

**AGENDA - AUDIT AND RISK COMMITTEE MEETING
12 MARCH 2019**



**SHIRE OF ASHBURTON
AUDIT AND RISK COMMITTEE MEETING**

**AGENDA AND ATTACHMENTS
(Public Document)**

**Council Chambers, Onslow Shire
Complex, Second Avenue, Onslow
12 March 2019
9.00 am**


**AGENDA - AUDIT AND RISK COMMITTEE MEETING
12 MARCH 2019**

**SHIRE OF ASHBURTON
AUDIT AND RISK COMMITTEE MEETING**

Dear Councillor

Notice is hereby given that an Audit and Risk Committee of the Shire of Ashburton will be held on 12 March 2019 at the Council Chambers, Onslow Shire Complex, Second Avenue, Onslow commencing at 9.00 am.

The business to be transacted is shown in the Agenda.



Rob Paull
CHIEF EXECUTIVE OFFICER

DISCLAIMER

The recommendations contained in the Agenda are subject to confirmation by the Committee and endorsement by the Council. The Shire of Ashburton warns that anyone who has any application lodged with Council must obtain and should only rely on written confirmation of the outcomes of the application following the Council meeting, and any conditions attaching to the decision made by the Council in respect of the application. No responsibility whatsoever is implied or accepted by the Shire of Ashburton for any act, omission or statement or intimation occurring during a Council meeting.

**AGENDA - AUDIT AND RISK COMMITTEE MEETING
12 MARCH 2019**

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1. DECLARATION OF OPENING

The Presiding Member declared the meeting open at _____ am.

1.1 ACKNOWLEDGEMENT OF COUNTRY

As representatives of the Shire of Ashburton Council, we respectfully acknowledge the local Indigenous people, the traditional custodians of this land where we are meeting upon today and pay our respects to them and all their elders both past, present and future.

2. ATTENDANCE

2.1 PRESENT

Members:	Cr P Foster Cr K White Cr D Dias	Tom Price Ward (Presiding Member) Onslow Ward Paraburdoo Ward
Staff:	Mr. R Paull Mr. J Bingham Mr. B Cameron Mrs. S Johnston Mr. I Hamilton Mrs. N Tyson Ms. J Smith Mrs. M Lewis	Chief Executive Officer Director Corporate Services Director Property and Development Services Acting Director Community Services Director Infrastructure Manager Governance & Corporate Strategy Executive Coordinator Council Support Officer
Guests:		
Members of Public:	There were _____ members of the public in attendance at the commencement of the meeting.	
Members of Media:	There were _____ members of the media in attendance at the commencement of the meeting.	

2.2 APOLOGIES

2.3 APPROVED LEAVE OF ABSENCE

3. ANNOUNCEMENT OF VISITORS

4. DECLARATION BY MEMBERS

4.1 DUE CONSIDERATION BY COUNCILLORS TO THE AGENDA

Councillors Foster, White and Dias are requested to acknowledge during the meeting that they have given due consideration to all matters contained in the Agenda.

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4.2 DECLARATIONS OF INTEREST

Councillors to Note

A member who has an Impartiality, Proximity or Financial Interest in any matter to be discussed at a Council or Committee Meeting that will be attended by the member must disclose the nature of the interest:

- (a) In a written notice given to the Chief Executive Officer before the Meeting
Or;
- (b) At the Meeting, immediately before the matter is discussed.

A member, who makes a disclosure in respect to an interest, must not:

- (a) Preside at the part of the Meeting, relating to the matter or;
- (b) Participate in, or be present during any discussion or decision-making procedure relative to the matter, unless to the extent that the disclosing member is allowed to do so under Section 5.68 or Section 5.69 of the *Local Government Act 1995*.

NOTES ON DECLARING INTERESTS (FOR YOUR GUIDANCE)

The following notes are a basic guide for Councillors when they are considering whether they have an interest in a matter.

These notes are included in each agenda for the time being so that Councillors may refresh their memory.

1. A Financial Interest requiring disclosure occurs when a Council decision might advantageously or detrimentally affect the Councillor or a person closely associated with the Councillor and is capable of being measure in money terms. There are exceptions in the *Local Government Act 1995* but they should not be relied on without advice, unless the situation is very clear.
2. If a Councillor is a member of an Association (which is a Body Corporate) with not less than 10 members i.e. sporting, social, religious etc), and the Councillor is not a holder of office of profit or a guarantor, and has not leased land to or from the club, i.e., if the Councillor is an ordinary member of the Association, the Councillor has a common and not a financial interest in any matter to that Association.
3. If an interest is shared in common with a significant number of electors or ratepayers, then the obligation to disclose that interest does not arise. Each case needs to be considered.
4. If in doubt declare.
5. As stated in (b) above, if written notice disclosing the interest has not been given to the Chief Executive Officer before the meeting, then it **MUST** be given when the matter arises in the Agenda, and immediately before the matter is discussed.
6. Ordinarily the disclosing Councillor must leave the meeting room before discussion commences. The **only** exceptions are:
 - 6.1 Where the Councillor discloses the **extent** of the interest, and Council carries a motion under s.5.68(1)(b)(ii) or the *Local Government Act*, or

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- 6.2 Where the Minister allows the Councillor to participate under s.5.69 (3) of the *Local Government Act*, with or without conditions.

Declarations of Interest provided:

Item Number/ Name	Type of Interest	Nature/Extent of Interest
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5. CONFIRMATION OF MINUTES OF PREVIOUS MEETING

5.1 AUDIT AND RISK COMMITTEE MEETING HELD ON 18 DECEMBER 2018

Officers Recommendation

That the Unconfirmed Minutes of the Audit and Risk Committee Meeting held on 18 December 2018 (**ATTACHMENT 5.1**) be confirmed as a true and accurate record.

6. TERMS OF REFERENCE

Under the *Local Government Act 1995*, Local Governments are required to appoint an Audit Committee (section 7.1A of the *Local Government Act 1995*).

An Audit and Risk Committee is to provide guidance and assistance to the Local Government – as to the carrying out of its functions in relation to audits carried out under Part 7 of the Act and as to the development of a process to be used to select and appoint a person to be an auditor and may provide guidance and assistance to the Local Government as to – matters to be audited, the scope of audits, its functions under Part 6 of the Act and the carrying out of its functions relating to other audits and other matters related to financial management (clause 16 Local Government (audit) Regulations 1996).

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7. AGENDA ITEMS

**7.1 LOCAL GOVERNMENT COMPLIANCE AUDIT RETURN 2018 FOR THE
SHIRE OF ASHBURTON**

FILE REFERENCE: GV32

**AUTHOR'S NAME AND
POSITION:** Nicky Tyson
Manager Governance & Corporate Strategy

**NAME OF APPLICANT/
RESPONDENT:** Rob Paull
Chief Executive Officer

DATE REPORT WRITTEN: 18 February 2019

**DISCLOSURE OF FINANCIAL
INTEREST:** The author and authorising officer have no financial,
proximity or impartiality interests in the proposal.

**PREVIOUS MEETING
REFERENCE:** Agenda Item 9.2.2 – Ordinary Meeting of Council 13
March 2018

Summary

Each local government is to carry out a Compliance Audit annually. This Compliance Audit Return (Compliance Audit) is for the period of 1 January to 31 December 2018. The Compliance Audit for the year 2018 is presented to the Audit and Risk Committee for review. Staff consider the Compliance Audit is fully compliant and referral to Council is requested.

Background

The Compliance Audit is to assist Council in monitoring its organisational functions. Council is required to note any areas of non-compliance and endorse remedial action.

The Audit is provided by the Department of Local Government, Sport and Cultural Industries (Department) through their secure website platform called 'Smart Hub'. The same audit is required to be completed by every WA local government. The Department considers, from a large range of issues it can audit, which ones will be specific to the year in question (i.e. each year the audit questions can change).

For 2018, there were 95 questions over 9 disciplines. The return has been completed by the respective areas and is fully compliant.

ATTACHMENT 7.1

Comment

The Compliance Audit is required to be presented to Council for adoption before its submission to the Department.

Consultation

Executive Management Team
Manager Governance & Corporate Strategy

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Statutory Environment

Section 7.13 of the *Local Government Act 1995*, and
Regulations 13, 14 & 15 of the *Local Government (Audit) Regulations 1996*.

Financial Implications

There are no known financial implications for this matter.

Strategic Implications

Shire of Ashburton 10 Year Community Strategic Plan 2017 - 2027
Goal 5 – Inspiring Governance
Objective 3 – Council Leadership

Risk Management

Adoption of this item has been evaluated against the Shire of Ashburton's Risk Management Policy CORP5 Risk Matrix. The perceived level of risk is considered to be "High". The high level of risk is being driven by the risk of a compliance breach requiring an internal investigation. As a high risk matter, the Chief Executive Officer and his staff actively monitor these matters.

Policy Implications

There are no known policy implications to this matter.

Voting Requirement

Simple Majority Required

Officers Recommendation

That with respect to the Local Government Compliance Audit Return 2018 for the Shire of Ashburton, the Audit and Risk Committee recommend, that Council:

1. Note and accept the Compliance Audit Return (**ATTACHMENT 7.1**) for the local government of the Shire of Ashburton for the period 1 January 2018 to 31 December 2018; and
2. Request the Chief Executive Officer to submit a certified copy of the Compliance Audit Return to the Director General of the Department of Local Government Sport and Cultural Industries by 31 March 2019.

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7.2 CORPORATE BUSINESS PLAN – QUARTERLY PROGRESS REPORT

FILE REFERENCE:	CM03
AUTHOR'S NAME AND POSITION:	Nicky Tyson Manager Governance & Corporate Strategy
AUTHORISING OFFICER AND POSITION:	Rob Paull Chief Executive Officer
NAME OF APPLICANT/RESPONDENT:	Not Applicable
DATE REPORT WRITTEN:	18 February 2019
DISCLOSURE OF FINANCIAL INTEREST:	The author and the authorising officer have no financial, proximity or impartiality interests in the proposal.
PREVIOUS MEETING REFERENCE:	Agenda Item 9.2.2 – Ordinary Meeting of Council 18 December 2018

Summary

Council adopted its latest iteration of the Shire of Ashburton Corporate Business Plan (CBP) 2018 – 2022 on 18 June 2018. While formal reporting of progress in relation to the CBP is to occur annually, via the Shire's Annual Report, it was recommended that progress reports are presented to Council on a more regular basis.

The intention is to provide progress reports to Council on a three monthly basis. This is the third status report of the CBP for the 2018/19 financial year, showing further progress of how the Shire is meeting the actions linked to defined strategic directions.

Background

The CBP outlines the strategic and operational objectives to be achieved in the four year period. The CBP demonstrates activities and projects that are fully resourced and have appropriate timelines and performance measures.

The CBP is underpinned by a series of informing strategies and plans which include the:

- 10 year Long-Term Financial Plan;
- Workforce Plan that is reviewed every four years in conjunction with the CBP;
- Asset Management Plans for the life cycle of all assets including maintenance and replacement programs;
- adopted Annual Budget; and
- any relevant issue specific strategies and plans for major projects or key developments.

Comment

The CBP identifies five Focus Areas in line with our Strategic Community Plan, as follows:

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1. Vibrant and Active Communities;
2. Economic Prosperity;
3. Unique heritage and Environment;
4. Quality Services and Infrastructure; and
5. Inspiring Governance

This new reporting function of Quarterly Progress Report (QPR) combines all 2018/19 Capital Expenditure (CAPEX) projects along with multiple operating accounts linked to the relevant actions within the CBP. This data is generated from a new module directly linked to Synergy so as to give 'up to date' financials, similar to that of previous CAPEX reports.

ATTACHMENT 7.2

This new reporting function directly addresses each project as identified including commentary on the relevant projects status.

Any projects or priorities not allocated or achieved within this financial year will be the focus of the following CAPEX and annual budget review for the subsequent years of the plan.

Each action links to the Shire of Ashburton Strategic Community Plan and allows Council and the community to ensure the 'Plan for the Future' requirements are being met.

Until otherwise agreed, Council will still be provided a monthly Capital Expenditure update in addition to the QPR.

In order to ensure that all Councillors are kept abreast of the quarterly updates as provided in the CPB, it is recommended that *Corporate Business Plan – Quarterly Progress Reports* are provided directly to Council.

Consultation

Executive Management Team
Manager Governance & Corporate Strategy

Statutory Environment

Local Government Act 1995

Section 5.56. Planning for the Future

(1) A local government is to plan for the future of the district.

(2) A local government is to ensure that plans made under subsection (1) are in accordance with any regulations made about planning for the future of the district

Local Government (Administration) Regulations 1996

Section 19DA Corporate Business Plans, requirements for (Act s 5.56)

Section 19DB (5) Corporate Business Plans, requirements for (Act s 5.56).

Financial Implications

All items as per the adopted 2018/19 budget.

Strategic Implications

Shire of Ashburton 10 Year Community Strategic Plan 2017-2027

Multiple Goals and Objectives will be achieved over the course of the financial year.

ATTACHMENT 7.2 references actions linked to the relevant Goal and Objective.

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Risk Management

Adoption of this item has been evaluated against the Shire of Ashburton's Risk Management Policy CORP5 Risk Matrix. The perceived level of risk is considered to be 'Moderate' risk that will be managed by policy, procedures and monitoring by Governance and the CEO.

There is a level of reputational risk to the organisation in not achieving the proposed projects, this will be closely managed by the Chief Executive Officer, Manager Governance along with the individual responsible owners of each linked project.

Policy Implications

There are no known policy implications for this matter.

Voting Requirement

Simple Majority Required

Officers Recommendation

That with respect to the *Corporate Business Plan – Quarterly Progress Report* that the Audit and Risk Committee recommend, that Council:

1. Accept the third quarterly progress report for the 2018/19 Financial Year of the Shire of Ashburton's Corporate Business Plan 2018 -2022; and
2. Request the Chief Executive Officer to provide *Corporate Business Plan – Quarterly Progress Reports* directly to Council.

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7.3 OFFICE OF AUDITOR GENERAL – APPOINTMENT OF AN AUDITOR

FILE REFERENCE:	FM09
AUTHOR'S NAME AND POSITION:	John Bingham Director Corporate Services
AUTHORISING OFFICER AND POSITION:	Rob Paull Chief Executive Officer
NAME OF APPLICANT/RESPONDENT:	Not Applicable
DATE REPORT WRITTEN:	19 February 2019
DISCLOSURE OF FINANCIAL INTEREST:	The author and the authorising officer have no financial, proximity or impartiality interests in the proposal.
PREVIOUS MEETING REFERENCE:	Agenda Item 13.2 (Minute No. 12056) – Ordinary Meeting of Council 16 February 2016

Summary

In February 2016, Council appointed Moore Stephens (MS) as its auditor for a period of three years commencing on 1 July 2015. On 1 September 2017 Parliament amended the *Local Government Amendment (Auditing) Act 2017* mandating the Office of the Auditor General (OAG) power to audit local governments.

This report informs Committee of the OAGs decision earlier this month to appoint a new external auditor for the 2018/19 financial year.

Background

On 1 September 2017 the Western Australian Parliament amended the *Local Government Amendment (Auditing) Act 2017*. This amendment mandated the OAG to audit local governments. In other words the OAG is officially the Shire's external auditor for the 2018/19 financial year.

The Shire was in contract with MS as its external auditor until 30/6/2018. This engagement culminated in a visit by MS Auditing Partner, Mr Wen Shien Chai, to the December 2018 Ordinary Meeting of Council in Onslow to discuss the results of what was a successful audit of the Shire's 2017/18 accounts.

In February 2018, Ms Rachel Edwards, Director Communications at the OAG, advised the Shire it was the intention of the Auditor General to extend the Shire's contract for at least another year i.e. to do the 2018/19 audit. The reason given was to ensure some consistency for the Shire and OAG to share the knowledge and experience MS had already gained through its existing work with the Shire.

The only difference would be that contracting for an auditor would be the responsibility of the OAG and not the Shire of Ashburton.

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Essentially this means the OAG takes care of the Shire's auditing contract i.e. Council is no longer required to undertake this task as it last did in February 2016 when appointing MS.

The OAG has advised the Shire it should expect an increase of up to 100% on previous Annual Report audit fees - for 2017/18 costs associated with the external audit totalled \$36,367 excl. GST. The forecast costs for 2018/19 will be reviewed through the normal budgeting process when provisioning for auditing fees.

Comment

On Friday 8 February 2018, the OAG advised the Shire it was their intention to go to tender for the 2018/19 external audit contract. Further to this the Shire was informed the decision was due to the perceived conflict of interest between 'Audit and Assurance Services' and 'Business Advisory Services' in the areas of Integrated Planning (e.g. Corporate Business Plan, Long Term Financial Plan and Rating Strategy) – both provided to the Shire by MS.

A conflict of interest is a situation in which an auditor, who is in a position of trust, has a competing professional or personal interest. Such competing interests can make it difficult to fulfil his or her duties impartially. A conflict of interest exists even if no unethical or improper act results. Correspondence from the OAG has been received addressing the new auditing arrangements.

ATTACHMENT 7.3

The OAG tender closed on 28 February 2019. On 6 March 2019 the OAG advised that RSM has been appointed as the Shire's external auditor for a 2 year period. Further to this contact will now be made with the newly appointed auditor to schedule dates for the interim visit (usually in May) as well as the final audit (usually in October). Early indication from the OAG is the onsite visits will likely be longer than previous ones made by MS i.e. a week or so compared to 2-3 days.

At the conclusion of the audit the auditors will report to the OAG who will certify the accounts and issue the Management Letter noting important issues for Council to consider e.g. compliance with the *Local Government Act 1995* and ratio analysis. All OAG correspondence is then submitted to the Ministers Office.

Consultation

Executive Management Team
Office of Auditor General

Statutory Environment

Local Government Act 1995 – Section 7.3 - Appointment of Auditors

Local Government Audit Regulations 1996 - Regulation 17

Local Government Amendment (Auditing) Act 2017

Local Government Operational Guidelines Number 09 – Audit in Local Government

Financial Implications

The appointment of the 2018/19 auditor will substantially increase the cost of the service (potentially an increase of up to 100% on previous Annual Report audit fees).

The Shire should expect an increase of up to 100% on previous Annual Report audit fees - for 2017/18 costs associated with the external audit totalled \$36,367 Excl. GST.

The forecast costs for 2018/19 will be reviewed through the normal budgeting process when provisioning for auditing fees.

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Strategic Implications

Shire of Ashburton 10 Year Community Strategic Plan 2017-2027

Goal 4 – Quality Services and Partnerships

Objective 01 – Quality public infrastructure

Risk Management

Adoption of this item has been evaluated against the Shire of Ashburton's Risk Management Policy CORP5 Risk Matrix. The perceived level of risk is considered to be "Medium to High" and will need to be managed by improving policies, procedures and staff awareness training within the current level of available Shire resources.

Policy Implications

There are no policy implications for this matter.

Voting Requirement

Simple Majority Required

Officers Recommendation

That with respect to the Office of Auditor General – Appointment of an Auditor, the Audit and Risk Committee recommend that Council:

1. Confirm it is no longer required to undertake the task of appointing the external auditor as the *Local Government Amendment (Auditing) Act 2017* mandates the responsibility to the Office of Auditor General;
2. Acknowledge the engagement of RSM by the Office of Auditor General as the Shire's external auditor for a 2 year period; and
3. Consider a submission to the 2019/20 Annual Budget that provides for a provision of \$70,000 for external auditor services.

