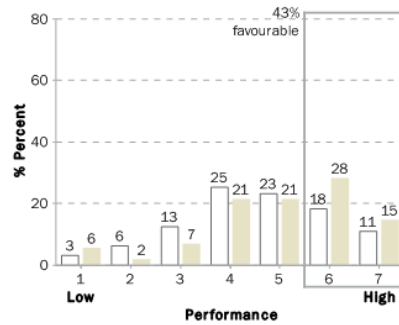
2.2 Involving me in the development of plans for my work team



2.3 Planning for the future of the organisation



2.4 Planning in my work area being linked to the organisation's plans



Your average raw score compared to Insync's benchmark database.

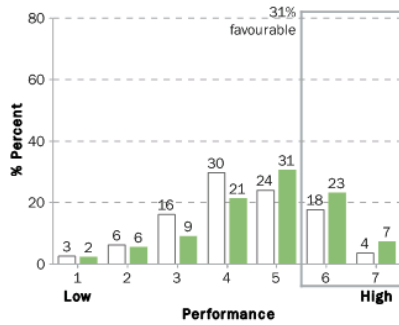
Legend: # Bottom decile # Bottom quartile # 2nd and 3rd quartiles # Top quartile # Top decile \* Engagement driver

# March 2017 results





2.5 Understanding why the organisation makes changes



Your average raw score compared to Insync's benchmark database.

Legend: # Bottom decile # Bottom quartile # 2nd and 3rd quartiles # Top quartile # Top decile \* Engagement driver

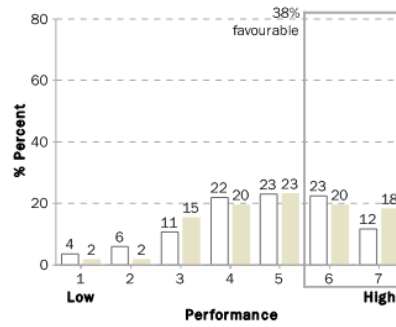
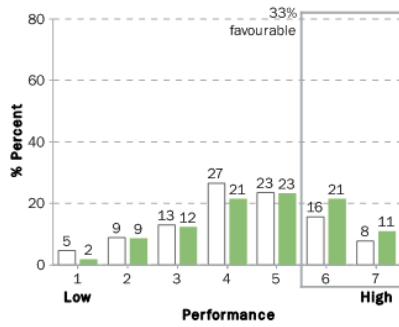
# March 2017 results



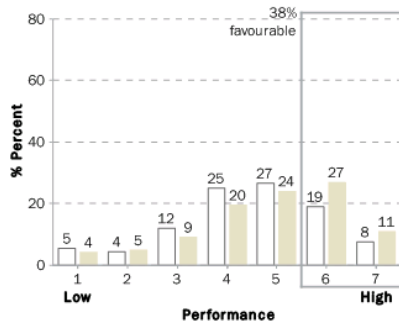
### 3. Data, information and knowledge

3.1 Encouraging me to share what I have learnt with others in the organisation

3.2 Measuring my work team's progress



3.3 Using collected data and information as a basis for decision-making



Your average raw score compared to Insync's benchmark database.

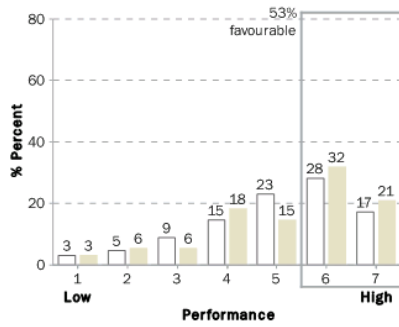
Legend: # Bottom decile # Bottom quartile # 2nd and 3rd quartiles # Top quartile # Top decile \* Engagement driver

# March 2017 results

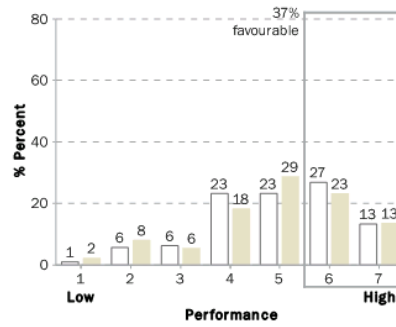


## 4. People

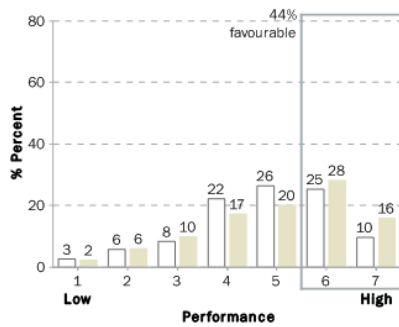
### 4.1 Balancing work and life demands



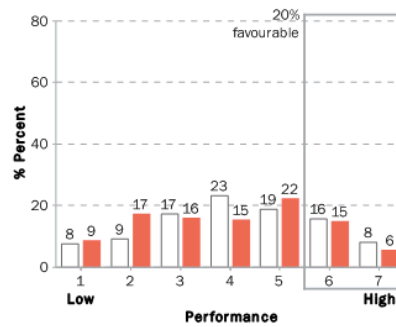
### 4.2 Being proud of the organisation



### 4.3 Being satisfied in my job



### 4.4 Cooperating across work areas

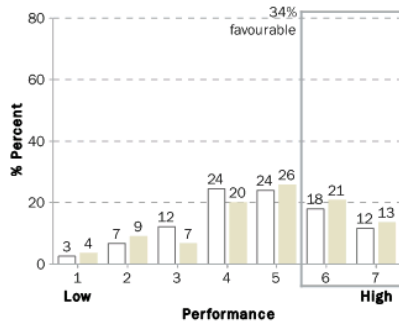


Your average raw score compared to Insync's benchmark database.

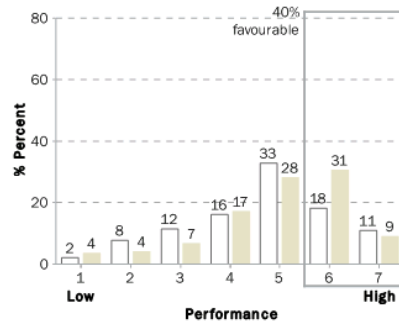
Legend: # Bottom decile # Bottom quartile # 2nd and 3rd quartiles # Top quartile # Top decile \* Engagement driver  
 # March 2017 results



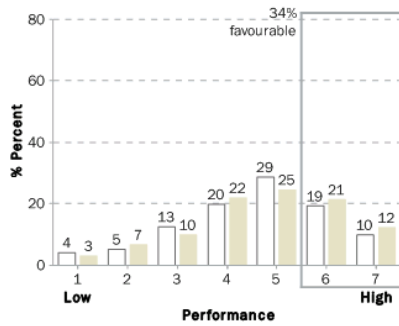
4.5 Developing personally and professionally



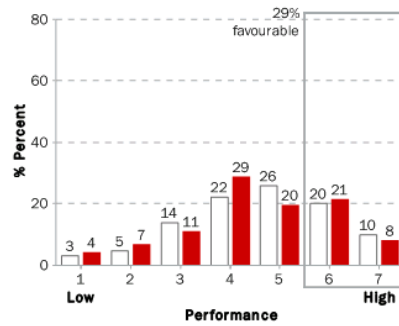
4.6 Having the skills and knowledge to improve what I do and how I do it



4.7 Making use of my abilities



4.8 My pay and conditions

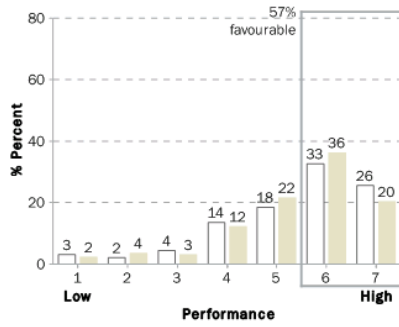


Your average raw score compared to Insync's benchmark database.

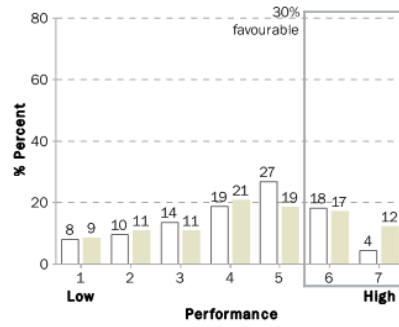
Legend: # Bottom decile # Bottom quartile # 2nd and 3rd quartiles # Top quartile # Top decile \* Engagement driver  
# March 2017 results



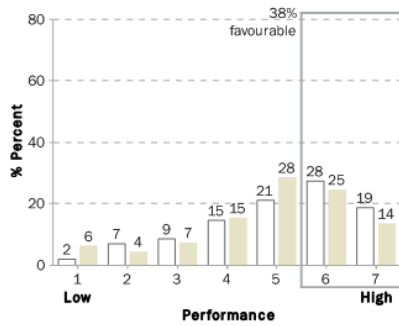
4.9 Providing a safe work environment



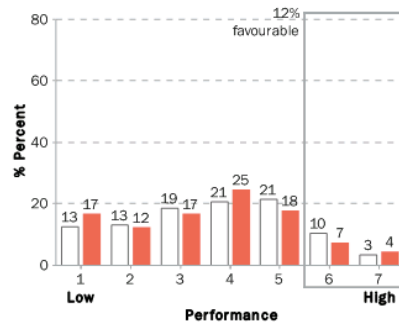
4.10 Providing career opportunities



4.11 Providing for the health and wellbeing of employees



4.12 Providing incentives and rewards

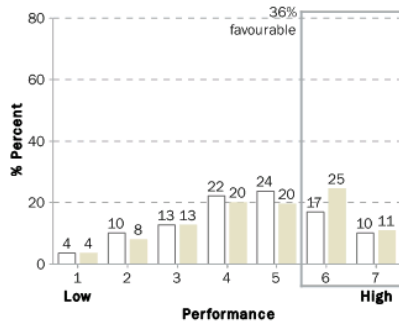


Your average raw score compared to Insync's benchmark database.

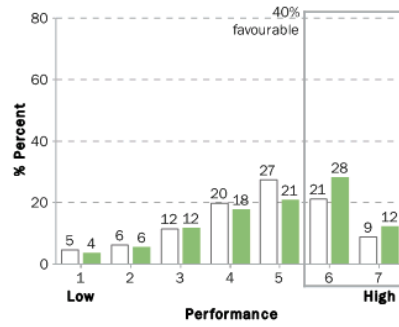
Legend: # Bottom decile # Bottom quartile # 2nd and 3rd quartiles # Top quartile # Top decile \* Engagement driver  
 # March 2017 results



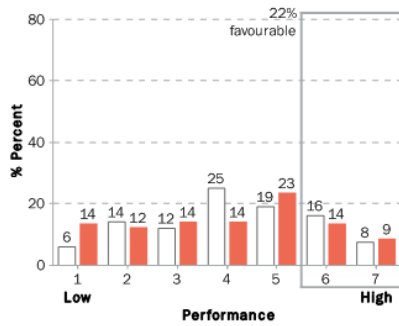
4.13 Providing me with the opportunity to develop new technical and job skills



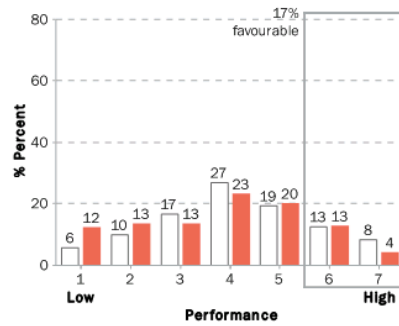
4.14 Providing me with the opportunity to make changes to my work area



4.15 Keeping skilled employees



4.16 Trust among people in the organisation

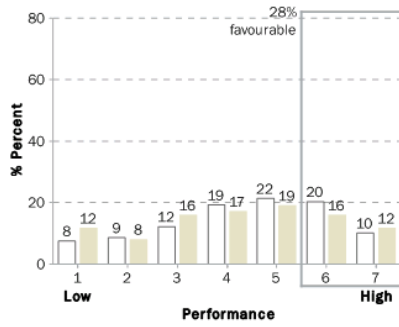


Your average raw score compared to Insync's benchmark database.

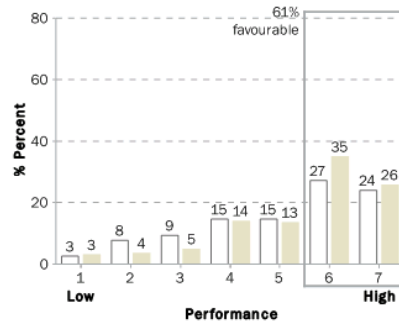
Legend: # Bottom decile # Bottom quartile # 2nd and 3rd quartiles # Top quartile # Top decile \* Engagement driver  
# March 2017 results



4.17 Valuing employees in the organisation



4.18 Working as a team in my work area



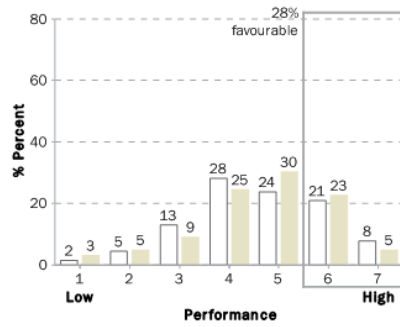
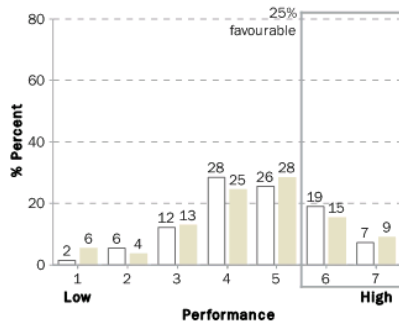
Your average raw score compared to Insync's benchmark database.

Legend: # Bottom decile # Bottom quartile # 2nd and 3rd quartiles # Top quartile # Top decile \* Engagement driver  
 # March 2017 results

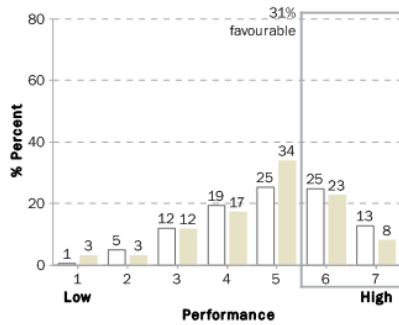


## 5. Customer and market focus

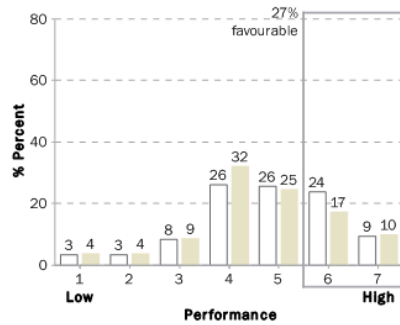
- 5.1 Communicating the level of external customer satisfaction to employees
- 5.2 Providing products and services that deliver competitive value for money



- 5.3 Satisfying external customers



- 5.4 Understanding of external customer needs by employees



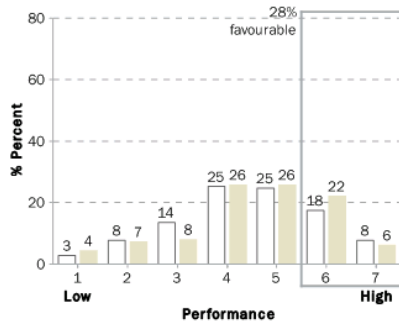
Your average raw score compared to Insync's benchmark database.

Legend: # Bottom decile # Bottom quartile # 2nd and 3rd quartiles # Top quartile # Top decile \* Engagement driver  
# March 2017 results





5.5 Using customer feedback to improve what we do



Your average raw score compared to Insync's benchmark database.

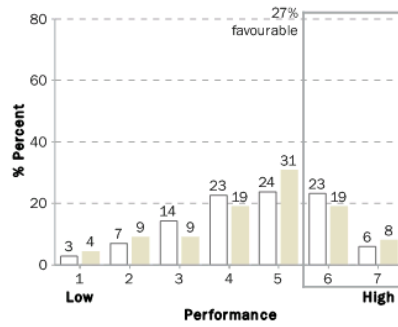
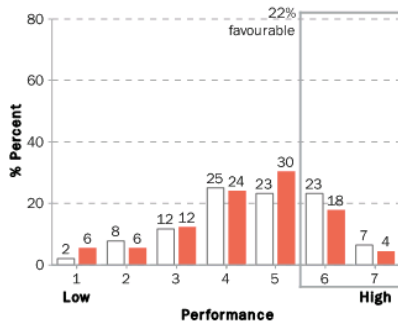
Legend: # Bottom decile # Bottom quartile # 2nd and 3rd quartiles # Top quartile # Top decile \* Engagement driver

# March 2017 results

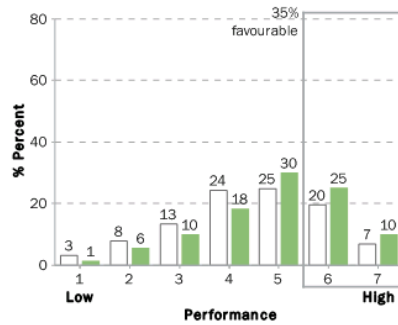
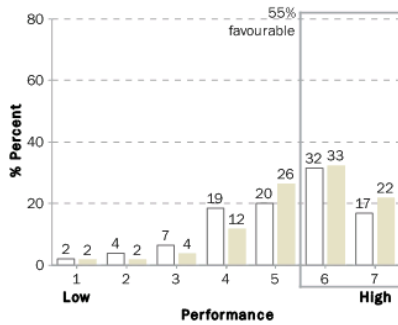


## 6. Processes, products and services

6.1 Being satisfied with the products and services provided to me by other work areas    6.2 Continuously improving the way we do things



6.3 Producing or delivering quality products and services within my work team    6.4 Trying out new ideas



Your average raw score compared to Insync's benchmark database.

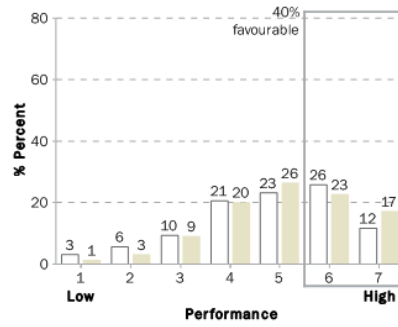
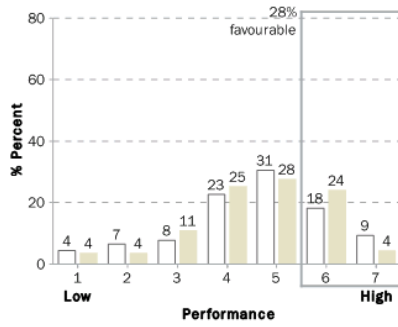
Legend: # Bottom decile # Bottom quartile # 2nd and 3rd quartiles # Top quartile # Top decile \* Engagement driver

# March 2017 results



6.5 Using external suppliers and contractors who deliver quality products or services

6.6 Using quality procedures and work practices in my work area



Your average raw score compared to Insync's benchmark database.

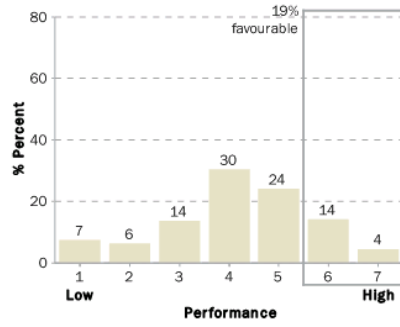
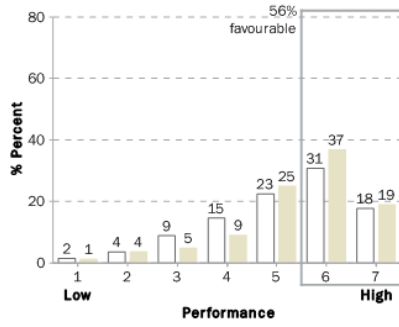
Legend: # Bottom decile # Bottom quartile # 2nd and 3rd quartiles # Top quartile # Top decile \* Engagement driver

# March 2017 results

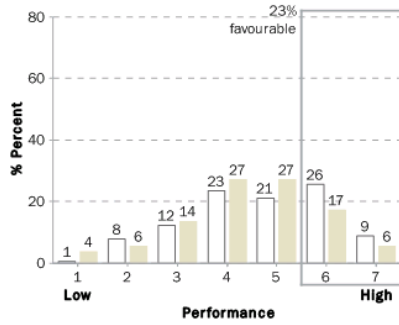


## 7. Business results

7.1 Achieving my work team's goals and objectives 7.2 Being nationally and internationally competitive



7.3 Knowing how the organisation is performing



Your average raw score compared to Insync's benchmark database.

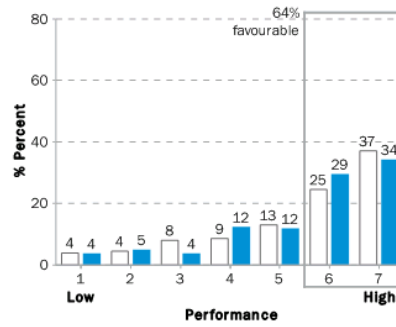
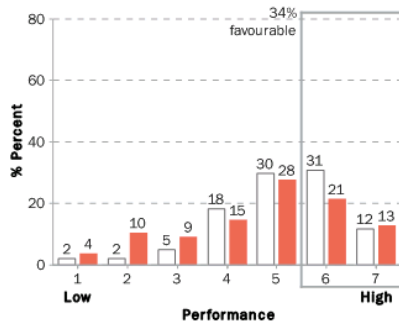
Legend: # Bottom decile # Bottom quartile # 2nd and 3rd quartiles # Top quartile # Top decile \* Engagement driver  
# March 2017 results



## 8. Satisfaction

8.1 My overall satisfaction with the organisation

8.2 My overall satisfaction with the person to whom I report



Your average raw score compared to Insync's benchmark database.

Legend: # Bottom decile # Bottom quartile # 2nd and 3rd quartiles # Top quartile # Top decile \* Engagement driver  
 # March 2017 results # No benchmark available

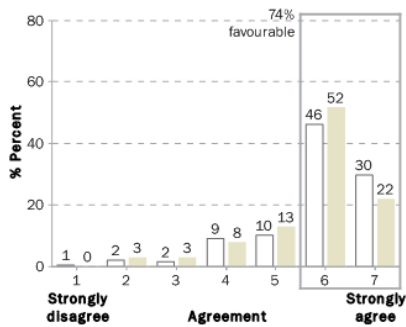


## Agreement charts

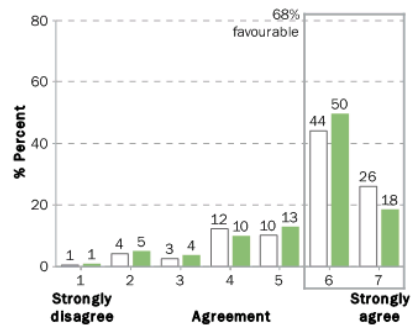
These charts show the survey participants' responses to each survey item. The columns show the percentage of respondents that chose each option on the seven point agreement scale, from 1 (strongly disagree) to 7 (strongly agree). The colour coding indicates how the average raw score compares to organisations in Insync's benchmark database.

