



## *Minutes Certification*

### **AUDIT COMMITTEE MEETING**

MINUTES of the Audit Committee Meeting of the  
Shire of Coolgardie held on 9 March 2021,  
Commencing at 6:00pm were presented to  
Council and confirmed.

James Trail  
Chief Executive Officer

Cr Malcolm Cullen  
Shire President

Shire President Signed



Date Signed

23/3/2021



# **MINUTES**

**Audit Committee Meeting**

**9 March 2021**

**5.30pm**

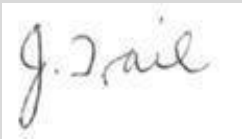
**Council Chambers, Bayley Street, Coolgardie**

**SHIRE OF COOLGARDIE**

**NOTICE OF AUDIT COMMITTEE MEETING**

Dear Elected Member

The next Audit Committee Meeting of the Shire of Coolgardie will be held on Tuesday 9 March 2021 commencing at 5.30pm.

A rectangular box containing a handwritten signature in black ink that reads "J. Trail".

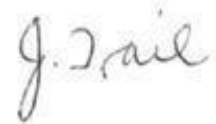
**JAMES TRAIL**  
**CHIEF EXECUTIVE OFFICER**

**AUDIT COMMITTEE MEETING****9 March 2021**

Welcome to the Audit Committee Meeting of the Shire of Coolgardie.

The dates, times and locations of the Audit Committee Meetings for 2021 are listed hereunder.

| <u>Day</u> | <u>Date</u>       | <u>Time</u> | <u>Venue</u> |
|------------|-------------------|-------------|--------------|
| Tuesday    | January 2021      | NN/A        | -            |
| Tuesday    | 23 February 2021  | 6.00pm      | Kambalda     |
| Tuesday    | 23 March 2021     | 6.00pm      | Coolgardie   |
| Tuesday    | 27 April 2021     | 6.00pm      | Kambalda     |
| Tuesday    | 25 May 2021       | 6.00pm      | Coolgardie   |
| Tuesday    | 22 June 2021      | 6.00pm      | Kambalda     |
| Tuesday    | 27 July 2021      | 6.00pm      | Coolgardie   |
| Tuesday    | 24 August 2021    | 6.00pm      | Kambalda     |
| Tuesday    | 28 September 2021 | 6.00pm      | Coolgardie   |
| Tuesday    | 26 October 2021   | 6.00pm      | Kambalda     |
| Tuesday    | 23 November 2021  | 6.00pm      | Coolgardie   |
| Tuesday    | 21 December 2021  | 6.00pm      | Kambalda     |



James Trail  
Chief Executive Officer

**DISCLAIMER**

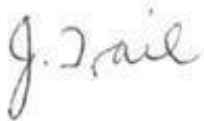
INFORMATION FOR PUBLIC ATTENDING COUNCIL MEETINGS

**PLEASE NOTE:**

**THE RECOMMENDATIONS CONTAINED IN THIS AGENDA ARE OFFICERS RECOMMENDATIONS ONLY AND SHOULD NOT BE ACTED UPON UNTIL COUNCIL HAS RESOLVED TO ADOPT THOSE RECOMMENDATIONS.**

**THE RESOLUTIONS OF COUNCIL SHOULD BE CONFIRMED BY PERUSING THE MINUTES OF THE COUNCIL MEETING AT WHICH THESE RECOMMENDATIONS WERE CONSIDERED.**

**MEMBERS OF THE PUBLIC SHOULD ALSO NOTE THAT THEY ACT AT THEIR OWN RISK IF THEY ENACT ANY RESOLUTION PRIOR TO RECEIVING OFFICIAL WRITTEN NOTIFICATION OF COUNCILS DECISION.**



James Trail  
**CHIEF EXECUTIVE OFFICER**

## COUNCIL MEETING INFORMATION NOTES

1. Your Council generally handles all business at Ordinary or Special Council Meetings.
2. From time to time Council may form a Committee to examine subjects and then report to Council.
3. Generally all meetings are open to the public; however, from time to time Council will be required to deal with personal, legal and other sensitive matters. On those occasions Council will generally close that part of the meeting to the public. Every endeavour will be made to do this as the last item of business of the meeting.
4. Public Question Time. It is a requirement of the Local Government Act 1995 to allow at least fifteen (15) minutes for public question time following the opening and announcements at the beginning of the meeting. Should there be a series of questions the period can be extended at the discretion of the Chairman.

***Written notice of each question should be given to the Chief Executive Officer prior to 12:30pm on the day of the meeting. A summary of each question and response is included in the Minutes.***

***When a question is not able to be answered at the Council Meeting a written answer will be provided after the necessary research has been carried out. Council staff will endeavour to provide the answers prior to the next meeting of Council.***

5. **Councillors** may from time to time have a financial interest in a matter before Council. Councillors must declare an interest and the extent of the interest in the matter on the Agenda. However, the Councillor can request the meeting to declare the matter **trivial, insignificant** or **in common with a significant number of electors** or **ratepayers**. The Councillor must leave the meeting whilst the matter is discussed and cannot vote unless those present agree as above.

**Members of staff**, who have delegated authority from Council to act on certain matters, may from time to time have a financial interest in a matter on the Agenda. The member of staff must declare that interest and generally the Chairman of the meeting will advise the Officer if he/she is to leave the meeting.

6. Agendas including an Information Bulletin are delivered to Councillors within the requirements of the Local Government Act 1995, i.e. seventy-two (72) hours prior to the advertised commencement of the meeting. Whilst late items are generally not considered there is provision on the Agenda for items of an urgent nature to be considered.

**Should an elector wish to have a matter placed on the Agenda the relevant information should be forwarded to the Chief Executive Officer in time to allow the matter to be fully researched by staff. An Agenda item including a recommendation will then be submitted to Council for consideration.**

**The Agenda closes the Monday week prior to the Council Meeting (i.e. ten (10) days prior to the meeting).**

The Information Bulletin produced as part of the Agenda includes items of interest and information, which does not require a decision of Council.

7. Agendas for Ordinary Meetings are available in the Coolgardie and Kambalda Offices/Libraries seventy-two (72) hours prior to the meeting and the public are invited to secure a copy.
8. Agenda items submitted to Council will include a recommendation for Council consideration. Electors should not interpret and/or act on the recommendations until after they have been considered by Council. Please note the Disclaimer in the Agenda (page 3).
9. Public Question Time – Statutory Provisions – Local Government Act 1995

Time is to be allocated for questions to be raised by members of the public and responded to at:

- (a) Every ordinary meeting of a council; and
- (b) Such other meetings of councils or committees as may be prescribed

Procedures and the minimum time to be allocated for the asking of and responding to questions raised by members of the public at council or committee meetings are to be in accordance with regulations.

9A. Question Time for the Public at Certain Meetings – s5.24 (1) (b)

**Local Government (Administration) Regulations 1996**

Reg 5 For the purpose of section 5.24(1)(b), the meetings at which time is to be allocated for questions to be raised by members of the public and responded to are:

- (a) every special meeting of a council; and
- (b) every meeting of a committee to which the local government has delegated a power or duty.

Minimum Question Time for the Public – s5.24 (2)

- Reg 6 (1) The minimum time to be allocated for the asking of and responding to questions raised by members of the public at ordinary meetings of councils and meetings referred to in regulation 5 is fifteen (15) minutes.
- (2) Once all the questions raised by members of the public have been asked and responded to at a meeting referred to in sub regulation (1), nothing in these regulations prevents the unused part of the minimum question time period from being used for other matters.

Procedures for Question Time for the Public – s5.24 (2)

**Local Government (Administration) Regulations 1996**

- Reg 7 (1) Procedures for the asking of and responding to questions raised by members of the public at a meeting referred to in regulation 6 (1) are to be determined:
- (a) by the person presiding at the meeting; or
  - (b) in the case where the majority of members of the council or committee present at the meeting disagree with the person presiding, by the majority of members, having regard to the requirements of sub regulations (2) and (3).
- (2) The time allocated to the asking and responding to questions raised by members of the public at a meeting referred to in regulation 6(1) is to precede the discussion of any matter that requires a decision to be made by the council or the committee, as the case may be.
- (3) Each member of the public who wishes to ask a question at a meeting referred to in regulation 6(1) is to be given an equal and fair opportunity to ask the question and receive a response.
- (4) Nothing in sub regulation (3) requires:
- (a) A council to answer a question that does not relate to a matter affecting the local government;
  - (b) A council at a special meeting to answer a question that does not relate to the purpose of the meeting; or
  - (c) A committee to answer a question that does not relate to a function of the committee.

**2. Public Inspection of Unconfirmed Minutes (Reg 13)**

A copy of the unconfirmed Minutes of Ordinary and Special Meetings will be available for public inspection in the Coolgardie and Kambalda Offices/Libraries within ten (10) working days after the Meeting.

