



Shire of Northam
Heritage, Commerce and Lifestyle

SHIRE OF NORTHAM

**MINUTES OF THE
AUDIT COMMITTEE MEETING
HELD ON
MONDAY
16 MARCH 2015**

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**Minutes of the Audit Committee Meeting held in the Council Chambers on
MONDAY, 16 March 2015 at 6:04pm**

DISCLAIMER

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In particular and without derogating in any way from the broad disclaimer above, in any discussion regarding any planning application or application for a licence, any statement or limitation of approval made by a member or officer of the Shire of Northam during the course of any meeting is not intended to be and is not taken as notice or approval from the Shire of Northam. The Shire of Northam warns that anyone who has an application lodged with the Shire of Northam must obtain and only should rely on **WRITTEN CONFIRMATION** of the outcome of the application, and any conditions attaching to the decision made by the Shire of Northam in respect of the application.

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1. OPENING AND WELCOME

The Presiding Member, Cr S B Pollard declared the meeting open at 6.04pm.

2. DECLARATION OF INTEREST

Item Name	Item No.	Name	Type of Interest	Nature of Interest
Mid Year Budget Review (Appendix 1)	7.1	Cr Kathy Saunders	Proximity	The nature of her interest is that 'Seldom Seen' property, her place of residence and farming lands is bounded by Minney Rd, on the North side. The extent of her interest is proximity.

3. ATTENDANCE

COUNCIL

Councillors

S B Pollard
T M Little
K D Saunders
U Rumjantsev
A W Llewellyn
D G Beresford
D A Hughes

Chief Executive Officer
Executive Manager Corporate Services
Executive Assistant – CEO

J B Whiteaker
D R Gobbart
A C Maxwell

GALLERY

4. APOLOGIES

Councillor

J E Williams

5. LEAVE OF ABSENCE PREVIOUSLY APPROVED

Cr R Tinetti has been granted leave of absence from Wednesday, 11 March 2015 to Wednesday, 18 March 2015 inclusive.

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6. CONFIRMATION OF MINUTES OF PREVIOUS MEETINGS

RECOMMENDATION / COMMITTEE DECISION

Minute No: AU.052

Moved: Cr Llewellyn

Seconded: Cr Hughes

That the minutes of the Audit Committee meeting held Wednesday, 19 November 2014 be confirmed as a true and correct record of that meeting.

CARRIED 7/0

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Cr K D Saunders declared a “proximity” interest in item 7.1 – Mid Year Budget Review as ‘Seldom Seen’ property, her place of residence and farming lands is bounded by Minney Rd, on the North side. The extent of her interest is proximity.

COMMITTEE DECISION

Minute No: AU.053

Moved: Cr Beresford

Seconded: Cr Little

That Council, under section 5.68 of the Local Government Act 1995 allow Cr K D Saunders to be present during any discussion or decision making procedure relating to item 7.1 – Mid Year Budget Review as the interest is viewed to be insignificant and unlikely to influence the disclosing member’s conduct in relation to the matter.

CARRIED 7/0

7. AGENDA ITEMS

7.1 MID YEAR BUDGET REVIEW (APPENDIX 1)

Name of Applicant:	Internal Report
File Ref:	8.2.7.1
Officer:	Denise Gobbart
Officer Interest:	N/A
Policy:	N/A
Voting:	Absolute Majority Vote Required
Date:	9 March 2014

PURPOSE

To consider and adopt the Budget Review as presented in the Statement of Financial Activity for the period 1 July 2014 to 31 January 2015.

BACKGROUND

A Statement of Financial Activity incorporating year to date budget variations and forecasts to 30 June 2015 for the period ending 31 January 2015 is presented for council to consider. The *Local Government (Financial Management) Regulations 1996*, regulation 33A as amended, requires that local governments conduct a budget review between 1 January and 31 March in each financial year. A copy of the review and determination is to be provided to the Department of Local Government within 30 days of the adoption of the review.

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STATUTORY REQUIREMENTS

Regulation 33A of the Local Government (Financial Management) Regulations 1996 requires:

- (1) *Between 1 January and 31 March in each financial year a local government is to carry out a review of its annual budget for that year.*
- (2A) *The review of an annual budget for a financial year must —*
 - (a) *consider the local government's financial performance in the period beginning on 1 July and ending no earlier than 31 December in that financial year; and*
 - (b) *consider the local government's financial position as at the date of the review; and*
 - (c) *review the outcomes for the end of that financial year that are forecast in the budget.*
- (2) *Within 30 days after a review of the annual budget of a local government is carried out it is to be submitted to the council.*
- (3) *A council is to consider a review submitted to it and is to determine* whether or not to adopt the review, any parts of the review or any recommendations made in the review.*

**Absolute majority required.*

- (4) *Within 30 days after a council has made a determination, a copy of the review and determination is to be provided to the Department.*

CONFORMITY WITH THE COMMUNITY STRATEGIC PLAN

Objective: G2 Improve organisational capability and capacity

Strategy: G2.3 Operate in a financially sustainable manner

BUDGET IMPLICATIONS

The subsequent review will incorporate Budget Amendments which will impact in accordance with the schedule provided.

OFFICER'S COMMENT

The budget review has been prepared to include information required by the *Local Government Act 1995, Local Government (Financial Management) Regulations 1996* and Australian Accounting Standards. Council adopted a 10% and a \$20,000 minimum for the reporting of material variances to be used in the statements of financial activity and the annual budget review.

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The budget has been reviewed to continue to deliver on other strategies adopted by the Council and maintains a high level of service across all programs.

RECOMMENDATION

That Council;

- 1. Receive the Budget Review conducted for the seven (7) months ended 31 January 2015;**
- 2. Authorise the Chief Executive Officer to amend the 2014/15 Budget in accordance with the attached report titled 'Budget Review as at 31 January 2015 - Budget Amendment Recommendations' and dated 09 March 2015.**

COMMITTEE DECISION

Minute No: AU.054

Moved: Cr Rumjantsev

Seconded: Cr Little

That Council;

- 1. Receive the Budget Review conducted for the seven (7) months ended 31 January 2015;**
- 2. Authorise the Chief Executive Officer to amend the 2014/15 Budget in accordance with the attached report titled 'Budget Review as at 31 January 2015 - Budget Amendment Recommendations' and dated 09 March 2015.**
- 3. Authorise an additional transfer of up to \$50,000 from Shire of Northam Road & Bridge Reserve if required to offset additional road construction costs identified within the budget review.**

CARRIED 7/0

Items discussed

Cr Pollard requested clarification in respect to a number items listed on the budget review (appendix 1) these are listed below;

Line 10 & 11 - Questioned the funds for consultants. It was confirmed that the process mapping was the item which was endorsed at Council at the Ordinary meeting held in October. Council was also advised that consultant funds included that for the business case in respect to the Aboriginal Centre and drainage works.

