



**Shire of Wyalkatchem Audit and Risk Committee (ARC)**

**Notice of Meeting and Agenda –**

**To be held on Thursday 17 February 2022,  
commencing at 3.00pm in the Council Chambers,  
Honour Avenue, Wyalkatchem**

*Regulation 16 of the Local Government (Audit) Regulations 1996 states that:*

*“An audit committee –*

- a)** is to provide guidance and assistance to the local government –
  - i.** as to the carrying out of its functions in relation to audits carried out under Part 7 of the Act; and*
  - ii.** as to the development of a process to be used to select and appoint a person to be an auditor; and**
  
- b)** may provide guidance and assistance to the local government as to –
  - i.** matters to be audited; and*
  - ii.** the scope of audits; and*
  - iii.** its functions under Part 6 of the Act; and*
  - iv.** the carrying out of its functions relating to other audits and other matters related to financial management; and**
  
- c)** is to review a report given to it by the CEO under regulation 17(3) (the CEO’s report) and is to –
  - i.** report to the council the results of that review; and*
  - ii.** give a copy of the CEO’s report to the council.”**

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- 1. DECLARATION OF OPENING**
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- 9. MATTERS FOR WHICH THE MEETING MAY BE CLOSED**

## 10. MATTERS REQUIRING A COMMITTEE DECISION

### 10.1. CORPORATE SERVICES REPORTS

#### 10.1.1. AUDIT AND RISK COMMITTEE ACTION REPORT

Applicant:	Shire of Wyalkatchem
Location:	Shire of Wyalkatchem
Date:	10 February 2022
Reporting Officer:	Rajinder Sunner, Manager of Corporate Services
Disclosure of Interest:	No interests to disclose
File Number:	12.02.02
Attachment Reference:	<a href="#">Attachment 10.1.1 – Committee Action Report February 2022</a>

#### VOTING REQUIREMENT

Simple Majority

#### OFFICER'S RECOMMENDATION

*That the Audit and Risk Committee receives the Audit and Risk Committee Action Report, as per attachment 10.1.1.*

#### BACKGROUND

The committee meets every quarter to fulfil its functions and objectives as outlined in its Terms of Reference.

#### COMMENT

Please refer to attachment 10.1.1 which shows actions since the last report.

#### STATUTORY ENVIRONMENT

*Local Government (Financial Management) Regulations 1996 s.5 (2)(c)*

*Local Government (Audit) Regulations 1996 s.17*

*Local Government Act 1995*

#### POLICY IMPLICATIONS

There are no direct policy implications in relation to this item.

#### FINANCIAL IMPLICATIONS

There are no direct financial implications in relation to this item.

#### COMMUNITY & STRATEGIC OBJECTIVES

This matter promotes the following Strategic Community Plan goal.

#### GOAL: 10

Outcome No.	Outcome
<b>Transparent, accountable and effective governance</b>	Ensuring a well-informed Council makes good decisions for the community Ensuring sound financial management and plans for the Shire's long term financial sustainability High quality corporate governance, accountability and compliance Maintaining Integrated Strategic and Operational plans

### 10.1.2. AUDIT FINDINGS ACTION PLAN STATUS REPORT

Applicant:	Shire of Wyalkatchem
Location:	Shire of Wyalkatchem
Date:	11 February 2022
Reporting Officer:	Rajinder Sunner – Manager of Corporate Services
Disclosure of Interest:	No interests to disclose
File Number:	12.02.01
Attachment Reference:	<a href="#">Attachment 10.1.2 FY 21 Audit Findings Action Plan Report</a>

#### VOTING REQUIREMENT

Simple Majority

#### COMMITTEE RECOMMENDATION

*That the Audit and Risk Management Committee receives the current FY21 Financial Audit Findings Action Plan Report.*

#### SUMMARY

Council is required to meet with the auditor annually. Council has given delegated authority to the Audit Committee to meet with the auditor to satisfy the requirement of s.7.12A (2) of the *Local Government Act 1995* (the Act). A meeting with the Auditor General's representative was conducted via telephone on the 18<sup>th</sup> November 2021.

#### COMMENT

The Audit identified five main management control issues and an action plan attached has been prepared to track that all matters are addressed by the Shire in a timely manner.

#### STATUTORY ENVIRONMENT

*Local Government Act 1995 section 7.12A – Duties of local government with respect to audits.*  
The requirements of this section include:

- a. Upon receipt of the auditor's report, the local government must prepare a report for its Audit Committee to address the significant matters raised and outline what action(s) the local government has taken or intends to take in respect of each of the matters raised.

A local government is not considered compliant with its statutory obligations until the above action has been completed.

#### POLICY IMPLICATIONS

There are no direct policy implications in relation to this item.

#### FINANCIAL IMPLICATIONS

There are no direct financial implications in relation to this item.

#### COMMUNITY & STRATEGIC OBJECTIVES

This matter promotes the following Strategic Community Plan goal.

**GOAL 10**

<b>Outcome No.</b>	<b>Outcome</b>
<b>Transparent, accountable and effective governance</b>	<ul style="list-style-type: none"><li>• Ensuring a well-informed Council makes good decisions for the community</li><li>• Ensuring sound financial management and plans for the Shire's long term financial sustainability</li><li>• High quality corporate governance, accountability and compliance Maintaining Integrated Strategic and Operational plans</li></ul>

## 10.2. RISK MANAGEMENT

### 10.2.1. COMPLIANCE STATUS REPORTS

Applicant:	Shire of Wyalkatchem
Location:	Shire of Wyalkatchem
Date:	10 February 2022
Reporting Officer:	Rajinder Sunner, Manager of Corporate Services
Disclosure of Interest:	No interests to disclose
File Number:	12.02.02, 13.11, 12.19.01
Attachment Reference:	<a href="#">Attachment 10.2.1. – Compliance Calendar Status Report</a>

### VOTING REQUIREMENT

Simple Majority

### COMMITTEE RECOMMENDATION

*That the Audit and Risk Committee notes the Statutory Compliance Calendar Status Report.*

### BACKGROUND

Audit Regulation 17 and Financial Management Systems Review.

The Regulation 17 Review Audit and the Financial Management Systems Review is currently being conducted in 2022 by Stantons Corporate Compliance and Advisory Firm who will produce a list of recommendations in the following areas

- Risk Management
- Legislative Compliance
- Internal Controls

#### Audit Regulation 17

The 2021/22 Audit Regulation 17 Review is currently underway.

On completion an action plan and status report will be developed to be included in the future Audit and Risk Management Committee Meetings.

#### Financial Management Review

The 2021/22 Financial Management Review is currently underway.

On completion, an action plan and status report will be developed to be included in the future Audit and Risk Management Committee Meetings.

#### Progress made this quarter –

- **4.2.2 FBT is now Independently reviewed by Stantons Consultants – in progress**

#### Statutory Compliance Calendar

The Statutory Compliance Calendar identifies annual compliance obligations. Please refer to attachment 10.2.1.

For Council review and discussion.

### **STATUTORY ENVIRONMENT**

*Local Government (Financial Management) Regulations 1996 s.5 (2)(c)*

*Local Government (Audit) Regulations 1996 s.17*

*Local Government Act 1995*

### **POLICY IMPLICATIONS**

There are no direct policy implications in relation to this item.

### **FINANCIAL IMPLICATIONS**

There are no direct financial implications in relation to this item.

### **COMMUNITY & STRATEGIC OBJECTIVES**

This matter promotes the following Strategic Community Plan goal.

