



# MINUTES

AUDIT COMMITTEE MEETING

1 MARCH 2018

TIME: 7.30 AM

CITY OF STIRLING

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*Winning Back Waste*

*Constituent Members: Cities of Perth, Joondalup, Stirling, Vincent and Wanneroo  
Towns of Cambridge and Victoria Park*



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## 1 DECLARATION OF OPENING / ANNOUNCEMENT OF VISITORS

The Chair declared the meeting open at 7.30am.

## 2 ATTENDANCE / APOLOGIES

### MEMBERS

Cr Russ Fishwick JP (Chairperson)	City of Joondalup
Cr Stephanie Proud JP (Deputy Chairperson)	City of Stirling
Cr David Boothman JP	City of Stirling

### IN ATTENDANCE

Mr Gunther Hoppe	Acting Chief Executive Officer MRC
Mrs Andrea Slater	Acting Director Corporate Services MRC

### APOLOGIES

Ms Gayle Rogers	External member
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## 3 TERMS OF REFERENCE

At an Ordinary Council Meeting held on 7 July 2005 the Audit Committee was established by Council under s7.1A of the Local Government Act 1995 and at an Ordinary Council Meeting held on 27 October 2005 Council adopted the Terms of Reference for the operation of the Audit Committee. These terms of reference were subsequently revised by Council at an Ordinary Council Meeting held on 24 April 2014.

At an Ordinary Council Meeting held on 27 October 2005 under s7.1B of the Local Government Act 1995, Council approved the Audit Committee under s.7.12A(2) of the Act for Council to meet with Council's auditor.

The primary objective of the Audit Committee is to accept responsibility for the annual external audit and liaise with the Council's auditor so that Council can be satisfied with the performance of the local government in managing its financial affairs.

The Committee is to facilitate:

- The enhancement of the credibility and objectivity of external financial reporting;
- Effective management of financial and other risks and the protection of Council assets;
- Compliance with laws and regulations as well as use of best practice guidelines relative to auditing;
- The provision of an effective means of communication between the external auditor, the CEO and the Council.

The full Terms of Reference can be found on the MRC's website at:

<http://mrc.wa.gov.au/Documents/Agenda---2014/20140424---Members-Information-Bulletin-No--16.aspx>

## 4 DECLARATION OF INTERESTS

Mr David Boothman JP declared an interest that may affect impartiality. He has previously worked with Andrew Burchfield when Mr Burchfield worked as a contractor for City of Stirling. A declaration form has been added as **Attachment 3**.

<b>5</b>	<b>CONFIRMATION OF MINUTES OF PREVIOUS MEETING</b>
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**RESOLVED**

Cr Proud moved, Cr Boothman seconded

That the Minutes of the Audit Committee Meeting held on 14 November 2017 be taken as read, confirmed and the Chairman invited to sign the same as a true record of the proceedings.

<b>6</b>	<b>REPORTS</b>
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**6.1**      **REVIEW OF COMPLIANCE AUDIT - 2017**

**BACKGROUND**

The Local Government (Audit) Regulations 1996 require a local government to carry out a compliance audit for the period 1 January to 31 December each year. The Compliance Audit Return is to be adopted by Council and certified by the Chairman and Chief Executive Officer. The certified Compliance Audit Return is to be forwarded to the Department of Local Government by 31 March 2018.

**DETAIL**

There were no areas of non-compliance in the current year compliance return.

**STATUTORY ENVIRONMENT**

Local Government Act 1995 – Part 7.

Local Government (Audit) Regulations 1996 – Section 14 and 15.

**POLICY IMPLICATIONS**

Not applicable.

**STRATEGIC IMPLICATIONS**

Not applicable.

**COMMENT**

Nil.

**RESPONSIBLE OFFICER RECOMMENDATION**

That the Audit Committee recommends that Council endorse the Compliance Audit return for the 2017 calendar year, as presented.

**RESOLVED**

Cr Boothman moved, Cr Proud seconded

That the recommendation be adopted

CARRIED UNANIMOUSLY 3/0

## 6.2 RISK REGISTER SUMMARY

### SUMMARY

The MRC's initial Risk Register summary was tabled at the Audit Committee meeting held on 24 November 2014.

At the meeting it was agreed that a summarised risk register would be tabled with the Audit Committee every six months for discussion.

