



SHIRE OF DERBY/WEST KIMBERLEY

COMPLIANCE AND STRATEGIC REVIEW COMMITTEE MEETING

**HELD THURSDAY 18 OCTOBER 2018
AT COUNCIL CHAMBERS
68 CLARENDON STREET, DERBY**

MINUTES



SHIRE OF DERBY/WEST KIMBERLEY

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**COMPLIANCE AND STRATEGIC REVIEW COMMITTEE MEETING
18 OCTOBER 2018
AGENDA**

1.0 DECLARATION OF OPENING/ANNOUNCEMENT OF VISITORS

The meeting was opened at 3.20pm by the Shire President.

2.0 ATTENDANCE VIA TELEPHONE/INSTANTANEOUS COMMUNICATIONS

In accordance with regulation 14A of the Local Government (Administration) Regulations 1996 Council must approve (by Absolute Majority) the attendance of a person, not physically present at a meeting of Council, by audio contact. The person must be in a 'suitable place' as approved (by absolute majority) by Council. A 'suitable place' means a place that is located in a townsite or other residential area and 150km or further from the place at which the meeting is to be held.

OFFICER RECOMMENDATION/COMMITTEE RECOMMENDATION:

MINUTE NO. CSR008/2018

Moved: Cr Kloss

Seconded: Cr Twaddle

That Council, BY AN ABSOLUTE MAJORITY:

- 1. APPROVES Councillors Peter McCumstie and Geoff Davis attendance at the Council Meeting held 18 October 2018 via telephone communication in accordance with regulation 14A(1) of the *Local Government (Administration) Regulations 1996*;**
- 2. APPROVES Fitzroy Crossing and Perth, Western Australia, as a suitable place for Councillor attendance in accordance with regulation 14A(4) of the *Local Government (Administration) Regulations 1996*.**

CARRIED 4/0

3.0 RECORD OF ATTENDANCE/APOLOGIES/APPROVED LEAVE OF ABSENCE**Committee Members:**

Geoff Haerewa	Shire President
Chris Kloss	Councillor
Andrew Twaddle	Councillor
Peter McCumstie	Councillor
Geoff Davis	Councillor (3.32pm)

Staff:

Stephen Gash	Chief Executive Officer
Danielle Hurstfield	Manager Administration & Governance
Wayne Neate	Director Technical and Development Services
Carlie McCulloch	Customer Service Officer (Minutes)

Auditor:

Nil

Apologies:

Denise Andrews	Councillor
Iris Prouse	Councillor
Paul White	Deputy Shire President
Peter Coggins	Councillor

Leave of Absence:

Nil

Absent:

Nil

3.0 CONFIRMATION OF MINUTES OF PREVIOUS MEETING**OFFICER RECOMMENDATION/COMMITTEE RECOMMENDATION:****MINUTE NO. CSR009/2018**

Moved: Cr Twaddle

Seconded: Cr Kloss

That the Minutes of the Compliance and Strategic Review Committee Meeting held 27 September 2018 be confirmed.

CARRIED 4/0

4.0 ANNOUNCEMENTS BY PRESIDING PERSON WITHOUT DISCUSSION

5.0 DECLARATIONS OF INTEREST

Section 5.65 and 5.70 of the *Local Government Act 1995* requires an Elected Member or Officer who has an interest in any matter to be discussed at a Committee/Council Meeting that will be attended by the Elected Member or Officer must disclose the nature of the interest in a written notice given to the Chief Executive Officer before the meeting; or at the meeting before the matter is discussed.

An Elected Member who makes a disclosure under section 5.65 or 5.70 must not preside at the part of the meeting relating to the matter; or participate in; or be present during, any discussion or decision making procedure relating to the matter, unless allowed by the Committee/Council. If Committee/Council allow an Elected Member to speak, the extent of the interest must also be stated.

5.1 DECLARATIONS OF FINANCIAL INTERESTS

Nil

5.2 DECLARATIONS OF PROXIMITY INTERESTS

Nil

5.3 DECLARATIONS OF IMPARTIALITY INTERESTS

Nil

3.32pm Cr Davis called in and joined meeting.

6.0 REPORTS

6.1 COMPLIANCE REPORTS

File Reference:	4110 – Internal Audit
Author:	Danielle Hurstfield - Manager Administration & Governance
Responsible Officer:	Stephen Gash, Chief Executive Officer
Disclosure of any Interest:	Nil
Date of Report:	12 October 2018
Attachments:	Use of Delegations Compliance Register Credit Card Usage Council Minutes Status
Authority/Discretion:	Information

SUMMARY:

For the Committee to note the information provided in the attached reports and provide strategic direction as required.