Line 19 & 24 - Advised that the proposed increase in budget was due to the CESM having to work more than anticipated hours overtime.

Line 20 - Advised that this was a budget oversight that the ranger to a ranger administration officer was made full time and not provided for.

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- Line 55 - Ceiling at the Northam Town / Lessor Hall required fixing which was not anticipated or budgeted for.
- Line 58 - Questioned whether it was necessary to have a lifeguard at the Wundowie Pool at all times. Staff confirmed that this is a requirement, we have a duty of care and legal obligations which need to be met.
- Line 59 - Additional funds required to ensure sufficient funds are available to undertake pool structure assessment.
- Line 64 - Questioned whether the decrease in pool entrance fees could be due to the waterpark. Staff advised that they have not undertaken an assessment however it could be possible.
- Line 72 - Staff budgeted to receive \$40,000 for the Club Development Office, however only \$20,000 was received.
- Line 77 - Confirmed that this relates to a reallocation for Royalties for Regions previously endorsed by Council.
- Line 88 - Staff are providing an income / expenditure statement for the Avon Descent which was over budget
- Line 122 - Queries relating to the additional \$50,000 for the Avon Mall. Staff advised this was not only for the Avon Mall but also covered streetscape works along Fitzgerald Street.
- Line 138 - This is for staff wages due to staff working additional hours for activities related to noxious weeds.
- Line 162 to 163 - Cr Saunders commented advising that the road shoulders are not being graded as per previous years and has received a number of queries.
- Line 170 - Advised that staff have had discussions with the Cricket association and it was agreed the cricket pitch would not need to go in until after the 2015 Football season.
- Line 181 to 187 - Was questioned whether the Shire of Toodyay undertake the maintenance of Fernie Road as the majority of the road is in their Shire and they obviously grade it, would make sense if they could continue for the additional 1Km into the Shire of Northam.
- Line 188 - Advised that this is Blackspot related. It was questioned whether these funds come from the reserve. This item was taken on notice.

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7.2 COMPLIANCE AUDIT RETURN 2014 (APPENDIX 2)

Name of Applicant:	Internal Report
File Ref:	1.6.1.6
Officer:	Denise Gobbart
Officer Interest:	N/A
Policy:	Local Government Act 1995
Voting:	Simple Majority
Date:	06/03/2015

PURPOSE

For Council to adopt the Compliance Audit Return (CAR) 2014.

BACKGROUND

Under the Local Government (Audit) Regulations 1996, a Local Government is required to carry out a Compliance Audit for the period 1 January 2014 to 31 December 2014. The certified return needs to be submitted to the Director General, Department of Local Government and Regional Development by 31 March 2015.

The Compliance Audit Return must be:

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

A copy of the return is submitted for Councillor's perusal, comment and adoption by Council before 31 March 2015. It is necessary for the Shire President and the Chief Executive Officer to sign off the return as a certified copy.

The 2014 Compliance Audit Return has been completed in house, with the CEO reviewing 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.

STATUTORY REQUIREMENTS

- Local Government Act 1995;
- Local Government (Functions and General) Regulations 1996;
- Local Government (Administration) Regulations 1996;

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

CONFORMITY WITH THE COMMUNITY STRATEGIC PLAN

Objective: G1	Provide accountable and transparent leadership
Objective: G2	Improve organisational capability and capacity
Objective: G3	Provide efficient and effective corporate management

BUDGET IMPLICATIONS

N/A

OFFICER'S COMMENT

The standard of compliance in 2014 has improved slightly from the past years achievement of 88.5% to 89.8%. For context purposes, non-compliance or partial non-compliance related to eight of the total 78 items included in the Compliance Return.

The Shire has sound management systems and procedures. The examples of non-compliance noted reflected inconsistent or incomplete compliance and human error, and not any systemic failure.

It is important to note that the actual compliance audit process is a detached, retrospective examination of minute, multifaceted, and ambiguous statutory detail specified by the Local Government Act 1995 and associated regulations. Significantly, the CAR excludes the actual working environment and pressures of the day-by-day operational circumstances, and other community priorities that exist in the pragmatic management of the wide range of functions and issues experienced in a vibrant and growing local government such as the Shire. The overall compliance requirement to observe "all written law" places an onerous responsibility on the CEO of a growing local government.

A number of compliance errors and omissions have been identified in the Shire of Northam Compliance Audit Return 2014, namely:

Delegation:

Page 2, No 5, s5.18 – the review of delegations was presented to Council 16/07/2014 which was outside of the 2013/2014 financial year.

Page 2, No 12, s5.46(2) – the review of delegations was presented to Council 16/07/2014 which was outside of the 2013/2014 financial year.

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Page 2, No 13, s5.46(3), Admin Reg 19 – A central register has been implemented, although there was an issue (unable to access) with this Register in January, which resulted in a number of demolition delegations not being entered into the register at the time. This has been rectified.

Disclosure of Interest:

The standard of management of the Primary and Annual returns and registers, and disclosure of interest at meetings has significantly improved from last year.

Page 2, No 1, s5.67 – The minute's record of disclosures at the Regional Centres Implementation Committee held 1 September 2014 indicated that a member that disclosed an impartiality interest, that stated their nature and extent as receiving financial remittance did not leave the Chambers and voted. The item related to the Prioritisation of Growth Plan Projects.

The minute's record of disclosures at the Regional Centres Implementation Committee held 8 September 2014 indicated that a member that disclosed a financial interest, that stated their nature and extent as receiving financial benefit salary and sitting fees did not leave the Chambers and voted. The item related to the Prioritisation of Growth Plan Projects

With a financial interest disclosure the member was required to leave the room.

Page 2, No 2, s5.68(2) – When the above disclosures were made, there was no record made in the minutes as to the extent the member could participate. At the meeting held 08 September 2014, the minute's record that the presiding member advised the meeting that during the course of the meeting that the said member would be required to leave the meeting when matters pertaining to them were discussed or decisions made.

The above matters have been reviewed directly by the CEO and advice given, is that at the meetings referred to there were no matters discussed in relation to the Avon Industrial Park at these meetings, and hence was not required to leave the meeting. Reflecting on these comments, for clarity the minutes should note participation was allowed as the Avon Industrial Park was not discussed. This was confirmed at the Audit Committee meeting (March 16) by attending Members.

Page 3, No 5, s5.75(1) Admin Reg 23 Form 2 – A Primary Return was not lodged on time by a designated staff member. The employee commenced on the 22 April 2014 and the return was submitted 23 July 2014, one (1) day late.

Page 3, No 11 s5.88(3) – Two returns had not been removed from the register when the people ceased to be a person not required to lodge a return.