**NOTE:****10.3 Unopposed Business**

- (1) Upon a motion being moved and seconded, the person presiding may ask the meeting if any member opposes it.
- (2) If no member signifies opposition to the motion the person presiding may declare the motion in sub clause (1) carried without debate and without taking a vote on it,
- (3) A motion carried under sub clause (2) is to be recorded in the minutes as a unanimous decision of the Council or committee.
- (4) If a member signifies opposition to a motion the motion is to be dealt with according to this Part.
- (5) This clause does not apply to any motion or decision to revoke or change a decision which has been made at a Council or committee meeting.

**Order Of Business**

|            |   |           |
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**MINUTES OF SHIRE OF COOLGARDIE  
AUDIT COMMITTEE MEETING  
HELD AT THE COUNCIL CHAMBERS, BAYLEY STREET, COOLGARDIE  
ON TUESDAY, 9 MARCH 2021 AT 5.30PM**

**1 DECLARATION OF OPENING / ANNOUNCEMENT OF VISITORS**

Shire President, M Cullen declared the meeting open at 05:30pm and welcomed fellow Councillors and staff, and thanked them for their attendance.

**2 RECORD OF ATTENDANCE / APOLOGIES / APPROVED LEAVE OF ABSENCE**

**PRESENT:**

Cr Malcolm Cullen (President), Cr Tracey Rathbone (Deputy President), Cr Sherryl Botting, Cr Tammee Keast, Cr Kathie Lindup (observer)

**IN ATTENDANCE:**

James Trail (Chief Executive Officer), Robert Hicks (Director of Operations), Julie Copley (Manager Executive Services), Barry Donkin (Project Manager), Bec Horan (Projects), Martin Whitely (Finance Consultant), Amy Tregoweth (Executive Assistant).

**APOLOGIES**

Nil

**LEAVE OF ABSENCE**

Nil

**3 DECLARATIONS OF INTEREST**

**3.1 Declarations of Financial Interests – Local Government Act Section 5.60A**

James Trail declared an interest in Agenda item 5.2.1

**3.2 Declarations of Proximity Interests – Local Government Act Section 5.60B**

Nil

**3.3 Declarations of Impartiality Interests – Administration Regulation 34C**

Nil

**4 CONFIRMATION OF MINUTES OF PREVIOUS MEETINGS**

**4.1 Audit Committee Meeting - 10 December 2020**

**AUDIT COMMITTEE RESOLUTION AND OFFICER RECOMMENDATION**

**That the minutes of the Audit Committee Meeting held on 10 December 2020 be confirmed.**

**4.2 MINUTES OF THE AUDIT COMMITTEE MEETING HELD ON 10 DECEMBER 2020**

**Date:** 4 March 2021

**Author:** Amy Tregoweth, Executive Assistance to Director of Operations

**ATTACHMENTS**

1. Minutes of the Audit Committee Meeting held on 10 December 2020

**VOTING REQUIREMENT**

Simple majority

**AUDIT COMMITTEE RESOLUTION AND OFFICER RECOMMENDATION**

**Moved:** Cr Tracey Rathbone

**Seconded:** Cr Tamme Keast

That the Minutes of the Audit Committee Meeting held on 10 December 2020 be confirmed as a true and accurate record.

**In Favour:** Crs Malcolm Cullen, Tracey Rathbone, Sherryl Botting and Tamme Keast

**Against:** Nil

**CARRIED 4/0**

**5 REPORTS OF OFFICERS****5.1 Executive Services****5.1.1 OSH MONITORING REPORT - MARCH 2021**

**Location:** Shire of Coolgardie  
**Applicant:** NIL  
**Disclosure of Interest:** NIL  
**Date:** 4 March 2021  
**Author:** Nichole Tynan, OSH Consultant

**SUMMARY**

That Council receive the updated OSH Monitoring Report

**BACKGROUND**

Council at its Ordinary Meeting held on the 27<sup>th</sup> August 2019 resolved:-

That Council approve the engagement of Core Business Australia for the preparation of a comprehensive OSH Management System (Task 1 and 2) for \$50,373.40.

**COMMENT**

Core Business has been working with staff over the past 8 months to ensure that the recommendations in the OSH Management System are implemented.

An audit was conducted in December 2020 which resulted in a score of 82% compliance. The previous audit conducted in September 2019 only received a 33% compliant score.

**CONSULTATION**

Lucy Karafilis, Administration Officer

**STATUTORY ENVIRONMENT**

NIL

**POLICY IMPLICATIONS**

NIL

**FINANCIAL IMPLICATIONS**

Nil

**STRATEGIC IMPLICATIONS****Accountable and effective leaders**

High quality corporate governance, accountability and compliance

**ATTACHMENTS**

1. OSH Monitoring Report [↓](#) 

**VOTING REQUIREMENT**

Simple majority

**AUDIT COMMITTEE RESOLUTION AND OFFICER RECOMMENDATION**

**Moved:** Cr Tracey Rathbone

**Seconded:** Cr Sherryl Botting

**That the Audit Committee receive the updated OSH Monitoring Report.**

**In Favour:** Crs Malcolm Cullen, Tracey Rathbone, Sherryl Botting and Tammee Keast

**Against:** Nil

**CARRIED 4/0**



**SHIRE OF COOLGARDIE**  
**COOLGARDIE OHS MANAGEMENT SYSTEM**  
**OSH SYSTEM STATUS REPORT**



Call +61 8 9754 1117

[corebusiness.net.au](http://corebusiness.net.au)

[bruce@corebusiness.net.au](mailto:bruce@corebusiness.net.au)

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Shire of Coolgardie – OSH Management System – Monitoring Report

**DOCUMENT CONTROL**

| DOCUMENT CONTROL  |  |
|---|--|
| Core Business Australia<br>PO Box 797<br>Busselton WA 6280<br>Ph: +61 8 9754 1117<br>Mobile: +61 418 931 067<br>Email: <a href="mailto:bruce@corebusiness.net.au">bruce@corebusiness.net.au</a> | <b>Document:</b> This document provides an overview of the status of the Shires OSH system at the date of the report.  |
|   | <b>Project Manager:</b> Bruce Lorimer/ Nichole Tynan / Mark Weller   |
|   | <b>Author:</b> Mark Weller/ Nichole Tynan  |
|   | <b>Date:</b> 4 March 2021  |
|   | <b>Synopsis:</b> This report contains information from the Shires OSH Monitoring Spreadsheet as well as associated commentary and recommendations. The report provides a snapshot of relevant information, particularly relating to achievement of the 'Activity Plan' and 'KPI's' however is not intended to be fully comprehensive as information can be gained from a variety of databases and sources. |

**DISTRIBUTION SCHEDULE**

| Version No.     | Date         | Distribution  | Reference                               |
|-----------------|--------------|---|---|
| Version 1.1-1.2 | 4 March 2021 | Internal CORE document – circulated for team review | Coolgardie OSH Monitoring Report (V1.1) |
| Version 2       |              |   |   |
| Version 3       |              |   |   |
| Version 4       |              |   |   |

**Note: this is a Confidential Report and contains Commercial in Confidence information. The report is only to be issued to the CEO and Senior Officers of the Shire of Coolgardie**

*Disclaimer: This document may be of assistance to you but Core Business Australia Pty Ltd do not guarantee that the document is without flaw of any kind and therefore disclaims all liability for any errors, loss or other consequence which may arise from you relying on any information in this publication. It should be noted that information provided in this document may change at short notice.*

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Shire of Coolgardie – OSH Management System – Monitoring Report

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Shire of Coolgardie – OSH Management System – Monitoring Report

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Cover: Whole of team OSH day, Kambalda (Core, 5<sup>th</sup> December 2019)

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Shire of Coolgardie – OSH Management System – Monitoring Report



## 1.0 Executive Summary

### 1.1 Executive Summary

During late 2019 and early 2020 the Shire conducted a review of its Occupational Health and Safety system. In May 2020 the Shire finalised implementation of a comprehensive and completely revised new OSH Management system and commenced the change management required for compliance.

As detailed in the Shires OSH Management Manual, a monitoring spreadsheet will be utilised to monitor the status of the Shire's OSH system (OSH Monitoring Spreadsheet).

The monitoring spreadsheet will be checked monthly (or earlier as needed); and a reminder will be issued direct to the Manager of Executive Services / CEO in the instance of:

- Key activities or milestones due in the next 90, 60 and 30 days; and
- Any agreed KPI or parameter that appears in danger of not being met and action is likely required.

This report is intended as a 'snapshot' of the status of the Shires OSH system at the date of report issue. Parameters assessed related to the OSH Activity plan and Objectives & Targets (KPIs) respectively.

This report contains information from the Shires OSH Monitoring Spreadsheet as well as associated commentary and recommendations.