#### **GOAL 10**

<b>Outcome No.</b>	<b>Outcome</b>
<b>Transparent, accountable and effective governance</b>	<ul style="list-style-type: none"><li>• Ensuring a well-informed Council makes good decisions for the community</li><li>• Ensuring sound financial management and plans for the Shire's long term financial sustainability</li><li>• High quality corporate governance, accountability and compliance</li></ul> Maintaining Integrated Strategic and Operational plans



### 10.2.2. COMPLIANCE AUDIT RETURN 2021

Applicant:	Shire of Wyalkatchem
Location:	Shire of Wyalkatchem
Date:	10 February 2022
Reporting Officer:	Rajinder Sunner, Manager of Corporate Services
Disclosure of Interest:	No interests to disclose
File Number:	12.19.01
Attachment Reference:	<a href="#">Attachment 10.2.2 – 2021 Compliance Audit Return</a>

### VOTING REQUIREMENT

Simple Majority

### COMMITTEE RECOMMENDATION

*That the Audit and Risk Committee:*

1. *Receives the 2021 Compliance Audit Return for the period 1 January 2021 to 31 December 2021 as per attachment 10.2.2*
2. *Notes the areas of non-compliance within the 2021 Compliance Audit Return.*
3. *Recommends that Council:*
  - i. *adopts the 2021 Compliance Audit Return for the period 1 January 2021 to 31 December 2021.*
  - ii. *Notes the areas of non-compliance within the 2021 Compliance Audit Return.*
  - iii. *Submit a certified copy of the 2021 Compliance Audit Return to the Director General of the Department of Local Government, Sport and Cultural Industries by 31 March 2022.*

### BACKGROUND

Western Australian local governments are required to complete an annual Compliance Audit Return (CAR) in accordance with the provisions of the Local Government (Audit) Regulations 1996 (Regulations). The CAR must be submitted to the Department of Local Government, Sport and Cultural Industries (Department) by 31 March 2022. The period examined by this audit is 1 January to 31 December 2021.

The completed return is required to be:

- Reviewed by the Audit Risk Management Committee
- Considered and adopted by Council
- Certified by the President and CEO following Council adoption
- Submitted together with a copy of the Council Minutes to the Department by 31 March 2022.

The report assists the Shire of Wyalkatchem to monitor legislative compliance by examining a range of prescribed requirements under Regulation 13.

### STATUTORY ENVIRONMENT

*Local Government (Audit) Regulations 1996 section 14 – Compliance Audits by Local Governments.*

**POLICY IMPLICATIONS**

There are no direct policy implications in relation to this item.

**FINANCIAL IMPLICATIONS**

There are no direct financial implications in relation to this item.

**COMMUNITY & STRATEGIC OBJECTIVES**

This matter promotes the following Strategic Community Plan goal.

**Goal 10**

Outcome No.	Outcome
Transparent, accountable and effective governance	<ul style="list-style-type: none"><li>• Ensuring a well-informed Council makes good decisions for the community</li><li>• Ensuring sound financial management and plans for the Shire’s long term financial sustainability</li><li>• High quality corporate governance, accountability and compliance</li></ul> Maintaining Integrated Strategic and Operational plans

**11. MOTIONS OF WHICH PREVIOUS NOTICE HAS BEEN GIVEN**

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## Audit and Risk Committee Actions Status Report 2021 - 22

In accordance with the *Local Government Act 1995 5.41(c)* the function of the CEO is to; Cause council decisions to be implemented.

The purpose of the Shire of Wyalkatchem Audit and Risk Committee Meeting Status report is to provide a progress status and actions performed to date, as well as anticipated completion dates. The presentation of the status report is effective from the 28 April Audit and Risk Committee Meeting. Actions and status updates since the last status report are indicated in bold. Items that have been reported as completed will be removed in future reports.

### SHIRE OF WYALKATCHEM AUDIT AND RISK COMMITTEE MEETING STATUS REPORT AS AT FEBRUARY 2022

MINUTE REFERENCE	DETAIL	REPOSNI BLE OFFICE	STATUS / COMMENTS	STATUS / ANTICIPATED COMPLETION
1 April 2021 OAG Findings Asset Management Plan and Long Term Financial Plan	We recommend the Asset Management Plan and the Long Term Financial Plan are prepared, reviewed and updated annually to ensure 10 year projections are available as required by the regulations, to calculate the asset renewal funding ratio - SIGNIFICANT	MCS	<b>Staff are currently working on a LTFP and intend to have both plans completed by the end of March 2022.</b>	<b>In Progress AMP draft expected End of March 2022</b>
1 April 2021 OAG Findings Lack of documented policies and procedures	The Shire should develop policies and procedures for purchasing and rates revenue. These policies and procedures should be approved by Council and periodically reviewed. - MODERATE	MCS	<b>We agree with this recommendation and will implement a procedure relating to rates revenue. We do have a purchasing policy 2.1 which covers purchasing in detail and refers to Tendering. We will produce a policy more specific to tendering.</b>	<b>In Progress</b>

MINUTE REFERENCE	DETAIL	REPO NSI BLE OFFICE	STATUS / COMMENTS	STATUS / ANTICIPATED COMPLETION
16/2021	<p>That the Audit and Risk Committee recommends that Council;</p> <ol style="list-style-type: none"> <li>1. Accepts the Annual Report and Financial Statements for the year ended 30 June 2021.</li> <li>2. Holds a General Meeting of Electors in early February 2022, date and time to be determined, in the Shire of Wyalkatchem Council Chambers.</li> </ol>	<p>CEO</p> <p>CEO</p>	<p><b>COMPLETE 16/12/2021</b></p> <p><b>Date determined as 8/02/2022</b></p>	<p><b>COMPLETE</b></p>





Matter	Rating	Plan / Comments	Deadline
<b>Contract without the Tender process</b>	SIGNIFICANT	This finding was reported by management in the Shire's 2020 Compliance Audit Return (CAR). Management is preparing a Tender Procedure to be followed in conjunction with our Purchasing Policy.	Chief Executive Officer 30 September 2021 <b>COMPLETE</b>
<b>Investment of surplus funds</b>	MODERATE	Staff to produce an Internal Procedure and an Investment Register as per Policy 2.5.	Manager of Corporate Services 28 February 2022
<b>Purchase orders dated after invoice dates</b>	MODERATE	Purchasing Policy training will be provided to all staff involved in the ordering of goods and services to ensure they are aware of the Purchasing Policy Procedures.	Manager of Corporate Services 28 February 2022
<b>No Asset Disposal Forms</b>	MODERATE	An Asset Disposal form will be produced and used for all future disposals of assets.	Manager of Corporate Services <b>COMPLETE</b>





# CONCEPT PLAN 0.2.1 COMPLIANCE CALENDAR UPDATE

Department of Local Government, Sporting and Cultural Industries (DLGSC)