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Disposal of Property:

Airport hangar leases appear to be an oversight in past compliance returns, as each lease is not taken to Council individually. A blanket approval to lease hangars was given after the Shire took management of the airport from the Northam Aero Club.

Page 4, No 1 s5.58(3) – Three leases were issued for airport hangers that were not advertised.

Page 4, No 2 s5.58(4) – As the three leases issued for airport hangers were not advertised, the prescribed information was not advertised.

Local Government Employees:

The advert for the Executive Manager Community Services (designated Senior Employee) listed a total salary package, but not the benefits provided in the package. The CEO advised that there were not specific / required benefits included in the package, these were open to negotiation with the officer). It also did not state the duration of the contract as required.

Page 6, No 2 s5.36(4), s5.37(3), Admin Reg 18A – The advert for the Executive Manager Community Services did not comply with the requirements.

RECOMMENDATION / COMMITTEE DECISION

Minute No: AU.055

Moved: Cr Rumjantsev

Seconded: Cr Llewellyn

That the Compliance Audit Return 2014, as attached, be adopted and submitted to the Department of Local Government, inclusive of comments on matters to be addressed.

CARRIED 7/0

Items Discussed

Airport leases not advertised – Council were advised that a process is going to be mapped to ensure that this is not an oversight with future airport leases.

Advert for the Executive Manager Community Services – This was an administrative oversight as this did not occur in previous adverts placed for other Executive Managers.

Delegations Register – In relation to the delegations not being recorded, this was due to an electronic issue when accessing the document.

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8. DECLARATION OF CLOSURE

There being no further business the Presiding Officer declared the meeting closed at 7.15pm.

"I certify that the Minutes of the Audit Committee meeting held on Monday, 16 March 2015 have been confirmed as a true and correct record."

_____ Presiding Officer

_____ Date

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APPENDIX 1 – MID YEAR BUDGET REVIEW

BUDGET REVIEW 31 JANUARY 2015

Line No:	Account	Name	Job	Name	Increase in Available Cash \$	Decrease in Available Cash \$	Year to Date Running Balance \$	Comment
1		Estimated Surplus					15,992	
2		Difference In Opening Balance				(11,406)	4,586	Audit adjustments
3	03013003	Rates Levied			8,207		12,793	Additional rates due to valuation changes
4	03013022	Rates Written Off				(7,207)	5,586	Bridgeley Community Centre Rate Exemption
5	03023023	Grants Commission - Untied			16,256		21,842	Cash adjustment 2013/2014
6	03023033	Grants Commission - Road Component			5,348		27,190	Cash adjustment 2013/2015
7	03023053	Royalties for Regions			33,124		60,314	Additional CLGF allocation - original budget incorrect
8	03023003	Pension Deferred Subsidy			5,152		65,466	Additional Interest Received from State Revenue
9	04042032	Presidential Allowance			16,168		81,634	Adjustment due to incorrect calculation of Allowance
10	04042132	Consultants				(60,000)	21,634	Process Mapping Project
11	04042132	Consultants				(15,000)	6,634	Additional Funds For Fair Value of Infrastructure Assets
12	04043053	Grants, Contrib & Reimbursements			7,735		14,369	Refund overpayment of Presidential Allowance
13	04052002	Insurance			1,728		16,097	Lower than anticipated premiums
14	04051503	LSL - Contributions			6,934		23,031	LSL Reimbursed by Cambridge & Mundaring due to staff resignations
15	04053023	Reimbursements GST Free			18,500		41,531	Paid Parental Leave & Refund from ATO interest charged
16	04053053	Insurance Rebate			48,346		89,877	Rebates & Premium adjustments higher than anticipated
17	04059045	Transfer from LSL Reserve			37,103		126,980	Transfer of funds due to LSL taken
18	05061002	Salaries				(14,322)	112,658	Overtime CESH & additional ranger admin hours unbudgetted
19	05063023	Reimbursement - DFES (CESC 60%)			12,000		124,658	Reimbursement of CESH overtime
20	05071002	Salaries				(16,966)	107,692	Additional ranger admin hours unbudgetted and increased overtime
21	05073003	Dog Registration Fees			9,000		116,692	Additional Dog Registration Fees
22	05081002	Salaries				(8,000)	108,692	Overtime CESH
23	05083023	Crime Prevention Grant			22,837		131,529	Northam CCTV Project - Fitzgerald St & Peel Tce
24	05083043	Reimbursement - DFES (CESC 40%)			8,000		139,529	Reimbursement of CESH overtime
25	05087104	Plant & Equipment				(25,000)	114,529	Northam CCTV Project - Fitzgerald St & Peel Tce
26	08171142	Consultancy Services				(4,000)	110,529	Higher than anticipated expenses - Killara Audit requirements
27	08173103	Non Client Income			1,000		111,529	Increased revenue
28	08182022	Youth Services			1,000		112,529	Lower than anticipated expenses
29	08182102	Outside School Hours Care - Salaries			4,101		116,630	Outside School Hours Care Program now finished
30	08182112	Outside School Hours Care - Staff Costs			273		116,903	Outside School Hours Care Program now finished
31	08182122	Outside School Hours Care - Consumables			873		117,776	Outside School Hours Care Program now finished
32	08182132	Outside School Hours Care - Equipment				(77)	117,699	Outside School Hours Care Program now finished
33	08182142	Vacation Care - Wages				(1,595)	116,104	Vaction Care Program now finished
34	08182152	Outside School Hours Care - Bus Hire				(491)	115,613	Outside School Hours Care Program now finished
35	08182172	Vacation Care - Staff Costs				(319)	115,294	Vaction Care Program now finished
36	08182182	Vacation Care - Consumables			57		115,351	Vaction Care Program now finished
37	08182212	Vacation Care - Excursions				(2,737)	112,614	Vaction Care Program now finished
38	08183063	Outside School Hours Care - Fees				(1,755)	110,859	Outside School Hours Care Program now finished