### 1.2 Recommendations

**Recommendation 1. Next internal Audit to be undertaken in June 2021 by OHS Advisor to ensure the continued effectiveness of the OHSMS and for compliance obligations.**

**Recommendation 2. Contractor Management is reviewed by Bec Horan with the view of looking into adding a Contractors module to the Myosh program or alternative program in order to assist the Shire and Project Managers in licencing requirements and Contractors OHS Obligations, thus mitigating risk to the Shire.**

**Recommendation 3. SOP's continue to be updated by the OHS Advisor over the next 4 months, commencing in the Waste Department to assist in effective hazard control, risk mitigation and staff management and to ensure that the Shire is continuing to take an active role in OHS Management for compliance obligations.**

**Recommendation 4. Staff Inductions (Department Specific) need to be updated to include SOP's signed off by each staff member and updated with HR Manager (Manager Executive Services) this will assist in Managing Staff and Managing Safety. This is scheduled to take place in March to June 2021.**

**Recommendation 5. Altus Risk requires training for key staff as data that is being added is at risk of being incorrect. Training in Altus has been scheduled for end of March 2021 at this stage.**

**Recommendation 6. Chemical Sheds in Works Depots require significant attention to meet current standards, this includes disposing of out of date chemicals, sufficient storage of chemicals, updated MSDS's and updated Safety Boards and MSDS Stations and sufficient PPE when diluting and using chemicals.**

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Shire of Coolgardie – OSH Management System – Monitoring Report



## 2.0 Introduction

### 2.1 Background

During late 2019 and early 2020 the Shire conducted a review of its Occupational Health and Safety system. In May 2020 the Shire finalised implementation of a comprehensive and completely revised new OSH Management system. The system is designed with reference to AS/NZS 4801:2001 Occupational Health and Safety Management Systems, however is customised to the Shires specific requirements.

As with any OSH system, the Shires system is designed to be continuously updated on a 'plan', 'act', 'review' cycle. this ensures that the system remains relevant and assists in achieving the objectives contained in the Shires OSH Policy:

- The Shire of Coolgardie will take all reasonable and practical steps to:
  - Improve work safety conditions;
  - Continuously review and improve its safety performance; and
  - Strive to uphold its core values of safety, knowledge, integrity and leadership in order to achieve its goal of zero harm to people, equipment and the environment.

### 2.2 About this Report

As detailed in the Shires OSH Management Manual, a monitoring spreadsheet will be utilised to monitor the status of the Shire's OSH system (OSH Monitoring Spreadsheet).

The monitoring spreadsheet will be checked monthly (or earlier as needed); and a reminder will be issued direct to the Manager of Executive Services / CEO in the instance of:

- Key activities or milestones due in the next 90, 60 and 30 days; and
- Any agreed KPI or parameter that appears in danger of not being met and action is likely required.

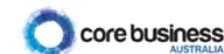
This report is intended as a 'snapshot' of the status of the Shires OSH system at the date of report issue. Parameters assessed include the due date and status of:

- Activity Plan:
  - Review date for OSH Activity Plan;
  - OSH Policy actions;
  - OSH Planning actions;
  - OSH Implementation actions;
  - OSH Measurement and evaluation actions;
- Objectives & Targets (KPIs):
  - Review date for KPI's;
  - Strategic KPI's; and
  - Operational KPI's.

While the report provides a snapshot of relevant parameters, it is not intended to be fully comprehensive – follow-up information will be sourced from other databases maintained as part of the within the Shires comprehensive system.

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Shire of Coolgardie – OSH Management System – Monitoring Report



## 2.3 Activity Plan – Status at Report Date

### 2.3.1 Extract from Monitoring Spreadsheet

| Monitoring Spreadsheet - Next Review Due Date | Review Status                       |
|---|-------------------------------------|
| 28/03/2021                                    | Greater than 30 Days Until Deadline |

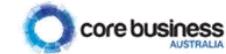
Table 1: Activity Plan – Status at Report Date

### 2.3.2 Discussion/ Comment

The monitoring spreadsheet should be reviewed at a minimum monthly. The next review is due within 30 days of this report.

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Shire of Coolgardie – OSH Management System – Monitoring Report



2.4 OSH Policy – Status at Report Date

2.4.1 Extract from Monitoring Spreadsheet

| Action No. | Action Officers   | Required Outcome   | Risk Ranking | Evidence   | Date Due   | Status   | Currently Outstanding? | Notes   |
|------------|---|--|--------------|--|------------|----------|------------------------|---|
| <b>1</b>   | <b>OSH Policy</b>   |  |              |  |            |          |                        |   |
| 1.1        | Manager of Executive Services; CEO; Executive Leadership Team | All OSH Policies are reviewed by the Shire’s leadership team, any changes made, and final drafts approved.                                     | HIGH         | Executive Leadership team meeting minutes                |            | Complete | Achieved               | Achieved and must be continued to be reviewed annually.   |
| 1.2        | Manager of Executive Services; CEO                            | All OSH related policies are presented to and adopted by Council.  | HIGH         | Council minutes  |            | Complete | Achieved               | Council Approved Draft July 2020  |
| 1.3        | Manager of Executive Services; CEO; Executive Leadership Team | All OSH related polices are reviewed at each safety meeting and a running agenda item with all being reviewed by the end of the calendar year. | MEDIUM       | OSH Monitoring spreadsheet. Record of annual OSH review. | 30/12/2020 | Complete | Achieved               | A review is currently underway at each Safety Meeting as a fixed Agenda Item with a full review annually. |

Table 2: Activity Plan – Status at Report Date

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**2.4.2 Discussion / Comment**

This document is the first monitoring report, produced on implementation of the Shires new OSH system. The above actions relate to adoption and review of Policies. Policies adopted by Council provide direction for staff at all levels and are a highly important part of governance. The above actions should be addressed as a priority.

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2.5 OSH Planning – Status at Report Date

2.5.1 Extract from Monitoring Spreadsheet

| 2   | OSH Planning  |  |      |  |            |          |          |  |
|-----|---|--|------|--|------------|----------|----------|--|
| 2.1 | OSH Committee; Manager of Executive Services; CEO; Executive Leadership Team; OSH Advisor | All OSH procedures and forms are reviewed, and any required changes made. New procedures / forms required are identified and developed. All content within the OSH Manual is confirmed as fit-for-purpose / meeting the Shire’s specific requirements. | HIGH | OSH Monitoring spreadsheet. Record of annual OSH review.   | 30/12/2020 | Complete | Achieved | A review is currently underway at each Safety Meeting as a fixed Agenda Item           |
| 2.2 | OSH Advisor; CEO  | OSH Monitoring spreadsheet is implemented. OSH advisor issues notifications as required  | HIGH | Spreadsheet implemented and reviewed weekly by the OHS Administrator OSH Administrator provides notifications as required for task deadlines; and in the event KPI’s / deadlines are | 30/12/2020 | Complete | Achieved | This is being actioned and actions discussed at the Monthly Safety Committee Meetings. |

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Shire of Coolgardie – OSH Management System – Monitoring Report



|     |   |   |      |  |            |             |  |   |
|-----|---|---|------|--|------------|-------------|--|---|
|     |   |   |      | at risk of not being achieved.   |            |             |  |   |
| 2.3 | OSH Advisor; Procurement; Executive, Director of Operations | A Pre-Purchase Risk Assessment form (accessed through ALTUS) is to be utilised in every purchase of chemicals and substances, plant and equipment, in line with the Shire’s procedure. Once approved, the Pre-Purchase Risk Assessment form for chemicals or substances is to remain with the applicable Senior Staff and updated on the Risk Register in ALTUS. The Shire’s Quotation Procedure is to be reviewed to ensure the form is embedded adequately. | HIGH | OSH Representative site inspections. Internal site audits. Procurement screening and procedure reviewed and updated. | 28/03/2021 | Not Started | <b>Greater than 30 Days Until Deadline</b> | OSH Advisor to check with Executive of Manager Services |

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Shire of Coolgardie – OSH Management System – Monitoring Report



|     |   |   |        |  |            |             |  |  |
|-----|---|---|--------|--|------------|-------------|--|--|
| 2.4 | Governance and Risk Manager; Document Owners; Senior Staff; Finance Managers; OSH Advisor | Compliance with the Shire’s procedure: Corporate Document Development and Review Procedure is to be achieved to ensure compliance with legislation and Australian Standards across all Shire documents. | MEDIUM | Internal site audits.<br>External audits.<br>Management of documents to ensure they are reviewed within 365 days.<br>Procurement ensure compliance of OSH Contract Management. | 30/03/2021 | In Progress | <b>Greater than 30 Days Until Deadline</b> | OHS Advisor is currently looking into this.  |
| 2.5 | OSH Advisor; Manager of Executive Services  | OSH KPI’s and individual responsibilities are to be embedded in all staff PD’s including Senior Staff and Executive Directors.  | HIGH   | Discussed by OSH Advisor monthly.<br>Position descriptions link to OSH KPI’s.  | 30/08/2020 | Complete    | <b>Achieved</b>                            | Executive of Manager Services confirmed that this has been actioned for all staff. |
| 2.6 | OSH Advisor; Manager of Executive Services  | Review the OSH Management Plan and system annually.   | HIGH   | Annual review results provided to CEO / Council.   | 15/12/2020 | Complete    | <b>Achieved</b>                            |  |