Endorsement Required by

Section	Compliance Action	Compliance Requirement	Section / Ref	Good Practice Resources and LG Operational Procedures	Compliance Frequency	Audit Committee	Council	Due Date	Position Title Officer Responsible for Action Compliance	Supporting Officer	Status	Compliance Met	Date Completed	Records Ref (Evidence of completion)	Comments: If Action not completed, report on plan to rectify non-compliance
<b>Prior reports outstanding items</b>															
Jul-20	IPR	<b>Organisational Structure - Review</b> Following each major review of the Community Strategic Plan and the consequential review of the Corporate Business and Workforce Plans, undertake a review of the Organisational Structure to ensure alignment for achieving Council's objectives <b>Due 18/07/2019</b>	Local Government Act 1995	s.5.2		Annually	✓	30/06/2022	Chief Executive Officer		In progress	✓			To be considered under the FY23 budgeting process. Timing Rescheduled.
Jul-20	IPR	<b>Workforce Plan - Review</b> Update the Workforce Plan to include outcomes of Corporate Business Plan Review and report, with recommendations to Council	Local Government Act 1995	s.5.56 Admin.Reg.19DA	DLGSC website - Integrated Planning and Reporting Framework and Guidelines	Annual	✓	1/06/2022	Chief Executive officer	Manager of Corporate Services	In progress	✓			As above
<b>2020 October - Take Action</b>															
Oct-20	Audit	<b>Review Risk Register and record Status updates</b>	Regulation 17 Audit	2.2.1		Quarterly	✓	31/10/2021	chief Executive officer		In progress	✓			LGIS supporting development of critical risk register
<b>2020 November - Take Action</b>															
Nov-20	Financial Compliance	<b>Payroll/ Staff/ HR Policies</b> - to be reviewed/ amd or Developed.	FMSR 2018	6.2.2		Annual	✓	21/11/2021	Chief Executive Officer	Manager of Corporate Services	On-going	✓			MCS to review
<b>2020 December - Take Action</b>															
Dec-20	IPR	<b>Asset Management Plan - Review</b> Update the Asset Management Plan to include outcomes of the Corporate Business Plan Review and report with recommendations to Council	Local Government Act 1995	s.5.56 Admin.Reg.19DA	DLGSC website - Integrated Planning and Reporting Framework and Guidelines	Annual		15/05/2021	Manager of Corporate Services	Manager of Corporate Services	In progress	✓			Final draft nearing completion & will feed into FY23 budget process
Dec-20	IPR	<b>Long Term Financial Plan - Review</b> Update the Local Term Financial Plan to include outcomes of Corporate Business Plan Review and report with recommendations to Council	Local Government Act 1995	s.5.56 Admin.Reg.19DA	DLGSC website - Integrated Planning and Reporting Framework and Guidelines	Annual	✓	15/05/2021	Manager of Corporate Services	Chief Executive Officer	In progress	✓			Final draft nearing completion & will feed into FY23 budget process
<b>2021 January - Take Action</b>															
Jan	Financial Compliance	<b>Revaluation of Assets - Buildings - Commence Work</b> LG must revalue all assets within the Plant and Equipment Class by the expiry of each 3-yearly interval after 30 June 2016. Due 30 June 2021	Local Government Act 1995	FM.Reg.17A(4)		3-yearly		30/06/2021	Manager of Corporate Service		Completed	✓			Complete
<b>2021 February - Take Action</b>															
Feb	Appointments	<b>Delegation Register Review</b> - Delegations are to be reviewed by the delegator at least once every financial year Last Reviewed: 15/2/2018 Next Due: 15/2/2021	Local Government Act 1995	s.5.16, 5.17, 5.18 s.5.42, 5.43, 5.44, 5.45, 5.46 s.7.1B	WALGA website - Decision Making in Practice Toolkit Part 2 Delegations WALGA website - Webinar - Decision Making in Practice - Delegations DLGSC website - Operational Guideline No.17 Delegations	Annual	P	31/03/2021	Chief Executive officer	Governance Executive Officer	Completed	✓	Oct-21	22.02.02	Complete
Feb	Audit	<b>Financial Management Systems and Procedures Review</b> Not less than once in every 3 financial years, review the appropriateness and effectiveness of the systems and procedures established under FM Reg.5. CEO to report Review results to Council via the Audit Committee. Last completed (OCM decision date): 2019 Due by: 21/2/2022	Local Government Act 1995	FM.Reg.5	DLGSC website - WA Local Government Accounting Manual	Triennial	✓	21/02/2022	Manager of Corporate Service	Chief Executive officer	In progress	✓			
Feb	Audit	<b>Internal Control - Review</b> Undertake a review of the appropriateness and effectiveness of the Internal Control system and procedures.	Local Government Act 1995	Audit.Reg. 17(1)(b)	DLGSC website - WA Local Government Accounting Manual	Triennial Next Due: 2024	✓	16/09/2024	Chief Executive officer	Manager of Corporate Service	On-going	✓			
Feb	Audit	<b>Legislative Compliance - Review</b> Undertake a review of the appropriateness and effectiveness of the Legislative Compliance system and procedures at least once in every 3 financial years. CEO to report Review results to Council via the Audit Committee. Last completed (OCM decision date): 1/6/2017 Due by: 1/6/2021	Local Government Act 1995	Audit.Reg. 17(1)(c)	AS 3806-2006 Compliance Programs	Triennial Next Due: 2024	✓	16/09/2024	Chief Executive officer		On-going	✓			MCS to Undertake review and present at November 2021 ARC
<b>2021 March - Take Action 2021</b>															
Mar	Policy	<b>Community Engagement</b> Develop a community engagement policy / strategy					✓	30/06/2022	Chief Executive Officer		In progress	✓			Consultatin of FY23 corporate plan activities & communications TIMING RESCHEDULED
Mar	Policy	<b>Customer Complaints Handling - Review</b> + Review the complaint handling policy & procedures.	n/a	n/a		Annual	P	31/10/2021	Governance Executive Officer		Completed	✓	3/11/2021	14.15.01	Customer Complaints Procedure Complete & regular management review.