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Line No:	Account	Name	Job	Name	Increase in Available Cash \$	Decrease in Available Cash \$	Year to Date Running Balance \$	Comment
39	08183073	Outside School Hours Care - Govt Rebate				(6,099)	104,760	Outside School Hours Care Program now finished
40	08183083	Outside School Hours Care - Grants			8,148		112,908	Outside School Hours Care Program now finished
41	08183093	Vacation Care - Fees			1,142		114,050	Vaction Care Program now finished
42	08183113	Vacation Care - Govt Rebate			654		114,704	Vaction Care Program now finished
43	08183123	Vacation Care - Grants			2,520		117,224	Vaction Care Program now finished
44	10252062	Zero Waste Plan Development			5,000		122,224	Project to be funded by AROC
45	10252092	Mulching Green Waste			20,000		142,224	Works not required in 2014/2015 - Pile not large enough to justify mobilisation costs for large mulcher at this stage. Locals not suitable to undertake the work.
46	10253003	Residential Bin Charges			13,000		155,224	Additional residential bin charges recieved
47	10253043	Commercial Bin Charges			7,000		162,224	Additional commercial bin charges recieved
48	10283023	Grants			1,027,386		1,189,610	Royalties 4 Regions Funding - Drainage Project
49	10282004	Infrastructure - Drainage	4313	Town Centre Drainage Stage 2		(1,027,386)	162,224	Drainage Project - Royalties for Regions Funded
50	10292032	Interest on Loan #210				(63)	162,161	Final Payout of Loan #210
51	10299004	Loan 210 Principal Repayments				(2,877)	159,284	Final Payout of Loan #210 - July Payment not accounted for
52	10301002	Town Planning Salaries				(36,030)	123,254	Contractor while Senior Planner on leave & Student Planner
53	10303003	Planning/Development Fees			30,000		153,254	Anticipated increase in planning fees
54	10312002	Public Conveniences	1809	Wundowie Toilets		(2,223)	151,031	Increased vandalism
55	11322002	Northam Town & Lesser Hall	1003	Northam Town & Lesser Hall Mtc		(14,745)	136,286	Replacing Ceiling
56	11323013	Charges - Hall Hire				(1,000)	135,286	Lower than anticipated revenue
57	11331002	Northam Pool - Salaries			10,000		145,286	Lower than anticipated Salaries
58	11331012	Wundowie Pool - Salaries			15,000		160,286	Lower than anticipated Salaries
59	11332002	Northam Pool & Building Mtc				(30,000)	130,286	Additional funds required for Condition Audit
60	11332042	Northam Pool - Sundry			500		130,786	Lower than anticipated expenses
61	11332082	Wundowie - Pool Chemicals			3,000		133,786	Lower than anticipated expenses
62	11332102	Northam - Pool Water				(15,000)	118,786	Increased water consumption
63	11332172	Wundowie Pool Building Mtc	5020	Wundowie Pool Building Mtc		(1,500)	117,286	Increased vandalism
64	11333103	Charges General Admission - Northam				(5,000)	112,286	Lower than anticipated revenue
65	11341002	Recreation Centre Salaries			30,000		142,286	Lower than anticipated Salaries
66	11342032	Recreation Control	5491	Sport 4 All - Kidsport		(55,000)	87,286	New round of funding received
67	11342072	Sporting Community Sponsorship			30,000		117,286	Funds surplus to funding applications
68	11343083	Recreation Centre Hire				(5,000)	112,286	Lower than anticipated revenue
69	11343103	Sale of Snacks & Drinks				(3,000)	109,286	Lower than anticipated revenue
70	11343143	Recreation Programs				(5,000)	104,286	Lower than anticipated revenue
71	11343093	Grants			65,000		169,286	Sport 4 All Kidsport (\$10,000 Administration Fee)
72	11343093	Grants				(20,000)	149,286	Club Development Officer - Grant funding to be received annually
73	11343093	Grants			766		150,052	CSRFF - Wundowie Skate Park - Additional Funds
74	11343093	Grants			24,766		174,818	Lotterywest - Wundowie Skate Park - Additional Funds

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Line No:	Account	Name	Job	Name	Increase in Available Cash \$	Decrease in Available Cash \$	Year to Date Running Balance \$	Comment
75	11349104	Buildings	1903	Rec Centre		(4,000)	170,818	Additional Funds required for Exit Doors
76	11349404	Infrastructure Parks	6422	Wundowie Skate Park		(25,532)	145,286	Expense to off set additional grant funds
77	11349404	Infrastructure Parks	6425	Playground POS Improvements		(170,000)	(24,714)	Transfer of unexpended 2011-12 CLGF Funds
78	11352012	Subscriptions/Periodicals			1,000		(23,714)	Lower than anticipated expenses
79	11357002	Library Equipment Mtc			500		(23,214)	Lower than anticipated expenses
80	11353023	Library Sundry Income			200		(23,014)	Additional revenue
81	11359005	Buildings Libraries			3,495		(19,519)	Lower than anticipated expense for the Solar Panel installation
		Transfer From Council Buildings & Amenities Reserve						
82	11359525	Reserve				(3,495)	(23,014)	Lower than anticipated expense for the Solar Panel installation
83	11362532	Sound Shell - Bernard Park	1028	Sound Shell - Bernard Park		(1,500)	(24,514)	Increased vandalism
84	11367004	Land & Buildings	1025	Railway Precint Upgrade	100,000		75,486	Project now includes the car parking project at the old Railway Station
85	12382052	Depot Maintenance	1243	Northam Depot Building Mtc		(3,000)	72,486	Replace HWS, additional electrical repairs
86	12401002	Parking - Salaries				(12,322)	60,164	Additional ranger admin hours unbudgetted and overtime
87	13451302	Staff Costs			1,000		61,164	Lower than anticipated expenses
88	13452052	Avon Descent Festival	4675	Avon River Festival		(15,000)	46,164	Higher than anticipated expenses
89	13452092	Christmas Decorations	4510	Christmas Decorations Operating	10,000		56,164	Lower than anticipated expenses
90	13452102	Special Event Sponsorship	4662	Seniors Week	1,000		57,164	Lower than anticipated expenses
91	13452172	Festivals & Events	4680	German Car Day	2,000		59,164	Event not being held
92	13452172	Festivals & Events	4682	Avon Valley Arts - Dance Culture	2,500		61,664	Lower than anticipated expenses
93	13452172	Festivals & Events	4683	Dogs Day Out	1,000		62,664	Lower than anticipated expenses
94	13452172	Festivals & Events	4687	Movies by Twilight		(1,000)	61,664	Higher than anticipated expenses
95	13452172	Festivals & Events	4689	Pink Ribbon Walk	1,000		62,664	Lower than anticipated expenses
96	13452172	Festivals & Events	4690	Country Arts Events	5,000		67,664	Lower than anticipated expenses
97	13452212	Tidy Towns Committee & Promotion			1,000		68,664	Lower than anticipated expenses
98	13452242	Australia Day Celebrations			3,000		71,664	Lower than anticipated expenses
99	13453123	Events Sponsorship				(5,000)	66,664	Lower than anticipated revenue
100	13453133	Concerts in the Park				(10,000)	56,664	Healthway Grant not Received
101	13452112	Visitor Centre Building Maintenance	1019	Visitor Centre Mtc		(5,500)	51,164	Unexpected general repairs & increased vandalism
		Building Salaries						
102	13461002	Building Salaries				(66,444)	(15,280)	Incorrect allocation allowed on budget adoption due to change in method of allocating building salaries
103	13499104	Infrastructure - Drainage	1970	Bakers Hill Water Project	170,000		154,720	Surplus funds transferred to Playground POS Improvements
104	13499505	Proceeds on Sale of Asset			249,840		404,560	Sale of 400 Byfield Street
105	13499505	Proceeds on Sale of Asset			309,091		713,651	Sale of 160 Sims Road
106	13499505	Proceeds on Sale of Asset			24,500		738,151	Sale of 21 Northam-York Road Muluckine
		Transfer to Recreation & Community Facilities Reserve						
107	11349024	Reserve				(249,840)	488,311	Sale of 400 Byfield Street funds to be transferred to Recreation Reserve
108	04059064	Transfer to Admin Building Reserve				(159,091)	329,220	Sale of 160 Sims Road funds transferred to reserve
109	12399104	Transfer to Plant Reserve				(150,000)	179,220	Sale of 160 Sims Road funds transferred to reserve