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8. CONFIDENTIAL MATTERS

Under the Local Government Act 1995, Part 5, and Section 5.23, states in part:

- 1. *If a meeting is being held by a Council or by a committee referred to in subsection (1)(b), the Council or committee may close to members of the public the meeting, or part of the meeting, if the meeting or the part of the meeting deals with any of the following:***

- (a) a matter affecting an employee or employees;***
- (b) the personal affairs of any person;***
- (c) a contract entered into, or which may be entered into, by the local government and which relates to a matter to be discussed at the meeting;***
- (d) legal advice obtained, or which may be obtained, by the local government and which relates to a matter to be discussed at the meeting;***
- (e) a matter that if disclosed, would reveal:***
 - (I) a trade secret;***
 - (II) information that has a commercial value to a person; or***
 - (III) information about the business, professional, commercial or financial affairs of a person,***

Where the trade secret or information is held by, or is about, a person other than the local government.

- (f) a matter that if disclosed, could be reasonably expected to:***
 - (I) Impair the effectiveness of any lawful method or procedure for preventing, detecting, investigating or dealing with any contravention or possible contravention of the law;***
 - (II) Endanger the security of the local government's property; or***
 - (III) Prejudice the maintenance or enforcement of any lawful measure for protecting public safety;***
- (g) information which is the subject of a direction given under section 23(1a) of the Parliamentary Commissioner Act 1981; and***
- (h) such other matters as may be prescribed.***

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**8.1 CONFIDENTIAL ITEM - UPDATE ON WITTENOOM LITIGATION AND
WITTENOOM STEERING COMMITTEE**

FILE REFERENCE:	LS34
AUTHOR'S NAME AND POSITION:	Keith Pearson Special Projects Advisor Janyce Smith Executive Officer
AUTHORISING OFFICER AND POSITION:	Rob Paull Chief Executive Officer
NAME OF APPLICANT/ RESPONDENT	Not Applicable
DATE REPORT WRITTEN:	19 February 2019
DISCLOSURE OF FINANCIAL INTEREST:	The author and the authorising officer have no financial proximity or impartiality interests in the proposal.
PREVIOUS MEETING REFERENCE:	Confidential Agenda Item 8.1 (Minute No. 35/2018) – Audit and Risk Committee Meeting 18 December 2018

REASON FOR CONFIDENTIALITY

The Chief Executive Officer's Report is confidential in accordance with s5.23 (2) *the Local Government Act 1995* because it deals with matters affecting s5.23 (2):

- (b) *the personal affairs of any person;*
- (d) *legal advice obtained, or which may be obtained, by the local government and which relates to a matter to be discussed at the meeting.*

Officers Recommendation

That with respect to the *Confidential Item – Update on Wittenoom Litigation and Wittenoom Steering Committee*, the Audit and Risk Committee recommend that Council:

1. Receive the Confidential Item – Update on Wittenoom Litigation and Wittenoom Steering Committee report and remain confidential in accordance s5.23 (2)(b) & (d) of the *Local Government Act 1995*; and
2. Ensure that the Shire management continue to provide Wittenoom Litigation Progress Reports to the Audit and Risk Committee.

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8.2 CONFIDENTIAL ITEM - CLOSURE OF CERTAIN ROADS IN WITTENOOM

FILE REFERENCE: LS34

AUTHOR'S NAME AND POSITION: Keith Pearson
Special Projects Advisor

AUTHORISING OFFICER AND POSITION: Rob Paull
Chief Executive Officer

NAME OF APPLICANT/RESPONDENT: Not Applicable

DATE REPORT WRITTEN: 18 February 2019

DISCLOSURE OF FINANCIAL INTEREST: The author and the authorising officer have no financial proximity or impartiality interests in the proposal.

PREVIOUS MEETING REFERENCE: Agenda Item 12.05.30, Council Meeting 22 May 2007
Agenda Item 10.12.29, Council Meeting 8 December 2007

REASON FOR CONFIDENTIALITY

The Chief Executive Officer's Report is confidential in accordance with s5.23 (2) *the Local Government Act 1995* because it deals with matters affecting s5.23 (2):

(d) *legal advice obtained, or which may be obtained, by the local government and which relates to a matter to be discussed at the meeting.*

Officers Recommendation

That with respect to Confidential Item - Closure of Certain Roads in Wittenoom, the Audit and Risk Committee recommend Council:

1. Approve the closure of all roads in the former Wittenoom townsite to all traffic other than Wittenoom residents and their associates for a period of 12 months, in accordance with Section 3.50 of the *Local Government Act 1995 (Act)* and to give formal notice for the closure in accordance with 3.50 (1a) of the *Act*.
2. Approve the closure of Bolitho Road, Wittenoom to all traffic for period of 12 months, in accordance with Section 3.50 of the *Act* and to give formal notice for the closure in accordance with 3.50 (1a) of the *Act*.
3. Direct the Chief Executive Officer to implement appropriate signage to inhibit traffic traversing the closed roads as provided in 1 and 2 above.

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8.3 CONFIDENTIAL ITEM - STRATEGIC CYBER SECURITY REVIEW

FILE REFERENCE:	FM09
AUTHOR'S NAME AND POSITION:	John Bingham Director Corporate Services
AUTHORISING OFFICER AND POSITION:	Rob Paull Chief Executive Officer
NAME OF APPLICANT/RESPONDENT:	Not Applicable
DATE REPORT WRITTEN:	19 February 2019
DISCLOSURE OF FINANCIAL INTEREST:	The author and the authorising officer have no financial, proximity or impartiality interests in the proposal.
PREVIOUS MEETING REFERENCE:	Not Applicable

REASON FOR CONFIDENTIALITY

The Chief Executive Officer's Report is confidential in accordance with s5.23 (2) *the Local Government Act 1995* because it deals with matters affecting s5.23 (2):

- (d) *legal advice obtained, or which may be obtained, by the local government and which relates to a matter to be discussed at the meeting.*
- (f) *a matter that if disclosed, could be reasonably expected to:*
 - (I) *Impair the effectiveness of any lawful method or procedure for preventing, detecting, investigating or dealing with any contravention or possible contravention of the law;*
 - (II) *Endanger the security of the local government's property; or*
 - (III) *Prejudice the maintenance or enforcement of any lawful measure for protecting public safety;*
- (h) *such other matters as may be prescribed*

Officers Recommendation

That with respect to the Strategic Cyber Security Review, the Audit and Risk Committee recommend Council note the outcomes of the review (**CONFIDENTIAL ATTACHMENT 8.3**) including areas of improvement and recommendations.

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9. NEXT MEETING

The next Audit and Risk Committee Meeting will be held on Tuesday 18 June 2019 at the Ashburton Hall, Ashburton Avenue, Paraburdoo at a time to be advised.

10. CLOSURE OF MEETING

The Presiding Member closed the meeting at _____ am.



SHIRE OF ASHBURTON AUDIT AND RISK COMMITTEE MEETING

MINUTES (Public Document)

**Council Chambers, Onslow Shire
Complex, Second Avenue, Onslow
18 December 2018
10.00 am**


CONFIDENTIAL MINUTES - AUDIT AND RISK COMMITTEE MEETING
18 DECEMBER 2018

SHIRE OF ASHBURTON
AUDIT AND RISK COMMITTEE MEETING

Dear Councillor

Notice is hereby given that an Audit and Risk Committee of the Shire of Ashburton will be held on 18 December 2018 at the Council Chambers, Onslow Shire Complex, Second Avenue, Onslow commencing at 10:00 am.

The business to be transacted is shown in the Agenda.



Rob Paull
CHIEF EXECUTIVE OFFICER

DISCLAIMER

The recommendations contained in the Agenda are subject to confirmation by the Committee and endorsement by the Council. The Shire of Ashburton warns that anyone who has any application lodged with Council must obtain and should only rely on written confirmation of the outcomes of the application following the Council meeting, and any conditions attaching to the decision made by the Council in respect of the application. No responsibility whatsoever is implied or accepted by the Shire of Ashburton for any act, omission or statement or intimation occurring during a Council meeting.

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1. DECLARATION OF OPENING

The Presiding Member declared the meeting open at 10.00 am.

1.1 ACKNOWLEDGEMENT OF COUNTRY

As representatives of the Shire of Ashburton Council, we respectfully acknowledge the local Indigenous people, the traditional custodians of this land where we are meeting upon today and pay our respects to them and all their elders both past, present and future.

2. ATTENDANCE

2.1 PRESENT

Members:	Cr P Foster Cr K White Cr M Lynch Cr D Dias	Tom Price Ward (Presiding Member) Onslow Ward Tom Price Ward Paraburdoo Ward
Staff:	Mr R Paull Mr J Bingham Mr B Cameron Mrs S Johnston Mr A Mccoll Ms J Smith Mrs D Walkington	Chief Executive Officer Director Corporate Services Director Property and Development Services Acting Director Community Services Acting Director Infrastructure Executive Coordinator Administration Officer Community Services
Guests:	Mr Wen Shein Chai Cr L Rumble Cr L Thomas Cr R de Pledge Cr D Diver	Auditor, Moore Stephens (WA) Pty Ltd to report on Agenda Item 7.1 REVIEW OF 2017-18 INDEPENDENT AUDIT REPORT AND MANAGEMENT REPORTS Paraburdoo Ward Tablelands Ward Paraburdoo Ward Tom Price Ward
Members of Public:	There were no members of the public in attendance at the commencement of the meeting.	
Members of Media:	There were no members of the media in attendance at the commencement of the meeting.	

2.2 APOLOGIES

2.3 APPROVED LEAVE OF ABSENCE

3. ANNOUNCEMENT OF VISITORS

4. DECLARATION BY MEMBERS

4.1 DUE CONSIDERATION BY COUNCILLORS TO THE AGENDA

Councillors Foster, White, Dias and Lynch are requested to acknowledge during the meeting that they have given due consideration to all matters contained in the Agenda.

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4.2 DECLARATIONS OF INTEREST

Councillors to Note

A member who has an Impartiality, Proximity or Financial Interest in any matter to be discussed at a Council or Committee Meeting, that will be attended by the member, must disclose the nature of the interest:

- (a) In a written notice given to the Chief Executive Officer before the Meeting or;
- (b) At the Meeting, immediately before the matter is discussed.

A member, who makes a disclosure in respect to an interest, must not:

- (a) Preside at the part of the Meeting, relating to the matter or;
- (b) Participate in, or be present during any discussion or decision-making procedure relative to the matter, unless to the extent that the disclosing member is allowed to do so under Section 5.68 or Section 5.69 of the *Local Government Act 1995*.

NOTES ON DECLARING INTERESTS (FOR YOUR GUIDANCE)

The following notes are a basic guide for Councillors when they are considering whether they have an interest in a matter.

These notes are included in each agenda for the time being so that Councillors may refresh their memory.

1. A Financial Interest requiring disclosure occurs when a Council decision might advantageously or detrimentally affect the Councillor or a person closely associated with the Councillor and is capable of being measure in money terms. There are exceptions in the *Local Government Act 1995* but they should not be relied on without advice, unless the situation is very clear.
2. If a Councillor is a member of an Association (which is a Body Corporate) with not less than 10 members i.e. sporting, social, religious etc), and the Councillor is not a holder of office of profit or a guarantor, and has not leased land to or from the club, i.e., if the Councillor is an ordinary member of the Association, the Councillor has a common and not a financial interest in any matter to that Association.
3. If an interest is shared in common with a significant number of electors or ratepayers, then the obligation to disclose that interest does not arise. Each case needs to be considered.
4. If in doubt declare.
5. As stated in (b) above, if written notice disclosing the interest has not been given to the Chief Executive Officer before the meeting, then it **MUST** be given when the matter arises in the Agenda, and immediately before the matter is discussed.
6. Ordinarily the disclosing Councillor must leave the meeting room before discussion commences. The **only** exceptions are:

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- 6.1 Where the Councillor discloses the **extent** of the interest, and Council carries a motion under s.5.68(1)(b)(ii) or the *Local Government Act*; or
- 6.2 Where the Minister allows the Councillor to participate under s.5.69(3) of the *Local Government Act*, with or without conditions.

Declarations of Interest provided:

Item Number/ Name	Type of Interest	Nature/Extent of Interest
There were no Declaration of Interests provided.		

5. CONFIRMATION OF MINUTES OF PREVIOUS MEETING

5.1 AUDIT AND RISK COMMITTEE MEETING HELD ON 23 OCTOBER 2018

Officers Recommendation and Committee Decision	
MOVED: Cr K White	SECONDED: Cr M Lynch
That the Minutes of the Audit and Risk Committee Meeting held on 23 October 2018, be confirmed as a true and accurate record. ATTACHMENT 5.1.	
CARRIED 4/0	
Councillors Foster, White, Dias and Lynch voted for the motion	

6. TERMS OF REFERENCE

Under the *Local Government Act 1995* and regulations, local governments are required to appoint an Audit Committee as follows:

Reg.16. Functions of audit committee

An audit committee has the following functions:

- (a) to guide and assist the local government in carrying out —
 - (i) its functions under Part 6 of the Act; and *Local Government (Audit) Regulations 1996*
 - (ii) its functions relating to other audits and other matters related to financial management;
- (b) to guide and assist the local government in carrying out the local government's functions in relation to audits conducted under Part 7 of the Act;
- (c) 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;
- (d) to monitor and advise the CEO when the CEO is carrying out functions in relation to a review under —
 - (i) regulation 17(1); and
 - (ii) the *Local Government (Financial Management) Regulations 1996* regulation 5(2)(c);

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- (e) to support the auditor of the local government to conduct an audit and carry out the auditor's other duties under the Act in respect of the local government;*
- (f) to oversee the implementation of any action that the local government —*
 - (i) is required to take by section 7.12A(3); and*
 - (ii) has stated it has taken or intends to take in a report prepared under section 7.12A(4)(a); and*
 - (iii) has accepted should be taken following receipt of a report of a review conducted under regulation 17(1); and*
 - (iv) has accepted should be taken following receipt of a report of a review conducted under the Local Government (Financial Management) Regulations 1996 regulation 5(2)(c);*
- (g) to perform any other function conferred on the audit committee by these regulations or another written law.*

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7. AGENDA ITEMS

7.1 REVIEW OF 2017-18 INDEPENDENT AUDIT REPORT AND MANAGEMENT REPORTS

MINUTE: 31/2018

FILE REFERENCE: FM09

AUTHOR'S NAME AND POSITION: John Bingham
Director Corporate Services

AUTHORISING OFFICER AND POSITION: Rob Paull
Chief Executive Officer

NAME OF APPLICANT/RESPONDENT: Not Applicable

DATE REPORT WRITTEN: 3 December 2018

DISCLOSURE OF FINANCIAL INTEREST: The author and the authorising officer have no financial, proximity or impartiality interests in the proposal.

PREVIOUS MEETING REFERENCE: Not Applicable

Summary

The Auditors conducted the Annual Financial Audit for 2017/18 during October and November 2018. This report discusses the outcomes of the Audit including the Independent Auditors Report and Management letter.

Background

The Auditors completed their fieldwork during a visit to Tom Price in late October. At a de-brief meeting prior to departure the Auditors confirmed there were no compliance issues in relation to the *Local Government Act 1995* ("the Act") and the *Local Government (Financial Management) Regulations 2011* ("the Financial Regulations"). A list of outstanding information required by the Auditors plus completion of work papers by Finance Officers was finalised in November resulting in the Financial Report for the year ended 30 June 2018 being completed and signed off on Monday 10 December 2018.

Comment

The following reports have been presented by the Auditors:

- Independent Auditors Report to the Electors of the Shire of Ashburton for the year ended 30 June 2018 (**ATTACHMENT 7.1A** - "Auditors Report"); and
- Management Report for the year ended 30 June 2018 (**ATTACHMENT 7.1B** - "Management Report").

ATTACHMENT 7.1A
ATTACHMENT 7.1B

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The opinion on the Audit of the Financial Report can be summarised as follows:

“The Financial report of the Shire of Ashburton is in accordance with the Act and the Financial Regulations including giving a true and fair view of the Shire’s financial position as of 30 June 2018 and its financial performance and its cash-flows for the year ended on that date and complies with Australian Accounting Standards”.

Additionally the Audit opinion reports:

- There are no matters indicating adverse trends in the financial position or financial management practices of the Shire;
- No matters indicating non-compliance with Part 6 – Financial Management of *the Act* or *the Financial Regulations* or applicable financial controls of any other written law;
- In relation to the Supplementary Ratio information the calculations were supported by verifiable information and reasonable assumptions;
- All necessary information and explanations were obtained from Shire officers; and
- All audit procedures satisfactorily completed during the conduct of the audit.

The Annual Financial Report includes a Statement of Financial Position as at 30 June 2018, a Statement of Comprehensive Income, a Statement of Changes in Equity, a Statement of Cash-flows and a Statement of Rate Setting Statement for the year ended 30 June 2018 inclusive of accounting policies and other explanatory notes and statements. The Annual Financial Report has been audited by Moore Stephens and this year they provided an unqualified opinion.

The 2017/18 Annual Financial Statements are presented in **ATTACHMENT 7.1C**

An Audit Concluding Memorandum is also attached (**CONFIDENTIAL ATTACHMENT 7.1D**) and should be reviewed prior to the Audit and Risk Committee Meeting. The Audit and Risk Committee will be provided the opportunity to meet and discuss the Audit Report and Management Reports with the Auditor at the meeting.

Consultation

Executive Management Team
Finance Team and Manager
Moore Stephens (Auditor)

Statutory Environment

The Shire is required to prepare an Annual Report for each financial year in accordance with Part 5 Division 5 of *the Act*. The Report is to be accepted no later than 31 December by an absolute majority in accordance with section 5.54 of *the Act*. Section 7.12 of the *Act* also applies:

7.12A. Duties of local government with respect to audits

- (1) *A local government is to do everything in its power to —*
 - (a) *assist the auditor of the local government to conduct an audit and carry out his or her other duties under this Act in respect of the local government; and*
 - (b) *ensure that audits are conducted successfully and expeditiously.*
- (2) *Without limiting the generality of subsection (1), a local government is to meet with the auditor of the local government at least once in every year.*
- (3) *A local government is to examine the report of the auditor prepared under section 7.9(1), and any report prepared under section 7.9(3) forwarded to it, and is to —*

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- (a) *determine if any matters raised by the report, or reports, require action to be taken by the local government; and*
- (b) *ensure that appropriate action is taken in respect of those matters.*
- (4) *A local government is to —*
 - (a) *prepare a report on any actions under subsection (3) in respect of an audit conducted in respect of a financial year; and*
 - (b) *forward a copy of that report to the Minister, by the end of the next financial year, or 6 months after the last report prepared under section 7.9 is received by the local government, whichever is the latest in time*

Financial Implications

Outcomes of the Report will influence the current Budget as well as the Long Term Financial Plan.

Strategic Implications

Shire of Ashburton 10 Year Community Strategic Plan 2017-2027

Goal 4 – Quality Services and Partnerships

Objective 01 – Quality public infrastructure

Risk Management

Adoption of this item has been evaluated against the Shire of Ashburton's Risk Management Policy CORP5 Risk Matrix. The perceived level of risk is considered to be "Low" and can be managed by routine procedures, and is unlikely to need specific application of resources.

Policy Implications

There are no known policy implications for this matter.

Voting Requirement

Simple Majority Required

Committee Decision

MOVED: Cr P Foster

SECONDED: Cr M Lynch

That the Committee close the meeting to the public at 10.02 am.

CARRIED 4/0

Councillors Foster, White, Dias and Lynch voted for the motion

Committee Decision

MOVED: Cr K White

SECONDED: Cr M Lynch

That the Committee suspend standing orders at 10.03 am.

