

# minutes

## Audit and Risk Committee

MEETING HELD ON **MONDAY 4 NOVEMBER 2019**

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## **CITY OF JOONDALUP**

**MINUTES OF THE SPECIAL AUDIT AND RISK COMMITTEE MEETING HELD IN CONFERENCE ROOM 1, JOONDALUP CIVIC CENTRE, BOAS AVENUE, JOONDALUP ON MONDAY 4 NOVEMBER 2019.**

### **ATTENDANCE**

#### **Committee Members**

Cr Tom McLean, JP  
Mayor Hon. Albert Jacob, JP  
Cr Christine Hamilton-Prime  
Cr John Logan  
Cr Christopher May  
Cr Philippa Taylor  
Cr Suzanne Thompson

#### **Observers**

Cr John Chester  
Cr Russ Fishwick, JP  
Cr Kerry Hollywood  
Cr Russell Poliwka  
Cr John Raftis

#### **Officers**

Mr Garry Hunt	Chief Executive Officer
Mr Jamie Parry	Director Governance and Strategy
Mr Brad Sillence	Manager Governance
Mrs Vivienne Stampalija	Governance Coordinator
Mrs Lesley Taylor	Governance Officer
Mrs Wendy Cowley	Governance Officer

### **DECLARATION OF OPENING**

The Chief Executive Officer declared the meeting open at 7.33pm.

**DECLARATIONS OF INTEREST**

Nil.

**ELECTION OF PRESIDING MEMBER**

Section 5.12 of the *Local Government Act 1995* requires a Committee appointed by a local government, to appoint a Presiding Member as the first item of business at its first meeting. Schedule 2.3 of the Act requires the Chief Executive Officer to preside.

Mayor Hon. Albert Jacob, JP nominated Cr Tom McLean, JP. Cr McLean accepted the nomination.

There being no further nominations at the close of the Election for Presiding Member, Cr Tom McLean, JP was declared elected unopposed to the position of Presiding Member and assumed the Chair at 7.34pm.

**ELECTION OF DEPUTY PRESIDING MEMBER**

It is advisable that the Committee appoints a Deputy Presiding Member, who would chair the meeting in the absence of the Presiding Member.

Cr Christine Hamilton-Prime self-nominated for the position of Deputy Presiding Member.

There being no further nominations at the close of the Election for Deputy Presiding Member, Cr Christine Hamilton-Prime was declared elected unopposed to the position of Deputy Presiding Member.

**APOLOGIES / LEAVE OF ABSENCE****Apologies**

Cr Nige Jones.

Mr Richard Thomas, External Member.

**Leave of Absence Previously Approved:**

Cr Christine Hamilton-Prime	27 October to 10 November 2019 inclusive;
Cr Russ Fishwick, JP	4 November to 19 December 2019 inclusive.

**ANNOUNCEMENTS BY THE PRESIDING MEMBER WITHOUT DISCUSSION**

Nil.

**IDENTIFICATION OF MATTERS FOR WHICH THE MEETING MAY BE CLOSED TO THE PUBLIC**

In accordance with Clause 5.2 of the City's *Meeting Procedures Local Law 2013*, this meeting was not open to the public.

**PETITIONS AND DEPUTATIONS**

Nil.

**REPORT****ITEM 1                    SETTING OF MEETING DATES – AUDIT AND RISK COMMITTEE**

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<b>WARD</b>	All
<b>RESPONSIBLE DIRECTOR</b>	Mr Jamie Parry Governance and Strategy
<b>FILE NUMBER</b>	107022, 02153, 101515
<b>ATTACHMENT</b>	Nil
<b>AUTHORITY / DISCRETION</b>	Executive - The substantial direction setting and oversight role of Council, such as adopting plans and reports, accepting tenders, directing operations, setting and amending budgets.

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**PURPOSE**

For the Audit and Risk Committee to consider the proposed schedule of committee meeting dates for 2020.

**EXECUTIVE SUMMARY**

In order to assist with forward planning for all Elected Members, management and staff, a schedule of meeting dates has been prepared for the Audit and Risk Committee, ensuring synergy between meeting dates and critical statutory audit operations.

It is therefore recommended the Audit and Risk Committee adopts the meeting dates and times for the Audit and Risk Committee of the City of Joondalup to be held at the Joondalup Civic Centre (Conference Room 2), Boas Avenue, Joondalup.

**BACKGROUND**

The Audit and Risk Committee was established at the Special Council meeting held on 6 November 2017. The role of the Audit and Risk Committee is to:

- 1        guide and assist the City in carrying out its functions:
  - under Part 6 - Financial Management, of the *Local Government Act 1995*
  - in relation to audits conducted under Part 7 - Audit, of the *Local Government Act 1995*
  - relating to other audits and other matters related to financial management.