BACKGROUND:

The Terms of Reference for the Compliance and Strategic Review Committee adopted 26 March 2015 detail the key role the Committee holds in assisting the Shire fulfil its corporate governance responsibilities in managing the affairs of the organisation. This includes financial reporting, risk management, compliance requirements and auditing.

The Committee will ensure compliance in the Shire's financial reporting and will liaise with the CEO to ensure the effective and efficient management of the Shire's financial accounting systems to meet statutory requirements.

STATUTORY ENVIRONMENT:

Local Government Act 1995 Part 7, Div.1A, S.7.1(a) & 7.2(b)
Local Government Act 1995 Div.2, Sub Div.2
Local Government Act 1995 Div.2, Sub Div.3
Local Government (Audit) Regulations 1996

POLICY IMPLICATIONS:

Nil

FINANCIAL IMPLICATIONS:

Nil

STRATEGIC IMPLICATIONS:

GOAL	OUTCOME	STRATEGY
4: Good governance and effective organisation	4.1: Effective governance and leadership	4.1.3: Strengthen the governance role of Councillors by informing, resourcing, skilling and supporting their role 4.1.8: Develop and maintain risk management policies and procedures

RISK MANAGEMENT CONSIDERATIONS:

RISK	LIKELIHOOD	CONSEQUENCE	RISK ANALYSIS	MITIGATION
Financial, Legal and Compliance, Organisational Operations and Reputation	Unlikely	Extreme	Extreme	Monthly reporting to the Compliance and Strategic Review Committee for awareness and direction where required.

CONSULTATION:

Internal consultation has been undertaken with relevant areas to collate information.

COMMENT:

This item is to advise the Compliance and Strategic Review Committee of current matters, issues that are still being resolved and will evolve as required by industry best practice.

VOTING REQUIREMENT:

Simple majority

OFFICER RECOMMENDATION/COMMITTEE RECOMMENDATION:**MINUTE NO. CSR010/2018**

Moved: Cr Twaddle

Seconded: Cr McCumstie

That the Compliance and Strategic Review Committee NOTE the information contained in the reports detailing use of delegations of authority, credit cards, compliance register and Council Minute management are noted.

CARRIED: 5/0

6.2 COMPLIANCE PROGRAM

File Reference:	4110 – Internal Audit
Author:	Danielle Hurstfield - Manager Administration & Governance
Responsible Officer:	Stephen Gash, Chief Executive Officer
Disclosure of any Interest:	Nil
Date of Report:	12 October 2018
Attachments:	Proposed Compliance Program
Authority/Discretion:	Information

SUMMARY:

For the Committee to approve the proposed schedule provided in the attached report and provide strategic direction as required.

BACKGROUND:

The Terms of Reference for the Compliance and Strategic Review Committee adopted 26 March 2015 detail the key role the Committee holds in assisting the Shire fulfil its corporate governance responsibilities in managing the affairs of the organisation. This includes financial reporting, risk management, compliance requirements and auditing.

The Committee will ensure compliance in the Shire's financial reporting and will liaise with the CEO to ensure the effective and efficient management of the Shire's financial accounting systems to meet statutory requirements.

Councillors were provided a suite of draft documents at the 27 September 2018 Committee Meeting

STATUTORY ENVIRONMENT:

Local Government Act 1995 Part 7, Div.1A, S.7.1(a) & 7.2(b)

Local Government Act 1995 Div.2, Sub Div.2

Local Government Act 1995 Div.2, Sub Div.3

Local Government (Audit) Regulations 1996

POLICY IMPLICATIONS:

Nil

FINANCIAL IMPLICATIONS:

Nil

STRATEGIC IMPLICATIONS:

GOAL	OUTCOME	STRATEGY
4: Good governance and effective organisation	4.1: Effective governance and leadership	4.1.3: Strengthen the governance role of Councillors by informing, resourcing, skilling and supporting their role 4.1.8: Develop and maintain risk management policies and procedures

RISK MANAGEMENT CONSIDERATIONS:

RISK	LIKELIHOOD	CONSEQUENCE	RISK ANALYSIS	MITIGATION
Financial, Legal and Compliance, Organisational Operations and Reputation	Unlikely	Extreme	Extreme	Monthly reporting to the Compliance and Strategic Review Committee for awareness and direction where required.