A summarised risk register which outlines those risks rated as 'High' or 'Extreme' is included as Attachment 2 to this agenda.

Management have prepared management plans for each of the risks included in the summary.

Management conducted risk register review in January 2018 of the 'High' or 'Extreme' risks, and the following risks have been changed or removed from/added to the summary risk register since it was last presented to the Audit Committee:

OPS-22 Risk remained at same level but the wording has been changed to include more existing controls in place.

### RESPONSIBLE OFFICER RECOMMENDATION

**That the Audit Committee note the Risk Register Summary presented.**

### RESOLVED

**Cr Proud moved, Cr Boothman seconded**

**That the recommendation be adopted**

**CARRIED UNANIMOUSLY 3/0**

### **6.3 EXTERNAL AUDIT COMMITTEE MEMBER**

#### **BACKGROUND**

On 1 May 2014 Gayle Roger was appointed as MRC's external audit committee member for a negotiated two year term. This term was further extended by two years by Council in November 2015. The extended term is due to expire at the end of April 2018. Gayle does not wish to extend her term as external audit committee member and will resign from the position on 30 April 2018.

MRC will accept her resignation and send a letter of appreciation for her past service and due diligence with regard to the role.

The Audit Committee is required to consider how it wishes to recommend that Council proceed with regard to the appointment of an external audit committee member.

The recruitment process in previous years has seen an advert being posted on Australian Institute of Company Directors website and an advertisement in the Weekend West Australian. Suitable candidates will be presented to the audit committee for recommendation to Council at the 31 May 2018 Ordinary Council Meeting.

We have had interest from Andrew Burchfield who is currently a self-employed consultant with vast experience in Local Government audits and Governance. Andrew will be invited to apply for the position using the normal recruitment process.

#### **RESPONSIBLE OFFICER RECOMMENDATION**

**That the Audit Committee recommends the recruitment process for the external audit committee member.**

#### **RESOLVED**

**Cr Boothman moved, Cr Proud seconded  
That the recommendation be adopted  
CARRIED UNANIMOUSLY 3/0**

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**7 NEW BUSINESS**

Nil

**8 NEXT MEETING**

The next audit committee meeting is scheduled for June/July 2018.

**9 CLOSURE**

The Chairperson closed the meeting at 7.48am.

These Minutes were confirmed by the Audit Committee as a true and accurate record of the Audit Committee Meeting held on 1 March 2018.

Signed .....Chairperson

Dated this 5 day of July.....2018

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**ATTACHMENT 1**

**TO ITEM 6.1**

**AUDIT COMMITTEE MEETING**

**1 MARCH 2017**

**COMPLIANCE AUDIT 2017**





## Mindarie Regional Council - Compliance Audit Return Regional Local Government 2017

### 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 2017.	N/A		Sonia Cherico	
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 2017.	N/A		Sonia Cherico	
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 2017.	N/A		Sonia Cherico	
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 2017.	N/A		Sonia Cherico	
5	s3.59(5)	Did the Council, during 2017, resolve to proceed with each major land transaction or trading undertaking by absolute majority.	N/A		Sonia Cherico	



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.	Yes		Sonia Cherico
2	s5.16, 5.17, 5.18	Were all delegations to committees in writing.	Yes		Sonia Cherico
3	s5.16, 5.17, 5.18	Were all delegations to committees within the limits specified in section 5.17.	Yes		Sonia Cherico
4	s5.16, 5.17, 5.18	Were all delegations to committees recorded in a register of delegations.	Yes		Sonia Cherico
5	s5.18	Has Council reviewed delegations to its committees in the 2016/2017 financial year.	Yes	11 August 2016	Sonia Cherico
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		Sonia Cherico
7	s5.42(1)(2) Admin Reg 18G	Were all delegations to the CEO resolved by an absolute majority.	Yes		Sonia Cherico
8	s5.42(1)(2) Admin Reg 18G	Were all delegations to the CEO in writing.	Yes		Sonia Cherico
9	s5.44(2)	Were all delegations by the CEO to any employee in writing.	Yes		Sonia Cherico
10	s5.45(1)(b)	Were all decisions by the Council to amend or revoke a delegation made by absolute majority.	Yes		Sonia Cherico
11	s5.46(1)	Has the CEO kept a register of all delegations made under the Act to him and to other employees.	Yes		Sonia Cherico
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 2016/2017 financial year.	Yes		Sonia Cherico
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		Sonia Cherico

