



Shire of Northam  
*Heritage, Commerce and Lifestyle*

## **Shire of Northam**

### **Minutes**

### **Audit & Risk Management**

### **Committee Meeting**

**24 February 2022**

UNCONFIRMED

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## 1. DECLARATION OF OPENING

The Shire President, Cr C R Antonio declared the meeting open at 5:18pm.

## 2. ACKNOWLEDGEMENT TO COUNTRY

The Shire President, Cr C R Antonio acknowledged the Traditional Owners of the land on which we meet, the Ballardong and Whadjuk people of the Nyoongar nation and paid our respects to Elders, past, present and emerging.

## 3. ATTENDANCE

### Committee:

Shire President	Cr C R Antonio
Deputy Shire President	Cr M P Ryan at 5:18pm
Councillors	Cr H Appleton

### Staff:

Chief Executive Officer	J B Whiteaker
Executive Manager Corporate Services	C Young
Coordinator Governance / Administration	C Greenough

### 3.1 APOLOGIES

Councillor	Cr A J Mencshelyi
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### 3.2 APPROVED LEAVE OF ABSENCE

Nil.

### 3.3 ABSENT

Nil.

## 4. DISCLOSURE OF INTERESTS

Nil.

*Members should fill in Disclosure of Interest forms for items in which they have a financial, proximity or impartiality interest and forward these to the Presiding Member before the meeting commences.*

*As defined in section 5.60A of the Local Government Act 1995, a **financial interest** occurs where a Councillor / Committee Member, or a person with whom the Councillor / Committee Member is closely associated, has a direct or indirect financial interest in the matter. That is, the person stands to make a financial gain or loss from the decision, either now or at some time in the future.*

As defined in section 5.61 of the Local Government Act 1995, an **indirect financial** interest includes a reference to a financial relationship between that person and another person who requires a Local Government decision in relation to the matter.

As defined in section 5.60B of the Local Government Act 1995, a person has a **proximity interest** in a matter if the matter concerns a proposed change to a planning scheme affecting land that adjoins the person's land; or a proposed change to the zoning or use of land that adjoins the person's land; or a proposed development (as defined in section 5.63(5)) of land that adjoins the person's land.

As defined in 34C of the Local Government (Administration) Regulations 1996, an **impartiality interest** means an interest that could, or could reasonably be perceived to, adversely affect the impartiality of the person having the interest and includes an interest arising from kinship, friendship or membership of an association.

## 5. CONFIRMATION OF MINUTES

### 5.1 COMMITTEE MEETING HELD ON 1 DECEMBER 2021

#### RECOMMENDATION / COMMITTEE DECISION

Minute No: AU.210

Moved: Cr Appleton

Seconded: Cr Ryan

That the minutes of the Audit & Risk Management Committee meeting held on 1 December 2021 be confirmed as a true and correct record of that meeting.

CARRIED 3/0

## 6. COMMITTEE REPORTS

### 6.1 COMPLIANCE AUDIT RETURN

<b>File Reference:</b>	1.6.1.6
<b>Reporting Officer:</b>	Cheryl Greenough, Coordinator Governance / Administration
<b>Responsible Officer:</b>	Colin Young, Executive Manager Corporate Services
<b>Officer Declaration of Interest:</b>	Nil
<b>Voting Requirement:</b>	Simple Majority
<b>Press release to be issued:</b>	No

#### BRIEF

This report is to provide information to assist Council in the adoption of the 2021 Compliance Audit Return (CAR).

#### ATTACHMENTS

Attachment 1: Compliance Audit Return 2021

#### A. BACKGROUND / DETAILS

Under the Local Government (Audit) Regulations 1996, a Local Government is required to carry out a Compliance Audit for the period 1 January to 31 December of each year. The certified return should be submitted to the Director General, Department of Local Government and Regional Development by 31 March each year.

The Compliance Audit Return must be:

1. Presented to Council at a meeting of the Council;
2. Be adopted by the Council; and
3. Recorded in the minutes of the meeting at which it is adopted.

In relation to the year 2021 a copy of the return is to be submitted for Councillor's perusal, comment and adoption prior to 31 March 2022. It is necessary for the Shire President and the Chief Executive Officer to sign off the return as a certified copy.

The 2021 Compliance Audit Return has been completed in house, with the CEO and senior staff reviewing and approving the completed return. The compliance review process provides both the CEO and the Council with an additional element of accountability through a check on internal

management systems, procedures and record keeping and this demonstrates the Shire's emphasis on improving its good governance, compliance, and best practice.

## **B. CONSIDERATIONS**

### **B.1 Strategic Community / Corporate Business Plan**

Theme Area 1: Economic Growth.

Outcome 1.2: Local businesses are valued and supported by investors and residents within the Shire of Northam.

Objective: Encourage local consumers to 'buy local' and support local businesses.

### **B.2 Financial / Resource Implications**

Nil.

### **B.3 Legislative Compliance**

*Local Government Act 1995;*

*Local Government (Functions and General) Regulations 1996;*

*Local Government (Administration) Regulations 1996;*

*Local Government (Elections) Regulations 1997;*

*Local Government (Audit) Regulations 1996;*

*Local Government (Rules of Conduct) Regulations 2007.*

### **B.4 Policy Implications**

Nil.

### **B.5 Stakeholder Engagement / Consultation**

All senior staff were asked to review the document and make any comments.

### **B.6 Risk Implications**

<b>Risk Category</b>	<b>Description</b>	<b>Rating (likelihood x consequence)</b>	<b>Mitigation Action</b>
Financial	Nil		
Health & Safety	Nil		
Reputation	Any non-compliance could impact staff and members of the community and may give them a poor reflection of dealing with Council.	Unlikely (2) x Minor (2) = Low (4)	Put processes into place to mitigate non-compliance

Service Interruption	Nil		
Compliance	It is a Legislative requirement of Council which must be adhered to.	Low (3) x Medium (3) = Moderate (9)	A monthly Compliance Calendar assists the Shire to ensure Legislation is adhered to
Property	Nil		
Environment	Nil		

### **B.7 Natural Environment Considerations**

N/A.

### **C. OFFICER'S COMMENT**

The standard of compliance in 2021 was exceptional. Each year the Shire strives to improve the services it provides to stakeholders both internal and external. The 2021 CAR is a further improvement on previous years.

This year there were eleven (11) categories with a total of ninety six (96) questions.

<b>TITLE</b>	<b>NUMBER OF QUESTIONS</b>	<b>PERCENTAGE</b>
Commercial Enterprises	5	100%
Delegation of Power/Duty	13	100%
Disclosure of Interests	25	100%
Disposal of Property	2	100%
Elections	3	100%
Finance	7	100%
Integrated Planning & Reporting	3	100%
Local Government Employees	6	100%
Official Conduct	3	100%
Optional Questions	7	100%
Tenders for Goods & Services	22	100%

This year there has been 100% compliance in all categories. You will note in question 4, of Disclosure of Interests, there is notation that a Councillor did not do his Primary Return within the allotted timeframe, however the reason for this is stated in the Act. As the re-elected Councillor had lodged a return in the previous year, he was not required to submit a primary return within 3 months.



The Local Government Act 1995 s5.75. states:

Primary returns

- (1) A relevant person other than the CEO must lodge with the CEO a primary return in the prescribed form within 3 months of the start day
- (3) This section does not apply to a person who —
  - (a) has lodged a return within the previous year;

Penalty: \$10 000 or imprisonment for 2 years.

**RECOMMENDATION / COMMITTEE DECISION**

Minute No: AU.211

Moved: Cr Ryan  
Seconded: Cr Appleton

That Council adopt the attached 2021 Audit Compliance Report as required, prior to submission to the Department of Local Government, Sport and Cultural Industries.

**CARRIED 3/0**

## Attachment 1

Department of Local Government, Sport and Cultural Industries - Compliance Audit Return



Department of  
Local Government, Sport  
and Cultural Industries

### Northam - Compliance Audit Return 2021

#### Certified Copy of Return

Please submit a signed copy to the Director General of the Department of Local Government, Sport and Cultural Industries together with a copy of the relevant minutes.

Commercial Enterprises by Local Governments						
No	Reference	Question	Response	Comments	Respondent	
1	s3.59(2)(a) F&G Regs 7,9,10	Has the local government prepared a business plan for each major trading undertaking that was not exempt in 2021?	N/A		Cheryl Greenough	
2	s3.59(2)(b) F&G Regs 7,8A, 8, 10	Has the local government prepared a business plan for each major land transaction that was not exempt in 2021?	N/A		Cheryl Greenough	
3	s3.59(2)(c) F&G Regs 7,8A, 8,10	Has the local government prepared a business plan before entering into each land transaction that was preparatory to entry into a major land transaction in 2021?	N/A		Cheryl Greenough	
4	s3.59(4)	Has the local government complied with public notice and publishing requirements for each proposal to commence a major trading undertaking or enter into a major land transaction or a land transaction that is preparatory to a major land transaction for 2021?	N/A		Cheryl Greenough	
5	s3.59(5)	During 2021, did the council resolve to proceed with each major land transaction or trading undertaking by absolute majority?	N/A		Cheryl Greenough	

Department of Local Government, Sport and Cultural Industries - Compliance Audit Return



Delegation of Power/Duty					
No	Reference	Question	Response	Comments	Respondent
1	s5.16	Were all delegations to committees resolved by absolute majority?	N/A		Cheryl Greenough
2	s5.16	Were all delegations to committees in writing?	N/A		Cheryl Greenough
3	s5.17	Were all delegations to committees within the limits specified in section 5.17?	N/A		Cheryl Greenough
4	s5.18	Were all delegations to committees recorded in a register of delegations?	N/A		Cheryl Greenough
5	s5.18	Has council reviewed delegations to its committees in the 2020/2021 financial year?	N/A		Cheryl Greenough
6	s5.42(1) & s5.43 Admin Reg 18G	Did the powers and duties delegated to the CEO exclude those listed in section 5.43 of the Act?	Yes	At the OCM 16/6/21	Cheryl Greenough
7	s5.42(1)	Were all delegations to the CEO resolved by an absolute majority?	Yes	Yes they were item 13.1.1	Cheryl Greenough
8	s5.42(2)	Were all delegations to the CEO in writing?	Yes	Yes all were noted in the Minutes	Cheryl Greenough
9	s5.44(2)	Were all delegations by the CEO to any employee in writing?	Yes	OCM 17/11/21 delegation A06 and B11	Cheryl Greenough
10	s5.16(3)(b) & s5.45(1)(b)	Were all decisions by the council to amend or revoke a delegation made by absolute majority?	Yes	All made by Absolute Majority Item 13.1.2	Cheryl Greenough
11	s5.46(1)	Has the CEO kept a register of all delegations made under Division 4 of the Act to the CEO and to employees?	Yes		Cheryl Greenough
12	s5.46(2)	Were all delegations made under Division 4 of the Act reviewed by the delegator at least once during the 2020/2021 financial year?	Yes	Reviewed and adopted 16/6/21	Cheryl Greenough
13	s5.46(3) Admin Reg 19	Did all persons exercising a delegated power or duty under the Act keep, on all occasions, a written record in accordance with Admin Reg 19?	Yes		Cheryl Greenough
Disclosure of Interest					
No	Reference	Question	Response	Comments	Respondent
1	s5.67	Where a council member disclosed an interest in a matter and did not have participation approval under sections 5.68 or 5.69, did the council member ensure that they did not remain present to participate in discussion or decision making relating to the matter?	Yes	All Councillors left the room and did not participate. In the July Special meeting the item was broken into sections to allow Councillors to leave only when their section came up	Cheryl Greenough