Section	Compliance Action	Compliance Requirement	Section / Ref	Good Practice Resources and LG Operational Procedures	Compliance Frequency	Audit Committee	Council	Due Date	Position Title Officer Responsible for Action Compliance	Supporting Officer	Status	Compliance Met	Date Completed	Records Ref (Evidence of completion)	Comments If Action not completed, report on plan to rectify non-compliance
Mar	Policy	<b>Policy Manual - Review</b> Undertake a review of all Council Policies and provide report / reports to Council to, as necessary, amend policies or delete redundant policies	Local Government Act 1995	s.2.7(2)(b)	Annual		✓	31/12/2022	Chief Executive Officer		In progress	✓			Exploring options for external support to consolidate or restructure policies - <b>TIMING RESCHEDULED</b>
Mar	Policy	<b>Policy Review - Payments to Employees Additional to Contract or Award</b> Includes benefits and payments additional to EBA or Contract conditions i.e. gym memberships, gifts in recognition of length of service or gifts on retirement or resignation. Does not include payments for redundancy or termination which are legislated or subject to contractual arrangements.	Local Government Act 1995	s.5.50	Biennial		✓	15/03/2022	Corporate Services Manager		In progress	✓			SEE ABOVE
Mar	Appointments	<b>Designated Employees - Review</b> status of employees who have been nominated as Designated Employees but who are not delegated authority and are not members of a Council Committee.	Local Government Act 1995	s.5.74	Annual		✓	30/09/2022	Chief Executive Officer		Pending	✓			<b>TIMING RESCHEDULED</b>
<b>April - Take Action 2021</b>															
Apr	Financial Compliance	<b>Review and Reconcile Grant Register.</b> Status Updates required for each monthly Financial Checklist.	Regulation 17 Audit	3.2.6	Monthly			30/04/2021	Manager of Corporate Services	Finance and Administration Officer	Over due	✗			
Apr		<b>Publish Complaints Policy and Procedure on Council's website</b>	Local Government Act 1995; FMSR 2018	7.2.1				30/05/2022	Governance Executive Officer	Finance Officer	In progress	✓			<b>procedure in progress</b>
Apr	Reg 17 Audit	<b>Review Risk Management Plan</b>	Regulation 17 Audit	2.2.1	Annual	✓		31/12/2022	Chief Executive Officer		In progress	✓			LGIS compiling risk register
Apr	Audit	<b>Review Risk Register and record Status updates</b>	Regulation 17 Audit	2.2.1	Quarterly	✓		31/12/2022	Chief Executive Officer	Staff Safety Working Group	In progress	✓			Refer above - register prior to LGIS drafting did not exist.
<b>May - Take Action 2021</b>															
May	Annual Budget	<b>Rate Exempted Properties - Review</b> In preparation for next financial year, review previously approved rate exempt properties to determine if the basis of exemption remains unchanged. Advise owners where status is changed or approval has expired.	Local Government Act 1995	s.6.26(2)	Annual			31/05/2022	Rates Officer	Corporate Services Manager	Completed	✓			
May	appointments	<b>Authorised Persons - Review</b> Review the LG's authorised persons to ensure authorisations are accurate, valid and the correct certificates of authorisation and / or identity cards have been issued.	WALGA Decision Making in Practice Toolkit - Part 3 Authorisations		Annual			31/05/2021	Chief Executive Officer	Governance Executive Officer	In progress	✓			<b>ID Cards to be made</b>
May	Reg 17 Audit	<b>Risk Management Framework - Review Policies</b> Undertake a review of the appropriateness and effectiveness of the Risk Management system and procedures at least once in every 3 financial years. CEO to report Review results to Council via the Audit Committee. Last completed (OCM decision date): 08/02/2021 Due by: 30/06/2024	Local Government Act 1995	Audit.Reg. 17(1)(a)	Triennial	✓	✓	30/06/2024	Chief Executive officer	Manager of Corporate Services	Pending	✓	n/a		n/a
<b>June - Take Action 2021</b>															
Jun	BCP	<b>Business Continuity Plan - Review</b> Review the Business Continuity Plan to ensure it remains functional and is tested against current operational requirements. Last completed: dd/mm/yyyy Next Due: 20/06/2022	n/a	n/a	Biennial	✓	✓	20/06/2022	Manager of Corporate Services		Pending	✓	n/a		n/a
Jun	Internal Audit	<b>Decision Objection and Review Rights - Internal Audit</b> Review the LG's template permits, licences, notices and approval letters issued under the Act and Local Laws to ensure they include advice to the recipient of their objection and review rights.	Local Government Act 1995	s.9.4	Annual			31/12/2021	Manager of Corporate Services		Over due	✗			
Jul	Records	<b>Record Keeping Systems - Review</b> Undertake a review of the efficiency and effectiveness of the LGs record keeping systems - evaluated not less than once every 5 years. CEO function - to ensure that records and document are properly kept. Last completed: 21/02/2019 Due by: 31/07/2024	State Records Act 2000 Local Government Act 1995	Principles and Standards 2002 - Principle 6 s.5.41(h)	5-yearly	✓		21/02/2024	Chief Executive Officer	Administration and Finance Officer	Pending	✓	n/a		n/a
<b>August - Take Action 2021</b>															
Aug	Records	<b>Record Keeping Plan - Review</b> The LG's Record Keeping Plan must be reviewed within 5 years of its approval by the Commission Last completed in 2019	State Records Act 2000 Local Government Act 1995	s.28(S) s.5.41(h)	5-yearly		✓	31/03/2022	Chief Executive Officer	Administration and Finance Officer	Pending	✓	n/a		n/a
<b>September - Take Action 2021</b>															