CONSULTATION:

Internal consultation has been undertaken with relevant areas to collate information.

COMMENT:

This item is to provide officer recommendations to assist with the scheduling of a review program. Consideration has been given to legislative requirements, peak work times and organisational priorities. Councillors are encouraged to provide feedback that can be accommodated.

VOTING REQUIREMENT:

Simple majority

OFFICER RECOMMENDATION/COMMITTEE RECOMMENDATION:**MINUTE NO. CSR011/2018**

Moved: Cr Kloss

Seconded: Cr McCumstie

That the Compliance and Strategic Review Committee endorse the Compliance Program attached.

CARRIED: 5/0

6.3 SHIRE OF DERBY/WEST KIMBERLEY RECORDKEEPING PLAN

File Reference:	5050 – Records Management
Author:	Danielle Hurstfield - Manager Administration & Governance
Responsible Officer:	Stephen Gash, Chief Executive Officer
Disclosure of any Interest:	Nil
Date of Report:	11 October 2018
Attachments:	Shire of Derby/West Kimberley Recordkeeping Plan
Authority/Discretion:	Information

SUMMARY:

For the Committee to note the proposed Shire of Derby/West Kimberley Recordkeeping Plan.

BACKGROUND:

The *State Records Act 2000* ('State Records Act') is an Act which provides for the keeping of State records and for related purposes.

Section 19 of the Act requires that every government organisation must have a Recordkeeping Plan that has been approved by the State Records Commission.

Section 28 of the State Records Act requires that no more than 5 years must elapse between approval of a government organisation's Recordkeeping Plan and its review. An organisation may amend its Recordkeeping Plan to reflect significant changes to its functions or recordkeeping practices.

The Shire's Recordkeeping Plan is now up for review. The last review took place in 2013.

The Recordkeeping plan shall comprise documents which, when assessed as a whole, provide an accurate reflection of the recordkeeping program within the organisation. More specifically, documentation regarding the Shire's recordkeeping systems, disposal arrangements, policies, practices, and processes will be the essential components of the Recordkeeping Plan. The inclusion of such documentation will constitute evidence of compliance. The Shire has a responsibility to present sufficient evidence that best practices have been implemented within the organisation.

STATUTORY ENVIRONMENT:

State Records Act 2000 Section 19, Section 28

Local Government Act 1995

POLICY IMPLICATIONS:

Nil

FINANCIAL IMPLICATIONS:

Nil

STRATEGIC IMPLICATIONS:

GOAL	OUTCOME	STRATEGY
4: Good governance and effective organisation	4.1: Effective governance and leadership	4.1.3: Strengthen the governance role of Councillors by informing, resourcing, skilling and supporting their role 4.1.8: Develop and maintain risk management policies and procedures

RISK MANAGEMENT CONSIDERATIONS:

RISK	LIKELIHOOD	CONSEQUENCE	RISK ANALYSIS	MITIGATION
Financial, Legal and Compliance, Organisational Operations and Reputation	Unlikely	Extreme	Extreme	Development of plans and procedure documents over the next 12 months to provide the skills and knowledge to all staff and Councillors to meet their recordkeeping obligations.

CONSULTATION:

Internal consultation has been undertaken with relevant staff internally and liaison with the State Records Office to collate information.

COMMENT:

This item is to advise the Compliance and Strategic Review Committee of the required Recordkeeping Plan and its review. In addition, that the plan is required to be lodged with the State Records Office by 31 October 2018.

VOTING REQUIREMENT:

Simple majority

OFFICER RECOMMENDATION/COMMITTEE RECOMMENDATION:

MINUTE NO. CSR012/2018

Moved: Cr Twaddle

Seconded: Cr Kloss

That the Compliance and Strategic Review Committee note the Recordkeeping plan has been reviewed in accordance with legislative requirements and will be lodged with the State Records Office by 31 October 2018.

CARRIED 5/0

7.0 DATE OF NEXT MEETING

The next meeting of the Compliance and Strategic Review Committee is 8 November 2018 in the Council Chamber, 68 Clarendon Street, Derby.

8.0 CLOSURE OF MEETING

The Presiding Member closed the meeting at 3.55pm.

<p>These Minutes were confirmed at a Meeting on</p> <p>.....</p> <p>Signed:</p> <p>Presiding Person at the Meeting at which these Minutes were confirmed.</p> <p>Date:</p>
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