Department of Local Government, Sport and Cultural Industries - Compliance Audit Return



Department of  
Local Government, Sport  
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No	Reference	Question	Response	Comments	Respondent
2	s5.68(2) & s5.69 (5) Admin Reg 21A	Were all decisions regarding participation approval, including the extent of participation allowed and, where relevant, the information required by Admin Reg 21A, recorded in the minutes of the relevant council or committee meeting?	Yes	Yes they were,	Cheryl Greenough
3	s5.73	Were disclosures under section sections 5.65, 5.70 or 5.71A(3) recorded in the minutes of the meeting at which the disclosures were made?	Yes	Yes all disclosures were recorded	Cheryl Greenough
4	s5.75 Admin Reg 22, Form 2	Was a primary return in the prescribed form lodged by all relevant persons within three months of their start day?	Yes	No, one Cr who was a re-elected member was 4 days late providing his return, however as a re-elected member who lodged an annual return 3 months prior, he was not required to lodge a primary return.	Cheryl Greenough
5	s5.76 Admin Reg 23, Form 3	Was an annual return in the prescribed form lodged by all relevant persons by 31 August 2021?	Yes	Yes both staff and Councillors completed their return by 31 August	Cheryl Greenough
6	s5.77	On receipt of a primary or annual return, did the CEO, or the mayor/president, give written acknowledgment of having received the return?	Yes	Letters were written within a couple of days of receipt	Cheryl Greenough
7	s5.88(1) & (2)(a)	Did the CEO keep a register of financial interests which contained the returns lodged under sections 5.75 and 5.76?	Yes	Yes a physical file has the returns lodged as well as an electronic copy	Cheryl Greenough
8	s5.88(1) & (2)(b) Admin Reg 28	Did the CEO keep a register of financial interests which contained a record of disclosures made under sections 5.65, 5.70, 5.71 and 5.71A, in the form prescribed in Admin Reg 28?	Yes	All areas have been completed	Cheryl Greenough
9	s5.88(3)	When a person ceased to be a person required to lodge a return under sections 5.75 and 5.76, did the CEO remove from the register all returns relating to that person?	Yes	They have all been removed	Cheryl Greenough
10	s5.88(4)	Have all returns removed from the register in accordance with section 5.88(3) been kept for a period of at least five years after the person who lodged the return(s) ceased to be a person required to lodge a return?	Yes	Yes they have been kept in records	Cheryl Greenough
11	s5.89A(1), (2) & (3) Admin Reg 28A	Did the CEO keep a register of gifts which contained a record of disclosures made under sections 5.87A and 5.87B, in the form prescribed in Admin Reg 28A?	Yes	A register is kept, however no reportable gifts were received this year	Cheryl Greenough
12	s5.89A(5) & (5A)	Did the CEO publish an up-to-date version of the gift register on the local government's website?	Yes		Cheryl Greenough

Department of Local Government, Sport and Cultural Industries - Compliance Audit Return



No	Reference	Question	Response	Comments	Respondent
13	s5.89A(6)	When a person ceases to be a person who is required to make a disclosure under section 5.87A or 5.87B, did the CEO remove from the register all records relating to that person?	Yes	Yes all paperwork has been removed, however on the online register only the name remains to show they were listed on the register.	Cheryl Greenough
14	s5.89A(7)	Have copies of all records removed from the register under section 5.89A (6) been kept for a period of at least five years after the person ceases to be a person required to make a disclosure?	Yes	Yes they are stored in the records office	Cheryl Greenough
15	Rules of Conduct Reg 11(1), (2) & (4)	Where a council member had an interest that could, or could reasonably be perceived to, adversely affect the impartiality of the person, did they disclose the interest in accordance with Rules of Conduct Reg 11(2)?*  *Question not applicable after 2 Feb 2021	Yes	Yes for January	Cheryl Greenough
16	Rules of Conduct Reg 11(6)	Where a council member disclosed an interest under Rules of Conduct Reg 11(2) was the nature of the interest recorded in the minutes?*	Yes	yes it was recorded	Cheryl Greenough
		*Question not applicable after 2 Feb 2021			
17	s5.70(2) & (3)	Where an employee had an interest in any matter in respect of which the employee provided advice or a report directly to council or a committee, did that person disclose the nature and extent of that interest when giving the advice or report?	Yes	Staff disclosures were made	Cheryl Greenough
18	s5.71A & s5.71B (5)	Where council applied to the Minister to allow the CEO to provide advice or a report to which a disclosure under s5.71A(1) relates, did the application include details of the nature of the interest disclosed and any other information required by the Minister for the purposes of the application?	N/A		Cheryl Greenough
19	s5.71B(6) & s5.71B(7)	Was any decision made by the Minister under subsection 5.71B(6) recorded in the minutes of the council meeting at which the decision was considered?	N/A		Cheryl Greenough
20	s5.103 Admin Regs 34B & 34C	Has the local government adopted a code of conduct in accordance with Admin Regs 34B and 34C to be observed by council members, committee members and employees?*	Yes	A Code of Conduct was in place	Cheryl Greenough
		*Question not applicable after 2 Feb 2021			
21	Admin Reg 34B(5)	Has the CEO kept a register of notifiable gifts in accordance with Admin Reg 34B(5)?*	Yes	Yes he did prior to the change	Cheryl Greenough
		*Question not applicable after 2 Feb 2021			

Department of Local Government, Sport and Cultural Industries - Compliance Audit Return



No	Reference	Question	Response	Comments	Respondent
22	s5.104(1)	Did the local government prepare and adopt, by absolute majority, a code of conduct to be observed by council members, committee members and candidates within 3 months of the prescribed model code of conduct coming into operation (3 February 2021)?	Yes	The Code of Conduct was adopted 21/4/21 Item 13.4.3	Cheryl Greenough
23	s5.104(3) & (4)	Did the local government adopt additional requirements in addition to the model code of conduct? If yes, does it comply with section 5.104(3) and (4)?	Yes	Yes the minor adoptions were in line with s5.104 (3) and (4)	Cheryl Greenough
24	s5.104(7)	Did the CEO publish an up-to-date version of the adopted code of conduct on the local government's website?	Yes	Yes it was published 22/4/21	Cheryl Greenough
25	s5.51A(1) & (3)	Did the CEO prepare, and implement and publish an up-to-date version on the local government's website, a code of conduct to be observed by employees of the local government?	Yes	The document was under construction but was not published in January 2022	Cheryl Greenough

#### Disposal of Property

No	Reference	Question	Response	Comments	Respondent
1	s3.58(3)	Where the local government disposed of property other than by public auction or tender, did it dispose of the property in accordance with section 3.58(3) (unless section 3.58(5) applies)?	Yes	Three properties were disposed of and advertised in accordance with 3.58(3)	Cheryl Greenough
2	s3.58(4)	Where the local government disposed of property under section 3.58(3), did it provide details, as prescribed by section 3.58(4), in the required local public notice for each disposal of property?	Yes	Yes, names were provided plus information about the property and the financial value.	Cheryl Greenough

Department of Local Government, Sport and Cultural Industries - Compliance Audit Return



Department of  
 Local Government, Sport  
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Elections					
No	Reference	Question	Response	Comments	Respondent
1	Elect Regs 30G(1) & (2)	Did the CEO establish and maintain an electoral gift register and ensure that all disclosure of gifts forms completed by candidates and donors and received by the CEO were placed on the electoral gift register at the time of receipt by the CEO and in a manner that clearly identifies and distinguishes the forms relating to each candidate?	Yes		Cheryl Greenough
2	Elect Regs 30G(3) & (4)	Did the CEO remove any disclosure of gifts forms relating to an unsuccessful candidate, or a successful candidate that completed their term of office, from the electoral gift register, and retain those forms separately for a period of at least two years?	N/A		Cheryl Greenough
3	Elect Regs 30G(5) & (6)	Did the CEO publish an up-to-date version of the electoral gift register on the local government's official website in accordance with Elect Reg 30G(6)?	Yes		Cheryl Greenough

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Department of Local Government, Sport and Cultural Industries - Compliance Audit Return



Finance					
No	Reference	Question	Response	Comments	Respondent
1	s7.1A	Has the local government established an audit committee and appointed members by absolute majority in accordance with section 7.1A of the Act?	Yes	At the Special Council Meeting 18/10/21	Cheryl Greenough
2	s7.1B	Where the council delegated to its audit committee any powers or duties under Part 7 of the Act, did it do so by absolute majority?	N/A	No delegated authority	Cheryl Greenough
3	s7.9(1)	Was the auditor's report for the financial year ended 30 June 2021 received by the local government by 31 December 2021?	Yes	Received and approved by Absolute majority 15/12/21 Item 12.1	Cheryl Greenough
4	s7.12A(3)	Where the local government determined that matters raised in the auditor's report prepared under s7.9 (1) of the Act required action to be taken, did the local government ensure that appropriate action was undertaken in respect of those matters?	N/A	Action was to give public notice	Cheryl Greenough
5	s7.12A(4)(a) & (4)(b)	Where matters identified as significant were reported in the auditor's report, did the local government prepare a report that stated what action the local government had taken or intended to take with respect to each of those matters? Was a copy of the report given to the Minister within three months of the audit report being received by the local government?	N/A		Cheryl Greenough
6	s7.12A(5)	Within 14 days after the local government gave a report to the Minister under s7.12A(4)(b), did the CEO publish a copy of the report on the local government's official website?	Yes		Cheryl Greenough
7	Audit Reg 10(1)	Was the auditor's report for the financial year ending 30 June received by the local government within 30 days of completion of the audit?	Yes		Cheryl Greenough



Department of Local Government, Sport and Cultural Industries - Compliance Audit Return



Integrated Planning and Reporting					
No	Reference	Question	Response	Comments	Respondent
1	Admin Reg 19C	Has the local government adopted by absolute majority a strategic community plan? If Yes, please provide the adoption date or the date of the most recent review in the Comments section?	Yes	16/8/2017	Cheryl Greenough
2	Admin Reg 19DA (1) & (4)	Has the local government adopted by absolute majority a corporate business plan? If Yes, please provide the adoption date or the date of the most recent review in the Comments section?	Yes	Adopted 16/6/2021 item 13.1.2	Cheryl Greenough
3	Admin Reg 19DA (2) & (3)	Does the corporate business plan comply with the requirements of Admin Reg 19DA(2) & (3)?	Yes	The corporate business plan embodies Admin Reg 19DA(2) & (3) and aligns with the strategic community plan.	Cheryl Greenough