CARRIED 4/0

Councillors Foster, White, Dias and Lynch voted for the motion

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Committee Decision

MOVED: Cr K White

SECONDED: Cr M Lynch

That the Committee re-instate standing orders at 10.32 am.

CARRIED 4/0

Councillors Foster, White, Dias and Lynch voted for the motion

Committee Decision

MOVED: Cr M Lynch

SECONDED: Cr K White

That the Committee open the meeting to the public at 10.33 am.

CARRIED 4/0

Councillors Foster, White, Dias and Lynch voted for the motion

Officers Recommendation

That with respect to the Review of the 2017-18 Independent Audit Report and the Management Reports, that the Audit and Risk Committee note receipt of the Management Report for the year ended 30 June 2018 and recommend that Council:

1. Note the presentation by the Auditor to the Committee;
2. Accept the 2017/18 Annual Financial Report **ATTACHMENT 7.1A**;
3. Accept the Independent Auditors Report to the Electors of the Shire of Ashburton for the year ended 30 June 2018 **ATTACHMENT 7.1B**; and
4. Review the Audit Concluding Memorandum **CONFIDENTIAL ATTACHMENT 7.1D**, prior to the Audit and Risk Committee Meeting and request the CEO to provide an update as required in relation to the Key Audit Risks and Focus Areas.

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Committee Decision

MOVED: Cr K White

SECONDED: Cr M Lynch

That with respect to the Review of the 2017-18 Independent Audit Report and the Management Reports, that the Audit and Risk Committee note receipt of the Management Report for the year ended 30 June 2018 and recommend that Council:

- 1. Note the presentation by the Auditor to the Committee;**
- 2. Accept the 2017/18 Annual Financial Report ATTACHMENT 7.1A;**
- 3. Accept the Independent Auditors Report to the Electors of the Shire of Ashburton for the year ended 30 June 2018 ATTACHMENT 7.1B; and**
- 4. Review the Audit Concluding Memorandum CONFIDENTIAL ATTACHMENT 7.1D, prior to the Audit and Risk Committee Meeting and request the CEO to provide an update as required in relation to the Key Audit Risks and Focus Areas.**

CARRIED 4/0

Councillors Foster, White, Dias and Lynch voted for the motion

Reason for change:

To ensure that the asset sustainability ratios are reviewed as required.

John Bingham & Wen Shein Chai left the meeting at 10.34 am.

John Bingham re-entered the meeting at 10.35 am.

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7.2 REGULATION 17 - RISK AUDIT PROGRESS REPORT DECEMBER 2018

MINUTE: 32/2018

FILE REFERENCE: FM14.16.17

AUTHOR'S NAME AND POSITION: Nicky Tyson
Manager Governance & Corporate Strategy

AUTHORISING OFFICER AND POSITION: Rob Paull
Chief Executive Officer

NAME OF APPLICANT/RESPONDENT: Not Applicable

DATE REPORT WRITTEN: 3 December 2018

DISCLOSURE OF FINANCIAL INTEREST: The author and the authorising officer have no financial, proximity or impartiality interests in the proposal.

PREVIOUS MEETING REFERENCE: Agenda Item 7.1 (Minute No. 22/2018) – Audit and Risk Committee Meeting 19 September 2018

Summary

The Shire's contracted Auditors, Moore Stephens Pty Ltd (MS) conducted the most recent Risk Audit and review process in late 2016. Its report contains a list of improvements / opportunities. At the September 2018 Audit and Risk Committee meeting it was reported that a number of suggestions and opportunities had already been completed and planning had commenced and / or systems had been put in place to address the remaining. The Committee is now informed that the remaining two items have been completed.

Background

Local Government (Audit) Regulations 1996 includes 'Local Government Operational Guideline – 9 – Audit in Local Governments'. Regulation 17 prescribes a number of matters that are to be reviewed by local government Audit Committees. These functions now include reviewing the appropriateness and effectiveness of the local government's systems in regard to risk management, internal control and legislative compliance; and reporting the results of the Committee's consideration of that review, to the Council.

This Risk Audit and review process is now to occur at least once every three calendar years. The latest review / audit was conducted onsite, 24 – 25 October 2016, by MS and a report was presented to the Audit and Risk Committee in December 2016. Further progress reports were presented to the committee each quarter with the most recent being September 2018.

Comment

The attached report from the Chief Executive Officer is referred to the Audit and Risk Committee and contains progress of action taken on the recommendations from MS in the Regulation 17 Audit for the Shire of Ashburton's consideration in the areas covered by the audit, that being:

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- Risk Management;
- Internal Controls; and
- Legislative Compliance.

There were no critical (i.e. legislative compliance) issues raised in the MS Regulation 17 Audit and attached is the CEO's report to the Audit and Risk Committee (which contains updated officer status / progress comments) outlining how the Shire's Governance propose to see the improvements recommended, progressed and finalised.

ATTACHMENT 7.2

As the attached report outlines, all 43 improvement opportunities suggested in the report have now been completed through new or existing actions, upon review and approval from the committee and Council.

Consultation

Executive Management Team
Manager Governance & Corporate Strategy
Moore Stephens Australia Pty Ltd

Statutory Environment

Recent audit reforms have now been implemented with changes to the reporting period. This review is now only required once every three financial years.

Regulation 17 Local Government Audit Regulations 1996 requires the following:

A suitable allocation has been made in the budget for future reviews, with the next review due late 2019.

1. *The CEO is to review the appropriateness and effectiveness of a local government's systems and procedures in relation to:*
 - a) *risk management;*
 - b) *internal control; and*
 - c) *legislative compliance.*
2. *The review may relate to any or all of the matters referred to in sub regulation (1) (a), (b) and (c), but each of those matters is to be the subject of a review at least once every three calendar years.*
3. *The CEO is to report to the Audit Committee the results of that review.*

Financial Implications

Implementing the recommendations of the Report that have financial impacts will be processed through normal budgetary processes.

Strategic Implications

Shire of Ashburton 10 Year Community Strategic Plan 2017-2027
Goal 5 – Inspiring Governance
Objective 4 – Exemplary Team & Work Environment

Risk Management

Adoption of this item has been evaluated against the Shire of Ashburton's Risk Management Policy CORP5 Risk Matrix. The perceived level of risk is considered to be "Medium" risk (largely due to the costs of developing / implementing new procedures, etc.) but can be managed by routine procedures and monitoring.

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Policy Implications

There are no known policy implications for this matter.

Voting Requirement

Simple Majority Required

Officers Recommendation and Committee Decision

MOVED: Cr K White

SECONDED: Cr D Dias

That with respect to the *Review of Risk Management, Legislative Compliance and Internal Controls*, the Audit and Risk Committee recommend that Council:

1. Note the updated and final Chief Executive Officer Report (as per ATTACHMENT 7.2) which describes how the suggested 43 improvements/opportunities have been implemented.

CARRIED 4/0

Councillors Foster, White, Dias and Lynch voted for the motion

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7.3 CORPORATE BUSINESS PLAN – QUARTERLY PROGRESS REPORT

MINUTE: 33/2018

FILE REFERENCE:	CM03
AUTHOR'S NAME AND POSITION:	Nicky Tyson Manager Governance & Corporate Strategy
AUTHORISING OFFICER AND POSITION:	Rob Paull Chief Executive Officer
NAME OF APPLICANT/RESPONDENT:	Not Applicable
DATE REPORT WRITTEN:	3 December 2018
DISCLOSURE OF FINANCIAL INTEREST:	The author and the authorising officer have no financial, proximity or impartiality interests in the proposal.
PREVIOUS MEETING REFERENCE:	Audit and Risk Committee Meeting (Minute No: 23/2018) 19 September 2018

Summary

Council adopted its latest iteration of the Shire of Ashburton Corporate Business Plan (CBP) 2018 – 2022 on 18 June 2018.

While formal reporting of progress in relation to the CBP is to occur annually, via the Shire's Annual Report, it was recommended that progress reports are presented to Council on a more regular basis.

The intention is to provide progress reports to Council on a three monthly basis with the first report presented at the 19 September 2018 Audit & Risk Committee Meeting. This is the second status report of the CBP, showing further progress of how we are meeting our Goals and Objectives.

Background

The CBP outlines the strategic and operational objectives to be achieved in the four year period. The CBP demonstrates activities and projects that are fully resourced and have appropriate timelines and performance measures.

This is underpinned by a series of informing strategies and plans which include:

- our 15 year Long-Term Financial Plan;
- our Workforce Plan that is reviewed every four years in conjunction with the CBP;
- our Asset Management Plans for the life cycle of all assets including maintenance and replacement programs;
- Our adopted Annual Budget; and
- Any relevant issue specific strategies and plans for major projects or key developments.

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Comment

The Corporate Business Plan identifies five Focus Areas in line with our Strategic Community Plan, as shown below:

1. Vibrant and Active Communities;
2. Economic Prosperity;
3. Unique Heritage and Environment;
4. Quality Services and Infrastructure; and
5. Inspiring Governance

The attached document is a condensed version of the adopted CBP that reports directly on each project included in the priority areas for the 2018/19 financial year, with commentary on the relevant projects status.

Any projects or priorities not allocated or achieved within this financial year will be the focus of the following annual budget review for the subsequent years of the plan.

Each action links to our Strategic Community Plan and allows us to ensure we are meeting our requirements for the 'Plan for the Future'.

ATTACHMENT 7.3

Consultation

Executive Management Team
Manager Governance & Corporate Strategy

Statutory Environment

Local Government Act 1995

Section 5.56. Planning for the Future

(1) A local government is to plan for the future of the district.

(2) A local government is to ensure that plans made under subsection (1) are in accordance with any regulations made about planning for the future of the district

Local Government (Administration) Regulations 1996

Section 19DA Corporate Business Plans, requirements for (Act s 5.56)

Section 19DB (5) Corporate Business Plans, requirements for (Act s 5.56).

Financial Implications

All items as per the adopted 2018/19 budget.

Strategic Implications

Shire of Ashburton 10 Year Community Strategic Plan 2017-2027

Multiple Goals and Objectives will be achieved over the course of the financial year.

ATTACHMENT 7.3 references actions linked to the relevant Goal and Objective.

Risk Management

Adoption of this item has been evaluated against the Shire of Ashburton's Risk Management Policy CORP5 Risk Matrix. The perceived level of risk is considered to be 'Moderate' risk that will be managed by policy, procedures and monitoring by Governance and the CEO. There is a level of reputational risk to the organisation in not achieving the proposed projects, this will be closely managed by the Chief Executive Officer, Manager Governance & Corporate Strategy along with the individual responsible owners of each linked project.

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Policy Implications

There are no known policy implications for this matter.

Voting Requirement

Simple Majority Required

Officers Recommendation and Committee Decision**MOVED: Cr M Lynch****SECONDED: Cr D Dias**

That with respect to the Corporate Business Plan – Quarterly Progress Report, the Audit and Risk Committee recommend that Council:

- 1. Accept the second quarterly report for the 2018/19 Financial Year of the Shire of Ashburton Corporate Business Plan 2018 -2022; ATTACHMENT 7.3; and**
- 2. Request the Chief Executive Officer to continue providing Corporate Business Plan – Quarterly Progress Reports, with the next meeting to be the 12 March 2019 Audit & Risk Committee.**

CARRIED 4/0**Councillors Foster, White, Dias and Lynch voted for the motion**

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**7.4 OMBUDSMAN WESTERN AUSTRALIA - LOCAL GOVERNMENT
COLLECTION OF OVERDUE RATES FOR PEOPLE IN SITUATIONS OF
VULNERABILITY - GOOD PRACTICE GUIDANCE**

MINUTE: 34/2018

FILE REFERENCE:	FM09
AUTHOR'S NAME AND POSITION:	John Bingham Director Corporate Services
AUTHORISING OFFICER AND POSITION:	Rob Paull Chief Executive Officer
NAME OF APPLICANT/RESPONDENT:	Not Applicable
DATE REPORT WRITTEN:	9 December 2018
DISCLOSURE OF FINANCIAL INTEREST:	The author and the authorising officer have no financial, proximity or impartiality interests in the proposal.
PREVIOUS MEETING REFERENCE:	Not Applicable

Summary

Committee is requested to take note of the office of the Ombudsman Western Australia's ("the Ombudsman" Good Practice Guidance for Local governments regarding the collection of overdue rates for people in situations of vulnerability.

Background

The office of the Ombudsman Western Australia has released a Good Practice Guidance (**ATTACHMENT 7.4**) identifying four principles reflecting contemporary good practice in the collection of overdue rates for people in situations of vulnerability. These principles were identified after the Ombudsman's investigation into relevant legislation and regulatory requirements, a review of relevant literature and analysis of good practice and consultation with local governments.

Comment

Key points from the Ombudsman's report are as follows:

The Good Practice Guidance is designed to assist local governments to:

- Consider their own policies and practice for the collection of rates and overdue rates in respect to people in situations of vulnerability; and
- Identify any aspects of these policies and practices that may present opportunities for improvement to ensure that the process is efficient and effective for local governments and is fair and equitable for all ratepayers, subject to two overarching principles.

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1. Overdue rates must be paid, nonetheless, fair, reasonable and flexible approaches to payment are beneficial.
2. Good Practice Guidance should not impose unreasonable regulatory cost burdens on local governments and should be fit for size and circumstance.

The four principles reflecting contemporary good practice in the collection of overdue rates for people in situations of vulnerability are:

- I. Good Culture – a culture of achieving positive outcomes in the collection of overdue rates from people in situations of vulnerability is embedded throughout the organisation and the subject of leadership;
- II. Good Decisions – Decisions in respect to overdue rates from people in situations of vulnerability are lawful, reasonable, transparent, result in proportionate outcomes, reflect contemporary practice and are capable of being reviewed;
- III. Good Support – Staff are supported in all of their interactions with people in situations of vulnerability; and
- IV. Good Service – Accessible and flexible service provision supports the early identification and provision of support to people in situations of vulnerability.

Consultation

Executive Management Team

Statutory Environment

The collection of rates is set out in the following sections of the *Local Government Act 1995*:

6.44. Liability for rates or service charges -

- (1) *The owner for the time being of land on which a rate or service charge has been imposed is liable to pay the rate or service charge to the local government.*

6.45. Options for payment of rates or service charges -

- (1) *A rate or service charge is ordinarily payable to a local government by a single payment but the person liable for the payment of a rate or service charge may elect to make that payment to a local government, subject to subsection (3), by —*
 - (a) *4 equal or nearly equal instalments; or*
 - (b) *such other method of payment by instalments as is set forth in the local Government's annual budget.*
- (3) *A local government may impose an additional charge (including an amount by way of interest) where payment of a rate or service charge is made by instalments and that additional charge is, for the purpose of its recovery, taken to be a rate or service charge, as the case requires, that is due and payable.*

6.49. Agreement as to payment of rates and service charges -

A local government may accept payment of a rate or service charge due and payable by a person in accordance with an agreement made with the person.

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Overdue rates are set out on the following sections of the *Local Government Act 1995*:

6.50. Rates or service charges due and payable -

- (1) *Subject to —*
 - (a) *subsections (2) and (3); and*
 - (b) *any concession granted under section 6.47; and*
 - (c) *the Rates and Charges (Rebates and Deferments) Act 1992, a rate or service charge becomes due and payable on such date as is determined by the local government.*
- (2) *The date determined by a local government under subsection (1) is not to be earlier than 35 days after the date noted on the rate notice as the date the rate notice was issued.*

6.51. Accrual of interest on overdue rates or service charges

- (1) *A local government may at the time of imposing a rate or service charge resolve* to impose interest (at the rate set in its annual budget) on —*
 - (a) *a rate or service charge (or any instalment of a rate or service charge); and*
 - (b) *any costs of proceedings to recover any such charge that remains unpaid after becoming due and payable.*

** Absolute majority required.*

- (2) *The rate of interest that may be set by the local government under this section is not to exceed the rate for the time being prescribed as the maximum rate of interest that may be set for the purposes of this section.*
- (3) *Accrued interest is, for the purpose of its recovery, taken to be a rate or service charge, as the case requires, that is due and payable.*
- (4) *If a person is entitled under the Rates and Charges (Rebates and Deferments) Act 1992 or under this Act (if the local government in a particular case so resolves) to a rebate or deferment in respect of a rate or service charge —*
 - (a) *no interest is to accrue in respect of that rate or service charge payable by that person; and*
 - (b) *no additional charge is to be imposed under section 6.45(3) on that person.*
- (5) *Regulations may provide for the method of calculation of interest.*

[Section 6.51 amended by No. 1 of 1998 s. 21(1); No. 49 of 2004 s. 62.]

The means of collecting overdue rates is set out in the following sections of the *Local Government Act 1995*:

6.60. Local government may require lessee to pay rent -

- (1) *In this section —*

lease includes an agreement whether made orally or in writing for the leasing or subleasing of land and includes a licence or arrangement for the use of land;

lessor and lessee mean the parties to a lease and their respective successors in title.

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- (2) *If payment of a rate or service charge imposed in respect of any land is due and payable, notice may be given to the lessee of the land requiring the lessee to pay to the local government any rent as it falls due in satisfaction of the rate or service charge.*
- (3) *The local government is to give to the lessor a copy of the notice with an endorsement that the original of it has been given to the lessee.*
- (4) *The local government may recover the amount of the rate or service charge as a debt from the lessee if rent is not paid in accordance with the notice.*
- (5) *Where an amount is paid under this section to the local government —*
 - (a) *the payment discharges the payer from any liability to any person to pay that amount as rent; and*
 - (b) *whereas between a lessor and lessee the lessor is liable to pay the rate or service charge, the amount paid may be set off by the lessee against the rent payable to the lessor; and*
 - (c) *if the amount exceeds the rent due, or if there is no rent due, the amount may be set off by the lessee against accruing rent, or the balance recovered from the lessor in a court of competent jurisdiction.*
- (6) *To the extent that an agreement purports to preclude a lessee from setting off or recovering payments made to a local government under this section, the agreement is of no effect.*

6.56. Rates or service charges recoverable in court -

- (1) *If a rate or service charge remains unpaid after it becomes due and payable, the local government may recover it, as well as the costs of proceedings, if any, for that recovery, in a court of competent jurisdiction.*
- (2) *Rates or service charges due by the same person to the local government may be included in one writ, summons, or other process.*

[Section 6.56 amended by No. 84 of 2004 s. 80.]

6.64. Actions to be taken

- (1) *If any rates or service charges which are due to a local government in respect of any rateable land have been unpaid for at least 3 years the local government may, in accordance with the appropriate provisions of this Subdivision take possession of the land and hold the land as against a person having an estate or interest in the land and —*
 - (a) *from time to time lease the land; or*
 - (b) *sell the land; or*
 - (c) *cause the land to be transferred to the Crown; or*
 - (d) *cause the land to be transferred to itself.*
- (2) *On taking possession of any land under this section, the local government is to give to the owner of the land such notification as is prescribed and then to affix on a conspicuous part of the land a notice, in the form or substantially in the form prescribed.*

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(3) Where payment of rates or service charges imposed in respect of any land is in arrears the local government has an interest in the land in respect of which it may lodge a caveat to preclude dealings in respect of the land, and may withdraw caveats so lodged by it.