### 9. Engagement

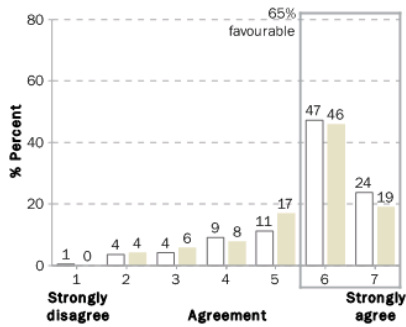
9.1 I am proud to be working here



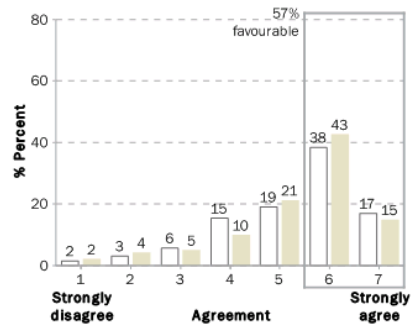
9.2 I would recommend Mid-Western Regional Council as a workplace to my family and friends



9.3 Overall, I am satisfied with my job



9.4 I have a strong sense of belonging to Mid-Western Regional Council



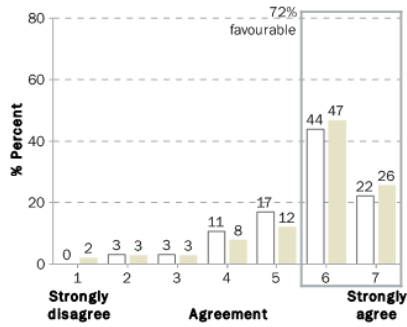
Your average raw score compared to Insync's benchmark database.

Legend: # Bottom decile # Bottom quartile # 2nd and 3rd quartiles # Top quartile # Top decile \* Engagement driver

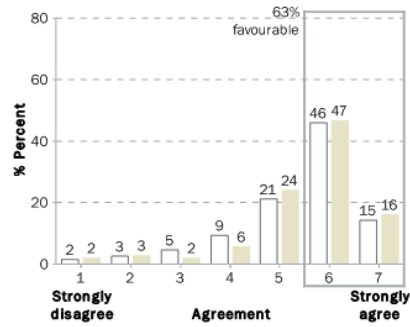
# March 2017 results



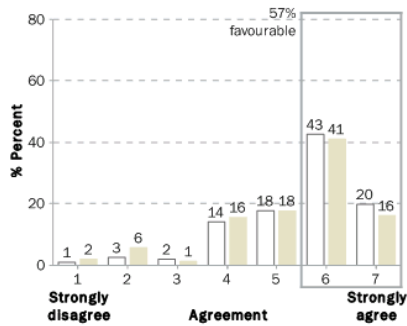
9.5 I believe that my own success is important to the success of Mid-Western Regional Council



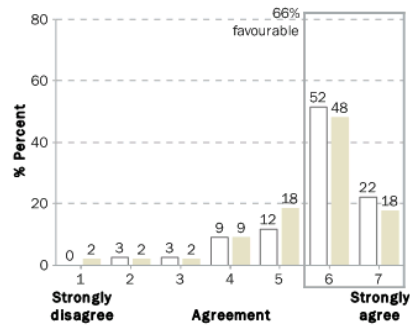
9.6 Most challenges I face at work are good learning experiences



9.7 I volunteer to do extra work on special projects and initiatives



9.8 I happily do extra work to help Mid-Western Regional Council succeed



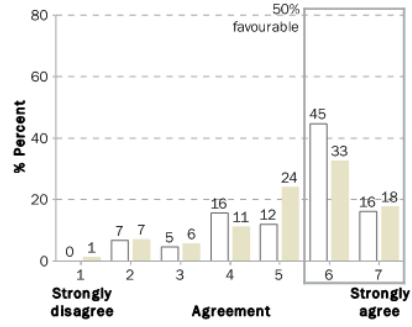
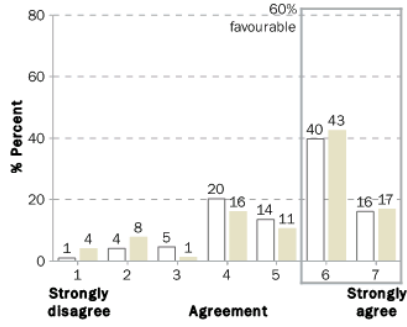
Your average raw score compared to Insync's benchmark database.

Legend: # Bottom decile # Bottom quartile # 2nd and 3rd quartiles # Top quartile # Top decile \* Engagement driver  
 # March 2017 results



9.9 I can envisage a fulfilling future for myself at Mid-Western Regional Council

9.10 I look forward to coming to work each day



Your average raw score compared to Insync's benchmark database.

Legend: ■ Bottom decile ■ Bottom quartile ■ 2nd and 3rd quartiles ■ Top quartile ■ Top decile \* Engagement driver  
# March 2017 results



## Development of the Performance and Engagement Survey

This section of the report explains the work undertaken to develop the Performance and Engagement Survey (PES).

### The origins of the Survey

The Performance and Engagement Survey (the "Survey") combines two approaches to measuring employee attitudes.

#### The Employee Opinion Survey

The majority of the survey questions are taken from the Employee Opinion Survey, which was developed in the 1990s and owes a great deal to the Australian Quality Council and the Quality movement generally. Its best practice categories are well aligned with all the global models of performance including those now owned by The European Society for Quality Research, SAI Global and those of the National Institute of Standards and Technology.

The Employee Opinion Survey is a bi-variate survey, meaning that staff respond to each workplace issue on two scales: how important the issue is to them, and how the organisation is performing. "Importance" can be thought of as what employees expect, and "performance" is the reality they perceive. Thus, the bivariate methodology allows the gap between expectations and reality to be calculated.

Since 2010 over 80% of users of the Employee Opinion Survey have been local governments from around Australia. For this reason, new clients place great value on the ability to benchmark their results against others in their industry.

For users of best practice frameworks, the categories and the Weighted Performance Index give a useful scorecard of the organisation's performance as perceived by employees.

#### The Employee Engagement framework

The Employee Engagement Survey is based on Insync's model of employee engagement which is inspired by a combination of insights from both theoretical and empirical research in the organisational psychology and management literature. This research is incorporated into a framework that measures the emotional, cognitive and behavioural aspects of engagement. The framework is supported by a detailed white paper. For the white paper or a complete list of the literature used, please contact your Insync project manager or email [research@insyncsurveys.com.au](mailto:research@insyncsurveys.com.au).

Insync's model encompasses 10 items that measure the level of employee engagement and 11 items which measure performance in areas that have been shown to drive engagement levels.

There are three components in the engagement model:

- **Heart** – employees are emotionally invested in the organisation. They are satisfied, committed and proud.
- **Head** – employees think positive things about the organisation. They are enthusiastic and embrace challenges.
- **Hand** – employees translate their positive thoughts and feelings into action. They go above and beyond the call of duty and share willingly with their colleagues.

These three components are positively correlated. This means that an engaged employee should possess an emotional commitment to the organisation (the Heart), enthusiasm for work (the Head) and engage in positive discretionary behaviour (the Hand) for the benefit of the organisation.

By assessing the level of employee engagement and what's driving engagement, the Survey can identify what kind of issues are potentially acting as barriers to achieving an organisation's engagement goals, where those problems are and what actions can be taken.



### Finding what drives engagement

A correlation analysis was undertaken to examine the relationships between all the engagement items and a range of other items in Insync's item libraries. From this, 20 items were chosen which had the highest correlations with the individual engagement items and the employee engagement factor mean. A multiple analysis of regression was undertaken to determine how well these 20 items predicted variance in the 10 engagement items.

Using the backward method, a significant model emerged and ten items were found to significantly positively predict employee engagement. These are the ten engagement drivers identified earlier in this report. Means on these ten items account for 74% of the variance in engagement means. An improvement in means on these ten questions will result in a corresponding improvement in engagement means.

### Weighted Performance Index (WPI)

Some observers may note that the Performance Index found throughout this report is not a mathematical average of the high performance categories above it. This is because the categories have been weighted according to their influence on performance. Weightings are commonly used in quality assessment frameworks around the world. The weightings in this survey are broadly representative of these weightings but have also taken into account the extent to which employee perceptions are well informed.

The categories have been weighted as follows:

- Leadership and Innovation: 18%
- Strategy and Planning Processes: 10%
- Data, Information and Knowledge: 10%
- People: 16%
- Customer and Market Focus: 15%
- Processes, Products and Services: 16%
- Business Results: 15%

### Benchmarks used

Since the Survey takes items from two of Insync's other products, two benchmarks have been used to provide a picture of your organisation's relative performance.

The performance items have been compared to a benchmark consisting of present and past users of the Employee Opinion Survey and this Survey. This database consists of local governments and other public sector agencies.

Your results on the engagement items and engagement drivers have been compared to present and past users of the Alignment and Engagement Survey, the Employee Engagement Survey and this Survey. This database is flexible, and your Insync project manager may have selected an alternate database. However, in the normal course of events the benchmark will consist of local government and other public sector organisations.



## Considerations for interpreting this Report

This Report reflects the responses of the employees to the Survey items and questions referred to in Section 1.2.

As the Survey services were limited to the scope set out herein, this Report only provides a perspective of the perceptions of the employees in relation to the effectiveness of your organisation. This Report does not provide the extra insights that would be gained by a full organisational review, focus group sessions and other interviews with employees or by a review of appropriate documentation.

It has been assumed that each employee completed the Survey in good faith. Our survey services did not extend to taking steps to verify that the responses of each employee were a true and proper reflection of their views in relation to each Survey item or question.

This Report sets out the responses of the employees who completed the Survey in March 2019. It reflects views they expressed in relation to the matters covered by the Survey during the period leading up to the date of the completion of the Survey. As views and circumstance change over time, this Report does not purport to predict the future state of your organisation.

Results are displayed as the percentage of respondents who scored items either as a six or a seven on the seven point rating scale. This Report does not provide you with information as to:

- the level of ambivalence around an item (i.e. being a four on the seven point rating scale)
- the proportion of respondents expressing slight agreement (i.e. being a five on the seven point rating scale), or
- if there is a large cluster of responses at the lower end of the seven point rating scale (i.e. being a one, two or three on the seven point rating scale) unless stated otherwise.

These may be important considerations when determining how to address organisational issues which may be evident.

## Types of reports available

Insync can create a variety of Performance and Engagement reports for different audiences such as:

- HR/OD team
- line managers.

Please contact your Insync project manager to discuss your requirements.



## PLANNING PROPOSAL REPORT

**85 ROCKY WATERHOLE ROAD, MOUNT FROME  
(MOOTHI ESTATE)  
LOT 2 DP1055152**

### **PROPOSED REZONING AND REDUCTION IN MINIMUM LOT SIZE**

**Prepared on behalf of:**  
HNJ PTY LTD

**Prepare for Submission to:**  
MID-WESTERN REGIONAL COUNCIL

---

**Prepared by:**



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**AUGUST 2019**

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Prepared by:	Reviewed by:	Released by:
<b>Name:</b> Hamish Mackinnon <b>Position:</b> Senior Town Planner	<b>Name:</b> Emma Mason <b>Position:</b> Senior Town Planner	<b>Name:</b> Emma Mason <b>Position:</b> Senior Town Planner   <b>Signed:</b> <b>Date:</b> 6 August 2019



## 1. INTRODUCTION AND BACKGROUND

This planning proposal report has been prepared on behalf of HNJ PTY LTD in accordance with the NSW Department of Planning and Infrastructure document "A Guide to Preparing Planning Proposals." The purpose of this report is to support a request for Mid-Western Regional Council (MWRC) to rezone the area of Lot 2 DP 1055152 currently zoned RU Primary Production with a minimum lot size of 100 hectares, be rezoned to RU4 Primary Production Small Lots and E3 Environmental Management with a minimum lot size of 20 and 400 hectares respectively.

The request to rezone land is made pursuant to the provisions of Division 3.4 of the *Environmental Planning and Assessment Act 1979* (EP&A Act) as it would form an amendment to the LEP. The legislative context of the proposal is described in further detail in Sections 3.1 and 3.2 of this report.

The intent of rezoning the site is to allow for a diverse range of primary production industries in the Mid-Western Region. The rezoning is proposed in response to a change in economic conditions which favour smaller, more intensive primary production industries.

A Location Plan and Aerial Photograph showing the site are included at **Appendices 1** and **2**. **Appendices 3** and **4** include the current and proposed zoning plans, with **Appendices 5** and **6** showing the current and proposed minimum lot size plans.



**2. THE SITE**

**2.1 Location and Site Characteristics**

The subject land is located at 85 Rocky Waterhole Road Mount Frome (secondary address is 55 Rocky Waterhole Road, Mount Frome) (Lot 2 DP1055152) and is known as “Countyview” as shown in Figure 1 below (also provided in Appendix 1).



Figure 1: Location Plan





The site has an approximate area of 112.91 hectares. It is currently zoned *RU1 Primary Production* and *E3 Environmental Management* pursuant to Mid-Western Regional Local Environmental Plan 2012 (LEP) as shown in Figure 2 below (also provided in **Appendix 3**).

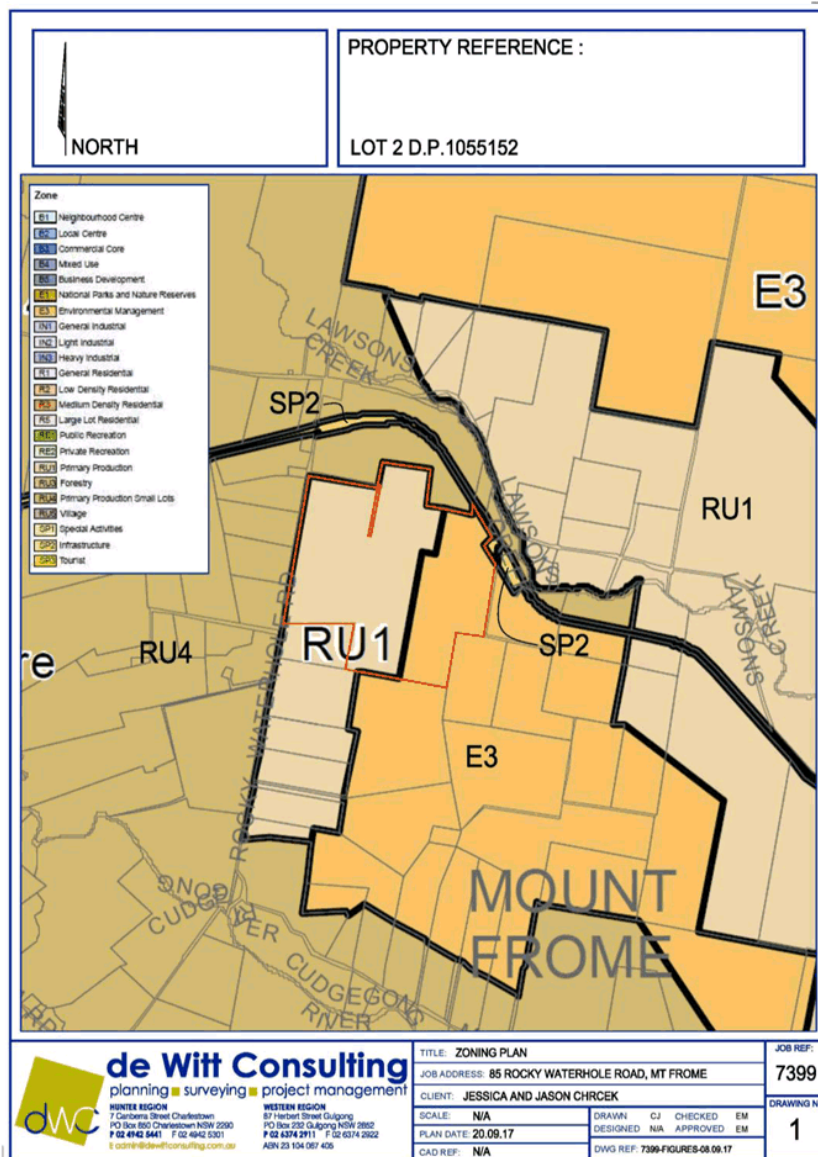


Figure 2: Current Zoning

The RU1 portion has an area of approximately 76 hectares while the E3 zone covers an area of approximately 37 hectares. The property operates as a vineyard incorporating approximately 20 hectares of vines and a cellar door within the RU1 zone. There are two residences on site, the house higher on the hill and a unit attached to the cellar door facility. The lower, western portion of the site is cleared of native vegetation and is used for the vineyard while the higher eastern section supports remnant native vegetation. The nature of the site is shown in Figure 3 below (also provided in **Appendix 2**).



Figure 3: Aerial Photo

The site is not identified on Council’s Flood Prone Land Map and is not affected by mine subsidence. The site is however identified as bushfire prone land on Council’s Bush Fire Prone Land Map. The site contains areas of high terrestrial biodiversity and is also mapped as groundwater vulnerable land.

## 2.2 Surrounding Area

The surrounding land is predominantly zoned RU4 predominantly utilised for rural and agricultural purposes and E3 land. Land immediately to the north is zoned RU4, with the Mount Frome railway station and railway line intersecting various properties in Mount Frome. The land immediately to the east is zoned E3 contiguous with the E3 section of the subject site and is mostly vegetated. The land to the south is zoned RU1 and E3. The land to the west is also zoned RU4.



### 3. OBJECTIVES OR INTENDED OUTCOMES

#### 3.1 Proposed Rezoning

The proposal is to rezone the area of Lot 2 DP1055152 currently zoned RU1 Primary Production to RU4 Primary Production Small Lots and E3 Environmental Management, and establish a minimum lot size of 20 and 400 hectares respectively. The existing E3 zoned will be retained (refer proposed zoning plan at **Appendix 5**). The proposed increase in E3 zoned land will enable the ongoing environmental management of the land, protection of biodiversity value and minimisation of visual impact associated with future use of the land. The rezoned RU4 land will be utilised for intensive agriculture and associated dwellings.

The resulting areas will be:

- RU4 – 68 ha
- E3 – 45.8ha (an increase of approximately 10ha).

The objectives of the RU4 zone are:

- To enable sustainable primary industry and other compatible land uses.
- To encourage and promote diversity and employment opportunities in relation to primary industry enterprises, particularly those that require smaller lots or that are more intensive in nature.
- To minimise conflict between land uses within this zone and land uses within adjoining zones.
- To ensure that land is available for intensive plant agriculture.
- To encourage diversity and promote employment opportunities related to primary industry enterprises, particularly those that require smaller holdings or are more intensive in nature.

Land uses permitted with consent in the RU4 zone include:

*Environmental protection works; Extensive agriculture; Home businesses; Home occupations; Intensive plant agriculture; Roads; Water reticulation systems, Cellar door premises; Dwelling houses; Farm buildings; Home industries; Plant nurseries; Roadside stalls*

This planning proposal report demonstrates the need for the rezoning, consistency with strategic planning documents at local and regional level and the suitability of the site in terms of land capability and water availability. These matters are addressed below and in **Appendix 8**.

#### 3.2 The Need for the Rezoning

The need for the rezoning has resulted from a change in economic conditions which favour smaller, more intensive industries over larger operations. As demonstrated in this report, the site conditions support future intensive agriculture more suited to smaller rural lots (refer to Water Resources Plan in **Appendix 8** and Land Capability Information in **Appendix 9**).

Australian Bureau of Statistics (ABS) 2017 Census data indicates that Mid-Western Region is experiencing sustained population growth along with growth in the agricultural industry resulting in additional demand for a range of land, housing and employment opportunities.

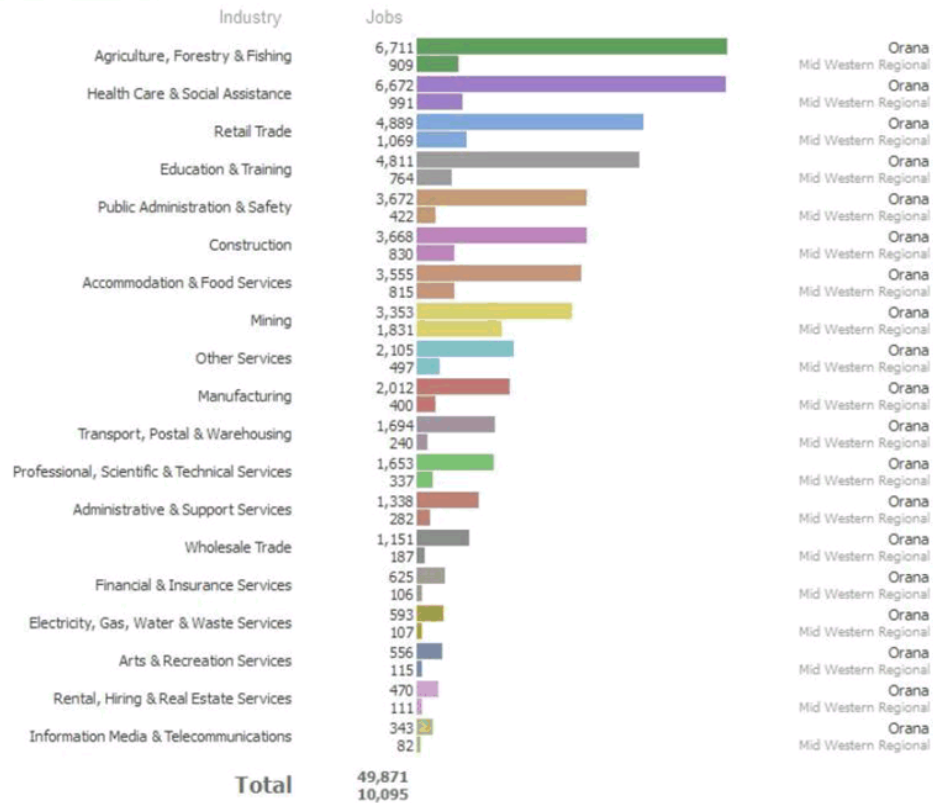
Table: ABS Census 2017 (abs.gov.au, accessed 1 March 2019)

Census data	2012	2013	2014	2015	2016	2017
Persons – Total No.	23,343	23,742	24,059	24,374	24,546	24,815
Median Age – persons (years)	41.5	41.7	41.7	41.6	41.4	41.5



Furthermore, the employment category of 'Agriculture, Forestry and Fishing' is the largest employment sector in the Orana region and one of the largest employment sectors in the Mid Western Region suggesting the demand for agricultural land is high within the LGA.

All Industries - All Zones



**Figure 4:** Employment by Industry (source: Regional Development Australia Orana NSW <https://www.rdaorana.org.au/facts-figures/> Accessed 18 April 2019)

The applicant has indicated there is strong interest in the market for intensive agricultural land parcels within the area.

The information submitted to Council to date has provided the strategic justification for the proposal, confirmed the availability of water to accommodate the proposal and suitability of soil.

Rezoning the land will allow for future use of the land for rural and agricultural purposes, whilst the E3 land will continue to be protected and conserved.



#### 4. EXPLANATION OF PROVISIONS

It is proposed to amend Mid-Western Regional LEP 2012 by:

1. Changing the zone indicated on Land Zoning Map – Sheet LZN\_006 from RU1 Primary Production to RU4 Primary Production Small Lots and E3 Environmental Management – refer proposed zoning plan at **Appendix 5**.
2. Change the minimum lot size indicated on Lot size Map – Sheet LSZ\_006 from (AD) 100 hectares to (AB3) 20 hectares and (AD) and (AF) 400 hectares.



## 5. JUSTIFICATION

### 5.1 Need for the Planning Proposal

#### 5.1.1 Is the planning proposal the result of any strategic study or report?

The Mid-Western Regional Comprehensive Land Use Strategy (LUS) provides the basis of how the Mid-Western Region is able to meet the demand for long-term urban growth in the region. The site is not located within any investigation areas, however the site will not be used primarily for residential purposes. The proposed rezoning will not impact on how the region intends on meeting their residential land needs.

#### 5.1.2 Is the planning proposal the best means of achieving the objectives or intended outcomes, or is there a better way?