Local Government Employees					
No	Reference	Question	Response	Comments	Respondent
1	Admin Reg 18C	Did the local government approve a process to be used for the selection and appointment of the CEO before the position of CEO was advertised?	N/A	A new process has been approved, however there has not been a change of CEO	Cheryl Greenough
2	s5.36(4) & s5.37 (3) Admin Reg 18A	Were all CEO and/or senior employee vacancies advertised in accordance with Admin Reg 18A?	N/A	The CEO is the only Senior Employee	Cheryl Greenough
3	Admin Reg 18E	Was all information provided in applications for the position of CEO true and accurate?	N/A		Cheryl Greenough
4	Admin Reg 18F	Was the remuneration and other benefits paid to a CEO on appointment the same remuneration and benefits advertised for the position under section 5.36(4)?	N/A	The CEO has been in his position for at least 8 years and his pay has increased since the initial advertisement	Cheryl Greenough
5	s5.37(2)	Did the CEO inform council of each proposal to employ or dismiss senior employee?	N/A		Cheryl Greenough
6	s5.37(2)	Where council rejected a CEO's recommendation to employ or dismiss a senior employee, did it inform the CEO of the reasons for doing so?	N/A		Cheryl Greenough

Department of Local Government, Sport and Cultural Industries - Compliance Audit Return



Department of  
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Official Conduct					
No	Reference	Question	Response	Comments	Respondent
1	s5.120	Has the local government designated a senior employee as defined by section 5.37 to be its complaints officer?	No	The Complaints Officer does not have to be a senior officer. The Executive Manager Corporate Services was designated at the OCM 17/3/21	Cheryl Greenough
2	s5.121(1) & (2)	Has the complaints officer for the local government maintained a register of complaints which records all complaints that resulted in a finding under section 5.110(2)(a)? Does the complaints register include all information required by section 5.121(2)?	Yes	There is a complaints register that complies with s.5.121(2) however there were no recordable breaches in 2021	Cheryl Greenough
3	s5.121(3)	Has the CEO published an up-to-date version of the register of the complaints on the local government's official website?	Yes		Cheryl Greenough
Optional Questions					
No	Reference	Question	Response	Comments	Respondent
1	Financial Management Reg 5 (2)(c)	Did the CEO review the appropriateness and effectiveness of the local government's financial management systems and procedures in accordance with Financial Management Reg 5(2)(c) within the three years prior to 31 December 2021? If yes, please provide the date of council's resolution to accept the report.	Yes	This is done on a regular basis	Cheryl Greenough
2	Audit Reg 17	Did the CEO review the appropriateness and effectiveness of the local government's systems and procedures in relation to risk management, internal control and legislative compliance in accordance with Audit Reg 17 within the three years prior to 31 December 2021? If yes, please provide date of council's resolution to accept the report.	Yes	This is regularly done at the Audit Committee meeting where a Reg 17 Audit is conducted.	Cheryl Greenough
3	s5.87C	Where a disclosure was made under sections 5.87A or 5.87B, was the disclosure made within 10 days after receipt of the gift? Did the disclosure include the information required by section 5.87C?	N/A		Cheryl Greenough

Department of Local Government, Sport and Cultural Industries - Compliance Audit Return



No	Reference	Question	Response	Comments	Respondent
5	s5.96A(1), (2), (3) & (4)	Did the CEO publish information on the local government's website in accordance with sections 5.96A(1), (2), (3), and (4)?	Yes	It was published within a couple of days of adoption	Cheryl Greenough
6	s5.128(1)	Did the local government prepare and adopt (by absolute majority) a policy in relation to the continuing professional development of council members?	Yes	Policy G1.1 was adopted by Absolute Majority 18/11/2020	Cheryl Greenough
7	s5.127	Did the local government prepare a report on the training completed by council members in the 2020/2021 financial year and publish it on the local government's official website by 31 July 2021?	Yes	the register dates back to 2012	Cheryl Greenough
8	s6.4(3)	By 30 September 2021, did the local government submit to its auditor the balanced accounts and annual financial report for the year ending 30 June 2021?	Yes		Cheryl Greenough
9	s.6.2(3)	When adopting the annual budget, did the local government take into account all its expenditure, revenue and income?	Yes		Cheryl Greenough

#### Tenders for Providing Goods and Services

No	Reference	Question	Response	Comments	Respondent
1	F&G Reg 11A(1) & (3)	Did the local government comply with its current purchasing policy [adopted under F&G Reg 11A(1) & (3)] in relation to the supply of goods or services where the consideration under the contract was, or was expected to be, \$250,000 or less or worth \$250,000 or less?	Yes	The Shire undertakes a monthly credit compliance check to ensure the processes are followed	Cheryl Greenough
2	s3.57 F&G Reg 11	Subject to F&G Reg 11(2), did the local government invite tenders for all contracts for the supply of goods or services where the consideration under the contract was, or was expected to be, worth more than the consideration stated in F&G Reg 11(1)?	Yes	6 out of 7 were advertised in the West Australian	Cheryl Greenough
3	F&G Regs 11(1), 12(2), 13, & 14(1), (3), and (4)	When regulations 11(1), 12(2) or 13 required tenders to be publicly invited, did the local government invite tenders via Statewide public notice in accordance with F&G Reg 14(3) and (4)?	Yes		Cheryl Greenough
4	F&G Reg 12	Did the local government comply with F&G Reg 12 when deciding to enter into multiple contracts rather than a single contract?	N/A	No separate contracts were entered into to avoid the requirements of regulation 11	Cheryl Greenough
5	F&G Reg 14(5)	If the local government sought to vary the information supplied to tenderers, was every reasonable step taken to give each person who sought copies of the tender documents or each acceptable tenderer notice of the variation?	Yes	All tenderers were advised if there were any variations	Cheryl Greenough

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Department of Local Government, Sport and Cultural Industries - Compliance Audit Return



Department of  
Local Government, Sport  
and Cultural Industries

No	Reference	Question	Response	Comments	Respondent
6	F&G Regs 15 & 16	Did the local government's procedure for receiving and opening tenders comply with the requirements of F&G Regs 15 and 16?	Yes	Two are required to open tenders	Cheryl Greenough
7	F&G Reg 17	Did the information recorded in the local government's tender register comply with the requirements of F&G Reg 17 and did the CEO make the tenders register available for public inspection and publish it on the local government's official website?	Yes	The Shire conducts monthly compliance checks to ensure the requirements of Reg 17 are adhered to	Cheryl Greenough
8	F&G Reg 18(1)	Did the local government reject any tenders that were not submitted at the place, and within the time, specified in the invitation to tender?	N/A		Cheryl Greenough
9	F&G Reg 18(4)	Were all tenders that were not rejected assessed by the local government via a written evaluation of the extent to which each tender satisfies the criteria for deciding which tender to accept?	Yes		Cheryl Greenough
10	F&G Reg 19	Did the CEO give each tenderer written notice containing particulars of the successful tender or advising that no tender was accepted?	Yes		Cheryl Greenough
11	F&G Regs 21 & 22	Did the local government's advertising and expression of interest processes comply with the requirements of F&G Regs 21 and 22?	Yes		Cheryl Greenough
12	F&G Reg 23(1) & (2)	Did the local government reject any expressions of interest that were not submitted at the place, and within the time, specified in the notice or that failed to comply with any other requirement specified in the notice?	N/A		Cheryl Greenough
13	F&G Reg 23(3) & (4)	Were all expressions of interest that were not rejected under F&G Reg 23 (1) & (2) assessed by the local government? Did the CEO list each person as an acceptable tenderer?	Yes		Cheryl Greenough
14	F&G Reg 24	Did the CEO give each person who submitted an expression of interest a notice in writing of the outcome in accordance with F&G Reg 24?	N/A		Cheryl Greenough
15	F&G Regs 24AD(2) & (4) and 24AE	Did the local government invite applicants for a panel of pre-qualified suppliers via Statewide public notice in accordance with F&G Reg 24AD(4) and 24AE?	N/A	Not applicable in 2021	Cheryl Greenough
16	F&G Reg 24AD(6)	If the local government sought to vary the information supplied to the panel, was every reasonable step taken to give each person who sought detailed information about the proposed panel or each person who submitted an application notice of the variation?	N/A		Cheryl Greenough

Department of Local Government, Sport and Cultural Industries - Compliance Audit Return



No	Reference	Question	Response	Comments	Respondent
17	F&G Reg 24AF	Did the local government's procedure for receiving and opening applications to join a panel of pre-qualified suppliers comply with the requirements of F&G Reg 16, as if the reference in that regulation to a tender were a reference to a pre-qualified supplier panel application?	N/A		Cheryl Greenough
18	F&G Reg 24AG	Did the information recorded in the local government's tender register about panels of pre-qualified suppliers comply with the requirements of F&G Reg 24AG?	Yes		Cheryl Greenough
19	F&G Reg 24AH(1)	Did the local government reject any applications to join a panel of pre-qualified suppliers that were not submitted at the place, and within the time, specified in the invitation for applications?	N/A		Cheryl Greenough
20	F&G Reg 24AH(3)	Were all applications that were not rejected assessed by the local government via a written evaluation of the extent to which each application satisfies the criteria for deciding which application to accept?	N/A		Cheryl Greenough
21	F&G Reg 24AI	Did the CEO send each applicant written notice advising them of the outcome of their application?	N/A		Cheryl Greenough
22	F&G Regs 24E & 24F	Where the local government gave regional price preference, did the local government comply with the requirements of F&G Regs 24E and 24F?	Yes		Cheryl Greenough

I certify this Compliance Audit Return has been adopted by council at its meeting on \_\_\_\_\_

\_\_\_\_\_  
Signed Mayor/President, Northam

\_\_\_\_\_  
Signed CEO, Northam

## 6.2 PROGRESS TOWARDS THE ICT STRATEGY PLAN

<b>File Reference:</b>	1.1.9.1
<b>Reporting Officer:</b>	Colin Young, Executive Manager Corporate Services
<b>Responsible Officer:</b>	Colin Young, Executive Manager Corporate Services
<b>Officer Declaration of Interest:</b>	Nil
<b>Voting Requirement:</b>	Simple majority
<b>Press release to be issued:</b>	No

### BRIEF

To provide Council with an update on the progress made towards the ICT Strategy Plan.

This report aims to establish a level of accountability in respect to completing the actions identified through the audit undertaken by LGIS in 2019 in order to ensure that continuous improvement occurs within the organisation.

### ATTACHMENTS

Attachment 1: ICT Strategic Plan Action Plan.

## A. BACKGROUND / DETAILS

The Shire of Northam is moving through a significant period of change and development. In recognition of this and the need to ensure that it can continue to meet the aspirations of the community, the Shire of Northam has undertaken to put in place a number of Strategic and Business Plans to deliver short, medium, and long term objectives. The Shire of Northam is providing committed strategic planning and leadership, focused on strengthening our community, providing growth, and diversifying the local economy.