6.12. Power to defer, grant discounts, waive or write off debts

- (1) *Subject to subsection (2) and any other written law, a local government may —*
- (a) *when adopting the annual budget, grant* a discount or other incentive for the early payment of any amount of money; or*
 - (b) *wave or grant concessions in relation to any amount of money; or*
 - (c) *write off any amount of money, which is owed to the local government.*

** Absolute majority required.*

- (2) *Subsection (1)(a) and (b) do not apply to an amount of money owing in respect of rates and service charges.*
- (3) *The grant of a concession under subsection (1)(b) may be subject to any conditions determined by the local government.*
- (4) *Regulations may prescribe circumstances in which a local government is not to exercise a power under subsection (1) or regulate the exercise of that power.*

[Section 6.12 amended by No. 64 of 1998 s. 39.]

Financial Implications

There are no direct financial implications to this item.

Strategic Implications

Shire of Ashburton 10 Year Community Strategic Plan 2017-2027

Goal 4 – Quality Services and Partnerships

Objective 01 – Quality public infrastructure

Risk Management

Adoption of this item has been evaluated against the Shire of Ashburton's Risk Management Policy CORP5 Risk Matrix. The perceived level of risk is considered to be "Low" and can be managed by routine procedures, and is unlikely to need specific application of resources.

Policy Implications

There are no policy implications for this matter.

CONFIDENTIAL MINUTES - AUDIT AND RISK COMMITTEE MEETING
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Voting Requirement
Simple Majority Required

Officers Recommendation and Committee Decision

MOVED: Cr M Lynch

SECONDED: Cr D Dias

That with respect to the office of the Ombudsman Western Australia's Good Practice Guidance for Local governments regarding the collection of overdue rates for people in situations of vulnerability that Committee recommend Council note the Good Practice Guidance and ATTACHMENT 7.4.

CARRIED 4/0

Councillors Foster, White, Dias and Lynch voted for the motion

CONFIDENTIAL MINUTES - AUDIT AND RISK COMMITTEE MEETING
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8. CONFIDENTIAL MATTERS

Under the Local Government Act 1995, Part 5, and Section 5.23, states in part:

1. If a meeting is being held by a Council or by a committee referred to in subsection (1)(b), the Council or committee may close to members of the public the meeting, or part of the meeting, if the meeting or the part of the meeting deals with any of the following:

- (a) a matter affecting an employee or employees;**
- (b) the personal affairs of any person;**
- (c) a contract entered into, or which may be entered into, by the local government and which relates to a matter to be discussed at the meeting;**
- (d) legal advice obtained, or which may be obtained, by the local government and which relates to a matter to be discussed at the meeting;**
- (e) a matter that if disclosed, would reveal:**
 - (I) a trade secret;**
 - (II) information that has a commercial value to a person; or**
 - (III) information about the business, professional, commercial or financial affairs of a person,**

Where the trade secret or information is held by, or is about, a person other than the local government.

- (f) a matter that if disclosed, could be reasonably expected to:**
 - (I) Impair the effectiveness of any lawful method or procedure for preventing, detecting, investigating or dealing with any contravention or possible contravention of the law;**
 - (II) Endanger the security of the local government's property; or**
 - (III) Prejudice the maintenance or enforcement of any lawful measure for protecting public safety;**
- (g) information which is the subject of a direction given under section 23(1a) of the Parliamentary Commissioner Act 1981; and**
- (h) such other matters as may be prescribed.**

Committee Decision

MOVED: Cr K White

SECONDED: Cr M Lynch

That the Committee close the meeting to the public at 10.38 am pursuant to sub section 5.23 (2) (b) and (d) of the Local Government Act 1995.

CARRIED 4/0

Councillors Foster, White, Dias and Lynch voted for the motion

CONFIDENTIAL MINUTES - AUDIT AND RISK COMMITTEE MEETING
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8.1 CONFIDENTIAL ITEM - UPDATE ON WITTENOOM LITIGATION

MINUTE: 35/2018

FILE REFERENCE:	LS34
AUTHOR'S NAME AND POSITION:	Keith Pearson Special Projects Advisor Janyce Smith Executive Officer
AUTHORISING OFFICER AND POSITION:	Rob Paull Chief Executive Officer
NAME OF APPLICANT/RESPONDENT:	Not Applicable
DATE REPORT WRITTEN:	3 December 2018
DISCLOSURE OF FINANCIAL INTEREST:	The authors and the authorising officer have no financial proximity or impartiality interests in the proposal.
PREVIOUS MEETING REFERENCE:	Confidential Agenda Item 8.1 (Minute No. 17/2018) – Audit and Risk Committee Meeting 19 June 2018

REASON FOR CONFIDENTIALITY

The Chief Executive Officer's Report is confidential in accordance with s5.23 (2) *the Local Government Act 1995* because it deals with matters affecting s5.23 (2):

- (b) *the personal affairs of any person;*
- (d) *legal advice obtained, or which may be obtained, by the local government and which relates to a matter to be discussed at the meeting.*

Committee Decision

MOVED: Cr M Lynch

SECONDED: Cr K White

That with respect to the Confidential Item – Update on Wittenoom Litigation and Appointment of Delegate on the Wittenoom Steering Committee, the Audit and Risk Committee recommend that Council:

1. Receive the Confidential Item – Update on Wittenoom Litigation report and remain confidential in accordance s5.23 (2)(b) & (d) of the *Local Government Act 1995*;
2. In the case of Lee -v- CSR Limited & Ors, authorise the Chief Executive Officer in consultation with the President to accept a claim to a value greater than that provided in delegation **DA04-1 WITTENOOM CLAIMS – LEGAL** provided that the portion not greater than percent of the claim defined in **DA04-1**.

**CONFIDENTIAL MINUTES - AUDIT AND RISK COMMITTEE MEETING
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- 3. Ensure that the Shire management continue to provide Wittenoom Litigation Progress Reports to the Audit and Risk Committee.**
- 4. That Council note that the minutes of the Wittenoom Steering Committee of 24 October 2018.**

CARRIED BY ABSOLUTE MAJORITY 4/0
Councillors Foster, White, Dias and Lynch voted for the motion

Reason for change:

Committee felt that it was appropriate to note the minutes of the Wittenoom Steering Committee of 24 October 2018.

Committee Decision

MOVED: Cr K White

SECONDED: Cr M Lynch

That the Committee re-open the meeting to the public at 10.53 am.

CARRIED 4/0
Councillors Foster, White, Dias and Lynch voted for the motion

9. NEXT MEETING

The next Audit and Risk Committee Meeting will be held on Tuesday 12 March 2019 at the Council Chambers, Onslow Shire Complex, Second Avenue Onslow, at a time to be advised.

10. CLOSURE OF MEETING

The Presiding Member closed the meeting at 10.54 am.



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

Ashburton - Compliance Audit Return 2018

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 section of relevant minutes.

Commercial Enterprises by Local Governments					
No	Reference	Question	Response	Comments	Respondent
1	s3.59(2)(a)(b)(c) F&G Reg 7,9	Has the local government prepared a business plan for each major trading undertaking in 2018.	No	Nil	Nicky Tyson
2	s3.59(2)(a)(b)(c) F&G Reg 7,10	Has the local government prepared a business plan for each major land transaction that was not exempt in 2018.	No	Nil	Nicky Tyson
3	s3.59(2)(a)(b)(c) F&G Reg 7,10	Has the local government prepared a business plan before entering into each land transaction that was preparatory to entry into a major land transaction in 2018.	No	Nil	Nicky Tyson
4	s3.59(4)	Has the local government given Statewide public notice of each proposal to commence a major trading undertaking or enter into a major land transaction for 2018.	No	Nil	Nicky Tyson
5	s3.59(5)	Did the Council, during 2018, resolve to proceed with each major land transaction or trading undertaking by absolute majority.	No	Nil	Nicky Tyson



Delegation of Power / Duty					
No	Reference	Question	Response	Comments	Respondent
1	s5.16, 5.17, 5.18	Were all delegations to committees resolved by absolute majority.	N/A	Nil delegations to Committees	Nicky Tyson
2	s5.16, 5.17, 5.18	Were all delegations to committees in writing.	N/A	Nil delegations to Committees	Nicky Tyson
3	s5.16, 5.17, 5.18	Were all delegations to committees within the limits specified in section 5.17.	N/A	Nil delegations to Committees	Nicky Tyson
4	s5.16, 5.17, 5.18	Were all delegations to committees recorded in a register of delegations.	N/A	Nil delegations to Committees	Nicky Tyson
5	s5.18	Has Council reviewed delegations to its committees in the 2017/2018 financial year.	N/A	Nil delegations to Committees	Nicky Tyson
6	s5.42(1),5.43 Admin Reg 18G	Did the powers and duties of the Council delegated to the CEO exclude those as listed in section 5.43 of the Act.	Yes	See Delegation Register GV01	Nicky Tyson
7	s5.42(1)(2) Admin Reg 18G	Were all delegations to the CEO resolved by an absolute majority.	Yes	Ordinary Meeting of Council 23 October 2018	Nicky Tyson
8	s5.42(1)(2) Admin Reg 18G	Were all delegations to the CEO in writing.	Yes	See Delegation Register GV01	Nicky Tyson
9	s5.44(2)	Were all delegations by the CEO to any employee in writing.	Yes	See Delegation Register GV01.17.18 and GV01.18.19	Nicky Tyson
10	s5.45(1)(b)	Were all decisions by the Council to amend or revoke a delegation made by absolute majority.	Yes	Ordinary Meeting of Council 24 October 2018	Nicky Tyson
11	s5.46(1)	Has the CEO kept a register of all delegations made under the Act to him and to other employees.	Yes	Ordinary Meeting of Council 24 October 2018	Nicky Tyson
12	s5.46(2)	Were all delegations made under Division 4 of Part 5 of the Act reviewed by the delegator at least once during the 2017/2018 financial year.	Yes	Ordinary Meeting of Council 18 July 2017	Nicky Tyson
13	s5.46(3) Admin Reg 19	Did all persons exercising a delegated power or duty under the Act keep, on all occasions, a written record as required.	Yes	CEO 078 Form and recorded in GV01.17.18 and GV01.18.19	Nicky Tyson

Disclosure of Interest					
No	Reference	Question	Response	Comments	Respondent
1	s5.67	If a member disclosed an interest, did he/she ensure that they did not remain present to participate in any discussion or decision-making procedure relating to the matter in which the interest was disclosed (not including participation approvals granted under s5.68).	Yes	GV07	Nicky Tyson
2	s5.68(2)	Were all decisions made under section 5.68(1), and the extent of participation allowed, recorded in the minutes of Council and Committee meetings.	Yes	GV04	Nicky Tyson



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No	Reference	Question	Response	Comments	Respondent
3	s5.73	Were disclosures under section 5.65 or 5.70 recorded in the minutes of the meeting at which the disclosure was made.	Yes	GV04	Nicky Tyson
4	s5.75(1) Admin Reg 22 Form 2	Was a primary return lodged by all newly elected members within three months of their start day.	Yes	GV28	Nicky Tyson
5	s5.75(1) Admin Reg 22 Form 2	Was a primary return lodged by all newly designated employees within three months of their start day.	Yes	FM07.18.19	Nicky Tyson
6	s5.76(1) Admin Reg 23 Form 3	Was an annual return lodged by all continuing elected members by 31 August 2018.	Yes	GV28	Nicky Tyson
7	s5.76(1) Admin Reg 23 Form 3	Was an annual return lodged by all designated employees by 31 August 2018.	Yes	FM07.18.19	Nicky Tyson
8	s5.77	On receipt of a primary or annual return, did the CEO, (or the Mayor/ President in the case of the CEO's return) on all occasions, give written acknowledgment of having received the return.	Yes	FM07.18.19	Nicky Tyson
9	s5.88(1)(2) Admin Reg 28	Did the CEO keep a register of financial interests which contained the returns lodged under section 5.75 and 5.76	Yes	GV28 and FM07.18.19	Nicky Tyson
10	s5.88(1)(2) Admin Reg 28	Did the CEO keep a register of financial interests which contained a record of disclosures made under sections 5.65, 5.70 and 5.71, in the form prescribed in Administration Regulation 28.	Yes	GV28 and FM07.18.19	Nicky Tyson
11	s5.88 (3)	Has the CEO removed all returns from the register when a person ceased to be a person required to lodge a return under section 5.75 or 5.76.	Yes	GV07.01	Nicky Tyson
12	s5.88(4)	Have all returns lodged under section 5.75 or 5.76 and removed from the register, been kept for a period of at least five years, after the person who lodged the return ceased to be a council member or designated employee.	Yes	GV07.01	Nicky Tyson
13	s5.103 Admin Reg 34C & Rules of Conduct Reg 11	Where an elected member or an employee disclosed an interest in a matter discussed at a Council or committee meeting where there was a reasonable belief that the impartiality of the person having the interest would be adversely affected, was it recorded in the minutes.	Yes	GV04 and GV07	Nicky Tyson
14	s5.70(2)	Where an employee had an interest in any matter in respect of which the employee provided advice or a report directly to the Council or a Committee, did that person disclose the nature of that interest when giving the advice or report.	Yes	GV04	Nicky Tyson



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No	Reference	Question	Response	Comments	Respondent
15	s5.70(3)	Where an employee disclosed an interest under s5.70(2), did that person also disclose the extent of that interest when required to do so by the Council or a Committee.	Yes	GV04	Nicky Tyson
16	s5.103(3) Admin Reg 34B	Has the CEO kept a register of all notifiable gifts received by Council members and employees.	Yes	GV22	Nicky Tyson

Disposal of Property

No	Reference	Question	Response	Comments	Respondent
1	s3.58(3)	Was local public notice given prior to disposal for any property not disposed of by public auction or tender (except where excluded by Section 3.58(5)).	Yes	Record Numbers 1934438 1934439/1827430 1934441/1827114 1934440/1833106	Nicky Tyson
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	Record Numbers 1934438 1934439/1827430 1934441/1827114 1934440/1833106	Nicky Tyson

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	GV04 Agenda and Minutes	Nicky Tyson
2	s7.1B	Where a local government determined to delegate to its audit committee any powers or duties under Part 7 of the Act, did it do so by absolute majority.	N/A	No delegations to Audit Committee	Nicky Tyson
3	s7.3	Was the person(s) appointed by the local government to be its auditor, a registered company auditor.	Yes	Moore Stephens	Nicky Tyson
4	s7.3, 7.6(3)	Was the person or persons appointed by the local government to be its auditor, appointed by an absolute majority decision of Council.	Yes	OMC 9 Dec 2015. Minute 12039/12056	Nicky Tyson
5	Audit Reg 10	Was the Auditor's report for the financial year ended 30 June 2018 received by the local government within 30 days of completion of the audit.	Yes	OMC 18 Dec 2018 Synergy Ref: 1882390	Nicky Tyson
6	s7.9(1)	Was the Auditor's report for the financial year ended 30 June 2018 received by the local government by 31 December 2018.	Yes	Received 10 December 2018. OMC 18 December 2018	Nicky Tyson



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No	Reference	Question	Response	Comments	Respondent
7	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 by the local government, was that action undertaken.	N/A		Nicky Tyson
8	S7.12A (4)	Where the local government determined that matters raised in the auditor's report (prepared under s7.9 (1) of the Act) required action to be taken by the local government, was a report prepared on any actions undertaken.	N/A		Nicky Tyson
9	S7.12A (4)	Where the local government determined that matters raised in the auditor's report (prepared under s7.9 (1) of the Act) required action to be taken by the local government, was a copy of the report forwarded to the Minister by the end of the financial year or 6 months after the last report prepared under s7.9 was received by the local government whichever was the latest in time.	N/A		Nicky Tyson
10	Audit Reg 7	Did the agreement between the local government and its auditor include the objectives of the audit.	Yes	See RFT02.16 in CM02.16 Synergy	Nicky Tyson
11	Audit Reg 7	Did the agreement between the local government and its auditor include the scope of the audit.	Yes	See RFT02.16 in CM02.16 Synergy	Nicky Tyson
12	Audit Reg 7	Did the agreement between the local government and its auditor include a plan for the audit.	Yes	CM02.16	Nicky Tyson
13	Audit Reg 7	Did the agreement between the local government and its auditor include details of the remuneration and expenses to be paid to the auditor.	Yes	CM02.16	Nicky Tyson
14	Audit Reg 7	Did the agreement between the local government and its auditor include the method to be used by the local government to communicate with, and supply information to, the auditor.	Yes	CM02.16	Nicky Tyson
15	Audit Reg 17	Has the CEO reviewed the appropriateness and effectiveness of the local government's systems and procedures in accordance with regulation 17 of the Local Government (Audit) Regulations 1996.	Yes	OMC 17 January 2017. Next audit to be conducted in 18/19 financial year	Nicky Tyson
16	Audit Reg 17	If the CEO has not undertaken a review in accordance with regulation 17 of the Local Government (Audit) Regulations 1996, is a review proposed and when.	N/A	Next review planned 2019	Nicky Tyson



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Integrated Planning and Reporting					
No	Reference	Question	Response	Comments	Respondent
1	s5.56 Admin Reg 19DA (6)	Has the local government adopted a Corporate Business Plan. If Yes, please provide adoption date of the most recent Plan in Comments. This question is optional, answer N/A if you choose not to respond.	Yes	Ordinary Meeting of Council 18 June 2018 (Minute 391/2018)	Nicky Tyson
2	s5.56 Admin Reg 19DA (6)	Has the local government adopted a modification to the most recent Corporate Business Plan. If Yes, please provide adoption date in Comments. This question is optional, answer N/A if you choose not to respond.	No	Due late 2019	Nicky Tyson
3	s5.56 Admin Reg 19C (7)	Has the local government adopted a Strategic Community Plan. If Yes, please provide adoption date of the most recent Plan in Comments. This question is optional, answer N/A if you choose not to respond.	Yes	Ordinary Meeting of Council 14 March 2017 (Minute 123/2017)	Nicky Tyson
4	s5.56 Admin Reg 19C (7)	Has the local government adopted a modification to the most recent Strategic Community Plan. If Yes, please provide adoption date in Comments. This question is optional, answer N/A if you choose not to respond.	No	Due late 2019	Nicky Tyson
5	S5.56	Has the local government adopted an Asset Management Plan. If Yes, in Comments please provide date of the most recent Plan, plus if adopted or endorsed by Council the date of adoption or endorsement. This question is optional, answer N/A if you choose not to respond.	Yes	AMP 2016 – 2020 adopted at 15 March 2016 OMC. Minute 12064 however updated plans being adopted throughout 18/19 with final due late 2019.	Nicky Tyson
6	S5.56	Has the local government adopted a Long Term Financial Plan. If Yes, in Comments please provide date of the most recent Plan, plus if adopted or endorsed by Council the date of adoption or endorsement. This question is optional, answer N/A if you choose not to respond.	Yes	Ordinary Meeting of Council 20 June 2017, minute 179/2017	Nicky Tyson
7	S5.56	Has the local government adopted a Workforce Plan. If Yes, in Comments please provide date of the most recent Plan plus if adopted or endorsed by Council the date of adoption or endorsement. This question is optional, answer N/A if you choose not to respond.	Yes	Ordinary Meeting of Council 18 July 2017	Nicky Tyson



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Local Government Employees					
No	Reference	Question	Response	Comments	Respondent
1	Admin Reg 18C	Did the local government approve the process to be used for the selection and appointment of the CEO before the position of CEO was advertised.	N/A	Not Applicable	Nicky Tyson
2	s5.36(4) s5.37(3), Admin Reg 18A	Were all vacancies for the position of CEO and other designated senior employees advertised and did the advertising comply with s.5.36(4), 5.37(3) and Admin Reg 18A.	Yes	The position of Director Infrastructure Services and Director Property & Development Services were recruited for and advertised in The West Australian. Evidence contained on recruitment files.	Nicky Tyson
3	Admin Reg 18F	Was the remuneration and other benefits paid to a CEO on appointment the same remuneration and benefits advertised for the position of CEO under section 5.36(4).	N/A	Not Applicable	Nicky Tyson
4	Admin Regs 18E	Did the local government ensure checks were carried out to confirm that the information in an application for employment was true (applicable to CEO only).	N/A	Not Applicable	Nicky Tyson
5	s5.37(2)	Did the CEO inform council of each proposal to employ or dismiss a designated senior employee.	Yes	The Director Infrastructure Services was appointed at OCM 22 May 2018 and Director Property & Development Services was appointed OCM 19 September 2018. Evidence contained in respective OCM minutes.	Nicky Tyson