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).	N/A		Gunther Hoppe
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.	N/A		Gunther Hoppe



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		Gunther Hoppe
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		Gunther Hoppe
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		Gunther Hoppe
6	s5.76(1) Admin Reg 23 Form 3	Was an annual return lodged by all continuing elected members by 31 August 2017.	Yes		Gunther Hoppe
7	s5.76(1) Admin Reg 23 Form 3	Was an annual return lodged by all designated employees by 31 August 2017.	Yes		Gunther Hoppe
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		Gunther Hoppe
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		Gunther Hoppe
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		Gunther Hoppe
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		Gunther Hoppe
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		Gunther Hoppe
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		Gunther Hoppe
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		Gunther Hoppe



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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.	N/A		Gunther Hoppe
16	s5.103(3) Admin Reg 34B	Has the CEO kept a register of all notifiable gifts received by Council members and employees.	Yes		Gunther Hoppe

### 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)).	N/A		ANDREA SLATER
2	s3.58(4)	Where the local government disposed of property under section 3.58(3), did it provide details, as prescribed by section 3.58(4), in the required local public notice for each disposal of property.	N/A		ANDREA SLATER

### 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		ANDREA SLATER
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.	Yes		ANDREA SLATER
3	s7.3	Was the person(s) appointed by the local government to be its auditor, a registered company auditor.	Yes		ANDREA SLATER
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		ANDREA SLATER
5	Audit Reg 10	Was the Auditor's report for the financial year ended 30 June 2017 received by the local government within 30 days of completion of the audit.	Yes		ANDREA SLATER
6	s7.9(1)	Was the Auditor's report for the financial year ended 30 June 2017 received by the local government by 31 December 2017.	Yes		ANDREA SLATER
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		Andrea Slater



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No	Reference	Question	Response	Comments	Respondent
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		Andrea Slater
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		Andrea Slater
10	Audit Reg 7	Did the agreement between the local government and its auditor include the objectives of the audit.	Yes		ANDREA SLATER
11	Audit Reg 7	Did the agreement between the local government and its auditor include the scope of the audit.	Yes		ANDREA SLATER
12	Audit Reg 7	Did the agreement between the local government and its auditor include a plan for the audit.	Yes		ANDREA SLATER
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		ANDREA SLATER
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		ANDREA SLATER



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<b>Integrated Planning and Reporting</b>					
<b>No</b>	<b>Reference</b>	<b>Question</b>	<b>Response</b>	<b>Comments</b>	<b>Respondent</b>
1	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	Adoption 6 April 2017	Sonia Cherico
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		Sonia Cherico
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	Adoption 6 April 2017	Sonia Cherico
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		Sonia Cherico
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	Adoption 6 April 2017	Sonia Cherico
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	Adoption 6 April 2017	Sonia Cherico
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	Adoption 6 April 2017	Sonia Cherico



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		Sonia Cherico
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.	N/A		Sonia Cherico
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		Sonia Cherico
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		Sonia Cherico
5	s5.37(2)	Did the CEO inform council of each proposal to employ or dismiss a designated senior employee.	N/A		Sonia Cherico

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		Sonia Cherico
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		Sonia Cherico
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		Sonia Cherico
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		Sonia Cherico
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		Sonia Cherico
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		Sonia Cherico





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		Gunther Hoppe
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.	N/A		Gunther Hoppe
3	F&G Reg 14(1) & (3)	Did the local government invite tenders via Statewide public notice.	Yes		Gunther Hoppe
4	F&G Reg 14 & 15	Did the local government's advertising and tender documentation comply with F&G Regs 14, 15 & 16.	Yes		Gunther Hoppe
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		Gunther Hoppe
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		Gunther Hoppe
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		Gunther Hoppe
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		Gunther Hoppe
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		Gunther Hoppe
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		Gunther Hoppe
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.	Yes		Gunther Hoppe