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Shire of Coolgardie – OSH Management System – Monitoring Report



|     |   |   |      |  |            |             |                                     |   |
|-----|---|---|------|--|------------|-------------|-------------------------------------|---|
| 2.7 | Executive Leadership Team; OSH Advisor; Manager of Executive Services | Executive Leadership Team to review the OSH system annually. Focus includes, but is not limited to: OSH Improvement Management Plan; OSH Objectives and Targets; recommendations and corrective actions from internal and external audits | HIGH | Version control on all documents shows review date and confirms CEO to sign off on key revised documents. OSH Committee Minutes and Agenda items show adoption of OSH review findings and revised documents. Council minutes show adoption of revised Policies if any. | 30/12/2020 | Complete    | Achieved                            | There is a running agenda item at each Safety Committee Meeting where review of the OHS System is underway  |
| 2.8 | OSH Advisor; Manager of Executive Services; Site Managers             | Conduct two (2) audits per annum to ensure effectiveness of the OSHMS, and corrective actions and recommendations are implemented and maintained. Conduct one (1) site  | HIGH | Audits guide the review of the OSH Improvement Management Plan and OSH Objectives and Targets. Increase Audit compliance   | 16/06/2021 | In Progress | Greater than 30 Days Until Deadline | An Audit is scheduled to be completed in December 2020 and again in June 2021 - Site Inspections have begun and are currently being added to MYOSH. |

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Shire of Coolgardie – OSH Management System – Monitoring Report



|     |  |   |      |  |            |             |  |  |
|-----|--|---|------|--|------------|-------------|--|--|
|     |  | inspection at each of the staffed sites per annum.  |      | and number of inspections completed.   |            |             |  |  |
| 2.9 | Manager of Executive Services; OSH Advisor | The Shire is to identify and maintain a training and skills matrix. This will track qualifications and training while linking to progression, professional development and upskilling staff, to ensure they have the required skills and competency to work safely. Competency assessments are to be formally defined for tasks using chemicals / plant and equipment, and expanded to cover casuals, labour hire (when working unsupervised) and volunteers. | HIGH | Independent plant / equipment / task competency assessments are further embedded in inductions and the probation period. | 30/03/2021 | In Progress | <b>Greater than 30 Days Until Deadline</b> | Chemical Training scheduled for February 2021, Hazard Training Completed |

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Shire of Coolgardie – OSH Management System – Monitoring Report



|      |   |   |      |  |            |             |  |   |
|------|---|---|------|--|------------|-------------|--|---|
| 2.10 | OSH Committee; Manager of Executive Services; CEO; Executive Leadership Team; OSH Advisor | All required SOP's to be completed as per procedure. Risks are to be prioritised when conducting inspections and effectiveness of controls to be tracked. SOP's to be assessed and updated into SWMS design to account for secondary risk ratings. The online OSH Management System is to include site-specific inspection checklists (intranet). | HIGH | All SOPs complete. Review and expand or change MYOSH / Risk Program to cover the hazard / risk assessments of work tasks and the evaluation process. Risk Assessments are to be included in inspections along with staff to recognise access and use of the Risk Framework. OSHMS to include site specific inspections | 30/03/2021 | In Progress | <b>Greater than 30 Days Until Deadline</b> | JSA's and SOP's are being reviewed now per department commencing at Waste in January 2021 |
|------|---|---|------|--|------------|-------------|--|---|

Table 3: OSH Planning – Status at Report Date

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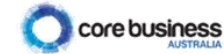
Shire of Coolgardie – OSH Management System – Monitoring Report

**2.5.2 Recommendations**

- Recommendation 1.** Next internal Audit to be undertaken in June 2021 by OHS Advisor to ensure the continued effectiveness of the OHSMS and for compliance obligations.
- Recommendation 2.** Contractor Management is reviewed by Bec Horan with the view of looking into adding a Contractors module to the Myosh program or alternative program in order to assist the Shire and Project Managers in licencing requirements and Contractors OHS Obligations, thus mitigating risk to the Shire.
- Recommendation 3.** SOP's continue to be updated by the OHS Advisor over the next 4 months, commencing in the Waste Department to assist in effective hazard control, risk mitigation and staff management and to ensure that the Shire is continuing to take an active role in OHS Management for compliance obligations.
- Recommendation 4.** Staff Inductions (Department Specific) need to be updated to include SOP's signed off by each staff member and updated with HR Manager (Manager Executive Services) this will assist in Managing Staff and Managing Safety. This is scheduled to take place in March to June 2021.
- Recommendation 5.** Altus Risk requires training for key staff as data that is being added is at risk of being incorrect. Training in Altus has been scheduled for end of March 2021 at this stage.
- Recommendation 6.** Chemical Sheds in Works Depots require significant attention to meet current standards, this includes disposing of out of date chemicals, sufficient storage of chemicals, updated MSDS's and updated Safety Boards and MSDS Stations and sufficient PPE when diluting and using chemicals.

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2.6 OSH Implementation – Status at Report Date

2.6.1 Extract from Monitoring Spreadsheet

| 3   |   | OSH Implementation  |  |  |            |          |          |   |
|-----|---|---|--|--|------------|----------|----------|---|
| 3.1 | OSH Advisor;<br>Manager of Executive Services | Review OSH plan implementation progress every month. Review and discuss with HR each quarter.   |  | OSH plan on HR agenda quarterly.   | 30/12/2020 | Complete | Achieved | Implementation is being reviewed  |
| 3.2 | OSH Committee                                 | Monitor effectiveness of: <ul style="list-style-type: none"> <li>• Hazard identification, hazard / risk assessment;</li> <li>• Investigating, responding to and taking action to minimise any harm caused from incidents;</li> <li>• Initiating and completing appropriate corrective and preventive action.</li> </ul> |  | OSH Committee Minutes documenting monthly review has occurred. Recommendations made by OSH Committee are achieved. | 30/10/2020 | Complete | Achieved | This has been actioned and commenced and Hazards have been identified in Chemical Storage Facilities at Works Depots, Training requirements have been identified for all Depot Workers. In October/November a deeper dive into Hazards will be undertaken with all Safety Committee Members each month at Safety Committee Meetings |

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|     |   |   |  |  |            |             |                                     |   |
|-----|---|---|--|--|------------|-------------|-------------------------------------|---|
| 3.3 | Managers;<br>OSH Advisor;<br>Director of Operations | Responsible Officers and Senior Staff / those in control of workplaces will ensure all contractors implement and maintain safe standards of work adhering to Procurement and OSH Contract Management Policies and Procedures. HR are made aware of any issues with contractors as well as Executive Directors being aware of any ongoing disciplinary action and involved if appropriate. |  | Site inductions, pre-qualification assessments. OSH inspections and post-contract evaluations undertaken.  | 30/03/2021 | In Progress | Greater than 30 Days Until Deadline | Meeting with New Project Manager Barry took place in January 2021 and review of online contractor induction and licences via MyOSH is currently being considered.                   |
| 3.4 | OSH Reps;<br>Senior Staff;<br>OSH Advisor           | Inspections are to be conducted monthly in line with the ACT and best practice. The Hazard Register is to be expanded to cover work and workplace tasks and defined through JSA's if needed. Corrective actions are to be reviewed and documented.  |  | Monthly inspections in MYOSH / Risk Program, Risk Register expanded over all work / workplaces. MYOSH or another system utilised to link risk / controls into inspections. | 30/03/2021 | Complete    | Achieved                            | This is currently being undertaken and inspections have been added to MYOSH whereby any actions will be discussed and followed up at Safety Committee Meetings as of November 2020. |

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|     |   |   |         |   |            |             |                                     |   |
|-----|---|---|---------|---|------------|-------------|-------------------------------------|---|
| 3.5 | OSH Advisor;<br>OSH Committee;<br>HR;<br>Senior Staff | Evaluation of hazard identification, risk assessment and control procedure to be aligned with the OSH Management System and reflective of the Shire’s OSH Objectives and Targets. The OSH Committee is to review inspections where notable hazards were identified and perform an evaluation of controls. | HIGH    | Review and expand or change MYOSH / Risk Program to cover the evaluation process and include risk assessments in inspections. Review the Shire’s OSH Objectives and Targets and inspection reports. | 30/03/2021 | Complete    | Achieved                            | Currently underway Nic Tynan and Lucy working through current entries in ALTUS and Report discussed monthly at safety meetings as a fixed Agenda Item |
| 3.6 | OSH Advisor;<br>HR;<br>Senior Staff                   | Ensure corrective actions relating to Hazards are re-evaluated post Hazard report for effectiveness and standardised within the Shire’s operations.   | EXTREME | OSH Committee Minutes reflect corrective actions. Number of corrective actions complete and outstanding also assessed in annual review.   | 30/11/2020 | Complete    | Achieved                            | This is currently in progress and steps have been taken to work through this as a running agenda item at the Safety Committee Meetings.               |
| 3.7 | OSH Advisor;<br>HR;<br>Senior Staff                   | Develop specific OSH Staff Induction Procedure  | EXTREME | OSH Staff Induction Procedure developed.  | 30/03/2021 | In Progress | Greater than 30 Days Until Deadline | Lucy and Nic are currently reviewing this   |

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Shire of Coolgardie – OSH Management System – Monitoring Report



|     |                                     |  |         |   |            |          |          |           |
|-----|-------------------------------------|--|---------|---|------------|----------|----------|-----------|
| 3.8 | OSH Advisor;<br>HR;<br>Senior Staff | Develop specific OSH Contractors Induction Procedure.<br>Online preferred, will include procedures for pre-notification of when to be on-site and actual notification of when on-site. | EXTREME | OSH Contractors Induction Procedure developed.  | 30/10/2020 | Complete | Achieved | Completed |
| 3.9 | OSH Advisor;<br>HR;<br>Senior Staff | Develop Working in Adverse Weather Procedure (i.e. hot, cold or wet conditions).   | EXTREME | Working in Adverse Weather Procedure developed. | 30/10/2020 | Complete | Achieved | Completed |

Table 4: OSH Implementation – Status at Report Date

**2.6.2 Discussion / Comment**

Please note: The above due dates for items 3.1-3.6 (inclusive) relate only to the deadline for the OSH committee to prioritise each task and provide a due date. The 29/05 is not the actual date due for this task.