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Official Conduct					
No	Reference	Question	Response	Comments	Respondent
1	s5.120	Where the CEO is not the complaints officer, has the local government designated a senior employee, as defined under s5.37, to be its complaints officer.	N/A	CEO is complaints Officer	Nicky Tyson
2	s5.121(1)	Has the complaints officer for the local government maintained a register of complaints which records all complaints that result in action under s5.110(6)(b) or (c).	Yes	Register is in GV03.01 Nil complaints received for 2018 year	Nicky Tyson
3	s5.121(2)(a)	Does the complaints register maintained by the complaints officer include provision for recording of the name of the council member about whom the complaint is made.	Yes	GV03.01	Nicky Tyson
4	s5.121(2)(b)	Does the complaints register maintained by the complaints officer include provision for recording the name of the person who makes the complaint.	Yes	GV03.01	Nicky Tyson
5	s5.121(2)(c)	Does the complaints register maintained by the complaints officer include provision for recording a description of the minor breach that the standards panel finds has occurred.	Yes	GV03.01	Nicky Tyson
6	s5.121(2)(d)	Does the complaints register maintained by the complaints officer include the provision to record details of the action taken under s5.110(6)(b) or (c).	Yes	GV03.01	Nicky Tyson

Tenders for Providing Goods and Services					
No	Reference	Question	Response	Comments	Respondent
1	s3.57 F&G Reg 11	Did the local government invite tenders on all occasions (before entering into contracts for the supply of goods or services) where the consideration under the contract was, or was expected to be, worth more than the consideration stated in Regulation 11(1) of the Local Government (Functions & General) Regulations (Subject to Functions and General Regulation 11(2)).	Yes	Synergy CM01.18- CM14.18. Public Tender Register.	Nicky Tyson
2	F&G Reg 12	Did the local government comply with F&G Reg 12 when deciding to enter into multiple contracts rather than inviting tenders for a single contract.	Yes	Nil multiple contracts entered into.	Nicky Tyson
3	F&G Reg 14(1) & (3)	Did the local government invite tenders via Statewide public notice.	Yes	Documented in Synergy under each relevant Tender file.	Nicky Tyson
4	F&G Reg 14 & 15	Did the local government's advertising and tender documentation comply with F&G Regs 14, 15 & 16.	Yes	All advertising complied.	Nicky Tyson



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.	Yes	Addendum issued via TenderLink notifying all prospective tenderers.	Nicky Tyson
6	F&G Reg 16	Did the local government's procedure for receiving and opening tenders comply with the requirements of F&G Reg 16.	Yes	Internal Procedures followed, also documented and signed on Internal Form CEO101.	Nicky Tyson
7	F&G Reg 18(1)	Did the local government reject the tenders that were not submitted at the place, and within the time specified in the invitation to tender.	Yes	No tenders accepted after closing date & time. RFT 10.18 Synergy - CM10.18 & RFT 08.18 Synergy CM08.18 Recorded failed attempts to submit prior to deadline – Tenders were not accepted.	Nicky Tyson
8	F&G Reg 18 (4)	In relation to the tenders that were not rejected, did the local government assess which tender to accept and which tender was most advantageous to the local government to accept, by means of written evaluation criteria.	Yes	As per FIN12 Purchasing Policy - Tender Evaluation Criteria.	Nicky Tyson
9	F&G Reg 17	Did the information recorded in the local government's tender register comply with the requirements of F&G Reg 17.	Yes	See hard copy Public Tender Register	Nicky Tyson
10	F&G Reg 19	Was each tenderer sent written notice advising particulars of the successful tender or advising that no tender was accepted.	Yes	All Tenderers advised of outcome in writing via email.	Nicky Tyson
11	F&G Reg 21 & 22	Did the local governments's advertising and expression of interest documentation comply with the requirements of F&G Regs 21 and 22.	N/A	No expressions of interest sort.	Nicky Tyson
12	F&G Reg 23(1)	Did the local government reject the expressions of interest that were not submitted at the place and within the time specified in the notice.	N/A	Not Applicable	Nicky Tyson
13	F&G Reg 23(4)	After the local government considered expressions of interest, did the CEO list each person considered capable of satisfactorily supplying goods or services.	N/A	Not Applicable	Nicky Tyson
14	F&G Reg 24	Was each person who submitted an expression of interest, given a notice in writing in accordance with Functions & General Regulation 24.	N/A	Not Applicable	Nicky Tyson
15	F&G Reg 24AD(2)	Did the local government invite applicants for a panel of pre-qualified suppliers via Statewide public notice.	Yes	RFT04.18 Synergy CM04.18	Nicky Tyson
16	F&G Reg 24AD(4) & 24AE	Did the local government's advertising and panel documentation comply with F&G Regs 24AD(4) & 24AE.	Yes	RFT04.18 Synergy CM04.18	Nicky Tyson



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

No	Reference	Question	Response	Comments	Respondent
17	F&G Reg 24AF	Did the local government's procedure for receiving and opening applications to join a panel of pre-qualified suppliers comply with the requirements of F&G Reg 16 as if the reference in that regulation to a tender were a reference to a panel application.	Yes	RFT04.18 Synergy CM04.18	Nicky Tyson
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.	Yes	Provided by official addendum via Tenderlink	Nicky Tyson
19	F&G Reg 24AH(1)	Did the local government reject the 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	Nil submitted after closing date and time (Tenderlink)	Nicky Tyson
20	F&G Reg 24AH(3)	In relation to the applications that were not rejected, did the local government assess which application (s) to accept and which application(s) were most advantageous to the local government to accept, by means of written evaluation criteria.	Yes	As per internal Procedures managed by Procurement Staff	Nicky Tyson
21	F&G Reg 24AG	Did the information recorded in the local government's tender register about panels of pre-qualified suppliers, comply with the requirements of F&G Reg 24AG.	Yes	See Public Tender Register	Nicky Tyson
22	F&G Reg 24AI	Did the local government send each person who submitted an application, written notice advising if the person's application was accepted and they are to be part of a panel of pre-qualified suppliers, or, that the application was not accepted.	Yes	All Tenderers advised of outcome of each Tender via email – also see council minutes	Nicky Tyson
23	F&G Reg 24E	Where the local government gave a regional price preference in relation to a tender process, did the local government comply with the requirements of F&G Reg 24E in relation to the preparation of a regional price preference policy (only if a policy had not been previously adopted by Council).	N/A	Policy already adopted by Council	Nicky Tyson
24	F&G Reg 24F	Did the local government comply with the requirements of F&G Reg 24F in relation to an adopted regional price preference policy.	Yes	Already adopted FIN12 Purchasing Policy	Nicky Tyson
25	F&G Reg 11A	Does the local government have a current purchasing policy in relation to contracts for other persons to supply goods or services where the consideration under the contract is, or is expected to be, \$150,000 or less.	Yes	FIN12 Purchasing Policy	Nicky Tyson



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

Signed Mayor / President, Ashburton

Signed CEO, Ashburton

Actions	Project Code	Project Manager	Budget FY	Committed Expenditure	Status	Start	End	Comments (FINAL)
4 Office of the CEO (84)								
1.1.1.1 Develop communication and engagement strategy	1 Develop communication and engagement strategy	Manager Governance			NOT COMMENCED			Project for 2019 following review of SCP
1.1.1.2 Engage community and stakeholders in accordance with Communication and Engagement Strategy	2 Engage community and stakeholders in accordance with Communication and Engagement Strategy	Manager Governance			NOT COMMENCED			Project for 2019 following review of SCP
1.1.2.1 Undertake strategic planning to ensure integration of informing plans for adequate resourcing and service delivery	3 Consultant/Project Strategic Planning	Manager Governance	\$ 10,000		IN PROGRESS	1/07/2018	30/06/2019	Budget allocation for Strategic Planning requirements (SCP,CBP, etc.)
1.3.1.1 Continue to advocate on behalf of the community	24 Play a leadership role in advocating to, and engaging with, relevant government and private sector stakeholders to foster a whole of Shire approach to the provision of quality education, training, healthcare, childcare, aged care, youth services and facility provision.	CEO			ONGOING	1/07/2018	30/06/2019	In collaboration with the President, the CEO and Directors to advocate directly with corporate partners, Federal and State governments to promote improved service delivery across the Shire
1.3.2.1 As per action 1.1.2.1 Undertake strategic planning to ensure integration of informing plans for adequate resourcing and service delivery	39 Integrated Planning	Manager Governance			IN PROGRESS	1/02/2019	30/06/2019	Desktop review of SCP planned for 2019. CBP to be reviewed in conjunction with new budget.
1.4.2.1 Develop and deliver a whole of Shire Cultural Plan	41 Develop and deliver a whole of Shire Cultural Plan	Manager Economic Development & Tourism			IN PROGRESS	1/09/2018	31/03/2019	Tourism Strategy currently under construction addressing cultural link. No budget allocation as yet
1.4.5.1 As per Action 1.4.2.1 Develop and deliver a whole of Shire Cultural Plan	56 Continue to foster industry and government social investments and participation in community arts and cultural initiatives	Manager Economic Development & Tourism			COMPLETED	1/07/2018	30/06/2019	Strengthening relationships with key stakeholders. Plans to collaborate with organisations on future cultural activities. Karjini Experience is the region's biggest cultural initiative. Trails forum planned for 2019.
2.1.1.1 As per action 2.2.2.1 Develop and implement Shire Economic Development Strategy	57 Consultancy/ Economic Development	Manager Economic Development & Tourism	\$ 75,000	\$ 14,491	IN PROGRESS	1/07/2018	30/06/2019	Multiple Consultancy Projects
2.1.2.1 As per action 2.2.2.1 Develop and implement Shire Economic Development Strategy	58 Salaries	Manager Economic Development & Tourism	\$ 123,523	\$ 80,705	IN PROGRESS	1/07/2018	30/06/2019	Salary budget for Manager Economic Development and Tourism
2.1.3.1 As per action 2.2.2.1 Develop and implement Shire Economic Development Strategy	59 Proactively engage with government and industry to support business development and community enterprise and to plan for present and future training and employment needs	Manager Economic Development & Tourism			IN PROGRESS	1/09/2018	31/03/2019	Being considered high priority as per Economic & Tourism Strategy. Have attracted interest in a couple of industry development workshops to Tom Price.
2.2.1.1 Advocate for more diversified business and economic development in accordance with Economic Development Strategy	61 Advocate for more diversified business and economic development in accordance with Economic Development Strategy	Manager Economic Development & Tourism			IN PROGRESS	1/09/2018	31/03/2019	Draft Strategy will be circulated for more feedback throughout December with intention to adopt in the first quarter of 2019
2.2.2.1 Develop and implement Shire Economic Development Strategy	62 Develop and implement Shire Economic Development Strategy	Manager Economic Development & Tourism			IN PROGRESS	1/09/2018	31/03/2019	Draft Strategy will be circulated for more feedback throughout December with intention to adopt in the first quarter of 2019
2.3.1.1 Develop Tourism Strategy	63 Projects & Consultancy	Manager Economic Development & Tourism	\$ 198,900	\$ 112,709	IN PROGRESS	1/09/2018	31/03/2019	Draft Strategy will be circulated for more feedback throughout December with intention to adopt in the first quarter of 2019
2.3.3.1 Encourage Aboriginal tourism opportunities in accordance with Tourism Strategy	67 Advertising and Promotion	Manager Economic Development & Tourism	\$ 75,000	\$ 53,536	IN PROGRESS	1/07/2018	30/06/2019	Advertising and Promotion budget allocation for Tourism and Economic Development
3.1.1.1 Advocate for the protection of natural assets and sustainable use of resources and utilities	71 Partner with government agencies, industry, traditional owners, nongovernment organisations, local governments, research institutions, pastoralists and the community to better manage natural assets and deliver improved conservation outcomes that reflect the region's high biodiversity and landscape values	CEO			ONGOING	1/07/2018	30/06/2019	Whole of Shire ongoing action. The Shire is also investigating its participation in Geotourism projects. No budget allocation as yet
3.2.1.1 As per Action 3.1.1.1 Advocate for the protection of natural assets and sustainable use of resources and utilities	75 Promote and encourage protection of natural assets and sustainable use of resources and utilities	CEO			ONGOING	1/07/2018	30/06/2019	Whole of Shire ongoing action. No budget allocation as yet
3.3.1.1 Recognise and celebrate the Shire's Aboriginal and Non-Aboriginal history and heritage	85 Local History	Manager Libraries & Information Services	\$ 250		NOT COMMENCED			Small budget allocation - not utilised as yet
3.3.1.2 Support and encourage cultural awareness opportunities	86 Support and encourage cultural awareness opportunities	Manager Economic Development & Tourism			ONGOING	1/07/2018	30/06/2019	Continue to support and celebrate all history and culture. Multiple budget allocations previously identified and linked
4.1.1.1 Advocate to, and partner with stakeholders to facilitate the development of the Tom Price / Karratha Road to link Tom Price and Paraburdoo to the Pilbara Cities	87 Advocate to, and partner with stakeholders to facilitate the development of the Tom Price - Karratha Road to link Tom Price and Paraburdoo to the Pilbara Cities	CEO			OFF TRACK			Main Roads have taken control of the Roebourne - Wittenoom Road section. SoA awaiting further detail
4.1.2.2 Plan and develop Onslow Marina	102 Plan and develop Onslow Marina	CEO			IN PROGRESS	1/07/2018	30/06/2019	Building Better Regions application has been lodged for a comprehensive marina development along with acceptance of the Department of Transport that the Shire would have care and control of the site - No budget allocation for 18/19

Actions	Project Code	Project Manager	Budget FY	Committed Expenditure	Status	Start	End	Comments (FINAL)
4.1.3.1 Advocate for the provision of appropriate services to all of the community	103 Actively engage with State Government, Aboriginal Corporations and communities to support strategies to effectively manage the planned transition of municipal services in Aboriginal communities (upon the completion of the Aboriginal Communities Review by the WA State Government)	CEO			ONGOING	1/07/2018	30/06/2019	In collaboration with the President, the CEO and Directors to advocate for support strategies to effectively manage the planned transition of municipal services in Aboriginal communities
4.1.4.1 As per Action 4.1.2.1 Provide and maintain infrastructure in accordance with asset management plans	104 Actively advocate for the effective supply of utilities and services that meet commercial, industrial and retail needs.	CEO			ONGOING	1/07/2018	30/06/2019	Advocacy Only
4.2.1.1 Advocate and partner with key stakeholders to develop an air strip at Tom Price	105 Advocate and partner with key stakeholders to develop an air strip at Tom Price	CEO			ONGOING	1/07/2018	30/06/2019	Advocacy Only
4.2.1.2 Advocate to improve public transport and roads between the Shire's towns	106 Advocate to improve public transport and roads between the Shire's towns	CEO			ONGOING	1/07/2018	30/06/2019	Advocacy Only
4.2.5.3 Develop RFDS Airstrip infrastructure	148 No funding allocation	CEO			ONGOING	1/07/2018	30/06/2019	Develop RFDS Strip - Council resolution for advocacy only.
4.3.4.1 Continue to provide and maintain a range of public open spaces in accordance with asset management plans	198 Projects to be Identified in Pannawonica (Not fixed infrastructure)	CEO	\$ 55,275		NOT COMMENCED			Projects will commence once identified
5.1.1.1 As per Action 1.1.2.1 Undertake strategic planning to ensure integration of informing plans for adequate resourcing and service delivery	157 Ensure the Strategic Community Plan and Corporate Business Plan are used effectively to guide all planning and decision making in the delivery of quality services and facilities	CEO			ONGOING	1/07/2018	30/06/2019	SCP and CBP considered and used to drive the final adopted annual budget along with community consultation project of 'Help Build our Budget'.
5.1.2.1 As per Action 1.1.1.1 Develop communication and engagement strategy	159 Onslow Newsletter	Media Coordinator	\$ 6,120		OFF TRACK			Under review
5.1.3.1 As per Action 1.2.4.1	160 Monitor trends, anticipate needs and capitalise on opportunities to build strong communities	CEO			ONGOING	1/07/2018	30/06/2019	Strategy developed for Tom Price, Paraburdoo and Pannawonica through RTIO Partnership. Opportunity to revise and incorporate Onslow.
5.1.4.1 Develop a Reconciliation Action Plan and seek greater Aboriginal engagement and representation in decision making	161 Aboriginal reference Committee	CEO	\$ 2,081		NOT COMMENCED	1/07/2018	30/06/2019	Budget allocation for Reference committee - not yet established however will be actioned in 2019.
5.1.5.1 As per Action 1.1.2.1 Undertake strategic planning to ensure integration of informing plans for adequate resourcing and service delivery	162 Salaries (Governance)	Manager Governance	\$ 114,316	\$ 25,907	IN PROGRESS	1/07/2018	30/06/2019	Salary and Wages allocation for Governance
5.2.1.1 As per Action 1.1.1.1 Develop communication and engagement strategy	163 Ensure equitable and broad representation on committees and in community engagement activities to ensure there is well informed decision making	CEO			IN PROGRESS	1/03/2019	30/06/2019	Strategy to be developed in line with ADM08 Community Engagement Policy
5.2.2.1 As per Action 1.1.1.1 Develop communication and engagement strategy	164 Ensure broad participation and diverse representation in research, planning and decision making	CEO			IN PROGRESS	1/02/2018	30/06/2019	Strategy to be developed in line with ADM08 Community Engagement Policy, along with engagement projects planned for 2019.
5.3.1.1 As per Action 1.3.1.1 Continue to advocate on behalf of the community	166 Councillors Seminars & Training GEN	Councillor Support Officer	\$ 104,040	\$ 33,356	IN PROGRESS		30/06/2019	Continue elected representative training through WALGA and internal Shire support
5.3.1.1 As per Action 1.3.1.1 Continue to advocate on behalf of the community	167 Training and Travel Costs	Councillor Support Officer	\$ 56,182	\$ 9,358	IN PROGRESS		30/06/2019	Continue elected representative training through WALGA and internal Shire support
5.3.1.1 As per Action 1.3.1.1 Continue to advocate on behalf of the community	168 WALGA Conference	Councillor Support Officer	\$ 33,293	\$ 23,997	IN PROGRESS		30/06/2019	Completed for 18/19 financial year
5.3.1.1 As per Action 1.3.1.1 Continue to advocate on behalf of the community	169 Conference - President	Executive Coordinator	\$ 14,566		IN PROGRESS		30/06/2019	Not utilised at this stage
5.3.1.2 Seek to educate the community on the roles, responsibilities and achievements of Council	170 PRC	CEO	\$ 105,000	\$ 130,000	IN PROGRESS		30/06/2019	Partial funds utilised - however further claims pending
5.3.1.2 Seek to educate the community on the roles, responsibilities and achievements of Council	171 Newsletter, Promotion, Social Media, Website Expenditure GEN	Councillor Support Officer	\$ 102,015	\$ 27,756	IN PROGRESS	1/07/2018	30/06/2019	Multiple media platforms
5.3.2.1 As per Action 1.1.1.1 Develop communication and engagement strategy	173 President & Deputy Allowance	CEO	\$ 81,567	\$ 39,205	IN PROGRESS	1/07/2018	30/06/2019	President & Deputy allowance
5.4.1.1 Undertake staff engagement survey to identify strategies to attract and retain staff	174 Organisational Change	HR Manager	\$ 145,000	\$ 72,757	IN PROGRESS	1/11/2018	30/06/2019	Staff survey released 12 November rolled out and closed 30 November 2018 with responses to staff before second quarter 2019. (Councillors to be informed).
5.4.1.2 Review and maintain Workforce Plan and associated plans	175 Training - Staff	HR Manager	\$ 293,760	\$ 106,893	IN PROGRESS	1/07/2018	30/06/2019	Implementation strategies as an outcome of the Workforce Plan review
5.4.1.3 Implement strategies with Workforce Plan	176 Health/Wellbeing Allowance	HR Manager	\$ 12,000	\$ 4,724	IN PROGRESS	1/07/2018	30/06/2019	Annual allowance for staff. EG: Part reimbursement of gym membership, Annual Pool Pass etc.
5.4.1.3 Implement strategies with Workforce Plan	177 Staff Recognition	HR Manager	\$ 13,260	\$ 2,393	IN PROGRESS	1/07/2018	30/06/2019	Staff recognition awards in line with Policy EMP23 Recognition of Staff
5.4.1.3 Implement strategies with Workforce Plan	178 Health & Wellbeing Programs	Health & Safety Coordinator	\$ 31,673	\$ 23,246	IN PROGRESS	1/07/2018	30/06/2019	Health and Wellness Programs for Staff