A Planning Proposal is the only way to formally amend the zoning to enable the site to be developed for more intensive primary production purposes.

#### 5.1.3 Is the planning proposal consistent with the objectives and actions of the applicable regional or sub-regional strategy?

The planning proposal is consistent with the guiding principles for rural land as set out in the LUS:

- The proposal will encourage the continued and new economic growth from the agricultural areas by creating additional primary production lots.
- The proposal will enable the continued existing agriculture (viculture) use of the site by orderly subdivision of a currently unused portion of the RU1 land.
- Provide the ability for more tourism facilities and complement existing tourism facilities.
- Land conflict is unlikely to occur as surrounding land is similarly zoned for agricultural and primary production purposes.
- The natural values of the E3 zoned land will remain through the conservation and preservation of the trees.
- Lots will have the capacity for dwellings and maintain the land for pest and weed control ensuring good environmental management practices.

The planning proposal is also consistent with the 'Actions' in relation to housing as set out in the LUS. Land will be rezoned for small lot primary production purposes in an existing rural area to promote future agricultural developments and enhance the ongoing viability and diversity of the regional centre.

#### 5.1.4 Is the planning proposal consistent with a Council's local strategy or other local strategic plan?

The proposal is consistent where applicable with the Comprehensive Land Use Strategy. There are no other local strategies applicable to the planning proposal.

#### 5.1.5 Is the planning proposal consistent with the applicable State Environmental Planning Policies (SEPPs)?

A summary assessment of SEPPs is discussed below. The proposal is generally consistent with all relevant SEPPs and does not generate any inconsistencies that warrant detailed consideration or the concurrence of any external parties.

**Table 1: Summary of SEPPs**

State Environmental Planning Policies	Applicable	Remarks
No 30—Intensive Agriculture	No	The aims of SEPP 30 are (a) to require development consent for cattle feedlots having a capacity to accommodate 50 or more head of cattle, and



		<p>piggeries having a capacity to accommodate 200 or more pigs or 20 or more breeding sows, and</p> <p>(b) to provide for public participation in the consideration of development applications for cattle feedlots or piggeries of this size, and</p> <p>(c) to require that, in determining a development application for cattle feedlots or piggeries of this size, the consent authority is to take into consideration:</p> <ol style="list-style-type: none"> <li>i. the adequacy of information provided, and</li> <li>ii. the potential for odour, water pollution and soil degradation, and</li> <li>iii. measures to mitigate potential adverse impacts, and</li> <li>iv. measures for the health and welfare of animals, and</li> <li>v. relevant guidelines,</li> </ol> <p>so as to achieve greater consistency in environmental planning and assessment for cattle feedlots and piggeries.</p> <p>The Policy does not apply to planning proposals. The SEPP would only apply to a future development application for development specified in the policy. A development application for intensive agriculture requires Council's consideration of, inter alia, potential odours, pollution, degradation of soils and the suitability of the site.</p>
No 44—Koala Habitat	Yes	<p>SEPP 44 aims to encourage the conservation and management of areas of natural vegetation that provide habitat for koalas by requiring the preparation of plans of management before development consent can be granted in relation to areas of core koala habitat.</p> <p>The area of the site subject of the proposed rezoning is predominately cleared with the exception of scattered vegetation. The vegetated E3 zoned portion of the site will not be affected by the proposed rezoning.</p> <p>As the proposal relates to the rezoning of land, no vegetation removal is proposed at this stage. It is considered that future subdivision and development can occur with minimal impact to existing vegetation (refer to Concept Subdivision Plan in <b>Appendix 10</b>). It is recommended that investigation into the potential impact of development on koala habitat be undertaken at DA stage when the future use of the land and potential impacts are known.</p>
No 55—Remediation of Land	Yes	<p>SEPP 55 aims to promote the remediation of contaminated land for the purpose of reducing the risk of harm to human health by specifying, inter alia, certain considerations that are relevant in rezoning land and in determining development applications in general.</p> <p>If a person has requested the planning authority (in this case Council) to include land of a class identified in clause 6(4) in a particular zone, Council may require a preliminary investigation of the land carried out in accordance with the contaminated land planning guidelines.</p> <p>The proposal does not seek the inclusion of classes of land identified in Class 6(4):</p> <ul style="list-style-type: none"> <li>• land that is within an investigation area – the site is not an investigation area</li> </ul>



		<ul style="list-style-type: none"> <li>land on which development for a purpose referred to in Table 1 to the contaminated land planning guidelines is being, or is known to have been, carried out – this includes</li> <li>proposal to carry out development for residential, educational, recreational or child care purposes, or for the purposes of a hospital – the proposal is for rural development and is not for any of the above. Residential land use is already permitted on the site (subject to meeting dwelling entitlement requirements) and therefore the proposal will not result in the inclusion of residential land use in the zone.</li> </ul> <p>As a result, a preliminary investigation is not required in relation to the proposed rezoning.</p>
No 62—Sustainable Aquaculture	Yes	The proposal is not located near a river that is used for oyster aquaculture.
(Rural Lands) 2008	Yes	The planning proposal has been created to ensure the rural subdivision principles are considered. A Concept Subdivision is provided in <b>Appendix 10</b> to demonstrate potential layout.

### 5.1.6 Is the planning proposal consistent with applicable Ministerial Directions (s9.1 Directions)?

The proposal is considered against relevant s9.1 Directions in Table 2 and is found to be consistent with those directions.

**Table 2: Consideration of s9.1 Directions**

Number	Direction	Applicable	Consistency
<b>Employment and Resources</b>			
1.1	Business and Industrial Zones	No	Direction not relevant.
1.2	Rural Zones	Yes, the site is zoned RU1 Primary Production To be consistent with the direction the planning proposal must: <ul style="list-style-type: none"> <li>(a) not rezone land from a rural zone to a residential, business, industrial, village or tourist zone.</li> <li>(b) N/A within LGA</li> </ul>	The proposed rezoning is from RU1 Transition to RU4 and not to a residential, business, industrial, village or tourist. In this regard the proposal is consistent with the Ministerial Direction.
1.3	Mining, Petroleum Production and Extractive Industries	No	Direction not relevant.
1.4	Oyster Aquaculture	No	Direction not relevant.
1.5	Rural Lands	Yes	The proposal is consistent with the rural planning principles as it will: <ul style="list-style-type: none"> <li>(a) promote opportunities for appropriate sustainable economic development within the Mid-Western Regional LGA.</li> <li>(b) recognise importance of rural lands by providing a small agricultural development that is complementary to existing adjacent land uses.</li> </ul>





			<p>(c) recognise significance of rural land uses to the State and rural communities by providing opportunity for expansion of the community through increased diversity of agricultural options.</p> <p>(d) provide for social, economic and environmental interests by providing smaller rural lots that consider the surrounding environment, including connections to adjacent land uses.</p> <p>(e) protect natural resources by directing development to land that has previously been cleared and utilising water resources that are already available.</p> <p>(f) provide opportunities for more agricultural options that promote diversity and affordability with a community focus.</p> <p>(g) consider services and infrastructure by providing for agricultural options within a rural area.</p> <p>(h) provide for a good land-use outcome on land that is identified as agricultural land for intensive agricultural purposes.</p>
<b>Environment and Heritage</b>			
2.1	Environment Protection Zones	Yes	<p>The proposed rezoning will enable smaller more intensive agricultural uses on the land that can be located within land that has previously been cleared and is able to be supplied by an existing water license. The proposal does not amend an existing environmental protection zone.</p> <p>A preliminary investigation of the property found that the eastern half of the site is mapped as high terrestrial biodiversity. There are small sections of land mapped as high biodiversity that occur within the proposed rezoning to RU4, with the majority remaining as the <i>E3 Environmental Management</i>. Development of the land would be expected to be relatively minor and unlikely to significantly affect threatened species, endangered ecological communities, or their habitats.</p> <p>Further ecological surveys will occur as part of future detailed impact assessment.</p>
2.2	Coastal Protection	No	Direction not relevant.
2.3	Heritage Conservation	Yes	<p>The proposal will not adversely impact items, places, buildings, works, relics, moveable objects or precincts of environmental heritage significance to the area.</p> <p>The development is not likely to impact on Aboriginal heritage. A search of the Aboriginal Heritage Information Management System (AHIMS) did not record any Aboriginal sites in or near the location and no Aboriginal places have been declared in or near the location.</p>
2.4	Recreation Vehicle Areas	Yes	The proposed rezoning does not propose to introduce a Recreation Vehicle Area.
2.5	Application of E2 and E3 Zones and Environmental Overlays in Far	No	Direction not relevant.



	North Coast LEPs		
<b>Housing, Infrastructure and Urban Development</b>			
3.1	Residential Zones	No	Direction not relevant.
3.2	Caravan Parks and Manufactured Home Estates	No	Direction not relevant.
3.3	Home Occupations	Yes	The proposed rezoning will not affect provisions for home occupations to be permitted without consent pursuant to the Mid-Western Regional LEP 2012.
3.4	Integrating Land Use and Transport	No	The site currently provides direct access to Rocky Waterhole Road. The proposed rezoning will allow future vehicle access to be provided to Rocky Waterhole Road with appropriate sight lines.
3.5	Development Near Licensed Aerodromes	No	Direction not relevant.
3.6	Shooting Ranges	No	Direction not relevant.
<b>Hazard and Risk</b>			
4.1	Acid Sulfate Soils	No	Direction not relevant.
4.2	Mine Subsidence and Unstable Land	No	Direction not relevant.
4.3	Flood Prone Land	No	Direction not relevant.
4.4	Planning for Bushfire Protection	Yes	All of the site is mapped as bushfire prone. A Bushfire Threat Assessment will be required in relation to a future subdivision of the land.
<b>Regional Planning</b>			
5.1	Implementation of Regional Strategies	Revoked 17 October 2017	Revoked 17 October 2017.
5.2	Sydney Drinking Water Catchments	No	Direction not relevant.
5.3	Farmland of State and Regional Significance on the NSW Far North Coast	No	Direction not relevant.
5.4	Commercial and Retail Development along the Pacific Highway, North Coast	No	Direction not relevant.
5.5	Development in the vicinity of Ellalong, Paxton and Millfield (Cessnock LGA)	Revoked 18 June 2010	Revoked 18 June 2010
5.6	Sydney to Canberra Corridor	Revoked 10 July 2008	Revoked 10 July 2008



	(see amended Direction 5.1)		
5.7	Central Coast (see Amended Direction 5.1)	Revoked 10 July 2008	Revoked 10 July 2008
5.8	Second Sydney Airport: Badgerys Creek	No	Direction not relevant.
5.9	North West Rail Link Corridor Strategy	No	Direction not relevant.
5.10	Implementation of Regional Plans	Yes	Mudgee is identified as a major regional city in the Central West and Orana Regional Plan 2036. The plan sets out that major regional cities will provide new options and opportunities for surrounding networks of communities.  The proposed rezoning and reclassification will contribute towards achieving this.
<b>Local Plan Making</b>			
6.1	Approval and Referral Requirements	Yes	The planning proposal does not propose provisions relating to concurrence, consultation or referral to a Minister or public authority.
6.2	Reserving Land for Public Purposes	No	Direction not relevant.
6.3	Site Specific Provisions	Yes	The proposed rezoning from RU1 to RU4 will promote more intensive agriculture on smaller lots.
<b>Metropolitan Planning</b>			
7.1	Implementation of A Plan for Growing Sydney	No	Direction not relevant.
7.2	Implementation of Greater Macarthur Land Release Investigation	No	Direction not relevant.
7.3	Parramatta Road Corridor Urban Transformation Strategy	No	Direction not relevant.
7.4	Implementation of North West Priority Growth Area Land Use and Infrastructure Implementation Plan	No	Direction not relevant.
7.5	Implementation of Greater Parramatta Priority Growth Area Interim Land Use and Infrastructure	No	Direction not relevant.



	Implementation Plan		
7.6	Implementation of Wilton Priority Growth Area Interim Land Use and Infrastructure Implementation Plan	No	Direction not relevant.
7.7	Implementation of Glenfield to Macarthur Urban Renewal Corridor	No	Direction not relevant.
7.9	Implementation of Bayside West Precincts 2036 Plan	No	Direction not relevant.
7.10	Implementation of Planning Principles for the Cooks Cove Precinct	No	Direction not relevant.

## 5.2 Environmental, Social and Economic Impact

### 5.2.1 Is there any likelihood that critical habitat or threatened species, populations or ecological communities or their habitat will be adversely affected as a result of the proposal?

The proposed site is located on land deemed to be of high terrestrial biodiversity, it is considered that this land would be contained in the E3 portion of the site. A small portion of the proposed rezoning area is mapped as high biodiversity value. The E3 boundary has been amended to capture additional high biodiversity value land (approximately 10ha). Any future development within the RU4 zone would be required to consider the impact on the biodiversity quality of the site. It is envisaged that the E3 portion of the land would be retained within a single allotment of land to ensure the longevity of the conservation and preservation of the environment (refer to concept subdivision plan in **Appendix 10**). The proposed portion of the land to be rezoned and subdivided is primarily void of vegetation as it is part of the vineyard or managed land. Future agricultural developments will have to consider their impacts on threatened species and their habitats.

### 5.2.2 Are there any other likely environmental effects as a result of the planning proposal and how are they proposed to be managed?

#### 5.2.2.1 Traffic and Transport

The proposal would result in a maximum capacity of three lots (68 hectares / 20 hectares = 3.4 lots) with access to / from Rocky Waterhole Road. Whilst it is relevant to note that the intention is to only create two lots (in order to retain all existing vineyard plantings within one lot and create one additional lot for primary production; refer to concept subdivision plan in **Appendix 10**), this planning proposal addresses the maximum yield of three lots. The proposed site and surrounding road network is capable of servicing three agricultural / rural lots and associated additional traffic and parking needs that would result. Rocky Waterhole Road is a local road that connects residents and businesses of Mount Frome to Mudgee and other regional centres. The road surface, width and sight lines are considered to be sufficient to handle any additional traffic as a result of this proposal. Individual driveway crossings would be provided to each lot as part of a future subdivision development application.

#### 5.2.2.2 Water resources

Consideration has been given to the availability of water to service additional intensive agricultural activities. A Water Servicing Report is provided in **Appendix 7** which identifies the current and anticipated future water



requirements, availability and licensing requirements. The report found that there is sufficient availability under the current water licence to accommodate future agricultural activities on the land.

Note: although it is the applicant's intention to create a total of two lots on the land following rezoning, it is noted that there is capacity for three lots to be created having regard to the proposed minimum lot size. In both scenarios there is sufficient availability under the current water licence to accommodate a maximum of three lots utilised for intensive agriculture.

#### **5.2.2.3 Heritage**

The proposal's location is not within a heritage area nor is there a known Aboriginal heritage items or area on the site. It is considered that the proposal is not likely to result in heritage impacts.

### **5.2.3 Has the planning proposal adequately addressed any social and economic effects?**

Rezoning the site as proposed will have a positive social and economic impact. The viability and diversity of Mount Frome agricultural area will be enhanced and provide a range of agricultural uses close to the existing regional centre of Mudgee. The proposed rezoning will also provide additional lots that can be used to increase the agricultural and tourism sector in Mudgee and strengthen the economy.

## **5.3 State and Commonwealth interests**

### **5.3.1 Is there adequate public infrastructure for the planning proposal?**

The rezoning would potentially allow for a maximum of 3 additional lots and therefore is not considered to be a burden on existing infrastructure. Notwithstanding, the site is located in an established rural area and is able to connect into existing infrastructure services such as utilities, transport and communications in an efficient and sustainable manner.

### **5.3.2 What are the views of State and Commonwealth public authorities consulted in accordance with the gateway determination?**

No consultation has yet occurred specific to this proposal.

## **5.4 Community consultation**

All consultation will be carried out in accordance with the relevant legislation.



## 6. CONCLUSION

The purpose of this planning proposal is to support a request from HNJ Pty Ltd to prepare a planning proposal to rezone the land from *RU1 Primary Production* to *RU4 Primary Production Small Lots* and *E3 Environmental Management* with a minimum lot size of 20 hectares and 400 hectares respectively pursuant to Mid-Western Regional Local Environmental Plan 2012. This will allow the land to be developed for small lot rural purposes. The proposed rezoning is consistent with the principle guidelines for rural lands as set out in the Comprehensive Land Use Strategy. Land will be rezoned for small lot rural purposes in an existing rural area thereby enhancing the ongoing viability and diversity of the regional centre of Mudgee as an agricultural and tourism centre.

With respect to managing the impacts on the environment, the following should be noted;

1. The proposal will slightly increase the E3 portion of land ensuring that ongoing protection and conservation of the high terrestrial biodiversity environment;
2. In terms of traffic and transport, the proposed rezoning is unlikely to have an adverse impact on the surrounding road network;
3. In terms of water resources, there is sufficient capacity within the current water allocation to service additional lots and future agricultural use of the land;
4. In terms of heritage impacts, the proposed rezoning will have minimal impact on the heritage and cultural significance of Mudgee.

It is therefore respectfully requested that Department of Planning and Environment support the proposal.



**APPENDICES**



**APPENDIX 1**

**Location Plan**







**APPENDIX 2**

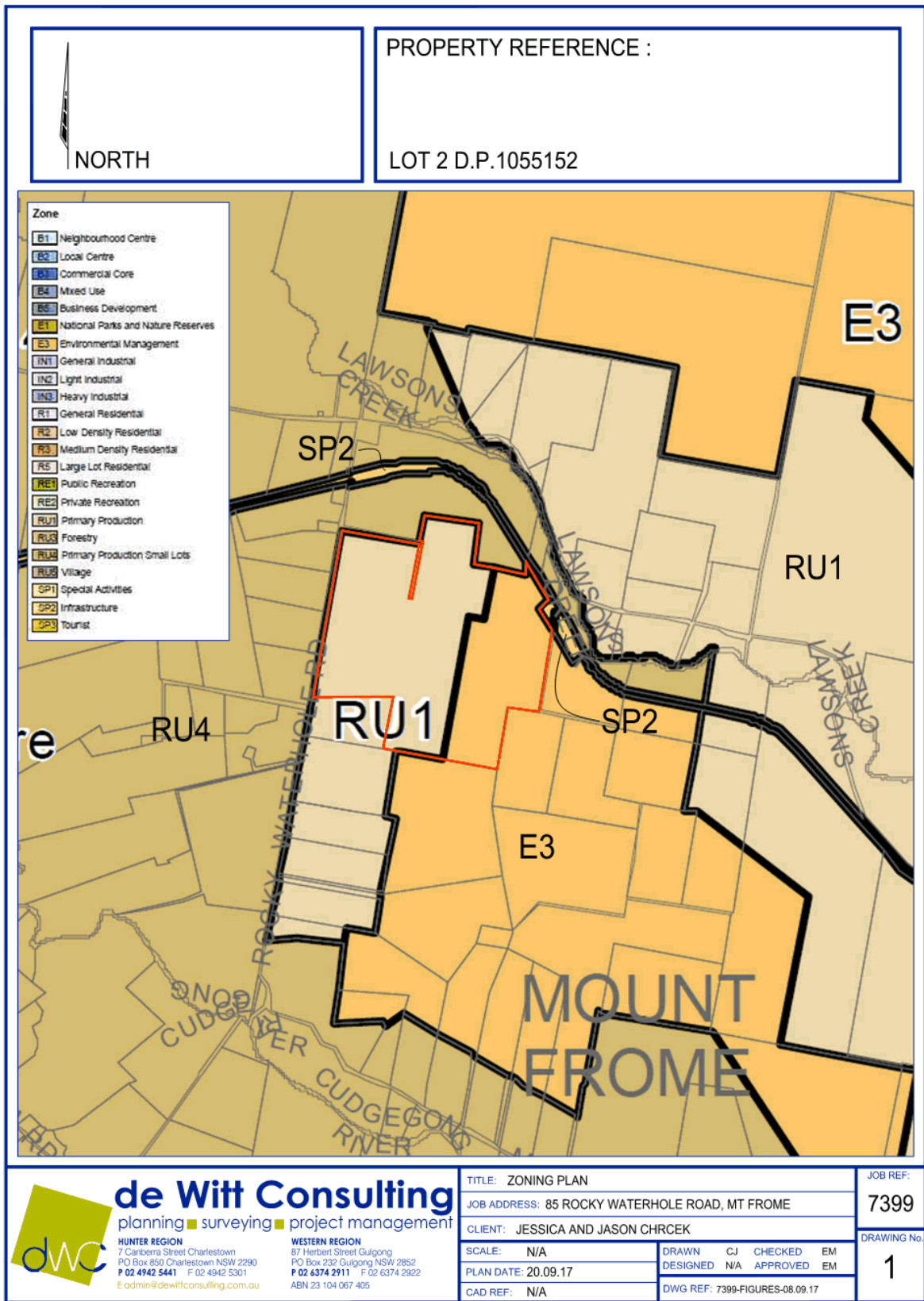
**Aerial Photograph**





**APPENDIX 3**

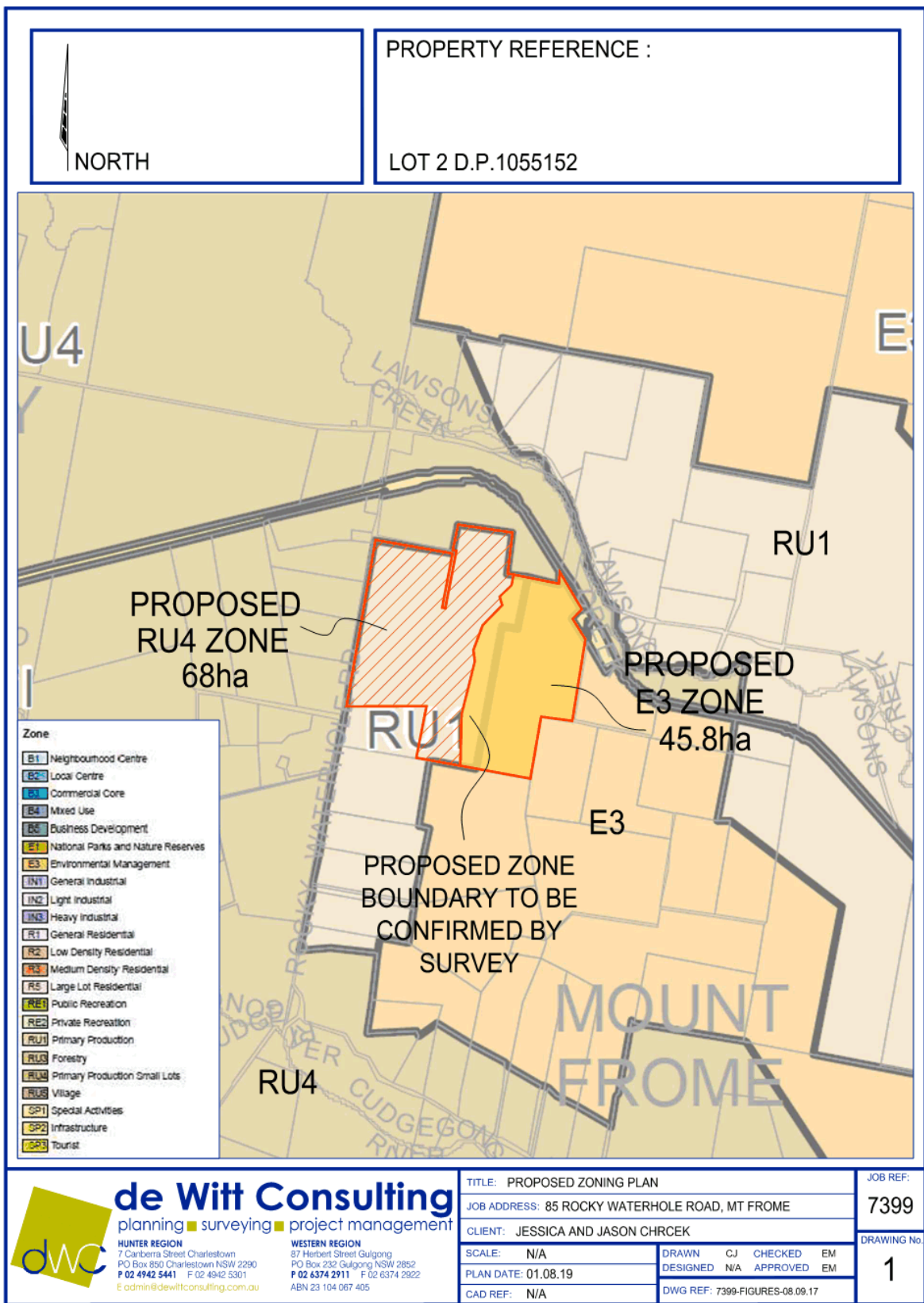
**Zoning (existing) – Mid-Western Regional LEP 2012**