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2.7 Measurement and Evaluation – Status at Report Date

2.7.1 Extract from Monitoring Spreadsheet

| 4   | Measurement and Evaluation |   |         |  |            |          |          |   |
|-----|----------------------------|---|---------|--|------------|----------|----------|---|
| 4.1 | Record Management          | Are records maintained, as appropriate to the system and to the organisation, to demonstrate conformance to the requirements of this Standard?                          | EXTREME |  | 30/10/2020 | Complete | Achieved | Completed   |
| 4.2 | Senior Management          | Has the organisation's top management, at intervals that it determines, reviewed the OHSMS to ensure its continuing suitability, adequacy and effectiveness?            | MEDIUM  |  | 30/12/2020 | Complete | Achieved | Managers Department Checklists have been implemented with a trial in December and the first to commence in March 2021 and every quarter afterwards. |
| 4.3 | Senior Management          | Has the management reviewed processes to ensure that the necessary information is collected to allow management to carry out this evaluation? Is this review documented | MEDIUM  |  | 30/12/2020 | Complete | Achieved | This is taking part in Safety Committee meetings with Senior Management Present   |

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|     |                   |   |        |  |            |          |                 |   |
|-----|-------------------|---|--------|--|------------|----------|-----------------|---|
| 4.4 | Senior Management | Does management review the continued relevance of, and change where appropriate, policy, objectives, responsibilities and other elements of the OHSMS, in the light of OHSMS audit results, changing circumstances and the commitment to continual improvement? | MEDIUM |  | 30/12/2020 | Complete | <b>Achieved</b> | This is taking part in Safety Committee meetings with Senior Management Present |
|-----|-------------------|---|--------|--|------------|----------|-----------------|---|

**Table 5: Measurement and Evaluation – Status at Report Date**

**2.7.2 Discussion / Comment**

Measurement and evaluation actions have not been completed at the time of this report. These should be developed and included in the OSH Management system and monitoring spreadsheet as a priority.

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### 3.0 Objectives and Targets (KPI's)

#### 3.1 KPI Monitoring Database – Next Review Due

##### 3.1.1 Extract from Monitoring Spreadsheet

| Monitoring Database - KPI's Next Review Due Date | Review Status                       |
|--|-------------------------------------|
| 28/03/2021                                       | Greater than 30 Days Until Deadline |

Table 6: Measurement and Evaluation – Status at Report Date

##### 3.1.2 Discussion / Comment

OSH KPI's are generally assessed annually. However this may be too long a timeframe to allow fine tuning of systems. Implementing both monthly and annual KPI's will likely be beneficial.

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### 3.2 Strategic KPI's

#### 3.2.1 Extract from Monitoring Spreadsheet

##### 1.0 Strategic KPIs

| Number | KPI   | Date of Review | Achieved | Currently Outstanding?         | Notes   |
|--------|---|----------------|----------|--------------------------------|---|
| 1.1    | Zero lost time injuries annually (LTIFR maintained at zero)   | 1/12/2020      | No       | Not Achieved - Action Required | MYOSH data is currently being reviewed after updating the platform. There has been a reduction in workplace injuries. |
| 1.2    | OSH meetings held within specified timeframe (each month during the review period) and agenda followed  | 1/11/2020      | Yes      | Achieved                       |   |
| 1.3    | Full OSH management system reviewed annually as scheduled   | 7/12/2020      | Yes      | Achieved                       | This is currently underway  |
| 1.4    | Two (2) internal AS/NZ 4801:2001 yearly audits completed and improvement action plan updated with the results   | 7/12/2020      | Yes      | Achieved                       | First is scheduled for November 2020 and another in March 2021  |
| 1.5    | 100% compliance with the OSH improvement action plan achieved in each review during the annual reporting period (all improvement actions have been completed within the timeframe specified). | 7/12/2020      | Yes      | Achieved                       | Currently on schedule   |
| 1.6    | 100% of improvement tasks achieved annually   | 7/12/2020      | Yes      | Achieved                       | Currently on schedule   |

Table 7: Measurement and Evaluation – Status at Report Date

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**3.2.2 Discussion / Comment**

As above OSH KPI's are generally assessed annually. However this may be too long a timeframe to allow fine tuning of systems. Implementing both monthly and annual KPI's will likely be beneficial.

**3.3 Operational KPI's**

**3.3.1 Extract from Monitoring Spreadsheet**

**2.0 Operational KPIs**

| Number | KPI   | Date of Review | Achieved | Currently Outstanding? | Notes                              |
|--------|---|----------------|----------|------------------------|------------------------------------|
| 2.1    | 100% of planned inspections are achieved (+/- one (1) week of proposed date)              | 1/11/2020      | Yes      | Achieved               | This is currently being undertaken |
| 2.2    | 100% attendance at OSH Committee meetings with the exception of annual or personal leave  | 1/11/2020      | Yes      | Achieved               |                                    |
| 2.3    | 100% of investigations completed as scheduled within the OSH Committee's agreed timeframe | 7/12/2020      | Yes      | Achieved               | Currently on schedule              |

**Table 8: Measurement and Evaluation – Status at Report Date**

**3.3.2 Discussion / Comment**

As above OSH KPI's are generally assessed annually. However this may be too long a timeframe to allow fine tuning of systems. Implementing both monthly and annual KPI's will likely be beneficial.

Additional Operational KPI's are likely needed to ensure a sufficient OSH system. Additional KPI's should be assessed and considered by the OSH committee and any changes made.

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Shire of Coolgardie – OSH Management System Monitoring Report



## 4.0 Further Information

Further information in relation to this report can be obtained by the Shire of Coolgardie OSH advisor.

## 5.2 Operation Services

James Trail left the meeting at 05:37pm

### 5.2.1 CREDIT CARD LISTING DECEMBER 2020 - JANUARY 2021

**Location:** Nil

**Applicant:** Nil

**Disclosure of Interest:** James Trail has a financial interest in this item. In accordance with section 5.70(2) of the Local Government Act 1995, I declare a financial interest in the agenda item Credit Card Listing December 2020 – January 2021. The interest relates to CEO credit card vouchers.

**Date:** 22 February 2021

**Author:** Nav Kaur, Manager Finance

#### SUMMARY

For the Audit Committee to receive the list of credit card payments for December 2020 to January 2021 for the Chief Executive Officer.

#### BACKGROUND

The Local Government (Financial Management) Regulations 1996, Regulation 13(3)(b) requires that Council receive a list of credit cards paid in the month, and that this be recorded in the minutes. Council has delegated to the Chief Executive Officer that authority to make these payments from Municipal and Trust Funds.

#### COMMENT

The schedule of payments made under delegated authority as summarised below and recommended to be received by the audit committee, has been checked and is supported by vouchers and invoices which have been duly certified as to the receipt of goods and provision of services, and verification of prices and costings.

It is deemed prudent that all Chief Executive Officer credit card vouchers now be presented to the Audit Committee for consideration and recommendation to Council. This is particularly the case given the authorisation required for the Chief Executive Officer credit card.

#### CONSULTATION

Nil

#### STATUTORY ENVIRONMENT

Local Government (Financial Management) Regulations 1996, Regulation 13 – Lists of Accounts.

#### POLICY IMPLICATIONS

CS-PROCUREMENTS POLICY. Policy CS-11 as amended, sets the guides with regards to the purchase of goods or services provided.