1 Community Services (31)

Actions	Project Code	Project Manager	Budget FY	Committed Expenditure	Status	Start	End	Comments (FINAL)
1.1.3.1 Continue to develop programs welcoming new residents and transient workers into the community	4 Showcase - welcome to Town	Director Community Services	\$ 39,500	\$ 21,681	IN PROGRESS	1/07/2018	30/06/2019	Welcome to town events were held in Paraburdoo and Tom Price in October and Pannawonica in September 2018. Planning is underway for the next welcome events in March and May 2019.
1.1.3.2 Engage and celebrate local culture, both Indigenous and nonIndigenous	5 NAIDOC WEEK	Director Community Services	\$ 32,000	\$ 26,741	COMPLETED	1/07/2018	31/08/2018	NAIDOC Celebrations were held in July & August 2018. The Shire collaborated with local Indigenous groups and artists through the region to facilitate events. The theme of the celebrations was "Because of Her We Can"
1.2.1.1 Develop and implement a cohesive strategy to encourage and support club and community group development	6 Contribution To Clubs/Community Groups GEN	Director Community Services	\$ 40,800	\$ 9,936	IN PROGRESS	1/07/2018	30/06/2019	Small Assistance Donations funded to the community
1.2.1.2 As per action 1.2.1.1 Strategy developed for Tom Price, Paraburdoo and Pannawonica through RTIO Partnership. Opportunity to revise and incorporate Onslow.	10 Pannawonica Rodeo	Director Community Services	\$ 10,000	\$ 10,000	IN PROGRESS	1/02/2019	31/03/2019	Signature Event Grant Funding round opened in February and closes on 31st March 2019
1.2.1.2 As per action 1.2.1.1 Strategy developed for Tom Price, Paraburdoo and Pannawonica through RTIO Partnership. Opportunity to revise and incorporate Onslow.	7 Tom Price Draft Camp Donation	Director Community Services	\$ 10,000	\$ 10,000	COMPLETED	1/02/2019	31/03/2019	Signature Event Grant Funding round opened in February and closes on 31st March 2019
1.2.1.2 As per action 1.2.1.1 Strategy developed for Tom Price, Paraburdoo and Pannawonica through RTIO Partnership. Opportunity to revise and incorporate Onslow.	8 Red Dirt Rock Sponsorships	Director Community Services	\$ 10,000		COMPLETED	1/02/2019	31/03/2019	Signature Event Grant Funding round opened in February and closes on 31st March 2019
1.2.1.2 As per action 1.2.1.1 Strategy developed for Tom Price, Paraburdoo and Pannawonica through RTIO Partnership. Opportunity to revise and incorporate Onslow.	9 Onslow Rodeo	Director Community Services	\$ 10,000	\$ 10,000	COMPLETED	1/02/2019	31/03/2019	Signature Event Grant Funding round opened in February and closes on 31st March 2019
1.2.3.1 Collaborate with partners, key stakeholders and other organisations where appropriate	11 Collaborate with industry to encourage FIFO participation in their host communities through a concerted campaign to increase engagement in community activities; leisure and recreation pursuits	Director Community Services			NOT COMMENCED			Action from CBP - no financial allocation this FY, focus for 19/20 budget
1.3.1.3 Develop child care facilities in Tom Price	36 Develop child care facilities in Tom Price-Construction pending funding	Director Community Services	\$ 5,100,000	\$ 260,151	IN PROGRESS	1/08/2018	30/06/2019	Completed concepts design and cost estimate Business Case was presented to Council in December 2018. Project pending funding.
1.4.3.1 Continue to work collaboratively with the community to deliver town events	42 General Events	Director Community Services	\$ 29,000	\$ 13,883	IN PROGRESS	1/07/2018	30/06/2019	Freestyle Now Skating Event was held in Tom Price and Paraburdoo and was collaborated with local youth groups. Country Arts presented "A Boy Named Cash" and "Great Danes" across the Shire.
1.4.3.1 Continue to work collaboratively with the community to deliver town events	43 Australia Day	Director Community Services	\$ 11,000	\$ 3,678	COMPLETED	1/01/2019	26/01/2019	Australia Day events were held at all Shire town pools. Citizen of the Year, and Sports Star awards were presented
1.4.3.1 Continue to work collaboratively with the community to deliver town events	44 School holiday program (East)	Director Community Services	\$ 94,153	\$ 55,269	IN PROGRESS	1/07/2018	30/06/2019	April School Holiday Programs are being planned for Onslow
1.4.3.1 Continue to work collaboratively with the community to deliver town events	45 Anzac Day	Director Community Services	\$ 13,000		IN PROGRESS	1/03/2019	30/04/2019	Planning for Anzac Day across the Shire is underway
1.4.3.1 Continue to work collaboratively with the community to deliver town events	46 Nameless Festival	Director Community Services	\$ 150,000	\$ 60,064	IN PROGRESS	1/07/2018	30/06/2019	Nameless Festival held in August the committee is in the planning phase for 2019
1.4.3.1 Continue to work collaboratively with the community to deliver town events	47 Passion of the Pilbara	Director Community Services	\$ 170,000	\$ 896	IN PROGRESS	1/01/2019	30/06/2019	RFT closed March OCM for award
1.4.3.1 Continue to work collaboratively with the community to deliver town events	48 Australia Day (West)	Director Community Services	\$ 8,000	\$ 10,280	COMPLETED	1/07/2018	30/06/2019	Australia Day events were held at all Shire town pools. Citizen of the Year, and Sports Star awards were presented
1.4.3.1 Continue to work collaboratively with the community to deliver town events	49 Christmas Celebrations	Director Community Services	\$ 17,000	\$ 15,905	COMPLETED	1/11/2018	31/12/2018	The Shire collaborated with Karingal and the Combined Churches to host a town Christmas party in Paraburdoo. Christmas Carols and Christmas Light Competition and tours were held.
1.4.3.1 Continue to work collaboratively with the community to deliver town events	50 Community Concerts	Director Community Services	\$ 22,000	\$ 11,068	IN PROGRESS	1/07/2018	30/06/2019	Onslow hosted a number of Community Events including "A Boy Named Cash", Kevin Bloody Wilson and bands. Movie nights were also presented
1.4.3.1 Continue to work collaboratively with the community to deliver town events	51 School Holiday Activities (West)	Director Community Services	\$ 20,000	\$ 19,180	IN PROGRESS	1/07/2018	30/06/2019	April School Holiday Programs are being planned for Pannawonica, Paraburdoo and Tom Price
1.4.3.1 Continue to work collaboratively with the community to deliver town events	52 Onslow Keepers	Director Community Services	\$ 8,000	\$ 7,948	IN PROGRESS	1/07/2018	30/06/2019	Onslow Keepers events are well received and held monthly
1.4.3.1 Continue to work collaboratively with the community to deliver town events	53 Cultural Community Development	Director Community Services	\$ 25,000	\$ 24,111	COMPLETED	1/07/2018	1/01/2019	Animal Ark, VSwan Holiday Music Progra, Bangarang Dance were all held in Onslow
1.4.3.1 Continue to work collaboratively with the community to deliver town events	54 Annual Onslow Gala Ball	Director Community Services	\$ 40,000	\$ 32,612	COMPLETED	1/10/2018	31/10/2018	Onslow Gala was held in October 2018 and attended by 150 people
1.4.4.1 As per Action 1.4.2.1 Develop and deliver a whole of Shire Cultural Plan	55 Shire Contribution (Onslow Basketball Activities)	Director Community Services	\$ 5,000		NOT COMMENCED			Acquitted in the 17/18 budget
5 Property & Development Services (83)								
1.2.4.1 Seek to deliver community facility services and outcomes within resource capacity	12 Pannawonica Community Bus	Manager Facilities	\$ 100,000		IN PROGRESS	1/10/2018	28/03/2019	Project will commence once Rio Tinto provides a go-ahead. Provided dates are tentative at this point.
1.2.4.2 Provide community facilities as per asset management planning	13 Gym and Bowls Club Roof Work in Tom Price	Manager Facilities	\$ 4,865	\$ 4,865	COMPLETED	1/10/2018	30/11/2018	Project completed.

Actions	Project Code	Project Manager	Budget FY	Committed Expenditure	Status	Start	End	Comments (FINAL)
1.2.4.2 Provide community facilities as per asset management planning	14 MPC Emergency Evacuation Centre upgrade	Manager Facilities	\$ 47,000		IN PROGRESS	1/01/2019	30/06/2019	RFQ for Engineering Services awarded to PJ Wright, who will be onsite on 10/11 December 2018. Report recieved, RFQ for works required being prepared
1.2.4.2 Provide community facilities as per asset management planning	15 Repairs to Indoor Cricket Nets - Tom Price	Manager Facilities	\$ 100,000		IN PROGRESS	1/01/2019	28/06/2019	Golf Shed Complete
1.2.4.2 Provide community facilities as per asset management planning	16 Sports Club Upgrade in Onslow	Manager Facilities	\$ 1,604,441	\$ 1,612,596	COMPLETED	1/08/2018	31/12/2018	Project complete - Invoices to follow.
1.2.4.2 Provide community facilities as per asset management planning	17 Water Supply Pumps at MPC	Manager Facilities	\$ 14,500	\$ 4,025	IN PROGRESS	1/10/2018	28/02/2019	Currently scoping for RFQ for Engineering Services. Awarded to PJ Wright onsite 10/11 December. Report recieved, RFQ for works being prepared.
1.2.4.2 Provide community facilities as per asset management planning	18 Water Tank at Community Garden in Onslow	Manager Facilities	\$ 22,000	\$ 9,060	COMPLETED	30/11/2018	12/12/2018	Completed
1.2.4.2 Provide community facilities as per asset management planning	19 Community Hire Trailer for Pannawonica	Manager Facilities	\$ 20,000		IN PROGRESS		28/03/2019	Part of Pannawonica Projects under evaluation.
1.2.4.2 Provide community facilities as per asset management planning	203 Distribution Board renewal - Lot 811 Ashburton Ave Paraburdoo	Development Specialist	\$ 45,000	\$ 89,541	COMPLETED	15/01/2019	28/02/2019	Works completed. Final invoice recieved 27/02/2019
1.2.4.2 Provide community facilities as per asset management planning	204 Water Tank at MPC	Manager Facilities	\$ 80,000		IN PROGRESS	1/10/2018	31/03/2019	Currently scoping for RFQ for Engineering Services. Awarded to PJ Wright onsite 10/11 December. Report recieved, RFQ for works being prepared.
1.2.4.2 Provide community facilities as per asset management planning	206 Town Centre Upgrade Works	Manager Facilities	\$ 60,000		NOT COMMENCED			Approved at November 2018 OCM.
1.2.4.2 Provide community facilities as per asset management planning	23 Vic Hayton Pool Retiling & Resurfacing	Pool Manager - Tom Price	\$ 120,000		OFF TRACK	1/05/2019	31/05/2019	Project deferred to next year in May 2019, after the Pool Season.
1.3.1.2 Provision of aged care services and housing	25 Senior Citizen Unit 1	Manager Facilities	\$ 5,610		COMPLETED			Project Complete
1.3.1.2 Provision of aged care services and housing	26 Senior Citizen Unit 2	Manager Facilities	\$ 5,610	\$ 2,569	COMPLETED			Project Complete
1.3.1.2 Provision of aged care services and housing	27 Senior Citizen Unit 3	Manager Facilities	\$ 5,610		COMPLETED			Project Complete
1.3.1.2 Provision of aged care services and housing	28 Senior Citizen Unit 4	Manager Facilities	\$ 5,610	\$ 318	COMPLETED			Project Complete
1.3.1.2 Provision of aged care services and housing	29 Senior Citizen Unit 5	Manager Facilities	\$ 5,610	\$ 3,349	COMPLETED			Project Complete
1.3.1.2 Provision of aged care services and housing	30 Senior Citizen Unit 1	Manager Facilities	\$ 4,983	\$ 1,468	COMPLETED			Project Complete
1.3.1.2 Provision of aged care services and housing	31 Senior Citizen Unit 2	Manager Facilities	\$ 6,006	\$ 3,715	COMPLETED			Project Complete
1.3.1.2 Provision of aged care services and housing	32 Senior Citizen Unit 3	Manager Facilities	\$ 3,759	\$ 1,363	COMPLETED			Project Complete
1.3.1.2 Provision of aged care services and housing	33 Senior Citizen Unit 4	Manager Facilities	\$ 2,892	\$ 1,346	COMPLETED			Project Complete
1.3.1.2 Provision of aged care services and housing	34 Senior Citizen Unit 5	Manager Facilities	\$ 2,943	\$ 1,302	COMPLETED			Project Complete
1.3.1.3 Develop child care facilities in Tom Price	37 Residential Land Dev. Subdivision and Survey - Tom Price	Development Specialist	\$ 20,000		IN PROGRESS	15/01/2019	31/05/2019	Development application lodged to WAPC 19/02/2019
1.3.1.4 Construction of the Paraburdoo CHUB	38 Paraburdoo Community Hub	Manager Facilities	\$ 9,528,914	\$ 6,331,586	IN PROGRESS	1/07/2018	31/03/2019	Lesser Hall and Outdoor Sport Courts completed. Multi-Purpose and Neighbourhood Centres delayed until the 14/12/2018 with early handover of the gym slated for 7 December 2018. Soft Diamond Net and Club Rooms have not commenced yet.
1.4.1.1 Encourage and support community involvement with and appreciation of, arts and culture	40 Goods Shed upgrade in Onslow - Scope and Design	Manager Facilities	\$ 120,000	\$ 1,800	IN PROGRESS	15/01/2019	31/03/2019	Works awarded install week 2/12/2018. Scope being worked on for RFQ
2.1.4.1 Facilitate timely release of land to support the local economy	60 Tom Price Industrial Land - Planning	Development Specialist	\$ 135,000		OFF TRACK	15/01/2019	30/06/2019	Awaiting comment from RTIO regarding excision of portion of railway corridor to allow Intersection of Boonderoo South & Mine Road to be constructed to MRWA specification.
2.3.2.1 Continue to plan for, invest in, and advocate for the development of key tourist infrastructure in accordance with Tourism Strategy	64 Old Onslow Conservation and Tourism Activation	Development Specialist	\$ 418,822	\$ 162,134	IN PROGRESS	1/08/2018	31/05/2019	Old Onslow Conservation Strategy and Associated Works, Plan for Heritage Street Sign, Plan for appropriate Parking around Old Police etc. all in progress.
2.3.2.1 Continue to plan for, invest in, and advocate for the development of key tourist infrastructure in accordance with Tourism Strategy	65 Tom Price Tourist Bay Upgrade	Manager Facilities	\$ 478,600	\$ 10,239	NOT COMMENCED	1/10/2018		Project plans reviewed with the Director of Infrastructure & Manager Rural Roads. This Project ties in with Asphalt resealing Program.
2.3.4.1 Plan for improved tourism accommodation, camping grounds and associated facilities in accordance with Tourism Strategy	68 Caravan Park Upgrade in Pannawonica	Manager Facilities	\$ 25,000	\$ 688	OFF TRACK	15/01/2018	30/06/2019	Project to procure and install a Washer & a Dryer. Continued dialogue with Cr. Gallanagh.
2.3.4.1 Plan for improved tourism accommodation, camping grounds and associated facilities in accordance with Tourism Strategy	69 Water Line Replacements for Ocean View Caravan Park	Development Specialist	\$ 80,000	\$ 157	IN PROGRESS	15/01/2019	30/06/2019	Quotations recieved. Evaluation to be completed by 11 March for engagement of the preferred supplier
3.1.2.1 Improve recreational access to natural environments with a focus on signage, access and safety	72 Electronic Fire Danger Index Signs	Manager Community Safety	\$ 64,020		IN PROGRESS	31/01/2019	31/03/2019	Quotes have been received for the Electronic Danger Signs. Sourced supplier to supply signs, Locations identified, local contractors to be engaged on installation on arrival of signs.
3.1.2.1 Improve recreational access to natural environments with a focus on signage, access and safety	73 Ian Blair Boardwalk Signage	Manager Facilities	\$ 146,116	\$ 43,320	IN PROGRESS	1/11/2018	31/03/2019	Signage from Creative Design has arrived. RFQ being prepared for install of signs.
4.1.2.1 Provide and maintain infrastructure in accordance with asset management plans	101 Paraburdoo Chook and Dog Yard upgrade	Director Property & Development Services	\$ 9,550	\$ 17,512	COMPLETED	15/07/2018	27/02/2019	Project Completed