## B. CONSIDERATIONS

### B.1 Strategic Community / Corporate Business Plan

#### Theme Area 6 Governance and Leadership

Outcome 1.1: The Shire of Northam is an attractive investment destination for a variety of economic sectors

Objective: Pursue a range of developments in sectors including retirement living, renewable energy, agribusiness, innovation, logistics and aviation; and *Embrace technology as an enabler for development, and lobby for high speed internet connectivity.*

**B.2 Financial / Resource Implications**

To be advised / determined.

**B.3 Legislative Compliance**

Local Government Act 1995 and relevant subsidiary legislation.

**B.4 Policy Implications**

N/A

**B.5 Stakeholder Engagement / Consultation**

Nil

**B.6 Risk Implications**

Risk Category	Description	Rating (likelihood x consequence)	Mitigation Action
Financial	Lack of investment into ICT	Possible (3) x Medium (3) = Moderate (9)	ICT Strategic / forward planning involving stakeholders to determine needed and desired current and future outcomes that can be budgeted for.
Health & Safety	EOL/less than OSH/WSH ideal ICT hardware, RF and prolonged machine noise exposure	Possible (3) x Medium (3) = Moderate (9)	EOL hardware replacement decisions to consider OSH/WSH requirements. Suitable placement or enclosures for noisy ICT gear such as servers and switches.
Reputation	Slow take up of new technologies	Likely (4) x Minor (2) = Moderate (8)	ICT Team continuing to engage with Shire stakeholders, 3 <sup>rd</sup> party vendors, and other councils re: current and emerging technologies and methods of delivering desired services.

### C. OFFICER'S COMMENT

ICT services are presently provided to approximately 130 full time, part time, and casual employees across the following sites, Administration, Northam depot, Wundowie Depot, Northam library, Wundowie library, Bilya Koort Boodja Cultural centre, Visitor centre, Killara adult day care, Northam aquatic facility, the Wundowie swimming pool, Bush Fire Brigade facilities, as well as to the community and stakeholders. This ICT Strategic Plan establishes a course of action to guide the future development and delivery of ICT services for the Shire of Northam.

#### Table Legend:

Completed

No Action

Underway

#### RECOMMENDATION / COMMITTEE DECISION

Minute No: AU.212

Moved: Cr Ryan

Seconded: Cr Appleton

That Council receives the update as provided in Attachment 1.

CARRIED 3/0



**Attachment 1: ICT Strategic Plan Action Plan**

Area for Further Development	Recommendation / Action	Timeframe	Responsibility	Progress Report
ICT				
Governance	1. ICT decisions and operations within the Shire will be controlled and guided through a formalised ICT Governance framework. This framework will ensure the alignment of ICT activities with business priorities.	2021/2026	Corporate Services /ICT	Draft strategic and operations plans developed. SLAs to be determined. February 2022 Update: In early discussions with external provider regarding SLAs
Emerging Trends and Technologies	2. ICT policies and procedures need to be current enabling the organisation to conduct considered reviews of emerging technologies and trends, to ensure they meet current and emerging needs of the organisation.	2021/2026	Corporate Services / ICT	Acceptable Use and BYOD policies adopted.

Area for Further Development	Recommendation / Action	Timeframe	Responsibility	Progress Report
Business Systems and Applications	3. Appropriately managed business systems and applications will help consolidate and streamline business processes.	2021/2026	Corporate Services / ICT	Inventory Register established. RFQ re: potential CRM/RMS upgrade/migration from Synergysoft occurring.  February 2022 Update: Tenders have been received and staff will be evaluation and expecting to present to the next Audit Committee meeting.
Infrastructure and Technology	4. ICT has extensive assets and services under management. The best value and maximum benefit from this investment can only be obtained if suitably managed.	2021/2026	Corporate Services / ICT	Systems manual to be developed. Network communications infrastructure plan to be developed.  February 2022 Update: No progress.
Disaster Recovery	5. ICT needs to work with the organisation to establish mission critical services and ensure that disaster recovery and business continuity plans meet current and emerging needs	2021/2026	Corporate Services / ICT	Adhoc DR / Business Continuity plan in place and partially tested. Data retention plan developed

Area for Further Development	Recommendation / Action	Timeframe	Responsibility	Progress Report
Security	6. The threat of cyber security incidents continues to rise. The Shire needs to develop and implement security policies and procedures to meet this increasing threat.	2021/2026	Corporate Services / ICT	Ongoing development and training will always be occurring.
Project Management	7. The effective delivery of ICT projects requires a suitable management framework to be implemented	2022	Corporate Services / 2021	Project Management ICT Procedure to be developed February 2022 Update: No progress.

UNCONFIRMED



### 6.3 PROGRESS TOWARDS THE REGULATION 17 REVIEW ACTION PLAN

<b>File Reference:</b>	8.2.7.1
<b>Reporting Officer:</b>	Jason Whiteaker, Chief Executive Officer
<b>Responsible Officer:</b>	Jason Whiteaker, Chief Executive Officer
<b>Officer Declaration of Interest:</b>	Nil
<b>Voting Requirement:</b>	Simple Majority
<b>Press release to be issued:</b>	No

#### BRIEF

To provide Council with an update of the progress made towards the Regulation 17 Review Action Plan that was presented to Council at the December 2019 OCM for adoption.

This report aims to establish a level of accountability in respect to completing the actions identified through the Regulation 17 Review to ensure that Council's risk management, internal controls and legislative compliance is appropriate and effective.

#### ATTACHMENTS

Attachment 1: Regulation 17 Review Action Plan. Appendix B.

#### A. BACKGROUND / DETAILS

Section 17 of the Local Government (Audit) Regulations requires the Chief Executive Officer to review the appropriateness and effectiveness of the Council's systems and procedures as they relate to the following areas:

- Risk management
- Internal controls, and
- Legislative compliance

The Chief Executive Officer carried out the review internally. The attached report is supplied to Council with the findings and recommendations.

A report was then prepared identifying the findings from the review along with recommendations (if applicable). These findings and recommendations were developed into an action plan and are provided in Attachment 1.

#### B. CONSIDERATIONS

### B.1 Strategic Community / Corporate Business Plan

Theme 6: Governance and Leadership.

Outcome 6.3 The Shire of Northam council is a sustainable, responsive, innovative and transparent organisation.

Objective: Ensure robust financial management;  
Maintain a high standard of corporate governance;

### B.2 Financial / Resource Implications

Staffing resources are required in order to action the recommendations detailed within the BPR Action Plan.

### B.3 Legislative Compliance

Local Government Act 1995 and relevant subsidiary legislation.

### B.4 Policy Implications

Nil.

### B.5 Stakeholder Engagement / Consultation

Nil.

### B.6 Risk Implications

Risk Category	Description	Rating (consequence x likelihood)	Mitigation Action
Financial	Revenue loss to the Shire.	Unlikely(2) x Insignificant(1) = Low(2)	Managed by ensuring good practices
Health & Safety	N/A	N/A	N/A
Reputation	Disruption to current service.	Unlikely(2) x Insignificant(1) = Low(2)	Ensure IT and other services are managed professionally.
Service Interruption	Potential for IT and Administrative disruption	Rare(1) x Insignificant(1) = Low(1)	Ensure changes are managed professionally.
Compliance	Not compliant with legislation	Unlikely(2) x Insignificant(1) = Low(2)	Review legislation regularly
Property	N/A	N/A	N/A
Environment	N/A	N/A	N/A

## C. OFFICER'S COMMENT

This review indicated that the Shire of Northam is proactive in managing risk, internal controls and legislative compliance as well as taking the necessary steps to ensure appropriate risk management, internal controls and legislative compliance policies and practices are in place. Areas for improvement and

recommendations have been detailed in Attachment 1 with comments in respect to the progress made towards each of these.

Officers are working towards addressing the recommendations from the review whilst continuing the improvements already underway in order to achieve optimum levels of risk management, internal controls and legislative compliance into the future. The Action Plan for Review has been provided in Attachment 1 with an update of the progress made towards the recommendations.

The previous Regulation 17 Report Action Plan 2016 has been superseded with the current Regulation 17 Report Action Plan 2019. As such any outstanding recommendations have been carried forward. Only two items remain outstanding.

Appendix A Risk Management and Appendix C Legislative Compliance have now been completed as such these two items should be closed.

#### Table Legend

**Completed**

**No Action**

**Underway**

At the previous Audit & Risk Management Committee meeting, the committee requested the Chief Executive Officer to report that a contract is in place by this meeting with respect to item 1 in Appendix B. This action is in the final stage with the RFQ currently being assessed by Officers. It is anticipated that a contract will be entered into by the end of 2021.

**RECOMMENDATION / COMMITTEE DECISION**

**Minute No: AU.213**

**Moved: Cr Appleton**

**Seconded: Cr Ryan**

**That Council:**

- 1. Receives the update as provided in Attachment 1 in relation to the progress made towards the Regulation 17 Action Plan.**
- 2. Acknowledge that the Recommended Actions from the Regulation 17 Review are considered completed and not require the item to be provided in the future.**

**CARRIED 3/0**

Attachment 1 – Regulation 17 Review Action Plan. Appendix B

APPENDIX B  
 SHIRE OF NORTHAM  
 INTERNAL CONTROLS

No.	Finding	Implication	Recommendation	Management Comment	Responsible Officer	Progress to Date
1	Our inquiries of Council's Building Supervisor indicated the Shire of Northam does not currently have a signed contract in place with the external security companies used for monitoring and call-outs. <b>Finding Regulation 17 2016 Audit</b>	Risk of the Shire of Northam locations not being protected from break-ins, vandalism etc.	We recommend that contracts are in place with all third parties engaged to provide said security services.	Staff will develop an agreement.	EMES	As at 24/2/20 an overarching contract has been developed to monitor all buildings but does not include remote access for callouts as yet.  February 2021 Update: No further progress.  June 2021 Update: No further progress.  August 2021 Update: Still progressing the remote call out service.  November 2021 Update: RFQ has been advertised with two quotes being received. RFQ is currently being assessed by Officers and it is anticipated this will be awarded in December 2021.



No.	Finding	Implication	Recommendation	Management Comment	Responsible Officer	Progress to Date
						February 2022 Update: RFQ awarded to CTI, currently working through the protocols for after hour call outs and responses.
2	An audit of several registered documents found that some documents which were considered to be sensitive, were not appropriately registered, with limited viewing.	All staff would have access to sensitive documents which would be a breach of privacy.	Process suggestion has been made to make provision for registering sensitive documents. Staff to be provided with training/reminder of the need to register certain documents whilst limiting access.	Staff to investigate	EMCS	February 2021 Update: Complete  Staff have reviewed the access process and posted a reminder by email for staff to forward any sensitive documents to Records for the appropriate registration.
3	Some processes being used by external offices do not comply with correct accounting procedures	Cash may be incorrectly recorded, there is also the potential for money to go missing	Develop a process for receipt of all 'offsite' money, inclusive of a mechanism to ensure accuracy of takings to banking and develop a process for offsite stock management.	1. Staff to develop a process to receipt all off site money  2. Develop a process and procedure for offsite stock management.	Accountant	1. Process developed and implemented across all departments.  2. Point of sale software has been installed.  February 2021 Update: Stocktake processes to be further developed before 30/06/2021.