#### FINANCIAL IMPLICATIONS

Nil

**STRATEGIC IMPLICATIONS****Accountable and effective leaders**

Maintain integrated strategic and operational plans

**ATTACHMENTS**

1. Credit Card Listing Dec 2020 - Jan 2021  

**VOTING REQUIREMENT**

Simple majority

**AUDIT COMMITTEE RESOLUTION AND OFFICER RECOMMENDATION**

**Moved:** Cr Tammee Keast

**Seconded:** Cr Sherryl Botting

That the Audit Committee,

1. Accept listing (attached) of credit card invoices totalling \$12,076.13 paid from December 2020 to January 2021 by the Chief Executive Officer under delegated authority of Council.
2. Recommend the Council receive the listing of credit card invoices totalling \$12,076.13 paid from the period December 2020 to January 2021 by the Chief Executive Officer under delegated authority
3. Recommend to Council the Shire President authorise the credit card vouchers totalling \$12,076.13 paid from the December 2020 to January 2021 by the Chief Executive Officer under delegated authority

**In Favour:** Crs Malcolm Cullen, Tracey Rathbone, Sherryl Botting and Tammee Keast

**Against:** Nil

**CARRIED 4/0**

James Trail returned to the meeting at 05:40pm

**Credit Card Listing  
CEO  
December 2020**

Dec-20

| <b>Date</b> | <b>Description</b>  | <b>Amount</b> | <b>Card No#</b> |
|-------------|---|---------------|-----------------|
| 18-Dec-20   | Woolworths 4329 Kambalda East - Kids Drinks & Food For Xmas Party                 | \$ 83.35      | #855            |
| 18-Dec-20   | Crown Promenade Pert Burswood - Accomodation For James Trail - 13/12 To 15/12     | \$ 900.68     | #855            |
| 17-Dec-20   | Bws 4084 Kambalda East - Staff Xmas Party   | \$ 207.00     | #855            |
| 17-Dec-20   | Dome Kalamunda Kalamunda - Refreshments   | \$ 13.20      | #855            |
| 16-Dec-20   | Gm Cabs Pty Ltd Mascot - Cab Charges - James Trail - Perth - 14/12                | \$ 26.25      | #855            |
| 16-Dec-20   | Gm Cabs Pty Ltd Mascot -Cab Charges - James Trail - Perth - 13/12                 | \$ 43.58      | #855            |
| 15-Dec-20   | Swan Taxis 13 13 30 Victoria Park - Cab Charges - James Trail - Perth - 14/12     | \$ 26.57      | #855            |
| 10-Dec-20   | Xero Au Inv-14622952 Hawthorn - Gvroc - Monthly Subscription - Dec 20             | \$ 50.00      | #855            |
| 10-Dec-20   | Harvey Norman Av/lt Kalgoorlie - Windows 10 Pro Upgrade - 2 Packs                 | \$ 336.00     | #855            |
| 09-Dec-20   | Ingot Hotel Perth Belmont - Accomodation - Barry Donkin - 7Th Dec 20              | \$ 186.00     | #855            |
| 09-Dec-20   | Regional Express Mascot - Andrew Mann - Gvroc Per-Esp-Per - 4 Feb/5 Feb           | \$ 511.32     | #855            |
| 08-Dec-20   | Adobe Acropro Subs Adobe.Ly/Enau - Subscriptions                                  | \$ 428.38     | #855            |
| 08-Dec-20   | Harvey Norman Av/lt Kalgoorlie - 2x Microsoft Surface Laptops                     | \$ 6,358.00   | #855            |
| 07-Dec-20   | Virgin Austr7952165140708 Brisbane - Mia Hicks - Flight Kal-Per-Kal 13 Dec/15 Dec | \$ 418.00     | #855            |
| 07-Dec-20   | Virgin Austr7952165140707 Brisbane James Trail - Flight Kal-Per-Kal 13 Dec/15 Dec | \$ 418.00     | #855            |
| 07-Dec-20   | Virgin Austr7951511176376 Brisbane  | \$ 8.56       | #855            |
| 04-Dec-20   | Virgin Austr7952165096323 Brisbane - Barry Donkin - Perth To Kal - 8Th Dec 2020   | \$ 234.00     | #855            |
| 04-Dec-20   | Virgin Austr7951511153219 Brisbane  | \$ 2.40       | #855            |

**Credit Card Listing  
CEO  
February 2020**

**Feb-20**

| <b>Date</b> | <b>Description</b>  | <b>Amount</b> | <b>Card No#</b> |
|-------------|---|---------------|-----------------|
| 15-Jan-21   | Qantas Airways Ltd (Ecom) Mascot - Fran Lefante - Perth-Kal-<br>Perth 18/1 to 22/1/21                   | \$ 587.66     | #855            |
| 14-Jan-21   | Qantas Airways Ltd (Ecom) Mascot - Hope Iyamu - Kal-Perth-Kal<br>- 13/1 to 17/1                         | \$ 590.76     | #855            |
| 13-Jan-21   | Wa Local Government As West Leedervi - Conference<br>Transport & Road Forum - Attendee : Mr James Trail | \$ 70.00      | #855            |
| 11-Jan-21   | Xero Au Inv-14981946 Hawthorn -GVROC - Monthly subscription   | \$ 50.00      | #855            |
| 08-Jan-21   | Adobe Acropro Subs Adobe.Ly/Enau - Adobe Pro - Monthly<br>subscription                                  | \$ 428.38     | #855            |
| 06-Jan-21   | Airportrentals.Com Melbourne - Protection Plus Excess Refund<br>Insurance - Francesca                   | \$ 98.04      | #855            |

**5.2.2 COMPLIANCE AUDIT RETURN 2020**

**Location:** Nil  
**Applicant:** Nil  
**Disclosure of Interest:** Nil  
**Date:** 3 March 2021  
**Author:** Martin Whitely, Consultant

**SUMMARY**

The purpose of this report is to present the Audit Committee with the completed 2020 Compliance Audit Return (CAR).

**BACKGROUND**

In accordance with the Local Government Act 1995 and Local Government (Audit) Regulations 1996, a local government is required to complete an annual CAR for the period 1 January to 31 December of the preceding year. The CAR, after being adopted by Council, is to be forwarded to the Department of Local Government by 31 March 2021.

**COMMENT**

The purpose of the annual CAR is for individual local governments to assess their level of compliance with the Local Government Act 1995 and associated Regulations.

The specific areas addressed by the CAR are the same as those covered in the 2019 return. Overall, the areas covered include:

- Commercial Enterprises by Local Government
- Delegation of Power/Duty
- Disclosure of Interest
- Disposal of Property
- Elections
- Finance
- Integrated Planning & Reporting
- Local Government Employees
- Official Conduct
- Tenders for Providing Goods and Services

In addition to the above there was a new criteria called "Option Questions" which was also completed.

The Compliance Audit Return has been undertaken as an internal audit, sourcing evidence of compliance through the Shire's own records. Where relevant, resolution references have been included in the CAR.

The review has found that there were 2 items of non-compliance. As a comparative, there were 2 areas of non-compliance identified in the 2019 and 2018 return.

A summary for the each of the sections is shown below;

#### Commercial Enterprises by Local Government

The Shire had no major trading undertakings during 2020.

Non Compliance matters raised - Nil

#### Delegation of Power/Duty

1. Written records have not been maintained on all occasions by persons exercising a delegated power/duty

#### Non-Compliance matters raised – 1

While records were maintained for persons exercising delegated power or duty during the period, this was not recorded on all occasions. Rectifying the matter is an administration requirement that will require monitoring throughout the year and is currently being addressed to ensure it is compliant in 2021. There has certainly been an improvement in this area however with new staff having delegated power, they need to be reminded of the importance of recording this information.

#### Disclosure of Interest

#### Non-Compliance matters raised – 1

The annual returns form was provided to all Councillors and relevant staff on 10<sup>th</sup> July 2020, via email. On the 16<sup>th</sup> July 2020 it was noted that the incorrect form was provided and the new updated form was resent on the same day (16<sup>th</sup> July 2020).

One Councillor completed and lodged their Annual Return on 23<sup>rd</sup> July 2020, prior to the August 31<sup>st</sup> deadline, so made every endeavour to comply, albeit the incorrect form. The updated form was lodged by the Councillor upon returning from leave.

This matter was reported to the Corruption and Crime Commission (as per legislative requirement) via a letter dated 8<sup>th</sup> September 2020. The Commission responded via email dated 28<sup>th</sup> October advising that they will take no further action and had closed the file.

#### **5.75. 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.
- (2) A CEO must lodge with the mayor or president 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; or
  - (b) has, within 3 months of the start day, ceased to be a relevant person.

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

**5.76. Annual returns**

- (1) Each year, a relevant person other than the CEO must lodge with the CEO an annual return in the prescribed form by 31 August of that year.
- (2) Each year, a CEO must lodge with the mayor or president an annual return in the prescribed form by 31 August of that year.

Penalty applicable to subsections (1) and (2): \$10 000 or imprisonment for 2 years.

*[Section 5.76 amended by No. 1 of 1998 s. 18; No. 66 of 2006 s. 12.]*

**5.77. Acknowledging receipt of returns**

On receipt of a return under section 5.75 or 5.76 from a person, the CEO or the mayor or president, as the case may be, is to give the person written acknowledgment of having received the return.

Disposal of Property

Public notice is required for the disposal of property under section 3.58 of the Act unless sold by public auction. There was no property disposed of during the period.