SHIRE OF NORTHAM
MINUTES
AUDIT COMMITTEE MEETING HELD ON 16 MARCH 2015

BUDGET REVIEW 31 JANUARY 2015

Line No:	Account	Name	Job	Name	Increase in Available Cash \$	Decrease in Available Cash \$	Year to Date Running Balance \$	Comment
110	04059064	Transfer to Admin Building Reserve				(24,500)	154,720	Sale of 21 Northam-York Road Muluckine transferred to reserve
111	13771002	Salaries & Wages			15,000		169,720	Visitor Centre - lower than anticipated salaries
112	13772112	Bus Tours			500		170,220	Lower than anticipated expenses
113	13772122	Artworks Sold for Commission				(3,500)	166,720	Increased payment due to increased sales
114	13772132	Transwa Ticket Sales for Commission				(4,000)	162,720	New ticketing service offered - payments to Transwa
115	13773073	Tour Charges				(1,000)	161,720	Lower than anticipated revenue
116	13773083	Racking Fees				(1,000)	160,720	Lower than anticipated revenue
117	13773093	Artwork Sales			3,000		163,720	Increased sales
118	13773102	Artworks Commission			1,000		164,720	Increased sales
119	13773113	Internet Usage Charges				(500)	164,220	Lower than anticipated revenue
120	13773123	Transwa Ticket Sales			4,600		168,820	Revenue from new service (we keep 15% Commission)
121	10312032	Cemetery Maintenance	1400	Cemetery Mtce	4,488		173,308	Balancing staff wages and overheads - (need Overhead adjustment 130.5%)
122	10317354	Infrastructure - Avon Mall & Streetscape	1610	Avon Mall & Streetscape		(50,000)	123,308	Additional works and WiFi in public space
123	11332132	Northam Pool Garden Mtc	1085	Northam Pool Garden Mtc		(4,488)	118,820	Balancing staff wages and overheads
124	11342042	Public Parks Gardens & Reserves	5100	Parks & Reserves General	5,384		124,204	Balancing staff wages and overheads
125	11342042	Public Parks Gardens & Reserves	5102	Enright Park		(5,384)	118,820	Balancing staff wages and overheads
126	11342042	Public Parks Gardens & Reserves	5145	Northam Rec Centre Garden Mtc	4,610		123,430	Balancing staff wages and overheads
127	11342042	Public Parks Gardens & Reserves	5335	Viveash Reserve - Katrine		(4,610)	118,820	Balancing staff wages and overheads
128	11342042	Public Parks Gardens & Reserves	5255	Riverbank to Broome Terrace	3,458		122,278	Balancing staff wages and overheads
129	11342042	Public Parks Gardens & Reserves	5320	Weir Gardens		(3,458)	118,820	Balancing staff wages and overheads
130	11342082	Bakers Hill Oval	5351	Bakers Hill Oval	4,610		123,430	Balancing staff wages and overheads
131	11342042	Public Parks Gardens & Reserves	5805	Hooper Park - Bakers Hill		(4,610)	118,820	Balancing staff wages and overheads
132	12382032	Verge Maintenance	2120	Verge Mtc Roads	11,525		130,345	Balancing staff wages and overheads
133	12382032	Verge Maintenance	5285	Verge Mtc Parks		(11,525)	118,820	Balancing staff wages and overheads
134	12382102	Streets, Carparks & Paths	2800	Wundowie Road Mtc	16,942		135,762	Balancing staff wages and overheads
135	12382192	Traffic Signage	2100	Traffic Management Signs		(16,942)	118,820	Balancing staff wages and overheads
136	12382102	Streets, Carparks & Paths	2801	Bakers Hill Road Mtc	23,050		141,870	Balancing staff wages and overheads
137	12382162	Roadworks - Maintenance	2050	Shoulder Grading	23,050		164,920	Balancing staff wages and overheads
138	13442002	Noxious Weeds / Pest Plants	2300	Noxious Weeds		(46,100)	118,820	Balancing staff wages and overheads
139	12382102	Streets, Carparks & Paths	4803	Grass Valley Townsite Mtc	2,305		121,125	Balancing staff wages and overheads
140	12382102	Streets, Carparks & Paths	4802	Bakers Hill Townsite Mtc		(2,305)	118,820	Balancing staff wages and overheads
141	12382172	Footpath - Maintenance	2130	Footpath Maintenance	11,525		130,345	Balancing staff wages and overheads
142	12382112	Street Traffic Islands	2005	Traffic Islands		(11,525)	118,820	Balancing staff wages and overheads
143	12382162	Roadworks - Maintenance	2090	Culvert Replacement	11,525		130,345	Balancing staff wages and overheads
144	14531002	Plant Repairs - Wages & O/Heads				(11,525)	118,820	Balancing staff wages and overheads
145	12382092	Bridge Maintenance	2200	Bridge Repair & Mtc	4,000		122,820	Realloctaion of Contractors
146	12382102	Streets, Carparks & Paths	2802	Grass Valley Road Mtc	2,000		124,820	Realloctaion of Contractors