No	Reference	Question	Response	Comments	Respondent
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.	Yes		Gunther Hoppe
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.	Yes		Gunther Hoppe
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.	Yes		Gunther Hoppe
15	F&G Reg 24AD(2)	Did the local government invite applicants for a panel of pre-qualified suppliers via Statewide public notice.	N/A		Gunther Hoppe
16	F&G Reg 24AD(4) & 24AE	Did the local government's advertising and panel documentation comply with F&G Regs 24AD(4) & 24AE.	N/A		Gunther Hoppe
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.	N/A		Gunther Hoppe
18	F&G Reg 24AD(6)	If the local government sought to vary the information supplied to the panel, was every reasonable step taken to give each person who sought detailed information about the proposed panel or each person who submitted an application, notice of the variation.	N/A		Gunther Hoppe
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		Gunther Hoppe
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.	N/A		Gunther Hoppe
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.	N/A		Gunther Hoppe
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.	N/A		Gunther Hoppe



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No	Reference	Question	Response	Comments	Respondent
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		Gunther Hoppe
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.	N/A		Gunther Hoppe
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		Gunther Hoppe

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

\_\_\_\_\_  
Signed Mayor / President, Mindarie Regional Council

\_\_\_\_\_  
Signed CEO, Mindarie Regional Council

**ATTACHMENT 2**

**TO ITEM 6.2**

**AUDIT COMMITTEE MEETING**

**1 MARCH 2018**

**RISK REGISTER SUMMARY**

Risk Ref.	Risk description	Causal factors	Consequence	Existing Controls	Consequence	Likelihood	Risk	Previous rating
OPS-02	Inability to contain leachate within landfill boundaries	Stage 1 unlined liner failure Environmental factors Water table rise Third party influence on ground water	Water plume Contaminated sites branch status Damaged reputation Urban extraction requirements	Lined landfill Stage 2 Monitoring/mediation extraction Refracting leachate, irrigation and restriction BEMP CSM Leachate level testing DER Contaminated sites branch ISO14001 Certification Contractor Engaged for Maintenance and Service of leachate pumping system	3	5	15	
OPS-01	Inability to contain landfill gas within Landfill boundaries	Stage 1 unlined Inefficient capture Natural migration of gas Power station failure Damage to liners Infrastructure failure	Environmental impacts Financial penalties Loss of license Poor public perception	Power station Monitoring DER License conditions Third party design of landfill BEPM Liners and membranes Stakeholder relationships CSM Contract arrangement with LG&P Engaged GHD consultancy services Engaged GHD engineering services Third Party Risk Assessment Inclusion of 8m Turbine EDL Operational Gas extraction Wells	4	5	20	
OPS-06	Inability to contain odours within site boundaries	Type of waste received/accepted Inadequate cover Poor gas capture Extreme weather events Poor leachate management Tying in to existing landfill Urban encroachment	Complaints Non compliance with license Investigations Financial penalties Reputation damage	Gas collection Daily cover Leachate management Alternate cover Class 2 Solid Waste landfill Operational Gas extraction Wells Biological odour control DER license Landfill Planning	2	5	10	
OPS-21	Inability to keep recyclable materials out of landfill	Lack of recycling business Lack of education and awareness Lack of recycling options	Longevity of landfill Costs to landfill Reduces life cycle of landfill Poor public perception Increased global warming potential	Engage with Recycling Contractors Grants for resource recovery Waste segregation Retail from shop Education program Recycled material from landfill Recover Recycled material from transfer Manage Hazardous Waste Manage Recyclable waste Green waste contract Mattress recycling contract Timber off site	3	5	15	
OPS-22	Major Fire or Explosions	Brush fire Major vehicle fire Criminal activity Methane gas leak resulting in explosion or damage to gas bottle Inadequate segregation of chemicals Landfill ignition sources (chemical ignition/hot loads) Explosive devices delivered to site Hot Works	Inability to deliver service Legal action Loss of revenue Personal injury Property damage Poor public perception	Business Continuity Plan Emergency Management Plan Fire Fighting Equipment Trained personnel - Wardens EMMP SOP's DER license Risk Assessment of Leachate and Gas Impact Engagement with Butler Fire Station to run Brush Management Plan (fire loading) Education Campaign HHW Dangerous Goods License DFES / City of Wanneroo exemptions Total Fire Ban and Harvest Vehicle Movement Ban	5	2	10	
OPS-24	Chemical Spill	Chemical delivered to site in damaged containers Staff and customer inattentive Damage by plant Unidentified loads	Inability to deliver services Legal Action Personal injury Property Damage Temporary Closure of part or all of site Loss of Revenue Health and Safety Disgruntle customers Poor public perception	Business Continuity Plan SOP's Trained personnel - Wardens BEMP DER license Emergency Equipment Dangerous goods license requirements and compliance EMMP Environmental Inspections OSH Inspectors	5	2	10	