No.	Finding	Implication	Recommendation	Management Comment	Responsible Officer	Progress to Date
						<p>Counts are being undertaken and point of sale is to be checked to ensure reporting is accurate for 30 June stocktake for each site.</p> <p>May 2021 Update: Complete.</p>

UNCONFIRMED



## 6.4 MONTHLY COMPLIANCE REPORT

<b>File Reference:</b>	1.6.1.6
<b>Reporting Officer:</b>	Cheryl Greenough, Governance/Administration Coordinator
<b>Responsible Officer:</b>	Jason Whiteaker, Chief Executive Officer
<b>Officer Declaration of Interest:</b>	Nil
<b>Voting Requirement:</b>	Simple Majority
<b>Press release to be issued:</b>	No

### BRIEF

This report provides Council with an overview of the Shire's monthly compliance activities.

### ATTACHMENTS

- Attachment 1: November 2021 Compliance Calendar and Creditors Checklist
- Attachment 2: December 2021 Compliance Calendar and Creditors Checklist

## A. BACKGROUND / DETAILS

Under the Local Government (Audit) Regulations 1996, a Local Government is required to carry out a Compliance Audit for the period 1 January to 31 December of each year. To ensure compliance is met on a monthly basis, the Shire has implemented a monthly Compliance Calendar where specific activities and statutory requirements are audited internally.

## B. CONSIDERATIONS

### B.1 Strategic Community / Corporate Business Plan

Theme Area 6: Governance & Leadership.

Outcome 6.3: The Shire of Northam council is a sustainable, responsive, innovative and transparent organisation.

Objective: Provide outstanding customer service.  
Maintain a high standard of corporate governance.

### B.2 Financial / Resource Implications

N/A.

### B.3 Legislative Compliance

There is no legislative requirement to maintain a Compliance Calendar, however it is considered best practice and covers the following Regulations:

- Local Government (Functions and General) Regulations 1996;
- Local Government (Administration) Regulations 1996;
- Local Government (Elections) Regulations 1997;
- Local Government (Audit) Regulations 1996;
- Local Government (Rules of Conduct) Regulations 2007.

### B.4 Policy Implications

Nil.

### B.5 Stakeholder Engagement / Consultation

Nil.

### B.6 Risk Implications

Risk Category	Description	Rating (consequence x likelihood)	Mitigation Action
Financial	ability to misuse funds.	Rare (2)x Medium (3) = Low (3)	Compliance calendar assists to ensure compliance
Health Safety	N/A		
Reputation	N/A		
Service Interruption	N/A		
Compliance	Staff not following legislative requirements	Rare (2)x Medium (3) = Low (3)	Compliance calendar assists to ensure compliance
Property	N/A		
Environment	N/A		

## C. OFFICER'S COMMENT

The monthly Compliance Calendar is an effective tool to assist in populating the Annual Compliance Audit Return (CAR) and enhances the Shire's ability to identify and manage issues which may arise during the year, in a timely manner.

Included in the Compliance Calendar is a random audit of Creditors to ensure compliance with the Shire's purchasing policy and the requirements of the *Local Government Act 1995*

**2021 Compliance Calendar**

Month	Item	% Compliance	Non-Compliance
November	Monthly Check	90%	One contract was started prior to the purchase order being written
	Random Creditor check	100%	Compliant.
December	Monthly Check	100%	Compliant.
	Random Creditor Check	90%	One PO was written after the invoice and one did not have the purchasing checklist

**RECOMMENDATION / COMMITTEE DECISION**

**Minute No: AU.214**

**Moved: Cr Appleton**

**Seconded: Cr Ryan**

**That Council receive the update as provided in the monthly Compliance Calendar Report.**

**CARRIED 3/0**

### Attachment 1 – November 2021 Compliance Calendar and Creditors Checklist

NOVEMBER COMPLIANCE CALENDAR

SOURCE	Section	PROCESS OWNER	ACTIVITY DESCRIPTION	COMPLIANCE ACCOUNTABILITY	SCHEDULE	COMMENTS	Sign
Local Government Act 1995	S3.59 - Commercial Enterprises	CEO	Have SoN entered into any major trading undertakings, if so has section 3.59 been complied with		Monthly	N/A	
Local Government Act 1995	S5.16	CEO	Is the delegations register current (ie not more than 12 months old)		Annually - June	Yes it is current	
Local Government Act 1995	S5.67	CEO	Where an elected member or staff disclosed a financial interest, did they leave the meeting and not participate in discussion or decision making on the item		Monthly	No financial interests were declared at the OCM, or Committee meetings	
Local Government Act 1995	S5.65 & s5.73	CEO	Were all known elected member and staff disclosures of impartiality made at the Council meeting		Monthly	12 impartiality interests were declared at the OCM, 9 at Committee meeting	
Local Government Act 1995	S5.73 & S103	CEO	Were ALL disclosures recorded in the minutes		Monthly	Yes	
Local Government Act 1995	S5.75	CEO	Have primary returns been lodged within 3 months of elected member 'start dates'		Annually - January	Two newly elected members have lodged their return	
Local Government Act 1995	S5.76	CEO	Have all new 'designated' employees completed their primary returns within 3 months of commencement		Monthly	N/A	
Local Government Act 1995	S5.88	CEO	Is the register of financial interests up to date		Monthly	Yes, there weren't any financial interests to be registered this month	
Local Government Act 1995	S5.89	CEO	Have all resigned members and staff returns been removed from the financial interest register		Monthly	Yes	
Local Government Act 1995	S103	CEO	Is the gift register up to date on the Council website		Monthly	As far as we have been advised	
Local Government Act 1995	S3.58 - Disposal of Property	CEO	Did the Council dispose of any property in the month, and if so was s3.58 complied with		Monthly	3 properties were disposed of. 2 were community groups, 1 was sale of property (advertised)	
Local Government Act 1995	s5.36(3) s5.37(3) Admin Reg 18A	CEO	Were advertisements for Executive Staff correctly advertised		As required	No new adverts went out this month	
Local Government Act 1995	S5.121 - Minor Breach	EMCS	Has the complaints officer maintained the complaints of a minor breach register and is the online register up to date		Monthly	N/A no reportable complaints of Minor Breach	
Local Government Act 1995	S3.57 & F/G Reg 11	EMCS	Have tenders been called for all good or services in excess of \$250k		Monthly	N/A for November	
Local Government Act 1995	F/G Reg 16	EMCS	Receiving and opening of Public Tenders completed by two persons, details of tenders to be immediately recorded		Monthly	N/A	
Local Government Act 1995	F/G Reg 18	EMCS	Rejecting and accepting Tenders		Monthly	N/A	
Local Government Act 1995	F/G Reg 18 (1)	EMCS	Tender to be submitted before close of Tender and submitted to the Shire office		Monthly	N/A	
Local Government Act 1995	F/G Reg 18 (4)	EMCS	Written evaluation of each Tenderer's criteria		Monthly	N/A	
Local Government Act 1995	F/G Reg 17	EMCS	Tender Register to be maintained and available for inspection		Monthly	Available	
Local Government Act 1995	F/G Reg 19	EMCS	Tenderers to be notified of outcome		Monthly	N/A	
Local Government Act 1995	F/G Reg 24AD (2)	EMCS	Statewide Public Notice of the invitation to apply to join a pre-qualified panel		Monthly	N/A	
Local Government Act 1995	F/G Reg 24AD (4)	EMCS	Notice to include brief description of goods and services to be supplied by pre-qualified panel		Monthly	N/A	
Local Government Act 1995	s2.25	Governance	Review meeting attendance - not missed 3 meetings without leave of absence		Bi-monthly	No, all had requested leave of absence	
	Delegation - B02	EMDS	Buildings - Grant or Refuse Demolition Permit - register completed?		Monthly	N/A	
	Delegation - E01	EMES	Temporary Closure of Thoroughfares to vehicles		Monthly	Used on 3 occasions in November 4/11, 15/11 and 25/11	
	Delegation - E04	EMES	Crossover Approvals		Monthly	None registered for November	

	Delegation - F02	EMCS	Disposal of Council property	Monthly	N/A	
	Delegation - F04	EMCS	Inviting Tenders	Monthly	3 tenders invited	
	Delegation - F05	CEO	Waving of Fees	Monthly	One for the Rotary Club	
	Delegation - F06	CEO	Disposing of Property by Lease or Licence	Monthly	N/A	
	Delegation - R01	EMDS	Approval to keep more than one cat or dog	Monthly	N/A	
		EMCS	Interim Audit	Annually	N/A	
		EMCS	Accounts presented to Council	Monthly	Yes Item 13.4.1	
		EMCS	Financial Report to Council	Monthly	Yes Item 13.4.2	
Reporting	Building Services (Complaint Resolution and Administration) Regulations 2011	Building	Building Services Levy - Payment due by 14th day after the end of the month	Monthly	Yes	
Reporting	Building and Construction Industry Training Fund and Levy Collection Regulations 1991	Building	Building Construction Training Fund Levy - Payment due by 10th day after the end of the month	Monthly	Yes	

UNCONFIRMED



**CREDITOR CHECK FOR NOVEMBER 2021**

EFT #	Creditor	Invoice Amount	Invoice #	Invoice Date	Order #	Order Amount	Purchase Order Written	Signing Officer Name	Purchasing Procedure Checklist attached and completed correctly	Date of order prior to date of invoice
42112	Redmac Family Trust ATF Redmac WA P/L	2021.99 \$10,450		4/11/2021	61916	\$10,450	20/05/2021	EMES	N/A	yes
41855	Charles Service Company	\$1,834.38	34392	28/10/2021	63246	\$4,032.00	23/08/2021	Building Super	N/A	Yes
41856	Common Ground Trails	\$2,200 \$3300 \$7150	18553 18575 18590	31/8/2021 28/9/2021 28/10/2021	63959	\$35,750	19/10/2021	EMCS	NO	NO
41908	Belingarni Fabrication Home and Property	\$3,520	832	26/10/2021	64059	\$3,520	25/10/2021	Parks & gardens	N/A	Yes
41914	Civic Legal	\$5335.68 \$7589.32	509015	31/10/2021	60588 62808	35000 50,000	8/01/2021 23/7/21	CEO	Yes	Yes
41921	Ixom Operations P/L	3264.8	6446902	1/11/2021	64012	\$3,200.44	21/10/2021	Parks & gardens	N/A	Yes
41946	IW Projects	\$2,128.50	1361	31/10/2021	62985	\$29,325	4/08/2021	EMDS	N/A	Yes
41956	Price Consulting Group	\$5,430.83	4947	2/11/2021	62242	\$5,430.83	17/06/2021	CEO	N/A	Yes
42065	Clackline Fencing Contractors	\$820	1441	20/11/2021	63834	\$820	7/10/2021	Parks & gardens	N/A	Yes



42069	Fire Mitigation Services	\$53,105.65	# 590	# 25/10/2021	# 61825	\$464,924.26	7/05/2021	CEO	Yes	Yes
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UNCONFIRMED