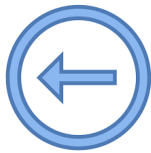
Section	Compliance Action	Compliance Requirement	Section / Ref	Good Practice Resources and LG Operational Procedures	Compliance Frequency	Audit Committee	Council	Due Date	Position Title Officer Responsible for Action Compliance	Supporting Officer	Status	Compliance Met	Date Completed	Records Ref (Evidence of completion)	Comments. If Action not completed, report on plan to rectify non-compliance
Sep	Records	Primary Returns - Request Primary Return from any new employee who is a Designated Employee. Return must be received by CEO within 3 months of the person's start day	Local Government Act 1995	s.5.75	WALGA Guideline - Primary and Annual Returns Management DLGSC Operational Guideline No.21 Disclosure of Financial Interests in Returns	Bi-monthly	✓	30/09/2021	Governance Executive Officer		Completed	✓	30-Sep-21	13.09.02P	Complete
Sep		<b>Financial Interests Register - Review</b> Review register to remove Primary and Annual Returns (not other interest disclosures) from the Financial Interest Register that relate to persons who are no longer Designated Employees (resigned or changed roles) for Elected Members who have resigned. Returns that are removed are to be kept by the CEO as LG Record for at least 5 years after the person ceased to be a Designated Employee.	Local Government Act 1995	s.5.88(3)(4)		Bi-monthly	✓	30/09/2021	Governance Executive Officer		Completed	✓	30-Sep-21	13.2 hard register in the safe	complete
Sep		<b>Emergency Services Levy - Option B Payment Due Due by: 21 September</b> and ESL Assessment Profile Return Form A	DFES - ESL Manual of Operating Procedures		DFES - ESL Manual of Operating Procedures	Quarterly	✓	21/09/2021	Finance Officer		Completed	✓	21-Sep-21		complete
Sep		<b>Elections - Nominations Open 05/09/2021</b> - First day for candidates to lodge completed nomination papers with the returning officer. Nominations are open for eight days	Local Government Act 1995	s.4.49(a)	DLGSC Elections Timetable DLGSC Returning Officer Manual	Biennial Next due 2021	✓	2.09.2021	Governance Executive Officer		Completed	✓	2.09.2021	13.07.04	complete
Sep		<b>Elections - Nominations Close at 4pm on Due By: 09/09/2021</b>	Local Government Act 1995	s.4.49(a)	DLGSC Elections Timetable DLGSC Returning Officer Manual	Biennial Next due 2021	✓	9/09/2021	Governance Executive Officer		Completed	✓	9/09/2021	13.07.04	complete
Sep		<b>Elections - Declarations of Office</b> for new Elected Members elected unopposed (due 2 months from declaration of result - close of nominations) <b>Due By: 16/12/2021</b>	Local Government Act 1995	s.2.29	DLGSC Elections Timetable DLGSC Returning Officer Manual	Biennial Next due 2021	✓	16/12/2021	Governance Executive Officer		Completed	✓	16/12/2021	13.07.04	complete
Sep		<b>Elections - Residents Roll</b> to be prepared by Electoral Commissioner <b>Due By: 10/09/2021</b>	Local Government Act 1995	s.4.40(2)	DLGSC Elections Timetable DLGSC Returning Officer Manual	Biennial Next due 2021	✓	10/09/2021	Governance Executive Officer		Completed	✓	10/09/2021	13.07.04	complete
Sep		<b>Elections - Owners and Occupiers Roll</b> to be prepared and certified by CEO <b>Due By: 13/09/2019</b>	Local Government Act 1995	s.4.41(1)	DLGSC Elections Timetable DLGSC Returning Officer Manual	Biennial Next due 2021	✓	10/09/2021	Governance Executive Officer		Completed	✓	10/09/2021	13.07.04	complete
		<b>Compliance Action</b>	<b>Compliance Requirement</b>	<b>Section / Ref</b>	<b>Good Practice Resources and LG Operational Procedures</b>	<b>Compliance Frequency</b>	<b>Audit Committee</b>	<b>Due Date</b>	<b>Position Title Officer Responsible for Action Compliance</b>		<b>Status</b>		<b>Date Completed</b>	<b>Records Ref (Evidence of completion)</b>	<b>Comments. If Action not completed, report on plan to rectify non-compliance</b>
		<b>October - Take Action 2021</b>													
Oct		<b>Elections - Declarations of Office</b> for new Elected Members, Shire President / Mayor and Deputy Shire President / Mayor sworn in following Election Day (2 months from declaration of result) <b>Due By: 16/12/2021</b>	Local Government Act 1995	s.2.29	DLGSC Elections Timetable DLGSC Returning Officer Manual	Biennial Next due 2021	✓	16/12/2021	Governance Executive Officer		Completed	✓	10/09/2021	13.07.04	complete
Oct		<b>Elections - Result declared and published</b> as Local Public Notice by Returning Officer as soon as practicable	Local Government Act 1995	s.4.77 Elections Reg.80	DLGSC Elections Timetable DLGSC Returning Officer Manual	Biennial Next due 2021	✓	16/10/2021	Governance Executive Officer		Completed	✓	16/10/2021	13.07.04	complete
Oct		<b>Elections - Report to Minister</b> (by 14th day after election) <b>Due by: 30/10/2021</b>	Local Government Act 1995	s.4.79 Elections Reg.81	DLGSC Elections Timetable DLGSC Returning Officer Manual	Biennial Next due 2021	✓	30/10/2021	Governance Executive Officer		Completed	✓	30/10/2021	13.07.04	complete
Oct		<b>Primary Returns</b> - Request new Elected Members - required to be lodged with CEO within 3 months of making Declarations of Office	Local Government Act 1995	s.5.75(1)	WALGA Guideline - Primary and Annual Returns Management DLGSC Operational Guideline No.21 Disclosure of Financial Interests in Returns	Biennial Next due 2021	✓	21/01/2022	Governance Executive Officer		Completed	✓	21/01/2022	13.09.02P	complete
Oct		<b>Elections - Election Papers</b> collected and secured in one or more parcels by Returning Officer	Local Government Act 1995	s.4.84(a) Elections Reg.82	DLGSC Elections Timetable DLGSC Returning Officer Manual	Biennial Next due 2021	✓	31/10/2021	Governance Executive Officer		Completed	✓	21/01/2022	13.07.04 2021	complete
Oct		<b>Elections - Destruction of Election Papers</b> - parcels which are more than 4 years old may be destroyed, supervised by CEO and witnessed by at least 2 employees OR to secure paper destruction company	Local Government Act 1995	s.4.84(a) Elections Reg.82	DLGSC website - Returning Officer Manual	Biennial Next due 2021	✓	31/10/2023	Governance Executive Officer	Customer Service + Records	Pending	✓	n/a		n/a
Oct		<b>Election of Shire President / Mayor, Deputy President / Mayor</b> - elected from amongst the Councillors - conducted in accordance with Schedule 2.3, Div.1	Local Government Act 1995	s.2.11(1)(b) Schedule 2.3, Div.1		Biennial Next due 2021	✓	21/10/2021	CEO	Governance Executive Officer	Completed	✓	21/01/2022	13.05.2021	complete
Oct		<b>CEO Authority to Speak on behalf of the LG</b> - if new Shire President / Mayor is elected, seek / obtain written authority from Shire President for CEO to speak on behalf of the Local Government.	Local Government Act 1995	s.5.41(f)		Biennial Next due 2021	✓	n/a	CEO	Governance Executive Officer	Completed	✓	n/a	n/a	same Shire President elected
Oct		<b>Establishment of Audit Committee</b> - following Elections, Council must establish an Audit Committee - with membership of 3 or more persons, by Absolute Majority, and appoint committee members and deputies. Each Elected Member is entitled to be a member of at least one committee.	Local Government Act 1995	s.7.1A s.5.8 s.5.9 s.5.10 s.5.11A s.5.11		Biennial	✓	18/11/2021	CEO	Governance Executive Officer	Completed	✓	18/11/2021	13.05.2021	complete