OPS-30	Worksafe Shutdown	Facility or reportable incident on site	Inability to deliver services Legal Action Temporary Closure of part or all of site Loss of revenue Staff Wellbeing Disgruntled customer Poor public perception Health & Safety	Qualified OHS Officer on site Safety Inductions / Tool box's Recruitment Encourage a Safety culture Reportable incident procedure EMMP OSHA OSH Procedures ISO4801 Accreditation Behaviour Based Safety Observations	5	2	10	
STRAT-10	Fail to provide safe and suitable work environment at MRC in compliance with OSH legislation	Lack of understanding Complacency Lack of awareness of change Lack of staff training Changes to legislation Inherent nature of Regional Council operations Public interaction with staff and recycled goods Nature of recycled goods Loading and unloading of vehicles Plant and equipment operating in area People behaviours Household chemicals Third party vehicle damage Wildlife	Staff turn Public fears Non compliance Emergency/evacuation	OSH Procedure and Management system Incident reporting Emergency exercises Safety Management systems Environmental monitoring (dust, odours, air) Inspections Staff selection Inductions Pre employment medicals Waste acceptance criteria Traffic Management Plan Signage Informal alerts of dangerous materials Technical Officer Separation of operations Inspect and review Plant and Equipment Thermographic Survey	5	2	10	
STRAT-04	Failure of commercial partners to fulfil MRC expectations	Overcommitted Company liquidation RFP Breakdowns Poor quality of service	Increased stock/quantities of product MRC not operating within licence conditions Increased costs of alternative arrangements Increased labour costs	Contracts and agreements Contract management Communication of operational development Relationship management Appointed a Contract Manager InControl Event for all Contract Major incident debriefs	2	5	10	
OPS-033	Inability to contain landfill gas within leased site boundaries	Stage 1 unlined Leakages Natural migration of gas Power station failure Infrastructure failure Liner failure	Environmental impacts Financial penalties Leakages Poor public perception	Power station Monitoring DER Licence conditions Third party design of landfill BEMP Liners and membranes Stakeholder relationships CSM Contract arrangement with LG&P Engaged GHD consultancy services	5	3	15	
OPS-034	Inability to contain leachate within leased site boundaries	Stage 1 unlined Liner failure Environmental factors Water table rise Third party influence on ground water	Water plumes Contaminated sites branch status Damaged reputation Urban extraction requirements	Lined landfill Leachate extraction Radium leachate BEMP CSM Leachate level testing DER Contaminated sites branch ISO14001 Groundwater Monitoring and Annual Report	4	5	22	
STRAT-15	Inability to provide a sustainable gate fee to member councils	Division of waste from landfill Alternative waste treatment Incentives Healthcare reduce scale of operations in a responsive manner	Political pressure from members Increased gate fee to members Unsustainable business model	Engagement with member council Representatives Transparent communication Prudent financial management Internal efficiency reviews	5	3	15	

**ATTACHMENT 3**

**TO ITEM 4**

**AUDIT COMMITTEE MEETING**

**1 MARCH 2018**


**DECLARATION OF INTEREST THAT MAY AFFECT IMPARTIALITY**



## Mindarie Regional Council

### DECLARATION OF FINANCIAL INTEREST/INTEREST THAT MAY AFFECT IMPARTIALITY

To: CHIEF EXECUTIVE OFFICER  
MINDARIE REGIONAL COUNCIL

<b>Name &amp; Position</b>	Councillor David Boothman JP
<b>Meeting Date</b>	1 <sup>st</sup> March 2018
<b>Item No/ Subject</b>	6.3 External AUDIT Committee Member
<b>Nature of Interest</b>	Interest that may affect impartiality
<b>Extent of Interest</b>	Potential applicant named – Andrew Burchfield – who is previous employee / consultant with the City of Stirling.
<b>Signature</b>	 Cr. David Boothman
<b>Date</b>	1 <sup>st</sup> March 2018

Section 5.65(1) of the Local Government Act 1995 states that:

“A member who has an interest in any matter to be discussed at a Council or Committee meeting that will be attended by that member must disclose the nature of the interest:

- (a) in a written notice given to the CEO before the meeting; or
- (b) at the meeting immediately before the matter is discussed