**APPENDIX 4**

**Zoning Map (Proposed)**

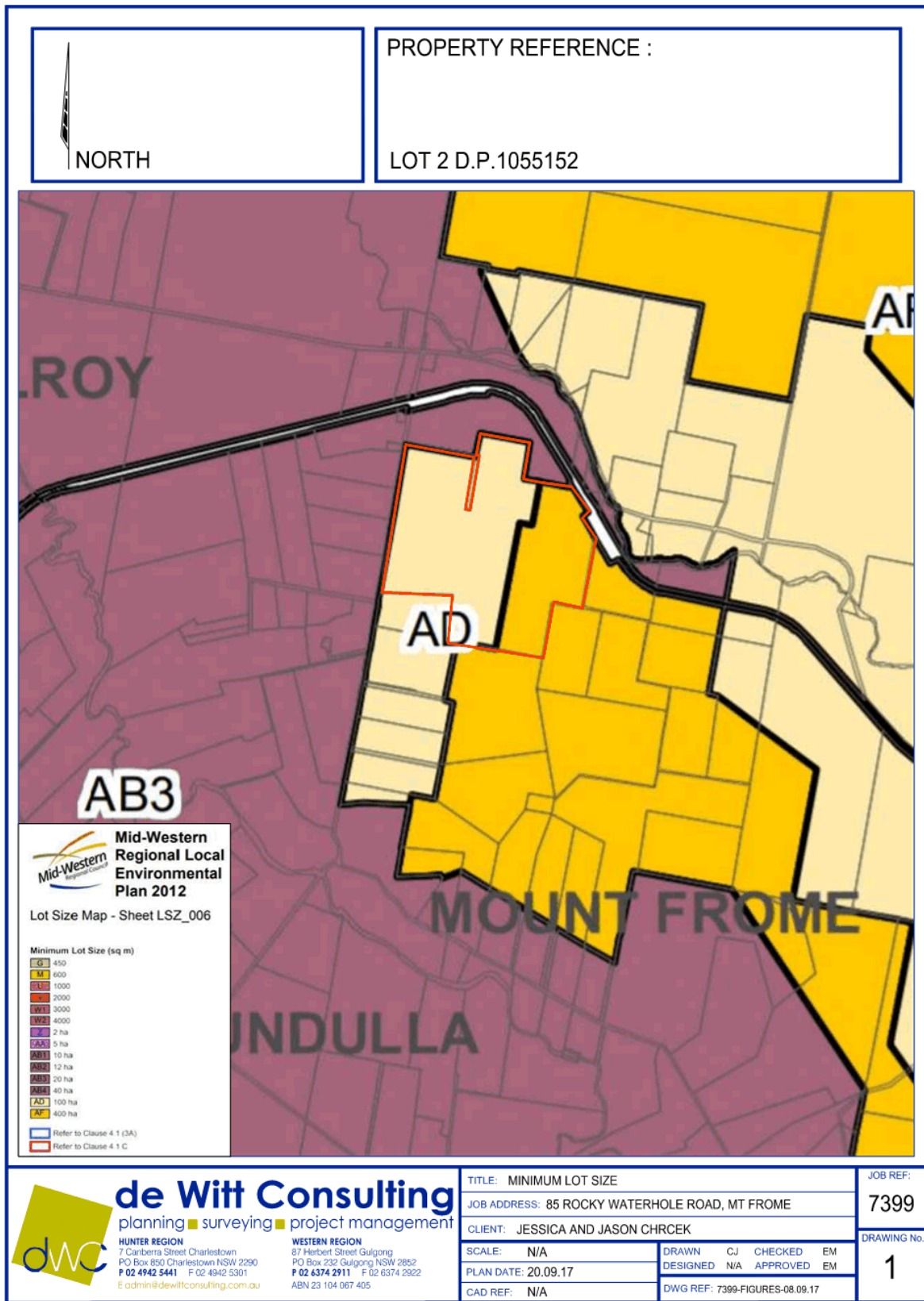




**APPENDIX 5**

**Minimum Lot Size (existing) – Mid-Western Regional LEP 2012**

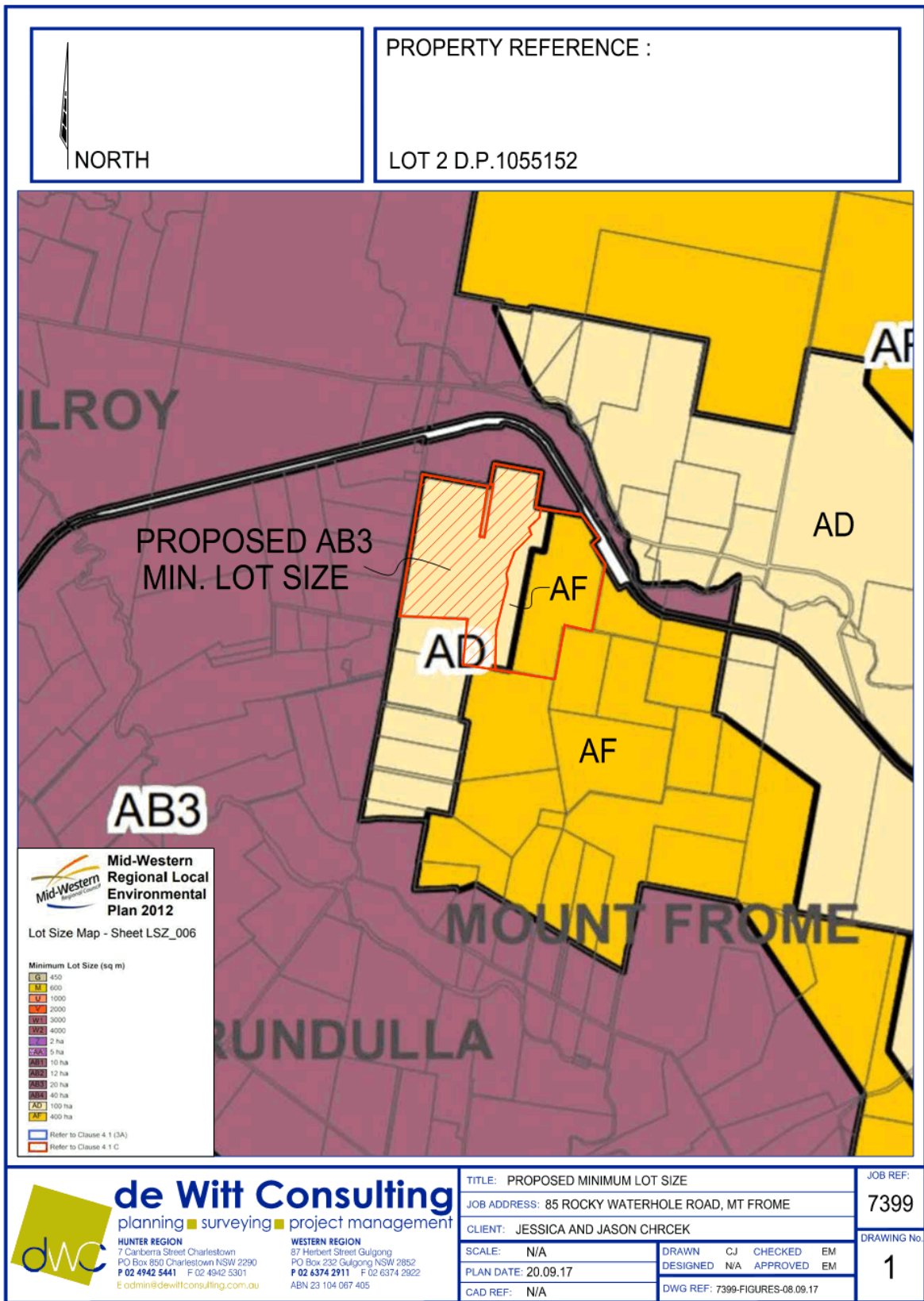






**APPENDIX 6**

**Minimum Lot Size (proposed)**





**APPENDIX 7**

**Aboriginal Heritage Information Management System Search Result**



**AHIMS Web Services (AWS)  
Search Result**

Purchase Order/Reference : 7399  
Client Service ID : 298511

De Witt Consulting - Gulgong  
87 Herbert Street  
Gulgong New South Wales 2852  
Attention: Emma Mason  
Email: emma.m@dewittconsulting.com.au

Date: 29 August 2017

Dear Sir or Madam:

**AHIMS Web Service search for the following area at Lot : 2, DP:DP1055152 with a Buffer of 50 meters, conducted by Emma Mason on 29 August 2017.**

The context area of your search is shown in the map below. Please note that the map does not accurately display the exact boundaries of the search as defined in the paragraph above. The map is to be used for general reference purposes only.



A search of the Office of the Environment and Heritage AHIMS Web Services (Aboriginal Heritage Information Management System) has shown that:

0	Aboriginal sites are recorded in or near the above location.
0	Aboriginal places have been declared in or near the above location. *

**If your search shows Aboriginal sites or places what should you do?**

- You must do an extensive search if AHIMS has shown that there are Aboriginal sites or places recorded in the search area.
- If you are checking AHIMS as a part of your due diligence, refer to the next steps of the Due Diligence Code of practice.
- You can get further information about Aboriginal places by looking at the gazettal notice that declared it. Aboriginal places gazetted after 2001 are available on the [NSW Government Gazette \(http://www.nsw.gov.au/gazette\)](http://www.nsw.gov.au/gazette) website. Gazettal notices published prior to 2001 can be obtained from Office of Environment and Heritage's Aboriginal Heritage Information Unit upon request

**Important information about your AHIMS search**

- The information derived from the AHIMS search is only to be used for the purpose for which it was requested. It is not to be made available to the public.
- AHIMS records information about Aboriginal sites that have been provided to Office of Environment and Heritage and Aboriginal places that have been declared by the Minister;
- Information recorded on AHIMS may vary in its accuracy and may not be up to date. Location details are recorded as grid references and it is important to note that there may be errors or omissions in these recordings,
- Some parts of New South Wales have not been investigated in detail and there may be fewer records of Aboriginal sites in those areas. These areas may contain Aboriginal sites which are not recorded on AHIMS.
- Aboriginal objects are protected under the National Parks and Wildlife Act 1974 even if they are not recorded as a site on AHIMS.
- This search can form part of your due diligence and remains valid for 12 months.



**APPENDIX 8**

**Water Resources Plan prepared by de Witt Consulting**



## WATER RESOURCES PLAN

### 85 ROCKY WATERHOLE ROAD, MOUNT FROME “MOOTHI ESTATE” (LOT 2 DP1055152)

**Prepared on behalf of:**  
HNJ PTY LTD

**Prepared for submission to:**  
MID-WESTERN REGIONAL COUNCIL

Prepared by:



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**AUGUST 2019**

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## 1. INTRODUCTION

### 1.1 Purpose

This Water Resources Plan (WRP) has been prepared in relation to the proposed rezoning of 85 Rocky Waterhole Road, Mount Frome (Lot 2 DP 1055152) from *RU1 Primary Production* to *RU4 Primary Production Small Lots* and E3 Environmental Management and a corresponding amendment to the minimum lot size of 20 hectares and 400 hectares respectively. A key consideration of the overall proposal is the availability of water to support future intensive agricultural use of the land and associated dwellings.

It is relevant to note that the intention for the site is to retain the existing irrigated vineyard and associated infrastructure within Lot 1. Proposed Lot 2 would accommodate future intensive agriculture and an associated dwelling. A concept masterplan showing this potential scenario is provided in Appendix 10 of the planning proposal report.

However, this report also recognises that the proposed rezoning of 68 hectares of land to RU4, with a minimum lot size of 20 hectares, could result in a maximum yield of three lots (68 hectares / 20 hectares = 3.4 lots). In order to consider the highest possible use of the land, this WRP is based on the possibility of subdivision and intensive agriculture of three lots.

The purpose of this WRP is to review the soil landscape and agricultural suitability, identify existing water resources and rates of use and calculate future water resource requirements. Future requirements will be identified using water application rates for irrigated agricultural use and domestic use determined using Australian Bureau of Statistics data. The WRP will then determine whether sufficient water resources are available to support future irrigated agriculture and dwellings.

### 1.2 Agriculture Capability

The *Soil Landscapes of the Dubbo 1:250 000* and corresponding reports identified four different soil landscape types that occur within the site. These reports summarise the qualities and limitations of each of the soil landscapes and outlines what the capability (urban and rural) is for that particular soil landscape. The rural capability of each soil landscape are detailed below.

#### Buckeroo (bk)

Some of the area on slopes of lower grades is suitable for cropping (Class III), with other areas only being suitable for grazing (Class IV) because of slope grades (>7%), rock outcrop or flow lines. Steeper areas are less productive and difficult to manage grazing areas (Class VI).

#### Craigmore (cm)

Most land is suitable for cropping and horticulture development provided account is taken of the erosion hazard (Class II, III), but some areas are only suitable for grazing because of concentrated water flows or small areas of short steep slopes between terraces (Class IV).

#### Wellington Caves (wc)

Much of the area is mainly suitable for grazing (Class IV, VI) because of slope and the extent of rock outcrop. Some small pockets of land suitable for cropping (Class III) occur.

#### Mount Bara (ba)

Most of the area is suitable for retaining native forest (Class VII, VIII) and possibly timber on some slopes of lower grade. Erosion control measures would be required during tree felling.

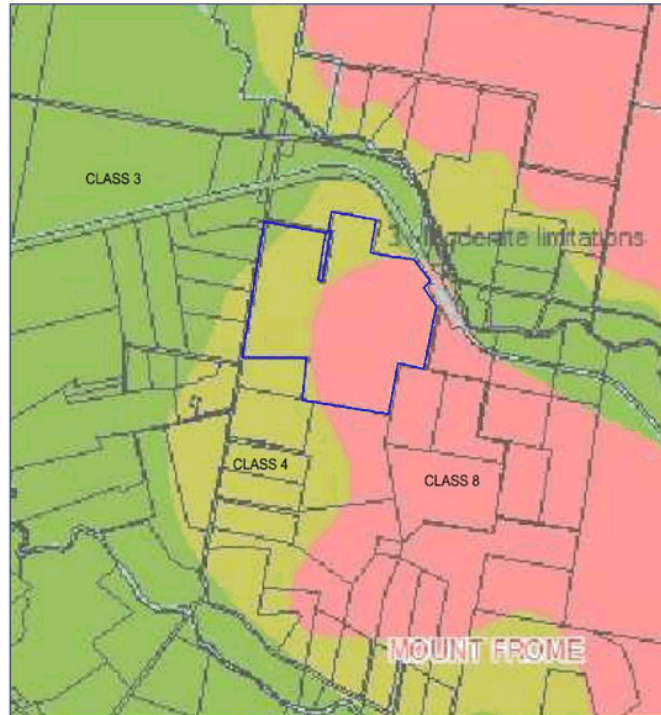


Figure 1 – Rural Land Capability Mapping

The rural capability of each of the soil landscapes in the report and mapping above show that there are areas available for grazing and cropping on the site, which would allow for irrigated agriculture. The capability is somewhat limited due to sloping land, erosion hazard or rock outcrops. Based on the land capability mapping and reports, and consultation with Council, it is reasonable to assume that for each 20 hectare lot, 15 hectares would be suitable for intensive agricultural purposes.

Note - The class 8 land will be protected using the E3 Environmental Management Zone.

### 1.3 Licenced Water Availability

The land owner holds the following water access licences (copies are attached):

WAL No.	Category	Share Components (units or ML)	Extraction Times or Rates
34304	Unregulated River	98	Subject to conditions water may be taken at any time or rate.
10119	Regulated River (General Security)	130	Subject to conditions water may be taken at any time or rate.
10120	Supplementary Water	9.90	Subject to conditions water may be taken at those times when the Minister announces that supplementary water is available, at such a rate as the Minister announces.
<b>Total</b>		<b>228 ML (plus supplementary water when available)</b>	



Water is currently extracted in accordance with the WALs and stored in an on-site dam that has an approximate capacity of 75-80ML. The water is then utilised on-site for the irrigation of vineyards and other domestic and rural uses. Unused allocation is carried over to the consecutive year in accordance with the terms of the WAL.

Consultation with a representative from WaterNSW confirmed that the water licence associated with the property can be subdivided into equal or unequal shares to form new licences.

#### **1.4 Existing Water Use**

The site currently supports approximately 16.5 hectares of grapevines and 3 hectares of cherry trees. The water application rate for grapevines as per Figure 1 below is 3.6ML/ha. The water application rate for cherry trees is 5.9ML/ha. The total application rate for the current agricultural use is 77.1ML.

The site also currently supports two dwellings. The application rate per dwelling in accordance with Figure 2 below is 0.54ML. The total water use for the two dwellings is 1.08ML.

The total current water usage (grapevines and cherry trees @ 77.1ML/ha plus residential @ 1.08ML) is 78.18ML and is less than the current water licence allocation.



## 2. ESTIMATED WATER USE

### 2.1 Irrigated Agriculture

Clause 4.2B states that dwelling houses on land zoned RU4 are only to be erected where they support the permitted agricultural use of the land for the purpose of intensive plant agriculture (Clause 4.2B(2)(a)) or irrigated pasture or fodder crops (Clause 4.2B(2)(b)). In order to provide potential for each of the three lots to accommodate a dwelling house and these types of agriculture, two scenarios have been established using application rates identified in Figure 1 below. For the year ending 30 June 2017 it was calculated by the Australian Bureau of Statistics (ABS) that the average usage for irrigated pastures and crops in Australia was 4.1ML/ha (ABS, 2018). This includes high water usage crops such as rice and cotton (7.8 and 11.4 ML/ha/year respectively), which due to limited water availability would be unviable in the area.

Figure 1 – Water Use on Australian Farms by Commodity (source: ABS, 2018)

WATER USE ON AUSTRALIAN FARMS, year ended 30 June 2017						
PASTURES AND CROPS IRRIGATED AUSTRALIA						
	Agricultural businesses	Agricultural businesses	Area under pasture or	Area watered	Volume applied	Application rate
	no.	irrigating	crop	ha	ML	ML/ha
		no.	ha	'000	'000	
TOTAL						
2010-11	93 344	28 463	388 994	1 838	6 326	3.4
2015-16	85 681	22 690	371 078	2 148	8 381	3.9
2016-17	88 073	22 103	393 797	2 244	9 104	4.1
Pasture, cereal and other crops used for grazing	64 964	6 270	340 763	598	1 540	2.6
Pasture, cereal and other crops cut for hay	26 164	2 977	1 619	154	460	3.0
Pasture, cereal and other crops cut for silage	6 563	1 102	392	68	180	2.6
Rice	674	674	82	82	940	11.4
Other cereals for grain or seed	26 035	1 406	18 618	286	502	1.8
Cotton	1 009	760	519	328	2 566	7.8
Sugar cane	3 626	1 621	453	212	974	4.6
Other broadacre crops	15 111	835	5 653	123	167	1.4
Fruit trees, nut trees, plantation or berry fruits	4 996	3 917	169	142	836	5.9
Vegetables for human consumption or seed	3 737	3 115	120	98	386	3.9
Nurseries, cut flowers and cultivated turf	1 592	1 669	16	12	61	4.9
Grapevines	3 854	3 533	137	123	436	3.6

#### Scenario 1 – Intensive agriculture (fruits / vegetables / flowers / turf)

This scenario accommodates the following forms of intensive agriculture as required to be considered by Clause 4.2(B)(2)(a) and their corresponding water application rates as per Figure 1 above.

Table 1: Scenario 1 water application rates

Use	Water application rate (ML/ha)
Fruit trees, nut trees, plantation or berry fruits	5.9
Vegetables for human consumption or seed	3.9
Nurseries, cut flowers and cultivated turf	4.9
<b>Average</b>	<b>4.9</b>



Scenario 2 – Intensive agriculture (grapevines)

This scenario relates to the existing and predominant agricultural use undertaken on the site i.e. grapevines. This is a form of intensive agricultural use as required to be considered by Clause 4.2(B)(2)(a).

Table 2: Scenario 2 water application rates

Use	Water application rate (ML/ha)
Grapevines	3.6

Scenarios 1 and 2 provide an indication of water usage for the most likely future use of the site. Scenario 1 is the most water intensive use with an average water application rate across the various groups of 4.9ML/ha and is adopted as a 'worst case scenario'.

For the purpose of estimating potential water requirements, the following assumptions are applied:

- The proposed rezoning of 68 hectares of land to RU4, with a minimum lot size of 20 hectares, could result in a maximum yield of three lots (68 hectares / 20 hectares = 3.4 lots).
- Land capability mapping and reports, and consultation with Council, indicates that for each 20 hectare lot, 15 hectares (or approximately 75% of each lot) would be suitable for intensive agricultural purposes.
- The total area suitable for intensive agricultural land area is therefore 45 hectares.

Based on an intensive agricultural area of 45 hectares and water application rate of 4.9ML/ha, the total water requirement would be 220.5 ML (45 hectares x 4.9ML/ha = 220.5ML).

With an existing allocation of 228ML, there is sufficient water availability to accommodate the future use of the site for intensive agricultural purposes.



**2.2 Domestic Use**

Figure 2 is an estimate of the inside and outside domestic water usage for a family of four people, including usages for shower, toilet, dishwasher, washing machine, garden and pool water.

Figure 2 – Domestic Water Usage Calculator (source: National Poly, 2018)

Inside Water Usage				
Water Use	Quantity	Water Consumption	L/day	L/year
Shower	24	10L/minute	240	87,600
Bathtub	Baths per day	150L	0	0
Dishwasher	1	30L/load	30	10,950
Front Load Washing Machine	Washes per day	80L/load	0	0
Top Load Washing Machine	1	100L/load	100	36,500
Brushing Teeth with tap running	4	5L/minute	20	7,300
Drinking, Cleaning, Cooking/person	4	10L/day/person	40	14,600
Hand Basin Use	20	5L/time	100	36,500
Toilet Flush single	12	6L/flush	72	26,280
Toilet Flush half	6	3L/flush	18	6,570
Outside Water Usage				
Water Use	Quantity	Water Consumption	L/day	L/year
Garden Sprinkler	30	Garden hose 15L/minute	450	164,250
Car Wash	1	200L	200	73,000
Hosing Hard Surfaces	1	15L/minute	200	73,000
Drip System	1	6L/hour	6	2,190
Swimming Pool Top-up	21	Pool surface area (m <sup>2</sup> )	266.7	97,345.5

**Total Litres per day:** 1,476  
**Total Litres per year:** 538,740

Figure 2 estimates the inside and outside domestic water usage for a family of four people (including usages for shower, toilet, dishwasher, washing machine, garden and pool water) to be 0.54 ML per dwelling per annum. There is sufficient availability of water to accommodate domestic use associated with intensive agriculture.