Endorsement Required by

Section	Compliance Action	Compliance Requirement	Section / Ref	Good Practice Resources and LG Operational Procedures	Compliance Frequency	Audit Committee	Council	Due Date	Position Title Officer Responsible for Action Compliance	Supporting Officer	Status	Compliance Met	Date Completed	Records Ref (Evidence of completion)	Comments. If Action not completed, report on plan to rectify non-compliance
Oct	<b>Establishment of Committees</b> - following Elections, Council may establish committees (other than Audit) of 3 or more persons, by Absolute Majority, and appoint committee members and deputies. Each Elected Member is entitled to be a member of at least one committee.	Local Government Act 1995	s.5.8 s.5.9 s.5.10 s.5.11A s.5.11		Biennial	✓	✓	18/11/2021	CEO	Governance Executive Officer	Completed	✓	18/11/2021	13.05.2021	complete
Oct	<b>Establishment of Committees</b> - Each committee has been established with a Terms of Reference, that details the purpose of the Committee and the scope of matters that the Committee will deal with.	Local Government Act 1995	s.5.8		Biennial	✓	✓	18/11/2021	CEO	Governance Executive Officer	Completed	✓	18/11/2021	13.05.2021	complete
Oct	<b>Election of Committee Presiding Members and deputies</b> - conducted in accordance with Schedule 2.3, Div.1	Local Government Act 1995	s.5.12 Schedule 2.3, Div.1		Biennial	✓	✓	18/11/2021	CEO	Governance Executive Officer	Completed	✓	18/11/2021	13.05.2021	complete
Oct	<b>Election Papers</b> - election of Shire President / Mayor, Deputy President / Mayor and Committee Presiding Members and deputies - Election Papers collected and secured in parcels	Local Government Act 1995	s.4.84(a) Elections Reg.82		Biennial	✓	✓	18/11/2021	CEO	Governance Executive Officer	Completed	✓	18/11/2021	13.05.2021	complete
Oct	Appointment of Elected Members to External Bodies -				Biennial		✓	18/11/2021	CEO	Governance Executive Officer	Completed	✓	18/11/2021	13.05.2021	complete
Oct	<b>Elected Member Induction - Provide an induction for newly elected Councillors.</b>	n/a	n/a	WALGA E Learning Councillor training	As Required		✓		CEO	Governance Executive Officer	In progress	✓			Purchased February 2022
	<b>Compliance Action</b>	<b>Compliance Requirement</b>	<b>Section / Ref</b>	<b>Good Practice Resources and LG Operational Procedures</b>	<b>Compliance Frequency</b>	<b>Audit Committee</b>	<b>Council</b>	<b>Due Date</b>	<b>Position Title Officer Responsible for Action Compliance</b>	<b>Supporting Officer</b>	<b>Status</b>	<b>Compliance Met</b>	<b>Date Completed</b>	<b>Records Ref (Evidence of completion)</b>	<b>Comments. If Action not completed, report on plan to rectify non-compliance</b>
	<b>November - Take Action</b>														
Nov	<b>Financial Interests Register - Review</b> • Review register to remove Primary and Annual Returns (not other interest disclosures) from the Financial Interest Register that relate to persons who are no longer Designated Employees (resigned or changed roles) or for Elected Members who have resigned. • Returns that are removed are to be kept by the CEO as LG Record for at least 5 years after the person ceased to be a Designated Employee.	Local Government Act 1995	s.5.88(3)(4)		Bi-monthly		✓	30/11/2021	Governance Executive Officer		Completed	✓	18/11/2021	13.12 Registers	complete
Nov	<b>Elected Members</b> - Review Meeting Attendance Register - check EMs have not been absent for 3 consecutive meetings without Leave of Absence being granted	Local Government Act 1995	s.2.25		Quarterly		✓	30/11/2021	Governance Executive Officer		Completed	✓	18/11/2021	13.12 Registers	complete
Nov	<b>Elections - Enrolment Eligibility Claims (Owners and Occupiers) Register</b> - Review register and take action re expired Eligibility Claims (no longer property owner / claim based on occupation or nominee expired)	Local Government Act 1995	s.4.35 Elections Regs.14 and 15 Form 6 and 7	WALGA website - Template Enrolment Eligibility Claims Register	Biannual (Apr & Nov)		✓	30/11/2021	Governance Executive Officer		Completed	✓	18/11/2021	13.07.04	complete
Nov	<b>Policy Review - Code of Conduct</b> Following each Election - provide Council report to enable the 'new' Council to review and adopt the Code of Conduct.	Local Government Act 1995	s.5.103 s.5.104 Admin.Reg. Part 9 Rules of Conduct Regs.	WALGA website - Model Code of Conduct  <b>Recommended Practice</b> • Review the Code following each Election cycle to ensure new (and old) Elected Members understand requirements.	Biennial <b>Next Due 2022</b>		✓	30/05/2022	CEO	Governance Executive Officer	Pending	✓	n/a		n/a
	<b>Compliance Action</b>	<b>Compliance Requirement</b>	<b>Section / Ref</b>	<b>Good Practice Resources and LG Operational Procedures</b>	<b>Compliance Frequency</b>	<b>Audit Committee</b>	<b>Council</b>	<b>Due Date</b>	<b>Position Title Officer Responsible for Action Compliance</b>	<b>Supporting Officer</b>	<b>Status</b>	<b>Compliance Met</b>	<b>Date Completed</b>	<b>Records Ref (Evidence of completion)</b>	<b>Comments. If Action not completed, report on plan to rectify non-compliance</b>
	<b>December - Take Action 2021</b>														
Dec	<b>Emergency Services Levy - Option B Payment Due</b> <b>Due by: 21 December</b> and ESL Assessment Profile Return Form A	DFES - ESL Manual of Operating Procedures		DFES -ESL website - Manual of Operating Procedures	Quarterly		✓	21/12/2021	Chief Executive officer	Manager of Corporate Services		✓	21/12/2021	finance	COMPLETE
Dec	<b>Council / Committee Meeting Schedule</b> - At least once per year, determine meeting schedule for next 12 months (see January - and give Local Public Notice)	Local Government Act 1995	s.5.25(1)(g) Admin.Reg.12		Annual	✓	✓	15/12/2021	Governance Executive Officer			✓	15/12/2021	13.04.	COMPLETE
Dec	<b>Annual Report - Accepted</b> , by Absolute Majority, by no later than <b>31st December</b>	Local Government Act 1995	s.5.53 s.5.54	DLGSCI website - WA Local Government Accounting Manual	Annual	✓	✓	15/02/2021	Chief Executive Officer	Governance Executive Officer		✓	15/12/2021	13.05 MINUTES	COMPLETE
Dec	Master Compliance Calendar - Review Review the Master Compliance Calendar content and consult with the LGs CEO, Executive and key employees to identify any additional Compliance Actions for inclusion in the next year's Master Compliance Calendar.	n/a	n/a		Annual	✓	✓	30/01/2022	Manager of Corporate Services	Governance Executive Officer		✓	in progress		review in progress. Local Law reviews to be added in and Extraordinary Election
	<b>Compliance Action</b>	<b>Compliance Requirement</b>	<b>Section / Ref</b>	<b>Good Practice Resources and LG Operational Procedures</b>	<b>Compliance Frequency</b>	<b>Audit Committee</b>	<b>Council</b>	<b>Due Date</b>	<b>Position Title Officer Responsible for Action Compliance</b>	<b>Supporting Officer</b>	<b>Status</b>	<b>Compliance Met</b>	<b>Date Completed</b>	<b>Records Ref (Evidence of completion)</b>	<b>Comments. If Action not completed, report on plan to rectify non-compliance</b>
	<b>January - Take Action 2022</b>														
Jan	Monthly Financial Report LG is to prepare each month a statement of financial activity reporting on the revenue and expenditure as set out in the annual budget under FM.Reg.22(1)(d). Presented at an Ordinary Council meeting within 2-months after the end of the month to which the statement relates.	Local Government Act 1995	s.6.4 FM.Reg.34	DLGSC WA Local Government Accounting Manual	Monthly		P	11/02/2022	Manager of Corporate Services	Governance Executive Officer	On-going	✓			FOR OMC Feb 2022

Section	Compliance Action	Compliance Requirement	Section / Ref	Good Practice Resources and LG Operational Procedures	Compliance Frequency	Endorsement Required by			Position Title Officer Responsible for Action Compliance	Supporting Officer	Status	Compliance Met	Date Completed	Records Ref (Evidence of completion)	Comments If Action not completed, report on plan to rectify non-compliance
						Audit Committee	Council	Due Date							
Jan	<b>Primary Returns</b> - Request Primary Return from any new employee who is a Designated Employee. Return must be received by CEO within 3 months of the person's start day	Local Government Act 1995	s.5.75	DLGSCI Operational Guideline No.21 Disclosure of Financial Interests in Returns	Bi-monthly		✓	12/01/2022	Governance Executive Officer		On-going	✓	12/01/2022	13.09.02P	complete
Jan	<b>Financial Interests Register - Review</b> Review register to remove Primary and Annual Returns (not other interest disclosures) from the Financial Interest Register that relate to persons who are no longer Designated Employees (resigned or changed roles) or for Elected Members who have resigned. Returns that are removed are to be kept by the CEO as LG Record for at least 5 years after the person ceased to be a Designated Employee.	Local Government Act 1995	s.5.88(3)(4)		Bi-monthly		✓	12/01/2022	Governance Executive Officer		On-going	✓	12/01/2022	13.09.02P	complete
Jan	<b>Compliance Audit Return - Commence Audit</b> Commence the Compliance Audit Return as an internal audit.	Local Government Act 1995	s.7.13(1)(i) Audit.Regs. 13, 14 and 15		Annual	P	P	31/03/2022	Manager of Corporate Services		Completed	✓	11/02/2022	12.02.02%	complete
Jan	<b>Council / Committee Meeting Schedule</b> - At least once per year, give Local Public Notice of the meeting schedule for next 12 months	Local Government Act 1995	s.5.25(1)(g) Admin.Reg.12		Annual	✓	✓	15/01/2022	Governance Executive Officer		On-going	✓	12/01/2022	13.09.02P	complete
Jan	<b>Revaluation of Assets - Plant and Equipment - Commence Work</b> LG must revalue all assets within the Plant and Equipment Class by the expiry of each 3-yearly interval after 30 June 2016	Local Government Act 1995	FM.Reg.17A(4)		3 yearly Next Due: 30 June 2022		✓	30/06/2022	Manager of Corporate Services		In progress	✓	n/a		n/a
Jan	<b>Revaluation of Assets - Land, Buildings and Infrastructure - Commence Work</b> LG must revalue all assets within the Land Building and Infrastructure Class by the expiry of each 3-yearly interval after 30 June 2017	Local Government Act 1995	FM.Reg.17A(4)		3-yearly Next Due: 30 June 2023		✓	30/06/2023	Manager of Corporate Services		Pending	✓	n/a		n/a
Jan	<b>Revaluation of Assets - All Other Classes of Assets - Commence Work</b> LG must revalue all other classes of assets (other than, Plant and Equipment and Land Building and Infrastructure classes) by the expiry of each 3-yearly interval after 30 June 2018	Local Government Act 1995	FM.Reg.17A(4)		3-yearly Next Due: 30 June 2024		✓		Manager of Corporate Services		Pending	✓	n/a		n/a