### Attachment 2 – December 2021 Compliance Calendar and Creditors Checklist

#### DECEMBER COMPLIANCE CALENDAR

SOURCE	Section	PROCESS OWNER	ACTIVITY DESCRIPTION	COMPLIANCE ACCOUNTABILITY	SCHEDULE	COMMENTS	Sign
Local Government Act 1995	S3.59 - Commercial Enterprises	CEO	Have SoN entered into any major trading undertakings, if so has section 3.59 been complied with		Monthly	N/A	
Local Government Act 1995	S5.16	CEO	Is the delegations register current (ie not more than 12 months old)		Annually -June	yes the 2021/22 register is on the website	
Local Government Act 1995	S5.67	CEO	Where an elected member disclosed a financial interest, did they leave the meeting and not participate in discussion or decision making on the item		Monthly	One member declared a financial interest and left the room	
Local Government Act 1995	S5.65 & s5.73	CEO	Were all known elected member and staff disclosures of impartiality made at the Council meeting		Monthly	All known disclosures were made	
Local Government Act 1995	S5.73 & S103	CEO	Were ALL disclosures recorded in the minutes		Monthly	Yes all known disclosures were made	
Local Government Act 1995	S5.75	CEO	Have primary returns been lodged within 3 months of elected member 'start dates'		Annually - January	N/A	
Local Government Act 1995	S5.76	CEO	Have all new 'designated' employees completed their primary returns within 3 months of commencement		Monthly	yes	
Local Government Act 1995	S5.88	CEO	Is the register of financial interests up to date		Monthly	The register is up to date	
Local Government Act 1995	S5.89	CEO	Have all resigned members and staff returns been removed from the financial interest register		Monthly	Yes	
Local Government Act 1995	S103	CEO	Is the gift register up to date and on the Council website		Monthly	No known gifts have been received for 2021	
Local Government Act 1995	S3.58 - Disposal of Property	CEO	Did the Council dispose of any property in the month, and if so was s3.58 complied with		Monthly	N/A	
Local Government Act 1995	S5.121 - Minor Breach	EMCS	Has the complaints officer maintained the complaints of a minor breach register and is the online register up to date		Monthly	No reportable minor breaches have occurred relating to s5.121	
Local Government Act 1995	S3.57 & F/G Reg 11	EMCS	Have tenders been called for all good or services in excess of \$250k		Monthly	Yes, RFT07of 2021,	
Local Government Act 1995	S3.57 & F/G Reg 14	EMCS	Was state-wide public notice given for all tenders		Monthly	Yes, RFT07of 2021,	
Local Government Act 1995	F/G Reg 16	EMCS	Receiving and opening Tenders completed by two persons, details of tenders to be immediately recorded		Monthly	None opened in December	
Local Government Act 1995	F/G Reg 18	EMCS	Rejecting and accepting Tenders		Monthly	N/A	
Local Government Act 1995	F/G Reg 18 (1)	EMCS	Tender to be submitted before close of Tender and submitted to the Shire office		Monthly	N/A	
Local Government Act 1995	F/G Reg 18 (4)	EMCS	Written evaluation of each Tenderer's criteria		Monthly	RFT 6 of 2021 was evaluated	
Local Government Act 1995	F/G Reg 17	EMCS	Tender Register to be maintained and available for inspection		Monthly	Yes	
Local Government Act 1995	F/G Reg 19	EMCS	Tenderers to be notified of outcome		Monthly	N/A	

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Local Government Act 1995	F/G Reg 24AD (2)	EMCS	Statewide Public Notice of the invitation to apply to join a pre-qualified panel	Monthly	N/A	
Local Government Act 1995	F/G Reg 24AD (4)	EMCS	Notice to include brief description of goods and services to be supplied by pre-qualified panel	Monthly	N/A	
Local Government Act 1995		EMCS	Annual report accepted	31-Dec	Going before meeting in January	
Local Government Act 1995		Governance	Review meeting attendance	Monthly	Completed	
Local Government Act 1995	s.5.103, s.5.104 Admin.Regis. Part 9 Rules of Conduct Regs.	Governance	<b>Policy Review- Code of Conduct</b> - provide Council report to enable the new council to review and adopt the Code of Conduct	Bi Annually	Completed	
	Delegation - B02	EMDS	Buildings - Grant or Refuse Demolition Permit - register completed?	Monthly	Nothing registered since September	
	Delegation - E01	EMES	Temporary Closure of Thoroughfares to vehicles	Monthly	Fitzgerald Street East for Carols on Fitzgerald	
	Delegation - E04	EMES	Crossover Approvals	Monthly	No crossovers this month One crossover this month	
	Delegation - F02	EMCS	Disposal of Council property	Monthly	No auctions	
	Delegation - F04	EMCS	Inviting Tenders	Monthly	Xtension of a week for RFT 07 of 2021	
	Delegation - F05	CEO	Waving of fees	Monthly	2 lots of fees were waived. 1 o 10/12/21 and 1 on 24/12/21	
	Delegation - F06	CEO	Disposing of Property by Lease or Licence	Monthly	None	
	Delegation - R01	EMDS	Approval to keep more than one cat or dog	Monthly	None	
		EMCS	Interim Audit	Annually		
		EMCS	Accounts presented to Council	Monthly	Yes	
		EMCS	Financial Report to Council	Monthly	Yes	
			Annual Report to DLGSC	by 30 Dec	Registered with DLGSC 16/12/21	
Reporting	Building Services (Complaint Resolution and Administration) Regulations 2011	Building	Building Services Levy - Payment due by 14th day after the end of the month	Monthly	Yes	
Reporting	Building and Construction Industry Training Fund and Levy Collection Regulations 1991	Building	Building Construction Training Fund Levy - Payment due by 10th day after the end of the month	Monthly	Yes	

**DECEMBER 2021 RANDOM CREDITOR AUDIT**

EFT #	Creditor	Invoice Amount	Invoice Date	Order #	Order Amount	Purchase Order Written	Signing Officer Name	Purchasing Procedure Checklist attached and completed correctly	Date of order prior to date of invoice
42129	Charles Service Company	10,781.49 676.5	22/11/21 22/11/21	62742 64262	104580 14255.45	20/07/2021 08/11/2021	EMES CEO	Yes	Yes
42137	JH Computer Services	5280	4/11/21	64212	5,280	3/11/2021	EMCS	N/A	Yes
42182	Belingarni Fabrication	1,355.20	30/11/21	64465	1,600	18/11/2021	Parks & Gardens	N/A	Yes
42199	Lucy's Tearooms	338	3/11/21	63346	338	30/08/2021	Purchasing	N/A	Yes
42254	Jtagz P/L	142.05	26/11/21	64533	142	24/11/2021	Senior Ranger	N/A	Yes
42271	The Shoe Repair Man	234	19/11/21	64086	234	27/10/2021	Senior Building Surveyor	N/A	Yes
42287	Common Ground Trails P/L	6,050	22/11/21	63959	35,750	19/10/2021	EMCS - Work commenced before contract signed	No	No
42318	Transwest WA Australian Stone Company	2,934.36	30/11/21	64238	2,970	5/11/2021	Works Manager	N/A	Yes
42382	Access Unlimited International P/L	1,900	29/11/21	64263	1,900	8/11/2021	Parks & Gardens	N/A	Yes
42376	Walkabout Fashion Accessories	359.85	23/11/21	64504	361.71	23/11/2021	Tourism & Comms	N/A	

## 6.5 RISK REGISTER

<b>File Reference:</b>	8.2.7.1
<b>Reporting Officer:</b>	Jason Whiteaker, Chief Executive Officer
<b>Responsible Officer:</b>	Jason Whiteaker, Chief Executive Officer
<b>Officer Declaration of Interest:</b>	Nil.
<b>Voting Requirement:</b>	Simple majority
<b>Press release to be issued:</b>	No

### BRIEF

To provide Council with information pertaining to the organisational risk register.

### ATTACHMENTS

Attachment 1: Overdue/Non-compliant Risks.

### A. BACKGROUND / DETAILS

The Shire of Northam have an organisational wide risk register which has been developed over a period of time. Council has been advised previously that the management of risk is an area which has been under developed within the Shire of Northam and an area which was receiving a focus to ensure the Elected Council was aware of the identified risks and treatments strategies in place.

To assist in the effective management of risk the Shire of Northam are using the Promapp system, which allows for recording of organisational risks and the tracking of the associated treatment actions.

### B. CONSIDERATIONS

#### B.1 Strategic Community / Corporate Business Plan

Theme Area 6: Governance & Leadership.

Outcome 6.4: The Elected Members of the Shire of Northam provide accountable, strong and effective community leadership.

Objective: Develop clear policy settings to guide our organisation and community.

#### B.2 Financial / Resource Implications

Council allocates \$27,000 per annum for the Promapp system. Promapp is used for process mapping, risk management and OHS management.

### B.3 Legislative Compliance

AS/NZS ISO 31000:2009

### B.4 Policy Implications

Council has recently endorsed policy G1.11 – Risk Management.

### B.5 Stakeholder Engagement / Consultation

Council was involved in the development of the risk management policy and the past endorsement of the risk management plan.

### B.6 Risk Implications

Risk Category	Description	Rating (consequence x likelihood)	Mitigation Action
Financial	Nil.	N/A	N/A
Health & Safety	Nil.	N/A	N/A
Reputation	Negative community perception due to lack of adequate risk management practices within the Shire of Northam	Minor(2) x Possible(3) = Moderate(6)	Per recommendation within this report
Service Interruption	Nil.	N/A	N/A
Compliance	Non-compliance of Australian Standards and legislation due to lack of risk management practices.	Minor(2) x Possible(3) = Moderate(6)	Per recommendation within this report
Property	Nil.	N/A	N/A
Environment	Nil.	N/A	N/A

## C. OFFICER'S COMMENT

As part of the risk management policy Council has established two main performance indicators being;

1. % of high or extreme risks without mitigation / treatment strategies in place.

Currently all high or extreme risks have mitigation/treatment strategies.

2. % of risk mitigation / treatment strategies over due

Currently have 111 risk mitigation/treatment strategies, of which **3 are overdue (which equates to 2.70%).**

- a. MC00090 - Revaluations of Council Building Assets (Fair Value)
- b. MC00002 - Audit of monthly compliance calendar.
- c. MC00010 - Ensure the delegated authority register is up to date for tenders and purchases through E-Quotes.