### 3. CONCLUSION

This water resources plan identifies that water can be supplied to the additional lots without impacting on the existing water use of the current property of 85 Rocky Waterhole Road, Mount Frome.

The annual water allocation linked to the property is 228 ML plus supplementary water when available. This water allocation can be appropriately divided between the maximum yield of three lots created for intensive agricultural use. The water allocation can be divided into separate licences to cater for the potential rezoning and subdivision and supply the related domestic and agricultural needs of the resulting lots.

The calculations of future water use are based on the water application rates outlined in the ABS publication "Water Use on Australian Farms by Commodity" and the National Poly publication "Domestic Water Usage Calculator". These calculations do not take into consideration site specific conditions such as rainfall, storage dams / tanks and farming management practices and therefore are considered to be a 'worst case scenario'.

Based on the calculations and other investigations into land capability it can be demonstrated that the rural capability of the land and availability of water to the properties would be suitable for intensive agricultural and irrigated pasture and fodder crops as required by Clause 4.2B of Mid-Western Regional LEP 2012.



#### 4. REFERENCES

Australian Bureau of Statistics (ABS) 2018, Water Use on Australian Farms (cat. No. 4618.0).  
Retrieved on 15 November 2018 from <http://www.abs.gov.au/AUSSTATS/abs@.nsf/mf/4618.0>

National Poly 2018, Water Usage Calculator.  
Retrieved on 15 November 2018 from <https://www.nationalpolyindustries.com.au/water-usage-calculator/>

WaterNSW 2017, How much water do I need?  
Retrieved on 15 November 2018 from [https://www.watnsw.com.au/\\_data/assets/pdf\\_file/0005/128354/1.-How-much-water-do-I-need.pdf](https://www.watnsw.com.au/_data/assets/pdf_file/0005/128354/1.-How-much-water-do-I-need.pdf)

WaterNSW, NSW Water Register <https://waterregister.watnsw.com.au/water-register-frame>





## **APPENDIX 9**

### **Additional Supporting Information – Land Capability and Demand for RU4 Zoned Land**

**Emma Mason**

---

**Subject:** FW: Planning Proposal 85 Rocky Waterhole Road

**From:** Emma Mason  
**Sent:** Thursday, 18 April 2019 5:16 PM  
**To:** Sarah Armstrong <Sarah.Armstrong@midwestern.nsw.gov.au>  
**Subject:** RE: Planning Proposal 85 Rocky Waterhole Road

Hi Sarah,

The agricultural capability is demonstrated through the current uses on site which include vineyards and cherry orchard. These uses are replicated throughout the immediate area. Site capability information is provided below which identifies the four soil landscape types that occur within the site and confirms that these are suitable for cropping, horticulture and irrigated agriculture:

The *Soil Landscapes of the Dubbo 1:250 000* and corresponding reports identified four different soil landscape types that occur within the site. These reports summarise the qualities and limitations of each of the soil landscapes and outlines what the capability (urban and rural) is for that particular soil landscape. The rural capability of each soil landscape are detailed below.

[Buckeroo \(bk\)](#)

Some of the area on slopes of lower grades is suitable for cropping (Class III), with other areas only being suitable for grazing (Class IV) because of slope grades (>7%), rock outcrop or flow lines. Steeper areas are less productive and difficult to manage grazing areas (Class VI).

[Craigmore \(cm\)](#)

Most land is suitable for cropping and horticulture development provided account is taken of the erosion hazard (Class II, III), but some areas are only suitable for grazing because of concentrated water flows or small areas of short steep slopes between terraces (Class IV).

[Wellington Caves \(wc\)](#)

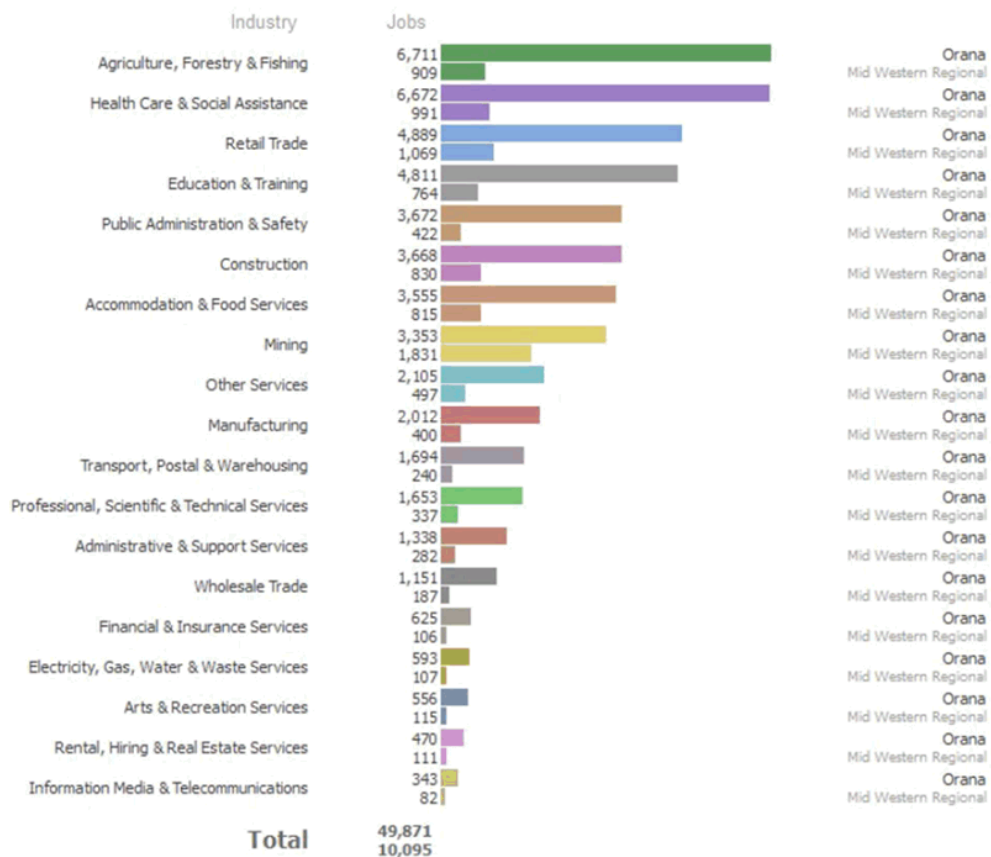
Much of the area is mainly suitable for grazing (Class IV, VI) because of slope and the extent of rock outcrop. Some small pockets of land suitable for cropping (Class III) occur.

[Mount Bara \(ba\)](#)

Most of the area is suitable for retaining native forest (Class VII, VIII) and possibly timber on some slopes of lower grade. Erosion control measures would be required during tree felling.

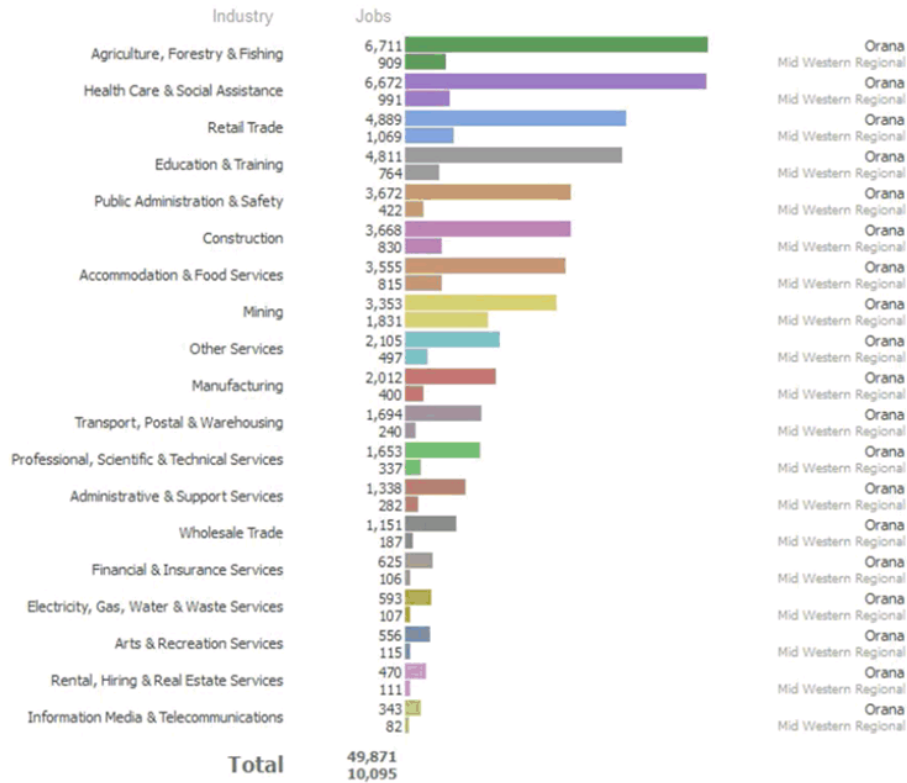
With regard to supply and demand, I have sought information from Regional Development Australia – Orana regarding availability and demand for land for intensive agricultural uses. Unfortunately I have not received a response. However ABS information available on their website indicates that Mid-Western Region is experiencing sustained population growth over a 10 year period suggesting additional demand for a range of land, housing and employment opportunities.

All Industries - All Zones



Furthermore, the employment category of 'Agriculture, Forestry and Fishing' is the largest employment sector in the Orana region and one of the largest employment sectors in the Mid Western Region suggesting the demand for agricultural land is high within the LGA.

All Industries - All Zones



The applicant has indicated there is strong interest in the market for intensive agricultural land parcels within the area.

The information submitted to Council to date has provided the strategic justification for the proposal, confirmed the availability of water to accommodate the proposal and confirms the suitability of soil.

We trust this information will enable Council to progress the proposal. Please advise of the next steps, which I understand is to be Council’s consideration of the rezoning and (hopefully) recommendation that the progressed to Gateway determination.

I look forward to discussing this with you next week.

In the meantime I wish you a safe and happy Easter.

Kind regards,

**EMMA MASON**

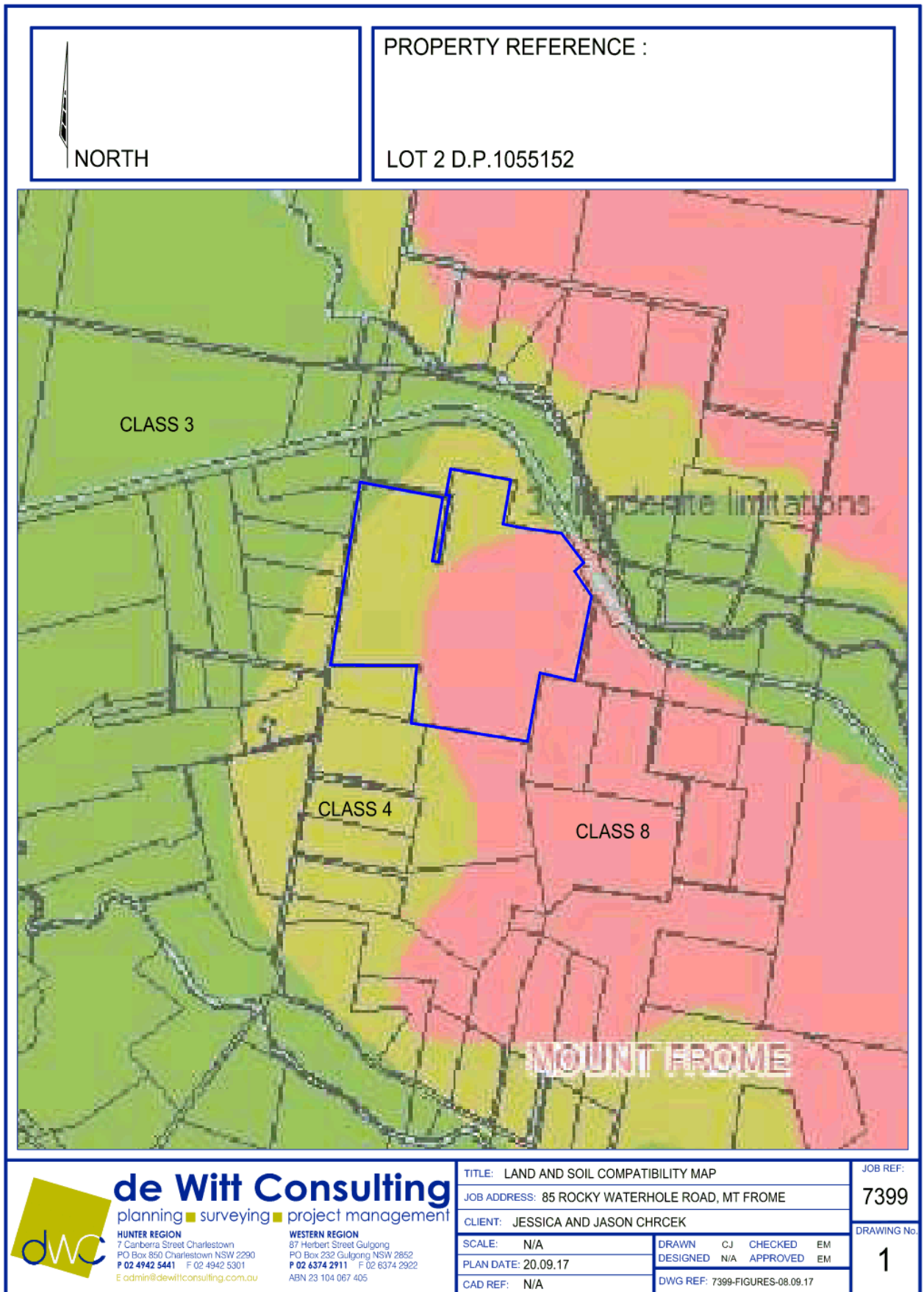
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**WESTERN REGION**  
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 PO Box 232 Gulgong NSW 2852  
 P 02 6374 2911 F 02 6374 2922  
 ABN 23 104 067 405

TITLE: LAND AND SOIL COMPATIBILITY MAP	
JOB ADDRESS: 85 ROCKY WATERHOLE ROAD, MT FROME	
CLIENT: JESSICA AND JASON CHRCEK	
SCALE: N/A	DRAWN CJ CHECKED EM
PLAN DATE: 20.09.17	DESIGNED N/A APPROVED EM
CAD REF: N/A	DWG REF: 7399-FIGURES-08.09.17

JOB REF:  
**7399**  
 DRAWING No.  
**1**



**APPENDIX 10**

**Concept Subdivision Plan**




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 P 02 6374 2911 F 02 6374 2922  
 ABN 23 104 067 405

TITLE: CONCEPT SUBDIVISION	
JOB ADDRESS: 85 ROCKY WATERHOLE ROAD, MT FROME	
CLIENT: JESSICA AND JASON CHRCEK	
SCALE: N/A	DRAWN CJ CHECKED EM
PLAN DATE: 01.08.19	DESIGNED N/A APPROVED EM
CAD REF: N/A	DWG REF: 7399-CONCEPT SUBDIVISION-01.08.19

JOB REF:	<b>7399</b>
DRAWING No.	<b>1</b>



## SERVICE PROVIDER MANAGEMENT POLICY



ADOPTED	VERSION NO	1.1
COUNCIL MEETING MIN NO	REVIEW DATE	AUGUST 2022
DATE:	FILE NUMBER	COR400089

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### Objective

This policy aims to ensure Mid-Western Regional Council's ('Council') expectations and management of service providers is legal, ethical and transparent for all parties. It is to provide guidance in the selection, management and monitoring of service providers engaged by Mid-Western Regional Council. The outcomes of this policy are:

- Clear & Defined Expectations & Responsibilities
- Performance Management Criteria & Matrix
- Ethical Behaviour & Fair dealing
- Maintaining a High Standard of Health & Safety Management
- Protection of Service Provider Pricing, Rates and intellectual property

This procedure applies to all Council workplaces including though not limited to depots, buildings and worksites. The procedure covers the selection, management and monitoring of Service Providers associated with the supply of goods and/or services to Council and all Service Providers engaged by Council for the purpose of maintenance, repairs and capital works, including those selected via a tender or a formal contract process. This procedure also encompasses other services engaged by Council such as training providers or consultants.

For workplace health and safety (WHS) risk management of service providers refer to HRWHS 059 – Safety Management Framework for Contractor & Construction Project Works.

### Legislative requirements

- WHS Act 2011

### Related policies and plans

- Procurement Policy
- Gifts & Benefits Policy
- Local Preference Policy
- Statement of Business Ethics
- Code of Conduct
- WHS Management Policy
- Risk Management Policy
- Complaints Policy
- Chain of Responsibility Procedure



SERVICE PROVIDER MANAGEMENT POLICY:

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## Policy

In entering into contracts for the carrying out of work, or the supply of goods & services, Council Officers will have regard to Council's service provider management objectives as set out above.

The general objectives of this policy apply to all service providers regardless of engagement timeframes.

Council's Service Providers shall be considered to be agents of Council and therefore required to comply with Council's relevant policies and procedures. A breach of these policies and procedures may result in disciplinary action as specified in this policy.

## Training of Staff

Staff involved in the engagement (and/or management) of Service Providers will be appropriately trained by Procurement in the relevant procedures.

Training will be provided based on position requirements:

- To new recruits;
- In line with revision schedules for this policy (see Review date);
- With any major changes to this policy;
- Intermittently, as directed by Executive or the Manager Procurement, to address known risks.

SERVICE PROVIDER MANAGEMENT POLICY



Responsibilities

<p>Council's General Manager &amp; Directors are responsible for:</p>	<ul style="list-style-type: none"> <li>■ The compliance management of the Service Provider Management Policy and other associated policies</li> </ul>
<p>Council's Managers, Supervisors, Works Officers &amp; Team Leaders are responsible for:</p>	<ul style="list-style-type: none"> <li>■ Advising the Manager, Procurement of any proposed tenders</li> <li>■ Utilising <u>only</u> Council approved Service Providers and/or obtaining the minimum compliance requirements from Service Providers prior to engagement. This includes Council specific Contractor inductions, insurances, licences and motor vehicle/plant registrations where required</li> <li>■ Confirming relevant Service Provider workers compensation and public liability insurance is current prior to them entering a work site;</li> <li>■ Confirm validity of the Service Providers Council specific Contractor Induction and their employees that will be entering or working on any Council site;</li> <li>■ Sighting Safe Work Method Statement (SWMS) where applicable;</li> <li>■ Undertaking site specific inductions and risk assessments;</li> <li>■ Ensure compliance with Council's Chain of Responsibility (CoR) Policies &amp; Procedures and the RMS Chain of Responsibility provisions in the Road Transport (General) Regulation 2005;</li> <li>■ Investigating and/or eliminating any hazards identified by all Council &amp; Service Provider's employees;</li> <li>■ Ensuring relevant work permits are completed where applicable prior to commencing work;</li> <li>■ Ensure compliance with all applicable obligations under the Fair Work Act 2009 and the Fair Work Regulations 2009;</li> <li>■ Manage non-conformance issues to Service Providers via HRWHS 026 Notification of Non-Conformance Report to Council's Manager, Procurement and WHS Coordinator for investigation and/or action;</li> <li>■ Maintaining probity; and</li> <li>■ Ensuring the term and conditions of the relevant Service Provider contract are relevant, monitored and enforced.</li> </ul>



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SERVICE PROVIDER MANAGEMENT POLICY: | JULY 2017

<p>Council's Employees are responsible for:</p>	<ul style="list-style-type: none"> <li>■ Utilising <u>only</u> Council approved Service Providers and/or obtaining the minimum compliance requirements from Service Providers prior to engagement. This includes Council specific Contractor inductions, insurances, licences and motor vehicle/plant registrations where required;</li> <li>■ Maintain compliance with Council's Chain of Responsibility (CoR) Policies &amp; Procedures and the RMS Chain of Responsibility provisions in the Road Transport (General) Regulation 2005;</li> <li>■ Confirming the goods/services received meet Council requirements;</li> <li>■ Reporting any hazards and non-conformance identified as a result of work being performed by Service Providers or any other non-conformance to their Supervisor;</li> <li>■ Providing appropriate honest feedback on Service Providers as requested by Project Manager and/or Works Officer/Coordinator/Team Leaders; and</li> <li>■ Maintaining probity</li> </ul>
<p>Council's Tendering &amp; Contracts officers are responsible for:</p>	<ul style="list-style-type: none"> <li>■ Liaising with Manager, Procurement regarding all tenders and Advising the Manager, Procurement of any proposed tenders</li> <li>■ Preparation of Contract documents including purchase order requests and relevant information</li> <li>■ Maintaining and forwarding updated preferred service provider lists of new providers as advised by Council's Manager Procurement to relevant staff;</li> <li>■ Monitoring the requirements of CPI rate increase to or requests for updated rates for relevant preferred service provider lists at the start of each contract renewal or extension period and provide notification to service providers as necessary;</li> <li>■ Monitoring and maintaining compliance of service providers in VendorPanel for department specific lists; and</li> </ul>



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SERVICE PROVIDER MANAGEMENT POLICY: | JULY 2017

	<ul style="list-style-type: none"> <li>■ Maintaining probity.</li> </ul>
<p>Council's WHS / Human Resources are responsible for:</p>	<ul style="list-style-type: none"> <li>■ Coordination of the induction of Service Providers &amp; relevant suppliers as required;</li> <li>■ Managing Induction renewal registers and advise Council staff and Service Providers of any updated inductions that are required;</li> <li>■ Advising relevant Council staff of Service Providers employees that fail to meet induction requirements</li> <li>■ Liaising with the Manager Procurement and relevant department managers in the planning of induction training dates; and</li> <li>■ Provide assistance and assessment (where required) to assist in the acceptance of additional service providers and recommended tenderers with regards to risk management.</li> </ul>
<p>Council's Manager, Procurement is responsible for:</p>	<ul style="list-style-type: none"> <li>■ Recommend and manage Policy guidelines and amendments</li> <li>■ Providing</li> <li>■ Monitoring &amp; reporting on compliance of Councils' Service Provider Management Policy and Council's Procurement Policies &amp; Procedures regarding the engagement of Service Providers for both goods &amp; services;</li> <li>■ Providing guidance for, or assist in the management of non-conforming Service Providers in accordance with this and other relevant procedures;</li> <li>■ Assisting with the coordination of all Council tenders in conjunction with relevant department managers. The Manager, Procurement <u>must</u> be advised of any proposed tenders;</li> <li>■ Assessment and undertaking of approval with regards to additional Service Providers;</li> <li>■ Provide support to Tendering &amp; Contracts officers to ensure</li> <li>■ Liaising with Council's WHS Coordinator regarding new and existing Service Providers and non-conformance and any other relevant matter;</li> <li>■ Maintaining security around tendered rates and pricing ; and</li> </ul>



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SERVICE PROVIDER MANAGEMENT POLICY: | JULY 2017