## Wyalkatchem - Compliance Audit Return 2021

### Certified Copy of Return

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

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



<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?	Yes		Rajinder Sunner	
2	s5.16	Were all delegations to committees in writing?	Yes		Rajinder Sunner	
3	s5.17	Were all delegations to committees within the limits specified in section 5.17?	Yes		Rajinder Sunner	
4	s5.18	Were all delegations to committees recorded in a register of delegations?	Yes		Rajinder Sunner	
5	s5.18	Has council reviewed delegations to its committees in the 2020/2021 financial year?	Yes		Rajinder Sunner	
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		Rajinder Sunner	
7	s5.42(1)	Were all delegations to the CEO resolved by an absolute majority?	Yes		Rajinder Sunner	
8	s5.42(2)	Were all delegations to the CEO in writing?	Yes		Rajinder Sunner	
9	s5.44(2)	Were all delegations by the CEO to any employee in writing?	Yes		Rajinder Sunner	
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		Rajinder Sunner	
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		Rajinder Sunner	
12	s5.46(2)	Were all delegations made under Division 4 of the Act reviewed by the delegator at least once during the 2020/2021 financial year?	Yes	Oct 2021	Rajinder Sunner	
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	Planned improvement	Rajinder Sunner	

<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		Rajinder Sunner	



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		Rajinder Sunner
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		Rajinder Sunner
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		Rajinder Sunner
5	s5.76 Admin Reg 23, Form 3	Was an annual return in the prescribed form lodged by all relevant persons by 31 August 2021?	Yes		Rajinder Sunner
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		Rajinder Sunner
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		Rajinder Sunner
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		Rajinder Sunner
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		Rajinder Sunner
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		Rajinder Sunner
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		Rajinder Sunner
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		Rajinder Sunner
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		Rajinder Sunner



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

No	Reference	Question	Response	Comments	Respondent
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		Rajinder Sunner
15	Rules of Conduct Reg 11(1), (2) & (4)	Where a council member had an interest that could, or could reasonably be perceived to, adversely affect the impartiality of the person, did they disclose the interest in accordance with Rules of Conduct Reg 11(2)?*  *Question not applicable after 2 Feb 2021	Yes		Rajinder Sunner
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		Rajinder Sunner
		*Question not applicable after 2 Feb 2021			
17	s5.70(2) & (3)	Where an employee had an interest in any matter in respect of which the employee provided advice or a report directly to council or a committee, did that person disclose the nature and extent of that interest when giving the advice or report?	Yes		Rajinder Sunner
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		Rajinder Sunner
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		Rajinder Sunner
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		Rajinder Sunner
		*Question not applicable after 2 Feb 2021			
21	Admin Reg 34B(5)	Has the CEO kept a register of notifiable gifts in accordance with Admin Reg 34B(5)?*	Yes		Rajinder Sunner
		*Question not applicable after 2 Feb 2021			



No	Reference	Question	Response	Comments	Respondent
22	s5.104(1)	Did the local government prepare and adopt, by absolute majority, a code of conduct to be observed by council members, committee members and candidates within 3 months of the prescribed model code of conduct coming into operation (3 February 2021)?	Yes		Rajinder Sunner
23	s5.104(3) & (4)	Did the local government adopt additional requirements in addition to the model code of conduct? If yes, does it comply with section 5.104(3) and (4)?	No	Adopted 28 April 2021	Rajinder Sunner
24	s5.104(7)	Did the CEO publish an up-to-date version of the adopted code of conduct on the local government's website?	Yes		Rajinder Sunner
25	s5.51A(1) & (3)	Did the CEO prepare, and implement and publish an up-to-date version on the local government's website, a code of conduct to be observed by employees of the local government?	Yes		Rajinder Sunner

### 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)?	N/A		Rajinder Sunner
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?	N/A		Rajinder Sunner





<b>Elections</b>					
<b>No</b>	<b>Reference</b>	<b>Question</b>	<b>Response</b>	<b>Comments</b>	<b>Respondent</b>
1	Elect Regs 30G(1) & (2)	Did the CEO establish and maintain an electoral gift register and ensure that all disclosure of gifts forms completed by candidates and donors and received by the CEO were placed on the electoral gift register at the time of receipt by the CEO and in a manner that clearly identifies and distinguishes the forms relating to each candidate?	Yes	None Received	Rajinder Sunner
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	None Received	Rajinder Sunner
3	Elect Regs 30G(5) & (6)	Did the CEO publish an up-to-date version of the electoral gift register on the local government's official website in accordance with Elect Reg 30G(6)?	Yes	6 September 2021	Rajinder Sunner



<b>Finance</b>						
<b>No</b>	<b>Reference</b>	<b>Question</b>	<b>Response</b>	<b>Comments</b>	<b>Respondent</b>	
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		Rajinder Sunner	
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		Rajinder Sunner	
3	s7.9(1)	Was the auditor's report for the financial year ended 30 June 2021 received by the local government by 31 December 2021?	Yes		Rajinder Sunner	
4	s7.12A(3)	Where the local government determined that matters raised in the auditor's report prepared under s7.9 (1) of the Act required action to be taken, did the local government ensure that appropriate action was undertaken in respect of those matters?	Yes		Rajinder Sunner	
5	s7.12A(4)(a) & (4)(b)	Where matters identified as significant were reported in the auditor's report, did the local government prepare a report that stated what action the local government had taken or intended to take with respect to each of those matters? Was a copy of the report given to the Minister within three months of the audit report being received by the local government?	Yes	Matters raised were included in the action plan. Report presented to the Audit and Risk Committee as well to the Council.	Rajinder Sunner	
6	s7.12A(5)	Within 14 days after the local government gave a report to the Minister under s7.12A(4)(b), did the CEO publish a copy of the report on the local government's official website?	Yes		Rajinder Sunner	
7	Audit Reg 10(1)	Was the auditor's report for the financial year ending 30 June received by the local government within 30 days of completion of the audit?	Yes		Rajinder Sunner	



<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? If Yes, please provide the adoption date or the date of the most recent review in the Comments section?	Yes	18 February 2021 at OCM. Resolution no 230/2021	Rajinder Sunner
2	Admin Reg 19DA (1) & (4)	Has the local government adopted by absolute majority a corporate business plan? If Yes, please provide the adoption date or the date of the most recent review in the Comments section?	Yes	26 May 2021 at OCM. Resolution no 287/2021	Rajinder Sunner
3	Admin Reg 19DA (2) & (3)	Does the corporate business plan comply with the requirements of Admin Reg 19DA(2) & (3)?	Yes		Rajinder Sunner