Actions	Project Code	Project Manager	Budget FY	Committed Expenditure	Status		Start	End	Comments (FINAL)
4.1.2.1 Provide and maintain infrastructure in accordance with asset management plans	88 Depot Refurbishment in Onslow	Manager Facilities	\$ 467,180	\$ 29,254	IN PROGRESS	●		31/03/2019	Currently on hold to be incorporated into depot Master Plans. RFQ 60.18 awarded to Talis Consultants for master plan, new layout, buildings, storage areas etc. In progress
4.1.2.1 Provide and maintain infrastructure in accordance with asset management plans	91 Shopping Mall Car Park in Paraburdoo - additional shade Structure	Manager Facilities	\$ 95,531	\$ 108,061	IN PROGRESS	●	1/10/2018	31/03/2019	Tender awarded, Budget Variation approved in September 2018 for supplementary funds to progress the project.
4.1.2.1 Provide and maintain infrastructure in accordance with asset management plans	92 Satellite Dish TV Compound in Onslow	Manager Facilities	\$ 36,000	\$ 30,896	COMPLETED	●	31/10/2018	31/12/2018	Project Complete
4.1.2.1 Provide and maintain infrastructure in accordance with asset management plans	93 Street Banner Structures Change for Tom Price Central Road	Manager Facilities	\$ 15,000	\$ 16,789	IN PROGRESS	●	1/09/2018	31/12/2018	RFQ awarded to Byblos install to be confirmed.
4.1.2.1 Provide and maintain infrastructure in accordance with asset management plans	94 I Mop Commercial Scrubber - Tom Price	Manager Facilities	\$ 9,382	\$ 9,190	COMPLETED	●	1/09/2018	31/10/2018	Project Complete
4.1.2.1 Provide and maintain infrastructure in accordance with asset management plans	95 I Mop Commercial Scrubber - Paraburdoo	Manager Facilities	\$ 9,382	\$ 9,190	COMPLETED	●	1/09/2018	31/10/2018	Project Complete
4.1.2.1 Provide and maintain infrastructure in accordance with asset management plans	96 I Mop Commercial Scrubber - Onslow	Manager Facilities	\$ 9,382	\$ 9,504	COMPLETED	●	1/09/2018	31/10/2018	Project complete - Invoices to follow.
4.1.2.1 Provide and maintain infrastructure in accordance with asset management plans	97 Washer & Trailer	Manager Facilities	\$ 9,845	\$ 8,925	COMPLETED	●	1/09/2018	15/10/2018	Project Complete
4.1.2.1 Provide and maintain infrastructure in accordance with asset management plans	98 Playground in Onslow	Manager Facilities	\$ 311,095	\$ 311,095	COMPLETED	●	1/08/2018	31/10/2018	Project complete.
4.1.2.1 Provide and maintain infrastructure in accordance with asset management plans	99 Shade Sails at Water Spray Park in Onslow	Manager Facilities	\$ 16,355	\$ 16,370	COMPLETED	●	1/08/2018	31/10/2018	Project Complete
4.2.4.1 Continue to work with police, stakeholders and the community to promote positive crime prevention and safety initiatives	141 CCTV Onslow	Manager Facilities	\$ 6,000	\$ 9,298	COMPLETED	●		28/02/2019	Project Complete
4.2.5.1 Continue to effectively communicate emergency management plans and educate stakeholders and community on how to prevent and address emergencies	142 Works Prog/Fire Breaks-Clearing	Manager Community Safety	\$ 27,500	\$ 14,454	COMPLETED	●		30/11/2018	Project Complete
4.2.5.1 Continue to effectively communicate emergency management plans and educate stakeholders and community on how to prevent and address emergencies	143 Works Prog/Fire Fighting	Manager Community Safety	\$ 17,200	\$ 2,573	IN PROGRESS	●		30/06/2019	Ongoing fire break program
4.2.5.1 Continue to effectively communicate emergency management plans and educate stakeholders and community on how to prevent and address emergencies	144 BFB Tom Price Lease Maintenance	Manager Community Safety	\$ 3,800	\$ 1,290	IN PROGRESS	●		31/03/2019	No Issues, Building not included on annual aircon maintenance audit.
4.2.5.1 Continue to effectively communicate emergency management plans and educate stakeholders and community on how to prevent and address emergencies	145 SES Tom Price Lease Maintenance	Manager Community Safety	\$ 2,400	\$ 1,443	IN PROGRESS	●		31/03/2019	New gates to be installed in 2 weeks. Building not included on annual aircon maintenance audit
4.2.5.2 Development of Emergency Services Precinct in Tom Price	146 Dome Shelter for Bush Fire Brigade Vehicles	Manager Community Safety	\$ 21,806	\$ 12,500	COMPLETED	●	1/07/2018	15/01/2019	First part of the Project was completed. An RFQ is underway for Power out of the remaining funds.
4.2.5.2 Development of Emergency Services Precinct in Tom Price	147 Tom Price Emergency Services Land Lot 400 - Fire & Emergency Services Authority	Development Specialist	\$ 20,000		IN PROGRESS	●	15/01/2019	31/05/2019	Commenced with Project 37 - portion for colocation facility identified in TP Childcare Centre Project and excised from Residential Land above.
4.3.1.1 Continue to monitor industry and economic trends and ensure town planning schemes respond appropriately to future housing, accommodation and commercial needs	149 Local Planning Strategy	Principal Town Planner	\$ 38,932	\$ 18,320	OFF TRACK	●		31/03/2019	Revisions continuing
4.3.2.1 Continue to ensure any new buildings and developments are sensitive to, and integrate appropriately with the natural and built environments	150 Consultancy	Principal Town Planner	\$ 100,000	\$ 123,442	IN PROGRESS	●	1/07/2018	30/06/2019	Coastal Process Study with UWA, Consultant Planner to cover leave for Principal Town Planner.
4.3.3.1 Consider social planning and ecological sustainable development principles in planning strategies and policies	151 Salaries	Senior Planner	\$ 261,291	\$ 175,734	IN PROGRESS	●	1/07/2018	30/06/2019	Salary allocation for Principal Town Planner to meet Action 4.3.3.1
4.3.4.1 Continue to provide and maintain a range of public open spaces in accordance with asset management plans	152 Disc Golf Paraburdoo	Manager Facilities	\$ 18,318	\$ 18,475	COMPLETED	●	1/10/2018	31/12/2018	RFQ 58.18 works completed December 2018
4.3.4.1 Continue to provide and maintain a range of public open spaces in accordance with asset management plans	153 BBQ at Doug Talbot Park Tom Price	Manager Facilities	\$ 12,043	\$ 12,043	COMPLETED	●	1/08/2018	31/08/2018	Project Complete
4.3.4.1 Continue to provide and maintain a range of public open spaces in accordance with asset management plans	156 Mountain Bike track - scope of works	Manager Facilities	\$ 105,000		OFF TRACK	●	1/11/2018	31/03/2019	Project will commence pending Funding approval from Rio Tinto (previous underspend).
4.3.4.1 Continue to provide and maintain a range of public open spaces in accordance with asset management plans	197 Paraburdoo Dog Exercise yard	Manager Facilities	\$ 100,000		NOT COMMENCED	●		30/06/2019	Not yet commenced - discussion March 2019
4.3.4.1 Continue to provide and maintain a range of public open spaces in accordance with asset management plans	205 Disc Golf in Tom Price	Manager Facilities	\$ 3,975	\$ 3,975	COMPLETED	●	1/10/2018	31/12/2018	Project Complete
5.3.1.3 Continue to provide quality regulatory services	172 Salaries for PDS	Director Property & Development Services	\$ 421,873	\$ 319,595	IN PROGRESS	●	1/07/2018	30/06/2019	Salary allocation for Director PDS to achieve Action 5.3.1.3
5.4.2.1 Promote an innovative and engaging corporate culture underpinned by the organisation's vision	180 Admin Building Balustrade and Hand rail in Onslow	Manager Facilities	\$ 10,000		IN PROGRESS	●	1/12/2018	31/03/2019	Project is at a planning stage, establishing scope of works etc.
5.4.2.1 Promote an innovative and engaging corporate culture underpinned by the organisation's vision	181 Tom Price Admin Building Reception security area upgrade	Manager Facilities	\$ 82,654	\$ 24,789	IN PROGRESS	●	1/12/2018	31/03/2019	Components of the Project being sourced e.g. CCTV Cameras have been ordered.

Actions	Project Code	Project Manager	Budget FY	Committed Expenditure	Status	Start	End	Comments (FINAL)
5.4.2.1 Promote an innovative and engaging corporate culture underpinned by the organisation's vision	185 Staff - New housing Stock	Director Property & Development Services	\$ 600,000	\$ 23,382	IN PROGRESS	1/10/2018	30/06/2019	Progressing, with the purchase of Lot 46, South Road, Tom Price, underway.
5.4.2.1 Promote an innovative and engaging corporate culture underpinned by the organisation's vision	186 Staff - Housing Refurbishments	Director Property & Development Services	\$ 1,175,000	\$ 696,466	IN PROGRESS	1/09/2018	31/03/2019	RFT 07/18 for Refurbishment works awarded at July 2018 OCM and works progressing.
2 Corporate Services (15)								
1.2.4.2 Provide community facilities as per asset management planning	20 Photocopier for Visitor Centre in Onslow	IT Specialist	\$ 9,796	\$ 9,796	COMPLETED	1/08/2018	30/09/2018	Project completed Photocopier purchased and installed.
2.3.5.1 As per action 1.1.1.1 Develop communication and engagement strategy	70 ICT Software - Online Booking System	IT Specialist	\$ 10,000	\$ 6,897	IN PROGRESS	10/08/2018	30/06/2019	Booking System installed, Staff trained, but not currently not yet in use.
5.3.1.3 Continue to provide quality regulatory services	214 Records Scanner Unit - Tom Price	IT Specialist	\$ 30,000		NOT COMMENCED	1/03/2019	30/06/2019	Project under review
5.4.1.3 Implement strategies with Workforce Plan	194 ICT Software - e Learning System (includes e-learning and analytics)	IT Specialist	\$ 48,959		OFF TRACK	1/01/2019	30/04/2019	RFQ re-advertised currently reviewing responses
5.4.1.3 Implement strategies with Workforce Plan	196 ICT Software - Training Management System	IT Specialist	\$ 55,955		OFF TRACK	1/01/2019	30/04/2019	RFQ re-advertised currently reviewing responses
5.4.2.1 Promote an innovative and engaging corporate culture underpinned by the organisation's vision	182 ICT Hardware - Desktops	IT Specialist	\$ 19,000	\$ 18,568	COMPLETED	1/09/2018	30/11/2018	Project Completed
5.4.2.1 Promote an innovative and engaging corporate culture underpinned by the organisation's vision	183 ICT Hardware - Laptops	IT Specialist	\$ 40,000	\$ 37,900	COMPLETED	1/11/2018	28/02/2019	Project Completed
5.4.2.1 Promote an innovative and engaging corporate culture underpinned by the organisation's vision	184 ICT Software - AIMS SharePoint Upgrade	Manager Finance	\$ 28,842	\$ 5,963	IN PROGRESS	1/10/2018	31/03/2019	SQL Server and SharePoint installed. Still testing migration
5.4.2.1 Promote an innovative and engaging corporate culture underpinned by the organisation's vision	193 ICT Software - Com. Dev. Events Management Program	IT Specialist	\$ 15,000		NOT COMMENCED	1/12/2018	31/03/2019	Project deferred to March 2019 due to operational issues.
5.4.2.1 Promote an innovative and engaging corporate culture underpinned by the organisation's vision	195 ICT Software - Safety Management System	IT Specialist	\$ 55,955	\$ 606	OFF TRACK	1/01/2019	30/04/2019	RFQ re-advertised currently reviewing responses
3 Infrastructure Services (80)								
1.2.4.2 Provide community facilities as per asset management planning	21 Basketball and Netball Courts Posts / Rings in Tom Price	Manager Operations East	\$ 37,000	\$ 35,350	COMPLETED	1/07/2018	31/07/2018	Complete
1.2.4.2 Provide community facilities as per asset management planning	22 Basketball and Netball Courts Resurface and Repairs in Tom Price	Manager Operations East	\$ 53,735	\$ 53,735	COMPLETED	1/07/2018	31/07/2018	Complete
2.3.2.1 Continue to plan for, invest in, and advocate for the development of key tourist infrastructure in accordance with Tourism Strategy	66 Paraburdoo Information Bay - Driveway Entry	Manager Operations East	\$ 1,350	\$ 1,350	COMPLETED	1/08/2018	1/08/2018	Complete
3.1.2.1 Improve recreational access to natural environments with a focus on signage, access and safety	74 Electronic Variable Message Signs	Manager Rural Roads & Operations West	\$ 25,813	\$ 22,676	IN PROGRESS	5/12/2018	1/03/2019	Contractor setting up signs in the workshop, installation to take place late February
3.2.2.1 Collaborate with stakeholders to promote water-wise practices across the Shire	76 Irrigation Renewal in Paraburdoo	Technical Officer - Tom Price	\$ 242,408	\$ 150,282	IN PROGRESS	31/01/2019	1/04/2019	Project 75% complete. System is partially operational, liaising with project stakeholders to finalise the works
3.2.3.1 Encourage and implement improved waste minimisation practices, including proactive approaches to recycling and reuse	77 Alternate Daily Cover Landfill site in Paraburdoo	Manager Waste	\$ 100,000		NOT COMMENCED			Project on hold, looking into alternative projects to better benefit the site
3.2.3.1 Encourage and implement improved waste minimisation practices, including proactive approaches to recycling and reuse	78 Alternate Daily Cover Landfill site in Tom Price	Manager Waste	\$ 100,000		NOT COMMENCED			Project on hold, looking into alternative projects to better benefit the site
3.2.3.1 Encourage and implement improved waste minimisation practices, including proactive approaches to recycling and reuse	79 Groundwater monitoring Bores at Tom Price Waste Site	Manager Waste	\$ 30,000		IN PROGRESS	1/12/2018	15/02/2019	Scope of Works, RFQ 60% done.
3.2.3.1 Encourage and implement improved waste minimisation practices, including proactive approaches to recycling and reuse	80 Tip Closure Onslow Landfill	Technical Officer - Onslow	\$ 887,723	\$ 471	IN PROGRESS	15/01/2019	15/03/2019	Investigating vegetation options and the water re-use supply - Vegetation plan
3.2.3.1 Encourage and implement improved waste minimisation practices, including proactive approaches to recycling and reuse	81 Generators for Waste sites in Tom Price	Manager Fleet	\$ 15,000	\$ 15,247	COMPLETED	7/08/2018	30/10/2018	Project complete, Generators received.
3.2.3.1 Encourage and implement improved waste minimisation practices, including proactive approaches to recycling and reuse	82 Generators for Waste sites in Paraburdoo	Manager Fleet	\$ 15,000	\$ 14,990	COMPLETED	7/08/2018	30/10/2018	Project complete, Generators received.
3.2.3.2 Development of Pilbara Regional Waste Management Facility	83 Pilbara Regional Waste Management Facility (Onslow) -Pre-Construction GEN	Director Infrastructure Services	\$ 732,610	\$ 343,381	IN PROGRESS	1/07/2018	31/07/2019	Milestone 4 submitted. Letter of variation sent to DIRDC. Remove agreements for Key Waste Generators and add in new activity at Milestone 11 Contract of Operation in place. Awaiting approval sign off from DWER expected by April 2019. Detailed Design Scope of Works completed by Talis 13/02/19.
3.2.3.2 Development of Pilbara Regional Waste Management Facility	84 Pilbara Regional Waste Management Facility (Onslow) - Construction GEN	Director Infrastructure Services	\$ 10,869,938		IN PROGRESS	1/08/2019	31/12/2019	Construction not scheduled to begin until August 2019. Construction documentation to be finalised by April 2019.
4.1.2.1 Provide and maintain infrastructure in accordance with asset management plans	100 Drainage Renewals	Manager Rural Roads & Operations West	\$ 456,900	\$ 87,980	IN PROGRESS	14/01/2019	30/06/2019	Onslow HP Jetting complete drainage remediation study in progress. TP & Para RFQ's to be sent out in March