Non Compliance matters raised - Nil

Finance

The main areas of non-compliance in the past have been;

1. The Audit Committee not being appointed by Council, and
2. Matters raised in the Audit Report to be addressed by the CEO with an Action List and a copy sent to the Minister within 3 months of Council receiving the Audit Report.

These matters were addressed in the 2020 Compliance Audit Return.

Integrated Planning & Reporting

This section was introduced in the CAR for 2017 and was not compulsory for Council to complete for 2017 & 2018, however it was a requirement to be completed for 2019 and again for 2020.

Non Compliance matters raised - Nil

Local Government Employees

There are currently no designated senior employees as per the definition of the Local Government Act 1995 employed at the Shire.

Non Compliance matters raised - Nil

Official Conduct

No complaints were received in accordance with section 5.121 of the Local Government Act 1995

Non Compliance matters raised – Nil

Optional

All questions were completed, all of which were compliant.

Non Compliance matters raised - Nil

#### Tenders for Providing Goods and Services

A tender register has been maintained and the processes for calling tenders followed within this reporting section. While a tender register has been maintained it is imperative to ensure the register is properly maintained at all times. Outlined below are the minimum requirements for information to be maintained in the tender register.

#### **17. Tenders register**

- (1) The CEO is responsible for keeping the tenders register and making it available for public inspection.
- (2) The tenders register is to include, for each invitation to tender —
  - (a) a brief description of the goods or services required; and
  - [(b) deleted]*
  - (c) particulars of —
    - (i) any notice by which expressions of interests from prospective tenderers was sought; and
    - (ii) any person who submitted an expression of interest; and
    - (iii) any list of acceptable tenderers that was prepared under regulation 23(4);and
  - (d) a copy of the notice of the invitation to tender; and
  - (e) the name of each tenderer whose tender has been opened; and
  - (f) the name of any successful tenderer.
- (3) The tenders register is to include for each invitation to tender the amount of the consideration or a summary of the amount of the consideration sought in the tender accepted by the local government.

Non Compliance matters raised - Nil

Overall the completed CAR indicates that the Shire of Coolgardie is maintaining an acceptable level of compliance in the key areas that the CAR focuses on. Those items identified as being non-compliant can be rectified with the implementation of simple administration processes.

#### **CONSULTATION**

Bec Horan, Projects

Navjot Kaur, Finance Manager

#### **STATUTORY ENVIRONMENT**

Local Government Act 1995

Local Government (Audit) Regulations 1996

Local Government (Functions & General) Regulations 1996

Local Government (Administration) Regulations 1996

Local Government (Financial Management) Regulations 1996

Local Government (Rules of Conduct) Regulations 2007

**Local Government Act 1995****7.13. Regulations as to audits**

- (1) Regulations may make provision as follows —
  - (i) requiring local governments to carry out, in the prescribed manner and in a form approved by the Minister, an audit of compliance with such statutory requirements as are prescribed whether those requirements are —
    - (i) of a financial nature or not; or
    - (ii) under this Act or another written law.

**Local Government (Audit) Regulations 1996****14. Compliance audits by local governments**

- (1) A local government is to carry out a compliance audit for the period 1 January to 31 December in each year.
- (2) After carrying out a compliance audit the local government is to prepare a compliance audit return in a form approved by the Minister.
- (3A) The local government's audit committee is to review the compliance audit return and is to report to the council the results of that review.
- (3) After the audit committee has reported to the council under subregulation (3A), the compliance audit return is to be —
  - (a) presented to the council at a meeting of the council; and
  - (b) adopted by the council; and
  - (c) recorded in the minutes of the meeting at which it is adopted.

**15. Compliance audit return, certified copy of etc. to be given to Executive Director**

- (1) After the compliance audit return has been presented to the council in accordance with regulation 14(3) a certified copy of the return together with —
  - (a) a copy of the relevant section of the minutes referred to in regulation 14(3)(c); and
  - (b) any additional information explaining or qualifying the compliance audit,is to be submitted to the Executive Director by 31 March next following the period to which the return relates.
- (2) In this regulation —

**certified** in relation to a compliance audit return means signed by —

  - (a) the mayor or president; and
  - (b) the CEO.

**POLICY IMPLICATIONS**

Nil


**FINANCIAL IMPLICATIONS**

Nil

**STRATEGIC IMPLICATIONS****Accountable and effective leaders**

High quality corporate governance, accountability and compliance

**ATTACHMENTS**

1. Compliance Audit Return 2020 [↓](#) 
2. Letter to the CCC - Annual Return - Confidential
3. Email response from the CCC - Confidential

**VOTING REQUIREMENT**

Simple majority

**AUDIT COMMITTEE RESOLUTION AND OFFICER RECOMMENDATION**

**Moved:** Cr Tracey Rathbone

**Seconded:** Cr Sherryl Botting

That the Audit Committee, receives the completed 2020 Compliance Audit Return for the period of 1 January to 31 December 2020 and recommends that Council endorses the return as tabled.

**In Favour:** Crs Malcolm Cullen, Tracey Rathbone, Sherryl Botting and Tammee Keast

**Against:** Nil

**CARRIED 4/0**

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



Department of  
**Local Government, Sport  
and Cultural Industries**

## Coolgardie - Compliance Audit Return 2020

### 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<br>Regs 7,9,10 | Has the local government prepared a business plan for each major trading undertaking that was not exempt in 2020?   | N/A      |          | Bec Horan  |
| 2   | s3.59(2)(b) F&G<br>Regs 7,8,10 | Has the local government prepared a business plan for each major land transaction that was not exempt in 2020?  | N/A      |          | Bec Horan  |
| 3   | s3.59(2)(c) F&G<br>Regs 7,8,10 | 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 2020?   | N/A      |          | Bec Horan  |
| 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 2020? | N/A      |          | Bec Horan  |
| 5   | s3.59(5)                       | During 2020, did the council resolve to proceed with each major land transaction or trading undertaking by absolute majority?   | N/A      |          | Bec Horan  |

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



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| <b>Delegation of Power/Duty</b> |                                |  |                 |   |                   |
|---------------------------------|--------------------------------|--|-----------------|---|-------------------|
| <b>No</b>                       | <b>Reference</b>               | <b>Question</b>  | <b>Response</b> | <b>Comments</b>   | <b>Respondent</b> |
| 1                               | s5.16                          | Were all delegations to committees resolved by absolute majority?  | N/A             | There are no formal committees of Council   | Bec Horan         |
| 2                               | s5.16                          | Were all delegations to committees in writing?   | N/A             |   | Bec Horan         |
| 3                               | s5.17                          | Were all delegations to committees within the limits specified in section 5.17?  | N/A             |   | Bec Horan         |
| 4                               | s5.18                          | Were all delegations to committees recorded in a register of delegations?  | N/A             |   | Bec Horan         |
| 5                               | s5.18                          | Has council reviewed delegations to its committees in the 2019/2020 financial year?  | N/A             |   | Bec Horan         |
| 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             |   | Bec Horan         |
| 7                               | s5.42(1)                       | Were all delegations to the CEO resolved by an absolute majority?  | Yes             |   | Bec Horan         |
| 8                               | s5.42(2)                       | Were all delegations to the CEO in writing?  | Yes             |   | Bec Horan         |
| 9                               | s5.44(2)                       | Were all delegations by the CEO to any employee in writing?  | Yes             |   | Bec Horan         |
| 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             |   | Bec Horan         |
| 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             |   | Bec Horan         |
| 12                              | s5.46(2)                       | Were all delegations made under Division 4 of the Act reviewed by the delegator at least once during the 2019/2020 financial year?           | Yes             |   | Bec Horan         |
| 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? | No              | While records were maintained for persons exercising delegated power of duty, this was not recorded on all occasions. | Bec Horan         |

| <b>Disclosure of Interest</b> |                  |  |                 |                 |                   |
|-------------------------------|------------------|--|-----------------|-----------------|-------------------|
| <b>No</b>                     | <b>Reference</b> | <b>Question</b>  | <b>Response</b> | <b>Comments</b> | <b>Respondent</b> |
| 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             |                 | Bec Horan         |

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



Department of  
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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      |   | Bec Horan  |
| 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      |   | Bec Horan  |
| 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      |   | Bec Horan  |
| 5  | s5.76 Admin Reg 23, Form 3         | Was an annual return in the prescribed form lodged by all relevant persons by 31 August 2020?  | No       | <p>One Councillor completed and lodged their Annual Return on 23rd July 2020, prior to the August 31st deadline, so made every endeavour to comply, albeit the incorrect form. The updated form was lodged by the Councillor upon returning from leave.</p> <p>This matter was reported to the Corruption and Crime Commission via a letter dated 8th September 2020. The Commission responded via email dated 28th October advising that they will take no further action and had closed the file.</p> | Bec Horan  |
| 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      |   | Bec Horan  |
| 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      |   | Bec Horan  |
| 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      |   | Bec Horan  |
| 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      |   | Bec Horan  |