SHIRE OF NORTHAM
MINUTES
AUDIT COMMITTEE MEETING HELD ON 16 MARCH 2015

BUDGET REVIEW 31 JANUARY 2015

Line No:	Account	Name	Job	Name	Increase in Available Cash \$	Decrease in Available Cash \$	Year to Date Running Balance \$	Comment
147	12382102	Streets, Carparks & Paths	4802	Bakers Townsite Mtc	2,000		126,820	Reallocation of Contractors
148	13492022	Reticulation System	5400	Treated Waste Water Reticulation	2,000		128,820	Reallocation of Contractors to Materials
149	04052212	Admin Office Garden Mtc	1060	Admin Office Garden Mtc		(2,000)	126,820	Reallocation of Contractors to Materials
150	11342042	Public Parks Gardens & Reserves	5103	George Nuich Park	3,000		129,820	Reallocation of Materials
151	11332132	Northam Pool Garden Mtc	1085	Northam Pool Garden Mtc		(3,000)	126,820	Reallocation of Materials
152	11342042	Public Parks Gardens & Reserves	5145	Northam Rec Centre Garden Mtc	1,500		128,320	Reallocation of Materials
153	11342042	Public Parks Gardens & Reserves	5180	Victoria Oval		(1,500)	126,820	Reallocation of Materials
154	11349204	Plant & Equipment				(10,000)	116,820	Additional funds required for Recreation Manager vehicle
155	12382032	Verge Maintenance	2120	Verge Mtc Roads	10,000		126,820	Reallocation of Materials
156	12382032	Verge Maintenance	5285	Verge Mtc Parks		(10,000)	116,820	Reallocation of Materials
157	12382102	Streets, Carparks & Paths	2800	Wundowie Road Mtc	4,000		120,820	Reallocation of Materials
158	12382102	Streets, Carparks & Paths	4802	Bakers Townsite Mtc		(2,000)	118,820	Reallocation of Materials
159	12382092	Bridge Maintenance	2200	Bridge Repair & Mtc		(5,000)	113,820	Reallocation of Materials
160	12382112	Street Traffic Islands	2005	Traffic Islands	3,500		117,320	Reallocation of Materials
161	13442002	Noxious Weeds / Pest Plants	2300	Noxious Weeds		(3,500)	113,820	Reallocation of Materials
162	12382162	Roadworks - Maintenance	2020	Grading Winter, Summer	20,000		133,820	Reallocation of Materials
163	12382162	Roadworks - Maintenance	2010	Road Maintenance		(20,000)	113,820	Reallocation of Materials
164	12382162	Roadworks - Maintenance	2050	Shoulder Grading	10,000		123,820	Reallocation of Materials
165	12382192	Traffic Signage	2100	Traffic Management		(30,000)	93,820	Reallocation of Materials
166	12382162	Roadworks - Maintenance	2090	Culvert Replacement	10,000		103,820	Reallocation of Materials
167	12402002	Maintenance Parking Facilities	2180	Parking Facility Mtc	20,000		123,820	Reallocation of Materials
168	14522042	Protective Clothing			5,000		128,820	Reallocation of Materials
169	12382172	Footpath - Maintenance	2130	Footpath Maintenance		(5,000)	123,820	Decrease in materials required
170	11349404	Infrastructure Parks	6411	Jubilee Oval - Cricket Pitch	15,000		138,820	Project on hold
171	12379024	Drainage - Rural	3450	Rural Stormwater Drainage	10,000		148,820	Reduction in Contractors
172	12379044	RRG - Project Grants	3523	Jennapullin Road		(8,000)	140,820	Additional Contracts & Materials
173	12379054	Roadworks - General Construction	3061	Smith Grove		(11,108)	129,712	Additional Contracts & Materials
174	12379054	Roadworks - General Construction	3062	Fraser St		(8,225)	121,487	Additional Contracts & Materials
175	12379054	Roadworks - General Construction	3029	Fernie St		(29,084)	92,403	Additional Contracts & Materials
176	12379054	Roadworks - General Construction	3068	Beamish Ave		(13,622)	78,781	Additional Contracts & Materials
177	12379074	R2R Projects	3742	Gordon Str		(72,899)	5,882	Additional Contracts & Materials
178	12379074	R2R Projects	3743	Stirling St		(24,458)	(18,576)	Additional Contracts & Materials
179	12379054	Roadworks - General Construction	3073	Selby St		(39,276)	(57,852)	Additional Contracts & Materials
180	12379074	R2R Projects	3744	Perina Way		(39,964)	(97,816)	Additional Contracts & Materials
181	12379114	Gravel Resheeting	7000	Smith Road - Gravel Sheeting		(41,697)	(139,513)	Additional Contracts & Materials
182	12379114	Gravel Resheeting	7001	Beering Road - Gravel Sheeting		(40,131)	(179,644)	Additional Contracts & Materials
183	12379114	Gravel Resheeting	7002	Richter Road - Gravel Sheeting		(27,000)	(206,644)	Additional Contracts & Materials
184	12379114	Gravel Resheeting	7003	Refactory Lane - Gravel Sheeting		(8,950)	(215,594)	Additional Contracts & Materials

SHIRE OF NORTHAM

MINUTES

AUDIT COMMITTEE MEETING HELD ON 16 MARCH 2015

APPENDIX 2 – COMPLIANCE AUDIT RETURN 2014

Department of Local Government and Communities – Compliance Audit – Return



Government of Western Australia
Department of Local Government and Communities

Northam - Compliance Audit Return 2014

Certified Copy of Return

Please submit a signed copy to the Director General of the Department of Local Government and Communities together with a copy of section of relevant minutes.

Commercial Enterprises by Local Governments					
No	Reference	Question	Response	Comments	Respondent
1	s3.59(2)(a)(b)(c) F&G Reg 7,9	Has the local government prepared a business plan for each major trading undertaking in 2014.	N/A		Denise Gobbart
2	s3.59(2)(a)(b)(c) F&G Reg 7,10	Has the local government prepared a business plan for each major land transaction that was not exempt in 2014.	N/A		Denise Gobbart
3	s3.59(2)(a)(b)(c) F&G Reg 7,10	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 2014.	N/A		Denise Gobbart
4	s3.59(4)	Has the local government given Statewide public notice of each proposal to commence a major trading undertaking or enter into a major land transaction for 2014.	N/A		Denise Gobbart
5	s3.59(5)	Did the Council, during 2014, resolve to proceed with each major land transaction or trading undertaking by absolute majority.	N/A		Denise Gobbart

SHIRE OF NORTHAM

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Department of Local Government and Communities - Compliance Audit Return