Actions	Project Code	Project Manager	Budget FY	Committed Expenditure	Status	Start	End	Comments (FINAL)
4.1.2.1 Provide and maintain infrastructure in accordance with asset management plans	199 Depot Fencing Renewal in Onslow	Technical Officer - Onslow	\$ 32,820	\$ 32,820	COMPLETED	1/08/2018	31/08/2018	Completed
4.1.2.1 Provide and maintain infrastructure in accordance with asset management plans	202 Stormwater collection and drainage unit for Tom Price Depot	Technical Officer - Tom Price	\$ 130,000	\$ 292	OFF TRACK			Project shelved due to no legal requirements for the system.
4.1.2.1 Provide and maintain infrastructure in accordance with asset management plans	209 Central & Bauhinia Street Drainage - Tom Price	Technical Officer - Tom Price	\$ 456,900	\$ 87,980	IN PROGRESS	1/12/2018	30/06/2019	New drainage works, RFQ to be completed
4.1.2.1 Provide and maintain infrastructure in accordance with asset management plans	210 Tom Price Drainage Jetting	Technical Officer - Tom Price	\$ 190,139	\$ 41,325	IN PROGRESS	15/02/2019	30/06/2019	Jetting of current drainage, RFQ to be completed
4.1.2.1 Provide and maintain infrastructure in accordance with asset management plans	211 Paraburdoo Drainage Jetting	Technical Officer - Tom Price	\$ 133,334	\$ 3,748	IN PROGRESS	15/02/2019	30/06/2019	Jetting of current drainage, RFQ to be completed
4.1.2.1 Provide and maintain infrastructure in accordance with asset management plans	89 Car Park Renewals - Tom Price & Onslow	Manager Rural Roads & Operations West	\$ 67,480	\$ 8,828	IN PROGRESS	11/03/2019	29/03/2019	Asset data received SOW being reviewed for the final program. Plan to be formulated from data
4.1.2.1 Provide and maintain infrastructure in accordance with asset management plans	90 Rear Car Park Crossover - Paraburdoo Shops	Technical Officer - Tom Price	\$ 11,000	\$ 6,944	IN PROGRESS	9/09/2018	30/06/2019	Temporary measures completed. New concept for works drafted, awaiting approval
4.1.4.1 As per Action 4.1.2.1 Provide and maintain infrastructure in accordance with asset management plans	207 Hanger Construction - Onslow Airport	Manager Airport	\$ 35,390	\$ 35,390	COMPLETED			Completed 17/18 FY however carry over of invoices and payments only.
4.2.1.3 Maintain and improve road infrastructure in accordance with asset management plans	107 Construction and installation of Cattle Grids	Manager Rural Roads & Operations West	\$ 67,000	\$ 54,300	IN PROGRESS	1/02/2019	1/03/2019	Grids have arrived, installation dates to be advised
4.2.1.3 Maintain and improve road infrastructure in accordance with asset management plans	108 Depot Boom Gates in Onslow	Technical Officer - Onslow	\$ 70,000		OFF TRACK			project on hold to be incorporated in to Depot Master Plans.
4.2.1.3 Maintain and improve road infrastructure in accordance with asset management plans	109 Floodway Renewal Program	Manager Rural Roads & Operations West	\$ 498,000		IN PROGRESS	1/03/2019	1/06/2019	Various floodways to be stabilised during maintenance grading. Uaroo, Peedamulla & Ashburton Downs Road
4.2.1.3 Maintain and improve road infrastructure in accordance with asset management plans	110 Road Renewals - Pannawonica Millstream Rd	Manager Rural Roads & Operations West	\$ 950,000	\$ 263,659	IN PROGRESS	1/10/2018	30/06/2019	Finalisation of SOW, SOA Construction crews to complete
4.2.1.3 Maintain and improve road infrastructure in accordance with asset management plans	111 Road Renewals - Pannawonica Millstream Rd (RRG 18/19 Funding)	Manager Rural Roads & Operations West	\$ 687,745	\$ 19,020	IN PROGRESS	1/01/2019	28/02/2019	Finalisation of SOW, SOA Construction crews to complete
4.2.1.3 Maintain and improve road infrastructure in accordance with asset management plans	112 Road Renewals - R2R - Twitchen Rd (Centre sections)	Manager Rural Roads & Operations West	\$ 1,252,055	\$ 444,449	IN PROGRESS	3/09/2018	30/06/2019	Reviewing resourcing requirement for Shire crews to do the work to ensure we spend the R2R money by the end of financial year.
4.2.1.3 Maintain and improve road infrastructure in accordance with asset management plans	113 Road Renewals - R2R - Twitchen Rd (North and South ends)(R2R funds received in 17/18)	Manager Rural Roads & Operations West	\$ 1,440,000	\$ 1,812,123	COMPLETED	3/09/2018	21/12/2018	Completed
4.2.1.3 Maintain and improve road infrastructure in accordance with asset management plans	114 Road Renewals - Roebourne Wittenoom Rd	Manager Rural Roads & Operations West	\$ 405	\$ 405	IN PROGRESS	1/03/2019		Change variation agreement sent to NTC to commence works on Peedamulla Road in March
4.2.1.3 Maintain and improve road infrastructure in accordance with asset management plans	115 Road Renewals - RRG - Ashburton Downs Meekatharra Rd (RRG 18/19 funding)	Manager Rural Roads & Operations West	\$ 687,745	\$ 4,255	IN PROGRESS	1/04/2019	1/05/2019	Scope of works to be completed, construction to commence in May 2019
4.2.1.3 Maintain and improve road infrastructure in accordance with asset management plans	116 Road Renewals - RRG - Pannawonica Millstream Rd (RRG 16/17/18 balance Funding)	Manager Rural Roads & Operations West	\$ 1,757,186	\$ 91,337	IN PROGRESS	1/04/2019	25/05/2019	Finalisation of scope of works, SOA Construction crew to complete
4.2.1.3 Maintain and improve road infrastructure in accordance with asset management plans	117 Sealed Road Renewals (Identified Roads To be confirmed)	Manager Rural Roads & Operations West	\$ 850,000	\$ 586,508	IN PROGRESS	4/03/2019	31/03/2019	Resealing program approved with modified scope of works, contractor to commence program mid March
4.2.1.3 Maintain and improve road infrastructure in accordance with asset management plans	118 Unsealed Rural Road Re-sheeting Program	Manager Rural Roads & Operations West	\$ 616,437	\$ 317,970	IN PROGRESS	1/07/2018	1/06/2019	Various sections of roads to be resheeted, during maintenance grading. Program to include Twitchen, Peedamulla & Glenflourie roads
4.2.1.3 Maintain and improve road infrastructure in accordance with asset management plans	119 WA Natural Disaster & Recovery Arrangements (WANDRRA) AGRN: 743	Manager Rural Roads & Operations West	\$ 9,408,106	\$ 7,692,195	IN PROGRESS	1/07/2018	30/04/2019	Program on schedule, works on Red Hill Road and Ashburton Downs Road
4.2.1.3 Maintain and improve road infrastructure in accordance with asset management plans	120 WA Natural Disaster & Recovery Arrangements (WANDRRA) AGRN: 781	Manager Rural Roads & Operations West	\$ 5,517,671	\$ 48,100	IN PROGRESS	1/04/2019	30/11/2019	Scope of Works with MRWA for final approval.
4.2.1.3 Maintain and improve road infrastructure in accordance with asset management plans	121 Dual Cab Tray Back Ute 4x4 for Road Crew	Manager Fleet	\$ 62,494	\$ 64,390	COMPLETED	1/08/2018	15/10/2018	Completed
4.2.1.3 Maintain and improve road infrastructure in accordance with asset management plans	122 Generators for Road Crews	Manager Fleet	\$ 30,000	\$ 31,980	COMPLETED	7/08/2018	30/10/2018	Completed
4.2.1.3 Maintain and improve road infrastructure in accordance with asset management plans	123 Multipurpose Plant Trailer	Manager Fleet	\$ 22,000	\$ 24,775	COMPLETED	1/11/2018	31/01/2019	Completed
4.2.1.3 Maintain and improve road infrastructure in accordance with asset management plans	124 Multi Tyre Road Roller	Manager Fleet	\$ 155,000	\$ 155,000	COMPLETED	7/08/2018	15/11/2018	Completed
4.2.1.3 Maintain and improve road infrastructure in accordance with asset management plans	125 Plant Replacement Program	Manager Fleet	\$ 1,234,250	\$ 948,235	IN PROGRESS	15/10/2018	30/06/2019	Multiple purchases made throughout the year are on track.
4.2.1.3 Maintain and improve road infrastructure in accordance with asset management plans	126 Tandem (Accommodation) Service Dog Trailer for Road Crew	Manager Fleet	\$ 160,000	\$ 133,728	IN PROGRESS	15/10/2018	31/03/2019	RFQ 12.18 uploaded to Tenderlink 10 November 2018, delivery expected in March 2019.
4.2.1.3 Maintain and improve road infrastructure in accordance with asset management plans	127 Truck Hoist - Tom Price	Manager Fleet	\$ 42,557	\$ 42,557	COMPLETED	22/08/2018	15/11/2018	Completed
4.2.1.3 Maintain and improve road infrastructure in accordance with asset management plans	200 Mine Road, Tom Price (Blackspot Funding 18/19)	Manager Rural Roads & Operations West	\$ 400,689		IN PROGRESS	1/03/2019	30/04/2019	Funding approval received, preparing RFT & scope of works, pavement stabilisation options. RIO section under review by Management, awaiting a respons from RIO Business Services for their section of Mine Road.
4.2.1.3 Maintain and improve road infrastructure in accordance with asset management plans	215 Road Renewals - Peedamulla Road (NTC - SOA funded)	Manager Rural Roads & Operations West	\$ 1,471,560		IN PROGRESS	1/02/2019	30/06/2019	Finalising contracts for change to specifications (location) from Roebourne to Peedamulla

CAPEX REPORT

Month: Feb.19
Fiscal Year: 18-19
CAPEX CLASSIFICATION: CAPEX, OPERATING

Actions	Project Code	Project Manager	Budget FY	Committed Expenditure	Status	Start	End	Comments (FINAL)
4.2.1.4 Maintain and improve air transport infrastructure in accordance with asset management plans	128 Airport - Emergency Access Road	Manager Airport	\$ 35,000		IN PROGRESS	1/10/2018	30/06/2019	Works to commence by the end of April to coincide with TWY Delta reseal.
4.2.1.4 Maintain and improve air transport infrastructure in accordance with asset management plans	129 Airport - Expansion Retaining Wall for Landside Garden Bed	Manager Airport	\$ 9,287	\$ 10,333	COMPLETED	1/08/2018	10/10/2018	Project Completed.
4.2.1.4 Maintain and improve air transport infrastructure in accordance with asset management plans	130 Airport - Expansion to Solar Farm 150KW	Manager Airport	\$ 320,000		IN PROGRESS	1/02/2019	30/03/2019	Project currently on hold waiting for Horizon Power to release their funding model. Proposed model to be released in mid March 2019
4.2.1.4 Maintain and improve air transport infrastructure in accordance with asset management plans	131 Airport - Ground Handling Equipment	Manager Airport			OFF TRACK		30/06/2020	Not required this financial year. This item has been removed from the 18/19 budget and funds allocated to other projects
4.2.1.4 Maintain and improve air transport infrastructure in accordance with asset management plans	132 Airport - Material Handling and Lifting Equipment	Manager Airport	\$ 0	\$ 414	OFF TRACK	15/01/2019	30/06/2020	This item has been removed from 18/19 budget. Re-issued in 19/20 budget. Funds have been re-allocated to budget review item
4.2.1.4 Maintain and improve air transport infrastructure in accordance with asset management plans	133 Airport - Runway Line marking	Manager Airport	\$ 20,000		IN PROGRESS	15/01/2019	30/05/2019	Schedule to commence once rubber removal is completed. Rubber removal is postponed until after pavement assessment has been conducted. Assessment is due to happen around May 2019
4.2.1.4 Maintain and improve air transport infrastructure in accordance with asset management plans	134 Airport - Scour Protection for top of Batters - Runway Mediation (17047)	Manager Airport	\$ 1,500,000	\$ 18,462	IN PROGRESS	29/01/2019	1/03/2019	RFT finalised, Feature Survey required for Scope of Works quantities.
4.2.1.4 Maintain and improve air transport infrastructure in accordance with asset management plans	135 Airport - Taxi Delta Reseal	Manager Airport	\$ 260,000	\$ 6,873	IN PROGRESS	1/10/2018	30/06/2019	RFT 90% drafted. Tendering to commence in March. Works due to commence at the end of April after the cyclone/wet season
4.2.1.4 Maintain and improve air transport infrastructure in accordance with asset management plans	136 Airport - Wind Direction Indicator (IWDI) and Precision Approach Indicator (PAPI)	Manager Airport	\$ 250,000		NOT COMMENCED			To be reviewed in scope of works for Airport remediation
4.2.1.4 Maintain and improve air transport infrastructure in accordance with asset management plans	201 Airport - Shade Structure for Lighting Distribution Boards (LDB)	Manager Airport	\$ 45,000	\$ 41,554	IN PROGRESS	1/01/2019	31/03/2019	RFQ awarded 22/2, works to be completed in 6 weeks
4.2.1.4 Maintain and improve air transport infrastructure in accordance with asset management plans	212 Airport Landside Infrastructure	Manager Airport	\$ 50,000	\$ 400	IN PROGRESS	18/02/2019	1/05/2019	Negotiations and procurement currently in progress
4.2.1.4 Maintain and improve air transport infrastructure in accordance with asset management plans	213 Airport Terminal Kiosk Fit Out	Manager Airport	\$ 40,000		IN PROGRESS	1/04/2019	30/05/2019	Pending outcome of kiosk lease extension negotiations. Project to commence in April 2019
4.2.2.1 Continue to improve and maintain condition of footpaths, cycleway, kerbs and signage to provide enhanced amenities and connections with towns	137 Onslow Footpaths & Kerbs	Manager Rural Roads & Operations West	\$ 7,333	\$ 7,584	ONGOING	1/07/2018	30/06/2019	Ongoing OPEX maintenance works for the year
4.2.2.1 Continue to improve and maintain condition of footpaths, cycleway, kerbs and signage to provide enhanced amenities and connections with towns	138 Tom Price Footpaths & Kerbs	Manager Operations East	\$ 7,333	\$ 182	ONGOING	1/07/2018	30/06/2019	Ongoing OPEX maintenance works for the year
4.2.2.1 Continue to improve and maintain condition of footpaths, cycleway, kerbs and signage to provide enhanced amenities and connections with towns	139 Paraburdoo Footpaths & Kerbs	Manager Fleet	\$ 7,333	\$ 182	ONGOING	1/07/2018	30/06/2019	Ongoing OPEX maintenance works for the year
4.2.3.1 Advocate for improved public lighting where appropriate	140 Street Lighting Onslow	Technical Officer - Onslow	\$ 25,500	\$ 31,870	ONGOING	1/07/2018	30/06/2019	Allocation for operating expenses - Horizon Power
4.3.4.1 Continue to provide and maintain a range of public open spaces in accordance with asset management plans	154 Truck Stop Rest Area - Nameless Valley Road	Technical Officer - Tom Price	\$ 9,874	\$ 11,964	COMPLETED	1/07/2018	30/09/2018	Completed
4.3.4.1 Continue to provide and maintain a range of public open spaces in accordance with asset management plans	155 Slasher Unit for Paraburdoo	Manager Fleet	\$ 14,000	\$ 10,764	IN PROGRESS	1/10/2018	31/03/2019	No stock available in Australia, due to arrive mid March
5.1.1.2 Review, update and implement asset management plans	158 Salaries - AM	Manager Asset Management	\$ 88,114	\$ 88,634	ONGOING	1/07/2018	30/06/2019	Salaries allocation
5.4.2.1 Promote an innovative and engaging corporate culture underpinned by the organisation's vision	179 Depot Wash down Bay	Technical Officer - Tom Price	\$ 138,315	\$ 136,686	COMPLETED	9/07/2018	30/07/2018	Complete
Grand Total								
	TOTAL		\$ 69,962,715	\$ 25,797,847		15/01/2018 +	30/07/2018 +	



SHIRE OF ASHBURTON
 Rec No. **1983353**
25 FEB 2019
 File: **FM09**
 Officer: _____



Our Ref: 8238

7th Floor, Albert Facey House
 469 Wellington Street, Perth

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 Chief Executive Officer
 Shire of Ashburton
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 TOM PRICE WA 6751

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 PERTH WA 6849

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Dear Mr Paull

ARRANGEMENTS FOR THE AUDIT OF THE ANNUAL FINANCIAL REPORT OF THE SHIRE OF ASHBURTON

I am writing to you to confirm arrangements for the annual audit of the Shire's annual financial report. This is an important part of the audit process because it helps to ensure that you are fully informed regarding our respective responsibilities under the engagement.

The responsibilities apply to audits for the current financial year, as well as to the audits for subsequent financial years, unless circumstances change, and are detailed in the Attachment.

It would be appreciated if you and the President, could confirm your acknowledgement of the responsibilities by signing and returning the Attachment.

Feel free to contact me on 6557 7515 if you would like to discuss this or any other matter in relation to the audit.

Yours faithfully

VINCE TURCO
 SENIOR DIRECTOR
 FINANCIAL AUDIT
 20 February 2019

Attach

ATTACHMENT

RESPONSIBILITIES FOR THE AUDIT

This document sets out the responsibilities for the audit of the annual financial report of the Shire of Ashburton.

Objective and Scope of the Audit

Under the *Local Government Act 1995*, the Auditor General is to audit the accounts and annual financial report of the Shire of Ashburton. The annual financial report comprises the Statement of Financial Position as at 30 June 2019, the Statement of Comprehensive Income by Nature or Type, Statement of Comprehensive Income by Program, Statement of Changes in Equity, Statement of Cash Flows and Rate Setting Statement for the year then ended, and notes comprising a summary of significant accounting policies and other explanatory information, and the Statement by Chief Executive Officer. As a part of the audit, we also report on matters as detailed under Other Legal and Regulatory Requirements in the Reporting section of this document.

The objective of the audit is to obtain reasonable assurance about whether the annual financial report as a whole is free from material misstatement, whether due to fraud or error, and to issue an auditor's report that includes the Auditor General's opinion. Reasonable assurance is a high level of assurance, but is not a guarantee that an audit conducted in accordance with Australian Auditing Standards will always detect a material misstatement when it exists. Misstatements can arise from fraud or error and are considered material if, individually or in the aggregate, they could reasonably be expected to influence the economic decisions of users taken on the basis of the financial report.

Responsibilities of the Auditor General and the Office of the Auditor General (OAG)

The audit will be conducted in the manner determined by the Auditor General in accordance with Australian Auditing Standards. Those standards require that we comply with ethical requirements. As part of an audit in accordance with Australian Auditing Standards, we exercise professional judgement and maintain professional scepticism throughout the audit. We also:

- Identify and assess the risks of material misstatement of the financial report, whether due to fraud or error, design and perform audit procedures responsive to those risks, and obtain audit evidence that is sufficient and appropriate to provide a basis for the opinion. The risk of not detecting a material misstatement resulting from fraud is higher than for one resulting from error, as fraud may involve collusion, forgery, intentional omissions, misrepresentations, or the override of internal control.
- Obtain an understanding of internal control relevant to the audit of the financial report in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the Shire's internal control. However, we will communicate to you in writing concerning any significant deficiencies in internal control relevant to the audit of the financial report that we have identified during the audit.
- Evaluate the appropriateness of accounting policies used and the reasonableness of accounting estimates and related disclosures made by management.
- Conclude on the appropriateness of management's use of the going concern basis of accounting and, based on the audit evidence obtained, whether a material uncertainty exists related to events or conditions that may cast significant doubt on the Shire's ability to continue as a going concern. If we conclude that a material uncertainty exists, we are required to draw attention in our auditor's report to the related disclosures in the financial report or, if such disclosures are inadequate, to modify our opinion.

ATTACHMENT

Our conclusions are based on the audit evidence obtained up to the date of our auditor's report, as we cannot predict future events or conditions that may have an impact.

- Evaluate the overall presentation, structure and content of the financial report, including the disclosures, and whether the financial report represents the underlying transactions and events in a manner that achieves fair presentation.

Because of the inherent limitations of an audit, together with the inherent limitations of internal control, there is an unavoidable risk that some material misstatements may not be detected, even though the audit is properly planned and performed.

In carrying out the audit, the OAG will also adhere to the following principles and reporting obligations:

- the highest standards of ethical and personal behaviour are demonstrated
- the audit is approached in a fair and constructive way
- the audit is conducted and reported in an impartial manner
- matters of significance arising from the audit are collated and reported at a sector level to the Parliament.

Responsibilities of the Council and the Chief Executive Officer

We acknowledge that we are responsible for:

- (a) keeping proper accounts and records
- (b) the preparation and fair presentation of the annual financial report in accordance with the *Local Government Act 1995* (the Act), *Local Government (Financial Management) Regulations 1996* and, to the extent that they are not inconsistent with the Act, Australian Accounting Standards
- (c) such internal control as management determines is necessary to enable the preparation of the financial report that is free from material misstatement, whether due to fraud or error
- (d) providing you with:
 - (i) access to all information that is relevant to the preparation of the financial report such as records, documentation and other matters;
 - (ii) additional information that you may request from us for the purpose of the audit; and
 - (iii) unrestricted access to persons within the Shire from whom you determine it necessary to obtain audit evidence.
- (e) the preparation of other information (i.e. financial or non-financial information (other than the financial report and the auditor's report thereon) included in the Shire's annual report) that is consistent with the financial report, and which does not contain any material misstatements.

As part of the audit process, we will also request, from the Chief Executive Officer and the finance manager, written confirmation concerning representations made to us in connection with the audit.

We look forward to the full cooperation from your staff during our audit.

Reporting

Annual Financial Report

The Auditor General's auditor's report will be prepared in accordance with the *Local Government Act 1995*, *Local Government (Audit) Regulations 1996* and Australian Auditing Standards and include the audit opinion on the annual financial report.

Other Legal and Regulatory Requirements

The *Local Government (Audit) Regulations 1996* also require the auditor's report to include:

- a) any material matters that in the opinion of the auditor indicate significant adverse trends in the financial position or the financial management practices of the local government

ATTACHMENT

- b) any material matters indicating non-compliance with Part 6 of the *Local Government Act 1995*, the *Local Government (Financial Management) Regulations 1996* or applicable financial controls in any other written law
- c) details of whether information and explanations were obtained by the auditor
- d) a report on the conduct of the audit
- e) the opinion of the auditor as to whether or not the asset consumption and asset renewal funding ratios in the annual financial report are supported by verifiable information and reasonable assumptions.

The form and content of the auditor's report may need to be amended in the light of our audit findings and future amendments (if any) to the *Local Government (Audit) Regulations 1996*.

The auditor's report will be sent to the CEO, President and the Minister for Local Government in accordance with the *Local Government Act 1995*.

Management Letter

Deficiencies in internal controls and other relevant matters identified during the audit will be included in a management letter sent to the CEO and President.

Audit Fee

The fee for the audit will be determined by the Auditor General in accordance with the *Local Government Act 1995*. We will provide you with an indicative audit fee in the first quarter of the calendar year. This indicative fee is an estimate based on full cost recovery and a number of assumptions. The fee may be increased if there are additional costs due to matters such as a poor quality financial report and supporting working papers, deficiencies in internal controls and delays in receiving information from Shire staff.

Publication of the Audited Annual Financial Report

The Shire is required by the *Local Government Act 1995* to publish its annual report, including the audited annual financial report and the Auditor General's auditor's report, on its official website. When information is presented electronically on a web site, the security and controls over information on the web site should be addressed by the Shire to maintain the integrity of the data presented. The examination of the controls over the electronic presentation of audited financial information on the Shire's web site is beyond the scope of our audit of the financial report. Responsibility for the electronic presentation of the financial report on the Shire's web site is that of the Council.

ACKNOWLEDGEMENT OF RESPONSIBILITIES FOR THE AUDIT

We acknowledge the responsibilities for the audit for the year ended 30 June 2019 and subsequent years as set out in this letter for the audit of the annual financial report, including our respective responsibilities as the President and the CEO.

(Signed) _____

Name: Kerry White
President

(Signed) _____

Name: Rob Paull
Chief Executive Officer

Date