	<ul style="list-style-type: none"> <li>■ Monitoring and maintaining VendorPanel for the organisation as a whole</li> </ul> <p>Monitoring and maintaining Probity</p>
<p>Service Providers are responsible for:</p>	<ul style="list-style-type: none"> <li>■ Ensuring services/goods are executed as directed by Council in compliance with Council policies, procedures, specifications, requirements and expectations and/or any relevant Goods and/or Service Contract associated to their engagement;</li> <li>■ Ensuring &amp; maintaining appropriate qualifications, training, experience and certifications of competency required by Council for any Service Provider persons conducting work under the Contract terms;</li> <li>■ Commit to re-inducting their employees/representative to the Council specific induction when requested by Council;</li> <li>■ Ensure their employees/representatives carry the Council specific induction ID on their person at all times and present to Council representatives on site as request (if issued);</li> <li>■ Ensuring SWMS have been completed for tasks identified as high risk, are present on site and have been signed by all workers engaged in the task. This includes though is not limited to construction works exceeding \$250,000, and demolitions and/or asbestos removal work that requires a licence;</li> <li>■ Ensuring all Risk Assessments are undertaken and copies presented to Council;</li> <li>■ Maintaining the workplace in a safe and healthy manner for themselves, subcontractors and other staff and visitors of Council;</li> <li>■ Raise any issues that may become a WHS concern with Council’s nominated officer;</li> <li>■ Ensure compliance with the National Heavy Vehicle Regulator’s (NHVR) Chain of Responsibility laws and the RMS Chain of Responsibility provisions in the Road Transport (General) Regulation 2005;</li> <li>■ Ensure that all employees and, as far as practicable all subcontractors employees are paid the correct wages, loadings, allowances, penalties and that any underpayments identified are rectified immediately;</li> <li>■ Maintain adequate insurance coverage and provide copies to Council of updated insurance information including current Certificates of Insurance, policy exemptions and a public liability Certificate of Insurance noting Council as an interested party;</li> <li>■ Ensuring they are complying with all applicable obligations under the Fair Work Act 2009 and Fair Work Regulations 2009;</li> </ul>

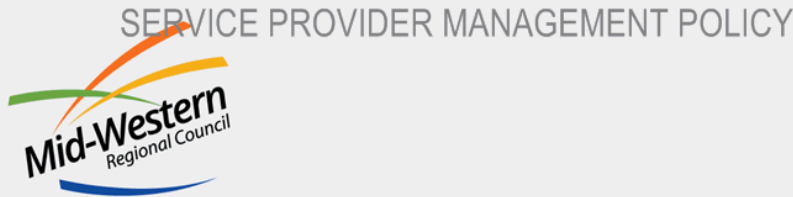


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SERVICE PROVIDER MANAGEMENT POLICY: | JULY 2017

	<ul style="list-style-type: none"><li>■ Ensure accuracy of invoicing and paperwork prior to forwarding to Council;</li><li>■ Specifying their allocated Local Service Provider number on all quotes &amp; tenders (as per Council's Local Preference Policy); and</li><li>■ Maintaining probity.</li></ul>
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REVIEW



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## Engaging a Service Provider

- For all goods & services engagements with a cumulative value (over the term of the contract) a financial value greater than \$50,000, Council's Goods & Services General Conditions of Contract will apply except in the engagement of organisations for the purpose of construction. Appropriate Australian Standard Contracts would be utilised in this instance, however this policy is still relevant with regards to Service Provider Management. All contract arrangements over the abovementioned amount must be placed in Council's Contracts Register.
- When a requirement is identified that cannot be provided or undertaken by a Council employee, the person requiring this good/service must estimate potential costs associated with the requirement for that particular service. Council have preferred prequalification lists for several services, including but not limited to: Trade Services, Wet & Dry Plant hire and also many contracts for the provision of goods. Council must engage suppliers or purchase goods based on a spend basis as noted in Council's Procurement Policy and make inclusive to their decision, consideration for Council's Local Preference Policy
- When engaging a Service Provider that is not on a prequalification list, necessary requirements are to be discussed with the Manager, Procurement, prior to engagement or commitment of any service or goods. If acceptable, the Service Provider may be required to undertake several steps prior to engagement e.g. Register on Council's Marketplace or complete Additional Service Provider application forms.
- In some instances a non-tendered pre-qualification list may be established in VendorPanel for commonly used service providers enabling Council to capture and maintain compliance information. Council must also obtain relevant compliance information prior to the engagement of any supplier
- All Service Providers that enter a Council site must participate in induction processes, as specified by Council. See Service Provider Induction for further information.

WHS requirements are to be communicated to the Service Provider prior to engagement (provision of necessary documentation, including sign off and proof of receipt, as required).

## Service Provider Selection - Evidence

- It is essential that the process of selection regarding Service Providers is well documented. Tenders for trade services and wet & dry plant hire are generated as both preferred and prequalification lists. The preferred order is utilised up to the threshold nominated in the Tender documentation and for any work over the nominated threshold staff will approach appropriate service providers via Council's electronic quoting system 'VendorPanel' inviting a 'request for quote'.
- Consideration needs to be made when sourcing goods and services from a holistic view with the intent of gaining value for money. Extra costs associated eg floating costs, travel costs or even providers location may move a particular plant/supplier from say No. 3 to No. 1 as the overall cost would be lower for that particular item or service. Demonstrating value for





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money and documenting evidence to justify why the No.3 was selected is an acceptable means of procuring from our preferred supplier lists.

- The inclusion of Local Preference discount must be nominated by the service provider on the quotations/response documents by providing their Local Service Provider number and the application of the discount must be documented by Council staff
- Council's backing sheets must be used as the evidence based document for all preferred supplier engagement.

## Addition of Service Providers to an Existing Procurement Service Arrangement

Procurement arrangements include:

- Pre-qualification panels; and
- Preferred supplier lists (overflow only).

Addition of service providers to existing procurement service arrangements can only occur in accordance with the original tender document specifications and associated contract documents. Copies of application documents can be found on Council's website.

## Management of Rates/Pricing

### ACCESS TO RATES

- All rates/pricing provided to Council are confidential. There are circumstances where rates are exposed, for example those approved for a specific project i.e.: Design & Construct tenders, however only the successful price can be exposed after acceptance from Council. The Council staff recommendation shall only state '\$XX' for the sum with no actual figure. All rates must be presented in the confidential section of the Business Paper. Once Council/General Manager accepts the report, the minute would then demonstrate the approved pricing/sum for the project.
- In the instance of prequalification or preferred supplier lists, tenders and additional service provider's rates, these shall be placed in the confidential section of the business paper to ensure 'commercial in confidence' is maintained. On acceptance of the pre-qualification list tenders the preferred order and rates will remain in the custody of Council's Manager, Procurement or the tender contact officer, unless authorised for release to appropriate staff by the General Manager. If rates are authorised for release, staff will be appropriately trained in confidentiality and protection of commercial rates. In the instance that confidentiality is compromised, an investigation will be completed and disciplinary action will be enforced, as appropriate.

### AMENDING TENDERED RATES



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- Tendered rates cannot be amended mid-contract unless the original tender documentation and contract specifically permits rate increase considerations. All requests for rate increases must be made in writing to the appropriate Council delegate and must not exceed the most recent annual CPI rate increase (nearest quarter) All Groups (or the rate specified in the tender/contract).
- Any approved increase must be responded to in writing from Council's delegate and forwarded to the Manager Procurement.
- When Service Providers are responding to a Request for Quote via VendorPanel, they have the opportunity to review rates depending on the requirements. VendorPanel creates an opportunity to allow for competitive environment whilst maintaining value for money for our rate payers.

## Service Provider Induction

- Service Provider Council specific inductions will remain valid indefinitely – unless this induction is withdrawn by Council or major amendments are made to the WHS Act, in which, a new induction process must be undertaken. Council will notify service providers of any re-induction requirements.
- The induction process is coordinated by Council's WHS department. Service Providers, their employees or any other representative of the service provider will be required to either attend an induction in person or complete an on-line induction. Early renewal or updated inductions may be called at any time deemed necessary by Council, for example where there are changes to WHS legislation, or major changes to Council policies and procedures.
- Site specific inductions will occur as necessary.
- Council employees must confirm validity of service provider inductions prior to engagement and all service providers must have the induction card on their person at all times when working on a Council site. Council reserve the right to randomly request inductions cards at any time from any person on their site. Should evidence of the induction not be supplied, Council reserves the right to stand that person/service provider down immediately.
- The Council specific induction may not be required in some instances. This is at the discretion of the WHS Coordinator.

## Service Provider Performance Management

- Non-conformance relates to all activities concerning a Service Provider where processes, actions, equipment or goods fail to meet Council's expected standards. These activities include (but are not limited to) the work whilst being undertaken, completion of works, behaviour of service providers and their employees on Council worksites, condition of plant and equipment and any associated paperwork requirements, for example invoices and risk assessments or goods provided to Council.



- Any non-conformance issues identified with a Service Provider must be forwarded to Council's Manager, Procurement for assessment. The relevant Council representative must notify the Manager, Procurement in writing via Council's non-conformance report describing in detail.
- The report must include detail of any discussions undertaken with the Service Provider regarding the non-conformance. In the event of a WHS non-conformance, Council's WHS Coordinator must also be notified immediately.
- If appropriate, a non-conformance notification will be forwarded to the Service Provider detailing Council's concerns, identified non-conformance and any corrective actions required. Each non-conformance notification must be coded with Council's non-conformance codes. Any correspondence relating to this matter must be placed in Council's record management system.
- Service providers must be issued with a non-conformance notification. For high risk non-conformance the General Manager must be notified, medium risk the Director/Department Manager must be notified and low risk non-conformance the relevant project Manager, Supervisor, Works Officer or Team Leaders must be notified.
- All non-conformance requires the completion of a non-conformance report (HRWHS 026) by an authorised Council representative and forwarded to appropriate Manager for authorisation. Once authorised, all non-conformance reports must be forwarded to Council's Manager, Procurement for action.
- Service Providers that have tendered for a pre-qualified or preferred supplier list may be re-prioritised as a consequence from the receipt of a non-conformance. The structure relating to the consequence would be as advised in the tender documentation. All other service providers are based on the non-conformance matrix.
- In the instance of a severe non-conformance (as determined by the Council representative) the Service Provider may be immediately stood down from the site and removed from Council's prequalification list following subsequent investigation.
- Service Providers have right to respond to any non-conformance received. The response must be made in writing and within 14 days of receipt of the non-conformance notification letter.
- Council reserves the right to randomly audit worksites and capture feedback on Service Providers. All feedback must be captured on Council's internal feedback forms.

## Supporting Documentation & Forms

- Council's Non-Conformance Matrix
- Council's (Non-Conformance) Consequence Outcomes
- Council's Feedback Form
- Council's Backing Sheet



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- HRWHS 059 - Framework for the Safety Management of Contractor & Construction Project Works

Note: The above forms are an internal document and are subject to change

## DEFINITIONS

Council means – Mid Western Regional Council (MWRC)

Council's General Manager, Directors, Managers, Supervisors, Works Officers & Team Leaders / WHS / Human Resources/Manager, Procurement & Procurement staff means – any person employed by Council that holds and position of any of the above titles and the associated delegated authority to undertake the engagement of a service provider or the purchase of goods

Council's Employee means – any person that is engaged by Council and has the delegated authority to undertake the engagement of a service provider or the purchase of goods other than those noted above

Service Provider means - Any person or organisation that provides goods and/or services to Council

Probity: Probity is also known as procedural integrity. It is a concept that brings together moral excellence, integrity, uprightness, conscientiousness, honesty, and sincerity in Service Provider Management and Procurement processes.

**1. NON-CONFORMANCE MATRIX**

		SEVERITY			
		>THREE Non-Conformances issued	THREE Non-Conformances issued	TWO Non-Conformances issued	ONE Non-Conformances issued
NON-CONFORMANCE	CATEGORY				
	<b>NC001</b> Compliance	HIGH	MEDIUM	LOW	LOW
	<b>NC002</b> Workmanship Performance Quality	HIGH	MEDIUM	MEDIUM	LOW
	<b>NC003</b> Breach of Council's Policies and/or Procedures	HIGH	HIGH	MEDIUM	MEDIUM
	<b>NC004</b> WHS and/or Environmental	HIGH	HIGH	HIGH	MEDIUM

## 2. CONSEQUENCES

To re-prioritise a preferred supplier list, the consequence is listed below.

<b>HIGH</b>	<b>To be considered on a case by case basis:</b> 1. Investigation and issue of Non-Conformance warning; 2. If Non-Conformance results in serious injury, instant suspension from list for remainder of contract term; OR Suspension pending investigation (if then proven negligent) removal from list for remainder of contract term; 3. Suspension from list for one month – all high risk non-conformances require the General Manager to be notified, and must be formalised by Non-Conformance letter being issued.
<b>MEDIUM</b>	<b>To be considered on a case by case basis:</b> 1. Works to be rectified at service provider's expense with management or improvement plan produced by service provider, or; 2. Suspension for one month; 3. Meeting to discuss issues and performance-improvement agreement made – Direct Manager must be notified and Non-Conformance letter must be issued.
<b>LOW</b>	<b>To be considered on a case by case basis:</b> Non-Conformance letter must be issued.

## SERVICE PROVIDER MANAGEMENT POLICY

<b>ADOPTED</b>	VERSION NO	1.1
COUNCIL MEETING MIN NO 183/17	REVIEW DATE	AUGUST 2022
DATE: 1 JULY 2018	FILE NUMBER	COR400089

### Objective

This policy aims to ensure Mid-Western Regional Council's ('Council') expectations and management of service providers (contractors) is legal, ethical and transparent for all parties. It is to provide guidance in the selection, management and monitoring of service providers engaged by Mid-Western Regional Council. The outcomes of this policy are:

- Clear & Defined Expectations & Responsibilities
- Performance Management Criteria & Matrix
- Protection of Supplier Rates
- Ethical Behaviour & Fair dealing
- Maintaining a High Standard of Health & Safety Management
- Protection of Supplier Service Provider Pricing, Rates and intellectual property

This procedure applies to all Mid-Western Regional Council workplaces including though not limited to depots, administration buildings and worksites. The procedure covers the selection, management and monitoring of Service Providers associated with the supply of goods and/or services to Council and all Service Providers engaged by Council for the purpose of maintenance, repairs and capital works, including those selected via a tender or a formal contract process. This procedure also encompasses other services engaged by Council such as training providers or consultants.

For WHS workplace health and safety (WHS) risk management of service providers refer to HRWH\$ 059 – Framework for the Safety Management Framework of for Contractor & Construction Project Works.

### Legislative requirements

- [Redacted]
- [Redacted]
- WHS Act 2011

### Related policies and plans

- Procurement Policy
- Gifts & Benefits Policy
- Local Preference Policy
- Statement of Business Ethics
- Code of Conduct

## SERVICE PROVIDER MANAGEMENT POLICY: | JULY 2017

- WHS Management Policy
- Risk Management Policy
- Complaints Policy
- Chain of Responsibility Procedure

## Policy

In entering into contracts for the carrying out of work, or the supply of goods & services, Council Officers will have regard to ~~Mid-Western Regional Council's~~ Council's service provider management objectives as set out above.

The general objectives of this policy apply to all service providers regardless of engagement timeframes.

~~Those persons/organisations providing services to Council~~ Council's Service Providers shall be considered to be agents of Council and shall ~~betherefore~~ be required to comply with Council's relevant policies and procedures. ~~Such Breach of the guidelines~~ A breach of these policies and procedures in which you are engaged may result in disciplinary action as specified in this policy.

## Training of Staff

Staff involved in the engagement (and/or management) of ~~service Service providers~~ Providers will be appropriately trained ~~by Procurement~~ in the relevant procedures ~~to be followed~~. This includes:

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Training will be provided based on position requirements:

- To new recruits;
- In line with revision schedules for this policy (see Review date);
- With any major changes to this policy;
- Intermittently, as directed by Executive or the ~~Procurement Manager~~ Procurement, to address known risks.



SERVICE PROVIDER MANAGEMENT POLICY

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Responsibilities

<p><u>Council's General Manager &amp; Directors are responsible for:</u></p>	<ul style="list-style-type: none"> <li>■ <u>The compliance management of the Service Provider Management Policy and other associated policies</u></li> </ul>
<p><u>Council's Project Manager and/or Works Officer/Coordinator/Team Leaders/Managers, Supervisors, Works Officers &amp; Team Leaders are responsible for:</u></p>	<ul style="list-style-type: none"> <li>■ <u>Advising the Manager, Procurement of any proposed tenders</u></li> <li>■ <u>Utilising only Council approved Service Providers and/or obtaining the minimum compliance requirements from Service Providers prior to engagement. This includes Council specific Contractor inductions, insurances, licences requirements and motor vehicle/plant registrations where required</u></li> <li>■ <u>Confirming relevant Service Provider workers compensation and public liability insurance is current prior to them entering a work site;</u></li> <li>■ <u>Confirm validity of the Service Providers Council specific Contractor Induction for specific Service Provider's and their employees that will be entering or working on the projectary Council site;</u></li> <li>■ <u>Sighting Safe Work Method Statement (SWMS) where applicable;</u></li> <li>■ <u>Undertaking site specific inductions and risk assessments;</u></li> <li>■ <u>Ensure compliance with Council's Chain of Responsibility (CoR) Policies &amp; Procedures and the RMS Chain of Responsibility provisions in the Road Transport (General) Regulation 2005;</u></li> <li>■ <u>Investigating and/or eliminating any hazards identified by all Council &amp; Service Provider's employees;</u></li> <li>■ <u>Ensuring relevant work permits are completed where applicable prior to commencing work;</u></li> <li>■ <u>Ensure compliance with all applicable obligations under the Fair Work Act 2009 and the Fair Work Regulations 2009;</u></li> <li>■ <u>Manage the non-conformance of issues to Service Providers All non-conformance of services providers must be documented via HRWHS 026 Council's Notification of Non-Conformance Report –HRWHS 026– to Council's Procurement Manager/Manager, Procurement and Council's WHS Coordinator for investigation and/or action; and</u></li> <li>■ <u>Maintaining probity; and</u></li> <li>■ <u>Ensuring the term and conditions of the relevant Goods/Services/Service Provider contract are relevant, monitored and enforced.</u></li> </ul>

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<p><u>Council's</u> Employees are <u>responsible responsible</u> for:</p>	<p><del>Utilising only Council approved Service Providers and/or obtaining the minimum compliance requirements from Service Providers prior to engagement. This includes Council specific Contractor inductions, insurances, licences and motor vehicle/plant registrations where required</del>  <del>Utilising only Council approved Service Providers and/or obtaining the minimum requirements from Service Providers prior to engagement. This includes Council specific Contractor inductions, insurance requirements and motor vehicle/plant registrations where required</del></p> <ul style="list-style-type: none"> <li>■ <del>UTILISING ONLY COUNCIL APPROVED SERVICE PROVIDERS</del></li> <li>■ <del>Utilise appropriate means of engagement of a service provider (as per Council's Procurement Policy)</del></li> <li>■ <del>Maintain compliance with Council's Chain of Responsibility (CoR) Policies &amp; Procedures and the RMS Chain of Responsibility provisions in the Road Transport (General) Regulation 2005;</del></li> <li>■ <del>Confirming the goods/services received meet Council requirements;</del></li> <li>■ <del>Reporting any hazards and non-conformance identified as a result of work being performed by Service Providers or any other non-conformance to their supervisor/Supervisor;</del></li> <li>■ <del>Ensure compliance with all applicable obligations under the Fair Work Act 2009 and the Fair Work Regulations 2009</del></li> <li>■ <del>Providing appropriate honest feedback on service Service providers Providers as requested by Project Manager and/or Works Officer/Coordinator/Team Leaders; and</del></li> <li>■ <del>Maintaining probity</del></li> </ul>
<p><u>Council's</u> <del>—(Operations)</del> <u>Tendering &amp; Contracts officers</u> <u>Assistants</u> are responsible for:</p>	<ul style="list-style-type: none"> <li>■ <del>Liaising with Manager, Procurement regarding all tenders and Advising the Manager, Procurement of any proposed tenders</del></li> <li>■ <del>Preparation of Contract documents including purchase order requests and relevant information</del></li> <li>■ <del>Maintaining and Forwarding updated preferred service provider lists of new providers as advised by Council's Procurement Manager/Manager, Procurement to relevant staff;</del></li> <li>■ <del>Monitoring the requirements for-of CPI rate increases to or requests for updated rates for Wet &amp; Dry Plant Hire and General Contractor preferred supplier lists relevant preferred service provider lists at the start of each financial contract renewal year or extension period and provide notification to service providers as necessary;</del></li> <li>■ <del>Monitoring and Maintaining compliance of service providers in Vendor Panel for department specific lists; and</del></li> <li>■ <del>Maintaining probity.</del></li> </ul>

<p><u>Council's</u> WHS / Human Resources are responsible for:</p>	<ul style="list-style-type: none"> <li>■ Coordination of the induction of all Service Providers &amp; relevant suppliers as required;</li> <li>■ Managing <del>Contractor</del> Induction renewal registers and advise <del>MWRC Council</del> staff and Service Providers of any updated inductions that are required;</li> <li>■ Advising relevant <del>MWRC Council</del> staff of Service Providers employees that fail to meet induction requirements</li> <li>■ Liaising with the <del>Procurement Manager</del> <del>Manager, Procurement</del> and relevant department managers in the planning of induction training dates; and</li> <li>■ Provide assistance and assessment (where required) to assist in the acceptance of additional service providers and recommended tenderers with regards to risk management.</li> </ul>
<p><u>Council's</u> <del>Procurement Manager</del> <del>Manager,</del> <del>Procurement is/Procurement Staff are</del> responsible for:</p>	<ul style="list-style-type: none"> <li>■ <del>Recommend and manage Policy guidelines and amendments</del></li> <li>■ <del>Providing</del></li> <li>■ <del>Ensuring compliance with</del> <del>Monitoring &amp; reporting on compliance of</del> Councils' <del>Service Provider Management Policy and Council's</del> Procurement Policies &amp; Procedures regarding the engagement of <del>suppliers</del> <del>Service Providers</del> for both goods &amp; services;</li> <li>■ Providing guidance for, or assist in the management of non-conforming <del>service</del> <del>Service providers</del> <del>Providers</del> in accordance with this and other relevant procedures;</li> <li>■ Assisting with the coordination of all Council tenders in conjunction with relevant department managers. The <del>Procurement Manager</del> <del>Manager, Procurement</del> must be advised of any proposed tenders;</li> <li>■ Assessment and undertaking of <del>Council reports approval</del> with regards to additional <del>service</del> <del>Service providers</del> <del>Providers</del>;</li> <li>■ Provide support to <del>Operations</del> <del>Administration Assistants</del> <del>Tendering &amp; Contracts officers to ensure</del> with regards to <del>amendments to preferred order of service</del> <del>Service providers</del> <del>Providers</del> on preferred supplier lists; <del>removal of service providers or additional service providers. This includes delegation of duties to another Council representative where required;</del></li> <li>■ Liaising with Council's WHS Coordinator regarding new and existing <del>service</del> <del>Service providers</del> <del>Providers</del> and non-conformance and any other relevant matter;</li> <li>■ Maintaining security around tendered rates and pricing ; and</li> </ul>