Government of Western Australia
Department of Local Government and Communities

Delegation of Power / Duty					
No	Reference	Question	Response	Comments	Respondent
1	s5.16, 5.17, 5.18	Were all delegations to committees resolved by absolute majority.	N/A		Denise Gobbart
2	s5.16, 5.17, 5.18	Were all delegations to committees in writing.	N/A		Denise Gobbart
3	s5.16, 5.17, 5.18	Were all delegations to committees within the limits specified in section 5.17.	N/A		Denise Gobbart
4	s5.16, 5.17, 5.18	Were all delegations to committees recorded in a register of delegations.	N/A		Denise Gobbart
5	s5.18	Has Council reviewed delegations to its committees in the 2013/2014 financial year.	No	Review undertaken at Council meeting 16/07/2014.	Denise Gobbart
6	s5.42(1), 5.43 Admin Reg 18G	Did the powers and duties of the Council delegated to the CEO exclude those as listed in section 5.43 of the Act.	Yes		Denise Gobbart
7	s5.42(1)(2) Admin Reg 18G	Were all delegations to the CEO resolved by an absolute majority.	Yes	Council meeting 16/07/2014	Denise Gobbart
8	s5.42(1)(2) Admin Reg 18G	Were all delegations to the CEO in writing.	Yes	Council Minutes 16/07/2014	Denise Gobbart
9	s5.44(2)	Were all delegations by the CEO to any employee in writing.	Yes		Denise Gobbart
10	s5.45(1)(b)	Were all decisions by the Council to amend or revoke a delegation made by absolute majority.	Yes		Denise Gobbart
11	s5.46(1)	Has the CEO kept a register of all delegations made under the Act to him and to other employees.	Yes		Denise Gobbart
12	s5.46(2)	Were all delegations made under Division 4 of Part 5 of the Act reviewed by the delegator at least once during the 2013/2014 financial year.	No	Review undertaken for Council meeting 16/07/2014	Denise Gobbart
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 as required.	No	Not all complete - ie: tenders	Denise Gobbart

Disclosure of Interest					
No	Reference	Question	Response	Comments	Respondent
1	s5.67	If a member disclosed an interest, did he/she ensure that they did not remain present to participate in any discussion or decision-making procedure relating to the matter in which the interest was disclosed (not including participation approvals granted under s5.68).	No	McGready & Haed	Denise Gobbart
2	s5.68(2)	Were all decisions made under section 5.68(1), and the extent of participation allowed, recorded in the minutes of Council and Committee meetings.	Yes		Denise Gobbart

SHIRE OF NORTHAM

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AUDIT COMMITTEE MEETING HELD ON 16 MARCH 2015

Department of Local Government and Communities - Compliance Audit Return



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No	Reference	Question	Response	Comments	Respondent
3	s5.73	Were disclosures under section 5.65 or 5.70 recorded in the minutes of the meeting at which the disclosure was made.	N/A		Denise Gobbart
4	s5.75(1) Admin Reg 22 Form 2	Was a primary return lodged by all newly elected members within three months of their start day.	Yes	CEO & EMDS	Denise Gobbart
5	s5.75(1) Admin Reg 22 Form 2	Was a primary return lodged by all newly designated employees within three months of their start day.	Yes		Denise Gobbart
6	s5.76(1) Admin Reg 23 Form 3	Was an annual return lodged by all continuing elected members by 31 August 2014.	Yes		Denise Gobbart
7	s5.76(1) Admin Reg 23 Form 3	Was an annual return lodged by all designated employees by 31 August 2014.	Yes		Denise Gobbart
8	s5.77	On receipt of a primary or annual return, did the CEO, (or the Mayor/President in the case of the CEO's return) on all occasions, give written acknowledgment of having received the return.	Yes		Denise Gobbart
9	s5.88(1)(2) Admin Reg 28	Did the CEO keep a register of financial interests which contained the returns lodged under section 5.75 and 5.76	Yes		Denise Gobbart
10	s5.88(1)(2) 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 and 5.71, in the form prescribed in Administration Regulation 28.	Yes		Denise Gobbart
11	s5.88 (3)	Has the CEO removed all returns from the register when a person ceased to be a person required to lodge a return under section 5.75 or 5.76.	No	McGready & Head	Denise Gobbart
12	s5.88(4)	Have all returns lodged under section 5.75 or 5.76 and removed from the register, been kept for a period of at least five years, after the person who lodged the return ceased to be a council member or designated employee.	Yes		Denise Gobbart
13	s5.103 Admin Reg 34C & Rules of Conduct Reg 11	Where an elected member or an employee disclosed an interest in a matter discussed at a Council or committee meeting where there was a reasonable belief that the impartiality of the person having the interest would be adversely affected, was it recorded in the minutes.	N/A		Denise Gobbart
14	s5.70(2)	Where an employee had an interest in any matter in respect of which the employee provided advice or a report directly to the Council or a Committee, did that person disclose the nature of that interest when giving the advice or report.	Yes	CEO & EMDS	Denise Gobbart

SHIRE OF NORTHAM

MINUTES

AUDIT COMMITTEE MEETING HELD ON 16 MARCH 2015

Department of Local Government and Communities - Compliance Audit - Return



Government of Western Australia
Department of Local Government and Communities

No	Reference	Question	Response	Comments	Respondent
15	s5.70(3)	Where an employee disclosed an interest under s5.70(2), did that person also disclose the extent of that interest when required to do so by the Council or a Committee.	Yes		Denise Gobbart
16	s5.103(3) Admin Reg 34B	Has the CEO kept a register of all notifiable gifts received by Council members and employees.	Yes		Denise Gobbart

Disposal of Property

No	Reference	Question	Response	Comments	Respondent
1	s3.58(3)	Was local public notice given prior to disposal for any property not disposed of by public auction or tender (except where excluded by Section 3.58(5)).	No	3 Airport leases	Denise Gobbart
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.	No	3 Airport leases	Denise Gobbart

Elections

No	Reference	Question	Response	Comments	Respondent
1	Elect Reg 30G (1)	Did the CEO establish and maintain an electoral gift register and ensure that all 'disclosure of gifts' forms completed by candidates 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 candidates.	Yes		Denise Gobbart

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	23/10/2013	Denise Gobbart
2	s7.1B	Where a local government determined to delegate to its audit committee any powers or duties under Part 7 of the Act, did it do so by absolute majority.	N/A		Denise Gobbart
3	s7.3	Was the person(s) appointed by the local government to be its auditor, a registered company auditor.	Yes		Denise Gobbart
4	s7.3	Was the person(s) appointed by the local government to be its auditor, an approved auditor.	N/A		Denise Gobbart
5	s7.3, 7.6(3)	Was the person or persons appointed by the local government to be its auditor, appointed by an absolute majority decision of Council.	Yes	21/08/2013	Denise Gobbart