<b>Local Government Employees</b>					
<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?	Yes		Rajinder Sunner
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?	Yes		Rajinder Sunner
3	Admin Reg 18E	Was all information provided in applications for the position of CEO true and accurate?	Yes		Rajinder Sunner
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)?	Yes		Rajinder Sunner
5	s5.37(2)	Did the CEO inform council of each proposal to employ or dismiss senior employee?	Yes		Rajinder Sunner
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		Rajinder Sunner



<b>Official Conduct</b>					
<b>No</b>	<b>Reference</b>	<b>Question</b>	<b>Response</b>	<b>Comments</b>	<b>Respondent</b>
1	s5.120	Has the local government designated a senior employee as defined by section 5.37 to be its complaints officer?	Yes	CEO is the designated Complaints Officer.	Rajinder Sunner
2	s5.121(1) & (2)	Has the complaints officer for the local government maintained a register of complaints which records all complaints that resulted in a finding under section 5.110(2)(a)? Does the complaints register include all information required by section 5.121 (2)?	Yes		Rajinder Sunner
3	s5.121(3)	Has the CEO published an up-to-date version of the register of the complaints on the local government's official website?	Yes		Rajinder Sunner

<b>Optional Questions</b>					
<b>No</b>	<b>Reference</b>	<b>Question</b>	<b>Response</b>	<b>Comments</b>	<b>Respondent</b>
1	Financial Management Reg 5 (2)(c)	Did the CEO review the appropriateness and effectiveness of the local government's financial management systems and procedures in accordance with Financial Management Reg 5(2)(c) within the three years prior to 31 December 2021? If yes, please provide the date of council's resolution to accept the report.	Yes	Accepted by OMC on 21 February 2019, Council resolution number 09/2019	Rajinder Sunner
2	Audit Reg 17	Did the CEO review the appropriateness and effectiveness of the local government's systems and procedures in relation to risk management, internal control and legislative compliance in accordance with Audit Reg 17 within the three years prior to 31 December 2021? If yes, please provide date of council's resolution to accept the report.	Yes	Accepted by OMC on 21 February 2019, Council resolution number 09/2019	Rajinder Sunner
3	s5.87C	Where a disclosure was made under sections 5.87A or 5.87B, was the disclosure made within 10 days after receipt of the gift? Did the disclosure include the information required by section 5.87C?	N/A	No Disclosure	Rajinder Sunner
4	s5.90A(2) & (5)	Did the local government prepare, adopt by absolute majority and publish an up-to-date version on the local government's website, a policy dealing with the attendance of council members and the CEO at events ?	N/A	No Disclosure	Rajinder Sunner



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

### Tenders for Providing Goods and Services

No	Reference	Question	Response	Comments	Respondent
1	F&G Reg 11A(1) & (3)	Did the local government comply with its current purchasing policy [adopted under F&G Reg 11A(1) & (3)] in relation to the supply of goods or services where the consideration under the contract was, or was expected to be, \$250,000 or less or worth \$250,000 or less?	Yes		Rajinder Sunner
2	s3.57 F&G Reg 11	Subject to F&G Reg 11(2), did the local government invite tenders for all contracts for the supply of goods or services where the consideration under the contract was, or was expected to be, worth more than the consideration stated in F&G Reg 11(1)?	Yes		Rajinder Sunner
3	F&G Regs 11(1), 12(2), 13, & 14(1), (3), and (4)	When regulations 11(1), 12(2) or 13 required tenders to be publicly invited, did the local government invite tenders via Statewide public notice in accordance with F&G Reg 14(3) and (4)?	Yes		Rajinder Sunner
4	F&G Reg 12	Did the local government comply with F&G Reg 12 when deciding to enter into multiple contracts rather than a single contract?	No		Rajinder Sunner



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

No	Reference	Question	Response	Comments	Respondent
5	F&G Reg 14(5)	If the local government sought to vary the information supplied to tenderers, was every reasonable step taken to give each person who sought copies of the tender documents or each acceptable tenderer notice of the variation?	No		Rajinder Sunner
6	F&G Regs 15 & 16	Did the local government's procedure for receiving and opening tenders comply with the requirements of F&G Regs 15 and 16?	Yes		Rajinder Sunner
7	F&G Reg 17	Did the information recorded in the local government's tender register comply with the requirements of F&G Reg 17 and did the CEO make the tenders register available for public inspection and publish it on the local government's official website?	No	Hard copy of Tender Register is correct, but not published on the Website.	Rajinder Sunner
8	F&G Reg 18(1)	Did the local government reject any tenders that were not submitted at the place, and within the time, specified in the invitation to tender?	Yes		Rajinder Sunner
9	F&G Reg 18(4)	Were all tenders that were not rejected assessed by the local government via a written evaluation of the extent to which each tender satisfies the criteria for deciding which tender to accept?	Yes		Rajinder Sunner
10	F&G Reg 19	Did the CEO give each tenderer written notice containing particulars of the successful tender or advising that no tender was accepted?	Yes		Rajinder Sunner
11	F&G Regs 21 & 22	Did the local government's advertising and expression of interest processes comply with the requirements of F&G Regs 21 and 22?	Yes		Rajinder Sunner
12	F&G Reg 23(1) & (2)	Did the local government reject any expressions of interest that were not submitted at the place, and within the time, specified in the notice or that failed to comply with any other requirement specified in the notice?	Yes		Rajinder Sunner
13	F&G Reg 23(3) & (4)	Were all expressions of interest that were not rejected under F&G Reg 23 (1) & (2) assessed by the local government? Did the CEO list each person as an acceptable tenderer?	Yes		Rajinder Sunner
14	F&G Reg 24	Did the CEO give each person who submitted an expression of interest a notice in writing of the outcome in accordance with F&G Reg 24?	Yes		Rajinder Sunner
15	F&G Regs 24AD(2) & (4) and 24AE	Did the local government invite applicants for a panel of pre-qualified suppliers via Statewide public notice in accordance with F&G Reg 24AD(4) and 24AE?	N/A		Rajinder Sunner



No	Reference	Question	Response	Comments	Respondent
16	F&G Reg 24AD(6)	If the local government sought to vary the information supplied to the panel, was every reasonable step taken to give each person who sought detailed information about the proposed panel or each person who submitted an application notice of the variation?	N/A		Rajinder Sunner
17	F&G Reg 24AF	Did the local government's procedure for receiving and opening applications to join a panel of pre-qualified suppliers comply with the requirements of F&G Reg 16, as if the reference in that regulation to a tender were a reference to a pre-qualified supplier panel application?	N/A		Rajinder Sunner
18	F&G Reg 24AG	Did the information recorded in the local government's tender register about panels of pre-qualified suppliers comply with the requirements of F&G Reg 24AG?	N/A		Rajinder Sunner
19	F&G Reg 24AH(1)	Did the local government reject any applications to join a panel of pre-qualified suppliers that were not submitted at the place, and within the time, specified in the invitation for applications?	N/A		Rajinder Sunner
20	F&G Reg 24AH(3)	Were all applications that were not rejected assessed by the local government via a written evaluation of the extent to which each application satisfies the criteria for deciding which application to accept?	N/A		Rajinder Sunner
21	F&G Reg 24AI	Did the CEO send each applicant written notice advising them of the outcome of their application?	N/A		Rajinder Sunner
22	F&G Regs 24E & 24F	Where the local government gave regional price preference, did the local government comply with the requirements of F&G Regs 24E and 24F?	No		Rajinder Sunner

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

\_\_\_\_\_  
Signed Mayor/President, Wyalkatchem

\_\_\_\_\_  
Signed CEO, Wyalkatchem