**RECOMMENDATION / COMMITTEE DECISION**

**Minute No: AU.215**

**Moved: Cr Appleton**

**Seconded: Cr Ryan**

**That Council receives the February 2022 Shire of Northam Risk Register update.**

**CARRIED 3/0**

## Attachment 1 - Overdue/Non-compliant Risks

### Overdue / Non-Compliant Risks



Filter: Overdue / Non-compliant

<p>RESIDUAL  <b>7.5</b>                  MODERATE</p> <p>INHERENT  <b>25.0</b></p> <p>R00011</p>	<p>CORPORATE SERVICES, COMPLIANCE - LEGISLATIVE, FINANCIAL - OPERATIONAL</p> <p><b>Inadequate procurement / tender process</b>                  Council fails to meet legislative obligations, Council policy and Council delegations relating to procurement resulting in departmental investigation, potential disciplinary action, poor financial outcomes and reputation damage.</p> <p>OWNER Executive Manager Corporate Services (Portfolio Manager)                  CREATED 07/05/2019 10:29:20</p> <p>LIKELIHOOD Almost Certain                  SEVERITY Extreme                  CONTROL EFFECTIVENESS Strong</p>	<p>TREATMENT MC00008</p> <p>Manage Procurement - Identify need for procurement                  Establish and comply with a purchasing policy.</p>	<p><b>CHANGE(S) PENDING</b></p> <p>SIGNOFF(S): Colin Young                  Sue Connell</p> <p>DUE DATE: 01 May 2023</p> <p>FREQUENCY: The first Day of every 24 months</p>
	<p>TREATMENT MC00009</p> <p>Monthly random internal audit of five (5) purchases to be performed to ensure compliance with purchasing requirements.</p>	<p>SIGNOFF(S): Cheryl Greenough</p> <p>DUE DATE: 14 Mar 2022</p> <p>FREQUENCY: 14th day of every month</p>	
	<p>TREATMENT MC00010</p> <p>Ensure the delegated authority register is up to date for tenders and purchases through E-Quotes.</p>	<p><b>OVERDUE</b></p> <p>SIGNOFF(S): Cheryl Greenough</p> <p>DUE DATE: 14 Feb 2022</p> <p>FREQUENCY: 14th day of every month</p>	
	<p>TREATMENT MC00112</p> <p>Review Procurement Policy.</p>	<p>SIGNOFF(S): Sue Connell                  Colin Young</p> <p>DUE DATE: 01 Oct 2022</p> <p>FREQUENCY: 1st day of every 12 months</p>	



RESIDUAL  
**6.0**  
 MODERATE

INHERENT  
**20.0**

R00001

CORPORATE SERVICES, COMPLIANCE - LEGISLATIVE

**Failure to fulfil statutory, regulatory or compliance requirements**

Council is exposed to reputation damage and serious breaches due to a failure to comply with legislative and compliance requirements

OWNER Colin Young  
 CREATED 08/04/2019 14:46:49

LIKELIHOOD Almost Certain  
 SEVERITY Major  
 CONTROL EFFECTIVENESS Strong

TREATMENT MC00002

Audit of monthly compliance calendar

**OVERDUE**  
 SIGNOFF(S): Cheryl Greenough  
 DUE DATE: 14 Feb 2022  
 FREQUENCY: 14th day of every month

TREATMENT MC00007

Manage Inductions - Conduct New Employee Induction  
 All new employees are provided with adequate inductions

**CHANGE(S) PENDING**  
 SIGNOFF(S): Alison Clifton  
 DUE DATE: 25 Feb 2022  
 FREQUENCY: Fri every week

TREATMENT MC00009

Monthly random internal audit of five (5) purchases to be performed to ensure compliance with purchasing requirements.

SIGNOFF(S): Cheryl Greenough  
 DUE DATE: 14 Mar 2022  
 FREQUENCY: 14th day of every month

TREATMENT MC00058

Organisational Compliance Calendar in place and reviewed by Executive Management Group

SIGNOFF(S): Cheryl Greenough  
 DUE DATE: 01 Mar 2022  
 FREQUENCY: The first Day of every 12 months

TREATMENT MC00059

Induction & Training provided to elected members

SIGNOFF(S): Cheryl Greenough  
 DUE DATE: 30 Nov 2023  
 FREQUENCY: The last Day of every 24 months

TREATMENT MC00060

Complete Annual Compliance Return (Dept Local Government)

SIGNOFF(S): Cheryl Greenough  
 DUE DATE: 28 Feb 2022  
 FREQUENCY: The last Day of every 12 months

UNCOMPLETED

RESIDUAL  
**3.6**  
 LOW

INHERENT  
**12.0**

R00033

GENERAL, REPUTATION - COMMUNITY

**Errors, Omissions & Delays**

Errors, omissions or delays in operational activities as a result of unintentional errors or failure to follow due process or potentially inadequate resources. This includes instances of;

- Human errors, incorrect or incomplete processing
- Inaccurate recording, maintenance, testing and / or reconciliation of data.
- Errors or inadequacies in model methodology, design, calculation or implementation of models.

This may result in incomplete or inaccurate information.

Consequences include;

- Inaccurate data being used for management decision making and reporting.
- Delays in service to customers
- Inaccurate data provided to customers

This excludes process failures caused by inadequate / incomplete procedural documentation - refer "Inadequate Document Management Processes".

OWNER Jason Whiteaker  
 CREATED 02/07/2019 13:56:01

LIKELIHOOD Likely  
 SEVERITY Medium  
 CONTROL EFFECTIVENESS Strong

TREATMENT MC00002

Audit of monthly compliance calendar

**OVERDUE**

SIGNOFF(S): Cheryl Greenough  
 DUE DATE: 14 Feb 2022  
 FREQUENCY: 14th day of every month

TREATMENT MC00007

Manage Inductions - Conduct New Employee Induction  
 All new employees are provided with adequate inductions

**CHANGE(S) PENDING**

SIGNOFF(S): Alison Clifton  
 DUE DATE: 25 Feb 2022  
 FREQUENCY: Fri every week

TREATMENT MC00009

Monthly random internal audit of five (5) purchases to be performed to ensure compliance with purchasing requirements.

SIGNOFF(S): Cheryl Greenough  
 DUE DATE: 14 Mar 2022  
 FREQUENCY: 14th day of every month

TREATMENT MC00083

Manage Inductions - Conduct New Employee Induction  
 Ensure staff are inducted into the organisation

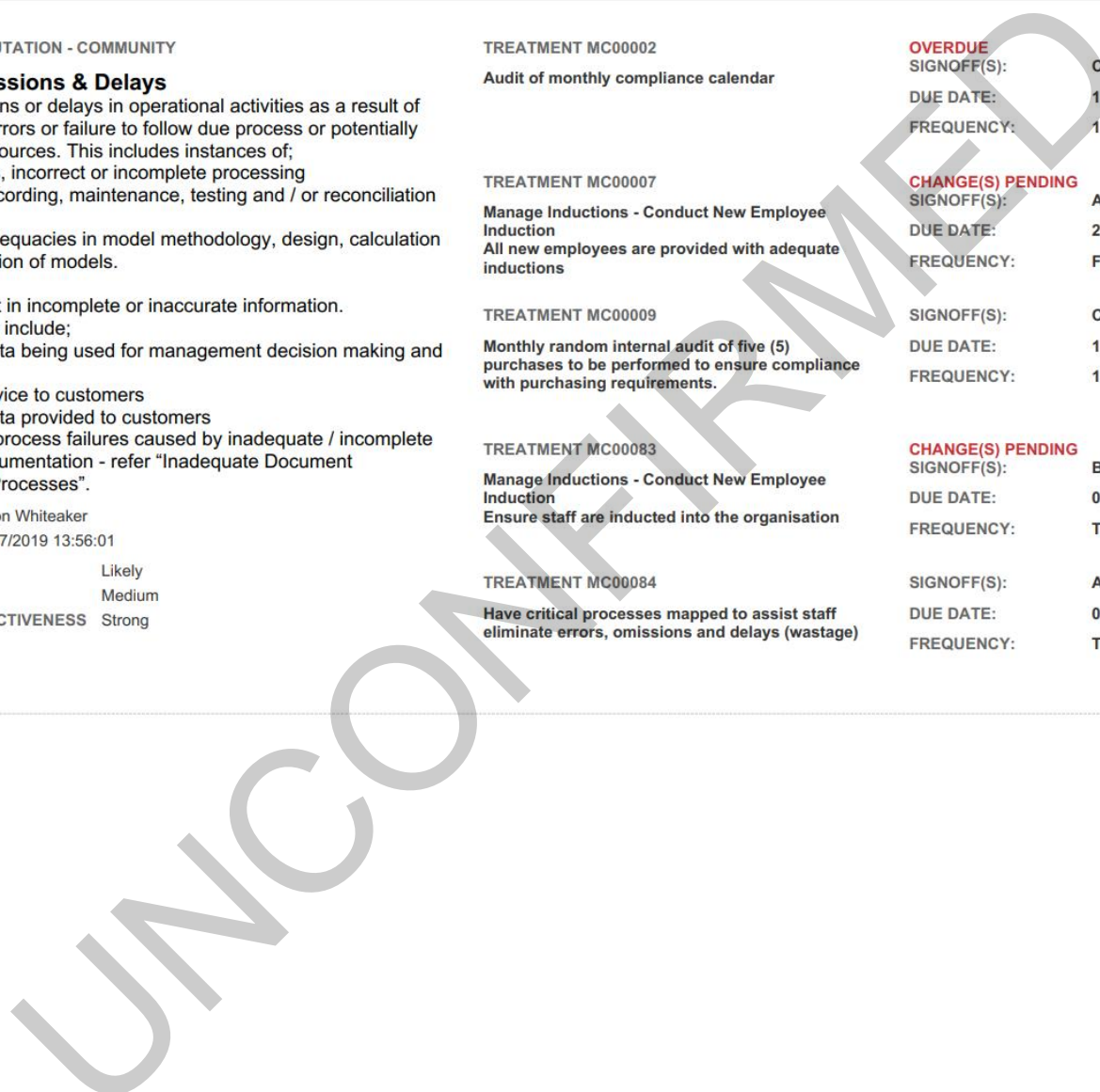
**CHANGE(S) PENDING**

SIGNOFF(S): Beverley Jones  
 DUE DATE: 01 Oct 2022  
 FREQUENCY: The first Day of every 12 months

TREATMENT MC00084

Have critical processes mapped to assist staff eliminate errors, omissions and delays (wastage)

SIGNOFF(S): Alysha McCall  
 DUE DATE: 01 Dec 2022  
 FREQUENCY: The first Day of every 12 months



RESIDUAL  
**3.6**  
 LOW

INHERENT  
**12.0**

R00038

AMP - TRANSPORT, ENVIRONMENTAL - BUILT

**Inaccurate Asset Valuations**

Valuations are carried out, however inaccurate resulting in impact on Council decision making and financial ratios

OWNER Colin Young  
 CREATED 15/07/2019 16:47:14  
 LIKELIHOOD Possible  
 SEVERITY Major  
 CONTROL EFFECTIVENESS Strong

TREATMENT MC00090

Revaluations of Council Building Assets (Fair Value)

**OVERDUE**  
 SIGNOFF(S): Colin Young  
 DUE DATE: 01 Feb 2022  
 FREQUENCY: The first Day of every 60 months

TREATMENT MC00091

Revaluations of Council Transport Infrastructure Assets (Fair Value)

SIGNOFF(S): Colin Young  
 DUE DATE: 03 Oct 2022  
 FREQUENCY: The first Day of every 60 months

TREATMENT MC00092

Revaluation of Council Plant & Equipment

SIGNOFF(S): Colin Young  
 DUE DATE: 01 Oct 2025  
 FREQUENCY: The first Day of every 60 months