- 2 Review the CEO's report into the appropriateness and effectiveness of a local government's systems and procedures in relation to risk management, internal control and legislative compliance, given to it by the CEO under regulation 17 of the *Local Government (Audit) Regulations 1996* and:
  - report to the Council the results of that review
  - give the Council a copy of the CEOs report.
- 3 Monitor and advise the CEO when the CEO is carrying out functions in relation to a review:
  - under regulation 17(1) of the *Local Government (Audit) Regulations 1996*
  - of the appropriateness and effectiveness of the financial management systems and procedures of the City under regulation 5(2)(c) of the *Local Government (Financial Management) Regulations 1996*.
- 4 Support the auditor of the City to conduct an audit and carry out the auditor's other duties under the *Local Government Act 1995* in respect of the City and to oversee the implementation of any actions in accordance with regulation 16(f) of the *Local Government (Audit) Regulations 1996*.
- 5 Review and monitor the internal audit programme and the scope of internal audits.

The proposed schedule of Council meeting dates is based on the format used in recent years. That is, a monthly meeting format with Strategy Sessions held on the first Tuesday of each month, Briefing Sessions held on the second Tuesday and Council meetings on the third Tuesday.

This enables committee meetings to be scheduled on the Monday, Tuesday or Wednesday of weeks one, two and three so to minimise potential conflicts with other Council activities and provide a 'meeting-free' week in the fourth week of each month.

It is preferable to hold committee meetings in the first week of the month, thereby enabling committee recommendations to be listed in the Briefing Session agenda and subsequently the Council meeting agenda, however this may not always be possible due to other scheduled meetings.

## DETAILS

The Audit and Risk Committee is a committee required to be established in accordance with the *Local Government Act 1995* and associated regulations. It is responsible for matters associated with all aspects of financial auditing, legislative compliance, risk management and reviewing the efficiency of the City's use of resources.

Meetings of this committee are usually associated with statutory reporting requirements, including endorsement of the Annual Compliance Audit Return, appointment of the City's Auditor, and adoption of the Audited Financial Statements and Annual Report.

The Compliance Audit Return is required to be endorsed by Council and submitted to the Department of Local Government and Communities before 31 March annually. Consideration of the City's audit focus often occurs in August, with the audited financial statements usually finalised in October, enabling review and adoption by the committee and Council in November.

In this regard, it is necessary for the Audit and Risk Committee to meet in November 2019 to accept the Financial Statements and accept the *2018-19 Annual Report*. This will enable sufficient time for statutory advertising of the acceptance of the *2018-19 Annual Report* prior to the holding of the Annual General Meeting of Electors to be held on 10 December 2019.

It is therefore suggested that the Audit and Risk Committee meets as follows:

### 2019

- Tuesday 12 November 2019, commencing at 5.15pm.

### 2020

- Tuesday 3 March 2020, commencing at 5.45pm.
- Monday 6 July 2020, commencing at 5.45pm.
- Monday 9 November 2020, commencing at 5.45pm.

### **Issues and options considered**

The Audit and Risk Committee can either:

- adopt the meeting dates as proposed in this report  
or
- amend the meeting dates.

### **Legislation / Strategic Community Plan / policy implications**

#### **Legislation**

*Local Government Act 1995.*  
*Local Government (Administration) Regulations 1996.*  
*Local Government (Audit) Regulations 1996.*  
*Local Government (Financial Management) Regulations 1996.*  
*City of Joondalup Meeting Procedures Local Law 2013.*

#### **Strategic Community Plan**

**Key theme** Governance and Leadership.

**Objective** Corporate capacity.

**Strategic initiative** Not applicable.

**Policy** Not applicable.

#### **Risk management considerations**

Should forward planning of committee meetings not be identified, then there is a risk for meetings to be held on an ad-hoc basis; lacking coordination with other key meetings and corporate planning processes.



**Financial / budget implications**

Not applicable.

**Regional significance**

Not applicable.

**Sustainability implications**

Not applicable.

**Consultation**

Not applicable.

**COMMENT**

The proposed dates have been based on the statutory reporting outcomes required of the Audit and Risk Committee, the broader monthly meeting cycle of Council, as well as being cognisant of proposed meeting dates for a variety of other committees and civic events.

**VOTING REQUIREMENTS**

Simple Majority.

**MOVED** Cr Hamilton-Prime, **SECONDED** Mayor Jacob that the Audit and Risk Committee **ADOPTS** the following meeting dates and times for the Audit and Risk Committee of the City of Joondalup to be held at the Joondalup Civic Centre (Conference Room 2), Boas Avenue, Joondalup:

- 1 Tuesday 12 November 2019, commencing at 5.15pm;
- 2 Tuesday 3 March 2020, commencing at 5.45pm;
- 3 Monday 6 July 2020, commencing at 5.45pm;
- 4 Monday 9 November 2020, commencing at 5.45pm.

**The Motion was Put and**

**CARRIED (7/0)**

**In favour of the Motion:** Cr McLean, Mayor Jacob, Crs Hamilton-Prime, Logan, May, Taylor and Thompson.

## **CLOSURE**

There being no further business, the Presiding Member declared the meeting closed at 7.35pm; the following Committee Members being present at that time:

Cr Tom McLean, JP  
Mayor Hon. Albert Jacob, JP  
Cr Christine Hamilton-Prime  
Cr John Logan  
Cr Christopher May  
Cr Philippa Taylor  
Cr Suzanne Thompson