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



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| No | Reference                             | Question  | Response | Comments | Respondent |
|----|---------------------------------------|---|----------|----------|------------|
| 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      |          | Bec Horan  |
| 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      |          | Bec Horan  |
| 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      |          | Bec Horan  |
| 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      |          | Bec Horan  |
| 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      |          | Bec Horan  |
| 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)?  | Yes      |          | Bec Horan  |
| 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      |          | Bec Horan  |
| 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      |          | Bec Horan  |
| 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      |          | Bec Horan  |
| 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      |          | Bec Horan  |
| 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      |          | Bec Horan  |

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



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| No | Reference        | Question   | Response | Comments | Respondent |
|----|------------------|--|----------|----------|------------|
| 21 | Admin Reg 34B(5) | Has the CEO kept a register of notifiable gifts in accordance with Admin Reg 34B(5)? | Yes      |          | Bec Horan  |

#### 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      |          | Bec Horan  |
| 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      |          | Bec Horan  |

#### 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? | N/A      | No elections in 2020 | Bec Horan  |
| 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      |                      | Bec Horan  |
| 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)?  | N/A      |                      | Bec Horan  |

#### 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      |          | Martin Whitely |
| 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?            | Yes      |          | Martin Whitely |

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



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| No | Reference         | Question   | Response | Comments | Respondent     |
|----|-------------------|--|----------|----------|----------------|
| 3  | s7.3(1) & s7.6(3) | Was the person or persons appointed by the local government to be its auditor appointed by an absolute majority decision of council?   | Yes      |          | Martin Whitely |
| 4  | s7.3(3)           | Was the person(s) appointed by the local government under s7.3(1) to be its auditor a registered company auditor or an approved auditor?   | Yes      |          | Martin Whitely |
| 5  | s7.9(1)           | Was the auditor's report for the financial year ended 30 June 2020 received by the local government by 31 December 2020?   | Yes      |          | Martin Whitely |
| 6  | 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?                                | Yes      |          | Martin Whitely |
| 7  | s7.12A(4)(a)      | 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?   | Yes      |          | Martin Whitely |
| 8  | s7.12A(4)(b)      | Where the local government was required to prepare a report under s.7.12A(4)(a), was a copy of the report given to the Minister within three months of the audit report being received by the local government?  | Yes      |          | Martin Whitely |
| 9  | 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      |          | Martin Whitely |
| 10 | Audit Reg 7       | Did the agreement between the local government and its auditor include the objectives and scope of the audit, a plan for the audit, details of the remuneration and expenses paid to the auditor, and the method to be used by the local government to communicate with the auditor? | Yes      |          | Martin Whitely |
| 11 | 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      |          | Martin Whitely |

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



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| <b>Integrated Planning and Reporting</b> |                          |  |                 |                                      |                   |
|--|--------------------------|--|-----------------|--------------------------------------|-------------------|
| <b>No</b>                                | <b>Reference</b>         | <b>Question</b>  | <b>Response</b> | <b>Comments</b>                      | <b>Respondent</b> |
| 1  | Admin Reg 19C            | Has the local government adopted by absolute majority a strategic community plan?<br>If Yes, please provide the adoption date or the date of the most recent review in the Comments section? | Yes             | June 2018 Council Resolution #108/18 | Martin Whitely    |
| 2  | Admin Reg 19DA (1) & (4) | Has the local government adopted by absolute majority a corporate business plan?<br>If Yes, please provide the adoption date or the date of the most recent review in the Comments section?  | Yes             | June 2020 Council Resolution #101/20 | Martin Whitely    |
| 3  | Admin Reg 19DA (2) & (3) | Does the corporate business plan comply with the requirements of Admin Reg 19DA(2) & (3)?  | Yes             |                                      | Martin Whitely    |

**Local Government Employees**

| <b>No</b> | <b>Reference</b>                   | <b>Question</b>  | <b>Response</b> | <b>Comments</b> | <b>Respondent</b> |
|-----------|------------------------------------|--|-----------------|-----------------|-------------------|
| 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             |                 | Bec Horan         |
| 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             |                 | Bec Horan         |
| 3         | Admin Reg 18E                      | Was all information provided in applications for the position of CEO true and accurate?  | N/A             |                 | Bec Horan         |
| 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             |                 | Bec Horan         |
| 5         | s5.37(2)                           | Did the CEO inform council of each proposal to employ or dismiss senior employee?  | N/A             |                 | Bec Horan         |
| 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             |                 | Bec Horan         |

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



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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?   | N/A      |          | Bec Horan  |
| 2                | s5.121(1) | 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)? | Yes      |          | Bec Horan  |
| 3                | s5.121(2) | Does the complaints register include all information required by section 5.121(2)?   | Yes      |          | Bec Horan  |
| 4                | 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      |          | Bec Horan  |

| 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 2020?<br>If yes, please provide the date of council's resolution to accept the report.                                | Yes      | April 2019  | Martin Whitely |
| 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 2020?<br>If yes, please provide date of council's resolution to accept the report. | Yes      | August 2018   | Martin Whitely |
| 3                  | s5.87C(2)                         | Where a disclosure was made under sections 5.87A or 5.87B, was the disclosure made within 10 days after receipt of the gift?   | N/A      | No gifts received                                   | Martin Whitely |
| 4                  | s5.87C                            | Where a disclosure was made under sections 5.87A or 5.87B, did the disclosure include the information required by section 5.87C?   | N/A      |   | Martin Whitely |
| 5                  | s5.90A(2)                         | Did the local government prepare and adopt by absolute majority a policy dealing with the attendance of council members and the CEO at events?   | Yes      | Policy 1.18<br>27 October 2020<br>Resolution 195/20 | Bec Horan      |

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



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| No | Reference                 | Question  | Response | Comments                          | Respondent     |
|----|---------------------------|---|----------|-----------------------------------|----------------|
| 6  | s.5.90A(5)                | Did the CEO publish an up-to-date version of the attendance at events policy on the local government's official website?  | Yes      |                                   | Bec Horan      |
| 7  | 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)?  | N/A      |                                   | Bec Horan      |
| 8  | 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      | 27 October 2020 Resolution 195/20 | Bec Horan      |
| 9  | s5.127                    | Did the local government prepare a report on the training completed by council members in the 2019/2020 financial year and publish it on the local government's official website by 31 July 2020? | Yes      | Register maintained on website    | Bec Horan      |
| 10 | s6.4(3)                   | By 30 September 2020, did the local government submit to its auditor the balanced accounts and annual financial report for the year ending 30 June 2020?  | Yes      |                                   | Martin Whitely |

#### Tenders for Providing Goods and Services

| No | Reference  | Question   | Response | Comments | Respondent |
|----|--|--|----------|----------|------------|
| 1  | F&G Reg 11A(1) & (3)                             | Does the local government have a current purchasing policy that complies with F&G Reg 11A(3) in relation to contracts for other persons to supply goods or services where the consideration under the contract is, or is expected to be, \$250,000 or less or worth \$250,000 or less? | Yes      |          | Bec Horan  |
| 2  | F&G Reg 11A(1)                                   | Did the local government comply with its current purchasing policy 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      |          | Bec Horan  |
| 3  | 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      |          | Bec Horan  |
| 4  | 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      |          | Bec Horan  |
| 5  | 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      |          | Bec Horan  |

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| No | Reference                       | Question   | Response | Comments | Respondent |
|----|---------------------------------|--|----------|----------|------------|
| 6  | 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      |          | Bec Horan  |
| 7  | 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      |          | Bec Horan  |
| 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 and did the CEO make the tenders register available for public inspection and publish it on the local government's official website? | Yes      |          | Bec Horan  |
| 9  | 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?  | Yes      |          | Bec Horan  |
| 10 | 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      |          | Bec Horan  |
| 11 | 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      |          | Bec Horan  |
| 12 | 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      |          | Bec Horan  |
| 13 | 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      |          | Bec Horan  |
| 14 | F&G Reg 23(3)                   | Were all expressions of interest that were not rejected assessed by the local government?  | N/A      |          | Bec Horan  |
| 15 | 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 as an acceptable tenderer?  | N/A      |          | Bec Horan  |
| 16 | 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      |          | Bec Horan  |
| 17 | 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      |          | Bec Horan  |

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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 |
|----|--------------------|---|----------|----------|------------|
| 18 | 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      |          | Bec Horan  |
| 19 | 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      |          | Bec Horan  |
| 20 | 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?  | N/A      |          | Bec Horan  |
| 21 | 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      |          | Bec Horan  |
| 22 | 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      |          | Bec Horan  |
| 23 | F&G Reg 24AI       | Did the CEO send each applicant written notice advising them of the outcome of their application?   | N/A      |          | Bec Horan  |
| 24 | 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?   | N/A      |          | Bec Horan  |

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

\_\_\_\_\_  
Signed Mayor/President, Coolgardie

\_\_\_\_\_  
Signed CEO, Coolgardie

**6 NEW BUSINESS OF AN URGENT NATURE INTRODUCED BY DECISION OF MEETING**

**6.1 Elected Members**

**6.2 Council Officers**

**7 CLOSURE OF MEETING**

**The Meeting closed at 05:42pm**