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	<ul style="list-style-type: none"> <li>■ Monitoring and Maintaining maintaining VendorPanel for the organisation as a wholeincluding compliance of service providers</li> <li>■ Monitoring and Maintaining maintaining probityProbity</li> </ul>
<p><u>Service Providers are responsible for:</u></p>	<ul style="list-style-type: none"> <li>■ Ensuring services/goods are executed as directed by Council by ensuring in compliance towith Council policies, procedures, specifications, requirements and expectations and/or as per any relevant Goods and/or Service Contract associated to their engagement;</li> <li>■ Ensuring (&amp; maintaining) appropriate qualifications, training, experience and certifications of competency required by Council for themselves, (their organisation), employees or any representative (including Council specific Inductions for anyone that may enter a Council site of their behalf)any Service Provider persons conducting work under the Contract terms;</li> <li>■ Commit to re-inducting their employees/representative to the Council specific Induction when requested by Council;</li> <li>■ Ensure their employees/representatives carry the Council specific Induction ID on their person at all times and present to Council representatives on site as request (if issued);</li> <li>■ Ensuring a Safe Work Method Statement (SWMS) have been completed for tasks identified as high risk, and are present on site and have been signed by all workers engaged in the task. This includes though is not limited to construction works exceeding \$250,000, and demolitions and/or asbestos removal work that requires a licence;</li> <li>■ Ensuring Safe Work Method Statement (SWMS) are provided in the event of any construction works that may exceed \$250,000 and that involve demolition and/or asbestos works that require licencing</li> <li>■ Ensuring all Risk Assessments are undertaken and copies presented to Council;</li> <li>■ Maintaining the workplace in a safe and healthy manner for themselves, subcontractors and other staff and visitors of Council;</li> <li>■ Raise any issues that may become a WHS concern with Council's nominated officer;</li> <li>■ Ensure compliance with the National Heavy Vehicle Regulator's (NHVR) Chain of Responsibility laws and the RMS Chain of Responsibility provisions in the Road Transport (General) Regulation 2005;</li> <li>■ Ensure that all employees and, as far as practicable all subcontractors employees are paid the correct wages, loadings, allowances, penalties and that any underpayments identified are rectified immediately;</li> <li>■ Maintain adequate insurance coverage and provide copies to Council of updated insurance information including current Certificates of Insurance, policy exemptions and a public liability Certificate of Insurance noting Council as an interested party;</li> </ul>

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	<p><del>Ensuring that their employees and as far as practicable that its subcontractors employees, are paid the correct wages, loadings, allowances and penalties and that any underpayments identified are rectified;</del></p> <ul style="list-style-type: none"><li>■ Ensuring they are complying with all applicable obligations under the Fair Work Act 2009 and Fair Work Regulations 2009;</li><li>■ Ensure accuracy of invoicing and paperwork prior to forwarding to Council;</li><li>■ Specifying their allocated Local Service Provider number on all quotes &amp; tenders (as per Council's Local Preference Policy); and</li><li>■ Maintaining probity.</li></ul>
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REVIEW

## SERVICE PROVIDER MANAGEMENT POLICY

### Engaging a Service Provider

- ~~For all goods & services engagements with a cumulative value (over the term of the contract) a financial value greater than \$50,000, Council's Goods & Services General Conditions of Contract will apply except in the engagement of organisations for the purpose of construction. Appropriate Australian Standard Contracts would be utilised in this instance, however this policy is still relevant with regards to Service Provider Management. All contract arrangements over the abovementioned amount must be placed in Council's Contracts Register.~~
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- All Service Providers that enter a Council site must participate in ~~Council's Centre~~ **Council (specific (Local Government) induction processes, as specified by Council. See Service Provider Induction for further information.**
- ~~For determination of the service provider, WHS requirements are to be demonstrated communicated to the Service Provider prior to engagement (provision of necessary documentation, including sign off and proof of receipt, as required). refer to HRWHS 026 Notification of Non-Conformance Report HRWHS 059 – Framework for the relevant requirements~~

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### Service Provider Selection - Evidence

- It is essential that the process of selection regarding Service Providers is well documented. Tenders for trade services and wet & dry plant hire are generated as both preferred and prequalification lists. The preferred order is utilised up to the threshold nominated in the Tender documentation and for any work over the nominated threshold staff will approach appropriate service providers via Council's electronic quoting system 'VendorPanel' inviting a 'request for quote'.
- Consideration needs to be made when sourcing goods and services from a holistic view with the intent of gaining value for money. Extra costs associated eg floating costs, travel costs or even providers location may move a particular plant/supplier from say No. 3 to No. 1 as

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the overall cost would be lower for that particular item or service. Demonstrating value for money and documenting evidence to justify why the No.3 was selected is an acceptable means of procuring from our preferred supplier lists.

- The inclusion of Local Preference discount must be nominated by the service provider on the quotations/response documents by providing their Local Service Provider number and the application of the discount must be documented by Council staff
- Council's backing sheets must be used as the evidence based document for all preferred supplier engagement.

### Addition of Service Providers to an Existing Procurement Service Arrangement and Suppliers

- ~~Service Providers wanting to be added to Council's existing contracts pre-qualification lists (where a tender has been undertaken e.g. permissible), Service Providers (Trade Services and Wet & Dry Plant Hire) must be provided with Council's Additional Service Provider kit/application for the specified pre-qualification list. Service Providers must complete and return the appropriate application form, EFT authorisation form and include copies of all mandatory documents requested. Applications must shall be forwarded to Council's Procurement Manager/Manager, Procurement and approval must shall be sought from the General Manager (or Council where applicable). On acceptance the Procurement Manager/Manager, Procurement will advise the WHS department to make arrangements for an induction, if deemed necessary, and Operations Assistants to update any relevant lists/the Service Provider directly.~~
  - ~~If the Service Provider has been accepted and the induction process (where required) has been completed, they will be placed on Council's "overflow" list for that particular service or good. In order for Council to utilise this Service Provider, officers must first exhaust all existing original Service Providers prior to engagement. Council's Procurement Manager/Manager, Procurement is responsible for corresponding acceptance by Council to Operations staff, WHS and the service provider~~
  - ~~Should an existing Service Provider wish to add an additional service to their existing services, they will also be placed on the overflow list for that particular service. An example of this would be if a plant hire provider purchased another piece of plant e.g.; they currently have an excavator and purchased a grader, that grader would be deemed additional plant and would go to the overflow list for graders. The only instance where the ranking would remain the same is for replacement plant – provider sold a grader and replaced with exactly the same size grader, noting that updated insurances and registration details would be required to update our system.~~
  - ~~Information and relevant application forms for Additional Service Providers can be obtained from Council's website <http://www.midwestern.nsw.gov.au/business/Doing-Business-With-us/>~~
- ~~Where a prequalification list has been created and a tender not undertaken, Council will forward the Service Provider an invitation via the VendorPanel portal. The Service Provider must complete the registration and attach all compliance information requested.~~

~~Or~~

~~Procurement arrangements include:~~

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SERVICE PROVIDER MANAGEMENT POLICY: | JULY 2017

- [Pre-qualification panels; and](#)
- [Preferred supplier lists \(overflow only\).](#)

[Addition of service providers to existing pre-qualifications list procurement service arrangements can only occur in accordance with the original tender document specifications and associated contract documents. Copies of application documents can be found on Councils website.](#)

### Management of Rates/Pricing

#### ACCESS TO RATES

- All rates/pricing provided to Council are confidential. There are circumstances where rates are exposed, for example those approved for a specific project ie.i.e.: Design & Construct tenders, however only the successful price can be exposed after acceptance from Council. The Council staff recommendation ~~should~~ shall only state '\$XX' for the sum with no actual figure. All rates must be presented in the confidential section of the Business Paper. Once Council/General Manager accepts the report, the minute would then demonstrate the approved pricing/sum for the project.
- In the instance of prequalification or preferred supplier lists, tenders and additional service provider's rates, these ~~are always~~ shall be placed in the confidential section of the business paper to ensure 'commercial in confidence' is maintained. On acceptance of the pre-qualification list tenders ~~the preferred order~~ and rates will remain in the custody of Council's ~~Procurement Manager/Manager, Procurement~~ or the tender contact officer, unless authorised for release to appropriate staff by the General Manager. If rates are authorised for release, staff will be appropriately trained in confidentiality and protection of commercial rates. In the instance that confidentially is compromised, an investigation will be completed and disciplinary action may be taken against the offending staff member will be enforced, as appropriate.

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#### AMENDING TENDERED RATES

- Tendered rates cannot be amended mid-contract unless the original tender documentation and contract specifically permits rate increase considerations. All requests for rate increases must be made in writing to the appropriate Council delegate and must not exceed the most recent annual CPI rate increase (nearest quarter) All Groups (or the rate specified in the tender/contract).
- Any approved increase must be responded to in writing from Council's delegate and forwarded to the ~~Procurement Manager/Manager, Procurement~~.
- When Service Providers are responding to a Request for Quote via VendorPanel, they have the opportunity to review rates ~~either increase or decrease~~ depending on ~~the~~ the requirements. VendorPanel creates an opportunity to allow for competitive environment whilst maintaining value for money for our rate payers.

### Service Provider Induction



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- Service Provider (~~Centre/Council specific /Local Government~~) inductions will remain ~~current valid~~ indefinitely – unless this induction is withdrawn by ~~Mid-Western Regional Council~~ or major amendments are made to the ~~WHS Act~~, in which, a new induction process must be undertaken. Council will notify service providers of any re-induction requirements.
- The induction process is coordinated by Council's WHS department. Service Providers, their employees or any other representative of the service provider will be required to either attend an induction in person or complete an on-line induction. Early renewal or updated inductions may be called at any time deemed necessary by Council, for example where there are changes to WHS legislation, or major changes to Council policies and procedures.
- Site specific inductions will occur as necessary.
- Council employees must confirm validity of service provider inductions prior to engagement and all service providers must have the induction card on their person at all times when working on a Council site. Council reserve the right to randomly request inductions cards at any time from any person on their site. Should evidence of the induction not be supplied, Council reserves the right to stand that person/service provider down immediately.
- ~~The Contractor-Council specific induction may not be undertaken/required in some instances. This is at the discretion of the WHS department/Coordinator.~~

## Service Provider Performance Management

- Non-conformance relates to all activities concerning a Service Provider where processes, actions, equipment or goods fail to meet Council's expected standards. These activities include (but are not limited to) the work whilst being undertaken, completion of works, behaviour of service providers and their employees on Council worksites, condition of plant and equipment and any associated paperwork requirements, for example invoices and risk assessments or goods provided to Council ~~being of poor quality~~.
- Any non-conformance issues identified with a Service Provider must be forwarded to Council's ~~Procurement Manager/Manager, Procurement~~ for assessment. The relevant Council representative must notify the ~~Procurement Manager/Manager, Procurement~~ in writing via Council's non-conformance report describing in detail.
- The report must include detail of any discussions undertaken with the Service Provider regarding the non-conformance. In the event of a WHS non-conformance, Council's WHS Coordinator must also be notified immediately.
- If appropriate, a non-conformance notification will be forwarded to the Service Provider detailing Council's concerns, identified non-conformance and any corrective actions required. Each non-conformance notification must be coded with Council's non-conformance codes. Any correspondence relating to this matter must be placed in Council's record management system.
- Service providers must be issued with a non-conformance notification. For high risk non-conformance the General Manager must be notified, medium risk the Director/Department Manager must be notified and low risk non-conformance the ~~relevant project Manager, Supervisor, Works Officer or Team Leaders project/Project manager/Manager or team leader~~ must be notified.
- All non-conformances ~~requires~~ the completion of a non-conformance report (HRWHS 026) by an authorised Council representative and forwarded to appropriate Manager for

SERVICE PROVIDER MANAGEMENT POLICY: | JULY 2017

authorisation. Once authorised, all non-conformance reports must be forwarded to Council's ~~Procurement Manager~~ **Manager, Procurement** for action.

- Service Providers that have tendered for a pre-qualified or preferred supplier list may be re-prioritised as a consequence from the receipt of a non-conformance. The structure relating to the consequence would be as advised in the tender documentation. All other service providers are based on the non-conformance matrix.
- In the instance of a severe non-conformance (as determined by the Council representative) the Service Provider may be immediately stood down from the site and removed from Council's prequalification list following subsequent investigation.
- Service Providers have right to respond to any non-conformance received. The response must be made in writing and within 14 days of receipt of the non-conformance notification letter.
- Council reserves the right to randomly audit worksites and capture feedback on ~~service~~ **Service providers** ~~Providers~~. All feedback must be captured on Councils' internal feedback forms.

### Superior Performance Management

- ~~Superior performance of a service provider monitors and rewards those service providers that provide outstanding service whilst performing activities for Council. These activities include (but are not limited to) the work whilst being undertaken, completion of works, behaviour of service providers and their employees on Council worksites, condition of plant and equipment or operator suitability.~~
- ~~Superior performance management relates more specifically to service providers that are placed on a pre-qualified or preferred supplier list.~~
- ~~A service provider may ask to be re-evaluated with the intention of Council re-prioritising their preferred order on a list. Superior performance evaluations can only be requested once every 12 months during the contract term.~~
- ~~Suppliers are to provide Council with a written request to be evaluated for superior performance. The request must be addressed to the General Manager and provide full details why the review is justified. The request must include activities performed, and if relevant, specific details to assist with identifying plant, operators etc. On receipt of the request an approved Council representative will be appointed by the General Manager to complete the superior performance evaluation and score suppliers accordingly. The Council representative must also consult with other departments that utilised the same service provider (for the same activity) to ensure a holistic view of the service providers performance is taken into consideration.~~
- ~~The outcome of the evaluation will determine the re-prioritisation process~~

SCORING SCALE

SCORES = 40	RE-PRIORITISATION MUST BE REVIEWED
SCORES = OR > 30	RE-PRIORITISATION CAN BE CONSIDERED
SCORES < 30	WILL NOT BE CONSIDERED FOR RE-PRIORITISATION

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- ~~Service providers will be notified in writing of the outcome of the superior performance evaluation.~~
- ~~In the instance of a 'one-off' project or non-tendered supplier, it would be encouraged that Council representatives complete a review of all service providers at the completion of a project. This information would be documented in Council's record management system for future reference, if required by Council, should the ad-hoc service providers be required in the future.~~
- 

## Supporting Documentation & Forms

- Council's Non-Conformance Matrix
- Council's (Non-Conformance) Consequence Outcomes
- Council's Feedback Form
- ~~Superior Performance Assessment~~
- Council's Backing Sheet
- HRWHS 059 - Framework for the Safety Management of Contractor & Construction Project Works

Note: The above forms are an internal document and are subject to change

## DEFINITIONS

Council means – Mid Western Regional Council (MWRC)

Council's General Manager, Directors, Managers, Supervisors, Works Officers & Team Leaders / WHS / Human Resources/Manager, Procurement & Procurement staff means – any person employed by Council that holds and position of any of the above titles and the associated delegated authority to undertake the engagement of a service provider or the purchase of goods

Council's Employee means – any person that is engaged by Council and has the delegated authority to undertake the engagement of a service provider or the purchase of goods other than those noted above

Service Provider means - Any person or organisation that provides goods and/or services to Council

Probity: Probity is also known as procedural integrity. It is a concept that brings together moral excellence, integrity, uprightness, conscientiousness, honesty, and sincerity in Service Provider Management and Procurement processes.

**1. NON-CONFORMANCE MATRIX**

		SEVERITY			
		>THREE Non-Conformances issued	THREE Non-Conformances issued	TWO Non-Conformances issued	ONE Non-Conformances issued
NON-CONFORMANCE	CATEGORY				
	<b>NC001</b> Compliance	HIGH	MEDIUM	LOW	LOW
	<b>NC002</b> Workmanship Performance Quality	HIGH	MEDIUM	MEDIUM	LOW
	<b>NC003</b> Breach of Council's Policies and/or Procedures	HIGH	HIGH	MEDIUM	MEDIUM
	<b>NC004</b> WHS and/or Environmental	HIGH	HIGH	HIGH	MEDIUM

Non-Conformance	Severity				
	Category	More than three non-conformances issued	Three non-conformances issued	Two non-conformances issued (one serious)	One non-conformance issued (non serious)
	NC001 COMPLIANCE				
	NC002 WORKMANSHIP PERFORMANCE QUALITY				
	NC003 BREACH OF COUNCIL'S POLICIES AND/OR PROCEDURES				
NC004 WHS AND/OR ENVIRONMENTAL					

## 2. CONSEQUENCES

To re-prioritise a preferred supplier list, the consequence is listed below.

### HIGH

**To be considered on a case by case basis:**

1. Investigation and issue of Non-Conformance warning; 2. If Non-Conformance results in serious injury, instant suspension from list for remainder of contract term; OR Suspension pending investigation (if then proven negligent) removal from list for remainder of contract term; 3. Suspension from list for one month – all high risk non-conformances require the General Manager to be notified, and must be formalised by Non-Conformance letter being issued.

### MEDIUM

**To be considered on a case by case basis:**

1. Works to be rectified at service provider's expense with management or improvement plan produced by service provider, or; 2. Suspension for one month; 3. Meeting to discuss issues and performance-improvement agreement made – Direct Manager must be notified and Non-Conformance letter must be issued.

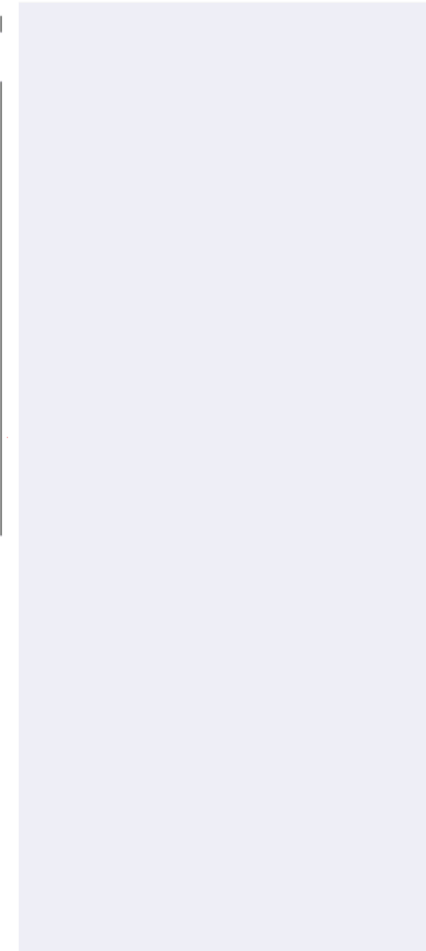
### LOW

**To be considered on a case by case basis:**

Non-Conformance letter must be issued.

<b>HIGH</b>	To be considered on a case by case basis: 1. Investigation and issue NC warning, 2. If results in serious injury - Instantly suspended from list for remainder of contract term or 2. Suspended pending investigation (if then proven negligent) removed from list for remainder of contract term 3. Suspended from list for one month - all high risk non-conformances the General Manager must be notified and must be formalised by NC letter being issued
<b>MED</b>	To be considered on a case by case basis: 1. works to be rectified at service provider expense with Management or improvement plan produced by service provider or 2. Suspended for one month 3. Meeting to discuss issues and performance-improvement agreement made - Direct Manager must be notified and NC letter must be issued
<b>LOW</b>	To be considered on a case by case basis: NC letter must be issued

REVIEW



THIS IS A CONFIDENTIAL DOCUMENT AND IS ONLY TO BE DISCUSSED WITH YOUR DIRECTOR, MANAGER OR COUNCIL'S PROCUREMENT MANAGER



Mid-Western Regional Council  
PO BOX 156, MUDGEE NSW 2850  
88 Market Street MUDGEE  
129 Herbert Street GULGONG  
77 Louise Street PIRISTONE  
Ph: 1300 785 002 or (02) 6378 2850 Fax: (02) 6378 2815  
email: council@midwestern.nsw.gov.au  
www.midwestern.nsw.gov.au

**Service Provider Feedback – Capex**

DATE STAFF NAME

SERVICE PROVIDER NAME

PROJECT

1. What type of work has this service provider performed for you?
2. Did you have any issues with the quality of their work?
3. Were there any safety and/or environmental concerns while they were performing their work?
4. Were there any complaints from the public about these service providers?
5. Was this the first time you used this service provider?
6. Did the service provider meet specified timelines?
7. Did the service provider meet reporting requirements?
8. Did the service provider request variations to the original contract? If so, please provide details.
9. Any further comments?



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**Service Provider Feedback – Capex (cont'd)**  
 EVALUATION FORM

SERVICE PROVIDER NAME \_\_\_\_\_ DATE \_\_\_\_\_  
 SERVICE PROVIDED \_\_\_\_\_ CONTRACT NAME (IE GENERAL CONTRACTOR) \_\_\_\_\_  
 NAME OF MWRC STAFF MEMBER \_\_\_\_\_ PROJECT \_\_\_\_\_

EVALUATION CRITERIA      RATING      COMMENT TO SUPPORT SCORING

Time Management

Standard of Work

Service Provider's Personnel and their ability to undertake works required

Work Health and Safety

Works within Council's Policies and Procedures

Communicates issues or concerns with site supervisor

Overall Performance


**Definition and Relative Weighting Gradings**      THIS TABLE IS A GUIDE. USE THE DEFINITION TO ASSIST YOU WHEN RATING SERVICE PROVIDERS

GRADING	DEFINITION	RATING
<b>Excellent</b>	Standard well above the acceptable standard of performance	5
<b>Good</b>	Standard exceeds the acceptable standard of performance	3 to 4
<b>Satisfactory</b>	Meets the acceptable standard of performance	1 to 2
<b>Unsatisfactory</b>	Well below the acceptable standard of performance	0

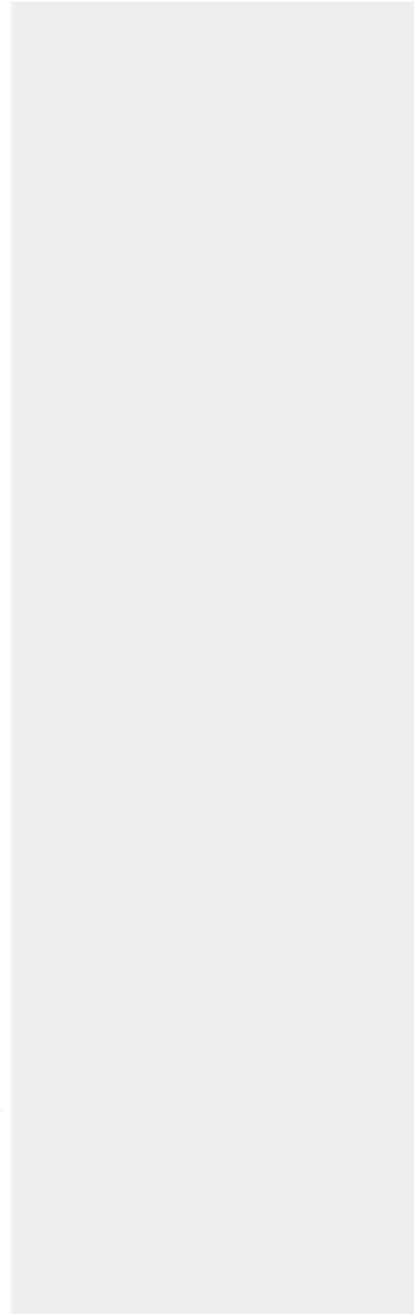
**Sign-off**

NAME (PLEASE PRINT) \_\_\_\_\_ SIGNATURE \_\_\_\_\_

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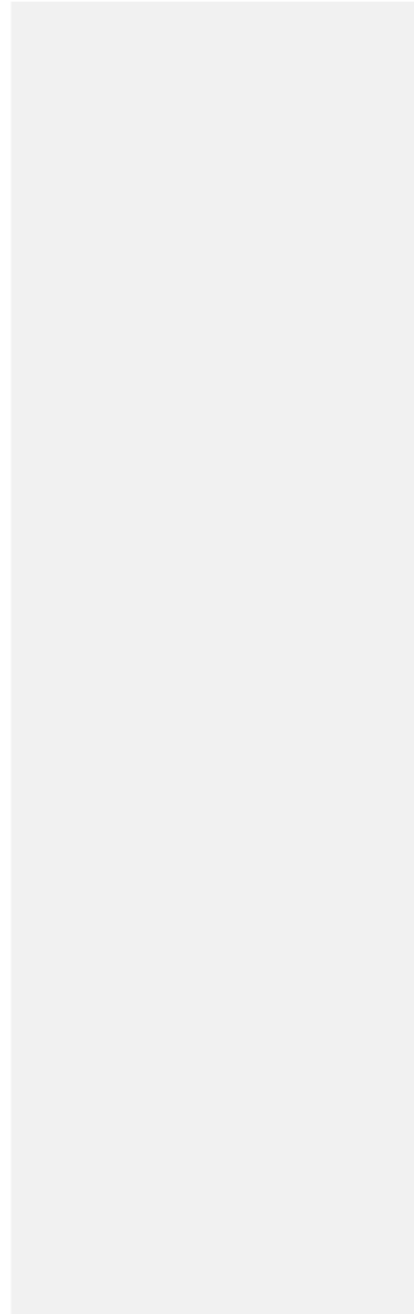
 <b>MWRC Superior Performance Evaluation</b>		
Name of Service Provider: ..... Date: ..... Service Provided: ..... (Project) list: ..... MWRC staff members: ..... Project: .....		
Evaluation Criteria	Rating	Comment to Support Scoring
Provide capable operator/tradesperson to perform work required		
Provide suitable plant and/or equipment		
Standard/quality of work performed		
Works within Council's scope and project timeframes		
Work Health & Safety commitment on site		
Works within Councils Policies & Procedures		
Previous non-conformance notifications received by supplier in the last 12 months		
Overall Performance		
<b>TOTAL:</b>		
Definition and Relative Weighting of Gradings		
Grading	Definition	Rating*
Excellent	Standard well above the acceptable standard of performance	5
Good	Standard exceeds the acceptable standard of performance.	4
Satisfactory	Meets the acceptable standard of performance.	1 to 3
Unsatisfactory	Well below the acceptable standard of performance	0
Scoring Scale		
SCORES = 40	Re-prioritisation must be reviewed	
SCORES = OR > 30	Re-prioritisation can be considered	
SCORES < 30	Will not be considered for re-prioritisation	