RESIDUAL  
**3.6**  
 LOW

INHERENT  
**12.0**

R00041

AMP - BUILDINGS, ENVIRONMENTAL - BUILT, HEALTH & SAFETY

**Condition of buildings is unknown**

Council is unclear as to the condition of its building assets and therefore unable to make informed decisions, resulting in poor building condition and building safety concerns

OWNER Shane Moorhead  
 CREATED 16/07/2019 11:26:43  
 LIKELIHOOD Possible  
 SEVERITY Major  
 CONTROL EFFECTIVENESS Strong

TREATMENT MC00019

Up to date and accurate building asset management plan in place

SIGNOFF(S): Jason Whiteaker  
 Colin Young  
 DUE DATE: 01 Jun 2023  
 FREQUENCY: The first Day of every 24 months

TREATMENT MC00090

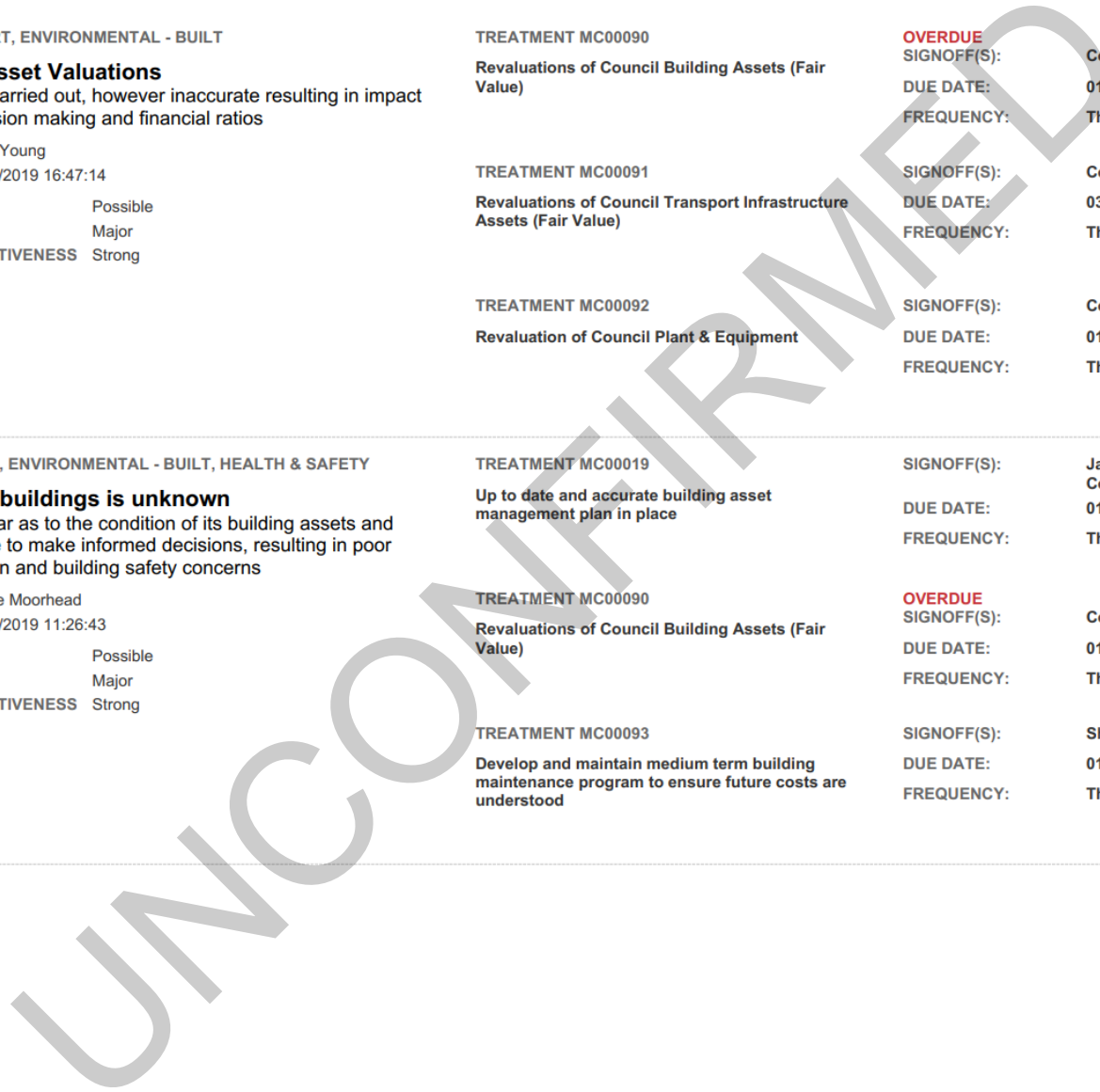
Revaluations of Council Building Assets (Fair Value)

**OVERDUE**  
 SIGNOFF(S): Colin Young  
 DUE DATE: 01 Feb 2022  
 FREQUENCY: The first Day of every 60 months

TREATMENT MC00093

Develop and maintain medium term building maintenance program to ensure future costs are understood

SIGNOFF(S): Shane Moorhead  
 DUE DATE: 01 Nov 2022  
 FREQUENCY: The first Day of every 12 months



RESIDUAL  
**3.6**  
 LOW

INHERENT  
**12.0**

R00045

AMP - BUILDINGS, FINANCIAL - STRATEGIC

**Financial performance indicators not met**

The asset class does not meet the established financial performance parameters, resulting in an indication of asset sustainability

OWNER Jason Whiteaker  
 CREATED 16/07/2019 11:38:59

LIKELIHOOD Likely  
 SEVERITY Medium  
 CONTROL EFFECTIVENESS Strong

TREATMENT MC00019

Up to date and accurate building asset management plan in place

SIGNOFF(S): Jason Whiteaker  
 Colin Young  
 DUE DATE: 01 Jun 2023  
 FREQUENCY: The first Day of every 24 months

TREATMENT MC00021

Long Term Financial Plan aligned to asset management plans

SIGNOFF(S): Colin Young  
 DUE DATE: 01 Dec 2022  
 FREQUENCY: The first Day of every 12 months

TREATMENT MC00090

Revaluations of Council Building Assets (Fair Value)

**OVERDUE**  
 SIGNOFF(S): Colin Young  
 DUE DATE: 01 Feb 2022  
 FREQUENCY: The first Day of every 60 months

TREATMENT MC00091

Revaluations of Council Transport Infrastructure Assets (Fair Value)

SIGNOFF(S): Colin Young  
 DUE DATE: 03 Oct 2022  
 FREQUENCY: The first Day of every 60 months

UNCONFIRMED



## 6.6 COVID19 BUSINESS CONTINUITY RESPONSE PLAN

<b>File Reference:</b>	1.1.9.16
<b>Reporting Officer:</b>	Jason Whiteaker, Chief Executive Officer
<b>Responsible Officer:</b>	Jason Whiteaker, Chief Executive Officer
<b>Officer Declaration of Interest:</b>	Nil.
<b>Voting Requirement:</b>	Simple majority
<b>Press release to be issued:</b>	No

### BRIEF

To provide Council with an update on the Shire of Northam COVID-19 Business Continuity Plan.

### ATTACHMENTS

Attachment 1: Draft BCP (to be provided).

### A. BACKGROUND / DETAILS

The Covid-19 Pandemic represents the most significant foreseeable business continuity risk for the Shire of Northam. Staff have been working on finalising the revised Pandemic BCP, which sits underneath the Shire's overall BCP, providing specific recommendations and actions associated with organisational responses to the pandemic.

### B. CONSIDERATIONS

#### B.1 Strategic Community / Corporate Business Plan

Theme Area 6: Governance & Leadership.

Outcome 6.4: The Elected Members of the Shire of Northam provide accountable, strong and effective community leadership.

Objective: Develop clear policy settings to guide our organisation and community.

#### B.2 Financial / Resource Implications

The impacts of Covid-19 on business operations is unknown given it will very much depend on the occurrence / exposure. Additional financial resources (approximately \$25,000) has been allocated to resource the organisation in areas such as additional lap tops, Rapid Antigen Tests and PPE.

### B.3 Legislative Compliance

Various State Government Directions

### B.4 Policy Implications

Council has recently endorsed policy G1.11 – Risk Management.

### B.5 Stakeholder Engagement / Consultation

Various key staff have been consulted in relation to BCP planning. All staff will be provided with access to the BCP once it has been finalised (during the week of the 21<sup>st</sup> February)

### B.6 Risk Implications

Risk Category	Description	Rating (consequence x likelihood)	Mitigation Action
Financial	Staff are impacted financially because of being unable to attend work	Minor(2) x Possible(3) = Moderate(6)	Per recommendation within the BCP
Health & Safety	Covid-19 spreads throughout the organisation	Minor(2) x Likely(4) = Moderate(8)	Per recommendation within the BCP
Reputation	Business operations / services are interrupted	Minor(2) x Possible(3) = Moderate(6)	Per recommendation within the BCP
Service Interruption	Facilities are closed as a result of being exposure site/or staff unavailability	Medium (3) x Likely(4) = High (12)	Per recommendation within the BCP
Compliance	Failure to comply with State Government directions	High (4) x Possible(3) = High (12)	Per recommendation within the BCP
Property	Nil.	N/A	N/A
Environment	Nil.	N/A	N/A

## C. OFFICER'S COMMENT

The Chief Executive Officer provided an outline of the Covid-19 Business Continuity Plan;

- Working Group has been established including all Executive Managers and a range of other staff (13 employees on the working in total)
- Risk based approach taken, with the following risks to the continuation of Council operations being identified
- Information Technology
- Cyber Risks (offsite workstations)

- Employee risks - containing potential outbreaks. Mitigation includes various staff working from home, identification and splitting of key roles/employees to ensure continuity of service if one or more employees is impacted by Covid-19, managing employees working from home, ensuring strong communication with staff, utilisation of all available office space (offsite), managing Covid-19 related absences,
- Business & Operational Risks. Identified appetite for various facilities and functions being shut (acceptable timeframe), supply chain management
- Communication risks – with employees, Council and Community.
- Scenario analysis – staff have worked to compile a range of scenario and how we plan to react in these situations (including facility being exposed to Covid-19, Co-working testing positive to Covid-19 etc)

**RECOMMENDATION / COMMITTEE DECISION**

**Minute No: AU.216**

**Moved: Cr Ryan**  
**Seconded: Cr Appleton**

**That Council**

- 1. Receives the COVID-19 Business Continuity Response Plan update.**
- 2. Supports the COVID 19 Leave position included in the Pandemic Business Continuity Response Plan**

**CARRIED 3/0**

## **7. URGENT BUSINESS APPROVED BY DECISION**

Nil.

## **8. DATE OF NEXT MEETING**

The next Audit and Risk Management Committee meeting is proposed to be held on 26 May 2022 at 5:00pm.

## **9. DECLARATION OF CLOSURE**

There being no further business, the Shire President, Cr C R Antonio declared the meeting closed at 6:13pm.

"I certify that the Minutes of the Audit and Risk Management Committee held on 24 February 2022 have been confirmed as a true and correct record."

\_\_\_\_\_ President

\_\_\_\_\_ Date