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SHIRE OF NORTHAM

MINUTES

AUDIT COMMITTEE MEETING HELD ON 16 MARCH 2015

Department of Local Government and Communities - Compliance Audit - Return



Government of Western Australia
Department of Local Government and Communities

No	Reference	Question	Response	Comments	Respondent
6	Audit Reg 10	Was the Auditor's report for the financial year ended 30 June 2014 received by the local government within 30 days of completion of the audit.	Yes	14/11/2014 by email	Denise Gobbart
7	s7.9(1)	Was the Auditor's report for 2013/2014 received by the local government by 31 December 2014.	Yes	19/11/2014 by post	Denise Gobbart
8	S7.12A(3), (4)	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 by the local government, was that action undertaken.	N/A		Denise Gobbart
9	S7.12A(3), (4)	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 by the local government, was a report prepared on any actions undertaken.	N/A		Denise Gobbart
10	S7.12A(3), (4)	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 by the local government, was a copy of the report forwarded to the Minister by the end of the financial year or 6 months after the last report prepared under s7.9 was received by the local government whichever was the latest in time.	N/A		Denise Gobbart
11	Audit Reg 7	Did the agreement between the local government and its auditor include the objectives of the audit.	Yes		Denise Gobbart
12	Audit Reg 7	Did the agreement between the local government and its auditor include the scope of the audit.	Yes		Denise Gobbart
13	Audit Reg 7	Did the agreement between the local government and its auditor include a plan for the audit.	Yes		Denise Gobbart
14	Audit Reg 7	Did the agreement between the local government and its auditor include details of the remuneration and expenses to be paid to the auditor.	Yes		Denise Gobbart
15	Audit Reg 7	Did the agreement between the local government and its auditor include the method to be used by the local government to communicate with, and supply information to, the auditor.	Yes		Denise Gobbart

SHIRE OF NORTHAM

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Department of Local Government and Communities - Compliance Audit: Return



Government of Western Australia
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Local Government Employees					
No	Reference	Question	Response	Comments	Respondent
1	Admin Reg 18C	Did the local government approve the process to be used for the selection and appointment of the CEO before the position of CEO was advertised.	N/A		Denise Gobbart
2	s5.36(4) s5.37(3), Admin Reg 18A	Were all vacancies for the position of CEO and other designated senior employees advertised and did the advertising comply with s.5.36(4), 5.37(3) and Admin Reg 18A.	No	Executive Manager - Community Services Salary package listed, no benefits listed. No duration of contract stated.	Denise Gobbart
3	Admin Reg 18F	Was the remuneration and other benefits paid to a CEO on appointment the same remuneration and benefits advertised for the position of CEO under section 5.36(4).	N/A		Denise Gobbart
4	Admin Regs 18E	Did the local government ensure checks were carried out to confirm that the information in an application for employment was true (applicable to CEO only).	N/A		Denise Gobbart
5	s5.37(2)	Did the CEO inform council of each proposal to employ or dismiss a designated senior employee.	Yes	Executive Manager - Community Services	Denise Gobbart

SHIRE OF NORTHAM

MINUTES

AUDIT COMMITTEE MEETING HELD ON 16 MARCH 2015

Department of Local Government and Communities - Compliance Audit Return



Government of Western Australia
Department of Local Government and Communities

Official Conduct					
No	Reference	Question	Response	Comments	Respondent
1	s5.120	Where the CEO is not the complaints officer, has the local government designated a senior employee, as defined under s5.37, to be its complaints officer.	N/A		Denise Gobbart
2	s5.121(i)	Has the complaints officer for the local government maintained a register of complaints which records all complaints that result in action under s5.110(6)(b) or (c).	Yes		Denise Gobbart
3	s5.121(2)(a)	Does the complaints register maintained by the complaints officer include provision for recording of the name of the council member about whom the complaint is made.	Yes		Denise Gobbart
4	s5.121(2)(b)	Does the complaints register maintained by the complaints officer include provision for recording the name of the person who makes the complaint.	Yes		Denise Gobbart
5	s5.121(2)(c)	Does the complaints register maintained by the complaints officer include provision for recording a description of the minor breach that the standards panel finds has occurred.	Yes		Denise Gobbart
6	s5.121(2)(d)	Does the complaints register maintained by the complaints officer include the provision to record details of the action taken under s5.110(6)(b) (c).	Yes		Denise Gobbart
Tenders for Providing Goods and Services					
No	Reference	Question	Response	Comments	Respondent
1	s3.57 F&G Reg 11	Did the local government invite tenders on all occasions (before entering into 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 Regulation 11(1) of the Local Government (Functions & General) Regulations (Subject to Functions and General Regulation 11(2)).	Yes		Denise Gobbart
2	F&G Reg 12	Did the local government comply with F&G Reg 12 when deciding to enter into multiple contracts rather than inviting tenders for a single contract.	Yes		Denise Gobbart
3	F&G Reg 14(1)	Did the local government invite tenders via Statewide public notice.	Yes		Denise Gobbart
4	F&G Reg 14, 15 & 16	Did the local government's advertising and tender documentation comply with F&G Regs 14, 15 & 16.	Yes		Denise Gobbart

SHIRE OF NORTHAM

MINUTES

AUDIT COMMITTEE MEETING HELD ON 16 MARCH 2015

Department of Local Government and Communities - Compliance Audit - Return



Government of Western Australia
Department of Local Government and Communities

No	Reference	Question	Response	Comments	Respondent
5	F&G Reg 14(5)	If the local government sought to verify 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		Denise Gobbart
6	F&G Reg 18(1)	Did the local government reject the tenders that were not submitted at the place, and within the time specified in the invitation to tender.	N/A		Denise Gobbart
7	F&G Reg 18 (4)	In relation to the tenders that were not rejected, did the local government assess which tender to accept and which tender was most advantageous to the local government to accept, by means of written evaluation criteria.	Yes		Denise Gobbart
8	F&G Reg 17	Did the information recorded in the local government's tender register comply with the requirements of F&G Reg 17.	Yes		Denise Gobbart
9	F&G Reg 19	Was each tenderer sent written notice advising particulars of the successful tender or advising that no tender was accepted.	Yes		Denise Gobbart
10	F&G Reg 21 & 22	Did the local government's advertising and expression of interest documentation comply with the requirements of F&G Regs 21 and 22.	N/A		Denise Gobbart
11	F&G Reg 23(1)	Did the local government reject the expressions of interest that were not submitted at the place and within the time specified in the notice.	N/A		Denise Gobbart
12	F&G Reg 23(4)	After the local government considered expressions of interest, did the CEO list each person considered capable of satisfactorily supplying goods or services.	N/A		Denise Gobbart
13	F&G Reg 24	Was each person who submitted an expression of interest, given a notice in writing in accordance with Functions & General Regulation 24.	N/A		Denise Gobbart
14	F&G Reg 24E	Where the local government gave a regional price preference in relation to a tender process, did the local government comply with the requirements of F&G Reg 24E in relation to the preparation of a regional price preference policy (only if a policy had not been previously adopted by Council).	N/A		Denise Gobbart
15	F&G Reg 11A	Does the local government have a current purchasing policy in relation to contracts for other persons to supply goods or services where the consideration under the contract is, or is expected to be, \$100,000 or less.	Yes		Denise Gobbart

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Department of Local Government and Communities - Compliance Audit Return



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I certify this Compliance Audit return has been adopted by Council at its meeting on _____

Signed Mayor / President, Northam

Signed CEO, Northam