Details of Review	
<p>Please provide any further information required with regards to this review. Please ensure that consultation occurs with other departments with regards to this suppliers performance prior to lodging this form. All relevant comments (and staff names) must be detailed here. Full justification as to why or why not this supplier should be reviewed must be included.</p>	
Enter details here	
THIS IS A CONFIDENTIAL DOCUMENT AND IS ONLY TO BE DISCUSSED WITH YOUR DIRECTOR, MANAGER OR COUNCIL'S PROCUREMENT MANAGER	
Reviewed By: .....	Approved By: .....
(signature)	(signature)
Name: .....	.....
(please print)	(please print)
Re-prioritisation approved YES / NO (please circle)	




<b>Quote Backing Sheet - Plant Hire (Wet &amp; Dry)</b> <small>This form is to be used when engaging any supplier from a preferred supplier list</small>			
<b>Requested by:</b>		<b>Position:</b>	
<b>Type/size of plant:</b>			
<b>Basic Scope Requirements:</b>			
	<b>No 1</b>	<b>No 2</b>	<b>No 3</b>
<b>Company Name:</b>			
<b>Contact Person:</b>			
<b>Plant Requested</b>			
<b>Required From/To:</b>			
<b>Available/Unavailable:</b>	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>Notes:</b>			
Sheet1			
<small>Version 2      Please attach this form to your purchase order      Rev Date: Mar 17</small>			

REVIEW



**Quote Backing Sheet - Trade Services**  
This form is to be used when engaging any supplier from a preferred supplier list



Requested by:		Position:	
Type/size of plant:			
Basic Scope Requirements:			
	No 1	No 2	No 3
Company Name:			
Contact Person:			
Plant Requested			
Required From/To:			
Available/Unavailable:	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>	Yes <input type="checkbox"/> No <input type="checkbox"/>
Notes:			
Sheet1			
Version 2      Please attach this form to your purchase order      Rev Date: Mar 17			



POLICY

Service Provider Management Policy

*A prosperous  
and progressive  
community*

ADOPTED		VERSION NO	2.0
COUNCIL MEETING MIN NO	163/19	REVIEW DATE	JUNE 2020
DATE	19 JUNE 2019	FILE NUMBER	COR400089

## Objective

This policy aims to ensure Mid-Western Regional Council's ('Council) expectations and management of service providers is legal, ethical and transparent for all parties. It is to provide guidance in the selection, management and monitoring of service providers engaged by Mid-Western Regional Council. The outcomes of this policy are:

- Clear & Defined Expectations & Responsibilities
- Performance Management Criteria & Matrix
- Ethical Behaviour & Fair dealing
- Maintaining a High Standard of Health & Safety Management
- Protection of Service Provider Pricing, Rates and intellectual property

This procedure applies to all Council workplaces including though not limited to depots, buildings and worksites. The procedure covers the selection, management and monitoring of Service Providers associated with the supply of goods and/or services to Council and all Service Providers engaged by Council for the purpose of maintenance, repairs and capital works, including those selected via a tender or a formal contract process. This procedure also encompasses other services engaged by Council such as training providers or consultants.

For workplace health and safety (WHS) risk management of service providers refer to HRWHS 059 – Safety Management Framework for Contractor & Construction Project Works.

## Legislative requirements

- WHS Act 2011

## Related policies and plans

- Procurement Policy
- Gifts & Benefits Policy
- Local Preference Policy
- Statement of Business Ethics
- Code of Conduct
- WHS Management Policy
- Risk Management Policy
- Complaints Policy
- Chain of Responsibility Procedure

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## Policy

In entering into contracts for the carrying out of work, or the supply of goods & services, Council Officers will have regard to Council's service provider management objectives as set out above.

The general objectives of this policy apply to all service providers regardless of engagement timeframes.

Council's Service Providers shall be considered to be agents of Council and therefore required to comply with Council's relevant policies and procedures. A breach of these policies and procedures may result in disciplinary action as specified in this policy.

## Training of Staff

Staff involved in the engagement (and/or management) of Service Providers will be appropriately trained by Procurement in the relevant procedures.

Training will be provided based on position requirements:

- To new recruits;
- In line with revision schedules for this policy (see Review date);
- With any major changes to this policy;
- Intermittently, as directed by Executive or the Manager Procurement, to address known risks.



**Responsibilities**

<p>Council's General Manager &amp; Directors are responsible for:</p>	<ul style="list-style-type: none"> <li>■ The compliance management of the Service Provider Management Policy and other associated policies</li> </ul>
<p>Council's Managers, Supervisors, Works Officers &amp; Team Leaders are responsible for:</p>	<ul style="list-style-type: none"> <li>■ Advising the Manager, Procurement of any proposed tenders</li> <li>■ Utilising <u>only</u> Council approved Service Providers and/or obtaining the minimum compliance requirements from Service Providers prior to engagement. This includes Council specific Contractor inductions, insurances, licences and motor vehicle/plant registrations where required</li> <li>■ Confirming relevant Service Provider workers compensation and public liability insurance is current prior to them entering a work site;</li> <li>■ Confirm validity of the Service Providers Council specific Contractor Induction and their employees that will be entering or working on any Council site;</li> <li>■ Sighting Safe Work Method Statement (SWMS) where applicable;</li> <li>■ Undertaking site specific inductions and risk assessments;</li> <li>■ Ensure compliance with Council's Chain of Responsibility (CoR) Policies &amp; Procedures and the RMS Chain of Responsibility provisions in the Road Transport (General) Regulation 2005;</li> <li>■ Investigating and/or eliminating any hazards identified by all Council &amp; Service Provider's employees;</li> <li>■ Ensuring relevant work permits are completed where applicable prior to commencing work;</li> <li>■ Ensure compliance with all applicable obligations under the Fair Work Act 2009 and the Fair Work Regulations 2009;</li> <li>■ Manage non-conformance issues to Service Providers via HRWHS 026 Notification of Non-Conformance Report to Council's Manager, Procurement and WHS Coordinator for investigation and/or action;</li> <li>■ Maintaining probity; and</li> <li>■ Ensuring the term and conditions of the relevant Service Provider contract are relevant, monitored and enforced.</li> </ul>

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<p>Council's Employees are responsible for:</p>	<ul style="list-style-type: none"> <li>■ Utilising <u>only</u> Council approved Service Providers and/or obtaining the minimum compliance requirements from Service Providers prior to engagement. This includes Council specific Contractor inductions, insurances, licences and motor vehicle/plant registrations where required;</li> <li>■ Maintain compliance with Council's Chain of Responsibility (CoR) Policies &amp; Procedures and the RMS Chain of Responsibility provisions in the Road Transport (General) Regulation 2005;</li> <li>■ Confirming the goods/services received meet Council requirements;</li> <li>■ Reporting any hazards and non-conformance identified as a result of work being performed by Service Providers or any other non-conformance to their Supervisor;</li> <li>■ Providing appropriate honest feedback on Service Providers as requested by Project Manager and/or Works Officer/Coordinator/Team Leaders; and</li> <li>■ Maintaining probity</li> </ul>
<p>Council's Tendering &amp; Contracts officers are responsible for:</p>	<ul style="list-style-type: none"> <li>■ Liaising with Manager, Procurement regarding all tenders and Advising the Manager, Procurement of any proposed tenders</li> <li>■ Preparation of Contract documents including purchase order requests and relevant information</li> <li>■ Maintaining and forwarding updated preferred service provider lists of new providers as advised by Council's Manager Procurement to relevant staff;</li> <li>■ Monitoring the requirements of CPI rate increase to or requests for updated rates for relevant preferred service provider lists at the start of each contract renewal or extension period and provide notification to service providers as necessary;</li> <li>■ Monitoring and maintaining compliance of service providers in VendorPanel for department specific lists; and</li> <li>■ Maintaining probity.</li> </ul>
<p>Council's WHS / Human Resources are responsible for:</p>	<ul style="list-style-type: none"> <li>■ Coordination of the induction of Service Providers &amp; relevant suppliers as required;</li> <li>■ Managing Induction renewal registers and advise Council staff and Service Providers of any updated inductions that are required;</li> <li>■ Advising relevant Council staff of Service Providers employees that fail to meet induction requirements</li> <li>■ Liaising with the Manager Procurement and relevant department managers in the planning of induction training dates; and</li> </ul>

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	<ul style="list-style-type: none"> <li>■ Provide assistance and assessment (where required) to assist in the acceptance of additional service providers and recommended tenderers with regards to risk management.</li> </ul>
<p>Council's Manager, Procurement is responsible for:</p>	<ul style="list-style-type: none"> <li>■ Recommend and manage Policy guidelines and amendments</li> <li>■ Providing</li> <li>■ Monitoring &amp; reporting on compliance of Councils' Service Provider Management Policy and Council's Procurement Policies &amp; Procedures regarding the engagement of Service Providers for both goods &amp; services;</li> <li>■ Providing guidance for, or assist in the management of non-conforming Service Providers in accordance with this and other relevant procedures;</li> <li>■ Assisting with the coordination of all Council tenders in conjunction with relevant department managers. The Manager, Procurement <u>must</u> be advised of any proposed tenders;</li> <li>■ Assessment and undertaking of approval with regards to additional Service Providers;</li> <li>■ Provide support to Tendering &amp; Contracts officers to ensure</li> <li>■ Liaising with Council's WHS Coordinator regarding new and existing Service Providers and non-conformance and any other relevant matter;</li> <li>■ Maintaining security around tendered rates and pricing ; and</li> <li>■ Monitoring and maintaining VendorPanel for the organisation as a whole</li> </ul> <p>Monitoring and maintaining Probity</p>
<p>Service Providers are responsible for:</p>	<ul style="list-style-type: none"> <li>■ Ensuring services/goods are executed as directed by Council in compliance with Council policies, procedures, specifications, requirements and expectations and/or any relevant Goods and/or Service Contract associated to their engagement;</li> <li>■ Ensuring &amp; maintaining appropriate qualifications, training, experience and certifications of competency required by Council for any Service Provider persons conducting work under the Contract terms;</li> <li>■ Commit to re-inducting their employees/representative to the Council specific induction when requested by Council;</li> <li>■ Ensure their employees/representatives carry the Council specific induction ID on their person at all times and present to Council representatives on site as request (if issued);</li> </ul>

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|  | <ul style="list-style-type: none"> <li>■ Ensuring SWMS have been completed for tasks identified as high risk, are present on site and have been signed by all workers engaged in the task. This includes though is not limited to construction works exceeding \$250,000, and demolitions and/or asbestos removal work that requires a licence;</li> <li>■ Ensuring all Risk Assessments are undertaken and copies presented to Council;</li> <li>■ Maintaining the workplace in a safe and healthy manner for themselves, subcontractors and other staff and visitors of Council;</li> <li>■ Raise any issues that may become a WHS concern with Council's nominated officer;</li> <li>■ Ensure compliance with the National Heavy Vehicle Regulator's (NHVR) Chain of Responsibility laws and the RMS Chain of Responsibility provisions in the Road Transport (General) Regulation 2005;</li> <li>■ Ensure that all employees and, as far as practicable all subcontractors employees are paid the correct wages, loadings, allowances, penalties and that any underpayments identified are rectified immediately;</li> <li>■ Maintain adequate insurance coverage and provide copies to Council of updated insurance information including current Certificates of Insurance, policy exemptions and a public liability Certificate of Insurance noting Council as an interested party;</li> <li>■ Ensuring they are complying with all applicable obligations under the Fair Work Act 2009 and Fair Work Regulations 2009;</li> <li>■ Ensure accuracy of invoicing and paperwork prior to forwarding to Council;</li> <li>■ Specifying their allocated Local Service Provider number on all quotes &amp; tenders (as per Council's Local Preference Policy); and</li> <li>■ Maintaining probity.</li> </ul> |
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## Engaging a Service Provider

- For all goods & services engagements with a cumulative value (over the term of the contract) a financial value greater than \$50,000, Council's Goods & Services General Conditions of Contract will apply except in the engagement of organisations for the purpose of construction. Appropriate Australian Standard Contracts would be utilised in this instance, however this policy is still relevant with regards to Service Provider Management. All contract arrangements over the abovementioned amount must be placed in Council's Contracts Register.
- When a requirement is identified that cannot be provided or undertaken by a Council employee, the person requiring this good/service must estimate potential costs associated with the requirement for that particular service. Council have preferred/prequalification lists for several services, including but not limited to: Trade Services, Wet & Dry Plant hire and also many contracts for the provision of goods. Council must engage suppliers or purchase goods based on a spend basis as noted in Council's Procurement Policy and make inclusive to their decision, consideration for Council's Local Preference Policy
- When engaging a Service Provider that is not on a prequalification list, necessary requirements are to be discussed with the Manager, Procurement, prior to engagement or commitment of any service or goods. If acceptable, the Service Provider may be required to undertake several steps prior to engagement e.g. Register on Council's Marketplace or complete Additional Service Provider application forms.
- In some instances a non-tendered pre-qualification list may be established in VendorPanel for commonly used service providers enabling Council to capture and maintain compliance information. Council must also obtain relevant compliance information prior to the engagement of any supplier
- All Service Providers that enter a Council site must participate in induction processes, as specified by Council. See Service Provider Induction for further information.

WHS requirements are to be communicated to the Service Provider prior to engagement (provision of necessary documentation, including sign off and proof of receipt, as required).

## Service Provider Selection - Evidence

- It is essential that the process of selection regarding Service Providers is well documented. Tenders for trade services and wet & dry plant hire are generated as both preferred and prequalification lists. The preferred order is utilised up to the threshold nominated in the Tender documentation and for any work over the nominated threshold staff will approach appropriate service providers via Council's electronic quoting system 'VendorPanel' inviting a 'request for quote'.
- Consideration needs to be made when sourcing goods and services from a holistic view with the intent of gaining value for money. Extra costs associated eg floating costs, travel costs or even providers location may move a particular plant/supplier from say No. 3 to No. 1 as the overall cost would be lower for that particular item or service. Demonstrating value for money and documenting evidence to justify why the No.3 was selected is an acceptable means of procuring from our preferred supplier lists.
- The inclusion of Local Preference discount must be nominated by the service provider on the quotations/response documents by providing their Local Service Provider number and the application of the discount must be documented by Council staff

- Council's backing sheets must be used as the evidence based document for all preferred supplier engagement.

## Addition of Service Providers to an Existing Procurement Service Arrangement

Procurement arrangements include:

- Pre-qualification panels; and
- Preferred supplier lists (overflow only).

Addition of service providers to existing procurement service arrangements can only occur in accordance with the original tender document specifications and associated contract documents. Copies of application documents can be found on Councils website.

## Management of Rates/Pricing

### ACCESS TO RATES

- All rates/pricing provided to Council are confidential. There are circumstances where rates are exposed, for example those approved for a specific project i.e.: Design & Construct tenders, however only the successful price can be exposed after acceptance from Council. The Council staff recommendation shall only state '\$XX' for the sum with no actual figure. All rates must be presented in the confidential section of the Business Paper. Once Council/General Manager accepts the report, the minute would then demonstrate the approved pricing/sum for the project.
- In the instance of prequalification or preferred supplier lists, tenders and additional service provider's rates, these shall be placed in the confidential section of the business paper to ensure 'commercial in confidence' is maintained. On acceptance of the pre-qualification list tenders the preferred order and rates will remain in the custody of Council's Manager, Procurement or the tender contact officer, unless authorised for release to appropriate staff by the General Manager. If rates are authorised for release, staff will be appropriately trained in confidentiality and protection of commercial rates. In the instance that confidentiality is compromised, an investigation will be completed and disciplinary action will be enforced, as appropriate.

### AMENDING TENDERED RATES

- Tendered rates cannot be amended mid-contract unless the original tender documentation and contract specifically permits rate increase considerations. All requests for rate increases must be made in writing to the appropriate Council delegate and must not exceed the most recent annual CPI rate increase (nearest quarter) All Groups (or the rate specified in the tender/contract).
- Any approved increase must be responded to in writing from Council's delegate and forwarded to the Manager Procurement.
- When Service Providers are responding to a Request for Quote via VendorPanel, they have the opportunity to review rates depending on the requirements. VendorPanel creates an

opportunity to allow for competitive environment whilst maintaining value for money for our rate payers.

## Service Provider Induction

- Service Provider Council specific inductions will remain valid indefinitely – unless this induction is withdrawn by Council or major amendments are made to the WHS Act, in which, a new induction process must be undertaken. Council will notify service providers of any re-induction requirements.
- The induction process is coordinated by Council's WHS department. Service Providers, their employees or any other representative of the service provider will be required to either attend an induction in person or complete an on-line induction. Early renewal or updated inductions may be called at any time deemed necessary by Council, for example where there are changes to WHS legislation, or major changes to Council policies and procedures.
- Site specific inductions will occur as necessary.
- Council employees must confirm validity of service provider inductions prior to engagement and all service providers must have the induction card on their person at all times when working on a Council site. Council reserve the right to randomly request inductions cards at any time from any person on their site. Should evidence of the induction not be supplied, Council reserves the right to stand that person/service provider down immediately.
- The Council specific induction may not be required in some instances. This is at the discretion of the WHS Coordinator.

## Service Provider Performance Management

- Non-conformance relates to all activities concerning a Service Provider where processes, actions, equipment or goods fail to meet Council's expected standards. These activities include (but are not limited to) the work whilst being undertaken, completion of works, behaviour of service providers and their employees on Council worksites, condition of plant and equipment and any associated paperwork requirements, for example invoices and risk assessments or goods provided to Council.
- Any non-conformance issues identified with a Service Provider must be forwarded to Council's Manager, Procurement for assessment. The relevant Council representative must notify the Manager, Procurement in writing via Council's non-conformance report describing in detail.
- The report must include detail of any discussions undertaken with the Service Provider regarding the non-conformance. In the event of a WHS non-conformance, Councils' WHS Coordinator must also be notified immediately.
- If appropriate, a non-conformance notification will be forwarded to the Service Provider detailing Council's concerns, identified non-conformance and any corrective actions required. Each non-conformance notification must be coded with Council's non-conformance codes. Any correspondence relating to this matter must be placed in Council's record management system.

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- Service providers must be issued with a non-conformance notification. For high risk non-conformance the General Manager must be notified, medium risk the Director/Department Manager must be notified and low risk non-conformance the relevant project Manager, Supervisor, Works Officer or Team Leaders must be notified.
- All non-conformance requires the completion of a non-conformance report (HRWHS 026) by an authorised Council representative and forwarded to appropriate Manager for authorisation. Once authorised, all non-conformance reports must be forwarded to Council's Manager, Procurement for action.
- ~~Service Providers that have tendered (and accepted) for a preferred supplier list may be reprioritised as a consequence from the receipt of a non-conformance and/or face potential removal as per the matrix depending on the severity of the breach. All other service providers are based on the non-conformance matrix and the severity of the breach. Service Providers that have tendered for a pre-qualified or preferred supplier list may be re-prioritised as a consequence from the receipt of a non-conformance. The structure relating to the consequence would be as advised in the tender documentation. All other service providers are based on the non-conformance matrix.~~
- In the instance of a severe non-conformance (as determined by the Council representative) the Service Provider may be immediately stood down from the site and removed from Council's prequalification list following subsequent investigation.
- Service Providers have right to respond to any non-conformance received. The response must be made in writing and within 14 days of receipt of the non-conformance notification letter.
- Council reserves the right to randomly audit worksites and capture feedback on Service Providers. All feedback must be captured on Councils' internal feedback forms.

## Supporting Documentation & Forms

- Council's Non-Conformance Matrix
- Council's (Non-Conformance) Consequence Outcomes
- Council's Feedback Form
- Council's Backing Sheet
- HRWHS 059 - Framework for the Safety Management of Contractor & Construction Project Works

Note: The above forms are an internal document and are subject to change

## DEFINITIONS

Council means – Mid Western Regional Council (MWRC)

Council's General Manager, Directors, Managers, Supervisors, Works Officers & Team Leaders / WHS / Human Resources/Manager, Procurement & Procurement staff means – any person



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employed by Council that holds and position of any of the above titles and the associated delegated authority to undertake the engagement of a service provider or the purchase of goods

Council's Employee means – any person that is engaged by Council and has the delegated authority to undertake the engagement of a service provider or the purchase of goods other than those noted above

Service Provider means - Any person or organisation that provides goods and/or services to Council

Probity: Probity is also known as procedural integrity. It is a concept that brings together moral excellence, integrity, uprightness, conscientiousness, honesty, and sincerity in Service Provider Management and Procurement processes.

**1. NON-CONFORMANCE MATRIX**

		SEVERITY			
		>THREE Non-Conformances issued	THREE Non-Conformances issued	TWO Non-Conformances issued	ONE Non-Conformances issued
NON-CONFORMANCE	CATEGORY				
	<b>NC001</b> Compliance	HIGH	MEDIUM	LOW	LOW
	<b>NC002</b> Workmanship Performance Quality	HIGH	MEDIUM	MEDIUM	LOW
	<b>NC003</b> Breach of Council's Policies and/or Procedures	HIGH	HIGH	MEDIUM	MEDIUM
	<b>NC004</b> WHS and/or Environmental	HIGH	HIGH	HIGH	MEDIUM

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## 2. CONSEQUENCES

To re-prioritise a preferred supplier list, the consequence is listed below.

<b>HIGH</b>	<b>To be considered on a case by case basis:</b> 1. Investigation and issue of Non-Conformance warning; 2. If Non-Conformance results in serious injury, instant suspension from list for remainder of contract term; OR Suspension pending investigation (if then proven negligent) removal from list for remainder of contract term; 3. Suspension from list for one month – all high risk non-conformances require the General Manager to be notified, and must be formalised by Non-Conformance letter being issued.
<b>MEDIUM</b>	<b>To be considered on a case by case basis:</b> 1. Works to be rectified at service provider's expense with management or improvement plan produced by service provider, or; 2. Suspension for one month; 3. Meeting to discuss issues and performance-improvement agreement made – Direct Manager must be notified and Non-Conformance letter must be issued.
<b>LOW</b>	<b>To be considered on a case by case basis:</b> Non-Conformance letter must be issued.